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**The
Commercial Driver License Information System
(CDLIS)**

State Procedures

Version 2.0

October 1998

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1. INTRODUCTION

1.1 Purpose

The purpose of this document is to outline the *minimum* procedures required by the 51 jurisdictions to participate in the Commercial Driver License Information System (CDLIS). For the remainder of this document, the terms “jurisdiction” and/or “state” are defined as the 50 States and the District of Columbia.

1.2 Scope

This edition of the State Procedures supersedes the CDLIS State Procedures manual of October 3, 1994. It incorporates experience gained through the course of years of CDLIS operations within a production environment, while continuing to provide guidance on the operational aspects of the commercial driver licensing program as mandated by the Commercial Motor Vehicle Safety Act (CMVSA) of 1986.

These procedures are not intended to address CMVSA requirements outside the scope of the information system itself. The *CDLIS State Procedures* manual is intended to be used in conjunction with the *CDLIS System Specifications*, *AAMVAnet Message Dictionary*, and the *AAMVAnet Data Dictionary*. Taken together, these documents represent the suite of reference material necessary for the operation and maintenance of a jurisdiction’s CDLIS application. If required, the *CDLIS Detail System Design*, the *CDLIS Data Element Dictionary*, and the *CDLIS Installation Manual* are also available.

1.3 The Law

CDLIS is designed to assist jurisdictions in complying with the requirements of the Commercial Motor Vehicle Safety Act (CMVSA or “the Act”) of 1986, which was enacted in a nationwide effort to remove unsafe and/or unqualified drivers from the nation's highways. The Act requires commercial motor vehicle operators to possess a Commercial Driver License (CDL), yet prohibits commercial drivers from holding a CDL from more than one jurisdiction at the same time. Toward that end, Section 12007 of the Act mandates the development and implementation of CDLIS to serve as a central repository containing license and identification information of commercial motor vehicle operators in the United States.

The jurisdictions retain the right to issue and to administer CDLs held by residents, as well as the responsibility of maintaining the driving record associated with each licensed driver. To implement the CDL program, each jurisdiction is obligated to meet the minimum requirements of the Act and the associated federal rules.

Several significant features of the Act include:

- July 1, 1987: The single license requirement mandates that commercial drivers hold only one CDL, issued by the jurisdiction in which the driver resides;
- April 1, 1992: All commercial drivers are required to pass mandatory written and driving tests before being issued a CDL to ensure that they possess the knowledge and skill required to safely operate their vehicle;
- No commercial driver may be issued a CDL if they are disqualified, or if their license is suspended, revoked, or canceled;
- Employees are required to notify employers of any suspension, revocation, cancellation, or disqualification of their driving privilege; and
- Employers are prohibited from knowingly allowing a driver with multiple licenses to operate company vehicles.

Penalties for violating any provisions of the Act are intentionally severe: lengthy disqualification from driving, fines of up to \$5,000 per violation, and prison sentences of up to 90 days are possible. CMVSA also includes provisions for tighter restrictions on blood alcohol levels for commercial vehicle operators.

1.4 The National Driver Register (NDR) and Problem Driver Pointer System (PDPS)

The Act also requires each jurisdiction to query the National Driver Register (NDR) before issuing a CDL to an applicant. In brief, the NDR is a central repository that contains information about problem drivers in the United States. A “problem driver” is defined as an individual who may have had his/her license revoked or suspended, or been convicted of serious traffic violations, such as driving while impaired by alcohol or drugs. The Problem Driver Pointer System (PDPS) acts as a “pointer” for this repository. Based on information received as a result of an NDR search, PDPS will “point” the State of Inquiry (SOI) to the State of Record (SOR), 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. Hence all information returned

from the NDR must be viewed in light of the CDLIS search results before issuing a CDL to a driver applicant.

Consult the *PDPS State Procedures*, *System Reference Manual*, and *Message Matrix* for a complete description of PDPS. Also visit the National Driver Register website at www.nhtsa.dot.gov/people/perform/driver.

1.5 CDLIS Development History

Beginning with the fundamental requirements defined in Section 12007 of CMVSA, the development of CDLIS evolved in stages. Funded by a grant from the Federal Highway Administration (FHWA), the state of New York was selected to manage the CDLIS development project. On November 5, 1987, a request for proposals for the design, development, implementation, and operation of CDLIS was released by the state of New York to open and competitive bid. The contract was awarded to Electronic Data Systems (EDS) by the state of New York in March of 1988. CDLIS operations began on schedule between the state of New York and the state of California via the AAMVAnet telecommunications network (see Section 1.6) on January 3, 1989, with all jurisdictions completing implementation and becoming operational on or before April 1, 1992.

Additionally, the American Association of Motor Vehicle Administrators (AAMVA) formed the CDLIS Steering Committee (now defunct) to guide the definition, procurement, development, and implementation of CDLIS. California; the District of Columbia; Florida; Idaho; Illinois; Louisiana; Massachusetts; Nevada; New York; Ohio; Ontario, Canada; Oregon; Rhode Island; and Texas were represented.

1.6 AAMVAnet, Inc.

The CDLIS Central Site, the National Driver Register (NDR), and the 51 jurisdictions are electronically linked together via the AAMVAnet telecommunications network. AAMVAnet, Inc., a not-for-profit affiliate of the American Association of Motor Vehicle Administrators (AAMVA) headquartered in Arlington, Virginia, was chartered in 1988 to provide value-added networking (VAN) services to motor vehicle agencies for CDLIS, PDPS, and other government and private sector applications. Designated as the operator of CDLIS by the FHWA, AAMVAnet is responsible for maintaining and enhancing the CDLIS system, monitoring CDLIS jurisdictional compliance issues, and providing ongoing CDLIS customer support to the jurisdictions. The AAMVAnet Operations Department has also assumed the role of assisting jurisdictions with solving unexpected issues within the PDPS production.

2. BASIC SYSTEM ARCHITECTURE

2.1 Overview

CDLIS is a distributed data exchange application that provides jurisdictions with license and identification information about commercial drivers in the United States. The CDLIS Central Site (see Section 2.4) processes transactions based on identification data maintained by each jurisdiction. The jurisdictions are independent elements within the distributed architecture of CDLIS, and each must maintain a common set of data elements necessary to ensure the successful exchange of commercial driver information between jurisdictions. 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 is governed by each individual jurisdiction's disclosure requirements.

2.2 State of Record (SOR)

A jurisdiction becomes the *State of Record* (SOR) for each Commercial Driver License (CDL) it issues. As such, it is the single authority responsible for maintaining the record of every commercial driver licensed within its jurisdiction. Since the SOR is the only jurisdiction for which the CDLIS Central Site will store a pointer record, the SOR must maintain a driver's identification data, transmit that data to the CDLIS Central Site, and respond to any CDLIS Status Inquiries, Driver History Requests, and all other CDLIS transactions originating from other jurisdictions which involve the SOR. Neither the jurisdictions nor the CDLIS Helpdesk can *directly* change another jurisdiction's driver record. The Report Out-of-State Conviction, Negate Out-of-State Conviction, and Change State of Record transactions all provide an automated procedure for interstate actions that affect the content or location of a driver's record.

If a commercial driver holds a CDL from one jurisdiction and applies for a CDL in a new jurisdiction, the new jurisdiction becomes the SOR immediately upon acceptance of the Change State of Record transaction at the CDLIS Central Site. The new jurisdiction should take custody of the CDL issued by the previous SOR, and then issue the driver a CDL from the new jurisdiction. Refer to Section 3.12 for further information regarding the Change State of Record transaction.

2.3 State of Inquiry (SOI)

A jurisdiction that inquires about the driving record of a commercial driver from another jurisdiction by initiating any of the following six CDLIS transactions becomes the *State of Inquiry* (SOI) for that transaction:

- Search Inquiry
- Verification Inquiry
- State Request for Status
- Driver History Request
- Inquiry for AKA Data
- Application Status Inquiry

The SOI has the responsibility of properly initiating these transactions and examining the responses returned from the SORs, CDLIS, and the NDR.

2.4 CDLIS Central Site

CDLIS consists of a *Central Site*, managed by Electronic Data Systems (EDS) and located in Plano, Texas, that houses the CDLIS pointers and identification data (for example, name, date of birth, Social Security Number, etc.) about each commercial driver registered in each jurisdiction, and that together constitute a driver's unique CDLIS Master Pointer Record (MPR). When a jurisdiction queries CDLIS to obtain information about an applicant prior to issuing a CDL, the CDLIS Central Site compares the data provided by the State of Inquiry (SOI) against all of the MPR's located within CDLIS. If one or more matches is returned, the CDLIS Central Site "points" the SOI to the SOR, where detailed information about the driver's commercial driving history will be found.

2.5 User Access

2.5.1 Primary User

A "Primary User" is any one of the 51 jurisdictions (50 States and the District of Columbia) for which CDLIS performs its primary clearinghouse and pointer system functions. Each primary user has full rights and privileges to the CDLIS transactions and data for which it is the SOR.

2.5.2 Other Users

An “Other User” is a user that may be granted access to CDLIS according to the provisions of CMVSA. The following are several “Other User” projects under development:

- **Motor Carrier Safety Assistance Program (MCSAP)**

A project to give federal and state law enforcement personnel the ability to obtain driver record information from CDLIS. Driver license status, history, and AKA information will be accessible from any of the 51 jurisdictions.

- **Mexican Access**

As part of the North American Free Trade Agreement (NAFTA), the Federal Highway Administration (FHWA), AAMVAnet, and TML Information Services are working together to provide for the exchange of commercial driver status information between the United States and Mexico. Even though the borders between the United States and Mexico have officially opened, additional discussions between the US and Mexico are necessary before operating authority is finalized.

- **Canadian Access**

Also as part of NAFTA, the FHWA, New York State, AAMVAnet, and the Canadian Council of Motor Transport Administrators (CCMTA) are working together on a project to provide for the exchange of commercial driver status (“Phase I”) and conviction data (“Phase II”) between the United States and Canada. The State of New York has constructed the electronic “gateway” (called the “Bridge” or “IRE/AAMVAnet Bridge”) between the CCMTA and AAMVAnet networks, and will also provide translation services between the Canadian and US transactions.

- **National Law Enforcement Telecommunications System (NLETS)**

NLETS, the FBI, and State Child Support Enforcement have all requested access to CDLIS in order to support their respective enforcement activities. Efforts are now underway to develop access for those jurisdictions who have been given access approval.

2.6 Data Elements

The following chart lists the data elements necessary to process CDLIS transactions. Throughout Section 3, categories such as "Required," "If Applicable," and "Optional" are given beside each CDLIS message to denote which data elements are necessary to the specific transaction and their category (that is, "Required," "If Applicable," etc.). In general, if a jurisdiction has a data element in its database and the relevant CDLIS message makes provisions for that data element, then **send the data element**.

The jurisdictions are reminded that when a data element is listed as "Optional," its use, if the information is available, will generally result in more accurate identification and therefore fewer complications associated with multiple matches. In cases where data elements are listed "If Applicable" (such as restrictions, permits, convictions, accidents, or withdrawals), and if information for that element is available, then **send the data element**.

If a jurisdiction does not maintain or cannot provide certain data elements, that condition will be represented by a blank field. If the response to a data element is "Unknown," and no provision for an "Unknown" response exists within that data element, that condition will also be represented by a blank field.

Following are the data elements maintained and described in detail in the *AAMVAnet Data Dictionary*:

Ctrl	Description
1	Number of AKA Driver Name/DOBs
2	Driver Name
3	Number of AKA Driver License Jurisdiction and Number fields
4	Driver License Jurisdiction and Number
5	Number of AKA Driver Social Security Numbers
6	Driver Social Security Number
7	Driver Date of Birth
8	Driver Sex
9	Driver Height
10	Driver Weight
11	Driver Eye Color
12	Driver License Classifications
13	Driver License Endorsements
Ctrl	Description
14	Driver License Issue Date

15	Driver License Expiration Date
16	Noncommercial Driver License Status
17	Commercial Driver License Status
18	Driver License Withdrawal Action Pending
19	Medical Indicator
20	Driver Mailing Address
21	Driver Residence Address
22	Number of Driver License Restrictions
23	Driver License Restrictions
24	Driver License Restriction End Date
25	Driver License Restriction Explanation
26	Number of Driver Permits
27	Driver Permit Status
28	Driver Permit Classification
29	Driver Permit Endorsements
30	Driver Permit Issue Date
31	Driver Permit Expiration Date
32	Number of Driver Permit Restrictions
33	Driver Permit Restrictions
34	Driver Permit Restriction Ending Date
35	Driver Permit Restriction Explanation
36	Total Number of Driver Convictions
37	Number of Driver Citations Sent
38	Citation Date
39	Conviction Date
40	Conviction Offense
41	Court Type
42	Conviction Jurisdiction
43	Commercial Motor Vehicle Offense
44	Hazardous Material Offense
45	Conviction Offense Locator Reference
46	Conviction Offense Reference
47	Total Number of Accidents
Ctrl	Description
48	Number of Accidents Sent
49	Accident Date

50	Accident Jurisdiction
51	Accident Severity
52	Commercial Vehicle Accident
53	Hazardous Material Accident
54	Accident Locator Reference
55	Total Number of Driver License Withdrawals
56	Number of Withdrawal Sent
57	Driver License Withdrawal Type
58	Driver License Withdrawal Extent
59	Driver License Withdrawal Jurisdiction
60	Driver License Withdrawal Reason
61	Driver License Withdrawal Effective Date
62	Driver License Eligibility Date
63	Driver License Withdrawal Reinstatement Date
64	Withdrawal Locator Reference
65	Withdrawal Reason Reference

3. CDLIS STATE PROCEDURES

3.1 Transaction Message Types

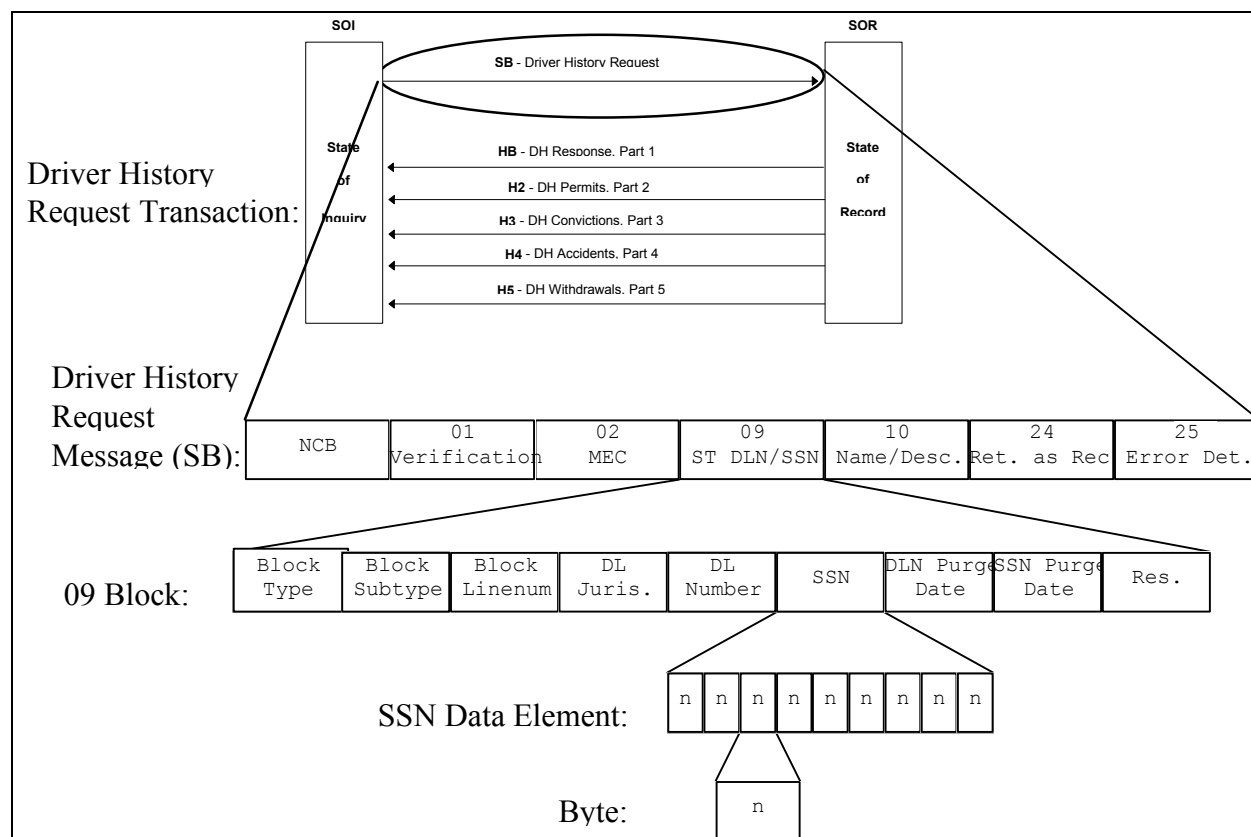
CDLIS gives each jurisdiction the ability to query both the CDLIS Central Site as well as other jurisdictions, and provides update capability for modifying the CDLIS Central Site. CDLIS also has a maintenance capability for modifying or deleting CDLIS Central Site records. The following transactions are explained in detail in the Sections that follow.

