

# Partners In Compliance Program

Policy and Operations Manual

October 2015



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## 1.0 Executive Summary

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The Partners In Compliance (PIC or PIC Program) was founded in 1995 as a joint venture between Alberta Transportation, Alberta Motor Transport Association (AMTA) and safety-focused motor carriers from the Alberta’s transportation industry. The organization’s purpose was to enhance highway safety through the exemplary safety performance of PIC Members’ commercial vehicles (trucks, buses and motor coaches), serve as an industry leader, a model to other carriers, and allow Government resources to be focused on carriers that pay less attention to good safety practices.

The Program operated successfully until spring 2003, when the Program’s administration was temporarily suspended due to the withdrawal of the AMTA as the Program’s administrative partner. In the fall of 2003, at the request of the (then) Minister of Transportation, a joint government/industry re-engineering effort was initiated with the overwhelming support of PIC Carriers.

The focus of the re-engineering initiative has been:

1. The development of a valid, but more manageable system of measuring highway safety performance of the motor transport industry.
2. The identification of mutual industry-government benefit.
3. The development of a sustainable business model.

This Policy and Operations Manual, Business Plan, and the proposal, “Alberta PIC Preclearance System Specifications” from International Road Dynamics Inc. are the culmination of the re-engineering effort. These documents address each of the above three focuses of the re-engineering initiative.

The AMTA and the PIC Program also developed a new model for the governance and management of PIC. Under this arrangement, the AMTA established the “Partners In Compliance Advisory Council”. The PIC Advisory Council operates under the auspices of AMTA, but in a semi-independent manner. The relationship between the PIC Program, the PIC Advisory Council, and AMTA is established in the “PIC Advisory Council Terms of Reference”, Refer to Appendix A (PIC Advisory Council Terms) which have been jointly developed by PIC Members and the AMTA.



## 2.0 Mission, Vision and Principles

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### 2.1 Mission

The Partners In Compliance Program will provide leadership in achieving a recognized, collectively superior level of roadway and workplace safety performance, supported and balanced by tangible value to all stakeholders.

PIC stakeholders will include, but not be limited to:

- a) Alberta Transportation.
- b) Alberta Justice and Solicitor General.
- c) Workers Compensation Board.
- d) Member Motor Carriers (motor carriers are defined as per NSC definition).
- e) Alberta Motor Transport Association.
- f) Industry-related departments, agencies, associations, organizations, and consultants.



## 2.0 Mission, Vision and Principles

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### 2.2 Vision

Partners In Compliance will be recognized as an assembly of superior motor carriers with respect to their safety and compliance performance and will consistently:

- a) Achieve and maintain the highest overall level of safety performance.
- b) Achieve and maintain the highest overall level of compliance performance.
- c) Be open and enticing to all segments of the industry and all sizes of carrier firms.
- d) Be recognized as industry leaders in safety by carriers, customers, contractors, the Alberta Government, other North American jurisdictions, and the public-at-large.
- e) Support and represent Carriers of Excellence.
- f) Enhance the recognition and value of the professional within the motor carrier industry.
- g) Build the industry's public and professional image.
- h) Provide membership with a resource pool.
- i) Provide industry-driven benchmarks for best performance.
- j) Take ownership and be responsible to all stakeholders for our actions. This value is essential to preserve the public trust and protect the public interest.



## 2.0 Mission, Vision and Principles

(Page 3)

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### 2.3 Principles

The affairs of Partners In Compliance will be conducted according to the following Principles:

- a) Continuous improvement of practices used to enhance safety management programs.
- b) Open sharing of safety results and best practices through PIC facilitated networking forums and reporting systems.
- c) Continuous attraction of new members, enhancing safety and compliance through recognition and growth.
- d) Collective demonstration of superior safety performance, as measured by recognized Provincial, Federal and North American industry benchmarks and government statistics.
- e) Utilization of consistent and meaningful data to permit individual members to measure their safety performance relative to other carriers in their industry segment and/or relative to the industry at large.
- f) Maintenance of the defined standards/benchmarks of PIC. Carriers that do not maintain these standards shall be held accountable and must expect consequences.
- g) To set a superior standard of safety and compliance thereby encouraging other carriers to meet these standards and join PIC.
- h) Provide full, accurate and timely disclosure in reports and documents.
- i) Act in good faith, responsibly, with due care, without misrepresenting facts.
- j) Promote honesty and integrity, including the ethical handling of actual conflicts of interest.
- k) Build trust through verification.





### 3.0 Member Value / Benefit

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Stakeholders expect to derive tangible value from their membership in Partners In Compliance and be able to justify the decision to join as well as, sustain their PIC Membership and carrier benefits.

Therefore, PIC Members will:

1. Help maintain and improve their safety performance and compliance and hold firm the principle that excellent safety performance is ultimately a good management decision.
2. Support roadway safety and public perception thereof.
3. Support a safer workplace.
4. Provide the very best in safety programming. This programming will be comprised of jointly developed best practices and be available to all members.
5. Have access to recognition as a carrier of excellence.
6. Be eligible to receive an Excellent rating on their Safety Fitness Certificate in Alberta and a Satisfactory rating in other jurisdictions.
7. Provide and utilize data that is useful, consistent and meaningful for comparison and continuous improvement by Carriers and Government.
8. Obtain Driver Abstracts and Commercial Driver Abstracts without paying the government fee.
9. Have unrestricted access to company Carrier Profiles at no cost.
10. Maintain simplified reporting requirements and, overall, minimize costs related to membership.
11. Enjoy access to ninety eight percent (98%) by-pass privilege at all of Alberta’s Commercial Vehicle Inspection Stations, and ninety nine percent (99%) at the three (3) busiest Alberta scales. An added benefit of ninety five percent (95%) by pass privilege at British Columbia’s and Northwest Territories Inspection Stations, as well as direct access to the tolling system for the Northwest Territories Deh Cho Bridge.
12. Be eligible to apply for their shop CVIP license annually with no government fee for each of their companies CVIP licensed shops in Alberta.
13. Establish partnerships, resource sharing and networking with: Carrier Services; Office of Traffic Safety; Commercial Vehicle Enforcement, AMTA and; other Provincial Associations as Member benefits.



## 4.0 Governance Model

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### 4.1 General

Volunteer members from the commercial motor transport industry community, funding partners and government bodies will populate the Partners In Compliance Program. There shall also be a provision for Sponsorship.

The Program will be governed by the “Partners in Compliance Advisory Council”, which is a duly chartered Advisory Council of the Alberta Motor Transport Association (AMTA). The PIC Advisory Council will be responsible for the governance and management oversight of the PIC Program and operate in a semi-independent manner within AMTA. (*Refer to Appendix A (PIC Advisory Council Terms)*).

The scope of authority and responsibility of the PIC Advisory Council are detailed in the “Partners in Compliance Advisory Council – Terms and Definitions”, which have been developed jointly by PIC Members and the AMTA.

These Terms and Definitions are attached as *Appendix A (PIC Advisory Council Terms)* and *Appendix B (Definitions)* and form part of this Policy and Operations Manual.



## 4.0 Governance Model

### Annual General Meeting

(Page 2)

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#### 4.2 Annual General Meeting

Once in each calendar year, the Partners In Compliance Advisory (PIC) Council will convene an Annual General Meeting (AGM) of the membership of the PIC Program.

There shall be no more than fourteen (14) months between each AGM. Notice of the date, time and location of the AGM shall be distributed to PIC Members at least forty-five (45) days in advance of the AGM.

The Chair of the Advisory Council will chair the AGM. The agenda for the AGM will be distributed to the membership at least thirty (30) days in advance of the AGM. The Agenda will, at the minimum, include the following items:

- a) The Annual Report of the Chair of the PIC Advisory Council. A motion for approval of the report shall be put to the AGM following this presentation.
- b) The Annual Report of the Director of the PIC Program. A motion for approval of the report shall be put to the AGM following this presentation.
- c) The Financial Report, which will fully address the current and past year of operations of PIC. A motion for approval of the report shall be put to the AGM following this presentation.
- d) A report from the Executive Director of the AMTA addressing all matters pertaining to PIC and AMTA relations. A motion for approval of the report shall be put to the AGM following this presentation.
- e) Such other reports as may be necessary to the ongoing operations of PIC. A motion for approval for each shall be put to the AGM following each presentation.
- f) Formal introduction of the PIC Advisory Council members.

The Chair of the Advisory Council and the PIC Director may invite observers and sponsors to the AGM. Such observers may be permitted to address the AGM, if so recognized by the AGM Chair but do not have voting rights.



**4.0 Governance Model**  
Annual General Meeting *Cont.*  
(Page 3)

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**4.2.1 Voting - Quorum**

Each PIC Member in attendance at the AGM shall have one (1) vote for each motion put forward at the AGM. Each Member at the AGM shall name their voting delegate prior to the convening of the AGM.

Informed proxy's will be approved and honored as valid votes at the discretion of the PIC Director and the Advisory Council Chair. The Chair only votes in the case of a tie. No e-votes will be allowed.

Quorum is based on a minimum of 50% of membership in attendance.



## 4.0 Governance Model

### Advisory Council

(Page 4)

Date Issued: 2007 03 09  
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Reviewed Date: 2014 12 11  
Revised by: Standards

### 4.3 PIC Advisory Council

#### 4.3.1 Advisory Council Definition

Having or consisting in the power to make recommendations but not take action enforcing them. Recommend but not compulsory.

#### 4.3.2 Authorities

The Advisory Council will oversee the operation of and act as the governing body for the PIC Program. The Advisory Council will have authority to alter any operation or system within the program except where that change might have negative consequence to the majority of membership, any such change shall be addressed by membership at the AGM.

#### 4.3.3 Structure

The PIC Advisory Council shall be comprised of a maximum of sixteen (16) members with a minimum of ten (10) persons as follows:

- Chair – voted by the Council.
- Co-Chair – voted by the Council.
- Advisor to the Chair (Past Chair).
- Member Carriers with at least one (1) representative from each: motor coach carriers; school bus carriers; large-fleet trucking carriers; and small-fleet trucking carriers. Each Member Carrier may offer a maximum of two (2) representatives to the Advisory Council.
- PIC Director.
- AMTA Executive Director.
- AMTA Board Representative.
- At least one (1) representative appointed by Alberta Transportation.
- At least one (1) representative appointed by Alberta Justice and Solicitor General.
- A representative of each PIC Committee.



## 4.0 Governance Model

Advisory Council *Cont.*

(Page 5)

Date Issued: 2007 03 09  
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### 4.3.4 Nominations to Council

The PIC Director, Council Chair, AMTA Executive Director or a representative from the Government of Alberta may nominate candidates.

The term for Advisory Council members will be a minimum period of two years, with half the membership of the Advisory Council standing. Members are permitted to serve more than one term.

The Chair will be voted by the Council.

Voting may be done through e-mail and brought forward for approval by the Council.

The Co-Chair is to be elected by the Council.

The Past-Chair will, where available, assume a seat at the Council and act as Advisor to the Chair.

### 4.3.5 Method

The composition and the number of members sitting on the Advisory Council may be amended, if approved by the General Membership at the AGM of PIC Members.

The Scope of the PIC Advisory Council:

- a) The PIC Advisory Council is responsible to oversee the development and maintenance of the PIC Policy and Operations Manual, which shall be approved by the membership-at-large at a PIC General Meeting.
- b) The PIC Advisory Council, in conjunction with the AMTA Executive Director, will hire the PIC Director, who will be an AMTA employee.
- c) The PIC Advisory Council will have overall responsibility for, and provide guidance to, the PIC Director. The AMTA Executive Director will be responsible for the day-to-day supervision of the PIC Director.



## 4.0 Governance Model

Advisory Council *Cont.*

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- d) The PIC Director and the AMTA Executive Director will jointly develop the PIC Program’s annual business plan and budget, which will be presented to the PIC Advisory Council for approval. The business plan and budget, as approved by the PIC Advisory Council, will be presented to the AMTA Board of Directors as an information item.
- e) The Chair of the Advisory Council may permit observers to attend Council meetings as he/she deems appropriate. During Council meetings, such observers may address the Council if so recognized by the Chair.
- f) The Advisory Council may vote to remove a member.
- g) The Advisory Council will review PIC staff performance reviews and other associate performance related documents.
- h) Sponsorship commitments will be approved by the Advisory Council.
- i) Advisory Council may create short or long term Task Forces as required.
- j) Changes with the potential to have a substantive impact on the majority of PIC Members must be voted on at the AGM.

### **4.3.6 Council Governance**

- a) Council members are expected to attend a minimum of 2 Council meetings per year.
- b) Quorum is based on 50% of the minimum Council demo-graph.
- c) The Council will, at least once a year, review its own performance and Governance Model with a view to ensuring it is operating at maximum effectiveness.
- d) No member of the Advisory Council will have any conflict of interest with the PIC Member whose performance is under review.
- e) General governance shall not exceed “Roberts Rule of Order”. *Refer to Appendix R (Roberts Rules of Order).*



**4.0 Governance Model**  
Advisory Council *Cont.*  
(Page 7)

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- f) Conflict resolution will be conducted by the Council Chair and the PIC Director and they may request the resignation of any council member.
  
- g) Advisory Council will respect the signed confidentiality agreement. *Refer to Appendix C: (Confidentiality Agreement).*





**4.0 Governance Model**  
Funding and Financial Management  
(Page 8)

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**4.4 Funding and Financial Management**

- a) The Advisory Council will be responsible for acquiring financial commitments from its members and funding partners, and for approving the Program’s annual budget based on those commitments.
- b) The Advisory Council and the PIC Director will be responsible for fostering and continuing the relationships with the various funding sources and partners.
- c) It is the intention of the PIC Program and goal of the Funding Committee to secure long term, sustainable revenue and funding streams.
- d) Financial supporters will be recognized at the AGM and Fall Safety Summit.
- e) Sponsorship commitments will be approved at the discretion of the Advisory Council.
- f) The PIC Program will be accommodated in the AMTA facilities. The various support services required by the PIC Program will be provided by AMTA, some without charge by AMTA while others will be provided under a fee-for-service arrangement (Decisions as to which items and services will be provided without charge and what will be the charges for items and services provided under a fee-for-service arrangement will form part of the business planning and budgeting process). *Refer to Appendix A (PIC Advisory Council Terms) Refer to Appendix E (PIC Director).*
- g) The PIC Director and the AMTA Executive Director will jointly develop the PIC Program’s annual business plan and budget, which will be presented to the PIC Advisory Council for approval. The *PIC Program’s business plan and budget will be presented to the AMTA Board of Directors as an information item.*
- h) PIC employees’ wages and expenses will be paid by AMTA from PIC funds.  
*Refer to Appendix S: (AMTA Travel and Eligible Expenses)*



## 5.0 Management Model

PIC Director

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### 5.1 PIC Director

#### General

The PIC Director will manage the day-to-day affairs of the program under the overall direction of the PIC Advisory Council and the day-to-day direction of the AMTA Executive Director. In the normal course of affairs, other employees or contractors, if approved by the PIC Advisory Council, will report to the PIC Director. On certain occasions, such as a project that is of strategic importance to the PIC Program, the Advisory Council may elect to have the responsible organization(s) or individual(s) report directly to the Advisory Council.



## 5.0 Management Model

### Standards Committee

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#### 5.2 Standards Committee

The Advisory Council will maintain a sub-committee, known as the Standards Committee.

##### 5.2.1 Standards Definition

A level of quality or attainment.

##### 5.2.2 Authorities

Authority is to establish by way of recommendation to the Advisory Council.

The Standards Committee will be responsible for establishing, assessing and, where data so indicates, proposing revisions to the PIC Policy and Operations Manual and as such all aspects that might be considered as a Standard of operation of the PIC Program.

##### 5.2.3 Structure

The Standards Committee will be comprised of a minimum of (10) and a maximum of fourteen (14) persons as follows:

- Chair – voted by the Committee – will hold a seat on the Advisory Council.
- Co-Chair – voted by the Committee.
- Advisor to the Chair (Past Chair).
- A maximum of ten (10) PIC Members with preference of at least one member from each: motor coach carriers; school bus carriers; large fleet trucking carriers; and small-fleet carriers.
- At least one (1) representative from Alberta Transportation.
- At least one (1) member from Alberta Justice and Solicitor General.
- AMTA representative.
- PIC Director.



**5.0 Management Model**  
Standards Committee *Cont.*  
(Page 2)

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**5.2.4 Nominations to the Committee**

The PIC Director, Committee Chair, AMTA Executive Director or a representative from the Government of Alberta may nominate candidates.

The term for Committee members will be for a minimum period of two years, with half the membership of the Committee standing. Members are permitted to serve more than one term.

The Chair will be voted by the Committee.

Voting can be done through e-mail and brought forward for approval to the Committee.

The Co-Chair is to be voted by the Committee.

The Past Chair will, where available assume a seat at the Committee and act as Advisor to the Chair.

**5.2.5 Method**

A Minimum of 4 meetings per year shall be held, including teleconference and in-person meetings at the discretion of the PIC Director.

New members will receive a copy of the PIC Policy and Operations Manual, and Minutes for the previous 1 year of meetings.

The Standards Committee may propose amendments to the PIC Policy and Operations Manual to the PIC Advisory Council, which will deliberate and vote on such proposals. Where the Advisory deems necessary, proposal(s) shall be presented to the General Membership for consideration.

**5.2.6 Committee Governance**

- a) No committee shall exceed the scope of the Advisory Council and shall operate in accordance with the general rules followed by the Advisory Council.



**5.0 Management Model**  
Standards Committee *Cont*  
(Page 3)

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- b) Council members are expected to attend a minimum of 2 Council meetings per year.
- c) Quorum is based on 50% of the committee demo graph.
- d) The Committee will, at least once a year, review its own performance and Governance Model with a view to ensuring it is operating at maximum effectiveness.
- e) Conflict resolution will be conducted by the Committee Chair and the PIC Director and they may request the resignation of any committee member.
- f) General governance shall not exceed “Roberts Rule of Order”. *Refer to Appendix R (Roberts Rules of Order).*
- g) Standards Committee will respect the signed confidentially agreement. *Refer to Appendix C (Confidentiality Agreement)*



## 5.0 Management Model

### Funding and Sponsorship Committee

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### 5.3 Funding and Sponsorship Committee

The Advisory Council will maintain a sub-committee, known as the Funding and Sponsorship Committee.

#### 5.3.1 Funding and Sponsorship Committee Definition

A committee appointed to consider financial issues and obtain funding and sponsorship commitments.

#### 5.3.2 Authorities

The Funding and Sponsorship Committee will be responsible for:

- a) Assisting in the development of the strategic long-term funding direction and funding opportunities for PIC.
- b) Contributing to the Program to ensure the funding objectives are being met and are achieving the desired results.
- c) Providing funding advice to the PIC Director with respect to corporate sponsorships and private source funding activities.
- d) As required, recruiting and organizing volunteers to assist in the development and implementation of financing related initiatives and projects.
- e) Assisting with solicitation of potential corporate and individual sponsors and donors.
- f) Assist with the development and production of certain marketing and promotional materials related to PIC funding initiatives.
- g) Propose opportunities to create new value for current and future sponsors.
- h) Develop a strategy to promote sponsorship opportunities. (i.e. Spring AGM / Fall Safety Summit).



**5.0 Management Model**  
Funding and Sponsorship Committee *Cont.*  
(Page 2)

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**5.3.3 Structure**

The Funding and Sponsorship Committee will be comprised of at least five (5) persons, as follows:

- Chair.
- PIC Advisory Council Chair.
  
- PIC Advisory Council Co-Chair.
  
- AMTA Executive Director.
  
- A maximum of six (6) Member Carrier representatives.
  
- PIC Director.

**5.3.4 Nominations to the Committee**

The PIC Director, Committee Chair, AMTA Executive Director or a representative from the Government of Alberta may nominate candidates.

The term for Committee members will be for a minimum period of two years, with half the membership of the Committee standing. Members are permitted to serve more than one term.

The Chair will be voted by the Committee.

The Co-Chair will be voted by the Committee.

Voting can be done through e-mail and brought forward for approval to the Council.



**5.0 Management Model**  
Funding and Sponsorship Committee *Cont.*  
(Page 3)

Date Issued:	2013 12 20	Reviewed Date:	2014 12 11
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**5.3.5 Method**

Meetings shall be held as required or recommended by the Advisory Council, including teleconference and in person meetings at the discretion of the PIC Director.

New members will receive a copy of the PIC Policy and Operations Manual, and Minutes for the previous 1 year meetings.

The Funding and Sponsorship Committee may propose potential revenue streams to the PIC Advisory Council, which will deliberate and vote on such proposals. Where the Advisory deems necessary, proposal(s) shall be presented to the General Membership for consideration.

At any point, the PIC Advisory Council or the General Membership may direct the Funding and Sponsorship Committee to reconsider the proposal and re-submit it to the Advisory Council and then to the General Membership.

Conflict resolution will be conducted by the Committee Chair and the PIC Director and they may request the resignation of any committee member.

A review of each Committee will be conducted annually.

**5.3.6 Committee Governance**

- a) No committee shall exceed the scope of the Advisory Council and shall operate in accordance with the general rules followed by the Advisory Council.
- b) Quorum is based on 50% of the committee demo-graph.
- c) The Committee will, at least once a year, review its own performance and Governance Model with a view to ensuring it is operating at maximum effectiveness.
- d) Conflict resolution will be conducted by the Committee Chair and the PIC Director and they may request the resignation of any committee member.





**5.0 Management Model**  
Funding and Sponsorship Committee *Cont.*  
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Date Issued:	2013 12 20	Reviewed Date:	2014 12 11
Revised:	2015 01 29	Revised by:	Standards

- e) General governance shall not exceed “Roberts Rule of Order”. *Refer to Appendix R (Roberts Rules of Order).*
  
- f) Funding and Sponsorship Committee will respect the signed confidentiality agreement. *Refer to Appendix C (Confidentiality Agreement)*

## 5.0 Management Model

### Performance Review Committee

Date Issued:	2013 03 21	Reviewed Date:	2014 12 11
Revised:	2015 06 30	Revised by:	Shelley C

#### 5.4 Performance Review Committee

The Advisory Council will maintain a sub-committee, known as the Performance Review Committee.

##### 5.4.1 Performance Review Definition

Establish, assess and propose revisions to the PIC Metrics and Benchmark system. To assess an application for membership ensuring they have met all minimum benchmarks.

##### 5.4.2 Authorities

The Performance Review Committee (PRC) will be responsible for ensuring all members remain within PIC Metrics and Benchmarks. In the case that a Member is outside established benchmarks, the PRC will ensure that stated progressive measures are followed up to and including making recommendation(s) to the Advisory Council.

The PRC will also be responsible to assess an application for membership by a motor transport carrier, ensure they have met all minimum benchmarks and make recommendation to the Advisory Council.

