

## National Safety Code Compliance Self-Assessment Tool For Commercial Trucks, Tractors and Trailers

**Disclaimer:** This tool is intended for self-assessment purposes only; it cannot be submitted in lieu of a Third Party Audit conducted by a certified Third Party Auditor (TPA). For an up to date list of certified TPAs, please visit: <https://www.alberta.ca/third-party-auditor-certification-program.aspx>

<b>A. <u>INSURANCE</u></b> See Sections 24 and 25 of the <i>Commercial Vehicle Certificate and Insurance Regulation</i> , AR 314/2002.	
<b>1. Does the carrier maintain at least the minimum level of inland transportation cargo insurance as described below?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Carrier must maintain inland insurance as set out in Section 24 of AR 314/2002. A registered owner must maintain cargo insurance against loss of or damage to goods transported.	
<b>Comments:</b>	
<b>2. Does the carrier maintain at least the minimum level of Public Liability and Property Damage (PL and PD) Insurance?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<ul style="list-style-type: none"> <li>a. \$2,000,000 for dangerous goods outlined in <i>Transportation of Dangerous Goods Regulation</i> SOR/2001-286 Schedule 1, Column 7 (i.e. those goods that require an Emergency Response Plan).</li> <li>b. \$1,000,000 in all other cases.</li> </ul>	
<b>Comments:</b>	
<b>B. <u>SAFETY</u></b> See Sections 40 and 43 of the <i>Commercial Vehicle Certificate and Insurance Regulation</i> , AR 314/2002.	
<b>3. Does the carrier's Safety Program designate a Safety Officer to be responsible for maintaining and implementing the Safety Program and ensuring compliance with the safety laws?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>Comments:</b>	

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<p><b>4. Does the carrier's written Safety Program establish, maintain, clearly document and address matters relating to the safe operation of their commercial vehicles?</b></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p>
<p>Safety Plan must include at least:</p> <ul style="list-style-type: none"> <li>a. Direction that it applies to staff authorized to operate the carrier's commercial vehicles;</li> <li>b. Safe use and operation of commercial vehicles including; speed limits, seat belt use, drug and alcohol use, defensive driving, load security, and fueling;</li> <li>c. Proper records and recording of information including, as required; bills of lading, manifests, dangerous goods documents, time records, drivers' daily logs and weigh slips;</li> <li>d. Ensuring that drivers are expected to comply with the law;</li> <li>e. Instructions for use of safety equipment including, as required, the use of warning triangles and flares, fire extinguishers, goggles, and hard hats;</li> <li>f. Policies and procedures relating to the driver's responsibilities, conduct and discipline;</li> <li>g. Providing training to employees about safety laws and their application and an ongoing program for evaluating their driving skills;</li> <li>h. Retention of complete records for each driver (refer to Section 41 of AR 314/2002); and</li> <li>i. Ensuring all drivers are properly qualified for the type of vehicle they operate.</li> </ul>	
<p><b>Comments:</b></p>	
<p><b>5. Are copies of all the carrier's records located at their principal place of business (main office) in Alberta?</b></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p>
<p>Electronic records are acceptable if appropriate policies are in place to ensure they are not lost. If records are scanned then the originals of hours of service records must be retained after scanned.</p>	
<p><b>Comments:</b></p>	
<p><b>6. Does the carrier and their employees comply with the carrier's written Safety Program?</b></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p>
<p>All policies/procedures contained in the safety program must be followed as described. The program can be periodically updated.</p>	

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<b>Comments:</b>	
<b>C. DRIVER FILES</b> See Section 41 of the <i>Commercial Vehicle Certificate and Insurance Regulation</i> , AR 314/2002.	
<b>7. Does the carrier keep individual files on each authorized driver of their regulated commercial vehicle(s)?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
This includes any full-time or part-time driver, including mechanics, managers and administration staff who are authorized by the carrier to drive an NSC commercial vehicle.	
<b>Comments:</b>	
<b>8. Does each driver's file contain at least all of the required information and is the information retained for at least the minimum required time (i.e. the shorter of the current year and four previous years, or since the driver was hired)?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<p>Each driver file must contain:</p> <ul style="list-style-type: none"> <li>a. Completed application form, if hired after April 1, 1998;</li> <li>b. Employment history for at least three years prior to working for carrier, if hired after April 1, 1998;</li> <li>c. Driver's abstract, when the driver is first hired, dated within 30 days of the date of employment or hire, if hired after May 20, 2003;</li> <li>d. Annual updated copies of the driver's abstract;</li> <li>e. A record of the driver's convictions of safety laws for the current year and previous four years;</li> <li>f. A record of any administrative penalty imposed on the driver under any safety law;</li> <li>g. A record of all collisions reportable to a peace officer involving a motor vehicle operated by the driver including collisions in jurisdictions outside Alberta;</li> <li>h. A record of all training completed with respect to the operation of a commercial vehicle and compliance with safety laws;</li> <li>i. A copy of any training certificate issued to the driver, in electronic or paper form, for the period starting on the date the training certificate was issued and continuing until three years after it has expired, in accordance with part VI of the Transportation of Dangerous Goods Regulation;</li> <li>j. In the case where the driver has a Class 1, 2, or 4 operators license:             <ul style="list-style-type: none"> <li>1. A current medical certificate required by the license, or</li> <li>2. A copy of a valid operator's licence or current driver's abstract.</li> </ul> </li> </ul>	

