Performance and Registration Information
Systems Management
PRISM

Law Enforcement Training Manual

Insert Law Enforcement Agency Name

Identification of Motor Carrier Responsible for Safety
FMCSA Out-of-Service Carriers and Targeted Vehicles

Insert Training Date

Federal Motor Carrier Safety Administration
Office of Enforcement and Compliance
1200 New Jersey Avenue, SE
Washington, D.C. 20590
Preface

The PRISM Law Enforcement Training Manual was developed to fill the PRISM Law Enforcement requirement that states are required to provide PRISM training to both CMV Inspectors and Traffic Enforcement officers. It is specific to the PRISM Program and the identification of OOS Carriers/Vehicles. Although useful to a motor carrier inspector, it is not MCSAP Training and does not reference trailers, equipment, or regulations pertaining to equipment.

The purposes of this training are to instruct motor carrier inspectors how to identify FMCSA Out-of-Service carriers and vehicles in both Interstate and Intrastate* Commerce; and using the PRISM Targeted vehicle file to identify vehicles targeted by FMCSA for additional inspections. This training emphasizes the identification of carriers that are using their vehicles in Interstate and Intrastate commerce while an FMCSA Out-of-Service Order is in effect. It also trains the officer in the areas of interpreting a PRISM power unit registration cab card and how to identify the motor carrier responsible for safety (MCRS) and those vehicles identified as high risk and targeted for inspection by FMCSA.

When a state enters the PRISM program, the vehicle registration system is enhanced to collect and validate USDOT Numbers for the carrier responsible for safety of all vehicles associated with its USDOT Number. Additional tools are also provided for law enforcement to use at the roadside to identify carriers and vehicles under a Federal Out-of-Service Order or targeted for inspection at the roadside. Moreover, registration sanctions may be taken against the motor carrier responsible for safety based on their safety performance.

This manual describes the various technologies available to access information at the roadside. The State will need to customize these sections by eliminating any sections for a technology that states do not use. Lastly, the State must customize the section on what to do when the State has stopped a Federal Out-of-Service vehicle at the roadside to match the laws/authority of each State.

To be sure you have the most current information, check the PRISM section of the FMCSA website, available at: [http://www.fmcsa.dot.gov/information-systems/prism/prism-document-library](http://www.fmcsa.dot.gov/information-systems/prism/prism-document-library) for the latest version of this training package.

*Vehicles operating in an Intrastate movement while under an Out-of-Service Order for Imminent Hazard or Unsatisfactory / Unfit are forbidden from both Interstate and Intrastate movements (Refer to 49 CFR 385.13(d) and sample letters in Appendix A)*
# Table of Contents

1. **What is PRISM?** .................................................................................................................. 1  
   Registration .......................................................................................................................... 1  
   Enforcement ......................................................................................................................... 2  
   PRISM Law Enforcement Requirements .......................................................................... 3  

2. **Identify the Motor Carrier Responsible for Safety (MCRS)** .................................. 4  
   Registrant vs. Motor Carrier Responsible for Safety ......................................................... 4  
   Short Term Leasing .............................................................................................................. 5  

3. **PRISM IRP Compliant Cab Cards** ........................................................................... 6  
   Cab Card Example 1 ........................................................................................................... 7  
   Cab Card Example 2 ........................................................................................................... 8  
   Cab Card Example 3 ........................................................................................................... 9  

4. **Identifying FMCSA Out-of-Service Vehicles** ......................................................... 10  
   FMCSA Tools to Identify Out-of-Service ......................................................................... 10  
   Query Central ..................................................................................................................... 11  
   State Vehicle Registration Suspensions .......................................................................... 14  
   Check Operating Authority .............................................................................................. 15  
   PRISM Nlets Query .......................................................................................................... 17  
   ISS .................................................................................................................................... 19  

5. **Place the Vehicle Out-of-Service** ........................................................................ 20  

6. **Import Barcode Data to ASPEN** ........................................................................ 21  
   Query Central Carrier Data to ASPEN ........................................................................... 22  
   Query Central Vehicle Data to ASPEN ............................................................................ 25  

APPENDIX A – Sample OOS Letters ............................................................................ 28
1. 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.¹

FMCSA through various safety programs require 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 vehicle registration suspensions by the States. The PRISM program has proven to be an effective means of getting motor carriers to improve their compliance and performance deficiencies.

The PRISM program includes two major processes - the Commercial Vehicle Registration Process and Law Enforcement, which work in parallel to identify motor carriers and hold them responsible for the safety of their operation.

Registration

The International Registration Plan (IRP) commercial vehicle registration process of the member jurisdictions provides the framework for the PRISM program. Registration is the initial point of contact in the PRISM process between the motor carrier responsible for safety and the government.

