



**American Association of
Motor Vehicle Administrators**

**Commercial Driver's License
Information System
(CDLIS)**

State Procedures Manual

Release 5.3.2.1

August, 2013

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Table of Contents

| | | |
|-------|--|----|
| 1 | INTRODUCTION | 1 |
| 1.1 | PURPOSE AND SCOPE OF THE CDLIS STATE PROCEDURES MANUAL | 1 |
| 1.2 | ADDITIONAL DOCUMENTATION | 1 |
| 1.3 | AAMVA CONTACT INFORMATION | 2 |
| 2 | CDLIS FEDERAL LAWS AND REGULATIONS | 3 |
| 2.1 | CMVSA | 3 |
| 2.2 | ICCTA | 3 |
| 2.3 | TEA-21 | 3 |
| 2.4 | MCSIA | 3 |
| 2.5 | SAFETEA-LU | 4 |
| 2.6 | SAFE PORT ACT | 4 |
| 2.7 | FEDERAL REGULATIONS | 4 |
| 3 | CDLIS STAKEHOLDERS | 6 |
| 3.1 | FMCSA | 6 |
| 3.2 | AAMVA | 6 |
| 3.3 | JURISDICTIONS | 6 |
| 3.4 | COMMERCIAL DRIVERS | 6 |
| 3.5 | COMMERCIAL DRIVER EMPLOYERS | 6 |
| 3.6 | NHTSA | 7 |
| 4 | CDLIS SYSTEM ARCHITECTURE | 8 |
| 4.1 | AAMVANET | 10 |
| 4.2 | USER ACCESS | 10 |
| 4.2.1 | State Driver Licensing Agencies (SDLAs) | 10 |
| 4.2.2 | CDLIS Central Site | 11 |
| 4.2.3 | Mexican Access | 11 |
| 4.2.4 | Canadian Bridge | 11 |
| 4.2.5 | Third-Party Service Providers (TPSPs) | 12 |
| 4.2.6 | FMCSA “CDLIS Check” | 12 |

| | |
|--|-----------|
| 5 CDLIS DATA ELEMENTS | 13 |
| 5.1 CDLIS DATA RECORDS | 13 |
| 5.1.1 Data Stored at the CDLIS Central Site | 13 |
| 5.1.2 CDLIS Driver History Record (DHR) | 14 |
| 5.1.3 Ancillary Data Records | 14 |
| 5.2 CDLIS DATA RETENTION AND AVAILABILITY | 16 |
| 5.2.1 State of Record (SOR) | 16 |
| 5.2.2 Old SOR and New SOR | 17 |
| 5.2.3 State of Conviction (SOC) | 18 |
| 5.2.4 State of Withdrawal (SOW) | 18 |
| 5.2.5 State of Inquiry (SOI) | 19 |
| 5.2.6 CDLIS Central Site | 19 |
| 6 CDLIS TRANSACTIONS | 20 |
| 6.1 SEARCH INQUIRY (CD01) | 23 |
| 6.2 VERIFICATION INQUIRY (CD02) | 26 |
| 6.3 STATE-TO-STATE STATUS REQUEST (CD03) | 29 |
| 6.4 STATE-TO-STATE HISTORY REQUEST (CD04) | 32 |
| 6.5 INQUIRY ON AKA DATA (CD05) | 35 |
| 6.6 EMPLOYER INQUIRY (CD06) | 38 |
| 6.7 ADD NEW DRIVER (CD07) | 40 |
| 6.8 CHANGE STATE OF RECORD (CD08) | 43 |
| 6.9 CHANGE DATA (CD09) | 50 |
| 6.10 DELETE MASTER POINTER RECORD (CD10) | 53 |
| 6.11 REPORT OUT-OF-STATE CONVICTION (CD11) | 56 |
| 6.12 NEGATE OUT-OF-STATE CONVICTION (CD12) | 60 |
| 6.13 MARK DRIVER UNIQUE (CD14) | 63 |
| 6.14 UPDATE AKA DATA (CD15) | 66 |
| 6.15 REPORT OUT-OF-STATE WITHDRAWAL (CD16) | 69 |
| 6.16 NEGATE OUT-OF-STATE WITHDRAWAL (CD17) | 73 |
| 6.17 MINIMAL DATA DRIVER SEARCH INQUIRY (CD18) | 76 |

| | | |
|----------|--|-----------|
| 6.18 | CDLIS BATCH SEARCH INQUIRY (CD30) | 79 |
| 6.19 | MPR DATA QUALITY VALIDATION AND VERIFICATION (CD31) | 82 |
| 6.20 | (PILOT) DHR DATA QUALITY VALIDATION (CD32) | 84 |
| 6.21 | DUPLICATE DRIVER PROCESS (CDA1) | 86 |
| 7 | PROCEDURES FOR ISSUING A CDL | 89 |
| 7.1 | RULES FOR ISSUANCE | 89 |
| 7.1.1 | Conducting CDLIS, PDPS, Medical Qualification, 10-year History Checks, SSN Verification and Citizenship/Lawful Permanent Residency/Lawful Presence Check | 90 |
| 7.1.2 | Determining Eligibility for a License | 101 |
| 7.1.3 | Drivers with Military CMV Experience | 104 |
| 7.1.4 | Notes on Issuing non-Domiciled CLPs and CDLs | 105 |
| 7.2 | APPLICANT APPLIES FOR CLP OR CDL | 106 |
| 7.2.1 | No Matching Drivers on CDLIS or PDPS | 106 |
| 7.2.2 | Matching Driver on PDPS | 106 |
| 7.2.3 | Matching Drivers on CDLIS | 107 |
| 7.3 | DRIVER APPLIES FOR REINSTATEMENT OF CDL | 107 |
| 7.3.1 | No Matching Drivers on CDLIS or PDPS | 108 |
| 7.3.2 | Matching Driver on PDPS | 108 |
| 7.4 | DRIVER APPLIES FOR RENEWAL OF CDL | 108 |
| 7.4.1 | No Matching Drivers on CDLIS or PDPS | 108 |
| 7.4.2 | Matching Driver on PDPS | 108 |
| 7.4.3 | Matching Drivers on CDLIS | 109 |
| 7.5 | APPLICANT APPLIES FOR ENDORSEMENT | 109 |
| 7.5.1 | No Matching Drivers on CDLIS or PDPS | 110 |
| 7.5.2 | Matching Driver on PDPS | 110 |
| 7.5.3 | Matching Drivers on CDLIS | 110 |
| 7.6 | CDLIS DRIVER CHANGES JURISDICTION | 110 |
| 7.6.1 | No Matching Drivers on CDLIS or PDPS | 111 |
| 7.6.2 | Matching Driver on PDPS | 111 |
| 7.6.3 | Matching Drivers on CDLIS | 111 |
| 7.6.4 | Initiation of CSOR Transaction | 111 |
| 7.6.5 | Resolution of CSORs 'In Suspense' | 112 |

| | | |
|-------|--|-----|
| 7.6.6 | Erroneous CSOR | 114 |
| 7.6.7 | New SOR and Old SOR Responsibilities During and After CSOR | 114 |
| 7.7 | DRIVER SURRENDERS COMMERCIAL DRIVING PRIVILEGE | 115 |
| 7.8 | CDL SURRENDER REQUIREMENTS | 116 |
| 8. | PROCEDURES FOR MANAGING DRIVER INFORMATION | 117 |
| 8.1 | RULES FOR MANAGING DRIVER RECORDS | 117 |
| 8.1.1 | Rules for Maintaining the MPR and DHR | 117 |
| 8.1.2 | Rules for Managing Specific Data Elements in the DHR | 118 |
| 8.1.3 | Rules for Responding to a Driver Status Request or History Request | 128 |
| 8.2 | JURISDICTION ADDS DRIVER RECORD | 131 |
| 8.2.1 | Driver CDL Application Approved | 131 |
| 8.2.2 | Convicted Driver Has No Known Jurisdiction-of-Domicile | 131 |
| 8.2.3 | Creating Data | 132 |
| 8.3 | JURISDICTION CHANGES DRIVER IDENTIFICATION INFORMATION | 132 |
| 8.3.1 | Driver Presents Documentation for Change | 132 |
| 8.3.2 | Changing Data | 132 |
| 8.4 | JURISDICTION NOTIFIED OF DUPLICATE DRIVER | 134 |
| 8.4.1 | Possible Reasons | 135 |
| 8.4.2 | Resolution | 135 |
| 8.5 | JURISDICTION NOTIFIED OF BROKEN POINTER | 136 |
| 8.6 | JURISDICTION REMOVES DRIVER RECORD | 136 |
| 8.6.1 | Data Retention Requirements Satisfied | 136 |
| 8.6.2 | Verification of MPR to be Deleted | 137 |
| 8.6.3 | Master Pointer Record Created in Error | 137 |
| 8.6.4 | Prohibitions | 137 |
| 8.7 | JURISDICTION RESPONDS TO STATUS OR HISTORY REQUEST | 138 |
| 8.8 | JURISDICTION REMOVES HAZMAT ENDORSEMENT | 138 |
| 8.9 | DRIVER MEDICAL CERTIFICATE EXPIRES OR VARIANCE REVOKED | 138 |
| 8.10 | ENSURING COMPLETE AND ACCURATE DRIVER DATA | 139 |
| 9. | PROCEDURES FOR CONVICTING A DRIVER | 140 |
| 9.1 | RULES FOR DRIVER CONVICTIONS | 140 |

| | |
|---|------------|
| 9.1.1 Rules for Determining and Reporting “CDLIS Convictions” | 140 |
| 9.1.2 Rules for Negating a Conviction | 143 |
| 9.1.3 Rules About Masking | 144 |
| 9.1.4 Rules for Multiple Convictions from One Incident | 145 |
| 9.1.5 Rules for Selected Conviction Data Elements | 146 |
| 9.2 JURISDICTION CONVICTS DRIVER | 147 |
| 9.2.1 CDL Number on Conviction | 147 |
| 9.2.2 Non-Commercial License Number on Conviction | 148 |
| 9.2.3 No Driver License Number on Conviction | 149 |
| 9.2.4 Setting the CDL Holder indicator upon receipt of conviction | 150 |
| 9.3 JURISDICTION NEGATES A CONVICTION | 150 |
| 9.3.1 CDL Number on Conviction to be Negated | 150 |
| 9.3.2 Non-Commercial License Number on Conviction to be Negated | 151 |
| 9.3.3 No Driver License Number on Conviction to be Negated | 151 |
| 10. PROCEDURES FOR WITHDRAWING A DRIVER | 153 |
| 10.1 RULES FOR WITHDRAWING DRIVER | 153 |
| 10.1.1 Rules for Reporting and Recording Withdrawals | 153 |
| 10.1.2 Rules for Negating and Updating a Withdrawal | 155 |
| 10.1.3 Rules for Withdrawal-Conviction(s) Linkages | 157 |
| 10.2 SOW WITHDRAWS DRIVER | 158 |
| 10.2.1 SOW is the SOR and Withdraws Driver | 158 |
| 10.2.2 SOW Withdraws an Out-of-State Driver | 159 |
| 10.3 THE SOW NEGATES A WITHDRAWAL | 161 |
| 10.3.1 SOW Is the Current SOR | 161 |
| 10.3.2 SOW Is not the Current SOR | 161 |
| 10.4 OUT-OF-STATE WITHDRAWAL AND WITHDRAWAL NEGATION SCENARIOS | 162 |
| 10.4.1 Out-of-State Withdrawal Scenarios | 163 |
| 10.4.2 Negate Withdrawal Scenarios | 173 |
| 11 EMPLOYER PROCEDURES WHEN HIRING A DRIVER | 176 |
| APPENDIX A – GLOSSARY | 177 |
| APPENDIX B – SUBSTITUTE AND PSEUDO SOCIAL SECURITY | |

| | |
|---|-----|
| NUMBERS _____ | 190 |
| APPENDIX C –CONDUCTING SELECTED CDLIS TRANSACTIONS BY MAIL _____ | 194 |
| C.1 RULES FOR MAILING OUT-OF-STATE CONVICTIONS AND WITHDRAWALS | 194 |
| C.2 PROCEDURES FOR MAILING OUT-OF-STATE CONVICTIONS/WITHDRAWALS REPORTS AND NEGATIONS _____ | 196 |
| C.3 RULES FOR MAILING DRIVER HISTORY CONVICTIONS, WITHDRAWALS, AND LINKAGES _____ | 196 |
| C.4 PROCEDURES FOR MAILING DRIVER HISTORY CONVICTIONS, WITHDRAWALS, AND LINKAGES _____ | 197 |
| C.5 FORMS FOR MAILING CONVICTIONS, WITHDRAWALS, AND LINKAGES ____ | 198 |
| APPENDIX D – JURISDICTION CDLIS MEDICAL CERTIFICATE EVENTS _____ | 229 |

1 INTRODUCTION

The Commercial Driver's License Information System (CDLIS) is a United States-wide network composed of (1) the distributed database that stores information about commercial drivers (drivers of large trucks, buses, and/or vehicles transporting hazardous materials) and (2) the associated hardware and software used to manage the commercial driver information. By using CDLIS, authorized users can report and access commercial driver identification information, license information, and driver history information necessary to regulate commercial drivers in the United States. Thus, CDLIS enables the 50 U.S. states and the District of Columbia (the jurisdictions) to satisfy the requirements of applicable United States laws and regulations.

1.1 PURPOSE AND SCOPE OF THE CDLIS STATE PROCEDURES MANUAL

This document, the CDLIS State Procedures Manual (Release 5.3.2), outlines the standard administrative practices required by the jurisdictions, the 13 Canadian provinces and territories, and the Mexican General Directorship of Federal Motor Carrier Transportation (DGAF) when participating in CDLIS. This document, which supersedes the CDLIS State Procedures Manual (Release 5.2) of February 2011, provides guidance on the information system procedures of the commercial driver's license program. These procedures are set out in the following federal regulations:

- Title 49, Code of Federal Regulations, promulgated by the Federal Motor Carrier Safety Administration (FMCSA), in particular the following parts:
 - Part 383 (49 CFR §384)
 - Part 384 (49 CFR §384)
 - Part 391 (49 CFR §391)
 - Part 1572 (49 CFR §1572.13), via reference in Part 384 (49 CFR §384)
- Title 23, Code of Federal Regulations, promulgated by the National Highway Traffic Safety Administration (NHTSA), Part 1327 (23 CFR §1327)

The above regulations in turn implement requirements of various acts, including the following (as amended, where applicable):

- Commercial Motor Vehicle Safety Act (CMVSA) of 1986
- Interstate Commerce Commission Termination Act (ICCTA) of 1995
- Transportation Equity Act for the 21st Century (TEA-21) of 1998
- Motor Carrier Safety Improvement Act (MCSIA) of 1999
- Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005

Security and Accountability For Every Port Act (SAFE Port Act) of 2006.

1.2 ADDITIONAL DOCUMENTATION

For additional information regarding the functionality of CDLIS, refer to the following documents (available from AAMVA):

- CDLIS System Specifications (Release 5.3.2)
- AAMVA Code Dictionary (ACD) Manual - (Release 5.0.0)
- Supplement to the PDPS State Procedures Manual (Version 2.0, January 1999)
- Supplement to System Reference Document (December 1, 1993) – Implementation Planning Guide DLN Survey Transaction
- CDLIS Reports
- CDLIS Third-Party Employer Inquiry Specification
- Unified Network Interface (UNI) Documentation

1.3 AAMVA CONTACT INFORMATION

Questions regarding this document, the documents referenced above, or CDLIS itself should be directed first to the jurisdiction's AAMVA Operations Department point-of-contact (POC). If unable to contact the POC, questions may be referred to the AAMVA Operations Department:

Hours 🕒: 7:00 a.m. - 10:00 p.m. (ET) Monday - Friday
8:00 a.m. - 4:30 p.m. (ET) Saturday

Telephone 📞: 1-888-AAMVA-80 (1-888-226-8280) Option 1

Fax 📠: 1-703-522-1553

E-mail ✉️: HelpDesk@aamva.org

Website 🌐: www.aamva.org

Address 📍: AAMVA, Inc
4301 Wilson Boulevard
Suite 400
Arlington, Virginia 22203

2 CDLIS FEDERAL LAWS AND REGULATIONS

This section covers the following:

- Overviews of federal laws mandating or affecting CDLIS.
- An explanation of federal regulations relevant to CDLIS.

2.1 CMVSA

The CMVSA was passed in a national effort to remove unsafe and unqualified drivers from the nation's highways. Section 12007 of CMVSA mandated the establishment of CDLIS. Some significant features of the CMVSA, focused on improving safety on the nation's highways, include:

- The 51 jurisdictions are required to participate in:
 - CDLIS.
 - The Problem Driver Pointer System (PDPS), which identifies drivers who have been convicted and/or withdrawn for federally- mandated offenses.
- The single license requirement, which became effective on July 1, 1987, mandates that commercial drivers hold only one driver license issued by the state of domicile [49 CFR §383.5].
- Employers are prohibited from knowingly allowing a driver with multiple licenses to operate the company's vehicles.
- Employees are required to notify their employers of any suspension, revocation, cancellation, or disqualification of their driving license.
- All commercial drivers are required to pass written and driving tests to ensure they possess the knowledge and skills needed to safely operate their vehicle(s).
- No commercial driver can be issued a CDL if driver is disqualified from operating a CMV, or driver's CDL is suspended, revoked, or cancelled.

The CMVSA also includes provisions for disqualification and tighter restrictions on blood alcohol levels for commercial vehicle operators. The penalties for violating these provisions are intentionally severe. Lengthy disqualifications from driving (including a lifetime withdrawal (55 years)), fines of up to \$5,000 per violation, and prison sentences of up to 90 days are included.

2.2 ICCTA

Under ICCTA, certain commercial driver functions under the terminated Interstate Commerce Commission were transferred to the Federal Highway Administration. The ICCTA also required new disqualifications for certain railroad highway grade crossing violations.

2.3 TEA-21

Under TEA-21 and subsequent re-authorizations, formulas were set for highway funding and funding for the Motor Carrier Safety Assistance Program. Regulations for withholding a portion of the highway funding were promulgated for jurisdictions that did not comply with federal CDL regulations.

2.4 MCSIA

MCSIA mandated additional enhancements to the CDL program. Some requirements of MCSIA and/or the revised federal regulations are:

- For all CDL holders, a jurisdiction must record and maintain as part of the driver history record (DHR), all convictions, disqualifications, and other licensing actions for violations of any State or local law relating to motor vehicle traffic control (other than a parking violation) committed in any type of vehicle [see 49 CFR §384.225(a)].
- For a person required to have a CDL, a jurisdiction must record and maintain as part of the CDLIS DHR,

all convictions, disqualifications, and other licensing actions for violations of any State or local law relating to motor vehicle traffic control (other than a parking violation) committed while the driver was operating a CMV [see 49 CFR §384.225(b)].

- The State of Conviction (SOC) (the jurisdiction in whose courts a driver is convicted of a violation) must report a conviction within 10 days of the conviction.
- Under specified conditions, new federal regulations require a jurisdiction that withdraws an out-of-state CDL holder to notify the State of Record (SOR) (the jurisdiction responsible for maintaining the driver's history and responsible for maintaining the driver's Master Pointer Record (MPR) at the CDLIS Central Site) [as required by 49 CFR §384.208, Notification of Disqualification: "(a) No later than 10 days after disqualifying a CDL holder licensed by another State, or revoking, suspending, or canceling an out-of-State CDL holder's privilege to operate a commercial motor vehicle for at least 60 days, the State must notify the State that issued the license of the disqualification, revocation, suspension, or cancellation. (b) The notification must include both the disqualification and the violation that resulted in the disqualification, revocation, suspension, or cancellation. The notification and the information it provides must be recorded on the driver's record."]
- Before issuing a license of any type to an individual, a jurisdiction must check both CDLIS and PDPS records to verify that the individual is eligible to be licensed.
- Before issuing a CDL to an applicant, the jurisdiction must also request the driver history from every jurisdiction that has issued a license to the individual during the 10 years prior to the application, as certified by the applicant. The date of this 10-year history check and related information must be recorded in the CDLIS DHR.

2.5 SAFETEA-LU

The Safe, Accountable, Flexible, Efficient Transportation Equity Act: a Legacy for Users (SAFETEA-LU) provided for the modernization of CDLIS. SAFETEA-LU required that the modernization plan must satisfy all of the following:

- Comply with applicable Federal information technology security standards.
- Provide for the electronic exchange of all information, including posting of convictions.
- Contain self-auditing features to ensure that data is being posted correctly and consistently by the States.
- Integrate the commercial driver's license and medical certificate.
- Provide a schedule for modernization of the system.

2.6 SAFE PORT ACT

The SAFE Port Act primarily covers [port security](#), but also includes a section on trucking security. In particular, Section 703 of the Act addresses among others the following:

- Legal status verification for licensed United States commercial drivers.
- Commercial driver's license antifraud programs.

2.7 FEDERAL REGULATIONS

Federal regulations provide further detail and clarifications of federal laws. Federal regulations relevant to CDLIS are in the Code of Federal Regulations [Title 49—Transportation, CHAPTER III--FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION, DEPARTMENT OF TRANSPORTATION]. Parts that are most applicable to CDLIS are Part 383 [PART 383 – COMMERCIAL DRIVER'S LICENSE STANDARDS; REQUIREMENTS AND PENALTIES] and Part 384 [PART 384 – STATE COMPLIANCE WITH COMMERCIAL DRIVER'S LICENSE PROGRAM]. The purpose of Part 383 “*is to help reduce or prevent truck and bus accidents, fatalities, and injuries by requiring drivers to have a single commercial motor vehicle driver's license and by disqualifying drivers who operate commercial motor vehicles in an unsafe manner.*” The purpose of Part 384 “*is to ensure that the States*

comply with the provisions of section 12009(a) of the Commercial Motor Vehicle Safety Act of 1986 (49 U.S.C. 31311(a)).”

Title 49 Section 384.107 incorporates the State Procedures Manual into the FMCSRs. Incorporating the AAMVA standards by reference allows the FMCSA to comply with the requirements in 5 U.S.C. 552 to publish rules in the Federal Register by referring to materials already published elsewhere. Section 552 authorizes incorporation by reference with the approval of the Director of the Federal Register to reduce the volume of material published in the Federal Register and the CFR. The legal effect of incorporation by reference is that the material is treated as if it were published in the Federal Register. This material, like any other properly issued rule, then has the force and effect of law.

3 CDLIS STAKEHOLDERS

Stakeholders are organizations or individuals that maintain CDLIS, require access to CDLIS, or support PDPS (which is integral to the CDL program). Descriptions of the following CDLIS stakeholders are in this section: the Federal Motor Carrier Safety Administration (FMCSA), AAMVA, the jurisdictions, commercial drivers, commercial driver employers, and the National Highway Traffic Safety Administration (NHTSA).

3.1 FMCSA

The FMCSA was established within the Department of Transportation, pursuant to the MCSIA. Prior to MCSIA, FMCSA was an office of the Federal Highway Administration. FMCSA's primary mission is to reduce crashes, injuries, and fatalities involving large trucks and buses. As part of its mission, FMCSA is responsible for certifying that the jurisdictions comply with the requirements of the CMVSA (and all amendments) and consequently verifying that the jurisdictions correctly and accurately operate CDLIS. FMCSA writes the federal regulations concerning CDLIS and approves all CDLIS documentation and the ACD Manual as it pertains to the operation of jurisdictions' CDL programs. FMCSA has direct access to CDLIS and allows other federal agencies to access CDLIS according to its "CDLIS Access" policy memorandum [see Federal Register / Vol. 70, No. 9 / Thursday, January 13, 2005 / Notices, Docket No. FMCSA-2003-15015, pages 2454-55].

3.2 AAMVA

AAMVA has been designated by FMCSA as the system operator of CDLIS. AAMVA is responsible for the CDLIS Central Site and the telecommunications network used by CDLIS. In addition, AAMVA defines the messages and transactions used in CDLIS, and provide help desk support for CDLIS.

AAMVA is charged by FMCSA to ensure complete and accurate data transfers and compliance with CDLIS procedures. In this capacity, AAMVA conducts "structured testing" of jurisdictions for all procedural and functional changes to CDLIS as well as changes made to their internal systems. AAMVA also performs other types of testing, if problems are identified outside the expected scope of a structured test, and testing at the request of FMCSA to support compliance auditing. During testing, AAMVA performs edits on all data passing through the CDLIS Central Site to validate compliance with the system specifications. AAMVA provides the results of all tests to FMCSA.

3.3 JURISDICTIONS

A jurisdiction is any state, district, territory, possession, or province of the U.S., Mexico, or Canada. Originally CDLIS only included the U.S. jurisdictions. The Mexican federal government and Canadian jurisdictions have also begun to participate in the system. Within the U.S. and Canada, commercial licenses are the responsibility of the states and provinces. In Mexico, the General Directorship of Federal Motor Carrier Transportation (DGAF) in the Department of Communications and Transportation (SCT) has the responsibility.

In this document, and those documents that accompany it, "jurisdiction" may be used as a synonym for "U.S. jurisdiction" and "state" may be used as a synonym for "jurisdiction". Where this occurs, the reference includes the District of Columbia.

3.4 COMMERCIAL DRIVERS

Commercial drivers are operators of CMVs (as defined in 49 CFR §383.5). Commercial drivers may obtain their driver histories from the licensing jurisdiction. Commercial drivers may present proof to the licensing jurisdiction to correct any errors in the CDLIS DHR.

3.5 COMMERCIAL DRIVER EMPLOYERS

The CMVSA requires employers and prospective employers to ensure their commercial drivers are not precluded from operating a commercial motor vehicle. CDLIS allows employers and prospective employers to obtain basic identification data on a driver, with the certified permission of the driver, directly from the CDLIS Central Site. An

authorized jurisdiction, employer, or third-party service provider (TPSP) may perform the employer access function. The TPSPs provide the employer access for employers who do not have their own connection to the system.

3.6 NHTSA

The National Highway Traffic Safety Administration (NHTSA), under the U.S. Department of Transportation, was established by the Highway Safety Act of 1970, as the successor to the National Highway Safety Bureau, to carry out safety programs under the National Traffic and Motor Vehicle Safety Act of 1966 and the Highway Safety Act of 1966. NHTSA is responsible for reducing deaths, injuries and economic losses resulting from motor vehicle crashes. As part of that mission, NHTSA operates:

The National Driver Register (NDR), a central repository of information on individuals whose privilege to drive has been revoked, suspended, canceled, or denied or who have been convicted of specific Highway-Safety Related traffic offenses (for additional information, see ACD Manual), and

The Problem Driver Pointer System (PDPS), a pointer system which provides state and federal driver's license officials and other authorized users access to this information.

When a search submitted to PDPS identifies a possible match, PDPS will "point" the State of Inquiry (SOI) to the State of Record (SOR) (the jurisdiction that posted the pointer on PDPS), where detailed individual driver history information will be found. In conjunction with CDLIS, PDPS is intended to assist jurisdictions in meeting the goals of the basic tenet "...that each driver, nationwide, have only one driver license and one record" through the cooperative exchange of problem driver information between jurisdictions. The CMVSA and MCSIA require each jurisdiction to participate in PDPS and to query the National Driver Register (NDR) before issuing or renewing a driver's license of any type. Consult the PDPS State Procedures, NDR PDPS System Reference Manual, and Message Matrix for a complete description of PDPS. Also visit the National Driver Register website at <http://www-nrd.nhtsa.dot.gov/departments/nrd-30/ncsa/NDR.html>.

4 CDLIS SYSTEM ARCHITECTURE

The system architecture of CDLIS (see following figure) consists of the AAMVAnet telecommunications network and the nodes and gateways on the network that electronically exchange CDLIS information via pre-defined types of messages. The following types of nodes and gateways are on the network:

- Jurisdictions, which maintain the Driver History Record (DHR)
- The CDLIS Central Site, which maintains the Master Pointer Record (MPR)
- Third Party Service Providers (TPSPs) who provide access for Employers
- Mexican Access Node, which allows messages to be sent to and from the Mexican federal government
- Canadian Bridge, which allows messages to be sent to and from Canadian jurisdictions
- FMCSA “CDLIS Check” Node, which provides access to FMCSA and other federal entities authorized by FMCSA

The system architecture of CDLIS provides jurisdictions with the ability to check a nationwide information system before issuing a commercial license to an applicant. If the driver is recorded in the CDLIS Central Site data files, the inquiring jurisdiction will be directed electronically to the jurisdiction that maintains the current driver history record, thus facilitating and ensuring driver information is shared among the jurisdictions. However, the jurisdictions retain both the right to issue and administer the commercial driver's licenses held by persons domiciled in their jurisdiction and the responsibility to maintain the driver record associated with the following:

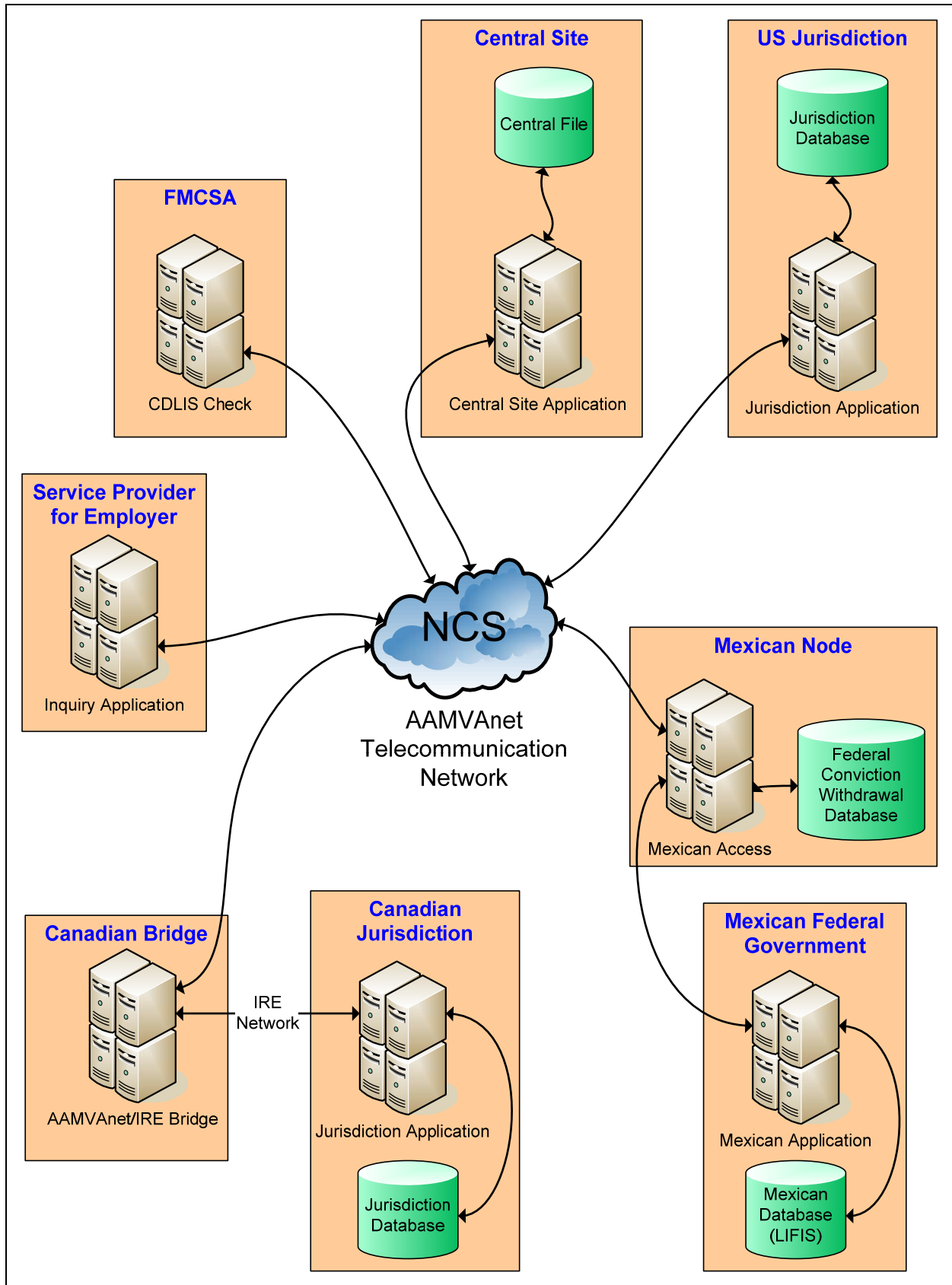
- Licensed drivers
- Non-CDL holders convicted of violations in commercial motor vehicles
- Former CDL holders who relinquish their commercial driving privileges but have history that must be maintained

To implement their CDL program, each jurisdiction must meet the minimum requirements of federal laws and the associated federal regulations and referenced CDLIS documentation.

Since the distributed architecture of CDLIS defines each jurisdiction as the source of driver identification, the burden of disclosure of commercial driver information belongs to each jurisdiction and must be provided to the following entities and their authorized agents [see 49 CFR §384.225(e)]:

- Other jurisdictions
- The Secretary of Transportation (or his/her designated representative)
- The driver
- Employers or potential employers, with written permission of employee

Disclosure to other parties is governed by each individual jurisdiction's disclosure requirements.



CDLIS Architecture

4.1 AAMVANET

The AAMVANet is the telecommunications network that electronically links the following nodes: Jurisdictions, FMCSA, TPSPs, Canadian bridge, Mexican access, and the CDLIS Central Site. AAMVA provides AAMVANet services. This network enables a nationwide exchange of information and data communication services between government agencies and private sector businesses to help them comply with legislative mandates and develop cost-effective information systems solutions.

AAMVA's AAMVANet services provide a wide variety of communications capabilities, including (but not limited to) the following:

- Application to application, interactive
- Application to application, batch
- Application to remote terminal or remote printer

AAMVA's AAMVANet subscribers can perform various types of communications and use various applications concurrently across a single physical connection. The ability to do this, however, is dependent upon the capability of the subscriber's equipment (hardware and software). Participants in CDLIS are required to support several communication functions concurrently.

Each node on AAMVANet is assigned a Government/Application Provider (GAP) Code for message addressing. The Central Site GAP Code is 'XX'. Jurisdiction codes are normally the 2-character postal code for the jurisdiction (e.g. 'VA' for Virginia).

CDLIS nodes send information in messages that are part of transactions. Messages are sent in the AMIE (AAMVANet Message Interchange Envelope) format, which is the AAMVA standard for real-time Electronic Data Interchange (EDI).

The Network Control Software (NCS) facilitates the routing of messages over the network. NCS buffers a system user from the different computer technologies used by the other participants in the system. NCS also allows each jurisdiction and the Central Site to establish a single session with NCS, rather than requiring a site to have individual sessions with every other user.

The design considerations for all CDLIS transactions are based upon a real-time processing framework. Each transaction in this environment is processed sequentially, at the time it is submitted or received, independent of the type of transaction it is. To support the online processing of all CDLIS transactions, system resources, program modules, and access to the data, files must be available upon demand.

Users may opt to send the initial message in a transaction in pseudo-batch, which may be used if an immediate response is not needed. With pseudo-batch, a user stores online messages, then forwards them at a later time. AAMVA's Unified Network Interface (UNI) product has both a pseudo-batch interface and store-and-forward capabilities.

From the perspective of the receiver, online and pseudo-batch messages are treated in the same manner. Throughout the remainder of the document, any instruction for handling of online messages also applies to pseudo-batch messages.

4.2 USER ACCESS

The users that typically send and receive CDLIS messages are the jurisdictions and the CDLIS Central Site. Other types of authorized users access CDLIS via the "Mexican Access" node, the Canadian Bridge, TPSP nodes, and the FMCSA node.

4.2.1 State Driver Licensing Agencies (SDLAs)

The state driver licensing agency (SDLA) (formerly referred to as the jurisdiction motor vehicle agencies (MVAs)) maintain databases, application programs, and system software to support their CDLIS functions. The jurisdiction

host also includes the field operations terminals and the intra-jurisdiction communications network. The jurisdictions play the following roles when exchanging information via CDLIS:

SDLA Roles and Responsibilities

| Role | Responsibility |
|---------------------------|---|
| State of Record (SOR) | The jurisdiction SDLA that maintains the driver's record |
| State of Inquiry (SOI) | The jurisdiction SDLA that requests information about the driver from the SOR |
| State of Conviction (SOC) | The jurisdiction SDLA that convicts a driver and maintains the original record of the conviction |
| State of Withdrawal (SOW) | The jurisdiction SDLA that withdraws a driver and maintains the original record of the withdrawal |

4.2.2 CDLIS Central Site

The CDLIS Central Site, operated by AAMVA, is a repository of driver identification data. The primary function of the CDLIS Central Site is to provide the jurisdictions with real-time record update and matching services and to point to a matched driver's SOR. The Central Site processes the CDLIS inquiry and update transactions with its application programs. In the CDLIS architecture, most transactions are routed through the CDLIS Central Site.

The CDLIS Central Site has been implemented as a predominantly interactive, real-time system. With the exception of the batch inquiry process which has an overnight response, the CDLIS Central Site treats each transaction received as an interactive processing requirement regardless of the mode (batch/interactive) by which it was originated and issues a response in real-time.

4.2.3 Mexican Access

The FMCSA, AAMVA, and Mexico's DGAF established access to Mexican commercial driver records for CDLIS. Mexican Access is a combination of a bridge to Mexican commercial driver's license records and a file of convictions and withdrawals of Mexican commercial drivers in the U.S. [the Federal Conviction Withdrawal Database (FCWD)]. From the CDLIS point of view, the bridge provides access to commercial driver's license records in Mexico at the Mexican jurisdictions via Mexican Licencia Federal Information System (LIFIS). Via the Mexican Access Bridge, a U.S. jurisdiction can inquire about a Mexican driver's status and history. A U.S. jurisdiction can also report convictions and withdrawals of Mexican drivers. Not all conviction and withdrawal records are available directly from Mexico; so the FCWD at the bridge stores U.S. applied convictions and withdrawals. A response to an inquiry may contain a combination of Mexican data and data from the FCWD.

FMCSA is responsible for managing the Mexican Access Bridge within the U.S., and DGAF is responsible for managing the Mexican side of the bridge to LIFIS, which supports (1) direct electronic connection among Mexico's field licensing offices and the headquarters office, (2) central issuance of a more secure and tamper-proof Licencia Federal de Conductor (LFC) document, and (3) real time data entry and information retrieval. The Mexican Access Bridge serves to reformat queries and responses between the two systems and to provide simultaneous language and equivalency translations.

4.2.4 Canadian Bridge

AAMVA, the Canadian Council of Motor Transport Administrators (CCMTA), the jurisdiction of New York, and the Federal Highway Administration (FHWA) developed the AAMVAnet/IRE Bridge, communication "bridge" that connects the AAMVAnet U.S. network to the Canadian Interprovincial Record Exchange (IRE) network. The bridge enables U.S. and Canadian jurisdictions to exchange driver status data on commercial vehicle operators interactively. The AAMVAnet/IRE Bridge is no longer supported by New York – it is now maintained by AAMVA. As with the Mexican Access Bridge, the bridge provides translation services between CDLIS and the IRE system.

4.2.5 Third-Party Service Providers (TPSPs)

Third-party service providers make inquiries for employers, with their application programs. Once the drivers are identified at the CDLIS Central Site, the TPSP must contract with the individual jurisdictions to obtain additional driver data/information.

4.2.6 FMCSA “CDLIS Check”

FMCSA-authorized federal personnel may retrieve driver information using “CDLIS Check”. For example, the Motor Carrier Safety Assistance Program (MCSAP) officers use CDLIS Check in the following situations to find information about commercial drivers:

- At truck weigh stations
- When conducting traffic stops
- When conducting carrier reviews

Once given access to CDLIS Check, a user is able to check the CDLIS Central Site index of Master Pointer Records for possible matches on name (primary and AKA), Date of Birth, and, optionally, driver license number (primary and AKA) and/or SSN. A user may also inquire about a driver’s status and driver history information directly from a jurisdiction. A user may send a single inquiry or multiple inquiries at one time.

5 CDLIS DATA ELEMENTS

The CDLIS data elements (*i.e.*, the types of driver information used in CDLIS) are described in the Data Dictionary Appendix of the CDLIS System Specifications. For example, the type of conviction is identified by the CONVICTION OFFENSE ACD CODE. The formatting rules for CDLIS data elements are in the CDLIS System Specifications and ACD Manual. For example, the CONVICTION OFFENSE ACD CODE is a three-character code beginning with an alpha character followed by two digits and all valid values are listed in the ACD Manual. The following sections provide an overview of the types of CDLIS data and data retention and record availability requirements for jurisdictions by role.

5.1 CDLIS DATA RECORDS

CDLIS contains three types of data records:

- Data stored at the CDLIS Central Site (including the Master Pointer Record (MPR))
- Driver History Record (DHR) data
- Ancillary data records

These three types are described in the following sections.

5.1.1 Data Stored at the CDLIS Central Site

5.1.1.1 CDLIS Master Pointer Record (MPR)

The MPR contains only that information that the Central Site must store to ensure sufficient information to properly identify a driver (including the driver's current SOR). The SOR maintains the MPR at the CDLIS Central Site. The MPR contains the following information:

- Primary driver identification data for the following:
 - State of Record (SOR) and Driver License Number
 - Driver Name
 - Driver Date of Birth
 - Driver SSN
 - Driver SSN (last five numbers only)
- Driver Sex
- The date and time the driver was added to CDLIS
- The date and time the record was last updated
- Indicator of a Change State of Record in Progress
- Indicator if the SSN is one assigned by SSA, a substitute SSN ('999-99-9999') , or a pseudo SSN (see APPENDIX B – SUBSTITUTE AND PSEUDO SOCIAL SECURITY NUMBERS for a discussion on substitute and pseudo SSNs)

See “8.1 RULES FOR MANAGING DRIVER RECORDS” for rules and procedures for managing the MPR.

Transitional Note: During the transitional period, the following additional fields are stored on the Master Pointer Record. Once the last state has implemented CDLIS 5.1, these fields will be removed from the Central Site:

- Driver Sex
- Driver Social Security Number (all digits)

5.1.1.2 Other Data Maintained at the CDLIS Central Site

The CDLIS Central Site also maintains the following information for each driver:

- A list of other records considered possible duplicate records for the same driver

- A list of other drivers “marked unique” to the driver (i.e., a list of those drivers with similar identification data but who have been determined to be different individuals)

5.1.2 CDLIS Driver History Record (DHR)

The DHR is the subset of CDLIS information that the SOR sends in response to a CDLIS driver history request, as required by federal regulations and specified by the CDLIS documentation. The SOR maintains the DHR at the SOR, in any way it wants, as long as record availability requirements are met. The DHR contains the following specific information:

- State of Record (SOR) and Driver License Number
- Driver Name
- Driver Date of Birth
- Driver SSN
- Driver Weight
- Driver Eye Color
- Driver Height (although no longer maintained at the CDLIS Central Site, height is still required on the DHR because it is required on the physical document [49 CFR §383.153(a)(3)])
- Driver Sex (although Driver Sex will not be maintained at the CDLIS Central Site after all jurisdictions have implemented CDLIS 5.2.0, it is still required on the DHR because it is required on the physical document [49 CFR §383.153(a)(3)])
- AKA identification data for the following:
 - Issuing Jurisdiction and Driver License Number (up to 3)
 - Name (up to 3) (paired with AKA DOBs)
 - DOB (up to 3) (paired with AKA Names)
 - SSN (not more than 1)
- License information, including license class, type, endorsements and restrictions (see section 8.1.2.3 on endorsements and restrictions)
- Permit information, including endorsements and restrictions
- List of accidents and details for each accident, if any (optional)²
- List of convictions and details for each conviction, if any¹
- List of withdrawals and details for each withdrawal, if any¹
- For each withdrawal effective after October 31, 2005, linkages to the underlying convictions (if any) for each withdrawal¹

¹ See the data retention requirements sections and the data logic rules for this data.

² Although FMCSA regulations are silent on data retention requirements for accidents, the following retention requirements may apply:

- DLC members must retain accident data for 3 years past the accident date. This is not an AAMVA or FMCSA requirement.
- If accident data is retained, it must be provided within 24 hours for 10 years past the accident date, and within 7 days thereafter. This is an AAMVA requirement in CDLIS.

See “8.1 RULES FOR MANAGING DRIVER RECORDS” and “7.6 CDLIS DRIVER CHANGES JURISDICTION ” for rules and procedures for managing the DHR.

5.1.3 Ancillary Data Records

Ancillary data records contain driver information and related metadata (descriptive statistical information about the elements of a set of data) that is federally required but is not part of the CDLIS DHR. The data may be stored on paper (*e.g.* the original record of a conviction), or electronically (*e.g.* the date the conviction is posted to CDLIS

DHR). The following lists are ancillary data for jurisdictions in various roles (*i.e.*, SOR, SOC, and SOW).

When the jurisdiction is the SOR and convicts and/or withdraws an in-state driver, it has the responsibility to maintain the following ancillary data for each in-state driver:

- The original record of each conviction
- The date a conviction was recorded, for each conviction with a citation date after September 30, 2005
- The original record of each withdrawal
- For all withdrawals with an effective date on or after November 1, 2005
 - A record of any withdrawal-conviction(s) linkage(s) (for all withdrawals with an effective date after October 31, 2005)
 - The date a withdrawal was recorded, for each withdrawal with an effective date after October 31, 2005
- When the jurisdiction is the SOR, it may maintain the following ancillary data for each in-state driver:
 - The original record of each accident involving an in-state driver, if required by jurisdiction laws (optional)
 - The date an accident was recorded, if required by jurisdiction laws (optional)

When a jurisdiction is the SOR and receives reports from another jurisdiction, it has the responsibility to maintain the following ancillary data:

- For each out-of-state conviction (OOSC) received after September 30, 2005
 - The date the conviction was received
 - The date the conviction was posted to the DHR
- For each out-of-state withdrawal (OOSW) with an effective date after October 31, 2005
 - The date the withdrawal was received
 - The date the withdrawal was posted to the DHR
- For each out-of-state accident, if required by jurisdiction laws
 - The date the accident was received (optional)
 - The date the accident was posted to the DHR (optional)

When the jurisdiction convicts and/or withdraws an out-of-state driver, as the SOC and/or SOW, it has the responsibility to maintain the following ancillary data:

- The original record of each conviction
- The date the conviction was sent, for each conviction with a citation date after September 30, 2005
- A record of each withdrawal (including any linkages for withdrawals with a withdrawal effective date after October 31, 2005)
- The date the withdrawal was sent, for each withdrawal with a withdrawal effective date after October 31, 2005

When an out-of-state driver is involved in an accident, the jurisdiction may maintain the following ancillary data, if required by jurisdiction laws:

- The original record of each accident involving an out-of-state driver, if required by jurisdiction laws
- The date sent, for each accident involving an out-of-state driver, if required by jurisdiction laws

An SOI has no responsibility to maintain ancillary data about inquiries sent via CDLIS.

For drivers requiring medical certification, the SOR must maintain:

- Medical certificate
 - the form must be date stamped upon receipt (and maintained for at least '3 years beyond the date the certificate was issued' [49 CFR §383.73(j)(1)(ii)]) and the jurisdiction must record and retain the date posted to the CDLIS driver record
- Variances

- jurisdictions must record and retain both the date received and the date posted to the CDLIS driver record

5.2 CDLIS DATA RETENTION AND AVAILABILITY

Data retention requirements are the time periods that a jurisdiction must keep specific types of data, such as conviction data. Data availability requirements are the response times that a node must meet for data requests and the hours of operation. CDLIS data retention and record availability requirements, which are derived from the Driver's License Compact (DLC), the Non-Resident Violators Compact (NRVC), the Driver's License Agreement (DLA), and federal regulations relating to CDLIS, are described in the following sections for jurisdictions in their roles as the SOR, Old SOR, SOC, and SOW.

5.2.1 State of Record (SOR)

The SOR has the following data retention and availability requirements.

- The SOR must maintain online the DHR of each of its drivers, until the DHR becomes eligible for purging. The SOR must be able to provide the DHR within 7 seconds in response to a request via CDLIS, and to mail the DHR within 24 hours in response to a request via mail.
- The SOR must be able to post and to confirm the posting of a report of a conviction or withdrawal within 10 days (49 CFR §384.225(c)) after receiving the report.
- The SOR must be able to post and to confirm the posting of a report of an accident within any jurisdiction required time period after receiving the report, if required by jurisdiction laws.
- The SOR must retain convictions and withdrawals according to the requirements in the current ACD Manual.
- When the DHR is eligible for purging or archiving, the SOR must first delete the MPR at the CDLIS Central Site and then purge or archive the DHR from its own system, to eliminate the possibility of a CDLIS "broken pointer" condition (*i.e.*, a condition where a MPR points to a non-existent DHR).
- Neither federal regulations nor AAMVA require accident information to be maintained in CDLIS; however if an SOR that is a member of the DLC, NRVC or DLA maintains accident information, the SOR must retain the accident information according to the requirements of the applicable compact(s) and/or agreement.
- The SOR is not required to keep a record of the date and time that it received an out-of-state conviction message or an out-of-state withdrawal message electronically via CDLIS. The CDLIS Central Site retains electronic records. For retention of mailed forms, see "APPENDIX C –CONDUCTING SELECTED CDLIS TRANSACTIONS BY MAIL".
- For each out-of-state conviction report (with a citation date after September 30, 2005) from an SOC and each out-of-state withdrawal report (with a withdrawal effective date after October 31, 2005) from an SOW, the SOR must retain the date the SOR received the report from the SOC/SOW and the date the SOR posted the conviction or withdrawal to the DHR. For each in-state conviction and withdrawal, the SOR SDLA should, as a best practice, retain the date the SDLA received the report, and must retain the date the SOR SDLA posted the report to the DHR. This information must be kept until data retention requirements are met or the jurisdiction is no longer the current SOR for the driver. Note that for reports received via CDLIS, the "date received" and the "date posted" should be within 1 day; for paper reports received from other jurisdictions, the dates may be significantly different. Similar retention requirements apply for negation reports.
- If a driver's record has been marked "deceased" or if the driver's license has expired, the SOR may archive or purge the driver's record
 - 1 year after death of the driver or the license expiration date if the DHR does not contain any history entries (*i.e.*, convictions or withdrawals), or
 - after all convictions and withdrawals are eligible for purging,

whichever period is greater. The SOR may reevaluate whether or not to continue maintaining the record of a deceased driver with history entries after 10 years or more have passed since the driver was reported

deceased.

- If a CDL holder has downgraded to a base license, the same DHR retention requirements apply. If the driver moves to another jurisdiction (either after downgrading or in conjunction with downgrading), the licensing jurisdiction must take the CDLIS pointer. The New SOR must ensure the commercial status is maintained from the previous SOR.

Note: There are no Federal retention requirements for accidents. If a driver's record includes accident information, the SOR should determine whether any compact or agreement of which it is a member (*i.e.*, DLC, NRVC or DLA) includes any retention requirements for accidents.

5.2.2 Old SOR and New SOR

When a CDL holder's new state of domicile assumes the role of the New SOR in a Change State-of-Record (CSOR) transaction, the old state of domicile assumes the role of the Old SOR. During and after the CSOR transaction, the Old SOR and New SOR have the data retention and availability responsibilities described below.

When a jurisdiction initiates a CSOR transaction, it becomes the New SOR and assumes responsibility for the DHR. Until such time as the CSOR is complete,

- The New SOR must respond to driver status and history requests; if the driver's history from the Old SOR has not been accepted and posted, the New SOR must respond with whatever history the SOR has on record and an error message (setting the processing status to '05' (Confirmation of New SOR, but DHR not ready) and the NCB error code to 'Y')
- The Old SOR must:
 - respond to status and history requests with:
 - status and history information, only when a request is receive from the New SOR
 - an error message to such requests from any other jurisdiction
 - forward any
 - in-state convictions received either electronically or on paper,
 - paper reports of out-of-state convictions, conviction negations, withdrawals or withdrawal negations, or
 - DLN Survey responses (to requests sent prior to the CSOR) whether received electronically or on paper

to the Current SOR.

After the CSOR Transaction is successfully completed, the Old SOR must

- respond to any
 - CDLIS status or history request from any jurisdiction with an error message
 - DLN Survey requests whether received electronically or on paper
 - history request resent by the CDLIS Central Site as if it were the original history request received from the CDLIS Central Site
- forward any
 - in-state convictions received either electronically or on paper,
 - paper reports of out-of-state convictions, conviction negations, withdrawals or withdrawal negations

to the Current SOR.

Note: The rules regarding responding to CDLIS status and history requests are different than the rules for responding to PDPS status and history requests:

- In CDLIS,
 - there is only one SOR; the CDLIS SOR must maintain the complete DHR; the Current SOR, and only the Current SOR, must respond to CDLIS status and history requests (exception: the Old

SOR must respond to inquiries from the New SOR during the CSOR transaction as discussed above)

- all other jurisdictions must not respond (except for the Old SOR, as noted above, during a CSOR)
- In PDPS, all jurisdictions must respond to all requests

The rules for archiving or purging records of deceased drivers or records of drivers whose license has expired do not apply to the Old SOR. After the CSOR Transaction is successfully completed, the Old SOR must maintain all of the following, in an online mode, for at least 1 year following the successful completion of a CSOR. The Old SOR must maintain the driver's identification information to manually identify the driver and the driver's New SOR, and to forward any mailed convictions and withdrawals to the New SOR (primary identification data is required; additional identification data is optional):

- Primary identification data
 - New SOR and Driver License Number
 - Old SOR and Driver License Number
 - Name
 - Date of Birth
 - SSN
 - Driver Height
 - Driver Sex
- The Old SOR must also maintain all available data for the following:
 - Driver Weight
 - Driver Eye Color
 - AKA identification data
 - Issuing Jurisdiction and Driver License Number (up to 3)
 - Name (up to 3, paired with AKA DOBs)
 - DOB (up to 3, paired with AKA Names)
 - SSN (not more than to 1)

5.2.3 State of Conviction (SOC)

The State of Conviction (SOC) has the following data availability and retention responsibilities.

The SOC must retain the original record of a conviction for as long as the SOR must retain the conviction in the DHR.

The SOC must send a valid and complete conviction report on an out-of-state driver (as defined in the system specifications) to the SOR via CDLIS or by mail, within 10 days of the conviction date

Note: AAMVA strongly recommends that the SOC transmits conviction reports electronically via CDLIS.

If the SOC mails a conviction report, the SOC must permanently retain a log of the information it sent (equivalent to the log the CDLIS Central Site keeps permanently for the information sent in the HA message).

5.2.4 State of Withdrawal (SOW)

The State of Withdrawal (SOW) has the following data retention and availability responsibilities.

The SOW must retain the original record of the withdrawal for as long as the SOR must retain the withdrawal in the DHR.

The SOW must send a valid and complete withdrawal report on an out-of-state driver (as defined in the system specifications) to the SOR, via CDLIS or by mail, within 10 days of the withdrawal effective date.

Note: AAMVA strongly recommends that the SOW transmits withdrawal reports electronically via CDLIS.

If the SOW mails a withdrawal report, the SOW must permanently retain a log of the information it sent (equivalent to the log the CDLIS Central Site keeps permanently for information sent in the HW message).

5.2.5 State of Inquiry (SOI)

The SOI is not required to retain any data about a request for the driver status or driver history, whether the request is transmitted electronically via CDLIS or mailed.

5.2.6 CDLIS Central Site

The MPRs at the CDLIS Central Site are maintained online and are available as follows:

- The Production Region is available 23 X 7 between 4:00 am and 3:00 am Eastern time Monday through Sunday
- The Test Region operation is available Monday, Tuesday, Wednesday, Friday and Sunday from 7:00 am to 3:00 am Eastern Time and Thursday and Saturday from 7:00 am to midnight Eastern Time.

Every message that comes into the CDLIS Central Site and every message that goes out of the CDLIS Central Site (except those messages being returned to sender with an error) are retained permanently. Messages received are recorded on the incoming logs and messages sent by the CDLIS Central Site are recorded on outgoing logs.

The CDLIS Central Site will be closed on the following holidays (jurisdiction systems will not be required to be available):

- New Years Day
- Memorial Day
- Independence Day
- Labor Day
- Thanksgiving
- Christmas

6 CDLIS TRANSACTIONS

CDLIS transactions are predefined exchanges of driver information in sets of specified types of messages. A transaction is a series of messages sent to accomplish a specific business function. CDLIS transactions enable each jurisdiction to:

- Query both the CDLIS Central Site as well as other jurisdictions
- Report and negate out-of-state convictions (ROOSC) and withdrawals (ROOSW)
- Transfer the driver history to a New SOR
- Update the CDLIS Central Site MPRs owned by the jurisdiction.

The following sections, which are excerpted from the CDLIS System Specifications, describe the business process for each CDLIS transaction shown in the "CDLIS Transactions in the CDLIS Systems Specifications" table below. The following explanations apply to the column headings:

- “Tran Code” is the Transaction code of the transaction, which is cited in the section heading in the System Specifications
- "Transaction Name" is the designation for the transaction, which is cited in the System Specifications
- “(Originating Message)” is the two character code for the type of message that is the first message in the transaction.
- “Origin” and “Destination” are the nodes in the transaction, according to the following abbreviations:
 - CS = CDLIS Central Site
 - FMCSA = Federal Motor Carrier Safety Administration
 - SOC = State of Conviction
 - SOI = State of Inquiry
 - SOR = State of Record
 - SOW = State of Withdrawal
 - TPSP = Third Party Service Provider

CDLIS Transactions in the CDLIS Systems Specifications

| Tran Code | Transaction Name and (Originating Message) | Origin and Destination of Originating Message |
|------------------|---|--|
| CD01 | Search Inquiry (IM or IO) | SOI to CS |
| CD02 | Verification Inquiry (IN) | SOI to CS |
| CD03 | State-to-State Status Request (SG) | SOI to SOR |
| CD04 | State-to-State History Request (SB) | SOI to SOR |
| CD05 | Inquiry for AKA Data (IK) | SOI to CS |
| CD06 | Employer Inquiry (IW) | TPSP to CS |
| CD07 | Add New Driver (UA) | SOR to CS |
| CD08 | Change State of Record (UD) | New SOR to CS |
| CD09 | Change Data (UC) | SOR to CS |
| CD10 | Delete Master Pointer Record (UE) | SOR to CS |
| CD11 | Report Out-of-State Conviction (HA) | SOC to SOR via CS |
| CD12 | Negate Out-of-State Conviction (HH) | SOC to SOR via CS |
| CD13 | Duplicate Notification (NA) | CS to SOR |

| Tran Code | Transaction Name and (Originating Message) | Origin and Destination of Originating Message |
|------------------|--|--|
| CD14 | Mark Driver Unique (UG) | SORs to CS |
| CD15 | Update AKA Data (UK) | SOR to CS |
| CD16 | Report Out-of-State Withdrawal (HW) | SOW to SOR via CS |
| CD17 | Negate Out-of-State Withdrawal (HY) | SOW to SOR via CS |
| CD18 | Minimal Data Driver Search Inquiry (IF) | FMCSA to CS |
| CD30 | CDLIS Batch Inquiry (EM) and (EQ) | SOI to CS |
| CD31 | MPR Data Quality Validation and Verification | SOR to CS |
| CD32 | (Pilot) DHR Data Quality Validation and Verification | SOR to CS |

The following sections contain information about the business process and the transaction that is performed each time the business process is triggered. Each section also contains a Process Implementation Chart (PIC), which is a graphical representation of the transaction showing the flow of messages and the processes that handle the messages.

PIC DESCRIPTION:

The PIC shows what occurs within a process and when it occurs. The timeframe and steps for completing the process are shown in chronological order from the top to the bottom of the chart.

Timeframe and triggering event are documented in the leftmost column of the PIC.

The PIC also reflects the various processors that are involved in performing one or more functions in support of the overall process. Processors are listed across the top of the chart from left to right. A given processor's responsibilities are portrayed within the processor's column boundaries on the PIC.

The flow of information between processors is represented by arrows. A single-headed arrow means one message is transmitted. A multi-headed arrow means that more than one message may be transmitted.

Each function is labeled with a number that corresponds to a section in the detailed logical description that follows the PIC. Common functions used by multiple processes are slightly smaller and shaded to differentiate them from process-specific functions.

ICONS USED:

The following is a list of the most commonly used icons and a brief description.



Terminal: Initiating event



Rectangle: Manual, interactive, or automated function



Shaded Rectangle with Solid Border: Called common process



Shaded Rectangle with Dashed Border: Called common process



Media Symbol: Automated file or database



Solid Arrow: Inquiry, update, or response message flow



Dashed Arrow: Error message flow



Dotted Arrow: Call to common process



Grayed Arrow: Automated file transfer

6.1 SEARCH INQUIRY (CD01)

Business Process Overview

Description

The Search Inquiry is a request for a driver's Master Pointer Record (MPR) and license status. The transaction enables the inquirer to determine whether a driver already exists on the CDLIS Central Site. It is used when it is not known whether a given individual is on the CDLIS Central Site. The Search Inquiry retrieves driver records based on the information sent in the Search Inquiry (IM) message. The Search Inquiry is a broader inquiry than the Verification Inquiry.

The Search Inquiry may be implemented using one of two message types, both of which are identical, except for the message type name. Message type names are used for transaction reporting, to keep track of the purpose of the inquiries used. For jurisdictions who want to track and/or report on Search Inquiries conducted prior to adding a new driver, for example, the Search Inquiry Preceding an Add Driver (IO) message may be used. The message types defined for the Search Inquiry are the following:

- Search Inquiry Preceding an Add Driver (IO)
- All other uses of the Search Inquiry (IM)

Participants

- State of Inquiry (SOI)
 - U.S. jurisdiction
- CDLIS Central Site
- State of Record (SOR)
 - U.S. jurisdiction

Pre-Requisites

None

Standard Processing

- An inquirer makes a request by sending a Search Inquiry message to the CDLIS Central Site.
- Upon receipt of the Search Inquiry, the CDLIS Central Site:
 - Validates the driver identification information in the message
 - Retrieves MPRs that match based on the information
 - Returns information from the Central Site to the inquirer
 - If one and only one record is retrieved and the driver's SOR is not also the inquirer, the CDLIS Central Site sends a status request message to the SOR. If the driver's SOR is the inquirer, there is no need to send a status request because the inquirer can check its own Driver History Record (DHR).
- Upon receipt of the status request message, the SOR:
 - Validates the message data
 - Retrieves the DHR
 - Returns status information* to the inquirer
- The CDLIS Common Validation Processor performs edits on the status information before forwarding it to the State of Inquiry (SOI)
- Upon receipt of the status information from the SOR via the CDLIS Common Validation Processor, the inquirer checks the messages for errors.

* Jurisdictions that are on Release 5.3 or greater send all required medical certificate information based on the

driver's self certification as stated in the current CDLIS State Procedures Manual.

Inputs

The Search Inquiry includes the driver's name and date of birth. It may optionally include the licensing jurisdiction code and driver's license number combination, the driver's Social Security Number, and up to three AKA names.

If the driver's Social Security Number is provided as input, and is a Social Security Administration (SSA) assigned number, it is recommended that the State first verify the driver's name, date of birth and Social Security Number combination with the Social Security Administration (SSA).

Outputs from Standard Processing

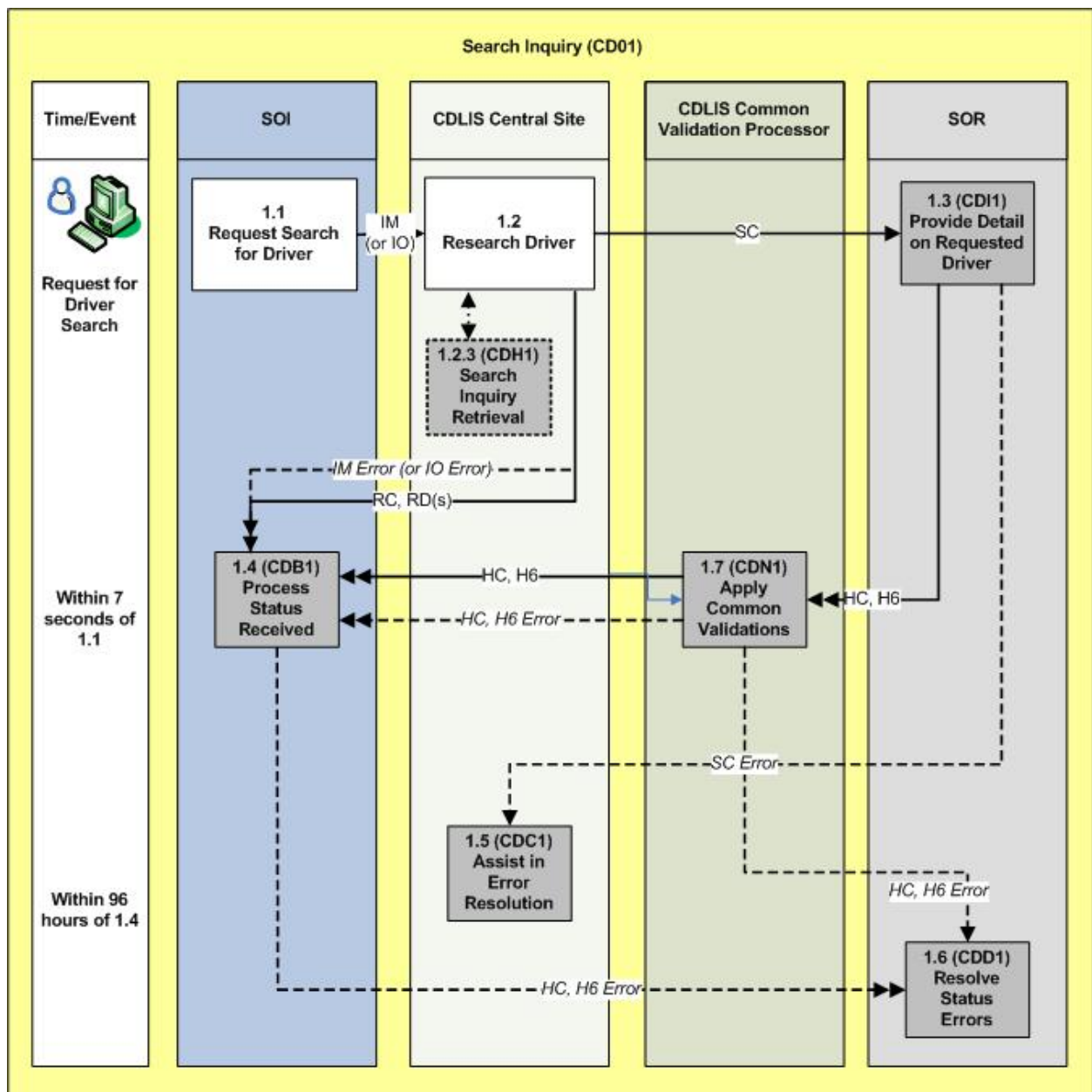
- Central Site to the inquirer:
 - The Central Site returns information on the number of matches found, along with the MPR data for each match, up to 15 drivers. Only those AKA fields essential in determining the match are returned (unlike the AKA Data Inquiry, which returns all AKA fields).
- Central Site to the SOR:
 - When there is one and only one match, the Central Site sends driver identification information to the SOR for lookup
- SOR to the inquirer:
 - The SOR sends the driver's history status data (*i.e.*, data identifying and describing the driver, including driving privileges with associated dates and contact details) and permit restrictions

Error Processing

- Central Site
 - If the Search Inquiry does not pass the edit validations performed by the CDLIS Central Site, the Central Site returns an error to the inquirer. No further processing is performed.
- SOR
 - If the SOR cannot locate the driver upon receipt of a status request, the SOR returns an error to the CDLIS Central Site.
- Inquirer
 - If a response from the SOR does not pass the edit validations performed by the inquirer, the inquirer returns an error to the SOR.

Post-Requisites

- If more than 15 matches are found and none of the first 15 matches returned can be determined with certainty to be the driver in question, the inquirer can change the search criteria to reduce the number of matches (e.g. eliminate AKA data).
- The inquirer evaluates the status information and permit restriction information (if applicable) and considers them when deciding on future courses of action.



Search Inquiry

6.2 VERIFICATION INQUIRY (CD02)

Business Process Overview

Description

The Verification Inquiry is a request for a driver's Master Pointer Record (MPR) and license status. The transaction enables an inquirer to verify the existence of a given driver. The Verification Inquiry searches for driver records based on the information sent in the Verification Inquiry (IN) message. It is used when a driver is known to exist on CDLIS, such as when a driver is transferring licensure to another jurisdiction. Compared to the Search Inquiry, the Verification Inquiry:

- Returns more information
- Requires more mandatory input fields and consequently is a narrower search than the Search Inquiry

The Verification Inquiry may be implemented using one of six message types, all of which are identical save for the message type name. Message type names are used for transaction reporting, to keep track of the purpose of the inquiries used. The message types defined for the Verification Inquiry are the following:

- Verification Inquiry Preceding Change Data/Mark Driver Unique (IA)
- Verification Inquiry Preceding Delete Master Pointer Record (IB)
- Verification Inquiry Preceding Change State of Record (IC)
- Verification Inquiry Preceding Report Out-of-State Conviction (ID)
- Verification Inquiry Preceding State-to-State History Request (IE)
- All other uses of the Verification Inquiry (IN)

Participants

- State of Inquiry (SOI)
 - U.S. jurisdiction
- CDLIS Central Site
- State of Record (SOR)
 - U.S. jurisdiction

Pre-Requisites

None

Standard Processing

- An inquirer makes a request by sending a Verification Inquiry message to the CDLIS Central Site.
- Upon receipt of the Verification Inquiry, the CDLIS Central Site:
 - Validates the driver identification information in the message
 - Retrieves MPRs that match, exactly or approximately, on any of the search fields
 - Returns information from the Central Site to the inquirer
 - For each of up to 5 MPRs retrieved, if the driver's SOR is not also the inquirer, the CDLIS Central Site sends a status request message to the SOR. If the driver's SOR is the inquirer, there is no need to send a status request because the inquirer can check its own Driver History Record (DHR).
- Upon receipt of the status request message, each SOR:
 - Validates the message data
 - Retrieves the DHR
 - Returns status information* to the inquirer

- The CDLIS Common Validation Processor performs edits on the status information before forwarding it to the State of Inquiry (SOI)
- Upon receipt of the status information from the SOR(s), the inquirer checks the messages for errors.

* Jurisdictions that are on Release 5.3 or greater send all required medical certificate information based on the driver's self certification as stated in the current CDLIS State Procedures Manual.

Inputs

The Verification Inquiry includes the driver's name and date of birth. It also includes one or both of the following:

- The licensing jurisdiction code and driver's license number combination
- The driver's Social Security Number (SSN)

If the driver's Social Security Number is provided as input, and is a Social Security Administration (SSA) assigned number, it is recommended that the State first verify the driver's name, date of birth and Social Security Number combination with the Social Security Administration (SSA).

Outputs from Standard Processing

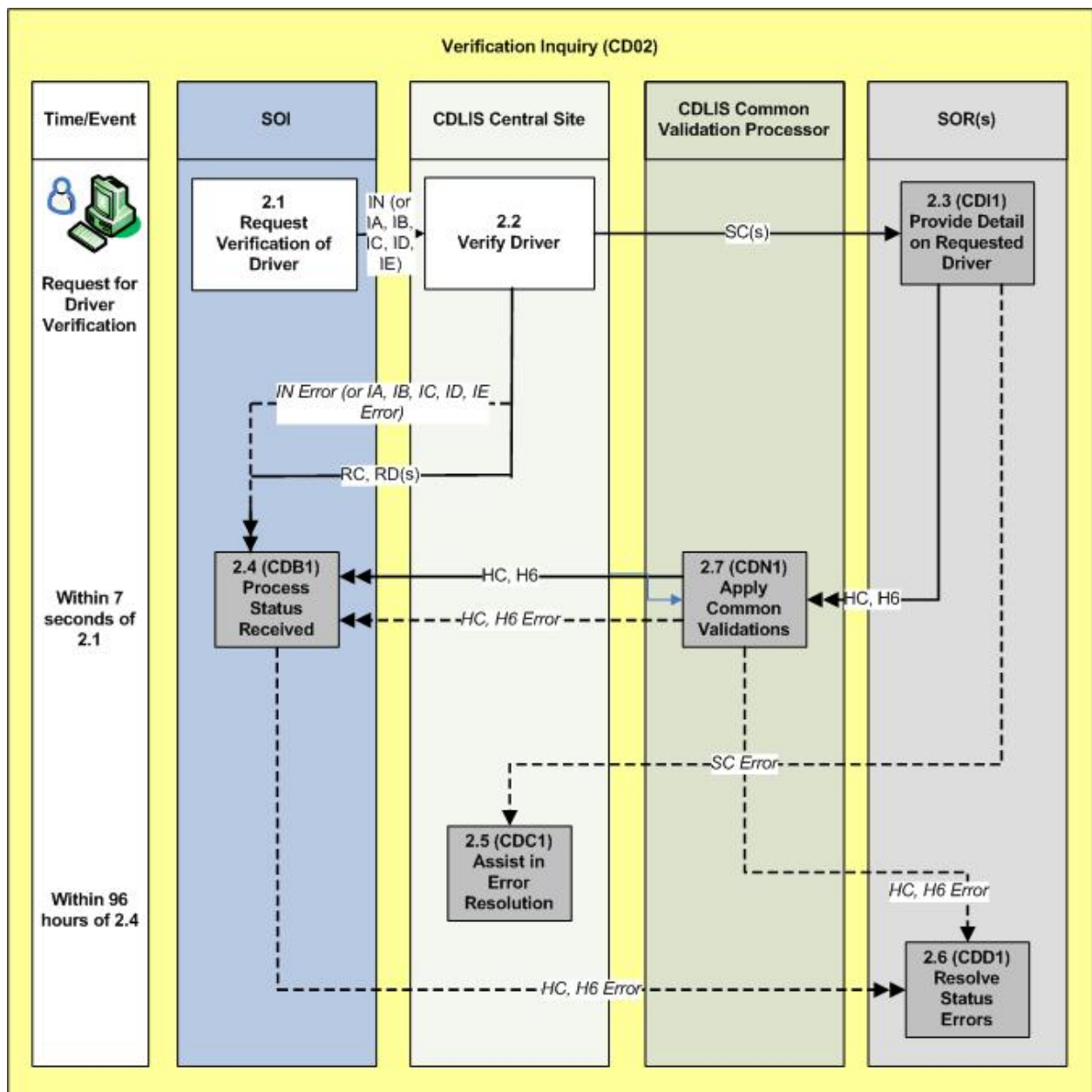
- Central Site to the inquirer:
 - The Central Site returns information on the number of matches found, along with the MPR data for each match, up to 5 drivers
- Central Site to the SOR:
 - The Central Site sends driver identification information to each of up to 5 SOR(s) for lookup
- SOR(s) to the inquirer:
 - Each SOR sends the driver's history status data (*i.e.*, data identifying and describing the driver, driving privileges and associated dates, and contact details) and permit restrictions

Error Processing

- Central Site
 - If the Verification Inquiry does not pass the edit validations performed by the CDLIS Central Site, the Central Site returns an error to the inquirer. No further processing is performed.
- SOR
 - If the SOR cannot locate the driver upon receipt of a status request, the SOR returns an error to the CDLIS Central Site.
- Inquirer
 - If a response from the SOR does not pass the edit validations performed by the inquirer, the inquirer returns an error to the SOR.

Post-Requisites

- If more than 5 matches are found and none of the first 5 matches returned can be determined with certainty to be the driver in question, the inquirer submits a Search Inquiry. The Search Inquiry returns a broader set of matches from which the inquirer may be able identify the driver in question.
- The inquirer evaluates the status information and permit restriction information (if applicable) and considers them when deciding on future courses of action.



