PRISM

Performance and Registration Information Systems Management

Procedural Manual

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Section I: GENERAL INFORMATION

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- Chapter 2: PRISM Overview
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- Chapter 5: Major Processes
- Chapter 6: Jurisdictional Responsibilities

1. Chapter One – Introduction

Introduction

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

This document begins with a general overview of PRISM concepts, the benefits, and the jurisdictions participating. Chapter 5 outlines the major processes. Chapter 6 addresses specific requirements associated with PRISM Registration and Enforcement. Chapter 7 details the functions and workflow to implement all the requirements listed in Chapter 6, including the tasks to accomplish and why the task is necessary for form, screen, computer program, communication link and legislative changes. Training needs are covered and the 'what' 'why' and 'how' are provided for the IRP process and the MCSIP Operation Support. The last chapters of this document contain a glossary of terms, PRISM Architecture and Questions and Answers that will assist states in further understanding the PRISM procedures. The *PRISM Systems Specifications* and the *PRISM Cab Card Bar Code Specifications* documents provide more detail for the requirements that need system changes.

2. Chapter Two – PRISM Overview

PRISM Overview

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

As of August 2007, 45 States have signed grant agreements with the FMCSA to implement the PRISM program. Member states are listed in Chapter 4.

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

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

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

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

The Federal-State partnership of PRISM also provides an automated enforcement mechanism to ensure motor carriers meet biennial data updating requirements required by Section 217 of the MCSIA of 1999 (Form MCS-150). Put simply, participating States deny renewal of IRP license plates if the MCS-150 data of the motor carrier responsible for the safety of a vehicle will expire (i.e. exceed 24 months) before the new license plate expires.

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
- Customer Service

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, driver moving violations) affecting a PRISM registered vehicle can be more accurately tied back to the responsible motor carrier.

3.2 A Performance-Based Approach to Safety Management

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

3.3 Improved Productivity

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

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

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

3.4 Improved Data Quality

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

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

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

- Use of automated procedures for data collection in the field to eliminate typing errors on critical fields on accident and inspection reports, like USDOT number, plate number and VIN. An example of effective automated procedures is the bar coding of motor carrier identifying information on cab cards and the use of bar code readers with lap-top 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, thirty percent of the carriers that received warning letters improved. Thirty percent of the at risk carriers also improved after the first compliance review and those carriers identified by SafeStat were nearly three times as likely to be involved in accidents. These are the carriers that are targeted for the improvement process. Registration officials checked the safety fitness before issuing plates and suspended registration to improve performance. During the pilot six carriers were suspended.

3.6 Cost Effectiveness

The program was evaluated for cost effectiveness. One time costs for deployment nationwide averaged $22.5M with annual deployment savings estimated to be $8.9M based on the pilot savings. The pay back time period is only 2.5 years.

3.7 Customer Service

PRISM provides a one-stop shopping opportunity for carriers to obtain a USDOT Number, meet Congressionally mandated data update requirements, and get their IRP license plates simultaneously. Through the PRISM program, the state registration offices can issue these numbers for the federal government.

4. Chapter Four – Roster of Jurisdictions

- Jurisdictions with Signed Grants (45)
- Jurisdictions with Letters of Intent (1)

Roster of Jurisdictions

Data as of November 2007

4.1 Jurisdictions with Signed Grants (45)

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

4.2 Jurisdictions with Letters of Intent (1)

District of Columbia	

5. Chapter Five – Major Processes

- The Commercial Vehicle Registration Process

- Enforcement

Major Processes

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

5.1 The Commercial Vehicle Registration Process

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

5.2 Enforcement

In addition to Registration, the other major component of PRISM is Enforcement. Enforcement is the means by which carrier safety is systematically tracked and improved. The process is designed to improve the safety performance of carriers with demonstrated poor safety performance through accurate identification, performance monitoring and treatment. When a carrier is identified as needing improvement in safety practices, the carrier enters the Motor Carrier Safety Improvement Process (MCSIP). The goal of MCSIP is to improve the level of safety on our nation’s highways by helping carriers identify and correct safety problems. MCSIP carriers that do not improve their safety performance face penalties that are progressively more stringent. These penalties may culminate in a Federal Out-of-Service-Order and possible denial, suspension and/or revocation of vehicle registrations by the state.

Within MCSIP, carriers with potential safety problems are identified and prioritized for an on-site review using the Motor Carrier Safety Status (SafeStat) prioritization methodology. SafeStat makes maximum use of readily available safety performance and compliance data in four broad Safety Evaluation Areas (SEA's). The four SEA’s are

Accident, Driver, Vehicle and Safety Management. These four SEA's are used to develop an overall score that can be used to prioritize carriers for a possible on-site review.

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

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

6. Chapter Six – Jurisdictional Responsibilities

- Registration Requirements
- Enforcement Requirements

Jurisdictional Responsibilities

Jurisdictions participating in PRISM program need to maintain uniformity in the program and, therefore, must implement the PRISM requirements. General jurisdictional responsibilities fall into two broad categories: Registration and Enforcement.

6.1 Registration Requirements

The following is a list of specific requirements for registration agencies to implement PRISM. The PRISM implementation Guidelines document has undergone numerous changes since its initial publication in January 2000. 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 grant proposal in light of these changes.

1. Identify, collect and maintain the USDOT Number and TIN for the Registrant and Motor Carrier responsible for the safe operation of each vehicle being registered.

2. 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.

3. Validate the USDOT Number before adding any USDOT Number to the IRP registration files.

4. Have the capacity to issue USDOT Numbers by online access to the MCMIS Database using standardized procedures.

5. Incorporate PRISM requirements in temporary authority processes.

6. Seek and implement authority to suspend, revoke or deny registration if the Motor Carrier responsible for safety of the vehicle is prohibited from interstate operations.

7. Seek and implement authority to retrieve plates from carriers whose registration has been suspended, revoked or denied based on PRISM sanctions. (In some states this authority must be procured separately from the previous requirement)

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

9. Maintain/update the USDOT Number and TIN for the Motor Carrier responsible for the safe operation of each vehicle being registered and require an update to the

MCS-150 information at both the registrant and vehicle levels if not updated within the past year, prior to issuing registration credentials.

10. Update the PRISM Target File nightly with registration information for vehicles assigned to motor carriers in MCSIP.

11. Provide the ability to query registration files by USDOT Numbers of the registrant and motor carrier responsible for safety in order to obtain registration records details.

12. Provide assistance to FMCSA in finding correct addresses of motor carriers by inquiring registration files.

13. Provide motor carrier law enforcement with a report that lists vehicles and registration data for all vehicles assigned to a specific carrier upon request by the safety investigator/compliance review officer.

14. Send notification letters to owners and registrants of vehicles assigned to carriers facing a potential order to discontinue interstate operations.

15. Ensure PRISM training is provided to all appropriate staff.

16. Ensure PRISM information and training is provided to Motor Carriers and other interested parties.

17. Ensure all appropriate staff attends MCMIS training.

6.2 Enforcement Requirements

1. Seek authority to stop and inspect vehicles based on the safety fitness of the motor carrier assigned to the vehicle. This requirement applies specifically to *probable cause* states.

2. Provide the ability to identify vehicles assigned to carriers in MCSIP and give these vehicles priority for inspection.

3. States must coordinate picking up plates with FMCSA Division Office.

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

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

6. Provide authority for joint issuance (Federal and state) of the warning letter.

7. Improve the quality of data.

Compliance Review Option

1. If a state has chosen to perform the compliance reviews, collect motor carrier vehicle registration data during compliance reviews that may result in a future order to discontinue interstate operations.

Section II: FUNCTIONS AND WORKFLOWS

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

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

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

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

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

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

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

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

7. Chapter Seven – Form Changes

- IRP Forms
- MCS-150 and MCS-150A Forms
- Roadside Form
- Letters

Form Changes

The tasks identified are in support of registration requirements 1, 2, 5, 9 and law enforcement requirement 7. Sample forms and letters are included at the end of this chapter.

The following forms need to be added or modified:

- IRP Forms

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

- MCS-150 Forms

  MCS-150
  MCS-150A
  FMCSA Confirmation Letter

- Roadside Form

  Uniform Citation

- Letters

  Notice to carrier for broken lease
  Owner/Registrant Notice
  Suspension
  Revocation

7.1 IRP Forms

7.1.1 Schedules A and C

Task

1. Modify the IRP forms Schedules A and C to: (changes are identical for these two forms)

   - Include the USDOT Number of the registrant at the registrant level.
   - Include the USDOT Number of the carrier responsible for safety at the vehicle level.
   - Include blocks for the TIN at the registrant <u>and</u> vehicle levels.
   - Include block for a Yes/No (Y-N) to indicate whether the designated carrier responsible for safety is expected to change during the registration period.

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 registrants must provide a Taxpayer Identification Number (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 barcode on the registration card. If the safety responsibility is expected to change, then the barcode should only include information relative to the registrant, not the motor carrier responsible for safety.

7.1.2 Cab Card

Tasks

1. Modify the cab card to incorporate the barcode.

2. If the carrier is not expected to change during the registration period, include the carrier information in the barcode.

3. If the carrier 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

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

Why

Since PRISM is a data driven program, the quality of the SafeStat rankings is only as accurate as the carrier safety data. Therefore, it is crucial that every effort be made to assure current, correct safety data and account for all events. Barcoding 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.

7.1.3 Temporary Authority Application

Tasks

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

2. Modify the temporary authority application if applicable, to capture if the carrier responsible for safety is expected to change.

Why

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

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

7.1.4 Temporary Authority Credential

Tasks

1. Modify the temporary authority credential to include the USDOT number, name and mailing address of the carrier responsible for safety if it is not expected to change during the registration year (at the vehicle level.)

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

Why

The USDOT Numbers are the basis of the PRISM system to insure 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 barcode and printed on the temporary authority. If the safety responsibility is expected to change, then the barcode and print should not have any information concerning safety responsibility.

7.1.5 Carrier IRP Instruction Manual

Task

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

    - Include the requirement for USDOT Number for the registrant.

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

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

- Include the requirement for updated MCS-150 forms if the information has not been updated within the last year.

- Include the requirement for USDOT Number and TIN for the motor carrier responsible for safety if different from the registrant.

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

- Include the information about online updating of the MCS-150 information on MCMIS and provide the web site address.

Why

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

7.1.6 Annual Renewal Notice and Instructions

Tasks

1. Like the changes to Schedules A and C, modify the annual renewal notice to include USDOT Numbers at the registrant and vehicle levels, the TIN at the registrant and vehicle levels and the indicator column for determining if the carrier responsible for safety is expected to change during the registration year.

2. Include a field for the date of the last update of the MCS-150 information.

3. Print the Web site address on the renewal notice or instruction page for the registrants/carriers to update the census information - www.safer.fmcsa.dot.gov. Also clarify in the instructions the requirement for update of the MCS 150 information if the update date will expire during the new registration period. This clarification is to avoid confusion with the biennial update information posted on the safer web site for carriers that are not affected by PRISM.

4. Other changes to the renewal form will depend upon which option is selected by the state:

Option 1

Require the registrants and carriers to update the MCS-150 information directly on MCMIS using the web site. No additional information is necessary for the form.

Option 2

Print the census information from the MCS-150 file for the USDOT Numbers that have an MCS-150 update date which is more than one year prior to the first day of the new registration period. (which will exceed two years old prior to the last day of the new registration period) In this case, the carrier is required to update MCMIS directly or supply updated information with the renewal.

Option 3

Print all information for all USDOT Numbers. For USDOT Numbers where the MCS–150 update date is less than one year earlier than the first day of the new registration period, indicate that an update is not necessary at this time. (This option allows more current updates by the carrier if he chooses to avail himself of the opportunity.)

Note: The printing of the MCMIS information for a number marked as a registrant on MCMIS can be just the fields required by MCMIS for this category. It is not necessary to print all the fields that will never be used by the registrant.

Note: Even if the state does not require the registrant/carrier to update directly on MCMIS, the state should strongly encourage the carriers to do so on the renewal form or instructions with the form.

Why

Once a current State motor carrier census has been established, the information is kept current through the annual IRP renewal process. As pointed out by the USDOT Office of the Inspector General, up-to-date census information is crucial for the accurate identification of high-risk carriers. Registrants must receive as part of their renewal package, census information for each different USDOT number in the fleet. Registrants are required to update directly on MCMIS or verify through a signature on the renewal that the information is true and accurate unless the information has been updated within the last year. As more carriers update on-line, fewer MCS-150s will have to be processed.

7.1.7 Rejection Notice for Application Errors

Task

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

- Our records show the registrant USDOT Number on your renewal has not been updated within the last 12 months. Please update the MCS-150 information for your number online at www.safer.fmcsa.dot.gov. Return your application after you have completed the update.

- Our records show the motor carrier responsible for safety USDOT Number at the vehicle level on your renewal has not been updated within the last 12 months. The carrier must update the MCS-150 information for the number online at www.safer.fmcsa.dot.gov. Return your application after the update has been completed.

- You do not have a USDOT Number on your renewal for the motor carrier responsible for safety (vehicle level.) Every vehicle must have a motor carrier responsible for safety listed on your application.

- You do not have a tax identification number (FEIN or SSN) on your renewal for the motor carrier responsible for safety (vehicle level.)

- You do not have a USDOT Number listed in section A for the registrant. Every registrant must provide a USDOT Number. If you do not have a number, you can apply for one online at www.safer.fmcsa.dot.gov

- You do not have a tax identification number (FEIN or SSN) listed in section A for the registrant. Every registrant must provide a tax identification number.

Why

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

7.2 MCS-150 and MCS-150A Forms

7.2.1 MCS-150 Form

Task

1 Download the current version of the MCS – 150 forms and instructions from the FMCSA website. Periodically, check the web site to be sure you are using the most up-to-date version.

Why

It is necessary for the carrier to complete the MCS-150 Form so that FMCSA can update the MCMIS Census File with the most current information. This information is then included in the PRISM Census File so that all PRISM States have current information. It is also necessary for new entrants to complete the MCS-150A form, which is a series of yes/no questions.

All registrants must provide the MCS-150 forms for all vehicles in the fleet (unless the information has been updated on MCMIS within the last year.)

The carrier and registrant need to complete the forms and return them to the State. The form produced by FMCSA includes a return address for the FMCSA. The State needs to receive the form so that it can insure the form is filed and also to data enter the appropriate information to issue the registration. Therefore, the form needs to be changed to reflect the State address where the carrier should send the form.

7.2.2 FMCSA Confirmation Letter

When the application for a USDOT Number is processed and a number is issued, a follow-up letter is issued out of Washington, DC. The state is not required to change any forms or processes for this letter. Information and a sample of the form later in this chapter are for information purposes only.

7.3 Roadside Form

7.3.1 Uniform Citation

Task

1. Include USDOT Number on citations.

Why

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

7.4 Letters

7.4.1 Notice to carrier for broken lease

Task

1 Create a letter to send to the motor carrier responsible for safety for the situation where the registrant's USDOT Number is out of service. Request the carrier notify you if the lease is broken during the registration year. (Sample letter in section 7.5.11).

OR

Contact the motor carrier responsible for safety by telephone requesting this information.

Note: Explain to the carrier that you need this information to remove his USDOT Number from the file for this registrant so that the registrant can be contacted for information on who is the new motor carrier responsible for safety.

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

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

Why

If the lease is broken, the vehicle no longer has a good carrier responsible for safety. The registrant cannot be the default motor carrier since the registrant is OOS. If there is a non-match for an event, the former carrier responsible for safety could have the event recorded on his record if he does not contact the IRP office with the change in lease information. The carrier usually wants to cooperate for this reason.

7.4.2 Owners/Registrants Notice

Task

1. Create a letter to send to the owners/registrants, if different from the motor carrier responsible for safety, when the responsible carrier has had a compliance review

and is in danger of being suspended. The letter should contain information that a suspension or revocation of all the vehicles assigned to the motor carrier could occur.

Why

Under the PRISM program, owners and registrants are involved in the safety improvement process. The State relates the owner to the carrier (via USDOT number) and the vehicle (via plate number or VIN) and then notifies the owner and registrant of a carrier's poor safety performance and the possibility of the suspension of vehicle registration privileges.

7.4.3 Suspension

Task

1. Create or add a new reason code to existing suspension form letter to indicate suspension is a result of the federal action and will remain in place until the federal Out-of Service Order is lifted.

Why

Unless the State has been suspending motor carriers for federal out-of-service orders, the language in the current letters does not reflect this reason for suspension. Obviously, this is necessary.

7.4.4 Revocation

Task

1. Create or add a new reason code to existing revocation form letter to indicate suspension is a result of the federal action and will remain in place until the federal out-of-service order is lifted.

Why

Unless the State has been revoking motor carriers for federal out-of-service orders, the language in the current letters does not reflect this reason for revocation. Obviously, this too, is necessary.

7.5 *Sample Forms*

7.5.1 Schedule A

DMV USE ONLY			
FIVE DIGITS ACCOUNT NUMBER	TWO DIGITS FLEET NUMBER	THREE DIGITS SUPP. NUMBER	TWO DIGITS REG. YEAR
VT			

NAME OF REGISTRANT

BUSINESS ADDRESS IN VERMONT (Do Not use P.O. Box)

CITY	STATE	ZIP

FED ID / VIN (Required) Carrier Level | US DOT NUMBER Carrier Level

MAILING ADDRESS (If different from business address)

CITY	STATE	ZIP

PERSON TO CONTACT REGARDING APPLICATION | CITY | STATE | TELEPHONE

STATE OF VERMONT
DEPARTMENT OF MOTOR VEHICLES
INTERNATIONAL REGISTRATION PLAN
(802) 828-2071

ORIGINAL / RENEWAL APPLICATION SCHEDULE A/E

1. Please print clearly in BLUE or BLACK ink, or type
2. Detailed instructions on back of form

IFTA DECALS REQUIRED FOR INTERSTATE TRAVEL

TYPE OF APPLICATION
CHECK BOXES
- ❑ Original Application
- ❑ Renewal Application

TYPE OF OPERATION
CHECK BOXES
- ❑ Exempt Commodity Carrier
- ❑ Household Goods Carrier
- ❑ Private Carrier
- ❑ For Hire Carrier
- ❑ Rental Company

Leased To:
- ❑ Private
- ❑ Haul for Hire

(Column 5) TYPE
- **TT** - Truck Tractor
- **TR** - Tractor
- **TK** - Truck
- **RT** - Road Tractor
- **MT** - Mobile Home Toter
- **ST** - Semi Trailer
- **BS** - Bus
- **CG** - Converter
- **DB** - Double Bottom

(Column 8)
- **D** - Diesel
- **G** - Gasoline
- **P** - Propane
- **O** - Other: _____

Weight Group: ___ ___ ___

UNITS LISTED ON THIS PAGE WILL BE AUTHORIZED TO OPERATE IN THE JURISDICTIONS AND AT THE WEIGHTS LISTED BELOW. USE ADDITIONAL PAGE(S) FOR MORE VEHICLES.
USE SEPARATE PAGE (S) FOR ANY VEHICLE WITH A WEIGHT DIFFERENCE IN ANY JURISDICTION. WEIGHT WILL BE PRINTED ON THE CAB CARDS FOR ALL FLEET UNITS LISTED BELOW.

AB (Alberta)	AK (Alaska)	AL (Alabama)	AR (Arkansas)	AZ (Arizona)	BC (British Columbia)	CA (California)	CO (Colorado)	CT (Connecticut)	DC (Dist of Columbia)
DE (Delaware)	FL (Florida)	GA (Georgia)	IA (Iowa)	ID (Idaho)	IL (Illinois)	IN (Indiana)	KS (Kansas)	KY (Kentucky)	LA (Louisiana)
MA (Massachusetts)	MB (Manitoba)	MD (Maryland)	ME (Maine)	MI (Michigan)	MN (Minnesota)	MO (Missouri)	MS (Mississippi)	MT (Montana)	MX (Mexico)
NB (New Brunswick)	NC (North Carolina)	ND (North Dakota)	NE (Nebraska)	NL (Newfoundland/Labrador)	NH (New Hampshire)	NJ (New Jersey)	NM (New Mexico)	NS (Nova Scotia)	NV (Nevada)
NY (New York)	OH (Ohio)	OK (Oklahoma)	ON (Ontario)	OR (Oregon)	PA (Pennsylvania)	PEI (Prince Edward Island)	QC (Quebec)	RI (Rhode Island)	SC (South Carolina)
SD (South Dakota)	SK (Saskatchewan)	TN (Tennessee)	TX (Texas)	UT (Utah)	VA (Virginia)	VT (Vermont)	WA (Washington)	WI (Wisconsin)	WV (West Virginia)
WY (Wyoming)	YT (Yukon)								

ADDITIONS

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
OWNER EQUIPMENT (UNIT) NUMBER	VEHICLE IDENTIFICATION NUMBER (VIN – AS SHOWN ON TITLE)	YEAR	MAKE OF VEHICLE	TYPE	AXLE SETS	UNLADEN WEIGHT	FUEL	COMBINED OR GROSS WEIGHT	PURCHASE PRICE OF VEHICLE	FACTORY PRICE	DATE OF PURCHASE MM/DD/YY	DATE OF LEASE MM/DD/YY	HORSE POWER (BUSES ONLY)	CURRENT LICENSE PLATE NO. AND STATE	US DOT # Vehicle Level	** Y N	FED ID / TIN Vehicle Level

The undersigned certified that the listed vehicles are properly equipped and in good mechanical condition and the applicant and/or these vehicles are not under suspension pursuant to 23 VSA §3009(b) (diesel tax related). Statements and warrants made herein are certified under penalty of 23 VSA §202,2083 and 32 VSA §8901-8915

SIGNATURE OF OWNER OR AUTHORIZED AGENT - Required | DATE | TELEPHONE

Social Security Number: ___ ___ ___ - ___ ___ - ___ ___ ___ ___

The disclosure of your social security or federal identification number is mandatory, is solicited by the authority granted by 42 U.S.C. § §405(c)(2)(C) and/or 666(a)(13) and will be used by the Department of Motor Vehicles in the administration of motor vehicle, tax and child support laws, to identify individuals affected by such laws.

TA-VP-160 (d) 1.5T 08/03 SWR

7.5.2 Cab Card

Form 442003
(3001) 12-99

INTERNATIONAL REGISTRATION PLAN APPORTIONED CAB CARD

Vehicle Described Herein Has Been Proportionally Registered Between The State of Iowa And Jurisdictions Shown Below

Year	Make	Vehicle Identification	Type	AX/ST	Fuel	Unit No.	Acct. No.	FLT#	Sup#	Carrier No.
1996	FRHT	2FUYDZYB2TA556068	TT	03	D	5115	IA0000664	01	313	420758403

Date Issued	Unladen Wt.	Wgt. Grp.	Percent	Owner	Title No.	Combine GVW
08/07/2000	018360	078	04.094	MARSHALL ANTONSON	31W475586	080000

Weights for US jurisdictions are in LBS and Canadian in KGS. I am aware of all applicable federal and state commercial vehicle safety regulations.

AL 080000 AR 080000 CO 080000 CT 080000 DE 080000 FL 080000 GA 080000 IA 080000 IL 080000 IN 080000 KS 080000 KY 080000
LA 080000 MA 080000 MD 080000 ME 080000 MI 080000 MN 080000 MO 080000 MS 080000 NC 080000 ND 080000 NE 080000 NH 080000
NJ 080000 NM 080000 NY 080000 OH 080000 OK 080000 PA 080000 RI 080000 SC 080000 SD 080000 TN 080000 TX 080000 VA 080000
VT 080000 WI 080000 WV 080000 WY 080000

Registrant

HEARTLAND EXPRESS INC OF IOWA
2777 HEARTLAND DR
CORALVILLE IA 52241

Carrier Responsible for Safety

Carrier Name: HEARTLAND EXPRESS INC OF IOWA
Mailing Address: 2777 HEARTLAND DR
CORALVILLE, IA 52241-9908
USDOT#: 134697

ENFORCEMENT 03/15/2001 PLATE NO. PR2030
EXPIRATION 12/31/2000 DECAL NO. P038652

7.5.3 IRP Instruction Manual

USDOT Number

For Registrant:

You can obtain the MCS-150 form from our office. Please send the completed form to our office in (YOUR STATE). We have enclosed a blank form for your use on page xx.

If you have been issued a USDOT Number but are uncertain of the number, you can either call our office at YOUR STATE TELEPHONE NUMBER or the federal office at 800-832-5660. If calling the federal number, press "1" twice for USDOT Number information.

Use the following to verify the information listed on the FMCSA-Motor Carrier Identification form.

- Instructions for completing the MCS-150 information.

1. Enter the legal name of the business entity (i.e., corporation, partnership, or individual) that owns/controls the motor carrier/shipper operation.

2. If the business entity is operating under a name other than that in Block 1, (i.e., "trade name"), enter that name; otherwise, leave blank.

3. Enter the principal place of business street address where safety records are kept.

4. Enter the city where the principal place of business is located.

5. Enter the two-letter postal abbreviation for the state or the name of the Canadian province/territory.

6. Enter the zip code + 4 numbers corresponding with the physical street address.

7. Enter the Mexican state corresponding with the physical address.

8. Enter mailing address if different from the physical address; otherwise leave blank.

9. Enter the city corresponding with the mailing address.

10. Enter the two-letter postal abbreviation for the state or the name of the Canadian province/territory or Mexican state corresponding with the mailing address.

11. Enter the zip code + 4 numbers corresponding with the mailing address.

12. If a Mexican motor carrier or shipper, enter the Mexican "colonia" or "barrio" corresponding with the mailing address.

13. Enter the telephone number, including area code, of the principal place of business.

14. Enter the principal contact cell phone number

15. Enter the fax number, including area code, of the principal place of business.

16. Enter the identification number assigned to your motor carrier operation by the U.S. Department of Transportation, if known.

17. Enter the motor carrier "MC" or "MX" number under which the FMCSA issued your operating authority, if appropriate.

18. Enter your Dun & Bradstreet business number (used as a secondary identifier; if you do not have one, leave blank).

19. Enter the employer identification number (EIN) or Social Security Number (SSN) assigned to your motor carrier operation by the Internal Revenue Service.

