PRISM State Implementation Plan

January 2015

TABLE OF CONTENTS

1.   Executive Overview

The following agencies of <<INSERT STATE>> are involved in the Performance and Registration Information Systems Management (PRISM) Implementation Project:

- Insert State IRP Registration agency name
- Insert State Law Enforcement agency name

<<INSERT PRIMARY CONTACT FOR IRP>> will be the primary contact for the IRP Registration portion of the PRISM project.

<<INSERT LE PRIMARY CONTACT FOR LE>> will be the primary contact for the Law Enforcement portion of the PRISM project.

The funds required to implement the PRISM Project are estimated to be $ _____ and will be used as follows:

- Insert State IRP Registration agency name   **$ _____**

- Insert State Law Enforcement agency name   **$ _____**

      TOTAL: **$ _____**

Some of the major PRISM Project Milestones are listed below:

BEGIN COLLECTING AND VALIDATING THE USDOT NUMBER FOR THE MOTOR CARRIER RESPONSIBLE FOR SAFETY:
<<INSERT DATE OF EXPECTED COMPLETION>>

BEGIN TO DENY, SUSPEND, AND REVOKE REGISTRATIONS FOR FEDERAL OUT OF SERVICE ORDERS:
<<INSERT DATE OF EXPECTED COMPLETION>>

BEGIN UPLOADING TARGETED VEHICLES TO THE PRISM-SAFER DATABASE:
<<INSERT DATE OF EXPECTED COMPLETION>>

2. Registration Requirements

<u>LEGISLATION</u>

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 DOT 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.

<u>REGISTRATION PROCESSES</u>

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 Vehicle Identification Number (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.

<u>DATA COLLECTION AND FORMS</u>

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

9. Validate the DOT Number and TIN before adding any DOT 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.

3.   Registration Requirements – Details

LEGISLATION

REQUIREMENT 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 DOT number under a different name and motor carriers under Federal operating authority sanctions.

Description

States need legal authority to enforce PRISM registration sanctions (suspension, revocation and denial) for carriers that 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.

States need to ensure the legislation allows sanctions to be maintained when the carrier simply changes the name and TIN to avoid sanctions. Each state must decide the legal issues based on individual state statutes.

Tasks

    A. If necessary, State will draft legislation and present to its legislature or make changes to administrative rules to provide the ability to deny, suspend (or revoke) registrations based on Federal out-of-service orders.

Responsible Person

Timeframe and Task Summary

Task	Timeframe	Task Description	Estimated Cost
A		If necessary, State will draft legislation and present to its legislature or make changes to administrative rules to provide the ability to deny, suspend (or revoke) registrations based on Federal out-of-service orders.	

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

Description

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 requirement.

As with requirement 1, each state must decide the legality of this issue based on individual state statutes and seek legislative authority or change administrative rules to retrieve plates if it is necessary.

Tasks

    A. If necessary, State will draft legislation and present to its legislature or make changes to administrative rules to allow the retrieval of license plates from carriers whose registration has been suspended due to Federal out-of-service orders.

Responsible Person

Timeframe and Task Summary

Task	Timeframe	Task Description	Estimated Cost
A		If necessary, State will draft legislation and present to its legislature or make changes to administrative rules to allow the retrieval of license plates from carriers whose registration has been suspended due to Federal out-of-service orders.	

REGISTRATION PROCESSES

REQUIREMENT 3 - Check carrier safety status before issuing credentials and deny the registration if the motor carrier is prohibited from interstate operations.

Description

One of the most important PRISM functions is checking during initial registration and the renewal 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.

The checks should be performed automatically without any operator intervention. 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.

Tasks

A. The State will determine if the PRISM Target File should be maintained locally for inquiry, or an inquiry will be made to the State CVIEW.

For maintaining a local PRISM Target File,
(1)   State will coordinate with the PRISM Central Site (PrismTechnicalSupport@volpe.dot.gov) to receive a copy of the Local PRISM Target File on a nightly basis.

(2)   State will develop program(s) to download the file from the Volpe SFTP Site and load the file on the State system.

