PRISM

Performance and Registration Information Systems Management

Procedural Manual

March 2014

Summary of Changes
(since previous version dated April 2013)

Change/Update Description	Section Number
Changed name of Chapter 6 from Jurisdictional Responsibilities to PRISM Implementation Requirements. Updated Chapter 6 with the revised PRISM requirements. Modified references throughout document to specific PRISM Requirements to reflect the new revised Requirements.	Chapter 6
Inserted new Chapter 7 - FMCSA's new URS Rule and Impact on PRISM IRP Processes	Chapter 7
Modified throughout the document changes reflecting eliminating the MCS-150 update requirement.	Document
Added more detail on State Suspension Process	11.4.1, 11.12, 12.4, 16.7
Updated Appendix A – PRISM System Architecture	Appendix A

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1.   <u>Chapter One – Introduction</u>

Introduction

This *PRISM Procedural Manual* has been prepared to assist states in implementing the PRISM project requirements.

Section I of this document presents a general overview of PRISM concepts, the benefits, and the jurisdictions participating. Chapter 5 outlines the major processes. Chapter 6 lists the specific requirements associated with PRISM Registration and Enforcement.

Section II details the functions and workflow to implement all the requirements listed in Chapter 6, including the tasks to accomplish and why the task is necessary. Accompanying changes to forms, screen shots, and computer programs are provided. Legislative changes needed, including model legislation, are provided. Training needs are covered and the 'what' 'why' and 'how' are provided for the IRP process and PRISM Operations Support.

Section III contains a glossary of terms, Contact Information, and Questions and Answers that will assist states in further understanding the PRISM procedures. The *PRISM Systems Specifications* and the *PRISM Cab Card Bar Code Specifications* documents provide more detail for the requirements that need system changes.

2. Chapter Two – PRISM Overview

PRISM Overview

The Performance and Registration Information Systems Management program (PRISM) originated as a pilot project mandated by Congress in the Intermodal Surface Transportation Efficiency Act of 1991. The goal was to explore the benefits of using state commercial vehicle registration sanctions as an incentive to improve motor carrier safety. Congress authorized funding through the Transportation Equity Act for the 21st Century (TEA-21) to expand PRISM nationally.

As of April 2013, 45 states have signed grant agreements with the FMCSA to implement the PRISM program. Member states are listed in Chapter 4.

The International Registration Plan (IRP) commercial vehicle registration process of the states provides the framework for the PRISM program. It establishes a system of accountability by ensuring that no vehicle is plated without first identifying the motor carrier responsible for the safety of the vehicle during the registration year.

Through PRISM, information system connections between participating IRP vehicle registration agencies and the FMCSA provide the ability to check the safety status of motor carriers prior to issuing or renewing IRP license plates.

This federal-state partnership improves safety and strengthens the enforcement policies mandated by the U.S. Congress, such as those related to the consequences of unsatisfactory safety ratings (Section 4009 of TEA-21) and failure to pay civil penalties (Section 206 of the MCSIA of 1999). One of the fundamental tenets of the PRISM program is that state vehicle registration agencies will:

> ➢ Suspend a motor carrier's IRP license plates in conjunction with an FMCSA order to cease interstate operation; and/or
> ➢ Deny renewal of IRP license plates to any motor carrier that is prohibited from operating in interstate commerce by the FMCSA.

The federal-state partnership of PRISM also provides an automated enforcement mechanism to ensure motor carriers meet biennial data updating requirements.
In addition, PRISM provides for the deployment of roadside enforcement technologies that allow for more accurate identification of high-risk carriers and more efficient roadside inspections.

3. Chapter Three – PRISM Benefits

- Accountability

- A Performance-Based Approach to Safety Management

- Improved Productivity

- Improved Data Quality

- Improved Motor Carrier Safety

- Cost Effectiveness

PRISM Benefits

3.1   Accountability

Identification of the carrier (via their USDOT Number) responsible for the safe operation of the vehicles being registered has produced a major safety benefit. It helps ensure motor carriers that have been ordered by the FMCSA to cease interstate operations do not continue to maintain interstate license plates. In addition, safety events (e.g. inspection, accident, and driver moving violations) affecting a PRISM registered vehicle can be more accurately tied back to the responsible motor carrier.

3.2   A Performance-Based Approach to Safety Management

The primary means for identifying potentially poor performing carriers is through an accumulation of carrier, vehicle, and driver-specific safety events that is then linked to the carrier through the carrier's USDOT Number. Carriers are identified, treated, and released from a safety improvement program based upon demonstrated highway performance after safety treatments have been applied.

3.3   Improved Productivity

The PRISM program was developed to help the FMCSA, with limited safety resources, meet the challenge of reducing the number of commercial vehicle crashes of a rapidly expanding interstate carrier population. The PRISM program has increased the efficiency and effectiveness of federal and state safety efforts through:

- Efficient allocation of scarce resources through more accurate targeting of compliance reviews to focus on the highest-risk carriers, and

- The use of a warning letter as an effective, inexpensive method for carriers with less severe safety problems.

3.4   Improved Data Quality

The PRISM program has shown that an improvement in the accuracy and timeliness of data will result in better resource allocation and heightened efficiencies in the administration of major federal and state safety programs. Several of the most notable data improvement initiatives include:

- Development of a procedure for obtaining current census and operational data on interstate motor carriers as part of the state's annual vehicle registration renewal process;

- Development of a procedure for using plate numbers as a means to more effectively assign inspection and accident data to the responsible motor carrier;

- Use of automated procedures for data collection in the field to eliminate typing errors on critical fields on accident and inspection reports, like USDOT Number, plate number, and VIN. An example of effective automated procedures is the bar coding of motor carrier identifying information on cab cards and the use of bar code readers with laptop computers to read the bar coded information and automatically enter the data on state enforcement forms.

3.5   Improved Motor Carrier Safety

The PRISM program requires that motor carriers improve their identified safety deficiencies or face progressively more stringent sanctions up to a federal out-of-service order and concurrent state registration suspensions. For carriers with less severe safety problems, the PRISM program pioneered the use of a Warning Letter as an alternative to an on-site review. The Warning Letter has proven to be an extremely effective and inexpensive means of improving safety performance.

In the pilot, 30 percent of the carriers that received warning letters improved. Thirty percent of the at-risk carriers also improved after the first compliance review and those carriers identified by SafeStat were nearly three times as likely to be involved in accidents. These are the carriers that are targeted for the improvement process. Registration officials checked the safety fitness before issuing plates and suspended registration to improve performance. Six carriers were suspended during the pilot.

Note: SafeStat has been replaced by FMCSA's Compliance, Safety, and Accountability (CSA) program. Warning letters are now sent out by FMCSA instead of joint issuance by FMCSA and PRISM States.

4.   Chapter Four – Roster of Jurisdictions

- Jurisdictions Utilizing PRISM (44)

- Jurisdictions with Letters of Intent (1)

Roster of Jurisdictions

4.1 Jurisdictions Utilizing PRISM (44)

Alabama	Nebraska
Alaska	New Hampshire
Arizona	New Jersey
Arkansas	New Mexico
California	New York
Colorado	North Carolina
Connecticut	North Dakota
Delaware	Ohio
District of Columbia	Oklahoma
Georgia	Pennsylvania
Idaho	Rhode Island
Illinois	South Carolina
Indiana	South Dakota
Iowa	Tennessee
Kansas	Texas
Kentucky	Utah
Louisiana	Vermont
Maine	Virginia
Massachusetts	Washington
Minnesota	Wisconsin
Mississippi	West Virginia
Missouri	
Montana	

4.2 Jurisdictions with Letters of Intent (1)

Maryland	

5. Chapter Five – Major Processes

- The Commercial Vehicle Registration Process

- Enforcement

Major Processes

The PRISM program includes two major processes - the Commercial Vehicle Registration Process (Registration) and Enforcement, which work in parallel to identify motor carriers and hold them responsible for the safety of their operation. The performance of unsafe carriers is improved through a comprehensive system of identification, education, awareness, data gathering, safety monitoring and treatment.

5.1 The Commercial Vehicle Registration Process

The IRP commercial vehicle registration process of the states provides the framework for the PRISM program. It serves two vital functions. First, it establishes a system of accountability by ensuring that no vehicle is issued registration credentials and an IRP plate without identifying the carrier responsible for the safety of the vehicle during the registration year. Second, the use of registration sanctions (denial, suspension, and revocation) provides powerful incentive for unsafe carriers to improve their safety performance.

The vehicle registration process ensures that all carriers engaged in interstate commerce are uniquely identified through a USDOT Number when they register their vehicles. IRP registration is the initial point of contact between the carrier, the registrant, the vehicle owner, and the government. The safety fitness of each carrier can then be checked prior to issuing vehicle registrations. Carriers prohibited from interstate operations (as defined by federal out of service procedures) will have the ability to register their vehicles denied.

5.2 Enforcement

In addition to Registration, the other major component of PRISM is Enforcement. Enforcement is the means by which carrier safety is systematically tracked and improved. The process is designed to improve the safety performance of carriers with demonstrated poor safety performance through accurate identification, performance monitoring, and treatment. When a carrier is identified as needing improvement in safety practices, the carrier is placed into the high-risk category of carriers within the Compliance, Safety, and Accountability (CSA) program. These high risk carriers and their associated vehicles are also added to the PRISM Target File for identification at the roadside. The goal of CSA is to improve the level of safety on our nation's highways by helping carriers identify and correct safety problems. Carriers that do not improve their safety performance face penalties that are progressively more stringent. These penalties may culminate in a Federal Out-of-Service-Order and possible denial, suspension, and/or revocation of vehicle registrations by the state.

Within CSA, carriers with potential safety problems are identified and prioritized for an on-site review using the Safety Measurement System (SMS). The SMS calculations make maximum use of readily available safety performance and compliance data from seven broad Behavior Analysis and Safety Improvement Categories (BASICs). The seven BASIC's are: Unsafe Driving, Hours-of-Service (HOS) Compliance, Driver Fitness, Controlled Substances/Alcohol, Crash Indicator, Hazardous Materials (HM) Compliance,

and Vehicle Maintenance. These seven BASICs are used to develop an overall score that can be used to prioritize carriers for a possible on-site review, and/or inclusion to the PRISM Target File.

Education/Awareness

Carriers, registrants, and owners are given information on safety performance. This allows concerned personnel to take steps to improve safety and helps them understand how safety performance can impact a carrier's ability to operate. For example, when carriers are given a Warning Letter, a copy of their most recent Safety Evaluation Summary is also included.

Data Quality Improvement

The SMS and CSA are data driven processes. Increasing the quality and accuracy of the available data improves the accuracy and effectiveness of these programs. Efforts have been made within CSA to keep safety and census data current. For example, when vehicles are registered in PRISM states, the USDOT Number assignment and census data are verified to assure the accuracy of the data. A focus of the Compliance Review is to gather, validate and correct safety data. In addition, carriers have the opportunity to update or dispute safety data. Warning Letters provide carriers with a Data Contact person to contact to discuss accuracy of data and request changes.

6. <u>Chapter Six – PRISM Implementation Requirements</u>

- Registration Program Requirements

  - Legislation

  - Registration Processes

  - Data Collection and Forms

  - Communications and Training

- Law Enforcement Program Requirements

PRISM Implementation Requirements

Jurisdictions participating in the PRISM program need to maintain uniformity, and therefore must implement the PRISM requirements. There are two main sections of the PRISM requirements, Registration Program Requirements, and Law Enforcement Program Requirements. The Registration Program Requirements are further broken out into four broad categories: Legislation, Registration Processes, Data Collection and Forms, and Communications and Training.

The following is the list of specific requirements for implementing PRISM. The PRISM Implementation Requirements numbering has undergone changes in this version of the Procedure Manual. Some requirements have been eliminated or changed and the order of the listing of the requirements has been modified. Therefore, each jurisdiction should carefully review its current grant and/or grant proposal in light of these changes.

6.1 Registration Program Requirements

LEGISLATION:
1. Seek authority to suspend (or revoke) and deny registration if the motor carrier responsible for safety of the vehicle is under a Federal out of service (OOS) order, including authority to deny registration to motor carriers attempting to avoid FMCSA enforcement sanctions by obtaining a new USDOT number under a different name and motor carriers under Federal operating authority sanctions.

2. Seek authority to retrieve license plates from carriers whose registration has been suspended based on FMCSA sanctions**.**

REGISTRATION PROCESSES:
3. Check carrier safety status before issuing credentials and deny the registration if the motor carrier is prohibited from interstate operations**.**

4. Check carrier safety status during the registration period on a daily basis, and suspend the registrations of any vehicles assigned to motor carriers under a Federal OOS order or under Federal operating authority sanctions.

5. Check every VIN entered into the IRP system against the PRISM Target File to see if the vehicle is associated with a motor carrier that is under a Federal OOS order or under Federal operating authority sanctions.

6. Update the PRISM-SAFER database daily with vehicle registration information by uploading either a PRISM Vehicle File or CVIEW T0022 transactions.

7. Maintain/update the IRP Status Code within the vehicle registration records, and apply the 950 status code to vehicles that are suspended due to a Federal OOS order.

DATA COLLECTION AND FORMS:

8. Identify, collect and maintain the USDOT Number and TIN for the motor carrier responsible for the safe operation of each vehicle being registered. States that issue USDOT numbers must use standardized procedures to access the MCMIS database.

9. Validate the USDOT Number and TIN before adding any USDOT Number and TIN combination to the IRP registration files at the vehicle level (VIN).

10. Print and barcode the motor carrier information on the cab card if the motor carrier responsible for the safety of the vehicle is not expected to change during the registration year.

11. Incorporate PRISM requirements in temporary authority processes.

COMMUNICATIONS AND TRAINING:

12. Collect the number of registration denials and suspensions/revocations due to a motor carrier being identified as under a Federal OOS order, and report to the Division Office on a quarterly basis.

13. Provide assistance to FMCSA Division Office for carrier-related registration information requested.

14. Provide assistance to State motor carrier law enforcement for carrier-related registration information requested.

15. Ensure PRISM training is provided to all appropriate IRP staff, motor carriers, and other interested parties, including training of IRP staff on key FMCSA applications such as MCMIS and Query Central, where applicable.

6.2   Law Enforcement Program Requirements

1. Identify vehicles assigned to carriers under a Federal OOS order or operating without operating authority when operating authority is required and take the appropriate enforcement action by placing the vehicle OOS.

2. Identify vehicles assigned to carriers on the PRISM target file and prioritize those carriers for inspection.

3. In probable cause states, obtain authority to consider as a probable cause the FMCSA OOS condition and/or OOS order against the USDOT number of the motor carrier responsible for safety.

4. Seek and implement authority to remove the license plates from vehicles associated with motor carriers that have been suspended for operating under a Federal OOS order.

5. Implement procedures to determine how to correct the unassigned or incorrectly assigned safety events.

6. Ensure PRISM training is provided to all enforcement officers.

Section II: FUNCTIONS AND WORKFLOWS

- **FMCSA's new URS Rule and Impact on PRISM IRP Processes**
  - Describes the necessary procedures and system changes related to FMCSA's new URS Rule as of March 2014.

- **Elimination of Registrant-Only USDOT Numbers**
  - Describes the necessary procedures and system changes related to the project of eliminating the Registrant-Only USDOT Numbers as of September 2012.

- **Form Changes**
  - Lists the forms, instructions, and letters that need to be modified and the purpose for the modifications.

- **Computer Screens Modifications**
  - Lists the screens that require modification and the reason for such modification.

- **Computer Program Modifications/Communication Links**
  - Identifies the tasks that must occur to implement PRISM. This section, however, does not contain the technical details for the computer changes. These can be found in the PRISM System Specification document.

- **Regular Computer Runs**
  - Identifies the routine updates to files.

- **Training**
  - Covers all the aspects of the training prior to implementation.

- **Legislative Authority**
  - Summarizes the legislative changes that may be necessary for full implementation of PRISM.

- **Operations - IRP Processing**
  - Outlines all the new procedures for IRP registration process to implement PRISM.

- **MCSIP Operations Support**
  - Covers all the PRISM support functions for both enforcement and registration personnel.

7. <u>Chapter Seven – URS Rule and Impact on PRISM IRP Processes</u>

- Background

- IRP Changes

- FAQ

7.1 FMCSA's new URS Rule and Impact on PRISM IRP Processes

7.1.1 Background

Based on the Unified Registration System (URS) final rule, which was published August 23, 2013, FMCSA will be implementing additional enforcements for non-compliance of the Biennial registration updates. Carriers failing to update their Biennial registration will face enhanced enforcement penalties which include deactivating USDOT numbers.

7.1.2 IRP Changes

IRP offices in PRISM states will no longer be required to validate at the time of registration that the MCS150 information has been updated within the past year. The new URS program will deactivate the USDOT number if the registration information has not been updated in 24 months. PRISM states will deny registration of deactivated entities, similar to how the states currently deny registrations to carriers that are under a Federal Out-of-Service order.

IRP systems will need to remove the edit that checks to see if the MCS150 Last Update Date has been updated in the past year. Online IRP systems must also remove the MCS150 date check, so that the carrier can continue their registration process.

In place of checking the MCS150 Last Update Date, IRP systems will now need to check if the carrier has been assigned a MCSIP step of 52. If a carrier fails to complete the Biennial registration update, FMCSA will deactivate the carrier and assign a MCSIP step 52. These carriers will be included in the target file and treated as OOS carriers and should be denied registration. The MCSIP Step 52 has been included in the range of OOS MCSIP Steps of 52-68 since December 2010. Therefore, IRP systems should already be programmed to handle this MCSIP Step. After a 6-month period, if the carrier does not update their registration and has no recent activity, their USDOT number will be set to 'Inactive' status in MCMIS. At this time, the MCSIP Step will be changed from 52 to 0, and the carrier will be removed from the PRISM target file.

With the new URS rule there will be no responsibility for States to update the MCS-150 information on behalf of the motor carriers. Thus sending out MCS-150's as part of the renewal package is no longer required. Once states stop sending out MCS-150's, it is suggested that a memorandum be included with the renewal package informing them of the new URS rule regarding Biennial Updates. Carriers will be notified by FMCSA when their Biennial Update is due along with instructions on how to update their information.

7.1.3 Frequently Asked Questions

1. When will this new process be rolled out?

The process of placing these carriers OOS is scheduled to begin in March 2014. This means that starting in March 2014, there will be carriers in the PRISM target file with a MCSIP step 52.

2. What should states do if systems cannot be changed prior to rollout?

If the systems cannot be changed prior to the roll out in March 2014, PRISM states can continue with the current MCS150 edit checks until their system has been changed. To align with the URS biennial registration this change to eliminate the MCS150 date check should be completed in the immediate future.

3. Will this affect the size of the PRISM target file?

Yes, starting in March 2014, we expect the target file to grow incrementally over the next 6 months, but the file size will level off once carrier's USDOT Number are made inactive and removed from the PRISM target file.

4. Is the requirement to update the MCS-150 every year for PRISM states being eliminated?

Yes, the PRISM IRP Requirements have been modified to reflect this. There will be no responsibility for the State to check MCS-150 dates within their IRP systems, or to update the MCS-150 information on behalf of the motor carriers. In addition, FMCSA will roll-out new enforcement actions as part of the URS rule, such as de-activating a carrier's account that does not adhere to the biennial updates. In sum, in place of checking the MCS150 Last Update Date, IRP systems will now need to check if the carrier has been assigned a MCSIP step of 52.

8. Chapter Eight – Elimination of Registrant-Only USDOT Numbers

- FMCSA Changes

- IRP Changes

- CVIEW Changes

- Example of IRP System Screen Changes

- FAQ

8.1 FMCSA Changes

8.1.1 History and Reason for Change

Since 1999, the "Vehicle Registrant-Only" company operation type had been an option available when applying for a USDOT Number. This company operation type designates the company as a non-motor carrier; they are not authorized to operate in interstate commerce. Two of the more common reasons to obtain a Registrant-Only USDOT Number were:

1. The company owns and registers its commercial trucks for the sole purpose of renting or leasing them to motor carriers that will operate the trucks to transport goods.

2. The company is an owner-operator that will never operate the trucks under its own USDOT Number or Operating Authority.

PRISM procedures for participating PRISM states have required a USDOT Number for all registrants. As a result, over 250,000 Registrant-Only USDOT Numbers existed in FMCSA databases.

There were two problems with the use of Registrant-Only USDOT Numbers.

1. Data quality. Often when an inspection or crash data is entered, the USDOT Number of the "Vehicle Registrant-Only" company is incorrectly used instead of the USDOT Number of the motor carrier who is responsible for safety. There should be no safety events associated with these "Vehicle Registrant-Only" companies since they are not authorized to operate as motor carriers. The USDOT Number of the motor carrier that is responsible for safety of the vehicle should have been identified instead of the registrant. This has led to a large-scale cleanup effort that is using valuable resources to correct safety events.

2. Enforcement. This problem occurs when a company that is truly a motor carrier uses the "Vehicle Registrant-Only" company operation type. Whether intentional or not, the company is evading FMCSA policy and oversight by improperly designating their company operation. The Registrant-Only USDOT Numbers are not included when evaluating companies for compliance reviews and New Entrant Safety Audits. Therefore, using these numbers to register vehicles provides a loophole for some motor carriers to fly under the FMCSA radar.

FMSCA decided to resolve the two issues above by:
- Eliminating the use of Registrant-Only USDOT Numbers

- Eliminating the PRISM procedure requiring PRISM states to complete the USDOT Number field on the vehicle registration when the company is, in fact, not a motor carrier.

Due to the size and scope of the project, the initial date of this procedural change in PRISM of September 1, 2011 was extended one year to September 1, 2012. PRISM states no longer require a USDOT Number for legitimate Registrant-Only companies.

8.1.2   MCMIS System and MCS-150 Form Changes

FMCSA updated the MCS-150 form and the MCMIS online registration system to discontinue the Registrant-Only entity type as an option when applying for a USDOT Number. This change was put into production on September 15, 2012.

8.1.3   Letters sent to Registrant-Only

Companies that had a Registrant-Only USDOT Number were advised by FMCSA via a letter sent out in September 2012 that the Registration-Only operation type is being eliminated and their Registrant-Only USDOT Number will be made an Inactive USDOT Number. This approach put Registrants on notice and encouraged Carriers to take the appropriate actions.

8.1.4   Inactivating Registrant-Only USDOT Numbers

As was mentioned in the previous section, FMCSA sent letters to the Registrant-Only companies informing them of the elimination of the Registrant-Only USDOT Number. The companies were given a specified amount of time to decide whether to update their company operation to a motor carrier status, or simply do nothing and have their USDOT Number inactivated. FMCSA then inactivated all remaining active Registrant-Only USDOT Numbers in MCMIS on December 1, 2012. This process updated approximately 235,000 Registrant-Only USDOT Number records from Active to Inactive.

8.2   IRP Changes

8.2.1   Registrant-Only Indicator

The primary IRP system change related to eliminating the Registrant-Only USDOT Numbers is for the state system to use an indicator for Registrant-Only instead of using a USDOT Number. A Registrant-Only USDOT Number should no longer be used in the registration process.

IRP surveyed the PRISM states to determine how each state wanted to designate a Registrant-Only when the USDOT Number for these entities was eliminated. We received two ideas. Approximately half of the states choose each option. Since PRISM has always tried to be flexible and allow alternative methods to implement the requirements, PRISM will again offer multiple ways to implement this new requirement.

1. First, states can modify the USDOT field at the registrant level to allow for a specific alpha designation such as "REGONLY" as well as numeric entries.

2. Second, states can add an indicator field such as Y/N or a check-box for the Registrant-Only and then leave the USDOT field blank. Edits should be included that require the indicator to be checked if the USDOT field is left blank. This should not be an automatic entry. The IRP clerk should be required to make the designation.

Please keep in mind, the USDOT Number at the registrant level will still be collected for registrants who are also a motor carrier, e.g. those with company-operated vehicles and short-term lease owner/operators.

The current validation and safety check edits will need to remain in place for the registrant USDOT Number that is also a motor carrier number. The system edits will need to be modified for the Registrant-Only who is not also a motor carrier. They will need to recognize the notation that is determined by the states to be used in place of the "Registrant-Only" USDOT Number. The validation and safety checks will no longer be done when this notation is encountered.

Some states also have, for efficiency reasons, an automatic drop down of the USDOT Number from the registrant level to the vehicle level. This edit will also need to be revised so that the information for a Registrant-Only who is not a motor carrier is not automatically dropped down.

(Note to CVIEW states: If states choose to implement option 1, do not upload the words REGONLY in the CVISN XML upload transactions such as T0020 and T0022. States should leave the IRP_CARRIER_ID_NUMBER field as NULL when they have a record with a Registrant-Only. <u>DO NOT POPULATE</u> this field with the words REGONLY (even if the state has chosen the option to use the word REGONLY in their local IRP system). CVIEW Transactions are described in 7.4

Example screenshots are provided in section 7.6 to show how some PRISM states have already implemented the Registrant-Only indicator within the IRP system.

8.2.2 IRP Renewal

Renewal applications will also need to have programming edits to account for the REGONLY notation. States will not print an MCS-150 update date (from the local census file or CVIEW) as information for the registrant for REGONLY entities. Also a pre-populated MCS-150 is not sent to REGONLY entities as part of the renewal package, thus the REGONLY notation needs to be recognized to stop the edit for the MCS-150 update date to determine if the MCS-150 information should be downloaded. This date will also be non-existent for the display to the IRP screen for the MCS-150 update date field. When the renewal is returned to the state, the edit check against the date of the MCS-150 update to determine if the MCS-150 information requires updating will be eliminated for REGONLY entities. *NOTE: Change effective as of March 1, 2014.* With the new URS rule there will be no responsibility for States to update the MCS-150 information on behalf of the motor carriers. Thus sending out MCS-150's as part of the renewal package is no longer required.

8.2.3   IRP Form Changes and Document Updates

States will need to modify instructions on the IRP forms, checklists, and in the manuals for the registrant and the IRP clerks. The requirement for a "Registrant-Only" USDOT Number will need to be revised to explain what the registrant should indicate on the form if he is not also a motor carrier. In the example below, a check-box for Registrant-Only is included next to the account level USDOT Number as an option. In this case, if the box is checked off for Registrant-Only, a USDOT Number at the account level does not need to be provided. The USDOT Number of the Carrier Responsible for Safety is then collected below in the Vehicle Information section of the form.

NAME OF REGISTRANT

FLORIDA BUSINESS ADDRESS (DO NOT USE P.O. BOX)

CITY   COUNTY   STATE   ZIP CODE
FLORIDA

MAILING ADDRESS

CITY   COUNTY   STATE   ZIP CODE

PERSON TO CONTACT REGARDING APPLICATION

EMAIL ADDRESS (OPTIONAL)   TELEPHONE NUMBER

IF THE ABOVE ADDRESSES OR TELEPHONE NUMBER ARE DIFFERENT FROM WHAT WAS ON YOUR PREVIOUS APPLICATION PLEASE CHECK THIS BOX: ☐

PLEASE TYPE OR PRINT WITH INK

INTERNATIONAL REGISTRATION PLAN

FLORIDA APPLICATION

SCHEDULE A

DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES
BUREAU OF MOTOR CARRIER SERVICES
Neil Kirkman Building, MS-62
2900 Apalachee Parkway
Tallahassee, Florida 32399-0626
Telephone (850) 617-3711
http://www.flhsmv.gov

TYPE OF APPLICATION
☐ ORIGINAL
☐ RENEWAL
☐ ADD FLEET
☐ ADD STATE
☐ ADD VEHICLE
☐ TRANSFER
☐ INCREASE WEIGHT
☐ CORRECTION
☐ FLEET TO FLEET TRANSFER

TYPE OF OPERATION
☐ EXEMPT COMMODITY CARRIER
☐ HOUSEHOLD GOODS CARRIER
☐ FOR HIRE CARRIER
☐ PRIVATE CARRIER (OWNS GOODS BEING TRANSPORTED)

U.S. DOT NUMBER

Registrant Only ☐

FEI #
(THIS # IS REQUIRED TO REFERENCE YOUR IFTA ACCOUNT)

TRANSACTION TYPES
A – ADD VEHICLE   C – CORRECTION   D – DELETE VEHICLE
O – ORIGINAL   R – RENEWAL

VEHICLE TYPES
TT – TRUCK TRACTOR   TK – TRUCK (SINGLE)
TR – TRACTOR   BS – BUS

FUEL TYPES
D – DIESEL   G – GAS   P - PROPANE

IRP ACCOUNT NUMBER   FLEET NUMBER

VEHICLE INFORMATION

LICENSE YEAR

TRANS-ACTION TYPE	OWNER'S UNIT NUMBER	YEAR	MAKE	VEHICLE IDENTIFICATION NUMBER	TYPE	AXLE/SEATS	FUEL	COLOR	GROSS OR COMBINED GROSS WEIGHT	EMPTY WEIGHT	DATE OF PURCHASE (M/D/Y)	OWNER'S PURCHASE PRICE	FACTORY LIST PRICE	FLORIDA TITLE NUMBER	US DOT NUMBER ASSIGNED TO VEHICLE	TAX PAYER IDENTIFICATION NUMBER (EIN, SSN) ASSIGNED TO VEHICLE	WILL THE DESIGNATED CARRIER RESPONSIBLE FOR SAFETY CHANGE DURING THE YEAR?
																	YES ☐ NO ☐
																	YES ☐ NO ☐
																	YES ☐ NO ☐
																	YES ☐ NO ☐
																	YES ☐ NO ☐
																	YES ☐ NO ☐
																	YES ☐ NO ☐
																	YES ☐ NO ☐

CARRIER RESPONSIBLE FOR VEHICLE SAFETY

PLEASE BE SURE
YOU PRINTED YOUR NAME,
SIGNED THE APPLICATION,
AND ENCLOSED THE
FOLLOWING REQUIRED
DOCUMENTATION, AS NECESSARY.

