

ATTACHMENT #7

COMMERCIAL VEHICLE COMPLIANCE IN ALBERTA – CH. 9 –CARRIER PROFILES AND SAFETY RATINGS

(21 Pages)

Commercial Vehicle Safety Compliance

In Alberta

Effective: December 2012



MODULE 9

Carrier Profiles And Safety Ratings

Overview

The Carrier Services Branch of Alberta Transportation prepared this guide to assist and ensure that commercial carriers operate safely and are compliant with the regulations that govern highway use. The Government of Alberta, other Canadian jurisdictions, the Government of Canada, and the Transportation Industry developed the National Safety Code (NSC) to help reduce the number and severity of collisions. Each jurisdiction has used the NSC standards as guides in drafting their own transportation safety legislation. This approach promotes uniformity across Canada and helps to ensure that the transportation industry remains as viable and sustainable as possible.

Provincial (operates solely in Alberta) and Federal (operates in and outside of Alberta) National Safety Code legislation applies to Alberta carriers who have commercial vehicles registered that are:

- Trucks, tractors or trailers or a combination of these vehicles that are registered to provincially regulated motor carriers and have a registered gross weight of 11,794 kilograms or more;
- Buses with a manufactured seating capacity of 11 persons or more, including the driver (provincially and federally regulated); and
- Trucks, tractors or trailers, or a combination of these vehicles that are registered to federally regulated motor carriers and have a registered gross weight greater than 4,500 kilograms.

Provincial and Federal carriers must meet different standards. It is important for carriers to understand the differences prior to deciding if they wish to operate outside of Alberta. For more information visit our Operating Status web page located at www.transportation.alberta.ca/661.htm.

The guide contains several modules, each dealing with a specific topic. To get a complete picture of compliance requirements, you should obtain the complete guide. If you intend to use certain parts of this guide only, for example Module 1, “Getting Started”, it is recommended that you also obtain the modules “Introduction” and “Appendices”.

This is a guide only and is not meant to be a substitute for the actual legislation.

Carrier Profiles and Safety Ratings

Learning Objectives

As you work through this module, you will be able to:

- ✓ Understand how Carrier Profiles are compiled;
- ✓ Describe the uses of a Carrier Profile to monitor operations and staff safety concerns;
- ✓ Identify the components of a Carrier Profile Report;
- ✓ Understand how profile events are used in determining a carrier's Safety Fitness Rating.
- ✓ Describe the consequences of an unacceptable Safety Rating;
- ✓ Describe the procedure to obtain a Carrier Profile;
- ✓ Understand a sample Carrier Profile Report.

Carrier Profiles and Safety Ratings

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 to support the National Safety Code Program. Additional information is exchanged with the United States.

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 across North America. The overall status of a carrier's profile is reviewed to assign the carrier's Safety Fitness Rating.

Carriers can use their company's profile to help monitor the success of their company's safety operations. A Carrier Profile report 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 information can also help carrier owners and management to identify training needs, supervision, or other requirements for drivers, mechanics and other staff.

As a commercial carrier, it is important to think of the Carrier Profile as a collection of information, facts and figures that make up your reputation as a carrier in the province of Alberta. It is your reputation as a driver/operator or carrier that will determine the success of your business. Like your personal reputation, it is important that you maintain your carrier reputation.



Notes

Components of the Carrier Profile Report

Carrier Profile Reports usually include a carrier's previous one-year record for the following:

1. Convictions

All convictions are recorded against the carrier or their drivers.

2. Commercial Vehicle Safety Alliance (CVSA) Inspections

All CVSA inspections on Alberta-plated vehicles and trailers will be recorded on the Carrier Profile.

3. Reportable Collisions

Reportable collisions are collisions involving a vehicle which result in property damage over \$2,000.00, injury or death.

4. Compliance Audits

A Facility Audit examines a carrier's safety records. The audit is an evaluation of a carrier's compliance with regulations and safety performance with NSC requirements as legislated in Alberta. The audit is an orderly collection of data about a carrier, including the vehicles used by the carrier and the drivers that work for the carrier.

5. Motor Carrier Safety Fitness Rating

Safety Fitness Ratings are based on a combination of the carrier's record for, convictions, CVSA inspections, preventable collisions and audits. A carrier's performance is measured by evaluating their on road performance and administrative activities in relation to convictions, CVSA inspections, collisions and Facility Audit information; all of which is based on fleet size.

6. Other Information

General carrier information including:

- carrier's demographic information;
- operating Status (Provincial or Federal);
- fleet size (number of power units);
- monthly monitoring summaries;
- CVIP station information, if applicable; and
- event histories.

Operating Status

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.

Alberta is enforcing the requirements for carriers who operate an Alberta-plated vehicle outside Alberta when registered for more than 4,500 kilograms. This includes farmers.

If a carrier operates outside of their allowed jurisdiction, they will be in violation. This may result in the carrier or driver being detained and/or charged with an offence.

Alberta Transportation initially determined what operating status to issue carriers based on available information. If a carrier feels that they have the wrong status, they should contact Carrier Services at 403-340-5444 immediately. Carriers may change their operating status based on long term operation changes to their business.

