



Alberta Transportation Third Party Auditor (TPA) Certification Program



January 2015
(ARC Version 6)

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MODULE 1

Alberta's Audit Process and Reporting Practices

Introduction

Alberta's Third Party Auditor Certification Program

Welcome to Alberta's Third Party Auditor Certification Program. The purpose of this program is to provide training to those who wish to learn how to use Alberta Transportation's National Safety Code Auditing tool known as the Assessment of Regulatory Compliance or "ARC" application.

It is necessary for you to have a good understanding of computers and an excellent understanding of Alberta's transportation legislation in order to be successful as a Third Party Auditor or "TPA".

This program material is arranged into modules, each containing various sections. Where appropriate, each identifies the expected learning outcomes, the applicable section learning material, and quizzes to evaluate your understanding.

In order to benefit from these lessons, you will be expected to follow along in the ARC application as you read through the material. You will also be required to enter data into the ARC application at the end of most sections. The goal is for you to conduct a complete audit of a fictitious carrier as you work through the various quizzes.

Additional Training Material

Every effort has been made to ensure that the information in this document is accurate at the time of preparation. However, this document is intended to serve only as a guide with respect to the legislation quoted herein. The reader should refer to the source legislation for purposes of interpreting and applying the law. Specific legislation, as it relates to the material within this program, can be found at:

<http://www.transportation.alberta.ca/525.htm>

IMPORTANT

It is expected that you read and work through all the material and quizzes contained within the “Commercial Vehicle Safety Compliance” Educational Manual **BEFORE** continuing with this program material. It will provide you with a better understanding of National Safety Code compliance in Alberta and aid you during the final exam. This information can be found on the web at:

<http://www.transportation.alberta.ca/671.htm>

IMPORTANT

It is also expected that you read and worked through all the material and quizzes contained within the “Alberta Reference Guide for Hours of Service Training Development” **BEFORE** continuing with this program material. It will provide you with a better understanding of hours of service compliance in Alberta and aid you during the final exam. This information can be found on the web at:

<http://www.transportation.alberta.ca/675.htm>

Contact Information

For matters dealing with program administration (e.g. program applications, exam scheduling and audit contracts) or program management (e.g. program content, use of the ARC application and general inquires), please contact:

Carrier Services

4920 - 51 Street, Red Deer, AB T4N 6K8

Telephone: 403 755-6111 (*toll-free in Alberta by dialing 310-0000*)

Fax: 403 340-4811

Email: <mailto:carrier.services@gov.ab.ca>

National Safety Code Facility Audit

Alberta Transportation's National Safety Code audit consists of a detailed examination of compliance to administrative requirements by commercial truck and bus carriers. This includes a review of all drivers and vehicles which the carrier controls.

ARC is the program used by Alberta Transportation's auditors and contractors to conduct NSC safety audits of commercial carriers. All of the required/regulated questions in this audit program are scored and all of the worksheets and subject areas are weighted. A total audit level/score is calculated at the end of the audit.

A safety audit is a fundamental component when determining the effectiveness of a company's safety management process. The purpose of a comprehensive safety audit is to do the following:

- Verify that systems are in place to manage risk and to determine how effectively the systems are functioning;
- Evaluate whether the minimum legislated requirements are being met. This is the responsibility of the owners, managers, supervisors, dispatchers, drivers, mechanics and contractors. Full regulatory compliance is the minimum acceptable performance;
- Identify whether the company is being a "good corporate citizen". Is it meeting or exceeding all moral requirements to its staff, customers, the public and the environment?
- Establish a performance baseline for current or proposed programs;
- Measure current performance as part of a routine practice or in preparation for a future "official" audit;
- Evaluate incident or collision review procedures;
- Raise the awareness of safety and maintenance issues within the company;
- Identify immediate and long term safety risks; and
- Provide a platform to develop strategies for the future.

Next. . .

- Review some of the important *Definitions* related to Third Party Audits.



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1.2 Definitions

The following section outlines some of the definitions important to Third Party Auditors (TPAs) from Alberta's Acts and Regulations. It is imperative that a TPA is able to recognize, define and use these terms.

Bus

Traffic Safety Act, Part 7, Section 130(1)(a).

- (a) "bus" means a motor vehicle
 - (i) that is designed for carrying 11 or more persons, including the person driving the vehicle, and
 - (ii) that is used or intended to be used for the transportation of persons, and includes any other motor vehicle designated as a bus by regulation;

Carrier

Traffic Safety Act, Section 130(1)(b).

- (b) "carrier" means an owner of a commercial vehicle in respect of which a certificate is issued or who holds a certificate or is required to hold a certificate;

Certificate

Traffic Safety Act, Section 130(1)(c).

(c) “certificate” means:

- (i) in the case of a commercial vehicle that is used or intended to be used to transport goods or provide a service other than the transportation of passengers, a safety fitness certificate,

School Bus

Commercial Vehicle Safety Regulation

AR 121/2009, Section 1(1)(k).

- (k) “school bus” means a bus that meets the requirements of a Type A1, A2, B, C or D school bus described in CSA Standard D250-2012 and that is used primarily to transport students to and from a school);

Commercial Vehicle

Traffic Safety Act, Section 1(h).

- (h) “commercial vehicle” means a vehicle operated on a highway by or on behalf of a person for the purpose of providing transportation but does not include a private passenger vehicle;

Compensation

Traffic Safety Act, Part 7, Section 1(d).

- (d) “compensation” means any rate, remuneration, reimbursement or consideration of any kind paid, payable or received, directly or indirectly;

Driver

Traffic Safety Act

Section 1

- (k) “driver” means a person who is driving or is in actual physical control or a vehicle;

Driver

Traffic Safety Act, Part 7, Section 130 (1)(e).

- (e) “driver” includes a co-driver of a commercial vehicle who is travelling in the vehicle;

Driving

Traffic Safety Act, Section 1(l).

- (l) “driving” or “drive” includes having the care or control of a vehicle;

Goods

Traffic Safety Act, Section 1(o).

- (o) “goods” means any thing or load that is or may be carried by means of a vehicle;

Highway

Traffic Safety Act, Section (1)(p).

- (p) “highway” means any thoroughfare, street, road, trail, avenue, parkway, driveway, viaduct, lane alley, square, bridge, causeway, trestle way or other place or any part of any of them, whether publicly or privately owned, that the public is ordinarily entitled or permitted to use for the passage or parking of vehicles and includes:
- (i) a sidewalk, including a boulevard adjacent to the sidewalk,
 - (ii) if a ditch lies adjacent to and parallel with the roadway, the ditch, and
 - (iii) if a highway right of way is contained between fences or between a fence and one side of the roadway, all the land between the fences, or all the land between the fence and the edge of the roadway, as the case may be, but does not include a place declared by regulations not to be a highway;

Insured Motor Vehicle

Traffic Safety Act, Section 1(q).

- (q) “insured motor vehicle” means a motor vehicle the owner of which:
- (i) is insured in respect of that motor vehicle by an insurer, or
 - (ii) is a corporation that has provided for financial responsibility in respect of that motor vehicle, in accordance with the Insurance Act;

Insurer

Traffic Safety Act, Section 1(r).

- (r) “insurer” means an insurer licensed under the *Insurance Act* To carry on the business of automobile insurance in Alberta;

Motor Coach

Commercial Vehicle Safety Regulation

AR 121/2009, Section 1(1)(e).

- (e) “motor coach” means a bus of monocoque design manufactured with underfloor baggage storage, but does not include a transit bus;

Motor Transport Regulatory Legislation

Traffic Safety Act, Part 7, Section 130 (1)(g).

(g) “motor transport regulatory legislation” means:

- (i) this Act,
- (ii) in the case of a commercial vehicle that is a bus, a safety fitness certificate and the operating authority certificate issued in respect of the operating authority under which the bus is operated;
- (iii) in the case of a commercial vehicle that is not a bus, a safety fitness certificate;
- (iv) a permit;
- (v) any term, condition or restriction to which an operating authority certificate, a safety fitness certificate or a permit is subject;

Operating Authority Certificate

Commercial Vehicle Certificate and Insurance Regulation

AR 314/2002, Section 1(f).

- (f) “operating authority certificate” means a certificate authorizing the operation of a commercial vehicle issued under Part 2;

Owner

Traffic Safety Act, Section 1(ee).

- (ee) “owner” means the person who owns a vehicle and includes any person renting a vehicle or having the exclusive use of a vehicle under a lease that has a term of more than 30 days or otherwise having the exclusive use of a vehicle for a period of more than 20 days;

Passenger

Traffic Safety Act, Part 7, Section 130 (1)(h).

- (h) “passenger” means any person, other than the driver of a commercial vehicle, who is transported by a commercial vehicle;

Private Passenger Vehicle

Traffic Safety Act, Section 1(jj).

- (jj) “private passenger vehicle” means a vehicle used solely for personal transportation,
 - (i) including the carriage of goods intended for the use or enjoyment of the owner of the vehicle or member of the owner’s household, but
 - (ii) not including, in respect of a person’s business, work or employment, the carriage of passengers or of goods, except for sample cases or display goods that are conveyed by a salesperson and that are not for delivery or resale;

Record

Traffic Safety Act, Part 7, Section 130 (1)(i).

- (i) “records” includes:
 - (i) any document, agreement, account, book, return, statement, report or other memorandum of financial or non-financial information whether in writing or in electronic form or represented or reproduced by any other means, and
 - (ii) the results of the recording of details of electronic data processing systems to illustrate what the systems do and how they operate;

Registered Owner

Commercial Vehicle Certificate and Insurance Regulation

AR 314/2002, Section 1(g).

- (g) “registered owner” means the person in whose name a Commercial vehicle is registered under the Operator Licensing and Vehicle Control Regulations;

Safety Fitness Certificate

Commercial Vehicle Certificate and Insurance Regulation

AR 314/2002, Section 1(h).

- (h) “safety fitness certificate” means a commercial vehicle safety fitness certificate issued by the Registrar; under the Act of the federal legislation

Safety Laws

Commercial Vehicle Certificate and Insurance Regulation

AR 314/2002, Section 1(i).

(i) “safety laws” means as the context requires:

- (i) the Act and regulations made under the Act;
- (ii) the *Dangerous Goods Transportation and Handling Act* and regulations made under that Act;
- (iii) the laws of a jurisdiction outside Alberta, respecting the same, similar or equivalent subjects as those regulated or controlled by the laws referred to in subclauses (i) and (ii).

Subsisting

Traffic Safety Act, Section 1(rr).

- (rr) “subsisting” when used in relation to a motor vehicle Document or a policy means, that at the relevant time, the motor vehicle document or policy is current and has not expired nor been suspended or cancelled;

Trailer

Traffic Safety Act, Section 1(uu).

(uu) “trailer” means a vehicle so designed that it:

- (i) may be attached to or drawn by a motor vehicle or tractor, and
- (ii) is intended to transport property or persons, and includes any vehicle defined by regulations as a trailer but does not include machinery or equipment solely used in the construction or maintenance of highways;

Transportation

Traffic Safety Act, Part 7 Section 130 (1) (m).

(m) “transportation” includes one or more of the following:

- (i) the driving or utilization of a commercial vehicle;
- (ii) the carrying of goods or passengers, or both, on or in a commercial vehicle;
- (iii) the care, handling, assembly or storage of goods that are being carried in or on a commercial vehicle or that are in the possession or under the control of a carrier, permit holder or exempted operator or of a person on behalf of a carrier, permit holder or exempted operator and awaiting carriage or delivery by means of a commercial vehicle;
- (iv) the handling of passengers awaiting carriage by means of a commercial vehicle;

Truck

Commercial Vehicle Dimension and Weight Regulation

AR 315/2002, Section 1(yy).

(yy) “truck” means a motor vehicle designed and intended for the Transport of goods or carrying of loads;

Truck Tractor

Commercial Vehicle Dimension and Weight Regulation

AR 315/2002, Section 1(zz).

(zz) “truck tractor” means a truck that may be coupled to a semi-Trailer by means of a fifth wheel, but does not include a bed truck, picker truck or winch truck;

Vehicle

Traffic Safety Act, Section 1(ww).

(ww) “vehicle”, other than in Part 6, means a device in, on or by which a person or thing may be transported or drawn on a highway and includes a combination of vehicles but does not include a mobility aid.

Note: *Traffic Safety Act, Part 7, Section 130(2) states:*

- (2) *For the purposes of this Part and the regulations and bylaws made in respect of matters governed by this Part, a person operates a commercial vehicle if:*
- (a) *the person drives the vehicle, or*
 - (b) *the person owns or otherwise has control over the vehicle and uses the vehicle for the provisions of transportation in respect of that person's undertaking, business, work or employment whether or not that person actually drives the vehicle.*

Next . . .

- Learn about the process for *Preparing for the Audit* within Alberta.



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1.3 Preparing for the Audit

1. When the Third Party Auditor and Alberta Transportation enter into a contract, the Third Party Auditor may obtain a written acknowledgement from Alberta Transportation of a carrier's acceptance to be audited. The Third Party Auditor can use this document as verification of their right and obligation to conduct the audit with the carrier.
2. The Third Party Auditor should then contact the carrier to obtain a driver and vehicle list, outlining all authorized drivers and vehicles registered to the carrier for more than 4,500 kilograms if the carrier holds a Federal operating status and 11,794 kilograms if the carrier holds a Provincial operating status. This should include all licenced trailers as well. You may also want to indicate to the carrier that you will be reviewing a variety of other documents as well, including:

- Alberta's Safety Fitness Certificate;
- Bus Operating Authority (if applicable);
- Vehicle equipment list;
- Driver list;
- Permits;
- Previous audits or investigations;
- Any correspondence from Alberta Transportation;
- Transportation safety plan including:
 - Driver hiring policies and procedures;
 - Safe work practices;
 - Vehicle operating procedures;
 - Disciplinary procedures;
- Maintenance program including:
 - Written preventative maintenance plan;



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- Repair and service records for trucks, tractors, trailers, buses (as applicable);
 - Vehicle cry sheets;
 - Daily driver trip inspections;
 - CVIP records for trucks, tractors, trailers, buses (as applicable).
 - Insurance and collision records including:
 - Public liability policy;
 - Cargo insurance policy;
 - Passenger hazard policy (as applicable);
 - Collision/Accident reports/reviews.
 - Driver files including:
 - Employee application for hire;
 - Driver abstracts;
 - Training records;
 - Driver orientation/ instruction sheets;
 - Operator licences recall system;
 - TDG training certificates (as applicable);
 - Record of violations.
 - Hours of Service records including:
 - Drivers' daily logs/time records;
 - Driver payroll records;
 - Fuel receipts/statements;
 - Tach cards/electronic recording device print outs;
 - Waybills/Bills of Lading;
 - Trip envelopes;
 - GPS records.
3. Identify the number of drivers who CURRENTLY operate NSC vehicles that are registered to the carrier. This should include anyone authorized by the carrier to operate a vehicle: including part-time drivers, mechanics who test-drive the vehicles and management who may drive occasionally.



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4. Identify the number of NSC vehicles registered at the time of the audit. Trucks, tractors and combinations of vehicles whose weight is more than 4,500 kilograms if a Federal carrier and 11,794 kilograms if a Provincial carrier, and buses with an originally designed seating capacity of 11 or more, including the driver. Trailers are considered to be NSC vehicles if they are used in combinations that are more than 4,500 kilograms.

5. As you prepare to audit, another important source of information to consider is the carrier's profile. The profile consists of information gathered by Alberta Transportation from enforcement agencies across North America on carriers authorized to operate commercial vehicles. This information includes:
 - Convictions against the carrier and its drivers;
 - Commercial Vehicle Safety Alliance (CVSA) inspections;
 - Reportable collision information;
 - Violation information.

The department's carrier profile system is used to consolidate all information collected and to identify carriers who pose a safety risk to other highway users. A carrier can benefit from reviewing its Carrier Profile on a regular basis. The Department supplies two profiles per year at no cost to encourage this practice.

Strategies to read and interpret the information in the profile will be covered in the next sections.

Next . . .

- Learn about *Reading a Carrier Profile*.

1.4 Carrier Profile: Section Outcomes and Guiding Questions

Section Outcomes

Once you have completed this section, you will be able to:

- Explain what a Carrier Profile is;
- Identify what data is contained in a Carrier Profile;
- Understand how points are assessed;
- Explain how a Carrier Profile benefits a carrier.



Guiding Questions

As you read through this section, think about the following:

1. How is the information on a Carrier Profile obtained?
2. How does this information help me as an auditor?
3. How will I use this information during the audit process?

1.4.1 Reading a Carrier Profile

The Carrier Profile, How to Use It, and Its Benefits

<p>Alberta TRANSPORTATION Vehicle Safety and Carrier Services</p>	<h1>CARRIER PROFILE</h1>
<p><i>CARRIER INFORMATION</i></p>	
<p>Example Transport (Alberta) Limited</p>	
<p>4221 - 53 St. RED DEER AB T4N 2E1</p>	<p style="font-size: 48pt; opacity: 0.5;">Sample</p>
<p><i>NSC Number:</i> AB018-3178</p>	
<p><i>Profile Period Start:</i> 2005 APR 19 <i>End:</i> 2006 APR 18</p>	
<p style="font-size: 48pt; opacity: 0.5;">Sample</p>	
<p>NOTE</p>	
<p>The "Carrier Profile" is a history of convictions, inspections, and collisions provided to Alberta Transportation by law enforcement and other government agencies. Other information such as inspection station certification and notices documenting violations may also be displayed. The purpose of the Carrier Profile system is to monitor commercial carriers for compliance to transport safety legislation. The overall status of a Carrier Profile will be used part to establish a carrier's safety fitness rating.</p>	
<p>Please note that the actual description and coding of events is in accordance with the Canadian Council of Motor Transport Administrator's criteria and therefore may not use the same wording as appears on law enforcement documentation.</p>	
<p>In each of the three areas mentioned above, compliance thresholds have been established for a 12-month period. The carrier's 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 print date regardless of the Profile Period Start and End Dates.</p>	
<p>All reasonable efforts have been taken to ensure the accuracy of the information in this report. If any information shown in this profile is in question, the carrier should first consult their records. If it is believed an inconsistency still exists, the carrier should contact Carrier Services at (403) 340-5444.</p>	
<p>Information regarding Alberta Transportation's safety fitness program for motor carriers can be viewed on our WEB site at www.transportation.alberta.ca</p>	
<p>Part 1 - Carrier Information is shown for the Date Printed. The summary and detail information enclosed is for the Date Entered.</p>	
<p>Date Printed: 2008 JUL 04</p>	<p>Requested By: HTCSA61</p>

Introduction

On January 1, 2006 Transport Canada amended the *Motor Vehicle Transport Act* to require a new Motor Carrier Safety Fitness Certificate for Federally regulated carriers. As of January 1, 2006, the new Safety Fitness Certificate identifies one of two types of “Operating Status”:

A “**Provincial**” Operating Status authorizes the operation of commercial vehicles **ONLY** within Alberta and applies to commercial trucks registered for a weight of 11,794 kilograms or more, or a commercial vehicle originally manufactured with a seating capacity of 11 or more persons including the driver.

A “**Federal**” Operating Status authorizes the operation of commercial (including farm-plated) vehicles throughout Canada registered for a weight of more than 4,500 kilograms, or a vehicle originally manufactured with a seating capacity of 11 or more persons including the driver, if operated for other than personal use.

Each jurisdiction in Canada is required under the National Safety Code (NSC) to develop and maintain a Carrier Profile system to record all collisions, convictions, results of CVSA inspections and the results of facility audits. One of the purposes of the Carrier Profile system is to monitor commercial carriers for compliance to safety laws. Another is to provide the carrier and the public comprehensive summaries of safety performance information. Canadian jurisdictions exchange profile event information in support of the National Safety Code Program.

What is a Carrier Profile?

Individual Carrier Profile reports can be created for each carrier with a Carrier (NSC) Number. The Carrier Profile summarizes most of the incidents relating to the specific carrier that have been provided to Alberta Transportation by law enforcement and other government agencies. The overall status of a carrier’s profile is reviewed to assign the carrier’s Safety Fitness Rating. A Carrier Profile summarizes most on-road

law enforcement documentation. It also provides a detailed analysis of the activities and results of contact between all drivers and enforcement officers, including dates and times. The data from the Carrier Profile can be used to help monitor drivers' daily logs for accuracy. The information can also be used to monitor all drivers, including new drivers, to ensure that company rules and regulations, as well as transport legislation, are being followed and to take corrective action as needed.

The Alberta carrier profile consists of very basic, "High Level" information about a carrier and very detailed information relating to specific incidents. It differs from a Driver's Abstract in that it contains a record of all documents issued to all drivers operating vehicles registered to the carrier. A Driver's Abstract only lists moving violations (e.g. speeding, stop signs, etc.) issued to that driver while operating any vehicle.

Every NSC carrier operating busses or vehicles registered for more than 4,500 kilograms has a Carrier Profile concerning its vehicles registered in Alberta. If you have vehicle registered in another jurisdiction, you will have a Carrier Profile in that jurisdiction as well.

Essentially the Carrier Profile is a "Report Card" of the carrier's "On-Road" and "Administrative" performance based on information compiled across Canada. **Note:** *Only the carrier named in the Carrier Profile, can obtain a copy.*

It includes:

- Information relating to all vehicles registered in the carrier's name, and those persons driving those vehicles;
- Information on convictions and CVSA Inspections from all Canadian jurisdictions. Owner/ Operator violations are included on the carrier profile if the vehicle is registered in the carrier's name;
- Basic collision information.

How does the Carrier Profile Benefit a Carrier?

The Carrier Profile is of great benefit for the carrier because it:

- Tells you your current CVSA, Collision and Conviction Monitoring levels;
- Assists you in monitoring your driver's on-road performance;
- Helps you to monitor your driver's pre-trip and post-trip inspection quality and enables you to evaluate your internal pre/post-trip auditing process;
- Can help to identify training needs;
- Helps to evaluate the effectiveness of your current Safety and Maintenance programs;
- Can help you to demonstrate your company is a lower risk for insurance purposes;
- Helps you to be more proactive instead of reactive regarding safety issues;
- Assists in demonstrating compliance to the transport legislation; and
- Helps to promote your company to potential clients.

The above is only a brief list of the benefits of a Carrier Profile; however the most important is the fact that along with your fully implemented Safety and Maintenance programs it may help to reduce the frequency and severity of collisions.

Carrier Profile Content

Now that we have looked at some of the benefits of a carrier profile, let's look at its content. Carrier Profile is based on a twelve month period (though, you can request any period from 1998 on), consisting of the following:

Part 1 Carrier Information

Information on the carrier's name, address, safety fitness certificate number, safety rating, operating status and a summary of convictions, CVSA data and collision data. This part always reflects the carrier's current standing, regardless of the time period for which the profile was requested.

Part 2 Convictions Information

Convictions along with their assigned point values are shown in order of the offence date, with the most recent conviction identified first.

- Part 3 CVSA Inspection Information**
Information reflects all levels of inspections conducted by law enforcement agencies under the CVSA program. Inspection results from Levels 1 to 5 are used to determine the carrier's existing CVSA Out of Service Rate.
- Part 4 Collision Information**
Reportable collisions information involving the carrier's commercial vehicles along with their assigned points.
- Part 5 Violation Information**
Violations (not convictions) identified and documented by enforcement staff.
- Part 6 Monitoring Information** *(by request only)*
CVSA inspections, convictions and collisions.
- Part 7 Station Licence Information** *(by request only, and if applicable)*
Vehicle Inspection Station Licence(s) that are associated with the carrier.
- Part 8 Safety Rating Summary**
Changes in the carrier's rating.
- Part 10 History**
Provides a brief summary of all on-road or administrative events.

Your Carrier Profile: How To Read it


 <small>TRANSPORTATION Transportation Safety Services</small>	<h2>CARRIER PROFILE</h2>
<p>CARRIER INFORMATION</p>	
<p>Example Transport (Alberta) Limited</p>	
<p>4221 – 53 St. RED DEER AB T4N 2E1</p>	
<p><i>Carrier Number:</i> AB018-3178</p>	
<p><i>Profile Period Start:</i> 2003 JAN 01 <i>End:</i> 2003 DEC 31</p>	
<p>NOTE</p>	
<p>The "Carrier Profile" is a history of convictions, inspections, and collisions provided to Alberta Transportation by law enforcement and other government agencies. Other information such as inspection station certification and notices documenting violations may also be displayed. The purpose of the Carrier Profile system is to monitor commercial carriers for compliance to transport safety legislation. The overall status of a Carrier Profile will be used in part to establish a carrier's safety fitness rating.</p>	
<p>Please note that the actual description and coding of events is in accordance with the Canadian Council of Motor Transport Administrator's criteria and therefore may not use the same wording as appears on law enforcement documentation.</p>	
<p>In each of the three areas mentioned above, compliance thresholds have been established for a 12-month period. The carrier's 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 print date regardless of the Profile Period Start and End Dates.</p>	
<p>All reasonable efforts have been taken to ensure the accuracy of the information in this report. If any information shown in this profile is in question, the carrier should first consult their records. If it is believed an inconsistency still exists, the carrier should contact Carrier Services at (403) 340-5444.</p>	
<p>Information regarding Alberta Transportation's safety fitness program for motor carriers can be viewed on our WEB site at www.trans.gov.ab.ca.</p>	
<p>Part 1 – Carrier Information is shown for the Date Printed. The summary and detail information enclosed is for the Occurrence Date.</p>	
<p>Date Printed: 2004 JAN 15</p>	<p>Requested By: HTCSA13</p>

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Introduction

The National Safety Code (NSC) for commercial vehicles consists of 16 individual safety standards designed to reduce the number and severity of collisions involving commercial vehicles. Standard 7 requires all Canadian jurisdictions to maintain a Carrier Profile on those carriers regulated under their NSC program. While the Carrier Profile is designed to identify high risk carriers to provincial regulators, it serves as a valuable tool for assisting carriers in evaluating the effectiveness of their safety and maintenance programs.

Each carrier that operates a NSC vehicle must obtain a Safety Fitness Certificate (SFC), maintain an acceptable Safety Fitness Rating (rating) and implement written safety and maintenance plans. Those carriers that represent an unacceptable risk to the public may have their rating changed to “Unsatisfactory” and their SFC cancelled. This would result in the carrier not being able to register or operate an NSC vehicle.

Provincial regulators use a carrier’s profile largely in determining a carrier’s safety rating. Only information pertaining to a NSC bus or truck and its driver is displayed on a Carrier Profile and used by the Alberta government in its monitoring program.

Under both provincial and federal legislation a NSC bus is defined as a motor vehicle that is originally designed for carrying 11 or more persons, including the driver, and that is used or intended to be used for the transportation of passengers.

For carriers that operate solely within Alberta (provincially regulated carriers), a NSC truck is defined as a truck or truck/trailer combination registered for a gross vehicle weight of 11,794 kilograms or more. Alberta carriers that operate outside of the province (federally regulated carriers) must comply with federal legislation. Under this federal legislation, trucks registered in excess of 4,500 kilograms must comply with SFC requirements.

A copy of a sample Carrier Profile can be accessed via our website <http://www.transportation.alberta.ca/667.htm>. If you do not have a copy of your own Carrier Profile, we recommend you refer to the sample profile regularly while reviewing this document.

Section 1: What is a Carrier Profile and how do I get one?

The Carrier Profile is a “Report Card” of the carrier’s compliance to “On-Road” and “Administrative” requirements and performance based on information collected from across Canada and the United States. Only the carrier named in the Carrier Profile, their authorized agent or an enforcement agency can obtain a copy of the full profile information.

Every carrier operating NSC vehicles registered in Alberta has a Carrier Profile. If this carrier also has NSC vehicles registered in another jurisdiction, then that jurisdiction will issue a separate SFC and maintain a Carrier Profile which identifies profile events relative to the NSC vehicles plated in that jurisdiction.

Carrier profile formats vary between jurisdictions. The standard Alberta Carrier Profile includes information regarding:

- A carrier’s Safety Fitness Rating
- A carrier’s Operating Status (federal or provincial)
- 12 months of events involving NSC vehicles registered in the carrier’s name and the persons driving those vehicles. Events include;
 - Convictions,
 - CVSA inspections, and
 - Reportable collisions from all Canadian jurisdictions, and
 - Violations identified in Alberta where no charges were laid.

Where a carrier leases on an owner/operator and the owner/operator’s vehicle is registered in the carrier’s name, all profile events involving the owner operator will be displayed on the carrier’s profile.

To encourage carriers to obtain and review their carrier profile, the Alberta government provides two free profiles to carriers annually. A fee per page is charged thereafter.

A copy of a Carrier Profile can be requested by:

- The carrier;
- An authorized employee of the carrier, or
- If previously authorized in writing, a carrier representative (e.g. a consultant, an insurance company, etc.).

All carriers are encouraged to register and obtain their Carrier Profile through the web. The web provides immediate access to the Carrier Profile during and after normal business hours. To register, go to <https://www.trans.gov.ab.ca/TravisWebLogin/redirect.htm> and select “Register”.

If no access to the internet is available, mail or fax a written request to:

Alberta Transportation - Carrier Services
 4th Floor Provincial Building
 4920 51 Street
 Red Deer, AB T4N 6K8
 Fax: 403 340-4806

Section 2: How to read and interpret your Carrier Profile Report

The Carrier Profile is divided into 10 parts as follows:

- PART 1 - Carrier Information
- PART 2 - Conviction Information
- PART 3 - CVSA Inspection Information
- PART 4 - Collision Information
- PART 5 - Violation Information
- PART 6 - Monitoring Information (by request only)
- PART 7 - Station Licence Information (by request only)
- PART 8 - Safety Rating Information (by request only)
- PART 9 – For internal use only, however, a carrier can request this section when obtaining a Carrier Profile and as a result extra information is displayed under Part 10
- PART 10 - Historical Summary (by request only)

A company's Carrier Profile is typically printed for a 12 month period, however, a carrier can request any period starting from April 1998. The following is a description of each part and a brief interpretation of the information provided.

Part 1 – CARRIER INFORMATION

Part 1 of the Carrier Profile gives an overall snapshot of a company's current safety status including current Safety Fitness Rating, Operating Status (federal or provincial), and a summary of Conviction, CVSA Inspection and Collision event history. **Part 1 always displays the last 12 months of data, the carrier's current Safety Fitness Rating and Operating Status as of the date the Carrier Profile was requested. This is to ensure the carrier is always aware of their current status with the Alberta Government.**

Individual profile headings are as follows:

SAFETY FITNESS CERTIFICATE

Displays the carrier's current **Safety Fitness Rating**.

The five ratings are:

- Excellent – Carrier has passed a full NSC audit and consistently demonstrates superior safety performance and is a member of Partners in Compliance (PIC).
- Satisfactory – Carrier has passed a full NSC audit and has not appeared on the Alberta government's monitoring list for a prescribed period of time.
- Satisfactory Unaudited – Carrier's initial rating upon entry into the industry.
- Conditional – the Alberta government has identified significant safety issues with the carrier and has intervened.
- Unsatisfactory – Carrier is an unacceptable risk to the public. Carriers with an "Unsatisfactory" safety rating may not operate an NSC vehicle.

Also displayed is the carrier's current **Operating Status** of "provincial" or "federal". Having the proper Operating Status is critical to a carrier's operation. Only those carriers with a "federal" operating status may operate outside of Alberta. Carriers found operating with the wrong Operating Status may be charged with an offence and detained until the appropriate Operating Status has been obtained.

RISK FACTOR (R-Factor – carrier must strive for the lowest score)

R-Factor Score is shown as a number. The lower the number, the better the score and the less likely the carrier is to have a future collision. This number is calculated by considering conviction, CVSA inspection and collision event data over the past 12 month period.

Fleet Range identifies the fleet range a carrier falls under. Fleet range is important because carriers are compared to other carriers in their fleet range under Carrier Services' monitoring program.

Fleet Type will be either "truck" or "bus". A carrier is a "bus" type if 50 percent or more of the NSC fleet meets the definition of a NSC bus. A NSC bus is one that has a manufacturer's seating capacity of 11 or more persons including the driver.

Contribution to R-Factor is a breakdown by percent contribution of each of the three elements: convictions, CVSA inspections, and collisions that are combined to calculate the R-Factor score. The higher the percentage, the more influence that particular element of monitoring had on determining the R-Factor score.

NSC MONITORING PROGRAM ON: (date)

The **Carrier's Monitoring Stage** identifies if the carrier is on the Alberta government's monitoring list and at what stage. If a carrier's R-Factor score is high enough to place them on a monitoring stage, then a number 1 - 4 will appear. The number 4 identifies those carriers considered to represent the highest risk to the public.

Total number of carriers at the same stage or greater identifies how many carriers are at the same or higher monitoring stage in the province.

NSC carriers in Alberta with Safety Fitness Certificates identifies the number of NSC carriers with a valid Safety Fitness Certificate in Alberta. If a carrier is on monitoring, the monitoring stage and the total number of carriers at the same stage or greater will assist them in determining their compliance level compared to all other NSC carriers in Alberta.

NSC FLEET SIZE On: (date)

Average indicates the carrier's average NSC fleet size over the past 24 month period based on the carrier's fleet size on the first Sunday of each month.

Current indicates the carrier's NSC fleet size as of the beginning of the week the profile was run.

After reviewing Part 1 of your profile, you will have a good summary of the current on-road information known by Carrier Services.

Part 2 – CONVICTION INFORMATION

The information recorded in this part reflects a traffic ticket that resulted in a conviction being registered in a Canadian court. Convictions are shown in order of offence date, with the most recent shown first. Conviction points remain on a Carrier's Profile for one year from the conviction date.

Information in this part includes an analysis of convictions by offence type, occurrence date, time, and vehicle plate number, the location of the offence, a generic offence description, the driver's name, and offence point values.

Points ranging from 0 to 5 are assigned to a conviction depending on the severity of the offence with 5 points assigned to the most serious offences. These point values are recommended by the Canadian Council of Motor Transportation Administrators (CCMTA) at the national level in an effort to provide consistency amongst jurisdiction's monitoring programs. As an example:

- Faulty lights, not resulting in Out of Service 1 point

- Speed 21–30 kilometres per hour over 2 points
- No permit or contravene conditions of permit 3 points
- Drive while disqualified 5 points

Part 2 is comprised of 4 sections:

- CONVICTION INFORMATION (cover page)
- CONVICTION ANALYSIS
- CONVICTION SUMMARY
- CONVICTION DETAIL

If a carrier orders Part 2 when requesting their Profile, they will automatically receive the CONVICTION INFORMATION and CONVICTION ANALYSIS sections. The CONVICTION INFORMATION section provides some general information about Part 2 and the total number of documents and points on the profile accumulated during the requested timeframe. The CONVICTION ANALYSIS section provides a breakdown of the identified convictions into 15 main categories and provides a percentage of the number of convictions included in each category. This part assists the carrier in identifying the main areas of non-compliance.

The CONVICTION SUMMARY section provides the carrier with the following details on each conviction:

- Event date
- Document (ticket) number
- Jurisdiction in which the violation was detected
- Vehicle plate number
- Driver's name
- Generic offence description
- Point values for each conviction identified

To obtain additional information about each conviction, the CONVICTION DETAIL section also includes the following details:

- Time of the offence
- Enforcement agency that issued the traffic ticket
- Location of the offence
- CCMTA code (Generic identifier for data exchange with other jurisdictions)
- Conviction date
- Additional verbiage describing the violation

Part 3 – CVSA INSPECTION INFORMATION

Part 3 provides information on inspections conducted under the Commercial Vehicle Safety Alliance (CVSA) inspection program both in Canada and the U.S. for the time period requested. CVSA inspections remain on a Carrier's Profile for one year from the date the inspection occurred.

The five types of CVSA inspections are:

- Level 1 – North American Standard Inspection – complete inspection of the vehicle and driver
- Level 2 – walk around inspection of the vehicle and driver
- Level 3 – driver only inspection
- Level 4 – one time examination of a particular item
- Level 5 – complete inspection of the vehicle only

Each inspection will result in one of the following:

- Pass – no defect(s) found, CVSA decal issued
- Requires attention – defect(s) found, none were "Out of Service" defects
- Out of Service – one or more "out of service" CVSA defect(s) identified

If a CVSA defect is noted on the CVSA Inspection Detail pages, it will be indicated by an "X" for Requires Attention or an "O" for Out of Service. All defects identified are regulatory violations.

Part 3 is comprised of 4 sections:

- CVSA INSPECTION INFORMATION (cover page)
- CVSA INSPECTION ANALYSIS
- CVSA INSPECTION SUMMARY
- CVSA INSPECTION DETAIL

The CVSA INSPECTION INFORMATION section provides some general information about Part 3 and the total number of Passed, Requires Attention and Out of Service inspection results. The CVSA INSPECTION ANALYSIS section provides a breakdown of the identified CVSA defects into 18 main categories, the number of Out Of Service and Requires Attention defects in each category, and a percentage of defects identified in each category. This part assists the carrier with identifying deficiencies in their inspection and maintenance program.

The CVSA INSPECTION SUMMARY provides the carrier with the following details on each CVSA inspection:

- Date of CVSA inspection
- CVSA document number
- Jurisdiction in which the inspection was conducted
- The agency code of the enforcement body that completed the inspection
- The vehicle plate number and jurisdiction
- The level of CVSA inspection conducted
- The CVSA inspection result (Passed, Requires Attention, or Out Of Service)

To obtain additional information about each inspection the CVSA INSPECTION DETAIL section also includes the following details:

- Time of inspection
- A description of the agency that conducted the inspection
- More specific description of where the inspection was conducted
- Driver's name
- Description and vehicle data of units inspected
- If a Requires Attention Result (indicated by an "X") or an Out Of Service Result (indicated by an "O") was detected in one of the 18 categories

Part 4 – COLLISION INFORMATION

Part 4 provides collision information supplied by enforcement agencies across Canada and the U.S. The collisions were considered reportable under the jurisdiction's legislation in which the collision event occurred. Collision points remain on a Carrier's Profile for one year from the date the event occurred.

In Alberta, "reportable collisions" are those where the collision resulted in:

1. property damage of \$2,000 or greater
2. personal injury, or
3. fatality

All reportable collisions appear on a carrier's profile at least 45 days after the event date. This is to allow carriers the option to have the collision evaluated for preventability prior to the collision appearing on the profile. Collisions that have not been evaluated under an approved process appear on the Carrier Profile as "Not Evaluated" and will be assigned points. This is to acknowledge that although the collision appears on the carrier's profile, the collision may have been non-preventable on the carrier's behalf. Collisions that have been evaluated will remain on the profile with or without assigned points regardless of whether or not the collision was deemed non-preventable.

More information on the evaluation program is available through the website at www.transportation.alberta.ca/656.htm

Carriers are encouraged to review and evaluate every collision internally in order to identify areas where safety and compliance can be improved.

Each collision is assigned a point value based on the severity of the collision. Point values are assigned as follows:

- Two points are assigned for a property damage collision
- Four points are assigned for a collision involving resulting in an injury
- Six points are assigned for a collision resulting in a fatality

Only the highest point value will be assigned per collision. Points will be removed from the carrier profile only where the collision has been evaluated and the collision was deemed non-preventable.

Part 4 is comprised of 3 sections:

- COLLISION INFORMATION (cover page)
- COLLISION SUMMARY
- COLLISION DETAIL

The COLLISION INFORMATION section provides some general information about Part 4 and the total number of property damage, injury and fatality collisions. The numbers of non-preventable, preventable, or not evaluated collisions are also provided for the time period requested.

The COLLISION SUMMARY section provides the carrier with the following:

- Date of the collision
- Collision document number
- Jurisdiction where the collision occurred
- Vehicle plate number and jurisdiction
- If the collision has been evaluated
- If the collision was evaluated, if it was found preventable or non-preventable
- Collision severity and points (property damage, injury, fatality)

To obtain additional information on each collision the COLLISION DETAIL section also includes the following details:

- Time of the collision
- Driver's name
- Location of the collision
- Description of the vehicle

Part 5 – VIOLATION INFORMATION

Part 5 is a summary of violations documented by enforcement agencies. Each violation is a contravention of an act or regulation where no prosecution has been entered.

No points will be assigned to violations under this part and these violations are not used when calculating the carrier's R-factor score. However, violations may be considered when reviewing a carrier's overall safety fitness.

Information in this part includes an analysis of violations by offence type, occurrence date, time, a vehicle plate number, the location of the offence, a generic offence description and the driver name.

Part 5 is comprised of 4 sections:

- VIOLATION INFORMATION (cover page)
- VIOLATION ANALYSIS
- VIOLATION SUMMARY
- VIOLATION DETAIL

If a carrier orders Part 5 of the profile they will automatically receive the VIOLATION INFORMATION and VIOLATION ANALYSIS sections. The VIOLATION INFORMATION section provides some general information about Part 5 and the total number of documents on the profile during the period of time requested. The VIOLATION ANALYSIS section provides a breakdown of the identified violations into 15 main categories and provides a percentage of violations in each category. This section assists the carrier in identifying the main areas of non-compliance.

The VIOLATION SUMMARY section provides the carrier with the following details on each violation:

- Event date
- Document number
- Jurisdiction in which the violation was detected
- Vehicle plate number
- Driver's name
- Generic offence description

To obtain additional information about each violation, the VIOLATION DETAIL section also includes the following details:

- Time of the offence
- Enforcement agency that issued the report

- Location of the offence
- Act/Section
- CCMTA code
- Additional verbiage describing the violation

Part 6 – MONITORING INFORMATION

This Part is a valuable tool for looking at a carrier's performance over an extended period. It was designed to provide a summary of a carrier's monitoring history for the period of time requested.

Under this Part, carriers can track their monthly monitoring history, compare themselves to other carriers in their fleet range, and track their R-Factor score and history of contributions to the R-Factor. Even carriers that are not on Carrier Services' monitoring list can benefit from reviewing Part 6.

Part 6 is comprised of three sections:

- MONITORING INFORMATION
- MONITORING SUMMARY
- MONITORING DETAIL

The MONITORING INFORMATION section is provided with every profile and provides some general information about this Part. No statistical information is attached to this page.

The MONITORING SUMMARY section provides a variety of information, presented monthly including:

- The type of carrier, "Truck" or "Bus" (carrier can only be one; a carrier is classified as a "Bus" if 50 percent or more of the fleet are NSC buses)
- Carrier's average NSC fleet size calculated over a 24-month period if data is available
- Carrier's current fleet size calculated on the first Sunday of each month
- Carrier's R-Factor score and the present contribution that each of the three elements; convictions, CVSA inspections, and collisions have on the score
- Carrier's monitoring stage, if any. If a carrier is on Carrier Services monitoring list for a specific month, then a 1, 2, 3 or 4 will be displayed. The number 4 represents a carrier with the greatest risk to the public.

Industry information is presented so that carriers can compare themselves to industry averages. Under INDUSTRY MONITORING INFORMATION the carrier's R-Factor score can be compared with carriers of the same type (truck or bus) and within the same fleet range.

Under “Monitoring Stage R-Factor threshold for Fleet Range” the R-Factor point ranges are provided for the carrier fleet range for monitoring stages 1 – 4.

Data found under the section MONITORING DETAILS is additional compliance data not found elsewhere in the profile and is relevant to convictions, CVSA inspections, and collisions.

The column headings are defined as follows:

1. Avg Fleet Size – Average fleet size of NSC vehicles over a 24-month period.
2. Convictions Pts/Veh – Conviction points (12 months, if available) per NSC vehicle using the 24-month average. This will be blank if there are no points.
3. CVSA Inspections Total Insp – number of level 1 - 5 CVSA inspections in the past 12 months. This will be blank if there are no inspections.
4. CVSA Inspections OOS Defects/Insp – The number of Out of Service CVSA defects detected per CVSA inspection over a 12-month period. This will be blank if there are no CVSA defects.
5. CVSA Inspections Total Defects/Insp – The total number of defects found per vehicle (includes out of service and requires attention defects). This will be blank if there are no inspections.
6. CVSA Inspections OOS percent - Out of service inspection rate for level 1 - 5 inspections (based on 12 months).
7. OOS/VEH - Number of Out of service inspections per NSC vehicle based on average NSC fleet size over a 24-month period.
8. Collisions PTS/VEH - Number of points (2, 4, or 6) per NSC vehicle based on carrier’s average NSC fleet size over a 24-month period.

At the end of the section there is a heading “Industry Average”. Across from “Average” there are numbers under the columns that represent industry averages. The average is based on all other carriers with the same fleet range and carrier type (truck or bus). Based on the data on this page carriers can compare themselves to others in the transportation industry.

Part 7 - FACILITY LICENCE INFORMATION

This Part is included in a Carrier Profile report only if requested.

The information in this Part relates to the carrier’s vehicle inspection facility licence(s) if applicable. Only those carriers that are licensed under one of Alberta’s vehicle inspection programs will have data in this part. Part 7 is comprised of 2 sections:

- FACILITY LICENCE INFORMATION (cover page)

- FACILITY LICENCE DETAIL

The FACILITY LICENCE INFORMATION section documents some general information about the inspection facility and the carrier's total number of facility licenses.

The FACILITY LICENCE DETAIL section provides detailed information about each facility licence the carrier maintains. Information includes:

- The licence number, name and address of the facility
- Effective and expiry dates of the current licence
- Initial licencing date of the facility
- Current Inspection Program Types - the type of inspection program the carrier is authorized to conduct (Commercial (CVIP), Out of Province (OOP), and Salvage (written off vehicles))
- Authorization - whether the carrier has an "open" licence (i.e. can conduct inspections on their own as well as other vehicles) or a "carrier limited" (may only conduct inspections on their own vehicles).
- Current Vehicle Authorizations – types of vehicles the station is licensed to inspect.

Part 8 - SAFETY FITNESS INFORMATION

Part 8 tracks a carrier's Safety Fitness Rating and Operating Status changes. This part is included in your Carrier Profile report only if requested.

This part is comprised of 2 sections:

- SAFETY FITNESS INFORMATION section – This section provides some general information on Safety Fitness Rating and Operating Status.
- SAFETY FITNESS SUMMARY – provides a history of Safety Fitness Rating and Operating Status changes including the effective date and expiry date, if applicable.

There are four different Safety Fitness Ratings that may be displayed:

1. Satisfactory – carrier passed a full NSC Audit and has no identified compliance issues.
2. Satisfactory Unaudited – issued to new NSC carriers that have not had an NSC audit.
3. Conditional – carrier has been downgraded to "Conditional" safety fitness rating for compliance concerns. Carrier has been issued conditions to counter safety concerns with the intent to create positive change within their operation.
4. Unsatisfactory – carrier has been downgraded to "Unsatisfactory" when Carrier Services' intervention actions have not resulted in sufficient positive change

within the carrier's operation and the carrier poses an unacceptable safety risk to the public. Carriers that have an "Unsatisfactory" Safety Fitness Rating may not register or operate an NSC vehicle.

The Operating Status assigned to the carrier specifies whether the carrier can operate outside Alberta. A carrier is assigned one of either two Operating Statuses:

1. Provincial – this status restricts the carrier's operations under provincial legislation to the operation of commercial vehicles registered for a weight of 11,794 kilograms or greater or commercial passenger vehicles with a manufacturer's seating capacity of 11 or more including the driver within Alberta, or
2. Federal – this status authorizes the carrier under federal legislation to operate both point to point within and outside of Alberta. This applies to commercial/farm vehicles registered for a weight in excess of 4,500 kilograms or commercial passenger vehicles with a manufacturer's seating capacity of 11 or more including the driver.

Carriers found operating under the wrong Operating Status may be detained, charged with an offence, and/or issued an Administrative Penalty.

Part 9 PROFILE EVENTS

Part 9 of the Carrier Profile is used by Carrier Services for internal purposes and is not available to the public. However, a person is able to request Part 9 when ordering a Carrier Profile. If a person orders Part 9 then additional information regarding Administrative Penalties and audits will be displayed on Part 10 if applicable.

Part 10 - HISTORY SUMMARY INFORMATION

This Part includes all on-road events (convictions, CVSA inspections, and collisions) facility audits, monitoring action, station licensing, Operating Status and safety rating changes in date order, with the most recent events displayed first. This part is included in your Carrier Profile report only if requested.

Most of the information in this Part is documented elsewhere in the Carrier Profile with the exception of facility audit and monitoring information.

There is only a Historical Summary to this Part.

Section 3 - Updating/Correcting Your Profile

Every effort has been made to ensure that the information on the Carrier Profile is accurate. If, after conducting an internal review, you believe that an event shown on your profile does not relate to your operation or that information related to the event is inaccurate, please contact:

National Safety Code and Operating Authority
Alberta Transportation
401, 4920 – 51 Street
Red Deer, AB T4N 6K8
Ph: (403) 340-5430 (toll free in Alberta by first dialing 310-0000)
Fax: (403) 340-4806

If you have concerns when you first receive a ticket, a violation document, or a CVSA inspection report from an enforcement officer, you must discuss your concerns with the officer and/or their supervisor. The profile information is recorded in the Carrier Profile as submitted by the enforcement agency or the courts. Carrier Services alone can not change a record or evaluate the merits of a violation or inspection.

Conclusion

Although the Carrier Profile only provides after-the-fact information of a company's on-road and administrative compliance, it can be a useful tool. If used properly, the Carrier Profile can help you to be **proactive** rather than **reactive**. It allows you to identify and take appropriate corrective action thereby helping you prevent further violations and reduce the probability and severity of a future collision.

More Information

For more information on Carrier Profiles, please contact:

Alberta Transportation
Carrier Services
#401, 4920 – 51 Street
Red Deer, AB T4N 6K8
Phone: 403-340-5444 (toll free in Alberta by first dialing 310-0000)
Fax: 403-340-4806

Internet: www.transportation.alberta.ca (Alberta Transportation home page)
www.qp.alberta.ca/index.cfm (Queens Printer for Alberta legislation)
<http://laws.justice.gc.ca/> (Federal legislation)

1.5 Opening Interview

Introduction

Interviewing is a formal process of interaction or communication between one person and another, in which the interviewer seeks to impart or extract information from the interviewee. The task of the interviewer is to encourage the highest degree of truthful compliance to requests for information from the respondent, the “interviewee”.

The more an interviewer comprehends the dynamics of human interaction, the better the interview. A proficient interviewer realizes that his or her attitude must lead the interviewee to want to comply with his or her requests for information. If the interviewer is perceived to be “okay” to talk to, it is more likely that the information requested will be revealed. If the interviewer is perceived as hard-nosed and authoritarian, the flow of information will probably stop.

There are four basic interviewing styles: Interrogator, Supporter, Analyzer, and Collaborator. Everyone uses a blend of all styles, but an interviewer should choose and refine a primary style to become a better interviewer.

Preparation for Interviews

Basically, setting up an interview consists of selecting a place with no distractions, where the interviewee will feel comfortable. Sometimes, this is not possible because of the location, but the primary purpose of the interview is an **exchange** of information, so interviews should not be conducted in locations where the subject is likely to become distracted.

An appointment should be arranged with the subject. The “interviewee” could include one or more representatives of the carrier. Ideally, the person should be the most qualified person in “authority” or the person most likely to provide the information the

auditor requires. If you do not know the most qualified person in authority, you should start with the most senior person with the company, be that the Manager or President.

Arranging the Appointment

Identify yourself and briefly explain the purpose of your visit. Request an appointment date and location that is acceptable to the carrier and to you. Preferably, the appointment will be at the carrier's principal place of business, but it could be at another location as long as the required records are available.



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Department and Dress

Your personal habits, manner and dress must be professional, since they are a reflection of your position and yourself. Business attire should be worn when meeting with clients, but there may be times where this dress code is modified, depending upon the carrier's location, the type of business the carrier conducts, etc. Use your best judgment in these situations.

The Opening Interview

The interview will usually take place at the subject's premises with a senior, responsible official of the company present. Here is a checklist for the interviewer:

1. Have a Plan for the Interview

- Know your subject material and what questions to ask.
- Select your first question, e.g.: "I am not familiar with your company, perhaps we should start by having you explain your company's operations to me."
- Start with open-ended questions to encourage conversation such as "How does your company operate?"
- Your first question may well be your most important because it encourages conversation. It also allows you to direct and determine the course of the discussion.

2. Identify Yourself

- The introduction should include a handshake (portrays sincerity).
- Present your business card. Be sure to have enough on hand for all those involved in the meeting.
- Build rapport with the interviewee. Be prepared to "break the ice".

3. Explain the Purpose of Your Visit

- Provide the interviewee with sufficient information so that he clearly understands why you are there.
- At the same time, it is not necessary to inform the interviewee of all the information in your possession or to give away your interview plan by disclosing bits of information which would be better utilized later in the interview to obtain needed information.
- At this point, you should determine whether or not the information you have given the interviewee is sufficient to gain access to the required documents. If not, a different approach may be necessary; however, this should not hinder your interview plan.

4. Request an Appropriate Work Area

- Ensure that the location will not disrupt the normal office routine. Use of the company's photocopier may be required – ask permission when needed.

5. Request Access to the Company's Records

- This may involve access to personnel besides the interviewee.



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Next . . .

- Learn about the system used to enter audit information into Alberta Transportation's Assessment of Regulator Compliance (ARC) Program.

1.6 Assessment of Regulatory Compliance (ARC) Program: Section Outcomes and Guiding Questions

Section Outcomes

Once you have completed this section, you will be able to:

- Install the ARC application;
- Login into ARC;
- Start a new audit for a carrier;
- Enter the carrier's name and audit start date;
- Enter the carrier demographic and address information;
- Obtain the correct file sampling size.



Guiding Questions

As you review through this section, think about the following:

1. Do I understand how to properly install and configure ARC?
2. Am I comfortable navigating within the ARC application?
3. Do I know how to find answers to my questions with the ARC Reference Manual?

1.6.1 Using ARC

This section describes how to install Alberta Transportation's Assessment of Regulatory Compliance (ARC) Program, which was developed to help measure the compliance level of commercial truck and bus carriers in Alberta.

Instructions about the following are outlined:

- Installing ARC;
- Logging into ARC;
- Navigating ARC;
- Entering demographic data into ARC;
- Comment fields;
- Accessing the Reference Manual.

Installing ARC

This section will assist you in preparing to work through the Alberta Third Party Auditor Certification Course by installing the Assessment of Regulatory Compliance or "ARC" Application.

You must have a least a GOOD understanding of computers and an EXCELLENT understanding of Alberta's transport legislation. The better your knowledge of the regulations, the more accurate the audit results will be.

You will need to have access to the Assessment of Regulatory Compliance or "ARC" Application along with its accompanying Help Manual (found within the program itself) in order to complete the remainder of the course material.

The ARC Application requires a Microsoft Windows 7 environment, with Microsoft Office 2010 service pack 1 in order to operate properly.

Your desktop display resolution must be set to display a resolution of at least 800 x 600.

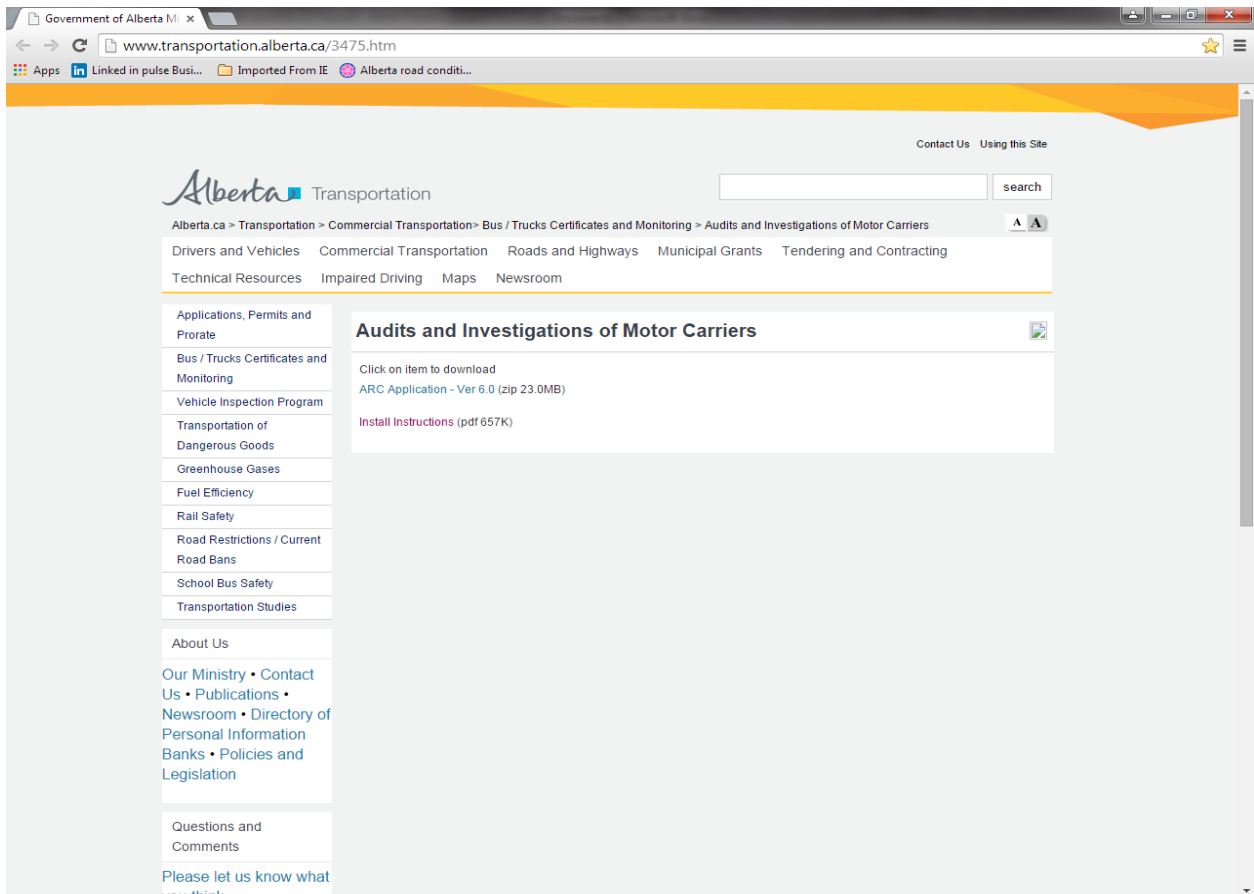
CRITICAL: ARC requires a particular date format. Set your computer’s date format now by doing the following:

1. From the Windows Start button, select Control Panel,
2. Select Regional Settings and click on the Date tab,
3. Enter in the Short Date Style field: M/d/yy,
4. Enter in the Long Date Style field: dddd, MMMM dd, yyyy; then
5. Click **OK** to accept the changes.

Navigate to the website called “Audits and Investigation of Motor Carriers” at:

<http://www.transportation.alberta.ca/3475.htm>

Select the “Install Instructions” link in order to view the installation document. Follow the instructions contained in the document to install ARC on your computer.



To Start ARC:

1. Start "ARC 6.0" from your program menu or select the shortcut on your desktop. You should see the ARC login screen.

IMPORTANT**ARC – Assessment of Regulatory Compliance Login Window**

Figure 1 illustrates the first window, the [Login Window](#), which is used to log into the ARC program. The **First Time Help button** (as indicated by arrow below) gives the user access to the "**First Time User Help Manual**". Click on this button and review its contents **BEFORE** proceeding.

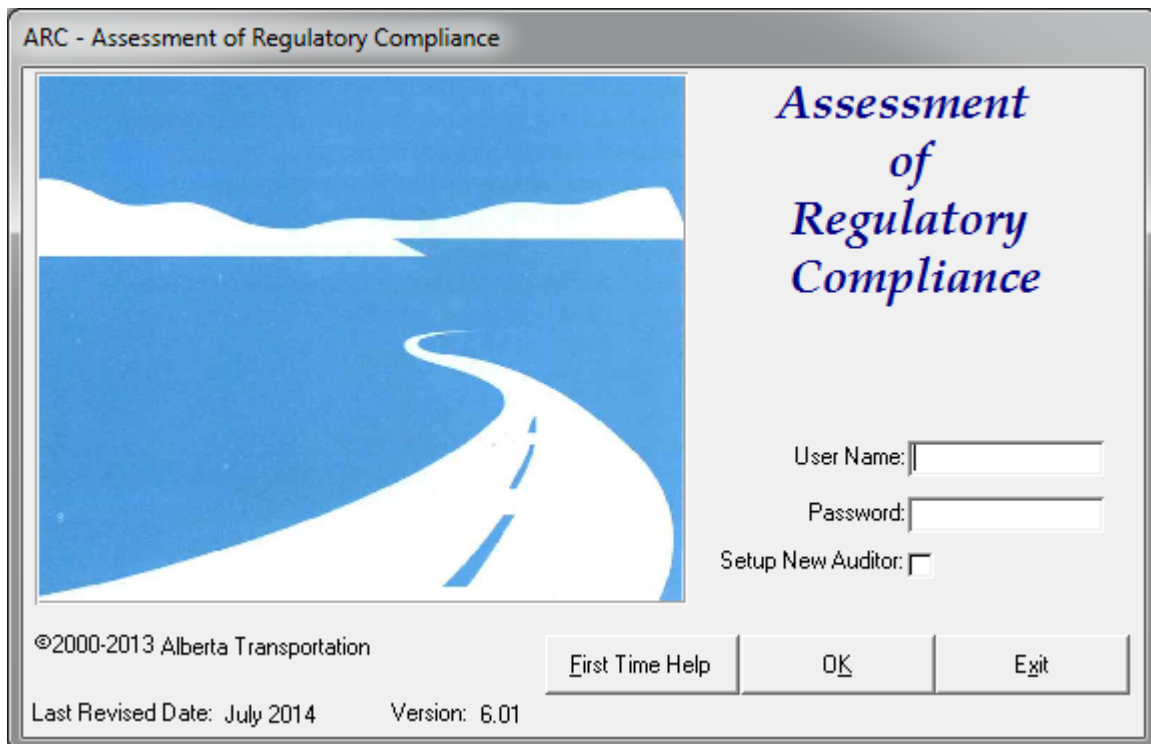


Figure 1: Login Window

To access the audit program:

1. Enter “[guest](#)” beside the User Name label.
2. Then enter “[guest](#)” as your password.
3. Lastly, click on the [OK](#) button to start the audit program.

ARC Reference Manual (Help Button)

After you start ARC, the [ARC Main Menu window](#) will appear (Figure 2). Notice that the [Help](#) button (as indicated by arrow) is used to access a detailed **ARC Reference Manual**. *A similar button is available at all program windows and can assist a user at any time.*

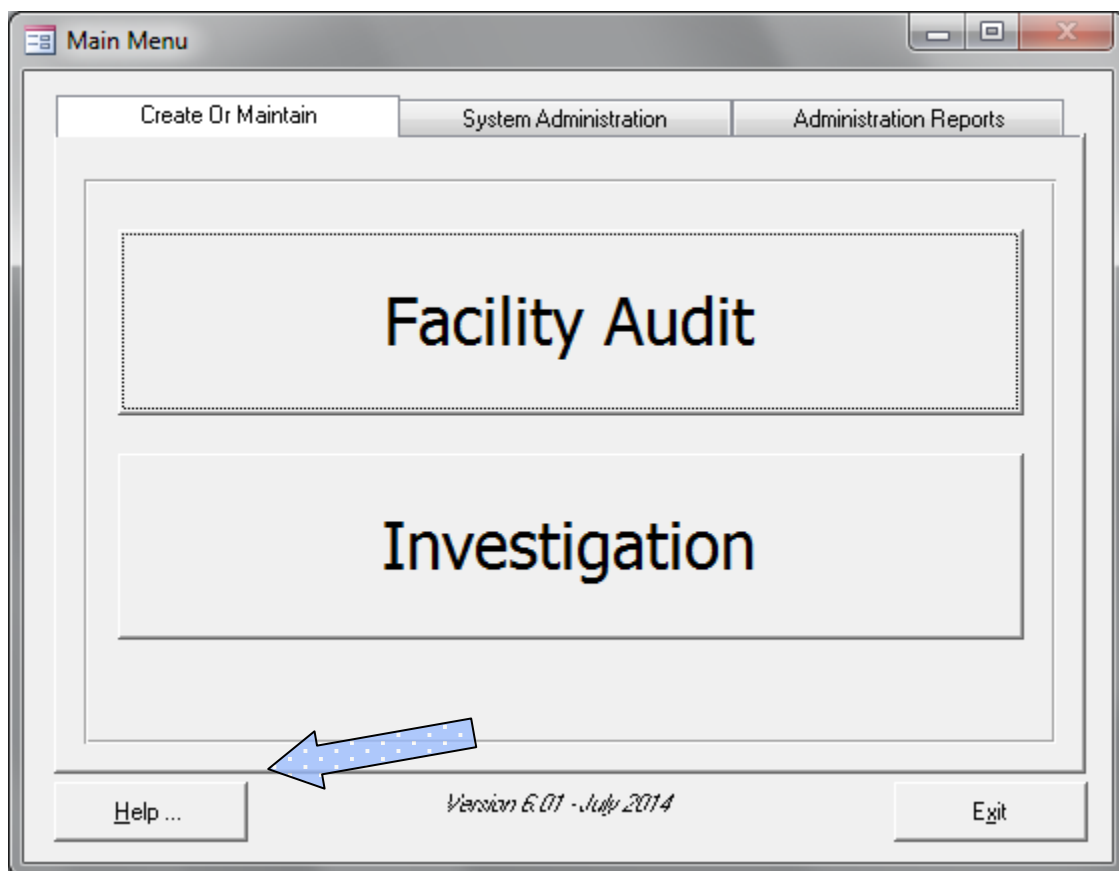


Figure 2: ARC Main Menu

ARC Reference Manual

The ARC Reference Manual is presented in Microsoft Word format so that the user can use its “Find” feature to locate specific information. The first time you use ARC, it is important that you review this Manual.

Note: *If printed, you can then use it to record notes as you learn about the ARC program.*

Reference Manual

The Reference Manual contains:

- *A Table of Contents;*
- A description of how to complete each data element;
- Information on the function of each button;
- Direction as to when to answer Y (Yes), N (No) or N/A (Not Applicable) to every question;
- A detailed *Common Terms and Definitions* section;
- A list of all applicable legislation;
- A list of *Short Cut Keys* you can use in the program;
- Sources of help to improve safety.

Standard Features – Buttons

A standard feature of ARC is that all buttons perform the same function throughout the program. These include:

- Save button - used to save all changes made to the current screen;
- Delete button - deletes changes to the current screen made since last saved;
- New button - creates a new record;
- Close button - used to close the current screen and return to the previous one;
- Exit button - used to exit the ARC program.

Standard Features – Processes

Some of the standard processes used throughout ARC include:

- Use of the mouse or the Tab key to move around the screens;
- Automatic formatting of many attributes such as postal codes, phone numbers, dates, etc;
- Underlined labels identify mandatory information requiring data entry;
- Double-clicking on almost any information (a question, a comment field, etc.) will bring up a “Zoom box” for easy data entry/editing;
- Entry of multiple levels of comments (e.g., for a single question, a worksheet, or the whole audit);
- More than one audit can be created and stored at a time;
- All audit scoring is done automatically, and the results are shown only when the audit is finalized.

Main Menu

The *Main Menu* window (Figure 3) is the one displayed after logging on to ARC. The top tabs and the Investigation button are not available to a “guest”. To start an audit, select the Audit option by clicking on the [Facility Audit button](#).

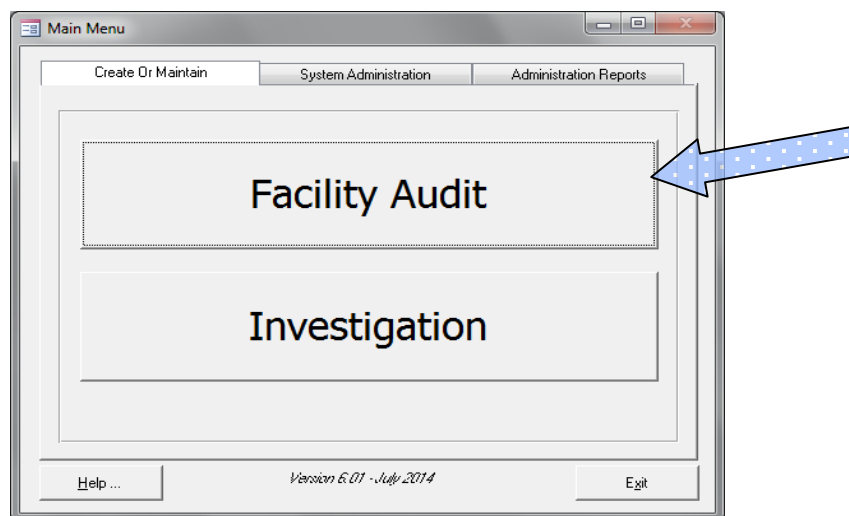
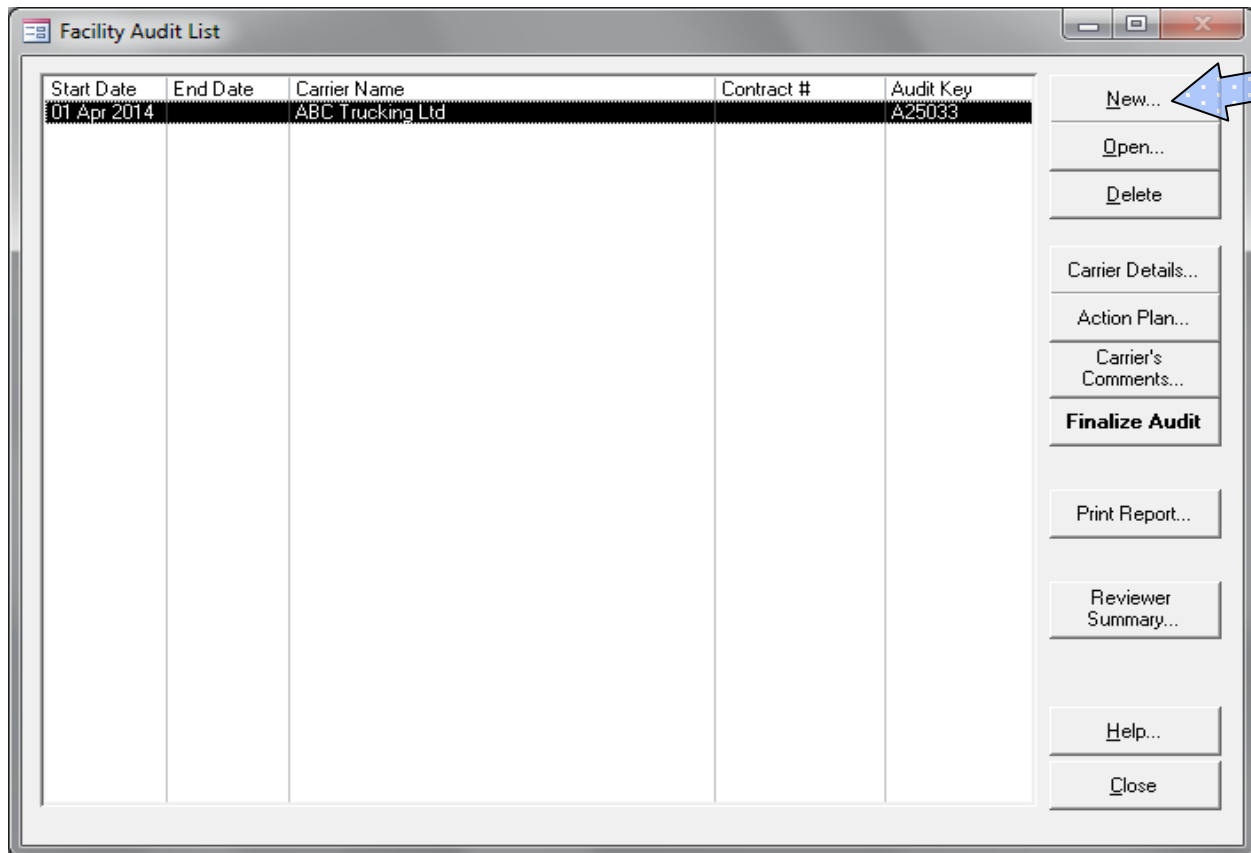


Figure 3: Main Menu Window

Facility Audit List

The *Facility Audit List window* (Figure 4) is the starting point of any audit. To create a new audit, select the [New](#) button.



Once a record has been created in the *Facility Audit Details – New* window, the *Facility Audit List window* will display a start date, end date, carrier name, contract number and audit key. The End Date will be entered only after you select Finalize and Close the audit.

After an audit had been created, you can select and open any audit from the list. A Finalized audit (one that displays an End Date) cannot be edited but can be Re-opened. To re-open a closed/finalized audit for further editing:

1. Highlight the appropriate audit;
2. Select the [Open](#) button;
3. Select the [Re-Open](#) Audit button;

4. Select **Yes** when asked

Facility Audit Details – (New)

When you select the **New** button to create your first audit, the *Facility Audit Details (New)* window (Figure 5) will appear.

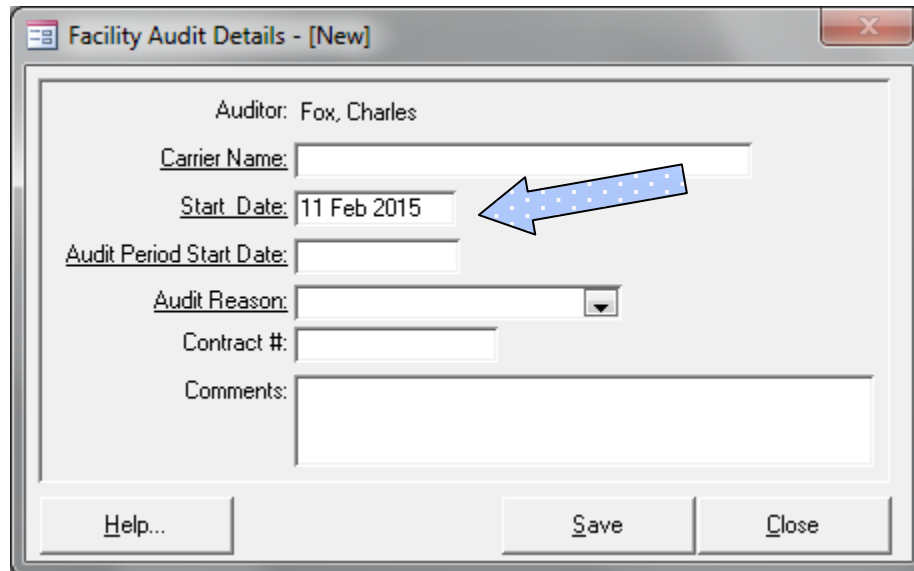


Figure 5: Facility Audit Details (New) Window

All underlined areas **MUST** have information entered. The *Start Date* will automatically be entered. The *Audit Period Start Date* must be entered to define the period considered for the audit. This date is usually taken as the day after the last audit. If this is the first audit, then enter the date five years previous. Occasionally Carrier Services staff may want you to use a more recent date. If in doubt, call Carrier Services at 403 755-6111.

Choose a value for the *Audit Reason* by using the drop-down arrow on the right side and selecting one of the pre-defined options. Once you have entered the information, select the **Save** button. To exit this window, select the **Close** button. Throughout ARC, selecting the **Close** button will always return you to the previous window.

Carrier Details – Carrier Demographics

After saving, you will see the *Carrier Details* window (Figure 6). The Carrier Details screen consists of two tabs, *Carrier Demographics* and *Carrier Address*, which allows you to enter the carrier information. In addition, this screen will provide a starting point for all other information relating to a carrier.

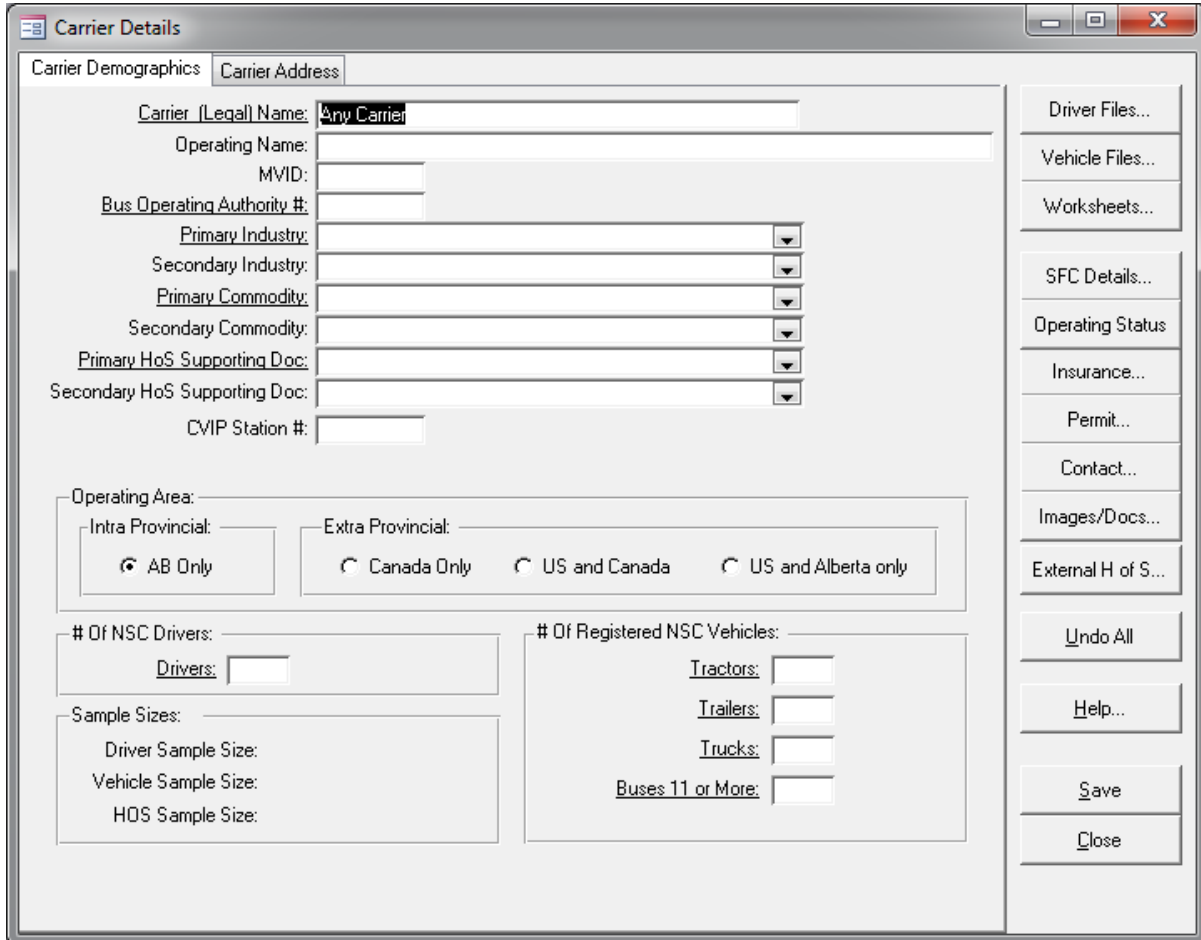


Figure 6: Carrier Details Window – Carrier Demographics Tab

To complete the Carrier Details window, enter at least the following information:

1. Carrier (Legal) Name;
2. Operating Name;
3. MVID (Motor Vehicle Identification Number)
4. Bus Operating Authority # (if operating buses)
5. Primary Industry;

6. Primary Commodity;
7. Operating Area (either Intra Provincial or Extra Provincial);
8. The number of Drivers of NSC vehicles;
9. The number of **registered NSC vehicles** of the appropriate type (Tractors, Trailers, Trucks, Buses 11 to 15, and Buses > 15).

