

Appendix 3: Compliance Review

Mill Name:	
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Company personnel must review the following information with Carrier/Contractor(s) and Carrier/Contractors must review this information with subcontractor(s) as part of the Dimension and Weight Agreement for the Movement of Raw Forest Products with Alberta Transportation. Sub points of the 'Compliance Review' are intended to provide the Company with relevant discussion topics to be reviewed prior to hauling.

Additional Resources:

- For further information on Transportation Compliance in Alberta visit <https://www.alberta.ca/commercial-carriers.aspx>
- The Commercial Vehicle Safety Compliance in Alberta education manual should be reviewed <https://www.alberta.ca/education-material-commercial-Carrier/Contractors.aspx>. Contact Alberta Transportation at 403-755-6111 for additional information.

This is a review of the Carrier/Contractor's compliance only and is not intended to be a comprehensive audit.

Section A: Safety Fitness Certificate

Does the Carrier/Contractor have a valid Safety Fitness certificate?

1. A Safety Fitness Certificate is issued to a Carrier/Contractor and allows a Carrier/Contractor to operate commercial vehicles.
2. To operate commercial vehicles in Alberta, Carrier/Contractors must have a certificate.
3. The certificate will show dates of validity, the Carrier/Contractor's operating status and other information.
4. The certificate will identify whether the Carrier/Contractor is Provincially or Federally regulated.
5. If the Carrier/Contractor is "Unsatisfactory" the Carrier/Contractor cannot operate National Safety Code regulated vehicles.

Section B: Carrier/Contractor Profile

Can the Carrier/Contractor produce a public Carrier/Contractor profile that shows acceptable on road performance?

1. The Carrier/Contractor profile shows all:
 - a. Convictions,
 - b. Collisions, and
 - c. Commercial Vehicle Safety Alliance (CVSA) inspections that were issued to drivers of the Carrier/Contractor's commercial vehicles.
2. This information is compiled into an "R" factor score. The score is then displayed as a raw number and also as a monitoring stage of one (1) through four (4). Four (4) is considered the most risk to other highway users.
3. Carrier/Contractor profiles also show if the Carrier/Contractor's safety fitness rating is "Conditional". A conditional rating indicates the Carrier/Contractor has not met minimum transportation safety requirements and the Registrar has taken disciplinary action against the Carrier/Contractor to try to improve their compliance level.
4. Use of a "Conditional" Carrier/Contractor or a Carrier/Contractor on monitoring should be evaluated to determine if they pose an unacceptable risk to the public, Carrier/Contractor, or the Mill.

Section C: Transportation Safety Plan

- Does the Carrier/Contractor have a Transportation Safety Plan that addresses at least minimum regulatory requirements?**
 1. A Transportation Safety Plan focuses on safe operation of a commercial motor vehicle and the qualifications of the driver and its associated record keeping.
 - a. A safety plan should not be confused with a COR certificate, which is governed under occupational health and safety legislation, not the *Traffic Safety Act*.
 2. For information on completing a Transportation Safety Plan, visit the following website: Safety and Maintenance Programs – Commercial Carrier/Contractors www.alberta.ca/safety-and-maintenance-programs-commercial-contractors.aspx.

Section D: Driver Files

- Does the Carrier/Contractor have complete driver files for all its authorized drivers that meets at least minimum regulatory requirements?**
 1. This includes:
 - a. Employment history,
 - b. Drivers' abstracts (within 30 days of hire and at least annually after that),
 - c. Record of convictions for the preceding four (4) years (usually present on a driver abstract or commercial driver's abstract),
 - d. Record of any reportable collisions while operating a commercial vehicle, and,
 - e. Record of any training taken in transportation safety topics such as:
 - i. Load securement,
 - ii. Trip inspections,
 - iii. Hours of service, and/or
 - iv. Weight and dimensions (should include training specifically related to log haul permits).
 2. It is recommended that Carrier/Contractors request a Commercial Driver Abstract (CDA).
 - a. The CDA incorporates existing Driver's Abstract information and includes information on National Safety Code (NSC) infractions such as hours of service violations, cargo securement violation or overloads.
 - b. It also includes results of CVSA inspections. The CDA is inclusive of information from any NSC violation received while operating commercially registered vehicles.
 - c. Information on the CDA can be found at www.alberta.ca/commercial-driver-abstract.aspx.