(3)   State will develop the program(s) necessary to provide for inquiry capability into the Local PRISM Target File

OR

For inquiry into State's CVIEW
(1)   State will contact the SAFER Help Desk to arrange for distribution of the CVIEW database and a subscription to PRISM's Targeted Vehicle File.

(2)   State will arrange with the SAFER Help Desk for appropriate daily carrier and/or daily vehicle updates to the data of its CVIEW database.

B. The State will check the safety status 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 an order prohibiting interstate operations. (MCSIP Steps 52-68)

C. State will deny registration or renewal to any carrier whose safety status (MCSIP Step) will not permit renewal when legislation permits.

Responsible Person

Timeframe and Task Summary

Task	Timeframe	Task Description	Estimated Cost
A		Determine which method to download the PRISM Target File.	
B		Check the carrier safety status on each IRP Registration or renewal by making an inquiry using the method selected above to ensure that the carrier responsible for safety of every vehicle does not have an order prohibiting interstate operations (MCSIP steps 52-68.)	
C		Deny registration or renewal to any carrier whose safety status MCSIP step will not permit renewal.	

REQUIREMENT 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.

Description

This requirement is to identify on a daily basis state registered vehicles associated with a carrier that is under a Federal OOSO and to suspend the registrations of those carriers. A daily notification report is created by comparing each day's PRISM targeted carriers and vehicles (PRISM Target File) with the previous day's PRISM Target File.

The daily notification report should also identify carriers that have had an OOSO rescinded by FMCSA and the vehicles associated with that carrier so that action can be taken to reinstate the registrations of those vehicles as appropriate.

States also need to ensure that the registration suspension information is recorded on the registration records that are accessed by Nlets.

Tasks

   A. Notification report – State will create a report for the IRP manager/supervisor from the PRISM Target File showing vehicles associated with an OOS carrier. The report will also show vehicles associated with a carrier that has an OOSO rescinded by FMCSA.

   B. Registration Office will issue a State Suspension Notice for all vehicles assigned to motor carriers that have been prohibited by a federal agency from conducting interstate operations.

   C. Establish a PRISM sanction code on the IRP vehicle file and display this message: "Suspended as a result of a Federal out-of-service order".

Responsible Person

Timeframe and Task Summary

Task	Timeframe	Task Description	Estimated Cost
A		Create a daily notification report from the PRISM Target file showing vehicles registered to OOS carriers and vehicles registered to carriers who have had an OOSO rescinded by FMCSA.	
B		Registration will issue a State Suspension Notice for all vehicles assigned to a motor carrier that has been prohibited by a federal agency from conducting interstate operations.	
C		Establish a PRISM sanction code on the IRP vehicle file and display this message: "Suspended as a result of a Federal out-of-service order".	

REQUIREMENT 5 - Check every Vehicle Identification Number (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.

Description

Each VIN being registered will be compared to the PRISM Target File to ensure that the VIN is not already associated with an OOS carrier (MCSIP Step 52-68). When it is determined that the VIN is associated with an OOS carrier the registrant must prove that he is no longer associated with the OOS carrier before the registration can continue. This check is done to prevent a carrier from re-incarnated by simply obtaining a new USDOT Number.

When there is a match but the registrant proves the vehicle is no longer associated with the OOS carrier, the State will email VOLPE to remove the VIN from the target file.

The State will perform a VIN inquiry and check the Carrier Safety Status for each vehicle being registered.

Tasks

   A. Update registration processing to check every VIN being registered against the PRISM Target File to determine if the VIN is already associated with an OOS carrier.

   B. Develop procedures for the registrant to prove they are no longer associated with the OOS carrier and train IRP clerks in this procedure.

   C. Develop a procedure to email prismtechnicalsupport@dot.gov requesting that the VIN be removed from the PRISM Target File.

Responsible Person

Timeframe and Task Summary

Task	Timeframe	Task Description	Estimated Cost
A		Update registration processing to check every VIN being registered against the PRISM Target File to determine if the VIN is already associated with an OOS carrier.	
B		Develop procedures for the registrant to prove they are no longer associated with the OOS carrier and train IRP clerks in this procedure.	
C		Develop a procedure to email prismtechnicalsupport@dot.gov requesting that the VIN be removed from the PRISM Target File.	