Registration establishes a system of accountability. The state collects and validates the carrier’s USDOT Number to ensure accountability, as the state will not plate a vehicle that has not identified an entity that is responsible for its safe operation during the registration year. Using the USDOT number, the State can check the safety fitness of each carrier prior to issuing vehicle registrations. Those motor carriers that the Federal Motor Carrier Safety Administration (FMCSA) has prohibited from operating in interstate or intrastate* commerce may have their ability to register vehicles denied by the State. Also, if a carrier is issued an Out-of-Service Order after registration has been issued, PRISM notifies the issuing jurisdiction and if legislation to suspend/revoke is in place that Jurisdiction will suspend or revoke the plate. The use of registration sanctions provides a powerful incentive for unsafe carriers to improve their safety performance.

¹ Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy of Users (SAFETEA-LU). PRISM program funding for fiscal years 2013-2014 is authorized by the Moving Ahead for Progress in the 21st Century Act (MAP-21) (Public Law 112-141, Sections 32602 and 32603). Authorization for PRISM funding by MAP-21 is done through amending current law: SAFETEA-LU.

*Vehicles operating in an Intrastate movement while under an Out-of-Service Order for Imminent Hazard or Unsatisfactory / Unfit are forbidden from both Interstate and Intrastate movements (Refer to 49 CFR 385.13(d))
In addition to denying registrations to carriers under a Federal Out-of-Service Order, PRISM States also barcode their cab cards. Bar-coding improves the accuracy of information recorded at the roadside and speeds up the inspection process resulting in improved efficiencies for roadside enforcement officers as well as the motor carrier industry.

**Enforcement**

The key requirement for Law Enforcement in PRISM States is to identify carriers and vehicles operating on the highway while under a FMCSA Out-of-Service Order and identify vehicles targeted by FMCSA for inspection and take appropriate enforcement action.

*Check EVERY vehicle, EVERY time for Federal Out-of-Service!* 

In addition to issuing Federal Out-of-Service Orders, FMCSA identifies carriers that are high-risk with potential for future crashes. The high-risk carriers and vehicles are determined by using the Safety Measurement System (SMS), which is the primary component of the Compliance, Safety, Accountability (CSA) program that was introduced in 2010.

The SMS quantifies the on road safety performance of carriers and drivers to identify candidates for interventions, to determine the specific safety problems exhibited by a carrier and its drivers, and to monitor whether safety problems are improving or worsening. The SMS replaced SafeStat in the Operational Model. The Carrier SMS uses a motor carrier’s data from roadside inspections, including all safety-based violations, State-reported crashes, and the Federal motor carrier census to quantify performance in seven Behavior Analysis and Safety Improvement Categories (BASICs).

The BASIC categories are the following:

- Unsafe Driving
- Hours-of-Service Compliance
- Driver Fitness
- Controlled Substances/Alcohol
- Vehicle Maintenance
- HM Compliance
- Crash Indicator
PRISM Law Enforcement Requirements

There are 6 requirements, listed below, for Law Enforcement in PRISM States. The focus of this training manual will be on requirements 1 and 2, Identifying FMCSA Out-of-Service and PRISM Targeted vehicles at the roadside. This manual is also provided to help fulfill requirement 6, PRISM Law Enforcement Training

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 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.
2. Identify the Motor Carrier Responsible for Safety (MCRS)

Since PRISM is a data driven program, the quality of the SMS rankings is only as accurate as the carrier safety data. Therefore, it is crucial that States make every effort to assure current, correct safety data and account for all events. It is important to identify the USDOT Number of the Motor Carrier Responsible for Safety. Make sure to enter the proper USDOT Number into CMV inspection reports, crash reports and traffic citations.

Registrant vs. Motor Carrier Responsible for Safety

At the time of vehicle registration, the IRP office collects information for the following two entities: the Registrant and the Motor Carrier Responsible for Safety. It is important for all Law Enforcement officers to understand the difference between a Vehicle Registrant and a Motor Carrier Responsible for Safety.

What is a Registrant?
The Registrant is the entity that pays for the vehicle registration plate. A Registrant can also be referred to as the IRP Account Holder. A Registrant is not required to have a USDOT Number, but may have a USDOT Number if they are also a Motor Carrier.

What is a Motor Carrier Responsible for Safety?
The Motor Carrier that is responsible for the safe operation of the vehicle. This entity must be an “Interstate Motor Carrier” and the USDOT number of the MCRS must be displayed on both sides of the power unit.

Approaches to Identify the MCRS
To identify the MCRS, the inspector should start with the side of the truck and query the USDOT Number displayed to see if it matches with the cab card information. If it does match the cab card, then the MCRS should be properly displayed and included in the cab card, as shown in the examples on page 7-9. If the USDOT Numbers are not consistent, keep on looking. Check the shipping papers, lease agreement, and interview the driver to identify his/her employer/carrier.

If the power unit is registered in a PRISM State, then check the cab card to determine if a MCRS is listed. If it is listed, it was not expected to change during the registration year. Keep in mind this is the best information available at the time of registration. This could change. If the motor carrier name is listed and therefore not expected to change, look at the registrant name. If they are the same, then MCRS is most likely what is listed on the card.
Short Term Leasing

Inspectors will encounter vehicles whose MCRS changes frequently and this is due to a carrier contracting to move freight on a short term basis. These lease agreements, some for as short as days or weeks should include MCRS information and the USDOT Number of the MCRS, which should be displayed on both sides of the power unit.

