

# PRISM

## IRP Registration Staff Training Workbook



# PRISM IRP Registration Staff Training Workbook

*This workbook is to be used as a learning tool in conjunction with a PRISM State training opportunity, and subsequently as a resource for any questions you may have regarding the 12 PRISM Requirements.*

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# What is PRISM?

The Performance and Registration Information Systems Management (PRISM) program is a key component to Federal Motor Carrier Safety Administration's (FMCSA's) decision to reduce the number of commercial motor vehicle crashes, injuries and fatalities in a rapidly expanding interstate motor carrier population.

The PRISM program provides States a safety mechanism to identify and immobilize motor carriers with serious safety deficiencies and hold them accountable through registration and law enforcement sanctions. FMCSA defines a "motor carrier with serious safety deficiencies" within the scope of PRISM, as a motor carrier that's prohibited from operating by FMCSA through the issuance of a Federal Out-of-Service (OOS) Order. The PRISM program requires motor carriers to correct their safety deficiencies to continue operating or face progressively stringent sanctions. States that fully participate in the PRISM program have an observable reduction in crashes and fatalities compared to States that don't.

## History

PRISM originated as a pilot program mandated by Congress in the Intermodal Surface Transportation Efficiency Act of 1991. The pilot demonstrated that State commercial vehicle registration sanctions is a powerful enforcement tool in Federal and State motor carrier safety improvement efforts. Congress authorized funding through the Transportation Equity Act for the 21st Century (TEA-21), P.L. 105-178 (1998) to expand PRISM nationally. The Safe Accountable Flexible and Efficient Transportation Equity Act: A Legacy of Users (SAFETEA-LU), P.L. 109-59 (2005) established statutory requirements for States to participate in PRISM and added a PRISM grant program. The Moving Ahead for Progress in the 21st Century Act (MAP-21), P.L. 112-141 (2012) further authorized PRISM funding for fiscal years 2013-2014.

In December 2015, Section 5101 of the Fixing America's Surface Transportation (FAST) Act made participation in the PRISM program a requirement of the Motor Carrier Safety Assistance Program (MCSAP). Congress required that MCSAP grant recipients must "fully participate" in PRISM, or demonstrate participation in an FMCSA-approved acceptable "alternative approach for identifying and immobilizing a motor carrier with serious safety deficiencies in a manner that provides an equivalent level of safety," no later than October 1, 2020. The FAST Act also consolidated multiple separate grant programs, including PRISM, under the MCSAP and High Priority (HP) grant programs.

## Effectiveness

An Effectiveness Evaluation Report released in February 2016 by the FMCSA Strategic Planning and Program Evaluation Division determined that between 2008 and 2013, States that fully participate in PRISM compared to non-fully participating States have:

- 20.4% observable reduction in all CMV crashes
- 9.8% observable reduction in fatalities involving all CMV crashes
- 6.9% reduction in State registered CMVs being placed OOS roadside for operating while under a Federal OOS

In terms of lives saved, vehicles registered in States that fully participate in PRISM compared to non-fully participating States experienced the equivalent of **777 lives saved between 2008 and 2013**. These results equate to **130 lives saved each year**.

The effectiveness evaluation also determined a “significant” number of potential lives could be saved if:

1. All States fully participate in PRISM
2. All States performed the registration requirements of PRISM, and
3. If States expand their PRISM program to include non-IRP or vehicles between 10,001 to 26,000 lbs. regulated by FMCSA



## PRISM Requirement 1

*“Has the legislative or administrative authority to suspend or revoke, and deny vehicle registration of a motor carrier responsible for safety and its vehicles when the motor carrier is prohibited from operating by FMCSA.”*

### Key Points:

- Ensure legislation is in place to **deny** registration to OOS Carriers.
- Ensure legislation in place to **suspend** registrations of OOS Carriers.

### Why It’s Important:

- Provides the legal authority to deny or suspend carrier registrations based on safety fitness.
- This is the ground upon which many of the other PRISM requirements stand.

#### DENY

The department or its agent shall **refuse to issue a registration**, license plate, permit, or a certificate of title or to transfer any title on a vehicle licensed under chapter ( ) that has been **assigned to a commercial motor carrier who has been prohibited from operating by the Federal Motor Carrier Safety Administration**.

#### SUSPEND / REVOKE

The department or its agent **may suspend, revoke, or remove the registration, plate, or any permit issued to any vehicle assigned to a commercial motor carrier who has been prohibited from operating by the Federal Motor Carrier Safety Administration**.

*Figure 1: Example Legislation*



## PRISM Requirement 2

*“Collects and validates the USDOT Number and Tax Identification Number of the motor carrier responsible for safety before issuing new or renewing CMV registration(s) by checking them against the PRISM Census File, MCMIS, or by an FMCSA-approved alternative process.”*

### Key Points:

- Before issuing a new CMV registration or renewing an existing CMV registration:
  1. Collect the **USDOT Number** of the Motor Carrier Responsible for Safety (**MCRS**).
  2. Collect the Tax Identification Number (**TIN**).
  3. **Validate** both by checking them against the PRISM Census File, MCMIS, or by an FMCSA-approved alternative process.

### Why It's Important:

- Registration is the **initial point of contact** in the PRISM process.
- You are **establishing the link** between every vehicle registered in IRP and entity that will be responsible for its safe operation during the registration year.
- You are also ensuring the registrant is **authorized** to operate under that USDOT Number.
- Together, we're bringing safety down to the vehicle level.

## 2.1 Collection

### Collect the USDOT Number

Collect the USDOT Number of the Motor Carrier Responsible for Safety (**MCRS**). This can be different from the IRP account holder if there is a lease.

### Collect the TIN

All motor carriers must provide a TIN when completing an IRP application. The TIN is used for USDOT Number validation.

A TIN may be the motor carrier's:

- Federal Employer Identification Number (FEIN)
- Social Security Number (SSN)

**Note:** The IRP Office should capture the FEIN if available; only use the SSN in cases where the company does not have a FEIN.

### Is the MCRS Expected to Change?

A Yes/No question on the IRP Application will ask if the MCRS of the vehicle is expected to change during the year.

