Vetting Management Tool (VMT) User Manual

Version 1.0 | October 2022

U.S. Department of Transportation

Federal Motor Carrier Safety Administration

Purpose

In 2020, the Federal Motor Carrier Safety Administration (FMCSA) Office of Research and Registration, Office of Registration requested the development of a Vetting Management Tool (VMT) for the Customer Service and Vetting Division. The tool provides an automated vetting process to support the Vetting Team's day-to-day responsibilities and to increase the efficiency and effectiveness of the Vetting Program. Though the original objective of the Vetting Program was to investigate applications for passenger carrier operating authority registration for indicia of reincarnation, today the Vetting Program has been expanded to include investigation of all new applications for operating authority registration, including applications for broker and freight forwarder authority, and many applications for reinstatement of operating authority registration to determine the applicant's willingness and ability to comply with all registration requirements.

This document highlights essential features of the Vetting Management Tool and provides instructions for completing key actions within the tool as of October 2022.

Tips to Navigate, Search, and Print this Manual

Navigate

Use the Table of Contents, List of Figures, and List of Tables below to easily access the information in this document. Hold down the **control key (Ctrl)** and click **the section you want to view**.

Search

Hold down the **control key (Ctrl)** and hit the **"F" key** to open the search box. Search the document by entering keywords into the search box. Applicable search results will appear as highlighted text in the document.

Print

To print a specific section of the document, navigate to the beginning of the section and note the page number. Also note the last page of the section you want to print. When you are ready, select **File** from the top menu bar and click **Print** in the dropdown menu. Under Settings, click **Pages to Print** and select **Custom Print**. Enter the range of pages you want to print in the Pages box and click **Print** at the top of the page.

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1 Introduction

1.1 What is the Vetting Management Tool?

The Vetting Management Tool (VMT) is an online tool that tracks the lifecycle of a motor carrier registration application from the time the application is identified for vetting to the time it is closed. The VMT captures all actions, documents, decisions, and notices generated throughout the investigation and provides more efficient information sharing and investigation collaboration throughout the vetting process.

1.2 VMT User Roles

There are five available user roles within the VMT: Tier 1 – Screening, Tier 2 – Investigation, Tier 3 – Management, Proofreader, and Legal. Note that the information you see and actions you can take in the VMT are based on your assigned user role(s).

Tier 1 – Screening

Users in this role, known as Tier 1 Vetters, complete the initial assessment (screening) of an application identified as high risk by the Utility for Risk-Based Screening and Assessment (URSA). This screening includes a review of an application for completeness and correctness as well as a review of Agency systems/public information showing evidence of whether the applicant has a negative safety history or not. If further investigation is needed, the application is reassigned to a Tier 2 Vetter.

Tier 2 – Vetting

Users in this role, known as Tier 2 Vetters, conduct an in-depth review of screened applications sent for further investigation and are experts in researching high-risk behavior. Tier 2 Vetters may serve as backups for Tier 1 Vetters, if needed.

Tier 3 – Management

This role is assigned to the Team Lead (TL), Deputy Division Chief (DDC), Division Chief (DC), and Director.

- Team Lead: Reviews rejection cases and sends cases for further management review and signature. The TL may serve as backup for Tier 1 and Tier 2 Vetters and the DDC.
- Deputy Division Chief: Reviews rejection cases, sends cases for further management review and signature, and signs rejection orders. The DDC may serve as backup for Tier 1 and Tier 2 Vetters, the Team Lead, and the Division Chief.
- Division Chief: Reviews rejection cases, sends cases for further review (if needed), and signs rejection orders.
- Director: Can complete all the same actions as the Division Chief.

Proofreader

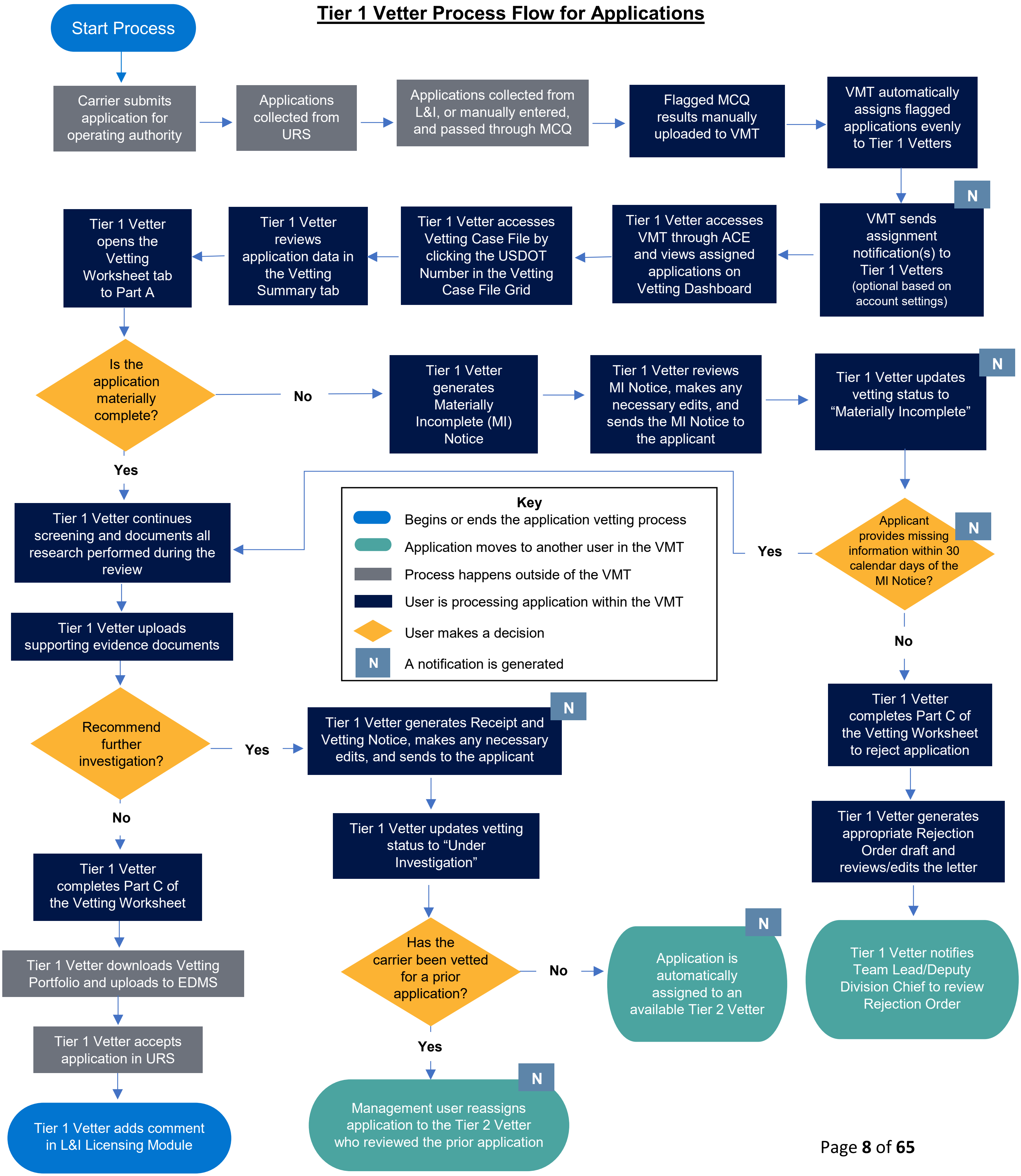
This role is assigned to members of the Vetting Team responsible for proofreading Rejection Order drafts. The proofreader reviews/edits any free text sections and ensures the format is correct before the final draft of the document is signed and sent to the applicant.

Legal

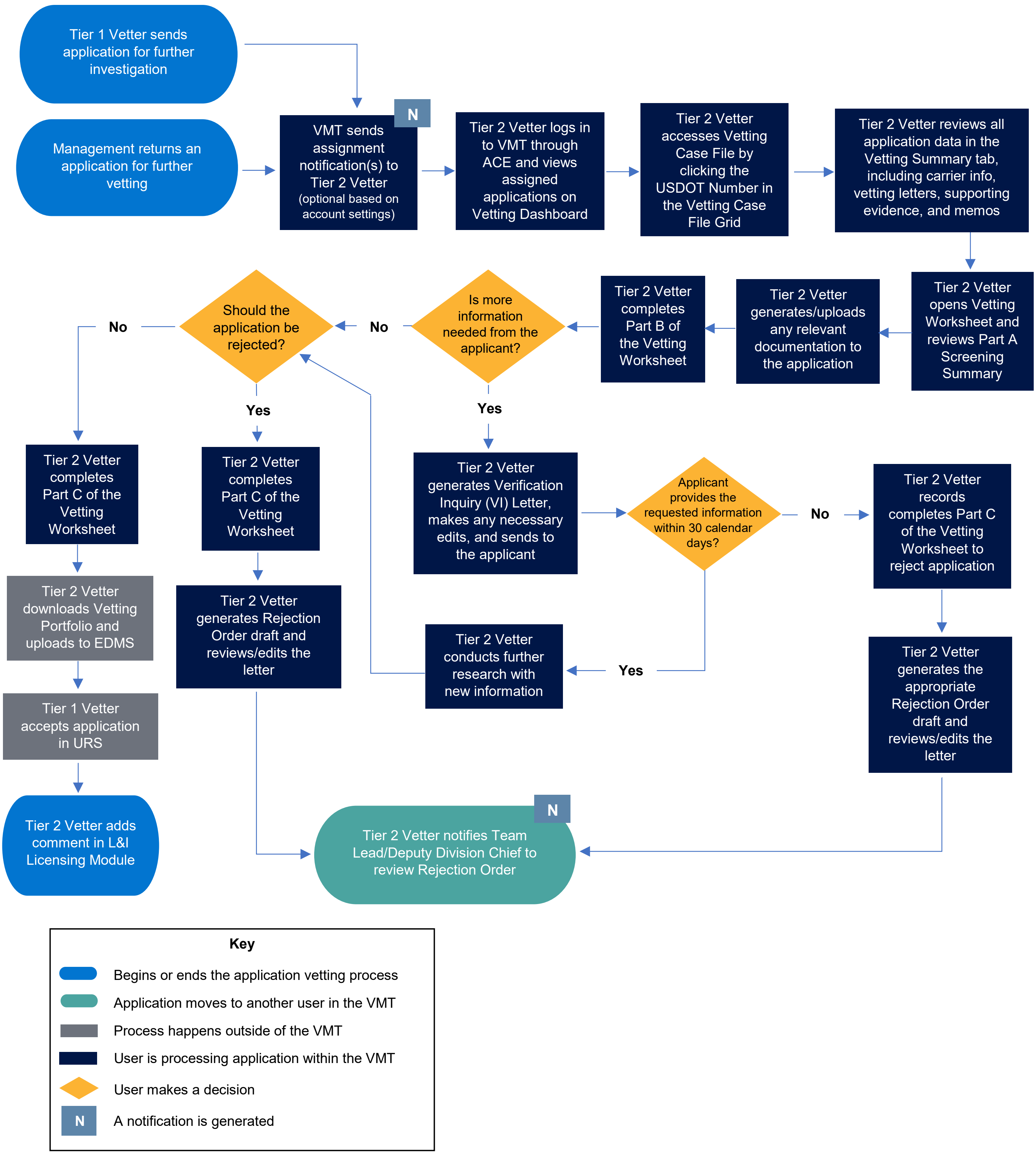
This role is assigned to legal counsel working with the Vetting Team to review cases. All safety fitness and reincarnation cases require legal review.

1.3 VMT Process Flow

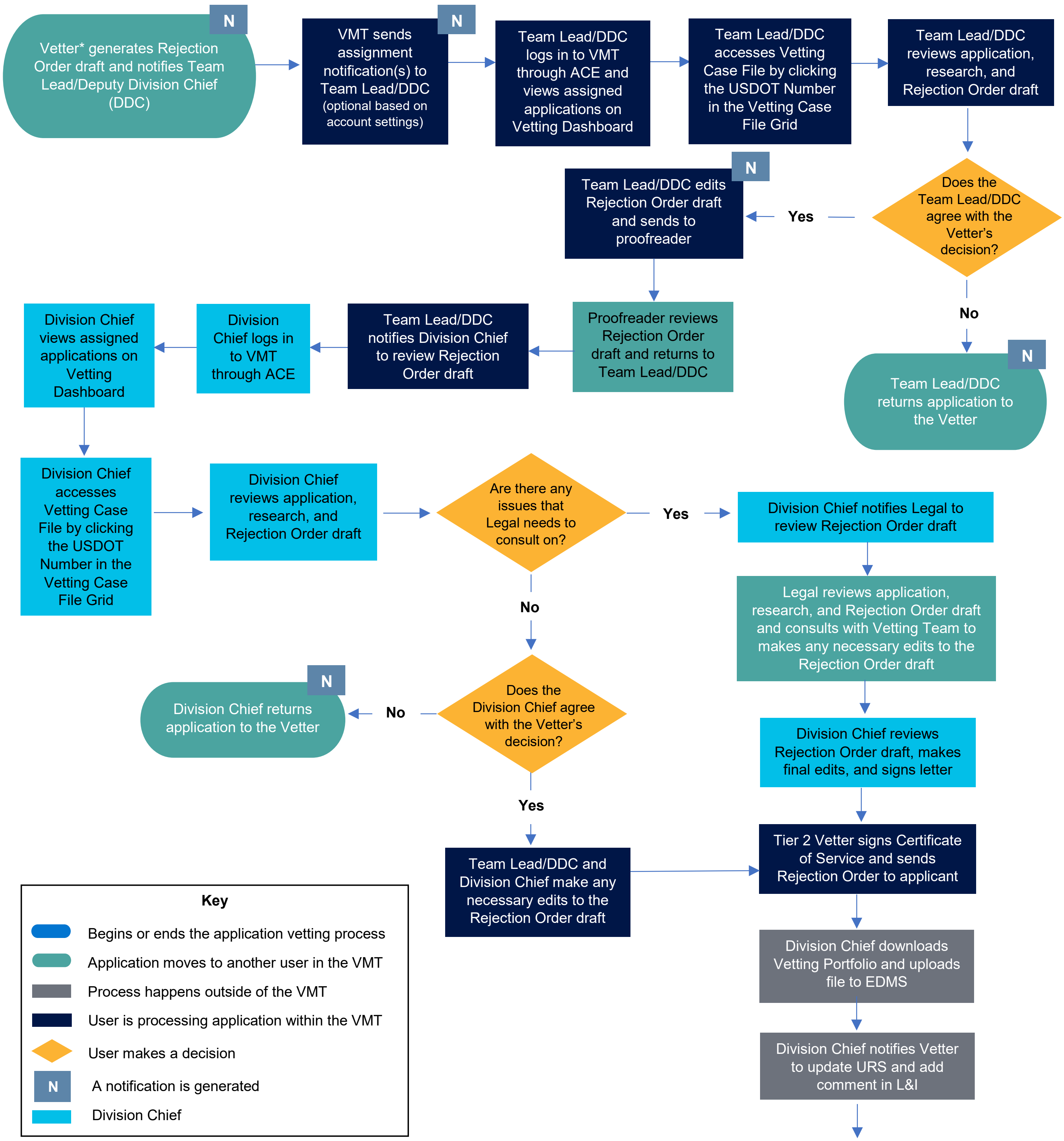
The flowcharts below provide an overview of user-specific processes within the VMT. View the <u>Glossary and Acronyms</u> section of this document for more information about terms/acronyms.



Tier 2 Vetter Process Flow for Applications



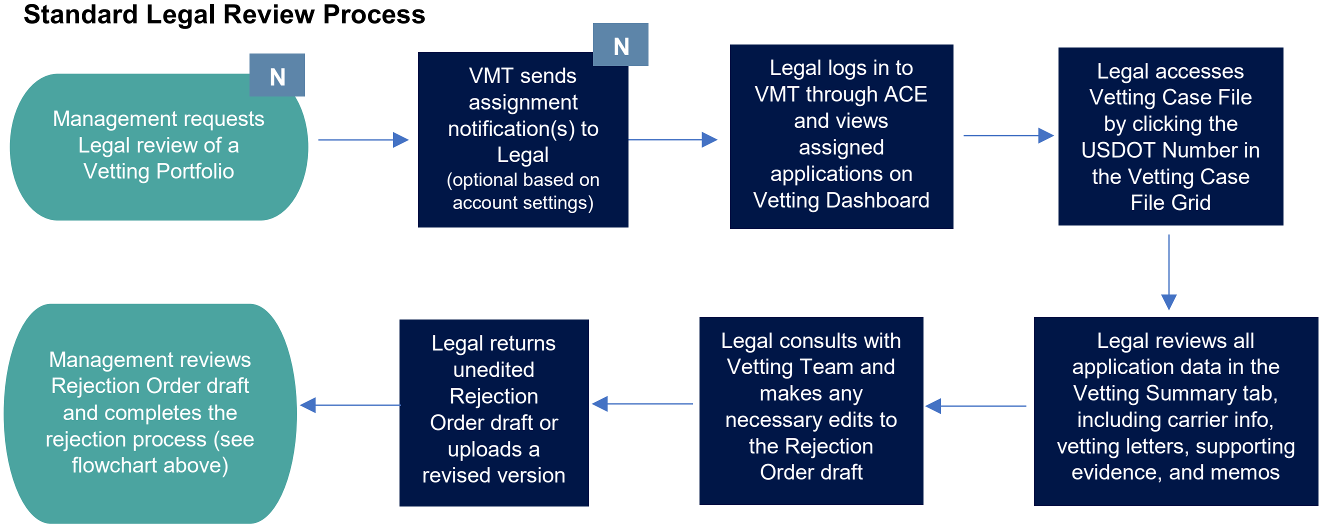
Management Process Flow for Applications



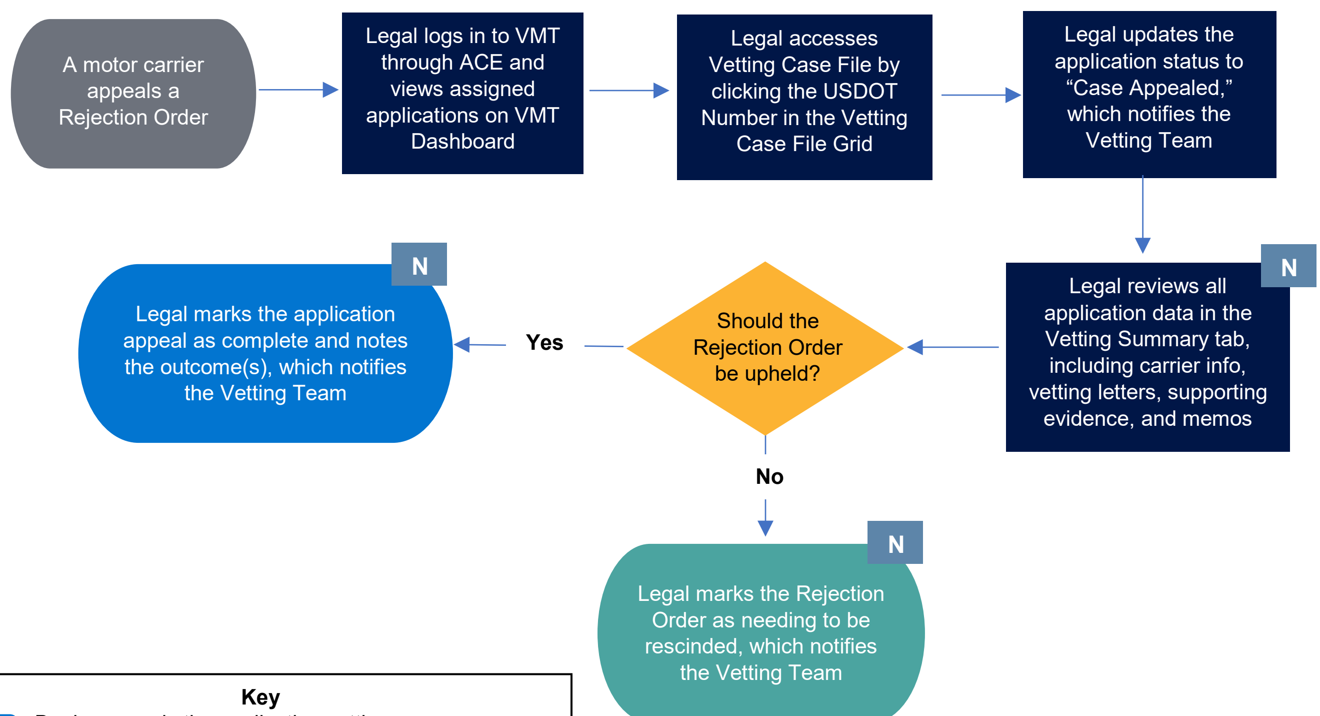
*A Tier 1 Vetter can generate a Rejection Order draft for an application that is found to be Materially Incomplete or has an inactive USDOT Number during the screening process. All other types of Rejection Orders are generated by a Tier 2 Vetter after an investigative review is conducted.

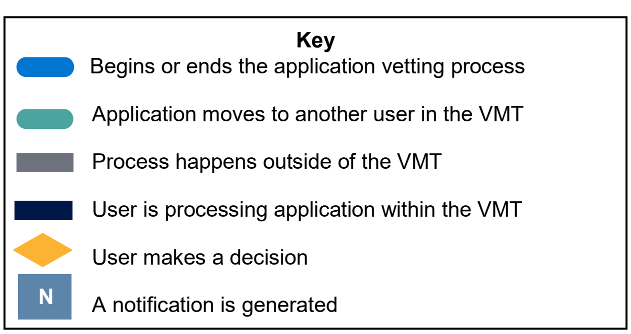
Legal Team Process Flow for Applications

Standard Legal Review Process



Appealed Rejection Legal Review Process





2 Getting Started

2.1 Accessing the VMT

The Vetting Management Tool is located on the Compliance, Safety, Accountability (CSA) website. Authorized users can complete the following steps to access their VMT account through the Activity Center for Enforcement (ACE) module.

