

Module 12: Carrier Monitoring and Intervention

Commercial Vehicle Safety Compliance
in Alberta

Module 12: Carrier Monitoring and Intervention aims to provide carriers with information about the Compliance and Oversight Section monitoring and intervention process. The contents of this module include information about:

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This module serves only as a guide and cannot replace the legislation.

Every effort has been made to ensure the information in this module is accurate at the time of preparation. The material in these documents is not intended to represent a full training course in any subject area covered, nor is it intended to be reproduced or sold for commercial purposes or financial gain.

CARRIER MONITORING

The Alberta government follows a comprehensive strategy that was designed to reduce traffic-related deaths and injuries in the province. This strategy, known as the Traffic Safety Plan, outlines key initiatives to help prevent motor vehicle collisions, build safer roads, establish and enforce traffic laws, and better educate all Albertans about traffic safety.

Alberta Transportation contributes to these road safety initiatives by monitoring the safety of commercial carriers travelling on Alberta's highways.

Carriers who do not follow provincial and federal safety laws put other motorists at risk. The Alberta government follows the Intervention and Discipline Policy when intervening with those carriers. These guidelines can be found at: www.alberta.ca/carrier-intervention-and-discipline.aspx

Carrier Profiles

Alberta Transportation monitors Alberta's carriers using their history of:

- Convictions;
- Commercial Vehicle Safety Alliance (CVSA) inspections;
- Collisions; and
- Administrative Penalties issued for impaired driving (issued under the *Provincial Administrative Penalties Act*).

On December 1, 2020, administrative penalties issued roadside for impaired driving offences appeared on the carrier profile as information only.

Effective for June 2022 month-end carrier monitoring, administrative penalties issued for impaired driving charges are included in the Risk Factor (R-Factor) score. Previous month-end data on risk factor scores and carrier monitoring remain unchanged. Carrier Profile information is used to identify carriers who pose an unacceptable safety risk. The Alberta government may take intervention actions against a carrier if they continue to pose a risk to the motoring public.

More details on Carrier Profiles and Safety Fitness Ratings may be found in Module 11 of this manual.

Risk Factor Scores

Alberta Transportation collects safety event data on convictions, administrative penalties, CVSA inspection results, and collision information to determine a carrier's Risk Factor score. A carrier's Risk Factor score is shown as a number – the lower the number, the better the score. A low score means less risk that the carrier poses to public, and the less likely a collision is to occur.

A carrier's Risk Factor score is calculated over a 12-month period using the following information:

- Conviction points ;
- Administrative penalty points for impaired driving;
- Collision points ;
- The number of CVSA Out of Service, Required Attention, and Passed inspections; and
- The average fleet size of the carrier and fleet type (truck or bus).

Alberta's carrier monitoring program was designed to identify and intervene with non-compliant carriers who pose the greatest risk to the public. These carriers appear on Alberta Transportation's Carrier Monitoring Report and are compared with others that have a similar fleet type and fleet range. This report is used by Alberta Transportation to identify the high-risk carriers, so that appropriate intervention or corrective actions can be taken.

Carriers on the Monitoring Report are then assigned a monitoring stage of 1 - 4 based on their Risk Factor score. Carriers at monitoring stage 4 represent the greatest risk to the public, however, any carrier identified on any monitoring stage is considered at an unacceptable level of risk.

Alberta Transportation will intervene with carriers identified on the Monitoring Report, in an effort to create positive change within their operation. Carriers that are identified on monitoring must take immediate action to improve their overall safety performance.

NOTE

More information on the monitoring points system is available in Module 11.

NEW CARRIER COMPLIANCE REVIEWS (NCCRs)

Overview

A New Carrier Compliance Review (NCCR) is a high-level review of the compliance of a new carrier's commercial operation. This review is conducted between the 9th -12th month of the carrier beginning operations, using a program called Assessment of Regulatory Compliance (ARC).

NCCRs must be conducted by a certified NCCR Reviewer or a Third Party Auditor. The reviewer will review items such as:

- Safety and maintenance programs;
- Insurance documents;
- Hours of service;
- Trip inspections;
- Driver and vehicle files; and
- Supporting documents.

The carrier will be evaluated on three main areas of compliance:

- Carrier and Driver Safety;
- Drivers' Hours of Service; and
- Vehicle Maintenance.

A score for each area will be given to a carrier based on how well they follow transportation laws. Each area is weighted in a formula which is then used to calculate a total score.

Reasons for a New Carrier Compliance Review

All carriers are required to have an NCCR conducted within 9-12 months of beginning operations. Carriers who do not arrange for an NCCR to be conducted within this time may have their Safety Fitness Certificate suspended.

More information is available here: www.alberta.ca/pre-entry-requirements-commercial-carriers.aspx

FACILITY AUDITS

Overview

Facility audits are used to find out whether carriers are following transportation safety laws. While facility audits use the same information as NCCRs, and are also completed using ARC program, they are considerably more detailed. During a facility audit, a Public Safety Investigator or certified Third Party Auditor evaluates a carrier's on-road and safety management activities, and compliance with safety laws and requirements. The auditor will assess a sample of documents retained by the carrier, including:

- Safety and maintenance programs;

- Insurance documents;
- Hours of service;
- Trip inspections;
- Driver and vehicle files; and
- Supporting documents.