Once you have entered the appropriate information into the correct fields, the information should be saved by selecting [Save](#).

Note: Proper driver, vehicle and hours of services file sample sizes are automatically calculated and displayed. These minimum numbers are calculated from the driver and vehicle numbers that are entered.

Note: Throughout the ARC program, any data value whose label name is underlined is mandatory data that must be entered before the audit can be finalized/completed.



Carrier Details – Carrier Address

The Carrier Detail screen (Figure 7) allows you to enter information regarding the Carrier's principal place of business and mailing address.

Carrier Details

Carrier Demographics Carrier Address

Principle Address:

Address:

City:

Province/State: Alberta

Postal Code: Email:

Phone #: Ext.: Fax #:

Mailing Address:

Same As Above

Address:

City:

Province/State: Alberta

Postal Code: Phone #: Ext.: Fax #:

Driver Files...

Vehicle Files...

Worksheets...

SFC Details...

Operating Status

Insurance...

Permit...

Contact...

Images/Docs...

External H of S...

Undo All

Help...

Save

Close

Figure 7: Carrier Details Window – Carrier Address Tab

Select the “carrier address” tab and enter the appropriate information in the proper fields:

- Address;
- City;
- Province/State;
- Postal Code;
- Phone #.
- If the mailing address differs from the principle place of business information, re-enter these fields. If not, then select the “Same as Above” box.

Again, once the fields have been completed select the [Save](#) button.

Audit Administration Options

Before learning more about ARC, several options available to you will be examined. These options are presented now so you can take advantage of them throughout the audit:

- Summary windows;
- Standard Comment windows;
- User Comment windows.

Note: *These options will become available when you move onto the next section “Driver Files”.*



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Summary Information

This [Summary](#) window (Figure 8) is accessible from any window that allows summary comments and does not have a Worksheet. It allows you to insert a Standard Comment from a list of pre-existing comments. This window can also allow you to enter and save comments to use in the current audit or in future audits.

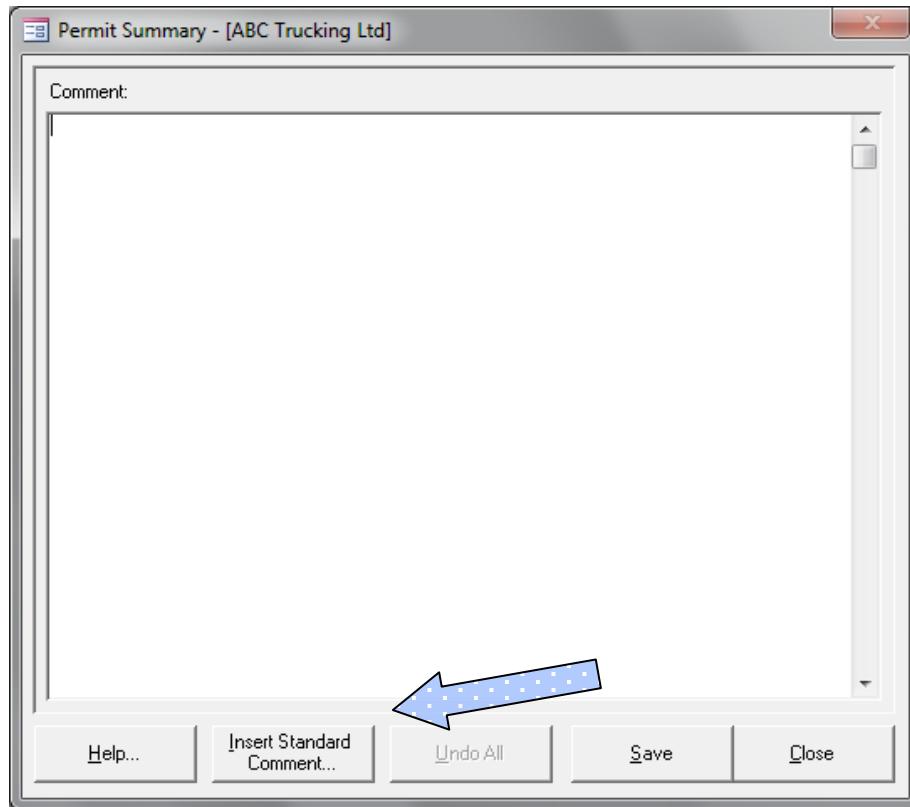


Figure 8: Summary Window

Standard Comment List

This *Standard Comment List* window (Figure 9) is used to select pre-existing comments. It is accessible from all Summary windows or from any Worksheet. It allows you to create and insert your own Standard Comments by clicking on the [Add User Comment](#) button. Any comments created will be indicated by a "Yes" under the "User Defined" column. If a "No" is displayed, it means the System Administrator created the comment.

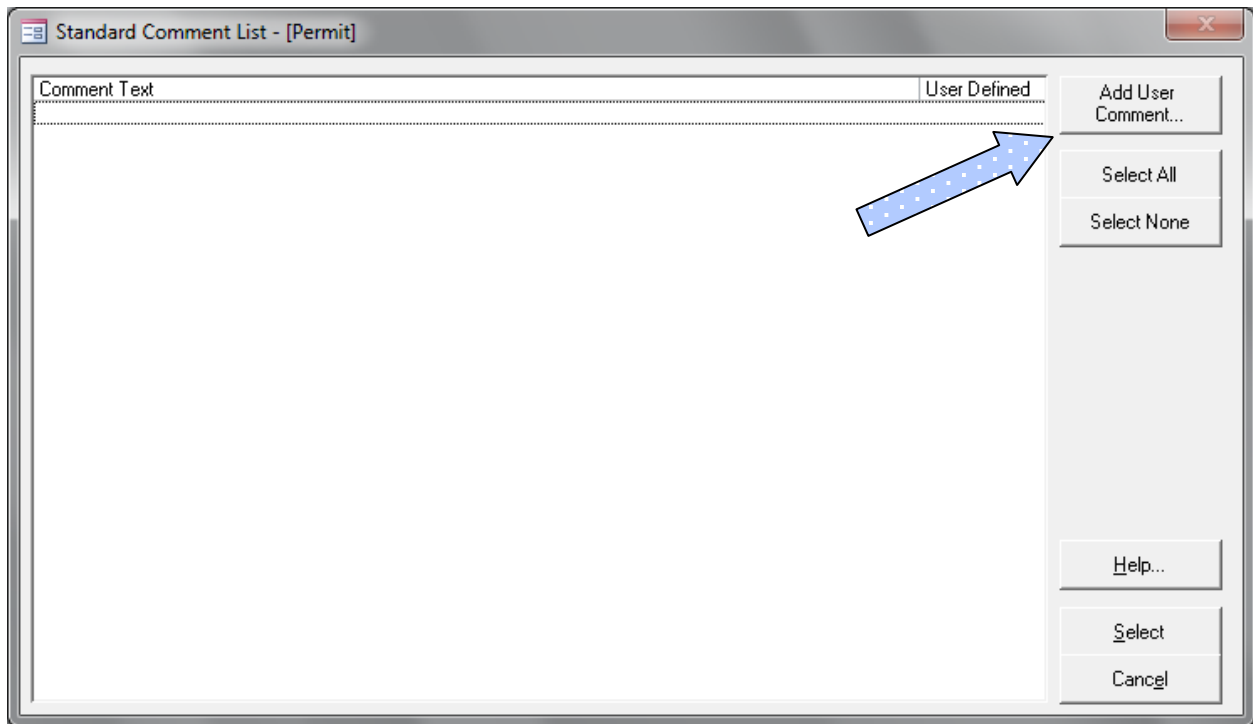


Figure 9: Standard Comment List Window

Add User Comment

The *Add User Comment* window (Figure 10) is used to enter and save comments that you would like to re-use during the current audit or during future audits.

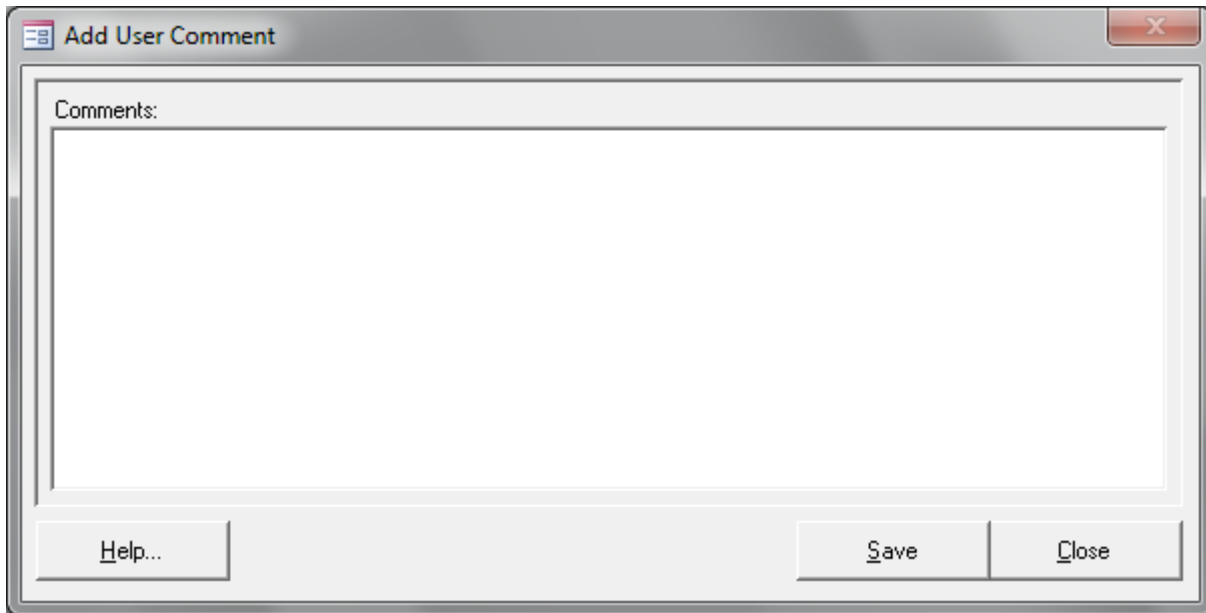


Figure 10: Add User Comment Window

To add a comment:

1. Enter the text;
2. Click on the Save button.

The comment will be added to the *Standard Comments* List and can then be inserted into the audit.

Note: You are NOT able to edit a new *Standard Comment* after it has been saved. Be careful! Also your saved comments will have to be re-entered into any future versions of the ARC program.

Now, you can prepare to move onto the next section by selecting the [Driver Files](#) tab on the *Carrier Details* screen. *Section 1.6 – Audit Processes* will provide instructions and information relating to the Carrier Details screen.

[Next . . .](#)

- Test your skills by completing the *Quiz* for *Section 1.6.1: Using ARC*.

1.6.2 Quiz: Using ARC

This assignment will familiarize you with entering the demographic information of a carrier within the ARC program. Using the information just presented in *Section 1.6.1 – Using ARC*, start the ARC program and login. Remember, you can also use the ARC program’s built-in reference manual to assist you as well.

IMPORTANT

BEFORE proceeding please review the contents of section 1 to 9 in the Help ARC Reference Manual.

To successfully finish this quiz, follow these instructions:

- Start the program;
- Login to ARC;
- Select the [Facility Audit](#) tab;
- Start a new audit for the carrier;
- Enter the carrier’s name and audit start date;
- Enter the carrier demographic and address information;
- Obtain the correct file sampling size;
- Save your work.

Now, complete your assignment using the information below. Remember, your user name and password is [“guest”](#).

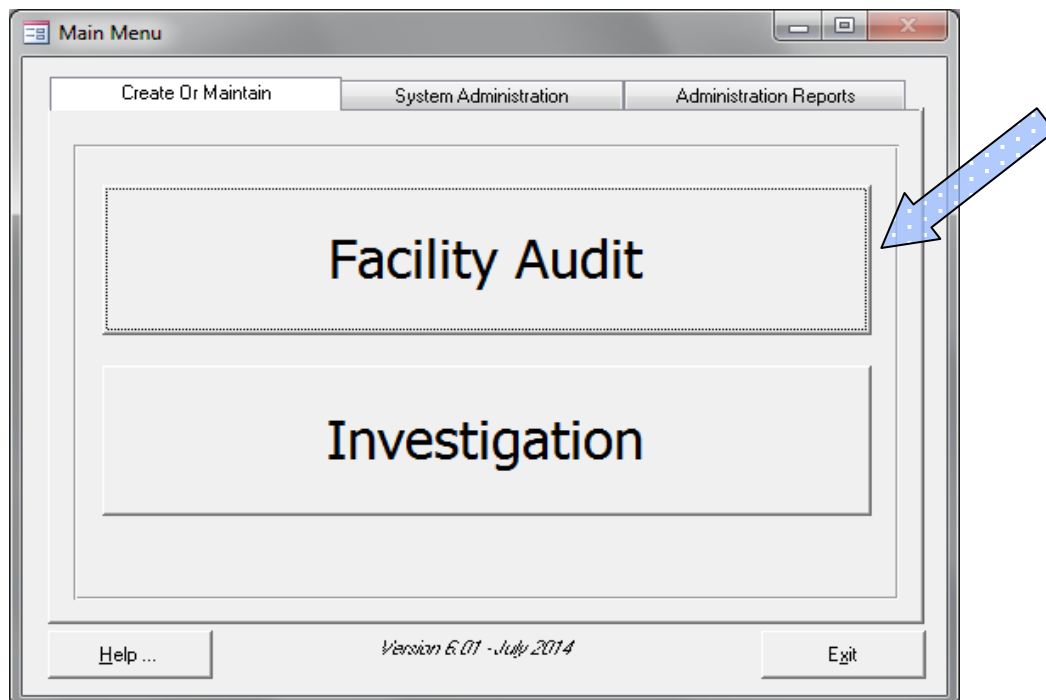
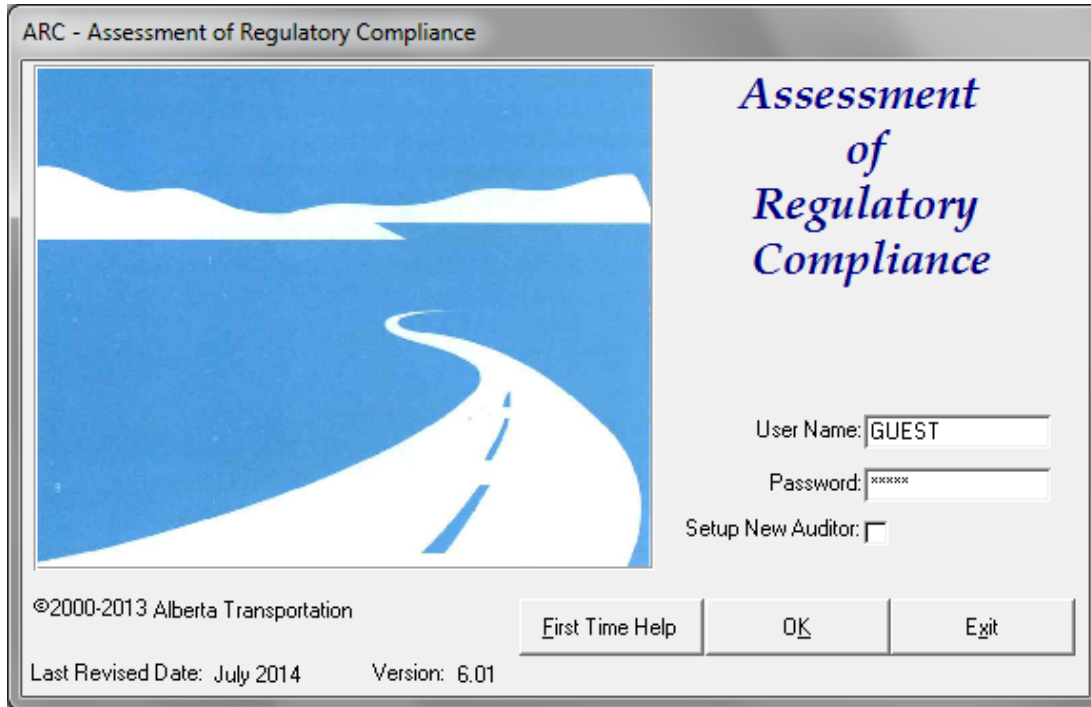
1. The start date will be April 01, 2014. Your audit period start date will be April 01, 2010. Your audit reason will be “Other”. You can leave the contract # field

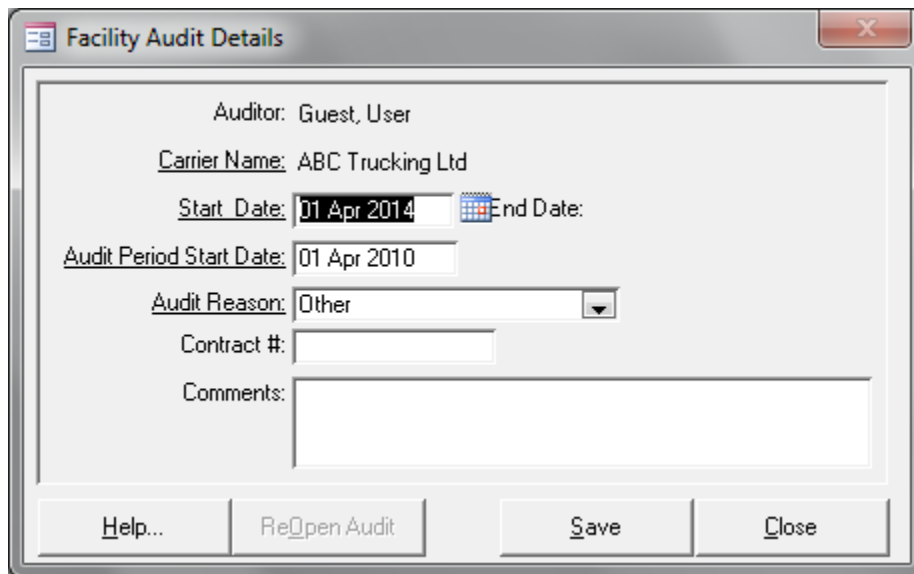
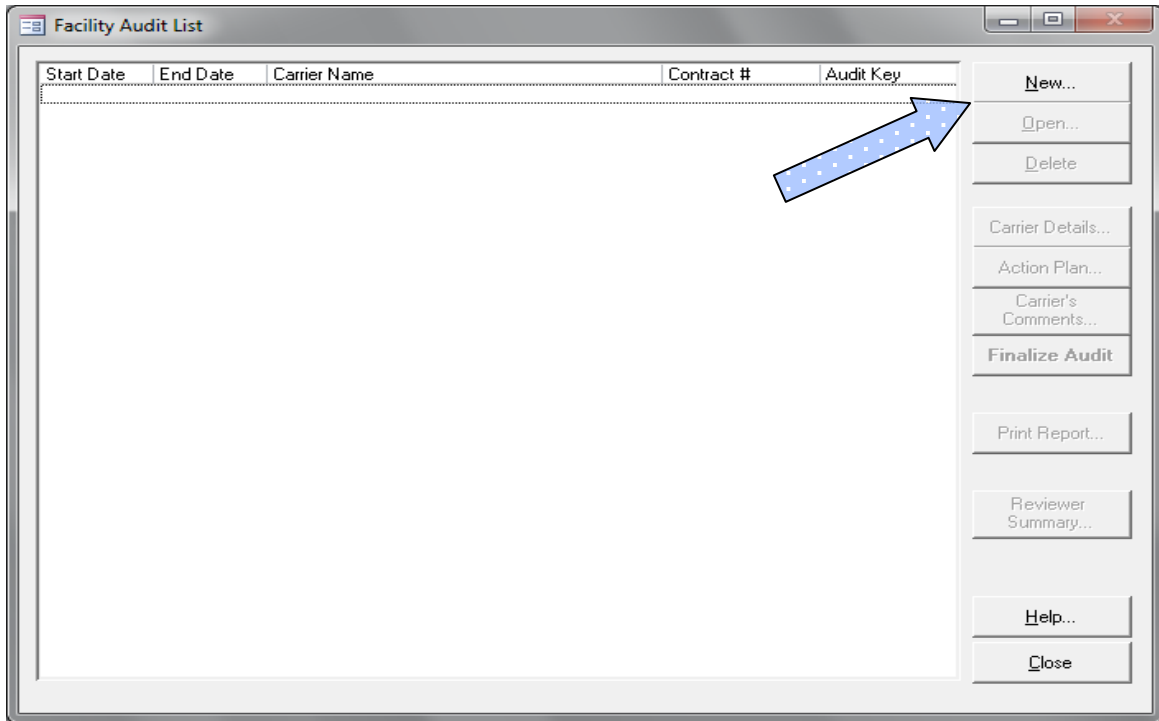
- empty. (This is a number assigned to an auditor if contracted by Alberta Transportation to conduct an audit).
2. The carrier that you will be auditing throughout this module is ABC Trucking Ltd. of 8537-129th Street NE, Calgary, Alberta T4N 1V0. The company's phone number is 403 213-0819 and fax number is 403 202-7564. The carrier's physical address and mailing address are the same.
 3. The company's MVID # (Motor Vehicle Identification Number) is 0001-34677. The company's owner and safety officer is Bill Catchem. Bill Catchem's MVID # is 0000-99999. The carrier's NSC # is AB012-3456. The carrier's operating status is "Federal". The carrier's safety rating is "Satisfactory Unaudited". It's effective date is April 01, 2000.
 4. ABC Trucking operates a fleet of three tandem axle trucks with sleeper berths throughout Canada and has been operating since April 01, 2000. They haul retail products.
 5. The carrier has three drivers, John Smith, Peter Doe, and Don Jump. Each driver is assigned a truck as his own vehicle. The primary hours of service (HoS) supporting document will be payroll records.



1.6.3 Quiz: Answer Key

Check your answers from 1.6.2 Quiz: *Using ARC* by comparing your audit screens with the ones provided below.





Facility Audit List

Start Date	End Date	Carrier Name	Contract #	Audit Key
01 Apr 2014		ABC Trucking Ltd		A25033

Carrier Details

Carrier Demographics | Carrier Address

Carrier (Legal) Name: ABC Trucking Ltd

Operating Name: _____

MVID: 0001-34677

Bus Operating Authority #: _____

Primary Industry: Transportation (goods or passengers)

Secondary Industry: _____

Primary Commodity: Retail Products (groceries, mixed household and commerci)

Secondary Commodity: _____

Primary HoS Supporting Doc: Payroll Records

Secondary HoS Supporting Doc: _____

CVIP Station #: _____

Operating Area:

Intra Provincial: AB Only

Extra Provincial: Canada Only US and Canada US and Alberta only

Of NSC Drivers: Drivers: 3

Of Registered NSC Vehicles:

Tractors: 0

Trailers: 0

Trucks: 3

Buses 11 or More: 0

Sample Sizes:

Driver Sample Size: 3

Vehicle Sample Size: 3

HOS Sample Size: 3

Carrier Details

Carrier Demographics | Carrier Address

Principle Address:

Address: 8537-129th Street NE

City: Calgary

Province/State: Alberta

Postal Code: T4N 1V0 Email:

Phone #: (403) 213-0819 Ext.: Fax #: (403) 202-7564

Mailing Address:

Same As Above

Address: 8537-129th Street NE

City: Calgary

Province/State: Alberta

Postal Code: T4N 1V0 Ext.: Fax #: (403) 202-7564

Driver Files...
 Vehicle Files...
 Worksheets...
 SFC Details...
 Operating Status
 Insurance...
 Permit...
 Contact...
 Images/Docs...
 External H of S...
 Undo All
 Help...
 Save
 Close

Next . . .

- Review the process for examining a “Driver’s file” in the Driver Section in Module 2.

MODULE 2

Driver Information

2.1 Driver Information: Section Outcomes and Guiding Questions

Section Outcomes

Once you have completed this section, you will be able to:

- Identify if a carrier has complied with related legislation;
- Examine a “driver’s file” and determine if it contains all of the items required by legislation.



Guiding Questions

As you review through this section, think about the following:

1. What are the items that a driver file is required to contain?
2. Why is it necessary to have these items in a driver file?
3. How often does a driver file need be to be updated?

2.2 Driver Details

Introduction

Driver files are those records kept by the carrier that contain documents to prove a driver's qualifications and ability to drive. They may be in paper or electronic format, or a combination of both. Carriers are expected to maintain and be able to produce the files when requested. The legislative sections upon which the ARC audit questions are based are reviewed below.

Commercial Vehicle Certification and Insurance Regulation
AR 314/2002 Section 41(1)(a)

The registered owner of every commercial vehicle who is required to operate the vehicle under the authority of a safety fitness certificate must maintain, for each of that owner's drivers, a driver record file containing the following information:

- (a) the driver's completed application form for employment with the registered owner;

Explanation: The auditor must verify that the carrier has a driver file for each driver that contains an employment application or resume.

Commercial Vehicle Certification and Insurance Regulation
AR 314/2002 Section 41(1)(b)

- (b) copy of the driver's abstract in a form satisfactory to the Registrar when the driver is first hired or employed, dated within 30 days of the date of employment or hire;

Explanation: The auditor must verify that the carrier has a driver file for each driver that contains a copy of a driving abstract dated within 30 days of hiring.

Commercial Vehicle Certification and Insurance Regulation
AR 314/2002 Section 41(1)(c)

(c) annual updated copies of the driver’s abstract in a form satisfactory to the Registrar;

Explanation: The auditor must verify that the carrier has a driver file for each driver that contains an abstract updated every year.

Commercial Vehicle Certification and Insurance Regulation
AR 314/2002 Section 41(1)(d)

(d) the driver’s employment history for the 3 years immediately preceding the time the driver started working for the carrier;

Explanation: The auditor must verify that the carrier has a driver file for each driver that contains the driver’s previous work history going back three years.

Commercial Vehicle Certification and Insurance Regulation
AR 314/2002 Section 41(1)(e)

(e) record of the driver’s convictions of safety laws in the current year and in each of the 4 preceding years;

Explanation: The auditor must verify that the carrier has a driver file for each driver that contains an up-to-date record of driving violation convictions for the current and past 4 years (this could be found in the driver’s abstract).

Commercial Vehicle Certification and Insurance Regulation
AR 314/2002 Section 41(1)(f)

- (f) a record of any administrative penalty imposed on the driver under safety laws;

Explanation: The auditor must verify that the carrier has a driver file for each driver that contains a record of any administrative penalty (the Registrar of Motor Vehicles can impose a monetary penalty up to \$10,000.00 on a carrier, driver, mechanic, etc. who violates safety laws).

Commercial Vehicle Certification and Insurance Regulation
AR 314/2002 Section 41(1)(g)

- (g) record of all collisions involving a motor vehicle operated by the driver that are required to be reported to a peace officer under any enactment of Alberta or a jurisdiction outside Alberta;

Explanation: The auditor must verify that the carrier has a driver file for each driver that contains a record of any reportable collisions.

Commercial Vehicle Certification and Insurance Regulation
AR 314/2002 Section 41(1)(h)

- (h) record of all training undertaken by a driver related to the operation of a commercial vehicle and compliance with safety laws;

Explanation: The auditor must verify that the carrier has a driver file for each driver that contains a record of all training (defensive driving, road tests, etc.)

Commercial Vehicle Certification and Insurance Regulation
AR 314/2002 Section 41(1)(i)

- (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 is issued and continuing until 2 years after it expires, in accordance with Part 6 of the Transportation of Dangerous Goods Regulations under the Transportation of Dangerous Goods Act, 1992 (Canada);

Explanation: The auditor must verify that the carrier has a driver file for each driver that contains the Dangerous Goods training certificate, if the driver transports dangerous goods.

Commercial Vehicle Certification and Insurance Regulation
AR 314/2002 Section 41(1)(j)

- (j) a copy of a current medical certificate for the driver;

Explanation: The auditor must verify that the carrier has a driver file for each driver that contains a copy of the current medical certificate (this could be a number of years old based on the driver's licence renewal dates). Alternatively, for audit purposes, copy of a valid Class 1, 2, or 4 operator's licence or driver abstract would likewise be acceptable as a medical examination is a pre-requisite in order to obtain these licences.

ARC Audit – Driver Information

The *Driver Information* form is used to enter and update Driver Information and Driver File questions. This form also serves as a launching point to the *Hours of Service Daily Records* form.

What to do?

1. From the *Carrier Details* screen select the Driver Files tab. This will take you to the *Driver Information* Screen as shown in Figure 1.
2. Using the data provided by the carrier, select a driver file and enter the information in the top half of the screen called [Driver Details](#). This can be obtained from such documents as the Drivers List supplied by the carrier.
3. Once this data is entered, select [Save](#) in the top half of the screen.
4. Proceed to the lower half of the screen called [Driver File](#).
5. Answer each question using the answer guidelines provided in the [Help](#) ARC Reference Manual. Important: The “N/A” answer supersedes the “Yes” or “No” answer when applicable. The answer guidelines incorporate the legislative interpretations of Alberta Transportation.
6. Add comments to explain your answer in the comment section to the right of the question.
7. Select [Save](#) and then select the [Hours of Service](#) tab to move on to the next form to enter Hours of Service information for any driver already entered and saved.

Figure 1: Driver Information Form

Next . . .

- Complete the *Quiz* for this section.

IMPORTANT

BEFORE proceeding please review the contents of section 13 in the Help ARC Reference Manual.

2.2.1 Quiz: Driver

This assignment will familiarize you with entering the driver information from a carrier's driver file within the ARC program. Using the information just presented in Section 2.2 – Driver Details, start the ARC program and login. Remember, you can also use the ARC program's built-in reference manual to assist you as well.

To successfully finish this quiz, you will need to:

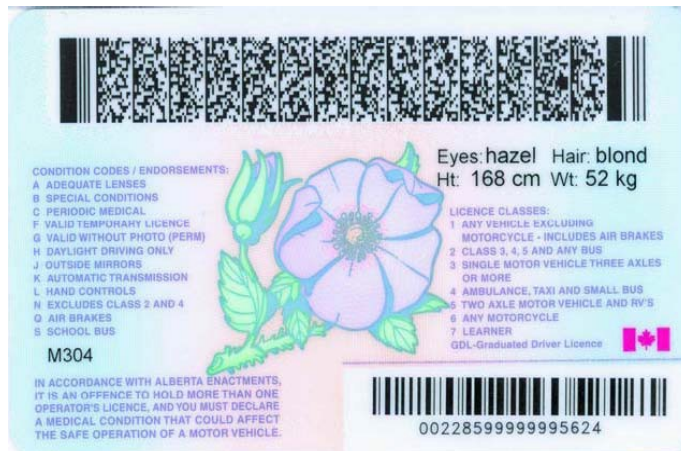
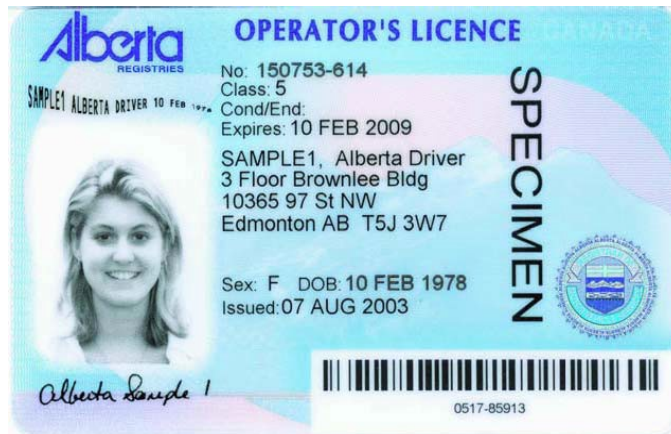
- Start the program;
- Login to ARC;
- Select the [Facility Audit](#) tab;
- Select the audit for the carrier ABC Trucking Ltd;
- Select the [Carrier Details](#) tab;
- Select the [Driver Files](#) tab;
- Enter the appropriate data from the information provided below;
- Add comments to assist the carrier in complying with legislation;
- Save your work.

Now, complete your assignment using the information below:

1. As you have learned previously, the carrier has three drivers: John Smith, Peter Doe, and Don Jump. John Smith was hired March 01, 2010, Peter Doe was hired November 5, 2011, and Don Jump has been with the carrier since July 2, 2012.

Note: Carriers record data in a variety of forms and in different medium. Documents such as the following samples are not uncommon.

Alberta Operator Licence



2.2.1 Quiz: Driver

CERTIFICATE OF TRAINING	
Name of Employee	
<p>has completed training related to the handling/offering for transport / transporting of dangerous goods as indicated on the reverse. This training is in accordance with the requirements of the Transportation of Dangerous Goods Regulations</p>	
Name of Employer	
Address	
City	Province
Expires on: _____	Date of Issue: _____
Employer's Signature	

Class and Division	Training Received
	Classification
	Shipping names
	Use of Schedules 1, 2 and 3
	Shipping document & train consist
	Safety marks requirements
	Certification safety marks requirements, Safety requirements and safety standards
	Emergency Response Assistance Plan Requirements
	Accidental release reporting requirements
	Safe handling and transportation practices
	Proper equipment use
	Emergency action requirements
	Air transport
	Marine transport
Employee's Signature	

Driver: John Smith

You find the following documents on file for John Smith:

- An incomplete job application;
- A satisfactory road test dated and signed by Bill Catchem on March 05, 2010;
- An initial driver's abstract dated January 15, 2010;
- A defensive driving course certificate dated February 23 2014;
- A dangerous goods training certificate issued January 30 2014;
- Driver abstracts for the previous four years.

DRIVER ABSTRACT INDICATED BELOW:

DRIVER ABSTRACT	ISSUE DATE: 2014/03/21
OPERATOR NUMBER: 12345-678	SUSPENDED: No
CLIENT: 0123-45678 Smith, John	
CLASS: 1	
CONDITION CODES: A	
ISSUE DATE: 2009/03/21	EXPIRY DATE: 2014/03/21
DATE OF BIRTH: 1961/04/01	

SUMMARY OF DRIVING RECORD:

NO.	ITEM ID.	START DATE	END DATE	MVID	DEM
1.	CV TSA 115(2)(p)	2011/02/27	2014/02/26	0123-45678	3
2.	CV TSA 69(1)	2014/02/27	2017/02/26	0123-45678	3

***** END OF DRIVER'S RECORD *****

Driver: Peter Doe

You find the following documents on file for Peter Doe:

- A completed job application with six years previous work history dated Nov 05, 2011;
- A road test dated and signed by Bill Catchem on November 20, 2011;
- A Professional Driver Improvement Course certificate dated June 17, 2011;
- A Dangerous Goods training certificate issued on January 30, 2012;
- An initial driver's abstract dated October 15, 2011;
- Driver abstracts for the two previous years.

DRIVER ABSTRACT INDICATED BELOW:

DRIVER ABSTRACT

ISSUE DATE: 2013/11/01

OPERATOR NUMBER: 54321-678

SUSPENDED: No

CLIENT: 3123-45678 Doe, Peter

CLASS: 1

CONDITION CODES: U

ISSUE DATE: 2009/10/01

EXPIRY DATE: 2015/10/01

DATE OF BIRTH: 1963/10/01

SUMMARY OF DRIVING RECORD:

NO.	ITEM ID.	START DATE	END DATE	MVID	DEM
-----	----------	------------	----------	------	-----

***** END OF DRIVER'S RECORD *****

Driver: Don Jump

You find the following documents on file:

- A Professional Driver Improvement Course certificate dated June 11, 2012;
- A Dangerous Goods training certificate issued on January 30, 2010;
- An administrative penalty for hours of service violations dated January 05, 2013;
- An abstract dated July 10, 2013.

DRIVER ABSTRACT INDICATED BELOW:

DRIVER ABSTRACT

ISSUE DATE: 2013/07/10

OPERATOR NUMBER: 35692-678

SUSPENDED: No

CLIENT: 9733-45678 Jump, Don

CLASS: 3

CONDITION CODES: Q

ISSUE DATE: 2013/06/11

EXPIRY DATE: 2018/06/11

DATE OF BIRTH: 1959/06/11

SUMMARY OF DRIVING RECORD:

NO.	ITEM ID.	START DATE	END DATE	MVID	DEM
-----	----------	------------	----------	------	-----

***** END OF DRIVER'S RECORD *****

2.2.2 Quiz: Answer Key

Check your answers from 2.2.1 Quiz: Driver by comparing your audit screens with the ones provided below.

Driver Information - [ABC Trucking Ltd]
- □ ×

Select Driver: Smith, John Driver Sample Size: 3

Driver Details:

Last Name: Smith First Name: John Date of Birth: 01 Apr 1961 MVID: 0123-45678 Licence #: 12345-678 Valid?: <input type="checkbox"/> Licence Class: Class 1: Any motor vehicle, or combinat Licence Jurisdiction: Alberta Cond Endorsement: A - Adequate Lenses Licence Status: Expired Date Hired: 01 Mar 2010	EEMV Certificate: Required: <input checked="" type="checkbox"/> Valid?: <input checked="" type="checkbox"/> Issue Date: Expiry Date: Dangerous Goods Certificate: Required: <input checked="" type="checkbox"/> Valid?: <input checked="" type="checkbox"/> Issue Date: 30 Jan 2014 Expiry Date: 30 Jan 2017 Comments: <div style="border: 1px solid gray; height: 20px;"></div>	<input type="button" value="New"/> <input type="button" value="Delete"/> <input type="button" value="Internal H of S..."/> <input type="button" value="Undo All"/> <input type="button" value="Cancel"/> <input type="button" value="Save"/>
---	---	---

Driver File:

Question	Answer			Required	Comment
	Y	N	N/A		
▶ Does the driver file contain a completed application form if hired after April 1, 1998?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Incomple
Does the driver file contain a copy of the driver's employment history for at least 3 years prior to workin	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Incomple
Does the driver file contain a copy of the driver's abstract dated within 30 days of the date of employn	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Does the driver file contain an annually updated driver's abstract?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Does the driver file contain a record of convictions of safety laws in the current year and each of the 4	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Does the driver file contain a record of all administrative penalties imposed on the driver under safety l	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Does the driver file contain a record of all collisions reportable to a Peace Officer involving a motor vel	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Convictio
Does the driver file contain a record of all training completed with respect to the operation of a	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Defensio

Worksheet Summary - [ABC Trucking Ltd, Driver File]

Summary Comments

Comments:
 Maintain a complete file for each driver that contains: Completed application form, 3 year employment history, annual driver's abstract, valid copy of the driver's licence, a record of all Provincial and Federal convictions relating to the operation of a motor vehicle, record of all collisions and training.]

Detail Comments

Question	Comment
Does the dri	Incomplete.
Does the dri	Incomplete.
Does the dri	Conviction for failing to report collision Feb 27, 2014.
Does the dri	Defensive driving only.

Buttons: Insert Standard Comment..., Undo All, Save, Help..., Close

Driver Information - [ABC Trucking Ltd]

Select Driver: **Doe, Peter** Driver Sample Size: 3

Driver Details:

Last Name: Doe
 First Name: Peter
 Date of Birth: 01 Oct 1963
 MVID: 3123-45678
 Licence #: 54321-678 Valid?:
 Licence Class: Class 1: Any motor vehicle, or combinat
 Licence Jurisdiction: Alberta
 Cond Endorsement: U - Completed Driver Education Course
 Licence Status: Active
 Date Hired: 05 Nov 2011

EEMV Certificate:
 Required: Valid?:
 Issue Date: Expiry Date:

Dangerous Goods Certificate:
 Required: Valid?:
 Issue Date: 30 Jan 2012 Expiry Date: 30 Jan 2015

Comments:

Buttons: New, Delete, Internal H of S..., Undo All, Cancel, Save

Driver File:

Question	Answer			Required	Comment
	Y	N	N/A		
Does the driver file contain a completed application form if hired after April 1, 1998?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Does the driver file contain a copy of the driver's employment history for at least 3 years prior to workin	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Does the driver file contain a copy of the driver's abstract dated within 30 days of the date of employr	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Does the driver file contain an annually updated driver's abstract?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Missing.
Does the driver file contain a record of convictions of safety laws in the current year and each of the 4	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="checkbox"/>	
Does the driver file contain a record of all administrative penalties imposed on the driver under safety l	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="checkbox"/>	
Does the driver file contain a record of all collisions reportable to a Peace Officer involving a motor vel	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="checkbox"/>	
Does the driver file contain a record of all injuries completed with respect to the operation of a	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="checkbox"/>	Incomple

Buttons: Help..., N/A, Worksheet Summary..., Undo All, Save, Close

Worksheet Summary - [ABC Trucking Ltd, Driver File]

Summary Comments

Comments:

Maintain a complete file for each driver that contains: Completed application form, 3 year employment history, annual driver's abstract, valid copy of the driver's licence, a record of all Provincial and Federal convictions relating to the operation of a motor vehicle, record of all collisions and training.

Detail Comments

Question	Comment
Does the dri	Missing.
Does the dri	PDIC only.

Buttons: **Insert Standard Comment...**, **Undo All**, **Save**, **Help...**, **Close**

Driver Information - [ABC Trucking Ltd]

Select Driver: **Jump, Don** **Driver Sample Size: 3**

Driver Details:

Last Name: **Jump**
 First Name: **Don**
 Date of Birth: **11 Jun 1959**
 MVID: **9733-45678**
 Licence #: **35692-678** Valid?:
 Licence Class: **Class 1: Any motor vehicle, or combinat**
 Licence Jurisdiction: **Alberta**
 Cond Endorsement: **Q - Air Brake Endorsement**
 Licence Status: **Active**
 Date Hired: **02 Jul 2102**

EEMV Certificate:
 Required: Valid?:
 Issue Date: Expiry Date:

Dangerous Goods Certificate:
 Required: Valid?:
 Issue Date: **30 Jan 2010** Expiry Date: **30 Jan 2013**

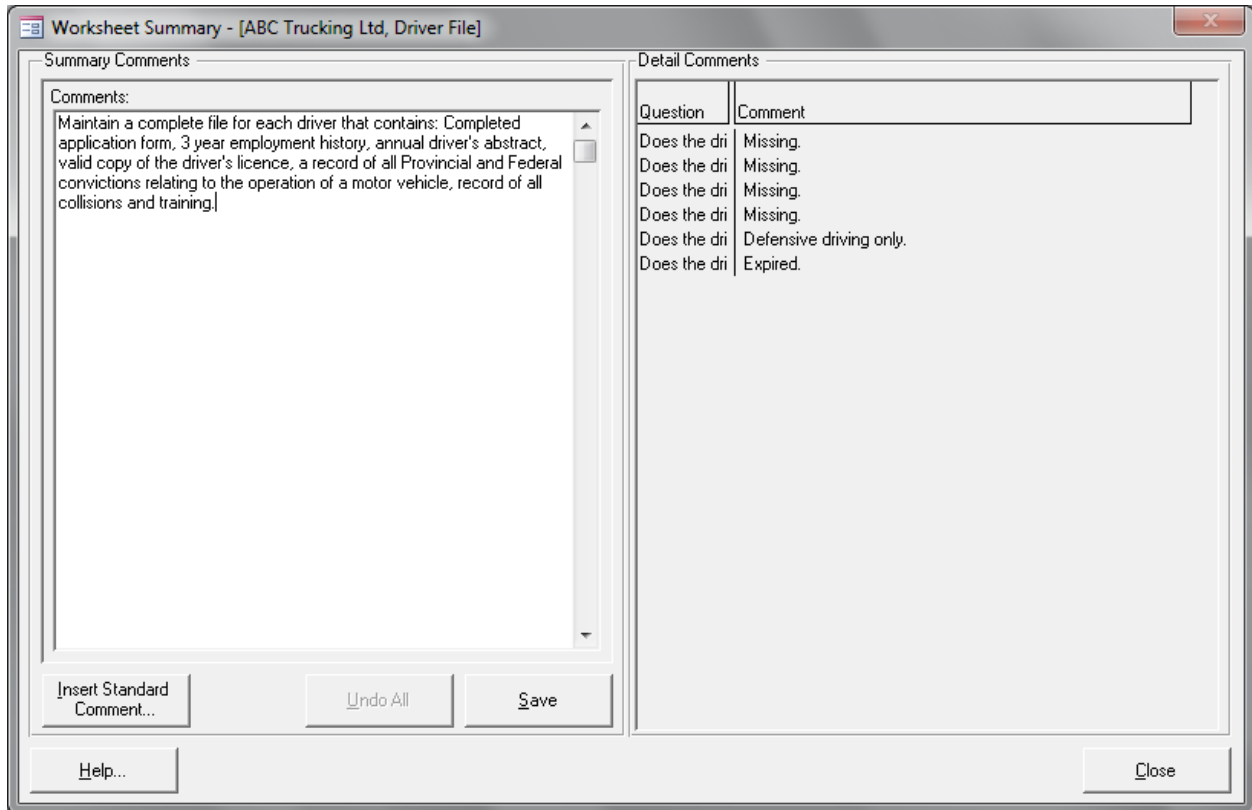
Comments:

Buttons: **New**, **Delete**, **Internal H of S...**, **Undo All**, **Cancel**, **Save**

Driver File:

Question	Answer			Required	Comment
	Y	N	N/A		
Does the driver file contain a completed application form if hired after April 1, 1998?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Missing.
Does the driver file contain a copy of the driver's employment history for at least 3 years prior to workin	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Missing.
Does the driver file contain a copy of the driver's abstract dated within 30 days of the date of employm	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Missing.
Does the driver file contain an annually updated driver's abstract?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Missing.
Does the driver file contain a record of convictions of safety laws in the current year and each of the 4	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Does the driver file contain a record of all administrative penalties imposed on the driver under safety l.	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Does the driver file contain a record of all collisions reportable to a Peace Officer involving a motor vel	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Does the driver file contain a record of all training completed with respect to the operation of a motor ve	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Refusive

Buttons: **Help...**, **N/A**, **Worksheet Summary...**, **Undo All**, **Save**, **Close**



Next . . .

- Review the process for examining *Hours of Service* in the next section.

MODULE 3

Hours of Service

3.1 Hours of Service: Section Outcomes and Guiding Questions

Section Outcomes

Once you have completed this section, you will be able to:

- Determine if the carrier has complied with certain “administrative” legislative requirements;
- Examine any “daily record” to determine the following:
 - If Federal or Provincial legislation applies;
 - If it is the type of record required by current legislation;
 - If it is true and accurate;
 - If it is completed as required (form and manner);
 - If there are any violations of the Provincial 13 and 15 hour rules or violations of the Federal 13, 14 and 16 hours rules;
 - If there are any violations of the Federal 70 and 120 hours rules.



Guiding Questions

As you review through this section, think about the following:

1. What role does the carrier have in maintaining daily logs? What role does the driver have in maintaining daily logs?
2. How do you determine if a driver has violated the driving rules contained with the Provincial or Federal legislation?
3. What information is required to be recorded in a daily log?

3.2 Hours of Service: Daily Records

Introduction

Analysis of a carrier's daily time records can be the most time consuming part of the audit. A thorough knowledge of the Federal and Provincial legislation is a must. Specific legislation that deals with the Hours of Service daily records is addressed in ARC's questions. Provincial and Federal sections that are similar are reviewed together.

IMPORTANT

Review Modules 7 & 8 of the Educational Manual as well as the "Alberta Reference Guide for Hours of Service Training Development" before continuing with this program material. It will provide you with a detailed understanding of Federal and Provincial Hours of Service compliance in Alberta. This information can be found on the web at:

<http://www.transportation.alberta.ca/671.htm>

And,

[http://www.transportation.alberta.ca/Content/docType276/Production/Hours_of Service Binder.pdf](http://www.transportation.alberta.ca/Content/docType276/Production/Hours_of_Service_Binder.pdf)

Maintaining Daily Logs

Drivers' Hours of Service Regulation
AR 317/2002 Section 9(1)

Subject to section 10, a carrier shall ensure that for each work day, a daily log is maintained by every driver employed or otherwise engaged by the carrier.

Explanation: The carrier is required to ensure that the driver is filling out the daily log in the prescribed manner and that it contains all the required information.

Commercial Vehicle Drivers Hours of Service Regulation
SOR/2005-313 Section 81(1)

Subject to subsection 14(1), a motor carrier shall require every driver to fill out and every driver shall fill out a daily log each day that accounts for all the driver's on-duty time and off-duty time for that day.

Explanation: The carrier and driver are required to ensure that the daily log is completed in the prescribed manner and that it contains all the required information.

False Daily Logs

Drivers' Hours of Service Regulation
AR 317/2002 Section 19

No person shall knowingly falsify or enter false information into a daily log.

Explanation: The information contained within the daily log must be accurate.

More than One Daily Log

Commercial Vehicle Drivers Hours of Service Regulation
SOR/2005-313 Section 86(1)

No motor carrier shall request, require or allow a driver to keep and no driver shall keep more than one daily log in respect of any day.

Explanation: There can only be one daily log per day.

Drivers' Hours of Service Regulation
AR 317/2002 Section 14

No driver shall maintain more than one daily log for each calendar day.

Explanation: There can only be one daily log per day.

Commercial Vehicle Drivers Hours of Service Regulation
SOR/2005-313 Section 86(2)

No motor carrier shall request, require or allow any person to enter and no person shall enter inaccurate information in a daily log, whether it is handwritten or produced using an electronic recording device, or falsify, mutilate or deface a daily log or supporting documents.

Explanation: A carrier and driver must ensure that the information contained within the daily log is accurate.

Current Information in a Daily Log

Drivers' Hours of Service Regulation
AR 317/2002 Section 9(4)(a)

The information required by subsection (3) must be entered in the daily log,
(a) in the case of the graph grid referred to in subsection (3)(a), at each change in a duty status referred to in the Schedule,

Explanation: The required information must be current to the last change in duty status.

Commercial Vehicle Drivers Hours of Service Regulation
SOR/2005-313 Section 82(2)

The motor carrier shall require that the driver records and the driver shall record in the daily log the hours in each duty status during the day covered by the daily log, in accordance with Schedule 2, and the location of the driver each time their duty status changes, as the information becomes known.

Explanation: The carrier and driver are required to ensure that the information is current to the last change in duty status (i.e. in a work shift).

Driving more than 13 Hours or after 15 Hours On-Duty

Drivers' Hours of Service Regulation
AR 317/2002 Section 6(2)(a) and (b)

Except as permitted by this Regulation, a driver shall not during the driver's work shift.

- (a) exceed 13 hours of driving time, or
- (b) drive at any time after the driver has been on duty for 15 or more consecutive hours.

Explanation: Provincially, the 13-hour and 15-hour rules state that a driver may not drive more than 13 hours and may not drive after being on duty 15 hours following eight consecutive hours off-duty (i.e. in a work shift).

Commercial Vehicle Drivers Hours of Service Regulation
SOR/2005-313 Section 13(1), (2) and (3)

- (1) No motor carrier shall request, require or allow a driver to drive and no driver shall drive after the driver has accumulated 13 hours of driving time unless the driver takes at least 8 consecutive hours of off-duty time before driving again.
- (2) No motor carrier shall request, require or allow a driver to drive and no driver shall drive after the driver has accumulated 14 hours of on-duty time unless the driver takes at least 8 consecutive hours of off-duty time before driving again.
- (3) No motor carrier shall request, require or allow a driver to drive and no driver shall drive after 16 hours of time have elapsed between the conclusion of the most recent period of 8 or more consecutive hours of off-duty time and the beginning of the next period of 8 or more consecutive hours of off-duty time.

Explanation:

Federally, the 13-hour, 14-hour and 16-hour rules state that a driver may not drive more than 13 hours and may not drive after being on-duty 14 hours or after 16 hours have elapsed since the last eight or more consecutive hours off-duty (i.e. in the work shift). Also, see sections 12(1) and 12(2).



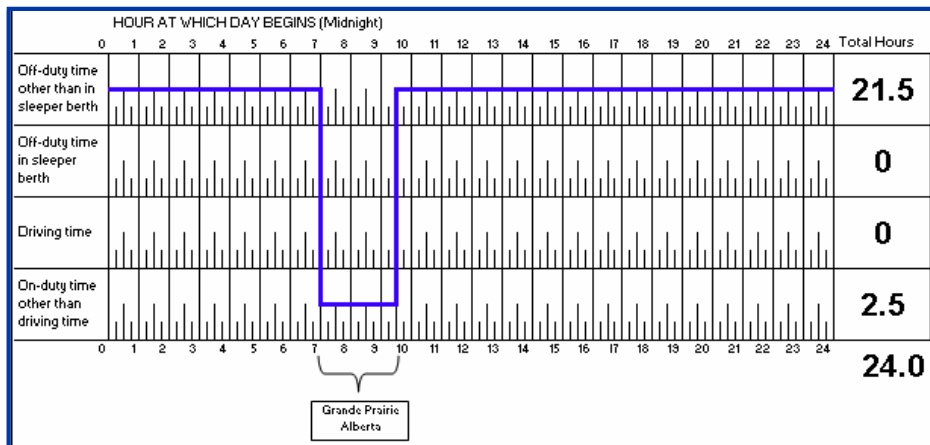
**Commercial Vehicle Drivers Hours of Service Regulation
SOR/2005-313 Section 26 and 27**

Subject to section 28, no motor carrier shall request, require or allow a driver who is following cycle 1 to drive and no driver who is following cycle 1 shall drive after the driver has accumulated 70 hours of on-duty time during any period of 7 days or, if the driver has reset the cycle in accordance with section 28, during the period of the cycle that was ended.

Subject to section 28, no motor carrier shall request, require or allow a driver who is following cycle 2 to drive and no driver who is following cycle 2 shall drive after the driver has accumulated 120 hours of on-duty time during any period of 14 days or, if the driver has reset the cycle in accordance with section 28, during the period of the cycle that was ended; or 70 hours of on-duty time without having taken at least 24 consecutive hours of off-duty time.

Explanation: A motor carrier may not permit or require a driver to drive and no driver shall drive, after having been on duty 70 hours in any 7 consecutive days, or 120 hours in 14 consecutive days. The cycle is determined by the carrier and can be reset with the appropriate time off duty.

Sample Daily Log



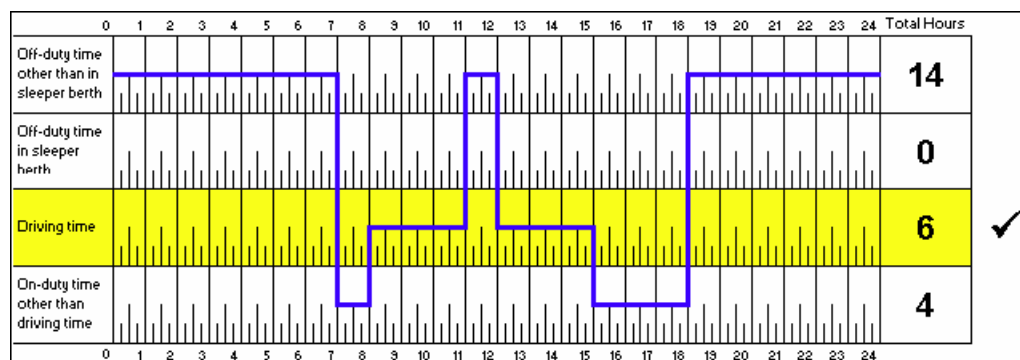
Required Information in a Daily Log

Drivers' Hours of Service Regulation
AR 317/2002 Section 9(3)

The following information must be entered in a daily log:

- (a) a graph grid in the form set out in the Schedule;
- (b) the date;
- (c) the odometer reading at the commencement of driving;
- (d) the total number of kilometres or miles driven by the driver during the work day;
- (e) in the case where a vehicle is being operated by co-drivers, the total number of hours that the vehicle has traveled during a work day;
- (f) the vehicle's unit or licence plate number;
- (g) the name of the carrier for whom the driver worked during the work day;
- (h) the name and signature of the driver;
- (i) the name of any co-driver;
- (j) the time of commencement of the work shift and the location at which the driver commenced the work shift;
- (k) the address of the principal place of business and of the home terminal of each carrier for whom the driver is employed or otherwise engaged during the work day.

Explanation: The driver is required to complete the daily log in the prescribed format, ensuring all the required information is included. All the information is vital to determine if violations have occurred.



Commercial Vehicle Drivers Hours of Service Regulation
SOR/2005-313 Section 82

At the beginning of each day, a motor carrier shall require that a driver enters legibly and the driver shall enter legibly the following information in the daily log:

- (a) the date, the start time if different than midnight, the name of the driver and, if the driver is a member of a team of drivers, the names of the co-drivers;
 - (b) in the case of a driver who is not driving under the provisions of an oil well service permit, the cycle that the driver is following;
 - (c) the commercial vehicle licence plates or unit numbers;
 - (d) the odometer reading of each of the commercial vehicles operated by the driver;
 - (e) the names and the addresses of the home terminal and the principal place of business of every motor carrier by whom the driver was employed or otherwise engaged during that day;
 - (f) in the "Remarks" section of the daily log, if the motor carrier or driver was not required to keep a daily log immediately before the beginning of the day, the number of hours of off-duty time that were accumulated by the driver each day during the 14 days immediately before the beginning of the day; and
 - (g) if applicable, a declaration in the "Remarks" section of the daily log that states that the driver is deferring off-duty time under section 16 and that clearly indicates whether the driver is driving under day one or day two of that time.
- (2) The motor carrier shall require that the driver records and the driver shall record in the daily log the hours in each duty status during the day covered by the daily log, in accordance with Schedule 2, and the location of the driver each time their duty status changes, as that information becomes known.
 - (3) At the end of each day, the motor carrier shall require that the driver records and the driver shall record the total hours for each duty status and the total distance driven by the driver that day, excluding the distance driven in respect of the driver's personal use of the vehicle, as well as the odometer reading at the end of the day and sign the daily log attesting to the accuracy of the information recorded in it.

Explanation: Note the difference in wording between these two sections. Additional requirements not found in the Provincial legislation includes: the start time if different than midnight, the cycle that the driver is following, the off-duty and on-duty hours from the previous 14 days when a log wasn't required, and deferred time and day.

Commercial Vehicle Drivers Hours of Service Regulation
SOR/2005-313 Section 14

- (1) A motor carrier shall ensure that a driver takes and the driver takes at least 10 hours of off-duty time in a day.
- (2) Off-duty time other than the mandatory 8 consecutive hours may be distributed throughout the day in blocks of no less than 30 minutes each.
- (3) The total amount of off-duty time taken by a driver in a day shall include at least 2 hours of off-duty time that does not form part of a period of 8 consecutive hours of off-duty time required by section 13.

Explanation: A driver is required to have 10 hours off in a day, 8 of which needs to be consecutive prior to starting a shift.

Commercial Vehicle Drivers Hours of Service Regulation
SOR/2005-313 Section 25

Subject to section 28, no motor carrier shall request, require or allow a driver to drive and not driver shall drive unless the driver has taken at least 24 consecutive hours of off-duty time in the preceding 14 days.

Explanation: A driver is required to have 24 hours off in 14 days.

ARC Audit – Hours of Service Daily Records

The *Hours of Service Daily Records* screen is used to enter Hours of Service data from the time records collected from the carrier.

What to do?

1. From the Driver Information screen, select the driver from the drop down menu to enter Hours of Service data.
2. Then, select the “**Internal Hours of Service**” tab. This carrier has a Federal Operating Status. *(Note: the screens and questions would be different for a Provincial carrier)*. You should now see the Hours of Service Daily Records screen (Figure 1).

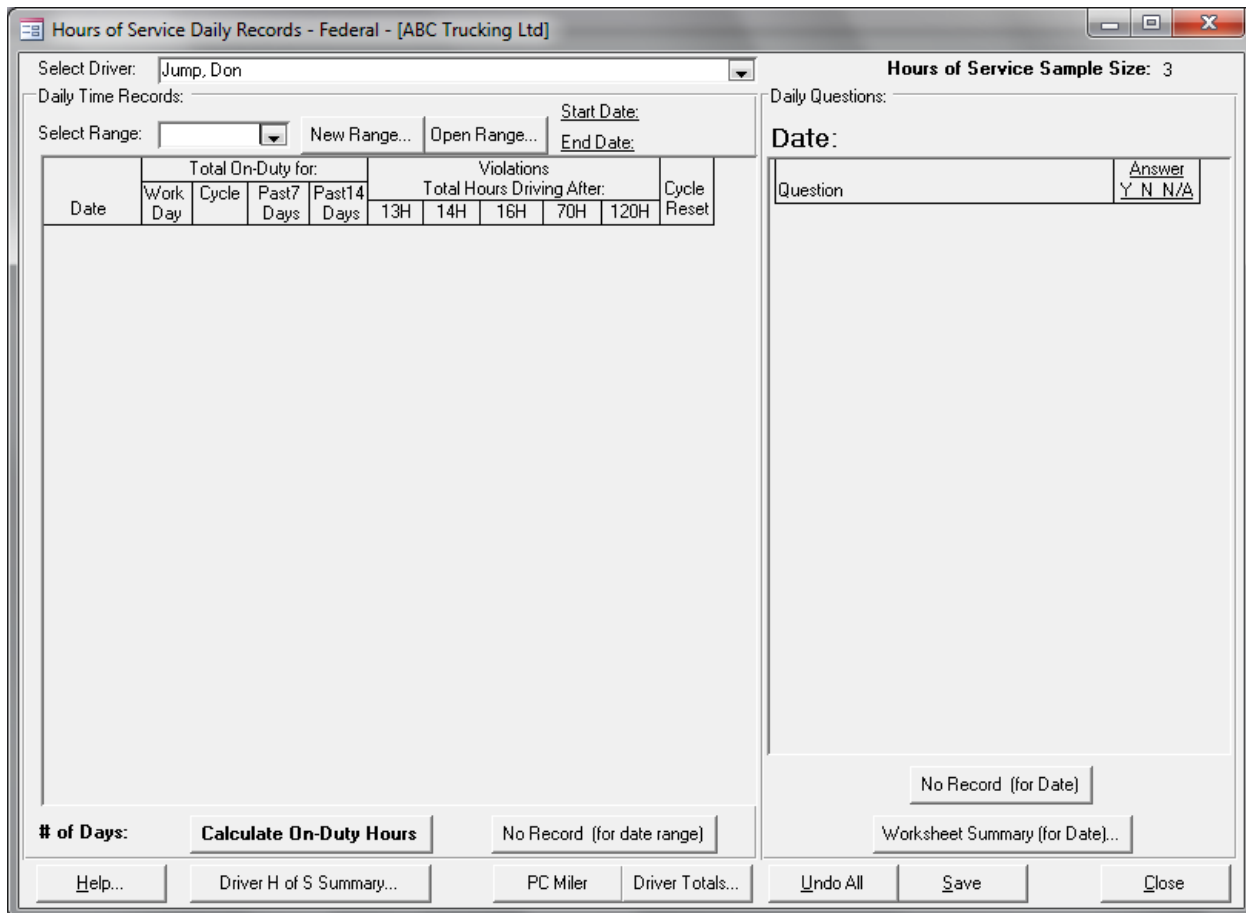


Figure 1: Hours of Service Daily Records Screen

- From this screen select “[New Range](#)”. Now, the Date Range Details screen (Figure 2) will appear.

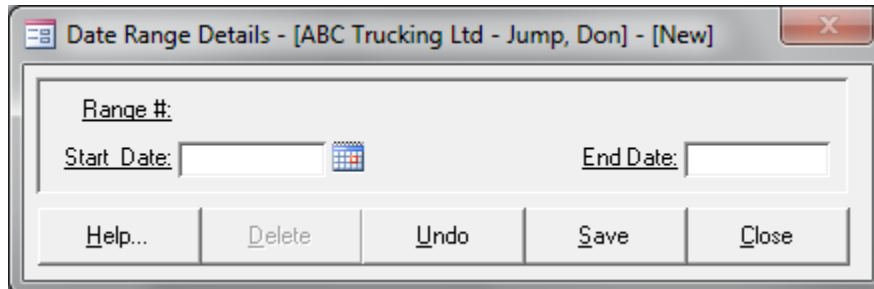


Figure 2: Data Range Details Screen

- Enter the appropriate Start Date and End Date from the driver’s daily logs that you plan to analyze. Generally this will be for a given month.
- Select [Save](#) and then [Close](#). This will return you to the *Hours of Service Daily Records* screen (Figure 1).
- On this screen (Figure 3), you will enter the number of on-duty hours from the driver’s daily log for each day in the *Daily Time Records* part of the screen. The program will keep a running total of the hours accumulated in the past 7 days and 14 days.
- Answer each question using the answer guidelines provided in the “[Help](#)” [ARC Reference Manual](#).
- Input the hours driven over 13 hours or after 14, or 16 hours on duty, as the case warrants. If the daily log is considered to fall under the Federal Hours of Service legislation, then you will also need to input the number of hours driven that are over 70 hours in 7 days, and 120 hours in 14 days.

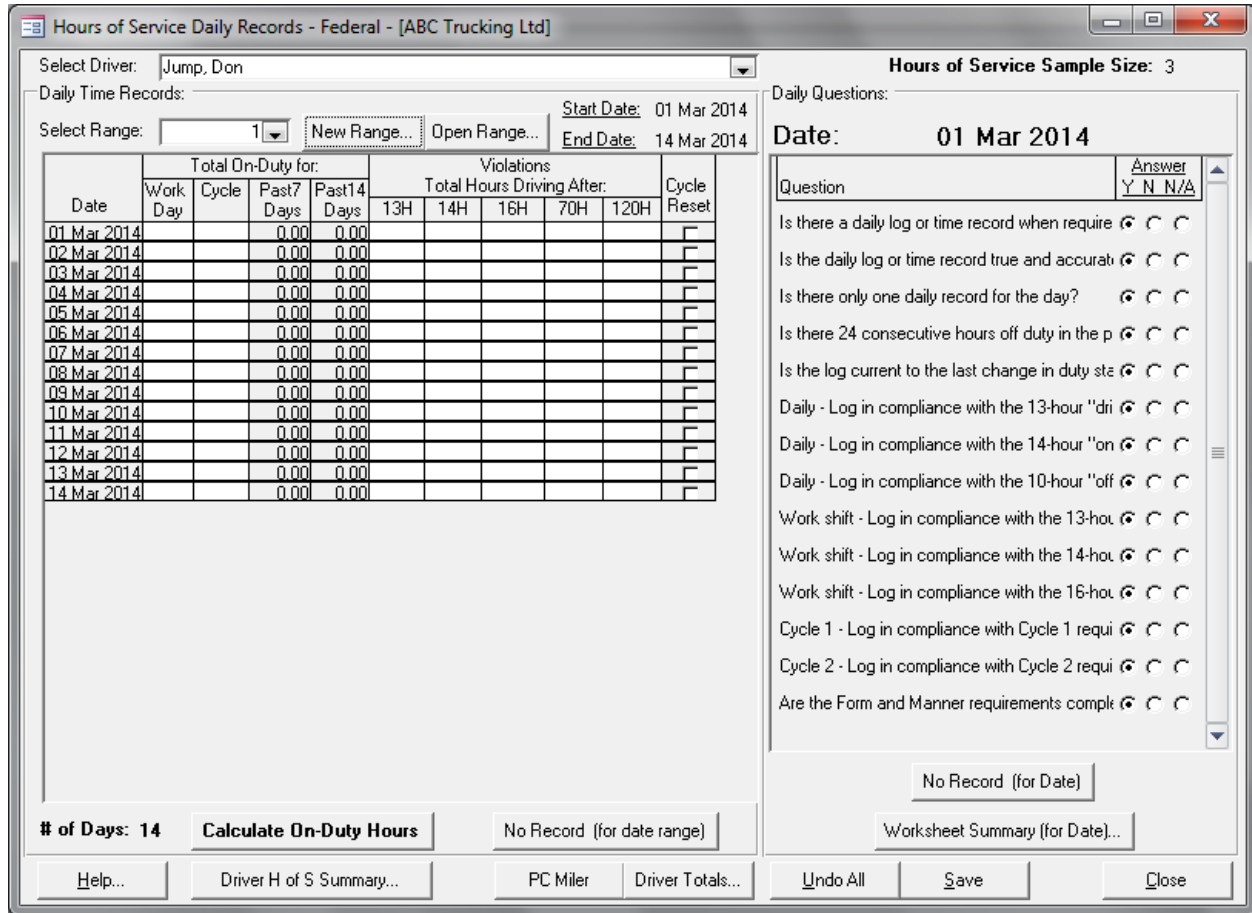


Figure 3: Hours of Service Daily Records Screen

9. Select the white box beside each day if a cycle reset occurs under the Federal legislation.
10. [Save](#) your data.
11. Once you are satisfied with your work, you can move onto the next driver by selecting his name from the drop down menu. You will then start a new monthly record for this new driver, using the same steps that you have just completed.
12. After you have completed analyzing all the time records for all of the drivers in your sample, select [Close](#) to return to the *Driver Details* Screen.

13. From the *Driver Details* screen, you will want to return to the *Carrier Details* screen, so just select [Close](#).

Note: All questions answered “No” require a comment to be entered. Select the “[Worksheet Summary \(for Date\)](#)” tab. You should now see the *Worksheet Summary Screen (Figure 4)*. Add comments to explain your “No” answers. Be prepared to discuss these with the carrier. Use the 24-hour clock when referencing times for any duty status or supporting document information. Select [Save](#) and then [Close](#) to return to the previous screen.

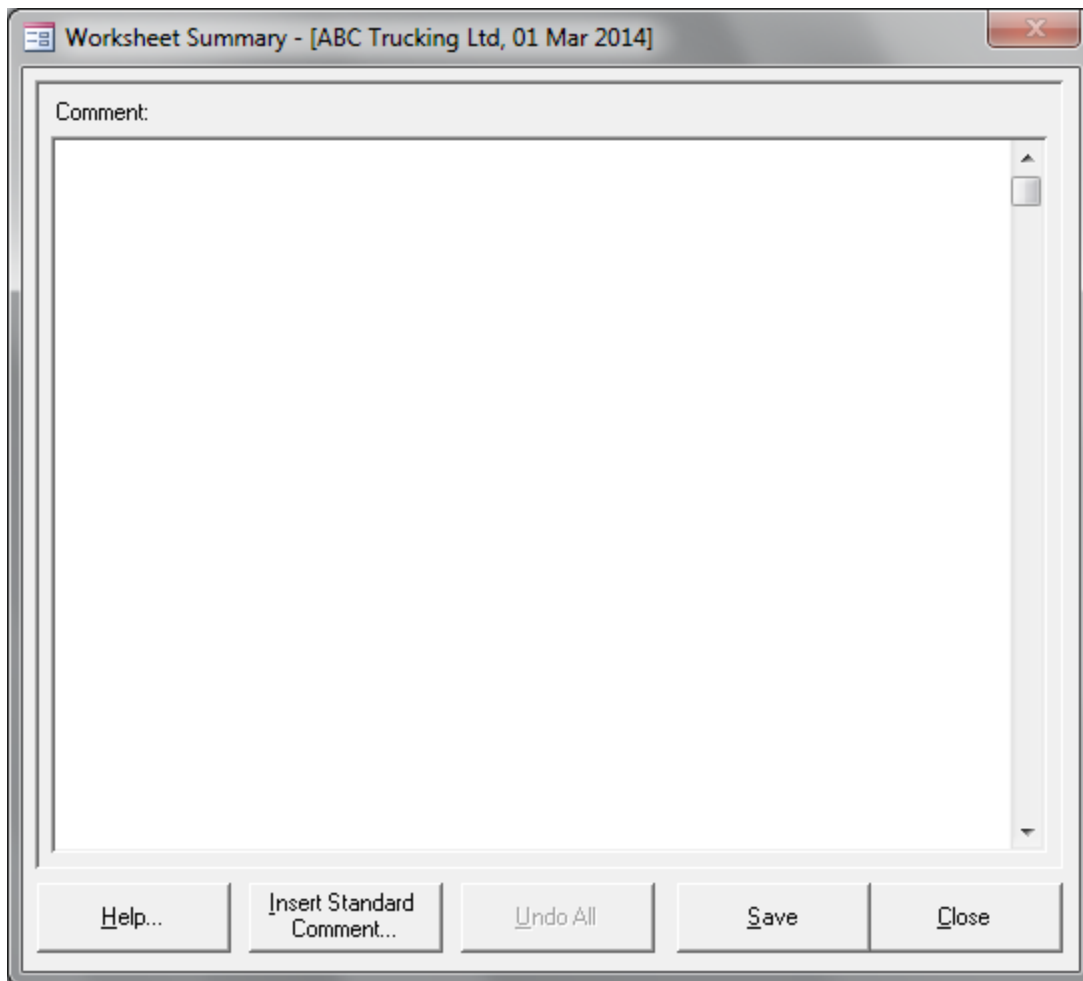


Figure 4: Worksheet Summary Screen

Note: If any Federal Hours of Service violations are identified as having taken place in the U.S., a notation should be made that the violation took place in the U.S. Comment in the “Worksheet Summary (for Date)” comment field and specify (at least) the following: a Federal violation has taken place, the location, and the supporting documents used for verification. Specify in the “Action Plan” that Federal Hours of Service violations have taken place in the U.S., and reference drivers’ names and indicate that the carrier is responsible for preventing such violations.

Next . . .

- Apply what you have learned by completing the Quiz portion of *Section 3.2.1: Hours of Service*.

IMPORTANT

BEFORE proceeding please review the contents of section 14 and 15 in the Help ARC Reference Manual.



3.2.1 Quiz: Hours of Service

This assignment will familiarize you with entering the driver hours of service information within the ARC program. Using the information just presented in section 3.2, start the ARC program and login. Remember, you can also use the ARC program's built-in reference manual to assist you as well.

To successfully finish this quiz, you will need to:

- Start the program;
- Login to ARC;
- Select the [Facility Audit](#) tab;
- Select the audit for the carrier ABC Trucking Ltd;
- Select the [Carrier Details](#) tab;
- Select the [Driver Files](#) tab;
- Select the [Hours of Service](#) tab;
- Enter the appropriate data from the information provided below;
- Save your work.

Now, complete your assignment using the information below.

1. The carrier has three drivers, John Smith, Peter Doe, and Don Jump. Each driver is assigned to one of the trucks. No one else drives that vehicle.

Note: Carriers use a variety of documents in their day-to-day operations that can be used to support a driver's daily log, such as pay records, fuel statements, custom receipts, hotel receipts, phone bills, weigh slips, traffic tickets, roadside inspections, bills of lading, driver trip sheets, etc. Samples are provided below:

STRAIGHT BILL OF LADING - NOT NEGOTIABLE

FROM Alberta Egg Producers (Shipper) DATE Sept 13/78

ADDRESS _____

ORIGIN Edmonton (City) _____ (Province) _____ (Postal Code)

Received at the point shown on the date specified and from the shipper mentioned herein, the property herein described in apparent good order, except as noted (contents and conditions of contents of packages unknown) marked, consigned and destined as indicated below, which said carrier agrees to carry and deliver to the said consignee at the said destination if on its own route, otherwise to deliver to another carrier on the route to said destination, subject to the classification and tariffs in effect on the date of shipment. It is mutually agreed as to each carrier of all or any of said property over all or any portion of said route to destination, and as to each party at any time interested in all or any of said property, that every service to be performed hereunder shall be subject to all the conditions not prohibited by law, whether printed or written which are here agreed to by the shipper and accepted for himself and his assigns.

SHIPPER'S B/L # _____

GTL QUOTE NUMBER _____

GTL SHIPPER'S NUMBER _____

GTL CUSTOMER NUMBER _____

SHIPPER TO CHECK
 PREPAID COLLECT
If not indicated the shipment will automatically move collect.

C.O.D. AMOUNT
 \$ _____

AUXILIARY SERVICE REQUIRED
 REFRIGERATION HEAT
 CONTROLLED TEMPERATURE AT °C DEGREES

CONSIGNEE TO: Two Hills Dry Eggs Ltd

ADDRESS _____

DESTINATION Two Hills (City) _____ (Province) _____ (Postal Code)

ROUTING _____

NO. OF PACKAGES	DESCRIPTION OF ARTICLES / PROPER SHIPPING NAME	DANGEROUS GOODS			WEIGHT POUNDS	AMOUNT
		CLASS	P.I.N.	PKG. GRP.		
1500	Cartons Fresh Eggs					385

CLASS OF PLACARDS REQUIRED: _____

SPECIAL AGREEMENT BETWEEN SHIPPER AND CARRIER, ADVISE HERE _____

SHIPPER'S 24 HOUR EMERGENCY PHONE NO. _____

DECLARED VALUATION \$ _____
AVAILABLE AT ADDITIONAL COST

Maximum liability of carrier is \$2.00 per lb. (\$4.41 per kilogram)

THE CONTRACT FOR THE CARRIAGE OF THE GOODS LISTED IN THIS BILL OF LADING IS COVERED BY REGULATIONS IN FORCE IN THE JURISDICTION AT THE TIME AND PLACE OF SHIPMENT AND IS SUBJECT TO THE CONDITIONS SET OUT IN SUCH REGULATIONS.

NOTICE OF CLAIM

(a) No carrier is liable for loss, damage or delay to any goods under the Bill of Lading unless notice thereof setting out particulars of the origin, destination and date of shipment of the goods and the estimated amount claimed in respect of such loss, damage or delay is given in writing to the originating carrier or the delivering carrier within sixty (60) days after the delivery of the goods, or, in the case of failure to make delivery, within nine (9) months from the date of shipment.

(b) The final statement of the claim must be filed within nine (9) months from the date of shipment together with a copy of the paid freight bill.