☐ PROOF OF OWNERSHIP
☐ COPY OF LEASE, IF APPLICABLE
☐ SIGNED APPLICATION AND PRINTED NAME
☐ PROOF OF ESTABLISHED PLACE OF BUSINESS
☐ PROOF OF PAYMENT OF HEAVY VEHICLE USE TAX (IRS FORM 2290)
☐ PROOF OF BODILY INJURY AND PROPERTY DAMAGE LIABILITY INSURANCE WITH PIP

PLEASE **DO NOT** SEND
MONEY WITH THIS
APPLICATION. A BILL WILL
BE CALCULATED AND
MAILED TO YOU.
*EARLY APPLICANTS WILL
BE GIVEN PRIORITY.*

A SAFER
FLORIDA
HIGHWAY SAFETY AND MOTOR VEHICLES

HSMV 85900 (Rev. 10/10)

8.2.4 Dealing with Registrant-Only Companies at the IRP Office

If the company is truly a Registrant-Only entity, they will no longer need a USDOT Number for themselves to register vehicles. They can simply leave their USDOT Number as inactive and no longer use it during the registration process. They will still need to provide the USDOT Number of the Motor Carrier Responsible for Safety of the vehicle.

In some cases, the Registrant-Only company actually does operate their own vehicles in interstate commerce, and should have been designated as a motor carrier when initially issued a USDOT Number. The scenarios listed below may occur with these entities.

    a. They responded to the FMCSA letter and updated their own MCS-150 information online to a Motor Carrier status within the given timeframe.

    b. They did not respond to the FMCSA letter and may still attempt to register their vehicles using the inactive Registrant-Only USDOT Number. If this does occur, the IRP system will stop the process since it will find the USDOT Number to be inactive and Registrant-Only. These companies should be informed that they need to contact FMCSA and activate their USDOT Number by changing their company operation type to a motor carrier status. The Registrant-Only/Inactive USDOT Numbers cannot be re-activated unless the company operation type has been changed.

NOTE: (If the company is a rental/leasing company that maintains a USDOT Number for delivering trucks to/from locations across state lines, that information should be designated when updating the MCS-150 information, and could impact how the carrier is handled by the new entrant program. Under the section for Operation Classification, choose "Other" and add the words "RENTAL/LEASING" in the entry field.)

8.3 CVIEW Upload Changes

8.3.1 T0020 - IRP Account Input Transaction

Description	Type	XML Tag
Base Country	Optional	IRP_BASE_COUNTRY
Base Jurisdiction (State / Province)	Mandatory	IRP_BASE_STATE
Account Number	Mandatory	IRP_ACCOUNT_NUMBER
Account Type	Mandatory	IRP_ACCOUNT_TYPE
Status Code	Mandatory	IRP_STATUS_CODE
Status Code Update Date	Mandatory	IRP_STATUS_DATE
USDOT Number of Account Owner	Optional	IRP_CARRIER_ID_NUMBER
IRP Account Update Date	Mandatory	IRP_UPDATE_DATE

In the T0020, the Account Number (IRP_ACCOUNT_NUMBER) is a mandatory field. This is <u>NOT</u> a USDOT Number; it is just the internal account number from the state's IRP system. The Reg-Only change has no effect on the use of that field.

The USDOT Number of the Account Owner (IRP_CARRIER_ID_NUMBER) is "Optional". That is the field for the Registrant's USDOT Number. Since it is optional, it may be uploaded as NULL, and that is what is expected for Registrant-Only records after September 1, 2012.

States should leave the IRP_CARRIER_ID_NUMBER field as NULL when they upload a T0020 for a Registrant-Only record. <u>DO NOT POPULATE</u> this field with the words REGONLY (even if the state has chosen the option to use the word REGONLY locally in their state IRP system).

<u>Note: There is no difference between PRISM or Non-PRISM states for this transaction.</u>

8.3.2 T0022 - IRP Registration Input Transaction

Tag Name	Mandatory/ Optional	Transaction	Data Requirement
IFTA_LICENSE_NUMBER	Optional	T0022V3	Data field shall not contain leading or trailing spaces. Allow leading zeroes.
IRP_ACCOUNT_NUMBER	Mandatory	T0022V3	Data field shall not contain leading or trailing spaces. Allow leading zeroes.
IRP_CARRIER_ID_NUMBER	Optional	T0022V3	Data field shall not contain leading zeroes, leading spaces or trailing spaces.
TITLE_NUMBER	Optional	T0022V3	
TITLE_JURISDICTION	Optional	T0022V3	
OWNER_NAME	Optional	T0022V3	
MODEL_YEAR	Mandatory	T0022V3	
MAKE	Mandatory	T0022V3	
TYPE	Optional	T0022V3	
MODEL	Optional	T0022V3	
FUEL	Optional	T0022V3	
UNLADEN_WEIGHT	Optional	T0022V3	
NUMBER_OF_AXLES	Optional	T0022V3	
IRP_BASE_COUNTRY	Conditional Mandatory	T0022V3	Not mandatory for PRISM-only states using PVF
IRP_BASE_STATE	Mandatory	T0022V3	
UNIT_NUMBER	Optional	T0022V3	
LAST_UPDATE_DATE	Mandatory	T0022V3	
INTERSTATE_FLAG	Mandatory	T0022V3	
IRP_STATUS_CODE	Mandatory	T0022V3	
IRP_STATUS_DATE	Mandatory	T0022V3	
REGISTRATION_START_DATE	Mandatory	T0022V3	
REGISTRATION_EXPIRE_DATE	Mandatory	T0022V3	
OPERATOR_NAME	Optional	T0022V3	
GVW	Optional	T0022V3	
GVW_EXPIRE_DATE	Optional	T0022V3	
IRP_JURISDICTION	Mandatory	T0022V3	
IRP_WEIGHT_CARRIED	Mandatory	T0022V3	Must be greater than 4,000 pounds.
IRP_WEIGHT_EXPIRE_DATE	Mandatory	T0022V3	
VIN	Mandatory	T0022V3	Data field shall not contain leading or trailing spaces. Allow leading zeroes. Warn on special characters that are not in A-Z, 0-9 ranges.

Tag Name	Mandatory/ Optional	Transaction	Data Requirement
LICENSE_PLATE_NUMBER	Mandatory	T0022V3	Data field shall not contain leading or trailing spaces. Allow leading zeroes.
IRP_FLEET_NUMBER	Mandatory	T0022V3	Data field shall not contain leading or trailing spaces. Allow leading zeroes.
SAFETY_CARRIER	Conditional Mandatory	T0022V3	Data field shall not contain leading zeroes, leading spaces or trailing spaces, or embedded blanks. Not mandatory for CVISN-only states
SENDING_STATE	Optional	T0022V3	
VERIFICATION_SOURCE	Optional	T0022V3	
VERIFICATION_DATE	Optional	T0022V3	

Note: "Conditional Mandatory" means that the item is mandatory for PRISM; it is not mandatory for CVISN.

For PRISM States

In the T0022, the IRP_ACCOUNT_NUMBER is a mandatory field. This is <u>NOT</u> a USDOT Number; it is just the internal account number from the state's IRP system. The Reg-Only change has no effect on that field.

The IRP_CARRIER_ID_NUMBER is "Optional". That is the field for the Registrant's USDOT Number. Since it is optional, that means it is OK for this to be uploaded as NULL, and that is what is expected for Registrant-Only records after September 1, 2012.

States should leave the IRP_CARRIER_ID_NUMBER field as NULL when they have a record with a Registrant-Only. <u>DO NOT POPULATE</u> this field with the words REGONLY (even if the state has chosen the option to use the word REGONLY in their local IRP system).

For PRISM states, the Safety Carrier field is mandatory, and that will be populated with the USDOT Number of the Safety Carrier. (This has always been the case for PRISM states, and is not a change that has to do with eliminating Registrant-Only USDOT Numbers.)

For Non-PRISM States (CVISN Only)

1. If the state is <u>NOT</u> collecting the Safety Carrier at the vehicle level, there will be <u>no</u> USDOT Number on the record. The primary indicator for the record will be the IRP_ACCOUNT_NUMBER.

2. If the state is collecting the Safety Carrier at the vehicle level, the process will be the same as the PRISM states. The IRP_CARRIER_ID_NUMBER will be left as NULL, and the Safety Carrier will be populated with the USDOT Number of the Safety Carrier.

8.4   Example IRP Systems with Changes Implemented

This section will provide screenshots to show examples of how some PRISM states have implemented the Registrant-Only indicator within their systems. These are just shown here as a reference, as each state will have differences with how they implement this requirement.

In the following example, there is a check-box for "Registrant.. When this box is checked, there is no requirement to enter the USDOT Number or TIN at the account level. The user can then click on a button named "Motor Carrier," where a pop-up box will display where the information can be entered for the Motor Carrier Responsible for Safety.

In the example below, the state uses a combination of both the check-box and the words REG ONLY to designate the company as a Registrant-Only. In the screenshot below, if the Registrant-Only check-box option is selected, there is no requirement to enter the USDOT Number or TIN at the account level.

On the following screen where the vehicle is added to the fleet, the USDOT Number and TIN of the Motor Carrier Responsible for Safety is a required field. The system will display an error message and show red exclamation points next to the data fields to show that they are required.

In the example below, the state uses a Y/N indicator for Registrant-Only. If the Registrant-Only indicator is set to Y, then there is no requirement for a USDOT Number and TIN at the account level.
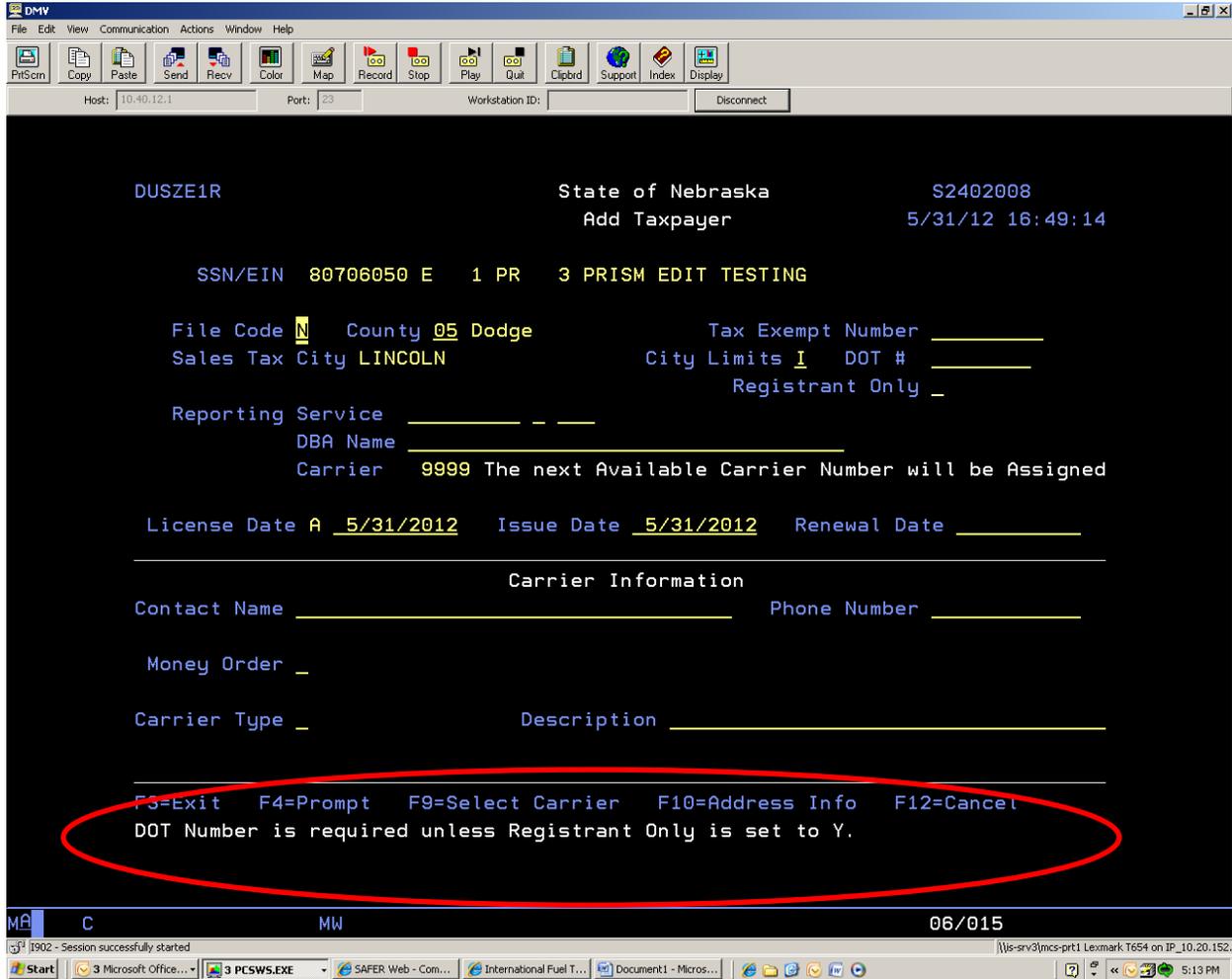
On the following screen where the vehicle is added to the fleet, the USDOT Number and TIN of the Motor Carrier Responsible for Safety is a required field. The system will display an error message if the USDOT Number and TIN are not entered at the vehicle level.
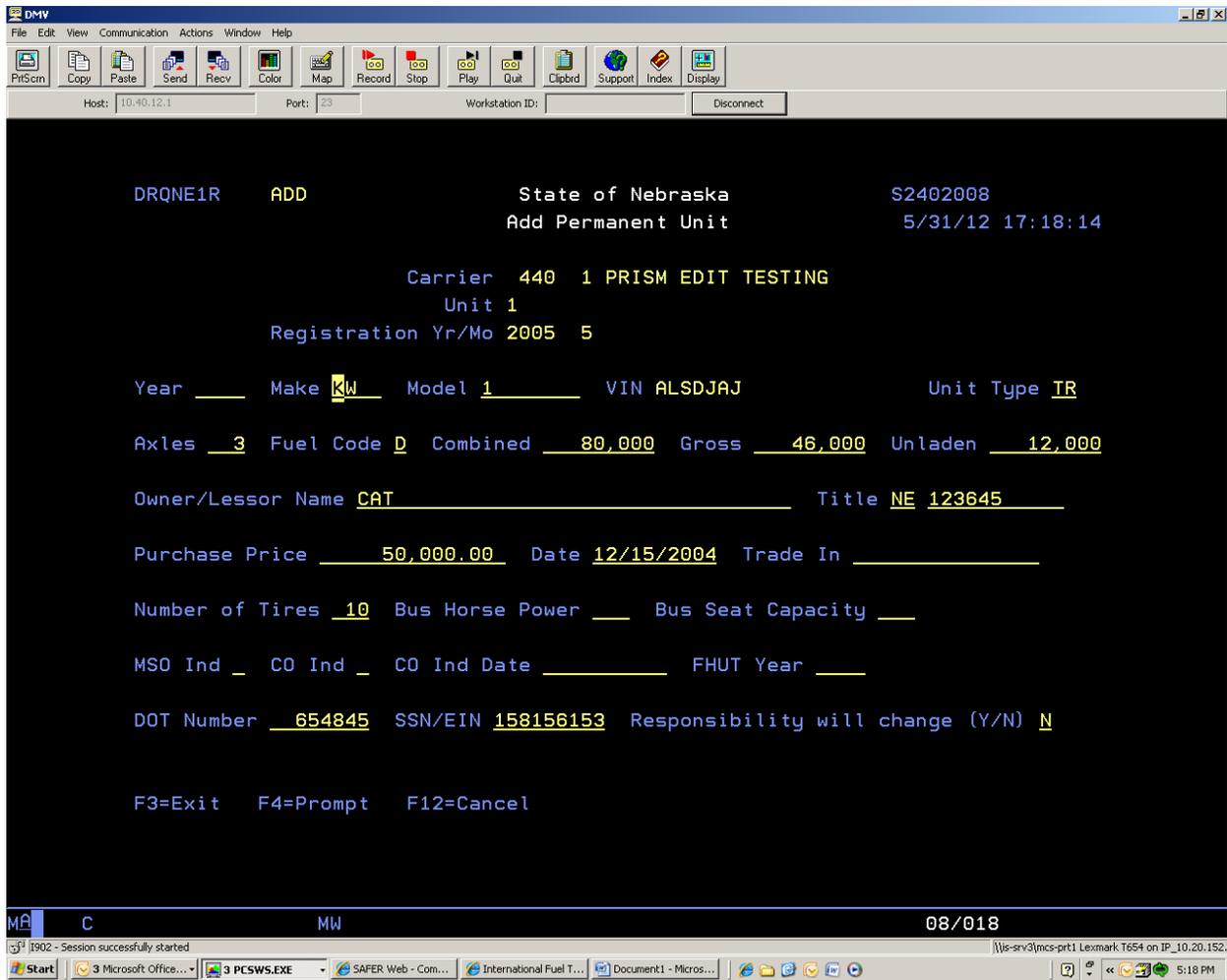
8.5   Frequently Asked Questions

1. **Can a Registrant-Only USDOT Number be used to register a vehicle?**

    Not after September 1, 2012. After September 1, 2012, if a "Vehicle Registrant-Only" company wants to register vehicles, the state system will use an indicator to designate the company as a Vehicle Registrant-Only. The company will then need to supply a valid Interstate Motor Carrier USDOT Number for the carrier that is responsible for safety of the vehicles to be registered.

2. **Is it necessary to validate the USDOT Number and Tax Identification Number (TIN) on Registrant-Only USDOT Numbers?**

    No. This process can be discontinued. The Vehicle Registrant-Only companies will no longer be required to supply a USDOT Number, so the validation process no longer applies.
    .

3. **If a leasing company or owner operator cannot provide the Motor Carrier Responsible for Safety, what should they do to register vehicles?**

    If the motor carrier that is responsible for safety cannot be identified, then the leasing company or owner-operator must obtain their own USDOT Number using one of the other available designations as the company operation.

4. **What if the company has company-operated vehicles and short-term lease owner/operators?**

    The USDOT Number at the registrant level will still be collected for registrants who are also a motor carrier, e.g. those with company-operated vehicles and short-term lease owner/operators.

5. **For efficiency reasons, some states also have an automatic drop-down of the USDOT Number from the registrant level to the vehicle level. Is a change needed?**

    This edit will also need to be revised so that the notation for a registrant who is not a motor carrier (if the "REGONLY" option is selected) is not automatically dropped down.

6. **Will changes need to be made to the Validation and Safety Edits?**

    The current validation and safety check edits will need to remain in place for the registrant USDOT Number **that is _also_ a motor carrier** number. The system edits will need to be modified for the registrant who is **_not_** also a motor carrier. They will need to recognize the notation REGONLY. The validation and safety checks will no longer be done when this REGONLY notation is encountered.

7.   **What changes to state forms and procedures are anticipated?**

States will need to modify instructions on the IRP forms, checklists, and in the manuals for the registrant and the IRP clerks. The requirement for a "registrant only" USDOT Number will need to be revised to explain what the registrant should indicate on the form, probably REGONLY (if the company is not also a motor carrier).

9.   Chapter Nine – Form Changes

- IRP Forms

- Roadside Form

- Letters

Form Changes

The tasks identified are in support of registration requirements 1, 8, 10, 11, 12, and law enforcement requirement 1. Sample forms and letters are included at the end of this chapter.

The following forms need to be added or modified:

- IRP Forms

    Schedules A and C
    Cab Card
    Temporary Authority Application (if different from Schedule C)
    Temporary Authority Credential
    Carrier IRP Instruction Manual
    Annual Renewal Notice and Instructions
    Rejection Notice for Application Errors
    Trip Permit

- Roadside Form

    Uniform Citation

- Letters

    Notice to carrier for broken lease
    Suspension
    Revocation

9.1   IRP Forms

9.1.1   Schedule A/C

Tasks

1.   Modify the IRP form Schedule A/C to:

- Include the USDOT Number of the registrant at the registrant level.
- Include the USDOT Number of the Carrier Responsible for Safety at the vehicle level.
- Include blocks for the TIN at the registrant <u>and</u> vehicle levels.
- Include block for a Yes/No (Y-N) to indicate whether the designated carrier responsible for safety is expected to change during the registration period.
- *NOTE: Change effective as of September 1, 2012.* Include a check box for Registrant-Only. For these cases, the Registrant-level USDOT Number and TIN will not be required.

   If the state maintains a separate IRP schedule C, modify the Schedule C to

- Include the USDOT Number of the Carrier Responsible for Safety at the vehicle level.
- Include block for the TIN at the vehicle level.
- Include block for a Yes/No (Y-N) to indicate whether the designated Carrier Responsible for Safety is expected to change during the registration period.

Why

The USDOT Number will identify the carrier responsible for the safe operation of the vehicle at the time of registration. The principal objective is to establish the initial "link" between every vehicle registered and an entity that will be responsible for its safe operation during the registration year. This will enable the safety checks to be done during the registration process.

All PRISM actions are based on the actual safety performance of a motor carrier. Therefore, it is critical that all safety events (crashes, roadside inspections, etc.) be properly assigned to the motor carrier that was responsible for the safe operation of the vehicle at the time of the event. The linkage established by this requirement also provides for the proper assignment of these events.

In addition to the USDOT Number, all carriers must provide a TIN when completing an IRP application in order to validate the USDOT Number. A TIN may be the registrant's Federal Employer Identification Number or Social Security Number (9 digits).

The forms need to include whether the carrier is expected to change during the registration year. If the safety responsibility of the vehicle is not expected to change during the year, the cab card should reflect the carrier USDOT information at the vehicle level in the bar code on the registration card. If the safety responsibility is expected to change, then the bar code should only include information relative to the registrant, not the Motor Carrier Responsible for Safety.

9.1.2   Cab Card

Tasks

1.   Modify the cab card to incorporate the bar code.

2.   If the Motor Carrier Responsible for Safety is not expected to change during the registration period, include the carrier information in the bar code.

3.   If the Motor Carrier Responsible for Safety is not expected to change during the registration period, print the name, mailing address, and USDOT Number of the carrier responsible for safety. Clearly label this information as the Motor Carrier Responsible for Safety to avoid confusion with the information of the registrant.

4.   If the Motor Carrier Responsible for Safety is expected to change, do not include the carrier information in the bar code. However, do print in the Motor Carrier Responsible for Safety field "The Carrier Responsible for Safety is expected to change during the registration period"

5.   Cab cards / Bar codes should be certified by PRISM Technical Support and then recertified every two years or when a change is made to the IRP system.

Note: For the printed information on the cab card, the TIN should never be printed since this number can be a social security number, and therefore, should never be displayed. The USDOT Number of the registrant should also not be printed on the cab card. This can confuse law enforcement and could cause wrong information to be associated with the inspection, accident, or citation event.

Why

Since PRISM is a data-driven program, the quality of the CSA rankings is only as accurate as the carrier safety data. Therefore, it is crucial that every effort be made to assure current, correct safety data, and account for all events. Bar coding improves the accuracy of information recorded at the roadside and also speeds up the inspection process resulting in improved efficiencies for roadside enforcement officers, as well as the motor carrier industry. The printing of the Carrier Responsible for Safety information is helpful for the roadside enforcement officers that do not have bar code readers.

9.1.3 Temporary Authority Application

Tasks

1. Modify the temporary authority application if applicable, to capture the USDOT Number and TIN at the vehicle level.
2. Modify the temporary authority application if applicable, to capture if the Carrier Responsible for Safety is expected to change.

Why

When states grant temporary registration to a carrier, the carrier must be held accountable for safety events that occur under that temporary registration. Therefore, states must be able to incorporate PRISM requirements into temporary authority processes.

Note: Several states have simplified this process by eliminating the separate form for the application of temporary registration. Instead, the states have added to the Schedule C, a check-off block that indicates whether the registrant desires a temporary credential while waiting for the permanent one to be processed.

9.1.4 Temporary Authority Credential

Tasks

1. Modify the temporary authority credential to include the USDOT Number, name, and mailing address of the Carrier Responsible for Safety if it is not expected to change during the registration year (at the vehicle level.)
2. Modify the temporary authority credential to include the bar code if applicable, to capture the USDOT Number and other carrier information if appropriate.

Why

The USDOT Numbers are the basis of the PRISM system to ensure events are captured onto the correct carrier records in MCMIS.

Bar coding improves the accuracy of information recorded at the roadside and provides efficiency at the roadside.

If the safety responsibility of the vehicle is not expected to change during the year, the credential should reflect the carrier USDOT Number, name, and mailing address at the vehicle level in the bar code and printed on the temporary authority. If the safety responsibility is expected to change, then the bar code should not have any information concerning safety responsibility. The statement "The Carrier Responsible for Safety is expected to change during the registration period" should be printed.

9.1.5   Carrier IRP Instruction Manual

Task

1.   Modify the instruction manual with the new procedures and data requirements for registration:

   - Include the requirement for USDOT Number for the registrant

   - Include the requirement for Tax Identification Number (TIN) for the registrant.

   NOTE: Change effective as of September 1, 2012.
   In cases where the registrant is a "Registrant-Only" or "Inactive" entity, and does not have operating authority to move vehicles in interstate commerce, a USDOT Number and TIN is not required at the registrant level. The USDOT Number and TIN of the Motor Carrier Responsible for Safety will be required at the vehicle level.

   - Include how to obtain a USDOT Number and the need for the MCS-150 and MCS-150A forms/information to obtain the number.

   - Include information on the new URS rule regarding Biennial Updates to their MCS-150 data.

   - Include the requirement for USDOT Number and TIN for the Motor Carrier Responsible for Safety if different from the registrant.

   - Include examples of carrier/registrant combinations and how to complete the schedules with the proper USDOT Numbers.
   (Examples included on the sample instruction pages at the end of this chapter.)

   - Include the information about online updating of the MCS-150 information on MCMIS and provide the website address - www.safer.fmcsa.dot.gov.

Why

To ensure that motor carriers understand the changes involved in the PRISM program, the state must provide information to motor carriers prior to the implementation of PRISM by modifying the IRP manual. In addition, providing information and encouraging registrants and motor carriers to update MCS-150 data on MCMIS directly provides great efficiency in the process. This will ensure a more efficient IRP renewal process.

9.1.6   Annual Renewal Notice and Instructions

Tasks

1.   Like the changes to Schedules A, modify the annual renewal notice to include USDOT Numbers and the TIN at the registrant and vehicle level and the indicator column for determining if the Carrier Responsible for Safety is expected to change during the registration year. The TIN should not be printed on the renewal at the vehicle level. Use asterisks in the TIN field. The field is necessary at the vehicle level for when the registrant changes the USDOT Number at the vehicle level and for newly added vehicles.

   NOTE: Change effective as of September 1, 2012.

   In cases where the registrant is a "Registrant-Only" or "Inactive" entity, and does not have operating authority to move vehicles in interstate commerce, a USDOT Number and TIN is not required at the registrant level. The USDOT Number and TIN of the Motor Carrier Responsible for Safety will be required at the vehicle level.

2.   Include information on the new URS rule regarding Biennial Updates to their MCS-150 data. Inform them that their registration will be denied for failing to meet the Biennial registration update.

3.   Print the website address on the renewal notice or instruction page for the registrants/carriers to update their MCS-150 information if required - www.safer.fmcsa.dot.gov.

Why

Once a current state motor carrier census has been established, the information is kept current through the annual IRP renewal process. As pointed out by the USDOT Office of the Inspector General, up-to-date census information is crucial for the accurate identification of high-risk carriers.

9.1.7   Rejection Notice for Application Errors

Task

1. Add the following items to your state's rejection letter for IRP application errors:

    *   Our records show the registrant USDOT Number on your renewal has been deactivated for failing to meet the Biennial registration update. Please update the MCS-150 information for your number online at www.safer.fmcsa.dot.gov. Return your application after you have completed the update.

    *   Our records show the Motor Carrier Responsible for Safety USDOT Number at the vehicle level on your renewal has been deactivated for failing to meet the Biennial registration update. The carrier must update the MCS-150 information for the number online at www.safer.fmcsa.dot.gov. Return your application after the update has been completed.