The carrier will be evaluated on four main areas of compliance:

- Carrier Safety;
- Driver Safety;
- Drivers' Hours of Service; and
- Vehicle Maintenance.

A score for each area will be given to a carrier based on how well they follow transportation laws. Each area is weighted in a formula that is then used to calculate a total score.

More information is available here: www.alberta.ca/facility-audits-and-investigations-commercial-carriers.aspx

Reasons for a Facility Audit

An audit may be conducted based on:

- Information on a Carrier's Profile, such as their Risk Factor score and monitoring stage;
- Complaints about a carrier received from enforcement agencies, the general public or a carrier's employees;
- The need to audit a carrier before giving them a special permit; and
- The need to randomly select a handful of carriers to ensure the general level of compliance within certain groups of carriers.

Carriers who have been assigned a condition to arrange for and submit a facility audit may have their Safety Fitness Certificate suspended if they do not do so.

REMINDER

The facility audit is focused on transportation safety. It does not evaluate the same information as a Certificate of Recognition (COR) audit. Information about COR is available here: www.alberta.ca/get-certificate-recognition.aspx.

Investigations

Investigations may also be conducted on a carrier for reasons including, but not limited to:

- Events such as a wheel separation occurrence;
- A collision;
- Complaints about a carrier's operations;
- Violations of a carrier's Safety Fitness Certificate conditions;
- Overweight or over-dimensional issues;
- Mechanical fitness issues;
- Permit violations; or
- Complaints of drivers being directed to violate safety laws.

Investigations are usually specific to a single event or type of violation (e.g. hours of service compliance). Depending on the findings of an investigator, further action may be taken to ensure a carrier is operating safely. More information is available here: www.alberta.ca/facility-audits-and-investigations-commercial-carriers.aspx

PREPARING FOR AN AUDIT OR REVIEW

Anyone who registers a regulated commercial vehicle in Alberta must follow laws related to their transport operation. Some of these laws deal with a carrier’s administrative requirements such as having and implementing a written safety and maintenance program. It may be difficult for a carrier to know how well their programs meet these requirements. This may make it difficult to pass an upcoming audit without adequate preparation.

The Alberta government has prepared a self-assessment compliance quiz to help a carrier identify areas where they may be operating in an unsafe or non-compliant way. This quiz can be found in the Appendix at the end of this module or online at www.alberta.ca/facility-audits-and-investigations-commercial-carriers.aspx. This compliance quiz can be used as a self-assessment tool for carriers prior to the audit and do not need to be shared with the auditor. However, they may assist carriers to better understand those compliance areas in which they can improve. Improved compliance will result in an improved audit score.

In order for a compliance quiz to be helpful, carriers must answer all questions honestly and accurately.



National Safety Code Compliance Self-Assessment Tool For Commercial Trucks, Tractors and Trailers

Disclaimer: This tool is intended for self-assessment purposes only; it cannot be submitted in lieu of a Third Party Audit conducted by a certified Third Party Auditor (TPA). For an up to date list of certified TPAs, please visit: <https://www.alberta.ca/third-party-auditor-certification-program.aspx>

| | |
|--|---|
| A. INSURANCE See Sections 24 and 25 of the <i>Commercial Vehicle Certificate and Insurance Regulation, AR 314/2002</i> . | |
| 1. Does the carrier maintain at least the minimum level of inland transportation cargo insurance as described below? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| Carrier must maintain inland insurance as set out in Section 24 of AR 314/2002. A registered owner must maintain cargo insurance against loss of or damage to goods transported. | |
| Comments: | |
| 2. Does the carrier maintain at least the minimum level of Public Liability and Property Damage (PL and PD) Insurance? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| <ul style="list-style-type: none"> a. \$2,000,000 for dangerous goods outlined in <i>Transportation of Dangerous Goods Regulation SOR/2001-286 Schedule 1, Column 7</i> (i.e. those goods that require an Emergency Response Plan). b. \$1,000,000 in all other cases. | |

Carriers should review education information and legislative requirements that relate to the problem areas that were identified during the quiz. They may also prepare for an audit by getting advice from consultants. Information about selecting a transportation safety consultant is available at www.alberta.ca/selecting-a-transportation-safety-consultant.aspx.

CONDUCTING NCCRS AND FACILITY AUDITS

NCCR Reviewers, auditors and investigators are highly trained professionals who are knowledgeable about transportation laws. Certified Third Party Auditors and Alberta Transportation investigators conduct facility audits that meet the high standards required by Alberta Transportation.

Third Party Auditor Certification Program

The Third Party Auditor (TPA) Certification Program was created to meet the requirements for conducting commercial carrier safety fitness audits under the federal [Motor Vehicle Transport Act](#) and Alberta's [Traffic Safety Act](#). Reviewers are certified to conduct New Carrier Compliance Reviews. Auditors are certified to conduct New Carrier Compliance Reviews and verifications, facility audits, and verification audits.