20. Enter your Internet e-mail address, if you have one.

State should Highlight this 21. Enter the carrier's total mileage to nearest 10,000 miles for the past calendar year, and the year of the mileage. **(This is the total for the entity listed in block 1)**

22. Check the appropriate type of carrier operation.

a. Interstate

b. Intrastate, transporting hazardous materials (49 CFR 100-180).

c. Intrastate, NOT transporting hazardous materials.

-*Interstate* --transportation of persons or property across state lines, including International Boundaries, or wholly within one state as part of a through movement that originates or terminates in another state or county.

-*Intrastate* --transportation of persons or property wholly within one state.

d. Interstate Hazmat shipper

e. Intrastate hazmat shipper

f. Vehicle registrant **only**

24. Check appropriate classification. Check all that apply. If "Other" is checked; enter the type of operation in the space provided.

-*Authorized for Hire*--transportation for compensation as a common or contract carrier of property, owned by others, or passengers under the provisions of the FMCSA.

-*Exempt for Hire*--transportation for compensation of property or passengers exempt from the economic regulation by the ICC.

-*Private (Property)*--a person who provides transportation of property by commercial motor vehicle and is not a for-hire motor carrier.

-*Private Passengers (Business)* -a private motor carrier involved in the interstate transportation of passengers which is provided in the furtherance of a commercial enterprise and is not available to the public at large; e.g., bands.

-*Private Passengers (Non-Business*)--a private motor carrier involved in the interstate transportation of passengers that does not otherwise meet the definition of a private motor carrier of passengers (business); e.g., church buses.

-*Migrant*--interstate transportation, including a contract carrier, but not a common carrier of three or more migrant workers to or from their employment by any motor vehicle other than a passenger automobile or station wagon.

-*US. Mail* - transportation of U.S. Mail under contract with the U.S. Postal Service.

-*Federal Government*--transportation of property or passengers by a U.S. federal government agency.

-*State Government*--transportation of property or passengers by a U. S state government agency.

-*Local Government*--transportation of property or passengers by a local municipality.

-*Indian Tribe*--transportation of property or passengers by an Indian tribal government.

-*Other*--transportation of property or passengers by some other operation classification not described by any of the above.

24. Check all the letters of the cargo you usually transport. If "Other" is circled, enter the name of the commodity in the space provided.

25. Check the boxes for all types of hazardous materials (HM) you transport/ship. Check the box in each category that indicates the HM type -- C for a carrier of HM, S for a shipper of HM, B if the HM is transported in bulk (over 119 gallons) and NB if the HM is transported in non-bulk (119 gallons or less). The HM types correspond to the classes and divisions listed in 49 CFR 173.2. *Note: Information on Poison Inhalation Hazards is found in column 7 of the hazardous material table (49 CFRl72.101).*

26. Enter the total number of vehicles owned, term-leased and trip-leased, that are, or can be operational the day this form is completed. Passenger vehicles are defined as:

Motor Coach--a vehicle designed for long distance transportation of passengers, usually equipped with storage racks above the seats and a baggage hold beneath the passenger compartment.

School Bus--a vehicle designed and/or equipped mainly to carry primary and secondary students to and from school, usually built on a medium or large truck chassis.

Mini-bus\Van--a multipurpose passenger vehicle designed or used to transport more than 8

passengers (including the driver) for compensation; or designed or used to transport more than 15 passengers, including the driver, and is not used to transport passengers for compensation;

Limousine--a passenger vehicle usually built on a lengthened automobile chassis.

27. Enter number of interstate/intrastate drivers used on an average workday. Part-time, casual, term leased, trip-leased and company drivers are to be included. Also verify the total number of drivers who have a commercial driver's license (CDL).

Highlight
This is the total for the entity listed in block 1

Interstate--driver transports people or property across state lines, including international for boundaries, or wholly within one state as part of a through movement that originates or in terminates in another state or country.

Intrastate--driver transports people or property wholly within one state.

100-mile radius driver--driver operates only within a 100 air-mile radius of the normal work reporting location.

28. Check the appropriate box to indicate if the USDOT Number is currently revoked by FMCSA

29. Enter the name(s) of the sole proprietors, officers or partners and titles

30. Print or type the name, in the space provided, of the individual authorized to sign documents on behalf of the entity listed in Block 1. That individual must sign, date and show his or her title in the spaces provided. (Certification Statement, see 49 CFR 390.19).

Instructions for schedule A and renewal notice for each vehicle:

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

International Registration Plan
VEHICLE SCHEDULE

Unit Number	USDOT Number
123	658941
456	same
789	|
654	|
312	|

If the numbers listed on your renewal are correct, no changes are needed.
If the registrant is renting or leasing this vehicle to an interstate motor carrier who will be responsible for the safe operation of this vehicle, please provide the USDOT Number according to the following:

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

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

If you are a new carrier, please submit a copy of an updated MCS-150 form. Please indicate any changes on the Motor Carrier Identification Report.

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

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

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

SCENARIO # 1

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

SCENARIO # 2

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

SCENARIO # 3

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

SCENARIO # 4

John Driver maintains an IRP account. John is an owner-operator who registers one truck. He leases the vehicle from Ryder and is long-termed leased to XYZ Trucking. On the IRP form at the vehicle level, the USDOT Number for XYZ Trucking is used and the carrier responsible for safety will NOT change during the registration year. Joe's number is used at the registrant level. Note. The Number for Ryder is not used anywhere on the form in this situation.

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

7.5.4 Annual Renewal Notice

FEDERAL HIGHWAY ADMINISTRATION - MOTOR CARRIER IDENTIFICATION INFORMATION 05084-01
(TO BE COMPLETED BY THE MOTOR CARRIER)

NOTE: PLEASE INCLUDE ALL VEHICLES OPERATED UNDER THIS U.S. D.O.T. NUMBER, NOT JUST IOWA REGISTERED VEHICLES.

US DOT#: 0432024 ICC#: 222280000000000001

DBA NAME JOHNSON TRUCKING
LEGAL NAME: STEPHEN J VAN ZUIDEN
PHYSICAL ADDRESS
2307 12TH AVE S
CLINTON IA 52732 COUNTY: CLINTON
MEXICAN NEIGHBORHOOD: N/A

MAILING ADDRESS
TAX ID#: 421356693
PHONE: (319) 243-3118
2307 12TH AVE S
CLINTON IA 52732 COUNTY: CLINTON
MEXICAN NEIGHBORHOOD: N/A

CARRIER OPERATION: INTERSTATE

SHIPPER OPERATION: UNSPECIFIED

OPERATION CLASSIFICATION: AUTHORIZED

CARRIER MILEAGE (LAST CALENDAR YEAR): _____
TO THE NEAREST 10,000 MILES

CARGO CLASSIFICATIONS:

X A. GENERAL FREIGHT
_ B. HOUSEHOLD GOODS
X C. METAL: SHEETS,COILS,ROLLS
X D. MOTOR VEHICLES
X E. DRIVEAWAY/TOWAWAY
X F. LOGS,POLES,BEAMS,LUMBER
X G. BUILDING MATERIALS
_ H. MOBILE HOMES
X I. MACHINERY,LARGE OBJECTS
_ J. FRESH PRODUCE
_ K. LIQUID/GASES
_ M. PASSENGERS
X N. OILFIELD EQUIPMENT
_ O. LIVESTOCK
X P. GRAIN, FEED, HAY
_ Q. COAL/COKE
_ R. MEAT
_ S. GARBAGE,REFUSE,TRASH
_ T. U.S MAIL
X U. CHEMICALS
_ V. COMMODITIES, DRY BULK
_ W. REFRIGERATED FOOD
_ X. BEVERAGES
_ Y. PAPER PRODUCTS
_ Z. UTILITY
_ AA. FARM SUPPLIES
_ BB. CONSTRUCTION
_ CC. WATER-WELL
_ DD. OTHER CARGOS
_ ALUMINUM _____

HAZARDOUS MATERIALS CARRIED/SHIPPED(C OR S) B(BULK) - IN CARGO TANKS NB(NON-BULK) - IN PACKAGES

C/S	B/NB	C/S	B/NB	C/S	B/NB	C/S	B/NB
_ A. DIVISION 1.1	__	_ L. DIVISION 2.3A	__	_ W. DIVISION 5.1	__	_ HH. CLASS 8B	__
_ B. DIVISION 1.2	__	_ M. DIVISION 2.3B	__	_ X. DIVISION 5.2	__	_ II. CLASS 9	__
_ C. DIVISION 1.3	__	_ N. DIVISION 2.3C	__	_ Y. DIVISION 6.2	__	_ JJ. ELEVATED TEMP MAT	__
_ D. DIVISION 1.4	__	_ O. DIVISION 2.3D	__	_ Z. DIVISION 6.1A	__	_ KK. INFECTIOUS WASTE	__
_ E. DIVISION 1.5	__	_ P. CLASS 3	__	_ AA. DIVSION 6.1B	__	_ LL. MARINE POLLUTANTS	__
_ F. DIVISION 1.6	__	_ Q. CLASS 3A	__	_ BB. DIVISION 6.1POISON	__	_ MM. HAZARDOUS SUB(RQ)	__
_ G. DIVISION 2.1	__	_ R. CLASS 3B	__	_ CC. DIVISION 6.1 SOLID	__	_ NN. HAZARDOUS WASTE	__
_ H. DIV 2.1LPG	__	_ S. COMB LIQ	__	_ DD. CLASS 7	__	_ OO. ORM	__
_ I. DIV 2.1 METHANE	__	_ T. DIVISION 4.1	__	_ EE. HRCQ	__		
_ J. DIVISION 2.2	__	_ U. DIVISION 4.2	__	_ FF. CLASS 8	__		
_ K. DIV 2.2 AMMONIA	__	_ V. DIVISION 4.3	__	_ GG. CLASS 8A	__		

EQUIPMENT	STRAIGHT TRUCKS	TRUCK TRACTORS	TRAILERS	HAZMAT CARGO TANK TRAILERS	HAZMAT CARGO TANK TRUCKS	MOTORCOACH	PASSENGERS SCHOOL BUS	MINI-BUS/VAN	LIMOUSINE
OWNED	0	1	1	0	0	0	0	0	0
TERM LEASED	0	0	0	0	0	0	0	0	0
TRIP LEASED	0	0	0	0	0	0	0	0	0

DRIVERS SUBJECT TO FMCSR:

INTERSTATE 100 MILE RADIUS: 0 BEYOND 100 MILE RADIUS: 1
INTRASTATE 100 MILE RADIUS: 0 BEYOND 100 MILE RADIUS: 0
TOTAL DRIVERS: 1 TOTAL CDL DRIVERS: 1

_ CHECK IF NO CHANGES - ANY CHANGES TO THIS INFORMATION WILL UPDATE YOUR MOTOR CARRIER IDENTIFICATION SUBMITTED TO THE FEDERAL HIGHWAY ADMINISTRATION.

I, _____, UNDER PENALTIES OF PERJURY, DECLARE THAT THE INFORMATION ENTERED ON THIS REPORT IS, TO THE BEST OF MY KNOWLEDGE AND BELIEF, TRUE, CORRECT, AND COMPLETE.
(PRINT CARRIER OFFICIAL)

SIGNATURE_____ DATE_____ TITLE_____

7.5.5 MCS-150

OMB No. 2126-0013 Expiration Date: 1/31/2008

A federal agency may not conduct or sponsor, and a person is not required to respond to, nor shall a person be subject to a penalty for failure to comply with a collection of information subject to the requirements of the paperwork Reduction Act unless that collection of information displays a current valid OMB Control Number. The OMB Control Number for this information collection is 2126-0013. Public reporting for this collection of information is estimated to be approximately 20 minutes per response, including the time for reviewing instructions, gathering the data needed, and completing and reviewing the collection of information. All responses to this collection of information are mandatory, and will be provided confidentiality to the extent allowed by the Freedom of Information Act (FOIA). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: Information Collection Clearance Officer, Federal Motor Carrier Safety Administration, MC-RRA, 1200 New Jersey Avenue, SE, Washington, D.C. 20590.

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

Motor Carrier Identification Report
(Application for USDOT Number)

REASON FOR FILING (Mark only one)
O NEW APPLICATION O BIENNIAL UPDATE OR CHANGES O OUT OF BUSINESS NOTIFICATION O REAPPLICATION (AFTER REVOCATION OF NEW ENTRANT)

1. NAME OF MOTOR CARRIER		2. TRADE OR D.B.A. (DOING BUSINESS AS) NAME		
3. PRINCIPAL ADDRESS	4. CITY	5. STATE/PROVINCE	6. ZIP CODE+4	7. COLONIA (MEXICO ONLY)
8. MAILING ADDRESS	9. CITY	10. STATE/PROVINCE	11. ZIP CODE+4	12. COLONIA (MEXICO ONLY)
13. PRINCIPAL BUSINESS PHONE NUMBER	14. PRINCIPAL CONTACT CELL PHONE NUMBER		15. PRINCIPAL BUSINESS FAX NUMBER	
16. USDOT NO.	17. MC OR MX NO.	18. DUN & BRADSTREET NO.	19. IRS/TAX ID NO. EIN SSN	
20. INTERNET E-MAIL ADDRESS			21. CARRIER MILEAGE (to nearest 10,000 miles for last calender year) YEAR	

22. COMPANY OPERATION *(Mark all that apply)*
A. ☐ Interstate Carrier B. ☐ Intrastate Hazmat Carrier C. ☐ Intrastate Non-Hazmat Carrier D. ☐ Interstate Hazmat Shipper E. ☐ Intrastate Hazmat Shipper F. ☐ Vehicle Registrant **Only**

23. OPERATION CLASSIFICATION *(Mark all that apply)*
A. ☐ Authorized For-Hire
B. ☐ Exempt For-Hire
C. ☐ Private Property
D. ☐ Private Passengers (Business)
E. ☐ Private Passengers (Non-Business)
F. ☐ Migrant
G. ☐ U. S. Mail
H. ☐ Federal Government
I. ☐ State Government
J. ☐ Local Government
K. ☐ Indian Tribe
L. ☐ Other _____

24. CARGO CLASSIFICATIONS *(Mark all that apply)*
A. ☐ GENERAL FREIGHT
B. ☐ HOUSEHOLD GOODS
C. ☐ METAL:SHEETS, COILS, ROLLS
D. ☐ MOTOR VEHICLES
E. ☐ DRIVE AWAY/TOWAWAY
F. ☐ LOGS, POLES, BEAMS, LUMBER
G. ☐ BUILDING MATERIALS
H. ☐ MOBILE HOMES
I. ☐ MACHINERY, LARGE OBJECTS
J. ☐ FRESH PRODUCE
K. ☐ LIQUIDS/GASES
L. ☐ INTERMODAL CONT.
M. ☐ PASSENGERS
N. ☐ OIL FIELD EQUIPMENT
O. ☐ LIVESTOCK
P. ☐ GRAIN, FEED, HAY
Q. ☐ COAL/COKE
R. ☐ MEAT
S. ☐ GARBAGE, REFUSE, TRASH
T. ☐ U.S.MAIL
U. ☐ CHEMICALS
V. ☐ COMMODITIES DRY BULK
W. ☐ REFRIGERATED FOOD
X. ☐ BEVERAGES
Y. ☐ PAPER PRODUCT
Z. ☐ UTILITY
AA. ☐ FARM SUPPLIES
BB. ☐ CONSTRUCTION
CC. ☐ WATER WELL
DD. ☐ OTHER _____

25. HAZARDOUS MATERIALS (CARRIER OR SHIPPER) *(Mark all that apply)* (C) CARRIER (S) SHIPPER (B) BULK – IN CARGO TANKS (NB) NON-BULK – IN PACKAGES

	C	S	B	NB
A. DIV 1.1	☐	☐	☐	☐
B. DIV 1.2	☐	☐	☐	☐
C. DIV 1.3	☐	☐	☐	☐
D. DIV 1.4	☐	☐	☐	☐
E. DIV 1.5	☐	☐	☐	☐
F. DIV 1.6	☐	☐	☐	☐
G. DIV 2.1 (Flam. Gas)	☐	☐	☐	☐
H. DIV 2.1 LPG	☐	☐	☐	☐
I. DIV 2.1 (Methane)	☐	☐	☐	☐
J. DIV 2.2	☐	☐	☐	☐
K. DIV 2.2D (Ammonia)	☐	☐	☐	☐
L. DIV 2.3A	☐	☐	☐	☐
M. DIV 2.3B	☐	☐	☐	☐
N. DIV 2.3C	☐	☐	☐	☐
O. DIV 2.3D	☐	☐	☐	☐
P. Class 3	☐	☐	☐	☐
Q. Class 3A	☐	☐	☐	☐
R. Class 3B	☐	☐	☐	☐
S. COMB LIQ	☐	☐	☐	☐
T. DIV 4.1	☐	☐	☐	☐
U. DIV 4.2	☐	☐	☐	☐
V. DIV 4.3	☐	☐	☐	☐
W. DIV 5.1	☐	☐	☐	☐
X. DIV 5.2	☐	☐	☐	☐
Y. DIV 6.2	☐	☐	☐	☐
Z. DIV 6.1 A	☐	☐	☐	☐
AA. DIV 6.1B	☐	☐	☐	☐
BB. DIV 6.1 POISON	☐	☐	☐	☐
CC. DIV 6.1 SOLID	☐	☐	☐	☐
DD. CLASS 7	☐	☐	☐	☐
EE. HRCQ	☐	☐	☐	☐
FF. CLASS 8	☐	☐	☐	☐
GG. CLASS 8A	☐	☐	☐	☐
HH. CLASS 8B	☐	☐	☐	☐
II. CLASS 9	☐	☐	☐	☐
JJ. ELEVATED TEMP MAT.	☐	☐	☐	☐
KK. INFECTIOUS WASTE	☐	☐	☐	☐
LL. MARINE POLLUTANTS	☐	☐	☐	☐
MM. HAZARDOUS SUB (RQ)	☐	☐	☐	☐
NN. HAZARDOUS WASTE	☐	☐	☐	☐
OO. ORM	☐	☐	☐	☐

26. NUMBER OF VEHICLES THAT WILL BE OPERATED IN THE U.S.

	Straight Trucks	Truck Tractors	Trailers	Hazmat Cargo Tank Trucks	Hazmat Cargo Tank Trailers	Motor-coach	Number of vehicles carrying number of passengers (including the driver)								
							School Bus			Mini-bus	Passenger Van		Limousine		
							1-8	9-15	16+	16+	9-15	16+	1-8	9-15	16+
OWNED															
TERM LEASED															
TRIP LEASED															

27. DRIVER INFORMATION	INTERSTATE	INTRASTATE	TOTAL DRIVE	TOTAL CDL DRIVERS
Within 100-Mile Radius				
Beyond 100-Mile Radius				

28. IS YOUR USDOT NUMBER REGISTRATION CURRENTLY REVOKED BY THE FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION? O Yes O No

If Yes, enter your USDOT Number. _____

29. PLEASE ENTER NAME(S) OF SOLE PROPRIETOR(S), OFFICERS OR PARTNERS AND TITLES (e.g. president, treasurer, general partner, limited partner)

1. _____ 2. _____

30. CERTIFICATION STATEMENT (to be completed by authorized official)

I, _____ certify that I am familiar with the Federal Motor Carrier Safety Regulations and/or Federal Hazardous Materials Regulations. Under penalties of perjury, I declare that the information entered on this report is, to the best of my knowledge and belief, true, correct, and complete.

Signature _____ Date _____ Title _____
(Please print)

Form MCS-150 (Reised: 6/12/2007)

7.5.6 Citation

Officer Copy

Form 42001 H-3693

IOWA UNIFORM CITATION AND COMPLAINT

Law Enforcement Agency - Des Moines Police Department

22807Q2

PLAINTIFF:

[X] State of Iowa [ ] County of: Polk - 77 No: 77 [ ] City of:

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

VS.

Name DRIVER (Defendant, Last) TEST (First) TEST (Middle) (Suffix) SSN/DL# 000110000 Date of Birth 1/1/1901

Address 2222 City TEST State IA Zip Code 50010 Race Caucasian

DL State IA Co #: DL Class A DL End. NONE DL Res. NONE Height 6' 00" Weight 500 Sex Male

The undersigned states that on or about 04/05/2001 at 09:02 AM defendant did unlawfully: Operate Motor Vehicle/Boat 1920 EGLE TR

US DOT# ICC# Lic. Plate #/REG 2222IA State IA Year 2000 CMV? [X] Yes [ ] No HazMat Plac Req? [ ] Yes [ ] No

Upon a public highway at ANYWHERE ST USA Located in the county and state aforesaid and did then and there commit the following offense:

Scheduled Violation/Fine $25.00 [ ] Court Appearance Required (805.10) [ ] Road Construction Zone [ ] Non-scheduled Violation

Surcharge $7.50 Reason: [ ] Accident P.I. [ ] P.D. [ ] Fatal [ ] Civil Damage Assessment

Court Costs $15.00 Violation OPERATION BY UNQUALIFIED DRIVER Speed in Zone

Total Fine/Costs $47.50 Sec #:321.449 1999 IA Code DATA CODE 236 Fed/Adm. Code 392.9 Local Ord.

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

Officer's Signature I.D. No. 00001 Dated 04/05/2001

22807Q2

Court Date: If you must appear in court or if you choose to appear to answer charges which does not require an appearance, report to the above named court on: 04/10/2001 at 05:00 AM

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

1. I promise to appear in said court at said time and place. I understand that a person who willfully fails to appear in court as specified by this citation may be subject to arrest and/or loss of driving privileges.

2. If a court appearance is not required, I may enter a plea of guilty prior to the designated appearance date by delivery in person, or by agent, or by mail to the court specified by this citation.

3. For simple misdemeanors only: "I hereby give my unsecured appearance bond in the amount of $63.75 dollars and enter my written appearance. I agree that if I fail to appear in person or by counsel to defend against the offense charged in this citation, the court is authorized to enter a conviction and render judgement against me for the appearance bond in satisfaction of the penalty and surcharge plus court costs.

Signature of Defendant Dated 04/05/2001

22807Q2

APPEARANCE PLEA OF GUILTY

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

[ ] IF YOU ARE REQUIRED TO POST BAIL TO OBTAIN RELEASE

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

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

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

Dated

Signature of Defendant

COMMENTS

7.5.7 Owner/Registrant Notice

Notice to Registrants and Owners: Proposed Unsatisfactory Ratings

Date

Vehicle/Registrant Owner's Name
Address
City, State, Zip Code

RE: Motor Carrier Name – USDOT No. XXXXXX

Dear Owner/Registrant

It has come to our attention that you are currently leasing **{give number}** motor vehicles, registered with the state of **{give name}**, to **{insert carrier name}**. This letter is to notify you that on **{date}**, the Federal Motor Carrier Safety Administration (FMCSA) completed a safety compliance review of **{insert name}** and proposed an "unsatisfactory" safety rating for that company.

Unless the company improves its compliance status or successfully appeals the compliance review findings, the FMCSA will prohibit **{insert carrier name}** from operating commercial motor vehicles in interstate commerce beginning on **{insert effective date}**. Under **{cite state law}**, the vehicle registrations assigned to a motor carrier that has been prohibited from operating by a Federal Agency may be also suspended or revoked. Accordingly, your vehicle registrations may be suspended or revoked unless **{insert carrier name}** improves its compliance status with the FMCSA or successfully appeals the proposed FMCSA "unsatisfactory" safety rating.

If you wish to discuss this situation more fully, please contact **{state point of contact}** at **{State Agency at phone number}**.

Sincerely,

Name
Title
Name of State Registration Agency

7.5.8 Suspension Notice

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

7.5.9 Revocation Notice

Unfit - Out Of Service - Revocation Letter

Iowa Department of Transportation

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

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

March 27, 2001

CARRIER NAME
STREET ADDRESS
CITY, STATE 12345-1234

To Whom It May Concern:

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

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

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

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

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

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

Sincerely,

Administrator's Name
Title

initials

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7.5.10 Request for Motor Carrier to Notify State of Broken Lease

STATE OF NEBRASKA

Dave Heineman
Governor

DEPARTMENT OF MOTOR VEHICLES
Beverly Neth
Director

August 3, 2006

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

Dear Mr. Schille:

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

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

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

Unit #	VIN	Plate Number
344	1FUJAPCG51LG75504	113941

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

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

Thank you for your cooperation.

Sincerely,

Cathy Beedle, Administrator
Nebraska Division of Motor Carrier Services

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

Nebraska DMV Department of Motor Vehicles

An Equal Opportunity/Affirmative Action Employer

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BUCKLE UP — SAVES LIVES!

8. Chapter Eight – Computer Screens Modifications

- IRP Existing Screens
- Local Census or CVIEW Files

Computer Screens Modifications

See the PRISM System Specifications for the technical details of these changes. This section covers tasks in support of Registration requirements 1, 2, 5, and 9.

8.1 IRP Existing Screens

Tasks

Registrant Level

1. Modify IRP screen formats to capture:

* The USDOT Number at the registrant level.

- The TIN at the registrant level in order to validate correctness of the USDOT Number with the file selected by the state for validation.
- If the State has an automated temporary credential process, modify the screen for temporary process to capture the USDOT Number and TIN for verification.
- The date of the last update of the MCS-150 information.
- Denial/suspension /revocation and reason for action based on the MCSIP step. (This is necessary only if the state has chosen to automate the collection of data for reporting to FMCSA)

Vehicle Level

2. Modify IRP screen formats to capture:

* The USDOT Number at the vehicle level.

- The TIN at the vehicle level in order to validate correctness of the USDOT Number.
- The date of the last update of the MCS-150 information.
- Denial/suspension /revocation and MCSIP step. (This is necessary only if the state has chosen to automate the collection of data for reporting to FMCSA)

- Modify screens to include indicator (Y-N) of whether the designated motor carrier responsible for safety is expected to change during the registration period.

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

Why

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

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

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

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

The date of last update of the MCS-150 information is necessary for the IRP operator to determine if an update is necessary prior to completing the IRP registration renewal.

