

# Module 11: Carrier Profiles and Safety Fitness Ratings

Commercial Vehicle Safety Compliance in Alberta



Module 11: Carrier Profiles and Safety Fitness Ratings aims to provide carriers with information about Carrier Profiles and Safety Fitness Ratings. The contents of this module include information about:

## **Contents**

CARRIER PROFILES AND SAFETY FITNESS RATINGS	1
Benefits to Carriers	1
OBTAINING CARRIER PROFILE REPORTS	3
Obtaining a Carrier Profile	3
PARTS OF A CARRIER PROFILE REPORT	5
Part 1: Carrier Information	6
PARTNERS IN COMPLIANCE (PIC)	7
Part 2: Conviction Information	8
Part 3: Administrative Penalty Information	8
Part 4: Commercial Vehicle Safety Alliance Inspection Information	9
Part 5: Collision Information	11
Part 6: Violation Information	12
Part 7: Monitoring Information	12
Part 8: Facility Audit Information	13
Part 9: Facility Licence Information	14
Part 10: Safety Fitness Certificate Information	14
Part 11: Profile Events	14
Part 12: History Summary Information	14
RESOURCES FOR CARRIERS	15

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 PROFILES AND SAFETY FITNESS RATINGS

The Alberta government monitors the on-road safety performance of carriers using the Carrier Profile system. This system is described in NSC Standard 7, found here: https://ccmta.ca/web/default/files/PDF/Standard 7.pdf. The system:

- Provides carriers with information they may use to monitor the effectiveness of their safety and maintenance programs;
- Provides government administrators and the carrier with an overview of a carrier's record;
- Gives government administrators and the carrier the ability to review current and past carrier performance;
- Allows government administrators to monitor carriers for safety compliance; and
- Provides the public with a summary of a carrier's safety performance information.

Individual Carrier Profile reports are created for each carrier that holds a Safety Fitness Certificate. A Carrier Profile Report summarizes a carrier's convictions, administrative penalties for impaired driving charges, Commercial Vehicle Safety Alliance (CVSA) inspection results, and collision events.

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 are unchanged.

This information is provided to the Alberta government by law enforcement and government agencies from across North America.

## **Benefits to Carriers**

Carriers may benefit from reviewing their Carrier Profile report. The Carrier Profile report may assist a carrier in:

- Reducing the likelihood of future vehicle collisions by identifying safety issues within their operation;
- Saving money by reducing future fines, maintenance and insurance costs;
- Developing a reputation for being a safe and responsible carrier;
- Maintaining an acceptable Safety Fitness Rating under the NSC Program;
- Evaluating the effectiveness of their Safety and Maintenance Programs; and
- Proactively improving their overall safety performance.

Carrier Profile information is considered when determining a carrier's Safety Fitness Rating.



#### CARRIER INFORMATION

## Example Transport Ltd

PO Box 1 Edmonton AB T6B 2X3 Canada

NSC Number: AB000-0000 Profile Period Start: 2021 FEB 12 End: 2022 FEB 11

#### NOTE

The "Carrier Profile" includes a history of convictions, administrative penalties, inspections, and collisions provided to Alberta Transportation by law enforcement and other government agencies. Other information such as inspection facility certifications, audits, and notices documenting violations may also be included. The Carrier Profile is used to identify carriers that pose an unacceptable risk to the public. Information contained in the Carrier Profile will be considered when establishing a carriers safety fitness rating.

Carriers are encouraged to obtain and review their Carrier Profile regularly to help evaluate the effectiveness of their safety and maintenance programs, and take proactive action to rectify safety and compliance issues.

The actual description and coding of events are worded using criteria set by the Canadian Council of Motor Transport Administrators(CCMTA) and therefore may not be the same wording that appears on law enforcement documentation.

The carrier current compliance standing can be found in "Part 1 - Carrier Information". This will always reflect events that have occurred in the previous 12 months from the printed date regardless of the Profile Period Start and End Date.

All reasonable efforts have been taken to ensure the accuracy of the information in this report. If any information shown in the carrier profile is in question, the carrier should consult their records to verify any concerns. If there are data inaccuracies or inconsistencies, contact Alberta Transportation at (403) 755-6111 or by email to compliance.info@gov.ab.ca.