SHIPPER: AEP CARRIER: _____

PER (SIGNATURE): Jah PER: Jah

Figure 1: Bill of Lading from Alberta Egg Producers

DRIVER RUNNING ORDER

TIME IN 10:80 TIME OUT 10:80

TRIP # UU 153 DATE: Sept 13/95 CALL-IN TIME: _____

TRACTOR # _____ TRL # _____ CONV. # _____ TRL # _____ CONV. # _____ TRL # _____

DRIVERS _____ AND _____

FROM Edmonton TO Two Hills

VIA _____

BILLERS TIME: _____ **SPECIAL INSTRUCTIONS TO DRIVERS**

Check weight & seals before departure, Take regular route to _____
 unless otherwise specified above. If delayed enroute, call nearest terminal of destination & advise nature of delay

Keep temp at 38°F

TEMPERATURE RECORD		
DRIVER	TIME	TEMP
<u>Frisk</u>	<u>10:30</u>	<u>39°F</u>
<u>Rout</u>	<u>11:30</u>	<u>38°F</u>

* CHECK FOR DROP-OFFS

LAYOVER POINT	SPECIAL INSTRUCTIONS	TYPE OF LOAD (X)
DRY LINE <input type="checkbox"/> _____ HEATERS <input type="checkbox"/> # _____ REEFER SETTING <input checked="" type="checkbox"/> <u>38°F</u> HEAT KINGS SETTING <input type="checkbox"/> _____	<u>Must deliver before 1300HRS</u>	
	SPECIAL LOAD	SPECIAL LOAD

EVERY STOP SHOWN ON MPH CARD MUST BE MARKED TO CHECK WITH DRIVER'S TRIP TICKET.

PLACARDS: TRL. NO. _____	CLASS _____	CLASS _____	CLASS _____
TRL. NO. _____	CLASS _____	CLASS _____	CLASS _____
TRL. NO. _____	CLASS _____	CLASS _____	CLASS _____

EMERGENCY HEATER ON: TRL. NO. _____ DISPATCHED BY Pet

TRL. NO. _____ AXLE WEIGHTS _____

TRL. NO. _____

SEALS NO _____

Figure 2: Driver Running Order to Two Hills

3.2.1 Quiz: Hours of Service

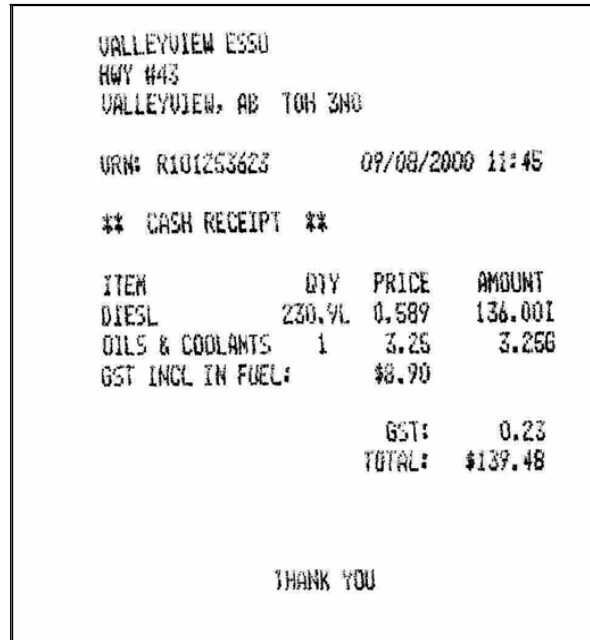


Figure 3: Fuel Receipt

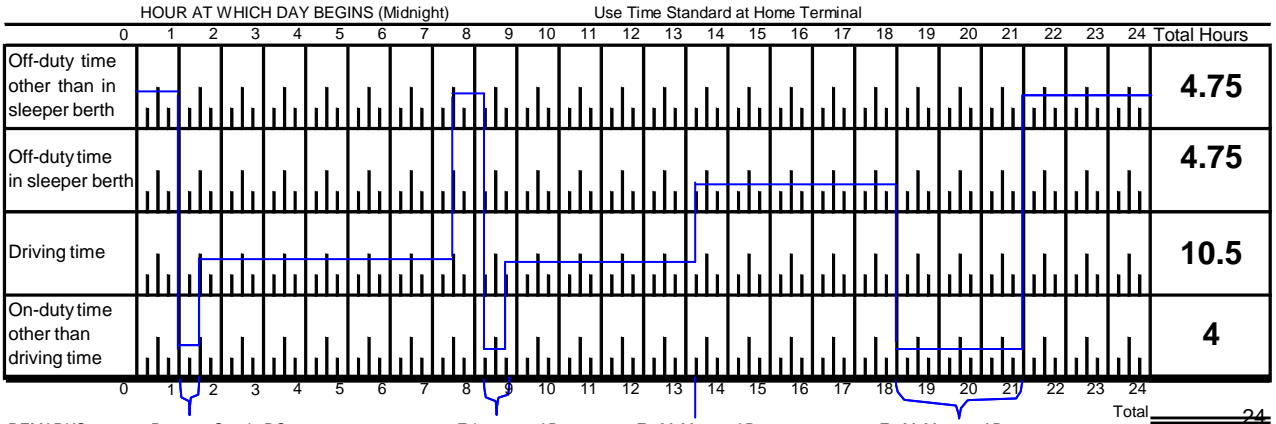
- Review the time records, daily logs and supporting documents for all three drivers and enter the information from these documents into the ARC program. Look for violations under the appropriate legislation and record your findings.



MOTOR VEHICLE OPERATOR'S DAILY LOG

Date: **03 MAR 2014**

Motor Carrier: ABC Trucking Ltd.		Odometer Start: 100880
Principal Address:	Vehicle Plate or Unit #: Unit 1	Odometer Finish: 101780
Home Terminal Address: 8537 129th St Calgary, AB T4N 1V0	Cycle 1 (7 days) <input checked="" type="checkbox"/> Cycle 2 (14 days)	Total Distance Today: 900 km



REMARKS Dawson Creek, BC Edmonton, AB Ft. McMurray AB Ft. McMurray, AB Total 24

DAILY DEFERRAL USED: Day 1 Day 2

Other Motor Carrier (Name & Address)

 Name of Co-Driver _____

PERSONAL USE OF COMMERCIAL VEHICLE	
Start	End
Odometer	Odometer

PREVIOUS DAYS' TIME RECORDS														
Previous Day (first = 1)	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Total Hours On-Duty														
Total Hours Off-Duty														

John Smith

Printed Name of Driver

John Smith

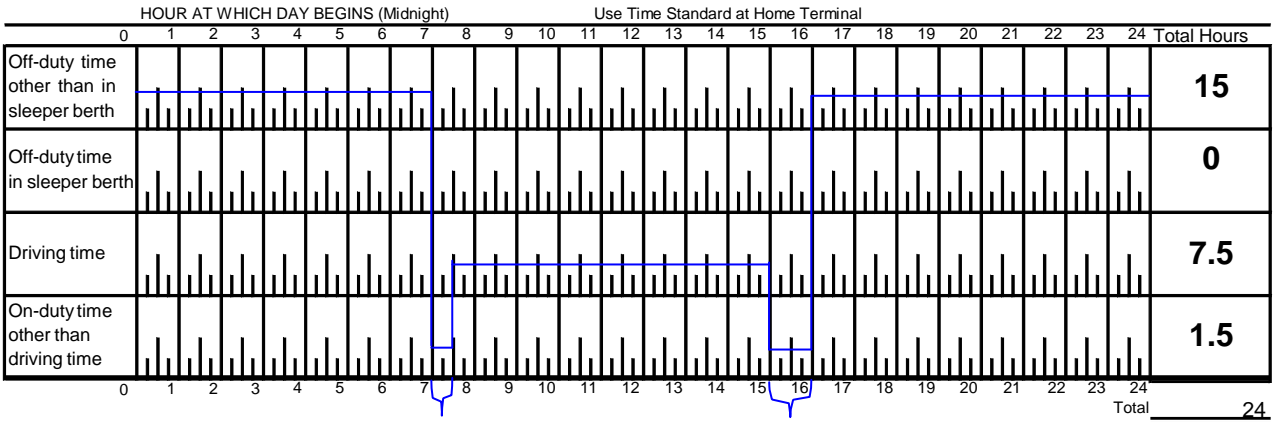
Signature of Driver (Certified True & Correct)

3.2.1 Quiz: Hours of Service

MOTOR VEHICLE OPERATOR'S DAILY LOG

Date: 04 MAR 2014

Motor Carrier: ABC Trucking Ltd.		Odometer Start: 101780
Principal Address: 8537 129th St Calgary, AB T4N 1V0		Vehicle Plate or Unit #: Unit 1
Home Terminal Address: 8537 129th St Calgary, AB T4N 1V0	Cycle 1 (7 days) <input checked="" type="checkbox"/>	Cycle 2 (14 days) <input type="checkbox"/>
		Odometer Finish: 102510
		Total Distance Today: 730 km



REMARKS Fort McMurray, AB Calgary, AB

DAILY DEFERRAL USED: Day 1 Day 2

Other Motor Carrier (Name & Address) _____
 Name of Co-Driver _____

PERSONAL USE OF COMMERCIAL VEHICLE	
Start	End
Odometer	Odometer

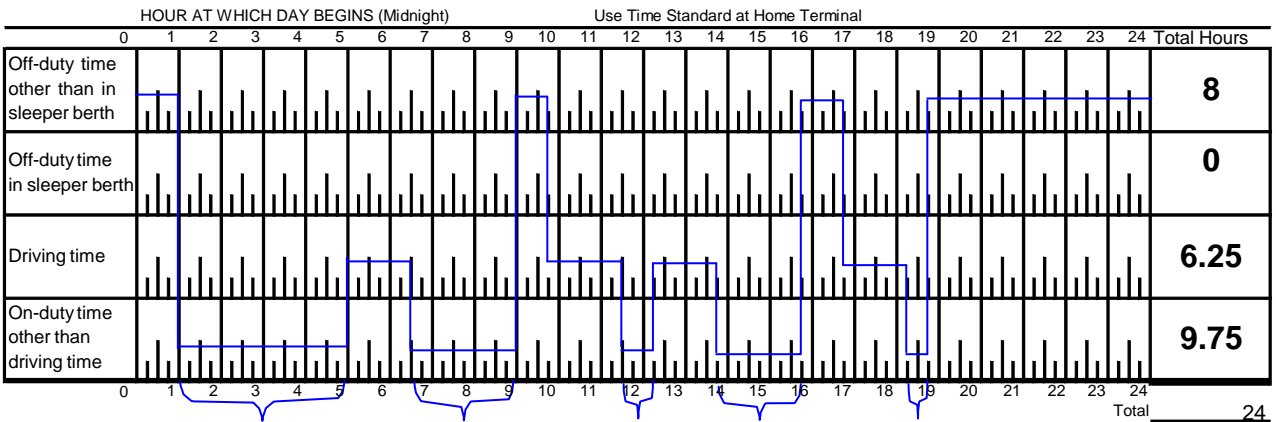
PREVIOUS DAYS' TIME RECORDS														
Previous Day (first = 1)	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Total Hours On-Duty														
Total Hours Off-Duty														

John Smith
 Printed Name of Driver
John Smith
 Signature of Driver (Certified True & Correct)

MOTOR VEHICLE OPERATOR'S DAILY LOG

Date: 05 MAR 2014

Motor Carrier: ABC Trucking Ltd.		Odometer Start: 102510
Principal Address: 8537 129th St Calgary, AB T4N 1V0		Vehicle Plate or Unit #: Unit 1
Home Terminal Address: 8537 129th St Calgary, AB T4N 1V0	Cycle 1 (7 days) <input checked="" type="checkbox"/>	Cycle 2 (14 days) <input type="checkbox"/>
		Odometer Finish: 103092
		Total Distance Today: 582 km



REMARKS Calgary, AB Red Deer, AB Edmonton, AB Red Deer, AB Calgary, AB

DAILY DEFERRAL USED: Day 1 Day 2

Other Motor Carrier (Name & Address) _____
 Name of Co-Driver _____

PERSONAL USE OF COMMERCIAL VEHICLE	
Start	End
Odometer	Odometer

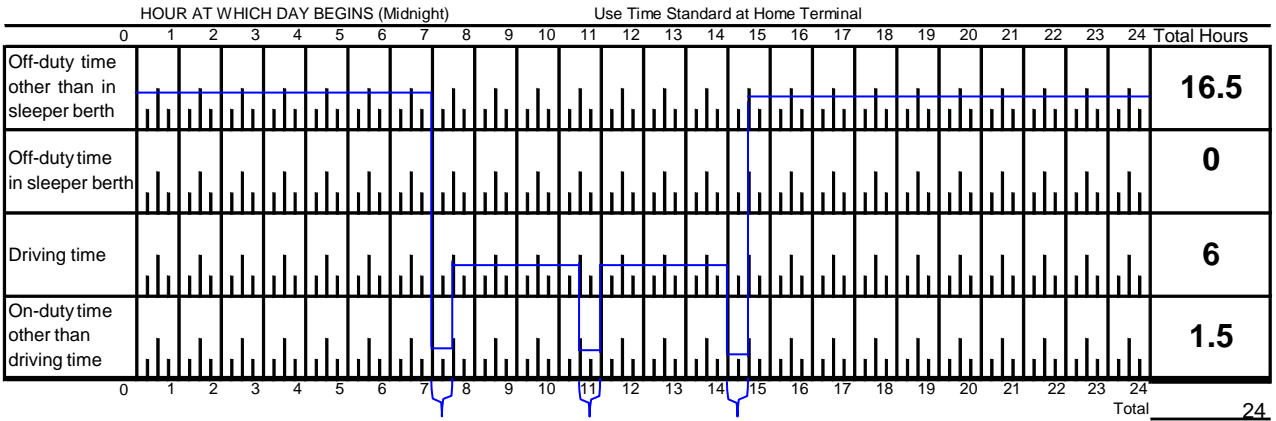
PREVIOUS DAYS' TIME RECORDS														
Previous Day (first = 1)	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Total Hours On-Duty														
Total Hours Off-Duty														

John Smith
 Printed Name of Driver
John Smith
 Signature of Driver (Certified True & Correct)

MOTOR VEHICLE OPERATOR'S DAILY LOG

Date: **06 MAR 2014**

Motor Carrier: ABC Trucking Ltd.			Odometer Start: 103092
Principal Address: 8537 129th St Calgary, AB T4N 1V0		Vehicle Plate or Unit #: Unit 1	Odometer Finish: 103677
Home Terminal Address: 8537 129th St Calgary, AB T4N 1V0		Cycle 1 (7 days) <input checked="" type="checkbox"/>	Cycle 2 (14 days) <input type="checkbox"/>
			Total Distance Today: 585 km



REMARKS: Calgary, AB Medicine Hat, AB Calgary, AB

DAILY DEFERRAL USED: Day 1 _____ Day 2 _____

Other Motor Carrier (Name & Address) _____

 Name of Co-Driver _____

PERSONAL USE OF COMMERCIAL VEHICLE	
Start	End
Odometer	Odometer

PREVIOUS DAYS' TIME RECORDS														
Previous Day (first = 1)	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Total Hours On-Duty														
Total Hours Off-Duty														

John Smith
 Printed Name of Driver

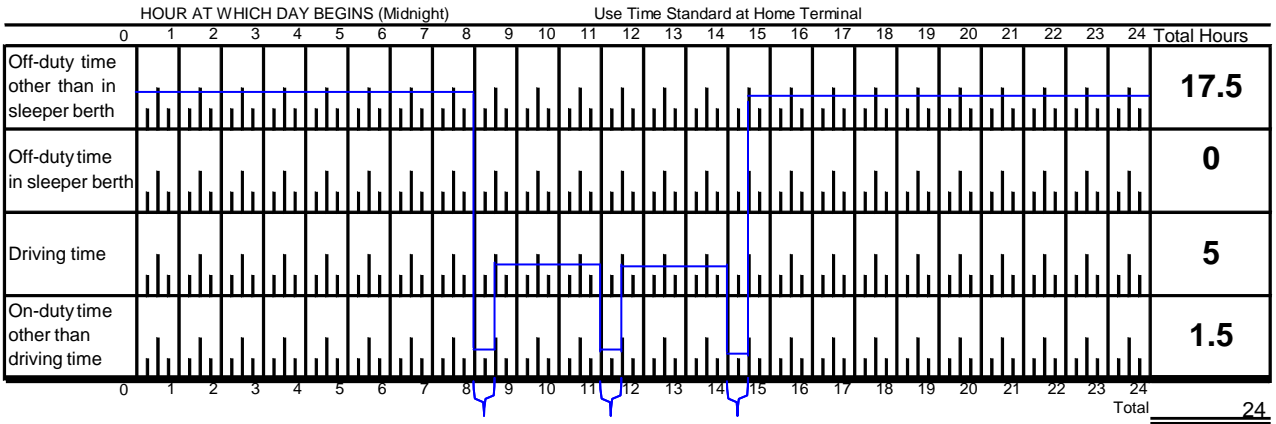
John Smith
 Signature of Driver (Certified True & Correct)

3.2.1 Quiz: Hours of Service

MOTOR VEHICLE OPERATOR'S DAILY LOG

Date: **07 MAR 2014**

Motor Carrier: ABC Trucking Ltd.		Odometer Start: 103677
Principal Address: 8537 129th St Calgary, AB T4N 1V0		Vehicle Plate or Unit #: Unit 1
Home Terminal Address: 8537 129th St Calgary, AB T4N 1V0	Cycle 1 (7 days) <input checked="" type="checkbox"/>	Cycle 2 (14 days) <input type="checkbox"/>
		Odometer Finish: 104217
		Total Distance Today: 540 km



REMARKS: Calgary, AB Golden, BC Calgary, AB

DAILY DEFERRAL USED: Day 1 Day 2

Other Motor Carrier (Name & Address) _____
 Name of Co-Driver _____

PERSONAL USE OF COMMERCIAL VEHICLE	
Start	End
Odometer	Odometer

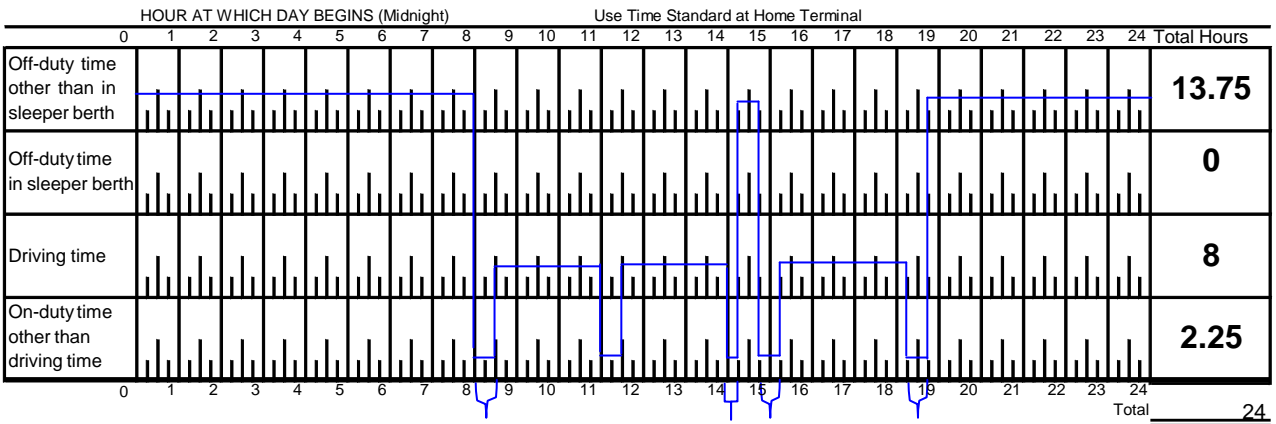
PREVIOUS DAYS' TIME RECORDS														
Previous Day (first = 1)	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Total Hours On-Duty														
Total Hours Off-Duty														

John Smith
 Printed Name of Driver
John Smith
 Signature of Driver (Certified True & Correct)

MOTOR VEHICLE OPERATOR'S DAILY LOG

Date: **08 MAR 2014**

Motor Carrier: ABC Trucking Ltd.		Odometer Start: 104217
Principal Address: 8537 129th St Calgary, AB T4N 1V0		Vehicle Plate or Unit #: Unit 1
Home Terminal Address: 8537 129th St Calgary, AB T4N 1V0	Cycle 1 (7 days) <input checked="" type="checkbox"/>	Cycle 2 (14 days) <input type="checkbox"/>
		Odometer Finish: 105050
		Total Distance Today: 833 km



DAILY DEFERRAL USED: Day 1 Day 2

Other Motor Carrier (Name & Address) _____
 Name of Co-Driver _____

PERSONAL USE OF COMMERCIAL VEHICLE	
Start	End
Odometer	Odometer

PREVIOUS DAYS' TIME RECORDS														
Previous Day (first = 1)	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Total Hours On-Duty														
Total Hours Off-Duty														

John Smith

Printed Name of Driver

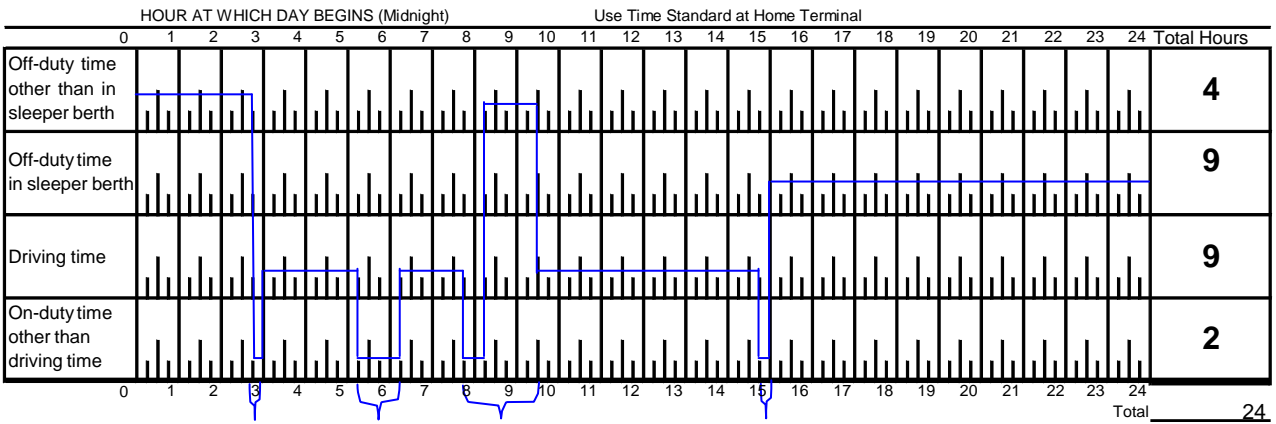
John Smith

Signature of Driver (Certified True & Correct)

MOTOR VEHICLE OPERATOR'S DAILY LOG

Date: **09 MAR 2014**

Motor Carrier: ABC Trucking Ltd.		Odometer Start: 105050
Principal Address: 8537 129th St Calgary, AB T4N 1V0		Vehicle Plate or Unit #: Unit 1
Home Terminal Address: 8537 129th St Calgary, AB T4N 1V0	Cycle 1 (7 days) <input checked="" type="checkbox"/>	Cycle 2 (14 days) <input type="checkbox"/>
		Odometer Finish: 106023
		Total Distance Today: 973 km



DAILY DEFERRAL USED: Day 1 Day 2

Other Motor Carrier (Name & Address) _____
 Name of Co-Driver _____

PERSONAL USE OF COMMERCIAL VEHICLE	
Start	End
Odometer	Odometer

PREVIOUS DAYS' TIME RECORDS														
Previous Day (first = 1)	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Total Hours On-Duty														
Total Hours Off-Duty														

John Smith

Printed Name of Driver

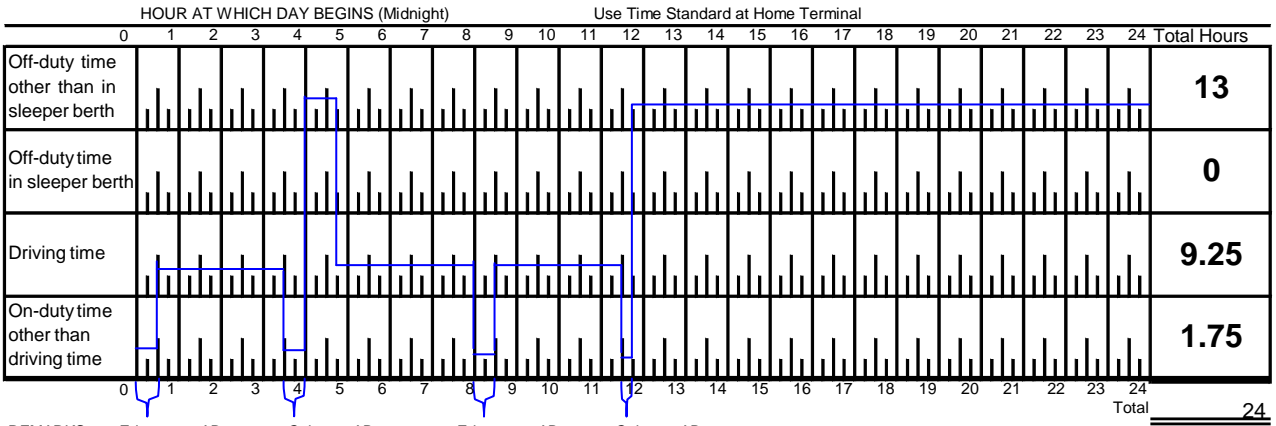
John Smith

Signature of Driver (Certified True & Correct)

MOTOR VEHICLE OPERATOR'S DAILY LOG

Date: 10 MAR 2014

Motor Carrier: ABC Trucking Ltd.		Odometer Start: 106023
Principal Address: 8537 129th St Calgary, AB T4N 1V0	Vehicle Plate or Unit #: Unit 1	Odometer Finish: 106902
Home Terminal Address: 8537 129th St Calgary, AB T4N 1V0	Cycle 1 (7 days) <input checked="" type="checkbox"/> Cycle 2 (14 days)	Total Distance Today: 879 km



REMARKS Edmonton, AB Calgary, AB Edmonton, AB Calgary, AB

DAILY DEFERRAL USED: Day 1 _____ Day 2 _____

Other Motor Carrier (Name & Address) _____

 Name of Co-Driver _____

PERSONAL USE OF COMMERCIAL VEHICLE	
Start	End
Odometer	Odometer

PREVIOUS DAYS' TIME RECORDS														
Previous Day (first = 1)	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Total Hours On-Duty														
Total Hours Off-Duty														

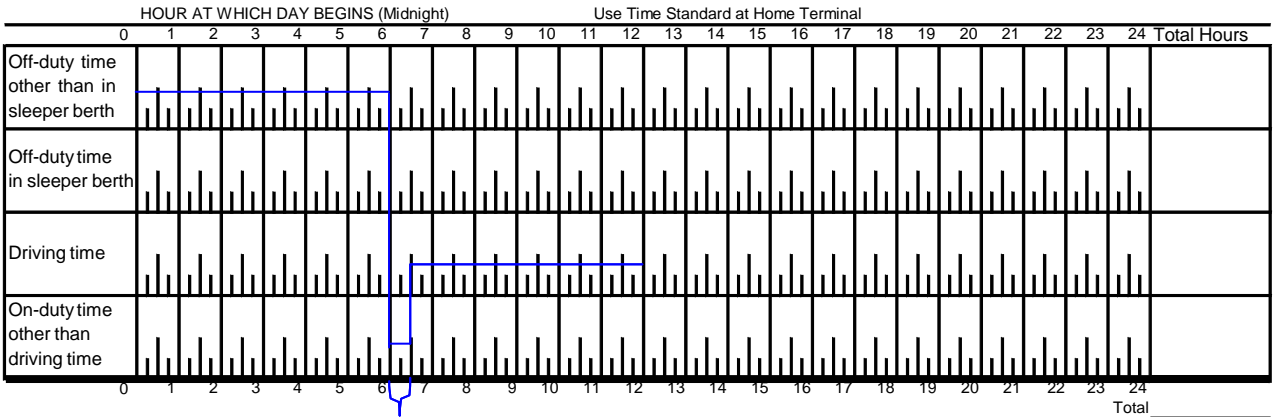
John Smith
 Printed Name of Driver
John Smith
 Signature of Driver (Certified True & Correct)

3.2.1 Quiz: Hours of Service

MOTOR VEHICLE OPERATOR'S DAILY LOG

Date: 11 MAR 2014

Motor Carrier: ABC Trucking Ltd.		Odometer Start: 106902
Principal Address: 8537 129th St Calgary, AB T4N 1V0		Odometer Finish:
Home Terminal Address: 8537 129th St Calgary, AB T4N 1V0	Vehicle Plate or Unit #: Unit 1	Total Distance Today: _____ km
Cycle 1 (7 days) <input checked="" type="checkbox"/>	Cycle 2 (14 days) <input type="checkbox"/>	



REMARKS _____
Calgary, AB

DAILY DEFERRAL USED: _____ Day 1 _____ Day 2

Other Motor Carrier (Name & Address) _____

Name of Co-Driver _____

PERSONAL USE OF COMMERCIAL VEHICLE			
Start			End
Odometer			Odometer

PREVIOUS DAYS' TIME RECORDS														
Previous Day (first = 1)	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Total Hours On-Duty														
Total Hours Off-Duty														

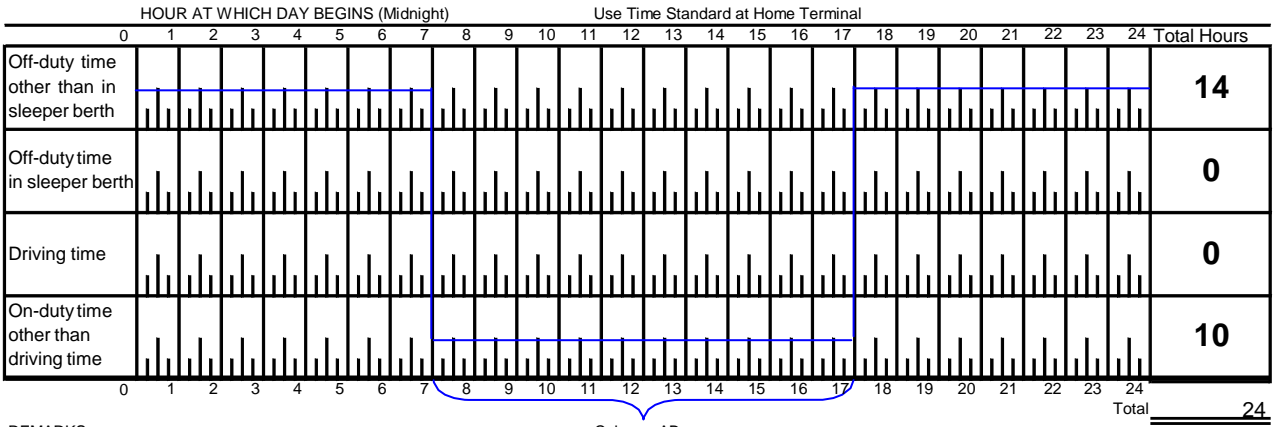
John Smith
Printed Name of Driver

John Smith
Signature of Driver (Certified True & Correct)

MOTOR VEHICLE OPERATOR'S DAILY LOG

Date: 01 MAR 2014

Motor Carrier: ABC Trucking Ltd.		Odometer Start: 200000
Principal Address: 8537 129th St Calgary, AB T4N 1V0	Vehicle Plate or Unit #: Unit 2	Odometer Finish: 200000
Home Terminal Address: 8537 129th St Calgary, AB T4N 1V0	Cycle 1 (7 days) <input checked="" type="checkbox"/> Cycle 2 (14 days)	Total Distance Today: 0 km



REMARKS: Calgary, AB

DAILY DEFERRAL USED: Day 1 Day 2

Other Motor Carrier (Name & Address) _____

 Name of Co-Driver _____

PERSONAL USE OF COMMERCIAL VEHICLE	
Start	End
Odometer	Odometer

PREVIOUS DAYS' TIME RECORDS														
Previous Day (first = 1)	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Total Hours On-Duty	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Hours Off-Duty	24	24	24	24	24	24	24	24	24	24	24	24	24	24

Peter Doe

Printed Name of Driver

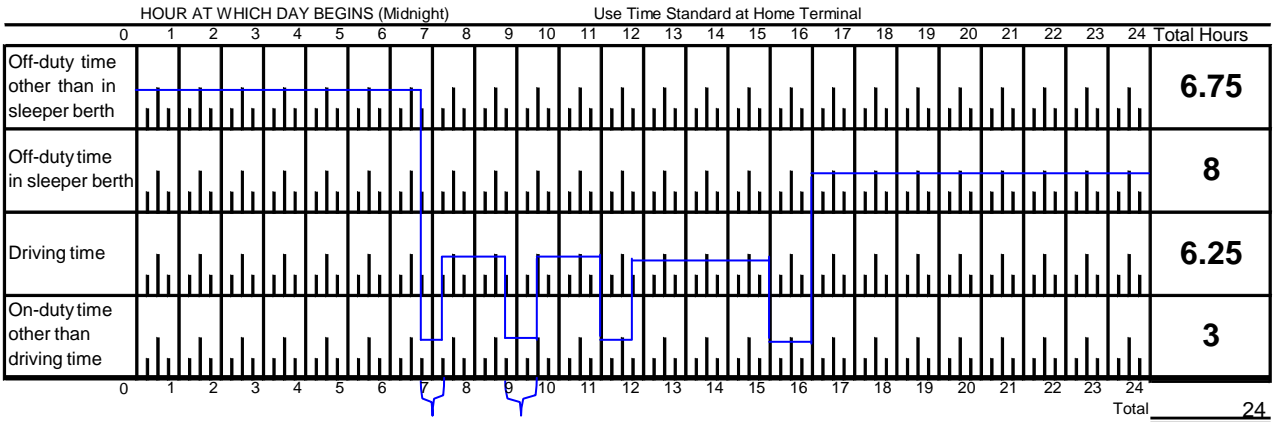
Peter Doe

Signature of Driver (Certified True & Correct)

MOTOR VEHICLE OPERATOR'S DAILY LOG

Date: 02 MAR 2014

Motor Carrier: ABC Trucking Ltd.		Odometer Start: 200000
Principal Address: 8537 129th St Calgary, AB T4N 1V0		Vehicle Plate or Unit #: Unit 2
Home Terminal Address: 8537 129th St Calgary, AB T4N 1V0	Cycle 1 (7 days) <input checked="" type="checkbox"/>	Cycle 2 (14 days) <input type="checkbox"/>
		Odometer Finish: 200600
		Total Distance Today: 600 km



REMARKS Calgary, AB Red Deer, AB

DAILY DEFERRAL USED: Day 1 Day 2

Other Motor Carrier (Name & Address) _____
 Name of Co-Driver _____

PERSONAL USE OF COMMERCIAL VEHICLE	
Start	End
Odometer	Odometer

PREVIOUS DAYS' TIME RECORDS														
Previous Day (first = 1)	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Total Hours On-Duty														
Total Hours Off-Duty														

Peter Doe

Printed Name of Driver

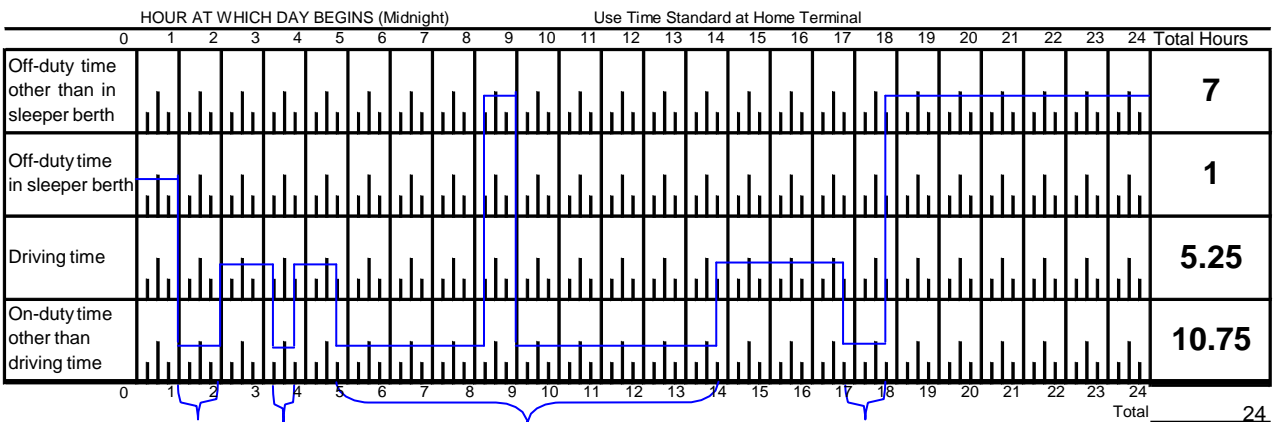
Peter Doe

Signature of Driver (Certified True & Correct)

MOTOR VEHICLE OPERATOR'S DAILY LOG

Date: 03 MAR 2014

Motor Carrier: ABC Trucking Ltd.		Odometer Start: 200600
Principal Address: 8537 129th St Calgary, AB T4N 1V0		Vehicle Plate or Unit #: Unit 2
Home Terminal Address: 8537 129th St Calgary, AB T4N 1V0	Cycle 1 (7 days) <input checked="" type="checkbox"/>	Cycle 2 (14 days) <input type="checkbox"/>
		Odometer Finish: 201150
		Total Distance Today: 550 km



REMARKS Medicine Hat, AB Taber, AB Medicine Hat, AB Calgary, AB

DAILY DEFERRAL USED: Day 1 Day 2

Other Motor Carrier (Name & Address) _____
 Name of Co-Driver _____

PERSONAL USE OF COMMERCIAL VEHICLE	
Start	End
Odometer	Odometer

PREVIOUS DAYS' TIME RECORDS														
Previous Day (first = 1)	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Total Hours On-Duty														
Total Hours Off-Duty														

Peter Doe

Printed Name of Driver

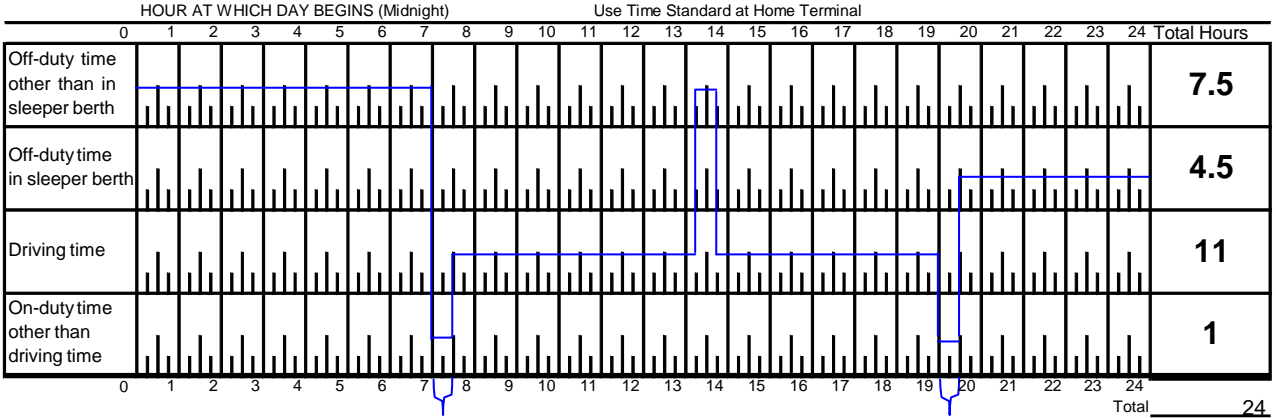
Peter Doe

Signature of Driver (Certified True & Correct)

MOTOR VEHICLE OPERATOR'S DAILY LOG

Date: 04 MAR 2014

Motor Carrier: ABC Trucking Ltd.		Odometer Start: 201150
Principal Address: 8537 129th St Calgary, AB T4N 1V0	Vehicle Plate or Unit #: Unit 2	Odometer Finish: 202200
Home Terminal Address: 8537 129th St Calgary, AB T4N 1V0	Cycle 1 (7 days) <input checked="" type="checkbox"/> Cycle 2 (14 days)	Total Distance Today: 1050 km



REMARKS: Calgary, AB (at 7:00 AM), High Level, AB (at 19:00 AM)

DAILY DEFERRAL USED: Day 1 _____ Day 2 _____

Other Motor Carrier (Name & Address) _____

Name of Co-Driver _____

PERSONAL USE OF COMMERCIAL VEHICLE	
Start	End
Odometer	Odometer

PREVIOUS DAYS' TIME RECORDS														
Previous Day (first = 1)	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Total Hours On-Duty														
Total Hours Off-Duty														

Peter Doe
 Printed Name of Driver

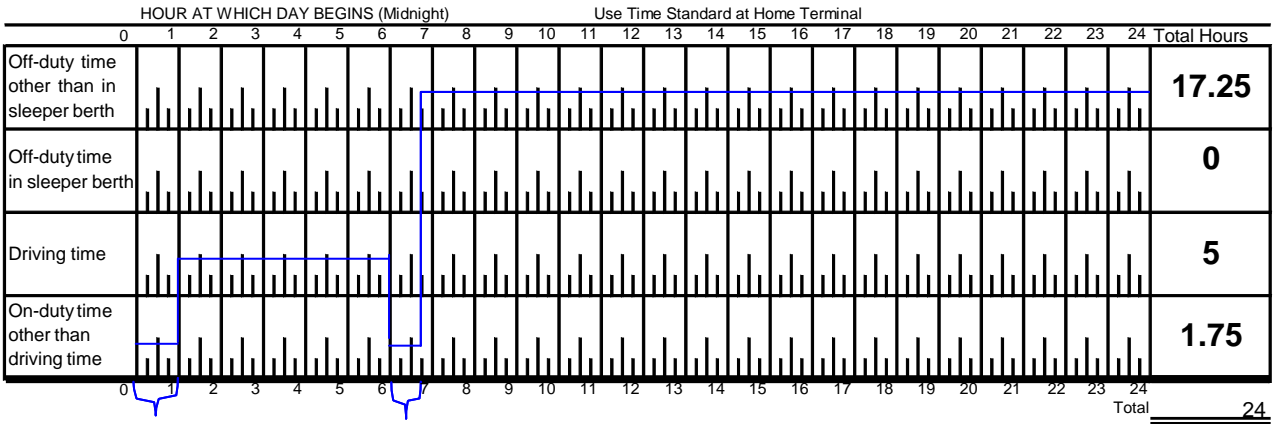
Peter Doe
 Signature of Driver (Certified True & Correct)

3.2.1 Quiz: Hours of Service

MOTOR VEHICLE OPERATOR'S DAILY LOG

Date: 05 MAR 2014

Motor Carrier: ABC Trucking Ltd.		Odometer Start: 202200
Principal Address: 8537 129th St Calgary, AB T4N 1V0		Vehicle Plate or Unit #: Unit 2
Home Terminal Address: 8537 129th St Calgary, AB T4N 1V0		Odometer Finish: 202700
Cycle 1 (7 days) <input checked="" type="checkbox"/>	Cycle 2 (14 days) <input type="checkbox"/>	Total Distance Today: 500 km



REMARKS High Level, AB Dawson Creek, BC

DAILY DEFERRAL USED: Day 1 Day 2

Other Motor Carrier (Name & Address)

Name of Co-Driver

PERSONAL USE OF COMMERCIAL VEHICLE	
Start	End
Odometer	Odometer

PREVIOUS DAYS' TIME RECORDS														
Previous Day (first = 1)	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Total Hours On-Duty														
Total Hours Off-Duty														

Peter Doe
Printed Name of Driver

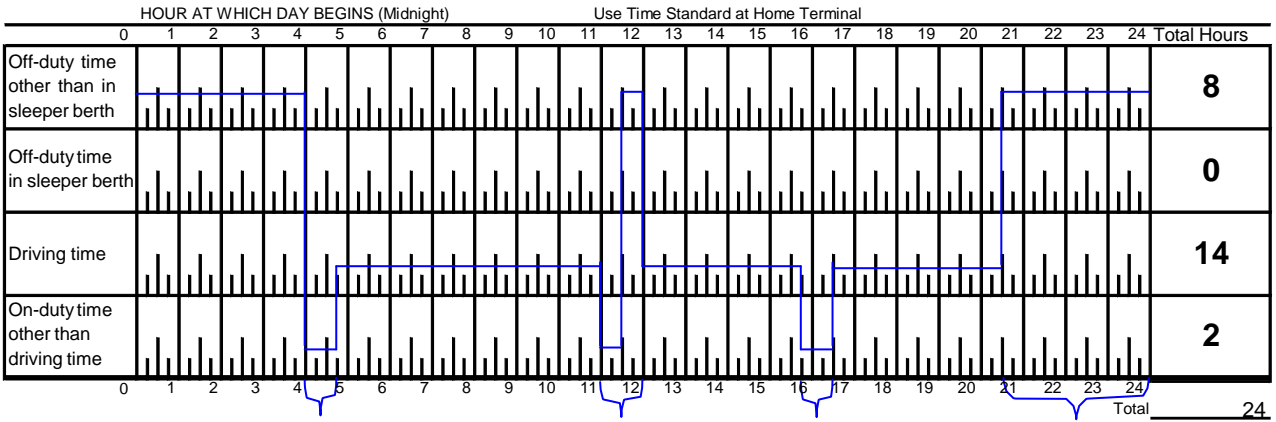
Peter Doe
Signature of Driver (Certified True & Correct)

3.2.1 Quiz: Hours of Service

MOTOR VEHICLE OPERATOR'S DAILY LOG

Date: 06 MAR 2014

Motor Carrier: ABC Trucking Ltd.		Odometer Start: 202700
Principal Address: 8537 129th St Calgary, AB T4N 1V0		Vehicle Plate or Unit #: Unit 2
Home Terminal Address: 8537 129th St Calgary, AB T4N 1V0		Odometer Finish: 204300
Cycle 1 (7 days) <input checked="" type="checkbox"/>	Cycle 2 (14 days) <input type="checkbox"/>	Total Distance Today: 1600 km



REMARKS Dawson Creek, BC Edmonton, AB Cold Lake, AB Edmonton, AB

DAILY DEFERRAL USED: Day 1 Day 2

Other Motor Carrier (Name & Address) _____
 Name of Co-Driver _____

PERSONAL USE OF COMMERCIAL VEHICLE	
Start	End
Odometer	Odometer

PREVIOUS DAYS' TIME RECORDS														
Previous Day (first = 1)	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Total Hours On-Duty														
Total Hours Off-Duty														

Peter Doe

Printed Name of Driver

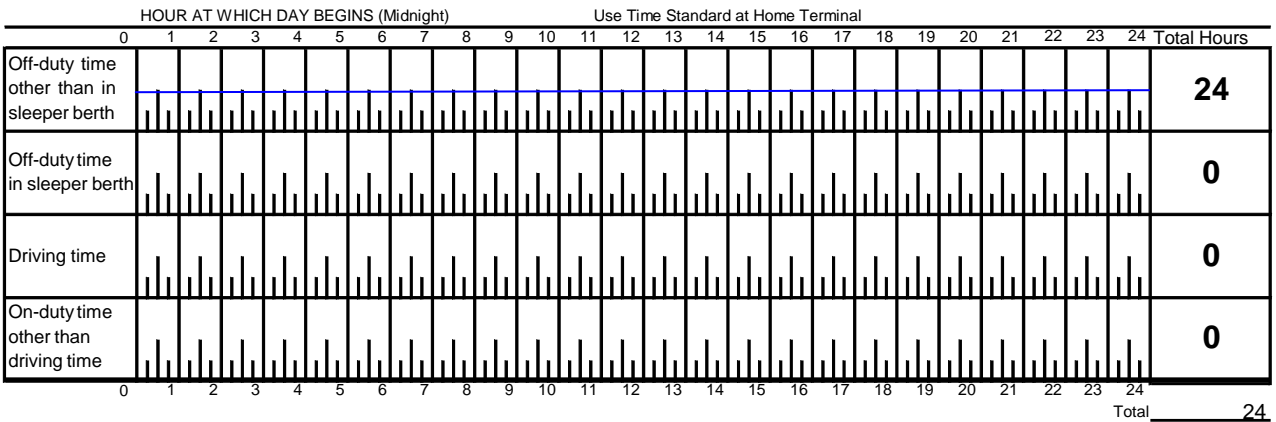
Peter Doe

Signature of Driver (Certified True & Correct)

MOTOR VEHICLE OPERATOR'S DAILY LOG

Date: 07 MAR 2014

Motor Carrier: ABC Trucking Ltd.		Odometer Start:
Principal Address: 8537 129th St Calgary, AB T4N 1V0		Vehicle Plate or Unit #: Unit 2
Home Terminal Address: 8537 129th St Calgary, AB T4N 1V0		Odometer Finish:
Cycle 1 (7 days) <input checked="" type="checkbox"/>	Cycle 2 (14 days) <input type="checkbox"/>	Total Distance Today: km



REMARKS

DAILY DEFERRAL USED: Day 1 Day 2

Other Motor Carrier (Name & Address) _____
 Name of Co-Driver _____

PERSONAL USE OF COMMERCIAL VEHICLE	
Start	End
Odometer	Odometer

PREVIOUS DAYS' TIME RECORDS														
Previous Day (first = 1)	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Total Hours On-Duty														
Total Hours Off-Duty														

Peter Doe

Printed Name of Driver

Peter Doe

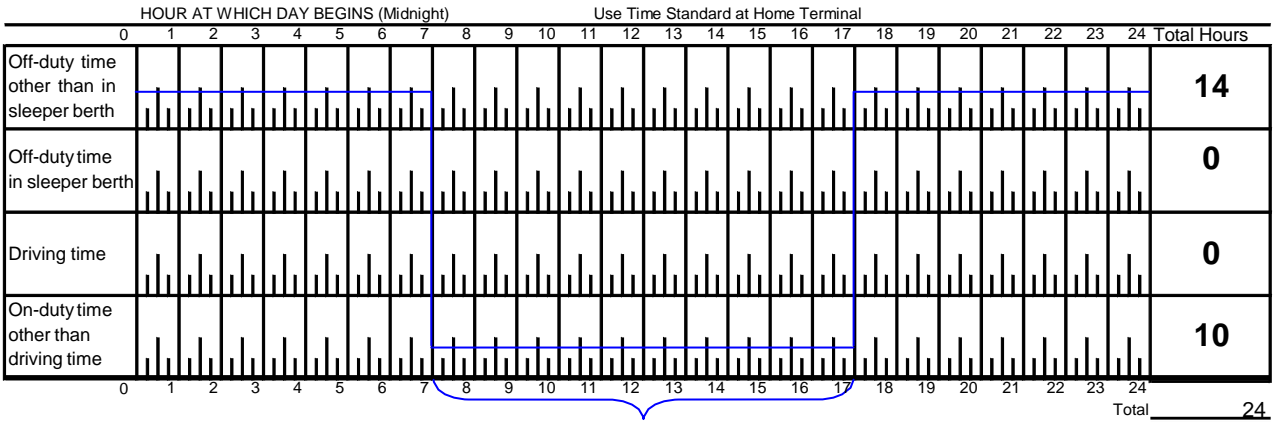
Signature of Driver (Certified True & Correct)

3.2.1 Quiz: Hours of Service

MOTOR VEHICLE OPERATOR'S DAILY LOG

Date: 10 MAR 2014

Motor Carrier: ABC Trucking Ltd.		Odometer Start:
Principal Address: 8537 129th St Calgary, AB T4N 1V0		Odometer Finish:
Home Terminal Address: 8537 129th St Calgary, AB T4N 1V0	Vehicle Plate or Unit #:	Total Distance Today: _____ km
	<input checked="" type="checkbox"/> Cycle 1 (7 days) <input type="checkbox"/> Cycle 2 (14 days)	



REMARKS

DAILY DEFERRAL USED: ___ Day 1 ___ Day 2

Other Motor Carrier (Name & Address) _____
 Name of Co-Driver _____

PERSONAL USE OF COMMERCIAL VEHICLE	
Start	End
Odometer	Odometer

PREVIOUS DAYS' TIME RECORDS														
Previous Day (first = 1)	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Total Hours On-Duty														
Total Hours Off-Duty														

Peter Doe

Printed Name of Driver

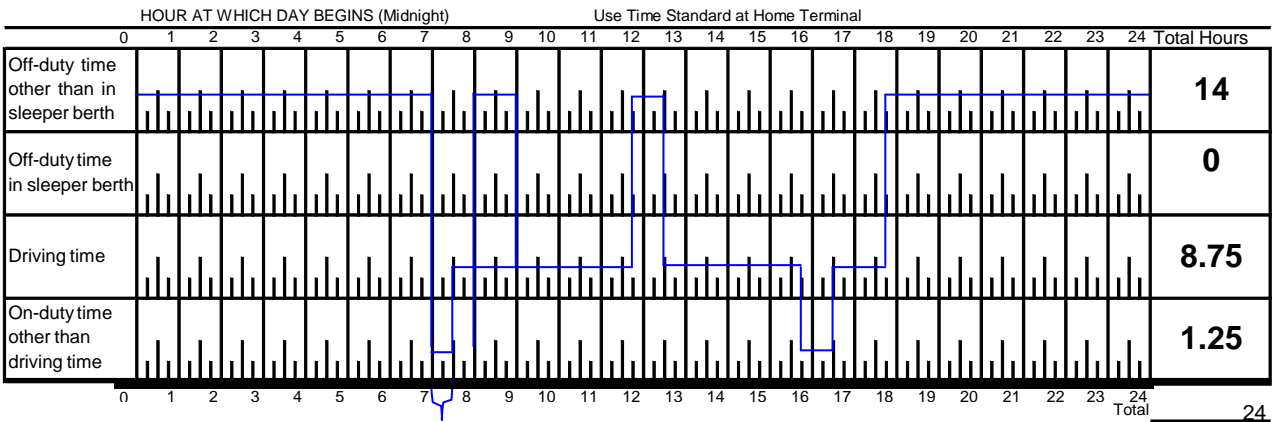
Peter Doe

Signature of Driver (Certified True & Correct)

MOTOR VEHICLE OPERATOR'S DAILY LOG

Date: 11 MAR 2014

Motor Carrier: ABC Trucking Ltd.		Odometer Start: 205750
Principal Address: 8537 129th St Calgary, AB T4N 1V0		Odometer Finish: 206650
Home Terminal Address: 8537 129th St Calgary, AB T4N 1V0	Vehicle Plate or Unit #:	Total Distance Today: 900 km
	<input checked="" type="checkbox"/> Cycle 1 (7 days) <input type="checkbox"/> Cycle 2 (14 days)	



REMARKS

DAILY DEFERRAL USED: ___ Day 1 ___ Day 2

Other Motor Carrier (Name & Address) _____
 Name of Co-Driver _____

PERSONAL USE OF COMMERCIAL VEHICLE	
Start	End
Odometer	Odometer

PREVIOUS DAYS' TIME RECORDS														
Previous Day (first = 1)	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Total Hours On-Duty														
Total Hours Off-Duty														

Peter Doe

Printed Name of Driver

Peter Doe

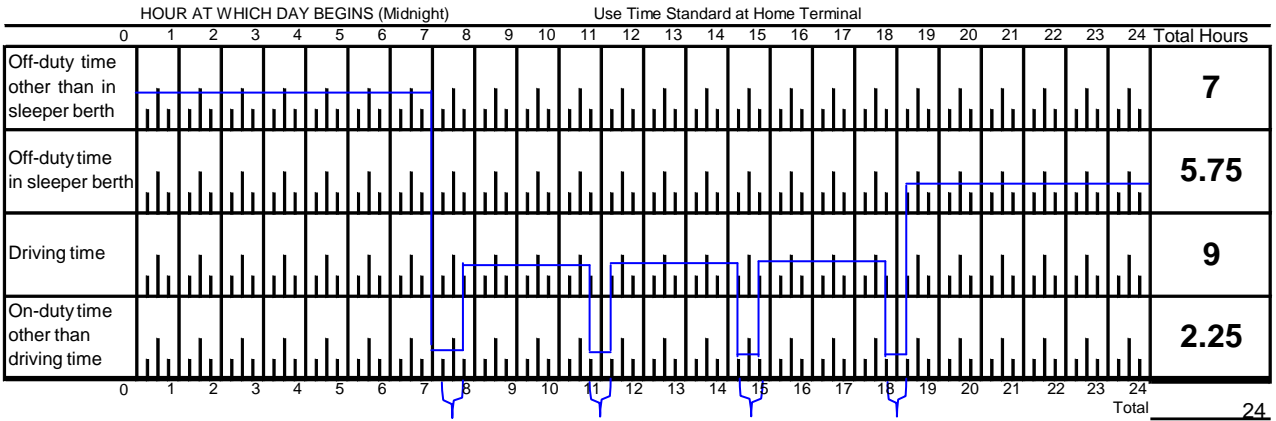
Signature of Driver (Certified True & Correct)

3.2.1 Quiz: Hours of Service

MOTOR VEHICLE OPERATOR'S DAILY LOG

Date: 12 MAR 2014

Motor Carrier: ABC Trucking Ltd.			Odometer Start:
Principal Address: 8537 129th St Calgary, AB T4N 1V0	Vehicle Plate or Unit #: Unit 2		Odometer Finish:
Home Terminal Address: 8537 129th St Calgary, AB T4N 1V0	Cycle 1 (7 days) <input checked="" type="checkbox"/>	Cycle 2 (14 days)	Total Distance Today: _____ km



REMARKS: Calgary, AB Edmonton, AB Calgary, AB Edmonton, AB

DAILY DEFERRAL USED: Day 1 _____ Day 2 _____

Other Motor Carrier (Name & Address) _____

 Name of Co-Driver _____

PERSONAL USE OF COMMERCIAL VEHICLE	
Start	End
Odometer	Odometer

PREVIOUS DAYS' TIME RECORDS														
Previous Day (first = 1)	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Total Hours On-Duty														
Total Hours Off-Duty														

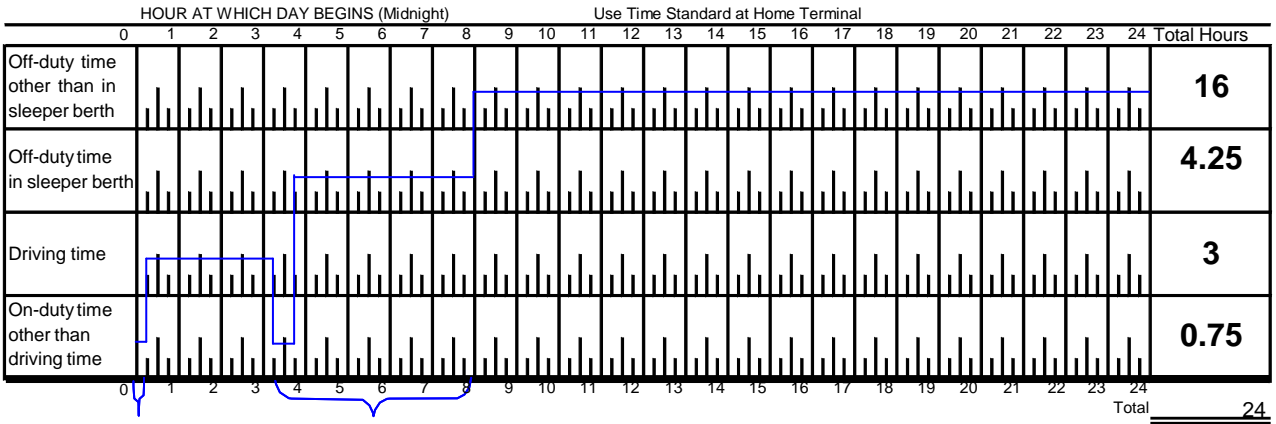
Peter Doe
 Printed Name of Driver
Peter Doe
 Signature of Driver (Certified True & Correct)

3.2.1 Quiz: Hours of Service

MOTOR VEHICLE OPERATOR'S DAILY LOG

Date: 13 MAR 2014

Motor Carrier: ABC Trucking Ltd.		Odometer Start: 206700
Principal Address: 8537 129th St Calgary, AB T4N 1V0		Vehicle Plate or Unit #: Unit 2
Home Terminal Address: 8537 129th St Calgary, AB T4N 1V0		Odometer Finish: 207000
Cycle 1 (7 days) <input checked="" type="checkbox"/>	Cycle 2 (14 days) <input type="checkbox"/>	Total Distance Today: 300 km



REMARKS Edmonton, AB Calgary, AB

DAILY DEFERRAL USED: Day 1 Day 2

Other Motor Carrier (Name & Address)

Name of Co-Driver

PERSONAL USE OF COMMERCIAL VEHICLE	
Start	End
Odometer	Odometer

PREVIOUS DAYS' TIME RECORDS														
Previous Day (first = 1)	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Total Hours On-Duty														
Total Hours Off-Duty														

Peter Doe
Printed Name of Driver

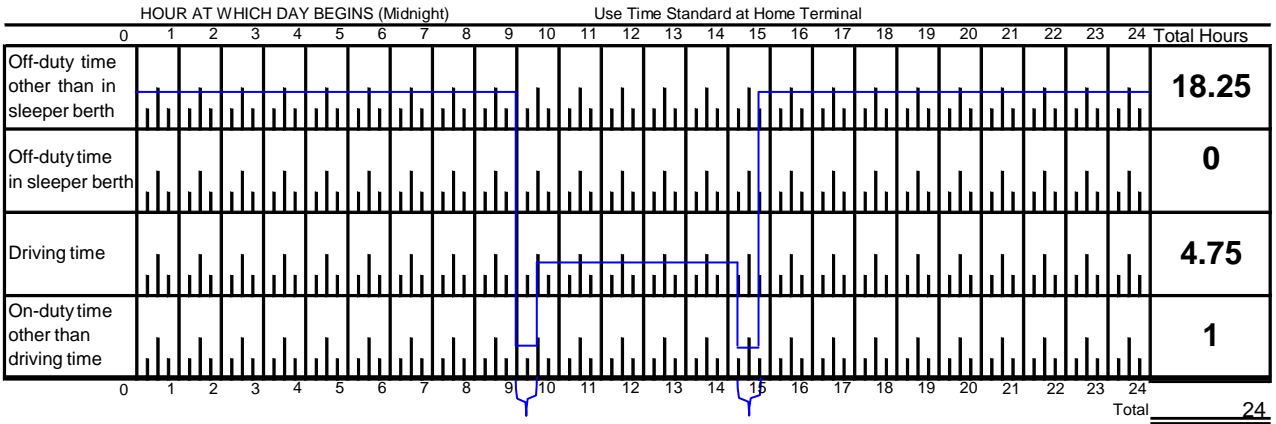
Peter Doe
Signature of Driver (Certified True & Correct)

3.2.1 Quiz: Hours of Service

MOTOR VEHICLE OPERATOR'S DAILY LOG

Date: 14 MAR 2014

Motor Carrier: ABC Trucking Ltd.		Odometer Start: 207000
Principal Address: 8537 129th St Calgary, AB T4N 1V0		Vehicle Plate or Unit #: Unit 2
Home Terminal Address: 8537 129th St Calgary, AB T4N 1V0		Odometer Finish: 207500
Cycle 1 (7 days) <input checked="" type="checkbox"/>	Cycle 2 (14 days) <input type="checkbox"/>	Total Distance Today: 500 km



REMARKS
 Whitecourt, AB
 Calgary, AB

DAILY DEFERRAL USED: ___ Day 1 ___ Day 2

Other Motor Carrier (Name & Address) _____

 Name of Co-Driver _____

PERSONAL USE OF COMMERCIAL VEHICLE	
Start	End
Odometer	Odometer

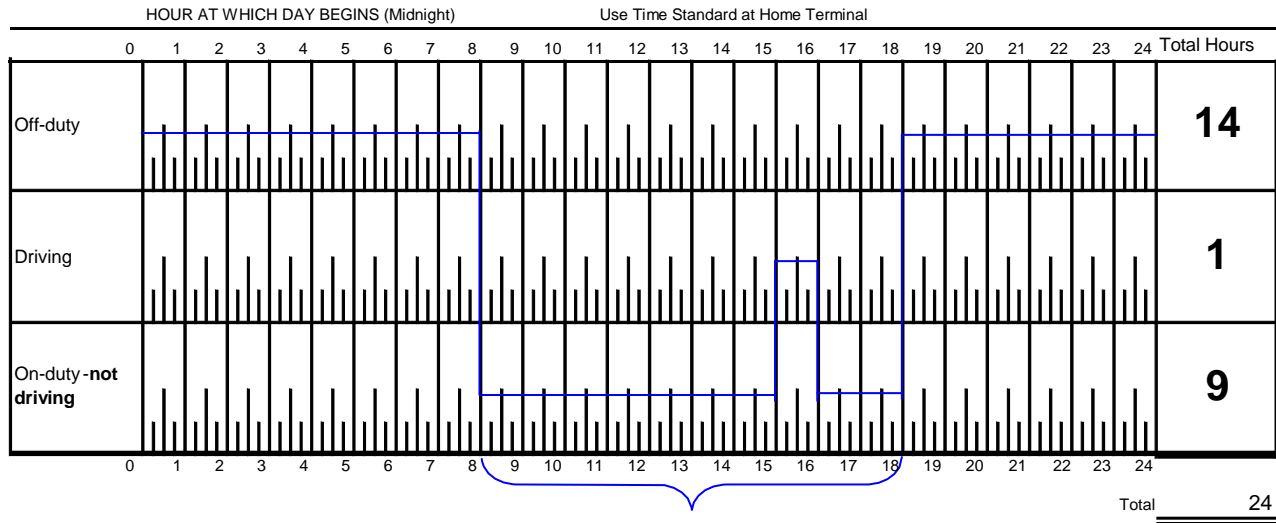
PREVIOUS DAYS' TIME RECORDS														
Previous Day (first = 1)	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Total Hours On-Duty														
Total Hours Off-Duty														

Peter Doe
 Printed Name of Driver
Peter Doe
 Signature of Driver (Certified True & Correct)

OPERATOR'S RECORD OF DUTY STATUS (160 km of Home Terminal)

Date: 01 MAR 2014

Driver's Name: **Don Jump**



REMARKS

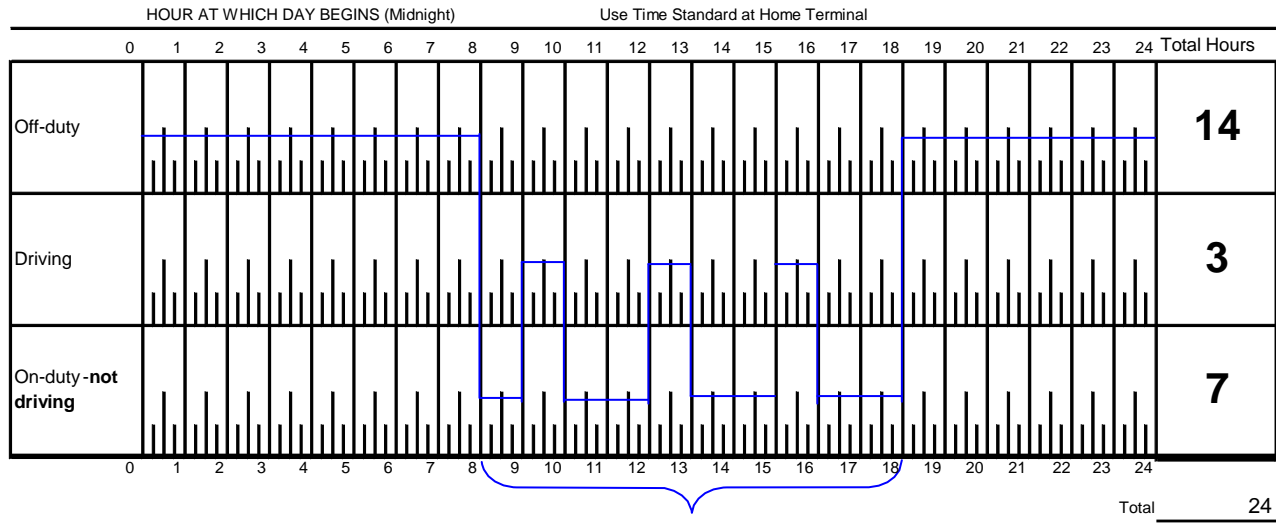
Calgary, AB

CYCLE USED: 1 2

OPERATOR'S RECORD OF DUTY STATUS (160 km of Home Terminal)

Date: 02 MAR 2014

Driver's Name: **Don Jump**



REMARKS

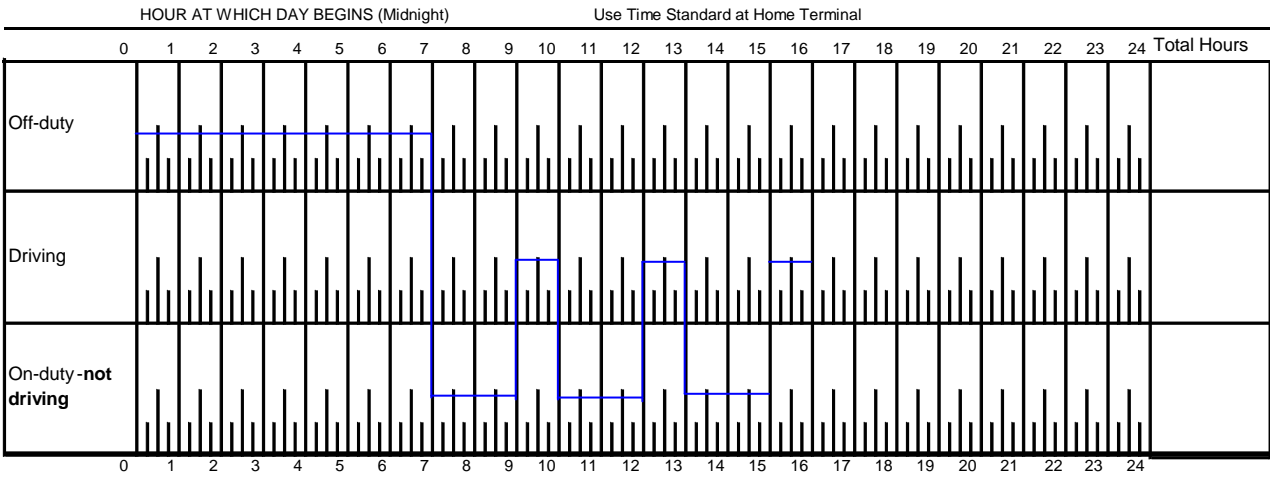
Calgary, AB

CYCLE USED: 1 2

OPERATOR'S RECORD OF DUTY STATUS (160 km of Home Terminal)

Date: 03 MAR 2014

Driver's Name: Don Jump



Total 24

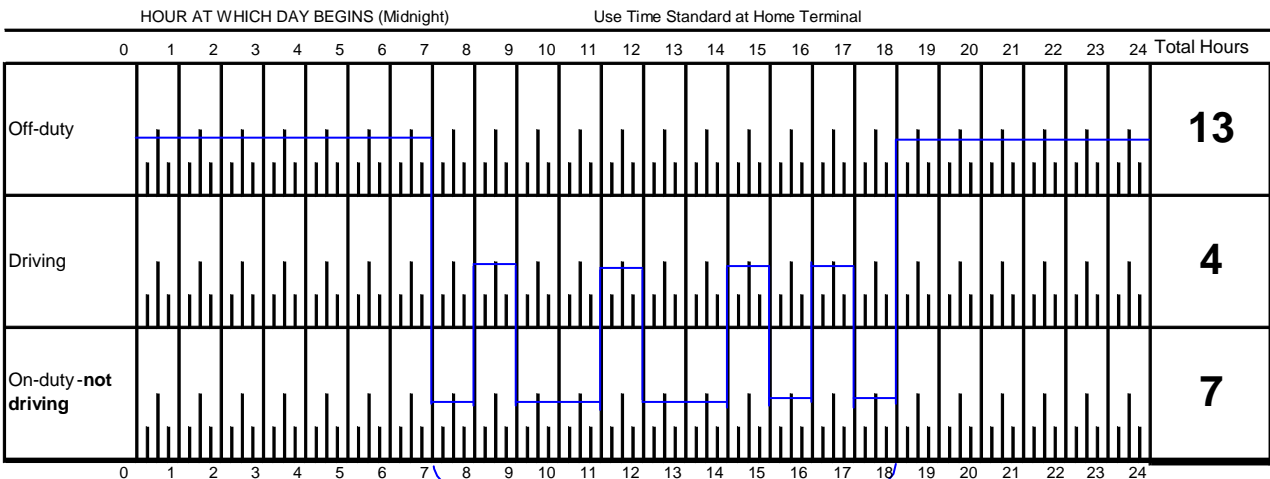
REMARKS

CYCLE USED: 1 2

OPERATOR'S RECORD OF DUTY STATUS (160 km of Home Terminal)

Date: 04 MAR 2014

Driver's Name: Don Jump



Total 24

REMARKS

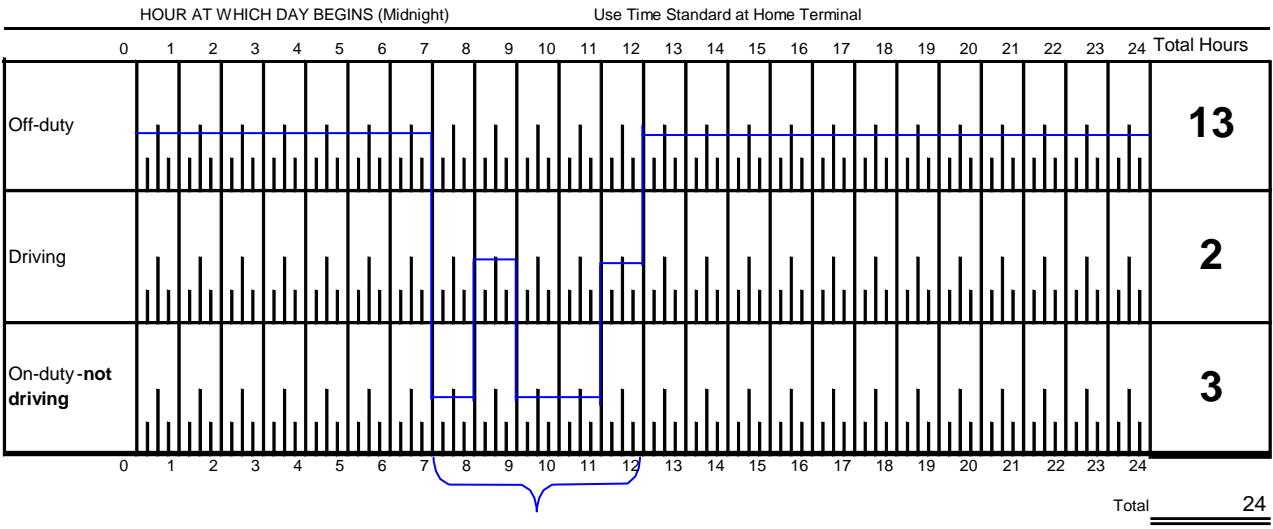
Calgary, AB

CYCLE USED: 1 2

OPERATOR'S RECORD OF DUTY STATUS (160 km of Home Terminal)

Date: 05 MAR 2014

Driver's Name: Don Jump



REMARKS

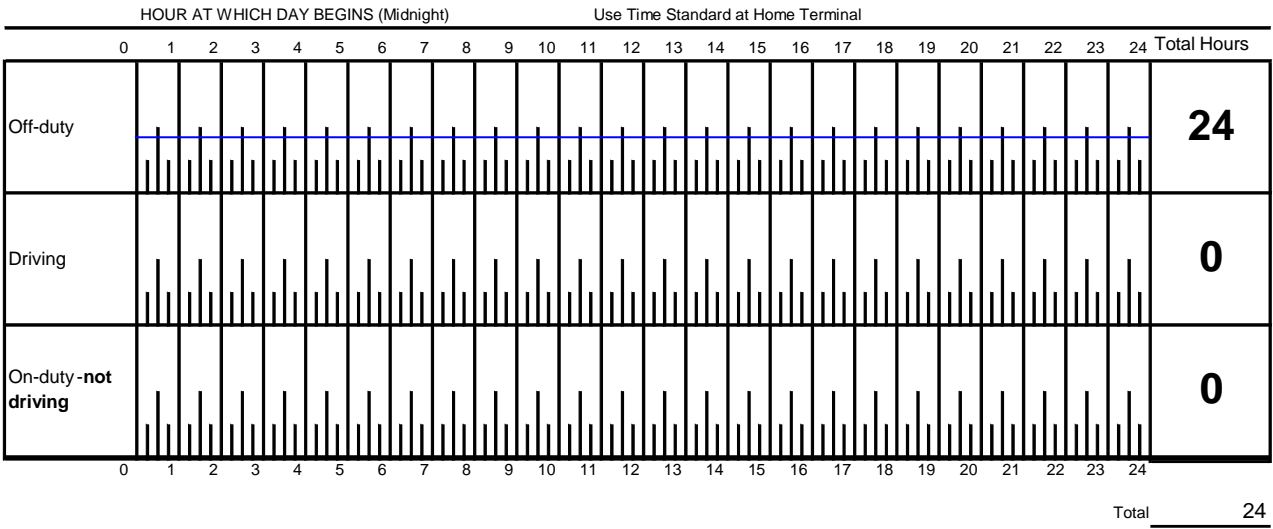
Calgary, AB

CYCLE USED: X 1 2

OPERATOR'S RECORD OF DUTY STATUS (160 km of Home Terminal)

Date: 06 MAR 2014

Driver's Name: Don Jump



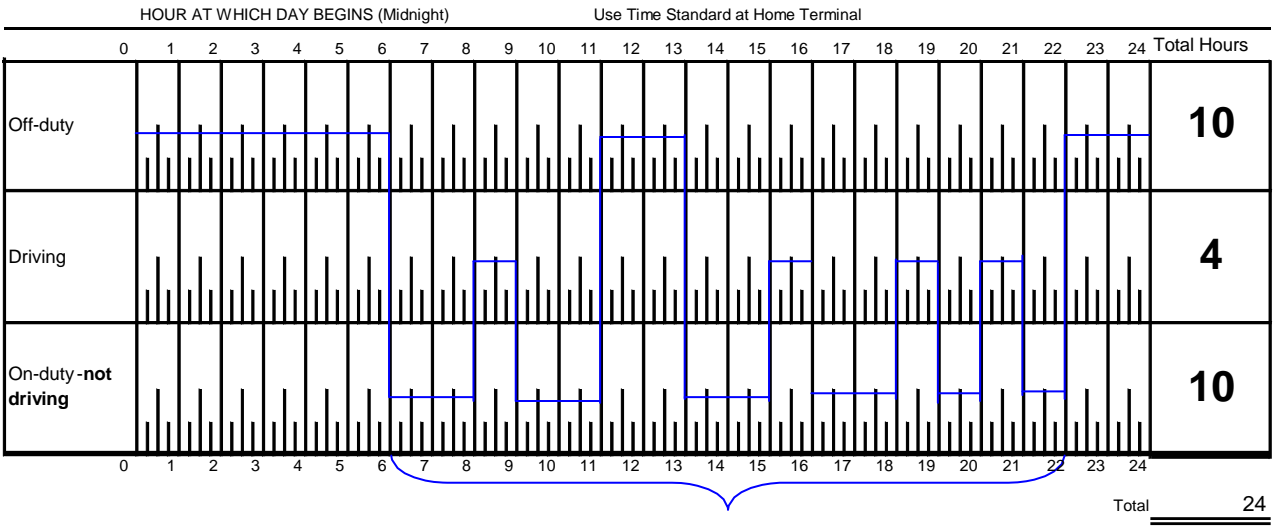
REMARKS

CYCLE USED: X 1 2

OPERATOR'S RECORD OF DUTY STATUS (160 km of Home Terminal)