Step 1: Visit https://csa.fmcsa.dot.gov/Tools/.

Step 2: Enter your FMCSA Portal user ID and password and click **LOGIN** (Figure 1). You will be redirected to your ACE Dashboard.

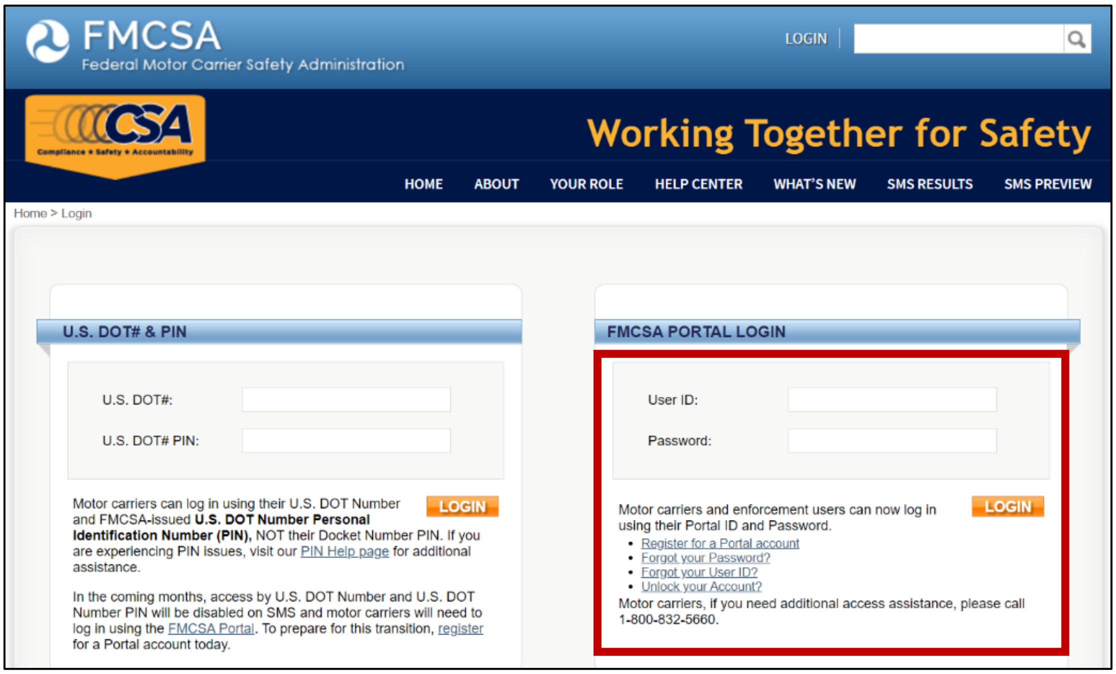


Figure 1: CSA – Log In Using FMCSA Portal Credentials

Step 3: Navigate to the Vetting Management Tool module (Figure 2). Click **Vetting Management Tool** to access your Vetting Dashboard.

Figure 2: Vetting Management Tool Module on the ACE Dashboard

2.2 Table Icons

The Vetting Management Tool contains interactive tables that display information related to vetting letters, supporting evidence, and memos. Each table contains a combination of the following action icons.

Table 1: Action Icons in VMT Tables

ICON	ACTION	DESCRIPTION
	Check In	Click this icon to check in (unlock) an unedited vetting letter.
	Check Out	Click this icon to check out (lock) a vetting letter.
	Edit	Click this icon to edit the selected memo.
	Delete	Click this icon to delete the selected information.
	Download	Click this icon to download a supporting evidence file.
	Sign	Click this icon to add a digital signature to a vetting letter.
	Sign	Click this icon to add a digital signature to a Certificate of Service.
	Upload	Click this icon to upload a revised version of a vetting letter.
	View	Click this icon to download and view a vetting letter.

2.3 Resources

2.3.1 Access Helpful Resources

The Helpful Resources tab contains downloadable training materials and helpful web links. This tab is always displayed within a Vetting Case File. Click **Helpful Resources** to view the list of available items. Click the button again to hide the menu (Figure 3).

Figure 3: Access Helpful Resources

Training Materials

Check the box next to a file and click **Download Selected Documents**. You also can select **Download All Documents** to download a zip file of all training materials at once.

Helpful Links

Click a link to open it in a new browser tab. Note that you may be required to enter your FMCSA user ID and password.

2.3.2 Vetting Management Resources Center

Helpful VMT resources can also be accessed in the Vetting Management Resources Center. To access this web page, click **Resources** in the top menu bar and select **Vetting Management Tool** from the dropdown menu (Figure 4).

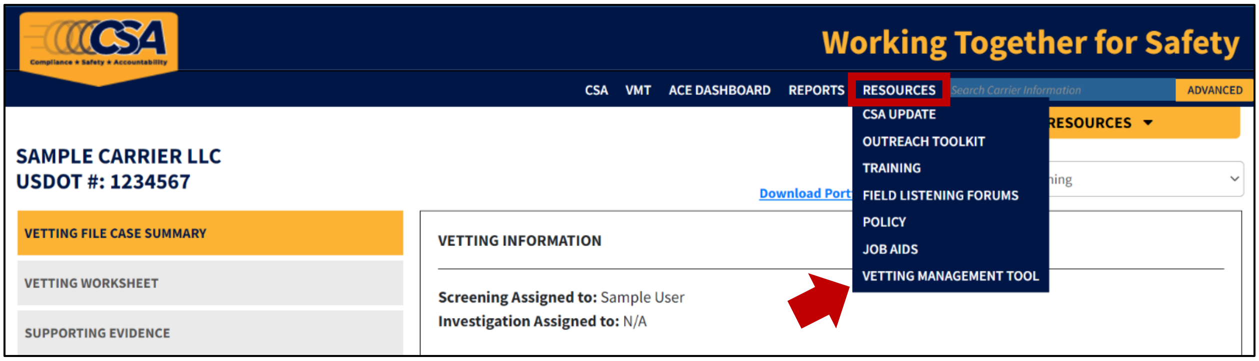


Figure 4: Access Vetting Management Resource Center

This will redirect you to a list of all available helpful links and training materials (Figure 5).

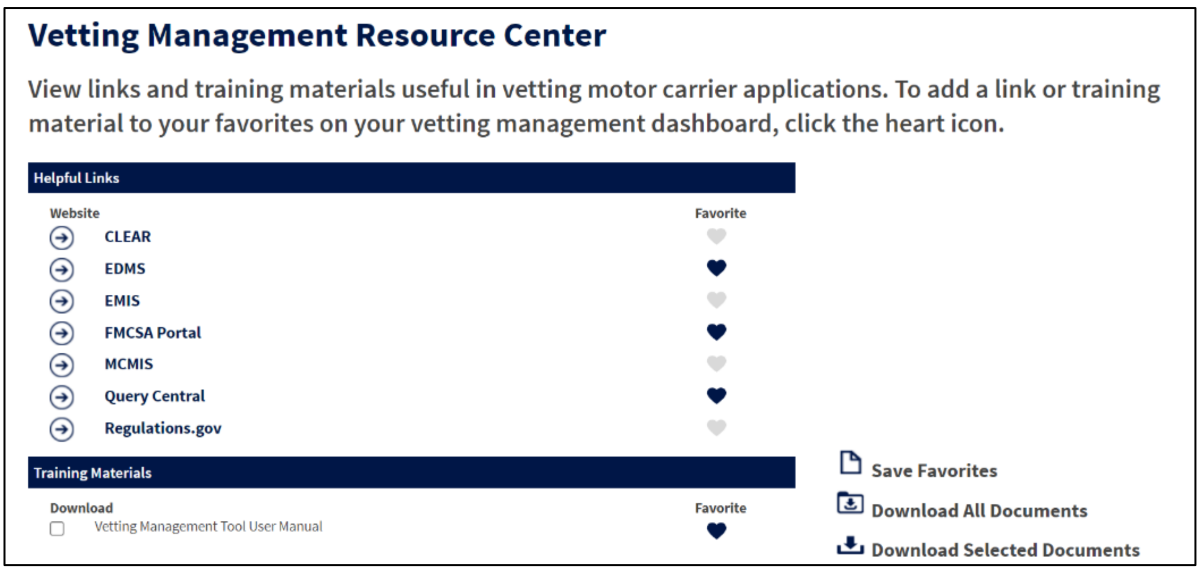


Figure 5: Customize Displayed Resources

3 ACE Dashboard

You can access the Vetting Management Tool and related VMT content directly from your ACE Dashboard (Figure 6).

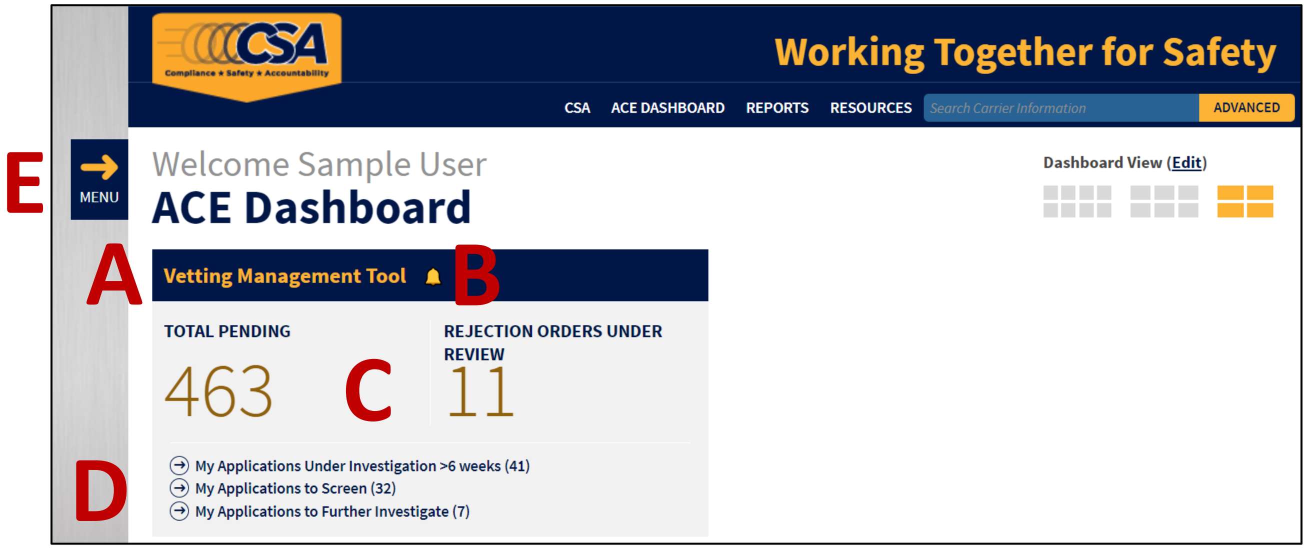


Figure 6: ACE Dashboard Highlighting How to Access VMT Content

A. Vetting Management Tool
Click **Vetting Management Tool** to access your Vetting Dashboard. View the Vetting Dashboard section of this document for more information.

B. Notifications
Click the **bell icon** to access a list of your VMT notifications (optional based on a user's notifications settings). View the Notifications section of this document for more information.

C. Interactive Boxes
Click **Total Pending** to view all applications assigned to Tier 1 and Tier 2 Vetters. Click **Rejection Orders Under Review** to view all applications recommended for rejection that are under review by proofreaders, Legal, the Team Lead, the Deputy Division Chief, and/or the Division Chief.

D. Quick Links
Click the links at the bottom of the Vetting Management Tool section to quickly access vetting case files in a specific status. You will be redirected to your Vetting Dashboard and your Vetting Case File Grid will display only files in the selected status.

E. Menu
Click **Menu** to display a list of additional features accessible from your ACE Dashboard. From the displayed menu, click **Vetting Management Tool** to access your Vetting Dashboard. Click **View All Notifications** to view your notifications or click **Set Preferences** to update your notifications settings.

4 Vetting Dashboard

4.1 Vetting Application Quick Links

The blue boxes at the top of your Vetting Dashboard display application statistics and are quick links to access applications in various stages of the vetting process (Figure 7). Click a **quick link box** to access a list of applications in that specific status. Your Vetting Case File Grid will automatically update to reflect your selection. The number of displayed applications in the grid will match the number listed in the selected quick link box.

Figure 7: Quick Link Boxes

4.1.1 "My" Quick Links

A box with "My" in the name (e.g., My Applications to Screen) refers to only your assigned applications in that status.

4.1.2 Other Quick Links

The remaining boxes contain various application statuses for all applications within the VMT.

4.1.3 Expand Quick Links View

By default, only one row of boxes is initially displayed on your profile and boxes with "0" applications are hidden until there is an application in that status. Click **Show All** to view all currently available quick link options for your account. Click **Show Less** to close the expanded view. Below is the complete list of options:

- Appealed
- In Progress
- Materially Incomplete Applications
- My Applications to Further Investigate
- My Applications to Screen
- My Applications Under Investigation >6 Weeks
- My Applications Under Review
- My Pending
- My Rejections Appealed
- Rejection Orders Final Edit/Proofreading
- Under Investigation >6 Weeks
- Under Legal Review
- Under Review by TL/DDC
- Under Review by DC

4.2 Vetting Case File Grid

The Vetting Case File Grid provides a list of all vetting cases in the VMT. Carrier information and application information come from Licensing and Insurance (L&I), the Motor Carrier Management Information System (MCMIS), and the Unified Registration System (URS). View the Customize Your Grid section of this document to modify how your assigned application data is displayed in the grid.

4.2.1 Overview

Use the Vetting Case File Grid to filter and search for specific applications (Figure 8). The grid provides access to the Vetting Case File for each application. Click the **full screen icon** [ ] to increase and decrease the size of your grid view.

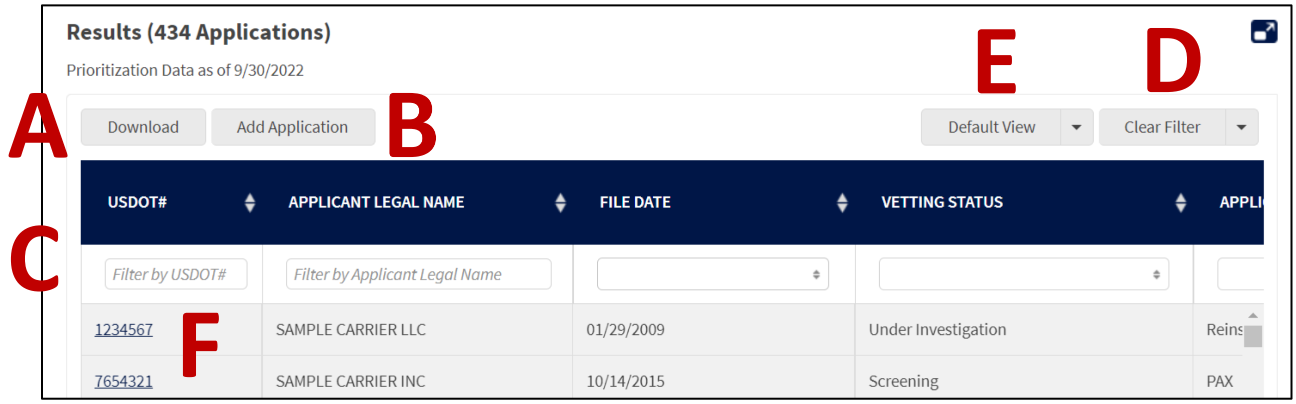


Figure 8: Vetting Case File Grid

A. Download
Click **Download** to download an Excel spreadsheet summary of all application data contained in the Vetting Case File Grid. Note that this process will always download the complete set of data in a consistent file format, even if your grid view is currently filtered.

B. Add Application
Click **Add Application** to manually upload an application to the grid. View the Add Application section of this document for more information.

C. Filters
Use the filter boxes under the column titles to refine your search using specific criteria. View the Filters section of this document for more information.

D. Clear Filter
Click **Clear Filter** to refresh the grid and display your customized default view. If you have not customized the columns in your grid view, this will display the tool default view. Hover over the arrow to display options for customizing your default filters. View the Customize Your Grid section of this document for more information.

E. Default View
Click **Default View** to temporarily clear all filters. If you have not selected any filters, this will refresh the grid and display the tool default view. Hover over the arrow to display options for customizing your default grid view. View the Customize Your Grid section of this document for more information.

F. Access a Vetting Case File
Click a **USDOT Number** to access the Vetting Case File for the application. This will open a new browser tab displaying the Vetting Summary page for the selected application's Vetting Case File. View the Vetting Case File Overview section of this document for more information.

4.2.2 Add Application

Click **Add Application**. This will display a pop-up window (Figure 9). Enter the USDOT Number for the application you want to add and click **Search** or press the Enter key.

Note that you must enter a valid USDOT Number to create a new application.

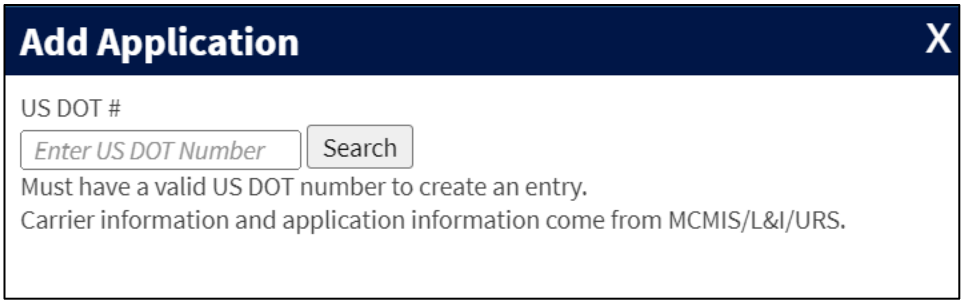


Figure 9: Add a New Application – Enter Carrier's USDOT Number

Assign a New Application

Before assigning a new application, review the displayed motor carrier and application information (Figure 10).

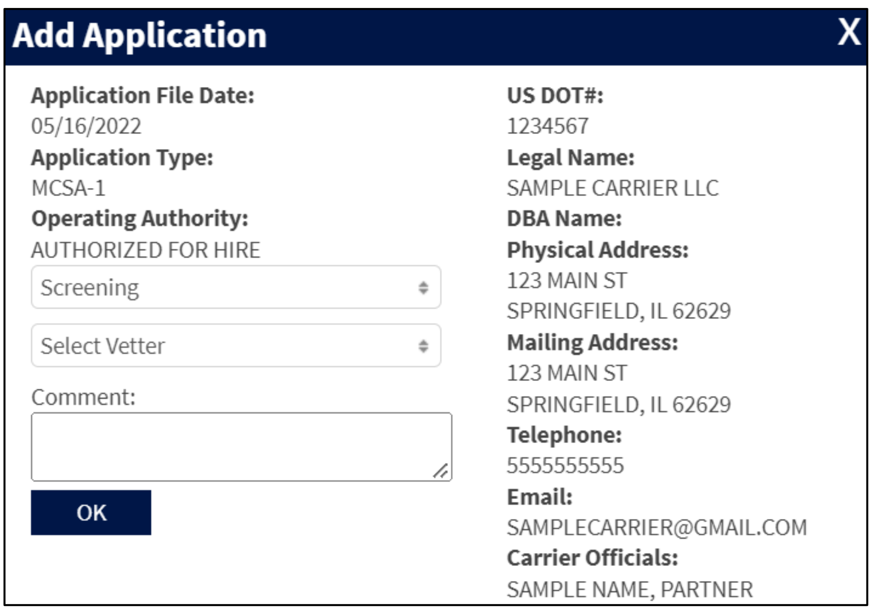


Figure 10: Add a New Application – Assign Application

By default, new applications are assigned to "Screening". If applicable, click **Screening** and select **Under Investigation** instead from the dropdown menu. Click **Select Vetter** and choose a name from the list to assign the new application.

Add a comment in the text field (optional). This comment will be added to the Memos and Activities table located in the Memos tab of the Vetting Case File. View the Memos section of this document for more information. Click **OK** to finish assigning the application. Click the "**X**" icon to exit without assigning the application.

Filter or sort the Vetting Case File Grid to access the new application. If applicable, the Vetter assigned to the application will receive a new assignment notification (optional based on the user's notification settings).

4.2.3 Filters

You can refine the displayed information in your grid by applying one or more filters.

Table 2: Filtering the Vetting Case File Grid (Default View)

Column Title	Filter Description
USDOT#	Enter a USDOT Number and click the **enter key** on your device to filter by a specific applicant.
Applicant Legal Name	Enter a carrier name and click the **enter key** on your device to filter by a specific applicant.
File Date	Click the dropdown menu, select a date or date range, and click **Apply**.
Assigned User	Click the dropdown menu and check the box next to one or more assigned users. You can also check/uncheck all or enter keywords to refine your search.
Vetting Status	Click the dropdown menu and check the box next to one or more Vetting statuses.
Application Type	Click the dropdown menu and check the box next to one or more application types.
Screening Assigned Date	Click the dropdown menu, select a date or date range for your search, and click **Apply**.
Full Investigation Assigned Date	Click the dropdown menu, select a date or date range, and click **Apply**.

4.2.4 Customize Your Grid

You can customize how the information in your Vetting Case File Grid is displayed by sorting, repositioning, hiding, or adding columns. Note that your selections for the first two columns cannot be hidden.

Table 3: Vetting Case File Grid Customizations

Action	Description
Sort Applications	Select the **up or down arrow** in a column title to arrange applications by ascending or descending order. By default, information is displayed based on the most recent activity.
Reposition a Column	Click and drag a **column title** to reposition it within the grid.
Hide a Column	Right click the **column title** you want to hide and select **Hide** from the dropdown menu. The column will no longer appear in your grid.
Add a Column	Right click any **column title**. Select **Add Column** from the dropdown menu and choose the type of column to add. The new column will now appear in your grid.

