

PRISM

Performance and Registration Information Systems Management

Procedural Manual

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Federal Motor Carrier Safety Administration
Enforcement Division
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Section I: GENERAL INFORMATION

- Chapter 1: Introduction
- Chapter 2: PRISM Overview
- Chapter 3: PRISM Benefits
- Chapter 4: Major Processes
- Chapter 5: PRISM Implementation Requirements



1. Chapter One - Introduction

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 4 outlines the major processes. Chapter 5 lists the specific requirements associated with PRISM Registration and Enforcement.

Section II details the functions and workflow to implement all the PRISM registration requirements listed in Chapters 6 thru 9, 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.

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.

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 for safety violations (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 are 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 - 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.

4.1 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.

4.2 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, cancellation 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), Driver Fitness, Controlled Substances/Alcohol, Vehicle Maintenance, Hazardous Materials (HM) and Crash Indicator.

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.



5. Chapter Five - PRISM Implementation Requirements

- PRISM Registration Requirements
 - Legislation
 - Registration Processes
 - Data Collection and Forms
 - Communications and Training
- PRISM Law Enforcement 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 Requirements, and Law Enforcement Requirements. The Registration 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.

5.1 PRISM Registration 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.

5.2 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: PRISM REQUIREMENTS AND PROCESSES

- Chapter 6: Legislation
- Chapter 7: Registration Processes
- Chapter 8: Data Collection an Forms
- Chapter 9: Communications and Training



6. Chapter Six - Legislation

- Legislation to Deny/Suspend
- Legislation to Retrieve Plates
- Model Legislation

6.1 Registration Requirement 1 – Legislation to Deny/Suspend

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.

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.

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.

6.2 Registration Requirement 2 – Legislation to Retrieve Plates

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

Task

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, cancelled, or revoked based on prism sanctions. After authority is obtained, work with law enforcement to develop a process for the return of suspended, cancelled or revoked plates confiscated at the roadside.

Why

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 to 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 on the PRISM Target File 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.

6.3 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.



7. Chapter Seven - Registration Processes

- Check Carrier Safety Status
- Suspend Registrations
- Check VIN for associated OOS
- Upload Vehicles to SAFER/PRISM
- Maintain IRP Status Code

7.1 Registration Requirement 3 – Check Carrier Safety Status

Check carrier safety status before issuing credentials and deny the registration if the motor carrier is prohibited from interstate operation.

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 an order prohibiting interstate operations.

- Using the USDOT Number value entered on the screen for the Motor Carrier Responsible for Safety, perform a lookup against the file selected above and get the MCSIP Step for the USDOT Number.
- 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. If any of these messages for MCSIP step 52 – 68 appear the registration should be denied

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. If possible, the checks should be performed automatically without any operator intervention.

7.2 Registration Requirement 4 – Suspend Registrations

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.

7.2.1 Daily Out of Service Vehicles Report

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
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 and need to be suspended or revoked.

- 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.

4. Follow normal procedures for suspending, revoking or reinstating the vehicles.

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.

7.2.2 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.

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

7.2.3 Suspension and Revocation Letters



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

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

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

7.2.4 Retrieving Suspended License Plates

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. 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.
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.

7.3 Registration Requirement 5 – Check VIN for associated OOS

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.

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
2.) The vehicle does not have a registration suspension/revocation from another state or is associated with an out-of-service carrier.

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.

7.4 Registration Requirement 6 – Upload Vehicles to SAFER/PRISM

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

7.4.1 PRISM Vehicle File (PVF)

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.

7.4.2 CVIEW IRP Vehicle Registration Updates (T0022)

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 on the PRISM Target File. If the PRISM Vehicle File method is used, only targeted vehicles are uploaded. If the CVIEW method is used, all IRP vehicle registration data is uploaded. The PRISM Central Site will combine all vehicle data from the states each business night to update the PRISM Target files.

7.5 Registration Requirement 7 – Maintain IRP Status Code

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

IRP STATUS CODE	IRP STATUS CODE DISCRIPTION	NOTES
100	ACTIVE	Active Registration
900	INACTIVE	Registrations that have been expired or canceled by the State.
950	SUSPENDED DUE TO FEDERAL OOS	Registrations the have been Suspended due to a Federal Out of Service reason.
961	STATE SUSPENSION (NON FEDERAL OOS)	Registrations that have been Suspended by the state for a different reason.



8. Chapter Eight - Data Collection an Forms

- Collect USDOT Number and TIN
- Validate USDOT Number
- Barcode the Registration Cab Card
- Barcode the Temp Cab Card

8.1 Registration Requirement 8 – Collect USDOT Number and TIN

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.

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 and 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.

8.2 Registration Requirement 9 – Validate USDOT Number

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

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.

8.3 Registration Requirement 10 – Barcode the Registration Cab Card

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.

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. The PRISM cab card and barcode specifications document can be found on the FMCSA PRISM website at the following link:
<http://www.fmcsa.dot.gov/information-systems/prism/prism-irp-cab-card-bar-code-specifications-%E2%80%93-version-35>

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.

Inspectors will encounter vehicles whose MCRS changes frequently due to the carrier contracting with different brokers/shippers to move freight. These lease agreements, some for as short as days or weeks, should include the MCRS information and the USDOT Number of the MCRS should be displayed on the vehicle.

IRP Registration forms have a Yes/No question to ask whether the MCRS is expected to change. If answered YES, the cab card will display the following message: “THE CARRIER RESPONSIBLE FOR SAFETY IS EXPECTED TO CHANGE DURING REGISTRATION PERIOD”.

If Registrant answers NO, and the carrier is not expected to change, the MCRS info is printed on the cab card. If the MCRS unexpectedly changes during the registration period and the Registrant does not notify the IRP office, the MCRS printed on the cab card will be incorrect. Therefore, the state should encourage the registrant to update the MCRS information if it changes during the registration period.

8.4 Registration Requirement 11 – Barcode the Temp Cab Card

Incorporate PRISM requirements in temporary authority processes

Modify the temporary authority application if applicable, to capture the USDOT Number and TIN at the vehicle level.

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
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.)

Modify the temporary authority credential to include the bar code if applicable, to capture the USDOT Number and other carrier information if appropriate.

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.

8.4.1 Cab Card Examples

An example cab card of when the Registrant and Motor Carrier Responsible for Safety are the same company, and there is no lease.

**INTERNATIONAL REGISTRATION PLAN
IRP CAB CARD**

Registrant

ABC TRUCKING
500 MAIN STREET
ANYTOWN, KY 01002

IRP NUMBER 527455	REG YEAR 2015	PLATE# 9NS067	VIN TEST			
REGISTRATION DATE 01-JAN-15	VEH TYPE TT	DECAL# 850099	REGISTRATION ID 153047	REGISTERED WEIGHT 80000		
EFFECTIVE DATE 01-JAN-15	VEH MAKE CHEV	EQUIP# 1	TITLE# 1	UNLADEN WEIGHT		
ENFORCEMENT DATE 31-DEC-15	EXPIRATION DATE 31-DEC-15	AXLE/SEAT 3	VEH YEAR 2003	FUEL D	Same Company	
OWNER/LESSOR						

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

AL: 80000	AR: 80000	AZ: 80000	CA: 80000	CO: 80000	CT: 80000	DC: 80000
DE: 80000	FL: 80000	GA: 80000	IA: 80000	ID: 80000	IL: 80000	IN: 80000
KS: 80000	KY: 80000	LA: 80000	MA: 80000	MD: 80000	ME: 80000	MI: 80000
MN: 80000	MO: 80000	MS: 80000	MT: 80000	NC: 80000	ND: 80000	NE: 80000
NH: 80000	NJ: 80000	NM: 80000	NV: 80000	NY: 80000	OH: 80000	OK: 80000
OR: 80000	PA: 80000	RI: 80000	SC: 80000	SD: 80000	TN: 80000	TX: 80000
UT: 80000	VA: 80000	VT: 80000	WA: 80000	WI: 80000	WV: 80000	WY: 80000
AB: 36287	BC: 36287	MB: 36287	NB: 36287	NL: 36287	NS: 36287	ON: 36287
PE: 36287	QC: 6	SK: 36287	*** **	*** **	*** **	*** **

Canadian Provinces are shown in Kilograms, Quebec is shown in axles, all other jurisdictions are shown in Pounds.

