



# | Loading Authority (OT-5) FAQs

## **What is Loading Authority (OT-5) and why do I have to fill out a Loading Authority (OT-5) application?**

Loading Authority (OT-5) governs the use of private equipment. Loading Authority (OT-5) requires that controlling entities (owners or lessees) of Private Tank Cars and Private Cars Other Tank Cars apply for loading authority which helps aid in capacity planning for each railroad. The Loading Authority (OT-5) web application allows users to submit an application for each car to as many railroads as required, and include all of the commodity and loading location information required by the AAR in [Circular OT-5-K](#).

## **Who should submit Loading Authority (OT-5) applications?**

This is outlined by the actual circular. It states that “The controlling entity (owner or lessee) must apply for loading authority.” Controlling entity has been interpreted by some as meaning the party in the best position to know the movement information of the equipment. For this reason, shippers may be the ones registering cars. Only one of these parties must register the equipment on a Loading Authority (OT-5) application.

## **What SSO permissions are needed or allowed in Loading Authority (OT-5)?**

Submitters are only given the Loading Authority (OT-5) Submitter permissions. Submitters are never granted Approver or Reviewer access. Submitters are car owners, lessees, or shippers. Submitter marks are always either private marks (ending in X, example: GATX, NATX, etc.) or company IDs (created by Railinc for organizations that do not qualify for a private mark).

Approvers and reviewers are Railroads. Any mark other than those ending in X (private marks) or U (container marks) or a Railinc Company ID (ex. C123) is a railroad mark. Railroads determine who needs to analyze what is on a Loading Authority (OT-5) application. There may be multiple users at each road that need to look at one single application from a submitter. Railroad users can be granted either Approver or Reviewer access, but not both.

Equipment Owner Admin is granted to an equipment owner only and will not be granted along with Approver or Reviewer permissions. This permission allows the equipment owner to delete their equipment from OT-5 applications.

## **Is there a fee or contract for the use of Loading Authority (OT-5)?**

No, but a company ID is required if a user does not have a mark. Refer to the [Railinc Price List](#) or contact the Railinc Customer Success Center for more information.

## **Why is a company ID required? Who handles processing the forms and how should cases be assigned?**

Company IDs are used as identifiers across all Railinc applications. It is important to note that obtaining a company ID is separate from the use of the Loading Authority (OT-5) application and is required in a broader sense to take part in many railroad industry processes. A company ID is a non-equipment owner identifier and is used as an ID for all electronic interfaces between railroads, their customers, and Railinc systems and files.

## **Should cars shipped to more than one destination be registered for all destinations?**

Loading Authority (OT-5) requires that shipment origins be provided. Destinations are not required.

## **When information on the registration changes, how is the registration updated?**

Applications that have been approved by the carriers can be amended and resubmitted. Changes in Umler or the Customer Identification File will result in automatic changes to the application.

**Who should complete the registration for sub-leased cars?**

The circular states, "The controlling entity (owner or lessee) must apply for loading authority." The entity with the best knowledge of how the cars will be loaded should complete the loading application.

**Do third party agents need the Railinc ID of the controlling entity to register cars?**

Railinc recommends that ID's not be shared. Third party agents can register for a Railinc ID. If a third party wants to register under the company for which they are agent, the third party will need a Letter of Authority or a contact in FindUs.Rail listing them as the agent. There is no requirement that the controlling entity's ID be used in the registration process.

**Does Loading Authority (OT-5) apply to Class II and III railroads?**

Yes, Loading Authority (OT-5) applies to all subscribers to the Car Service and Car Hire Rules.

**Does Loading Authority (OT-5) apply to shippers located in Canada and Mexico?**

Yes, Loading Authority (OT-5) applies to all subscribers to the Car Service and Car Hire Rules. Shippers in Canada and Mexico must request loading authority.

**How can cars be registered if specific loading points are not known?**

Cars should be registered for the possible loading points.

**What will happen if a car is loaded without the proper registration?**

The occasional loading of a private car or private tank car that is not listed on a Loading Authority (OT-5) application will be left up to the parties involved. Applicable tariffs or agreements should govern this circumstance.