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<b>Comments:</b>	
<b>D. HOURS OF SERVICE</b> See the <i>Drivers' Hours of Service Regulation, AR 317/2002</i> (Provincial) and the <i>Commercial Vehicle Drivers' Hours of Service Regulation, SOR/2005-313</i> (Federal).	
<b>9. Does the carrier retain drivers' hours-of-service records for at least six months?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Hours-of-Service records include logbooks, radius duty status records, supporting documents (e.g. fuel receipts), etc.	
<b>Comments:</b>	
<b>10. Does the carrier file their drivers' hours-of-service records in a neat and orderly manner so that any individual driver's records can be easily located for checking?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>Comments:</b>	
<b>11. Is there a daily log or other duty status record when required?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<p><u><a href="#">Provincial Legislation AR 317/2002</a></u></p> <p>A daily log is required unless all of the following requirements are met:</p> <ol style="list-style-type: none"> <li>The driver operates within a radius of 160 kilometers of the driver's home terminal;</li> <li>The driver starts and ends his work shift at the same location;</li> <li>The driver does not work more than 15 hours in a work shift;</li> <li>The carrier that employs the driver maintains and keeps accurate time records of the driver's shift start and finish times for a period of six months; and</li> <li>Every calendar day must be accounted for.</li> </ol> <p><u><a href="#">Federal Legislation SOR/2005-313</a></u></p> <p>A daily log is required unless all of the following requirements are met:</p> <ol style="list-style-type: none"> <li>The driver operates within a 160 kilometer radius of the driver's home terminal;</li> <li>The driver returns to the home terminal each day to begin a minimum of eight consecutive hours of off-duty time;</li> <li>The motor carrier maintains accurate and legible records showing, for each day, the driver's duty status, elected cycle, the hour at which each duty status begins and ends, the total number of hours spent in each status and keeps those records for a minimum period of six months after the day on which they were recorded;</li> </ol>	

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<p>d. The driver is not driving under a permit; and e. Every calendar day must be accounted for.</p>	
<p><b>Comments:</b></p>	
<p><b>12. Are the carrier’s drivers completing all “Form and Manner” requirements for each daily log?</b></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p>
<p>Form and manner items include date, carrier’s name, driver’s signature, driver’s name (printed), starting and ending odometer readings, total kilometers or miles driven, name of co-driver if applicable, vehicle unit # or licence plate #, name of municipality and province at each change in duty status.</p> <p><u>Provincial Only:</u> also includes location where fuel was obtained and the number of litres or gallons of fuel taken.</p> <p><u>Federal Only:</u> also includes start time of day (if different than midnight), cycle that driver is following (unless operating under the provisions of an oil well service vehicle permit), in the “Remarks” section include the number of hours of off-duty and on-duty time accumulated by the driver each day during the 14 previous days (if no daily log was required before the beginning of the current day), and if applicable, a declaration in the “Remarks” section of the daily log that states the driver is deferring off-duty time and that clearly indicates whether the driver is driving under day one or day two at that time.</p>	
<p><b>Comments:</b></p>	
<p><b>13. Are all drivers’ daily logs and/or records of duty status true and accurate?</b></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p>
<p>This is identified by conducting an internal audit of logs and records using independent supporting documents such as fuel receipts, tach cards, hotel receipts, loading/unloading records, etc. Answer “No” if the carrier is not checking logs for falsification.</p>	
<p><b>Comments:</b></p>	
<p><b>D. (1) <u>PROVINCIAL OPERATING STATUS</u> and <u>HOURS OF SERVICE</u></b> See the <i>Drivers’ Hours of Service Regulation, AR 317/2002</i> (Provincial) The following questions apply <b>only</b> to carriers with a Provincial Operating Status.</p>	
<p><b>14. Are all drivers in compliance with the 13-hour driving in a “work-shift” rule?</b></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p>
<p>No driving is allowed after driving 13 hours in a work-shift. Eight or more consecutive hours off-duty resets the work-shift.</p>	