##### 5.4.3 Structure

The Performance Review Committee will be comprised of a minimum of ten (10) and a maximum of fourteen (14) persons as follows:

- Chair – voted by the Committee
- Co-Chair – voted by the Committee.
- Advisor to the Chair (Past Chair).
- A maximum of ten (10) PIC Member Carriers with at least one Member from each: motor coach carriers; school bus carriers; large fleet trucking carriers; and small fleet carriers.
- At least one (1) representative from Alberta Transportation.
- At least one (1) member from Alberta Justice and Solicitor General.



**5.0 Management Model**  
Performance Review Committee *Cont.*  
(Page 2)

Date Issued:	2013 03 21	Reviewed Date:	2014 12 11
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- AMTA representative.
- PIC Director.

**5.4.4 Nominations to the Committee**

The PIC Director, Committee Chair, AMTA Executive Director or a representative from the Government of Alberta may nominate candidates.

The term for Committee members will be for a minimum period of two years, with half the membership of the Committee standing. Members are permitted to serve more than one term.

The Chair will be voted by the Committee.

Voting can be done through e-mail and brought forward for approval to the Council.

The Co-Chair is to be voted by the Committee.

The Past-Chair will, where available assume a seat at the Committee and act as Advisor to the Chair.

**5.4.5 Method**

A Minimum of 4 meetings per year shall be held, including teleconference and in-person meetings at the discretion of the PIC Director.

New Members will receive a copy of the PIC Policy and Operations Manual, and Minutes for the previous 1 year of meetings.

**5.4.6 Committee Governance**

- a) No committee shall exceed the scope of the Advisory Council and shall operate in accordance with the general rules followed by the Advisory Council.
- b) No Member of the Performance Review Committee will have any conflict of interest with the PIC Member under review.
- c) Council members are expected to attend a minimum of 2 Council meetings per year.



**5.0 Management Model**  
Performance Review Committee *Cont.*  
(Page 3)

Date Issued:	2013 03 21	Reviewed Date :	2014 12 11
Revised:	2015 01 29	Revised by:	Shelley C

- d) Quorum is based on 50% of the committee demo-graph.
- e) The Committee will, at least once a year, review its own performance and Governance Model with a view to ensuring it is operating at maximum effectiveness.
- f) Conflict resolution will be conducted by the Committee Chair and the PIC Director and they may request the resignation of any committee member.
- g) General governance shall not exceed “Roberts Rule of Order”. *Refer to Appendix R (Roberts Rules of Order).*
- h) Performance Review Committee will respect the signed confidentiality agreement. *Refer to Appendix C: (Confidentiality Agreement)*

See section 9 for Performance Review: Membership Commitment



## 6.0 Metrics and Benchmarks

Date Issued:	2007 03 09	Reviewed Date:	2014 11 18
Revised:	2015 04 17	Revised by:	Kim H

This section defines metrics required for PIC carrier membership, defines the benchmark for each metric, and establishes the associated reporting mechanisms.

Safety performance and associated excellence benchmarks constitute PIC core values. The goals of this metric system are to:

1. Improve roadway safety and reduce the potential for collisions.
2. Improve workplace safety and reduce the risk of injury.
3. Allows Carrier Services and Enforcement to focus their resources in higher risk areas.
4. Allows PIC Members to self regulate.
5. Encourage continuous improvement.

In general, PIC Members will demonstrate superior safety performance through selected metrics, all of which must be recognized as valid Alberta, Canadian and/or North American industry or government safety measures.

The PIC benchmark for each of the selected metrics will distinguish excellence, as compared to a lesser commitment to safety practices and outcomes. The metrics will be drawn from existing sources, such as the Alberta Transportation carrier profile database and other established data sources.

- 6.1 - R-Factor (Risk Factor) score
- 6.2 - Lost Time Claim Rate
- 6.3 - Preventable Collision rate
- 6.4 - Drivers' Hours of Service (Fatigue Related) Violations
- 6.5 - Out of Service Failure Rate from CVSA Inspections
- 6.6 - National Safety Code Audit (ARC)
- 6.7 - COR Audit results



## 6.0 Metrics and Benchmarks

R-Factor  
(Page 2)

Date Issued: 2007 03 09  
Revised: 2015 03 06

Reviewed Date: 2014 11 18  
Revised by: Kim H

### 6.1 R-Factor (Risk Factor)

Alberta Transportation’s Carrier Services, collects conviction, CVSA inspection results, and collision events and applies them to a carrier’s profile.

This information is then combined to determine a carrier’s Risk Factor (R-Factor) score. Generally speaking, a carrier’s R-factor score is calculated by:

1. Assigning each conviction event 0 - 5 points.
2. Assigning each collision event a point value of 2, 4, or 6 depending if the collision resulted in property damage, injury, or a fatality.
3. Determining the number of CVSA inspections that result in an “Out-of-Service” declaration.
4. The results calculated in steps 1, 2, and 3 above are then each divided by the carrier’s average number of power units and applied to a formula that calculates the carrier’s R-factor score.

A carrier’s R-factor score is then compared to other carriers of a similar operation, truck or bus, and of similar fleet size. More information can be found on Alberta Transportations website at: <http://www.transportation.alberta.ca/Content/docType276/Production/Edmanual.pdf>

Partners In Compliance R-Factor benchmarks are set at 70% of Alberta Transportation’s monitoring levels.

Partners In Compliance R-factor Benchmarks:

Category	# of Power Units	Benchmark R-Factor*
Small-fleet (non-bus) carriers	10 or less	1.28
Large-fleet (non-bus) carriers	11 or more	.680
Single Truck	1 Single Unit	2.18
Small-fleet bus companies	10 or less	.795
Large-fleet bus companies	11 or more	0.33
Single bus	1 bus	1.10



## 6.0 Metrics and Benchmarks

R-Factor  
(Page 3)

Date Issued: 2007 03 09  
Revised: 2015 06 30

Reviewed Date: 2014 11 18  
Revised by: Kim H

PIC Carrier's R-Factor scores are expected to be at, or below, the benchmark R-Factor score for the carrier's category.

A PIC Member with an R-Factor score that exceeds the benchmark R-Factor score for their category will be required to submit an explanation and proposed remedies to the PIC Performance Review Committee to lower their R-Factor score to, or below, the benchmark for their category. *Refer to Appendix Q (PIC Action Plan)*



## 6.0 Metrics and Benchmarks

### Lost Time Claim Rate

Date Issued:	2007 03 09	Reviewed Date :	2014 11 18
Revised:		Revised by:	Kim H

### 6.2 Lost Time Claim Rate

The Lost Time Claim Rate (LTC Rate) is an important measure of carriers' commitment to safety in the workplace. The proposed measure is the number of WCB Lost Time Claims per 200,000 employee hours. Each full-time employee is deemed to contribute 2,080 hours per year (40 hours/week x 52 weeks/year = 2,080 hours/year). Therefore 200,000 employee hours is approximately equal to 96 full-time employees (200,000 ÷ 2,080 = 96 full-time employees, rounded).

PIC Members will report their data at the end of each quarter for the most recent 12 month reportable period.

The PIC Director (or a qualified consultant) will calculate the mean and standard deviation of the LTC rate per 200,000 Employee Hours for all PIC Members. Members with a rate of one standard deviation, or more, above the mean (i.e. worse than 99.9% of PIC Carriers) will be required to submit an explanation and proposed remedies to bring their rate to less than one standard deviation above the mean. *Refer to Appendix R (PIC Action Plan)*





## 6.0 Metrics and Benchmarks

### Preventable Collisions

Date Issued:	2007 03 09	Reviewed Date:	2014 11 18
Revised:		Revised by:	Kim H

### 6.3 Preventable Collisions per Million Miles

PIC Members will be required to submit their fleet’s total kilometres and number of preventable collisions at the end of each quarter for the preceding 12 months.

Preventable collisions are those that exceed Alberta’s legislated \$2,000 threshold and have either not been submitted to Alberta Transportation for evaluation or have been submitted and been determined as preventable. For more information on the evaluation process visit <http://www.transportation.alberta.ca/656.htm>

Members with a collisions / million miles value that is a standard deviation or more, greater than the mean for their category will be required to submit an explanation and proposed remedies (action plan) to bring their collisions / million miles value to less than 1 standard deviation above the mean. *See Appendix Q*



## 6.0 Metrics and Benchmarks

### Drivers Hours of Service Violations

Date Issued:	2007 03 09	Reviewed Date:	2014 11 18
Revised:	2015 04 16	Revised by:	Kim H

#### 6.4 Drivers' Hours of Service Violations

PIC Members must have an effective, verifiable process to monitor their drivers' records for hours of service violations. This process must produce measureable results and enable a company to calculate a Fatigue Violation Rate (FVR). Members must submit their FVR quarterly to the PIC Director, on the Quarterly Report and ensure monthly records are available for review to support the number submitted.

The current benchmark for FVR is 5%.

The PIC Quarterly Safety Performance Report automatically generates the minimum number of drivers whose logs are required to be audited based on the National Safety Code audit tool model.

Refer to Appendix P (Evaluating Hours of Service) for further guidance regarding Hours of Service Monitoring and fatigue violation definitions.



## 6.0 Metrics and Benchmarks

### Out of Service Rate

Date Issued:	2007 03 09	Reviewed Date:	2014 11 18
Revised:	2011 07 03	Revised by:	Kim H

#### 6.5 Determination of Out of Service Rate for PIC Members

The benchmark for Out Of Service experience for Member Carriers is 25% for Truck operations and 15% for Bus/Coach operations. This benchmark is only considered to have been exceeded when a minimum number of inspections have been met; PIC will follow minimums as established by Alberta Transportation (see below).

The formal nature of a mixed (truck/bus) carriers operation may be determined by the greatest number of each type or unit. A carrier which operates both may report their experience separately.

Alberta Transportation is currently using the following guidelines to determine OOS% assuming the minimum sample size of inspections is met, as it contributes to the R-Factor:

Number of Vehicles	Minimum Number of Inspections:
1 Vehicle	2
2 – 19 Vehicles	4
20 – 50 Vehicles	10
51 – 100 Vehicles	15
100 + Vehicles	20

All are within a twelve (12) month period.



## 6.0 Metrics and Benchmarks

### NSC Audit

Date Issued:	2007 03 09	Reviewed Date:	2014 11 18
Revised:	2015 04 17	Revised by:	Shelley C

#### 6.6 National Safety Code (NSC) Assessment of Regulatory Compliance (ARC) audit

Partners In Compliance utilizes the National Safety Code’s ARC audit as a guideline to measure a company’s administrative safety controls.

At application an NSC audit must be no more than 24 months old, additionally the applicant must not have been on monitoring during the previous 12 months. and The carrier must be eligible for or have a Satisfactory rating.

National Safety Code information can be found on the Alberta Transportation website:

<http://www.transportation.alberta.ca/660.htm>

The NSC audit requirement is one method PIC uses to determine a company’s overall administrative safety performance. The audit protocol requires a certified auditor, contracted to and trained by Alberta Transportation.

Should the audit be as a result of a PIC application and the company has met all other criteria and benchmarks, PIC will request an audit on their behalf. Should this audit be successful the cost will be borne by Alberta Transportation as part of its partnership with PIC. In the case that an audit is unsuccessful the applicant shall be responsible for the cost of the audit.

Refer to <http://www.transportation.alberta.ca/5609.htm> for more information.

**Following entry into PIC further NSC audits may be required to maintain that membership.**

**If a member carrier does experience an NSC audit conducted at the direction of Alberta Transportation, Carrier Services, or equivalent departments in other jurisdictions, the summary of results must be submitted to the PIC Director.**



## 6.0 Metrics and Benchmarks

### Certificate of Recognition - COR Audit

Date Issued:	2007 03 09	Reviewed Date:	2014 12 11
Revised:	2015 01 03	Revised by:	Shelley C

#### 6.7 Certificate of Recognition Audit (COR)

##### **Purpose:**

The Certificate of Recognition (COR) summary is used at the application stage for the PIC Program, as well as on-going monitoring when in the program. In the case that an applicant is based in a jurisdiction other than Alberta that carrier may request that another reporting system might be considered as equivalent to COR.

The COR is awarded to employers who implement and maintain a health and safety management system that meets established provincial standards. Companies with a health and safety management system are able to identify and assess their workplace hazards and then systematically control the risks to their employees and overall operations. As a result, health and safety management systems can create a culture of proactive workplace safety.

##### **Benefits of having a COR?**

A COR recognizes that the employer’s health and safety management system has been evaluated by a certified auditor and found to meet Partnership’s standards.

Effective health and safety management systems have been shown to have an impact on reducing injuries. Eliminating the social and financial effects of injuries can strengthen the business success of participating employers.

Achieving and maintaining a valid COR is required for earning a financial incentive through the Alberta Workers Compensation Board (WCB) Partnerships in Injury Reduction (PIR) program.

Member Carriers must maintain a COR in good standing at all times and results of each year’s COR audit must be submitted.

Members failing to maintain their COR will be required to submit an action plan intended to return to a COR in good standing, to the PIC Director. *(Refer to Appendix Q (Action Plan) ,*

A COR Audit is acceptable from any Certifying Partner.

Standards for a successful COR are established by Partners in Injury Reduction and communicated by the Certifying Partner.



## 6.0 Metrics and Benchmarks

PIC Quarterly Safety Performance Document

Date Issued:	2007 03 09	Reviewed Date:	2014 11 18
Revised:	2015 03 17	Revised by:	Shelley C

### 6.8 PIC Quarterly Safety Performance Document

PIC Quarterly Safety Performance Reports (Quarterly Report) must be submitted on a regular basis by member carriers. .

The PIC Quarterly Safety Performance Document must be signed validating the information is accurate and true by the person preparing the document as well as the Company Executive.

The document can be scanned and returned or submitted electronically. Verification through electronic signature is acceptable.

All reports will be signed and will be accurate and true. PIC Quarterly Safety Performance Reports must be submitted within 30 days following the previous quarter along with the companies Carrier Profile. At a minimum we require section 1, summaries for section 2, 3, 4, 5, and the summary and detail page for section 6.

On occasion, PIC staff may request supporting documents with the Quarterly Report to ensure PIC standards are continually being met.

Guidance for completion of the Quarterly Safety Performance Report can be found in *Appendix N (PIC Quarterly Verification Document)*.



## 6.0 Metrics and Benchmarks

### PIC Reporting Verification Document

Date Issued:	2007 03 09	Reviewed Date:	2014 11 18
Revised:	2015 03 17	Revised by:	Shelley C

### 6.9 PIC Reporting Verification Document

The PIC Reporting Verification Document is used to ensure that Reporting required to maintain membership in PIC is accurate and true.

A minimum of 25% of Member Carriers per year will be subject to reporting submission verification by PIC staff.

Each carrier will have a verification completed every 2 years. PIC staff will request and arrange a verification either in person or through electronic submission of documents required for completion.

This document will also be employed as instruction during the new carrier application process

*Refer to Appendix N (PIC Quarterly Verification Document.)*



## 6.0 Metrics and Benchmarks

### PIC Verification Document

Date Issued: 2007 03 09  
Revised: 2015 04 17

Reviewed Date: 2014 11 18  
Revised by: Shelley C

#### 6.10 PIC Annual Verification Document

The intent of the PIC Annual Verification is to capture best practises followed by PIC carriers rather than be a duplication of other verification and audit.

The PIC Annual Verification Document will, at minimum, examine the member's procedures for the following processes and practices;

1. PIC Standards
2. Carrier Safety
3. Safety Programs
4. Financial Responsibility
5. Dangerous Goods
6. Collisions
7. Driver File and Certification
8. Hours of Service
9. Preventative Maintenance
10. Vehicle Files
11. Motor Coach and Bus Operations
12. Company / Individual Certificates /Contributions

The PIC Verification Document shall be submitted to the PIC Director annually. Once complete, it must be submitted to PIC within 90 days, and no more than 14 months following the previous submission. The verification must be completed by an approved external auditor at minimum once every 3 years.

A person certified as a COR or NSC auditor is considered as a competent external auditor for the purposes of the PIC Verification.





It is recommended that the Annual Verification be completed along with the COR. The verification has no impact or bearing on the COR audit results.

## 6.0 Metrics and Benchmarks

PIC Verification Document

(Page 2)

Date Issued:	2007 03 09	Reviewed Date:	2014 11 18
Revised:	2015 04 17	Revised by:	Shelley C

Members failing to attain a satisfactory rating on their PIC Verification will be required to submit an action plan to the PIC Director to remedy the identified deficiencies and restore the company to a satisfactory rating

*Refer to Appendix O (PIC Annual Verification Document)*



## 7.0 Application for Membership

### Application

Date Issued:	2007 03 09	Reviewed Date:	2014 11 18
Revised:	2015 03 05	Revised by:	Kim H

#### 7.1 General

A Carrier or other stakeholder seeking to gain membership to PIC shall initially be referred to the PIC Director.

Any Carrier that holds a Safety Fitness Certificate and subsequent National Safety Code number may apply to become a member of PIC.

The PIC Advisory Council through the auspices of the Performance Review Committee will assess applications for membership by Motor Transport Carriers.

The role of the PIC Director and the Performance Review Committee is to facilitate a carrier’s application for membership. However, the right to grant or deny membership to any applicant is the exclusive mandate of the Advisory Council.

No Motor Transport Carrier or applicant shall make any reference to being a PIC Member or PIC Applicant, until such time as the Advisory Council has granted full membership and the applicant has been notified in writing that membership in PIC has been approved.

PIC Membership is specific to a carrier’s NSC (National Safety Code) number.



## 7.0 Application for Membership

Application  
(Page 2)

Date Issued:	2007 03 09	Reviewed Date:	2014 11 18
Revised:	2015 03 27	Revised by:	Shelley C

### 7.2 Application by a Motor Transport Carrier

Where the applicant is a motor transport carrier, the PIC Director will ensure that the company:

1. Has not been on monitoring by Alberta Transportation for the last twelve months,
2. Has successfully passed an NSC audit within the last two years and/or has otherwise been approved or recommended by Alberta Transportation.
3. Has successfully passed a COR audit by an approved external auditor within the last three (3) years.
4. Is eligible for or has a Satisfactory rating on their Alberta Safety Fitness Certificate.

When the above conditions have been satisfied, the PIC Director will grant “PIC Applicant” status to the company. The PIC Director or assigned Coordinator will then:

1. Provide a thorough PIC orientation to the carrier; and
2. Verify that the company has met all Benchmarks described in Section 6.0.

#### **7.2.1 Documents Required for Application**

Refer to Appendix L (Application documentation) for a listing of required documents the Motor Transport Carrier is required to supply when applying for membership.

#### **7.2.2 Application Process**

Following application, an entry interview is conducted by the PIC Director or designate and should include at least one representative from company management, safety and maintenance.

The PIC Director will submit results from the PIC Quarterly Safety Performance Report, audit results, including summary pages, a copy of a current Public Carrier Profile (Page 3 of a full Carrier Profile), and all other necessary documentation to the Performance Review Committee, who then assess the application.



## 7.0 Application for Membership

Application Cont.

(Page 3)

Date Issued:	2007 03 09	Reviewed Date:	2014 11 18
Revised:	2015 06 30	Revised by:	Shelley C

The PIC Director or designate will ensure that all company and individual names are redacted from documents submitted in application. (see section 8.1)

If the Performance Review Committee determines, from the evidence presented, that the carrier fully satisfies PIC principles and meets PIC standards *Refer to Appendix G (PIC Carrier Members Terms of Reference)*, it will recommend to the PIC Advisory Council that the company be granted full membership in PIC. The Advisory Council will consider the documentation and recommendation brought forward by the Performance Review Committee.

### 7.3 Approved Membership

When the PIC Advisory Council grants membership, the company may then present itself as a PIC member. Plates and/or Plate size decals must not be displayed until the carrier has received their new Safety Fitness Certificate.

#### 7.3.1 Carrier Notification

- a. Inform the Carrier of acceptance
- b. PIC sends out welcome e-mail (including next steps)
- c. Order of plates / plate size decal
- d. Membership fees – invoice will follow
- e. Supply Company logo and bio to be added to PIC webpage
- f. Receive PIC Certificate – arrangements are made at a later date

#### 7.3.2 Notification to Alberta Transportation of new Carrier

The PIC Director will notify Alberta Transportation in writing of the addition of the new PIC Member including: Carrier name; address; contact person; e-mail address and National Safety Code number.



**7.0 Application for Membership**  
*Application Cont.*  
(Page 4)

Date Issued:	2007 03 09	Reviewed Date:	2014 11 18
Revised:	2015 03 24	Revised by:	Shelley C

**7.4 Denial of Membership**

If the applicant falls short of PIC benchmarks and/or is otherwise deemed to be incapable of maintaining PIC benchmarks, the PIC Director, or designate may assist the applicant in securing the necessary resources to attain and maintain PIC benchmarks.

An applicant may request that the Advisory Council reconsider their decision

**7.5 Associate Memberships (Tabled for future consideration)**



## 8.0 General Operations Communications

Date Issued:	2015 03 05	Reviewed Date:	2015 12 31
Revised:	2015 03 05	Revised by:	Shelley C

### 8.1 Communications and Privacy

All members of the PIC Advisory Council and its committees and task forces, and any employee (PIC or AMTA) beholding their function must hold as private and confidential all communication and documentation related to Partners In Compliance members and stakeholders. *(Refer to Appendix C: Confidentiality Agreement).*

Where a carrier is in application to membership the PIC Director and/or designate will cause the carrier’s identifiers (name, place of business and principals in the business) to be held in confidence from Council and Committees until such time as membership is granted.

Where any communication is deemed to be regular or day-to-day in nature, the PIC Director may decide who should be recipient of that communication. As example, requests from CVE for information specific to an inspection may be considered as day to day and handled as such.

Where any communication might have a lasting consequence, the PIC Director may seek the advice or assistance of those most appropriate to the communication.

In the case of any communication to / from a stakeholder and / or a Member Carrier which might have consequence to a Member Carrier’s PIC status, a copy should be made available to the PIC Director.

If a member carrier does experience an NSC audit conducted at the direction of Alberta Transportation, Carrier Services, or equivalent departments in other jurisdictions, the summary of results must be submitted to the PIC Director. *(Refer to section 6.6)*

#### **8.1.1 Record Control**

All records associated with PIC shall be held as private and confidential.

Where any record is deemed to be regular or day to day in nature the PIC Director may decide who should be recipient of that document.

Where any record might have a lasting consequence the PIC Director may seek the advice or assistance of those most appropriate to the communication.

All record maintained for ongoing PIC function must be controlled with a date and author stamp.



All record associated with PIC shall be held in a secure location, whether physical or electronic. Any electronic retention must be backed up on a regular basis. Only persons with administrative control may backup PIC materials.