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

8.2 Local Census or CVIEW Files

Task

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

Why

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

9. Chapter Nine – Computer Program Modifications and Communication Links

- **IRP Programs and Files**
- **Establish Method to Validate the USDOT Number**
- **Validate or Issue the USDOT Number**
- **Check Carrier Safety Status**
- **Enforcement Query**
- **Temporary Authority**
- **Cab Card**
- **Provide Assistance to Obtain/Correct Addresses**
- **PRISM Central Site Target File Update and Report of OOSO Carriers' Vehicles**
- **Query PRISM Target File (Roadside Inspections)**
- **Quality**
- **Renewal Notice - Adding MCS-150 Information (Year 2 and Thereafter)**
- **Report for FMCSA on Denials, Suspensions and Revocations**
- **Summary of PRISM Systems Coordination for Initial Implementation**

Computer Program Modifications and Communication Links

This section covers tasks in support of Registration requirements 1, 2, 3, 4, 5, 8, 9, 10, 11, 12, and Enforcement requirements 2 and 7.

9.1 IRP Programs and Files

Tasks

1. Modify IRP System when entering USDOT Number to be able to enter TIN and have program validate correctness with the Local PRISM Census File (or other file selected by the State) at registrant level and at the vehicle level. If desired, the vehicle level fields can be automatically populated with the same USDOT Number and TIN as provided at the registrant level unless the operator data enters different information. The USDOT Number (and TIN) at the registrant and vehicle levels are identical in over 50% of the IRP accounts. In a non-match transaction, provide a response with the data entered compared to the data obtained from the validation file.

2. Modify to store:

   - The USDOT Number at the registrant level.

   - The USDOT Number at the vehicle level. Cannot be an "R" entity type on MCMIS.

   - The MCS-150 Update Date at both the registrant and vehicle levels. (Storing this piece of information is not necessary if the field is updated every time the IRP operator queries the record. This alternative is recommended.)

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

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

Why

The USDOT Numbers are collected and validated to ensure accountability so that no vehicle is plated without identifying an entity that is responsible for its safe operation during the registration year. In addition to the USDOT number, all registrants must provide a Taxpayer Identification Number (TIN) when completing an IRP application so

that the USDOT Number can be validated. A TIN may be the registrant's Federal Employer Identification Number or Social Security Number. The validation is done to ensure the number has been issued and to prevent fraudulent recording of a USDOT Number on a registration application.

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

The MCS-150 Update Date is necessary for the IRP operator to determine if an update of the MCS-150 information must be attached to the application. It is also helpful when a customer calls into the office for help on this subject. It would be cumbersome to require the operator to check MCMIS for this date. At a minimum, this field is updated when the renewal is produced as well as when the operator begins the renewal process.

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

When a denial, suspension and revocation of registration are done, the operator needs to be able to record this information. The State will report this information quarterly to FMCSA so that this information can be complied from all the states and reported to Congress. This information is the true test of how well PRISM is working.

9.2 Establish Method to Validate the USDOT Number

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

9.2.1 Load and Maintain the Local PRISM Census File

Tasks

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

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

3. State will develop the programs necessary to retrieve the daily PRISM Census

File Updates from the Volpe SFTP Site.

4. State will develop the programs necessary to correctly process the daily PRISM Census File Updates.

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

- OR -

9.2.2 Use the CVIEW Database for Initial Validations

Tasks

1. State will contact the SAFER help desk to arrange for distribution of the CVIEW database.

2. State will arrange for daily carrier updates to the data of its CVIEW database.

Why

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

9.3 Validate or Issue the USDOT Number

Tasks

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

2.
   - Using the USDOT Number value entered on the screen for both the registrant and the Motor Carrier Responsible for Safety; perform lookups against the PRISM Local Census file or CVIEW equivalent.
   - If the USDOT Number is not found, issue a message to the user that says --the USDOT Number entered does not exist on the PRISM Local Census File (or CVIEW) as entered. Please retype the value or make sure that a USDOT Number exists in MCMIS before proceeding. **Otherwise Reject.**
   - If the USDOT Number is found but the TIN entered on the screen does not equal the TIN value on file, issue a message that says --the TIN entered does not match the value on file -- and show that value from the database.

- If the USDOT Number is found but it is inactive, issue a message that the number is inactive and operator should contact FMCSA before making the number active again
- If the USDOT Number is found but it is an intrastate only, issue a message that the number is an intrastate number only and the operator should reject the application until the carrier changes the number to be for interstate operations too.
- If the USDOT Number is found but the entity type is “registrant only,” and the number is listed at the IRP vehicle level, issue a message that a registrant only number cannot be listed as a motor carrier responsible for safety (at the vehicle level.) Reject the application

3. Establish Internet access to the MCMIS Census File, develop the procedures and coordinate them with FMCSA for users to make an internet inquiry when an inquiry to the selected validation file returns a "no-hit" after all information has been checked and to issue a USDOT Number.

Why

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

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

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

The State also needs the ability to issue a USDOT Number when a registrant does not currently maintain one. This is done though direct data entry into MCMIS.

9.4 Check Carrier Safety Status

Tasks

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

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

   For maintaining a Local PRISM Target File:

   A1. Coordinate with the PRISM Central Site, (PrismTechnicalSupport@volpe.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 Internet inquiry to FMCSA's Query Central:

   B1. State will contact FMCtechsup@volpe.dot.gov for procedures necessary to make inquiries to Query Central.

   OR

   For inquiry into State's CVIEW,

   C1. Contact the SAFER help desk to arrange for distribution of the CVIEW database and a subscription to the PRISM Targeted Vehicle File.
   C2. Load fresh file onto CVIEW daily as it becomes available.

3. Check the safety status automatically without operator intervention on each IRP registration or renewal by making an inquiry by using the method selected above

to ensure that the carrier responsible for safety of every vehicle does not have; 1.) an order prohibiting interstate operations or 2.) the vehicle does not have a registration suspension/revocation from another state or is associated with an out-of-service carrier.

- Using the USDOT Numbers value entered on the screen for both the registrant and the Motor Carrier Responsible for Safety, perform lookups against the fie selected above and get the MCSIP Step for all USDOT Numbers.

- If the USDOT Number is found but the MCSIP Step is between 54 and 63 inclusive, issue a message that says --the USDOT Number entered is step xx- plus the literal message for that step. MCSIP Step text is in appendix B of the PRISM System Specification Documentation.

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

- If the VIN is not on the PRISM Local Target file or CVIEW or if found but the USDOT Number for that vehicle has a MCSIP Step value that is not between 54 and 63 inclusive, no action is required.

- If the vehicle's USDOT Number from the PRISM Local Target file or CVIEW has a MCSIP Step between 54 and 63 inclusive, 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, new state/plate, new registration start date and carrier of the vehicle must be sent to VOLPE so that the VIN can be removed from the target file. (Sent to PrismTechnicalSupport@volpe.dot.gov.)
  Optionally, you might want to provide an automated email to VOLPE when the override above is used to avoid the need for the IRP staff to do this manually.

- Provide a daily report for the supervisor of all override transactions sorted by operator ID.

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

Why

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

If possible, the checks should be performed automatically without any operator intervention. This could be accomplished by capturing the input data and doing a VIN inquiry on the vehicles to ensure that they are not listed on the PRISM Target File or CVIEW as being assigned for safety to a Carrier whose MCSIP Step would preclude registration. MCSIP steps that indicate carrier prohibited from interstate operation are 54 through 63.

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

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

9.5 Enforcement Query

Task

1. Develop the programs for registration and law enforcement personnel to make inquiries to the State Registration files by USDOT Number on both the registrant and the motor carrier responsible for safety levels. This includes inquiry to the

IRP files directly for the IRP staff and inquiry through NLETS either to the IRP file or the state's legacy file.

Why

States must possess the ability for registration and law enforcement personnel to query the State Registration Files by USDOT Number in addition to all the other inquiries the state already has for the IRP system records. These inquiries are used for compliance reviews and roadside events. (Note: The Target file can also be accessed through NLETS).

9.6 Temporary Authority

Tasks

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

2. Print and bar code the carrier responsible for safety if it is not expected to change during the registration period.

Why

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

9.7 Cab Card

Tasks

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

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

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

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

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

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

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

Why

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

If the safety responsibility of the vehicle is not expected to change during the year, the cab card should reflect the carrier USDOT information at the vehicle level in the barcode on the registration card. If the safety responsibility is expected to change, then the barcode should not have any information concerning safety responsibility. The indicator for whether the carrier is expected to change during the registration year will trigger the information for the barcode content.

9.8 Provide Assistance to Obtain/Correct Addresses

Task

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

Why

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

9.9 PRISM Central Site Target File Update with Vehicle Information and Report of OOSO Carriers' Vehicles

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

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

9.9.1 PRISM Vehicle File Updates

Tasks

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

2. Develop programs to load PRISM Carrier File.

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

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

- OR -

9.9.2 CVIEW IRP Vehicle Registration Updates

Tasks

1. Retrieve vehicle and registration information activity from the state registration files since the last data transfer. The transaction file should contain all active status vehicle maintenance and data for vehicles previously submitted that are no longer considered active within the state IRP system. Remember – vehicles that are not renewed need to have the status code updated to inactive.

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

Why

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

vehicle data from the states each business night to update the PRISM Target and PRISM Targeted Vehicle files.

9.9.3 Report of Out of Service Carriers' Vehicles

Tasks

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

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

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

4. Create the OOSO report.

    - For states using the carrier and vehicle files:

        - As you are comparing the carrier file to the IRP files for your nightly preparation of the vehicle file for VOLPE, create another file of the vehicles you are placing on the Vehicle file of those vehicles that are associated with a carrier on the Carrier file. However, limit these vehicles to only those associated with a carrier with a MCSIP step of 54 through 63. (sample name of file – OOSO vehicles file)
        - Collect the additional information from the IRP files and the carrier file that you have determined you need for the report for the IRP manager/supervisor.
        - Compare the OOSO vehicles file with that which was created the day before. If there are vehicles on the OOSO vehicles file created the day before that are no longer on the file created this day, list these vehicles on the section of the report for the rescinding of the suspension. If there are vehicles on the OOSO vehicles file today that were not on the OOSO vehicles file from the day before, list these vehicles in the section for possible suspension.

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

- For States using CVIEW

  - Either from the Local Prism Target file (if you have selected to download for other reasons), or from the Targeted Vehicle Subscription, select the vehicles with a state plate from your state and a MCSIP step of 54 through 63 and create a file. (sample name of file – OOSO vehicles file) (Alternatively, you can select the vehicles from the IRP files that match when compared to the daily carrier census data updates.)
  - Add to the OOSO vehicles file the information that you have determined you need for the report for the IRP manager/supervisor from the IRP files and the target file or census update.
  - Compare the OOSO vehicles file with that which was created the day before. If there are vehicles on the OOSO vehicles file created the day before that are no longer on the file created this day, list these vehicles on the section of the report for the rescinding of the suspension. If there are vehicles on the OOSO vehicles file today that were not on the file from the day before, list these vehicles in the section for possible suspension.
  - Prepare the report in the format designed by you and the IRP staff.

Why

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

9.10 Query PRISM Target File (Roadside Inspections)

Note: Refer to the Check Carrier Safety Status section earlier in this section.

Tasks

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

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

   a. Internet inquiry to FMCSA's Query Central (contact FMCSA Technical Support Help Desk - Email: FMCtechsup@volpe.dot.gov)

   OR

   b. NLETS for the NLETS Carrier and Vehicle Status Request/Response. (See PRISM System Specifications Section 6.4 and Appendix B)

   OR

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

   OR

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

Why

The PRISM Target File contains information on all motor carriers in MCSIP and the vehicles assigned to those carriers. Enforcement personnel access the PRISM Target File to assist them in making decisions on which vehicles to inspect. Targeted vehicles should receive more enforcement attention while non-targeted vehicles receive less scrutiny. Targeted Carrier or Vehicle data can be accessed through FMCSA's Query Central, NLETS or a copy of the Local PRISM Target File or CVIEW.

9.11 Quality

Task

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

Why

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

9.12 Renewal Notice – Adding MCS-150 Information (Year 2 and Thereafter)

Tasks:

1. State will coordinate with the PRISM Central Site (PrismTechnicalSupport@volpe.dot.gov) for instruction on downloading the MCS-150 File from the Volpe SFTP Site for the renewal after collecting the USDOT Numbers. The MCS-150 File is needed for the printing of the renewal package. The MCS-150 File at the Volpe SFTP Site is refreshed monthly.

2. State will download the MCS-150 File from the Volpe SFTP Site and develop an inquiry capability as required to support its IRP Renewal processing.

3. State will print the Web site address on the renewal package for the carriers to update the census information - www.safer.fmcsa.dot.gov.

4. State will print the MCS-150 update date(s) (from the local census file or CVIEW) on the renewal package as information for the registrants/carriers. State will also store (or update upon inquiry or processing transactions) this date(s) on the registration file for the IRP operator.

5. State will require the registrants and carriers to update the MCS-150 information if the last update date is more than one year earlier than the first day of the new registration period.

   Option 1
   State will require the registrants and carriers to update the MCMIS information directly on MCMIS using the web site - www.safer.fmcsa.dot.gov

   Option 2
   Print the census information from the MCS-150 file for the USDOT Numbers that have a MCS-150 update date which is more than one year prior to the first day of the new registration period. In this case, the carrier is required to update MCMIS directly or supply updated information with the renewal.

   Option 3
   Print all information for all USDOT Numbers. For USDOT Numbers where the MCS–150 update date is less than one year earlier than the first day of the new registration period, indicate that an update is not necessary at this time. (This option allows more current updates by the carrier if he chooses to avail himself of the opportunity.)

Note: When populating the information for each USDOT Number, it is recommended that asterisks be used in the TIN field to avoid violating the privacy of the Social Security number.

Information is considered current if the information requested on the MCS-150 form has been updated on MCMIS within one year prior to the beginning of the IRP registration year. (This is also less than two years earlier than the last day of the new registration period which satisfies the Federal requirement for carriers to update this information biennially)

6. When responses to the Renewal Invitation are received, the IRP operator will begin the renewal process. The programming should check if the MCS 150 update date for all USDOT Numbers on the fleet at the time the renewal package was sent was current. If so, the regular IRP processes should continue. If the date was not current, the system should automatically check the local census file (or other file selected for this purpose) for the last update date(s) to determine if the information was recently updated. If this check reveals a date(s) within one year prior to the beginning of the new registration period, then the regular IRP process should be allowed to continue. If the date(s) is not within one year prior to the beginning of the new renewal period, the IRP operator should be flagged to reject the application unless an update of the information is attached to the application.

Note: An alternative to recording the update date on the file and then checking for additional updates at the time of renewal is to do the lookup of the date every time the IRP operator opens the account for inquiry or to process a transaction.

The programming should also check to be sure the USDOT Numbers are still authorized as interstate numbers and that the entity type has not been changed to "R."

6. The IRP operator must also update the local census file or CVIEW with the name and address changes of the carrier responsible for safety if it has changed. A file for this information must be accessible for update.

Why

The Federal Motor Carrier Safety Regulations require motor carriers to update their MCS-150 census information every 24 months. The current and accurate census information obtained through these updates provides for more accurate identification and targeting of high-risk motor carriers.

Once a current State motor carrier census has been established, the information is kept current through the annual IRP renewal process. Registrants must receive as part of their renewal package, census information for each different USDOT number in the fleet.

Registrants are required to update the information and verify through a signature that the information is true and accurate or update the information directly on MCMIS.

By requiring motor carriers who have not updated their MCS-150 data within the past year to update at IRP renewal time, PRISM serves as a mechanism to ensure motor carriers do not let their census data expire.

The State must also update the local census file or CVIEW with the name and address changes of the carrier responsible for safety.

9.13 Report for FMCSA on Denials, Suspensions and Revocations

Task

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

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

IRP Actions - Refuse, Deny, Suspend/Revoke

Circumstance	Refuse/delay new/renewal registration until document/information requested is provided	Deny new/renewal registration until OOSO is rescinded	Issue Suspension/Revocation Notice if currently registered. Remain in effect until an OOSO is rescinded
USDOT Number and/or TIN of registrant not provided	**YES**		
USDOT Number and/or TIN of motor carrier responsible for safety not provided	**YES**		
MCS – 150 update date not current for registrant	**YES**		
MCS – 150 update date not current for motor carrier responsible for safety	**YES**		
OOS –Final Unsatisfactory Rating for motor carrier responsible for safety		**YES**	**YES**
OOS –Failure to Pay		**YES**	**Yes if state legislation**

Federal Fines for motor carrier responsible for safety			**allows for financial reason as well as safety reasons**
OOS -Failing New Entrant Audit for motor carrier responsible for safety		**YES**	**YES**
OOS - Motor carrier responsible for safety not allowing a New Entrant Safety Audit to be conducted		**YES**	**Yes if continuing to operate**
OOS -Imminent Hazard for motor carrier responsible for safety		**YES**	**YES**

Why

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

9.14 Summary of PRISM Systems Coordination for Initial Implementation

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

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

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

- Contact Rosemarie Kelly at the PRISM Central Site (Volpe) 617-494-2572 or email KellyR@volpe.dot.gov to request a Local PRISM Census File for testing purposes. Note that a new Local PRISM Census File must be received prior to going into production.
- At the time that the "production" Local PRISM Census File is received, arrangements should also be made with the PRISM Central Site for daily updates. The daily updates to the Local PRISM Census File will be posted on the VOLPE secure FTP site for download by the state.

OR

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

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

2. Requirement to validate the USDOT Number and the motor carrier identifying information (MCS-150) data for the motor carrier and registrant prior to issuing the registration credentials.

- This requirement also requires the State to make an inquiry of the FMCSA MCMIS Census File if a "no-hit" is found on the Local PRISM Census File or CVIEW.
- Connections to the MCMIS Census File may be made directly to FMCSA or through communications facilities provided by AAMVAnet (e.g. line used for CDLIS and PDPS traffic or other means) **MCMIS is Web based**.

Procedure for accessing MCMIS Census File via AAMVAnet

- Sign into AAMVAnet (Requires an AAMVAnet account code, user ID and password)
- Access the FMCSA "FHWA" product
- Requires Motor Carrier Management Information System (MCMIS) user ID and password for each user (Issued by FMCSA)**
- Send AAMVA (in writing - but this can be done via e-mail, fax or mail) the MCMIS user IDs the State wants "FHWA" added to. This order will need to be signed by one of the State=s AT&T Global Network account Service Administrators. (The typical lead-time on these orders is three business days, but they generally come back within one day.)
- Select "FHWA" from the AAMVAnet product selection screen
- Log into "Super Session"
- Use MCMIS user ID and password
- Log into "MCMIS"
- Use same MCMIS user ID and password as above

** MCMIS IDs take about 2 weeks to process through the Austin Automation Center. Please do not request these from FMCSA until you're almost ready to use them as they will expire if not used.

- The contact for connecting directly to MCMIS is Vivian Oliver at FMCSA (202) 366-2971 or email Vivian.Oliver@fmcsa.dot.gov

- The contact for connecting to MCMIS through AAMVAnet varies based on the state. For information about costs and procedures for connecting through AAMVAnet to the MCMIS Census File, please contact the appropriate AAMVAnet Network Account Manager listed in the contact section of this manual.

3. Requirement to have the capacity to issue USDOT Numbers by online access to the MCMIS Census File using standardized procedures.

    - The connection to MCMIS will be the method selected above.
    - The contact person for scheduling MCMIS Training is Vivian Oliver (202) 366-2971.

4. Requirement to enter updates to MCS-150 information for motor carriers and registrants into the MCMIS Census File by direct access to the MCMIS Census File or by coordinating with FMCSA.

    - The connection to MCMIS will be the method selected above.

5. Requirement to update the PRISM Target File nightly with registration information for vehicles assigned to motor carriers in MCSIP.

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

    - This requires the State to download the daily PRISM Carrier File that is provided by the PRISM Central Site.
    - This also requires the State to build a PRISM Vehicle File by using the PRISM Carrier File to identify those carriers in MCSIP and retrieving the most recent registration information for all State vehicles assigned to a carrier in MCSIP. The PRISM Vehicle File must be uploaded nightly to the PRISM Central Site. This is a full file replacement that does not involve any "add" or "delete" records.
    - The State must make arrangements with the PRISM Central Site on when to begin sending the State the PRISM Carrier File. The contact at the PRISM Central Site is Rosemarie Kelly (see item 1)

OR

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

- Coordinate with SAFER to upload a full set of active status vehicles from the state's IRP system.
- Maintain the SAFER vehicles with IRP vehicle transactions performed by the state and update that activity daily into SAFER.

- Update the status of SAFER vehicle records to inactive if a vehicle is no longer considered active in the state's IRP system

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

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

10. Chapter Ten – Regular Computer Runs

- Establish Method to Maintain PRISM Census File
- Establish Method to Update PRISM Vehicle File Information
- Report of Out of Service Carriers' Vehicles
- Query the Target File
- Report for FMCSA on Denials, Suspensions and Revocations

Regular Computer Runs

This chapter covers tasks in support of Registration requirements 3, 10 and Enforcement requirement 2.

10.1 Establish Method to Maintain PRISM Census File

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

10.1.1 Maintain Local PRISM Census File

Tasks

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

2. Process the daily PRISM Census File Updates.

OR

10.1.2 Maintain CVIEW

Tasks

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

2. Process the daily CVIEW motor carrier data updates.

Why

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

10.2 Establish Method to Update PRISM Target File

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

10.2.1 PRISM Vehicle File Updates

Tasks

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

2. Load PRISM Carrier File.

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

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

OR

10.2.2 CVIEW IRP Vehicle Registration Updates

Tasks

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

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

Why

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

10.2.3 Report of Out of Service Carriers' Vehicles

Tasks

1. Create the OOSO report

- For states using the carrier and vehicle files:

  - As you are comparing the carrier file to the IRP files for your nightly preparation of the vehicle file for VOLPE, create another file of the vehicles you are placing on the Vehicle file of those vehicles that are associated with a carrier on the Carrier file. However, limit these vehicles to only those associated with a carrier with a MCSIP step of 54 through 63. (sample name of file – OOSO vehicles file)
  - Collect the additional information from the IRP files and the carrier file that you have determined you need for the report for the IRP manager/supervisor.
  - Compare the OOSO vehicles file with that which was created the day before. If there are vehicles on the OOSO vehicles file created the day before that are no longer on the file created this day, list these vehicles on the section of the report for the rescinding of the suspension. If there are vehicles on the OOSO vehicles file today that were not on the OOSO vehicles file from the day before, list these vehicles in the section for possible suspension.
  - Prepare the report in the format designed by you and the IRP staff.

- For States using CVIEW

  - Either from the Local Prism Target file (if you have selected to download for other reasons), or from the Targeted Vehicle Subscription, select the vehicles with a state plate from your state and a MCSIP step of 54 through 63 and create a file. (sample name of file – OOSO vehicles file) (Alternatively, you can select the vehicles from the IRP files that match when compared to the daily carrier census data updates.)
  - Add to the OOSO vehicles file the information that you have determined you need for the report for the IRP manager/supervisor from the IRP files and the target file or census update.
  - Compare the OOSO vehicles file with that which was created the day before. If there are vehicles on the OOSO vehicles file created the day before that are no longer on the file created this day, list these vehicles on the section of the report for the rescinding of the suspension. If

there are vehicles on the OOSO vehicles file today that were not on the file from the day before, list these vehicles in the section for possible suspension.

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

Why

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

10.3 Query the Target File

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

Task

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

Why

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

10.4 Report for FMCSA on Denials, Suspensions, and Revocations

Task

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

Why

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

11. Chapter Eleven – Training

- Registration Staff Training
- Motor Carrier Training
- Enforcement Officers Training
- Other Training
- Sample Language for PRISM Brochure for Industry
- Sample Language for General PRISM Brochure

Training

This section covers tasks in support of Registration requirements 15, 16, 17 and Enforcement requirement 5.

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

11.1 Registration Staff Training

Tasks

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

    - Incorporate information from the following sections of this document:

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

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

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

http://cvisn.fmcsa.dot.gov

Click on the Documents button in the top menu, and then click on the PRISM link located in the menu on the left. There are two modules – one for the instructor and one for the students. There are also several other documents to assist the IRP operator. This training can be customized in about two hours.

Why

When a State enters the PRISM process there are changes made in the State's IRP processing. There are changes in numerous forms and additional computer information is available and required to be used during the IRP processing. Moreover, registration actions may be taken against a registrant or motor carrier based on their safety performance in PRISM. To ensure a thorough understanding of the changes due to the PRISM process, all employees connected with IRP processing should be fully briefed on PRISM and those employees whose procedures are changed must be trained on the new procedures. The brochure that describes PRISM has also been developed by FMCSA and is helpful with this training requirement. In addition, FMCSA has developed a training course that can be customized by each state for their unique forms and procedures.

11.1.1 MCMIS Training

Tasks

1. Contact your FMCSA Division Office or FMCSA Headquarters to arrange for MCMIS training for appropriate staff. (Vivian Oliver 202-366-2971)

2. Schedule training several months prior to implementation of PRISM for staff that will process applications using MCMIS.

Why

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

11.2 Motor Carrier Training

Tasks

1. Involve the state trucking association.

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

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

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

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

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

- Magazine Articles

* Advertise in truck specific magazines, such as
  a. *Overdrive*
  b. The jurisdiction's motor carrier association magazine.

- Truck Stops
  - Post bulletins concerning the program and dates of implementation.

Why

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

11.3 Enforcement Officers Training

Tasks

1. Prepare bulletins notifying law enforcement of the provisions of the PRISM legislation/program and provide contact points for clarification.

2. Identify and develop training courses designed specifically for law enforcement personnel. Include information from the following sections of this document:

   - PRISM Overview
   - Prism Benefits

- Functions and Workflows Form changes
- MCSIP Operations Support
- Also include information on the PRISM System Check.

The PRISM team is currently developing a generic training course for law enforcement. It is currently in beta testing. It is expected to be ready in early 2008 and will be available on the CVISN website:

http://cvisn.fmcsa.dot.gov

3. Conduct training classes for all interested law enforcement personnel.

Why

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

11.4 Other Training

Task

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

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

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

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

Why

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

11.5 Sample Language for PRISM Brochure for Industry

What is PRISM?