A key aspect of the TPA Program is based on use of the Assessment of Regulatory Compliance (ARC) auditing program, which is used to:

- Verify that a company has systems in place to manage risk and determine how effectively those systems are functioning;
- Evaluate whether the minimum legislated requirements are being met by owners, managers, supervisors, dispatchers, drivers, mechanics and contractors. Full regulatory compliance is the minimum acceptable performance;
- Identify whether a company is being a "good corporate citizen" and meeting or exceeding all moral requirements to its staff, customers, the public and the environment;
- Establish a performance baseline for a company's current or proposed programs;
- Evaluate a company's incident or collision review procedures;
- Raise awareness of safety and maintenance issues within the company; and
- Identify immediate and long-term safety risks in a company.

Certified auditors and reviewers must maintain their certification by completing periodic re-certification requirements. These requirements may include conducting a minimum number of facility audits and/or new carrier compliance reviews each year, and demonstrating that they are maintaining high quality standards.

More information about Alberta Transportation's Third Party Auditor Certification Program is available online at: www.alberta.ca/third-party-auditor-certification-program.aspx.

Conducting the Audit/Review

Auditors and reviewers use the ARC program to verify that carriers are meeting requirements found in applicable legislation such as the Alberta *Traffic Safety Act* and Canada's *Motor Vehicle Transport Act*.

The main difference between a NCCR and a facility audit is the level of information and details referred to in the assessment. An NCCR is a high-level review with a maximum sample size of 3 drivers and 3 vehicles. A facility audit is a highly detailed assessment of carrier compliance to hours of service, driver and vehicle information, and may have much larger sample sizes for drivers/vehicles.

Using the ARC program, auditors examine documents relative to the following three categories:

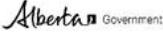
| Carrier and Driver Safety | Drivers' Hours of Service | Vehicle Maintenance |
|--|---|---|
| <ul style="list-style-type: none">• Written safety program• Driver files (including things such as driver training records and abstracts)• Licence disclosures• Driver collision and conviction Records• Annual driver evaluations• Evidence of corrective action(s) taken by the carrier• Insurance policies• Management practices• Compliance with the law• Dangerous goods control records | <ul style="list-style-type: none">• Daily logs• Time records (radius records, for example)• Supporting documents (i.e. fuel bills, toll receipts, accomodation receipts, payroll records) | <ul style="list-style-type: none">• Written preventative maintenance and inspection program• Records of carrier's routine preventative maintenance program• Valid CVIP certificates• Trip inspection reports and follow-up repairs• Records of defect repairs |

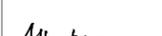
A facility audit or new carrier compliance review is usually conducted at the carrier's principal place of business in Alberta. The time needed to complete a facility audit depends on the carrier's fleet size, type of operation and level of compliance. The cost of an audit or review is paid for by the carrier.

After the Audits and Reviews

After a facility audit or new carrier compliance review has been completed, the carrier is provided with their score. The best score a carrier can achieve is 0%. All carriers should aim for a 0% score. The score represents the carrier's percentage of non-compliance.

The carrier will also be given a copy of the report that shows violations that were detected. Auditors/reviewers will conduct an "exit interview" with the carrier to fully explain the results. Carriers are expected to correct any violations that were identified in the audit.

|  Assessment of Regulatory Compliance AUDIT REPORT Page 46 of 50 | | | | | |
|--|------------------------------------|--------------------------------|----------------|---|----------------|
| SUMMARY AUDIT REPORT | | | | | |
| Summary By Subject Area | | | | | |
| Hours of Service | Hours of Service | | | | 0.00 % |
| | Hours of Service - Daily Questions | | | | 0.72 % |
| | | Subject Area Weight (%) | 32.00 % | Subject Area % in Violation (Weighted) | 0.73 % |
| | | | | | |
| Safety | Carrier Safety | | | | 0.00 % |
| | Driver File | | | | 4.35 % |
| | Safety Program | | | | 0.00 % |
| | Financial Responsibility | | | | 0.00 % |
| | | Subject Area Weight (%) | 36.00 % | Subject Area % in Violation (Weighted) | 4.35 % |
| Vehicle | Vehicle Maintenance | | | | 2.40 % |
| | Vehicle File | | | | 5.05 % |
| | | Subject Area Weight (%) | 32.00 % | Subject Area % in Violation (Weighted) | 7.47 % |
| Audit Score | | | | | 12.54 % |
| <small>Note: Individual subject area scores are displayed only up to two decimals</small> | | | | | |