PIC shall maintain a secure database that includes all records and communications pertinent to the operation of the program, administrative control of this database must be assigned to and maintained by one member of PIC staff. Other members of PIC staff may not alter administrative functions; delete data or severe material linked to the supporting server.

Written procedure for the administration of this database must be maintained.

In the event that a carrier's membership is cancelled records will be purged 2 years following cancellation.

Records will be retained for a period of seven (7) years.

### **8.1.2 PIC Identifiers**

Any change or alteration of PIC identifiers must be approved by the PIC Advisory Council

## 8.0 General Operations

### PIC Plates and Decals

Date Issued:	2015 03 05	Reviewed Date:	2015 12 31
Revised:	2015 06 30	Revised by:	Shelley C

### 8.2 PIC Plates and Decals

#### 8.2.1 Use and placement

The PIC plate, where utilized, must be secured and affixed to the front bumper of the vehicle. All PIC identifiers must be removed at point of sale of the unit.

The PIC licence plate size sticker may be placed on the front bumper, doors, on the sides of the hood, or faring in a clear visible location. When placed in any location other than the front bumper, the PIC licence plate size sticker must be placed on both sides of the unit.

Either the promotional small size or the PIC plate size plate can be placed on any company held, non-commercial vehicle or property, i.e.: the safety vehicle, facility doorways, etc..

Where a Member Carrier seeks to add the logo as part of a decal package, permission must be sought through the PIC Director.

Where requested by the PIC Advisory, plates, stickers and logos must be removed. No refunds shall be issued.

No member shall alter, or cause to be altered, any PIC identifier without express consent.







## 8.0 General Operations

### PIC Plates and Decals

Date Issued:	2015 03 05	Reviewed Date:	2015 12 31
Revised:	2015 06 30	Revised by:	Shelley C

#### **8.2.2 Misuse of PIC Plates and Decals**

Must be an approved Member Carrier to display any PIC identifier

Worn out and / or faded plates must be replaced at the Carriers cost.

Reports of misuse will be forwarded to Advisory Council for review.

All PIC identifiers must be removed at point of sale of the unit.



## 8.0 General Operations

### Use of the PIC Logo

Date Issued:	2015 03 05	Reviewed Date:	2015 12 31
Revised:	2015 03 05	Revised by:	Shelley C

### 8.3 Use of the PIC Logo

The Member is welcome to place the PIC logo on any and all stationary, business cards, signs, website etc., where the carriers name is displayed.

No member shall alter, or cause to be altered, any PIC identifier without express consent obtained through the PIC Director.

Approved logos include:

- With white backgrounds
- With transparent backgrounds
- Large and small logos.
- Partners In Compliance in white, yellow or deleted (for small print use)
- Carrier Excellence deleted (for small print use)

Identifiers must use Yellow Pantone 123c.

Plates or plate size decals may range from 5”(h) x 10”(w) to 6”(h) x 12”(w) and the height of any identifier should be ½ of its width.



## 8.0 General Operations

### PIC Transponders

Date Issued:	2015 03 19	Reviewed Date:	2015 12 31
Revised:	2015 03 19	Revised by:	Shelley C

#### 8.4 PIC Transponders (optional use for Members)

As a PIC Member and as a benefit of the program, carriers have the option to utilize transponders (PIC Preclearance System) to achieve by-pass at many Vehicle Inspections Stations (VIS). By-pass at VIS is granted on a random percentage basis. It is the carrier’s responsibility to understand how the transponder works and placement of the transponder.

The PIC Preclearance System is generally available at VIS in Alberta, British Columbia and the Northwest Territories. The system consists of vehicle mounted transponders and the roadside reader equipment. Reader equipment identifies transpondered units as they approach the VIS and a by-pass signal is issued to the transponder randomly. When issued a by-pass, the unit may remain on the roadway. When no by-pass is issued, the unit must make a regular attendance at the VIS. Random bypass rates vary between 95% and 99% depending on the VIS location.

To order and register for transponders contact International Road Dynamics (IRD) Inc. PIC Member signup can be found at: <http://www.irdinc.com/pages/services/alberta-pic.html>. The Transponder Enrollment Checklists can be found on their website.

IRD requires specific information on the carrier’s units such as: side view photos; VIN #; plate #. (IRD will supply the carrier with the below spread sheet).

Carrier and Vehicle Registration Form						
<b>Carrier Shipping Information:</b>						
<b>Carrier Name:</b>	Name		<b>Contact Name:</b>			Your name
<b>Carrier Address:</b>	Street Address		<b>Contact Phone:</b>			xxx-yyy-zzzz
<b>City:</b>	City/Town		<b>Contact Fax:</b>			xxx-yyy-zzzz
<b>Province:</b>	AB		<b>Contact Email:</b>			you@company.com
<b>Postal Code:</b>	A1B2C3					
<b>Vehicle Information:</b>						
<b>No.</b>	<b>Unit Number (Not Required)</b>	<b>VIN</b>	<b>License Plate</b>	<b>State or Province of Licence Plate &lt;Registration&gt; (AB)</b>	<b>Picture Name</b>	<b>Transponder SN (IRD use only)</b>
1						
2						
3						
4						
5						

The Carrier Member and IRD, handle the data relating to the units and corresponding transponder identification numbers.

The cost of the lease or purchase of the transponders is handled by IRD. Refer to Appendix U (AMTA (PIC) & IRD Agreement) for reference to pricing.

## 8.0 General Operations

### PIC Transponders

(Page 2)

Date Issued:	2015 03 19	Reviewed Date:	2015 12 31
Revised:	2015 06 30	Revised by:	Shelley C

Those companies utilizing Transponders will be credited \$15.00 per transponder per year against the cost of their annual PIC membership fees. The transponder issues a “green light” to units qualified to bypass the weigh stations, saving time, cost and emissions.

Any questions regarding the use transponders can be sent to: [transponder.admin@irdinc.com](mailto:transponder.admin@irdinc.com).

#### **8.4.1 Installation of the Transponder**

*Refer to Appendix T (Transponder Installation Guide).*

#### **8.4.2 Directions for use of Transponders**

When a driver approaches a VIS, the transponder sends a signal to the AVI reader mounted on an overhead pole. The AVI reader relays the signal to a central computer at IRD and a workstation in the scale house. The IRD system will determine if the vehicle is cleared for bypass and relay the signal back to the transponder and the work station in the VIS. Upon passing an AVI reader, the transponder will:

- Show a green light and beep: you may bypass the station.
- Do neither of those things: report to the station if it is open.  
This is a regular attendance at the VIS and drivers must following normal reporting procedures.



Enforcement staff receives all registered information about units read by the AVI at their work station.

PIC Member Carrier units without transponders have the same responsibilities as non-members and must make regular attendance at VIS.

Second generation transponders have 3 lights. Only the green will work in Alberta, the red light flashes in British Columbia as well, meaning pull into the VIS.



## 8.0 General Operations

PIC Transponders  
(Page 3)

Date Issued:	2015 03 19	Reviewed Date:	2015 12 31
Revised:	2015 03 19	Revised by:	Shelley C

Regular Attendance (unless otherwise instructed/advised):

The vehicle may use a bypass (empty) lane if it can be visually confirmed that the vehicle is empty. If the vehicle is loaded, it must weigh, and watch the sign board for directions; report, proceed or park and bring papers.

Park Light:

If the vehicle received a Park Light, the driver is required to gather all required documents and proceed into the VIS. They may be required to undergo some level of an inspection.

*Refer to Appendix U (AMTA (PIC) & IRD Agreement).*



## 8.0 General Operations

PIC Website  
(Page 4)

Date Issued:	2015 03 05	Reviewed Date:	2015 12 31
Revised:	2015 06 30	Revised by:	Shelley C

### 8.5 PIC Website

#### 8.5.1 Access to the PIC website

A Member may wish to link the PIC website ([www.partnersincompliance.com](http://www.partnersincompliance.com)) to their company site. At entry, PIC will ask that the Member sends their logo and any photos of their operation, as well as a short statement on what PIC membership means to their organization and PIC will add it to the Member’s website.

#### 8.5.2 Member closed area to PIC’s website (Tabled until 2016)



## 8.0 General Operations

PIC Conditions  
(Page 5)

Date Issued:	2015 03 05	Reviewed Date:	2015 12 31
Revised:	2015 06 30	Revised by:	Shelley C

### 8.6 PIC Conditions

Membership in PIC is considered as attached to or conditional on a Member Carriers National Safety Code (NSC) number and as such, membership is specific to the NSC of the carrier at the time of entry into PIC. In the case that an NSC number changes or is revoked then the Advisory Council shall considerer the nature of that change at its earliest convenience.



## 9.0 Performance Review: Membership Commitment

Date Issued:	2007 03 09	Reviewed Date:	2014 11 18
Revised:	2015 06 30	Revised by:	Kim H

PIC Member Carriers are expected to make every effort to uphold and abide by PIC principles and consistently meet PIC safety benchmarks.

Members are also expected to report their safety results in the defined format, within 30 days following the previous quarter. Members are also required to report any substantive change that will have an effect on their PIC membership to the PIC Director within 30 days.

Members that maintain PIC safety benchmarks will be permitted to report quarterly, as advised by the PIC Director. Members who fail to maintain PIC benchmarks may be expected to report more frequently.

All Members will be expected to maintain a Certificate of Recognition in good standing.





## 9.0 Performance Review: Membership Commitment

### Unsatisfactory Safety Performance

(Page 2)

Date Issued:	2007 03 09	Reviewed Date:	2014 11 18
Revised:	2011 07 03	Revised by:	Kim H

#### 9.1 Unsatisfactory Safety Performance

It is recognized that members may periodically fail to maintain PIC benchmarks. Such instances should be brought to the immediate attention of the PIC Director by the Member Carrier.

Member Carriers that fail to achieve the established benchmarks will be subject to the recommendations of the PIC Performance Review Committee, and subsequently the PIC Advisory Council.



## 9.0 Performance Review: Membership Commitment

General  
(Page 3)

Date Issued:	2007 03 09	Reviewed Date:	2014 11 18
Revised:	2015 06 30	Revised by:	Kim H

### 9.2 General

Any PIC member failing to maintain PIC benchmarks will be subject to Performance Review Committee review of their safety management systems. It is the expectation of PIC that members in this situation will respond promptly and adhere to the standards set out as obligations of membership.

In the event that a member fails to regain the expected performance level in a reasonable period of time, the PIC Performance Review will recommend that the Advisory Council implement the Member Progressive Review Process (*refer to Appendix H*) that, may result in suspension or cancellation of PIC Membership.

Any failure to maintain PIC benchmarks is to be immediately noted and/or brought to the attention of the PIC Director, or designate by the PIC member. The PIC Director will notify the Chair of the Advisory Council (where necessary) and make a preliminary assessment of the deficiencies with responsible officials of the identified Member Carrier.

The PIC Director or designate may recommend potential remedies for the performance deficiency and/or may require that an audit be conducted, the cost of which is to be borne by the member.

Should the member promptly remedy the deficiencies and regain the expected benchmark, the PIC Director will report this outcome to the Advisory Council and/or Performance Review Committee (PRC) as convened by Council

The PRC has a responsibility to consider the size of data set specific to an excess over benchmark or target.

No member of a PRC will have any conflict of interest with the PIC member under review. Where a potential for conflict exists that member must recuse themselves.

The Committee will make assessment and provide recommendations to the Advisory Council and, with the exception of a revocation or suspension of membership, simultaneously, to the member.

In the case of a suspension or revocation of membership, member notification will follow Council's decision. Recommendations may include, but not be limited to:

- a) Specific remedial actions, including a timeline for their adoption;
- b) No action is warranted as the carrier has met PIC benchmarks;



## 9.0 Performance Review: Membership Commitment

(Page 4)

Date Issued:	2007 03 09	Reviewed Date:	2014 11 18
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- c) A suspension of PIC Membership; or
- d) A cancellation of PIC Membership.

The PIC Director or designate will ensure that all company and individual names are redacted from documents submitted in conjunction with a motion made to the PIC Advisory Council that recommends a change in membership status.

### 9.2.1 Suspension of PIC Membership

A Member Carrier whose membership is deemed to be in a suspended state but will suffer the loss of all benefits associated with membership with the exception of attendance of safety related events. At minimum a member would be required to continue regular member required reporting during suspension. *Refer to: (Appendix H: Appeal Process).*

### 9.2.2 Remedial Actions

Where remedial actions are proposed, the PIC Director will be responsible to ensure that remedies are implemented within the expected timeframe. When the member under review fails to adopt the recommended remedies within the established timeframe, the PIC Director will refer the matter to the Advisory Council.

### 9.2.3 Cancellation of Membership

Where a cancellation of membership is recommended the Advisory Council will deliberate and approve a course of action. The Advisory Council member who served as Chair on the Performance Review Committee may deliberate with the Council and vote on the decision.

Where PIC Membership is cancelled, written notification will be provided promptly to the carrier and Alberta Transportation.

A carrier whose membership has been cancelled must immediately:

- a) Remove all references to its membership in PIC.
- b) Cease to refer to itself as a member of PIC.
- c) Remove all PIC identifiers
- d) Return all transponders to International Road Dynamics (IRD) or to the office of the PIC Director.



## 9.0 Performance Review: Membership Commitment

(Page 5)

Date Issued:	2007 03 09	Reviewed Date:	2014 11 18
Revised:	2015 06 30	Revised by:	Kim H

A Member Carrier whose membership has been cancelled or revoked may reapply to become a PIC member in the future. That carrier would have to satisfy the application process, criteria and benchmarks as any potential member would. The company would be eligible to reapply 1 year following the loss of that membership.

No refunds shall be issued.

### 9.2.4 Reconsideration Process

Any Member Carrier whose membership has been called under advisement, suspended or cancelled may provide notice of intent to appeal (reconsider) the decision to the Advisory Council within 60 days of receiving notification of the altered condition of that membership. The Advisory Council must then convene a hearing within 90 days of receiving the applicant’s appeal notification.

The Advisory Council will receive statements from the applicant and the Performance Review Committee during the hearing. The Advisory Council must provide its documented decision to the carrier within 60 days of the hearing. Any member of the Advisory Council who served on the Performance Review Committee must stand down from all proceedings related to this reconsideration.

The decision rendered on reconsideration by the Advisory Council is not subject to further reconsideration. However, a carrier may re-submit an Application for Membership one year from the date the final decision of the Advisory Council.

Notwithstanding reconsideration, that carrier must adhere to the altered condition of membership outlined in notification.



## 10.0 Financial Management

Date Issued:	2012 03 09	Reviewed Date:	2014 11 18
Revised:	2015 01 29	Revised by:	Standards

The financial affairs of PIC will be conducted accordingly:

1. Annually, the PIC Director will prepare a draft budget for the coming year, as directed by the PIC Advisory Council and in consultation with the Executive Director of the AMTA.
2. A draft budget will be presented to the PIC Advisory Council for approval prior to the beginning of the coming year.
3. Once approved by the PIC Advisory Council, this budget will be presented to the AMTA Board of Directors as an information item.
4. At the earliest opportunity, the PIC Director will present the financial statements for the preceding year to the PIC Advisory Council for approval. These statements will also be presented to:
  - a) The General Membership of PIC at the AGM, as set out in section 4.2 AGM; and to
  - b) The AMTA Board of Directors as an information item.
5. Periodically, the PIC Director will present “Year-to-Date Actual” to the PIC Advisory Council for approval.
6. The PIC Advisory Council may amend a current year’s budget at any time.



**Appendix A:**

Date Issued:	2006 31 01	Reviewed Date:	2014 11 18
Revised:	2015 09 24	Revised by:	Kim

THIS AGREEMENT made to be effective as of the 11 day of March, 2014.

BETWEEN:

**HER MAJESTY THE QUEEN IN RIGHT OF ALBERTA**  
as represented by the Minister of Transportation  
(the "Minister")

-and-

**THE ALBERTA MOTOR TRANSPORT ASSOCIATION ("AMTA")**  
**REPRESENTING THE**  
**PARTNERS IN COMPLIANCE PROGRAM**  
a registered organization under the Alberta Society Act  
(the "Grant Recipient")

**WHEREAS** the Minister agrees to provide the Grant Recipient funding for the Partners In Compliance (hereinafter called "the Project") for the purpose of enhancing highway safety through the exemplary safety and performance excellence of commercial vehicles; and

**WHEREAS** the Minister (with an amount up to a maximum of **EIGHTY THOUSAND (\$80,000.00) DOLLARS** for one (1) Term being provided through the Ministry of Transportation subject to Paragraph 6 of this Agreement) agrees to provide grant funding for those purposes subject to the terms and conditions of this Agreement; and

**WHEREAS** the Grant Recipient agrees to administer these funds for the purpose of implementing the Project; and

**WHEREAS** the Transportation Grants Regulation, Alberta Regulation 79/2003 authorizes such a grant to be made; and

**WHEREAS** the Minister is prepared to provide financial assistance to the Grant Recipient in the form of a grant for the Project subject to the terms and conditions set out in this Agreement; and

**WHEREAS** the Grant Recipient is prepared to perform and enter into certain undertakings relative to the payment and administration of this grant;

**NOW THEREFORE** in consideration of the terms and conditions set out in this Agreement, the parties agree as follows.



**1. DEFINITIONS:**

- (a) "Account" means interest-bearing account separate from all other monies of the Grant Recipient.
- (b) "Agreement" means this document and the attached Schedules "A" and "B" and any amendments.
- (c) "AMTA" means Alberta Motor Transport Association.
- (d) "Business Day" means 08:15 am to 16:30 pm M.S.T. (Mountain Standard Time) in Alberta from Monday through Friday excluding holidays observed by her Majesty the Queen in right of Alberta.
- (e) "Fiscal Year" means from April 1 of the current year to March 31 of the subsequent year.
- (f) "Funding" or "Funds" means the amount of grant monies contributed by the Minister under this Agreement.
- (g) "GoA" means Government of Alberta.
- (h) "Grant" means the predetermined sum of money awarded to the Grant Recipient by the Government of Alberta.
- (i) "PIC" means Partners in Compliance
- (j) "Term" means time duration set out in Paragraph 4 of this Agreement.
- (k) "the Project" means The Partners In Compliance Program as described in Schedule "A".

**2. SCOPE OF THE WORK:**

The scope of the services to be provided by the Grant Recipient for the Project shall be in accordance with the attached Schedule "A" which forms part of this Agreement.

**3. RESPONSIBILITIES OF THE GRANT RECIPIENT**

- a) AMTA shall, at a minimum, continue to be the program administrator and ensure continued and effective operation of the Project.
- b) The Grant Recipient shall perform the activities related to the Project as described in Schedule "A" and in accordance with this Agreement.
- c) The Grant Recipient will comply with all applicable laws in its performance of the Project activities.

**4. TERM:**

- a) The term of this Agreement shall be effective from the date first written above to an end date of March 31, 2014. No extensions will be permitted unless amended in writing, by the parties involved.

Grant agreement template  
Version 1.0  
Justice reviewed October 1, 2009



- b) If this Agreement is extended pursuant to Paragraph 4(a), the terms and conditions of this Agreement apply for the duration of the extended period.

**5. MINISTER’S REPRESENTATIVE:**

The Minister designates the Assistant Deputy Minister, Traffic Safety Services Division, Alberta Transportation to maintain a continuing liaison with the Grant Recipient in matters relating to this Agreement and to receive any Project reporting to be submitted by the Grant Recipient pursuant to this Agreement. The Director of Carrier Services will serve as the Minister’s administrator for this Agreement.

**6. FUNDING:**

- a) The Grant Recipient agrees that the Grant is subject to the following:
  - i. The appropriation of funds by the Legislature sufficient to provide the funding under this Agreement, the sufficiency of which shall be determined at the sole discretion of the Minister;
  - ii. The allocation of the funding for each Term of which shall be set at the sole discretion of the Minister; and
  - iii. The submission of the reports in the manner and in the time required under Paragraphs 8, 9, and 10.
- b) The Grant Recipient acknowledges that it shall be limited to receiving from the Minister funding in the amount set out in Section 6(c).
- c) The Grant Recipient acknowledges that, subject to Paragraph 6(a), the maximum amount that may be released under this Agreement shall not exceed **EIGHTY THOUSAND (\$80,000.00) DOLLARS**, and that there shall be no additional funding from the Minister in the case of cost overruns.
- d) The Grant Recipient shall deposit all monies comprising the Grant in an Account as defined, separate from all other monies of the Grant Recipient. Once the funds are expended, the Grant Recipient may use any interest in the account for the Project.
- e) The Grant Recipient agrees that unless this Agreement is terminated pursuant to Paragraph 13, the Grant will be released to the Grant Recipient as installments as set out in the Payment Schedule outlined in Schedule “B” for the Term of this Agreement.
- f) The Grant Recipient shall within thirty (30) days refund to the Minister any Grant Funds remaining unspent or uncommitted at the end of the Term, or upon termination of this Agreement under Paragraph 13.

**7. USE OF GRANT FUNDING**

- a) The Grant Recipient shall use the Funding only for the purposes and expenditures, and as described in the budget allocation as set out in Schedule “A” and the Grant Recipient shall not use the Funding for any other purpose or vary the budget allocation without the prior written consent of the Minister’s Representative.

Grant agreement template  
Version 1.0  
Justice reviewed October 1, 2009





- b) The Grant Recipient is and will be in relation to the Funding, bound by the provisions of this Agreement and the *Transportation Grants Regulation*, Alberta Regulation 79/2003, as may be amended from time to time.
- c) The Grant Recipient shall use up to a maximum of **EIGHTY THOUSAND (\$80,000.00) DOLLARS** per Term for the purpose of providing support to the Project.

**8. PUBLICATION, DISSEMINATION AND RELEASE OF INFORMATION:**

- a) The Grant Recipient acknowledges that this Agreement and all reports and other records submitted to the Minister will be subject to the access and disclosure provisions of the *Freedom of Information and Protection of Privacy Act*.
- b) Subject to any applicable laws, the Grant Recipient shall allow the Minister access to or provide copies to the Minister of any data or information acquired, collected or produced under this Agreement.

**9. PROJECT REPORTING:**

- a) For the Term of the Agreement the Grant Recipient shall provide the Minister with:
  - i. an annual expenditure report that outlines the allocation and utilization of the funding;
  - ii. financial statements of the Partners In Compliance operations which may take the form of the annual report as written for the AMTA;
  - iii. a description of projects, services and accomplishments that indicate what was actually supported by the Funding;
  - iv. specific projects, publications, conferences, retreats, etc., should, be described, with the identifiable outcomes of them. If there were formal evaluations undertaken, a copy of the report must be provided;
  - v. a description of the accomplishments made relative to the goals as identified in Schedule "A"; and
  - vi. an outline of which communities received community grants from the Partners In Compliance operations and description of what traffic safety related activities were undertaken through the use of the Funding.
- b) The Minister shall have the right and ability to use, publish, or distribute Project reporting as the Minister determines appropriate, subject to any applicable laws. Without limiting the generality of the foregoing, the Grant Recipient acknowledges that the Minister will distribute Project reporting to the Ministry of Transportation.