Message Type	Transaction	Origin and Destination
IM	Search Inquiry	SOI to CDLIS Central Site
IN	Verification Inquiry	SOI to CDLIS Central Site
SG	State Status Request	SOI to SOR
SB	Driver History Request	SOI to SOR
IK	Inquiry for AKA Data	SOI to CDLIS Central Site
IW	Employer Inquiry	Third Party Provider to CDLIS Central Site
IX	Application Status Inquiry	SOI to CDLIS Central Site or a State
UA	Create New Driver	SOR to CDLIS Central Site
UD	Change State of Record	New SOR to CDLIS Central Site and Old SOR
HA	Report Out-of-State Conviction	SOC to CDLIS - CDLIS to SOR
HH	Negate Out-of-State Conviction	SOC to CDLIS - CDLIS to SOR
NE	Possible Duplicate Resolution	CDLIS Central Site to SOR
UG	Mark Driver Unique	SORs to CDLIS Central Site
UK	Update AKA Data	SOR to CDLIS Central Site

3.1.2 CDLIS Data Structure

The following graphic shows the relationships between CDLIS transactions, messages, blocks, data elements, and individual bytes of data:

Figure 1- CDLIS Data Structure



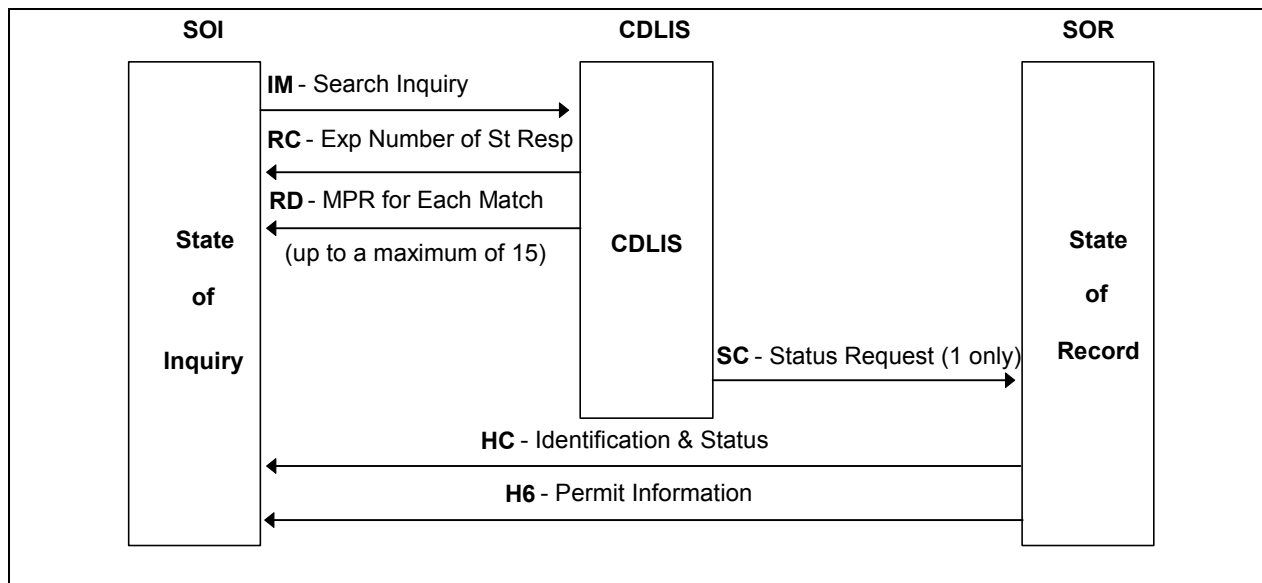
3.1.3 Transaction Flow Charts

The remainder of Section 3 makes extensive use of transaction flow charts. The charts provide examples of message types and their path by indicating whether the CDLIS Central Site is involved in the transaction or if the transaction goes directly to another jurisdiction (bypassing the CDLIS Central Site).

This example transaction flow chart illustrates the following:

1. The SOI sends a Search Inquiry (IM) to the CDLIS Central Site.
2. The CDLIS Central Site responds to the SOI (RC).
3. The CDLIS Central Site returns the MPR for each match (RD) (15 max.).
4. The CDLIS Central Site initiates a Status Request (SC) to a SOR.
5. The SOR returns the requested data (HC + H6) to the SOI, bypassing the CDLIS Central Site.

Figure 2 - Example Transaction Chart



3.2 Broken Pointers

If the SOR receives a Status Request (SC) as a result of a Search Inquiry (IM), but cannot locate the driver's record within its own database, a *broken pointer* situation has occurred. The SOR must still return a Status Response (HC) message to the SOI, but the message will indicate that no record was found and will contain no status information. The SOR should also return the Status Request (SC) message to the CDLIS Central Site indicating that an error condition exists. The SOR should then contact the CDLIS Helpdesk (see Appendix A, "AAMVAnet Customer Service") to initiate resolution of the issue. Since broken pointers are expected to be very few in number, the SOI should act with caution in this unusual situation and is encouraged to contact the CDLIS Helpdesk to determine the cause of the problem. Great care should always be taken by the new jurisdiction in resolving a problem involving a broken pointer situation, since it indicates a possible fraudulent license scenario.

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

3.3 Substitute and Pseudo Social Security Numbers

3.3.1 Substitute Social Security Number

The CMVSA mandates that the driving record of every *operator* of a commercial motor vehicle (CMV) should become part of the CDLIS database. The scope of the definition includes driving records even of *non*-CDL drivers convicted of an offense while operating a CMV. Complicating the issue, some jurisdictions do not require motor vehicle operators to provide a 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 pointer records for non-CDL drivers convicted of an offense while operating a CMV, but who refuse to provide a SSN. The procedure is as follows:

- The convicting jurisdiction must first send an inquiry to determine if the driver is on CDLIS.
- If the driver is on CDLIS, a Report Conviction message should be sent to CDLIS for the driver. CDLIS will forward the information to the appropriate jurisdiction to update the driver history. This describes the normal process for reporting Out-of-State convictions.
- If the driver is *not* on CDLIS, and presents a noncommercial license from another jurisdiction, the convicting jurisdiction will need to mail or fax a report of this conviction to the driver's SOR for further processing. In some cases, a Substitute SSN may be needed to create the record if the driver refuses to provide a valid SSN. The licensing jurisdiction 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 jurisdiction that convicted the driver will need to add the driver to CDLIS and maintain the driver history. Even if the driver presents another form of ID with an address, if there is no official license document, the convicting jurisdiction will need to be responsible for this driver record. The conviction jurisdiction must respond to CDLIS inquiries with the appropriate status and history.

The CDLIS Central Site will not maintain Substitute SSNs because the 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 if he/she refuses to give his/her real SSN. If a driver is applying for a CDL but is permitted by the jurisdiction to withhold his/her SSN, the assigned state pseudo-SSNs should be used (see Section 3.3.2 and Appendix B). **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.**

3.3.2 Pseudo Social Security Numbers

If a driver resides in a jurisdiction that does not require that he/she provide an SSN, and the driver elects not to provide it, the jurisdiction should assign a pseudo SSN to that driver when adding him/her to CDLIS. Generally, the jurisdiction should be able to obtain a SSN from a driver without difficulty, since driving a commercial vehicle in many jurisdictions is considered a privilege. Only in extreme situations, such as an individual having strong religious, right-to-privacy, or similar beliefs against providing this information, should the exception be made.

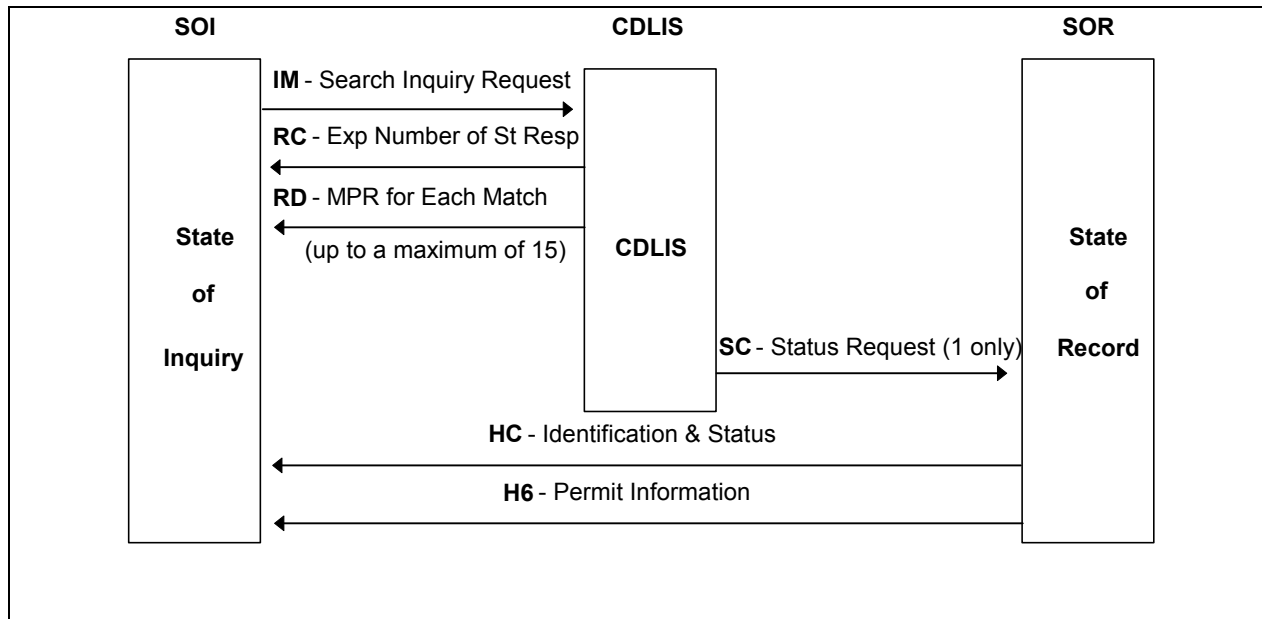
Although a CDLIS Master Pointer Record makes no distinction between a genuine SSN and a pseudo SSN, a pseudo SSN can be identified by verifying that it falls within the range of numbers assigned to a particular jurisdiction (See Appendix B) for this purpose. If the number falls outside this range, it 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, given that drivers' SORs often change.

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.

3.4 Search Inquiry

The Search Inquiry transaction gives jurisdictions the ability to query the CDLIS Central Site for possible matches against a new applicant or a licensed driver with new identification data. It is a broad type of inquiry as compared to the Verification Inquiry (IN) described in Section 3.5.

Figure 3 - Search Inquiry



Data elements needed to successfully perform the Search Inquiry are:

- | | |
|------------------------------|--------------------|
| • Driver's Name | Required |
| • Jurisdiction and DL Number | Optional |
| • Social Security Number | Optional |
| • Driver Date of Birth | Required |
| • AKA Driver's Name | Optional (up to 3) |
| • AKA Date of Birth | Optional (up to 3) |

The Search Inquiry will locate any record whose identification data matches the applicant's. The search algorithms encompass known patterns of false/incorrect identification data, such as transposed Social Security Number (SSN) digits. The search also keys on combinations of SSN, Driver License Number (DLN), full name, and date of birth. AKA (Also-Known-As) data maintained in the pointer record is also examined in the search.

Specifically, a pointer record is matched with the inquiry data if **any** of the following search criteria are satisfied:

- Exact match on Social Security Number (SSN);
- Exact match on State/Driver License Number (ST/DLN);
- A match by the NDR Name Search (Name/Date of Birth);
- If the SSN in a pointer record matches a Pseudo SSN or Transposed SSN (generated from the SSN in the inquiry); and
 - The same pointer record's Date of Birth (DOB) also matches the inquiry's DOB by the NDR DOB procedure; and,
 - The same pointer record exactly matches the Inquiry on either the First, Middle, or Last Name.

If no matches are found, the CDLIS Central Site will return "zero matches" in the RC (Expected Number of State Responses) message. The RC response completes the transaction.

When a match occurs:

- CDLIS returns the number of expected matches in the RC (Expected Number of State Responses) message.
- CDLIS returns the Master Pointer Record (MPR) for each match (up to 15) in the RD (MPR for Each Match) message.

If exactly one match occurs:

- CDLIS sends a Status Request (SC) to the SOR.
- The SOR returns the Identification & Status (HC) message and Permit Information (H6) message, if applicable, directly to the SOI. *This is the only case in which the SOI receives a Status Response (HC+H6) automatically as the result of the Search Inquiry (IM).*

If from 2 to 15 matches occur, the CDLIS Central Site will only return pointer record data for each match to the SOI.

Note: In *all* cases, to prevent having the SOI send itself a status response on its own driver, a *Status Request* (SC) is suppressed when the SOI *is* the SOR.

In the unlikely event that the number of matches from the Search Inquiry exceeds 15, the response from the CDLIS Central Site will contain only the first fifteen pointer records, indicating that the match count limit was exceeded and the total matches found.

If any matches returned by the Search Inquiry are the result of an AKA (Name/DOB, SSN) stored in the pointer record, the primary pointer data *and the AKA data which matched* is sent to the SOI.

When the SOI receives the Status Response (HC+H6) messages from the SOR as a result of a single match from the Search Inquiry, the Status Response will include:

- State and Driver License Number
- AKA State and Driver License Numbers (If applicable)
- Name and description information
- AKA Names (If applicable)
- Mailing Address
- Residence Address (If different)
- Driver License History
 - Number of Permits
 - DL Classification
 - DL Endorsements
 - DL Issue Date
 - DL Expiration Date
 - Noncommercial DL Status
 - Commercial DL Status
 - DL Withdrawal Pending Indicator
 - Medical History Indicator
 - Number of Restrictions
 - Driver Restrictions (If applicable)
 - Number of Convictions, Accidents & Withdrawals on Record
 - Number of Convictions, Accidents & Withdrawals Sent
- Driver Permit History (If applicable)

Refer to the *AAMVAnet Message Dictionary* and the *AAMVAnet Data Dictionary* for more information regarding Status Response data.

3.4.1 Flag and Count Indicators

In addition to identification data sent to the SOI from the CDLIS Central Site, the response data for the matched driver(s) will also contain two on/off flags. These are:

- The Change State of Record in Progress Indicator; and,
- The Possible Duplicate Flag Indicator.

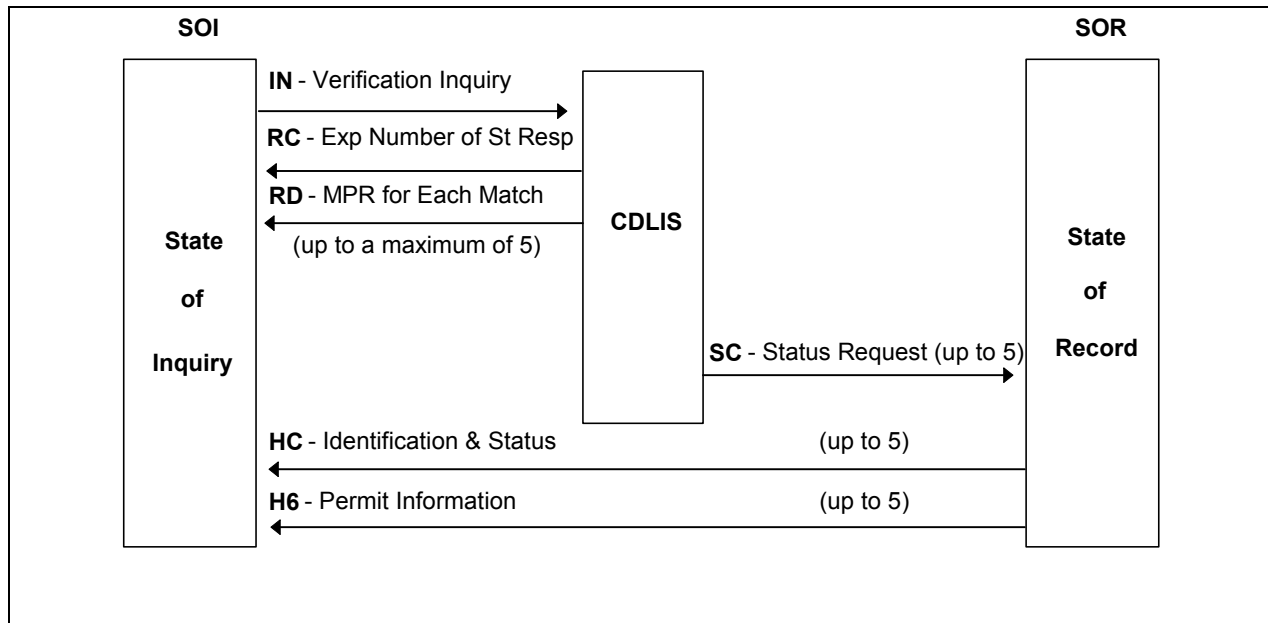
The “Change State of Record in Progress” flag (see Section 3.12) is turned “on” (or *activated*) in a pointer record whenever a driver is involved in changing SORs. The “Possible Duplicate” count indicates whether or not a driver's Pointer Record has met the possible duplicate flagging criteria described in Section 3.18.

If the Search Inquiry response contains a Pointer Record that indicates that the driver is either involved in changing his/her SOR or is a Possible Duplicate, it is conceivable that the applicant is attempting to defeat the system by applying for a CDL in multiple jurisdictions. The jurisdiction should *not* issue a CDL to the applicant until the licensing official has positively determined that the applicant is not the driver in a flagged pointer record.

3.5 Verification Inquiry

The Verification Inquiry transaction is designed to verify the existence of a commercial driver allegedly already known to the CDLIS database. The jurisdictions will use this transaction to either confirm or deny the existence of a CDLIS Master Pointer Record for the driver.