The MCRS changes every time a new lease is issued and a PRISM certified cab card issued at the time of registration should indicate that the MCRS is expected to change during the registration period. Inspectors should be careful to ascertain the correct MCRS by asking to review the lease agreement so that the crash or inspection is credited to the proper MCRS’s USDOT Number.
3. PRISM IRP Compliant Cab Cards

One of the requirements for the registration offices in PRISM States is to modify their cab cards with two major additions. The first is to include the MCRS information on the cab card, in addition to the Registrant. This helps the law enforcement officer at the roadside to identify the USDOT Number of the MCRS.

The second change is to include a barcode. The barcode contains the information displayed on the cab card in a data format that can be easily captured by barcode readers and imported into systems such as ASPEN. Barcoding improves the accuracy of information recorded at the roadside and also speeds up the inspection process.

The following pages include three samples of Cab Cards for different scenarios:

- Registrant and Motor Carrier Responsible for Safety are the same
- Registrant and Motor Carrier Responsible for Safety are different – Not expected to change
- Registrant and Motor Carrier Responsible for Safety are different – Expected to change

Notice of Caution: When using the information displayed on a cab card to determine the motor carrier responsible for safety, be advised that not all jurisdictions that barcode information on their cab cards are PRISM Compliant and predetermine the motor carrier responsible for safety. Some of the states that are not PRISM Compliant are barcoding their cab cards with the registrant information, which may or may not also be the MCRS.
Cab Card Example 1
Registrant and MCRS are the same

In this case, the Registrant and MCRS are the same company. If the MCRS is not expected to change during the registration period, the card will contain the carrier information in the barcode. In addition, the cab card displays the name, mailing address and USDOT Number for the MCRS.
Cab Card Example 2
Registrant and MCRS are Different - MCRS is NOT Expected to Change

In this case, the Registrant and MCRS are different. If the MCRS is not expected to change during the registration period, the card will contain the carrier information in the barcode. In addition, the cab card displays the name, mailing address and USDOT Number for the MCRS.

![Cab Card Example Image]
Cab Card Example 3
Registrant and MCRS are Different - MCRS is expected to change

If the MCRS field is blank, or displays a message that the MCRS is expected to change, then the lease arrangement at the time of registration was not expected to remain in effect for the entire registration year. You should also check the shipping papers and driver logs as well as a lease agreement, if present, to determine the MCRS.
4. Identifying FMCSA Out-of-Service Vehicles

FMCSA will place a carrier under a Federal Out-of-Service order for the reasons listed in the table below.

<table>
<thead>
<tr>
<th>FMCSA OOS Reasons</th>
</tr>
</thead>
<tbody>
<tr>
<td>*Imminent Hazard</td>
</tr>
<tr>
<td>*Unsatisfactory/Unfit Motor Carrier</td>
</tr>
<tr>
<td>Failure to Pay Fines due to Safety Violation</td>
</tr>
<tr>
<td>New Entrant Revoked - Expedited Actions</td>
</tr>
<tr>
<td>New Entrant Revoked - Failure of Safety Audit</td>
</tr>
<tr>
<td>New Entrant Revoked - Refusal of Safety Audit</td>
</tr>
</tbody>
</table>

| Operating Without Authority              |

*Note:* Imminent Hazard and Unsatisfactory/Unfit Carriers are ordered to cease and desist in both Interstate and Intrastate Commerce. Refer to section 385.13 and see Example letters in Appendix ‘A’.

There are multiple methods available to obtain targeted carrier and vehicle information. In the figure below, four common methods are identified along with information on the timeliness of each method. As you will see, Query Central provides “Real-Time” information on Federal Out-of-Service Orders and is the authoritative source. ISS information provides adequate information for determining whether to perform an inspection; however, because ISS is updated only monthly, check Query Central before enforcing an OOSO to be sure it is still in effect.

**FMCSA Tools to Identify Out-of-Service**

<table>
<thead>
<tr>
<th>Tools Available</th>
<th>Access</th>
<th>Data Timeliness</th>
</tr>
</thead>
<tbody>
<tr>
<td>Query Central</td>
<td>Online via FMCSA Portal</td>
<td>Real-Time</td>
</tr>
<tr>
<td>Nlets</td>
<td>State ACQ/AVQ Queries</td>
<td>Up to 24 hrs.</td>
</tr>
<tr>
<td>ISS</td>
<td>Download from InfoSys</td>
<td>Monthly</td>
</tr>
<tr>
<td>CVIEW</td>
<td>State CVISN System</td>
<td>Up to 24 hrs.</td>
</tr>
<tr>
<td>SAFER</td>
<td>Online Public Website</td>
<td>Real-Time*</td>
</tr>
</tbody>
</table>

*The public SAFER Web site will provide real-time OOS information for Active USDOT numbers only. If the USDOT number is Inactive and OOS, the SAFER Web site will not display the OOS alert message.*

2 State access to the FMCSA Portal is contingent upon State agreement with the FMCSA’s “Rules of Behavior”.
Query Central

Query Central is FMCSA’s Authoritative Source for providing real time information regarding Federal Out-of-Service, Operating Authority and Insurance Information. FMCSA Service Centers add and remove OOS USDOT numbers in MCMIS and a carrier is OOS until such time that the OOSO is rescinded and removed by a Service Center employee.