Carriers may not change their operating status based on short term operation needs.

In order to move from a Provincial Operating Status to a Federal Operating status, complete and submit the declaration found on the Alberta Transportation web site:

www.transportation.alberta.ca/Content/docType276/Production/Operating_Status_Applic_Form.pdf

Carrier Event Pointing

Convictions, Out-of-service (OOS) CVSA inspection results, and collision events on a Carrier's Profile are used, along with other information, in determining the carrier's Safety Fitness Rating.

Under Carrier Services' Risk Factor (R-Factor for short) monitoring program, data from the three monitoring areas are weighed and then combined to calculate the carrier's R-Factor score. A carrier's R-Factor score is then compared to carriers that conduct a similar operation. Based on this method, the 5 per cent of carriers with the worst R-factor scores in the industry appear on Carrier Services' Monitoring Report.

Generally speaking, a carrier's R-Factor score is calculated by:

1. Assigning each conviction event 0 - 5 points based on a nationally agreed upon pointing system. All conviction points are then totalled and divided by the carrier's AVERAGE fleet, then multiplied by a weight factor.
2. Assigning each collision event a point value of 2, 4, or 6 depending if the collision resulted in property damage, injury, or a fatality. Only the highest point value will be assessed per collision. The collision points are then totalled and divided by the carrier's AVERAGE fleet size, then multiplied by a weight factor.
3. For CVSA inspections results, Carrier Services calculates and uses a CVSA "Failure Rate".
4. The numbers calculated in steps 1, 2, and 3 are added together to calculate the carrier's final R-Factor score.

CVSA Failure Rate = [number of Out of Service inspections + (0.25 x the number of Required Attention inspections)] divided by total number of inspections.

The carrier must have a minimum number of CVSA inspections before the failure rate can be calculated; the minimum number is based on fleet size. IF the carrier does not

have the minimum number of CVSA inspections, the CVSA Failure Rate is defaulted to 0.

(See Module 10, Carrier Monitoring and Intervention, for more information on the R-Factor monitoring program.)

Safety Ratings

Each province and territory in Canada issue safety fitness ratings to each carrier who registers commercial vehicles in their jurisdiction. In Alberta, there are five safety rating categories:

1. Excellent

- This rating is reserved for those carriers that are a member in the Partners in Compliance (PIC) program. These carriers have passed a full NSC audit and demonstrate superior safety performance.

2. Satisfactory

- When a carrier has passed a full NSC audit, has not appeared on the Carrier Services' Monitoring Report for the past 12 months and has no outstanding compliance issues.

3. Satisfactory – Unaudited

- Assigned to all new commercial carriers unless special circumstances apply.
- Assigned when a carrier has not had an NSC Facility Audit and has acceptable on-road performance.

4. Conditional

- Assigned when a carrier has an unacceptable safety record and the Registrar sets out conditions that the carrier must meet as a means to create positive changes in the carrier's performance.

5. Unsatisfactory

- Assigned when a carrier's performance has demonstrated an unacceptable level of risk to the public.
- A carrier rated as "unsatisfactory" in Alberta is no longer able to register or operate NSC motor vehicles.



Notes

Carrier Profile Report

The Carrier Profile Report is made up of ten parts. The Conviction, CVSA Inspection, Collision, and Violation parts are expanded for the reader by including an analysis, summary and detailed results of the on-road data identified in the profile.

Part 1 – General Carrier Information

This section provides information on the carrier's name, address, safety fitness certificate number, safety rating, operating status, a summary of how conviction, CVSA inspection and collision data contributes to the carrier's R-Factor score, if the carrier is on Carrier Services' Monitoring Report, and the monitoring stage the carrier is at if applicable. This part always reflects the carrier's current standing, regardless of the time period for which the profile was requested.

Part 2 – Carrier Convictions

This part records convictions along with their assigned point values. Convictions are shown in order of the offence date, with the most recent conviction identified first. There are three components, analysis, summary, and detail of the convictions. Carrier management should review this part to ensure they are aware of and have taken action with the identified violations so as to prevent recurrences.

Part 3 – CVSA Inspection Information

Information recorded in this part 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. A CVSA Failure Rate is also included. The CVSA Failure Rate assigns a point to each out of service CVSA, and a quarter of a point for required attention CVSA Inspections. These numbers are then added up and divided against the total number of inspections performed on the carrier. The result is multiplied by a weighted factor which gives the final CVSA Failure Rate. Analyses, summaries and detailed information are available. Reviewing CVSA inspection results (requires attention and out-of-service) will assist management in identifying which areas of their safety and maintenance programs are effective, and which areas need further review so as to prevent recurrences.

Part 4 – Carrier Collision Information

This part contains information on reportable collisions involving commercial vehicles registered to the carrier along with their assigned points. Information documented does not imply fault or liability. Carriers wishing to have collisions evaluated for preventability may contact Alberta Transportation. Collisions evaluated and found to be "not preventable" will not be used in determining a Safety Fitness Rating.