Default View
Click the **Default View** button above your Vetting Case File Grid to refresh the grid and display your customized default view. If you have not customized the columns in your grid view, this will display the tool default view.
Hover over the Default View button to display a dropdown menu with the following options to customize your default grid view:

- **Update Saved Layout:** Select this option to save any customizations you made as your default grid view.
- **Clear Saved Layout:** Select this option to permanently remove any customizations and revert to the tool default view.
    - If you decide to customize your grid again, make the necessary changes and hover over the arrow beside the Default View button. In the dropdown menu, click **Save Layout** to save your changes.
- **System Default View:** Select this option to temporarily revert to the VMT default grid view. The next time you return to the grid your customized view will be displayed.

Clear Filter
Click the **Clear Filter** button above your Vetting Case File Grid to temporarily clear all filters. If you have not selected any filters, this will refresh the grid and display the tool default view.

Hover over the arrow to display a dropdown menu with the following options to customize your filters:

- **Update Saved Search:** Select this option to save your current filter. This will automatically apply these filters selections each time you view the Vetting Case File Grid.
- **Clear Saved Search:** Select this option to permanently remove any saved filter customizations.
    - If you decide to customize your filter selections again, make the necessary changes and hover over the arrow beside the Clear Filter button. In the dropdown menu, click **Save Search as Default** to save your changes.

4.2.5 Reassign Applications (Management Users Only)

If you have the Management user role in the VMT, you can reassign applications. From your Vetting Case File Grid, click **Re-assign** beside the name of the current assigned user. This will display a pop-up menu to complete the reassignment process (Figure 11). Users without the Management role will not have this option.

The default selection is “Screening.” If needed, click **Screening** and select **Under Investigation** instead from the dropdown menu. Click **Select Vetter** and choose a name from the list to reassign the application.

Add a comment to explain why the application is being reassigned (e.g., the previous Vetter is on leave). This comment will be added to the Memos and Activities table located in the Memos tab of the Vetting Case File. View the Memos section of this document for more information.
Click **OK** to finish reassigning the application. Click the **“X”** icon to exit without reassigning the application.

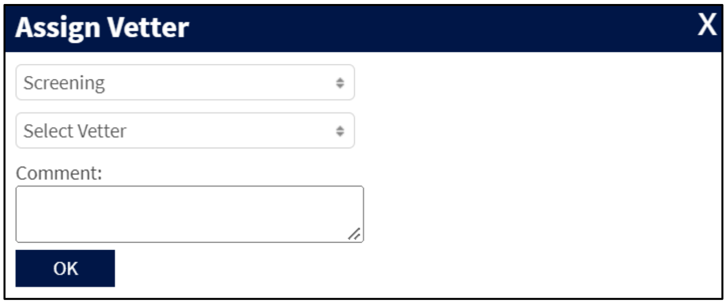


Figure 11: Reassign an Application (Management Users Only)

4.3 Other VMT Actions

Depending on your user role, you can access two or three additional sections at the bottom of your Vetting Dashboard (Figure 12). All users can access “Download L&I List” and “Upload MCQ Results.” Note that the “Assignment Management” option will only be displayed for users with the Tier 3 – Management role. Your cursor icon will change when you hover over the button for each section to indicate that it is clickable.

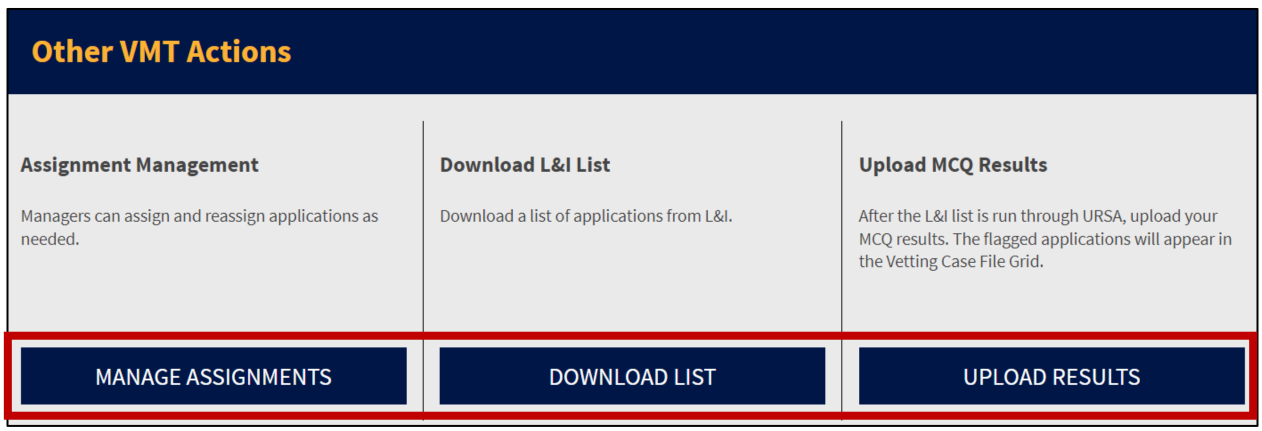


Figure 12: Other VMT Actions

4.3.1 Assignment Management (Management Only)

Click **Manage Assignments** to view or update the assignment settings for all VMT users.

Turn Off Auto Assignments

Locate a user on the list. Select **Off** beside the user’s name and click **OK**. This will immediately suspend auto assignments for this user indefinitely.

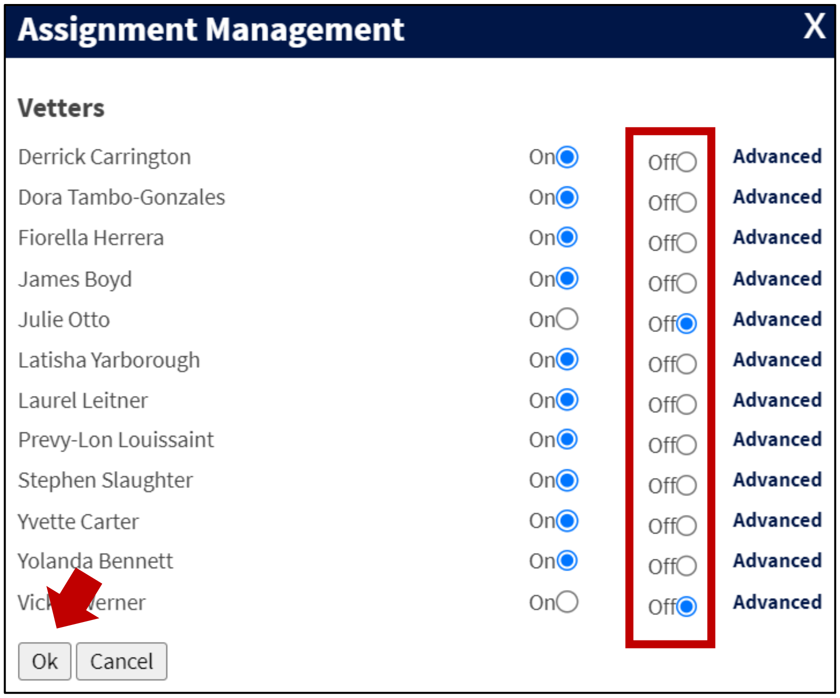


Figure 13: Turn Off Auto Assignments

To turn off auto assignments for a specific date/date range, click **Advanced**. Enter the date(s) for auto assignment to be turned off or click the calendar icon and select the date(s) from the displayed calendar. Click **Ok** to confirm your selection and close the pop-up window.

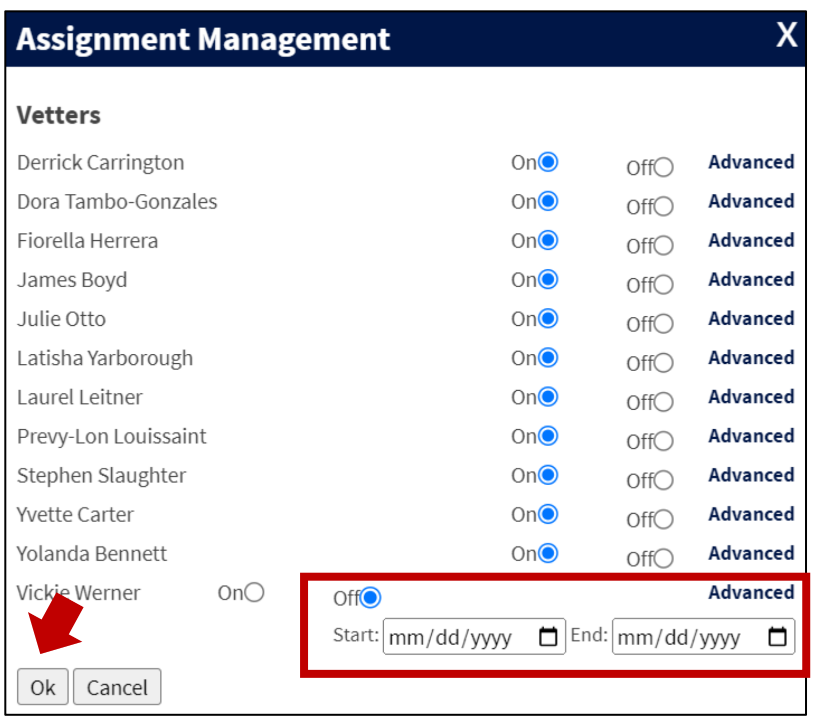


Figure 14: Turn Off Auto Assignments for a Specific Date/Date Range

Turn On Auto Assignments

Turning on auto assignments for a user is very similar to the process for turning them off. Locate a user on the list. Check the **On** box beside the user's name and click **Ok**. This will turn on auto assignments for this user indefinitely.

To turn on auto assignments for a specific date/date range, click **Advanced.** Enter the date(s) for auto assignment to be turned on or click the calendar icon and select the date(s) from the displayed calendar. Click **OK** to confirm your selection and close the pop-up window.

4.3.2 Download L&I List

Click **Download List** to download an Excel spreadsheet of applications from Licensing and Insurance (L&I). Enter the date(s) or click the calendar icon and select the dates from the displayed calendar. When you are ready, click **Download** (Figure 15).

This list of applications should be processed through the Utility for Risk-Based Screening and Assessment (URSA) software tool. Flagged applications within this list will be provided in a Multiple Carrier Query (MCQ) results file to upload to the VMT.

Figure 15: Download L&I List

4.3.3 Upload MCQ Results

After the L&I list is run through URSA, flagged applications are provided in an MCQ results file to upload to the VMT. Click **Upload Results**. In the pop-up window (Figure 16), click **Browse for File** and select the MCQ results file from your device. Note that the tabs within your Excel files must be named "MCQ_Results_Reinstatements" or "MCQ_Results_Paper_OP1" based on the types of applications to be uploaded.

Your selected file will then be displayed in the pop-up window. When you are ready, click **Upload**. Click the **"X"** icon to close the pop-up window. Filter or sort your Vetting Case File Grid to access the newly added applications.

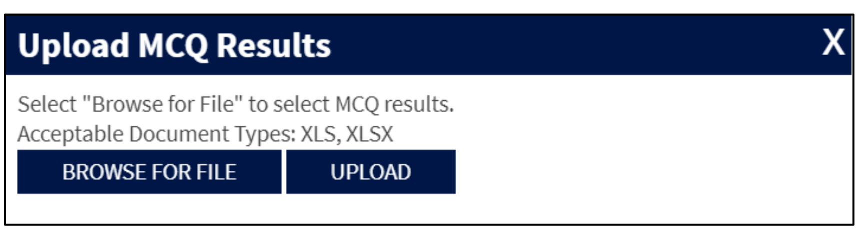


Figure 16: Upload MCQ Results

4.4 Menu

The Menu button on the Vetting Dashboard allows you to view and set VMT notifications. View the Notifications section of this document for more information. You can also use this menu to return to your Vetting Dashboard at any time by clicking **Vetting Management Tool**.

5 Vetting Case File Overview

The Vetting Case File contains the submitted operating authority application information along with additional documents to support the vetting case. A Vetting Case File has five sections: Vetting Case Summary, Vetting Worksheet, Supporting Evidence, Vetting Letters, and Memos. Each section has its own tab within the Vetting Case File. The table below provides a brief overview of each section. **Click each tab name in the table below to access more detailed information about each section within this document.**

Table 4: Vetting Case File Tabs

VETTING CASE FILE SUMMARY	Summary of information in the selected Vetting Case File
VETTING WORKSHEET	The Vetting Worksheet (Parts A, B, and C) for the application
SUPPORTING EVIDENCE	Supporting evidence documents for the Vetting Case File
VETTING LETTERS	Vetting letters generated for the application
MEMOS	Memos and actions recorded throughout the vetting process

5.1 Accessing a Vetting Case File

All Vetting Case Files are accessed via the Vetting Case File Grid on your Vetting Dashboard (Figure 17). Locate the application in your list and click the **USDOT Number** within the "USDOT#" column. This will redirect you to the Vetting Case File for the selected application. You can also use the filters in each column to help refine your search.

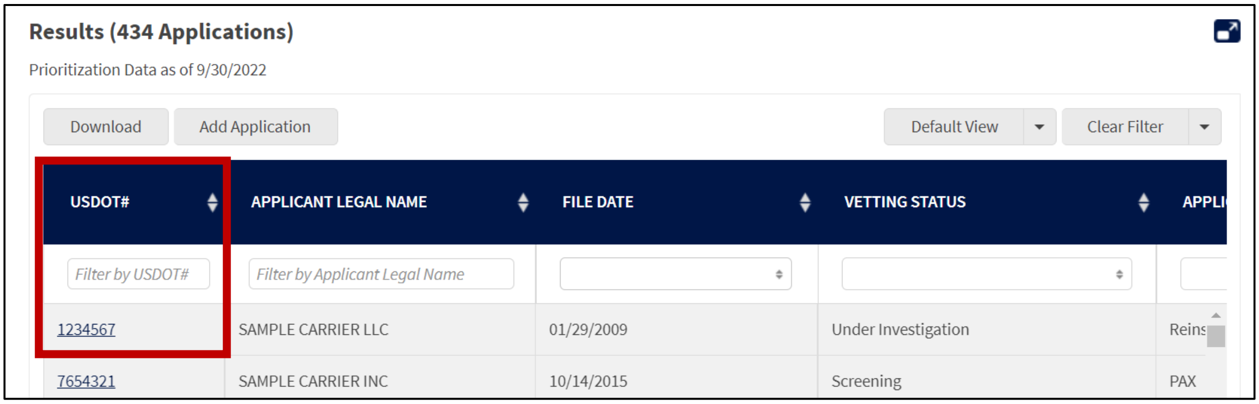


Figure 17: Accessing a Vetting Case File

5.2 Vetting Case File Summary Tab

The Vetting Case File Summary tab contains an overview of key Vetting Case File information for an application separated into the following sections: Vetting Information, Application Information, Contact Information, Vetting Status, Memos and Activity, Vetting Letters, Supporting Evidence, and the Vetting Portfolio.

5.2.1 Vetting Information

The information fields in this section of the Vetting Case File Summary are initially marked as “N/A” and update automatically as the vetting process unfolds and additional actions are taken within the VMT. However, if a rejected application is appealed, the Division Chief must manually enter the appeal date in this section.

Table 5: Vetting Case File Summary – Vetting Information Overview

Information Field	Description
Screening Assigned to[1]	The Tier 1 Vetter assigned to screen the application.
Investigation Assigned to	The Tier 2 Vetter assigned to the application if the screening determines that the application requires further investigation.
Materially Incomplete Notice Date	The date a Materially Incomplete (MI) Notice was sent to the applicant to request missing information.
Materially Incomplete Follow-Up Date	The date FMCSA must follow up with the carrier to provide the requested missing information (15 calendar days from the MI Notice date).
Materially Incomplete Due Date	The date the missing information is due (30 calendar days from the MI Notice date).
Receipt and Vetting Notice Date	The date a Receipt and Vetting Notice (Time Frame Letter) was sent to notify the applicant that further investigation is needed, if applicable.

Verification Inquiry Letter Date	The date a Verification Inquiry (VI) Letter was sent to the applicant to request additional information.
Verification Inquiry Letter Due Date	The date requested information is due to FMCSA (30 calendar days from the VI Letter date).
Rejection Order Date	The date a completed Rejection Order was sent.
Appeal Date[2]	The date an applicant appealed a rejection.

[1]All applications must be assigned to a Tier 1 Vetter for screening and display the assigned Vetter's name. The remaining "Vetting Information" fields are initially set to "N/A" and may contain information depending on the progression of the case.

[2]If applicable, the Division Chief enters the date that an applicant appealed a rejection. Click **Change Date**. In the pop-up window, enter the appeal date and click **Change Date**.

5.2.2 Application Information

This section of the Vetting Summary contains the following information fields: USDOT Number, docket number, legal name, DBA name, business address, authority type(s), service center, Division Office, file date, and application type. This information comes from the Licensing and Insurance (L&I) database.

5.2.3 Contact Information

The contact information provided for an application should have at least one item listed in each of the three information fields. This information comes from the Motor Carrier Management Information System (MCMIS).

Note that the displayed application and contact information comes from L&I and MCMIS. If a carrier changes data in either of these source systems, the VMT may send a notification to inform the VMT user that the applicant's source data has been updated (optional based on the user's notification settings). The tool will also display an alert icon [!] beside the affected information field(s). **Hover over the icon to view the information that was changed.**

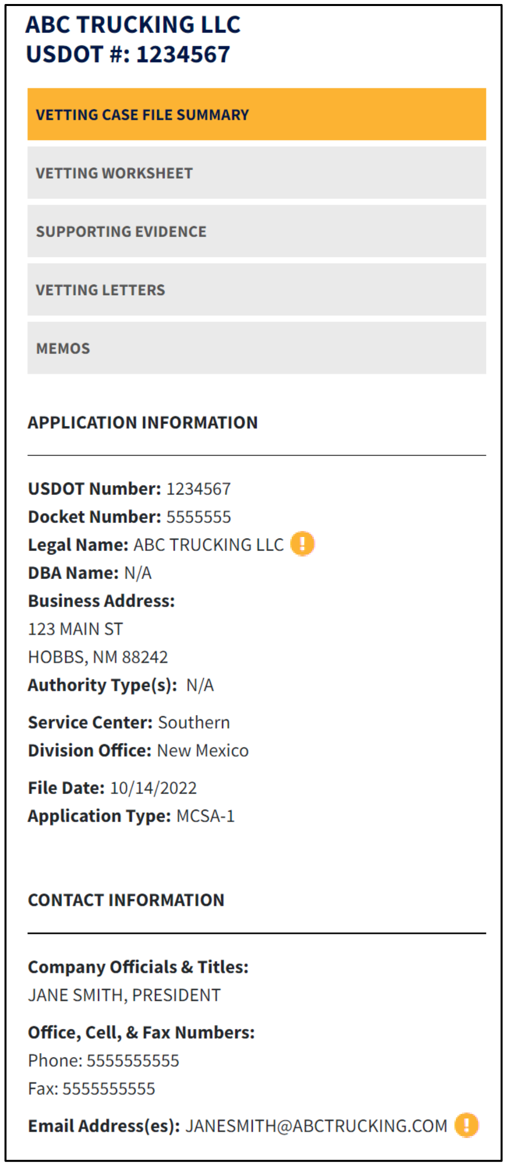


Figure 18: Vetting Case File Summary – Application and Contact Information

5.2.4 Vetting Status

The Vetting Status of an application will display one of the following statuses:

- Application Accepted
- Application Rejected
- Application Withdrawn
- Case Appealed
- Materially Incomplete
- Rejection Order Final Edits/Proofreader
- Rejection Order Rescinded
- Rejection Upheld
- Screening
- Under Investigation
- Under Review by Division Chief
- Under Review by Legal
- Under Review by Team Lead or Deputy Division Chief

To update the status of an application, click the **Vetting Status dropdown menu** and select a new status (Figure 19). **This menu can be updated within any tab of the Vetting Case File.**

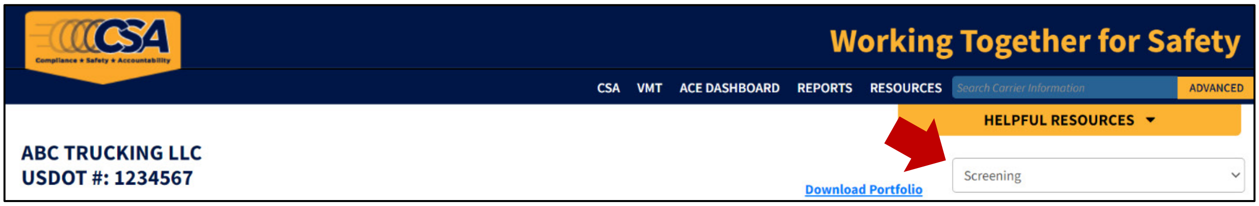


Figure 19: Update Vetting Status

Selecting a new vetting status will display a pop-up window with the selected status and the name of the user who initiated the change (Figure 20). Review the auto-populated comment that explains the status change and edit the text, if needed. When you are finished, click **Save Status**. Any vetting status change is recorded within the VMT and displayed in the "Memos and Activity" table located in the Vetting Case Summary tab and in the Memos tab.

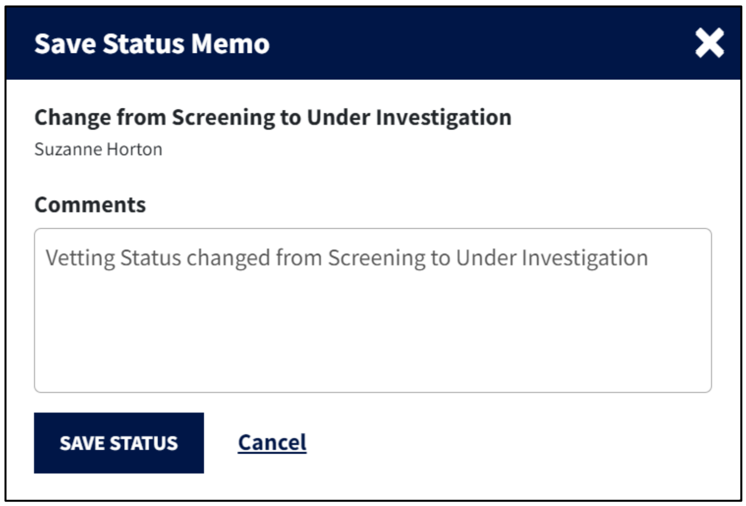


Figure 20: Save Status Memo

5.2.5 Memos and Activity

This table displays all memos and activity (e.g., a vetting status change) for the selected application in reverse chronological order (most recent to least recent). View the Memos Tab section of this document for more information.