Carrier Responsible for Safety

USDOT Number: 0123456
ABC TRUCKING
500 MAIN STREET
ANYTOWN, KY 01002



An example cab card of when the Registrant and Motor Carrier Responsible for Safety are different companies, and there is a lease.

**INTERNATIONAL REGISTRATION PLAN
IRP CAB CARD**

Registrant
 ABC TRUCKING
 500 MAIN STREET
 ANYTOWN, KY 01002

IRP NUMBER 527455	REG YEAR 2015	PLATE# 9NS067	VIN TEST	
REGISTRATION DATE 01-JAN-15	VEH TYPE TT	DECAL# 850099	REGISTRATION ID 153047	REGISTERED WEIGHT 80000
EFFECTIVE DATE 01-JAN-15	VEH MAKE CHEV	EQUIP# 1	TITLE# 1	UNLADEN WEIGHT
ENFORCEMENT DATE 31-DEC-15	EXPIRATION DATE 31-DEC-15	AXLE/SEAT 3	VEH YEAR 2003	FUEL D

OWNER, LESSOR

Different Company

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

AL: 80000	AR: 80000	AZ: 80000	CA: 80000	CO: 80000	CT: 80000	DC: 80000
DE: 80000	FL: 80000	GA: 80000	IA: 80000	ID: 80000	IL: 80000	IN: 80000
KS: 80000	KY: 80000	LA: 80000	MA: 80000	MD: 80000	ME: 80000	MI: 80000
MN: 80000	MO: 80000	MS: 80000	MT: 80000	NC: 80000	ND: 80000	NE: 80000
NH: 80000	NJ: 80000	NM: 80000	NV: 80000	NY: 80000	OH: 80000	OK: 80000
OR: 80000	PA: 80000	RI: 80000	SC: 80000	SD: 80000	TN: 80000	TX: 80000
UT: 80000	VA: 80000	VT: 80000	WA: 80000	WI: 80000	WV: 80000	WY: 80000
AB: 36287	BC: 36287	MB: 36287	NB: 36287	NL: 36287	NS: 36287	ON: 36287
PE: 36287	QC: 6	SK: 36287	*** **	*** **	*** **	*** **

Canadian Provinces are shown in Kilograms, Quebec is shown in axles, all other jurisdictions are shown in Pounds.

Carrier Responsible for Safety
 USDOT Number: 7654321
 XYZ TRUCKING
 600 MAPLE ROAD
 OTHERTOWN, PA 21001

An example cab card of when the Motor Carrier Responsible for Safety is expected to change during the registration period.

**INTERNATIONAL REGISTRATION PLAN
IRP CAB CARD**

Registrant

ABC TRUCKING
500 MAIN STREET
ANYTOWN, KY 01002

IRP NUMBER 527455	REG YEAR 2015	PLATE# 9NS067	VIN TEST		
REGISTRATION DATE 01-JAN-15	VEH TYPE TT	DECAL# 850099	REGISTRATION ID 153047	REGISTERED WEIGHT 80000	
EFFECTIVE DATE 01-JAN-15	VEH MAKE CHEV	EQUIP# 1	TITLE# 1	UNLADEN WEIGHT 17000	
ENFORCEMENT DATE 31-DEC-15	EXPIRATION DATE 31-DEC-15	AXLE/SEAT 3	VEH YEAR 2003	FUEL D	FLEET# 1
OWNER/LESSOR					

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

AL: 80000	AR: 80000	AZ: 80000	CA: 80000	CO: 80000	CT: 80000	DC: 80000
DE: 80000	FL: 80000	GA: 80000	IA: 80000	ID: 80000	IL: 80000	IN: 80000
KS: 80000	KY: 80000	LA: 80000	MA: 80000	MD: 80000	ME: 80000	MI: 80000
MN: 80000	MO: 80000	MS: 80000	MT: 80000	NC: 80000	ND: 80000	NE: 80000
NH: 80000	NJ: 80000	NM: 80000	NV: 80000	NY: 80000	OH: 80000	OK: 80000
OR: 80000	PA: 80000	RI: 80000	SC: 80000	SD: 80000	TN: 80000	TX: 80000
UT: 80000	VA: 80000	VT: 80000	WA: 80000	WI: 80000	WV: 80000	WY: 80000
AB: 36287	BC: 36287	MB: 36287	NB: 36287	NL: 36287	NS: 36287	ON: 36287
PE: 36287	QC: 6	SK: 36287	*** **	*** **	*** **	*** **

Canadian Provinces are shown in Kilograms, Quebec is shown in axes, all other jurisdictions are shown in Pounds.

Carrier Responsible for Safety

THE CARRIER RESPONSIBLE FOR SAFETY IS EXPECTED TO CHANGE DURING THE REGISTRATION PERIOD





9. Chapter Nine - Communications and Training

- Report Quarterly Denials/Suspensions
- Provide assistance to FMCSA Division
- Provide assistance to Law Enforcement
- PRISM Training to IRP Staff and Industry

9.1 Registration Requirement 12 – Report Quarterly Denials/Suspensions

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.

Task

1. On a quarterly basis, collect the total number of carriers that have been denied registration. Since the registration was denied, the information may not be stored in the system, so the collection of this information could be a manual process.
2. On a quarterly basis, collect the total number of carriers and their associated vehicles that have been suspended.
3. Submit the form below to the FMCSA division office on a quarterly basis.

PRISM Implementation Status Quarterly Report Denials and Suspensions/Revocations			
Provide the dates of the quarter being reported: _____ through _____			
State Reporting _____			
Reporting Date _____			
IRP Representative _____			
Please enter the total number of denials and suspension/revocations for the period resulting from a safety check or the daily alert report.*			
Federal Out-of-Service Order Reason (MCSIP Step)	Suspensions/Revocations		Denials
	Number of Carriers	Number of Vehicles	Number of Carriers
Imminent Hazard (Step 54 & 60)			
Unsat/Unfit (Step 55 & 61)			
Non-Payment of Fines (Step 57 & 62)			
New Entrant Revocations (Step 56 & 58 & 63 & 64 & 67 & 68)			
Operating Without Authority (Step 65 & 66)			
Biennial Update Not Completed (Step 52)			
*This includes denials when the registrant was deemed a reincarnation/affiliation of a motor carrier under a Federal out-of-service order.			
<u>Note:</u> For suspensions, enter the total number of carriers and vehicles			

9.2 Registration Requirement 13 – Provide assistance to FMCSA Division

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

The communications between the state registration office and the FMCSA division office is a key component of the PRISM program. When a state enters the PRISM program, information about motor carriers may be requested by the FMCSA division office. It is expected that the state registration office will provide any information that was requested.

For example, 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.

9.3 Registration Requirement 14 – Provide assistance to Law Enforcement

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

The communications between the state registration office and the State Law enforcement agency is a key component of the PRISM program. When a state enters the PRISM program, information about motor carriers may be requested by the State Law enforcement agency. It is expected that the state registration office will provide any information that was requested.

9.4 Registration Requirement 15 – PRISM Training to IRP Staff and Industry

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.

Task

1. Ensure PRISM training is provided to all appropriate IRP staff. The most recent PRISM training slides for the IRP registration staff is available on the FMCSA PRISM website and can be found at the following link: <http://www.fmcsa.dot.gov/information-systems/prism/prism-irp-registration-staff-training>. The state may also ask the PRISM team for on-site training.

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.

2. Ensure PRISM related information is provided to all motor carriers and other interested parties within the state. This may include updating the IRP manual and/or presenting information about PRISM at motor carrier industry meetings.

