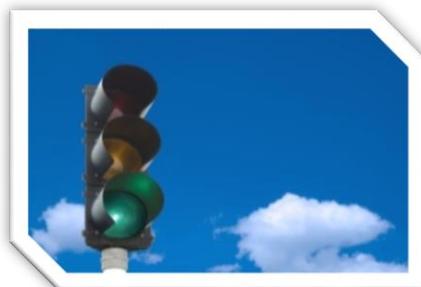


Module 5: Safety Programs, Driver Files and Record Keeping



Updated March 2021

MODULE CONTENTS



Module 5 aims to provide carriers with basic information about safety programs, driver files, and other related requirements. The contents of this module are as follows.

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This module serves only as a guide and cannot replace regulatory legislation. However, every effort has been made to ensure the information in this module is accurate at the time of preparation. The material in these documents are not intended to represent a full training course in any subject area covered, nor is it intended to be reproduced or sold for commercial purposes or financial gain.

SAFETY PROGRAMS



Once a carrier has the correct licensing, registration and insurance to operate, they may also need to create a safety program. According to Section 40(1) of the *Commercial Vehicle Certificate and Insurance Regulation, AR314/2002*:

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.

This means that carriers who operate National Safety Code (NSC) vehicles are required by law to have a written safety program in place. If a carrier operates one vehicle that is regulated by the NSC, their entire fleet of regulated vehicles must follow the carrier's safety program. For example, a federally regulated carrier must include all of their regulated vehicles in the safety program, not only those vehicles that leave Alberta. The summary charts beginning in Appendix 1 of this module show which carriers must have and implement safety programs. It is a carrier's responsibility to follow provincial law and to meet safety program requirements.

Reminder: NSC Regulated Vehicles are...



Commercial vehicles that are registered for more than 4,500 kilograms and that operate, or intend to operate outside of Alberta.



Commercial vehicles that are registered for a weight of 11,794 kilograms or more and that operate only within Alberta.



Commercial vehicles with a manufacturer's seating capacity originally designed for 11 or more persons, including the driver.

WHAT IS A SAFETY PROGRAM?



A safety program is a formal written document that provides safety guidelines and expectations for all employees within a company. Anyone can prepare a carrier's safety program so long as the final program contains at least the minimum requirements set out in regulations. The owner and employees of a company must be able to understand, implement and follow the safety program.

A written safety program must:



To increase the effectiveness of the safety program, a carrier should encourage employee involvement in developing the program. This may be done by allowing employees to provide input into the writing or updating of the program.

Safety Program Assistance

To assist carriers with meeting all minimum safety program requirements, the Alberta government has prepared sample safety programs. These programs may serve as a useful starting point for carriers who are developing new safety policies or who need to simplify their existing programs.

Before writing a safety program, carriers may refer to these sample programs which are available online at: www.alberta.ca/safety-and-maintenance-programs-commercial-carriers.aspx. This module provides detailed information about how a carrier might build their own effective and compliant safety programs.

Occupational Health and Safety



When writing a safety program, carriers should also consider Occupational Health and Safety (OH&S) requirements. These requirements and any others that are identified in other legislation should be considered alongside those found in the Alberta government's sample safety programs.

A safety program that only has information about OH&S and worksite safety is not effective in ensuring a carrier is also compliant with all transportation safety laws. Similarly, a safety program that only includes information about transportation safety may not meet other workplace requirements.

More information about Occupational Health and Safety Requirements is available online at: www.alberta.ca/occupational-health-safety.aspx.

Partners in Injury Reduction (PIR) Program



Manage your
performance and costs
by investing in **safety and disability management**

Carriers may also want to consider the Partners in Injury Reduction (PIR) Program as they develop their safety program. This is a program that operates through the combined efforts of Workers' Compensation Board – Alberta (WCB); the Ministry of Jobs, Skills, Training and Labour; industry partners; safety associations; employers and labour groups.

PIR is designed to encourage injury prevention and the development of effective workplace health, safety and disability management systems. All employers can participate in the PIR program and be eligible for industry rate refunds by maintaining a Certificate of Recognition (COR).

More information on the Partners in Injury Reduction Program (PIR) and on the Certificate of Recognition (COR) is available online at: www.alberta.ca/partnerships-injury-reduction.aspx

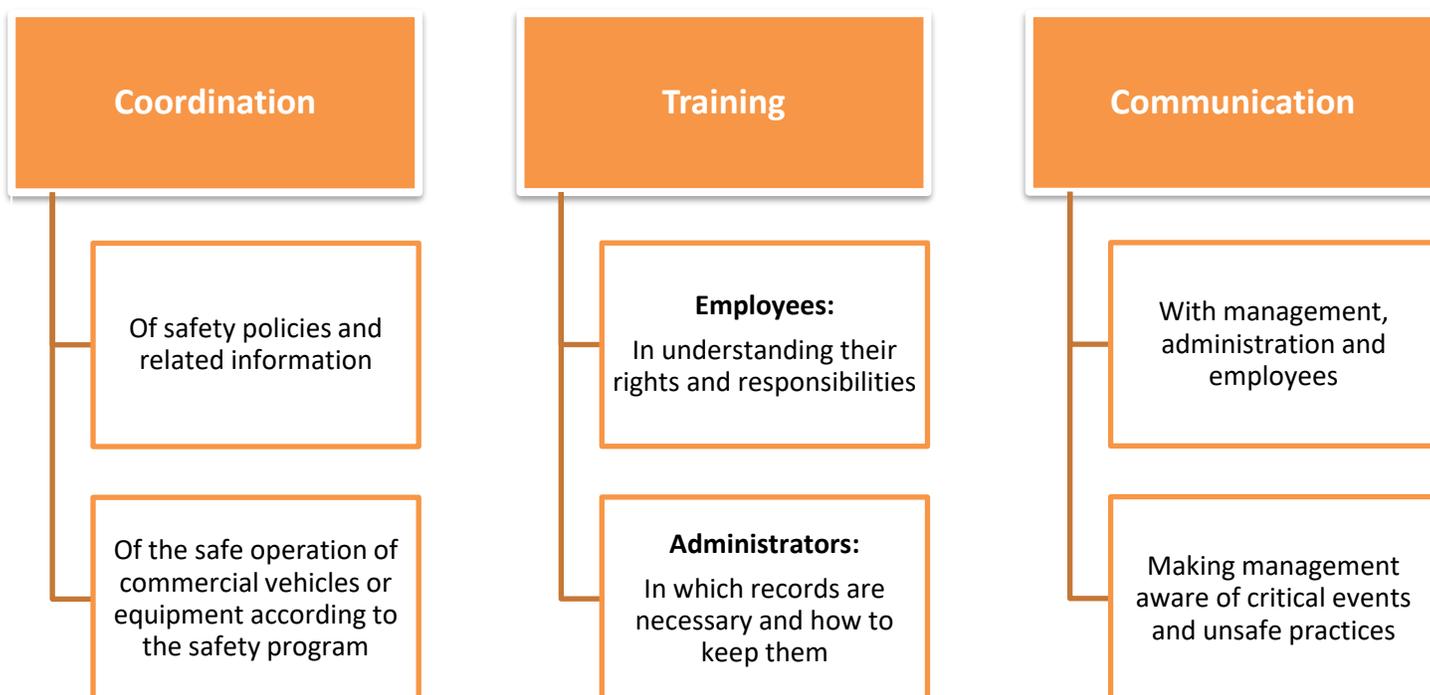
Note: COR and Occupational Health and Safety audits are not associated with National Safety Code audits. These programs have different objectives and regulatory requirements.

SAFETY OFFICER RESPONSIBILITIES



According to provincial law, every carrier must designate a person to serve as the “safety officer” in their company. It is recommended that this person be an employee who may effectively ensure the company complies with safety laws. The safety officer must have complete knowledge and understanding of the company’s safety program.

A safety officer is responsible for coordinating all policies, information and training related to safety. A designated safety officer’s responsibilities may include:



Companies may choose to have more than one person involved in the implementation of their safety program. They may also create a committee who is responsible for overseeing different parts of the safety program.