    *   You do not have a USDOT Number on your renewal for the Motor Carrier Responsible for Safety (vehicle level). Every vehicle must have a Motor Carrier Responsible for Safety listed on your application.

    *   You do not have a tax identification number (FEIN or SSN) on your renewal for the Motor Carrier Responsible for Safety (vehicle level).

    *   You do not have a USDOT Number listed in section A for the registrant. Every registrant must provide a USDOT Number, unless the company is designated as a "Registrant-only" or Inactive. If you do not have a number, you can apply for one online at www.safer.fmcsa.dot.gov

    *   You do not have a tax identification number (FEIN or SSN) listed in section A for the registrant. Every registrant must provide a tax identification number, unless the company is designated as a "Registrant-only" or Inactive.

Why

The notice you send to the registrants with the errors to the IRP registration application must now include the additional items for the PRISM requirements for USDOT Number and TIN collection as well as the MCS-150 update.

9.1.8   Trip Permit

Task

1.   Print a disclaimer on the trip permit to indicate it is void if the carrier responsible for safety has been placed out-of-service by the federal government.

Why

Most states use agents to sell trip permits. These agents are located throughout the United States and are numerous. Requiring the agents to check the safety status of the carriers is not feasible at this time. A low tech solution of marking the permit credential as void if the carrier is out-of-service provides law enforcement with another tool in their toll box at the roadside.

9.2   Roadside Form

9.2.1   Uniform Citation

Task

1. Include USDOT Number on citations.

Why

Since PRISM is a data driven program, the quality of the CSA rankings is only as accurate as the carrier safety data. Therefore, it is crucial that every effort be made to assure current, correct safety data and account for all events. As more and more states implement electronic citation programs, the USDOT Number on the form becomes more useful.

9.3   Letters

9.3.1   Notice to carrier for broken lease

Tasks

1   Create a letter to send to the Motor Carrier Responsible for Safety for the situation where the registrant's USDOT Number is out of service. Request the carrier notify you if the lease is broken during the registration year. (Sample letter in section 8.5.11).

OR

Contact the Motor Carrier Responsible for Safety by telephone requesting this information.

Note: Explain to the carrier that you need this information to remove his USDOT Number from the file for this registrant if the lease is broken so that the registrant can be contacted for information on who is the new Motor Carrier Responsible for Safety.

2.   If the carrier responsible for safety then does notify you of a broken lease, contact the registrant for proof of another lease to another good carrier.

3.   If a new lease is not provided, suspend the registrant's registration until such time that a new lease is provided.

Why

If the lease is broken, the vehicle no longer has a good carrier responsible for safety. The registrant cannot be the default motor carrier since the registrant is OOS. If there is a non-match for an event, the former

carrier responsible for safety could have the event recorded on his record if he does not contact the IRP office with the change in lease information. The carrier usually wants to cooperate for this reason.

9.3.2   Suspension

Task

1.   Create two suspension letters or add a new reason code to existing suspension form letters to indicate suspension is a result of the federal action and will remain in place until the federal Out-of Service Order is lifted. One letter is for the motor carrier who has been placed out-of-service. The second letter is for the registrant who is not the motor carrier but who is associated with the motor carrier who has been placed out-of-service.

Why

Since the state will now be suspending motor carriers for federal out-of-service orders, the language in the current letters must be modified to reflect this reason for suspension. Two letters are necessary since the vehicles can be registered in either the motor carrier's name or in the case of a lease arrangement, in the lessor's name.

9.3.3   Revocation

Task

1.   Create two revocation letters or add a new reason code to existing revocation form letters to indicate suspension is a result of the federal action and will remain in place until the federal out-of-service order is lifted. One letter is for the motor carrier who has been place out-of-service. The second letter is for the registrant who is not the motor carrier but who is associated with the motor carrier who has been placed out-of-service.

Why

Since the state will now be revoking motor carriers for federal out-of-service orders, the language in the current letters must be modified to reflect this reason for revocation. Two letters are necessary since the vehicles can be registered in either the motor carrier's name or in the case of a lease arrangement, in the lessor's name.

9.4 Sample Forms

9.4.1 Schedule A

NAME OF REGISTRANT									PLEASE TYPE OR PRINT WITH INK	TYPE OF APPLICATION	TYPE OF OPERATION	U.S. DOT NUMBER

PLEASE TYPE OR PRINT WITH INK

INTERNATIONAL REGISTRATION PLAN

FLORIDA APPLICATION

SCHEDULE A

DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES
BUREAU OF MOTOR CARRIER SERVICES
Neil Kirkman Building, MS-62
2900 Apalachee Parkway
Tallahassee, Florida 32399-0626
Telephone (850) 617-3711
http://www.flhsmv.gov

NAME OF REGISTRANT

FLORIDA BUSINESS ADDRESS (DO NOT USE P.O. BOX)

CITY   COUNTY   STATE **FLORIDA**   ZIP CODE

MAILING ADDRESS

CITY   COUNTY   STATE   ZIP CODE

PERSON TO CONTACT REGARDING APPLICATION

EMAIL ADDRESS (OPTIONAL)   TELEPHONE NUMBER

IF THE ABOVE ADDRESSES OR TELEPHONE NUMBER ARE DIFFERENT FROM WHAT WAS ON YOUR PREVIOUS APPLICATION PLEASE CHECK THIS BOX: ☐

TYPE OF APPLICATION
☐ ORIGINAL
☐ RENEWAL
☐ ADD FLEET
☐ ADD STATE
☐ ADD VEHICLE
☐ TRANSFER
☐ INCREASE WEIGHT
☐ CORRECTION
☐ FLEET TO FLEET TRANSFER

TYPE OF OPERATION
☐ EXEMPT COMMODITY CARRIER
☐ HOUSEHOLD GOODS CARRIER
☐ FOR HIRE CARRIER
☐ PRIVATE CARRIER (OWNS GOODS BEING TRANSPORTED)

U.S. DOT NUMBER
Registrant Only ☐

FEI #
(THIS # IS REQUIRED TO REFERENCE YOUR IFTA ACCOUNT)

TRANSACTION TYPES
A – ADD VEHICLE   C – CORRECTION   D – DELETE VEHICLE
O – ORIGINAL   R – RENEWAL

VEHICLE TYPES
TT – TRUCK TRACTOR   TK – TRUCK (SINGLE)
TR – TRACTOR   BS – BUS

FUEL TYPES
D – DIESEL   G – GAS   P – PROPANE

IRP ACCOUNT NUMBER   FLEET NUMBER   **VEHICLE INFORMATION**   LICENSE YEAR

TRANS-ACTION TYPE	OWNER'S UNIT NUMBER	YEAR	MAKE	VEHICLE IDENTIFICATION NUMBER	TYPE	AXLES SEATS	FUEL	COLOR	GROSS OR COMBINED GROSS WEIGHT	EMPTY WEIGHT	DATE OF PURCHASE (M/D/Y)	OWNER'S PURCHASE PRICE	FACTORY LIST PRICE	FLORIDA TITLE NUMBER	CARRIER RESPONSIBLE FOR VEHICLE SAFETY		
															US DOT NUMBER ASSIGNED TO VEHICLE	TAX PAYER IDENTIFICATION NUMBER (EIN, SSN) ASSIGNED TO VEHICLE	WILL THE DESIGNATED CARRIER RESPONSIBLE FOR SAFETY CHANGE DURING THE YEAR?
																	YES ☐ NO ☐
																	YES ☐ NO ☐
																	YES ☐ NO ☐
																	YES ☐ NO ☐
																	YES ☐ NO ☐
																	YES ☐ NO ☐
																	YES ☐ NO ☐
																	YES ☐ NO ☐

PLEASE BE SURE
YOU PRINTED YOUR NAME, SIGNED THE APPLICATION, AND ENCLOSED THE FOLLOWING REQUIRED DOCUMENTATION, AS NECESSARY.

☐ PROOF OF OWNERSHIP
☐ COPY OF LEASE, IF APPLICABLE
☐ SIGNED APPLICATION AND PRINTED NAME
☐ PROOF OF ESTABLISHED PLACE OF BUSINESS
☐ PROOF OF PAYMENT OF HEAVY VEHICLE USE TAX (IRS FORM 2290)
☐ PROOF OF BODILY INJURY AND PROPERTY DAMAGE LIABILITY INSURANCE WITH PIP

PLEASE **DO NOT** SEND MONEY WITH THIS APPLICATION. A BILL WILL BE CALCULATED AND MAILED TO YOU. *EARLY APPLICANTS WILL BE GIVEN PRIORITY.*

FLORIDA A SAFER HIGHWAY SAFETY AND MOTOR VEHICLES

HSMV 85900 (Rev. 10/10)

9.4.2 Cab Card

```
                    INTERNATIONAL REGISTRATION PLAN
                       IRP CAB CARD

Registrant

  ABC TRUCKING
  500 MAIN STREET
  ANYTOWN, KY  01002
```

IRP NUMBER	REG YEAR	PLATE#	VIN		
527455	2011	9NS067	TEST		
REGISTRATION DATE	VEH TYPE	DECAL#	REGISTRATION ID		REGISTERED WEIGHT
01-JAN-11	TT	850099	153047		80000
EFFECTIVE DATE	VEH MAKE	EQUIP#	TITLE#		UNLADEN WEIGHT
01-JAN-11	CHEV	1	1		17000
ENFORCEMENT DATE	EXPIRATION DATE	AXLE/SEAT	VEH YEAR	FUEL	FLEET#
31-DEC-11	31-DEC-11	3	2003	D	1

OWNER/LESSOR

THIS VEHICLE HAS BEEN IRP APPORTIONED REGISTERED WITH THE STATE AND THE FOLLOWING IRP
JURISDICTIONS AT THE WEIGHT LISTED BELOW:

```
KY  80000   IN  80000   OH  80000   TN  80000   **  *****   **  *****
**  *****   **  *****   **  *****   **  *****   **  *****   **  *****
**  *****   **  *****   **  *****   **  *****   **  *****   **  *****
**  *****   **  *****   **  *****   **  *****   **  *****   **  *****
**  *****   **  *****   **  *****   **  *****   **  *****   **  *****
**  *****   **  *****   **  *****   **  *****   **  *****   **  *****
**  *****   **  *****   **  *****   **  *****   **  *****   **  *****
**  *****   **  *****   **  *****   **  *****   **  *****   **  *****
**  *****   **  *****
```

Carrier Responsible for Safety

```
USDOT Number: 7654321
XYZ TRUCKING
600 MAPLE ROAD
OTHERTOWN, PA  21001
```

9.4.3   IRP Instruction Manual

For Registrant:

Instructions for schedule A and renewal notice for each vehicle:

If the registrant is the interstate motor carrier who will be responsible for the safe operation of the vehicle, please enter the USDOT Number of the registrant in the USDOT field. If you have multiple vehicles using the same USDOT Number, record the number in the first USDOT Number field for the first vehicle. Then record "same" in the second vehicle's USDOT Number field. In all subsequent fields using the same USDOT Number, you can draw a line. For example:

_____

International Registration Plan
VEHICLE SCHEDULE

Unit Number	USDOT Number
123	658941
456	same
789	|
654	|

If the numbers listed on your renewal are correct, no changes are needed.

If the registrant is a valid interstate motor carrier but is renting or leasing this vehicle to an interstate motor carrier who will be responsible for the safe operation of this vehicle, please provide the USDOT Number according to the following:

Short-term lease - If the vehicle will be rented or leased for less than 30 days to a motor carrier, please provide the registrant's USDOT Number for this vehicle.

Long-term lease - If the vehicle will be leased for 30 days or more to an interstate motor carrier, please provide the USDOT Number for the motor carrier responsible for the safety of this vehicle.

NOTE: Change effective as of September 1, 2012. If the registrant is a Registrant Only Company, for example a company that only rents/leases vehicles or an owner operator that always operates under another company's Operating Authority, the USDOT Number of the renter or lessee should be listed for this vehicle regardless if it is a short term or long term lease.

- Item xx on the Vehicle Schedule concerns leasing to another motor carrier. Answer the following question.

"Is the Motor Carrier Responsible for Safety expected to change in this registration period?" What we are asking is, "Is the control and responsibility for the safety of this vehicle expected to be assigned by lease to a different motor carrier during the registration year?"

Note: When a lease on a vehicle is changed, especially when changed to a long term lease, registrants are encouraged to update the Motor Carrier Responsible for Safety within the IRP account through use of an IRP schedule C.

The following are examples of situations that might help you determine the proper numbers to use on the Schedule A.

SCENARIO # 1

AAA Construction Company maintains an IRP account. AAA Construction Company registers all of its trucks. AAA Construction Company does not lease any equipment. On IRP Schedule A, the USDOT Number of AAA Construction Company is used in all places on the form where a USDOT Number is required. The carrier responsible for safety will <u>NOT</u> change during the registration year.

SCENARIO # 2

Mr. Joe Driver maintains an IRP account. Joe is an owner operator who registers his own truck. Joe continually trip leases to different motor carriers throughout the registration year. Joe has no idea to whom he will be leased from day to day. Joe has his own operating authority and his own USDOT Number. On the IRP Schedule A, Joe Driver's USDOT Number is used in all places on the form where a USDOT Number is required. The carrier responsible for safety will change continuously during the registration year.

SCENARIO # 3

Big Truck Leasing Company maintains an IRP account and registers four trucks. One truck is long-term leased to XYZ Trucking, and one truck is long-term leased to ABC Express Trucking. The lease with ABC Express Trucking will expire in six months. The third truck is continually trip leased to various customers throughout the registration year and the fourth truck is operated under Big Truck Leasing Company's authority.
On the IRP form at the vehicle level, the first truck will have the USDOT Number of XYZ Trucking listed, the second truck will have the USDOT Number of ABC Express Trucking, the third and fourth will have the number for Big Truck Leasing. The carrier responsible for safety will change for the second (the lease will expire) and third trucks (continuously trip leased.)

SCENARIO # 4

John Driver maintains an IRP account. John is an owner-operator who registers one truck. He leases the vehicle from Ryder and is long-termed leased to XYZ Trucking. On the IRP form at the vehicle level, the USDOT Number for XYZ Trucking is used and the carrier responsible for safety will NOT change during the registration year. Joe's number is used at the registrant level. Note. The Number for Ryder is not used anywhere on the form in this situation.
NOTE: Change effective as of September 1, 2012. If John Driver is an owner-operator that always operates under another company's Operating Authority he would be considered a registrant-only and not have a USDOT Number or would have an inactive USDOT Number. He would maintain an IRP account but would be designated as a registrant-only on this account and not required to provide a registrant-level USDOT Number. He would still register the vehicle as above, providing the USDOT Number and TIN for XYZ Trucking at the vehicle level, since XYZ Trucking is the Motor Carrier Responsible for Safety.

<u>If you or your company is responsible for the vehicle's safety, this USDOT Number must be displayed on the vehicle in accordance with FMCSA guidelines.</u>

9.4.4   Citation

Form 42001 H-3693
PLAINTIFF:

IOWA UNIFORM CITATION AND COMPLAINT
Law Enforcement Agency - West Des Moines Police Dept

22807PV

☒ State of Iowa   ☐ County of: Polk - 77 _____   No: 77   ☐ City of: _____

In the Court at Polk County Courthouse 500 Mulberry Street Room 103   Des Moines   IA   50309

VS.

Name SMITH   JOHN   T   SSN/DL# XXXXXXXXX _____   Date of Birth 12/12/56

Defendant, Last   First   Middle   Suffix

Address 21 WEST EUCLID _____   City DES MOINES _____   State IA   Zip Code 50317   Race Caucasian

DL State IA   Co # Polk - 77   DL Class C   DL End. NONE   DL Res. NONE   Height 5' 10"   Weight 210   Sex Male

The undersigned states that on or about   6/22/00 at 04:59 PM defendant did unlawfully: Operate Motor Vehicle/Boat 1986 CHEV   CAPRICE   2 DOOR

US DOT# _____   ICC# _____   Lic. Plate #/REG TTP009   State IA Year 2000 CMV? ☐ Yes ☒ No HazMat Plac Req? ☐ Yes ☐ No

Upon a public highway at 2900 EUCLID _____   Located in the county and state aforesaid and did then and there commit the following offense:

Scheduled Violation/Fine $40.00 _____   ☐ Court Appearance Required (805.10)   ☐ Road Construction Zone   ☐ Non-scheduled Violation

Surcharge $12.00 _____   Reason: ☐ Accident P.I. ☐ P.D. ☐ Fatal ☐ Civil Damage Assessment

Court Costs $15.00 _____   Violation SPEEDING 55 OR < (16 THRU 20)   Speed 45   in 25   Zone

Total Fine/Costs   **$67.00** _____   Sec #: 321.285-D   1999 IA Code DATA CODE 86C Fed/Adm. Code   Local Ord.

I certify under penalty of perjury and pursuant to the laws of the State of Iowa that the preceding is true and correct.

Officer's Signature _____   I.D. No. 117 _____   Dated 06/22/2000

22807PV

Court Date: If you must appear in court or if you choose to appear to answer charges which does not require an appearance, report to the above named court on: 06/22/2000 at 05:01 PM

NOTICE: Providing false information is a violation of Section 719.3 of the Code of Iowa and is punishable as an aggravated misdemeanor.

1. I promise to appear in said court at said time and place. I understand that a person who willfully fails to appear in court as specified by this citation may be subject to arrest and/or loss of driving privileges.
2. If a court appearance is not required, I may enter a plea of guilty prior to the designated appearance date by delivery in person, or by agent, or by mail to the court specified by this citation.
3. For simple misdemeanors only: "I hereby give my unsecured appearance bond in the amount of $93.00 dollars and enter my written appearance. I agree that if I fail to appear in person or by counsel to defend against the offense charged in this citation, the court is authorized to enter a conviction and render judgement against me for the appearance bond in satisfaction of the penalty and surcharge plus court costs.

Signature of Defendant _____   Dated 06/22/2000

22807PV

☐ **APPEARANCE PLEA OF GUILTY**

I, the undersigned, do hereby enter my appearance on the complaint of the offense charged on this citation. I have been informed of my right to a fair trial, that my signature to this plea of guilty will have the same effect as a judgment of court and this record will be sent to the Department of Transportation of this state(or of the state of my residence). I do hereby PLEAD GUILTY to said offense as charged and agree to the penalty for my offense.

☐ **IF YOU ARE REQUIRED TO POST BAIL TO OBTAIN RELEASE**

A. If you desire to enter a plea of guilty, the officer may release you from custody upon observing you mail the citation, admission of guilt and minimum fine, surcharge, with court costs to a traffic violations office in an envelope provided by the officer.

B. If you choose to plead NOT GUILTY, the officer may release you from custody by observing you mail the citation, and one and one half times the minimum fine, surcharge, with court costs, or in lieu of one and a half times the fine and costs a guaranteed arrest bond certificate together with signing the following statement:

"I agree that either (1) I will appear pursuant to this citation or (2) if I do not so appear, the amount of bail will be forfeited."

Dated _____

Signature of Defendant _____

9.4.5   Suspension Notice

Iowa Department of Transportation

Office of Motor Carrier Services   Voice: (515) 237-3250
PO Box 10382, Des Moines, IA 50306-0382   Fax: (515) 237-3252

Date

Registrant's Name
Registrant's Address
City, State, Zip Code

Dear _Registrant_:

Pursuant to _Iowa Code Section 321.101, subsection 9, the Iowa Department of Transportation_ is suspending the registrations of all commercial motor vehicles assigned to _carrier's name_ as a commercial motor carrier in the State of _Iowa_.

This action is being taken because the Federal Motor Carrier Safety Administration has declared _carrier's name_ an imminent hazard under the Motor Carrier Safety Act of 1984 [49USC 521(b)(5)(A)] as implemented by 49 CFR 386.72(b). The suspension of all registrations of commercial motor vehicles assigned to _carrier's name_ as a commercial motor carrier will remain in effect until the Federal Motor Carrier Safety Administration's Operations Out-Of-Service Order has been rescinded.

Pursuant to _Iowa Code Section 321.103_, you are instructed to immediately surrender, to the officer serving this notice, all registration(s) and plate(s) of the commercial motor vehicles assigned to be operated by _carrier's name_ as a commercial motor carrier in the State of _Iowa_.

All plate(s) and registration(s) that are not immediately available must be returned within 24 hours of receipt of this notice to:

Iowa Department of Transportation
Office of Motor Carrier Services
Park Fair Mall, 100 Euclid
Des Moines, IA 50306-0382

Failure to comply with the requirements of this notice may result in further penalties being brought against you. You are entitled to appeal this suspension, and we must receive your request for appeal in writing at the address shown above within 20 days of the receipt of this notice.

Sincerely,

Suspension Authority, Title
Office/Department Name

9.4.6 Revocation Notice

Unfit - Out Of Service - Revocation Letter

Iowa Department of Transportation
Office of Motor Carrier Services
PO Box 10382, Des Moines, IA 50306-0382

Voice: (515) 237-3250
Fax: (515) 237-3252

March 27, 2001

CARRIER NAME
STREET ADDRESS
CITY, STATE 12345-1234

To Whom It May Concern:

Pursuant to Iowa Code Section 321.101, subsection 9, the Iowa Department of Transportation is revoking the registrations of all commercial motor vehicles assigned to you as a commercial motor carrier in the State of Iowa.

This action is being taken because the Federal Motor Carrier Safety Administration has declared CARRIER NAME unfit under the Transportation Equity Act of the 21st Century [Section 4009, 49 USC 31144] as implemented by 49 CFR 385.13. The revocation of all registrations of commercial motor vehicles assigned to you as a commercial motor carrier in Iowa will remain in effect until the Federal Motor Carrier Safety Administration's Operations Out-Of-Service Order has been rescinded.

Pursuant to Iowa Code Section 321.103, you are instructed to immediately surrender, to the officer serving this notice, all registration(s) and plate(s) of the commercial motor vehicles assigned to be operated by CARRIER NAME as a commercial motor carrier in the State of Iowa.

All plate(s) and registration(s) that are not immediately available must be returned within 24 hours of receipt of this notice to:

Iowa Department of Transportation
Office of Motor Carrier Services
Park Fair Mall, 100 Euclid
Des Moines, IA 50306-0382

Failure to comply with the requirements of this notice may result in further penalties being brought against you. You are entitled to appeal this revocation, and we must receive your request for appeal in writing at the address shown above within 20 days of the receipt of this notice.

Sincerely,

Administrator's Name
Title

initials

9.4.7 Request for Motor Carrier to Notify State of Broken Lease

STATE OF NEBRASKA

Dave Heineman
Governor

DEPARTMENT OF MOTOR VEHICLES
Beverly Neth
Director

August 3, 2006

DON SCHILLE, PRESIDENT
WAYMORE TRANSPORTATION INC
8201 HICKORY STREET NE
FRIDLEY, MN 55432
US DOT # 621780

Dear Mr. Schille:

Please be advised that the motor carrier listed below has had his/her registration suspended by the Federal Motor Carrier Safety Administration:

STERNCO INC
DBA STERNCO LOGISTICS
7625 BEDFORD AVE
OMAHA, NE 68134
US DOT # 1372735

This registrant has identified Waymore Transportation Inc (US DOT # 621780) as the motor carrier in charge of safety for the IRP registration credentials assigned to the vehicle(s) listed below.

Unit #	VIN	Plate Number
344	1FUJAPCG51LG75504	113941

Please be advised that if you are not the motor carrier in charge of safety or if the above registrant breaks lease with your company, you are requested to advise us immediately at the address/phone number below:

Nebraska Department of Motor Vehicles
Division of Motor Carrier Services
PO Box 94729
Lincoln, NE 68509-4729
402-471-3894

Thank you for your cooperation.

Sincerely,

Cathy Beedle, Administrator
Nebraska Division of Motor Carrier Services

Cathy Beedle, Administrator • Motor Carrier Services Division
301 Centennial Mall South • P.O. Box 94729 • Lincoln, Nebraska 68509-4729 • Phone (402) 471-4435 • TDD (402) 471-4154 (Hearing Impaired)
http://www.dmv.state.ne.us

Nebraska
DMV
Department of Motor Vehicles

An Equal Opportunity/Affirmative Action Employer
Printed with soy ink on recycled paper

BUCKLE UP —
SAVES LIVES!

10. Chapter Ten – Computer Screens Modifications

- IRP Existing Screens

- Local Census or CVIEW Files

Computer Screens Modifications

See the PRISM System Specifications for the technical details of these changes. This section covers tasks in support of Registration requirements 1, 8, 10, 11, and 12.

10.1 IRP Existing Screens

Tasks

Registrant Level

1. Modify IRP screen formats to capture:

    - The USDOT Number at the registrant level.

    - The TIN at the registrant level in order to validate correctness of the USDOT Number with the file selected by the state for validation.

      NOTE: Change effective as of September 1, 2012.
      In cases where the registrant is a "Registrant-Only" entity, and does not have operating authority to move vehicles in interstate commerce, a USDOT Number and TIN is not required at the registrant level.

      The IRP Screen should have some type of indicator to show that the entity is a Registrant-Only, such as a check-box, or using the words REG-ONLY in the USDOT Number field.

      The USDOT Number and TIN of the Motor Carrier Responsible for Safety will be required at the vehicle level.

    - If the state has an automated temporary credential process, modify the screen for temporary process to capture the USDOT Number and TIN for verification.
    - Denial/suspension /revocation and reason for action based on the MCSIP step. (This is necessary only if the state has chosen to automate the collection of data for reporting to FMCSA)

Vehicle Level

2.   Modify IRP screen formats to capture:

- The USDOT Number at the vehicle level.

- The TIN at the vehicle level in order to validate correctness of the USDOT Number.
- Denial/suspension /revocation and MCSIP step. (This is necessary only if the state has chosen to automate the collection of data for reporting to FMCSA)

- Modify screens to include indicator (Y-N) of whether the designated Motor Carrier Responsible for Safety is expected to change during the registration period.

- If the state has an automated temporary credential process, modify the screen for temporary process to capture the USDOT Number and TIN for verification.

Why

The IRP screens need to be modified to collect the required data elements at both the registrant and the vehicle levels. The carrier responsible for the safe operation of the vehicle will be identified at the time of registration by the USDOT Number. The principal objective is to establish the initial "link" between every vehicle registered and an entity that will be responsible for its safe operation during the registration year. This will enable the safety checks to be done during the registration process. All PRISM actions are based on the actual safety performance of a motor carrier.

In order to validate the USDOT Number, all registrants must provide a TIN when completing an IRP application. A TIN may be the registrant's Federal Employer Identification Number or Social Security Number - 9 digit fields. A separate data field for the registrant's TIN must be included on the IRP registrant information screen as well as a field for the TIN of the motor carrier at the vehicle level to validate against the local census file (or other method if selected by the state to do the validation).

If the safety responsibility of the vehicle is not expected to change during the year, the cab card should reflect the carrier USDOT information at the vehicle level in the bar code and print on the registration card. The screens must include a field to indicate whether the carrier is expected to change during the registration year.

When states grant temporary registration to a carrier, the carrier must be held accountable for safety events that occur under that temporary registration. Therefore, states must also incorporate PRISM requirements into the temporary authority processes. If the process is automated, the screens need to be adjusted accordingly.

The fields for the denial/suspension and revocation with the MCSIP step for the action are necessary for the quarterly report to FMCSA. A summary of the actions across the IRP files is necessary every quarter.

10.2   Local Census or CVIEW Files

Tasks

1.   Add a screen for the local census or CVIEW file updates where the operator may change the name and mailing address of the carrier responsible for safety.

Why

When the state bar codes the cab cards, the name and mailing address information for the Motor Carrier Responsible for Safety is retrieved from the local census file or CVIEW. If the information is updated on the day the operator is processing the renewal, the information on the census file and CVIEW will be out of date until the next day. Therefore, the operator must be able to update the census file or CVIEW with the current information so that the cab card bar code and print is accurate.

11. Chapter Eleven – Computer Program Modifications and Communications

- **IRP Programs and Files**

- **Establish Method to Validate the USDOT Number**

- **Validate or Issue the USDOT Number**

- **Check Carrier Safety Status**

- **Enforcement Query**

- **Temporary Authority**

- **Cab Card**

- **Provide Assistance to Obtain/Correct Addresses**

- **PRISM Central Site Target File Update and Report of OOSO Carriers' Vehicles**

- **Query PRISM Target File (Roadside Inspections)**

- **Quality**

- **Report for FMCSA on Denials, Suspensions and Revocations**

- **Summary of PRISM Systems Coordination for Initial Implementation**

Computer Program Modifications and Communication Links

This section covers tasks in support of Registration requirements 1, 3, 4, 5, 6, 8, 9, 10, 11, 12, 13, and Enforcement requirements 1 and 2.

11.1 IRP Programs and Files

Tasks

Modify IRP System when entering USDOT Number to be able to enter TIN and have program validate correctness with the Local PRISM Census File (or other file selected by the state) at the registrant level and at the vehicle level. If desired, the vehicle level fields can be automatically populated with the same USDOT Number and TIN as provided at the registrant level unless the operator data enters different information. The USDOT Number (and TIN) at the registrant and vehicle levels are identical in over 50% of the IRP accounts.