Verification Inquiry

6.3 STATE-TO-STATE STATUS REQUEST (CD03)

Business Process Overview

Description

A State-to-State Status Request enables an inquirer to obtain status information on a Commercial Driver's License (CDL) holder directly from the State of Record (SOR) without inquiring through the CDLIS Central Site.

A typical use of this transaction is to obtain the status information for a driver who was one of several returned as matches on a Search Inquiry. Since status requests are not sent when a Search Inquiry results in more than one match, the State-to-State Status Request gives the inquirer a tool for obtaining the status for any or all of the matched drivers.

This transaction may also be used to verify the status of a CDL when an out-of-state license is presented to a jurisdiction.

The inquirer may request the status for only one driver at a time with this transaction.

Participants

- State of Inquiry (SOI)
 - U.S. jurisdiction
 - FMCSA
 - FMCSA-authorized entity
 - Canadian jurisdiction - cannot send inquiry to Mexico
- State of Record (SOR)
 - U.S. jurisdiction
 - Canadian jurisdiction
 - Licencia Federal Information Systema (LIFIS) (the Mexican National Database) and Federal Convictions and Withdrawal Database (FCWD) - cannot receive inquiry from Canadian jurisdiction

Pre-Requisites

None

Standard Processing

- An inquirer makes a request by sending a State-to-State Status Request message to the SOR.
- Upon receipt of the State-to-State Status Request, the SOR:
 - Validates the driver identification information in the message
 - Retrieves the status information
 - Returns status information* to the inquirer
- The CDLIS Common Validation Processor performs edits on the status information before forwarding it to the State of Inquiry (SOI)
- Upon receipt of the response messages from the SOR, the inquirer checks the messages for errors.

* Jurisdictions that are on Release 5.3 or greater send all required medical certificate information based on the driver's self certification as stated in the current CDLIS State Procedures Manual

Inputs

The State-to-State Status Request includes the licensing jurisdiction code and driver's license number combination. It may optionally include the driver name, date of birth, and Social Security Number.

Outputs from Standard Processing

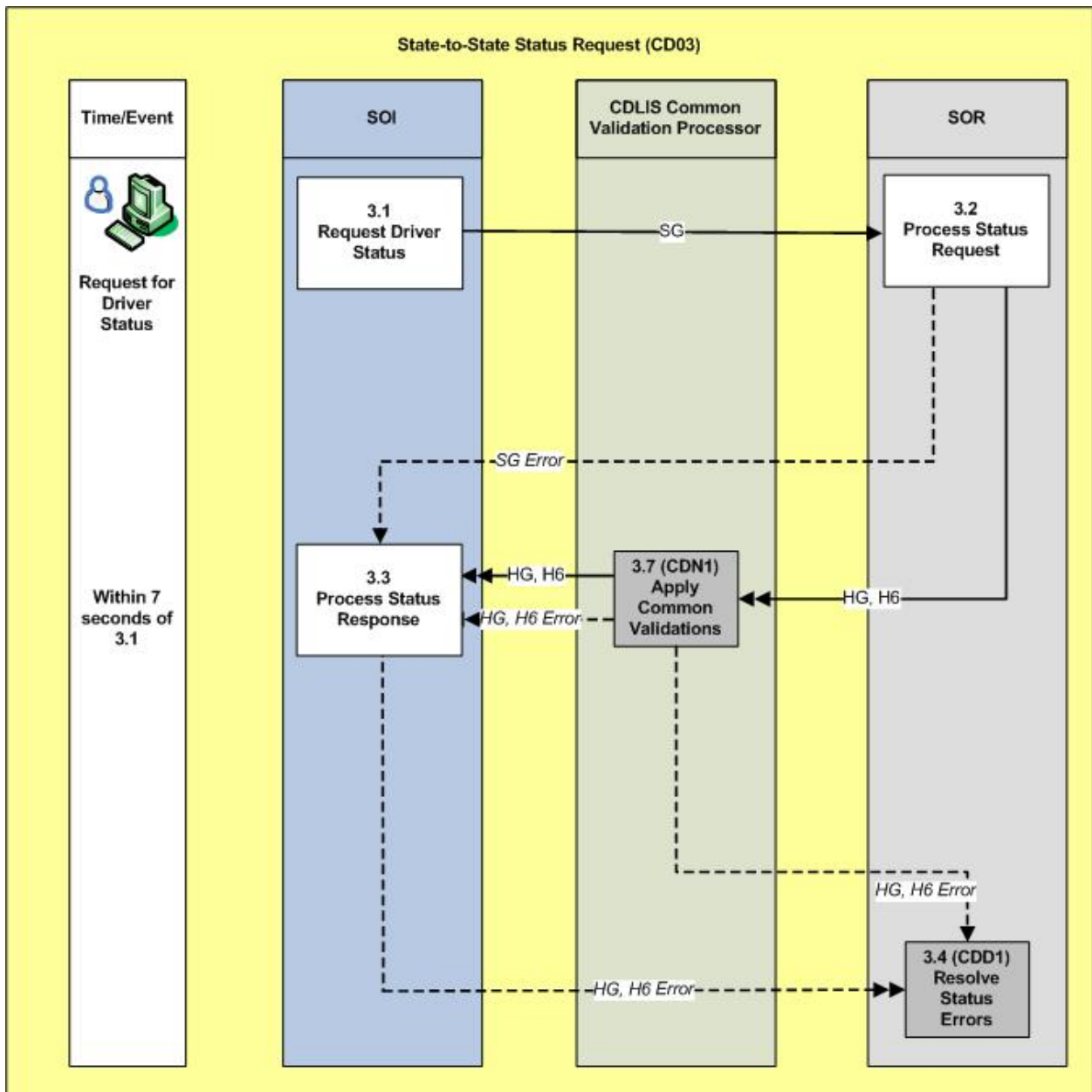
- SOR to the inquirer:
 - The SOR sends the driver's current status data (*i.e.*, data identifying and describing the driver, driving privileges and associated dates, contact details), and permit restrictions

Error Processing

- SOR
 - If the State-to-State Status Request does not pass the edit validations or if the SOR cannot locate the driver, the SOR returns an error to the inquirer
 - If a jurisdiction receives a State-to-State Status Request and is not the current SOR, it must return an error to the inquirer. The only exception is when the jurisdiction is the Old SOR during a Change State of Record (CSOR) transaction. In this case, the Old SOR must respond to status requests from the New SOR until the CSOR is complete. These rules differ from the PDPS rules where all jurisdictions respond to all status requests.
- Inquirer
 - If a status response does not pass the edit validations performed by the inquirer, the inquirer returns an error to the SOR.

Post-Requisites

- The inquirer evaluates the status information and permit restriction information (if applicable) received and uses it as desired.



State-to-State Status Request

6.4 STATE-TO-STATE HISTORY REQUEST (CD04)

Business Process Overview

Description

A State-to-State History Request enables an inquirer to obtain the Driver History Record (DHR) on a Commercial Driver's License (CDL) holder directly from the State of Record (SOR) without inquiring through the CDLIS Central Site

Typically, a U.S. licensing jurisdiction uses this transaction on a driver being considered for a Change State-of-Record (CSOR), after first identifying the driver and the driver's SOR with a Search Inquiry, Verification Inquiry, or Verification Inquiry Preceding State-to-State History Request.

The inquirer may request the history for only one driver at a time with this transaction.

Participants

- State of Inquiry (SOI)
 - U.S. jurisdiction
 - FMCSA
 - FMCSA-authorized entity
- CDLIS Common Validation Processor
- State of Record (SOR)
 - U.S. jurisdiction
 - Licencia Federal Information Systema (LIFIS) (the Mexican National Database) and Federal Convictions and Withdrawal Database (FCWD)

Pre-Requisites

None

Standard Processing

- An inquirer makes a request by sending a State-to-State History Request message to the SOR.
- Upon receipt of the State-to-State History Request, the SOR:
 - Validates the driver identification information in the message
 - Retrieves the DHR
 - Returns driver history information* to the inquirer
- The CDLIS Common Validation Processor performs edits on the history information before forwarding it to the State of Inquiry (SOI)
- Upon receipt of the response message from the State of Record (SOR) via the CDLIS Common Validation Processor, the State of Inquiry (SOI) performs any additional required validations not already performed by the CDLIS Common Validation Processor.

* Jurisdictions that are on Release 5.3 or greater send all required medical certificate information based on the driver's self certification as stated in the current CDLIS State Procedures Manual

Inputs

The State-to-State History Request includes the licensing jurisdiction code and driver's license number combination. It may optionally include the driver name, date of birth, and Social Security Number

Outputs from Standard Processing

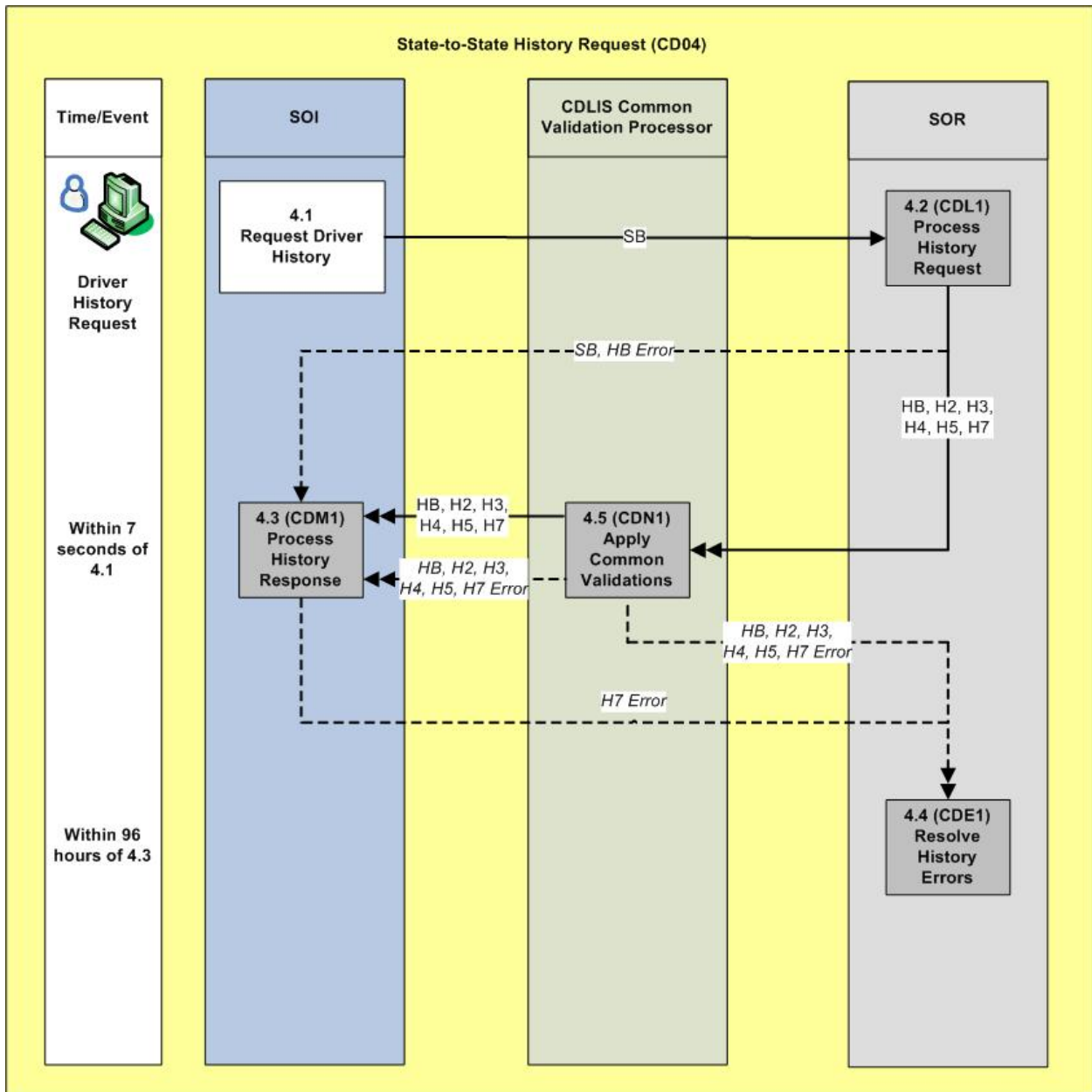
- SOR to the inquirer:
 - The SOR sends the driver's history data. The messages include information identifying and describing the person, and the license, permits, and up to 50 convictions, 50 accidents, 50 withdrawals, and 50 withdrawal-convictions linkages, if available and allowed under jurisdiction law. If the driver has more than 50 ACD convictions, withdrawals or withdrawal-conviction(s) linkages on record, the SOR transmits the 50 most recent ACD convictions, withdrawals and withdrawal-conviction(s) linkages, and mails all the ACD convictions, withdrawals, and linkages.

Error Processing

- SOR
 - If the State-to-State History Request does not pass the edit validations or if the SOR cannot locate the driver, the SOR returns an error to the inquirer.
 - If a jurisdiction receives a State-to-State History Request and is not the current SOR, it must return an error to the inquirer. The only exception is when the jurisdiction is the Old SOR during a Change State of Record (CSOR) transaction. In this case, the Old SOR must respond to history requests from the New SOR until the CSOR is complete. These rules differ from the PDPS rules where all jurisdictions respond to all history requests.
- Inquirer
 - If a history response does not pass the edit validations performed by the inquirer, the inquirer returns an error to the SOR.

Post Requisites

When an SOI receives the driver history, it determines whether any information in the history precludes it from granting a license or requires it to conduct additional processing. For instance, unless the history shows that a 10-year history check has already been completed, one is initiated.



State-to-State History Request

6.5 INQUIRY ON AKA DATA (CD05)

Business Process Overview

Description

The AKA Data Inquiry transaction functions exactly the same as the Search Inquiry except that all AKA data present on any matching Master Pointer Record (MPR) is returned on the response, as opposed to only those AKA fields essential in determining the match.

Participants

- State of Inquiry (SOI)
 - U.S. jurisdiction
 - FMCSA
 - FMCSA-authorized entity
- CDLIS Central Site
- State of Record (SOR)
 - U.S. jurisdiction

Pre-Requisites

None

Standard Processing

- An inquirer makes a request by sending an AKA Inquiry message to the CDLIS Central Site.
- Upon receipt of the AKA Inquiry, the CDLIS Central Site:
 - Validates the driver identification information in the message
 - Retrieves MPRs that match, exactly or approximately, on any of the search fields provided
 - Returns information from the Central Site to the inquirer
 - If one and only one record is retrieved and the driver's SOR is not also the inquirer, the CDLIS Central Site sends a status request message to the SOR. If the driver's SOR is the inquirer, there is no need to send a status request because the inquirer can check its own Driver History Record (DHR).
- Upon receipt of a status request message, the SOR:
 - Validates the message data
 - Retrieves the DHR
 - Returns status information* to the inquirer
- The CDLIS Common Validation Processor performs edits on the status information before forwarding it to the State of Inquiry (SOI)
- Upon receipt of the status information from the SOR, the inquirer checks the messages for errors.

* Jurisdictions that are on Release 5.3 or greater send all required medical certificate information based on the driver's self certification as stated in the current CDLIS State Procedures Manual

Inputs

The AKA Inquiry message includes the driver's name and date of birth. It may optionally include the licensing jurisdiction code and driver's license number combination, the driver's Social Security Number (SSN), and up to three AKA names or dates of birth.

If the driver's Social Security Number is provided as input, and is a Social Security Administration (SSA) assigned number, it is recommended that the State must verify the driver's name, date of birth and Social Security Number combination with the Social Security Administration (SSA).

Outputs from Standard Processing

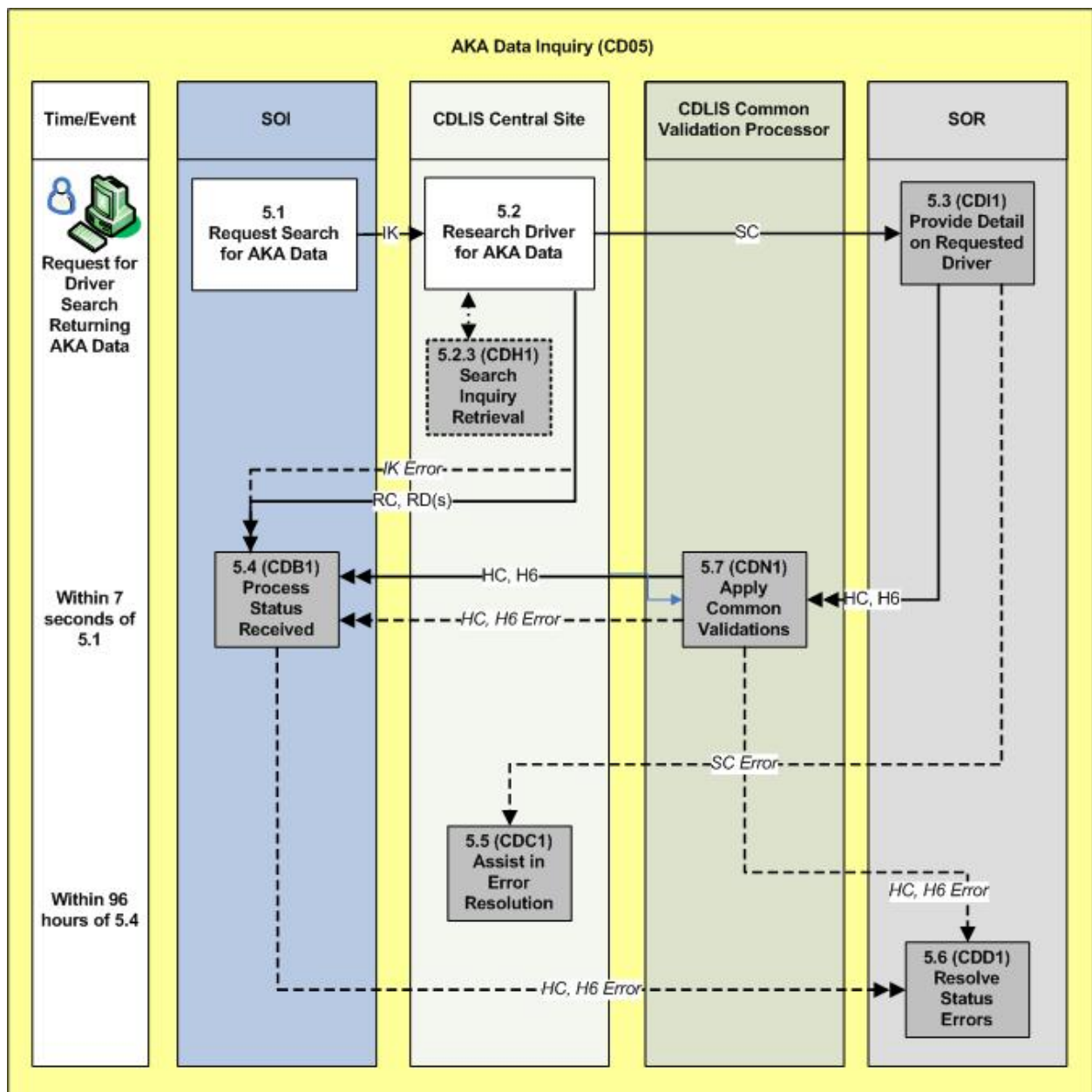
- Central Site to the inquirer:
 - The Central Site returns information on the number of matches found, along with the MPR data for each match, up to 15 drivers
- Central Site to the SOR:
 - When there is one, and only one, match, the Central Site sends driver identification information to the SOR for lookup
- SOR to the inquirer:
 - The SOR sends the driver's history status data (*i.e.*, data identifying and describing the driver, driving privileges and associated dates, contact details) and permit restrictions

Error Processing

- Central Site
 - If the AKA Data Inquiry does not pass the edit validations performed by the CDLIS Central Site, the Central Site returns an error to the inquirer. No further processing is performed.
- SOR
 - If the SOR cannot locate the driver upon receipt of a status request, the SOR returns an error to the CDLIS Central Site.
- Inquirer
 - If a response from the SOR does not pass the edit validations performed by the inquirer, the inquirer returns an error to the SOR.

Post-Requisites

None



Inquire on AKA Data

6.6 EMPLOYER INQUIRY (CD06)

Business Process Overview

Description

The Employer Inquiry is a request for a driver's current State of Record (SOR). The Commercial Motor Vehicle Safety Act of 1986, states "Employers are prohibited from knowingly allowing a driver with multiple licenses to operate company vehicles". The Employer Inquiry transaction provides the first step for employers to check a driver's identity and ensure compliance with the law. An employer seeking to conduct a background check uses this transaction to locate the SOR that holds the applicant's Driver History Record (DHR). This inquiry does not provide the State of Record's (SOR's) driver history data.

Participants

- Third Party Provider
 - Employer
 - Third-Party Service Provider (TPSP) (on behalf of an employer)
- CDLIS Central Site

Pre-Requisites

None

Standard Processing

- An inquirer makes a request by sending an Employer Inquiry message to the CDLIS Central Site.
- Upon receipt of the Employer Inquiry, the CDLIS Central Site:
 - Validates the driver identification information in the message
 - Retrieves MPRs that match on the provided driver identification information
 -
 - Returns information from the Central Site to the inquirer

Inputs

The Employer Inquiry message includes the driver's name and SSN.

Outputs from Standard Processing

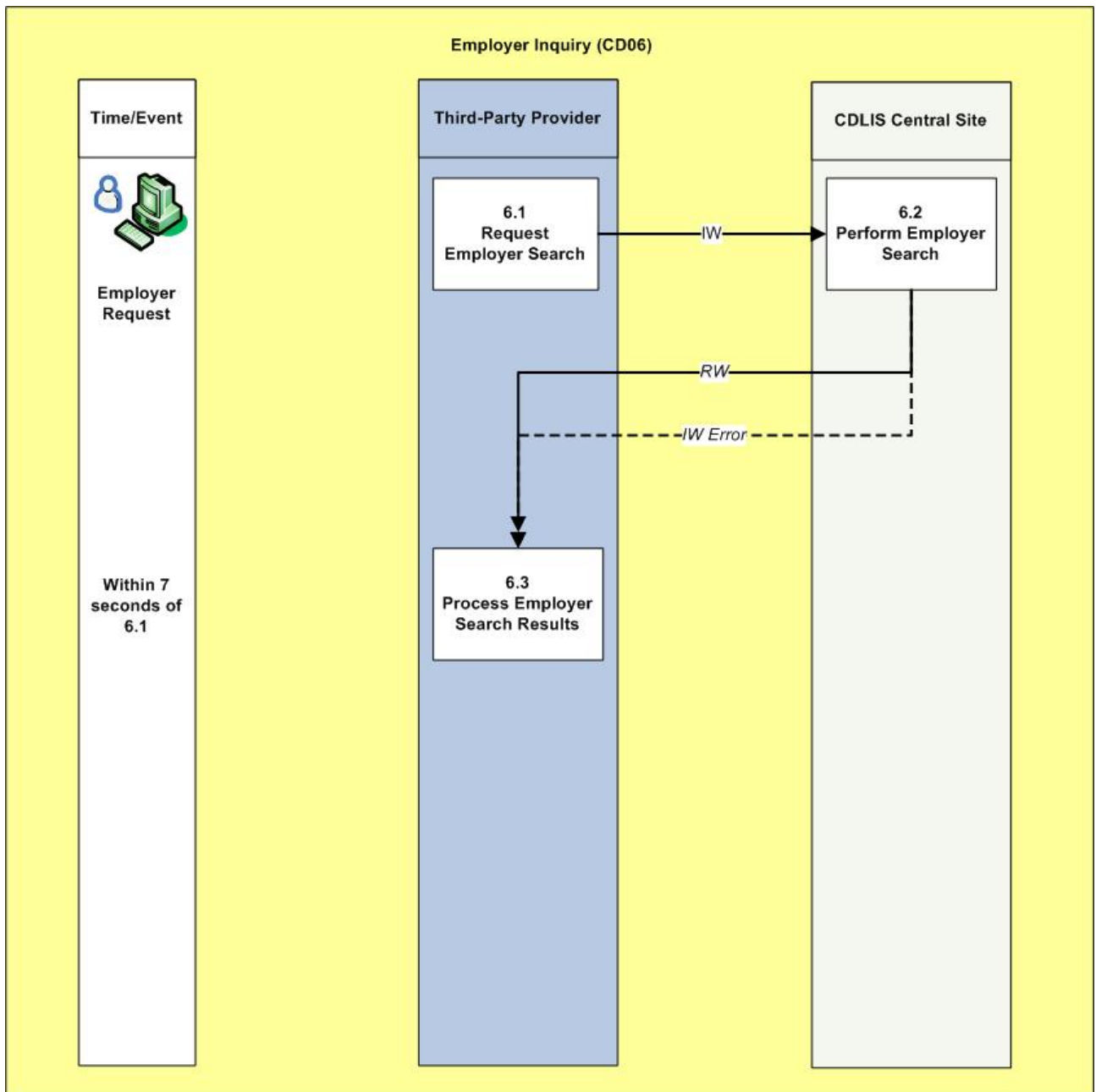
- Central Site to the inquirer:
 - If a match is found, the Central Site returns the driver's license number and jurisdiction code, name, date of birth, , and available AKA information, Gender will also be returned for those inquirers at a version older than 5.1.

Error Processing

- Central Site
 - If the Employer Inquiry does not pass the validations performed by the CDLIS Central Site, the Central Site returns an error to the inquirer. No further processing is performed.

Post-Requisites

- If desired, the inquirer may contact the SOR specified on the response message to obtain more detailed information about the driver.



Inquire on Driver by Employer

6.7 ADD NEW DRIVER (CD07)

Business Process Overview

Description

The Add New Driver transaction enables a State of Record (SOR) to add a Master Pointer Record (MPR) to the CDLIS Central Site. An MPR is added to CDLIS within 10 days of issuing a Commercial Drivers License (CDL) to a driver who is believed to have never previously held one or when a non-commercial driver is convicted of a violation in a commercial motor vehicle.

Participants

- State of Record (SOR)
 - U.S. jurisdiction
- CDLIS Central Site

Pre-Requisites

The SOR uses the transaction after complying with federal regulations regarding the issuance of a CDL, such as checking CDLIS and PDPS.

To help ensure the success of the transaction, a prospective SOR submits a Search Inquiry or Search Inquiry Preceding Add New Driver to the CDLIS Central Site to verify that no MPR exists for the driver.

Standard Processing

- An SOR sends an Add Driver message to the CDLIS Central Site.
- Upon receipt of the Add Driver message, the CDLIS Central Site:
 - Validates the driver identification information in the message
 - Checks to see if the jurisdiction code and driver's license number combination already exists
 - Checks to see if any drivers can be considered possible duplicates for the new driver; if so, issues notifications of possible duplicate driver to all SORs affected, including the SOR that submitted the Add Driver message
 - Adds the new MPR to the Central Site
 - Returns a confirmation to the SOR

Inputs

The Add Driver message includes all driver identification information required to be stored at the CDLIS Central Site. Optionally, the message may include other descriptive and AKA data.

If the driver's Social Security Number is provided as input, and is a Social Security Administration (SSA) assigned number, it is recommended that the State first verify the driver's name, date of birth and Social Security Number combination with the Social Security Administration (SSA).

Outputs from Standard Processing

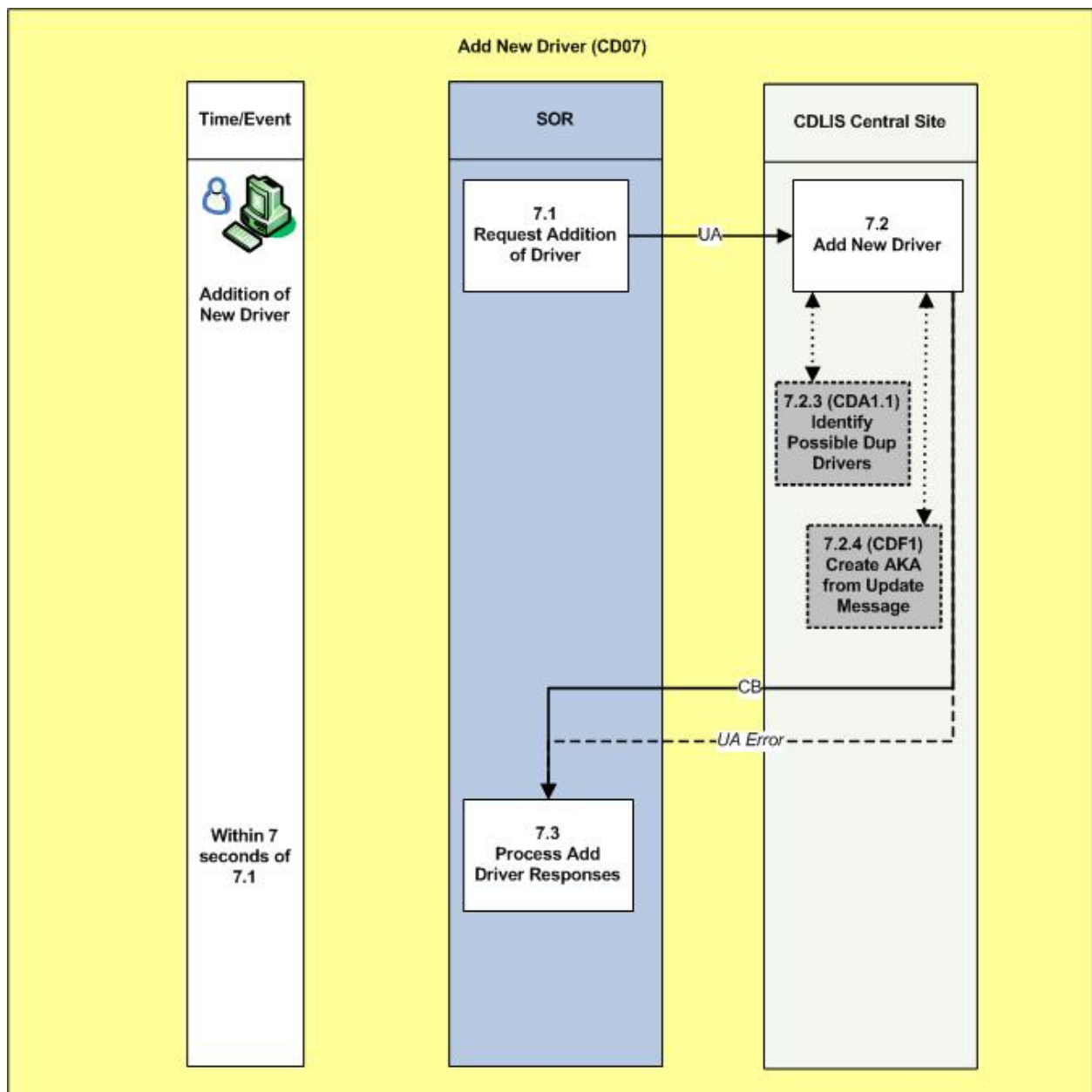
- Central Site to the SOR:
 - A confirmation message that the driver was successfully added
 - A notification message if a possible duplicate driver already exists
- Central Site to other SORs:
 - If one or more possible duplicate drivers already exist, the Central Site sends notifications to the SORs for those drivers

Error Processing

- Central Site
 - If the Add Driver message does not pass the edit validations performed by the CDLIS Central Site, the Central Site returns an error to the inquirer. No further processing is performed.

Post-Requisites

- Once the MPR is added to the CDLIS Central Site, the SOR is responsible for maintaining the data on the driver and responding to inquiries.
- Upon receipt of a notification of possible duplicate driver, the SOR works with the other SORs to resolve the duplicate. Please refer to the Business Process Overview section of “6.21 DUPLICATE DRIVER PROCESS (CDA1)” for more information related to duplicate resolution and jurisdiction responsibilities.



Add New Driver

6.8 CHANGE STATE OF RECORD (CD08)

Business Process Overview

Description

The Change State of Record (CSOR) transaction is used to transfer a Driver History Record (DHR) from an Old State of Record (Old SOR) to a New State of Record (New SOR) and to reflect this change in the Master Pointer Record (MPR).

The new jurisdiction officially becomes the New SOR when the CSOR transaction is initiated. Simultaneously, the old jurisdiction becomes the Old SOR. The new roles are reflected on the MPR once the CDLIS Central Site retrieves and updates the MPR.

To simplify this description, the terms “New SOR” and “Old SOR” are used to refer to the new and old jurisdictions, respectively, regardless of whether or not the CSOR has been initiated.

The CSOR transaction is not used when Canadian or Mexican CDL holders move to the U.S. In these cases, the driver is added as a new driver. The previous CDL’s jurisdiction code and driver’s license number combination may be entered in the corresponding AKA fields. The transaction is also not used for U.S. CDL holders moving to Mexico or Canada.

When a driver is downgrading from a CDL to a non-CDL license, the issuing state must initiate the CSOR process and accept responsibility as the New State of Record.

Participants

- New State of Record (SOR)
 - U.S. jurisdiction
- CDLIS Central Site
- CDLIS Common Validation Processor
- Old State of Record (SOR)
 - U.S. jurisdiction

Pre-Requisites

- The New SOR:
 - Submit a Verification Inquiry, Verification Inquiry Preceding Change State of Record, or a Search Inquiry and verify the response to ensure the driver is identified correctly and to check the driver status
 - Submit a PDPS Inquiry to the National Driver Register's (NDR) Problem Driver Pointer System (PDPS)
 - Initiate a "10-year history check", if one has not been completed
- It is recommended that the New SOR:
 - Submit a Search Inquiry with the changed data prior to initiating the CSOR if any primary identification data is to be changed during the CSOR. This allows the New SOR to identify any potential duplicate drivers before the CSOR is initiated
 - Submit a State-to-State History Request and review the driver history.
 - Work with the Old SOR to resolve any data problems identified during the inquiry and review process before initiating the CSOR.

Standard Processing

- The New SOR sends a CSOR update message to the CDLIS Central Site.
- Upon receipt of the CSOR update message, the CDLIS Central Site:

- Validates the driver identification information in the message
- Determines if the CSOR update message is an ‘Original’ or a ‘Resent’ message. If the message is not a ‘Resent’ message, the CDLIS Central Site:
 - If the New SOR is changing the driver’s name, date of birth, and/or Social Security Number (SSN), checks to see if any drivers can be considered possible duplicates for the new driver; if so, issues notifications of possible duplicate driver to all SORs affected, including the SOR that submitted the CSOR update message
 - Retrieves the driver’s MPR
 - Updates the MPR by noting the initiator of the CSOR transaction as the New SOR and the recipient of the CSOR request as the Old SOR
- Returns a confirmation to the New SOR
- Sends a DHR request to the Old SOR*
- Upon receipt of the DHR request, the Old SOR:
 - Validates the message data
 - Retrieves the DHR
 - Adds the New SOR's jurisdiction code and driver license number combination to its DHR so it can respond to status and history requests from the New SOR until such time as the CSOR is complete**
 - Returns driver history information to the New SOR
- The CDLIS Common Validation Processor performs edits on the history information before forwarding it to the New State of Record (SOR)
- Upon receipt of the response message from the Old State of Record (SOR) via the CDLIS Common Validation Processor, the New State of Record (SOR) performs any additional required validations not already performed by the CDLIS Common Validation Processor.
- The New SOR performs the following within 96 hours:
 - Issues a CDL or denies the application
 - Creates the DHR and post the history
 - Sends a confirmation to the CDLIS Central Site
- Upon receipt of the confirmation from the New SOR, the CDLIS Central Site:
 - Validates the information
 - Verifies the information matches the updated MPR
 - Sends confirmations to both the New SOR and Old SOR that the CSOR is complete

* Once the Central Site has forwarded a DHR Request to the Old SOR, the transaction cannot be aborted or reversed; it is carried through to its normal conclusion. Even if the New SOR denies the application and does not issue a CDL, the CSOR is completed.

** The New SOR is permitted to submit status and history requests to the Old SOR until the CSOR is complete.

*** Jurisdictions that are on Release 5.3 or greater send all required medical certificate information based on the driver’s self certification as stated in the current CDLIS State Procedures Manual

Inputs

The CSOR includes the driver’s identification data (driver's license number and jurisdiction code combination, name, date of birth, Social Security Number) consistent with the information returned from the inquiries performed prior to submission of the update. It also includes the New SOR’s jurisdiction code and driver’s license number combination. The CSOR optionally includes changes or corrections to the driver identification information. Alternatively the New SOR can initiate a Change Data transaction after completion of the CSOR.

If changing the driver’s name, date of birth and/or Social Security Number, and the Social Security Number is a

Social Security Administration (SSA) assigned number, the new driver's name, date of birth and Social Security Number combination must first be verified with the Social Security Administration (SSA).

Outputs from Standard Processing

- Central Site to the New SOR:
 - A confirmation message that the CSOR is in progress
 - A notification message if driver identification data was changed and a possible duplicate driver already exists. Please refer to the Business Process Overview section of "6.21 DUPLICATE DRIVER PROCESS (CDA1)" for more information related to duplicate resolution and jurisdiction responsibilities.
- Central Site to the Old SOR:
 - The Central Site sends driver identification information to the SOR for lookup
- Old SOR to the New SOR:
 - The Old SOR sends the driver's history data. The messages include information identifying and describing the person, and the license, permits, and up to 50 convictions, 50 accidents, 50 withdrawals, and 50 withdrawal-convictions linkages, if available and allowed under jurisdiction law. If the driver has more than 50 ACD convictions, withdrawals or withdrawal-conviction(s) linkages on record, the SOR transmits the **50 most recent** ACD convictions, withdrawals and withdrawal-conviction(s) linkages, and mails **all** the ACD convictions, withdrawals, and linkages.
- New SOR to the CDLIS Central Site:
 - A confirmation message that the driver history was successfully received and processed
- Central Site to the New SOR and Old SOR:
 - A confirmation message that the CSOR is complete

*

Error Processing

- Central Site
 - If the CSOR update message does not pass the edit validations performed by the CDLIS Central Site, the Central Site returns an error to the message originator. No further processing is performed (*e.g.* the SOR is not changed at the CDLIS Central Site even if a new license has been issued prior to the receipt of history).
- Old SOR*
 - If the Old SOR cannot locate the driver upon receipt of a DHR request, the Old SOR returns an error.
- New SOR*
 - If a driver history response does not pass the edit validations performed by the New SOR, the New SOR returns an error to the Old SOR.
- CDLIS Central Site
 - If a completion confirmation received from a New SOR does not pass the edit validations performed by the CDLIS Central Site, the CDLIS Central Site returns an error to the New SOR.

* When the Old SOR issues or receives an error as described above, the New SOR may resend the driver's identification data and the New SOR's jurisdiction code and driver's license number combination to the CDLIS Central Site. The resent information must exactly match the original information (with the exception of the unique message identification number). This will result in the CDLIS Central Site resending the driver identification data to the Old SOR for lookup.

The identification of possible duplicate drivers does not halt processing of the CSOR transaction, nor does it prevent information resent by the New SOR from being processed.

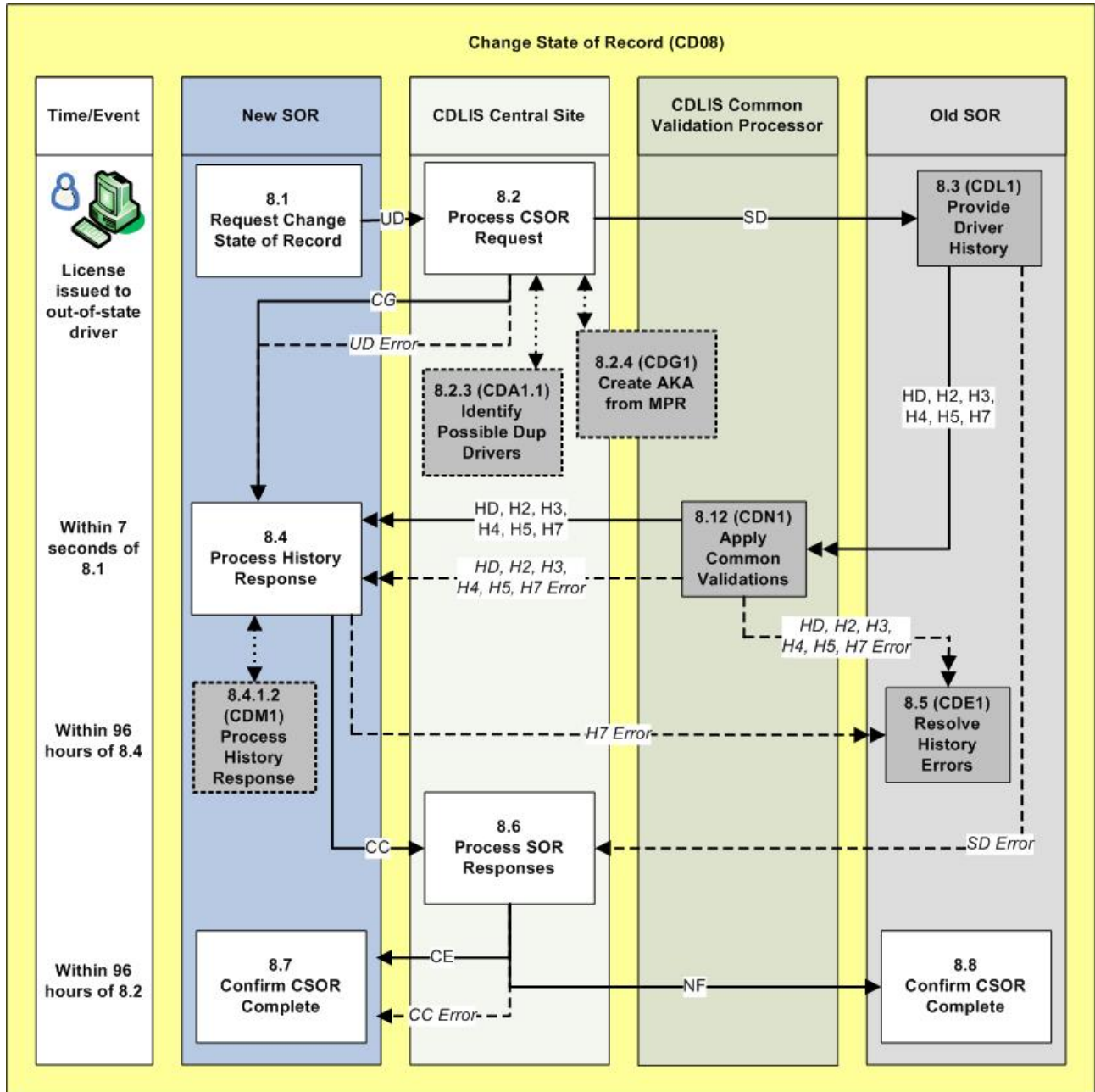
Post-Requisites

- New SOR
 - Once a New SOR has initiated a Change State of Record transaction, the New SOR has taken ownership of the individual's CDLIS Master Pointer Record. It is neither possible to abort nor reverse the process. The process must be carried through to its normal conclusion. This is true even if data problems on the DHR cause the CSOR to be put in suspense. Note that this means the New SOR must post a new out-of-state conviction or withdrawal for that driver to its record even if the CSOR has not yet completed.
 - If the New SOR desires to undo the effect of the Change State of Record after it is complete, there are two methods that may be employed. The Old SOR may be contacted and asked to do either of the following. In both cases, the two SORs must work closely to ensure the pointer and all driver history is in its original, pre-CSOR form.
 - initiate another Change State of Record transaction to resume ownership of the driver's CDLIS Master Pointer Record. In this case the original Old SOR will need to submit a Change Data (CD09) or Update AKA Data (CD15) transaction to correct any AKA data modified during the CSORs (at a minimum, the AKA DLNs will have been changed). Extreme care must be taken to ensure the history received from the original New SOR contains only information included on the driver's history prior to the erroneous CSOR.
 - recreate the pointer after deletion of the MPR by the New SOR.
 - After a CSOR has been initiated, if a New SOR cannot determine whether any previous SOR took a required driver control action based on one or more convictions, that are either:
 - (1) federally mandated and the Conviction Commercial Vehicle Indicator (DCVCOM) is '1' (Yes), or
 - (2) federally mandated and the Conviction HAZMAT Indicator (DCVHAZ) is '1' (Yes), or
 - (3) federally mandated and occurred on or after 10/01/2005 and the Citation CDL Holder Indicator (DCICHI) is '1' (Yes),

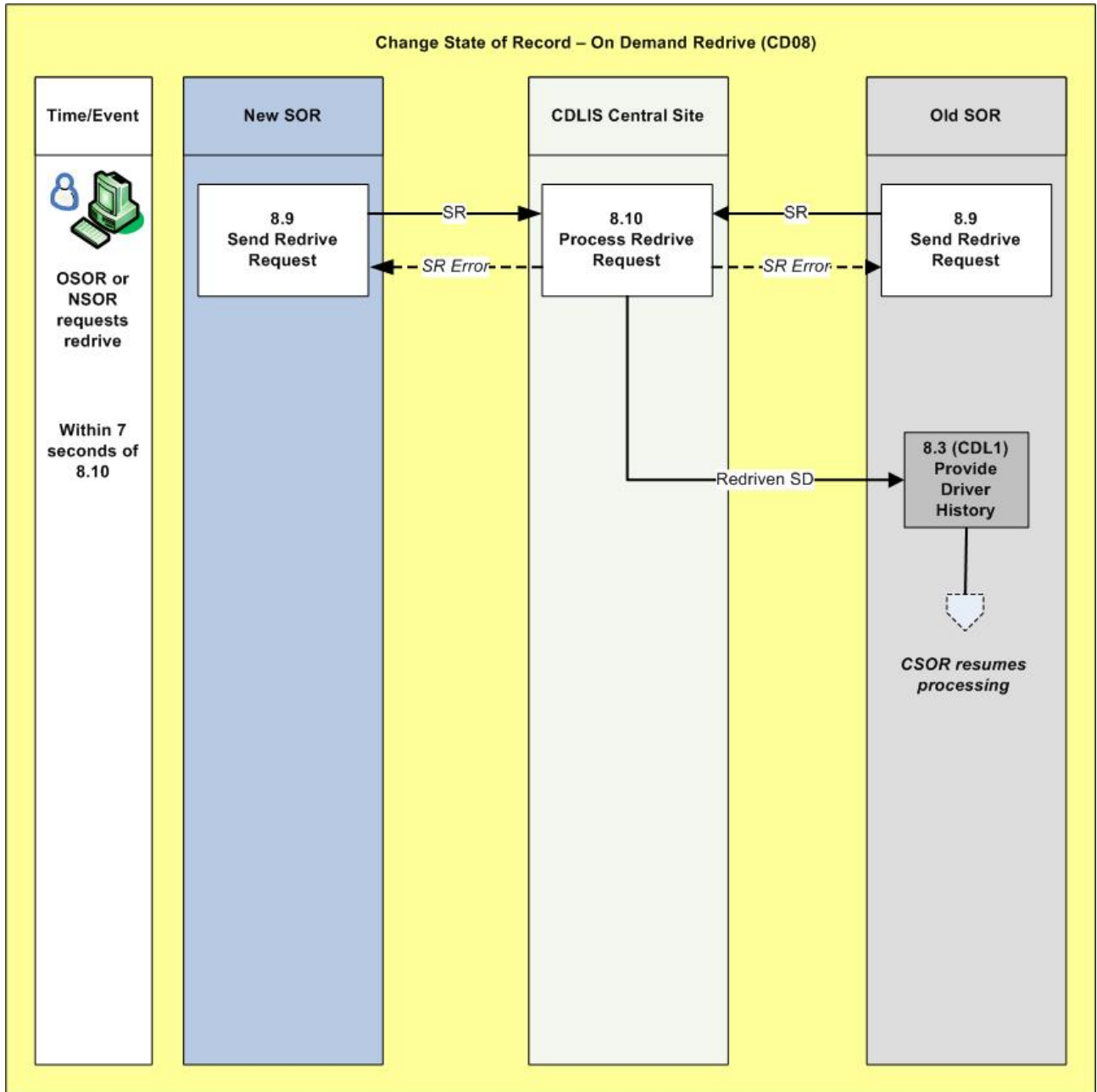
the New SOR must take the required driver control action as if the offense happened in its own state.

Note that the assessment of driver control actions must take into consideration any convictions or withdrawals received after the CSOR has been initiated, even if the CSOR has not yet successfully completed.

- Old SOR
 - Once the CSOR is initiated, the Old SOR:
 - No longer owns, and therefore can no longer update, the MPR data
 - Returns all State-to-State Status Requests and State-to-State History Requests to the inquirer in error unless the request was sent by the New SOR prior to completion of the CSOR transaction
 - Once the CSOR is completed, the Old SOR:
 - Does not respond to an inquiry on a driver for which it is no longer the SOR, but returns all inquiries in error
 - Clearly annotates its DHR to indicate it is no longer the SOR

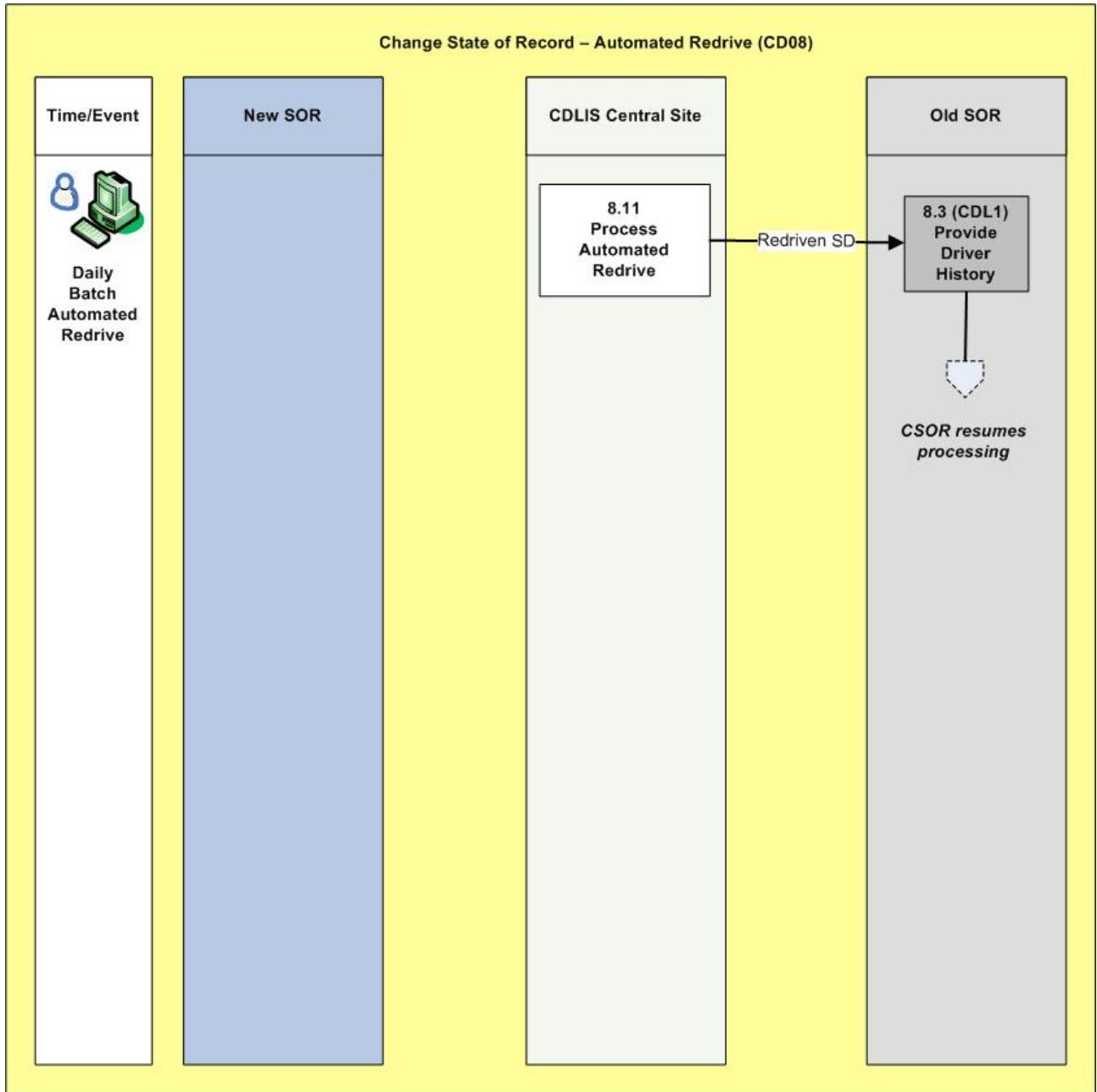


Change State of Record



Change State of Record – On Demand Redrive

Note: The On Demand Redrive and Automated Redrive functions are being retired in 2014. If the New SOR desires to redrive a Change State of Record (CSOR) transaction after it has become suspended, the New SOR can submit a 'Resent' CSOR (UD) message to CDLIS Central Site.



Change State of Record – Automated Redrive

Note: The On Demand Redrive and Automated Redrive functions are being retired in 2014. If the New SOR desires to redrive a Change State of Record (CSOR) transaction after it has become suspended, the New SOR can submit a 'Resent' CSOR (UD) message to CDLIS Central Site.

6.9 CHANGE DATA (CD09)

Business Process Overview

Description

The Change Data transaction enables a State of Record (SOR) to update or correct data on a Master Pointer Record (MPR) at the CDLIS Central Site.

Participants

- State of Record (SOR)
 - U.S. jurisdiction
- CDLIS Central Site

Pre-Requisites

- The SOR must comply with federal regulations to ensure the correct MPR will be updated.
- To help ensure the success of the transaction, an SOR submits a Verification Inquiry or a Verification Inquiry Preceding Change Data/Mark Driver Unique to the CDLIS Central Site to verify that the correct MPR is identified.

Standard Processing

- An SOR sends a Change Data message to the CDLIS Central Site.
- Upon receipt of the Change Data message, the CDLIS Central Site:
 - Validates the driver identification information in the message
 - Checks to see if a possible duplicate is created; if so, issues notifications of possible duplicate driver to all SORs affected, including the SOR that submitted the Change Data message
 - Retrieves and updates the MPR as requested, unless a Change State of Record (CSOR) is in progress. If both primary and AKA driver identification data is changing, the CDLIS Central Site first applies the AKA data changes, and then applies the changes to the primary identification data. The update to primary identification data moves the existing identification data (at the CDLIS Central Site) to the most recent AKA identification data before adding the new identification data. The SOR takes this into account when submitting changes to both primary and AKA driver identification data.
 - Returns a confirmation to the SOR
 - Evaluates all changes to determine whether any drivers previously identified as possible duplicates will no longer be duplicates once the record is updated; if so, issues notifications of duplicate resolution to all SORs affected

Inputs

The Change Data message includes the driver's identification data (driver's license number, Social Security Number, name, date of birth) consistent with the information returned from the inquiries performed prior to submission of the update. It also includes a count reflecting the number of new AKA values sent. All other MPR values are optionally sent depending on what is being updated.

If changing the driver's name, date of birth and/or Social Security Number, and the Social Security Number is a Social Security Administration (SSA) assigned number, the new driver's name, date of birth and Social Security Number combination must first be verified with the Social Security Administration (SSA).

If no primary data element is changing, the jurisdiction may use the Update AKA Data transaction, which provides the ability to replace AKA data without affecting the primary Master Pointer Record data elements.

Outputs from Standard Processing

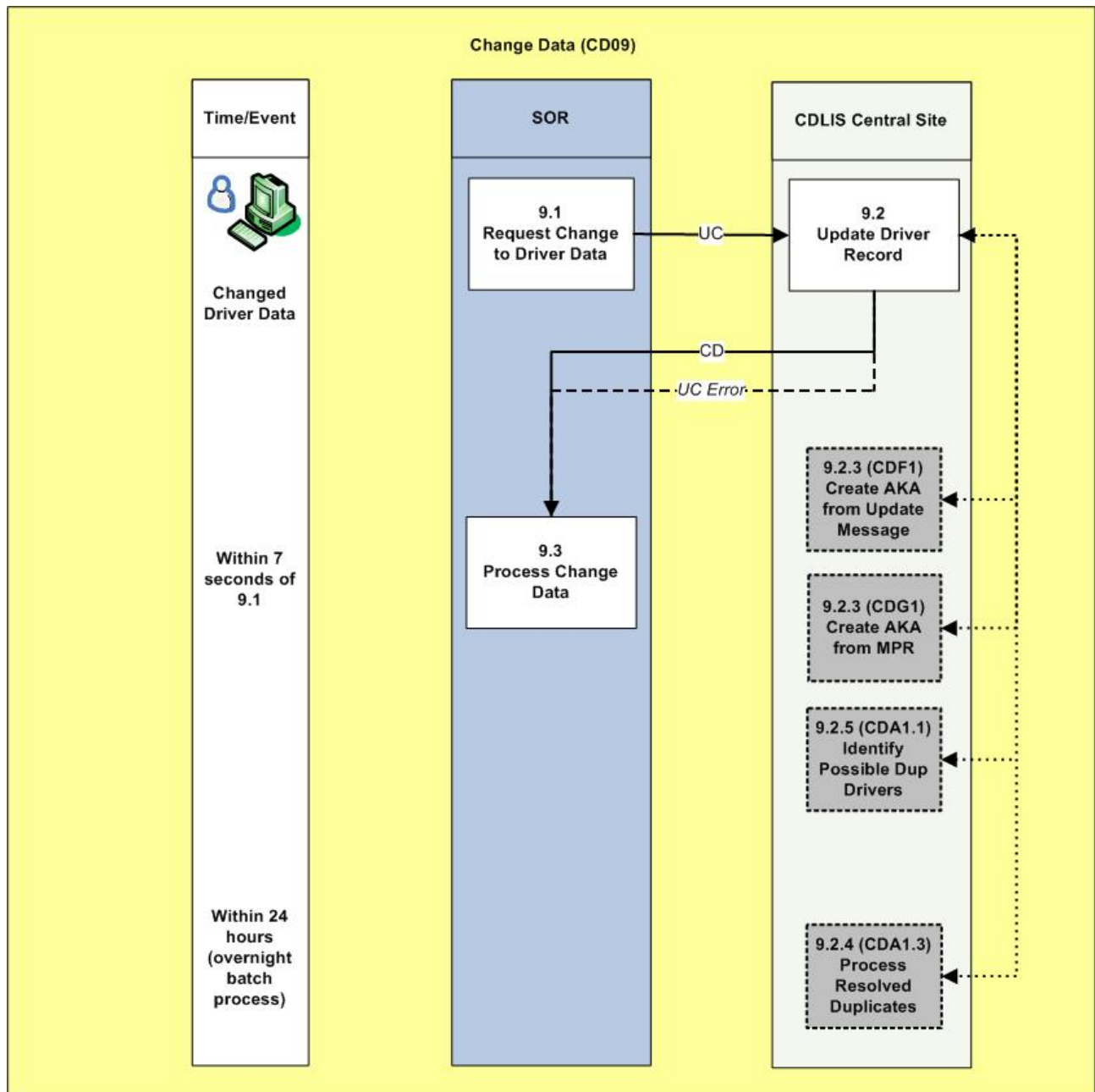
- CDLIS Central Site to the SOR:
 - A confirmation message that the driver was successfully updated
 - A notification message if a possible duplicate driver already exists
 - A notification message if a duplicate driver was resolved
- CDLIS Central Site to other SORs:
 - A notification message if a driver that possibly duplicates a driver already established by the other SOR was created on the CDLIS Central Site
 - A notification message if a duplicate driver was resolved

Error Processing

- Central Site
 - If the Change Data message does not pass the edit validations performed by the CDLIS Central Site, the Central Site returns an error to the inquirer. No further processing is performed.

Post-Requisites

- Upon receipt of a notification of possible duplicate driver, the SOR works with other SORs to resolve the duplicate. Please refer to the Business Process Overview section of “6.21 DUPLICATE DRIVER PROCESS (CDA1)” for more information related to duplicate resolution and jurisdiction responsibilities.



Change Driver Data

6.10 DELETE MASTER POINTER RECORD (CD10)

Business Process Overview

Description

The Delete Master Pointer Record transaction enables a State of Record (SOR) to delete a Master Pointer Record (MPR) from the CDLIS Central Site.

An MPR is only deleted after it is eligible for purging. An MPR is eligible for purging under the following conditions:

- The MPR is no longer subject to CDLIS data retention requirements. The SOR cannot delete the MPR until all convictions, accidents and withdrawals individually are no longer subject to CDLIS data retention requirements.
- The pointer record was created in error
- If an Add New Driver was performed when a CSOR should have been performed (thus creating a duplicate driver), the last MPR to be created is deleted. A CSOR is then completed and any missing history is added to the Driver History Record (DHR).

The Delete Master Pointer Record transaction is not used to delete an unwanted MPR if the driver possesses a commercial license document or was convicted of an offense in a CMV. Once an Add New Driver message is successfully processed by the CDLIS Central Site, the driver's record must remain on both the CDLIS Central Site and the SOR's database until it is eligible for deletion.

If it is suspected that the same person has two pointers, neither of the pointers should be deleted until it is confirmed that both pointers are, in fact, for the same person. Once this has been confirmed, the SORs must determine which jurisdiction 'owns' the driver. The jurisdiction that will be keeping the driver will need to obtain the history from the other. Only after this can the extraneous pointer be deleted. Until that time, the AKA names, and AKA jurisdiction code and driver's license number combinations are maintained for both pointers using the CDLIS Change Data or the Update AKA Data transactions

Participants

- State of Record (SOR)
 - U.S. jurisdiction
- CDLIS Central Site

Pre-Requisites

To help ensure the success of the transaction, an SOR submits a Search Inquiry, Verification Inquiry, or a Verification Inquiry Preceding Delete Master Pointer Record to the CDLIS Central Site to verify that the correct MPR is identified.

Standard Processing

- An SOR sends a Delete Master Pointer Record message to the CDLIS Central Site.
- Upon receipt of the Delete Master Pointer Record message, the CDLIS Central Site:
 - Validates the driver identification information in the message
 - Retrieves and updates the MPR as requested
 - Returns a confirmation to the SOR
 - Determines whether any drivers previously identified as possible duplicates will no longer be duplicates once the record is deleted; if so, issues notifications of duplicate resolution to all SORs affected

Inputs

The Delete Master Pointer Record message includes the driver's identification data (driver's license number and jurisdiction code combination, Social Security Number, name, and date of birth) consistent with the information returned from the inquiries performed prior to submission of the update.

Outputs from Standard Processing

- Central Site to the SOR:
 - A confirmation message that the driver was successfully deleted
 - A notification message if a duplicate driver was resolved
- Central Site to other SORs:
 - A notification message if a duplicate driver was resolved

Error Processing

- Central Site
 - If the Delete Master Pointer Record message does not pass the edit validations performed by the CDLIS Central Site, the Central Site returns an error to the inquirer. No further processing is performed.

Post-Requisites

None

6.11 REPORT OUT-OF-STATE CONVICTION (CD11)

Business Process Overview

Description

The Report Out-of-State Conviction transaction is used to report an ACD conviction (one at a time) on an out-of-state CDLIS driver to the State of Record (SOR)*. Because conviction(s) may cause the driver's license to be withdrawn, the State of Conviction (SOC) transmits complete and accurate conviction reports within the required time limits. Additional underlying convictions may also be reported by the State of Withdrawal (SOW) through the Report Out-of-State Withdrawal transaction.

The transaction enables jurisdictions to comply with the federal requirement [49 CFR §384.209] that the SOC must report to the SOR all convictions that meet the following criteria:

- The conviction was for a violation of any jurisdiction or local law relating to motor vehicle traffic control (other than a parking violation)
- The conviction was for a violation committed by a:
 - Person required to have a Commercial Driver's License (CDL), i.e., a non-CDL holder convicted of a violation while operating a Commercial Motor Vehicle (CMV)**, including a vehicle transporting hazardous materials
 - CDL holder in any vehicle

Mexican and Canadian driver Master Pointer Records (MPRs) are not stored on the CDLIS Central Site. If a Mexican driver gets a US conviction, the conviction is reported, either via CDLIS or via mail, to Mexico. U.S. convictions of Canadian drivers are not sent via CDLIS, but should be mailed.

For CDLIS to work properly, all convictions and withdrawals in the U.S. have to be sent to the current SOR so that proper penalties are applied and history accumulated. This is equally true for Licencia Federal de Conductor (LFC) drivers.

The Federal Conviction Withdrawal Database (FCWD) is the SOR for all LFC drivers. An LFC driver has a record established in the LIFIS database when he/she obtains an LFC license.

The FCWD, as the SOR for all LFC drivers, contains all U.S. convictions and U.S. withdrawals on LFC drivers (their DHR), as well as the driver's commercial status based on that history***.

This information allows border and enforcement personnel to determine whether or not a particular LFC driver should be allowed to drive in the U.S.

If States establish a pointer on CDLIS for an LFC driver, the associated conviction(s) and/or withdrawal(s) do not become part of the LFC driver's DHR, potentially allowing a driver who should be barred from driving on U.S. highways to enter the U.S. undetected.

If the jurisdiction knows the driver has a pointer on CDLIS (*e.g.* a former CDL holder who has down-graded to a non-CDL), jurisdictions may also report to the SOR an ACD conviction whether or not the driver currently holds a CDL. A jurisdiction does not submit a non-ACD conviction (a conviction that does not have a current conviction ACD code) via CDLIS. There is no requirement to query CDLIS to determine if a driver has a pointer for convictions of non-CMV, non-CDL holder violations.

* Convictions are transmitted electronically or as a paper copy via mail, but not both. Convictions submitted electronically and returned in error are corrected by the SOC before being resubmitted (or sent by paper copy); sending such convictions via paper copy without correction is not allowed.

** When the SOC convicts an out-of-state, non-CDL holder in a CMV, the SOR is determined based on the rules found in Section 9.1.1 Rules for Determining and Reporting "CDLIS Convictions" of the State Procedures Manual.

*** FMCSA determines the status of an LFC driver by looking at both the LFC driver's Mexican status in the LIFIS database and the status based on convictions and withdrawals in the FCWD. An MX history includes the same status received in a status message, plus all convictions and withdrawals from FMCSA's FCWD. As an example, a driver with a status of "LIC" in the LIFIS database and a status of "NOT" in the FCWD will reflect a CDLIS status of "NOT" and a restriction saying the license is "not valid in the U.S.".

Participants

- State of Conviction (SOC)
 - U.S. jurisdiction
- CDLIS Central Site
- State of Record (SOR)
 - U.S. jurisdiction
 - Licencia Federal Information Systema (LIFIS) (the Mexican National Database) and Federal Convictions and Withdrawal Database (FCWD)

Pre-Requisites

- To help ensure the success of the transaction, an SOC submits a Search Inquiry, a Verification Inquiry, or a Verification Inquiry Preceding Report Out-of-State Conviction to the CDLIS Central Site to verify that the correct MPR is identified
- If no license is presented at either the time of citation or conviction, the SOC becomes the SOR, creates the DHR at the jurisdiction, adds the MPR for the driver at the CDLIS Central Site, and posts the conviction to the DHR.

Standard Processing

- The SOC sends a Report Out-of-State Conviction message to the CDLIS Central Site.
- Upon receipt of the Report Out-of-State Conviction message, the CDLIS Central Site:
 - Validates the driver identification and conviction information in the message
 - Retrieves the driver's MPR
 - Forwards the conviction to the SOR*
- Upon receipt of the conviction information, the SOR performs the following within 96 hours **:
 - Validates the driver
 - Validates the conviction data using current rules
 - Verifies the conviction is not a duplicate
 - Retrieves the DHR
 - Adds the conviction to the DHR
 - Sends a confirmation to the CDLIS Central Site
- Upon receipt of the confirmation from the SOR, the CDLIS Central Site:
 - Validates the information
 - Sends a confirmation to the SOC that the transaction is complete

* If the driver is currently in the process of changing his/her SOR, the CDLIS Central Site forwards the conviction information to the New SOR.

** Federal regulations allow 10 days from receipt to post conviction information. However, if the Central Site does not receive the confirmation message within 96 hours, AAMVA notifies the SOR.

Inputs

The Report Out-of-State Conviction includes the driver's license number and jurisdiction code combination, name, and date of birth consistent with the information returned from the inquiries performed prior to submission of the update. It also includes the SOC, citation date and conviction data (not the information on the citation, if different).

The message may optionally contain the driver's Social Security Number and ACD code detail (as allowed or required by the code definition).

Outputs from Standard Processing

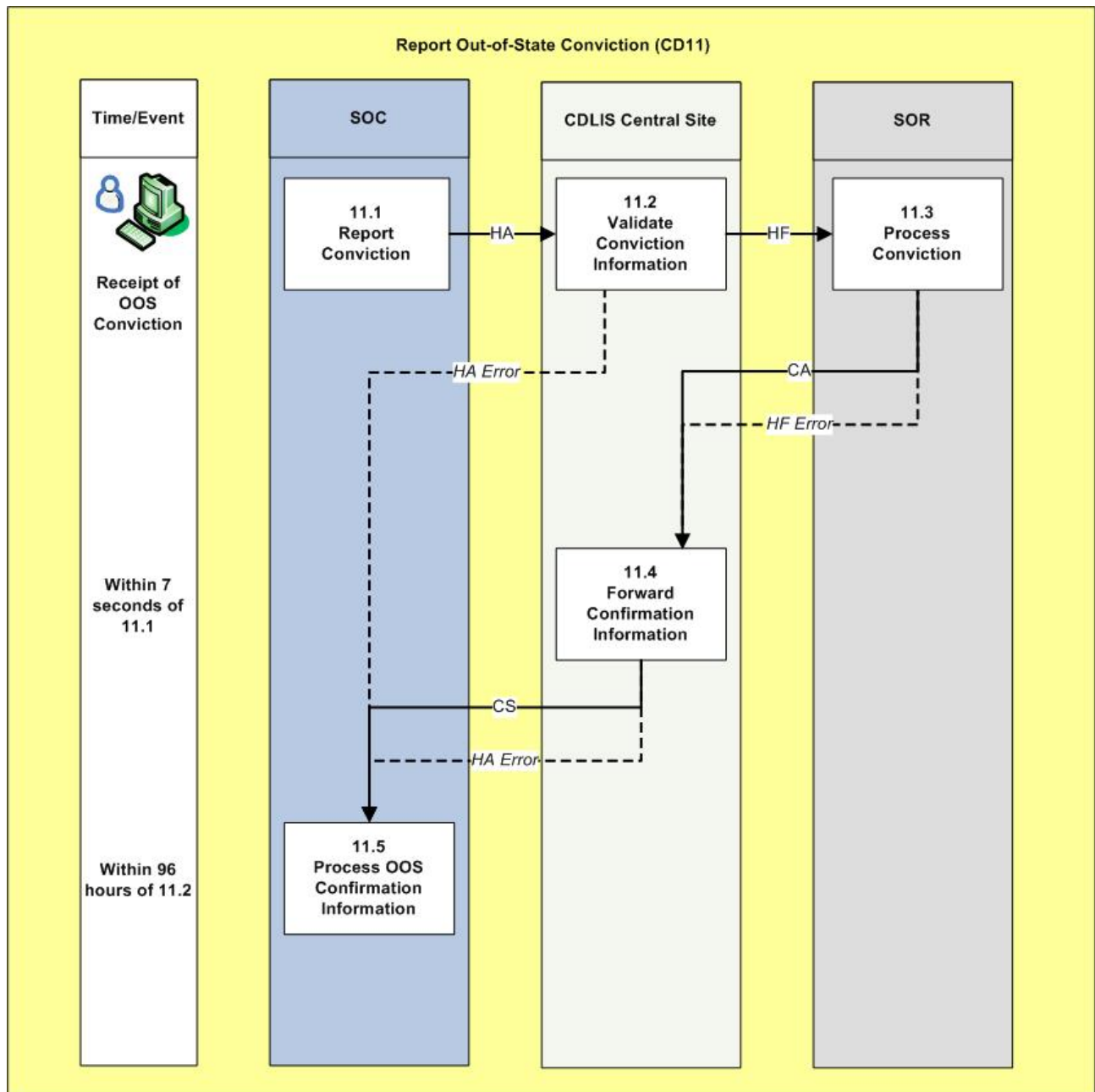
- Central Site to the SOR:
 - The Central Site sends driver identification and conviction information received from the SOC to the SOR
- SOR to the Central Site:
 - The SOR sends a confirmation that the conviction has been posted to the DHR
- Central Site to the SOC:
 - A confirmation message that the posting of the conviction is complete

Error Processing

- Central Site
 - If the Report Out-of-State Conviction message does not pass the edit validations performed by the CDLIS Central Site, the Central Site returns an error to the SOC. No further processing is performed.
 - If the SOR returns an error after receiving the conviction information, the Central Site forwards the error to the SOC
- SOR
 - If the SOR cannot locate the driver upon receipt of conviction information or there are problems with the conviction data itself, the SOR returns an error to the CDLIS Central Site.

Post-Requisites

- SOC
 - To be able to perform negation and to answer any questions about the original conviction, the SOC maintains the original record on any conviction according to CDLIS data retention rules.
- SOR
 - Correctly interpret the information on the CDLIS DHR to determine whether any withdrawal action is required, and, if so, what federal minimum applies
 - Take any necessary driver control actions, as if the conviction had occurred in the SOR's own jurisdiction, i.e., based on its own laws
 - Maintain the conviction on the CDLIS DHR according to CDLIS data retention rules
 - Must not substitute SOR values for any information provided by the SOC when storing the conviction on the CDLIS DHR unless it has written permission from the SOC to do so.



Report Out-of-State Conviction

6.12 NEGATE OUT-OF-STATE CONVICTION (CD12)

Business Process Overview

Description

Federally mandated convictions are defined in the AAMVA Code Dictionary (ACD) Manual. The Negate Out-of-State Conviction transaction provides a means for the State of Conviction (SOC) that convicted a driver to notify the State of Record (SOR) that an ACD conviction previously posted to the Driver History Record (DHR) must be negated (*i.e.*, either actually removed or marked as removed) from the driver history.*

* Conviction negations are sent only once and are transmitted either electronically or as a paper copy via mail, but not both. Conviction negations submitted electronically and returned in error are corrected by the SOC before being resubmitted (or sent by paper copy); sending such conviction negations via paper copy without correction is not allowed.

If the Negate Out-of-State Conviction is used to correct previously reported incorrect conviction information, the SOC negates the conviction, then reports the conviction again with the correct information using the Report Out-of-State Conviction transaction.

Participants

- State of Conviction (SOC)
 - U.S. jurisdiction
- CDLIS Central Site
- State of Record (SOR)
 - U.S. jurisdiction
 - Licencia Federal Information Systema (LIFIS) (the Mexican National Database) and Federal Convictions and Withdrawal Database (FCWD)

Pre-Requisites

- To help ensure the success of the transaction, an SOC submits a Search Inquiry or a Verification Inquiry to the CDLIS Central Site to verify that the correct MPR is identified, and submits a State to State History Request to ensure that the conviction is on the DHR.

Standard Processing

- The SOC sends a Negate Out-of-State Conviction message to the CDLIS Central Site.
- Upon receipt of the Negate Out-of-State Conviction message, the CDLIS Central Site:
 - Validates the driver identification and conviction information in the message*
 - Retrieves the driver's MPR
 - Forwards the negate conviction request to the SOR
- Upon receipt of the conviction information, the SOR performs the following within 96 hours:
 - Validate the driver identification and conviction information in the message
 - Retrieve the DHR and locate the conviction
 - Negate the conviction
 - Send a confirmation to the CDLIS Central Site
- Upon receipt of the confirmation from the SOR, the CDLIS Central Site:
 - Validates the information
 - Sends a confirmation to the SOC that the transaction is complete

* The CDLIS Central Site will reject the Negate Out-of-State Conviction message if one of the required fields is blank. If one of the required fields was blank on the Report Out-of-State Conviction message (possible because

the key data required changed when the Motor Carrier Safety Improvements Act (MCSIA) was implemented), the jurisdiction sends the conviction negation via mail.