Figure 4 - Verification Inquiry



Data elements needed to successfully perform the Verification Inquiry are:

- | | |
|--------------------------------------|----------|
| • Driver's Name | Required |
| • Jurisdiction and DL Number, or SSN | Required |
| • Driver Date of Birth | Required |

The Verification Inquiry searches for combinations of SSN, DLN, name, and date of birth. All AKA data maintained in the pointer record will also be searched. A pointer record is returned as a match with the inquiry data if the following criteria is satisfied in any of three combinations:

Combination 1

Input Provided: Name
Date of Birth (DOB)
Jurisdiction (ST) and Driver License Number (DLN)

Matches On: Exact ST/DLN
 Verification of DOB
 Verification of the first five letters of the last name

Combination 2

Input Provided: Name
 Date of Birth (DOB)
 Jurisdiction (ST) and Driver License Number (DLN)
 Social Security Number (SSN)

Matches On: Exact ST/DLN
 Verification of DOB
 Verification of the first five letters of the last name
 Verification of the SSN

Combination 3

Input Provided: Name
 Date of Birth (DOB)
 Social Security Number (SSN)

Matches On: Exact SSN
 Verification of the first five letters of the last name
 Verification of the DOB

If no matches are found, the CDLIS Central Site will return a "zero matches" result to the SOI.

If from 1 to 5 pointer records are matched with the Verification Inquiry data, the CDLIS Central Site will return all the matched Pointer Record data to the SOI, and will generate a Status Request (SC) message to the SORs for each pointer record that was matched. For any of the matched records where the SOI *is* the SOR, a status request will *not* be generated.

Although there is an option to submit the Verification Inquiry transaction without the driver's ST/DLN, the jurisdictions should exercise this option only in an unusual situation. Since the purpose of the Verification Inquiry is to confirm the existence of a commercial driver, and a commercial driver must have a ST/DLN if he/she is in the CDLIS database, the driver's ST/DLN should normally be available. The use of the ST/DLN will guarantee a result of either one or zero matches. The jurisdictions are therefore strongly encouraged to use the ST/DLN when submitting a Verification Inquiry.

While it is possible that the CDLIS Central Site could return up to five matches in response to a Verification Inquiry, it is presumed that only a small percentage will return multiple matches. Three factors support this presumption:

1. The jurisdictions are strongly encouraged to use the ST/DLN in the input data;
2. The CDLIS Central Site will not allow identical ST/DLNs to exist in the database for multiple different drivers, so only a Verification Inquiry submitted without a ST/DLN could result in multiple matches; and,
3. It is **very** unlikely that multiple unique drivers will exist with the exact same DOB, SSN, and the first five letters of his/her last name.

If the latter is, in fact, the case, these pointer records are flagged as possible duplicates indicating that a resolution is still pending. On the other hand, the absence of the duplicate flag indicates that the possible duplicate problem is resolved. In either case, the jurisdiction will receive the Pointer Record (RD) information from each match which will include the current status of the possible duplicate flag from the CDLIS Central Site.

In addition to identification data sent to the SOI from the CDLIS Central Site, the response data for the matched driver(s) will also contain two on/off flags, discussed in Section 3.4.1:

- The Change State of Record in Progress Indicator; and,
- The Possible Duplicate Flag Indicator.

The Status Response (HC + H6) messages received by the SOI from the SOR for each match will include:

- State and Driver License Number
- AKA State and Driver License Number (If applicable)
- Name and description information
- AKA Name (If applicable)
- Mailing Address
- Residence Address (If different)
- Driver License History
 - Number of Permits
 - DL Classification
 - DL Endorsements
 - DL Issue Date
 - DL Expiration Date
 - Noncommercial DL Status
 - Commercial DL Status
 - DL Withdrawal Pending Indicator
 - Medical History Indicator

- Number of Restrictions
- Driver Restrictions (If applicable)
- Number of Convictions, Accidents & Withdrawals on Record
- Number of Convictions, Accidents & Withdrawals Sent
- Driver Permit History (If applicable)

Refer to the *AAMVAnet Message Dictionary*, and the *AAMVAnet Data Dictionary* for more information regarding Status Response data.

In the unlikely event that the number of matches from the Verification Inquiry exceeds 5, the response from the CDLIS Central Site will contain only the first five Pointer Records and show that the match count limit was exceeded and the total matches found. The CDLIS Central Site will not generate Status Request (SC) messages to any of the SORs if the number of matches exceeds five.

If any of the matches returned by the Verification and Search Inquiries are the result of an AKA (Name/DOB, SSN) stored in the pointer record, the primary pointer data and the AKA data *which matched* is sent to the SOL.

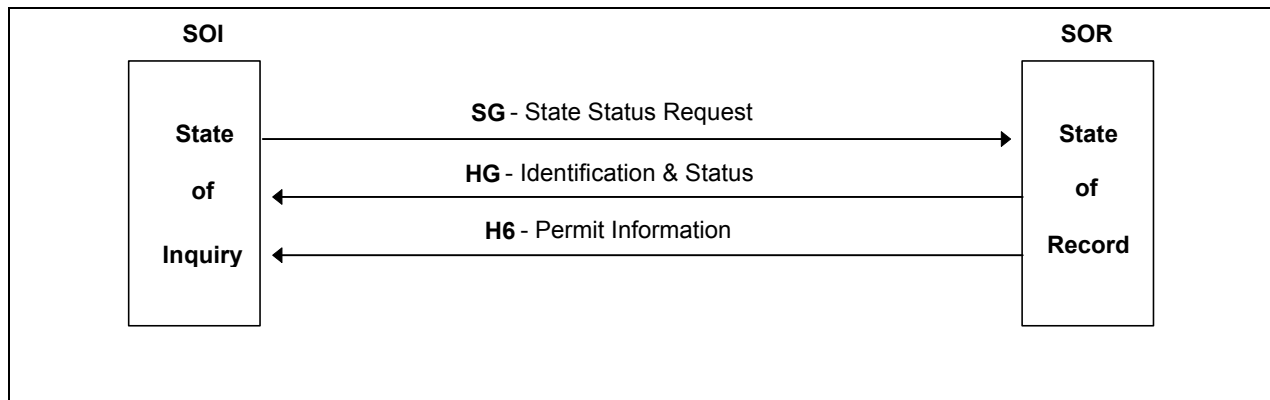
If the SOR received a Status Request (SC) message as a result of the Verification Inquiry but cannot locate the driver's record, a *broken pointer* situation has occurred (see Section 3.2).

3.6 State Status Request

The State Status Request transaction gives licensing officials the ability to retrieve status information on a CDL directly from the SOR, bypassing the CDLIS Central Site. This transaction can be used to obtain the status of a driver residing in another jurisdiction in a manner similar to the way that a jurisdiction obtains status on drivers from its own system.

The State Status Request transaction is typically used for obtaining the status information of a driver who is among one of several returned as matches from a Search Inquiry. Since the status requests are suppressed when a Search Inquiry results in more than one match, the State Status Request gives the SOI the means of obtaining the status for any or all of the matched drivers. The SOI may request the status for only one driver at a time with this transaction.

Figure 5 - State Status Request



The State Status Response (HG+H6) messages are sent directly from the SOR to the SOI and do not involve the CDLIS Central Site in any way.

Data elements needed to successfully perform the State Status Request are:

- | | |
|--|----------|
| • Jurisdiction and Driver License Number | Required |
| • Driver Social Security Number | Required |
| • Driver Name | Required |
| • Driver Date of Birth | Required |

Most SORs will return the status based on the ST/DLN and will use the name, DOB, and SSN for verification. If the SOR chooses to edit the incoming Driver History Request data, it should not reject the message for lack of an SSN.

If the SOR locates the driver's record, it will generate the Status Response (HG+H6) messages for transmission to the SOI. The response will include:

- State and Driver License Number
- AKA State and Driver License Number (If applicable)
- Name and description information
- AKA Name (If applicable)
- Mailing Address
- Residence Address (If different)
- Driver License History
 - Number of Permits
 - DL Classification
 - DL Endorsements
 - DL Issue Date
 - DL Expiration Date
 - Noncommercial DL Status
 - Commercial DL Status
 - DL Withdrawal Pending Indicator
 - Medical History Indicator
 - Number of Restrictions
 - Driver Restrictions (If applicable)
 - Number of Convictions, Accidents & Withdrawals on Record
 - Number of Convictions, Accidents & Withdrawals Sent
- Driver Permit History (If applicable)

Refer to the *AAMVAnet Message Dictionary* and the *AAMVAnet Data Dictionary* for more information regarding Status Response data.

If the SOR cannot produce a status response corresponding to the driver information given by the SOI, it will return an HG message to the SOI indicating that the driver's record could not be located. This situation may be caused by incorrect data input at the SOI, a *broken pointer* (see Section 3.2), or some other type of error. In other cases, jurisdictions may have multiple matches of the ST/DLN for a commercial driver, although this is an unusual condition and requires special attention. If identical ST/DLNs can exist in a jurisdiction's environment, this condition needs to be examined closely to assess its impact on the CDLIS application.

For information regarding the handling of errors, see the *CDLIS System Specifications*.

Another condition that will cause a jurisdiction to return the State Status Request (HG) to the SOI in error is after a driver has changed SORs and the jurisdiction which received the State Status Request (HG) is no longer the SOR. Since the old jurisdiction is no longer the SOR, it would be improper for the jurisdiction to respond as though it were, even if it still maintained all

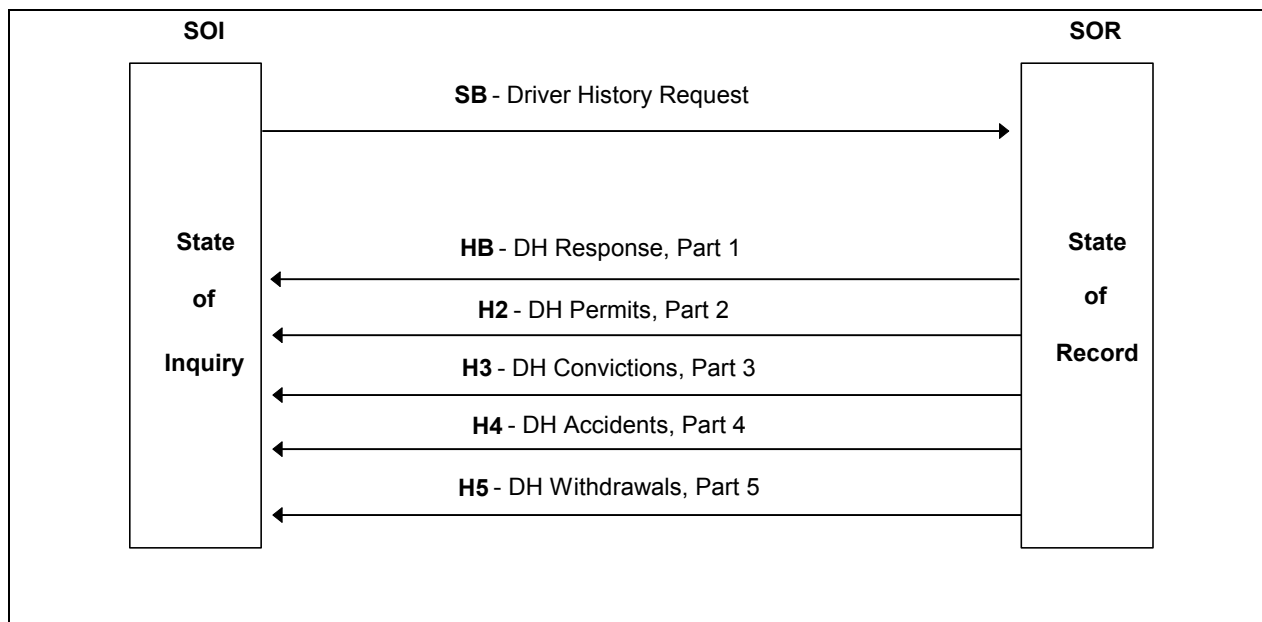
or part of the driver's record. Any jurisdiction that becomes an old SOR through the Change State of Record process must clearly annotate the driver's record to indicate that it is no longer the SOR. Refer to Section 3.12 for more information about this and the Change State of Record transaction.

After an error response is received from the SOR, and there is doubt about the driver's identification, the SOI should initiate a Verification Inquiry transaction to the CDLIS Central Site. If the Verification Inquiry results in a match, the pointer record data will be returned to the SOR and a Status Response will be automatically sent from the SOR. If this does not resolve the identification problem, the SOI will need to contact the SOR and possibly the CDLIS Helpdesk for resolution.

3.7 Driver History Request

The Driver History Request transaction gives jurisdictions the ability to request a copy of a driver's history from the SOR, bypassing the CDLIS Central Site.

Figure 6 - Driver History Request



Data elements needed to successfully perform the Driver History Record Request are:

- | | |
|------------------------------|----------|
| • Driver's Name | Required |
| • Jurisdiction and DL Number | Required |
| • Social Security Number | Optional |
| • Driver Date of Birth | Required |

Most SORs will return the Driver History Record (HB+H2-H5) messages based on the ST/DLN and whatever verification, if any, on the Name, DOB, or SSN. If the SOR chooses to edit the incoming Driver History Request (SB) message data, it should not reject the message for lack of an SSN.

An SOI may initiate a Driver History Request for only one commercial driver at a time.

If the SOR locates the driver's record, it will generate the Driver History Record (HB+H2-H5) messages for transmission to the SOI. The driver history data includes:

- State and Driver License Number
- AKA State and Driver License Number (If applicable)
- Name and description information
- AKA Name (If applicable)
- Mailing Address
- Residence Address (If different)
- Driver License History
 - Number of Permits
 - DL Classification
 - DL Endorsements
 - DL Issue Date
 - DL Expiration Date
 - Noncommercial DL Status
 - Commercial DL Status
 - DL Withdrawal Pending Indicator
 - Medical History Indicator
 - Number of Restrictions
 - Driver Restrictions (If applicable)
 - Number of Convictions, Accidents & Withdrawals on Record
 - Number of Convictions, Accidents & Withdrawals Sent
- Driver Permit History (H2) message (If applicable)
- Driver Convictions (H3) message (If applicable)
 - Conviction Offense Jurisdiction
 - Citation Date
 - Conviction Date
 - Court Type
 - Commercial Vehicle Offense Indicator
 - Hazardous Materials Indicator
 - Conviction Offense Locator
 - Conviction Offense Reference
 - ACD Conviction Offense
 - Conviction Offense Detail (If applicable)
- Driver Accidents (H4) message (If applicable)
 - Accident Jurisdiction
 - Accident Date
 - Accident Severity Indicator
 - Commercial Accident Indicator

- Hazardous Materials Accident Indicator
- Accident Locator
- Driver Withdrawals (H5) message (If applicable)
 - DL Withdrawal Jurisdiction
 - DL Withdrawal Date
 - DL Withdrawal Type Detail
 - DL Withdrawal Reason
 - DL Eligibility Date
 - DL Reinstatement Date
 - DL Withdrawal Extent
 - DL Withdrawal Locator
 - DL Withdrawal Reason Reference

Refer to the *AAMVAnet Message Dictionary* and the *AAMVAnet Data Dictionary* for further information.

If a jurisdiction has stored part of a driver's record off-line and receives a Driver History Request, it should respond with the complete record after it has been reassembled. The SOR should *not* respond with a partial record. Refer to Section 4.0, "Data Retention," for detailed information about a jurisdiction's data retention requirements.

If the SOR cannot locate a driver record corresponding to the driver information given by the SOI, it will return the Driver History Record Request (SB) message back to the SOI indicating that the driver's record could not be located. This situation may be caused by incorrect data input at the SOI, a *broken pointer* (see Section 3.2), or some other type of error. In other cases, the SOR may have multiple matches of the ST/DLN for a commercial driver, although this is an unusual condition and requires special attention. If identical ST/DLNs can exist in a jurisdiction's environment, this condition needs to be examined closely to assess its impact on the CDLIS application.

For information regarding the handling of errors, see the *CDLIS System Specifications*.