NOTE: Change effective as of September 1, 2012. In cases where the registrant is a "Registrant-Only" entity, and does not have operating authority to move vehicles in interstate commerce, a USDOT Number and TIN is not required at the registrant level. If a USDOT Number with an entity type of "R" for Registrant-Only and a MCMIS status of inactive or "I" is found during the validation process, please notify the company that they are a "Registrant-Only" or inactive.

The IRP Screen should have some type of indicator to show that the entity is a Registrant-Only, such as a check-box, or using the words REG-ONLY in the USDOT Number field. Since there is no USDOT Number for the registrant in this situation, do not automatically populate the vehicle level. The USDOT Number of the Motor Carrier Responsible for Safety will need to be provided at the vehicle level.

The inquiry to "validate" the USDOT Number should be made without any operator intervention by having the state system take input data, make an inquiry on its "validation database" and evaluate the result. This would involve using the USDOT Number as the primary search key, retrieve a record and compare the stored TIN to the input TIN and if equal, the record is considered to be "validated" at the first step. The validation program should also error USDOT Numbers that are inactive. The inactive must be made active after FMCSA approval. If the entity type is intrastate, then this should validate only at the registrant level. Intrastate USDOT Numbers are not valid at the vehicle level. Intrastate numbers must be changed to be authorized for interstate operations at the vehicle level. If the validation does not encounter any of these situations, then the operator should not be stopped from continuing through the registration system process. If any part of the "validation process" fails, the operator should be notified with an error message so that the input data can be checked that it was correctly entered and other corrective actions are taken as needed.

1. Modify to store:

   ▪ The USDOT Number at the registrant level.

   ▪ The USDOT Number at the vehicle level.
   (Cannot be an "R", "S", or "I" entity type on MCMIS. Acceptable entity type values are "C" for Carrier and "B" for both Carrier and Shipper)

2. Determine if the state IRP office wants to file the TIN for future reference. If so, modify files to store the TIN at both the registrant and vehicle levels.

3. Create fields for the recording of a denial of registration and reason for denial (MCSIP step) that is determined by the IRP operator. (This is necessary only if the state has chosen to automate the collection of data for reporting to FMCSA)

Why

The USDOT Numbers are collected and validated to ensure accountability so that no vehicle is plated without identifying an entity that is responsible for its safe operation during the registration year. In addition to the USDOT Number, all registrants must provide a TIN when completing an IRP application so that the USDOT Number can be validated. A TIN may be the registrant's Federal Employer Identification Number or Social Security Number. The validation is done to ensure the number has been issued and to prevent fraudulent recording of a USDOT Number on a registration application.

NOTE: Change effective as of September 1, 2012. In cases where the registrant is a "Registrant-Only" entity, and does not have operating authority to move vehicles in interstate commerce, a USDOT Number and TIN is not required at the registrant level.

Since the USDOT Number and TIN are the same at both the registrant and vehicle levels over 50% of the time, it is easier for the IRP clerks who are data-entering this information if the vehicle level is auto populated with the number used in the registrant level. The operator must override the USDOT Number at the vehicle level if the numbers are not the same. There is some danger with this auto population. **The IRP operators must be aware that they need to change the numbers at the vehicle level if they are not the same as the registrant level.**

The USDOT Numbers will also enable the safety checks to be done during the registration process.

11.2 Establish Method to Validate the USDOT Number

Complete tasks for the method selected by the state to validate the USDOT Number:

11.2.1 Load and Maintain the Local PRISM Census File

Tasks

1. Make arrangements with the PRISM Central Site at the Volpe Center, PrismTechnicalSupport@dot.gov, to receive the Local PRISM Census File and daily updates. **The PRISM Census File is a subset of the MCMIS Census File.**

2. Develop the programs necessary to load the initial Local PRISM Census File when the file is received from the PRISM Central Site.

3. Develop the programs necessary to retrieve the daily PRISM Census File Updates from the Volpe SFTP Site.

4. Develop the programs necessary to correctly process the daily PRISM Census File Updates.

5. Contact the Prism Central Site to arrange for a refreshed Local PRISM Census Baseline File prior to entering production.

- OR -

11.2.2 Use the CVIEW Database for Initial Validations

Tasks

1. Contact the SAFER Help Desk at FMCtechsup@dot.gov to arrange for distribution of the CVIEW database.

2. Arrange for daily carrier updates to the data of its CVIEW database.

- OR –

11.2.3 Use SAFER Carrier/Census Web Services for Initial Validations

Task

1. Contact SAFER Help Desk at FMCtechsup@dot.gov to arrange for access to SAFER Web Services

Why

States must select a method to validate the USDOT Number. The state must make inquiries to validate USDOT Numbers.

11.3 Validate the USDOT Number

Tasks

1. Develop the programs for users to submit an inquiry to the selected validation process and to receive the appropriate response when a non-match, inactive record, registrant only, intrastate, shipper or intermodal record at the vehicle level is found.

2. Using the USDOT Number value entered on the screen for both the registrant and the Motor Carrier Responsible for Safety; perform lookups against the PRISM Local Census file or CVIEW equivalent.

    *   If the USDOT Number is not found, issue a message to the user that says --the USDOT Number entered does not exist on the PRISM Local Census File (or CVIEW) as entered. Please retype the value or make sure that a USDOT Number exists in MCMIS before proceeding. **Otherwise Reject.**

    *   If the USDOT Number is found but the TIN entered on the screen does not equal the TIN value on file, issue a message that says --the TIN entered does not match the value on file -- and show that value from the database.

    *   If the USDOT Number is found but it is inactive, issue a message that the number is inactive and the operator should reject the application until the carrier contacts FMCSA to make the number active again.

    *   If the USDOT Number is found but it is an intrastate only and the number is listed at the IRP vehicle level, issue a message that the number is an intrastate number only and the operator should reject the application until the carrier changes the number to be for interstate operations too.

    *   If the USDOT Number is found but the entity type is "Registrant Only" or "Inactive" and the number is listed at the IRP vehicle level, issue a message that a registrant only number or inactive number cannot be listed as a Motor Carrier Responsible for Safety (at the vehicle level.) Reject the application. Notify the Registrant-Only or inactive company that Registrant-Only USDOT Numbers are eliminated as of September 1, 2012 and that their Registrant USDOT Number was made inactive on October 15, 2012.

    *   *NOTE: Change effective as of September 1, 2012. If Registrant-Only USDOT Number is not inactivated by the registrant, it will automatically be inactivated by FMCSA on October 15, 2012 or shortly thereafter.*

    *   If the USDOT Number is found but the entity type is "Shipper" and the number is listed at the IRP vehicle level, issue a message that a shipper number cannot be listed as a Motor Carrier Responsible for Safety (at the vehicle level.) Reject the application.

- If the USDOT Number is found but the entity type is "Intermodal" and the number is listed at the IRP vehicle level, issue a message that a intermodal number cannot be listed as a Motor Carrier Responsible for Safety (at the vehicle level.) Reject the application.

3.   Create an override option and override report for the supervisor.

Why

The state needs the ability to verify the USDOT Number presented by the registrant during the registration process. This is done by matching the information (USDOT Number, TIN) provided by the registrant against the Local PRISM Census file using a local Census Inquiry Transaction or against the CVIEW database. The inquiry to "validate" the USDOT Number should be made without any operator intervention by having the state system take input data, make an inquiry on its "validation database" and evaluate the result. The primary purpose of the Inquiry transaction is to confirm the USDOT Number presented by the registrant and determine if it is active and for interstate operation. If any part of the "validation process" fails, the operator should be notified with an error message so that the input data can be checked that it was correctly entered. In a non-match transaction, it is recommended a response include the data entered compared to the data obtained from the validation file. If the record is inactive or is an intrastate number only, return the message with this information.

The name and address of the carrier responsible for safety is also obtained with this transaction.

It is expected that most inquiries will be completed successfully by accessing the information on the selected database. If no match is found using this process, or if the information is inadequate, the state can initiate the second level of validation through a MCMIS Search with the USDOT Number and TIN.

Since the system is validating from the Local census file or CVIEW, both of which are updated nightly, an override must be provided for the IRP operator to use to continue the application processing when a carrier has updated MCMIS with the correct information.

The override report is for the supervisor to review and verify the proper use of the override function.

11.4 Check Carrier Safety Status

Tasks

1. Determine which method; Local PRISM Target File, PRISM Target File on CVIEW, or an Internet inquiry, for providing inquiry is better for the state's operations. In addition to this purpose of checking the safety status when registering under IRP, consider how enforcement obtains information currently, whether the local file, access to the CVIEW or an Internet inquiry "fits" into your operations best and consider the costs associated with the different methods. Refer to the Query PRISM Target file section later in this chapter.

2. Develop the programs necessary to provide for inquiry capability for the selected method, including behind the scenes checking in the IRP operations.

> For maintaining a Local PRISM Target File:
>
> A1. Coordinate with the PRISM Central Site, (PrismTechnicalSupport@dot.gov) to receive a copy of the Local PRISM Target File on a daily basis.
> A2. Develop programs to download the file from the Volpe SFTP Site and load the file on the state's system.
> A3. Develop the programs necessary to provide for inquiry capability into the Local PRISM Target File
>
> **OR**
>
> For inquiry to PRISM Web Services
>
> B1. Coordinate with the PRISM Central Site PrismTechnicalSupport@dot.gov to obtain an account and URL to access the PRISM Web Services.
>
> **OR**
>
> For inquiry into state's CVIEW,
>
> C1. Contact the SAFER help desk to arrange for distribution of the CVIEW database and a subscription to the PRISM Targeted Vehicle File.
> C2. Load fresh file onto CVIEW daily as it becomes available.

3.	Check the safety status automatically without operator intervention on each IRP registration or renewal by making an inquiry by using the method selected above to ensure that the carrier responsible for safety of every vehicle does not have;
1.) an order prohibiting interstate operations, or
2.) the vehicle does not have a registration suspension/revocation from another state or is associated with an out-of-service carrier.

- Using the USDOT Numbers value entered on the screen for both the registrant and the Motor Carrier Responsible for Safety, perform lookups against the file selected above and get the MCSIP Step for all USDOT Numbers.
- If the USDOT Number is found but the MCSIP Step is between 52 and 68 excluding step 59, issue a message that says --the USDOT Number entered is step xx- plus the literal message for that step. MCSIP Step text is in appendix B of the PRISM System Specification Documentation.

4.	Perform a VIN inquiry and check the Carrier Safety Status for the USDOT Number associated with each vehicle being registered for new accounts and added vehicles on established accounts.

- If the VIN is not on the PRISM Local Target file or CVIEW or if found but the USDOT Number for that vehicle has a MCSIP Step value that is not between 52 and 68 excluding step 59, no action is required.
- If the vehicle's USDOT Number from the Local PRISM Target file or CVIEW has a MCSIP Step between 52 and 68 excluding step 59, issue a message that says --the VIN is on the PRISM Target file associated with USDOT# xxxx (from the target file) with a MCSIP Step of ''step xx – text of the step' (i.e. 57- OOSO Failure to Pay). Please investigate before issuing registration." Be sure the message is user friendly so that the IRP operator has sufficient information to discuss the problem with the registrant. Provide override capability for the operator if proof is provided that the VIN is no longer associated with an OOSO carrier.
- If a VIN associated with a 'bad' USDOT Number is now being registered and associated with a good carrier by the IRP staff, an email with the VIN, state/plate, new registration start date and new carrier of the vehicle must be sent to VOLPE so that the VIN can be removed from the target file.
(Send to PrismTechnicalSupport@dot.gov.)
Optionally, you might want to provide an automated email to VOLPE when the override above is used to avoid the need for the IRP staff to do this manually.
- Provide a daily report for the supervisor of all override transactions sorted by operator ID.

5.	Interface the match information onto the fields for capturing the denials, suspensions and revocations on a daily basis and summarize on a monthly basis for reporting to FMCSA on the Quarterly Summary Report.

Why

One of the most important PRISM functions is checking during the registration process to make sure the Motor Carrier Responsible for Safety has not been ordered to discontinue interstate operations by FMCSA. This is accomplished by checking the safety status when processing IRP registrations. The MCSIP Step of the carrier responsible for safety of every vehicle must be checked prior to completing the processing and issuing credentials. In addition, the vehicle identification number (VIN) of each vehicle must be checked to determine if the vehicle is assigned to a Carrier who is prohibited from interstate operations or if the vehicle is suspended or revoked by another PRISM jurisdiction.

If possible, the checks should be performed automatically without any operator intervention. This could be accomplished by capturing the input data and doing a VIN inquiry on the vehicles to ensure that they are not listed on the PRISM Target File or CVIEW as being assigned for safety to a Carrier whose MCSIP Step would preclude registration. MCSIP steps that indicate a carrier is prohibited from interstate operation are 52 through 68 excluding step 59.

If they are not listed, then the registration system processing would not be stopped. If the carrier responsible for safety does have a MCSIP step that would preclude registration, the operator should be flagged and when legislation permits, stopped from processing unless overridden (after proper documentation is reviewed indicating the vehicle is no longer associated with the OOS carrier.) If not overridden, this information should then be placed in the denial fields for summary in the quarterly report for FMCSA. The quarterly information of denials, suspensions and revocations to FMCSA will be used to report the success of the PRISM program to Congress.

This check, which provides information on vehicles that are attached to a carrier who has been placed OOS, catches the motor carriers who try to eliminate their histories by getting a new USDOT Number and establishing a new business name when in fact, nothing has changed. If the motor carrier is under an operation out-of-service order, the vehicle should not be provided with a registration plate to operate.

11.4.1   Suspension process

Tasks

1.   Either create a suspension code on the IRP file or add a new reason code to the existing process for suspensions. The code should be specific for the suspensions done as a result of a Federal out-of-service order.

2.   If NLETS queries are through the registration legacy file, either create a suspension code on the vehicle registration legacy file or add a new reason code to the existing process for suspensions. The code should be specific for the suspensions done as a result of a Federal out-of-service order.

3.   If using CVIEW, mark the suspended record with an IRP status code of 950.

4.   If using the PRISM Vehicle File, mark the suspended record with a vehicle status code of 950.

5.   When IRP receives notice that the Federal OOS has been rescinded, the vehicle suspension should also be rescinded. The suspension indicator for the record on the IRP file should be cleared and correspondingly, if using CVIEW, the IRP status code for the record should be set to 100. If using the PRISM Vehicle File, the suspended vehicle record will be removed from file as a result of the Federal OOS being rescinded.

Why

It is important for Law Enforcement to have specific information about a suspension when they stop a vehicle at the roadside. It is also important that the various sources where this information is provided are consistent. Providing the specific reason code for a Federal out-of-service order is extremely helpful for the officer to determine what procedures they must use. Setting of the 950 code enables an officer to know that the vehicle registration was suspended as a result of a Federal out-of-service order when using Query Central. If the 950 code was not set, Query Central would not have the information and thus the officer would not know that the registration was suspended.

Sometimes, if an officer uses QC and sees that the vehicle registration is Suspended Code 950 they will then run the plate through Nlets to verify that the plate is suspended. If they receive information from the base state via Nlets that the plate is not suspended it causes confusion and extra work for the inspector to verify the suspension.

Also, if the officer charges the driver for Driving on Suspended Registration based only on the QC information, they will need the state that issued the registration to send them a certified record that at the time they issued the Citation the vehicle registration was suspended by the base state. If there was no state suspension set at that time, the state can't send him a record because the plate is not suspended until the IRP office Suspends it, and thus the officer will lose his case.

11.5 Temporary Authority

Tasks

1.   Modify, if necessary, the IRP Software processes to capture USDOT Numbers and TINs in the temporary authority transaction.

2.   Print and optionally bar code the name, mailing address and USDOT Number of the Motor Carrier Responsible for Safety if it is not expected to change during the registration period.

Why

When states grant temporary registration to a carrier, the carrier must be held accountable for safety events that occur under that temporary registration. Therefore, states must be able to incorporate PRISM requirements into temporary authority processes. In most cases, this is simply a matter of making sure that vehicles and carriers with temporary authority are not excluded from PRISM processes.

11.6 Cab Card

Tasks

1.   If the carrier is not expected to change during the registration period, **print** and clearly label the name, mailing address, and USDOT Number of the carrier responsible for safety.

2.   Modify file to include indicator:
(Y-N) – Is the carrier expected to change during the registration period?

3.   Use the PDF-417 two-level bar code that is also recommended by AAMVA.
The PRISM Cab Card Bar Code Specifications contain the approved PRISM format for bar coding of cab cards.

4.   Barcode the cab card with the information for the registrant, vehicle and registration credential according to the PRISM Cab Card Bar Code Specifications.

5.   Barcode USDOT Number, name and mailing address of the motor carrier at vehicle level, if motor carrier is not expected to change during the registration period. (N indicator)

6.   Test bar code programming and printing to ensure accuracy of the information in the bar code on a periodic basis.

7.   Obtain certification of the bar code specifications from the PRISM team.

Why

The bar coding of the information on the cab card provides efficiency at the roadside events as well as accuracy in the information collected on accident and inspection reports.

If the safety responsibility of the vehicle is not expected to change during the year, the cab card should reflect the carrier USDOT information at the vehicle level in the bar code on the registration card. If the safety responsibility is expected to change, then the bar code should not have any information concerning safety responsibility. The indicator for whether the carrier is expected to change during the registration year will trigger the information for the bar code content. (If the Motor Carrier Responsible for Safety is expected to change, print in the Motor Carrier Responsible for Safety field "The Carrier Responsible for Safety is expected to change during the registration period")

11.7 Provide Assistance to Obtain/Correct Addresses

Task

1.   If the state privacy laws allow external government agencies to have access to state files, establish communication links to provide access to the state's registration files to FMCSA directly.

Why

When FMCSA mails out letters and they are "returned undelivered" or FMCSA tries to visit a carrier and finds the carrier has moved, FMCSA will contact the state to assist in determining a correct address. The state must be able to access its registration files and provide FMCSA with the carrier's most recent address recorded in its IRP system or provide this access directly to the FMCSA.

11.8 PRISM Target File Update and OOS Vehicles Report

- Complete tasks for the method selected by the state to update SAFER.

Note: If the state uses the CVIEW method to upload and maintain IRP vehicle records in SAFER, the PRISM vehicle file method cannot also be used.

11.8.1   PRISM Vehicle File Updates

Tasks

1.   Retrieve the PRISM Carrier File from the Volpe SFTP Site.

2.   Develop programs to load PRISM Carrier File.

3.   Develop programs to retrieve the most current vehicle and registration information for all vehicles assigned to carriers on the Carrier File on a daily basis thus creating the PRISM vehicle file.

4.   Develop programs to send PRISM Vehicle File to the PRISM Volpe SFTP Site every business night according to a published schedule.

- OR –

11.8.2 CVIEW IRP Vehicle Registration Updates

Tasks

1.   Retrieve vehicle and registration information activity from the state registration files since the last data transfer. The transaction file should contain all active status vehicle maintenance and data for vehicles previously submitted that are no longer considered active within the state IRP system. <u>Remember</u> – vehicles that are not renewed need to have the IRP Status Code updated to inactive. It is recommended that states rebaseline on an annual basis to remove inactive records.

2.   Send the IRP vehicle transaction to SAFER on a daily basis.

Why

States must possess the capability of providing vehicle data on a nightly basis to SAFER.   The vehicle data contains registration information on each vehicle assigned to a motor carrier in MCSIP if the PRISM Vehicle File method is used or all IRP vehicle registration data if the CVIEW method is used. The PRISM Central Site will combine all MCSIP vehicle data from the states each business night to update the PRISM Target and PRISM Targeted Vehicle files.

11.8.3 Report of Out of Service Carriers' Vehicles

Tasks

1.   Prepare to create a report from the state's PRISM vehicle file of vehicles associated with an OOSO carrier for the IRP manager/supervisor. Work with your IRP manager/supervisor to design the report in a manner that is best suited for their use. It is suggested that the report be separated into several sections – those vehicles that are suspended and probably need to be rescinded, and those vehicles that are registered and might need to be suspended. Further sorts can be by the MCSIP step of those vehicles associated with an OOSO carrier and by the date of the OOSO. If your state does not suspend for the federal OOSO issued because of non-payment of fines, you will not want these vehicles on your report.

2.   Determine what data is needed on the report for the IRP manager/supervisor. Basic information of the vehicle plate number, MCSIP step and date of OOSO, and registrant account number will be necessary. Optional information includes the name, address and phone number of the registrant.

3.   You will need to also decide if a paper copy of the report is preferable or a daily alert on their computer.

4.   Create the OOSO report.

   - For states using the carrier and vehicle files:

     ➢ As you are comparing the carrier file to the IRP files for your nightly preparation of the

vehicle file for VOLPE, create another file of the vehicles you are placing on the Vehicle file of those vehicles that are associated with a carrier on the Carrier file. However, limit these vehicles to only those associated with a carrier with a MCSIP step between 52 and 68 excluding step 59. (sample name of file – OOSO vehicles file)

➢ Collect the additional information from the IRP files and the carrier file that you have determined you need for the report for the IRP manager/supervisor.

➢ Compare the OOSO vehicles file with that which was created the day before. If there are vehicles on the OOSO vehicles file created the day before that are no longer on the file created this day, list these vehicles on the section of the report for the rescinding of the suspension. If there are vehicles on the OOSO vehicles file today that were not on the OOSO vehicles file from the day before, list these vehicles in the section for possible suspension.

➢ Prepare the report in the format designed by you and the IRP staff.

- For states using CVIEW

➢ From the Local Prism Target file (T0041P), select the vehicles with a state plate from your state and a MCSIP step between 52 and 68 excluding step 59 and create a file. (sample name of file – OOSO vehicles file) (Alternatively, you can select the vehicles from the IRP files that match when compared to the daily carrier census data updates.)

➢ Add to the OOSO vehicles file the information that you have determined you need for the report for the IRP manager/supervisor from the IRP files and the target file or census update.

➢ Compare the OOSO vehicles file with that which was created the day before. If there are vehicles on the OOSO vehicles file created the day before that are no longer on the file created this day, list these vehicles on the section of the report for the rescinding of the suspension. If there are vehicles on the OOSO vehicles file today that were not on the file from the day before, list these vehicles in the section for possible suspension.

➢ Prepare the report in the format designed by you and the IRP staff.

Why

The report is to provide automatic notification of vehicles that are associated with an out of service carrier so that appropriate action can be taken as soon as possible. The report lists all the vehicles on your state's file that are associated with a carrier who has been placed under an out of service order the day before the report is published. These vehicles may need to be suspended. For those vehicles that were previously under an OOSO and therefore suspended, this report is the timeliest manner for the IRP office to become aware of the change in status. The carrier will want and deserves to have the suspensions lifted as soon as possible after the OOSO is lifted. The manager/supervisor needs to know what vehicles are affected, what account they are registered in, and when the OOSO was issued and the MCSIP step.

11.9   Query PRISM Target File (Roadside Inspections)

Tasks

1.   The PRISM Target File can be accessed through several methods as described in the check carrier safety status section. Refer to the data flow information and the timeliness of each method of query in Appendix B. Decide how you will identify vehicles targeted for inspection. This can be accomplished through automated methods such as transponders, or through manual queries to the Local PRISM Target File, CVIEW, NLETS or Query Central.

2.   Develop program(s) to support inquiry capability for targeted carriers and vehicles by USDOT Number, Plate Number/Jurisdiction or VIN) for law enforcement by at least one of the following programs:

   a.   Internet inquiry to FMCSA's Query Central (contact FMCSA Technical Support Help Desk - Email: FMCtechsup@dot.gov)
                                    OR
   b.   NLETS for the NLETS Carrier and Vehicle Status Request/Response. (See PRISM System Specifications Section 6.4 and Appendix B)
                                    OR
   c.   Local Inquiry to the Local PRISM Target File (contact PRISM Technical Support – email to: PRISMTechnicalSupport@dot.gov).
                                    OR
   d.   Local inquiry to CVIEW (contact FMCSA Technical Support Help Desk - Email: FMCtechsup@dot.gov)

Why

The PRISM Target File contains information on all motor carriers targeted for inspection and the vehicles assigned to those carriers. Enforcement personnel access the PRISM Target File to assist them in making decisions on which vehicles to inspect. Targeted vehicles should receive more enforcement attention while non-targeted vehicles receive less scrutiny. (**Note:** See Section on Check Carrier Safety Status for more details on how to use the PRISM Target File data)

11.10 Quality

Task

1   Where feasible, utilize bar code technology to transfer data to the inspection, accident and citation form to improve data quality and speed up the process for those involved.

Why

Since PRISM is a data driven program, the quality of the SafeStat rankings is only as accurate as the carrier safety data. Therefore, it is crucial that every effort be made to assure current, correct safety data. Automated roadside collection of accident, inspection and citation data assists in this effort

11.11 Report for FMCSA on Denials, Suspensions and Revocations

Task

1.   Summarize the data collected in the denial/suspension/revocation fields for the state to report this information to FMCSA. The report should contain the total number of vehicles by month in each category (denial, suspension and revocation) with the numbers further detailed by the MCSIP step code used for the action.

(For this report only the actions in the last two columns of the table should be counted.)

IRP Actions - Refuse, Deny, Suspend/Revoke

Circumstance	Refuse/delay new/renewal registration until document/information requested is provided	Deny new/renewal registration until OOSO is rescinded	Issue Suspension/Revocation Notice if currently registered. Remain in effect until an OOSO is rescinded
USDOT Number and/or TIN of registrant not provided	**YES**		
USDOT Number and/or TIN of Motor Carrier Responsible for Safety not provided	**YES**		
USDOT Number has been deactivated for failing to meet the Biennial registration updatefor registrant	**YES**		
USDOT Number has been deactivated for failing to meet the Biennial registration update for Motor Carrier Responsible for Safety	**YES**		
OOS –Final Unsatisfactory Rating for Motor Carrier Responsible for Safety		**YES**	**YES**
OOS –Failure to Pay Federal Fines for Motor Carrier Responsible for Safety		**YES**	**Yes if state legislation allows for financial reason as well as safety reasons**
OOS -Failing New Entrant Audit for Motor Carrier Responsible for Safety		**YES**	**YES**
OOS - Motor Carrier		**YES**	**Yes if continuing to operate**

Circumstance	Refuse/delay new/renewal registration until document/information requested is provided	Deny new/renewal registration until OOSO is rescinded	Issue Suspension/Revocation Notice if currently registered. Remain in effect until an OOSO is rescinded
Responsible for Safety not allowing a New Entrant Safety Audit to be conducted			
OOS -Failing New Entrant Revoke for Expedited Actions for Motor Carrier Responsible for Safety		**YES**	**YES**
OOS -Operating Without Authority for Motor Carrier Responsible for Safety		**YES**	**YES**
OOS -Imminent Hazard for Motor Carrier Responsible for Safety		**YES**	**YES**

Why

The fields for the denial/suspension and revocation with the reason for the action are necessary for the quarterly report to FMCSA. A summary of the actions across the IRP files is necessary every quarter. FMCSA reports this information to Congress to indicate the effectiveness of PRISM.

11.12 Summary of PRISM Systems Coordination for Initial Implementation

When a state enters PRISM there are several requirements to be implemented that require the state to contact different people.

1.	Requirement to validate the USDOT Number before adding number to IRP registration files.

	1.a Obtain an initial refresh copy of the Local PRISM Census File if this is 	the method selected.

	- Contact PRISM Technical Support at the PRISM Central Site (Volpe) --email PrismTechnicalSupport@dot.gov to request a Local PRISM Census File for testing purposes. Note that a new Local PRISM Census Baseline File must be received prior to going into production.
	- At the time that the "production" Local PRISM Census File is received, arrangements should also be made with the PRISM Central Site for daily updates. The daily updates to the Local PRISM Census File will be posted on the VOLPE secure FTP site for download by the state.
OR

	1.b Obtain an initial copy of the CVIEW Carrier Census transaction set.

	- Contact the FMCSA Helpdesk at FMCtechsup@dot.gov for assistance in implementing CVIEW.
	- Arrange for a full set of USDOT records or baseline set from SAFER for testing purposes.
	- At the time that the "production" baseline CVIEW transaction file is received, arrangements should also be made with SAFER for daily updates.

2.	Requirement to validate the USDOT Number for the motor carrier and registrant prior to issuing the registration credentials.

	- This requirement also requires the state to make an inquiry of the FMCSA MCMIS Census File if a "no-hit" is found on the Local PRISM Census File or CVIEW.
	- Connections to the MCMIS Census File may be made directly to FMCSA. **MCMIS is Web based**.
	Procedure for accessing MCMIS Census File

	MCMIS can be accessed via the FMCSA Compass Portal. To register for a portal account and view the training materials, use the following link: https://portal.fmcsa.dot.gov/

	Note: Choose "Generic View" and "PRISM State Staff" roles when requesting access to MCMIS. This will provide privileges to view/add/update carrier MCS150 information.