Date: 08 MAR 2014

Driver's Name: Don Jump



REMARKS

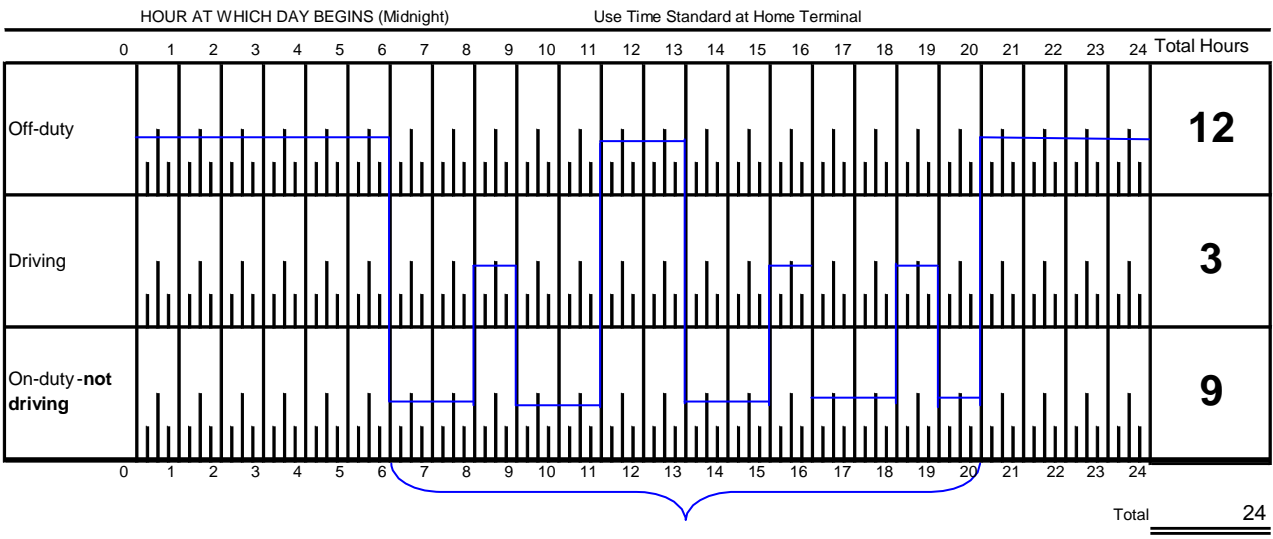
Calgary, AB

CYCLE USED: 1 _____ 2

OPERATOR'S RECORD OF DUTY STATUS (160 km of Home Terminal)

Date: 09 MAR 2014

Driver's Name: Don Jump



REMARKS

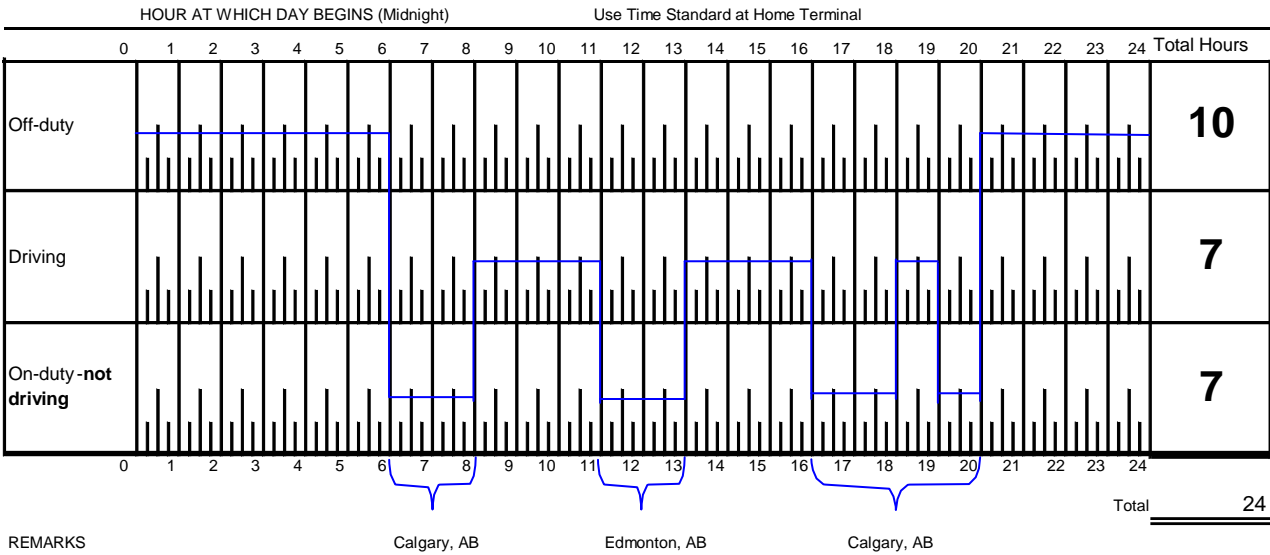
Calgary, AB

CYCLE USED: 1 _____ 2

OPERATOR'S RECORD OF DUTY STATUS (160 km of Home Terminal)

Date: 10 MAR 2014

Driver's Name: Don Jump

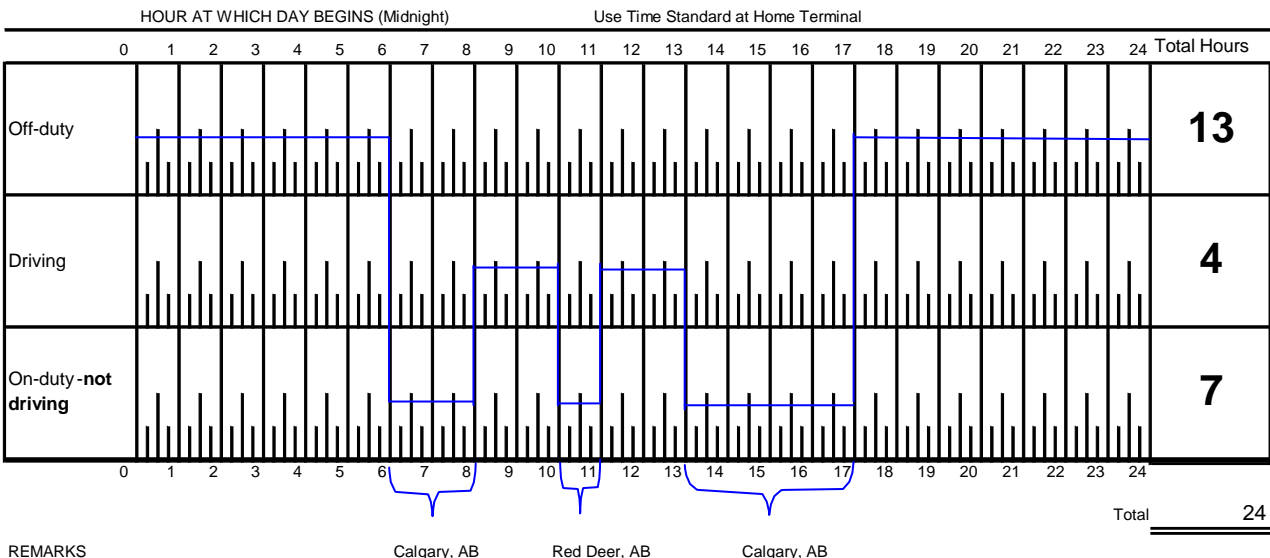


CYCLE USED: 1 _____ 2

OPERATOR'S RECORD OF DUTY STATUS (160 km of Home Terminal)

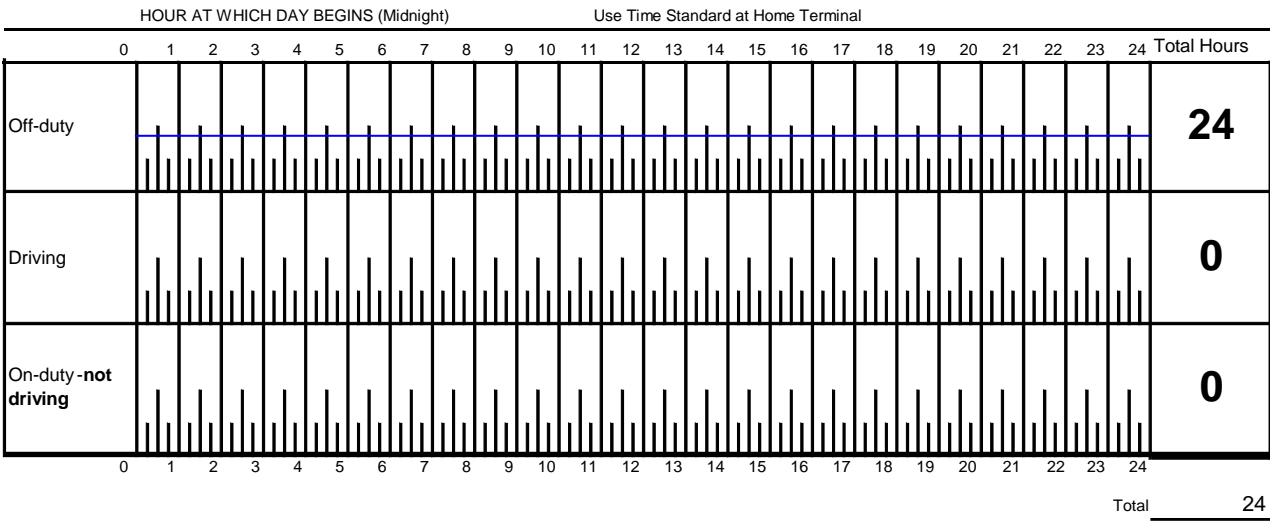
Date: 11 MAR 2014

Driver's Name: Don Jump



CYCLE USED: 1 _____ 2

Driver's Name: Don Jump



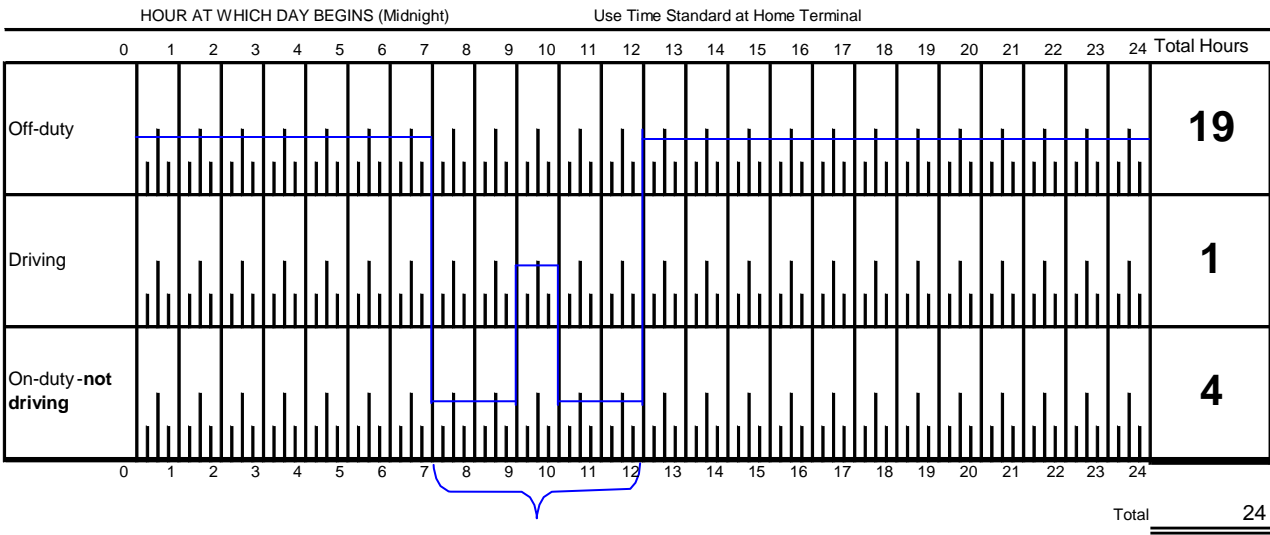
REMARKS

CYCLE USED: X 1 2

OPERATOR'S RECORD OF DUTY STATUS (160 km of Home Terminal)

Date: 13 MAR 2014

Driver's Name: Don Jump



REMARKS

Calgary, AB

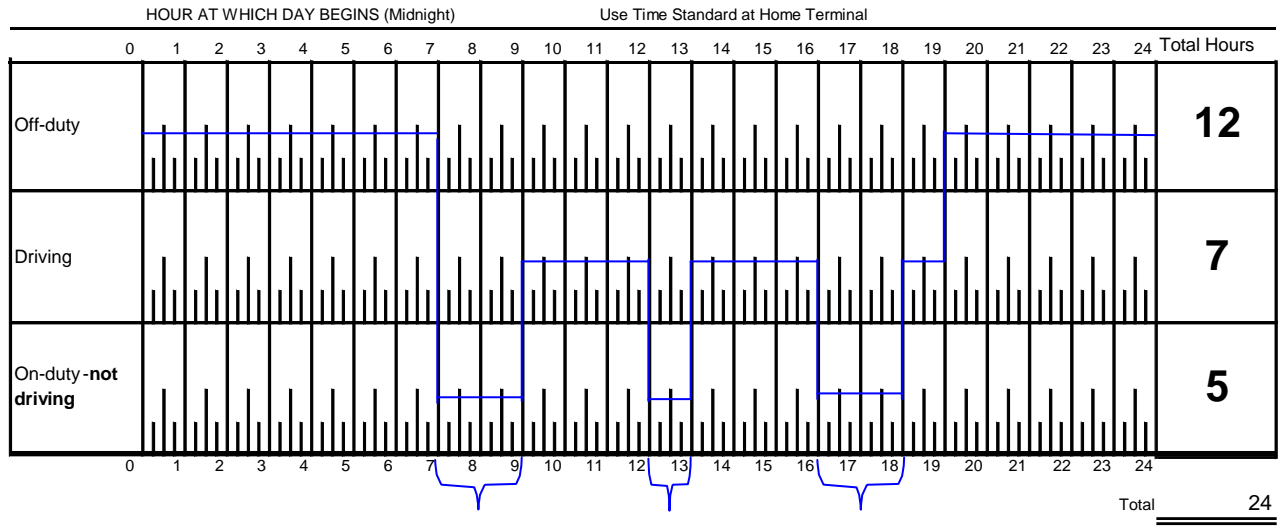
CYCLE USED: X 1 2

3.2.1 Quiz: Hours of Service

OPERATOR'S RECORD OF DUTY STATUS (160 km of Home Terminal)

Date: 14 MAR 2014

Driver's Name: Don Jump



REMARKS

Calgary, AB

Medicine Hat, AB

Calgary, AB

CYCLE USED: 1 2

3.2.1 Quiz: Hours of Service

Fuel Summary Statement

ABC Trucking Ltd
 8537 129th Street NE
 Calgary, Alberta
 T4N 1V0

March 15, 2014

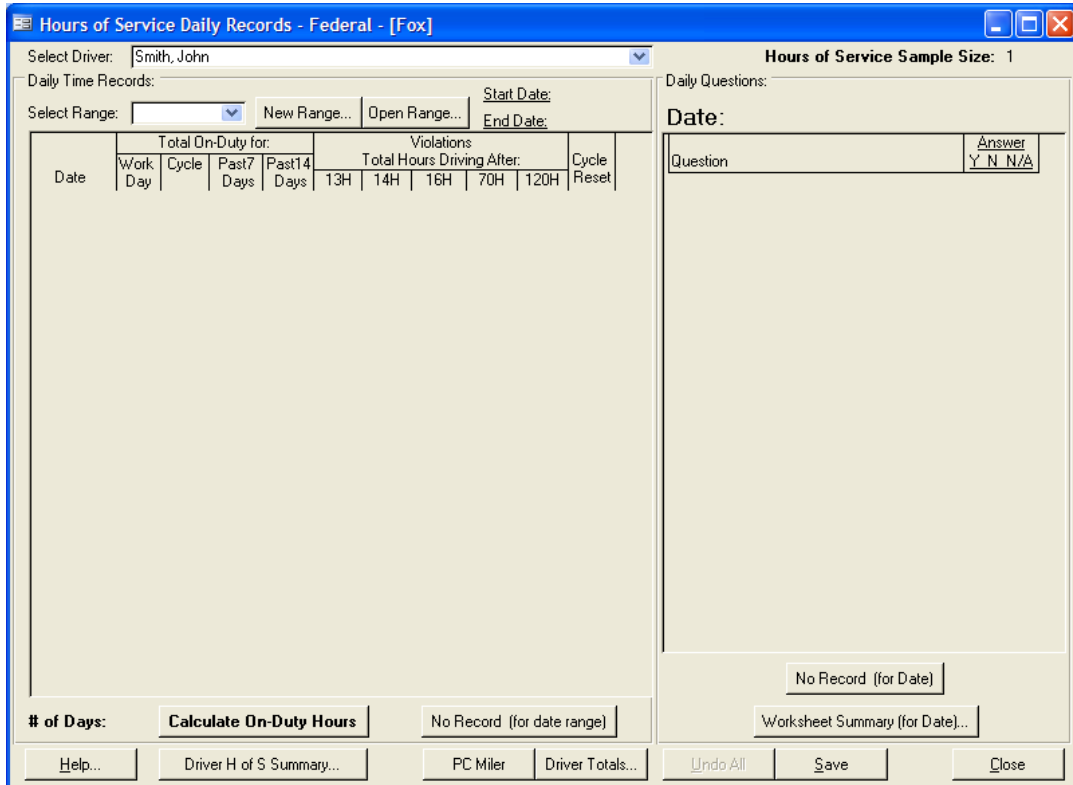
Account # 2803-23

Invoice # 2978

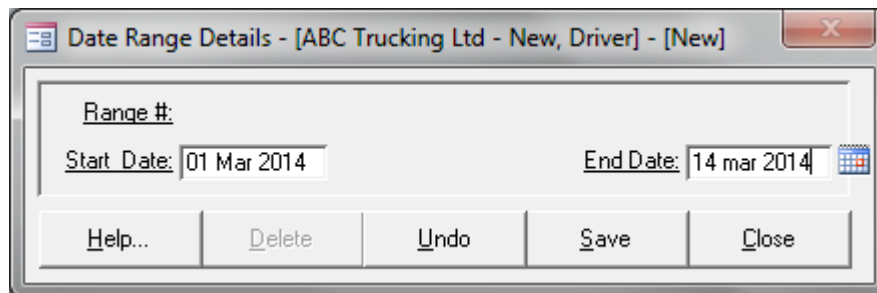
ARD	DATE	TIME	LOCATIONS	UNIT	PRODUCT	LITRES	PRICE	AMOUNT
5193	14/03/01	08:15	Calgary	03	Diesel	200.70	.4978	99.90
5192	14/03/01	15:00	Medicine Hat	02	Diesel	300.00	.4978	149.34
5191	14/03/01	15:30	Edmonton	01	Diesel	300.00	.4978	149.34
5193	14/03/02	07:00	Calgary	03	Diesel	210.50	.4978	104.78
5191	14/03/02	14:00	Grande Prairie	01	Diesel	400.00	.5000	200.00
5193	14/03/03	07:15	Calgary	03	Diesel	230.10	.4978	114.54
5191	14/03/03	08:15	Edmonton	01	Diesel	400.00	.4978	199.12
5192	14/03/03	16:45	Calgary	02	Diesel	300.00	.4978	149.34
5191	14/03/04	07:00	Ft McMurray	01	Diesel	350.00	.5000	175.00
5193	14/03/04	07:10	Calgary	03	Diesel	205.30	.4978	102.19
5192	14/03/04	13:15	Calgary	02	Diesel	350.00	.4978	174.23
5192	14/03/05	00:00	High Level	02	Diesel	350.00	.5000	175.00
5191	14/03/05	01:00	Calgary	01	Diesel	400.00	.4978	199.12
5192	14/03/05	06:00	Dawson Creek	02	Diesel	300.00	.5000	150.00
5193	14/03/05	13:20	Calgary	03	Diesel	170.70	.4978	84.97
5191	14/03/06	07:00	Calgary	01	Diesel	350.00	.4978	174.23
5192	14/03/06	11:00	Edmonton	02	Diesel	300.00	.4978	149.34
5191	14/03/06	14:00	Calgary	01	Diesel	250.00	.4978	124.64
5192	14/03/06	16:15	Cold Lake	02	Diesel	200.00	.5000	100.00
5193	14/03/07	08:00	Calgary	03	Diesel	250.00	.4978	124.64
5191	14/03/07	14:00	Calgary	01	Diesel	200.00	.4978	99.56
5193	14/03/08	06:20	Calgary	03	Diesel	208.70	.4978	103.89
5192	14/03/08	07:00	Calgary	02	Diesel	300.00	.4978	149.34
5191	14/03/08	14:45	Calgary	01	Diesel	200.00	.4978	99.56
5191	14/03/08	18:45	Edmonton	01	Diesel	200.00	.4978	99.56
5191	14/03/09	05:15	Whitecourt	01	Diesel	250.00	.5000	125.00
5193	14/03/09	06:05	Calgary	03	Diesel	244.20	.4978	121.56
5192	14/03/09	12:00	Calgary	02	Diesel	300.00	.4978	149.34
5191	14/03/09	14:45	Edmonton	01	Diesel	450.00	.4978	224.01
5191	14/03/10	03:30	Calgary	01	Diesel	250.00	.4978	124.64
5193	14/03/10	07:30	Calgary	03	Diesel	232.80	.4978	115.88
5191	14/03/10	11:30	Calgary	01	Diesel	200.00	.4978	99.56
5191	14/03/11	06:00	Calgary	01	Diesel	300.00	.4978	149.34
5192	14/03/11	07:00	Calgary	02	Diesel	200.00	.4978	99.56
5191	14/03/11	16:00	Fox Creek	01	Diesel	250.00	.5000	125.00
5193	14/03/11	17:45	Calgary	03	Diesel	241.10	.4978	120.01
5191	14/03/11	20:45	Fort St. John	01	Diesel	200.00	.5000	100.00
5192	14/03/12	07:00	Calgary	02	Diesel	300.00	.4978	149.34
5192	14/03/12	17:45	Edmonton	02	Diesel	250.00	.4978	124.45
5192	14/03/13	03:15	Calgary	02	Diesel	300.00	.4978	149.34
5193	14/03/13	08:15	Calgary	03	Diesel	200.70	.4978	99.90
5191	14/03/13	10:00	Edmonton	01	Diesel	400.00	.4978	199.12
5191	14/03/14	07:45	Calgary	01	Diesel	200.00	.4978	99.56
5193	14/03/14	08:20	Calgary	03	Diesel	262.90	.4978	130.87
5192	14/03/14	14:15	Calgary	02	Diesel	250.00	.4978	124.45
Total						12207.70		6082.56

3.2.2 Quiz: Answer Key

Once you have completed the *Quiz Section 3.2.1* compare your answers and audit screens to the following answer key.



Note: This screen will be similar for all three drivers with the only change being the driver's name.



Note: This Screen will be the same for all three drivers.

Hours of Service Daily Records - Federal - [ABC Trucking Ltd]

Select Driver: **Smith, John**

Daily Time Records: Start Date: 01 Mar 2014 End Date: 14 Mar 2014

Select Range: 1 New Range... Open Range...

Hours of Service Sample Size: 3

Daily Questions: Date: 01 Mar 2014

Date	Total On-Duty for:				Violations					Cycle Reset
	Work Day	Cycle	Past7 Days	Past14 Days	13H	14H	16H	70H	120H	
01 Mar 2014	10.75	1	10.75	10.75						<input type="checkbox"/>
02 Mar 2014	11.25	1	22.00	22.00						<input type="checkbox"/>
03 Mar 2014	14.50	1	36.50	36.50						<input type="checkbox"/>
04 Mar 2014	9.00	1	45.50	45.50						<input type="checkbox"/>
05 Mar 2014	16.00	1	61.50	61.50		1.50	1.25			<input type="checkbox"/>
06 Mar 2014	7.50	1	69.00	69.00						<input type="checkbox"/>
07 Mar 2014	6.50	1	75.50	75.50				4.50		<input type="checkbox"/>
08 Mar 2014	10.25	1	75.00	85.75				3.75		<input type="checkbox"/>
09 Mar 2014	11.00	1	74.75	96.75				4.50		<input type="checkbox"/>
10 Mar 2014	11.00	1	71.25	107.75				1.00		<input type="checkbox"/>
11 Mar 2014	6.00	1	68.25	113.75						<input type="checkbox"/>
12 Mar 2014	0.00	1	52.25	113.75						<input type="checkbox"/>
13 Mar 2014	0.00	1	44.75	113.75						<input type="checkbox"/>
14 Mar 2014	8.00	1	46.25	121.75						<input type="checkbox"/>

of Days: 14 Calculate On-Duty Hours No Record (for date range) Worksheet Summary (for Date)...

Help... Driver H of S Summary... PC Miler Driver Totals... Undo All Save Close

Daily Questions:

Question	Answer
	Y N N/A
Is there a daily log or time record when require	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Is the daily log or time record true and accurat	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Is there only one daily record for the day?	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Is there 24 consecutive hours off duty in the p	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Is the log current to the last change in duty sta	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Daily - Log in compliance with the 13-hour "dri	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Daily - Log in compliance with the 14-hour "on	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Daily - Log in compliance with the 10-hour "off	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Work shift - Log in compliance with the 13-hou	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Work shift - Log in compliance with the 14-hou	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Work shift - Log in compliance with the 16-hou	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Cycle 1 - Log in compliance with Cycle 1 requi	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Cycle 2 - Log in compliance with Cycle 2 requi	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Are the Form and Manner requirements compl	<input checked="" type="radio"/> <input checked="" type="radio"/> <input type="radio"/>

Hours Of Service Summary -[Range 1]

Range Summary Comments: _____

Daily Questions Summaries: _____

Comments:

Date: 01 Mar 2014
Missing mileage.

Date: 02 Mar 2014
10 hours off duty forms part of the 8 consecutive hrs. Sec 14(3).

Date: 03 Mar 2014
Fail to have 10 hours off duty. Missing principle place of business address. Fort McMurray abbreviated.

Date: 05 Mar 2014
Drive after 14 hrs in a day and workshift. Violation occurred at 16:45. Drove in violation for 1.5 hrs.

Insert Standard Comment... Undo All Save

Help... Close

Hours of Service Daily Records - Federal - [ABC Trucking Ltd]

Select Driver: Doe, Peter Hours of Service Sample Size: 3

Daily Time Records: Start Date: 01 Mar 2014
 Select Range: 1 New Range... Open Range... End Date: 14 Mar 2014

Date	Total On-Duty for:				Violations					Cycle Reset
	Work Day	Cycle	Past7 Days	Past14 Days	Total Hours Driving After:					
					13H	14H	16H	70H	120H	
01 Mar 2014	10.00	1	10.00	10.00						<input type="checkbox"/>
02 Mar 2014	9.25	1	19.25	19.25						<input type="checkbox"/>
03 Mar 2014	16.00	1	35.25	35.25		1.00				<input type="checkbox"/>
04 Mar 2014	12.00	1	47.25	47.25						<input type="checkbox"/>
05 Mar 2014	6.75	1	54.00	54.00	3.00	4.00	5.00			<input type="checkbox"/>
06 Mar 2014	16.00	1	70.00	70.00	1.00	2.00	0.50			<input type="checkbox"/>
07 Mar 2014	0.00	1	70.00	70.00						<input type="checkbox"/>
08 Mar 2014	4.00	1	64.00	74.00						<input type="checkbox"/>
09 Mar 2014	10.75	1	65.50	84.75						<input type="checkbox"/>
10 Mar 2014	10.00	1	59.50	94.75						<input type="checkbox"/>
11 Mar 2014	10.00	1	57.50	104.75						<input type="checkbox"/>
12 Mar 2014	11.25	1	62.00	116.00						<input type="checkbox"/>
13 Mar 2014	3.75	1	49.75	119.75		0.50	3.00			<input type="checkbox"/>
14 Mar 2014	5.75	1	55.50	125.50						<input type="checkbox"/>

Daily Questions:

Date: 01 Mar 2014

Question	Answer		
	Y	N	N/A
Is there a daily log or time record when require	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Is the daily log or time record true and accurat	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
Is there only one daily record for the day?	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Is there 24 consecutive hours off duty in the p	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Is the log current to the last change in duty sta	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Daily - Log in compliance with the 13-hour "dri	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Daily - Log in compliance with the 14-hour "on	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Daily - Log in compliance with the 10-hour "off	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Work shift - Log in compliance with the 13-ho	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Work shift - Log in compliance with the 14-ho	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Work shift - Log in compliance with the 16-ho	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Cycle 1 - Log in compliance with Cycle 1 requi	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Cycle 2 - Log in compliance with Cycle 2 requi	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Are the Form and Manner requirements compl	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>

No Record (for Date)

Worksheet Summary (for Date)...

of Days: 14 Calculate On-Duty Hours No Record (for date range) Worksheet Summary (for Date)...

Help... Driver H of S Summary... PC Miler Driver Totals... Undo All Save Close

Hours Of Service Summary -[Range 1]

Range Summary Comments: _____

Daily Questions Summaries: _____

Comments:

Date: 01 Mar 2014
Daily log shows on duty in Calgary, AB from 07:00 to 17:00, while fuel statement shows fueling in Medicine Hat, AB at 15:00.

Date: 02 Mar 2014
Missing municipality/province at change in duty status.

Date: 03 Mar 2014
Drive after 14 hrs starting at 15:45 for 1 hr. Driver failed to have 10 hrs off-duty in a day.

Date: 04 Mar 2014
Daily log shows leaving Calgary, AB at 07:30 and arriving in High Level, AB at 19:00, while fuel statement shows fueling in Calgary, AB at 13:15.

Insert Standard Comment... Undo All Save

Help... Close

Hours of Service Daily Records - Federal - [ABC Trucking Ltd]

Select Driver: Hours of Service Sample Size: 3

Daily Time Records: Start Date: 01 Mar 2014
 Select Range: New Range... Open Range... End Date: 14 Mar 2014

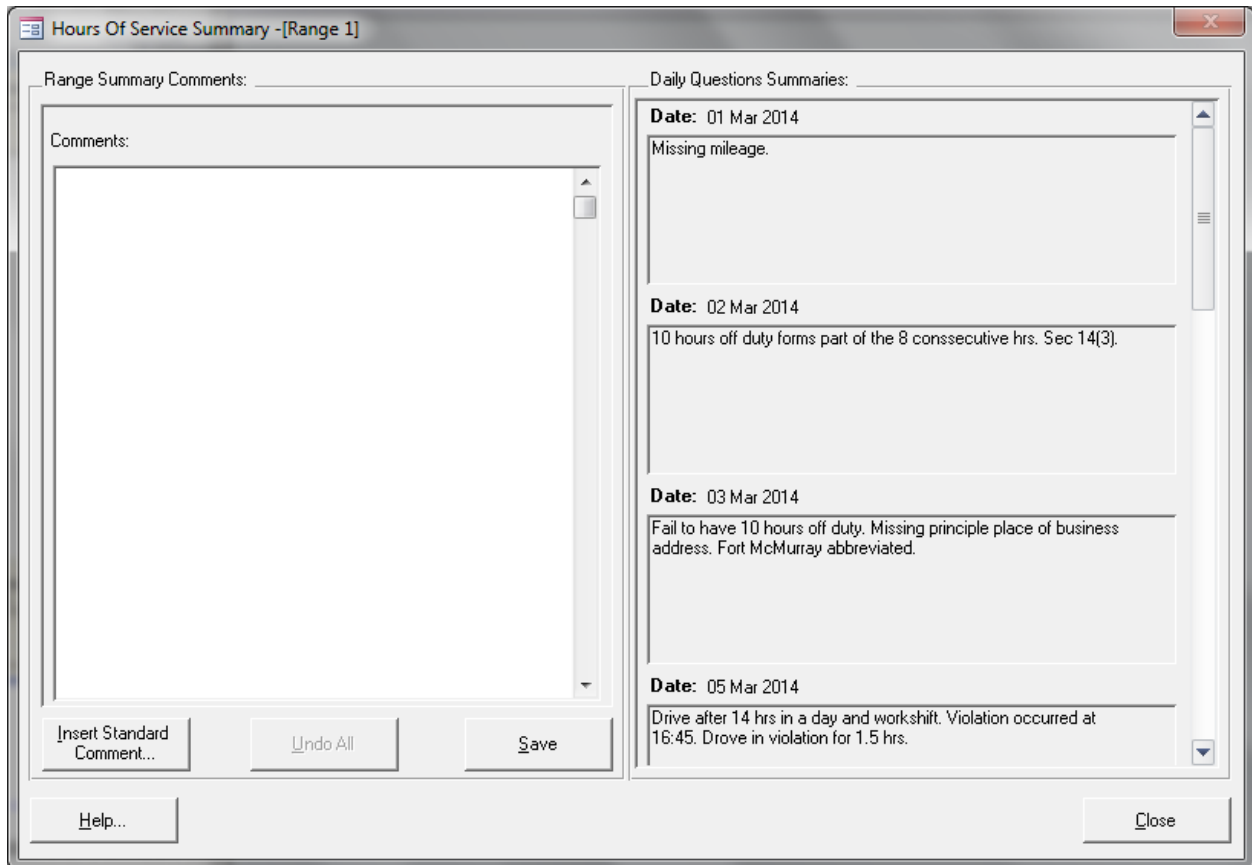
Date	Total On-Duty for:				Violations					Cycle Reset
	Work Day	Cycle	Past7 Days	Past14 Days	13H	14H	16H	70H	120H	
01 Mar 2014	10.75	1	10.75	10.75						<input type="checkbox"/>
02 Mar 2014	11.25	1	22.00	22.00						<input type="checkbox"/>
03 Mar 2014	14.50	1	36.50	36.50						<input type="checkbox"/>
04 Mar 2014	9.00	1	45.50	45.50						<input type="checkbox"/>
05 Mar 2014	16.00	1	61.50	61.50		1.50	1.25			<input type="checkbox"/>
06 Mar 2014	7.50	1	69.00	69.00						<input type="checkbox"/>
07 Mar 2014	6.50	1	75.50	75.50				4.50		<input type="checkbox"/>
08 Mar 2014	10.25	1	75.00	85.75				3.75		<input type="checkbox"/>
09 Mar 2014	11.00	1	74.75	96.75				4.50		<input type="checkbox"/>
10 Mar 2014	11.00	1	71.25	107.75				1.00		<input type="checkbox"/>
11 Mar 2014	6.00	1	68.25	113.75						<input type="checkbox"/>
12 Mar 2014	0.00	1	52.25	113.75						<input type="checkbox"/>
13 Mar 2014	0.00	1	44.75	113.75						<input type="checkbox"/>
14 Mar 2014	8.00	1	46.25	121.75						<input type="checkbox"/>

Daily Questions: Date: 01 Mar 2014

Question	Answer
	Y N N/A
Is there a daily log or time record when require	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Is the daily log or time record true and accurat	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Is there only one daily record for the day?	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Is there 24 consecutive hours off duty in the p	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Is the log current to the last change in duty sta	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Daily - Log in compliance with the 13-hour "dri	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Daily - Log in compliance with the 14-hour "on	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Daily - Log in compliance with the 10-hour "off	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Work shift - Log in compliance with the 13-ho	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Work shift - Log in compliance with the 14-ho	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Work shift - Log in compliance with the 16-ho	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Cycle 1 - Log in compliance with Cycle 1 requi	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Cycle 2 - Log in compliance with Cycle 2 requi	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Are the Form and Manner requirements compl	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>

of Days: 14 Calculate On-Duty Hours No Record (for date range) Worksheet Summary (for Date)...

Help... Driver H of S Summary... PC Miler Driver T totals... Undo All Save Close



Next . . .

Learn about the *Vehicle Files* required during an audit.

MODULE

4

Vehicle Files

4.1 Vehicle Files: Section Outcomes and Guiding Questions

Section Outcomes

Once you have completed this section, you will be able to:

- Evaluate whether the carrier has complied with applicable legislation requirements;
- Identify and evaluate if a carrier's Maintenance Program contains the minimum items required by legislation for the types of equipment the carrier operates;
- Examine a vehicle file, kept by a carrier, and determine the level of compliance to legislation.



Guiding Questions

As you review through this section, think about the following:

1. What information must each vehicle file contain?
2. Who is responsible for reporting safety defects?
3. Who is responsible for repairing safety defects?
4. Why is it necessary for carriers to maintain vehicle files for every NSC vehicle?

4.2 Vehicle Files

Introduction

Vehicle files are records that are kept by carriers which contain information on all of their NSC vehicles. They may be in paper or electronic format, or a combination of both. They must also contain information on such items as repairs, inspections, lubrication and preventive maintenance. The legislative sections (upon which the ARC audit questions are based) are reviewed below.

Commercial Vehicle Safety Regulation
AR 121/2009 Section 37(2)(a)

A carrier shall maintain, or cause to be maintained, the following records pertaining to each commercial vehicle used in the carrier's business:

- (a) an identification of the vehicle, including
 - (i) a unit number, the manufacturer's serial number or similar identifying mark,
 - (ii) the make of the vehicle, and
 - (iii) the year of manufacture:

Explanation: The auditor must verify that the carrier has a record for each NSC vehicle that contains an identifying mark (serial number, unit number, licence plate, etc) for that vehicle, the make and year.

Commercial Vehicle Safety Regulation
AR 121/2009 Section 37(2)(b)

A carrier shall maintain, or cause to be maintained, the following records pertaining to each commercial vehicle used in the carrier's business:

(b) record of the inspection of the vehicle under the *Vehicle Inspection Regulation* (AR211/2006), and repairs, lubrication and maintenance for the vehicle, including:

- (i) the nature of the inspection or work performed on the vehicle, and
- (ii) the date on which that inspection or work took place and the odometer or hubometer reading on the vehicle at that time;

Explanation: The CVIP inspection, repair, lubrication and maintenance records must be on file and contain the date, mileage reading and the work performed on the vehicle.

Commercial Vehicle Safety Regulation
AR 121/2009 Section 37(2)(c)

A carrier shall maintain, or cause to be maintained, the following records pertaining to each commercial vehicle used in the carrier's business:

(c) notices of defect received from the vehicle manufacturer and the corrective work done on the vehicle in relation to those notices.

Explanation: Vehicle recall notices and the resulting repairs are required to be kept on file.

Commercial Vehicle Safety Regulation
AR 121/2009 Section 37(2)(d)

A carrier shall maintain, or cause to be maintained, the following records pertaining to each commercial vehicle used in the carrier's business:
(d) trip inspection reports prepared under section 12.

Explanation: The carrier must keep trip inspection reports.

Commercial Vehicle Safety Regulation
AR 121/2009 Section 37(3)

Unless otherwise authorized by the Registrar, a carrier shall maintain, or cause to be maintained, the records referred to in subsection (2) at the carrier's principal place of business.

Explanation: The records must be at the carrier's principal place of business unless allowed otherwise.

Commercial Vehicle Safety Regulation
AR 121/2009 Section 37(4)

The carrier shall ensure that the records required to be maintained under this section are true, accurate and legible.

Explanation: The records must be correct and readable.

*Commercial Vehicle Safety Regulation***AR 121/2009 Section 8**

When the owner or a carrier receives a notice of a defect in respect of one of the owner's or carrier's commercial vehicles, the owner or carrier shall immediately:

- (a) repair or otherwise modify the vehicle, or cause it to be repaired or modified, in accordance with instructions provided by the manufacturer in the notice, or
- (b) if instructions are not given by the manufacturer, repair or otherwise modify the vehicle as necessary to correct the defect.

Explanation: The carrier shall repair the vehicle defects when notified (by driver, CVSA inspector, etc).

*Commercial Vehicle Safety Regulation***AR 121/2009 Section 10(8)**

If a driver or a person authorized by the owner to conduct a trip inspection under this section believes or suspects that there is a safety defect in a commercial vehicle inspected under this section, the driver or the person authorized by the owner shall report the defect to the owner of the commercial vehicle

- (a) without delay if the defect is a major defect, or
- (b) in a timely manner, and not later than the next required daily trip inspection, in all other cases.

Explanation: Vehicle defects must be reported to the owner immediately if a major defect or in timely manner for all other defects.

ARC Audit – Vehicle Information

The *Vehicle Information* form is used to enter or update vehicle information. This form also serves as the launch point for the *CVIP Inspection Maintenance form*.

What to do?

1. From the *Carrier Details* screen, select the [Vehicle Files](#) tab. This will take you to the *Vehicle Information Screen* as shown in figure 1.
2. Using the data provided by the carrier, select a vehicle file and enter the information in the top half of the screen called “[Vehicle Details](#)”. This can be obtained from such documents as the Equipment List supplied by the carrier.
3. Once this data is entered, select [Save](#) in the top half of the screen.
4. Proceed to the lower half of the screen called “[Vehicle File](#)”.
5. Answer each question using the answer guidelines provided in the “[Help](#)” [ARC Reference Manual](#)”.
6. Add comments to explain your answer in the comment section to the right of the question.
7. Select [Save](#) and then select the “[CVIP Inspections](#)” tab to move on to the next form.

Vehicle Information - [ABC Trucking Ltd]

Select Vehicle: [Dropdown] Vehicle Sample Size: 3

Vehicle Details:

Licence Plate #: [Text] Operating Area: [Dropdown]

Jurisdiction: [Dropdown] Leased?:

VIN: [Text] Leasing Name: [Text]

Unit #: [Text] In Service Date: [Text]

Vehicle Type: [Dropdown] Comments: [Text Area]

Vehicle Make: [Dropdown]

Manufacture Year: [Text]

Seating Capacity: [Text] Registered Weight (KG): [Text]

Buttons: New, Delete, CVIP Inspections..., Undo All, Cancel, Save

Vehicle File:

Question	Answer			Required	Comment
	Y	N	N/A		
Does the individual vehicle file contain the following: make, year, unit number, the manufacturer's seri...	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	[Text]
Can the carrier produce Trip Inspection reports as required?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	[Text]
Can the carrier produce repair records each recorded with: date; vehicle identification; nature of work	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	[Text]
Can the carrier produce lubrication records each recorded with: date; vehicle identification; nature of v	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	[Text]
Can the carrier produce scheduled maintenance records each recorded with: date; vehicle identificati	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	[Text]
Have all notices of defects received from the manufacturer and the corrective work done on the vehic	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	[Text]
Does the individual vehicle file contain records of all CVIP Inspection certificates and completed "Rec	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	[Text]
Are notices of defect(s) being recorded when a defect is identified?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	[Text]

Buttons: Help..., Worksheet Summary..., Undo All, Save, Close

Figure 1: Vehicle Information Form

Next . . .

- Apply what you have learned in this section in the *Quiz* section that follows.

IMPORTANT

BEFORE proceeding please review the contents of section 17 in the Help ARC Reference Manual.

4.2.1 Quiz: Vehicle Files

This assignment will familiarize you with entering the vehicle information for a carrier's vehicle within the ARC program. Using the information just presented in *Section 4.2 – Vehicle Files*, start the ARC program and login. Remember, you can also use the ARC program's built-in reference manual to assist you as well.

To successfully finish this quiz, you will need to:

- Start the program;
- Login to ARC;
- Select the [Facility Audit](#) tab;
- Select the audit for the carrier ABC Trucking Ltd;
- Select the [Carrier Details](#) tab;
- Select the [Vehicle Files](#) tab;
- Enter the appropriate data from the information provided below;
- Add comments to assist the carrier in complying with legislation;
- Save your work.

Now, complete your assignment using the information below.

1. As we have learned previously, the carrier has three tandem trucks. Enter the information for the vehicles using the data from pages 155 to 157.

Note: Carriers record vehicle maintenance data in a variety of forms and in different mediums. Documents such as these are not uncommon.

TRUCK/TRAILER TRIP INSPECTION REPORT

Carrier's name (as per registration): _____

Truck plate number: _____ Trailer plate number: _____

Trailer plate number(s): _____

Location of inspection (Municipality or location on highway): _____

Odometer reading: _____ or Hub reading: _____

I performed an inspection of the vehicle noted above using the criteria set out in Schedule 1 of Part 2, NSC Standard 13 and as per sections 10(4) and 10(10) of Alberta's *Commercial Vehicle Safety Regulation*, AR 121/2009 and report the following:

No defects were found

Defects Detected (Mark "√" for a minor defect, and "X" for a major defect)

- | | |
|---|------------------------------|
| 1. Air Brake System | 12. Fuel System |
| 2. Cab | 13. General |
| 3. Cargo Securement | 14. Glass and Mirrors |
| 4. Coupling Device | 15. Heater/Defroster |
| 5. Dangerous Goods | 16. Horn |
| 6. Driver Controls | 17. Hydraulic Brake System |
| 7. Driver Seat | 18. Lamps and Reflectors |
| 8. Electric brake system | 19. Steering |
| 9. Emergency Equipment & Safety Devices | 20. Suspension System |
| 10. Exhaust System | 21. Tires |
| 11. Frame and Cargo Body | 22. Wheels Hubs and Fastener |
| | 23. Windshield Wipers/Washer |

Provide details of defect(s) detected and which vehicle detected on (truck; trailer 1; trailer 2):

 Name of person completing inspection
 (Print name)

 Signature of person completing inspection

Provide details of defect(s) detected at any other time(s):

 Name of person identifying defect(s)
 (Print name)

 Signature of person identifying defect(s)

Certification of Repairs Completed:

I certify all defects have been repaired I certify repair(s) were unnecessary

Remarks:

 Print Certifier's Name

 Certifier's Signature

Inspection, Repair & Maintenance Record		
Vehicle Identification		
Kenworth <small>(Make)</small>	1XXXX11X1XX111111 <small>(Serial Number)</small>	
1997 <small>(Year)</small>		
204 <small>(Unit #)</small>	Joe D. Owner <small>(Owner, if leased)</small>	
Date	Odometer	Operation Performed, Inspection, and/or Repair
Jan 15/03	1196264	Complete Service – Oil & Grease, MB Safety Inspection
Feb 23/03	1204343	Sealed beam lamp
Mar 16/03	1209458	1 flat repair
Mar 29/03	1211007	Complete Service – Oil & Grease
April 11/03	1214775	Diesel fuel conditioner
April 30/03	1220009	Windshield, antifreeze
May 27/03	1224991	Complete Service – Oil & Grease
Jun 1/03	1228334	Check out lights, right side turn signal burnt out
Jun 17/03	1231112	5 th Wheel grease
Jun 30/03	1239127	Complete Service – Oil & Grease
Jul 19/03	1246621	Repair anti freeze leak
July 25/03	1251186	MB Safety Inspection
Aug 29/03	1253126	Complete Service – Oil & Grease
Sep 3/03	1258544	Replace fan belt
Sep 15/03	1258909	Remove front wheel and check for run out on hub
Sep 20/03	1263477	Remove and replace service air line from truck to trailer
Oct 23/03	1267919	Complete Service – Oil & Grease
Nov 6/03	1268556	Front end alignment
Nov 29/03	1271882	Pedal assembly
Dec 12/03	1279932	Heater control not working
Jan 21/04	1283248	Complete Service – Oil & Grease, MB Safety Inspection
Feb 3/04	1287112	Replace left rear driver air axel air bag
Feb 25/04	1292543	Repair exhaust leak in flex pipe
Mar 11/04	1297469	Complete Service – Oil & Grease
Mar 31/04	1309842	Replace shoes and drums or rear axles
Apr 10/04	1311345	Complete Service – Oil & Grease

Vehicle: Unit 1

The file for Unit 1 reveals that it is a 2010 International, VIN # 091827, with Alberta licence # 1-98476 registered for 23,600 kilograms.

You also find the following documents on file:

- A bill of sale from the International Dealer in Calgary to ABC Trucking dated May 30, 2010;
- Repair invoices with the date, unit number, odometer reading and items repaired since it has been in service.;
- Lubrication records with the odometer readings for oil changes and lubrications since it has been in service;
- Regularly scheduled maintenance records for every month since it has been in service;
- The vehicle has not been modified in any way, nor has there been any manufacturers' recall notices for the vehicle;
- Annual inspection certificates (CVIP) since it has been in service; and
- A roadside CVSA (Commercial Vehicle Safety Alliance) inspection form dated June 15, 2013.

Vehicle: Unit 2

The file for Unit 2 reveals that it is a 2011 International, VIN # 081326, with Alberta licence # 1-73696 registered for 23,600 kilograms.

You also find the following documents on file:

- A bill of sale from the International Dealer in Calgary to ABC Trucking dated June 10, 2011;
- Twelve months of trip inspection records with the date, unit number, odometer reading and an incomplete listing of items repaired since it has been in service;
- Repair invoices with incomplete dates, unit number, missing odometer reading and an incomplete listing of items repaired since it has been in service;
- Lubrication records in the file show the date, unit number, odometer reading and oil changes and lubrications on the vehicle since 2011;
- The vehicle has not been modified in any way, nor has there been any manufacturers' recall notices for the vehicle;
- Annual inspection certificates (CVIP) since it has been in service; and
- A roadside CVSA (Commercial Vehicle Safety Alliance) inspection form dated May 25, 2013.

Vehicle: Unit 3

The file for Unit 3 reveals that it is a 2012 International, VIN # 135857, with Alberta licence # 1-29483 registered for 22,600 kilograms. It has been in service since July 20, 2012.

You also find the following documents on file:

- A bill of sale from the International Dealer in Calgary to ABC Trucking dated July 20, 2012;
- Trip inspection records with the date, unit number, odometer reading and items inspected;
- You observe that the trip inspections contain notes of defective items once in a while;
- Repair invoices with the date, unit number, odometer reading and items repaired since it has been in service;
- Lubrication records with the odometer readings for oil changes and lubrications since it has been in service;
- Regularly scheduled maintenance records for every month since it has been in service;
- The vehicle has not been modified in any way, nor have there been any manufacturers' recall notices for the vehicle;
- There is one annual inspection certificate in the file, Alberta, # CV112690, issued July 20, 2012; and
- A roadside CVSA (Commercial Vehicle Safety Alliance) inspection form dated April 15, 2013.

4.2.2 Quiz: Answer Key

Check you answer from 1.4.2 Quiz: *Vehicle Files* by comparing your audit screens with the ones provided below.

Vehicle Information - [ABC Trucking Ltd]

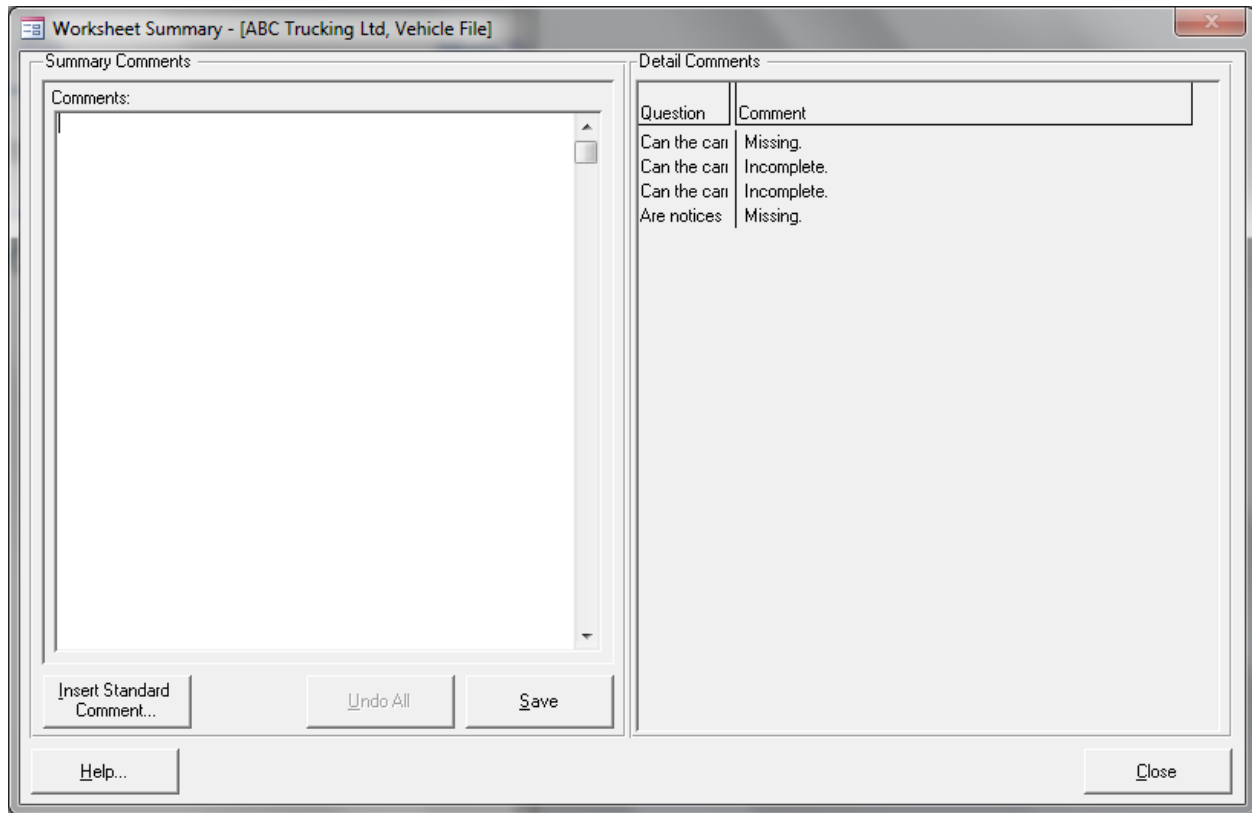
Select Vehicle: **Truck, Unit: 1, Plate #: 198476** Vehicle Sample Size: 3

Vehicle Details:

Licence Plate #: 198476	Operating Area: Canada Only	<input type="button" value="New"/> <input type="button" value="Delete"/> <input type="button" value="CVIP Inspections ..."/> <input type="button" value="Undo All"/> <input type="button" value="Cancel"/> <input type="button" value="Save"/>
Jurisdiction: Alberta	Leased?: <input type="checkbox"/>	
VIN: 091827	Leasor Name:	
Unit #: 1	In Service Date: 30 May 2010	
Vehicle Type: Truck	Comments:	
Vehicle Make: International		
Manufacture Year: 2000		
Seating Capacity:	Registered Weight (KG): 23600	

Vehicle File:

Question	Answer			Required	Comment
	Y	N	N/A		
Does the individual vehicle file contain the following: make, year, unit number, the manufacturer's seri. <input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Can the carrier produce Trip Inspection reports as required? <input type="radio"/> <input checked="" type="radio"/> <input type="radio"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Missing.
Can the carrier produce repair records each recorded with: date; vehicle identification; nature of work. <input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Incomplete
Can the carrier produce lubrication records each recorded with: date; vehicle identification; nature of v. <input type="radio"/> <input checked="" type="radio"/> <input type="radio"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Incomplete
Have all notices of defects received from the manufacturer and the corrective work done on the vehic. <input type="radio"/> <input type="radio"/> <input checked="" type="radio"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
Does the individual vehicle file contain records of all CVIP Inspection certificates and completed "Rec <input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Are notices of defect(s) being recorded when a defect is identified? <input type="radio"/> <input checked="" type="radio"/> <input type="radio"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Missing.



The screenshot shows a dialog box titled "Worksheet Summary - [ABC Trucking Ltd, Vehicle File]". It is divided into two main sections: "Summary Comments" on the left and "Detail Comments" on the right. The "Summary Comments" section contains a large empty text area labeled "Comments:". Below this area are three buttons: "Insert Standard Comment...", "Undo All", and "Save". The "Detail Comments" section contains a table with two columns: "Question" and "Comment". The table lists three rows of data. At the bottom of the dialog box, there are two buttons: "Help..." on the left and "Close" on the right.

Question	Comment
Can the car	Missing.
Can the car	Incomplete.
Can the car	Incomplete.
Are notices	Missing.

Vehicle Information - [ABC Trucking Ltd]

Select Vehicle: **Truck, Unit: 2, Plate #: 173696** Vehicle Sample Size: 3

Vehicle Details:

Licence Plate #: 173696 Operating Area: Canada Only
 Jurisdiction: Alberta Leased?:
 VIN: 081326 Leasor Name: _____
 Unit #: 2 In Service Date: 10 Jun 2011
 Vehicle Type: Truck Comments: _____
 Vehicle Make: International
 Manufacture Year: 2011
 Seating Capacity: _____ Registered Weight (KG): 23600

New
 Delete
 CVIP Inspections ...
 Undo All
 Cancel
 Save

Vehicle File:

Question	Answer			Required	Comment
	Y	N	N/A		
Does the individual vehicle file contain the following: make, year, unit number, the manufacturer's seri. <input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Can the carrier produce Trip Inspection reports as required? <input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Can the carrier produce repair records each recorded with: date; vehicle identification; nature of work <input type="radio"/> <input checked="" type="radio"/> <input type="radio"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Incomplete
Can the carrier produce lubrication records each recorded with: date; vehicle identification; nature of v <input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Can the carrier produce scheduled maintenance records each recorded with: date; vehicle identificati <input type="radio"/> <input checked="" type="radio"/> <input type="radio"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Missing.
Have all notices of defects received from the manufacturer and the corrective work done on the vehic <input type="radio"/> <input type="radio"/> <input checked="" type="radio"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
Does the individual vehicle file contain records of all CVIP Inspection certificates and completed "Rec <input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Are notices of defect(s) being recorded when a defect is identified? <input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

Worksheet Summary...
 Undo All
 Save

Help... Close

The screenshot shows a window titled "Worksheet Summary - [ABC Trucking Ltd, Vehicle File]". It is divided into two main sections: "Summary Comments" on the left and "Detail Comments" on the right. The "Summary Comments" section contains a large empty text area labeled "Comments:". The "Detail Comments" section contains a table with two columns: "Question" and "Comment".

Question	Comment
Can the car	Incomplete.
Can the car	Missing.

At the bottom of the window, there are several buttons: "Insert Standard Comment...", "Undo All", "Save", "Help...", and "Close".

Vehicle Information - [ABC Trucking Ltd]

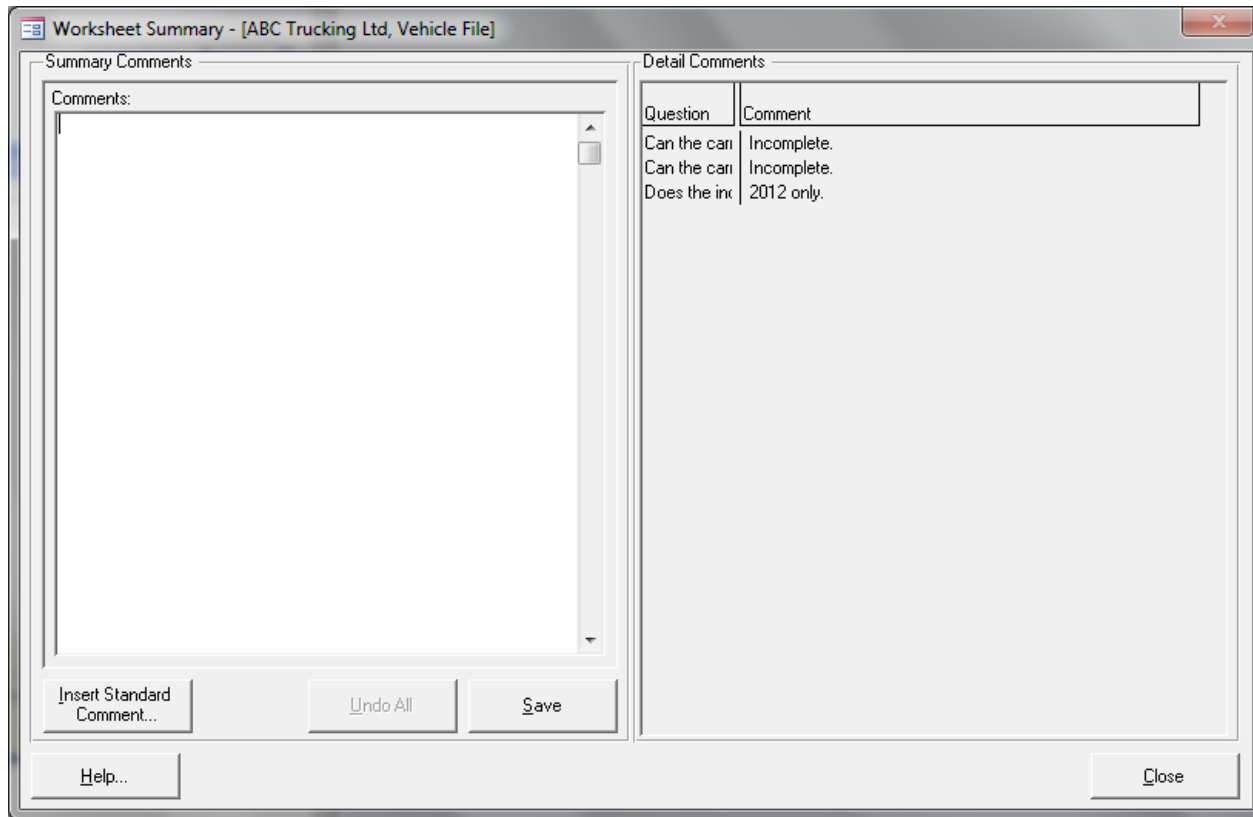
Select Vehicle: **Truck, Unit: 3, Plate #: 129483** Vehicle Sample Size: 3

Vehicle Details:

Licence Plate #: 129483	Operating Area: Canada Only	<input type="button" value="New"/> <input type="button" value="Delete"/> <input type="button" value="CVIP Inspections ..."/> <input type="button" value="Undo All"/> <input type="button" value="Cancel"/> <input type="button" value="Save"/>
Jurisdiction: Alberta	Leased?: <input type="checkbox"/>	
VIN: 135857	Leasor Name:	
Unit #: 3	In Service Date: 20 Jul 1012	
Vehicle Type: Truck	Comments:	
Vehicle Make: International		
Manufacture Year: 2012		
Seating Capacity:	Registered Weight (KG): 22600	

Vehicle File:

Question	Answer			Required	Comment
	Y	N	N/A		
Does the individual vehicle file contain the following: make, year, unit number, the manufacturer's seri.	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Can the carrier produce Trip Inspection reports as required?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Can the carrier produce repair records each recorded with: date; vehicle identification; nature of work	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Can the carrier produce lubrication records each recorded with: date; vehicle identification; nature of work	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Incomplete
Can the carrier produce scheduled maintenance records each recorded with: date; vehicle identification; nature of work	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Incomplete
Have all notices of defects received from the manufacturer and the corrective work done on the vehicle	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="checkbox"/>	
Does the individual vehicle file contain records of all CVIP Inspection certificates and completed "Rec	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	2012 only.
Are notices of defect(s) being recorded when a defect is identified?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	



Next . . .

- Review the procedures for evaluating CVIP vehicle files.

4.3 CVIP

Introduction

A key goal of Alberta Transportation is to ensure commercial vehicles travelling on Alberta's highways are mechanically safe. Vehicles that are unsafe or are in poor condition increase the risk of collisions. With this in mind, a network of private facilities has been set up to conduct inspections, under the Commercial Vehicle Inspection Program (CVIP) licensed by the Vehicle Safety Section of Alberta Transportation.

Registered owners are responsible for ensuring that each bus, truck, light truck or trailer they own receives the required inspection. Trucks, truck-tractors, light trucks, trailers, and semi-trailers with a combined weight of 11,794 kilograms must be inspected annually. As well, all registered buses designed to carry 11 or more people, including the driver, must be inspected semi-annually.

In this section, the auditor will examine these inspection documents for each vehicle file that is part of the sample and enter the data from the inspection certificate into the ARC audit program as indicated below. A Third Party Auditor may find an inspection certificate issued by another jurisdiction with the vehicle file. The information from these certificates should be entered as well.



© Internet Photo Clipart

What to do?

1. On the right side of the *Vehicle Information* window is the “[CVIP Inspections](#)” button.
2. Select this button to enter the CVIP inspection information for the selected vehicle. The screen shown in *Figure 1* should be displayed.

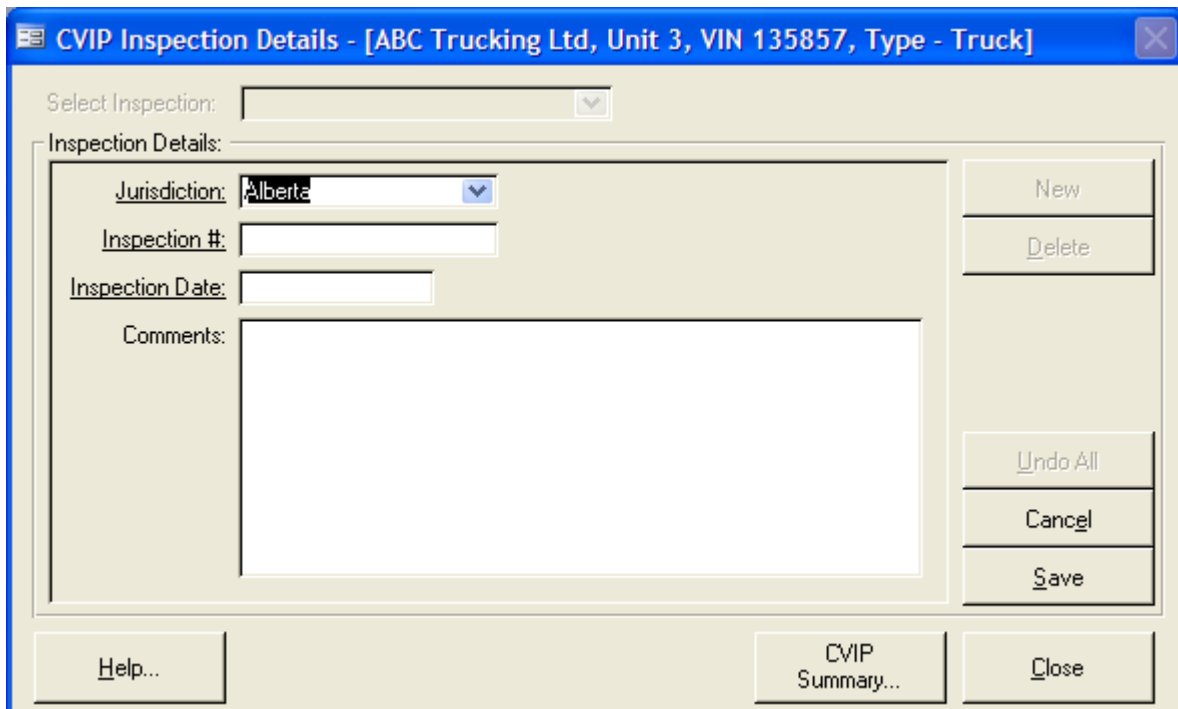


Figure 1: CVIP Inspection Information Screen

3. Enter CVIP information for the selected vehicle (Jurisdiction, Inspection # and Inspection Date) in the appropriate fields.
4. Select the jurisdiction, where the inspection was conducted, from the drop-down list (it will default to Alberta).
5. Enter the inspection certificate number.
6. Enter the inspection date.
7. Once all the required information for the vehicle has been entered, select [Save](#).
8. Select the [New](#) button to enter data for more than one inspection.

9. Select Close when you are finished with entering data for all the inspection certificates you are required to review.
10. Repeat this process for each vehicle that being sampled for the audit.

Note: Alberta CVIP inspection numbers begin with two letters. For inspection forms from other jurisdictions that use only numbers, enter the standard two-letter abbreviation for that jurisdiction as the prefix of the inspection number (e.g., enter “BC 128934” for a CVIP done in B.C.).

Note: If more than one CVIP inspection already exists, select and edit any one of them from the Select Inspection drop-down list.

Next . . .

- Test your skills in the Quiz section.

Commercial Vehicle Inspection Station



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4.3.1 Quiz: CVIP

This assignment will familiarize you with entering the vehicle information from a carrier's vehicle file within the ARC program. Using the information just presented in *Section.4.3 - CVIP*, start the ARC program and login. Remember, you can also use the ARC program's built in reference manual to assist you as well.

IMPORTANT

BEFORE proceeding please review the contents of section 18 in the Help ARC Reference Manual.

To successfully finish this quiz, you will need to:

- Start the program;
- Login to ARC;
- Select the [Facility Audit](#) tab;
- Select the audit for the carrier ABC Trucking Ltd;
- Select the [Carrier Details](#) tab;
- Select the [Vehicle Files](#) tab;
- Select the [CVIP Inspection](#) tab;
- Enter the appropriate data from the information provided below;
- Add comments to assist the carrier in complying with legislation; and
- Save your work.

Now, complete your assignment using the information below. As you have learned previously, the carrier has three tandem trucks:

4.3.1 Quiz: CVIP

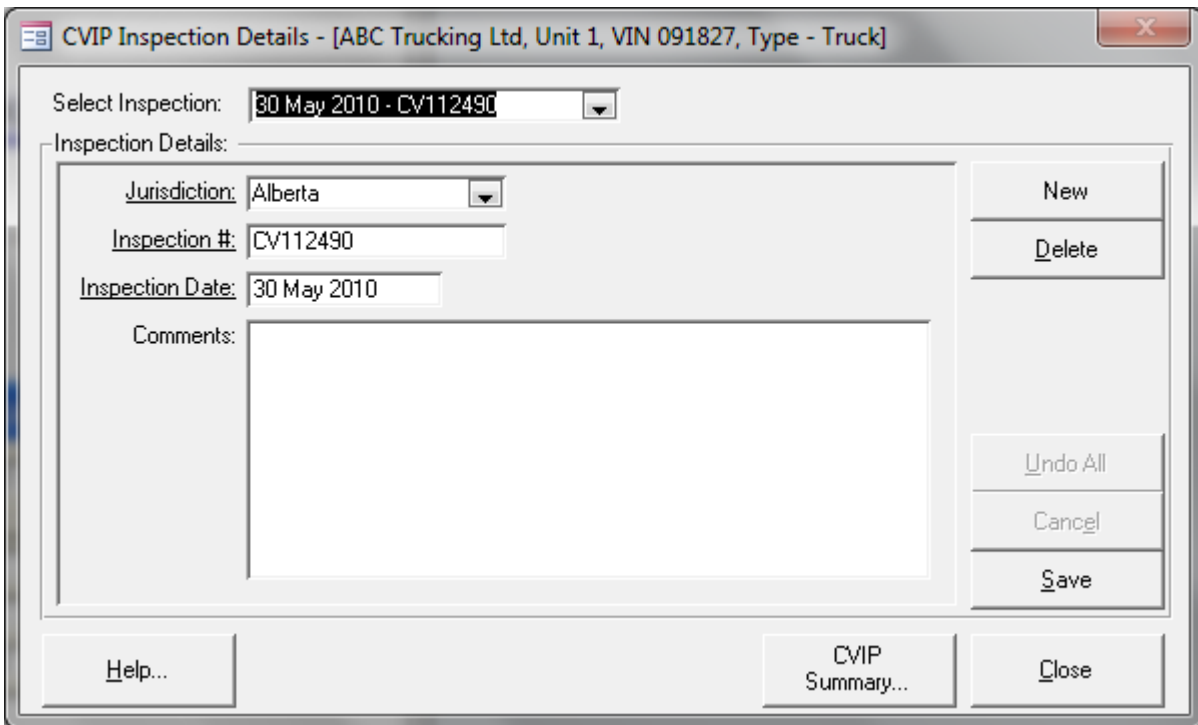
1. Vehicle Unit 1 is a 2010 International, VIN # 091827, Alberta licence # 198476. It has been in service since May 30, 2010.
2. There are the following annual inspection certificates from Alberta in the file: # CV112490, issued May 30, 2010; # CV112480 issued May 30, 2011; # CV112470 issued July 20, 2012; # CV112460 issued May 30, 2013.
3. Vehicle Unit 2 is a 2011 International, VIN # 081326, Alberta licence # 173696. It has been in service since June 10, 2011.
4. There are the following annual inspection certificates from Alberta in the file: # CV112590, issued June 10, 2011; # CV112580 issued June 10, 2012; # CV112570 issued August 20, 2013.
5. Vehicle Unit 3 is a 2012 International, VIN # 135857, Alberta licence # 129483. It has been in service since July 20, 2012.
6. There are the following annual inspection certificates from Alberta in the file: # CV112690, issued July 20, 2012.



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4.3.2 Quiz: Answer Key

Check your answers from *4.3.1 Quiz: CVIP* by comparing your audit screens with the ones provided below.



The screenshot shows a software window titled "CVIP Inspection Details - [ABC Trucking Ltd, Unit 1, VIN 091827, Type - Truck]". The window contains the following elements:

- Select Inspection:** A dropdown menu with the selected value "30 May 2010 - CV112490".
- Inspection Details:** A section containing:
 - Jurisdiction:** A dropdown menu with "Alberta" selected.
 - Inspection #:** A text input field containing "CV112490".
 - Inspection Date:** A text input field containing "30 May 2010".
 - Comments:** A large empty text area for notes.
- Buttons:**
 - On the right side: "New", "Delete", "Undo All", "Cancel", and "Save".
 - At the bottom: "Help...", "CVIP Summary...", and "Close".

CVIP Inspection Details - [ABC Trucking Ltd, Unit 2, VIN 081326, Type - Truck]

Select Inspection: 10 Jun 2011 - CV112590

Inspection Details:

Jurisdiction: Alberta

Inspection #: CV112590

Inspection Date: 10 Jun 2011

Comments:

Buttons: New, Delete, Undo All, Cancel, Save, Help..., CVIP Summary..., Close

CVIP Inspection Details - [ABC Trucking Ltd, Unit 3, VIN 135857, Type - Truck]

Select Inspection: 20 Jul 2012 - CV112690

Inspection Details:

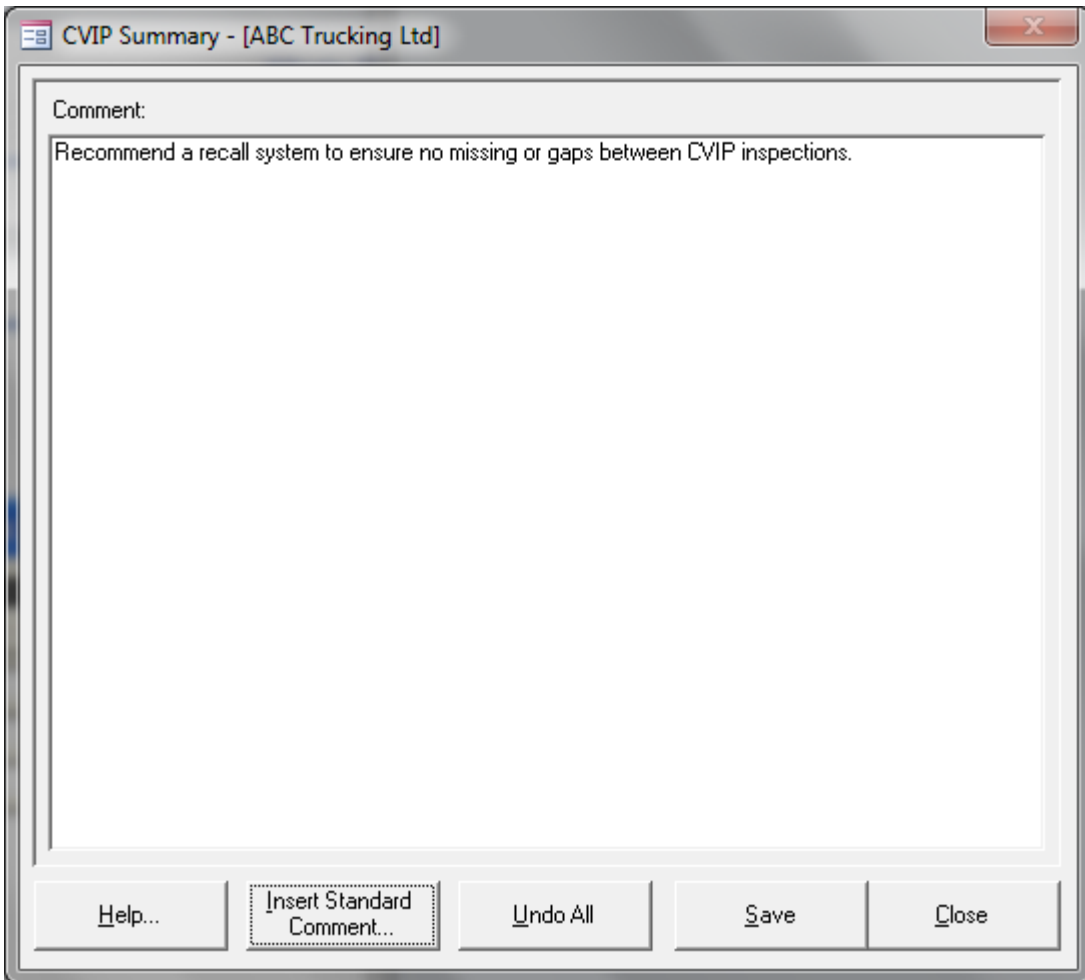
Jurisdiction: Alberta

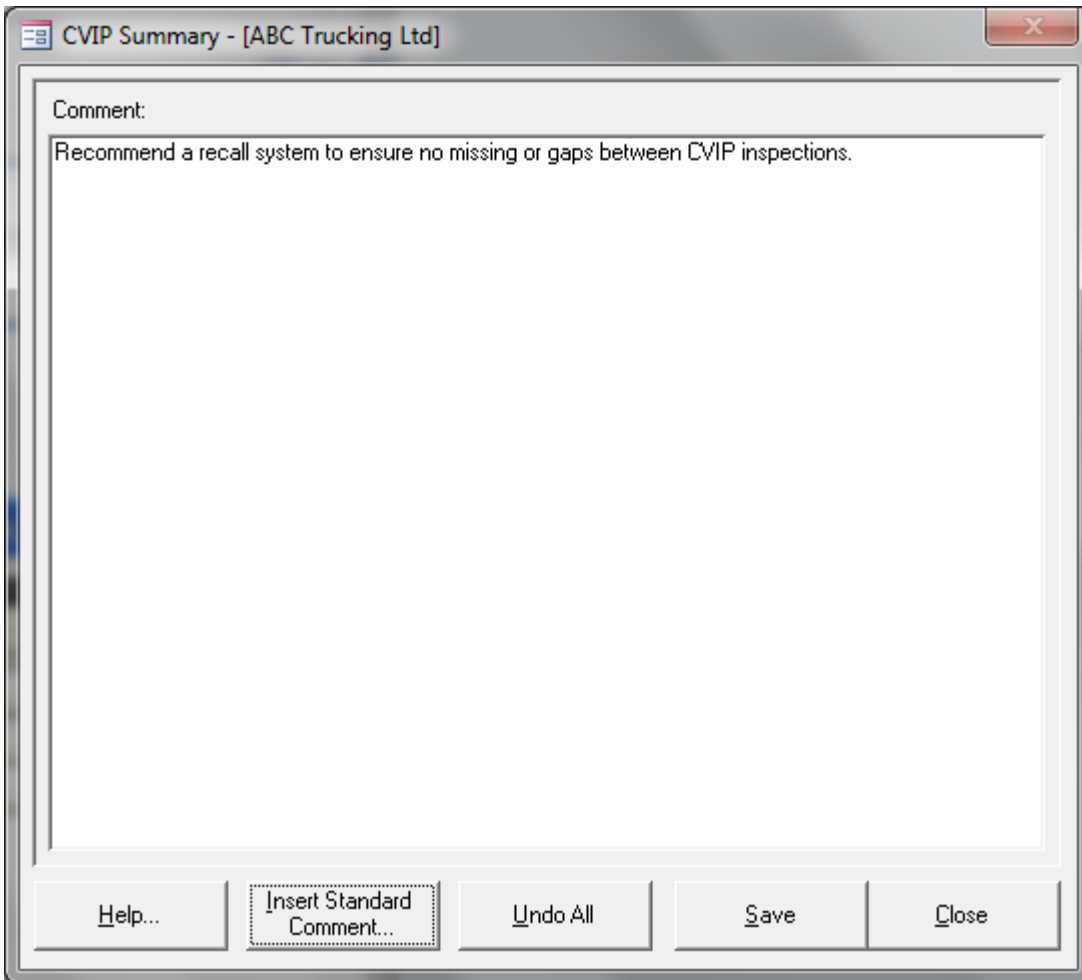
Inspection #: CV112690

Inspection Date: 20 Jul 2012

Comments:

Buttons: New, Delete, Undo All, Cancel, Save, Help..., CVIP Summary..., Close





[Next . . .](#)

Find out about the carrier's legal requirements for maintaining safety records in *Safety* section.