Part 5 – Violation Information

Information in Part 5 includes violations (not convictions) identified and documented by enforcement staff. Analysis, summary and detail information is available to assist the carrier with preventing further violations.

Part 6 – Monitoring Summary

This part displays carrier R-Factor monitoring information and compliance data regarding the carrier's operation. By viewing this Part a person can get an overview of the carrier's compliance over a period of time. Carriers can also use this section to compare themselves to carriers with a similar operation.

Part 7 – Station Licence Detail

This information relates to each vehicle inspection Station Licence that is associated with the holder of the National Safety Code Rating.

Part 8 - Safety Rating Summary

Information contained in Part 8 of the carrier profile relates to any Safety Fitness Rating issued to the carrier.

Part 9 – This part is used for internal purposes and is not available to the public.

Part 10 – Historical Summary

Displays profile events in chronological order.

Public Profile Report

A Public Profile Report on any carrier with an Alberta Safety Fitness Certificate is available to anyone through Alberta Transportation. There is a \$15 fee for this report. Information in this report includes conviction, CVSA inspection, and collision data. Carrier demographics are also included in public profiles. A sample Public Profile is shown on the following page.



Notes



CARRIER PROFILE

PART 1 - CARRIER INFORMATION

12-month Report as of: 2009 MAY 04

Example Transport (Alberta) Limited

4221 - 53 St.
RED DEER AB T4N 2E1

NSC Number: AB018-3178

MVID Number: 0003-84859

SAFETY FITNESS CERTIFICATE

Safety Fitness Rating: Satisfactory Unaudited

Operating Status: Federal

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

R-Factor Score: 2.028

Fleet Range: 3

Fleet Type: Truck

Contribution to R-Factor

Convictions: 0.0%

OOS CVSA Inspections: 0.0%

Reportable Collisions: 100.0%

NSC MONITORING PROGRAM ON:

Carrier's Monitoring Stage (1 to 4, 4 being the highest risk): Not on Monitoring

Total number of carriers at the same stage or greater: Not Applicable

NSC carriers in Alberta with Safety Fitness Certificates: 81

NSC FLEET SIZE ON: 2009 APR 30 *Average:* 3 *Current:* 3

using MVIDS: 0003-84859

Confidentiality of the Carrier Profile

Presently, Carrier Profiles are released only to the following:

- identified carrier;
- carrier's agent (once a signed letter of release is submitted to the Alberta Transportation);
- police agency;
- enforcement agency;
- courts; or
- Alberta Transportation Safety Board.

Carrier profiles are not released, nor the contents discussed, with anyone else. However, Public Profile Reports are available to anyone upon request from Alberta Transportation.

Procedure to Obtain Your Carrier Profile

To obtain a copy of your Carrier Profile, mail or fax a signed Profile Request form (or a signed request on company letterhead). Carrier Profiles are also available online at:

www.transportation.alberta.ca/667.htm

Two Carrier Profiles in one year are free of charge. Further requests will have a nominal fee.

Alberta Transportation
Room 401, 4920 51 Street
Red Deer, AB T4N 6K8

Phone: 403-340-5444

Fax: 403-340-4806

To call toll-free anywhere in Alberta first dial 310-0000

✓ Quick Test

Check your understanding by answering the following questions.

1. What is the purpose of the Carrier Profile System?

2. List the four main areas of information collected and retained in the Carrier Profile System.

a.

b.

c.

d.

3. Describe how carrier owners and management can use their company's profile as a way to monitor their drivers.

4. What are the five Safety Fitness Ratings used in Alberta?

- a. _____
- b. _____
- c. _____
- d. _____
- e. _____

5. What are the two types of Operating Status? Explain the differences between them.

- a. _____

- b. _____

For questions 6 and 7, circle T if the statement is true or F if the statement is false.

T	F	6. Safety Fitness Ratings are based on a combination of the carrier's record for preventable collisions, convictions, CVSA inspections and audits.
T	F	7. A carrier's performance is measured by comparing the on-road activities of carriers of similar fleet size.

Check your answers with the answer key on the following page. Review the materials in this module if you answered any of these questions incorrectly.

✓ Quick Test Answers

1. The purpose of the Carrier Profile System is to monitor commercial carriers for compliance to transport safety legislation.
2. The four main areas of information are:
 - a. collisions
 - b. convictions
 - c. CVSA inspections
 - d. facility audit results
3. A Carrier Profile summarizes most on-road law enforcement documentation and provides details on all contact between drivers and enforcement officers. This data can be used to monitor the accuracy of a driver's daily logs. The information helps to ensure that company rules and regulations as well as transport legislation are being followed and to implement corrective actions accordingly.
4. The five Safety Fitness Ratings used in Alberta are:
 - a. Excellent
 - b. Satisfactory
 - c. Satisfactory - Unaudited
 - d. Conditional
 - e. Unsatisfactory
5. The two types of Operating Status are:
 - a. Provincial: Authorizes the operation of commercial vehicles only within Alberta and applies to commercial trucks registered for 11,794 kilograms or more, or a commercial vehicle originally manufactured with a seating capacity of 11 or more persons including the driver.

b. Federal: 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.

6. True

7. True



Notes