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 and customizing other methods to ensure the carriers are informed. This will ensure a smoother registration renewal process.

3. Ensure training is provided to all appropriate IRP staff on key FMCSA applications such as MCMIS and Query Central. A section on MCMIS is included as part of the PRISM registration training slides. Contact the FMCSA division office for additional help with these applications.

Why

States must ensure that all appropriate staff attends MCMIS training. This is essential for understanding MCMIS 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. 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/>.



Section III: GENERAL INFORMATION

- Chapter 10: Frequently Asked Questions (FAQ)
- Chapter 11: Sample Language for PRISM Brochure
- Chapter 12: Glossary of Terms
- Chapter 13: Contacts



10. Chapter Ten - Frequently Asked Questions and Answers

Frequently Asked Questions and Answers

What is the total number of years to implement?

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.

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

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.

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

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. It is suggested that the registrant be advised to notify the IRP office if the motor carrier responsible changes during the year and obtain a corrected cab card.

How is the vehicle registration process different for an IRP account holder if the base state participates in the Performance and Registration Information Systems Management (PRISM) program?

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:** 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.

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

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

What information is the bar code supposed to contain?

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.

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?

The USDOT Number of the Motor Carrier Responsible for Safety at the time of registration 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.

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

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?

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



11. Chapter Eleven - Sample Language for PRISM Brochure

Once a State becomes a PRISM State, it is a good idea for the IRP Registration office to create a brochure that can be available at the front counter to provide to IRP account holders. The brochure should share key information about the PRISM program, and how it affects the registration process. Below is some sample language that can be used to create an informational brochure about PRISM.

<Insert State Name> participates in the federal Performance and Registration Information Systems Management (PRISM) program. PRISM is a partnership between the Federal Motor Carrier Safety Administration (FMCSA) and the states to promote and enhance motor carrier safety.

International Registration Plan (IRP) Changes

- A new IRP application (Schedule A/C) form.
- A new IRP renewal notice.
- A requirement for the United States Department of Transportation (USDOT) number and Taxpayer identification Number (TIN) to be provided on these forms for each vehicle being registered. The TIN is the Federal Employer Identification Number (FEIN) or Social Security Number (SSN). These numbers are for the carrier that is responsible for the safe operation of the vehicle.
- A requirement to specify whether the carrier responsible for the safety of a vehicle is expected to change during the registration year. If the carrier is not expected to change, information about the responsible carrier is included in a bar code on the IRP registration card to assist enforcement in completing vehicle and carrier inspections.
- A requirement to update the company's census data (form MCS 150) with FMCSA every two years.
- Vehicles associated with a carrier that has been placed Out-of-Service by FMCSA will be denied IRP registration until the out of service condition has been satisfied. Additionally, vehicle registrations may be suspended during the registration period if the motor carrier responsible for safety is placed under a Federal Out-of-Service order.

Actions You Should Take to Avoid Service Delays

- When filing an IRP application, ensure that you have completed the information about the motor carrier responsible for the safety of your vehicle(s).
- If the carrier responsible for the safe operation of any vehicle in a fleet does not have a USDOT number, the carrier should obtain one now. Apply online through the FMCSA website www.fmcsa.dot.gov under Registration or Licensing or contact FMCSA at 1-800-832-5660.
- If the responsible carrier has an outstanding Out-of-Service order issued by FMCSA, action should be taken to comply with the order.

How to Determine the Motor Carrier Responsible for Safety (MCRS)

The motor carrier responsible for safety is the entity accountable for but not limited to, hours-of-service, safety regulations, vehicle maintenance, and drug and alcohol testing. If the IRP registrant holds that responsibility for all the vehicles in the registrant's fleet, the USDOT number and TIN for the IRP registrant should be listed for each vehicle.

If the IRP registrant only rents or leases its vehicles, the USDOT number of the renter or lessee should be listed regardless if it is a short term or long term lease.

If the IRP registrant is an owner operator that always operates under another company's interstate operating authority, the USDOT number of the carrier holding the authority should be listed regardless if it is a short term or long term lease.

If the IRP registrant is a valid interstate motor carrier, but also rents or leases vehicles to other interstate motor carriers who will be responsible for their safe operation, the following instructions should be followed when providing the USDOT number and TIN of the carrier responsible for the safety of the individual rented or leased vehicles:

Short Term Lease – if the vehicle will be rented or leased for 30 days to an interstate motor carrier, enter the IRP registrant's USDOT number and TIN.

Long Term Lease – if the vehicle will be leased for 30 days or more to an interstate motor carrier, enter the lessee's USDOT number and TIN.

When a lease on a vehicle is changed to a long term lease, a new IRP application to update the motor carrier responsible for safety, must be submitted. A replacement registration card will be issued to ensure safety related events are assigned to the proper carrier.



12. Chapter Twelve - 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



13. Chapter Thirteen - Contacts

- Federal Motor Carrier Safety Administration (FMCSA)
- VOLPE Center

Contacts

13.1 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

13.2 Volpe Center

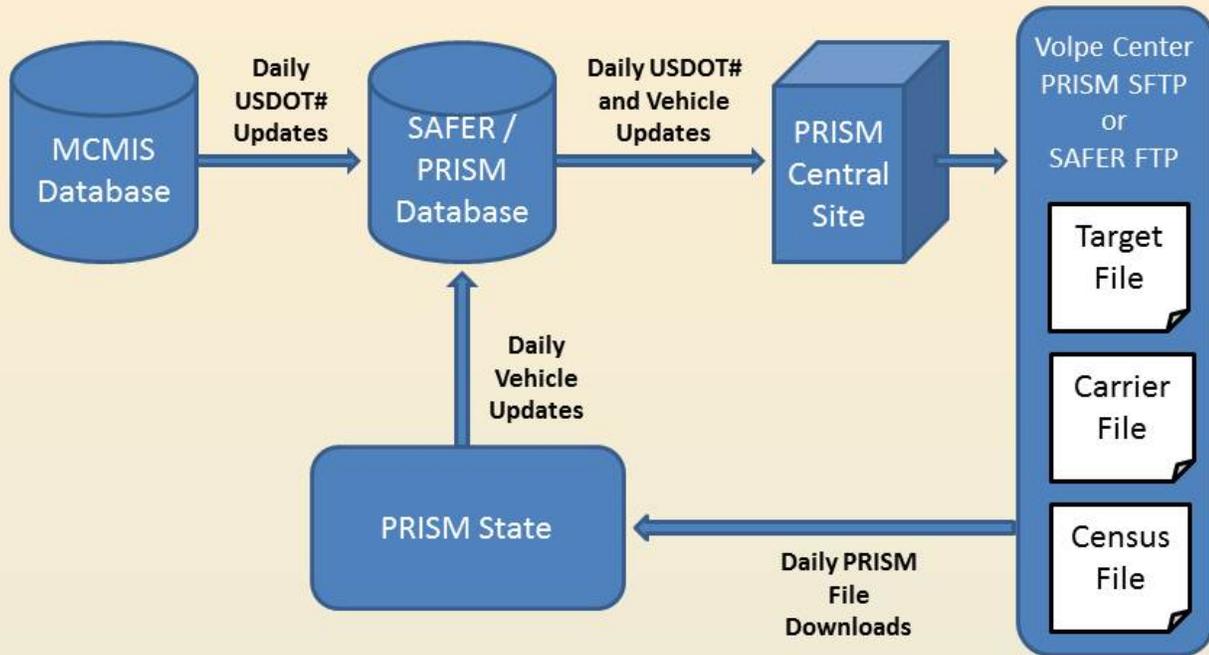
PRISM Technical Support Team
Email: PRISMTechnicalSupport@dot.gov

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



Appendix A - PRISM System Architecture

PRISM System Architecture



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

PRISM System Architecture



- 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.



- 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.



- 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

Target
File

- 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.

Carrier
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.

Census
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.