**How should fleets with a variety of lease expiration dates be handled?**

Either a single registration can be completed to encompass all the cars involved without regard to lease expiration or a separate registration can be completed for each lease. A single registration will require more frequent updates to reflect lease expiration. Separate registrations will require the completion of more than one registration.

**How frequently should Loading Authority (OT-5) applications be completed?**

A Loading Authority (OT-5) application once submitted and approved by a railroad can stay in effect for up to ten years. A calendar feature that is available when a submitter logs onto the application form allows the submitter to pick a start and end date, as long as it is not greater than ten years in duration.

**Can cars loaded at more than one location served by more than one carrier and used to ship more than one commodity be registered on a single application?**

Yes, the Loading Authority (OT-5) system will accommodate multiple commodities, loading locations, and carriers in a single application.

**Can a car be on more than one application at a time?**

A car can only be on one application in the Loading Authority (OT-5) system for a carrier at a time. The requirement means that as cars change service, the Loading Authority (OT-5) application needs to be updated.

**When can equipment be added to a different Loading Authority (OT-5) application?**

When a submitter expires an application, they can add the equipment listed on that application to a different application the next day. When an equipment owner uses the Owner Admin menu item to delete equipment from all applications, the equipment can be added to a different application immediately.

**Should the Loading Authority (OT-5) application be changed to reflect changes in how a car will be used? For example, changes in the loading point or commodity?**

Yes, permanent changes should be reflected in the Loading Authority (OT-5) applications.

**Can data provided through the Loading Authority (OT-5) process be viewed by parties other than the submitter and the approving carrier?**

No, only the parties to the application can view the application.

**What should I enter for an Expiration Date?**

Loading Authority (OT-5) was originally created to coincide with lease agreements so the expiration date would be set to match the expiration date on the lease agreement for the cars being placed on the application by a Lessee. If the date is set further out, the next lessee could not submit an application because there would be an active application in the system with the same equipment and potentially the same originating carriers. If an application is being submitted by an Equipment Owner, they may want to set a date of ten years, the maximum allowable, if they plan to own the car for ten years or more.

**Note:** If a user is trying to expire a Loading Authority (OT-5) application, they can use the same date in both the effective date and expiration date fields. It then typically takes 24-48 hours for the application to move to an expired status.

**What is the difference between the Comments (next to listed origin carriers) and the General Comments?**

The comments boxes next to the listed origin carriers are confidential and can be used if the submitter has comments that are meant for only specific originating carriers. Submitters can enter storage information for each carrier here.

The general comments are non-confidential and considered “global comments” and if entered, will be sent to ALL carriers listed on the application.

**What/Who should be listed in the Storage Location section on a Loading Authority (OT-5) application?**

The storage location detail is required for each Loading Location logged on the Loading Authority (OT-5) application. The Storage Location should list the facility for equipment storage, specifically the company name, the contact person(s) name, email and phone number at the company listed, and the capacity of equipment that the specific location can accommodate.

**Who should be listed in the Controlling Entity Categories on a Loading Authority (OT-5) application?**

The controlling entity should be the person(s) in the best position to know the movement information, the mechanical needs, the waybill direction, and the accessorial details of the equipment. This is often the same as the person submitting the application, but there are situations where the controlling entity may be different for each individual category.

### **Who can perform a Controlling Entity Search?**

The controlling entity search can be utilized by approvers and reviewers. Search is by equipment ID, and results are returned only if the approver/reviewer is listed as an Origin Carrier for the equipment on an application and/or if the approver/reviewer is in possession of the equipment at the time of the search.

### **How is the Equipment Health Flag populated?**

The submitter of an application receives an asterisk (\*) in the Equipment Health Flag column if a record has either an Early Warning Notice, EHMS Alert, or DDCT Incident. If a submitter wants to view additional details as to why the flag is highlighted, they must log in to each application and have the correlating permissions to view the equipment detail. The approver and reviewer of an application have a "View Detail" link on the equipment record, and can view the additional details (open alerts, notices, and/or incidents) from within the Loading Authority application. Only the handling carrier on an incident is privy to the incident details.