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

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

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

Registration

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

The vehicle registration process ensures that all carriers engaged in interstate commerce are uniquely identified through a USDOT number when they register their vehicles. PRISM provides a one stop shopping opportunity for carriers to obtain a USDOT Number. The state registration office can issue this number for the federal government.

The safety fitness of each carrier can then be checked prior to issuing vehicle registrations. Those motor carriers that have been prohibited from operating in interstate commerce by the Federal Motor Carrier Safety Administration may have their ability to register vehicles denied by the State. This collection of updated information also improves the current census and operational data on interstate motor carriers nation-wide.

Enforcement

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

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

Once the carrier exceeds the bounds of the established safety threshold, the motor carrier enters MCSIP. MCSIP includes several stages of progressively stronger warnings to motor carriers and provides opportunities for the motor carriers to improve operations and return to a safe condition. Within MCSIP, carriers with potential safety problems are identified and prioritized for an on-site review using the data-driven, performance-based tool Motor Carrier Safety Status (SafeStat) prioritization methodology developed for the PRISM program. Under SafeStat a carrier's safety performance is assessed based on all available data (roadside inspection, compliance reviews (CRs), crashes, enforcement history). New safety information is added to this data source on a continuous basis, and SafeStat uses this information to provide current safety indicators for all carriers for which there is sufficient data.

How does PRISM affect IRP Registration?

IRP serves as the framework for the PRISM program. The USDOT number of the motor carrier responsible for the safety of every vehicle registered must be identified during the registration process as well as the USDOT Number of the registrant. Additionally, updated MCS-150 form information for each identified motor carrier responsible for safety on an IRP account and for the registrant is required unless the motor carrier and the registrant have each updated this information within 12 months prior to the first day of the renewal period directly on the federal MCMIS web page.

In many of the IRP accounts, the registrant that maintains the IRP account and the motor carrier that is responsible for safety are the same. In some instances though, the IRP account registrant and the motor carrier responsible for the safety of individual vehicles

on the account may be different. The following outlines USDOT Number and MCS-150 update requirements associated with PRISM and IRP registration in these instances.

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

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

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

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

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

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

If the rental/leasing company registers its vehicles in the name of the lessee, then the requirements under company vehicles above apply.

- Owner/Operators registering in their own name.

Owner/operators who register in their own names must obtain a USDOT Number for themselves. This number is for registration purposes only and does not provide the owner/operator with his/her own operating authority. In addition, the owner/operator must provide the USDOT Number for the company to whom he/she leases. Updated copies of the MCS-150 must be submitted for the owner/operator and all companies

responsible for safety (the lessees). The MCS-150 forms for the companies must be completed by the companies. If the MCS-150 information has been updated within the previous 12 months from the first day of the new registration period, the copies of the MCS-150 are not necessary. The owner/operator must record his/her USDOT Number in Section C of the IRP Schedule A. Column 21in the vehicle section should be completed with the company's USDOT Number. Column 22 should indicate whether the term of the lease is as long as the registration year.

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

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

How does PRISM affect Inspections?

Motor carriers in the PRISM MCSIP process are recommended for inspection at the roadside. Once a motor carrier improves its safety status sufficient to exit the MCSIP, it will no longer be recommended for inspection.

11.6 Sample Language for General PRISM Brochure

What is PRISM?

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

- Determine the safety fitness of the motor carrier prior to issuing license plates.
- Influence the carrier to improve its safety performance through an improvement process and, where necessary, the application of registration sanctions.

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

Registration

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

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

Enforcement

The Motor Carrier Safety Improvement Process (MCSIP) is the means by which carrier safety is systematically tracked and improved. MCSIP is a data-driven process that uses current safety event information such as crashes, inspections, driver violations, compliance review data and other data to assess and monitor motor carrier safety performance. Safety events are assigned to the motor carrier responsible for the safety of

the motor vehicle and are weighted according to severity, frequency and time since the occurrence.

The process is designed to improve the safety performance of carriers with demonstrated poor safety performance through accurate identification, performance monitoring and treatment. Once the carrier exceeds the bounds of the established safety threshold, the motor carrier enters MCSIP. MCSIP provides opportunities for the motor carriers to improve operations and return to a safe condition. Within MCSIP, carriers with potential safety problems are identified and prioritized for an on-site review using the Motor Carrier Safety Status (SafeStat) prioritization methodology developed for the PRISM program. A federal operations out-of-service order and concurrent state registration suspension or revocation is the ultimate penalty if there is no improvement in the motor carriers' safety fitness record.

PRISM Benefits

PRISM demonstrates the following safety, economic and productivity benefits:

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

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

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

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

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

Improved Data Quality - The PRISM program has shown that an improvement in the accuracy and timeliness of data will result in better resource allocation and heightened

efficiencies in the administration of major federal and state safety programs. Several of the most notable data improvement initiatives are listed below:

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

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

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

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

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

Cost Effectiveness - The program was evaluated for cost effectiveness. One time costs for deployment nationwide will be $22.5M with annual deployment savings estimated to be $8.9M based on the pilot savings. The pay back time period is only 2.5 years.

Customer Service – PRISM provides a one-stop shopping opportunity for carriers to obtain a USDOT Number, meet Congressionally mandated data update requirements, and get their IRP license plates simultaneously. Through the PRISM program, the state registration offices can issue these numbers for the federal government.

How does PRISM affect IRP Registration?

IRP serves as the framework for the PRISM program. The USDOT number of the motor carrier responsible for the safety of every vehicle registered must be identified during the registration process as well as the USDOT Number of the registrant. Additionally,

updated MCS-150 form information for each identified motor carrier responsible for safety on an IRP account and for the registrant is required unless the motor carrier and the registrant have each updated this information within 12 months prior to the first day of the renewal period directly on the FMCSA web page www.safer.fmcsa.dot.gov.

In many of the IRP accounts, the registrant that maintains the IRP account and the motor carrier that is responsible for safety are the same. Table A outlines USDOT Number and MCS-150 update requirements associated with PRISM and IRP registration in these instances.

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

	Registrant Level	**Individual Vehicle Level**
USDOT Number Requirement	USDOT Number of the Registrant	Same
MCS-150 Requirement	Updated MCS-150 for the IRP registrant required unless one has been submitted or the information has been updated directly on the federal web site within 12 months prior to the first day of the renewal period.	No additional requirement
Action	Record USDOT Number in Section C of the IRP Schedule A and write 'same' in column 21 of the vehicle section of Schedule A.	

In some cases though, the IRP account registrant and the motor carrier responsible for the safety of individual vehicles on the account may be different. The following examples and Table B outline USDOT Number and MCS-150 update requirements associated with PRISM and IRP registration in common instances.

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

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

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

Owner/operators who register in their own names must obtain a USDOT Number for themselves. This number is for registration purposes only and does not provide the owner/operator with his/her own operating authority. In addition, the owner/operator must provide the USDOT Number for the company to whom he/she leases. Updated copies of the MCS-150 must be submitted for the owner/operator and all companies responsible for safety (the lessees) if the information has not been updated with the past 12 months. The MCS-150 forms for the companies must be completed by the companies. The owner/operator must record his/her USDOT Number in Section C of the IRP Schedule A. Column 21 should be completed with the USDOT Number of the motor carrier responsible for safety. Column 22 should indicate whether the term of the lease is as long as the registration year.

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

Companies who use all leased vehicles registered in the name of the lessors (rental/leasing or owner/operators) must provide the lessor with an updated copy of the MCS-150 unless the information was updated on MCMIS with the past 12 months. The lessor will submit it to the state registration office in order to have the vehicle's registration renewed.

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

	Registrant Level	**Individual Vehicle Level**
USDOT Number Requirement	USDOT Number of the Registrant	Two General Situations Apply: 1. USDOT Number of the motor carrier responsible for safety if known and expected to stay the same for at least 30 days from the renewal. 2. USDOT Number of the Registrant as a default if the motor carrier responsible for safety is unknown, or expected to change within 30 days of renewal. Registrant must have authority in this case.

MCS-150 Requirement	Updated MCS-150 for the IRP registrant required unless one has been submitted or the information has been updated directly on the federal web site within 12 months prior to the first day of the renewal period.	An Updated MCS-150 associated with each USDOT Number on the IRP account is required unless one has been submitted or the information has been updated directly on the federal web site within 12 months prior to the first day of the renewal period
Action	Record USDOT Number in Section C of the IRP Schedule A, and the appropriate USDOT Number of the motor carrier responsible for safety in column 21 in the vehicle section. Indicate in column 22 if the lease is for the full registration year (Y/N).	

How does PRISM affect Roadside Inspections?

Motor carriers in the PRISM MCSIP process are recommended for inspection at the roadside. Once a motor carrier improves its safety status sufficient to exit the MCSIP, it will no longer be recommended for inspection.

12. Chapter Twelve – Legislative Authority

- Authority Requirements
- Model Legislation

Legislative Authority

This section covers tasks in support of Registration requirements 6, 7 and Enforcement requirement 1.

Tasks

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

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

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

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

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

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

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

Why

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

In some states, the authority for law enforcement to actually retrieve plates from carriers who have received PRISM registration sanctions must be procured separately from the authority discussed in the previous paragraph. Each state must decide the legality of this

issue based on individual state statutes and seek legislative authority or changes administrative rules to retrieve plates if it is necessary.

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

12.1 Model Legislation

Grounds for Refusal of Registration:

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

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

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

The (appropriate State agency) is authorized to suspend or revoke the registration, registration card, registration plate or permit of a commercial motor vehicle if the commercial motor carrier responsible for safety of the vehicle has been prohibited from operating by a Federal agency.

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

The (appropriate State agency) is authorized to suspend, revoke or refuse to issue or renew the registration, registration card, registration plate or permit of a commercial motor vehicle if the commercial motor carrier responsible for safety has been prohibited from operating by a Federal agency.

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

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

The (appropriate State agency) shall deny registration if the applicant fails to disclose material information required or if the applicant has made a materially false statement on the application, or 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.

13. Chapter Thirteen – IRP Processing Operation

❖ **IRP renewal year 1**

- **Renewal Package**
- **IRP Workflow**
  - **Document verification -Identify, collect, and maintain the USDOT Number and TIN**
  - **Document data entry - New data for PRISM to validate the USDOT Number**
- **Issue USDOT Numbers**
  - **How to determine if USDOT Number is needed**
  - **Issuing process**
- **Check carrier safety status**
- **Temporary authority processes**

❖ **IRP renewal year 2**

- **Renewal Package**
- **MCS 150 information download**
- **Updates of MCS-150 information to MCMIS**
- **IRP Renewal Cycle Summary Checklist**
- **Verify bar coded information**

IRP Processing Operations

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

13.1 IRP Renewal Year 1

13.1.1 Renewal Package

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

Schedules A & B -**Modified**
Extra vehicle schedules
Carrier Instruction manual
Industry meeting notification
MCS 150 blank form for registrants and motor carriers that do not have USDOT Numbers
MCS 150A blank form for motor carriers that do not have USDOT Numbers

Why

It is necessary for the carrier to complete the MCS-150 Form to obtain a USDOT Number. This can be done online with MCMIS or by completing the form for the state office. The MCS 150A form is a supplement to the MCS150 and used when the carrier is applying for a USDOT number for the first time. Registrants who are not motor carriers need not complete the A supplement when applying for a USDOT Number. The schedules A and C are modified to collect the USDOT Numbers of the registrant and motor carriers responsible for safety along with the TINs for all the USDOT Numbers and an indicator to determine if the carrier responsible for safety is expected to change during the registration year.

13.1.2 IRP Workflow

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

- Mail Distribution
  1. Receive and open mail
  2. Log applications
  3. Distribute mail
     a. IRP applications from base registrants
     b. IRP applications from other jurisdictions
     c. Payments

d. Correspondence
e. Audit reports from other jurisdictions
f. Returned credentials

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

- **Document data entry**
  1. Enter the information from the IRP forms into the IRP data base

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

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

13.1.2.1 Document Verification

Add to process:

Identify, collect, and maintain the USDOT Number and TIN of the Registrant and the Motor Carrier Responsible for the Safety of each Vehicle and ensure the MCS-150 information is updated by the registrant and the motor carrier responsible for safety (if different).

Tasks

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

   - The USDOT Number of the Registrant at the Registrant level
   - The TIN of the Registrant at the Registrant level
   - The USDOT Number of the carrier responsible for safety at the vehicle level.
   - The TIN of the carrier responsible for safety at the vehicle level
   - The indicator Y - N is completed noting if the carrier responsible for the safety is or is not expected to change during the year.

2. After the first year of PRISM implementation, verify the registrant has updated the MCS-150 information or included a MCS-150 for himself and for every motor

carrier to which he is leased. The update can be verified by checking the "date of last update of the MCS-150" field on your IRP screen for the registrant and vehicle USDOT Numbers or by checking MCMIS. If the MCS-150 has not been updated within the 12 months prior to the beginning of the new registration year, the MCS-150 information must be updated. **If a paper MCS-150 is used for this purpose rather than the motor carrier updating directly on MCMIS, be careful with the signature that is on the MCS-150.** Some registrants think they can sign for the motor carrier. Also check for the number of vehicles on the MCS-150 for the carrier. This should reflect the total number of vehicles in the carrier's fleet – not reflect one vehicle for the owner operator who is registering. **This is also an area where mistakes are prevalent**.

3. This list of questions further defines whose MCS-150 information is needed and what to barcode on the cab card:

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

- Registrant must provide updated MCS-150 information covering all of the vehicles. USDOT Number must be a motor carrier entity type on MCMIS
- Bar Code Registrant's USDOT Number as responsible for safety

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

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

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

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

- Registrant must have updated MCS-150 information for each Carrier to whom he will lease one or more vehicles **and** <u>his own MCS-150 updated information</u>
- Registrant cannot complete the lessee Carrier's MCS-150 form or update the information on behalf of the lessee carrier as he will not know some information and is not authorized to sign for lessee carrier, so he must get the MCS-150 from the lessee Carrier or have the lessee carrier update the information directly on MCMIS.
- State should barcode the USDOT Number of the carrier responsible for safety.

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

- The first two bullets above apply; however, no USDOT Number is bar coded.

4. If any schedule does not contain all the information that is needed or contains

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

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

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

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

Why

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

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

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

The registrant will identify the motor carrier responsible for safety assigned to the motor vehicle at the time of registration or renewal and indicate whether it is expected to change throughout the registration period. This will enable law enforcement to receive motor carrier information if the motor carrier does not change.

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

become a part of the Default Motor Carrier's safety record. The registrant and the motor carrier are the same 50 % or more of the time.

All registrants must provide a USDOT Number and a Taxpayer Identification Number (TIN) when completing an IRP application. A TIN may be the registrant's Federal Employer Identification Number or Social Security Number. A separate data field for the registrant's TIN and the TIN and USDOT Number for the carrier responsible for the safety of each vehicle must be included on the IRP Vehicle schedules to validate their correctness.

The MCS-150 forms for all vehicles in the fleet if the information has not been updated on MCMIS within the last year must also be provided.

13.1.2.2 Document Data Entry

<u>New data for PRISM to validate the USDOT Number</u>

Tasks

1. In addition to the IRP data items:

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

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

   If there is no TIN on the MCMIS file, then a check of the carrier name by the operator should be done. Also the TIN should be verified by the IRP operator with the motor carrier or registrant whose number is in question and data enter the

TIN on MCMIS. Registration should not be denied in this situation even though the proper VIN is not on the local census file. It will be corrected in the next update file.

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

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

   - If the USDOT Number is found but it is inactive, the IRP operator should contact FMCSA before making the number active again
   - If the USDOT Number is found but it is an intrastate only, the IRP operator should reject the application until the carrier changes the number to be for interstate operations too.
   - If the USDOT Number is found but the entity type is "registrant only," and the number is listed at the IRP vehicle level, the IRP operator must inform the registrant that he either obtains his own authority or he acquires a lease to a motor carrier with authority.

4. If there is a no hit, access the MCMIS Census File. If there is no record, reject the application to the registrant for corrected numbers.

Why

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

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

The State needs to verify the USDOT number presented by the registrant during the registration process. The TIN is used for verification of the USDOT Number. This is to

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

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

13.1.3 Issue USDOT Numbers

How to determine if a USDOT Number is needed

This process is intended for use with registrants and motor carriers who do **NOT** now have a USDOT number and operate interstate.

- Applicant Status - It is important to know whether the applicant will be:
  The Registrant -The registration/cab card will be in the applicant's name and he is not a motor carrier
  The Motor Carrier -The applicant will be the motor carrier responsible for safety on the roadway

- Initial qualifying questions to ask

1. Are you a registrant or a motor carrier responsible for the following types of vehicles?

   a. Is your vehicle over 10,000 pounds GVWR (gross vehicle weight rating)?
   b. Do you transport hazardous materials in amounts requiring placards?
   c. Is your vehicle designed to transport 16 passengers or more, including the driver?
   d. If your vehicle is a pickup, truck or tractor pulling a trailer in combination, is it over 10,000 pounds GCWR (gross combined weight rating)?

If questions 1 a – d are ALL answered NO, a USDOT Number is not needed. **If any are answered YES, proceed to questions 2 & 3.**

2. Do you now (or will you within the next 12 months) register or operate a commercial motor vehicle that crosses State lines?

3. Do you now (or will you within the next 12 months) transport (or register a vehicle which will transport) interstate or foreign freight within the State (e.g. US Mail)?

If question 2 and 3 are answered NO, a USDOT Number is not needed. If either 2 or 3 is answered YES, answer Question 4 and proceed to issue USDOT number.

4. Does your company ship hazardous materials?

If yes, notify FMCSA division office and provide contact name, address and phone number. (Shippers of hazardous material must also have a USDOT Number.)

If yes to any of the questions, a USDOT number should be issued if they do not already have one.

States may choose to require the registrant and motor carriers to obtain numbers directly from MCMIS. Carriers may secure their own USDOT Numbers by making an inquiry to www.safer.fmcsa.dot.gov, fill out the forms, provide a credit card for identification purposes only (the carrier will not be charged for this transaction) and the carriers will receive their USDOT Numbers and PINs (Personal Identification Number) to be used when subsequently updating their MCS-150 information.

FMCSA will fund terminals in the IRP office for the customer to use and/or clerks to provide this service.

If you have installed terminals for the registrant/carrier's use, it is recommended that instructions for obtaining a USDOT Number be posted at the terminal. A sample instruction posting follows:

(Sample instructions to be posted by the terminal for public use)

How to Apply For a DOT Number

Step 1

Sign into SAFER website – www.safersys.org

Step 2

Under the heading FMCSA Services, click into FMCSA Registration & Updates. The next screen will give you the option of filing with help, or without. The Help screen will help you answer questions, such as; "Do I Need a DOT Number?"

Step 3

Click on the first category – New or Additional Registration. Click Continue.

Step 4

Are you a Registrant (leasing to another carrier & running under their DOT)?
Click – Vehicle Registrant but not a Motor Carrier

Are you a Motor Carrier (running under your own DOT number and applying for Authority)?
Click – Motor Carrier

Step 5

Select location of business (state in which you are registering)
Registrant – scroll to the bottom and click Continue

Motor Carrier – Answer all questions under Motor Carriers Only, scroll to the bottom and click Continue.

Step 6

The following page will assign you a Tracking Number and Personal Identifier. NOTE – write these numbers down for future reference.

Scroll to the bottom of the page and File Electronically. Enter all credit card information and Submit.

Step 7

Enter the Company Official and Title. Click Continue

Step 8

Registrant – enter all the information and click Continue

Motor Carrier – enter all the information and answer all the questions. Click Continue.

Step 9

The DOT number has been issued.

Issuing process for the IRP staff

Tasks

1. Motor carrier fills out a MCS-150 and MCS 150A.
   Registrants fill out the MCS-150 only.

   a. Clarify status. Is motor carrier/registrant a separate legal entity? If so, it must have its own USDOT number. If it is a division of another company, its trucks must be marked with the parent company's USDOT number.
   b. Clarify principal place of business for safety. If the company has several locations, it must declare one location as its principal place of business for safety. (It does **not** have to be where the corporate office is.)

2. Registration official must perform a thorough search of the local census file to determine if the carrier is already on the system. If the carrier is already on the system, only an update is needed.

3. If the carrier is not on the local census file or CVIEW, search MCMIS for the carrier. Use the account code that is given to the State by FMCSA to access MCMIS.
   a. If the carrier is on MCMIS, update current information. (A registrant's USDOT Number is denoted with an 'R' on MCMIS.
   b. If the carrier is on MCMIS, but is in a closed (inactive) status, contact your local FMCSA Division Office to check if there is any reason not to reactivate. If FMCSA approves, reactivate the file and update the current information.
   c. If the carrier is not on MCMIS, add the carrier to the census/

4. Enter the critical information from the MCS-150 and all the information from the MCS-150A form on the MCMIS Census File:

   1 Name of Motor Carrier (Legal Name)

   2 DBA/trade name (if applicable)

   3 Principal Street Address *

   4 Principal City

   5 Principal State/Province

   8 Mailing Address (If different than physical address)

   9 Mailing City

10 Mailing State

11 Zip Code

13 Principal business phone number

19 IRS/Tax ID NO.: EIN and/or SSN

22 Company Operation

23 Operation Classification

24 Cargo Classification

26 Equipment

27 Drivers subject to the FMCSR (except "Total CDL Drivers)

* If the mailing address is the only address provided, it can be entered in both the physical and mailing address fields, provided that it is not a post office box. The principal street address has to be the actual physical address of the company.

For a registrant only number, only part of the MCS 150 needs to be completed. The following are the necessary fields to obtain the registrant “R” number:

Census type **“R”**

1 Name of Motor Carrier (Legal Name)

2 DBA/trade name (if applicable)

3 Principal Street Address*

4 Principal City

5 Principal State/Province

8 Mailing Address (If different than physical address)

9 Mailing City

10 Mailing State

11 Zip Code

13 Principal business phone number

19 IRS/Tax ID NO. - EIN and/or SSN

22 Company Operation – vehicle registrant only

* If the mailing address is the only address provided, it can be entered in both the physical and mailing address fields, provided that it is not a post office box. The principal street address has to be the actual physical address of the company.

Note: The MCS-150A is not required for those persons who have an entity type on the MCMIS database of registrant, shipper, or intrastate – It is required for persons with an entity type on the MCMIS database of carrier making application for the first time.

5. Give the USDOT number to the carrier.

6. Provide the carrier with the marking requirement and give the carrier a copy of the marking requirement regulation and a supplier's list.

7. Provide a State number for questions.

8. Send the completed MCS-150 and MCS-150A to FMCSA Headquarters for entry onto the EDMS system.

Note: If the state has chosen to only enter the critical information, send the MCS-150 forms to FMCSA on a regular basis. The contractor for FMCSA has requested for States not to hold onto the forms and then send large batches infrequently.

The address is:

U. S. DOT
Federal Motor Carrier Safety Administration
MC-RIS, Room 8214
Washington, DC 20590

Why

The registrant and motor carrier responsible for safety must have USDOT Numbers prior to the IRP office issuing registration. In order for registration to not be delayed because of the lack of a number, the state must have the capability to issue the numbers. States have an option of entering all the data or just that that is required to obtain the number. States may also choose the option to require the registrant and motor carrier responsible for safety to obtain the numbers directly from MSMIS over the web.

13.1.4 Check Carrier Safety Status

Tasks

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

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

3. If the registrant indicates that the vehicle is no longer leased to the "bad" carrier or the vehicles have been sold to another good carrier, obtain documentation to prove these statements. You might want to also confirm the lease with the carrier responsible for safety.

   If the registrant's USDOT Number is also out of service, contact the carrier responsible for safety to request notification by the carrier responsible for safety if the lease is broken during the registration year (Sample letter in section 7.5.10). Explain to the carrier that you want to remove his USDOT Number from the file for this registrant so that the registrant can be contacted for information on who is now responsible for safety. If there is a non-match for an event, the former carrier responsible for safety could have the event recorded on his record if he does not contact the IRP office with the change in lease information. The carrier usually wants to cooperate for this reason. If the carrier then does notify you of a broken lease, contact the registrant for proof of another lease to another good carrier. If a new lease is not provided, suspend the registrant's registration until such time that a new lease is provided.

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

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

Why

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

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

13.1.4.1 Review Report of OOSO Carriers' Vehicles

Tasks

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

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

3. - On a daily basis:

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

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

quickly and therefore not require suspension or revocation of the vehicles)

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

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

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

Why

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

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

13.1.5 Temporary Authority Processes

Task

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

Why

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

13.2 IRP Renewal Year 2 and Thereafter

13.2.1 Renewal Package

- Printed MCMIS web address
- Preprinted MCS 150 update date
- Preprinted MCS 150 information if necessary
- Preprinted Schedules A & B
- Extra vehicle schedules
- Carrier Instruction manual
- Industry meeting notification, if appropriate
- Deadlines

13.2.2 MCS-150 Information Download

Tasks (Completed by the State's Computer Center)

1. Obtain the MCS-150 information file for all carriers for the second and subsequent years of PRISM implementation. The file is needed for the printing of the renewal package.

2. Print the MCS-150 update date(s) (from the local census file or CVIEW) on the renewal package as information for the registrants/carriers.

3. Print the Web site address on the renewal package for the registrants/carriers to update the census information - www.safer.fmcsa.dot.gov

4. Print the census information on the MCS-150 format or in a data stream from the MCS-150 file for each USDOT Number in a motor carrier's fleet and include in the carrier's renewal package to be updated by the carrier according to the option selected:

   Option 1
   State will require the registrants and carriers to update the MCMIS information directly on MCMIS using the web site. The renewal package must indicate this requirement for the registrants.

   Option 2
   Print the census information from the MCS-150 file for the USDOT Numbers that have a MCS-150 update date which is more than one year prior to the first day of the new registration period. In this case, the carrier is required to update MCMIS directly or supply updated information with the renewal.

Option 3

Print all information for all USDOT Numbers. For USDOT Numbers where the MCS–150 update date is less than one year earlier than the first day of the new registration period, indicate that an update is not necessary at this time. (This option allows more current updates by the carrier if he chooses to avail himself of the opportunity.)