**10. ACCOUNTING:**

- a) For the Fiscal Year during the Term of this Agreement, the Grant Recipient shall:
  - i. deposit all monies comprising the Grant in an interest-bearing account separate from all other monies of the Grant Recipient;
  - ii. maintain adequate financial records relating to the Funding and shall keep proper books, accounts, and records of the cost of the materials, services or resources funded under this Agreement, in accordance with generally accepted

- accounting principles, and have them available at all times during the term of this Agreement and for a period of six (6) years after the termination or expiry of this Agreement; and
- iii. during the Term and for six (6) years after the termination or expiry of this Agreement, produce on demand to any representative of the Minister any of the books, accounts and records referred to above and shall permit such representative to examine and audit these books, accounts and records and take copies and extracts of them.

**11. SURPLUS:**

- a) Prior to the end of the Term, the Grant Recipient may request approval of the Minister for retention of unexpended Grant Funds for that Term by submitting a request to the Minister's Representative.
- b) The request for said unexpended Grant Funds should:
- i) identify the amount of the unexpended grant Funds and the proposed budget allocation;
  - ii) identify the time frame in which the unexpended grant Funds will be used; and
  - iii) be submitted and approved within ninety (90) days from the end of the Term of this Agreement.
- c) The Minister may approve retention of unexpended Grant Funds and such approval, if granted, may be subject to any further conditions prescribed by the Minister including, but not limited to, submission of a further supplementary report.

If the Minister does not approve retention of unexpended Grant Funds, the Minister may require the recipient to refund the surplus money to the Ministry of Transport.

- d) If the Grant Recipient must refund the surplus money pursuant to Paragraph 11(c), the Grant Recipient must pay to the Ministry of Transport any such part of the Funding not used and applied or committed for the approved purposes of this Agreement within thirty (30) days from the date the retention of unexpended funds is denied.

**12. GENERAL PROVISIONS:**

- a) The parties agree that Schedules "A" and "B" attached hereto form part of this Agreement but in the event of a conflict between a provision in Schedules "A" and "B" and a provision in the body of the Agreement, the provision in the body of the Agreement shall govern.
- b) The Grant Recipient agrees to hold harmless the Minister, the Minister's employees and agents from any and all claims, demands, actions and costs whatsoever that may arise, directly or indirectly, out of any act or omission of the Grant Recipient or its employees or agents, in carrying out this Agreement. Such indemnification shall survive the termination of the Agreement.



- c) The Grant Recipient is not acting as an employee, agent, or on behalf of the Government of Alberta in any capacity in relation to the Project.
- d) The Minister shall not be liable for any personal or bodily injury or property damage that may be suffered or sustained by the Grant Recipient, its employees or agents in carrying out this Agreement.
- e) This Agreement may be amended when such amendments are reduced to writing and signed by each of the parties hereto, but not otherwise.
- f) The Grant Recipient is an independent organization and any persons engaged by the Grant Recipient to provide goods and services in carrying out this Agreement are employees, agents or contractors of the Grant Recipient and not of the Crown.
- g) The Grant Recipient shall not assign this Agreement or any part of it without the prior written consent of the Minister.
- h) Despite any other provision of this Agreement, those sections which by their very nature continue after the conclusion or termination of this Agreement shall continue after such conclusion or termination.

**13. TERMINATION OF AGREEMENT:**

- a) This Agreement may be terminated by either party without cause or reason on one party providing thirty (30) days notice to the other party.
- b) On termination of this Agreement, the Minister may require the Grant Recipient to do one or more of the following and, depending on the requirement, the Grant Recipient shall within thirty (30) days:
  - a. transfer to the Minister any or all remaining and not committed Grant Funds; and
  - b. provide a financial report on all revenues and expenditures of the Funding up to the date of termination certified by a senior financial official of the Grant Recipient.

**14. BREACH OF THIS CONTRACT**

- a) In the event the Grant Recipient breaches any provision of this Agreement or of *Transportation Grants Regulation, Alberta Regulation 79/2003*, as amended, the Grant Recipient must repay all or a portion of the Grant as determined at the sole discretion of the Minister.



**NOTICE**

- a) All notices required or permitted to be given or submitted by one (1) party to the other under this Agreement shall be deemed given or submitted to the other party if in writing and either personally delivered to the office of the addressee or sent by registered mail, postage prepaid, or sent by facsimile transmission to the office of the addressee provided below:

To the Minister, in care of:

Assistant Deputy Minister  
Traffic Safety Services Division  
Alberta Transportation  
Main floor, Twin Atria Building  
4999 - 98 Avenue  
Edmonton, Alberta T6B 2X3      Fax No. (780) 415-0782

To the Grant Recipient, in care of:

Director, Partners In Compliance  
c/o Alberta Motor Transport Association  
#1, 285005 Wrangler Way,  
Rocky View, Alberta T1X 0K3  
Ph: 403-214-3431

The address of either party may be changed by notice in writing to the other party. Notice personally served or sent by email or facsimile transmission shall be deemed received when actually delivered or transmitted, if delivery or transmission is between 08:15 a.m. to 16:30 p.m. M.S.T. (Mountain Standard Time) in Alberta from Monday through Friday excluding holidays observed by her Majesty the Queen in right of Alberta. All notices sent by prepaid registered mail shall be deemed to be received on the fourth (4<sup>th</sup>) business day following mailing in any post office in Canada, except in the case of postal disruption, and then any notice shall be personally served.

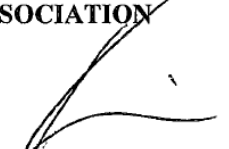


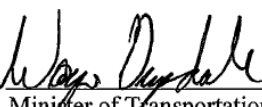
Notwithstanding the dates of the signatures below, the Parties have made this Agreement to be effective as of the date first written above.


IN WITNESS WHEREOF this Agreement has been executed by the parties hereto:

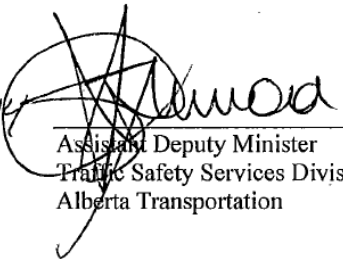
**ALBERTA MOTOR TRANSPORT ASSOCIATION**

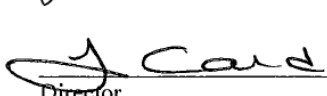
**HER MAJESTY THE QUEEN IN RIGHT OF ALBERTA** as represented by the Minister of Transportation

  
Date: Jan 15/14  
Director Manager  
Partners In Compliance  
Alberta Motor Transport Association

  
Date: March 11/14  
Minister of Transportation  
Alberta Transportation

  
Date: Jan. 15/2014  
Executive Director  
Alberta Motor Transport Association

  
Date: 21 Jan 14  
Assistant Deputy Minister  
Traffic Safety Services Division  
Alberta Transportation

  
Date: Jan. 22/14  
Director  
Carrier Services  
Traffic Safety Services Division  
Alberta Transportation



## Appendix B: Definitions

Date Issued:	2006 31 01	Reviewed Date:	2014 11 18
Revised:	2015 06 30	Revised by:	Shelley

**Advisory:** (*Oxford Dictionary*) having or consisting in the power to make recommendations but not take action enforcing them. Recommend but not compulsory.

**Authorized drivers:** 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. (AR314/2002) “Driver” means a person who is driving or is in actual physical control of a commercial vehicle.

**Carrier:** Refers to any organization that holds a valid Safety Fitness Certificate and subsequent National Safety Code number

**Chair Person:** (*website - Committee Guide*) The Chairperson ensures the Committee functions properly, that there is full participation during meetings and that all relevant matters are discussed and that effective decisions are made and carried out.

The chair person is responsible for:

- a) Providing leadership to the Council/Committee;
- b) Representing the Council/Committee in communication.

**Committee Member (stake holder):**  
(*website - Committee Guide*) Individual members should demonstrate selflessness, integrity, objectivity, accountability, openness, honesty and leadership (known as The Nolan Principles).

- upholding the values and objectives of the organisation;
- giving adequate time and energy to the duties of being a trustee and
- acting with integrity and avoiding or declaring personal conflicts of interest.

**Certificate of Recognition (COR)**  
The Certificate of Recognition (COR) program is an initiative that recognizes employers who implement and maintain a health and safety management system that meets established provincial standards. Companies with an effective health and safety management system can create a culture of proactive workplace safety.

**Driver:** Refer to Authorized Drivers.  
See “Full-Time Driver” Definition.

**Ex-officio:** (*Roberts Rules of Order*) – is a Latin term meaning “by virtue of office or position.” Ex-officio members of boards and committees, therefore, are persons who are members by virtue of some other office or position that they hold. Without exception, ex-officio





members of boards and committees have exactly the same rights and privileges as do all other members, including the right to vote.

**Appendix B: Definitions**  
(Page 2)

Date Issued:	2007 03 09	Reviewed Date:	2014 12 11
Revised:	2015 06 30	Revised by:	Shelley C

Fatigue-Related Violations:

See Appendix P

Finance Committee: (*website: Wordweb Online*) "A committee appointed to consider financial issues.

Majority: (*Roberts Rules or Order*) more than half.

Performance Review:

Establish, assess and propose revisions to the PIC Metrics and Benchmark system. To assess an application for membership ensuring they have met all minimum benchmarks.

Proxy: (*Oxford Dictionary*) The authority to represent someone else, especially in voting through an informed person.

*(Roberts Rule)* means by which a member who expects to be absent from a meeting authorizes someone else to act in his/her place at the meeting. Proxy voting is not permitted in ordinary deliberative assemblies unless federal, state, or other laws applicable to the society require it, or the bylaws of the organization authorize it.

Robert's Rules of Order:

*(Dictionary.com)* A handbook for running meetings effectively and efficiently, based on the procedures used in the British parliament. The principles included in the handbook are applicable to any decision making organization, from Congress to community club committees. The handbook sets the guidelines for such issues as leading debates; recognizing speakers; defining the role of the chair and other officers; proposing, seconding, and voting on motions; and writing and amending constitutions and bylaws.

Refer to Appendix R (*Robert's Rule of Order Quick guide*)

[https://www.afsc.noaa.gov/education/activities/PDFs/SBSS\\_Lesson6\\_roberts\\_rules\\_of\\_order.pdf](https://www.afsc.noaa.gov/education/activities/PDFs/SBSS_Lesson6_roberts_rules_of_order.pdf)

\*Charts can be found on above website.



**Appendix B: Definitions**  
(Page 3)

Date Issued:	2007 03 09	Reviewed Date:	2014 12 11
Revised:	2015 06 30	Revised by:	Shelley C

Standards: (*Oxford Dicitonary*) A level of quality or attainment. Required or agreed to level of quality or attainment.

Stakeholder: (*Cambridge Dictionary*) A person such as an employee, customer, or citizen who is involved with an organization, society, etc. And therefore has responsibilities towards it and an interest in its success.

Task Force: (*Wikipedia*) is a unit or formation established to work on a single defined **task** or activity.





## Appendix C: Confidentiality Agreement

Date Issued:	2006 31 01	Reviewed Date:	2014 11 18
Revised:	2015 11 30	Revised by:	Kim H

### Confidentiality Agreement

It is understood and agreed to that the below identified disclosure of confidential information may provide certain information that is and must be kept confidential. To ensure the protection of such information, and to preserve any confidentiality necessary under patent and/or trade secret laws, it is agreed that:

1. The Confidential Information to be disclosed can be described as and includes:  
  
Information and/or data related to Health, Safety, Environment, Business Operations or Regulatory Compliance and/or information contained therein which identifies any specific person or organization. Invention description(s), technical and business information relating to proprietary ideas and inventions, ideas, patentable ideas, trade secrets, drawings and/or illustrations, patent searches, existing and/or contemplated products and services, research and development, production, costs, profit and margin information, finances and financial projections, customers, clients, marketing, and current or future business plans and models, regardless of whether such information is designated as "Confidential Information" at the time of its disclosure.
2. The Recipient agrees not to disclose the confidential information obtained from the disclosure to anyone unless required to do so by law.
3. This Agreement states the entire agreement between the parties concerning the disclosure of confidential information. Any addition or modification to this Agreement must be made in writing and signed by the parties.
4. If any of the provisions of this Agreement are found to be unenforceable, the remainder shall be enforced as fully as possible and the unenforceable provision(s) shall be deemed modified to the limited extent required to permit enforcement of the Agreement as a whole.

**WHEREFORE**, the parties acknowledge that they have read and understand this Agreement and voluntarily accept the duties and obligations set forth herein.

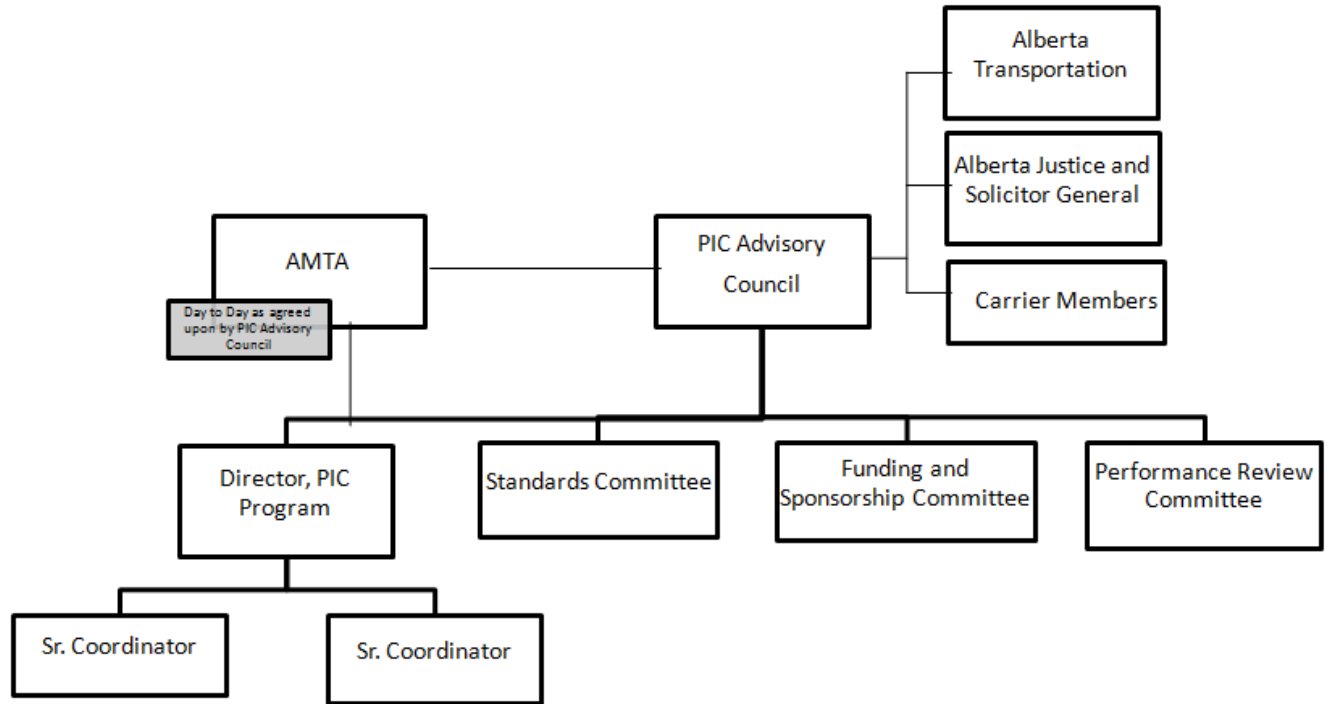
Recipient of Confidential Information:

Name (Print or Type): \_\_\_\_\_ Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Disclosure of Confidential Information: Partners In Compliance, It's Advisory Council, Committees and employees or any member of or agent for the same.

**Appendix D: Organizational Chart**





## Appendix E: PIC Director

Date Issued:	2007 03 09	Reviewed Date:	2014 11 18
Revised:	2015 01 29	Revised by:	Standards



### AMTA JOB DESCRIPTION

#### IDENTIFICATION

**Title:** Director, Partners in Compliance (PIC)

**Reports to:** Executive Director, AMTA

#### OBJECTIVE

Responsible for the operation and growth of Partners in Compliance and its programs, which are designed to foster the highest standards in road and workplace safety in the motor transport industry inclusive of commercial carriers and bus operations. Member carriers must maintain a level of safety and compliance performance as defined by the PIC benchmarks once gaining entry into the program.

#### COMPETENCIES REQUIRED

Leadership

- Participate with the Executive Director in implementing the PIC business plan and AMTA’s strategic plan, as necessary.
- Represent the organization at activities and events to enhance the organization's profile.
- Foster effective team work between the PIC Director and staff.
- Conduct official correspondence on behalf of PIC as appropriate and jointly with the AMTA when appropriate.

Program Planning and Management

- Ensure that the operation of the organization meets the expectations of its clients and the Advisory Council.
- Oversee the planning, implementation, execution and evaluation of external projects.
- Ensure that the programs and services offered by the organization contribute to the organization's mission and reflect the priorities of the Advisory Council.
- Monitor the day-to-day delivery of the programs and services of the organization to maintain or improve quality.

### Operational Planning and Management

- Implement a performance management process for all staff which includes monitoring performance on an on-going basis and conducting an annual performance review.
- Prepare a comprehensive budget for the PIC program.
- Oversee the efficient and effective day-to-day operation of the organization.
- Draft policies for the approval of the Advisory Council and prepare procedures to implement the organizational policies; review existing policies on an annual basis and recommend changes as appropriate.
- Ensure that personnel, client and volunteer files are securely stored and privacy/confidentiality is maintained.
- Provide support to the Advisory Council by preparing meeting agenda and supporting materials.
- Demonstrate proactive approaches to problem solving with strong decision making capability

### Communication

- Effectively communicate with peers and staff as well as outside stakeholders.
- Very strong interpersonal and self-management skills and the ability to build relationships with stakeholders including the PIC Advisory Council and Association Members.
- Communicate with stakeholders to keep them informed of the work of the organization.
- Establish good working relationships and collaborative arrangements with stakeholders and other organizations to help achieve goals.

### Human Resources Planning and Management

- Establish a positive, healthy and safe work environment in accordance with all appropriate legislation and regulations.
- Recruit, interview and select staff that have the right technical and personal abilities to help further the organization's mission.
- Ensure that all staff receives an orientation to the organization and that appropriate training is provided.
- Implement a performance management process for all staff which includes monitoring the performance of staff on an on-going basis and conducting an annual performance review.
- Coach and mentor staff as appropriate to improve performance.
- Discipline staff when necessary using appropriate techniques; release staff when necessary using appropriate and legally defensible procedures.

### Financial Planning and Management

- Work with AMTA to prepare a comprehensive budget.
- Work with AMTA and Advisory Council to secure adequate funding for the operation of the organization.



- Approve expenditures within the authority delegated by the Advisory Council.
- Administer the funds of the organization according to the approved budget and monitor the monthly cash flow of the organization.

Risk Management

- Identify and evaluate the risks to the organization's people (clients, staff, management, and volunteers), property, finances, goodwill, and image and implement measures to control risks.
- Ensure that the Advisory Council and staff understand the terms, conditions and limitations of the insurance coverage.

**ORGANIZATIONAL RELATIONSHIPS/AUTHORITY**

Reports to: Executive Director, AMTA  
Manages: PIC Coordinator (2)

**PRIMARY ROLE RESPONSIBILITIES**

- Ensure all member carriers receive a bi-annual review through the PIC verification report.
- Work at increasing current revenue streams as well as exploring potential avenues of revenue growth, including but not limited to membership fees, technological enhancements and the addition of Associate Members to the program.
- Ensure all committee members and roles and responsibilities are reviewed annually.
- Ensure all correspondence received regarding motor carrier performance is documented, reviewed with the carrier and responded to.
- Maintain open lines of communication with and provide support to the members of Partners in all matters pertaining to road and workplace safety.
- Respond to member inquiries and act upon them in a constructive fashion.
- Make presentations and represent PIC at company driver meetings, AMTA Regional meetings, workshops and conferences.
- The preparation of a marketing plan for the development of the PIC program, including specifically the plan to increase membership and awareness, with assistance from the AMTA Executive Director and PIC Advisory Council.
- Assist members who do not meet the safety performance benchmarks of the program to regain the expected standard(s), by working in consultation with the PIC Performance Review Committee.
- Assist prospective member applicants with their application process, including the safety benchmarks, review of COR audit, review of NSC audit results, site visits, safety management meetings, completion of formal application form and preparation for the formal entry interview.
- Work with current PIC Committees and establish other committees as needed to manage the affairs of the program.

Revised: June 2015

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- Assist the PIC Coordinators with arranging meeting dates, locations and developing and distributing agendas.
- Ensure the maintenance of accurate records and minutes.
- Review the PIC Quarterly Report, submitted by membership to the PIC Coordinator, responding in a timely fashion.
- Prepare various reports, drafts, pamphlets and other documentation promoting the PIC program.
- Remain up-to-date with current industry activity, specifically changes in regulations, technology, or policies of FMCSA, CTA and AMTA.
- Develop personal goals to meet the objectives of the AMTA strategic plan.
- Other related duties as required or directed by the PIC Advisory Council.
- Monitoring of PIC members' safety performance and compliance, and where necessary, recommending that the Advisory Council convene the Performance Review Committee.
- The PIC Director and the AMTA Executive Director will jointly develop the PIC Program's annual business plan and budget, which will be presented to the PIC Advisory Council for approval. The business plan and budget, as approved by the PIC Advisory Council, will be presented to the AMTA Board of Directors as an information item.
- Execute the responsibilities of a Director according to lawful and ethical standards as described in the AMTA policy manuals and the AMTA Code of Conduct and Ethics Declaration.
- Build internal business partnerships through interfacing with Directors and other AMTA employees to understand their needs.
- Foster internal communication, implement and refine processes and promote best practices across areas of responsibility.
- Demonstrate the behaviors and actions of a leader, through coaching and mentoring direct reports and members of the management team to ensure a collaborative environment that integrates service and supports groups in reaching corporate goals and objectives.
- Keep abreast with industry practices by attending seminars and lectures on emerging trends including those sponsored by government, industry and professional regulatory agencies.
- Demonstrate commitment to the AMTA core values.

#### EDUCATION AND EXPERIENCE

Education: Post-secondary education in Business or Business equivalence.

Experience: Management experience in a business environment, preferable in or related to the transportation industry. Association management experience is an asset.

- Knowledge of leadership and management principles.
- Knowledge of all federal and provincial legislation applicable to the organization.
- Knowledge of project management.



**ACKNOWLEDGEMENT**

This job description has been designed to indicate the general nature and level of work performed by employees within this classification. It is not designed to contain or be interpreted as a comprehensive inventory of all duties, responsibilities and qualifications required of employees assigned to the role.