5.2.6 Vetting Letters

This table displays all vetting letters generated for the selected application. View the Vetting Letters Tab and How to Generate Vetting Letters sections of this document for more information.

5.2.7 Supporting Evidence

This table displays any documents that have been uploaded as supporting evidence for the selected application. You must provide the strongest evidence available based on fact and clear examples. You must also retain any evidence used as the basis for your determination and provide it with your Vetting recommendation. View the Supporting Evidence Tab section of this document for more information.

5.2.8 Vetting Portfolio

A Vetting Portfolio is a compilation of all the information collected throughout the vetting process for an application. The file format follows the same structure as how the information is presented in the VMT. Click **Download Portfolio** to download a PDF of the Vetting Portfolio (Figure 21). At the end of the vetting process, the final Vetting Portfolio file should be manually uploaded to the Electronic Document Management System (EDMS).

Figure 21: Download Vetting Portfolio

5.3 Vetting Worksheet Tab

The Vetting Worksheet tab contains three sections: Part A – Screening, Part B – Investigative Review, and Part C – Recommendation. The information below provides an overview of the function of each section of the worksheet. View the How to Complete the Vetting Worksheet section of this document for step-by-step instructions.

Table 6: Vetting Worksheet Overview

Part of Worksheet	Description
Part A – Screening	The initial screening of an application for operating authority to determine if the application is materially complete and identify any affiliation, reincarnation, and/or negative safety history related to the applicant.
Part B – Investigative Review	Additional investigation for screened applications sent for further vetting.
Part C – Recommendation	The recommendation based on the findings of the investigative review.[1]

[1]In the case of a materially incomplete application, the recommendation is based on the screening as there is no investigative review completed.

If an applicant withdraws the application during the screening or investigative review process, complete the following:

1. Upload the written withdrawal from the applicant (e.g., letter, email, etc.) to the Supporting Evidence tab of the Vetting Case File.
2. Click the **Vetting Status dropdown menu** and select **Application Withdrawn**.
3. Click **Download Portfolio** and upload the Vetting Portfolio file to EDMS.

5.3.1 Part A – Screening

This section of an application is completed by a Tier 1 Vetter and must be completed within 5 working days. All screening information for an application is recorded in Part A of the Vetting Worksheet. The screening process has three steps: Materially Incomplete Review, Screening Review/Findings and Safety History Review, and Screening Summary.

Step 1: Materially Incomplete Review

The first step determines if an application is materially complete. If an application is not materially complete, the Vetting Team member assigned to the application must update the vetting status to “Materially Incomplete” and request the missing information from the applicant via a Materially Incomplete (MI) Notice. The applicant has 30 calendar days from the date of the letter to provide the missing information. After 15 calendar days, FMCSA will follow up with the applicant as a reminder. If the requested information is not provided within the 30-day time frame, FMCSA may reject the application. **Note that no additional screening can occur while an application is considered materially incomplete.**

If the application is materially complete, or once any missing information is provided, the Tier 1 Vetter may continue to the second step of the screening process to identify any FMCSA-regulated entities related to the applicant.

Step 2: Screening Review/Findings and Safety History Review
The second step determines if the applicant has any affiliates. The Tier 1 Vetter enters the USDOT Number of any associated entities to display the safety history review details and records any findings. If information regarding a related FMCSA-regulated entity is found, the associated entity is now considered an affiliate and the Tier 1 Vetter must send the application for further investigation by a Tier 2 Vetter.

Step 3: Screening Summary
The third step provides an overview of the information collected during the screening process and allows the Tier 1 Vetter to make a decision for how to proceed with the application. The Vetter reviews the screening information and identifies one of the following outcomes:

1. The application is **materially complete with no review findings** and **may be accepted**.
2. The application is **materially complete, but negative safety history has been found** and the application is **sent for further review**.
3. The application is **materially incomplete** and **may be rejected**.

If further investigation is needed, the Tier 1 Vetter updates the vetting status to "Under Investigation" and the VMT with automatically assign the application to an available Tier 2 Vetter. The Tier 1 Vetter must also send a Receipt and Vetting Notice (known internally as a "Time Frame Letter") to the applicant after making a determination to send the application for further vetting. The Receipt and Vetting Notice notifies the applicant that their application has been selected for further review and provides a time frame as to when they may expect a decision. If no further investigation is needed, the Tier 1 Vetter updates the vetting status to "Application Accepted."

5.3.2 Part B – Investigative Review

This section of the Vetting Worksheet is completed by a Tier 2 Vetter for applications that require further investigation beyond the initial screening. When an application is assigned for further investigation, the Tier 2 Vetter first reviews the Screening Summary page from Part A of the Vetting Worksheet to help determine if the applicant is fit, willing, and able to comply/conform to Agency registration requirements. The Tier 2 Vetter then completes the investigative review process, which consists of four steps: Investigative Review, Affiliation Analysis, Fit, Willing, and Able Analysis, and Investigative Review Summary.

Step 1: Investigative Review
The first step provides applicant information identified during the screening process along with any affiliate information. The Tier 2 Vetter reviews the screening findings and, if needed, can request additional information from the applicant by sending a Verification Inquiry (VI) Letter. The VI process takes a total of 30 calendar days, mainly in part because letters must be mailed to the applicant. This time frame accounts for 10 calendar days for FMCSA's letter to reach the applicant, 10 calendar days for the applicant to respond, and 10 calendar days for the applicant's letter to reach FMCSA. The Vetter may send a courtesy e-mail copy of the letter to

the applicant provided it clearly indicates to the applicant that responses must be made in writing. **Note that no additional investigating should occur while a verification inquiry is in process, as the missing information is needed in order to make the most informed decision.**

If the applicant fails to respond to the VI Letter, does not clearly answer the question(s) posed, or is found to have provided false information, the application will be rejected.

Step 2: Affiliation Analysis
The second step determines the applicant's connection to any identified affiliate(s). The Tier 2 Vetter can add or delete affiliate information as needed. Each affiliate is examined based on several investigative review evaluation criteria. For each affinity factor selected, the Vetter must provide a description and add previously uploaded evidence from the Supporting Evidence tab. At least one piece of evidence must be uploaded for each selected affinity factor.

It is possible, but not common, for no affiliate to have been identified in Part A. However, in such a case URSA could still have identified the record as a self-match (safety issues). In this situation, skip Part B – Step 2 and proceed to Part B – Step 3 below.

Step 3: Fit, Willing, and Able Analysis
The third step determines the applicant's fit, willing, and able status based on the connection to the identified affiliate(s). Each affiliate is examined based on several investigative review evaluation criteria. For each motivation factor selected, the Vetter must provide a description and select previously uploaded evidence from the Supporting Evidence tab. At least one piece of evidence must be uploaded for each selected motivation factor.

Step 4: Investigative Review Summary
The fourth step provides an overview of the information collected during the investigative review process, including all supporting evidence for both the affiliation analysis and the fit, willing, and able analysis. The Vetter reviews the information and continues to Part C of the Vetting Worksheet to make a recommendation. The Vetter must consider the totality of the evidence to make a final determination.

5.3.3 Part C – Recommendation

This section of the Vetting Worksheet is where the Tier 2 Vetter recommends whether an application should be accepted or rejected.

Table 7: Vetting Worksheet Part C – Recommendation Overview

If an application is accepted…	If an application is rejected…
Provide a Summary of Recommendation[1]	Provide a Summary of Recommendation **and** Provide Findings of Fact[2]
Update Vetting Status to "Application Accepted"	Generate a Rejection Order Letter[3] and update the application Vetting Status to "Under Review by Team Lead or Deputy Division Chief"

[1]Summary of Recommendation: Information to support the suggested vetting decision.

[2]Findings of Fact: Cite to facts and evidence regarding operation without operating authority registration. This needs to cite a roadside inspection, verified consumer complaint, etc. **Note**

that the Findings of Fact requirement does not apply to a rejection order for an inactive USDOT Number.

[3]A Rejection Order Letter is both emailed and printed for mailing once finalized.

5.4 Supporting Evidence Tab

This tab contains any supporting evidence that has been uploaded for the selected case (Figure 22). To upload supporting evidence, click **Choose File** and select the file from your device in the pop-up window. Enter a title and description of your file in the fields provided and click **Add Document**. This will display a Supporting Evidence table containing your uploaded document.

If you have already uploaded one or more supporting evidence documents, the new document will appear at the top of the table. All uploaded documents for a Vetting Case File are stored in the Supporting Evidence table. This table also appears in the Vetting Summary tab.

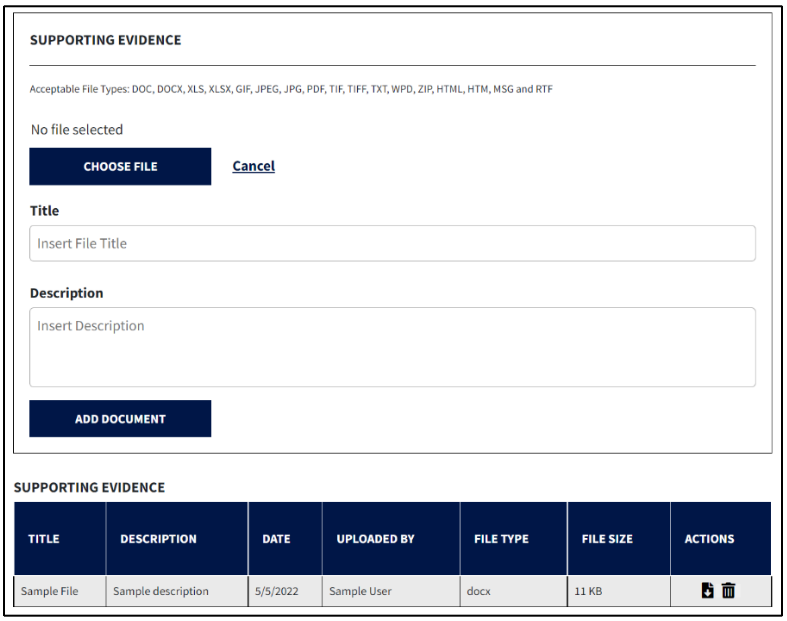


Figure 22: Supporting Evidence Example

5.4.1 Download Supporting Evidence

Click the **download icon** [ ] in the Actions column to download the supporting evidence document to your device. All VMT user roles can download supporting evidence files.

5.4.2 Delete Supporting Evidence

Click the **delete icon** [ ] in the Actions column to remove a supporting evidence document from the table. Click **OK** in the pop-up window to confirm that you want to delete the document. **Note that supporting evidence can only be deleted by the user who uploaded the file and users with the Tier 3 user role (management).**

5.5 Vetting Letters Tab

There are 12 vetting letter options available in the VMT (Figure 23). Any letters generated for a case are recorded in the Vetting Case File. View the Vetting Letters section of this document for step-by-step instructions to generate and complete letters.

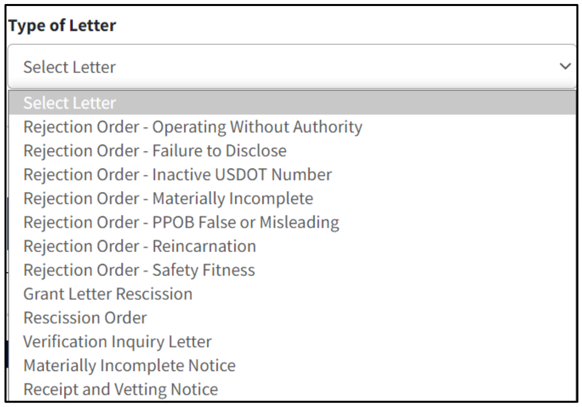


Figure 23: Vetting Letters

5.6 Memos Tab

This tab contains any memos for the case along with a record of activity throughout the vetting process, such as a status change (Figure 24). All items appear in the Memos and Activity table in reverse chronological order (from most recent to least recent). The date field auto populates to reflect the current date and cannot be edited. Type a memo in the text field and click **Add Memo**. All memos and activity will be displayed in a Memos and Activity table. This table also appears in the Vetting Summary tab.

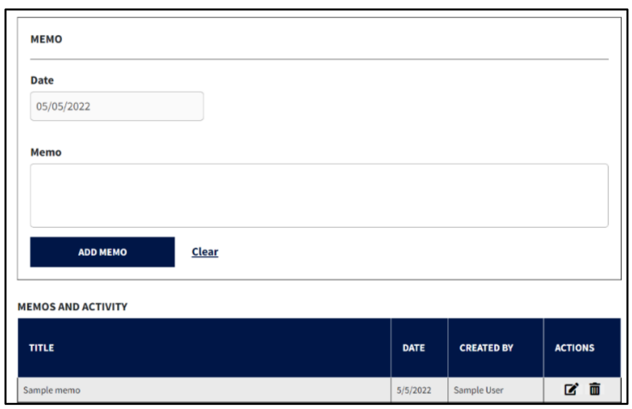


Figure 24: Add a Memo

5.6.1 Edit a Memo

Click the **edit icon** [ ]. In the pop-up window, edit the memo text and click **Save Memo.** The Memos and Activity table will refresh to display the updated memo.

5.6.2 Delete Letter

Click the **delete icon** [ ] to remove a memo from the table. Click **OK** in the pop-up window to confirm that you want to delete the memo.

Note that memos can only be edited or deleted by the user who created the memo and management users. Status changes cannot be edited or deleted.

6 How to Complete the Vetting Worksheet

A Vetting Worksheet consists of three parts. A Tier 1 Vetter completes Part A - Screening. If needed, a Tier 2 Vetter completes Part B - Investigative Review and Part C - Recommendation. View the information below for step-by-step. **Note that the VMT auto-saves information as it is recorded Vetting Worksheet.** If you need to leave the Vetting Worksheet tab to complete an action, (e.g., generate a letter, upload supporting evidence, create a memo, etc.) the Vetting Worksheet will display your most recent section when you return to the Vetting Worksheet tab.

6.1 Part A - Screening

The screening of an application consists of three steps: Materially Incomplete Review, Screening Review/Findings and Safety History Review, and Screening Summary. Some questions may display additional data fields related to the chosen response. **Note that you must complete all displayed sections in the first step (Materially Incomplete Review) before you can continue the screening process.**

6.1.1 Step 1: Materially Incomplete Review

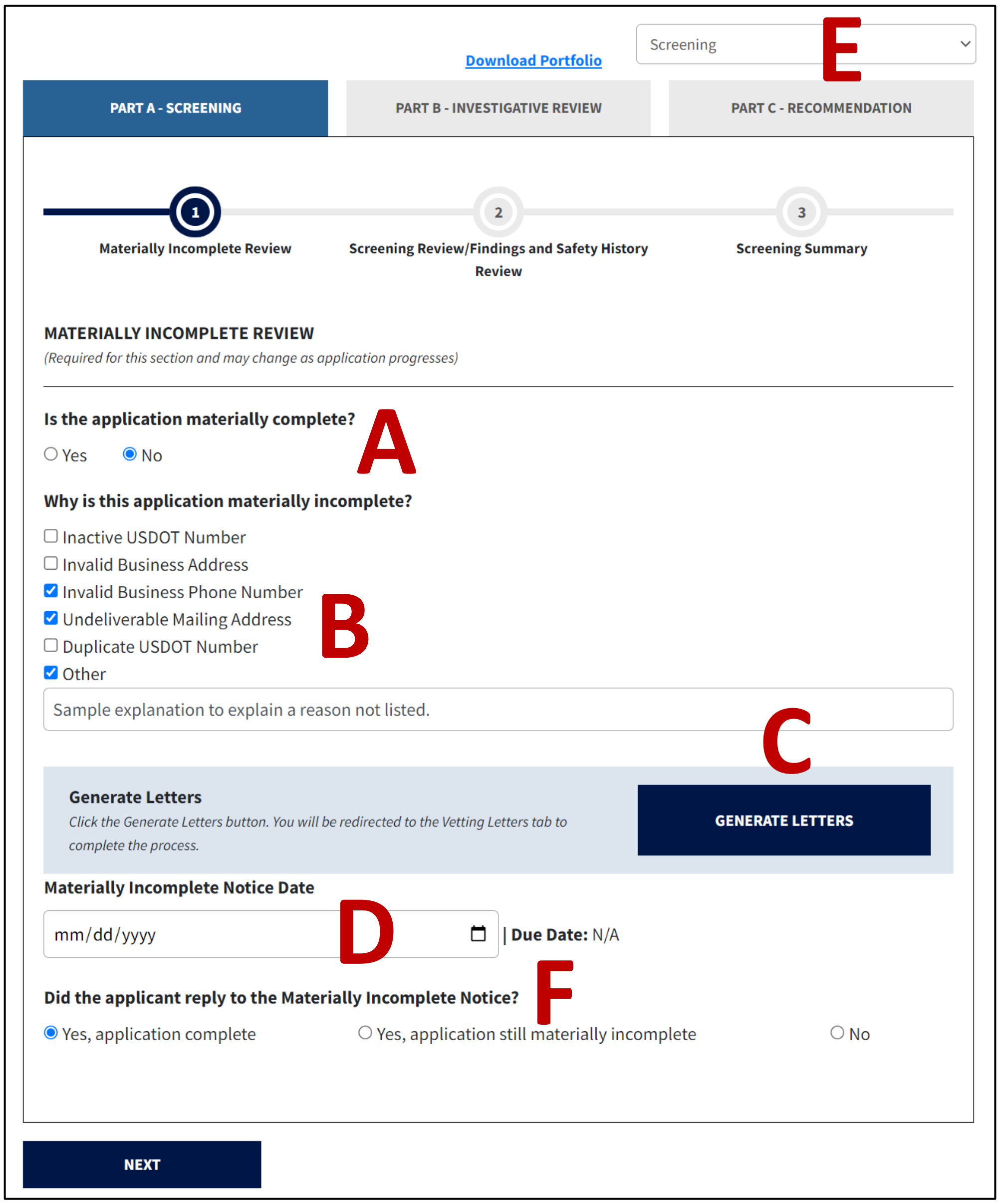


Figure 25: Vetting Worksheet Part A - Step 1: Materially Incomplete Review

A. Determine if the application is materially complete and select **Yes** or **No**.
- If "Yes," no additional items will be displayed. Click **Next** to continue to Step 2: Screening Review /Findings and Safety History.
- If "No," complete items B–F below.

If the application is considered materially incomplete:

B. Select the reason(s) why the application is materially incomplete.
- If "Other" is selected, any details provided in the text field will auto-populate in the Vetting Letters tab when the Materially Incomplete Notice is generated.

C. Click **Generate Letters** to generate a Materially Incomplete (MI) Notice to request the missing information from the applicant. This will redirect you to the Vetting Letters tab of the case file. View the How to Generate Vetting Letters section of this document for more information.

D. The MI Notice date is automatically recorded within the VMT when the MI Notice draft is generated. Click the calendar icon to edit this date, if needed (e.g., the MI Notice is sent at a later date). The VMT calculates and displays the date the information is due from the applicant (30 calendar days from the MI Notice date).

E. Click the **Vetting Status box** and select **Materially Incomplete** from the dropdown menu.

Note that the vetting process for an application is put on hold while a request for missing information is in process. The applicant has 30 calendar days to respond to the Materially Incomplete Notice. Within the 30-day time frame, complete the final question in Part A – Step 1 below to determine next steps.

F. Enter the applicant's response to the MI Notice:
- Select **Yes, application complete** if the applicant replied with the requested information.
- Select **Yes, application still materially incomplete** if the applicant replied but the application is still missing required information.
- Select **No** if the applicant did not respond.

If the application is now complete, click **Next** to continue to Part A - Step 2. If the application is still considered materially incomplete, skip to Part C - Recommendation to begin the rejection process.

6.1.2 Step 2: Screening Review/Findings and Safety History Review

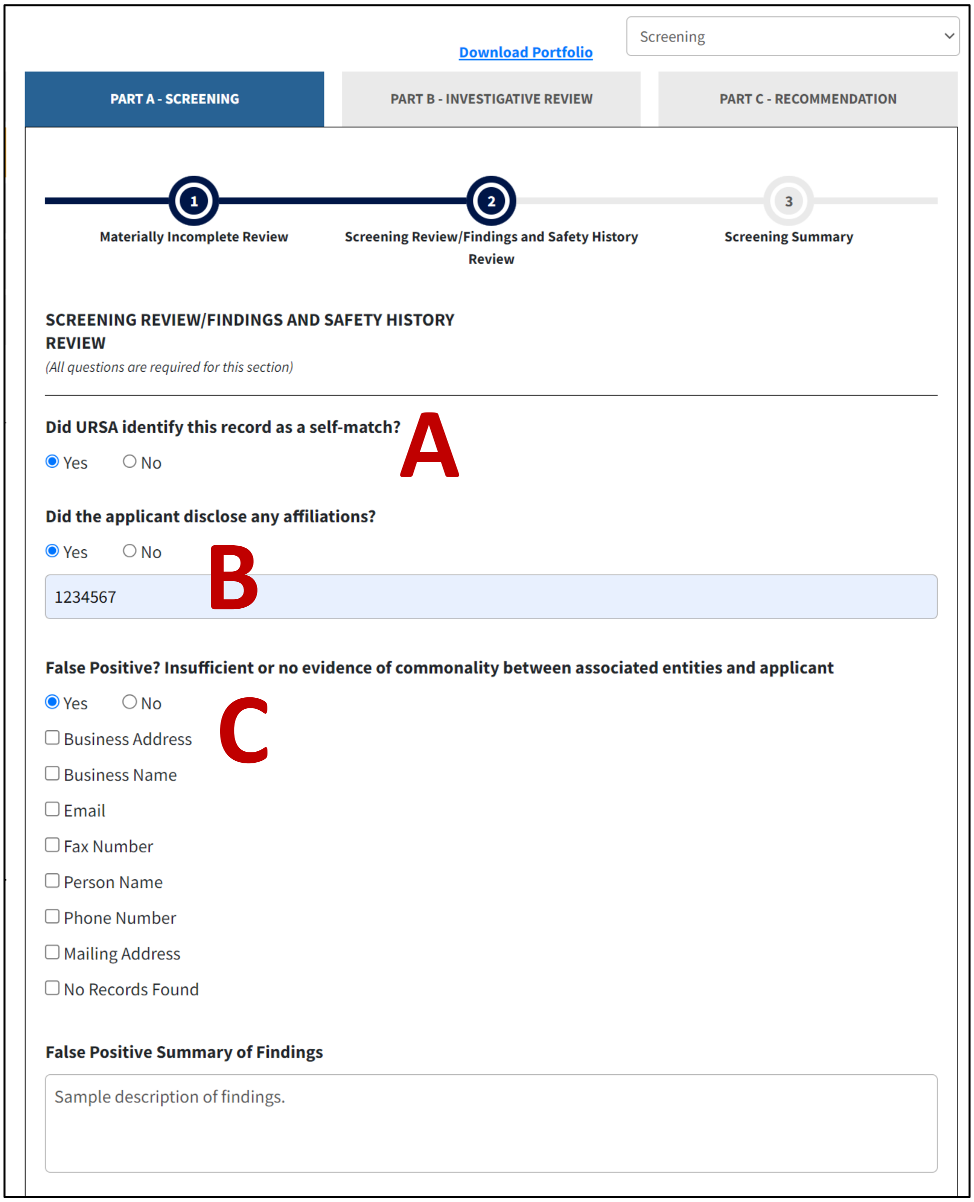


Figure 26: Vetting Worksheet Part A - Step 2: Screening Review/Findings and Safety History Review

A. Determine if URSA identified this record as a self-match and select **Yes** or **No**.
- If “Yes,” complete the Applicant Safety History Review section below (Figure 27).
- If “No,” this section will not be displayed.