Note: In all of these methods, if a carrier has updated the information through the FMCSA directly or by updating through another PRISM state registration within one year prior to the beginning of the renewal period for which the registrant is now registering, additional updates do NOT need to be collected again at this time.

Why

The Federal Motor Carrier Safety Regulations require motor carriers to update their MCS-150 census information every 24 months. The current and accurate census information obtained through these updates provides for more accurate identification and targeting of high-risk motor carriers.

By requiring motor carriers who have not updated their MCS-150 data within the past year to update at IRP renewal time, PRISM serves as a mechanism to ensure motor carriers do not let their census data expire. This requirement ensures a motor carrier's census data will not exceed 24 months old during the registration period.

Registrants must receive as part of their renewal package, census information for each different USDOT number in the fleet. Registrants are required to update the information and verify through a signature that the information is true and accurate unless the information has already been updated within the last year.

13.2.3 Updates of MCS-150 Information to MCMIS

Tasks

1. When responses to the Renewal Invitation are received, the IRP operator will begin the renewal process. The programming should check if the MCS-150 update date on file for all USDOT Numbers on the fleet is current. If so, the regular IRP processes should continue. If the date is not current, the system should automatically check the local census file or CVIEW again for the last update date(s) to determine if the information was recently updated. If this check reveals a date(s) within one year prior to the beginning of the new registration period, then the regular IRP process should continue. If the date(s) is not within one year prior to the beginning of the new renewal period, a message is returned to the IRP operator indicating the update date is not current.

Note: Information is considered current if the information requested on the MCS-150 form has been updated on MCMIS within one year prior to the beginning of the IRP registration year. (This is also less than two years earlier than the last day of the new registration period which satisfies the Federal requirement for carriers to update this information biennially)

2. Reject the registration application unless an update of the information is attached to the application.

3. If updates are included, directly update the MCMIS Census File with all or partial information or send them to the FMCSA Division/FMCSA Headquarters for updating the MCMIS Census File. The headquarters address is:

   U. S. DOT
   Federal Motor Carrier Safety Administration
   MC-RIS, Room 8214
   Washington, DC 20590

   Note: The name and address changes must be entered by the State on MCMIS and on the local census or CVIEW to be sure the bar code has accurate information.

4. **Existing USDOT Numbers on renewals will be revalidated only to be sure they have not been changed to intrastate only or to registrant only numbers. Also, w**hen new vehicles are added, the USDOT Numbers for the new vehicles must be validated if the number is different from that of the registrant or other vehicles in the fleet.

Carriers are able to update MCMIS directly on the Internet. To simplify the process of ensuring the MCS-150 information is updated, you should **encourage** the registrants to update MCMIS directly before the registration period. A simple method would be to collect the registrants' email address and then several months prior to sending the renewal package, send an email to the registrants. Suggest they update MCMIS within the next month so that their IRP renewal will be more efficient and the registrant will not experience any delay with renewing due to this requirement. You could also send information for this update with IFTA information or a simple post card 3 to 6 months prior to the renewal package being sent.

Note: Once a carrier is an "HM permit" carrier, they should fill out the MCS-150B each time they are required to update instead of the MCS-150. When updating on line, the carrier will automatically be directed to the MCS-150B form if they check that they haul one of the hazards items requiring a permit.

If you receive a 150B directly from the carrier, handle as you would for the MCS-150.

Why

When updates to the MCS-150 information are received with the renewals each year, it is necessary for the updated information to be entered into the MCMIS Census File. This updated information will then be sent to each PRISM State through the daily updates to the PRISM Census File. The State has the option of entering the updated MCS-150 information directly to the MCMIS Census File, or submitting the forms, in bulk, to FMCSA Division/Headquarters.

As said before, if the State barcodes the registration cab card, the State must enter the name and address changes of the carrier responsible for safety onto MCMIS and on the local census file or CVIEW. The remainder of the changes can be entered by the State or FMCSA.

The option of the registrant and carriers updating the file directly on MCMIS will eliminate much work from the IRP operation.

13.2.4 IRP Renewal Cycle Summary Checklist

- ✓ Contact VOLPE to download motor carrier information
- ✓ (Optional) Send email or a post card to carrier and registrant to request they update MCMIS directly
- ✓ Send renewal package to the carrier - include MCS-150 update date and census information if necessary and the MCMIS web address
- ✓ Check the returned application for inclusion of the new information
- ✓ Reject the application for registration if information is not included
- ✓ Enter data and validate the USDOT Number for new vehicles
- ✓ Check safety status
- ✓ Ensure temporary process includes USDOT Number

13.2.5 Verify Bar coded Information

Task

1. Periodically send copies of cab cards according to the Bar code specifications for re-certification by the PRISM team.

Why

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

14. Chapter Fourteen – MCSIP Operations Support

- Provide Authority for Joint Issuance (Federal/State) of Warning Letter
- Research Carrier Addresses for FMCSA for Undeliverable Letters
- Telephone Center
- Compliance Reviews – Preparation
    - Vehicle list
- Compliance Reviews – Follow-up
    - Collect vehicle information
- Notify Owners/Registrants
- Quality and Completeness of Data
- Correct Unassigned and Incorrectly Assigned Safety Events
- Obtain Registration Details
- Suspension/Revocation Notices
- Roadside Inspections

MCSIP Operations Support

This section covers tasks in support of Registration requirements 6, 11, 12, 13, and 14 and Enforcement requirements 3, 4, 6, 7 and option 1.

14.1 Provide Authority for Joint Issuance (Federal/State) of Warning Letter

Task

1. Provide authorization to FMCSA to use State Police (or other State agency responsible for MCSAP) logo with FMCSA logo and state telephone number and address with FMCSA telephone number and address on Warning Letters.

Why

If the carrier is to be sanctioned with a warning letter, both the Federal and State logos are incorporated in the letterhead. This sends a strong message that the actions of the carrier are unacceptable to both the state and federal governments and that corrective action must be completed or both government entities may issue sanctions.

14.2 Research Carrier Addresses for FMCSA for Undeliverable Letters

Tasks

1. Access the State's Registration files to provide a carrier's most recent address.

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

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

Option

Provide FMCSA access to the registration files electronically.

Why

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

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

14.3 Telephone Center

Tasks

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

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

Why

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

14.4 Compliance Reviews – Preparation

14.4.1 Vehicle List

Task

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

Why

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

14.5 Compliance Reviews – Follow Up

14.5.1 Collect Vehicle Information

Tasks

1. Safety Investigators/Compliance Officers will collect vehicle registration data for all vehicles operated under the motor carrier's control during any CR that may result in FMCSA enforcement action or a proposed unsatisfactory safety rating.

2. If any vehicles are registered outside the motor carrier's State of domicile, the officer should provide the vehicle list to the FMCSA Division office that will fax it to the PRISM Central Site at Volpe where appropriate vehicles will then be added to the PRISM Target file. (Fax number: 617- 494-3897).

3. If the IRP account holder is different than the motor carrier for any vehicle, then either:

    a. Notify the State registration agency for the "unsat/unfit" version of the Notice to Registrants and owners to be sent to all applicable registrants and owners

    OR

    b. Notify the State registration agency for the "failure to pay" version of the Notice to Registrants and owners to be sent to all applicable registrants and owners. This provision is only necessary if the motor carrier has reached the point that they have been issued an order to "show cause."

Why

When a compliance review may result in enforcement action or a proposed unsatisfactory safety rating, the collection of vehicle registration data during the CR process will be necessary to support PRISM. The vehicle registration data collected during the CR process is used to:

1. Update the PRISM Target File to include vehicles registered in *other* States that are operated under the motor carrier's control; and
2. Determine if notification of possible registration sanctions is necessary for vehicle registrants and owners.

14.5.2 Notify Owners/Registrants

Tasks

1. Upon request from the Safety Investigator/Compliance Officer, relate title information with motor vehicle information for the vehicles associated with the motor carrier on the compliance review form that are not owned or registered by the motor carrier.

2. Extract the VIN numbers of all the vehicles assigned to the motor carrier with a poor safety performance. Match the VINs of all vehicles assigned to the motor carrier against the State title file to identify the name and address of the vehicle owners.

3. Send the appropriate state letter (unsat/unfit, new entrant audit or failure to pay) to the owners and registrants if different than the motor carrier. The letter contains the information that a suspension or revocation of all the vehicles assigned to the motor carrier could occur. (Sample letter is in Chapter 7)

Why

Under the PRISM program, owners and registrants are involved in the safety improvement process by states notifying them of a carrier's poor safety performance and the possibility of the suspension of vehicle registration privileges. This allows the lessors and the owners to become active participants in the process of helping the motor carrier improve as well as providing a warning that their vehicles' registration could be suspended.

To be able notify an owner or registrant (if different from the motor carrier), the State must be able to relate the owner to the carrier (via USDOT number) and the vehicle (via plate number or VIN).

14.6 Quality and Completeness of Data

Tasks

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

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

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

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

Why

Since PRISM is a data driven program, the quality of the SafeStat rankings is only as accurate as the carrier safety data. Therefore, it is crucial that every effort be made to assure current, correct safety data. In some cases, moving violations discovered during an inspection that occurred as a result of traffic enforcement have not been included on the inspection reports. Consequently, important safety data may be lost. These safety events should be included on the inspection reports in order to improve the quality and accuracy of safety data.

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

14.7 Correct Unassigned and Incorrectly Assigned Safety Events

Task

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

Why

All PRISM actions are based on the actual safety performance of a motor carrier. Therefore, it is critical that all safety events (crashes, roadside inspections, etc.) be properly assigned to the motor carrier that was responsible for the safe operation of the vehicle at the time of the event. With the implementation of PRISM, the intent is to be

able to use the USDOT Number maintained on the registration files to resolve unassigned or incorrectly assigned events. **Using the plate numbers on the accident or inspection reports and searching the IRP files for the associated USDOT numbers for that vehicle can make this match.**

14.8 Obtain Registration Details

Task

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

    - For registrant by USDOT Number
    - For motor carrier responsible for safety by USDOT Number

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

Why

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

14.9 Suspension/Revocation Notices

Tasks

1. (Registration staff) - Issue a State Suspension or Revocation Notice for all vehicles assigned to motor carriers that have been prohibited by a federal agency from conducting interstate operations. The suspension must remain in effect until the federal out-of-service order is lifted.

2. Record the suspension/revocation and reason (MCSIP Step) in the fields on the IRP screens 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/if discovered operating at the roadside. Or, when OOS order/State suspension is hand delivered.
Failure to Pay Federal Fines	When evidence exists that the carrier has continued to operate.	When/if discovered operating at the roadside. Or, when/if OOS order/State suspension is hand delivered.
Failing New Entrant Audit	YES	When/if discovered operating at the roadside. Or, when/if OOS order/State suspension is hand delivered.
Carrier not allowing a New Entrant Safety Audit to be conducted	When evidence exists that the carrier has continued to operate.	When/if discovered operating at the roadside.
Imminent Hazard	YES	When/if discovered operating at the roadside. Or, when/if OOS order/State suspension is hand delivered.

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.

14.10 Roadside Inspections

Task

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

Why

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

Section III: ADDITIONAL INFORMATION

- Chapter 15: Glossary of Terms
- Chapter 16: Contacts
- Chapter 17: Frequently Asked Questions
- Appendix A: PRISM System Architecture
- Appendix B: PRISM Data Flow and Timeliness

15. Chapter Fifteen – 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

Motor Carrier
Entity responsible for the safe operation of the vehicle during the registration year

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

NGA
National Governors Association

NLETS
National Law Enforcement Telecommunication System

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

16. Chapter Sixteen – Contacts

- Federal Motor Carrier Safety Administration (FMCSA)
- VOLPE Center
- PRISM Consultants
- AAMVAnet

Contacts

16.1 Federal Motor Carrier Safety Administration (FMCSA)

Tom Lawler - (PRISM Team Leader)
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1200 New Jersey Avenue, SE
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Bryan Price
Office of Enforcement and Compliance
Federal Motor Carrier Safety Administration
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Vivian Oliver - (Scheduling MCMIS Training)
Federal Motor Carrier Safety Administration
Office of Safety Programs
1200 New Jersey Avenue, SE
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(202) 366-2971
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16.2 Volpe Center

PRISM Technical Support Team

Email: PRISMTechnicalSupport@volpe.dot.gov

16.3 PRISM Consultants

Richard Spring (Computer Systems Development/Operations)
9433 Radborne Road
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(804) 320-3987
Email: dspring20@verizon.net

Linley Oberman (IRP/PRISM Operations)
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Etters, Pennsylvania 17319
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Email: Oberman1345@aol.com

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

16.4 AAMVAnet

Philippe Guiot
AAMVAnet, Inc.
4301 Wilson Blvd.
Arlington, VA 22203
(703) 908-8293

Patrice Aasmo - (Access to MCMIS – general questions)
AAMVAnet, Inc
4301 Wilson Blvd.
Arlington, VA 22203
(703) 522-1300 x5787

The contact for connecting to MCMIS through AAMVAnet varies based on the state.

- States of AL, AK, AZ, AR, CA, CO, FL, GA, HI, ID, KS, LA, MS, MT, NE, NV, NM, ND, OK, OR, SC, SD, TX, UT, WA & WY - Darlene Campbell (817) 581-6305; pager (800) 204-4881; email dcampbell@aamva.org.

- States of, HI, ID, MT, ND, NE, NM, NV, OR, States of CT, DC, DE, IA, IL, IN, KY, MA, MD, ME, MI, MN, MO, NH, NJ, NY, NC, OH, PA, RI, TN, VT, VA, WV & WI –Henry Majowicz, (813) 350-7845; pager (888) 815-7320; email Hmajowicz@aamva.org.

17. Chapter Seventeen – Frequently Asked Questions and Answers

- General
- Registration Operations
- Registration Operations (USDOT Number)
- Registration Operations – MCS-150
- Enforcement

Frequently Asked Questions and Answers

17.1 General

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

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

2. What is the average amount of funding allocated to individual states through PRISM grants?

   a. Federal grants to States for PRISM implementation have averaged approximately $ 450,000. PRISM grants are 100% Federally funded and do not require a match.

3. If the Implementation Plan is approved by FMCSA, when is the Grant money available?

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

17.2 Registration Operations

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

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

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

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

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

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

3. Updated Form MCS-150 information for every USDOT on the IRP account IF it has not been updated within the previous 12 months. The MCS-150 date of last update for each USDOT number can be checked using the carrier snapshot option at: www.safer.fmcsa.dot.gov

17.3 Registration Operations (USDOT Number)

6. Can PRISM grant funding be used to issue intrastate USDOT numbers?

   a. Yes, PRISM grant funding can be used for implementation of compatible programs to address intrastate motor carriers. Issuance of intrastate USDOT numbers is a crucial first step toward enabling the FMSCA to identify high-risk intrastate motor carriers for the States.

7. How long does it take for a State registration employee to process a MCS-150 and issue a USDOT number to a registrant?

   a. With direct access to the Federal Motor Carrier Management Information System (MCMIS), it currently takes approximately 10-15 minutes. Registrants can also obtain a USDOT number themselves by accessing the FMCSA's online registration system: www.safer.fmcsa.dot.gov PRISM grant funding can be used to purchase computers for registration office lobbies whereby vehicle registrants can obtain a USDOT number themselves at the time of registration.

8. On January 1, 2003, the FMCSA implemented the New Entrant program for interstate motor carriers. How does this program affect the PRISM States' issuance of USDOT numbers to carriers during the registration process?

a. FMCSA's New Entrant program established minimum requirements for all new entrant motor carriers applying for a new U.S. DOT number on or after January 1, 2003, to ensure they are knowledgeable about the applicable Federal motor carrier regulations. All new entrant motor carriers, both private and for-hire, domiciled in the United States or Canada must submit a new Safety Certification (form MCS-150A), in addition to the MCS-150 form to obtain a USDOT number. This safety certification requires the carrier to certify that it understands the critical motor carrier safety regulations before beginning interstate operations. In addition, for-hire motor carriers must obtain operating authority from FMCSA, if applicable. Therefore, PRISM States issuing USDOT numbers to motor carriers as part of their registration process now collect both the MCS-150 and MCS-150A forms and enter this information into MCMIS in order to issue a USDOT number to a motor carrier. Also the motor carrier may access MCMIS directly to obtain the number.

9. What fields on the MCS-150A are considered "required fields" in MCMIS to issue a USDOT number to a New Entrant?

   a. The motor carrier must complete all fields on the MCS-150A in order to obtain a USDOT number. MCMIS will not issue a USDOT number unless the new entrant's responses for all of the questions on the certification are completed in MCMIS.

10. Is a motor carrier required to complete the MCS-150A form during the renewal cycle?

    a. New Entrant motor carriers are only required to complete the MCS-150A form once during their initial application for a USDOT number. PRISM States then ensure that only the carrier's MCS-150 data is updated annually.

11. Are registrants required to complete the MCS-150A if they are not motor carriers? For example, owner operators that operate exclusively under the authority of other motor carriers?

    a. Active motor carriers in operation prior to January 1, 2003 and individuals applying for a USDOT number for registration purposes only in PRISM are not subject to the certification process and therefore, are not required to complete the MCS-150A form.

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

a. No, PRISM States should process the carrier's application (MCS-150 and 150A) in the FMCSA MCMIS system.

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

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

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

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

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

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

16. If the motor carrier responsible for safety is known at the time of registration but is expected to change during the registration year, who should be identified as the motor carrier responsible for safety on IRP renewal forms and in the IRP registration systems?

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

17. 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

18. Do the Federal Motor Carrier Safety Regulations (FMCSRs) require vehicle registrants <u>that are not motor carriers</u> to obtain a USDOT number?

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

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

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

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

    a. The "reason for change" code should be identified as "150". With respect to operation classification, the registration office is not required to complete the operation classification field when issuing a USDOT number to a registrant because the registrant is applying for the number for registration purposes only and cannot operate as a motor carrier.

Note: State registration offices, however, should recommend that the registrants completing the paper MCS-150 forms circles under item 21, Company Operation – F. Vehicle Registrant Only and leave the operation classification Blank. This will ensure State and FMCSA personnel processing the hard copies are aware that the entity is a registrant and not a motor carrier.

17.4 Registration Operations – MCS-150

21. When IRP renewals are mailed out, does the Registrant get pre-printed MCS-150 data?

    a. Yes. The MCS-150 data for the Registrant and all motor carriers responsible for safety on the account are included in the IRP renewal package for annual validation and updating unless the carrier has updated the information within the past year or the state has chosen to require the motor carrier and registrant to update the information online directly on www.safer.fmcsa.dot.gov.

22. Is updated MCS-150 information required to process every single registration renewal?

    a. Updated MCS-150 information is only required if it has not been updated within the last 12 months. To verify this, States should check the "MCS-150 date of last update" field in the electronic PRISM files.

23. What are the benefits of requiring MCS-150 updates upon registration renewal?

a. It keeps the MCMIS census as current as possible and serves as an automated enforcement mechanism to ensure motor carriers comply with the update requirements set forth in the Federal Motor Carrier Safety Regulations. The importance of accurate census data for accurate SafeStat results and the subsequent identification of high-risk carriers for compliance reviews and roadside inspections were recently stressed in a report by the DOT Office of the Inspector General.

24. Is the paper MCS-150 kept at the State or sent to the Feds?

a. Sent to FMCSA.

25. An owner operator has his own IRP account for his single truck. He is leased to a motor carrier that is responsible for the safe operation of the vehicle during the registration year. Is the driver required to get an updated MCS-150 from the motor carrier responsible for safety?

a. Yes, if the motor carrier responsible for safety has not updated their MCS-150 data in the last 12 months.

26. Leasing companies could have the same concern. An updated MCS-150 for the motor carrier responsible for safety is required under the PRISM program for IRP renewals. In many instances, an IRP account maintained by the leasing company will have multiple motor carriers responsible for safety associated with the individual vehicles. Is an up-to-date MCS-150 required for every single USDOT number identified on the account?

a. Yes. The registrant (a truck leasing company in the example above) must obtain an updated MCS-150 for every motor carrier responsible for safety identified on the IRP account <u>unless</u> the MCS-150 information has been updated on MCMIS within the prior year.

27 If an owner/operator will not be leased to the same motor carrier for the entire registration year, but is currently leased to a motor carrier for more than 29 days, will the owner operator need to provide two MCS-150's - one for himself as a registrant and one for the motor carrier he is currently leased to?

a. Yes. The owner/operator will need a MCS-150 as the "registrant." This number is entered into the IRP vehicle schedule at the registrant level. He/she will also need an updated MCS-150 for the motor carrier responsible for safety unless the carrier has updated MCMIS within the past 12 months. This number will be entered into the IRP vehicle schedule at the vehicle level as the motor carrier responsible for safety. Even though the motor carrier responsible for safety is expected to change during the registration year, this approach is taken because it is the best available information at the time of registration. However, in these instances when it is known that the motor carrier responsible for safety is expected to change during the registration year, the vehicle cab card should NOT be bar coded.

28 An owner/operator is leased to a motor carrier responsible for safety. The owner/operator holds his own IRP account and is attempting to register his vehicle. However, the owner/operator states that the motor carrier responsible for safety refuses to supply him with a MCS-150. Can the owner/operator be registered?

a. No. An up-to-date MCS-150 from the motor carrier responsible for safety is a State requirement for registration under PRISM. If the motor carrier responsible for safety feels comfortable entering into a long-term lease with an owner/operator they should feel comfortable providing that owner operator with a MCS-150. Another option for the motor carrier would be to supply the MCS-150 directly to the State registration staff rather than to the owner operator or update directly at www.safer.fmcsa.dot.gov.

17.5 Enforcement

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

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

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

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

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

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

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

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

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

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

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

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

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

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

34. What are the plans to apply SafeStat to intrastate carriers?

a. The FMCSA entered into a contract with Volpe to assess the feasibility of Intrastate SafeStat. As part of this project, intrastate SafeStat was tested in CT, KY, and OR. Put simply, the test revealed that intrastate SafeStat is feasible on a state-by-state basis provided: 1) the state has been issuing USDOT numbers for a sufficient length of time to identify a pool of carriers with sufficient data attributable to them; 2) the state collects intrastate crash and inspection data with USDOT Numbers; and 3) the state uploads intrastate crash and inspection data to the FMCSA in a timely manner. Intrastate SafeStat results are now produced on a monthly basis for approximately 21 States.

35. How do roadside enforcement officers determine the motor carrier responsible for safety of the vehicle at the time of an inspection?

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

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

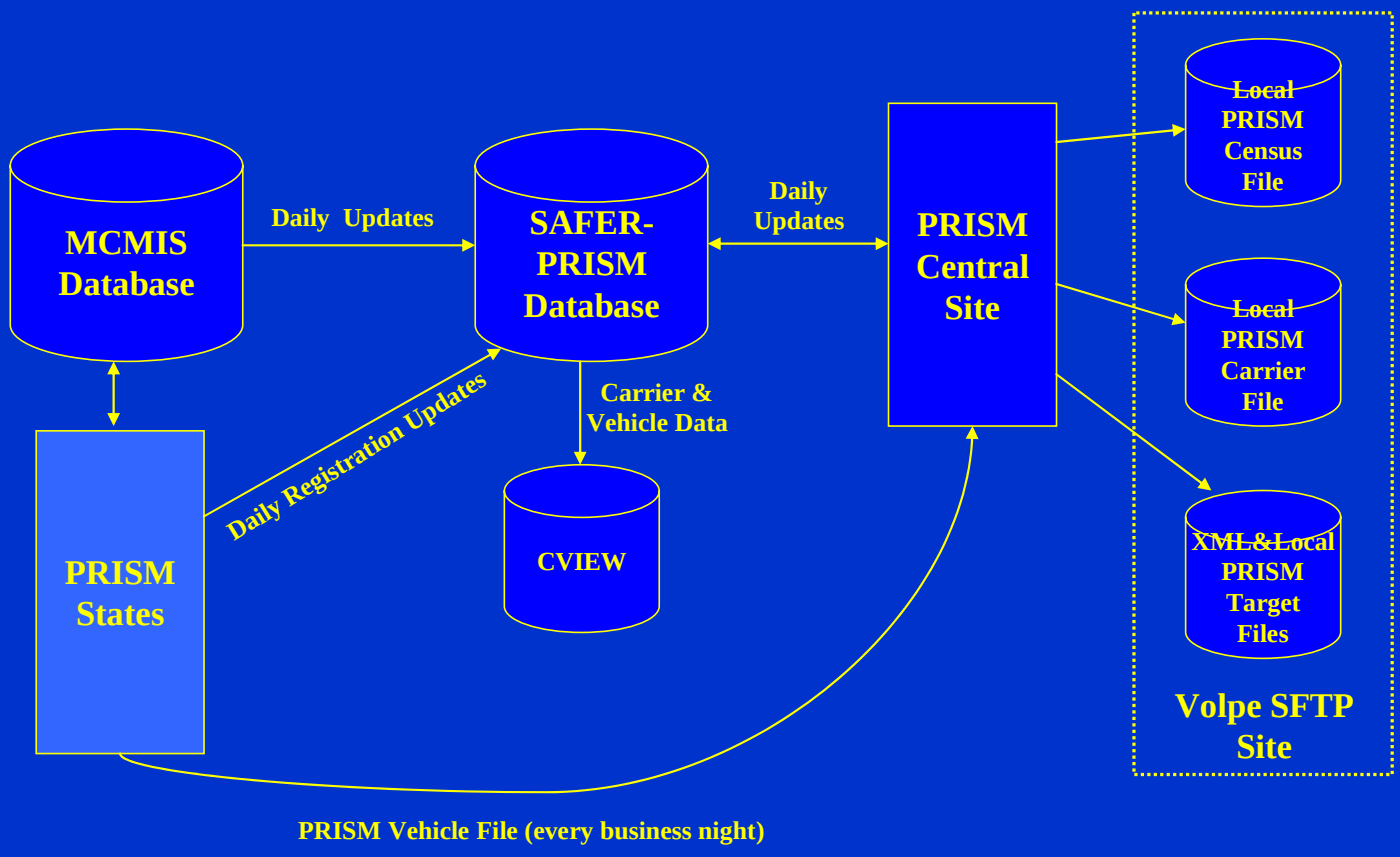
a. It is possible for the OOS Order and sanctions to take place for the vehicles registered in PRISM States. When a motor carrier in a non-PRISM state receives an OOS Order, that state or FMCSA may request the PRISM state(s) to take action on the registered vehicles.