	- Contact FMCtechsup@dot.gov for assistance with requesting a portal account.
3.	Requirement to update the PRISM Target File nightly with registration information for vehicles assigned to motor carriers in MCSIP.

3.a   Provide PRISM Central Site with a full set of IRP vehicles that have a   carrier responsible for safety that is in MCSIP.

- This requires the state to download the daily PRISM Carrier File that is provided by the PRISM Central Site.
- This also requires the state to build a PRISM Vehicle File by using the PRISM Carrier File to identify those carriers in MCSIP and retrieving the most recent registration information for all state vehicles assigned to a carrier in MCSIP. The PRISM Vehicle File must be uploaded nightly to the PRISM Central Site. This is a full file replacement that does not involve any "add" or "delete" records.
- The state must make arrangements with the PRISM Central Site on when to begin sending the state the PRISM Carrier File. Email:PRISMTechnicalSupport@dot.gov

OR

3.b   Provide SAFER with all active status vehicles maintained in the state's IRP system if this is the method selected.

- Coordinate with SAFER to upload a full set of active status vehicles from the state's IRP system.
- Maintain the SAFER vehicles with IRP vehicle transactions performed by the state and update that activity daily into SAFER.
- Update the status of SAFER vehicle records to inactive if a vehicle is no longer considered active in the state's IRP system

4.   Enforcement Requirement to provide the ability to query the Target File by VIN, Plate Number/Jurisdiction or USDOT Number.

- This requirement can be satisfied by the state making arrangements with the PRISM Central Site to receive a Local PRISM Target File or PRISM XML Targeted Vehicle File.
- The PRISM Central Site will electronically transfer a copy of the Local PRISM Target File or PRISM XML Targeted Vehicle File to the VOLPE secure FTP site for state download each night after the update of the Central Site Target File. The time schedule for the transfer of this file is contained in the PRISM System Specifications.
- The specifications for the NLETS ACQ/AVQ and ACR/AVR (Targeted Carrier and Vehicle inquiries and responses) are contained in the PRISM System Specifications.

12. Chapter Twelve – Regular Computer Runs

- Establish Method to Maintain PRISM Census File

- Establish Method to Update PRISM Vehicle File Information

- Report of Out of Service Carriers' Vehicles

- Query the Target File

- Report for FMCSA on Denials, Suspensions and Revocations

Regular Computer Runs

This chapter covers tasks in support of Registration requirements 6, 9 and Enforcement requirement 2.

12.1 Establish Method to Maintain PRISM Census File

(Complete tasks for the method selected by the state.)

12.1.1 Maintain Local PRISM Census File

Tasks

1. Retrieve the daily PRISM Census File Updates from the Volpe SFTP Site.

2. Process the daily PRISM Census File Updates.

OR

12.1.2 Maintain CVIEW

Tasks

1. Retrieve the daily CVIEW motor carrier data updates from the SAFER FTP Site.

2. Process the daily CVIEW motor carrier data updates.

Why

States must receive and maintain a **full set** of USDOT Numbers located in the FMCSA MCMIS database in order for the registration office to validate the USDOT Number without the necessity to access MCMIS each time.

12.2 Establish Method to Update PRISM Target File

- Complete tasks for the method selected by the state to update SAFER.

12.2.1   PRISM Vehicle File Updates

Tasks

1.   Retrieve PRISM Carrier File daily from the Volpe SFTP Site.

2.   Load PRISM Carrier File.

3.   Retrieve the most current vehicle and registration information from the registration files for all vehicles assigned to carriers on the Carrier File on a daily basis, thus creating the PRISM vehicle file.

4.   Send PRISM Vehicle File to the PRISM Volpe SFTP Site every business night   according to the published schedule.

OR

12.2.2   CVIEW IRP Vehicle Registration Updates

Tasks

1.   Retrieve vehicle and registration information activity from the state registration files since the last data transfer. The transaction file should contain all active status vehicle maintenance and data for vehicles previously submitted that are no longer considered active within the state IRP system such as non-renewed vehicles.

2.   Send the IRP vehicle transaction to SAFER on a daily basis.

Why

States must possess the capability of providing vehicle data updates on a nightly basis to SAFER. The vehicle data contains registration information on each vehicle assigned to a motor carrier in MCSIP if the PRISM Vehicle File method is used or all IRP vehicle registration data if the CVIEW method is used. The PRISM Central Site will combine all MCSIP vehicle data from the states each business night to update the PRISM Target and PRISM Targeted Vehicle files.

12.2.3   Report of Out of Service Carriers' Vehicles

Tasks

1.   Create the OOSO report

   - For states using the carrier and vehicle files:

     ➢ As you are comparing the carrier file to the IRP files for your nightly preparation of the vehicle file for VOLPE, create another file of the vehicles you are placing on the Vehicle file of those vehicles that are associated with a carrier on the Carrier file. However, limit these vehicles to only those associated with a carrier with a MCSIP step between 52 and 68 excluding step 59. (sample name of file – OOSO vehicles file)
     ➢ Collect the additional information from the IRP files and the carrier file that you have determined you need for the report for the IRP manager/supervisor.
     ➢ Compare the OOSO vehicles file with that which was created the day before. If there are vehicles on the OOSO vehicles file created the day before that are no longer on the file created this day, list these vehicles on the section of the report for the rescinding of the suspension. If there are vehicles on the OOSO vehicles file today that were not on the OOSO vehicles file from the day before, list these vehicles in the section for possible suspension.
     ➢ Prepare the report in the format designed by you and the IRP staff.

   - For states using CVIEW

     ➢ Either from the Local Prism Target file (if you have selected to download for other reasons), or from the Targeted Vehicle Subscription, select the vehicles with a state plate from your state and a MCSIP step of between 52 and 68 excluding step 59 and create a file. (sample name of file – OOSO vehicles file) (Alternatively, you can select the vehicles from the IRP files that match when compared to the daily carrier census data updates.)
     ➢ Add to the OOSO vehicles file the information that you have determined you need for the report for the IRP manager/supervisor from the IRP files and the target file or census update.
     ➢ Compare the OOSO vehicles file with that which was created the day before. If there are vehicles on the OOSO vehicles file created the day before that are no longer on the file created this day, list these vehicles on the section of the report for the rescinding of the suspension. If there are vehicles on the OOSO vehicles file today that were not on the file from the day before, list these vehicles in the section for possible suspension.
     ➢ Prepare the report in the format designed by you and the IRP staff.

Why

The report is to provide automatic notification of vehicles that are associated with an out of service carrier so that appropriate action can be taken as soon as possible. The report lists all the vehicles on your states file that are associated with a carrier who has been placed under an out of service order the day before the report is published. These vehicles may need to be suspended. For those vehicles that were previously under an OOSO and therefore suspended, this report is the timeliest manner for the IRP office to become aware of the change in status. The carrier will want and deserves to have the suspensions lifted as soon as possible after the OOSO is lifted. The manager/supervisor needs to know what vehicles are affected, what account they are registered in, and when the OOSO was issued and the MCSIP step.

12.3 Query the Target File

Retain the latest PRISM Target File or PRISM XML Targeted Vehicle File (compatible with CVIEW).

Task

1.   Retrieve either the Local PRISM Target File or the PRISM XML Targeted Vehicle File from the Volpe SFTP site and load the file on state's system.

Why

The PRISM Target and PRISM XML Targeted Vehicle files contain information on all motor carriers in MCSIP and the vehicles assigned to those carriers. Enforcement personnel can access these files to assist them in making decisions on which vehicles to inspect. Targeted vehicles receive more enforcement attention while non-targeted vehicles receive less scrutiny. The PRISM Target Vehicle data can be accessed through the PRISM Central Site, via NLETS or by maintaining a copy of either the PRISM Target or PRISM XML Targeted Vehicle files locally by a state. States must decide how they will identify vehicles in MCSIP. This can be accomplished through automatic methods such as transponders, or through manual queries to the PRISM Target files.

12.4 Report for FMCSA on Denials, Suspensions, and Revocations

Task

1.   Summarize the data collected in the denial/suspension/revocation fields for the state to report this information to FMCSA. The report should contain the total number of vehicles by month in each category (denial, suspension or revocation) with the numbers further detailed by the MCSIP step used for the action.

Why

The fields for the denial/suspension and revocation with the MCSIP step for the action are necessary for the quarterly report to FMCSA. A summary of the actions across the IRP files is necessary every quarter. FMCSA reports this information to Congress to indicate the effectiveness of PRISM.

13. <u>Chapter Thirteen – Training</u>

- Registration Staff Training

- Motor Carrier Training

- Enforcement Officers Training

- Other Training

- Sample Language for PRISM Brochure for Industry

- Sample Language for General PRISM Brochure

Training

This section covers tasks in support of Registration requirements 14, 15, 16 and Enforcement requirement 5.

Training is necessary for everyone involved or in contact with those involved in PRISM. This includes motor carriers, IRP registration office personnel, law enforcement, representatives, senators, dealers who sell commercial vehicles, and other licensing agents.

13.1 Registration Staff Training

Tasks

1.   Develop a training course for all changes in forms, data entry processes, and procedural changes in processing forms, or customize the training plan prepared by the PRISM team.

- Incorporate information from the following sections of this document:

    - PRISM Overview
    - Benefits
    - Major Processes
    - Functions and Workflows
        - Form changes
        - Screen modifications
        - IRP Operation processing
        - MCSIP operations support
    - Glossary of terms
    - Questions and Answers

2.   Identify those persons required to complete each training course and schedule the training to be completed prior to the implementation of PRISM.

The PRISM Registration Staff Training Package can be found on the PRISM website:

http://www.fmcsa.dot.gov/safety-security/prism/prism.htm

There are two modules of the training package – one for the instructor and one for the students. There are also several other documents to assist the IRP operator. This training can be customized in about two hours.

Why

When a state enters the PRISM process there are changes made in the state's IRP processing. There are changes in numerous forms and additional computer information is available and required to be used during the IRP processing. Moreover, registration actions may be taken against a registrant or motor carrier based

on their safety performance in PRISM. To ensure a thorough understanding of the changes due to the PRISM process, all employees connected with IRP processing should be fully briefed on PRISM and those employees whose procedures are changed must be trained on the new procedures. The brochure that describes PRISM has also been developed by FMCSA and is helpful with this training requirement. In addition, FMCSA has developed a training course that can be customized by each state for their unique forms and procedures. The PRISM team is also available to provide the training.

13.1.1   MCMIS Training

Tasks

1.   Contact FMCSA Technical Support to arrange for MCMIS accounts for appropriate staff.
FMCtechsup@dot.gov

MCMIS can be accessed via the FMCSA Compass Portal. To register for a portal account and view the training materials, use the following link: https://portal.fmcsa.dot.gov/

Note: Choose "Generic View" and "PRISM State Staff" roles when requesting access to MCMIS. This will provide privileges to view/add/update carrier MCS150 information.

2.   Schedule training with our FMCSA Division Office several months prior to implementation of PRISM for staff that will process applications using MCMIS.

Why

States must ensure that all appropriate staff attends MCMIS training. This is essential for understanding MCMIS, its update requirements and the inquiry capability that is available. MCMIS is a user-friendly system. The train the trainer method of learning will work well with MCMIS. Training is provided locally by your FMCSA Division Office.

13.2 Motor Carrier Training

Tasks

1.   Involve the state trucking association.

2.   Prepare a Press Release covering the PRISM program for release to the news media when
implementing PRISM.

3   Customize formats in addition to the IRP instruction manual (discussed in the forms section) to
inform carriers of the PRISM program and how it affects the motor carrier. This could include the
following suggested items:

- A PRISM Training brochure for use in a Motor Carrier PRISM Training Course.
  A sample template is included at the end of this chapter.

- A Motor Carrier Notification or Newsletter publication.
  - Mail to all carriers registered in the IRP explaining the PRISM program and who is
    affected.
  - Mail at least two months prior to registration renewal.

- A Motor Carrier PRISM Training Course.
  - Across the jurisdiction, hold seminars in conjunction with the motor carrier association of
    the jurisdiction:
    - a. Explain the program,
    - b. Train on completion of forms,
    - c. Receive input to better program.

Why

To ensure that motor carriers understand the changes involved in the PRISM program, the state needs to
provide information to motor carriers prior to the implementation of PRISM by modifying the IRP manual,
issuing press releases and customizing other methods to ensure the carriers are informed. This will ensure a
smoother registration renewal process. The state should select from the tasks above to meet the unique
rapport the state maintains with the industry.

13.3 Law Enforcement Officers Training

Tasks

Commercial Vehicles Inspectors are required to receive PRISM Law Enforcement Training which primarily teaches how to identify vehicles being operated while under a Federal Out-of-Service Order and vehicles targeted for Inspection by FMCSA because they were identified as "High Risk".

It is also recommended that Traffic Enforcement and Crash Investigators be given limited training to identify a Federal Out-of-Service vehicle during a commercial vehicle crash investigation or traffic stop.

The PRISM Team has developed individual PRISM Law Enforcement Training for both of the above groups and is available on the PRISM web site.

http://www.fmcsa.dot.gov/safety-security/prism/prism-resources.aspx

1. The state must prepare bulletins notifying law enforcement of the provisions of the PRISM legislation/program and provide contact points for clarification.

2. Conduct training classes for Commercial Vehicle Inspectors and all interested law enforcement personnel.

Why

Enforcement agencies will need to train personnel in procedures that are specific to PRISM. This is essential for understanding PRISM and how to apply the requirements and benefits on the roadside. The PRISM team is also available to provide the training.

13.4 Other Training

Task

1.   Prepare notifications for the following people with information that is pertinent for their business:

- Senators and Representatives - Notify of the new program and explain how it affects their constituents. **A sample template is included at the end of this chapter.**

- Magistrates or district justices - Notify them of the new program.

- Special users
  - o Dealers who sell commercial vehicles and complete IRP applications for their customers.
  - o Other agents who complete IRP applications.

Why

Other people are involved with the registration and enforcement process either directly or indirectly. These people also need to have an understanding of the program. It is best to ensure these people have the understanding before you implement so that they will partner with you.

13.5 Sample Language for PRISM Brochure for Industry

What is PRISM?

The Performance and Registration Information Systems Management (PRISM) program was developed to meet the challenge of reducing the number of commercial vehicle crashes of a rapidly expanding interstate carrier population. It has increased the efficiency and effectiveness of federal and state safety efforts through a more accurate process for targeting the highest-risk carriers, which allows for a more efficient allocation of scarce resources for compliance reviews and roadside inspections. It pioneered the use of a warning letter as an effective, yet inexpensive, alternative to a compliance review for carriers with less severe safety performance problems. The PRISM program requires that motor carriers improve their identified safety deficiencies or face progressively more stringent sanctions up to the ultimate sanction of a Federal out-of-service order and concurrent state registration suspensions.   The PRISM program has proven to be an effective means of getting motor carriers to improve their compliance and performance deficiencies.

PRISM links the commercial vehicle registration process to motor carrier safety to achieve two purposes. One is to determine the safety fitness of the motor carrier prior to issuing license plates and two is to influence the carrier to improve its safety performance through an improvement process and, where necessary, the application of registration sanctions.

The PRISM program includes two major processes - the Commercial Vehicle Registration Process and Enforcement. The performance of unsafe carriers is improved through a comprehensive system of identification, education, awareness, data gathering, safety monitoring and treatment.

Registration

The International Registration Plan (IRP) commercial vehicle registration process of the states provides the framework for the PRISM program. It serves two vital functions. First, it establishes a system of accountability by ensuring that no vehicle is plated without identifying the carrier responsible for the safety of the vehicle during the registration year. This provides for safety events (e.g. inspection, accident, driver moving violations) affecting a PRISM registered vehicle to be more accurately tied back to the responsible motor carrier. Second, the use of registration sanctions provides powerful incentive for unsafe carriers to improve their safety performance.

The vehicle registration process ensures that all carriers engaged in interstate commerce are uniquely identified through a USDOT Number when they register their vehicles. PRISM provides a one stop shopping opportunity for carriers to obtain a USDOT Number. The state registration office can issue this number for the federal government. The safety fitness of each carrier can then be checked prior to issuing vehicle registrations. Those motor carriers that have been prohibited from operating in interstate commerce by the Federal Motor Carrier Safety Administration may have their ability to register vehicles denied by the state. This collection of updated information also improves the current census and operational data on interstate motor carriers nation-wide.

Enforcement

The Compliance, Safety, Accountability (CSA) program is the means by which carrier safety is systematically tracked and improved. The CSA program is a data-driven process that uses current safety event information such as crashes, inspections, driver violations, compliance review data and other data to assess and monitor motor carrier safety performance. Safety events are assigned to the Motor Carrier Responsible for Safety of the motor vehicle and are weighted according to severity, frequency and time since the occurrence.

The process is designed to improve the safety performance of carriers with demonstrated poor safety performance through accurate identification, performance monitoring and treatment.

Once the carrier exceeds the bounds of the established safety threshold, the motor carrier enters the high risk category of carriers within the CSA program. Within CSA, carriers with potential safety problems are identified and prioritized for an on-site review using the Safety Measurement System (SMS) developed for the CSA program. Under SMS, a carrier's safety performance is assessed based on all available data (roadside inspection, compliance reviews (CRs), crashes, enforcement history). New safety information is added to this data source on a continuous basis, and SMS uses this information to provide current safety indicators for all carriers for which there is sufficient data.

How does PRISM affect IRP Registration?

IRP serves as the framework for the PRISM program. The USDOT Number of the motor carrier responsible for the safety of every vehicle registered must be identified during the registration process as well as the USDOT Number of the registrant provided the registrant is a valid interstate motor carrier. If the registrant is a Registrant Only Company, for example a company that only rents/leases vehicles or an owner operator that always operates under another company's Operating Authority; they would not have a USDOT Number or their USDOT Number will display as "Inactive". They would maintain an IRP account but would be designated as a registrant-only on this account.

In many of the IRP accounts, the registrant that maintains the IRP account and the motor carrier that is responsible for safety are the same. In some instances though, the IRP account registrant and the motor carrier responsible for the safety of individual vehicles on the account may be different. The following outlines USDOT Number and MCS-150 update requirements associated with PRISM and IRP registration in these instances.

Company vehicles registered in the company name and the company is responsible for safety.

Companies other than Rental and Leasing who only register their own vehicles need only provide the company's USDOT Number to the state registration office along with an updated copy of the motor carrier form MCS-150 (unless the information has been updated on MCMIS within 12 months prior to the first day of the renewal period.) The USDOT Number should be recorded in Section C of the IRP Schedule A. In column 21 of the vehicle section, enter 'same.' Enter no in column 22. If a USDOT Number is needed for the company, the state registration office will assist in obtaining it. Obtaining a USDOT Number and updating the MCS-150 information can also be done directly online by the registrant/motor carrier.

Leased vehicles registered in the name of the lessee who is responsible for safety.

If some or all <u>vehicles are leased</u> from a rental/leasing company or from an owner/operator and are <u>registered</u> in the <u>company name</u>, then the same requirements stated above apply here.

- Rental/leasing companies who register in the rental/leasing company name.

<u>Rental/leasing companies</u> who <u>register</u> in their <u>own name, and who are also interstate motor carriers who operate under their own Operating Authority,</u> must provide the USDOT Numbers and copies of updated MCS-150 forms to the registration office for the rental/leasing company and also for all lessees who are responsible for safety for the vehicles unless this information has been updated within the previous 12 months from the first day of the new registration period. The USDOT Number for the rental/leasing company should be recorded in Section C of the IRP Schedule A and the appropriate USDOT Number for the lessee's must be recorded in column 21 in the vehicle section. Column 22 must be recorded with an "n" if the terms of the lease cover the full registration year. If the Motor Carrier Responsible for Safety is unknown at the time of registration, the rental company USDOT Number will be used as the default motor carrier.

<u>Registrant-only rental/leasing companies</u> who <u>register</u> in their <u>own name</u> must provide the USDOT Numbers and copies of updated MCS-150 forms to the registration office for all lessees who are responsible for safety for the vehicles unless this information has been updated within the previous 12 months from the first day of the new registration period. The rental/leasing company should be recorded as a registrant-only company in Section C of the IRP Schedule A and the appropriate USDOT Number for the lessee's must be recorded in column 21 in the vehicle section. Column 22 must be recorded with an "n" if the terms of the lease cover the full registration year. If the Motor Carrier Responsible for Safety is unknown at the time of registration, vehicle registration will be denied.

If the <u>rental/leasing company registers its vehicles in the name of the lessee</u>, then the requirements under company vehicles above apply. This holds whether the rental/leasing company is a valid motor carrier or a registrant-only.

- Owner/Operators registering in their own name.

Owner/operators who register in their own names, and always operate under other companies Operating Authority,   do not require a USDOT Number for themselves. They would maintain an IRP account but would be designated as a registrant-only on this account. They must provide the USDOT Number for the company to whom he/she leases. Updated copies of the MCS-150 must be submitted for all companies responsible for safety (the lessees). The MCS-150 forms for the companies must be completed by the companies. If the MCS-150 information has been updated within the previous 12 months from the first day of the new registration period, the copies of the MCS-150 are not necessary. The owner/operator should be recorded as a registrant-only company in Section C of the IRP Schedule A. Column 21in the vehicle section should be completed with the company's USDOT Number. Column 22 should indicate whether the term of the lease is as long as the registration year.

Owner/operators who register in their own names, <u>and who are also interstate motor carriers who operate</u>

under their own Operating Authority, must provide the USDOT Numbers and copies of updated MCS-150 forms to the registration office for the owner/operator and also for all lessees who are responsible for safety for the vehicles unless this information has been updated within the previous 12 months from the first day of the new registration period. The USDOT Number for the owner/operator should be recorded in Section C of the IRP Schedule A and the appropriate USDOT Number for the lessee's must be recorded in column 21 in the vehicle section. Column 22 must be recorded with an "n" if the terms of the lease cover the full registration year. If the Motor Carrier Responsible for Safety is unknown at the time of registration, the owner/operators USDOT Number will be used as the default motor carrier.

- Companies who use all leased vehicles registered in the name of the lessors.

Companies who use all leased vehicles registered in the name of the lessors (rental/leasing or owner/operators) must provide the lessor with an updated copy of the MCS-150 or update the information directly online to the federal system.

How does PRISM affect Inspections?

Motor carriers and their associated vehicles on the PRISM Target File are recommended for inspection at the roadside. Once a motor carrier improves its safety status sufficient to exit the Target File, it will no longer be recommended for inspection.

13.6   Sample Language for General PRISM Brochure

What is PRISM?

The Performance and Registration Information Systems Management (PRISM) program links the commercial vehicle registration process to motor carrier safety to achieve two purposes:

➢ Determine the safety fitness of the motor carrier prior to issuing license plates.

➢ Influence the carrier to improve its safety performance through an improvement process and, where necessary, the application of registration sanctions.

The PRISM program includes two major processes - the Commercial Vehicle Registration Process (Registration) and Enforcement, which work in parallel to identify motor carriers and hold them responsible for the safety of their operation. The performance of unsafe carriers is improved through a comprehensive system of identification, education, awareness, data gathering, safety monitoring and treatment.

Registration

The International Registration Plan (IRP) commercial vehicle registration process of the states provides the framework for the PRISM program. It serves two vital functions. First, it establishes a system of accountability by ensuring that no vehicle is plated without identifying the carrier responsible for the safety of the vehicle during the registration year. Second, the use of registration sanctions provides powerful incentive for unsafe carriers to improve their safety performance.

The vehicle registration process ensures that all carriers engaged in interstate commerce are uniquely identified through a USDOT Number when they register their vehicles. The safety fitness of each carrier can then be checked prior to issuing vehicle registrations. Those motor carriers that have been prohibited from operating in interstate commerce by the Federal Motor Carrier Safety Administration may have their ability to register vehicles denied by the state.

Enforcement

The Compliance, Safety, Accountability (CSA) program is the means by which carrier safety is systematically tracked and improved. The CSA program is a data-driven process that uses current safety event information such as crashes, inspections, driver violations, compliance review data and other data to assess and monitor motor carrier safety performance. Safety events are assigned to the motor carrier responsible for the safety of the motor vehicle and are weighted according to severity, frequency and time since the occurrence.

The process is designed to improve the safety performance of carriers with demonstrated poor safety performance through accurate identification, performance monitoring and treatment. Once the carrier exceeds the bounds of the established safety threshold, the motor carrier enters the high risk category of carriers within the CSA program. Within CSA, carriers with potential safety problems are identified and prioritized for an on-site review using the Safety Measurement System (SMS) developed for the CSA program. A federal operations out-of-service order and concurrent state registration suspension or revocation is the ultimate penalty if there is no improvement in the motor carriers' safety fitness record.

PRISM Benefits

PRISM demonstrates the following safety, economic and productivity benefits:

Accountability - Identification of the carrier (via their USDOT Number) responsible for the safe operation of the vehicles being registered has produced a major safety benefit.
It helps ensure motor carriers that have been ordered by the FMCSA to cease interstate operations do not continue to maintain interstate license plates. In addition, safety events (e.g. inspection, accident, driver moving violations) affecting a PRISM registered vehicle can be more accurately tied back to the responsible motor carrier.

A Performance-Based Approach to Safety Management - The primary means for identifying potentially poor performing carriers is through an accumulation of carrier, vehicle and driver-specific safety events that is then linked to the carrier through the carrier's USDOT Number. Carriers are identified,

treated and released from a safety improvement program based upon demonstrated highway performance after safety treatments have been applied.

Improved Productivity - The PRISM program was developed to help the FMCSA, with limited safety resources, meet the challenge of reducing the number of commercial vehicle crashes of a rapidly expanding interstate carrier population. The PRISM program has increased the efficiency and effectiveness of federal and state safety efforts through:

- Efficient allocation of scarce resources through more accurate targeting of compliance reviews to focus on the highest-risk carriers, and:

- The use of a warning letter as an effective, inexpensive alternative for carriers with less severe safety problems.

Improved Data Quality - The PRISM program has shown that an improvement in the accuracy and timeliness of data will result in better resource allocation and heightened efficiencies in the administration of major federal and state safety programs. Several of the most notable data improvement initiatives are listed below:

- Development of a procedure for obtaining current census and operational data on interstate motor carriers as part of the state's annual vehicle registration renewal process;

- Development of a procedure for using plate numbers as a means to more effectively assign inspection and accident data to the responsible motor carrier;

- Use of automated procedures for data collection in the field to eliminate typing errors on critical fields on accident and inspection reports, like USDOT Number, plate number and VIN. An example of effective automated procedures is the bar coding of motor carrier identifying information on cab cards and the use of pen-based, lap-top computers to read the bar-coded information and automatically enter the data on state enforcement forms.

Improved Motor Carrier Safety – The PRISM program requires that motor carriers improve their identified safety deficiencies or face progressively more stringent sanctions up to a federal out-of-service order and concurrent state registration suspensions. For carriers with less severe safety problems, the PRISM program pioneered the use of a Warning Letter as an alternative to an on-site review. The Warning Letter has proven to be an extremely effective and inexpensive means of improving safety performance.

In the pilot, thirty percent of the carriers that received warning letters improved. Thirty percent of the at risk carriers also improved after the first compliance review and those carriers identified by SafeStat were nearly three times as likely to be involved in accidents. These are the carriers that are targeted for the improvement process. Registration officials checked the safety fitness before issuing plates and suspended registration to improve performance. During the pilot six carriers were suspended.

Note: SafeStat has been replaced by FMCSA's Compliance, Safety, and Accountability (CSA) program. Warning letters are now sent out by FMCSA instead of joint issuance by FMCSA and PRISM States.

How does PRISM affect IRP Registration?

IRP serves as the framework for the PRISM program. The USDOT Number of the motor carrier responsible for the safety of every vehicle registered must be identified during the registration process as well as the USDOT Number of the registrant provided the registrant is a valid interstate motor carrier. If the registrant is a Registrant Only Company, for example a company that only rents/leases vehicles or an owner operator that always operates under another company's Operating Authority; they would not have a USDOT Number or they would have an inactive USDOT Number. They would maintain an IRP account but would be designated as a registrant-only on this account.

In many of the IRP accounts, the registrant that maintains the IRP account and the motor carrier that is responsible for safety are the same. Table A outlines USDOT Number requirements associated with PRISM and IRP registration in these instances.

Table A: IRP account registrant and motor carrier responsible for safety of the vehicles are the same.

	Registrant Level	**Individual Vehicle Level**
USDOT Number Requirement	USDOT Number of the Registrant	Same
Action	Record USDOT Number in Section C of the IRP Schedule A and write 'same' in column 21 of the vehicle section of Schedule A.	

In some cases though, the IRP account registrant and the motor carrier responsible for the safety of individual vehicles on the account may be different. The following examples and Table B outline USDOT Number requirements associated with PRISM and IRP registration in common instances.

- Rental/leasing companies who register in the rental/leasing company name.