### **Why am I getting an "Equipment is not a Private Car" error when submitting an application, but the cars are private cars?**

This occurs either when a submitter is trying to register a railroad-marked car on a Loading Authority (OT-5) application or a private car that has a railroad mark listed in the Lessee field in Umler. In those cases, even though the car is a private car, in terms of Loading Authority (OT-5), it is considered "railroad-controlled" and is not able to be registered on a Loading Authority (OT-5) application.

### **What are the reasons that a Loading Authority (OT-5) application can be rejected?**

There are ONLY three reasons why a Loading Authority (OT-5) application can be rejected: Safety, Inadequate Storage Space, and Mechanical Factors. If a submitter has questions as to why their application was rejected, they should directly contact the originating carrier who rejected the application. If the application has multiple loading locations for different carriers and one carrier rejects, but the others approve, the entire application is NOT rejected; only the portion related to the rejecting carrier.

### **What should I do if my OT-5 application is rejected?**

If your OT-5 application is rejected, view the rejected application by selecting the App. Reference No. within OT-5. Next, review the originating carrier's reason for rejection, select the Edit button, and make the necessary changes to the application. Once you have completed the updates, Submit the application. Make sure you change the effective date on the application to the current date.

### **What happens if an application is moved to system updated status and I don't review the application and resubmit?**

If an application is moved to System Updated status automatically by the application, an email is sent to the submitter. Applications may be moved to System Updated status from Approved or Submitted by the system when a car is deleted in Umler or restenciled, or when there is a change to STCC, SCAC, FSAC, or CIF records referenced on the application. Emails are sent at zero, twenty, and forty days. At sixty days, the system automatically moves the application back to the previous status, having removed the information affected. Another email is sent to the submitter after this happens after the sixty day time period to let them know this has happened.

### **When a car is restenciled, what happens to the Loading Authority (OT-5) application?**

When a car is restenciled in Umler, the original car mark and number is automatically removed from any Loading Authority (OT-5) applications it is on. The new car mark and number, however, does not automatically get added. It is up to the submitter to add the new car mark and number to the Loading Authority (OT-5) application.

**If a CIF, FSAC, or STCC is expired, will the Loading Authority (OT-5) application automatically update with the new number?**

No. If a CIF, FSAC, or STCC is expired, the Loading Authority (OT-5) system is “notified” and any applications containing those numbers are moved to System Updated status for 60 days. An email is sent to the submitter at zero, twenty, and forty days. During that time, it is the responsibility of the submitter to add the new, active numbers to their Loading Authority (OT-5) applications. At sixty days, the system automatically moves any affected applications back to their previous status, having removed the expired CIF, FSAC, or STCC if not already done by the submitter. Another email is then sent letting the submitter know this has happened.

If only the name associated with a CIF, FSAC, or CIF is changed, this WILL automatically be updated within any Loading Authority (OT-5) applications containing those numbers.

**Why are there missing versions in my Comments History?**

If an approver or reviewer is viewing a Loading Authority (OT-5) application, they only see comments that were sent either globally or to their road specifically. This may cause “gaps” in their Comments History, but this is normal.

**Who receives Loading Authority (OT-5) Approver and Reviewer notifications?**

Approver and reviewer notifications go to those who are set up in FindUs.Rail under the Railroad mark in question. Users can set up their contacts by equipment type so that they only receive notifications for applications that are submitted for a specific type of equipment (i.e., hoppers, tank cars, etc.).

**How is the Submitted By information populated?**

The Submitted By information is populated based on what is in the user's SSO profile. If any of the information is wrong in the application, the user needs to update their profile in SSO and then resubmit the application. The new information is NOT populated in the application until it is resubmitted.

**What if I have questions about Loading Authority (OT-5)?**

Railinc's customer service team is available to answer your questions. For more information about Loading Authority (OT-5), contact the Railinc Customer Success Center toll free at (877) 724-5462 or via email at [csc@railinc.com](mailto:csc@railinc.com).

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