Convictions

Business Support Services

3-26-2025

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Revision History

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Executive Approval Date: 3/26/2025	**Approved By:** Business Support Services Manager

Overview

These standard operating procedures (SOPs) outline the steps involved in processing convictions from the time they are received by the Central Processing Department, through D360 entry and OnBase indexing, to the ultimate driver notification when applicable.

Purpose

The purpose of this document is to inform SOK employees about the conviction process and facilitate smooth and efficient training of new hires to the Business Support Services team.

Policy Statement

These SOPs apply primarily to the efforts of Business Support Services, but all SOK employees will benefit from understanding the process at a high level to support customers who have questions related to convictions.

Compliance

49 CFR § 384.209 (Notification of Traffic Violations)
49 CFR § 384.226 (Prohibition on Masking Convictions)
49 CFR § 385.3 (Definitions and Acronyms)
47 O.S. § 18-101 (Reporting convictions within 5 days to Service Oklahoma)

Title 47: Motor Vehicles
Title 21: Crimes and Punishments
Title 37A: Alcoholic Beverages
Title 63: Public Health and Safety

Systems

The two key systems behind the convictions procedures are OnBase, a process management software used as a document repository, and D360, an integrated platform used for managing convictions and reporting to other states.

Roles

List the roles and functions of anyone involved in the operations described within this document.

Role	Responsibilities
Central Processing Department (CPD)	Processes incoming mailed convictions by opening and sorting them; handles emailed convictions by printing and sorting them; batches all incoming convictions after sorting and scans them into OnBase. Additionally, prints and mails notifications to the driver when the conviction results in an automatic suspension or revocation.
Business Support Specialist	Creates or updates the conviction record of a driver; runs PDPS SB and CDLIS IM searches as needed for OOS drivers; notifies team lead when no pointer for CDL holder; indexes record in OnBase.
Team Lead	Requests a pointer from the state of record when none is found for an out-of-state driver before processing a conviction involving a CDL holder, a CMV, or a CMV with HazMat certification to ensure accurate record handling; processes conviction amendments as requested by the court of record.

Procedures

Process #1: Initial Processing

1. A conviction is a court decision made concerning a citation (ticket) that was issued during a traffic stop. Courts send convictions to SOK for processing. Convictions can be sent in three forms: Digital integration, email, or mail. Digital integration convictions go straight into D360, but the Central Processing Department (CPD) prints emailed convictions and sorts and batches both emailed and mailed convictions. *(NOTE: Conviction, abstract of court record, and traffic ticket are used interchangeably.)*
    a. Convictions are batched into three main stacks – Municipal/District/Sheriff, Oklahoma Highway Patrol (OHP), or Out-of-State (OOS) – then by Oklahoma versus non-Oklahoma drivers, then by Mandatory versus non-Mandatory.
        i. Mandatory is based off the driver's class or the violation code.
            1. The Mandatory drivers are CDL, CMV, HAZMAT.
            2. The Mandatory violation code list.
        ii. If the violation or ACD code is on the Bypass list, then put it is non-mandatory (depending on the DL State). Unless it is a CDL or CMV.
        iii. Non-Mandatory is based off the driver's class or the violation code.
            1. Class D
            2. Not marked CDL, CMV, or HAZMAT.
            3. Not on the Mandatory violation code list.
    b. Court clerks are required by state law to report convictions to SOK within 5 days of the conviction date. From the date of conviction, SOK has ten days of the conviction date to report to CDLIS.
2. CPD scans all batched convictions into OnBase, automatically generating a batch number and document ID.
    a. Scan queues are:
        i. RM Abstracts 1-2 – Mandatory, priority documents
            1. Mandatory Oklahoma drivers (CMV, CDL, HAZMAT or violation code)
            2. Mandatory Out of State CDL, CMV, and HAZMAT drivers
            3. Mandatory Out of State violation code
        ii. RM Abstracts 3-4 – Non-mandatory documents
            1. Non-mandatory Oklahoma drivers (Includes OK Drivers on the Bypass list)
            2. Non-mandatory Out of State drivers (Includes OOS Drivers on the Bypass list)
        iii. RM Abstracts 5-6 – non-mandatory out od state drivers, OHP tickets Never ever shred an OHP ticket. The list below will go in batch slip #6:
            1. Decline (No matter the driver's class)

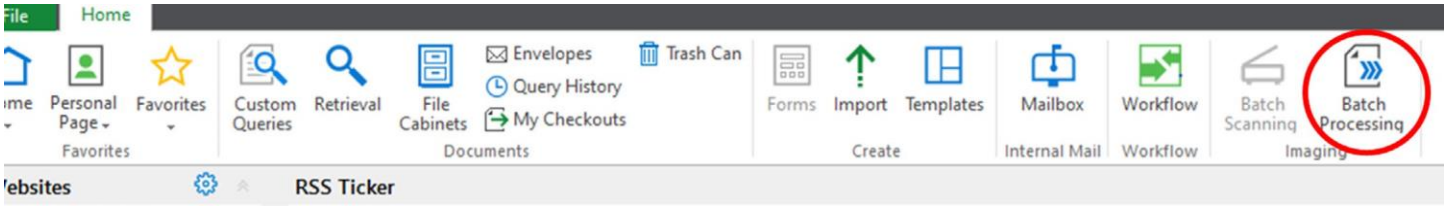
2. Dismissal w/ and (unless its CDL or CMV)
3. Dismissal w/o fines and costs
4. Expunged (equivalent to a Dismissal)
5. Deferred (unless its CDL or CMV)
6. Bypass list (violation code)

b. If there is no disposition marked
   i. The ticket will need to be mailed back to the court along with an Abstract of Court Record Data request sheet.
   ii. On the data sheet write the name of city or county of the ticket. (highlight what needs to be fixed on the ticket before mailing out)

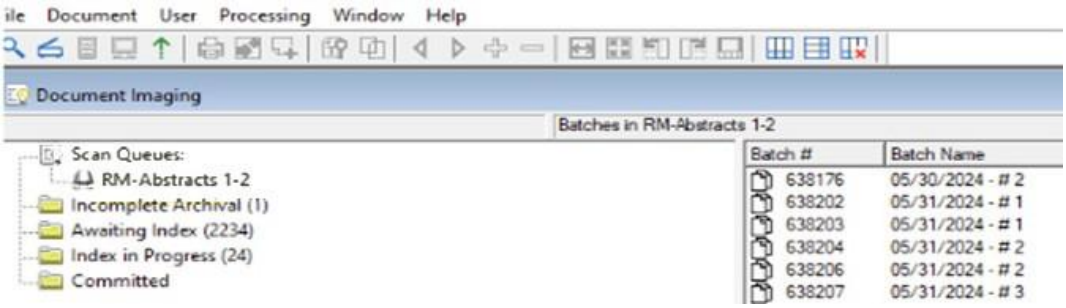
c. After gathering the stacks together put them with the correct batch slip with the sorters initials and date the tickets were received. Paperclip 15 tickets per batch slip (date stamp slips).

3. Business Support Specialists select batches for processing based on their skillset and availability, starting with those involving CDL, CMV, HazMat certified drivers, then working from oldest to newest.
4. To begin processing a conviction, the Business Support Specialist opens both OnBase and D360 and pulls up the record in OnBase.

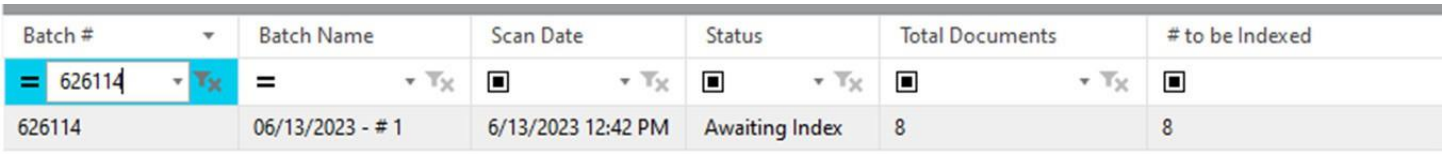
a. To pull up the record in OnBase, click 'Batch Processing' in the top right