MODULE 5

Safety

5.1 Safety: Section Outcomes and Guiding Questions

Section Outcomes

Once you have completed this section, you will be able to:

- Determine if a carrier has complied with all applicable legislation;
- Evaluate a carrier's safety program, including whether it has complied with current legislation;
- Examine a carrier's insurance policies and evaluate if a carrier has the required policies in the required minimum amounts;
- Identify if a carrier has complied with the four areas of the Dangerous Goods legislation;
- Determine if a carrier has complied with collision related legislation.



Guiding Questions

As you review through this section, think about the following:

1. What Acts and Regulations does Alberta have to ensure the safety of all its drivers?
2. Explain the parts of a safety program you will assess as a TPA?
3. How do you know if a carrier's insurance policies meet the minimum requirement?

5.2 Carrier Safety

Introduction

It is a condition of every safety fitness certificate that the registered owner and its employee must comply with the safety program, maintain records and designate an official to administer the program. In this section, we will review the legal requirement to maintain records and have a person responsible for administering the safety program.

Commercial Vehicle Certificate and Insurance Regulation
AR 314/2002 Section 43

- (1) Unless another enactment or the Registrar otherwise permits in writing, the records required to be maintained by a carrier under this regulation and under Commercial Vehicle Maintenance Standards Regulation (AR118/89) and Commercial Bus Inspection, Equipment and Safety Regulation (AR 428/91) must:
- (a) be kept at the carrier's principal place of business in Alberta;
 - (b) be retained for at least 5 years from the date they are created, established or received, and
 - (c) be readily available for inspection by a peace officer during the carrier's regular business hours.

Explanation: Driver records and vehicle maintenance records must be kept at the carrier's principal place of business in Alberta for 5 years and made available for inspection in order to verify that the carrier's policies are being followed.

Commercial Vehicle Certificate and Insurance Regulation
AR 314/2002 Section 40

- (2) The registered owner must designate a person as responsible for:
- (a) maintaining and implementing the safety program, and
 - (b) ensuring compliance with safety laws.

Explanation: The carrier must have a “safety officer” to ensure safety policies and laws are being followed.

Commercial Vehicle Certificate and Insurance Regulation
AR 314/2002 Section 42

(1) The registered owner must place in each commercial vehicle to which a certificate relates, or provide to each driver operating a commercial vehicle operated under the authority of a safety fitness certificate or operating authority certificate, or both, the original or a copy of the original certificate or certificates.

Explanation: The carrier’s Safety Fitness Certificate and/or Operating Authority must be in each NSC vehicle to assist on road enforcement officers.

ARC Audit – Carrier Safety

The *Worksheet (Carrier Safety)* form is used to record answers to questions relating to general Carrier Safety issues (Figure 1). All questions shown in Figure 1 below that show a check mark in the “Required” column are based upon the legislation sections mentioned above.

What to do?

1. Select “[Carrier Safety](#)” from the worksheet selection drop-down menu.
2. Answer each question using the answer guidelines provided in the “[Help](#)” [ARC Reference Manual](#).
3. Add comments to explain your answer in the comment section to the right of the question.
4. Select [Save](#) and then select the next worksheet from the drop-down menu to continue.

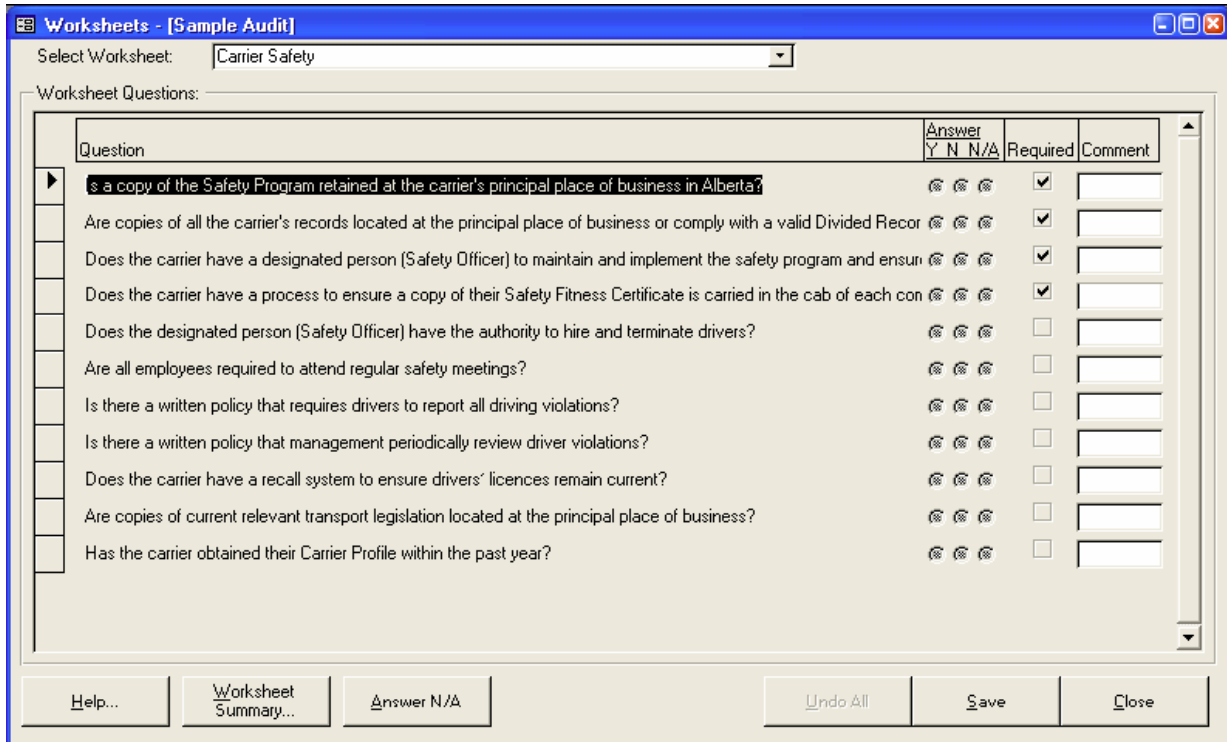


Figure 1: Carrier Safety Worksheet

Test your Knowledge:

A carrier maintains its principal office in one city and it has an office in a different city. Each office maintains records for the drivers that operate out of their respective office. Is this a violation? Why or why not?

IMPORTANT

BEFORE proceeding please review the contents of section 30 in the Help ARC Reference Manual.

Next . . .

- Take the section *Quiz*.

5.2.1 Quiz: Carrier Safety

This assignment will familiarize you with analyzing a carrier's safety policies. You will make a determination, based on the content within the policies, whether or not the policies meet the minimum legislative standards. You will then record your findings within the ARC program. Using the information just presented in *Section 5.2 – Carrier Safety*, start the ARC program and login. Remember, you can also use the ARC program's built in reference manual to assist you as well.

To successfully finish this quiz, you will need to:

- Start the program;
- Login to ARC;
- Select the Facility Audit tab;
- Select the audit for the carrier ABC Trucking Ltd;
- Select the Carrier Details tab;
- Select the Worksheets tab;
- Select Carrier Safety from the drop-down menu;
- Enter the appropriate data from the information provided below;
- Add comments to assist the carrier in complying with legislation;
- Save your work.



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Now, complete your assignment using the information below:

1. ABC Trucking Ltd has provided you with a copy of its safety program which contains the company's safety and maintenance policies. You will need to review the contents of this document in order to complete the Carrier Safety worksheet in the ARC program. This document will also be needed for all future quizzes.

5.2.1.1 ABC Carrier Safety and Maintenance Program

ABC Trucking Ltd.

Safety
And
Maintenance
Program

ABC Trucking Ltd Safety Program

Welcome to ABC Trucking Ltd. We at ABC Trucking Ltd sincerely believe that safety is everyone's business, and it is an integral part of every employee's job.

ABC Trucking Ltd is committed to a health and safety program that protects our staff, visitors to the site, our property and the general public.

Employees at all levels are responsible and are accountable for ensuring that all actions are done with their safety and the safety of others in mind.

Management is responsible for setting a positive example, providing leadership, developing safe work procedures and policies, and ensuring that the work environment meets or exceeds safety legislation.

Employees are responsible for following the procedures and policies and procedures developed and working towards improving the health and safety practices of this company.

Our ultimate goal is to have an injury free workplace for all employees. By working as a team, we will achieve this goal.

The information found in the Health and Safety Manual will guide the management in performing the 3 main components of an effective safety program.

1. Identifying and evaluating the Worksite HAZARDS that have the potential to cause loss.
2. Developing and implementing a suitable CONTROL method that will eliminate or reduce the hazard or otherwise protect the workers, property, product and the environment.
3. INSPECTING and AUDITING the worksite to ensure that the control methods are initially effective and continue to be effective as long as the hazard exists.

An effective safety program will protect you, company property and the public from harm or loss, and it also increases profitability of the company which is vital to our future progress and growth. The rules and working procedures applies to all employees and sub-contractors of ABC Trucking Ltd.

Should you have any questions regarding any of the information or policies contained in this manual, please do not hesitate to ask your foreman or bring it to the attention of management.

******* NO JOB IS SO URGENT THAT IT CANNOT BE DONE SAFELY *******

COMPANY SAFETY POLICY

This company is committed to a strong safety program that protects its staff, its property and the public from accidents.

Complete and active participation by everyone, every day, in every job is necessary for the safety excellence the company expects. Management supports co-ordination of safety among all workers on the job site.

Management supports participation in the program by all employees and provides proper equipment, training and procedures. Employees are responsible for following all procedures, working safely, and, wherever possible, improving safety measures.

The safety information in this policy does not take precedence over O.H. & S. Regulations. All employees should be familiar with the O.H. & S. Regulations.

Employees, contractors and subcontractors who knowingly violate company safety rules may face disciplinary action, dismissal or legal action. Those individuals who do not fulfill their safety responsibilities will become accountable for any problems their negligence creates and may be liable under the law.

Toward this end, ABC Trucking Ltd will obtain our Alberta Transportation Carrier Profile once a year in order to measure our progress. We will also keep current with all laws by reviewing them on Alberta Transportation's website at www.transportation.alberta.ca.

Assignment of Safety Officer

ABC Trucking Ltd. has assigned Bill Catchem as its safety officer.

Signed: *William Catchem*

Date: *April 1, 2000*

HIRING CRITERIA

ABC Trucking Ltd. has definitive policies concerning the hiring of drivers. In all cases, these policies conform with or exceed the standards as set forth in the National Safety Code.

It is company policy to employ people who are courteous and have the knowledge and ability to operate the type of equipment to which they may be assigned. Therefore, an ABC Trucking Ltd. driver:

1. Must be at least 18 years of age to operate a truck. Must have two years accident free driving.
2. Must read and speak either official language well enough to converse with the general public, to understand highway traffic signs and signals, to respond to official inquiries, and to make entries on reports and records.
3. Is familiar with methods and procedures for securing loads on the motor vehicle he drives.
4. Must be physically capable of performing the entire job functions assigned.
5. Must obtain a current listing of his/her violations and accident record from the Department of Motor Vehicles in the province of his/her driver's license; and submit it to the company prior to employment.
6. Must not be disqualified to drive a motor vehicle under any of the rules as laid out by the respective Provincial Ministry of Transportation.
7. Has all documentation and endorsements current for the equipment to be operated.
8. Shall complete and furnish to the company an application for employment and references.
9. Must supply a police security clearance prior to employment.
10. Must possess a good driving record in all Provinces that he has driven in before being considered for employment by ABC Trucking Ltd.
11. Shall be neat in appearance and will be judged on mechanical ability, common sense, manners, courtesy and legible writing.
12. The Company could regard violations of the Traffic Safety Act on the driver's abstract from operation of a personal vehicle as a tendency of the driver to be aggressive and possess a bad driving attitude.
13. All employees may be required from time to time to fill out information that may be needed for their driver file.

DRIVER FILE INFORMATION

The following information **MUST** be contained in each driver's file:

- Application form/resume
- Current abstract
- Photocopy of driver's license
- Record of convictions of safety laws
- Record of administrative penalties if imposed
- Photocopy of any certificates (i.e., Medical, Dangerous Goods, etc.)
- Employment history check
- New employee orientation checklist

The following notices **MUST** be put in the follow up file for each driver:

- Driver Abstract Due (at least once per year)
- Driver License Due (Give at least two weeks notice. Do not dispatch out without proof of renewed license)
- Record of Violations, Collisions and Review
- Driver Profiles - Should be updated every 6 months

The following should be kept in a 12-month accordion-style file folder:

- Driver's Abstract Permission Waiver (file as to month of birth)

VEHICLE REGULATIONS

1. Passengers

- A. No passengers are allowed in vehicles other than trainees or trainers, unless pre-authorized. Refer to Management for Limitations of Coverage with regards to Insurance on Passengers.

2. Safe Operating Procedures

- A. Posted speed limit not to be exceeded at any time.
- B. Seatbelts to be used at all times.
- C. Driving techniques should be with the best intentions toward a good, safe and cost effective trip. This means: driving defensively, avoiding potholes, slow cornering, etc.

ASSIGNMENT OF RESPONSIBILITIES – DRIVERS

A driver's job is an important one. Drivers are responsible not only for the equipment they operate but also the safety of individuals around them. Each driver must drive the equipment AND be aware of what goes on around him/her.

Drivers must have a professional neat in appearance at all times. Their job is important to them and the company they drive for, in addition to the entire industry as a whole.

The following responsibilities are merely a guide. Positive attitude and conduct as a professional driver will benefit all in the future. All drivers are all judged by the way their units are operated on the highways. By being courteous and considerate of others on the roadways, drivers will continue to receive the respect of the general public.

- Keep physically fit and mentally alert.
- Operate the equipment in a safe, careful and efficient manner.
- Comply with all ABC Trucking Ltd and our customers' rules.
- Report all violations received due to driver negligence; it is the drivers' responsibility to report to ABC Trucking Ltd immediately. This includes any infractions involving personal vehicles.
- Be honest and loyal to our customers and ABC Trucking Ltd.
- Ensure that all paperwork, including the Safety Fitness Certificate, is located within the truck.
- Have basic knowledge of :
 - Dangerous Goods;
 - Licensing;
 - Weight restrictions.

ARRIVING FOR WORK

Employees are required to be on site and ready to work at their appointed start time(s). Personal problems should not be brought to the workplace. They should be left at home, as drivers will require full concentration to operate their equipment in a safe and efficient manner.

PROGRESSIVE DISCIPLINE

ABC Trucking Ltd.'s policy is to guarantee to our clients that all drivers will adhere to the work rules set out for them. Failure to meet this policy will require disciplinary action, on a fair and equitable basis. The follow methods of discipline will be administered.

The disciplinary measures will be administrative and may include any of the following, depending on the seriousness of the act.

1. First Verbal Warning – When a procedural detail or duty is not performed properly, employee is to receive a first time warning letter.
2. Second Written Warning – If infractions are repetitive or job performance is unsatisfactory, this is the last and final warning letter to be issued to the employee. If further infractions or unsatisfactory job performance occur after issuance of this warning letter, then termination is necessary.
3. Termination of employment – Discharge for just cause.
4. Reasons for **immediate dismissal**:
 - Use of alcohol and/or illegal drugs;
 - Unauthorized use of equipment;
 - Tampering or abuse of equipment;
 - Failure to report an accident or injury;
 - Dishonesty or theft;
 - Carrying unauthorized passengers;
 - Falsifying records and/or reports;
 - Loss of driver's license due to traffic violations;
 - Fighting or horseplay.

All measures will be documented with a copy of the applicable reports placed in the employee's personal file. Open communication will be initiated to ensure the employee and manager understand the situation completely.

SUBSTANCE (ALCOHOL AND DRUGS) USE

ABC Trucking Ltd. recognizes that alcohol and drug dependency is a major problem which affects the safety, security, and the behavior of the employee, the public and customers, as well as the environment.

ABC Trucking Ltd. expects all employees to assist in maintaining a drug and alcohol free environment.

The possession of and/or consumption of alcohol, illegal drugs, or the misuse of prescription drugs is strictly prohibited in circumstances deemed to present a risk or danger to ABC Trucking Ltd. equipment, our customers, the public, as well as the environment.

The safety supervisor will determine whether the employee can remain at work or whether work restrictions are required.

A decline in work performance due to substance abuse will initially be addressed in the same manner as a worker's performance deterioration. However, the use of illegal drugs or alcohol on the company premises, in company vehicles (whether owned or leased) or while on duty is grounds for immediate dismissal.

Any employee who is arrested for drug or alcohol related offenses may be considered in violation of this policy.

The outcome of the employee's position at the company will be decided by the nature of the charge, the employee's duties, the employee's work record, and other relating factors as deemed appropriate, determining whether or not the employee shall remain an employee of ABC Trucking Ltd.

Entry on company premises constitutes consent to a search of clothing, lockers, company vehicle, desk, tool-box, lunch box, briefcases or other containers brought onto company property.

All applicants will be required to undergo a substance screening at an unspecified time. The cost of the screening, if negative, will be paid for by ABC Trucking Ltd.; however, if the results are positive, the former employee will pay for the test.

Employees may also be required to undergo a substance test under the following circumstances:

1. The employee is involved in an on-the-job accident regardless of whether the employee sustained injury. It is in his/her best interest to not take any drugs or

alcohol until after the drug test has been done to rule out substance abuse as the cause for the accident.

2. The employee works around a safety sensitive area where unsafe work practices could be a clear and present danger to the health and safety of others.
3. The safety supervisor has either "cause to believe" or "reason to suspect" impaired performance or unfitness to perform the job safely due to substance abuse.

Failure to submit to a substance screening, or a test which the company deems necessary, shall result in automatic dismissal from ABC Trucking Ltd.

Upon the findings of a positive test, the employee shall be subject to the following:

1. The employee will be informed of the results of the test and is subject to immediate suspension without pay from employment with ABC Trucking Ltd., pending a review.
2. The employee shall receive written instructions from ABC Trucking Ltd stating that the employee will not be permitted to return to work unless the employee can provide a confirmed negative substance test to the company within sixty (60) days from the date of the test.
3. If the employee fails to provide a negative test within sixty (60) days, the employee will be terminated.
4. The employee will be required to submit to a drug/alcohol test at any time within the next 24 month period to confirm negative findings; however, in the event of a positive test, the employee shall be terminated immediately.

Employees will be required to abstain from consuming alcohol for a period of ten (10) hours prior to reporting for work. All alcohol should be clear of their systems, prior to reporting to work.

If an employee is in violation of the ten (10) hour abstinence, it will result in disciplinary action, up to and including termination of employment.

As part of ABC Trucking Ltd overall concern for the health and well-being of its employees, the company has at its disposal a large number of counselors for alcohol, drugs, financial support, for families as well as individuals. The list can be obtained from the safety coordinator.

Once a violation of the "substance abuse policy" occurs, subsequent employee use of the referral program on a voluntary basis will not lessen disciplinary action.

The employee's decision to seek prior assistance from the employee referral program will not be used as the basis for disciplinary action.

The employee's use of the program will not be used as a defense to the imposing of disciplinary action where facts proving a violation of this policy are obtained outside of the employee referral program.

Where the employee's job related problems are known to be the result of a drug or alcohol problem, termination of employment may apply, if remedial action has been considered and rejected, or when the employee has either rejected assistance or demonstrates a lack of serious commitment to overcoming the problem.

ABC Trucking Ltd will attempt to exercise reasonable care and precautions to protect the confidentiality of employee drug screening results and conduct any investigation, search or test in a manner which respects the dignity and privacy of the individual.

Any drug/alcohol testing conducted under this policy shall be performed at a medical facility designated by ABC Trucking Ltd. For the purpose of administering this policy, the company will not accept test results from any facility other than the one designated by the company.

Management may authorize alcohol to be present at ABC Trucking Ltd functions. It is incumbent upon the persons responsible to conduct the event in a manner which, through control for the duration of beverage service or other means, promotes moderation and is in keeping with the integrity, security and safety of ABC Trucking Ltd.

All ABC Trucking Ltd employees are required to read, sign and comply with all parts of this policy. Understanding, accepting and complying with substance abuse policy is a condition of employment with ABC Trucking Ltd.

This substance abuse policy does not alter or pre-empt any ABC Trucking Ltd. current policy.

FUELING PROCEDURES

1. Shut off engine.
2. Extinguish all open flames, cigarettes.
3. Do not take your hand away from the hose during filling. If you must, touch a metal object before touching the metal nozzle to discharge any static buildup - static electricity can ignite vapors.
4. Do not use electrical switches - that includes cell phones.
5. Hold gas nozzle against the filler pipe to prevent sparks.
6. Know approximately how much fuel you will need, do not overfill.
7. Ensure that the filler cap is proper in place when finished fueling.

LOAD SECUREMENT

The driver of a vehicle:

- Must inspect the cargo and its securing devices within the first 80 km (50 miles) after beginning a trip, and must make any adjustments to the cargo or securing devices as may be necessary, including adding additional securing devices, to maintain the security of the cargo.
- Must re-examine the cargo and its securing devices periodically during the trip, and must make any adjustments to the cargo or securing devices as may be necessary, including adding additional securing devices, to maintain the security of the cargo. A periodic re-examination and any necessary adjustment must be made:
 - When the duty status of the driver changes.
 - After the vehicle has been driven for 3 hours, or 240 km (150 miles), whichever occurs first.

While the safety and security of cargo while in transit is of paramount concern, a driver of a vehicle will not be required to conduct the preceding periodic inspections if:

- The vehicle is sealed, and the driver has been ordered not to open it to inspect its cargo.
- The vehicle has been loaded in a manner that makes inspection of its cargo impracticable.

TRAINING AND SAFETY MEETINGS

Each employee is to be oriented in the company's rules and regulations. If there are questions, the employee is expected to ASK.

Each employee is to attend safety meetings where possible. No employee will miss two consecutive safety meetings in a row unless there is an emergency. Any employee who misses a safety meeting must inform the company prior to the meeting. At that time, the employee shall make arrangements to come in within the next 5 days for a briefing of the content of the safety meeting missed. Those employees who do not have a valid excuse for missing the meeting may be subject to disciplinary action. Safety is everyone's responsibility and an important issue in any industry.

NEW HIRE ORIENTATION

The New Hire Safety Orientation is the most important tool that management has to introduce a new worker to the Company's Safety Program. Through the orientation, the new worker learns of management's commitment to safety and of his/her own responsibilities for safety within the company.

The New-Hire orientation, completed on first day of hire, should always be conducted by a member of the management team. This is a good opportunity to meet the new workers and advise them of the company's commitment to safety. This orientation should be conducted in an unhurried fashion and in a location where there will be no interruptions. The person conducting the orientation should use the New Employee Orientation Checklist. This same procedure will be used in each subsequent year as part of an ongoing employee evaluation. A copy of this checklist should be completed by each employee attending the orientation and signed by both the employee and the trainer. Copies should then be retained as part of the employee's file.

SAFETY MEETINGS

1. Safety meetings are essential to the success of any safety program. Safety meetings should be designed to encourage feedback and discussion from participants.
2. It is the responsibility of the supervisor to ensure timely and well conducted safety meetings.
3. Attendance of Company employees and subcontractors at safety meetings is mandatory.
4. As a general rule, safety meetings should be held whenever necessary. All participants in the job shall attend, and job procedures shall be reviewed. Step by step procedures should be analyzed and agreed upon. Work shall not begin prior to this safety meeting being held.
5. A brief weekly safety meeting will be held between the management and the employees and subcontract personnel of the company. Items which may be discussed are potential safety hazards, evacuation plans, notification of incidents, corrective action against infractions, location of fire-fighting and safety equipment, or any other item, which may be of a safety or environmental concern.
6. Minutes of all safety meetings shall be recorded and include the following: date, names and signature of attendees, safety and environmental topics discussed, and other items discussed.

New Employee Orientation

Driver: _____	Supervisor: _____	
	YES	NO
1. Driving Skills	△	△
2. Paper Work	△	△
3. Drugs & Alcohol Usage	△	△
4. Driver Conduct	△	△
5. Emergency Equipment	△	△
6. First Aid	△	△
7. Trip Inspections	△	△
8. Company Safety Policy	△	△
10. Accident Reporting	△	△
11. Vehicle Weights	△	△
12. Dangerous Goods	△	△
13. Load Securement	△	△
14. Permits	△	△
15. Log Books	△	△
Remarks: _____		

This will certify that I have been given the company orientation briefing on the above noted subjects as indicated by me with an "X" and that I fully reviewed and understand its contents.

Signature: _____

Date: _____

Supervisor: _____

Date: _____

INCIDENT INVESTIGATIONS

The following steps need to be taken should an incident occur:

1. Call for Ambulance or Helicopter Service:
 - give accurate directions;
 - give nature of injury;
 - give information slowly and clearly.
2. If necessary call:
 - police;
 - fire department;
 - electrical power company;
 - gas utility company;
 - hospital.
3. Restrict the immediate area of the accident scene - if further danger exists - clear the area.
4. Document all factors and events on Incident Investigation Report.
5. Determine if the incident could have been prevented and recommend appropriate consequences (i.e., remedial training or disciplinary action).

COLLISION PREVENTION GUIDELINES

Any incidents or accidents must be reported to dispatch immediately. Each incident will be reviewed by management to determine if it was preventable. A copy of the review will be discussed with the driver and placed in his/her file. Remedial training or disciplinary action may be justified.

COLLISION REPORTING GUIDELINES

Every collision report must contain the following:

1. Driver statement – signed;
2. Date and time of reportable collision;
3. Location of reportable collision;
4. Number of fatalities and injuries;
5. Estimated total property damage;
6. Number and type of vehicles involved;
7. Name and addresses of persons involved;
8. Police report.

Incident Investigation Report

Date: _____

When? Date: _____ Time: _____

What happened? _____

Who was involved? _____

Where? _____

What was the immediate cause? _____

What were the underlying circumstances? _____

Could this incident have been prevented? Yes No

Statement from Witnesses: _____

How can similar incidents be prevented in the future? _____

Recommendations for future action: _____

Supervisor: _____ Employee: _____

NSC STANDARD FOR HOURS OF SERVICE

The following information summarizes the main points governing hours of service for truck and bus carriers in Canada as outlined in NSC Standard #9 prepared by the Canadian Council of Motor Transport Administrators (CCMTA).

1. "Work Shift" will change to a "24 hour period" concept from a "daily" concept.
2. Cannot drive after 14 hours On Duty in a 24-hour period.
3. Cannot drive after accumulating 13 hours driving in a 24-hour period.
4. A driver must take a minimum of 10 hours Off Duty in a 24-hour period and the 10 hours must be made up of at least 8 consecutive hours and the remainder must be taken off throughout the work shift in minimum 30 minute periods.
5. The 24-hour period for both the 13 and 14-hour rules and the Off Duty periods will start with the end of an 8 consecutive hour Off Duty period.
6. Single drivers will no longer be able to use the "split-sleeper" provisions. This option will only be available to driver teams. As in the past, consecutive sleeper berth time and off-duty time can be combined.
7. The "short change" option of taking 4 hours Off Duty instead of 8 hours off (once a week for truckers and twice a week for bus drivers) has been eliminated.
8. All drivers must take at least 24 hours off within a maximum of 14 days. This means that no one will be able to drive every day.
9. Using their vehicles for "personal use" will be exempted by the Standard under stringent conditions.
10. Drivers will be allowed to "defer" 2 hours Off Duty in a day to the next day. This will allow some "averaging" of a driver's hours over a 2-day period.
11. The three Cumulative Cycles have been reduced to two. They allow a maximum of 70 hours On Duty in 7 days or 120 hours in 14 days.
12. There is a "reset" option available for those drivers who reach the maximum hours on their cumulative cycles. Before or when you reach the 70 hour limit, if you take 36 consecutive hours off-duty then your cumulative total hours will be reset to "0". On the 120 hour cycle, if you take 72 consecutive hours off-duty (3 full days) then again your cumulative total hours will be reset to "0". If you never reach these maximum hours, then you do not have to take a reset.
13. A driver must choose a cycle to work under and cannot change cycles without taking minimum amounts of time off. The required time off is the same as the reset periods mentioned above. If you are on the 70-in-7 cycle and want to change to

the 120-in-14 cycle then you have to take 36 consecutive hours off regardless of how many cumulative hours you currently have. If you are on the 120-in-14 cycle and want to change to the 70-in-7 cycle, then you have to take 72 consecutive hours off.

14. All carriers must *monitor* the compliance of *each* driver with the Standard and must take, and document, immediate remedial action if violations are identified.
15. Daily Logs and supporting documents must be retained for at least one year (currently 6 months).

16. The standard includes a revised definition of “On-duty time”:

“on-duty time” means the period that begins when a driver begins work or is required by the motor carrier to be available to work and ends when the driver stops work or is relieved of responsibility by the motor carrier, and includes driving time and time spent by the driver

- a. Inspecting, servicing, repairing, conditioning or starting a commercial vehicle;
- b. Travelling in the commercial vehicle as a co-driver, when the time is not spent in the sleeper berth;
- c. Participating in the loading or unloading of a commercial vehicle;
- d. Inspecting or checking the load of a commercial vehicle;
- e. Waiting for a commercial vehicle to be serviced, loaded or unloaded;
- f. Waiting for a commercial vehicle or its load to be inspected at a customs office or weighing check-point;
- g. Travelling as a passenger in a commercial vehicle, at the request of the motor carrier by whom the driver is employed or otherwise engaged, to a destination where the driver will commence driving time, if the driver has not had eight consecutive hours of off-duty time immediately after arriving at the destination point;
- h. Waiting at an en-route point because of an accident or other unplanned occurrence or situation;
- i. Resting in or otherwise occupying a commercial vehicle, except time spent in a sleeper berth or in a stationary commercial vehicle subject to section 5(3) (*i.e. to get required 2 hours of off-duty time*);
- j. Performing any work for any motor carrier; or
- k. Performing any work for compensation for a person who is not a motor carrier.

DAILY LOGS

All commercial drivers will be required to keep a daily log recording hours of service. The logs will allow enforcement officers to check driver/carrier compliance.

Daily logs must record the following information:

- a graph grid;
- the date;
- the odometer reading at commencement of driving;
- the total number of kilometres or miles driven by the driver during the work day;
- if a co-driver is involved, the total number of kilometres the vehicle traveled in the work day;
- the vehicle license or unit number;
- the name of the carrier for whom the driver was working;
- the name and signature of the driver;
- the name of any co-driver;
- time and location of commencement of work shift.

The most common form of logbook will be the graph grid filled out by the driver. Carriers will, however, have the options of using approved mechanical or electronic means of log keeping.

Drivers must also provide the employing carrier with copies of daily logs. Both drivers and carriers must keep these daily logs on hand for at least 6 months.

WEIGHTS AND DIMENSIONS

All drivers must be aware of maximum load capacity of their vehicle(s) so they will not overload.

Single and Twin Steer Truck

Maximum Allowable Axle Group Weight

	Kilograms			Pounds		
	100% Axle Weight	90% Axle Weight	75% Axle Weight	100% Axle Weight	90% Axle Weight	75% Axle Weight
STEERING AXLE						
Single Steer	7300	7300	7300	16,093	16,093	16,093
Twin Steer	13,600	13,600	13,600	29,982	29,982	29,982
CARRYING AXLES (Dual Tires)						
Single Axle Group	9,100	8,190	6,825	20,061	18,055	15,046
Tandem Axle Group	17,000	15,300	12,750	37,477	33,729	28,108
Maximum Gross Vehicle Weight						

Cannot exceed the sum of the maximum allowable axle weights.

NOTE: Maximum Tire Loading is the Less of:

- (a) 3650 kg
- (b) 10 kg per mm width of tire.
- (c) Rated capacity of tire.

A twin steer truck (shown above) is used in such applications as Mixers, Permanently Mounted Equipment, Cranes, Service Rigs and Bed Trucks, etc.

Sample Bill of Lading

GUIDE FOR SHIPPING DOCUMENTS

It is the responsibility of the consignor to prepare a proper shipping document when offering dangerous goods for transportation. The document is similar to a standard bill of lading but must contain information needed to describe the dangerous goods. The shipping document is handed over to the initial carrier and must accompany the consignment throughout its journey. The consignor and each carrier that transported shall retain a copy of the shipping document for a period of two years (Sections 3.1 and 3.11).

The following is the minimum required information which must appear on a shipping document.

Shipping Document Information	When Required	Where in the Regulations
Date	Always	3.5(1)(b)
Name and address of consignor	Always	3.5(1)(a)
Description of goods in the following order:		3.5(1)(c)
a. Shipping name	Always	3.5(1)(c)(i)
b. The technical name of the most dangerous substance related to the primary classification	If Provision 16 of Schedule 2 applies	3.5(1)(c)(i)(A)
c. The words "Not Odorized"	For liquefied petroleum gas that has not been odorized	3.5(1)(c)(i)(B)
d. Primary classification	Always	3.5(1)(c)(ii)
e. Compatibility group	For Class 1	3.5(1)(c)(iii)
f. Subsidiary classifications	If Any	3.5(1)(c)(iv)
g. UN number	Always	3.5(1)(c)(v)
h. Packing group (none for compressed gases)	If Any	3.5(1)(c)(vi)
i. The risk group (for infectious substances)	For Class 6.2	3.5(1)(c)(vii)
The quantity in the International System of Units (SI) ^{1,2}	Always	3.5(1)(d)
	For Class 1	3.5(1)(d)
	For dangerous goods in small containers	3.5(1)(e)

Net explosives quantity	requiring safety labels.	
The number of containers ²		
The words “24-Hour Number” followed by a telephone number where the consignor can be easily reached ³	Always	3.5(1)(f)
Emergency Response Assistance Plan (ERAP) number and telephone number to activate it	If Required	3.6(1)
The control and emergency temperatures	For products in Classes 4.1 and 5.2	3.6 (3)

Note:

1. If the quantity of dangerous goods is less than 10% of the container’s capacity then the words “Residue – Last Contained” followed by the shipping name of the dangerous goods that was last contained in the means of containment may be used to describe the quantity. This does not apply to Class 2 gases in small containers and Class 7 radioactive substances [Section 3.5(4)].
2. If the quantity of dangerous goods or the number of small means of containment changes during transport, the carrier must show on the shipping document or on a document attached to the shipping document that change in the quantity of dangerous goods or the number of small containers [Section 3.5(5)].
3. A consignor can also use the telephone number of an agency that is competent to give the technical information on the shipment. For example, it is possible to use CANUTEC as a source of technical information provided that the consignor has received permission in writing from CANUTEC [Section 3.5(2)].

Infectious substances and radioactive materials have special documentation requirements. Dangerous goods shipped by air must be documented in a prescribed form known as “Shipper’s Declaration of Dangerous Goods”. For details of alternate and additional documentation requirements, consult Part 3 of the TDG Regulations or call the Coordination and Information Centre.

MAINTENANCE PROGRAM

The vehicle you drive is only as safe as you make it. Road breakdowns are time consuming, costly and a source of bad publicity. Maintenance of ABC Trucking Ltd's vehicles is to follow the AR (121/2009) standards and this program.

The preventive maintenance and inspection program will address the following areas:

- daily trip inspections;
- repairs;
- routine scheduled maintenance;
- annual CVIP inspections;
- record keeping of all inspections, repairs, routine maintenance, including CVSA and CVIP.

A person shall not operate or permit another person to operate a commercial vehicle if the vehicle or any equipment related to the commercial vehicle is in a condition likely to cause danger to persons or property.

It is illegal to operate a vehicle on a highway with any defect that is a violation under any legislation.

The company's written maintenance and inspection program will be kept at the company's principal place of business in Alberta. Copies of the maintenance and inspection program will be available at each location of the carrier where the maintenance and inspection of the carrier's commercial vehicles is carried out. A copy of the maintenance and inspection program shall be readily accessible to employees of the carriers who carry out the maintenance and inspection program.

Schedule 2 of the *Commercial Vehicle Safety Regulation* (AR121/2009) will be attached to the maintenance and inspection program at all locations of the carrier where vehicle inspections and maintenance is carried out.

Record Keeping:

Vehicle records will be maintained on file as required by Sections 37, 38 and 39 of Alberta's *Commercial Vehicle Safety Regulation* (AR121/2009) (direct internet access available).

Our company will review maintenance records, CVSA, CVIP and Carrier Profiles (from Alberta Transportation) to monitor, improve and update our maintenance program as required.

An "A" inspection will be performed daily as a trip inspection by drivers and will consist of visually inspecting the items found on the form "Driver Vehicle Inspection Report". A copy of the Schedule 1 of NSC Standard 13 part 2 including any modifications made to the Schedule will be located within each vehicle. The form will be completed and any defects noted, report and repaired (with a proper notation) prior to departure. If a defect is noticed during the course of the shift, it is to be reported and recorded on this same form. The vehicle is to be shut down until the appropriate repair is made.

Lubrications and oil changes will occur on a monthly basis for all vehicles. This will be done at the same time as the monthly "B" inspection.

Work orders for all work done on each vehicle are to be opened and completed by the shop personnel doing the work. When the work is done, the work order is to be filed in the unit file for each vehicle. Work orders must be signed and dated by the shop personnel who did the work. All maintenance records will be kept on file for five years.

Driver Vehicle Inspection Report

Carrier: _____ Date/Time: _____

Unit #: _____ Driver: _____

Location: _____ Odometer: _____

Items:	Defect
Lamps & reflectors	△
Tires	△
Wheels, hubs, fasteners	△
Air brake system	△
Cab	△
Horn	△
Windshield wipers/washers	△
Glass and mirrors	△
Emergency equipment & safety devices	△
Cargo securement	△
Coupling devices	△

	Defect
Driver controls	△
Heating & defrosting	△
Dangerous goods	△
Exhaust system	△
Frame and cargo body	△
Fuel system	△
Steering	△
Suspension system	△
General	△
Driver Seat	△
	△

I performed an inspection of the vehicle noted above using the criteria set out in Schedule 1 of Part 2, NSC Standard 13 and as per sections 10(4) and 10(10) of Alberta's *Commercial Vehicle Safety Regulation*, AR 121/2009 and report the following:

Details of Defects:

No defects found

Signature:

ABC TRUCKING LTD.

Monthly B Inspection

Date: _____ Time: _____ Inspector's Name: _____ Address of Inspection Shop: _____ Licence Plate Number(s): _____ Vehicle Unit Number: _____ Odometer: _____ Hour Meter: _____ Signature: _____

- Body and Seats (S.1)
- Chassis Frame (S. 2)
- Body Frame (S. 3)
- Sliding Subframe (S. 4)
- Underbody (S. 5)
- Driver Shaft (S. 6)
- Window and Mirrors (S. 7)
- Fuel (S. 8)
- Exhaust (S. 9)
- Friction Components (S. 10)
- Hydraulic and Vacuum-assist Brake Components (S. 11)
- Mechanical Components (S. 12)
- Brake Pedal (S. 13)
- Air Brake System (S. 14)
- Park Brake (S. 15)
- Brake System (S. 16)
- Engine Controls (S. 17)
- Steering Column and Box (S. 18)
- Wheel Alignment (S. 19)
- C-Dolly Steering (S. 20)
- Steering Linkage (S. 21)
- Suspension (S. 22)
- General Requirements (S. 23)
- Windshield Wipers and Washers (S. 24)
- Heating and Defrosting System (S. 25)
- Starting Switch (S. 26)
- Lamps and Reflectors (S. 27)
- Tires (S. 28)
- Wheels (S. 29)
- Lubrication (S. 30)
- Fifth Wheel Coupling Device (S. 31)
- Trailer Hitch, Trailer Mount and Connecting Devices (S. 32)
- Rear Impact Guards (S. 33)

5.2.2 Quiz: Answer Key

Check your answers from 5.2.1 Quiz: *Carrier Safety* by comparing your audit screens with the ones provided below.

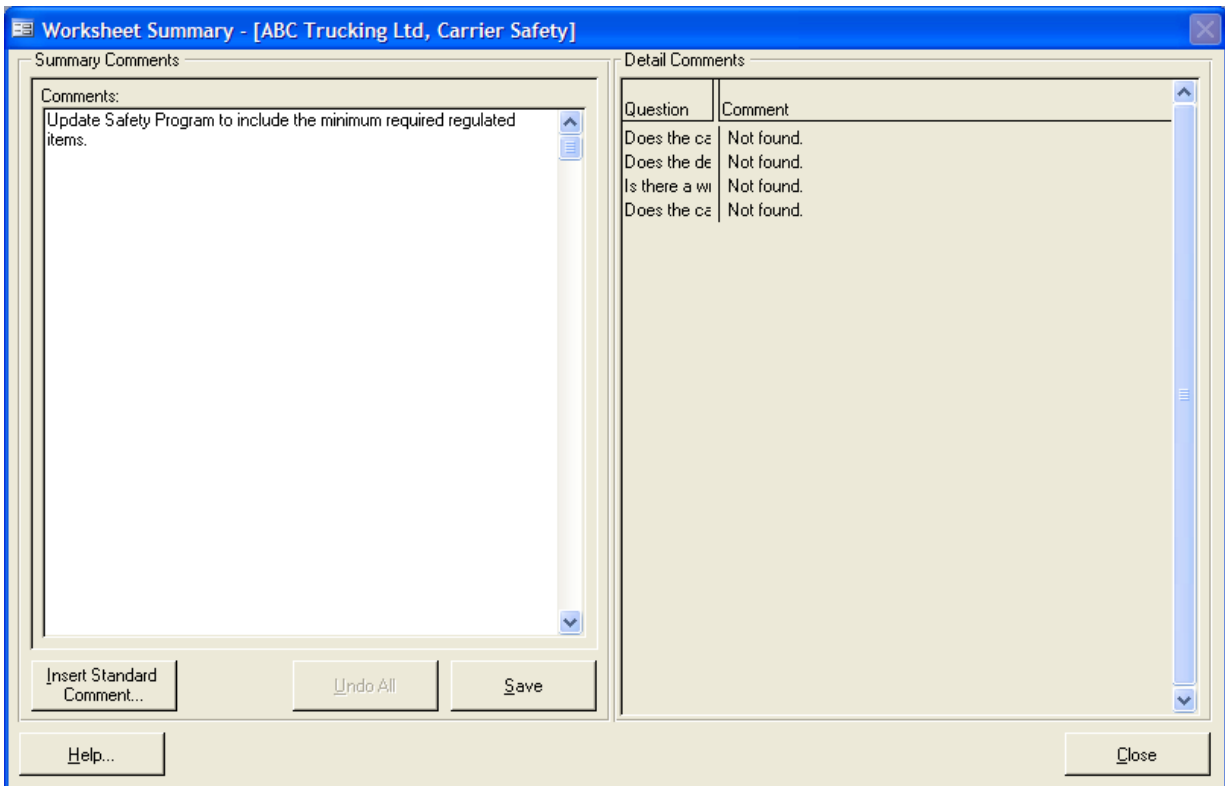
Worksheets - [ABC Trucking Ltd]

Select Worksheet: Carrier Safety

Worksheet Questions:

Question	Answer			Required	Comment
	Y	N	N/A		
Is a copy of the Safety Program retained at the carrier's principal place of business in Alberta?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Are copies of all the carrier's records located at the principal place of business or comply with a valid Divided Recor	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Does the carrier have a designated person (Safety Officer) to maintain and implement the safety program and ensur	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Not found.
Does the carrier have a process to ensure a copy of their Safety Fitness Certificate is carried in the cab of each con	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Does the designated person (Safety Officer) have the authority to hire and terminate drivers?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="checkbox"/>	Not found.
Are all employees required to attend regular safety meetings?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="checkbox"/>	
Is there a written policy that requires drivers to report all driving violations?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="checkbox"/>	
Is there a written policy that management periodically review driver violations?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="checkbox"/>	Not found.
Does the carrier have a recall system to ensure drivers' licences remain current?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="checkbox"/>	Not found.
Are copies of current relevant transport legislation located at the principal place of business?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="checkbox"/>	
Has the carrier obtained their Carrier Profile within the past year?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="checkbox"/>	

Help... Worksheet Summary Answer N/A Undo All Save Close



Next . . .

- Lean more about the *Safety Program* component of a Facility Audit.

5.3 Safety Program

Introduction

A written Safety Program is a guide to carriers and drivers that identifies various rules and procedures that the carrier has identified as being important to safe guard the driver, general public, vehicle and load from unnecessary risk. The Safety Program is specific to each carrier and their type of business with the minimum required standards being set out in law. In this section, the policies required within a safety program are reviewed.

Commercial Vehicle Dimension and Weight Regulation **AR 314/2002 Section 40**

- (3) It is a condition of every safety fitness certificate that the registered owner and the owner's employees must comply with the registered owner's safety program.

Explanation: One of the ways a carrier's operation is assessed is based upon the policies found within their safety program and their adherence to those policies.



*Commercial Vehicle Certificate and Insurance Regulation***AR 314/2002 Section 40**

- (1) The registered owner of every commercial vehicle who is required to operate the vehicle under the authority of a safety fitness certificate must establish, maintain and follow a written safety program that, in a manner that is clearly documented, addresses matters relating to the safe use and operation of commercial vehicles, including:
- (a) Speed limits, seat-belt use, drug and alcohol use, defensive driving, load security, and fuelling;
 - (b) Proper records and recording of information including, as required, bills of lading, manifests, dangerous goods documents, time records, drivers' logs and weigh slips;
 - (c) Policies that drivers are expected to comply with the law, and policy and procedures related to driver training, responsibilities, conduct and discipline;
 - (d) Instructions for the use of the safety equipment, including, as required, the use of flags and flares, fire extinguishers, goggles, and hard hats;
 - (e) Training for employees about safety laws and their application and an ongoing program for evaluating their driving skills;
 - (f) Retention of complete records for each driver in accordance with section 41;
 - (g) Policies for ensuring that drivers are properly qualified for the type of vehicle they operate.

Explanation:

The auditor must verify that the carrier has a written Safety Program that includes policy statements that addresses all the elements described in paragraphs (a) to (g) in the above Regulations.

ARC Audit – Safety Program

The Worksheet (Safety Program) form is used to record answers to questions relating to the Carrier’s written safety program (Figure 1). All questions shown in the screen shot below that show a check mark in the “Required” column are based upon the legislation sections mentioned above.

What to do?

1. Select “[Safety Program](#)” from the worksheet selection drop-down menu;
2. Answer each question using the answer guidelines provided in the “[Help](#)” [ARC Reference Manual](#);
3. Add comments to explain your answer in the comment section to the right of the question;
4. Select [Save](#) and then select the next worksheet from the drop-down menu to continue.

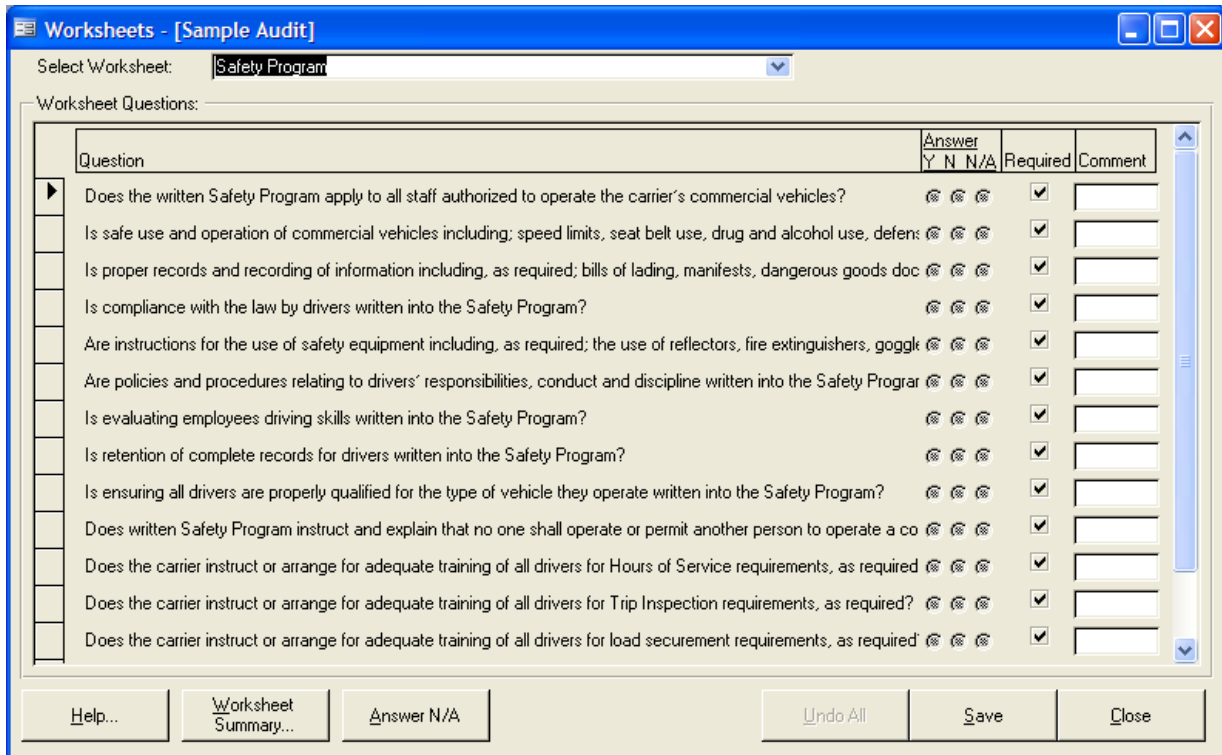


Figure 1: Safety Program Worksheet

Test your Knowledge:

While examining a carrier's safety program policies, you notice that there is no mention of driver disciplinary procedures. Is this a violation? Why?

IMPORTANT

BEFORE proceeding please review the contents of section 31 in the Help ARC Reference Manual.

Next . . .

- Complete the Quiz section.



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5.3.1 Quiz: Safety Program

This assignment will familiarize you with analyzing a carrier's safety policies. You will make a determination, based on the content within the policies, whether or not the policies meet the minimum legislative standards. You will then record your findings within the ARC program. Using the information just presented in *Section 5.3 – Safety Program*, start the ARC program and login. Remember, you can also use the ARC program's built-in reference manual to assist you as well.

To successfully finish this quiz, you will need to:

- Start the program;
- Login to ARC;
- Select the Facility Audit tab;
- Select the audit for the carrier ABC Trucking Ltd;
- Select the Carrier Details tab;
- Select the Worksheets tab;
- Select Safety Program from the drop-down menu;
- Enter the appropriate data from the information provided below;
- Add comments to assist the carrier in complying with legislation;
- Save your work.

Now, complete your assignment using the information below:

1. ABC Trucking Ltd has provided you with a copy of its safety program which contains the company's safety and maintenance policies. You will need to review the contents of this document in order to complete the Carrier Safety worksheet in the ARC program.

Note: Refer back to 5.2.1.1 ABC Safety and Maintenance Program.

5.3.2 Quiz: Answer Key

Check your answers from 5.3 Quiz: *Safety Program* by comparing your audit screens with the ones provided below.

The screenshot shows a software window titled "Worksheets - [Sample Audit]". At the top, there is a dropdown menu for "Select Worksheet:" set to "Safety Program". Below this is a section for "Worksheet Questions:" containing a table with the following columns: "Question", "Answer" (with sub-columns for Y, N, N/A), "Required", and "Comment".

Question	Answer			Required	Comment
	Y	N	N/A		
Is safe use and operation of commercial vehicles including; speed limits, seat belt use, drug and alcohol use, defen:	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Is proper records and recording of information including, as required; bills of lading, manifests, dangerous goods doc	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Is compliance with the law by drivers written into the Safety Program?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Missing
Are instructions for the use of safety equipment including, as required; the use of reflectors, fire extinguishers, goggk	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Missing
Are policies and procedures relating to drivers' responsibilities, conduct and discipline written into the Safety Prograr	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Is evaluating employees driving skills written into the Safety Program?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Is retention of complete records for drivers written into the Safety Program?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Missing
Is ensuring all drivers are properly qualified for the type of vehicle they operate written into the Safety Program?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Missing
Does written Safety Program instruct and explain that no one shall operate or permit another person to operate a co	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Missing
Does the carrier instruct or arrange for adequate training of all drivers for Hours of Service requirements, as required	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Missing
Does the carrier instruct or arrange for adequate training of all drivers for Trip Inspection requirements, as required?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Missing
Does the carrier instruct or arrange for adequate training of all drivers for load securement requirements, as required?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Missing
Does the carrier instruct or arrange for adequate training of all drivers for all other applicable safety laws (including w	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Missing

At the bottom of the window, there are buttons for "Help...", "Worksheet Summary...", "Answer N/A", "Undo All", "Save", and "Close".

Next . . .

- Learn about the *Financial Responsibility* component of a Facility Audit.

5.4 Financial Responsibility

Introduction

It is critical that a carrier has the proper liability, cargo, and passenger insurance, in order to protect the public, customers, and carrier. In this section, the first part deals with the legal requirements for carriers to maintain various types of insurance, and the second part deals with how those requirements are recorded in the audit.

Commercial Vehicle Certificate and Insurance Regulation **AR 314/2002 Section 25**

- (1) The registered owner of a commercial vehicle used or intended to be used to transport goods on a highway for which a certificate of registration under the Act is issued for a gross weight of 11,794 kilograms or more must maintain, for each vehicle in respect of any one accident, insurance against liability resulting from bodily injury to or the death of one or more persons and loss of or damage to property of others, other than goods, of at least:
- (a) \$2,000,000 for transportation of dangerous goods set out in Schedule 1 of the Transportation of Dangerous Goods Regulations under the Transportation of Dangerous Goods Act, 1992 (Canada) in the quantities indicated in Column 7 of that Schedule, in respect of which an emergency response plan is required to be filed under Part 7 of those Regulations, and
 - (b) \$1,000,000 in all other cases.

Explanation: A carrier must have insurance to cover liability for bodily injury, death and property damage for each vehicle in the amount described above.

Commercial Vehicle Certificate and Insurance Regulation
AR 314/2002 Section 24

- (1) This section does not apply to:
 - (a) person who only transports the items named in Schedule 1, or
 - (b) person who owns the goods that the person is transporting.
- (2) A registered owner must maintain cargo insurance against loss of or damage to goods transported:
 - (a) for each commercial vehicle engaged in the transportation of farm produce other than dairy products, at least \$600;
 - (b) for each commercial vehicle engaged on in the transportation of unprocessed milk or cream, an amount equal to the actual cost value of the goods.
- (3) If a person is engaged in the transportation of a mobile home, the person must maintain, in respect of the mobile home, insurance acceptable to the Registrar that,
 - (a) for a single wide mobile home
 - (i) provides coverage against loss or damage for the greater of (A) \$10,000, or (B) the cash value of the mobile home and its contents, if any and,
 - (ii) provides for collision coverage on the mobile home, and
 - (b) for a double wide mobile home:
 - (i) provides coverage against loss or damage for the cash value of the 2 halves and their contents, if any,
 - (ii) provides that if one of the halves is damaged to the extent that it is not practicable to repair it, the other half will be considered to have been also destroyed, and
 - (iii) provides for collision coverage on the mobile home.
- (4) If subsections (2) and d(3) do not apply, the registered owner who transports goods on a commercial vehicle must maintain cargo insurance against loss or damage to goods transported as follows:
 - (a) for each vehicle having a registered gross weight of 12,700 kilograms or less, at least \$15,000;
 - (b) for each vehicle having a registered gross weight of more than 12,700 kilograms but less than 18,000 kilograms, at least \$20,000;
 - (c) for each vehicle having a registered gross weight of 18,000 kilograms or more but not more than 21,000 kilograms, at least \$20,000;
 - (d) for each vehicle having a registered gross weight of more than 21,000 kilograms but not more than 37,000 kilograms, at least \$27,000;
 - (e) for each vehicle having a registered gross weight of more than 37,000 kilograms, at least \$32,000.
- (5) In this section, “registered gross weight” means the weight specified on the certificate of registration issued in respect of the commercial vehicle.

Explanation: This section outlines the various amounts of “cargo” insurance needed by a carrier. This depends on the commodity hauled and the Gross Vehicle Weight of the vehicle. Schedule 1 (Figure 1) exempts the following goods from insurance:

Schedule 1

Goods Exempted From Cargo Insurance

- | | |
|--|--|
| alfalfa (<i>raw or pelletised</i>) | lime |
| animal feed and related concentrates
and supplements (<i>not for human
consumption</i>) | loam |
| asphalt mix (<i>bituminous</i>) | logs |
| brick | lumber |
| cement (<i>dry or wet</i>) | newspapers |
| clay | organic manure |
| coal | peat moss |
| concrete products | propane |
| condensate | salt |
| crude oil | sand |
| crushed glass | sawdust |
| dead animals | scrap iron |
| drilling mud | septic tank refuse |
| fodder | snow |
| garbage | stone |
| grain | sugar beets (<i>raw or pelletised</i>) |
| granite | sulphur |
| granulite | topsoil |
| gravel | water |
| herculite | woodchips |

Figure1

Commercial Vehicle Certificate and Insurance Regulation
AR 314/2002 Section 26

- (1) The registered owner of:
- (a) a commercial vehicle for which an operating authority certificate is required or issued, or
 - (b) a commercial vehicle operated as an airport transportation service, with or without compensation paid by passengers, by which passengers are transported,
 - (i) from one or more pick-up points to an airport and the only drop off is the airport, or
 - (ii) from an airport to one or more drop off points and the only pick-up point is the airport;
 - (c) a rented commercial vehicle that is used or intended to be used to transport passengers for compensation must not operate the vehicle unless the vehicle is covered by a policy of automobile insurance providing passenger hazard coverage in at least the following amounts:
 - (i) \$400,000 for bodily injury or death of any one person as a result of any single accident;
 - (ii) if the manufacturer's seating capacity of the vehicle was originally designed for 10 passengers or fewer, including the driver, \$1,000,000 for bodily injury or death of 2 or more person as a result of any single accident;
 - (iii) if the manufacturer's seating capacity of the vehicle was originally designed for 11 passengers or more, including the driver, \$2,000,000 for bodily injury or death of 2 or more persons as a result of any single accident.

Explanation: This section covers the amount of "passenger hazard" insurance a carrier needs based on the type of operation and the seating capacity of the vehicle.

Commercial Vehicle Certificate and Insurance Regulation
AR 314/2002 Section 26.1

- (1) Every school bus that is used for a purpose under section 19 of the *Commercial Vehicle Safety Regulation* must be covered by a policy of automobile insurance providing passenger hazard coverage in at least the following amounts:
 - (a) \$200 000 for bodily injury or death of any one person as a result of any single accident;
 - (b) if the manufacturer's seating capacity of the vehicle was originally designed for 15 passengers or fewer, including the driver, \$500 000 for bodily injury or death of 2 or more persons as a result of any single accident;
 - (c) if the manufacturer's seating capacity of the vehicle was originally designed for 16 passengers or more, including the driver, \$1 000 000 for bodily injury or death of 2 or more persons as a result of any single accident.
- (2) When requested to do so by the Registrar, the owner of the school bus must direct the insurer to file with the Registrar, as the case may be, evidence of the current policy referred to in subsection (1).
- (3) Nothing in this section affects the obligations of a person under the *Insurance Act*.

Explanation: This section covers the amount of "passenger hazard" insurance a School Bus carrier needs based on the seating capacity of the vehicle.

ARC Audit – Financial Responsibility

The *Worksheet (Financial Responsibility)* form is used to record answers to questions relating to general financial responsibility and insurance coverage issues (Figure 2). All questions shown in Figure 2 below that show a check mark in the “Required” column are based upon the legislation sections mentioned above.

What to do?

1. Select “Financial Responsibility” from the worksheet selection drop-down menu.
2. Answer each question using the answer guidelines provided in the “Help” ARC Reference Manual.
3. Add comments to explain your answer in the comment section to the right of the question.
4. Select Save and then select the next worksheet from the drop-down menu to continue.

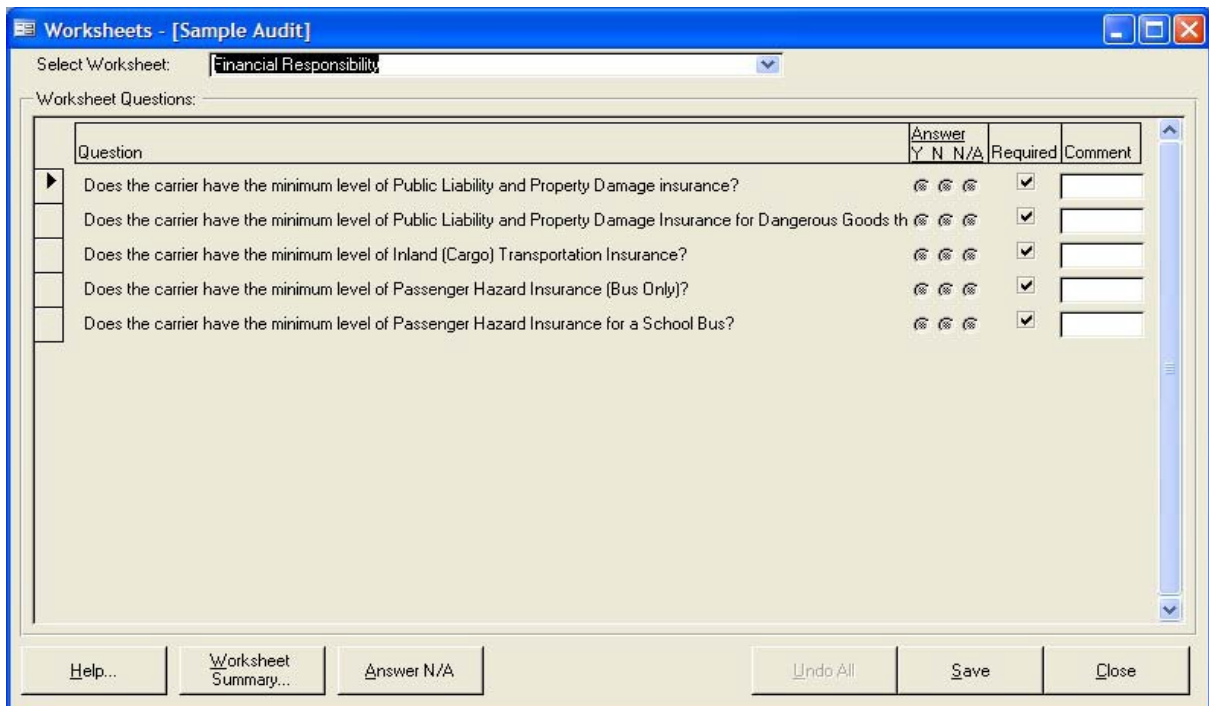


Figure 2: Financial Responsibility

Test your Knowledge:

What is the minimum amount of public liability and property damage insurance required for a freight truck licenced for 39,500 kilograms that transports grain?

Next . . .

- Complete the *Quiz* section.

IMPORTANT

BEFORE proceeding please review the contents of section 32 in the Help ARC Reference Manual.



5.4.1 Quiz: Financial Responsibility

This assignment will familiarize you with a carrier's insurance policies. You will make a determination, based on the content within the policies, whether or not the policies meet the minimum legislative standards. You will then record your findings within the ARC program. Using the information just presented in *Section 5.4 Financial Responsibility*, start the ARC program and login. Remember, you can also use the ARC program's built-in reference manual to assist you as well.

To successfully finish this quiz, you will need to:

- Start the program;
- Login to ARC;
- Select the Facility Audit tab;
- Select the audit for the carrier ABC Trucking Ltd;
- Select the Carrier Details tab;
- Select the Worksheets tab;
- Select Financial Responsibility from the drop-down menu;
- Enter the appropriate data from the information provided below;
- Add comments to assist the carrier in complying with legislation;
- Save your work.

Now complete your assignment using the information below.

The carrier provides you with a copy of its current policy # 9845907. The insurance company is Never Break Insurance Co. and the broker Seldom Wrong Insurance Agency. The policy is dated from January 01, 2014 to January 01, 2015. It covers all vehicle owned or leased by ABC Trucking. The policy limits are \$ 2,000,000 for public liability and property damage. The cargo insurance limit is \$ 100,000.

5.4.2 Quiz: Answer Key

Check your answers from 5.4.1 Quiz: *Financial Responsibility* by comparing your audit screens with the ones provided below.

The screenshot shows a software window titled "Worksheets - [Sample Audit]". At the top, there is a dropdown menu for "Select Worksheet:" set to "Financial Responsibility". Below this is a section for "Worksheet Questions:" containing a table with the following columns: "Question", "Answer" (with sub-columns for Y, N, N/A), "Required", and "Comment".

	Question	Answer			Required	Comment
		Y	N	N/A		
<input type="checkbox"/>	Does the carrier have the minimum level of Public Liability and Property Damage insurance?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/>	Does the carrier have the minimum level of Public Liability and Property Damage Insurance for Dangerous Goods th	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/>	Does the carrier have the minimum level of Inland (Cargo) Transportation Insurance?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/>	Does the carrier have the minimum level of Passenger Hazard Insurance (Bus Only)?	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/>	Does the carrier have the minimum level of Passenger Hazard Insurance for a School Bus?	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="checkbox"/>	

At the bottom of the window, there are several buttons: "Help...", "Worksheet Summary...", "Answer N/A", "Undo All", "Save", and "Close".

Next . . .

- Review the *Dangerous Goods* components of a Facility Audit.

5.5 Dangerous Goods

Note: Alberta has adopted the *Federal Transportation of Dangerous Goods Regulations* as quoted below.

Dangerous Goods Transportation and Handling Regulation
AR 157/1997 Section 2

(1) Subject to sections 3, 4 and 5, the Federal Regulations are adopted as regulations under the Act with full force.

ARC Audit – Carrier Safety

The *Worksheet (Dangerous Goods)* form is used to answer questions relating to the Carrier's responsibility regarding the transportation of Dangerous Goods (Figure 1).

What to do?

1. Select "[Dangerous Goods](#)" from the worksheet selection drop-down menu.
2. Answer each question using the answer guidelines provided in the "[Help](#)" ARC Reference Manual.
3. Add comments to explain your answer in the comment section to the right of the question.
4. Select [Save](#) and then select the next worksheet from the drop-down menu to continue.

IMPORTANT

BEFORE proceeding please review the contents of section 33 in the Help ARC Reference Manual.

Worksheets - [Sample Audit]

Select Worksheet:

Worksheet Questions:

Question	Answer			Required	Comment
	Y	N	N/A		
Does the carrier ensure Dangerous Goods certificates are provided to the applicable drivers?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	<input type="text"/>
Does the carrier retain or arrange for copies of Dangerous Goods shipping documents to be kept for at least the twc	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	<input type="text"/>
Is the carrier filing 30-day follow-up reports with the Director General of Transport Canada when required?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	<input type="text"/>
Is the carrier aware of the consignor's Emergency Response Plan filed with Transport Canada and know how to imp	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	<input type="text"/>

Help... Worksheet Summary... Answer N/A Undo All Save Close

Figure 1: Dangerous Goods Worksheet

Next . . .

- Take the following *Quiz*.



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5.5.1 Quiz: Dangerous Goods

This assignment will familiarize you with analyzing a carrier's safety policies. You will make a determination, based on the content within the policies, whether or not the policies meet the minimum legislative standards. You will then record your findings within the ARC program. Using the information just presented in *Section 5.5 – Dangerous Goods*, start the ARC program and login. Remember, you can also use the ARC program's built-in Reference Manual to assist you as well.

To successfully finish this quiz, you will need to:

- Start the program;
- Login to ARC;
- Select the Facility Audit tab;
- Select the audit for the carrier ABC Trucking Ltd;
- Select the Carrier Details tab;
- Select the Worksheets tab;
- Select Dangerous Goods from the drop-down menu;
- Enter the appropriate data from the information provided below;
- Add comments to assist the carrier in complying with legislation;
- Save your work.

Now, complete your assignment using the information below.

1. The carrier states that it does haul dangerous goods occasionally and provides you with three years' worth of completed shipping documents. There is no evidence to suggest that there has ever been a reportable incident. The carrier does not haul dangerous goods that require an emergency response plan.

Note: *This sample shipping document (on the next page) contains some information that is not required in the TDG Regulations. The additional information reflects current industry practices. It does not form part of this quiz.*

Dangerous Goods Shipping Document for Road Transport

DESTINATION (City-Town) Name: Address:			CONSIGNOR Name: Address:			
Name of Carrier	Prepaid <input type="checkbox"/>	Collect <input type="checkbox"/>	Transport Unit Number			
Point of Origin			Shipping Date		Shipper's No.	
REGULATED DANEROUS GOODS			24-Hour Number _____ ERAP Reference _____ Telephone Number _____			
Shipping Name	Primary Class	Subsidiary Class	UN #	Packing Group/Risk Group	Quantity	Package Requiring Labels
This is to certify that the above named articles are properly classified, described, package, marked and labeled and are in proper condition for transportation according to the Transportation of Dangerous Goods Regulations.						
Special Instructions						
NON-REGULATED GOODS						
Package	Description of Articles			Weight		
Received in apparent good order: _____ Consignee Signature				_____ Shipper's Signature		

5.5.2 Quiz: Answer Key

Check your answers from *5.5.1 Quiz: Dangerous Goods* by comparing your audit screens with the ones provided below.

The screenshot shows a software window titled "Worksheets - [Sample Audit]". At the top, there is a dropdown menu for "Select Worksheet:" with "Dangerous Goods" selected. Below this is a section for "Worksheet Questions:" containing a table with four rows of questions. Each row has a checkbox on the left, a question text, an "Answer" column with radio buttons for Y, N, and N/A, a "Required" column with a checkbox, and a "Comment" column with a text box. The bottom of the window features several buttons: "Help...", "Worksheet Summary...", "Answer N/A", "Undo All", "Save", and "Close".

	Question	Answer Y N N/A	Required	Comment
<input type="checkbox"/>	Does the carrier ensure Dangerous Goods certificates are provided to the applicable drivers?	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/>	Does the carrier retain or arrange for copies of Dangerous Goods shipping documents to be kept for at least the two	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/>	Is the carrier filing 30-day follow-up reports with the Director General of Transport Canada when required?	<input type="radio"/> <input type="radio"/> <input checked="" type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/>	Is the carrier aware of the consignor's Emergency Response Plan filed with Transport Canada and know how to imp	<input type="radio"/> <input type="radio"/> <input checked="" type="radio"/>	<input checked="" type="checkbox"/>	

Next . . .

- Learn about checking records concerning *Collisions* during a Facility Audit.

5.6 Collisions

Introduction

Collision reporting and review are critical for a carrier in order to understand the factors that contribute to a collision. This will allow the carrier to put into practice a system to prevent further collisions. This section deals with collision reporting.

Traffic Safety Act Section 69(4) and 71(1)

- 69(4)** If the information has not been provided under subsection (1), (2) or (3) and the driver or occupant of the vehicle is not the owner of the vehicle, the owner shall forthwith on determining that that owner's vehicle has been involved in an accident provide the information required under those subsections.
- 71(1)** A driver of a vehicle involved in an accident shall, in the form and manner prescribed by regulation, provide a report of the accident to:
- (a) peace officer having jurisdiction where the accident occurred, or
 - (b) an employee of a police service having jurisdiction where the accident occurred who is authorized to receive those reports.

Explanation: The driver or owner of a vehicle is responsible for reporting a collision involving the vehicle to the proper authority.

Operator Licensing and Vehicle Control Regulation AR 320/2002 Section 147

A person is exempted from making a report under section 71 of the Act, if as a result of the accident:

- (a) no one is injured or dies, or
- (b) the apparent cost to repair property damage is less than \$2,000.

Explanation: Collision reporting is necessary if there is an injury, death or property damage greater than \$2,000.00 for all parties involved.

ARC Audit - Collisions

The Worksheet (Collisions) form is used to record answers to questions relating to the carrier's responsibility regarding collisions (Figure 1).

What to do?

1. Select "Collisions" from the worksheet selection drop-down menu.
2. Answer each question using the answer guidelines provided in the "Help" ARC Reference Manual.
3. Add comments to explain your answer in the comment section to the right of the question.
4. Select Save and then select the next worksheet from the drop-down menu to continue.

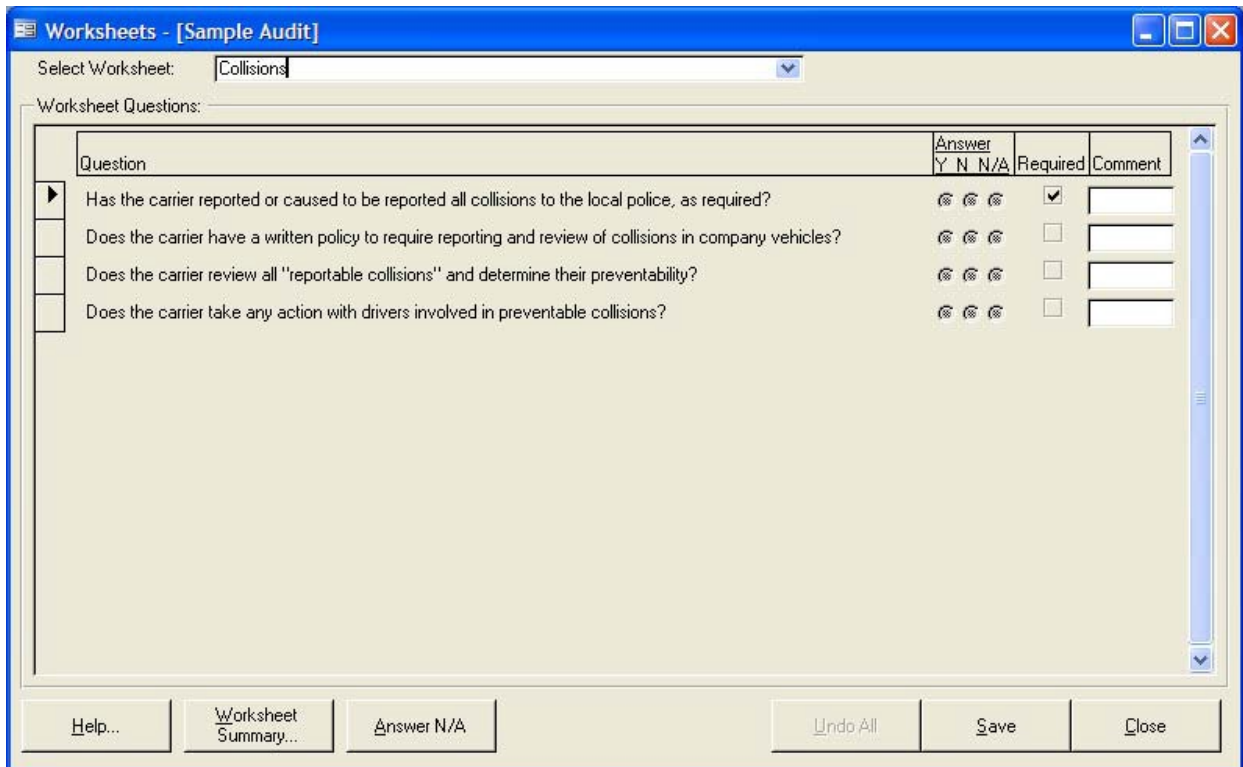


Figure 1: Collisions Worksheet

Test your Knowledge:

A carrier produces a collision folder that contains the collision report from the local police authority for a recent incident. There are no other documents available. Is this adequate? Why or why not?

Next . . .

- Test your skills and take the *Quiz*.

IMPORTANT

BEFORE proceeding please review the contents of section 34 in the Help ARC Reference Manual.



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5.6.1 Quiz: Collisions

This assignment will familiarize you with analyzing a carrier's safety policies. You will make a determination, based on the content within the policies, whether or not the policies meet the minimum legislative standards. You will then record your findings within the ARC program. Using the information just presented in *Section 5.6 – Collisions*, start the ARC program and login. Remember, you can also use the ARC program's built in reference manual to assist you as well.

To successfully finish this quiz, you will need to:

- Start the program;
- Login to ARC;
- Select the Facility Audit tab;
- Select the audit for the carrier ABC Trucking Ltd;
- Select the Carrier Details tab;
- Select the Worksheets tab;
- Select Collisions from the drop-down menu;
- Enter the appropriate data from the information provided below;
- Add comments to assist the carrier in complying with legislation;
- Save your work.

Now, complete your assignment using the information below.

1. There is a collision report on file dated Jan 15, 2014, for John Smith. This is the only known collision for the carrier. There was a review conducted by the carrier and it was determined that John Smith was at fault. There is no evidence of any driver discipline.