Query Central provides inquiry capability by USDOT Number, Carrier Name, VIN Number, and Plate Number/State. Query Central uses the SAFER-PRISM database for much of its data and also uses the FMCSA’s Motor Carrier Management Information System (MCMIS) database for OOSO information. Query Central requires connection through the FMCSA COMPASS Portal.

Note: The red “Alert” on the top line shows that Query Central verified in real time through MCMIS that the USDOT number associated with this vehicle is Out-of-Service.

<table>
<thead>
<tr>
<th>Driver</th>
<th>Vehicle</th>
<th>Carrier</th>
<th>Help</th>
<th>Home</th>
</tr>
</thead>
<tbody>
<tr>
<td>Carrier Summary</td>
<td>Carrier Detail</td>
<td>Violation History</td>
<td>No Past Inspections</td>
<td>PRISM</td>
</tr>
</tbody>
</table>

**Alert:** Carrier is currently under a Federal OOS

OOS Date: 01/15/2015
State: State
Reason: NEW ENTRANT REVOKED - FAILURE OF SAFETY AUDIT
Rescinded Date:

For further information, please contact the appropriate FMCSA Service Center.

Click here to review a reference to the applicable section of 49 CFR

Motor Carrier Identification & Safety Data

Please Note: You can now access L&I detail by clicking on the MC/MX number(s).

<table>
<thead>
<tr>
<th>Legal Name:</th>
<th>D&amp;E EQUIPMENT SERVICES LLC</th>
<th>USDOT#:</th>
<th>1262024</th>
</tr>
</thead>
<tbody>
<tr>
<td>DBA Name:</td>
<td></td>
<td>MC/MX#:</td>
<td></td>
</tr>
<tr>
<td>Physical Address:</td>
<td>1247 QUAIL RUN RD</td>
<td>Phone#:</td>
<td>(804)598-5373</td>
</tr>
<tr>
<td>Country of Domicile:</td>
<td>POWHATAN, VA 23139</td>
<td>Fax#:</td>
<td>(804)598-1668</td>
</tr>
<tr>
<td>Mailing Address:</td>
<td>PO BOX 1021</td>
<td>Status of USDOT #:</td>
<td>INACTIVE</td>
</tr>
<tr>
<td></td>
<td>POWHATAN, VA 23139</td>
<td>Entity:</td>
<td>CARRIER</td>
</tr>
</tbody>
</table>

**Inspection Value:** 100 - INSPECT

Inspection Value is based on lack of safety performance data.
Located beneath the red alert bar for a Federal Out-of-Service carrier, there is a link named “Click here” to review a reference to the applicable section of 49 CFR. Use this link to bring up the list of OOS 49 CFR cites for all the OOS reasons.

<table>
<thead>
<tr>
<th>OOS Date: 01/15/2015</th>
<th>State:</th>
<th>Reason: NEW ENTRANT REVOKED - FAILURE OF SAFETY AUDIT</th>
<th>Rescinded Date:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>For further information, please contact the appropriate FMCSA Service Center.</td>
<td></td>
</tr>
</tbody>
</table>

[Click here to review a reference to the applicable section of 49 CFR](https://portal.fmcsa.dot.gov/)
To obtain the list of targeted vehicles associated with this OOS carrier, click on the PRISM link from the menu bar at the top of the screen.

The Carrier PRISM Summary screen will then be displayed, as shown in the screenshot below. Information about the targeted vehicles is displayed in a list, containing the VIN, License Plate Number, State, Make, Registration Dates, and Status. The Status column will provide State suspension notices and also display whether the vehicle registration is active or inactive, as seen in the next section.
State Vehicle Registration Suspensions

A new Alert message was added to Query Central in May of 2011. This is for a vehicle that has been suspended by the State due to a Federal Out-of-Service Order. The message is in the Status column to the far right of the vehicle information.

![PRISM Information for: D&E EQUIPMENT SERVICES LLC](image)

The status column at the far right side has been added to the PRISM Vehicle information. The status may indicate a State suspension, or show whether the vehicle’s current registration is active or inactive.

The message ACTIVE indicates that the registration is current, while the INACTIVE message indicates that the registration is expired.