- 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

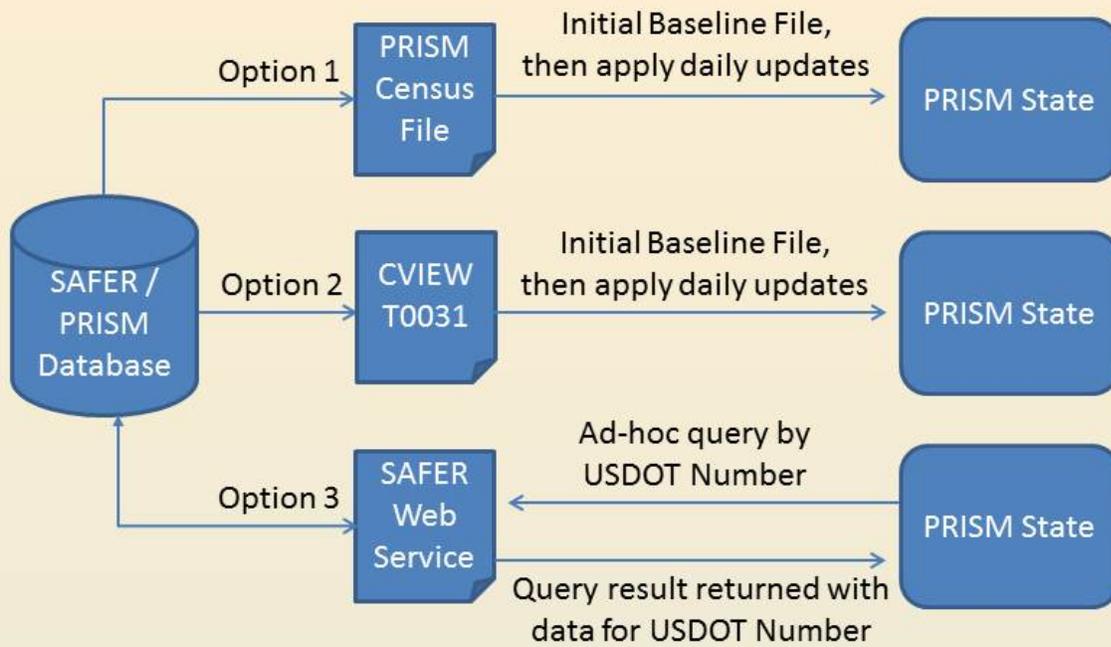
PRISM Registration Requirement

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

Validate the USDOT Number

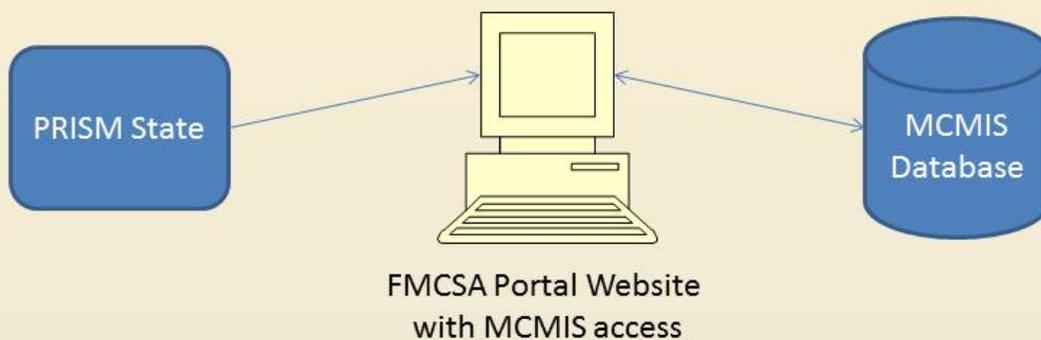
- There are 3 methods available that a PRISM State can choose from to Validate the USDOT Number:
 1. PRISM Census File
 2. CVIEW Database (T0031)
 3. SAFER Web Services (ad-hoc)

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.



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

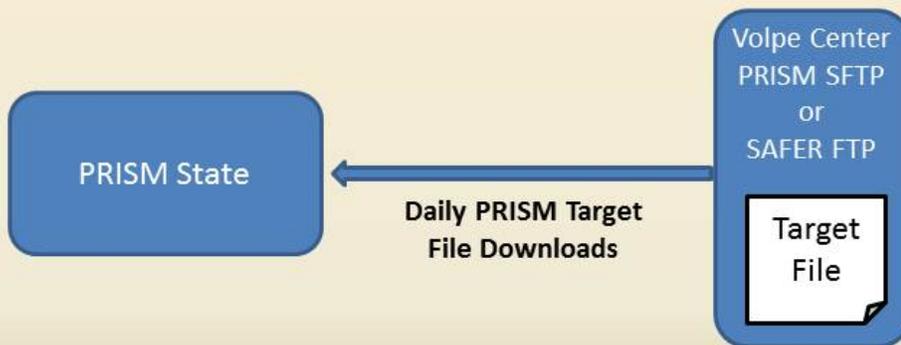
Check Carrier Safety Status

- 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

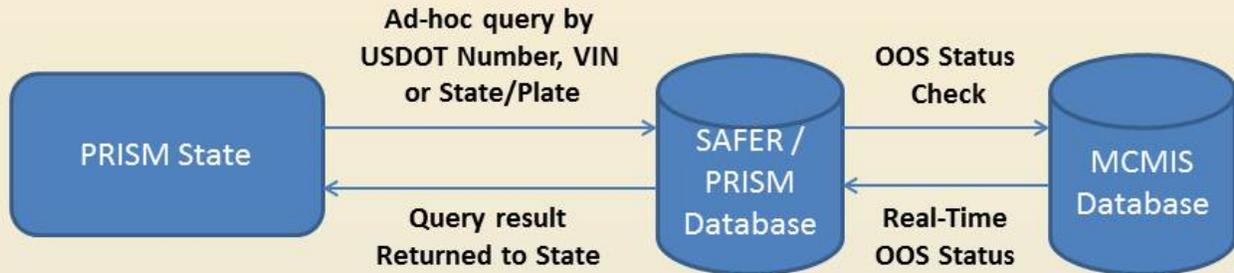
- The PRISM Target File is available in two formats, flat file or XML.
- Daily files are generated Monday thru Saturday at 6:00am EST.
- The XML Files are named T0041P and T0042P and must be used together to obtain all carrier and vehicle records. The naming convention matches with the CVIEW for States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

Update the PRISM Target File 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:

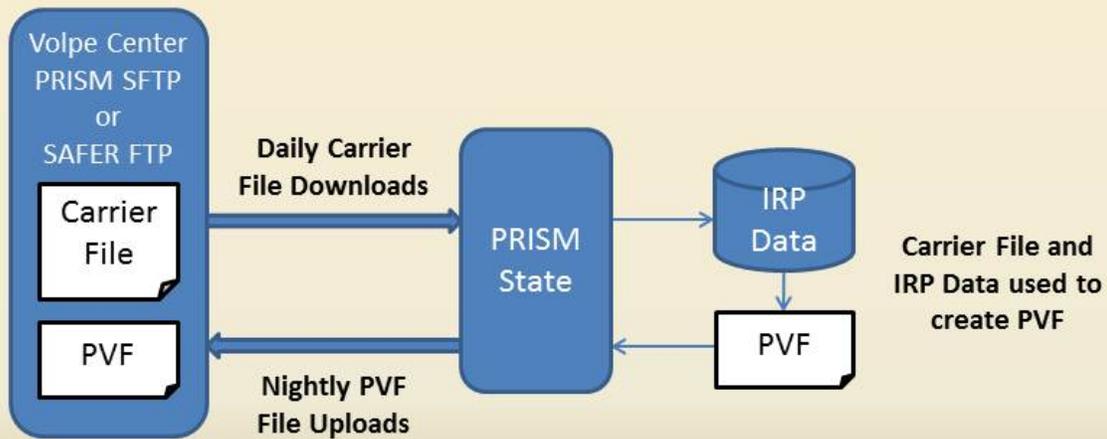
1. PRISM Vehicle File (PVF)
2. CVIEW Database (T0022)