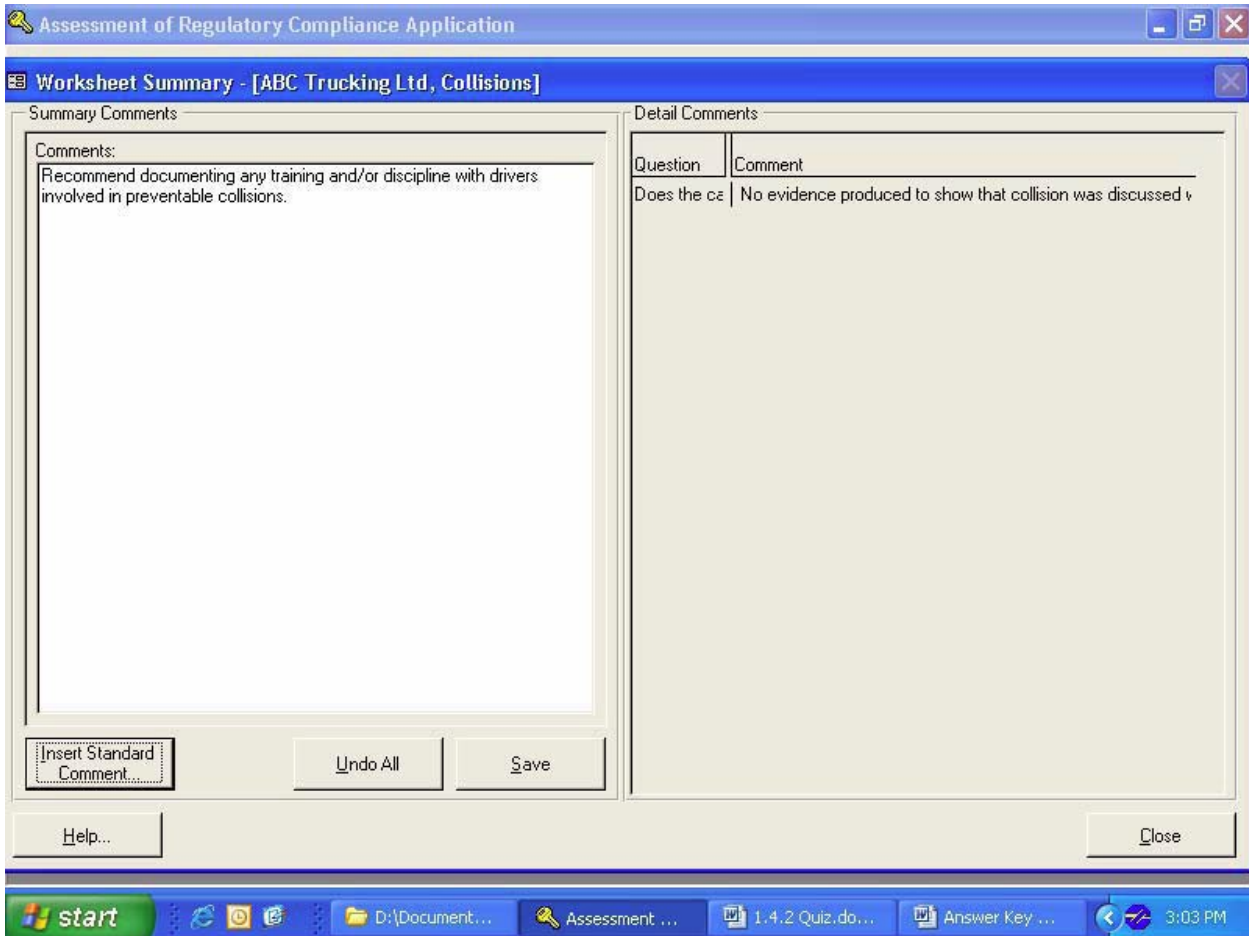
5.6.2 Quiz: Answer Key

Check your answers from 5.6 Quiz: *Collisions* by comparing your audit screens with the ones provided below.

The screenshot shows a software window titled "Worksheets - [Sample Audit]". At the top, there is a dropdown menu for "Select Worksheet:" with "Collisions" selected. Below this is a section for "Worksheet Questions:" containing a table with four columns: "Question", "Answer", "Required", and "Comment".

Question	Answer			Required	Comment
	Y	N	N/A		
<input type="checkbox"/> Has the carrier reported or caused to be reported all collisions to the local police, as required?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/> Does the carrier have a written policy to require reporting and review of collisions in company vehicles?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="checkbox"/>	
<input type="checkbox"/> Does the carrier review all "reportable collisions" and determine their preventability?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="checkbox"/>	
<input checked="" type="checkbox"/> Does the carrier take any action with drivers involved in preventable collisions?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="checkbox"/>	No eviden

At the bottom of the window, there are several buttons: "Help...", "Worksheet Summary...", "Answer N/A", "Undo All", "Save", and "Close".



Next . . .

- Review the *Driver Compliance* component of a Facility Audit.

5.7 Driver Compliance

Introduction

The duties a driver performs for a carrier are critical for the smooth and safe operation of the company, on the road and in the office. This section deals with driver performance issues.

Drivers' Hours of Service Regulation
AR 317/2002 Section 15

- (1) Where a driver is employed or otherwise engaged by more than one carrier in a calendar day, the driver shall forward a copy of the daily log for that day to each carrier by whom the driver was employed or otherwise engaged.

Explanation: Drivers are expected to provide a copy of their daily log to each carrier they work for.

Commercial Vehicle Drivers Hours of Service Regulations
SOR/2005-313 Section 85

- (2) A driver who is employed or otherwise engaged by more than one motor carrier in any day shall forward, within 20 days after completing a daily log, and the motor carriers shall ensure that the driver forwards.
 - (a) the original of the daily log to the home terminal of the first motor carrier for which the driver worked and a copy of it to the home terminal of each other carrier for which the driver worked; and
 - (b) the original supporting documents to the home terminal of the applicable motor carrier.

Explanation: Drivers are to provide their employer(s) with their daily logs and supporting documents with 20 days after completed them.

*Commercial Vehicle Safety Standards Regulation***AR 121/2009 Section 10**

- (2) Unless otherwise provided in this regulation, an owner or a carrier shall not permit a driver to drive, and a driver shall not drive, a commercial unless
- (a) the commercial vehicle has been inspected in accordance with the daily trip inspection requirements set out in this section, and
 - (b) no major defect was detected in the vehicle during the trip inspection referred to in clause (a).

Explanation: A driver is to inspect the vehicle to ensure there are no major defects.

*Commercial Vehicle Safety Standards Regulation***AR 121/2009 Section 10**

- (8) If a driver or a person authorized by the owner to conduct a trip inspection under this section believes or suspects that there is a safety defect in a commercial vehicle inspected under this section, the driver or person authorized by the owner shall report the defect to the owner of the commercial vehicle
- (a) without delay if the defect is a major defect, or
 - (b) in a timely manner, and not later than the next required daily trip inspection, in all other cases.

Explanation: A driver is to report all defects to the carrier.

Commercial Vehicle Safety Standards Regulation
AR 121/2009 Section 12

- (2) A carrier shall require every driver employed or otherwise engaged by the carrier, or a person authorized by the carrier under section 10(7) or 11 (6), to prepare a trip inspection report in accordance with this section.

Explanation: A carrier shall ensure drivers complete a trip inspection report.

Commercial Vehicle Safety Standards Regulation
AR 121/2009 Section

- (15) Regardless of whether or not a trip inspection report is required under section 12, if a driver observes any safety defects specified in Schedule 1, 2, 3 or 4 of NSC Standard 13, as the case may be, in the commercial vehicle while driving the vehicle, the driver shall record the safety defects in the trip inspection report or otherwise in a written document and report that defect to the carrier responsible for the vehicle, as the case may be,
- (a) without delay if the defect is a major defect, or
 - (b) in a timely manner, and not later than the next required daily trip inspection, in all other cases.

Explanation: Drivers shall report defects and report them to the carrier.

Traffic Safety Act Section 51(b) and (c)

Except as otherwise permitted under this Act, a person shall not do any of the following:

- (a) drive a motor vehicle on a highway unless that motor vehicle is of a class or type that is authorized to be operated under the class of operator's licence held by that person;
- (b) drive a motor vehicle on a highway contrary to an restriction of conditions to which that person's operator's licence is subject;

Explanation: A driver must have the proper class of licence and proper endorsements in order to operate a motor vehicle.

Traffic Safety Act Section 51(a)

Except as otherwise permitted under this Act, a person shall not do any of the following:

- (c) drive a motor vehicle on a highway unless that person is the holder of a subsisting operator's license.

Explanation: A driver shall not drive a motor vehicle unless the operator's licence is valid.

IMPORTANT

BEFORE proceeding please review the contents of section 35 in the Help ARC Reference Manual.

ARC Audit – Driver Compliance

The Worksheet (Driver Compliance) form is used to answer questions relating to general Driver Compliance (Figure 1).

What to do?

1. Select “[Driver Compliance](#)” from the worksheet selection drop-down menu.
2. Answer each question using the answer guidelines provided in the “[Help](#)” [ARC Reference Manual](#).
3. Add comments to explain your answer in the comment section to the right of the question.
4. Select [Save](#) and then select the next worksheet from the drop-down menu to continue.

Question	Answer			Required	Comment
	Y	N	N/A		
▶ Do drivers forward daily logs to each motor carrier with whom they are employed or otherwise engaged?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Do drivers or authorized persons conduct adequate trip inspections?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Do drivers only operate carrier's vehicles applicable to their licence class, conditions and endorsements?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Do drivers hold a valid operator's licence while driving the carrier's vehicles?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Do drivers or authorized persons that conduct Trip Inspections report defects to the carrier/owner, without delay, if .	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Do drivers or authorized persons prepare Trip Inspection Reports, as required?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Do drivers that conduct Trip Inspections, during their work shift, report identified defects and/or "major defects" to c	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Do drivers report all violations to the carrier?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="checkbox"/>	

Figure 1: Driver Compliance Worksheet

Test your Knowledge:

While reviewing the vehicle files of a carrier, you notice that there are no written pre and post trip inspections for any of the school buses that are being operated. Is this a violation? Why or Why not?

Next . . .

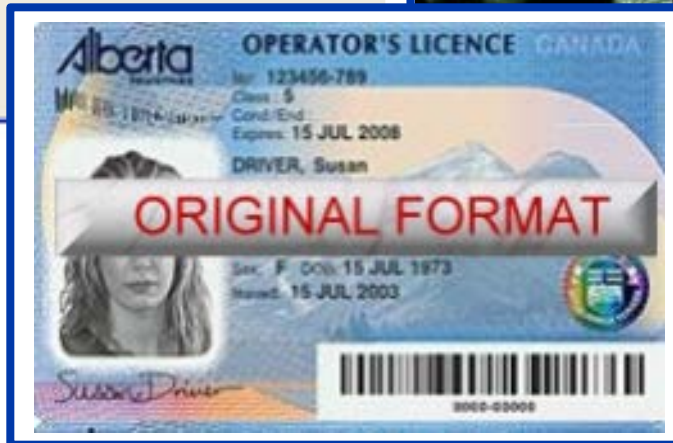
- Apply your skills and take the *Quiz*.

Post and Pre Trip Inspection



Electronic Daily Logs

Driver	Last Known Status	Availability	Driving	Duty	Current Eligibility	Eligible Today	Hours Today
ashara	ON: 3/24/2005 12:00 AM	5:00	11:00	5:00	30:00	39:00	14:00
brockford	OFF: 3/22/2005 10:15 PM	2:00	5:00	2:00	10:00	15:00	17:00
janith	O: 3/23/2005 6:15 AM	11:00	11:00	14:00	70:00	70:00	0:00



Valid Endorsed Operators Licence

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5.7.1 Quiz: Driver Compliance

This assignment will familiarize you with analyzing a carrier's safety policies. You will make a determination, based on the content within the policies, whether or not the policies meet the minimum legislative standards. You will then record your findings within the ARC program. Using the information just presented in *Section 5.7 – Driver Compliance*, start the ARC program and login. Remember, you can also use the ARC program's built in reference manual to assist you as well.

To successfully finish this quiz, you will need to:

- Start the program;
- Login to ARC;
- Select the Facility Audit tab;
- Select the audit for the carrier ABC Trucking Ltd;
- Select the Carrier Details tab;
- Select the Worksheets tab;
- Select Driver Compliance from the drop-down menu;
- Enter the appropriate data from the information provided below;
- Add comments to assist the carrier in complying with legislation;
- Save your work.

Now, complete your assignment using the information below.

Answer the questions to this work sheet by analyzing the information obtained from the driver and vehicle files and the carrier's safety program. The conviction and CVSA inspection information contained within the carrier profile would be a valuable tool when seeking answers to this worksheet.

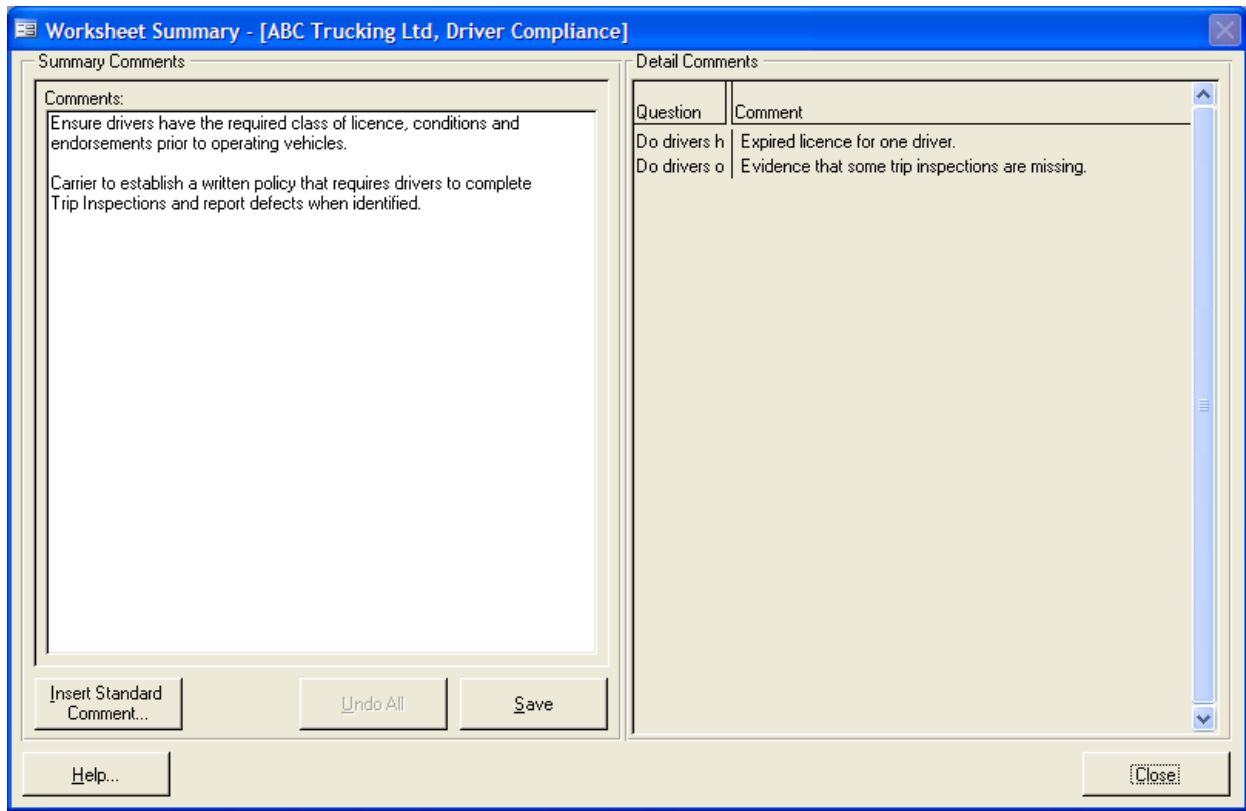
5.7.2 Quiz: Answer Key

Check your answers from 5.7.1 Quiz: *Driver Compliance* by comparing your audit screens with the ones provided below.

The screenshot shows a software window titled "Worksheets - [ABC Trucking Ltd]" with a dropdown menu set to "Driver Compliance". Below the menu is a section for "Worksheet Questions:" containing a table with the following data:

Question	Answer			Required	Comment
	Y	N	N/A		
Do drivers forward daily logs to each motor carrier with whom they are employed or otherwise engaged?	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="checkbox"/>	
Do drivers or authorized persons conduct adequate trip inspections?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Do drivers only operate carrier's vehicles applicable to their licence class, conditions and endorsements?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Do drivers hold a valid operator's licence while driving the carrier's vehicles?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Expired lic
Do drivers or authorized persons that conduct Trip Inspections report defects to the carrier/owner, without delay, if .	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Do drivers or authorized persons prepare Trip Inspection Reports, as required?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Evidence I
Do drivers that conduct Trip Inspections, during their work shift, report identified defects and/or "major defects" to c	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
Do drivers report all violations to the carrier?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="checkbox"/>	

At the bottom of the window are several buttons: Help..., Worksheet Summary..., Answer N/A, Undo All, Save, and Close.



Next . . .

- Learn about the *Hours of Service* component of a Facility Audit.

5.8 Hours of Service

Introduction

The amount of hours that a driver can driver is regulated. This is to ensure that driver fatigue does not contribute to vehicle collisions. Part of this process involves record keeping. This section deals with the ARC worksheet that outlines the carrier's record keeping requirements which aids the carrier in monitoring the hours worked by a driver and ensuring compliance with the legislation.

Drivers' Hours of Service Regulations
AR 317/2002 Section 16

- (1) A carrier shall retain at its principal place of business:
- (a) every copy of the daily log that is forwarded to the carrier pursuant to section 15(1), and
 - (b) every daily record referred to in section 15(2), for a period of at least 6 months from the date that the information is recorded in the daily log.

Explanation: Drivers' daily logs are to be kept at the carrier's principal place of business for at least 6 months.

Drivers' Hours of Service Regulation
AR 317/2002 Section 16

- (2) A carrier:
- (a) shall retain the daily records and daily logs referred to in subsection (1) in a neat and orderly manner, and
 - (b) shall, on request by a peace officer, produce forthwith to the peace officer the daily records and logs for inspection.

Explanation: The daily logs and records must be organized and be made available for inspection.

Commercial Vehicle Drivers Hours of Service Regulations
SOR/2005-313 Section 85

- (3) The motor carrier shall:
- (a) deposit the daily logs and supporting documents at its principal place of business within 30 days after receiving them; and
 - (b) keep the daily logs and supporting documents in chronological order for each driver for a period of at least 6 months.

Explanation: This is the Federal version of the above Provincial law.

Drivers' Hours of Service Regulation
AR 317/2002 Section 6

- (1) Except as permitted by this regulation, a carrier shall not permit a driver during the driver's workshift:
- (a) to exceed 13 hours of driving time, or
 - (b) to drive at any time after the driver has been on duty for 15 or more consecutive hours.

Explanation: The carrier must ensure drivers do not exceed the limits indicated above.

Commercial Vehicle Drivers' Hours of Service Regulation
SOR/2005-313 Section 12

- (1) No motor carrier shall request, require or allow a driver to drive and no driver shall drive after the driver has accumulated 13 hours of driving time in a day.
- (2) No motor carrier shall request, require or allow a driver to drive and no driver shall drive after the driver has accumulated 14 hours of on-duty time in a day.

Explanation: The carrier must ensure drivers do not exceed the limits indicated above.

Commercial Vehicle Drivers Hours of Service Regulations
SOR/2005-313 Section 87

- (1) motor carrier shall monitor the compliance of each driver with these Regulations.
- (2) motor carrier that determines that there has been non-compliance with these Regulations shall take immediate remedial action and record the dates on which the non-compliance occurred, the date of issuance of a notice of non-compliance and the action taken.

Explanation: The carrier must ensure drivers comply with the regulations and take action when they do not comply with the regulations.

Driver Filling out Daily Log Book



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ARC Audit – Hours of Service

The *Worksheet (Hours of Service)* form is used to answer general questions relating to the Carrier’s responsibility regarding Hours of Service compliance (Figure 1).

What to do?

1. Select “Hours of Service” from the worksheet selection drop-down menu.
2. Answer each question using the answer guidelines provided in the “Help” Reference Manual.
3. Add comments to explain your answer in the comment section to the right of the question.
4. Select Save, and then select the next worksheet from the drop-down menu to continue.
- 5.

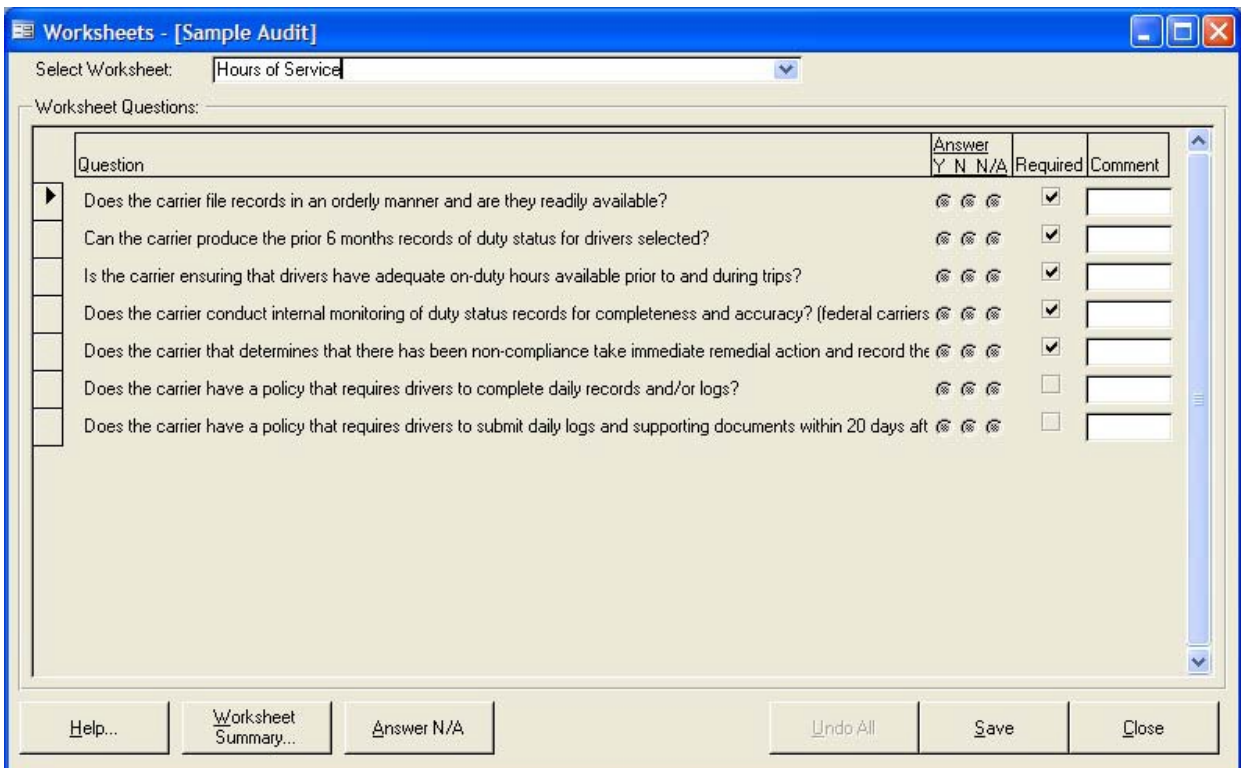


Figure 1: Hours of Service Worksheet

Test your Knowledge:

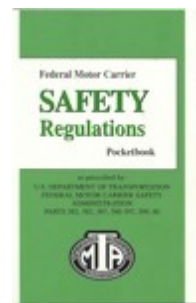
While at a carrier's principal place of business, you are given three months of driver's daily logs to examine. Is this acceptable? Why?

Next . . .

- Review what you have learned in the *Quiz* section.

IMPORTANT

BEFORE proceeding please review the contents of section 36 in the Help ARC Reference Manual.



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5.8.1 Quiz: Hours of Service

This assignment will familiarize you with analyzing a carrier's safety policies. You will make a determination, based on the content within the policies, whether or not the policies meet the minimum legislative standards. You will then record your findings within the ARC program. Using the information just presented in *Section 5.8 – Hours of Service*, start the ARC program and login. Remember, you can also use the ARC program's built-in reference manual to assist you as well.

To successfully finish this quiz, you will need to:

- Start the program;
- Login to ARC;
- Select the Facility Audit tab;
- Select the audit for the carrier ABC Trucking Ltd;
- Select the Carrier Details tab;
- Select the Worksheets tab;
- Select Hours of Service from the drop-down menu;
- Enter the appropriate data from the information provided below;
- Add comments to assist the carrier in complying with legislation;
- Save your work.

Now, complete your assignment using the information below:

1. Answer the questions to this worksheet by analyzing the information obtained from the driver hours of service records and the carrier's safety program. You are also aware that the carrier keeps 3 months of daily logs on file. There is no review of these records by the carrier, not does the carrier track drivers' hours.

5.8.2 Quiz: Answer Key

Check your answers from *5.8.1 Quiz: Hours of Service* by comparing your audit screens with the ones provided below.

Worksheets - [ABC Trucking Ltd]

Select Worksheet: Hours of Service

Worksheet Questions:

	Question	Answer			Required	Comment
		Y	N	N/A		
<input type="checkbox"/>	Does the carrier file records in an orderly manner and are they readily available?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/>	Can the carrier produce the prior 6 months records of duty status for drivers selected?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Only 3 mor
<input type="checkbox"/>	Is the carrier ensuring that drivers have adequate on-duty hours available prior to and during trips?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input checked="" type="checkbox"/>	Does the carrier conduct internal monitoring of duty status records for completeness and accuracy? (federal carriers	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	No eviden
<input type="checkbox"/>	Does the carrier that determines that there has been non-compliance take immediate remedial action and record the	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	No eviden
<input type="checkbox"/>	Does the carrier have a policy that requires drivers to complete daily records and/or logs?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="checkbox"/>	
<input type="checkbox"/>	Does the carrier have a policy that requires drivers to submit daily logs and supporting documents within 20 days aft	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="checkbox"/>	Not found.

Help... Worksheet Summary... Answer N/A Undo All Save Close

Question	Comment
Can the car	Only 3 months of records on file.
Does the ce	No evidence.
Does the ce	No evidence.
Does the ce	Not found.

Next . . .

- Learn about the *Inspection, Repair and Maintenance* component of a Facility Audit.

5.9 Vehicle Inspection Repair and Maintenance

Introduction

Inspections of vehicles are mandatory. These mandatory inspections are used to verify that a carrier's maintenance program is effective in identifying failing or worn components before they become a safety issue on the highway. This section deals with the Commercial Vehicle Inspection Program (CVIP) and specific school bus components.

Vehicle Inspection Regulation
AR 211/2006 Section 19

- (1)** A person shall not operate a commercial vehicle on a highway unless:
- (a) the vehicle has been inspected under this Regulation and a certificate and decal have been issued for that vehicle;
 - (b) the original copy of the certificate is located within the commercial vehicle for which it was issued;
 - (c) the decal is securely affixed to the commercial vehicle for which it was issued in accordance with the procedures set out in the applicable Vehicle Inspections Manual, and
 - (d) the certificate and decal have not expired, in accordance with section 30 (1)(b) in the case of a commercial vehicle that is not a bus or section 30(1)(c) in the case of a bus, or been revoked, suspended or cancelled.

Explanation: Vehicles and vehicle combinations licenced for 11,794 kilogram and more are required to have an annual inspection by an approved mechanic. The certificate of inspection must be kept within the vehicle, and the decal must be on the vehicle that matches the certificate.

*Vehicle Inspection Regulation***AR 211/2006 Section 20**

- (1) A person shall not operate a vehicle under an Operating Authority:
- (a) the vehicle has been inspected under this Regulation and a commercial vehicle inspection certificate and decal have been issued for that vehicle,
 - (b) the original copy of the certificate is located within the vehicle for which it was issued,
 - (c) the decal is securely affixed to the vehicle for which it was issued in accordance with the procedures set out in the applicable Vehicle Inspection Manual, and
 - (d) the certificate and decal have not expired, in accordance with section 30 (1)(c) or been revoked, suspended or cancelled.

Explanation: Vehicles operating under an Operating Authority certificate are also required to have inspections.

*Commercial Vehicle Safety Regulation***AR 121/2009 Section 5**

- (2) Unless otherwise provided in this section or in Schedule 2, a person shall not operate or permit another person to operate a commercial vehicle on a highway unless the commercial vehicle complies with the standards
- (a) prescribed in Schedule 2,
 - (b) prescribed under the *Vehicle Equipment Regulation*, and
 - (c) required under
 - (i) the *Motor Vehicle Safety Act* (Canada), and
 - (ii) the *Motor Vehicle Safety Regulations* (Canada) applicable at the time of manufacture of the vehicle.

Explanation: Carriers should ensure no commercial vehicles operate on the highway unless they meet these standards.

Commercial Vehicle Safety Regulation
AR 121/2009 Section 37(2)

- (2) A carrier shall maintain, or cause to be maintained, the following records pertaining to each commercial vehicle used in the carrier's business:
- (a) an identification of the vehicle, including
 - (i) a unit number, the manufacturer's serial number or a similar identifying mark,
 - (ii) the make of the vehicle, and
 - (iii) the year of manufacture;
 - (b) a record of the inspection of the vehicle under the *Vehicle Inspection Regulation* (AR 211/2006), and repairs, lubrication and maintenance for the vehicle, including
 - (i) the nature of the inspection or work performed on the vehicle, and
 - (ii) the date on which that inspection or work took place and the odometer or hubometer reading on the vehicle at that time;
 - (c) notices of defect received from the vehicle manufacturer and the corrective work done on the vehicle in relation to those notices;
 - (d) trip inspection reports prepared under section 12.

Explanation: A carrier must maintain inspection, repair, lubrication, maintenance, defect notices and trip inspection records for each vehicle.

ARC Audit – Repair, Inspection, and Maintenance

The *Worksheet (Repair, Inspection, and Maintenance)* form is used to answer general questions relating to the Carrier’s Maintenance and Inspection Program (Figure 1).

What to do?

1. Select “[Inspection, Repair, Maintenance](#)” from the worksheet selection drop-down menu.
2. Answer each question using the answer guidelines provided in the “[Help](#)” [ARC Reference Manual](#).
3. Add comments to explain your answer in the comment section to the right of the question.
4. Select [Save](#) and then select the next worksheet from the drop-down menu to continue.

Worksheets - [ABC Trucking Ltd]

Select Worksheet: [Inspection, Repair, Maintenance](#)

Worksheet Questions:

	Question	Answer			Required	Comment
		Y	N	N/A		
<input type="checkbox"/>	Does the carrier ensure each commercial vehicle operated has a valid CVIP Inspection?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/>	Does the carrier ensure each commercial vehicle is operated with a valid CVIP Inspection certificate located within	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/>	Does the carrier ensure each commercial vehicle is operated with a valid CVIP Inspection decal affixed to each cor	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/>	Does the written Maintenance and Inspection Program provide and identify adequate directions on retaining vehicle	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/>	Does the carrier ensure that no one shall operate a commercial vehicle on a highway unless the vehicle is being ma	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/>	Does carrier require/ensure that only a certified Heavy Equipment Technician completes repairs and conducts mair	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/>	Does any individual, not certified as a Heavy Equipment Technician, but who is operating as a carrier; carry out woi	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/>	Does the carrier have a recall system for CVIP inspections?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="checkbox"/>	

Buttons: [Help...](#) [Worksheet Summary...](#) [Answer N/A](#) [Undo All](#) [Save](#) [Close](#)

Figure 1: Repair, Inspection, and Maintenance Worksheet

Test your Knowledge:

While reviewing the vehicle files of a carrier, you notice that there is a newly acquired vehicle that has no CVIP inspection on file. Is this a possible violation? Why?

Next . . .

- Take the *Quiz* for this section.

IMPORTANT

BEFORE proceeding please review the contents of section 37 in the Help ARC Reference Manual.



5.9.1 Quiz: Vehicle Inspection Repair and Maintenance

This assignment will familiarize you with analyzing a carrier's vehicle maintenance policies. You will make a determination, based on the content within the policies, whether or not the policies meet the minimum legislative standards. You will then record your findings within the ARC program. Using the information just presented in *Section 5.9 – Vehicle Inspection Repair and Maintenance*, start the ARC program and login. Remember, you can also use the ARC program's built-in reference manual to assist you as well.

To successfully finish this quiz, you will need to:

- Start the program;
- Login to ARC;
- Select the Facility Audit tab;
- Select the audit for the carrier ABC Trucking Ltd;
- Select the Carrier Details tab;
- Select the Worksheets tab;
- Select Inspection, Repair, Maintenance from the drop-down menu;
- Enter the appropriate data from the information provided below;
- Add comments to assist the carrier in complying with legislation;
- Save your work.

Now, complete your assignment using the information below.

1. Answer the questions to this work sheet by analyzing the information obtained from the vehicle CVIP records and the carrier's safety program. You are also aware that there is no indication that the carrier's vehicles were operated without a valid CVIP inspection, and only licenced heavy duty technicians service the company's vehicles.

5.9.2 Quiz: Answer Key

Check your answers from 5.9 Quiz: *Vehicle Inspection Repair and Maintenance* by comparing your audit screens with the ones provided below.

Worksheets - [ABC Trucking Ltd]

Select Worksheet: Inspection, Repair, Maintenance

Worksheet Questions:

Question	Answer			Required	Comment
	Y	N	N/A		
<input type="checkbox"/> Does the carrier ensure each commercial vehicle operated has a valid CVIP Inspection?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/> Does the carrier ensure each commercial vehicle is operated with a valid CVIP Inspection certificate located within	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/> Does the carrier ensure each commercial vehicle is operated with a valid CVIP Inspection decal affixed to each cor	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/> Does the written Maintenance and Inspection Program provide and identify adequate directions on retaining vehicle	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/> Does the carrier ensure that no one shall operate a commercial vehicle on a highway unless the vehicle is being me	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/> Does carrier require/ensure that only a certified Heavy Equipment Technician completes repairs and conducts mair	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/> Does any individual, not certified as a Heavy Equipment Technician, but who is operating as a carrier; carry out woi	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="checkbox"/>	
<input checked="" type="checkbox"/> Does the carrier have a recall system for CVIP inspections?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="checkbox"/>	Missing

Worksheet Summary - [ABC Trucking Ltd, Inspection, Repair, Maintenance]

Summary Comments

Comments:

Detail Comments

Question	Comment
Does the ce	Missing. No recall system in place.

Insert Standard Comment... Undo All Save Help... Close

Next . . .

- Learn about the *Vehicle Maintenance Programs* checked during a Facility Audit.

5.10 Vehicle Maintenance Programs

Introduction

A properly maintained vehicle can save a carrier time and money. A properly written and followed maintenance program aids a carrier in realizing these benefits as well as reducing the likelihood of an on-road incident related to mechanical failure.

Commercial Vehicle Safety Regulation
AR 121/2009 Section 6

- (1) A carrier shall prepare and carry out a maintenance and inspection program that pertains to the carrier's commercial vehicle.
- (3) A maintenance and inspection program under subsection (1) must be in writing and provide for a continuous and regular program for the inspection, maintenance and repair of the carrier's commercial vehicle according to the following requirements, as applicable:
 - (a) this section and Schedules 2, 3, 4 and 5;
 - (b) sections 10 and 11;
 - (c) the *Vehicle Inspection Regulation* (AR 211/2006).
- (4) A carrier shall maintain a copy of the maintenance and inspection program prepared under subsection (1) in each location of the carrier where the maintenance and inspection of the carrier's commercial vehicles are carried out, and shall ensure that the copy is readily accessible to the employees of the carriers who carry out the maintenance and inspection program.
- (5) Unless otherwise authorized by the Registrar, in addition to the requirements of subsection (4), a copy of the maintenance and inspection program prepared under subsection (1) must also be maintained at the carrier's principal place of business.

Explanation: A carrier must have a written maintenance program that meets regulatory standards and is available to employees.

*Commercial Vehicle Safety Regulation***AR 121/2009 Section 10**

- (2) Unless otherwise provided in this Regulation, an owner or a carrier shall not permit a driver to drive, and a driver shall not drive, a commercial vehicle unless
- (a) the commercial vehicle has been inspected in accordance with the daily trip inspection requirements set out in this section, and
 - (b) no major defect was detected in the vehicle during the daily trip inspection referred to in clause (a).
- (4) Subject to subsection (10), the driver, the owner, the carrier or the person authorized by the carrier or the owner to conduct a daily trip inspection under this section shall inspect the operating condition,
- (a) with respect to a truck, truck-tractor or trailer, of the items specified in Schedule 1 of NSC Standard 13, Part 2, and
 - (b) with respect to a bus, of the items specified in Schedule 2 of NSC Standard 13, Part 2.
- (5) Despite subsection (4)(b) but subject to subsection (10) and section 11, the carrier or the person authorized by the carrier of a commercial vehicle to conduct a daily trip inspection under this section may, with respect to a bus that is a motor coach, inspect the operating condition of the items specified in Schedule 3 of NSC Standard 13, Part 2.
- (9) A carrier shall ensure that a copy of the Schedule referred to in subsection (4)(a) or (b) that is applicable to the commercial vehicle, including any modifications made to the Schedule in accordance with subsection (10), is located in the vehicle.

Explanation: A trip inspection must be conducted and the schedule from NSC Standard 13 carried in the vehicle.

Note: For a full version of the NSC trip inspection schedules, refer to <http://www.ccmta.ca/english/produstandservices/publications/publications.cfm>,

Commercial Vehicle Safety Regulation
AR 121/2009 Section 11

- (1) Where a bus that is a motor coach has been inspected under section 10(5), unless otherwise provided in this Regulation, a carrier shall not permit a driver to drive, and a driver shall not drive, the motor coach unless
- (a) the motor coach has also been inspected in accordance with the under-vehicle trip inspection requirements of this section, and
 - (b) no major defect was detected in the motor coach during the under-vehicle trip inspection.
- (2) The under-vehicle trip inspection referred to in subsection (1) is valid
- (a) for 30 days, or
 - (b) until the day on which the motor coach has travelled 12 000 kilometres after the under-vehicle trip inspection,
- whichever occurs first.
- (3) The person authorized by the carrier of a motor coach to conduct an under-vehicle trip inspection under this section shall inspect the operating condition of the items specified in Schedule 4 of NSC Standard 13, Part 2.

Explanation: Motor coaches, in addition to a trip inspection, require an under vehicle inspection.

Commercial Vehicle Safety Regulation
AR 121/2009 Section 12

- (2) A carrier shall require every driver employed or otherwise engaged by the carrier, or a person authorized by the carrier under section 10(7) or 11(6), to prepare a trip inspection report in accordance with this section.
- (3) The driver or the person authorized by the carrier under section 10(7) or 11(6) shall prepare, for each commercial vehicle driven, the trip inspection report
 - (a) in a legible written format, or
 - (b) in a legible electronic format acceptable to the Registrar.

Explanation: There must be a 15,000 kilometre inspection is required on the appropriate form.



Commercial Vehicle Safety Regulation
AR121/2009 Section 12

- (4)** The trip inspection report must
- (a) state the licence plate number, the commercial vehicle identification number or unit number of the commercial vehicle,
 - (b) record the odometer or hubometer reading of the commercial vehicle at the time of the inspection,
 - (c) state the name of the carrier operating the commercial vehicle,
 - (d) state the name of the municipality or location on the highway where the commercial vehicle was inspected,
 - (e) indicate
 - (i) each defect in the operation of every item required to be inspected in accordance with section 10 or 11, as the case may be, or
 - (ii) that no defect was detected,
 - (f) state the time and date that the report is made,
 - (g) state the name of the person who inspected the commercial vehicle and include a statement signed by that person stating that the commercial vehicle has been inspected in accordance with the applicable requirements under section 10 or 11, as the case may be,
 - (h) contain the name and signature of the driver or the person making the report, and
 - (i) in the case of a trip inspection under section 11,
 - (i) record the brake adjustment measurement,
 - (ii) indicate the nature of all repairs carried out to rectify defects determined during the inspection, and
 - (iii) state the trade certificate number of the Heavy Equipment Technician that conducted the inspection.

Explanation: Trip inspection report must contain this information.

Commercial Vehicle Safety Regulation

AR 121/2009 Section 13

- (1) A driver shall, within 20 days after the completion of a trip inspection report, forward the original of the report to the home terminal of the carrier who is responsible for the commercial vehicle.
- (2) A carrier shall
 - (a) ensure that the driver forwards the original of the trip inspection report as required under subsection (1),
 - (b) deposit the original of the trip inspection report at its principal place of business within 30 days of receiving it, and
 - (c) keep each original of the trip inspection report in chronological order for each vehicle for at least 6 months after receiving it.

Explanation: Trip inspection reports must be forwarded to the carrier and kept on file.

Commercial Vehicle Safety Regulation

AR 121/2009 Section 14

If the driver or the person authorized by the carrier to prepare a trip inspection report under section 10(7) or 11(6) believes or suspects there is a safety defect in the commercial vehicle that was inspected under section 10(4) and (5) or 11(3) and (4), the driver or the person authorized by the carrier shall report the defect to the carrier

- (a) without delay if the defect is a major defect, or
- (b) in a timely manner, and not later than the next required daily trip inspection, in all other cases.

Explanation: Defects observed during a trip inspection must be reported.

*Commercial Vehicle Safety Regulation***AR 121/2009 Section 15**

Regardless of whether or not a trip inspection report is required under section 12, if a driver observes any safety defects specified in Schedule 1, 2, 3 or 4 of NSC Standard 13, as the case may be, in the commercial vehicle while driving the vehicle, the driver shall record the safety defects in the trip inspection report or otherwise in a written document and report that defect to the carrier responsible for the vehicle, as the case may be,

- (a) without delay if the defect is a major defect, or
- (b) in a timely manner, and not later than the next required daily trip inspection, in all other cases.

Explanation: Defects observed while operating the vehicle must be reported.

*Commercial Vehicle Safety Regulation***AR 121/2009 Section 16**

A carrier or a person authorized by the carrier under section 10(7) or 11(6) shall not permit a driver to drive, and a driver shall not drive, a commercial vehicle unless, before doing so, the carrier or the person has

- (a) repaired or corrected any major defect listed on the trip inspection report or the written document referred to in section 12 or 15, as the case may be, and certified on the report that the defect has been repaired or corrected, or
- (b) certified on the report that repair or correction is unnecessary.

Explanation: Defects must be repaired when required and documented.

Note: For a full version of Maintenance Schedule 2,3,4 and 5 under the Commercial Vehicle Safety Regulation AR121/2009 which details the required components to be covered in a maintenance program and the standards which those components need to meet refer to: <http://www.transportation.alberta.ca/525.htm>.

ARC Audit – Maintenance Program

The Worksheet (Maintenance Program: All Vehicles) and (Maintenance Program: Specific Vehicles) forms are used to record answers to questions relating to the carrier's written Maintenance and Inspection Program (Figure 1 and 2).

What to do?

1. Select “Maintenance Program: All Vehicles” from the worksheet selection drop-down menu.
2. Answer each question using the answer guidelines provided in the “Help” ARC Reference Manual.
3. Add comments to explain your answer in the comment section to the right of the question.
4. Select Save and then Close to go back to the Carrier Details Screen.

The screenshot shows a software window titled "Worksheets - [Sample Audit]". At the top, there is a dropdown menu labeled "Select Worksheet:" with "Maintenance Program: All Vehicles" selected. Below this is a section titled "Worksheet Questions:" containing a table with the following columns: "Question", "Answer" (with sub-columns for Y, N, and N/A), "Required", and "Comment". The table lists 12 questions related to maintenance and inspection programs for all vehicles. At the bottom of the window, there are several buttons: "Help...", "Worksheet Summary...", "Answer N/A", "Undo All", "Save", and "Close".

Question	Answer			Required	Comment
	Y	N	N/A		
All Vehicles: Does the written Maintenance and Inspection Program pertain to all types of commercial vehicles in fle	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
All Vehicles: Does the carrier maintain a copy of the written Maintenance and Inspection Program at their principal	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
All Vehicles: Does the carrier maintain a copy of their written Maintenance and Inspection Program in each location	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
All Vehicles: Do employees have access to the carrier's written Maintenance and Inspection Program, as required?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
All Vehicles: Does the written Maintenance and Inspection Program call for a regular and continuous program of ins	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
All Vehicles: Does the written Maintenance and Inspection Program cover the requirement to conduct Commercial'	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
All Vehicles: Does the written Maintenance and Inspection Program ensure that each commercial vehicle contain a	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
All Vehicles: Does the written Maintenance and Inspection Program require that drivers or persons authorized to co	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
All Vehicles: Does the written Maintenance and Inspection Program require that drivers or persons authorized comp	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
All Vehicles: Are Trip Inspection Forms in a legible written format or in an electronic format acceptable to the Regist	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
All Vehicles: Does the written Maintenance and Inspection Program identify what items need to be recorded on a T	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
All Vehicles: Does the written Maintenance and Inspection Program address distribution and retention of Trip Inspec	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
All Vehicles: Does the written Maintenance and Inspection Program address that a person completing a Trip Inspec	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

Figure 1: Maintenance Program: All Vehicles Worksheet

What to do?

1. Select “Maintenance Program: Specific Vehicles” from the worksheet selection drop-down menu.
2. Answer each question using the answer guidelines provided in the “Help” ARC Reference Manual.
3. Add comments to explain your answer in the comment section to the right of the question.
4. Select [Save](#) and then [Close](#) to go back to the Carrier Details Screen.

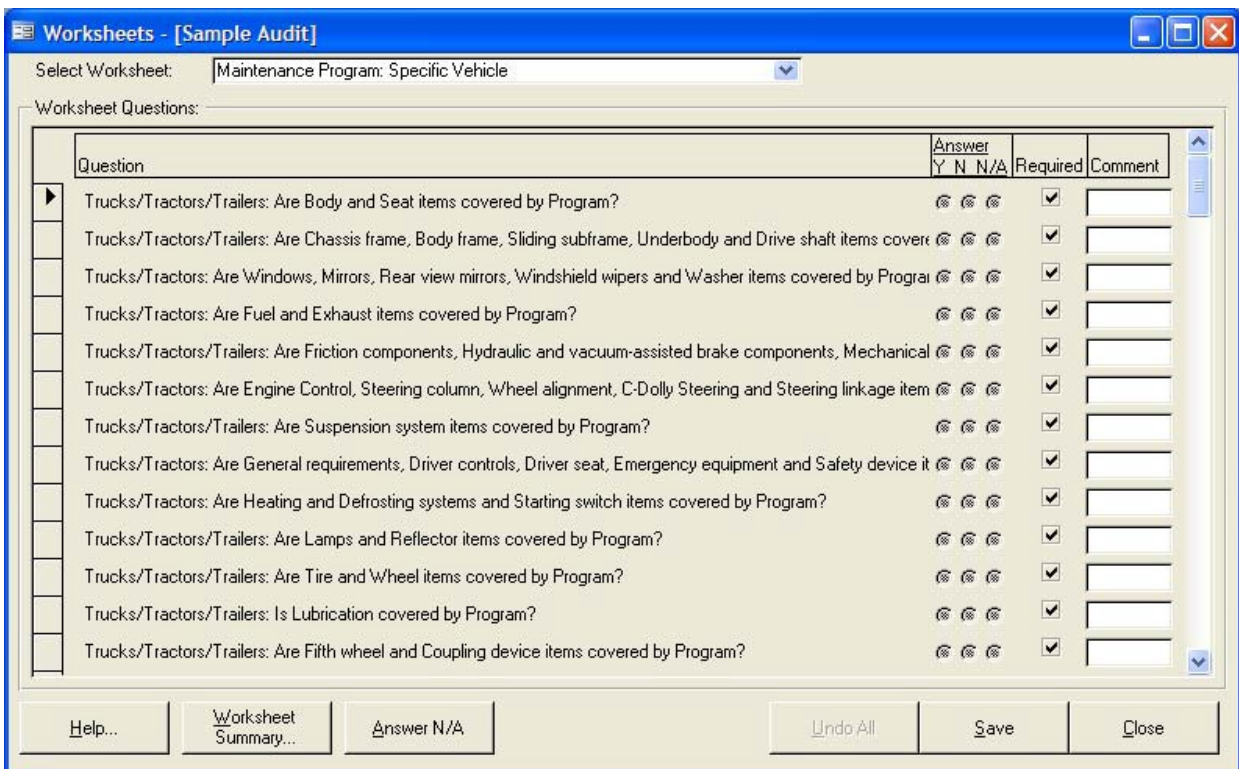


Figure 2: Maintenance Program: Specific Vehicles Worksheet

Next . . .

- Apply you skills in the *Quiz* section.

5.10.1 Quiz: Vehicle Maintenance Programs

This assignment will familiarize you with analyzing a carrier's maintenance policies. You will make a determination, based on the content within the policies, whether or not the policies meet the minimum legislative standards. You will then record your findings within the ARC program. Using the information just presented in *Section 5.10 – Vehicle Maintenance Program*, start the ARC program and login. Remember, you can also use the ARC program's built-in reference manual to assist you as well.

To successfully finish this quiz, you will need to:

- Start the program;
- Login to ARC;
- Select the Facility Audit tab;
- Select the audit for the carrier ABC Trucking Ltd;
- Select the Carrier Details tab;
- Select the Worksheets tab;
- Select Maintenance Programs from the drop-down menu;
- Enter the appropriate data from the information provided below;
- Add comments to assist the carrier in complying with legislation;
- Save your work.

Now, complete your assignment using the information below.

1. Answer the questions to this worksheet by analyzing the information obtained from the vehicle file records and the carrier's maintenance program.

IMPORTANT

BEFORE proceeding please review the contents of section 38 in the Help ARC Reference Manual.

5.10.2 Quiz: Answer Key

Check your answers from *5.10.1 Quiz: Vehicle Maintenance Programs* by comparing your audit screens with the ones provided below.

The screenshot shows a software window titled "Worksheets - [Sample Audit]". At the top, there is a dropdown menu for "Select Worksheet:" set to "Maintenance Program: All Vehicles". Below this is a section for "Worksheet Questions:" containing a table with the following columns: "Question", "Answer" (with sub-columns for Y, N, N/A), "Required", and "Comment".

Question	Answer			Required	Comment
	Y	N	N/A		
All Vehicles: Does the written Maintenance and Inspection Program pertain to all types of commercial vehicles in fle	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Not clearly
All Vehicles: Does the carrier maintain a copy of the written Maintenance and Inspection Program at their principal	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
All Vehicles: Does the carrier maintain a copy of their written Maintenance and Inspection Program in each location	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
All Vehicles: Do employees have access to the carrier's written Maintenance and Inspection Program, as required?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
All Vehicles: Does the written Maintenance and Inspection Program call for a regular and continuous program of ins	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
All Vehicles: Does the written Maintenance and Inspection Program cover the requirement to conduct Commercial'	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	Missing.
All Vehicles: Does the written Maintenance and Inspection Program ensure that each commercial vehicle contain a	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
All Vehicles: Does the written Maintenance and Inspection Program require that drivers or persons authorized to co	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
All Vehicles: Does the written Maintenance and Inspection Program require that drivers or persons authorized comp	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
All Vehicles: Are Trip Inspection Forms in a legible written format or in an electronic format acceptable to the Regist	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
All Vehicles: Does the written Maintenance and Inspection Program identify what items need to be recorded on a T	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
All Vehicles: Does the written Maintenance and Inspection Program address distribution and retention of Trip Inspe	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
All Vehicles: Does the written Maintenance and Inspection Program address that a person completing a Trip Inspe	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	

At the bottom of the window, there are several buttons: "Help...", "Worksheet Summary...", "Answer N/A", "Undo All", "Save", and "Close".

Worksheet Summary - [Sample Audit, Maintenance Program: All Vehicles]

Summary Comments

Comments:

Detail Comments

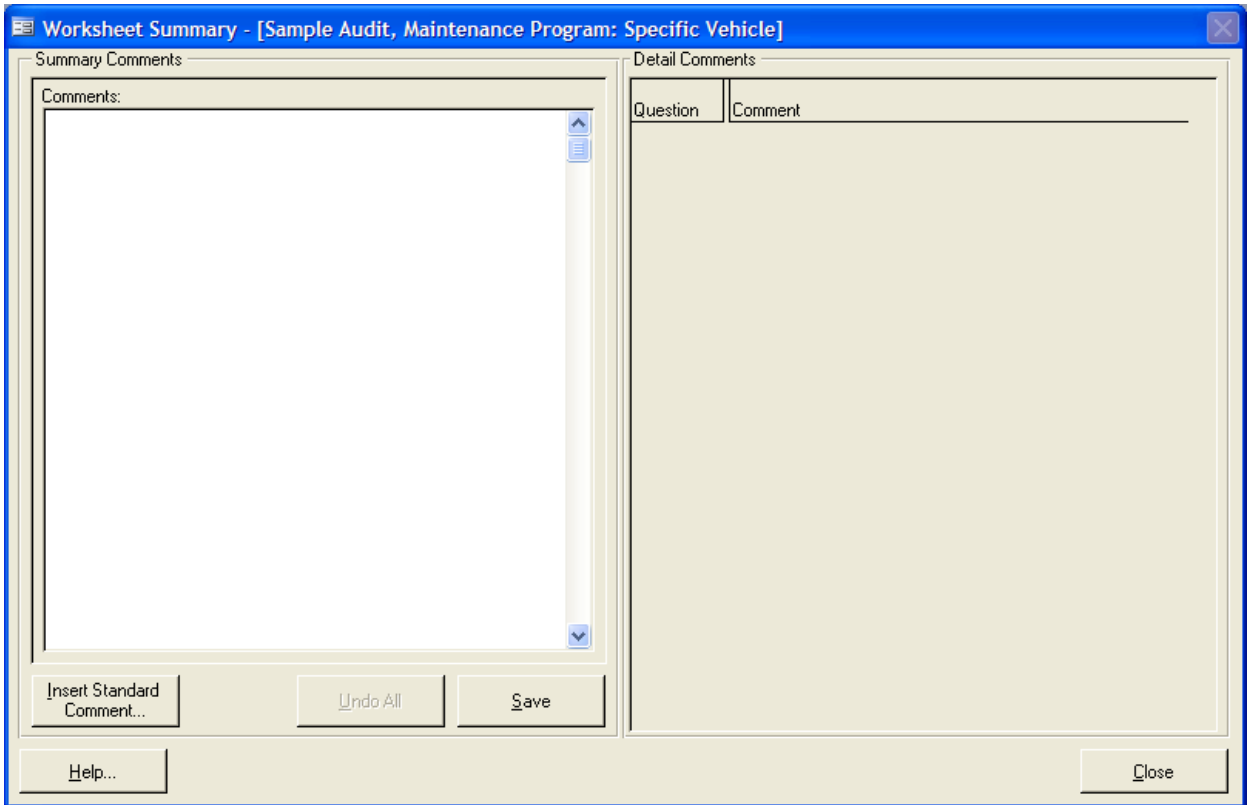
Question	Comment
All Vehicles:	Not clearly indicated
All Vehicles:	Missing.

Worksheets - [Sample Audit]

Select Worksheet:

Worksheet Questions:

Question	Answer			Required	Comment
	Y	N	N/A		
<input type="checkbox"/> Trucks/Tractors/Trailers: Are Body and Seat items covered by Program?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/> Trucks/Tractors/Trailers: Are Chassis frame, Body frame, Sliding subframe, Underbody and Drive shaft items covered by Program?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/> Trucks/Tractors: Are Windows, Mirrors, Rear view mirrors, Windshield wipers and Washer items covered by Program?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/> Trucks/Tractors: Are Fuel and Exhaust items covered by Program?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/> Trucks/Tractors/Trailers: Are Friction components, Hydraulic and vacuum-assisted brake components, Mechanical components and Drive shaft items covered by Program?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/> Trucks/Tractors: Are Engine Control, Steering column, Wheel alignment, C-Dolly Steering and Steering linkage items covered by Program?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/> Trucks/Tractors/Trailers: Are Suspension system items covered by Program?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/> Trucks/Tractors: Are General requirements, Driver controls, Driver seat, Emergency equipment and Safety device items covered by Program?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input checked="" type="checkbox"/> Trucks/Tractors: Are Heating and Defrosting systems and Starting switch items covered by Program?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/> Trucks/Tractors/Trailers: Are Lamps and Reflector items covered by Program?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/> Trucks/Tractors/Trailers: Are Tire and Wheel items covered by Program?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/> Trucks/Tractors/Trailers: Is Lubrication covered by Program?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	
<input type="checkbox"/> Trucks/Tractors/Trailers: Are Fifth wheel and Coupling device items covered by Program?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="checkbox"/>	



Next . . .

Learn about the remainder of the *Audit Process*.



MODULE 6

Completing the Audit Process

6.1 Carrier Details: SFC (Operating Status) Insurance, Permits, etc.

Now let's look at the information you can enter using the rest of the available buttons in the Carrier Details Screen including:

- SFC Details;
- Operating Status
- Insurance;
- Permit;
- Contact;
- Image Docs button (which is not used at this time).

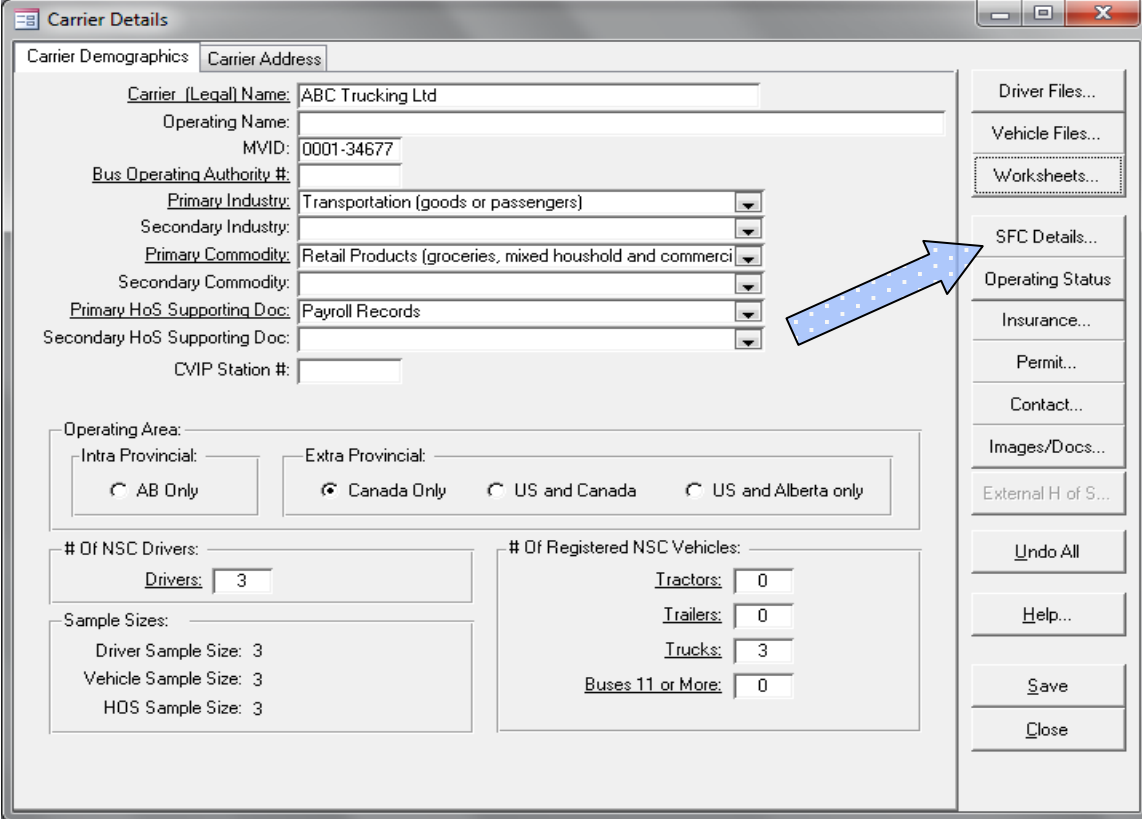
Note: *The data in these areas does NOT affect the audit's score.*

ARC Safety Fitness Certificate Details

The NSC number (or National Safety Code number) can be found on the Carrier's Safety Fitness Certificate (SFC). Any driver of a bus or truck as defined below must comply with NSC standards. A bus is defined as a motor vehicle that is designed for carrying 11 or more persons, including the person driving the vehicle, and used or intended to be used for the transportation of persons. A truck is defined for Provincial NSC operators as a commercial vehicle or combination of vehicles registered for a combined weight of 11,794 kilograms or more. Provincial carriers operate only in Alberta. Alberta carriers that operate into other jurisdictions are designated as Federal and must comply with Federal legislation. Under Federal legislation, trucks or truck/trailer combinations registered for a combined weight of more than 4,500 kilograms must comply with NSC standards as implemented in Alberta. This includes farm plated vehicles that travel outside Alberta.

What to do?

1. Select the “[Select the SFC Details](#)” button located on the right hand side of the Carrier Details screen (Figure 1).



The screenshot shows the 'Carrier Details' window with two tabs: 'Carrier Demographics' and 'Carrier Address'. The 'Carrier Demographics' tab is active, displaying the following information:

- Carrier (Legal Name): ABC Trucking Ltd
- Operating Name: [Empty]
- MVID: 0001-34677
- Bus Operating Authority #: [Empty]
- Primary Industry: Transportation (goods or passengers)
- Secondary Industry: [Empty]
- Primary Commodity: Retail Products (groceries, mixed household and commerci
- Secondary Commodity: [Empty]
- Primary HoS Supporting Doc: Payroll Records
- Secondary HoS Supporting Doc: [Empty]
- CVIP Station #: [Empty]

Operating Area:

- Intra Provincial: AB Only
- Extra Provincial: Canada Only US and Canada US and Alberta only

Of NSC Drivers: Drivers: 3

Sample Sizes:

- Driver Sample Size: 3
- Vehicle Sample Size: 3
- HOS Sample Size: 3

Of Registered NSC Vehicles:

- Tractors: 0
- Trailers: 0
- Trucks: 3
- Buses 11 or More: 0

On the right side, there is a vertical sidebar with the following buttons: Driver Files..., Vehicle Files..., Worksheets..., SFC Details... (highlighted with a blue arrow), Operating Status, Insurance..., Permit..., Contact..., Images/Docs..., External H of S..., Undo All, Help..., Save, and Close.

Figure 1: Carrier Details Screen

You should see the *SFC Details* screen (Figure 2 below). It is used to enter or update carrier *Safety Fitness Certificate* information for all jurisdictions in which the carrier has NSC vehicles registered. National Safety Code vehicles may be registered for as low as 4,500 kilograms in some jurisdictions.

2. Select the appropriate jurisdiction from the [Jurisdiction](#) drop-down menu.
3. Enter the [NSC #](#) from the Safety Fitness Certificate.
4. Enter the Effective Date.

5. Select the proper Safety Rating from the Safety Fitness Certificate.

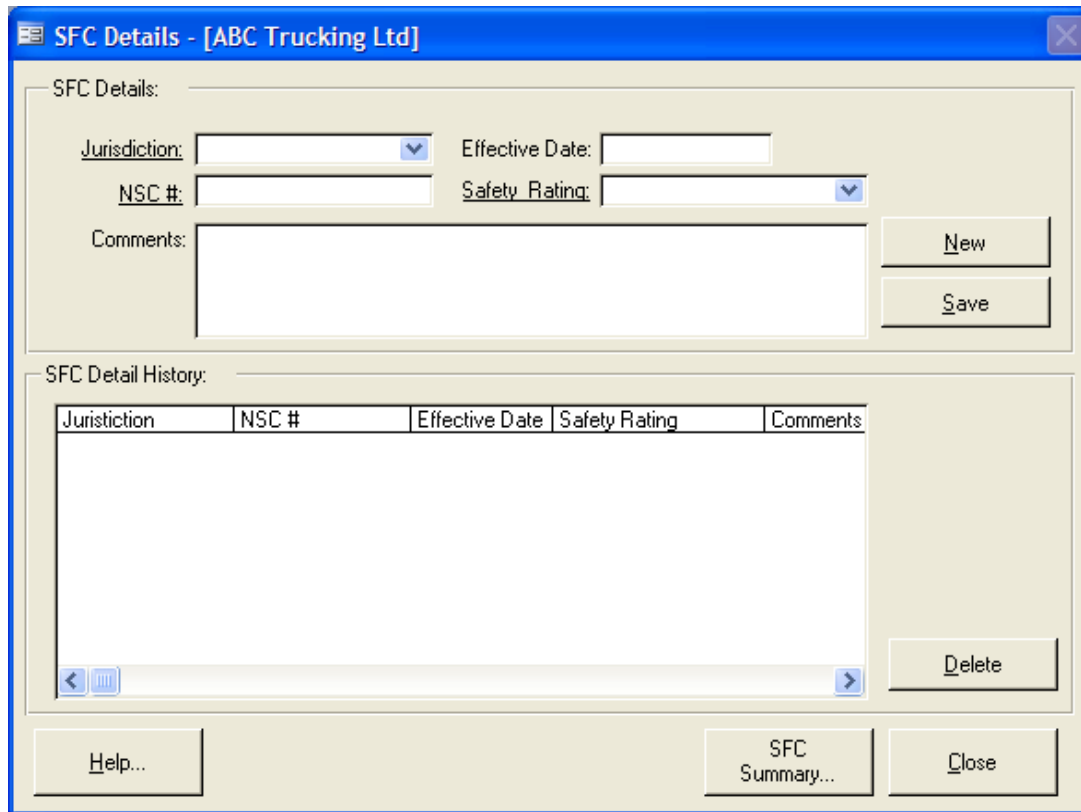


Figure 2: SFC Details Screen

Usually, all Carriers audited will have an Alberta NSC number. Some carriers may also have an SFC number from other jurisdictions or a DOT number if they travel into the United States. If the Safety Rating in another jurisdiction does not coincide with those in the drop-down list, enter the rating in the Comments section.

6. Select [Save](#) and then [Close](#) to return to the previous *Carrier Details* screen (Figure 1).

ARC Operating Status Details

A carrier must clearly indicate where they intend to operate. Carriers that operate outside of Alberta will be issued a “Federal” Operating Status. Carriers that operate solely in Alberta will be issued a “Provincial” Operating Status.

What to do?

1. Select the “[Operating Status](#)” button located on the right hand side of Carrier Details screen (Figure 1). You should see the Operating Status Details screen (Figure 2a). It is used to enter or update carrier operating status information.
2. Select the appropriate operating status from the [Operating Status](#) drop down menu.
3. Enter the “[Effective Date](#)”.
4. Check the Operating Status Valid check box once the operating status has been verified.

Note:

If the Operating Status is not valid, the audit should be completed according to what the carrier’s Operating Status should be. (For example: if the carrier’s Operating Status shown on their Safety Fitness Certificate is Provincial, but you identify that the carrier operates outside of Alberta, vehicles registered for more than 4,500 kilograms should be included in the audit, along with using the Federal Hours of Service regulations). The auditor needs to clearly document in a comment why they used a different Operating Status and include a copy of at least one document verifying it (except if on the profile).

5. Select [Save](#) and then [Close](#) to return to the previous Carrier Details screen (Figure 1)

Operating Status: [dropdown] Operating Status Valid?:

Effective Date: [date input]

Comments: [text area] New Save

Operating Status History

Operating Status	Operating Status Valid	Effective Date	Comm
------------------	------------------------	----------------	------

< [table icon] > Delete

Help... Close

Figure 2a: Operating Status Details Screen

ARC Insurance Policy Details

Insurance is required under the *Traffic Safety Act* in order to protect the carrier, customer and members of the public from loss due to hazards. Cargo insurance requirements are:

- (a) For each commercial vehicle transporting farm produce other than dairy products, at least \$600;
- (b) For each commercial vehicle transporting unprocessed milk or cream, an amount equal to the actual cash value of the goods;
- (c) For each commercial vehicle having a registered gross weight of 12,700 kilograms or less, at least \$15,000;
- (d) For each commercial vehicle having a registered gross weight more than 12,700 but less than 18,000 kilograms, at least \$20,000;
- (e) For each commercial vehicle having a registered gross weight of 18,000 or more but not more than 21,000 kilograms, at least \$20,000;
- (f) For each commercial vehicle having a maximum registered gross weight of more than 21,000 but not more than 37,000 kilograms, at least \$27,000;
- (g) For each commercial vehicle having a registered gross weight greater than 37,000 kilograms, at least \$32,000;
- (h) In the case of a single wide mobile home, provides coverage against loss or damage in the amount of \$10,000, or the cash value of the mobile home and its contents, if any, whichever is the greater amount, and provides for collision coverage on the mobile home;
- (i) In the case of a double wide mobile home, provides coverage against loss or damage in the amount of the cash value of the two halves and their contents, if any, provides that if one of the halves is damaged to the extent that it is not practicable to repair it the other half will be deemed to have been also destroyed, and provides for collision coverage on the mobile home.

Note:

When hauling your own goods, you are exempt from cargo insurance requirements.

Public liability insurance requirements are:

- (a) \$2,000,000 for dangerous goods outlined in Transportation of Dangerous Goods regulation SOR2001-286 Schedule 1, Column 7 (i.e. those goods that require an Emergency Response Plan), and \$1,000,000 in all other cases.

Commercial vehicles transporting passenger requirements are:

- (a) Where the manufactured seating capacity of the bus is 11 passengers or fewer, including the driver:
 - (i) \$400,000 for bodily injury or death of any one person as a result of a single accident, and
 - (ii) \$1,000,000 for bodily injury or death of two or more persons as a result of a single accident;
- (b) Where the manufactured seating capacity of the bus is more than 11 passengers, including the driver,
 - (i) \$400,000 for bodily injury or death of any one person as a result of a single accident, and \$2,000,000 for bodily injury or death of two or more persons as a result of a single accident.

Note:

See Section 627 of the Insurance Act, which states the carrier must have at least \$200,000 coverage; however, the insurance industry can require a higher coverage limit. The industry standard for busses of 10 passengers or less is \$1,000,000 for travel throughout Canada and \$5,000,000 (US) for travel into the United States. The industry standard for busses of greater than 10 passengers is at least \$2,000,000 for travel throughout Canada and \$5,000,000 (US) for travel into the United States.

What to do?

1. Select the “[Insurance](#)” button located on the right hand side of the Carrier Details screen (Figure 1). You should see the Insurance Policy Details screen (Figure 3 below).
2. Select the [Policy Type](#) from the drop-down list. There are three types listed:
 - Public Liability and Property Damage;
 - Cargo;
 - Passenger Hazard.
3. Remember that underlined labels indicate required fields that must have data entered.

The screenshot shows a software window titled "Insurance Policy Details - [ABC Trucking Ltd]". The window contains a form with the following elements:

- Select Policy:** A dropdown menu.
- Policy Details:** A dropdown menu.
- Policy Type:** A dropdown menu, highlighted with a blue arrow.
- Policy Number:** A text input field.
- Insurance Company:** A text input field.
- Broker Name:** A text input field.
- Effective Date:** A date input field.
- Expiry Date:** A date input field.
- Policy Limit:** A text input field.
- Insurance Exempted?:** A checkbox.
- Comments:** A large text area.

On the right side of the form, there are several buttons: "New", "Delete", "Copy ...", "Undo All", "Cancel", and "Save". At the bottom of the window, there are three buttons: "Help...", "Insurance Summary...", and "Close".

Figure 3: Insurance Policy Details Screen

4. If the commodity that you transport is exempt from cargo insurance requirements, select the [Insurance Exempt](#) box. No other information is then needed, even for the underlined labels.
5. After you have entered information for one of the insurance types, select the [Save](#) button. Then select the [New](#) button to enter information on another type of insurance.
6. To enter information on additional policies, choose the [Copy](#) button; then choose the previously entered policy, selected from the Select Policy drop-down list. All of the information, with the exception of Policy Type and Policy Limit, will be copied.
7. After all of the insurance types have been entered, you can review or edit the specific information. Select the Select Policy button; then choose the insurance type you want to edit from the drop-down list.
8. When completed, Select [Save](#) and then [Close](#) to return to the previous Carrier Details screen (Figure 1).

ARC Permit Details

The Permit Details window should be used to record only safety permit information, (e.g., Divided Record Authority). Be sure to ask the carrier if it is aware of any permits that it holds from Alberta Transportation.

What to do?

1. Select the [Permit](#) button located on the right hand side of the Carrier Details screen (Figure 1). You should see the Permit Details screen (Figure 4 below).
2. Select the permit type from the drop-down list by clicking on the [Safety Permit Type](#) label.

3. Permit comments (e.g., permit violations) may be entered in the Comments field, for each specific permit entered.
4. After you have entered information for one of the permit types, select the [Save](#) button. Then, select the [New](#) button to enter information on another type of permit.
5. This permit information does NOT affect the audit's score.
6. Select [Save](#) and then [Close](#) to return to the previous Carrier Details screen (Figure 1).

The screenshot shows a software window titled "Permit Details - [ABC Trucking Ltd]". At the top, there is a "Select Permit:" dropdown menu. Below it is the "Permit Details:" section, which includes a "Safety Permit Type:" dropdown menu (highlighted by a blue arrow), a "Permit #:" text input field, an "Effective Date:" text input field, and an "Expiry Date:" text input field. A large "Comments:" text area is located below these fields. To the right of the input fields are buttons for "New", "Delete", "Undo All", "Cancel", and "Save". At the bottom of the window are buttons for "Help...", "Permit Summary...", and "Close".

Figure 4: Permit Details Window Screen

ARC Carrier Contact Details

The Carrier Contact Details screen is used to enter personal contact information for the carrier.

What to do?

1. Select the “[Contact](#)” button located on the right hand side of the Carrier Details screen (Figure 1). You should see the Carrier Contact Details screen (Figure 5 below).
2. You can select a previously entered contact from the [Select Contact](#) label, or you can create a new contact by clicking on the [New](#) button.
3. Select the Contact’s Audit Role from the drop-down list.
4. If the Audit Role is “Safety Officer”, then an MVID for that individual must be entered. **Note:** *The contact information does NOT affect the audit’s score.*
5. Select [Save](#) and then [Close](#) to return to the previous (Carrier Details) screen.

Carrier Contact Details - ABC Trucking Ltd

Select Contact:

Contact Details:

Last Name:

First Name:

Title:

Audit Role:

MVID:

Phone #: Ext.:

Fax #:

Comments:

New

Delete

Undo All

Cancel

Save

Help...

Contact Summary...

Close

Figure 5: Carrier Contact Details Screen

6. Select [Close](#) to return to the Facility Audit List screen (Figure 6) as shown below.

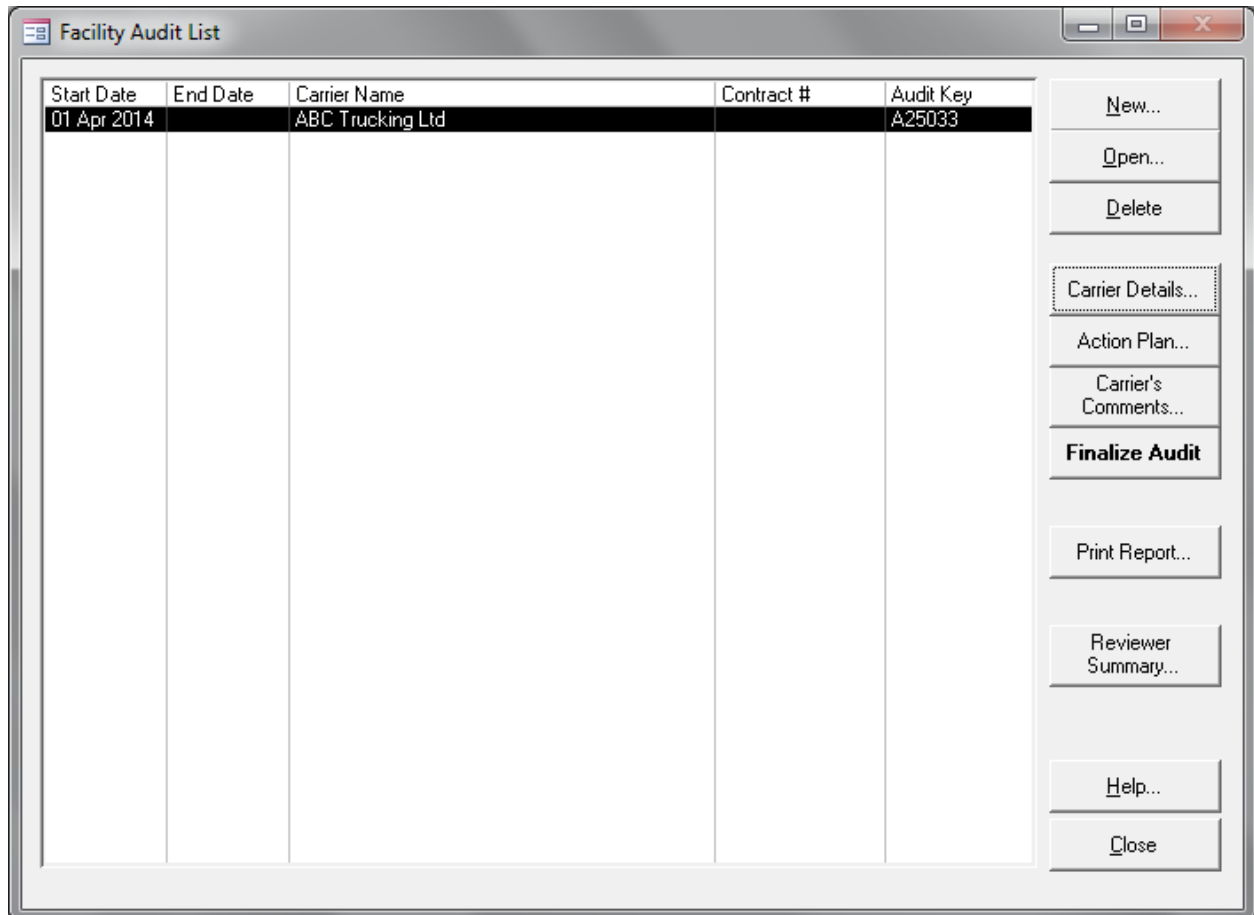


Figure 6: Facility Audit List Screen

7. Ensure that your audit is highlighted in the List; then select the [“Action Plan”](#) button.

ARC Action Plan

The Action Plan area of the audit allows you to record specific actions and follow-up dates which must be met by the carrier. The [“Action Plan”](#) window is used to enter final summary comments (for each particular subject area) for the audit and to view summary Comments from all of the completed worksheets. The Action Plan section of

ARC is used to inform the carrier of its deficiencies and to provide it with definite direction to encourage and ensure compliance. As with the other summary windows, you can insert Standard Comments or add your own.