**Active Vehicle Registration**

<table>
<thead>
<tr>
<th>VIN</th>
<th>Plate #</th>
<th>State</th>
<th>Make</th>
<th>Model Year</th>
<th>Registration Start Date</th>
<th>Registration Expiration Date</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>1KHDBW57J158670</td>
<td>84736PY</td>
<td>VA</td>
<td>KENW</td>
<td>2007</td>
<td>03/01/2015</td>
<td>02/28/2016</td>
<td>ACTIVE</td>
</tr>
<tr>
<td>1XKWB9X05J097944</td>
<td>86870PY</td>
<td>VA</td>
<td>KENW</td>
<td>2005</td>
<td>03/01/2015</td>
<td>02/28/2016</td>
<td>ACTIVE</td>
</tr>
</tbody>
</table>

**Inactive Vehicle Registration**

<table>
<thead>
<tr>
<th>VIN</th>
<th>Plate #</th>
<th>State</th>
<th>Make</th>
<th>Model Year</th>
<th>Registration Start Date</th>
<th>Registration Expiration Date</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>1XKADB9X57J156807</td>
<td>87483PY</td>
<td>VA</td>
<td>KW</td>
<td>1995</td>
<td>09/01/2014</td>
<td>09/30/2014</td>
<td>INACTIVE</td>
</tr>
</tbody>
</table>
Check Operating Authority

Query Central can also be used to check for proper Operating Authority. First determine if Operating Authority is required:

- Interstate for-hire carriers of regulated property & passengers require Operating Authority (An ACTIVE MC number)
- Operating Authority Not Required for:
  - Intrastate Transportation
  - Private Property Transportation
  - Transportation of Exempt Commodities

If Operating Authority is required, the MC/MX# in the Carrier Summary screen should have a value. If not the carrier is operating without proper authority. If there is a value, it provides a link to the License & Insurance Summary Screen. This screen should be used to determine if the proper authority is present and if it is active.

<table>
<thead>
<tr>
<th>Query Central</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Driver</strong></td>
</tr>
<tr>
<td>Carrier Summary</td>
</tr>
</tbody>
</table>

**ALERT:** This carrier does not have operating authority. For further information, contact the FMCSA Information Line at 1-800-832-5660.

**ALERT:** This carrier has an inactive USDOT Number per 49 CFR 390.19(b)(4): Biennial update of MCS-150 data not completed.

**Motor Carrier Identification & Safety Data**
Please Note: You can now access L&I detail by clicking on the MC/MX number(s).

- **Legal Name:** MICHAEL A GUNNOE
- **DBA Name:** K & M DELIVERY
- **MC/MX#:** 327276
- **Physical Address:** 1400 SOUTH SAND BRANCH RD MOUNT HOPE, WV 25880 UNITED STATES
- **Phone#:** (304)877-5829
- **Fax#:** (304)877-0057
- **Mailing Address:** 1400 SOUTH SAND BRANCH RD MOUNT HOPE, WV 25880
- **Status of USDOT #:** ACTIVE CARRIER

**Inspection Value: 44 - PASS**

*Inspection Value is based on Safety data.*
In the CVSA North American OOS Criteria Manual, Part IV – Administrative, the following descriptions are provided for the sanctions and section numbers applied to carriers operating without the required authority.

- **OPERATING AUTHORITY** - Operating a motor vehicle without the required operating authority or beyond the scope of the motor carriers’ operating authority.
  - Authority Required - 392.9a(a)(1)
  - Beyond Scope - 392.9a(a)(2)

Declare vehicle out-of-service until proper operating authority is obtained.
PRISM Nlets Query

In addition to the Nlets vehicle queries already available to law enforcement, PRISM provides inquiry capability by USDOT Number for a Carrier Status Request (ACQ) and either VIN or License Plate and State for Vehicle Status Request (AVQ) for targeted information. Nlets uses the PRISM Target File for both Carrier and Vehicle inquiries.

Carrier Status Request (ACQ) by USDOT Number and Vehicle Status Request (AVQ) by Plate & Jurisdiction or VIN

All Nlets Carrier Status Response Messages provide the exact same data elements. The differences will be noticed in the Heading that appears above the data fields.

Nlets-PRISM Queries only return data when the Carrier is under a Federal OOS or the vehicle is targeted for inspection. If a “NOT ON FILE” response is returned, always run an ACQ query by USDOT Number to determine if the Carrier is Out-of-Service or targeted for inspection. Remember the Nlets information is not updated in real time. Confirm if an OOSO is still in effect using Query Central.

Nlets Carrier Status Response Sample

PRISM Carrier Data

Officer does a Carrier Status Request (ACQ) and enters USDOT Number 9999999

MSG FROM NLETS 3745
ACR.AVLIC0000. TO:DEST PA07710B5
*MRI0056917.
TXT

CARRIER IS UNDER FEDERAL OOS. IMMINENT HAZARD.

DOT/9999999.
NAM/ABC CARTAGE INC.
ADR/25 MAIN STREET.
CITY/PITTSBURGH.ST/PA.ZIP/15204.
CAR TARG-HIST IND/T.MCSIP STEP/54.MCSIP DATE/01152015.
PAGE/01 OF/01.
Nlets Vehicle Status Response Sample
PRISM Carrier and Vehicle Data

Officer does a Vehicle Status Request (AVQ) and enters License Plate Number 99AF9M Jurisdiction of MA. In this example, the DOT Number 8888888 is under a Federal Out-of-Service order for Unsat/Unfit Motor Carrier.