It is the carrier’s responsibility to ensure they are consistently aware of what their safety officer is doing to implement and maintain their safety program. They must ensure the program meets provincial or federal transportation laws and any other laws that may apply to the company (such as environmental or OH&S laws).

WRITING THE SAFETY PROGRAM

Each carrier and their designated safety officer must create a program that has specific policies and procedures that assist in the safe operation of their business. These policies and procedures must be maintained at all times.

While writing a safety program, a carrier may choose to organize the content of their program into the following sections.



Written Policies, Procedures and Practices



A carrier must create policies that relate to the type of work that is done by their employees on a day-to-day basis. A general program which does not include information about the type of vehicles or equipment the carrier operates will not be effective in assisting employees.

This section of a safety program must include all of the laws the company must follow. Carriers should identify any possible risks or hazards that could be related to daily transportation operations.

According to section 40(1) of the Alberta [Commercial Vehicle Certificate and Insurance Regulation \(AR314/2002\)](#), a carrier must create policies that discuss these subjects in their safety program:

<input type="checkbox"/>	Speed limits, seat-belt use, drug and alcohol use, defensive driving, load security and fueling;
<input type="checkbox"/>	Proper records such as bills of lading, manifests, dangerous goods documents, time records, drivers' daily logs and weigh slips; and any other records that are required by under any transportation legislation;
<input type="checkbox"/>	Policies that inform drivers that they must not break the law;
<input type="checkbox"/>	Policies related to driver training, responsibilities, conduct and discipline;
<input type="checkbox"/>	Instructions for the use of safety equipment including things such as fire extinguishers, goggles, safety glasses and hard hats;
<input type="checkbox"/>	Training for employees about safety laws and their application and an ongoing program for evaluating their driving skills;
<input type="checkbox"/>	Retention of complete records for each driver as per Section 41 of the Alberta Commercial Vehicle Certificate and Insurance Regulation; and
<input type="checkbox"/>	Policies for ensuring that drivers are properly qualified for the type of vehicle they operate. (for example, all drivers must have the appropriate operator's licence)

Carriers may expand on these policies or add other policies, which suit their needs. The continuous improvement of safety policies, procedures and practices may contribute to the overall success of a business. More information can be found here: www.alberta.ca/safety-and-maintenance-programs-commercial-carriers.aspx.



Hiring, Training and Competency

The Hiring Process

Drivers and other employees may be a carrier's biggest strength or its biggest liability. A safety program may help ensure a carrier hires people that are right for the job.



Tips on how a carrier may develop good hiring practices are:

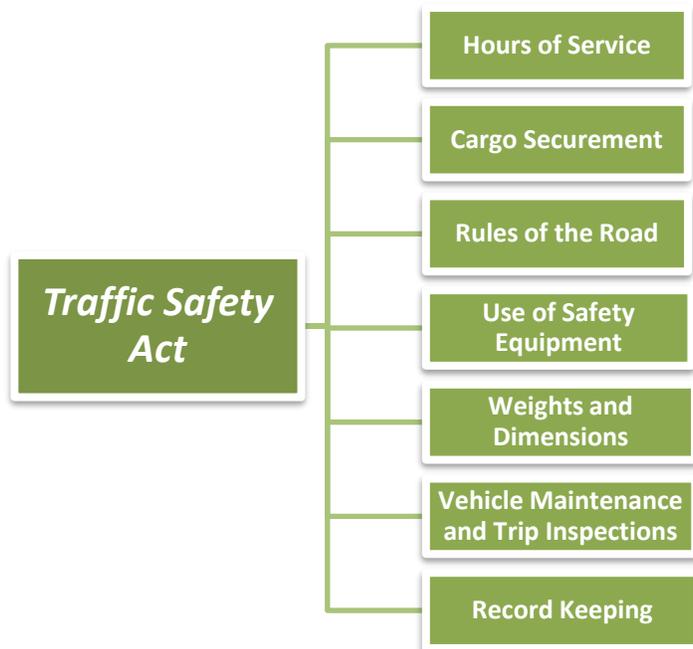
- Have the safety officer oversee the hiring of new drivers;
- Create a “promote from within” policy;
- Make sure all job advertising stresses high standards, safety requirements and hiring practices;
- Focus on an applicant's positive attitude, trainability and relevant experience. It is much easier to train a new driver with a positive attitude than to change the negative attitude of a more experienced driver;
- Create a safety policy which sets maximum violation and collision threshold numbers for new hires. Do not compromise with an applicant if the threshold is exceeded. Carriers may refer to a recent Commercial Driver's Abstract to determine whether an applicant has exceeded the threshold;
- Set a minimum experience level for new hires. If you cannot find an experienced driver that is suited to your business, you may want to look for an applicant who may be easily trained and who displays a positive attitude towards work and safety;
- Use an experienced driver to conduct a driving evaluation of all possible new hires. Create a written and road exam to test an applicant's skills and knowledge;
- Be honest with applicants. Fully explain what is expected of employees from day one.

Orientation and Training

Carriers must also choose the ways they will inform all new employees about the company's policies and procedures. They may also provide training to ensure the effective and safe operations of their commercial vehicles. Carriers may develop and deliver suitable training material within their own company or they may use publically available training courses. They may also hire a consultant to provide customized training, or they may use a combination of these options to train their employees.

Carriers are required by law to make sure all employees are trained in and knowledgeable of all applicable safety laws, including those related to:





Carriers may also need to provide more training in other subjects that apply to their company's operations, such as the *Transportation of Dangerous Goods Act* (S.C. 1992). Carriers with a "Federal" Operating Status may need to train their employees in subjects related to the transportation laws in other locations outside of Alberta.

Training sessions should be repeated regularly to ensure all employees are continuously aware of their responsibilities. More details are available online in the Alberta government's sample safety programs at: www.alberta.ca/safety-and-maintenance-programs-commercial-carriers.aspx.

Record Keeping

According to Section 40(1) of the *Alberta Commercial Vehicle Certificate and Insurance Regulation* (AR314/2002), all NSC carriers must maintain applicable records including:

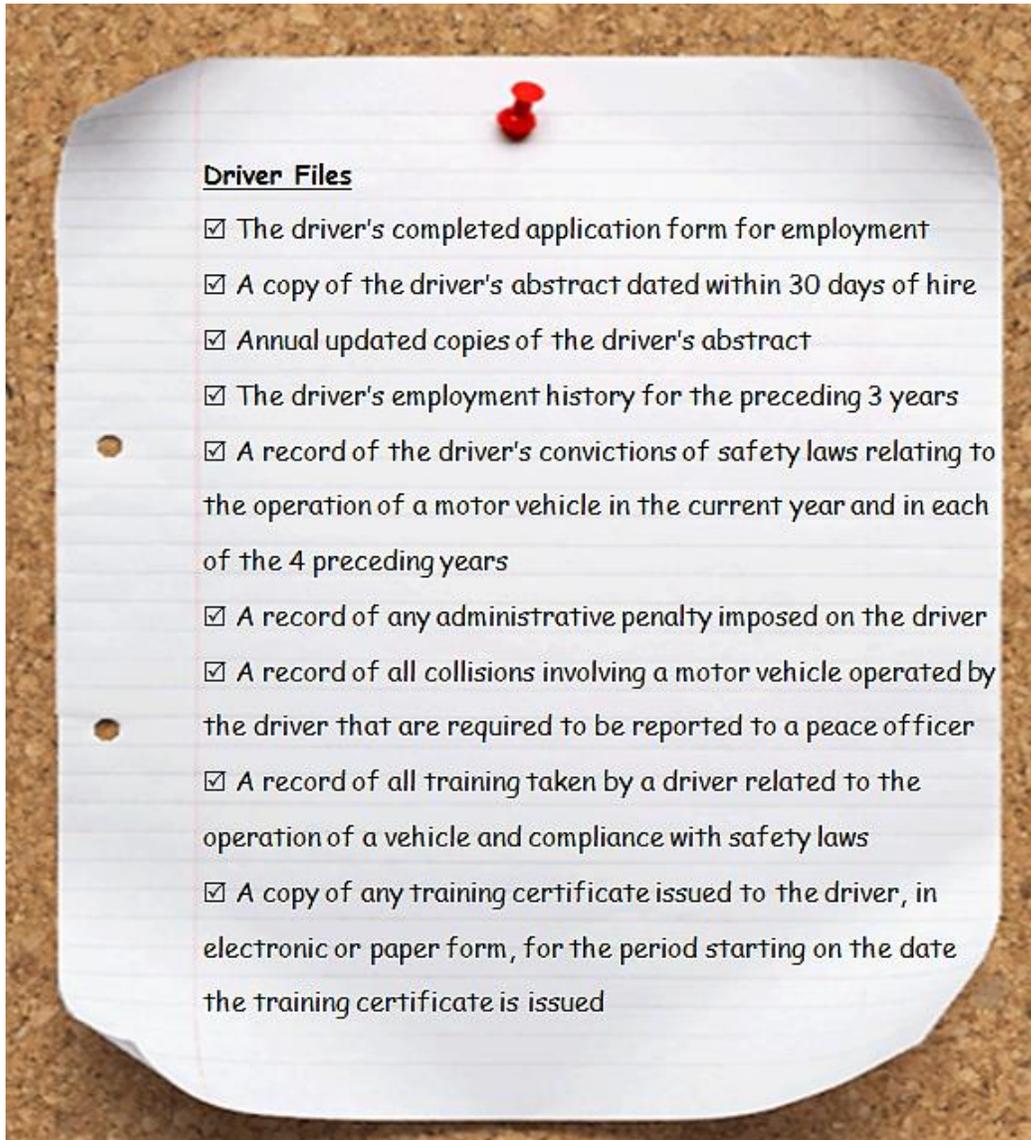
- Bills of Lading;
- Dangerous Goods documents;
- Training documents;
- Driver daily logs; and
- Trip inspection documents.