Employee Name: \_\_\_\_\_  
(Please print)

Executive Director: \_\_\_\_\_  
(Please print)

Signature: \_\_\_\_\_

Signature: \_\_\_\_\_

Date of Issue: \_\_\_\_\_

---







## Appendix F: PIC Staff

Date Issued:	2007 03 09	Reviewed Date:	2014 11 18
Revised:	2015 01 29	Revised by:	Standards



### AMTA JOB DESCRIPTION

#### IDENTIFICATION

**Title:** Senior Coordinator, Partners in Compliance (PIC)

**Reports to:** Director, Partners in Compliance (PIC)

#### OBJECTIVE

Responsible for the operation and growth of Partners in Compliance and its programs, which are designed to foster the highest standards in road and workplace safety in the motor transport industry inclusive of commercial carriers and bus operations.

#### COMPETENCIES REQUIRED

##### Leadership

- Participate with the Director, PIC in developing and implementing the PIC business plan and AMTA's strategic plan, as necessary.
- Represent the organization at activities and events to enhance the organization's profile.
- Foster effective team work between the staff.
- Conduct correspondence on behalf of PIC as required.

##### Program Planning and Management

- Ensure that the operation of the organization meets the expectations of its clients and the Advisory Council.
- Assist with the planning, implementation, execution and evaluation of external projects.

##### Operational Planning and Management

- Ensure that client and volunteer files are securely stored and privacy/confidentiality is maintained.

Revised: June 2015

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- Demonstrate proactive approaches to problem solving with strong decision making capability

Communication

- Effectively communicate with peers and staff as well as outside stakeholders.
- Very strong interpersonal and self-management skills and the ability to build relationships with stakeholders including the PIC Advisory Council and Association Members.
- Communicate with stakeholders to keep them informed of the work of the organization.
- Establish good working relationships and collaborative arrangements with stakeholders and other organizations to help achieve goals.

Human Resources Planning and Management

- Be a part of a positive, healthy and safe work environment in accordance with all appropriate legislation and regulations.

Financial Planning and Management

- Work within the PIC travel budget.

Risk Management

- Identify any risks to the organization's people (clients, staff, management, and volunteers), property, finances, goodwill, and image and implement measures to control risks.

**ORGANIZATIONAL RELATIONSHIPS/AUTHORITY**

Reports to: Director, Partners in Compliance (PIC)

**PRIMARY ROLE RESPONSIBILITIES**

- Maintain open lines of communication with and provide support to the members of Partners in all matters pertaining to road and workplace safety.
- Respond to member inquiries and act upon them in a constructive fashion.
- Make presentations and represent Partners at company driver meetings, AMTA Regional meetings, workshops and conferences.
- Assist the PIC Director in the preparation of a marketing plan for the development of the Partners program, including the plan to increase membership and awareness.

Revised: June 2015

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- Assist prospective member applicants with their application process, including the prospects safety benchmarks, review of their COR audit, review of their NSC audit results (or set up of audit), site visits, safety management meetings, completion of formal application form and preparation for the formal entry interview.
- Work with current PIC Committees and establish as needed other committees to manage the affairs of the program.
- Arrange meeting dates, locations and set agendas, as required, by the Partners program, including the fall Safety Summit and the AGM.
- Maintain accurate records and minutes, as required.
- Receive and review the PIC Quarterly Safety Report, submitted by membership and prepare a report for the PIC Director and PIC Council.
- Maintain the PIC data base on access-X Drive, with regards to reporting, company contacts and mail outs.
- Receive and review both the COR and NSC audits from current and prospective members having the ability to reply in a constructive and positive manner, ensuring all reports are valid and up to date.
- Prepare various reports, drafts, pamphlets and write ups promoting the Partners program, including advertising material.
- Remain up-to-date with current industry activity, specifically changes in regulations, technology, policies, FMCSA, CTA and AMTA.
- Participate in goal setting for personal achievements as they pertain to Partners trends, standards, continuous growth and promotion.
- Ensure that information is collected and made available to keep the PIC website updated with changes to the program and new membership.
- Other related duties as required.

### EDUCATION AND EXPERIENCE

Education: Post-secondary education in business or equivalent.

Experience: Minimum of two years experience in a business environment, preferably in or related to the transportation industry. Sales and/or Safety training would be considered an asset.

- Proficient in Microsoft Office: Outlook, Word, Excel and PowerPoint.
- Demonstrates the highest level of customer/client service and response.
- Demonstrates the ability to achieve high performance goals and meet deadlines in a fast-paced environment.

Revised: June 2015

Page 3 of 4



**ACKNOWLEDGEMENT**

This job description has been designed to indicate the general nature and level of work performed by employees within this classification. It is not designed to contain or be interpreted as a comprehensive inventory of all duties, responsibilities and qualifications required of employees assigned to the role.

Employee Name: \_\_\_\_\_  
(Please print)

Director, PIC: \_\_\_\_\_  
(Please print)

Signature: \_\_\_\_\_

Signature: \_\_\_\_\_

Date of Issue: \_\_\_\_\_



## Appendix G: Member Progressive Review

### A Guideline for Progressive Performance Review for PIC Members

#### Stage 1:

Where a Member Carrier has failed to maintain PIC benchmark(s) the PIC Director will:

- Make record of the failure and pertinent communication concerning the same and report to the Performance Review Committee
- Review and assess, that failure to maintain benchmark, with the carrier

The PIC Director may:

- Request a letter of Commitment from that carrier
- Offer assistance and/or resource in an effort to remedy
- Request more frequent reporting
- Recommend additional action or remedy where available and appropriate

#### Stage 2:

Where a failure to maintain benchmark(s) is seen as ongoing the Performance Review Committee will:

- Request a Letter of Commitment from the carrier and/or
- Request a formal Action Plan from the carrier

The Performance Review Committee may:

- Request more frequent reporting
- Offer resource and assistance
- Recommend, to the Advisory Council, the formation of a Task Force
- Request a hearing with the carrier
- Recommend, to the Advisory Council, that the right to transpondered by-pass be reduced or removed
- Recommend additional action or remedy where available and appropriate



## Appendix G: Member Progressive Review

(Page 2)

### Stage 3:

Where a failure to maintain benchmark(s) is seen as ongoing and, on review, a carrier is found to lack the intent and/or capacity to return to a state of compliance, the Performance Review Committee will, at their discretion, either:

- Recommend, to the Advisory Council, that the carriers membership be moved to a “Suspended: status for a stated period and with the expectation that the carrier return to compliance within that time period
- Recommend, to the Advisory Council, that the carriers membership be cancelled
- Recommend additional action or remedy where available and appropriate



## Appendix G: Member Progressive Review

(Page 3)

### Performance Review: Reconsideration Process

A carrier may request reconsideration of the decision of the Advisory Council to cancel or alter its membership. During the reconsideration process, the Advisory Council may restrict the display of PIC identifiers and/or suspend benefits associated with membership. The company whose membership has been cancelled or altered may provide notice of intent to request reconsideration of the decision of the Advisory Council within 60 days of receiving notification of the cancellation or alteration of membership. The Advisory Council must make every effort to convene a hearing within 90 days of receiving the company's request for reconsideration. The Advisory Council will receive and review statements from the carrier and the Performance Review Committee during the hearing. The Council will provide its decision to the carrier within 60 days following the hearing. The member of the PIC Advisory Council who served on the Performance Review Committee must be recused from the reconsideration procedure.

The Advisory Council may, at its discretion, require that a member under reconsideration remove PIC identifiers.

The decision rendered on appeal to the Advisory Council is final. No refunds shall be issued.

A former Member Carrier may seek admission as a new member, according to the procedure established under section 7.0, Application for Membership no sooner than one year following the date of the notice of cancellation of membership.



**Appendix H: AMTA (PIC) and IRD Agreement**

**AGREEMENT**

Between:

**ALBERTA MOTOR TRANSPORT ASSOCIATION (AMTA)  
#1, 285005 WRANGLER WAY, ROCKY VIEW, AB T1X 0K3**

- and -

**INTERNATIONAL ROAD DYNAMICS INC. (IRD)  
702 43<sup>RD</sup> STREET EAST, SASKATOON, SK S7K 3T9**

Dated: January 4, 2013

Term: March 1, 2013 until February 28, 2016 (Three Years)

**Preamble**

It is the intent of this agreement that International Road Dynamics (IRD) will act as a Transponder Administrator for the Alberta Motor Transport Association (AMTA) and the AMTA's Partners in Compliance (PIC) Council. "Transponder Administrator" means that, under this agreement, IRD will be responsible for the enrollment, delivery of transponders and management of an electronic database that is used to transfer data to the Automated Vehicle Identification (AVI) Pre-clearance sites in the Province of Alberta allowing qualified trucks to bypass certain weigh stations. The PIC Council will coordinate and approve participation in the program by carriers that qualify under the PIC program. IRD will act as an agent to the AMTA and the PIC Council in order to enter pertinent data about these vehicles into a central database, distribute transponders to the carriers enrolled, and manage the data transfer to the site systems on this carrier group. IRD will collect fees for this from the participating carriers and will return a portion of that fee to the PIC Council as Presented in this agreement.

**1. Role of IRD Inc.**

IRD will supply and maintain the AVI central database and WEB based enrollment system as follows:



## Appendix H: AMTA (PIC) and IRD Agreement

(Page 2)

- Administering transponders to approved PIC member carriers;
- Collecting account information from approved PIC member carriers;
- Enrolling approved PIC member carriers in the central database;
- Verifying account information;
- Attaching picture of vehicle to account;
- Updating account information as necessary;
- Hosting central database;
- Maintenance and backups of the central database;
- Maintaining all necessary software licenses and updates for the central database;
- Billing and collection of annual fees from participating carrier members;
- Returning a portion of the collected fees to the PIC Council according to the fee schedule set out in this agreement;
- Assistance/Participation in the PIC Council Marketing efforts, at the discretion of IRD;
- Maintain all necessary permits or licenses (e.g. Industry Canada) required to operate the program;
- Work in cooperation with the PIC Council to develop a set of operating rules and literature for truck enrollment, transponder mounting and operation, and enrollment data requirements.

### 2. Role of the PIC Council

The PIC Council will remain in charge of participation in the PIC program by member carriers.

The PIC Council role will include:

- Approving participation for carriers being enrolled and having continued participation in the program; and,
- Overall marketing and promotion of the PIC program.

### 3. Transponder Fees

Each participating and approved carrier will be invoiced annually by IRD on the carrier's anniversary date for the number of transponders properly issued to the carrier. Anniversary date means the date on which IRD and the approved carrier executed an agreement for participation in the transponder program. IRD will invoice and collect such fees from participating carriers in a professional manner consistent with normal commercial business practices.





**Appendix H: AMTA (PIC) and IRD Agreement**  
(Page 3)

Transponders may be issued by IRD to approved carriers on the basis of either an annual rental fee or by purchasing transponders from IRD along with an annual system access fee. The following table sets out the annual fees to be charged by IRD to the carriers and the portion thereof to be remitted to AMTA:

Number of Transponders Issued to Carriers	Annual Rental Fee	Annual System Access Fee	Portion of Annual Fee to be remitted to AMTA
0-2749	\$70	\$56	\$15
2750-4999	\$70	\$56	\$19
5000-7500	\$70	\$56	\$25

Notes:

1. "Annual Rental Fee" will be charged annually to the carrier for each rented transponder.
2. "Annual System Access" will be charged annually to the carrier for each transponder purchased by the carrier.
3. AMTA may, at its discretion, reduce or amend its portion of the annual fee by notifying IRD in writing with a suitable period of notice. In such instances, IRD will reduce the fees charged to carriers by this same amount. IRD will not be required to reduce its share of the reduced fee charged to the carrier.
4. IRD and AMTA will negotiate mutually acceptable rental rates and fees for enrollments above 7500.

Carriers that elect to purchase the transponders, rather than enter into a rental agreement, will pay the one-time price of \$50 for each purchased transponder and the annual system access fee set out in the above table.

As noted above, approved carriers will be invoiced annually on the carrier's anniversary date for all transponders issued to them. In instances where additional transponders are issued during the course of a carrier's annual billing cycle, such transponders will be invoiced at the time of delivery on a pro-rated basis to the next Anniversary Date. These additional transponders will then be added to the annual invoice on the carrier's Anniversary Date.

Carriers that elect to return transponders during the course of their annual billing cycle will not be credited for any pro-rated refund for the balance of their billing year.

The portion of the fees retained by IRD will be used to cover the costs of running the program, specifically, \$14 to cover the costs of the transponder, \$20 of the annual fee to cover the costs of enrolling and managing the accounts of the trucking companies, and the remaining portion to administer and manage the transponder database.



## Appendix H: AMTA (PIC) and IRD Agreement

(Page 4)

For both rented and purchased transponders, IRD will replace any defective transponder that fails due to battery life, materials, or workmanship and will be responsible for the successful operation of the transponders.

Participating carriers will be responsible for loss and damage to the transponder for the life of the transponder, beyond normal wear and tear.

If a carrier elects to rent a transponder from IRD, the rights to use the transponder resides with the carrier and they will be permitted to use the transponder in any other pre-clearance program.

If an approved carrier has an existing transponder that is not owned or controlled by the carrier, they must purchase or rent a new transponder for this program according to the fees set out in this section. If the carrier has a transponder, or has the right to use the transponder in other pre-clearance programs, they will be allowed to use this transponder in the Alberta PIC Pre-clearance program provided that they have been approved by PIC and pay the annual system fee set out in the table provided above.

The business year for this Agreement will be construed to be the 12-month period from the execution date of this agreement. IRD will collect the annual fees from approved carriers and will remit to AMTA its portion of all fees collected during each quarter, in accordance with the table provided above. Within the quarterly return payment, IRD will present the details of the number of vehicles enrolled at the end of each month, and a breakdown showing the value of the return to the PIC Council for that quarter. These quarterly payments and statements will start three months after the execution date of this agreement.

On execution of this agreement, IRD will initially remit \$15 per transponder issued each quarter. If, during the business year, the total number of transponders issued during the business year exceeds 2,749 transponders, IRD will remit, for the remainder of the business year, \$19 per transponder for all transponders in excess of 2,749. Similarly, if the number issued exceeds 4,999 during the year, IRD will remit \$25 per transponder for all transponders in excess of 4,999 for the remainder of the business year.

In the instance where the number of transponders issued during a full business year has exceeded 2,749 (or 4,999), IRD will, as of the beginning of the subsequent business year, remit \$19 (or \$25) for all transponders invoiced during the year.

In the instance where IRD has remitted \$19 (or \$25) per transponder, but the actual number of transponders has fallen below 2,500 (or 5,000), the account will be reconciled on the last quarterly statement and the remittance adjusted to reflect the appropriate annual remittance rate as set out in the above table.



## Appendix H: AMTA (PIC) and IRD Agreement

(Page 5)

During the business year (i.e. before the final quarter), IRD may approach AMTA to reduce the remittance rate if there is reason to believe that the total number of transponders projected to be invoiced during the upcoming year will fall below 2,750 (or 5,000). AMTA will give respectful consideration to such a request. Should AMTA decline to honour the request, the account will still be reconciled on the final quarterly statement and remittance so as to reflect the appropriate annual remittance rate as set out in the above table.

### 4. Term of Agreement

This agreement will be for a term of 3 years from the date of signing. The agreement may be cancelled on 90 days written notice by either IRD or the PIC Council.

### 5. Performance

IRD will ensure that the database works reliably with minimum downtime, with penalties for failure as described below.

IRD will respond to Carrier and PIC Council issues in a timely manner to ensure optimal performance and benefit of the program. IRD will be responsible for data backups, and data integrity.

IRD will respond to any performance issue raised by participating Carriers or the PIC Council within 1 working day of notification of the issue. Notification will consist of a phone call to the IRD call center, by email, or by FAX.

IRD will rectify any issue related to the performance of the database system within 2 working days of notification of the issue.

IRD will maintain a sufficient stock of replacement transponders to ensure a 1 working day turn around for failed or faulty transponders.

If an issue related to the operation or performance of the system remains unresolved in the 2 working day period, IRD will be responsible for liquidated damages payable to the PIC Council at a rate of \$100 per day.



## Appendix H: AMTA (PIC) and IRD Agreement

(Page 6)

### 6. Reports

IRD will provide the PIC Council with Monthly Management Reports of the performance of the system. At a minimum, the reports will include:

- Number of Vehicles and Carriers enrolled in the program
- Number of Carriers logged (per site)
- Number of Vehicles logged (per site)
- Number of Vehicles bypasses (per site)

IRD can provide custom reports as reasonably requested by the PIC Council, (under the assumption that the data is available within the system) on a 2 working day turnaround basis.

### 7. Data Ownership and Security

IRD will ensure that the data on carriers enrolled in the program is secured in a reasonable manner. IRD will not release or distribute any information on the carriers enrolled without written direction of the PIC Council. IRD will work with the PIC Council to generate periodic reports on the numbers of carriers participating in the program and bypass rates on a promotional basis.

All data in the database regarding carriers and enrolled vehicles will remain the property of the PIC Council. IRD shall turn over all data in the database to the PIC Council in a readily accessible format upon termination or cancellation of this agreement.

### 8. Interoperability

IRD will work with the PIC Council to ensure that as much as possible this program will remain interoperable with similar programs such as the British Columbia clearance program, and U.S. programs such as NorPass. IRD will work to ensure data compatibility and data transfer between these systems as agreed to with the PIC Council and participating carriers.

### 9. Indemnification

Both IRD and the PIC Council will hold each other harmless of any action or suit brought against either party by an outside party for the duration of this agreement.



**Appendix H: AMTA (PIC) and IRD Agreement**  
(Page 7)

**10. Points of Contact**

IRD Point of Contact: Randy Hanson  
[randy.hanson@irdinc.com](mailto:randy.hanson@irdinc.com)  
Phone: (306) 653-9681  
FAX: (306) 242-5599

PIC Council: Lorri Christensen  
[partner1@amta.ca](mailto:partner1@amta.ca)  
Phone: (403) 214-3430  
FAX: (403) 243-4610

**11. Agreement Counter party signatures or person**

Signed by authorized representatives:

**Alberta Motor Transport Association**

**International Road Dynamics Inc.**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Printed Name/Title

\_\_\_\_\_  
Printed Name/Title

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date



**Appendix I: Fee Structure for PIC Membership**

Date Issued:	2010 02 04	Reviewed Date:	2014 12 11
Revised:	2015 04 17	Revised by:	Shelley C

**Fee Structure for PIC Membership**

As approved at the Annual General Meeting held in Red Deer on the 19<sup>th</sup> of May 2010 the fee structure as approved is as follows:

<b>Member Unit Counts</b>	<b>Cost of Membership</b>
1 – 10 Units	\$150.00
11 – 50	\$350.00
51 - 100	\$600.00
101 - 500	\$ 1,000.00
501+	\$ 1,500.00 (Max Fee)

Those companies that are utilizing Transponders in their vehicles will be credited \$15.00 per transponder per year, at the time of annual billing.

For those companies approved for Partners In Compliance membership throughout the year; fees will be pro-rated on a month to month basis. Transponder utilization credit will not occur until the first full year of invoicing

**Cost of Plates and Plate Stickers**

PIC plates are available for all fleet vehicles at a cost of \$7.00 each and licence plate sized stickers for a cost of \$2.50 each.



**Appendix J: Documentation for Application of Membership**

Date Issued:	2010 02 04	Reviewed Date:	2014 12 11
Revised:	2015 01 26	Revised by:	Shelley C

Documents required from the Carrier applicant:

1. Completed PIC Carrier Application and Corporate Appraisal
2. COR /Secor Audit Summary
3. COR / Secor Certificate
4. Full Carrier Profile
5. NSC/ARC Summary page
6. PIC Quarterly Safety Performance Report
7. Completed PIC Interactive Entry Interview
8. Completed Verification Document

Documents for the Carrier applicant:

1. Policy and Operations Manual
2. Criteria Benefits
3. Fee Schedule
4. Carrier Information



**Appendix K: Application for Membership & Corporate Appraisal Form**

Date Issued:	2007 03 09	Reviewed Date:	2014 11 18
Revised:	2015 01 30	Revised by:	Shelley C



**PIC CARRIER  
APPLICATION  
AND  
CORPORATE APPRAISAL**

CARRIER NAME: \_\_\_\_\_

MAIN OFFICE ADDRESS: \_\_\_\_\_

COMPANY IS:    PROVINCIAL     FEDERAL

NSC NUMBER: \_\_\_\_\_    WCB NUMBER: \_\_\_\_\_





## Appendix K: Application for Membership & Corporate Appraisal Form

(Page 2)

### PIC CARRIER APPLICATION AND CORPORATE APPRAISAL

The Partners In Compliance (PIC) carrier self appraisal is designed to give the carrier an opportunity to self evaluate its safety programs and their effectiveness. The overall safety of driver's, administrative staff, and the motoring public is of the utmost importance to Partners In Compliance. Given this fact, the overall safety culture manifested in a carrier company is obviously very important to maintaining the integrity of the Partners In Compliance program and its participating membership.

The questions you will find on the following pages are not meant to be an audit, but to be used as a tool of measurement to assess where possible improvement may be needed. The PIC appraisal may act as a basis by which your company is assessed membership into the Partners In Compliance program, or if your company is already a Partner member, its continuance in the PIC program.

Please answer all questions honestly and to the best of your knowledge. Ensure correct department heads answer questions pertaining to their department in regards to: driver hiring, training, orientation, equipment maintenance and specialized training such as Transporting Dangerous Goods (TDG) or Long Combination Vehicles (LCV). Please keep in mind that all questions are based on requirements of the National Safety Code and the Partners In Compliance Safety Standards Manual. It is expected that those persons answering the questions are familiar with both documents. It is also expected that those same persons understand that both documents are to be used as a minimum standard and that this appraisal is for the purpose of potential membership into the Partners In Compliance program.

Should you have inquiries please feel free to contact Partners In Compliance.