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<b>Comments:</b>	
<b>15. Are all drivers in compliance with the 15-hour on-duty in a “work-shift” rule?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
No driving is allowed after being on duty for 15 hours in a work-shift. Eight or more consecutive hours off-duty resets the work-shift.	
<b>Comments:</b>	
<b>D. (2) FEDERAL OPERATING STATUS and HOURS OF SERVICE</b> See the <i>Commercial Vehicle Drivers’ Hours of Service Regulation, SOR/2005-313 (Federal)</i> . The following questions apply <b>only</b> to carriers with a Federal Operating Status.	
<b>16. Does the carrier have an internal process to monitor the compliance of each driver to hours-of-service regulatory and permit requirements?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Regulation: SOR/205-313 Section 87: Carriers must have implemented a monitoring program. Records maintained must include at least: <ol style="list-style-type: none"> <li>1. The nature and date of the violations detected;</li> <li>2. What remedial action the carrier took with the driver; and</li> <li>3. The date the remedial action was taken</li> </ol> Note: Enter N/A if carrier is an Owner/Operator and has never had any full-time or part-time drivers.	
<b>Comments:</b>	
<b>17. Are all drivers in compliance with the 13-hour driving in a “day” rule?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
No driving is allowed after the driver has accumulated 13 hours of driving time in a “day”. A “day” is defined as a 24-hour period that begins at the hour designated by the motor carrier and noted on the log by the driver for the duration of the driver’s cycle.	
<b>Comments:</b>	
<b>18. Are all drivers in compliance with the 14-hour on-duty in a “day” rule?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
No driving is allowed after the driver has accumulated 14 hours of on-duty time in a “day”. A “day” is defined as a 24-hour period that begins at the hour designated and noted on the log by the motor carrier for the duration of the driver’s cycle.	

FOR SELF-ASSESSMENT PURPOSES ONLY; WILL NOT BE ACCEPTED BY ALBERTA TRANSPORTATION FOR COMPLIANCE PURPOSES

<b>Comments:</b>	
<b>19. Are all drivers in compliance with the 10-hours off-duty in a “day” rule?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Drivers must have 10 hours off in a “day”. This off-duty time must include at least 2 hours of off-duty time (taken in blocks of not less than 30 minutes) that does not form part of a period of 8 consecutive hours of off-duty time (although they can be consecutive).	
<b>Comments:</b>	
<b>20. Are all drivers in compliance with the 13-hour driving in a “work-shift” rule?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
No driving is allowed after driving 13 hours in a work-shift. Eight or more consecutive hours off-duty resets the work-shift.	
<b>Comments:</b>	
<b>21. Are all drivers in compliance with the 14-hour on-duty in a “work-shift” rule?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
No driving is allowed after the driver has been on-duty for more than 14 hours in a work-shift. Eight or more consecutive hours off-duty resets the work-shift.	
<b>Comments:</b>	
<b>22. Are all drivers in compliance with the 16-hour “elapsed time” rule?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
No driving is allowed after 16 hours of time has elapsed since the driver started a work-shift. (i.e. the clock starts ticking at the start of the driver’s work-shift and does not stop until the driver begins to take 8 or more consecutive hours of off-duty time.	
<b>Comments:</b>	
<b>23. Are all drivers in compliance with the 70 and 120-hour “cumulative cycle” rules?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
No driving is allowed after the driver has reached their cycle limits. Drivers must either follow Cycle 1 (70 hours on-duty in 7 days) or Cycle 2 (120 hours on-duty in 14 days).	