All drivers and employees must be informed of what documents they must maintain and how they must do so.



Driver Files

According to Section 41 of the *Commercial Vehicle Certificate and Insurance Regulation* (AR314/2002), the following records must also be kept for each person who is authorized to drive an NSC vehicle for a carrier:



Driver files must be retained at the carrier's principal place of business in Alberta for the year in which they are created, established or received and the 4 calendar years immediately following. Carriers should also keep any other relevant information about their drivers. This may include items such as alcohol and drug testing records (this is required for carriers who wish to operate in the United States). Please note, while electronic records may be accepted, any originals must be made available upon request. These records better enable a carrier to monitor and manage the safety of all employees involved in the operation of commercial vehicles.

Internal Monitoring and Evaluation



It is important that carriers monitor their operations to ensure that laws, policies and procedures are being followed at all times.

Checking things like driver records and trip inspection reports for accuracy may save a carrier a lot of time, energy, and money.

By including monitoring policies in their safety program, a carrier may find the cause of any problems related to non-compliance within their company. This may allow them to decide whether their company is operating at an acceptable safety level. It will also help them to improve in any areas that do not meet the standards and the expectations of the carrier.

To meet their due diligence, all carriers should have appropriate monitoring procedures such as:



Driver Log Books*

- Issues related to falsification, driving hours or incorrect use.



Driver Records

- Ongoing driver evaluations, violations, penalties or unsafe driving behaviours.



Trip Inspections and Vehicle Maintenance

- Incomplete or inadequate trip inspection reports.



Cargo Securement Practices

- Issues in securement practices that may cause cargo to shift or spill from a vehicle.



Training and its Effectiveness

- Ensure employees are adequately trained and demonstrate required knowledge.

***Note:** Only Federally regulated carriers are required by law to have a monitoring program in place for drivers' hours of service compliance. Refer to Module 7 for more information.

It is recommended that carriers conduct summary reports of all information that they review. This is so they may effectively evaluate the level of compliance that is shown by their company. If employees are not following the safety program, a carrier may take measures to ensure they are re-trained or corrected to improve the company's overall operations.

Collision Evaluations

It is recommended that carriers conduct collision evaluations in response to incidents that occur. Company collision statistics should be maintained to better understand the root causes of these incidents so they may be prevented in the future. When evaluating collisions, carriers may consider:

- The day of the week;

- The time of day;
- Location;
- Environmental factors (weather, road conditions, etc.);
- Driver age and experience;
- Driver statement;
- Any regulatory compliance issues (related to hours of service, vehicle condition, cargo securement, unsafe driving, etc.);
- Diagram of the collision scene, including the final resting place of all vehicles involved;
- Involvement of other parties in the collision;
- Preventable or non-preventable classification.

Progressive Discipline



Carriers must ensure their employees are operating safely. Re-training is often the first step in correcting employees who do not follow the safety program. An employee may not be following policies due to a lack of understanding of the program. The effective training of employees may prevent problems of non-compliance and any need for disciplinary action.

If there are still problems with an employee who fails to follow the safety program, a carrier may use the following process.

Progressive Discipline Process

All drivers and employees working for a carrier should know about the disciplinary plan before any action is taken towards them. The disciplinary process must be clearly laid out in a way that lists the details of what applies to each step. A carrier may inform all employees of this process through orientation, training, or safety meetings.

Carriers should follow this process where all actions taken will be documented. Depending on the number, severity and preventability of incidents or collisions an employee is involved with, a carrier may discipline them in varying ways.

The following is an example of how a progressive discipline plan might work:



Substance Abuse Policies

Substance abuse refers to the “continuous or excessive” use of legal substances such as alcohol and prescription drugs as well as the use of illegal substances. Carriers should include a “zero tolerance” rule for any substance that impairs an employee’s ability to work safely.

It is recommended that carriers include policies for pre-employment and annual substance abuse testing. This may not only indicate that a carrier is being duly diligent, but also contribute to the development of a safer and healthier workplace.

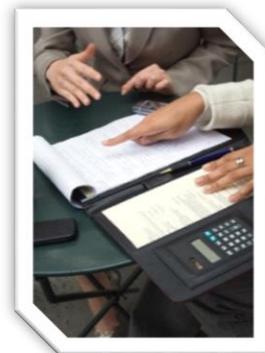


REVIEWING A SAFETY PROGRAM

Carriers should periodically do a review of their existing safety program. They must ensure that the program is effective and that they have met all requirements and any other details that may contribute to the safe operation of their company.

To do this, carriers may use the Safety Program Review chart found in Appendix 5 of this module to evaluate the contents of their program.

Carriers may also consult with the following resources to ensure they understand the requirements of a written safety program before implementing one.



Sample Safety Programs for Carriers

As described earlier in this module, the Alberta government provides all carriers with Sample Safety and Maintenance Programs that they may use or refer to. These sample programs are available online at: www.alberta.ca/safety-and-maintenance-programs-commercial-carriers.aspx.

Alberta Motor Transport Association (AMTA)

The AMTA provides some training courses in subjects such as health and safety program development, cargo securement, hours of service, etc. For more details contact:



Phone: 800-267-1003

Email: amtams@amta.ca

Website: www.amta.ca

BENEFITS OF IMPLEMENTING A SAFETY PROGRAM

A written safety program is important to a carrier for many reasons. Having an effective safety program establishes safe working conditions for all company employees who are involved in the operation of a carrier's vehicles including:

- The company owner(s);
- Full and part time drivers of regulated vehicles;
- Person's managing/directing drivers, safety officers, and maintenance personnel;
- Administrative staff performing safety related roles; and
- Person(s) repairing or fueling vehicles.

Carriers may gain some possible benefits by implementing an effective safety program, including:



COMPLIANCE

- Provincial and/or federal safety laws are being followed;
- Reduced likelihood of disciplinary action being taken;
- Carrier gains a better reputation with clients, customers and peers;
- Increased level of efficiency; potentially gaining more business for a carrier.

SAFETY

- Safety for drivers, employees and the motoring public;
- Reduced likelihood of collisions, property damage, injuries and deaths;
- Standardized procedures that allow for consistently safe operations.