NO	YES
<ul style="list-style-type: none"> <li>• The MCRS <b>is not</b> expected to change</li> <li>• The cab card will display the carrier's USDOT Number, name, and address</li> <li>• MCRS data will be barcoded into the cab card</li> </ul>	<ul style="list-style-type: none"> <li>• The MCRS <b>is</b> expected to change</li> <li>• Cab Card will include the following message: <i>"Motor Carrier is expected to change during the registration period"</i></li> <li>• The barcode will only include information for registrant, not the MCRS</li> </ul>

## 2.2 Data Sources

There are three data sources that States can use to validate USDOT Number and TIN:

1. PRISM Web Services – Real-time carrier and vehicle data.
2. PRISM Census File – Daily file of all carrier data within MCMIS.
3. ITD / CVIEW T0031 – Daily file of all carrier data within MCMIS.

PRISM Web Services connects directly to the MCMIS database to provide real-time information on the USDOT Number. Web Services can be queried one USDOT Number at a time.

Both the PRISM Census File and the T0031 File are “Transactional” data files that start with a Baseline File of all USDOT Numbers in MCMIS (more than 2.9 million) and apply daily updates (about 3,000-5,000 per day). They identify new USDOT Numbers added in MCMIS, as well as changes to existing USDOT Number information.

The PRISM Census File is developed and distributed by FMCSA's PRISM program. The T0031 File is developed and distributed by FMCSA's ITD program. For the States that use the PRISM Census File, a daily email is sent out by the PRISM support group to ensure that the State's validation database is up to date.

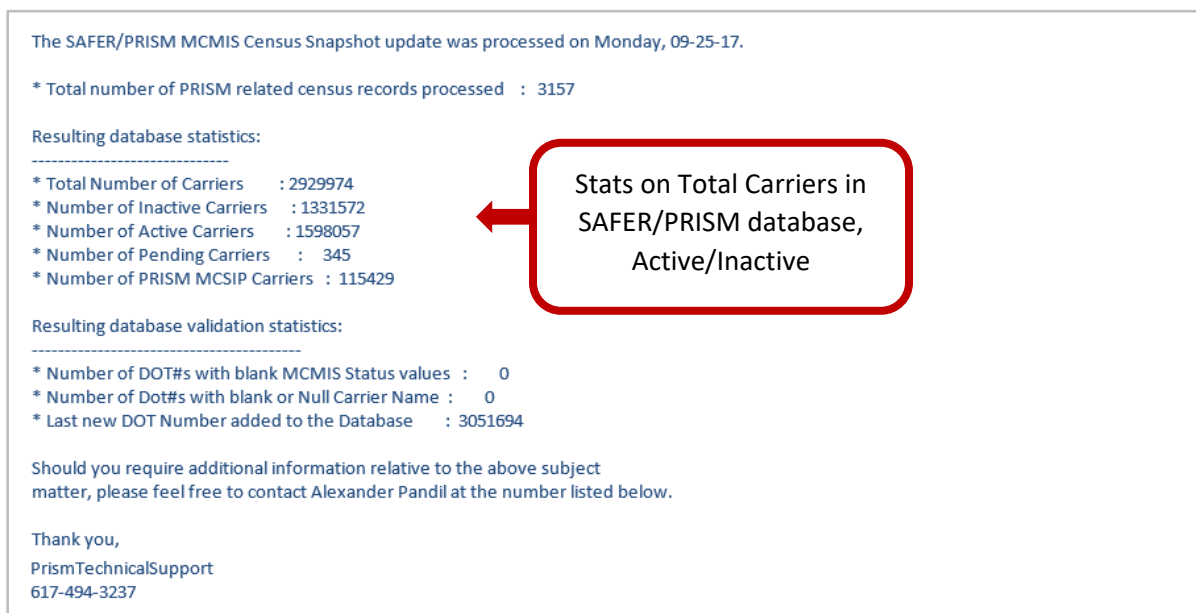


Figure 2: PRISM Census File, Daily Email Statistics

## 2.3 Validation Checks

DOT Number validation is done to ensure the **number has been issued** and to **prevent fraudulent recording** of a USDOT Number on a registration application. The TIN is used for this verification of the USDOT Number to ensure the carrier is legitimate. Validation check must also identify **inactive carriers**, **intrastate carriers**, and **invalid entity types**.

### TIN

- In some cases, you may find that the USDOT Number and TIN do not match. A generic example of this error message is pictured on the right. Note that this error message clearly identifies the USDOT Number entered, the TIN entered, and the TIN found to be associated with that USDOT Number in MCMIS.