Inputs

The Negate Out-of-State Conviction includes the driver's license number and jurisdiction code combination, name and date of birth consistent with the information returned from the inquiries performed prior to submission of the update (not the information on the citation, if different). It also includes the conviction data exactly as it was originally sent when reported. The message may optionally contain the driver's Social Security Number and ACD code detail (as allowed or required by the code definition).

Outputs from Standard Processing

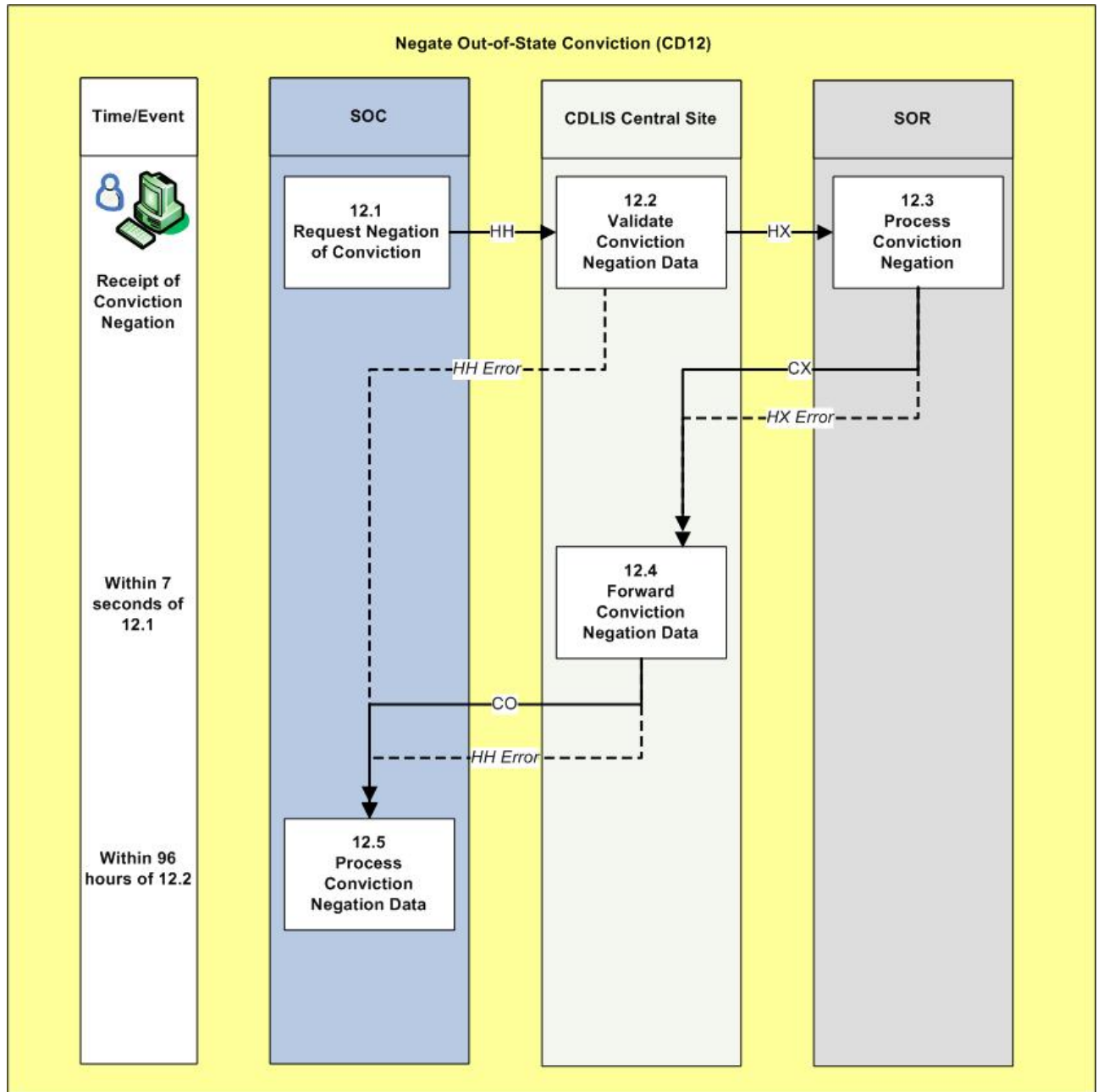
- Central Site to the SOR:
 - The Central Site sends driver identification and conviction negation information received from the SOC to the SOR
- SOR to the Central Site:
 - The SOR sends a confirmation that the conviction has been negated
- Central Site to the SOC:
 - A confirmation message that the conviction negation is complete

Error Processing

- Central Site
 - If the Negate Out-of-State Conviction message does not pass the edit validations performed by the CDLIS Central Site, the Central Site returns an error to the SOC. No further processing is performed.
 - If the SOR returns an error after receiving the conviction negation information, the Central Site forwards the error to the SOC
- SOR
 - If the SOR cannot locate the driver or conviction upon receipt of conviction negation information, the SOR returns an error to the CDLIS Central Site.

Post-Requisites

- SOC
 - In order to answer any questions about the conviction and its negation, the SOC must maintain the original record of the conviction negation for as long as the conviction would have been maintained as specified in the AAMVA Code Dictionary (ACD) Manual.
- SOR
 - The SOR is responsible for determining whether any corrective driver control actions are required based on the negation of the conviction. After negating the conviction, the SOR interprets the information and reverses any driver control action in which the conviction resulted (e.g. if the conviction was the sole cause of a license withdrawal and no additional convictions have been reported, the license is reinstated if the conviction is negated)
 - The SOR is not required to maintain any information about a conviction negation.



Negate Out-of-State Conviction

6.13 MARK DRIVER UNIQUE (CD14)

Business Process Overview

Description

The CDLIS Central Site checks for possible duplicate drivers based on Social Security Number (SSN) on every Add New Driver. It also performs the check for any Change State of Record (CSOR) and Change Data transaction if the name, date of birth, or SSN is changed. When duplicates are found, the Master Pointer Record (MPR) of each possible duplicate driver is marked as such and notifications are sent to the SOR(s) impacted.

The SORs receiving notifications determine whether or not the drivers are duplicates. If the SORs determine the matching information on the possible duplicates is accurate and positive determination is made that the drivers are, indeed, unique, both SORs initiate the Mark Unique transaction to specify that the two drivers with matching identification information are not the same.

Once a pair of drivers is marked unique to each other, they will no longer be identified as possible duplicates when subsequent changes that initiate the duplicate search logic are made to either record. No CDLIS Possible Duplicate (NA) messages will be sent identifying these two records as potential duplicates.

To simplify this Business Process Overview, the terms “Initiating SOR” and “Established SOR” are used to refer to the two SORs that initiate a Mark Unique transaction. The Initiating SOR is the SOR that submitted the message that caused a potential duplicate to be created. The Established SOR is the SOR that had a record on the CDLIS Central Site at the time the Initiating SOR created the potential duplicate.

Participants

- Initiating State of Record (SOR) #1
 - U.S. jurisdiction
- CDLIS Central Site
- Established State of Record (SOR) #2
 - U.S. jurisdiction

Pre-Requisites

- To help ensure the success of the transaction, an SOR may submit a Verification Inquiry Preceding Change Data/Mark Driver Unique to the CDLIS Central Site to verify that the correct MPR is identified.

Standard Processing

- Initiating SOR sends a Mark Unique message to the CDLIS Central Site.
- Established SOR sends a Mark Unique message to the CDLIS Central Site.
- Upon receipt of both Mark Unique messages, the CDLIS Central Site:
 - Validates the driver and duplicate driver identification information in both messages
 - Removes the duplicate designation on both MPRs
 - Issues notifications of duplicate resolution to both SORs
 - Returns a confirmation to both SORs

Inputs

The Initiating SOR submits a Mark Unique message that includes all required driver identification information (name, date of birth, driver's license number and jurisdiction code combination, Social Security Number) for both drivers.

The Established SOR submits a Mark Unique message that includes all required driver identification information (name, date of birth, driver's license number and jurisdiction code combination, Social Security Number) for both

drivers.

Outputs from Standard Processing

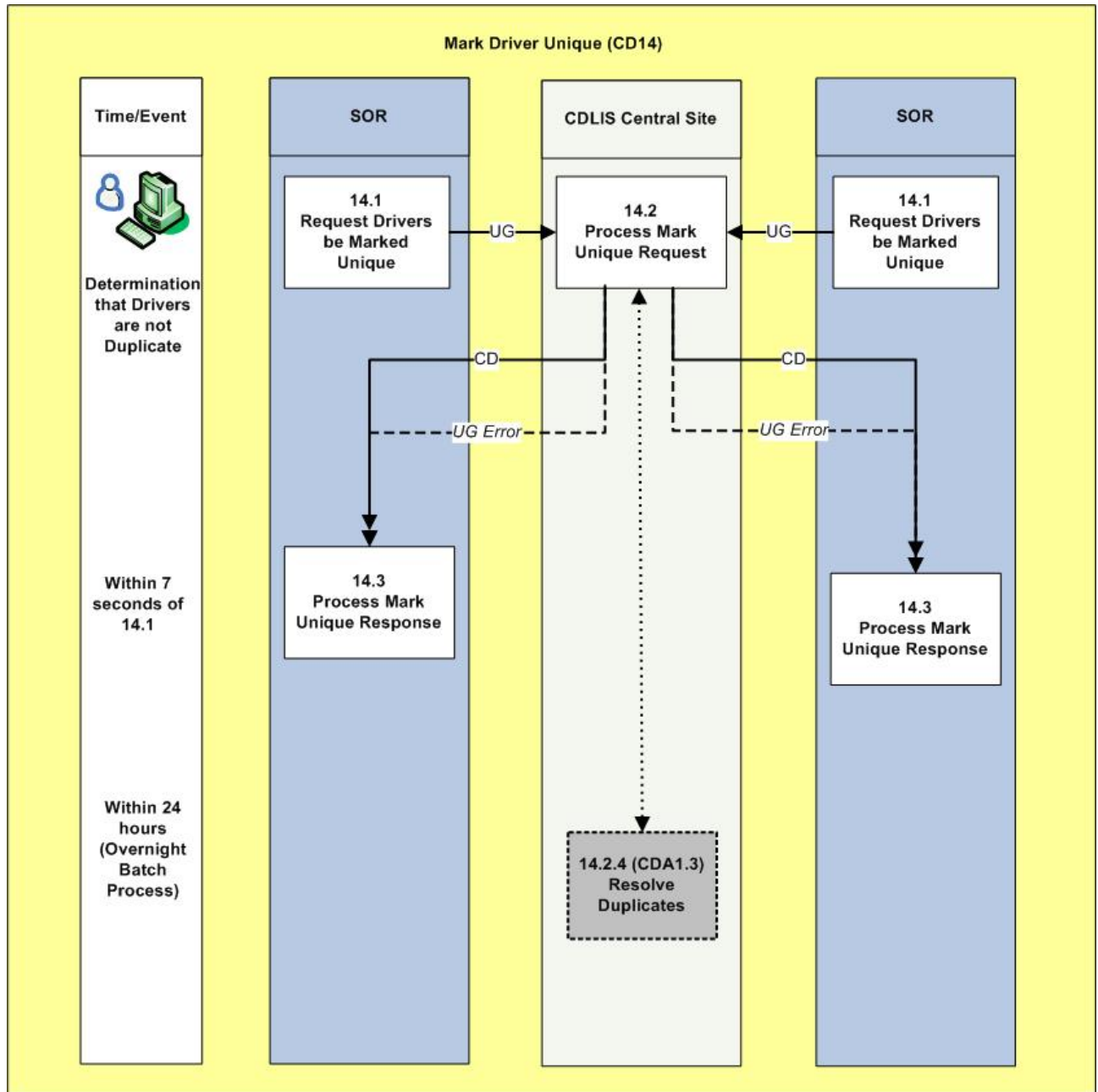
- Central Site to the Initiating SOR:
 - A confirmation message that the driver has been marked unique
 - A notification of duplicate resolution message
- Central Site to the Established SOR:
 - A confirmation message that the driver has been marked unique
 - A notification of duplicate resolution message

Error Processing

- Central Site
 - If the Mark Unique message does not pass the edit validations performed by the CDLIS Central Site, the Central Site returns an error to the SOR. No further processing is performed. If the Mark Unique message of the other SOR passes the edit validations, it is held until a corrected Mark Unique message is received from the first SOR.

Post-Requisites

None



Mark Drivers Unique

6.14 UPDATE AKA DATA (CD15)

Business Process Overview

Description

The Update AKA Data transaction enables a State of Record (SOR) to correct the AKA information on a Master Pointer Record (MPR) at the CDLIS Central Site. The Update AKA Data transaction removes all existing AKA information and replaces it with the new AKA information submitted on the Update AKA Data message.

AKA data includes up to 3 occurrences of the name, and up to 3 occurrences of the combined jurisdiction code and driver's license number.

The Update AKA Data transaction cannot change any primary data elements on the MPR and only the current SOR can submit the transaction.

Participants

- State of Record (SOR)
 - U.S. jurisdiction
- CDLIS Central Site

Pre-Requisites

To help ensure the success of the transaction, a SOR submits an AKA Data Inquiry to the CDLIS Central Site to verify that the correct drivers are identified and to confirm the AKA data to be replaced.

A Search Inquiry or a Verification Inquiry returns only those AKA fields from the MPR that were essential in determining the match, so neither is sufficient to confirm all the AKA data to be updated.

Standard Processing

- An SOR sends an Update AKA Data message to the CDLIS Central Site.
- Upon receipt of the Update AKA Data message, the CDLIS Central Site:
 - Validates the driver identification information in the message
 - Replaces all existing AKA information on the MPR with the information provided on the Update AKA Data message, unless a Change State of Record is in progress
 - Returns a confirmation to the SOR

Inputs

The Update AKA Data message includes the driver's identification data (name, date of birth, driver's license number and jurisdiction code combination, Social Security Number) consistent with the information returned from the AKA Data Inquiry performed prior to submission of the update.

Care must be taken when using the Update AKA Data transaction, as it deletes the three most recent occurrences of all AKA data and replaces them with the data provided on the Update AKA Data message. If only one occurrence of existing AKA data needs to be changed, the remaining data must be included on the Update AKA Data message exactly as it currently exists on file.

The concept of 'AKA roll down' used by the Change Data transaction, does not apply to the Update AKA Data transaction.

Example

A driver currently has one AKA combined ST-DLN and one AKA name. If only the AKA combined ST-DLN is to be changed, the AKA name is entered on the Update AKA Data message using the same value as exists on the MPR. If AKA name is not included on the message, the AKA name is removed from the MPR.

Outputs from Standard Processing

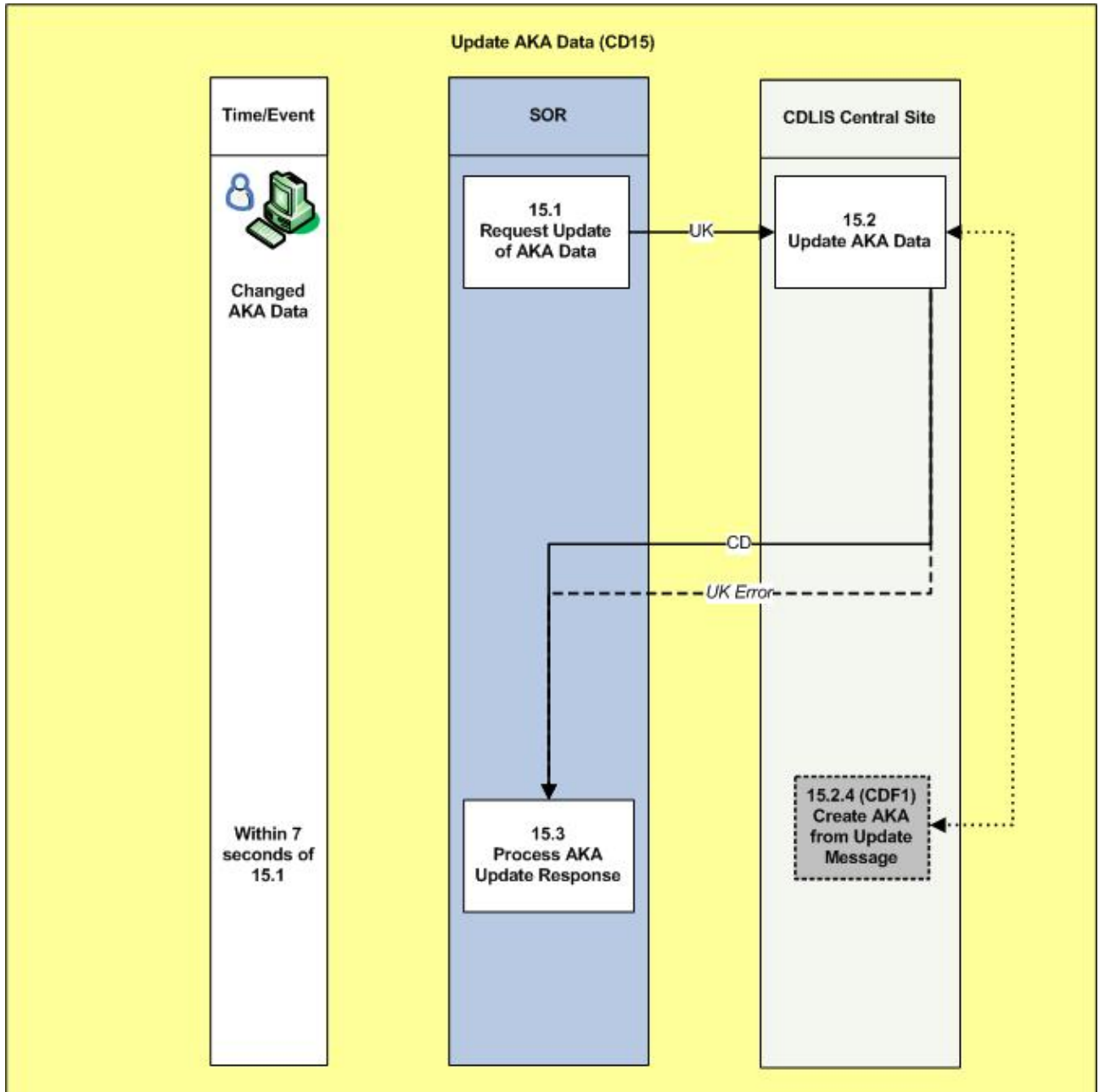
- Central Site to the SOR:
 - A confirmation message that the driver was successfully updated

Error Processing

- Central Site
 - If the Update AKA Data message does not pass the edit validations performed by the CDLIS Central Site, the Central Site returns an error to the SOR. No further processing is performed.

Post-Requisites

None



Update AKA Data

6.15 REPORT OUT-OF-STATE WITHDRAWAL (CD16)

Business Process Overview

Description

The Report Out-of-State Withdrawal transaction is used to report driving privilege withdrawals (one at a time) and underlying ACD convictions on an out-of-state CDLIS driver to the State of Record (SOR)*. Because the State of Withdrawal's (SOW's) underlying conviction(s) may lead to a driver's license withdrawal by the SOR, the SOW transmits complete and accurate withdrawal and underlying conviction reports within the required time limits.

The transaction enables jurisdictions to comply with the federal requirement [49 CFR §394.208] that the SOW must report to the SOR, within 10 days of the disqualification, any out-of-state disqualification of a Commercial Driver's License (CDL) holder that:

- Is the result of conviction(s) for violation of any jurisdiction or local law relating to motor vehicle traffic control (other than a parking violation); and
- Has a withdrawal period that is indefinite, permanent or equal to 60 days or more

When the SOW withdraws a non-CDL holder for one or more convictions in a Commercial Motor Vehicle (CMV), the SOW has defined responsibilities for determining the SOR. See 6.11 REPORT OUT-OF-STATE CONVICTION (CD11) for more detailed information.

Although not required, an SOW may also report a withdrawal:

- That has a withdrawal period less than 60 days
- That is based on a non-traffic, i.e., non-ACD, violation, by using the ACD code 'W00'*
- On any driver who has a pointer on CDLIS regardless of whether they currently hold a CDL (for example, a former CDL holder who has down-graded to a non-CDL)

If the withdrawal effective date is after October 31, 2005, the SOW includes all underlying ACD convictions with the withdrawal except in the following cases:

- Not all withdrawals require an underlying conviction. For instance, for a withdrawal for failure to surrender HAZMAT endorsement, as required by the USA PATRIOT Act, an underlying conviction is optional.
- The SOW does not report any non-ACD convictions as underlying convictions. For example, when the withdrawal is based on a non-traffic conviction, the underlying conviction is not reported.
- If there are more than 14 underlying ACD convictions, then the first 14 are transmitted electronically and all are mailed.

If the withdrawal effective date is on or after November 1, 2005 and is for federally mandated conviction(s), the SOR records the linkage on the Driver History Record (DHR). If the conviction(s) are not federally mandated, recording linkage is optional, but recommended. The linkage associates a withdrawal to the underlying conviction(s) that resulted in the withdrawal.

The linkage is included in response to a CDLIS history request or a Change State of Record (CSOR).

The SOW may include previously unreported underlying convictions in the Report Out-of-State Withdrawal transaction rather than having to report them first using the Report Out-of-State Conviction transaction.

For CDLIS to work properly, all convictions and withdrawals in the U.S. have to be sent to the current SOR so that proper penalties are applied and history accumulated. This is equally true for Licencia Federal de Conductor (LFC) drivers.

The Federal Conviction Withdrawal Database (FCWD) is the SOR for all LFC drivers. An LFC driver has a record established in the LIFIS database when he/she obtains an LFC license.

The FCWD, as the SOR for all LFC drivers, contains all U.S. convictions and U.S. withdrawals on LFC drivers

(their DHR), as well as the driver's commercial status based on that history**. This information allows border and enforcement personnel to determine whether or not a particular LFC driver should be allowed to drive in the U.S.

If States establish a pointer on CDLIS for an LFC driver, the associated conviction(s) and/or withdrawal(s) do not become part of the LFC driver's DHR, potentially allowing a driver who should be barred from driving on U.S. highways to enter the U.S. undetected.

* A jurisdiction may report a non-ACD withdrawal (a withdrawal that does not have a current Withdrawal Reason ACD Code) of a CDL holder, but does not submit a non-ACD withdrawal via CDLIS unless it is using the 'W00' withdrawal code.

** FMCSA determines the status of an LFC driver by looking at both the LFC driver's Mexican status in the LIFIS database and the status based on convictions and withdrawals in the FCWD. An MX history includes the same status received in a status message, plus all convictions and withdrawals from FMCSA's FCWD. As an example, a driver with a status of "LIC" in the LIFIS database and a status of "NOT" in the FCWD will reflect a CDLIS status of "NOT" and a restriction saying the license is "not valid in the U.S.".

Participants

- State of Withdrawal (SOW)
 - U.S. jurisdiction
- CDLIS Central Site
- State of Record (SOR)
 - U.S. jurisdiction
 - Licencia Federal Information Systema (LIFIS) (the Mexican National Database) and Federal Convictions and Withdrawal Database (FCWD)

Pre-Requisites

- To help ensure the success of the transaction, an SOW submits a Search Inquiry or a Verification Inquiry to the CDLIS Central Site to verify that the correct MPR is identified

Standard Processing

- The SOW sends a Report Out-of-State Withdrawal message to the CDLIS Central Site.
- Upon receipt of the Report Out-of-State Withdrawal message, the CDLIS Central Site:
 - Validates the driver identification and conviction information in the message
 - Retrieves the driver's MPR
 - Forwards the withdrawal to the SOR
- Upon receipt of the withdrawal information, the SOR performs the following within 96 hours*:
 - Validates the driver
 - Validates the withdrawal conviction data using current rules
 - Verifies the withdrawal is not a duplicate
 - Retrieves the DHR
 - Adds the withdrawal to the DHR
 - Posts the ACD conviction(s) to the driver's record unless the conviction(s) have already been reported, either via the Report Out-of-State Conviction transaction or via a paper report
 - Records any required linkage between the withdrawal and its underlying ACD conviction(s)
 - Sends a confirmation to the CDLIS Central Site
- Upon receipt of the confirmation from the SOR, the CDLIS Central Site:
 - Validates the information
 - Sends a confirmation to the SOW that the transaction is complete

* Federal regulations allow 10 days from receipt to post withdrawal information. However, if the Central Site does

not receive the confirmation message within 96 hours, AAMVA notifies the SOR.

Inputs

The Report Out-of-State Withdrawal includes the driver's identification data (name, date of birth, driver's license number and jurisdiction code combination) consistent with the information returned from the inquiries performed prior to submission of the update (not the information on the citation(s), if different). It also contains driver and withdrawal information and information on all underlying ACD convictions that were the cause of the withdrawal. The message may optionally contain the driver's Social Security Number, the date the privilege driver was reinstated (if available)*, and details of the ACD code.

There is no "update withdrawal" transaction. If a jurisdiction desires to update a withdrawal to reflect a reinstatement date, the withdrawal must be negated and then reported again with the reinstatement date included.

Outputs from Standard Processing

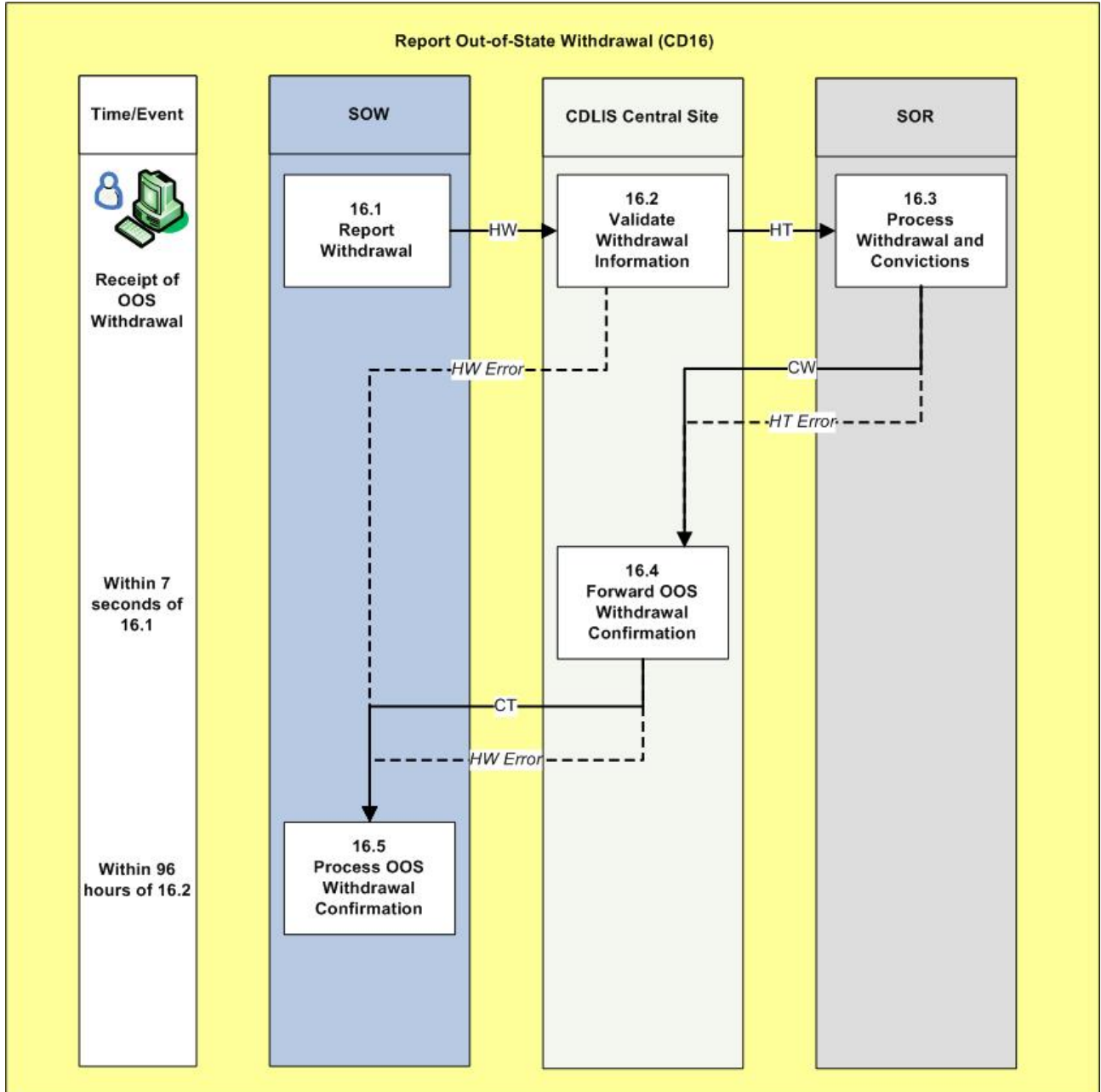
- Central Site to the SOR:
 - The Central Site sends driver identification and withdrawal information received from the SOW to the SOR
- SOR to the Central Site:
 - The SOR sends a confirmation that the withdrawal has been posted to the DHR
- Central Site to the SOW:
 - A confirmation message that the posting of the conviction is complete

Error Processing

- Central Site
 - If the Report Out-of-State Withdrawal message does not pass the edit validations performed by the CDLIS Central Site, the Central Site returns an error to the SOW. No further processing is performed.
 - If the SOR returns an error after receiving the conviction information, the Central Site forwards the error to the SOW
- SOR
 - If the SOR cannot locate the driver upon receipt of withdrawal information or there are problems with the withdrawal or conviction data itself, the SOR returns an error to the CDLIS Central Site.

Post-Requisites

- SOW
 - To be able to perform negation and to answer any questions about the original conviction, the SOW maintains the original record on any withdrawal and underlying convictions according to CDLIS data retention rules.
- SOR
 - Correctly interpret the information on the CDLIS DHR to determine whether any withdrawal action is required, and, if so, what federal minimum applies
 - Take any necessary driver control actions based on the convictions received as if the offense had occurred within its own jurisdiction, according to its own laws.
 - For each withdrawal with an effective data on or after November 1, 2005 and where a pointer on CDLIS is required at the time of the withdrawal, the SOR is responsible for:
 - Maintaining each required linkage between each withdrawal taken and its underlying convictions (i.e., withdrawals taken by either the SOR or the SOW)
 - Transmitting each required withdrawal-convictions linkage when responding to driver history requests
 - Must not substitute SOR values for any information provided by the SOW when storing the withdrawal on the CDLIS DHR unless it has written permission from the SOW to do so.



Report Out-of-State Withdrawal

6.16 NEGATE OUT-OF-STATE WITHDRAWAL (CD17)

Business Process Overview

Description

Federally mandated withdrawals and convictions are defined in the AAMVA Code Dictionary (ACD) Manual. The Negate Out-of-State Withdrawal transaction provides a means for the State of Withdrawal (SOW) to notify the State of Record (SOR) that the withdrawal previously posted to the Driver History Record (DHR) must be negated (*i.e.*, either actually removed or marked as removed) from the driver history.*

A Negate Out-of-State Withdrawal message must be sent in the following cases:

- The withdrawal was a mistake (*i.e.*, it should not have been sent in the first place)
- An underlying conviction is overturned and the withdrawal is rescinded
- The withdrawal information must be corrected (*i.e.*, negated and then re-posted with corrected information). An SOW does not need to update the reinstatement date, because an SOR does not take action on an out-of-state withdrawal** (only on the underlying convictions).

* The Negate Out-of-State Withdrawal transaction only negates the withdrawal and associated links to underlying convictions. It does not negate the actual underlying convictions. Prior to the withdrawal negation, if underlying convictions are to be negated, the SOC/SOW must negate those underlying convictions via the Negate Out-of-State Conviction transaction. * Withdrawal negations must be sent only once and must be transmitted either electronically or as a paper copy via mail, but not both. Withdrawal negations submitted electronically and returned in error are corrected by the SOW before resubmitted (or sent by paper copy); sending such withdrawal negations via paper copy without correction is not allowed.

** Although the SOR does not take action on an out-of-state withdrawal, federal regulations still require the exchange of this information.

Participants

- State of Withdrawal (SOW)
 - U.S. jurisdiction
- CDLIS Central Site
- State of Record (SOR)
 - U.S. jurisdiction
 - Licencia Federal Information Systema (LIFIS) (the Mexican National Database) and Federal Convictions and Withdrawal Database (FCWD)

Pre-Requisites

- To help ensure the success of the transaction, an SOW submits a Search Inquiry or a Verification Inquiry to the CDLIS Central Site to verify that the correct MPR is identified, and submits a State to State History Request to ensure that the withdrawal is on the DHR.

Standard Processing

- The SOW sends a Negate Out-of-State Withdrawal message to the CDLIS Central Site.
- Upon receipt of the Negate Out-of-State Withdrawal message, the CDLIS Central Site:
 - Validates the driver identification and withdrawal/conviction information in the message
 - Retrieves the driver's MPR
 - Forwards the negate withdrawal request to the SOR
- Upon receipt of the negate withdrawal information, the SOR must do the following within 96 hours*:
 - Validate the driver identification and withdrawal information in the message

- Retrieve the DHR and locate the withdrawal and its linkages
- Negate the withdrawal
- Negate the linkages to the underlying convictions
- Send a confirmation to the CDLIS Central Site
- Upon receipt of the confirmation from the SOR, the CDLIS Central Site:
 - Validates the information
 - Sends a confirmation to the SOW that the transaction is complete

Inputs

The Negate Out-of-State Withdrawal must include the driver's identification data (name, date of birth, driver's license number and jurisdiction code combination) consistent with the information returned from the inquiries performed prior to submission of the update (not the information on the citation(s), if different). It also must include the withdrawal data exactly as it was originally sent when reported. The message may optionally contain the driver's Social Security Number, the date the driver will be or was reinstated (if available), and withdrawal extent and basis.

Outputs from Standard Processing

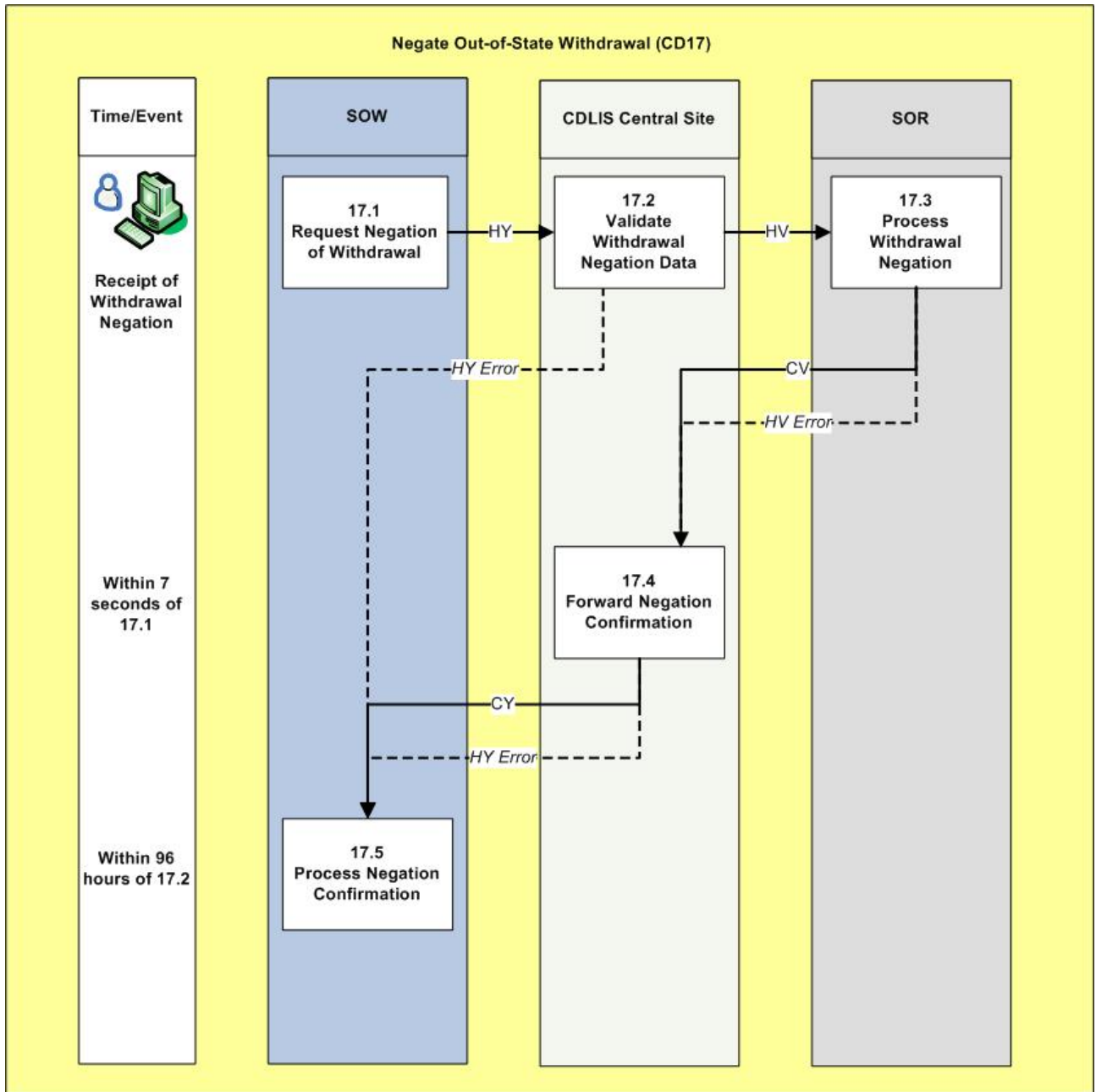
- Central Site to the SOR:
 - The Central Site sends driver identification and withdrawal negation information received from the SOW to the SOR
- SOR to the Central Site:
 - The SOR sends a confirmation that the withdrawal has been negated
- Central Site to the SOW:
 - A confirmation message that the withdrawal negation is complete

Error Processing

- Central Site
 - If the Negate Out-of-State Withdrawal message does not pass the edit validations performed by the CDLIS Central Site, the Central Site returns an error to the SOW. No further processing is performed.
 - If the SOR returns an error after receiving the conviction negation information, the Central Site forwards the error to the SOW
- SOR
 - If the SOR cannot locate the driver, withdrawal, or linkages upon receipt of withdrawal negation information, the SOR returns an error to the CDLIS Central Site.

Post-Requisites

- SOW
 - In order to answer any questions about the withdrawal and its negation, the SOW must maintain the original record of the withdrawal negation for as long as the withdrawal would have been maintained as specified in the AAMVA Code Dictionary (ACD) Manual.
- SOR
 - Upon notice from the SOW, the SOR must negate the withdrawal and negate any links from the withdrawal to underlying ACD convictions
 - The SOR is not required to maintain any information about a withdrawal negation



Negate Out-of-State Withdrawal

6.17 MINIMAL DATA DRIVER SEARCH INQUIRY (CD18)

Business Process Overview

Description

Occasionally FMCSA needs to search for a driver with less than complete information. In these instances FMCSA may know the driver's name, approximate age and State of residence, but not the exact St-DLN or date of birth.

The Minimal Data Driver Search Inquiry transaction is a request for Master Pointer Record (MPR) information when less than complete information is known. The transaction provides information necessary for FMCSA to obtain driver history information from the driver's State of Record (SOR) when driver data is minimal.

Participants

- FMCSA (Restricted FMCSA Personnel)
- CDLIS Central Site

Pre-Requisites

None

Standard Processing

- FMCSA makes a request by sending a Minimal Data Driver Search Inquiry message to the CDLIS Central Site.
- Upon receipt of the Minimal Data Driver Search Inquiry message, the CDLIS Central Site:
 - Validates the driver identification information in the message
 - If the driver's age is present,
 - Calculates the driver's year of birth by subtracting the driver's age from the current calendar year
 - Calculates the year search range by factoring an age range of +/- n years to the driver's calculated year of birth
 - Sets the appropriate default values for other matching criteria where not explicitly provided by FMCSA
 - Searches the Central Site for potential matches for the person in question
 - Responds with the following information:
 - Details from the Central Site for each match found, up to the maximum number of matches to be returned
 - An indicator if more than the maximum number of requested matches exist
 - If present on the request, the list of jurisdictions searched, in the order that the search was applied.
 - Number of matches found
- Upon receipt of the MPR data, FMCSA validates the message data

Inputs

The Minimal Data Driver Search Inquiry transaction includes the driver's name. It may optionally include:

- The driver's age
- The number of years either side of the driver's computed year of birth to be considered (defaults to 3 if the driver's age is present but the number of years either side is not)
- Up to 10 licensing jurisdiction codes to be considered; if not present, the CDLIS Central Site searches on all jurisdictions

- The number of the first match to be returned (allows continuation of previous search if data on the correct driver in question not returned on a previous inquiry); for example, if set to '25' the first 24 matches found will not be returned; if not present, defaults to 1
- The maximum number of responses to be returned; if not present, defaults to 15

Outputs from Standard Processing

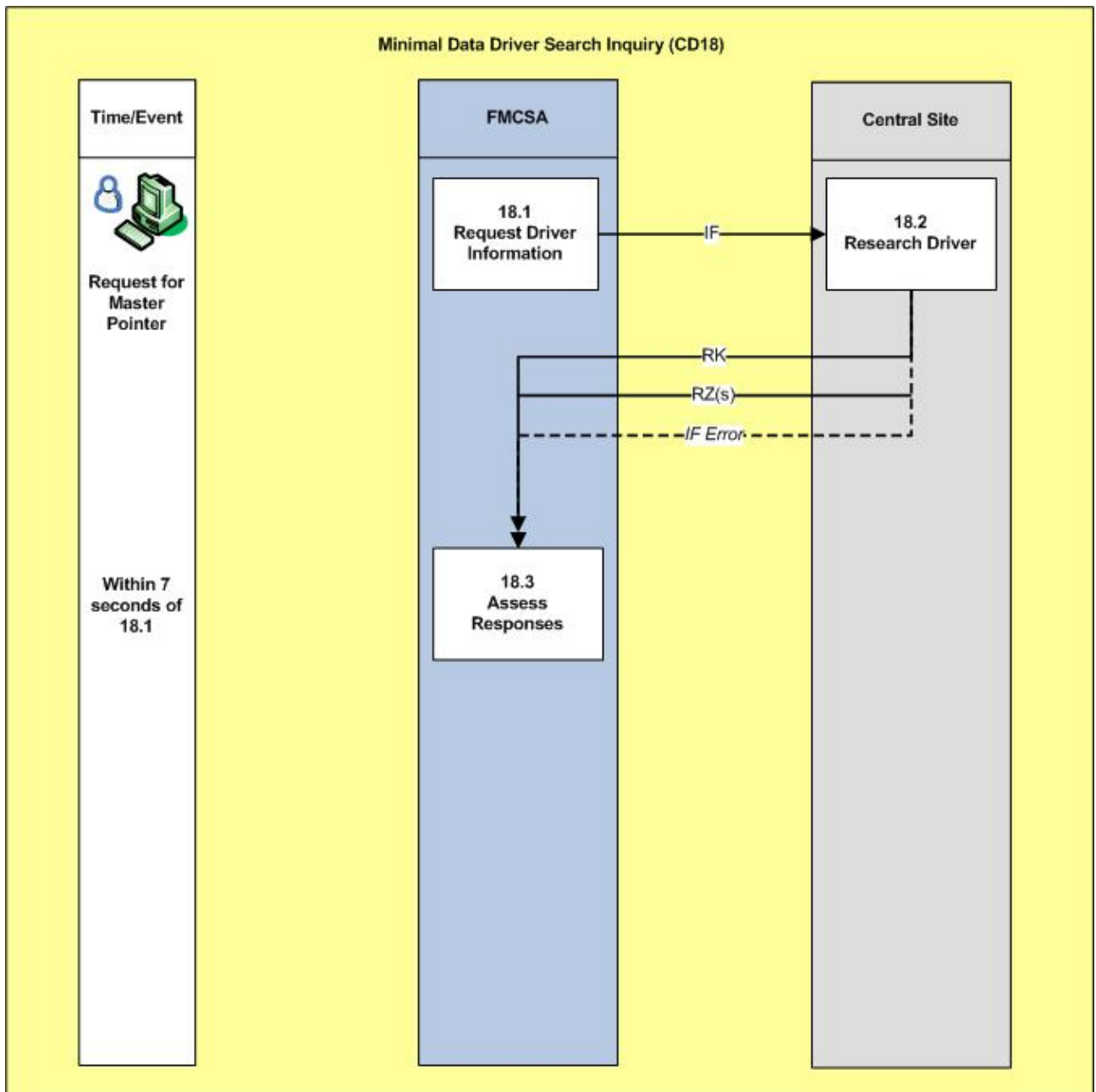
- Central Site to FMCSA:
 - The Central Site returns information on the number of matches found, along with all the MPR data for each match, up to the maximum number of responses.

Error Processing

- Central Site
 - If the Minimal Data Driver Search Inquiry does not pass the edit validations performed by the CDLIS Central Site, the Central Site returns an error to FMCSA. No further processing is performed.

Post-Requisites

- If more than the maximum number of matches are found and none of them can be determined with certainty to be the driver in question, FMCSA changes the search criteria to reduce the number of matches (e.g. reduce the number of years either side of the driver's computed year of birth to be considered) or specifies a different range of matches to be returned.
- FMCSA determines if any of the drivers on whom data was returned is the driver in question and, if so, initiates a State-to-State History Request transaction to the SOR of the driver.



Minimal Data Driver Search

6.18 CDLIS BATCH SEARCH INQUIRY (CD30)

Business Process Overview

Description

The Motor Carrier Safety Improvements Act (MCSIA) required jurisdictions to check the Problem Driver Pointer System (PDPS) and CDLIS up to 90 days prior to the issuance, transfer, upgrade or renewal of *any* driver's license. The additional inquiries resulted in a significant increase in traffic over AAMVA's network. The CDLIS Batch Search Inquiry was developed as an alternative to the CDLIS online Search Inquiry*. It allows jurisdictions to perform search inquiries in a batch mode, meaning that inquiries on multiple drivers are collected by the inquirer and sent together as a group (batch) as opposed to being sent one at a time. The collected batch inquiry messages are sent together in a file as opposed to separately online.

Each CDLIS Batch Search Inquiry is a request for a driver's Master Pointer Record (MPR). The batch inquiry enables the inquirer to determine if a driver already exists on the CDLIS Central Site. The CDLIS Batch Search Inquiry retrieves driver records that match based on the information provided. It is used when it is not known whether a given individual is on the CDLIS Central Site.

A State of Inquiry (SOI) may submit a weekly or monthly batch. Each jurisdiction gains approval from the Federal Motor Carrier Safety Administration (FMCSA) prior to using the CDLIS Batch Search Inquiry process.

* The CDLIS Batch Search Inquiry messages have the same structure as those used in the online Search Inquiry.

Participants

- Inquirer
 - U.S. jurisdiction (SOI)
- CDLIS Central Site
- State of Record (SOR)
 - U.S. jurisdiction

Pre-Requisites

None

Standard Processing

- An inquirer makes a request by sending a CDLIS Batch Search Inquiry file to the CDLIS Central Site.
- Upon receipt of the CDLIS Batch Search Inquiry file, the CDLIS Central Site:
 - Validates the control information
 - For each driver being inquired upon:
 - Validates the driver identification information in the message
 - Retrieves MPRs that match based on the information provided
 - Returns a CDLIS Batch Search Inquiry response file from the Central Site to the inquirer

Inputs

The CDLIS Batch Search Inquiry file includes control information, as well as search information for each driver being inquired upon. The control information includes the date the batch inquiry file was sent to the CDLIS Central Site, as well as the number of inquiries included in the file. Each search inquiry includes the driver's name and date of birth. It may optionally include the licensing jurisdiction code and driver's license number combination, the driver's Social Security Number, and up to three AKA names.

Outputs from Standard Processing

- Central Site to the inquirer:
 - The Central Site returns a batch response file for each batch inquiry file submitted. The batch response file contains control information and, for each driver being inquired upon, information on the number of matches found, along with the MPR data for each match, up to 15 drivers

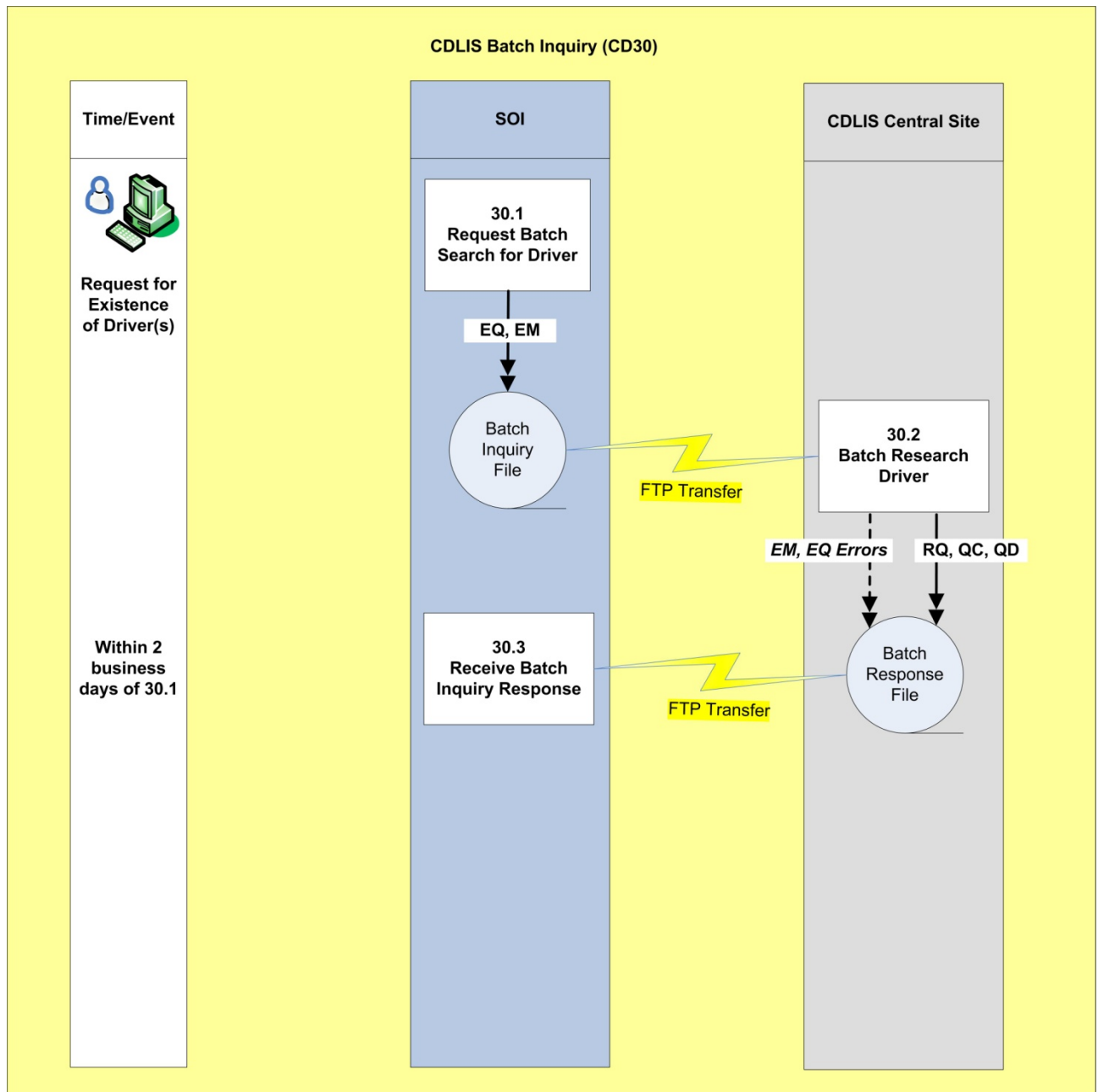
Error Processing

- Central Site
 - If the control information does not pass the edit validations performed by the CDLIS Central Site, the Central Site stops processing (no inquiries are processed) and returns a response file to the inquirer with information regarding the error.
 - If a specific inquiry in the file does not pass the edit validations performed by the CDLIS Central Site, the Central Site includes an error for that particular inquiry in the response file. Processing on that particular driver is stopped, but other inquiries on other drivers included in the file are processed.

Post-Requisites

If more than 15 matches are found for a particular driver and none of the first 15 matches returned can be determined with certainty to be the driver in question, the inquirer changes the search criteria to reduce the number of matches (*e.g.* eliminate AKA data).

The CDLIS Batch Search Inquiry process does not provide status information from the SOR like the online Search Inquiry. To complete the inquiry process, the inquirer initiates an online inquiry (like the State-to-State Status Request) to get status information from the SOR.



CDLIS Batch Inquiry

6.19 MPR DATA QUALITY VALIDATION AND VERIFICATION (CD31)

Business Process Overview

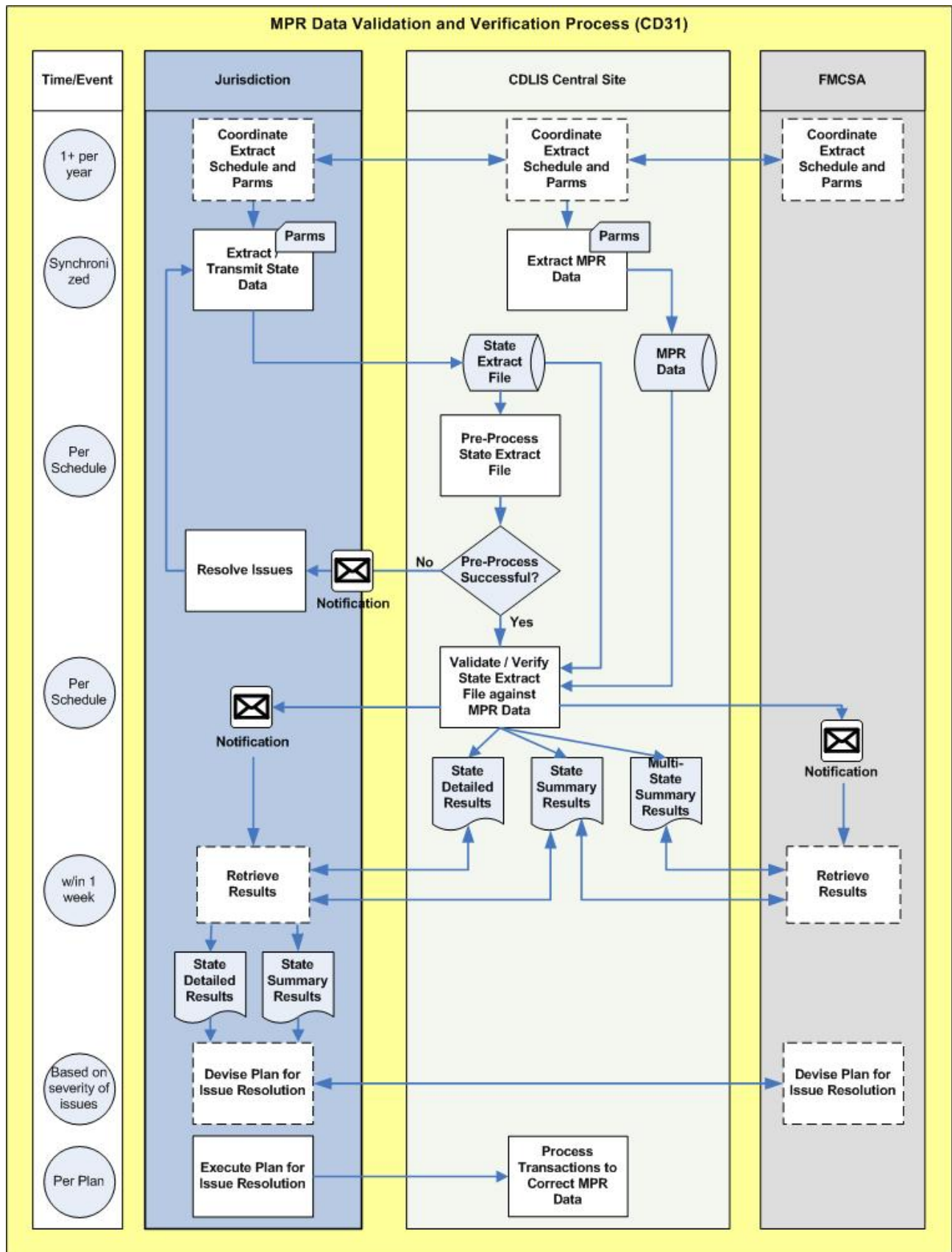
The Master Pointer Record (MPR) Data Quality Validation and Verification process identifies missing or incorrect data on the CDLIS Master Pointer Records (MPRs) at the Central Site based on driver record information resident at the corresponding State of Record (SOR). The goal of the process is to help jurisdictions ensure that the MPRs are complete and accurate as required by federal regulations (see Title 49 Code of Federal Regulations Parts 383 and 384 [49CFR383-4]). This is accomplished by comparing those driver records for which a given SOR is required to have a corresponding CDLIS MPR against those MPRs that actually exist at the CDLIS Central Site.

In support of this process, the CDLIS Central Site checks for the following:

- A missing MPR at the Central Site for an existing driver record at the SOR,
- a missing driver history record (DHR) at the SOR for an existing MPR at the Central Site,
- data content inconsistencies between the MPR at the Central Site and the corresponding driver history record (DHR) at the SOR, and
- missing and/or invalid data content on the MPR at the Central Site and/or on the driver history record (DHR) at the SOR.

FMCSA, in coordination with each SOR and the CDLIS Central Site, schedules the execution of this process to occur at least once per year. Either the SOR or FMCSA may request additional executions, but only through coordination and approval by all involved stakeholders. The following diagram illustrates the steps involved in the process, as follows:

- The SOR and/or FMCSA requests the process to be scheduled.
- The SOR, FMCSA, and the CDLIS Central Site coordinate a mutually acceptable “as of” date and time for the SOR to extract its driver record information and for the CDLIS Central Site to extract the corresponding MPR data from the Central Site.
- The SOR extracts its driver record information and transmits it to the CDLIS Central Site, via secure means.
- The CDLIS Central Site extracts the corresponding MPR data.
- The CDLIS Central Site verifies that the data received from the SOR is in the correct overall format and can be processed. If errors are found that preclude further processing, the CDLIS Central Site notifies the SOR and requests that the SOR correct the issues
- In coordination with the CDLIS Central Site, the SOR corrects the errors and retransmits the extracted DHR information to the CDLIS Central Site.
- The CDLIS Central Site validates and verifies the SOR’s extracted data and the corresponding MPR data.
- The CDLIS Central Site generates both detail and summary result files based on the results of the performed validations. Detail information is provided to the SOR. Summary information is provided to both the SOR and FMCSA.
- The summary information is retained at the CDLIS Central Site.
- The driver record information provided by the SOR as input to this process is not retained at the CDLIS Central Site. Upon successful completion of the process, this information is destroyed.
- The SOR analyzes the detailed report and formulates a plan, in coordination with FMCSA, to correct errors according to a schedule. Resolution of broken and missing pointers is critical to the effectiveness of the CDLIS application. As such, the SOR is expected to correct these kinds of errors before any others, and with a sense of urgency.
- The SOR corrects the errors in its own driver history record data and corrects erroneous MPR data at the CDLIS Central Site through use of update transactions via CDLIS.



MPR DHR Data Validation and Verification

6.20 (PILOT) DHR DATA QUALITY VALIDATION (CD32)

Business Process Overview

The Driver History Record (DHR) Data Quality Validation process identifies missing or incorrect data on the Driver History Records (DHR)s of a given State of Record (SOR). The goal of the process is to help jurisdictions ensure that the DHRs are complete and accurate, as required by federal regulations (see Title 49 Code of Federal Regulations Parts 383 and 384 [49CFR383-4]).

The Driver History Record (DHR) Data Quality Validation process is a pilot project, which will initially be implemented by a small number of volunteer jurisdictions. Fulfillment of CD32 (Pilot) DHR Data Quality Validation is not a requirement for a Jurisdiction to go live with CDLIS Modernization day 1..

Results from the pilot effort will be evaluated to determine the scope and content of DHR validations to be performed when deployed nationwide, along with the minimum frequency to be executed.

Consequently, requirements as specified in this section of the specification should be considered preliminary.

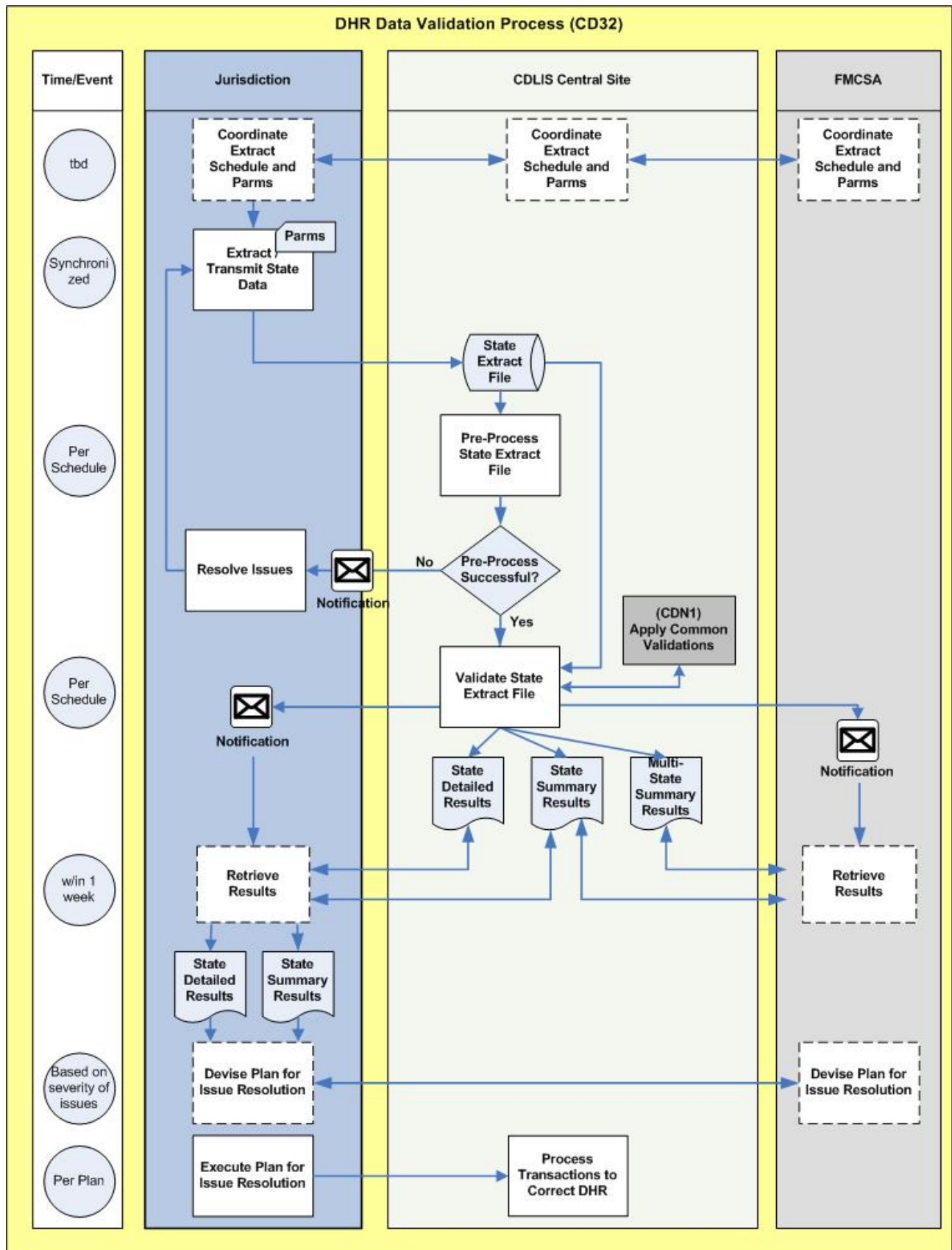
In support of this process, the CDLIS Central Site checks for missing and/or invalid data on the DHR.

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FMCSA, in coordination with each SOR and the CDLIS Central Site, schedules the execution of this process to occur on a predefined schedule. Either the SOR or FMCSA may request additional executions, but only through coordination and approval by all involved stakeholders.

The following diagram illustrates the steps involved in the process, as follows:

- The SOR and/or FMCSA requests the process to be scheduled.
- The SOR, FMCSA, and the CDLIS Central Site coordinate a mutually acceptable “as of” date and time for the SOR to extract its DHR data.
- The SOR extracts its DHR data and transmits it to the CDLIS Central Site via secure means.
- The CDLIS Central Site verifies that the data received from the SOR is in the correct overall format and can be processed. If errors are found that preclude further processing, the CDLIS Central Site notifies the SOR and requests that the SOR correct the issues..
- In coordination with the CDLIS Central Site, the SOR corrects the errors and, retransmits the extracted DHR data to the CDLIS Central Site.
- The CDLIS Central Site validates the DHR data.
- The CDLIS Central Site generates both detail and summary result files based on the results of the performed validations. Detail information is provided to the SOR. Summary information is provided to both the SOR and FMCSA.
- The summary information is retained at the CDLIS Central Site.
- The driver record information provided by the SOR as input to this process is not retained at the CDLIS Central Site. Upon successful completion of the process, this information is destroyed.
- The SOR analyzes the detailed report and formulates a plan, in coordination with FMCSA, to correct errors according to a schedule.
- The SOR corrects the errors in its own DHR data.



DHR Data Quality Validation and Verification

6.21 DUPLICATE DRIVER PROCESS (CDA1)

Business Process Overview

Description

One of the functions of the CDLIS Central Site is to prevent more than one record from being established for the same driver. To achieve this, the CDLIS Central Site checks for possible duplicates when a State performs any of the following triggering transactions:

- Add New Driver
- Change Data if key driver identification data or AKA data is submitted with the transaction
- Change State of Record (CSOR), if key driver identification data is being changed during the transaction

If any of the above actions lead to the creation of possibly duplicating records, the CDLIS Central Site marks the records as such, and notifies both State of Records accordingly. The States of Record then cooperatively determine how to resolve the situation.

To determine when and if the "possible duplicate" designation on a Master Pointer Record can be removed, the CDLIS Central Site reviews these records (i.e. records marked as possible duplicates) when a State performs any of the following transactions:

- Delete Master Pointer Record
- Change Data
- Mark Driver Unique

The following are examples of how possible duplicate records are created.

- An Add New Driver transaction is submitted when a Change State of Record (CSOR) transaction should have been submitted. In this case, the driver is already on CDLIS and, for whatever reason, the jurisdiction that issued the CDL neglected to perform the CSOR transaction. In this situation, deleting the MPR created by the Add New Driver transaction will resolve the duplicate. The jurisdiction must also perform the CSOR transaction to correctly process the issuance of the CDL and gather the driver's history.
- The two drivers are separate individuals, but an input error was made when entering key data (e.g. SSN, ST/DLN, or Name/DOB). The incorrect data is corrected through the Change Data transaction.
- The two drivers are separate individuals but have the same SSN or their SSN, name, and date of birth combination are similar enough to raise a question on their uniqueness. To resolve this, both jurisdictions must mark their drivers as unique to the other driver using the Mark Driver Unique transaction.
- The two drivers are in fact the same person and further research reveals that he/she is attempting to obtain a second CDL. Both jurisdictions should disqualify the driver. Both pointer records will remain on CDLIS. No attempt should be made to resolve the duplicate to prevent the driver from attempting another CSOR.
- One driver is attempting to impersonate another driver. To protect the innocent driver, jurisdictions should use the Mark Driver Unique transaction to resolve the possible duplicate situation while they conduct further investigation.

Participants

- Initiating SOR (the entity whose actions lead to the creation of new/updated record for a driver (the 'initiating driver') that possibly duplicates an existing Master Pointer Record)
 - U.S. jurisdiction
- CDLIS Central Site
- Established SOR (the entity that is the owner of a record for a driver (the "established driver") that (possibly) corresponds with the initiating driver's record)
 - U.S. jurisdiction

Pre-Requisites

None

Standard Processing

- Upon receipt of one of the triggering transactions above, the CDLIS Central Site:
 - Performs a search of existing MPRs for possible duplicates
 - Flags all possible duplicate records
 - For each possible duplicate MPR found, transmits a Possible Duplicate Notification to the Initiating SOR and to the Existing SOR of the possible duplicate driver
- Upon receipt of the Possible Duplicate Notification, the Initiating SOR becomes responsible for initiating the process to resolve the possible duplicate(s).
- When a duplicate has been resolved, the CDLIS Central Site sends a Duplicate Resolved Notification to the Initiating SOR and to the Established SOR. No additional action is required upon receipt of such notification.

Inputs

When the duplicate flagging or resolution process is triggered, the triggering message is provided as input to the duplicate process.

Outputs from Standard Processing

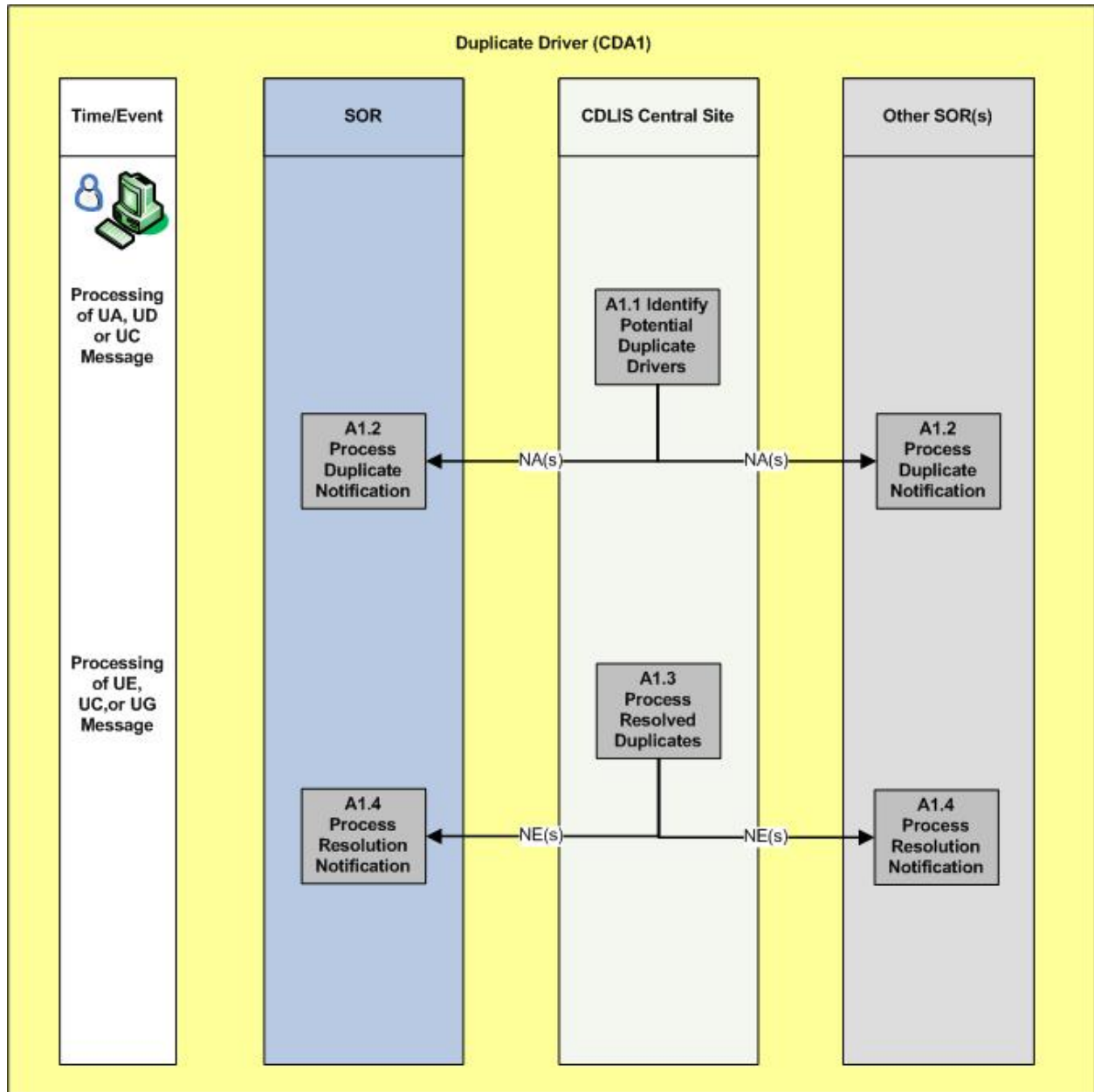
- CDLIS Central Site to the SOR:
 - If possible duplicate records are found, Possible Duplicate Notifications, which include the MPR information for both the initiating driver and the established driver.
 - If possible duplicate records are resolved, Duplicate Resolution Notifications, which include the same initiating driver and established driver information sent when the SORs were notified of the possible duplicate.
- CDLIS Central Site internally to the triggering transaction
 - Information to add to the confirmation message the CDLIS Central Site sends back to the Initiating SOR

Error Processing

None

Post-Requisites

- A 96-hour countdown clock is automatically set at the CDLIS Central Site when the Possible Duplicate Notification is sent to both SORs. If the possible duplicate is not cleared before the 96-hour period expires, the duplications are identified in a report which is then sent by the AAMVA Operations Help Desk to the jurisdictions for resolution.
- The Initiating SOR or the Established SOR use one of the following transactions to resolve the possible duplicate situation:
 - Delete Master Pointer Record if the pointer record was established in error. See restrictions on the use of this message in the Delete Master Pointer Record transaction section.
 - Change Data if one of the key data elements was entered erroneously. Experience has shown that a keying error is the most likely cause for a possible duplicate. Normally, the Change Data transaction is used to correct the identification data entered in error and will resolve most possible duplicate situations.
 - Mark Driver Unique if the data is correct and examination reveals that the driver is not the same as the possible duplicate from the other jurisdiction(s). A SOR must positively determine that its driver was not one of the close matches returned from the Search Inquiry before a new driver is added to CDLIS. If this results in a duplicate, the Mark Driver Unique transaction must be initiated.



Duplicate Driver

7 PROCEDURES FOR ISSUING A CDL

The prospective licensing jurisdiction must ensure the driver is qualified for the CDL before taking any of the following actions:

- Issuing a new CDL
- Renewing a CDL
- Upgrading a CDL or
- Transferring a CDL

The following sections describe the rules, procedures, and transactions the jurisdiction must use in these cases.

7.1 RULES FOR ISSUANCE

The rules for issuing a commercial permit or license are divided into subsections for

- CDLIS checks,
- PDPS checks,
- medical qualification,
- the 10-year history check,
- SSN verification, and
- a check for citizenship/lawful permanent residency/legal presence

and taking action based on the results of these checks.

In addition to the checks listed above,

- when issuing a CDL, jurisdictions must capture an image of the driver which must either be made part of the driver history or be linked to the driver history in a separate file. When a CDL holder appears in person to renew, or upgrade a CDL and when a duplicate CDL is issued, the jurisdiction must check the image on file to reduce the risk of fraud.
- Whenever the CLP applicant or holder appears in person to renew or upgrade a CLP and when a duplicate CLP is issued, the jurisdiction must check the image on file to reduce the risk of fraud. If no image exists on the driver's CDLIS driver record, the jurisdiction must check the image on the base-license presented with the CLP application.