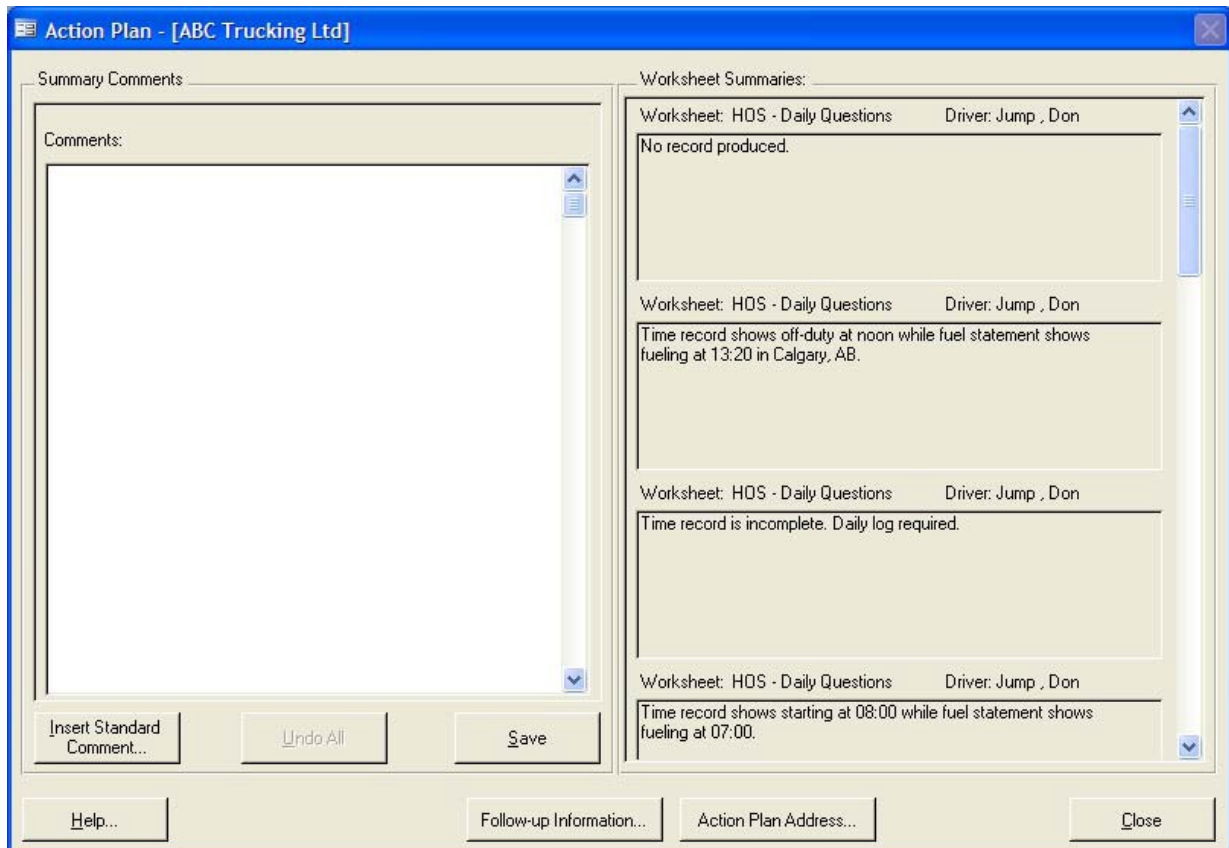


Figure 7: Action Plan Window

The right side of the window shows all the Summary Comments from the various subject windows.

What to do?

1. Select the “Action” button located on the right hand side of the Facility Audit List screen (Figure 6). You should see the Action Plan screen (Figure 7).

2. If all of the comment text cannot be seen on the Worksheet Summaries side, double click on the specific Worksheet to activate the scroll bar. After activating the scroll bar, you will be able to view all of the comments entered on a particular subject.
3. Follow-up requirements and dates can be entered by selecting the “[Follow-up Information](#)” button.
4. The name and address to where the Carrier can send follow-up information can be accessed by selecting the “[Action Plan Address](#)” button (Figure 8). **Note:** *This Action Plan information does NOT affect the final audit score.*

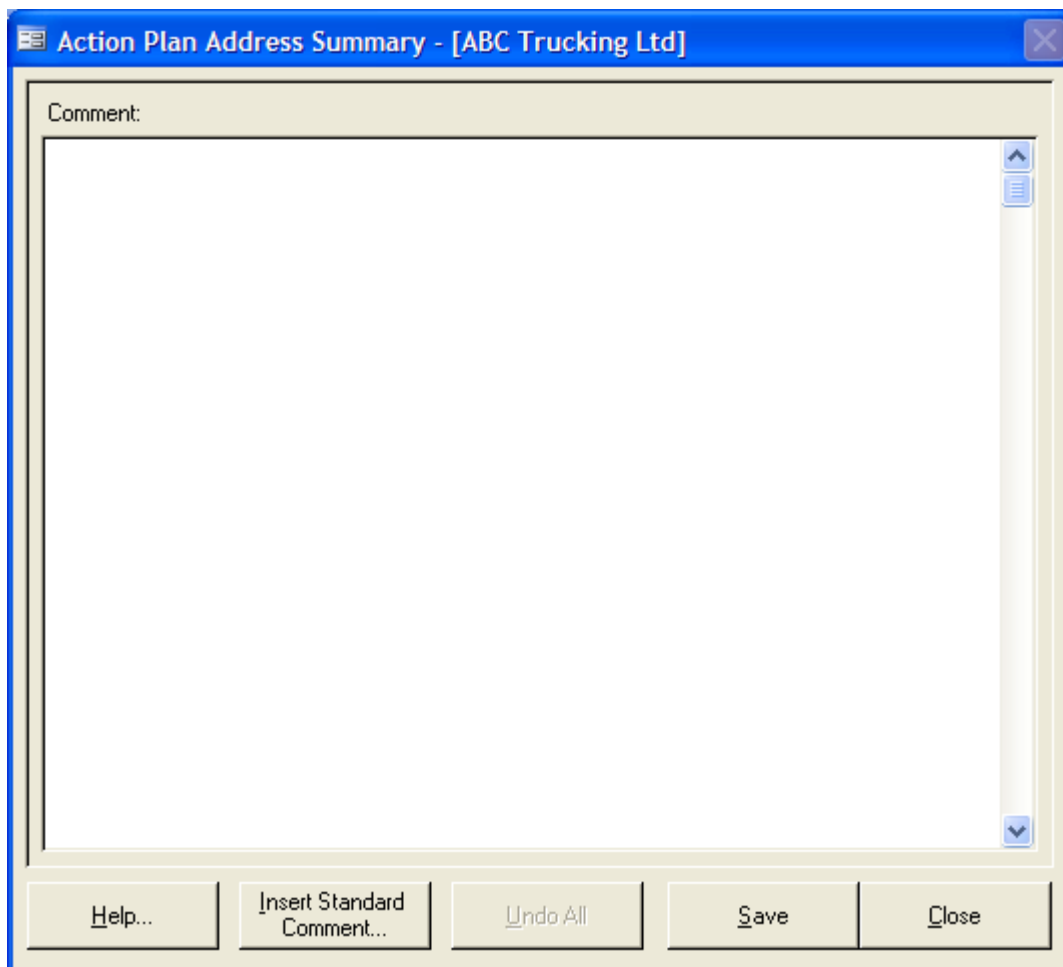


Figure 8: Action Plan Address Summary Screen

5. Select [Save](#) and then [Close](#) to return to the previous “Action Plan” window (Figure 7).

ARC Follow Up Address

The *Follow-up Address* window is used to enter the name and address of the person to whom all required follow-up information must be sent. This window is used to enter final comments for each of the main subject areas listed and to enter follow-up date information. It also allows the Auditor to provide “Internal Summary Comments” to Alberta Transportation. You can insert information several ways:

- From a pre-existing name and address (by selecting the “[Insert Standard Comment](#)” button);
- By creating a new name and address as an “[Add User Comment](#)” or;
- Just by entering text.

What to do?

1. Select the “[Follow-up Information](#)” button located on the bottom of the “Action Plan” screen (Figure 7). You should see the “Follow-Up Information” screen (Figure 9).
2. If follow-up information is required, select the “Follow-up Required” box and enter the date by which the information is required. If no follow-up is required, leave it blank. **Note:** *This information does NOT affect the final audit score.*
3. Select [Save](#) and then [Close](#) to return to the previous Action Plan screen (Figure 7).
4. Go back to the “Facility Audit List” screen (Figure 6) by closing the “Action Plan Screen” (Figure 8) and select the “[Carrier’s Comments](#)” button. This option

primarily applies when the audit is being conducted by a contractor or by Alberta Transportation auditors.

Figure 9: Follow-Up Information Window

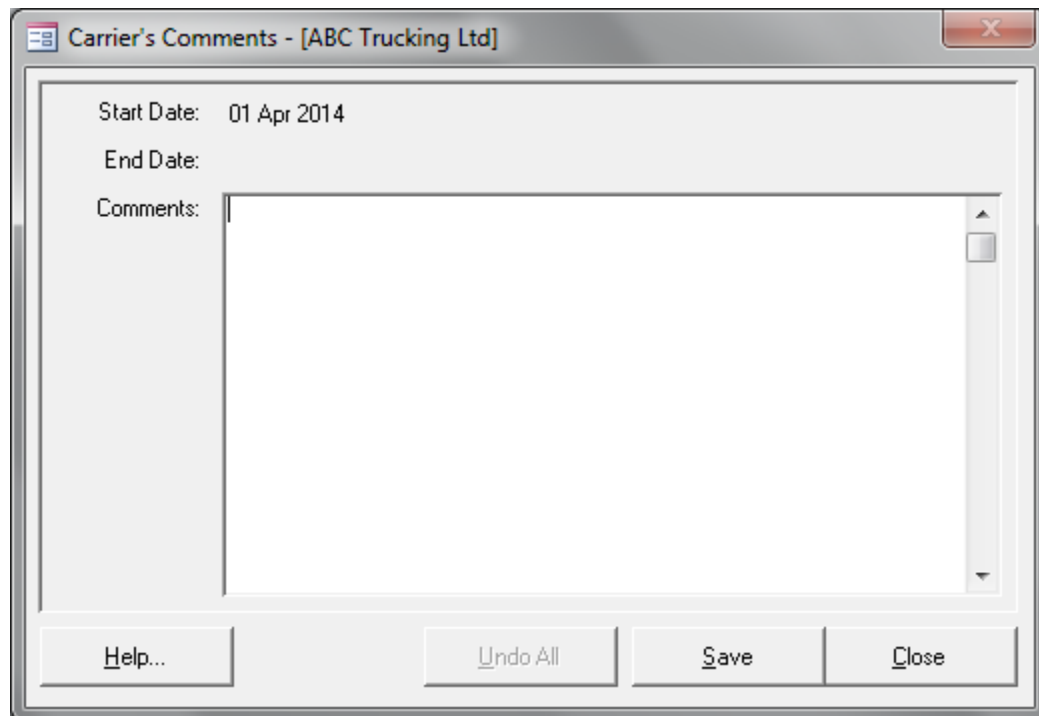
5. Go back to the “Facility Audit List” screen (Figure 6) by closing the “Action Plan Screen” (Figure 8) and select the “Carrier’s Comments” button. This option primarily applies when the audit is being conducted by a contractor or by Alberta Transportation’s auditors.

ARC Carrier’s Comments

The “Carrier’s Comments” window allows the carrier to enter its own comments (*if it wants to*) regarding the audit, the auditor, or the audit process. The carrier may also submit separate or additional comments later, if desired. If the Auditor enters the text, the carrier should read the comments to ensure their accuracy.

What to do?

1. Select the “Carrier’s Comments” button located on the right hand side of the *Facility Audit List* screen (Figure 6). You should see the “Carrier’s Comments” screen (Figure 10 next page).
2. Once the data has been entered, Save and Close all screens and go back to the *Facility Audit List* screen (Figure 6).



The screenshot shows a software window titled "Carrier's Comments - [ABC Trucking Ltd]". Inside the window, there are three main input areas: "Start Date" with the value "01 Apr 2014", "End Date" which is currently empty, and a large "Comments" text area with a vertical scrollbar. At the bottom of the window, there are four buttons: "Help...", "Undo All", "Save", and "Close".

Figure 10: Carrier’s Comments Screen

ARC Finalize Audit

1. When you believe the audit has been completed, select the “Finalize Audit” button (on Figure 6: “Facility Audit List Screen”) to test if all the required data has been entered and, if so, to calculate the final audit score.
2. An audit is identified as being “finalized” if it has an **End Date** entered on the audit list.

3. If an error message is shown (when you intend on completing a full audit), then:
 - (a) Stop;
 - (b) Correct the problem; and
 - (c) Select the [“Finalize Audit”](#) button again.

ARC Reviewer Summary

The [“Reviewer Summary”](#) button of the audit would primarily be used when the audit has been completed by Alberta Transportation auditors or contractors. It allows for a record of an independent review of the Audit after it has been submitted to Alberta Transportation.

ARC Printing an Audit Report

There are 3 reports that can be previewed and printed from the [“Audit Report Selection”](#) window: the Main Audit Report, the Summary Audit Report, and the Internal Audit Report.

What to do?

1. To print an audit report from the “Facility Audit List” window (Figure 6), select the [“Print Report”](#) button. You should see the “Audit Report Selection” screen (Figure 11 next page).
2. The main Audit Report is shown in the top portion of the screen. Portions of this report can be de-selected if desired before selecting the [“Print Report”](#) button. *(refer to ARC Reference Manual).*
3. The next portion of the screen allows you to print a Summary Audit Report. This report displays the audit score and the questions in violation in a more concise manner.

4. Following the Summary Audit Report is the Internal Audit Report. This is identical to the Summary Report with the exception that it includes the auditor's comments that were placed in the Internal Summary Comments section (see Figure 9). Both reports can be previewed before they are printed.

5. The last portion involves printing the "Carrier Agreement". It is the carrier's acknowledgement of the audit results and of the carrier's commitment to correct the deficient areas contained within the audit. It is critical that this agreement is signed and accompany your audit report.

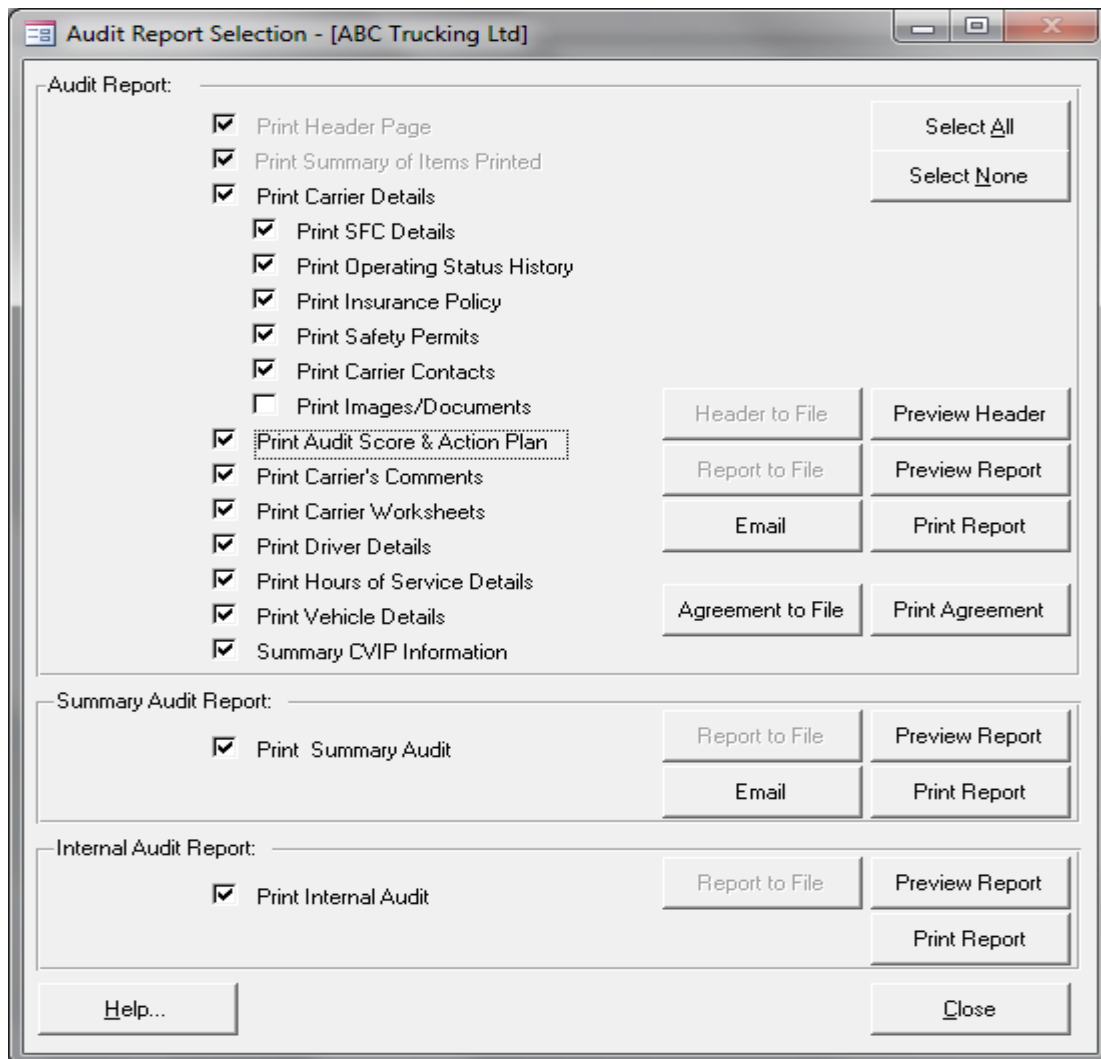


Figure 11: Audit Report Selection

Reviewing the Audit Report

Once the Audit Report is saved and printed, it can appear lengthy, but it is arranged to best assist you with locating and interpreting critical information. The most important part of the Audit Report is the first page (Figure 12), which shows the company's scores.

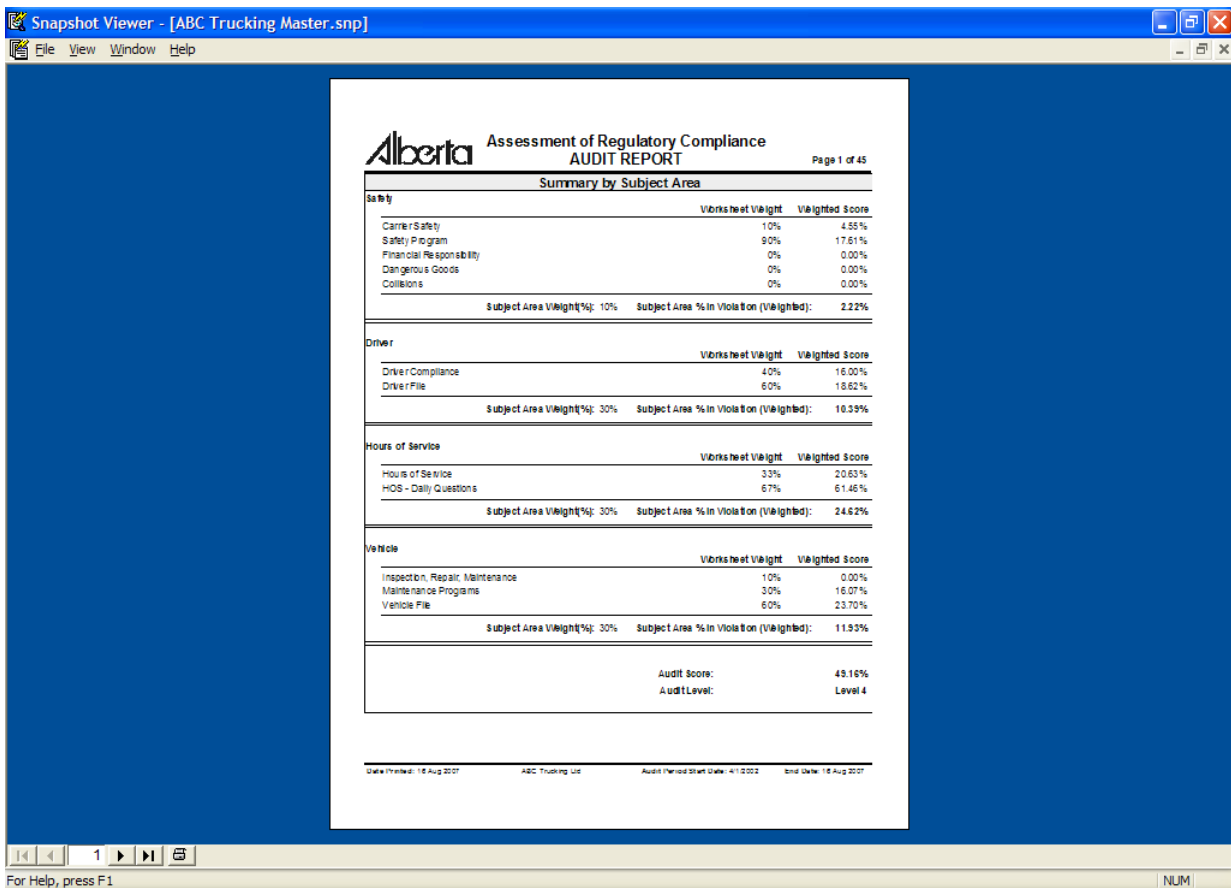


Figure 12: Audit Report

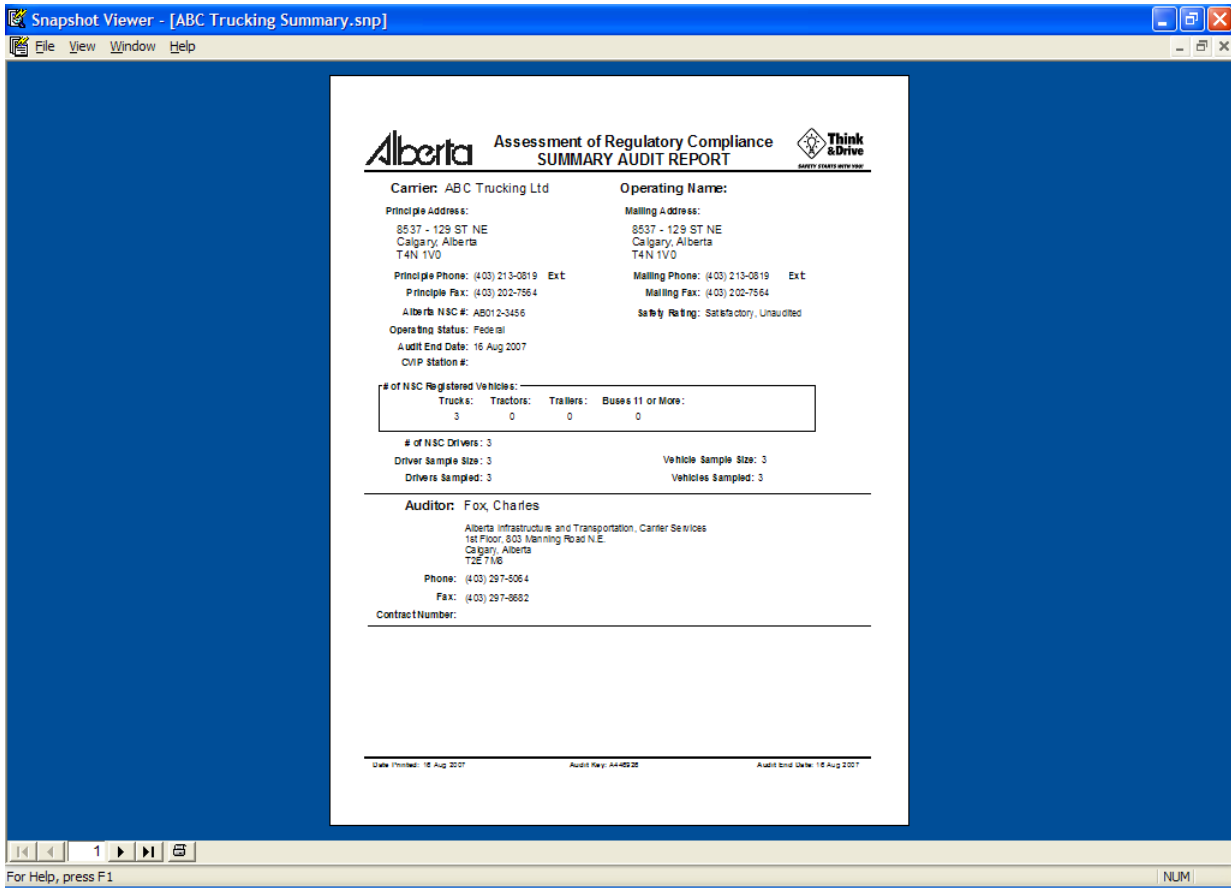


Figure 13: Audit Report Summary

The Summary Audit Report contains the Summary by Subject Area scores, Action Plan, Carrier Comments and Violation Summary of all violations in each Subject Area. Page 1 of the Audit report displays the scores the carrier accumulated for regulatory violations within:

- Each Worksheet subject
- Each of the 4 Safety areas:
 - Carrier Safety (weighted as 10% of the final audit score)
 - Driver Safety (weighted as 30% of the final audit score)
 - Hours of Service (weighted as 30% of the final audit score)
 - Vehicle Safety (weight as 30% of the final audit score)
- The Total Audit

Scores are calculated so the SMALLER the audit score, the BETTER the COMPLIANCE. This concept is the same as that used in Alberta Transportation's carrier monitoring and intervention program.

There is a final Audit Level 'score' identified at the bottom of the third page of the Audit Report. The possible Audit Level 'scores' are:

- Pass:** (0 – 14.99%)
- Level 1:** (15 – 24.99%)
- Level 2:** (25 – 34.99%)
- Level 3:** (35 – 44.99%)
- Level 4:** (45% or greater)

When you read the rest of the Audit Report, you will find:

- All questions answered "No" are those where the carrier was not in compliance. Read these carefully.
- Only regulated questions that are in violation have been counted in the audit score.
- Each "regulatory" question is printed showing the Provincial and/or Federal regulation reference that it is based on.
- The points accumulated, along with the maximum points in each area, are tallied and shown for you. Questions answered "N/A" do not count in the score.
- Those areas where the percent violation is unacceptable should be carefully reviewed to identify what improvements can be made to the carrier's safety, maintenance and administrative programs.

Next . . .

- Complete the *Quiz* for this section.

6.1.1 Quiz: Carrier Details

This assignment will familiarize you with wrapping up the audit. Using the information just presented in *Section 6.1 – Carrier Details*, start the ARC program and login. You will need to refer back to the information provided within previous quizzes to complete this assignment. Remember, you can also use the ARC program's built-in reference manual to assist you as well.

To successfully finish this quiz, you will need to:

- Start the program;
- Login to ARC;
- Select the Facility Audit tab;
- Select the audit for the carrier ABC Trucking Ltd;
- Select the Carrier Details tab;
- Select the SFC Details tab;
- Now complete the fields using the information provided in Section 6.1;
- Save your work; and
- Return to the Carrier Details tab.

Next . . .

- Select the Operating Status tab;
- Now complete the fields using the information provided in Section 6.1;
- Save your work; and
- Return to the Carrier Details tab.

Next . . .

- Select the Insurance tab;
- Now complete the fields using the information provided in Quiz 5.4.1;
- Add comments to assist the carrier in complying with legislation;
- Save your work; and
- Return to the Carrier Details tab.

Next . . .

- Select the Permit Tab;
- You will not need to complete any fields as this carrier has no active permits, but you can select the drop-down menu to view the types of permits that you could be dealing with; and
- Return to the Carrier Details tab.

Next . . .

- Select the Contact tab;
- Now complete the fields using the information provided in Quiz 6.1;
- Save your work; and
- Return to the Carrier Details tab.

Next . . .

- Close the Carrier Details screen so you can return to the Facility Audit List;
 - Select the Action Plan tab;
 - Enter any comments from a list of standard comments within the comment section, or use your own, in order to provide feedback to the carrier on areas they need to improve upon; and
- Note:** *Along the right side of the screen, you can see your comments from some of those areas of the audit where you indicated a violation.*
- Save your work.

Next . . .

- Select the Action Plan Address tab;
- Enter the name and address of the person who will be following up on the outstanding items contained within the audit (in this case use your own);
- Save your work; and
- Close and return to the Action Plan screen.

Next . . .

- Select the Follow-up Information tab;
- Enter any specific comments directed to the carrier in those areas in which you feel a follow-up date is needed in order to measure improvement;
- Check the “Follow-up Required” box if this is the case and provide a reasonable date in which the carrier can accomplish these tasks; and
- Save your work.

Next . . .

- Close and return to the Facility Audit screen; and
- If you are confident that you have answered all of the required questions within ARC, you can now select the “Finalize Audit” tab to conclude your audit.

Next . . .

- With the audit finalized, you will need to provide the carrier with a copy of it so that they can refer to it in order to make the necessary corrections in their operation;
- Select the Print Report tab;
- Place a check mark in all the boxes next to portion of the audit that you wish printed;
- Select the Preview Header tab;
- This will bring up the covering page and a summary page of the items that will be printed for the audit;
- Close the preview page by selecting the smaller “x” at the top right of the screen (this will take you back to the Audit Report Selection screen);
- Select the Header to File tab; and
- Output the file (it should display the audit information in a PDF format);

- Select a folder to save the file in and provide the file with a name (using the carrier's name would be best). This procedure will save your audit report in a format that is easily viewed and printed;
- Follow the same procedure for the actual report by selecting the Preview Report tab, then the Report to File tab, outputting it, and saving it in the same location with a similar name as the Header File;
- Again, follow this procedure for both the Summary Audit Report and the Internal Audit Report; and
- You can now close this screen and exit the ARC program.

Congratulations the audit report and your assignment are complete!



© Internet Photo Clipart

6.1.2 Quiz: Answer Key

Check your answers from 6.1 Quiz: Carrier Details by comparing your audit screens with the ones provided below.

The screenshot shows a software window titled "SFC Details - [ABC Trucking Ltd]". It contains two main sections: "SFC Details" and "SFC Detail History".

SFC Details:

- Jurisdiction: Alberta (dropdown)
- Effective Date: 01 Apr 2000
- NSC #: AB012-3456
- Safety Rating: Satisfactory, Unaudited (dropdown)
- Comments: 5033

Buttons: New, Save

SFC Detail History:

Jurisdiction	NSC #	Effective Date	Safety Rating	Comments
Alberta	AB012-3456	01 Apr 2000	Satisfactory, Unaudited	

Buttons: Delete, Help..., SFC Summary..., Close

Operating Status Details - [ABC Trucking Ltd]

Operating Status:

Operating Status: Operating Status Valid?:

Effective Date:

Comments:

Operating Status History

Operating Status	Operating Status Valid	Effective Date	Comm
Federal	Yes	01 Apr 2000	

Insurance Policy Details - [ABC Trucking Ltd]

Select Policy: Public Liability & Property Damage

Policy Details:

<u>P</u> olicy Type: Public Liability & Property Damage	<u>N</u> ew
<u>P</u> olicy Number: 9845907	<u>D</u> elete
<u>I</u> nsurance Company: Never Break Insurance Co.	<u>C</u> opy ...
<u>B</u> roker Name: Seldom Wrong Insurance Agency	
<u>E</u> ffective Date: 01 Jan 2014	
<u>E</u> xpiry Date: 01 Jan 2015	
<u>P</u> olicy Limit: \$2,000,000	
<u>I</u> nsurance Exempted?: <input type="checkbox"/>	
<u>C</u> omments:	
	<u>U</u> ndo All
	<u>C</u> ancel
	<u>S</u> ave

Help... Insurance Summary... Close

Insurance Policy Details - [ABC Trucking Ltd]

Select Policy: Cargo

Policy Details:

Policy Type:	Cargo	<u>N</u> ew
Policy Number:	9845907	<u>D</u> elete
Insurance Company:	Never Break Insurance Co.	Copy ...
Broker Name:	Seldom Wrong Insurance Agency	
Effective Date:	01 Jan 2014	
Expiry Date:	01 Jan 2015	
Policy Limit:	\$100,000	
Insurance Exempted?:	<input type="checkbox"/>	
Comments:		

Undo All

Cancel

Save

Help...

Insurance Summary...

Close

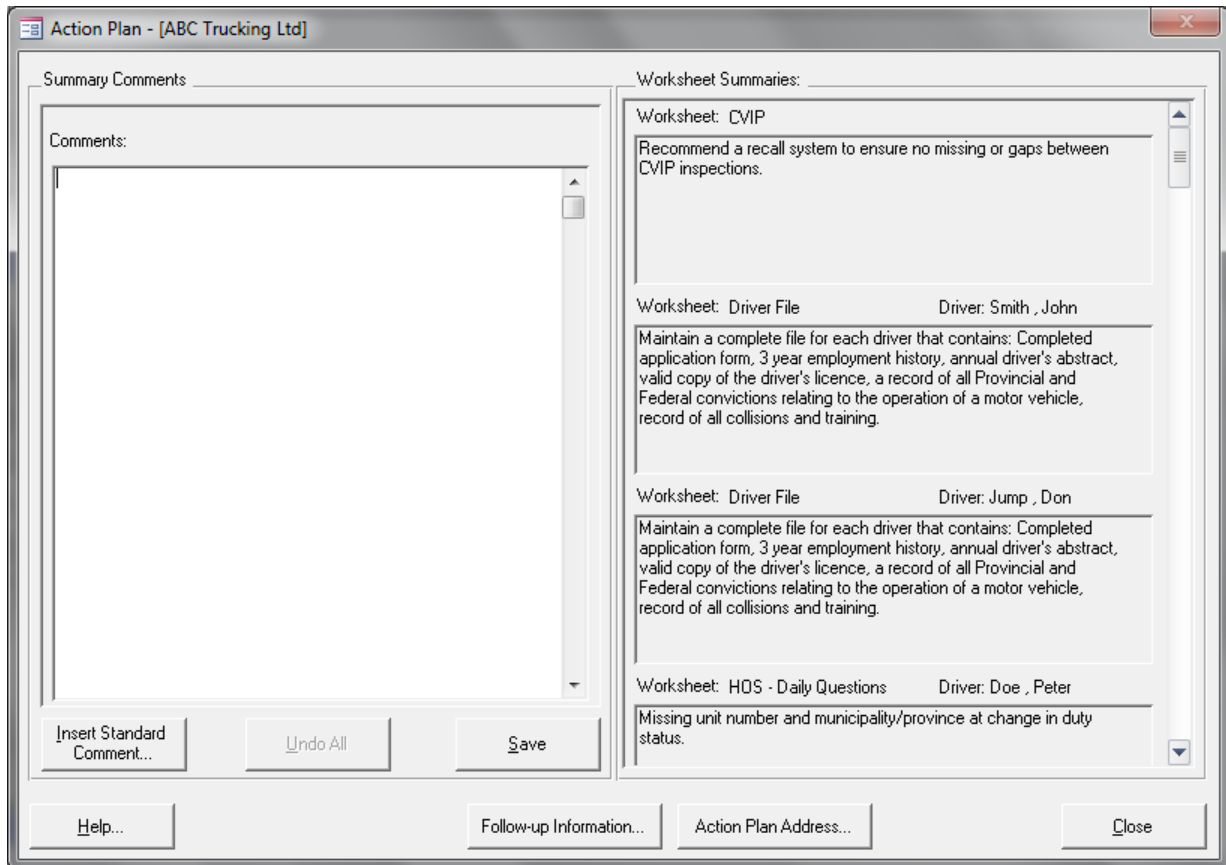
Carrier Contact Details - ABC Trucking Ltd

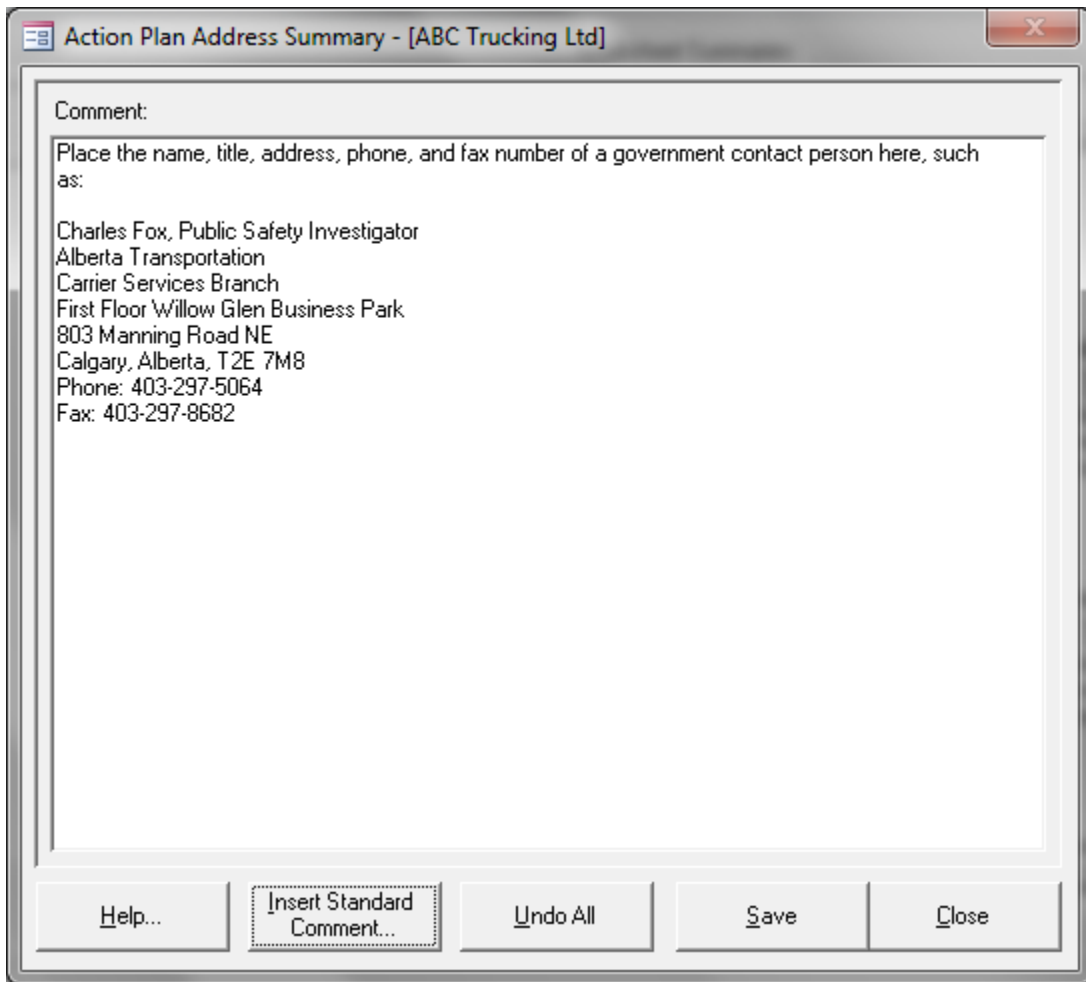
Select Contact: Catchem, Bill - Carrier Safety Officer

Contact Details:

<u>Last Name:</u> Catchem	<u>New</u>
<u>First Name:</u> Bill	<u>Delete</u>
<u>Title:</u> owner	
<u>Audit Role:</u> Carrier Safety Officer	
<u>MVID:</u> 0000-99999	
<u>Email:</u>	
<u>Phone #:</u> (403) 213-0819 <u>Ext.:</u>	
<u>Fax #:</u> (403) 202-7564	
<u>Comments:</u>	<u>Undo All</u>
	<u>Cancel</u>
	<u>Save</u>

Help... Contact Summary... Close





Follow-Up Information - [ABC Trucking Ltd]

Audit Start Date: 01 Apr 2014 Audit End Date: Contract #:

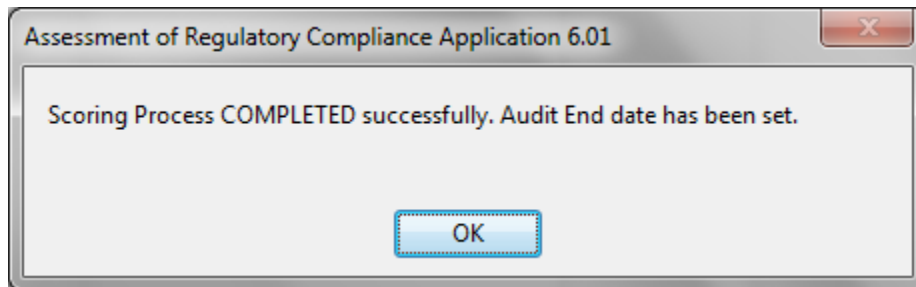
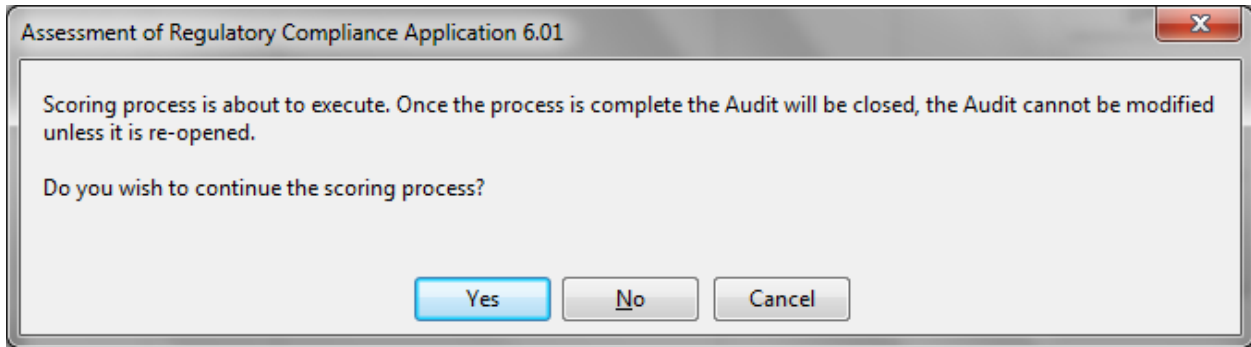
Compliance Requirement:

	Comment:	Followup Required?:	Followup Date:
Carrier Safety:	Update and implement written safety program that addresses all regulatory requir	<input checked="" type="checkbox"/>	4/30/2014
Insurance:		<input type="checkbox"/>	
Driver Records:		<input type="checkbox"/>	
Commercial Vehicle Inspection Program:		<input type="checkbox"/>	
Preventative Maintenance Program:		<input type="checkbox"/>	
Vehicle Records:		<input type="checkbox"/>	
Hours of Service:		<input type="checkbox"/>	
Dangerous Goods:		<input type="checkbox"/>	

Internal Auditor Comments (not printed on Audit Report):

Internal Summary Comments:

Help... Undo All Save Close



Audit Report Selection - [ABC Trucking Ltd]

Audit Report:

- Print Header Page
- Print Summary of Items Printed
- Print Carrier Details
 - Print SFC Details
 - Print Operating Status History
 - Print Insurance Policy
 - Print Safety Permits
 - Print Carrier Contacts
 - Print Images/Documents
- Print Audit Score & Action Plan**
- Print Carrier's Comments
- Print Carrier Worksheets
- Print Driver Details
- Print Hours of Service Details
- Print Vehicle Details
- Summary CVIP Information

<input type="button" value="Header to File"/>	<input type="button" value="Preview Header"/>
<input type="button" value="Report to File"/>	<input type="button" value="Preview Report"/>
<input type="button" value="Email"/>	<input type="button" value="Print Report"/>
<input type="button" value="Agreement to File"/>	<input type="button" value="Print Agreement"/>

Summary Audit Report:

- Print Summary Audit

<input type="button" value="Report to File"/>	<input type="button" value="Preview Report"/>
<input type="button" value="Email"/>	<input type="button" value="Print Report"/>

Internal Audit Report:

- Print Internal Audit

<input type="button" value="Report to File"/>	<input type="button" value="Preview Report"/>
	<input type="button" value="Print Report"/>

Assessment of Regulatory Compliance Application 6.01

Type a question for help

Audit Report Selection - [ABC Trucking Ltd]

Audit Report:

- Print Header Page
- Print Summary of Items Printed
- Print Carrier Details
- Print SFC Details
- Print Operating Status History
- Print Insurance Policy
- Print Safety Permits
- Print Carrier Contacts
- Print Images/Documents
- Print Audit Score & Action Plan
- Print Carrier's Comments
- Print Carrier Worksheets
- Print Driver Details
- Print Hours of Service Details
- Print Vehicle Details
- Summary CVP Information

Summary Audit Report:

- Print Summary Audit

Internal Audit Report:

- Print Internal Audit

Buttons: Select All, Select None, Header to File, Preview Header, Report to File, Preview Report, Email, Print Report, Agreement to File, Print Agreement, Report to File, Preview Report, Email, Print Report, Print Report, Help..., Close

rptFA_Master_Header

Alberta Government
**Assessment of Regulatory Compliance
 AUDIT REPORT** Page 1 of 6

Carrier: ABC Trucking Ltd Operating Name:

8537-129th Street NE
 Calgary, Alberta
 T2N 1V2

Alberta NIC #: ABC0-1468
 Operating Status: Permitted
 Audit End Date: 19 Feb 2015

Auditor: Guest User

Phone:
 Fax:
 Email:
 Contract Number:

REPORT APT NOTICE
 The information obtained during this audit:
 - may be used to create an Carrier Safety, Fitness Rating, and
 - may be reported to other agencies for the carrier and/or its management and/or employees and
 - should not be considered as evidence in a court of law unless it is produced in accordance with
 regulatory requirements.

Site Printed: 19 Feb 2015 10:02 AM PST ABC Trucking Ltd Audit Session ID: rptFA01 Date: 19 Feb 2015

Page: 1 of 1 No Filter

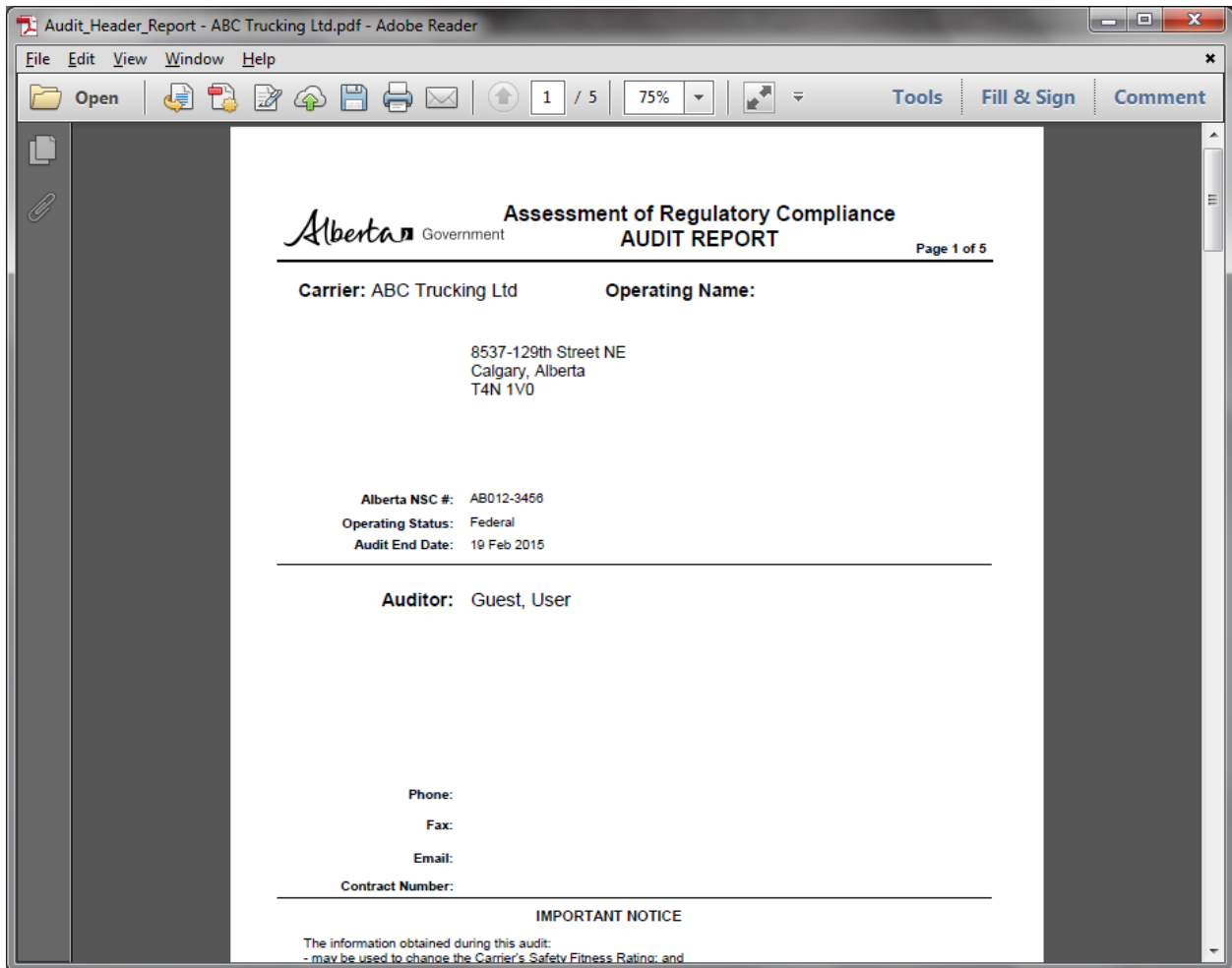
The screenshot displays a software application window titled "Assessment of Regulatory Compliance Application 6.01". Inside the window, a report titled "Assessment of Regulatory Compliance AUDIT REPORT" is shown. The report includes the following information:

- Carrier: ABC Trucking Ltd
- Operating Name:
- Address: 6537-129th Street NE, Calgary, Alberta, T4N 1V0
- Alberta NSC #: ABC12-3456
- Operating Status: Federal
- Audit End Date: 19 Feb 2015
- Auditor: Guest, User
- Phone:
- Fax:
- Email:
- Contract Number:

An "IMPORTANT NOTICE" section states: "The information obtained during this audit: - may be used to change the Carrier's Safety Fitness Rating, and - may not prohibit laying of charges against the Carrier and/or its management and/or employees, and - should not be considered as approval to operate an NSC vehicle while not in compliance with any regulatory requirement."

At the bottom of the report, it says: "Data Printed: 19 Feb 2015 4:00 Version: 6.01 ABC Trucking Ltd Audit Start Date: 01 Apr 2010 End Date: 19 Feb 2015".

The application window also features a search bar at the top right with the text "Type a question for help" and a page navigation bar at the bottom showing "Page: 1" and "No Filter".



Next . . .

- Review the *Exit Interview* section.

6.2 Exit Interview

Now that the audit report is finished you will need to print selected portions of it to review it with the carrier. Print the Header, the Audit Report, and the Summary Audit Report. You will provide these to the carrier. This is best done in person with the most senior officials of the company. You will want to go through the audit in detail so that there are no misconceptions on the part of the carrier on what is needed in order to bring the company into compliance with Alberta's NSC Transport legislation. You may need to review the audit scoring system in *Section 6.1 – Carrier Details* so that you can explain this to the carrier.

Ensure the carrier understands what areas are required by law and need to be corrected immediately. Continued operation when not in compliance with the law could result in sanctions. Be prepared to answer questions and provide information or advice on improving the company's safety performance.

The follow-up dates are provided as a means whereby a carrier can provide evidence that those areas in violations have been addressed and corrected. It is expected that the necessary changes be made and documented. An explanation of Alberta Transportation's Progressive Discipline Program outlined below should be reviewed with the carrier as well.

If this audit had been an "official" one conducted by or for Alberta Transportation, then the Audit Level score (along with the carrier's on-road performance information) may be used to help determine the company's Safety Fitness Rating. A copy of the Header, Audit Report, Summary, and Internal Summary would be required by Alberta Transportation.

Progressive Discipline Program

The Progressive Discipline Program used by Alberta Transportation ensures that carriers demonstrating non-compliance are approached in a consistent, fair and objective manner. The program is intended to promote positive changes in corporate behavior. It has clearly defined steps, yet it is flexible enough to allow for special circumstances.

The Compliance Review Committee, which is comprised of senior departmental staff, conducts the departmental review and makes recommendations to the Registrar for possible action.

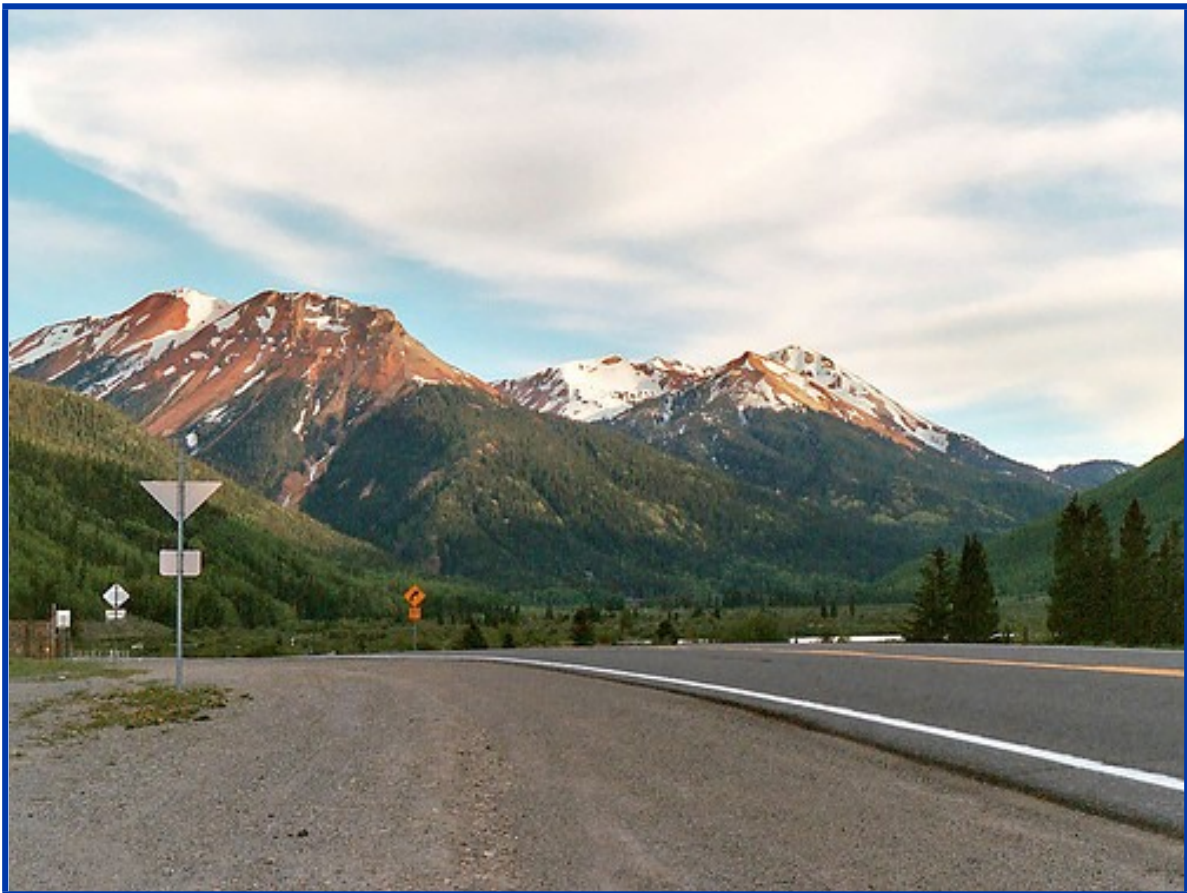
Where a carrier's performance represents an unacceptable risk to the public, Alberta Transportation will intervene with the carrier to encourage necessary change.

Intervention is progressive in nature and may include:

- A letter to the carrier advising it of compliance issues;
- Court action for specific violations;
- An administrative penalty;
- Loss of any privileges granted by the department (e.g., permit, CVIP station certificate);
- Conditions imposed on the carrier's Safety Fitness Certificate or any other certificate;
- Cancellation of one or more vehicle registration certificates;
- Suspension of a certificate for a period of time;
- Cancellation of a certificate;
- Change in the carrier's Safety Fitness Rating. Possible ratings assigned by the Registrar include:
 - Satisfactory;
 - Satisfactory Unaudited (the standard rating);

- Conditional (where additional conditions and standards are imposed on a carrier's operation);
- Unsatisfactory (where the carrier is prohibited from operating commercial vehicles on the highway).

The options, priority and speed at which the department intervenes with a carrier are determined by the apparent risk the carrier poses to the public. If the progressive disciplinary process does not create positive change in the carrier's practices and it remains an unacceptable risk to the public, the carrier can lose its ability to operate.



MODULE 7

Audit Reports

7.1 The Audit Report

Congratulations! If you have worked through all of the quizzes in the preceding modules you should have a complete audit report printed in front of you. The final report is the document you will provide to the carrier and to Alberta Transportation. It will benefit the carrier by providing a detailed insight with respect to their transportation safety compliance. This will allow the carrier to focus on those areas which are weak.

The complete report is printed in five sections. The first section should be a “Header”. It contains the carrier’s name and address, and your name (or “Guest”), carrier contact information, etc.

The second section should be the “Audit Report” which contains the full details showing your response to all the areas in which the carrier’s operation were measured and the resulting score in each area. It also contains your action items for the carrier. It is vital that the score is placed in context for the carrier (is the score a pass or a fail?) and that they understand what they need to correct in order to become compliant to legislation.

The third section should be the “Summary Audit Report” which will display, in addition to the carrier’s address, score and action plan items, a summary by section of all questions which were assessed points.

The fourth section should be the “Internal Audit Report” which will display, in addition the areas found within the “Summary Audit Report”, your internal comments (additional information which you believe Alberta Transportation may need to know) and the violation statistics.

The final section of the complete report is the “Carrier Agreement” which includes the “Carrier Agreement” which is a signed agreement in which the carrier acknowledges to remedy the deficiencies within the audit report.

You will provide the Header, Audit Report, and Summary Audit Report to the carrier and have a carrier representative sign the Carrier Agreement. You will then forward the complete audit, containing all five sections to Alberta Transportation.

Now compare your completed audit to the one listed on the following pages to see how you have done.



© Microsoft Clipart

Sample Audit Report

Carrier: ABC Trucking Ltd

Operating Name:

8537-129th Street NE
Calgary, Alberta
T4N 1V0

Alberta NSC #: AB012-3456

Operating Status: Federal

Audit End Date: 19 Feb 2015

Auditor: Guest, User

Phone:

Fax:

Email:

Contract Number:

IMPORTANT NOTICE

The information obtained during this audit:

- may be used to change the Carrier's Safety Fitness Rating; and
- may not prohibit laying of charges against the Carrier and/or its management and/or employees; and
- should not be considered as approval to operate an NSC vehicle while not in compliance with any regulatory requirement.

Summary of Items Printed

- Header Page*
- Carrier Details*
 - SFC Details*
 - Operating Status History*
 - Insurance Policy*
 - Safety Permits*
 - Carrier Contacts*
 - Images/Documents*
- Audit Score & Action Plan*
- Carrier's Comments*
- Carrier Worksheets*
- Driver Details & Worksheets*
- Hours of Service Details & Worksheets*
- Vehicle Details & Worksheets*
- Summary of CVIP Information*

Carrier Information

Carrier Details

Contract No: _____ **Audit Period Start Date:** 01 Apr 2010

Legal Name: ABC Trucking Ltd **Operating Name:** _____

MVID: 0001-34677 **Email:** _____

Comments:

Principle Address: 8537-129th Street NE
Calgary, Alberta
T4N 1V0

Phone Number: 403-213-0819 **Ext.:** _____ **Fax Number:** 403-202-7564

Mailing Address: 8537-129th Street NE
Calgary, Alberta
T4N 1V0

Phone Number: 403-213-0819 **Ext.:** _____ **Fax Number:** 403-202-7564

Operating Area: Intraprovincial
 AB Only Extraprovincial
 Canada Only US and Canada US and Alberta

Primary Industry: Transportation

Secondary Industry: _____

Primary Commodity: Retail Products

Secondary Commodity: _____

CVIP Station #: _____

Registered NSC Vehicles:

Trucks:	Tractors:	Trailers:	Buses 11 or More:
3	0	0	0

of NSC Drivers: 3

Bus Operating Authority # _____

SFC Details

NSC / US DOT Number	Jurisdiction	Effective Date	Safety Rating	Comment
AB012-3456	Alberta	01 Apr 2000	Satisfactory, Unaudited	

Summary Comments:

Operating Status History			
Operating Status	Operating Status Valid	Effective Date	Comments
Federal	<input checked="" type="checkbox"/>	01 Apr 2000	

Insurance						
Policy Number	Type	Company Name	Broker Name	Effective Date	Expiry Date	Limit
9845907	Public Liability & Property Damage	Never Break Insurance Co.	Seldom Wrong Insurance Agency	01 Jan 2014	01 Jan 2015	\$2,000,000.00
Comments:						
9845907	Cargo	Never Break Insurance Co.	Seldom Wrong Insurance Agency	01 Jan 2014	01 Jan 2015	\$100,000.00
Comments:						
Summary Comments:						

Safety Permits				
Permit Number	Type	Effective Date	Expiry Date	Comment
No Data Entered				
Summary Comments:				

Carrier Contact				
MVID	Contact Name / Title	Audit Role	Phone Number (Ext.)	Fax Number
0000-99999	Catchem, Bill / owner	Carrier Safety Officer	403-213-0819	403-202-7564
Comments:			Email:	
Summary Comments:				

Assessment of Regulatory Compliance AUDIT REPORT

Summary by Subject Area		
Safety		
	Worksheet Weight	Weighted Score
Carrier Safety	8%	3.64%
Safety Program	90%	48.26%
Financial Responsibility	0%	0.00%
Dangerous Goods	1%	0.00%
Collisions	1%	0.00%
Subject Area Weight(%): 10%		Subject Area % in Violation (Weighted): 5.19%
Driver		
	Worksheet Weight	Weighted Score
Driver Compliance	40%	15.00%
Driver File	60%	34.55%
Subject Area Weight(%): 30%		Subject Area % in Violation (Weighted): 14.86%
Hours of Service		
	Worksheet Weight	Weighted Score
Hours of Service	33%	25.38%
HOS - Daily Questions	67%	61.42%
Subject Area Weight(%): 30%		Subject Area % in Violation (Weighted): 26.04%
Vehicle		
	Worksheet Weight	Weighted Score
Inspection, Repair, Maintenance	10%	0.00%
Maintenance Program: All Vehicles	20%	2.35%
Maintenance Program: Specific Vehicle	10%	0.00%
Vehicle File	60%	20.00%
Subject Area Weight(%): 30%		Subject Area % in Violation (Weighted): 6.71%
Audit Score:		52.80%
Audit Level:		Level 4

Action Plan

Comment	Follow-up Required	Follow-up Date
Carrier Safety: Update and implement written safety program that addresses all regulatory requirements and any identified deficiencies contained within the audit report.	<input checked="" type="checkbox"/>	30 Apr 2014
Insurance:	<input type="checkbox"/>	
Driver Records:	<input type="checkbox"/>	
Commercial Vehicle Inspection Program:	<input type="checkbox"/>	
Preventative Maintenance Program:	<input type="checkbox"/>	
Vehicle Records:	<input type="checkbox"/>	
Hours of Service:	<input type="checkbox"/>	
Dangerous Goods:	<input type="checkbox"/>	

Comments:

All requested information, questions or concerns should be sent to:

Charles Fox, Public Safety Investigator
 Alberta Transportation
 Carrier Services Branch
 First Floor Willow Glen Business Park
 803 Manning Road NE
 Calgary, Alberta, T2E 7M8
 Phone: 403-297-5064
 Fax: 403-297-8682

Carrier's Comments

No comments were provided by the carrier at the time of the Audit.

Note: Written comments may be provided directly to Alberta Transportation by sending them to:

Manager of Investigations
Alberta Transportation
4th Floor Provincial Building
4920 - 51st Street
Red Deer, Alberta T4N 6K8
Phone: 403-755-6111
Fax: 403-340-4811
carrier.services@gov.ab.ca

Subject Area: Safety

Subject Area Weight: 10.00%

% in Violation (Weighted): 5.19%

Note: The lower the score the better the compliance.

Carrier Safety						
Question	Comment	Required?	Y	N	N/A	Points
Is a copy of the Safety Program retained at the carrier's principal place of business in Alberta? (AR314/2002 Section 43(1)(a) and (c))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Are copies of all the carrier's records located at the principal place of business; or does the carrier comply with a valid Divided Record Authority permit? (AR314/2002 Section 43(1)(a) (b) and (c))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Does the carrier have a designated person (Safety Officer) to maintain and implement the safety program and ensure compliance with safety laws? (AR314/2002 Section 40(2)(a) and (b))	<i>Not found.</i>	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	5
Does the carrier have a process to ensure a copy of their Safety Fitness Certificate is carried in the cab of each commercial vehicle? (AR314/2002 Section 42(1))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Does the designated person (Safety Officer) have the authority to hire and terminate drivers?	<i>Not found.</i>	<input type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	
Are all employees required to attend regular safety meetings?		<input type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Is there a written policy that requires drivers to report all driving violations?		<input type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Is there a written policy that management periodically review driver violations?	<i>Not found.</i>	<input type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	
Does the carrier have a recall system to ensure drivers' licences remain current?	<i>Not found.</i>	<input type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	
Is there access to current relevant transport legislation available at the principal place of business?		<input type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Has the carrier obtained their Carrier Profile within the past year?		<input type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Total Violation Points:						5 of 11

Summary Comments:

Safety Program						
Question	Comment	Required?	Y	N	N/A	Points
Does the written Safety Program apply to all staff authorized to operate the carrier's commercial vehicles? (AR314/2002 Section 40(3))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Is safe use and operation of commercial vehicles including; speed limits, seat belt use, drug and alcohol use, defensive driving, load security and fuelling written into the Safety Program? (AR314/2002 Section 40(1)(a))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Is proper records and recording of information including, as required; bills of lading, manifests, dangerous goods documents, time records, driver's daily logs, and weigh slips written into the Safety Program? (AR314/2002 Section 40(1)(b))	Missing.	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	2
Is compliance with the law by drivers written into the Safety Program? (AR314/2002 Section 40(1)(c))	Missing.	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	2
Are instructions for the use of safety equipment including, as required; the use of fire extinguishers, goggles, and hard hats written into the Safety Program? (AR314/2002 Section 40(1)(d))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Are policies and procedures relating to drivers' responsibilities, conduct, and discipline written into the Safety Program? (AR314/2002 Section 40(1)(c))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Is evaluating employees driving skills written into the Safety Program? (AR314/2002 Section 40(1)(e))	Missing.	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	2
Is retention of complete records for drivers written into the Safety Program? (AR314/2002 Section 40(1)(f))	Missing.	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	2
Is ensuring all drivers are properly qualified for the type of vehicle they operate written into the Safety Program? (AR314/2002 Section 40(1)(g))	Missing.	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	4
Does the written Safety Program instruct and explain that no one shall operate or permit another person to operate a commercial vehicle if the vehicle or its equipment is in a condition that is likely to cause danger to person or property? (AR121/2009 Section 3)	Missing.	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	5
Does the carrier instruct or arrange for training of all drivers for Hours of Service requirements, as required? (AR314/2002 Section 40(1)(c) & (e))	Missing.	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	5
Does the carrier instruct or arrange for training of all drivers for Trip Inspection requirements, as required? (AR314/2002 Section 40(1)(c) & (e))	Missing.	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	5
Does the carrier instruct or arrange for training of all drivers for load securement requirements, as required? (AR314/2002 Section 40(1)(c) & (e))	Missing.	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	5

Does the carrier instruct or arrange for training of all drivers for *Missing.* 5
all other applicable safety laws (including weights and dimensions, permit conditions, etc.), as required?
(AR314/2002 Section 40(1)(c) & (e))

Have the carrier and the carrier's employees substantially complied with their Safety Program? (AR314/2002 Section 40(3))

Total Violation Points: 37 of 69

Summary Comments:

Financial Responsibility						
Question	Comment	Required?	Y	N	N/A	Points
Does the carrier have the minimum level of Public Liability and Property Damage insurance? (AR314/2002 Section 25(b))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Does the carrier have the minimum level of Public Liability and Property Damage Insurance for Dangerous Goods that requires an Emergency Response Assistance Plan (ERAP)? (AR314/2002 Section 25(a), Referencing SOR 2001-286 Part 7 and Schedule 1, Column 7)		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Does the carrier have the minimum level of Inland (Cargo) Transportation Insurance? (AR314/2002 Section 24)		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Does the carrier have the minimum level of Passenger Hazard Insurance (Bus Only)? (AR314/2002 Section 26(1))		<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	
Does the carrier have the minimum level of Passenger Hazard Insurance for a School Bus? (AR314/2002 Section 26.1 (1))		<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	
Total Violation Points:						0 of 0

Summary Comments:

Dangerous Goods						
Question	Comment	Required?	Y	N	N/A	Points
Does the carrier ensure Dangerous Goods certificates are provided to the applicable drivers? (Provincial - AR157/97 Section 2.1; Federal - SOR2001 - 286 Part 6, Section 6.6)		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Does the carrier retain or arrange for copies of Dangerous Goods shipping documents to be kept for at least the two previous years? (Provincial - AR157/97 Section 2.1; Federal - SOR2001 - 286 Part 3, Section 3.11(2))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Is the carrier filing 30-day follow-up reports with the Director General of Transport Canada when required? (Provincial - AR157/97 Section 2.1; Federal - SOR2001 - 286 Part 8, Section 8.3(2))		<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	
Is the carrier aware of the consignor's Emergency Response Plan filed with Transport Canada and does the carrier know how to implement it? (Provincial - AR157/97 Section 2.1; Federal - SOR2001 - 286 Part 3, Section 3.6(1), referencing Part 7 and Schedule 1, Column 7)		<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	
Total Violation Points:						0 of 4

Summary Comments:

Collisions						
Question	Comment	Required?	Y	N	N/A	Points
Has the carrier reported or caused to be reported all collisions to the local police, as required? (Traffic Safety Act, Section 69(4) and 71(1), AR320/2002 Section 147)		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Does the carrier have a written policy to require reporting and review of collisions in company vehicles?		<input type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Does the carrier review all "reportable collisions" and determine their preventability?		<input type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Does the carrier take any action with drivers involved in preventable collisions?	<i>No evidence that collision was reviewed with driver.</i>	<input type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	
Total Violation Points:						0 of 5
Summary Comments:						

Subject Area: Driver

Subject Area Weight: 30.00%

% in Violation (Weighted): 14.86%

NSC Drivers: 3

Driver Sampling Rate: 3

Driver Files Reviewed: 3

Note: The lower the score the better the compliance.

Driver Compliance						
Question	Comment	Required?	Y	N	N/A	Points
Do drivers forward daily logs to each motor carrier with whom they are employed or otherwise engaged? (Provincial – AR317/2002 Section 15(1); Federal SOR05-313 Section 85(2))		<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	
Do drivers or authorized persons conduct adequate trip inspections? (AR121/2009 Section 10(2)(a)(b))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Do drivers only operate carrier's vehicles applicable to their licence class, conditions, and endorsements? (Traffic Safety Act Section 51(b) and (c))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Do drivers hold a valid operator's licence while driving the carrier's vehicles? (Traffic Safety Act Section 51(a))	<i>Expired licence for one driver.</i>	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	10
Do drivers or authorized persons that conduct Trip Inspections report defects to the carrier/owner without delay if a major defect is detected, or in a timely manner in all other cases? (AR121/2009 Section 10(8))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Do drivers or authorized persons prepare Trip Inspection Reports, as required? (AR121/2009 Section 12(2))	<i>Not all trip inspections are available.</i>	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	5
Do drivers that conduct Trip Inspections, during their work shift, report identified defects and/or "major defects" to carrier? (AR121/2009 Section 15)		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Do drivers report all violations to the carrier?		<input type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Total Violation Points:						15 of 40

Summary Comments:

Driver Details

Driver: DOE, PETER

Date of Birth: 01 Oct 1963

MVID: 3123-45678

Licence #: 54321-678

Valid?:

Jurisdiction: Alberta

Cond Endorsement: U - Completed Driver Education Course

Date Hired: 05 Nov 2011

Licence Status: Active

Licence Class: Class 1:Any motor vehicle, or combination of vehicles, except a motorcycle(for learning only).

Comments:

EEMV Certificate

Required?: **Valid?:**

Issue Date:

Expiry Date:

Dangerous Goods Certificate

Required?: **Valid?:**

Issue Date: 30 Jan 2012

Expiry Date: 30 Jan 2015

Driver File

Question	Comment	Required?	Y	N	N/A	Points
Does the driver file contain a completed application form if hired after April 1, 1998? (AR314/2002 Section 41(1)(a))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Does the driver file contain a copy of the driver's employment history for at least 3 years prior to working for the carrier if hired after April 1, 1998? (AR314/2002 Section 41(1)(d))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Does the driver file contain a copy of the driver's abstract dated within 30 days of the date of employment or hire, if hired after May 20, 2003? (AR314/2002 Section 41(1)(b))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Does the driver file contain an annually updated driver's abstract? (AR314/2002 Section 41(1)(c))	<i>Missing.</i>	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	2
Does the driver file contain a record of convictions of safety laws in the current year and each of the 4 preceding years? (AR314/2002 Section 41(1)(e))		<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	
Does the driver file contain a record of all administrative penalties imposed on the driver under safety laws? (AR314/2002 Section 41(1)(f))		<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	
Does the driver file contain a record of all collisions reportable to a Peace Officer involving a motor vehicle? (AR314/2002 Section 41(1)(g))		<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	
Does the driver file contain a record of all training completed with respect to the operation of a commercial vehicle and compliance with safety laws? (AR314/2002 Section 41(1)(h))	<i>PDIC only.</i>	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	2
Does the driver file contain a copy of a valid training certificate issued under the Transport Dangerous Goods Control Regulations? (AR314/2002 Section 41(1)(i))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	

Does the driver file contain a copy of a current medical certificate required for a driver's licence? (AR314/2002 Section 41(1)(j))

Does the driver file contain a copy of an S endorsement training certificate for school buses? (TSA Section 131 (1)(c)(ii))

Does the driver file contain a copy of a pre-employment/pre-operational training certificate for school buses?

Total Violation Points:

4 of 9

Summary Comments:

Driver Details	
Driver: SMITH, JOHN	
Date of Birth: 01 Apr 1961	EEMV Certificate Required?: <input type="checkbox"/> Valid?: <input type="checkbox"/> Issue Date: Expiry Date:
MVID: 0123-45678	
Licence #: 12345-678 Valid?: <input type="checkbox"/>	Dangerous Goods Certificate Required?: <input checked="" type="checkbox"/> Valid?: <input checked="" type="checkbox"/> Issue Date: 30 Jan 2014 Expiry Date: 30 Jan 2017
Jurisdiction: Alberta	
Cond Endorsement: A - Adequate Lenses	
Date Hired: 01 Mar 2010	
Licence Status: Expired	
Licence Class: Class 1:Any motor vehicle, or combination of vehicles, except a motorcycle(for learning only).	
Comments:	

Driver File

Question	Comment	Required?	Y	N	N/A	Points
Does the driver file contain a completed application form if hired after April 1, 1998? (AR314/2002 Section 41(1)(a))	<i>Incomplete.</i>	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	1
Does the driver file contain a copy of the driver's employment history for at least 3 years prior to working for the carrier if hired after April 1, 1998? (AR314/2002 Section 41(1)(d))	<i>Incomplete.</i>	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	1
Does the driver file contain a copy of the driver's abstract dated within 30 days of the date of employment or hire, if hired after May 20, 2003? (AR314/2002 Section 41(1)(b))		<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	1
Does the driver file contain an annually updated driver's abstract? (AR314/2002 Section 41(1)(c))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Does the driver file contain a record of convictions of safety laws in the current year and each of the 4 preceding years? (AR314/2002 Section 41(1)(e))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Does the driver file contain a record of all administrative penalties imposed on the driver under safety laws? (AR314/2002 Section 41(1)(f))		<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	
Does the driver file contain a record of all collisions reportable to a Peace Officer involving a motor vehicle? (AR314/2002 Section 41(1)(g))	<i>Conviction for failing to report collision Feb 27, 2014.</i>	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	2
Does the driver file contain a record of all training completed with respect to the operation of a commercial vehicle and compliance with safety laws? (AR314/2002 Section 41(1)(h))	<i>Defensive driving only.</i>	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	2
Does the driver file contain a copy of a valid training certificate issued under the Transport Dangerous Goods Control Regulations? (AR314/2002 Section 41(1)(i))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	

Does the driver file contain a copy of a current medical certificate required for a driver's licence? (AR314/2002 Section 41(1)(j))

Does the driver file contain a copy of an S endorsement training certificate for school buses? (TSA Section 131 (1)(c)(ii))

Does the driver file contain a copy of a pre-employment/pre-operational training certificate for school buses?

Total Violation Points: 7 of 13

Summary Comments:

Maintain a complete file for each driver that contains: Completed application form, 3 year employment history, annual driver's abstract, valid copy of the driver's licence, a record of all Provincial and Federal convictions relating to the operation of a motor vehicle, record of all collisions and training.

Driver Details

Driver: JUMP, DON

Date of Birth: 11 Jun 1959

MVID: 9733-45678

Licence #: 35692-678

Valid?:

Jurisdiction: Alberta

Cond Endorsement: Q - Air Brake Endorsement

Date Hired: 02 Jul 2102

Licence Status: Active

Licence Class: Class 1:Any motor vehicle, or combination of vehicles, except a motorcycle(for learning only).

Comments:

EEMV Certificate

Required?: **Valid?:**

Issue Date:

Expiry Date:

Dangerous Goods Certificate

Required?: **Valid?:**

Issue Date: 30 Jan 2010

Expiry Date: 30 Jan 2013

Driver File

Question	Comment	Required?	Y	N	N/A	Points
Does the driver file contain a completed application form if hired after April 1, 1998? (AR314/2002 Section 41(1)(a))	Missing.	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	1
Does the driver file contain a copy of the driver's employment history for at least 3 years prior to working for the carrier if hired after April 1, 1998? (AR314/2002 Section 41(1)(d))	Missing.	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	1
Does the driver file contain a copy of the driver's abstract dated within 30 days of the date of employment or hire, if hired after May 20, 2003? (AR314/2002 Section 41(1)(b))	Missing.	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	1
Does the driver file contain an annually updated driver's abstract? (AR314/2002 Section 41(1)(c))	Missing.	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	2
Does the driver file contain a record of convictions of safety laws in the current year and each of the 4 preceding years? (AR314/2002 Section 41(1)(e))		<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	
Does the driver file contain a record of all administrative penalties imposed on the driver under safety laws? (AR314/2002 Section 41(1)(f))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Does the driver file contain a record of all collisions reportable to a Peace Officer involving a motor vehicle? (AR314/2002 Section 41(1)(g))		<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	
Does the driver file contain a record of all training completed with respect to the operation of a commercial vehicle and compliance with safety laws? (AR314/2002 Section 41(1)(h))	Defensive driving only.	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	2
Does the driver file contain a copy of a valid training certificate issued under the Transport Dangerous Goods Control Regulations? (AR314/2002 Section 41(1)(i))	Expired.	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	1

Does the driver file contain a copy of a current medical certificate required for a driver's licence? (AR314/2002 Section 41(1)(j))	<input checked="" type="checkbox"/> <input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
Does the driver file contain a copy of an S endorsement training certificate for school buses? (TSA Section 131 (1)(c)(ii))	<input checked="" type="checkbox"/> <input type="radio"/> <input type="radio"/> <input checked="" type="radio"/>
Does the driver file contain a copy of a pre-employment/pre-operational training certificate for school buses?	<input type="checkbox"/> <input type="radio"/> <input type="radio"/> <input checked="" type="radio"/>
Total Violation Points: 8 of 11	

Summary Comments:

Maintain a complete file for each driver that contains: Completed application form, 3 year employment history, annual driver's abstract, valid copy of the driver's licence, a record of all Provincial and Federal convictions relating to the operation of a motor vehicle, record of all collisions and training.