B. Note if the applicant disclosed any affiliations by selecting **Yes** or **No**.
- If “Yes,” enter the USDOT Number for the associated entity.
- If “No,” the information field will not be displayed.

C. Determine if this is a false positive (insufficient evidence of association) and select **Yes** or **No**.
- If “Yes,” choose the applicable affinity factor(s) and enter a description of the summary of findings for the false positive.
- If “No,” the additional information will not be displayed.

If URSA identified the applicant as a self-match:

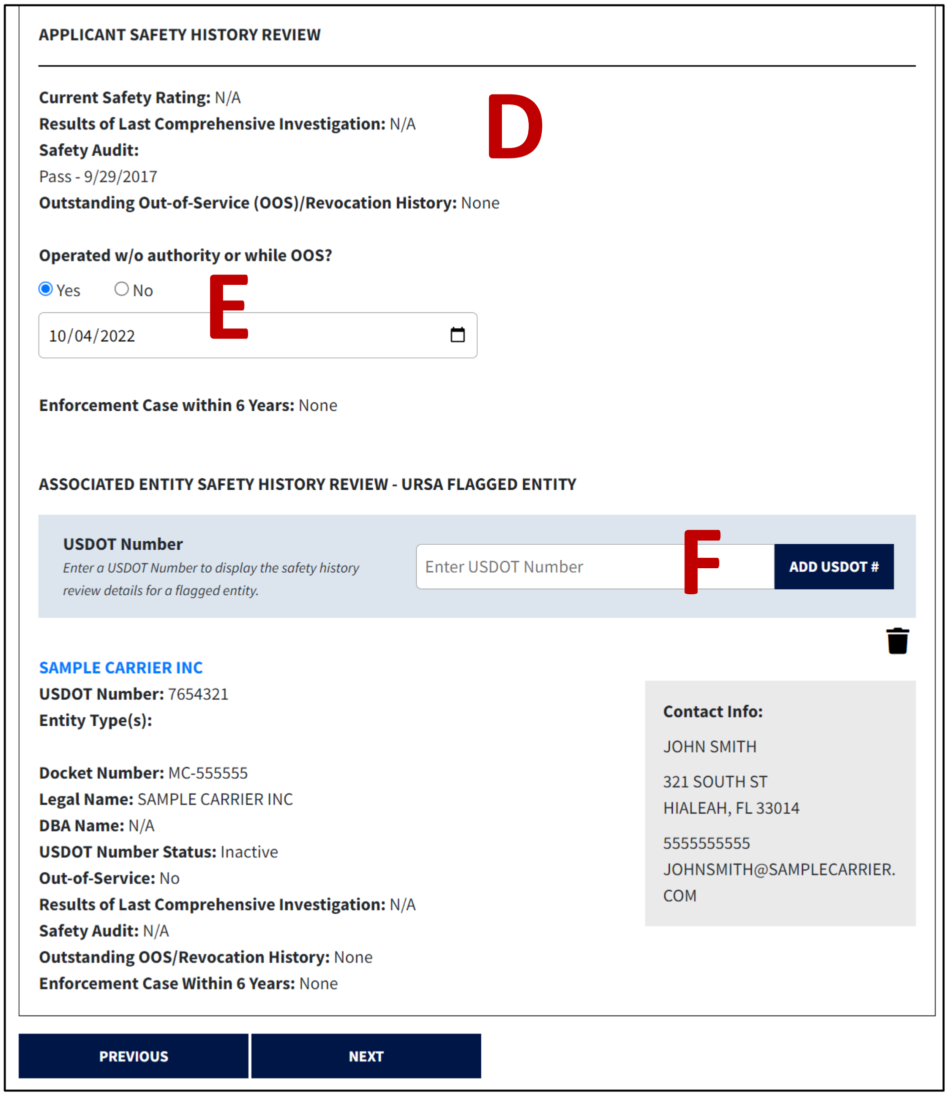


Figure 27: Vetting Worksheet Part A - Step 2: Screening Review/Findings and Safety History Review (cont.)

D. Review the displayed safety history for the applicant.

E. Select **Yes** or **No** to note if the applicant operated without authority or while out-of-service (OOS) and enter the date, if applicable. If the record was not identified as a self-match, this section will not be displayed.

F. If the applicant disclosed an affiliation, enter the USDOT Number in the provided field and click **Add USDOT Number** to display the safety review history information for the associated entity. Compare the provided information with the entity's information in source systems to confirm all data is accurate.

- To add an additional associated entity, enter another USDOT Number and click **Add USDOT Number**. This will display the additional associated entity's safety history.
- To delete an associated entity, click the **delete icon** [ ] in the right-hand corner of the safety history review for that entity. The system will display a pop-up prompting you to confirm the deletion. Click **Yes** to delete the entry.

When you are ready to continue, click **Next**.

6.1.3 Step 3: Screening Summary

Review the displayed screening summary information.

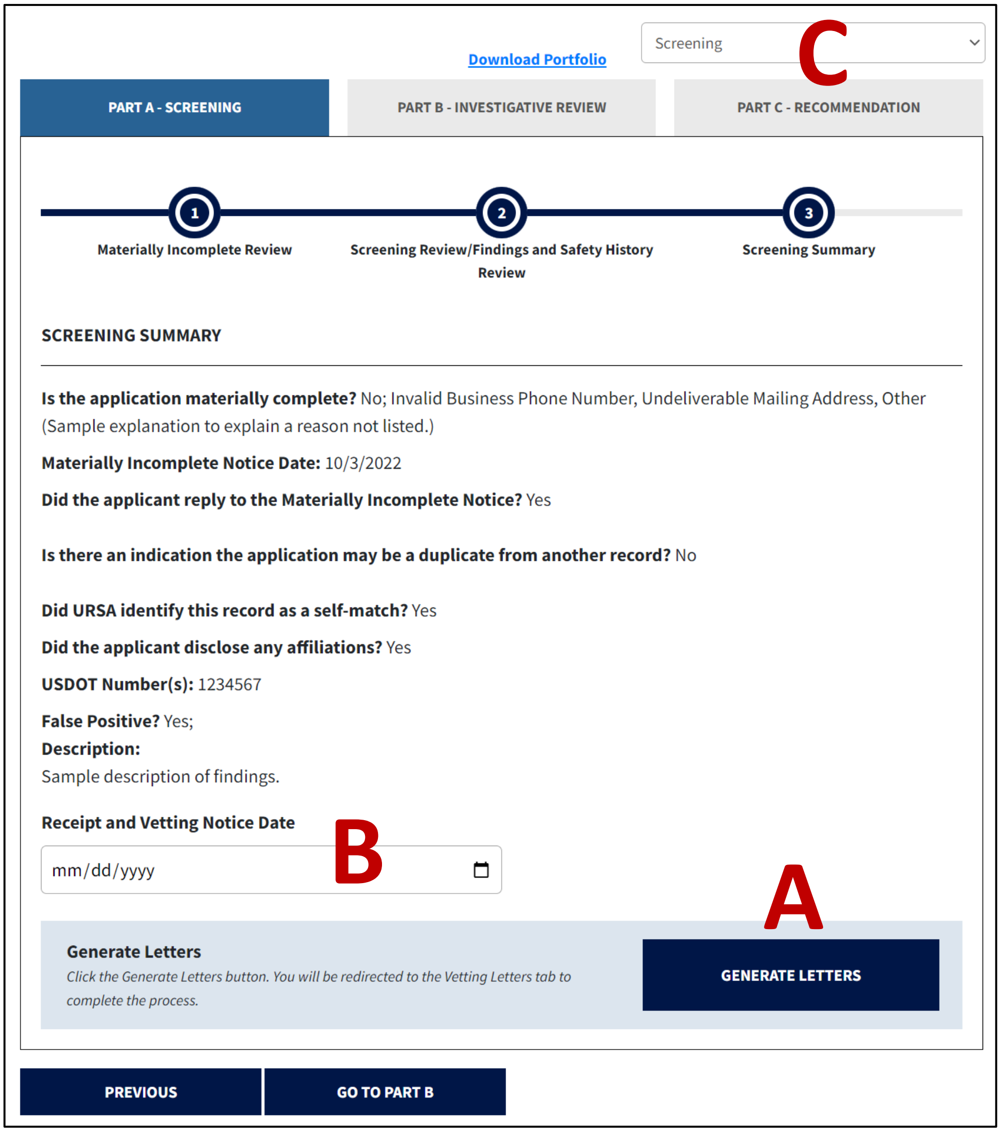


Figure 28: Vetting Worksheet Part A - Step 3: Screening Summary

If the application requires further investigation:

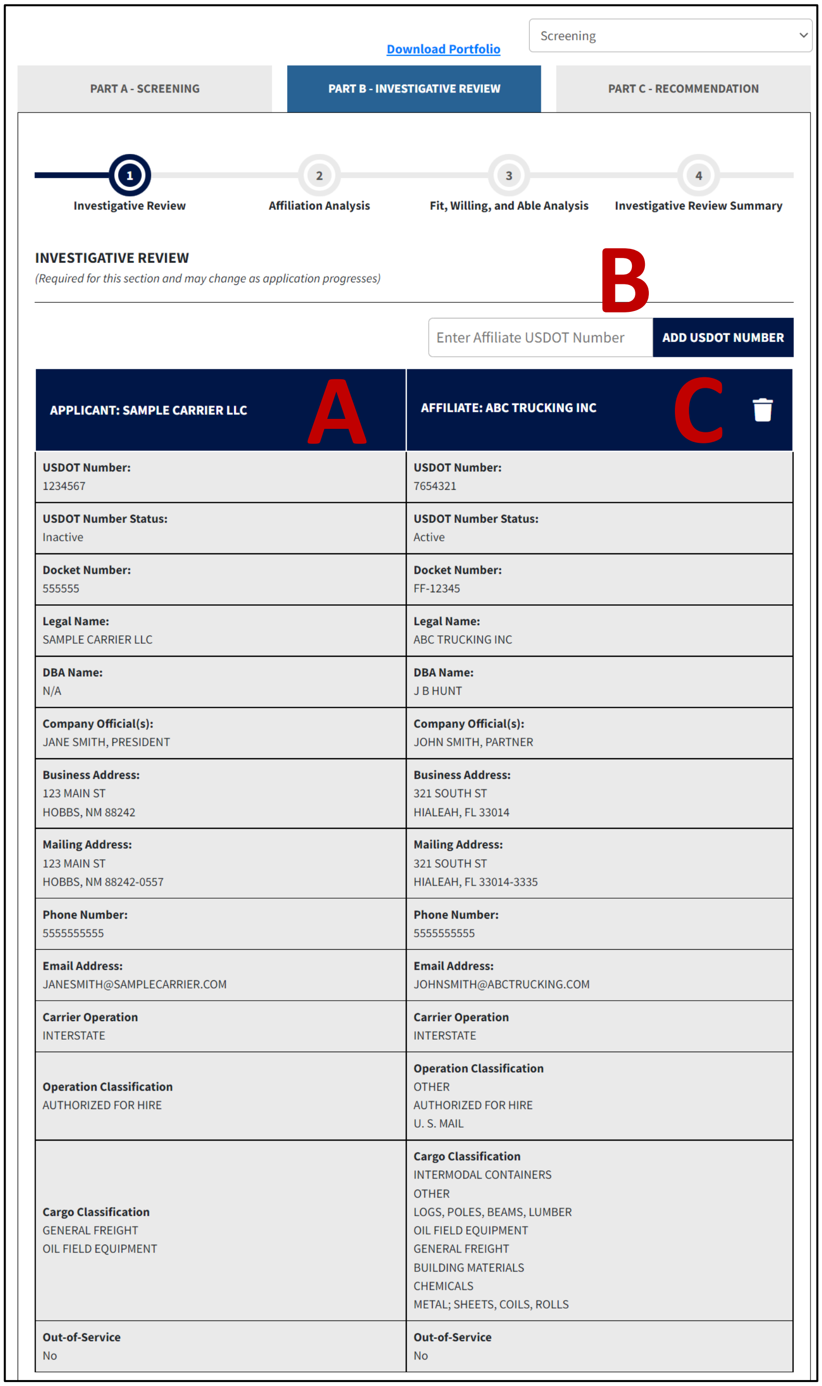
- **A.** Select **Generate Letters**. This will redirect you to the Vetting Letters tab to create a Receipt and Vetting Notice. View the How to Generate Vetting Letters section of this document for more information.
- **B.** The Receipt and Vetting Notice date is automatically recorded within the VMT when the draft letter is generated. Click the calendar icon to edit this date, if needed (e.g., the Receipt and Vetting Notice is sent at a later date).
- **C.** Click the **Vetting Status box** and select **Under Investigation**. This will prompt the tool to automatically assign the application to an available Tier 2 Vetter. Note that a Tier 1 Vetter who also holds the Tier 2 role will be assigned the application they screened to complete the investigative review.

If the application does not require further investigation, skip to Part C - Recommendation.

6.2 Part B - Investigative Review

When an application is assigned for further investigation, the Tier 2 Vetter should first view the Screening Summary page from Part A of the Vetting Worksheet. This allows the Vetter to review information collected during the screening process before conducting the investigative review.

6.2.1 Step 1: Investigative Review



APPLICANT: SAMPLE CARRIER LLC	AFFILIATE: ABC TRUCKING INC
USDOT Number: 1234567	**USDOT Number:** 7654321
USDOT Number Status: Inactive	**USDOT Number Status:** Active
Docket Number: 555555	**Docket Number:** FF-12345
Legal Name: SAMPLE CARRIER LLC	**Legal Name:** ABC TRUCKING INC
DBA Name: N/A	**DBA Name:** J B HUNT
Company Official(s): JANE SMITH, PRESIDENT	**Company Official(s):** JOHN SMITH, PARTNER
Business Address: 123 MAIN ST HOBBS, NM 88242	**Business Address:** 321 SOUTH ST HIALEAH, FL 33014
Mailing Address: 123 MAIN ST HOBBS, NM 88242-0557	**Mailing Address:** 321 SOUTH ST HIALEAH, FL 33014-3335
Phone Number: 5555555555	**Phone Number:** 5555555555
Email Address: JANESMITH@SAMPLECARRIER.COM	**Email Address:** JOHNSMITH@ABCTRUCKING.COM
Carrier Operation INTERSTATE	**Carrier Operation** INTERSTATE
Operation Classification AUTHORIZED FOR HIRE	**Operation Classification** OTHER AUTHORIZED FOR HIRE U. S. MAIL
Cargo Classification GENERAL FREIGHT OIL FIELD EQUIPMENT	**Cargo Classification** INTERMODAL CONTAINERS OTHER LOGS, POLES, BEAMS, LUMBER OIL FIELD EQUIPMENT GENERAL FREIGHT BUILDING MATERIALS CHEMICALS METAL; SHEETS, COILS, ROLLS
Out-of-Service No	**Out-of-Service** No

Figure 29: Vetting Worksheet: Part B - Step 1: Investigative Review

A. Review the displayed applicant information, identified during the screening process along with any affiliate information. Each affiliate will be listed in the table beside the applicant's name.

B. To add an affiliate, enter the USDOT Number and click **Add USDOT Number**. If there are no affiliates, skip to item G.

C. To delete an affiliate, click the **delete icon** [ ] in the column header for that entity.

Reviewing Affiliate Information

If there is only one affiliate, the applicant and affiliate information are displayed side-by-side (Figure 29). The information in the gray table below each dark blue header provides details about the applicant and the affiliate. **Applicant information is always displayed, but only one affiliate tab can be selected at a time.**

If there is more than one affiliate, the names of the additional affiliate(s) will be displayed in separate tabs in the grid; however, only detailed information for the applicant and the first affiliate listed will be initially displayed. Any additional affiliates will have a gray header (instead of the dark blue header) to identify that they are not selected (Figure 30).

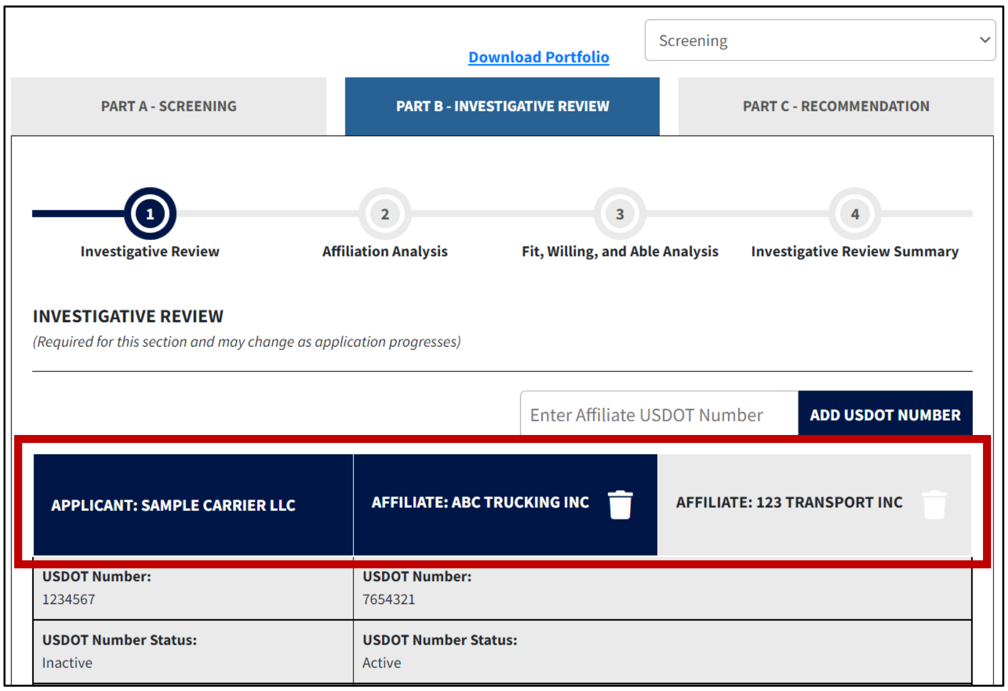


Figure 30: Viewing Affiliate Details

Note: Click an unselected affiliate's name to toggle between tabs and display new affiliate details below. When an affiliate is selected, the name box will turn dark blue to match the applicant name box. An unselected affiliate will have a gray name box until it is selected. Note that all detailed information displayed in the main grid display is gray, even for a selected affiliate.

Each time you select an affiliate's name, the tool will display the following additional questions below the grid.