NOTES:

Both of these provisions apply only when the driver appears in person; this allows for internet or mail renewals

For a CSOR, there is no requirement for the new SOR to check the image on the old SOR's record

Notes on issuing non-Domiciled CLPs and CDLs

- Only the State of Domicile may issue a CLP or CDL except under the following situations [49 CFR §383.71(f)]:
 1. If the applicant is domiciled in a foreign jurisdiction, as defined in §383.5, and FMCSA has **not** determined that the commercial motor vehicle operator testing and licensing standards of that jurisdiction meet the US standards (*i.e.*, non-domiciled CLPs and CDLs cannot be issued to Canadian or Mexican CDL holders).
 - a) These drivers must provide an unexpired employment authorization document (EAD) issued by USCIS or an unexpired foreign passport accompanied by an approved I-94 form documenting the applicant's most recent admittance into the United States. No proof of domicile is required [49 CFR §383.71(f)(2)(i)].
 - b) These drivers are not required to surrender the foreign license [49 CFR §383.71(f)(3)].
 - c) These drivers are not subject to the requirement to provide an SSN [49 CFR §383.153(e)].

2. If the applicant is domiciled in a State that is prohibited from issuing CLPs and CDLs and the jurisdiction is willing to issue a non-domicile CLP
- The jurisdiction issuing the non-domiciled CLP or CDL must maintain the CDLIS Driver History on all such drivers.

7.1.1 Conducting CDLIS, PDPS, Medical Qualification, 10-year History Checks, SSN Verification and Citizenship/Lawful Permanent Residency/Lawful Presence Check

When an applicant applies for a CLP or CDL or an endorsement to a CDL, the prospective licensing jurisdiction must check CDLIS and PDPS, ensure the driver is medically qualified, and may be required to

- perform a 10-year history check,
- verify the driver's Social Security Number (SSN), and
- perform a check to ensure citizenship/lawful permanent residency/legal presence

according to the following table.

- According to FMCSA's 49 CFR §383.73(a)-(d), a prospective SOR must complete CDLIS and PDPS checks prior to issuing any original, transfer, renewal, or upgrade CDL.
- According to NHTSA's 23 CFR §1327.5 a prospective licensing jurisdiction must complete CDLIS and PDPS checks prior to issuing any original, renewal, temporary, or duplicate license.
- According to 49 CFR §383.73(j)(1)(iii), beginning January 30, 2012, jurisdictions must 'post the information from the medical examiner's certificate within 10 calendar days to the CDLIS driver record'.

Note: This enables law enforcement to check NLETS and CDLIS to verify that the paper Med Cert was received by the SDLA.

- According to 49 CFR §383.73(a)(3)(iv), a 10-year history check must be initiated prior to a CDL new issuance, upgrade, transfer, or renewal, unless the driver's record has been marked to show the check has previously been completed (see the "CDLIS, PDPS, 10-year history, or Medical Certification checks in Possible Application Scenarios" table below for a summary of when the check is required).
- 49 CFR §373.73(g) requires that
 - (1) Prior to issuing a CLP or a CDL to a person the State must verify the name, date of birth, and Social Security Number provided by the applicant with the information on file with the Social Security Administration. The State is prohibited from issuing, renewing, upgrading, or transferring a CLP or CDL if the Social Security Administration database does not match the applicant-provided data.
 - (2) **Exception.** A State is only required to perform the Social Security Number verification specified in this paragraph for initial issuance of a CLP, transfer of CDL from another State or for drivers renewing a CDL for the first time after July 8, 2011 who have not previously had their Social Security Number information verified, provided a notation is made on the driver's record confirming that the verification required by this paragraph has been made and noting the date it was done.
- 49 CFR §383.71(a)-(e) states that 'The person must provide proof of citizenship or lawful permanent residency as specified in Table 1 of this section, or be registered under paragraph (f) of this section'. **NOTE:** The reference to 'paragraph (f)' is for non-domiciled drivers. In other words,
 - a person domiciled in the US must provide proof of citizenship/lawful permanent residency
 - non-domiciled drivers must provide proof of legal presence
- According to FMCSA's 49 CFR §383.73(a)-(e), prior to issuing any original CLP or any original, transfer, renewal, or upgrade CDL a prospective SOR must

Require compliance with the standards for providing proof of citizenship or lawful permanent residency specified in §383.71(b)(9) and proof of State of domicile specified in §383.71(b)(10). *Exception:* A State is only required to check the proof of citizenship or legal presence specified in this paragraph for initial issuance of a CLP or Non-domiciled CDL, transfer of CDL from another State or for drivers renewing a CDL or Non-

domiciled CDL for the first time after July 8, 2011, provided a notation is made on the driver's record confirming that the proof of citizenship or legal presence check required by this paragraph has been made and noting the date it was done

CDLIS, PDPS, 10-year history, Medical Certification, SSN Verification and Citizenship/Lawful Permanent Residency/Legal Presence checks in Possible Application Scenarios

| Application for | CDLIS check? | PDPS check? | 10-year history check?¹ | Medical Certification Check? | SSN Verification?¹ | Citizenship/Lawful Permanent Residency/Legal Presence Check¹? |
|----------------------------|---------------------|--------------------|---|-------------------------------------|--------------------------------------|---|
| CDL permit | Yes | Yes | Yes | Yes | Yes | Yes |
| New CDL | Yes | Yes | Yes | Yes | Yes | Yes |
| Duplicate CDL | Yes ² | Yes ² | Yes | Yes ² | Yes | Yes |
| Renewal CDL | Yes | Yes | Yes | Yes | Yes | Yes |
| Reinstatement CDL | Yes ² | Yes ² | Yes ² | Yes | Yes | Yes |
| CSOR | Yes | Yes | Yes | Yes | Yes | Yes |
| New CDL class | Yes | Yes | Yes | Yes | Yes | Yes |
| New CDL endorsement | Yes | Yes | Yes | Yes | Yes | Yes |

¹Only if not previously completed, provided a notation is made on the driver’s record confirming that the check has been made and noting the date it was done.

²Only if the expiration date of the license is extended—FMCSA considers any issuance action that extends the expiration date as a renewal. A temporary license issued before the final license is mailed to the driver grants the same permissions as the final license and is, therefore, a license. Therefore, the CDLIS and PDPS checks, along with ensuring the driver is medically qualified, must be completed before issuing a temporary CDL.

7.1.1.1 Required Timing of CDLIS Checks and PDPS Checks

The required timing of CDLIS checks and PDPS checks are specified in 49 CFR §384.232, which is referenced by 49 CFR §384.205 (CDLIS inquiries) and 49 CFR §384.220 (PDPS inquiries). The "Required Timing of CDLIS and PDPS Checks" table below summarizes the required timing of the checks.

Required Timing of CDLIS and PDPS Checks

| Applying for | Transaction Type | Currently Held | Perform Checks not Earlier Than... |
|--------------|--|---|------------------------------------|
| CDL | New Issuance | No prior CDL in any state | 24 hours prior to issuance |
| | | Prior Base License in issuing state | |
| | | Prior CDL in another state (OOS Conversion) | |
| | | Expired prior CDL in another state (OOS Conversion) | |
| | Renewal | CDL in issuing state | 10 days prior to issuance |
| | Duplicate | CDL in issuing state | |
| | Reinstatement | CDL in issuing state | 24 hours prior to issuance |
| | Upgrade (new class or new endorsement) | CDL in issuing state | 10 days prior to issuance |

| Applying for | Transaction Type | Currently Held | Perform Checks not Earlier Than... |
|---------------------------------------|------------------|---|------------------------------------|
| Non-CDL (<i>i.e.</i> , Base License) | New Issuance | No prior CDL in any state | 90 days prior to issuance |
| | | Prior Base License in issuing state | |
| | | Prior Base License in another state (OOS Conversion) | |
| | | Expired prior Base License in another state (OOS Conversion) | |
| | | Prior CDL in another state (OOS Conversion to non-CDL) | |
| | | Expired prior CDL in another state (OOS Conversion to Base License) | |
| | Renewal | Base License in issuing state | |
| | Duplicate | Base License in issuing state | |
| | Reinstatement | Base License in issuing state | |
| | Downgrade | Prior CDL in issuing state | |
| | Permit | No prior non-CDL in any state | |

7.1.1.2 Determining Medical Qualification

7.1.1.2.1 Ensure Appropriate Drivers are Medically Certified

Non-excepted interstate ('NI') drivers are required to obtain a certified Medical Examiner's Medical Certificate and maintain medical certification to drive commercial vehicles. The requirement for medical certification depends on the type of driving to which a driver self certifies. U.S. drivers are required to maintain medical certification may also be subject to FMCSA-provided variances. Jurisdictions must ensure the driver is medically certified and maintain medical certificate information on the driver's record. Federal regulations also describe what must be done if the medical certificate or variance is not kept current.

7.1.1.2.1.1 Determining which drivers are required to obtain a medical certificate

When a driver applies for aCDL, he/she must self-certify the type of driving per 49 CFR §383.71.

The allowable self-certifications options include:

- **Non-excepted interstate.** A person must certify that he or she operates or expects to operate in interstate commerce*, is both subject to and meets the qualification requirements under 49 CFR part 391, and is required to obtain a medical examiner's certificate by 49 CFR §391.45
- **Excepted interstate.** A person must certify that he or she operates or expects to operate in interstate commerce, but engages exclusively in transportation or operations excepted under 49 CFR §§390.3(f), 391.2, 391.68 or 398.3 from all or parts of the qualification requirements of 49 CFR part 391, and is therefore not required to obtain a medical examiner's certificate by 49 CFR §391.45
- **Non-excepted intrastate.** A person must certify that he or she operates only in intrastate commerce and therefore is subject to State driver qualification requirements
- **Excepted intrastate.** A person must certify that he or she operates in intrastate commerce, but engages exclusively in transportation or operations excepted from all or parts of the State driver qualification

requirements.

*Note: The definition in 49 CFR §390.3 is:

Interstate commerce means trade, traffic, or transportation in the United States—

- Between a place in a State and a place outside of such State (including a place outside of the United States);
- Between two places in a State through another State or a place outside of the United States; or
- Between two places in a State as part of trade, traffic, or transportation originating or terminating outside the State or the United States.

Even if jurisdiction laws require a medical certificate for all its CDL holders (not just those that certify to ‘non-excepted interstate’ operations), all four options must be available for self-certification. The self-certifications will be used nationwide, not just within a jurisdiction. Law Enforcement (LE) will be checking medical certificate information on in- and out-of-state drivers. For out-of-state drivers, LE needs to know what is required nationwide for this driver (‘non-excepted, interstate’ required in CDLIS). For example:

- Jurisdiction A requires medical certification for all drivers.
- Beekeeper [excepted under 49 CFR §391.2(b)] licensed in Jurisdiction A self certifies to ‘excepted, interstate’ operation.
- If stopped in Jurisdiction B, LE won’t need to check the validity of the medical certificate information since the driver is not required by federal regulations to have one (even though Jurisdiction A requires it).

This will also reduce confusion to other jurisdictions when driver information is received during the State-to-State Status Request, State-to-State History Request, and Change State of Record transactions.

Jurisdictions can treat all its CDL holders as ‘non-excepted’ (requiring a medical certificate) using an internal method. For in-state drivers, the SDLA will need make it clear to their LE personnel that, while all in-state CDL holders are required to maintain medical certification, the same rules apply only to out-of-state drivers that certify to ‘non-excepted, interstate’ operation.

Exemptions, Exceptions, and Exclusions

Various federal regulations provide for various reasons that drivers may not be subject to the requirements for obtaining a CDL and, hence, not required to obtain a medical certificate:

- 49 CFR §391.2 provides for exemptions [*e.g.*, farm custom operations, apiarian industries (bee keeping), and certain farm vehicle drivers]
- 49 CFR §390.3(f) provides for exceptions (*e.g.*, some school bus operations, transportation performed by the federal government, the transportation of human corpses or sick and injured persons, the operation of fire trucks and rescue vehicles while involved in emergency and related operations)
- 49 CFR §391.68 provides for some exclusions for private motor carrier of passengers (non-business)
- 49 CFR §398.3 provides an exclusion for drivers of migrant workers – these drivers require a different form (doctor’s certificate *vs.* the medical certificate)

CDL holders and applicants certifying to operating in non-excepted, interstate commerce must furnish an original or copy of their medical examiner’s certificate to the jurisdiction issuing the CDL. A non-excepted, interstate CDL holder is required to maintain his or her medical certification. This is a requirement whether or not the individual is working as a driver requiring a CDL.

NOTE: Although 49 CFR §383.73(j)(1)(i), states that ‘the current licensing State must ... Retain the original or a copy of the medical certificate of any driver required to provide documentation of physical qualification for 3 years beyond the date the certificate was issued.’, the jurisdiction who initially received the Medical Certificate is required to keep the copy (not the current SOR after a CSOR). If, for example, during a fraud investigation, another jurisdiction needed a copy, it would need to contact the jurisdiction that received the original Medical Certificate. The jurisdiction can tell where the Medical Certificate was issued by looking at BMPJ01 (Medical Licensing Jurisdiction code) on the driver’s record.

FMCSA emphasizes that it is a driver’s responsibility to maintain a current medical certification and to renew it

before it expires.

7.1.1.2.1.2 Variances

Medical variance means a driver has received one of the following from FMCSA that allows the driver to be issued a medical certificate:

- An exemption letter permitting operation of a commercial motor vehicle pursuant to part 381, subpart C, or 49 CFR §391.64 (**NOTE:** this is referred to as a 'waiver' by some jurisdictions)
- A skill performance evaluation certificate permitting operation of a commercial motor vehicle pursuant to 49 CFR §391.49

Grandfathered Drivers:

Some drivers to whom FMCSA has issued an exemption were part of a pilot that ended in 1996. Those drivers who were 'in good standing on March 31, 1996', were issued exemption letters with no expiration date. They are not required to have additional exemption letters as long as they are 'physically examined every year' and are otherwise qualified under 49 CFR §391.41 (see 49 CFR §391.64). For these ~2,200 drivers, the exemption expiration date is set to 'INDEF'.

Notification of exemptions:

FMCSA will soon begin notifying States of medical exemption/waiver information via tracked UPS deliveries. This method will allow the inclusion of driver identification information so that States can take the appropriate action. However, this notification will occur on a regular schedule and will not be sent immediately upon granting an exemption/waiver. Note: if FMCSA rescinds a medical exemption an expedited notification process will occur outside of the regular notification schedule. If a driver presents a medical exemption or variance letter and the State has not yet received notification from FMCSA, the State has the option to contact FMCSA's Office of Medical Programs if it questions the validity of the document. Inquiries should be directed to (202) 366-4001 or FMCSAMedical@dot.gov. FMCSA could issue one or both types of variances; for each type of variance, the associated data elements must be maintained on the CDLIS driver record and sent in response to status and history messages.

There are two Federal exemptions – one for diabetes and one for vision. Each has its own effective and expiration date. A brief sampling of data by FMCSA HQ shows that, nationwide, there are currently only 4 individuals that have both an active diabetes exemption and an active vision exemption – this out of over 6,000 current active exemptions.

If a jurisdiction encounters one of these drivers, it should send the dates associated with the exemption that is due to expire the soonest. For example:

- exemption #1 has an expiration date (DDLWED) of 10-31-2011
- exemption #2 has an expiration date of 05-30-2011

Jurisdictions should pass the effective and expiration date associated with exemption #2.

Jurisdictions are responsible for insuring their medical variance contact information is always up-to-date with FMCSA's Medical Programs.

7.1.1.2.2 Jurisdiction Requirements for CDL Issuance

Before issuing a CDL to a driver who self-certifies to non-excepted, interstate driving, jurisdictions must ensure that the driver has medical card information on his/her CDLIS driver record and that the medical status is 'certified'.

Notes:

- Jurisdictions must be in compliance with the Medical Certificate requirements by January 30, 2012. Data on all CDL holders must be captured by January 30, 2014.
- The federal regulations only require posting the information from the medical certificate when received by the SDLA [49 CFR §383.73(j)(1)(iii)]. A name, phone number, or specialty change does not affect the validity of a medical certificate. To reduce confusion, Medical Examiner information on the CDLIS Driver

Record must match that on the physical medical certificate. All of the Medical Examiners would be licensed by a jurisdiction agency so their current contact information could be retrieved, if necessary.

7.1.1.2.3 Downgrades

Beginning January 30, 2014, if a driver fails to provide the State with the certification contained in §383.71(b)(1)(ii), or with a current medical examiner's certificate if the driver self-certifies according to §383.71(b)(1)(ii)(A) that he/she is operating in non-excepted interstate commerce as required by §383.71(h), the State must mark that CDLIS driver record as "not-certified" and initiate a CLP or CDL downgrade process as stated below.

- Change the driver's medical status to 'not certified' within 10 calendar days of the driver's medical certification or variance expiration date (for variance expiration, the 10 calendar day requirement begins upon receipt of the notification from FMCSA).
- Notify the CLP or CDL holder of his/her CLP or CDL "not-certified" medical certification status and that the CMV privileges will be removed from the CLP or CDL unless the driver submits a current medical certificate and/or medical variance, or changes his/her self-certification to driving only in excepted or intrastate commerce (if permitted by the State)
- Complete the 'downgrade' within 60 days of the driver's medical certification or variance expiration date, whichever comes first

Drivers who self-certify to driving in non-excepted, interstate commerce and, for whatever reason, fail to maintain a current medical certificate on file with the SDLA, are not eligible to hold an interstate CDL.

If the medical certificate expires or the FMCSA-issued variance is removed or rescinded by FMCSA, the jurisdiction must

- Notify the CDL holder that his/her CDL privileges will be removed unless the driver takes one of the following actions:
 - Submits a current medical certificate and/or medical variance
 - Changes his/her self-certification from non-excepted interstate
- Change the driver's medical status to 'not certified' within 10 days of the driver's medical certification or variance expiration date (for variance expiration/rescission, the 10-day requirement begins upon receipt of the notification from FMCSA)

The downgrade process that takes place as the result of a US driver's medical certification status being changed from "certified" to "not certified", whether for failing to self certify by January 30, 2014, failing to submit a new medical certificate or having the variance removed/rescinded, does not disqualify the driver's CDL. The driver is no longer qualified to operate with the CDL in interstate, non-excepted commerce, but may still be qualified to have a CDL.

If the jurisdiction has the same medical certificate requirements for all CDL holders for intrastate commerce, then the driver is no longer qualified to hold a CDL. The commercial status would change from 'LIC' to 'ELG'. **NOTE:** the commercial status is never set to 'NOT' based solely on the expiration of the medical certificate and/or FMCSA-issued variance – only on open (*i.e.*, non-reinstated) in-state withdrawals.

As long as the jurisdiction changes the driver's medical status to 'not-certified' within the federally-mandated 10 days and provides notification to the driver, the jurisdiction may remove the commercial privilege (one of the downgrade options) any time after driver notification as long as it is within the required 60 days.

Scenarios

- An independent operator works for two different companies –
 - a long-haul trucking firm and
 - one involved in Apiarian Industries (beekeepers seasonally transporting bees – exemption in 49 CFR §391.2(b))
- the driver would have to certify to interstate, non-excepted commerce and have a medical certificate
- if his/her medical certificate expires, the following apply:

- o stopped while driving in interstate, non-excepted commerce – citation for B65
 - o stopped while transporting bees – no citation related to the medical certificate since he/she is operating in excepted commerce (inter- or intrastate)*
- *if jurisdiction laws require all CDL holders it licenses (not just those that self-certify to interstate, non-excepted commerce) to maintain medical certification, the driver could be cited for the B65 by the licensing jurisdiction

FMCSA does not require that SDLAs notify drivers about the pending expiration of medical examiners’ certificates (only notification for a pending downgrade of the driver’s CDL).

Each jurisdiction has the flexibility of establishing its own processes for receiving changes to a self-certification category from drivers (*i.e.*, driver’s are not required to show up at the SDLA in person).

7.1.1.2.4 Transmission of Medical Certification Data in CDLIS

The following table indicates whether medical certification information must, may, or must not be sent on CDLIS messages for drivers based on the self certification of the driver:

| Self Certification Category | Transmission of Medical Certification Data |
|-----------------------------|--|
| Non-excepted, interstate | Must be sent |
| Non-excepted, intrastate | May be sent only if the jurisdiction has the same medical requirements as for non-excepted, interstate drivers (<i>i.e.</i> , DoT medical card and FMCSA-approved variances, if applicable) |
| Excepted, interstate | Must not be sent |
| Excepted, intrastate | Must not be sent |
| <blank> | Must not be sent |

Jurisdictions that require medical certification on all drivers will store this information on their internal records but must not transmit it in response to status or history inquiries.

Medical Certification Status

For those drivers requiring medical certification, the medical certification status is based on the currency of the DoT medical card and any FMCSA-approved variances, if applicable.

- If the driver does not require a variance and the medical certificate is current, the driver is ‘Certified’
- If the driver requires a variance and both the medical certificate and variance are current, the driver is ‘Certified’.
- If either the medical card or variance (where applicable) has expired or has not been presented, the driver is ‘Not Certified’.
- For excepted drivers, the medical certification status must be <blank>.

NOTE: See the section above on Downgrades for required actions for ‘Not Certified’ drivers

The following table shows the valid combinations of self certification and medical certification status:

| Self Certification Category | Medical Certification Status | | |
|-----------------------------|------------------------------|---------------|---------|
| | Certified | Not Certified | <blank> |
| Non-excepted, interstate | Y | Y | N |

| Self Certification Category | Medical Certification Status | | |
|-----------------------------|------------------------------|---------------|---------|
| | Certified | Not Certified | <blank> |
| Non-excepted, intrastate | Y | Y | Y |
| Excepted, interstate | N | N | Y |
| Excepted, intrastate | N | N | Y |
| <blank> | N | N | Y |

7.1.1.3 Conducting a 10-year History Check

The 10-year history check is performed for the following three reasons:

- The prospective SOR may discover that the driver had a CDL in a previous licensing jurisdiction and one or more additional convictions that were never added to the CDLIS DHR. These additional convictions may result in a disqualification of the CDL privilege.
- The prospective SOR may discover that the non-CDL holder in a previous licensing jurisdiction had one or more convictions of violations while operating a CMV (including a vehicle transporting hazardous materials) that were never added to the CDLIS DHR. These additional convictions may result in a disqualification of the CDL privilege.
- The prospective SOR may discover additional convictions that didn't involve a CDL or a CMV that may result in a withdrawal of the non-CDL privileges. FMCSA regulations require a disqualification of the CDL privilege when the base-license privilege is withdrawn.

The following rules apply when conducting the 10-year history check:

- When issuing the CDL, if a 10-year history check has not been completed previously, a prospective SOR must send a request for driver history information to **every** jurisdiction that has issued a license to the applicant, as certified by the applicant, during the 10 years prior to the application date, with the following exceptions:
 - 1) The prospective SOR is not required to send a request to a jurisdiction that has responded to a previous request for history, as documented in the CDLIS driver history record,
 - 2) The prospective SOR is not required to send a request to the current CDLIS SOR, as the CSOR process will provide the prospective SOR with that information.
- The prospective SOR may initiate the 10-year history check using any of the following PDPS transactions:
 - DLN Survey
 - State-to-State Status Request
 - State-to-State History Request
- On a transferring CDL holder, the prospective SOR may use either of the following CDLIS transactions to initiate a check to the current SOR only:
 - State-to-State Status Request, and/or
 - State-to-State History Request.
- Responses to the DLN survey and State-to-State Status Request include the number of convictions and withdrawals on the driver record. If there are no convictions and withdrawals reported, the 10-year history check can be considered completed for that jurisdiction. If one or more convictions and/or withdrawals exist, a State-to-State History Request must be submitted.
- **Note:** Jurisdictions are encouraged to purge convictions and withdrawals that no longer meet data retention requirements once they've determined that all required disqualifications have been taken. Jurisdictions may purge whichever convictions and/or withdrawals they desire once there is no requirement to maintain them however, **all** convictions and withdrawals currently on a driver's record must be sent in response to any history request – not just those that meet data retention requirements.
- The DLN Survey transaction is a real time transaction. As stated in the PDPS DLN Survey Transaction

Implementation Planning Guide, jurisdictions are expected to process DLN Survey requests received on-line in real time, and to complete the on-line transaction "Within 7 seconds" from the time the DLN Survey request is sent. Jurisdictions must not hold electronic DLN Survey requests for batch processing.

- 49 CFR §384.206(a)(2)(iii) says: “States receiving a request for the driving record of a person currently or previously licensed by the State must provide the information within 30 days.” [Also see 49 CFR §384.206(a)(2)(ii) and 49 CFR §384.232]. The SOR and all of the jurisdictions where the driver has been licensed in the last 10 years are given thirty (30) days, collectively, to complete the entire process. Typically, within the thirty (30) day time limit, the SOR must
 - obtain any unknown DLNs, using the DLN Survey request
 - request history
 - receive and evaluate history responses
 - post any missing history, and
 - take any required driver control action.

The same thirty (30) day time limit applies, regardless of whether inquiries and responses are processed electronically, or are not automated at all (*i.e.*, paper requests and responses are mailed).

Note: If the queried jurisdiction does not respond within 30 days, the prospective SOR does not have to make the request a second time.

- Whether DLN Survey requests are received electronically or on paper, jurisdictions must respond immediately. Jurisdictions must not take 30 days to respond to a paper DLN Survey request. This would not allow any time within the 30 day window for the inquiring jurisdiction, *i.e.*, the SOR, to act on the response, either to request additional information, or to post any additional convictions and take required driver control action.
- A prospective or current SOR may initiate a 10-year history check even if the record shows a previous 10-year history check has been completed.

While not required, jurisdictions may conduct a 10-year history check prior to issuing a CDL permit. However, even if a jurisdiction conducts a check on permits, the jurisdiction must repeat the check when the CDL is issued.
- If a CDL holder relinquishes his/her CDL, no 10-year history check is required.
- A prospective SOR must conduct a 10-year history check on a holder of a Restricted CDL [see 49 CFR §383.3(e - g)].
- The only way to determine whether a previous 10-year history check has been done on a transferring CDL holder is to initiate a CDLIS State-to-State History Request to the current SOR. The Driver History Response (HB) message will indicate the status of the 10-year history check. If the 10-year history check has not been initiated, no 10-year history check status information will be sent in the Driver History Response (HB) message.
- A prospective SOR is not required to inquire about licenses issued by US Territories or other nations.
- Any time a driver converts from a non-CDL to a CDL, this is considered a new issuance. In this case, the licensing jurisdiction must perform a new 10-year history check, even if the driver's record indicates that a 10-year history check was performed previously.

A prospective SOR must conduct a 10-year history check on a holder of a Restricted CDL (see 49 CFR §383.3 (e - g)).

See the Supplement to the PDPS System Reference Document (December 1, 1993) – Implementation Planning Guide: DLN Survey Transaction, December, 2006 and the Supplement to PDPS State Procedures Manual Version 2.0 (January 1999) – December 2006 for more information about conducting the 10-year history check.

7.1.1.4 Ensuring Citizenship/Lawful Permanent Residency/Legal Presence

Jurisdictions can issue CLPs and CDLs only to drivers domiciled in the US who are US citizens or lawful permanent residents. The list of acceptable proofs are in Table 1 to 49 CFR §383.71:

| Status | Proof of status |
|--------|-----------------|
|--------|-----------------|

| | |
|---------------------------|--|
| U.S. Citizen | <ul style="list-style-type: none"> • Valid, unexpired U.S. Passport. • Certified copy of a birth certificate filed with a State Office of Vital Statistics or equivalent agency in the individual's State of birth, Puerto Rico, the Virgin Islands, Guam, American Samoa or the Commonwealth of the Northern Mariana Islands. • Consular Report of Birth Abroad (CRBA) issued by the U.S. Department of State. • Certificate of Naturalization issued by the U.S. Department of Homeland Security (DHS). • Certificate of Citizenship issued by DHS. |
| Lawful Permanent Resident | <ul style="list-style-type: none"> • Valid, unexpired Permanent Resident Card, issued by USCIS or INS. |

Jurisdictions may issue CLPs and CDLs to drivers domiciled in a foreign jurisdiction if the driver provides ‘an unexpired employment authorization document (EAD) issued by USCIS or an unexpired foreign passport accompanied by an approved I-94 form documenting the applicant's most recent admittance into the United States. No proof of domicile is required’ [49 CFR §383.71(f)]

Jurisdictions are only required to check the proof of citizenship or legal presence for initial issuance of a CLP or Non-domiciled CDL, transfer of CDL from another State or for drivers renewing a CDL or Non-domiciled CDL one time, provided a notation is made on the driver's record confirming that the proof of citizenship or legal presence check has been made and noting the date it was done.

NOTE: For non-citizens, jurisdictions can use AAMVA’s Verification of Lawful Presence (VLS) application for most documents.

7.1.2 Determining Eligibility for a License

The following rules apply when determining the eligibility for a license based on the results of the CDLIS check, the PDPS check, a 10-year history check, medical qualification, SSN verification and citizenship/lawful permanent residency/legal presence check.

7.1.2.1 Evaluating Results of the CDLIS check, the PDPS check, a 10-Year History Check, SSN Verification and Citizenship/Lawful Permanent Residency/Legal Presence check

The goals of the CDLIS check, PDPS check, 10-year history check, SSN verification and citizenship/lawful permanent residency/legal presence check are to enable the prospective SOR: (1) to compile a complete driver history of ACD convictions and withdrawals (commercial and non-commercial) without unduly burdening the prospective SOR and (2) to determine if the applicant is eligible for a commercial driver’s license. Any responses received during these checks must be considered and analyzed to determine whether the jurisdiction is allowed to issue the driver’s license.

- If the SOR issues a CDL and then receives a history with errors, the SOR must do ‘due diligence’ to ensure any errors are corrected, the history is posted to the driver’s record, and any driver control actions are taken.
- If prior ACD convictions are found in the 10-year history check of an applicant for a CDL, and the convictions are not in the CDLIS DHR, the prospective SOR must consider them when deciding whether to issue a CDL and then must add them to the history, if it chooses to issue a CDL. If the prior ACD convictions involved an individual who did not hold a CDL and was not operating a CMV in the incident, the jurisdiction uses its own laws to decide whether to issue any type of license. If the prior ACD convictions involved a CDL holder or a driver operating a CMV, or both, the prospective SOR must follow federal regulations to determine if the driver should be disqualified. If the driver should be disqualified, the prospective SOR must either (1) refuse to issue a CDL or (2) issue a CDL and immediately withdraw the license.
- A prospective licensing jurisdiction must not ignore previous offenses of a non-CDL holder convicted of driving a CMV without a CDL. Non-CDL, non-CMV ACD offenses must be considered according to the

laws of the prospective licensing jurisdiction, and CDL or CMV ACD offenses must be considered according to the federal regulations and the laws of the prospective licensing jurisdiction.

- All missing convictions, accidents, and/or withdrawals found during these checks must be validated using normal jurisdiction processes and, if validated, must be posted to the driver’s history and transmitted in future history requests and CSORs. Jurisdictions must not post duplicate convictions, accidents, and/or withdrawals. If errors are received on the history or status responses of the CDLIS and PDPS checks, the prospective SOR must coordinate with the other jurisdiction to correct the errors.

Note: Jurisdictions must not disqualify the driver again if the prior jurisdiction disqualified and subsequently reinstated the driver.

- When reviewing the results of the ten-year history check, the only ACD convictions that count towards a disqualification are those convictions of (1) a CDL Holder or (2) a driver ‘required to have a CDL’ (non-CDL holders convicted of a violation in a CMV). All ACD convictions of individuals with a pointer on CDLIS must be recorded in the CDLIS DHR and counted towards a revocation, cancellation, or suspension of the base license. If the driver’s base license is disqualified, the jurisdiction must not issue a CDL to the driver.
- Before initiating a CSOR, the prospective SOR may wish to consider any pending withdrawal (see section 8.1.2.5 Withdrawal Information in the DHR). If a withdrawal is final, but has not yet taken effect, the Withdrawal Pending Flag should be set to ‘1’ (yes). The Withdrawal Pending Flag may not be set to ‘1’ (yes) under any other conditions. Federal regulations do not have any restrictions on transferring a driver who has a pending withdrawal and a prospective SOR may issue a CDL to an individual who has a pending withdrawal in the current SOR. However, to support the cause of highway safety, FMCSA strongly suggests that a prospective SOR should NOT perform a Change State of Record on a driver with a pending withdrawal.
- If any convictions that were not previously on the driver’s record are discovered, jurisdictions must assess these convictions and take any required driver control actions not previously taken.
- If a conviction that has been negated is reported in the 10-year history check, the applicant will have to tell the New SOR that the conviction has been negated and, unless the applicant provides certification from the SOC, the New SOR must check with the SOC to confirm that the conviction has been negated.
- When responding to a 10-year history check via mail, all convictions and withdrawals resulting from ACD code violations in a CMV and/or by a CDL holder that are reported on a driver history must include all information required, including the state native code as well as the appropriate ACD code.
- If, as a result of a 10-year history check, a jurisdiction receives conviction(s) where a disqualification was required but not taken, and the normal retention date has passed, and, if the jurisdiction issues or has issued a CDL to the applicant, the jurisdiction must take the required driver control action on the conviction(s) and must retain the conviction(s) on the CDLIS DHR, according to the data retention requirements in the ACD Manual.
- If the statuses and histories are appropriate for licensing, the jurisdiction may issue the CDL. The list of status values in the table titled "Rules to allow issuance of a CDL given the driver status" shows when:
 - the prospective SOR may issue a CDL,
 - the prospective SOR is prohibited from issuing a CDL, or
 - when the combination of status values is not valid, so no CDL may be issued.

All statuses are those provided by the SOR. A CDL status of “NOT” received on the PDPS search results from a non-SOR does not preclude issuance of a non-CDL.

Rules to allow issuance of a CDL given the driver status

| Base License Status | CDL Status | Issue CDL? |
|---------------------|------------|------------|
| LIC | LIC | OK |
| LIC | ELG | OK |
| LIC | NOT | No |

| Base License Status | CDL Status | Issue CDL? |
|---------------------|------------|-----------------|
| LIC | RPD | - ¹ |
| ELG | LIC | - ¹ |
| ELG | ELG | OK ² |
| ELG | NOT | No |
| ELG | RPD | - ¹ |
| NOT | LIC | - ¹ |
| NOT | ELG | - ¹ |
| NOT | NOT | No |
| NOT | RPD | - ¹ |
| RPD | LIC | - ¹ |
| RPD | ELG | - ¹ |
| RPD | NOT | - ¹ |
| RPD | RPD | No |

¹A dash means the combination of base-license status and CDL status is not legitimately possible. In these cases, jurisdictions must **not** issue a CDL.

²If an inquiry about a driver brings back a status of ELG/ELG, the state can issue a CLP prior to July 8, 2015 only if the driver has 'passed such vision, sign/symbol, and knowledge tests as the State issuing the learner's permit ordinarily administers to applicants for automotive drivers' licenses' [49 CFR §383.71(a)(1)(ii)]. The issuance of a CLP is a precondition to the initial issuance of a CDL [49 CFR §383.25(d)]. For permits issued on or after July 8, 2015, the applicant must also possess a valid non-commercial license.

If issuing a license to a driver with an MPR on the CDLIS Central Site, the new licensing jurisdiction must do a CSOR and take the CDLIS pointer.

7.1.2.2 Evaluating Results of the SSN Verification

A jurisdiction can issue a CLP or CDL only after the name, date of birth, and Social Security Number provided by the applicant have been verified with the information on file with the Social Security Administration. The State is prohibited from issuing or renewing a CLP or issuing, renewing, upgrading, or transferring a CDL if the Social Security Administration database does not match the applicant-provided data.

NOTE: SSN verification is only required once if a notation is made on the driver's record confirming that the verification has been made and noting the date it was done.

7.1.2.3 Evaluating Results of the Citizenship/Lawful Permanent Residency/Legal Presence Check

A jurisdiction can issue a CLP or CDL only after ensuring the driver is a US citizen or lawful permanent resident or, in the case of a non-domiciled driver, that the driver has legal presence.

Jurisdictions are only required to check the proof of citizenship or legal presence for initial issuance of a CLP or Non-domiciled CDL, transfer of CDL from another State or for drivers renewing a CDL or Non-domiciled CDL one time, provided a notation is made on the driver's record confirming that the proof of citizenship or legal presence check has been made and noting the date it was done.

NOTE: For non-citizens, jurisdictions can use AAMVA's Verification of Lawful Presence (VLS) application for

most documents.

7.1.2.4 Controls During the Licensing Process

Per 49 CFR §383.73(m), jurisdictions

must require at least two persons within the driver licensing agency to check and verify all documents involved in the licensing process for the initial issuance, renewal, upgrade, or transfer of a CLP or CDL. The documents being checked and verified must include, at a minimum, those provided by the applicant to prove legal presence and domicile, the information filled out on the application form, and knowledge and skills test scores. *Exception:* For offices with only one staff member, the documents must be checked and verified by a supervisor before issuance or, when a supervisor is not available, copies must be made of the documents used to prove legal presence and domicile and a supervisor must verify the documents and the filled out application form and test scores within one business day of issuance of the CLP or CDL.

Per 49 CFR §383.73(n)(2), jurisdictions must ‘suspend the issuance process whenever State, CDLIS, and/or PDPS driver record checks return suspect results. The State must demonstrate that it has a system to detect and prevent fraud when a driver record check returns suspect results.’

7.1.2.5 Evaluating Results of the Medical Qualifications

A person who certifies that he or she operates or expects to operate in interstate commerce, and is subject to and meets the qualification requirements under 49 CFR §391, is required to obtain a medical examiner’s certificate by 49 CFR §391.45. The other 3 groups listed in 49 CFR §383.71(a)(1)(ii)(B-D) (Excepted interstate, Non-excepted intrastate, and Excepted intrastate) are not required to obtain a medical examiner’s certificate by 49 CFR §391.45.

Before issuing a CDL to a driver that is required to have a medical certificate, jurisdictions must be in receipt of a medical certificate for the driver that confirms that the driver is medically qualified. Within 10 days of receipt of the medical certification, the jurisdiction must post the medical certificate information to the CDLIS driver record with a medical status of ‘certified’. [49 CFR §383.73(j)(1)(iii)] If a variance is required, the variances that accompany the medical certificate must not be expired, and must be posted to the CDLIS driver record within 10 days of receipt [49 CFR §383.73(j)(3)].

Note: Jurisdictions must be in compliance with the Medical Certificate requirements by January 30, 2012. Data on all CDL holders must be captured by January 30, 2014.

7.1.2.6 Transmission of Medical Certification Data in CDLIS

Medical Certification data must be transmitted in response to status and history request for the following drivers:

- All ‘NI’-Non-excepted, interstate drivers
- ‘NA’-Non-excepted Intrastate drivers when the jurisdiction requires a medical certificate and/or variance. If a jurisdiction’s standard issuance process does not collect medical certification data for drivers in the NA commerce category, the jurisdiction may, but is not required to send any medical certification data in CDLIS messages for that CDL holder.

Jurisdictions that require medical certification and/or variance on drivers who self-certify as ‘EI’-Excepted Interstate or ‘EA’-Excepted, Intrastate may store the medical certification information on their jurisdictions database. This information must not be transmitted in response to status or history request.

NOTE: A Jurisdiction Medical Certificate Events document is available in [APPENDIX D](#). The document consists of events the jurisdictions may encounter and offer the jurisdiction the solution in handling the event.

NOTE: For further direction on ‘Not Certified’ drivers see Section 7.1.1.2.3 Downgrades of the SPM.

7.1.3 Drivers with Military CMV Experience

49 CFR §383.77 allows jurisdictions to waive driving skills tests for a CMV driver with military CMV experience who is currently licensed at the time of his/her application for a CDL, and substituted with an applicant’s driving

record in combination with certain driving experience (subject to certain conditions and limitations). These conditions must require at least the following:

(a) An applicant must certify that, during the two-year period immediately prior to applying for a CDL, he/she:

- (1) Has not had more than one license (except for a military license);
- (2) Has not had any license suspended, revoked, or cancelled;
- (3) Has not had any convictions for any type of motor vehicle for the disqualifying offenses contained in §383.51(b);
- (4) Has not had more than one conviction for any type of motor vehicle for serious traffic violations contained in §383.51(c); and
- (5) Has not had any conviction for a violation of military, State or local law relating to motor vehicle traffic control (other than a parking violation) arising in connection with any traffic accident, and has no record of an accident in which he/she was at fault; and

(b) An applicant must provide evidence and certify that he/she:

- (1) Is regularly employed or was regularly employed within the last 90 days in a military position requiring operation of a CMV;
- (2) Was exempted from the CDL requirements in §383.3(c); and
- (3) Was operating a vehicle representative of the CMV the driver applicant operates or expects to operate, for at least the 2 years immediately preceding discharge from the military.

7.1.4 Notes on Issuing non-Domiciled CLPs and CDLs

From 49 CFR §383.71(f)(1). Non-Domiciled CLPs and CDLs must be issued in the following cases:

(i) If the applicant is domiciled in a foreign jurisdiction, as defined in §383.5, and FMCSA has **not** determined that the commercial motor vehicle operator testing and licensing standards of that jurisdiction meet the US standards.

NOTE: FMCSA has determined that commercial driver's licenses issued by Canadian Provinces and Territories in conformity with the Canadian National Safety Code and the are *Licencias Federales de Conductor* issued by the United Mexican States are both in accordance with the US standards. Therefore, under the single license provision of §383.21, a driver holding a commercial driver's license issued by either Canada or Mexico is prohibited from obtaining a non-domiciled CDL, or any other type of driver's license, from a State or other jurisdiction in the United States.

(ii) If the applicant is domiciled in a State that is prohibited from issuing CLPs and CDLs in accordance with §384.405 of this subchapter. That person is eligible to obtain a Non-domiciled CLP or CDL from any State that elects to issue a Non-domiciled CLP or CDL and that complies with the federal testing and licensing standards.

(2) An applicant for a Non-domiciled CLP and CDL must do both of the following:

(i) Complete the requirements to obtain a CLP or a CDL. *Exception:* An applicant domiciled in a foreign jurisdiction must provide an unexpired employment authorization document (EAD) issued by USCIS or an unexpired foreign passport accompanied by an approved I-94 form documenting the applicant's most recent admittance into the United States. No proof of domicile is required.

(ii) After receipt of the Non-domiciled CLP or CDL, and for as long as it is valid, notify the State which issued the Non-domiciled CLP or CDL of any adverse action taken by any jurisdiction or governmental agency, foreign or domestic, against his/her driving privileges. Such adverse actions include, but are not be limited to, license disqualification or disqualification from operating a commercial motor vehicle for the convictions described in §383.51. Notifications must be made within the time periods specified in §383.33.

(3) An applicant for a Non-domiciled CLP or CDL is not required to surrender his/her foreign license.

7.2 APPLICANT APPLIES FOR CLP OR CDL

When an individual applies for a CLP or CDL, the jurisdiction must submit (1) a CDLIS Search Inquiry (IM) message (or CDLIS Inquiry Preceding an Add Driver (IO) message) (see CDLIS System Specifications, CD01) and (2) a PDPS Interactive Original Inquiry (IO) message (or PDPS Batch [EO] Original Inquiry) (see PDPS documentation for details) no earlier than 24 hours prior to issuance (49 CFR §§384.205, 384.220, and 384.232). These checks give jurisdictions the ability to search (1) the CDLIS Central Site for any existing MPRs that might be matches for a given individual and (2) PDPS for any problem driver pointers that might be matches for a given individual. The CDLIS check also provides information on any other drivers who will be considered possible duplicates if the driver is added.

The jurisdiction must also initiate a 10-year history check for a new CLP applicant [49 CFR §383.73(a)(1)(ii)] or CDL applicant (49 CFR §383.73(b)(3)(iv)). See rules in the preceding section and the PDPS Supplement to the State Procedures Manual for details about conducting and recording the 10-year history check.

In addition, jurisdictions must ensure the driver is medically qualified to operate a CMV.

Notes on CLP issuance:

- Prior to July 8, 2015, before issuing a CLP, the jurisdiction must ensure that the applicant has ‘taken and passed a general knowledge test ... for the commercial motor vehicle that person operates or expects to operate’ [49 CFR §383.25(a)(3)].
- For CLPs issued on or after July 8, 2015, a CLP cannot be issued unless the driver holds a valid driver’s license issued by the same jurisdiction that is issuing the CLP [49 CFR §383.25(a)(2)].
- For CLPs issued on or after July 8, 2015, ‘The CLP holder must be 18 years of age or older’ [49 CFR §383.25(a)(4)]; NOTE: a driver must still be 21 to operate in interstate commerce (with the exceptions in 49 CFR §§391.61-391.71) [49 CFR §391.11(b)(2)]. NOTE: while compliance is required by July 8, 2015, CDLIS will not begin editing for this until July 8, 2016
- ‘The CLP must be a separate document from the CDL or non-CDL’ [49 CFR §383.25(b)].
- For CLPs issued on or after July 8, 2015, ‘The CLP must be valid for no more than 180 days from the date of issuance. The State may renew the CLP for an additional 180 days without requiring the CLP holder to retake the general and endorsement knowledge tests’ [49 CFR §383.25(c)]. NOTE: while compliance is required by July 8, 2015, CDLIS will not begin editing for this until July 8, 2016
- ‘The issuance of a CLP is a precondition to the initial issuance of a CDL. The issuance of a CLP is also a precondition to the upgrade of a CDL if the upgrade requires a skills test’ [49 CFR §383.25(d)].

For CDLs issued on or after July 8, 2015, a CDL cannot be issued for longer than 8 years – 49 CFR §383.73(b)(9)) – initial issuance; 49 CFR §383.73(c)(9) – transfers; 49 CFR §383.73(e)(7) – upgrades; 49 CFR §383.73(d)(6) – renewals. NOTE: FMCSA has agreed to an additional 30 days in the CDLIS validation to accommodate implementation considerations. This does not change the legislated requirement.

Note: In CDLIS, an Inquiry Preceding Add New Driver transaction functions exactly the same as a Search Inquiry, and may be used instead of the Search Inquiry to indicate that the inquiry is preceding an Add New Driver transaction. These two messages are identical and may, therefore, be used interchangeably.

7.2.1 No Matching Drivers on CDLIS or PDPS

If no matches are returned from either the CDLIS Search Inquiry or the PDPS Interactive Original Inquiry for the applicant, jurisdictions can issue a CDL to the driver. The jurisdiction must add the driver to CDLIS within the 10 day period beginning on the date of license issuance [49 CFR §§383.73(f), 384.207(a)] (see CDLIS System Specifications, CD07).

7.2.2 Matching Driver on PDPS

If the Interactive Original Inquiry or Batch Original Inquiry from PDPS returns a match for the applicant and it can be established that the match is, in fact, the same person, jurisdiction laws will determine if a CDL may be issued.

Note: The presence of a pointer on PDPS does not automatically disqualify a person from obtaining a CDL. If an

Interactive Original Inquiry (IO) was submitted, jurisdictions must review the driver's non-commercial and commercial statuses upon receipt of the HC message. If a Batch Original Inquiry (EO) was submitted, jurisdictions must submit a status or history request to each PDPS SOR (as listed on the Batch Original Response (MO) message) and review the driver's non-commercial and commercial statuses upon receipt of the HG/HB message (see PDPS documentation). The jurisdiction cannot issue a CDL if the driver is withdrawn for any reason by any jurisdiction. For example, if the driver's commercial status on the DHR is 'NOT', the jurisdiction cannot issue a CDL.

7.2.3 Matching Drivers on CDLIS

If the Search Inquiry from CDLIS returns one or more matches for the applicant, the jurisdiction must determine if one of them is, in fact, the applicant.

7.2.3.1 Applicant Returned as a Match.

If the applicant is determined to be one of the drivers returned as a match and a driver history was not received, the jurisdiction must submit a State-to-State History Request (see CDLIS System Specifications, CD04) or State-to-State Status Request (see CDLIS System Specifications, CD03) to determine the driver's eligibility. Based on the results of the history or status request, if the jurisdiction agrees to license the applicant, the jurisdiction must perform a Change State-of-Record (CSOR) on the applicant (see CDLIS System Specifications, CD08).

Note: Regardless of the reason for an existing withdrawal of commercial privileges by the current SOR, the jurisdiction cannot issue a CDL if the driver's commercial status on the DHR is 'NOT'.

If any of the driver's identifying information (*i.e.*, name, DOB, and SSN) is changed when performing a CSOR, the CDLIS Central Site will determine if the new data will result in possible duplicate drivers. To avoid a possible duplicate driver situation during the CSOR of an applicant for a CDL, AAMVA recommends the prospective SOR submit a Search Inquiry with the new identifying information prior to performing the CSOR to identify any potential duplicate driver situations before initiating the CSOR.

7.2.3.2 Applicant Not Returned as a Match.

If the applicant is determined not to be one of the drivers returned as a match, the jurisdiction must add the driver to CDLIS (see CDLIS System Specifications, CD07). If the addition of the driver results in possible duplicates being identified (see CDLIS System Specifications, CD13), the jurisdictions involved must resolve any possible duplicates within 96 hours.

7.3 DRIVER APPLIES FOR REINSTATEMENT OF CDL

If a driver has had his/her CDL withdrawn (*i.e.*, disqualified) by the SOR, the driver may apply for reinstatement at the end of the withdrawal period (on or after the withdrawal eligibility date). Withdrawals may be reinstated by the jurisdiction taking the withdrawal action when all reinstatement requirements have been met. However, whether or not the reinstatement requires the re-issuance of a new driver's license depends on the type of withdrawal. Reinstatement of driving privileges to an out-of-state driver is the responsibility of the withdrawing jurisdiction.

Note: The eligibility date for a Major lifetime withdrawal must be 'INDEF', 'PERM', or 55 years after the withdrawal effective date, and cannot be 10 years after the withdrawal effective date. Under certain circumstances it may be reinstated, but not sooner than 10 years after the withdrawal effective date.

After being reinstated, if an individual needs to apply for a new commercial driver's license with a new issue date and expiration date, the jurisdiction to which the driver applies must submit both the following no earlier than 24 hours prior to issuance [49 CFR §§384.205, 384.220, and 384.232]:

- A CDLIS Search Inquiry (IM) message (or CDLIS Inquiry Preceding an Add Driver [IO] message) (see CDLIS System Specifications, CD01)
- A PDPS Interactive Original Inquiry (IO) message (or PDPS Batch [EO] Original Inquiry) (see PDPS documentation for details).

If the license is to be reinstated by the SOR and no completed 10-year history check is documented in the CDLIS

DHR, the jurisdiction must initiate a 10-year history check before reinstating the CDL. See rules in the preceding section and the Supplement to the PDPS State Procedures Manual for details about conducting and recording the 10-year history check.

7.3.1 No Matching Drivers on CDLIS or PDPS

If the Verification Inquiry returns no matches from CDLIS for the driver, there is an error in CDLIS. The fact that the driver is requesting reinstatement indicates he/she should have an MPR on the CDLIS Central Site. Jurisdictions must contact the AAMVA Operations Help Desk for assistance in resolving this situation.

A no match response from PDPS indicates no problem with the driver.

7.3.2 Matching Driver on PDPS

If the Interactive Original Inquiry or Batch Original Inquiry from PDPS returns a match for the applicant and it can be established that the match is, in fact, the same person, jurisdiction laws will determine if the CDL may be reinstated.

Note: The presence of a pointer on PDPS does not automatically disqualify a person from having a CDL reinstated. Jurisdictions must review the driver's non-commercial and commercial statuses upon receipt of the HC message (see PDPS documentation). The jurisdiction cannot issue a CDL if the driver's commercial status on the DHR is 'NOT'.

7.4 DRIVER APPLIES FOR RENEWAL OF CDL

When an individual applies for renewal of a commercial driver's license, the jurisdiction must submit (1) a CDLIS Verification Inquiry (IN) message {or the equivalent messages [IA, IB, IC, ID, and IE] (see CDLIS System Specifications, CD02) or CDLIS Batch Search Inquiry (EM) message (see CDLIS System Specifications, CD30)}, and (2) a PDPS Interactive Original Inquiry (IO) message (or PDPS Batch [EO] Original Inquiry) (see PDPS documentation for details) no earlier than 10 days prior to issuance (49 CFR §§384.205, 384.220, and 384.232). These checks give jurisdictions the ability to search (1) the CDLIS Central Site for any existing MPRs that might be matches for a given individual and (2) PDPS for any problem driver pointers that might be matches for a given individual.

If the driver has not had a completed 10-year history check documented in the CDLIS DHR, the jurisdiction must initiate a 10-year history check before renewing the CDL. See rules in the preceding section and the Supplement to the PDPS State Procedures Manual for details about conducting and recording the 10-year history check.

Note: There is no federal requirement for the driver to appear in person when renewing a CDL; however, jurisdictions must still perform the following:

- Complete CDLIS and PDPS checks no earlier than 10 days prior to issuance
- Ensure that the driver's medical status is "Certified" if applicable
- Initiate a 10-year history check (unless a completed 10-year history check is already documented in the driver's history record)

7.4.1 No Matching Drivers on CDLIS or PDPS

If the Verification Inquiry returns no matches from CDLIS for the driver, there is an error in CDLIS. The fact that the driver is requesting renewal indicates he/she should have an MPR on the CDLIS Central Site. Jurisdictions must contact the AAMVA Operations Help Desk for assistance in determining why this situation occurred.

A no match from PDPS indicates there are no problems with the driver.

7.4.2 Matching Driver on PDPS

If the Interactive Original Inquiry or Batch Original Inquiry from PDPS returns a match for the applicant and it can be established that the match is, in fact, the same person, jurisdiction laws will determine if the CDL may be

renewed.

Note: The presence of a pointer on PDPS does not automatically disqualify a person from renewing a CDL. Jurisdictions must review the driver's non-commercial and commercial statuses upon receipt of the HC message (see PDPS documentation). The jurisdiction cannot issue a CDL if the driver's commercial status on the DHR is 'NOT'.

7.4.3 Matching Drivers on CDLIS

Ideally, only one match (that of the driver) will be received. If the Verification Inquiry from CDLIS returns more than one match, the jurisdiction must ensure the driver is one of them. The jurisdiction may then renew the CDL.

7.5 APPLICANT APPLIES FOR ENDORSEMENT

When an individual applies for an endorsement to a commercial driver's license, the jurisdiction must submit both the following::

- A CDLIS Search (IM) (see CDLIS System Specifications, CD01) or Verification (IN) message (or the equivalent messages [IA, IB, IC, ID, and IE]) (see CDLIS System Specifications, CD02)
- A PDPS Interactive Original Inquiry (IO) message (or PDPS Batch [EO] Original Inquiry) (see PDPS documentation for details)

These checks give jurisdictions the ability to search both the following:

- The CDLIS Central Site for any existing MPRs that might be matches for a given individual
- PDPS for any problem driver pointers that might be matches for a given individual

If the driver has not had a completed 10-year history check documented in the CDLIS DHR, the jurisdiction must initiate a 10-year history check before issuing the CDL endorsement. See rules in the preceding section and the Supplement to the PDPS State Procedures Manual for details about conducting and recording the 10-year history check.

Note the following:

- When upgrading to a Hazardous Materials (HAZMAT) endorsement (HME), a threat assessment is required. A threat assessment is not required when drivers with an HME add another endorsement to their license.
- The HME expiration date is determined by the SOR upon receipt of the Threat Determination. The HME expiration date is not required to equal the TSA Threat Determination expiration date, but it cannot be more than 5 years after the approval date (with a 'reasonable period' to synch up with the licensing cycle). If a driver transfers to another jurisdiction, the New SOR can accept the Old SOR's HME expiration date or require a new assessment. If a new TSA Threat Determination is done, the expiration date of the previous TSA threat determination is no longer germane.
- A jurisdiction must not issue a HAZMAT ('H') or a combined Tank/HAZMAT ('X') endorsement on a CDL permit (see 49 CFR §383.23(c)(3)). A jurisdiction is not prohibited from issuing a Tank endorsement on a CDL permit.
- By federal regulations (49 CFR §383.153(a)(9)), 'S' is the standard for the school bus endorsement; 'P' is the standard for the passenger endorsement. Drivers desiring a school bus endorsement ('S') must first qualify for a passenger endorsement ('P') (49 CFR §383.123(a)(1)). Thus, the possession of an 'S' endorsement, allows the operation of a passenger bus.
- A jurisdiction cannot issue a "special" school bus endorsement – all drivers of a school bus must have a school bus endorsement. A jurisdiction may, however, issue a school bus endorsement with a restriction that allows the driver to drive only empty school buses, as in the case of a mechanic driving an empty school bus to or from a repair shop.
- A prospective SOR must not give a Canadian driver or a Mexican driver reciprocity for a school bus endorsement. The United States has not negotiated school bus reciprocity agreements with Mexico or Canada.

7.5.1 No Matching Drivers on CDLIS or PDPS

If the Search or Verification Inquiry returns no matches from CDLIS for the driver, there is an error in CDLIS. The fact that the driver is requesting an endorsement indicates he/she should have an MPR on the CDLIS Central Site. Jurisdictions should contact the AAMVA Operations Help Desk for assistance in determining why this situation occurred.

A no match from PDPS indicates there are no problems with the driver.

7.5.2 Matching Driver on PDPS

If the Interactive Original Inquiry or Batch Original Inquiry from PDPS returns a match for the applicant and it can be established that the match is, in fact, the same person, jurisdiction laws will determine if the endorsement may be issued.

Note the following:

- The presence of a pointer on PDPS does not automatically disqualify a person from obtaining a CDL endorsement. If an SOR finds a pointer on PDPS for an endorsement applicant, it must contact the PDPS SOR and determine the nature of the pointer (see the PDPS documentation).
- The jurisdiction cannot issue a CDL endorsement if the driver's commercial status on the DHR is 'NOT'.

7.5.3 Matching Drivers on CDLIS

Ideally, only one match (that of the driver) will be received. If the Search or Verification Inquiry from CDLIS returns more than one match, the jurisdiction must ensure the driver is one of them. The jurisdiction may then issue the CDL endorsement.

7.6 CDLIS DRIVER CHANGES JURISDICTION

If an individual who has a pointer on CDLIS (a current CDL-holder, a previous CDL-holder, or a non-CDL-holder convicted of violations in a CMV) moves to another jurisdiction and obtains a CDL, the new jurisdiction must become the SOR for the individual. Federal regulations require a CSOR transaction, including the transfer of applicable driver history to the New SOR, to be completed within 10 days of license issuance by the New SOR [49 CFR §384.207(c) – the federal regulations have other required actions prior to a CSOR; this section also requires the CSOR be performed after, and not before, license issuance]. If the New SOR discovers errors in the driver's history, the new and Old SORs must work together to complete the history transfer within the required 10 days. If a CDL holder moves to another jurisdiction and downgrades to a base license, the new jurisdiction must perform a CSOR and become the driver's SOR which includes maintaining the driver's history until the pointer is deleted (once there is no retainable driver history). This is to ensure the driver's complete history is maintained by one jurisdiction.

Note the following:

- If the driver's commercial status on the DHR is 'NOT', no jurisdiction can issue a CDL to that driver [49 CFR §384.210(c)]. Even if the existing withdrawal is for a violation no other jurisdiction recognizes (*e.g.* failure to pay for gas or unpaid library fines), no CDL can be issued.
- When a driver transfers and downgrades, the New SOR must maintain the commercial status of the driver received from the Old SOR. This is particularly important if the commercial status on the DHR is 'NOT'. The New SOR must maintain this status until cleared by the Old SOR. Upon request, AAMVA will reimburse the New SOR for the CDLIS pointer, since the driver is no longer an active commercial driver.
- The CSOR transaction is not available for Canadian or Mexican CDL holders moving to the United States. In these cases, the driver must be added as a new driver (see CDLIS System Specifications, CD07). The previous CDL may be entered as an AKA DLN.
- The CSOR transaction is not available for U.S. CDL holders moving to Mexico or Canada.
- Before issuing a new license, the New SOR must submit both the following to ensure the correct driver is located:
 - A CDLIS Search Inquiry (IM) message (or CDLIS Inquiry Preceding an Add Driver [IO])

message) (see CDLIS System Specifications, CD01) or Verification Inquiry [IN] message (or an equivalent message) (see CDLIS System Specifications, CD02)

- A PDPS Interactive Original Inquiry (IO) message (or PDPS Batch [EO] Original Inquiry) (see PDPS documentation for more detail)

These checks give jurisdictions the ability to search the CDLIS Central Site for any existing MPRs that might be matches for a given individual and PDPS for any problem driver pointers that might be matches for a given individual.

- If the driver has not had a completed 10-year history check documented in the CDLIS DHR, the jurisdiction must initiate a 10-year history check before issuing the CDL and transferring the pointer. See rules in the preceding section and the Supplement to the PDPS State Procedures Manual for details about conducting and recording the 10-year history check.
- AAMVA recommends submitting a CDLIS History Request and examining the response prior to issuing a CDL or initiating the CSOR. If the history response shows problems on the DHR that would cause a CSOR to remain in suspense, the prospective CDLIS SOR may decline to issue a CDL until the DHR is cleaned up. If the history response shows a completed 10-year history check, the prospective CDLIS SOR is not required to initiate another.

7.6.1 No Matching Drivers on CDLIS or PDPS

If the Search Inquiry or Verification Inquiry returns no matches from CDLIS for the driver, there is an error in CDLIS. The fact that the driver is requesting a change in SOR indicates he/she should have an MPR on the CDLIS Central Site. Jurisdictions must contact the AAMVA Operations Help Desk for assistance in resolving this situation.

No matches from PDPS indicates no reported problems with the driver.

7.6.2 Matching Driver on PDPS

If the Interactive or Batch Original Inquiry from PDPS returns a match for the applicant and it can be established that the match is, in fact, the same person, jurisdiction laws will determine if a CDL may be issued.

Note: The presence of a pointer on PDPS does not automatically disqualify a person from obtaining a CDL. Jurisdictions must review the driver's non-commercial and commercial statuses upon receipt of the HC message (see PDPS documentation). The jurisdiction cannot issue a CDL if the driver's commercial status is 'NOT'.

7.6.3 Matching Drivers on CDLIS

Ideally, only one match (that of the driver) will be received. If the Search Inquiry or Verification Inquiry from CDLIS returns more than one match, the jurisdiction must ensure that the driver is one of them. This identification process may require the jurisdiction to request a status and/or history from the SOR (see CDLIS System Specifications, CD03 and CD04).

The prospective SOR evaluates the status and/or history received from the current SOR and determines if the driver is eligible for a CDL in its jurisdiction. If not, the prospective SOR must initiate a CSOR but cannot issue a CDL.

Note that a submission of a Change State-of-Record transaction will fail in the following situations:

- If the driver is listed as having any unresolved duplicates (see CDLIS System Specifications, CD13)
- If the driver is already involved in a CSOR

7.6.4 Initiation of CSOR Transaction

Once it has been determined that the driver is eligible for a CSOR, the New SOR must submit a CSOR transaction (see CDLIS System Specifications, CD08). The New SOR will receive the history of the driver from the Old SOR. If the history contains errors, the Old SOR is notified.

Note that the driver history returned can contain up to 50 convictions, 50 accidents, 50 withdrawals, and 50 withdrawal-conviction(s) linkages. If more than 50 of any of these exist, the Old SOR must send the first 50 in each category electronically, and mail the entire driver history of convictions, withdrawals, and linkages (and accidents, if posted by the Old SOR) to the New SOR. The New SOR must obtain and post all convictions, withdrawals, and withdrawal-conviction(s) linkages on record, and should obtain and post information on all accidents, if posted by the Old SOR.

If the New SOR was the SOR for the driver at any time in the past, the New SOR must check that it doesn't double count convictions, accidents (if maintained), withdrawals, or withdrawal-conviction(s) linkages. This check is especially important if jurisdictions maintain history on all drivers they have ever licensed.

For example, SOR1 issues a driver's initial CDL. The driver is convicted of two minor violations over a 2-year period (not resulting in a withdrawal). Both convictions were added to the driver's history in SOR1. The driver then moves to SOR2 and the driver's history (the two convictions) is posted in SOR2 as a result of the CSOR transaction (see CDLIS System Specifications, CD08). Six months later, with no other convictions, the driver moves back to SOR1. If SOR1 still has the convictions on the driver's SOR1 record, when the same convictions are received from SOR2 during the CSOR, SOR1 must be sure only the two proper convictions are on the record at the end of the transaction, as shown in the following table.

Example of driver history for driver transferring back to original SOR

| Milestone | SOR | SOC/Conviction IDs on record |
|-------------------------|------|---|
| Initial issuance of CDL | SOR1 | -- |
| After 2 convictions | SOR1 | SOR1/Conviction A, SOR1/Conviction B |
| After CSOR to SOR2 | SOR2 | SOR1/Conviction A, SOR1/Conviction B |
| After CSOR to SOR1 | SOR1 | SOR1/Conviction A, SOR1/Conviction B ¹ |

¹When the driver transfers back to SOR1, both Conviction A and Conviction B will appear on the history provided by SOR2. SOR1 must ensure the two convictions are not double counted, which would occur if it simply appended any convictions received to the driver's record. Specifically, after the CSORs to SOR2 and back to SOR1, the DHR in SOR1 in the above example must not look like this:

| | | |
|--------------------|------|--|
| After CSOR to SOR1 | SOR1 | SOR1/Conviction A, SOR1/Conviction B SOR1/Conviction A, SOR1/Conviction B |
|--------------------|------|--|

7.6.5 Resolution of CSORs 'In Suspense'

Technically, a CSOR is 'in suspense' from the time the New SOR receives the Confirm CSOR in Progress (CG) message from the Central Site until the New SOR receives the Confirm CSOR Complete (CE) message from the Central Site. Under ideal conditions, the New SOR initiates the CSOR transaction, the Old SOR provides the driver's history, the New SOR posts the driver's history, and confirms the transaction complete within seconds. However, some transactions contain errors in the history provided by the Old SOR. Since it is imperative that the driver's complete history be available to help ensure highway safety, jurisdictions must work closely to resolve any CSORs that do not conclude as expected.

The following options are available to resolve a CSOR in suspense once the Old SOR and New SOR have worked together to ensure that the history will pass all validations:

- Call the AAMVA Operations Help Desk and request the CSOR History Request (SD) message to be re-driven. This option is being retired in 2014.
- The Old SOR can re-drive the CSOR History Request (SD) message to itself using the UNI logs. This should be pursued only if the Old SOR has not yet sent the status response message to the New SOR, and if the re-drive takes place relative quickly after the original CSOR History Request (SD) message was received (the status response message has to be sent before the transaction times out in the New SOR's system).
- Obtain the history via CDLIS or PDPS and manually send the Confirm DHR Received/Processed (CC)

message

- Use the optional Re-drive Request (SR) message to re-drive the CSOR History Request (SD) message (see the Change State of Record transaction process description or the CDLIS System Specifications). This option is being retired in 2014.
- The New SOR can resend the CSOR update message to the CDLIS Central Site.
- The responsibilities of the different entities involved are as follows:
 - New SOR
 - Prior to initiating a ‘Resent’ CSOR update message, it is recommended that the New SOR takes the following actions:
 - Contact the Old SOR to confirm correction of the data problems that caused the Change State of Record (CSOR) transaction to suspend.
 - Submit a Verification Inquiry or a Search Inquiry and verify the response to ensure that the driver is identified correctly and the driver status is suspended (i.e., MPR indicates that CSOR is in progress).
 - When the New SOR initiates a ‘Resent’ CSOR update message, the ‘Resent’ CSOR message must have the same data values as the ‘Original’ CSOR update message, except for the Message Locator ID which must be assigned as if the ‘Resent’ CSOR update message is a completely new message.
 - CDLIS Central Site
 - CDLIS Central Site performs the following processing when receiving a CSOR update message:
 - Determine if a message is a ‘Resent’ CSOR update message if the following conditions are met:
 - Driver’s old driver’s license number and jurisdiction code combination only exist as AKA data in CDLIS Central Site.
 - Driver’s new driver’s license number and jurisdiction code combination exist in CDLIS Central Site.
 - The MPR indicates that CSOR is in progress.
 - The CSOR update message contains the same driver information as previous CSOR update message.
 - A ‘Resent’ CSOR update message does not update CDLIS Central Site data stores such as Master Pointer data store, AKA ST-DLN data store, or AKA Name data store.
 - A ‘Resent’ CSOR update message does not initiate the process to identify possible duplicate drivers. Appropriate information for populating the Confirm CSOR In Progress message is read from the relevant data stores.
 - As a result of successfully processing a ‘Resent’ CSOR update message, the CDLIS Central Site returns a confirmation message that the CSOR is in progress to the New SOR and sends a CSOR History Request message to the Old SOR.
 - Old SOR
 - Respond to any history request resent by the CDLIS Central Site as if it were the original history request received from the CDLIS Central Site.

In the rare situations where a ‘broken pointer’ exists (there is a Master Pointer Record on the CDLIS Central Site but no related driver information on the Old SOR’s database), both the old and New SORs will have to work closely (with the AAMVA Operations Help Desk, if necessary) to determine why a driver presented an out-of-state CDL for which there was no data at the presumed SOR.

If any errors are encountered by the New SOR in processing the response messages, the Old SOR must work with the New SOR to correct them as expeditiously as possible. AAMVA reports any CSORs ‘in suspense’ for more than 96 hours to the Old SOR and to the New SOR. AAMVA reports any CSORs ‘in suspense’ longer than 10 days

to the Old SOR, to the New SOR, and to FMCSA.

49 CFR §§384.207(c) and 383.73(f) require that the CSOR be completed within 10 days of transfer issuance.

7.6.6 Erroneous CSOR

Once a New SOR has initiated a Change State of Record transaction, the New SOR has taken ownership of the individual's CDLIS Master Pointer Record; it is neither possible to abort nor reverse the process; it must be carried through to its normal conclusion.

If the New SOR desires to undo the effect of the Change State of Record after it is complete, there are two methods that may be employed. The Old SOR may be contacted and asked to:

- Initiate another Change State of Record transaction to resume ownership of the driver's CDLIS Master Pointer Record. The original Old SOR will need to submit a Change Data (see CDLIS System Specifications, CD09) or Update AKA Data (see CDLIS System Specifications, CD15) transaction to correct any AKA data modified during the CSORs (at a minimum, the AKA DLNs will have been changed). Extreme care must be taken to ensure the history received from the original New SOR contains only information included on the driver's history prior to the erroneous CSOR.
- Recreate the pointer after deletion of the MPR by the New SOR.

In both cases, the two SORs must work closely to ensure the pointer and all driver history are in their original, pre-CSOR form.

7.6.7 New SOR and Old SOR Responsibilities During and After CSOR

Once the CDLIS Central Site validates the Change State of Record (UD) message, it performs the following:

- Sends a Driver History Request (SD) message to the Old SOR
- Sends a Confirm CSOR in-Progress (CG) message to the New SOR
- Sets an internal flag to indicate that the CSOR is in-progress

Both the old and New SORs have specific responsibilities while a CSOR transaction is in progress and once a CSOR transaction has completed. Note that for an Old SOR, the CSOR transaction commences upon receipt of the CSOR History Request (SD) message, and concludes upon receipt of the Confirm CSOR Complete (NF) message. For a New SOR, the CSOR transaction is in progress from the point where the Change State of Record (UD) message is validated by the Central Site (as signified by receipt of the Confirm CSOR In Progress (CG) message), and concludes upon receipt of the Confirm CSOR Complete (CE) message.

After an Old SOR receives the CSOR History Request (SD) message from the CDLIS Central Site (signifying that CSOR is in progress), the Old SOR must not respond to status or history requests on the driver, with one exception: While the CSOR transaction is in progress, the Old SOR must respond to status and history requests received from the New SOR. The Old SOR must respond with an error to all other inquiring jurisdictions. To comply with this requirement, after the Old SOR transmits the history response messages, it must clearly annotate its driver record to indicate it is no longer the SOR, and for at least as long as the CSOR transaction is in progress, the Old SOR must annotate its driver record to indicate the New SOR's jurisdiction code and driver license number.

After a New SOR receives the Confirm CSOR in-Progress (CG) message, the New SOR becomes the driver's SOR and must respond to all status and history requests. The following apply to such responses:

- Until the New SOR updates the driver's record with the history response messages, the New SOR must respond to status and history requests on the driver with whatever history the SOR has on record and an error that the CSOR transaction is in progress (processing status set to '05').
- A 'Common Validation Process' provided by AAMVA ensures consistent edits on convictions, withdrawals, and conviction-withdrawal linkages on driver histories. This assists in reducing the number of CSOR transactions in suspense.

Note: The 'Common Validation Process' does not perform any 'cross-message' validations (*e.g.* ensuring that a withdrawal ID on the Driver History Withdrawal-Conviction Links (H7) message is present on the Driver History

Withdrawals (H5) message). Validations that jurisdictions are required to perform are stated specifically in the 'state processor' sections of the System Specification. The New SOR must not perform any additional validations beyond those specifically listed.

After the Old SOR receives the Confirm CSOR Complete (NF) message (signifying that the CSOR transaction has concluded), the Old SOR must respond with an error to all inquiring jurisdictions submitting a status or history request (including to the New SOR).

Likewise, after the New SOR receives the Confirm CSOR Complete (CE) message (notifying the New SOR that the CSOR transaction has concluded), the New SOR must evaluate the driver's record for any driver control actions necessary. This evaluation could result in immediate disqualification, since jurisdictions must ensure a driver is withdrawn for the federal minimum period. Examples include:

- A driver may have had a withdrawal pending on his/her record at the Old SOR. If this pending withdrawal is for a conviction requiring a federally-mandated withdrawal, the New SOR must withdraw the driver based on the conviction received (although the in-state withdrawal may have a different effective date depending on how much time the New SOR allows for driver notification). If it is for a non-federally mandated withdrawal (e.g. 'W00', 'W01', or 'B61'), the New SOR can call the Old SOR to discern the details and, based on these discussions, decide if the driver needs to be withdrawn under the New SOR's law.
- A driver may have been under-penalized based on the convictions and withdrawals on the driver's record

| Scenario | Required jurisdiction action |
|--|--|
| Two convictions for serious violations with a 'W30' withdrawal for 45 days vs. 60 days required under 49 CFR §383.51(c) | Since the driver should have been withdrawn for a total of 60 days but was only withdrawn for 45, the jurisdiction must add another 'W30' withdrawal to the driver's record for at least 15 days (60 day minimum minus the 45 days already imposed) linked to the underlying convictions for the original withdrawal |
| Three convictions for serious violations with two 'W30' withdrawals for 60 days each vs. a 30 day 'W30' and a 120 day 'W31' required under 49 CFR §383.51(c) | since the driver should have been withdrawn for a total of 180 days but was only withdrawn for 120, the jurisdiction must add a 'W31' withdrawal to the driver's record for at least 60 days (180 day minimum minus the 120 days already imposed) linked to all three convictions |

7.7 DRIVER SURRENDERS COMMERCIAL DRIVING PRIVILEGE

A CDL holder may voluntarily surrender his/her commercial driving privilege in one of two ways:

- Surrender the license directly to the SOR
- Surrender the license to any jurisdiction that is not the SOR

The first type of voluntary surrender listed is straight-forward, while the second requires clarification with respect to the Change State of Record transaction.

Occasionally, a commercial driver may want to relinquish his or her CDL and receive a non-commercial license from another jurisdiction. In such cases, although the jurisdiction is not issuing a CDL to the driver, the new jurisdiction must perform a Change State of Record, because changing the pointer to the new jurisdiction is the best way to meet the goal "...that each driver, nationwide, have only one driver license and one record."

Any time a jurisdiction takes the CDLIS pointer, the jurisdiction must maintain the commercial status of the driver received from the previous SOR. This is particularly important if the commercial status is 'NOT'. The New SOR must maintain this status until cleared by the Old SOR. Upon request, AAMVA will reimburse the New SOR for the charge for the CDLIS pointer.