An Education Manual is available to assist carriers to better understand the transportation requirements to suport compliance to transportation safety legislation. The Education Manual and other information regarding Alberta's National Safety Code (NSC) program can be viewed on the internet at <a href="https://www.alberta.ca/education-manual-for-commercial-carriers.aspx">https://www.alberta.ca/education-manual-for-commercial-carriers.aspx</a>

Date Printed: 2022 FEB 11 Requested By: MOTRISUI

## **OBTAINING CARRIER PROFILE REPORTS**

Due to the nature of the information contained within it, a complete Carrier Profile report may only be released to the following:

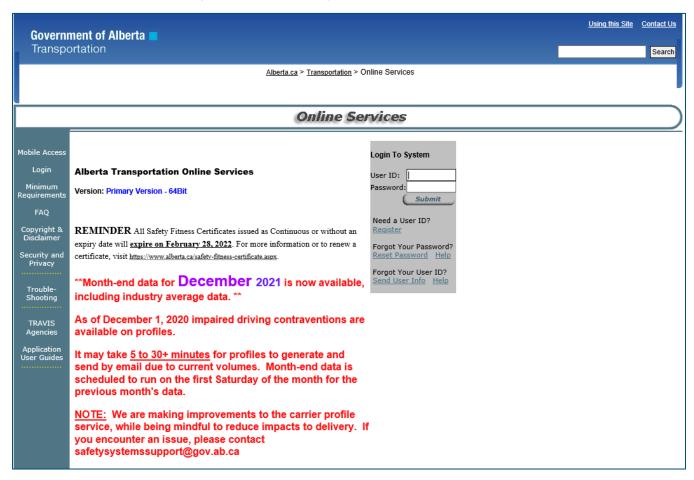
- · The carrier;
- · A police agency or external enforcement agency;
- Another agency or individual as required by FOIP (Freedom of Information and Protection of Privacy Act).

Public Profiles which **do not** include detailed information about a carrier's drivers may be provided to shippers, insurance companies, or other individuals upon request. Public Carrier Profile reports are available online at: <a href="www.alberta.ca/carrier-profiles-and-monitoring.aspx">www.alberta.ca/carrier-profiles-and-monitoring.aspx</a>

## **Obtaining a Carrier Profile**

Carriers can obtain information about the profile, benefits, and request process at: <a href="www.alberta.ca/carrier-profiles-and-monitoring.aspx">www.alberta.ca/carrier-profiles-and-monitoring.aspx</a>

Carriers may register for an account with Alberta Transportation's Online Services, and request and obtain a copy of their Carrier Profile report at: <a href="https://www.trans.gov.ab.ca/TravisWebLogin/redirect.htm">www.trans.gov.ab.ca/TravisWebLogin/redirect.htm</a>



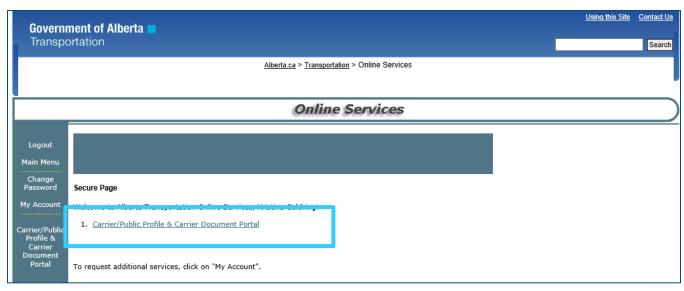
To register for an account, visit the *Alberta Transportation Online Services* home page at: <a href="https://www.trans.gov.ab.ca/TravisWebLogin/redirect.htm">www.trans.gov.ab.ca/TravisWebLogin/redirect.htm</a> .

- 1) Select the Register link, under 'Need a User ID?'
- Select the Carrier/Public Profile & Carrier Document Portal link. Enter the required fields on the account registration form.

- 3) Follow the instructions and click 'Submit' to process the account request. You will need to enter your MVID number and your NSC number upon registration.
- 4) Upon submission, the account will be reviewed and approved. You will receive confirmation via email following setup, with your log-in information and temporary password.