Rental/leasing companies who register in their own name, and who are also interstate motor carriers who operate under their own Operating Authority, must provide the USDOT Numbers to the registration office for the rental/leasing company and also for all lessees who are responsible for safety for the vehicles. The USDOT Number for the rental/leasing company should be recorded in Section C of the IRP Schedule A and the appropriate USDOT Number for the lessee's must be recorded in column 21 in the vehicle section. Column 22 must be recorded with an "n" if the terms of the lease cover the full registration year. If the Motor Carrier Responsible for Safety is unknown at the time of registration, the rental company USDOT Number will be used as the default motor carrier.

Registrant-only rental/leasing companies who register in their own name must provide the USDOT Numbers to the registration office for all lessees who are responsible for safety for the vehicles. The rental/leasing company should be recorded as a registrant-only company in Section C of the IRP Schedule A and the appropriate USDOT Number for the lessee's must be recorded in column 21 in the vehicle section. Column 22 must be recorded with an "n" if the terms of the lease cover the full registration year. If the

Motor Carrier Responsible for Safety is unknown at the time of registration, vehicle registration will be denied.

- Owner/Operators registering in their own name that lease to motor carriers.

Owner/operators who register in their own names, and always operate under another companies Operating Authority,   do not require a USDOT Number for themselves. They would maintain an IRP account but would be designated as a registrant-only on this account. They must provide the USDOT Number for the company to whom he/she leases though.   The owner/operator should be recorded as a registrant-only company in Section C of the IRP Schedule A. Column 21in the vehicle section should be completed with the company's USDOT Number. Column 22 should indicate whether the term of the lease is as long as the registration year.

Table B: IRP account registrant and motor carrier responsible for safety of all or some of the vehicles at the time of registration are different.

	Registrant Level	**Individual Vehicle Level**
USDOT Number Requirement	USDOT Number of the Registrant or indicator that registrant is a "Registrant Only" entity	Three Situations Apply: 1. USDOT Number of the Motor Carrier Responsible for Safety if known and expected to stay the same for at least 30 days from the renewal. 2. If registrant is a motor carrier, USDOT Number of the Registrant as a default if the Motor Carrier Responsible for Safety is unknown, or expected to change within 30 days of renewal. 3. If registrant is a "Registrant Only, USDOT Number of the Motor Carrier Responsible for Safety even if expected to change within 30 days from the renewal.
Action	Record USDOT Number, or indicate "Registrant Only", in Section C of the IRP Schedule A, and the appropriate USDOT Number of the Motor Carrier Responsible for Safety in column 21 in the vehicle section. Indicate in column 22 if the lease is for the full registration year (Y/N).	

14. <u>Chapter Fourteen – Legislative Authority</u>

- Authority Requirements

- Model Legislation

Legislative Authority

This section covers tasks in support of Registration requirements 1, 2 and Enforcement requirement 4.

Tasks

1. Determine if state has the authority to suspend vehicle registration for safety purposes.

2. If necessary, draft legislation and present to legislature or make changes to administrative rules for authority to suspend, revoke or deny registration if the motor carrier assigned to the vehicle is prohibited from interstate operations.

3. If necessary, draft legislation and present to legislature or make changes to administrative rules for authority to retrieve plates from carriers whose registration has been suspended, revoked or denied based on prism sanctions.

4. If necessary, draft legislation that allows the state to maintain a suspension or revocation if the entity merely changes the name and/or USDOT Number to appear as a new entity.

5. If necessary, draft legislation that prohibits a registrant from obtaining and keeping an intrastate plate when under a federal out-of-service order.

6. Probable Cause States - Draft legislation and present to legislature for authority to stop and inspect vehicles based on the safety fitness of the motor carrier assigned to the vehicle.

Note: Model legislation is included at the end of this chapter.

Why

States need legal authority to enforce PRISM registration sanctions for carriers that, due to poor safety performance, have been prohibited from interstate operations. Some states will need specific legislation enabling the enforcement of PRISM registration sanctions. Some states may be able to handle PRISM registration sanctions with administrative rule changes instead of procuring legislative authority. States must make sure that according to their own state statutes, they have the legal ability to make PRISM registration sanctions.

In some states, the authority for law enforcement to actually retrieve plates from carriers who have received PRISM registration sanctions must be procured separately from the authority discussed in the previous paragraph. Each state must decide the legality of this issue based on individual state statutes and seek legislative authority or changes administrative rules to retrieve plates if it is necessary.

In PRISM states, enforcement resources are focused on carriers with the worst safety records. Therefore, vehicles that are registered to carriers in MCSIP are given priority at roadside for safety inspections. States that have adopted *Probable Cause* statutes may need to seek special legislative authority in order to be able to target, stop, and inspect such vehicles.

14.1 Model Legislation

Grounds for Refusal of Registration:

Option 1
The (appropriate state agency) is authorized to refuse registration (and issuance of title) if a commercial motor vehicle is being operated by a commercial motor carrier that has been prohibited to operate by a federal agency.

Option 2
The (appropriate state agency) shall refuse registration if a commercial motor vehicle is being operated by a commercial motor carrier that has been prohibited to operate by a federal agency.

Registration Suspension and Revocation Based on Federal Prohibition from Operating in Interstate Commerce:

The (appropriate state agency) is authorized to suspend or revoke the registration, registration card, registration plate or permit of a commercial motor vehicle if the commercial Motor Carrier Responsible for Safety of the vehicle has been prohibited from operating by a federal agency.

Combined Grounds for Refusal of Registration and Registration Suspension and Revocation Based on Federal Prohibition from Operating in Interstate Commerce:

The (appropriate state agency) is authorized to suspend, revoke or refuse to issue or renew the registration, registration card, registration plate or permit of a commercial motor vehicle if the commercial Motor Carrier Responsible for Safety has been prohibited from operating by a federal agency.

Note: In all of these statements, the agency is authorized to prohibit both interstate and intrastate registration since interstate is not specified.

Grounds for Refusal of Registration Based on Fraud and/or Ineligibility for Registration by the Registrant or Motor Carrier Responsible For Safety

The (appropriate state agency) shall deny registration if the applicant fails to disclose material information required or if the applicant has made a materially false statement on the application, or the applicant has applied as a subterfuge for the real party in interest who has been issued a Federal out-of-service order or if the applicant's business is operated, managed or otherwise controlled or affiliated with a person who is ineligible for registration, including the applicant entity, a relative, family member, corporate officer or shareholder. The Department shall deny registration for a vehicle that has been assigned for safety to a commercial motor carrier who has been prohibited from operating by the Federal Motor Carrier Safety Administration or a carrier whose business is operated, managed or otherwise controlled or affiliated with a person who is ineligible for registration, including the owner, a relative, family member, corporate officer or shareholder.

Collection of data (if needed by the state):

The (appropriate state agency) is authorized to collect and maintain necessary motor carrier or commercial motor vehicle data in a manner that complies with the information system established by the United States Secretary of Transportation under 49 U.S.C. 31106. The failure of the applicant to provide any information required by the registrar on the application or the failure to provide any required support documentation shall be grounds for the denial of the application.

15. Chapter Fifteen – IRP Processing Operation

❖ **IRP renewal year 1**

- **Renewal Package**

- **IRP Workflow**

    - **Document verification -Identify, collect, and maintain the USDOT Number and TIN**
    - **Document data entry - New data for PRISM to validate the USDOT Number**

- **Check carrier safety status**
- **Temporary authority processes**

❖ **IRP renewal year 2**

- **Renewal Package**
- **IRP Renewal Cycle Summary Checklist**
- **Verify bar coded information**

IRP Processing Operations

This section covers tasks in support of registration requirements 1, 2, 3, 4, 5, 6, 8, 9 and 10.

15.1   IRP Renewal Year 1

15.1.1   Renewal Package

The highlighted items are new. All of the other items are affected by PRISM.

Schedules A & B -**Modified**
Extra vehicle schedules
Carrier Instruction manual
Industry meeting notification

Why

The schedules A and C are modified to collect the USDOT Numbers of the registrant and motor carriers responsible for safety along with the TINs for all the USDOT Numbers and an indicator to determine if the carrier responsible for safety is expected to change during the registration year.

15.1.2   IRP Workflow

The IRP workflow consists of five basic functions. These functions are listed below with a list of tasks included in that function. **The highlighted items are affected by PRISM.**

- Mail Distribution
    1. Receive and open mail
    2. Log applications
    3. Distribute mail
        a.   IRP applications from base registrants
        b.   IRP applications from other jurisdictions
        c.   Payments
        d.   Correspondence
        e.   Audit reports from other jurisdictions
        f.   Returned credentials

- **Document Verification**
    1. **Verify applications from base registrants for completeness**

- **Document data entry**

1. Enter the information from the IRP forms into the IRP data base

● Accounts Maintenance
1. Calculate fees due all IRP jurisdictions for base registrants
2. Prepare and mail billings
3. Process payments and transmittals from other IRP jurisdictions
4. Log out

● Processing Credentials
1. Issue license plates and stickers to base registrants
2. **Issue cab cards to base registrants**
3. Issue permits

15.1.2.1 Document Verification

Add to process:

Identify, collect, and maintain the USDOT Number and TIN of the Registrant and the Motor Carrier Responsible for the Safety of each Vehicle.

Tasks

1. In addition to the IRP requirements, verify the IRP form Schedule A for the PRISM information. (See the sample form in Chapter 7)

   ▪ The USDOT Number of the Registrant at the Registrant level
   ▪ The TIN of the Registrant at the Registrant level
   ▪ *NOTE: Change effective as of September 1, 2012.* In cases where the registrant is a "Registrant-Only" entity, and does not have operating authority to move vehicles in interstate commerce, a USDOT Number and TIN is not required at the registrant level.
   ▪ The USDOT Number of the carrier responsible for safety at the vehicle level.
   ▪ The TIN of the carrier responsible for safety at the vehicle level
   ▪ The indicator Y - N is completed noting if the carrier responsible for the safety is or is not expected to change during the year.

2. This list of questions further defines whose Census information is needed and what to bar code on the cab card:

   Will any of Registrant's vehicles be leased to another motor carrier ?   **N**

   ● Registrant's USDOT Number must be a motor carrier entity type on MCMIS
   ● Bar Code Registrant's USDOT Number as responsible for safety

   Will any of Registrant's vehicles be leased to another motor carrier ?   **Y**

Will lease be for less than 30 days? **Y**

- Registrant is responsible for safety. The USDOT Number must be a motor carrier entity type on MCMIS

Will lease be for all of registration period? **Y**

- Registrant must provide USDOT Number for each Carrier to whom he will lease one or more vehicles **and** <u>his own</u> USDOT Number State should bar code the USDOT Number of the carrier responsible for safety.

Will lease be for all of registration period **N**

- The first bullet above applies; however, no USDOT Number is bar coded.

3. If any schedule does not contain all the information that is needed or contains incorrect information, the registrant should be contacted. IRP offices usually have standard rejection sheets prepared with check off blocks for rejections. This rejection sheet form should be modified for the possible rejections for PRISM. If your state does not have a standard rejection check off sheet, you might want to consider developing one for efficiency in the rejection process. A sample is provided in Chapter 7 – Sample forms.

4. If it is necessary to contact by mail, the date the application was returned should be indicated on the cover or on the inside front cover of the registrant file folder.

5. Once the application has been verified, calculate the registration fees and prepare an invoice.

6. Deny the registration if the required information is not provided. Do not put this type of denial reason in the data fields provided on the screen. Those are for denials relating to a MCSIP step.

Why

Registration is the initial point of contact in the PRISM process between the motor carrier, registrant or motor vehicle owner and the government.

The carrier responsible for the safe operation of the vehicle will be identified at the time of registration. The principal objective is to establish the initial "link" between every vehicle registered and an entity that will be responsible for its safe operation during the registration year. This will enable the safety checks to be done during the registration process.

All PRISM actions are based on the actual safety performance of a motor carrier. Therefore, it is critical that all safety events (crashes, roadside inspections, etc.) be properly assigned to the motor carrier that was responsible for the safe operation of the vehicle at the time of the event. The linkage established by this requirement also provides for the proper assignment of these events.

The registrant will identify the Motor Carrier Responsible for Safety assigned to the motor vehicle at the time of registration or renewal and indicate whether it is expected to change throughout the registration

period. This will enable law enforcement to receive motor carrier information if the motor carrier does not change.

The PRISM project created the concept of a "Default Motor Carrier". The Default Motor Carrier is defined as "the person responsible for assigning safety responsibility in cases where the motor carrier has not been properly identified or cannot be identified". In these cases, the Registrant will be used as the Default Motor Carrier and will be responsible for determining safety responsibility for safety events in question. The registrant must have operating authority in this case. (Cannot be an entity type of Registrant on MCMIS.) If the Default Motor Carrier does not assign safety responsibility, then the events may become a part of the Default Motor Carrier's safety record. The registrant and the motor carrier are the same 50 % or more of the time.

All registrants must provide a USDOT Number and a TIN when completing an IRP application. A TIN may be the registrant's Federal Employer Identification Number or Social Security Number. A separate data field for the registrant's TIN and the TIN and USDOT Number for the carrier responsible for the safety of each vehicle must be included on the IRP Vehicle schedules to validate their correctness.
NOTE: Change effective as of September 1, 2012. In cases where the registrant is a "Registrant-Only" entity, and does not have operating authority to move vehicles in interstate commerce, a USDOT Number and TIN is not required at the registrant level.

15.1.2.2 Document Data Entry

New data for PRISM to validate the USDOT Number

Tasks

1.   In addition to the IRP data items:

   ▪ Enter the USDOT Number of the Registrant at the Registrant level. (Schedule A)
   ▪ Enter the TIN (and the zip code if you have chosen to include this field for validation) of the Registrant at the Registrant level. (Schedule A) (The program will validate the correctness.)
   ▪ If long term lease,
        a. Enter the USDOT Number of the carrier responsible for safety at the vehicle level. (Schedule A)
        b. Enter the TIN (and zip code) of the carrier responsible for safety at the vehicle level. (TIN is on the MCS-150 or Schedule A or Heavy Vehicle Use tax form)
   ▪ Enter the Y indicator if the carrier responsible for safety is expected to change during the registration year. Enter the N indicator if the carrier responsible is expected to be the same for the registration period.
   ▪ If short term leased, record the USDOT Number of the Registrant at the vehicle level. This must be a motor carrier number – not just a registrant "R" number

2.   When the validation of the USDOT Number returns a non-match, the following should be done:

   • If there is no TIN on the MCMIS file, then a check of the carrier name by the operator should be done. Also the TIN should be verified by the IRP operator with the motor carrier or registrant whose number is in question and data enter the TIN on MCMIS. Registration should not be denied in this situation even though the proper VIN is not on the local census file. It will be corrected in the next update file.

   • If it is clear that one file number is an EIN while the other file contains a Social security number, then the operator should get confirmation from the company for the EIN and use it on the records.
   • If the numbers vary by only a few characters, the operator should determine if one was entered incorrectly and then fix it on the IRP account or on MCMIS, whichever has the incorrect number.
   • If the numbers are totally different and there is no apparent reason for the difference, the operator should reject the application until resolution can be obtained from the registrant and/or carrier.

3.   When the validation of the USDOT Number returns a match, but with the messages needing operator intervention, the following should be done:

   •   If the USDOT Number is found but it is inactive, the IRP operator should reject the application until the carrier contacts FMCSA to make the number active again.
   •   If the USDOT Number is found but it is an intrastate only, the IRP operator should reject the application until the carrier changes the number to be for interstate operations too.

- If the USDOT Number is found but the entity type is "registrant only," "shipper", or "intermodal" and the number is listed at the IRP vehicle level, the IRP operator must inform the registrant that he either obtains his own authority or he acquires a lease to a motor carrier with authority.

4. If there is a no hit, access the MCMIS Census File. If there is no record, reject the application to the registrant for corrected numbers. If MCMIS shows the motor carrier has corrected the information/problems encountered above, then override the error code and continue IRP processing.

5 The supervisor should review the override report for proper usage of the override function.

Why

The carrier responsible for the safe operation of the vehicle will be identified at the time of registration. Since all PRISM actions are based on the actual safety performance of a motor carrier, and it is critical that all safety events (crashes, roadside inspections, etc.) be properly assigned to the motor carrier that was responsible for the safe operation of the vehicle at the time of the event, it is important to be sure the USDOT Numbers on the registration files are accurate.

The registrant will also indicate whether the carrier responsible for safety is expected to change throughout the registration period. If it is not expected to change, the registration cab card will be bar coded with the carrier's information. This will enable law enforcement to easily access the motor carrier information.

The state needs to verify the USDOT Number presented by the registrant during the registration process. The TIN is used for verification of the USDOT Number. This is to ensure the registrant doesn't just pull a number off the side of a truck to use as his own. This verification is done by matching the information provided by the registrant against the Local PRISM Census file using a local Census Inquiry Transaction (or CVIEW if that was selected by the state). The primary purpose of the Census Inquiry transaction is to confirm the USDOT Number presented by the registrant. The use of the local census file is faster than verifying against MCMIS each time.

It is expected that most census inquiries will be completed successfully by accessing the information on the Local PRISM Census file. If no match is found using this process, or if the information is inadequate, then the state initiates the second level of validation through a MCMIS Search.

Since the system is validating from the Local census file or CVIEW, both of which are updated nightly, an override must be provided for the IRP operator to use to continue the application processing when a carrier has updated MCMIS with the correct information.
The override report is for the supervisor to review and verify the proper use of the override function.

15.1.3   Check Carrier Safety Status

Tasks

1.   Check the carrier safety status by making an inquiry into the Target File. (The IRP program should do this automatically as part of the computer process.) The check is against the carriers' USDOT Numbers (every year) and the VINs (new account and add vehicles on established accounts) associated with the carriers. If a match is made, a message should be returned that indicates what USDOT Number or what VIN is associated with a carrier with an out of service order or suspended in another state.

2.   Refuse registration or renewal to any carrier whose safety status for the USDOT Number at the vehicle level will not permit renewal when legislation permits.

3.   If the registrant indicates that the vehicle is no longer leased to the "bad" carrier or the vehicles have been sold to another good carrier, obtain documentation to prove these statements. You might want to also confirm the lease with the carrier responsible for safety. Also check MCMIS for both the new number provided by the registrant and the old number with the bad safety check. Compare the information on MCMIS for these two numbers. If the company names are similar, the addresses are the same or similar, the phone numbers, fax numbers and cell phone numbers are the same or the officer names are the same, or the new USDOT Number has been issued very recently, there is reason to suspect the new carrier is in fact the old carrier re-invented. Question the applicant further to resolve why the information is the same or similar. Refuse registration until you are satisfied, the new number belongs to an entirely different person than the old one.

      If the registrant's USDOT Number is also out of service, contact the carrier responsible for safety to request notification by the carrier responsible for safety if the lease is broken during the registration year (Sample letter in section 7.5.9). Explain to the carrier that you want to remove his USDOT Number from the file for this registrant so that the registrant can be contacted for information on who is now responsible for safety. If there is a non-match for an event, the former carrier responsible for safety could have the event recorded on his record if he does not contact the IRP office with the change in lease information. The carrier usually wants to cooperate for this reason. If the carrier then does notify you of a broken lease, contact the registrant for proof of another lease to another good carrier. If a new lease is not provided, suspend the registrant's registration until such time that a new lease is provided.

4.   Place the reason why the denial was made in the appropriate fields on the screen unless the programming has been done to automatically do this. If the computer system does not have a place to include this information on the record at all, you should record these events so that a summary can be created to send to FMCSA for Congress. Collect the date, reason why registration was denied, suspended, or revoked (MCSIP step.)

5.   If a VIN associated with a 'bad' USDOT Number is now being registered by you and is therefore, associated with a good carrier, email the VIN, state/plate, new registration start date and new carrier of the vehicle to VOLPE so that the VIN can be removed from the target file to PrismTechnicalSupport@dot.gov.

Why

One of the most important PRISM functions is checking during the registration process to make sure the Motor Carrier Responsible for Safety has not been ordered to discontinue interstate operations by FMCSA. This is accomplished by checking the safety status when processing IRP registrations. The MCSIP Step of the carrier responsible for safety of every vehicle must be checked prior to completing the processing and issuing credentials. In addition, the vehicle identification number (VIN) of each vehicle established on new accounts and vehicles added on previously established accounts must be checked to determine if the vehicle is assigned to a MCSIP Carrier who is prohibited from interstate operations or if the vehicle is suspended or revoked by another PRISM jurisdiction. Additional research must be conducted if there is a match on the VIN check to determine if the carrier has re-invented himself.

The motor carrier can, however, continue to be a registrant but all the vehicles in the fleet must be assigned to a safe motor carrier. Confirmation of the documentation of the lease should be collected.

15.1.3.1 Review Report of OOSO Carriers' Vehicles

Tasks

1. Work with your data processing staff to design the report in a manner that is best suited for you. It is suggested that the report be separated into several sections – those vehicles that are suspended and need to be rescinded, and those vehicles that are registered and now may need to be suspended. Further sorts can be by the MCSIP step of those vehicles that require suspension and by the date of the OOSO. If your state does not suspend for the federal OOSO issued because of non-payment of fines, you will not want these vehicles on your report.

2. The data on the report will also need to be determined by you. Basic information of the vehicle plate number, MCSIP step and date of OOSO, and registrant account number will be necessary. Optional information includes the name, address and phone number of the registrant. You will need to also decide if a paper copy of the report is preferable or a daily alert on your computer.

3. On a daily basis:

    -   The supervisor should review the OOSO vehicle report to determine if any vehicles on the IRP file are associated with an OOSO carrier but not suspended or revoked.

    -   If there are vehicles that possibly should be suspended or revoked, contact FMCSA (if the FMCSA division hasn't already contacted your state) to determine the appropriate action. (Some of these OOSO may be resolved quickly and therefore not require suspension or revocation of the vehicles)

    -   Supervisor should review the OOSO vehicle report to determine if any suspended or revoked vehicles on the IRP file are listed for a carrier who is no longer under an OOSO.

- If there are vehicles that appear that they should be reinstated, contact FMCSA to determine the appropriate action before lifting the suspension.

4.   Follow normal procedures for suspending, revoking or reinstating the vehicles after tasks one through four are completed.

Why

The report lists all the vehicles on your states file that are associated with a carrier who has been placed under an out of service order. These vehicles may need to be suspended. Keep in mind; some of the carriers might not be physically located in your jurisdiction. FMCSA might need to contact other FMCSA division offices for details of the OOSO.   For those vehicles that were previously under an OOSO and therefore suspended, this report is the timeliest manner for you to become aware of the change in status. The carrier will want and deserves to have the suspensions lifted as soon as possible after the OOSO is lifted.

You must be sure to review the report daily for changes.

15.1.4   Temporary Authority Processes

Task

1.   Ensure the USDOT Number for the Motor Carrier Responsible for Safety is included on the temporary authority application. This is recommended to be bar coded on the credential if it is expected to not change during the registration period.

Why

When states grant temporary registration to a carrier, the carrier must be held accountable for safety events that occur under that temporary registration. Therefore, states must be able to incorporate PRISM requirements into temporary authority processes. In most cases, this is simply a matter of making sure that vehicles and carriers with temporary authority are not excluded from PRISM processes.

15.2   IRP Renewal Year 2 and Thereafter

15.2.1   Renewal Package

- Preprinted Schedules A & B
- Extra vehicle schedules
- Carrier Instruction manual
- Industry meeting notification, if appropriate
- Deadlines

15.2.2   Verify Bar coded Information

Task

1. Cab Cards / Bar Codes should be re-certified every two years. States should send copies of cab cards according to the Bar code specifications for re-certification by the PRISM team.

Why

When changes are made to programs that are not normally affecting the bar codes, glitches can sometimes be created. To be sure the bar codes are being printed properly, the PRISM team, in addition to your IT staff, will test the cab cards to be sure the information in the bar code is correct.

16.   Chapter Sixteen – PRISM Operations Support

- Research Carrier Addresses for FMCSA for Undeliverable Letters

- Telephone Center

- Compliance Reviews – Preparation

    - Vehicle list

- Compliance Reviews – Follow-up

    - Collect vehicle information

- Quality and Completeness of Data

- Correct Unassigned and Incorrectly Assigned Safety Events

- Obtain Registration Details

- Suspension/Revocation Notices

- Roadside Inspections

PRISM Operations Support

This section covers tasks in support of Registration requirements 1,13, 14 and Enforcement requirements 4, 5, and 6.

16.1   Research Carrier Addresses for FMCSA for Undeliverable Letters

Tasks

1.   Access the state's registration files to provide a carrier's most recent address.

2.   When the correct address is not available, make resources available to coordinate research efforts with FMCSA Division Office.

3.   When the correct address is determined, update the MCMIS Census File.

Option

Provide FMCSA access to the registration files electronically.

Why

When FMCSA mails out Warning Letters and they are "returned undelivered" or FMCSA simply cannot find the carrier, FMCSA will contact the state to assist in determining a correct address. The state must be able to access its registration files and provide FMCSA with the carrier's most recent address. When a current address is not available, state registration and enforcement must coordinate with the FMCSA Division and assist in procuring the correct mailing address for the carrier.

Where state's privacy laws do not prohibit external government agencies from having access, some states have chosen to allow FMCSA to have the access to the registration files on the FMCSA terminals.

16.2   Telephone Center

Tasks

1.   Ensure that all Motor Carrier enforcement personnel are qualified to respond to carrier questions concerning warning letters.

2.   If practical, designate selected personnel to answer these questions.

Why

The warning letter is produced by FMCSA and sent to the motor carrier. The FMCSA Division bases it on the carrier's safety record, Safety Management Sustem score and subsequent decisions. The receipt of a Warning Letter will undoubtedly raise questions for a motor carrier. States must have qualified people available to answer questions concerning the Warning Letter process.

16.3   Compliance Reviews – Preparation

16.3.1   Vehicle List

Task

1   Before a compliance review, provide Motor Carrier Enforcement with a list of vehicles and registration data from the state registration files for all vehicles assigned to a specific motor carrier if requested by the compliance review officer.

Why

A list of vehicles will assist Motor Carrier Enforcement in conducting compliance reviews where the motor carrier is uncooperative or is trying to hide information. The compliance officer will make the determination if he or she will need the listing. If the state has provided computer access to FMCSA of the registration files, then FMCSA can produce this listing for this requirement without intervention of state personnel.

16.4   Quality and Completeness of Data

Tasks

1.   Develop consensus with city, county, and state agencies in order to automate forms for inspections, accidents and citations.

2.   Where feasible, utilize bar code technology to complete the inspection, accident and citation form to improve data quality and speed up the process for those involved.

3.   Include USDOT Number on accident and inspection reports. Ensure the proper USDOT Number is recorded at the roadside (not necessarily the number on the side of the truck.)

4.   Review roadside safety events for areas to improve the accuracy of the data.

Why

Since PRISM is a data driven program, the quality of the SafeStat rankings is only as accurate as the carrier safety data. Therefore, it is crucial that every effort be made to assure current, correct safety data. In some

cases, moving violations discovered during an inspection that occurred as a result of traffic enforcement have not been included on the inspection reports. Consequently, important safety data may be lost. These safety events should be included on the inspection reports in order to improve the quality and accuracy of safety data.

It is also critical that all safety events (crashes, roadside, inspections, etc.) be properly assigned to the motor carrier that was responsible for the safe operation of the vehicle at the time of the event. The fact that some vehicles are being leased to multiple motor carriers throughout the registration period is one of the main reasons why, in the past, safety events have been improperly assigned to motor carriers. If the responsible motor carrier is not properly identified at the event site, it is often difficult to determine which motor carrier was responsible at the time of the event. The Compliance Review is one carrier contact in which leased vehicle information can be updated.

16.5   Correct Unassigned and Incorrectly Assigned Safety Events

Task

1.   Establish procedures for determining the USDOT Number of the responsible motor carrier for unassigned or incorrectly assigned safety events by using the information in the IRP files. This requirement can also be met by providing law enforcement with direct computer access to the registration files.

Why

All PRISM actions are based on the actual safety performance of a motor carrier. Therefore, it is critical that all safety events (crashes, roadside inspections, etc.) be properly assigned to the motor carrier that was responsible for the safe operation of the vehicle at the time of the event. With the implementation of PRISM, the intent is to be able to use the USDOT Number maintained on the registration files to resolve unassigned or incorrectly assigned events. **Using the plate numbers on the accident or inspection reports and searching the IRP files for the associated USDOT Numbers for that vehicle can make this match. The Yes/No question for establishing if the Motor Carrier Responsible for Safety is expected to change at the time of registration can also help in determining the proper carrier at the time of the event.**

16.6   Obtain Registration Details

Task

1.   Query registration files in the following manner in addition to the methods currently provided for the IRP files:

- For registrant by USDOT Number
- For Motor Carrier Responsible for Safety by USDOT Number

Note: You must make sure this information can be obtained on the NLETS query either directly from the IRP files or from the state's legacy file.

Why

States must possess the ability for registration and law enforcement personnel to query the state Registration Files by registrant USDOT Number and motor carrier USDOT Number (Note: The Target file can be accessed through NLETS).