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

Description

States must possess the capability of providing the PRISM Vehicle File on a nightly basis to the PRISM Central Site. For States not using CVIEW, the States will download the PRISM Carrier File from the Volpe SFTP Site. Using the USDOT Number from the PRISM Carrier File, States will create the PRISM Vehicle File that contains the most recent registration information on each vehicle assigned to a motor carrier in MCSIP. States will create and send their PRISM Vehicle File to the Volpe SFTP Site every business night. The PRISM Central Site will combine all PRISM Vehicle Files each business night to update the PRISM Target File.

For States using CVIEW to send all IRP vehicles (original and modifications to registration) to SAFER, this requirement is met. However, Timeframes and Estimated Costs are still required.

Tasks

A. Determine the method of uploading vehicles to the PRISM-SAFER database

Method 1: Submit a PRISM Vehicle File (PVF)
- o State will retrieve the PRISM Carrier File from the Volpe SFTP Site.
- o State will develop program(s) to load PRISM Carrier File.
- o State will develop program(s) to retrieve the most current vehicle and registration information for all vehicles assigned to carriers on the Carrier File on a daily basis.
- o State will develop program(s) to send PRISM Vehicle File to the Volpe SFTP Site every business night according to a published schedule.

- **OR** -

Method 2: Submit all vehicle registrations via CVIEW T0022
- o State will use CVIEW to send all changes to IRP vehicle and registration data to SAFER on a daily basis.

Responsible Person

Timeframe and Task Summary

Task	Timeframe	Task Description	Estimated Cost
A-1		Use CVIEW to send all changes to IRP vehicle and registration data to SAFER on a daily basis. **OR**	
A-2		Develop processing to submit a PRISM Vehicle File (PVF) on a daily basis.	

REQUIREMENT 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.

Description

Ensure that the IRP Status Codes are maintained properly on each registration record on the SAFER-PRISM database. Following is the list of acceptable codes:

100 = ACTIVE
900 = INACTIVE
950 = SUSPENDED DUE TO FEDERAL OOS
961 = SUSPENDED FOR OTHER REASON

Tasks

 A. Develop processing to properly maintain the IRP Status Code on the state's registration records in the SAFER PRISM database, and ensure that the 950 status code is applied to vehicles that are suspended due to a Federal OOS order.

Responsible Person

Timeframe and Task Summary

Task	Timeframe	Task Description	Estimated Cost
A		Develop processing to properly maintain the IRP Status Code on the state's registration records in the SAFER PRISM database, and ensure that the 950 status code is applied to vehicles that are suspended due to a Federal OOS order.	

REQUIREMENT 8 - Identify, collect and maintain the DOT Number and Tax Identification Number (TIN) for the motor carrier responsible for the safe operation of each vehicle being registered.

Description

For each vehicle being registered, the USDOT Number and Tax Identification Number (TIN) for the motor carrier responsible for safety must be collected. Changes to the IRP forms and input screens may be required to accomplish this task. Below is a list of the details for each task.

Tasks

   A. State will modify the IRP forms (Schedules A and C) to:
      o Include the USDOT Number and TIN of the carrier responsible for safety at the vehicle level.
      o Include a Yes-No field to indicate whether the carrier is expected to change during the registration period.
      o If the carrier responsible for safety is expected to change during the year, the indicator should be set to Y
         (yes means that no bar coded information of the carrier responsible for safety on the cab card since the carrier responsible for safety is expected to change)
      o If the carrier responsible for safety is not expected to change during the year, the indicator should be set to N
         (no means bar code the carrier information on the cab card)

   B. State will modify screen formats to capture:
      o The USDOT Number and TIN of the carrier responsible for safety at the vehicle level.
      o The indicator (Y-N) of whether the carrier is expected to change during the registration period.
      o If the carrier responsible for safety is expected to change during the year, the indicator should be set to Y (yes means no bar coded information of the carrier responsible for safety on the cab card since the carrier responsible for safety is expected to change)
      o If the carrier responsible for safety is not expected to change during the year, the indicator should be set to N (no means bar code the carrier information on the cab card)

   C. State will modify the IRP files to store:
      o The USDOT Number and TIN of the carrier responsible for safety at the vehicle level.
      o The indicator (Y-N) of whether the carrier is expected to change during the registration period.