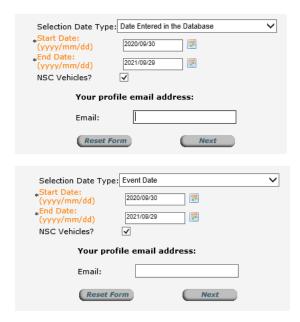
You can then access the *Carrier/Public Profile & Carrier Document Portal* service. This service provides access to your Carrier Profile and to view certain documents online issued by Alberta Transportation, such as letters and safety fitness certificates.

- Messaging will appear at the top of the page to register the 'carrier email address'.
- Click on the 'green link' to enter your 'carrier email address'.
- Once the email is registered, you will receive an email notification when new documents are issued by Alberta Transportation.
- To view documents, click on the 'View Carrier Documents' link on the left-side menu.
- To request a profile, click on the 'Request a Carrier Profile' link on the left-side menu.



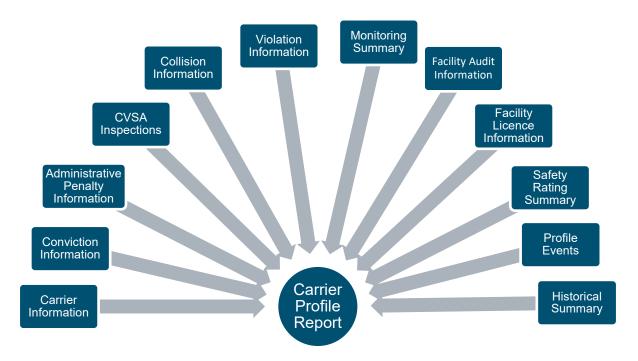


Carriers may select a start and end date in their request to generate a report based on safety event data within the timeframe indicated.



## PARTS OF A CARRIER PROFILE REPORT

The Profile system provides an overview of a carrier's business and the level of safety at which they operate. The Carrier Profile report is made up of 12 parts which provide different pieces of information about a carrier.



Carriers may request a copy of their entire Carrier Profile report or may choose to request a report for specific parts of the profile. A sample Carrier Profile can be viewed at: <a href="https://www.alberta.ca/carrier-profiles-and-monitoring.aspx">www.alberta.ca/carrier-profiles-and-monitoring.aspx</a>

The Carrier Profile report contains additional information for safety events (Parts: Conviction Information, Administrative Penalty Information, CVSA Inspections, and Collision Information) as shown in the sections below.

• Shows the profile start date, profile end date, and the date the part was printed. **INFORMATION** • It also shows the total number of safety events for that part/section of the profile. (For example, total convictions, points, etc.) • Identifies data related to the safety event and details that would impact carrier monitoring. **ANALYSIS** • The analysis section is a way to quickly identify areas that need improvement. (For example, analysis data on inspections, convictions, etc.) • Displays a listing of all safety events displayed in summary part of the carrier profile. **SUMMARY** (For example, a Conviction Summary would show a list of every conviction for the profile period requested) • Displays a more detailed listing of the information provided in the summary part of **DETAIL** the carrier profile. It includes more information about the carrier's vehicles, drivers, the location at which an incident occurred, etc.

#### Part 1: Carrier Information

This part provides information on a carrier's:

- Name
- Address
- National Safety Code (NSC) Number
- Safety Fitness Rating
- Operating Status (see Module 3 for details)

- Risk Factor Score (see Module 12 for details)
- Fleet Range and Type
- Monitoring Stage (see Module 12 for details)
- Fleet Size

The information in Part 1 provides an overview of a company's current safety status, regardless of the profile period that was requested. The default version of the report displays the last 12 months of data as of the date the Carrier Profile report was requested. This information is provided to ensure the carrier is always aware of how safely they are operating and what their current status is with the Alberta Government.

By reviewing Part 1 of the Carrier Profile Report, a safety officer may observe their company's on-road safety performance over a period of time. By doing so, they may determine what areas may be costing them money, damaging their reputation, or raising their Risk Factor score (a lower score represents safer performance).

For more detailed information, safety officers should refer to the other parts of their Carrier Profile report. This proactive review of the Carrier Profile report allows a safety officer to measure the effectiveness of their company's policies and procedures, and identify and address any problems.