Note the following:

- Even though a driver has surrendered his/her commercial privileges, the data retention requirements in the ACD Manual still apply.

- Since AAMVA charges jurisdictions for the number of active CDLIS pointers, jurisdictions that take pointers for non-commercial drivers may contact AAMVA to identify these drivers and request the invoice be adjusted. For AAMVA to reimburse an SOR for pointers of downgraded drivers, the SOR must notify AAMVA of the number of such drivers. The form for reimbursement can be found at <http://www.aamva.org/aamva/DocumentDisplay.aspx?id={C4B8D79E-B74C-4E1B-8394-0D26F668D41A}>.

7.8 CDL SURRENDER REQUIREMENTS

Federal regulations require the surrender of existing credentials when a CDL is initially issued, upgraded, or transferred [49 CFR § 384.211].

Initial Issuance – Driver must surrender his/her non-CDL driver’s license and CLP [49 CFR §383.71(b)(6) and 49 CFR §383.73(b)(4)].

NOTE: An applicant for a Non-domiciled CLP or CDL is not required to surrender his/her foreign license [49 CFR §383.71(f)(3)]

Transfer – Driver must surrender the CDL issued by the his/her previous State of domicile [49 CFR §383.71(c)(4) and 49 CFR §383.73(c)(6)].

Upgrade – Driver must surrender his/her previous CDL [49 CFR §383.71(e)(4) and 49 CFR §383.73(e)(4)].

49 CFR §383.73(i) *Surrender procedure* states that

A State may return a surrendered license to a driver after physically marking it so that it cannot be mistaken for a valid document. Simply punching a hole in the expiration date of the document is insufficient. A document perforated with the word “VOID” is considered invalidated.

NOTE: This requirement applies only if the jurisdiction returns the surrendered CDL to the driver. If the jurisdiction keeps the old license, jurisdiction procedures apply.

8. PROCEDURES FOR MANAGING DRIVER INFORMATION

The sections that follow discuss rules and procedures for managing the driver information in the MPR and the DHR, and for managing ancillary data.

8.1 RULES FOR MANAGING DRIVER RECORDS

This section contains rules for:

- Maintaining the MPR and DHR
- Managing Specific Data Elements in the DHR
- Responding to a Driver Status Request or History Request

8.1.1 Rules for Maintaining the MPR and DHR

The following are rules for maintaining the MPR and DHR.

- In accordance with federal regulations, a DHR and associated MPR are required for three types of U.S. drivers (an MPR is not allowed for a Canadian or Mexican driver):
 - A current CDL holder
 - An individual who has previously held (but no longer holds) a CDL and data retention requirements have not been met
 - A non-CDL holder who has been convicted of a violation while driving a CMV (see 49 CFR §383.51) and data retention requirements have not been met.
- The SOR is responsible for maintaining the MPR and DHR for each of its drivers and ensuring the records are complete and accurate. The SOR cannot delete the DHR and MPR of a former CDL holder or non-CDL holder until both the following are true:
 - 1 year after license expiration or the driver is reported deceased
 - All convictions and withdrawals are past their retention requirements

(See the ACD Manual for retention requirement details.)

- If a commercial driver moves to a new jurisdiction and downgrades, the new jurisdiction must take the CDLIS pointer and become the driver’s SOR. In this case, the New SOR must maintain the commercial status of the driver received from the previous SOR. This is particularly important if the commercial status is ‘NOT’. The New SOR must maintain this status until cleared by the Old SOR. Upon request, AAMVA will reimburse the New SOR for the charge for the CDLIS pointer.
- If a jurisdiction adds an MPR but doesn’t know information such as driver’s license issuance date or expiration date on a driver pulled over in a CMV with no license, the rules in the following table should be used.

Rules for Adding an MPR When Some Primary Information Is Unknown

| Data Element | Filling Rule |
|--|---|
| The driver's name | Name provided by offender |
| The driver's date of birth | Estimated or provided |
| The driver's sex | Stated or Apparent |
| The state code and driver's license number | Created by SOR |
| The driver's Social Security Number | '999-99-9999' (Substitute SSN) if SSN not provided |
| License Issue Date | Any desired current or past date—recommend date of citation or date |

| Data Element | Filling Rule |
|-------------------------|--|
| | MPR added to CDLIS |
| License Expiration Date | Any desired date—recommend date MPR added to CDLIS |

Transitional Note: The driver's sex is applicable only during the transitional period.

If the driver applies in another jurisdiction for a CDL, the potential SOR does a CDLIS check, a PDPS check, and a 10-year history check. If the SOC captured sufficient information to provide a match, it is required to send the driver's history. When a driver's history is transmitted, the license issue and expiration dates are required.

8.1.2 Rules for Managing Specific Data Elements in the DHR

This Section reflects rules for specific data elements in the status or history response.

8.1.2.1 Driver Status

An SOR must determine the commercial status using the driver's complete history. The following rules pertain to the driver's status.

- If a driver has an active withdrawal (*i.e.* the withdrawal reinstatement date is blank) issued by the SOR, the CDL status must be "NOT"; the commercial status is never set to 'NOT' based solely on the expiration of the medical certificate and/or FMCSA-issued variance – only on open (*i.e.*, non-reinstated) in-state withdrawals..
- If the CDL status is "NOT", another jurisdiction must not issue a CDL to the driver.
- If the CDL status is "NOT", another jurisdiction may issue a non-CDL to the driver, in accordance with its own laws and relevant interstate compacts.
- If a driver is convicted of an offense for which his/her commercial and non-commercial privileges are withdrawn but a non-commercial 'hardship' license is issued:
 - The driver's record must reflect a commercial status of 'NOT', plus - at a minimum - one of the following:
 - a. a withdrawal with the extent of '3' (all) with a future eligibility date,
 - b. a withdrawal with the extent of '1' (commercial) with a future eligibility date plus a withdrawal with the extent of '3' (all), or
 - c. a withdrawal with the extent of '1' (commercial) with a future eligibility date plus a withdrawal with the extent of '4' (non-commercial).
 - There may or not be any conviction(s) on the driver's record (e.g., W72 – withdrawn pending final disposition).
 - How jurisdictions set the non-commercial status and whether an open withdrawal is necessary to substantiate the withdrawal is a jurisdiction issue.
- There must be an ACD substantiation for a 'NOT' commercial status. A commercial driver with no open SOR withdrawals (*i.e.* there is a reinstatement date on every SOR withdrawal) must have a commercial status of 'LIC' or 'ELG' – (*i.e.* it cannot be 'NOT')
- When a CDL driver has a "NOT" commercial status and downgrades the New SOR must issue the non-CDL license, complete a CSOR, and maintain the "NOT" status until the withdrawal is cleared by the Old SOR.
- As the SOR, a jurisdiction must maintain a person's commercial status after the driver has downgraded. For example, a commercial driver might have received a lifetime disqualification that will stay on his/her record for 55 years, so the driver's commercial status has to stay 'NOT' for 55 years. The SOR must also be able to receive convictions and withdrawals after the driver has downgraded and must apply any required penalty and update the status, as appropriate.

8.1.2.2 “Optional” Data: AKA Data, 10-year History Check Summary Data, TSA Threat Determination Data, Medical Certificate Data, and Accident Data

The following history information items are listed as "optional" in the CDLIS System Specifications Appendix A:

- AKA data
- 10-year history check results
- TSA threat determination and associated HME expiration date
- Medical certification information
- Accidents

As used here, “optional” means "The application will fill this field if the information is available, else leave the field blank. See the filling rules in the Process Description sections for specific details".

The following rules apply to these "optional" data elements:

- Jurisdictions must send all available information for AKA data elements on state-to-state responses. Jurisdictions must maintain the information and transmit the information on future state-to-state history requests and CSORs.
- The following data elements pertain to the 10-year history check. Until the 10-year history check is started, they are left blank. These data elements must be sent in response to a history request if a 10-year history check has been initiated by the SOR or any previous SOR. If a 10-year history check has not been initiated, the 10-year history check data elements will not be sent in response to a history request.

10-Year History Check Information Sent in History Responses

| Data Element | Explanation |
|----------------------------------|--|
| DL History Check Inquiring Juris | The code identifying the jurisdiction that initiated the most recent 10-year history check |
| DL History Check Date | The date that the jurisdiction initiated the most recent 10-year history check |
| DL History Check Response Total | The number of former licensing jurisdictions that responded to a request for the driver history as part of the 10-year history check |
| DL History Check Response List | The jurisdiction codes of the jurisdictions that responded to a request for the driver history as part of the 10-year history check |
| DL History Check Request Total | The number of former licensing jurisdictions that were queried for the driver history as part of the 10-year history check |

- The following two data elements pertain to the TSA Threat Determination and apply to all drivers with a hazardous materials (HAZMAT) endorsement (HME). Until a TSA Threat Determination has been completed, they are left blank. If a driver has an HME, a TSA Threat Determination must have been completed before the license was issued and these two data elements must be sent in a response to a history request. A CDL permit must not include an HME.

Threat Determination Information Sent in History Responses

| Data Element | Explanation |
|-------------------------------------|---|
| Driver TSA HME Threat Determination | The coded result of the TSA background records check |
| DL HAZMAT Endorsement Exp Date | The date the HAZMAT endorsement will expire, and the due date for the receipt of the next Driver TSA HME Threat Determination |

Note the following:

- These two data elements are only for the TSA Threat Assessment – not any jurisdiction assessment. The HAZMAT Endorsement Expiration Date is entered only if the jurisdiction issues a HAZMAT Endorsement (‘H’ or ‘X’ endorsement on the driver’s record).

- If the Threat Assessment is ‘1’ [Final Determination of Security Threat (do not issue/renew/transfer HME)] or ‘2’ [Immediate Revocation (immediately revoke HME)], the TSA Threat Determination is entered and the HAZMAT Endorsement Expiration Date is left blank.
- If a driver is approved by TSA but denied a HAZMAT endorsement based on jurisdiction checks, the TSA Threat Determination is entered and the HAZMAT Endorsement Expiration Date is left blank.
- Accident information is transmitted on the H4 (DRIVER HISTORY ACCIDENTS) message by those jurisdictions that have opted to maintain this information. If a jurisdiction has opted to maintain accident information, it must transmit any DHR accident information in the history response. Jurisdictions must maintain accident information received in history, even if they do not keep in-state accident information themselves. See 5.1.2 CDLIS Driver History Record (DHR) for accident data retention requirements.
- The SDLA must post the following information from the medical certificate or variance on the CDLIS driver record for licensing, enforcement, and employment decisions within 10 days of receipt:
 - The following data elements pertain to information from a driver’s medical certificate.

Medical Certificate Information Sent in History Responses

| Data Element | Explanation |
|--------------------------------------|---|
| CDL Medical Self Certification Code | A driver's self certification of the driver's status regarding 49 CFR §390.3 and the type of driving |
| Medical Certificate Status Code | An indication of the status of a driver's medical certification |
| Medical Examiner Name Group | A group of components that make up a name of a medical examiner |
| Medical Licensing Jurisdiction Code | A medical licensing jurisdiction is an organization with the authority to license medical practitioners, who act as medical examiners |
| Medical Examiner License Number | A jurisdiction assigned number used to identify the license of medical practitioner who acts as a medical examiner |
| Medical Examiner Telephone Num | A telephone number at which a medical examiner can be reached |
| Medical Examiner Specialty Code | A code indicating the specialty of the medical practitioner |
| Medical Certificate Issue Date | A date on which a medical practitioner performed an examination and on which a medical certificate was subsequently issued |
| Medical Certificate Expiration Date | A date on which a medical certificate expires |
| Medical Certificate Restriction Code | Up to 10 restrictions imposed on a driver by a medical examiner |

NOTE: Footnote in the final rule:

Although FMCSA plans to issue a separate rule establishing the National Registry of Medical Examiners in the future (see 49 U.S.C. 31149 as added by section 4116(a) of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy For Users (Pub. L. 109–59, 119 Stat 114, August 10, 2005)) (SAFETEA–LU), to minimize the number of times States have to upgrade their licensing systems, States may want to make provisions in the CDLIS driver record to accept this information, should it be required;

AAMVA has included a data element in the system specifications to accommodate this data element

- The following data elements pertain to variance information for a driver received from FMCSA.

Medical Variance Information Sent in History Responses

| Data Element | Explanation |
|---|--|
| Driver Waiver/Exempt Effective Date | The start date of the most recent variance of a medical certificate, due to a waiver or exemption |
| Driver Waiver/Exempt Expiration Date | The expiration date of the most recent variance of a medical certificate, due to a waiver or exemption |
| Driver Skill Performance Evaluation Effective Date | The start date of the most recent variance of a medical certificate, due to a Skills Performance Evaluation |
| Driver Skill Performance Evaluation Expiration Date | The expiration date of the most recent variance of a medical certificate, due to a Skills Performance Evaluation |

NOTE: If a driver has an FMCSA-approved variance, a 'V' restriction must be entered on driver's record (and on the CDL itself)

Per the final rule:

- State compliance is required by January 30, 2012. All CDL holders must comply with the requirement to submit to the SDLA their self-certification on whether they are subject to the physical qualification rules by January 30, 2014.
- SDLAs must retain the medical certificate for 3 years.

Note that the final rule stipulates the following:

- The SDLA is required to provide drivers with a date stamped original (or copy) of the submitted medical examiner's certificate as the driver's receipt
- For 15 days, the receipt can provide proof for law enforcement officials and a motor carrier that a driver is medically qualified, bridging a possible gap between submission and the posting of the information on the CDLIS driver record.

FMCSA has agreed to remove the requirement to provide drivers with a date stamped original (or copy) of the submitted medical examiner's certificate as the driver's receipt, and allow the medical certificate to be carried by the driver for 15 days after the medical examiner signs it as proof that he/she is medically qualified. This will be reflected in a technical amendment to the final rule but final regulations have not been released.

8.1.2.3 Endorsements and Restrictions

The following sections discuss the rules for the endorsements and restrictions on the CDLIS Driver Record and the physical CLP or CDL.

8.1.2.3.1 Endorsements

The following are rules for selected endorsements.

- By federal regulations [49 CFR §383.153(a)(9)], 'S' is the standard for the school bus endorsement; 'P' is the standard for the passenger endorsement. Drivers desiring a school bus endorsement ('S') must first qualify for a passenger endorsement ('P') [49 CFR §383.123(a)(1)]. Thus, the possession of an 'S' endorsement, allows the operation of a passenger bus.
- Normally, all endorsements are sent on the response to history requests and CSORs. If a driver has an 'S' endorsement, the 'P' must be sent also. Theoretically, a driver may have more endorsements (six) on his/her CDL than can be sent in a message (five). Only in this rare case may the jurisdiction send only the 'S' to mean both the 'S' and 'P' endorsements.

For CLPs issued on or after July 8, 2015, the only endorsements allowed are [49 CFR §383.153(b)(2)(viii)]:

- 'P' for passenger endorsement
- 'S' for school bus endorsement
- 'N' for tank vehicle endorsement

For CDLs issued on or after July 8, 2015, the following endorsements are allowed [49 CFR §383.153(a)(9)]:

- 'T' for double/triple trailers;
- 'P' for passenger;
- 'N' for tank vehicle;
- 'H' for hazardous materials;
- 'X' for a combination of tank vehicle and hazardous materials endorsements;
- 'S' for school bus; and
- At the discretion of the State, additional codes for additional groupings of endorsements, as long as each such discretionary code is fully explained on the front or back of the CDL document. Such endorsements are reported through CDLIS using the 'O' (Other) code.

8.1.2.3.2 Restrictions

For CLPs issued on or after July 8, 2015, the following restrictions have been standardized [49 CFR §383.153(b)(2)(ix)]:

- 'P' for No passengers in CMV bus;
- 'X' for No cargo in CMV tank vehicle;
- 'L' for No Air brake equipped CMV;
- 'V' for medical variance;
- 'M' for No Class A passenger vehicle;
- 'N' for No Class A and B passenger vehicle;
- 'K' for Intrastate only.
- Any additional jurisdictional restrictions that apply to the CLP driving privilege.

For CDLs issued on or after July 8, 2015, the following restrictions have been standardized [49 CFR §383.153(a)(9)]:

- 'L' for No Air brake equipped CMV;
- 'Z' for No Full air brake equipped CMV;
- 'E' for No Manual transmission equipped CMV;
- 'O' for No Tractor-trailer CMV;
- 'M' for No Class A passenger vehicle;
- 'N' for No Class A and B passenger vehicle;
- 'K' for Intrastate only;
- 'V' for medical variance; and
- At the discretion of the State, additional codes for additional restrictions, as long as each such restriction code is fully explained on the front or back of the CDL document. Such restrictions are reported through CDLIS using the 'J' (Other) or 'I' (Restricted – Other) codes.

8.1.2.4 Conviction Information in the DHR

The following rules pertain to conviction information in the DHR.

- Safety-related or federally-mandated ACD convictions (convictions that map to a valid Conviction ACD Code) are required on the DHR. Convictions for non-ACD offenses are allowed on the SOR's internal records but are not sent in response to a driver history request.
- The jurisdiction as a whole, not just the jurisdiction SDLA, is held responsible for complying with federal regulations for reporting and recording convictions.
- The jurisdiction that convicts a driver determines when the conviction is final, in accordance with its own laws. Jurisdictions should not post convictions that are not final, to avoid the possibility of reversing them. The initial "Civil Motor Vehicle Infractions" do not need to be posted until finalized. No penalty is imposed on the driver until a 'responsible disposition' is received from the issuing department. Therefore, the conviction for the underlying offense should be posted only when the final determination is received from the court or administrative tribunal. The 'Date Conviction Received from the court or authorized administrative tribunal' is the date the SDLA receives notification the driver was deemed responsible.
- The SOR must maintain complete and accurate conviction information in the CDLIS DHR, in accordance with data validations specified in the CDLIS System Specifications.
- Only the jurisdiction that issued the conviction can change the original information in the CDLIS DHR, except for the special cases listed in this section.
- If the SDLA receives a conviction with missing required information or invalid information from a court, then the SDLA must work with the court to correct the information. For example: As of January 1, 2008, the CMV Indicator is required on all convictions; and the SDLA must contact the court for the information if the court does not provide this information to the SDLA.
- Jurisdictions are strongly encouraged to remove convictions that no longer meet retention requirements. See the ACD Manual for details about the retention requirements for convictions in the DHR.
- ACD codes retired in 2005 are not safety-related or federally mandated. The SOR must remove convictions in the DHR with retired Conviction ACD Codes. FMCSA has ruled that this action is not altering the salient driver history for commercial drivers. Jurisdictions can choose whether or not to keep convictions with retired Conviction ACD Codes on their own internal record.
 - As of October 1, 2005, the SOR must not send any convictions with retired Conviction ACD Codes in the convictions history (H3) message. The SOR must check convictions in the driver history with ACD codes with new mappings to ensure the Conviction ACD code is correct.
 - As of October 1, 2005, an SOI must not accept retired Conviction ACD Codes in the State-to-State History Request driver history response messages, while a New SOR must either (1) accept convictions with retired codes and work with the Old SOR to delete the convictions from the DHR (which avoids putting the CSOR in suspense) or (2) reject the convictions history message (which puts the CSOR in suspense).
 - As of October 1, 2005, an SOR must not accept retired ACD codes in out-of-state conviction reports and out-of-state withdrawal reports, whether via CDLIS or by mail.
 - As of October 1, 2005, an SOR must not send in-state convictions with retired ACD codes. Jurisdictions can choose whether or not to keep convictions with retired ACD codes on its own internal record.
 - When Driver History is sent, the "Total Number of Convictions Sent" (DDTTCS) should be the same as "Total Number of ACD Convictions on Record" (DDTTCR), unless the DDTTCR value is greater than 50.
 - Convictions based on ACD codes retired as of October 1, 2005 must not be sent in driver history and must not be counted when determining the value of "Total Number of ACD Convictions on Record" (DDTTCR). If an SOR/New SOR is counting convictions for retired ACD codes in DDTTCR, but not sending them, and therefore not counting them in "Total Number of Convictions Sent" (DDTTCS), these two record counts will not match. The receiving jurisdiction may contact the sending jurisdiction to confirm and resolve this problem. If the problem is unresolved or continues, the receiving jurisdiction contacts the AAMVA Operations Help Desk, and AAMVA fills out a CDLIS problem report. AAMVA tries working with the jurisdiction to

correct the problem and then notifies FMCSA if the jurisdiction does not correct the problem.

- During a CSOR, if a New SOR determines a conviction in the DHR is a duplicate, because of an error by an Old SOR (*e.g.* an SOR changed the SOC's court report ID) the New SOR may remove the erroneous duplicate conviction from the DHR.
- If a New SOR thinks a conviction in the driver history should be corrected, the New SOR can contact the SOC, and the SOC can send a negate conviction and then send the corrected information.
- When sending the driver history, the valid values for the CMV Indicator, CDL Holder Indicator, and HAZMAT Indicator for each conviction depend on the citation date.
 - For convictions with the Citation Date on or after January 1, 2008, the SOR/Old SOR must set the Indicator values to '1' or '2' ('Yes' or 'No') – Values of '9' ('Unknown') or 'blank' are not allowed.
 - For convictions with the Citation Date in the period October 1, 2005 to December 31, 2007, the SOR/Old SOR must set the Indicator values to '1', '2', or '9'.
 - For convictions with the Citation Date on or before September 30, 2005, the values must be <blank>, '1', '2', or '9'.

AAMVA, through the 'Common Validation Process', along with the SOI/New SOR enforces these rules on all State-to-State History Request Transactions and all Change State-of-Record Transactions, as specified in the CDLIS System Specifications for these transactions. The CDLIS Central Site enforces these rules for the CMV Indicator and HAZMAT Indicator on all Report Out-of-State Conviction Transactions and all Report Out-of-State Withdrawal Transactions.

- For convictions existing in the driver history, an SOR must change Indicator values to valid values, as appropriate. If the SOR cannot determine the true value of an Indicator, the SOR must document its attempt to determine the true value and must change any invalid <blank> to a value of '9' and any invalid '9' to a value of '2'.
- Jurisdictions are not required to track a CDL license holder's effective date and termination date in a previous jurisdiction. In the majority of cases, jurisdictions should be able to determine whether a person was a CDL holder or not if the incoming citation date is on or after the issue date of the license. When the incoming citation date is earlier than the issue date of the license, the person was licensed elsewhere when the citation was issued, and the jurisdictions will have to check with the previous SOR(s) to determine the driver's status at the time of the citation. This determination should be accomplished within 96 hours of receipt.
- The ACD code for speeding 'S93' must have a blank ACD Detail Code. Many past convictions with an 'S93' ACD code also have the posted and/or actual speed in the ACD Detail Code. If New SORs rejected history because of errors with 'S93' convictions, too many Change State of Record transactions would be unresolved. An SOR must check existing history records in its database and correct 'S93' convictions with full or partial detail. Despite the precept that a jurisdiction must never modify another jurisdiction's data, the New SOR must ensure accuracy for 'S93' convictions. If an SOR finds an existing history record in its database, or a New SOR receives history in a CSOR with an 'S93' conviction and posted and/or actual speed in the ACD Detail Code, and the 'S93' conviction
 - has full detail (*i.e.*, the posted and actual speed), convert the 'S93' conviction to an 'S92' conviction with the same detail (*i.e.*, the posted speed and actual speed in the ACD detail field)
 - otherwise, if either the actual or posted speed, but not both, are in the detail field, maintain the 'S93' conviction and delete the detail.
- For convictions in a CDLIS DHR with retired/remappable Conviction ACD Codes for speeding, an SOR/New SOR must either remove the conviction or change the Conviction ACD Code for speeding to 'S92' or 'S93', as appropriate, with or without contacting the Old SOR or the SOC.

8.1.2.5 Withdrawal Information in the DHR

The following rules pertain to withdrawal information in the DHR.

- ACD withdrawals (*i.e.* withdrawals that map to an ACD withdrawal reason code valid in the current ACD Manual) are required in the DHR. Non-ACD withdrawals may be stored in the SOR's internal records but are not sent in response to a driver history request.

- The jurisdiction that issues a withdrawal determines when the withdrawal is effective, in accordance with its own laws (to allow time for notifying the driver). Jurisdictions should not post withdrawals that are not final (*i.e.* the final determination has not been received from the court or administrative tribunal), to avoid the possibility of reversing them.
- When a withdrawal is final, there may be a waiting period before the withdrawal takes effect. During that period, the Withdrawal Pending Flag is set to '1' (yes). Since some federally mandated withdrawals must be served consecutively, not concurrently, with any other withdrawals, there may be more than one withdrawal pending, and each may have a different effective date. When the latest Withdrawal Effective Date on the DHR is reached, the Withdrawal Pending Flag is reset to '2' (no).
- The SOR must maintain complete and accurate withdrawal information in the CDLIS DHR, in accordance with data validations specified in the CDLIS System Specifications.
- The jurisdiction as a whole, not just the SDLA, is held responsible for complying with federal regulations for reporting and recording withdrawals. If the SDLA receives a withdrawal with missing required information or invalid information from a court, then the SDLA must work with the court to correct the information.
- Jurisdictions are strongly encouraged to remove withdrawals that no longer meet retention requirements. See the ACD Manual for details about the retention requirements for withdrawals in the DHR.
- Each withdrawal for offenses listed in 49 CFR §383.51 (Driver Disqualifications and Penalties), 49 CFR 383.73(g) (State Procedures), and 49 CFR §383.141 (USA PATRIOT Act), with a withdrawal effective date on or after November 1, 2005 must be linked on the CDLIS DHR to all of its underlying ACD conviction(s), regardless of the conviction dates of the underlying convictions. For example, an SOR withdrawal with a notice sent on October 6, 2005 and an effective date on November 6, 2005 must be posted to the DHR and linked to underlying convictions within 10 days of November 6.
- AAMVA recommends that each withdrawal for ACD offense(s) [*i.e.*, not just each withdrawal for offense(s) listed above] with a withdrawal effective date on or after November 1, 2005 be linked on the CDLIS DHR to all of its underlying ACD conviction(s).
- ACD codes retired in 2005 are not safety related or federally mandated – the SOR must remove withdrawals with retired ACD codes from the DHR. Note that FMCSA has ruled that this action is not altering the salient driver history for commercial drivers. Each jurisdiction can choose whether or not to keep withdrawals with retired ACD codes on their own internal record.
 - As of October 1, 2005, the SOR must not send any withdrawals with retired ACD Withdrawal Reason Codes in the withdrawals history (H5) message. The SOR must check withdrawals in the driver history with ACD codes with new mappings that the ACD code is correct.
 - As of October 1, 2005, an SOI must not accept retired ACD Withdrawal Reason Codes in the State-to-State History Request driver history response messages, while a New SOR must either (1) accept withdrawals with retired codes and work with the Old SOR to delete the withdrawals from the DHR (which avoids putting the CSOR in suspense) or (2) reject the withdrawals history message (which puts the CSOR in suspense).
 - After September 30, 2005, an SOR must not accept retired ACD codes in out-of-state withdrawal reports, whether via CDLIS or by mail.
 - When Driver History is sent, the “Total Number of Withdrawals Sent” (DDTTWS) should be the same as “Total Number of Withdrawals on Record” (DDTTWR), unless the DDTTWR value is greater than 50.
 - Withdrawals based on ACD codes retired on September 30, 2005 must not be sent in driver history and must not be counted when determining the value of “Total Number of Withdrawals on Record” (DDTTWR). If an SOR/New SOR is counting withdrawals for retired ACD codes in DDTTWR, but not sending them, and therefore not counting them in “Total Number of Withdrawals Sent” (DDTTWS), these two record counts will not match. The receiving jurisdiction may contact the sending jurisdiction to confirm and resolve this problem. If the problem is unresolved or continues, the receiving jurisdiction contacts the AAMVA Operations Help Desk, and AAMVA fills out a CDLIS problem report. AAMVA will try working with the jurisdiction to correct the problem and then notify FMCSA if the jurisdiction does not correct the problem.
 - Similar logic applies for the “Total Number of ACD Convictions on Record” (DDTTCR) above,

and for the “Total Number of Withdrawal-Conviction(s) Linkages on Record”.

- Only the jurisdiction that created the conviction/withdrawal can change the original information on the CDLIS DHR, except if a New SOR determines a withdrawal in the DHR is a duplicate, because of an error by an Old SOR (*e.g.* an SOR changed the SOC's court report ID). In such cases, the New SOR can delete the erroneous duplicate.
- If a New SOR thinks the CDLIS DHR should be changed, the New SOR can contact the SOW, and the SOW can send a negate withdrawal and then send the corrected information in a new ROOSW
- The withdrawal effective date is a required field for the withdrawal and must be maintained by jurisdictions. Jurisdictions are only required to track the date the withdrawal is posted to the DHR for withdrawals with an effective date of November 1, 2005 or later.
- The "W00" Withdrawal ACD code was created specifically for situations where a jurisdiction has a current withdrawal that does not map to an ACD code. An SOR must send any SOR-issued W00-code withdrawal in a driver history response.
- If a given driver has only one withdrawal on record and that withdrawal is a "W00" code withdrawal, and the driver has no ACD convictions on record, then, in response to a history request, the SOR only sends the H5 message, which lists the W00 code withdrawal. The SOR sends neither an H3 nor an H7 message in the history.
- All withdrawals on a driver's history must be maintained and transferred in a Change State of Record, according to the data retention requirements listed in the ACD Manual. Specifically, if, during a Change State of Record, a New SOR receives a 'W09' withdrawal (Failure to surrender HAZMAT endorsement as required by the USA PATRIOT Act) that was issued by a previous SOR, and the New SOR will take no action on the withdrawal issued by the previous SOR, the New SOR must post and maintain the withdrawal in the driver's history until it is eligible for purging.

8.1.2.6 Medical Certificate and Variance Information in the DHR

The following rules pertain to medical certificate and variance information in the DHR [see 49 CFR §§384.234, 383.71 and 383.73].

All commercial drives are required to self certify one of the following type of operation in which he/she operates or plans to operate [see 49 CFR §§383.71(a)(1)(ii) for initial CDLs, and 383.71(g) for existing CDL holders]:

- Non-excepted interstate
- Excepted interstate
- Non-excepted intrastate
- Excepted intrastate

A driver who certifies non-excepted interstate operation is required to undergo a medical examination, but not required to carry a medical examiner's certificate while operating a CMV. However, drivers must carry the SPE and/or waiver documentation while operating a CMV. Drivers who certify in any of the other three categories are not subject to these requirements from a federal standpoint although some jurisdictions require a medical certificate for all CDL holders.

For those drivers certifying non-excepted interstate operation, the SDLA must perform the following:

- Post the following information to the CDLIS driver record within 10 business days from the time the medical certificate is received at the SDLA:
 - The driver's self certification of the type of driving
 - The driver's medical certificate status
 - The medical examiner's name
 - The medical examiner's telephone number
 - The medical examiner's specialty
 - Issue date of the medical certificate
 - Expiration date of the medical certificate

- Medical Examiner's license or certificate
- The jurisdiction that issued the Medical Examiner's license or certificate\
- Indicator of medical certification status ('certified' or 'not certified')
- The existence of any medical variance on the medical certificate
- Any restrictions specified on the medical certificate
- Retain the original or a copy of the medical certificate for 3 years

Note that Jurisdictions must be in compliance with the Medical Certificate requirements by January 30, 2012. Data on all CDL holders must be captured by January 30, 2014.

No later than July 8, 2015, jurisdictions must perform the following:

- Add a 'K' Restriction to all Excepted intrastate 'EA' and Non-excepted intrastate 'NA' drivers

Jurisdictions may also receive variances directly from FMCSA. These are provided to the jurisdiction's contact by the FMCSA Medical Program [see 49 CFR §383.73(j)]. These include

- Exemptions [see 49 CFR §381.315]
- Skill Performance Evaluations (SPEs) [see 49 CFR §391.49]
- Beginning January 30, 2012, jurisdictions must perform the following :
 - Include the effective date and expiration date of any variance on the CDLIS driver record
 - Add a 'V' restriction to the CDLIS driver record

Section 8.1.2.7 Rules for the "Grandfathered" Driver §391.41(b)(10)

On March 31, 1996 a provision was made for drivers involved in a waiver study program concerning the operation of commercial motor vehicles by insulin-controlled diabetic drivers. These drivers are known as 'Grandfathered' for participating in vision and diabetes waiver study programs § 391.64. There following are conditions must be met for the participant drivers to remain in the program:

1. The driver is physically examined every year, including an examination by a board-certified/eligible endocrinologist attesting to the fact that the driver is:
 - a. Free of insulin reactions (an individual is free of insulin reactions if that individual does not have severe hypoglycemia or hypoglycemia unawareness, and has less than one documented, symptomatic hypoglycemic reaction per month);
 - b. Able to and has demonstrated willingness to properly monitor and manage his/her diabetes; and
 - c. Not likely to suffer any diminution in driving ability due to his/her diabetic condition.
2. The driver agrees to and complies with the following conditions:
 - a. A source of rapidly absorbable glucose shall be carried at all times while driving;
 - b. Blood glucose levels shall be self-monitored one hour prior to driving and at least once every four hours while driving or on duty prior to driving using a portable glucose monitoring device equipped with a computerized memory;
 - c. Submit blood glucose logs to the endocrinologist or medical examiner at the annual examination or when otherwise directed by an authorized agent of the FMCSA;
 - d. Provide a copy of the endocrinologist's report to the medical examiner at the time of the annual medical examination; and
 - e. Provide a copy of the annual medical certification to the employer for retention in the driver's qualification file and retain a copy of the certification on his/her person while driving for presentation to a duly authorized Federal, State or local enforcement official.

The provisions of §391.41(b)(10) do not apply to a driver who was a participant in good standing on March 31, 1996, in a waiver study program concerning the operation of commercial motor vehicles by drivers with visual impairment in one eye; provided:

1. The driver is physically examined every year, including an examination by an ophthalmologist or optometrist attesting to the fact that the driver:
 - a. Is otherwise qualified under §391.41; and
 - b. Continues to measure at least 20/40 (Snellen) in the better eye.

2. The driver provides a copy of the ophthalmologist or optometrist report to the medical examiner at the time of the annual medical examination.
3. The driver provides a copy of the annual medical certification to the employer for retention in the driver's qualification file and retains a copy of the certification on his/her person while driving for presentation to a duly authorized federal, state or local enforcement official..

A new value is added to Driver Waiver/Exempt Expiration Date, 'INDEF' (indefinite). This value should be used by the Jurisdictions to identify the Grandfathered drivers and have an indefinite Driver Waiver/Exempt Expiration Date. On the Medical Examiner's Certificate the sixth restriction is used for a maximum of one (1) year.

8.1.3 Rules for Responding to a Driver Status Request or History Request

In the CDLIS State-to-State Status Request (S2SSR), the SOR must report the driver status to the SOI, as specified in the State-to-State Status Request (CD03) of the CDLIS System Specifications. In the CDLIS State-to-State History Request (S2SHR) and Change State-of-Record (CSOR) Transactions, the SOR/Old SOR must report the entire driver history to the SOI/New SOR as specified in the State-to-State History Request (CD04) and Change State-of-Record (CD08), respectively, of the CDLIS System Specifications. The following rules apply to the driver status and history information in one or more of these transactions.

- An SOR must send the entire ACD History when responding to a CSOR or history request. The entire ACD history includes all of the following on a driver's record:
 - CDL-holder ACD convictions
 - CMV ACD convictions
 - non-CDL ACD convictions
 - non-CMV ACD convictions

The 10-year history checks are required because some convictions have been dropped in the past. All convictions received during the 10-year history check must be posted and evaluated.

- If a jurisdiction cannot transmit or receive all the information electronically, what information can be transmitted electronically must be transmitted via CDLIS and all of the history information (convictions, withdrawals, and linkages) must be mailed. Jurisdictions must indicate in the mailed packet which mailed information duplicates data already transmitted via CDLIS. See "APPENDIX C –CONDUCTING SELECTED CDLIS TRANSACTIONS BY MAIL" for rules and procedures for mailing history.

Note that Jurisdictions are encouraged to purge convictions and withdrawals that no longer meet data retention requirements (jurisdictions may purge whichever convictions and/or withdrawals they desire once there is no requirement to maintain them); however, **all** convictions and withdrawals currently on a driver's record must be sent in response to any history request – not just those that meet data retention requirements

- The CDLIS SOR must be the only jurisdiction that responds to a CDLIS State-to-State History Request or a CDLIS State-to-State Status Request. A jurisdiction that is not the current SOR must not respond to a CDLIS State-to-State Status Request or History Request, except that an Old SOR must respond to the New SOR while the CSOR is in progress. Note that a jurisdiction must respond to a PDPS State-to-State Status Request and a PDPS State-to-State History Request, whether or not it has ever issued a license to the requested individual or posted a pointer to PDPS.
- Should the Old SOR receive either a State-to-State Status Request (SG message) or a State-to-State History Request (SB message) at any time after the Change State of Record process has been initiated (other than from the New SOR), the old SOR **must** respond by returning the request to a State of Inquiry (SOI) as an error. The New SOR is permitted to submit a Status Request or a Driver History Request to the Old SOR and receive the responses until the Change State of Record is complete. A former SOR must respond to an inquiry on a driver for which it is no longer the SOR with an error. Upon receipt of the CSOR History Request (SD) message from the CDLIS Central Site during the CSOR transaction, the Old SOR must clearly annotate its driver's record to indicate that it is no longer the SOR.
- The SOR/Old SOR must not report convictions or withdrawals with retired ACD codes.
- A withdrawal for offense(s) listed in 49 CFR §383.51 (Driver Disqualifications and Penalties), 49 CFR 383.73(g) (State Procedures), and 49 CFR §383.141 (USA PATRIOT Act), with an effective date on or after November 1, 2005 must be linked to any and all of the underlying ACD convictions that resulted in

the withdrawal. The SOR must also send the links between each ACD withdrawal that has a Withdrawal Effective Date of November 1, 2005 or later, and each of its underlying ACD convictions. A set of links from each underlying conviction to the resulting withdrawal is sent as one block in the H7 message and is called a linkage.

- Some withdrawals, such as a W09 withdrawal, may not have underlying ACD convictions
- A withdrawal with an ACD withdrawal code = 'W00', i.e., a non-ACD withdrawal, never has underlying ACD convictions.
- AAMVA recommends that each out-of-state and in-state ACD withdrawal [i.e., not just each withdrawal for federally mandated offense(s), or offense(s) covered under the USA PATRIOT Act] with an effective date on or after November 1, 2005 be
 - linked on the DHR to any and all of the out-of-state and in-state underlying ACD convictions that resulted in the withdrawal, and
 - its linkage be sent when responding to a history request, including a history request in support of a CSOR.
- In the STSHR and CSOR Transactions, the SOR must send the convictions, withdrawals, and withdrawal-conviction(s) linkages on record. If the SOR can't transmit all the convictions, withdrawals and linkages on record via CDLIS, it must transmit the information that can be processed successfully and then it must mail all the convictions, withdrawals, and linkages.
 - The SOR can transmit no more than 50 convictions in the H3 message. If more than 50 convictions are on record, the SOR must transmit the 50 most recent convictions and mail the entire driver history, including all of the convictions, withdrawals, and withdrawal-conviction(s) linkages on record (see CDLIS System Specifications, CD04).
 - The SOR can transmit no more than 50 withdrawals in the H5 message. If more than 50 withdrawals are on record, the SOR must transmit the 50 most recent withdrawals and mail the entire driver history, including all of the convictions, withdrawals, and withdrawal-conviction(s) linkages on record (see CDLIS System Specifications, CD04.2.4.5 and CD08.3.5.5).
 - The SOR can transmit no more than 50 withdrawal-conviction(s) linkages. The SOR must not transmit a linkage if the SOR does not transmit the withdrawal in the H5 message or if the SOR does not transmit at least one underlying conviction in the H3 message. If the SOR transmits at least one underlying conviction in the H3 message but does not transmit all of the underlying convictions in the H3 message, the SOR either must not transmit the linkage or must transmit a partial linkage that has trailing blanks for the conviction IDs of the underlying convictions not transmitted in the H3 message. If the SOR cannot transmit all of the linkages with all the underlying conviction information, it must transmit all the linkages allowed in the H7 message and mail the entire driver history, including all of the convictions, withdrawals, and withdrawal-conviction(s) linkages on record (see CDLIS System Specifications).
 - If the information below exists on the CDLIS DHR but cannot be transmitted via CDLIS because one or both jurisdictions lack the capability to electronically process the information successfully, all the convictions, withdrawals, and withdrawal linkages must be mailed.
 - Convictions with new ACD conviction codes (H3 data)
 - Withdrawals with new ACD withdrawal codes (H5 data)
 - Withdrawal-conviction(s) linkages (H7 data)
- In the STSSR, STSHR, and CSOR Transactions, if the SOI/New SOR and/or the SOR/Old SOR cannot process all the driver license and endorsement information electronically, the SOR/Old SOR must transmit the information that it and the SOI/New SOR can process. For example, if all of the convictions cannot be processed in a CSOR Transaction, the Old SOR must transmit the convictions that can be processed and then it must mail all convictions, withdrawals, and linkages to the New SOR. Similarly, if the summary results of the TSA Threat Determination and the summary results of the 10-year history check (if one has been initiated) cannot be processed in the electronic CSOR Transaction, the Old SOR must mail the information to the New SOR.
- The paper history response must be equivalent to the electronic history response in functionality. Similar to the electronic transaction, when an SOI finds an error in a mailed history response, the SOI must return the form back to the sending jurisdiction with an explanation of the error instead of returning the form (or a

logging form) as a confirmation. The New SOR may return the form in error or may work with the Old SOR to correct the error, to avoid putting the CSOR in suspense. The sending jurisdiction then has the responsibility to correct the error. However, in the electronic transaction, the network interface software (e.g. UNI) logs will have a record that the SOI/New SOR returned a message in error, which can be checked by compliance reviewers. For the same functionality in the paper transaction, jurisdictions should keep a copy of the returned form (1) until the error is corrected, or (2) for as long as the jurisdiction is the SOR for the driver, whichever time period is shorter.

- Jurisdictions that are not sending history information according to the CDLIS specifications may have a finding created on them. This will show up on their Quarterly Compliance report.
- In the rare cases where the SOR transmits and mails the same information, the SOI must take care to ensure that it correctly identifies duplicated information.
- When an SOI finds an error in a driver status response message or driver history message, the SOI must reject the history, according to the following rules.
 - If an SOI finds an error on an HC or HG driver status message or an HB driver history message, the SOI must return the erroneous message in error.
 - If an SOI finds an error on an H2, H3, H4, H5, H6, or H7 message, the SOI must perform one of the following:
 - Return the corresponding HB, HC or HG message with an error explaining the error on the H2-H7 message
 - Return the erroneous H2-H7 message in error
- When a New SOR finds an error on a driver history response message in a CSOR Transaction, the New SOR must do the following.
 - If a New SOR finds an error on an HD driver history message in a CSOR Transaction, the New SOR must perform one of the following.
 - Return the erroneous message
 - Accept the message and manually notify the Old SOR of the error
 - If a New SOR finds an error on an H3, H4, H5, or H7 message, the New SOR must do one of the following:
 - Return the corresponding HD message with an error explaining the error on the H2-H7 message
 - Return the erroneous H2-H7 message in error
 - Accept the message and manually notify the Old SOR of the error
- When a New SOR receives the driver history, the New SOR must act as expeditiously as possible to assess any convictions on a driver's record to determine if any driver control actions are necessary.
 - When several convictions that warrant a withdrawal are listed in the driver history but no withdrawal was assessed, the New SOR must assess a withdrawal. However, withdrawals assessed before the MCSIA deadline may not be linked to underlying convictions in the driver history. The SOR is expected to check with the SOW when it is unclear from the record whether a previous SOR took the correct action.
 - Federal regulations do not require a New SOR to determine if a "points" withdrawal should have been taken by a previous SOR. "Points" withdrawals are a jurisdiction issue, not a federal issue.
 - For "CDLIS convictions" (convictions of violations by a CDL Holder or while operating a CMV), all required data must be provided. Although convictions for ACD violations in a non-CMV prior to obtaining a CDL are not used to disqualify a CDL holder, the entire ACD history must be sent in the CSOR and STSHR transactions.
 - Information on PDPS, if any, should match information in a CDLIS driver's DHR maintained by the CDLIS SOR. If the SOR finds information on PDPS that is missing from the driver's DHR at the SOR, the SOR must contact the other jurisdiction(s) and ask for this information. The SOR should also notify the AAMVA Operations Help Desk when there is information showing on PDPS that should be on the CDLIS DHR. The Help Desk will write create a finding, if applicable, and assist the jurisdiction in correcting this problem. After receiving missing conviction and withdrawal information from the SOC(s) and SOW(s), the SOR must apply whatever sanctions are

required.

- If a withdrawal in the H5 message has an effective date prior to November 1, 2005, the SOI/New SOR must not reject the withdrawal with an error message that the withdrawal lacks a linkage to an underlying conviction. These "pre-MCSIA" withdrawals are not required to be linked to an underlying conviction. If a receiving jurisdiction continues to incorrectly reject the H5 message, the sending jurisdiction should report the receiving jurisdiction to the AAMVA Operations Help Desk
- Whether a withdrawal in the H5 message has an effective date prior to, on or after November 1, 2005, the SOI/New SOR must not reject the withdrawal with an error message that the withdrawal lacks a linkage to an underlying conviction, unless the withdrawal ACD code indicates that the withdrawal is for offense(s) listed in 49 CFR §383.51 (Driver Disqualifications and Penalties), 49 CFR 383.73(g) (State Procedures), and 49 CFR §383.141 (USA PATRIOT Act). Transmitting the linkage to an underlying conviction is optional, unless the withdrawal for one of the offenses listed above. However, to minimize the need for manual intervention, AAMVA recommends that the SOR transmit the linkage to underlying ACD conviction(s) for all ACD withdrawals with a withdrawal effective date on or after November 1, 2005.
- The FMCSA node does not maintain history and may only initiate requests for status and history for enforcement personnel. Responses to status and history requests are the only messages that can be sent to the 'FH' node. The 'FH' node does not send or receive information via mail, so responses must be sent online.

8.2 JURISDICTION ADDS DRIVER RECORD

When a jurisdiction grants a CDL to an applicant who doesn't have an MPR and DHR, the jurisdiction must create the DHR and add the MPR. 49 CFR § 384.207(a) requires this be done within 10 days of CDL issuance. When an SOC convicts a driver who doesn't divulge his/her jurisdiction of licensure, the SOC must create the DHR and add the MPR. The following sections describe the procedures for accomplishing these requirements.

8.2.1 Driver CDL Application Approved

8.2.1.1 No Matching Drivers on CDLIS.

If the CDLIS check returns no matches from CDLIS for the driver, the jurisdiction can proceed with creating the DHR.

8.2.1.2 Matching Drivers on CDLIS.

If the CDLIS check returns a possible duplicate, the jurisdiction should find out the reason for the duplicate. If the driver and "duped against" driver are different individuals, the SOR should contact the "duped against" SOR to prepare to resolve the potential duplicate returned by the CDLIS Central Site.

8.2.2 Convicted Driver Has No Known Jurisdiction-of-Domicile

If a convicted driver has no known jurisdiction-of-domicile, the SOC must create the DHR and add the MPR for the driver. The jurisdiction must find out if the driver has any potential duplicates before continuing.

8.2.2.1 No Matching Drivers on CDLIS.

If the CDLIS check returns no matches from CDLIS for the driver, the jurisdiction can proceed with creating the DHR.

8.2.2.2 Matching Drivers on CDLIS.

If CDLIS returns a possible duplicate, the jurisdiction must find out the reason for the duplicate. If the driver and "duped against" driver are different individuals, the SOC/SOR must contact the SOR of the other driver to resolve the potential duplicate identified by the CDLIS Central Site.

8.2.3 Creating Data

Once the jurisdiction has ensured the data will be created on the correct driver, the jurisdiction creates the DHR internally and then adds the MPR (see 5.1.1 Data Stored at the CDLIS Central Site for a description of the MPR) by initiating the Add Driver Transaction (see CDLIS System Specifications, CD07).

Note the following:

- See "APPENDIX B – SUBSTITUTE AND PSEUDO SOCIAL SECURITY NUMBERS" for the procedures for assigning a Substitute Social Security Number, if the driver's SSN is not known, or a Pseudo Social Security Number if the Social Security Administration has determined that the driver isn't required to have an SSN.
- Whenever a new ST/DLN is submitted, the CDLIS Central Site checks the database for uniqueness. If the new ST/DLN has already been assigned to a different driver, either currently or previously, the CDLIS Central Site rejects the addition of the ST/DLN with an error to the jurisdiction requesting the addition.

8.3 JURISDICTION CHANGES DRIVER IDENTIFICATION INFORMATION

At times, a jurisdiction may find it necessary to change or correct primary or AKA data on the CDLIS Master Pointer Record (MPR) and the CDLIS DHR. This may be a result of a change in a driver's personal information (e.g. name change) or the identification of erroneous data that should be modified (e.g. misspelling of name, correction of transposed numbers in SSN). 49 CFR §384.207(b) requires any changes to driver identification information be posted to CDLIS within 10 days of notification to the SDLA.

8.3.1 Driver Presents Documentation for Change

Before submitting a Change Data transaction (see CDLIS System Specifications, CD09), the SOR must ensure the correct driver has been selected through the Verification Inquiry transaction (see CDLIS System Specifications, CD02). Additionally, the SOR must initiate a Search Inquiry (see CDLIS System Specifications, CD01) on any data to be changed to determine if any other drivers may be considered as possible duplicates. If other drivers are returned as a result of the Search Inquiry, the SOR should confirm the data to be changed/corrected. Once the SOR is sure the proper driver has been identified and the data to be changed is correct, the SOR submits the change request.

8.3.1.1 No Matching Drivers on CDLIS.

If the Verification Inquiry returns no matches from CDLIS for the driver, there is an error in CDLIS. The fact that the driver is requesting a change in personal data indicates he/she should have an MPR on the CDLIS Central Site. Jurisdictions should contact the AAMVA Operations Help Desk for assistance resolving this situation.

8.3.1.2 Matching Drivers on CDLIS.

Ideally, only one match (that of the driver) will be received from the submission of the Verification Inquiry (see CDLIS System Specifications, CD02). If the CDLIS Central Site returns more than one match, the jurisdiction must ensure the driver is one of them.

If other drivers are returned as a result of the Search Inquiry (see CDLIS System Specifications, CD01), the SOR should confirm the data to be changed/corrected. Once the SOR is sure the proper driver has been identified and the data to be changed is correct, the SOR submits the change request (see CDLIS System Specifications, CD09). Identification of possible duplicate drivers should alert the jurisdiction to the possibility of receiving notification of this fact (see CDLIS System Specifications, CDA1) after completion of the change data transaction.

8.3.2 Changing Data

Once the jurisdiction has ensured the data will be changed on the correct driver, data may be changed in either of two ways:

- If primary identification data needs to be changed, the Change Data transaction is used (see CDLIS System

Specifications, CD09). This transaction can

- only be used if at least one primary identification data element is being changed
- also be used to update some AKA data.
- If no primary data element is to be changed, the Update AKA Data transaction (see CDLIS System Specifications, CD15), which provides the ability to replace AKA data without affecting any primary Master Pointer Record data elements, must be used.

Note that both the Change Data and Update AKA Data transactions will be rejected at the CDLIS Central Site if the driver is currently undergoing a Change State-of-Record.

8.3.2.1 Changing Data with the Change Data Transaction.

In addition to the primary identification data elements (name, ST/DLN, DOB, and SSN), an MPR also includes all previous AKA ST/DLNs and names. Any time a primary data element is changed, the old primary data becomes the first AKA, the old second AKA data becomes the third, *etc.* Note that a driver, after completing a CSOR back to a previous SOR, may have an AKA ST/DLN identical to the primary.

More specifically, for AKA ST/DLNs, the Central Site enforces the following requirements:

- The primary value will never be the same as the one most recent AKA value
- No two consecutive AKA values will ever be the same.

For AKA names, the Central Site enforces the following requirements:

- No AKA values will ever be the same
- When a primary value is introduced, any existing AKA that duplicates the primary value will be removed, resulting in no primary value ever being the same as any AKA value

If a new ST/DLN is submitted, then the CDLIS Central Site always checks the database for uniqueness. If the new ST/DLN has already been assigned to a different driver, either currently or previously, the CDLIS Central Site returns the message with an error to the jurisdiction requesting the change.

Therefore, if a primary identification data element is to be changed, the following input combinations are permitted:

- A primary name
- A primary DOB
- A primary and up to 2 AKA ST/DLNs (if the primary ST/DLN is being changed; if not, up to 3 AKA ST/DLNs may be sent)
- A primary SSN
- Driver Sex

At least one primary identification data element must be submitted on a Change Data transaction.

Transitional note: After all Jurisdictions are at CDLIS version 5.1 or greater, the Driver Sex will no longer be supported on the Change Data (UC) message

Note that this process is different from the Update AKA Data transaction (see below and CD15) which does not permit changing the Primary MPR data elements, but does permit the replacement of any AKA MPR data elements.

If a new primary Name, DOB, or SSN is submitted, the CDLIS Central Site will invoke the possible duplicate search (see CDLIS System Specifications, CDA1). If possible duplicates are found, the SOR that created the possible duplicate condition is responsible for initiating the resolution process with the other SOR(s).

If possible duplicates were cleared as a result of the new data in a Change Data transaction, any SOR previously notified of a possible duplicate situation is notified if the situation has been resolved by the latest change.

8.3.2.2 Changing Data with the Update AKA Data Transaction.

The Update AKA Data transaction (see CDLIS System Specifications, CD15) is used to update AKA information (Name and ST/DLN) on a driver's Master Pointer Record (MPR), when the primary data element is not to be changed. The following input combinations are permitted:

- Up to 3 AKA names
- Up to 3 AKA ST/DLNs

The major differences in the processes followed by this transaction as compared to the Change Data transaction are:

- The Change Data transaction requires at least one primary data element to be included, while the Update AKA transaction cannot change a primary data element.
- The Change Data transaction follows a "roll-down" philosophy, which means that if a primary data element is changed, then the old data element rolls down to AKA1. If AKA1 is changed, then the old data element rolls-down to AKA2, *etc.*
- The Update AKA transaction does not use the "roll-down" philosophy, but rather a direct replacement philosophy
- When using the Update AKA Data transaction, CDLIS takes the data submitted and replaces the existing data. This means that it is possible to replace the first three occurrences of the AKA data with a single Update AKA data transaction.
- If a Master Pointer Record (MPR) currently contains 3 AKA Name fields and the Name contained in AKA1 and AKA3 are correct, but the Name contained in AKA2 needs to be changed, the jurisdiction must re-submit the correct Names in the AKA1 and AKA3 slots as well as the new Name for AKA2. If a jurisdiction only submits the new Name for AKA2, then CDLIS will take the "blank" AKA1 and AKA3 fields and replace the existing data with the "blank" data submitted in the Update AKA Data transaction.
- The first, second, and third AKAs are set to the values provided on the UK message.
- If the Central Site has information on more than three AKA DLNs and one or more of the first three is removed via the Update AKA transaction, the remaining AKA DLNs are moved up to take the place of those deleted. This applies to AKA names as well.

Example:

AKA DLNs prior to the Update AKA transaction

- DD45678
- CC34567
- BB23456
- AA12345

If the Update AKA transaction modifies the first AKA and removes the second, the AKA DLNs after the transaction will be:

- DD88888
- BB23456
- AA12345

Note that a maximum of three AKA values will be sent in response to search, verification, or AKA inquiries (depending on the inquiry and the results of the search at the Central Site).

8.4 JURISDICTION NOTIFIED OF DUPLICATE DRIVER

The CDLIS Central Site maintains links on any other drivers with whom the driver is considered a potential duplicate. Jurisdictions must make every effort to expeditiously resolve potential duplicates within 96 hours. If an SOR attempts to submit a CSOR on a driver marked as having unresolved potential duplicates, the CDLIS Central Site will reject the transaction with an error.

The CDLIS Central Site performs the duplicate flagging search logic for every Add New Driver (see CDLIS System Specifications, CD07), Change Data (see CDLIS System Specifications, CD09), and Update AKA Data (see CDLIS System Specifications, CD15) transaction. It will also perform the check for any Change State of Record (CSOR) (see CDLIS System Specifications, CD08) transaction if any of the following key driver identification data has been changed:

- Name
- DOB
- SSN

8.4.1 Possible Reasons

By definition, a potential duplicate situation involves at least two driver records. The most common reasons a potential duplicate situation arises involve several different types of errors:

1. The two drivers are in fact the same person and further research reveals a Add New Driver transaction (see CDLIS System Specifications, CD07) was submitted when a Change State of Record (CSOR) transaction (see CDLIS System Specifications, CD08) should have been submitted. This situation should not occur if an inquiry is performed prior to issuance.
2. The two drivers are separate individuals, but an input error was made when entering key data (e.g. SSN, ST/DLN, Name, and/or DOB).
3. The two drivers are separate individuals but have the same SSN or their SSN, name, and date of birth combinations are similar enough to raise a question on their uniqueness.
4. The two drivers are in fact the same person, and further research reveals that an attempt is being made to obtain a second CDL.
5. One driver is attempting to impersonate another driver.

General guidance for resolving each potential duplicate situation is listed in the same order in the next section.

When the CDLIS Central Site determines two or more drivers to be potential duplicates, each affected SOR will be notified with an unsolicited Possible Duplicate (NA) message.

A 96-hour countdown clock is automatically set at the CDLIS Central Site when the Possible Duplicate (NA) message is sent to both SORs. If the possible duplicate is not cleared before the 96-hour period expires, the AAMVA Operations Help Desk is notified. While jurisdictions have 10 days to resolve duplicates created when a driver is added, existing driver data is changed, or a driver transfers between jurisdictions [see 49 CFR §384.207], the 96-hour period is used to assist jurisdictions in meeting the federal time frames.

8.4.2 Resolution

General guidance for resolving potential duplicates follows, listed in the same order as identified above.

1. In the case where an Add New Driver transaction is incorrectly submitted instead of a CSOR transaction, the driver is already on CDLIS. In this case, deleting the new Master Pointer Record created in error by the Add New Driver transaction will resolve the duplicate. After deleting the erroneous MPR, the jurisdiction must initiate the CSOR transaction to correctly process the issuance of the CDL and accumulate the driver's history. Note that if jurisdictions do a search or verification inquiry prior to initiating the CSOR transaction, as stated in the CSOR procedure section of this document, this situation will not occur. Jurisdictions must be sure their processes align with the procedures outlined in this document.
2. If an input error resulted in a false duplicate driver message, the incorrect input data should be corrected through the Change Data transaction (see CDLIS System Specifications, CD09).
3. If the SORs of the designated drivers determine the drivers are not duplicates (the drivers are different individuals), each SOR involved in a possible duplicate situation is responsible for marking its driver unique to the other(s) within 96 hours. Each SOR involved must mark its MPR as unique to a possible duplicate record by submitting a Mark Driver Unique transaction (see CDLIS System Specifications, CD14) on the same day. Note that an SOR can only mark its driver unique to one other driver with each Mark Driver Unique transaction. One SOR flagging a pointer record as unique does not clear the 96-hour

clock – both SORs involved must resolve the problem before the resolution process is considered complete.

4. If the driver is attempting to obtain a second CDL, the jurisdictions must work together to determine which jurisdiction should be the SOR (i.e., maintain the driver's history). No attempt should be made to resolve the duplicate to prevent the driver from attempting another CSOR. Once the jurisdictions agree, the history must be consolidated in the agreed-upon SOR. After the complete history is posted, the other jurisdiction can delete the erroneous MPR. Note that the SOR might consider withdrawing the driver for 'Misrepresentation of identity or other facts on application for driver license (includes DL, CDL, and Instruction Permit)' using the 'D02' withdrawal ACD code.
5. If one driver is trying to impersonate another driver, to protect the innocent driver, jurisdictions should use the Mark Driver Unique transaction to resolve the possible duplicate situation while they conduct further investigation.

With the exception of errors, the resolution of possible duplicates can be achieved only via agreement between the SORs involved. The CDLIS procedure for resolving possible duplicates that are not created in error must involve contact between each of the SORs, and an exchange of information between them as necessary. Jurisdiction licensing officials may use whatever CDLIS transactions are necessary to facilitate the resolution process.

The CDLIS Central Site does not necessarily process the Resolve Duplicate transaction in real time, but will process the transaction before the start of the next working day. When the CDLIS Central Site determines the conditions identifying two or more drivers as potential duplicates have been eliminated, the possible duplicates are cleared. Each affected SOR previously notified of a possible duplicate situation is then notified of the resolution with an unsolicited Duplicate Resolved (NE) message.

8.5 JURISDICTION NOTIFIED OF BROKEN POINTER

A "broken pointer" occurs when a jurisdiction is identified on the CDLIS Central Site as the SOR for a given MPR and the jurisdiction does not have the associated DHR. This problem can occur in various types of inquiries, including, for example, if a jurisdiction deletes a DHR without deleting the MPR or fails to update AKA information when a license number is changed.

If an SOR receives a request for information on a driver from the CDLIS Central Site, but the SOR cannot locate the driver's record within its own database, a broken pointer situation has occurred. The SOR must still return the appropriate message depending on the original transaction submitted, but it will indicate that no record was found and will contain no driver information. In these cases, the SOR will also return the message to the CDLIS Central Site indicating the existence of a broken pointer. Since broken pointers are expected to be very few in number, the SOI should act with caution in this unusual situation. Great care should always be taken by the jurisdiction in resolving a problem involving a broken pointer situation, since it may indicate a fraudulent license scenario.

In all cases, the SOI and SOR must work together to try to resolve the situation. If the broken pointer cannot be resolved by the two jurisdictions, the SOR should contact the AAMVA Operations Help Desk to initiate resolution of the issue.

Refer to the CDLIS System Specifications for more specific information regarding the handling of errors.

8.6 JURISDICTION REMOVES DRIVER RECORD

The following sections contain procedures and reasons for removing the Driver History Record and Master Pointer Record.

8.6.1 Data Retention Requirements Satisfied

The MPR of either a deceased driver or a driver whose license has expired can be deleted after 1 year beyond the license expiration date, but only if the history record does not contain any convictions and/or withdrawals that have not met data retention requirements (see 5.2 CDLIS DATA RETENTION AND AVAILABILITY). If the driver's record contains history entries that must be retained, the SOR must maintain the driver's record until such time as the last history entry is eligible for purge. See the Data Retention Section of the AAMVAnet Code Dictionary (ACD)

Manual to determine data retention requirements for specific convictions and withdrawals in the DHR.

After the proper conditions for the purge of a driver's pointer record are satisfied, the SOR may initiate the Delete Master Pointer Record transaction.

8.6.2 Verification of MPR to be Deleted

Prior to deleting a Master Pointer Record, the SOR must initiate a Verification Inquiry (see CDLIS System Specifications, CD02) to the CDLIS Central Site to ensure identification of the correct MPR to be deleted.

8.6.2.1 No Matching Drivers on CDLIS.

If the Search Inquiry or Verification Inquiry returns no matches from CDLIS for the driver, either the inquiry was submitted with incorrect data, the record has already been deleted, or there is an error in CDLIS. Because the SOR had reason to believe the Inquiry should have returned the MPR information, the SOR must verify the input data and, if correct, contact the AAMVA Operations Help Desk for assistance in resolving this situation.

8.6.2.2 Matching Drivers on CDLIS.

Ideally, only one match (that of the driver) will be received from the submission of the Verification Inquiry (see CDLIS System Specifications, CD02). If the CDLIS Central Site returns more than one match, the jurisdiction must ensure the driver is one of them.

8.6.3 Master Pointer Record Created in Error

The only drivers for whom a MPR should exist are those who:

- currently possess a CDL or CDL permit
- no longer hold a CDL and the data retention requirements demand that the record remain on CDLIS
- have never possessed a CDL but who have been convicted of an offense while driving a commercial motor vehicle as defined in 49 CFR §383.5

When an MPR is created in error by an Add New Driver transaction, because the driver already existed on CDLIS, the erroneous MPR must be deleted and a CSOR transaction must be initiated. This corrective procedure ensures the complete driver's history is maintained by the SOR. If the procedure to submit a Search Inquiry transaction (see CD01) prior to an Add Driver transaction is adhered to, this situation should not occur.

If possible duplicates were cleared as a result of a Delete Master Pointer transaction; any SOR previously notified of a possible duplicate situation is notified that the situation has been resolved.

8.6.4 Prohibitions

The Delete Master Pointer Record transaction must not be used by a jurisdiction to void an unwanted MPR. Once a valid Add New Driver transaction is accepted by the CDLIS Central Site, the driver's record must remain both in the CDLIS database and the SOR's database until it is eligible for deletion.

Data on drivers that may have multiple identities (*i.e.*, AKA names and ST/DLNs) must be maintained using the CDLIS Change Data transaction (see CDLIS System Specifications, CD09) or the Update AKA Data transaction (see CDLIS System Specifications, CD15), and not by using a Delete Master Pointer Record transaction followed by an Add New Driver transaction. Deleting and re-adding the Master Pointer Record would have the effect of eliminating the driver's history from CDLIS.

The Delete Master Pointer Record transaction must not be used to resolve a possible duplicate if the driver's record is not eligible for deletion as described above.

8.7 JURISDICTION RESPONDS TO STATUS OR HISTORY REQUEST

See Sections 6.1-6.4 and 6.8 in this document for the business processes involved in responding to a request for Driver Status or History. Also see the corresponding Sections CD01-CD04 and CD08 in the CDLIS System Specifications for specifications for transmitting Driver Status and Driver History information via CDLIS.

A jurisdiction must be able to send and receive the status response and history response messages via CDLIS, not just via mail. For a given CSOR or STSHR response, if a jurisdiction cannot send or receive all convictions, withdrawals, and/or linkages on the driver's history, both jurisdictions in the transaction must cooperate to send and receive all convictions, withdrawals, and/or linkages via mail. See "APPENDIX C –CONDUCTING SELECTED CDLIS TRANSACTIONS BY MAIL" for rules, procedures, and forms for mailing the information in these cases.

- When a New SOR receives a confirmation from the CDLIS Central Site that a CSOR transaction is underway (via a Confirm CSOR In-Progress (CG) message), it becomes the New SOR and assumes responsibility for the MPR and the DHR.
- Until the driver's history from the Old SOR has been accepted and posted, the New SOR must respond to all status and history inquiries on the driver with whatever history the SOR has on record and an error message (setting the processing status to '05' and the NCB error code to 'Y').
- Once the driver's history from the Old SOR has been accepted and posted, the New SOR must respond to all driver status and history requests even before the CSOR transaction is complete (i.e. upon receipt of the Confirm CSOR complete (CE) message).
- Until such time as the CSOR transaction has completed (i.e. upon receipt of the Confirmation of CSOR complete (NF) message), the Old SOR must respond to status and history requests from the New SOR only, and must respond with an error to such requests from other jurisdictions.
- After the CSOR transaction is successfully completed, the Old SOR must return any status or history request from any jurisdiction (including from the New SOR) with an error.
- AAMVA provides a 'Common Validation Process' to ensure consistent edits on convictions, withdrawals, and conviction-withdrawal linkages on driver histories. This assists in reducing the number of CSOR transactions in suspense.

Note: The 'Common Validation Process' does not perform any 'cross-message' validations (e.g. ensuring that a withdrawal ID on the Driver History Withdrawal-Conviction Links (H7) message is present on the Driver History Withdrawals (H5) message). Validations that jurisdictions are required to perform are stated specifically in the 'state processor' sections of the System Specification. The New SOR must not perform any additional validations beyond those specifically listed.

Note that the rules regarding responding to status and history requests are different in CDLIS and PDPS:

- In CDLIS, only the current SOR may respond (except as noted above during a CSOR)
- In PDPS, all jurisdictions respond to all requests

8.8 JURISDICTION REMOVES HAZMAT ENDORSEMENT

A jurisdiction may remove a hazardous materials (HAZMAT) endorsement (HME) because of information from TSA that the driver poses an immediate security threat. In such cases, the SOR updates the date the threat determination was received from TSA, the DHR list of endorsements for the driver, the HME Expiration Date, and TSA's determination.

If a driver has ever applied for an HME, the TSA threat determination information must be sent. Jurisdictions must be notified of the latest TSA threat assessment to know that a driver previously held an HME but is no longer authorized, or applied but was denied.

8.9 DRIVER MEDICAL CERTIFICATE EXPIRES OR VARIANCE REVOKED

If the driver's medical certificate expires or FMCSA revokes a previously-issued variance, jurisdictions must do the following [see 49 CFR §383.73(o)(4)]:

- Change medical certificate status to 'not certified' within 10 days

- Notify driver of 'not certified' status
- Complete the CDL downgrade within 60 days in one of the following manners:
 - Driver can certify intrastate and/or excepted (depending on jurisdiction laws)
 - Removal of CDL privilege from the driver's license

Note: These requirements are effective beginning January 30, 2012.

8.10 ENSURING COMPLETE AND ACCURATE DRIVER DATA

To ensure a driver's SOR can be located and that appropriate federal penalties are applied, CDLIS (the Central Site and jurisdiction databases) needs complete and accurate data. To assist jurisdictions, AAMVA provides Master Pointer Record (MPR) and Driver History Record (DHR) Data Quality Validation and Verification functions (see CD31 and CD32).

9. PROCEDURES FOR CONVICTING A DRIVER

Once the SOR is responsible for the DHR and MPR for a driver, the SOR must record all ACD convictions of that driver. The following sections explain procedures for reporting and negating a conviction for a CDL Holder or a driver required to hold a CDL.

9.1 RULES FOR DRIVER CONVICTIONS

The following sections contain rules for reporting and negating convictions, and rules for specific types of convictions. These CDLIS business rules are based on federal regulations and FMCSA guidance.

9.1.1 Rules for Determining and Reporting “CDLIS Convictions”

The following are rules for determining and reporting “CDLIS convictions”, as explained below.

- An AAMVA Code Dictionary or “ACD conviction” is an adjudication of guilt, as defined in FMCSA Policy Memorandum CDL-04-001, for a violation that is traffic-safety related and/or federally mandated, and that maps to a current Conviction ACD Code in the version of the ACD Manual that is current on the date the SOC reports the conviction.
- A “CDLIS conviction” is an ACD conviction of a CDL holder or a driver required to hold a CDL (*i.e.*, a non-CDL holder convicted of a traffic-safety related and/or federally mandated violation in a CMV). The SOC must report, and the SOR must record in the CDLIS DHR, all “CDLIS Convictions”. In other words, (1) if the conviction maps to an ACD code and (2) if the violation was committed either by a CDL holder or by a non-CDL holder in a CMV, then the conviction must be reported and recorded in the DHR.
- A conviction mapping to a retired ACD code is not an ACD conviction. An SOC must not report a conviction with a retired Conviction ACD Code.
- Citations and convictions are often handwritten which results in data entry errors. Therefore, jurisdictions must submit a search or verification inquiry before initiating the Report Out-of-State Conviction transaction to ensure the correct driver is identified. After receiving the status or inquiry response confirming the correct driver has been identified, the SOC must report the conviction to the SOR.
- The SOC is not required to make a CDLIS inquiry on every out-of-state driver convicted of a violation in a non-CMV, to determine if the convicted driver holds a CDL. This reduces the paperwork burden on the SOC and SOR. CDLIS must only be checked for the following:
 - All convictions where the SOC knows the driver holds (or held) a CDL
 - All non-commercial drivers who were required to have a CDL (convictions in a commercial motor vehicle as defined in 49 CFR §383.5, which includes HAZMAT).

The SOR has the ultimate responsibility to determine if the person was a CDL holder at the time of the citation.

- Once the conviction is final, the SOC must report it to the SOR by initiating a Report Out-of-State Conviction Transaction (see CDLIS System Specifications, CD11) via CDLIS or by mail (see "APPENDIX C –CONDUCTING SELECTED CDLIS TRANSACTIONS BY MAIL" for rules, procedures, and forms for mailing OOS convictions). AAMVA strongly recommends the conviction report be transmitted electronically via CDLIS. The SOR is required to be able to process an out-of-state conviction transaction, whether the conviction is sent via CDLIS or via mail.

Note: The class of license or other indicator showing if the driver was a CDL holder or it was a commercial or HAZMAT ticket should be included on all citations and convictions. If the license class indicates a CDL or the indicators indicate a violation in a commercial or HAZMAT vehicle, the conviction must be sent through CDLIS (preferred) or mailed in the format specified by FMCSA.

- In all cases, jurisdictions must ensure convictions are reported to the SOR within the following timeframes as established under 49 CFR §384.208 and 49 CFR §384.209:
 - The SOC must report convictions of out-of-state drivers, including failures of out-of-state drivers to appear, pay or comply, within 10 days of the conviction date.

- The SOR has 10 days from the receipt date of an out-of-state conviction to post the conviction to the driver's record.
- The SOR has 10 days from the conviction date to post an in-state conviction.
- When the SOC convicts an out-of-state, non-CDL holder in a CMV for which no MPR exists, the SOC must do the following to determine which jurisdiction will become the SOR.

If the driver presents an out-of-state license at the time of citation and/or conviction, the SOC sends the conviction to the licensing jurisdiction. The licensing jurisdiction becomes the SOR.

If the driver does **not** present an out-of-state license, the SOC must become the SOR. In this case, if an address is presented by the driver, the SOC – now also the SOR - must notify the jurisdiction associated with that address. The jurisdiction associated with the address will determine whether or not it should become the new SOR by initiating a CSOR transaction on the driver.

- As with all convictions, the SOC must retain a record of the original conviction, based on the data retention requirements in the ACD Manual.
- The SOR must perform the following:
 -
 - Add an MPR for the driver to CDLIS
 - Post the conviction
 - Take appropriate corrective action
 - If required, add a PDPS pointer
 - Report the information in response to CDLIS State-to-State History Request and CSOR transactions
 - Retain the information in the CDLIS DHR, according to the data retention requirements in the ACD Manual
 - Retain the ancillary conviction data listed in "5.1.3 Ancillary Data Records"
- The SOC must not use CDLIS to transmit a conviction that does not map to a current ACD code (*e.g.* DWI in a watercraft)

Non-CDLIS convictions may be mailed to the licensing jurisdiction without meeting all of the CDLIS specifications. However, in order to meet CDLIS requirements, where the citation date is on or after January 1, 2008, all conviction reports, including non-CDLIS conviction reports, must have the CMV Indicator and HAZMAT Indicator determined on the jurisdiction's own database. If a non-CDLIS conviction is reported to the licensing jurisdiction, the CMV Indicator and HAZMAT Indicator determination must be reported.

- If the SDLA doesn't receive specified information from the court, and the driver holds a CDL, the jurisdiction SDLA must obtain this information from the court. To assist in this respect, FMCSA is running a judicial outreach program to educate judges. FMCSA is also reaching out to law enforcement personnel through various meetings.

Note: In some jurisdictions, there are adjudication agencies other than the courts. The same rule applies to convictions received from these agencies.

- The SOC must report complete and accurate conviction information, and the SOR must post complete and accurate conviction information. Both the SOC and SOR must validate conviction information, especially the conviction offense codes, when sent or received. The overall purpose of verification is to identify errors that, if not corrected, would interfere with the SOR's ability to interpret the data and to determine whether to take any driver control actions.
- A conviction is uniquely identified by the following six required data elements (all six must match to confirm a specific conviction has been uniquely identified):
 - DCVJUR - JURISDICTION CODE - CONVICTING,
 - DCIDCI - CITATION DATE,
 - DCVDCV - CONVICTION DATE,

- DCVCLO - CONVICTION JURIS COURT REPORT ID,
- DCVCOR - STATE OF CONVICTION JURISDICTION OFFENSE CODE, and
- DCVCCA - CONVICTION OFFENSE ACD CODE.