Appendix A – PRISM System Architecture

PRISM System Architecture

PRISM System Support for Registration and Enforcement Requirements

PRISM System Architecture



PRISM System Architecture

MCMIS Database

Contains a Census Record for every Carrier or Registrant ever issued a USDOT Number

SAFER-PRISM Database

Contains all MCMIS Census Records plus Vehicle Registration Data for IRP vehicles

Local PRISM Census File

Contains a Carrier Record for every Carrier or Registrant ever issued a USDOT Number.
Daily files only contain carrier records that have changed since the last MCMIS update.

Local PRISM Carrier File

Contains an abbreviated Carrier Record for every Carrier in MCSIP (i.e., Targeted). Each file contains a fresh copy of all targeted carriers.

Local PRISM Target File

Contains an abbreviated Carrier Record for every Carrier in MCSIP, plus a vehicle record for every vehicle assigned to a carrier responsible for safety that is in MCSIP. Each file contains a fresh copy of the data.

PRISM System Architecture

PRISM XML Target File

Contains a vehicle record for every vehicle assigned to a carrier responsible for safety that is in MCSIP. Included in each record is the MCSIP Step value of the carrier responsible for safety. File is in XML format. Each file contains a fresh copy of the data.

PRISM Vehicle File

Contains a small vehicle & registration record for every vehicle assigned to a MCSIP Carrier for safety sent nightly from PRISM State to PRISM Central Site. Each file contains a fresh copy of the data.

MCS-150 File

Contains Carrier Census data from MCMIS that could be used to preprint MCS-150 forms for every carrier. Each file contains a fresh copy of the data.

CVIEW Database

Contains Carrier and Vehicle Snapshot data maintained by the State

System Support of PRISM Requirements

Registration Requirement

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

Validate USDOT Number

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

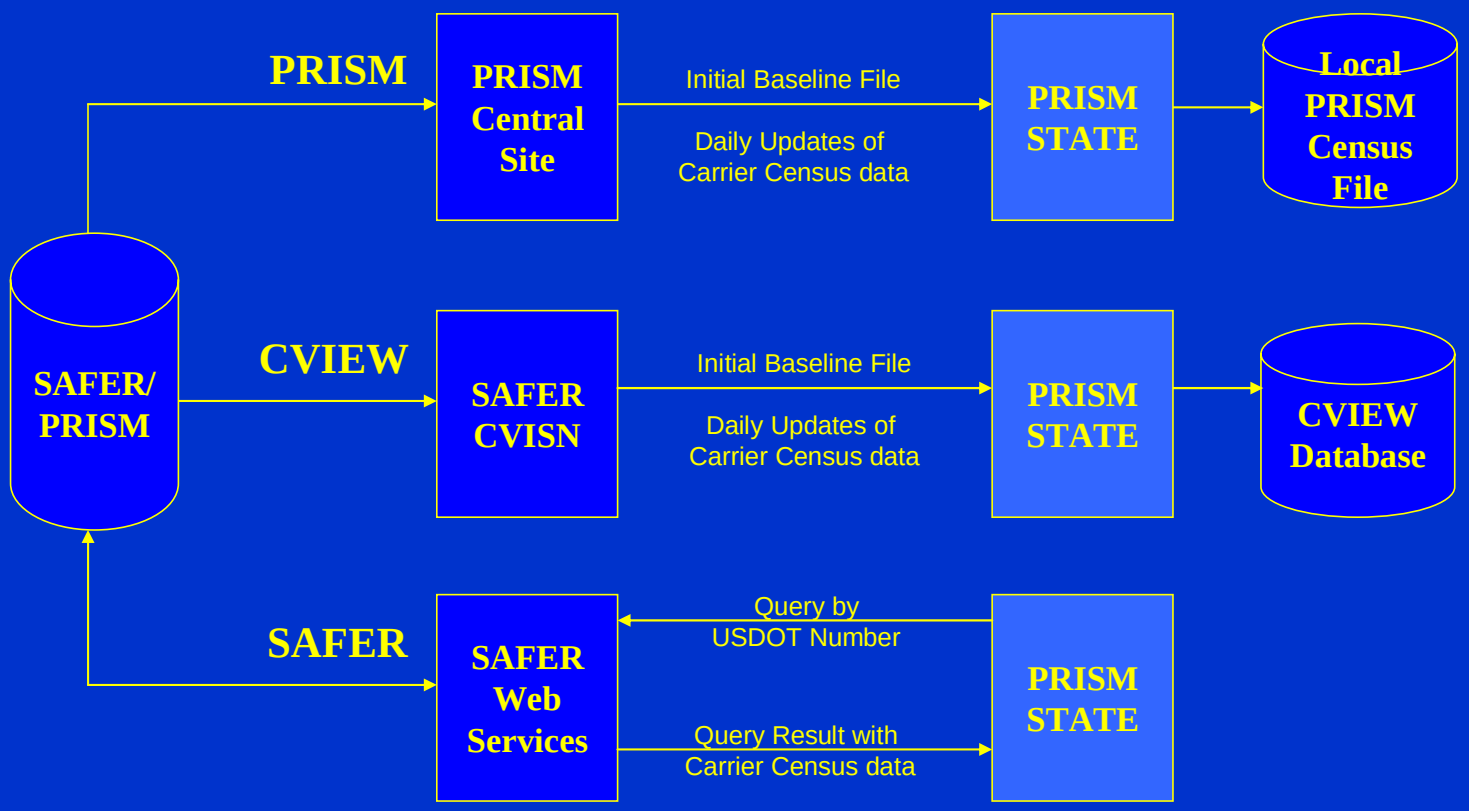
- **PRISM Census File**
- **CVIEW Database**
- **SAFER Web Services**

Validate USDOT Number

CVISN	PRISM	SAFER	MCMIS
SAFER/ PRISM	SAFER/ PRISM	SAFER/ PRISM	MCMIS Database
Local CVIEW Database	Local PRISM Census File	SAFER Web Services	If "No-Hit" must Validate with MCMIS

Initial Validation

Validate USDOT Number



Validate USDOT Number

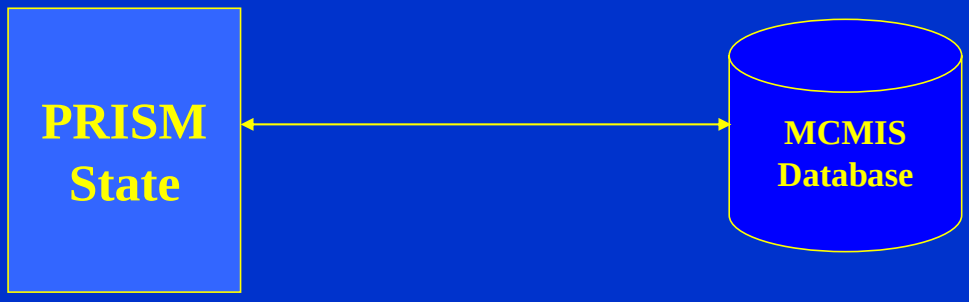
If a “no-hit” occurs from local validation sources,
State must validate against the
MCMIS Database via a Web inquiry

System Support of PRISM Requirements

Registration Requirement

Have the Capacity to Issue USDOT Numbers by Online Access to the MCMIS Database

Issue USDOT Number



State will use a VPN or AAMVAnet Connection.

Enter at least the minimum required fields and MCMIS will issue the USDOT Number.

System Support of PRISM Requirements

Registration Requirement

Check Carrier Safety Status before issuing credentials and Deny Registration if the Motor Carrier is Prohibited from Interstate Operations

Check Carrier Safety Status

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

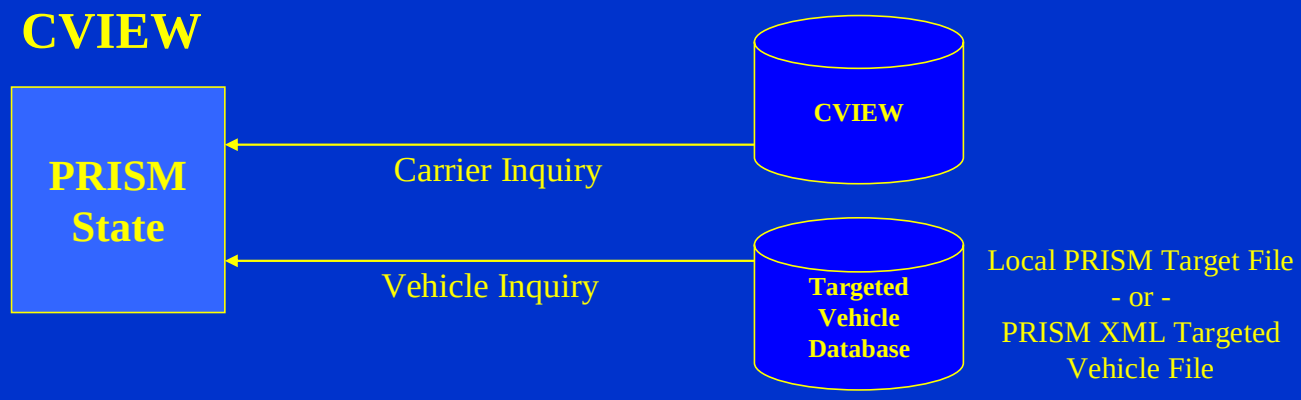
- **PRISM Target File**

- **CVIEW Database**
(In Conjunction with PRISM XML Version of Target File)

Check Carrier Safety Status

PRISM FILES

CVIEW



System Support of PRISM Requirements

Registration Requirement

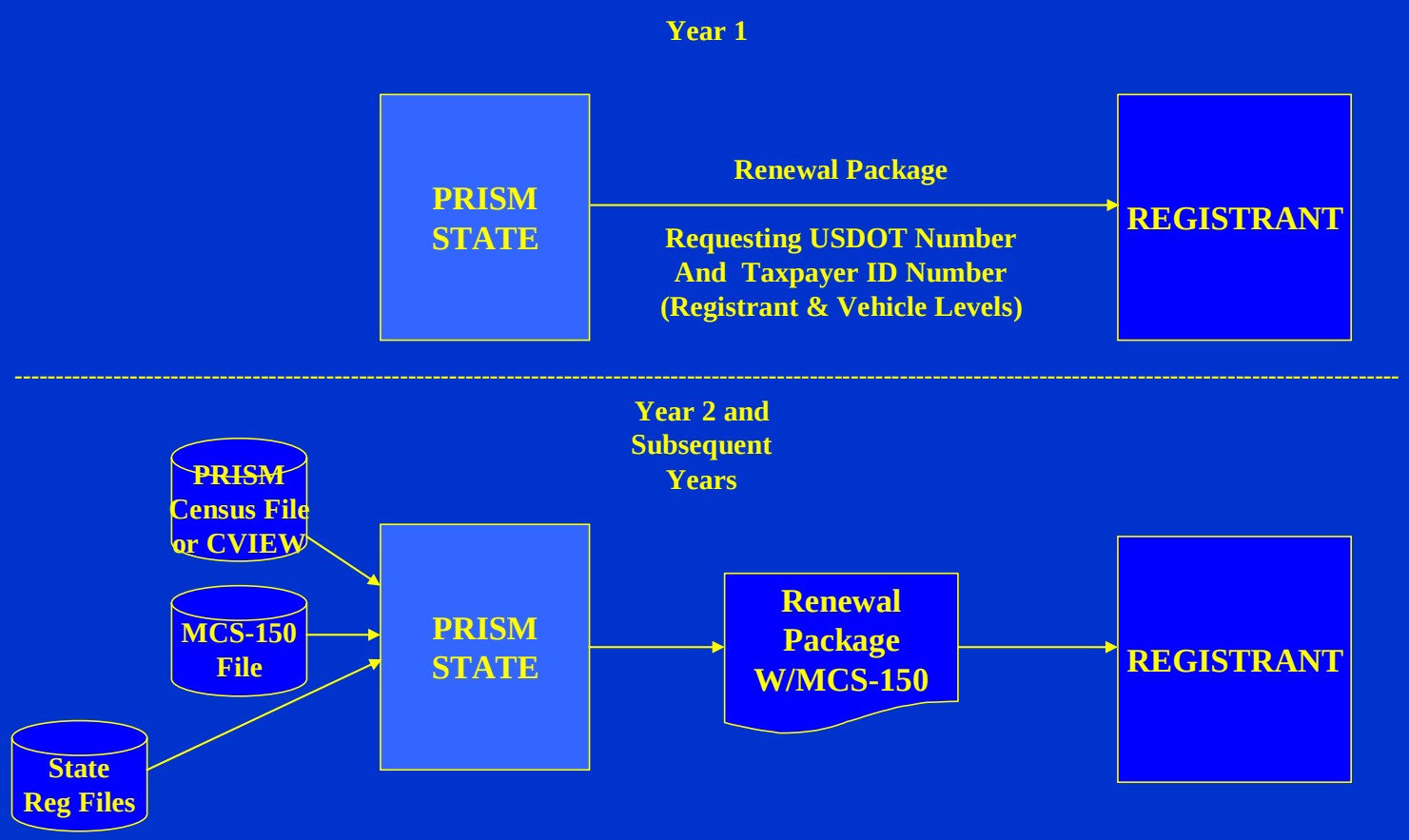
Require all Registrants to Update the MCS-150 Information, If Not Updated within the Past Year, Prior to Issuing Registration Credentials

Update of MCS-150 Information

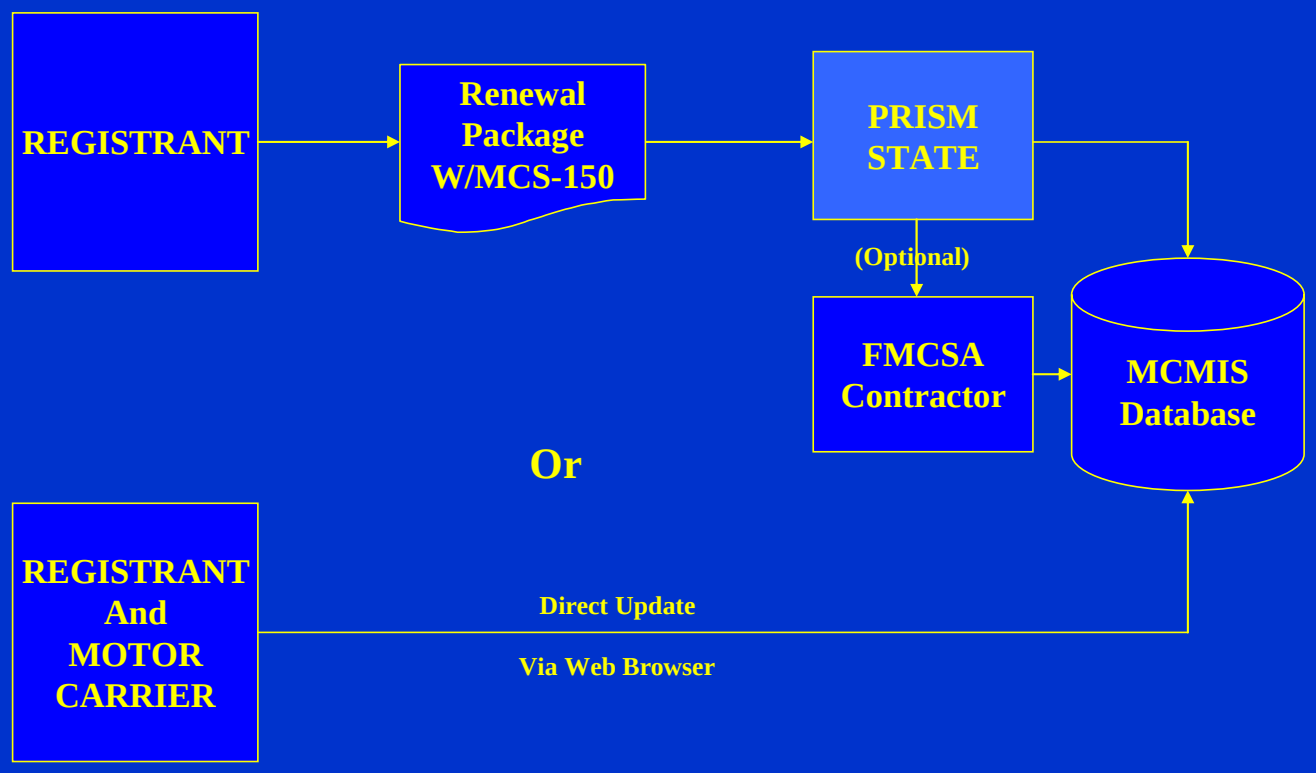
Key Points

- Renewal Package
  - Year 1
  - Year 2 and Subsequent Years
- Methods to Update MCMIS

Update of MCS-150 Information



Update of MCS-150 Information Cont'd



Note: State verifies that MCMIS has been recently updated during IRP renewal processing (MCS-150 Update Date review)

System Support of PRISM Requirements

Registration Requirement

Update the PRISM Target File Nightly with Registration Information for Vehicles assigned to Motor Carriers in MCSIP

Update PRISM Target File Nightly

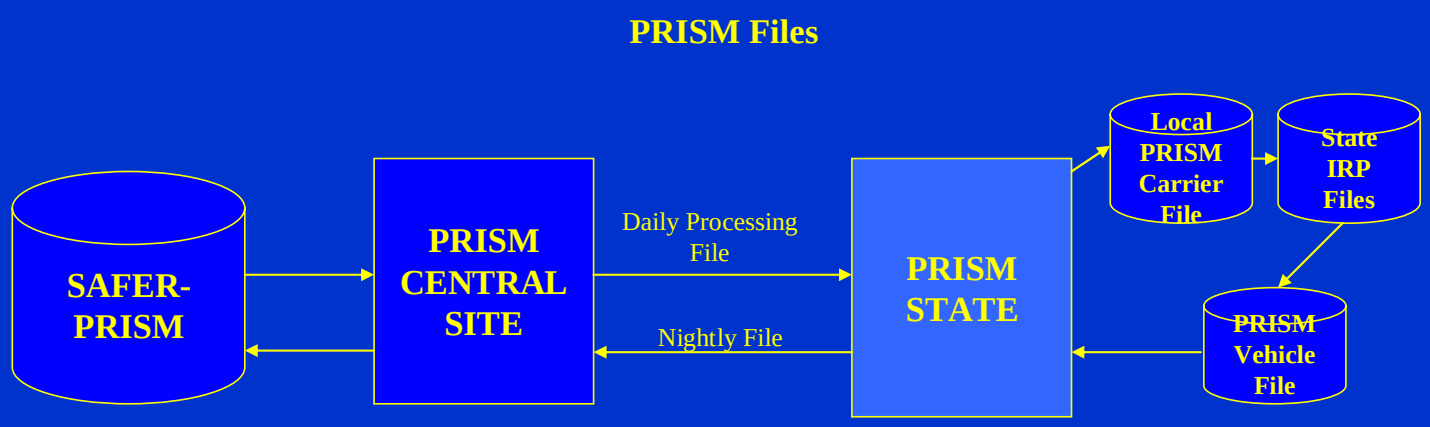
There are 2 different methods that a PRISM State can choose from to Update PRISM Target File Nightly

- **PRISM Vehicle File (PVF)**
- **State CVIEW**

(State can <u>only</u> use one or the other)

Update PRISM Target File Nightly

PRISM Vehicle File Option*



Note: The PRISM Vehicle File (From State to PRISM Central Site) should only contain the most recent vehicle record with a current registration.

***If this method is used, the State can not submit vehicle data via CVIEW**

Update PRISM Target File Nightly

State CVIEW Option*

Daily Registration Updates to SAFER for every Original, Renewal, or change will satisfy this Requirement since SAFER can identify those vehicles assigned for safety to MCSIP Carriers and annotate the record to indicate it is targeted

***If this method is used, the State can not submit vehicle data via PRISM Vehicle Files**

System Support of PRISM Requirements

Law Enforcement Requirement

Provide the ability to
Identify Targeted Vehicles
and give these Vehicles Priority For Inspection

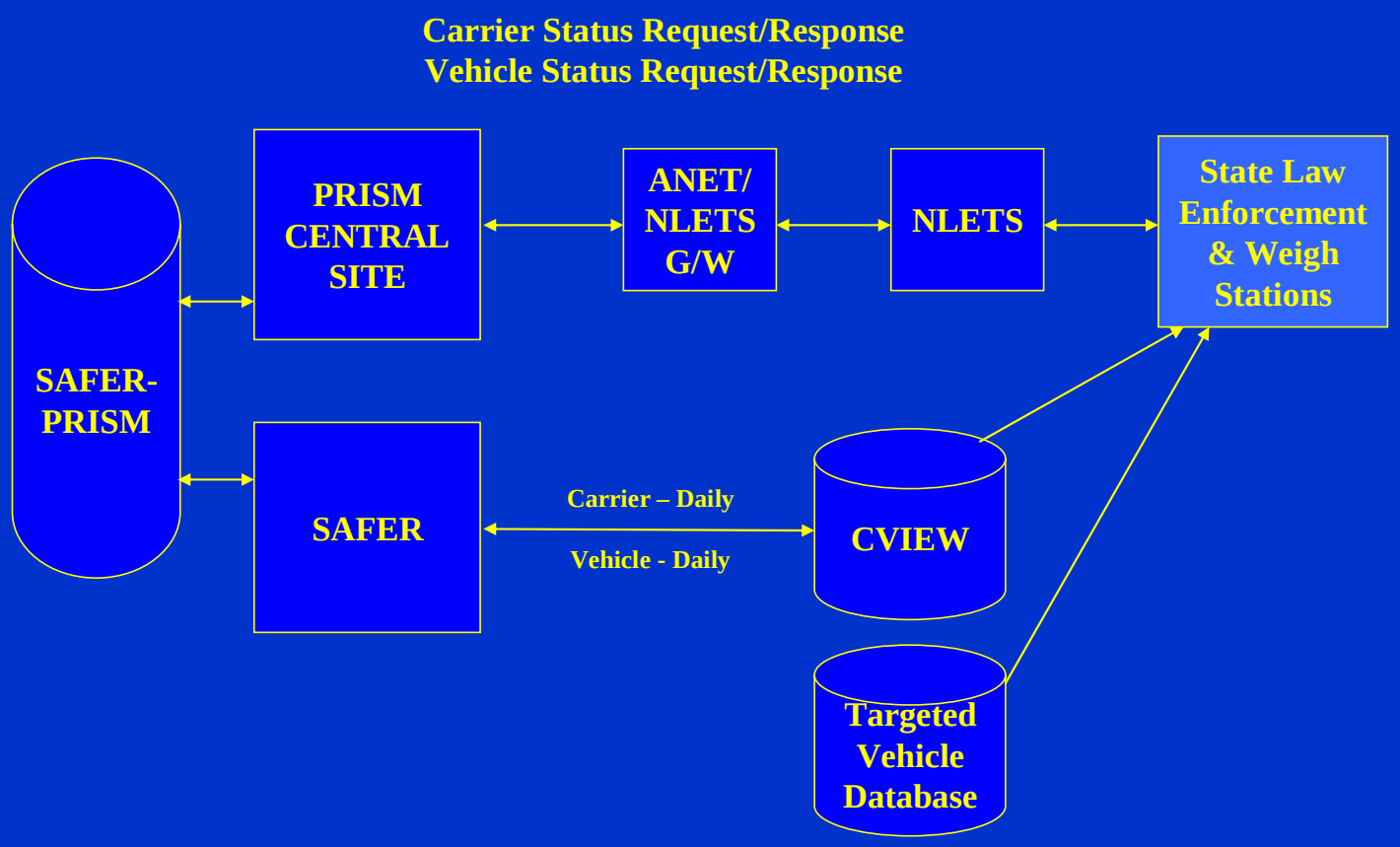
Identify Targeted Vehicles

There are 4 different methods that a LE Officer can choose from to Identify Targeted Vehicles

- **NLETS**
- **CVIEW**
- **PRISM Target File**
- **Query Central**

Identify Targeted Vehicles

NLETS and CVIEW Options

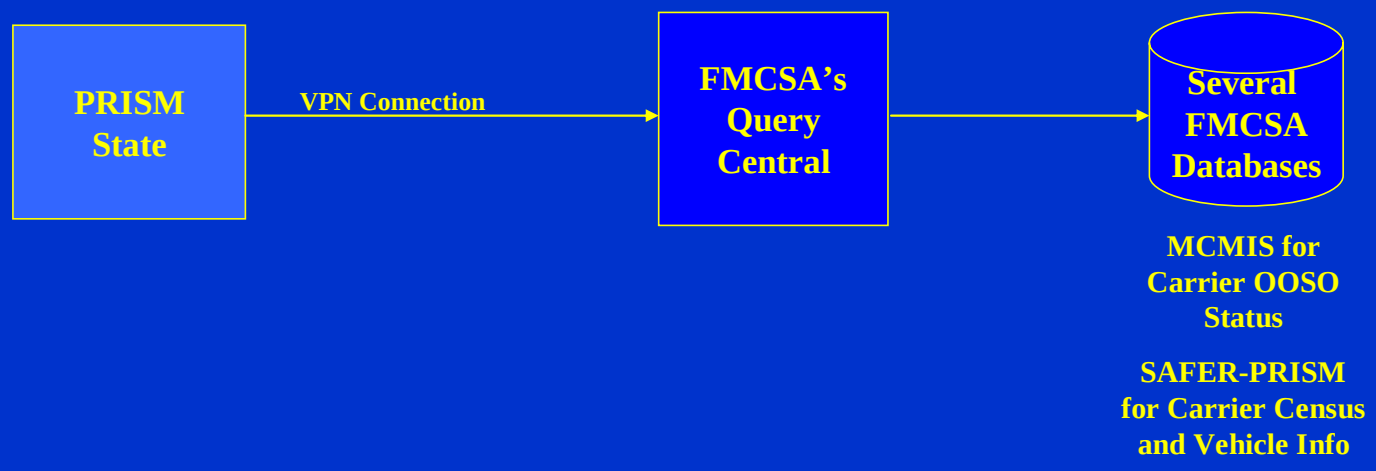


Identify Targeted Vehicles

PRISM Files Option

Identify Targeted Vehicles

Query Central Web Inquiry Option



PRISM System Architecture

(File Sizes as of 12-31-2007)

MCS-150 File

Base File (as of 12/13/07) 1,592,515 records – Monthly full refresh
Unzipped = 2.38 GB
Zipped = 174 MB

Local PRISM Census File

Baseline File - 1,601,238 records times 381 byte record = 610 MB – Upon request
Daily Update transactions - ~3,000 records times 381 byte record = ~ 1 MB
1 Update per month (SafeStat Run) ~13,000 records times 381 byte record = ~ 5 MB

Local PRISM Carrier File

Daily full refresh - 32,929 records times 244 byte record = 8.0 MB

Local PRISM Target File

Daily full refresh - 32,929 Carrier Records times 253 byte record = 8.3 MB
Plus 98,040 Vehicle Records times 87 byte record = 8.5 MB
Total = 16.8 MB

XML PRISM Target File

Daily full refresh - 98,040 records
Unzipped = 62 MB
Zipped = 2.7 MB

Appendix B – PRISM Data Flow & Timeliness

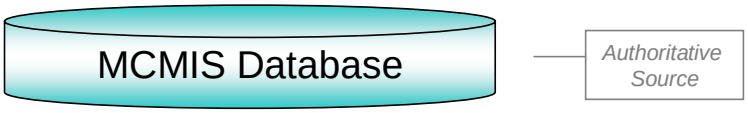
PRISM Data Flow & Timeliness

FMCSA - PRISM Technical Support

PRISM Data Types

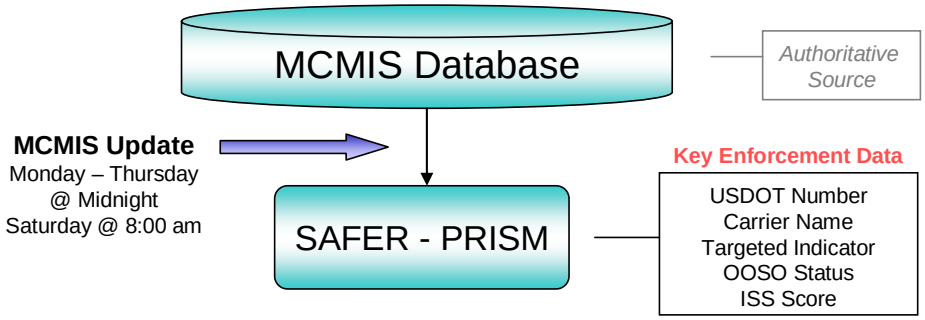
- Carrier Census Data
  - Information about Motor Carriers
- Vehicle Registration Data
  - IRP Vehicle Registration Information

PRISM Carrier Census Data



- The MCMIS database is the authoritative source of PRISM Carrier Census Data.