#### Safety Fitness Rating

The National Safety Code (NSC) is a set of standards used by all Canadian jurisdictions to enhance the safety of truck and bus carriers. Under the NSC, carriers must obtain a Safety Fitness Certificate and maintain an acceptable Safety Fitness Rating.

Every carrier who has a Safety Fitness Certificate (shown in Module 1) will also have a Safety Fitness Rating. In Alberta, there are 5 Safety Rating categories: One of these five ratings will be displayed in Part 1 of a Carrier Profile report. Safety officers

may review different parts of their company's Carrier Profile report to improve their on-road safety performance and to achieve a higher Safety Fitness Rating.

By taking a proactive review of their Profile report and addressing any safety issues that are identified, a company may not only improve their level of compliance and on-road safety performance, but may also earn a positive reputation within the transportation industry.

Excellent	Satisfactory	Satisfactory Unaudited	Conditional	Unsatisfactory
<ul> <li>Carrier has achieved acceptable results on NSC audit;</li> <li>Carrier consistently demonstrates superior safety performance; and</li> <li>Carrier is a member of the Partners in Compliance (PIC) program.</li> </ul>	<ul> <li>Carrier has achieved acceptable results on NSC audit;</li> <li>Carrier has not been identified on Alberta Transportation's monitoring list in the past 12 months;</li> <li>Carrier has no outstanding compliance issues.</li> </ul>	This rating is generally assigned to all new carriers where no existing compliance issues are known;  Carrier has not had an NSC Facility Audit.	<ul> <li>Carrier has / had an unacceptable safety record and must improve their safety performance;</li> <li>Carrier must meet any conditions set forth by the Registrar.</li> </ul>	Carrier's performance has demonstrated an unacceptable risk to the public;     Carrier cannot operate a commercial vehicle that requires a Safety Fitness Certificate.

# **PARTNERS IN COMPLIANCE (PIC)**

All carriers are encouraged to exceed the minimum transportation safety requirements. Those who demonstrate a higher level of safety may be recognized for their performance by applying to be members of Partners in Compliance (PIC).

PIC is a group of motor carriers who have worked to:

Achieve a higher level of safety performance and earn an "Excellent" Safety Fitness Rating; and

Be recognized as industry leaders in safety by carriers, customers, contractors, the Alberta Government, other North American provinces, territories and states and the public.

PIC also works to be open and enticing to all segments of the transportation industry and invites others to increase safety and compliance in Alberta.



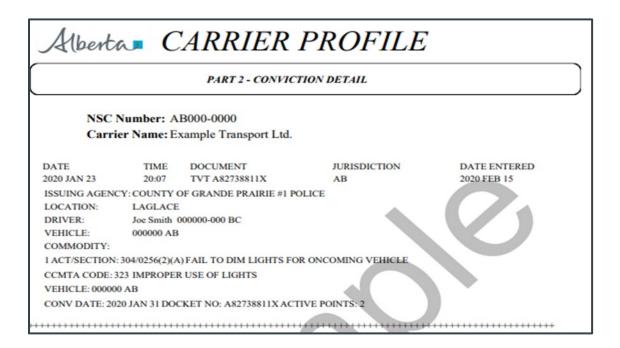
More details about PIC's mission, values and membership criteria are available online at: <a href="https://www.picalberta.ca">www.picalberta.ca</a>

#### Part 2: Conviction Information

Part 2 displays conviction information along with assigned point values. Points ranging from 0 to 5 are assigned to a conviction depending on the severity of the offence. 5 points are assigned to the most serious offences. These point values contribute to a carrier's Risk Factor score.

Convictions are shown in order of the offence date, with the most recent conviction identified first. Carrier management should review this part to ensure they are aware of and have taken action with any identified convictions. Convictions will be displayed as a Traffic Violation Ticket (TVT), Out of Province (OPC), or Long Form Information (NLF).

For example, if a carrier's safety officer finds that 85% of the convictions were related to speeding, this would be a good place to focus their attention for improvement. Training, new policies or internal monitoring programs may be required or existing procedures may need to be fully implemented to prevent more convictions.



## Part 3: Administrative Penalty Information

The information recorded in this Part reflects administrative penalties, as issued under Alberta's *Provincial Administrative Penalties Act*.