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

Update PRISM Target File

PRISM Vehicle File (PVF)

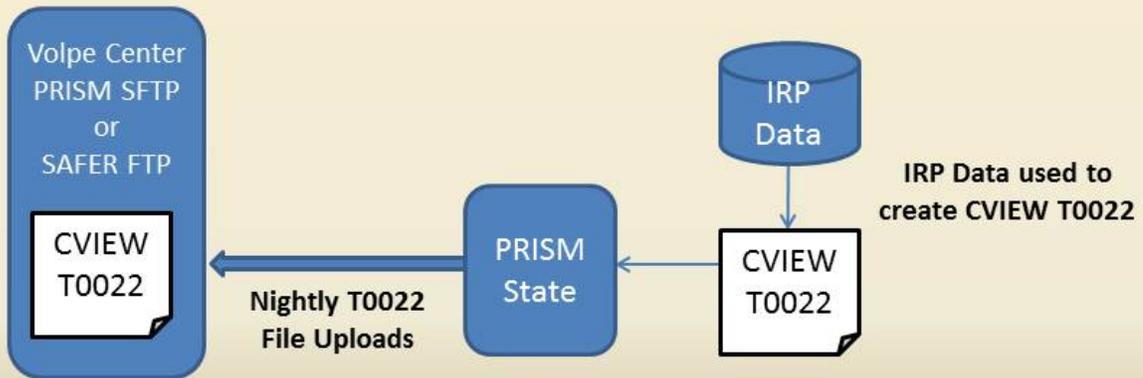
- Carrier File contains a list of FMCSA Out-of-Service and other unsafe carriers “targeted” for registration denial or roadside inspections
- State compares Carrier File to local IRP Data and creates PVF



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
Identify Targeted Vehicles and
give these vehicles Priority for Inspection

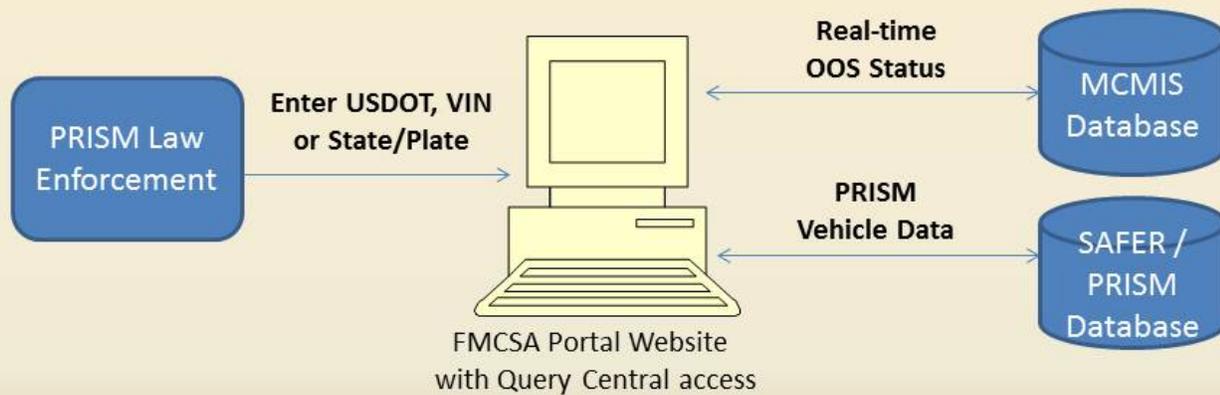
Identify Targeted Vehicles

- 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

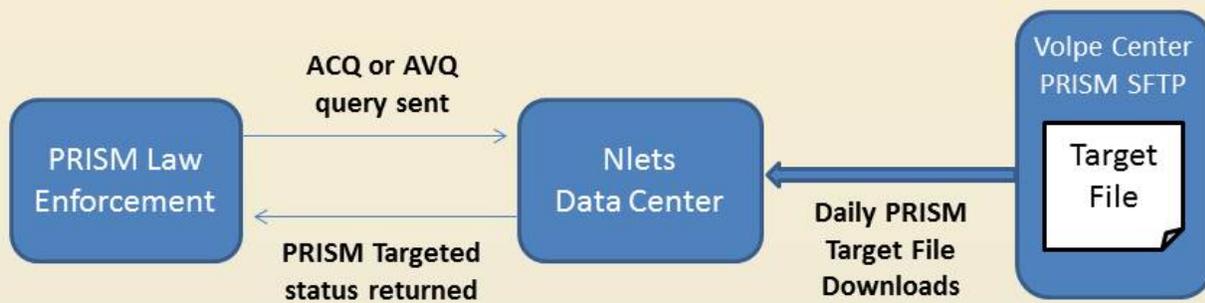
- The Query Central website is available via the FMCSA Portal website
- Real-time OOS Status of each USDOT Number from MCMIS Database
- QC uses the SAFER/PRISM database to display all associated vehicles



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

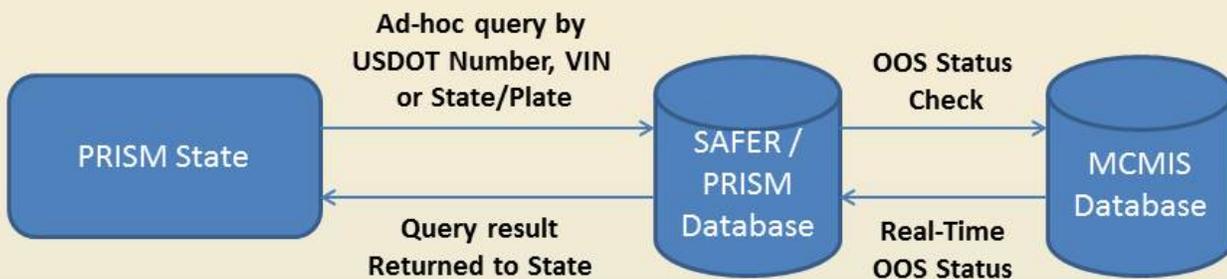
- The PRISM Target File is available in two formats, flat file or XML.
- Daily files are generated Monday thru Saturday at 6:00am EST.
- The XML Files are named T0041P and T0042P and must be used together to obtain all carrier and vehicle records. The naming convention matches with the CVIEW for States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





Appendix B - PRISM Data Flow & Timeliness

PRISM Data Types

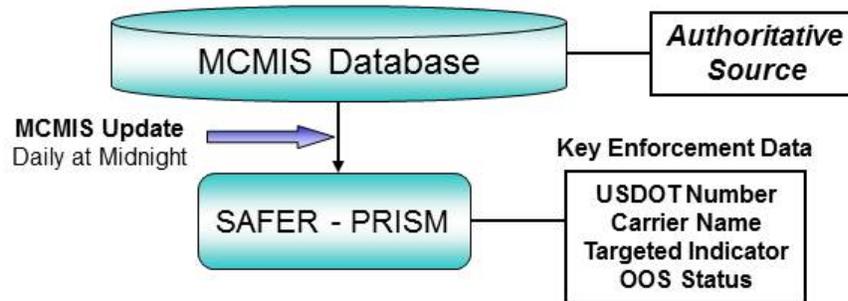
- **Carrier Census Data**
 - Motor Carriers Information
- **Vehicle Registration Data**
 - IRP Vehicle Registration Information

