

Benefits of reviewing your Carrier Profile

 <p>Alberta TRANSPORTATION Transportation Safety Services</p>	<h2>CARRIER PROFILE</h2>
CARRIER INFORMATION	
Example Transport (Alberta) Limited	
4221 - 53 St. RED DEER AB T4N 2E1	
Carrier Number: AB018-3178	
Profile Period Start: 2003 JAN 01 End: 2003 DEC 31	
NOTE	
<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>	
Date Printed: 2004 JAN 15	Requested By: HTCSA13

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Introduction

The National Safety Code (NSC) for commercial vehicles consists of 16 individual standards. The purpose of the NSC is 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, the profile is also a valuable tool for carriers and may assist them in evaluating the effectiveness of their safety and maintenance programs.

Safety officers and company managers should routinely review their profile, in addition to internally collected information to measure their compliance to safety laws and to meet their due diligence.

It is recommended that you;

- Read the document entitled **“Your Carrier Profile: How To Read it”**, and
- Have a copy of your carrier profile available for reference. If you do not have a copy of your profile a sample copy is available on our website.

To encourage carriers to obtain and review their Carrier Profile, Carrier Services provides two free profiles to each carrier yearly. A fee of \$2 per page + GST is charged there after.

A copy of a Carrier Profile can be requested by:

- The carrier itself;
- 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 via the internet. This will provide you immediate access to your profile during and after normal business hours. To register go to <https://www.trans.gov.ab.ca/TravisWebLogin/redirect.htm> and select “Register”.

To make a written request for a copy of your profile complete a Profile Request form and submit it to Carrier Services. Profile Request forms are available from Carrier Services or via the internet at <http://www.transportation.alberta.ca/Content/doctype276/production/carrproreque.pdf>

How Can the Carrier Profile Benefit Your Company?

The four most important benefits of reviewing your carrier profile are:

1. It may reduce future vehicle collisions by identifying safety issues within your operation.
2. It may save you money by reducing future fines, maintenance, and insurance costs.
3. A good profile will give shippers the confidence they are hiring a safe and responsible carrier.
4. It will aid you to continue to maintain an acceptable Safety Fitness Rating under Alberta's National Safety Code Program (NSC). Carriers issued a Conditional rating may not be eligible for safety related permits. If a carrier is issued an Unsatisfactory rating, a carrier may not register or operate an NSC vehicle.

The carrier's safety officer and management staff can use the company's Carrier Profile to answer the following questions.

Question 1. What is our company's current standing under Alberta's National Safety Code Program?

Answer:

Part 1 and Part 6 are valuable pages for a safety officer to review. **Part 1 always provides the carrier's current standing based on the last 12 month period, regardless of the period of time the profile is requested for.**

By reviewing "Part 6- Monitoring Summary", the safety officer can observe the carrier's performance over a period of time and determine what monitoring areas (convictions, CVSA inspections, or collisions) is/are having the greatest contribution to raising their R-Factor score (a lower score represents safer performance). By viewing the R-Factor score data over time the safety officer can see if the company's policies and procedures are having the desired effects.

Note: Carrier Services' monitoring program is designed to identify the 5% of Alberta carriers that represent the greatest risk to the public. If you are on Carrier Services' monitoring report you need to take immediate action to review and address your safety issues.

If you want more detailed information on your company's compliance, information in "Part 6 – Monitoring Details" breaks down events from Parts 2 (convictions), 3 (CVSA inspections), and 4 (violations) into a number of statistics. This information will allow the reader to see if the out of service defects per inspection (CVSA), total defects per inspection (CVSA), the carrier's CVSA Out of Service rate, number of out of service inspections per vehicle, and collision points per vehicle is dropping, going up, or maintaining a consistent level over time.

Question 2. Where is our operation having its greatest transportation safety difficulties?

Answer:

To answer this question, the safety officer can review the analysis pages of Parts 2, 3, 4 and 5. Each of these analysis pages divides violations into specific groups, provides the total number of violations for each group, and what percentage of those violations make up the total violations identified. If, upon reviewing the company's profile, the safety officer determined that 85% of the violations and CVSA defects were related to vehicle maintenance and drivers' hours of service violations, this would be a good place for the safety officer to focus attention for future improvement. New policies and internal monitoring programs may be required or existing ones may need to be fully implemented.

Safety officers need to keep in mind that the driver is not necessarily the root cause of why a violation has occurred. A driver's hours of service violation may be the result of an untrained dispatcher. Vehicle equipment issues may be the result of poor maintenance practices by shop personnel. Sometimes, despite the best practices of a driver and other employees, violations occur. The safety officer must take care to investigate each profile event to find the root cause that led to the event occurring, and then take the appropriate remedial action to prevent it from happening again. In addition, the safety officer must consider the number of violations relative to the carrier's operation. If a carrier with a fleet of 100 NSC vehicles has 3 minor violations for equipment on its profile, which represents 75% of total violations, then this would not be considered a significant problem. If the carrier's vehicles are being checked on a regular basis, having a low number of profile events may suggest the company has an effective safety program.