Note: The Court Report ID is used by the SOC to allow retrieval of the original conviction, if requested. Repeating values for Court Report ID are allowed, as long as the Court Report ID and the other five values in the specifications form a concatenated unique “key” that identifies the conviction and allow the SOC to look up the original record of the conviction.

- Out-of-state convictions can be reported in one of the following four ways:
 - By an SOC in a Report Out-of-State Conviction transaction via CDLIS
 - By an SOC in a Report Out-of-State Conviction transaction via mail
 - By an SOW as an underlying conviction in a Report Out-of-State Withdrawal transaction via CDLIS
 - By an SOW as an underlying conviction in a Report Out-of-State Withdrawal transaction via mail

Once a conviction has been posted by the SOR, the SOC must not resend the same conviction, except as an underlying conviction in Report Out-of-State Withdrawal transactions. The SOC is free to choose whatever internal method is best for the SOC to identify which convictions have been sent, such as by flagging the conviction in its internal database, or by using a rule based process to determine which convictions are electronically sent during a specified period when an automated system is used.

- The SOR must not post a conviction to the DHR more than once. When posting an in-state or out-of-state conviction, the SOR must check that the conviction does not already exist on the CDLIS DHR. If a conviction with the same six uniquely identifying data elements already exists on the DHR, the SOR must reject the new conviction report as a duplicate. The SOR should contact the SOC and manually determine why the duplicate was sent, especially if the duplicate and existing convictions contain differing values for other data elements. If a jurisdiction receives a conviction that matches on 5 or fewer of the identifying data elements, the jurisdiction must record the conviction as a unique conviction. However, if the conviction matches an existing conviction for 4 or 5 of the identifying data elements, AAMVA recommends that the SOR check with the SOC to ensure the conviction is indeed unique.
- Jurisdictions must have procedures in place to ensure duplicate convictions are not sent. The SOR’s automated procedures may not be able to determine when two conviction records that differ only slightly (*e.g.* extra spaces, extra hyphens, leading zeroes on any of the six identifying elements) actually refer to the same conviction, thus resulting in the SOR erroneously believing the two records pertain to separate convictions.
- The SOR must act on the reported out-of-state conviction as if it occurred within the SOR. The SOR takes action based on posted convictions, not on reported out-of-state withdrawals.
- Note that Federal regulations mandate disqualifications (*i.e.*, withdrawals of the CDL) for the types of convictions listed in:
 - 49 CFR §383.51(b) Table 1 (Major Offenses)
 - 49 CFR §383.51(c) Table 2 (Serious Offenses)
 - 49 CFR §383.51(d) Table 3 (Railroad-Highway Grade Crossing Offenses)
 - 49 CFR §383.51(e) Table 4 (Violating Out-of-Service Orders)
 - 49 CFR §383.52 (Imminent hazard)
 - 49 CFR §383.73(g) (Falsifying a CDL application)
 - 49 CFR §383.141(c) (Violation of provisions of the USA PATRIOT Act)

[See Appendix C of the ACD Manual (Release 2.2.0) for details].

- The SOC may report, and the SOR may record in its internal database, non-ACD convictions (*e.g.* DWI in a watercraft), but convictions for these types of violations are not transmitted via CDLIS and are not part of the CDLIS DHR. The SOC may use some method other than CDLIS, such as the U.S. mail, to report these convictions. The SOR must not report non-ACD convictions in change state of record and history request transactions, and must not include them in the count of Total ACD Convictions on Record (DDTTCR), unless those non-ACD convictions resulted in an in state withdrawal that is currently in effect.

- Jurisdictions must not send out-of-state convictions that are not final, to avoid having to reverse them. Individual jurisdictions determine when a conviction is final. Jurisdictions must not send out-of-state convictions until the conviction has been finally adjudicated and any grace period has ended.
- At a minimum, the SOR must retain a conviction in the CDLIS DHR according to the data retention requirements for convictions specified in the ACD Manual. Besides reporting the conviction to the SOR, the SOC must also maintain the original record on any conviction for as long as the conviction is retained on the CDLIS DHR by the SOR.
 - The SOC must maintain the Driver Identification information, the SOC jurisdiction code, the State Native Code, the SOC court report ID, the ACD Conviction Code, the Citation Date, and the Conviction Date to be able to perform negation and to answer any questions about the original conviction.
 - The SOC must not send the original record of a conviction (*e.g.* the citation) to the SOR. It is the responsibility of the SOC to be able to provide supporting documents in case the SOR, or a subsequent SOR, needs that information to go to court.
 - In-state convictions and OOS convictions are retained for the same amount of time.
 - When the conviction is purged from CDLIS DHR, the original record can be destroyed. Note that the data retention requirements for the original record of the conviction allow the SOR and any future SOR to contact the SOC and request information about the original conviction for possible court action on multiple convictions. See the ACD Manual for data retention requirements for ACD convictions.
- An SOR must return a conviction report that is in error to the SOC, as specified in the CDLIS System Specifications (see data validations in CD11.2 and CD11.3). An SOR must not alter conviction information received from an SOC, unless the SOC agrees to the change, and the SOR maintains a record of any discussions (with whom, date, *etc.*) that can be readily accessed, except that in certain cases noted in these rules, an SOR may change conviction information with or without the consent of the SOC.
- If the SOC takes a withdrawal of an out-of-state driver, the conviction may be reported in the Report Out-of-State Withdrawal transaction (see withdrawal rules). However, jurisdictions must still meet the required reporting time for sending convictions to an SOR (*i.e.*, within 10 days). Some withdrawals may not become effective or be reported until an appeal is completed, which could take effect more than 10 days after the conviction date. If a conviction must be reported before the withdrawal can be, the SOC must send the conviction first using the Report Out-of-State Conviction transaction.
- If the SOC and the SOR are both members of the NRVC, which requires additional information, usually sent on a paper NRVC form, the SOC may report the conviction by sending the paper NRVC form to the SOR and including the CDLIS data with the form (see the section in "APPENDIX C –CONDUCTING SELECTED CDLIS TRANSACTIONS BY MAIL" on mailing convictions).

9.1.2 Rules for Negating a Conviction

The following CDLIS business rules for negating and updating convictions in the CDLIS DHR are based on Federal Regulations and FMCSA guidance:

- To remove a conviction on an out-of-state driver from the CDLIS DHR, the SOC must send a "negate conviction" report to the SOR, either by initiating a Negate Conviction Transaction (see CDLIS System Specifications, CD12) to the SOR via CDLIS or by mail (see "APPENDIX C –CONDUCTING SELECTED CDLIS TRANSACTIONS BY MAIL" for rules, procedures, and forms for mailing conviction negations).
- The SOR must be able to receive all conviction negations sent via CDLIS or by mail (see "APPENDIX C – CONDUCTING SELECTED CDLIS TRANSACTIONS BY MAIL" for rules, procedures, and forms for mailing conviction negations), and must negate the conviction in the CDLIS DHR when a conviction negation is received.
- When negating a conviction, the Negate Conviction message must match the required conviction identification data elements sent in the original conviction report (see 9.1.1 Rules for Determining and Reporting "CDLIS Convictions"). It is possible that one of the required fields was changed (*e.g.* ACD code of S92 to S93 if the ACD Detail was not provided). If one of the required data elements is missing on the conviction in the CDLIS DHR in the SOR, the SOC must mail the conviction negation. If an SOC fails

to electronically negate a conviction because the SOR changed one of the identifying values, the SOC and SOR must cooperate to manually negate the conviction.

- To update a conviction in the CDLIS DHR, the SOC must send a "negate conviction" report to the SOR, and the SOR must "negate" the conviction in the CDLIS DHR. The SOC must then initiate a new conviction report with the updated information, and the SOR must record the conviction. The SOR records the conviction as if recording a new conviction. The SOR is not required to link the original and updated conviction reports.
- The SOR must maintain conviction negation information (on paper or in its internal database) for subsequent audit by FMCSA compliance reviewers. The SOC is required to retain the original record of the conviction negation.

9.1.3 Rules About Masking

The following are rules about masking.

49CFR384.226 'Prohibition on masking convictions' reads as follows:

“The State must not mask, defer imposition of judgment, or allow an individual to enter into a diversion program that would prevent a CDL driver's conviction for any violation, in any type of motor vehicle, of a State or local traffic control law (except a parking violation) from appearing on the driver's record, whether the driver was convicted for an offense committed in the State where the driver is licensed or another State.”

Generally, for masking to occur, there first must be a judgment of guilt. For example, masking may occur when the court holds the paperwork on a conviction for some reason and does not allow the jurisdiction to take appropriate action. Diversion may occur when the court allows a driver – after an adjudication of guilt – to perform alternate services such as traffic school to get the conviction erased. The following are illustrative scenarios:

| Scenario | Description and Analysis |
|----------|--|
| #1 | <p>CDL holder issued traffic citation for Driving While Intoxicated in his private vehicle. Prosecutor reviews the records and determines that there is a problem with the evidence and decides not to prosecute the case, so no charges are filed with court. No conviction is entered.</p> <p>Analysis: No violation of 49 CFR §383 or §384. The federal CDL regulations require a conviction as defined by 49 CFR §383.5. In this case, the evidence did not meet the burden of proof to be properly adjudicated by the prosecutor and there were no excepted actions taken to otherwise circumvent the regulations (<i>i.e.</i>, no masking or diversion of the offense or penalty).</p> |
| #2 | <p>CMV operator is issued traffic citation for "Careless and Imprudent" driving. Prosecutor files charges for "Careless and Imprudent Driving". Case goes to trial and contrary evidence is presented by operator to show he was not driving in a careless and imprudent manner and court ultimately dismisses the case.</p> <p>Analysis: No violation of 49 CFR §383 or §384. Again, the federal regulations require a conviction and in this case the court found flawed or lacking evidence to convict the driver on the offense cited. No actions were taken by the court to otherwise circumvent the regulations (<i>i.e.</i>, no masking or diversion of the offense or penalty). Ultimately, the driver in this case received his/her day in court and prevailed.</p> |
| #3 | <p>CMV operator issued traffic citation for "Improper lane change in a CMV". Prior to the citation being filed with the court the prosecutor determines to only file the charge as a "defective muffler". Final conviction is for "defective muffler" and that is the only charge ever signed by the prosecutor or filed with the court.</p> <p>Analysis: This practice is not in violation of 49 CFR §384.226 because the violation was reduced before a judgment of guilt was pronounced. Before we can apply the conditions in 49 CFR §384.226 to determine whether masking has taken place, there has to be a judgment of guilt (conviction) for a violation. The masking provision in 49 CFR §384.226 does not prevent plea bargaining from taking place.</p> |

| Scenario | Description and Analysis |
|----------|---|
| #4 | <p>CDL holder is issued a traffic citation for "Excessive Speed" in private vehicle (speeding 75 mph in 60 mph zone). After original charge is filed with court, prosecutor amends original charge to "Speeding 65 mph in a 60 mph zone". Final conviction is for Speeding 65 mph in a 60 mph zone.</p> <p>Analysis: This practice is not in violation of 49 CFR §384.226 because the violation was reduced before a judgment of guilt was pronounced. Before we can apply the conditions in 49 CFR §384.226 to determine whether masking has taken place, there has to be a judgment of guilt (conviction) for a violation. The masking provision in 49 CFR §384.226 does not prevent plea bargaining from taking place.</p> |
| #5 | <p>A CDL holder operating a non-commercial vehicle is issued a traffic citation for "Failure to Yield Right of Way". Prosecutor files charges for "Failure to Yield Right of Way". Court convicts person of "Failure to Yield Right of Way" and the conviction is posted in the driver's record, but allows a Driver Improvement Program in lieu of having the director assess points on the driving record.</p> <p>Analysis: The failure to assign "points" does not violate 49 CFR §383 or §384. However, if the federal regulations required the imposition of a disqualification period for the convicted offense and the court then allowed a Driver Improvement Program in lieu of having the director impose a disqualification for the prescribed period of time this would be in violation of 49 CFR §384.215 or §284.213 or §384.231 as a diversion deferral program.</p> |
| #6 | <p>CMV operator is issued a traffic citation for "Operating a CMV while Disqualified". Prosecutor files charges for "Operating CMV while license disqualified". Final conviction is for "Operating CMV while license disqualified". Later, court allows attorney for CMV operator to withdraw original plea and conviction and after new court hearing, court ultimately enters a conviction for "Improper CDL Class/Endorsement".</p> <p>Analysis: This is not in violation of 49 CFR §384.226 because the court vacated (withdrew) the original conviction or adjudication of guilt. By granting the attorney's request to vacate (withdraw) the original plea and conviction, the court has nullified the conviction. The definition of "conviction" in 49 CFR §383.5 defines a conviction to mean "an unvacated adjudication of guilt".</p> |

Masking differs from the following:

- *Dismissals* are citations that are dismissed (considered not guilty) – this is not prohibited under §384.226.
- *Appeals* will vary by states.
 - In some states, the court does not send a conviction to the SDLA until the appeal process is complete.
 - In other states, the court will send a conviction to the SDLA, who will post the conviction to the record, and then the appeal process will negate the conviction, if the conviction is ultimately dismissed (considered not guilty).

Neither of these cases is prohibited under §384.226.

- *Set asides* are convictions that are posted to the record, but the sanction is deferred or cancelled. Set asides are not prohibited under §384.226, but they are prohibited under §384.231 'Satisfaction of State disqualification requirement'.

Juvenile records are typically "sealed". FMCSA would have to evaluate other reasons for having "confidential" or "sealed" adult records on a case-by-case basis. Jurisdictions should contact FMCSA (either the Division Administrator in the jurisdiction or the headquarters staff) when questions arise. If the reason the jurisdiction "seals" the records is to prevent posting of a conviction on a driver's record (especially alcohol-related convictions), this is "masking" and will not be approved by FMCSA.

9.1.4 Rules for Multiple Convictions from One Incident

The following are rules for multiple convictions from a single incident.

If a driver is convicted of multiple offenses from one incident, the SOR is only required to count one conviction per federal category of CDL offenses for the purposes of determining first and subsequent violations in one federal category. 49 CFR §383.51(a)(4) "Determining first and subsequent violations" reads: *"For purposes of determining first and subsequent violations from one incident for offenses specified in this subpart, each conviction for any offense listed in Tables 1 through 4 to this section resulting from a separate incident (emphasis added), whether committed in a CMV or non-CMV, must be counted."*

- For example, if the driver is convicted of two serious offenses from one incident, the SOR is only required to count one serious offense for any disqualification, because both offenses resulted from the same incident. If the driver is convicted of one serious and one major offense from one incident, the SOR must only count the major offense.
- Jurisdictions must check the citation date on any convictions received to determine if there is a possibility of having two convictions for the same incident. If two convictions have the same citation date, jurisdictions must determine if the two convictions were from the same incident (contacting the SOC if the convictions were out-of-state). If so, the federal regulations do not require a penalty for both convictions (although jurisdiction laws may be more severe than the federal minimums).
- If a jurisdiction receives a history on a driver (via the CSOR or State-to-State History Request transactions, either through CDLIS or through PDPS) and the penalties applied for a specific conviction seem to be erroneous, the jurisdiction must check to see if there were other convictions with the same citation date. If so, the jurisdiction must determine if the penalties are appropriate assuming the convictions were for the same incident. If they are, the jurisdiction can infer the convictions were from the same incident. If questions are still present, the jurisdiction must contact the SOW.

9.1.5 Rules for Selected Conviction Data Elements

The following are rules for specific conviction data elements.

- The SOR is not required to track the dates when a driver held a CDL or non-CDL issued by another jurisdiction. For most convictions, jurisdictions can determine that a person was a CDL holder if the incoming citation date is on or after the issue date of the license (this will be the case on most convictions). In cases where the citation date is not within the period between the issue date and expiration date of current license, jurisdictions must make a good-faith effort to manually determine whether its driver had a CDL at the time of the citation (*i.e.*, violation). Jurisdictions may have to check with the previous SOR(s) to determine the driver’s commercial status at the time of the citation. Other jurisdictions have noted a problem completing a CSOR for drivers who were cited before transferring to the current SOR, but FMCSA still requires the current SOR to manually determine the CDL status at the time of the citation. In these cases, the jurisdiction must have an established process for determining the value of the Citation CDL Holder Indicator and must document the attempts made to determine the driver’s CDL status for a given conviction where the Indicator is unknown. AAMVA tracks all previous CDL numbers for a driver – not just the three that are included on inquiry response messages from the Central Site. In the rare cases where the SOR at the time of the citation is not included, jurisdictions may request AAMVA’s assistance in contacting the correct jurisdiction.
- The Court Report ID (DCVCLO), which is assigned by the SOC, may be a summons number or any other reference, as long as it enables the SOC to look up the original record of the conviction.
- Although the conviction underlying a failure to appear, pay, or comply (FTA/FTP/FTC) may have been in a CMV, the FTA/FTP/FTC conviction is not committed when operating a CMV. Therefore, the CMV Indicator on all FTA/FTP/FTC convictions must be ‘2’ (‘No’). Any driver convicted of driving while withdrawn based on an FTA/FTP/FTC conviction is not subject to the federally-mandated penalties in 49 CFR §383.51(b)(7) “Driving a CMV when, as a result of prior violations committed operating a CMV, the driver’s CDL is revoked, suspended, or canceled, or the driver is disqualified from operating a CMV”. The following scenario provides clarification:

| Events (in order) | Jurisdiction Action |
|---------------------------------------|-----------------------------------|
| Driver convicted of speeding in a CMV | ‘S93’ conviction |
| Driver fails to appear in court | ‘D45’ conviction; ‘S93’ in detail |

| | |
|--|--|
| Jurisdiction suspends license | 'D45' withdrawal; 'D45' underlying conviction ('S93' in detail) |
| Driver convicted for driving a CMV while license suspended for 'D45' | 'B26' conviction; no federal penalty; 'D45' not a violation committed operating a CMV |

- FTA/FTP/FTC convictions do not occur in any vehicle. Therefore, the CMV Indicator and/or HAZMAT indicator cannot be set to '1'. If a jurisdiction receives an FTA/FTP/FTC conviction with the CMV Indicator and/or HAZMAT indicator set to '1', the jurisdiction may change these two indicators to '2'.
- The SOR must maintain in its internal records the "Date Conviction Received" and "Date Conviction Posted" for each out-of-state conviction. AAMVA recommends the SOR SDLA should also maintain the "Date Conviction Received by the SDLA" for each in-state conviction. No penalty is imposed on the driver until a 'Responsible disposition' is received from the issuing department. Therefore, the "Date Conviction Received by the SDLA" should be the date the jurisdiction SDLA receives notification the driver was deemed responsible (*i.e.*, convicted). Note that the jurisdiction may maintain this information in whatever form it wants, including in an electronic database, in UNI logs, or on paper.

9.2 JURISDICTION CONVICTS DRIVER

When a jurisdiction (the SOC) convicts a driver, it follows procedures to send or record the conviction, based on the license status, jurisdiction of domicile, and whether the driver has an MPR. The license status on the conviction may include the CDL Number, a Non-CDL license number, or no license number. These procedures are explained in the following sections.

9.2.1 CDL Number on Conviction

9.2.1.1 CDL Issued by Convicting Jurisdiction

If the convicting jurisdiction is the same as the licensing jurisdiction, the jurisdiction posts the conviction to the driver's record and takes any necessary driver control actions, including the addition of a PDPS pointer, if required (see PDPS documentation).

9.2.1.2 CDL Issued by another Jurisdiction

If the convicting jurisdiction is not the same as the licensing jurisdiction, the convicting jurisdiction must submit a Verification Inquiry (see CDLIS System Specifications, CD02) or Search Inquiry (see CDLIS System Specifications, CD01) and review the response to ensure the correct driver is identified before the information on the conviction is sent. Although the CDLIS Central Site forwards convictions to the current SOR, the inquiries are required since citations and convictions are often handwritten which results in data entry errors. After verifying the driver identified on the Verification or Search Inquiry, the SOC must notify the SOR by sending the Report Out-of-State Conviction either via the electronic transaction to the CDLIS Central Site (see CDLIS System Specifications, CD11) or by mail (see "APPENDIX C –CONDUCTING SELECTED CDLIS TRANSACTIONS BY MAIL" for rules, procedures, and forms for mailing OOS convictions). In the electronic transaction, the CDLIS Central Site receives, validates, and forwards the conviction to the current SOR.

Out-of-state convictions must be transmitted either electronically (via the Report Out-of-State Conviction transaction or as a conviction underlying a withdrawal in the Report Out-of-State Withdrawal transaction) or with a paper copy but not both. The State of Conviction must maintain the original conviction for as long as the conviction must be retained on the CDLIS DHR record. If a paper copy is sent to the SOR, it must include all of the data required in the electronic transmission (Report Out-of-State Conviction (HA) message). The SOR will populate these fields in the CDLIS DHR record for future electronic transmission. Additionally, the SOC should not transmit a conviction more than once unless the original conviction was returned with errors.

It is the responsibility of the SOR to post the conviction to the driver's record and take any necessary driver control actions, including the addition of a PDPS pointer, if required (see PDPS documentation). The SOR must post all conviction information received from the SOC exactly as received unless given permission from the SOC to correct it.

The SOR must have a procedure in place to preclude the posting of a conviction more than once if the SOC erroneously sends the conviction twice. For example, an SOC could erroneously send the conviction electronically and as a paper copy. If the SOR determines that the conviction received matches a previously posted conviction, the SOR must reject the conviction. The SOR will not post the conviction and will take no additional driver control actions.

If the SOR cannot process the out-of-state conviction, the message will be returned to the SOC via the CDLIS Central Site. The SOC is responsible for ensuring the SOR receives the conviction with complete and accurate information for posting to the driver's record.

The AAMVA Operations Help Desk monitors all convictions to ensure they are confirmed within 96 hours. While jurisdictions have 10 days to notify the SOR (per 49 CFR §384.209(c)(2)), the 96-hour period is used to assist jurisdictions in meeting the federal time frames. Reports are sent to FMCSA weekly identifying any convictions not acknowledged within the allotted time.

Note: It is not possible to measure the full processing time for convictions that were rejected and subsequently resubmitted or resolved via other means. It is also not possible to confirm that convictions are actually posted within the allotted time.

The SOC has the responsibility of reporting the conviction to the SOR, but not for maintaining a history record. While the SOC is not precluded from maintaining such a record, doing so does not exempt the jurisdiction from notifying the SOR of the conviction.

9.2.1.2.1 Mexican Drivers

Mexican drivers are not maintained on the CDLIS Central Site. Therefore, the SOC should not initiate a verification inquiry on a Mexican driver to the Central Site. The SOC should just send the conviction message using the Jurisdiction Code of 'MX'. All confirmation messages will pass back through the CDLIS Central Site to the SOC.

If a jurisdiction is unable to send convictions electronically (FMCSA has a strong preference for electronic transmission), the following mailing address must be used:

FMCSA
P.O. Box 21080
Floral Park, NY 11002-1080

9.2.1.2.2 Canadian Drivers

Currently, convictions of Canadian drivers cannot be posted through CDLIS.

9.2.2 Non-Commercial License Number on Conviction

9.2.2.1 Driver is not Convicted of an Offense in a Commercial Motor Vehicle (CMV)

If the driver does not possess a CDL and was convicted of an offense not requiring a CDL, jurisdiction procedures dictate the actions to take. This will not include any CDLIS transactions but, depending on any driver control actions taken, may require addition of a pointer to PDPS (see PDPS documentation for details).

9.2.2.2 Driver is Convicted of an Offense in a CMV

If the driver does not possess a CDL but was convicted of an offense requiring a CDL, the following procedures apply. If the driver presents a non-CDL at the time of citation, the SOC must do a Search Inquiry (see CDLIS System Specifications, CD01) using all available identification information on the driver to determine if the driver already has a pointer on CDLIS.

9.2.2.2.1 Non-Commercial License Issued by SOC

If the driver presented a non-commercial license issued by the SOC, the jurisdiction must add the driver to CDLIS

(see CDLIS System Specifications, CD07), post the conviction, and take any necessary driver control actions, including the addition of a PDPS pointer (see PDPS documentation).

9.2.2.2.2 Non-Commercial License Issued by Other Jurisdiction

If the driver presented a non-commercial license issued by a different jurisdiction, the SOC must send the conviction to the licensing jurisdiction (SOR). Since no CDLIS pointer was found, the SOC must send the Report Out-of-State Conviction transaction to the licensing jurisdiction (SOR) by mail. The SOR must add the driver to CDLIS (see CDLIS System Specifications, CD07), post the conviction, and take any necessary driver control actions, including the addition of a PDPS pointer (see PDPS documentation).

9.2.2.2.3 Non-Commercial License and Use of Substitute SSN

If the SOR does not capture the SSN for non-commercial drivers, the driver will be added to CDLIS using a substitute SSN of '999-99-9999'. If the driver's actual SSN is discovered, the record can be updated to reflect this (see "APPENDIX B – SUBSTITUTE AND PSEUDO SOCIAL SECURITY NUMBERS").

Note: The only reason to use a SSN of all nines ('999-99-9999') is to indicate that a non-CDL driver has been convicted of a CMV violation and no SSN was provided.

9.2.3 No Driver License Number on Conviction

If the driver does not present any license at the time of citation, the SOC must do a Search Inquiry (see CDLIS System Specifications, CD01) using all available identification information on the driver to determine if the driver already has a pointer on CDLIS.

9.2.3.1 Driver Already Has CDLIS Pointer

If the Search Inquiry indicates the driver is already on CDLIS, the SOC must notify the SOR by sending the Report Out-of-State Conviction either via the electronic transaction to the CDLIS Central Site (see CDLIS System Specifications, CD11) or by mail (see "APPENDIX C –CONDUCTING SELECTED CDLIS TRANSACTIONS BY MAIL" for rules, procedures, and forms for mailing OOS convictions). In the electronic transaction, the CDLIS Central Site receives, validates, and forwards the conviction to the current SOR. If required, the SOC must also add a pointer to PDPS (see PDPS documentation).

Note: Jurisdictions are reminded that out-of-state convictions must be transmitted either electronically (via the Report Out-of-State Conviction (HA) message) or with a paper copy but not both. The State of Conviction must maintain the original conviction for as long as the conviction must be retained on the CDLIS DHR record. If a paper copy is sent to the SOR, it must include all of the data required in the electronic transmission (i.e. the Report Out-of-State Conviction (HA) message). The SOR will populate these fields in the CDLIS DHR record for future electronic transmission.

9.2.3.2 Driver Does Not Already Have a CDLIS Pointer

If the SOC doesn't find a CDLIS MPR, the SOC must add the driver to CDLIS using a jurisdiction-defined DLN. Even if a non-license jurisdiction-issued document from another jurisdiction is provided (e.g. an ID card), the SOC, and not the issuer of the non-license document, must take responsibility for the CDLIS MPR for the driver. If required, the SOC must also add a pointer to PDPS (see PDPS documentation).

If the driver's SSN is not known, the substitute SSN of '999-99-9999' will be used (see "APPENDIX B – SUBSTITUTE AND PSEUDO SOCIAL SECURITY NUMBERS").

Note: The only reason to use a SSN of all nines ("999-99-9999") is to indicate that a non-CDL driver has been convicted of a CMV violation and no SSN was provided.

9.2.4 Setting the CDL Holder indicator upon receipt of conviction

Whether the conviction received originates from within the SOR or from another jurisdiction, the SOR must set the CDL Holder indicator appropriately based on the type of license a driver held (if any) at the time of citation.

9.3 JURISDICTION NEGATES A CONVICTION

If the information on a conviction is incorrect or if the conviction is reversed, the SOR must remove the conviction from the driver's record and reevaluate any driver control actions taken. If a conviction must be corrected, a jurisdiction must negate the erroneous conviction and immediately send the corrected conviction to the SOR. In the following cases, the license status on the conviction may include the CDL Number, a Non-CDL license number, or no license number.

9.3.1 CDL Number on Conviction to be Negated

9.3.1.1 CDL Issued by Convicting Jurisdiction

If the convicting jurisdiction is the same as the licensing jurisdiction, the jurisdiction removes the conviction from the driver's record and reevaluates any driver control actions taken (including removal of any PDPS pointers, if applicable).

9.3.1.2 CDL Issued by Another Jurisdiction

If the convicting jurisdiction is not the same as the licensing jurisdiction, the convicting jurisdiction must submit a Verification Inquiry (see CDLIS System Specifications, CD02) or Search Inquiry (see CDLIS System Specifications, CD01) and review the response to ensure the correct driver is identified before the information on the conviction to be negated is sent.

After verifying the driver identified on the Verification or Search Inquiry, the SOC must notify the SOR by sending the Negate Out-of-State Conviction either via the electronic transaction to the CDLIS Central Site (see CDLIS System Specifications, CD12) or by mail (see "APPENDIX C –CONDUCTING SELECTED CDLIS TRANSACTIONS BY MAIL" for rules, procedures, and forms for mailing OOS convictions). In the electronic transaction, the CDLIS Central Site receives, validates, and forwards the conviction negation to the current SOR.

Note: Jurisdictions are reminded that out-of-state conviction negations must be transmitted either electronically (via the Negate Out-of-State Conviction transaction) or with a paper copy but not both. An out-of-state conviction negation must not be sent more than once unless the original conviction negation was returned with errors.

The SOR must ensure that the conviction on which a negation is received is already posted to the driver's record.

If the SOR cannot process the out-of-state conviction negation for either of the following reasons the message will be returned to the SOC via the CDLIS Central Site:

- Error(s) in the data received
- Conviction to be negated not on the SOR's database

The SOC must ensure the SOR receives the conviction negation with sufficient information for removal from the driver's record.

When a conviction negation is received without errors, the SOR must remove the conviction from the driver's record and reevaluate any driver control actions taken (including removal of any PDPS pointers, if applicable).

If a jurisdiction is unable to send conviction negations on Mexican drivers electronically (FMCSA has a strong preference for electronic transmission), the following mailing address must be used:

FMCSA
P.O. Box 21080
Floral Park, NY 11002-1080

9.3.2 Non-Commercial License Number on Conviction to be Negated

9.3.2.1 Driver is Not Convicted of an Offense in a Commercial Motor Vehicle (CMV)

If the driver does not possess a CDL and was convicted of an offense not requiring a CDL, jurisdiction procedures dictate the actions to take. This will not include any CDLIS transactions but, depending on any driver control actions taken, may require removal of a pointer from PDPS (see PDPS documentation for details).

9.3.2.2 Driver is Convicted of an Offense in a CMV

If the driver does not possess a CDL but was convicted of an offense requiring a CDL, the following procedures apply.

9.3.2.2.1 Non-Commercial License Issued by SOC

If the driver presented a non-commercial license issued by the SOC, the jurisdiction must remove the conviction, and reevaluate any driver control actions taken (including removal of any PDPS pointers, if applicable). If the conviction was the only reason for the addition of the driver to CDLIS and no other convictions for offenses in a CMV are on the record, the SOR must initiate a Delete Master Pointer Record transaction (see CDLIS System Specifications, CD10).

9.3.2.2.2 Non-Commercial License Issued by Other Jurisdiction

If the driver presented a non-commercial license issued by a different jurisdiction, the SOC must send the conviction negation to the licensing jurisdiction (SOR). The SOR must remove the conviction, and reevaluate any driver control actions taken (including removal of any PDPS pointers, if applicable). If the conviction was the only reason for the addition of the driver to CDLIS and no other convictions for offenses in a CMV are on the record, the SOR must initiate a Delete Master Pointer Record transaction (see CDLIS System Specifications, CD10).

9.3.3 No Driver License Number on Conviction to be Negated

If the driver did not present any license at the time of citation, the SOC must do a Search Inquiry (see CDLIS System Specifications, CD01) using all available identification information on the driver to determine if the driver already has a pointer on CDLIS.

9.3.3.1 Driver Already Has CDLIS Pointer

If the Search Inquiry indicates the driver is already on CDLIS, the SOC must notify the SOR by sending the Negate Out-of-State Conviction either via the electronic transaction to the CDLIS Central Site (see CDLIS System Specifications, CD12) or by mail (see "APPENDIX C –CONDUCTING SELECTED CDLIS TRANSACTIONS BY MAIL" for rules, procedures, and forms for mailing OOS convictions). In the electronic transaction, the CDLIS Central Site receives, validates, and forwards the negation to the current SOR. The SOR must remove the conviction and reevaluate any driver control actions taken (including removal of any PDPS pointers, if applicable). If the conviction was the only reason for the addition of the driver to CDLIS and no other convictions for offenses in a CMV are on the record, the SOR must initiate a Delete Master Pointer Record transaction (see CDLIS System Specifications, CD10).

Note: Jurisdictions are reminded that out-of-state negations must be transmitted either electronically (via the Negate Out-of-State Conviction transaction) or with a paper copy but not both. An out-of-state conviction negation must not be sent more than once unless the original conviction negation was returned with errors. If a paper copy is sent to the SOR, it must include all of the data required in the electronic transmission.

9.3.3.2 Driver Does Not Already Have a CDLIS Pointer

If the driver did not present any license at the time of conviction and did not have a CDLIS pointer, the SOC would have added the driver to CDLIS using a jurisdiction-defined DLN and have become the SOR. The SOC/SOR must

remove the conviction and reevaluate any driver control actions taken (including removal of any PDPS pointers, if applicable). If the conviction was the only reason for the addition of the driver to CDLIS and no other convictions for offenses in a CMV are on the record, the SOC/SOR must initiate a Delete Master Pointer Record transaction (see CDLIS System Specifications, CD10).

10. PROCEDURES FOR WITHDRAWING A DRIVER

Once the SOR is responsible for the DHR and MPR of a driver, the SOR must comply with federal requirements for disqualifying a CLP/CDL holder according to federal regulations 49 CFR §383. The SOR must record the following:

- All ACD withdrawals of the CLP/CDL holder or driver required to hold a CDL (**NOTE:** the disqualification period for any offenses listed in Tables 1-4 in 49 CFR §383.51 must be in addition to any other previous periods of disqualification [49 CFR §383.51(a)(5)]; previously, only withdrawals for third and subsequent convictions for ‘serious’ offenses had to be consecutive)
- The linkages to all underlying ACD convictions with an effective date on or after November 1, 2005

AAMVA recommends that the SOR record the linkages to all underlying convictions for all ACD withdrawals (*i.e.* not just linkages to all underlying convictions for offense(s) listed in 49 CFR §383.51 (Driver Disqualifications and Penalties), 49 CFR 383.73(g) (State Procedures), and 49 CFR §383.141 (USA PATRIOT Act)) with an effective date on or after November 1, 2005.

The following sections explain procedures for reporting a withdrawal and negating a withdrawal for a CLP/CDL Holder or a driver required to hold a CDL.

10.1 RULES FOR WITHDRAWING DRIVER

The following CDLIS business rules for reporting and retaining withdrawals in the CDLIS DHR are based on Federal Regulations and guidance.

10.1.1 Rules for Reporting and Recording Withdrawals

The following are CDLIS business rules for reporting withdrawals.

- According to 49 CFR §384.225 and 49 CFR §384.208, the SOW is not required to issue a withdrawal on an out-of-state CDL holder, but if an SOW does withdraw an out-of-state CDL holder, in accordance with its own laws, the SOW must report an ACD withdrawal if the withdrawal duration is permanent, for an indefinite period, or for at least 60 days (the SOR must record all withdrawals received from another jurisdiction on the CDLIS DHR).
- The SOW may report a withdrawal on an OOS non-CDL holder for a violation in a CMV, but it is not required to notify the licensing jurisdiction. The SOC must report the conviction to the licensing jurisdiction but federal regulations only require notification of withdrawals on CDL holders [49 CFR §384.208].
 - The SOW may report, and the SOR may record in the CDLIS DHR, a withdrawal for ACD convictions of violations occurring before the driver was issued a CDL. Jurisdictions must review 49 CFR §383.51 to determine if they must take action on any convictions received.
 - The SOW may report, and the SOR may record in its internal database, a non-ACD withdrawal, but this type of withdrawal is not required to be transmitted in the CDLIS DHR. The “W00” withdrawal code is used primarily by the SOR to preclude the driver from doing a CSOR when withdrawn. For a “W00” withdrawal assessed by the SOR, the driver’s commercial status is set to ‘NOT’.
 - If a jurisdiction takes a withdrawal on an out-of-state CDL holder and none of the underlying conviction(s) that led to the withdrawal have an ACD code, the SOW may transmit the withdrawal with a withdrawal code of ‘W00’ (which must not have any underlying ACD convictions). FMCSA recommends that the SOW not transmit ‘W00’ withdrawals. The SOR is not required to add an OOS “W00” withdrawal to the DHR. FMCSA recommends the SOR not send the OOS “W00” withdrawal in history responses.
- An SOW must report a withdrawal on an out-of-state CDL holder by initiating a Report out-of-State Withdrawal Transaction (see CDLIS System Specifications, CD16) either via CDLIS or via mail (see "APPENDIX C –CONDUCTING SELECTED CDLIS TRANSACTIONS BY MAIL" for rules, procedures, and forms for mailing OOS withdrawals). AAMVA and FMCSA strongly recommend the

withdrawal report be transmitted electronically via CDLIS. The SOR is required to process an Out-of-state withdrawal transaction, whether the withdrawal is sent via CDLIS or via mail. With the exception of 'W00' withdrawals, the SOR must record all withdrawals received from another jurisdiction on the CDLIS DHR.

- The SOW must report complete and accurate withdrawal information, and the SOR must post complete and accurate withdrawal information. Both the SOW and SOR must validate the withdrawal information, especially the withdrawal offense codes, when sent or received (see data validations specified in the CDLIS System Specifications CD11.2 and CD11.3). Jurisdictions may record withdrawals with retired ACD codes but must not send them in the CDLIS DHR. The overall purpose of verification is to identify errors that, if not corrected, would interfere with the SOR's ability to interpret the data and to determine whether to take any driver control actions.
- A withdrawal is uniquely identified by the following six data elements:
 - DWDJUR - JURISDICTION CODE - WITHDRAWING
 - DWDWLO - DRV LIC WITHDRAWAL JURIS REPORT ID
 - DWDDWD - DRV LIC WITHDRAWAL EFFECTIVE DATE
 - DWDWTP - DRIVER LICENSE WITHDRAWAL TYPE
 - DWDWRS - DRV LIC ACD WITHDRAWAL REASON CODE
 - DWDWRR - DRV LIC WITHDRAWAL REASON REFERENCE
- The Jurisdiction Code - Withdrawing (DWDJUR) is one of the six elements used to determine whether a withdrawal is a duplicate. Therefore, it is possible for two withdrawals to be on a driver's record for the same conviction – one from the SOW and another from the SOR. The SOW's OOS withdrawal is only in effect within the SOW; the SOR's withdrawal is effective nation-wide.
- The SOW must not report duplicate withdrawals, defined as a match on the six data elements above. If the withdrawal report is transmitted electronically in the Report Out-of-State Withdrawal, no paper copy of the withdrawal report is sent to the SOR, and vice-versa. Additionally, the SOW must not transmit a withdrawal report more than once unless the original withdrawal report was returned with errors. The SOW is free to choose whatever internal method is best for the SOW to identify which withdrawals have been sent, such as by flagging the withdrawal in their internal database, or by using a rule based process to determine which withdrawals are electronically sent during a specified period when an automated system is used.
- When entering an in- or out-of-state withdrawal, the SOR must check that the withdrawal does not already exist on the CDLIS DHR, by checking for a match on the six data elements above that define a unique withdrawal.
 - If the SOR finds a duplicate exists, the SOR SDLA must reject the new withdrawal report. The SOR should contact the SOW and manually determine why the duplicate was sent, especially if the new and existing withdrawals contain differing values for other data elements (see rule for updating a withdrawal).
 - If an SOR receives a withdrawal that matches on 5 or fewer of the identifying data elements, the SOR must record the withdrawal as a unique withdrawal. However, if the withdrawal matches an existing withdrawal for 4 or 5 of the identifying data elements, AAMVA recommends that the SOR check with the SOW to ensure the withdrawal is indeed unique.
- When the SOW reports a withdrawal, it must also report the ACD convictions that resulted in the withdrawal, if the withdrawal effective date is on or after November 1, 2005. For any ROOSW (HW) message, an underlying conviction may or may not have already been entered on the driver's history from a previously mailed or transmitted ROOSC (HA) message or another ROOSW (HW) message. Therefore, when an SOR receives any OOS Withdrawal, the SOR must check whether the underlying convictions are already on the driver's history, based on the six data elements that uniquely identify a conviction for a given driver. **If one or more of the convictions reported with the withdrawal are not in the history and the SOR accepts the withdrawal, the SOR must add the missing convictions to the CDLIS DHR.** If one of the convictions is already posted to the record, the SOR must not post a duplicate underlying conviction coming in with the ROOSW (HW) message and must not reject an ROOSW (HW) message for having a duplicate conviction.

Note: To meet the federal requirements for reporting convictions [see 49 CFR §384.209], a jurisdiction

may not be able to wait to report a conviction until the withdrawal is in effect. Convictions must be sent as soon as possible within the federal timeframes.

- At a minimum, the SOR must retain each withdrawal in the CDLIS DHR according to the requirements of the ACD Manual. The SOW must retain the original record of the withdrawal in the CDLIS DHR for the period described in the current ACD Manual.
- An SOR must keep “Date Withdrawal Received” from another jurisdiction, whether the withdrawal was received electronically or by paper. For all withdrawals, the “date withdrawal posted to the CDLIS driver history” must be maintained for as long as the jurisdiction is the driver’s SOR. For withdrawals received via CDLIS, the “date received” and the “date posted” will be within 1 day. For paper withdrawals received from other jurisdictions, the dates may be significantly different.
- If the SOR determines, through whatever means, that an out-of-state withdrawal was taken in error, the SOR must reject the withdrawal, as specified in the CDLIS System Specifications (see data validations in CD16.2 and CD16.3). Otherwise, the SOR must post the withdrawal to the driver’s record. Jurisdictions must not alter conviction or withdrawal information received from an SOC/SOW, except if the SOC/SOW agrees to the change and the SOR maintains a record of any discussions, including the contact persons and the discussion dates, that can be readily accessed.
- The SOW must do a CDLIS inquiry on an out-of-state driver withdrawn for convictions in a CMV/HAZMAT vehicle, whether or not the driver holds a CDL, to determine if the driver already has a CDLIS pointer. If the withdrawal is the result of conviction(s) where the CMV and HAZMAT Indicators are both marked “No”, an SOW is not required to do a CDLIS inquiry on an out-of-state driver it withdraws.
- The SOR is not required to check PDPS when it receives an out-of-state withdrawal. If the SOR opts to search for PDPS pointers for the driver, and discovers information that is not in the driver’s history record in the SOR, the SOR must contact the SOC/SOW (the jurisdiction that posted the PDPS pointer) and have the conviction(s) and withdrawal(s) sent to the SOR. This procedure ensures the SOR has the complete driver history.
- The SOR only records the out-of-state withdrawal on the record; it does not take over enforcement of the out-of-state withdrawal. The SOR takes action based on all posted convictions, not on reported out-of-state withdrawals. An out-of-state withdrawal does not impact the status of the person’s license/record in the SOR. The status of the license is only affected by a withdrawal action taken by the SOR.
- Jurisdictions must ensure the linkages between out-of-state withdrawals (with an effective date on or after November 1, 2005) and convictions for offense(s) listed in 49 CFR §383.51 (Driver Disqualifications and Penalties), 49 CFR 383.73(g) (State Procedures), and 49 CFR §383.141 (USA PATRIOT Act), are maintained for future transmission. AAMVA recommends the linkages between out-of-state withdrawals (with an effective date on or after November 1, 2005) and convictions for all ACD offense(s), be maintained for future transmission.
- The CDLIS Report Out-of-State Withdrawal Transaction describes the procedures for reporting an out-of-state withdrawal through CDLIS to the CDLIS SOR. Nothing in these CDLIS specifications affects the procedures for reporting a withdrawal to PDPS [see NHTSA/NDR regulations 23 CFR 1327 Appendix A].
- Jurisdictions must use the citation date to calculate whether two or more serious traffic violations fall within the same 3-year period, [see 49 CFR §383.51 and the ACD Manual for further details].
- When calculating the starting and ending dates for the driver disqualification period, jurisdictions must use the conviction date or a later date [see 49 CFR §383.51]. For this calculation, the conviction date must be after September 30, 2005 or the date the jurisdiction’s legislation became effective (if before September 30, 2005).
- If a jurisdiction withdraws the base license privileges, it must withdraw the CDL privileges as well. For example, if the jurisdiction takes a “points” withdrawal of the base license privileges, the CDL privileges must be withdrawn along with the base license privileges.

Rules for the usage of specific ACD codes are reflected in the ACD Manual.

10.1.2 Rules for Negating and Updating a Withdrawal

The following CDLIS business rules for negating and updating withdrawals in the CDLIS DHR are based on

Federal Regulations and FMCSA guidance.

- The SOW must negate the withdrawal by initiating a Negate Withdrawal Transaction to the SOR via CDLIS or by mail. The SOR must be able to receive all withdrawals sent via CDLIS or by mail and to negate the withdrawal in the CDLIS DHR (see "APPENDIX C –CONDUCTING SELECTED CDLIS TRANSACTIONS BY MAIL" for rules, procedures, and forms for mailing withdrawal negations).
- When negating a withdrawal, the Negate Withdrawal message must match the six required withdrawal identification data elements sent in the original withdrawal report. If one of the required data elements is missing on the withdrawal in the CDLIS DHR, the SOW must mail the withdrawal negation.
- The Negate Withdrawal transaction only negates the withdrawal and all associated links to underlying convictions; it does not negate any of the underlying convictions. Prior to the withdrawal negation, the SOC/SOW must negate any underlying convictions by sending one or more Negate Conviction messages.
- To update a withdrawal (*i.e.* notify the SOR of a reinstatement) in the CDLIS DHR, the SOW must report a "negate withdrawal" and the SOR must "negate" the withdrawal in the CDLIS DHR. The SOC/SOW must then initiate a new withdrawal report with the updated information, and the SOR must record the withdrawal. The SOR records the withdrawal as if recording a new withdrawal; the SOR is not required to link the original and updated withdrawal reports.
- The SOR must document each withdrawal negation in its internal records for the subsequent audit by FMCSA compliance reviewers. The SOW is not required to maintain a record of the withdrawal negation.
- When negating a withdrawal and linkage, the SOR should check that at least one of the underlying convictions has been negated. If none of the convictions has been negated and no errors are found, the SOR should negate the withdrawal and its linkage, and then contact the SOW to check the reason for the withdrawal negation.
- Because the SOR does not have the legal right to negate another jurisdiction's internal withdrawal, if an underlying conviction is negated, the SOR must not negate an out-of-state withdrawal automatically. The SOR will negate an out-of-state withdrawal when and if the SOC/SOW sends a Negate Out-of-State Withdrawal message. If the negate withdrawal is not sent, the SOR may contact the SOW.
- The SOW (the jurisdiction issuing the withdrawal) is the only jurisdiction that may negate the withdrawal that it issued, whether the withdrawal was sent in an ROOSW message or in an H5 message. The SOW must negate a withdrawal if the withdrawal was mistakenly sent, or if the withdrawal is no longer in effect because an underlying conviction was negated. To update withdrawal information, a Negate Withdrawal Transaction must be initiated to negate the withdrawal and its linkages; then a new Report Out-of-State Withdrawal message must be sent with the updated information and linkages to the underlying conviction(s).
- Federal CDL regulations do not cover the case where a driver disputes an underlying conviction after a disqualification, except that the jurisdiction must not remove the conviction (and any associated penalties) and must not remove the withdrawal while the situation is being investigated (*i.e.*, requiring some official notice from the court before reinstating a driver's privileges). Otherwise, jurisdiction laws will determine the course of action to be followed.
- When negating a withdrawal in the CDLIS DHR, jurisdictions must check the six uniquely identifying data elements to identify the withdrawal to negate. If a jurisdiction cannot locate the withdrawal, it must reject the message. If one of the identifying data elements is blank in a withdrawal in the CDLIS DHR, and the SOW wants to negate the withdrawal, the SOW must negate the withdrawal by mail (see "APPENDIX C – CONDUCTING SELECTED CDLIS TRANSACTIONS BY MAIL" for rules, procedures, and forms for mailing an NOOSW).
- When an SOW reinstates an out-of-state driver, the SOW must either
 - do nothing regarding the OOS withdrawal in the CDLIS DHR (*i.e.*, leave the reinstatement date blank) since the out-of-state withdrawal is only effective within the SOW and doesn't affect the license status reported by the SOR or
 - send a negate withdrawal and then send the withdrawal report a second time but with the updated reinstatement date. When it sends an updated withdrawal, the SOW must include the underlying convictions with the updated withdrawal information.

The driver may also bring proof of the reinstatement by the SOW to the SOR for the SOR to update the CDLIS DHR.

10.1.3 Rules for Withdrawal-Conviction(s) Linkages

The following are rules for linking a withdrawal and all its underlying convictions to form a linkage.

- According to 49 CFR §§384.208 and 384.225, each withdrawal with an effective date on or after November 1, 2005 must be recorded in the history. For each withdrawal for offense(s) listed in 49 CFR §383.51 (Driver Disqualifications and Penalties), 49 CFR 383.73(g) (State Procedures), and 49 CFR §383 (USA PATRIOT Act), links to underlying convictions must also be recorded in the history. For example, if a notice is sent on October 5, 2005 for an out-of-state withdrawal for offense(s), and offense(s) listed in 49 CFR §383.51 (Driver Disqualifications and Penalties), 49 CFR 383.73(g) (State Procedures), and 49 CFR §383 (USA PATRIOT Act), that has a withdrawal effective date 30 days after the notice is sent (i.e. November 4, 2005), the withdrawal and its links to underlying convictions must be sent to the SOR within 10 days of November 4, 2005. On receipt of the ROOSW, the SOR then has 10 days to post the withdrawal and linkages to the CDLIS DHR.
- AAMVA recommends that links between each ACD withdrawal with an effective date on or after November 1, 2005 (i.e., not just links for withdrawals for federally mandated offense(s) (including those covered under the USA PATRIOT Act)) and convictions for all ACD offense(s) be recorded in the history to minimize the need for manual intervention later.
- Jurisdictions must maintain each linkage between a withdrawal for offense(s) listed in 49 CFR §383.51 (Driver Disqualifications and Penalties), 49 CFR 383.73(g) (State Procedures), and 49 CFR §383 (USA PATRIOT Act), and its underlying conviction(s) for future transmission. When an Old SOR transfers the CDLIS DHR record to a New SOR, the Old SOR must report, and the New SOR must retain in the CDLIS DHR, the linkage between each withdrawal for offense(s), listed in 49 CFR §383.51 (Driver Disqualifications and Penalties), 49 CFR 383.73(g) (State Procedures), and 49 CFR §383 (USA PATRIOT Act), in the CDLIS DHR, including each withdrawal assessed by the Old SOR, to the conviction or group of convictions that resulted in the withdrawal.
- AAMVA recommends the following:
 - Jurisdictions must maintain each linkage between each ACD withdrawal and its underlying conviction(s) for future transmission.
 - When an Old SOR transfers the CDLIS DHR record to a New SOR, the Old SOR should report, and the New SOR should retain in the CDLIS DHR, the linkage between each withdrawal in the CDLIS DHR, including each withdrawal assessed by the Old SOR, to the conviction or group of convictions that resulted in the withdrawal.
- The SOW and SOR must validate linkages, including cross checks between withdrawal information and underlying conviction information, when sending and receiving out-of-state withdrawal reports. For example, the withdrawal effective date must not pre-date the conviction date of an underlying conviction. Note the following:
 - The SOW in a linkage may be different than the current SOR, and
 - The SOCs of the underlying convictions are not required to be equal and are not required to equal the SOW or the SOR.

If the out-of-state withdrawal requires underlying convictions, and the Out-of-State Withdrawal message received by the SOR does not specify the underlying conviction(s), the SOR must return the withdrawal in error (see data validations in the CDLIS System Specifications CD16.2 and CD16.3).

- The only convictions linked to a federally-mandated withdrawal must be federally mandated convictions [see Tables 1-4 to 49 CFR §§383.5 and 383.52 and 49 CFR §383.73(g)]. Codes W30, W31, W40, W41, W50, W51, W52, W60, and W61 are to be used for federally mandated disqualifications resulting only from multiple commercial violations in the appropriate FMCSA conviction category (those listed in Tables 1-4 in 49 CFR §383.51). The offenses listed in Tables 1-4 in 49 CFR §383.51 apply only to CDL-holders and those 'required to have a CDL'. While the same ACD code can be used for non-CDL holder, non-CMV convictions, the withdrawal codes are exclusive to CDL-holders and those 'required to have a CDL'. Previously, jurisdictions were allowed to combine federal and non-federal convictions under a single withdrawal code (e.g. two serious and an unspecified resulting in a 'W30' withdrawal). Jurisdictions should assess convictions first based on the federal regulations and then according to jurisdiction-specific laws. If an additional withdrawal (e.g. a points withdrawal) includes federally-mandated convictions, jurisdictions must use the 'W01' withdrawal ACD code. See the ACD Manual for examples of the

application of the federal regulations when a jurisdiction assigns a withdrawal ACD code for a given withdrawal.

- For the second conviction of a “Major” offense, the withdrawal eligibility date must be ‘PERM’, ‘INDEF’, or 55 years from the effective date and the reinstatement date must be blank. If the driver is reinstated after 10 years, the eligibility date must stay the same (*i.e.* ‘PERM’, ‘INDEF’, or 55 years from the effective date), but the reinstatement date will reflect the date the driver is actually reinstated.

10.2 SOW WITHDRAWS DRIVER

Procedures to follow when the SOW is the SOR and withdraws an out-of-state driver are provided in the following sections. For each situation, the following cases are covered:

- The driver holds a CDL,
- The driver holds a non-CDL, and
- The driver does not hold a license.

10.2.1 SOW is the SOR and Withdraws Driver

In the following cases, the SOW is the SOR for the driver (*i.e.* it has issued a license to the driver or has found no existing MPR for a driver with no license).

10.2.1.1 CDL Holder

When the withdrawing jurisdiction is the SOR and the driver holds a CDL, the withdrawing jurisdiction posts the withdrawal to the driver's record and takes any necessary driver control actions, including the addition of a PDPS pointer (see PDPS documentation).

10.2.1.2 Non-CDL Holder (Base-License Holder)

10.2.1.2.1 Driver is not Convicted of an Offense in a Commercial Motor Vehicle (CMV)

When the driver holds a base license issued by the withdrawing jurisdiction and the driver is convicted of an offense not requiring a CDL, CDLIS rules do not apply and the withdrawing jurisdiction must not add the driver to CDLIS. The withdrawing jurisdiction's procedures dictate the actions to take in this case. Depending on any driver control actions taken, withdrawing jurisdiction may be required to add a pointer to PDPS (see PDPS documentation for details).

10.2.1.2.2 Driver is Convicted of an Offense in a CMV

When the driver holds a base license issued by the SOW and the driver is convicted of an offense requiring a CDL, CDLIS rules do apply. The SOW must add the driver to CDLIS (see CDLIS System Specifications, CD07) and post the withdrawal and underlying conviction to the DHR. The SOW may be required to add a PDPS pointer (see PDPS documentation).

10.2.1.3 Driver with No License

10.2.1.3.1 Driver is not Convicted of an Offense in a Commercial Motor Vehicle (CMV)

When the driver does not present any license at the time of the citation and the driver is convicted of an offense not requiring a CDL, CDLIS rules do not apply and the SOR must not add the driver to CDLIS. The withdrawing jurisdiction's procedures dictate the actions to take in this case. The withdrawing jurisdiction may be required to add a pointer to PDPS (see PDPS documentation for details).

10.2.1.3.2 Driver is Convicted of an Offense in a CMV

When the driver

- does not present any license at the time of citation
- is convicted of an offense requiring a CDL and
- has no existing MPR,

the withdrawing jurisdiction must add

- an MPR, using a jurisdiction-defined DLN, and
- the conviction and withdrawal to the DHR.

If required, the SOW must also add a pointer to PDPS (see PDPS documentation).

Note: If the driver's SSN is not known, the substitute SSN of '999-99-9999' will be used. The only reason to use a SSN of all nines ("999-99-9999") is to indicate that a non-CDL driver has been convicted of a CMV violation and no SSN was provided. See "APPENDIX B – SUBSTITUTE AND PSEUDO SOCIAL SECURITY NUMBERS" for more details about using the substitute SSN.

10.2.2 SOW Withdraws an Out-of-State Driver

In the following cases, the SOW withdraws an out-of-state driver. The SOW (*i.e.* the withdrawing jurisdiction) does not own the MPR for the driver. In other words, the SOW is not the SOR.

10.2.2.1 CDL Holder Domiciled in another Jurisdiction

When the driver holds a CDL and the SOW is not the same as the SOR, the SOW must submit a Verification Inquiry (see CDLIS System Specifications, CD02) or Search Inquiry (see CDLIS System Specifications, CD01) to ensure to ensure the driver is identified correctly and the withdrawal information is sent for the correct driver. After verifying the driver identified on the Verification or Search Inquiry, the SOW must notify the SOR using the Report Out-of-State Withdrawal transaction, sent either via the CDLIS Central Site (see CDLIS System Specifications, CD11) or by mail (see "APPENDIX C –CONDUCTING SELECTED CDLIS TRANSACTIONS BY MAIL" for rules, procedures, and forms to mail withdrawals). For the electronic transmission, the CDLIS Central Site will forward the withdrawal to the driver's current SOR.

Out-of-state withdrawals must be transmitted either electronically (via the Report Out-of-State Withdrawal [HW] message) or with a paper copy but not both. The SOW must maintain the original withdrawal for as long as the withdrawal must be retained on the CDLIS DHR. If a paper copy is sent to the SOR, it must include all the information required for the electronic transmission via CDLIS. The SOR must populate these fields in the CDLIS DHR record for future electronic transmission. Additionally, the SOW must not transmit a withdrawal more than once unless the original withdrawal was returned with errors.

It is the responsibility of the SOR to post the withdrawal to the driver's record. The SOR must post all withdrawal information received from the SOW exactly as received.

An ROOSW (HW) message may include one or more underlying conviction(s) that have not been reported previously and entered on the driver's history. Therefore, when an SOR receives an ROOSW with underlying convictions, the SOR must determine whether the underlying convictions are already on the driver's history, based on the six data elements that uniquely identify a conviction for a given driver. **If one or more of the convictions reported with the withdrawal are not in the history and the SOR accepts the withdrawal, the SOR must** add the missing convictions to the CDLIS DHR, and take any necessary driver control actions, including the addition of a PDPS pointer (see PDPS documentation), based on the underlying conviction(s) that caused the out-of-state withdrawal, not on the withdrawal itself.

Jurisdictions must have a procedure in place to preclude the posting of a withdrawal more than once, in case the SOW erroneously sends the withdrawal twice. For example, the SOW might erroneously send the withdrawal electronically and also send a paper copy. If the SOR determines that the withdrawal received matches a previously posted withdrawal, the SOR must reject the withdrawal. The SOR will not post the withdrawal, the links, or any

underlying “new” convictions and will take no additional driver control actions.

If the SOR cannot process the out-of-state withdrawal sent electronically, the message will be returned to the SOW via the CDLIS Central Site. The SOW is responsible for ensuring the SOR receives the withdrawal with complete and accurate information for posting to the driver's record.

The AAMVA Operations Help Desk monitors all withdrawals to ensure they are posted and confirmed within 96 hours. Reports are sent to FMCSA weekly identifying any withdrawals not acknowledged within the allotted time.

The SOW has the responsibility of reporting the withdrawal to the SOR, but not for maintaining a history record. While the SOW is not precluded from maintaining such a record, doing so does not exempt the SOW from notifying the SOR of the withdrawal.

10.2.2.2 Mexican Licencia Federal Holders

Mexican drivers who hold a Licencia Federal (the Mexican equivalent of the CDL) are not maintained on the CDLIS Central Site, but are accessible through the Mexican access gateway. Therefore, the SOW need not initiate a verification inquiry on a Mexican driver to the Central Site, or send a CDLIS state-to-state status or history request to ‘MX’. The SOW should just send the withdrawal message via CDLIS using the Jurisdiction Code of ‘MX’. All confirmation messages will pass back through the CDLIS Central Site to the SOW.

If a jurisdiction is unable to send withdrawals on Mexican drivers electronically (FMCSA has a strong preference for electronic transmission), the following mailing address must be used:

FMCSA
P.O. Box 21080
Floral Park, NY 11002-1080

10.2.2.3 Non-CDL Holder (Base-License Issued by Another jurisdiction)

10.2.2.3.1 Driver is not Convicted of an Offense in a Commercial Motor Vehicle (CMV)

When the driver holds a base license issued by another jurisdiction (the licensing jurisdiction) and the driver is convicted of an offense not requiring a CDL, CDLIS rules do not apply and the withdrawing jurisdiction normally would not use any CDLIS transactions to report the withdrawal. In this case, jurisdiction procedures dictate the actions to take. Depending on any driver control actions taken, the withdrawing jurisdiction may be required to add a pointer to PDPS (see PDPS documentation for details).

Note: If the SOW determines that the driver has a CDLIS pointer (or knows the driver has a CDLIS pointer), the SOW is encouraged, in the interest of safety, to send the withdrawal via CDLIS even if the driver was not a CDL-holder at the time of the citation.

10.2.2.3.2 Driver is Convicted of an Offense in a CMV

When the driver holds a base license issued by another jurisdiction and the driver is convicted of an offense requiring a CDL, the SOW must send the withdrawal and underlying conviction to the licensing jurisdiction (SOR). The SOR must add the driver to CDLIS (see CDLIS System Specifications, CD07), post the out-of-state withdrawal and conviction(s), and take any necessary driver control actions, including the addition of a PDPS pointer (see PDPS documentation).

Note: If the SOR does not capture the SSN for non-commercial drivers, the driver will be added to CDLIS using a substitute SSN of '999-99-9999'. If the driver's actual SSN is discovered, the SOR can update the record to show the actual SSN (see CD09 in the CDLIS System Specifications, and "APPENDIX B – SUBSTITUTE AND PSEUDO SOCIAL SECURITY NUMBERS" in this document). The only reason to use a SSN of all nines ("999-99-9999") is to indicate that a non-CDL driver has been convicted of a CMV violation and no SSN was provided.

10.2.2.4 Driver with No License

10.2.2.4.1 Driver is not Convicted of an Offense in a Commercial Motor Vehicle (CMV)

When the driver

- does not present any license at the time of the citation
- is convicted of an offense not requiring a CDL and
- is not determined to be an in-state driver,

CDLIS rules do not apply and the withdrawing jurisdiction normally would not use any CDLIS transactions to report the withdrawal. The withdrawing jurisdiction's procedures dictate the actions to take in this case. Depending on any driver control actions taken, the withdrawing jurisdiction may be required to add a pointer to PDPS (see PDPS documentation for details).

10.2.2.4.2 Driver is Convicted of an Offense in a CMV

When the driver

- does not present any license at the time of citation
- is convicted of an offense requiring a CDL and
- has an existing MPR owned by another jurisdiction,

the SOW must notify the SOR either with the Report Out-of-State Withdrawal transaction to the CDLIS Central Site (see CDLIS System Specifications) or by mail (see "APPENDIX C –CONDUCTING SELECTED CDLIS TRANSACTIONS BY MAIL" for rules, procedures, and forms for mailing OOS withdrawals). For the electronic transaction, the CDLIS Central Site will forward the withdrawal and any underlying convictions to the driver's current SOR. If required, the SOW must also add a pointer to PDPS (see PDPS documentation).

Note: Jurisdictions are reminded that out-of-state withdrawals must be transmitted either electronically (via the Report Out-of-State Withdrawal (HW) message) or with a paper copy but not both. The SOW must maintain the original record of the withdrawal for as long as the withdrawal must be retained on the CDLIS DHR. If a paper copy is sent to the SOR, it must include all the information required for the electronic transmission via CDLIS (see "APPENDIX C –CONDUCTING SELECTED CDLIS TRANSACTIONS BY MAIL"). The SOR will populate these fields in the CDLIS DHR for future electronic transmission.

10.3 THE SOW NEGATES A WITHDRAWAL

If the information on a withdrawal is incorrect, if the withdrawal is reversed, or if the reinstatement date is to be added, the SOW must send a withdrawal negation and the SOR must remove the withdrawal from the driver's record and reevaluate any driver control actions taken.

10.3.1 SOW Is the Current SOR

If the withdrawing jurisdiction (the SOW) is the same as the jurisdiction that owns the MPR and DHR (the SOR), the SOR removes the withdrawal from the driver's record and reevaluates any driver control actions taken (including removal of any PDPS pointers, if applicable).

10.3.2 SOW Is not the Current SOR

In the following sections are procedures to negate a withdrawal when the SOW does not own the MPR for the driver.

10.3.2.1 CDL Issued by Another Jurisdiction

If the withdrawing jurisdiction is not the same as the licensing jurisdiction, the withdrawing jurisdiction must submit a Verification Inquiry (see CDLIS System Specifications) or Search Inquiry (see CDLIS System Specifications) and

review the response to ensure the correct driver is identified before the information on the withdrawal to be negated is sent.

After verifying the driver identified on the Verification or Search Inquiry, the SOW must notify the SOR by sending the Negate Out-of-State Withdrawal either via the electronic transaction to the CDLIS Central Site (see CDLIS System Specifications) or by mail (see "APPENDIX C –CONDUCTING SELECTED CDLIS TRANSACTIONS BY MAIL" for rules, procedures, and forms to mail withdrawal negations). For the electronic transaction, the CDLIS Central Site receives, validates, and forwards the withdrawal negation to the driver's current SOR.

Note: Jurisdictions are reminded that out-of-state withdrawal negations must be transmitted either electronically (via the Negate Out-of-State Withdrawal transaction) or with a paper copy but not both. An out-of-state withdrawal negation must not be sent more than once unless the original withdrawal negation was returned with errors.

If the SOR cannot process the out-of-state withdrawal negation for either of the following reasons:

- Error(s) in the data received
- Withdrawal to be negated not on the SOR's database

The message will be returned to the SOW via the CDLIS Central Site. The SOW is responsible for ensuring the SOR receives the withdrawal negation with sufficient information for removal from the driver's record.

When a withdrawal negation is received without errors, it is the responsibility of the SOR to remove the withdrawal from the driver's record and reevaluate any driver control actions taken (including removal of any PDPS pointers, if applicable).

If a jurisdiction is unable to send withdrawal negations on Mexican drivers electronically (FMCSA has a strong preference for electronic transmission), the following mailing address must be used:

FMCSA
P.O. Box 21080
Floral Park, NY 11002-1080

10.3.2.2 Driver is not a CDL Holder

10.3.2.1.1 Driver Is Not Withdrawn for a Conviction of an Offense in a Commercial Motor Vehicle (CMV)

If the driver does not possess a CDL and was convicted of an offense not requiring a CDL, jurisdiction procedures dictate the actions to take regarding a withdrawal. This action will not include any CDLIS transactions but, depending on any driver control actions taken, may require removal of a pointer from PDPS (see PDPS documentation for details).

10.3.2.1.2 Driver is Withdrawn for a Conviction of an Offense in a CMV

If the driver does not possess a CDL but was withdrawn for a conviction of an offense requiring a CDL, the SOW must send the withdrawal negation to the licensing jurisdiction (SOR). The SOR must remove the withdrawal, and if any underlying conviction is negated, reevaluate any driver control actions taken (including removal of any PDPS pointers, if applicable). If a negated underlying conviction was the only reason for the addition of the driver to CDLIS, the SOR must initiate a Delete Master Pointer Record transaction (see CDLIS System Specifications).

10.4 OUT-OF-STATE WITHDRAWAL AND WITHDRAWAL NEGATION SCENARIOS

The following scenarios illustrate important rules and procedures for issuing a withdrawal in complicated cases. CDLIS stakeholders have selected these scenarios on the basis of questions from the jurisdictions during the last few years. These scenarios illustrate the administrative and CDLIS procedures that jurisdictions will follow under various conditions to comply with 49 CFR §384.208.

10.4.1 Out-of-State Withdrawal Scenarios

These scenarios illustrate the administrative and CDLIS procedures for out-of-state and in-state withdrawals resulting from out-of-state convictions.

49 CFR §384.208 "Notification of disqualification" reads as follows:

- (a) *No later than 10 days after disqualifying a CDL holder licensed by another State, or revoking, suspending, or canceling an out-of-State CDL holder's privilege to operate a commercial motor vehicle for at least 60 days, the State must notify the State that issued the license of the disqualification, revocation, suspension, or cancellation.*
- (b) *The notification must include both the disqualification and the violation that resulted in the disqualification, revocation, suspension, or cancellation. The notification and the information it provides must be recorded on the driver's record.*

The federal regulation does not require an SOC/SOW to take an internal withdrawal, however if a SOC/SOW takes an internal withdrawal and the withdrawal period is permanent, for an indefinite period of for at least 60 days, the SOC/SOW must report the withdrawal to the SOR. Both the SOC/SOW and SOR are subject to federal regulations regarding data retention periods. The recommended manner of sending these messages is electronically, using CDLIS. For withdrawals with an effective date on or after November 1, 2005, withdrawal transactions must identify all convictions that caused the withdrawal. All SOR withdrawals apply across North America (US, Canada, and Mexico).

Note the following:

- Jurisdictions are not required to send withdrawals based on non-ACD convictions, i.e. 'W00-code' withdrawals.
- See the ACD Manual for data retention requirements for withdrawals and underlying convictions.
- Additional scenarios for calculating withdrawals based on multiple convictions of offenses listed in Table 2 to 49 CFR §383.51 ('Serious' violations) are available on the AAMVA training portal.

Withdrawal Scenario 1. Withdrawal Referencing a Single Disqualifying Conviction:

1. The SOC/SOW
 - a. convicts a CDL holder for DUI in a CMV (a "major" CDL-type violation),
2. posts the conviction to its database, and
3. sends the conviction information to the SOR in a "Report Out-of-State Conviction" transaction.
4. In accordance with its own laws and rules, the SOC/SOW
 - a. withdraws the driver from driving within the SOC/SOW for at least 1 year,
 - b. posts the withdrawal to its database, and
 - c. sends the OOS withdrawal and underlying 'A04' "major" conviction in a "Report Out-of-State Withdrawal" transaction, as required by 49 CFR §384.208 in this case.
5. The SOR
 - a. records the SOC/SOW conviction,
 - b. takes and records its own 1-year (minimum) withdrawal based on the SOC/SOW conviction, and
 - c. records the SOC/SOW 1-year (minimum) in-state withdrawal based on the SOC/SOW conviction.

Driver's record after various steps:

In SOC/SOW after Step 1:

| |
|--------------------|
| Convictions |
| A04 |

In SOC/SOW after Step 2:

| Convictions | Withdrawals | Underlying Conviction(s) |
|-------------|-------------|--------------------------|
| A04 | A04 | A04 |

In DHR maintained by the SOR after Step 3:

| Convictions | Withdrawals | Underlying Conviction(s) |
|-------------|--------------------|--------------------------|
| A04 | A04 (in-state) | A04 |
| | A04 (out-of-state) | A04 |

See the ACD Manual for data retention requirements for the 'A04' "major" conviction and withdrawals.

Withdrawal Scenario 2. Withdrawal Referencing Multiple Disqualifying Convictions:

1. The SOC/SOW1
 - a. convicts a CDL holder for DUI in a CMV (a "major" CDL-type violation),
 - b. posts the conviction to its database,
 - c. sends the conviction information to the SOR in a "Report Out-of-State Conviction" transaction,
 - d. withdraws the driver from driving within the SOC/SOW1 for 1- year (minimum), in accordance with its own laws and rules,
 - e. posts the withdrawal to its database, and
 - f. sends the DUI conviction and the resulting 1-year (minimum) in-state withdrawal to the SOR, as required by 49 CFR §384.208 in this case.
2. The SOR
 - a. records the SOC/SOW1 conviction
 - b. takes and records its own 1-year (minimum) withdrawal based on the SOC/SOW1 conviction
 - c. records the SOC/SOW1 1-year in-state (minimum) withdrawal based on the SOC/SOW1 conviction.
3. Six months after the driver is reinstated, a different SOC (SOC/SOW2)
 - a. convicts the same driver for DUI in a CMV,
 - b. takes an in-state, 1-year (minimum) withdrawal action, in accordance with its own laws,
 - c. sends the SOC/SOW2 conviction and the in-state 1-year (minimum) withdrawal to the SOR.
4. The SOR
 - a. records the SOC/SOW2 conviction,
 - b. takes its own lifetime withdrawal based on convictions from SOC/SOW1 and SOC2, since the conviction from SOC/SOW2 is the second "major" conviction
 - c. records the SOC/SOW2 1-year (minimum) in-state withdrawal based on the conviction from SOC2.
5. 10 years after the withdrawal effective date, the SOR reinstates the SOR lifetime withdrawal (this assumes the driver 'voluntarily entered and successfully completed an appropriate rehabilitation program approved by the State' [49 CFR §383.51(a)(5)]).
6. Six months later, a different SOC (SOC3)
 - a. convicts the same driver for DUI in a CMV,
 - b. takes a 1-year (minimum) in-state withdrawal action, in accordance with its own laws, and
 - c. sends the conviction and the 1-year (minimum) in-state withdrawal to the SOR
7. The SOR
 - a. records the SOC3 conviction,
 - b. takes a lifetime withdrawal action based on convictions from SOC1, SOC/SOW2, and SOC3 for

life with no chance for reinstatement, since the SOC3 conviction is the first "major" conviction after reinstatement of a lifetime withdrawal

- c. records the SOC3 1-year (minimum) in-state withdrawal

Driver's record after various steps:

In SOC/SOW1, after 1.b.:

| Convictions |
|-------------|
| A04 |

In the SOC/SOW1, after 1.e.:

| Convictions | Withdrawals | Underlying Conviction(s) |
|-------------|-------------|--------------------------|
| A04 | A04 | A04 |

In SOR, after step 2:

| Convictions | Withdrawals | Underlying Conviction(s) |
|-------------|--------------------|--------------------------|
| A04 | A04 (in-state) | A04 |
| | A04 (out-of-state) | A04 |

In SOC/SOW2, after step 3:

| Convictions | Withdrawals | Underlying Conviction(s) |
|-------------|-------------|--------------------------|
| A08 | A08 | A08 |

In SOR, after step 4:

| Convictions | Withdrawals | Underlying Conviction(s) |
|-------------|--------------------|--------------------------|
| A04 | A04 (in-state) | A04 |
| A08 | A04 (out-of-state) | A04 |
| | W40 (in-state) | A04, A08 |
| | A08 (out-of-state) | A08 |

In SOC/SOW3, after step 6:

| Convictions | Withdrawals | Underlying Conviction(s) | Conviction ACD Detail |
|-------------|-------------|--------------------------|-----------------------|
| A11 | A11 | A11 | 05000 |

In SOR, after step 7:

| Convictions | Withdrawals | Underlying Conviction(s) | Conviction ACD Detail |
|-------------|--------------------|--------------------------|-----------------------|
| A04 | A04 (in-state) | A04 | |
| A08 | A04 (out-of-state) | A04 | |
| A11 | W40 (in-state) | A04, A08 | |
| | A08 (out-of-state) | A08 | |
| | W41 (in-state) | A04, A08, A11 | |
| | A11 (out-of-state) | A11 | 05000 |

See the ACD Manual for data retention requirements for convictions and withdrawals.