**Director**

Cell: (780) 999-2538

Direct: (780) 395-6143

Toll Free: 877-448-7456

**Senior Coordinator – North**

Cell: (780) 231-4045

Direct: (780) 395-6145

Toll Free: 877-448-7456

**Senior Coordinator – South**

Cell: (403) 819-3488

Direct: (403) 214-3443

Toll Free: 800-267-1003



**Appendix K: Application for Membership & Corporate Appraisal Form**  
(Page 3)

NUMBER OF BRANCH LOCATIONS IN ALBERTA: \_\_\_\_ OUTSIDE ALBERTA: \_\_\_\_\_

**NUMBER OF STAFF:**

DRIVERS \_\_\_\_ OWNER/OPS \_\_\_\_ ADMINISTRATIVE \_\_\_\_ WAREHOUSE\_\_ MAINTENANCE\_\_\_\_

**EQUIPMENT:**

TRACTORS \_\_\_\_\_ TRAILERS \_\_\_\_\_ STRAIGHT TRUCKS \_\_\_\_\_

SCHOOL BUS \_\_\_\_\_ MOTOR COACH \_\_\_\_\_

**TYPE OF CARRIER:** (check all that apply)

LTL  TRUCKLOAD  LIQUID BULK  VAN  REEFER  FLAT DECK   
OTHER

TRANSPORT DANGEROUS GOODS: Yes  No

TRANSPORT OVERWEIGHT AND/OR OVERDIMENSIONAL: Yes  No

**1. SAFETY PROGRAM**

- a. Does your company have a written safety policy that complies with the National Safety Code regulations? Yes  No
- b. Does your company have in place a collision prevention procedure, such as ongoing driver training or PDIC requirements for drivers? Yes  No
- c. Does your company have in place driver prohibition/disciplinary policies specific to drivers in possession of illicit or illegal drugs, or under the influence of same? Yes  No
- d. Does your company have in place driver prohibition/disciplinary policies specific to drivers whereby their license has been suspended, revoked or cancelled? Yes  No
- e. Does your company have in place a procedure whereby employees are notified immediately of any policy and/or procedural changes? Yes  No
- f. Does your company request and review its Alberta Carrier Profile at least quarterly and review all new violations and collisions? Yes  No

**2. HIRING PROCEDURES**

- a. Does your company have in place the following standards and policies for hiring drivers:
  - i. Reference background checks Yes  No
  - ii. A personal interview process Yes  No
  - iii. A documented road test Yes  No
  - iv. An over the road driver test Yes  No



**Appendix K: Application for Membership & Corporate Appraisal Form**  
(Page 4)

v. Specific hiring standards for drivers Yes  No

**3. DRIVER TRAINING AND ORIENTATION**

- a. Does your company have in place a procedure outlining the training/orientation process specific to each employee? Yes  No
- b. Does your company require that all employees sign a document ensuring they have understood all elements of the training/orientation process and intend to comply with all company policies and procedures? Yes  No
- c. Does your company have in place a process by which each driver’s abilities are evaluated at least annually? Yes  No

**4. DRIVER FILE REQUIREMENTS**

- a. Does your company keep in the driver file the following information:
  - i. Written results of reference checks? Yes  No
  - ii. Written results of the interview? Yes  No
  - iii. Signed confirmation of training/orientation? Yes  No
  - iv. Signed confirmation of road test? Yes  No
  - v. Evidence of a valid drivers’ license? Yes  No
  - vi. Copies of any/all disciplinary action? Yes  No
  - vii. Copies of any/all training certificates? Yes  No

**5. DRIVERS HOURS OF SERVICE**

- a. Does your company require that all dispatchers be trained and aware of the regulations and company policies related to drivers hours of service? Yes  No
- b. Does your company have in place a written policy prohibiting a dispatcher from dispatching a driver who does not have sufficient hours available to complete the trip? Yes  No
- c. Does your company have in place a system by which all drivers hours of service violations are noted and promptly reviewed with the driver? Yes  No
- d. Does your company have in place a procedure whereby driver records were reviewed, violations noted, and corrective action taken and documented? Yes  No



**Appendix K: Application for Membership & Corporate Appraisal Form**  
(Page 5)

**6. FATIGUE MANAGEMENT**

- a. Does your company have in place information and training programs that enable staff and drivers to understand and manage fatigue? Yes  No
- b. Does your company have in place information and training programs that enable drivers to recognize sleep disorders? Yes  No
- c. Does your company provide information on the relationship between health, nutrition, lifestyle, eating habits and fatigue management? Yes  No
- d. Does your company provide information and training on the affects of scheduling and fatigue, such as hours worked, time of day and consecutive night shifts? Yes  No
- e. Does your company have in place a system for monitoring the effectiveness of its Fatigue Management training? Yes  No

**7. VIOLATION INSPECTION & REPORTING PROCEDURE**

- a. Does your company have in place a policy requiring drivers to report all violations and inspections to the designated safety person within 48 hours of its occurrence? Yes  No
- b. Does your company have in place a policy requiring drivers to submit all documentation issued by an enforcement agency as a result of an inspection, at the end of each trip? Yes  No
- c. Does your company have in place a procedure by which the designated safety person shall review all inspection/violation documents within 7 days of receipt? Yes  No

**8. VEHICLE MAINTENANCE**

- a. Does your company have in place a designated person responsible for all vehicle maintenance? Yes  No
- b. Does your company ensure that the designated maintenance person is familiar with all vehicle maintenance regulations? Yes  No
- c. Does your company ensure that the designated maintenance person is familiar with the CVSA "Out of Service" criteria? Yes  No
- d. Does your company take measures to ensure a copy of the CVSA "Out of Service" Criteria is obtained annually and available to the person in charge of vehicle maintenance? Yes  No



**Appendix K: Application for Membership & Corporate Appraisal Form**  
(Page 6)

- e. Does your company have in place a procedure for placing a vehicle out of service and ensuring it is not dispatched until such time as any/all defects have been repaired?  
Yes  No
- f. Does your company’s maintenance person ensure accurate records are kept on any/all tests performed on various safety equipments including but not limited to emergency doors, windows, flags, flares and fire extinguishers?  
Yes  No
- g. Does your company’s vehicle maintenance file contain vehicle information pertaining to vehicle dimension, axle spacing, tire size, number of wheels, maximum allowable weights, registered Gross Vehicle Weight (GVW) and registered tare weight?  
Yes  No

Notes:

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**9. VEHICLE WEIGHTS AND DIMENSIONS**

- a. Does your company have in place a written policy which ensures compliance with vehicle weight and dimension requirements?  
Yes  No
- b. Does your company have in place a written policy requiring that all loads be weighed, or that if the weight is known, the weight is documented, before shipment?  
Yes  No
- c. Does your company have in place a system by which all loads identified to be overloaded by 500kg or more are reported and documented as same?  
Yes  No
- d. Does your company have in place a system by which all loads identified to be over dimensionally loaded are reported and documented as same?  
Yes  No
- e. Does your company have in place an internal process to ensure all permits are obtained as required?  
Yes  No



**Appendix K: Application for Membership & Corporate Appraisal Form**  
(Page 7)

- f. Does your company have in place a system by which all permits attained are kept on file for a period of not less than 2 years? Yes  No
- g. Does your company have in place a policy by which driver's record weights and/or load dimensions on the bill of lading? Yes  No
- h. Does your company have in place a policy by which driver's are aware that if no scale is available they are to estimate weight and record estimated weight on bill of lading (ensuring the weight is marked as "estimated")? Yes  No   
(load may be estimated by contacting shipper, or manufacturer, and/or referring to similar loads or by referring to company's internal data system)

**APPRAISAL COMPLETED BY:**

NAME: \_\_\_\_\_

POSITION WITH COMPANY: \_\_\_\_\_

SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_



## Appendix L: Guidance with Completing the Quarterly Safety Performance Report

### Introduction Section:

Ensure the Blue quarter is selected correctly as well as the fleet for your carrier representation. Complete all the yellow sections ensuring the correct quarter has been selected as well as the correct Industry category.

### Partners in Compliance Quarterly Safety Performance Report (Page 1 of 4)

This Report covers the 3 months beginning: **1-Jul-15** and ending: **30-Sep-15**  
Enter Date of Quarter End above

Enter data or read instructions in the **blue** cells.

Values in grey cells are provided or are automatically calculated.

Select Industry Category: **Large Truck (11 or more units)**  
SELECT FROM DROP DOWN MENU ABOVE

NSC FLEET SIZE (From Part 1 Carrier Information) **AVERAGE** **CURRENT**

Company name:

Date of Carrier Profile used to prepare this Report:  
(Use "Date Printed". The Date Printed should be within 14 days of the "and ending" date, above)

Name of person who prepared this report:

Position:

Telephone Number:

E-mail Address:

Page 1



## Appendix L: Guidance with Completing the Quarterly Safety Performance Report

(Page 2)

**Section 1:**

1. WCB Lost Time Claim (LTC) Rate			
Complete this section with data from Company Employment records and WCB Lost Time Claims for the indicated 12-month period. For "The number of Full-Time Equivalent (FTE) Employees", below, be sure to count ALL employees(Office,yard,dock,and Drivers).			
The PIC Director will calculate the PIC standard for LTC Rate when all reports have been received.			
For the 12-month period beginning	<b>30-Sep-14</b>	and ending	<b>30-Sep-15</b>
<b>From Company Employment records</b> (Note: Include <b>ALL</b> employees (Office,Yard,Dock,and Drivers))			
<b>The number of Full-Time Equivalent (FTE) Employees:</b>			
at the beginning of the 12-month period			
at the end of the 12-month period			
<b>Average number of FTE Employees:</b>			<b>0</b>
<b>From WCB Claims Records</b>			
<b>The number of Lost Time Claims filed during the 12-month period</b>			
<b>LTC Rate per 200,000 Employee Hours:</b>			

Time frame for section 1 is twelve (12) months prior from the Quarterly Safety Performance Document report date.

Included are all employees and management.

Enter the full time employees for the twelve (12) month period at the beginning and at the end of the 12 months. The form automatically generates the average Full Time Employees.

Enter the number of full time drivers for the twelve (12) month period. *(Refer to Appendix B (Definitions) for full time driver's definition.*

From WCB Records: generate your WCB Yearly synopsis for WCB's website.

<http://www.wcb.ab.ca/employers/> (enter the MY WCB area) ensure you are generating a report for 12 months, not 15 months (default). The information can be found on a PIR (Partnership in Injury Reduction) generated report as well.





## Appendix L: Guidance with Completing the Quarterly Safety Performance Report (Page 3)

### Section 2:

2. Risk Factor (R-Factor) Score			
Use "Part 1 - Carrier Information" from your Carrier Profile to complete this section.			
<b>Your R-Factor Score: (Please draw this number from Part 6 of the Carrier Profile)</b>			
<b>Benchmark R-Factor Score</b>			<b>0.680</b>
<b>Difference</b> (See note below regarding the colour of number)			<b>0.68</b>
A black number signifies that the Company has met the PIC standard for the R-Factor score. A red number signifies that Company has not met the R-Factor standard.			

*\*\*above R-Factor is reflective of a Large Truck Carrier\*\**

We recommend that you request your Carrier Profile after the first Sunday of every month.

For this report you are required to request a twelve month period.

Place your current R-Factor score from your Carrier Profile in the yellow box. The benchmark is pre-set on the form. If the difference is black, this signifies the company has met the PIC Standard for the R-Factor score. A red number signifies that the company has not met the R-Factor benchmark.



**Appendix L: Guidance with Completing the Quarterly Safety Performance Report**  
(Page 4)

**Section 3:**

**3. CVSA Out of Service Rate**

Use "Part 3 - CVSA Inspection Information" (Summary) from your Carrier Profile for the number and type of Inspections. Enter the number of Passed, Requires Attention, and Out of service in the boxes below. The sheet will calculate the Out of service rate.

The current PIC Benchmark is 25% for trucking companies and 15% for Bus companies.

Minimum Number of Inspections before CVSA Applies			<b>4</b>
<b>TOTALS</b> (Note: Use Number of each CVSA type for this section)			
Number of Passed Inspections			
Number of Required Attention Inspections			
Number of Out of Service Inspections			
<b>TOTAL NUMBER OF INSPECTIONS</b>			<b>0</b>
<b>ALBERTA FAILURE RATE (AS PERCENTAGE)</b>			<b>N/A</b>
<b>OUT OF SERVICE RATE (AS PERCENTAGE)</b>			<b>N/A</b>

Page 2

Use "Part 3 – CVSA Inspection Information" (summary) from your 12 month Carrier Profile for the number of inspections. Enter the number of Passed, Requires Attention, and Out of Service in the boxes below.

The current PIC Benchmark is 25% for Trucking Companies and 15% for Bus Companies.



## Appendix L: Guidance with Completing the Quarterly Safety Performance Report

(Page 5)

**Section 4:**

**4. Preventable Collisions per Million Miles**

Use "Part 4 - Collision Information" (Summary) from your Carrier Profile for the number of collisions. Enter the mileage in the box below. Select whether the mileage is Kilometers or Miles. The sheet will calculate the rate per 1,600,000 km. (enter only those collisions which have a point value assigned)

Use Company records for Total mileage. "Total Fleet Mileage" means all mileage - rural and urban. Contact the PIC Director if you wish to report urban and rural collisions and kilometers separately.

The PIC Director will report the PIC standard for this measure when all reports have been received.

<b>Number of Reportable Collisions (Please report only those collisions with points associated)</b>	
Number of Preventable "Property Damage" collisions	
Number of Preventable "Injury" collisions	
Number of Preventable "Fatal" collisions	
<b>Total Number of Preventable Collisions</b>	<b>0</b>
<b>From Company Records</b>	
Total fleet mileage for 12 month period	<b>Please select Mileage Type</b>
	<b>Kilometers</b>
<b>Number of Collisions per 1,600,000 km's.</b>	<b></b>

Note: 1,600,000 km's is approximately equal to 1,000,000 miles, which facilitates comparison to US data.

Use "Part 4 – Collision Information (Summary)" from your Carrier Profile for the number of Collisions. Enter only those collisions which have a point value assigned.

Refer to your company records for total mileage and select whether the mileage is in Miles or Kilometers.



**Appendix L: Guidance with Completing the Quarterly Safety Performance Report**  
(Page 6)

**Section 5:**

5. Drivers' Hours of Service Violations			
<b>Enter the total number of Drivers: (Please report all NSC qualified drivers)</b>			
<b>Drivers subject to NSC:</b>			0
<b>Minimum number of Drivers logs to be audited</b>			
<b>Minimum number of Logs to be Audited (Includes Days off and Resets)</b>		<b>Drivers x 90 days=</b>	
<b>Actual number of Driver Logs audited</b>			
<b>Number of Hours of Service Violations</b>			
For Example, if 100 of the logs you audited have Hours of Service Violations, enter 100 in this yellow cell. <b>Please see Hours of Service Fatigue related definition provided</b>			
<b>Hours of Service Violations (%)</b>			
<b>The PIC standard for Drivers' Hours of Service Violations is 5.0 % or lower.</b>			

The spread sheet automatically generates the minimum number of logs to be audited, and you will find that number in the grey section.

If you are using a prior quarter for this section, please specify what quarter numbers you are generating your data from; (i.e. external log audit facilities cannot always get their violation numbers to you within 30 days, so using the date from the previous quarter as long as you are consistent, is an acceptable format).

This calculation is ONLY looking for Fatigue related violations. Refer to *Appendix P (Evaluating Hours of Service)* for Fatigue Related violations definitions. Ensure ONLY 1 event per day / per log is calculated.

Log audits can be done internally or externally. Refer to <http://www.transportation.alberta.ca/Content/docType276/Production/Edmanual.pdf> for "The Commercial Vehicle Safety Compliance in Alberta Manual".



**Appendix M: PIC Quarterly Verification Document**



# Partners in Compliance

## Reporting Verification Document

Carrier Name:   
(As registered on Safety Fitness Certificate)

Date Completed:

Interview Name:

WCB number(s):

WCB Code(s):

Quarter Reviewed:



**Appendix M: PIC Reporting Verification Document**  
(Page 2)

**Partners In Compliance Reporting Verification**



**Verification:**

The purpose of the Verification is to confirm that PIC Member carriers have the necessary policies and procedures in place to ensure accurate and timely reporting.

The verification is not intended to be a full audit of a carrier's compliance to PIC standards, but rather a review to ensure they continue to meet the PIC Reporting Standards.

The verification is comprised of:

- Review of key documents & procedures
- Confirmation from the carrier that PIC Reporting standards are met
- Verification of Documentation associated with reporting

- Verification of Documents: (retain copies for PIC records)
- Summary page of most recent COR Audit
  - Summary page from the most recent EXTERNAL COR
  - Carrier Profile for Quarter of audit
  - WCB Company Synopsis
  - Quarterly Report (most recent)

Page 2

**Recommended Verification Process:**

- Confirm the Date of the Verification Process.
- Confirm the carrier has a copy of this document, Carrier Profile, WCB Company Synopsis, COR Summary.
- Carrier to explain policies / procedures required to prepare reporting.
- Prior to the Verification date, confirm all required persons are able to be present.
- Verification Day:
  - Confirm all necessary persons are at verification meeting.
  - Ensure each person has a copy of the PIC Quarterly Report and their Carrier Profile.
  - Review the Quarterly Report and address any questions.
  - Review carriers WCB Synopsis and verify the data.
  - Review the verification results including all comments with carrier.
  - Reviewer may check Yes or No and R/A and then state actions associated with the R/A, score is based on yes/no.
  - Supply the Carrier with a copy of the Verification .
- Provide the PIC Director a copy of the completed Verification document and the WCB Employer Synopsis within 7 days of completion.

corrective action time line  
\*performance review correction actions - letter if required for followup - summary to performance review

**Appendix M: PIC Reporting Verification Document**  
(Page 3)

PIC Reporting Verification Document	Response			Comments / Materials Reviewed
	Yes	No	R/A	
1. Does the carrier have a written procedure for the person completing the Quarterly Report?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2. Is the carrier information in the Quarterly Report accurate? Verify the numbers are correct: Average Units and Current NSC vehicles are current. Verify by the Carrier Profile used for the Quarterly Report being verified.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3. Verify: Report date (quarter and year):  Carrier Profile print date: _____ <i>(Is the Carrier Profile printed following the first Sunday of the new month? For information only, does not affect scoring).</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4. Section 1- WCB Lost Time Claim Rate (LTC): Does the carrier collect and report full time employee totals accurately? <i>(Total must include all FTE or equivalent) including drivers for all WCB accounts associated with NSC number.</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5. Section 1- WCB Lost Time Claim Rate (LTC): Does the carrier report Lost Time Claims accurately? Carrier must maintain records for all Lost Time Claims. Please supply PIC with WCB and Company Analysis. (WCB website - Employer Synopsis) (WCB trucking industry code	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6. Section 2 - Verify R-Factor score: <i>As per Carrier Profile. **Get from part 6***</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7. Section 3 - Verify CVSA / OOS Rate: <i>As per Part 3 and 6 of the carrier profile.</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8. Section 4 - Collision Reporting: Does the carrier accurately report preventable collisions? <i>Report only those collisions in shown in part 4 of the Carrier Profile that have points associated.</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
9. Section 4 - Mileage reporting: Does the carrier have an accurate and consistent method of determining mileage/kms for the reporting period?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Page 1







**Appendix M: PIC Reporting Verification Document**  
(Page 6)

# Partners in Compliance

## PIC Interview Confirmation Page

Carrier Name:

Carrier Address:

Date Completed:

Safety Officer

Person Resp for Completing  
Quarterly

Comments:  
Immediate / 30 Day / 60 Day - Compliance Required

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Senior Company Official:  
I confirm that all processes and elements outlined in the PIC Policy and Operations Manual  
are in place and meet standards.

Senior Company Official:

Interviewer Name:



**Appendix M: PIC Reporting Verification Document**  
(Page 6)

**Drivers' Hours of Service Violations**

PIC members must have an effective, verifiable process to monitor their drivers' records for hours of service violations. This process must produce measureable results and enable a company to maintain a Fatigue Violation Rate (FVR) of less than 5%. Members must submit their FVR quarterly to the PIC Director and ensure monthly records are available for review to support the number submitted.

A PIC member's internal monitoring program will adopt the following approach when reviewing driver records for hours of service violations:

- 1 Verify that all authorized drivers have a record for every calendar day (including days off and holidays);
- 2 Check all authorized drivers to ensure they apply the appropriate hours of service regulations to all roads;
- 3 Check all authorized drivers for form and manner violations (e.g. name, address, date, daily hour totals, odometer readings, etc.) for every day;
- 4 Check all authorized drivers for fatigue-related violations (e.g. records not current to last change of duty status, driving over hour limits, not taking minimum off-duty time, two records for one day, false records, incomplete records, etc.);
  - a) Carriers with one to ten drivers must check every driver at least monthly; and
  - b) Carriers with more than ten drivers must check ten drivers plus 10% of the remaining drivers at least monthly (e.g. a carrier with 30 drivers would check 10 drivers plus 10% of the remaining 20 drivers, for a total of 12 each month).
  - c) A member may check more drivers during the month than outlined in the preceding bullet. In this scenario the members must calculate their FVR using all drivers and violations detected.
  - d) Check all drivers for fatigue-related violations (e.g. driving over hours limits, two logs for 1 day, false logs, no logs, incomplete logs, etc.) Carriers with a small number of drivers (e.g. 1-10) should check every driver's fatigue compliance at least monthly. Carriers with a large number of drivers should check each as often as feasible (e.g. at least 10% of drivers monthly will ensure that everyone is selected at least annually);
- 5 Use independent supporting documents (that cannot be created or modified by a driver) to verify the accuracy of driver records (e.g. fuel receipts, bills of lading with shipping times, GPS records, meal/hotel receipts, etc.);
- 6 Check recently trained drivers or drivers with previous violations more frequently until the company is satisfied they understand and follow the applicable hours of service requirements;
- 7 Upon hire of a new driver, obtain the driver's hours of service records from their previous employer. If this is not possible, then obtain a signed statement from the driver that specifies their total on-duty and off-duty hours for each of the previous 14 days;
- 8 Address all identified violations with employees and take appropriate remedial action(s). Actions shall be documented in each driver's file. Information shall include the date(s) on which non-compliance occurred, the nature of the non-compliance identified, and the remedial action(s) taken;



**Appendix M: PIC Reporting Verification Document**  
(Page 7)

- 9 Identify who is responsible for conducting internal monitoring, preparing the summary reports, taking disciplinary action, etc. This person is also responsible for ensuring they and other employees have the necessary skills and knowledge to analyze hours of service regulations.
- 10 Prepare a monthly report of your findings and any corrective action(s) taken. Retain all reports for the current year and the preceding 4 years. The report should include a calculation of each driver's Fatigue Violation Rate (FVR) using the formula below:

$$\text{FVR} = \frac{\text{Number of days with 1 or more fatigue-related violations}}{\text{Total number of days checked}} \times 100\%$$

- 11 The report should also include a calculation of each driver's Form and Manner Violation Rate (FMVR) using the formula above (with form and manner violations being divided by the total days).