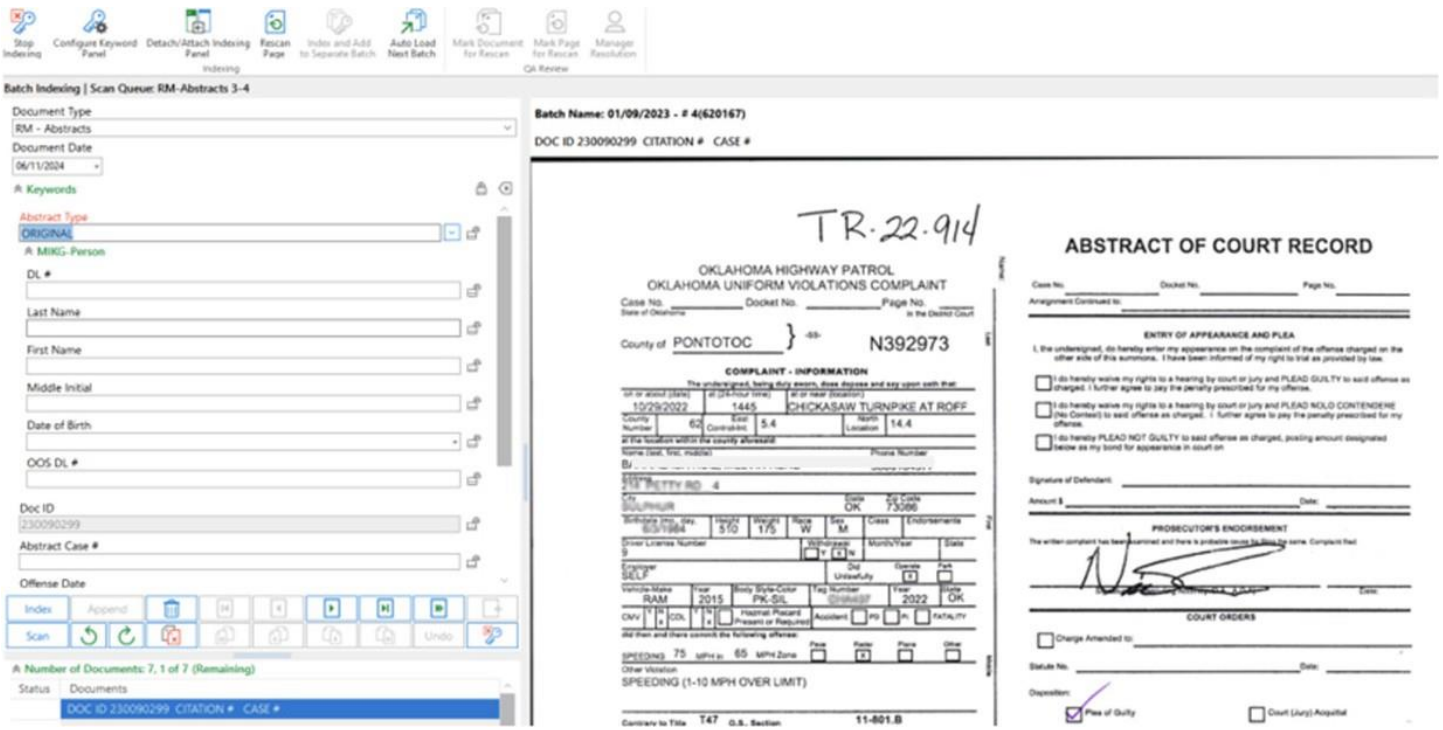
b. Then under 'Scan Queues', scroll down and click 'RM-Abstracts 1-2, 3-4, or 5-6'.



c. Enter the batch number, then right-click the batch number and click index to open the batch indexing page.



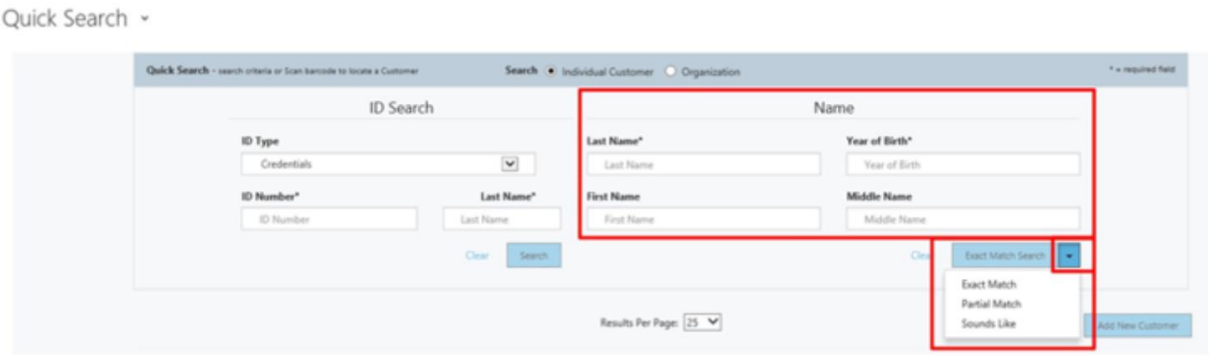
d. Double click item in batch.



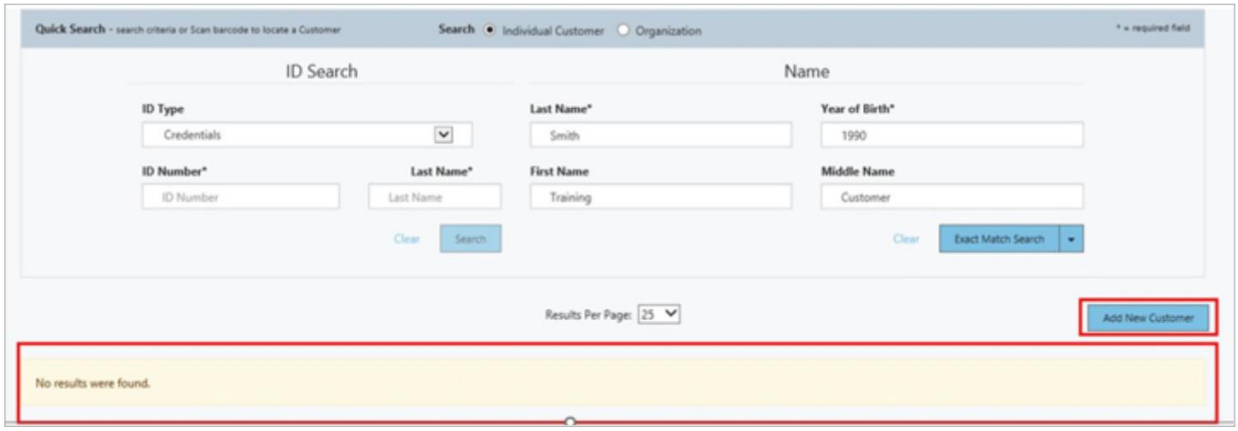
e. Leave OnBase open and switch over to D360.

5. The Business Support Specialist searches D360 for the driver by entering the driver's name and birth year in the Quick Search field on the home page and clicking 'Exact Match Search'. If an exact match is not found, there will be an option to 'Add New Customer'. Click that and use PDPS search results to fill information in the pop-up.
    a. Note: If only the address is different, the Business Support Specialist must not correct the address but instead add the information to the existing record even though it is imperfect.
    b. **Exact Match:** Type the customer's full last name and year of birth, you may also type the customers First Name and Middle Name to refine your search.
    c. **Partial Match:** Type at least the first two letters of the last name (but not full name) and year of birth. Additionally, it is possible that the name was misspelled when originally entered so entering just the first few letters of first name may aid your search.
    d. **Sounds Like:** Type what is 'close to' or 'sounds like' the customer's given last name and

year of birth.

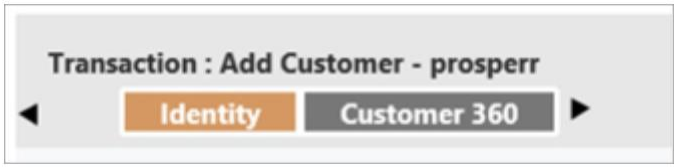


6. If driver found in D360 and:
    a. Driver is an Oklahoma resident, do not update any address, or name as they are required by law to update the record within 10 days.
        i. If Conviction indicates CDL, CMV or hazmat but Oklahoma driver does not have a CDL on file, check for pointer by using CDLIS Original Inquiry (IM)
    b. Driver is an OOS driver, compare all driver information in D360 to AAMVA PDPS SB to verify that it is an exact match and if any updates are needed. Updates may include but not limited to OOS DL information and address.
    c. If update is needed proceed to UPDATE DRIVER RECORD
    d. If no update is required proceed to ADD CONVICTION
    e. If driver not found proceed to BUILD A SETUP PROFILE
7. Build a Setup Profile
    a. When driver info has no results found, click "Add New Customer".



    b. View will show first name, last name, and date of birth. Add full date of birth, additional names, and Out of State Information.

c. Click Customer 360.



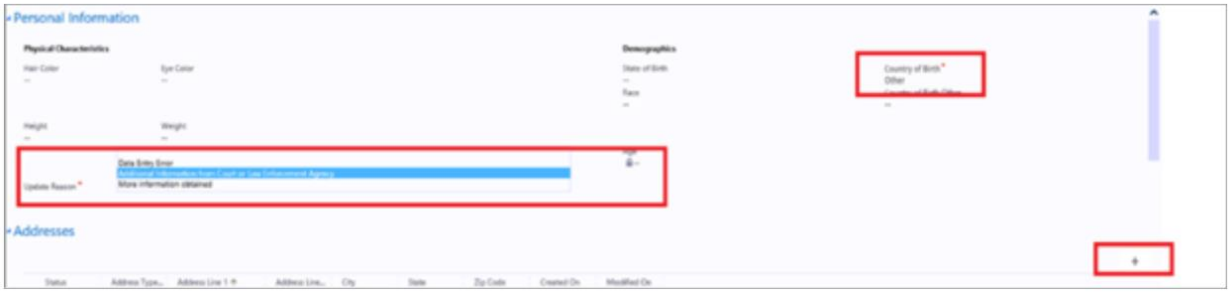
d. Proceed to UPDATE DRIVER RECORD.

8. Update OOS Driver Record

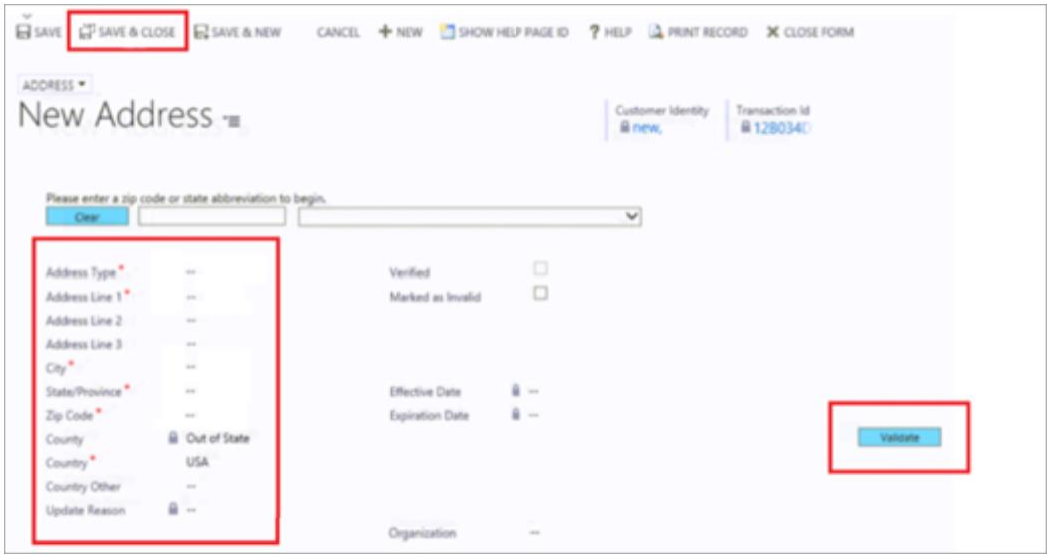
a. From the Customer Identity panel**, select the "Other" tab and** choose Update Customer.

b. Add "Other" for country of birth and update reason "**More Information Obtained**"

c. Click the "+" plus sign to add address information available.