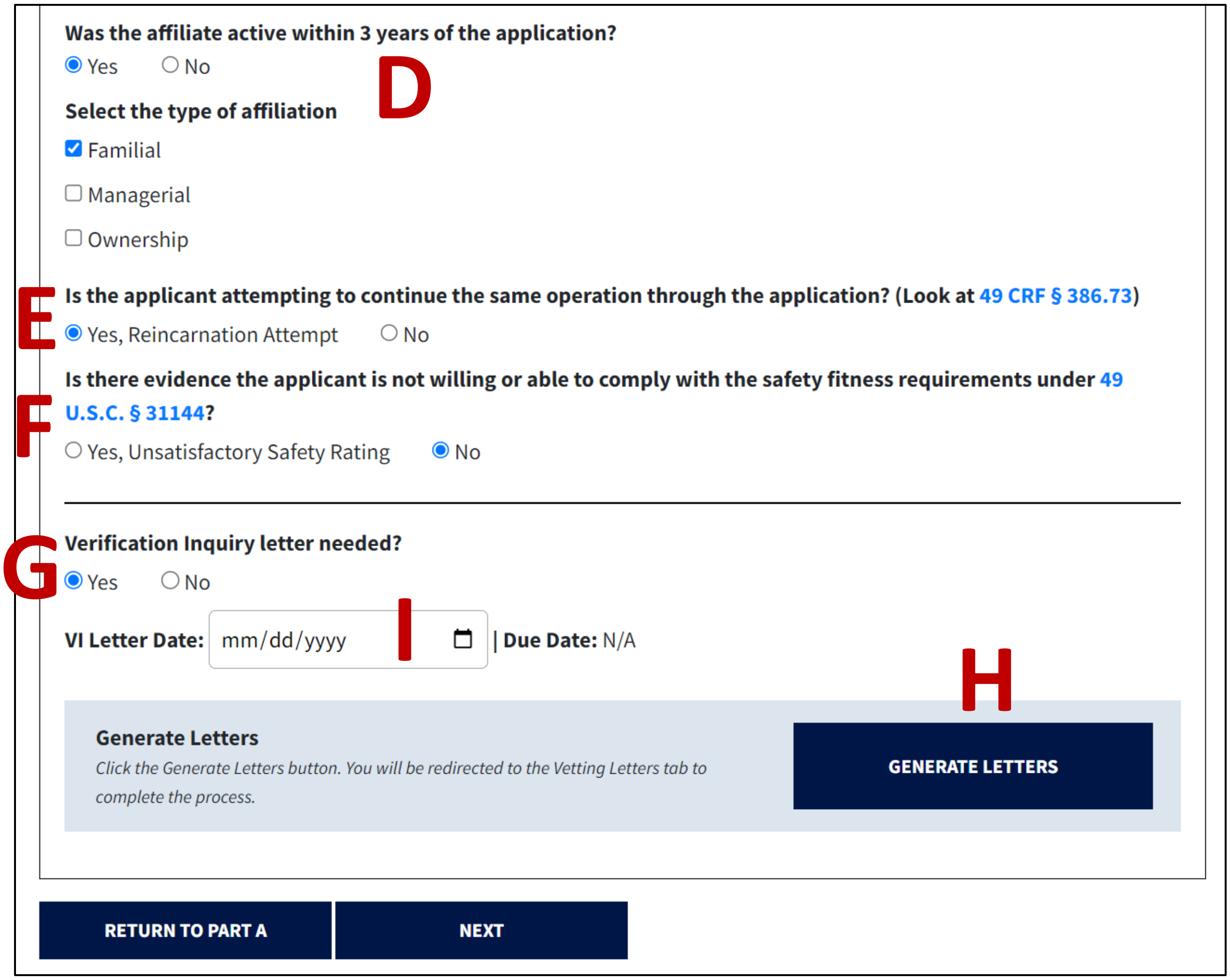


Figure 31: Vetting Worksheet: Part B - Step 1: Investigative Review (cont.)

If one or more identified affiliates:

D. Determine if the affiliate was active within three years of the application.
- If "**Yes**," specify the nature of the affiliation.
- If "**No**," the additional information will not be displayed.

E. Determine if the applicant is attempting to continue an existing operation through the new application.

F. Determine if there is evidence that the applicant is not willing or able to comply with the applicable safety fitness requirements.

Note: You must complete items D–F for each affiliate.

G. Determine if a Verification Inquiry Letter is needed.
- If "**Yes**", generate and send the Verification Inquiry Letter to the applicant.
- If "**No**," the additional information will not be displayed. Click **Next** to continue to Step 2: Affiliation Analysis.

If additional information is needed from the applicant:

H. Click **Generate Letters** to generate a Verification Inquiry (VI) Letter and request additional information from the applicant. This will redirect you to the Vetting Letters tab of the case file. View the How to Generate Vetting Letters section of this document for more information.

l. The VI Letter date is automatically recorded within the VMT when the draft letter is generated. Click the calendar icon to edit this date, if needed (e.g., the VI Notice is sent at a later date). The VMT calculates and displays the date the information is due from the applicant (30 calendar days from the VI Letter date).

Note that the vetting process for an application is put on hold while a request for additional information is in process. Once the applicant provides the requested information, continue to Step 2 - Affiliation Analysis. If the applicant does not provide the information within the appropriate time frame, the investigation cannot be continued. Skip to Part C - Recommendation to begin the rejection process.

6.2.2 Step 2: Affiliation Analysis

This step in the process requires selection of supporting evidence to confirm an association between the applicant and any identified affiliates. **Note that you should upload all relevant files to the Supporting Evidence tab of a Vetting Case File before completing this section.** For more information, view the Supporting Evidence Tab section of this document.

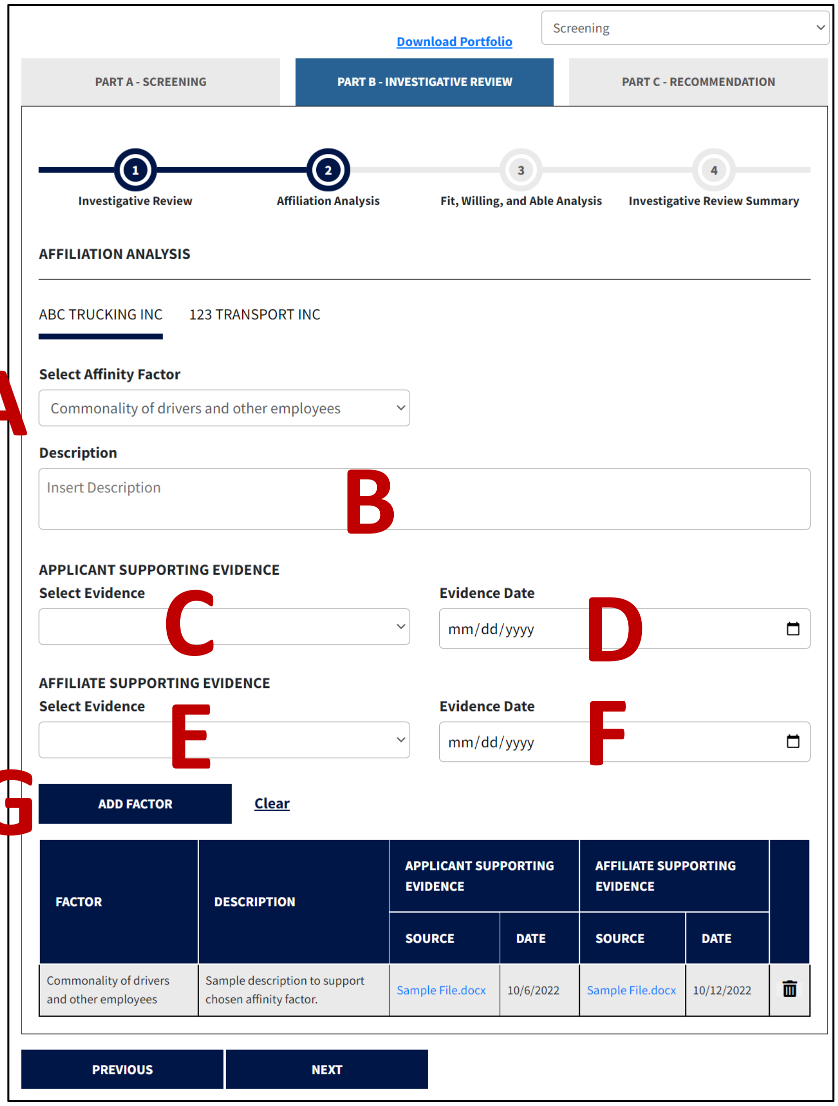


Figure 32: Vetting Worksheet: Part B - Step 2: Affiliation Analysis

A. Select an affinity factor from the dropdown menu.
- A factor can be added multiple times, if needed (e.g., there is more than one piece of evidence for the applicant or the affiliate for that affinity factor).
- There needs to be at least one piece of evidence provided for a selected affinity factor, but there does not need to be evidence for both the applicant and the affiliate.

B. Provide a description to support the selected affinity factor.

C. Select applicant evidence to support the selected affinity factor, if applicable.
- The dropdown menu will display all available files that have been uploaded to the Supporting Evidence tab. If there is no applicant evidence, select **N/A**.

D. Enter the date in the text field or click the calendar icon to select the date.
- If there is no applicant evidence, enter today's date. This date will not appear in the supporting evidence table.

E. Select affiliate evidence to support the selected affinity factor, if applicable.
- The dropdown menu will display all available files that have been uploaded to the Supporting Evidence tab. If there is no affiliate evidence, select **N/A**.

F. Enter the date in the text field or click the calendar icon to select the date.
- If there is no affiliate evidence, enter today's date. This date will not appear in the supporting evidence table.

G. Click **Add Factor**. The affinity factor information will automatically appear in the table below.

Repeat this process as needed to add additional affinity factors.

If there is more than one affiliate:
Multiple affiliates will be displayed side-by-side in the Affiliation Analysis section. This step must be completed separately for each listed affiliate. Click an affiliate's name to toggle between each affiliate. The selected affiliate will be underlined with a dark blue line.

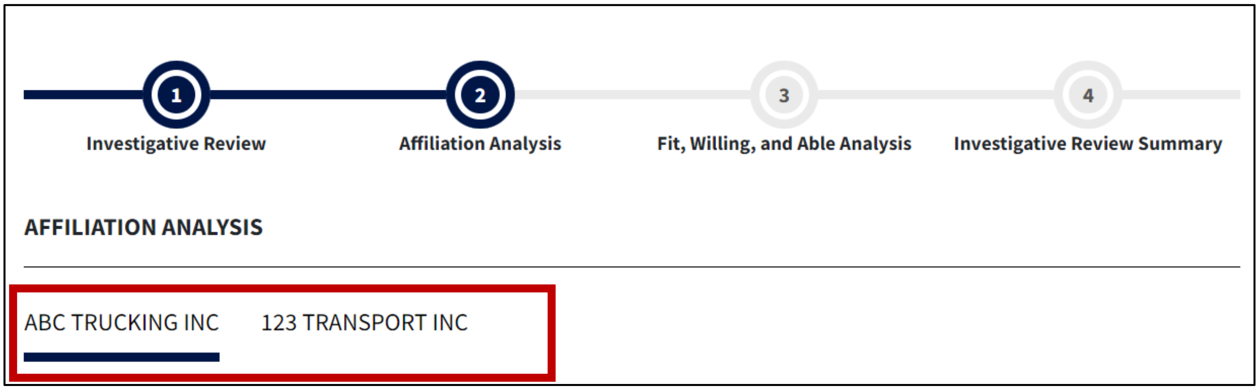


Figure 33: Vetting Worksheet Part B - Step 2: Affiliation Analysis (Multiple Affiliates)

If there is no affiliate:
It is possible, but not common, for no affiliate to have been identified in Part A. However, in such a case URSA could still have identified the record as a self-match (safety issues). In this situation, skip Part B - Step 2 and proceed to Part B - Step 3 below.

6.2.3 Step 3: Fit, Willing, and Able Analysis

This step in the process requires selection of supporting evidence to determines the applicant's fit, willing, and able status based on the connection to the identified affiliate(s). **As with the Affiliate Analysis, you should upload all relevant files to the Supporting Evidence tab of a Vetting Case File before completing this section.** For more information, view the Supporting Evidence Tab section of this document.

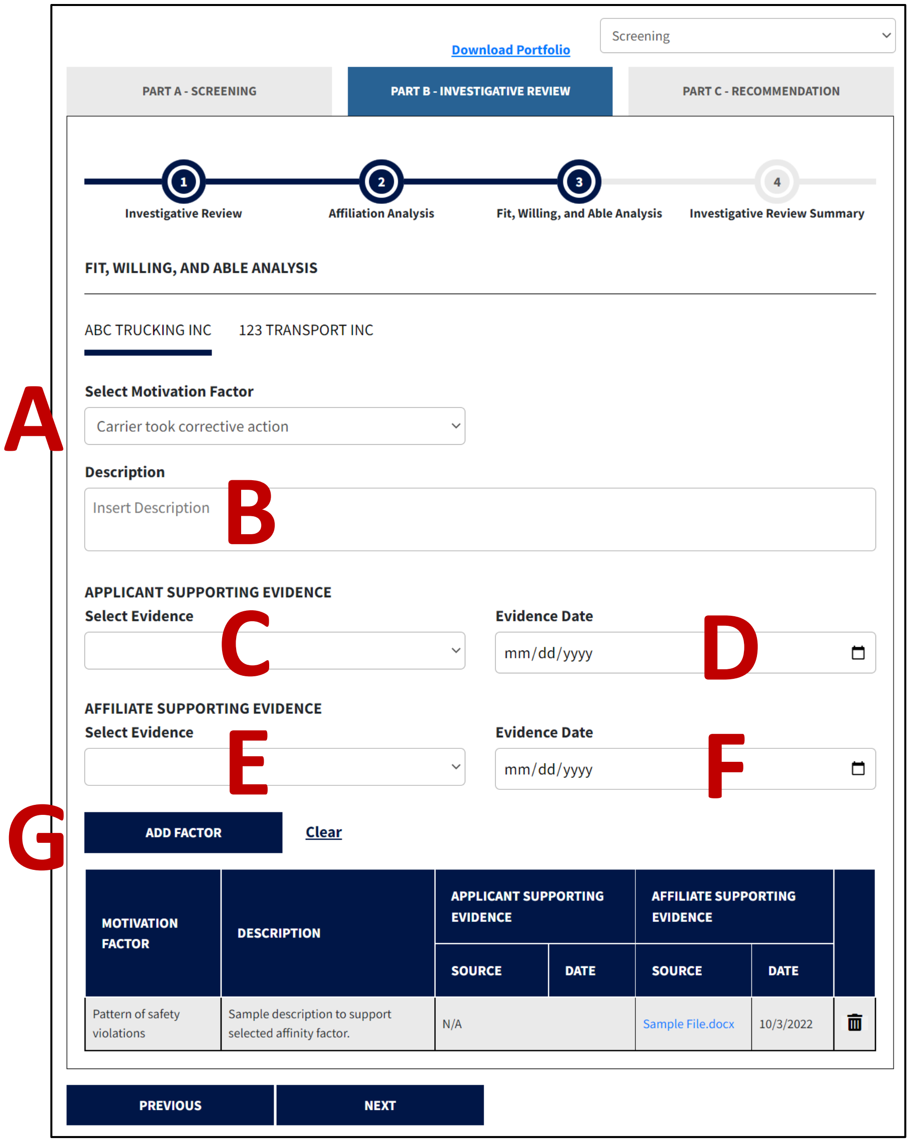


Figure 34: Vetting Worksheet: Part B - Step 3: Fit, Willing, and Able Analysis

A. Select a motivation factor from the dropdown menu.
- A factor can be added multiple times, if needed (e.g., there is more than one piece of evidence for the applicant or the affiliate for that affinity factor).
- There needs to be at least one piece of evidence provided for a selected motivation factor, but there does not need to be evidence for both the applicant and the affiliate.

B. Provide a description to support the selected motivation factor.

C. Select applicant evidence to support the selected motivation factor, if applicable.
- The dropdown menu will display all available files that have been uploaded to the Supporting Evidence tab. If there is no applicant evidence, select **N/A**

D. Enter the date in the text field or click the calendar icon to select the date.
- If there is no applicant evidence, enter today's date. This date will not appear in the supporting evidence table.

E. Select affiliate evidence to support selected motivation factor, if applicable.
   a. The dropdown menu will display all available files that have been uploaded to the Supporting Evidence tab. If there is no affiliate evidence, select **N/A**.

F. Enter the date in the text field or click the calendar icon to select the date.

- If there is no affiliate evidence, enter today's date. This date will not appear in the supporting evidence table.

G. Click **Add Factor**. The motivation factor information will automatically appear in the table below.

If there is more than one affiliate:

Multiple affiliates will be displayed side-by-side in the Fit, Willing, and Able Analysis section. This step must be completed separately for each listed affiliate. Click an affiliate's name to toggle between each affiliate. The selected affiliate will be underlined.

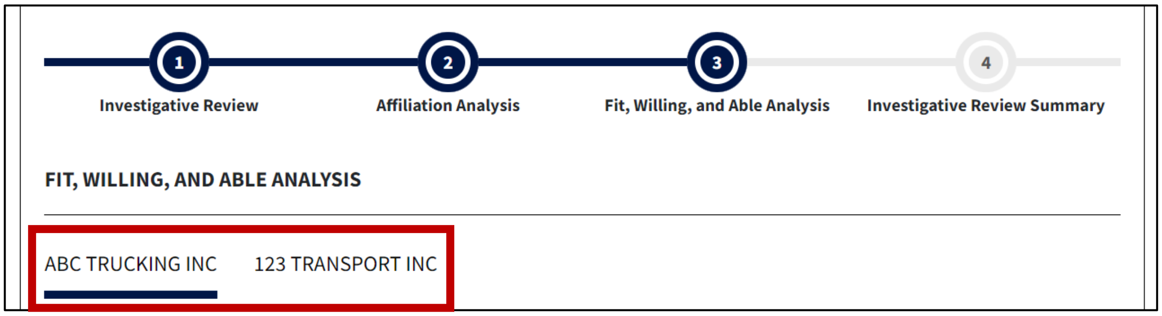


Figure 35: Vetting Worksheet Part B - Step 3: Fit, Willing, and Able Analysis (Multiple Affiliates)

6.2.4 Step 4: Investigative Review Summary

Review the displayed investigative review summary information.

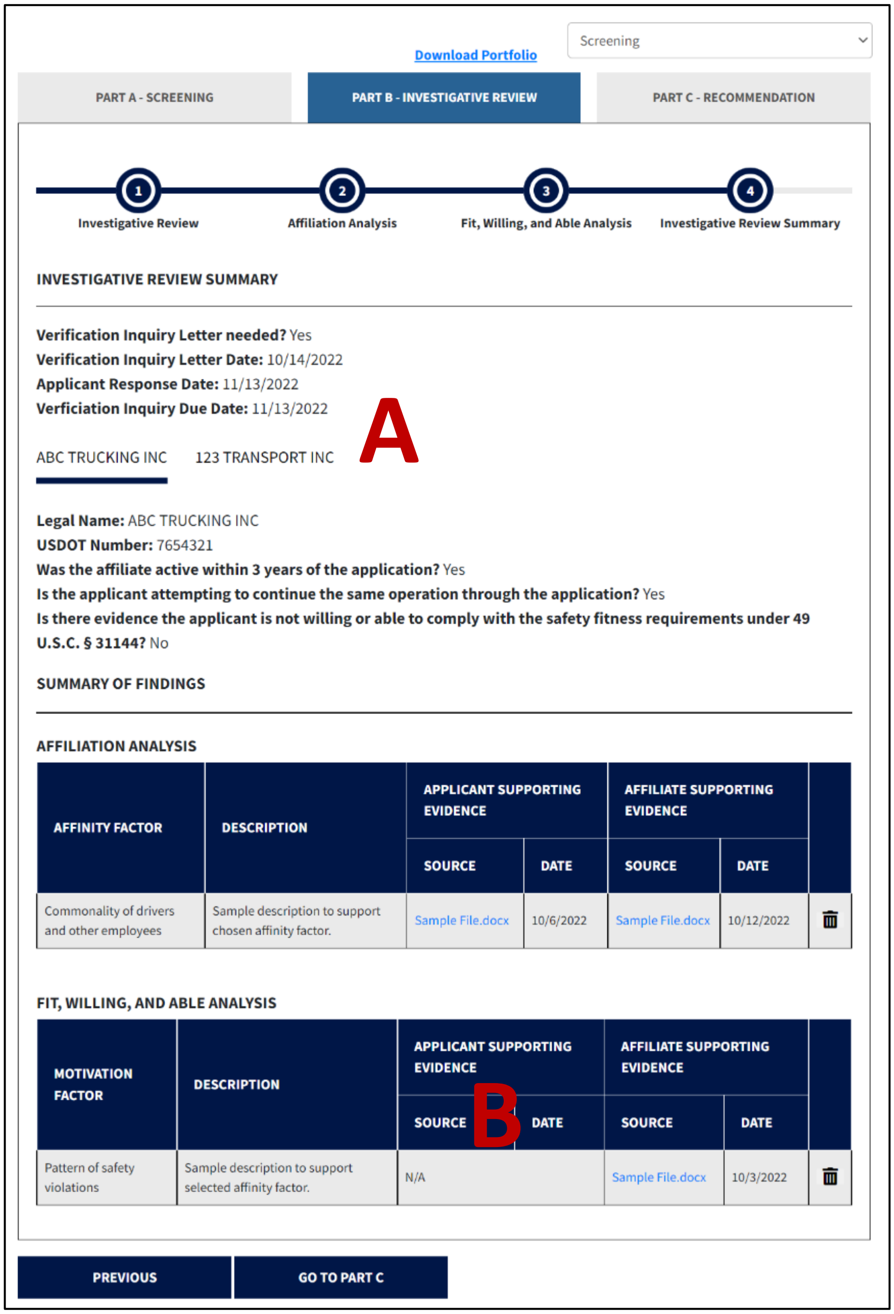


Figure 36: Vetting Worksheet: Part B - Step 4: Investigative Review Summary

- **A.** If there is more than one affiliate, click each affiliate name to switch tabs and review the summary information for each entity.
- **B.** Select **Go to Part C**. This will take you to the final part of the Vetting Worksheet to make a recommendation to accept or reject the application.

6.4 Part C - Recommendation

Determine if the application should be accepted or rejected and complete the associated information field(s).