Withdrawal Scenario 3. Withdrawal Referencing Multiple Convictions - Admin Per Se:

1. A CDL holder driving a CMV is tested for alcohol and the BAC is .05. Independent of any court adjudication of the violation, in a subsequent administrative action, the SOC/SOW SDLA
 - a. assesses a 1-year (minimum) "admin per se" in-state withdrawal of the driver,
 - b. posts the admin per se action to its database,
 - c. sends the admin per se action as a conviction (ACD conviction code = A94, BAC .04) to the SOR, and
 - d. sends a 1-year (minimum) in-state withdrawal (ACD withdrawal code = A94) to the SOR.
2. The SOR
 - a. records the SOC/SOW conviction,
 - b. takes a 1-year (minimum) withdrawal based on the SOC/SOW conviction, and
 - c. records the SOC/SOW 1-year (minimum) in-state withdrawal based on the SOC/SOW conviction.
3. After serving the withdrawal period, the SOR reinstates the driver's license.
4. Five years after the action, the driver is tested for alcohol and the BAC is .06 in the same SOC. Independent of any court adjudication of the violation, in the subsequent administrative action, the SOC/SOW SDLA
 - a. assesses a second 1-year (minimum) "admin per se" in-state withdrawal of the driver,
 - b. posts the second 1-year (minimum) admin per se action to its database, and
 - c. sends the second withdrawal and the second admin per se action as a conviction (ACD code = A94) to the SOR.
5. The SOR
 - a. records the second SOC/SOW conviction,
 - b. records the second SOC/SOW 1-year (minimum) in-state withdrawal, and
 - c. assesses a lifetime in-state withdrawal action (ACD Withdrawal Code = W40*) based on the two "major" convictions.
6. The SOC/SOW
 - a. assesses a lifetime OOS withdrawal and
 - b. sends the lifetime withdrawal to the SOR.
7. The SOR records the SOC/SOW lifetime withdrawal.

*W40: "The accumulation of two 'major' violations" is an ACD Code implemented with the MCSIA changes, which is only used when a disqualification is mandated in Table 1 to 49 CFR §383.51.

All jurisdictions do not handle withdrawals for the second conviction in the same way. Some jurisdictions would not take a second 1-year (minimum) withdrawal in this case; they would just take a lifetime withdrawal. Jurisdictions that take both a 1-year (minimum) withdrawal and a lifetime withdrawal do so in case the first conviction is overturned. If the first conviction is overturned, they delete the lifetime withdrawal, leaving the 1-year withdrawal for the second conviction in effect.

Driver's record after various steps:

In SOC/SOW1, after step 1:

| Convictions | Withdrawals | Underlying Conviction(s) |
|-------------|--------------------|--------------------------|
| A94 (first) | A94 (out-of-state) | A94 (first) |

In SOR, after step 2:

| Convictions | Withdrawals | Underlying Conviction(s) |
|-------------|--------------------|--------------------------|
| A94 (first) | A94 (out-of-state) | A94 (first) |
| | A94 (in-state) | A94 (first) |

In SOC/SOW, after step 4:

| Convictions | Withdrawals | Underlying Conviction(s) |
|--------------|--------------------|--------------------------|
| A94 (first) | A94 (out-of-state) | A94 (first) |
| A94 (second) | A94 (out-of-state) | A94 (second) |

In SOR, after step 5:

| Convictions | Withdrawals | Underlying Conviction(s) |
|--------------|--------------------|---------------------------|
| A94 (first) | A94 (out-of-state) | A94 (first) |
| A94 (second) | A94 (out-of-state) | A94 (second) |
| | A94 (in-state) | A94 (first) |
| | A94 (in-state) | A94 (second) |
| | W40 (in-state) | A94 (first), A94 (second) |

In SOC/SOW, after step 6:

| Convictions | Withdrawals | Underlying Conviction(s) |
|--------------|--------------------|---------------------------|
| A94 (first) | A94 (out-of-state) | A94 (first) |
| A94 (second) | A94 (out-of-state) | A94 (second) |
| | W40 (out-of-state) | A94 (first), A94 (second) |

In SOR, after step 7:

| Convictions | Withdrawals | Underlying Conviction(s) |
|--------------|--------------------|---------------------------|
| A94 (first) | A94 (out-of-state) | A94 (first) |
| A94 (second) | A94 (out-of-state) | A94 (second) |
| | W40 (out-of-state) | A94 (first), A94 (second) |
| | A94 (in-state) | A94 (first) |
| | A94 (in-state) | A94 (second) |
| | W40 (in-state) | A94 (first), A94 (second) |

See the ACD Manual for data retention requirements for convictions and withdrawals.

Withdrawal Scenario 4. Withdrawal Referencing Multiple Convictions - Implied Consent:

In this scenario, the SOC/SOW has an implied consent law that conforms to federal law listing refusal to take an alcohol test as a "major" violation, per 383.51 Table 1 and 384.203.

1. An out-of-state CDL holder operating a CMV refuses to consent to an alcohol test and in a subsequent administrative action the SOC/SOW
 - a. assesses a 1-year (minimum) in-state withdrawal,
 - b. posts the test refusal to its database,
 - c. sends the test refusal as a conviction (ACD conviction code = A12, refusal of alcohol test) to the SOR, and
 - d. sends the 1-year (minimum) in-state withdrawal (ACD withdrawal code = A12) to the SOR
2. The SOR
 - a. records the SOC/SOW conviction,
 - b. takes a 1-year (minimum) withdrawal based on the SOC/SOW conviction, and
 - c. records the SOC/SOW 1-year (minimum) in-state withdrawal based on the SOC/SOW conviction.
3. After the driver serves the withdrawal period, the SOR reinstates the driver's license.
4. Five years after the first violation, the driver is operating a CMV in the same SOC/SOW and, for the second time, refuses to take an alcohol test. The SOC/SOW
 - a. posts the second test refusal to its database,
 - b. sends the test refusal as a conviction (ACD conviction code = A12) to the SOR,
 - c. records in its database a lifetime in-state withdrawal action for the second test refusal
 - d. sends the lifetime in-state withdrawal (ACD Withdrawal Code = W40*) to the SOR
5. The SOR
 - a. records the second SOC/SOW conviction,
 - b. takes a lifetime withdrawal based on the two SOC/SOW convictions,
 - c. records the SOC/SOW lifetime in-state withdrawal based on the two refusal convictions

W40: "The accumulation of two 'major' violations" is an ACD Code implemented with the MCSIA changes, which is only used when a disqualification is mandated in Table 1 to 49 CFR §383.51.

Driver's record in SOC/SOW, after step 1:

| Convictions | Withdrawals | Underlying Conviction(s) |
|-------------|--------------------|--------------------------|
| A12 (first) | A12 (out-of-state) | A12 (first) |

Driver's record in SOR, after step 2:

| Convictions | Withdrawals | Underlying Conviction(s) |
|-------------|--------------------|--------------------------|
| A12 | A12 (in-state) | A12 (first) |
| | A12 (out-of-state) | A12 (first) |

Note: All jurisdictions do not handle withdrawals for the second conviction in the same way. Some jurisdictions would not take a second 1-year (minimum) withdrawal in this case; they would just take a lifetime withdrawal. Jurisdictions that take both a 1-year (minimum) withdrawal and a lifetime withdrawal do so in case the first conviction is overturned. If the either conviction is overturned, they delete the lifetime withdrawal, leaving the 1-year (minimum) withdrawal for the remaining conviction in effect.

Driver’s record in SOC/SOW, after step 4:

| Convictions | Withdrawals | Underlying Conviction(s) |
|--------------|--------------------|---------------------------|
| A12 (first) | A12 (out-of-state) | A12 (first) |
| A12 (second) | A12 (out-of-state) | A12 (first) |
| | W40 (out-of-state) | A12 (first), A12 (second) |

Driver’s record in SOR, after step 5:

| Convictions | Withdrawals | Underlying Conviction(s) |
|--------------|--------------------|---------------------------|
| A12 (first) | A12 (out-of-state) | A12 (first) |
| A12 (second) | A12 (out-of-state) | A12 (first) |
| | W40 (out-of-state) | A12 (first), A12 (second) |
| | A12 (in-state) | A12 (first) |
| | A12 (in-state) | A12 (first) |
| | W40 (in-state) | A12 (first), A12 (second) |

See the ACD Manual for data retention requirements for convictions and withdrawals.

Withdrawal Scenario 5. Withdrawal Referencing Multiple Convictions - Accumulation of Points:

In this scenario, the SOC/SOW has a point system for convictions. The CDL-holder operating a CMV gets four minor convictions (e.g. E54-Failure to use headlight dimmer as required) in four incidents in 1 year, none of which are federally mandated violations

1. The SOC/SOW
 - a. convicts the CDL holder of a minor offense that is not in any federal category of offenses requiring a disqualification and
 - b. sends conviction 1 to the SOR.
2. The SOR
 - a. records the SOC/SOW conviction 1,
 - b. examines the conviction as if it occurred in the SOR,
 - c. uses SOR jurisdiction law to determine whether the driver should be withdrawn, and
 - d. If the SOR decides to take a withdrawal, the withdrawal would be based on the SOC/SOW conviction 1.
3. The SOC/SOW

- a. convicts the CDL holder of a second minor offense that is not in any federal category of offenses requiring a disqualification and
- b. sends conviction 2 to the SOR
4. The SOR
 - a. records the SOC/SOW conviction 2,
 - b. examines the conviction as if it occurred in the SOR,
 - c. uses SOR jurisdiction law to determine whether the driver should be withdrawn, and
 - d. If the SOR decides to take a withdrawal, the withdrawal might be based on the SOC/SOW conviction 1, SOC/SOW conviction 2 or on both conviction 1 and 2.
5. The SOC/SOW
 - a. convicts the CDL holder of a third minor offense that is not in any federal category of offenses requiring a disqualification and
 - b. sends conviction 3 to the SOR.
6. The SOR
 - a. records the SOC/SOW conviction 3,
 - b. examines the conviction as if it occurred in the SOR,
 - c. uses SOR jurisdiction law to determine whether the driver should be withdrawn, and
 - d. If the SOR decides to take a withdrawal, the withdrawal might be based on the SOC/SOW conviction 1, SOC/SOW conviction 2, SOC/SOW conviction 3, or on a combination of the convictions.
7. The SOC/SOW
 - a. convicts the CDL holder of a fourth minor offense that is not in any federal category of offenses requiring a disqualification and
 - b. sends conviction 4 to the SOR
8. The SOR
 - a. records the SOC/SOW conviction 4,
 - b. examines the conviction as if it occurred in the SOR,
 - c. uses SOR jurisdiction law to determine whether the driver should be withdrawn, and
 - d. If the SOR decides to take a withdrawal, the withdrawal might be based on the SOC/SOW conviction 1, SOC/SOW conviction 2, SOC/SOW conviction 3, and conviction 4 or on a combination of the convictions.
9. Because the four convictions result in the accumulation of points past the SOC's threshold for action, the SOC/SOW
 - a. assesses a 90-day withdrawal on the driver for accumulation of points
 - b. sends the withdrawal to the SOR (ACD Withdrawal Code = W01), identifying the four underlying convictions that are the reasons for the withdrawal
10. The SOR records the SOC/SOW 90 day in-state withdrawal based on the 4 SOC/SOW convictions.

Note: Since no federally mandated violations are involved in the "Accumulation Of Points" scenario, each jurisdiction follows the DLC, NRVC, and DLA in assessing any withdrawal. Federally mandated data retention requirements for the convictions and withdrawals are followed.

Driver's record in SOC/SOW, after step 7:

| Convictions | Withdrawals | Underlying Conviction(s) |
|-------------|-------------|--------------------------|
| E54 | | |
| E54 | | |
| E54 | | |
| E54 | | |

Driver’s record in SOR, after step 8:

| Convictions | Withdrawals | Underlying Conviction(s) |
|-------------|-------------|--------------------------|
| E54 | | |
| E54 | | |
| E54 | | |
| E54 | | |

Driver’s record in SOC/SOW, after step 9:

| Convictions | Withdrawals | Underlying Conviction(s) |
|--------------|--------------------|--|
| E54 (first) | W01 (out-of-state) | E54 (first), E54 (second), E54 (third), E54 (fourth) |
| E54 (second) | | |
| E54 (third) | | |
| E54 (fourth) | | |

Driver’s record in SOR, after step 10:

| Convictions | Withdrawals | Underlying Conviction(s) |
|--------------|--------------------|--|
| E54 (first) | W01 (out-of-state) | E54 (first), E54 (second), E54 (third), E54 (fourth) |
| E54 (second) | | |
| E54 (third) | | |
| E54 (fourth) | | |

See the ACD Manual for data retention requirements for convictions and withdrawals.

Withdrawal Scenario 6. Withdrawal Referencing an FTA:

In the following scenario, a CDL holder fails to appear in court for a charge of “Driving under the influence of alcohol” (DUI) and is withdrawn.

Note the following:

- Although NRVC jurisdictions send an NRVC paper form to the SOR and do not take an out-of-state withdrawal, those SOR responsibilities noted below, still apply.
- When an SOR receives an FTA/FTP conviction, whether it receives an NRVC paper form or the Report Out-of-State Conviction message, the SOR must take the action it would take if the FTA occurred within the SOR.

The SOR would take similar action in an FTP or FTC scenario as it does in this FTA scenario.

1. A driver does not appear in court to deal with a citation he/she received for DUI (Driving under the Influence of Alcohol). The SOC/SOW
 - a. convicts the driver of a failure to appear,
 - b. posts the failure to appear to its database, and
 - c. sends a Report Out-of-State Conviction (HA) message to the SOR with the Conviction ACD Code set to "D45" (Failure to appear for trial or court appearance.) and the ACD Detail Code set to the

ACD conviction code "A21" (Driving under the influence of alcohol), to indicate the underlying violation.

Note: If the SOC is a member of DLA, the Conviction ACD Code could be "D56" (Failure to answer a citation, pay fines, penalties and/or costs related to the original violation.)

2. The SOR
 - a. records the out-of-state FTA conviction and
 - b. because it takes an indefinite withdrawal for an in-state FTA, the SOR takes an indefinite withdrawal for the out-of-state FTA conviction.

Note: The "FTA conviction" is a conviction for Failure To Appear, not a conviction for DUI.

3. As required by its laws, the SOC/SOW
 - a. withdraws the driver indefinitely from driving within the SOC/SOW,
 - b. posts the withdrawal to its database, and
 - c. sends the withdrawal in a "Report Out-of-State Withdrawal" transaction

Note: The withdrawal identifies the FTA as the reason for the withdrawal (i.e., the withdrawal reason code value equals "D56") and the withdrawal is linked to the underlying conviction of the FTA (i.e., the conviction ACD code is "D56") and the conviction identifies the underlying citation (i.e., the ACD Detail field is "A__")

4. The SOR records the SOC/SOW indefinite in-state withdrawal.

Driver's record in SOC/SOW, after step 1:

| Convictions | Withdrawals | Underlying Conviction(s) | Conviction ACD Detail |
|-------------|-------------|--------------------------|-----------------------|
| D45 | | | A21 |

Driver's record in SOR, after step 2:

| Convictions | Withdrawals | Underlying Conviction(s) | Conviction ACD Detail |
|-------------|----------------|--------------------------|-----------------------|
| D45 | D45 (in-state) | D45 | A21 |

Driver's record in SOC/SOW, after step 3:

| Convictions | Withdrawals | Underlying Conviction(s) | Conviction ACD Detail |
|-------------|--------------------|--------------------------|-----------------------|
| D45 | D45 (out-of-state) | D45 | A21 |

Driver's record in SOR, after step 4:

| Convictions | Withdrawals | Underlying Conviction(s) | Conviction ACD Detail |
|-------------|--------------------|--------------------------|-----------------------|
| D45 | D45 (in-state) | D45 | A21 |
| | D45 (out-of-state) | D45 | A21 |

See the ACD Manual for data retention requirements for convictions and withdrawals.

Withdrawal Scenario 7. Withdrawal Referencing Multiple Convictions not on the Driver History Record:

In this scenario, a driver has a non-CDL in the SOR and the SOC convicts the driver of 3 non-CDL speeding

violations, which were not sent to the SOR. (**Note:** Typically, the convictions would have been sent to SOR because of compacts and reciprocity, but for this scenario, the convictions were not sent). Then the driver obtains a CDL in the SOR.

1. The SOC

- a. convicts the driver of non-CDL speeding for the 4th time in SOC (the assumption here is that SOC/SOW knows that the driver has a CDL, based on the Citation CDL Holder Indicator marked on the citation),
- b. sends the conviction to the SOR,
- c. withdraws the driver from driving within the SOC/SOW for 90 days for points and posts the withdrawal to its database (ACD Withdrawal Reason Code = ‘W01’), and
- d. sends the ‘W01’ withdrawal to the SOR, identifying the 4 convictions that led to the SOC/SOW withdrawal, as required by federal regulations

2. The SOR

- a. records the 4th SOC/SOW conviction for non-CDL speeding,
- b. records the SOC/SOW 90-day ‘W01’ withdrawal of the out-of-state driver, based on the 4 SOC/SOW convictions,
- c. checks and notes that the other three convictions are missing from the CDLIS DHR, so the SOR adds the convictions, using data sent in the "Report Out-of-State Withdrawal" transaction,
- d. determines whether a withdrawal is required by its own laws, and
- e. if it takes a withdrawal, records the in-state ‘W01’ withdrawal in its database, linking the withdrawal to the four underlying convictions.

Driver’s record in SOC/SOW, after step 1:

| Convictions | Withdrawals | Underlying Conviction(s) |
|-------------|-------------|-------------------------------------|
| S10 (1) | W01 | S10 (1), S10 (2), S10 (3), S10 (4), |
| S10 (2) | | |
| S10 (3) | | |
| S10 (4) | | |

Driver’s record in SOR, after step 2:

| Convictions | Withdrawals | Underlying Conviction(s) |
|-------------|--------------------|-------------------------------------|
| S10 (1) | W01 (out-of-state) | S10 (1), S10 (2), S10 (3), S10 (4), |
| S10 (2) | W01 (in-state) | S10 (1), S10 (2), S10 (3), S10 (4), |
| S10 (3) | | |
| S10 (4) | | |

See the ACD Manual for data retention requirements for convictions and withdrawals.

10.4.2 Negate Withdrawal Scenarios

The following scenarios are examples of withdrawal negations. The negate withdrawal scenarios in this section correspond to withdrawal scenarios in Section 10.4.1 Out-of-State Withdrawal Scenarios.

Note: The Negate Out-of-State Withdrawal transaction only negates the withdrawal and associated links to underlying convictions. It does not negate the actual underlying convictions. Prior to the withdrawal negation, if

underlying convictions are to be negated, the SOC/SOW must negate those underlying convictions via the Negate Out-of-State Conviction transaction.

Withdrawal Negation Scenario 1. Withdrawal Negation Referencing a Negation of a Single Disqualifying Conviction (from Scenario 1 in the withdrawal scenarios):

In Withdrawal Scenario 1, the SOR was required to retain the out-of-state conviction, the out-of-state withdrawal and the in-state withdrawal. In this scenario, six months after all the steps in Withdrawal Scenario 1 have been completed, the out-of-state disqualifying conviction in the SOC/SOW is overturned.

1. When the conviction is overturned, the SOC/SOW
 - a. Negates the conviction in its own database,
 - b. Sends the negation information for the conviction to the SOR in a "Negate Out-of-State Conviction" transaction within 10 days of the negation,
 - c. Negates the withdrawal in its own database, and
 - d. Sends the negation information for the withdrawal to the SOR in a "Negate Out-of-State Withdrawal" transaction within 10 days of negating the internal withdrawal.
2. If no errors have occurred in the negate transactions, the SOR
 - a. Negates the out-of-state conviction,
 - b. Negates the out-of-state withdrawal and its linkage,
 - c. Rescinds the in-state withdrawal, based on the conviction negation from the SOC, and
 - d. Negates the in-state withdrawal from the CDLIS DHR.

The driver's record at the SOC, at the end of step 1 would show no convictions and no withdrawals, and the driver's record at the SOW would show no conviction from the SOC and would not show either the SOC/SOW's out-of-state withdrawal or the SOR's withdrawal.

Note: The SOR must maintain conviction negation and withdrawal negation information (on paper or in its internal database) for subsequent audit by FMCSA compliance reviewers. The SOC is required to retain the original record of the conviction negation and withdrawal negation.

Withdrawal Negation Scenario 2. Withdrawal Negation Referencing One Negation of Multiple Disqualifying Convictions (from Withdrawal Scenario 2):

In Withdrawal Scenario 2, after the second conviction has been received from SOC2 and prior to the reinstatement of the lifetime withdrawal and the receipt of the third conviction the SOR is retaining the following:

- The SOC1 conviction
- SOR 1-year (minimum) withdrawal based on the SOC1 conviction
- SOC2 conviction
- SOC2 1-year (minimum) in-state withdrawal
- SOR lifetime withdrawal based on the convictions from SOC1 and SOC2

In this scenario, the first conviction is overturned and

1. One month after the conviction and withdrawal from SOC2 has been received the Out-of-State Disqualifying Conviction in SOC1 is overturned. The SOC1
 - a. Negates the Conviction from its records,
 - b. Sends a "Negate Out-Of-State Conviction" message for the DUI,
 - c. Negates the withdrawal from its records, and
 - d. Sends a "Negate Out-Of-State Withdrawal" message for the SOC1 in-state withdrawal based on the SOC1 conviction
2. When the SOR receives the negate conviction, the SOR
 - a. Negates the SOC1 conviction from the CDLIS DHR,
 - b. Negates the SOC1 1-year (minimum) in-state withdrawal from the CDLIS DHR,

- c. Negates the SOR 1-year (minimum) withdrawal based on the SOC1 conviction,
- d. Negates the SOR lifetime withdrawal based on the combined convictions from SOC1 and SOC2,
- e. Notifies the driver that he/she no longer has a lifetime withdrawal on their record, and
- f. Assesses a 1-year (minimum) withdrawal based on the SOC2 conviction

The Driver's history in the SOC1 would be blank, and the driver's history at the SOR would not show the negated convictions and withdrawals.

Note the following:

- The SOR must maintain conviction negation and withdrawal negation information (on paper or in its internal database) for subsequent audit by FMCSA compliance reviewers. The SOC is required to retain the original record of the conviction negation and withdrawal negation.
- If the conviction in SOC2 is later overturned, the steps in Withdrawal Negation Scenario 1 (Negation of a single disqualifying conviction) are followed.

Withdrawal Negation Scenario 3. Negation of a Withdrawal Referencing a Compliance with an FTA (from Withdrawal Scenario 6):

In Withdrawal Scenario 6, the SOR was required to:

- Retain the SOC/SOW conviction
- Retain the SOC/SOW indefinite withdrawal
- Retain the SOR indefinite withdrawal

In this scenario, 2 months after all the steps in Withdrawal Scenario 6 have been completed, the driver appears for the citation and clears the FTA at the SOC.

1. When the driver clears the FTA, the SOC/SOW is not required to send a Negate Out-of-State Conviction message nor a Negate Out-of-State Withdrawal message to the SOR. The SOC/SOW:
 - a. Reinstates the OOS withdrawal and
 - b. Provides the driver with proof of the compliance.
2. When the driver offers the proof of compliance to the SOR and pays the reinstatement fee, if applicable, the SOR
 - a. Reinstates the driver and
 - b. Updates the CDLIS DHR with the reinstatement date for the SOR's withdrawal.

The Driver's history would look the same in the SOC/SOW and the SOR, except that the withdrawals would have an updated reinstatement date.

11 EMPLOYER PROCEDURES WHEN HIRING A DRIVER

The Commercial Motor Vehicle Safety Act of 1986, states "Employers are prohibited from knowingly allowing a driver with multiple licenses to operate company vehicles". The Employer Inquiry transaction (see CDLIS System Specifications, CD06) provides a way for the employers to check a driver and ensure compliance with the law.

A third-party provider on behalf of an employer seeking to conduct a background check on an applicant originates the Employer Inquiry transaction. The transaction's purpose is to locate for the employer the state that holds the applicant's CDLIS DHR (*i.e.*, the State of Record [SOR]). If the third-party provider has access to jurisdiction driver histories, it may retrieve the appropriate CDLIS DHR based on the results of the CDLIS search, or the employer may take the results of the search and contact the SOR on its own to obtain more detailed information about a driver. The Employer Inquiry transaction does not provide direct access to a jurisdiction's driver history data.

APPENDIX A – GLOSSARY

This glossary defines acronyms and terms used in this document or related CDLIS documentation that have a special meaning in CDLIS.

10-Year History Check

Before extending the expiration date of a CDL, the SOR must request the driver history from every jurisdiction that has issued a license to operate any type of vehicle to the individual during the last 10 years, as certified by the individual, unless the DHR indicates that jurisdiction has already responded to a previous 10-Year_History-Check for the time in question..

23 CFR 1327.5

Federal Regulations issued by the National Highway Traffic Safety Administration, NHTSA.

49 CFR §383-384

Federal Regulations issued by the Federal Motor Carrier Safety Administration, FMCSA.

96 Hour Report

Weekly Suspense Report; Listing of drivers in: Duplicate status, CSOR (new and old) pending that were not completed within the required timeframe, and changed to Unique status.

AAMVA

American Association of Motor Vehicle Administrators

AAMVA Code Dictionary (ACD)

Codes that are used to transmit driver conviction and withdrawal data from state-to-state.

AAMVA Operations Help Desk

A technical resource for assisting jurisdictions in problem resolution and implementation of AAMVA production applications.

AAMVAnet

The telecommunication network that electronically links all Motor Vehicle Departments, the CDLIS Central Site, the NDR, and other public and private sector authorized users.

AAMVAnet Message Interchange Envelope (AMIE)

The AMIE format is the standard for real-time Electronic Data Interchange (EDI) used by the AAMVA community.

ACD

The AAMVA Code Dictionary, the replacement for the ANSI D-20 Conviction/Withdrawal Codes, is a list of conviction and withdrawal codes and their descriptions.

ACD conviction

An AAMVA Code Dictionary conviction is an adjudication of guilt, as defined in FMCSA Policy Memorandum CDL-04-001, for a violation that is traffic-safety related and/or federally mandated, which therefore is listed in the version of the ACD that is current on the date the SOC reports the conviction.

ACD withdrawal

An AAMVA Code Dictionary withdrawal is a withdrawal for ACD convictions, which therefore is listed in

the version of the ACD that is current on the date that the withdrawal is assessed.

AGN

AT&T Global Network

AKA

Also Known As - AKA information is used to present historical identification information, such as prior name or prior Driver's License Number.

AMIE

AAMVAnet Message Interchange Envelope is the protocol (formatting rules) by which a CDLIS user defines the data elements in an AAMVAnet Standard Message.

ANSI

American National Standards Institute

ANSI D-20

A common set of coding instructions for data elements related to traffic record systems.

Batch File

A file of messages sorted into logical groups (batches), usually transmitted using Network Job Entry (NJE), magnetic tape or FTP, for handling through a scheduled batch process

Batch processing

Messages from a batch file are handled through a scheduled, usually nightly, job-oriented, batch process

Benchmarking

Benchmark hours represent the maximum number of hours the AAMVA tester can spend with a jurisdiction tester on that driver stream per round of test (Initial and End-to-End). This includes test execution, evaluating/documenting results, and retesting, but not the time the jurisdiction spends working on the driver stream without the AAMVA tester. Each driver stream is assigned a certain number of benchmark hours. Ensures that all jurisdictions have equitable access to AAMVA's testers.

Blood Alcohol Content (BAC)

Content of alcohol within the blood

Broken Pointer

A situation in which an MPR on the CDLIS Central Site does not have a matching DHR at the jurisdiction.

Call List

A Call List record is the layout of the group of data elements through which a UNI site's application programs supply information to and retrieve information from UNI. An application's specifications document defines the business function of this information. Depending on the UNI options selected, the call list data may be passed in files or queues. Call list(s) may be requested from the UNI Help Desk (see also Offset Report(s)).

Casual testing

Occurs before Structured testing; AAMVA verifies that messages are sent and received, but little data validation is done; a casual test plan is available for both MCSIA CDLIS and MCSIA PDPS DLNS; provides jurisdictions an opportunity to ask questions; optional but highly recommended.

CCMTA

The Canadian Council of Motor Transport Administrators is similar in program function to AAMVA, except the CCMTA focuses on Canadian issues.

CDID

The Commercial Driver Identifier on the Central File is the primary key to the database. Once a driver is added to CDLIS, he/she keeps the same CDID forever

CDL

Commercial Driver's License

CDLIS

Commercial Driver License Information System

CDLIS Central Site

The node on AAMVANet that maintains the CDLIS Master Pointer Records, processes a number of transactions between jurisdictions, and reports CDLIS activity to FMCSA.

CDLIS driver history record

The CDLIS driver history is the record of an individual's identification information, driver's license information (including information about any permits, endorsements, and restrictions), and history of convictions, accidents, and withdrawals that is maintained by the SOR and transmitted in a Change State of Record Transaction.

CDLIS Readiness Assessment

Jurisdictions must submit one of each message type per MCSIA CDLIS transaction to be implemented. Messages will be checked by AAMVA for formatting errors. All formatting errors must be corrected prior to implementation.

CICS

Customer Information Control System; an IBM teleprocessing monitor.

CMV

Commercial Motor Vehicle

CMVSA

Commercial Motor Vehicle Safety Act (CMVSA) of 1986.

Conviction

A conviction is an adjudication of guilt, as defined in FMCSA Policy Memorandum CDL-04-001. **Note:** FMCSA considers the following to be types of convictions: admin per se, refusal to take an alcohol test, failure to appear, and failure to pay.

CSL

Commercial Special License

CS

CDLIS Central Site

CSOR

Change State of Record transaction, used when a driver (usually a CDL holder) who has a MPR on CDLIS moves from one jurisdiction to another, and the CDL and the driver history is transferred from the Old SOR to the New SOR.

Data (Element) Dictionary

The list of data elements and their definitions which are used in the application. Each data element is listed by its business and call list name, element code, description, values, type and length.

Data Setup

Refers to test data setup prior to structured testing. AAMVA customizes each state's structured test messages based on the state's Participant Setup Document and test plan. Jurisdiction must create MPRs and set up drivers on their state database based on the state's Participation Setup Document and test plan. Both must be completed prior to structured testing.

DMV

Department of Motor Vehicles—see SDLA.

Department of Transportation (DOT)

The overseeing agency of the Federal Motor Carrier Safety Administration.

Development

All of the activities necessary to create the system specification and complete internal (not structured) testing. These activities include analysis, design, programming, and documenting the business and technical specifications.

DGAF

General Directorship of Federal Motor Carrier Transportation is Mexico's equivalent of the U.S. FMCSA.

DHR

Driver's History Record—the record is maintained by the SOR and includes all the information required to be transferred in a CSOR Transaction, including driver identification information, driver's license information, and the driver's history of convictions, withdrawals, and (optionally) accidents.

DLN

Driver's License Number

DLN Survey

PDPS Driver's License Number Survey Transaction, used to obtain a DLN and status information from a previous jurisdiction when a 10-Year History Check is needed and the DLN is not known.

DLR

Driver License Reciprocity

DOB

Date of Birth

Driver History Record

Also known as DHR. History of each driver maintained on the jurisdiction's system.

Driver's License

A license issued by a jurisdiction to an individual to operate a motor vehicle. This includes all licenses issued, not just those that are current.

DSD

CDLIS Detail System Design Document

Duped Against

A term used in the duplicate processing function to indicate an existing CDLIS Master Pointer Record which has the same SSN as a record being added to the CDLIS database.

EDI

Electronic Data Interchange a protocol for sending and receiving information via a computer network—AMIE is an EDI.

Electronic Means

Electronic means include (but are not limited to): internet, interactive voice response (IVR) and telephone.

Endorsement

An authorization to an individual's CDL required to permit the individual to operate certain types of commercial motor vehicles

End-to-End

Second run of the Structured test. Ensures any programming fixes made during First Pass did not adversely affect code. If any errors are found, the test begins from the beginning.

Equivalency table

A jurisdiction equivalency table is a mapping of each jurisdiction statute for a traffic violation to the “substantially equivalent” Conviction ACD Code. The purpose of the ACD equivalency tables is to document the ACD codes and their equivalent native jurisdiction codes. Since the ACD was introduced in 1996, AAMVA has been collecting the mapping from each state and publishing the documentation containing all states mapping.

States use the tables to see how other states have an ACD code mapped and to identify their own statutes that will be impacted by changes.

The ACD working group uses the tables to see which codes are used by which states when assessing the impact of a change.

ERD

Entity Relationship Diagram—ERDs graphically portray the information that the business area needs in order to do its business and the relationships that the data have which are important to the business.

ESI

Enhanced State Interface is the interface used by the CDLIS Central Site to process AMIE messages.

FCWD

The Federal Convictions and Withdrawal Database (FCWD) is a repository of U.S. State convictions and withdrawals on Mexican CDL drivers (holders of an LFC document with driver records in the LIFIS database), and FMCSA withdrawals on LFC drivers. Future plans involve expansion to include similar information on Canadian CDL drivers.

First Pass Testing

Initial run of the Structured test. All programming errors are found and corrected. All test cases must pass before End-to-End test.

FMCSA

Federal Motor Carrier Safety Administration

FMCSR

Federal Motor Carrier Safety Regulation

FHWA

Federal Highway Administration—the FMCSA was an office within the FHWA before MCSIA was enacted

FTA

Failure to Appear

FTC

Failure to Comply

FTP

Failure to Pay

GAP Code

Government/Application Provider Code used for message addressing on a network

HAZMAT

Hazardous Material

HME

Hazardous Material Endorsement

ICC

Interstate Commerce Commission

ICCTA

Interstate Commerce Commission Termination Act of 1995

ID

Identification

Implementation Period

The relatively short time necessary to move programs, utilities, etc., from the development region to the production region. This phase also includes performance of structured testing with the pilot states.

Inquiry Functions

AKA Inquiry, Application Status Inquiry, Driver History Request, Employer Inquiry, Search Inquiry, Status Request, and Verification Inquiry.

IPG

Implementation Planning Guide

IRE

The Canadian Interprovincial Record Exchange is the computerized system in Canada by which driver license information is exchanged between Canadian provinces and territories. The AAMVAnet/IRE Bridge connects the AAMVAnet U.S. network to the IRE.

Jurisdiction

A jurisdiction is one of the 50 U.S. states or the District of Columbia. The term "Mexican jurisdiction" means one of the Mexican states, and the term "Canadian jurisdiction" means one of the Canadian provinces or territories.

Licensing Jurisdiction

The State where the driver is licensed

LFC

Licencia Federal de Conductor – Mexico's equivalent of a CDL.

LIFIS

The Licencia Federal Information Systema (LIFIS), the Mexican equivalent of CDLIS, includes the Mexican Access gateway which: (1) provides communication between LIFIS and CDLIS and (2) maintains records of any U.S. convictions of Mexican drivers. LIFIS also provides:

- Direct electronic connection among Mexico's field licensing offices and the headquarters office
- Central issuance of a more secure and tamper-proof Licencia Federal (LF) document
- Real-time data entry
- Information retrieval

Linenum

An AAMVAnet convention that is used in the documentation to indicate how many occurrences of a block type are valid, and used in the transaction to indicate the occurrence number.

Maintenance

Any changes to the system after operation has begun.

Master Pointer Record

See MPR.

MCSAP

Motor Carrier Safety Assistance Program.

MCSIA

Motor Carrier Safety Improvement Act (MCSIA) of 1999 (further defined by Title 49 §383-384)

MCSIA Questionnaire

Contains 18 questions that are used to customized the Structured test plan; required before structured testing

MEC

Message Exchange Control

Message Originator

The entity that builds a message.

Mexican Conviction File

Also known as the Federal Convictions and Withdrawal Database (FCWD), which contains information on US convictions of Mexican drivers. This information is forwarded to LIFIS (see LIFIS), and may also be used by FMCSA to disqualify Mexican drivers from driving within the US. It does not contain or forward information on Mexican convictions of US drivers.

Motor Vehicle Agency

See SDLA.

MPR

Master Pointer Record—the CDLIS Central Site keeps a Master Pointer Record for each driver. The record contains driver identification information and is a pointer to the current SOR, typically the jurisdiction that issued the driver's latest driver's license.

MVA

Motor Vehicle Agency (see SDLA).

NADSF

North American Driver Safety Foundation

NAFTA

North American Free Trade Agreement (NAFTA)

National Driver Register (NDR)

A central repository of information about problem drivers in the United States. The NDR is in NHTSA. The NDR (the repository) and PDPS (the "pointer" system) are sometimes used interchangeably.

National Highway Traffic Safety Administration (NHTSA)

NHTSA includes the NDR and is the system operator of the Problem Driver Pointer System (PDPS).

NCB

Network Control Block

NCS

Network Control Software, an AAMVAnet-supported utility which routes messages. NCS allows each state (and central site) to establish a session with NCS, rather than requiring a session with each other AAMVAnet user.

NDR

National Driver Register

NHTSA

National Highway Traffic Safety Administration

NIS

Network Interface Software is a utility which translates messages from AMIE format into a format useful to the specific node's internal application.

Non-ACD conviction

A non-ACD conviction is an adjudication of guilt for a violation, such as gas-pump piracy, that is neither traffic-related nor federally mandated.

Non-ACD withdrawal

A non-ACD withdrawal is a withdrawal based on at least one non-ACD conviction, such as gas-pump piracy.

Non-domiciled CLP or Non-domiciled CDL

A CLP or CDL, respectively, issued by a State or other jurisdiction under either of the following two conditions:

- (1) To an individual domiciled in a foreign country meeting the requirements of §383.23(b)(1).
- (2) To an individual domiciled in another State meeting the requirements of §383.23(b)(2).

NOOSC

Negate out-of-state conviction (CD12).

NOOSW

Negate out-of-state withdrawal (CD17).

NRVC

Non-Resident Violators Compact—an agreement among 45 U.S. jurisdictions to handle out-of-state drivers convicted of a traffic violation.

Offset Report(s)

The offset reports provide the addresses of the elements within the call list. Call list(s) or Offset Report(s) may be requested from the UNI Help Desk (see also Call List(s)).

OOSC

Out-of-state Conviction (see also ROOSC, Report Out-of-state Conviction (CD11)).

OOSO

Out-of-service Order

OOSW

Out-of-state withdrawal (see also ROOSW, Report Out-of-state Withdrawal (CD16)).

Operation

The period after structured or acceptance testing is complete and CDLIS transactions are being sent and received by the pilot participants.

Participant Setup Document

Used to customize the Structured test plan; lists the test drivers a jurisdiction must create for the structured

test; must be completed prior to structured testing.

PDPS

The NDR's Problem Driver Pointer System

PIC

Process Implementation Chart is a graphical representation of the message routing and processing in a given transaction.

Pointer on CDLIS

A pointer on CDLIS is a phrase that means the driver has a Master Pointer Record (MPR) on the CDLIS Central Site. The pointer record identifies the current SOR. To identify the driver, the pointer holds the driver's personal identification information and license information. The pointer also holds record maintenance information.

Pseudobatch

Online messages are stored by the sender, then forwarded later for processing.

RAR

Return as Received is a term meaning the jurisdiction can enter an arbitrary phrase in a message and the return message will return the phrase to the jurisdiction.

Re-drive

When a Change State of Record is suspended due to problems encountered, once the problems are identified, the AAMVA Operations Help Desk may assist the jurisdictions to re-drive or resend the CSOR.

RJE

Remote Job Entry is an IBM term for a method of initiating a batch job from a remote site.

ROOSC

Report Out-of-state Conviction (CD11).

ROOSW

Report Out-of-state withdrawal (CD16).

RRGC

Railroad Grade Crossing **Note:** synonymous terms are "Railroad-Highway Grade Crossing" and "Highway-Rail Grade Crossing"

S2SHR

State-to-state history request (CD04).

SAFETEA-LU

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) gives FMCSA the discretion to withhold any amount of highway construction funds up to maximums of 5% the first year or 10% in succeeding years.

SDLA

State Driver Licensing Agency – the agency in charge of licensing drivers in a given jurisdiction – may also be called the Motor Vehicle Agency or Department of Motor Vehicles.

SOC

The State of Conviction is the jurisdiction in which the driver is adjudicated guilty of a violation.

SOI

State of Inquiry—the State that sends an inquiry about another state’s driver

Solicited Message

This message contains information in response to some request. Usually, this message is received by the originator of a transaction in response to the initial message of the transaction, *e.g.* the transaction originator sends the initial message of a transaction to request information. The response that is returned to the transaction originator is the solicited message.

SOR

State of Record—in CDLIS, the State of Record (SOR) is the jurisdiction responsible for maintaining the:

- driver’s Master Pointer Record (MPR) at the CDLIS Central Site
- DHR, including the driver’s complete ACD history and the driver’s commercial status

This requirement applies to all drivers who are:

- current CDL holders
- ‘required to have a CDL’ (non-CDL holders but have been convicted of offenses committed in a CMV)
- previous CDL holders, whether currently disqualified or voluntarily downgraded

until all data retention requirements have been satisfied.

Note: In PDPS, the State of Record (SOR) is the jurisdiction that posted a pointer on NDR. This can be for drivers it licenses or for out-of-state drivers.

SOW

The State of Withdrawal is the jurisdiction in which a person’s driving privilege is withdrawn. If the SOR is the SOW, the withdrawal is effective nationwide.

SSAN

Social Security Account Number

SSN

Social Security Number

ST

State

ST/DLN

State/Driver’s License Number—the concatenation of the licensing jurisdiction’s two-character code and the individual’s driver’s license number—a licensed driver must have only one ST/DLN.

Stakeholder

A stakeholder is an individual or group or organization that maintains CDLIS, requires access to CDLIS, or supports PDPS (which is integral to the CDL program). CDLIS stakeholders are FMCSA, AAMVA, the jurisdictions, employers, and NHTSA.

State of domicile

That State where a person has his/her true, fixed, and permanent home and principal residence and to which he/she has the intention of returning whenever he/she is absent.

STSHR

State-to-state history request (CD04).

STSSR

State-to-state status request (CD05).

Tank Vehicle

Any commercial motor vehicle that is designed to transport any liquid or gaseous materials within a tank or tanks having an individual rated capacity of more than 119 gallons and an aggregate rated capacity of 1,000 gallons or more that is either permanently or temporarily attached to the vehicle or the chassis. A commercial motor vehicle transporting an empty storage container tank, not designed for transportation, with a rated capacity of 1,000 gallons or more that is temporarily attached to a flatbed trailer is not considered a tank vehicle (see 49 CFR §383.5).

TEA-21

Transportation Equity Act for the 21st Century

TPSP

Third Party Service Provider

Transaction (business)

A transaction is a series of messages sent to accomplish a specific business function.

Transaction Originator

The Transaction Originator is the entity that started the transaction process.

TSA

Transportation Security Administration

UNI

Unified Network Interface

Unsolicited Message

An unsolicited message is a message that is not requested by the receiver. Usually it is the first message within a transaction.

USA PATRIOT Act

Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act of 2001.

Weekly Suspense Report

96 Hour Report; Listing of drivers in: Duplicate status, CSOR (new and old) pending and Unique status.

Withdrawal

A disqualification, suspension, revocation, etc. of the driver's license.

Withdrawal-conviction(s) linkage

Under MCSIA, for any withdrawal with an effective date on or after November 1, 2005, information to associate the withdrawal with all convictions that resulted in the withdrawal (its underlying convictions) must be maintained so that the withdrawal-conviction(s) linkage(s) can be accurately reported on state-to-state history request or a change state of record transaction.

APPENDIX B – SUBSTITUTE AND PSEUDO SOCIAL SECURITY NUMBERS

The CMVSA mandates that the driving record, including the Social Security Number, of every operator of a commercial motor vehicle (CMV) will be entered in the CDLIS database. The scope of the definition includes driving records even of non-CDL drivers convicted of an offense while operating a CMV. Because a jurisdiction may not be able to ascertain the Social Security Number of a CDLIS driver in all cases and because the Social Security Administration does not require all people in the U.S. to have an SSN, in rare instances a driver in CDLIS will have a Substitute Social Security Number or a Pseudo Social Security Number, instead of an SSN. See the following subsections for details.

Substitute Social Security Number ('999-99-9999')

A Substitute Social Security Number is used when the SOR can't determine the actual SSN.

Complicating the issue, some jurisdictions do not require motor vehicle operators to provide their SSN to law enforcement officials. Because the State of Record (SOR) is responsible for posting CMV-related convictions to a driver's record, if a driver is not already on CDLIS, then the SOR must create a new CDLIS pointer record to post the conviction. In the past, without a Social Security Number, the conviction could not be posted on CDLIS.

In September of 1995, AAMVA's Driver License Reciprocity Subcommittee approved a method intended to overcome the problem. Through the use of the fixed numeric value, 999-99-9999, the Substitute Social Security Number can and should be used to create CDLIS Master Pointer Records for non-CDL drivers convicted of an offense while operating a CMV, but who do not provide an SSN. The procedure is as follows:

- The convicting jurisdiction (the State of Conviction [SOC]) must first send an inquiry to determine if the driver is on CDLIS.
- If the driver is on CDLIS, a Report Out-of-State Conviction message should be sent to CDLIS Central Site for the driver. CDLIS Central Site will forward the information to the appropriate jurisdiction to update the CDLIS DHR.
- If the driver is not on CDLIS, and presents a non-commercial license from another jurisdiction, the SOC will need to mail a report of this conviction to the driver's licensing jurisdiction (the SOR) for further processing. In some cases, the SOR may require a Substitute SSN to create the record if either
 - the jurisdiction does not require an SSN for a non-commercial license or
 - the driver refuses to provide a valid SSN.

The licensing jurisdiction (the SOR) must respond to CDLIS inquiries with the appropriate status and history to communicate that the driver is disqualified and therefore prohibited from obtaining a CDL.

If the driver presents no license at all and does not have a pointer record on CDLIS, the SOC will need to add the driver to CDLIS and maintain the CDLIS DHR. Even if the driver presents another form of ID with an address, if there is no official license document, the SOC will become the SOR and be responsible for maintaining this driver record. As with all other drivers, the SOR must respond to CDLIS inquiries with the appropriate status and history.

If a jurisdiction adds a pointer but does not know information such as issuance date or expiration date on a driver pulled over in a CMV with no license, the following data should be used:

| Data Element | Data Filling Rule |
|---------------------------------|---------------------------------|
| driver's name | Name provided by offender |
| driver's date of birth | Estimated or provided |
| driver's sex | Known |
| driver's height | Estimated or provided |
| driver's license number | Created by SOR |
| driver's Social Security Number | 999-99-9999 if SSN not provided |

If the driver applies in another jurisdiction for a CDL, the potential SOR does a CDLIS, PDPS, and 10-year history check. If the SOC captured sufficient information to provide a match, it is required to send the driver's history. When a driver's history is transmitted, the issue and expiration dates are required. Jurisdictions can use whatever dates they desire for both (e.g. date the MPR was added to CDLIS; this is the preferred date for consistency).

Jurisdictions are encouraged to find a driver's real SSN and change his/her record on CDLIS. The substitute SSN is a stop-gap measure to allow the addition of an individual to CDLIS when the real SSN cannot be obtained.

49 CFR §381.153 (e) requires a driver to provide his/her Social Security Number on the application for a CDL; and the SOR must provide the Social Security Number to CDLIS, except in the case of a non-domiciled CLP or CDL holder who is domiciled in a foreign jurisdiction so no SSN is available to provide.

Note: The only reason to use a SSN of all nines ("999-99-9999") is to indicate that a non-CDL driver has been convicted of a CMV violation and no SSN was provided.

Pseudo Social Security Numbers (numbers beginning with '000')

The Pseudo Social Security Number is used when the driver isn't required to have an SSN.

The Social Security Administration determines who must obtain an SSN. The most common use of a pseudo SSN is for those individuals to whom SSA has issued a waiver for religious reasons. A pseudo SSN may also be used in connection with the issuance of non-domiciled CLPs or CDLs under the provisions of 49 CFR §383.153. All other drivers must provide an SSN on the driver's license application, and the SSN must be entered into CDLIS.

Although a CDLIS Master Pointer Record makes no distinction between a genuine SSN and a pseudo SSN. A pseudo SSN begins with "000" and it falls within the range of numbers assigned to a particular jurisdiction for this purpose (see following table). If the number falls outside this range, it is not possible for CDLIS to determine whether or not the number is a genuine SSN - it simply is not a pseudo SSN. Also, the range of numbers given to a jurisdiction enables it to tell which jurisdiction originally assigned the pseudo SSN, but the jurisdiction cannot tell which jurisdiction should own the record at a particular time.

Note: Pseudo SSNs differ from substitute SSNs in that the substitute SSN ("999-99-9999") is used only when a non-CDL driver has been convicted of a CMV violation, and no SSN was provided or available for that driver. Situations where a driver does not have a valid SSN, but neither the pseudo nor a substitute SSN is appropriate, are under investigation. If you encounter such a situation, contact the AAMVA Operations Help Desk.

ASSIGNED STATE PSEUDO SSN RANGES

| Jurisdiction | Start | End |
|----------------------|-------------|-------------|
| Alabama | 000-11-0001 | 000-11-9999 |
| Alaska | 000-12-0001 | 000-12-4999 |
| Arizona | 000-45-0001 | 000-49-9999 |
| Arkansas | 000-12-5000 | 000-12-9999 |
| California | 000-50-0001 | 000-54-9999 |
| Colorado | 000-13-0001 | 000-13-4999 |
| Connecticut | 000-13-5000 | 000-13-9999 |
| Delaware | 000-14-0001 | 000-14-4999 |
| District of Columbia | 000-14-5000 | 000-14-9999 |
| Florida | 000-15-0001 | 000-15-9999 |
| Georgia | 000-16-0001 | 000-16-9999 |
| Hawaii | 000-17-0001 | 000-17-4999 |
| Idaho | 000-17-5000 | 000-17-9999 |

| Jurisdiction | Start | End |
|---------------------|--------------|-------------|
| Illinois | 000-18-0001 | 000-18-9999 |
| Indiana | 000-19-0001 | 000-19-9999 |
| Iowa | 000-20-0001 | 000-20-4999 |
| Kansas | 000-20-5000 | 000-20-9999 |
| | 000-66-0000 | 000-66-4999 |
| Kentucky | 000-21-0001 | 000-21-4999 |
| Louisiana | 000-22-0000 | 000-22-9999 |
| Maine | 000-21-5000 | 000-21-9999 |
| Maryland | 000-23-0001 | 000-23-9999 |
| Massachusetts | 000-24-0001 | 000-24-9999 |
| Michigan | 000-25-0001 | 000-25-9999 |
| Minnesota | 000-26-0001 | 000-26-9999 |
| Mississippi | 000-27-0001 | 000-27-4999 |
| Missouri | 000-28-0001 | 000-28-9999 |
| Montana | 000-27-5000 | 000-27-9999 |
| Nebraska | 000-29-0001 | 000-29-4999 |
| Nevada | 000-29-5000 | 000-29-9999 |
| New Hampshire | 000-30-0000 | 000-30-9999 |
| New Jersey | 000-31-0001 | 000-31-9999 |
| | 000-44-5000 | 000-44-9999 |
| New Mexico | 000-55-0001 | 000-59-9999 |
| New York | 000-32-0001 | 000-32-9999 |
| | 000-65-0001 | 000-65-9999 |
| North Carolina | 000-33-0001 | 000-33-9999 |
| North Dakota | 000-30-5000 | 000-30-9999 |
| Ohio | 000-34-0001 | 000-34-9999 |
| Oklahoma | 000-35-0001 | 000-35-4999 |
| Oregon | 000-35-5000 | 000-35-9999 |
| Pennsylvania | 000-36-0001 | 000-36-9999 |
| Rhode Island | 000-37-0001 | 000-37-4999 |
| South Carolina | 000-37-5000 | 000-37-9999 |
| South Dakota | 000-38-0001 | 000-38-4999 |
| Tennessee | 000-39-0001 | 000-39-9999 |
| Texas | 000-60-0001 | 000-64-9999 |
| Utah | 000-38-5000 | 000-38-9999 |

| Jurisdiction | Start | End |
|---------------------|--------------|-------------|
| Vermont | 000-40-0001 | 000-40-4999 |
| Virginia | 000-41-0001 | 000-41-9999 |
| Washington | 000-42-0001 | 000-42-9999 |
| West Virginia | 000-40-5000 | 000-40-9999 |
| Wisconsin | 000-43-0001 | 000-43-9999 |
| Wyoming | 000-44-0001 | 000-44-4999 |

Reserved SSN ranges include:

- 000-00-0000 to 000-10-9999
- 000-66-5000 to 000-99-9999

APPENDIX C –CONDUCTING SELECTED CDLIS TRANSACTIONS BY MAIL

This appendix has rules and procedures for mailing convictions, withdrawals, and linkages in the appropriate transactions. It also has examples of the appropriate forms.

C.1 RULES FOR MAILING OUT-OF-STATE CONVICTIONS AND WITHDRAWALS

The following are rules for mailing out-of-state convictions and withdrawals and for negating convictions and withdrawals by mail.

- FMCSA and AAMVA strongly encourage jurisdictions to send and receive all conviction transactions and withdrawal transactions via CDLIS; however FMCSA's regulations do not currently specify that these transactions must be sent via CDLIS. If a jurisdiction cannot electronically transmit a conviction or a withdrawal report or the SOR cannot receive, post, and confirm the conviction, the jurisdiction must mail the specified information to the SOR.
- The following are cases where the SOC and SOR cannot initiate and complete the Report Out-of-State Conviction Transaction via CDLIS and must conduct the transaction via mail.
 - The SOC (the sending jurisdiction) does not have the capability of electronically transmitting a conviction with a new ACD code via CDLIS (note that a jurisdiction that has not passed structured testing is allowed to send new codes if it has the capability)
 - The SOR (the receiving jurisdiction) does not have the capability of accepting a conviction with a new ACD code electronically via CDLIS (note that a jurisdiction that has not passed structured testing is allowed to receive new codes if it has the capability)
- The following are cases where the SOW and SOR cannot initiate and complete the Report Out-of-State Withdrawal Transaction via CDLIS and therefore must conduct the whole transaction via mail.
 - If either the SOW or the SOR has not implemented the Report Out-of-State Withdrawal Transaction.
 - If either the SOW or the SOR cannot complete the Report Out-of-State Withdrawal transaction via CDLIS because of errors that can't be corrected.
- The paper transaction for the conviction report, conviction negation, withdrawal report, and withdrawal negation must be equivalent to the corresponding electronic transaction in functionality so that the information can be accurately added to the driver's record. Whether the jurisdiction transmits the conviction/withdrawal report or the conviction/withdrawal negation via CDLIS or mails it, the information must conform to the CDLIS specifications, (see Sections CD11, CD12, CD17, and CD18) and the preceding rules. For example, a mailed conviction must include all required data, such as the Conviction Offense ACD Code (DCVCCA). The AAMVA Operations Help Desk will create a finding on SOCs and SOWs that are not sending information that can be input into CDLIS, as specified in CDLIS System Specifications Sections CD11, CD12 CD17, and CD18, as appropriate. Similarly, the AAMVA Operations Help Desk will create a finding on SORs that are incorrectly rejecting mailed conviction or withdrawal packets that meet the specifications.
 - AAMVA has provided FMCSA-approved example forms to use when mailing a conviction or withdrawal report (including negation). A jurisdiction must mail a packet with paper forms, including the form for logging information, which comply with the FMCSA-approved example forms, except that NRVC jurisdictions may use existing NRVC forms for failures to appear, pay, or comply. The fields on the jurisdiction form must be in the order given in the examples, and the labels must be equivalent to those used in the example forms. The information on all forms must be typed or computer-printed, except that check box values may be hand-entered. The information included on all forms must be filled out in accordance with the CDLIS specifications for the corresponding electronic transaction. The mailed withdrawal report must include all of the underlying convictions. The logging form must list all the withdrawals and underlying convictions in the packet, the destination SOR, and the SOW. It must also have fields for the SOR to record the date the withdrawal and any new convictions were received and the date the withdrawal, linkages, and any new convictions were entered in the CDLIS DHR. Prior to a

Compliance Review, the jurisdiction must keep a couple of most current batches – tracking sheet and convictions/withdrawals to show the Compliance Review team.

- When mailing an OOS conviction report or an OOS withdrawal report, the SOC/SOW must do a CDLIS inquiry to determine the current SOR and current driver identifying information (since identifying information on convictions may be based on a hand-written ticket). The required paper form must have a field for the current ST/DLN, which must be filled in, if different than the ST/DLN at the time of the citation. If a question about a CDLIS MPR exists, an SOC/SOW must do a CDLIS inquiry to confirm whether the driver has an MPR on the CDLIS Central Site.
- An SOR must not reject a mailed conviction report or a mailed withdrawal report if the information conforms to the CDLIS system specifications. An SOR must return a mailed conviction report or a mailed withdrawal report, if the information doesn't conform to the specifications. If CDLIS-required data are missing or are invalid, the SOR must return the form in error. Similar to the electronic transaction, when a jurisdiction finds an error such as missing required data or invalid data, it returns the form back to the sending jurisdiction with an explanation of the error instead of returning the form (or a logging form) as a confirmation. The sending jurisdiction then has the responsibility to correct the error. An SOR must reject a mailed conviction if the Conviction Offense ACD Code (DCVCCA) is a retired code and must reject a withdrawal if the Withdrawal ACD Reason Code is a retired code. An SOR must reject a mailed withdrawal if the withdrawal has a retired Drv Lic ACD Withdrawal Reason Code (DWDWRS) or one of its underlying convictions has a retired Conviction Offense ACD Code (DCVCCA). An SOR must not reject a conviction report for the reason that the conviction has a new Conviction Offense ACD Code (DCVCCA). Similarly, an SOR must not reject a withdrawal report for the reason that the withdrawal has a new Drv Lic ACD Withdrawal Reason Code (DWDWRS) or one of its underlying convictions has a new Conviction Offense ACD Code (DCVCCA) ACD code. An SOR must also notify the AAMVA Help Desk if problems recur, so that AAMVA and FMCSA can work with the sending jurisdiction to rectify problems.
- Only convictions for CDL drivers or non-CDL/unlicensed drivers who incur violations in a CMV should be included in the “packet” sent to the SOR’s CDLIS contact person on paper that require the tracking. An SOC must not mail a non-CDLIS conviction to the SOR’s CDLIS contact.
- The only withdrawals and convictions that should be included in the “packet” sent to the SOR’s CDLIS contact person on paper and that require the tracking are those ACD withdrawals and convictions for CDL drivers or non-CDL/unlicensed drivers who incur violations in a CMV. An SOC must not mail a non-CDLIS conviction to the SOR’s CDLIS contact person.
- Jurisdictions (in the role of SOC and/or SOW) must also have the capability to handle errors in the paper transaction. In the electronic transaction, the CDLIS Central Site and/or the network interface software (*e.g.* UNI) logs a message returned in error, which can be checked by compliance reviewers. For the same functionality in the paper transaction, jurisdictions must keep a copy of the returned form for the shorter of the following two time periods:
 - Until the error is corrected
 - As long as the jurisdiction is the SOR for the driver
- Nothing precludes the SOC from sending additional information along with the Report Out-of-State Conviction form. To comply with NRVC requirements, the SOC may add a field for the court address or Driver address or a copy of the original ticket. If a jurisdiction has a standard NRVC form, it may continue to use the form, provided that the jurisdiction adds all the information specified by CDLIS. If the jurisdiction doesn't use a standard NRVC form, the jurisdiction must use the format specified in the sample forms. If the NRVC requires additional data, additional fields may be added at the end of the form used. As another option, jurisdictions may send conviction information electronically in the Report Out-of-state Conviction Transaction and also send a paper copy that has the NRVC information and note clearly that it is being used just to send the additional court contact information on a conviction previously sent electronically via CDLIS. Sending both an HA message and a paper copy with the additional NRVC-required data could be interpreted as contrary to the CDLIS specifications, but it is justified in these cases. A jurisdiction may mail all the HA message information and the NRVC information in one packet and not transmit the HA message.
- Nothing precludes the SOC from sending additional information along with the Report Out-of-State Withdrawal form or the NRVC form. The jurisdiction may mail additional paperwork with the paper

packet. The SOW has the additional option of sending an electronic report via CDLIS and then mailing an NRVC form with the extra data, provided the jurisdiction notes clearly that the NRVC form is being used just to send the additional NRVC-required information that could not be sent via CDLIS. Sending both an HW message and a paper copy with the additional NRVC-required data could be interpreted as contrary to the CDLIS specifications, but it is justified in these cases.

- Convictions sent as underlying convictions with a withdrawal may duplicate those transmitted electronically. The SOR must not post these convictions more than once.

C.2 PROCEDURES FOR MAILING OUT-OF-STATE CONVICTIONS/WITHDRAWALS REPORTS AND NEGATIONS

Although FMCSA strongly encourages an SOC to transmit out-of-state CDLIS convictions via CDLIS, a jurisdiction may mail a conviction to the SOR rather than transmitting it. The following are the procedural steps for a Report Out-of-State Conviction Transaction and Negate Out-of-State Conviction Transaction conducted via mail (see Appendix C.5 Forms for Mailing Convictions, Withdrawals, and Linkages for forms).

- The SOC fills out the conviction form, according to the specifications for the HA and HF messages (see the CDLIS System Specifications, Sections CD11.1-CD11.2). The SOC also fills out its portion of the Report Conviction Log, listing all the convictions sent in the mailing packet, as well as the date of the mailing and the SOR's name. The SOC mails the packet to the SOR.
- The SOR receives the packet and validates the information, according to the specifications for validating the HA and HF messages (see the CDLIS System Specifications, Sections CD11.2-3). If the report does not pass validation, the SOR returns the report in error, according to the specifications for returning an HA or HF message in error. If the report passes validation, the SOR enters the convictions in the CDLIS DHR either as an electronic record or on paper. To confirm the information, the SOR fills out its portion of the log form, makes a copy of the log form, and mails the log form back to the SOC.
- The SOC receives the log and is responsible for keeping the log. If the SOC does not receive the log form back, they must contact the SOR to obtain the information and resolve any problems.

The following are the procedural steps for a sending, receiving, and confirming a Report Out-of-State Withdrawal Transaction and the Negate Withdrawal Transaction completed via mail. See Appendix C.5 Forms for Mailing Convictions, Withdrawals, and Linkages for example forms for this transaction.

- The SOW fills out the withdrawal form, the conviction form, and the linkage form, according to the specifications for the HW and HT messages (see the CDLIS System Specifications, Sections CD16 and CD17). The SOW also fills out its portion of the Report Withdrawal Log, listing all the withdrawals, convictions, and linkages sent in the mailing packet, as well as the date of the mailing and the SOR's name. The SOW mails the packet to the SOR.
- The SOR receives the packet and validates the information, according to the specifications for validating the HW and HT messages (see the CDLIS System Specifications, Sections CD18.2-3). If the report does not pass validation, the SOR returns the report in error, according to the specifications for returning an HW or HT message in error. If the report passes validation, the SOR enters the withdrawals and any new convictions in the CDLIS DHR either as an electronic record or on paper. The SOR also enters the linkages in the CDLIS DHR, either as an electronic record or on paper. To confirm the information, the SOR fills out its portion of the log form, makes a copy of the log form, and mails the log form back to the SOW.
- The SOW receives the log and is responsible for keeping the log. If the SOW does not receive the log form back, the SOW must contact the SOR to obtain the information and resolve any problems.

C.3 RULES FOR MAILING DRIVER HISTORY CONVICTIONS, WITHDRAWALS, AND LINKAGES

The following rules apply to mailing the driver history information when the information can't be sent in the electronic CDLIS S2SHR/CSOR Transactions.

- The CDLIS specifications go into great detail about how transactions are to be sent via CDLIS. Jurisdictions are strongly encouraged to send all transactions via CDLIS in the format described in the

CDLIS documentation; however FMCSA's regulations do not currently require that they be sent via CDLIS. Jurisdictions must be able to receive all messages sent via CDLIS, because, if the sending jurisdiction is using an approved method (CDLIS), the message must not be rejected.

- The process to be used for paper must follow the CDLIS method, so that the information can be accurately added to the driver's record. Although convictions for ACD violations in a non-CMV prior to obtaining a CDL are not used to disqualify a CDL holder, ACD convictions of a non-CDL Holder in a Non-CMV become part of a DHR and must meet the same specifications for "CDLIS convictions". They are subject to data validation rules for required and optional data, data retention requirements, and data transmission rules, and must pass those rules before being added to the driver history record. A jurisdiction's forms for the mailed driver history must conform to the FMCSA-AAMVA example forms, shown in Appendix C.5 FORMS FOR CONDUCTING TRANSACTIONS BY MAIL (also available from the AAMVA Operations Help Desk). The jurisdiction's forms must contain all the fields on the example forms, in the order shown on the example forms. The form labels must be equivalent to the labels on the example forms. The information must be typed or computer printed on the form, to ensure the information is legible. The information included on the form must be filled out in accordance with the CDLIS specifications for the corresponding electronic transaction.
- A logging form must accompany the driver history form(s) mailed in a single packet. The logging form must list all the withdrawals, convictions, and linkages in the packet, the destination SOI/New SOR, and the SOR/Old SOR. The information must be typed or computer-printed to ensure it's legible. The jurisdiction must keep a log showing who received the information and when it was received, and the jurisdiction must have the ability to resend the information. The jurisdiction must keep this information indefinitely and must supply this information to FMCSA auditors or personnel upon request.
- Convictions, withdrawals, and linkages sent on paper that duplicate convictions, withdrawals, and linkages sent electronically via CDLIS must be noted on the paper forms.
- Additional information may be mailed with the driver history of convictions, withdrawals, and linkages, such as the driver address.
- As the operator of CDLIS, AAMVA is responsible for specifying CDLIS processes, not paper processing, and AAMVA is not responsible for testing the paper process.
- If an SOR mails a withdrawal-conviction(s) linkage, the mailed packet must include all the information for the underlying conviction(s), the resulting withdrawal, and the linkage, as specified in CDLIS System Specifications, CD04.2 for the respective messages (H3, H5, and H7). The SOI/New SOR must check for duplicates in these cases.
- When the SOR mails a convictions, withdrawals, and linkages packet, the IDs used in the mailed packet must be internally consistent but do not have to correspond to IDs used in the transmitted H3, H5, and H7 messages. However, to ensure that duplicates are not considered as unique by the receiving jurisdiction, AAMVA recommends the following:
 - The ID references used on the withdrawals, convictions, and linkages in the mailed packet should match IDs on the same convictions, withdrawals, and linkages previously transmitted in the H3, H5, and H7 messages
 - The ID references for the balance of the withdrawals, convictions and withdrawal-conviction(s) linkages, *i.e.*, those that were not transmitted, should be a continuation of the CDLIS transaction IDs
- If an SOC truncates the Conviction Jurisdiction Offense Code (DCVCOR) (state native code) in a paper conviction report, the SOR can't be sure it did it correctly to be able to negate the conviction, should the need arise. Since the state native code is one of the six identifying elements, the SOC has to ensure the SOR can match on the element. Thus the SOC must not send a conviction with a truncated native code in the mailed packet.

C.4 PROCEDURES FOR MAILING DRIVER HISTORY CONVICTIONS, WITHDRAWALS, AND LINKAGES

The following are the procedural steps for a State-to-State History Transaction or Change State-of-Record Transaction completed via mail because one of the jurisdictions involved in the transaction could not complete the transaction electronically using the HB, H3, H5, and H7 messages.

1. The SOR/Old SOR responds to the SB/SD message by transmitting to the SOI/New SOR the history that it can transmit and the SOI can accept, according to the specifications in the corresponding Implementation Planning Guide and the Transaction specifications.
2. The SOI/New SOR validates the information and checks the “number on record” versus the “number sent” for ACD convictions, withdrawals, accidents, and withdrawal-conviction(s) linkages to determine if all the information was transmitted electronically.
3. If a jurisdiction cannot transmit or cannot receive the whole driver history, it alerts the other jurisdiction by phone or e-mail or fax that the whole driver history will be mailed.
4. The SOR/Old SOR fills out the driver history forms according to the specifications for the HB, H3, H5, and H7 messages. The SOR/Old SOR also fills out its portion of a log form listing all of the driver histories to be mailed together in a packet, as well as the date of the mailing and the name of the SOI/New SOR. The SOR/Old SOR also notes the ACD convictions, withdrawals, and linkages sent on paper that duplicate ACD convictions, withdrawals, and linkages sent electronically via CDLIS. The SOR/Old SOR mails the information packet to the SOI/New SOR.
5. The SOI/New SOR receives the packet and validates the information according to the specifications for validating the HB, H3, H5, and H7 messages. If the information does not pass the validation, the SOI/New SOR returns the information, according to the specifications for returning the HB/HD, H3, H5, and H7 messages in error. If the information passes the validation, the SOI/New SOR mails the log form back to the SOR/Old SOR.
6. If the SOR/Old SOR receives the history forms in error, it corrects the information and mails the corrected forms. If the SOR/Old SOR receives the log form, it keeps the log form indefinitely, but may destroy the history that was successfully sent. If it does not receive the log form, the SOR/Old SOR must contact the SOI/New SOR to see if they received the history and resend it if necessary.

C.5 FORMS FOR MAILING CONVICTIONS, WITHDRAWALS, AND LINKAGES

This section contains the following forms and corresponding instructions:

- Report Out-of-State CDLIS Conviction by Mail
- Negate Out-of-State CDLIS Conviction by Mail
- Report Out-of-State CDLIS Withdrawal by Mail
- Negate Out-of-State CDLIS Withdrawal by Mail
- Report CDLIS History Convictions by Mail
- Report CDLIS History Withdrawals by Mail
- Logging and Tracking Mailed Convictions, Withdrawals, or 10-year History Checks
- Clearance for an Out-of-State FTA/FTP/FTC

Note: The first, last, and middle names require an indication if the name element was truncated or transliterated (‘Yes’, ‘No’, or ‘Unknown’).

Truncation occurs when characters have been removed from a name element to prevent it from exceeding the maximum number of characters

Transliteration occurs when characters in the original name element have been changed into corresponding characters of the printable character set

Report Out-of-State CDLIS Conviction by Mail

Driver Name: _____
Last Truncated? Y N U Transliterated? Y N U _____
Suffix

First Truncated? Y N U Transliterated? Y N U

Middle Truncated? Y N U Transliterated? Y N U

Driver Date of Birth: _____ / _____ / _____
(Month) (Day) (Year)

Driver License Number: Jurisdiction: Number: _____
(at time of citation)

Current DL Number: Jurisdiction: Number: _____
(conditional)

Driver SSN (optional): --

Citation Date: _____ / _____ / _____
(Month) (Day) (Year)

Convicting Jurisdiction:

Conviction Date: _____ / _____ / _____
(Month) (Day) (Year)

Commercial Vehicle: YES NO UNKNOWN

HAZMAT: YES NO UNKNOWN

ACD CODE: ACD Detail(conditional):

Court Report Identifier: _____ (maximum 18 characters)

State Native Code: _____ (maximum 8 characters)

Court Type: (check only one)

- | | | |
|--|---|--|
| <input type="checkbox"/> ADM Administrative Adjudication | <input type="checkbox"/> HUS Hustings Court | <input type="checkbox"/> SUM Summary Court Martial |
| <input type="checkbox"/> CHA Chancery Court | <input type="checkbox"/> JPC Justice of Peace Court | <input type="checkbox"/> SUP Superior Court |
| <input type="checkbox"/> CIR Circuit Court | <input type="checkbox"/> JUS Justice Court | <input type="checkbox"/> TJC Trial Justice Court |
| <input type="checkbox"/> CIT City Court | <input type="checkbox"/> JUV Juvenile Court | <input type="checkbox"/> TRA Traffic Court |
| <input type="checkbox"/> CIV Civil Court | <input type="checkbox"/> LEC Law & Equity Court | <input type="checkbox"/> TRI Tribal Court |
| <input type="checkbox"/> COC County Court | <input type="checkbox"/> MAG Magistrate Court | <input type="checkbox"/> TWN Town Court |
| <input type="checkbox"/> COR Corporation Court | <input type="checkbox"/> MAY Mayor's Court | <input type="checkbox"/> UNK Unknown |
| <input type="checkbox"/> CRI Criminal Court | <input type="checkbox"/> MUN Municipal Court | <input type="checkbox"/> USC U.S. Commissioner |
| <input type="checkbox"/> DIS District Court | <input type="checkbox"/> POL Police Court | <input type="checkbox"/> USM U.S. Magistrate Court |
| <input type="checkbox"/> DOT Secretary USDOT | <input type="checkbox"/> SJC Special Justice Court | <input type="checkbox"/> USS U.S. Supreme Court |
| <input type="checkbox"/> FED U.S. District Court | <input type="checkbox"/> SPL Special Court Martial | |
| <input type="checkbox"/> GEN General Court Martial | <input type="checkbox"/> SSP State Supreme Court | |

For convictions underlying a withdrawal: Conviction ID: Withdrawal ID:

INSTRUCTIONS FOR COMPLETING REPORT OUT-OF-STATE CDLIS CONVICTION BY MAIL

The Motor Carrier Safety Improvement Act of 1999 (MCSIA) requires that a State of Conviction (SOC) must report all convictions of a commercial driver's license (CDL) holder in a commercial motor vehicle (CMV) or non-CMV to the CDL holder's State of Record (SOR), and the SOR must record the information in the CDLIS DHR and treat the conviction as if it occurred within the SOR.

The SOC must report a conviction within 10 days of the conviction [see 49 CFR §384.209(c)(2)].

The preferred method of transmitting out-of-state convictions is electronically via the Commercial Driver's License Information System (CDLIS). If an out-of-state conviction will not or cannot be transmitted via CDLIS, the same information must be provided on a paper form (see preceding sample form). The information on the paper form must

- be in the order specified
- use the exact labels specified or obvious equivalents
- be typed or printed by machine

Note: Handwritten entries are not acceptable – the only exception is for check boxes (if used)

Notes: The preceding form is just a sample. Jurisdictions don't have to use it or one with boxes.

For additional information on the rules governing the data elements, see the Data Dictionary Appendix in the CDLIS System Specifications.