PRISM Carrier Census Data



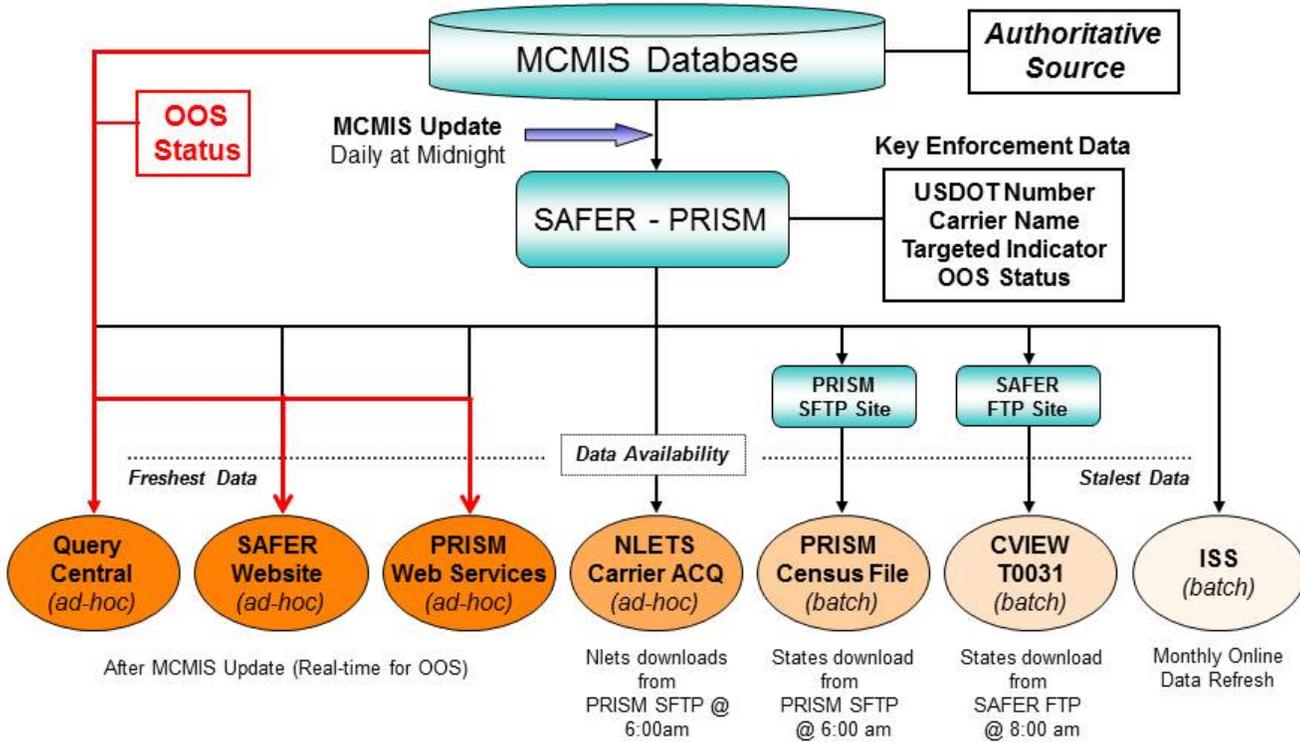
MCMIS – authoritative source of PRISM Carrier
Census Data

PRISM Carrier Census Data



- Data sent from MCMIS to SAFER-PRISM database via nightly MCMIS Updates
- Several different sources to access key data

PRISM Carrier Census Data



Query Central (Carrier)

Freshest Data

Data Availability

Stalest Data



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

Driver **Vehicle** **Carrier**

Search Type:

Search Criteria:

To search for motor carriers, select a search type and enter search criteria.

Press **SEARCH** to submit query

Query Central website can be accessed via FMCSA COMPASS Portal, without the need of VPN or UAS.

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](#)

ALERT: Carrier is currently under a Federal OOS

OOS Date: 07/02/2011	State:	Reason: UNSATISFACTORY = UNFIT	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).

Legal Name:	D&R TRANSPORT INCORPORATED	USDOT#:	1456057
DBA Name:		MC/MX#:	550157
Physical Address:	1055 W 1700S SALT LAKE CITY, UT 84104	Phone#:	(801)619-7010
Country of Domicile:	UNITED STATES	Fax#:	(801)886-6190
Mailing Address:	1055W 1700S SALT LAKE CITY, UT 84104	Status of USDOT #:	ACTIVE
		Entity:	CARRIER

Inspection Value: 94 - INSPECT

Inspection Value is based on Safety data.

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

SAFER Website

Freshest Data

Data Availability

Stalest Data

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)

U.S. Department of Transportation
Federal Motor Carrier Safety Administration
Safety and Fitness Electronic Records (SAFER) System

Company Snapshot

The *Company Snapshot* is a concise electronic record of a company's identification, size, commodity information, and safety record, including the safety rating (if any), a roadside out-of-service inspection summary, and crash information. The *Company Snapshot* is available via an ad-hoc query (one carrier at a time) free of charge.

Search Criteria

Users can search by DOT Number, MC/MX Number or Company Name.

USDOT Number MC/MX Number Name

Enter Value:

SAFER Website

USDOT Number
 MC/MX Number
 Name
 Enter Value: 2039630

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.

Other Information for this Carrier

- ▼ [SMS Results](#)
- ▼ [Licensing & Insurance](#)

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 than 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](#).

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:

10

SAFER Website

 U.S. Department of Transportation
Federal Motor Carrier Safety Administration
Licensing and Insurance Public

 Choose Menu

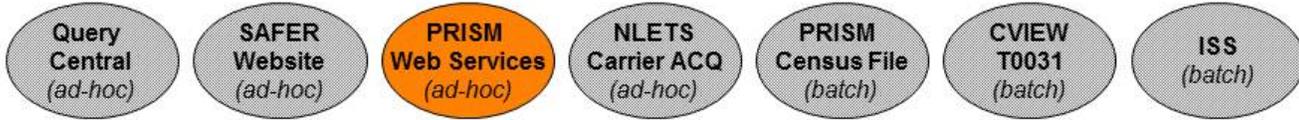
Out Of Service Orders

*A List of Carriers Currently Issued Out of Service Orders by the Federal Motor Carrier Safety Administration.
For further information, please contact the appropriate service center.*

USDOT# MC / MX #	LEGAL NAME DBA NAME	ADDRESS	OOS CATEGORY	OOS DATE	RESCINDED DATE
2039630 715665	CASARIN CARGO TRUCKING LLC	8640 SAN LORENZO LAREDO , TX 78046	Unsatisfactory = Unfit	07-24-2011	

December 15, 2011

PRISM Web Services



PRISM Carrier Inquiry

DOT

In XML Detail Info [PRISM Home](#)

*** Carrier 507290 is under Federal OOSO - Unfit/Unsat**

Carrier

DOT	507290	MCSIP_LEVEL	55
NAME	STAR Z TRUCK LLC		
STREET	7902 ENGLEWOOD		
CITY	YAKIMA		
STATE	WA		
ZIP CODE	98908	MCSIP DATE	20111215

PRISM States receive the XML formatted response and can then display the Carrier's data within their local applications.

NLETS



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

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

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 NLETS
069295

CVIEW T0031



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

CVIEW T0031

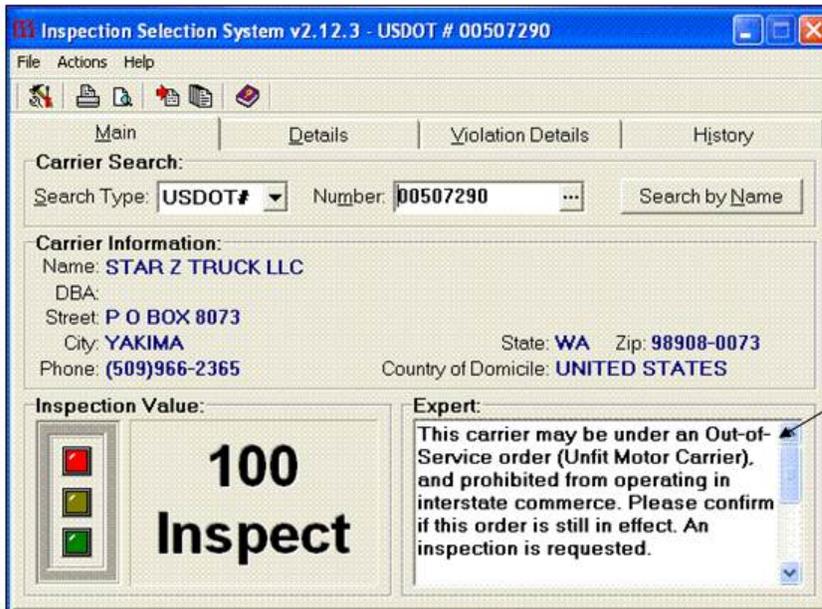
The screenshot displays the 'Motor Carrier Services' web interface. At the top right, there is a logo for 'click DMV nebraska'. Below the header, there are navigation links for 'FAQ', 'Contact', and 'Help'. The main content area shows the following information:

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		

At the bottom of the page, there are four buttons: 'New Search', 'Print', 'Back', and 'Menu'. A red text box with a pointer to the IFTA status field contains the following text:

This is an example screenshot of how Nebraska uses the CVIEW T0031 data in its IRP System.