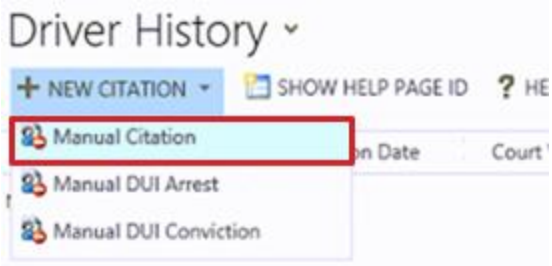
d. Choose address type ‘mailing’ from the drop-down options.
    i. Enter the address information returned by the AAMVA SB check return.
    ii. Enter the street address on Address Line 1 and the Zip Code
e. Click Validate.
    i. If information loads it will be valid.
    ii. Click SAVE & CLOSE.
    iii. If address does not automatically complete and validate, enter the address from the AAMVA return manually and do not validate.
    iv. Click SAVE & CLOSE.



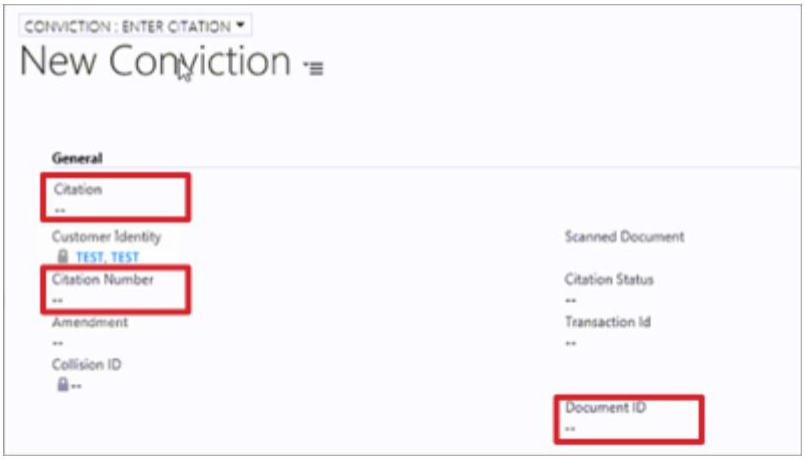
f. Proceed to ADD CONVICTION

9. Add Conviction
    a. On the driver Identity page select the arrow to the right of the driver’s name in the black ribbon.

    b. If the conviction is not found, the Business Support Specialist enters it manually.
        i. To enter the conviction, click ‘+ New Citation’ and ‘Manual Citation’. In the pop-up, copy and paste the document ID from OnBase and enter all available information. When finished, click ‘Save’ in the top left corner.



10. From the view in OnBase enter the information into the sections and fields as follows:
    a. General section:
        i. Conviction number from court in the Citation and Citation Number fields.
        ii. Highlight the Doc ID number in OnBase and copy (CTRL+C) then paste in the Document ID field.



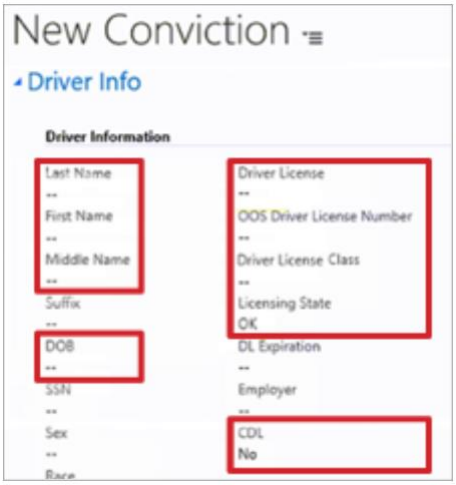
    b. Trooper Information: Enter the Court Type (from citation).
        i. The dropdown menu shows 23 options.

        ii. Agency details: Enter the Agency type (11 options).

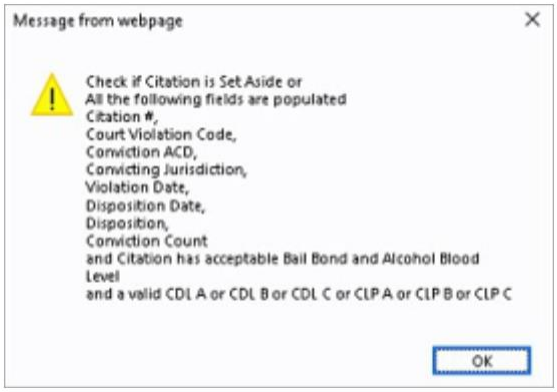
11. Conviction Information (from OnBase)
    a. Highlight the Doc ID number in OnBase and copy (CTRL+C) then paste in the Abstract Document ID field.
        i. Enter Information:
        ii. Court violation number
        iii. Case number
        iv. Conviction date
        v. Disposition
        vi. Conviction count

    b. Enter Driver Information:
        i. First Name
        ii. Middle Name
        iii. Last Name

iv. Date of Birth
v. Suffix if applicable
vi. DL Number, if driver is Oklahoma driver, enter the license number. *If driver is an out of state driver enter the OOS license number in the OOS Driver License Number field.*
vii. If out of state license, enter Driver License Class.
viii. Licensing State should match the state that issued the license.
ix. If license is CDL, change no to yes.

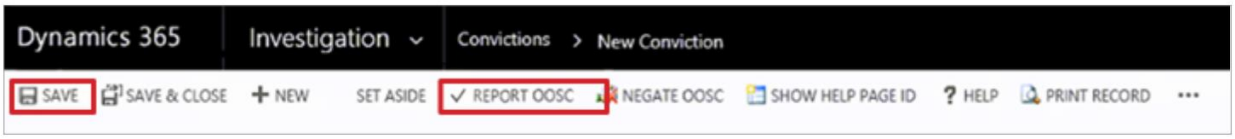


c. A box will pop-up for you to validate. Click OK

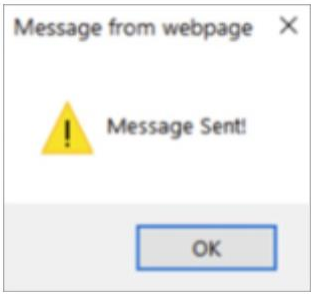


d. Arrest Details. Enter information:
i. Violation date and time
ii. Court type
iii. County code
iv. City code (Unless court type was District or Sheriff in the Trooper Info section.)
v. HAZMAT (check box if applicable.)

e. At the top left of the screen click SAVE. ***If OOS driver who is also either CDL holder, CMV or Hazmat indicated on conviction are affirmative, click REPORT OOSC.***

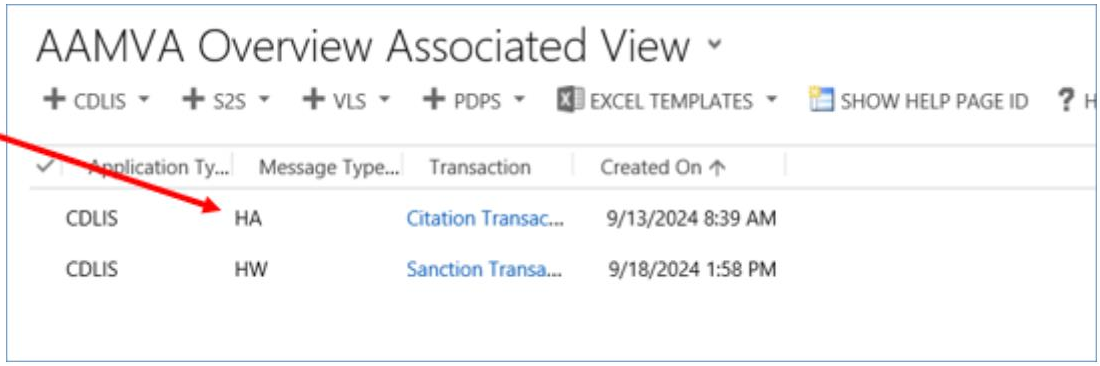


f. When the report is successful, message will display.



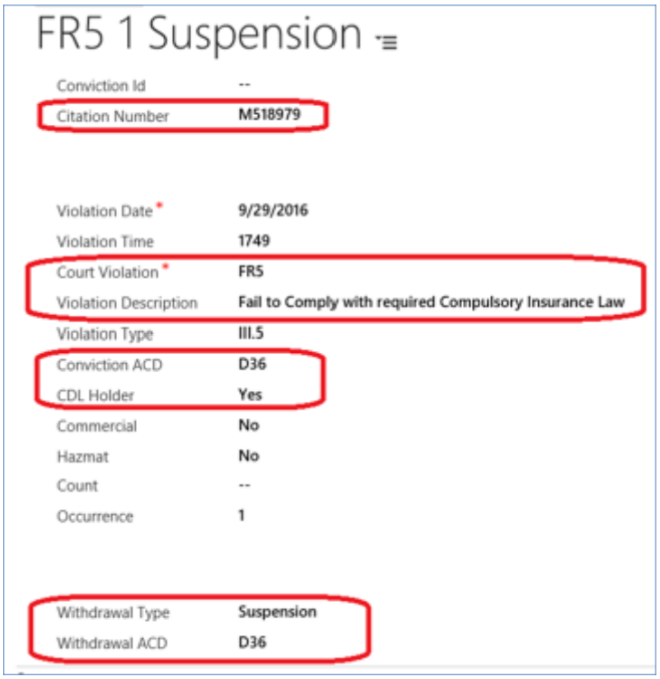
g. To verify the conviction has been received and added to the driver record, return to the AAMVA Actions page to verify a successful HA transaction has been sent and completed. Note: there can be latency before the conviction appears on the driver record up to 24 hours in some cases.

h. Double click the HA Message Type.