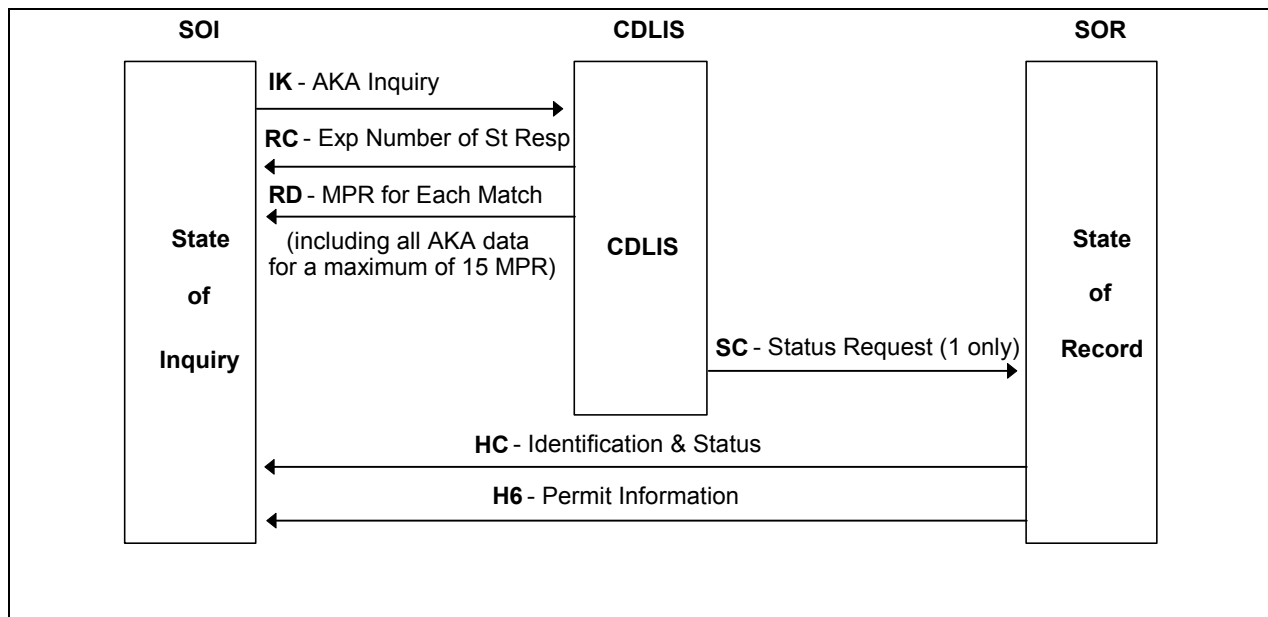
Another condition that will cause a jurisdiction to return the Driver History Request (SB) message to the SOI in error occurs when a driver has changed SORs and the jurisdiction which received the Driver History Request is no longer the SOR. Since the old jurisdiction is no longer the SOR, it would be improper for the jurisdiction to respond as though it were, even if it still maintained all or part of the driver's record. Any jurisdiction which becomes an old SOR through the Change State of Record process must clearly annotate that driver's record to indicate that it is no longer the SOR. Refer to Section 3.12 for more information about this and the Change State of Record transaction.

If an error response is received from the SOR and there is doubt about the driver's identification, the SOI should initiate a Verification Inquiry transaction to the CDLIS Central Site. If the Verification Inquiry results in a match, the pointer record data will be returned to the SOI and a Status Response will automatically be sent from the SOR. If this does not resolve the identification problem, the SOI will need to contact the SOR and possibly the CDLIS Helpdesk for resolution.

3.8 Inquiry for AKA Data

The Inquiry for AKA Data transaction gives jurisdictions the ability to obtain possible AKA data (Name/DOB, ST/DLN, and SSN) on a CDLIS Master Pointer Record (MPR). This transaction performs much like the Search Inquiry, except that it returns all AKA data on the MPR in the event of a match.

Figure 7 - Inquiry For AKA Data



The SOI should provide the following data elements to successfully process the Inquiry for AKA Data:

- | | |
|----------------------------------|--------------------|
| • Driver's Name | Required |
| • Jurisdiction and DL Number | Optional |
| • Social Security Number | Optional |
| • Driver Date of Birth | Required |
| • AKA Jurisdiction and DL Number | Optional (up to 3) |
| • AKA Driver's Name | Optional (up to 3) |
| • AKA Date of Birth | Optional (up to 3) |
| • AKA SSN | Optional |

The Search Inquiry locates any record whose identification data matches the applicant's. The search algorithms encompass known patterns of false/incorrect identification data, such as transposed Social Security Number (SSN) digits, and the search also keys on combinations of

SSN, Driver License Number (DLN), full name, and date of birth. Also-Known-As (AKA) data maintained in the pointer record is also examined in the search.

A pointer record is matched with the inquiry data if *any* of the following search criteria are satisfied:

- Exact match on Social Security Number (SSN);
- Exact match on State/Driver License Number (ST/DLN);
- A match by the NDR Name Search (Name/Date of Birth);
- If the SSN in a pointer record matches a Pseudo SSN or Transposed SSN (generated from the SSN in the inquiry); or,
 - The same pointer record's Date of Birth (DOB) also matched the inquiry's DOB by the NDR DOB procedure, and
 - The same pointer record exactly matched the Inquiry on either the First Name, Middle Name, or Last Name.

If no matches are found, the CLDIS Central Site will return "zero matches" in the RC (Expected Number of State Responses) message. The RC completes the transaction.

When a match occurs:

- CDLIS returns the number of expected matches in the RC (Expected Number of State Responses) message.
- CDLIS sends the Master Pointer Record (MPR) (RD) message *and all AKA data* for each match (up to 15).

If exactly one match occurs:

- CDLIS sends a Status Request (SC) to the SOR.
- The SOR returns Identification and Status (HC) and Permit Information (H6) messages, if applicable, directly to the SOI. *This is the only case in which the SOI receives the Status Response (HC+H6) messages automatically as the result of the Search Inquiry.*

If from 2 to 15 matches are identified by the Inquiry for AKA Data, the CDLIS Central Site will return the pointer records, and all AKA data for each match, to the SOI.

Note: In *all* cases, a *Status Request (SC)* message is suppressed when the SOI is the SOR, to avoid having the jurisdiction send itself a status response on its own driver.

In the unlikely event that the number of matches from the AKA Inquiry exceeds 15, the response from the CDLIS Central Site will contain only the first 15 pointer records, and show that the match count limit was exceeded and the total matches found.

In addition to identification data sent to the SOI from the CDLIS Central Site, the response data for the matched driver(s) will also contain two on/off flags, discussed in Section 3.4.1:

- The Change State of Record in Progress Indicator; and,
- The Possible Duplicate Flag Indicator.

When the SOI receives the Status Response (HC+H6) messages as a result of a single match from the Search Inquiry, it will include:

- State and Driver License Number
- AKA State and Driver License Number (If applicable)
- Name and Description Information
- AKA Name (If applicable)
- Mailing Address
- Residence Address (If different)
- Driver License History
 - Number of Permits
 - DL Classification
 - DL Endorsements
 - DL Issue Date
 - DL Expiration Date
 - Noncommercial DL Status
 - Commercial DL Status
 - DL Withdrawal Pending Indicator
 - Medical History Indicator
 - Number of Restrictions
 - Driver Restrictions (If applicable)
 - Number of Convictions, Accidents & Withdrawals on Record
 - Number of Convictions, Accidents & Withdrawals Sent
- Driver Permit History (H6) (If applicable)

Refer to the *AAMVAnet Message Dictionary* and the *AAMVAnet Data Dictionary* for more information regarding status response data.

If the SOR which received a Status Request (SC) message as a result of the Search Inquiry cannot locate the driver's record, a *broken pointer* situation has occurred. See Section 3.2 for details.

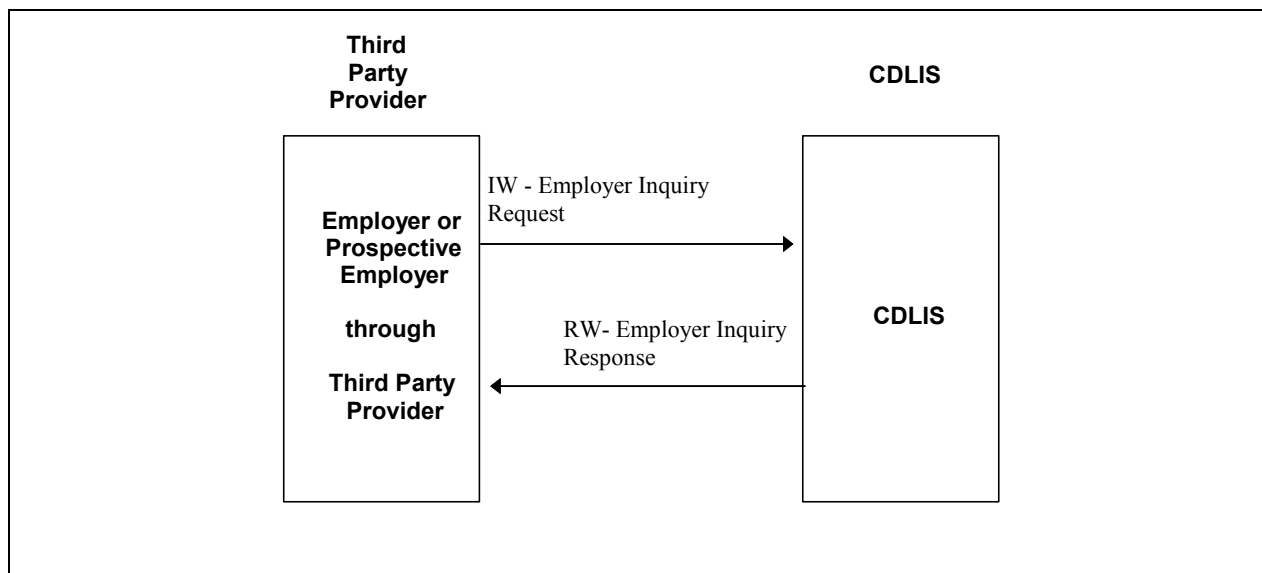
Refer to the *CDLIS System Specifications* manual for more information regarding the handling of errors.

3.9 Employer Inquiry

AAMVAnet grants limited access to CDLIS to employers and prospective employers. By using this special “Third Party Access” inquiry transaction, employers and prospective employers can obtain basic identification data directly from CDLIS. Although this transaction description is included as part of these procedures, no jurisdiction will be involved in any part of the processing for this transaction.

Note: This transaction may not be used on behalf of an insurance company or any other organization or individual, public or private.

Figure 8 - Employer Inquiry



The Third Party Provider should provide the following data elements to successfully process the Employer Inquiry transaction:

- | | |
|--------------------------|----------|
| • Driver's Name | Required |
| • Social Security Number | Required |
| • Employer ID Number | Required |

Upon receiving the Employer Inquiry (IW) message, CDLIS will search its Master Pointer Records (MPR) for possible matches. CDLIS will attempt to match the Employer Inquiry data with MPRs based upon the SSN and the first five characters of the Last Name. If there is a single match on SSN and the first five characters of the Last Name, CDLIS will return an Employer Inquiry Response (RW) message, and the third party provider will provide the data to the

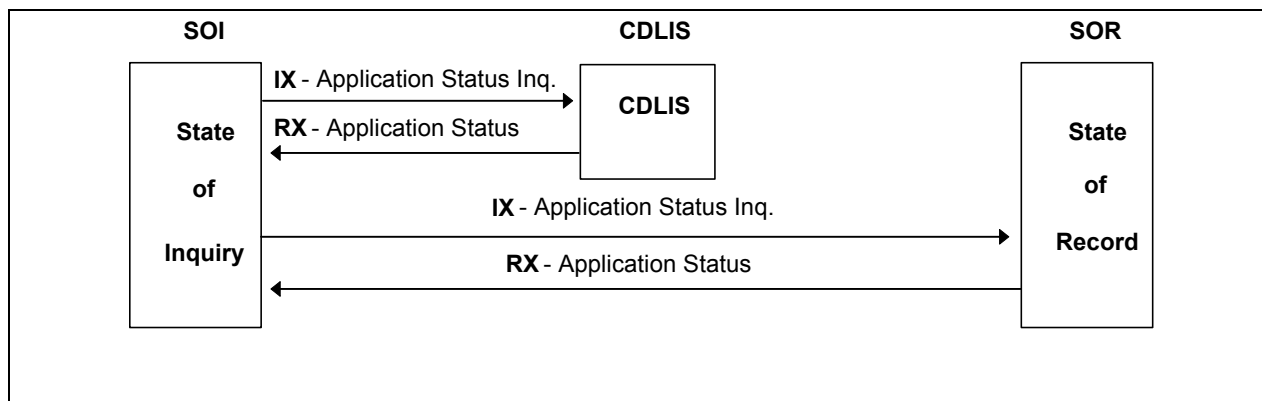
Employer who requested it. The Employer can use the identification and SOR data to request that the SOR provide a Driver History Record.

If there is no match or multiple matches, CDLIS will return the Employer Inquiry (IW) message and append up to five error detection blocks to the message.

3.10 Application Status Inquiry

The Application Status Inquiry transaction permits CDLIS users to request the current availability of an application at another jurisdiction or the CDLIS Central Site.

Figure 9 - Application Status Inquiry



The SOI may submit an Application Status Inquiry either to CDLIS or to any jurisdiction to determine the status of an application. The SOI must identify the destination (that is, either CDLIS or a jurisdiction) and the Application ID.

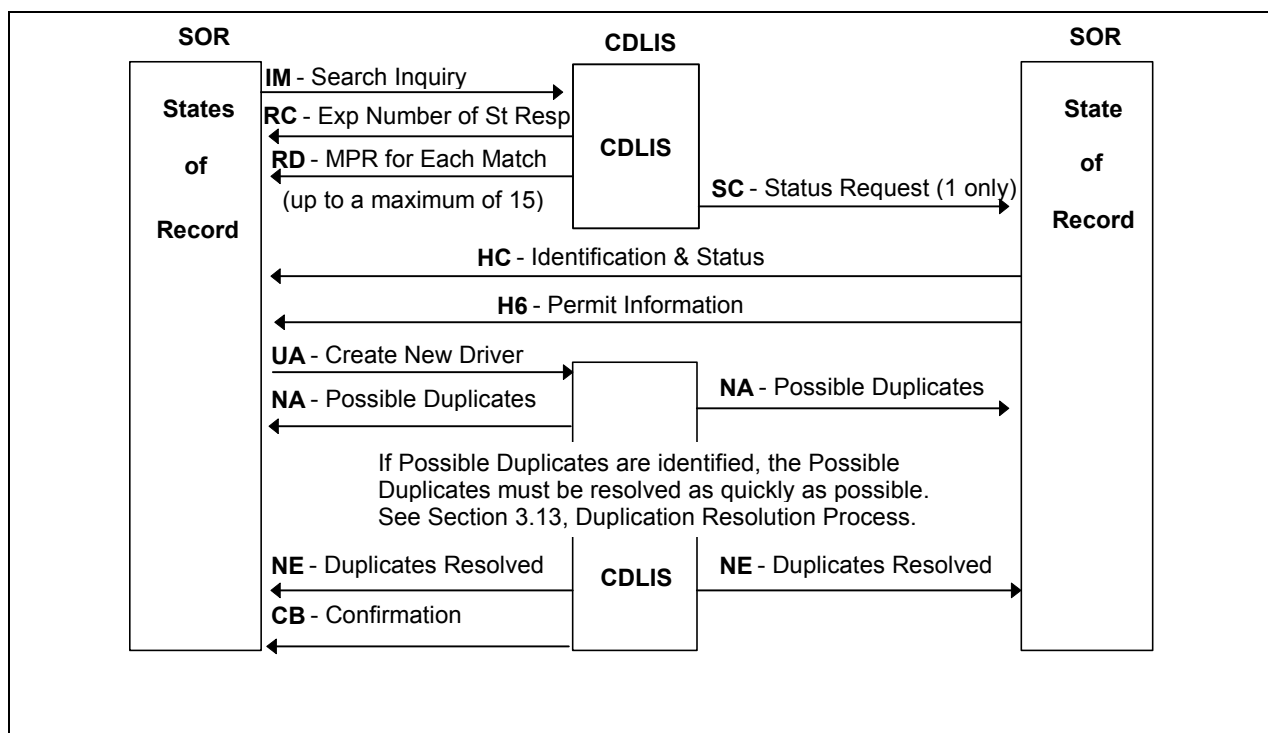
If the CDLIS Central Site is the destination, CDLIS will verify the status of the application and return an Application Status (RX) message. If a jurisdiction is the destination, the jurisdiction will verify the status of the requested application and return an Application Status (RX) message.

3.11 Create New Driver

The Create New Driver transaction is the means by which all of the jurisdictions' commercial driver pointer records are created in the CDLIS Central Site database.

The following is based upon the presumption that the jurisdictions will comply with the CMVSA requirement to check the NDR (see Section 1.4) and consider its response together with the CDLIS response prior to issuing a CDL.

Figure 10 - Create New Driver



Prior to all Create New Driver transactions, a jurisdiction must initiate a Search Inquiry to the CDLIS database in an attempt to locate any pointer records whose identification data may match the new applicant's. The CMVSA requires that this be done within 60 days prior to the issuance of a CDL. However, it is anticipated that most jurisdictions will perform the inquiry within a matter of hours (or sooner) prior to issuance.

If one or more matches is returned from CDLIS as a result of a Search Inquiry, each match must be evaluated by the jurisdiction to determine if the new applicant already holds a CDL issued by another jurisdiction. If reasonable evidence exists to suspect that the new applicant is a possible duplicate, the jurisdiction should interrupt the licensing process until the issue is resolved.

If no matches are found, the CDLIS Central Site will indicate this in the Expected Number of State Responses (RC) message, and the new applicant's licensing procedure can continue.

If a Search Inquiry results in only one match, the SOI will receive the Expected Number of State Responses (RC) message and the Master Pointer Record from CDLIS, and the Status Response (HC+H6) messages from the SOR. This is the only situation in which a licensing official automatically receives a Status Response as a result of the Search Inquiry. The procedure of requesting a status for the SOI when there is only one match under the Search Inquiry is intended to enhance the licensing official's ability to resolve a potential driver identification problem.

If there is more than one match, the jurisdiction will *not* automatically receive status responses for any of the matches. If status information is desired on these matches, the SOI must submit a State Status Request (SG) message directly to the SOR for each driver. If driver history information is desired, a Driver History Request (SB) message must be submitted directly to the SOR for each driver.