|  CARRIER COMPLIANCE REVIEW REPORT Page 10 of 11 | | | | | |
|--|--------------------------------------|--------------------------------|----------------|---|----------------|
| Summary By Subject Area | | | | | |
| Hours of Service CCR | | | | | |
| | Inaccurate Records / Missing Records | | | | 16.66 % |
| | Cycle Rule | | | | 0.00 % |
| | Daily Rule | | | | 0.00 % |
| | Work Shift | | | | 0.00 % |
| | Form & Manner | | | | 1.65 % |
| | | Subject Area Weight (%) | 33.33 % | Subject Area % in Violation (Weighted) | 18.33 % |
| Qualification, Safety Program, Driver File, Insurance | | | | | |
| | Safety Program Requirements | | | | 6.15 % |
| | Insurance | | | | 0.00 % |
| | Driver File CCR | | | | 2.00 % |
| | Qualified Drivers | | | | 0.00 % |
| | | Subject Area Weight (%) | 33.34 % | Subject Area % in Violation (Weighted) | 8.15 % |
| Vehicle File | | | | | |
| | Maintenance Program | | | | 5.12 % |
| | Daily Inspections | | | | 8.33 % |
| | P.M. Intervals | | | | 6.66 % |
| | Records | | | | 0.00 % |
| | C.V.I. | | | | 0.00 % |
| | | Subject Area Weight (%) | 33.33 % | Subject Area % in Violation (Weighted) | 20.12 % |
| Audit Score | | | | | 46.62 % |
| <small>Note: Individual subject area scores are displayed only up to two decimals</small> | | | | | |
| Carrier Services Review | | | | | |
| <small>Carrier Services will report back to the carrier with results and recommendations if follow up action is necessary</small> | | | | | |

Carrier Intervention and Discipline

Alberta Transportation follows guidelines in the Intervention and Discipline Policy to ensure that carriers demonstrating non-compliance are approached in a consistent, fair, and objective manner.

Carrier Intervention and Discipline

Carriers that have shown non-compliance with safety laws or pose an unacceptable risk to the public are subject to carrier intervention and discipline. When considering what intervention actions to take with a carrier, Alberta Transportation considers the following:

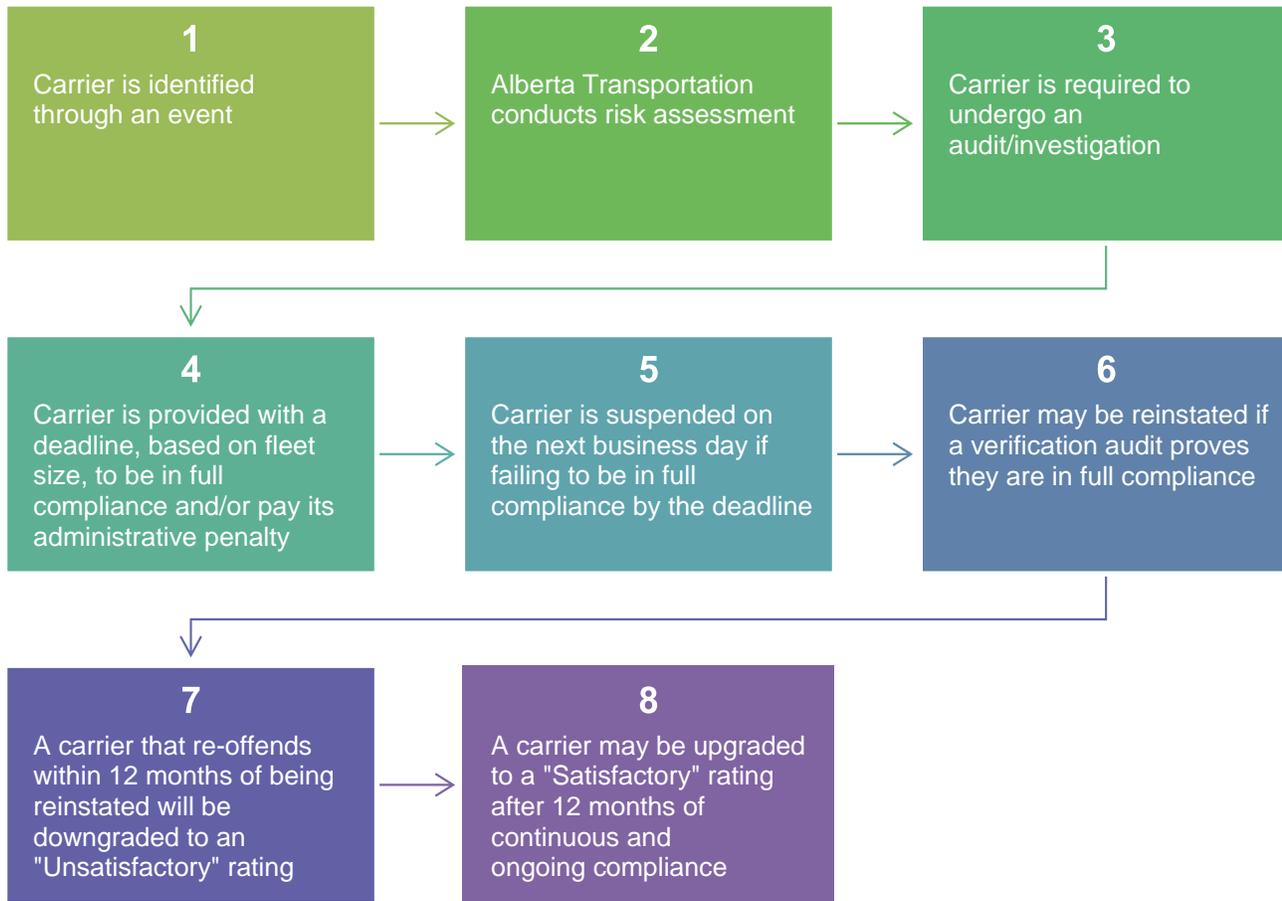
- Information supplied by the carrier;
- On-road events and information in the Carrier Profile;
- The Risk Factor score and monitoring stage the carrier is at (if any);
- Audit information collected by certified third party auditors/reviewers and/or investigators;
- Information collected through an investigation or inspection;
- Other information related to safety or compliance to safety laws; and
- The degree of risk the carrier poses to the public.