Carriers may also benefit financially by having a safety program. The improved safety of operations may result in the reduced likelihood of costly incidents (such as traffic violations/fines, unnecessary repairs/maintenance, etc.).

An effective safety program also:

- Considers both transportation and other safety laws;
- Assists carriers and their employees in better understanding their rights and responsibilities regarding safety; and
- Shows that a carrier is practicing due diligence.

DUE DILIGENCE



Carriers are responsible for writing, maintaining and implementing their safety program in a way that helps prevent violations or incidents. To be duly diligent, a carrier must take action to prevent incidents *before* they occur.

How might a carrier practice due diligence?



Know and understand laws which are relevant to their business;



Hire employees who can complete their work in a safe and knowledgeable way;



Educate employees on all laws, company policies, procedures, rules and other important information;



Communicate with staff and inform them of any changes to laws or company policies;



Ensure all employees are following the carrier's written safety program;



Investigate, document and take action(s) on any unsafe incidents as they occur;



Keep records to show that a safety program has been written and is in use;



Implement an effective safety program;



Identify any possible risks or hazards that could be related to daily operations.

Vicarious Liability

Section 144 of Alberta's *Traffic Safety Act* states:

(2) With respect to a commercial vehicle, where a person other than the carrier responsible for the commercial vehicle carries out a related function in respect of that commercial vehicle and as a result of carrying out that related function this Act is not complied with, that person and the carrier are jointly and severally liable for that non-compliance.

A "related function" would include:

- Loading goods on or into a commercial vehicle;
- Adjusting or rearranging goods being carried by a commercial vehicle;
- Unloading or the removal of goods from a commercial vehicle;
- Providing documentation or records, other than motor vehicle documents, with respect to the operation of a commercial vehicle; or
- Giving directions, directives, instructions or orders respecting the operation of the commercial vehicle.

Having and implementing a written safety program ensures a carrier is always in compliance with the law when work is being performed with their vehicles. A carrier who has an effective program in place ensures all people responsible for working on or with vehicles and equipment do so in a safe and consistent way.

More information on vicarious liability can be found in the *Traffic Safety Act*:

www.qp.alberta.ca/1266.cfm?page=T06.cfm&leg_type=Acts&isbncln=9780779774739



MODULE 5 APPENDICES



Appendix 1	Safety and Maintenance Program Requirements For Provincial Trucks / Tractors / Trailers
Appendix 2	Safety and Maintenance Program Requirements For Federal Trucks / Tractors / Trailers
Appendix 3	Safety and Maintenance Program Requirements For Provincial Commercial Buses
Appendix 4	Safety and Maintenance Program Requirements For Federal Commercial Buses
Appendix 5	Safety Program Review For Carriers

APPENDIX 1

Summary of Maintenance and Safety Program Requirements for Provincially-Regulated Alberta-Based Commercial Trucks / Tractors / Trailers

Refer to the “NOTES” on the following page for an explanation of the numbered exceptions or explanations to the requirements. Consult the complete regulations for a full explanation of requirements

Program Requirements	Safety Fitness Certificate with a “Provincial” Operating Status ¹		NON-NSC Companies ²
	Operating only IN Alberta		Operating only IN Alberta
	4,501 – 11,793 kg	11,794 kg or more	4,501 – 11,793 kg
Written Maintenance Program	Yes	Yes	No
➤ Complete Vehicle Files	Yes	Yes ^{10,16}	No
Daily Trip Inspection ³			
➤ Driver Training ⁴	Yes	Yes	No
• Conduct inspection	Yes ^{6,7,8}	Yes ^{6,7,8}	Yes ^{6,7,8}
• Document and Produce “trip inspection report” ⁵	No ¹⁷	Yes ^{6,10,11}	No ^{16,17}
• Produce a copy of Schedule 1 of NSC Standard 13, Part 2 ⁶	No	Yes ^{6,11}	No
Continuous and Regular Vehicle Maintenance			
➤ Staff Training ⁴	Yes ⁷	Yes ⁷	No ⁷
➤ Compliance at Facility and On- Road	Yes ⁷	Yes ⁷	No ⁷
CVIP (annual inspection)	No	Yes ¹²	No
Written Safety Program	No	Yes	No
➤ Employee Training ⁴ and Driver Evaluation	No	Yes	No
➤ Complete Driver Files	No	Yes	No
Hours of Service			
➤ Driver Training ⁴	No	Yes ⁹	No
➤ On-Road Compliance	No	Yes ⁹	No
Cargo Securement (standards regulation only)			
➤ Driver Training ⁴	Yes	Yes ⁹	No
➤ Compliance On-Road	Yes ^{14,15}	Yes ^{14,15}	Yes ^{14,15}

NOTES:**Internet access to various information sites:**

- General information on Alberta's transportation requirements: www.alberta.ca/commercial-transportation.aspx
- Obtain all summary charts on the Alberta Transportation website: www.alberta.ca/safety-and-maintenance-programs-commercial-carriers.aspx
- Change carrier's Operating Status: www.alberta.ca/commercial-carrier-operating-status.aspx
- Obtain Schedule 1 of the NSC Standard 13, Part 2: www.cmta.ca/en/publications/national-safety-code/standards/item/nsc-standard-13
- Obtain *Commercial Vehicle Safety Regulations*, AR 121/2009: www.qp.alberta.ca/574.cfm?page=2009_121.cfm&leg_type=Regs&isbncln=9780779740727
- Obtain other Alberta legislation: www.qp.alberta.ca/Laws_Online.cfm
- Obtain Federal legislation: www.laws-lois.justice.gc.ca/

1. **"Provincial"** Operating Status authorizes operation solely within Alberta of commercial vehicles registered in Alberta for a weight of 11,794 kilograms or more. No permit is available authorizing a "Provincial" carrier to leave Alberta at any time. An Alberta carrier leaving the province with a regulated NSC vehicle registered over 4,500 kilograms requires a "Federal" Operating Status.

2. A non-NSC company (or individual) who has commercial vehicles registered between 4,501 and 11,793 kilograms and who does not leave Alberta does not require an Alberta Safety Fitness Certificate (SFC) but must meet the specified compliance requirements.

3. **"Daily Trip Inspection"** means a trip inspection of a commercial vehicle or combination of commercial vehicles conducted by following and inspecting the specified items identified in Schedule 1 of the NSC Standard 13, Part 2.

4. **Training** of all applicable carrier staff (such as drivers, managers, administration, mechanics, etc.) in all **"safety laws"** is required by Section 40(1) (e) of the *Commercial Vehicle Certificate and Insurance Regulation*, AR 314/2002. This includes: trip inspection, hours of service, cargo securement, carrier policies in safety and maintenance programs, etc.

5. A **"trip inspection report"** must be completed when a trip inspection is conducted on a vehicle or combination of vehicles. Report must meet minimum requirements: legible; licence number/unit number; odometer or hubometer; carrier name; location inspected; each defect or no defect; date/time of report; name of person inspecting; name and signature of driver or person inspecting.

6. **Schedule 1 of NSC Standard 13, Part 2** identifies the list of daily trip inspection items that need to be inspected. A copy of the complete Schedule needs to be located in each commercial vehicle and must be produced on the request of a peace officer.

7. Truck, truck-tractor or trailer shall not be operated if it fails to comply with standards in **Schedule 1** (i.e. general markings, lift axles, etc.) **and Schedule 2** (i.e. general equipment; mechanical fitness) of *Commercial Vehicle Safety Regulation*, AR 121/2009.

8. An owner shall not permit a driver to drive and a driver shall not drive a commercial vehicle if a **"major defect"** is detected in the vehicle during the daily trip inspection or at any other time using Schedule 1 of

NSC Standard 13, Part 2.

9. When operating point-to-point in Alberta, the registered owner of a registered **farm-plated vehicle and its driver(s)** is not required to comply to this National Safety Code regulatory requirement on-road or in their written safety and/or maintenance program.

10. Carriers operating commercial vehicles registered for 11,794 kilograms or more that are required to complete a “trip inspection report” (see Notes 5 and 11) must retain the original trip inspection **reports in chronological order for each vehicle for at least 6 months** after receiving it.