   D. State will deny the registration if the required information is not provided.

Responsible Person

Timeframe and Task Summary

Task	Timeframe	Task Description	Estimated Cost
A		Modify the IRP forms (Schedules A and C) to: - Include USDOT Number and TIN of the carrier responsible for safety at the vehicle level. - Include a Yes-No field to indicate whether the carrier is expected to change during the registration period. - If the carrier responsible for safety is expected to change during the year, the indicator should be set to Y - If the carrier responsible for safety is not expected to change during the year, the indicator should be set to N	
B		Modify screen formats to capture: - The USDOT Number and TIN of the carrier responsible for safety at the vehicle level. - The indicator (Y-N) of whether the carrier is expected to change during the registration period. - If the carrier responsible for safety is expected to change during the year, the indicator should be set to Y (yes means no bar coded information of the carrier responsible for safety on the cab card) - If the carrier responsible for safety is not expected to change during the year, the indicator should be set to N (no means bar code the carrier information on the cab card)	
C		Modify the IRP Files to store: - The USDOT Number and TIN of the carrier responsible for safety at the vehicle level. - The indicator (Y-N) of whether the carrier is expected to change during the registration period.	
D		Deny the registration if the required information is not provided.	

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

Description

The State needs the ability to verify the USDOT numbers presented by the registrant during the registration process. This is done by matching the information provided by the registrant against a file containing the carrier information using the method selected in this requirement.

The process will validate the USDOT number and TIN as follows:
1. The TIN provided by the registrant for the motor carrier responsible for safety must match the TIN on file for the USDOT number;
2. The USDOT number must be Active in MCMIS;
3. The USDOT number must be authorized for interstate operations in MCMIS;

The primary purpose of the transaction is to confirm the USDOT Number presented by the registrant. For the barcode on the cab card, the name and mailing address of the carrier responsible for safety can also be obtained from this file. It is expected that most inquiries will be completed successfully by accessing the information on the file alternatives listed in this requirement. If no match is found using this process, or if the information is inadequate, the State must initiate the second level of validation through a MCMIS Search.

The State must select a method to validate the USDOT Number. This can be accomplished by the state receiving a Local PRISM Census File or maintaining a CVIEW database.

Tasks

A. Select a method to validate the USDOT Numbers of registrants and carriers responsible for safety.

Method 1: Use a Local PRISM Census File to perform initial validations. The Local PRISM Census File is a subset of the MCMIS Census File.
- State will make arrangements with the PRISM Central Site (PrismTechnicalSupport@volpe.dot.gov) to receive the Local PRISM Census File and daily updates.
- State will develop processes to load the initial Local PRISM Census File when the file is received.
- State will develop processes to retrieve the daily PRISM Census File Updates from the Volpe SFTP Site.
- State will develop processes to correctly process the daily Local PRISM Census File Updates.
- State will contact the Prism Central Site to arrange for a refreshed Local PRISM Census File prior to entering production.

Method 2: Use CVIEW database to perform initial validations
- o State will contact the SAFER Help Desk to arrange for distribution of the CVIEW database.
- o State will arrange with the SAFER Help Desk for carrier updates to the data of its CVIEW database.

Method 3: Use SAFER Carrier/Census Web Services to perform initial validations
- o State will contact SAFER Help Desk to arrange for access to SAFER Web Services

B. State will establish access to the MCMIS via the FMCSA Portal to make an inquiry to validate the USDOT Number when no match is found from using a local database.

C. State will develop procedures to reject the application if a match with the USDOT Number is "not found" or if the input TIN does not match the TIN on the stored record after checking MCMIS or the USDOT number is not active in MCMIS and authorized for interstate operations.