MSG FROM NLETS 3639
AVR.AVLIC0000. TO: DEST MA07710B5
*MRI0055497.
TXT

CARRIER IS UNDER FEDERAL OOS UNSAT/UNFIT.

DOT/8888888.
NAM/JJJ TRANSPORT INC.
ADR/55 CAUSEWAY STREET.
CITY/BOSTON.ST/MA.ZIP/02114.
CAR TARG-HIST IND/T.MCSIP STEP/55.MCSIP DATE/01012015.
VMA/FORD.VYR/2007.VIN/1FDXW99P90ED62000.
LIC/99AF9M.LIS/MA.REG EFF DATE/10052015.REG EXP DATE/10042015.
VEH TARG-HIST IND/T.
PAGE/01 OF/01.

In addition to OOS data, the Nlets ACQ/AVQ queries also check the PRISM Target File to see if the vehicle is “Targeted” for inspection.

CARRIER IS TARGETED FOR INSPECTION.

DOT/9999999.
NAM/JJJ TRANSPORT INC.
ADR/55 CAUSEWAY STREET.
CITY/BOSTON.ST/MA.ZIP/02114.
CAR TARG-HIST IND/T.MCSIP STEP/7.MCSIP DATE/02112015.
VMA/FORD.VYR/2007.VIN/1FDXW99P90ED627000.
LIC/99BF9M.LIS/MA.REG EFF DATE/05042015.REG EXP DATE/05032015.
VEH TARG-HIST IND/T.
PAGE/01 OF/01.
The Inspection Selection System (ISS) contains motor carrier data on all Interstate motor carriers. The ISS data file is made available on a monthly basis and can be downloaded from the FMCSA Portal.

**Note:** Remember the ISS information is not updated in real time. Confirm if an OOSO is still in effect by using Query Central.
5. Place the Vehicle Out-of-Service

It is imperative that the safety status of every commercial motor vehicle encountered be checked via an authoritative source (Query Central) to ascertain if it is being operated under a Federal Out-of-Service Order.

**Check every vehicle, every time, for Federal Out-of-Service!!**

The CVSA Out-of-Service Criteria provides authorized roadside enforcement personnel with the ability to place vehicles Out-of-Service (OOS) that are operating under the authority of a motor carrier that was issued a Federal OOSO. If a valid OOSO is discovered and verified, enforcement personnel must place only the power unit OOS, and should indicate the appropriate FMCSR section that pertains to the OOSO on the inspection report (and citation, if issued.) The inspection report should include instructions to the carrier (MCRS) to contact FMCSA at the number in the OOSO document they received previously. The enforcement official should also inform the driver that this OOSO is a carrier violation and will have no bearing on his/her driving record.

**What if the OOS Order cannot be verified?**

If an OOSO cannot be verified at the time of inspection, the vehicle should not be placed OOS but the enforcement official should make copies of pertinent paperwork (e.g., bills of lading, driver CDL, log book, receipts, etc.), if possible, to demonstrate that the carrier was operating in interstate commerce at the time of the inspection.

Evidence of violation of the OOSO may include the FMCSA document prohibiting interstate operations and a copy or facsimile of the inspection or crash report indicating interstate activity. Enforcement personnel should forward the information as soon as possible to the appropriate FMCSA Division Office for follow-up to determine the carrier’s actual operating status at the time of the inspection. If the FMCSA Division Office determines that the (MCRS) carrier was operating while a valid OOSO was in effect, then the Division Office may initiate an enforcement case. The carrier is OOS until the Federal OOSO has been officially rescinded by FMCSA.

The FMCSA Enforcement team issues and rescinds all Federal OOSOs. In order to verify that FMCSA has rescinded the OOSO, the State enforcement official will need to either utilize the above listed Federal databases or contact the appropriate FMCSA Service Center to obtain the status of the OOSO.

**Be vigilant and take every opportunity to identify Out-of-Service vehicles and take appropriate enforcement action.**

**The safety of all users of the highway is affected when Out-of-Service vehicles continue to operate.**
6. Import Barcode Data to ASPEN

The PRISM program is a strong advocate of using barcode readers to enter accurately the USDOT Numbers and vehicle information into inspection and crash reports. The barcode on the cab card can assist the inspectors in completing the ASPEN inspection report in a timelier manner. If the carrier responsible for safety (MCRS) remains the same as that printed and barcoded on the cab card, it will be faster and easier to complete the MCSAP inspection forms. The following pages show how barcoding can assist.

From the main toolbar within ASPEN, click on the “Barcode” menu option, and select “Import Barcode Data,” as shown in the screenshot below.