11. If a driver observes **any** safety defects in Schedule 1 of NSC Standard 13, Part 2, on vehicle while driving, the driver shall record the defects in a trip inspection report or otherwise in a written document and report that defect to the carrier responsible for the vehicle. **If defect is “major”, then do not drive vehicle.**

12. When operating point-to-point in Alberta, the vehicle registered as a farm-plated vehicle requires no **CVIP** (annual inspection).

13. Legislation in this area does not apply to a driver or carrier transporting **agricultural products in any vehicle** or transporting products of a **forest, lake or river in a 2- or 3-axle vehicle** where the driver or the driver’s employer produced the products.

14. Section 17(5) of the *Commercial Vehicle Safety Regulation*, AR 121/2009 states that Sections 10 and 22 (number and strength of securement ties) of the National Safety Code Standard 10 cargo securement do not apply to farm-plated vehicles hauling hay or straw within a 50-kilometre radius of the load’s origin provided specified criteria are met. Note #15 below still applies.

15. Section 17(4) for cargo securement under the *Commercial Vehicle Safety Regulation*, AR 121/2009 requires a driver, carrier or owner of a commercial vehicle to ensure cargo is contained, immobilized or secured so that it **cannot leak, spill, blow off, fall from, fall through or otherwise be dislodged** from the vehicle or shift upon or within the commercial vehicle to such an extent that the commercial vehicle’s **stability or maneuverability is adversely affected**. Also, Section 65 of the *Alberta Vehicle Equipment Regulation*, AR 122/2009 requires any vehicle to be constructed to carry the goods and any cargo to be secured such that it does not shift, sway blow off, fall off, leak or otherwise escape.

16. When a “provincial” carrier is required to have a safety fitness certificate (i.e. has one or more commercial vehicles registered for 11,794 kilograms or more that does not leave Alberta), then their **maintenance program must address** the maintenance and inspection requirements for **all commercial vehicles registered to that company for more than 4,500 kilograms**.

17. Whether or not a trip inspection report must be completed before trip begins, if driver observes any safety defects in Schedule 1 of NSC Standard 13, Part 2, while driving the vehicle, the driver shall record the defects in a trip inspection report or otherwise in a written document and report that defect to the carrier responsible for the vehicle. **If defect is “major”, then do not drive the vehicle.**

APPENDIX 2

Summary of Maintenance and Safety Program Requirements for Federally-Regulated Alberta-Based Commercial Trucks / Tractors / Trailers

Refer to the “NOTES” on the following page for an explanation of the numbered exceptions or explanations to the requirements. Consult the complete regulations for a full explanation of requirements.

Program Requirements	Safety Fitness Certificate with a “Federal” Operating Status ¹			
	When Vehicle / Driver is Operating INSIDE Alberta ²		When Vehicle / Driver is Operating OUTSIDE Alberta ³	
	4,501 – 11,793 kg	11,794 kg or more	4,501 – 11,793 kg	11,794 kg or more
Written Maintenance Program	Yes	Yes	Yes	Yes
➤ Complete Vehicle Files	Yes	Yes ¹⁰	Yes ¹³	Yes ^{10,13}
Daily Trip Inspection ⁴				
➤ Driver Training ⁵	Yes	Yes	Yes	Yes
• Conduct inspection	Yes ^{7,8,9}	Yes ^{7,8,9}	Yes ^{7,8,9}	Yes ^{7,8,9}
• Document and Produce “trip inspection report”	No ^{6,11}	Yes ^{6,11}	No ^{6,11,13}	Yes ^{6,11,13}
• Produce a copy of Schedule 1 of NSC Standard 13, Part 2 ⁷	No	Yes	Yes	Yes
Continuous and Regular Vehicle Maintenance				
➤ Staff Training ⁵	Yes ⁸	Yes ⁸	Yes ⁸	Yes ⁸
➤ At facility/On-Road compliance	Yes ⁸	Yes ⁸	Yes ⁸	Yes ⁸
CVIP (annual inspection)	No	Yes ¹²	No ¹³	Yes ¹³
Written Safety Program	Yes	Yes	Yes	Yes
➤ Employee Training ⁵ and Driver Evaluation	Yes	Yes	Yes	Yes
➤ Complete Driver Files	Yes	Yes	Yes	Yes
Hours of Service				
➤ Driver Training ⁵	Yes	Yes	Yes ¹⁴	Yes ¹⁴
➤ Compliance On-Road	Yes	Yes	Yes ¹⁴	Yes ¹⁴
Cargo Securement (standards regulation only)				
➤ Driver Training ⁵	Yes	Yes	Yes	Yes
➤ Compliance On-Road	Yes ^{15,16}	Yes ^{15,16}	Yes ^{15,16}	Yes ^{15,16}

NOTES:**Internet access to various information sites:**

- General information on Alberta's transportation requirements: www.alberta.ca/commercial-transportation.aspx
- Obtain all summary charts on the Alberta Transportation website: www.alberta.ca/safety-and-maintenance-programs-commercial-carriers.aspx
- Change carrier's Operating Status: www.alberta.ca/commercial-carrier-operating-status.aspx
- Obtain Schedule 1 of the NSC Standard 13, Part 2: www.ccmta.ca/en/publications/national-safety-code/standards/item/nsc-standard-13
- Obtain *Commercial Vehicle Safety Regulations*, AR 121/2009: www.qp.alberta.ca/574.cfm?page=2009_121.cfm&leg_type=Regs&isbncln=9780779740727
- Obtain other Alberta legislation: www.qp.alberta.ca/Laws_Online.cfm
- Obtain Federal legislation: www.laws-lois.justice.gc.ca/

1. **"Federal"** Operating Status authorizes operation outside of Alberta of commercial vehicles (including farm-plated vehicles) registered in Alberta for a weight of more than 4,500 kilograms.
2. These columns apply when the driver and the specified size of vehicle operate on a trip point-to-point solely within Alberta. All regulatory requirements of Alberta and of the federal government must be met.
3. These columns apply when any part of a trip involving the specified size of vehicle travels outside of Alberta. All applicable regulatory requirements of Alberta, the federal government and the jurisdiction(s) in which the vehicle/driver travels must be met.
4. **"Daily Trip Inspection"** means a trip inspection of a commercial vehicle or combination of commercial vehicles conducted by following and inspecting the specified items identified in Schedule 1 of the NSC Standard 13, Part 2.
5. **Training** of all applicable carrier staff (such as drivers, managers, administration, mechanics, etc.) in all **"safety laws"** is required by Section 40(1) (e) of the *Commercial Vehicle Certificate and Insurance Regulation*, AR 314/2002. This includes: trip inspection, hours of service, cargo securement, carrier policies in safety and maintenance programs, etc.
6. A **"daily trip inspection report"** must be completed when a trip inspection is conducted on a vehicle or combination of vehicles. Report must meet minimum requirements: legible; licence number/Unit number; odometer or hubometer; carrier name; location inspected; each defect or no defect; date/time of report; name of person inspecting; name and signature of driver or person inspecting.
7. **Schedule 1 of NSC Standard 13, Part 2** identifies the list of minimum daily trip inspection items to be inspected. A copy of the complete Schedule needs to be located in each commercial vehicle and must be produced on the request of a peace officer.
8. Truck, truck-tractor or trailer shall not be operated if it fails to comply with standards in **Schedule 1** (i.e. general markings, lift axles, etc.) **and Schedule 2** (i.e. general equipment, mechanical fitness) of *Commercial Vehicle Safety Regulation*, AR 121/2009.