Responsible Person

Timeframe and Task Summary

Task	Timeframe	Task Description	Estimated Cost
A		Select a method to validate the USDOT Numbers of registrants and carriers responsible for safety. PRISM Census File, or CVIEW, or Web Services	
B		State will establish access to the MCMIS via the FMCSA Portal to make an inquiry to validate the USDOT Number when no match is found from using a local database.	
C		State will develop procedures to reject the application if a match with the USDOT Number is "not found" or if the input TIN does not match the TIN on the stored record after checking MCMIS or the USDOT number is not active in MCMIS and authorized for interstate operations.	

REQUIREMENT 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.

Description

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 barcode and printed on the registration card. If the safety responsibility is expected to change, then the barcode and print should not have any information concerning the motor carrier responsible for safety. Bar-coding improves the accuracy of information recorded at the roadside and speeds up the inspection process.

States must follow the PRISM Cab Card Bar Code Specifications.

The latest version of the PRISM Cab Card Bar Code Specifications is 3.5, and can be found on the PRISM Website:
http://www.fmcsa.dot.gov/information-systems/prism/prism-irp-cab-card-bar-code-specifications-%E2%80%93-version-35

Tasks

    A. Develop processing to generate PRISM compliant cab cards and bar codes.

Responsible Person

Timeframe and Task Summary

Task	Timeframe	Task Description	Estimated Cost
A		Develop processing to generate PRISM compliant cab cards and bar codes.	

REQUIREMENT 11 - Incorporate PRISM requirements in temporary authority processes.

Description

When the State grants temporary registration to a registrant, the registrant must be held accountable for safety events that occur under that temporary registration. Therefore, the State must be able to incorporate PRISM requirements into the 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.

Tasks

A. If State automates the temporary process, it will verify its IRP Software insures USDOT Numbers are captured and validated and safety checks are performed before the temporary authority is issued to a vehicle.

B. If the State generates temporary cab cards, ensure that the temporary cab cards and bar codes are PRISM compliant. Refer to the PRISM Cab Card Bar Code Specifications.

Responsible Person

Timeframe and Task Summary

Task	Timeframe	Task Description	Estimated Cost
A		If State automates the temporary process, it will verify its IRP Software insures USDOT Numbers are captured and validated and safety checks are performed before the temporary authority is issued to a vehicle.	
B		If the State generates temporary cab cards ensure that the temporary cab cards and bar codes are PRISM compliant. Refer to the PRISM Cab Card Bar Code Specifications.	

REQUIREMENT 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.

Description

PRISM States will develop a process to capture:
- o The number of carriers denied registration because the carrier is under a Federal OOSO;
- o The number of carriers suspended because the carrier is under a Federal OOSO;
- o The number of vehicles suspended because the carrier is under a Federal OOSO;

These statistics will be maintained by fiscal year quarter and the OOSO type and reported to the FMCSA Division Office on a quarterly basis. The PRISM team has a template form for reporting these numbers that will be provided to the state.

Tasks

A. Develop a process to capture registration suspension and denial statistics and report them to the FMCSA Division Office on a quarterly basis.

Responsible Person

Timeframe and Task Summary

Task	Timeframe	Task Description	Estimated Cost
A		Develop a process to capture registration suspension and denial statistics and report them to the FMCSA Division Office on a quarterly basis.	

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

Description

Upon request, the State will provide motor carrier registration information to the FMCSA Division Office to assist in Federal enforcement activities.

Tasks

    A. Upon request, provide motor carrier registration information to the FMCSA Division Office to assist in Federal enforcement activities.

Responsible Person

Timeframe and Task Summary

Task	Timeframe	Task Description	Estimated Cost
A		Upon request, provide motor carrier registration information to the FMCSA Division Office to assist in Federal enforcement activities.	

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

Description

Upon request, the State will provide motor carrier registration information to State Law Enforcement personnel to assist in State law enforcement activities.

Tasks

    A. Upon request, provide motor carrier registration information to State Law Enforcement Personnel to assist in State law enforcement activities.

Responsible Person

Timeframe and Task Summary

Task	Timeframe	Task Description	Estimated Cost
A		Upon request, provide motor carrier registration information to State Law Enforcement Personnel to assist in State law enforcement activities.	

REQUIREMENT 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.

Description

To ensure that Motor Carriers and others understand the changes involved in the PRISM Program, the State will need to provide information to Motor Carriers prior to the implementation of PRISM by modifying print and online resources to ensure the carriers and others are informed.