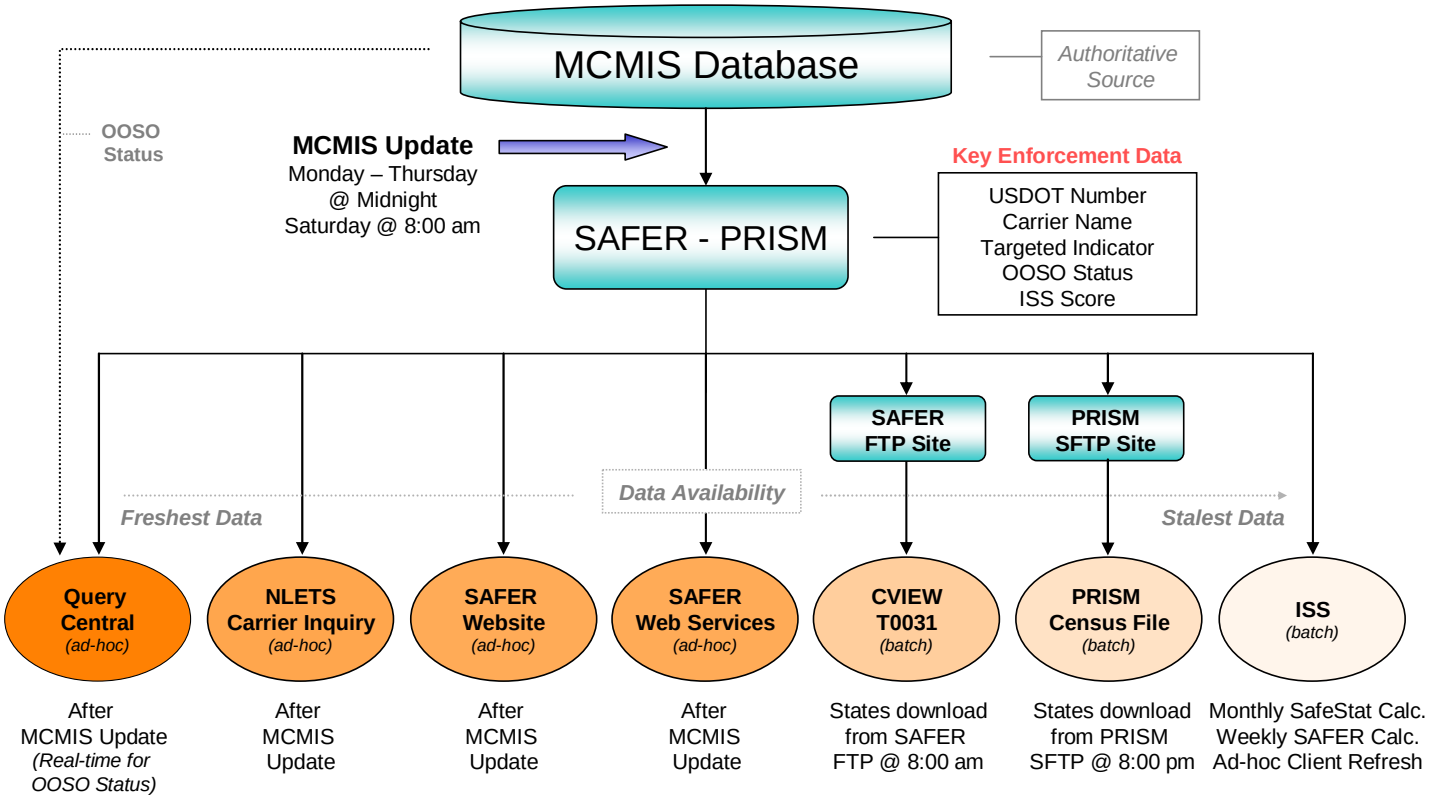
PRISM Carrier Census Data



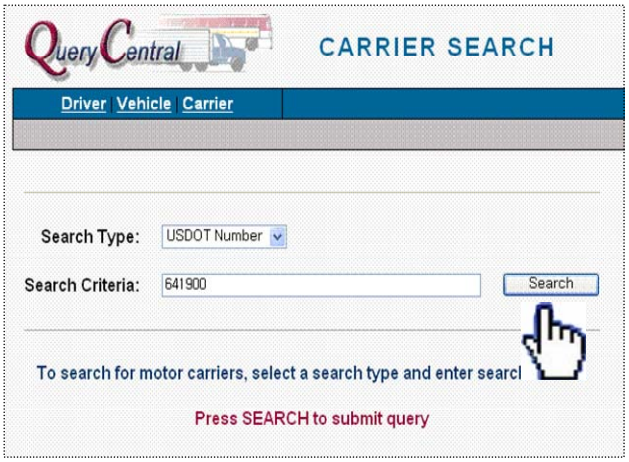
- Data is sent from MCMIS to the SAFER-PRISM database via MCMIS Updates.

- Once the data is in the SAFER-PRISM database, there are several different sources to access key data.

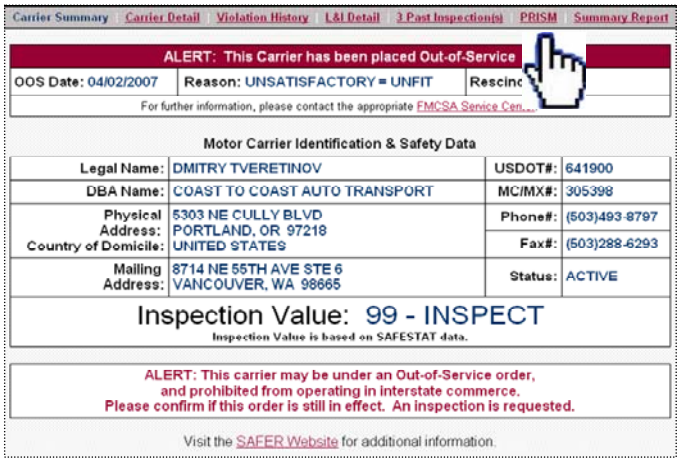
PRISM Carrier Census Data



Query Central (Carrier)

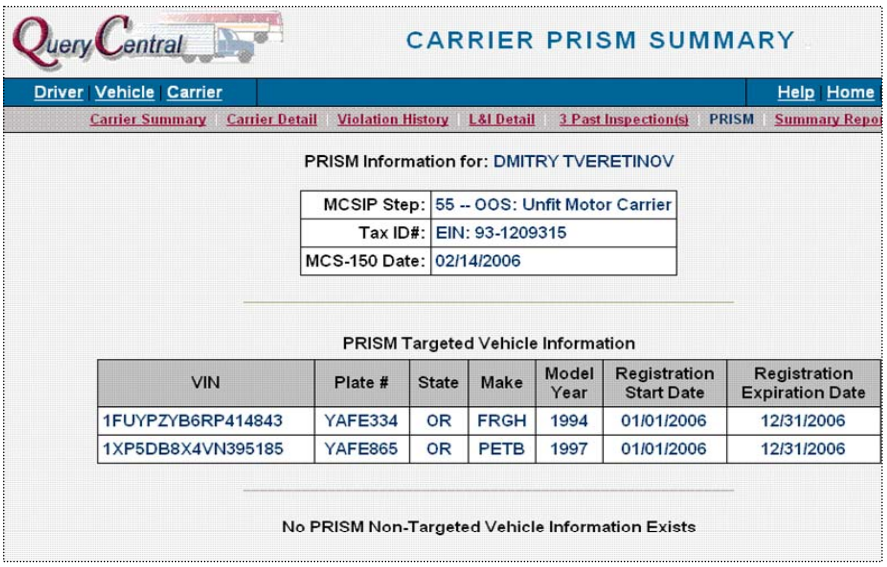


Query Central Carrier Search



Query Central Carrier Data Results

Query Central (Carrier) – (Cont.)



QueryCentral

CARRIER PRISM SUMMARY

Driver | Vehicle | Carrier | Help | Home

Carrier Summary | Carrier Detail | Violation History | L&I Detail | 3 Past Inspection(s) | PRISM | Summary Repo

PRISM Information for: DMITRY TVERETINOV

MCSIP Step:	55 -- OOS: Unfit Motor Carrier
Tax ID#:	EIN: 93-1209315
MCS-150 Date:	02/14/2006

PRISM Targeted Vehicle Information

VIN	Plate #	State	Make	Model Year	Registration Start Date	Registration Expiration Date
1FUYPZYB6RP414843	YAFE334	OR	FRGH	1994	01/01/2006	12/31/2006
1XP5DB8X4VN395185	YAFE865	OR	PETB	1997	01/01/2006	12/31/2006

No PRISM Non-Targeted Vehicle Information Exists

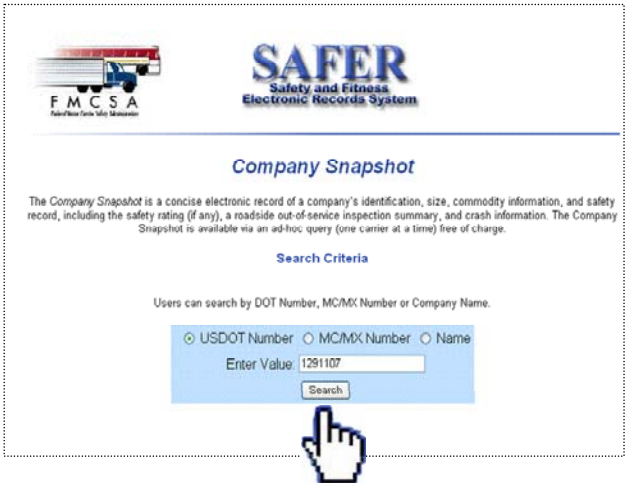
Query Central Carrier PRISM Summary

NLETS

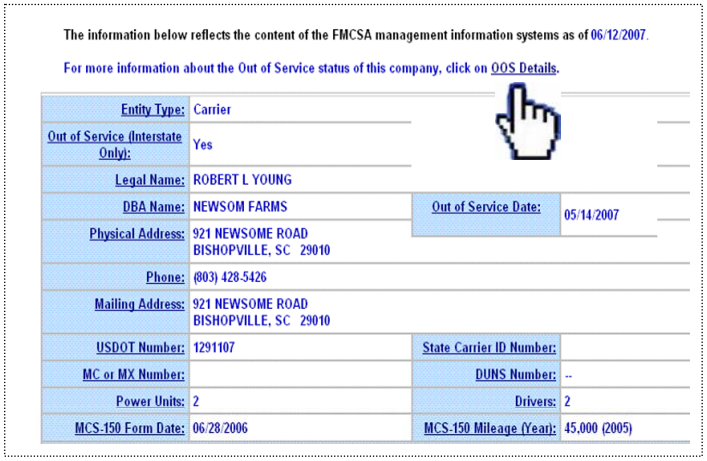
```
MSG FROM NLETS 3745
ACR.AVLIC0000.    TO:DEST IA07710B5
*MRI0056917.
TXT
                    CARRIER IS TARGETED.
DOT/600706.
NAM/DOCK TRANSFER INC.
ADR/4951 TERMINAL STREET.
CITY/BELLAIRE.ST/TX.ZIP/77401.
CAR TARG-HIST IND/T.MCSIP STEP/6.MCSIP DATE/08212006.
PAGE/01 OF/01.

;200611071054/200611071054
T175 36
MESSAGE FROM NLTS
056928
```

NLETS Carrier Status Request (ACQ) Response Message

SAFER Website



SAFER Company Snapshot Search



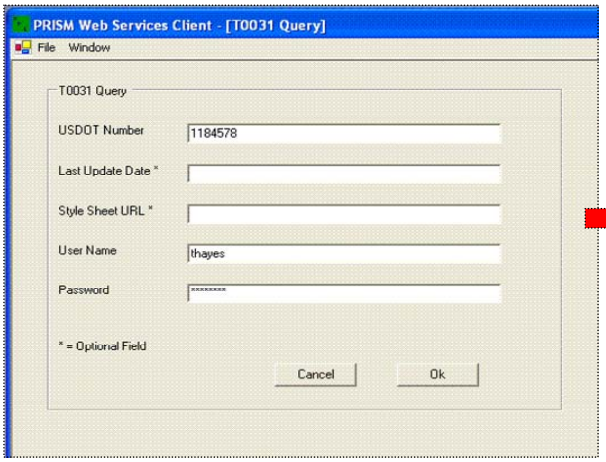
SAFER Company Snapshot Results

SAFER Website - (Cont.)

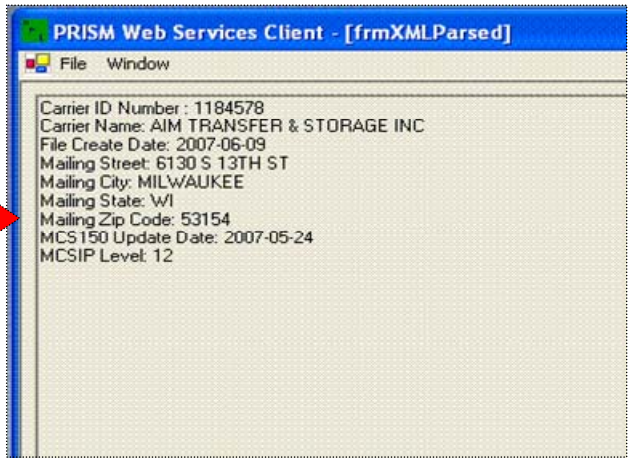
USDOT# MC / MX #	LEGAL NAME DBA NAME	ADDRESS	OOS CATEGORY	OOS DATE	RESCINDED DATE
1291107	ROBERT L YOUNG NEWSOM FARMS	921 NEWSOME ROAD BISHOPVILLE , SC 29010	New Entrant USDOT# Registration Revoked	05-14-2007	

SAFER Company Snapshot OOS Details Results

SAFER Web Services

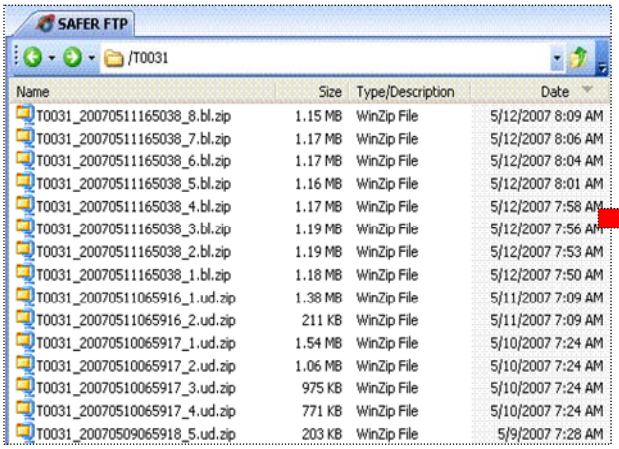


PRISM Web Services Client for SAFER T0031 Query



PRISM Web Services Results for SAFER T0031 Query

CVIEW T0031



SAFER FTP Site with available CVIEW T0031 Zip Files


```xml
<?xml version = '1.0' encoding = 'UTF-8'?>
<T0031 xmlns="http://www.safersys.org/namespaces/T0031V1"
   <INTERFACE>
      <NAME>SAFER</NAME>
      <VERSION>04.02</VERSION>
   </INTERFACE>
   <TRANSACTION>
      <VERSION>01.00</VERSION>
      <OPERATION>REPLACE</OPERATION>
      <DATE_TIME>2007-06-11T09:14:52</DATE_TIME>
      <TZ>ED</TZ>
   </TRANSACTION>
   <MCMIS_CENSUS_AND_SAFETY>
      <BUS>0</BUS>
      <CARRIER_HAZMAT_PLACARDED>0</CARRIER_HAZMAT_PLACARD
      <CARRIER_ID_NUMBER>1651169</CARRIER_ID_NUMBER>
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      <CARRIER_INTRASTATE_HM>0</CARRIER_INTRASTATE_HM>
      <CARRIER_INTRASTATE_NHM>1</CARRIER_INTRASTATE_NHM>
      <CARRIER_NAME>EKMM AUTO TRANSPORT</CARRIER_NAME>
      <CITY>ORLANDO</CITY>
      <COUNTRY>A</COUNTRY>
      <COUNTY_CODE>95</COUNTY_CODE>
      <DATE_ADDED>2007-06-01</DATE_ADDED>
      <ENTITY_TYPE>C</ENTITY_TYPE>
      <FILE_CREATE_DATE>2007-06-02</FILE_CREATE_DATE>
      <ISS_INDICATOR>I</ISS_INDICATOR>
      <ISS_SCORE>94</ISS_SCORE>
```
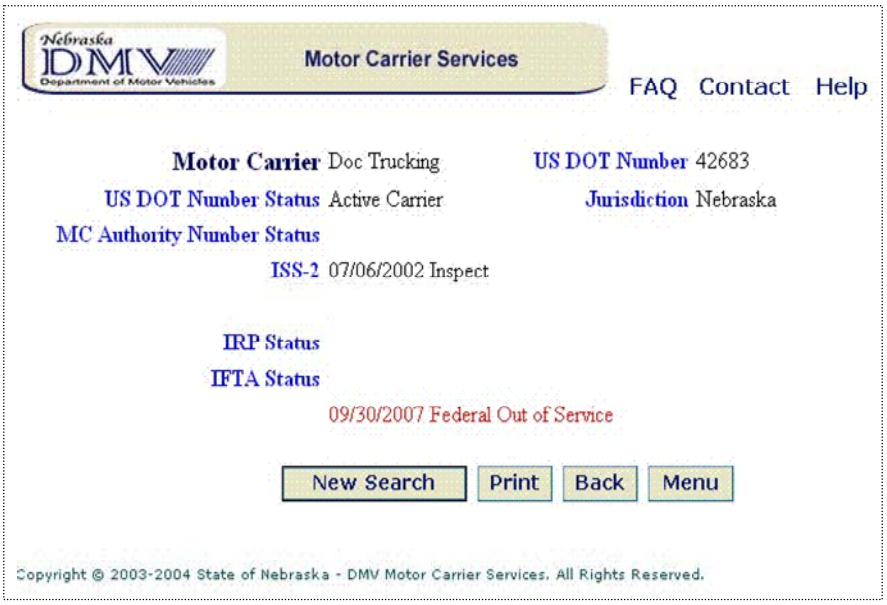


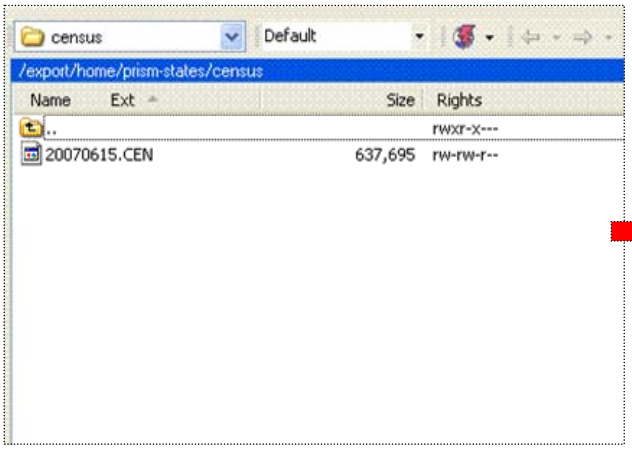
SAFER T0031 – XML Data File

CVIEW T0031

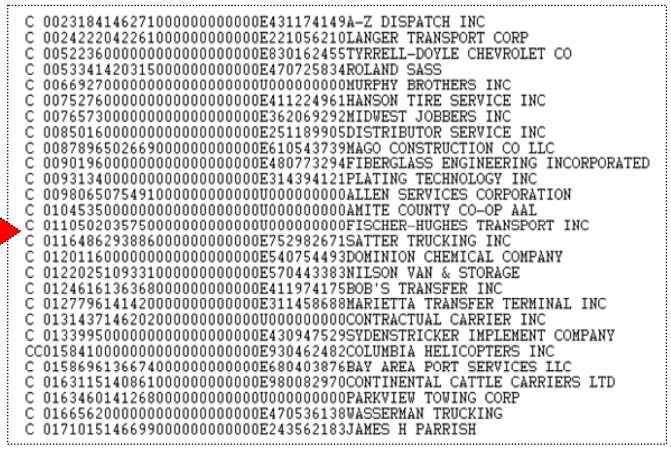


Example of Nebraska CVIEW using T0031 Data for Carrier OOS Status

PRISM Census File



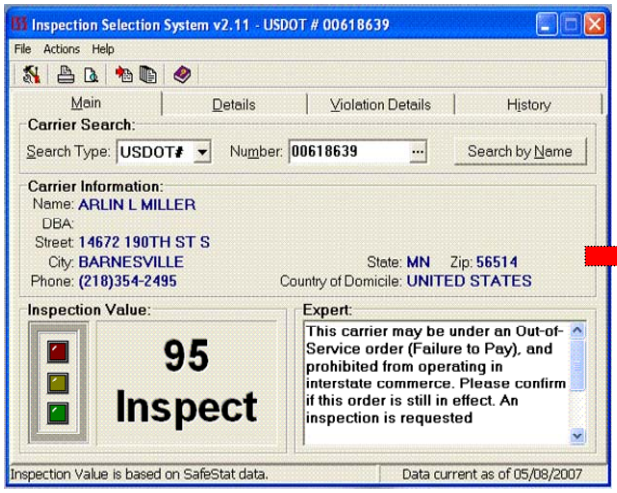
PRISM Daily Census File on SFTP Server



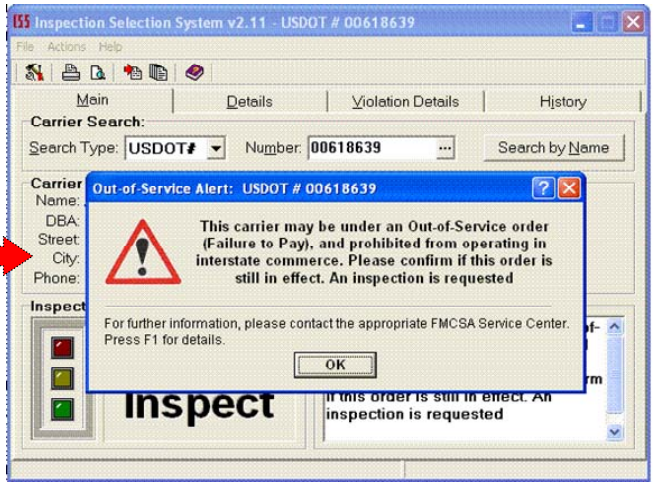
```
C 0023184146271000000000000E431174149A-Z DISPATCH INC
C 0024222042261000000000000E221056210LANGER TRANSPORT CORP
C 0052236000000000000000000E830162455TYRRELL-DOYLE CHEVROLET CO
C 0053341420315000000000000E470725834ROLAND SASS
C 0066927000000000000000000U000000000MURPHY BROTHERS INC
C 0075276000000000000000000E411224961HANSON TIRE SERVICE INC
C 0076573000000000000000000E362069292MIDWEST JOBBERS INC
C 0085016000000000000000000E251189905DISTRIBUTOR SERVICE INC
C 0087896502669000000000000E610543739MAGO CONSTRUCTION CO LLC
C 0090196000000000000000000E480773294FIBERGLASS ENGINEERING INCORPORATED
C 0093134000000000000000000E314394121PLATING TECHNOLOGY INC
C 0098065075491000000000000U000000000ALLEN SERVICES CORPORATION
C 0104535000000000000000000U000000000AMITE COUNTY CO-OP AAL
C 0110502035750000000000000U000000000FISCHER-HUGHES TRANSPORT INC
C 0116486293886000000000000E752982671SATTER TRUCKING INC
C 0120116000000000000000000E540754493DOMINION CHEMICAL COMPANY
C 0122025109331000000000000E570443383NILSON VAN & STORAGE
C 0124616136368000000000000E411974175BOB'S TRANSFER INC
C 0127796141420000000000000E311458688MARIETTA TRANSFER TERMINAL INC
C 0131437146202000000000000U000000000CONTRACTUAL CARRIER INC
C 0133995000000000000000000E430947529SYDENSTRICKER IMPLEMENT COMPANY
CC0158410000000000000000000E930462482COLUMBIA HELICOPTERS INC
C 0158696136674000000000000E680403876BAY AREA PORT SERVICES LLC
C 0163115140861000000000000E980082970CONTINENTAL CATTLE CARRIERS LTD
C 0163460141268000000000000U000000000PARKVIEW TOWING CORP
C 0166562000000000000000000E470536138WASSERMAN TRUCKING
C 0171015146699000000000000E243562183JAMES H PARRISH
```