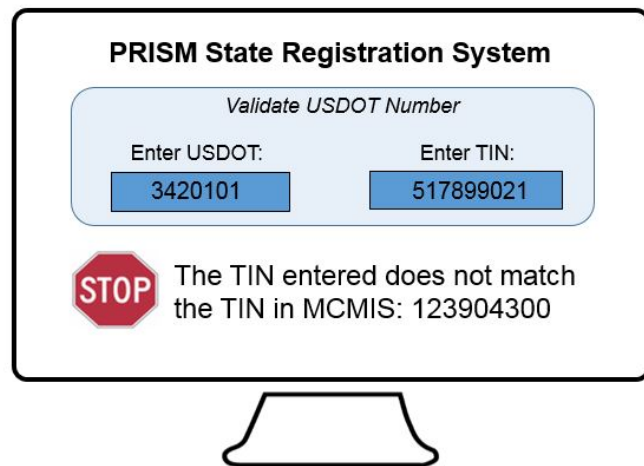
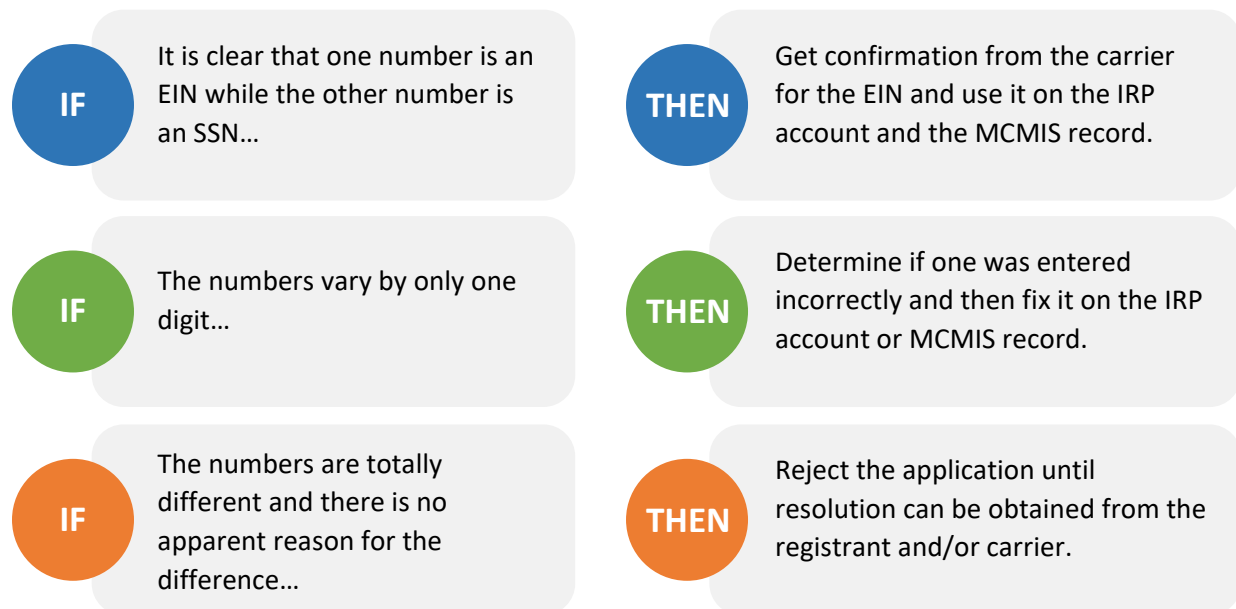


Figure 3: TIN Non-Match Error Message Example

- Things to consider when the USDOT Number and TIN do not match:



### Inactive Carrier

- Within PRISM Census File you will find the field for “MCMIS Status.” The entry for this field will be one of three options:



- The validation of the USDOT Number may return a message indicating the USDOT Number is on MCMIS but has **Inactive** status. A generic example of this error message is pictured on the right.
- In this case, the carrier must contact local FMCSA Division Office to re-activate USDOT Number. A carrier can set their own USDOT Number to Inactive, but cannot “Activate” their own USDOT Number.

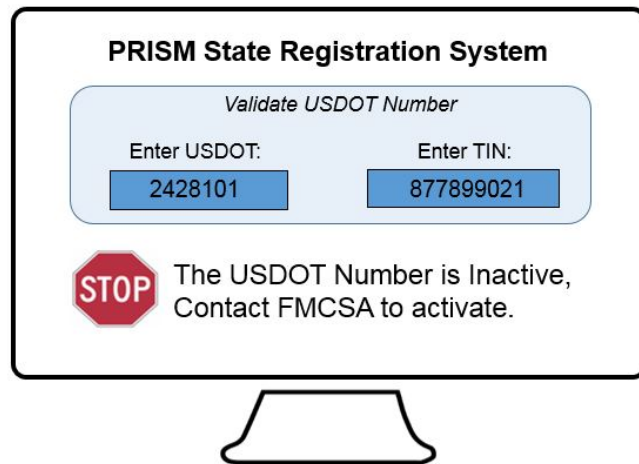


Figure 4: Inactive Carrier Error Message Example

### Intrastate Carrier

- Validation of the USDOT Number may return a message indicating the USDOT Number is an intrastate number only. A generic example of this error message is pictured on the right.
- In this case, reject the application. The carrier must change the Operation type in MCMIS to Interstate before obtaining an IRP registration.

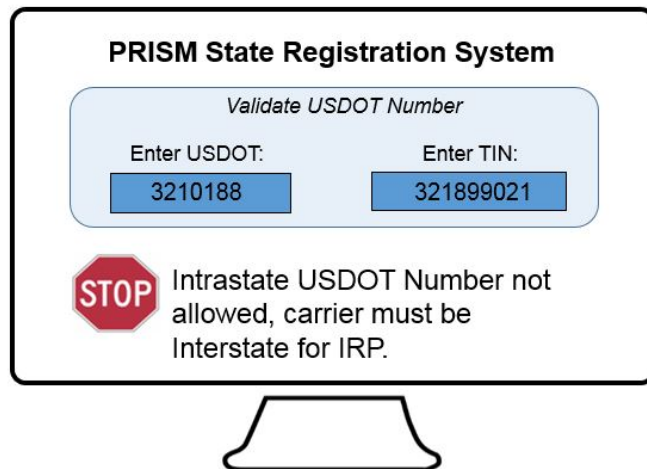


Figure 5: Intrastate Carrier Error Message Example



## Entity Type

- A key field of the PRISM Census File is the Entity Type.
  - **Valid** entity types for IRP registration are:



Carrier



Both Carrier/Shipper

- **Invalid** entity types for IRP registration are:



Shipper



Intermodal Equipment Provider (IEP)



Broker



Registrant-Only

- A generic example of the error message for invalid entity types is pictured on the right.

The screenshot shows a web interface for the PRISM State Registration System. At the top, it says "PRISM State Registration System". Below that is a section titled "Validate USDOT Number". Inside this section, there are two input fields: "Enter USDOT:" with the value "3420161" and "Enter TIN:" with the value "717899021". Below the input fields, there is a red octagonal "STOP" sign icon followed by the text: "Shipper-Only entity type not allowed, USDOT Number must be a Carrier."

Figure 6: Invalid Entity Type Error Message Example



## PRISM Requirement 3

*“Checks a motor carrier’s safety status against the PRISM Target File, MCMIS or an FMCSA-approved alternative process before issuing new or renewing registrations, and denies registration(s) if the motor carrier responsible for safety is under any Federal OOS order or possesses an inactive or deactivate USDOT number due to the biennial update not being completed when required.”*

### Key Points:

- Before issuing a new CMV registration or renewing an existing CMV registration:
  - Check a motor carrier’s safety status against the **PRISM Target File**, MCMIS, or an FMCSA-approved alternative process.
- Deny registration(s) if the MCRS:
  - Is under any **Federal OOS order**.
  - Possesses an **inactive or deactivated USDOT number** due to the biennial update not being completed when required.