Scanning the Cab Card with the “Import Barcode Data” window open will import the Vehicle Data into the window, as seen below in this screenshot.
Query Central Carrier Data to ASPEN

Another option for importing data into ASPEN is using Query Central. This is another way to ensure accurate data is being populated into inspection reports. The following screenshots show the process for downloading and importing carrier or vehicle data from Query Central into ASPEN.

To import carrier data from Query Central to ASPEN, first perform a carrier search by entering a USDOT Number and then click on the “Search” button.
Next, click on the “Download Data for ASPEN” button. A pop-up will inform the user that the download is complete.
Next, from within ASPEN, click on the “Query Central” option in the top menu bar and select “Import Carrier Data” from the drop-down list.

Click on the Carrier Tab, and the information that was downloaded from Query Central is now populated in ASPEN.
Query Central Vehicle Data to ASPEN

To import vehicle data from Query Central to ASPEN, first perform a vehicle search by entering a VIN or Plate/State combination and then click on the “Search” button.
From the VEHICLE SUMMARY screen, click on the “Download Data for ASPEN” button. A pop-up will inform the user that the download is complete.
Next, from within ASPEN, click on the “Query Central” option in the top menu bar and select “Import Vehicle Data” from the drop-down list.

Click on the Vehicle Tab, and the information that was downloaded from Query Central is now populated in ASPEN.
APPENDIX A – Sample OOS Letters

Sample 1 – Unsat/Unfit OOS – Interstate and Intrastate

The following sample OOS letters show that for Unsat/Unfit and Imminent Hazard Out-of-Service orders, the motor carrier is prohibited from both Interstate and Intrastate commerce.

ORDER TO CEASE ALL TRANSPORTATION IN INTERSTATE AND INTRASTATE COMMERCE AND REVOCATION OF REGISTRATION
EFFECTIVE Monday, June 27, 2011 at 12:01 am
USDOT# 1856412

This Order to Cease All Transportation in Interstate and Intrastate Commerce (Order) and Revocation of Registration is issued pursuant to 49 USC §§ 13905(f)(1)(B) and 31144, and 49 CFR § 385.13.

This Order is the result of a compliance review of AGAPE TRANSPORTATION LLC’s operations completed on May 12, 2011. The review disclosed serious violations of the Federal Motor Carrier Safety Regulations and/or the Hazardous Materials Regulations.

AGAPE TRANSPORTATION LLC, USDOT# 1856412, was issued a proposed “unsatisfactory” safety rating on May 12, 2011. AGAPE TRANSPORTATION LLC was notified to take certain actions within 45 days from the date of that proposed rating to improve its safety rating to “conditional” or “satisfactory”. AGAPE TRANSPORTATION LLC was further advised that it would be ordered to cease any and all operation of any commercial motor vehicle(s) in interstate and intrastate commerce and its registration would be revoked unless its safety rating was improved to “conditional” or “satisfactory”.

AGAPE TRANSPORTATION LLC has failed to take the necessary steps required to improve its safety rating to “conditional” or “satisfactory” within the required timeframe.

THEREFORE, IT IS ORDERED THAT AGAPE TRANSPORTATION LLC SHALL CEASE ALL OPERATION OF ANY COMMERCIAL MOTOR VEHICLE(S) IN INTERSTATE AND INTRASTATE COMMERCE ON THE EFFECTIVE DATE AND TIME OF THIS ORDER, AND THE REGISTRATION OF AGAPE TRANSPORTATION LLC SHALL BE REVOKED UNLESS AND UNTIL SUCH TIME AS THE FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
DETERMINES AGAPE TRANSPORTATION LLC IS FIT, AND AGAPE TRANSPORTATION LLC HAS REINSTATED ITS REGISTRATION.

IN ADDITION, EACH AND EVERY DEPARTMENT, AGENCY, OR INSTRUMENTALITY OF THE UNITED STATES GOVERNMENT IS PROHIBITED FROM USING AGAPE TRANSPORTATION LLC FOR ANY TRANSPORTATION IN INTERSTATE AND INTRASTATE COMMERCE WHILE THIS ORDER IS IN EFFECT. (49 USC § 31144).

AGAPE TRANSPORTATION LLC's continued operation of commercial motor vehicles in interstate and/or intrastate commerce after the effective date and time of this Order and/or Revocation of Registration will be considered a serious safety violation. Each day the transportation continues constitutes a separate offense.

Violation(s) of this Order may result in penalties of not more than $11,000 for each separate violation and may result in criminal prosecution leading to imprisonment for up to one (1) year or a fine of up to $25,000, or both, and other actions as deemed necessary by the United States Department of Justice. (49 USC § 521(5)). Violation(s) of registration requirements, including providing transportation requiring registration during any period of revocation, may result in penalties of not less than $650 for each separate violation. If the registration violation involves providing transportation of passengers, the penalty shall be not less than $2,200 for each separate violation; if the registration violation involves the transportation of household goods, the penalty shall not be less than $25,000 for each separate violation. (49 USC § 14901).