PRISM Daily Census File – AFF Text File Data

ISS – Inspection Selection System



ISS Carrier Search Results Screen

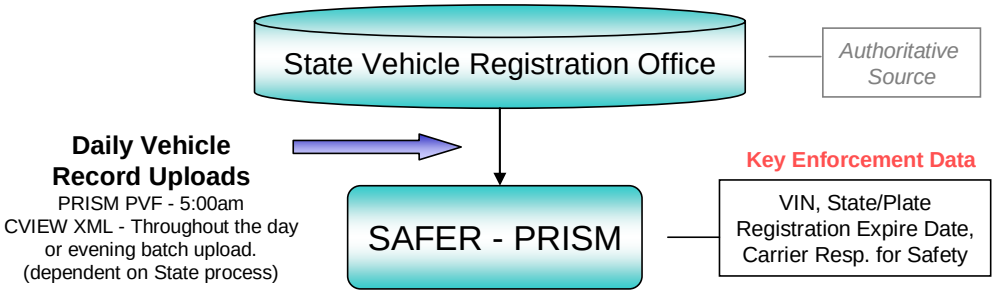


ISS Carrier Search Results with Out-of-Service Notification

PRISM Vehicle Registration Data

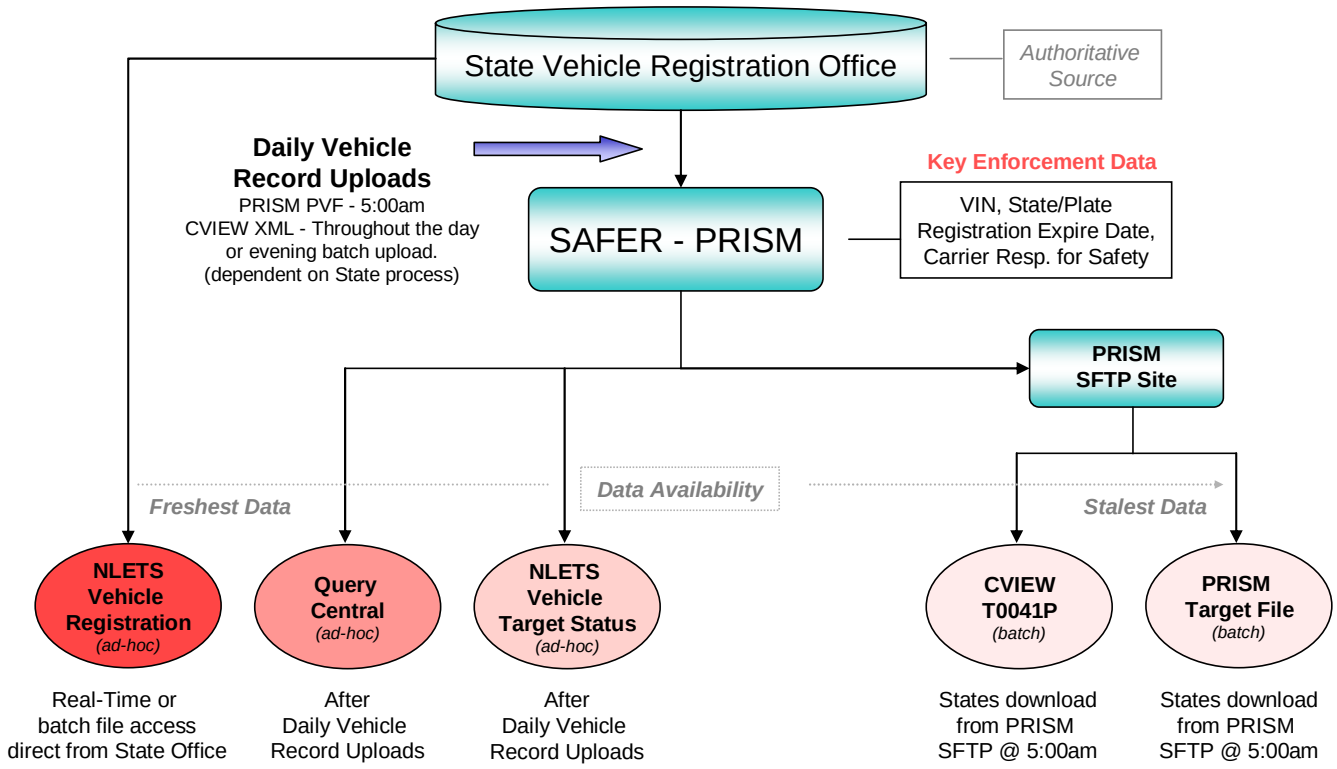
- The State Vehicle Registration Office is the authoritative source of PRISM Vehicle Registration Data.

PRISM Vehicle Registration Data

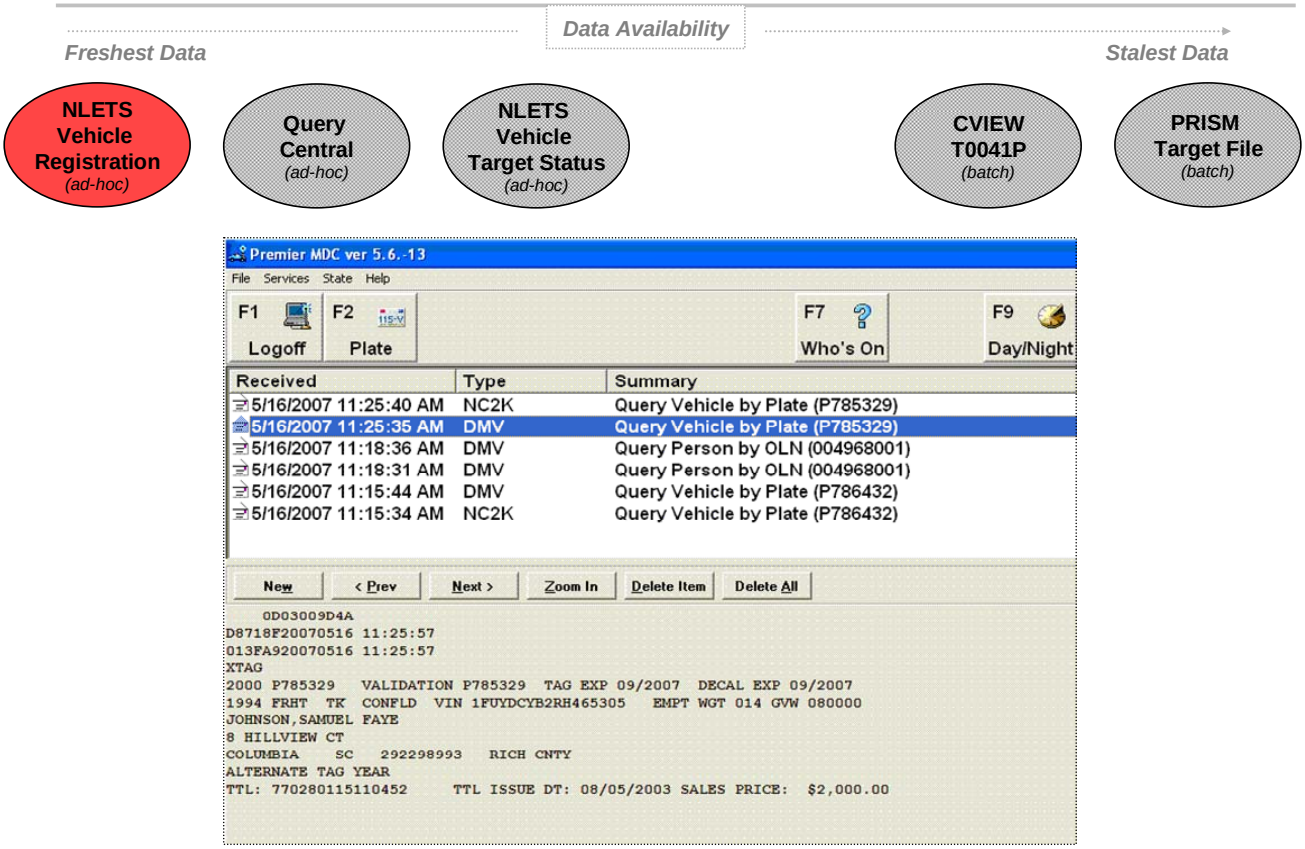


- Data is sent from the State Vehicle Registration Office to the SAFER-PRISM database via Daily Updates.
- Once the data is in the SAFER-PRISM database, there are several different sources to access key data.

PRISM Vehicle Registration Data

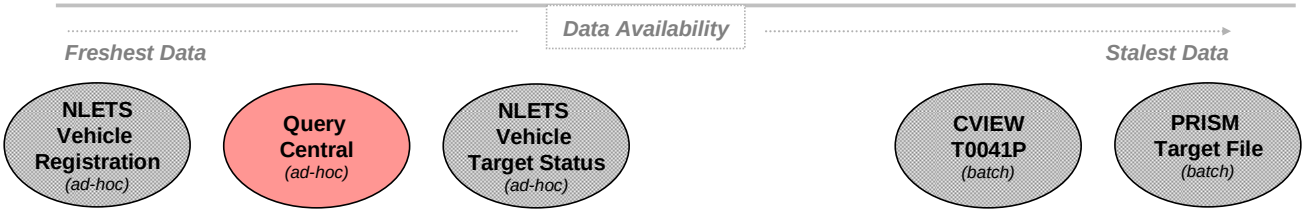


NLETS Vehicle Registration

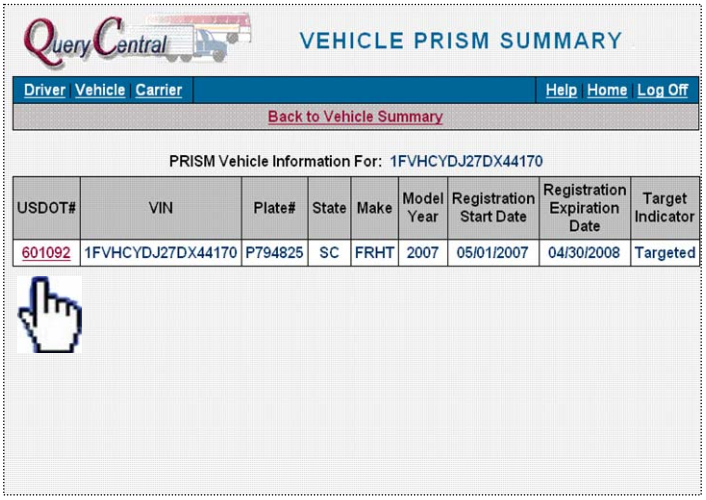


Example of South Carolina NLETS Vehicle Registration Queries

Query Central (Vehicle)

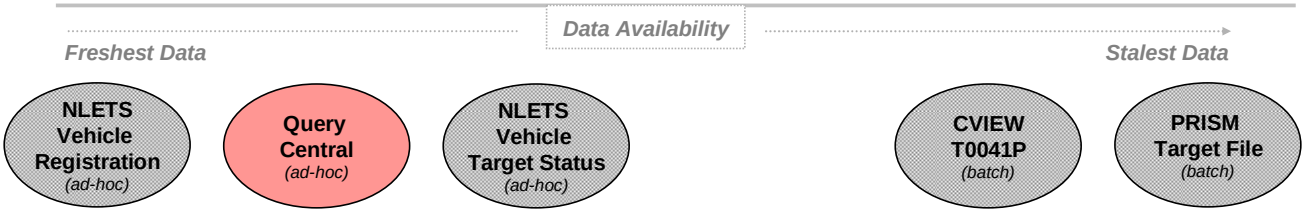


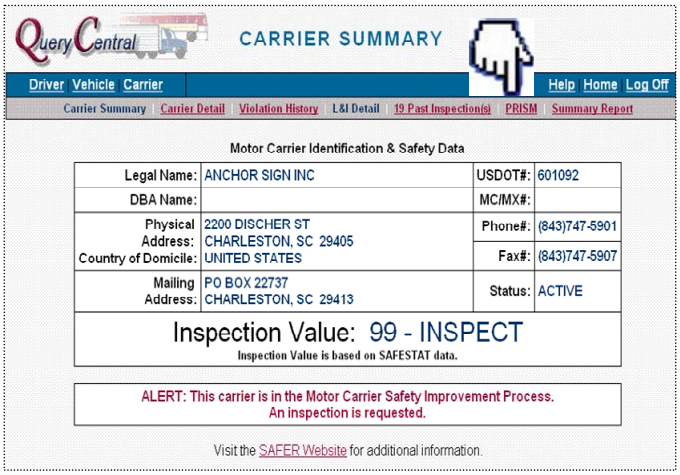
Query Central Vehicle Search



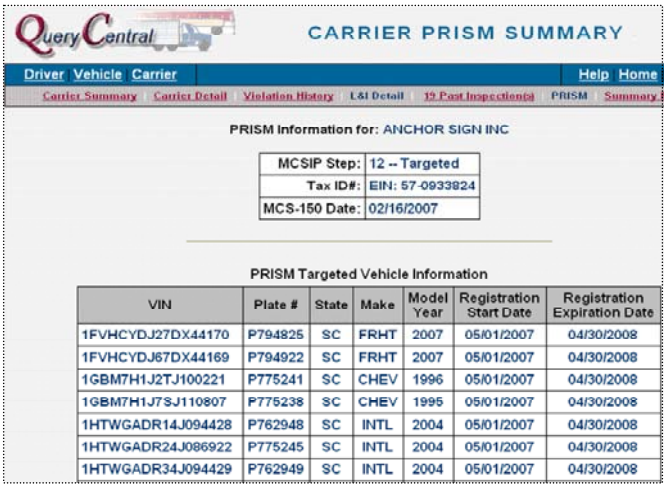
Query Central PRISM Vehicle Information Summary

Query Central (Vehicle)





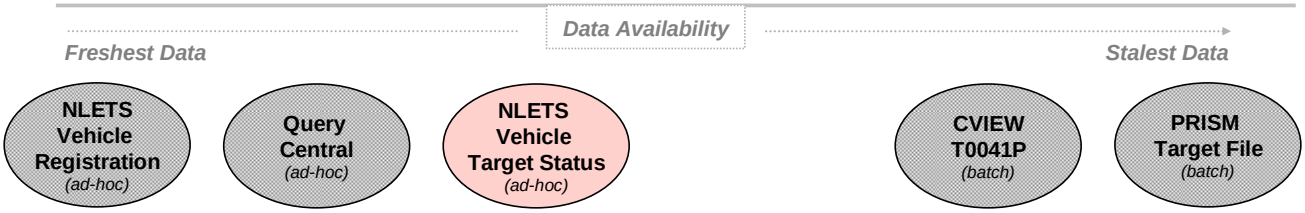
Query Central Carrier Information Summary



VIN	Plate #	State	Make	Model Year	Registration Start Date	Registration Expiration Date
1FVHCYDJ27DX44170	P794825	SC	FRHT	2007	05/01/2007	04/30/2008
1FVHCYDJ67DX44169	P794922	SC	FRHT	2007	05/01/2007	04/30/2008
1GBM7H1J2TJ100221	P775241	SC	CHEV	1996	05/01/2007	04/30/2008
1GBM7H1J7SJ110807	P775238	SC	CHEV	1995	05/01/2007	04/30/2008
1HTWGADR14J094428	P762948	SC	INTL	2004	05/01/2007	04/30/2008
1HTWGADR24J086922	P775245	SC	INTL	2004	05/01/2007	04/30/2008
1HTWGADR34J094429	P762949	SC	INTL	2004	05/01/2007	04/30/2008

Query Central Carrier PRISM Summary

NLETS Vehicle Target Status

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MSG FROM NLETS 2347
AVR.AVLIC0000.    TO:DEST IA07710B5
*MRI0030518.
TXT
                CARRIER IS UNDER FEDERAL OOSO.
DOT/609684.
NAM/ELDON ELLIS.
DBA/ELLIS EXPRESS.
ADR/932 MCCORMICK WAY.
CITY/LAYTON.ST/UT.ZIP/84041.
CAR TARG-HIST IND/T.MCSIP STEP/55.MCSIP DATE/11082006.
VMA/KW.VYR/02.VIN/1XKWDB9X52R898236.
LIC/137574.JUR/UT.REG EFF DATE/07012005.REG EXP DATE/063020
06.
VEH TARG-HIST IND/T.VEH TARG-HIST DATE/09022005.
PAGE/01 OF/01.

;200611130852/200611130852
T175 21
MESSAGE FROM NLTS
030833
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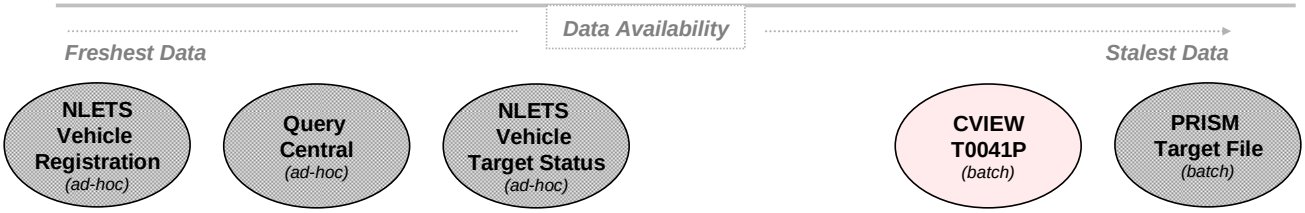
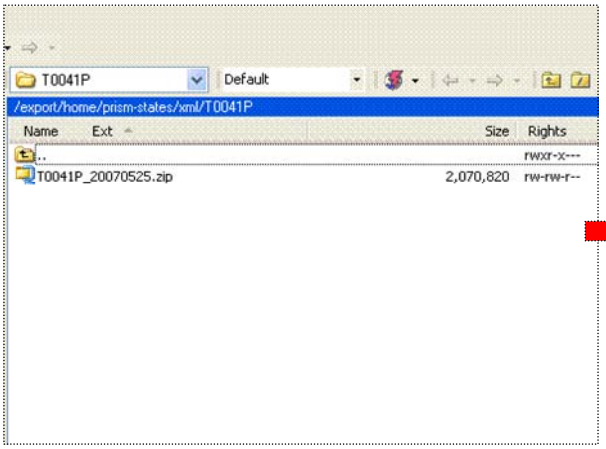
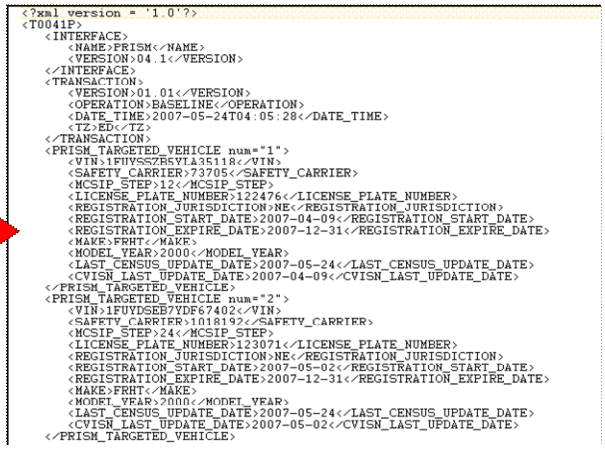
NLETS Vehicle Status Request (AVQ) Response Message

CVIEW T0041P





PRISM SFTP Server with available CVIEW T0041P File



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      <NAME>PRISM</NAME>
      <VERSION>04.1</VERSION>
   </INTERFACE>
   <TRANSACTION>
      <VERSION>01.01</VERSION>
      <OPERATION>BASELINE</OPERATION>
      <DATE_TIME>2007-05-24T04:05:28</DATE_TIME>
      <TZ>ED</TZ>
   </TRANSACTION>
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      <SAFETY_CARRIER>73705</SAFETY_CARRIER>
      <MCSIP_STEP>12</MCSIP_STEP>
      <LICENSE_PLATE_NUMBER>122476</LICENSE_PLATE_NUMBER>
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      <REGISTRATION_EXPIRE_DATE>2007-12-31</REGISTRATION_EXPIRE_DATE>
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      <MODEL_YEAR>2000</MODEL_YEAR>
      <LAST_CENSUS_UPDATE_DATE>2007-05-24</LAST_CENSUS_UPDATE_DATE>
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   </PRISM_TARGETED_VEHICLE>
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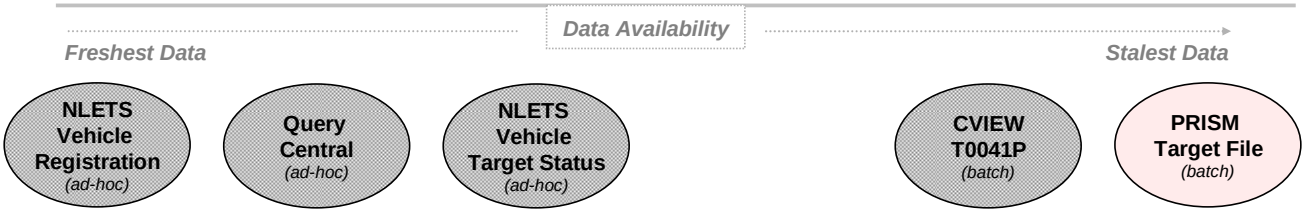
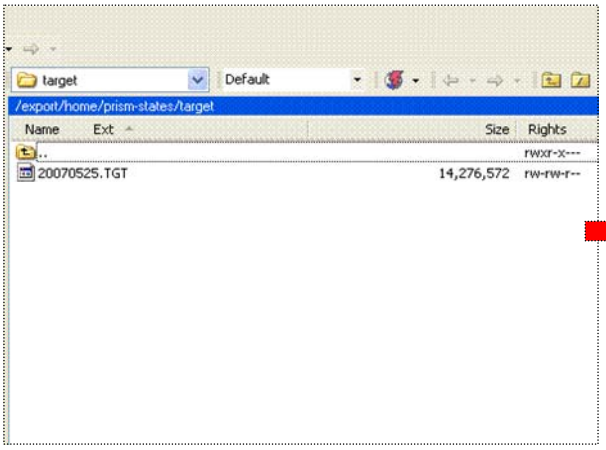
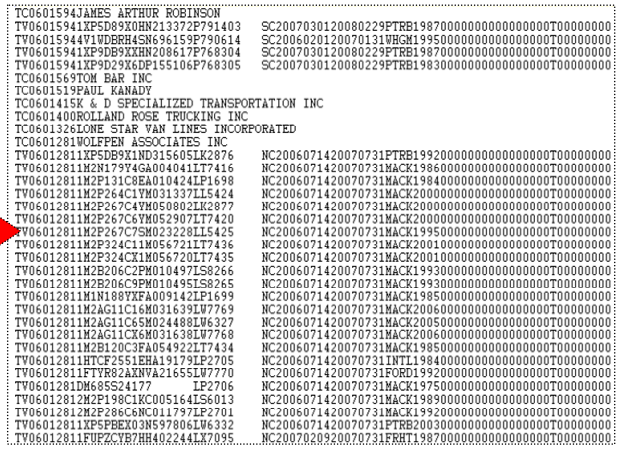
PRISM CVIEW T0041P – XML Data File

PRISM Target File





PRISM SFTP Server with available PRISM Target File



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TV06015944V1WDBRH4SN696159P790614   SC20060201200701 31WHGM1995000000000000000000T00000000
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TC0601569TOM BAR INC
TC0601519PAUL KANADY
TC0601415K & D SPECIALIZED TRANSPORTATION INC
TC0601400ROLLAND ROSE TRUCKING INC
TC0601326LONE STAR VAN LINES INCORPORATED
TC0601281WOLFPEN ASSOCIATES INC
TV06012811XP5DB9X1ND315605LK2876    NC20060714200707 31PTRB1992000000000000000000T00000000
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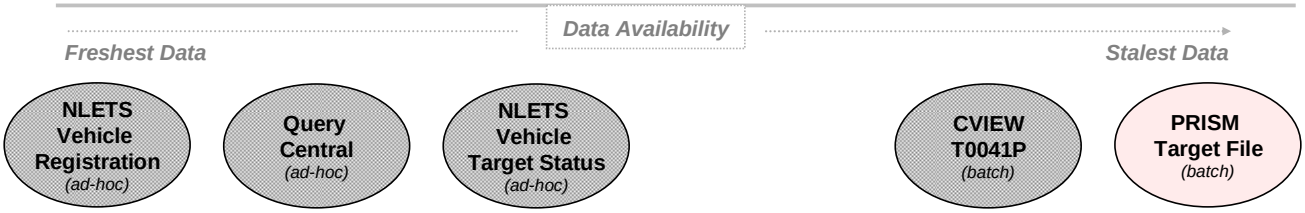
PRISM Daily Target File – AFF Text File Data

PRISM Target File



Example of Nebraska CVIEW using PRISM Target File for Vehicle Validation