9. An owner shall not permit a driver to drive and a driver shall not drive a commercial vehicle if a **“major defect”** is detected in the vehicle during the daily trip inspection or at any other time using Schedule 1 of NSC Standard 13, Part 2.
10. Carriers operating vehicles registered for 11,794 kilograms or more that are required to complete a “trip inspection report” (see Notes 7 and 13) must retain trip inspection **reports in chronological order for each vehicle for at least 6 months** after receipt.
11. Whether or not a trip inspection report must be completed before trip begins, if driver observes **any** safety defects in Schedule 1 of NSC Standard 13, Part 2, while driving the vehicle, the driver shall record the defects in a trip inspection report or otherwise in a written document and report that defect to the carrier responsible for the vehicle. **If defect is “major”, then do not drive vehicle.**
12. When operating point-to-point in Alberta, the vehicle registered as a farm-plated vehicle requires no **CVIP** (annual inspection).
13. When operating vehicles outside Alberta, maintenance program and vehicle files must include **trip inspections, repairs, and/or CVIP** forms only when the jurisdiction(s) in which they are operated require the inspections to be completed.
14. Federal regulations in this area do not apply to a driver or carrier operating a **2- or 3-axle vehicle** (full or empty) that is used to transport primary products of a **farm, forest, sea or lake** if the driver or the motor carrier is the producer of the products.
15. Section 17(5) of the *Commercial Vehicle Safety Regulation*, AR 121/2009 states that Sections 10 and 22 (number and strength of securement ties) of the National Safety Code Standard 10 cargo securement do not apply to farm-plated vehicles hauling hay or straw within a 50-kilometre radius of the load’s origin provided specified criteria are met. Note #16 below still applies.
16. Section 17(4) for cargo securement under the *Commercial Vehicle Safety Regulation*, AR 121/2009 requires a driver, carrier or owner of a commercial vehicle to ensure cargo is contained, immobilized or secured so that it **cannot leak, spill, blow off, fall from, fall through or otherwise be dislodged** from the vehicle or shift upon or within the commercial vehicle to such an extent that the commercial vehicle’s **stability or maneuverability is adversely affected**. Also, Section 65 of the *Alberta Vehicle Equipment Regulation*, AR 122/2009 requires any vehicle to be constructed to carry the goods and any cargo to be secured such that it does not shift, sway, blow off, fall off, leak or otherwise escape.

APPENDIX 3

Summary of Maintenance and Safety Program Requirements for Provincially-Regulated Alberta-Based Commercial Buses

Refer to the “NOTES” on the following page for an explanation of the numbered exceptions or explanations of the requirements. Consult the complete regulations for a full explanation of requirements.

Program Requirements	Safety Fitness Certificate with a “Provincial” Operating Status ⁵		
	Operating ONLY INSIDE Alberta		
	Motor Coach ^{1,2}	School Bus ^{1,3}	Other Bus ^{1,4}
Written Maintenance Program	Yes	Yes	Yes
➤ Complete Vehicle Files	Yes	Yes	Yes
Daily Trip Inspection ⁶			
➤ Driver Training ¹⁶	Yes	Yes	Yes
• Conduct inspection	Yes ^{10,11}	Yes ^{8,9}	Yes ^{8,9}
• Document and Produce “trip inspection report	Yes ^{7,11,12}	Yes ^{7,11,12}	No ^{7,11,12}
• Produce a copy of Schedules 2 and/or 3 of NSC Standard 13, Part 2	Yes ¹⁵	Yes ¹⁵	Yes ¹⁵
Under-vehicle trip inspection	Yes ^{11,14}	No	No
CVIP (semi-annual inspection)	Yes	Yes	Yes
Written Safety Program	Yes	Yes	Yes
➤ Employee Training ¹⁶ and Driver Evaluation	Yes	Yes	Yes
➤ Complete Driver Files	Yes	Yes	Yes
Hours of Service			
➤ Driver Training ¹⁶	Yes ¹³	Yes ¹³	Yes ¹³
➤ Compliance On-Road	Yes	Yes	Yes
Cargo Securement (standards regulation only)			
➤ Driver Training ¹⁶	Yes	Yes	Yes
➤ Compliance On-Road	Yes	Yes	Yes

NOTES:

Internet access to various information sites:

- General information on Alberta’s commercial transportation requirements:
www.transportation.alberta.ca/3.htm

- Change carrier's Operating Status: www.transportation.alberta.ca/661.htm
- Obtain Schedules 2, 3, 4 of the NSC Standard 13, Part 2: <http://ccmta.ca/en/publications/national-safety-code/standards/item/nsc-standard-13>.
- Obtain CSA Standard D250-16:
https://store.csagroup.org/ccrz_ProductDetails?viewState=DetailView&cartID=&portalUser=&store=&cclcl=en_US&sku=CAN%2FCSA-D250-16.
- Obtain the *Commercial Vehicle Safety Regulations*, AR 121/2009:
www.qp.alberta.ca/574.cfm?page=2009_121.cfm&leg_type=Regs&isbncln=9780779740727
- Obtain other Alberta legislation: www.qp.alberta.ca/Laws_Online.cfm
- Obtain Federal legislation: www.laws-lois.justice.gc.ca

Summary of various schedules in the *Commercial Vehicle Safety Regulation*, AR 121/2009 and the NSC Standard # 13, Part 2:

CVSR Regulation (use ALL applicable Schedules):

- **Schedule 1:** general safety standards (such as markings, ext.)
- **Schedule 2:** maintenance standards for all vehicle types
- **Schedule 3:** maintenance standards for buses transporting persons with physical disabilities
- **Schedule 4:** maintenance standards for handi-buses
- **Schedule 5:** maintenance standards for school buses

NSC Standard # 13:

- **Schedule 1:** trip inspection requirements for truck / tractor / trailer
- **Schedule 2:** trip inspection requirements for all buses
- **Schedule 3:** trip inspection requirement for a motor coach (*if Schedule 2 not used*)
- **Schedule 4:** 30 day or 12,000 kilometre visual inspection of a motor coach
 1. **“Bus”** is a commercial vehicle originally designed to carry 11 or more persons including the driver and used to transport persons.
 2. **“Motor Coach”** means a bus of monocoque design (i.e. no frame) manufactured with underfloor storage, and not a transit bus.
 3. **“School Bus”** is a bus that meets the requirements of a Type A1, A2, B, C, or D school bus described in CSA Standard D250-2012 and used primarily to transport students to and from school.
 4. A **“Handi-bus”** is a bus that meets the CSA Standard D409 and used primarily to transport persons with physical disabilities.
 5. **“Provincial”** Operating Status authorizes the operation of a bus solely within Alberta. No permit is available authorizing a “Provincial” carrier to leave Alberta for any reason/frequency. An Alberta carrier leaving Alberta requires “Federal” Operating Status.

6. **“Daily Trip Inspection”** means a trip inspection of vehicle conducted by inspecting the specified items identified in Standard 13.
7. A **“trip inspection report”** must be completed when a daily trip inspection is conducted and it must meet the minimum legislative requirements: legible; licence number/unit number; odometer or hubometer; carrier name; location inspected; each defect or no defect; date/time of report; name of person inspecting; name and signature of driver or person inspecting.
8. A **“Bus”** shall not be operated if it fails to comply with applicable maintenance standards in Schedules 2, 3, 4, and 5 of CVSR.
9. An owner shall not permit a driver to drive and a driver shall not drive any bus unless the vehicle was inspected in accordance to Schedules 2 or 3 of Standard 13 AND no **“major defects”** were detected in the vehicle during the daily trip inspection.
10. A Motor Coach cannot be operated if it fails to comply with the maintenance standards under Schedule 2 of CVSR.
11. Carriers that are required to complete a Daily and/or Under-vehicle **“Trip Inspection Report”** must retain the original reports in chronological order for each vehicle for at least the current month and preceding 6 months from the date of the inspection.
12. Whether or not a **“daily trip inspection report”** is required before trip begins, if driver observes any safety defects specified in the applicable Schedule 2, 3 or 4 of Standard 13 while driving, then the driver shall record the defects in a daily trip inspection report or in a written document and report that defect to the carrier. If the defect is **“major”**, then do not drive the vehicle until it is repaired.
13. Written safety program and driver files need to include Hours of Service training, orientation and compliance evaluation.
14. An **“under-vehicle trip inspection”** must meet the requirements of Schedule 4 of Standard 13 and must be conducted by a person authorized by the carrier and that has a subsisting **Heavy Equipment Technician trade certificate** through the *Apprenticeship and Industry Training Act*. A Schedule 4 inspection is required when a Schedule 3 Daily Trip Inspection is done. The **“under-vehicle trip inspection”** is valid up to 30 days or 12,000 kilometres, whichever comes first. Under-vehicle inspection report must contain same information as a daily trip inspection report plus: brake adjustment measurements; nature of all repairs to fix defects found; trade certificate number of Heavy Equipment Technician who did the inspection.
15. Schedule 2 of Standard 13 identifies the list of minimum daily trip inspection items for a **bus, handi-bus, motor coach** and **other commercial buses**. Schedule 3 identifies an alternate list of daily trip inspection items that can be inspected for a **motor coach provided a Schedule 4 is conducted as well**. The

applicable Schedule, for every vehicle a driver is operating, needs to be located in each commercial vehicle and must be produced on request of a peace officer.