### Why It’s Important:

- When FMCSA has issued a Federal OOS order, the carrier in question has been identified as posing serious safety risks.
- Denying IRP registration to carriers that are under a Federal OOS order helps keep unsafe carriers off the road. This action is a critical part of PRISM.
- It is also important to deny registration to carriers that have inactive USDOT numbers, as their roadside safety performance is no longer measured.

### 3.1 Data Sources

There are five data sources that States can use to identify OOS orders and inactive/deactive carriers:

1. PRISM Web Services – Real-time carrier and vehicle data.
2. PRISM Target File – Daily file of targeted carrier and vehicle data.
3. PRISM Carrier File – Daily file of targeted carrier data only.
4. PRISM Census File – Daily file of all carrier data within MCMIS.
5. ITD / CVIEW T0031 – Daily file of all carrier data within MCMIS.

For more technical information on these data sources, see the **PRISM System Specifications Document** on the FMCSA PRISM website, in the Documents Library: <https://www.fmcsa.dot.gov/information-systems/prism/prism-document-library>

## 3.2 Checking for MCSIP Step Values

The Motor Carrier Safety Improvement Process (**MCSIP**) Step of the MCRS must be checked prior to processing and issuing credentials. MCSIP Step values will determine whether a carrier is targeted or not targeted.

Not Targeted	Targeted
<ul style="list-style-type: none"> <li>•<b>00</b> or <b>NULL</b></li> <li>•<b>03, 07, 22</b> – Old SafeStat Steps</li> <li>•<b>99</b> – Out of Business</li> </ul>	<ul style="list-style-type: none"> <li>•<b>52</b> – Biennial Update not Completed</li> <li>•<b>53 thru 68</b> – Federal Out-of-Service orders and Intrastate OOS</li> </ul>

The primary Steps corresponding to carriers that should be targeted for registration denial are detailed below. The full MCSIP chart is available on the FMCSA PRISM website, in the Documents Library:

<https://www.fmcsa.dot.gov/information-systems/prism/prism-document-library>

MCSIP Step Number	Deny Registration	Step Description
52	Yes	Biennial Update not Completed
53	Yes	OOSO – Denial of Access
54	Yes	OOSO – Imminent Hazard
55	Yes	OOSO – Unsat/Unfit Motor Carrier
57	Yes	OOSO – Failure to Pay Fine for Safety Violation
58	Yes	OOSO – New Entrant Revoked for Expedited Actions
63	Yes	OOSO – New Entrant Revoked for Refusal of Audit/No Contact
64	Yes	OOSO – New Entrant Revoked for Failure of Safety Audit

MCSIP Steps are integrated into registration systems for each State. Different States have different ways of displaying error messages when a targeted carrier is identified. A generic example of the error message for invalid entity types is pictured below. Note that this error message clearly identifies the reason for the Federal OOS order and the MCSIP Step.

Figure 7: OOS Carrier Error Message Example



## PRISM Requirement 4

*“On a recurring basis, checks the safety status of motor carriers registered in the State against the PRISM Target File, MCMIS, or by an FMCSA-approved alternative process, and suspends or revokes the existing registration(s) if the motor carrier responsible for safety is under any Federal OOS order.”*

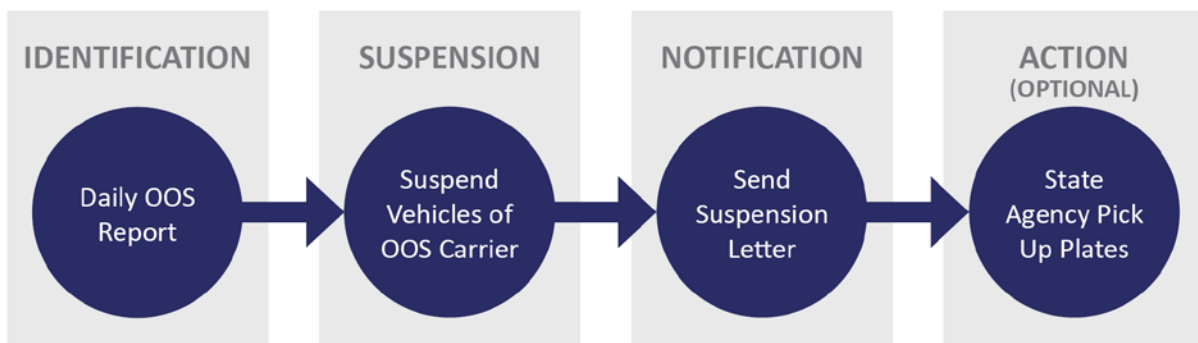
### Key Points:

- On a recurring basis:
  - Check a motor carrier’s **safety status** against the PRISM Target Files, MCMIS, or an FMCSA-approved alternative process.
- Suspend or revoke registration(s) if the MCRS:
  - Is under any **Federal OOS order**.

### Why It’s Important:

- When FMCSA has issued a Federal OOS order, the carrier in question has been identified as posing serious safety risks.
- Suspending or revoking the registration of carriers that are under a Federal OOS order holds unsafe carriers accountable for their actions and keeps our roads safer.