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<b>Comments:</b>	
<b>24. Are all drivers in compliance with the mandatory 24 hours off-duty rule?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Regardless of the cycle the driver is operating under, no driving is allowed unless the driver has taken at least 24 consecutive hours of off-duty time in the preceding 14 days.	
<b>Comments:</b>	
<b>E. MAINTENANCE</b> See the <i>Commercial Vehicle Safety Regulation, AR121/2009</i> .	
<b>25. Does the carrier have a written Maintenance and Inspection Program that covers at least <u>all</u> the items required?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
See Section 6 of AR 121/2009. Carrier must meet the requirements of Section 6 and 10, and Schedule 2 of AR 121/2009, as applicable, and the requirements of the Vehicle Inspection Regulation, AR 122/2009.	
<b>Comments:</b>	
<b>26. Does the carrier's written Maintenance and Inspection Program pertain to all types of regulated commercial trucks, tractors and trailers registered to the company?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
A carrier's written program must apply to all commercial vehicles registered for a weight in excess of 4,500 kilograms.	
<b>Comments:</b>	
<b>27. Does the carrier's written Maintenance and Inspection Program call for a regular and continuous program of inspection and maintenance?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Regular and continuous means specific criteria for time and/or distance between inspections.	
<b>Comments:</b>	
<b>28. Does the carrier maintain individual files for each vehicle registered to your company and does each file contain at least all of the required information about the vehicle?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Must meet the requirements of Section 37(2) (a) of AR 121/2009. Each vehicle file must identify the vehicle including at least:	

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<ol style="list-style-type: none"> <li>1. Unit number, serial number, or similar identifying mark;</li> <li>2. Make of the vehicle; and</li> <li>3. The year of manufacture of the vehicle.</li> </ol>	
<p><b>Comments:</b></p>	
<p><b>29. Are all individual documents of all vehicle trip inspections, scheduled maintenance (e.g. Preventative Maintenance, A/B/C service), repairs, and lubrications each recorded with the required information?</b></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<p>Must meet the requirements outlined in Section 37(2)(b) of AR 121/2009 including:</p> <ol style="list-style-type: none"> <li>1. The nature of the work performed; AND</li> <li>2. The date on which the inspection took place or odometer or hubmeter reading on the vehicle at the time.</li> </ol>	
<p><b>Comments:</b></p>	
<p><b>30. Does the carrier have a system in place that ensures that all regulated commercial trucks, tractors and trailers undergo a CVIP inspection at least every 12 months, that each vehicle contains a copy of its current inspection certificate and displays the corresponding decal?</b></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<p>This annual inspection is not considered part of your “routine” maintenance requirements.</p>	
<p><b>Comments:</b></p>	
<p><b>30. Are trip inspections and trip inspection reports being completed as required?</b></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<p>Trip inspections must be conducted as per Section 10 of AR 121/2009. Trip inspection reports must be completed as per Section 12 of AR 121/2009 on all vehicles operated under the authority of the carrier’s Safety Fitness Certificate. (Must consider if the carrier is federally or provincially regulated)</p>	
<p><b>Comments:</b></p>	
<p><b>31. Does each vehicle file contain all maintenance and inspection records for that vehicle for at least the minimum required time?</b></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<p>Must meet the requirement of Section 38 of the AR 121/2009. Trip inspection reports must be retained for the current month and the 6</p>	

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<p>months immediately preceding. All other records must be retained for the current calendar year and the 4 calendar years immediately preceding.</p>	
<p><b>Comments:</b></p>	
<p><b>32. Is a copy of the carrier’s Maintenance and Inspection Program document kept at their principal place of business in Alberta and all other locations where maintenance and repairs are completed?</b></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p>
<p>Electronic copies of the Maintenance Program are acceptable if it is available to all applicable employees wherever needed.</p>	
<p><b>Comments:</b></p>	
<p><b>33. Has the carrier fully implemented <u>all</u> areas of your Maintenance and Inspection Program?</b></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p>
<p><b>Comments:</b></p>	
<p><b>Total Number of “No’s”</b></p>	

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## Evaluation

### National Safety Code Compliance Quiz For Commercial Trucks, Tractors and Trailers

No violations of legislation are acceptable. Any non-compliance must be corrected immediately. To estimate the company’s level of non-compliance, determine the number of questions answered “No” and compare this number to the appropriate row in the table below.

Number of “No’s”		Violation Level/Action
Federal Operating Status	Provincial Operating Status	
0 - 5	0 - 4	Generally good compliance, some upgrades are required.
6 - 9	5 - 6	You are required to re-evaluate all of your programs and procedures and ensure full compliance.
10 - 33	7 - 25	Unacceptable compliance to legislation. Correct all deficiencies immediately. Suggest you consult a Transportation Consultant or Alberta Transportation for information.

Improvements must be made to all areas identified as being incomplete or as not meeting the company’s regulatory requirements. You may want to contact a transport consultant to assist you.

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