- 16. Training** of all applicable carrier staff (such as drivers, managers, administration, mechanics, etc.) in all “**safety laws**” is required by Section 40(1) (e) of the *Commercial Vehicle Certificate and Insurance Regulation*, AR 314/2002.

APPENDIX 4

Summary of Maintenance and Safety Program Requirements for Federally-Regulated Alberta-Based Commercial Buses

Refer to the “NOTES” on the following page for an explanation of the numbered exceptions or explanations of the requirements. Consult the complete regulations for a full explanation of requirements.

Program Requirements	Safety Fitness Certificate with a “Federal” Operating Status ⁵		
	Operating INSIDE and OUTSIDE Alberta ⁶		
	Motor Coach ^{1,2}	School Bus ^{1,3}	Other Bus ^{1,4}
Written Maintenance Program	Yes	Yes	Yes
➤ Complete Vehicle Files	Yes	Yes	Yes
Daily Trip Inspection⁷			
➤ Driver Training ¹⁷	Yes	Yes	Yes
• Conduct inspection	Yes ^{11,10}	Yes ^{9,10}	Yes ^{9,10}
• Document and Produce “trip inspection report”	Yes ^{8,12,13}	Yes ^{8,12,13}	Yes ^{8,12,13}
• Produce a copy of Schedules 2 and/or 3 of NSC Standard 13, Part 2	Yes ¹⁶	Yes ¹⁶	Yes ¹⁶
Under-vehicle trip inspection	Yes ^{12,15}	No	No
CVIP (semi-annual inspection)	Yes	Yes	Yes
Written Safety Program	Yes	Yes	Yes
➤ Employee Training ¹⁷ and Driver Evaluation	Yes	Yes	Yes
➤ Complete Driver Files	Yes	Yes	Yes
Hours of Service			
➤ Driver Training ¹⁷	Yes ¹⁴	Yes ¹⁴	Yes ¹⁴
➤ On-Road Compliance	Yes	Yes	Yes
Cargo Securement (standards regulation only)			
➤ Driver Training ¹⁷	Yes	Yes	Yes
➤ On-road compliance	Yes	Yes	Yes

NOTES:

Internet access to various information sites:

- General information on Alberta’s commercial transportation requirements: www.transportation.alberta.ca/3.htm
- Change carrier’s Operating Status: www.transportation.alberta.ca/661.htm

- Obtain Schedules 2, 3, 4 of the NSC Standard 13, Part 2: www.ccmta.ca/en/publications/national-safety-code/standards/item/nsc-standard-13
- Obtain CSA Standard D250-16:
store.csagroup.org/ccrz_ProductDetails?viewState=DetailView&cartID=&portalUser=&store=&cclcl=en_US&sku=CAN%2FCSA-D250-16
- Obtain CSA Standard D409:
store.csagroup.org/ccrz_ProductDetails?viewState=DetailView&cartID=&portalUser=&store=&cclcl=en_US&sku=D409-16.
- Obtain the *Commercial Vehicle Safety Regulations*, AR 121/2009:
www.qp.alberta.ca/574.cfm?page=2009_121.cfm&leg_type=Regs&isbncln=9780779740727
- Obtain other Alberta legislation: www.qp.alberta.ca/Laws_Online.cfm
- Obtain Federal legislation: www.laws-lois.justice.gc.ca

Summary of various schedules in the *Commercial Vehicle Safety Regulation*, AR 121/2009 and the NSC Standard # 13, Part 2:

CVSR Regulation (use ALL applicable Schedules):

- **Schedule 1:** general safety standards (such as markings, ext.)
- **Schedule 2:** maintenance standards for all vehicle types
- **Schedule 3:** maintenance standards for buses transporting persons with physical disabilities
- **Schedule 4:** maintenance standards for handi-buses
- **Schedule 5:** maintenance standards for school buses

NSC Standard # 13:

- **Schedule 1:** trip inspection requirements for truck / tractor / trailer
- **Schedule 2:** trip inspection requirements for all buses
- **Schedule 3:** trip inspection requirement for a motor coach (*if Schedule 2 not used*)
- **Schedule 4:** 30 day or 12,000 kilometre visual inspection of a motor coach

1. **“Bus”** is a commercial vehicle originally designed to carry 11 or more persons including the driver and used to transport persons.
2. **“Motor Coach”** is a bus of monocoque design (i.e. no frame) manufactured with underfloor storage, and not a transit bus.
3. **“School Bus”** is a bus that meets the requirements of a Type A1, A2, B, C, D school bus described in CSA Standard D250-2012 and used primarily to transport students to and from school.
4. A **“Handi-bus”** is a bus that meets the CSA Standard D409 and used primarily to transport persons with physical disabilities.
5. **“Federal”** Operating Status authorizes operation of a bus outside Alberta.
6. Maintenance program and vehicle files need to include trip inspections, repairs and CVIP forms, when

the jurisdiction(s), including Alberta, in which the carrier's vehicles are operating, require the inspections to be completed. Written safety program and driver files must address compliance issues only when the registered jurisdiction requires those records to be completed.

7. **“Daily Trip Inspection”** means a trip inspection of vehicle conducted by inspecting the specified items identified in Standard 13.
8. A **“trip inspection report”** must be completed when a daily trip inspection is conducted and it must meet the minimum legislative requirements: legible; licence number/unit number; odometer or hubometer; carrier name; location inspected; each defect or no defect; date/time of report; name of person inspecting; name and signature of driver or person inspecting.
9. A **“Bus”** shall not be operated if it fails to comply with applicable maintenance standards in Schedules 2, 3, 4, and 5 of CVSR.
10. An owner shall not permit a driver to drive and a driver shall not drive any bus unless the vehicle was inspected in accordance to Schedules 2 or 3 of Standard 13 AND no **“major defects”** were detected in the vehicle during the daily trip inspection.
11. A Motor Coach cannot be operated if it fails to comply with the maintenance standards under Schedule 2 of CVSR.
12. Carriers that are required to complete a Daily and/or Under-vehicle “Trip Inspection Report” must retain the original reports in chronological order for each vehicle for at least the current month and preceding 6 months from the date of the inspection.
13. Whether or not a “trip inspection report” is required before trip begins, if driver observes any safety defects specified in applicable Schedule 2, 3 or 4 of Standard 13 while driving, then the driver shall record the defects in a trip inspection report or in a written document and report that defect to the carrier. If the defect is “major”, then do not drive the vehicle until it is repaired.
14. Written safety program and driver files need to include Hours of Service training, orientation and compliance evaluation.
15. An **“under-vehicle trip inspection”** must meet the requirements of Schedule 4 of Standard 13 and must be conducted by a person authorized by the carrier and that has a subsisting **Heavy Equipment Technician trade certificate** through the *Apprenticeship and Industry Training Act*. A Schedule 4 inspection is required when a Schedule 3 Daily Trip Inspection is done. The “under-vehicle trip inspection” is valid up to 30 days or 12,000 kilometres, whichever comes first. Under-vehicle inspection report must contain same information as a trip inspection report plus: brake adjustment measurements; nature of all repairs to fix defects found; trade certificate number of Heavy Equipment Technician who did the inspection.
16. Schedule 2 of Standard 13 identifies the list of daily trip inspection items for a **bus, handi-bus, motor coach** and **other commercial buses** and Schedule 3 identifies an alternative list of trip inspection items that can be inspected for a **motor coach provided Schedule 4 is used as well**. The applicable Schedule, for every vehicle a driver is operating, needs to be located in each commercial vehicle and must be produced on request of a peace officer.