ISS – Inspection Selection System



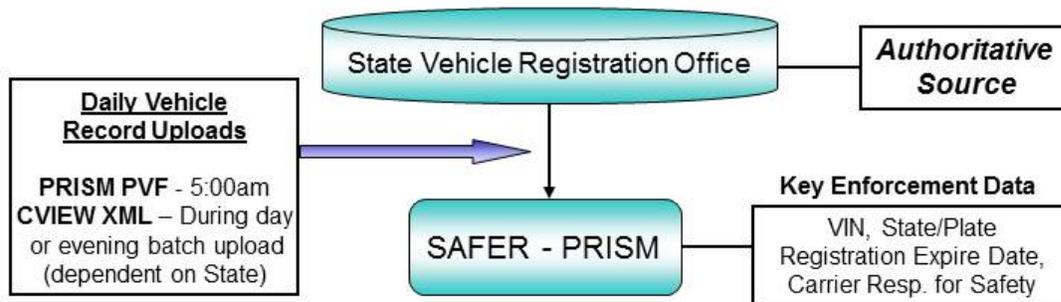
ISS Users still need to confirm with other sources about the status of the OOSO, since the ISS data is not updated in real-time such as QC.

PRISM Vehicle Registration Data



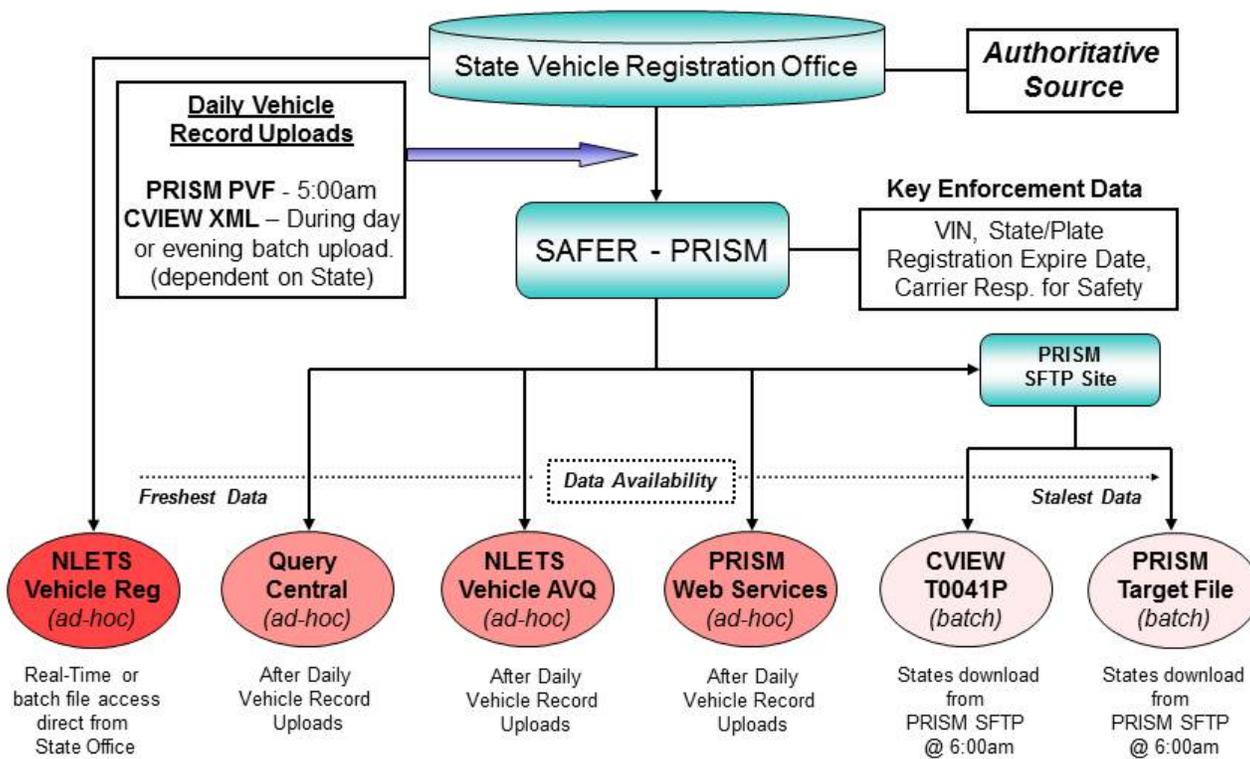
State Vehicle Registration Office - authoritative source of PRISM Vehicle Registration Data

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

PRISM Vehicle Registration Data



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 Logoff F2 Plate F7 Who's On F9 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

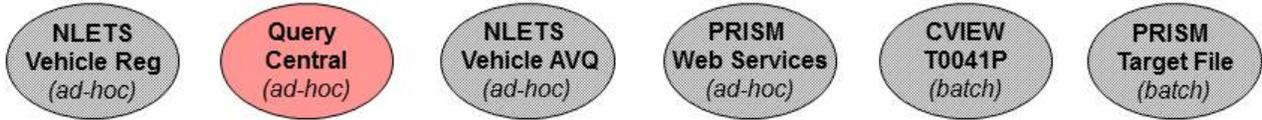
```

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 1FUYYCYB2RH465305 EMPT WGT 014 GW 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

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Query Central (Vehicle)



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

[Driver](#) [Vehicle](#) [Carrier](#) [Help](#) [Home](#)

Navigation **QC**

QUICK SEARCH

Carrier Search:

USDOT#:

Vehicle Search (VIN -or- Plate/State):

VIN#:

Plate: State: << Sele

User
[Preferences](#)
[Feedback](#)

Reference
[About QC](#)
[Help](#)

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Query Central (Vehicle)

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



[Driver](#) [Vehicle](#) [Carrier](#) [Help](#) [Home](#)

[Back to Vehicle Summary](#)

PRISM Vehicle Information For: 5KKHAEAV95PN92440

USDOT#	VIN	Plate#	State	Make	Model Year	Registration Start Date	Registration Expiration Date	Target Indicator	Status
1978464	5KKHAEAV95PN92440	B24462S	WA	WEST	2005	06/02/2011	06/02/2012	Federal OOS	STATE SUSPENSION DUE TO FEDERAL OOS

 **ALERT: This vehicle is also under a State Suspension due to a Federal Out-of-Service Order. Please confirm with State.**

Query Central (Vehicle)



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



[Driver](#) | [Vehicle](#) | [Carrier](#)
[Help](#) | [Home](#)

[Carrier Summary](#) | [Carrier Detail](#) | [Violation History](#) | [7 Past Inspection\(s\)](#) | [PRISM](#) | [Summary Report](#)

ALERT: Carrier is currently under a Federal OOS

OOS Date: 10/05/2011	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).

Legal Name:	TEEPEE CREEK LOGGING	USDOT#:	1978464
DBA Name:		MC/MX#:	
Physical Address:	101 LAKESIDE ROAD GLENWOOD, WA 98619	Phone#:	(509)364-4132
Country of Domicile:	UNITED STATES	Fax#:	(509)364-3727
Mailing Address:	PO BOX 34 GLENWOOD, WA 98619	Status of USDOT #:	ACTIVE
		Entity:	CARRIER

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Query Central (Vehicle)



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



[Driver](#) | [Vehicle](#) | [Carrier](#)

[Help](#) | [Home](#)

[Carrier Summary](#) | [Carrier Detail](#) | [Violation History](#) | [7 Past Inspection\(s\)](#) | [PRISM](#) | [Summary Report](#)

PRISM Information for: TEEPEE CREEK LOGGING

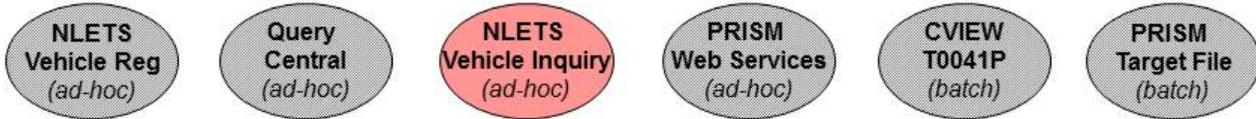
MCSIP Step:	64 -- Federal OOS: New Entrant-Failure of Safety Audit
Tax ID#:	EIN: XXXXXXXXX
MCS-150 Date:	06/07/2011

PRISM Targeted Vehicle Information

VIN	Plate #	State	Make	Model Year	Registration Start Date	Registration Expiration Date	Status
5KKHAEAV95PN92440	B24462S	WA	WEST	2005	06/02/2011	06/02/2012	STATE SUSPENSION DUE TO FEDERAL OOS
1NKDGGGG70R052468	A92475P	WA	KENW	2004	05/13/2011	05/13/2012	STATE SUSPENSION DUE TO FEDERAL OOS
1NKWLB9X74R063643	B69773N	WA	KENW	2004	03/03/2011	03/03/2012	STATE SUSPENSION DUE TO FEDERAL OOS
1XP5DB9X4PD337679	B17361R	WA	PTRB	1993	12/08/2010	12/08/2011	STATE SUSPENSION DUE TO FEDERAL OOS

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NLETS Vehicle Target Status



MSG FROM NLETS 3639
AVR.AVLIC0000. TO:DESTIA07710B5
*MRI0055497.
TXT

PRISMAVR (Vehicle) NLETS responses include messages for OOSO, and also provide the reason.

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.

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PRISM Web Services

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)

PRISM Targeted Vehicle Inquiry

USDOT # In XML [PRISM Home](#)

VIN #

Plate State

Target Vehicles