Subject Area: Hours of Service

Internal Analysis

Subject Area Weight: 30.00%

% in Violation (Weighted): 26.04%

NSC Drivers: 3

Hours of Service

Sampling Rate: 3

Hours of Service

Drivers Reviewed: 3

Fatigue Violation Rate: 57.14 %

Form and Manner

Violation Rate: 16.67 %

Primary HoS Supporting Doc: Payroll Records

Secondary HoS Supporting Doc:

Note: The lower the score the better the compliance.

Hours of Service						
Question	Comment	Required?	Y	N	N/A	Points
Does the carrier file records in an orderly manner and are they readily available? (Provincial - AR317/2002 Section 16(2)(a); Federal - SOR2005-313 Section 85(3))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Can the carrier produce the prior 6 months records of duty status for drivers selected? (Provincial - AR317/2002 Sections 16(1) and 16(2); Federal - SOR2005-313 Section 85(3))	Only 3 months of records on file.	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	10
Is the carrier ensuring that drivers have adequate on-duty hours available prior to and during trips? (Provincial - AR317/2002 Section 6(1); Federal - SOR2005-313 Section 12.)		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Does the carrier conduct internal monitoring of duty status records for completeness, accuracy, and hours compliance (federal carriers only)? (Federal - SOR2005-313 Section 87(1))	Missing.	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	10
Does the carrier that determines that there has been non-compliance take immediate remedial action and record the dates non-compliance occurred, dates of issuance of a notice of non-compliance and the actions taken (federal carriers only)? (Federal - SOR2005-313 Section 87(2))	Missing.	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	10
Does the carrier have a policy that requires drivers to complete daily records and/or logs?		<input type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Does the carrier have a policy that requires drivers to submit daily logs and supporting documents within 20 days after completing a daily log?	Missing.	<input type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	
Total Violation Points:						30 of 39
Summary Comments:						

Hours of Service Daily Records

Driver: DOE, PETER **MVID: 312345678** **Sheet #: 1**

Daily Time Records - Federal

Date	Total Hours On-Duty For:				Violations					Cycle Reset	Violations Identified See Following Pages
	Work Day	Cycle	Past 7 Days	Past 14 Days	Total Hours Driving After:						
					13H	14H	16H	70H	120H		
01 Mar 2014	10.00	1	10.00	10.00						<input type="checkbox"/>	<input checked="" type="checkbox"/>
02 Mar 2014	9.25	1	19.25	19.25						<input type="checkbox"/>	<input checked="" type="checkbox"/>
03 Mar 2014	16.00	1	35.25	35.25		1.00				<input type="checkbox"/>	<input checked="" type="checkbox"/>
04 Mar 2014	12.00	1	47.25	47.25						<input type="checkbox"/>	<input checked="" type="checkbox"/>
05 Mar 2014	6.75	1	54.00	54.00	3.00	4.00	5.00			<input type="checkbox"/>	<input checked="" type="checkbox"/>
06 Mar 2014	16.00	1	70.00	70.00	1.00	2.00	0.50			<input type="checkbox"/>	<input checked="" type="checkbox"/>
07 Mar 2014	0.00	1	70.00	70.00						<input type="checkbox"/>	<input type="checkbox"/>
08 Mar 2014	4.00	1	64.00	74.00						<input type="checkbox"/>	<input checked="" type="checkbox"/>
09 Mar 2014	10.75	1	65.50	84.75						<input type="checkbox"/>	<input type="checkbox"/>
10 Mar 2014	10.00	1	59.50	94.75						<input type="checkbox"/>	<input type="checkbox"/>
11 Mar 2014	10.00	1	57.50	104.75						<input type="checkbox"/>	<input checked="" type="checkbox"/>
12 Mar 2014	11.25	1	62.00	116.00						<input type="checkbox"/>	<input checked="" type="checkbox"/>
13 Mar 2014	3.75	1	49.75	119.75		0.50	3.00			<input type="checkbox"/>	<input checked="" type="checkbox"/>
14 Mar 2014	5.75	1	55.50	125.50						<input type="checkbox"/>	<input checked="" type="checkbox"/>

Summary Comments:

Hours of Service - Daily Questions in Violation by Date			
Driver: DOE, PETER	MVID: 312345678	Sheet #:	1
Date: 01 Mar 2014			
Question		Y	N N/A
Is the daily log or time record true and accurate?		<input type="radio"/>	<input checked="" type="radio"/> <input type="radio"/>
Summary Comments: Daily log shows on duty in Calgary, AB from 07:00 to 17:00, while fuel statement shows fueling in Medicine Hat, AB at 15:00.			
Date: 02 Mar 2014			
Question		Y	N N/A
Are the Form and Manner requirements complete (Daily log only)?		<input type="radio"/>	<input checked="" type="radio"/> <input type="radio"/>
Summary Comments: Missing municipality/province at change in duty status.			
Date: 03 Mar 2014			
Question		Y	N N/A
Daily - Log in compliance with the 14-hour "on duty" rule?		<input type="radio"/>	<input checked="" type="radio"/> <input type="radio"/>
Daily - Log in compliance with the 10-hour "off duty" rule?		<input type="radio"/>	<input checked="" type="radio"/> <input type="radio"/>
Work shift - Log in compliance with the 14-hour "on duty" rule?		<input type="radio"/>	<input checked="" type="radio"/> <input type="radio"/>
Summary Comments: Drive after 14 hrs starting at 15:45 for 1 hr. Driver failed to have 10 hrs off-duty in a day.			
Date: 04 Mar 2014			
Question		Y	N N/A
Is the daily log or time record true and accurate?		<input type="radio"/>	<input checked="" type="radio"/> <input type="radio"/>
Summary Comments: Daily log shows leaving Calgary, AB at 07:30 and arriving in High Level, AB at 19:00, while fuel statement shows fueling in Calgary, AB at 13:15.			
Date: 05 Mar 2014			
Question		Y	N N/A
Work shift - Log in compliance with the 13-hour "driving" rule?		<input type="radio"/>	<input checked="" type="radio"/> <input type="radio"/>
Work shift - Log in compliance with the 14-hour "on duty" rule?		<input type="radio"/>	<input checked="" type="radio"/> <input type="radio"/>
Work shift - Log in compliance with the 16-hour "elapsed time" rule?		<input type="radio"/>	<input checked="" type="radio"/> <input type="radio"/>
Summary Comments: Drive after 13 hrs in a shift by 3.0 hrs starting at 3:00. Drive after 14 hrs in a shift by 4.0 hrs starting at 2:00. Drive after 16 hrs in a shift by 5.0 hrs starting at 1:00			

Date: 06 Mar 2014			
Question	Y	N	N/A
Daily - Log in compliance with the 13-hour "driving" rule?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
Daily - Log in compliance with the 14-hour "on duty" rule?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
Daily - Log in compliance with the 10-hour "off duty" rule?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
Work shift - Log in compliance with the 13-hour "driving" rule?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
Work shift - Log in compliance with the 14-hour "on duty" rule?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
Work shift - Log in compliance with the 16-hour "elapsed time" rule?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
Summary Comments:			
Drive more than 13 hrs in a day/shift by 1.0 hr. Violation occurred at 19:30. Drive after 14 hrs on-duty in a day by 2.0 hrs. Violation occurred at 18:30. Drive after 16 hrs of elapsed time in a workshift by 0.5 hr. Violation occurred at 20:00. Workshift started at 04:00 and ended at 20:30. Fail to have 10 hrs off-duty in a day.			
Date: 08 Mar 2014			
Question	Y	N	N/A
Is the daily log or time record true and accurate?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
Summary Comments:			
Daily log shows starting in Calgary, AB at 07:00 while previous day shows off-duty in Edmonton, AB.			
Date: 11 Mar 2014			
Question	Y	N	N/A
Are the Form and Manner requirements complete (Daily log only)?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
Summary Comments:			
Missing unit number and municipality/province at change in duty status.			
Date: 12 Mar 2014			
Question	Y	N	N/A
Are the Form and Manner requirements complete (Daily log only)?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
Summary Comments:			
Missing mileage.			
Date: 13 Mar 2014			
Question	Y	N	N/A
Work shift - Log in compliance with the 14-hour "on duty" rule?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
Work shift - Log in compliance with the 16-hour "elapsed time" rule?	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
Summary Comments:			
Drive after 14 hrs on-duty in a workshift. Shift started at 07:00 on previous day. Workshift ended at 03:45 (split sleeper). Drive after 16 hours.			

Date: 14 Mar 2014

Question

Y N N/A

Is the daily log or time record true and accurate?

Summary Comments:

Daily log shows shift starting at Whitecourt, AB at 09:00 while the previous day showed off duty in Calgary, AB.

Assessment of Regulatory Compliance AUDIT REPORT

Hours of Service Daily Records

Driver: SMITH, JOHN

MVID: 012345678

Sheet #: 1

Daily Time Records - Federal

Date	Total Hours On-Duty For:				Violations Total Hours Driving After:					Cycle Reset	Violations Identified See Following Pages
	Work Day	Cycle	Past 7 Days	Past 14 Days	13H	14H	16H	70H	120H		
01 Mar 2014	10.75	1	10.75	10.75						<input type="checkbox"/>	<input checked="" type="checkbox"/>
02 Mar 2014	11.25	1	22.00	22.00						<input type="checkbox"/>	<input checked="" type="checkbox"/>
03 Mar 2014	14.50	1	36.50	36.50						<input type="checkbox"/>	<input checked="" type="checkbox"/>
04 Mar 2014	9.00	1	45.50	45.50						<input type="checkbox"/>	<input type="checkbox"/>
05 Mar 2014	16.00	1	61.50	61.50		1.50	1.25			<input type="checkbox"/>	<input checked="" type="checkbox"/>
06 Mar 2014	7.50	1	69.00	69.00						<input type="checkbox"/>	<input type="checkbox"/>
07 Mar 2014	6.50	1	75.50	75.50				4.50		<input type="checkbox"/>	<input checked="" type="checkbox"/>
08 Mar 2014	10.25	1	75.00	85.75				3.75		<input type="checkbox"/>	<input checked="" type="checkbox"/>
09 Mar 2014	11.00	1	74.75	96.75				4.50		<input type="checkbox"/>	<input checked="" type="checkbox"/>
10 Mar 2014	11.00	1	71.25	107.75				1.00		<input type="checkbox"/>	<input checked="" type="checkbox"/>
11 Mar 2014	6.00	1	68.25	113.75						<input type="checkbox"/>	<input checked="" type="checkbox"/>
12 Mar 2014	0.00	1	52.25	113.75						<input type="checkbox"/>	<input type="checkbox"/>
13 Mar 2014	0.00	1	44.75	113.75						<input type="checkbox"/>	<input checked="" type="checkbox"/>
14 Mar 2014	8.00	1	46.25	121.75						<input type="checkbox"/>	<input type="checkbox"/>

Summary Comments:

Hours of Service - Daily Questions in Violation by Date		
Driver: SMITH, JOHN	MVID: 012345678	Sheet #: 1
Date: 01 Mar 2014		
Question		Y N N/A
Are the Form and Manner requirements complete (Daily log only)?		<input type="radio"/> <input checked="" type="radio"/> <input type="radio"/>
Summary Comments: Missing mileage.		
Date: 02 Mar 2014		
Question		Y N N/A
Daily - Log in compliance with the 10-hour "off duty" rule?		<input type="radio"/> <input checked="" type="radio"/> <input type="radio"/>
Summary Comments: 10 hours off duty forms part of the 8 consecutive hrs. Sec 14(3).		
Date: 03 Mar 2014		
Question		Y N N/A
Daily - Log in compliance with the 10-hour "off duty" rule?		<input type="radio"/> <input checked="" type="radio"/> <input type="radio"/>
Summary Comments: Fail to have 10 hours off duty. Missing principle place of business address. Fort McMurray abbreviated.		
Date: 05 Mar 2014		
Question		Y N N/A
Daily - Log in compliance with the 14-hour "on duty" rule?		<input type="radio"/> <input checked="" type="radio"/> <input type="radio"/>
Daily - Log in compliance with the 10-hour "off duty" rule?		<input type="radio"/> <input checked="" type="radio"/> <input type="radio"/>
Work shift - Log in compliance with the 14-hour "on duty" rule?		<input type="radio"/> <input checked="" type="radio"/> <input type="radio"/>
Work shift - Log in compliance with the 16-hour "elapsed time" rule?		<input type="radio"/> <input checked="" type="radio"/> <input type="radio"/>
Summary Comments: Drive after 14 hrs in a day and workshift. Violation occurred at 16:45. Drove in violation for 1.5 hrs. Driver failed to have 10 hrs off duty in a day. Drive after 16 hrs of elapsed time in a workshift. Workshift started at 01:00. Violation occurred at 17:00. Drove in violation for 1.25 hrs. Workshift ended at 18:45.		
Date: 07 Mar 2014		
Question		Y N N/A
Cycle 1 - Log in compliance with Cycle 1 requirements?		<input type="radio"/> <input checked="" type="radio"/> <input type="radio"/>
Summary Comments: Drive after accumulating 70 hrs. Violation occurred at 09:00. Driver drove in violation for 4.5 hrs.		

Date: 08 Mar 2014

Question

Y N N/A

Cycle 1 - Log in compliance with Cycle 1 requirements?

Summary Comments:

Drive after accumulating 70 hrs. Violation occurred at 13:15. Driver drove in violation for 3.75 hrs.
Missing change in duty status at 11:00 hrs.

Date: 09 Mar 2014

Question

Y N N/A

Cycle 1 - Log in compliance with Cycle 1 requirements?

Summary Comments:

Drive after accumulating 70 hrs. Violation occurred at 10:15. Driver drove in violation for 4.5 hrs.

Date: 10 Mar 2014

Question

Y N N/A

Cycle 1 - Log in compliance with Cycle 1 requirements?

Summary Comments:

Drive after accumulating 70 hrs. Violation occurred at 10:30. Driver drove in violation for 1.0 hrs.

Date: 11 Mar 2014

Question

Y N N/A

Is the log current to the last change in duty status (Daily log only)?

Are the Form and Manner requirements complete (Daily log only)?

Summary Comments:

Fail to keep daily log current. Last entry shows driving at noon. Also missing total hours in each duty status and total km driven.

Date: 13 Mar 2014

Question

Y N N/A

Is there a daily log or time record when required?

Summary Comments:

Missing.

Hours of Service - Daily Questions in Violation by Date		
Driver: JUMP, DON	MVID: 973345678	Sheet #: 1
Date: 02 Mar 2014		
Question		Y N N/A
Is the daily log or time record true and accurate?		<input type="radio"/> <input checked="" type="radio"/> <input type="radio"/>
Summary Comments: Time record shows driver starting at 08:00 while fuel statement shows fueling at 07:00.		
Date: 03 Mar 2014		
Question		Y N N/A
Is there a daily log or time record when required?		<input type="radio"/> <input checked="" type="radio"/> <input type="radio"/>
Summary Comments: Time record is incomplete. Daily log is required.		
Date: 05 Mar 2014		
Question		Y N N/A
Is the daily log or time record true and accurate?		<input type="radio"/> <input checked="" type="radio"/> <input type="radio"/>
Summary Comments:		
Date: 07 Mar 2014		
Question		Y N N/A
Is there a daily log or time record when required?		<input type="radio"/> <input checked="" type="radio"/> <input type="radio"/>
Summary Comments: No record produced.		
Date: 10 Mar 2014		
Question		Y N N/A
Is there a daily log or time record when required?		<input type="radio"/> <input checked="" type="radio"/> <input type="radio"/>
Summary Comments: Outside 160 km radius. Daily log required.		
Date: 11 Mar 2014		
Question		Y N N/A
Is the daily log or time record true and accurate?		<input type="radio"/> <input checked="" type="radio"/> <input type="radio"/>
Summary Comments: Time record shows shift ending at 17:00 while fuel statement shows fueling at 17:45 in Calgary.		
Date: 12 Mar 2014		
Question		Y N N/A

Is there a daily log or time record when required?



Summary Comments:

Missing record. A record was produced showing off duty for 24 hrs yet it was not dated.

Subject Area: Vehicle
Subject Area Weight: 30.00%
% in Violation (Weighted): 6.71%

NSC Vehicles: 3
Vehicle Sampling Rate: 3
Vehicle Files Reviewed: 3

Note: The lower the score the better the compliance.

Inspection, Repair, Maintenance						
Question	Comment	Required?	Y	N	N/A	Points
Does the carrier ensure each commercial vehicle operated has a valid CVIP Inspection? (Commercial Vehicles - AR211/06 Section 19(1)(a) and (d); Vehicles operating under an Operating Authority Certificate – AR211/06 Section 20(1)(a) and (d))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Does the carrier ensure each commercial vehicle is operated with a valid CVIP Inspection certificate located within each commercial vehicle? (Commercial Vehicles - AR211/06 Section 19(1)(b) and 19(2); Vehicles operating under an Operating Authority Certificate - AR211/06 Section 20(1)(b))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Does the carrier ensure each commercial vehicle is operated with a valid CVIP Inspection decal affixed to each commercial vehicle? (Commercial Vehicles - AR211/06 Section 19(1)(c); Vehicles operating under the authority of an Operating Authority Certificate - AR211/06 Section 20(1)(c))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Does the written Maintenance and Inspection Program provide and identify adequate directions on retaining vehicle inspection, maintenance, and repair records? (AR121/2009 Section 37 and 38)		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Does the carrier ensure that no one shall operate a commercial vehicle on a highway unless the vehicle is being maintained accordingly to the applicable standard(s) in the applicable Schedule(s)? (AR121/2009 Section 5(2) - (6))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Does carrier require/ensure that only a certified Heavy Equipment Technician completes repairs and conducts maintenance on carrier's owned vehicles? (Apprenticeship and Industry Training Act, Section 21(3) or 22(3))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Does any individual, not certified as a Heavy Equipment Technician, but who is operating as a carrier; carry out work, repairs, and maintenance on his/her own NSC vehicles which would normally be completed by a certified Heavy Equipment Technician? (Apprenticeship and Industry Training Act, Section 27)		<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	
Does the carrier have a recall system for CVIP inspections?	<i>Missing. No recall system in place.</i>	<input type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	
Total Violation Points:						0 of 14
Summary Comments:						

Maintenance Program: All Vehicles						
Question	Comment	Required?	Y	N	N/A	Points
All Vehicles: Does the written Maintenance and Inspection Program pertain to all types of NSC commercial vehicles in the fleet? (AR121/2009 Section 6(1))	<i>Clarify.</i>	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	5
All Vehicles: Does the carrier maintain a copy of the written Maintenance and Inspection Program at their principal place of business? (AR121/2009 Section 6(5))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
All Vehicles: Does the carrier have a copy of its written Maintenance and Inspection Program in each carrier location where the maintenance and inspection of the carrier's commercial vehicles are carried out, if other than the principal place of business? (AR 121/2009 Section 6(4))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
All Vehicles: Do employees have access to the carrier's written Maintenance and Inspection Program, as required? (AR121/2009 Section 6(4))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
All Vehicles: Does the written Maintenance and Inspection Program call for a regular and continuous program of inspection? (AR121/2009 Section 6(3))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
All Vehicles: Does the written Maintenance and Inspection Program cover the requirement to conduct Commercial Vehicle Inspection Program (CVIP) inspections (annually or semi-annually)? (AR121/2009 Section 6(3)(c))	<i>Missing</i>	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	1
All Vehicles: Does the written Maintenance and Inspection Program ensure that each commercial vehicle contain a copy of the applicable Trip Inspection Schedule of NSC Standard 13, Part 2 including any modifications made to the Schedule? (AR121/2009 Section 10(9))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
All Vehicles: Does the written Maintenance and Inspection Program require that drivers or persons authorized to conduct Trip Inspections inspect all required items identified in the applicable Schedule of NSC Standard 13, Part 2? (AR121/2009 Section 10(2)(a) and (b); 10(4)(b); 10(5); 11(1), (2), (3))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
All Vehicles: Does the written Maintenance and Inspection Program require that drivers or persons authorized complete written Trip Inspection Reports, as required? (AR121/2009 Section 12(2))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
All Vehicles: Are Trip Inspection Reports in a legible written format or in an electronic format acceptable to the Registrar? (AR121/2009 Section 12(3))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
All Vehicles: Does the written Maintenance and Inspection Program identify what items need to be recorded on a Trip Inspection Report? (AR121/2009 Section 12(4)(a) - (i))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
All Vehicles: Does the written Maintenance and Inspection Program address distribution and retention of Trip Inspection Reports? (AR121/2009 Section 13(1) and 13(2)(a) - (c))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	

All Vehicles: Does the written Maintenance and Inspection Program address that a person completing a Trip Inspection must report defects to the carrier and take appropriate action? (AR121/2009 Section 14)

All Vehicles: Does the written Maintenance and Inspection Program require a driver to report all defects and major defects identified during their work shift? (AR121/2009 Section 15)

All Vehicles: Does the carrier's written Maintenance and Inspection Program cover requirements to repair or correct defects? (AR121/2009 Section 16)

All Vehicles: Has the carrier's written Maintenance and Inspection Program been implemented as described? (AR121/2009 Section 6(1))

All Vehicles: Does the carrier with a "Provincial" operating status include their commercial vehicles registered between 4,501 and 11,793 kilograms (inclusive) in their Maintenance and Inspection program? (AR121/2009 Section 6(1))

Total Violation Points:

6 of 51

Summary Comments:

Maintenance Program: Specific Vehicle				
Question	Comment	Required?	Y	N N/A Points
Trucks/Tractors: Are Body and Seat items covered by the Program? (AR121/2009 Schedule 2, Section 1(1) and NSC Standard 13 Part 2, Schedule 1; Section 2, 7)		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/> <input type="radio"/>
Trucks/Tractors: Are Chassis frame, Body frame, Sliding subframe, Underbody, and Drive shaft items covered by the Program? (AR121/2009 Schedule 2, Section 2 - 6 and NSC Standard 13 Part 2, Schedule 1; Section 11)		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/> <input type="radio"/>
Trucks/Tractors: Are Windows, Mirrors, Rear view mirrors, Windshield wipers, and Washer items covered by the Program? (AR121/2009 Schedule 2, Section 7, 24 and AR122/2009 Section 73, 74 and NSC Standard 13 Part 2, Schedule 1; Section 14, 23)		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/> <input type="radio"/>
Trucks/Tractors: Are Fuel and Exhaust items covered by the Program? (AR121/2009 Schedule 2, Section 8, 9 and NSC Standard 13 Part 2, Schedule 1; Section 10, 12)		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/> <input type="radio"/>
Trucks/Tractors: Are Friction components, Hydraulic and vacuum-assisted brake components, Mechanical components, Brake Pedal, Air brake system, Park Brake, and Brake system items covered by the Program? (AR121/2009 Schedule 2, Section 10 - 16 and NSC Standard 13 Part 2, Schedule 1; Section 1, 8, 17)		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/> <input type="radio"/>
Trucks/Tractors: Are Engine Control, Steering column, Wheel alignment, C-Dolly Steering, and Steering linkage items covered by the Program? (AR121/2009 Schedule 2, Section 17, 18, 19, 21 and NSC Standard 13 Part 2, Schedule 1; Section 19)		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/> <input type="radio"/>
Trucks/Tractors: Are Suspension system items covered by the Program? (AR121/2009 Schedule 2, Section 22 and NSC Standard 13 Part 2, Schedule 1; Section 20)		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/> <input type="radio"/>
Trucks/Tractors: Are General requirements, Driver controls, Driver seat, Emergency equipment, and Safety device items covered by the Program? (AR121/2009 Schedule 2, Section 23 and NSC Standard 13 Part 2, Schedule 1; Section 6, 7, 9, 13, 16)		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/> <input type="radio"/>
Trucks/Tractors: Are Heating and Defrosting systems and Starting switch items covered by the Program? (AR121/2009 Schedule 2, Section 25, 26 and NSC Standard 13 Part 2, Schedule 1; Section 15)		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/> <input type="radio"/>
Trucks/Tractors: Are Lamps and Reflector items covered by the Program? (AR121/2009 Schedule 2, Section 27 and NSC Standard 13 Part 2, Schedule 1; Section 18)		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/> <input type="radio"/>
Trucks/Tractors: Are Tire and Wheel items covered by the Program? (AR121/2009 Schedule 2, Section 28, 29 and NSC Standard 13 Part 2, Schedule 1; Section 21, 22)		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/> <input type="radio"/>
Trucks/Tractors: Is Lubrication covered by the Program? (AR121/2009 Schedule 2, Section 30)		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/> <input type="radio"/>

Trucks/Tractors: Are Fifth Wheel Coupling Device items covered by the Program? (AR121/2009 Schedule 2, Section 31 and NSC Standard 13 Part 2, Schedule 1; Section 4)	<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Trucks/Tractors: Are Cargo Securement and Dangerous Goods items covered by the Program? (AR121/2009 Section 6(3)(b); NSC Standard 13 Part 2, Schedule 1; Section 3, 5)	<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Trailers: Are Body, Chassis frame, Body frame, Sliding subframe, and Underbody items covered by the Program? (AR121/2009 Schedule 2, Section 1 - 6 and NSC Standard 13 Part 2, Schedule 1; Section 2, 11)	<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Trailers: Are Fuel and Exhaust items covered by the Program? (AR121/2009 Schedule 2, Section 8, 9 and NSC Standard 13 Part 2, Schedule 1; Section 10, 12)	<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Trailers: Are Friction components, Hydraulic and vacuum-assisted brake components, Mechanical components, Air brake system, Brake system items covered by the Program? (AR121/2009 Schedule 2, Section 10 - 16 and NSC Standard 13 Part 2, Schedule 1; Section 1, 8, 17)	<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Trailers: Are Wheel alignment and C-Dolly Steering items covered by the Program? (AR121/2009 Schedule 2, Section 19, 20 and NSC Standard 13 Part 2, Schedule 1; Section 19)	<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Trailers: Are Suspension system items covered by the Program? (AR121/2009 Schedule 2, Section 22 and NSC Standard 13 Part 2, Schedule 1; Section 20)	<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Trailers: Are General requirements items covered by the Program? (AR121/2009 Schedule 2, Section 23 and NSC Standard 13 Part 2, Schedule 1; Section 13)	<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Trailers: Are Lamps and Reflector items covered by the Program? (AR121/2009 Schedule 2, Section 27 and NSC Standard 13 Part 2, Schedule 1; Section 18)	<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Trailers: Are Tire and Wheel items covered by the Program? (AR121/2009 Schedule 2, Section 28, 29 and NSC Standard 13 Part 2, Schedule 1; Section 21, 22)	<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Trailers: Is Lubrication covered by the Program? (AR121/2009 Schedule 2, Section 30)	<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Trailers: Are Fifth Wheel Coupling Device items covered by the Program? (AR121/2009 Schedule 2, Section 31 and NSC Standard 13 Part 2, Schedule 1; Section 4)	<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Trailers: Are Trailer Hitch, Trailer Mount, and Connecting Device items covered by the Program? (AR121/2009 Schedule 2, Section 31, 32 and NSC Standard 13 Part 2, Schedule 1; Section 4)	<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Trailers: Is Rear Impact Guard covered by the Program? (AR121/2009 Schedule 2, Section 33)	<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Motor Coach: Does the written Maintenance and Inspection Program include instruction on when to complete Under-vehicle trip inspections? (AR121/2009 Section 11(1) and (2))	<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>

Motor Coach: Does the written Maintenance and Inspection Program explain that under-vehicle trip inspections shall inspect the operating condition of the items specified in Schedule 4 of NSC Standard 13, Part 2? (AR121/2009 Section 11(3))	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
Motor Coach: Does the written Maintenance and Inspection Program explain/instruct that under-vehicle trip inspections must be conducted while the Motor Coach is positioned over a pit or raised in a manner that provides adequate access to all of the items? (AR121/2009 Section 11(4)(a))	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
Motor Coach: Does the written Maintenance and Inspection Program explain that only a Heavy Equipment Technician or a person meeting the requirements specified by the Registrar can conduct an under-vehicle inspection? (AR121/2009 Section 11(4))	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
Motor Coach: Are Body and Seat items covered by the Program? (AR121/2009 Schedule 2, Section 1 and NSC Standard 13 Part 2, Schedule 3; Section 5, 7, 10, 17)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
Motor Coach: Are Chassis frame, Body frame, Sliding subframe Underbody, and Drive shaft items covered by the Program? (AR121/2009 Schedule 2, Section 2 - 6 and NSC Standard 13 Part 2, Schedule 4; Section 3)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
Motor Coach: Are Windows, Mirrors, Rear view mirrors, Windshield wipers, and Washer items covered by the Program? (AR121/2009 Schedule 2, Section 7, 24 and AR122/2009 Section 73, 74, 75 and NSC Standard 13 Part 2, Schedule 3; Section 13, 22)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
Motor Coach: Are Fuel and Exhaust items covered by the Program? (AR121/2009 Schedule 2, Section 8, 9 and NSC Standard 13 Part 2, Schedule 3; Section 9, 11 and NSC Standard 13 Part 2, Schedule 4; Section 2, 4)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
Motor Coach: Are Friction components, Hydraulic and vacuum-assisted brake components, Mechanical components, Brake Pedal, Air brake system, Park Brake, and Brake sytem items covered by the Program? (AR121/2009 Schedule 2, Section 10 - 16 and NSC Standard 13 Part 2, Schedule 3; Section 2 and NSC Standard 13 Part 2, Schedule 4; Section 1)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
Motor Coach: Are Engine Control, Driver Controls, Steering column, Wheel alignment, and Steering linkage items covered by the Program? (AR121/2009 Schedule 2, Section 17, 18, 19, 21 and NSC Standard 13 Part 2, Schedule 3; Section 6, 18 and NSC Standard 13 Part 2, Schedule 4; Section 5)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
Motor Coach: Are Suspension system items covered by the Program? (AR121/2009 Schedule 2, Section 22 and NSC Standard 13 Part 2, Schedule 3; Section 19 and NSC Standard 13 Part 2, Schedule 4; Section 6)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>

Motor Coach: Are General requirements and Accessibility device items covered by the Program? (AR121/2009 Schedule 2, Section 23 and NSC Standard 13 Part 2, Schedule 3; Section 1, 15)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Motor Coach: Are Heating and Defrosting systems and Starting Switch items covered by the Program? (AR121/2009 Schedule 2, Section 25, 26 and NSC Standard 13 Part 2, Schedule 3; Section 14)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Motor Coach: Are Lamps and Reflector items covered by the Program? (AR121/2009 Schedule 2, Section 27 and NSC Standard 13 Part 2, Schedule 3; Section 15)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Motor Coach: Are Tire and Wheel items covered by the Program? (AR121/2009 Schedule 2, Section 28, 29 and NSC Standard 13 Part 2, Schedule 3; Section 20, 21 and NSC Standard 13 Part 2, Schedule 4; Section 7, 8)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Motor Coach: Is Lubrication covered by the Program? (AR121/2009 Schedule 2, Section 30)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Motor Coach: Are Connecting and Coupling device items covered by the Program? (AR121/2009 Section 6(3) and NSC Standard 13 Part 2, Schedule 3; Section 3)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Motor Coach: Is Cleanliness, General Prohibitions, Fuel, Luggage, and Cargo Transportation, Dangerous goods requirement items covered by the Program? (AR121/2009 Schedule 2, Section 11, 13, 14, 15, and NSC Standard 13 Part 2, Schedule 3; Section 4, 12)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Motor Coach: Are Advance warning triangles, First aid kit, Fire extinguishers, Emergency equipment, and Safety device items covered by the Program? (AR121/2009 Schedule 1, Section 4, 16(1)(a), 17 and NSC Standard 13 Part 2, Schedule 3; Section 8)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
School Bus: Are Body, Seats, and Bumpers covered by the Program? (AR121/2009 Schedule 2, Section 1(1), (2) and Schedule 5, Division 2, Section 9, 13, 25, 29 and AR122/2009 Section 93 and NSC Standard 13 Part 2, Schedule 2; Section 6, 8, 20)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
School Bus: Are Instruments, Instrument panel, Colour, and Gauges covered by the Program? (AR121/2009 Schedule 5, Section 2, 4 and AR122/2009 Section 94 and NSC Standard 13 Part 2 Schedule 2; Section 7)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
School Bus: Are Chassis frame, Body frame, Sliding subframe, Underbody, and Drive shaft items covered by the Program? (AR121/2009 Schedule 2, Section 2 - 6 and Schedule 5, Division 2, Section 22, 24 and NSC Standard 13 Part 2, Schedule 2; Section 12)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
School Bus: Are Windows, Mirrors, Rear view mirrors, Emergency exits, Windshield wipers, and Washer items covered by the Program? (AR121/2009 Schedule 2, Section 7(1) and (2), 24 and Schedule 1, Section 10 and Schedule 5, Division 2, Section 21 and AR122/2009 Section 73, 74, 75, 92 and NSC Standard 13 Part 2, Schedule 2; Section 15)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

School Bus: Are Fuel and Exhaust items covered by the Program? (AR121/2009 Schedule 2, Section 8, 9 and Schedule 5, Division 1, Section 3 and NSC Standard 13 Part 2, Schedule 2; Section 11, 13)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
School Bus: Are Friction components, Hydraulic and vacuum-assisted brake components, Mechanical components, Brake Pedal, Air brake system, Park Brake, and Brake sytem items covered by the Program? (AR121/2009 Schedule 2, Section 10 - 16 and NSC Standard 13 Part 2, Schedule 2; Section 2, 9, 18)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
School Bus: Are Engine Control, Steering column, Wheel alignment, and Steering linkage items covered by the Program? (AR121/2009 Schedule 2, Section 17, 18, 19, 21 and Schedule 5, Division 1, Section 5 and NSC Standard 13 Part 2, Schedule 2; Section 21)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
School Bus: Are Suspension system items covered by the Program? (AR121/2009 Schedule 2, Section 22 and NSC Standard 13 Part 2, Schedule 2; Section 22)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
School Bus: Are General requirements and Accessibility device items covered by the Program? (AR121/2009 Schedule 2, Section 23 and NSC Standard 13 Part 2, Schedule 2; Section 1, 17)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
School Bus: Are Emergency Equipment and Safety Equipment/Device items covered by the Program? (AR121/2009 Schedule 5, Division 2, Section 12 and Schedule 1, Section 4, 16, 17 and NSC Standard 13 Part 2, Schedule 2; Section 10)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
School Bus: Are Heating and Defrosting systems and Starting Switch items covered by the Program? (AR121/2009 Schedule 2, Section 25, 26 and Schedule 5, Division 2, Section 14 and NSC Standard 13 Part 2, Schedule 2; Section 16)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
School Bus: Are Lamps and Reflector items covered by the Program? (AR121/2009 Schedule 2, Section 27 and Schedule 5, Division 2, Section 17 - 20 and NSC Standard 13 Part 2, Schedule 2; Section 19)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
School Bus: Are Tire and Wheel items covered by the Program? (AR121/2009 Schedule 2, Section 28, 29 and Schedule 5, Division 1, Section 6 and NSC Standard 13 Part 2, Schedule 2; Section 23, 24)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
School Bus: Is Lubrication covered by the Program? (AR121/2009 Schedule 2, Section 30)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
School Bus: Are Connecting and Coupling device items covered by the Program? (AR121/2009 Section 6(3) NSC Standard 13 Part 2, Schedule 2; Section 4)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
School Bus: Are Stop arm, Crossing arm, Flashing lamps, Strobe lamp, Retro reflective markings covered by the Program? (AR121/2009 Schedule 5, Division 2, Section 27, 28 and AR122/2009 Section 90, 91)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>

School Bus: Are Driver controls and Driver seat items covered by the Program? (AR121/2009 6(3)(b); NSC Standard 13 Part 2, Schedule 2; Section 7, 8)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
School Bus: Are General prohibitions, Cleanliness, Fuel, Luggage, Cargo, Goods, Equipment, and Signage covered by the Program? (AR121/2009 Schedule 1, Section 11, 13, 14, 15 and Schedule 5, Division 1, Section 15 and NSC Standard 13 Part 2, Schedule 2; Section 14)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
School Bus: Are Advance warning triangles, First aid kit, Fire extinguishers, Emergency equipment and Safety device items covered by the Program? (AR121/2009 Schedule 1, Section 4, 16(1)(b), 17 and NSC Standard 13 Part 2, Schedule 2; Section 10)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
School Bus: Are Undercoating, Ventilation, Cargo securement, and Dangerous goods items covered by the Program? (AR121/2009 Schedule 5, Division 2, Section 30, 31 and NSC Standard 13 Part 2, Schedule 2; Section 3, 5)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
School Bus: If equipped for the purpose of transporting persons with physical disabilities, are all Mobility Aid Securement Devices covered by the Program? (AR121/2009 Schedule 3, Section 1)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
School Bus: If equipped for the purpose of transporting persons with physical disabilities, are Ramps and Lifts General Requirements covered by the Program? (AR121/2009 Schedule 3, Section 2, 7)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
School Bus: If equipped for the purpose of transporting persons with physical disabilities, are Ramp and Lift Controls covered by the Program? (AR121/2009 Schedule 3, Section 3)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
School Bus: If equipped for the purpose of transporting persons with physical disabilities, are Lift Capacity and Lift Platform requirements covered by the Program? (AR121/2009 Schedule 3, Section 4 and 5)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
School Bus: If equipped for the purpose of transporting persons with physical disabilities, is Warning Notices covered by the Program? (AR121/2009 Schedule 3, Section 6)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
School Bus: If equipped for the purpose of transporting persons with physical disabilities, are Symbols covered by the Program? (AR121/2009 Schedule 3, Section 9)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
School Bus: If unit is a Handi-Bus or equipped for the purpose of transporting persons with physical disabilities, is Masor System requirements covered by the Program? (AR121/2009 Schedule 5, Section 1 and Schedule 4, Section 2 and 3)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
School Bus: If unit is a Handi-Bus or equipped for the purpose of transporting persons with physical disabilities, are Mobility Aid and Occupant Restraint requirements covered by the Program? (AR121/2009 Schedule 5, Section 1 and Schedule 4, Section 4)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

School Bus: If unit is a Handi-Bus or equipped for the purpose of transporting persons with physical disabilities, are Protective Material items covered by the Program? (AR121/2009 Schedule 5, Section 1 and Schedule 4, Section 5)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
School Bus: If unit is a Handi-Bus or equipped for the purpose of transporting persons with physical disabilities, are Signs covered by the Program? (AR121/2009 Schedule 5, Section 1 and Schedule 4, Section 14)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
School Bus: If unit is a Handi-Bus, are Protective Materials, Exhaust System and Rear Bumper items covered by the Program? (AR121/2009 Schedule 4, Sections 6, 7)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
School Bus: If unit is a Handi-Bus, are Doors and Steps covered by the Program? (AR121/2009 Schedule 4, Sections 8, 9)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
School Bus: If unit is a Handi-Bus, are Additional Lighting and Floor Covering items covered by the Program? (AR121/2009 Schedule 4, Sections 10, 11)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
School Bus: If unit is a Handi-Bus, are Seats, Emergency Equipment items covered by the Program? (AR121/2009 Schedule 4, Sections 12, 13)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other Bus: Are Body and Seat items covered by the Program? (AR121/2009 Schedule 2, Section 1(1), (2) and NSC Standard 13 Part 2, Schedule 2; Section 6, 8, 20)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other Bus: Are Chassis frame, Body frame, Sliding subframe, Underbody, and Drive Shaft items covered by the Program? (AR121/2009 Schedule 2, Section 2 - 6 and NSC Standard 13 Part 2, Schedule 2; Section 12)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other Bus: Are Windows, Mirrors, Windshield Wipers and Washer, and Emergency exit items covered by the Program? (AR121/2009 Schedule 2, Section 7(1) and (2), 24 and Schedule 1, Section 10 and NSC Standard 13 Part 2, Schedule 2; Section 15)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other Bus: Are Fuel and Exhaust items covered by the Program? (AR121/2009 Schedule 2, Section 8, 9 and NSC Standard 13 Part 2, Schedule 2; Section 11, 13)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other Bus: Are Friction components, Hydraulic and vacuum-assisted brake components, Mechanical components, Brake Pedal, Air brake system, Park Brake, and Brake system items covered by the Program? (AR121/2009 Schedule 2, Section 10 - 16 and NSC Standard 13 Part 2, Schedule 2; Section 2, 9, 18)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other Bus: Are Engine Control, Steering column, Wheel alignment, and Steering linkage items covered by the Program? (AR121/2009 Schedule 2, Section 17, 18, 19, 21 and NSC Standard 13 Part 2, Schedule 2; Section 21)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other Bus: Are Suspension system items covered by the Program? (AR121/2009 Schedule 2, Section 22 and NSC Standard 13 Part 2, Schedule 2; Section 22)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Other Bus: Are General requirements, Accessibility device items covered by the Program? (AR121/2009 Schedule 2, Section 23 and NSC Standard 13 Part 2, Schedule 2; Section 1, 17)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other Bus: Are Heating and Defrosting systems and Starting Switch items covered by the Program? (AR121/2009 Schedule 2, Section 25, 26 and NSC Standard 13 Part 2, Schedule 2; Section 16)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other Bus: Are Lamps and Reflector items covered by the Program? (AR121/2009 Schedule 2, Section 27 and NSC Standard 13 Part 2, Schedule 2; Section 19)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other Bus: Are Driver Controls and Driver Seat items covered by the Program? (AR121/2009 Section 6(3); NSC Standard 13 Part 2, Schedule 2; Section 7, 8)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other Bus: Are Tire and Wheel items covered by the Program? (AR121/2009 Schedule 2, Section 28, 29 and NSC Standard 13 Part 2, Schedule 2; Section 23, 24)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other Bus: Is Lubrication covered by the Program? (AR121/2009 Schedule 2, Section 30)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other Bus: Are Connecting and Coupling device items covered by the Program? (AR121/2009 Section 6(3)(b), NSC Standard 13 Part 2, Schedule 2; Section 4)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other Bus: Are Cleanliness, General Prohibitions, Fuel, Luggage, Cargo, Goods, Equipment, Cargo Securement, and Dangerous Goods covered by the Program? (AR121/2009 Schedule 1, Section 11, 13, 14 15 and NSC Standard 13 Part 2, Schedule 2; Section 1, 3, 5, 14)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other Bus: Are Advance warning triangles, First aid kit, Fire extinguishers, Emergency equipment, and Safety equipment items covered by the Program? (AR121/2009 Schedule 1, Section 4, 16(1)(a), 17 and NSC Standard 13 Part 2, Schedule 2; Section 10)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other Bus: If equipped for the purpose of transporting persons with physical disabilities, are all Mobility Aid Securement Devices covered by the Program? (AR121/2009 Schedule 3, Section 1)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other Bus: If equipped for the purpose of transporting persons with physical disabilities, are Ramps and Lifts General Requirements covered by the Program? (AR121/2009 Schedule 3, Section 2, 7)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other Bus: If equipped for the purpose of transporting persons with physical disabilities, are Ramp and Lift Controls covered by the Program? (AR121/2009 Schedule 3, Section 3)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other Bus: If equipped for the purpose of transporting persons with physical disabilities, are Lift Capacity and Lift Platform requirements covered by the Program? (AR121/2009 Schedule 3, Section 4 and 5)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Other Bus: If equipped for the purpose of transporting persons with physical disabilities, is Warning Notices covered by the Program? (AR121/2009 Schedule 3, Section 6)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
Other Bus: If equipped for the purpose of transporting persons with physical disabilities, are Symbols covered by the Program? (AR121/2009 Schedule 3, Section 9)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
Other Bus: If unit is a Handi-Bus, is Masor System requirements covered by the Program? (AR121/2009 Schedule 4, Sections 2, 3)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
Other Bus: If unit is a Handi-Bus, are Mobility Aid and Occupant Restraint requirements covered by the Program? (AR121/2009 Schedule 4, Sections 4)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
Other Bus: If unit is a Handi-Bus, are Protective Material items covered by the Program? (AR121/2009 Schedule 4, Sections 5)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
Other Bus: If unit is a Handi-Bus, are Exhaust System and Rear Bumper items covered by the Program? (AR121/2009 Schedule 4, Sections 6, 7)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
Other Bus: If unit is a Handi-Bus, are Doors and Steps covered by the Program? (AR121/2009 Schedule 4, Sections 8, 9)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
Other Bus: If unit is a Handi-Bus, are Additional Lighting and Floor Covering items covered by the Program? (AR121/2009 Schedule 4, Sections 10, 11)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
Other Bus: If unit is a Handi-Bus, are Seats, Emergency Equipment items covered by the Program? (AR121/2009 Schedule 4, Sections 12, 13)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
Other Bus: If unit is a Handi-Bus, are Signs covered by the Program? (AR121/2009 Schedule 4, Sections 14)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="radio"/>
Total Violation Points:			0 of 14	

Summary Comments:

Vehicle Details

Licence Plate: 198476

Unit Number: 1

Jurisdiction: Alberta

Registered Weight (KG): 23600

VIN: 091827

Bus Seating Capacity:

Vehicle Type: Truck

Leased?:

Vehicle Make: International

Leasor Name:

Manufacture Year: 2010

In Service Date: 30 May 2010

Operating Area: Canada Only

Comment:

Vehicle File

Question	Comment	Required?	Y	N	N/A	Points
Does the individual vehicle file contain the following: make, year, unit number, the manufacturer's serial number, or a similar identifying mark? (AR121/2009 Section 37(2) (a)(i - iii))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Can the carrier produce Trip Inspection reports as required? (AR121/2009 Section 37 (2)(d))	<i>Missing.</i>	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	3
Can the carrier produce repair records each recorded with: date; vehicle identification; nature of work performed; and, if equipped; odometer/hour meter/hubometer reading? (AR121/2009 Section 37(2)(b)(i) and (ii))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Can the carrier produce lubrication records each recorded with: date; vehicle identification; nature of work performed; and, if equipped, one of the following; odometer reading, or hour meter reading, or hubometer reading? (AR121/2009 Section 37(2)(b)(i) and (ii))	<i>Incomplete.</i>	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	3
Can the carrier produce scheduled maintenance records each recorded with: date; vehicle identification; nature of work performed; and, if equipped, one of the following; odometer reading, or hour meter reading, or hubometer reading? (AR121/2009 Section 37(2)(b)(i) and (ii))	<i>Incomplete.</i>	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	3
Have all notices of defects received from the manufacturer and the corrective work done on the vehicle in relation to those notices been recorded (Manufacturer Recalls)? (AR121/2009 Section 37(2)(c))		<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	
Does the individual vehicle file contain records of all CVIP Inspection certificates and completed "Record of Inspection" forms related to each CVIP done on vehicle? (AR121/2009 Section 37(2)(b))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Are notices of defect(s) being recorded when a defect is identified? (AR121/2009 Section 10(8) and 14 and 15)	<i>Missing.</i>	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	3

Are all required records maintained as true, accurate, and legible? (AR121/2009 Section 37(4))

Does the individual vehicle file contain records of CVSA Commercial Vehicle Inspection Reports, as required? (Non-regulated)

Total Violation Points: 12 of 29

Summary Comments:

Unit #: 1		CVIP Inspection		Plate: 198476
Inspection Number	Inspection Date	Jurisdiction	Comment	
CV112460	30 May 2013	Alberta		
CV112470	20 Jul 2012	Alberta		
CV112480	30 May 2011	Alberta		
CV112490	30 May 2010	Alberta		

Summary Comments:

Recommend a recall system to ensure no missing or gaps between CVIP inspections.

Vehicle Details

Licence Plate: 173696

Unit Number: 2

Jurisdiction: Alberta

Registered Weight (KG): 23600

VIN: 081326

Bus Seating Capacity:

Vehicle Type: Truck

Leased?:

Vehicle Make: International

Leasor Name:

Manufacture Year: 2011

In Service Date: 10 Jun 2011

Operating Area: Canada Only

Comment:

Vehicle File

Question	Comment	Required?	Y	N	N/A	Points
Does the individual vehicle file contain the following: make, year, unit number, the manufacturer's serial number, or a similar identifying mark? (AR121/2009 Section 37(2) (a)(i - iii))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Can the carrier produce Trip Inspection reports as required? (AR121/2009 Section 37 (2)(d))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Can the carrier produce repair records each recorded with: date; vehicle identification; nature of work performed; and, if equipped; odometer/hour meter/hubometer reading? (AR121/2009 Section 37(2)(b)(i) and (ii))	<i>Incomplete.</i>	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	3
Can the carrier produce lubrication records each recorded with: date; vehicle identification; nature of work performed; and, if equipped, one of the following; odometer reading, or hour meter reading, or hubometer reading? (AR121/2009 Section 37(2)(b)(i) and (ii))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Can the carrier produce scheduled maintenance records each recorded with: date; vehicle identification; nature of work performed; and, if equipped, one of the following; odometer reading, or hour meter reading, or hubometer reading? (AR121/2009 Section 37(2)(b)(i) and (ii))	<i>Missing.</i>	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	3
Have all notices of defects received from the manufacturer and the corrective work done on the vehicle in relation to those notices been recorded (Manufacturer Recalls)? (AR121/2009 Section 37(2)(c))		<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	
Does the individual vehicle file contain records of all CVIP Inspection certificates and completed "Record of Inspection" forms related to each CVIP done on vehicle? (AR121/2009 Section 37(2)(b))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Are notices of defect(s) being recorded when a defect is identified? (AR121/2009 Section 10(8) and 14 and 15)		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	

Are all required records maintained as true, accurate, and legible? (AR121/2009 Section 37(4))

Does the individual vehicle file contain records of CVSA Commercial Vehicle Inspection Reports, as required? (Non-regulated)

Total Violation Points: 6 of 29

Summary Comments:

Unit #: 2		CVIP Inspection		Plate: 173696
Inspection Number	Inspection Date	Jurisdiction	Comment	
CV112570	20 Aug 2013	Alberta		
CV112580	10 Jun 2012	Alberta		
CV112590	10 Jun 2011	Alberta		

Summary Comments:

Vehicle Details

Licence Plate: 129483

Unit Number: 3

Jurisdiction: Alberta

Registered Weight (KG): 22600

VIN: 135857

Bus Seating Capacity:

Vehicle Type: Truck

Leased?:

Vehicle Make: International

Leasing Name:

Manufacture Year: 2012

In Service Date: 20 Jul 1012

Operating Area: Canada Only

Comment:

Vehicle File

Question	Comment	Required?	Y	N	N/A	Points
Does the individual vehicle file contain the following: make, year, unit number, the manufacturer's serial number, or a similar identifying mark? (AR121/2009 Section 37(2) (a)(i - iii))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Can the carrier produce Trip Inspection reports as required? (AR121/2009 Section 37 (2)(d))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Can the carrier produce repair records each recorded with: date; vehicle identification; nature of work performed; and, if equipped; odometer/hour meter/hubometer reading? (AR121/2009 Section 37(2)(b)(i) and (ii))		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Can the carrier produce lubrication records each recorded with: date; vehicle identification; nature of work performed; and, if equipped, one of the following; odometer reading, or hour meter reading, or hubometer reading? (AR121/2009 Section 37(2)(b)(i) and (ii))	<i>Incomplete.</i>	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	3
Can the carrier produce scheduled maintenance records each recorded with: date; vehicle identification; nature of work performed; and, if equipped, one of the following; odometer reading, or hour meter reading, or hubometer reading? (AR121/2009 Section 37(2)(b)(i) and (ii))	<i>Incomplete.</i>	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	3
Have all notices of defects received from the manufacturer and the corrective work done on the vehicle in relation to those notices been recorded (Manufacturer Recalls)? (AR121/2009 Section 37(2)(c))		<input checked="" type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	
Does the individual vehicle file contain records of all CVIP Inspection certificates and completed "Record of Inspection" forms related to each CVIP done on vehicle? (AR121/2009 Section 37(2)(b))	<i>2012 only.</i>	<input checked="" type="checkbox"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	5
Are notices of defect(s) being recorded when a defect is identified? (AR121/2009 Section 10(8) and 14 and 15)		<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	

Are all required records maintained as true, accurate, and legible? (AR121/2009 Section 37(4))

Does the individual vehicle file contain records of CVSA Commercial Vehicle Inspection Reports, as required? (Non-regulated)

Total Violation Points: 11 of 29

Summary Comments:

Unit #: 3 CVIP Inspection Plate: 129483

Inspection Number	Inspection Date	Jurisdiction	Comment
CV112690	20 Jul 2012	Alberta	

Summary Comments:

Summary CVIP Information

VIN	Plate	Inspection Number	Inspection Date	Comment
081326	173696	CV112590	10 Jun 2011	
081326	173696	CV112580	10 Jun 2012	
081326	173696	CV112570	20 Aug 2013	
091827	198476	CV112490	30 May 2010	
091827	198476	CV112480	30 May 2011	
091827	198476	CV112470	20 Jul 2012	
091827	198476	CV112460	30 May 2013	
135857	129483	CV112690	20 Jul 2012	

Assessment of Regulatory Compliance
SUMMARY AUDIT REPORT

Carrier: ABC Trucking Ltd

Operating Name:

Principle Address:

8537-129th Street NE
Calgary, Alberta
T4N 1V0

Mailing Address:

8537-129th Street NE
Calgary, Alberta
T4N 1V0

Principle Phone: 403-213-0819 **Ext:**

Principle Fax: 403-202-7564

Alberta NSC #: AB012-3456

Operating Status: Federal

Audit End Date: 19 Feb 2015

CVIP Station #:

Primary Industry: Transportation

Primary Commodity: Retail Products

Mailing Phone: 403-213-0819 **Ext:**

Mailing Fax: 403-202-7564

Safety Rating: Satisfactory, Unaudited

Email:

Secondary Industry:

Secondary Commodity:

of NSC Registered Vehicles:

Trucks:	Tractors:	Trailers:	Buses 11 or More:
3	0	0	0

of NSC Drivers: 3

Driver Sample Size: 3

Drivers Sampled: 3

Vehicle Sample Size: 3

Vehicles Sampled: 3

Auditor: Guest, User

Phone:

Fax:

Contract Number:

Safety Permits

Permit Number	Type	Effective Date	Expiry Date	Comment
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No Data Entered

Summary Comments:

SFC Details

NSC / US DOT Number	Jurisdiction	Effective Date	Safety Rating	Comment
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AB012-3456	Alberta	01 Apr 2000	Satisfactory, Unaudited	
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Summary Comments:

Operating Status History

Operating Status	Operating Status Valid	Effective Date	Comments
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Federal	<input checked="" type="checkbox"/>	01 Apr 2000	
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Carrier Contact

MVID	Contact Name / Title	Audit Role	Phone Number (Ext.)	Fax Number
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0000-99999	Catchem, Bill / owner	Carrier Safety Officer	403-213-0819	403-202-7564
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Comments:

Email:

Summary Comments:

Summary by Subject Area		
Safety		
	Worksheet Weight	Weighted Score
Carrier Safety	8%	3.64%
Safety Program	90%	48.26%
Financial Responsibility	0%	0.00%
Dangerous Goods	1%	0.00%
Collisions	1%	0.00%
Subject Area Weight(%): 10%		Subject Area % in Violation (Weighted): 5.19%
Driver		
	Worksheet Weight	Weighted Score
Driver Compliance	40%	15.00%
Driver File	60%	34.55%
Subject Area Weight(%): 30%		Subject Area % in Violation (Weighted): 14.86%
Hours of Service		
	Worksheet Weight	Weighted Score
Hours of Service	33%	25.38%
HOS - Daily Questions	67%	61.42%
Subject Area Weight(%): 30%		Subject Area % in Violation (Weighted): 26.04%
Vehicle		
	Worksheet Weight	Weighted Score
Inspection, Repair, Maintenance	10%	0.00%
Maintenance Program: All Vehicles	20%	2.35%
Maintenance Program: Specific Vehicle	10%	0.00%
Vehicle File	60%	20.00%
Subject Area Weight(%): 30%		Subject Area % in Violation (Weighted): 6.71%
Audit Score:		52.80%
Audit Level:		Level 4

Action Plan

Comment	Follow-up Required	Follow-up Date
Carrier Safety: Update and implement written safety program that addresses all regulatory requirements and any identified deficiencies contained within the audit report.	<input checked="" type="checkbox"/>	30 Apr 2014
Insurance:	<input type="checkbox"/>	
Driver Records:	<input type="checkbox"/>	
Commercial Vehicle Inspection Program:	<input type="checkbox"/>	
Preventative Maintenance Program:	<input type="checkbox"/>	
Vehicle Records:	<input type="checkbox"/>	
Hours of Service:	<input type="checkbox"/>	
Dangerous Goods:	<input type="checkbox"/>	

Comments:

Carrier Comments

Comments:

Violation Summary

Safety Area Area Weight %: 10 % In Violation (weighted): 5.19 %

Carrier Safety Weight %: 8 % In Violation (not weighted): 45.45 %

Regulated Question(s) in violation	Points
Does the carrier have a designated person (Safety Officer) to maintain and implement the safety program and ensure compliance with safety laws? (AR314/2002 Section 40(2)(a) and (b))	5
Worksheet Total Points: 5 of 11	

Summary Comments:

Safety Program Weight %: 90 % In Violation (not weighted): 53.62 %

Regulated Question(s) in violation	Points
Is proper records and recording of information including, as required; bills of lading, manifests, dangerous goods documents, time records, driver's daily logs, and weigh slips written into the Safety Program? (AR314/2002 Section 40(1)(b))	2
Is compliance with the law by drivers written into the Safety Program? (AR314/2002 Section 40(1)(c))	2
Is evaluating employees driving skills written into the Safety Program? (AR314/2002 Section 40(1)(e))	2
Is retention of complete records for drivers written into the Safety Program? (AR314/2002 Section 40(1)(f))	2
Is ensuring all drivers are properly qualified for the type of vehicle they operate written into the Safety Program? (AR314/2002 Section 40(1)(g))	4
Does the written Safety Program instruct and explain that no one shall operate or permit another person to operate a commercial vehicle if the vehicle or its equipment is in a condition that is likely to cause danger to person or property? (AR121/2009 Section 3)	5
Does the carrier instruct or arrange for training of all drivers for Hours of Service requirements, as required? (AR314/2002 Section 40(1)(c) & (e))	5
Does the carrier instruct or arrange for training of all drivers for Trip Inspection requirements, as required? (AR314/2002 Section 40(1)(c) & (e))	5
Does the carrier instruct or arrange for training of all drivers for load securement requirements, as required? (AR314/2002 Section 40(1)(c) & (e))	5
Does the carrier instruct or arrange for training of all drivers for all other applicable safety laws (including weights and dimensions, permit conditions, etc.), as required? (AR314/2002 Section 40(1)(c) & (e))	5

Worksheet Total Points: 37 of 69

Summary Comments:

Financial Responsibility Weight %: 0 % In Violation (not weighted): 0.00 %

Regulated Question(s) in violation	Points
No Questions in Violation	0

Worksheet Total Points: 0 of 0

Summary Comments:

Dangerous Goods Weight %: 1 % In Violation (not weighted): 0.00 %

Regulated Question(s) in violation	Points
No Questions in Violation	0

Worksheet Total Points: 0 of 4

Summary Comments:

Violation Summary

Driver Area Area Weight %: 30 % In Violation (weighted): 14.86 %

Driver Compliance Weight %: 40 % In Violation (not weighted): 37.50 %

Question(s) in violation	Points
Do drivers hold a valid operator's licence while driving the carrier's vehicles? (Traffic Safety Act Section 51(a))	10
Do drivers or authorized persons prepare Trip Inspection Reports, as required? (AR121/2009 Section 12(2))	5
Worksheet Total Points: 15 of 40	

Summary Comments:

Driver File Weight %: 60 % In Violation (not weighted): 57.58 %

Question(s) in violation	Points
Does the driver file contain a completed application form if hired after April 1, 1998? (AR314/2002 Section 41(1)(a))	
3 driver's files checked	2 violations found
2	
Does the driver file contain a copy of the driver's employment history for at least 3 years prior to working for the carrier if hired after April 1, 1998? (AR314/2002 Section 41(1)(d))	
3 driver's files checked	2 violations found
2	
Does the driver file contain a copy of the driver's abstract dated within 30 days of the date of employment or hire, if hired after May 20, 2003? (AR314/2002 Section 41(1)(b))	
3 driver's files checked	2 violations found
2	
Does the driver file contain an annually updated driver's abstract? (AR314/2002 Section 41(1)(c))	
3 driver's files checked	2 violations found
4	
Does the driver file contain a record of all collisions reportable to a Peace Officer involving a motor vehicle? (AR314/2002 Section 41(1)(g))	
3 driver's files checked	1 violations found
2	
Does the driver file contain a record of all training completed with respect to the operation of a commercial vehicle and compliance with safety laws? (AR314/2002 Section 41(1)(h))	
3 driver's files checked	3 violations found
6	

Does the driver file contain a copy of a valid training certificate issued under the Transport Dangerous Goods Control Regulations? (AR314/2002 Section 41(1)(i))

3 driver's files checked

1 violations found

1

Worksheet Total Points: 19 of 33

Violation Summary

Hours of Service Area Area Weight %: 30 % In Violation (weighted): 26.04 %

Hours of Service Weight %: 33 % In Violation (not weighted): 76.92 %

Question(s) in violation	Points
Can the carrier produce the prior 6 months records of duty status for drivers selected? (Provincial - AR317/2002 Sections 16(1) and 16(2); Federal - SOR2005-313 Section 85(3))	10
Does the carrier conduct internal monitoring of duty status records for completeness, accuracy, and hours compliance (federal carriers only)? (Federal - SOR2005-313 Section 87(1))	10
Does the carrier that determines that there has been non-compliance take immediate remedial action and record the dates non-compliance occurred, dates of issuance of a notice of non-compliance and the actions taken (federal carriers only)? (Federal - SOR2005-313 Section 87(2))	10

Worksheet Total Points: 30 of 39

Summary Comments:

HOS - Daily Questions Weight %: 67 % In Violation (not weighted): 91.67 %

Question(s) in violation	Points
Is there a daily log or time record when required? 3 driver's hours of service records checked 5 violations found	N/A
Is the daily log or time record true and accurate? 3 driver's hours of service records checked 7 violations found	N/A
Is the log current to the last change in duty status (Daily log only)? 3 driver's hours of service records checked 1 violations found	N/A
Daily - Log in compliance with the 13-hour "driving" rule? 3 driver's hours of service records checked 1 violations found	N/A
Daily - Log in compliance with the 14-hour "on duty" rule? 3 driver's hours of service records checked 3 violations found	N/A

Daily - Log in compliance with the 10-hour "off duty" rule?

3 driver's hours of service records checked 5 violations found N/A

Work shift - Log in compliance with the 13-hour "driving" rule?

3 driver's hours of service records checked 2 violations found N/A

Work shift - Log in compliance with the 14-hour "on duty" rule?

3 driver's hours of service records checked 5 violations found N/A

Work shift - Log in compliance with the 16-hour "elapsed time" rule?

3 driver's hours of service records checked 4 violations found N/A

Cycle 1 - Log in compliance with Cycle 1 requirements?

3 driver's hours of service records checked 4 violations found N/A

Are the Form and Manner requirements complete (Daily log only)?

3 driver's hours of service records checked 5 violations found N/A

Worksheet Total Points: N/A

Fatigue / Form And Manner Violations

Fatigue Violations

Total Days: 42

Total Days With Violations: 24

Violation Rate: 57.14 %

Form and Manner Violations

Total Days: 30

Total Days With Violations: 5

Violation Rate: 16.67 %

Primary HoS Supporting Doc: Payroll Records

Secondary HoS Supporting Doc:

Violation Summary

Vehicle Area Area Weight %: 30 % In Violation (weighted): 6.71 %

Maintenance Program: All Vehicles Weight %: 20 % In Violation (not weighted): 11.76 %

Question(s) in violation	Points
All Vehicles: Does the written Maintenance and Inspection Program pertain to all types of NSC commercial vehicles in the fleet? (AR121/2009 Section 6(1))	5
All Vehicles: Does the written Maintenance and Inspection Program cover the requirement to conduct Commercial Vehicle Inspection Program (CVIP) inspections (annually or semi-annually)? (AR121/2009 Section 6(3)(c))	1
Worksheet Total Points: 6 of 51	

Summary Comments:

Maintenance Program: Specific Veh Weight %: 10 % In Violation (not weighted): 0.00 %

Question(s) in violation	Points
No Questions in Violation	0
Worksheet Total Points: 0 of 14	

Summary Comments:

Vehicle File Weight %: 60 % In Violation (not weighted): 33.33 %

Question(s) in violation	Points
Can the carrier produce Trip Inspection reports as required? (AR121/2009 Section 37 (2)(d))	
3 Vehicle files checked	1 violations found 3
Can the carrier produce repair records each recorded with: date; vehicle identification; nature of work performed; and, if equipped; odometer/hour meter/hubometer reading? (AR121/2009 Section 37(2)(b)(i) and (ii))	
3 Vehicle files checked	1 violations found 3
Can the carrier produce lubrication records each recorded with: date; vehicle identification; nature of work performed; and, if equipped, one of the following; odometer reading, or hour meter reading, or hubometer reading? (AR121/2009 Section 37(2)(b)(i) and (ii))	
3 Vehicle files checked	2 violations found 6

Can the carrier produce scheduled maintenance records each recorded with: date; vehicle identification; nature of work performed; and, if equipped, one of the following; odometer reading, or hour meter reading, or hubometer reading? (AR121/2009 Section 37(2)(b)(i) and (ii))

3 Vehicle files checked	3 violations found	9
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Does the individual vehicle file contain records of all CVIP Inspection certificates and completed "Record of Inspection" forms related to each CVIP done on vehicle? (AR121/2009 Section 37(2)(b))

3 Vehicle files checked	1 violations found	5
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Are notices of defect(s) being recorded when a defect is identified? (AR121/2009 Section 10(8) and 14 and 15)

3 Vehicle files checked	1 violations found	3
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Worksheet Total Points:	29 of 87
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Carrier: ABC Trucking Ltd

Operating Name:

Principle Address:

8537-129th Street NE
Calgary, Alberta
T4N 1V0

Mailing Address:

8537-129th Street NE
Calgary, Alberta
T4N 1V0

Principle Phone: 403-213-0819 **Ext:**

Principle Fax: 403-202-7564

Alberta NSC #: AB012-3456

Operating Status: Federal

Audit End Date: 19 Feb 2015

CVIP Station #:

Primary Industry: Transportation

Primary Commodity: Retail Products

Mailing Phone: 403-213-0819 **Ext:**

Mailing Fax: 403-202-7564

Safety Rating: Satisfactory, Unaudited

Email:

Audit Reason: Other

Secondary Industry:

Secondary Commodity:

of NSC Registered Vehicles:

Trucks:	Tractors:	Trailers:	Buses 11 or More:
3	0	0	0

of NSC Drivers: 3

Driver Sample Size: 3

Drivers Sampled: 3

Vehicle Sample Size: 3

Vehicles Sampled: 3

Auditor: Guest, User

Phone:

Fax:

Contract Number:

Safety Permits

Permit Number	Type	Effective Date	Expiry Date	Comment
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No Data Entered

Summary Comments:

SFC Details

NSC / US DOT Number	Jurisdiction	Effective Date	Safety Rating	Comment
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AB012-3456	Alberta	01 Apr 2000	Satisfactory, Unaudited	
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Summary Comments:

Operating Status History

Operating Status	Operating Status Valid	Effective Date	Comments
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Federal	<input checked="" type="checkbox"/>	01 Apr 2000	
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Carrier Contact

MVID	Contact Name / Title	Audit Role	Phone Number (Ext.)	Fax Number
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0000-99999	Catchem, Bill / owner	Carrier Safety Officer	403-213-0819	403-202-7564
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Comments:

Email:

Summary Comments:

Summary by Subject Area		
Safety		
	Worksheet Weight	Weighted Score
Carrier Safety	8%	3.64%
Safety Program	90%	48.26%
Financial Responsibility	0%	0.00%
Dangerous Goods	1%	0.00%
Collisions	1%	0.00%
Subject Area Weight(%): 10%		Subject Area % in Violation (Weighted): 5.19%
Driver		
	Worksheet Weight	Weighted Score
Driver Compliance	40%	15.00%
Driver File	60%	34.55%
Subject Area Weight(%): 30%		Subject Area % in Violation (Weighted): 14.86%
Hours of Service		
	Worksheet Weight	Weighted Score
Hours of Service	33%	25.38%
HOS - Daily Questions	67%	61.42%
Subject Area Weight(%): 30%		Subject Area % in Violation (Weighted): 26.04%
Vehicle		
	Worksheet Weight	Weighted Score
Inspection, Repair, Maintenance	10%	0.00%
Maintenance Program: All Vehicles	20%	2.35%
Maintenance Program: Specific Vehicle	10%	0.00%
Vehicle File	60%	20.00%
Subject Area Weight(%): 30%		Subject Area % in Violation (Weighted): 6.71%
Audit Score:		52.80%
Audit Level:		Level 4

Action Plan

Comment	Follow-up Required	Follow-up Date
Carrier Safety: Update and implement written safety program that addresses all regulatory requirements and any identified deficiencies contained within the audit report.	<input checked="" type="checkbox"/>	30 Apr 2014
Insurance:	<input type="checkbox"/>	
Driver Records:	<input type="checkbox"/>	
Commercial Vehicle Inspection Program:	<input type="checkbox"/>	
Preventative Maintenance Program:	<input type="checkbox"/>	
Vehicle Records:	<input type="checkbox"/>	
Hours of Service:	<input type="checkbox"/>	
Dangerous Goods:	<input type="checkbox"/>	

Comments:

Internal Auditor Comments

Auditor: Guest, User

Comments:

Carrier Comments

Comments:

Violation Summary

Safety Area Area Weight %: 10 % In Violation (weighted): 5.19 %

Carrier Safety Weight %: 8 % In Violation (not weighted): 45.45 %

Regulated Question(s) in violation	Points
Does the carrier have a designated person (Safety Officer) to maintain and implement the safety program and ensure compliance with safety laws? (AR314/2002 Section 40(2)(a) and (b))	5
Worksheet Total Points: 5 of 11	

Summary Comments:

Safety Program Weight %: 90 % In Violation (not weighted): 53.62 %

Regulated Question(s) in violation	Points
Is proper records and recording of information including, as required; bills of lading, manifests, dangerous goods documents, time records, driver's daily logs, and weigh slips written into the Safety Program? (AR314/2002 Section 40(1)(b))	2
Is compliance with the law by drivers written into the Safety Program? (AR314/2002 Section 40(1)(c))	2
Is evaluating employees driving skills written into the Safety Program? (AR314/2002 Section 40(1)(e))	2
Is retention of complete records for drivers written into the Safety Program? (AR314/2002 Section 40(1)(f))	2
Is ensuring all drivers are properly qualified for the type of vehicle they operate written into the Safety Program? (AR314/2002 Section 40(1)(g))	4
Does the written Safety Program instruct and explain that no one shall operate or permit another person to operate a commercial vehicle if the vehicle or its equipment is in a condition that is likely to cause danger to person or property? (AR121/2009 Section 3)	5
Does the carrier instruct or arrange for training of all drivers for Hours of Service requirements, as required? (AR314/2002 Section 40(1)(c) & (e))	5
Does the carrier instruct or arrange for training of all drivers for Trip Inspection requirements, as required? (AR314/2002 Section 40(1)(c) & (e))	5
Does the carrier instruct or arrange for training of all drivers for load securement requirements, as required? (AR314/2002 Section 40(1)(c) & (e))	5
Does the carrier instruct or arrange for training of all drivers for all other applicable safety laws (including weights and dimensions, permit conditions, etc.), as required? (AR314/2002 Section 40(1)(c) & (e))	5

Worksheet Total Points: 37 of 69

Summary Comments:

Financial Responsibility Weight %: 0 % In Violation (not weighted): 0.00 %

Regulated Question(s) in violation	Points
No Questions in Violation	0

Worksheet Total Points: 0 of 0

Summary Comments:

Dangerous Goods Weight %: 1 % In Violation (not weighted): 0.00 %

Regulated Question(s) in violation	Points
No Questions in Violation	0

Worksheet Total Points: 0 of 4

Summary Comments:

Does the driver file contain a copy of a valid training certificate issued under the Transport Dangerous Goods Control Regulations? (AR314/2002 Section 41(1)(i))

3 driver's files checked

1 violations found

1

Worksheet Total Points: 19 of 33

Violation Summary

Hours of Service Area **Area Weight %: 30** **% In Violation (weighted): 26.04 %**

Hours of Service **Weight %: 33** **% In Violation (not weighted): 76.92 %**

Question(s) in violation	Points
Can the carrier produce the prior 6 months records of duty status for drivers selected? (Provincial - AR317/2002 Sections 16(1) and 16(2); Federal - SOR2005-313 Section 85(3))	10
Does the carrier conduct internal monitoring of duty status records for completeness, accuracy, and hours compliance (federal carriers only)? (Federal - SOR2005-313 Section 87(1))	10
Does the carrier that determines that there has been non-compliance take immediate remedial action and record the dates non-compliance occurred, dates of issuance of a notice of non-compliance and the actions taken (federal carriers only)? (Federal - SOR2005-313 Section 87(2))	10

Worksheet Total Points: 30 of 39

Summary Comments:

HOS - Daily Questions **Weight %: 67** **% In Violation (not weighted): 91.67 %**

Question(s) in violation	Points
Is there a daily log or time record when required? 3 driver's hours of service records checked 5 violations found	N/A
Is the daily log or time record true and accurate? 3 driver's hours of service records checked 7 violations found	N/A
Is the log current to the last change in duty status (Daily log only)? 3 driver's hours of service records checked 1 violations found	N/A
Daily - Log in compliance with the 13-hour "driving" rule? 3 driver's hours of service records checked 1 violations found	N/A
Daily - Log in compliance with the 14-hour "on duty" rule? 3 driver's hours of service records checked 3 violations found	N/A

Daily - Log in compliance with the 10-hour "off duty" rule?

3 driver's hours of service records checked 5 violations found N/A

Work shift - Log in compliance with the 13-hour "driving" rule?

3 driver's hours of service records checked 2 violations found N/A

Work shift - Log in compliance with the 14-hour "on duty" rule?

3 driver's hours of service records checked 5 violations found N/A

Work shift - Log in compliance with the 16-hour "elapsed time" rule?

3 driver's hours of service records checked 4 violations found N/A

Cycle 1 - Log in compliance with Cycle 1 requirements?

3 driver's hours of service records checked 4 violations found N/A

Are the Form and Manner requirements complete (Daily log only)?

3 driver's hours of service records checked 5 violations found N/A

Worksheet Total Points: N/A

Fatigue / Form And Manner Violations

Fatigue Violations

Total Days: 42

Total Days With Violations: 24

Violation Rate: 57.14 %

Form and Manner Violations

Total Days: 30

Total Days With Violations: 5

Violation Rate: 16.67 %

Primary HoS Supporting Doc: Payroll Records

Secondary HoS Supporting Doc:

Vehicle File	Weight %: 60	% In Violation (not weighted):	33.33 %
Question(s) in violation			Points
Can the carrier produce Trip Inspection reports as required? (AR121/2009 Section 37 (2)(d))			
3 Vehicle files checked	1 violations found		3
Can the carrier produce repair records each recorded with: date; vehicle identification; nature of work performed; and, if equipped; odometer/hour meter/hubometer reading? (AR121/2009 Section 37(2)(b)(i) and (ii))			
3 Vehicle files checked	1 violations found		3
Can the carrier produce lubrication records each recorded with: date; vehicle identification; nature of work performed; and, if equipped, one of the following; odometer reading, or hour meter reading, or hubometer reading? (AR121/2009 Section 37(2)(b)(i) and (ii))			
3 Vehicle files checked	2 violations found		6
Can the carrier produce scheduled maintenance records each recorded with: date; vehicle identification; nature of work performed; and, if equipped, one of the following; odometer reading, or hour meter reading, or hubometer reading? (AR121/2009 Section 37(2)(b)(i) and (ii))			
3 Vehicle files checked	3 violations found		9
Does the individual vehicle file contain records of all CVIP Inspection certificates and completed "Record of Inspection" forms related to each CVIP done on vehicle? (AR121/2009 Section 37(2)(b))			
3 Vehicle files checked	1 violations found		5
Are notices of defect(s) being recorded when a defect is identified? (AR121/2009 Section 10(8) and 14 and 15)			
3 Vehicle files checked	1 violations found		3
Worksheet Total Points:			29 of 87

Violation Statistics

	Total	Total # Violations
Driver Files:	3	13
Hours of Service Daily Records:	42	42
Vehicle Files:	3	9
Drivers Licence:	3	1
Dangerous Goods Drivers:	3	1
	54	66

Reviewer Comments

Reviewer:

Review Date:

Comments:

Assessment of Regulatory Compliance AUDIT REPORT

Carrier Agreement

I, _____ the undersigned
Printed Name of Company Official *Title*

Carrier representative, acknowledge that the Auditor has reviewed the audit results with me and/or with other representatives and accept that they accurately reflect the compliance status of this Carrier. I undertake, on behalf of the Carrier, to correct all identified regulatory deficiencies, to provide any requested information and to complete any specified actions before the dates indicated in the Action Plan. I also accept that nothing implied or stated by the Auditor or indicated in the audit report will be considered as approval to operate an NSC vehicle while not in compliance with any regulatory requirements.

I have read and understand this Carrier Agreement and realize that outstanding issues can be addressed in the Carrier's Comments section of the audit or directly to Alberta Transportation.

Signature _____ Date: _____
Company Official *(dd/mm/yy)*

Signature _____ Date: _____
Auditor *(dd/mm/yy)*

IMPORTANT NOTICE

The Carrier and/or its management and/or its employees may be subject to prosecution(s), administrative penalty(s), change of Safety Fitness Rating, suspension or revocation of permit(s), etc. based on the information obtained during this audit.