1. Driver Name
 - a. Last (with an indication if the last name was truncated or transliterated)
 - b. First (with an indication if the first name was truncated or transliterated)
 - c. Middle (if available, with an indication if the middle name was truncated or transliterated; may be middle initial)
 - d. Suffix (if available)
2. Driver Date of Birth (format: Month/Day/Year where 'Month' is the number of the month [e.g. '04' for April])
3. Driver License Number (at time of citation)
 - a. Jurisdiction
 - b. License Number
4. Current Driver License Number (conditional; if different from #3 above; jurisdictions must submit a Search or Verification Inquiry to CDLIS prior to sending the conviction to ensure it goes to the current SOR)
 - a. Jurisdiction
 - b. License Number
5. Driver Social Security Number (optional)
6. Citation Date (format: Month/Day/Year where 'Month' is the number of the month [e.g. '04' for April])
7. Convicting Jurisdiction Code
8. Conviction Date (format: Month/Day/Year where 'Month' is the number of the month [e.g. '04' for April])
9. Commercial Vehicle (An indicator of whether a commercial vehicle was being used when the offense was committed ['Yes', 'No', or 'Unknown'—**Note:** 'Unknown' is not valid after Dec. 31, 2007])
10. HAZMAT (for a specific conviction of a driver, a determination of whether the violation occurred while the driver was carrying hazardous materials (HAZMAT, requiring a placard) in a commercial vehicle ['Yes', 'No', or 'Unknown'—**Note:** 'Unknown' is not valid after Dec. 31, 2007])
11. ACD CODE (a code describing the offense for which an individual was convicted [see the AAMVA Code Dictionary (ACD)])
12. ACD Detail (conditional; used with certain conviction offenses to further define the conviction offense and provide additional detailed information concerning the offense)

Report Out-of-State CDLIS Conviction by Mail

13. Court Report Identifier (the Jurisdiction of Conviction's unique identifier for an individual conviction of a driver that the Jurisdiction of Conviction uses to access its court report of the conviction. The identifier may be a reference to a record in a file, a database, or a microfilm. It is sometimes referred to as the "Conviction Offense Locator Reference")
14. State Native Code (the Jurisdiction of Conviction's native code for the type of offense committed by the driver; typically, a reference to a statute within a jurisdiction)
15. Court Type (the type of court which finalized the conviction)

Negate Out-of-State CDLIS Conviction by Mail

Driver Name: _____
Last Truncated? Y N U Transliterated? Y N U _____
Suffix

First Truncated? Y N U Transliterated? Y N U

Middle Truncated? Y N U Transliterated? Y N U

Driver Date of Birth: _____ / _____ / _____
(Month) (Day) (Year)

Driver License Number: Jurisdiction: Number: _____
(at time of citation)

Current DL Number: Jurisdiction: Number: _____
(conditional)

Driver SSN (optional): - -

Citation Date: _____ / _____ / _____
(Month) (Day) (Year)

Convicting Jurisdiction:

Conviction Date: _____ / _____ / _____
(Month) (Day) (Year)

ACD CODE:

Court Report Identifier: _____ (maximum 18 characters)

State Native Code: _____ (maximum 8 characters)

INSTRUCTIONS FOR COMPLETING NEGATE OUT-OF-STATE CDLIS CONVICTION BY MAIL

The Motor Carrier Safety Improvement Act of 1999 (MCSIA) requires that a State of Conviction (SOC) must report all convictions of a commercial driver's license (CDL) holder in a commercial motor vehicle (CMV) or non-CMV to the CDL holder's State of Record (SOR), and the SOR must record the information in the CDLIS DHR and treat the conviction as if it occurred within the SOR.

The SOC must report a conviction within 10 days of the conviction [see 49 CFR §384.225(c)].

The preferred method of transmitting out-of-state convictions is electronically via the Commercial Driver's License Information System (CDLIS). If an out-of-state conviction will not or cannot be transmitted via CDLIS, the same information must be provided on a paper form (see preceding sample form). The information on the paper form must

- be in the order specified
- use the exact labels specified or obvious equivalents
- be typed or printed by machine

Note: Handwritten entries are not acceptable – the only exception is for check boxes (if used)

Notes:

The preceding form is just a sample. Jurisdictions don't have to use it or one with boxes.

For additional information on the rules governing the data elements, see the Data Dictionary Appendix in the CDLIS System Specifications.

1. Driver Name
 - a. Last (with an indication if the last name was truncated or transliterated)
 - b. First (with an indication if the first name was truncated or transliterated)
 - c. Middle (if available, with an indication if the middle name was truncated or transliterated; may be middle initial)
 - d. Suffix (if available)
2. Driver Date of Birth (format: Month/Day/Year where 'Month' is the number of the month [e.g. '04' for April])
3. Driver License Number (at time of citation)
 - a. Jurisdiction
 - b. License Number
4. Current Driver License Number (conditional; if different from #3 above; jurisdictions must submit a Search or Verification Inquiry to CDLIS prior to sending the conviction to ensure it goes to the current SOR)
 - a. Jurisdiction
 - b. License Number
5. Driver Social Security Number (optional)
6. Citation Date (format: Month/Day/Year where 'Month' is the number of the month [e.g. '04' for April])
7. Convicting Jurisdiction
8. Conviction Date (format: Month/Day/Year where 'Month' is the number of the month [e.g. '04' for April])
9. ACD CODE (a code describing the offense for which an individual was convicted [see the AAMVA Code Dictionary (ACD)])
10. Court Report Identifier (the Jurisdiction of Conviction's unique identifier for an individual conviction of a driver that the Jurisdiction of Conviction uses to access its court report of the conviction. The identifier may be a reference to a record in a file, a database, or a microfilm. It is sometimes referred to as the "Conviction Offense Locator Reference")
11. State Native Code (the Jurisdiction of Conviction's native code for the type of offense committed by the driver; typically, a reference to a statute within a jurisdiction)

Report Out-of-State CDLIS Withdrawal by Mail

(Withdrawal ID: Number of underlying convictions attached:)

Driver Name: _____
 Last Truncated? Y N U Transliterated? Y N U Suffix _____

 First Truncated? Y N U Transliterated? Y N U

 Middle Truncated? Y N U Transliterated? Y N U

Driver Date of Birth: _____ / _____ / _____
 (Month) (Day) (Year)

Driver License Number: Jurisdiction: Number: _____
 (at time of citation)

Current DL Number: Jurisdiction: Number: _____
 (conditional)

Driver SSN (optional): --

Withdrawing Jurisdiction:

Withdrawal ACD Code:

Effective Date: _____ / _____ / _____
 (Month) (Day) (Year)

Reinstatement Eligibility: Indefinite:

Permanent:

Or Date: _____ / _____ / _____
 (Month) (Day) (Year)

Date Reinstated (optional): _____ / _____ / _____
 (Month) (Day) (Year)

State Native Reason: _____ (maximum 8 characters)

Report ID: _____ (maximum 18 characters)

| Type (Check one) | Basis (Check one) | Due Process Status (Check one) | Extent (Check one) |
|---|--|--|---------------------------------------|
| <input type="checkbox"/> 1 Revoked | <input type="checkbox"/> 0 Not known | <input type="checkbox"/> 0 Not defined | <input type="checkbox"/> 1 Commercial |
| <input type="checkbox"/> 2 Barred | <input type="checkbox"/> 1 Conviction | <input type="checkbox"/> 1 Hearing held; action confirmed | <input type="checkbox"/> 2 Permit |
| <input type="checkbox"/> 3 Suspended | <input type="checkbox"/> 2 Administrative Adjudication | <input type="checkbox"/> 2 Hearing offered but not requested | <input type="checkbox"/> 3 All |
| <input type="checkbox"/> 4 Canceled | <input type="checkbox"/> 3 Administrative Action | <input type="checkbox"/> 3 Hearing requested; not yet held | <input type="checkbox"/> 4 Non-CDL |
| <input type="checkbox"/> 5 Denied | <input type="checkbox"/> 4 Repeated Violations | <input type="checkbox"/> 4 Department action appealed to court | |
| <input type="checkbox"/> 6 Disqualified | <input type="checkbox"/> 5 Points Withdrawal | <input type="checkbox"/> 5 Hearing not applicable | |
| <input type="checkbox"/> 7 Other Withdrawal | <input type="checkbox"/> 6 Court ordered/requested | | |
| | <input type="checkbox"/> 7 Court recommended | | |
| | <input type="checkbox"/> 8 NRVC Action/Reciprocity | | |
| | <input type="checkbox"/> 9 Administrative Per Se | | |

Underlying Convictions

(Withdrawal ID:)

Driver Name: _____
Last Truncated? Y N U Transliterated? Y N U _____
Suffix

First Truncated? Y N U Transliterated? Y N U

Middle Truncated? Y N U Transliterated? Y N U

Driver Date of Birth: _____ / _____ / _____
(Month) (Day) (Year)

Driver License Number: Jurisdiction: Number: _____
(at time of withdrawal)

Current DL Number: Jurisdiction: Number: _____
(conditional)

Driver SSN (optional): --

Conviction ID(s) :

| | | | | | | |
|---|---|---|---|---|---|---|
| <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> |
| <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> |
| <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> |
| <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> |
| <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> |

Must be attached to **Report Out-of-State CDLIS Withdrawal by Mail**

Underlying Conviction – must attach to **Report Out-of-State CDLIS Withdrawal by Mail**

Driver Name: _____
Last Truncated? Y N U Transliterated? Y N U Suffix

First Truncated? Y N U Transliterated? Y N U

Middle Truncated? Y N U Transliterated? Y N U

Driver Date of Birth: _____ / _____ / _____
(Month) (Day) (Year)

Driver License Number: Jurisdiction: Number: _____
(at time of citation)

Current DL Number (conditional): Jurisdiction: Number: _____

Driver SSN (optional): - -

Citation Date: _____ / _____ / _____
(Month) (Day) (Year)

Convicting Jurisdiction:

Conviction Date: _____ / _____ / _____
(Month) (Day) (Year)

Commercial Vehicle: YES NO UNKNOWN

HAZMAT: YES NO UNKNOWN

ACD CODE: ACD Detail(conditional):

Court Report Identifier: _____ (maximum 18 characters)

State Native Code: _____ (maximum 8 characters)

Court Type: (check only one)

- | | | |
|--|---|--|
| <input type="checkbox"/> ADM Administrative Adjudication | <input type="checkbox"/> HUS Hustings Court | <input type="checkbox"/> SUM Summary Court Martial |
| <input type="checkbox"/> CHA Chancery Court | <input type="checkbox"/> JPC Justice of Peace Court | <input type="checkbox"/> SUP Superior Court |
| <input type="checkbox"/> CIR Circuit Court | <input type="checkbox"/> JUS Justice Court | <input type="checkbox"/> TJC Trial Justice Court |
| <input type="checkbox"/> CIT City Court | <input type="checkbox"/> JUV Juvenile Court | <input type="checkbox"/> TRA Traffic Court |
| <input type="checkbox"/> CIV Civil Court | <input type="checkbox"/> LEC Law & Equity Court | <input type="checkbox"/> TRI Tribal Court |
| <input type="checkbox"/> COC County Court | <input type="checkbox"/> MAG Magistrate Court | <input type="checkbox"/> TWN Town Court |
| <input type="checkbox"/> COR Corporation Court | <input type="checkbox"/> MAY Mayor's Court | <input type="checkbox"/> UNK Unknown |
| <input type="checkbox"/> CRI Criminal Court | <input type="checkbox"/> MUN Municipal Court | <input type="checkbox"/> USC U.S. Commissioner |
| <input type="checkbox"/> DIS District Court | <input type="checkbox"/> POL Police Court | <input type="checkbox"/> USM U.S. Magistrate Court |
| <input type="checkbox"/> DOT Secretary USDOT | <input type="checkbox"/> SJC Special Justice Court | <input type="checkbox"/> USS U.S. Supreme Court |
| <input type="checkbox"/> FED U.S. District Court | <input type="checkbox"/> SPL Special Court Martial | |
| <input type="checkbox"/> GEN General Court Martial | <input type="checkbox"/> SSP State Supreme Court | |

For convictions underlying a withdrawal: Conviction ID: Withdrawal ID:

Report Out-of-State CDLIS Withdrawal by Mail

INSTRUCTIONS FOR COMPLETING REPORT OUT-OF-STATE CDLIS WITHDRAWAL BY MAIL

The Motor Carrier Safety Improvement Act of 1999 (MCSIA) requires that a jurisdiction/State of Withdrawal (SOW) that withdraws a CDL holder for at least 60 days for an offense must report the withdrawal and underlying conviction(s) to the CDL holder's State of Record (SOR), and the SOR must record the information in the CDLIS DHR and treat the underlying conviction(s) as if they occurred within the SOR.

The preferred method of transmitting out-of-state withdrawals is electronically via the Commercial Driver's License Information System (CDLIS). If an out-of-state withdrawal will not or cannot be transmitted via CDLIS, the same information must be provided on a paper form (see preceding sample form). The information on the paper form must

- be in the order specified
- use the exact labels specified or obvious equivalents
- be typed or printed by machine

Note: Handwritten entries are not acceptable – the only exception is for check boxes (if used)

Notes:

The preceding form is just a sample. Jurisdictions don't have to use it or one with boxes.

For additional information on the rules governing the data elements, see the Data Dictionary Appendix in the CDLIS System Specifications.

Report Out-of-State CDLIS Withdrawal by Mail

Instructions for describing a withdrawal

1. Withdrawal ID (a two-character identifier for the withdrawal, assigned by the SOW to identify a withdrawal)
2. Number of underlying convictions attached (include only those convictions resulting in the withdrawal)
3. Driver Name
 - a. Last (with an indication if the last name was truncated or transliterated)
 - b. First (with an indication if the first name was truncated or transliterated)
 - c. Middle (if available, with an indication if the middle name was truncated or transliterated; may be middle initial)
 - d. Suffix (if available)
4. Driver Date of Birth (format: Month/Day/Year where 'Month' is the number of the month [*e.g.* '04' for April])
5. Driver License Number (at time of withdrawal)
 - a. Jurisdiction
 - b. License Number
6. Current Driver License Number (conditional; if different from #3 above; jurisdictions must submit a Search or Verification Inquiry to CDLIS prior to sending the conviction to ensure it goes to the current SOR)
 - a. Jurisdiction
 - b. License Number
7. Driver Social Security Number (optional)
8. Withdrawing Jurisdiction
9. Withdrawal ACD CODE (a code describing the offense for which an individual was withdrawn [see the AAMVA Code Dictionary (ACD)])
10. Effective Date (format: Month/Day/Year where 'Month' is the number of the month [*e.g.* '04' for April])
11. Reinstatement Eligibility (only one of the options listed)
 - a. The date on or after which a driver is eligible to apply for reinstatement of those driving privileges withdrawn (format: Month/Day/Year where 'Month' is the number of the month [*e.g.* '04' for April]) OR
 - b. If the privilege is never to be restored, the permanent code is used ('PERM') OR
 - c. For jurisdictions that withdraw a license privilege but do not start the clock until the license is physically surrendered, or if the length of the withdrawal is predicated on the individual completing one or more actions, they will not be able to provide an actual eligibility date. In such cases the indefinite code is used ('INDEF')
12. Reinstatement Date (optional; the date the licensing privilege of a driver (which has been previously withdrawn) is reinstated; format: Month/Day/Year where 'Month' is the number of the month [*e.g.* '04' for April])
13. State Native Reason (A native state code that specifies a withdrawal reason for future reference by the original State of Withdrawal.)
14. Report ID (The Jurisdiction of Withdrawal's unique identifier for the withdrawal of the driver that the Jurisdiction of Withdrawal uses to access its report of the withdrawal; the identifier may be a reference to a record in a file, a database or a microfilm; it is sometimes referred to as the "Driver License Withdrawal Locator Reference")
15. Type (The type of driver license withdrawal action that was taken)
16. Basis (The basis for the withdrawal action for a driver)
17. Due Process Status (The due process status for a withdrawal action)
18. Extent (Identifies the portion of driving privileges being withdrawn ['Commercial', 'Permit', 'All', or 'non-CDL'])

Report Out-of-State CDLIS Withdrawal by Mail

Instructions for linking a withdrawal and its underlying convictions

The SOW must list the conviction ID(s) for all convictions that resulted in the withdrawal. The driver identification information is repeated to ensure the SOR can correctly associate the underlying convictions with the withdrawal.

1. Withdrawal ID (a two-character identifier for the withdrawal, assigned by the SOW to identify a withdrawal)
2. Driver Name
 - a. Last (with an indication if the last name was truncated or transliterated)
 - b. First (with an indication if the first name was truncated or transliterated)
 - c. Middle (if available, with an indication if the middle name was truncated or transliterated; may be middle initial)
 - d. Suffix (if available)
3. Driver Date of Birth (format: Month/Day/Year where 'Month' is the number of the month [*e.g.* '04' for April])
4. Driver License Number (at time of withdrawal)
 - a. Jurisdiction
 - b. License Number
5. Current Driver License Number (conditional; if different from #3 above; jurisdictions must submit a Search or Verification Inquiry to CDLIS prior to sending the withdrawal to ensure it goes to the current SOR)
 - a. Jurisdiction
 - b. License Number
6. Driver Social Security Number (optional)
7. Conviction ID(s) for all convictions that resulted in the withdrawal

Note: If a jurisdiction sends multiple withdrawals or withdrawals for multiple drivers at the same time, the jurisdiction must ensure all withdrawals and convictions are uniquely identified to allow the SOR to match the convictions with the withdrawals.

Report Out-of-State CDLIS Withdrawal by Mail

Instructions for listing Underlying Convictions for Non-CDLIS Out-of-State Withdrawals

1. Driver Name
 - a. Last (with an indication if the last name was truncated or transliterated)
 - b. First (with an indication if the first name was truncated or transliterated)
 - c. Middle (if available, with an indication if the middle name was truncated or transliterated; may be middle initial)
 - d. Suffix (if available)
2. Driver Date of Birth (format: Month/Day/Year where 'Month' is the number of the month [e.g. '04' for April])
3. Driver License Number (at time of citation)
 - a. Jurisdiction
 - b. License Number
4. Current Driver License Number (conditional; if different from #3 above; jurisdictions must submit a Search or Verification Inquiry to CDLIS prior to sending the conviction to ensure it goes to the current SOR)
 - a. Jurisdiction
 - b. License Number
5. Driver Social Security Number (optional)
6. Citation Date (format: Month/Day/Year where 'Month' is the number of the month [e.g. '04' for April])
7. Convicting Jurisdiction
8. Conviction Date (format: Month/Day/Year where 'Month' is the number of the month [e.g. '04' for April])
9. Commercial Vehicle (An indicator of whether a commercial vehicle was being used when the offense was committed ['Yes', 'No', or 'Unknown' **Note:** 'Unknown' is not valid after Dec. 31, 2007])
10. HAZMAT (for a specific conviction of a driver, a determination of whether the violation occurred while the driver was carrying hazardous materials (HAZMAT, requiring a placard) in a commercial vehicle ['Yes', 'No', or 'Unknown' **Note:** 'Unknown' is not valid after Dec. 31, 2007])
11. ACD CODE (a code describing the offense for which an individual was convicted [see the AAMVA Code Dictionary (ACD)])
12. ACD Detail (conditional; used with certain conviction offenses to further define the conviction offense and provide additional detailed information concerning the offense)
13. Court Report Identifier (the Jurisdiction of Conviction's unique identifier for an individual conviction of a driver that the Jurisdiction of Conviction uses to access its court report of the conviction. The identifier may be a reference to a record in a file, a database, or a microfilm. It is sometimes referred to as the "Conviction Offense Locator Reference")
14. State Native Code (the Jurisdiction of Conviction's native code for the type of offense committed by the driver; typically, a reference to a statute within a jurisdiction)
15. Court Type (the type of court which finalized the conviction)

The following data is required if the conviction is being sent as an underlying conviction for a withdrawal:

16. Conviction ID (a two-character identifier for the conviction, assigned by the SOC to identify a conviction underlying a withdrawal)
17. Withdrawal ID (a two-character identifier for the withdrawal, assigned by the SOW to identify a withdrawal)

Note: If a jurisdiction sends multiple withdrawals or withdrawals for multiple drivers at the same time, the jurisdiction must ensure all withdrawals and convictions are uniquely identified to allow the SOR to match the convictions with the withdrawals.

Negate Out-of-State CDLIS Withdrawal by Mail

Driver Name: _____
 Last Truncated? Y N U Transliterated? Y N U _____
 Suffix

 First Truncated? Y N U Transliterated? Y N U

 Middle Truncated? Y N U Transliterated? Y N U

Driver Date of Birth: _____ / _____ / _____
 (Month) (Day) (Year)

Driver License Number: Jurisdiction: Number: _____
 (at time of citation)

Current DL Number: Jurisdiction: Number: _____
 (conditional)

Driver SSN (optional): - -

Withdrawing Jurisdiction:

Withdrawal ACD Code:

Effective Date: _____ / _____ / _____
 (Month) (Day) (Year)

State Native Reason: _____ (maximum 8 characters)

Report ID: _____ (maximum 18 characters)

| | |
|--------------------------|-----------------------|
| Type (Check one) | |
| <input type="checkbox"/> | 1 Revoked |
| <input type="checkbox"/> | 2 Barred |
| <input type="checkbox"/> | 3 Suspended |
| <input type="checkbox"/> | 4 Canceled |
| <input type="checkbox"/> | 5 Denied |
| <input type="checkbox"/> | 6 Disqualified |
| <input type="checkbox"/> | 7 Other Withdrawal |

Negate Out-of-State CDLIS Withdrawal by Mail

INSTRUCTIONS FOR COMPLETING NEGATE OUT-OF-STATE CDLIS WITHDRAWAL BY MAIL

The Motor Carrier Safety Improvement Act of 1999 (MCSIA) requires that a jurisdiction/State of Withdrawal (SOW) that withdraws a CDL holder for at least 60 days for an offense must report the withdrawal and underlying conviction(s) to the CDL holder's State of Record (SOR), and the SOR must record the information in the CDLIS DHR and treat the underlying conviction(s) as if they occurred within the SOR.

The preferred method of transmitting out-of-state withdrawals is electronically via the Commercial Driver's License Information System (CDLIS). If an out-of-state withdrawal will not or cannot be transmitted via CDLIS, the same information must be provided on a paper form (see preceding sample form). The information on the paper form must

- be in the order specified
- use the exact labels specified or obvious equivalents
- be typed or printed by machine

Note: Handwritten entries are not acceptable – the only exception is for check boxes (if used)

Notes: The preceding form is just a sample. Jurisdictions don't have to use it or one with boxes.

For additional information on the rules governing the data elements, see the Data Dictionary Appendix in the CDLIS System Specifications.

1. Driver Name
 - a. Last (with an indication if the last name was truncated or transliterated)
 - b. First (with an indication if the first name was truncated or transliterated)
 - c. Middle (if available, with an indication if the middle name was truncated or transliterated; may be middle initial)
 - d. Suffix (if available)
2. Driver Date of Birth (format: Month/Day/Year where 'Month' is the number of the month [*e.g.* '04' for April])
3. Driver License Number (at time of withdrawal)
 - a. Jurisdiction
 - b. License Number
4. Current Driver License Number (conditional; if different from #3 above; jurisdictions must submit a Search or Verification Inquiry to CDLIS prior to sending the conviction to ensure it goes to the current SOR)
 - a. Jurisdiction
 - b. License Number
5. Driver Social Security Number (optional)
6. Withdrawing Jurisdiction
7. Withdrawal ACD CODE (a code describing the offense for which an individual was withdrawn [see the AAMVA Code Dictionary (ACD)])
8. Effective Date (format: Month/Day/Year where 'Month' is the number of the month [*e.g.* '04' for April])
9. State Native Reason (A native state code that specifies a withdrawal reason for future reference by the original State of Withdrawal.)
10. Report ID (The Jurisdiction of Withdrawal's unique identifier for the withdrawal of the driver that the Jurisdiction of Withdrawal uses to access its report of the withdrawal; the identifier may be a reference to a record in a file, a database or a microfilm; it is sometimes referred to as the "Driver License Withdrawal Locator Reference")
11. Type (The type of driver license withdrawal action that was taken)

Report CDLIS History Convictions by Mail

(When all convictions in history are not transmitted via the CDLIS CSOR or State-to-State History Request Transactions)

Driver Name: _____
 Last Truncated? Y N U Transliterated? Y N U _____
 Suffix

 First Truncated? Y N U Transliterated? Y N U

 Middle Truncated? Y N U Transliterated? Y N U

Driver Date of Birth: _____ / _____ / _____
 (Month) (Day) (Year)

Driver License Number: Jurisdiction: Number: _____
 (at time of citation)

Current DL Number: Jurisdiction: Number: _____
 (conditional)

Driver SSN (optional): --

Citation Date: _____ / _____ / _____
 (Month) (Day) (Year)

Convicting Jurisdiction:

Conviction Date: _____ / _____ / _____
 (Month) (Day) (Year)

Commercial Vehicle: YES NO UNKNOWN

HAZMAT: YES NO UNKNOWN

ACD CODE: ACD Detail(conditional):

Court Report Identifier: _____ (maximum 18 characters)

State Native Code: _____ (maximum 8 characters)

Court Type: (check only one)

- | | | |
|--|---|--|
| <input type="checkbox"/> ADM Administrative Adjudication | <input type="checkbox"/> HUS Hustings Court | <input type="checkbox"/> SUM Summary Court Martial |
| <input type="checkbox"/> CHA Chancery Court | <input type="checkbox"/> JPC Justice of Peace Court | <input type="checkbox"/> SUP Superior Court |
| <input type="checkbox"/> CIR Circuit Court | <input type="checkbox"/> JUS Justice Court | <input type="checkbox"/> TJC Trial Justice Court |
| <input type="checkbox"/> CIT City Court | <input type="checkbox"/> JUV Juvenile Court | <input type="checkbox"/> TRA Traffic Court |
| <input type="checkbox"/> CIV Civil Court | <input type="checkbox"/> LEC Law & Equity Court | <input type="checkbox"/> TRI Tribal Court |
| <input type="checkbox"/> COC County Court | <input type="checkbox"/> MAG Magistrate Court | <input type="checkbox"/> TWN Town Court |
| <input type="checkbox"/> COR Corporation Court | <input type="checkbox"/> MAY Mayor's Court | <input type="checkbox"/> UNK Unknown |
| <input type="checkbox"/> CRI Criminal Court | <input type="checkbox"/> MUN Municipal Court | <input type="checkbox"/> USC U.S. Commissioner |
| <input type="checkbox"/> DIS District Court | <input type="checkbox"/> POL Police Court | <input type="checkbox"/> USM U.S. Magistrate Court |
| <input type="checkbox"/> DOT Secretary USDOT | <input type="checkbox"/> SJC Special Justice Court | <input type="checkbox"/> USS U.S. Supreme Court |
| <input type="checkbox"/> FED U.S. District Court | <input type="checkbox"/> SPL Special Court Martial | |
| <input type="checkbox"/> GEN General Court Martial | <input type="checkbox"/> SSP State Supreme Court | |

Report CDLIS History Convictions by Mail

INSTRUCTIONS FOR COMPLETING REPORT CONVICTIONS IN CDLIS HISTORY BY MAIL

The Motor Carrier Safety Improvement Act of 1999 (MCSIA) requires that a State of Conviction (SOC) must report all convictions of a commercial driver's license (CDL) holder in a commercial motor vehicle (CMV) or non-CMV to the CDL holder's State of Record (SOR), and the SOR must record the information in the CDLIS DHR and treat the conviction as if it occurred within the SOR.

The SOC must report a conviction within 10 days of the conviction [see 49 CFR §384.225(c)].

The preferred method of transmitting out-of-state convictions is electronically via the Commercial Driver's License Information System (CDLIS). If an out-of-state conviction will not or cannot be transmitted via CDLIS, the same information must be provided on a paper form (see preceding sample form). The information on the paper form must

- be in the order specified
- use the exact labels specified or obvious equivalents
- be typed or printed by machine

Note: Handwritten entries are not acceptable – the only exception is for check boxes (if used)

Notes:

The preceding form is just a sample. Jurisdictions don't have to use it or one with boxes.

For additional information on the rules governing the data elements, see the Data Dictionary Appendix in the CDLIS System Specifications.

These forms are used only when the number of convictions on a driver's record is more than can be transmitted via CDLIS.

1. Driver Name
 - a. Last (with an indication if the last name was truncated or transliterated)
 - b. First (with an indication if the first name was truncated or transliterated)
 - c. Middle (if available, with an indication if the middle name was truncated or transliterated; may be middle initial)
 - d. Suffix (if available)
2. Driver Date of Birth or DOB (format: Month/Day/Year where 'Month' is the number of the month [*e.g.* '04' for April])
3. Driver License Number or DLN (at time of citation)
 - a. Jurisdiction
 - b. License Number
4. Current Driver License Number or Current DLN (conditional; if different from #3 above; jurisdictions must submit a Search or Verification Inquiry to CDLIS prior to sending the conviction to ensure it goes to the current SOR)
 - a. Jurisdiction
 - b. License Number
5. Driver Social Security Number or SSN (optional)
6. Citation Date (format: Month/Day/Year where 'Month' is the number of the month [*e.g.* '04' for April])
7. Convicting Jurisdiction
8. Conviction Date (format: Month/Day/Year where 'Month' is the number of the month [*e.g.* '04' for April])
9. Commercial Vehicle (An indicator of whether a commercial vehicle was being used when the offense was committed ['Yes', 'No', or 'Unknown'—**Note:** 'Unknown' is not valid after Dec. 31, 2007])
10. HAZMAT (for a specific conviction of a driver, a determination of whether the violation occurred while the

Report CDLIS History Convictions by Mail

- driver was carrying hazardous materials (HAZMAT, requiring a placard) in a commercial vehicle ['Yes', 'No', or 'Unknown'—**Note:** 'Unknown' is not valid after Dec. 31, 2007])
11. CDL Holder Indicator (A code indicating at the time of the citation, whether the individual held a CDL or, in the case of an unlicensed driver, whether the individual's last held license was a CDL [see the AAMVA Code Dictionary (ACD)])
 12. ACD CODE (a code describing the offense for which an individual was convicted [see the AAMVA Code Dictionary (ACD)])
 13. ACD Detail (conditional; used with certain conviction offenses to further define the conviction offense and provide additional detailed information concerning the offense)
 14. Court Report Identifier (the Jurisdiction of Conviction's unique identifier for an individual conviction of a driver that the Jurisdiction of Conviction uses to access its court report of the conviction. The identifier may be a reference to a record in a file, a database, or a microfilm. It is sometimes referred to as the "Conviction Offense Locator Reference")
 15. State Native Code (the Jurisdiction of Conviction's native code for the type of offense committed by the driver; typically, a reference to a statute within a jurisdiction)
 16. Court Type (the type of court which finalized the conviction)

Report CDLIS History Withdrawals by Mail

(Withdrawal ID: Number of underlying convictions attached:)

Driver Name: _____
 Last Truncated? Y N U Transliterated? Y N U Suffix _____

 First Truncated? Y N U Transliterated? Y N U

 Middle Truncated? Y N U Transliterated? Y N U

Driver Date of Birth: _____ / _____ / _____
 (Month) (Day) (Year)

Driver License Number: Jurisdiction: Number: _____
 (at time of citation)

Current DL Number: Jurisdiction: Number: _____
 (conditional)

Driver SSN (optional): --

Withdrawing Jurisdiction:

Withdrawal ACD Code:

Effective Date: _____ / _____ / _____
 (Month) (Day) (Year)

Reinstatement Eligibility: Indefinite:

Permanent:

Or Date: _____ / _____ / _____
 (Month) (Day) (Year)

Date Reinstated (optional): _____ / _____ / _____
 (Month) (Day) (Year)

State Native Reason: _____ (maximum 8 characters)

Report ID: _____ (maximum 18 characters)

| Type (Check one) | Basis (Check one) | Due Process Status (Check one) | Extent (Check one) |
|---|--|--|---------------------------------------|
| <input type="checkbox"/> 1 Revoked | <input type="checkbox"/> 0 Not Known | <input type="checkbox"/> 0 Not defined | <input type="checkbox"/> 1 Commercial |
| <input type="checkbox"/> 2 Barred | <input type="checkbox"/> 1 Conviction | <input type="checkbox"/> 1 Hearing held; action confirmed | <input type="checkbox"/> 2 Permit |
| <input type="checkbox"/> 3 Suspended | <input type="checkbox"/> 2 Administrative Adjudication | <input type="checkbox"/> 2 Hearing offered but not requested | <input type="checkbox"/> 3 All |
| <input type="checkbox"/> 4 Canceled | <input type="checkbox"/> 3 Administrative Action | <input type="checkbox"/> 3 Hearing requested; not yet held | <input type="checkbox"/> 4 Non-CDL |
| <input type="checkbox"/> 5 Denied | <input type="checkbox"/> 4 Repeated Violations | <input type="checkbox"/> 4 Department action appealed to court | |
| <input type="checkbox"/> 6 Disqualified | <input type="checkbox"/> 5 Points Withdrawal | <input type="checkbox"/> 5 Hearing not applicable | |
| <input type="checkbox"/> 7 Other | <input type="checkbox"/> 6 Court ordered/requested | | |
| Withdrawal | <input type="checkbox"/> 7 Court recommended | | |
| | <input type="checkbox"/> 8 NRVC Action/Reciprocity | | |
| | <input type="checkbox"/> 9 Administrative Per Se | | |

Underlying Convictions

(Withdrawal ID:)

Driver Name: _____
Last Truncated? Y N U Transliterated? Y N U Suffix

First Truncated? Y N U Transliterated? Y N U

Middle Truncated? Y N U Transliterated? Y N U

Driver Date of Birth: _____ / _____ / _____
(Month) (Day) (Year)

Driver License Number: Jurisdiction: Number: _____
(at time of withdrawal)

Current DL Number: Jurisdiction: Number: _____
(conditional)

Driver SSN (optional): --

Conviction ID(s):

| | | | | | | |
|---|---|---|---|---|---|---|
| <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> |
| <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> |
| <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> |
| <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> |
| <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> |

Must be attached to **Report Out-of-State CDLIS Withdrawal by Mail**

Underlying Conviction – must attach to Report CDLIS History Withdrawals by Mail

(when all the withdrawals in the history are not transmitted via CDLIS CSOR or State-to-State History Request Transactions)

Driver Name: _____
Last Truncated? Y N U Transliterated? Y N U Suffix _____

First Truncated? Y N U Transliterated? Y N U

Middle Truncated? Y N U Transliterated? Y N U

Driver Date of Birth: _____ / _____ / _____
(Month) (Day) (Year)

Driver License Number: Jurisdiction: Number: _____
(at time of citation)

Current DL Number: Jurisdiction: Number: _____
(conditional)

Driver SSN (optional): --

Citation Date: _____ / _____ / _____
(Month) (Day) (Year)

Convicting Jurisdiction:

Conviction Date: _____ / _____ / _____
(Month) (Day) (Year)

Commercial Vehicle: YES NO UNKNOWN

HAZMAT: YES NO UNKNOWN

ACD CODE: ACD Detail(conditional):

Court Report Identifier: _____ (maximum 18 characters)

State Native Code: _____ (maximum 8 characters)

Court Type: (check only one)

- | | | |
|--|---|--|
| <input type="checkbox"/> ADM Administrative Adjudication | <input type="checkbox"/> HUS Hustings Court | <input type="checkbox"/> SUM Summary Court Martial |
| <input type="checkbox"/> CHA Chancery Court | <input type="checkbox"/> JPC Justice of Peace Court | <input type="checkbox"/> SUP Superior Court |
| <input type="checkbox"/> CIR Circuit Court | <input type="checkbox"/> JUS Justice Court | <input type="checkbox"/> TJC Trial Justice Court |
| <input type="checkbox"/> CIT City Court | <input type="checkbox"/> JUV Juvenile Court | <input type="checkbox"/> TRA Traffic Court |
| <input type="checkbox"/> CIV Civil Court | <input type="checkbox"/> LEC Law & Equity Court | <input type="checkbox"/> TRI Tribal Court |
| <input type="checkbox"/> COC County Court | <input type="checkbox"/> MAG Magistrate Court | <input type="checkbox"/> TWN Town Court |
| <input type="checkbox"/> COR Corporation Court | <input type="checkbox"/> MAY Mayor's Court | <input type="checkbox"/> UNK Unknown |
| <input type="checkbox"/> CRI Criminal Court | <input type="checkbox"/> MUN Municipal Court | <input type="checkbox"/> USC U.S. Commissioner |
| <input type="checkbox"/> DIS District Court | <input type="checkbox"/> POL Police Court | <input type="checkbox"/> USM U.S. Magistrate Court |
| <input type="checkbox"/> DOT Secretary USDOT | <input type="checkbox"/> SJC Special Justice Court | <input type="checkbox"/> USS U.S. Supreme Court |
| <input type="checkbox"/> FED U.S. District Court | <input type="checkbox"/> SPL Special Court Martial | |
| <input type="checkbox"/> GEN General Court Martial | <input type="checkbox"/> SSP State Supreme Court | |

INSTRUCTIONS FOR COMPLETING REPORT WITHDRAWALS IN CDLIS HISTORY BY MAIL

The Motor Carrier Safety Improvement Act of 1999 (MCSIA) requires that a jurisdiction/State of Withdrawal (SOW) that withdraws a CDL holder for at least 60 days for an offense must report the withdrawal and underlying conviction(s) to the CDL holder's State of Record (SOR), and the SOR must record the information in the CDLIS DHR and treat the underlying conviction(s) as if they occurred within the SOR.

The preferred method of transmitting out-of-state withdrawals is electronically via the Commercial Driver's License Information System (CDLIS). If an out-of-state withdrawal will not or cannot be transmitted via CDLIS, the same information must be provided on a paper form (see preceding sample form). The information on the paper form must

- be in the order specified
- use the exact labels specified or obvious equivalents
- be typed or printed by machine

Note: Handwritten entries are not acceptable – the only exception is for check boxes (if used)

Notes:

The preceding form is just a sample. Jurisdictions don't have to use it or one with boxes.

For additional information on the rules governing the data elements, see the Data Dictionary Appendix in the CDLIS System Specifications.

These forms are used only when the number of convictions on a driver's record is more than can be transmitted via CDLIS.

Instructions for describing the withdrawal

1. Withdrawal ID (a two-character identifier for the withdrawal, assigned by the SOW to identify a withdrawal)
2. Number of underlying convictions attached (include only those convictions resulting in the withdrawal)
3. Driver Name
 - a. Last (with an indication if the last name was truncated or transliterated)
 - b. First (with an indication if the first name was truncated or transliterated)
 - c. Middle (if available, with an indication if the middle name was truncated or transliterated; may be middle initial)
 - d. Suffix (if available)
4. Driver Date of Birth (format: Month/Day/Year where 'Month' is the number of the month [*e.g.* '04' for April])
5. Driver License Number (at time of withdrawal)
 - a. Jurisdiction
 - b. License Number
6. Current Driver License Number (conditional; if different from #3 above; jurisdictions must submit a Search or Verification Inquiry to CDLIS prior to sending the conviction to ensure it goes to the current SOR)
 - a. Jurisdiction
 - b. License Number
7. Driver Social Security Number (optional)
8. Withdrawing Jurisdiction
9. Withdrawal ACD CODE (a code describing the offense for which an individual was withdrawn [see the AAMVA Code Dictionary (ACD)])
10. Effective Date (format: Month/Day/Year where 'Month' is the number of the month [*e.g.* '04' for April])
11. Reinstatement Eligibility (only one of the options listed)
 - a. The date on or after which a driver is eligible to apply for reinstatement of those driving privileges withdrawn (format: Month/Day/Year where 'Month' is the number of the month [*e.g.* '04' for April]) OR
 - b. If the privilege is never to be restored, the permanent code is used ('PERM') OR
 - c. For jurisdictions that withdraw a license privilege but do not start the clock until the license is physically surrendered, or if the length of the withdrawal is predicated on the individual completing one or more actions, they will not be able to provide an actual eligibility date. In such cases the indefinite code is used ('INDEF')
12. Reinstatement Date (optional; the date the licensing privilege of a driver (which has been previously withdrawn) is reinstated; format: Month/Day/Year where 'Month' is the number of the month [*e.g.* '04' for April])
13. State Native Reason (A native state code that specifies a withdrawal reason for future reference by the original State of Withdrawal.)
14. Report ID (The Jurisdiction of Withdrawal's unique identifier for the withdrawal of the driver that the Jurisdiction of Withdrawal uses to access its report of the withdrawal; the identifier may be a reference to a record in a file, a database or a microfilm; it is sometimes referred to as the "Driver License Withdrawal Locator Reference")
15. Type (The type of driver license withdrawal action that was taken)
16. Basis (The basis for the withdrawal action for a driver)
17. Due Process Status (The due process status for a withdrawal action)
18. Extent (Identifies the portion of driving privileges being withdrawn ['Commercial', 'Permit', 'All', or 'non-CDL'])

Instructions for linking the withdrawal and its underlying convictions

The SOW must list the conviction ID(s) for all convictions that resulted in the withdrawal. The driver identification information is repeated to ensure the SOR can correctly associate the underlying convictions with the withdrawal.

1. **Withdrawal ID** (a two-character identifier for the withdrawal, assigned by the SOW to identify a withdrawal)
2. Driver Name
 - a. Last (with an indication if the last name was truncated or transliterated)
 - b. First (with an indication if the first name was truncated or transliterated)
 - c. Middle (if available, with an indication if the middle name was truncated or transliterated; may be middle initial)
 - d. Suffix (if available)
3. **Driver Date of Birth** (format: Month/Day/Year where 'Month' is the number of the month [*e.g.* '04' for April])
4. **Driver License Number** (at time of withdrawal)
 - a. Jurisdiction
 - b. License Number
5. **Current Driver License Number** (conditional; if different from #3 above; jurisdictions must submit a Search or Verification Inquiry to CDLIS prior to sending the withdrawal to ensure it goes to the current SOR)
 - a. Jurisdiction
 - b. License Number
6. Driver Social Security Number (optional)
7. Conviction ID(s) for all convictions that resulted in the withdrawal

Note: If a jurisdiction sends multiple withdrawals or withdrawals for multiple drivers at the same time, the jurisdiction must ensure all withdrawals and convictions are uniquely identified to allow the SOR to match the convictions with the withdrawals.

Instructions for describing underlying convictions

The SOW must list the conviction ID(s) for all convictions that resulted in the withdrawal. The driver identification information is repeated to ensure the SOR can correctly associate the underlying convictions with the withdrawal.

1. Driver Name
 - a. Last (with an indication if the last name was truncated or transliterated)
 - b. First (with an indication if the first name was truncated or transliterated)
 - c. Middle (if available, with an indication if the middle name was truncated or transliterated; may be middle initial)
 - d. Suffix (if available)
2. **Driver Date of Birth** or **DOB** (format: Month/Day/Year where 'Month' is the number of the month [e.g. '04' for April])
3. Driver License Number or DLN (at time of citation)
 - a. Jurisdiction
 - b. License Number
4. **Current Driver License Number** or **Current DLN** (conditional; if different from #3 above; jurisdictions must submit a Search or Verification Inquiry to CDLIS prior to sending the conviction to ensure it goes to the current SOR)
 - a. Jurisdiction
 - b. License Number
5. Driver Social Security Number or SSN (optional)
6. Citation Date (format: Month/Day/Year where 'Month' is the number of the month [e.g. '04' for April])
7. Convicting Jurisdiction
8. Conviction Date (format: Month/Day/Year where 'Month' is the number of the month [e.g. '04' for April])
9. Commercial Vehicle (An indicator of whether a commercial vehicle was being used when the offense was committed ['Yes', 'No', or 'Unknown'—**Note:** 'Unknown' is not valid after Dec. 31, 2007])
10. HAZMAT (for a specific conviction of a driver, a determination of whether the violation occurred while the driver was carrying hazardous materials (HAZMAT, requiring a placard) in a commercial vehicle ['Yes', 'No', or 'Unknown'—**Note:** 'Unknown' is not valid after Dec. 31, 2007])
11. CDL Holder Indicator (A code indicating at the time of the citation, whether the individual held a CDL or, in the case of an unlicensed driver, whether the individual's last held license was a CDL [see the AAMVA Code Dictionary (ACD)])
12. ACD CODE (a code describing the offense for which an individual was convicted [see the AAMVA Code Dictionary (ACD)])
13. ACD Detail (conditional; used with certain conviction offenses to further define the conviction offense and provide additional detailed information concerning the offense)
14. Court Report Identifier (the Jurisdiction of Conviction's unique identifier for an individual conviction of a driver that the Jurisdiction of Conviction uses to access its court report of the conviction. The identifier may be a reference to a record in a file, a database, or a microfilm. It is sometimes referred to as the "Conviction Offense Locator Reference")
15. State Native Code (the Jurisdiction of Conviction's native code for the type of offense committed by the driver; typically, a reference to a statute within a jurisdiction)
16. Court Type (the type of court which finalized the conviction)

The following data is required if the conviction is being sent as an underlying conviction for a withdrawal:

17. **Conviction ID** (a two-character identifier for the conviction, assigned by the SOC to identify a conviction underlying a withdrawal)
18. **Withdrawal ID** (a two-character identifier for the withdrawal, assigned by the SOW to identify a withdrawal)

Note: If a jurisdiction sends multiple withdrawals or withdrawals for multiple drivers at the same time, the

jurisdiction must ensure all withdrawals and convictions are uniquely identified to allow the SOR to match the convictions with the withdrawals.

LOGGING AND TRACKING MAILED CONVICTIONS, WITHDRAWAL, 10-YEAR HISTORY CHECKS

Jurisdiction:

Number of Convictions:

Number of Negated Convictions:

Number of Withdrawals:

Number of Negated Withdrawals:

Number of 10-Year History Requests:

| | 1 st attempt | 2 nd attempt | 3 rd attempt |
|-----------------------------|-------------------------|-------------------------|-------------------------|
| Date Sent | | | |
| Sent by | | | |
| Addressed to | | | |
| Date Confirmation Attempted | | | |
| Method* | | | |
| Date Confirmed | | | |
| Confirmed by | | | |
| Confirmation Method* | | | |

*Some options for Method/Confirmation Method:

- Phone call (indicate with whom the confirmation was made)
- Certified US mail (file a copy of the delivery confirmation from the internet)
- Return Receipt
- UPS (file a copy of the delivery confirmation from the internet)
- FedEx (file a copy of the delivery confirmation from the internet)

Note: This example provides the minimum information required for a jurisdiction to display to FMCSA, upon request, the jurisdiction’s efforts to ensure all convictions, withdrawals, and/or 10-year history checks are received by another jurisdiction.

Instructions for Logging and Tracking Mailed Convictions, Withdrawal, 10-Year History Checks:

| | |
|---|---|
| Jurisdiction | the jurisdiction to which the documents are to be sent |
| Number of Convictions | the total number of convictions included in the package |
| Number of Negated Convictions | the total number of negated convictions included in the package |
| Number of Withdrawals | the total number of withdrawals included in the package |
| Number of Negated Withdrawals | the total number of negated withdrawals included in the package |
| Number of 10-Year History Requests | the total number of 10-year history request included in the package |

The form does not have to be typed or printed. Jurisdiction may print the form and fill it in by hand if desired.

Jurisdictions should use a single log for all convictions, withdrawals, and 10-year history check requests sent in a separate envelope to each jurisdiction. The jurisdiction makes copies of all convictions, withdrawals, and 10-year history check requests it is sending to the other jurisdiction and attaches a copy of the log. The jurisdiction also includes a copy of the log in the package it sends to allow the receiving jurisdiction to confirm receipt of all documents.

Jurisdictions fill out the 'Date Sent', 'Sent by', and 'Addressed to' fields when the package is mailed. Upon receipt of confirmation that the package has been received, jurisdictions fill out the 'Date Confirmed', 'Confirmed by', and 'Confirmation Method'. If the confirmation was done telephonically, the 'Confirmation Method' must include the name of the person contacted in the receiving jurisdiction. For the other methods, jurisdictions attach the receipt or the delivery confirmation to the package. Confirmed packages must be kept for the same amount of time as records are maintained at the CDLIS Central Site when the information is transmitted electronically.

If a jurisdiction does not receive a confirmation within 10 days, the jurisdiction must attempt to contact the other jurisdiction (completing the 'Date Confirmation Attempted' and 'Method' fields). If confirmation cannot be confirmed, the jurisdiction enters the 'Date Sent', 'Sent by', and 'Addressed to' in the next column of the log and resends copies of the convictions, withdrawals, and 10-year history requests in that batch to the other jurisdiction.

A jurisdiction is only expected to make three attempts to send the information and receive confirmation. The tracking sheet will prove the jurisdiction's reasonable attempts to provide/request the information to/from the other jurisdiction to FMCSA.

Clearance for an Out-of-State FTA/FTP/FTC

Driver Name: _____
Last Truncated? Y N U Transliterated? Y N U Suffix _____

First Truncated? Y N U Transliterated? Y N U

Middle Truncated? Y N U Transliterated? Y N U

Driver Date of Birth: _____ / _____ / _____
(Month) (Day) (Year)

Driver License Number: Jurisdiction: Number: _____
(at time of citation)

Current DL Number: Jurisdiction: Number: _____
(conditional)

Driver SSN (optional): --

Citation Date: _____ / _____ / _____
(Month) (Day) (Year)

Convicting Jurisdiction:

Conviction Date: _____ / _____ / _____
(Month) (Day) (Year)

Court Report Identifier: _____ (maximum 18 characters)

State Native Code: _____ (maximum 8 characters)

Date Cleared: _____ / _____ / _____
(Month) (Day) (Year)

INSTRUCTIONS FOR COMPLETING A CLEARANCE FOR AN OUT-OF-STATE FTA/FTP/FTC:

The Motor Carrier Safety Improvement Act of 1999 (MCSIA) requires that a State of Conviction (SOC) must report all convictions of a commercial driver's license (CDL) holder in a commercial motor vehicle (CMV) or non-CMV to the CDL holder's State of Record (SOR), and the SOR must record the information in the CDLIS DHR and treat the conviction as if it occurred within the SOR.

The SOC must report a conviction within 10 days of the conviction [see 49 CFR §384.225(c)].

Notes:

In accordance with FMCSA policy Memorandum CDL-04-001, if a jurisdiction issues a failure to appear (FTA) or a failure to pay (FTP) for an out-of-state CDL driver, the jurisdiction issuing the FTA or FTP must report the failure to the SOR. If both the jurisdiction issuing the failure and the SOR are members of the NRVC, the issuing jurisdiction may report the failure using the NRVC paper form and a paper form that includes all the information sent in a Report Out-of-State Conviction (HA) message. If either the jurisdiction issuing the failure or the SOR is not an NRVC member, the issuing jurisdiction must send a Report Out-of-State Conviction (HA) message, or an equivalent paper form, to the SOR with the appropriate ACD Offense Code (*e.g.* 'D56' "Failure to answer a citation, pay fines, penalties and/or costs related to the original violation") and the ACD detail code set to the ACD Offense Code for the underlying citation (*e.g.* 'A04' "Driving under the influence of alcohol with BAC at or over .04").

Use of this form is limited to reporting that the driver satisfied the conditions of the following:

| | |
|-----------|---|
| D45 (FTA) | Failure to appear for trial or court appearance (detail field required) |
| D53 (FTP) | Failure to make required payment of fine and costs (detail field required) |
| D56 (FTC) | Failure to answer a citation, pay fines, penalties and/or costs related to the original violation (detail field required) |

If the SOC does not take an in-state withdrawal for an out-of-state driver who fails to appear, pay, or comply, there is currently no electronic method to notify the SOR when an out-of-state FTA/FTP/FTC has been cleared. The sample form (attached) provides a mechanism for providing this information to the SOR. The information on the form must

- be in the order specified
- use the exact labels specified (or universally recognized abbreviations [*e.g.* DOB for 'Date of Birth'])
- be typed or printed by machine

Note: Handwritten entries are not acceptable – the only exception is for check boxes (if used)

Notes: The attached form is just a sample. Jurisdictions don't have to use it or one with boxes. FMCSA only requires the information be on the form in the order provided using the same labels.

For additional information on the rules governing the data elements, see the Data Dictionary Appendix in the CDLIS System Specifications.

While it is preferred that all the data be provided to the SOR to ensure the proper FTA/FTP/FTC convictions is cleared, as long as the clearance date and enough data to match the clearance with the conviction are present, jurisdictions may accept incomplete forms.

1. Driver Name
 - a. Last (with an indication if the last name was truncated or transliterated)
 - b. First (with an indication if the first name was truncated or transliterated)
 - c. Middle (if available, with an indication if the middle name was truncated or transliterated; may be middle initial)
 - d. Suffix (if available)
2. Driver Date of Birth (format: Month/Day/Year where 'Month' is the number of the month [*e.g.* '04' for April])

3. Driver License Number (at time of citation)
 - a. Jurisdiction
 - b. License Number
4. Current Driver License Number (conditional; if different from #3 above; jurisdictions must submit a Search or Verification Inquiry to CDLIS prior to sending the clearance to ensure it goes to the current SOR)
 - a. Jurisdiction
 - b. License Number
5. Driver Social Security Number (optional)
6. Citation Date (format: Month/Day/Year where 'Month' is the number of the month [e.g. '04' for April])
7. Convicting Jurisdiction
8. Conviction Date (format: Month/Day/Year where 'Month' is the number of the month [e.g. '04' for April])
9. ACD CODE (a code describing the offense for which an individual was convicted [see the AAMVA Code Dictionary (ACD)])
10. ACD Detail (the ACD code of the violation for which the driver failed to appear, pay, or comply – entered in the first three positions of the field)
11. Court Report Identifier (the Jurisdiction of Conviction's unique identifier for an individual conviction of a driver that the Jurisdiction of Conviction uses to access its court report of the conviction. The identifier may be a reference to a record in a file, a database, or a microfilm. It is sometimes referred to as the "Conviction Offense Locator Reference")
12. State Native Code (the Jurisdiction of Conviction's native code for the type of offense committed by the driver; typically, a reference to a statute within a jurisdiction)
13. Date Cleared (the date the driver appeared, paid, or otherwise complied)

APPENDIX D – JURISDICTION CDLIS Medical Certificate Events

The following matrix is a guide for Jurisdictions to assist with decisions when approached with specific events in populating the data elements and values that a State stores on their database. Jurisdictions may require Med Cert data on 'EI' and 'EA' drivers; this data is never sent through CDLIS. Only Jurisdictions that require Med Cert data for 'NA' drivers must send that data through CDLIS otherwise Jurisdictions do not send that data.

| Event | Non-excepted interstate (NI) | Non-excepted <u>intrastate</u> (NA) | Excepted interstate (EI) Excepted <u>intrastate</u> (EA) |
|--|--|--|---|
| <p>1. New CDL Driver at SDLA</p> <ul style="list-style-type: none"> • New Unexpired Medical Certificate presented • No new FMCSA Variance • Medical Certification Data not yet posted to CDLIS Driver Record <p>(SDLA has 10 calendar days to post) ** Medical Self-Certification Code is not part of Medical Certification data, therefore is not included in 10 day posting period</p> | <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'NI' • Medical Certification Status Code = 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND ANY Medical Certification Data | <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'NA' • Medical Certification Status Code = 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND ANY Medical Certification Data ○ SEND 'K' Restriction | <p>'EA' Driver</p> <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'EA' • Medical Certification Status Code = 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data ○ SEND 'K' Restriction <p>'EI' Driver</p> <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'EI' • Medical Certification Status Code = 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data |

| Event | Non-excepted interstate (NI) | Non-excepted <u>intrastate</u> (NA) | Excepted interstate (EI) Excepted <u>intrastate</u> (EA) |
|---|---|---|---|
| <p>2. New CDL Driver at SDLA w/FMCSA Variance</p> <ul style="list-style-type: none"> • New Unexpired Medical Certificate presented • Has new FMCSA Variance • Medical Certification Data not yet posted to CDLIS Driver Record <p>(SDLA has 10 calendar days to post) ** Medical Self-Certification Code is not part of Medical Certification data, therefore is not included in 10 day posting period</p> | <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'NI' • Medical Certification Status Code = 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND ANY Medical Certification Data ○ SEND 'V' Restriction based on FMCSA Variance | <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'NA' • Medical Certification Status Code = 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND ANY Medical Certification Data ○ SEND 'K' Restriction ○ SEND 'V' Restriction based on FMCSA or Jurisdiction Variance | <p>'EA' Driver</p> <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'EA' • Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data ○ SEND 'K' Restriction <p>'EI' Driver</p> <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'EI' • Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data |
| <p>3. New CDL Issuance or Renewal at SDLA</p> <ul style="list-style-type: none"> • Unexpired Medical Certificate presented • No FMCSA Variance • Medical Certification Data posted to the CDLIS Driver Record by SDLA | <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'NI' • Medical Certification Status Code='C' <ul style="list-style-type: none"> ○ SEND ALL Complete and Accurate Medical Certification Data | <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'NA' • Medical Certification Status Code= 'C' <ul style="list-style-type: none"> ○ SEND ALL Complete and Accurate Medical Certification Data ○ SEND 'K' Restriction • Medical Certification Status Code=blank <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data ○ SEND 'K' Restriction | <p>'EA' Driver</p> <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'EA' • Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data ○ SEND 'K' Restriction <p>'EI' Driver</p> <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'EI' • Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data |

| Event | Non-excepted interstate (NI) | Non-excepted <u>intrastate</u> (NA) | Excepted interstate (EI) Excepted <u>intrastate</u> (EA) |
|--|---|--|---|
| <p>4. New CDL Issuance or Renewal at SDLA</p> <ul style="list-style-type: none"> • Unexpired Medical Certificate presented • With FMCSA Variance • Medical Certification Data posted to CDLIS Driver Record by SDLA | <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'NI' • Medical Certification Status Code='C' <ul style="list-style-type: none"> ○ SEND ALL Complete and Accurate Medical Certification Data; including FMCSA Variance information ○ SEND 'V' Restriction based on FMCSA Variance | <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'NA' • Medical Certification Status Code= 'C' <ul style="list-style-type: none"> ○ SEND ALL Complete and Accurate Medical Certification Data; including FMCSA or Jurisdiction Variance information. ○ SEND 'K' Restriction ○ SEND 'V' Restriction based on FMCSA or Jurisdiction Variance • Medical Certification Status Code=blank <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data ○ SEND 'K' Restriction | <p>'EA' Driver</p> <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'EA' • Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data ○ SEND 'K' Restriction <p>'EI' Driver</p> <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'EI' • Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data |

| Event | Non-excepted interstate (NI) | Non-excepted <u>intrastate</u> (NA) | Excepted interstate (EI) Excepted <u>intrastate</u> (EA) |
|---|---|---|---|
| <p>5. Change State of Record at SDLA</p> <ul style="list-style-type: none"> Unexpired Medical Certificate (either from old SOR, or new certificate) No FMCSA Variance Medical Certification Data not yet posted to CDLIS Driver Record <p>(SDLA has 10 calendar days to post) ** Medical Self-Certification Code is not part of Medical Certification data, therefore is not included in 10 day posting period</p> | <ul style="list-style-type: none"> SEND Medical Self-Certification Code = 'NI' Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> DO NOT SEND ANY Medical Certification Data | <ul style="list-style-type: none"> SEND Medical Self-Certification Code = 'NA' Medical Certification Status Code = 'blank' <ul style="list-style-type: none"> DO NOT SEND ANY Medical Certification Data SEND 'K' Restriction | <p>'EA' Driver</p> <ul style="list-style-type: none"> SEND Medical Self-Certification Code = 'EA' Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> DO NOT SEND Medical Certification Data SEND 'K' Restriction <p>'EI' Driver</p> <ul style="list-style-type: none"> SEND Medical Self-Certification Code = 'EI' Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> DO NOT SEND Medical Certification Data |
| <p>6. Change State of Record at SDLA</p> <ul style="list-style-type: none"> Unexpired Medical Certificate (either from old SOR, or new certificate) With FMCSA Variance Medical Certification Data not yet posted to CDLIS Driver Record <p>(SDLA has 10 calendar days to post) ** Medical Self-Certification Code is not part of Medical Certification data, therefore is not included in 10 day posting period</p> | <ul style="list-style-type: none"> SEND Medical Self-Certification Code = 'NI' Medical Certification Status Code='blank' <ul style="list-style-type: none"> DO NOT SEND ANY Medical Certification Data SEND 'V' Restriction based on FMCSA Variance | <ul style="list-style-type: none"> SEND Medical Self-Certification Code = 'NA' Medical Certification Status Code='blank' <ul style="list-style-type: none"> DO NOT SEND ANY Medical Certification Data SEND 'K' Restriction SEND 'V' Restriction based on FMCSA or Jurisdiction Variance | <p>'EA' Driver</p> <ul style="list-style-type: none"> SEND Medical Self-Certification Code = 'EA' Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> DO NOT SEND Medical Certification Data SEND 'K' Restriction <p>'EI' Driver</p> <ul style="list-style-type: none"> SEND Medical Self-Certification Code = 'EI' Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> DO NOT SEND Medical Certification Data |

| Event | Non-excepted interstate (NI) | Non-excepted <u>intrastate</u> (NA) | Excepted interstate (EI) Excepted <u>intrastate</u> (EA) |
|--|---|---|---|
| <p>7. Change State of Record at SDLA</p> <ul style="list-style-type: none"> • Unexpired Medical Certificate (either from old SOR, or new certificate) • No FMCSA Variance • Medical Certification Data posted to CDLIS Driver Record | <ul style="list-style-type: none"> • SEND Medical Self Certification Code=NI • Medical Certification Status Code='C' <ul style="list-style-type: none"> ○ SEND ALL Complete and Accurate Medical Certification Data | <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'NA' • Medical Certification Status Code= 'C' <ul style="list-style-type: none"> ○ SEND ALL Complete and Accurate Medical Certification Data ○ SEND 'K' Restriction • Medical Certification Status Code=blank <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data ○ SEND 'K' Restriction | <p>'EA' Driver</p> <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'EA' • Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data ○ SEND 'K' Restriction <p>'EI' Driver</p> <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'EI' • Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data |

| Event | Non-excepted interstate (NI) | Non-excepted <u>intrastate</u> (NA) | Excepted interstate (EI) Excepted <u>intrastate</u> (EA) |
|---|---|---|--|
| <p>8. Change State of Record at SDLA</p> <ul style="list-style-type: none"> • Unexpired Medical (either from old SOR, or new certificate) • With FMCSA Variance • Medical Certification Data posted to CDLIS Driver Record | <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'NI' • Medical Certification Status Code='C' <ul style="list-style-type: none"> ○ SEND ALL Complete and Accurate Medical Certification Data; including FMCSA Variance information ○ SEND 'V' Restriction based on FMCSA Variance | <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'NA' • Medical Certification Status Code= 'C' <ul style="list-style-type: none"> ○ SEND ALL Complete and Accurate Medical Certification Data; including FMCSA or Jurisdiction Variance information ○ SEND 'K' Restriction ○ SEND 'V' Restriction based on FMCSA or Jurisdiction Variance • Medical Certification Status Code=blank <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data ○ SEND 'K' Restriction | <p>'EA' Driver</p> <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'EA' • Medical Certification Status Code = 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data ○ SEND 'K' Restriction <p>'EI' Driver</p> <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'EI' • Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data |
| <p>9. Current CDL holder fails to self-certify by Jan 30, 2014</p> <ul style="list-style-type: none"> • STATE BEGINS DOWNGRADE PROCESS <p>** This is the only time a Jurisdiction is allowed to assign a driver's Medical Self-Certification Code</p> | <ul style="list-style-type: none"> • SET Medical Self-Certification Code to 'NI' • SET Medical Certification Status Code to 'N' <ul style="list-style-type: none"> ○ DO NOT SEND ANY Medical Certification Data | | |

| Event | Non-excepted interstate (NI) | Non-excepted <u>intrastate</u> (NA) | Excepted interstate (EI) Excepted <u>intrastate</u> (EA) |
|--|--|---|---|
| 10. Voluntarily Change Self Certification <ul style="list-style-type: none"> • From non-excepted interstate 'NI' to any excepted 'EI' or 'EA' category. | <p style="text-align: center;">N/A</p> | <p style="text-align: center;">N/A</p> | 'EA' Driver <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'EA' • Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data ○ SEND 'K' Restriction 'EI' Driver <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'EI' • Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data |
| 11. Voluntarily Change Self Certification <ul style="list-style-type: none"> • From non-excepted interstate (NI) to non-excepted intrastate (NA) • No FMCSA Variances | <p style="text-align: center;">N/A</p> | <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'NA' • Medical Certification Status Code= 'C' <ul style="list-style-type: none"> ○ SEND ALL Complete and Accurate Medical Certification data ○ Send 'K' Restriction • Medical Certification Status Code=blank <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data ○ SEND 'K' Restriction | <p style="text-align: center;">N/A</p> |

| Event | Non-expected interstate (NI) | Non-expected <u>intrastate</u> (NA) | Excepted interstate (EI) Excepted <u>intrastate</u> (EA) |
|--|---------------------------------|---|---|
| <p>12. Voluntarily Change Self Certification</p> <ul style="list-style-type: none"> • From non-expected interstate (NI) to non-expected intrastate (NA) • With FMCSA Variances | <p>N/A</p> | <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'NA' • Medical Certification Status Code= 'C' <ul style="list-style-type: none"> ○ SEND ALL Complete and Accurate Medical Certification Data; including FMCSA or Jurisdiction Variance information ○ SEND 'K' Restriction ○ SEND 'V' Restriction based on FMCSA or Jurisdiction Variance • Medical Certification Status Code=blank <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data ○ SEND 'K' Restriction | <p>N/A</p> |

| Event | Non-excepted interstate (NI) | Non-excepted <u>intrastate</u> (NA) | Excepted interstate (EI) Excepted <u>intrastate</u> (EA) |
|--|--|---|---|
| <p>13. FMCSA rescinds Medical Certificate</p> <ul style="list-style-type: none"> • With FMCSA Variance • Before Downgrade <p>(The expiration date would change)</p> | <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'NI' • Medical Certification Status Code='N' <ul style="list-style-type: none"> ○ Medical Certificate expiration date = update with date from FMCSA ○ SEND ALL Complete and Accurate Medical Certification Data; including FMCSA Variance information ○ SEND 'V' Restriction | <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'NA' • Medical Certification Status Code= 'N' <ul style="list-style-type: none"> ○ Medical Certificate expiration date = update with date from FMCSA ○ SEND ALL Complete and Accurate Medical Certification Data; including FMCSA or Jurisdiction Variance information ○ SEND 'K' Restriction ○ SEND 'V' Restriction based on FMCSA or Jurisdiction Variance • Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data ○ SEND 'K' Restriction | <p>N/A</p> |

| EVENTS IN THE DOWNGRADE PROCESS | | | |
|--|---|---|---|
| <p>1. Medical Certificate Expiration Date is past current date, and the current date is less than Medical Certification Expiration Date plus 11 days.</p> <ul style="list-style-type: none"> • No FMCSA Variance • SDLA <u>has not changed</u> Medical Certification Status to 'N' <p>(SDLA has up to 10 calendar days to change status to 'N' and 60 days to downgrade to 'non-CDL')</p> | <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'NI' • Medical Certification Status Code='C' <ul style="list-style-type: none"> ○ SEND ALL Complete and Accurate Medical Certification Data | <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'NA' • Medical Certification Status Code= 'C' <ul style="list-style-type: none"> ○ SEND ALL Complete and Accurate Medical Certification Data ○ SEND 'K' Restriction • Medical Certification Status Code=blank <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data ○ SEND 'K' Restriction | <p>'EA' Driver</p> <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'EA' • Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data ○ SEND 'K' Restriction <p>'EI' Driver</p> <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'EI' • Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data |

| DOWNGRADE PROCESS EVENTS | | | |
|---|---|---|---|
| <p>2. Medical Certificate Expiration Date is past current date,, and the current date is less than Medical Certification Expiration Date plus 11 days.</p> <ul style="list-style-type: none"> Has non-expired FMCSA Variance <u>SDLA has not changed</u> Medical Certification Status to 'N' <p>(SDLA has up to 10 calendar days to change status to 'N' and 60 days to downgrade to 'non-CDL')</p> | <ul style="list-style-type: none"> SEND Medical Self-Certification Code = 'NI' Medical Certification Status Code='C' <ul style="list-style-type: none"> SEND ALL Complete and Accurate Medical Certification Data; including FMCSA Variance information SEND 'V' Restriction based on FMCSA Variance | <ul style="list-style-type: none"> SEND Medical Self-Certification Code = 'NA' Medical Certification Status Code= 'C' <ul style="list-style-type: none"> SEND ALL Complete and Accurate Medical Certification Data; including FMCSA or Jurisdiction Variance information SEND 'K' Restriction SEND 'V' Restriction based on FMCSA or Jurisdiction Variance Medical Certification Status Code=blank <ul style="list-style-type: none"> DO NOT SEND Medical Certification Data SEND 'K' Restriction | <p>'EA' Driver</p> <ul style="list-style-type: none"> SEND Medical Self-Certification Code = 'EA' Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> DO NOT SEND Medical Certification Data SEND 'K' Restriction <p>'EI' Driver</p> <ul style="list-style-type: none"> SEND Medical Self-Certification Code = 'EI' Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> DO NOT SEND Medical Certification Data |
| <p>3. Medical Certificate Expiration Date is past current date,</p> <ul style="list-style-type: none"> No FMCSA Variance. SDLA has changed Medical Certification Status to 'N' <p>(SDLA has up to 10 calendar days to change status to 'N' and 60 days to downgrade to 'non-CDL')</p> | <ul style="list-style-type: none"> SEND Medical Self-Certification Code = 'NI' Medical Certification Status Code='N' <ul style="list-style-type: none"> SEND ALL Complete and Accurate Medical Certification Data | <ul style="list-style-type: none"> SEND Medical Self-Certification Code = 'NA' Medical Certification Status Code= 'N' <ul style="list-style-type: none"> SEND ALL Complete and Accurate Medical Certification Data SEND 'K' Restriction Medical Certification Status Code=blank <ul style="list-style-type: none"> DO NOT SEND Medical Certification Data SEND 'K' Restriction | <p>'EA' Driver</p> <ul style="list-style-type: none"> SEND Medical Self-Certification Code = 'EA' Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> DO NOT SEND Medical Certification Data SEND 'K' Restriction <p>'EI' Driver</p> <ul style="list-style-type: none"> SEND Medical Self-Certification Code = 'EI' Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> DO NOT SEND Medical Certification Data |

| DOWNGRADE PROCESS EVENTS | | | |
|---|---|---|---|
| <p>4. Medical Certificate Expiration Date is past current date.</p> <ul style="list-style-type: none"> ● Has non-expired FMCSA Variance ● SDLA <u>has changed</u> Medical Certification Status to 'N' <p>(SDLA has up to 10 calendar days to change status to 'N' and 60 days to downgrade to 'non-CDL')</p> | <ul style="list-style-type: none"> ● SEND Medical Self-Certification Code = 'NI' ● Medical Certification Status Code='N' <ul style="list-style-type: none"> ○ SEND ALL Complete and Accurate Medical Certification Data; including FMCSA Variance information ○ SEND 'V' Restriction based on FMCSA Variance | <ul style="list-style-type: none"> ● SEND Medical Self-Certification Code = 'NA' ● Medical Certification Status Code= 'N' <ul style="list-style-type: none"> ○ SEND ALL Complete and Accurate Medical Certification Data; including FMCSA or Jurisdiction Variance information ○ SEND 'K' Restriction ○ SEND 'V' Restriction based on FMCSA or Jurisdiction Variance ● Medical Certification Status Code=blank <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data ○ SEND 'K' Restriction | <p>'EA' Driver</p> <ul style="list-style-type: none"> ● SEND Medical Self-Certification Code = 'EA' ● Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data ○ SEND 'K' Restriction <p>'EI' Driver</p> <ul style="list-style-type: none"> ● SEND Medical Self-Certification Code = 'EI' ● Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data |

| DOWNGRADE PROCESS EVENTS | | | |
|--|---|---|---|
| <p>5. Medical Certificate Expiration Date has not expired</p> <ul style="list-style-type: none"> • FMCSA Variance Expiration Date is past current date, and less than Variance Expiration Date plus 11 days. • SDLA <u>has not changed</u> Medical Certification Status to 'N' <p>(SDLA has up to 10 calendar days to change status to 'N' and 60 days to downgrade to 'non-CDL')</p> | <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'NI' • Medical Certification Status Code='C' <ul style="list-style-type: none"> ○ SEND ALL Complete and Accurate Medical Certification Data; including FMCSA Variance information ○ SEND 'V' Restriction based on FMCSA Variance | <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'NA' • Medical Certification Status Code= 'C' <ul style="list-style-type: none"> ○ SEND ALL Complete and Accurate Medical Certification Data; including FMCSA or Jurisdiction Variance information ○ SEND 'K' Restriction ○ SEND 'V' Restriction based on FMCSA or Jurisdiction Variance • Medical Certification Status Code=blank <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data ○ SEND 'K' Restriction | <p>'EA' Driver</p> <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'EA' • Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data ○ SEND 'K' Restriction <p>'EI' Driver</p> <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'EI' • Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data |

| DOWNGRADE PROCESS EVENTS | | | |
|--|---|---|---|
| <p>6. Medical Certificate Expiration Date has not expired</p> <ul style="list-style-type: none"> • Variance Expiration Date is past current date • SDLA <u>has changed</u> Medical Certification Status to 'N' <p>(SDLA has up to 10 calendar days to change status to 'N' and 60 days to downgrade to 'non-CDL')</p> | <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'NI' • Medical Certification Status Code='N' <ul style="list-style-type: none"> ○ SEND ALL Complete and Accurate Medical Certification Data; including FMCSA Variance information ○ SEND 'V' Restriction based on FMCSA Variance | <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'NA' • Medical Certification Status Code= 'N' <ul style="list-style-type: none"> ○ SEND ALL Complete and Accurate Medical Certification Data; including FMCSA or Jurisdiction Variance information ○ SEND 'K' Restriction • SEND 'V' Restriction based on FMCSA or Jurisdiction Variance • Medical Certification Status Code=blank <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data ○ SEND 'K' Restriction | <p>'EA' Driver</p> <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'EA' • Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data ○ SEND 'K' Restriction <p>'EI' Driver</p> <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = 'EI' • Medical Certification Status Code= 'blank' <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data |

| DOWNGRADE PROCESS EVENTS | | | |
|---|---|---|--|
| <p>7. ‘Current Date is > Medical Certification Expiration Date plus 10 days and < Medical Certification Expiration Date plus 60 days, OR</p> <p>Current Date is > SPE Expiration Date plus 10 days and < SPE Expiration Date plus 60 days, OR</p> <p>Current Date is > Exempt Expiration Date plus 10 days and < Exempt Expiration Date plus 60 day, and</p> <p>SDLA has not downgraded driver</p> <p>(SDLA had up to 60 calendar days to downgrade driver).</p> | <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = ‘NI’ • Medical Certification Status Code=’N’ <ul style="list-style-type: none"> ○ SEND ALL Complete and Accurate Medical Certification Data; including FMCSA Variance information ○ SEND ‘V’ Restriction based on FMCSA Variance | <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = ‘NA’ • Medical Certification Status Code= ‘N’ <ul style="list-style-type: none"> ○ SEND ALL Complete and Accurate Medical Certification Data; including FMCSA or Jurisdiction Variance information ○ SEND ‘K’ Restriction • SEND ‘V’ Restriction based on FMCSA or Jurisdiction Variance • Medical Certification Status Code = ‘blank’ <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data ○ SEND ‘K’ Restriction | <p>EA’ Driver</p> <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = ‘EA’ • Medical Certification Status Code= ‘blank’ <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data ○ SEND ‘K’ Restriction <p>‘EI’ Driver</p> <ul style="list-style-type: none"> • SEND Medical Self-Certification Code = ‘EI’ • Medical Certification Status Code= ‘blank’ <ul style="list-style-type: none"> ○ DO NOT SEND Medical Certification Data |
| <p>8. SDLA downgrades a driver from CDL to non-CDL (Involuntary)</p> <ul style="list-style-type: none"> • COMPLETION OF THE DOWNGRADE PROCESS | <ul style="list-style-type: none"> • Medical Self-Certification Code = ‘blank’ • Medical Certification Status = ‘blank’ • Commercial status not equal to ‘LIC’ (licensed) • DO NOT SEND Medical Certification Data <ul style="list-style-type: none"> ○ ‘V’ restriction is not sent ○ SPE and waiver/exemption information is not sent | | |
| <p>9. Driver requests downgrade from CDL to non-CDL (Voluntary downgrade)</p> <ul style="list-style-type: none"> • COMPLETION OF THE DOWNGRADE PROCESS | <ul style="list-style-type: none"> • Medical Certification Status = ‘blank’ • Medical Self-Certification Code = ‘blank’ • Commercial status not equal to ‘LIC’ (licensed) • DO NOT SEND Medical Certification Data <ul style="list-style-type: none"> ○ ‘V’ restriction is not sent ○ SPE and waiver/exemption information is not sent | | |

10. Driver was required to have CDL, but did not have one and was convicted of a violation in the 383.51 Tables of violations.

- Medical Certification Status = 'blank'
- Medical Self-Certification Code = 'blank'
- Commercial Status not equal to 'LIC' (licensed)
- DO NOT SEND Medical Certification Data
 - 'V' restriction is not sent
 - SPE and waiver/exemption information is not sent