Carriers who pose a high risk to public safety will be addressed immediately. This may include the suspension or cancellation of the carrier's Safety Fitness Certificate and vehicle registration. A carrier can also have their Safety Fitness Certificate rating downgraded and conditions applied.

Consequences of Non-Compliance

It is very important that carriers demonstrate they can operate safely and in compliance with transportation safety laws. Failure to do so may result in a carrier not being permitted to operate commercial vehicles.

When a non-compliant carrier is identified, Alberta Transportation will follow guidelines in the intervention and discipline policy. A high-level overview of the intervention process is shown below:



Note: When a carrier's Safety Fitness Rating is downgraded to "Unsatisfactory," the carrier will not be permitted to operate regulated commercial vehicles for a period of six months or longer.

Registrar Reconsideration

The *Traffic Safety Act* provides the authority for a Registrar decision to be reconsidered by the Registrar within 30 calendar days from the date of the decision.

Should you wish to have a decision reconsidered by the Registrar you must complete an online application at www.alberta.ca/motor-vehicle-registrar-reconsideration.aspx.

It is important to note the only applications eligible for reconsideration are those that are able to provide the following: indication of error made by Alberta Transportation on the original decision, or new information that was not available to/considered by Alberta Transportation in the original decision. If you have any further questions regarding the Registrar Reconsideration process, please visit the following website www.alberta.ca/motor-vehicle-registrar-reconsideration.aspx

Once an applicant applies for a Registrar Reconsideration, no other department contact, Minister's Office, or Premier's Office will be able to comment or assist on the issue until that process has been completed. This protects the integrity of the Registrar Reconsideration processes and avoids any real or perceived influence, interference, or manipulation.

RESOURCES FOR CARRIERS

For more information on the Alberta government's Monitoring and Intervention Program, visit the following online resources.

| RESOURCE | WEB LINK |
|--|--|
| The Alberta <i>Traffic Safety Act</i> | www.qp.alberta.ca/documents/Acts/t06.pdf |
| Commercial Carriers | www.alberta.ca/commercial-carriers.aspx |
| Pre-Entry Requirements (New Carrier Compliance Reviews) | www.alberta.ca/pre-entry-requirements-commercial-carriers.aspx |
| Facility Audits and Investigations | www.alberta.ca/facility-audits-and-investigations-commercial-carriers.aspx |
| Certified Third Party Auditors List | www.alberta.ca/third-party-auditor-certification-program.aspx |
| Carrier Profiles and Monitoring | www.alberta.ca/carrier-profiles-and-monitoring.aspx |

MODULE 12 APPENDICES

The program review and checklist in the following appendix can be used to help plan your maintenance program.

Appendix 1 **National Safety Code Compliance Self-Check** for Commercial Trucks, Tractors and Trailers

Available online at www.alberta.ca/assets/documents/trans-national-safety-code-quiz-for-commercial-trucks-tractors-and-trailers%20.pdf

APPENDIX 1 – National Safety Code Compliance Self-Check for Commercial Trucks, Tractors and Trailers



National Safety Code Compliance Self-Assessment Tool For Commercial Trucks, Tractors and Trailers

Disclaimer: This tool is intended for self-assessment purposes only; it cannot be submitted in lieu of a Third Party Audit conducted by a certified Third Party Auditor (TPA). For an up to date list of certified TPAs, please visit: <https://www.alberta.ca/third-party-auditor-certification-program.aspx>

| | |
|--|---|
| A. INSURANCE See Sections 24 and 25 of the <i>Commercial Vehicle Certificate and Insurance Regulation</i> , AR 314/2002. | |
| 1. Does the carrier maintain at least the minimum level of inland transportation cargo insurance as described below? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| Carrier must maintain inland insurance as set out in Section 24 of AR 314/2002. A registered owner must maintain cargo insurance against loss of or damage to goods transported. | |
| Comments: | |
| 2. Does the carrier maintain at least the minimum level of Public Liability and Property Damage (PL and PD) Insurance? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| a. \$2,000,000 for dangerous goods outlined in <i>Transportation of Dangerous Goods Regulation</i> SOR/2001-286 Schedule 1, Column 7 (i.e. those goods that require an Emergency Response Plan). | |
| b. \$1,000,000 in all other cases. | |
| Comments: | |
| B. SAFETY See Sections 40 and 43 of the <i>Commercial Vehicle Certificate and Insurance Regulation</i> , AR 314/2002. | |
| 3. Does the carrier's Safety Program designate a Safety Officer to be responsible for maintaining and implementing the Safety Program and ensuring compliance with the safety laws? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| Comments: | |