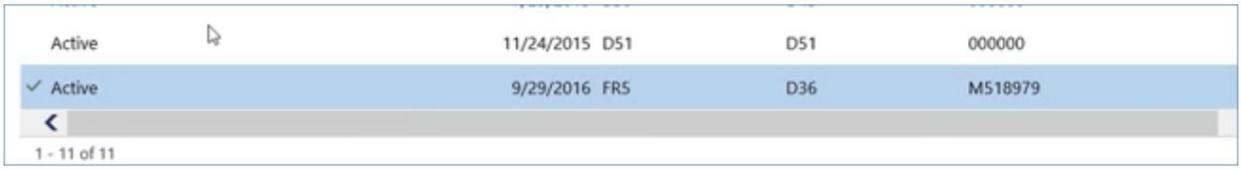


i. If you receive an error or if the conviction does not appear, proceed to the TROUBLE SHOOTING CONVICITON section

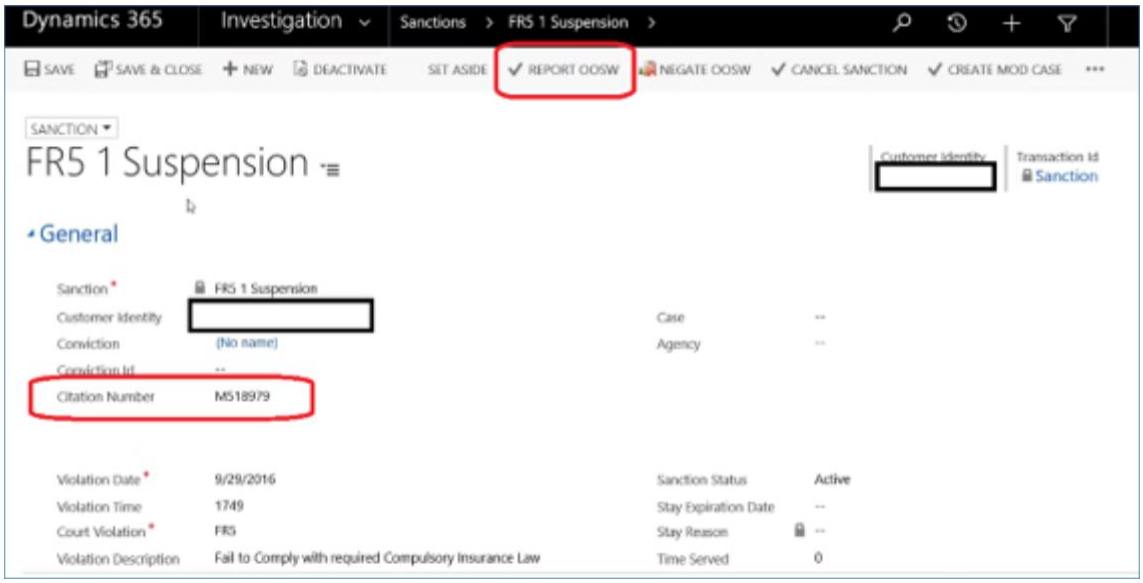
j. In some cases, a conviction will incur a suspension, for example, Driving Without Insurance which is a state code FR5 conviction (D36 ACD code). In the event of this, if *OOS driver is either CDL holder, CMV or Hazmat or all three as indicated on the conviction, Service* Oklahoma must Report the Out Of State Conviction (REPORT OOSC) *AND* subsequently Report the Out Of State Sanction using the REPORT OOSW function on the Sanction screen.



k. Once the Report Out Of State Conviction HA Message has been sent and completed:
    i. Go to the driver's sanctions page
    ii. Highlight the correct Sanction/Suspension and double click

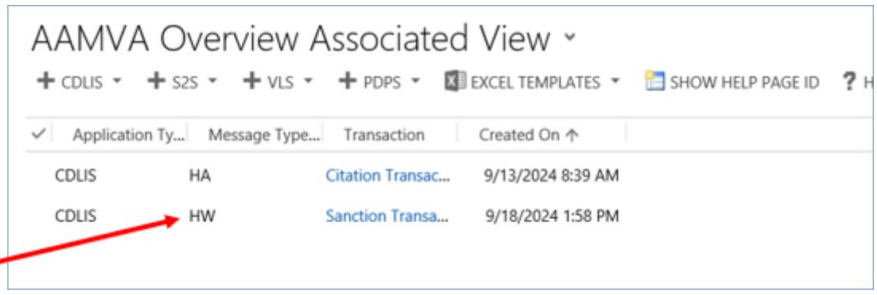


l. Double check to ensure the suspension is correct and click the REPORT OOSW button once. Note – there will be a delay before confirmation the message has been sent.

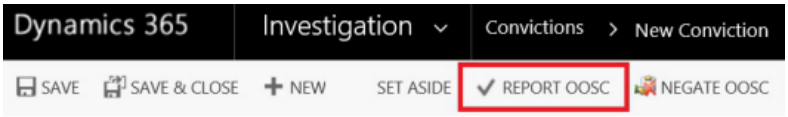


m. To verify the conviction has been withdrawn and the suspension added to the driver record, return to the AAMVA Actions page to verify a successful HW transaction has been sent and completed. ***Note: there can be latency before the conviction appears on the driver record up to 24 hours in some cases***.

n. Double click the HW Message Type

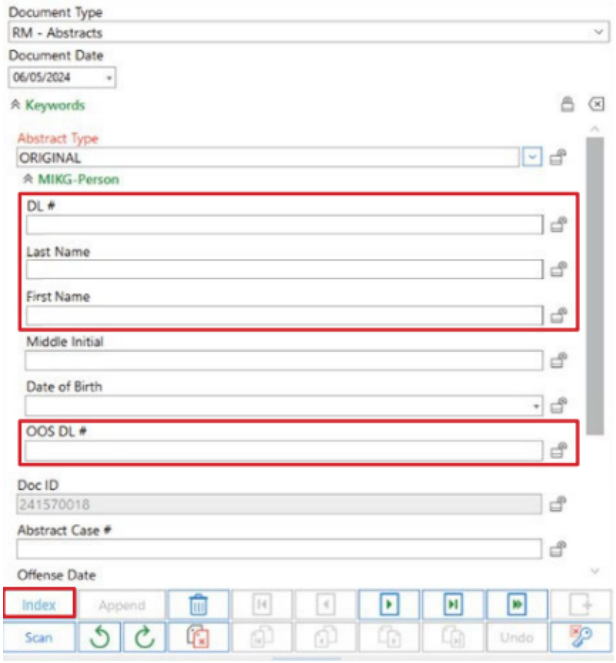


12. If the driver is CDL, CMV, HazMat certified and from out of state, the Business Support Specialist must report the conviction to the state of record by clicking 'Report OOSC.' The Business Support Specialist should immediately see a 'Message Sent!' pop-up.



13. If the driver is from out of state and the conviction requires immediate suspension, the Business Support Specialist must also report that suspension.
    a. To do this, go to the driver's sanction page (navigate from the drop-down next to their name at the top.
    b. Find 'All Sanctions for Driver' in the drop-down next to 'Sanction Associated View') and click on the matching sanction.
    c. Verify the information matches, then click 'Report OOSW'.

14. The Business Support Specialist switches back to OnBase and indexes the conviction by entering all available information in the batch indexing page and clicking 'Index.'



15. If the conviction requires immediate suspension or revocation, CPD prints the correspondence generated by D360, and mails it to the driver. If not, the process is complete.

Process #2: Processing Oklahoma Driver

If the driver is an Oklahoma driver and the conviction is from an Out of State Court / Jurisdiction / SDLA and the Oklahoma driver shows a credential under the identity panel of CDL or CLP OR the documentation indicates that CDL, CMV or Hazmat equals Y or 1, these must be returned to the submitting state to be filed electronically. Per FMCSA EEE requirements processors should call or email the SOR for instructions of how to return the document for CDLIS transmission. Processors should verify the Oklahoma driver has a valid CDLIS Pointer by completing a CDLIS IM. **If no pointer is found, the processors must add the pointer.** Instructions can be found by clicking that link or scrolling to the bottom of this document.

If the driver is an Oklahoma driver proceed to Search D360 for Driver.

Process #3: Processing OOS Driver

For every OOS (out of state) driver the agent will check for a CDLIS IM pointer.

- Even if OOS driver does not currently hold a CDL they may already have a pointer due to previous actions. Previous actions could be that they once held a CDL but downgraded, they applied for CLP but did not complete the process, or received a previous conviction in CMV, CDL, or hazmat.
- If the conviction was for an OOS (out of state) driver who was:
  - CDL (commercial driver license) holder or
  - Driving a CMV (commercial motor vehicle) or

- Carrying hazmat (hazardous material) or
- A combination of these options

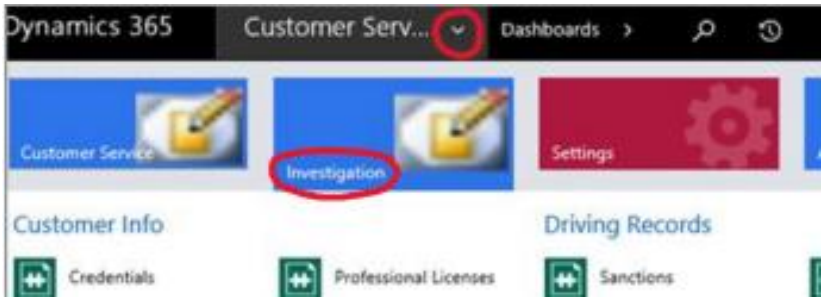
at the time of the citation resulting in a conviction then these drivers *must have a CDLIS pointer* before the conviction can be processed.