In the unlikely event that the number of matches from the Search Inquiry exceeds 15, the Expected Number of State Responses (RC) message will indicate that the number of matches found exceeded the match count limit, and will return only the first fifteen Pointer Records. Again, if reasonable evidence exists to suspect that the new applicant is a possible duplicate, the jurisdiction should interrupt the licensing process until the issue is resolved.

If any of the matches returned by the Search Inquiry are the result of an AKA (Name/DOB, SSN) stored in the pointer record, both the primary pointer data *and the AKA data which matched* are sent to the SOI. This feature should assist licensing officials in determining if AKA data has been presented by the applicant.

In addition to identification data sent to the SOI from the CDLIS Central Site, the response data for the matched driver(s) will also contain two on/off flags, discussed in Section 3.4.1:

- The Change State of Record in Progress Indicator; and,
- The Possible Duplicate Flag Indicator.

Although not strictly part of the licensing process, each jurisdiction's information processing system must initiate a Create New Driver transaction to the CDLIS Central Site for every CDL issued. The CDLIS Central Site will reject a Create New Driver transaction if the State/Driver License Number (ST/DLN) duplicates a number either previously or currently issued to another driver. If this happens, the SOI must correct the irregularity and resubmit the Create New Driver transaction.

Initiation of the Create New Driver transaction represents the new jurisdiction's decision to issue a driver a CDL and to accept the responsibility as SOR.

Data elements needed to successfully process the Create New Driver transaction are:

- | | |
|------------------------------|--------------------|
| • Driver's Name | Required |
| • Jurisdiction and DL Number | Required |
| • Social Security Number | Required |
| • Driver Date of Birth | Required |
| • AKA Driver's Name | Optional (up to 3) |
| • AKA Date of Birth | Optional (up to 3) |
| • AKA ST/DLN | Optional (up to 3) |
| • AKA Social Security Number | Optional |
| • Sex | Required |
| • Height | Optional |
| • Weight | Optional |
| • Eye Color | Optional |

The CDLIS Central Site's duplicate flagging search algorithm will examine the new driver's identification data for possible duplicates. After the CDLIS Central Site has verified that the ST/DLN is unique, it will accept the Create New Driver (UA) message and create a new pointer record. Upon completion of the Create New Driver process, the CDLIS Central Site will send the SOR a Confirmation (CB) message that the record was added, and the procedure is complete. The jurisdiction is now the SOR for that driver. Responsibilities of the SOR include responding to all status and Driver History requests and to post all driver history entries (that is, trailing convictions) to the driver's record. The SOR is also responsible for resolving any possible duplicate issues (refer to Section 3.18).

3.12 Change State of Record

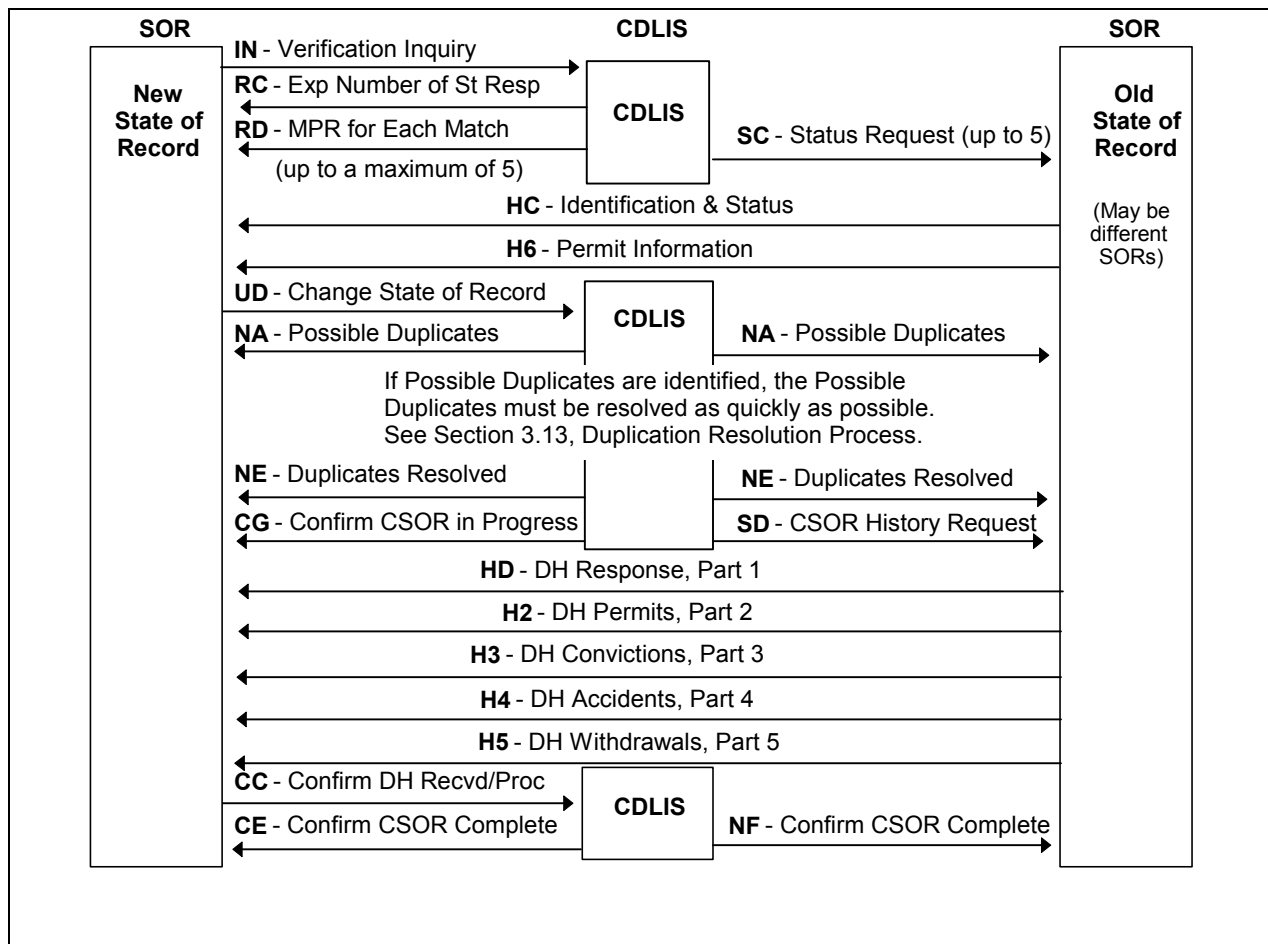
The Change State of Record transaction is used whenever an existing CDL driver applies for a new CDL in another jurisdiction. After the applicant has proven to the new jurisdiction that he/she is in fact the licensee, has adequately proven new residency, and has passed all normal jurisdictional reviews establishing his/her identity, he/she may apply for a CDL from the new jurisdiction.

The Change State of Record procedure consists of several discrete processes at the new SOR, the old SOR, and the CDLIS Central Site; however, the primary procedural responsibilities belong to the new SOR. The following is based upon the presumption that the jurisdictions will comply with the CMVSA requirement to check the NDR (see Section 1.4) and fully consider its response prior to issuing a CDL.

Occasionally, a commercial driver may want to relinquish his/her CDL and receive a noncommercial license from the new jurisdiction. The preferred procedure in such cases is for the new jurisdiction to perform a Change State of Record, because changing the pointer to the new jurisdiction is the best way to meet the goals of the basic tenet "...that each driver, nationwide, have only one driver license and one record."

If, for whatever reason, the new jurisdiction accepts the surrendered CDL but chooses not to take the pointer record, no Change State of Record is performed. The new jurisdiction should return the surrendered CDL to the old SOR and inform its licensing officials that the driver has relinquished his/her privilege to drive a commercial motor vehicle. Here, the SOR for the CDL has not changed, and as far as CDLIS is concerned, the jurisdiction that originally issued the CDL will remain the SOR until another jurisdiction issues a CDL to that driver.

Any jurisdiction that transmits Driver History Conviction information to another jurisdiction via a Change State of Record transaction should validate the conviction offense codes before they are sent. The new SOR should also validate the conviction offense codes received from other jurisdictions. The overall purpose of validating conviction offense codes is to identify errors that, if not corrected, would interfere with the new SOR's ability to interpret the data, and would therefore negatively affect its ability to determine whether or not to take any driver control actions.

Figure 11 - Change State of Record

The new jurisdiction will initiate a Verification Inquiry to the CDLIS Central Site using identification data from the license. The permissible input data combinations are described in Section 3.5. If a driver alleges that his/her license was either lost or stolen, the new jurisdiction should invoke procedures normally exercised in this situation before proceeding further.

The results of the Verification Inquiry should confirm the existence of a driver in the CDLIS database by providing the Expected Number of State Responses, the Pointer Record information from CDLIS, and the Status Response (HC+H6) messages from the SOR. If the status reported from the old jurisdiction is anything but LICENSED (see the *AAMVAnet Data Dictionary*, "Commercial Status" data element), the new jurisdiction should interrupt the application process for the driver.

The status response contains two optional fields: the "Withdrawal Action Pending" element and the "Medical Indicator."

- If the SOR responds "YES" to the Withdrawal Action Pending, this indicates that the SOR has completed a licensing action which may soon cause the withdrawal of all or part of this driver's license.
- If the response to the Medical Indicator is "YES," the SOR has a medical history file for this driver.

The new jurisdiction should consider this information prior to issuing a license. If an SOR does not fill these optional fields, no information is being conveyed.

Driver history records provide all of the history information currently maintained by the SOR. If the new jurisdiction determines that more information from the driver history record is required to make a licensing decision, a Driver History Request (SB) may be sent directly to the SOR. The response to the Driver History Request may or may not be provided in real time. Section 4.0, "Data Retention," defines the maximum response times allowable for a driver's history.

If a single pointer record matching the driver is found at the CDLIS Central Site, and the driver status is LICENSED, the new jurisdiction has justification for proceeding with the Change State of Record transaction.

If a driver is currently involved in another Change State of Record transaction, or has a Possible Duplicate flag posted on his/her Pointer Record, that information will be returned to the new jurisdiction in the Pointer Record (RD) message from the CDLIS Central Site. The new jurisdiction must suspend licensing activity for the driver when either one or both of these conditions are indicated (see Section 3.4.1).

If the Verification Inquiry returns *multiple* matches, there is likely a problem. If the input data was erroneous, a retry of the Verification Inquiry with corrected data should return a different result. If the identification data input to the Verification Inquiry is verified against the old jurisdiction's license data or other documents, the new jurisdiction must resolve these matches with the other SORs, and possibly the CDLIS Helpdesk. The new jurisdiction should not commit to any licensing actions until the issue is resolved.

If the Verification Inquiry returns *zero* matches, the input data may have been erroneous. If the input data *was* erroneous, a retry of the Verification Inquiry with the corrected data should return a different result. If the identification data input to the Verification Inquiry is verified against the old jurisdiction's license data, or other driver documents, the database does not contain the driver as shown on the license (or as alleged by the driver). This situation indicates that either the old jurisdiction's license data is out of sync with the CDLIS Central Site (See Section 3.2, "Broken Pointers") or that the license document may be flawed. Whichever the case, contact with the old jurisdiction and the CDLIS Helpdesk will be necessary to reach a resolution. Meanwhile, the new jurisdiction should not commit to any licensing actions until the issue is resolved.

If the driver is apparently *not known* to the database, a jurisdictional option in researching the problem is to initiate the Search Inquiry transaction with the same input data as before. If the Search Inquiry also returns zero matches, there is an increased probability that the license is a fraud. If one or more matches is returned, the jurisdiction may be able to determine that the applicant closely resembles *one* of the matched drivers and may be the innocent victim of a previously unknown broken pointer at the old jurisdiction. Notification to the CDLIS Helpdesk and to the old jurisdiction is required to resolve the issue. However, since broken pointers are expected to be very few in number, great care should be taken by the new jurisdiction in resolving a problem involving a possibly fraudulent license.

If a driver wishes to change or to correct any part of the key identification data (Name, DOB, SSN) from the old jurisdiction's license, the new jurisdiction must initiate a Search Inquiry transaction with the changed/corrected data instead of the Verification Inquiry transaction. The new jurisdiction must include the old jurisdiction's ST/DLN in the input to the Search Inquiry. This procedure accomplishes two objectives:

- Determines that the driver does exist in the CDLIS database by matching on the old ST/DLN; and,
- Determines whether or not the CDLIS database contains any records which may be a possible duplicate with this driver based on the changed/corrected data.

Any possible matches other than the driver's current (old jurisdiction's) pointer record that are returned from the Search Inquiry transaction should be evaluated carefully for the possibility that the driver may be a possible duplicate. Refer to Section 3.4 for further information regarding the use of the Search Inquiry in a Create New Driver situation.

Initiation of the Change State of Record transaction represents the new jurisdiction's decision to issue this driver a CDL and to accept responsibility as SOR.

In the Change State of Record transaction to the CDLIS Central Site, the new jurisdiction must always provide a new ST/DLN or a ST/DLN unique to this driver (that is, a number that only this driver has held). The ST/DLN will always be checked against the CDLIS database for uniqueness prior to processing the Change State of Record transaction. If the new ST/DLN has already been assigned to a different driver, either currently or previously, an error message will be returned to the new jurisdiction. The new jurisdiction must also provide both the old jurisdiction's identification data in addition to the new jurisdiction's identification data. The old jurisdiction will provide input to the CDLIS Central Site's search to locate the current pointer record, and the new jurisdiction will become the new primary data in the pointer record.

Data elements needed to successfully process the Change State of Record transaction are:

• Old Primary Jurisdiction and DL Number	Required
• Old Primary Social Security Number	Required
• Old Primary Driver's Name	Required
• Old Primary Driver Date of Birth	Required
• New Primary Jurisdiction and DL Number	Required
• New Primary Social Security Number	If Applic
• New Primary Driver's Name	If Applic
• New Primary Driver Date of Birth	If Applic
• New Primary Sex	If Applic
• New Primary Height	If Applic
• New Primary Weight	If Applic
• New Primary Eye Color	If Applic

If any of the key identification data (Name/DOB, SSN) was changed from the old jurisdiction's license, the CDLIS Central Site will move the old data (that is, the data that was changed) into the first AKA position and move any existing AKA data into the next lowest AKA position. If there was data in the last AKA positions, that data will roll off and be discarded from the pointer record. However, there will always be a history file maintained at the CDLIS Central Site of all changes made to a pointer record.

For any key identification data that was changed, the new jurisdiction must ensure that the driver's record on its system contains the data that was changed, as well as the new primary data.

After the CDLIS Central Site has accepted the Change State of Record (UD) message, the new jurisdiction becomes the SOR. These duties include the ability to respond to all Status and Driver History requests and to post all driver history entries (that is, trailing convictions) to this driver's record. The ability to post driver history entries is required even though the new SOR has not yet received the Driver History Record from the old jurisdiction.

If the new SOR receives a Driver History Request from another jurisdiction before it has loaded the Driver History Record from the old jurisdiction, the new SOR should respond with the available data; for example, with the identification data, status, address, etc. To inform the SOI that a Change State of Record is in progress, and that the full Driver History Record has not yet been loaded, the Processing Status code in the Message Exchange Control Block must be set with the appropriate Application Error Code. Refer to the *CDLIS System Specifications* manual for information regarding the Processing Status codes.

Upon accepting the transaction, the CDLIS Central Site marks the pointer record with the Change State of Record in Progress flag and begins the processing. If any of the new key identification data (Name/DOB, SSN) is changed from the old, the CDLIS Central Site invokes the duplicate flagging search. Any possible duplicates returned from the CDLIS Central Site are

the responsibility of the new SOR to resolve. Refer to Section 3.18 for further information regarding possible duplicate processing.

After the CDLIS Central Site has shifted the pointer record to the new jurisdiction, it will notify the new SOR that it has accepted the Change State of Record transaction by sending a confirmation (CG) message, and by sending a request for the Driver History Record to the old jurisdiction. This is the official notification to the old jurisdiction from the CDLIS Central Site that one of its commercial drivers has been issued a license in another jurisdiction and that the jurisdiction is no longer the SOR. The message will contain both the old jurisdiction's driver identification data and the new jurisdiction's driver identification data. The old jurisdiction will provide the data necessary for the old jurisdiction to locate the driver's record, while the latter will identify the destination to which the old jurisdiction will send the Driver History Record (HD+H2-H5) messages. For information regarding the old jurisdiction's data retention requirements, refer to Section 4.0, "Data Retention".

If the old jurisdiction cannot locate the driver's record, it will return an error response to both the CDLIS Central Site and the new jurisdiction. This is a possible *broken pointer* (see Section 3.2) situation and both the old jurisdiction and the new jurisdiction should contact the CDLIS Helpdesk to initiate the resolution process.

The old jurisdiction must transmit the Driver History Record (HD+H2-H5) messages to the new jurisdiction within 96 hours of having received the notification of the Change State of Record. If any conviction messages are included in the driver history record, the new SOR must edit the conviction offense field to ensure that the code is valid (see the *AAMVAnet Data Dictionary*). If the new SOR receives an invalid conviction offense code as part of a history message from the old SOR, correction procedures are as follows:

- The new SOR should stop processing the CSOR transaction. It should NOT confirm receipt of the driver history.
- The new SOR may choose to return the entire driver history as an error or to inform the old SOR by telephone and fax.
- After returning the driver history electronically, the new SOR should contact the old SOR by telephone informing the old SOR that they returned the Driver History Record (HD) message and associated messages. The old SOR has the responsibility to identify the error messages and make the necessary corrections.
- Alternatively, the new SOR may contact the old SOR by telephone informing the old SOR that they received the driver history and that it contains an invalid conviction code. If so requested by the old SOR, the new SOR should send a fax of the Driver History (HD) message along with all associated messages (H2, H3, H4, H5) received.