```
<T0041P>
<INTERFACE>
  <NAME>PRISM</NAME>
  <VERSION>4.1</VERSION>
</INTERFACE>
<TRANSACTION>
  <VERSION>01.01</VERSION>
  <OPERATION>Query by VIN</OPERATION>
  <DATE_TIME>2009-02-13T15:05:44</DATE_TIME>
  <TZ>ED</TZ>
</TRANSACTION>
<PRISM_TARGETED_VEHICLE num=1>
  <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>2009-02-13</LAST_CENSUS_UPDATE_DATE>
  <CVISN_LAST_UPDATE_DATE>2008-11-06</CVISN_LAST_UPDATE_DATE>
</PRISM_TARGETED_VEHICLE>
</T0041P>
```

Web Services uses XML data to transfer query responses to the State

PRISM Web Services

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)

PRISM Targeted Vehicle Inquiry

USDOT # In XML

VIN #

Plate State

*** VIN 1FV9YCY93HP309134 is under Federal OOSO - Unfit/Unsat**

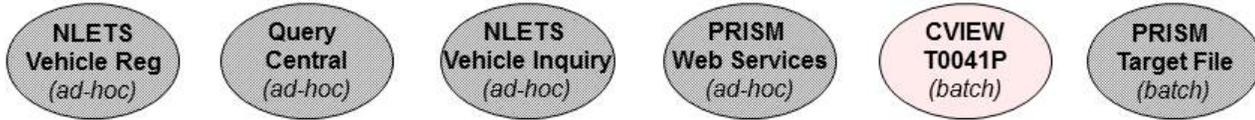
Target Vehicles

S/NO	VIN	STATE	LICENSE	MCSIP_STEP	MAKE	MODEL_YEAR
1	1FV9YCY93HP309134	UT	152708	55	FRHT	1987

START_DATE	EXPIRE_DATE
2008-11-06	2009-06-30

XML responses can be displayed within State systems.

CVIEW T0041P



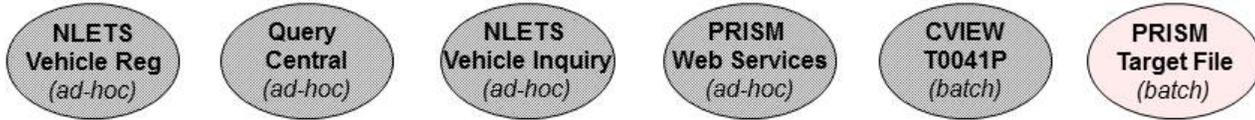
Name	Ext	Size	Changed
..			9/28/2010 2:35:49 PM
T0041P_20111215.zip		2,151,126	12/15/2011 3:59:56 AM

**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**

PRISM Target File



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

**States download daily
Target File from the
PRISM SFTP Server**

```

TC1068599A & N TRUCKING CO INC
TV10685991HSRDMZR2RH5534536705AR NH2007030120080229INTL1994
TV10685991FUYSDBZB21LG22443ICIC76S1 GA2005093020071031FRHT2001
TC1067142CALIBER OILFIELD SERVICE INC
TV10671421GDM7D1C43F516422Z001108 UT2008110620090630GMC 2003
TV10671421GDE5E3226F418479155238 UT2008110620090630GMC 2006
TV10671421FV9YCY93HP309134152708 UT2008110620090630FRHT1987
TV10671421FUPFXB2TP692794152707 UT2008110620090630FRHT1996
TV10671421FUYYDCYB1XDF38137152706 UT2008110620090630FRHT1999
TV10671421FUYYDCYBXXDF38136150024 UT2008110620090630FRHT1999
TV10671421FUYYFSYBXXMH505546Z003687 UT2008110620090630FRHT1991
TV10671421FUYYFSYB6MH505558150022 UT2008110620090630FRHT1991
    
```

**Flat File
Data Format**

PRISM Target File

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)

 **Motor Carrier Services** [FAQ](#) [Contact](#) [Help](#)

IRP Registrant GRUMPY'S TRUCKING **US DOT Number** 42682
Plate Number 101170 **Plate Year** 2007 **Jurisdiction** Nebraska
Plate Type Apportioned Power Unit
VIN 1XP5D69X1YN518516 **Make** PTRB
Vehicle Year 2000 **Unit Type** Truck
Issue Date 09/10/2007 **Expiration Date** 12/31/2007 **Enforcement Date** 02/01/2008
Nebraska Weight 80,000 **Unit Status** 09/10/2007 Active

IRP Status 01/01/2007 Active **IFTA Status** 12/20/2007 Not Available
09/07/2007 Federal Out of Service

Motor Carrier Grumpy Trucking **US DOT Number** 42682
US DOT Number Status Active Carrier **Jurisdiction** Nebraska
MC Authority Number Status
ISS-2

IFTA Status
07/30/2007 Federal Out of Service

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*Example screenshot
of Nebraska's IRP
System with PRISM
Target File data*

Appendix C - Elimination of Registrant-Only USDOT Numbers

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.

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.

FMCSA Changes - 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.

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.

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.

FMCSA 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.

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.

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.

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.

IRP Changes - 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. DO NOT POPULATE 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.

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.

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.

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.)

CVIEW Upload Changes

T0020

In the T0020, the Account Number (IRP_ACCOUNT_NUMBER) is a mandatory field. This is NOT 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. DO NOT POPULATE 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).

T0022

In the T0022, the IRP_ACCOUNT_NUMBER is a mandatory field. This is NOT 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. DO NOT POPULATE 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.)