FOR SELF-ASSESSMENT PURPOSES ONLY; WILL NOT BE ACCEPTED BY ALBERTA TRANSPORTATION FOR COMPLIANCE PURPOSES

| | |
|---|--|
| <p>4. Does the carrier's written Safety Program establish, maintain, clearly document and address matters relating to the safe operation of their commercial vehicles?</p> | <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p> |
| <p>Safety Plan must include at least:</p> <ul style="list-style-type: none"> a. Direction that it applies to staff authorized to operate the carrier's commercial vehicles; b. Safe use and operation of commercial vehicles including; speed limits, seat belt use, drug and alcohol use, defensive driving, load security, and fueling; c. Proper records and recording of information including, as required; bills of lading, manifests, dangerous goods documents, time records, drivers' daily logs and weigh slips; d. Ensuring that drivers are expected to comply with the law; e. Instructions for use of safety equipment including, as required, the use of warning triangles and flares, fire extinguishers, goggles, and hard hats; f. Policies and procedures relating to the driver's responsibilities, conduct and discipline; g. Providing training to employees about safety laws and their application and an ongoing program for evaluating their driving skills; h. Retention of complete records for each driver (refer to Section 41 of AR 314/2002); and i. Ensuring all drivers are properly qualified for the type of vehicle they operate. | |
| <p>Comments:</p> | |
| <p>5. Are copies of all the carrier's records located at their principal place of business (main office) in Alberta?</p> | <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p> |
| <p>Electronic records are acceptable if appropriate policies are in place to ensure they are not lost. If records are scanned then the originals of hours of service records must be retained after scanned.</p> | |
| <p>Comments:</p> | |
| <p>6. Does the carrier and their employees comply with the carrier's written Safety Program?</p> | <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p> |
| <p>All policies/procedures contained in the safety program must be followed as described. The program can be periodically updated.</p> | |

FOR SELF-ASSESSMENT PURPOSES ONLY; WILL NOT BE ACCEPTED BY ALBERTA TRANSPORTATION FOR COMPLIANCE PURPOSES

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|---|---|
| Comments: | |
| C. DRIVER FILES See Section 41 of the <i>Commercial Vehicle Certificate and Insurance Regulation</i> , AR 314/2002. | |
| 7. Does the carrier keep individual files on each authorized driver of their regulated commercial vehicle(s)? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| This includes any full-time or part-time driver, including mechanics, managers and administration staff who are authorized by the carrier to drive an NSC commercial vehicle. | |
| Comments: | |
| 8. Does each driver's file contain at least all of the required information and is the information retained for at least the minimum required time (i.e. the shorter of the current year and four previous years, or since the driver was hired)? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| <p>Each driver file must contain:</p> <ul style="list-style-type: none"> a. Completed application form, if hired after April 1, 1998; b. Employment history for at least three years prior to working for carrier, if hired after April 1, 1998; c. Driver's abstract, when the driver is first hired, dated within 30 days of the date of employment or hire, if hired after May 20, 2003; d. Annual updated copies of the driver's abstract; e. A record of the driver's convictions of safety laws for the current year and previous four years; f. A record of any administrative penalty imposed on the driver under any safety law; g. A record of all collisions reportable to a peace officer involving a motor vehicle operated by the driver including collisions in jurisdictions outside Alberta; h. A record of all training completed with respect to the operation of a commercial vehicle and compliance with safety laws; i. A copy of any training certificate issued to the driver, in electronic or paper form, for the period starting on the date the training certificate was issued and continuing until three years after it has expired, in accordance with part VI of the Transportation of Dangerous Goods Regulation; j. In the case where the driver has a Class 1, 2, or 4 operators license: <ul style="list-style-type: none"> 1. A current medical certificate required by the license, or 2. A copy of a valid operator's licence or current driver's abstract. | |

FOR SELF-ASSESSMENT PURPOSES ONLY; WILL NOT BE ACCEPTED BY ALBERTA TRANSPORTATION FOR COMPLIANCE PURPOSES

| | |
|--|---|
| Comments: | |
| D. HOURS OF SERVICE See the <i>Drivers' Hours of Service Regulation, AR 317/2002</i> (Provincial) and the <i>Commercial Vehicle Drivers' Hours of Service Regulation, SOR/2005-313</i> (Federal). | |
| 9. Does the carrier retain drivers' hours-of-service records for at least six months? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| Hours-of-Service records include logbooks, radius duty status records, supporting documents (e.g. fuel receipts), etc. | |
| Comments: | |
| 10. Does the carrier file their drivers' hours-of-service records in a neat and orderly manner so that any individual driver's records can be easily located for checking? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| Comments: | |
| 11. Is there a daily log or other duty status record when required? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| <p><u>Provincial Legislation AR 317/2002</u></p> <p>A daily log is required unless all of the following requirements are met:</p> <ul style="list-style-type: none"> a. The driver operates within a radius of 160 kilometers of the driver's home terminal; b. The driver starts and ends his work shift at the same location; c. The driver does not work more than 15 hours in a work shift; d. The carrier that employs the driver maintains and keeps accurate time records of the driver's shift start and finish times for a period of six months; and e. Every calendar day must be accounted for. <p><u>Federal Legislation SOR/2005-313</u></p> <p>A daily log is required unless all of the following requirements are met:</p> <ul style="list-style-type: none"> a. The driver operates within a 160 kilometer radius of the driver's home terminal; b. The driver returns to the home terminal each day to begin a minimum of eight consecutive hours of off-duty time; c. The motor carrier maintains accurate and legible records showing, for each day, the driver's duty status, elected cycle, the hour at which each duty status begins and ends, the total number of hours spent in each status and keeps those records for a minimum period of six months after the day on which they were recorded; | |