- Regardless of how the old SOR is notified of the errors, the old SOR must be able to resend the corrected message electronically. If the old SOR does not currently have the capability of resending the Driver History (HD) message and associated messages, the old SOR should contact the CDLIS Helpdesk to have the Driver History Request (SD) message resent to the old SOR.
- If the error condition originated from a State of Conviction (SOC) other than the old SOR, the old SOR is still responsible for obtaining the corrected information from the SOC and passing it on to the new SOR electronically. If both jurisdictions agree, they can use a different correction method.
- The old SOR should make every effort to correct the error expeditiously. If the old SOR does not correct the data within 96 hours, the driver will show up on a 96 hour pending report for outstanding CSORs. The CDLIS Helpdesk monitors this report and periodically calls the new SORs to see if assistance is needed. The new SOR should tell the CDLIS Helpdesk caller that the record is pending correction by the old SOR.

Once the new jurisdiction has validated the conviction offense code in any Driver History Conviction (H3) messages, the new jurisdiction must load the Driver History Record and transmit a confirmation response (CC) message to the CDLIS Central Site.

Upon receiving the Driver History Record the new jurisdiction must also append any history entries to the record posted during the period between when the new jurisdiction became the SOR and when the new jurisdiction received the Driver History Record (HD+H2-H5) messages. In translating the driver history information to and from the *AAMVAnet Data Dictionary* format, neither the old nor the new jurisdiction should do so in such a manner as to exclude required history information. Upon loading the driver's record, the new jurisdiction should evaluate the history for new Driver Improvement program consideration.

After the CDLIS Central Site has received the Confirmation (CC) message indicating that the new jurisdiction has loaded the Driver History Record, the CDLIS Central Site will clear the Change State of Record in Progress flag and send a confirmation message to both the new state and the old state, indicating that the Change State of Record process is complete.

Once a new SOR has initiated a Change State of Record transaction, it is neither possible to abort nor reverse the process - - it must be carried through to its normal conclusion, resulting in ownership of the individual's CDLIS Master Pointer Record by the new SOR. If the new SOR desires to undo the effect of the Change State of Record after it is complete, the old SOR must be contacted and asked to initiate another Change State of Record transaction in the reverse direction.

Should the old SOR receive either a State Status Request or a Driver History Request at any time after the Change State of Record process, the old jurisdiction should respond by returning the request to the SOI as an error. It is permissible for the new SOR to submit a Status Request or a Driver History Request to the old SOR and receive the responses until such time as the Change State of Record is complete. The old jurisdiction must not respond to an inquiry on a moved driver as if it were still the SOR. Both of these transactions are jurisdiction-initiated, since the CDLIS Central Site would have pointed to the new jurisdiction. After the Change State of Record process is complete, the old jurisdiction must clearly annotate the driver's record to indicate that the jurisdiction is no longer the SOR.

3.13 Accidental Change State of Record

The following describes how to resolve an accidental Change State of Record (CSOR) transaction. This situation occurs when a jurisdiction inadvertently performs a CSOR on a driver who is not seeking a CDL in that jurisdiction, and such a CDL has not been issued as a result of the transaction.

An accidental CSOR may occur in one of two ways:

- The new SOR may either take the driver's Master Pointer Record (MPR) with the driver history intact; or,
- The new SOR may take the MPR and merge the driver's history with another, unrelated driver in their jurisdiction.

In the first situation, one option for resolution is for the new SOR to delete, and for the old SOR re-add, the driver. A second option is for the old SOR to perform a CSOR transaction to get the driver back; however, if this option is chosen, the new SOR should delete the never-used AKA DLN.

The second situation is of special concern since the driver histories are corrupted as a result of the merge. There are two possibilities to be considered:

- If there are no previous CSOR transactions involved, both jurisdictions should delete and then re-add the drivers' MPR as it existed prior to the accidental CSOR transaction; and
- If there is one or more previous CSOR transaction(s) involved, the first option is for both jurisdictions to delete the CDLIS MPRs, and have the jurisdictions that originally added the drivers to CDLIS add them back again.

The new/old SORs should then perform a CSOR to get the MPRs pointed to their jurisdictions, if applicable. The second option is for the new/old SORs to re-add the driver to CDLIS with AKA data indicating the previous SORs, after deleting the MPRs. When resolving an accidental CSOR, the jurisdictions must ensure that driver histories are preserved, completely and accurately. Any previously correct CSOR transactions should continue to be represented in the AKA information section.

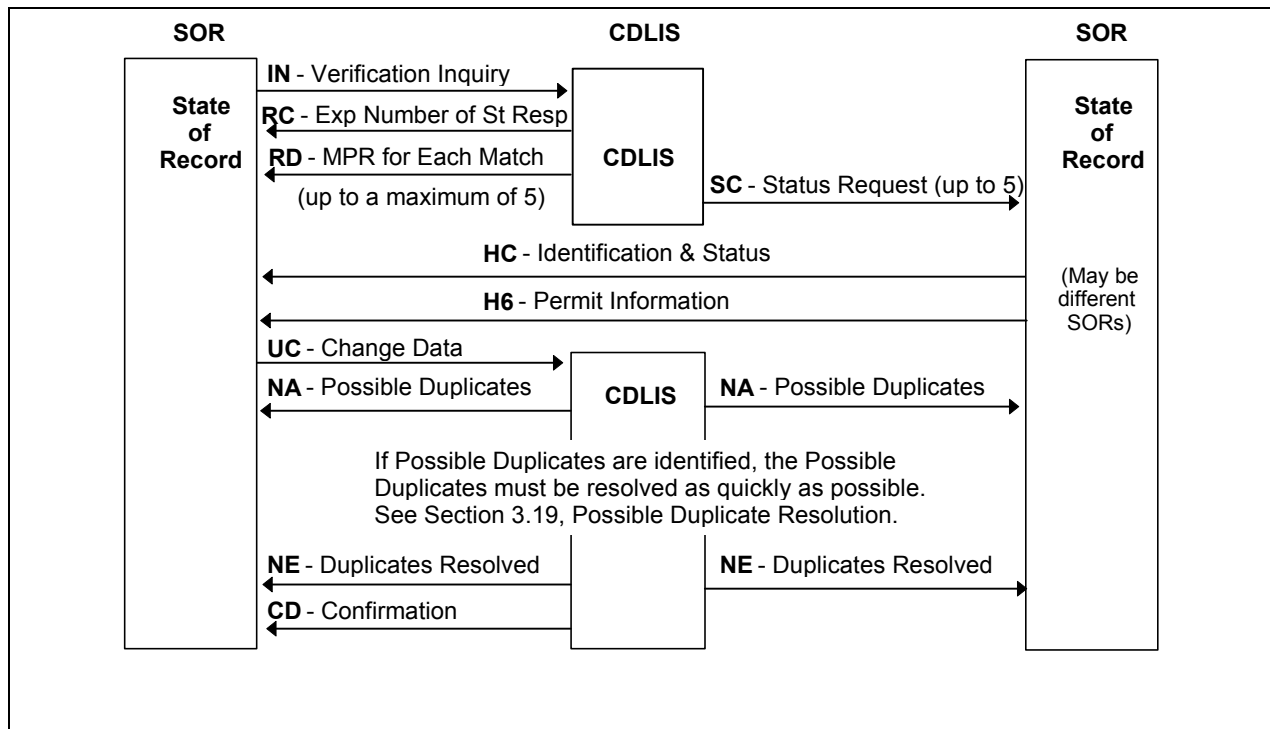
3.14 Change Data

CDLIS provides an automated means for an SOR to change or correct data that exists in a pointer record at the CDLIS Central Site. The Change Data transaction performs the following functions:

- Changes the primary identification data in the pointer record (Name, DOB, DLN, SSN) and the secondary identification data (Sex, Height, Weight, Eye Color).
- Changes the AKA identification data in the pointer record (Name, DOB, DLN, SSN).

If no primary data element is to be changed, the jurisdiction should consider using the Update AKA Data transaction, which provides the ability to replace AKA data without affecting the primary Master Pointer Record data elements.

Figure 12 - Change Data



The SOR begins the Change Data transaction by sending an inquiry to the CDLIS Central Site. If the SOR intends to change the Name, DOB, or SSN for either a primary or AKA data element, it must initiate a Search Inquiry with the changed data. If the data element (primary, secondary or AKA) to be changed is the driver's DLN, Sex, Height, Weight, or Eye Color, then a Verification Inquiry can be used instead of the Search Inquiry.

Although the Change Data transaction can change a primary data element and up to 2 AKAs in a single pass, the Search Inquiry only has the capability to search on one set of driver identification data per transaction.

After the results of the Search Inquiry are returned, any possible matches other than the driver's current pointer record should be carefully examined since there is a possibility that the driver may be a duplicate. If reasonable evidence exists to suspect that the new driver is in fact a duplicate, then the jurisdiction should interrupt the licensing activity until the issue is resolved. Refer to Section 3.18 for further information on possible duplicates. Also refer to Section 3.4.1 for information regarding the use of the Search Inquiry (IM) message in cases where returned records contain a Possible Duplicate flag or a Change State of Record in Progress flag.

If the Search Inquiry or the Verification Inquiry returns zero matches, and the old ST/DLN was input correctly, then the SOR's data is out of sync with the CDLIS Central Site's pointer record, and a *broken pointer* (see Section 3.2) condition exists. The SOR should contact the CDLIS Helpdesk for resolution.

If only the old pointer record is returned as having matched on the old ST/DLN, then the SOR should proceed with the Change Data transaction.

The SOR will include in the Change Data transaction all of the identification data that is to be changed. This transaction requires a minimum of one primary element and will allow a maximum of two AKA's to be changed.

Data elements needed to successfully process the Change Data transaction are:

- | | |
|--|------------|
| • Old Primary Jurisdiction and DL Number | Required |
| • Old Primary Social Security Number | Required |
| • Old Primary Driver's Name | Required |
| • Old Primary Driver Date of Birth | Required |
| • New Primary Jurisdiction and DL Number | If Applic |
| • New Primary Social Security Number | If Applic* |
| • New Primary Driver's Name | If Applic |
| • New Primary Driver Date of Birth | If Applic |
| • New Primary Sex | If Applic |
| • New Primary Height | If Applic |
| • New Primary Weight | If Applic |
| • New Primary Eye Color | If Applic |

- | | |
|----------------------------------|------------|
| • AKA Jurisdiction and DL Number | If Applic |
| • AKA Jurisdiction and DL Number | If Applic |
| • AKA Jurisdiction and DL Number | If Applic |
| • AKA Social Security Number | If Applic* |
| • AKA Driver's Name | If Applic |
| • AKA Driver Date of Birth | If Applic |
| • AKA Driver's Name | If Applic |
| • AKA Driver Date of Birth | If Applic |
| • AKA Driver's Name | If Applic |
| • AKA Driver Date of Birth | If Applic |

*If the Primary SSN is changed, then the AKA SSN cannot be changed, since the old primary SSN will become the AKA SSN. If the primary SSN is not being changed, then the AKA SSN can be changed. Further, a maximum of two AKA ST/DLN and AKA Name/Desc can be submitted if the Primary ST/DLN and Primary Name/Desc are being changed.

Each of the driver identification data elements in the CDLIS Central Site's database can be changed with this transaction except for the SOR field (that is, the Name, SSN, DLN, DOB, Sex, Height, Weight, and Eye Color can all be changed). If a new DLN is submitted, then the CDLIS Central Site will always check the database for uniqueness. If the new ST/DLN has already been assigned to a different driver either currently or previously, then an error message will be returned to the jurisdiction requesting the change.

When any new key identification data (Name/DOB, SSN) is changed, the CDLIS Central Site moves the old data that was changed into the first AKA position and moves any existing AKA data into the next lowest position. If there was data in the last AKA positions, then that data would roll off and be discarded from the pointer record. However, there will always be a history file maintained at the CDLIS Central Site of all ST/DLN changes made to a pointer record. Note that this process is different from the Update AKA Data transaction (see Section 3.19) 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, then the CDLIS Central Site will invoke the possible duplicate search. If possible duplicates are found, then the SOR that created the possible duplicate condition is responsible for initiating the resolution process with the other SORs. If possible duplicates were cleared as a result of the new data in a Change Data transaction, then the SORs that had been previously notified of the possible duplicate situation are notified that

the situation is resolved. Refer to Section 3.19 for further information on the possible duplicate process.

After the CDLIS Central Site has completed processing the changes, then a confirmation message will be sent to the SOR which completes the Change Data procedure.

3.15 Delete Master Pointer Record

The Delete Master Pointer Record transaction is performed by an SOR after a driver's record becomes eligible for purge. There are two conditions under which a pointer record may be deleted. Either:

- The pointer record meets the CDLIS data retention requirements; or,
- The pointer record was created in error.

Section 4.0, "Data Retention," prescribes that the pointer record of either a deceased driver or a driver whose license has expired can be deleted after one year beyond the license expiration date, *but only if the history record does not contain any history entries* (that is, convictions, accidents, withdrawals). If the driver's record contains history entries, then the SOR must maintain the driver's record until such time as the last history entry is eligible for purge.

The second condition under which the Delete Master Pointer Record transaction is invoked is when a pointer record is created in error with the Create New Driver or CSOR transactions. Unforeseen circumstances could cause the submission of a Create New Driver or CSOR transaction for which a CDL was never issued. This is not the same circumstance as when a CDL is issued and then later canceled or withdrawn. Note that there must be one Master Pointer Record for each CDL issued by the SOR.

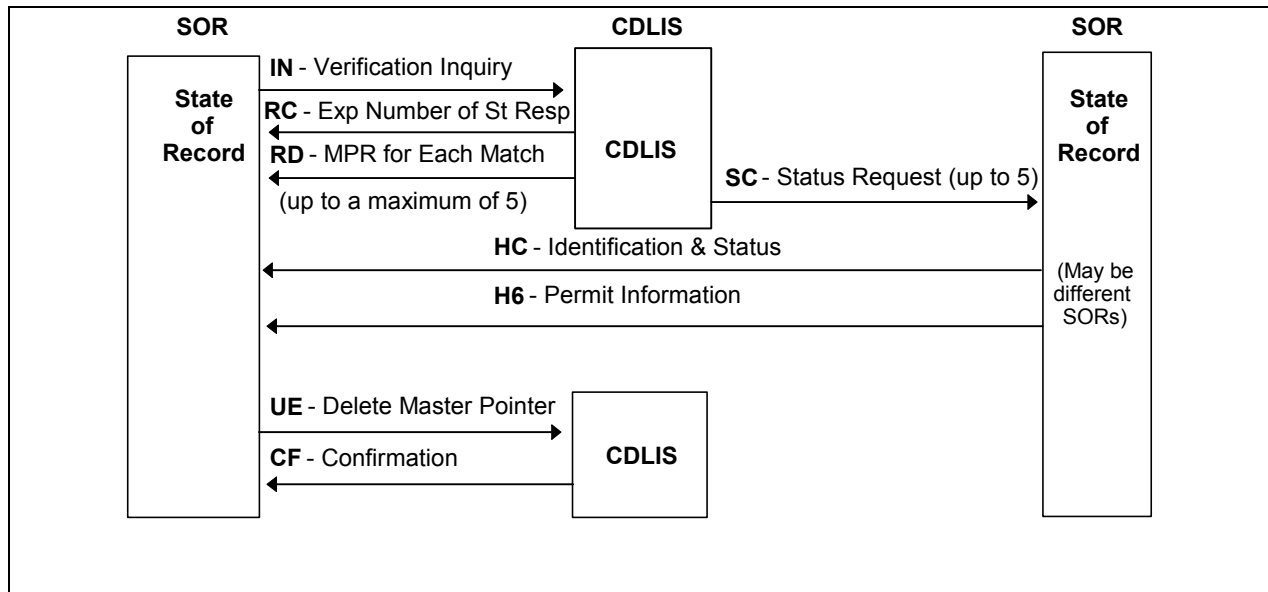
The Delete Master Pointer Record transaction should not be used by a jurisdiction to void an unwanted transaction. Once the Create New Driver transaction is accepted by the CDLIS Central Site, then the driver's record must remain both in the CDLIS database and the SOR's database until it is eligible for deletion. However, there is one exception to this rule, and that concerns a Master Pointer Record created by a Create New Driver transaction, when it is discovered that a Change State of Record transaction should have been used. When this occurs, the Change State of Record transaction should be processed. As part of performing the CSOR, a possible duplicate could result with the MPR which was created in error. The Delete MPR can then be used to delete the MPR which was created in error and the Change Data transaction can be used to correct the remaining MPR as required.

To maintain data on drivers that may have multiple identities, the AKA names, AKA SSNs and AKA ST/DLNs are to be maintained using the CDLIS Change Data transaction or the Update AKA Data transaction, and not by using a Delete Master Pointer Record transaction followed by a Create New Driver transaction. Furthermore, the Delete Master Pointer Record transaction cannot be used to resolve a possible duplicate if the driver's record is not eligible for deletion as described above.

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

The SOR will initiate a Verification Inquiry to the CDLIS Central Site. The acceptable input data combinations are described in Section 3.5, "Verification Inquiry."