Operation, after the effective date and time of this Order and/or Revocation of Registration, of a commercial motor vehicle designed or used to transport hazardous materials for which placarding of the vehicle is required is subject to a civil penalty of not less than $275 and not more than $50,000 for each offense. If the violation results in death, serious illness, or severe injury to any person, or in substantial destruction of property, the civil penalty may be increased to not more than $105,000 for each offense. Operating a commercial motor vehicle designed or used to transport placardable amounts of hazardous materials after the effective date of this Order and/or Revocation of Registration may also result in criminal prosecution leading to fines and imprisonment up to five (5) years, or fines and imprisonment up to ten (10) years if the violation involves a release of hazardous material that results in death or bodily injury to any person. (49 USC §§ 31144, 5123, 5124).

Please be aware, this Order and Revocation of Registration may also attach and apply to the operations of successor entities, including any motor carrier entity or entities established or used to avoid the consequences of a final "unsatisfactory" safety rating.
IMMINENT HAZARD
OPERATIONS OUT-OF-SERVICE ORDER

This is an Imminent Hazard Operations Out-of-Service Order ("ORDER") by the Secretary of Transportation (the "Secretary") pursuant to 49 U.S.C. § 521(b)(5)(A), 49 U.S.C. § 13102, 49 U.S.C. § 13905(f), 49 U.S.C. § 31144(c)(1) and (2), 49 U.S.C. § 31144(c)(5), 49 C.F.R. § 386.2, 49 C.F.R. § 386.72(b)(1), 49 C.F.R. § 386.73, and 49 C.F.R. § 390.5 and pursuant to a delegation of authority to the Field Administrator, Eastern Service Center, Federal Motor Carrier Safety Administration (FMCSA), United States Department of Transportation (USDOT), Glen Burnie, Maryland. This ORDER applies to Mei Ying Gao; Qi Sheng Zhang a/k/a Sammy; Qiao Zhen Liu a/k/a Jenny; Amy Li a/k/a Amy Mei Fang, Amy Chenli, Amy Chen Li and Amy Peterson; New Century Travel, Inc., USDOT # 911125, MC 367489 a/k/a New Century Travel Bus, New Century Travel Ticket Sales; Fujian Tourism, Inc., USDOT # 1858916, MC 672638; Black Leopard Travel, Inc., USDOT # 2046152, MC 717211; Eagle Bus Inc., USDOT # 1889752, MC 680536; Super Luxury Tours, Inc., USDOT # 1669914, MC 613823; Antai Tours, Inc., USDOT # 1922290, MC 687933; 2003 Coach, Inc., USDOT # 1305152, MC 506256; Sammy Tours, Inc., USDOT # 1471745, MC 555733; Red Eagle Tours, Inc., USDOT # 2163652, MC 751824; and Wahoo Tour and Charter, Inc., USDOT # 2163686, MC 751833; each in their individual capacity and collectively as one commercial motor vehicle operation (referred to collectively herein as "you," "your," and/or "NEW CENTURY") and to any motor vehicles owned, leased, or operated by NEW CENTURY, and used in the NEW CENTURY motor carrier operation.
The Secretary and the FMCSA find your operations constitute an imminent hazard. This finding means that based upon your present state of unacceptable safety compliance, your operation of any commercial motor vehicles poses an imminent hazard to public safety.

**EFFECTIVE IMMEDIATELY, YOU MUST CEASE ALL COMMERCIAL MOTOR VEHICLE OPERATIONS, INCLUDING ALL INTERSTATE OR INTRASTATE TRANSPORTATION OF PASSENGERS BY DRIVERS FROM ALL DISPATCHING LOCATIONS OR TERMINALS.**

**THE PROHIBITIONS ON OPERATION IN THIS ORDER APPLY TO NEW CENTURY, AS WELL AS ANY AND ALL OF ITS OFFICERS, DIRECTORS, AND MANAGERS, SUCCESSORS, ASSIGNS AND AFFILIATED COMPANIES. EXCEPT AS PROVIDED BELOW, NEW CENTURY MAY NOT USE OWNED, LEASED, RENTED OR CHARTERED VANS, SHUTTLES, BUSES, OR OTHER MOTOR VEHICLES TO CONTINUE ANY COMMERCIAL MOTOR VEHICLE OPERATIONS. FURTHER, NEW CENTURY MAY NOT CONTINUE ANY COMMERCIAL MOTOR VEHICLE OPERATIONS THROUGH INTERLINE AGREEMENTS, SERVICE AGREEMENTS OR CHARTER AGREEMENTS.**

Commercial motor vehicles and their drivers now in interstate or intrastate commerce may proceed to their next immediate destination, which is defined as the next scheduled stop for vehicles already in motion where the passengers can be safely accommodated. *(See 49 C.F.R. § 386.72(b)(4) and (5)).*

**NO ADDITIONAL PASSENGERS MAY BE LOADED OR TRANSPORTED, NOR MAY THE COMMERCIAL MOTOR VEHICLES BE OPERATED IN INTERSTATE OR INTRASTATE COMMERCE WHILE THIS ORDER IS IN EFFECT.**