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| <p>d. The driver is not driving under a permit; and e. Every calendar day must be accounted for.</p> | |
| <p>Comments:</p> | |
| <p>12. Are the carrier's drivers completing all "Form and Manner" requirements for each daily log?</p> | <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p> |
| <p>Form and manner items include date, carrier's name, driver's signature, driver's name (printed), starting and ending odometer readings, total kilometers or miles driven, name of co-driver if applicable, vehicle unit # or licence plate #, name of municipality and province at each change in duty status.</p> <p><u>Provincial Only:</u> also includes location where fuel was obtained and the number of litres or gallons of fuel taken.</p> <p><u>Federal Only:</u> also includes start time of day (if different than midnight), cycle that driver is following (unless operating under the provisions of an oil well service vehicle permit), in the "Remarks" section include the number of hours of off-duty and on-duty time accumulated by the driver each day during the 14 previous days (if no daily log was required before the beginning of the current day), and if applicable, a declaration in the "Remarks" section of the daily log that states the driver is deferring off-duty time and that clearly indicates whether the driver is driving under day one or day two at that time.</p> | |
| <p>Comments:</p> | |
| <p>13. Are all drivers' daily logs and/or records of duty status true and accurate?</p> | <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p> |
| <p>This is identified by conducting an internal audit of logs and records using independent supporting documents such as fuel receipts, tach cards, hotel receipts, loading/unloading records, etc. Answer "No" if the carrier is not checking logs for falsification.</p> | |
| <p>Comments:</p> | |
| <p>D. (1) <u>PROVINCIAL OPERATING STATUS</u> and <u>HOURS OF SERVICE</u> See the <i>Drivers' Hours of Service Regulation, AR 317/2002</i> (Provincial)</p> <p>The following questions apply only to carriers with a Provincial Operating Status.</p> | |
| <p>14. Are all drivers in compliance with the 13-hour driving in a "work-shift" rule?</p> | <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p> |
| <p>No driving is allowed after driving 13 hours in a work-shift. Eight or more consecutive hours off-duty resets the work-shift.</p> | |

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| Comments: | |
| 15. Are all drivers in compliance with the 15-hour on-duty in a “work-shift” rule? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| No driving is allowed after being on duty for 15 hours in a work-shift. Eight or more consecutive hours off-duty resets the work-shift. | |
| Comments: | |
| D. (2) FEDERAL OPERATING STATUS and HOURS OF SERVICE See the <i>Commercial Vehicle Drivers’ Hours of Service Regulation, SOR/2005-313</i> (Federal). The following questions apply only to carriers with a Federal Operating Status. | |
| 16. Does the carrier have an internal process to monitor the compliance of each driver to hours-of-service regulatory and permit requirements? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| Regulation: SOR/205-313 Section 87: Carriers must have implemented a monitoring program. Records maintained must include at least: <ol style="list-style-type: none"> 1. The nature and date of the violations detected; 2. What remedial action the carrier took with the driver; and 3. The date the remedial action was taken <p>Note: Enter N/A if carrier is an Owner/Operator and has never had any full-time or part-time drivers.</p> | |
| Comments: | |
| 17. Are all drivers in compliance with the 13-hour driving in a “day” rule? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| No driving is allowed after the driver has accumulated 13 hours of driving time in a “day”. A “day” is defined as a 24-hour period that begins at the hour designated by the motor carrier and noted on the log by the driver for the duration of the driver’s cycle. | |
| Comments: | |
| 18. Are all drivers in compliance with the 14-hour on-duty in a “day” rule? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| No driving is allowed after the driver has accumulated 14 hours of on-duty time in a “day”. A “day” is defined as a 24-hour period that begins at the hour designated and noted on the log by the motor carrier for the duration of the driver’s cycle. | |

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| Comments: | |
| 19. Are all drivers in compliance with the 10-hours off-duty in a “day” rule? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| Drivers must have 10 hours off in a “day”. This off-duty time must include at least 2 hours of off-duty time (taken in blocks of not less than 30 minutes) that does not form part of a period of 8 consecutive hours of off-duty time (although they can be consecutive). | |
| Comments: | |
| 20. Are all drivers in compliance with the 13-hour driving in a “work-shift” rule? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| No driving is allowed after driving 13 hours in a work-shift. Eight or more consecutive hours off-duty resets the work-shift. | |
| Comments: | |
| 21. Are all drivers in compliance with the 14-hour on-duty in a “work-shift” rule? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| No driving is allowed after the driver has been on-duty for more than 14 hours in a work-shift. Eight or more consecutive hours off-duty resets the work-shift. | |
| Comments: | |
| 22. Are all drivers in compliance with the 16-hour “elapsed time” rule? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| No driving is allowed after 16 hours of time has elapsed since the driver started a work-shift. (i.e. the clock starts ticking at the start of the driver’s work-shift and does not stop until the driver begins to take 8 or more consecutive hours of off-duty time. | |
| Comments: | |
| 23. Are all drivers in compliance with the 70 and 120-hour “cumulative cycle” rules? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| No driving is allowed after the driver has reached their cycle limits. Drivers must either follow Cycle 1 (70 hours on-duty in 7 days) or Cycle 2 (120 hours on-duty in 14 days). | |