- 17. Training** of all applicable carrier staff (such as drivers, managers, administration, mechanics, etc.) in all **“safety laws”** is required by Section 40(1) (e) of the *Commercial Vehicle Certificate and Insurance Regulation*, AR 314/2002

APPENDIX 5

Safety Program Review for All Carriers

Carrier Name:

NSC Number:

Date Received:

Date Reviewed:

Note: Carrier must correct any deficiencies and is encouraged to review their program to ensure it continues to meet legislative requirements and its operational needs.

Written Safety Program Areas

Yes	No	N/A
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1. Does the Safety Program apply to all staff authorized to operate the carrier’s commercial vehicles?

?	?	?
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Regulation: AR314/2002, Section 40(3):

The Safety Program clearly state that it applies to all staff authorized to operate the company’s commercial vehicles (including maintenance staff, lease operators, swampers, administration staff, management, etc.).

Note: Enter “N/A” if carrier is an Owner/Operator and has never had any full-time or part-time drivers.

Comments:

Yes	No	N/A
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2. Is safe use and operation of commercial vehicles including; speed limits, seat belt use, drug and alcohol use, defensive driving, load security and fueling written into the Safety Program?

?	?	?
---	---	---

Regulation: AR314/2002, Section 40(1)(a):

Carrier must have written policies and instructions about the operation of the vehicle. These must include subjects like speed limits, seat belt use, drug and alcohol use, defensive driving, load security, fuelling. The actual policies documented should be relative to the size and type of operation of the carrier.

Comments:

Yes	No	N/A
-----	----	-----

3. Are procedures concerning proper records and recording of information including, as required; bills of lading, manifests, dangerous goods documents, time records, drivers’ daily logs, and weigh slips written into the Safety Program? (critical)

?	?	?
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Regulation: AR314/2002, Section 40(1)(b):

Carrier must have written instructions on how to properly complete records and record information relevant to their operation including, as required: bills of lading, waste manifests, dangerous goods documents, time records, drivers’ daily logs and weigh slips. These instructions may only reference sections of regulations that address completion of relevant documents (for example, *Drivers’ Hours of Service Regulation AR317/2002 Section 9*). However, if only regulatory references are made, then the carrier must be able to produce the relevant legislation and staff must have access to it.



Enter "Yes" if only a regulation reference is made but add a comment that the carrier must be able to produce or have direct access to the specific legislation referenced.

Note: Enter "N/A" if carrier is an Owner/Operator who has never had any full-time or part-time drivers other than the "owner" and has no documented on-road violations related to record completion.

Comments:

Yes	No	N/A
-----	----	-----

4. Is compliance with the law by drivers written into the Safety Program?

?	?	?
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Regulation: AR314/2002 Section 40(1)(c):

The carrier must have a written policy that drivers are to comply with the law. The carrier does not have to list specific acts or regulations.

Note: Enter "N/A" if carrier is an Owner/Operator and has never had any full-time or part-time drivers.

Comments:

Yes	No	N/A
-----	----	-----

5. Are instructions for the use of safety equipment including, as required; the use of advanced warning triangles, fire extinguishers, goggles, safety glasses and hard hats written into the Safety Program?

?	?	?
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Regulation: AR314/2002, Section 40(1)(d):

Carrier must have written instructions for the use of safety equipment that pertains to the operation of their vehicles. Minimum requirement would be the use of approved advanced warning triangles. If the carrier uses fire extinguishers, goggles and hard hats and if any other safety equipment is used or required by the carrier, then there should be instructions on how and when to use each. The carrier's instructions may state "in accordance with a specific regulation" if the regulation can be produced and staff must have access to it.

Enter "Yes" if only a regulation reference is made but add a comment that the carrier must be able to produce or have direct access to the specific legislation referenced.

Comments:

Yes	No	N/A
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6. Are policies and procedures relating to drivers' responsibilities, conduct and discipline written into the Safety Program? (critical)

?	?	?
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Regulation: AR314/2002, Section 40(1)(c):

The carrier must have a written policy which addresses driver conduct and a written disciplinary policy for failure to comply (for example, conducting the safe operation of vehicle by driving defensively and obeying the posted speed limits). The disciplinary procedures should be progressive and outline options, such as, written warnings, re-training, suspensions and termination.

Note: Enter "N/A" if carrier is an Owner/Operator and has never had any full-time or part-time drivers.

Comments:

	Yes	No	N/A
7. Is there an evaluation process for employee driving skills identified in the written Safety Program?	?	?	?

Regulation: AR314/2002, Section 40(1)(e):

The carrier must have a written policy which addresses a written performance evaluation for driving skill that is on-going (for example, annual employee reviews through roads tests, and/or periodic knowledge testing).

Note: Enter "N/A" if carrier is an Owner/Operator and has never had any full-time or part-time drivers.

Comments:

	Yes	No	N/A
8. Is retention of complete records for drivers written into the Safety Program? (critical)	?	?	?

Regulation: AR314/2002, Section 41(1)(a) – (j) and 43(1)(a) – (b):

Carrier must have a written policy indicating the specific driver's records which will be maintained and for how long; or a statement that driver's records will be maintained in accordance with the regulation. If the carrier states that records will be maintained in accordance with a regulation, then they must be able to produce the relevant Regulation and staff must have access to it.

Enter "Yes" if only a regulation reference is made but add a comment that the carrier must be able to produce or have direct access to the specific legislation referenced.

Note: An Owner/Operator is not required to retain an application form or a 3-year employment history for him/herself, but is required to maintain all other drivers' records listed in AR314/2002 Section 41(1).

Comments:

	Yes	No	N/A
9. Is ensuring all drivers are properly qualified for the type of vehicle they operate written into the Safety Program?	?	?	?

Regulation: AR314/2002, Section 41(1)(g):

Carrier has a written policy clearly specifying what the carrier considers to be a "qualified driver" for the type of vehicles they operate. This may be as simple as stating a class of licence that meets the minimum regulatory requirements.

Note: Enter "N/A" if carrier is an Owner/Operator and has never had any full-time or part-time drivers.

Comments:

	Yes	No	N/A
10. 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(s) or property? (critical)	?	?	?

Regulation: AR121/2009, Section 3:

Carrier has a written policy clearly specifying that no one shall operate or permit another person to operate a commercial

vehicle if the vehicle or its equipment is in such a condition that it could or it likely could cause an injury to a person(s) or damage to property.

Comments:

Yes	No	N/A
-----	----	-----

11. Does the carrier’s written Safety Program require that they will instruct or arrange for training of all drivers on NSC requirements such as: Hours of Service, Trip Inspections and Cargo Securement requirements, as required? (critical)

?	?	?
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Regulation: AR314/2002 Section 40(1)(c) and (e):

Carrier has a written policy that clearly identifies that they will instruct or arrange for training of all of their drivers on Hours of Service requirements, Trip Inspection requirements and Cargo Securement, as required.

Note: Enter “N/A” if carrier is an Owner/Operator and has never had any full-time or part-time drivers.

Comments:

Yes	No	N/A
-----	----	-----

12. Does the carrier’s written Safety Program require that they will monitor the compliance of each driver with Hours of Service? (critical - only for federally regulated carriers)

?	?	?
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Regulation: SOR/2005-313 Section 87(1)(2): Federal only

Carrier has a written policy that clearly identifies that they will monitor the compliance of each driver to the Hours of Service regulations. If the motor carrier determines that there has been a non-compliance issue, they shall take immediate remedial action and record the date(s) on which the non-compliance occurred, the date of the issuance of a notice of non-compliance and the action taken.

Note: Enter “N/A” if carrier is an Owner/Operator and has never had any full-time or part-time drivers, or if the carrier is a Provincial carrier.

Comments:

Totals

Final Comments

NOTE

If ANY question listed above has been answered “No”, then the carrier’s safety program MUST be updated.