Figure 13 - Delete Master Pointer Record



Data elements needed to successfully process the Delete Master Pointer Record transaction are:

- | | |
|------------------------------|----------|
| • Jurisdiction and DL Number | Required |
| • Social Security Number | Required |
| • Driver's Name | Required |
| • Driver Date of Birth | Required |
| • Sex | Optional |
| • Height | Optional |
| • Weight | Optional |
| • Eye Color | Optional |

The SOR may choose to submit a Verification Inquiry prior to the Delete Master Pointer Record transaction to confirm that the pointer record at the CDLIS Central Site is the record that the jurisdiction wishes to delete. If either the Verification Inquiry or the Delete Master Pointer Record transactions are returned in error, then the SOR must resolve whatever driver identification problems are at fault.

After the CDLIS Central Site has verified the identification data from the Delete Master Pointer Record transaction, then the pointer record and all of its attendant CDLIS Central Site data is deleted. If the deleted pointer record contained a Possible Duplicate flag, then the CDLIS Central Site will notify the other SORs that the possible duplicate situation no longer exists.

After a commercial driver's full record is eligible for purge, then the SOR must first delete the pointer record at the CDLIS Central Site, then purge the driver's record from the jurisdiction's system. This procedure avoids the potential for a *broken pointer* condition (see Section 3.3). After the SOR receives confirmation that the pointer record was deleted, it may then initiate the purge procedure for its own system. The SOR should not remove the driver's record from its database until the confirmation from the CDLIS Central Site has been received.

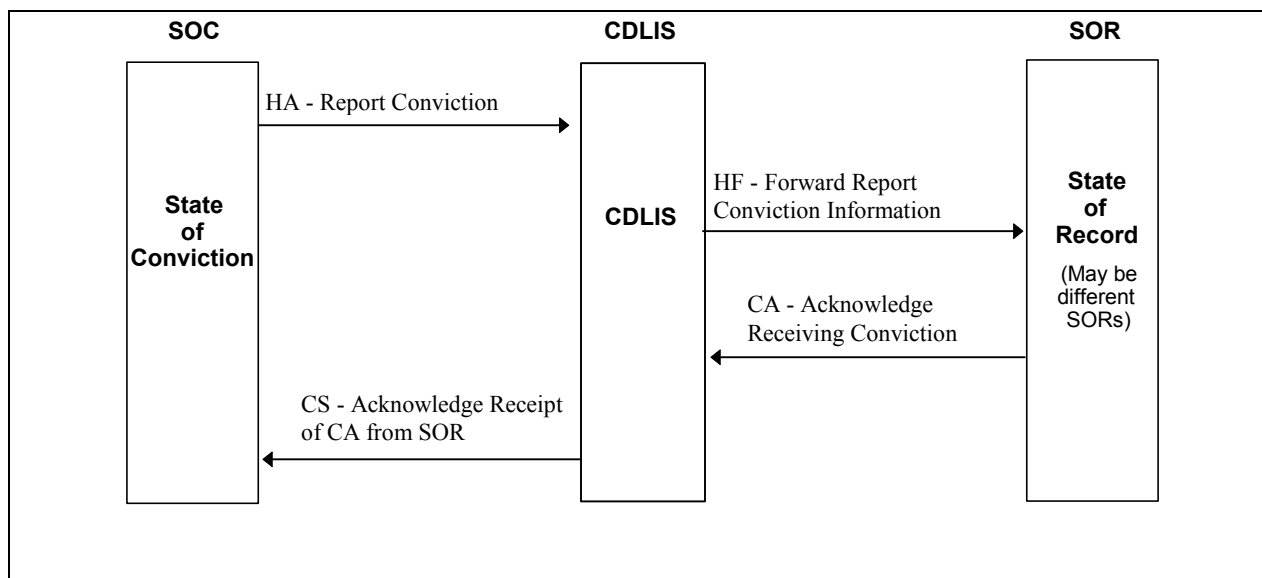
3.16 Report Out-of-State Conviction

CDLIS provides an automated means to transmit conviction data to the SOR for any jurisdiction that convicts another jurisdiction's commercial driver of a traffic violation. When a commercial driver has been convicted outside of his/her SOR, then the jurisdiction where the conviction took place is known as the State of Conviction (SOC). 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 posting the conviction to the SOR.

Any jurisdiction that transmits a conviction to another jurisdiction via a Report Out-of-State Conviction transaction should validate conviction offense codes before they are sent. The SOR should also validate conviction offense codes received from other jurisdictions. 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.

It was suggested at the CDLIS/PDPS Workshop in February of 1994 that the Report Out-of-State Conviction transaction be changed so that the SOR would send the Confirmation message to the CDLIS Central Site instead of the SOC directly. This would assist the CDLIS Helpdesk in tracking and resolving any Out-of-State Conviction issues. Therefore, following the May 1997 implementation, the Report Out-of-State Conviction transaction now requires the SOR to send a confirmation (CA) message to the CDLIS Central Site. The CDLIS Central Site will then send an Acknowledge Receipt Confirmation (CS) message to the SOC.

Jurisdictions are reminded that if the Report Out-of-State Conviction is transmitted electronically then no paper copy should be sent to the SOR, and vice-versa.

Figure 14 - Report Out-of-State Conviction

The Report Out-of-State Conviction transaction is initiated by the SOC to the CDLIS Central Site. Data elements needed to successfully process the Report Out of State Conviction transaction are:

- | | |
|--|---------------|
| • Jurisdiction—DL Number | Required |
| • Social Security Number | Optional |
| • Driver's Name | Required |
| • Driver Date of Birth | Required |
| • Conviction Offense Jurisdiction | Required |
| • Citation Date | Required |
| • Conviction Date | Required |
| • Court Type | Required |
| • Commercial Vehicle Offense Indicator | Required |
| • Hazardous Materials Indicator | Required |
| • Conviction Offense Locator | Required |
| • Conviction Offense Reference | Required |
| • ACD Conviction Offense | Required |
| • Conviction Offense Detail | If Applicable |

The CDLIS Central Site searches for the convicted driver's pointer record based on the ST/DLN. If the CDLIS Central Site cannot locate the pointer record from the primary index of the current ST/DLNs, then a file of all previous ST/DLNs recorded at the CDLIS Central Site will be searched. If this search returns negative results, then the conviction information will be returned to the SOC. If the SOC verifies that the ST/DLN provided to the CDLIS Central Site was the same number on the conviction record, then either an entry error was made previously or the license is a fraud. The SOC may pursue alternative approaches to the problem by using any of the Search Inquiry, State Status Request, or Driver History Request transactions and whatever driver identification data that is available. The goal of further searches is to obtain a ST/DLN which can be associated with the convicted driver.

If the CDLIS Central Site successfully locates the ST/DLN of the convicted driver, then the match is verified as follows:

- If the SSN is provided, it will be verified, as will the first five characters of the last name, the ST/DLN, and DOB.
- If the SSN is not provided, then CDLIS verifies possible driver matches based on the *full Last Name*, along with the ST/DLN and DOB.

If the verification fails, then CDLIS returns the Report of Conviction (HA) message to the SOC.

After the SOR receives the Forward Out of State Conviction (HF) message, it must first verify, and, if correct, then post the information to the driver's history record and evaluate whatever licensing or driver improvement action may be necessary.

If an error occurs, then the original message is returned to the jurisdiction of origin:

- The SOR returns the Forward Out-of-State Conviction (HF) message electronically to CDLIS. In turn, CDLIS returns the original Report Out-of-State Conviction back to the SOC.
- The SOC should make every effort to correct the error as expeditiously as possible.
- After correcting the error, the SOC should resend the Report Out-of-State Conviction (HA) message to CDLIS to be forwarded to the SOR.
- The SOR should NOT post any conviction to the driver history UNTIL the conviction offense code is validated.

Upon successfully posting the conviction to the driver's record, the SOR will send a confirmation (CA) message to CDLIS. CDLIS will then forward an Acknowledge Receipt (CS) message from the SOR to the SOC.

If the SOR cannot locate the driver's record, then it will return the Forward Report Conviction (HF) message to CDLIS. CDLIS will then return the original Report Out-of-State Conviction (HA) message to the SOC.

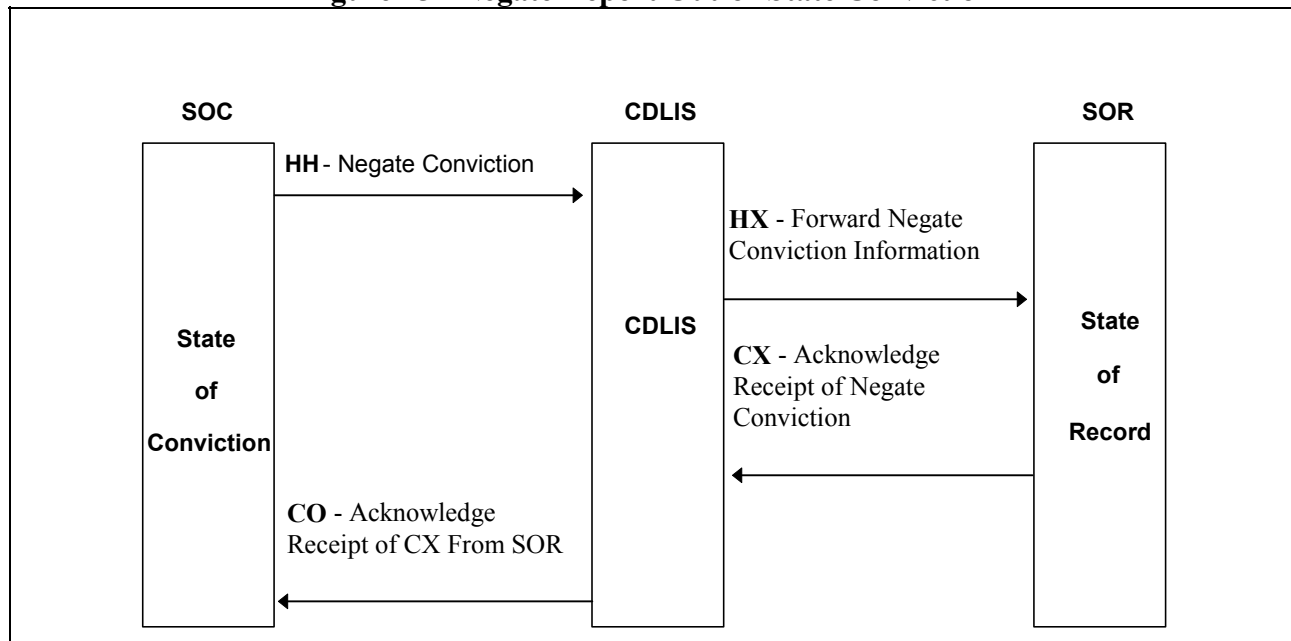
3.17 Negate Out-of-State Conviction

The Negate Out-of-State Conviction transaction creates a message that is initiated by the SOC instructing the SOR to negate conviction information previously sent in a Report Out-of-State Conviction transaction (for example, if the SOC sends incorrect information to the SOR). The SOC sends a Negate OOSC (HH) message to the CDLIS Central Site. The CDLIS Central Site reads that message for the driver's identification information and then forwards the Negate OOSC information to the SOR.

Upon receipt of the HX message, the SOR has 96 hours to send a confirmation (CX) message to the CDLIS Central Site acknowledging that it has received the HX message and has removed the conviction information from the driver's record. The CDLIS Central Site then sends the Acknowledge Receipt (CO) message to the SOC. Once the SOC receives the confirmation message, it can, if necessary, correct the conviction information by initiating a new Report Out-of-State-Conviction transaction.

Only the State of Conviction (SOC) may initiate the Negate Out-of-State Conviction transaction. The contents of the message should be the same as the data sent on the original Out-of-State Conviction (HA) message for the State of Record (SOR) to successfully negate the conviction.

Figure 15 - Negate Report Out-of-State Conviction



3.18 Possible Duplicate Resolution

This Section describes guidelines by which the jurisdictions should address the problem of possible duplicate pointer records.

The CDLIS Central Site will perform a search for duplicate pointer records for every Create New Driver transaction. A search will also be invoked for every Change Data transaction and Change State of Record transaction if any of the following key driver identification data has been changed, and for the Update AKA transaction if any of the following key AKA identification data is changed:

- Name
- DOB
- SSN

The ST/DLN field is always checked for uniqueness before any update transactions are processed at the CDLIS Central Site, and, therefore, is not included in the duplicate flagging search logic.

The duplicate flagging search marks the subject pointer record as a possible duplicate with another pointer record if any of the following criteria are met:

- The SSN from the subject pointer record exactly matches the SSN from another pointer record; or,
- A transposed SSN from the subject pointer record matches an SSN from another pointer record *and* both records match on the NDR Name/DOB search algorithm; or,
- A pseudo SSN from the subject pointer record matches the SSN from another pointer record and both records match on the NDR Name/DOB search algorithm.

By definition, a possible duplicate situation involves at least two drivers. The most common reasons why a possible duplicate situation occurs involves several different types of errors:

- A Create New Driver transaction is submitted when a Change State of Record should have been submitted. In this case, the driver is already on CDLIS and, for whatever reason, the jurisdiction which issued the CDL neglected to perform the CSOR transaction. In this situation, deleting the Master Pointer Record created by the Create New Driver transaction will resolve the duplicate. The jurisdiction must also perform the CSOR transaction to correctly process the issuance of the CDL and to accumulate the driver's history.

- The two drivers are separate individuals, but an input error was made when entering key data (for example, SSN, ST/DLN, or Name/DOB). The incorrect data should be corrected through the Change Data transaction. If an MPR was created through the Create New Driver transaction, then it may be necessary to Delete the MPR and correctly submit the Create New Driver transaction.
- The two drivers are separate individuals but have received the same SSN from the Social Security Administration (SSA). This is an extremely rare case, but it does occur. To resolve this, both jurisdictions must mark its driver 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, or that he/she is impersonating another driver altogether. Jurisdictions may wish to use the Mark Driver Unique transaction to resolve the possible duplicate situation while they conduct further investigation. If the driver was attempting to secure a second CDL, then both jurisdictions should disqualify the driver. Both pointer records will remain on CDLIS.

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

If a jurisdiction issues a license and then determines that the driver illegally holds a duplicate license from another jurisdiction, then the other SOR must be notified. Both jurisdictions shall disqualify that driver's privilege to operate a commercial motor vehicle. Both pointer records will remain on CDLIS.

If the procedures for using the Search Inquiry (IM) message in a transaction are adhered to, then the jurisdiction which created the possible duplicate will have already reviewed the identification data of the possible duplicate driver(s) in all but a very few cases (the unlikely exceptions being any new record(s) created during the period between when the Search Inquiry was issued and when the subsequent transaction was issued). A comparison of the search criteria between the Search Inquiry and the duplicate flagging process shows that any records flagged as possible duplicates would also be included in the records returned from a Search Inquiry of the given driver. The criteria to create a possible duplicate flag are stricter than the criteria to satisfy a Search Inquiry.

Excluding the exceptions, having issued the transaction, the originating jurisdiction must have already positively determined that its driver was not one of the close matches returned from the

Search Inquiry. The jurisdiction should proceed with the Mark Driver Unique transaction only after positive determination has been made that the possible duplicate drivers are indeed unique.

The jurisdiction originating a transaction which creates a possible duplicate situation and the SOR of the "duped against" driver will receive immediate notification of the possible duplicate. The jurisdiction originating the transaction is required to initiate the process for resolving the possible duplicate(s).

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, then the CDLIS Helpdesk is notified.

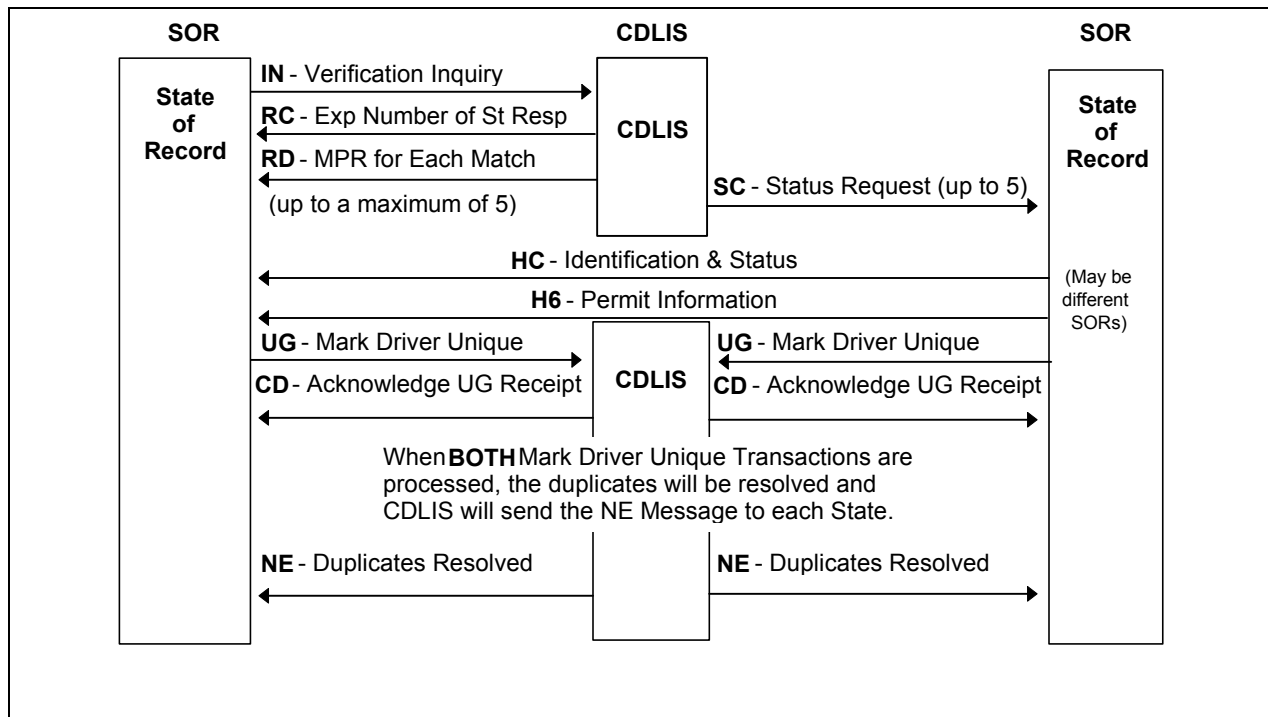
CDLIS transactions that may be used in the resolution of a possible duplicate are:

- Delete Master Pointer Record (if the pointer record was established in error);
- 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. It is expected that the Change Data transaction will be used to correct the identification data entered in error, and will resolve most possible duplicate situations); and
- 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)).