16.7   Suspension/Revocation Notices

Tasks

1.   (Registration staff) - Issue a State Suspension or Revocation Notice for all vehicles assigned to motor carriers that have been prohibited by a federal agency from conducting interstate operations. Record the specific reason code – suspended as a result of a federal OOS – on the IRP record and on the legacy record. IF using CVIEW, also mark the record on CVIEW with an IRP status code of 950. The suspension must remain in effect until the federal out-of-service order is lifted.

2.   Record the MCSIP Step in the field on the IRP screen if this has been programmed into your IRP system. Otherwise record this information in a file for summary in the quarterly report sent to FMCSA.

3.   (Enforcement) –When requested, coordinate serving the suspension or revocation orders or plate pickup orders with the FMCSA Division Office.

Refer to the following table for physically retrieving plates:

OOS REASON	ISSUE SUSPENSION NOTICE	PHYSICALLY RETRIEVE PLATES
Final Unsatisfactory Rating	YES	When state suspension is issued
Failure to Pay Federal Fines	YES	When/if discovered operating at the roadside.
Failing New Entrant Audit	YES	When/if discovered operating at the roadside.
Carrier not allowing a New Entrant Safety Audit to be conducted	YES	When/if discovered operating at the roadside.
New Entrant Revoked for Expedited Actions	YES	When state suspension is issued
Operating without Authority	YES	When/if discovered operating at the roadside.

OOS REASON	ISSUE SUSPENSION NOTICE	PHYSICALLY RETRIEVE PLATES
Imminent Hazard	YES	When state suspension is issued

Why

Once legislative authority to suspend, revoke or deny registration is granted, states must enforce and implement that authority for carriers that have been prohibited from conducting interstate operations by a federal agency. During the suspension period, the motor carrier is expected to overhaul its operating practices.

16.8 Roadside Inspections

Task

1.   Provide the ability to identify vehicles assigned to carriers in MCSIP and give these vehicles priority for inspection. Targeted Carrier or Vehicle data can be accessed through FMCSA's Query Central, NLETS, a copy of the Local PRISM Target File or CVIEW. The state must decide which methods to use.

Why

The PRISM Target File contains information on all motor carriers in MCSIP and the vehicles assigned to those carriers. Enforcement personnel access the PRISM Target File to assist them in making decisions on which vehicles to inspect. Targeted vehicles receive more enforcement attention while non-targeted vehicles receive less scrutiny.

Section III: ADDITIONAL INFORMATION

- Chapter 15:   Glossary of Terms

- Chapter 16:   Contacts

- Chapter 17:   Frequently Asked Questions

- Appendix A: PRISM System Architecture

- Appendix B: PRISM Data Flow and Timeliness

17. Chapter Seventeen – Glossary of Terms

Glossary of Terms

CR	Compliance Review
Default Motor Carrier	Entity responsible for safety in cases where the actual motor carrier has not been properly identified or cannot be identified
FMCSA	Federal Motor Carrier Safety Administration
ISS	Inspection Selection System
MCMIS	Motor Carrier Management Information System
MCSIP	Motor Carrier Safety Improvement Process. Process used to improve the safety of high-risk motor carriers through accurate identification, treatment, and assessment
Motor Carrier	Entity responsible for the safe operation of the vehicle during the registration year
NGA	National Governors Association
Owner	Entity listed on the title
PRISM	Performance and Registration Information System Management. System where at risk carriers are identified and targeted for inspection, self-improvement, and suspension/revocation
Registrant	Entity to whom the vehicle registration and the plate is issued
Safetynet	Communication network used by the states to upload safety data to MCMIS
SEA	Safety Evaluation Areas

18. <u>Chapter Eighteen – Contacts</u>

- Federal Motor Carrier Safety Administration (FMCSA)

- VOLPE Center

- PRISM Consultants

Contacts

18.1   Federal Motor Carrier Safety Administration (FMCSA)

Monique Riddick - (PRISM Team Leader)
Federal Motor Carrier Safety Administration
Office of Safety Programs
1200 New Jersey Avenue, SE
Washington, D.C. 20590
(202) 366-6407
Email: Monique.Riddick@dot.gov

James Ross – (PRISM Grants Manager)
Office of Enforcement and Compliance
Federal Motor Carrier Safety Administration
1200 New Jersey Avenue, SE
Washington, D.C. 20590
 (202) 366-0133
Email: James.Ross@dot.gov

18.2   Volpe Center

PRISM Technical Support Team
Email: PRISMTechnicalSupport@dot.gov

FMCSA Technical Support Team (for SAFER & CVIEW)
Email: FMCtechsup@dot.gov

18.3   PRISM Consultants

Charles Kleber (Law Enforcement Liaison)
45 Kermis Court
Dover, Pennsylvania 17315
(717) 292-4351
Email: Ckleber@att.net

19. Chapter Nineteen – Frequently Asked Questions and Answers

- General

- Registration Operations

- Registration Operations (USDOT Number)

- Registration Operations – MCS-150

- Enforcement

Frequently Asked Questions and Answers

19.1 General

1.   What is the total number of years to implement?

   a. PRISM funding is typically allocated for a period of two years. Since states may face unique situations in implementing the program, state requests for the extension of their grant period have been approved by FMCSA in the past.

2.   If the Implementation Plan is approved by FMCSA, when is the grant money available?

   a. States may draw down on the grant money immediately by vouchering PRISM expenses through their local FMCSA Division Office. PRISM funds can only be spent on the clearly defined PRISM program requirements.

19.2 Registration Operations

3.   If a registrant's long-term lease is terminated during the registration period, is the registrant required to notify the state?

   a. There is nothing in PRISM that requires the registrant to make notification. If the carrier does not update this information immediately, it will be corrected during the renewal cycle.

5.   How is the vehicle registration process different for an IRP account holder if the base state participates in the Federal Motor Carrier Safety Administration's Performance and Registration Information Systems Management (PRISM) program?

   a. When a state participates in PRISM, simple pieces of additional information are required to obtain IRP vehicle registration. **The registrant (i.e. IRP account holder) has to provide**:

      1.   His USDOT Number and the appropriate Federal Tax Payer Identification (TIN) for that USDOT Number.

      2.   The USDOT Number and appropriate TIN of the *Motor Carrier Responsible for Safety* of each vehicle on the account. In many instances, the Motor Carrier Responsible for Safety is also the registrant. Common exceptions include owner operators who lease to motor carriers and vehicle leasing companies that do not operate as motor carriers responsible for safety.

19.3   Registration Operations (USDOT Number)

7.   Since new entrant motor carriers operating for-hire must obtain their operating authority from FMCSA before receiving a USDOT Number and operating in interstate commerce, must a PRISM state deny the carrier registration until the carrier's authority is approved?

     a.   No, PRISM states should process the carrier's application in the FMCSA MCMIS system.

8.   In a lease situation, when the motor carrier responsible for the safety of a vehicle is not known at the time of registration, or the lease is short-term, who should be identified as the Motor Carrier Responsible for Safety in the state registration system?

     a.   In these situations, the vehicle registrant becomes the "default motor carrier" responsible for safety. Accordingly, the USDOT of the registrant, but not a registrant only number "R", should be entered in the state registration files at the vehicle level to indicate the Motor Carrier Responsible for Safety. This number establishes the audit trail to determine the actual motor carrier responsibility for safety for a safety event if necessary.

9.   Is bar coding on the cab card for both the vehicle and the motor carrier, and does it include the USDOT Number?

     a.   Yes. The bar code reduces data entry errors and inspection time by allowing roadside inspectors to quickly populate inspection forms using bar-code readers.

11. What information is the bar code supposed to contain?

     a.   Barcodes should be printed consistent with the PDF-417 standard and contain the USDOT Number, name, and mailing address of the Motor Carrier Responsible for Safety at the vehicle level if the Motor Carrier Responsible for Safety is not expected to change during the registration period, as well as registrant information, vehicle information, and credential information. The *PRISM Cab Card Bar code Specifications* document provides details on the fields and field formats.

12.   If the Motor Carrier Responsible for Safety is known at the time of registration but is expected to change during the registration year, who should be identified as the Motor Carrier Responsible for Safety on IRP renewal forms and in the IRP registration systems?

     a. The USDOT Number of the Motor Carrier Responsible for Safety <u>at the time of registration</u> should be entered at the vehicle level of IRP renewal forms unless the vehicle is under a lease that is going to expire in less than 30 days. This carrier information will not be bar coded since the lease is expected to expire before the end of the registration period.

13.   How do lease agreements (short and long term) affect the identification of the Motor Carrier Responsible for Safety in state registration records and the decision to bar code the vehicle cab cards.

a. The table below is intended to provide general guidance:

Lease situation	USDOT Number at the vehicle level	Barcode registration card with carrier responsible for safety?
No lease but Motor Carrier Responsible for Safety is known. For example, a motor carrier that owns and registers its own vehicles.	Motor carrier responsible for Safety.	Yes
No lease and the Motor Carrier Responsible for Safety at the time of registration is not known. For example, a truck leasing company that is registering a spare vehicle rental fleet.	USDOT Number of the Registrant – i.e. The "default motor carrier"	No
Long Term Lease to a motor carrier (> 29 days at time of Reg.)	Motor carrier responsible for safety at the time of registration.	Only if the Motor Carrier Responsible for Safety is not expected to change during the registration year.
Short Term Lease to a motor carrier (< 30 days at time of Reg.)	USDOT Number of the Registrant – i.e. The "default motor carrier"	No

14. Do the Federal Motor Carrier Safety Regulations (FMCSRs) require vehicle registrants that are not motor carriers to obtain a USDOT Number?

    a. No. The FMCSRs only require motor carriers to obtain USDOT Numbers. But, registrants that are not motor carrier are required by the states to obtain a registrant only USDOT Number "R" as part of the PRISM program.

15. A motor carrier has a fleet of 5 owner operators on his IRP account. The owner operators all have their own authority and their own USDOT Numbers. However, they are all long-term leased to the motor carrier for the entire registration year. What USDOT Numbers should be entered at the registrant and vehicle level on the IRP forms?

    a. The USDOT of the motor carrier should be entered at both the registrant and vehicle level.

16. When assigning a USDOT Number to a registrant who is **not** a motor carrier and who has supplied a completed MCS-150 form, what should the registration office use as the reason for change code in MCMIS and what should be entered in the operation classification?

    a. The "reason for change" code should be identified as "150".

With respect to operation classification, the registration office is <u>not</u> required to complete the operation classification field when issuing a USDOT Number to a registrant because the registrant is applying for the number for registration purposes only and cannot operate as a motor carrier.

19.4 Enforcement

24. When carriers are identified as at risk carriers, how long are they in the MCSIP program? How much time is given to correct problems?

    a. Motor carriers that enter the PRISM Motor Carrier Safety Improvement Process (MCSIP) are evaluated in six-month intervals after their initial treatment (e.g. a compliance review). Motor carriers remain in the MCSIP until they improve their safety status.

25. A fundamental tenet of the PRISM program is that the state will suspend/revoke and/or deny registration renewal to any motor carrier that has been ordered to cease interstate operations by the Federal Motor Carrier Safety Administration. Under what circumstances will the FMCSA order a motor carrier to cease interstate operations?

    a. There are four general instances in which the FMCSA will order a motor carrier to cease interstate operations:

        1. When the motor carrier receives a final unsatisfactory safety rating from the FMCSA as set forth in 49 CFR part 385 and the Transportation Equity Act for the 21st Century (TEA-21);

        2. When, after exhausting all due process options, the motor carrier fails to pay federal fines levied from FMCSA enforcement actions   as set forth in 49 CFR Part 386 and Section 206 of the Motor Carrier Improvement Act of 1999; and

        3. When the motor carrier is determined to be an imminent hazard.

        4. When a new entrant fails an audit or does not schedule an audit within 18 months.

25. Are the PRISM Warning Letters that are mailed to SafeStat Category C motor carriers from FMCSA headquarters sent via certified mail?

    a. No. However, one of the PRISM requirements is for the state registration office to assist the FMCSA in finding the correct addresses of motor carriers by inquiring into state registration files. This approach helps ensure that warning letters that are returned as "undeliverable" ultimately end up with the appropriate motor carrier.

26. The Safety Evaluation Summary Reports that are attached to PRISM warning letters identify driver and vehicle OOS inspections over the previous 30 months. Do the reports identify why the driver or vehicle was placed OOS?

a. No. However, the description of the OOS item is available on the FMCSA's Analysis and Information online website at: www.ai.fmcsa.dot.gov.

28. Are carriers notified that they are due for a compliance review?

   a. Under the PRISM program, "high-risk" motor carriers (SafeStat Category A/B) are scheduled for immediate compliance reviews without any prior written notice. Motor carrier's characterized as moderate risk (SafeStat Category C) receive a PRISM warning letter notifying them that failure to improve within six months will result in a compliance review.

29. How do roadside enforcement officers determine the Motor Carrier Responsible for Safety of the vehicle at the time of an inspection?

   a. The inspector makes the determination based on documentation and driver information available during the inspection including: shipping documents, driver logs, vehicle registration, and bar coding on the registration card.

30. If a motor carrier located in a non-PRISM state is issued an Out-of-Service Order, will the vehicles the motor carrier operates that are registered in PRISM states be subject to the Out-of-Service Order and related suspension/revocation sanctions?

   a. It is possible for the OOS Order and sanctions to take place for the vehicles registered in PRISM states. When a motor carrier in a non-PRISM state receives an OOS Order, that state or FMCSA may request the PRISM state(s) to take action on the registered vehicles.

Appendix A – PRISM System Architecture

PRISM System Architecture

PRISM IT System Support for Registration and Enforcement Requirements

February 2014

PRISM System Architecture
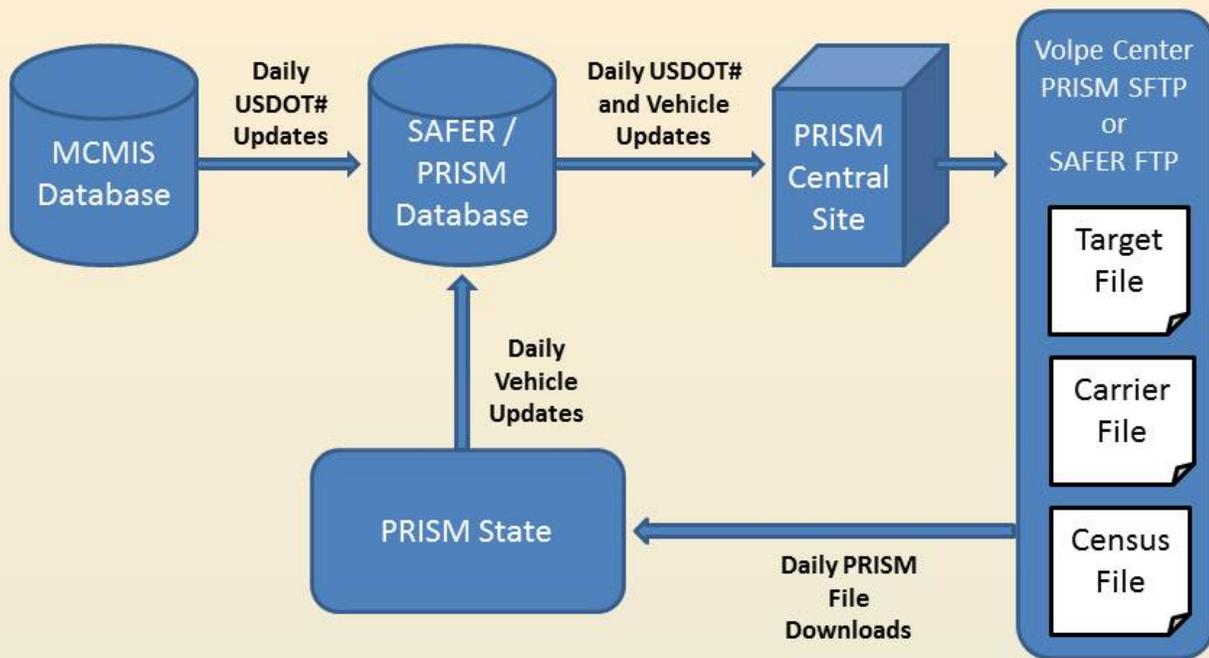
NOTE: The following two slides describe each component of this diagram in detail

PRISM System Architecture

MCMIS Database

- The MCMIS Database is the authoritative source of all USDOT Number information. Data includes census info such as name, address, and phone numbers, along with the carrier's FMCSA Out-Of-Service status, cargo, and numbers of vehicles and drivers.

SAFER / PRISM Database

- The SAFER/PRISM Database is a shared database between the SAFER and PRISM teams. Daily updates from MCMIS feed this database which is used to create the PRISM data files. Vehicle data from the States is also entered here, via either a PVF File or CVIEW update.

PRISM Central Site

- The PRISM Central Site refers to the application server and other auxiliary programs that create the PRISM data files. This is housed at the Volpe Center and managed by PRISM Technical Support. Data files with motor carrier and vehicle information are posted daily from the Central Site to the FTP sites for download by PRISM States.

PRISM System Architecture

Volpe Center PRISM SFTP or SAFER FTP

- The Volpe Center has two FTP sites available to download PRISM files. The PRISM SFTP Site is a secure FTP server that uses private key file technology for authentication. The SAFER FTP Site is a standard FTP site with username and password.

Target File

- The PRISM Target File contains vehicles and their associated carriers that are either under a Federal Out-of-Service Order, or targeted for inspection at the roadside. The Target File is available in both XML and flat-file format. Data includes USDOT Number, VIN, License Plate, State and registration dates.

Carrier File

- The Carrier file is used by States that upload a PRISM Vehicle File (PVF). To create the PVF file, the State compares the USDOT Numbers listed in the Carrier File to the USDOT Numbers associated to vehicles registered in the State IRP system. When a match occurs, the vehicle is added to the PVF file.

Census File

- The Census file is used to validate the USDOT Numbers at time of registration. The Census file data contains over 2 million records for every USDOT Number in MCMIS. The data processing starts with loading a baseline file of all records, then adding daily incremental updates.

IT Support of PRISM Requirements

PRISM Registration Requirement

Validate the USDOT Number before adding any USDOT Number to Registration files

Validate the USDOT Number

- There are 3 methods available that a PRISM State can choose from to Validate the USDOT Number:

    1. PRISM Census File

    2. CVIEW Database (T0031)

    3. SAFER Web Services (ad-hoc)

Validate the USDOT Number
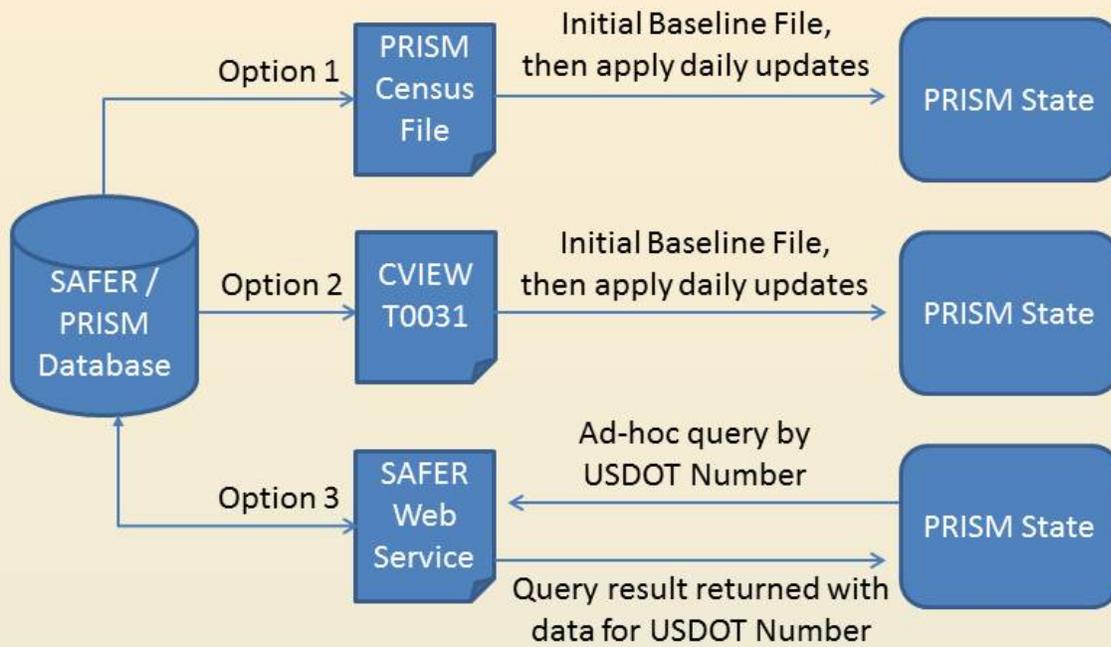
Validate the USDOT Number

- If a "no-hit" occurs during the validation process, the State should have the ability to view the MCMIS data directly via the FMCSA Portal Website.

PRISM State

FMCSA Portal Website
with MCMIS access

MCMIS Database
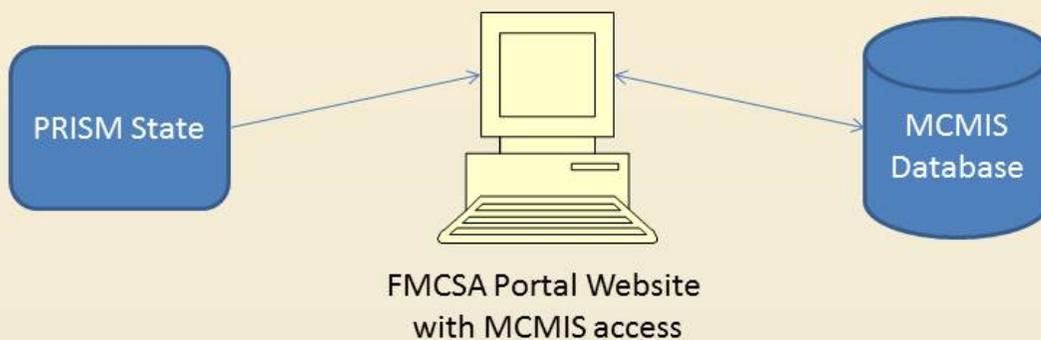
IT Support of PRISM Requirements

PRISM Registration Requirement

Check Carrier Safety Status before issuing credentials and Deny Registration if the Motor Carrier has been issued an FMCSA Out-of-Service Order

Check Carrier Safety Status

- There are 2 methods available that a PRISM State can choose from to Check Carrier Safety Status:

    1. PRISM Target File (Flat File or XML Format)
    2. PRISM Web Services (ad-hoc)

Check Carrier Safety Status

PRISM Target File

- The PRISM Target File is available in two formats, flat file or XML.
- Daily files are generated Monday thru Saturday at 6:00am EST.
- The XML Files are named T0041P and T0042P and must be used together to obtain all carrier and vehicle records. The naming convention matches with the CVIEW for States participating in both PRISM and CVISN.
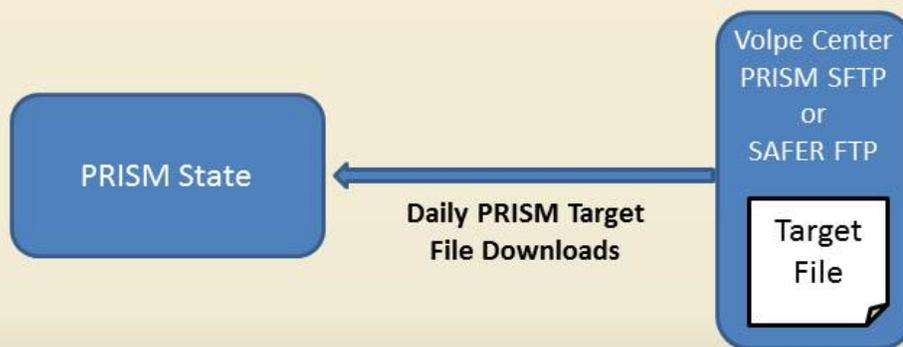
Check Carrier Safety Status

PRISM Web Services

- The PRISM Web Services are available for ad-hoc query based on USDOT Number, VIN, or State/Plate.

- Every query received will provide a real-time OOS Status check directly from the MCMIS Database.
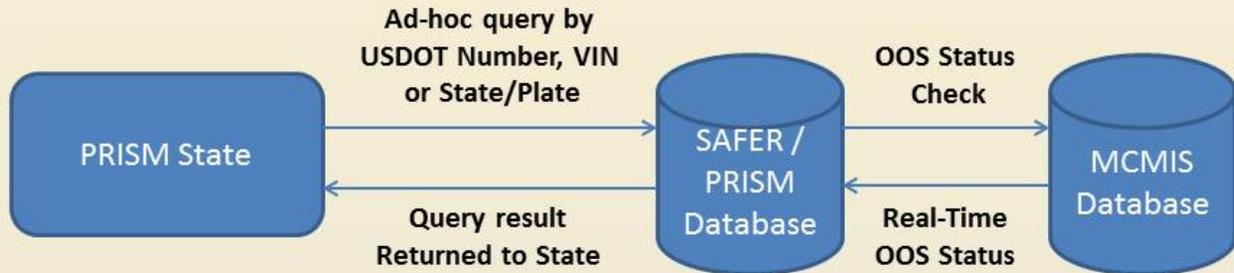
IT Support of PRISM Requirements

PRISM Registration Requirement

<u>Update the PRISM Target File</u> nightly with registration information for vehicles assigned to "targeted" motor carriers

Update PRISM Target File

- There are 2 methods available that a PRISM State can choose from to Update the PRISM Target File:

    1. PRISM Vehicle File (PVF)
    2. CVIEW Database (T0022)

    (Note: States must choose one method or the other, and cannot use both methods simultaneously)

Update PRISM Target File

PRISM Vehicle File (PVF)

- Carrier File contains a list of FMCSA Out-of-Service and other unsafe carriers "targeted" for registration denial or roadside inspections
- State compares Carrier File to local IRP Data and creates PVF
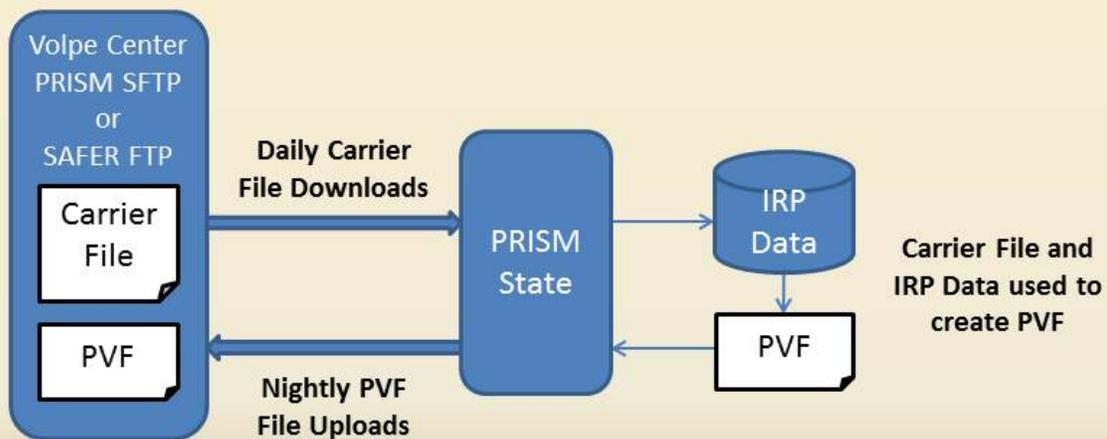
Update PRISM Target File

CVIEW Database (T0022)

- PRISM States that are also using a CVIEW Database can use the T0022 upload transaction to send all vehicle registrations to PRISM
- If using CVIEW, there is no need to download carrier file, as the State uploads all vehicle records regardless of safety status
- The PRISM Central Site filters through the T0022 file and chooses the appropriate records to include on the PRISM Target File
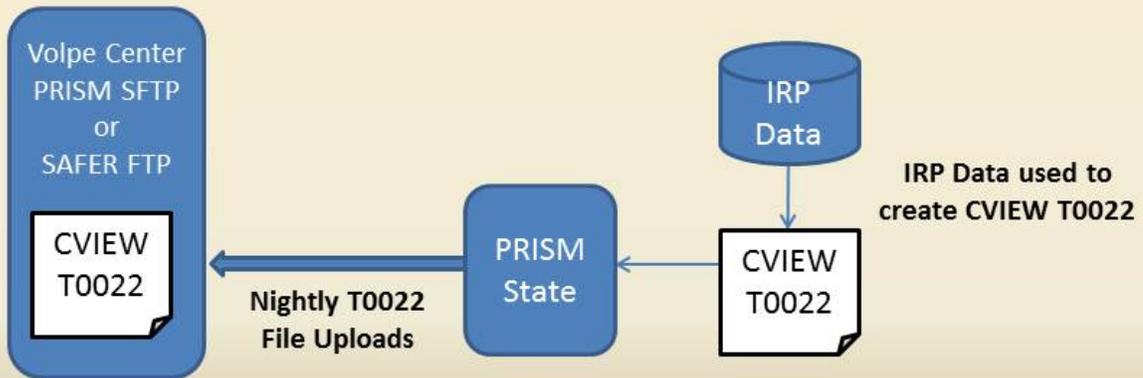
IT Support of PRISM Requirements

PRISM Law Enforcement Requirement

Provide the ability to

<u>Identify Targeted Vehicles</u> and

give these vehicles <u>Priority for Inspection</u>

Identify Targeted Vehicles

- There are 4 methods available that PRISM Law Enforcement can choose from to Identify Targeted vehicles at the roadside:

    1. Query Central
    2. Nlets
    3. PRISM Target File
    4. PRISM Web Services

Identify Targeted Vehicles

Query Central

- The Query Central website is available via the FMCSA Portal website
- Real-time OOS Status of each USDOT Number from MCMIS Database
- QC uses the SAFER/PRISM database to display all associated vehicles
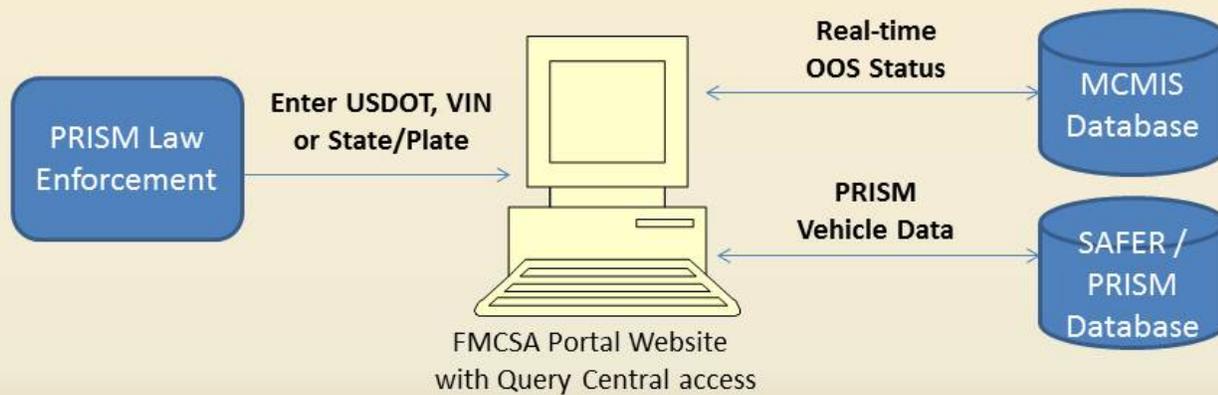
Identify Targeted Vehicles

Nlets

- Nlets is the International Justice and Public Safety Network
- Carrier queries available by USDOT Number (ACQ)
- Vehicle queries available by VIN or State/Plate (AVQ)
- Nlets data center downloads PRISM Target File on daily basis
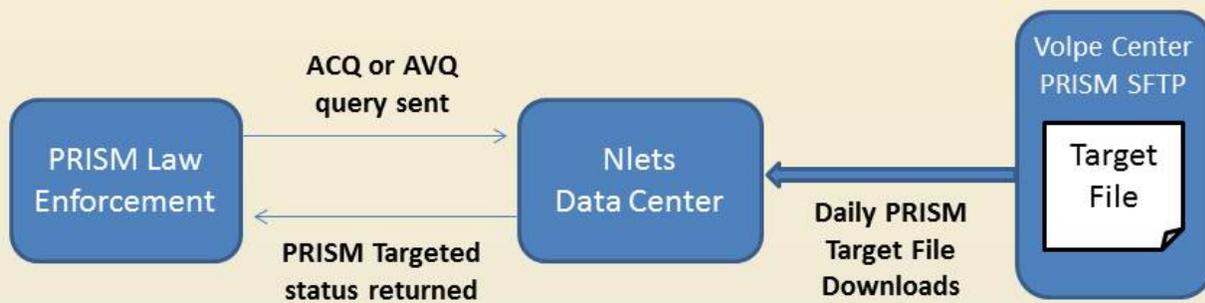
Identify Targeted Vehicles

PRISM Target File

- The PRISM Target File is available in two formats, flat file or XML.