An "administrative penalty" includes a fine and any other administrative consequence, including, without limitation, a sanction, restriction, prohibition, requirement, condition, suspension, disqualification or cancellation imposed on a person for contravention of a prescribed enactment, but does not include imprisonment.

As of December 1, 2020, Alberta's impaired driving laws were strengthened with the introduction of the Immediate Roadside Sanctions (IRS) program that includes serious, immediate and escalating consequences for impaired drivers. At this time 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 are unchanged.

The point values and calculations applied to administrative penalties for impaired driving are effectively aligned with the approach taken for convictions. Administrative penalty data including the contribution to R-Factor score is included on the carrier profile.

# Alberta CARRIER PROFILE

#### PART 3 - ADMINISTRATIVE PENALTY DETAIL

NSC Number: AB000-0000

Carrier Name: Example Transport Ltd

OCCURRENCE DATE CONTRAVENTION # VEHICLE DRIVER NAME ISSUANCE DATE 2021 OCT 14 21:10 KA15583304X 000000AB Joe Smith 2021 OCT 14

ISSUING AGENCY: INT. TRAF.UNIT - WETASKIWIN

LOCATION: CAMROSE COUNTY
DRIVER: Joe Smith 000000-000 AB

Act/Section: TSA88.02(2)(A) IRS ZERO COMMERCIAL 1ST OCCURRENCE

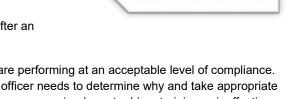
CCMTA CODE: 5004 Immediate Road Side

## Part 4: Commercial Vehicle Safety Alliance Inspection Information

Part 4 provides information on Commercial Vehicle Safety Alliance (CVSA) inspections. CVSA events may be displayed on the carrier's Profile for the profile period that was requested.

CVSA Inspection results from Levels 1 to 5 are used to determine the carrier's Out-Of-Service rate. The CVSA Failure Rate considers "Out of Service", "Requires Attention" and "Pass" inspections. This section allows a carrier to monitor:

- The number of vehicle defects identified in inspections over the requested period of time;
- Their number of failed inspections; and
- The number of times a vehicle/driver is placed Out of Service after an inspection within a chosen time frame.



Monitoring this information enables a carrier to determine whether they are performing at an acceptable level of compliance. If the number of Out of Service inspections or defects is high, the safety officer needs to determine why and take appropriate action. Unacceptable performance may be a result of a poor maintenance program, inadequate driver training or ineffective or unimplemented policies. All of these factors contribute to how safely a company is operating.

Commercial Vehicle Safety Compliance in Alberta | Module 11: Carrier Profiles and Safety Fitness Ratings Classification: Public



#### PART 4 - CVSA INSPECTION INFORMATION

NSC Number: AB000-0000

Carrier Name: Example Transport Ltd.

Profile Period Start Date: 2020 JAN 28 Profile Period End Date: 2021 JAN 27 Date Printed: 2021 JAN 27

TOTALS: PASSED:

REQUIRED ATTENTION: OUT OF SERVICE:



#### PART 4 - CVSA INSPECTION DETAIL

NSC Number: AB000-0000

Carrier Name: Example Transport Ltd.

DATE JUR LEVEL RESULT DATE ENTERED TIME DOCUMENT 2020 FEB 05 1 2020 JAN 30 00:00 CVR AB20611XEI AB 2 Out Of Service

AGENCY: GOVERNMENT ALBERTA - COMM VEH ENF - VERMILION

LOCATION: Vermilion - VIS VIS DRIVER: Joe Smith 000000-000 AB

CVSA VEHICLE: TYPE PLATE JUR MAKE YEAR DECAL#

P 000000 AB 1XKAD49X8EJ964700 2014 Kenworth 1GRDM0624EH721303 ST 000000 AB Great Dane