### Generic PRISM State Suspension Process



### 4.1 Identification

#### Daily OOS Report

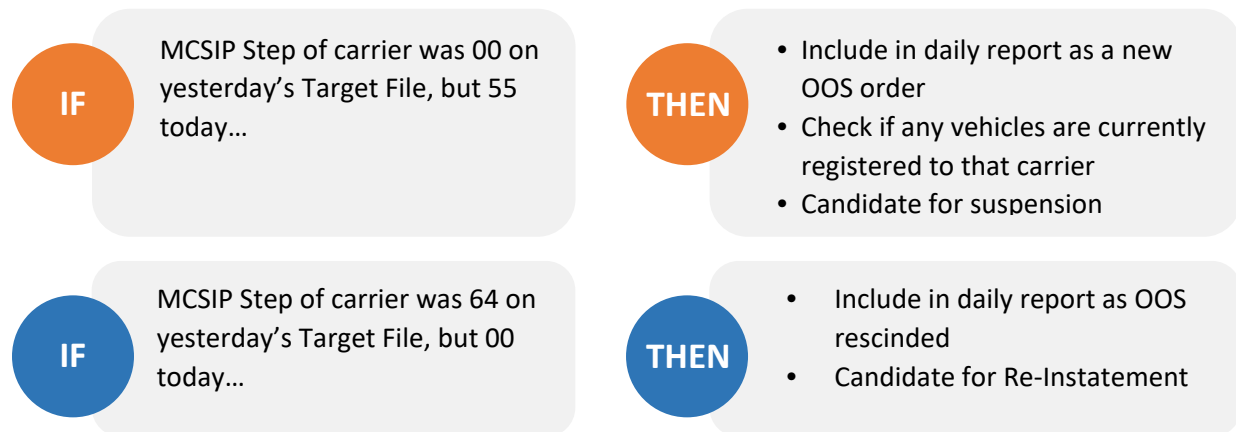
The daily OOS report compares the PRISM Target File from yesterday to the PRISM Target File from today to identify:

- Any new OOS carriers in the State.
- Any carriers that had an OOS order rescinded.

These carriers can be identified by looking at the **MCSIP Step changes** from day to day.

### ***Compile the Report***

When compiling the report, remember to create two separate sections — one section for new OOS orders, and one section for OOS orders that have been rescinded.



### ***Deliver the Report***

The daily OOS report should be delivered to the Registration Office manager via a printed report or fax, email, or correspondence section of IRP system.

## **4.2 Suspension**

If a carrier is identified in the daily OOS report, the next step is to suspend the vehicles of that OOS carrier. There are a few places that you should indicate that the vehicle has been suspended:

1. Mark the vehicle as suspended in your State's IRP system.
2. Set IRP vehicle status code to 950 and send updated record to SAFER-PRISM.
3. Make the suspension available to law enforcement and NLETS query.

See Requirement 11 for more information.

## **4.3 Notification**

The IRP office will send a suspension letter to the carrier notifying them of the suspension. The suspension letter should:

- Identify that the vehicle is being suspended because of a Federal OOS Order.
- Identify the period of time for the suspension (until OOS order has been rescinded).
- Instruct the carrier to return their license plates.



JESSE WHITE  
SECRETARY OF STATE

OFFICE OF THE SECRETARY OF STATE

VEHICLE SERVICES DEPARTMENT  
COMMERCIAL & FARM TRUCK DIVISION  
501 S. SECOND ST.  
R.M. 300 HOWLETT BUILDING  
SPRINGFIELD, ILLINOIS 62756

SEPTEMBER 12, 2017

KYRGYZ TRANS INC  
6133 N KENMORE AVE APT 601  
CHICAGO IL 60625

USDOT #: **2899503** KYRGYZ TRANS INC

To Whom it May Concern:

Pursuant to the Illinois Vehicle Code (625 ILCS 5/3-704(b)3)), the Illinois Secretary of State, Vehicle Services Department, Commercial & Farm Truck Division is revoking the registrations of all motor vehicles operating under the above noted USDOT Number in Illinois as of the date above.

This action is being taken due to the following Order by the Federal Motor Carrier Safety Administration:

Out of Service Order Received

The revocation for those vehicles shall remain in effect until the Federal Motor Carrier Safety Administration's Operations Out-Of-Service Order or Unsatisfactory/Unfit Order has been rescinded.

In accordance with the Illinois Vehicle Code (625 ILCS 5/3-706), you are instructed to immediately surrender to the Secretary of State all registration cards and license plates within 24 hours after receipt of this notice to the following address:

Illinois Secretary of State  
Vehicle Services Department  
Commercial & Farm Truck Division  
Attn: S/R Processing  
501 S 2nd St., Room 300 Howlett Building  
Springfield, Illinois 62756

If the registration and plates are not returned within three (3) days, the Department shall notify the Illinois Secretary of State Police for confiscation of all registrations. Continuing to operate under this Order shall result in roadside enforcement, up to and including impoundment of your vehicles.

Questions regarding the Order must be directed to the Federal Motor Carrier Safety Administration. Questions regarding the disposition of the license plates and registration cards may be directed to the Commercial & Farm Truck Division, Vehicle Services Department at 217-785-1800

Sincerely,

Ernie Dannenberger, Director  
Vehicle Services Department

Figure 8: Example Suspension Letter

#### 4.4 Action (Optional)

In some States, suspended carriers under a Federal OOS Order must return their license plates to the State. Additionally, law enforcement personnel will retrieve plates at roadside if identified.



## PRISM Requirement 5

*“Uploads when available the USDOT number of the motor carrier responsible for safety, vehicle identification number(s), license plate number(s) and dates of registration for vehicle(s) operated by a motor carrier that is under any Federal OOS order to the SAFER database.”*

### Key Points:

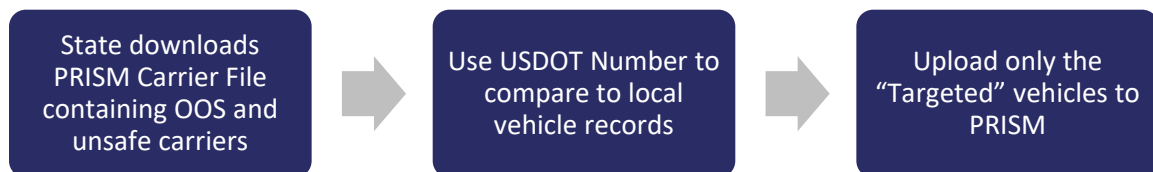
- Key vehicle information for a motor carrier that is under an OOS order that should be uploaded to SAFER includes:
  - USDOT Number of the MCRS
  - VIN(s)
  - License plate number(s)
  - Date of registration for vehicle(s)
  - IRP status code

### Why It's Important:

- A core component of the PRISM program is for the State to share the IRP vehicle registration data with FMCSA. This is how the PRISM Target File is built, which contains all carriers and vehicles under a Federal OOS.