Proceed to the CDLIS ORIGINAL INQUIRY IM SEARCH.

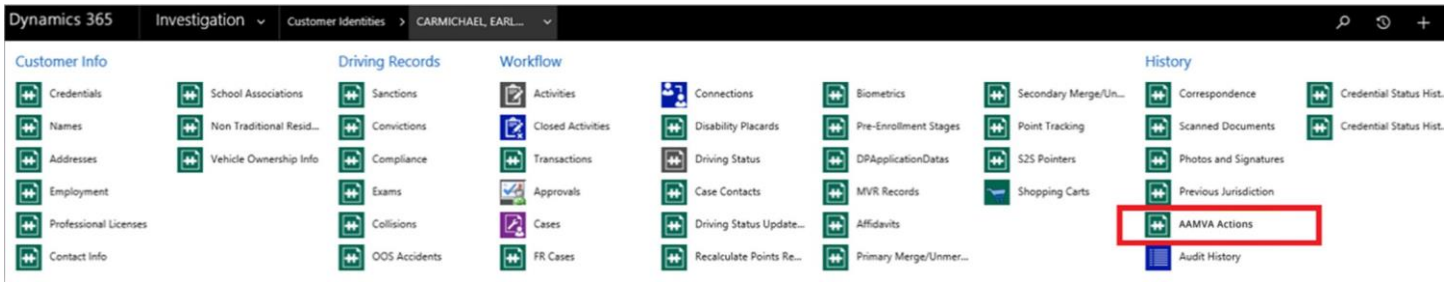
Process #4: PDPS Checks

1. If the driver is from out-of-state, the Business Support Specialist must run both a PDPS SB Search and a CDLIS IM Search to determine whether the driver has a commercial driver license registered in the interstate system. If not, skip to step 6.

a. To pull up the interstate search page in D360, click the down arrow next to Customer Service in the black bar at the top, then click 'Investigation'.

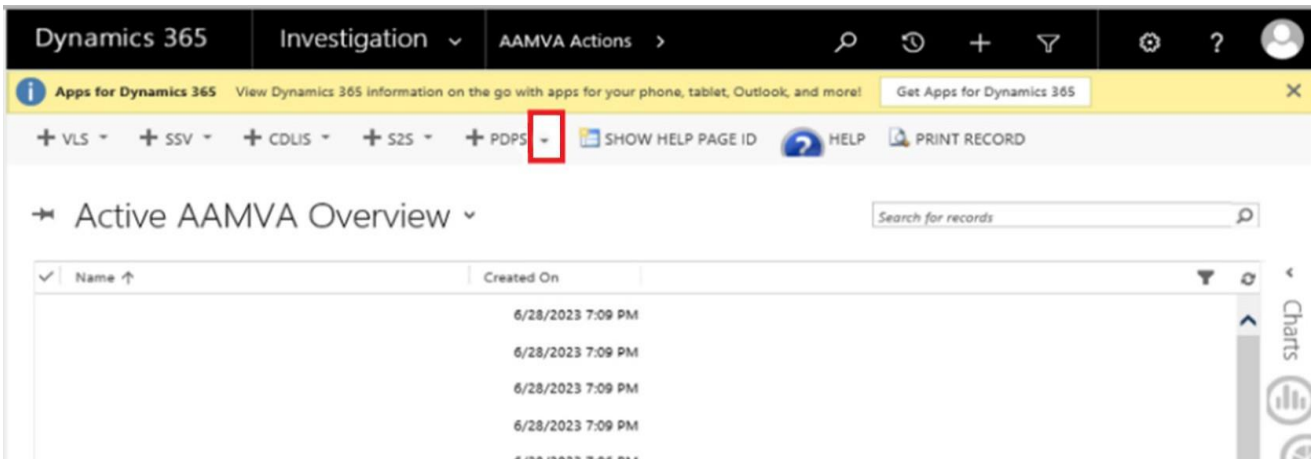


b. Then click 'AAMVA Actions'.

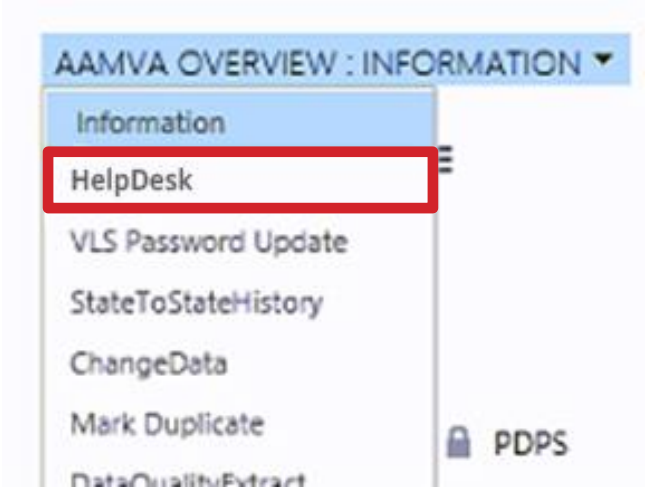


c. To run the PDPS SB Search, complete the following steps:

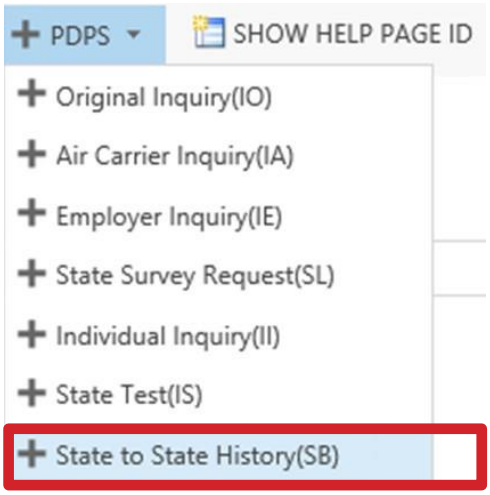
i. Click the down arrow next to PDPS.



NOTE: If the words above the PDPS SB do not show "AAMVA OVERVIEW : HELPDESK", correct this by using the drop down menu and choose HelpDesk.

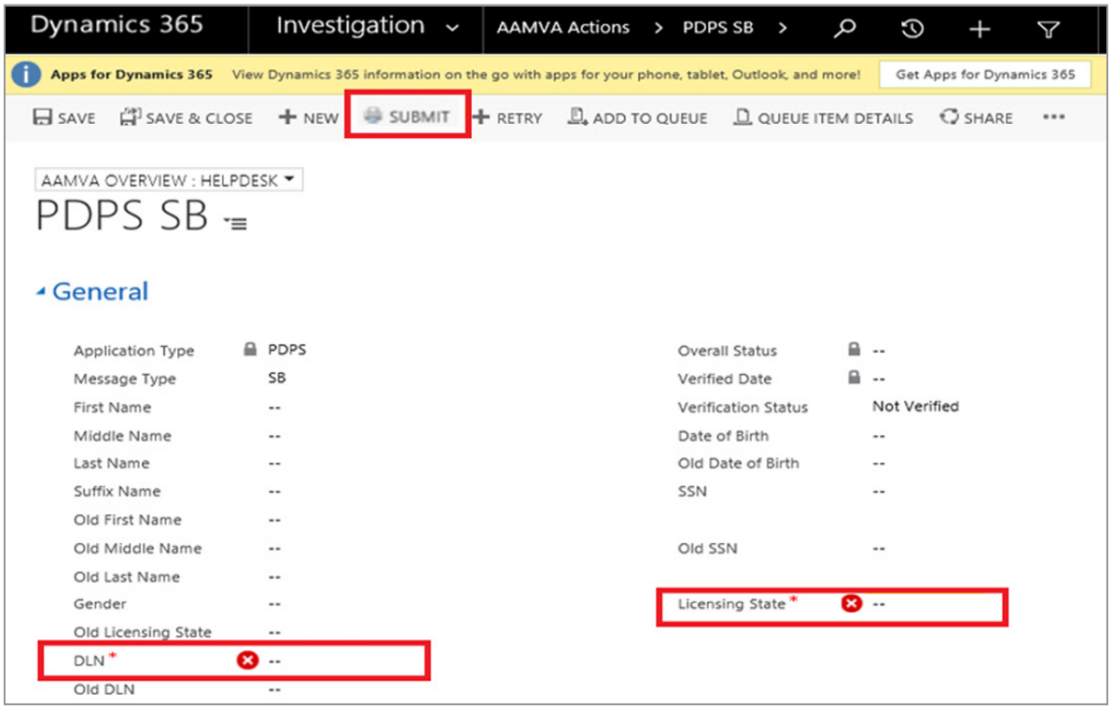


ii. Then click 'State to State History (SB)'.



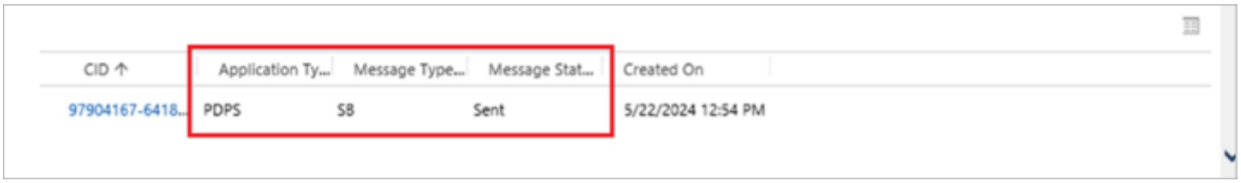
Add the Driver License Number (DLN) and Licensing State, then click

iii. 'Submit'.