**NOTE:**

- 12 A "driver" includes any person authorized to operate a NSC vehicle registered to the carrier. This includes full or part time employees, volunteers, mechanics, salespeople, dispatchers, office staff, owners, managers, supervisors, etc.
- 13 Fatigue-related violations considered in determining a FVR are:
  - a) False records;
  - b) More than one daily record for a day;
  - c) Missing record(s) (each calendar day must be accounted for);
  - d) Record(s) not current to the last change of duty status;
  - e) Driving over any hour limitations specified in the respective regulation (workshift limit in the Alberta regulation; log times don't match available records or documents / daily allowances /workshift/cycle limits in the federal regulation);
  - f) Not taking the minimum required amount of time off-duty (e.g. 10 hours off-duty in a day in the federal regulation, whether or not the driver actually drove a regulated vehicle that day);
  - g) Using the 160-kilometre radius exemption when the driver does not meet all specified criteria;
  - h) Failing to meet any condition of a federal or provincial permit related to hours of service (e.g. not taking three 24-hour periods off-duty in any period of 24 days while operating under the federal Oilwell Cycle Exemption permit).
- 14 Form & Manner - as part of the monitoring system we ask you to capture it, but it is not part of the benchmark system.





**Appendix N: PIC Annual Verification Document**



# Partners in Compliance

## Annual Verification Document

Carrier Name:

(As registered with Workers Compensation Board)

Provincial Carrier

Federal Carrier

Date Completed:

Auditor Name:

Auditor Signature:

Date of NSC Audit:

Maintenance Audit

External Audit



**Appendix N: PIC Annual Verification Document**

**Partners in Compliance (PIC) Annual Verification**



**Instructions to Carrier:**

- 1 This worksheet must be completed in order to verify your compliance to the PIC standards. There are several sections to this worksheet. In some cases not all questions will apply. An 85% overall score is required.
- 2 Examine 5 driver files and 5 vehicle files at random, (as applicable), to verify implementation when required. All files examined must meet the standard being
- 3 External auditors must validate their answers by ensuring the documentation exists.
- 4 Internal auditors – please answer to the best of your ability. Retain a copy of this docun
- 5 The sections to be evaluated are indicated below:

**List of documents to review:**

- 1 Safety Manual
- 2 Training records
- 3 Orientation checklists
- 4 Organizational Charts
- 5 Job descriptions
- 6 Meeting minutes
- 7 Safe work practices and procedures

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- Section 1: Safety Program
- Section 2: Carrier Safety
- Section 3: Dangerous Goods
- Section 4: Collisions
- Section 5: Driver File & Certification
- Section 6: Hours of Service
- Section 7: Preventative Maintenance
- Section 8: Vehicle Files
- Section 9: Motor Coach & School Bus Operators
- Section 10: Company & Individuals Certificates / Awards
- Totals**

Please ensure you complete EVERY tab of the File (10 in total). Must be completed by an external auditor at a minimum of once every 3 years.

**DISCLAIMER:**

All persons making use of this PIC Verification are reminded that the benchmarks contained within this document have no legislative sanction; they are employed for reference only. Members of the PIC Program are required to comply with all applicable Acts and Regulations, and those Acts should be consulted for all purposes of interpreting and applying the law.

This PIC Verification is meant to ensure carriers exceed Government Standards and to ensure qualifications are met for PIC Carriers.



**Appendix N: PIC Annual Verification Document**

SECTION 1- Safety Program (All truck and bus carriers must complete this section)	Response				Comments / Materials Reviewed
	Meets	Exceeds	R/A	N/A	
<p>1. Does the carrier have a written policy / process in place for ensuring drivers report all inspections and/or violations to the company, at the end of each trip, or within the last 7 days, whichever is sooner? Is there a procedure, policy or practice implemented and documented that meets the intent of complying with the above standard?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>2. Passenger: Does the carrier have a program addressing passenger safety in place? Is there written evidence implemented and documented that meets the intent of complying with the above standard?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>3. Does the carrier have a written process in place to ensure all permits are obtained as required, and all conditions of the permit are followed? e.g. Expiry Dates. Is there written evidence implemented and documented that meets the intent of complying with the above standard?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>4. Fall Protection: In many cases, employees do not or should not enter into a situation where it is required they perform work (as per applicable regulation) off the ground or any other scenario where a fall could injure them. However, each employee should be made aware of the legislation surrounding Fall Protection. Carriers should be cognizant of this legislation and have a written procedure or practice regarding it. Is there a Code of Practice, procedure, or policy implemented and documented that meets the intent of complying with the above standard?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>5. Short Service Employee: Every effort is made to only employ driving personnel with previous training and experience while retaining an exceptional safety record. Regardless of past training and experience new employees should be classified as short term employees until it is recognized by management that the new employee is cognizant of the company rules, regulations and safe work procedures. Is there written evidence implemented and documented that meets the intent of complying with the above standard?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>6. Does the carrier's training and orientation include instruction on specific vehicle operating procedures (i.e. crane, bulk, vacuum, new equipment, busses etc)? Is there written evidence implemented and documented that meets the intent of complying with the above standard?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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**Appendix N: PIC Annual Verification Document**

7. Does the carrier's training and orientation include instruction on product handling including loading and unloading procedures of all commodities, passengers and equipment? <i>Is there written evidence implemented and documented that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8. Leased Contractors: Does the carrier have a program or procedure implemented for Contractors to ensure that their safety performance meets or exceeds the carriers health and safety performance? <i>Is there a program or procedure implemented and documented to verify the above?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
9. Fitness for Duty: A carrier must be committed to protecting the safety and health of their employees and ensuring that employees are able to safely perform the essential work tasks of their job. <i>Is there a procedure, policy or practice implemented and documented that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10. Does the carrier's training and orientation cover instruction on load securement regulations and industry best practices? <i>Is there a procedure, policy or practice implemented and documented that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
11. Does the carrier's training and orientation cover instruction in TDG. <i>Is there a procedure, policy or practice implemented and documented that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
12. Does the carrier's training and orientation cover instruction in vehicle weights and dimensions including: vehicle maximum gross weight, vehicle tare weight, legal axle weights, weight & dimensions of loads, route restrictions, road & bridge restrictions, seasonal weight allowances and permit requirements? <i>Is there a procedure, policy or practice implemented and documented that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>TOTALS:</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	

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Total Number of Questions:	<b>12</b>		
Less N/A Questions:	<b>0</b>		
Total Applicable Questions:	<b>12</b>		
Number of Questions Answered Meet / Exceed Standard:	<b>Too Few Check Boxes</b>		
Number of Questions Answered: R/A:	<b>0</b>		
Score:	<b>Check Answers</b>		





**Appendix N: PIC Annual Verification Document**

SECTION 2 - Carrier Safety (All truck and bus carriers must complete this section)	Response				Comments / Materials Reviewed
	Meets	Exceeds	R/A	N/A	
<p>1. Does carrier designate safety professionals responsible for the management and administration of the safety program, which includes some involvement in the hiring, orientation, training and termination of staff? Is there written evidence implemented and documented that meets the intent of complying with the above standard?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>2. Does the carrier have a process in place which requires and ensures that drivers are involved with safety meetings on a regular basis, and that safety meeting minutes be retained? Is there a procedure, policy or practice implemented and documented that meets the intent of complying with the above standard? Ensure at least 9 meetings have been conducted for drivers in the audit year.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>3. Does the safety program include issues specific to driving commercial vehicles such as; smoking in and around vehicles, safe/secure parking procedures, and routing of vehicles? Verify by identifying written procedures or documents that meet the intent of complying with the above standard?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>4. Does the carrier have a written process in place for ensuring their Carrier Profile is obtained and reviewed at minimum every three (3) months? Is there written evidence implemented and documented that meets the intent of complying with the above standard?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>5. Does the carrier have a written policy / process in place for ensuring that Carrier Profile events including collisions, violations, convictions, and CVSA inspections are investigated, remedial action taken and documented and signed off by the company? Is there written evidence implemented and documented that meets the intent of complying with the above standard?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>6. Cargo Securement Procedure: Proper cargo securement is required by law. All carriers should abide by Standard 10 of the National Safety Code. This Process or Procedure must be in writing. Is there written evidence implemented and documented that meets the intent of complying with the above standard?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>7. Does the carrier have a process in place which includes reference checks, interviews and a road test (documented driving test or performance review) ? Is there written evidence implemented and documented that meets the intent of complying with the above standard?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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8. Does the carrier's fatigue management training program address elements such as:

- sleep (stages, circadian rhythm, napping)
- sleep disorders (insomnia, apnea, narcolepsy)
- health, nutrition, lifestyle (fitness, foods, balance meals, meal times, exercise)
- drug usage (improved alertness, induced drowsiness)

Is there documentation available that verifies compliance with the above standard?

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------	--------------------------	--------------------------

9. Does the carrier's fatigue management program address training in fatigue awareness for employees, and management staff?

Is there documentation available that verifies compliance with the above standard?

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------	--------------------------	--------------------------

TOTALS:      0      0      0      0

Total Number of Questions:	<u>9</u>
Less N/A Questions:	<u>0</u>
Total Applicable Questions:	<u>9</u>
Number of Questions Answered Meet / Exceed Standard:	<b><u>Too Few Check Boxes</u></b>
Number of Questions Answered: R/A:	<u>0</u>
Score :	<b><u>Check Answers</u></b>

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**Appendix N: PIC Annual Verification Document**

SECTION 3 - Dangerous Goods (To be completed by all carriers who transport Dangerous Goods)	Response				Comments / Materials Reviewed
	Meets	Exceeds	R/A	N/A	
1. Does the safety program designate one or more Safety Officers (team) as a resource for dangerous goods inquiries? <i>Is there written evidence implemented and documented that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2. Does the carrier have a process in place for ensuring all investigations and reporting of dangerous goods occurrences are initiated immediately and remedial action is documented and signed off? <i>Is there written evidence implemented and documented that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3. Does the carrier have a process or program in place which ensures that any person who handles, offers for transport or transports dangerous goods are properly trained? <i>Is there documentation available that verifies compliance with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4. Do the carrier's training procedures include instruction for checking packaging/means of containment for leaks, load securement, load compatibility and prohibited commodities? <i>Verify by identifying written procedures and/or a series of forms or documents that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5. Does the carrier's training include instruction on all placards, labels and signs for packaging/containers and vehicles? <i>Verify by identifying written procedures and/or a series of forms or documents that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6. Do the carrier's training include instruction on the completion of all documentation? <i>Verify by identifying written procedures and/or a series of forms or documents that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7. Does the carrier have a process in place for ensuring all dangerous goods occurrence reports are being reported in a timely manner <i>Is there a procedure, policy or practice implemented and documented that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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8. Does the carrier ensure Dangerous Goods Certificates are provided to the persons whom handle, offers for transport or transports the dangerous goods?

Verify by identifying written procedures and/or a series of forms or documents that meets the intent of complying with the above standard?

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------	--------------------------	--------------------------

TOTALS	0	0	0	0
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Total Number of Questions:	<u>8</u>
Less N/A Questions:	<u>0</u>
Total Applicable Questions:	<u>8</u>
Number of Questions Answered Meet / Exceed Standard:	<b>Too Few Check Boxes</b>
Number of Questions Answered: R/A:	<u>0</u>
Score:	<b>Check Answers</b>



## Appendix N: PIC Annual Verification Document

SECTION 4 - Collisions (All truck and bus carriers must complete this section)	Response				Comments / Materials Reviewed
	Meets	Exceeds	R/A	N/A	
1. Does the carrier have a process in place for ensuring all collisions are investigated by a competent investigator with assistance from the individual(s) involved, remedial action is documented, and reportable collision prevention is addressed and signed off? <i>Is there written evidence implemented and documented that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2. Collision and Incident Investigation: Collision and incident investigations conducted by the carrier determine the causes of the occurrence and when properly analyzed will assist in the determination of corrective actions required to prevent a recurrence. The emphasis of investigations must be on fact finding, not to assess blame. <i>Is there written evidence implemented and documented that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3. Does the carrier have a process in place to ensure remedial action on all collisions is documented, reviewed and signed off by a manager? <i>Is there written evidence implemented and documented that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4. Does the carrier have a process in place for ensuring all collision data is retained for five years and includes: • Police Collision Report • Driver Statement • Witness Statements (if possible) • Record of any legal action • Estimate of property damage incurred • Internal review report and documented remedial actions taken • Contributing factors to the collision and determination of preventability <i>Is there written evidence implemented and documented that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5. Does the carrier have a process to submit the Evaluation form for AB Transportation? (Preventability) <i>Is there written evidence implemented and documented that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>TOTALS</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	

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Total Number of Questions:	5
Less N/A Questions:	0
Total Applicable Questions:	5
Number of Questions Answered Meet / Exceed Standard:	Too Few Check Boxes
Number of Questions Answered: R/A:	0
Score :	Check Answers



**Appendix N: PIC Annual Verification Document**

SECTION 5 - Driver File and Certification (All truck and bus carriers must complete this section)	Response				Comments / Materials Reviewed
	Meets	Exceeds	R/A	N/A	
1. Does the carrier have a process in place which requires the orientation of critical safety issues be completed before the first day of work and completion of training and performance reviews be dated within 30 days of hire? <i>Is there written evidence implemented and documented that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2. Does the carrier ensure there is a drivers file for all authorized drivers? <i>Is there written evidence implemented and documented that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3. Does the carrier have a process in place which requires that a driver review be conducted every 12 months? Does the carrier document the results and keep them on file? <i>Are there forms or documents that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4. Does the carrier's driver file procedures require that a record of progressive discipline, corrective action and driver accomplishments be kept? <i>Is there a process or series of forms or documents that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5. Does the carrier have a process in place to ensure all driver qualifications remain current? <i>Is there a process or series of forms or documents that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>TOTALS:</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	

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Total Number of Questions:	5		
Less N/A Questions:	0		
Total Applicable Questions:	5		
Number of Questions Answered Meet / Exceed Standard:	<b>Too Few Check Boxes</b>		
Number of Questions Answered: R/A:	0		
Score :	<b>Check Answers</b>		



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SECTION 6 - Hours of Service (All truck and bus carriers must complete this section)	Response				Comments / Materials Reviewed
	Meets	Exceeds	R/A	N/A	
1. Does the carrier's Hours of Service management program require statistics to be reviewed that include? • Number of records reviewed and documents used • Date of the reviews • Name of driver and number and type of violation <i>Is there documentation available that verifies compliance with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2. Hours of Service: Is training relating to fatigue management and HOS being completed for applicable staff? Managers, Operations, Dispatchers, Administrative staff and Sales staff? <i>Is there written evidence implemented and documented that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3. Does the carrier have a process in place to conduct a monthly review of a minimum number of drivers for hours of service violations with the goal of having all drivers reviewed each year? <i>Is there a process or series of forms or documents that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4. Does the carrier review HOS violations with the drivers? <i>Is there written evidence that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5. Does the carrier retain Hours of Service documents where they relate to an investigation? <i>Verify by identifying written procedures or documents that meet the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6. Does the carrier have a process in place to ensure dispatchers do not dispatch drivers who do not have sufficient hours to complete a trip? <i>Is there written evidence implemented and documented that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>TOTALS</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	
Total Number of Questions:	6				
Less N/A Questions:	0				
Total Applicable Questions:	6				
Number of Questions Answered Meet / Exceed Standard:	Too Few Check Boxes				
Number of Questions Answered: R/A:	0				
Score:	Check Answers				

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## Appendix N: PIC Annual Verification Document

SECTION 7 - Preventative Maintenance and Inspection Program (To be completed by ALL carriers operating commercial vehicles)	Response				Comments / Materials Reviewed
	Meets	Exceeds	R/A	N/A	
1. Is there a Preventative Maintenance Program? <i>Is there written evidence implemented and documented that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2. Does the carrier have a process in place to monitor vehicle service frequency and due dates and schedules that meet compliance requirements? <i>Is there a procedure, or program implemented and documented that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3. Does the carrier have a process in place which identifies vehicles that are out of service and prohibits dispatch until repaired? e.g.: Tag Out System <i>Is there written evidence implemented and documented that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4. Does the carrier have a process in place to ensure the competency of the personnel performing the maintenance inspections? <i>Is there written evidence implemented and documented that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5. Does the Carrier have a process in place to ensure all inspections and maintenance documents (Unit Files) be maintained as required by regulation? <i>Verify by reviewing maintenance inspection documents.</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6. Does the carrier have a process in place which requires that periodic circle checks are being performed throughout the shift? <i>Is there a procedure, policy or practice implemented and documented that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>TOTALS:</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	

Total Number of Questions: 6  
 Less N/A Questions: 0  
 Total Applicable Questions: 6  
 Number of Questions Answered Meet / Exceed Standard: Too Few Check Boxes  
 Number of Questions Answered: R/A: 0  
 Score: Check Answers





## Appendix N: PIC Annual Verification Document

SECTION 8 - Vehicle Files and Information <small>(All truck and bus carriers must complete this section)</small>	Response				Comments / Materials Reviewed
	Meets	Exceeds	R/A	N/A	
1. Does the carrier designate in writing a person(s) or Department responsible for the management and administration of the vehicle maintenance program, who is knowledgeable of the vehicle maintenance regulations, as well as the CVSA "Out Of Service" criteria? <i>Is there documentation available that verifies compliance with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2. Does the carrier have a vehicle file for each unit for the current year and previous 4 years? <i>Is there documentation available that verifies compliance with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3. Does the carrier have a process in place for reviewing the currency of documents in the vehicle files? <i>Is there written evidence implemented and documented that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4. Does the carrier have a process to ensure the vehicle files are being maintained in accordance with legislation items required in vehicle file <ul style="list-style-type: none"> <li>• the registered owner of the vehicle (i.e. copy of vehicle registration)</li> <li>• records of inspection of emergency equipment AS REQUIRED (fire extinguishers, first aid kits, warning triangles, emergency doors, etc)</li> <li>• identification of repair parts billed to the vehicle</li> <li>• vehicle dimensions, axle spacing, tire size, number of wheels, maximum allowable weights, registered weight and tare weight.</li> <li>• Trip Inspection Reports</li> <li>• Records of all CVIP Inspection Reports</li> <li>• Records of all CVSA Commercial Vehicle Inspection Reports</li> </ul> <i>Is there written evidence implemented and documented that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5. Does the carrier ensure the person or Department responsible for vehicle maintenance receives a current annual copy of the CVSA criteria and/or has access to one upon request? <i>Is there written evidence implemented and documented that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>TOTALS</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	
Total Number of Questions:					5
Less N/A Questions:					0
Total Applicable Questions:					5
Number of Questions Answered Meet / Exceed Standard:					<b>Too Few Check Boxes</b>
Number of Questions Answered: R/A:					0
Score :					<b>Check Answers</b>

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**Appendix N: PIC Annual Verification Document**

SECTION 9 - Motor Coach & School Bus Operations (To be completed by all bus operations)	Response				Comments / Materials Reviewed
	Meets	Exceeds	R/A	N/A	
1. Does the carrier have a process in place to check emergency exits and equipment. <i>Is there a procedure, policy or practice in place or a series of forms or documents that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2. Does the carrier have a process to ensure the ability to inspect the vehicles interior for lost property, and sleeping passengers? <i>Is there a procedure, policy or practice or a series of forms or documents that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3. Does the carrier have a process to ensure knowledge of regulations and policies regarding rail crossings? <i>Is there a procedure, policy or practice in place or a series of forms or documents that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4. Does the carrier have a process to ensure that their passengers board and exit safely. This includes ensuring all passengers are on board and secure before departing from the stop. <i>Is there a procedure, policy or practice in place or a series of forms or documents that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5. Does the carrier have a process to ensure drivers have the knowledge of what constitutes a safe aisle? <i>Is there a procedure, policy or practice in place or a series of forms or documents that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6. Does the carrier have a process to ensure drivers have the knowledge of Traffic Acts pertaining to emergency exit access? <i>Is there a procedure, policy or practice in place or a series of forms or documents that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7. Does the carrier have a process to ensure the knowledge of company policies pertaining to passenger safety? <i>Is there a procedure, policy or practice in place or a series of forms or documents that meets the intent of complying with the above standard?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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**Appendix N: PIC Annual Verification Document**

<p>8. Does the carrier have a process to ensure the knowledge of the organization's procedure and legislation regarding the ejection of passengers or denial of boarding?  <i>Is there a procedure, policy or practice in place or a series of forms or documents that meets the intent of complying with the above standard?</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>9. Does the carrier have a process to ensure drivers have the knowledge of the organization's emergency evacuation procedures to ensure an orderly and safe evacuation?  <i>Is there a procedure, policy or practice in place or a series of forms or documents that meets the intent of complying with the above standard?</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>10. Does the carrier have a process to ensure drivers have the knowledge of rules and regulations pertaining to potential environmental hazards such as fluid leaks, fire, hazardous goods, and exhaust fumes?  <i>Is there a procedure, policy or practice in place or a series of forms or documents that meets the intent of complying with the above standard?</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>TOTALS:</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	

Page 2


Total Number of Questions:	<b>10</b>
Less N/A Questions:	<b>0</b>
Total Applicable Questions:	<b>10</b>
Number of Questions Answered Meet / Exceed Standard:	<b>Too Few Check Boxes</b>
Number of Questions Answered: R/A:	<b>0</b>
Score:	<b>Check Answers</b>



**Appendix N: PIC Annual Verification Document**

SECTION 10 - Company Contributions (All truck and bus carriers must complete this section)	Awards / Certificates / Contributions
---	---------------------------------------

Please list your companies Community Awards and Certificates awarded.

List Individuals accomplishments & contributions as well.  
List your compaines industry support and contributions

Page 1

This section does not contribute to the verification score but speaks to the nature of PIC Carriers who often engage in the communities in which they operate.



**Appendix N: PIC Annual Verification Document**

SECTION FINAL SCORING SHEET	SECTION RESPONSE					
	Total	Meets	Exceeds	R/A	NA	%
Section 1 – Safety Program	12	0	0	0	0	Check Answers
Section 2 – Carrier Safety	9	0	0	0	0	Check Answers
Section 3 – Dangerous Goods	8	0	0	0	0	Check Answers
Section 4 – Collisions	5	0	0	0	0	Check Answers
Section 5 – Driver file and Certification	5	0	0	0	0	Check Answers
Section 6 – Hours of Service	6	0	0	0	0	Check Answers
Section 7 - Preventative Maintenance	7	0	0	0	0	Check Answers
Section 8 - Vehicle Files	5	0	0	0	0	Check Answers
Section 9 - Motor Coach School Bus	10	0	0	0	0	Check Answers
Section 10 - Company Contributions	5	0	0	0	0	Check Answers
<b>Total Responses In Each Section</b>	<b>72</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>Check Sections</b>
<b>Total Number of Questions in the Quiz</b>			72			
<b>Subtract the Number of NA Responses</b>			0			
<b>Total Applicable Number of Questions</b>			72			
<b>Total Number of YES Answers</b>			0			
<b>Overall Percentage</b>			0.0%			
<b>CARRIER NAME (as registered with WCB):</b>			0			
<b>Each Section requires a score of at least 50%.</b>						
<b>Minimum overall 85% score required.</b>						

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**Appendix N: PIC Annual Verification Document**

**PIC Verification Revision Control Form**



Rev #	Date	Description. Of Revision	Person	Section / Question	Date of Approval
2	2015 01 29	Review and update Questions	Shelley (Standards)	Complete Revision: New format / Additional Questions / Additional Sections	
2	2015 01 29	Creation of Revision Control Form	Shelley		
2	2015 03 03	Review and update Questions	Standards		
2	2015 04 06	Edit and revision	Kim	all	
2	2015 06 26	Revision	Joe Jesse-Tuboscope	all	
2	2015 07 09	Review and update Questions	Standards	all	
3	2015 07 22	Revisions	Jennifer Noble	all	
3	2015 10 06	Revisions	Jennifer Noble / Joe Jesse / Ian Checkley	all	

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## Appendix O: Evaluating Hours of Service

AB Transportation Document

Date Issued:	2007 03 09	Reviewed Date:	2014 11 18
Revised:	2105 03 06	Revised by:	Shelley C

PIC Members must have an effective, verifiable process to monitor their drivers' records for hours of service violations. This process must produce measureable results and enable a company to maintain a Fatigue Violation Rate (FVR) of **less than 5%**. Members must submit their FVR quarterly to the PIC Director and ensure monthly records are available for review to support the number submitted.