There are two ways that States can upload this information:

#### 1. Using the **PRISM Vehicle File (PVF)**



#### 2. Using the **CVIEW T0022 Upload Transaction**





## PRISM Requirement 6

*“Reports the number of suspensions or revocations and registration denials to FMCSA as part of the required MCSAP quarterly performance reports.”*

### Key Points:

- Registration office must report the following to FMCSA quarterly:
  - Suspensions or revocations (for carriers and vehicles)
  - Denials (for carriers)

### Why It's Important:

- Collecting information on the total number of carriers and vehicles suspended by PRISM States is a performance metric that is critical to demonstrating compliance in the PRISM program. The quarterly report data collected is used for PRISM program effectiveness evaluations.

**PRISM Implementation Status  
Quarterly Report  
Denials and Suspensions/Revocations**

Dates of FY Quarter being reported:  through

Reporting Date:

State Reporting:

PRISM Participation Level:

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)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Unsat/Unfit (Step 55 & 61)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Non-Payment of Fines (Step 57 & 62)	<input type="text"/>	<input type="text"/>	<input type="text"/>
New Entrant Revocations (Step 56 & 58 & 63 & 64 & 67 & 68)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Operating Without Authority (Step 65 & 66)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Denial of Access (Step 53)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Biennial Update Not Completed (Step 52)	<input type="text"/>	<input type="text"/>	<input type="text"/>

\*This includes denials when the registrant was deemed a reincarnation/affiliation of a motor carrier under a Federal out-of-service order.

The quarterly report form can be found online at:

<https://www.fmcsa.dot.gov/information-systems/prism/prism-quarterly-report-form>

The completed report should be sent to the FMCSA Division Office, PRISM Program Manager at FMCSA Headquarters, and PRISM Technical Support on a quarterly basis.

Figure 9: PRISM Implementation Status Quarterly Report, Denials and Suspensions/Revocations







## PRISM Requirement 7

*“Has the legislative or administrative authority to deny vehicle registration of a motor carrier responsible for safety and its vehicles when the motor carrier is attempting to avoid FMCSA enforcement sanctions by obtaining a new DOT number and/or company name.”*

### Key Points:

- Ensure legislation is in place to deny registration to **reincarnated carriers**.

### Why It's Important:

- Provides the legal authority to withhold registration from carriers that have demonstrated unsafe behaviors and are attempting to circumvent a Federal OOS order by registering with alternate information.

#### **DENY REINCARNATED/AFFILIATED CARRIERS**

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.

*Figure 10: Example Legislation*



## PRISM Requirement 8

*“Checks every Vehicle Identification Number (VIN) against the PRISM Target File or by an FMCSA-approved alternative process before issuing new or renewing registration to verify if the vehicle is registered or was previously registered to a motor carrier under a Federal OOS order.”*

### Key Points:

- Before issuing a new CMV registration or renewing an existing CMV registration:
  - Check the vehicle identification number (**VIN**) against the PRISM Target File.
  - **Verify** if the vehicle is registered or was previously registered to a motor carrier under an OOS order.

### Why It's Important:

- Checking the VIN against the PRISM Target File can identify a potential reincarnated/affiliated carrier.
- It alerts the IRP clerk that the previous registration of this vehicle was affiliated to an OOS carrier and requires further investigation.

- 1 For the generic example pictured below, the carrier provided the USDOT Number **3201212** and the VIN.
- 2 Check the VIN against the PRISM Target File to see if that vehicle is associated with any OOS USDOT Number. The VIN may be **associated with a different OOS USDOT Number** than what the registrant is providing.
- 3 In this example, the USDOT Number that the PRISM Target File associated with the vehicle is **2101313**. Note that the error message at the bottom identifies that this USDOT Number is for an OOS carrier.

**PRISM CMV REGISTRATION – VIN CHECK**

Enter Carrier Name: Tampa Bay Trucking

Enter USDOT: 3201212 ✓

Enter VIN: 1FUJYZ0DB91234332 ✗

**STOP** The VIN is on Target File associated to OOS carrier 2101313 – Orlando Trucking

Figure 11: VIN Check Error Message Example



## PRISM Requirement 9

*“For any vehicle identified as registered or previously registered to a motor carrier under a Federal OOS order, implement a process to check if the new motor carrier responsible for the safety of the vehicle has matching information to the motor carrier under a Federal OOS order. Determine if both motor carriers are affiliated and if the new motor carrier responsible for safety of the vehicle is attempting to reincarnate under a new USDOT number and/or company name to avoid FMCSA enforcement sanctions.”*

### Key Points:

- When a VIN is identified in the PRISM Target File as associated to an OOS carrier:
  - Check if the carrier (new USDOT Number) has **matching information** to the motor carrier under a Federal OOS order (old USDOT Number).
  - Determine if both motor carriers are affiliated.
  - Determine if the new motor carrier is **attempting to reincarnate** under a new USDOT number and/or company name.

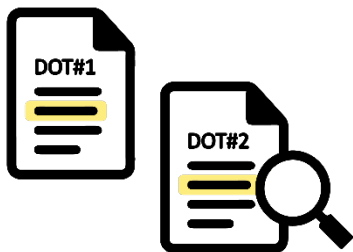
### Why It's Important:

- Thorough examination of information will help identify whether a carrier is attempting to reincarnate. This investigation is a key step that will determine what happens next with the registrant.

If the vehicle is associated with a motor carrier that is under a Federal OOS order, compare the census information of the **USDOT number being used to register the vehicle** and the **USDOT Number associated with the Federal OOS order**.



Use the Motor Carrier Management Information System (**MCMIS**) and/or New Applicant Screening (**NAS**) to do your information search. These tools can be accessed through the FMCSA Portal.