(If no return, verify the DL# and State adding additional information if available and click +retry. If corrected SB search does not result in a match to an OOS driver, go to Search D360 for Driver using information from citation to create driver record.)

Message Status will confirm the sending of the message.



a. Double click the StateToStateHistory message. Leave window open with driver

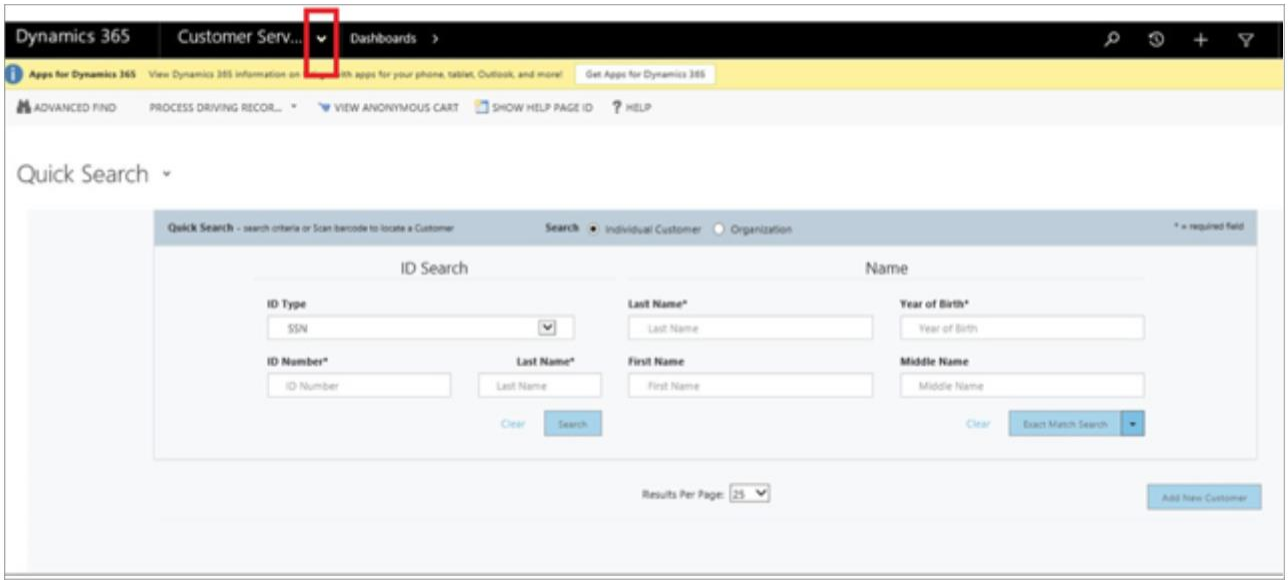
- information for update or building profile in D360. Note: Overall Status field may show error but if you receive a response, click anyway

EXAMPLE of PDPS response. Additional driver history can be viewed by using the scroll bar to the right.

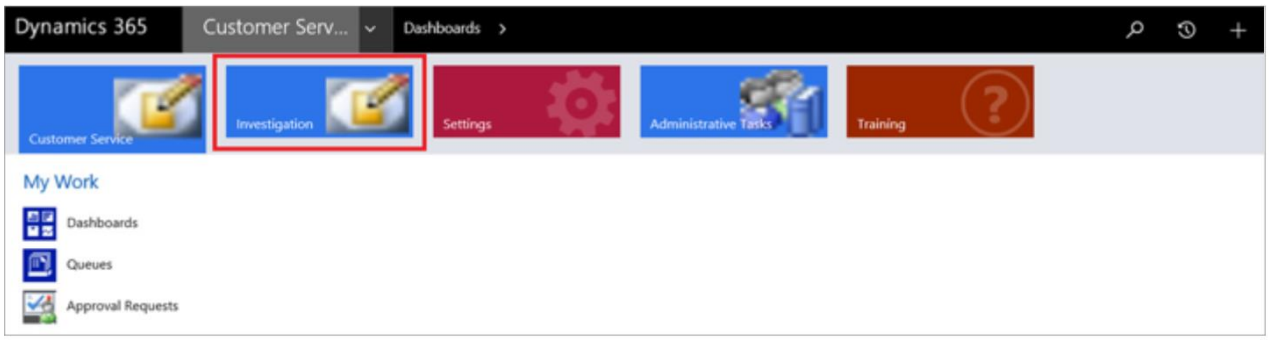
Proceed to SEARCH D360 FOR DRIVER

Process #5: CDLIS Original Inquiry IM Search

1. CDLIS Original Inquiry IM Search for the CDL indicator/pointer.
    a. Click the arrow beside Customer Service in the black bar.

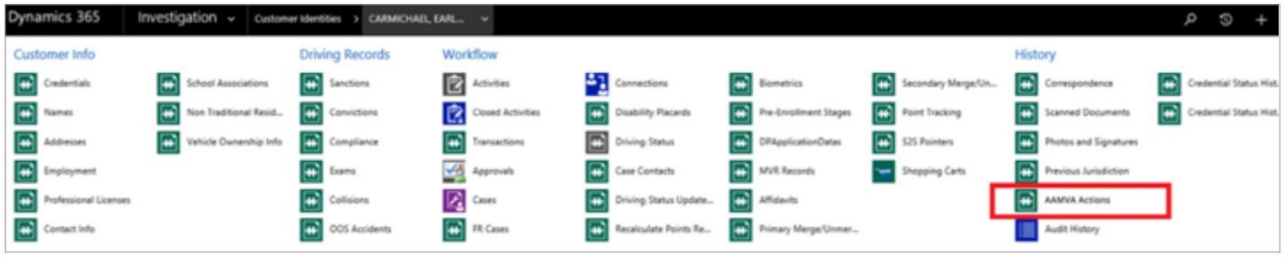


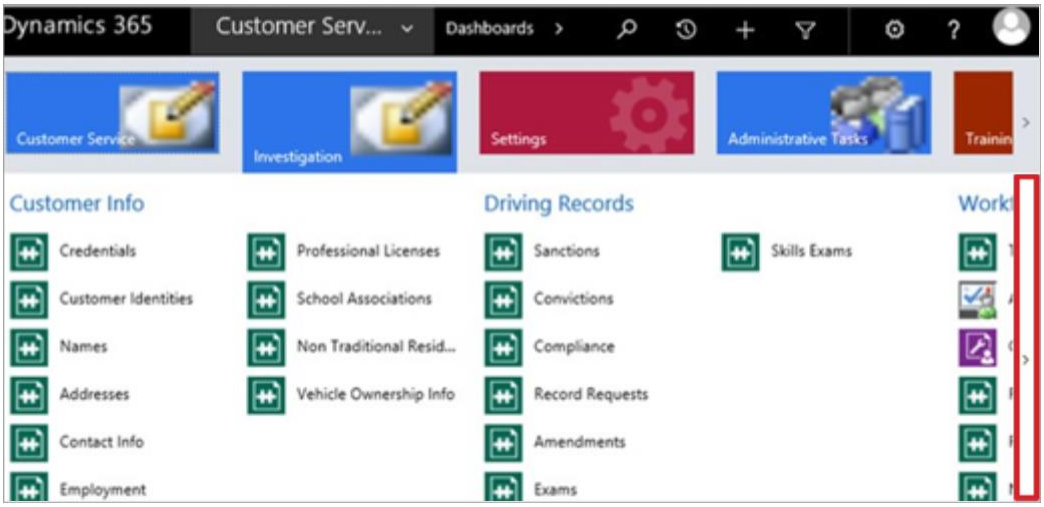
    b. Choose Investigation.



    c. Click AAMVA Actions under the heading History. It may be necessary to use the right

arrow to go to AAMVA Actions.

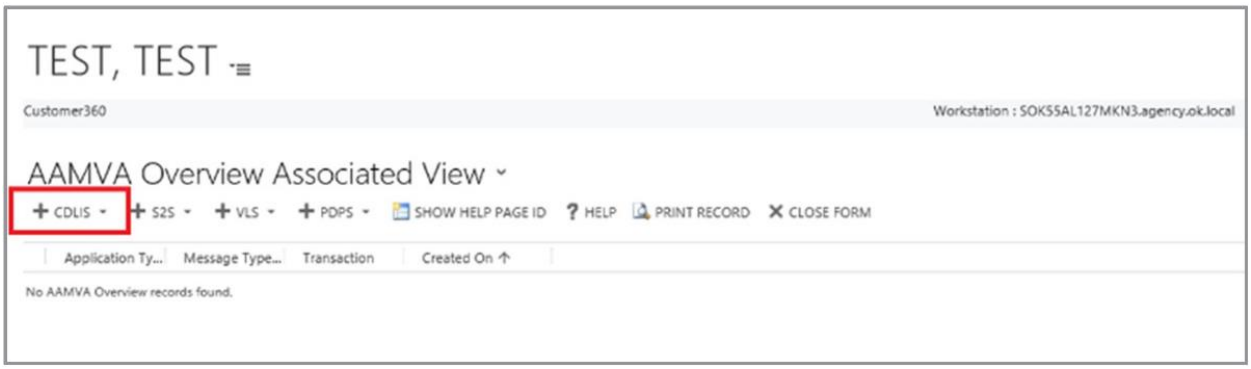




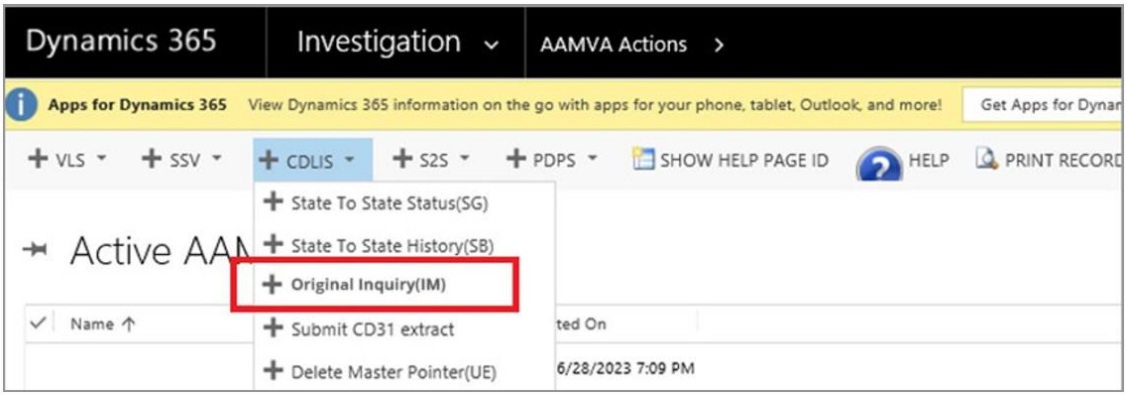
d. Click AAMVA Actions.