6.4.1 Accept an Application

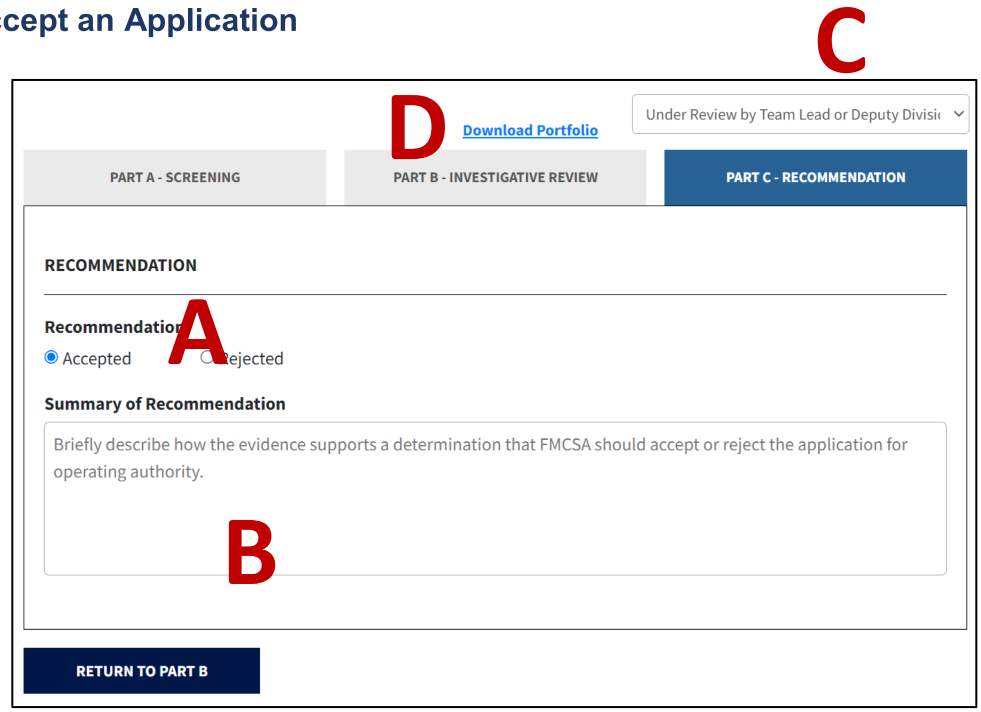


Figure 37: Vetting Worksheet: Part C - Accepted Example

- **A.** Click **Accepted**.
- **B.** Provide a Summary of Recommendation (no character limit).
- **C.** Click the Vetting Status box and select **Application Accepted.**
- **D.** Click **Download Portfolio**.

The final two steps in the acceptance process occur outside of the VMT:

- **E.** Upload the Vetting Portfolio to EDMS. This process automatically updates the application to “accepted” in L&I.
- **F.** Log in to L&I to add a comment in the Licensing Module for the accepted application.

6.4.2 Reject an Application

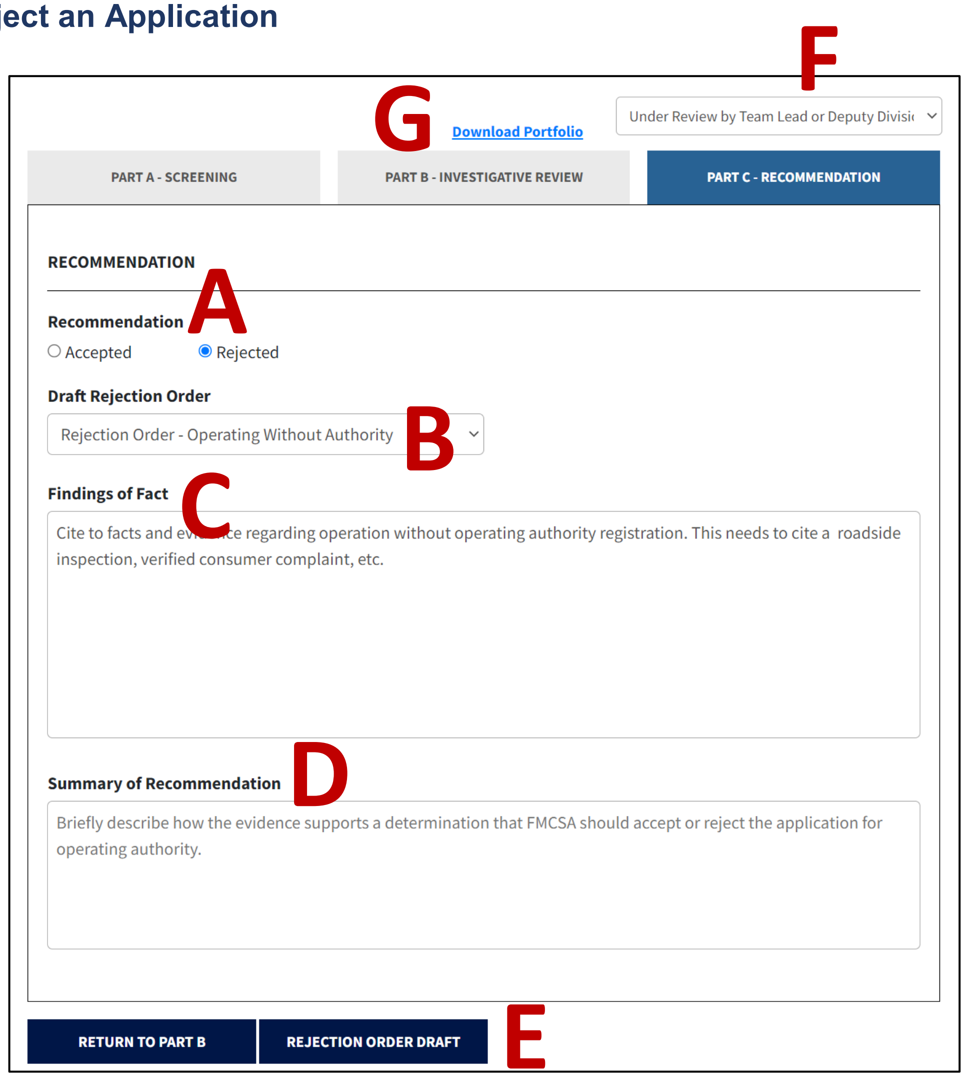


Figure 38: Vetting Worksheet: Part C - Rejected Example

A. Click **Rejected**.
B. Select the appropriate Rejection Order (RO) draft from the dropdown menu.
C. Provide Findings of Fact (no character limit).
D. Provide a Summary of Recommendation (no character limit).
E. Click **Rejection Order Draft**. This will redirect you to the Vetting Letters tab to generate a draft of the appropriate Rejection Order.
F. Once the RO draft has been generated, click the Vetting Status box and select **Under Review by Team Lead or Deputy Division Chief.**
- This status is updated as the application undergoes additional review. Once the application review process is complete and the RO is finalized, it is signed by the Division Chief and sent to the applicant along with a Certificate of Service.

G. Click **Download Portfolio**.

The final two steps in the rejection process occur outside of the VMT:
H. Upload the Vetting Portfolio to EDMS.
I. Log in to L&I to reject the application in the Licensing Module.

7 How to Generate Vetting Letters

7.1 Vetting Letters Overview

There are several opportunities to generate vetting letters during the vetting process. View the table below for an overview of the types of letters, when and why they would be generated, and who signs each letter. Note that if additional information is requested via a vetting letter, the application will not be processed, or authority granted, until the requested information is received.

Table 8: Vetting Letter Types and Descriptions

Letter Type	Description	Signed By
Receipt and Vetting Notice	Once an application for operating authority is identified for further vetting, a Receipt and Vetting Notice (also referred to internally as a “Time Frame Letter”) is sent to the applicant. The letter confirms receipt of the application and notes that it requires an investigation with an estimated timeline of 2 to 6 weeks depending on the level and complexity of the required review. The letter also states that the applicant is not allowed to engage in interstate transportation by commercial motor vehicle until operating authority is officially granted by FMCSA.	Tier 1 Vetter
Materially Incomplete (MI) Notice	If one or more required application items are found to be missing/incomplete during the initial screening, the application is put on hold and an MI letter is sent to the applicant requesting the information. If the requested information is not provided within 30 calendar days from the date the request is sent, the application may be rejected. The VMT generates a follow-up date for the Vetter to reach out to the applicant 15 calendar days from the application file date.	Tier 1 Vetter
Verification Inquiry (VI) Letter	If an application sent for further investigation requires additional information as evidence that the applicant is fit, willing, and able to comply with all applicable statutory and regulatory requirements, a Verification Inquiry letter is sent to the applicant. The requested information must be provided to FMCSA within 30 calendar days of the VI Letter sent date.	Tier 2 Vetter
Rejection Order (RO) – Failure to Disclose	This letter is generated to reject an application because the applicant failed to disclose information about its affiliation with another FMCSA-regulated entity within the past 3 years and is therefore unable to satisfy the statutory and regulatory requirements for registration.	Division Chief
Rejection Order (RO) – Inactive USDOT Number	This letter is generated to reject an application that still has an inactive USDOT Number 60 calendar days after the applicant was instructed to request or reactivate its USDOT Number to meet the statutory requirements for registration under 49 U.S.C. § 13902(a).	Division Chief
Rejection Order (RO) – Materially Incomplete	This letter is generated to reject an application that remains materially incomplete after the applicant was sent a request to submit the missing application information. Without the missing information, there is not sufficient evidence to determine the applicant’s willingness or ability to comply with all statutory and regulatory requirements.	Division Chief

Letter Type	Description	Signed By
Rejection Order (RO) – Operating Without Authority	This letter is generated to reject an application because the applicant provided transportation by motor vehicle for compensation without operating authority registration, as required by 49 U.S.C. § 13901, after the date the application for operating authority registration or reinstatement was submitted.	Division Chief
Rejection Order (RO) – PPOB False or Misleading	This letter is generated to reject an application that lists a false or misleading primary place of business (PPOB). The address provided is not a physical address where the applicant conducts operations and keeps records.	Division Chief
Rejection Order (RO) – Reincarnation	This letter is generated to reject an application submitted by an applicant identified as a reincarnated carrier. The applicant reincarnated to avoid FMCSA orders, regulations, civil penalties, and/or a negative safety compliance history.	Division Chief
Rejection Order (RO) – Safety Fitness	This letter is generated to reject an application because the applicant cannot prove a willingness and ability to comply with the safety fitness, per 49 U.S.C. § 31144, or because the applicant is subject to an Unsatisfactory safety rating.	Division Chief
Grant Letter Recission	This letter is generated to rescind a previously accepted application for operating authority that was incorrectly accepted before FMCSA's review of the application was complete. A new decision will be sent to the applicant once the application review is complete. If needed, the applicant will receive a request to provide any missing information required to process the application.	Division Chief
Recission Order	This letter is generated to rescind a previously rejected application. A new decision will be sent to the applicant once the application has been reviewed further. This recission letter is not a grant of operating authority registration, and the applicant is not authorized to engage in for-hire non-exempt interstate transportation by motor vehicle until such time that FMCSA determines that the applicant satisfies the statutory and regulatory requirements for registration.	Division Chief

7.2 Generate Letters

When applicable, click the **Generate Letters** button to begin the process. This will redirect you to the Vetting Letters tab of the Vetting Case File. Note that Vetting Letters can only be generated one at a time.

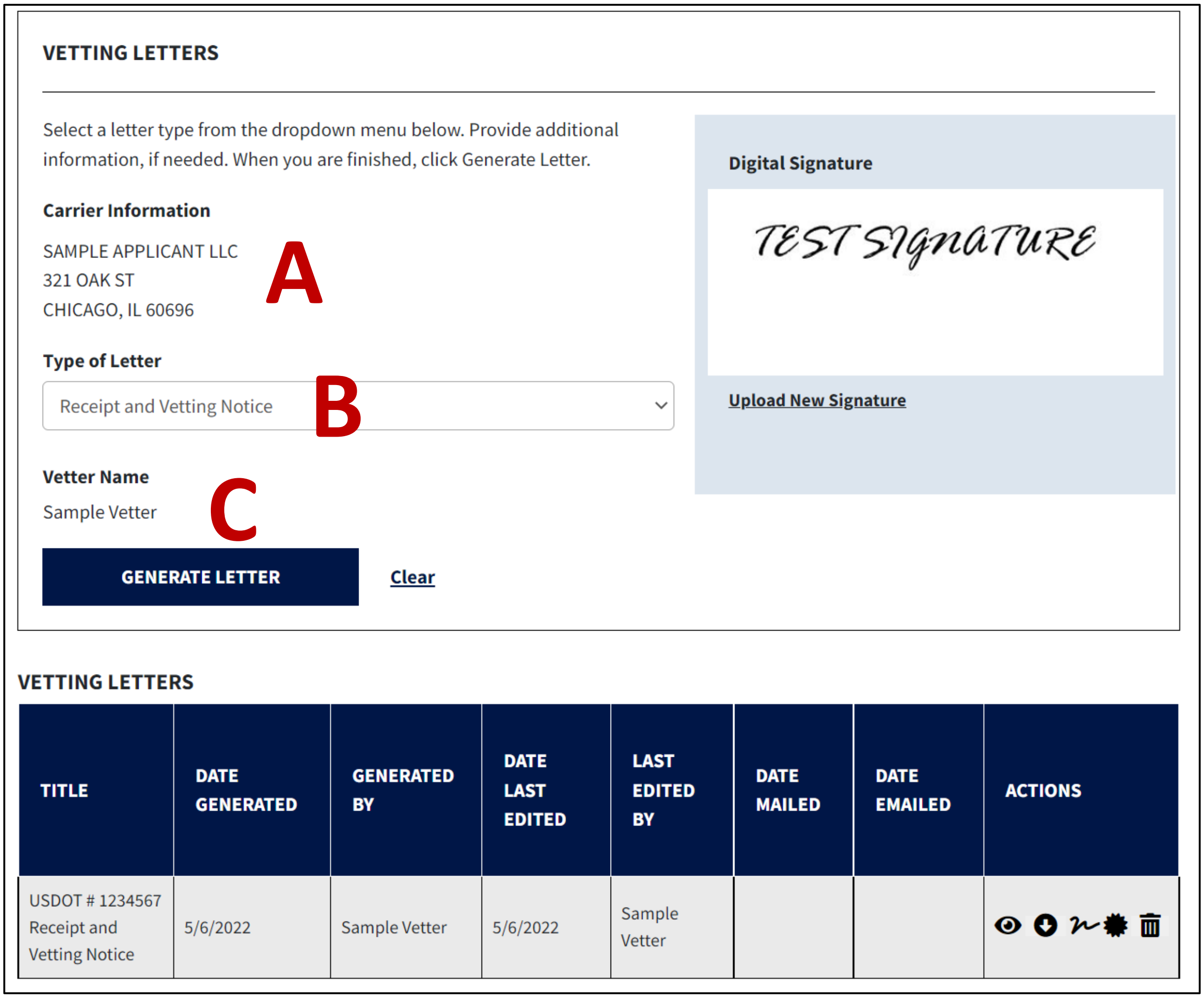


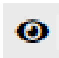
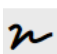
Figure 39: Generate Letter

- **A.** Review the displayed carrier information.
- **B.** Select a letter type from the dropdown menu.
  - If applicable, provide additional information.
    - A Materially Incomplete Notice requires the selection of the missing or incomplete item(s) and the form requested (Form MCS-150 or Form MCSA-5899).
    - All rejection orders require “Findings of Fact” except for a rejection order due to an inactive USDOT Number.
    - The Findings of Fact provided in the Vetting Worksheet is displayed for review and can be edited if needed. This information is auto-populated into the generated rejection order letter.
- **C.** Click **Generate Letter**. This will display a confirmation pop-up. Click **OK** to close the message. The generated letter will now appear in the Vetting Letters table.

7.3 View, Update, and Delete Letters

Use the icons in the actions column of the Vetting Letters table to view, update, and delete generated letters.

Table 9: View, Update, and Delete Letters

ICON	ACTION	DESCRIPTION
	**View**	Click this icon to download and view the latest version of the Word document to your device. All highlighted fields in the letter template need to be reviewed and/or updated. Note that any edits made in the Word document are not automatically updated in the system. You must upload a new version of the file with any changes to the Vetting Letters table.
	**Check Out**	Once you have downloaded the current vetting letter to your device, click this icon to check out (lock) the letter for review. A letter can only be checked out by one user at a time. Other users can access the file again once it has been checked in.
	**Check In**	If no changes are made during your review, click this icon to check in (unlock) an unedited vetting letter.
	**Update**	If changes are made during your letter review, click this icon to replace a generated letter with an updated version. In the pop-up window, click **Choose File** and select the updated document on your device. Click **Upload** to complete the process.
	**Delete**	Click this icon to remove a file from your Vetting Letters table. Click **Delete** in the pop-up window to confirm that you want to delete the letter.
	**Sign**	Click this icon to digitally sign a vetting letter. View the Digital Signatures section below for more information.
	**Sign**	Click this icon to digitally sign a Certificate of Service. View the Digital Signatures section below for more information.

Draft Letter Review

Click **View** (to download/view the letter) and then click **Check Out** (to lock the file for review).

- If there are no changes, click **Check In** to unlock the unedited file.
- If changes are made, click **Update** to replace the file. In the pop-up window, Select the updated file from your device. Click **Upload** to complete the process. The selected file is checked in and replaces the previous letter.

7.4 Digital Signatures

All Vetting Letters require a digital signature when the final version is ready to send to the applicant. The type of letter will determine who is responsible for providing a digital signature. View the Vetting Letters Overview section of this document for more information. All rejection orders should be signed by the Division Chief (DC). In some cases, the DC may temporarily appoint another management user to assume this responsibility, typically the Deputy Division Chief (DDC). Certain letters also contain a Certificate of Service that must be signed by the user who is mailing the letter.

7.4.1 Upload Digital Signature

You can add an image of your signature to your VMT account to use for signing vetting letters. From the Vetting Letters tab, click **Upload New Signature**.

In the pop-up window, click **Choose File** and select the image of your signature from your device. Click **Upload Signature** to complete the process. Your digital signature will now appear in the upper right-hand corner of the web page.

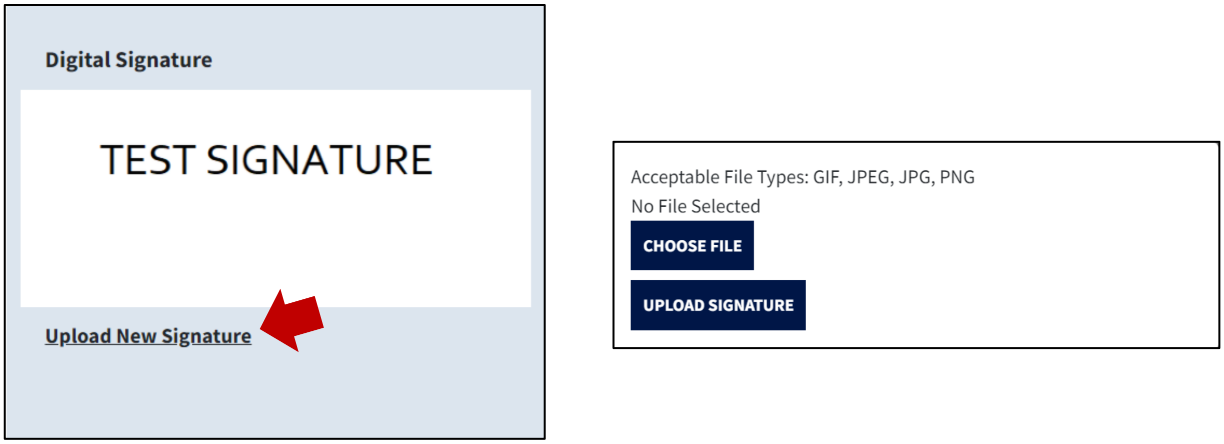


Figure 40: Figure 40: Upload New Signature

7.4.2 Sign a Vetting Letter

To sign a vetting letter, click the **sign icon** [ ] in the actions column of the Vetting Letters table for the appropriate file. This will download the letter to your device and auto-populate your saved digital signature into the file. Save the letter to your device, review, and confirm your signature has been added. When you are ready, click the **update icon** [ ] to replace the document with the signed version.

7.4.3 Sign a Certificate of Service

A Certificate of Service must be signed by the user who is mailing the letter. To sign a Certificate of Service, click the **sign icon** [ ] in the actions column of the Vetting Letters table for the appropriate file. This will download the letter to your device and auto-populate your saved digital signature into the file. Save the letter to your device, review, and confirm your signature has been added.. Click the **update icon** [ ] to replace the document with the signed version.

8 Notifications

You can select to receive notifications within the VMT, via email, or both. Notifications are sent when an application requires your attention. Use the **Menu** tab to view all your VMT notifications and set preferences.

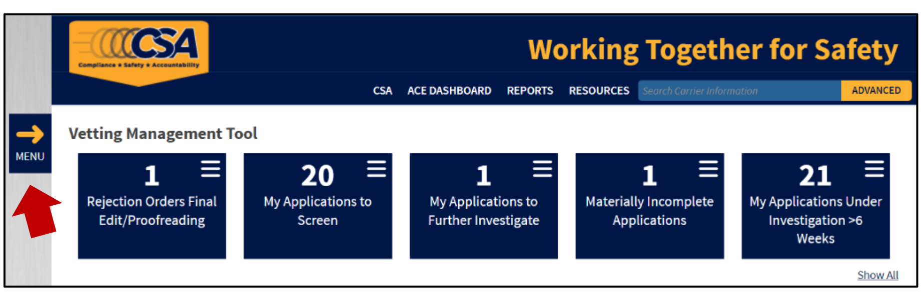


Figure 41: Menu Tab

8.1 View All Notification Options

From the Menu tab, click **View All Notifications**. This will display a pop-up window of all your notifications within the VMT (Figure 41). Click a notification to access the related application.

You will be redirected to the Vetting Case File for the application. Click the "**X**" icon to exit without selecting a notification.

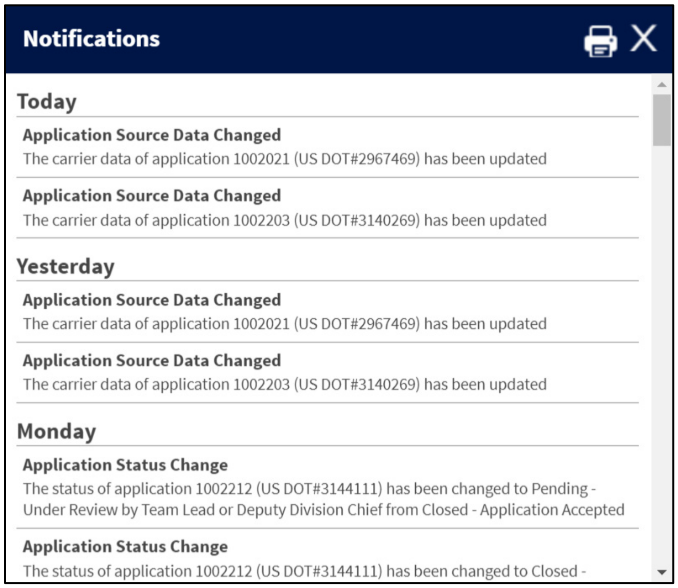


Figure 42: View All Notifications

8.2 Set Preferences

From the Menu tab, click **Set Preferences**. This will display a summary of your current notification settings (Figure 42).