If the motor carrier has 1 census information match marked with an asterisk below or any 2 matches, the carrier may be attempting to reincarnate:

- ☐ Same or similar Company Legal Name and/or DBA Name\*
- ☐ Same Company Officer Name or a relative/spouse\*
- ☐ Physical and/or Mailing Address
- ☐ Email and/or Phone/Fax/Cellphone Number
- ☐ Drivers and/or Vehicles



## PRISM Requirement 10

*“Deny registration if a motor carrier registering a vehicle is affiliated with a motor carrier under a Federal OOS order and notify the FMCSA Division Office. If the carriers are not affiliated, submit a request by email to [PRISMTechnicalSupport@dot.gov](mailto:PRISMTechnicalSupport@dot.gov) to remove the VIN from the PRISM data before processing registration.”*

### Key Points:

- If a motor carrier registering a vehicle is affiliated with a motor carrier under a Federal OOS order:
  - Deny registration.
  - Notify the FMCSA Division Office.
- If the carriers are not affiliated:
  - Submit a request to remove the VIN from the PRISM Target File before processing registration.

### Why It's Important:

- If a carrier is put placed under a Federal OOS order, they must not be able to get a new USDOT number and then return to the IRP office to get a new registration.
- The VIN check is in place for a reason, which is to identify and deny registrations to reincarnated/affiliated carriers.

### 10.1 Two Scenarios

IF

“Good” carrier purchased vehicle from OOS carrier, has proof of sale and/or new leasing agreement...

THEN

1. VIN Override
2. Email to PRISM Technical Support (Volpe)

IF

Carrier cannot prove vehicle is no longer associated to the OOS carrier...

THEN

1. Deny registration
2. Notify the FMCSA Division Office

## 10.2 VIN Check Override Procedure

If the registrant indicates that the vehicle is no longer leased to the “bad” carrier or the vehicles have been sold to another good carrier, follow the VIN check override procedure outlined below:

- 1 Obtain documentation to prove the registrants' statements. Confirm the lease with the new MCRS.
- 2 Check MCMIS for both the new number provided by the registrant and the old number with the bad safety check. Compare the information on MCMIS for these two numbers.
- 3 If the company names are similar, the addresses are the same or similar, the phone numbers, fax numbers and cell phone numbers are the same or the officer names are the same, or the new USDOT Number has been issued very recently, there is reason to suspect the new carrier is in fact the old carrier re-invented.
- 4 Question the applicant further to resolve why the information is the same or similar. Refuse registration until you are satisfied that the new number belongs to an entirely different person than the old one.
- 5 If the registrant provides sufficient evidence that the two motor carriers are not affiliated, send a request to PRISM Tech Support (with a copy to your local FMCSA Division Office) to remove the VIN number from the Target File and proceed with registration.

Sent: Friday, July 20, 2018 11:20 AM  
To: PRISMTechnicalSupport <[PRISMTechnicalSupport@dot.gov](mailto:PRISMTechnicalSupport@dot.gov)>; [sosirp@michigan.gov](mailto:sosirp@michigan.gov);  
[irp\\_support@exploredata.com](mailto:irp_support@exploredata.com)  
Subject: TARGET FILE VIN OVERRIDE

VIN currently on target file: 1HSDHSJR1DJ201691  
New Carrier Responsible for Safety: 71984

The subject VIN is currently on the Target Vehicle file but has been determined by the administration in MI to have changed ownership and should no longer be listed as a targeted vehicle.

If you have any questions, please contact the MI prorate office at (517) 322-1097.  
Data currently on target carrier file:

State	Plate	Old Carrier
KS	164422	2148731

Figure 12: Example of a VIN Check Override Email to Volpe

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The Volpe team will access their internal PRISM Web Application to review the information for the two carriers to confirm that the two carriers are not affiliated. If the team confirms the registration office's findings, the VIN will be cleared from the PRISM Target File.

If the Volpe team finds additional information for the two carriers that indicates the carriers are affiliated (as in the example below), the VIN override will be denied and an email will be sent back to the registration office to confirm the findings.

<u>Old Carrier Detail</u>	<u>New Carrier Detail</u>
DOT 2156565	DOT 2298026
MCSIP_LEVEL 64	MCSIP_LEVEL 0
CARRIER_NAME ROBERT WILDER	CARRIER_NAME JOHN WILDER
DBA_NAME ROBERT WILDER TRUCKING	DBA_NAME JOHN WILDER'S FIELDSTONE SUPPLIES
STREET 19 QUIMBY COURT	STREET 19 QUIMBY COURT
CITY DANVILLE	CITY DANVILLE
STATE NH	STATE NH
MAIL_STREET 19 QUIMBY COURT	MAIL_STREET 19 QUIMBY COURT
MAIL_CITY DANVILLE	MAIL_CITY DANVILLE
MAIL_STATE NH	MAIL_STATE NH
TELEPHONE_NUMBER 6039742449	TELEPHONE_NUMBER 6032343229
FAX_NUMBER	FAX_NUMBER 6039742497
EMAIL_ADDRESS <a href="mailto:KWILDER19@COMCAST.NET">KWILDER19@COMCAST.NET</a>	EMAIL_ADDRESS <a href="mailto:KWILDER19@COMCAST.NET">KWILDER19@COMCAST.NET</a>
LAST_UPDATE_USERID MCMIS	LAST_UPDATE_USERID
CELL_PHONE	CELL_PHONE 6032343229
COMPANY_OFFICER_1 JOHN WILDER	COMPANY_OFFICER_1 JOHN WILDER
COMPANY_OFFICER_2	COMPANY_OFFICER_2

Figure 13: Volpe's PRISM Web Application USDOT Number Comparison



## PRISM Requirement 11

*"Update the status code within the vehicle registration records and apply the 950-status code to vehicle registrations that are suspended due to a Federal OOS order and clear the 950-status code when the registration is reinstated."*

### Key Points:

- Update/maintain the status code within the vehicle registration records.
  - **Apply** the 950 status code when a vehicle registration is suspended due to a Federal OOS order.
  - **Clear** the 950 status code when a registration is reinstated.

### Why It's Important:

- Setting the 950 status code ensures that important law enforcement tools, such as Query Central or CVIEW, are receiving the most accurate and up-to-date information.



According to the generic PRISM State Suspension Process (see Requirement 4), if a carrier is identified in the daily OOS report, then suspend the vehicles of that OOS carrier. At this point, registration office should also set the IRP vehicle status code to 950 and send updated record to SAFER-PRISM.