If an area of concern is identified, the safety officer/ management should be asking the following questions:

1. Do I have a policy in place addressing this issue(s) and does the staff understand the policy?
2. Has staff been adequately trained in the company's policies, procedures and any associated regulations?
3. Do I have an internal monitoring program in place to ensure employees are fully implementing the policy?
4. What are the consequences for not following the company's policies and transportation safety legislation?
5. What are the benefits to staff for following the company's policies and transportation safety legislation? (reward program)

Question 3. How can I monitor company employees to ensure they are following company policies and reporting violations?

Answer:

Alberta legislation requires every carrier to implement written safety and maintenance plans and the profile can be used to assist you in evaluating their effectiveness. However, an internal monitoring program should also be in place to ensure company policies and procedures are being implemented properly. Company staff should not rely only on enforcement agencies to identify violations and inconsistencies within a carrier's safety program. Parts 1, 2, 3, 4, and 5 of the Carrier Profile summarizes convictions, CVSA inspections, collision information, and violations. This information should be used to supplement information collected internally.

Every plan must contain a policy requiring drivers to report all violations, inspections, and collisions to the carrier. This policy is critical in the management of a company's operation. By reviewing internally collected information and your profile, you can monitor your individual drivers for compliance to this policy. Drivers' names associated with each event can be identified in the Summary and Detail pages of Part 2 (Convictions), Part 4 (Collisions), and Part 5 (Violations). The driver's name is only documented in the Detail page of Part 3 (Collisions). By reviewing and verifying individual employees' performances, the company's safety officer can:

- Verify company policies are being implemented,
- Develop new policies to address safety or compliance issues,
- Provide necessary rewards and discipline as required, and
- Identify training needs of employees

It is critical that the company's safety officer review each violation, CVSA inspection defect, and collision to determine the root cause of why the event occurred. Only by making this evaluation and taking remedial action can you prevent similar events from reoccurring in the future. By reviewing and documenting such action it will also support any future disciplinary action you may have to take with an employee and show the company's due diligence in dealing with its compliance and safety issues.

In addition to using the Carrier Profile to see if employees are following company policy, other internal audit methods must be implemented to ensure compliance. Two good examples of this would be in the areas of driver's hours of service and vehicle trip inspections. Internal monitoring must be implemented to ensure on-going compliance to company policies. Simply looking for violations on your profile is not sufficient to ensure safety issues are being addressed. For example, the safety officer can go out into the field and:

1. Ensure trip inspections are being completed, and
2. Re-inspect the vehicles to ensure the driver is conducting a proper inspection according to the training provided.

With respect to driver's hours of service, reviewing the Carrier Profile for violations is only one method of ensuring company policies are being adhered to. Profile events may also supply the safety officer with time markers to assist in determining if the driver is completing daily logs (log books) accurately. By comparing the time and place of a profile event to the driver's log book, the safety officer may be able to verify driver compliance. Other supporting documents such as fuel receipts, scale weigh tickets, and bills of lading may also be used in the comparison. Once the logs have been reviewed for accuracy, they must then be reviewed for compliance to driving or rest requirements.

Updating/Correcting Your Profile

Every effort has been made to ensure that the information contained in a 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
E-mail: carrier.services@gov.ab.ca

If you have concerns when you receive a traffic violation ticket, a violation document, or a CVSA inspection report from an enforcement officer, you must discuss your concerns with the officer and/or his or her supervisor. The profile information is recorded as submitted to Carrier Services by the enforcement agency or the courts. Only the originating enforcement agency can instruct that a change be made to a record. Carrier Services may not question the merits of a violation or inspection.

Conclusion

Carriers must address their safety issues to meet their due diligence. Failing to do so may result in the carrier committing regulatory violations that result in prosecution or being sued civilly.

An addition, more and more shippers are insisting carriers prove they have effective programs to address their safety issues prior to contracting their services. Carriers may lose contracts for failing to be able to provide their due diligence in addressing safety concerns.

Carriers are in the best position to monitor their own operation. Most of the information reviewed should be collected from their internal monitoring programs. A carrier should not wait for an enforcement officer or agency to point out it has compliance problems. The Carrier Profile can supply the carrier additional information that can be valuable in evaluating if its policies and procedures are effective. If used properly, the Carrier Profile can assist you to be *proactive* rather than *reactive*. It allows you to identify and take appropriate corrective action thereby helping you to reduce and stop the recurrence of violations, and reduce the number and severity of collisions.

More Information

For more information on Carrier Profiles, please contact:

Carrier Services Section

#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)

www.qp.alberta.ca (Queens Printer for Alberta)

<http://laws.justice.gc.ca/en/index.html> (Federal legislation)