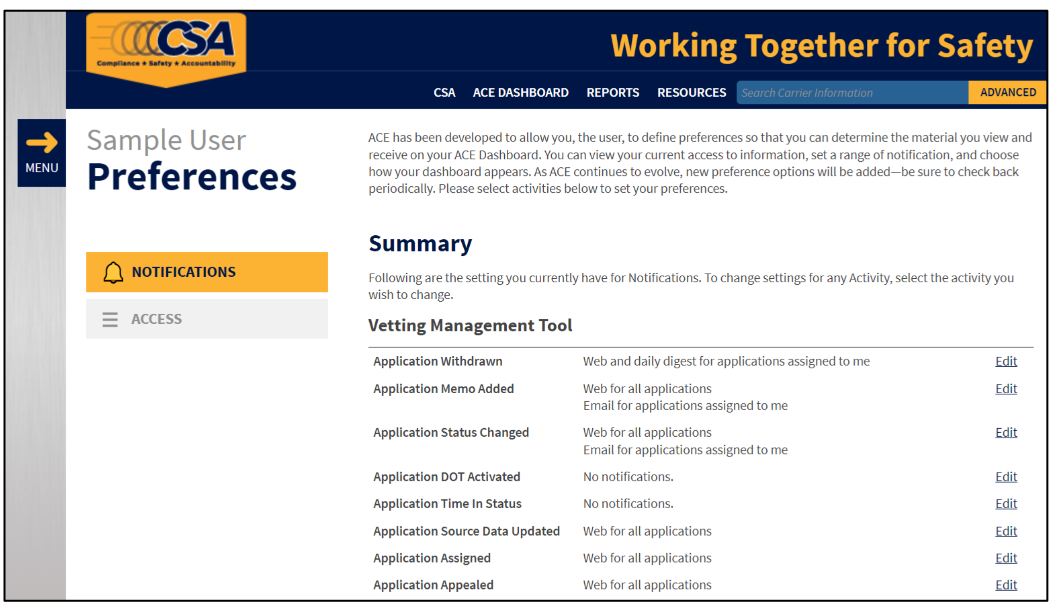


Figure 43: Set Notification Preferences

All notifications can be set to display within the VMT, send as an email to the VMT user, or both. Click **Edit** to view and/or update the settings for each listed notification. There are four specific notification settings available for each item:

- **Web:** This option provides notification alerts within the VMT through a bell icon on your VMT Dashboard.

- **Email:** This option sends an individual email for each notification to the email address associated with your VMT account.
- **Daily Digest:** This option emails a daily notification summary to the email address associated with your VMT account.
- **Weekly Digest:** This option emails a weekly notification summary to the email address associated with your VMT account.

8.3 Types of Notifications

View the table below for an overview of the different types of VMT notifications and when they are displayed in the tool.

Table 10: Notification Types and Descriptions

Category	Subject	Notification Type	Description
Application Withdrawn	**Application Withdrawn**	Application has been withdrawn in L&I	A motor carrier's application has been withdrawn.
Application Memo Added	**Application Memo Added**	Memo created by someone other than assigned user	Another VMT user has added a memo to the Vetting Case File for one of your assigned cases.
Application Status Change	**Rejection Order Rescinded**	Vetting Case File status has been updated to "Rejection Order Rescinded"	The Vetting Case File status for this case has been updated to "Rejection Order Rescinded."
	Rejection Order Upheld	Vetting Case File status has been updated to "Rejection Order Upheld"	The Vetting Case File status for this case has been updated to "Rejection Order Upheld."
	Application Rejected	Vetting Case File status has been updated to "Application Rejected"	The Vetting Case File status for this case has been updated to "Application Rejected." Please update the appropriate systems.
	Application is Under Review by Division Chief	Vetting Case File status has been updated to "Under Review by DC"	The Vetting Case File status for one of your assigned cases has been updated to "Under Review by DC."
Application DOT Activated	**USDOT# is Now Active**	Vetting Case File status has updated from "Pending - Inactive USDOT" to "Tier 1 Screening"	This applicant's USDOT Number was previously inactive but is now active. The Vetting Case File status for this case has been updated to "Tier 1 Screening."
Application Time In Status	**Vetting Case File Open for 6 Weeks**	Application file date to current date exceeds 6 weeks or 30 working days and application is still in a Pending Status (Excluding time spent with status of Materially Incomplete")	The Vetting Case File for this case has been open for more than 6 weeks.
	Materially Incomplete Application Due for a Follow-up	Vetting Case File status of "Materially Incomplete" exceeds 3 weeks or 15 working days	It has been 3 weeks since a Materially Incomplete Notice was sent to this applicant. They are due for a follow-up.

Category	Subject	Notification Type	Description
Application Time In Status	**Materially Incomplete Application is Overdue**	Vetting Case File status of "Materially Incomplete" exceeds 30 calendar days	It has been 30 calendar days since a Materially Incomplete Notice was sent to this applicant. They are now overdue.
Application Time In Status	**Vetting Case File has been in Tier 2 Vetting for over 15 Working Days**	Vetting Case File status of "Tier 2 Vetting" exceeds 15 working days	The Vetting Case File for this case has had the status of "Tier 2 Vetting" for over 15 working days.
	Vetting Case File has been in Tier 2 Vetting for over 20 Working Days	Vetting Case File status of "Tier 2 Vetting" exceeds 20 working days	The Vetting Case File for this case has had the status of "Tier 2 Vetting" for over 20 working days.
	Vetting Case File has been in Tier 2 Vetting for over 30 Working Days	Vetting Case File status of "Tier 2 Vetting" exceeds 30 working days	The Vetting Case File for this case has had the status of "Tier 2 Vetting" for over 30 working days.
	Vetting Case File has been in Tier 1 Vetting for over 5 Working Days	Vetting Case File status of "Tier 1 Vetting" exceeds 5 working days	The Vetting Case File for this case has had the status of "Tier 1 Vetting" for over 5 working days.
	Vetting Case File has been Under Review by TL/DDC for over 5 Working Days	Vetting Case File status of "Under Review by TL/DDC" exceeds 5 working days	The Vetting Case File for this case has had the status of "Under Review by TL/DDC" for over 5 working days.
	Verification Inquiry is Overdue	Vetting Case File status of "Verification Inquiry Letter Sent" exceeds 30 calendar days	It has been 30 calendar days since a Verification Inquiry Letter was sent to this applicant. They are now overdue.
Application Source Data Updated	**L&I Applications Ready**	L&I Applications ready for running through MCQ	L&I list of applications is ready. You can now download the list and run the applications through the Multiple Carrier Query (MCQ) Tool.
	Motor Carrier Information Changed	Information about the Motor Carrier from L&I or MCMIS has changed	New motor carrier information has been provided from Licensing and Insurance (L&I) or the Motor Carrier Management Information System (MCMIS) for one of your assigned cases.
Application Assigned	**Application Assigned**	Vetting Case File was assigned to a user	You have been assigned a new Vetting Case File.
Application Appealed	**Application Appealed**	Vetting Case File status has been updated to "Case Appealed"	The Vetting Case File status for this case has been updated to "Case Appealed."

8.4 How to View Your Notifications within the VMT

If you choose to receive notifications within the VMT, you can view a list of all notifications from your ACE Dashboard. To access your notifications list, click the **bell icon**. Note that notifications are not immediate; however, your Vetting Dashboard will update as soon as an application is assigned to you.

9 Glossary and Acronyms

View the tables below for an overview of key terms, definitions, and acronyms used in the VMT.

9.1 Glossary

Term	Definition
Activity Center for Enforcement (ACE)	ACE is an enhanced IT system to support the new risk-based prioritization approach. Designed as a prototype that will evolve based on user feedback. It is a "one-stop shop" for the tools and information that enforcement personnel use to do their important jobs. From the personalized ACE homepage or "dashboard," users can: • Make and view assignments • Access comprehensive, consolidated information about carriers • View reports • Find resources such as program news, job aids, policy documents, and outreach and training materials • Track and manage consent agreements
Affiliate	Refers to an entity with an established connection to the applicant where there is supporting evidence of an affiliation. This term is used during "Part B – Investigative Review" of the Vetting Worksheet. Also referred to as a "Chameleon."
Associated Entity	An entity that is considered a potential affiliate and needs to be investigated. This term is used during "Part A – Screening" of the Vetting Worksheet.
Certificate of Service	A signed certification within certain vetting letters that serves as proof that the letter has been mailed to the applicant.
Compliance, Safety, Accountability (CSA)	CSA is FMCSA's data-driven safety compliance and enforcement program designed to improve safety and prevent commercial motor vehicle (CMV) crashes, injuries, and fatalities. The Vetting Management Tool is hosted on the Activity Center for Enforcement (ACE) Dashboard of the CSA website.
"Doing Business As" (DBA) Name	A company name used to conduct any business and/or collect money other than a company's legal name. **If a motor carrier is merely changing or adding a DBA name, those changes only require an updated Form MCS-150 to include the new DBA name, and any other DBA name used by the motor carrier.**
Disposition	See Vetting Recommendation.

Term	Definition
Electronic Document Management System (EDMS)	EDMS is the central repository for FMCSA documents. It allows for the storage and retrieval of documents, including compliance review; enforcement case; and safety audit documents, in a paperless environment. EDMS does include distributed client software to support the scanning process. Inputs include both scanned and electronically generated documents**.**
Findings of Fact	Evidence to support that 1) the applicant and identified affiliate(s) share common ownership, common management, or a close familial affiliation relationship; and 2) that the affiliation was within 3 years of the application for operating authority registration. At a minimum, facts should include the name(s) of any individual(s) involved in the management, ownership, control, or day-to-day operations of both entities
Investigative Review	An in-depth review of screened applications identified for further investigation during the screening process. This includes an affiliation analysis as well as a fit, willing, and able analysis.
Legal	Refers to legal counsel working with the Vetting Team to review cases. All Safety Fitness and Reincarnation cases require legal review.
Licensing and Insurance (L&I)	An FMCSA database that contains the real-time, up-to-date licensing and insurance information about authorized for-hire motor carriers, freight forwarders and property brokers. Licensing application and insurance information will appear on this web site as soon as it is manually entered into the L&I database by FMCSA staff or electronically filed by authorized insurance filers.
Materially Incomplete (MI) Notice	An application is considered materially incomplete if it is missing required information. The Vetting Team member assigned to the application must request the missing information from the applicant via a Materially Incomplete (MI) Notice. The applicant has 60 calendar days from the date of the letter to provide the missing information. After 15 calendar days, FMCSA will follow up with the applicant as a reminder. If the requested information is not provided within the 30-day time frame, FMCSA may reject the application. Note that no additional screening can occur while an application is considered materially incomplete.
MC-RS	The FMCSA Office of Registration & Safety Information.
MCSA-1 Form	The online application for USDOT Number/Operating Authority Registration. This electronic form replaced the MCS-150 and is the result of the implementation of the Unified Registration System (URS). A new applicant must file the Form MCSA-1 before beginning operations. In addition, all for-hire motor carriers, brokers and freight forwarders must file this form electronically to notify the Agency of a transfer of operating authority registration and provide a copy of the operating authority registration being transferred.

Term	Definition
Motor Carrier Management Information System (MCMIS)	MCMIS is an information system that captures data from field offices through SAFETYNET, CAPRI, and other sources. MCMIS utilizes an Oracle database with a web front-end access. It is a source for FMCSA inspection, crash, compliance review, safety audit, and registration data.
Multiple Carrier Query (MCQ) Tool	An add-on after URSA is deployed to run more than one USDOT Number at a time through the system.
New Applicant Screening (NAS) Tool	The New Applicant Screening tool is used to review applications for passenger carrier operating authority, along with manual processes, to determine if a new applicant motor carrier is affiliated with any other motor carrier in FMCSA's databases along various data fields such as company name, address, phone number, applicant name, etc.
Operating Authority	Operating authority dictates the type of operation a company may run and the cargo it may carry. The type(s) of operating authority requested will impact the type and level of insurance that is required by FMCSA. As of December 12, 2015, first-time applicants who have never registered with FMCSA before and have not been issued a USDOT Number need to register via URS.
OP-1 Form	A paper application for Motor Property Carrier and Broker authority submitted to FMCSA's contact center (Senture). As of December 12, 2015, OP-series forms can ONLY be used to apply for additional authorities, not for initial registration with FMCSA. First time applicants are required to register using URS.
Out-of-Service (OOS)	A motor carrier or driver with this status issued by FMCSA or law enforcement is prohibited from operating a commercial motor vehicle.
Principal Place of Business (PPOB)	Applicants for FMCSA operating authority registration must designate a PPOB as defined in 49 CFR § 390.5. The PPOB must be a single, physical location where the motor carrier will make available for inspection records.
PAX Form	A paper application for Passenger Carrier authority. Also referred to as an OP-1(P) form.
Proofreader	This VMT user role is assigned to members of the Vetting Team responsible for proofreading Rejection Order drafts. The proofreader reviews/edits any free text sections and ensures the format is correct before the final draft of the document is signed.
Query Central (QC)	QC is a web-based application that retrieves safety compliance and enforcement data on commercial motor vehicle drivers, vehicles, and carriers from multiple sources using a single input. The response data is analyzed and summarized before being presented in the user's browser. Response data can also be downloaded to pre-populate Aspen. Data sources include MCMIS, SAFER, L&I, PRISM, CDLIS, SCT and LIFIS (SCT and LIFIS contain Mexican carrier and driver information).

Term	Definition
Receipt and Vetting Notice	Known internally as a "Time Frame Letter," this notice is sent to applicants whose application for operating authority is identified for further investigation.
Rejection Order (RO)	A letter that rejects an application for operating authority for one of the following reasons: 1. Failure to Disclose: The applicant failed to disclose information about its affiliation with another FMCSA-regulated entity within the past 3 years 2. Inactive USDOT Number: The applicant still has an inactive USDOT Number 60 calendar days after the applicant was instructed to request or reactivate its USDOT Number 3. Materially Incomplete: The application remains materially incomplete after the applicant was sent a request to submit the missing application information 4. Operating Without Authority: The applicant provided transportation by motor vehicle for compensation without operating authority registration 5. PPOB False or Misleading: The application lists a false or misleading primary place of business (PPOB) 6. Reincarnation: The application was submitted by an applicant identified as a reincarnated carrier attempting to avoid FMCSA orders, regulations, civil penalties, and/or a negative safety compliance history. 7. Safety Fitness: The applicant cannot prove a willingness and ability to comply with the safety fitness, per 49 U.S.C. § 31144, or because the applicant is subject to an Unsatisfactory safety rating.
Screening	The initial assessment of an application identified as high risk by the Utility for Risk-Based Screening and Assessment (URSA). This includes a review of an application for completeness and correctness as well as a review of Agency systems/public information showing evidence of whether the applicant has a negative safety history or not.
Self-Match	Refers to an applicant who doesn't have any affiliate(s) but there are still safety issues.
Tier 1	Users in this VMT user role, known as Tier 1 Vetters, complete the initial assessment (screening) of an application identified as high risk by URSA. This screening includes a review of an application for completeness and correctness as well as a review of Agency systems/public information showing evidence of whether the applicant has a negative safety history or not. If further investigation is needed, the application is reassigned to a Tier 2 Vetter.

Term	Definition
Tier 2	Users in this VMT user role, known as Tier 2 Vetters, conduct an in-depth review of screened applications sent for further investigation and are experts in researching high-risk behavior. Tier 2 Vetters may serve as backups for Tier 1 Vetters, if needed.
Tier 3	This VMT user role is assigned to the Team Lead (TL), Deputy Division Chief (DDC), Division Chief (DC), and Director. Team Lead: Reviews rejection cases and sends cases for further management review and signature. The TL may serve as backup for Tier 1 and Tier 2 Vetters and the DDC. Deputy Division Chief: Reviews rejection cases, sends cases for further management review and signature, and signs rejection orders. The DDC may serve as backup for Tier 1 and Tier 2 Vetters, the Team Lead, and the Division Chief. Division Chief: Reviews rejection cases, sends cases for further management review and signature (if needed), and signs rejection orders. Director: Can complete all the same actions as the Division Chief.
Time Frame (TF) Letter	See Receipt and Vetting Notice.
Unified Registration System (URS)	URS is an electronic on-line registration system that collects info from new carriers who want a USDOT Number and serves as a clearinghouse and depository of information. The URS combines multiple registration processes and information technology systems into a single, electronic online registration process. As of December 12, 2015, first-time applicants who have never registered with FMCSA before and have not been issued a USDOT Number need to register via URS.
Unsatisfactory (UNSAT) Safety Rating	A proposed safety rating of "Unsatisfactory" is notice to the motor carrier that the FMCSA has made a preliminary determination that the motor carrier is "unfit" to continue operating in interstate commerce, and that the prohibitions in 49 CFR § 385.13 will be imposed after 45 or 60 days, depending on the carrier type, if necessary safety improvements are not made. Applications for passenger operating authority after rescission of an Out-of-Service Order (OOSO) resulting from an Unsatisfactory (UNSAT) Safety Rating are not included in these Vetting standard operating procedures. Passenger applications after rescission of an OOSO due to UNSAT must be referred to the Office of Enforcement and Compliance (MC-EC) for review.
USDOT Number	A number FMCSA assigns to registered commercial vehicles that serves as a unique identifier when collecting and monitoring a company's safety information acquired during audits, compliance reviews, crash investigations, and inspections.

Term	Definition
Utility for Risk-Based Screening and Assessment (URSA)	URSA is a software tool that compares new applicant data from URS to existing entities in the Motor Carrier Management Information System (MCMIS). It calculates a risk potential based on the likelihood that an applicant for operating authority is attempting to reincarnate, or otherwise obtain authority illicitly. The tool assigns an Affinity Score, based on a measure of the "match" between the applicant and existing carriers based on applicant data, and a Motivation Score based on a measure of the potential that a carrier poses a high safety risk and is likely to want to reincarnate. With this tool, FMCSA is now screening 100 percent of all new applicants seeking operating authority.
Verification Inquiry (VI) Letter	Additional information requested from an applicant that directly relates to resolving a material fact that may have an impact on the applicant obtaining their operating authority must be obtained in writing via a Verification Inquiry (VI) Letter. The VI process takes a total of 30 calendar days, mainly in part because letter must be mailed to the applicant. This time frame accounts for 10 calendar days for FMCSA's letter to reach the applicant, 10 calendar days for the applicant to respond, and 10 calendar days for the applicant's letter to reach FMCSA.
Vetting	Refers to the overall process of reviewing applications for operating authority.
Vetting Case File	The area of the VMT that hosts the following information for each application: Vetting Case File Summary, Vetting Worksheet, Vetting Letters, Supporting Evidence, and Memos.
Vetting Management Tool (VMT)	A digital management system to support the vetting process for applications for operating authority.
Vetting Portfolio	A compilation of all the information collected for a vetted application.
Vetting Recommendation	A decision made in Part C of the Vetting Worksheet to accept or reject an application based on the information uncovered during the screening and investigative review. This recommendation is referred to internally as a "disposition."
Vetting Worksheet	The Vetting Worksheet contains three sections: Part A – Screening, Part B – Investigative Review, and Part C – Recommendation. Part A – Screening is completed by a Tier 1 Vetter. If needed, a Tier 2 Vetter completes Part B – Investigative Review and Part C – Recommendation.

9.2 Acronyms

Acronym	Meaning
ACE	Activity Center for Enforcement
CSA	Compliance, Safety, Accountability Program
DBA Name	"Doing Business As" Name
EDMS	Electronic Document Management System
L&I	Licensing and Insurance

Acronym	Meaning
MCMIS	Motor Carrier Management Information System
MCQ Tool	Multiple Carrier Query Tool
MI	Materially Incomplete
NAS Tool	New Applicant Screening Tool
OOS	Out-of-Service
PAX	Passenger Carrier Authority
PPOB	Primary Place of Business
QC	Query Central
RO	Rejection Order
SA	Safety Audit
SFD	Safety Fitness Determination
TF Letter	Time Frame Letter
UNSAT Safety Rating	Unsatisfactory Safety Rating
URS	Unified Registration System
URSA	Utility for Risk-Based Screening and Assessment
VI	Verification Inquiry
VMT	Vetting Management Tool

10 FAQs

Can I leave the Vetting Worksheet to complete another action in the VMT without losing my progress?

Yes. Users can leave the Vetting Worksheet to complete another action (e.g., generate a letter, upload supporting evidence, add a memo, etc.) and return to the same part of the worksheet with their data saved. Note, the only exception to this feature is for the open text fields in Part B of the worksheet for the Affiliate Analysis and Fit, Willing, and Able Analysis. You must complete the upload process for a piece of supporting evidence before leaving these sections of the worksheet or your description to support the selected affinity factor will not save.

For the Investigative Review step in Part B of the Vetting Worksheet, how can I tell which affiliate's information is displayed?

When an affiliate is selected, the box containing the affiliate's name will change to dark blue (to match the applicant name). Unselected affiliate names are gray boxes. By default, information for the applicant and the first listed affiliate is displayed. To view information for a different affiliate, click the affiliate's name. See the Part B – Investigative Review section of this document for more information.

For both the Affiliate Analysis and Fit, Willing, and Able Analysis steps in Part B of the Vetting Worksheet, how can I tell which affiliate's information is displayed?

Unselected affiliate names are gray boxes. When an affiliate is selected, the affiliate's name will be underlined with a dark blue line. By default, the first listed affiliate is displayed. To view information for a different affiliate, click the affiliate's name. See the Part B – Investigative Review section of this document for more information.

Who is considered the "assigned user" for an application?

The assigned user, as shown in the "Assigned User" column of the Vetting Case File Grid, represents the Vetting Team member who is responsible for coordinating the final outcome of the case. In most cases, this will be the Tier 2 Vetter who was assigned to further investigate the application. If an application is not sent for further investigation, the assigned user will be the Tier 1 Vetter who completed the screening.