A PIC Member's internal monitoring program will adopt the following approach when reviewing driver records for hours of service violations:

- a) Verify that all authorized drivers have a record for every calendar day (including days off and holidays).
- b) Check all authorized drivers to ensure they apply the appropriate hours of service regulations to all roads.
- c) Check all authorized drivers for form and manner violations (e.g. name, address, date, daily hour totals, odometer readings, etc.) for every day.
- d) Check all authorized drivers for fatigue-related violations (e.g. records not current to last change of duty status, driving over hour limits, not taking minimum off-duty time, two records for one day, false records, incomplete records, etc.).
  - i. Carriers with one to ten drivers must check every driver at least monthly.
  - ii. Carriers with more than ten drivers should check ten drivers plus 10% of the remaining drivers at least monthly (e.g. a carrier with 30 drivers would check 10 drivers plus 10% of the remaining 20 drivers, for a total of 12 each month).
  - iii. A member may check more drivers during the month than outlined in the preceding bullet. In this scenario the members must calculate their FVR using all drivers and violations detected.
- e) Use independent supporting documents (that cannot be created or modified by a driver) to verify the accuracy of driver records (e.g. fuel receipts, bills of lading with shipping times, GPS records, meal/hotel receipts, etc.).





## Appendix O: Evaluating Hours of Service

AB Transportation Document  
(Page 2)

Date Issued:	2007 03 09	Reviewed Date:	2014 11 18
Revised:	2105 03 06	Revised by:	Shelley C

- f) Check recently trained drivers or drivers with previous violations more frequently until the company is satisfied they understand and follow the applicable hours of service requirements.
- g) Upon hire of a new driver, obtain the driver's hours of service records from their previous employer. If this is not possible, then obtain a signed statement from the driver that specifies their total on-duty and off-duty hours for each of the previous 14 days.
- h) Address all identified violations with employees and take appropriate remedial action(s). Actions shall be documented in each driver's file. Information shall include the date(s) on which non-compliance occurred, the nature of the non-compliance identified, and the remedial action(s) taken.
- i) Identify who is responsible for conducting internal monitoring, preparing the summary reports, taking disciplinary action, etc. This person is also responsible for ensuring they and other employees have the necessary skills and knowledge to analyze hours of service regulations.
- i) Prepare a monthly report of your findings and any corrective action(s) taken. Retain all reports for the current year and the preceding 4 years. The report should include a calculation of each driver's Fatigue Violation Rate (FVR) using the formula below:

$$\text{FVR} = \frac{\text{Number of days with 1 or more fatigue-related violations}}{\text{Total number of days checked}} \times 100\%$$

**This calculation is intended for internal use and not necessary for PIC quarterly reporting, PIC's reporting document calculates the same automatically following data entry.**

- j) The report should also include a calculation of each driver's Form and Manner Violation Rate (FMVR) using the formula above (with form and manner violations being divided by the total days).

### NOTE:

- a) A "driver" includes any person authorized to operate a NSC vehicle registered to the carrier. This includes full or part time employees, volunteers, mechanics, salespeople, dispatchers, office staff, owners, managers, supervisors, etc.



## Appendix O Evaluating Hours of Service

AB Transportation Document  
(Page 3)

Date Issued:	2007 03 09	Reviewed Date:	2014 11 18
Revised:	2105 03 06	Revised by:	Shelley C

### Fatigue-Related Violations:

Hours of service violations that are considered to be “fatigue-related” include:

- a) False record (that is evaluated using supporting documents that are independent of the driver’s control such as fuel receipt, motel/meal receipt, bills of lading, etc.).
- b) More than one daily record for a day.
- c) Missing record (each calendar day needs to be accounted for).
- d) Record not current to the last change of duty status.
- e) Driving over any hours limit specified in the respective regulation (work shift limit in the Alberta regulation; daily, work shift and cycle limits in the federal regulation).
- f) Not taking at least ten (10) hours off-duty in a day in the federal regulation (whether or not the driver actually drove a regulated vehicle that day).
- g) Not taking a rest break as specified in the Alberta regulation.
- h) Using the 160-kilometer radius exemption when the driver does not meet all the specified criteria.
- i) Failing to meet any condition of a federal or an Alberta permit related to hours of service (e.g. not taking three (3) 24-hour periods off duty in any period of 24 days while operating under the federal Oil Well Cycle Exemption permit).

If more than one fatigue-related violation is identified for a single day, it is still considered “one day” in violation for this calculation. The goal for every carrier and every driver is to achieve a 0% fatigue-related violation. Carriers who are members of the PIC Program must achieve a benchmark of no more than 5%.



**Appendix P: Action Plan to Address On Road Compliance**

**ACTION PLAN TO ADDRESS OVERALL CARRIER COMPLIANCE**

The Carrier Services Section of Alberta Transportation monitors the on-road performance of National Safety Code (NSC) carriers through their convictions, CVSA inspections, collisions and NSC Audits. When a company has been identified as having significant on-road issues and/or has been on the department's Risk Factor monitoring report, a documented action plan is needed to guide future improvements to safety and maintenance program content and implementation. **Note: Add more pages as required to address all issues and actions.**

**Example**

ISSUE	PROBLEM STATEMENT	PROPOSED SOLUTION(S)	HOW WILL YOU EVALUATE EACH SOLUTION	DATE ACTION COMPLETED AND SIGNED
<b>1. Trip Inspection</b>	<ul style="list-style-type: none"> <li>• High out-of-service rate</li> <li>• Too many violations on profile for maintenance issues</li> </ul>	<b>FACILITY:</b> <ul style="list-style-type: none"> <li>• No place at facility to do proper Trip Inspection. Prepare adequate inspection area at back location where vehicles are dispatched.</li> </ul>	<b>Who is responsible for the action?</b> V.P. Maintenance  <b>Date(s) to implement and complete:</b> 2 months  <b>Anticipated result(s):</b> Lower OOS rate, improved vehicle maintenance.	Date Completed: May 15, 2015  Signature: <i>Signature</i>
		<b>EQUIPMENT:</b> <ul style="list-style-type: none"> <li>• Review number of active tractors and trailers in fleet and replace old equipment.</li> <li>• Purchase 12 new tractors.</li> </ul>	<b>Who is responsible for the action?</b> V.P. Maintenance  <b>Date(s) to implement and complete:</b> 6 months.  <b>Anticipated result(s):</b> reduced maintenance costs / lower OOS rate.	Date Completed: September 20, 2015  Signature: <i>Signature</i>
		<b>PEOPLE:</b> <ul style="list-style-type: none"> <li>• Educate Management, Supervisors, Maintenance staff and Drivers on recognizing equipment out of service and requires attention items.</li> <li>• Address learning/reading/comprehension deficiencies</li> <li>• Safety Manager must be available full time</li> </ul>	<b>Who is responsible for the action?</b> Safety Manager  <b>Date(s) to implement and complete:</b> Immediately  <b>Anticipated result(s):</b> Improved awareness of maintenance requirements / lower OOS rate.	Date Completed: March 10, 2015  Signature: <i>Signature</i>
		<b>MANAGEMENT/ADMINISTRATION:</b> <ul style="list-style-type: none"> <li>• Develop monitoring program to ensure staff are in compliance to trip inspection legislation and company procedures.</li> <li>• Update discipline policies and implement.</li> <li>• Ensure sufficient financial and staff resources are available in all critical safety areas including maintenance shop and training facility.</li> <li>• Safety Officer must be delegated authority to hire/fire staff based on safety performance.</li> </ul>	<b>Who is responsible for the action?</b> Safety Manager  <b>Date(s) to implement and complete:</b> 1 month to prepare updated policies  <b>Anticipated result(s):</b> Better informed staff/management / lower OOS rate.	Date Completed: April 15, 2015  Signature: <i>Signature</i>



### ACTION PLAN TO ADDRESS OVERALL CARRIER COMPLIANCE

Carrier Legal Name:	Carrier NSC #:
Carrier Contact Name:	Report for the month of:

ISSUE	PROBLEM STATEMENT	PROPOSED SOLUTION(S)	HOW WILL YOU EVALUATE EACH SOLUTION	DATE ACTION COMPLETED & SIGNED
1.		<i>FACILITY:</i>	<i>Who is responsible for the action:</i>  <i>Date(s) to implement/complete:</i>  <i>Anticipated result(s):</i>	<i>Date Completed:</i>  <i>Contact's Signature:</i>
		<i>EQUIPMENT:</i>	<i>Who is responsible for the action:</i>  <i>Date(s) to implement/complete:</i>  <i>Anticipated result(s):</i>	<i>Date Completed:</i>  <i>Contact's Signature:</i>
		<i>PEOPLE:</i>	<i>Who is responsible for the action:</i>  <i>Date(s) to implement/complete:</i>  <i>Anticipated result(s):</i>	<i>Date Completed:</i>  <i>Contact's Signature:</i>
		<i>MANAGEMENT/ADMINISTRATION:</i>	<i>Who is responsible for the action:</i>  <i>Date(s) to implement/complete:</i>  <i>Anticipated result(s):</i>	<i>Date Completed:</i>  <i>Contact's Signature:</i>



### ACTION PLAN TO ADDRESS OVERALL CARRIER COMPLIANCE

ISSUE	PROBLEM STATEMENT	PROPOSED SOLUTION(S)	HOW WILL YOU EVALUATE EACH SOLUTION	DATE ACTION COMPLETED & SIGNED
2.		<i>FACILITY:</i>	<i>Who is responsible for the action:</i>  <i>Date(s) to implement/complete:</i>  <i>Anticipated result(s):</i>	<i>Date Completed:</i>  <i>Contact's Signature:</i>
		<i>EQUIPMENT:</i>	<i>Who is responsible for the action:</i>  <i>Date(s) to implement/complete:</i>  <i>Anticipated result(s):</i>	<i>Date Completed:</i>  <i>Contact's Signature:</i>
		<i>PEOPLE:</i>	<i>Who is responsible for the action:</i>  <i>Date(s) to implement/complete:</i>  <i>Anticipated result(s):</i>	<i>Date Completed:</i>  <i>Contact's Signature:</i>
		<i>MANAGEMENT/ADMINISTRATION:</i>	<i>Who is responsible for the action:</i>  <i>Date(s) to implement/complete:</i>  <i>Anticipated result(s):</i>	<i>Date Completed:</i>  <i>Contact's Signature:</i>



### ACTION PLAN TO ADDRESS OVERALL CARRIER COMPLIANCE

ISSUE	PROBLEM STATEMENT	PROPOSED SOLUTION(S)	HOW WILL YOU EVALUATE EACH SOLUTION	DATE ACTION COMPLETED & SIGNED
3.		<i>FACILITY:</i>	<i>Who is responsible for the action:</i>  <i>Date(s) to implement/complete:</i>  <i>Anticipated result(s):</i>	<i>Date Completed:</i>  <i>Contact's Signature:</i>
		<i>EQUIPMENT:</i>	<i>Who is responsible for the action:</i>  <i>Date(s) to implement/complete:</i>  <i>Anticipated result(s):</i>	<i>Date Completed:</i>  <i>Contact's Signature:</i>
		<i>PEOPLE:</i>	<i>Who is responsible for the action:</i>  <i>Date(s) to implement/complete:</i>  <i>Anticipated result(s):</i>	<i>Date Completed:</i>  <i>Contact's Signature:</i>
		<i>MANAGEMENT/ADMINISTRATION:</i>	<i>Who is responsible for the action:</i>  <i>Date(s) to implement/complete:</i>  <i>Anticipated result(s):</i>	<i>Date Completed:</i>  <i>Contact's Signature:</i>



## ACTION PLAN TO ADDRESS OVERALL CARRIER COMPLIANCE

Carrier Agreement	
I,	
<i>(Printed Name of Company Official)</i>	<i>(Title)</i>
the undersigned representative, hereby undertake to correct all identified regulatory deficiencies noted in this Action Plan by completing the specified actions by the dates indicated in this plan.	
Signature:	Date:
<i>(Company Official)</i>	
Carrier Comments:	

## Appendix Q: Roberts Rules of Order

Date Issued:

Revised: 2015 01 26

Reviewed Date:

Revised by: Shelley C

**Robert's Rules of Order** is the standard for facilitating discussions and group decision-making. Copies of the rules are available at most bookstores. Although they may seem long and involved, having an agreed-upon set of rules makes meetings run easier. **Robert's Rules** will help your group have better meetings, not make them more difficult. Your group is free to modify them or find another suitable process that encourages fairness and participation, unless your bylaws state otherwise.

Here are the basic elements of **Robert's Rules**, used by most organizations:

1. **Motion:** To introduce a new piece of business or propose a decision or action, a motion must be made by a group member ("I move that.....") A second motion must then also be made (raise your hand and say, "I second it.") After limited discussion the group then votes on the motion. A majority vote is required for the motion to pass (or quorum as specified in your bylaws.)
2. **Postpone Indefinitely:** This tactic is used to kill a motion. When passed, the motion cannot be reintroduced at that meeting. It may be brought up again at a later date. This is made as a motion ("I move to postpone indefinitely..."). A second is required. A majority vote is required to postpone the motion under consideration.
3. **Amend:** This is the process used to change a motion under consideration. Perhaps you like the idea proposed but not exactly as offered. Raise your hand and make the following motion: "I move to amend the motion on the floor." This also requires a second. After the motion to amend is seconded, a majority vote is needed to decide whether the amendment is accepted. Then a vote is taken on the amended motion. In some organizations, a "friendly amendment" is made. If the person who made the original motion agrees with the suggested changes, the amended motion may be voted on without a separate vote to approve the amendment.
4. **Commit:** This is used to place a motion in committee. It requires a second. A majority vote must rule to carry it. At the next meeting the committee is required to prepare a report on the motion committed. If an appropriate committee exists, the motion goes to that committee. If not, a new committee is established.
5. **Question:** To end a debate immediately, the question is called (say "I call the question") and needs a second. A vote is held immediately (no further discussion is allowed). A two-thirds vote is required for passage. If it is passed, the motion on the floor is voted on immediately.



## Appendix Q: Roberts Rules of Order

(Page 2)

Date Issued:

Reviewed Date:

Revised: 2015 01 26

Revised by:

Shelley C

6. **Table:** To table a discussion is to lay aside the business at hand in such a manner that it will be considered later in the meeting or at another time ("I make a motion to table this discussion until the next meeting. In the meantime, we will get more information so we can better discuss the issue.") A second is needed and a majority vote required to table the item being discussed.

7. **Adjourn:** A motion is made to end the meeting. A second motion is required. A majority vote is then required for the meeting to be adjourned (ended).

**Note:** If more than one motion is proposed, the most recent takes precedence over the ones preceding it. For example if #6, a motion to table the discussion, is proposed, it must be voted on before #3, a motion to amend, can be decided.

In a smaller meeting, like a committee or board meeting, often only four motions are used:

- a) To introduce (motion)
- b) To change a motion (amend.)
- c) To adopt (accept a report without discussion.)
- d) To adjourn (end the meeting.)

Remember, these processes are designed to ensure that everyone has a chance to participate and to share ideas in an orderly manner. Parliamentary procedure should not be used to prevent discussion of important issues.

Board and committee chairpersons and other leaders may want to get some training in meeting facilitation and in using parliamentary procedure. Additional information on meeting processes, dealing with difficult people, and using **Robert's Rules** is available from district office staff and community resources such as the League of Women Voters, United Way and other technical assistance providers. Parliamentary Procedure at a Glance, by O. Garfield Jones, is an excellent and useful guide for neighborhood association chairs.

### Tips in Parliamentary Procedure

The following summary will help you determine when to use the actions described in **Robert's Rules**.

- **A main motion must be moved, seconded, and stated by the chair before it can be discussed. If you want to move, second, or speak to a motion, stand and address the chair.**
- **If you approve the motion as is, vote for it.**
- **If you disapprove the motion, vote against it.**

## Appendix Q: Roberts Rules of Order

(Page 3)

Date Issued:  
Revised: 2015 01 26

Reviewed Date:  
Revised by: Shelley C

- **If you approve the idea of the motion but want to change it, amend it or submit a substitute for it.**
- **If you want advice or information to help you make your decision, move to refer the motion to an appropriate quorum or committee with instructions to report back.**
- **If you feel they can handle it better than the assembly, move to refer the motion to a quorum or committee with power to act.**
- **If you feel that there the pending question(s) should be delayed so more urgent business can be considered, move to lay the motion on the table.**
- **If you want time to think the motion over, move that consideration be deferred to a certain time.**
- **If you think that further discussion is unnecessary, move the previous question.**
- **If you think that the assembly should give further consideration to a motion referred to a quorum or committee, move the motion be recalled.**
- **If you think that the assembly should give further consideration to a matter already voted upon, move that it be reconsidered.**
- **If you do not agree with a decision rendered by the chair, appeal the decision to the assembly.**
- **If you think that a matter introduced is not germane to the matter at hand, a point of order may be raised.**
- **If you think that too much time is being consumed by speakers, you can move a time limit on such speeches.**
- **If a motion has several parts, and you wish to vote differently on these parts, move to divide the motion.**

### IN THE MEETING

#### ***TO INTRODUCE A MOTION:***

Stand when no one else has the floor.

Address the Chair by the proper title.

Wait until the chair recognizes you.

- Now that you have the floor and can proceed with your motion say "I move that...", state your motion clearly and sit down.
- Another member may second your motion. A second merely implies that the seconder agrees that the motion should come before the assembly and not that he/she is in favor of the motion.
- If there is no second, the Chair says, "The motion is not before you at this time." The motion is not lost, as there has been no vote taken.
- If there is a second, the Chair states the question by saying "It has been moved and seconded that ...(state the motion). . ., is there any discussion?"

## Appendix Q: Roberts Rules of Order

(Page 4)

Date Issued:

Revised: 2015 01 26

Reviewed Date:

Revised by: Shelley C

### ***DEBATE OR DISCUSSING THE MOTION:***

- The member who made the motion is entitled to speak first.
- Every member has the right to speak in debate.
- The Chair should alternate between those "for" the motion and those "against" the motion.
- The discussion should be related to the pending motion.
- Avoid using a person's name in debate.
- All questions should be directed to the Chair.
- Unless there is a special rule providing otherwise, a member is limited to speak once to a motion.
- Asking a question or a brief suggestion is not counted in debate.
- A person may speak a second time in debate with the assembly's permission.

### ***VOTING ON A MOTION:***

- Before a vote is taken, the Chair puts the question by saying "Those in favor of the motion that ... (repeat the motion)... say "Aye." Those opposed say "No." Wait, then say "The motion is carried," or "The motion is lost."
- Some motions require a 2/3 vote. A 2/3 vote is obtained by standing
- If a member is in doubt about the vote, he may call out "division." A division is a demand for a standing vote.
- A majority vote is more than half of the votes cast by persons legally entitled to vote.
- A 2/3 vote means at least 2/3 of the votes cast by persons legally entitled to vote.
- A tie vote is a lost vote, since it is not a majority.

## Appendix R: Transponder Installation Guide



INTERNATIONAL ROAD DYNAMICS INC.

### TELEMATICS FP-101 AVI TRANSPONDER

#### AVI AND VPP

The Telematics FP-101 wireless transponder is the Automatic Vehicle Identification (AVI) link between the truck on the road and Vehicle Pre-clearance Program (VPP) weigh station.

The transponder radios its unique ID number to the VPP receiver at the weigh station; the station computer looks up the vehicle registration information, and sends the appropriate signal back to the transponder.

Signaling to the vehicle operator is through the colour LED(s); green to bypass, no signal to report.



#### INSTALLATION

The transponder should be located in the cab on the center of the windshield, between 2 and 4 inches (5 to 10 cm.) below the upper edge of the windshield. If the windshield has a center divider, the transponder must be at least 2 inches (5 cm.) away from the centerpost. The transponder must be in clear view of the vehicle operator.

After selecting a suitable mounting location, mark the position of the Dual Lock pad on the back of the transponder on the windshield. Thoroughly clean the glass in that area with the provided alcohol wipe; allow the area to dry completely. Peel the backing tape from the separate Dual Lock mounting pad, and press the pad to the windshield for 10 seconds. For optimal adhesion, allow at least 2 hours before mounting the transponder. Press the pad on the transponder firmly onto the pad on the windshield.

#### SPECIFICATIONS:

- ⊗ Size: 3.4x2.4x0.85" or 88x62x22 mm (LxWxD)
- ⊗ Six year battery life
- ⊗ Operating temperature: -40°C – +85°C
- ⊗ Built in antenna
- ⊗ FCC approved

**Appendix R: IRD Transponder Enrolment Checklists**

<b>Transponder Enrollment Checklists</b>		
<b>Task:</b>	<b>Complete</b>	<b>Incomplete</b>
Reviewed all forms sent by IRD		
Filled and Faxed credit application		
Signed and faxed service agreement		
Entered billing and shipping information into the registration form		
List of VIN, province of plate reg, and Plate numbers entered into registration form		
List of unit numbers entered into registration form ( <b>optional</b> )		
Determined which vehicles are similar enough to be represented by a single picture		
Pictures taken		
Pictures renamed to match unit or licence plate number		
Picture name(s) entered into registration form		
Registration form emailed to <b>transponder.admin@irdinc.com</b>		
Pictures emailed to <b>transponder.admin@irdinc.com</b>		
<b>IRD information received</b>		
Confirmed receipt of credit application		
Confirmed receipt of signed service agreement		
Confirmed credit approval		
Confirmed shipment and / or tracking number		
Confirmed transponder activation		
<b>After transponders have been received</b>		
Reviewed the installation and FAQ's emailed or included in shipment		
Transponders installed		
First green light confirmed by a driver		
If you have any registration questions, please email me or call <b>1-866-903-0333</b>		