IRP Vehicle Status Code	Code Description
100	Active Registration
900	Inactive Registration (Expired)
950	Suspended due to Federal OOS
961	Suspended due to other reason (non-Fed OOS)

Remember, setting the 950 status code ensures that the suspension notice will be visible in Query Central under the PRISM Vehicle Summary screen. Law enforcement personnel can then access this information at roadside.

1. Select "PRISM" from the top navigation to access vehicle details.

**Query Central**

Driver Vehicle Carrier Help Home

Carrier Summary Carrier Detail Violation History 6 Past Inspection(s) **PRISM** Summary Report

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

OOS Date: 10/04/2017	State:	Reason: UNSATISFACTORY = UNFIT	Rescinded Date:
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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

2. IRP status code value translates to "Status" column.

**Query Central**

Driver Vehicle Carrier Help Home

Carrier Summary Carrier Detail Violation History 6 Past Inspection(s) **PRISM** Summary Report

**PRISM Information for: MKM TRUCKING LLC**

MCSIP Step:	55 -- Federal OOS: Unfit Motor Carrier
Tax ID#:	EIN:
MCS-150 Date:	08/28/2017

**PRISM Targeted Vehicle Information**

VIN	Plate #	State	Make	Model Year	Registration Start Date	Registration Expiration Date	Status
<a href="#">1FUVDSEBXTH856465</a>	LY4258	NC	FRHT	1996	04/20/2017	04/30/2018	STATE SUSPENSION DUE TO FEDERAL OOS
<a href="#">1FUYDSZB2TH721085</a>	MM5390	NC	FRHT	1996	04/20/2017	04/30/2018	STATE SUSPENSION DUE TO FEDERAL OOS





## PRISM Requirement 12

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

### Key Points:

- IRP cab cards must:
  - Display correct print information for the MCRS.
  - Display a properly formatted barcode for the vehicle record.

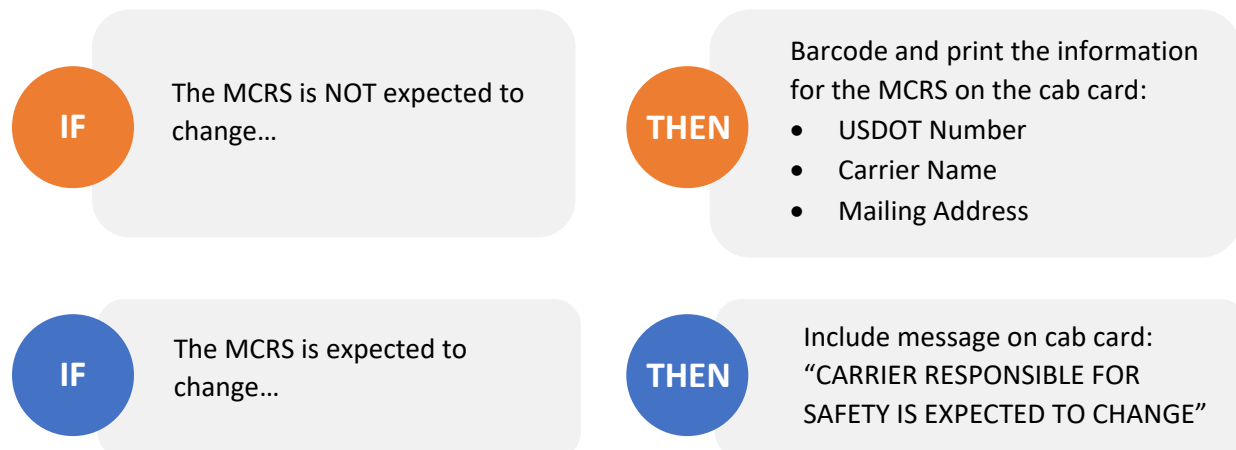
### Why It's Important:

- Provides the legal authority to withhold registration from carriers that have demonstrated unsafe behaviors and are attempting to circumvent an OOS order by registering with alternate information.

There are three scenarios for PRISM cab card certification:

1. Registrant and MCRS are the same and not expected to change (no lease).
2. Registrant and MCRS are different, but the MCRS is not expected to change (long term lease).
3. The MCRS is expected to change (short term lease).

The IRP application form includes a Y/N question, asking if the carrier is expected to change during the registration period.



The full PRISM IRP Cab Card Bar Code Specifications (Version 3.5) can be found online in the PRISM Documents Library: <https://www.fmcsa.dot.gov/information-systems/prism/prism-document-library>



# Resources

## Staffing:

### *PRISM Manager*

For questions regarding the PRISM program, training opportunities, and eligibility regarding High Priority grants, please contact:

Camille White  
Transportation Specialist  
Enforcement Division  
1200 New Jersey Avenue, SE  
Washington, DC 20590  
United States  
[Camille.White@dot.gov](mailto:Camille.White@dot.gov)  
Phone: 202-493-0442

### *PRISM Technical Support*

For questions regarding technical support, please contact: [PRISMTechincalSupport@dot.gov](mailto:PRISMTechincalSupport@dot.gov)

## PRISM Website:

<https://www.fmcsa.dot.gov/information-systems/prism/performance-and-registration-information-systems-management-prism>

- Overview of PRISM
- States Participating in PRISM
- PRISM Requirements
- Document Library
  - Training Materials
  - System Specifications
  - Technical Announcements
  - Additional Resources and Materials
- Grant Opportunities

## Other Websites:

### FMCSA PORTAL

<https://portal.fmcsa.dot.gov/login>

- MCMIS
- Query Central
- A&I (NAS) – New Applicant Screening

### SAFER Public Website

<https://safer.fmcsa.dot.gov/CompanySnapshot.aspx>

### Licensing & Insurance (L&I) Public Website

[http://li-public.fmcsa.dot.gov/LIVIEW/pkg\\_oos\\_process.prc\\_oos\\_search](http://li-public.fmcsa.dot.gov/LIVIEW/pkg_oos_process.prc_oos_search)

### CSA Website (SMS Scores)

<https://csa.fmcsa.dot.gov/>

### FMCSA Website

<https://www.fmcsa.dot.gov/>