Section E: Driver Training

- Does the Carrier/Contractor ensure all its drivers are trained in the appropriate transportation items, as well as Mill specific requirements?**
 1. Training must meet the specific requirements of the Carrier/Contractor and the logging industry.
 2. The driver must be competent in performing a trip inspection on the style of vehicle they operate and be able to identify any faulty components or other safety hazards.
 3. Drivers must understand the specific requirements to secure and haul logs.
 4. Drivers must have knowledge on how to complete a daily log and their driving limitations.
 5. Drivers must have knowledge of regulated weights and dimensions. If operating under a permit, the driver is expected to know what the permit allows and prohibits.
 - a. Additional information is available at <https://www.alberta.ca/education-manual-for-commercial-carriers.aspx>. This information can be used by the Company and its Carrier/Contractor(s) to develop training material that can assist drivers to do their job competently and in compliance with the Log Haul Program.

- b. There are also consultants available to train Carrier/Contractors and drivers in transportation compliance. A list of transportation auditors/consultants is available at <https://www.alberta.ca/third-party-auditor-certification-program.aspx>

Section F: Hours of Service

- Does the Carrier/Contractor ensure all drivers are operating within the limits of the hours of service regulations?**
1. The Carrier/Contractor must have a process in place to make sure drivers are not required or encouraged to drive commercial vehicles in excess of daily driving limits.
 2. Since Alberta enforces two pieces of legislation governing hours of service, it is important to determine which legislation is appropriate to the Carrier/Contractor:
 - a. Federal regulations require active monitoring and remediation of non-compliance.
 3. It is also important to note that even though a driver may have had the required time off-duty, they may still be unfit to drive. Other circumstances may contribute to impairment or fatigue, such as:
 - a. Illness,
 - b. Improper sleep,
 - c. Drugs,
 - d. Alcohol, and
 - e. Other factors.
 4. Any driver who is fatigued for any reason should not be allowed to continue driving a commercial vehicle.
 5. Information on training, fatigue management and hours of service is available at www.alberta.ca/training-fatigue-management-and-hours-of-service.aspx

Section G: Transportation Maintenance Plan

- Does the Carrier/Contractor have a written Transportation Maintenance Plan that covers their commercial trucks and trailers?**
1. The maintenance program must address the regular and continuous maintenance of commercial vehicles and trailers operated by the Carrier/Contractor. This includes:
 - a. Trip inspections,
 - b. Trip inspection reports,
 - c. Appropriate NSC (National Safety Code) schedules,
 - d. Periodic maintenance inspection reports,
 - e. Maintenance receipts or records,
 - f. Repair records,
 - g. Annual inspections (CVIP), and
 - h. Associated record keeping.
 2. For information on completing a Transportation Maintenance Plan, visit the following website Preparing Written Safety and Maintenance Programs www.alberta.ca/safety-and-maintenance-programs-commercial-Carrier/Contractors.aspx

Section H: Vehicle Files

- Does the Carrier/Contractor(s) have vehicle files for each of its registered power units and trailers that it operates?**
1. As with drivers, each vehicle the Carrier/Contractor has registered and in use requires a file. The file contains at least the records described in **Section G** above.

Section I: Subcontractors

Does the Carrier hire sub-contractors (“Contractors”)?

Yes

No

If yes, **does the Carrier conduct a compliance review of all Contractors as outlined in Appendix 3: Section A – H**

Yes

No

1. A Compliance Review must be filled out by:

- a. Each Contractor for each Carrier hired by the Contractor or,
- b. If the Carrier is hired by the Mill, each Carrier hired by the Mill.

Section J: Rated Capacity of Equipment

Does the Carrier/Contractor comply with manufacturer’s specifications for maximum load weight?

1. If a load exceeds the manufacturer’s specifications for the maximum weight of the load, the employer must, under section 524(3) of the Occupational Health and Safety Code:
 - a. Prepare a written assessment of the hazards relating to the operation of the logging vehicle, and
 - b. Implement controls that ensure the safe operation of the vehicle.

Continue on next page...



I certify that I have reviewed with the Carrier/Contractors the information related to transportation compliance prior to hauling for the Mill.

Carrier/Contractor Name: _____

Motor Vehicle Identification Number (MVID): _____

Company Representative:

Print Name

Signature

Position/Title

Company

Email Address

Date

Carrier/Contractor Representative:

Print Name

Signature

Position/Title

Contractor/Carrier/Contractor

Email Address

Date

Carrier/Contractor Compliance Review Discussion Comments: if the Carrier/Contractor answers "NO" to any of the questions, note details below and direct Carrier/Contractor to information related to commercial transportation at www.alberta.ca/commercial-Carrier/Contractors.aspx or www.qp.alberta.ca/Laws_Online.cfm