e. To run the CDLIS IM Search, complete the following steps:

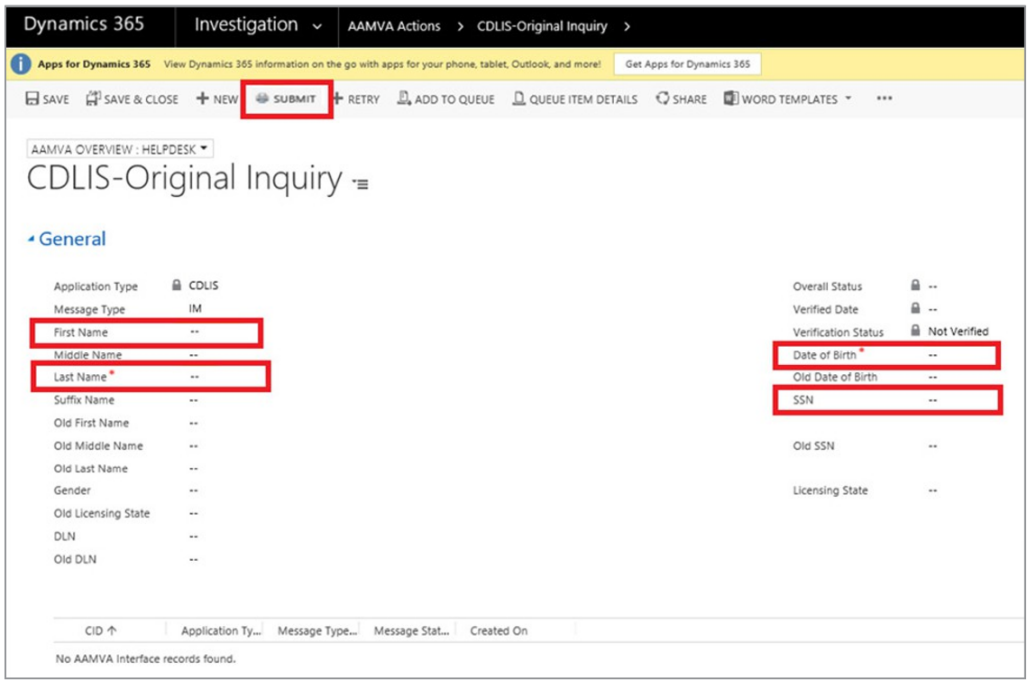
i. Click the down arrow next to CDLIS



ii. Then click 'Original Inquiry (IM)'.

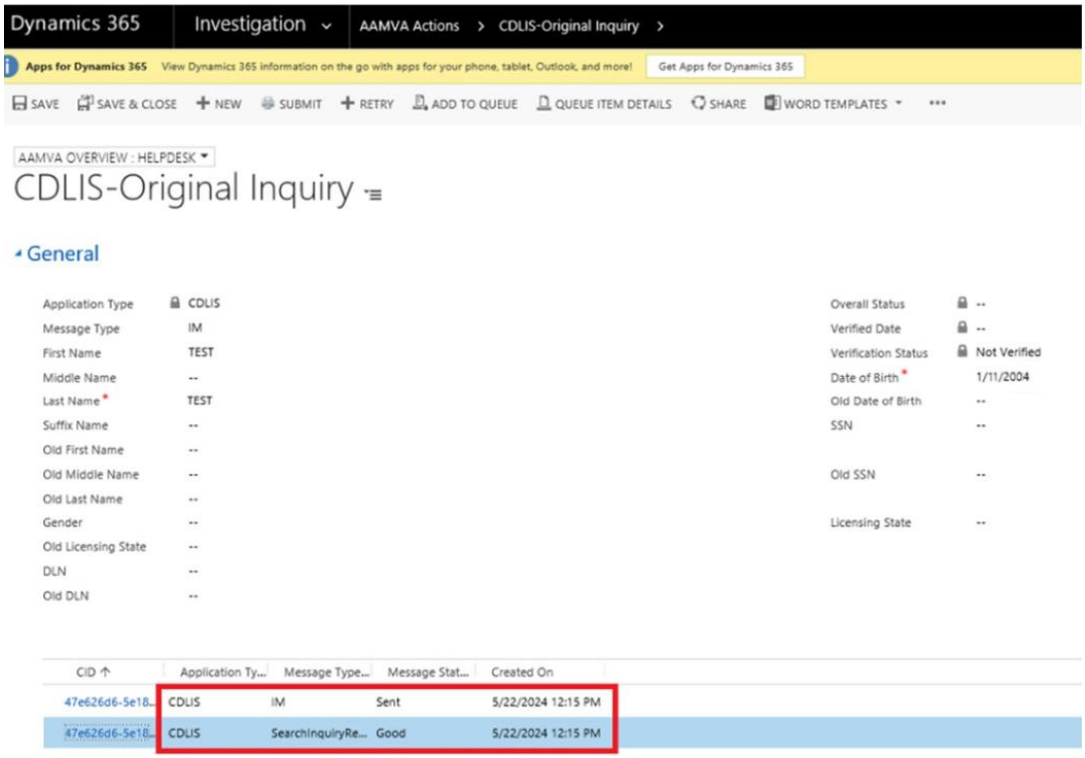


iii. Add the driver's name, date of birth, and social security number, then click 'Submit'.

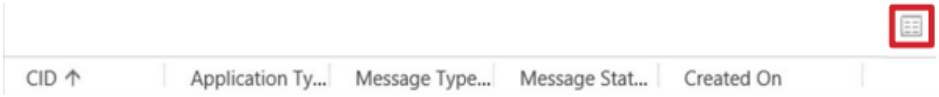


iv. In Message Type, there will be a Sent IM message and ***SearchinquiryResponse*** field. Double click the ***SearchInquiryResponse*** field.

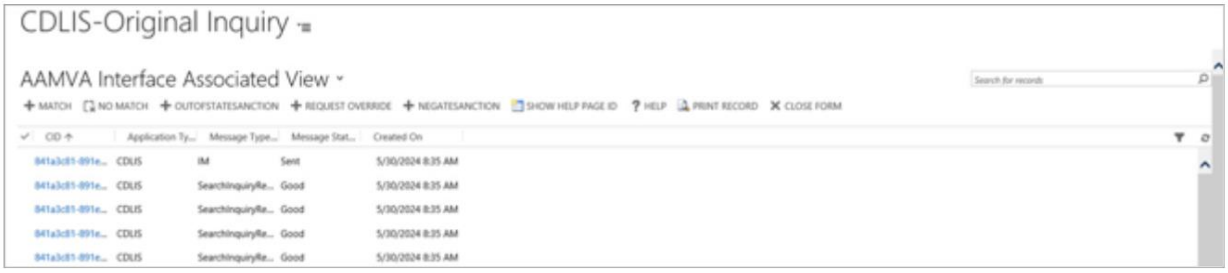
NOTE: Overall Status field may show error but if you receive a response, click ***SearchInquiryResponse*** anyway.



v. There may be multiple responses. Open each one by double clicking on the row. Review each one to verify all driver information matches with your driver's information. To view all responses on one page, click the box to the right.



Click each response to see if it matches your driver.



Sample of response for OOS driver:

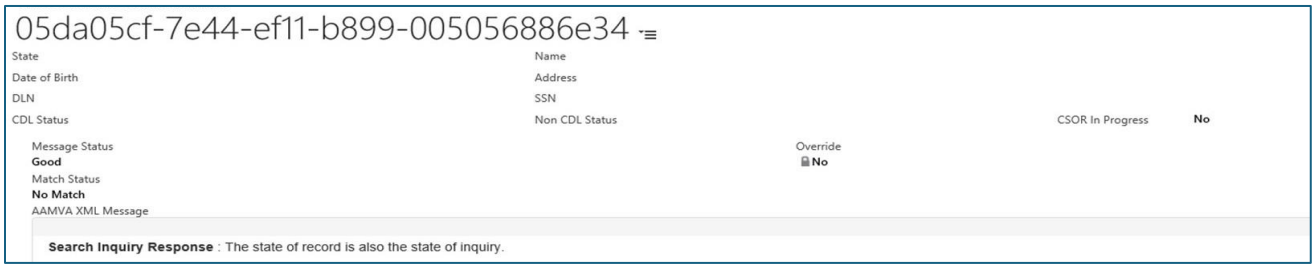
◊ If there is only one match, the driver has a CDLIS pointer in that state.

- The CDLIS pointer information that matches the driver should be from the same state as the driver license used for the ticket/conviction.
- Proceed to AAMVA PDPS STATE TO STATE HISTORY SB to obtain the Driver's address.