The *PRISM Procedural Manual* and the PRISM support team can assist in this training program development.

IRP staff will need to be trained on PRISM responsibilities and on federal applications like MCMIS and Query Central.

Tasks

   A. State will update print and online resources used to communicate with the motor carriers to include the necessary PRISM information and instructions.

   B. State will coordinate with the PRISM team to deliver on-site PRISM training and federal application training for IRP personnel as required.

Responsible Person

Timeframe and Task Summary

Task	Timeframe	Task Description	Estimated Cost
A		State will update print and online resources used to communicate with the motor carriers to include the necessary PRISM information and instructions.	
B		State will coordinate with the PRISM team to deliver on-site PRISM training and federal application training for IRP personnel as required.	

5. Enforcement 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 DOT 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 Out-of-Service 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.

6. Enforcement Requirements - Details

REQUIREMENT 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 Out-of-Service.

Description

The FMCSA Portal's Query Central, L&I and MCMIS are real-time authorative sources to identify vehicles that are operating under a Federal Out-of-Service order or Operating when Operating Authority is required or beyond the scope of their Authority.

Tasks

    A. Provide Internet capability for Dispatch Centers and roadside inspector's laptop computers the ability to make inquiries to the FMCSA Portal to use Query Central, MCMIS and other FMCSA authoritative sources.

Responsible Person

Timeframe and Task Summary

Task	Timeframe	Task Description	Estimated Cost
A		Internet inquiry to the FMCSA Portal to use Query Central, L&I or MCMIS using wireless connectivity.	

REQUIREMENT 2 - Identify vehicles assigned to carriers on the PRISM Target File and prioritize those carriers for inspection.

Description

The PRISM Target File contains information on all motor carriers that are Out-of-Service or whose associated vehicles are targeted for inspection because of high safety scores. 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. Targeted Carrier or Vehicle data can be accessed through FMCSA's Query Central, PRISM specific NLETS ACQ/AVQ queries, PRISM Web Services or a copy of the Local PRISM Target File or CVIEW or can be maintained locally by a state. The State must decide how they will identify vehicles associated with an Out-of-Service carrier and vehicles associated with that carrier.

Tasks

State will select method and will develop program(s) to support inquiry capability for targeted carriers and vehicles by USDOT Number, Plate Number/Jurisdiction or VIN) for law enforcement.

A. PRISM specific NLETS queries for the NLETS ACQ (Carrier) and AVQ (Vehicle) Status Request/Response.
   (See PRISM System Specifications Section 6.4 and Appendix A for programming information.)

AND/OR

B. PRISM Web Services for LPR/USDOTR (contact PRISM Technical Support – email to: PRISMTechnicalSupport@volpe.dot.gov).

AND/OR

C. Local Inquiry to the Local PRISM Target File (contact PRISM Technical Support – email to: PRISMTechnicalSupport@volpe.dot.gov).

AND/OR

D. Local inquiry to CVIEW (contact FMCSA Technical Support Help Desk - Email: fmctechsup@volpe.dot.gov)

AND/OR

E. Purchase License Plate Readers and/or USDOT Number Readers to e-screen vehicles to identify PRISM targeted vehicles electronically.

Responsible Person

Timeframe and Task Summary

Task	Timeframe	Task Description	Estimated Cost
A		Program additional Nlets query ability in Dispatch Centers and Patrol Vehicles to use the PRISM specific ACQ query (Carrier by USDOT Number) and AVQ Vehicle query (VIN, Plate/State) **AND/OR**	
B		PRISM Web Services for LPR/USDOTR **AND/OR**	
C		Local Inquiry to the Local PRISM Target File **AND/OR**	
D		Local inquiry to CVIEW **AND/OR**	
E		Purchase License Plate Readers and/or USDOT Number Readers to e-screen vehicles to identify PRISM targeted vehicles electronically.	

Requirement 3 - In probable cause states, obtain legislative authority to consider as a probable cause the FMCSA Out-of-Service condition and/or safety condition assigned to the DOT number of the motor carrier responsible for safety.