- Daily files are generated Monday thru Saturday at 6:00am EST.

- The XML Files are named T0041P and T0042P and must be used together to obtain all carrier and vehicle records. The naming convention matches with the CVIEW for States participating in both PRISM and CVISN.

Identify Targeted Vehicles

PRISM Web Services

- The PRISM Web Services are available for ad-hoc query based on USDOT Number, VIN, or State/Plate.

- Every query received will provide a real-time OOS Status check directly from the MCMIS Database.

- Web Services is a good option for States using a roadside license plate or USDOT Number reader where real-time information is essential

PRISM State	Ad-hoc query by USDOT Number, VIN or State/Plate →	SAFER / PRISM Database	OOS Status Check →	MCMIS Database
	← Query result Returned to State		← Real-Time OOS Status	
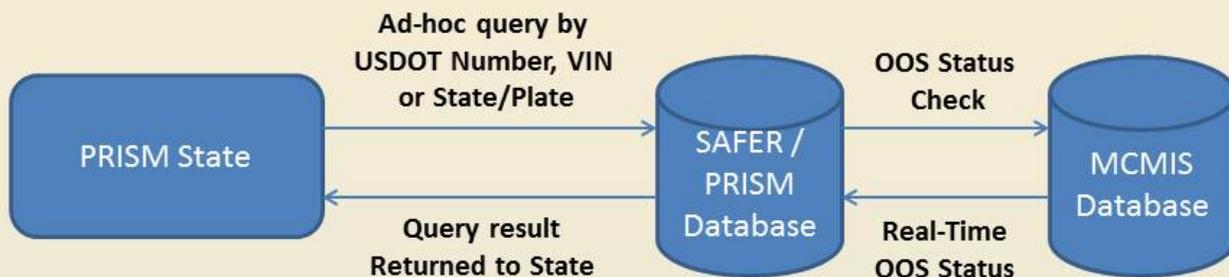
PRISM File Sizes

Target File (Flat File)
Daily Full Refresh: 260,189 total records, 37MB (7MB .zip)
Vehicle Records: 174,994   Carrier Records: 85,195

Target File (XML)
T0041P: 174,994 vehicle records, 107MB (5MB .zip)
T0042P: 85,195 carrier records, 43MB (5MB .zip)

Carrier File
Daily Full Refresh: 85,195 records, 20MB (4MB .zip)

Census File
Baseline File: 2,358,729 total records, 850MB (176MB .zip)
Daily Updates: Approx. 3,000 records, 2MB (500KB .zip)

MCS150 File
Monthly Refresh File: 2,358,729 records, 3.6GB (260MB .zip)

Note: File Sized listed are as of February 26, 2014

Appendix B – PRISM Data Flow & Timeliness

PRISM Data Flow & Timeliness

Last Updated: April 2013

PRISM Data Types

- ## Carrier Census Data
  - Motor Carriers Information

- ## Vehicle Registration Data
  - IRP Vehicle Registration Information

2

PRISM Carrier Census Data

MCMIS – authoritative source of PRISM Carrier Census Data

3

PRISM Carrier Census Data
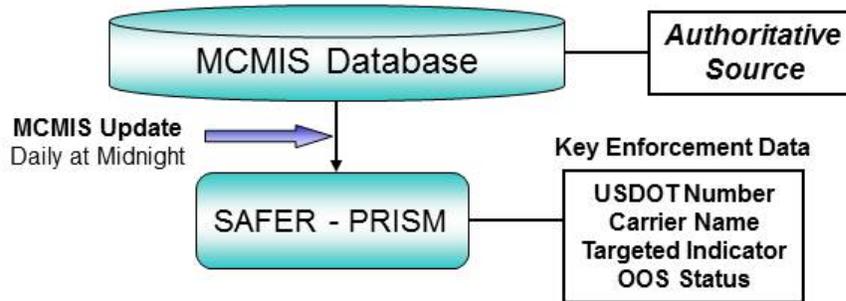
- Data sent from MCMIS to SAFER-PRISM database via nightly MCMIS Updates

- Several different sources to access key data

4

PRISM Carrier Census Data
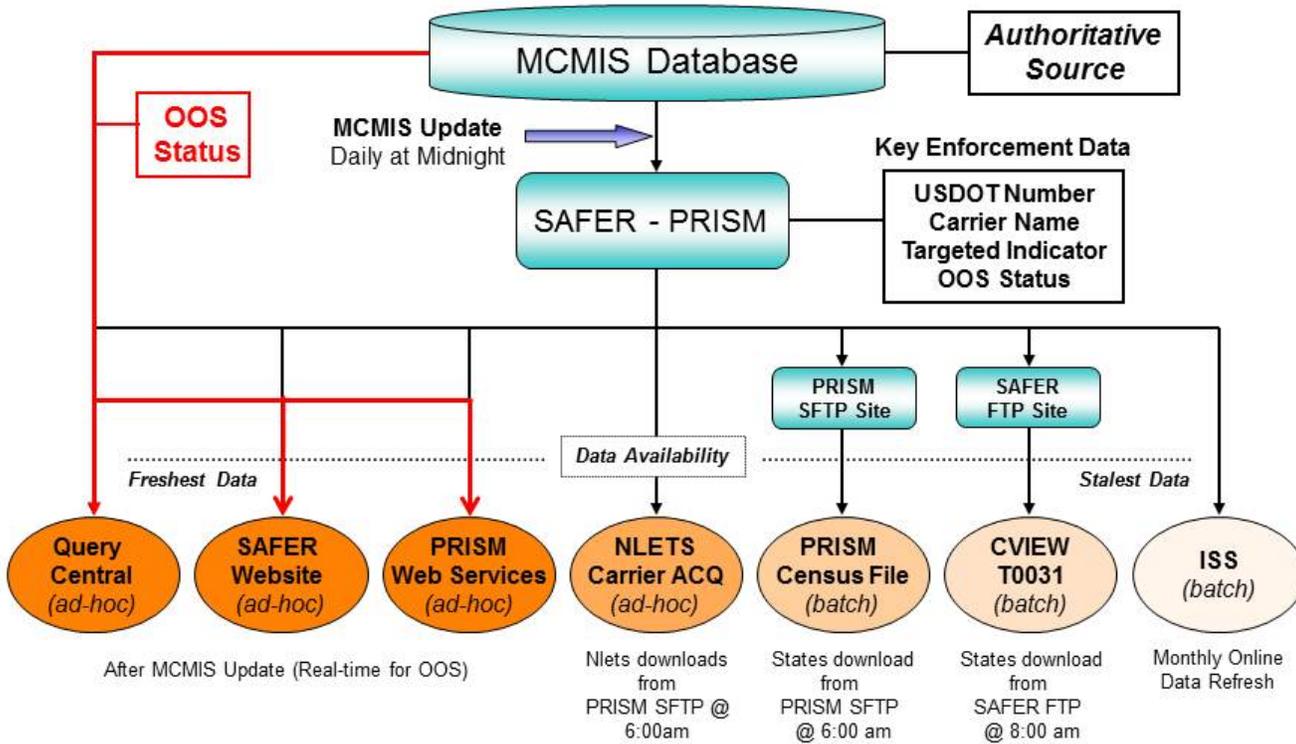
Query Central (Carrier)

Query Central (Carrier)

Query Central (Carrier)

U.S. Department of Transportation
Federal Motor Carrier Safety Administration
Query Central

Driver | Vehicle | Carrier   Help | Home

Carrier Summary | Carrier Detail | Violation History | 5 Past Inspection(s) | PRISM | Summary Report

PRISM Information for: D&R TRANSPORT INCORPORATED

MCSIP Step:	55 -- Federal OOS: Unfit Motor Carrier
Tax ID#:	EIN: XXXXXXXXX
MCS-150 Date:	06/16/2010

PRISM Targeted Vehicle Information

VIN	Plate #	State	Make	Model Year	Registration Start Date	Registration Expiration Date	Status
1FUPCSEB2WP934178	142536	UT	FRHT	1998	07/01/2010	05/04/2011	STATE SUSPENSION DUE TO FEDERAL OOS
2HSFHAMR5XC088247	143718	UT	INTL	1999	07/01/2010	05/04/2011	STATE SUSPENSION DUE TO FEDERAL OOS

8

SAFER Website

SAFER Website

○ USDOT Number   ○ MC/MX Number   ○ Name

Enter Value: 2039630

[Search]

Company Snapshot

CASARIN CARGO TRUCKING LLC
USDOT Number: 2039630

ID/Operations | Inspections/Crashes In US | Inspections/Crashes In Canada | Safety Rating

Carriers: If you would like to update the following ID/Operations information, please complete and submit form MCS-150 which can be obtained online or from your State FMCSA office. If you would like to challenge the accuracy of your company's safety data, you can do so using FMCSA's DataQs system.

Carrier and other users: FMCSA provides the Company Safety Profile (CSP) to motor carriers and the general public interested in obtaining greater detail on a particular motor carrier's safety performance then what is captured in the Company Snapshot. To obtain a CSP please visit the CSP order page or call (800)832-5660 or (703)280-4001 (Fee Required).

For help on the explanation of individual data fields, click on any field name or for help of a general nature go to **SAFER General Help**.

The information below reflects the content of the FMCSA management information systems as of **12/14/2011**.

For more information about the Out of Service status of this company, click on OOS Details.

Other Information for this Carrier

♥ SMS Results
♥ Licensing & Insurance

Entity Type:	Carrier		
Operating Status:	**OUT-OF-SERVICE**	**Out of Service Date:**	07/24/2011
Legal Name:	CASARIN CARGO TRUCKING LLC		
DBA Name:			
Physical Address:	8640 SAN LORENZO LAREDO, TX 78045		
Phone:	(956) 791-1216		
Mailing Address:	8640 SAN LORENZO LAREDO, TX 78045		
USDOT Number:	2039630	**State Carrier ID Number:**	

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SAFER Website

PRISM Web Services

NLETS

Query Central (ad-hoc) | SAFER Website (ad-hoc) | PRISM Web Services (ad-hoc) | **NLETS Carrier ACQ (ad-hoc)** | PRISM Census File (batch) | CVIEW T0031 (batch) | ISS (batch)

```
MSG FROM NLETS 8098
ACR.AVLIC0000.   TO:DEST IA07710B5
*MRI0069282.
TXT


        CARRIER IS UNDER FEDERAL OOSO - UNSAT/UNFIT

DOT/9999999.
NAM/ZT MAXIMUS TRUCKING LLC.
ADR/7902 RINDGE AVE.
CITY/YAKIMA.ST/WA.ZIP/98908.
CAR TARG-HIST IND/T.MCSIP STEP/55.MCSIP Date/12152011
PAGE/01 OF/01.

;200901181200/200901181200
T175 19
MESSAGE FROM NLTS
069295
```

PRISM ACR (Carrier) NLETS responses include messages for OOSO, and also provide the reason.

13

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PRISM Census File

Query Central (ad-hoc) | SAFER Website (ad-hoc) | PRISM Web Services (ad-hoc) | NLETS Carrier ACQ (ad-hoc) | PRISM Census File (batch) | CVIEW T0031 (batch) | ISS (batch)

```
census          ▾ 📁  ⇐ ▾ ⇒ ▾  📁 📁 🏠 📁  🖳
/export/home/prism-states/census
Name    Ext                          Size    Changed
📁 ..                                        11/7/2011 12:55:47 PM
📄 20111215.CEN              959,415   12/15/2011 4:33:45 AM
📦 20111215_CEN.zip         187,567   12/15/2011 4:33:50 AM
```

PRISM States download daily Census File Updates from the PRISM SFTP Server

Flat File Data Format

```
CC050705225915700000000000000EXXXXXXXXXXSTANLEY SWENSON
CC050709225967400000000000000EXXXXXXXXXXPB EXPRESS INC
CC050729026009700000000000000EXXXXXXXXXXSTAR Z TRUCK LLC
CC050739900000000000000000000EXXXXXXXXXXCMA SUPPLY CO OF FT WAYNE INC
CC050747125938200000000000000EXXXXXXXXXXBILLY J REED
CC050758300000000000000000000EXXXXXXXXXXPRODUCTION SEEDS PLUS INC
```

14

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CVIEW T0031

Query Central *(ad-hoc)* | SAFER Website *(ad-hoc)* | PRISM Web Services *(ad-hoc)* | NLETS Carrier ACQ *(ad-hoc)* | PRISM Census File *(batch)* | CVIEW T0031 *(batch)* | ISS *(batch)*

/T0031V3/

Filename	Size	Date
T0031_20111212030001_1.ud.zip	771 KB	12/12/11 03:18
T0031_20111213030001_1.ud.zip	1,385 KB	12/13/11 03:24
T0031_20111213030001_2.ud.zip	797 KB	12/13/11 03:18
T0031_20111214030001_1.ud.zip	1,348 KB	12/14/11 03:21
T0031_20111214030001_2.ud.zip	672 KB	12/14/11 03:23
T0031_20111215030001_1.ud.zip	1,341 KB	12/15/11 03:21
T0031_20111215030001_2.ud.zip	1,010 KB	12/15/11 03:25
T0031_20111215030001_3.ud.zip	10 KB	12/15/11 03:25

CVISN States download daily T0031 File Updates from the SAFER FTP Server

```
<MCMIS CENSUS AND SAFETY>
    <CARRIER_ID_NUMBER>507290</CARRIER_ID_NUMBER>
    <CARRIER_INTERSTATE>1</CARRIER_INTERSTATE>
    <CARRIER_NAME>STAR Z TRUCK LLC</CARRIER_NAME>
    <CITY>YAKIMA</CITY>
    <COUNTRY>A</COUNTRY>
    <ENTITY TYPE>C</ENTITY TYPE>
    <ISS_SCORE>100</ISS_SCORE>
    <ISS_SCORE_DATE>2009-01-23</ISS_SCORE_DATE>
    <LAST_UPDATE_DATE>2008-10-30</LAST_UPDATE_DATE>
    <MCMIS STATUS>A</MCMIS STATUS>
    <MCS150 UPDATE DATE>2008-05-30</MCS150 UPDATE DATE>
    <MCSIP_FLAG>C</MCSIP_FLAG>
    <MCSIP_LEVEL>55</MCSIP_LEVEL>
    <MCSIP_LEVEL_DATE>2008-12-31</MCSIP_LEVEL_DATE>
```

XML File Data Format

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CVIEW T0031

Motor Carrier Services

FAQ Contact Help

Motor Carrier STAR Z TRUCK LLC   US DOT Number 507290
US DOT Number Status Active Carrier   Jurisdiction Washington
MC Authority Number Status 260097 Active
ISS-2

IRP Status
IFTA Status 12/31/2008 Federal Out of Service

This is an example screenshot of how Nebraska uses the CVIEW T0031 data in its IRP System.

New Search   Print   Back   Menu
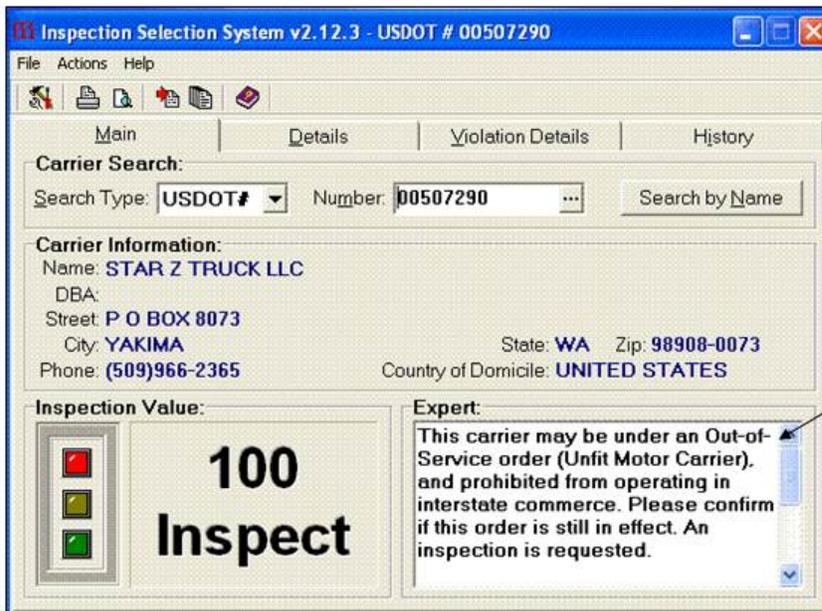
16

ISS – Inspection Selection System

PRISM Vehicle Registration Data

State Vehicle Registration Office | Authoritative Source

State Vehicle Registration Office - authoritative source of PRISM Vehicle Registration Data

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PRISM Vehicle Registration Data
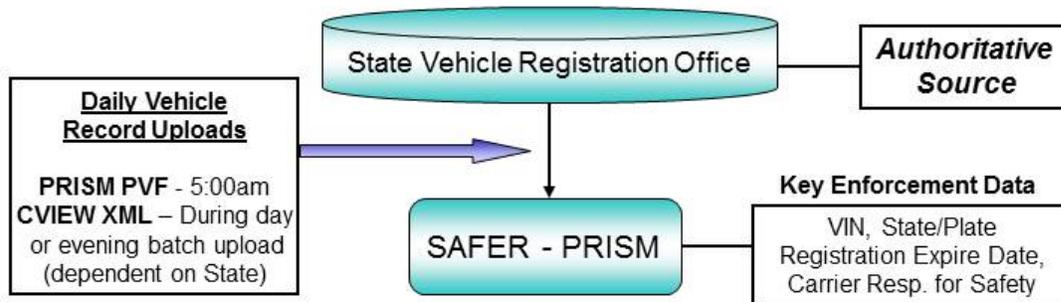
- Data is sent from the State Vehicle Registration Office to the SAFER-PRISM database via Daily Uploads

- Several different sources to access vehicle data

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PRISM Vehicle Registration Data

State Vehicle Registration Office

Authoritative Source

Daily Vehicle Record Uploads

PRISM PVF - 5:00am
CVIEW XML – During day or evening batch upload. (dependent on State)

SAFER - PRISM

Key Enforcement Data

VIN, State/Plate Registration Expire Date, Carrier Resp. for Safety

PRISM SFTP Site

Freshest Data

Data Availability

Stalest Data

NLETS Vehicle Reg *(ad-hoc)*

Real-Time or batch file access direct from State Office

Query Central *(ad-hoc)*

After Daily Vehicle Record Uploads

NLETS Vehicle AVQ *(ad-hoc)*

After Daily Vehicle Record Uploads

PRISM Web Services *(ad-hoc)*

After Daily Vehicle Record Uploads

CVIEW T0041P *(batch)*

States download from PRISM SFTP @ 6:00am

PRISM Target File *(batch)*

States download from PRISM SFTP @ 6:00am

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NLETS Vehicle Registration

| NLETS Vehicle Reg (ad-hoc) | Query Central (ad-hoc) | NLETS Vehicle AVQ (ad-hoc) | PRISM Web Services (ad-hoc) | CVIEW T0041P (batch) | PRISM Target File (batch) |

```
Premier MDC ver 5.6.-13
File  Services  State  Help

F1  [icon]    F2  [icon]                              F7  [?]              F9  [icon]
Logoff         Plate                                  Who's On             Day/Night

Received              Type    Summary
5/16/2007 11:25:40 AM  NC2K    Query Vehicle by Plate (P785329)
5/16/2007 11:25:35 AM  DMV     Query Vehicle by Plate (P785329)
5/16/2007 11:18:36 AM  DMV     Query Person by OLN (004968001)
5/16/2007 11:18:31 AM  DMV     Query Person by OLN (004968001)
5/16/2007 11:15:44 AM  DMV     Query Vehicle by Plate (P786432)
5/16/2007 11:15:34 AM  NC2K    Query Vehicle by Plate (P786432)


  New    < Prev    Next >    Zoom In    Delete Item    Delete All

   0D03009D4A
D8718F20070516 11:25:57
013FA920070516 11:25:57
XTAG
2000 P785329   VALIDATION P785329  TAG EXP 09/2007  DECAL EXP 09/2007
1994 FRHT  TK  CONFLD  VIN 1FUYDCYB2RH465305   EMPT WGT 014 GVW 080000
JOHNSON,SAMUEL FAYE
8 HILLVIEW CT
COLUMBIA    SC   292298993   RICH CNTY
ALTERNATE TAG YEAR
TTL: 770280115110452    TTL ISSUE DT: 08/05/2003 SALES PRICE:  $2,000.00
```

Example of South Carolina NLETS Vehicle Registration Queries   21

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Query Central (Vehicle)

Query Central (Vehicle)

Query Central (Vehicle)

Query Central (Vehicle)

NLETS Vehicle Target Status
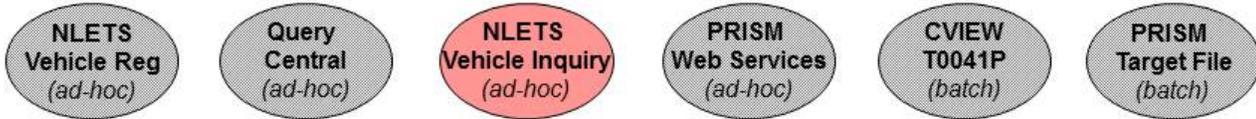
MSG FROM NLETS 3639
AVR.AVLIC0000.   TO:DEST IA07710B5
*MRI0055497.
TXT

CARRIER IS UNDER FEDERAL OOSO – UNSAT/UNFIT

DOT/9999999.
NAM/CBA CARRIER SERVICE
ADR/1067 E 500 S
CITY/VERNALIST/UT.ZIP/84077.
CAR TARG-HIST IND/T.MCSIP STEP/55.MCSIP DATE/12122011.
VMA/FRHT.VYR/87.VIN/1FV9YCY93HP309134.
LIC/152708.JUR/UT.REG EFF DATE/11062011.REG EXP DATE/10302012.
PAGE/01 OF/01.

PRISM AVR (Vehicle) NLETS responses include messages for OOSO, and also provide the reason.

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PRISM Web Services

PRISM Web Services

CVIEW T0041P

NLETS
Vehicle Reg
(ad-hoc)

Query
Central
(ad-hoc)

NLETS
Vehicle Inquiry
(ad-hoc)

PRISM
Web Services
(ad-hoc)

CVIEW
T0041P
(batch)

PRISM
Target File
(batch)

T0041P			
/export/home/prism-states/xml/T0041P			
Name	Ext	Size	Changed
..			9/28/2010 2:35:49 PM
T0041P_20111215.zip		2,151,126	12/15/2011 3:59:56 AM

States download T0041P file from SFTP Server

```
<PRISM_TARGETED_VEHICLE num="32484">
    <VIN>1FV9YCY93HP309134</VIN>
    <SAFETY_CARRIER>1067142</SAFETY_CARRIER>
    <MCSIP_STEP>55</MCSIP_STEP>
    <LICENSE_PLATE_NUMBER>152708</LICENSE_PLATE_NUMBER>
    <REGISTRATION_JURISDICTION>UT</REGISTRATION_JURISDICTION>
    <REGISTRATION_START_DATE>2008-11-06</REGISTRATION_START_DATE>
    <REGISTRATION_EXPIRE_DATE>2009-06-30</REGISTRATION_EXPIRE_DATE>
    <MAKE>FRHT</MAKE>
    <MODEL_YEAR>1987</MODEL_YEAR>
    <LAST_CENSUS_UPDATE_DATE>2009-02-18</LAST_CENSUS_UPDATE_DATE>
    <CVISN_LAST_UPDATE_DATE>2008-11-06</CVISN_LAST_UPDATE_DATE>
</PRISM_TARGETED_VEHICLE>
```

XML Data Format

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PRISM Target File

States download daily Target File from the PRISM SFTP Server

Name	Ext	Size	Changed
..			11/7/2011 12:55:47 PM
20111215	.TGT	21,627,340	12/15/2011 3:31:38 AM
20111215_TGT	.zip	4,230,984	12/15/2011 3:31:55 AM

```
TC1068599A & N TRUCKING CO INC
TV10685991HSRDMZR2RH5534536705AR    NH2007030120080229INTL1994
TV10685991FUYSDZB21LG22443ICIC76S1  GA2005093020071031FRHT2001
TC1067142CALIBER OILFIELD SERVICE INC
TV10671421GDM7D1C43F516422Z001108   UT2008110620090630GMC 2003
TV10671421GDE5E3226F418479155238    UT2008110620090630GMC 2006
TV10671421FV9YCY93HP309134152708    UT2008110620090630FRHT1987
TV10671421FUPFXYB2TP692794152707    UT2008110620090630FRHT1996
TV10671421FUYDCYB1XDF38137152706    UT2008110620090630FRHT1999
TV10671421FUYDCYBXXDF38136150024    UT2008110620090630FRHT1999
TV10671421FUYFSYBXMH505546Z003687   UT2008110620090630FRHT1991
TV10671421FUYFSYB6MH505558150022    UT2008110620090630FRHT1991
```

Flat File
Data Format

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PRISM Target File

Example screenshot of Nebraska's IRP System with PRISM Target File data