NUMBER OF OUT OF SERVICE DEFECTS (O) OUT OF SERVICE

DEFECT CATEGORY / DESCRIPTION BY VEHICLE 1 2 3 4 5 6 7

10 - Cargo Securement

NUMBER OF REQUIRES ATTENTION DEFECTS (X) REQUIRES ATTENTION

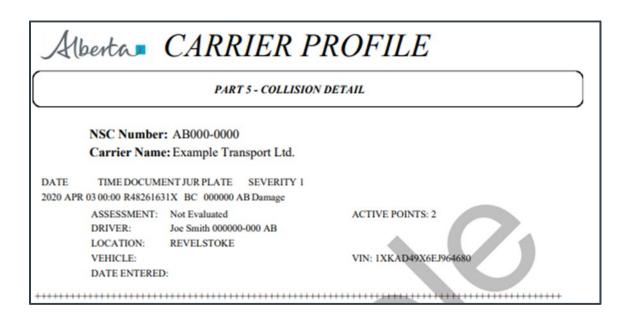
DEFECT CATEGORY / DESCRIPTION BY VEHICLE 1 2 3 4 5 6 7

4 - Brake Systems

#### Part 5: Collision Information

Part 5 provides information about any reportable collisions that a carrier's vehicles were involved in. Reportable collisions in Alberta are collisions which result in fatality, injury or property damage of \$2,000 or more. The standards for reportable collisions may be different in other provinces, territories or states. Points are assigned to each collision depending on its severity:





#### **Collision Reviews**

In accordance with Standard 7 of the National Safety Code (NSC), all collisions reported to Alberta Transportation involving a regulated, commercial vehicle appears on the carrier's profile.

Alberta Transportation may consider removing collision points from a Carrier's Profile by way of a Collision Points Review if the carrier, or carrier's representative, can show reasonable justification to have those points removed.

Carriers wishing to have a collision reviewed under Alberta's NSC program must complete an application form and submit to Alberta Transportation.

For more information on the collision review process go to: www.alberta.ca/collision-evaluations.aspx

A company that has been involved in any collision should investigate the contributing factors to that collision. A safety officer may use the results from an investigation to revise the company's safety program to ensure the company provides effective training programs or policies that help prevent collisions. Such policies that may need revision could include defensive driving or vehicle maintenance.

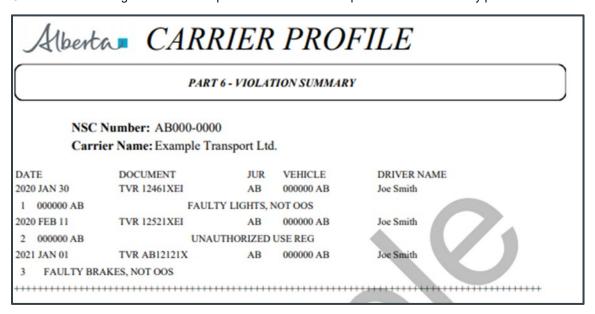
#### Part 6: Violation Information

Part 6 is a summary of violations documented by enforcement agencies. Each violation is a contravention of an Act or regulation.

No points are assigned to violations under this part and these violations are not used when calculating the carrier's Risk Factor score.

A safety officer may review their company's violation information for any significant problems in the company's operations. Sometimes, despite the best practices of a driver and other employees, violations occur. The safety officer should investigate each profile event to find the root cause of any violations. They may then take action to ensure such violations are not repeated in the future.

Carriers are encouraged to take these proactive measures to improve their overall safety performance and compliance.



## **Part 7: Monitoring Information**

The Alberta government considers information on convictions, administrative penalties for impaired driving, CVSA inspections, collisions, facility audits, investigations and other information when determining a carrier's Safety Fitness Rating.

Conviction points, administrative penalty points, CVSA Failure Rate, collision points over a 12 month period, the carrier's fleet type, and the carrier's average fleet size over a 24 month period are used to establish the carrier's Risk Factor score (R-Factor). Alberta Transportation will intervene with those carriers with an unacceptable R-Factor score.

The contributions of convictions, administrative penalties, CVSA inspection results, and collision points to the carrier's Risk Factor score can be viewed in Part 7.

By reviewing this part, carriers can:

- Track their monthly performance history;
- Compare themselves to other carriers in their fleet type and range; and
- Track their Risk Factor score and history of contributions to the Risk Factor number.