Each SOR involved in a possible duplicate situation has the responsibility for marking its driver unique to the other when such a determination has been made. The SOR can only mark its driver unique to one other driver per the Mark Driver Unique transaction. *One jurisdiction flagging a pointer record as unique does not clear the 96 hour clock. Each jurisdiction involved must mark their record as unique to the possible duplicate(s) record before the resolution process is considered complete.*

The process for marking a driver unique follows:

Figure 16 - Possible Duplicate Resolution



The SOR will initiate a Verification Inquiry to the CDLIS Central Site. The permissible input data combinations are described in Section 3.5, "Verification Inquiry."

Data elements needed to successfully process the Mark Driver Unique transaction are:

- | | |
|-------------------------------------|----------|
| • Jurisdiction (SOR) and DL Number | Required |
| • Social Security Number (SOR) | Required |
| • Driver's Name (SOR) | Required |
| • Driver Date of Birth (SOR) | Required |
| • Jurisdiction (DUPE) and DL Number | Required |
| • Social Security Number (DUPE) | Required |
| • Driver's Name (DUPE) | Required |
| • Driver Date of Birth (DUPE) | Required |

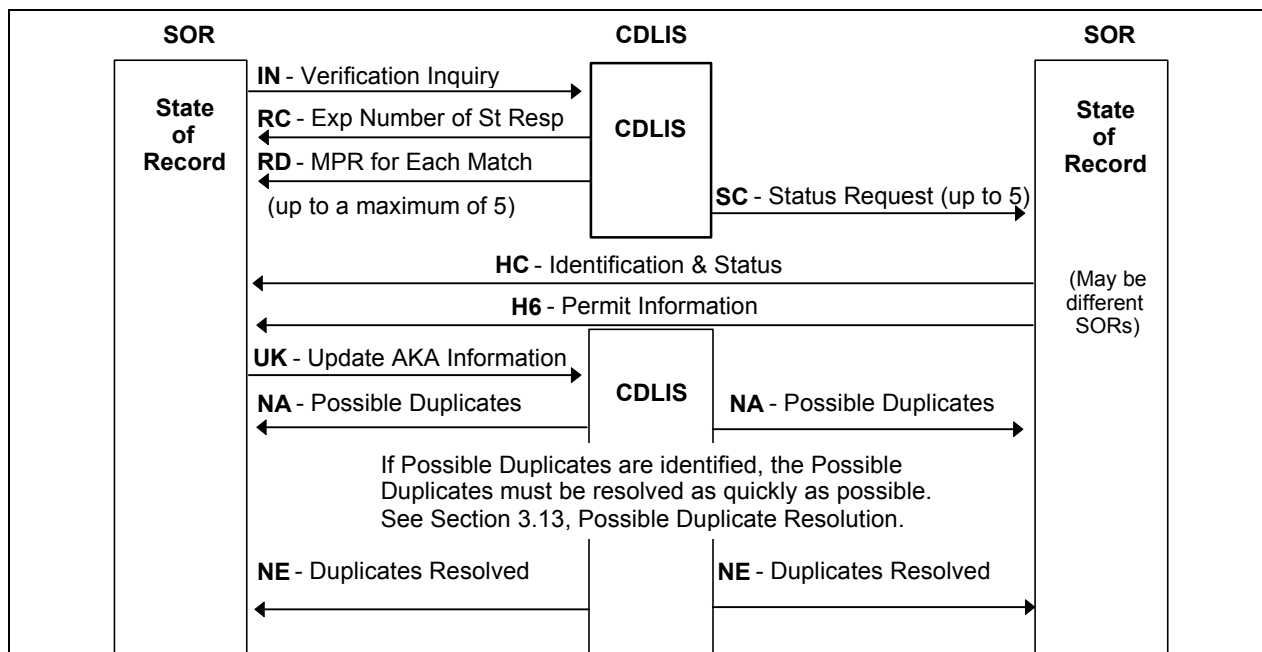
Statistical data relative to the resolution or non-resolution of possible duplicates will be logged at the CDLIS Central Site and periodically reviewed by the CDLIS Helpdesk. Data which appears to be extraordinary will be reported to the CDLIS Coordinator.

3.19 Update AKA Data

The Update AKA Data transaction is used to update AKA information (Name/DOB, SSN, and ST/DLN) on a driver's Master Pointer Record (MPR). Note that there are major differences in the processes followed by this transaction as compared to the Change Data transaction. For example:

- 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:
 - If a jurisdiction would like to change (that is, correct) data stored as AKA1, then it puts the new data in the Update AKA Data (UK) message where it is shown for AKA1. The new data will replace the existing AKA1 data.
 - 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 all 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, then 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 SOR begins the Update AKA process by initiating a Verification Inquiry to the CDLIS Central Site. However, if the SOR intends to change or correct AKAs for either Name, DOB, or SSN, then it must initiate a Search Inquiry with the changed/corrected data.

Figure 17 - Update AKA Data

The following data elements are needed to successfully process the Update AKA (UK) transaction:

- | | |
|--|-----------|
| • Old Primary Jurisdiction and DL Number | Required |
| • Old Primary Social Security Number | Required |
| • Old Primary Driver's Name | Required |
| • Old Primary Driver Date of Birth | Required |
| • AKA Jurisdiction and DL Number | If Applic |
| • AKA Jurisdiction and DL Number | If Applic |
| • AKA Jurisdiction and DL Number | If Applic |
| • AKA Driver's Name | If Applic |
| • AKA Driver Date of Birth | If Applic |
| • AKA Driver's Name | If Applic |
| • AKA Driver Date of Birth | If Applic |

- | | |
|------------------------------|-----------|
| • AKA Driver's Name | If Applic |
| • AKA Driver Date of Birth | If Applic |
| • AKA Social Security Number | If Applic |

After CDLIS receives the Update AKA (UK) message, it will then edit the transaction to ensure that the jurisdiction which submitted the transaction is the SOR, and that it can also locate the MPR. To ensure that it has the correct MPR, CDLIS will verify the SSN, the first five characters of the Last Name, and the Date of Birth. If CDLIS cannot verify that it has the correct MPR, then it will return the Update AKA message with errors.

If the AKA SSN changed, then CDLIS checks to determine if another record exists on the SSN Index file with the exact same SSN. If one or more records is found with the exact same SSN, then CDLIS will flag each record as a possible duplicate and send Possible Duplicate (NA) (up to 5) messages to the SOR which submitted the change data message and other SORs. CDLIS also writes a record to the jurisdiction's Suspense File to determine if the possible duplicates have been resolved within 96 hours, and will notify the CDLIS Helpdesk if they have not been resolved. Refer to Section 3.18, "Possible Duplicate Resolution," for additional information on processing possible duplicates.

If the Update AKA Data transaction has passed all verifications, then CDLIS will update its AKA file and generate a Confirmation (CD) message to the SOR.

4. DATA RETENTION

4.1 CDLIS State of Record, Data Retention Requirements

This section describes the State of Record's (SOR) responsibility in maintaining driver record information, regardless of whether or not the driver has been declared deceased or if his/her license has expired. The data retention definitions in this Section are drawn from the Driver License Compact and are further defined by Federal regulations relating to the CMVSA of 1986.

Major Commercial Motor Vehicle (CMV) Convictions - Retain for 55 years past the conviction date.

This category includes the following offenses specified in the CMVSA:

- Driving Under the Influence
- Leaving the scene of an accident
- Felony convictions—(See ACD Codes A04, A20-21, A12, A22-23, B01-08, U03, A50)

Other Major Convictions (any vehicle) - Retain for 10 years past the conviction date.

This category includes "specified offenses" as listed in the Driver License Agreement:

- Manslaughter or negligent homicide
- Driving while intoxicated
- Felony using a motor vehicle
- Failure to stop and render aid
- Reckless driving (this is also a Serious Traffic Violation specified in the CMVSA [See ACD Codes U07-08, A04-11, A20-23, U03, B01-04, M84])

Minor Convictions - Retain for 3 years past conviction date.

This category includes traffic convictions other than "CMV Major Convictions" and "Other Major Convictions" listed above. By definition, this includes the remaining four of the five Serious Traffic Violation offenses specified in the CMVSA and modified by the FHWA Final Rule effective November 2, 1989, as follows:

- Excessive speeding
- Improper or erratic traffic lane changes
- Following too closely
- A violation of State or local law arising in connection with a fatal accident—(See ACD Codes S15-41, S61-91, S92, M84, M42, M34, and U31)

Accidents - Retain for 10 years past accident date.

Withdrawal Actions - Retain for 55 years past the withdrawal date or 3 years past reinstatement date.

4.2 State of Record (SOR) - Record Availability

This section describes the *minimum* record availability required of the SOR.

NOTE: References in the text below relating to purge rules for a "driver's record" are inclusive of both the CDLIS Central Site pointer record *and* the driver's record maintained on the jurisdiction's system.

4.2.1 On-Line Access

The SOR must maintain (on-line) the data contained within the following AAMVAnet Data Dictionary groups:

- Identification Group
- Status Group

The SOR will maintain this data (on-line) indefinitely, except as determined by the conditions in Section 4.2.2.

4.2.2 Deceased Driver/ Expired License

If a driver's record has been marked “deceased” or his/her license has expired, *and* the driver's history record does not contain any history entries (that is, convictions, accidents, or withdrawals), then the SOR may purge the driver's record when one year has passed since the license expiration date.

If the same driver's record contains history entries, then the record must be maintained as defined in Section 4.1, until such time as the last history entry is eligible for purge. After a commercial driver's full record is eligible for purge, the SOR must first delete the pointer record at the CDLIS Central Site, then purge the driver's record from its own system. This procedure will preclude the potential for a CDLIS broken pointer condition (see section 3.2).

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

4.2.3 Voluntary Surrender of the Driving Privilege

A commercial driver 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 which is not the SOR.

The first type of voluntary surrender is self-explanatory, while the second requires clarification with respect to the Change State of Record transaction. It sometimes happens that a driver may want to relinquish his/her CDL and receive a noncommercial license from a new jurisdiction. In this case, the preferred procedure is for the new jurisdiction to perform a Change State of Record. Changing the pointer to the new jurisdiction is the best means by which to support the concept of “one license, one driver, one record.”

If for some reason the new jurisdiction accepts the surrendered CDL but chooses not to take the pointer record, then no Change State of Record is performed. The new jurisdiction should return the surrendered CDL to the old SOR and notify the jurisdiction that the driver has relinquished the privilege to drive a commercial motor vehicle. In such cases, the SOR for the CDL has not changed, and as far as CDLIS is concerned, the jurisdiction that originally issued the CDL will remain the SOR until another jurisdiction issues a CDL to that driver.

For both types of surrender conditions, the same purge criteria and rules apply as for the “deceased driver/expired license” conditions defined in Section 4.2.2 above.

4.3 24 Hour Access

The SOR must be able to provide the following AAMVAnet Data Dictionary data within 24 hours:

- CMV Major Convictions less than 10 years old (from the conviction date) *
- Other Major Convictions (any vehicle), full 10 year life of the entries
- Minor Convictions, full 3 year life of the entries
- Withdrawals Actions, less than 10 years old (from the Withdrawal Date) *
- Accidents, full ten year life of the entries **

* As shown in Section 4.1, the total retention for these entries is 55 years; however, the jurisdictions may exercise the option of providing this data within 7 days, *after* these entries have aged ten years.

** Please note that CDLIS does not require a jurisdiction to maintain accident data.

4.3.1 7-Day Access

The SOR must be able to provide the following data within 7 days:

- CMV Major Convictions greater than 10 years old (from the conviction date) *
- Withdrawals, greater than 10 years old (from the withdrawal date) *

* As shown in Section 4.1, the total retention for these entries is 55 years; however, the jurisdictions may exercise the 7 day access option, *after* these entries have aged ten years.

4. Previous State of Record (SOR) - Data Retention Requirements

This section applies to a previous SOR where a driver changed residence to a new SOR through the CDLIS Change State of Record transaction.

4.4.1 Previous State of Record (SOR) - Data Retention Definitions

After a driver changes residence to a new jurisdiction and the CDLIS Change State of Record (UD) transaction is complete, then the new SOR now has responsibility for the entire driver's history record. However, the previous SOR must still maintain identification data as defined in Section 4.4.3, even though it is no longer responsible for maintaining the status, address, or history entries.

4.4.2 Previous State of Record (SOR) - Record Availability

This section describes the *minimum* record availability required of the previous SOR.

4.4.3 On-Line Access

The previous SOR must continue to maintain the data contained with the Identification Group in an on-line mode. In addition, as part of the CDLIS Change State of Record transaction, the previous SOR must add the new SOR's jurisdiction code and driver license number to its on-line record.

The previous SOR will retain the on-line data required above for two years past the completion of the Change State of Record transaction. Any other AAMVAnet Data Dictionary data with the 24 hour or 7 day access options becomes the responsibility of the new SOR and is no longer required to be maintained by the previous SOR.

The rules for purging records of deceased drivers or records of drivers whose license has expired do not apply to the previous SOR.

4.5 State of Conviction (when not State of Record) - Data Retention Requirements

The State of Conviction (SOC), if not the SOR, will not be required to maintain any AAMVAnet Data Dictionary data. Conviction information on out-of-state drivers must be posted to the SOR through the CDLIS Report Out-of-State Conviction transaction.

No other actions are required of the SOC.

Appendix A

Assigned State Pseudo Social Security Numbers

Assigned State Pseudo Social Security Numbers

Alabama	000-11-0001	through	000-11-9999
Alaska	000-12-0001	through	000-12-4999
Arizona	000-45-0001	through	000-49-9999
Arkansas	000-12-5000	through	000-12-9999
California	000-50-0001	through	000-54-9999
Colorado	000-13-0001	through	000-13-4999
Connecticut	000-13-5000	through	000-13-9999
Delaware	000-14-0001	through	000-14-4999
Washington, D.C.	000-14-5000	through	000-14-9999
Florida	000-15-0001	through	000-15-9999
Georgia	000-16-0001	through	000-16-9999
Hawaii	000-17-0001	through	000-17-4999
Idaho	000-17-5000	through	000-17-9999
Illinois	000-18-0001	through	000-18-9999
Indiana	000-19-0001	through	000-19-9999
Iowa	000-20-0001	through	000-20-4999
Kansas	000-20-5000	through	000-20-9999
Kentucky	000-21-0001	through	000-21-4999
Louisiana	000-22-0000	through	000-22-9999
Maine	000-21-5000	through	000-21-9999
Maryland	000-23-0001	through	000-23-9999
Massachusetts	000-24-0001	through	000-24-9999
Michigan	000-25-0001	through	000-25-9999
Minnesota	000-26-0001	through	000-26-9999

Mississippi	000-27-0001	through	000-27-4999
Missouri	000-28-0001	through	000-28-9999
Montana	000-27-5000	through	000-27-9999
Nebraska	000-29-0001	through	000-29-4999
Nevada	000-29-5000	through	000-29-9999
New Hampshire	000-30-0000	through	000-30-9999
New Jersey	000-31-0001	through	000-31-9999
New Mexico	000-55-0001	through	000-59-9999
New York	000-32-0001	through	000-32-9999
North Carolina	000-33-0001	through	000-33-9999
North Dakota	000-30-5000	through	000-30-9999
Ohio	000-34-0001	through	000-34-9999
Oklahoma	000-35-0001	through	000-35-4999
Oregon	000-35-5000	through	000-35-9999
Pennsylvania	000-36-0001	through	000-36-9999
Rhode Island	000-37-0001	through	000-37-4999
South Carolina	000-37-5000	through	000-37-9999
South Dakota	000-38-0001	through	000-38-4999
Tennessee	000-39-0001	through	000-39-9999
Texas	000-60-0001	through	000-64-9999
Utah	000-38-5000	through	000-38-9999
Vermont	000-40-0001	through	000-40-4999
Virginia	000-41-0001	through	000-41-9999
Washington	000-42-0001	through	000-42-9999
West Virginia	000-40-5000	through	000-40-9999
Wisconsin	000-43-0001	through	000-43-9999
Wyoming	000-44-0001	through	000-44-4999

Reserved	000-00-0000	through	000-10-9999
	000-44-5000	through	000-44-9999
	000-65-0000	through	000-99-9999