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| Comments: | |
| 24. Are all drivers in compliance with the mandatory 24 hours off-duty rule? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| Regardless of the cycle the driver is operating under, no driving is allowed unless the driver has taken at least 24 consecutive hours of off-duty time in the preceding 14 days. | |
| Comments: | |
| E. MAINTENANCE See the <i>Commercial Vehicle Safety Regulation, AR121/2009</i> . | |
| 25. Does the carrier have a written Maintenance and Inspection Program that covers at least <u>all</u> the items required? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| See Section 6 of AR 121/2009. Carrier must meet the requirements of Section 6 and 10, and Schedule 2 of AR 121/2009, as applicable, and the requirements of the Vehicle Inspection Regulation, AR 122/2009. | |
| Comments: | |
| 26. Does the carrier's written Maintenance and Inspection Program pertain to all types of regulated commercial trucks, tractors and trailers registered to the company? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| A carrier's written program must apply to all commercial vehicles registered for a weight in excess of 4,500 kilograms. | |
| Comments: | |
| 27. Does the carrier's written Maintenance and Inspection Program call for a regular and continuous program of inspection and maintenance? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| Regular and continuous means specific criteria for time and/or distance between inspections. | |
| Comments: | |
| 28. Does the carrier maintain individual files for each vehicle registered to your company and does each file contain at least all of the required information about the vehicle? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| Must meet the requirements of Section 37(2) (a) of AR 121/2009. Each vehicle file must identify the vehicle including at least: | |

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| <ol style="list-style-type: none"> 1. Unit number, serial number, or similar identifying mark; 2. Make of the vehicle; and 3. The year of manufacture of the vehicle. | |
| Comments: | |
| 29. Are all individual documents of all vehicle trip inspections, scheduled maintenance (e.g. Preventative Maintenance, A/B/C service), repairs, and lubrications each recorded with the required information? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| <p>Must meet the requirements outlined in Section 37(2)(b) of AR 121/2009 including:</p> <ol style="list-style-type: none"> 1. The nature of the work performed; AND 2. The date on which the inspection took place or odometer or hubmeter reading on the vehicle at the time. | |
| Comments: | |
| 30. Does the carrier have a system in place that ensures that all regulated commercial trucks, tractors and trailers undergo a CVIP inspection at least every 12 months, that each vehicle contains a copy of its current inspection certificate and displays the corresponding decal? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| This annual inspection is not considered part of your "routine" maintenance requirements. | |
| Comments: | |
| 30. Are trip inspections and trip inspection reports being completed as required? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| Trip inspections must be conducted as per Section 10 of AR 121/2009. Trip inspection reports must be completed as per Section 12 of AR 121/2009 on all vehicles operated under the authority of the carrier's Safety Fitness Certificate. (Must consider if the carrier is federally or provincially regulated) | |
| Comments: | |
| 31. Does each vehicle file contain all maintenance and inspection records for that vehicle for at least the minimum required time? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| Must meet the requirement of Section 38 of the AR 121/2009. Trip inspection reports must be retained for the current month and the 6 | |

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| months immediately preceding. All other records must be retained for the current calendar year and the 4 calendar years immediately preceding. | |
| Comments: | |
| 32. Is a copy of the carrier's Maintenance and Inspection Program document kept at their principal place of business in Alberta and all other locations where maintenance and repairs are completed? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| Electronic copies of the Maintenance Program are acceptable if it is available to all applicable employees wherever needed. | |
| Comments: | |
| 33. Has the carrier fully implemented <u>all</u> areas of your Maintenance and Inspection Program? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| Comments: | |
| Total Number of "No's" | |

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Evaluation

National Safety Code Compliance Quiz For Commercial Trucks, Tractors and Trailers

No violations of legislation are acceptable. Any non-compliance must be corrected immediately. To estimate the company's level of non-compliance, determine the number of questions answered "No" and compare this number to the appropriate row in the table below.

| Number of "No's" | | Violation Level/Action |
|--------------------------|-----------------------------|--|
| Federal Operating Status | Provincial Operating Status | |
| 0 - 5 | 0 - 4 | Generally good compliance, some upgrades are required. |
| 6 - 9 | 5 - 6 | You are required to re-evaluate all of your programs and procedures and ensure full compliance. |
| 10 - 33 | 7 - 25 | Unacceptable compliance to legislation. Correct all deficiencies immediately. Suggest you consult a Transportation Consultant or Alberta Transportation for information. |

Improvements must be made to all areas identified as being incomplete or as not meeting the company's regulatory requirements. You may want to contact a transport consultant to assist you.

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