Reviewing this part to determine whether significant contributions are being made to their Risk Factor score may be valuable to carriers. Safety officers may use this information to evaluate the effectiveness of their safety and maintenance programs over time and to improve their company's overall safety performance. If a carrier finds that their safety performance is at a lower level in comparison to other carriers in their fleet type and range, they may wish to improve that performance by reviewing other parts of their profile as well as company practices.

More information about the Alberta government's monitoring and intervention process is in Module 12 of this manual.



#### PART 7 - MONITORING SUMMARY

MONTH- END	<	— FLEET	INFORM	MATION	1 — —>	· <		— R-FACTOI	R		> MONITORING
DATE	TYPE	TRK%	BUS%	AVG	CUR	SCORE	CONV%	ADMIN%	INSP%	COLL%	STAGE
2022 Jun	TRK	100	0	9	10	0.423	70.6	0.0	0.0	29.4	
2022 May	TRK	100	0	9	10	0.622	80.0	0.0	0.0	20.0	
2022 Apr						No Data					
2022 Mar	TRK	100	0	9	10	0.622	80.0	0.0	0.0	20.0	
2022 Feb	TRK	100	0	9	10	0.622	80.0	0.0	0.0	20.0	
2022 Jan	TRK	100	0	9	10	0.622	80.0	0.0	0.0	20.0	
2021 Dec	TRK	100	0	9	10	0.199	100.0	0.0	0.0	0.0	
2021 Nov	TRK	100	0	9	10	0.199	100.0	0.0	0.0	0.0	
2021 Oct	TRK	100	0	8	9	0.224	100.0		0.0	0.0	
2021 Sep	TRK	100	0	8	9	0.224	100.0		0.0	0.0	
2021 Aug	TRK	100	0	8	9	0.224	100.0		0.0	0.0	

## **Part 8: Facility Audit Information**

Part 8 includes data on facility audits that are complete and accepted by Alberta Transportation.

In accordance with National Safety Code Standard 15, a facility audit is designed to review a carrier's on-highway and safety management activities in considerable detail. During a facility audit, a Public Safety Investigator or a certified Third Party Auditor examines the carrier's records and reports on demonstrated compliance with the safety standards of the National Safety Code program, and its related legislation as implemented in Alberta.

For more information on audits, investigations, complaints, and intervention actions, go the Alberta Transportation website at: <a href="https://www.alberta.ca/audits-and-investigations-commercial-carriers.aspx">www.alberta.ca/audits-and-investigations-commercial-carriers.aspx</a>.

## Part 9: Facility Licence Information

Part 9 contains information related to whether the carrier has a facility license to conduct inspections under Alberta's Commercial Vehicle Inspection Program. Only those carriers that are licensed under one of Alberta's vehicle inspection programs will have data in this section.

Refer to Module 6 for more information about the Commercial Vehicle Inspection Program.

Part 9 is not included in a default Carrier Profile report. This means it will only be included in a report if it is specifically requested by the carrier.

## Part 10: Safety Fitness Certificate Information

Part 10 tracks a carrier's Safety Fitness Rating and Operating Status changes. This part is only included in a Carrier Profile report if it is specifically requested by the carrier.

This part may be of value to a carrier who wishes to track changes to their Safety Fitness Rating over a specified period of time. Carriers who have been subject to upgrading or downgrading in particular may wish to review their change history to see where their performance has improved.

### Part 11: Profile Events

Part 11 of the Carrier Profile is used for internal purposes to support review by Alberta Transportation only.

## **Part 12: History Summary Information**

This part displays all profile events in chronological order, with most recent events appearing first.

## **RESOURCES FOR CARRIERS**

For a better understanding of what a Carrier Profile is, refer to these online resources.

RESOURCE	WEB LINK
NSC Standard 7- Carrier and Driver Profiles	https://ccmta.ca/web/default/files/PDF/Standard 7.pdf
NC Standard 14 – Safety Rating	www.ccmta.ca/web/default/files/PDF/Standard 14.pdf
More information about Carrier Profile Reports	www.alberta.ca/carrier-profiles-and-monitoring.aspx
Commercial Vehicle Safety Alliance	www.cvsa.org/

Carrier Profile inquiries may be forwarded to:

## **Compliance and Monitoring**

Phone: 403-755-6111 (toll free in Alberta, first dial 310-0000)

Email: compliance.info@gov.ab.ca