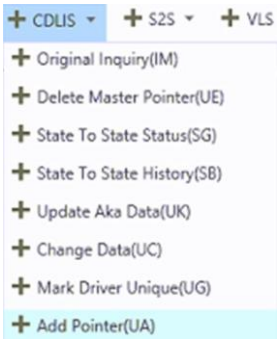
◊ If the pointer does not show up for the CDL, CMV or Hazmat driver report to your lead or supervisor. Lead will contact by phone or email the state of record and request that they add the CDLIS pointer. Once the pointer has been added, then the conviction information may be entered starting with CDLIS Original Inquiry IM Search.

◊ If multiple pointers match your driver, report to your lead or supervisor. Lead reports multiple pointers to the Driver License or CDL Helpdesk to research through OLETS to find the most recent state of issuance. The most recent state of issuance will be contacted by phone or email to report that they must pull the pointer(s) from the previous state(s). Once the driver has only one pointer then the conviction information may be entered starting with CDLIS Original Inquiry IM Search.

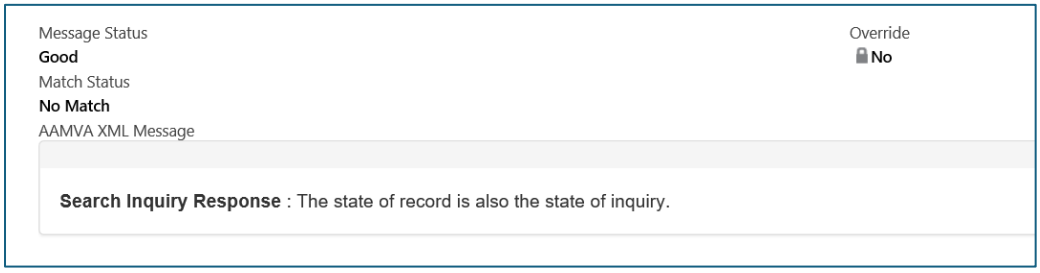
In the event it is determined that the agent is working on a conviction for an Oklahoma CDL, CMV or Hazmat driver who does not show an Oklahoma pointer response by receiving this message during the CDLIS IM check: of "The state of record is also the state of inquiry", an Oklahoma CDLIS Pointer will need to be added.



1. **To add a pointer, choose CDLIS dropdown and +Add Pointer(UA).**



a. Enter driver first name, middle name, last name and date of birth, driver license number, licensing state and social security number.
b. Click Submit.
c. Message type UA and AddNewdriverR… shows that pointer has been added
d. Sample of pointer response for Oklahoma driver:

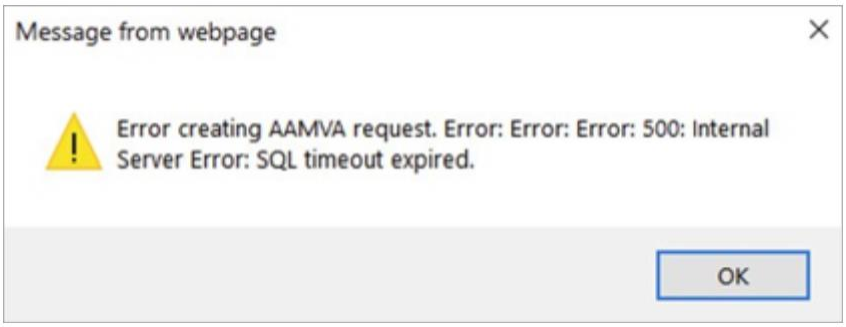


NOTE: If the driver is CDL certified and no pointers are returned, the Business Support Specialist notifies the team lead, who contacts the state of record to request a pointer be added.

NOTE: The convictions team is also responsible for amendments, move citations, and Title 22 removals. Amendments are edits to existing convictions, moves citations move a conviction from one driver's record to another, and Title 22 removals delete convictions entirely. In all three cases, the court mails or emails a request directly to the Business Support Services team. The team lead then makes the appropriate changes in D360 and notifies the state of record if the driver is from out of state.

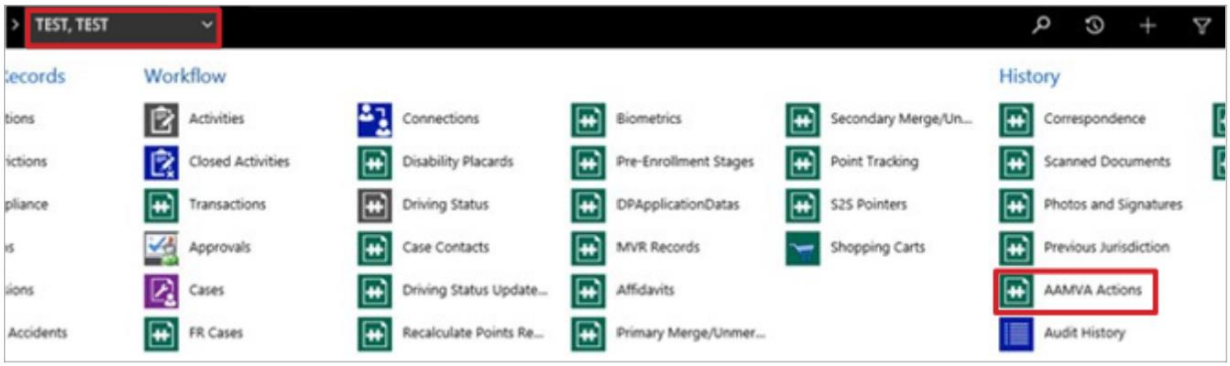
Process #6: Troubleshooting Convictions

1. If the REPORT OOSC does not complete you may or may not get the error message. There are two ways to trouble shoot this error.

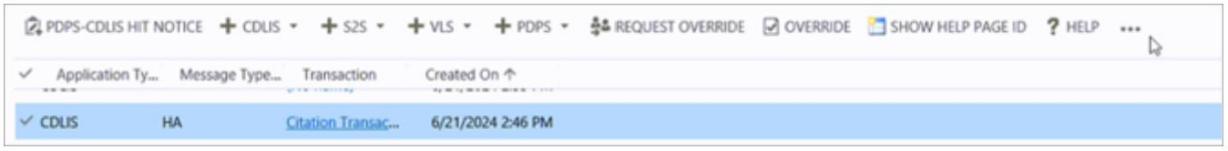


a. AAMVA CD90.4.1 Out of State Transaction Report
b. Check the AAMVA history in the customers record for the HA (Report Out-of-State Conviction) message transmission verification.
    i. Check the AAMVA history in the customers record for the HA message transmission verification.

ii. On the customer record go to drop down menu to the right of the customer's name. Select AAMVA Actions.

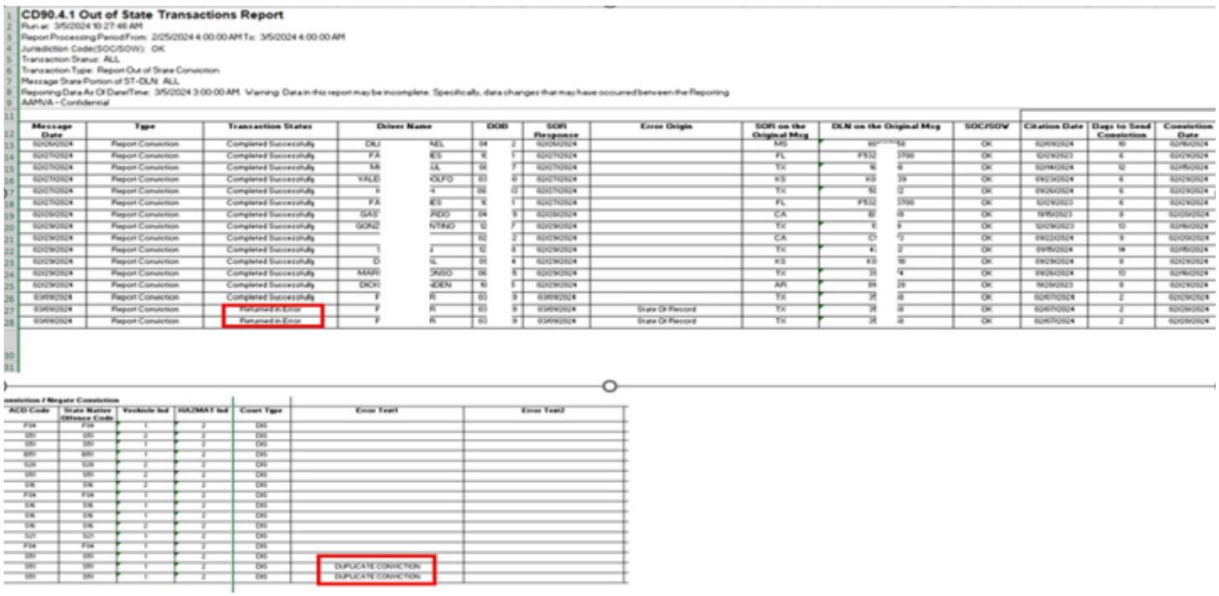


2. In the AAMVA history, the HA message will indicate that the Report OOSC was sent but you may need to click into the transaction to view the status of the response.



3. For example: The HA message sent but Overall Status is Error: Broken Pinter Detected. Other message may be "Court Type Missing" which will indicate the field of missing information in the conviction details.

4. If the HA message is not in the AAMVA history proceed to AAMVA CD90.4.1 Out of State Transaction Report


CD90.4.1 Out of State Transactions Report

AAMVA CD90.4.1 Out of State Transaction Report

1. AAMVA CD90.4.1 Out of State Transaction Report will show receiving and transmitting convictions and withdrawals. The report will also show any errors and reason for the error.
    a. Find the driver on the report
    b. The reason for an unsuccessful transmission will be shown.
    c. Go to the Conviction on the driver record.
    d. Correct the error.
    e. Select save.
    f. Select Report OOSC, again.

References

SOK Documentation

1. Ticket Sorting Manual01