Description

In PRISM states, enforcement resources are focused on carriers that are operating during a time when they are under a Federal Out-of-Service condition or with a high safety score. Therefore, vehicles that are registered to carriers with high safety scores 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 based on the safety fitness of the motor carrier assigned to the vehicle
- Enforce all Federal Out-of-Service orders
- Adopt 49CFR Parts 385 and 386 or review their current legislation to ascertain if safety and Out-of-service information received from an FMCSA authoritative source can be considered to meet the current legislative authority.

Tasks

A. State will review current legislative authority for law enforcement officers to target, stop, and inspect vehicles based on the safety fitness of the motor carrier assigned to the vehicle and ascertain if additional legislation is required.

B. If required, State will draft legislation and present to legislature.

C. Adopt 49CFR Parts 385 and 386 or review their current legislation to ascertain if safety and Out-of-service information received from an FMCSA authoritative source can be considered to meet the current legislative authority.

Responsible Person

Timeframe and Task Summary

Task	Timeframe	Task Description	Estimated Cost
A		Review current legislation and if necessary, draft legislation and present to legislature.	
B		Draft legislation to enforce all Federal Out-of-Service orders.	
C		Draft legislation to adopt 49CFR Parts 385 and 386	

REQUIREMENT 4 - Seek and implement authority to remove the license plates from vehicles associated with motor carriers that have been Suspended, Revoked or Cancelled while under a Federal Out-of-Service order.

Description

Seek legislative authority to authorize representatives of the state IRP office and law enforcement to seize vehicle registration credentials from vehicles whose registration credentials were Suspended, Revoked or Cancelled as a result of a Federal Out-of-Service order.

Tasks

   A. Review current legislative authority and if necessary draft legislation.

   B. Establish training and administrative procedures with regard to the seizure of registration credentials that were Suspended, Revoked or Cancelled as a result of a Federal Out-of-Service order which would include both the plate(s) and cab card.

Responsible Person

Timeframe and Task Summary

Task	Timeframe	Task Description	Estimated Cost
A		Review current legislation and if necessary, draft legislation and present to legislature.	
B		Establish training and administrative procedures.	

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

Description

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, citations, 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.

Tasks

   A. State will establish procedures for referencing the registration files to determine the USDOT Number of the responsible motor carrier from the plate number for unassigned

or incorrectly assigned safety events.

B. State may purchase bar code scanners for enforcement officers to electronically populate bar coded documents to populate forms.

Responsible Person

Timeframe and Task Summary

Task	Timeframe	Task Description	Estimated Cost
A		Establish procedures for referencing the registration files to determine the USDOT Number of the responsible motor carrier from the plate number for unassigned or incorrectly assigned safety events.	
B		Purchase bar code scanners to populate forms. (Optional)	

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

Description

Enforcement agencies will need to train personnel in procedures that are specific to PRISM, such as the PRISM System Check, general PRISM training, etc. The cost of such training should be included in the implementation plan.

Tasks

A. State will prepare information notifying law enforcement of the provisions of the PRISM legislation/program and provide contact points for clarification.

B. A representative of the PRISM Program will develop and customize LE Training for all state commercial vehicle inspectors (including Level 3), crash investigators and other interested LE personnel. The state will coordinate the time and location of the LE training with FMCSA and all costs to facilitate the on-site training should be included.

C. Estimate the costs related to working with a PRISM team member to customize the generic version of the PRISM Law Enforcement Training for commercial vehicle inspectors, CMV crash investigators and other interested LE personnel.

D. Estimate the administrative, labor, travel and training facility costs to conduct training classes for all interested law enforcement personnel.

Responsible Person

Timeframe and Task Summary

Task	Timeframe	Task Description	Estimated Cost
A		Prepare information notifying law enforcement of the provisions of the PRISM legislation/program and provide contact points for clarification.	
B		Coordinate the time and location of the LE training with FMCSA and all costs to facilitate the on-site training should be included.	
C		Work with the PRISM team to customize the generic version of the PRISM Law Enforcement Training for commercial vehicle inspectors, CMV crash investigators and other interested LE personnel.	
D		Administrative, labor, travel and training facility costs to conduct training classes for all interested law enforcement personnel.	