

CARRIER COMPLIANCE

Policy & Procedure Manual

TITLE: SERVICE STANDARDS – CARRIER COMPLIANCE/NSC

SERVICE STANDARDS

Carrier Compliance & National Safety Code

TRANSPORT SERVICES BRANCH

HIGHWAYS & PUBLIC WORKS

Effective: April 1, 2019

Service Standards provide guidelines to support client-centered service and service excellence and measure the quantity and quality of service that is provided to internal and external customers.

IMPORTANCE OF SERVICE STANDARDS – Commitment to a measurable level of performance that clients can expect under normal circumstances. Standards help clarify service expectations and ensure accountability for service performance. Service standards help the public and businesses plan accordingly.

SERVICE TO THE PUBLIC - employees must provide service to the public in a manner that is respectful, courteous, professional, equitable, efficient, and effective. Employees must be sensitive and responsive to the changing needs, expectations, and rights of a diverse public in the proper performance of their duties.

GENERAL

Customer service

- *Delivery*—staff will address concerns as they arise and will not “dismiss” complaints without investigation.
- *Waiting time*—usually staff will deal with clients on a first come, first served basis. However, when receiving business related phone calls and or radio calls at the same time, staff members might be required to multitask to keep traffic flowing across the scale. If prioritization is necessary due to traffic volume, it should be in the order of phone calls first, then radio calls, then counter.
- *Professionalism*—staff will deal with clients in a polite and professional manner. Staff will receive the necessary training to ensure professional service. Proper etiquette will be maintained at all times. All staff members will receive Verbal Judo courses to enable

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them to defuse situations as much as possible. Professionalism also extends to all communications, whether in writing, by email or any other means.

- *Training*—staff will receive training to ensure a respectful workplace, to effectively deal with difficult clients, and annual refresher training to ensure up-to-date knowledge when conducting inspections and investigations.
- *Safe business environment*—staff will endeavour to provide a safe business environment for clients and themselves. This includes functioning video surveillance, up-to-date evacuation plans, and direction to clients whenever necessary.

Communications

- *Verbal (face to face)*—staff will serve clients showing up at the weigh station as quickly as possible. That service will not be interrupted by other distractions, such as making unrelated phone calls or checking emails.
- *Written*—written communication will be sent only after spell check is used and any documents have been checked for other errors.
- *Telephone*—ringing telephones must be answered after no more than three rings. If this is not possible due to being absent or dealing with clients, phone messages must be returned no later than one workday after they have been received. If the weigh station is closed, automatic out-of-office replies must be turned on and must direct clients to the telephone number of another weigh station. Voicemail greeting messages must be updated daily to indicate the current date. Voicemail messaging can be updated remotely.
- *Email*—incoming emails must be answered within one workday of receipt. If staff members are absent from the weigh station for more than one day, automatic out-of-office replies must be turned on and must direct clients to another email address or person. In lieu of this, emails can also be forwarded.
- *Fax*—the fax machine must be checked for incoming messages at least three times daily. Fax messages must be dealt with within one workday of receipt.
- *Logbook*—Carrier Compliance officers are required to read the logbook at the beginning of their shifts record anything of note that happens during their shift. It is important to inform other staff members of unusual occurrences and also of vehicles and/or drivers parked at the back of the weigh station property. In winter, staff must note if and when a grader for snow clearing has been ordered and from when to when said grader operated at the weigh station.
- *Call transfers*—often the weigh station is the first point of contact for clients. If a caller needs specific information concerning National Safety Code (NSC) or Periodic Motor Vehicle Inspection (PMVI) issues, officers should transfer that call to the appropriate number.

Data/Records Management

- *Handling of personal/sensitive information*—client privacy is of the utmost importance. Any personal or business information must be protected from unauthorized access at all

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times. This includes files and other written materials, such as fax messages, phone messages, and notes. Discussion of clients or other confidential matters should never be conducted in front of other clients or persons not currently employed by the department, unless those persons have a direct involvement with the matter being discussed (RCMP, other stakeholders in investigations, etc.). CCTV footage cannot be released by officers; requests for video footage must be submitted to the Director, Transport Services, in writing, and any contents cannot be shared by staff members with other persons.

- *Filing*—files used during the business day must be returned to their proper location(s) at the end of the day, unless they are still in use. Files should be placed upside-down when on desks to protect privacy.
- *File keeping*—files must be kept and filed in the appropriate location(s) and in properly identified folders or binders. This enables staff to deal with client requests in a quick and efficient manner. Discontinued files are to be stored or archived in the manner prescribed by Records Management, and the proper schedules must be followed. Electronic records (emails) must be kept and should be archived when no longer needed for completion of related work to ensure mailboxes are not overfilled. All records may be recalled at any time for ATIPP requests and must be made available in those instances.
- *Incoming records*—any data or records received during a business day must be filed by the end of that day, unless the staff member is absent from the office.

Legislative advice/information/education

- *Ensuring information is accurate and up-to-date*—officers are often asked to provide information or education as it relates to legislation or technical matters. Clients deserve accurate information only. For that reason, staff members will update their reference materials as required to ensure that only the latest information will be disseminated to the public.
- *Easily accessible*—the information referred to in the previous bullet must be easily and quickly accessible. It can be either in hard copy or electronic format.
- *Information provided to clients*—clients shall not be provided with legal advice or interpretation. Rather, officer must give clients clear information; quoting legislation verbatim is acceptable, giving clients a copy of the legislation in question is better still. Nonetheless, it is appropriate to clarify the intent of the legislation for clients when necessary by giving examples. It may also be advisable to explain permits in cases where they modify the enforcement of legislation. The same holds true for technical information (PMVI, CVSA, etc.); in the case of CVSA requirements, staff members are not allowed to provide photocopies to clients, since there is a copyright on OOS criteria. If clients want copies of internal policies, the request should be directed to the Manager, Carrier Compliance.
- *Information display*—certain information for drivers and carriers is often displayed on the counter glass, walls or doors of the weigh station. Staff members must ensure this information is up-to-date and remove outdated information as soon as possible. Only information approved by the assistant manager or manager can be displayed.

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Carrier Compliance

ISSUING PERMITS

- *Permit Applications*—staff members must determine the correct type of permit(s) the client needs and whether or not the client is entitled to receive them. Officers must check the appropriate policies concerning the permit applications they are dealing with to ensure clients receive the proper information and permit(s) and are charged the appropriate amount.
- *Travel numbers*—staff must provide travel (pending) numbers (overweight and/or over-dimensional) to clients who call in for permits. When doing so, they must explain the procedure and requirements and also the consequences of arriving at the scale with weights in excess of legal limits and dimensions exceeding 4.9 m wide, 5 m high and 36 m long.
- *Assistance*—clients may be unsure of the application process. Staff members are expected to assist clients with the completion of permit applications and answer any questions or concerns the client may have.
- *Review*—staff members must review completed permit applications for accuracy and required data. Missing or wrong information must be dealt with at this time in order to prevent undue delays.
- *Measurements*—although clients often provide measurements (load dimension, axle spreads, inter-axle spacing, etc.), officers **MUST take their own measurements** before a permit application is accepted for processing.
- *Delays*—while some delays are inevitable (e.g., engineering approval, when necessary), efficient client service is a priority. Officers must make clients aware of such delays when accepting permit applications for processing.
- *Missing engineering approval*—if a load has received engineering approval and the driver does not have a copy of that approved permit application in the vehicle, staff shall provide a copy along with the actual permit.

CVSA (Roadside) Inspections

- *Inspection procedure*—CVSA inspections must be conducted in accordance with the latest CVSA Operational Policies. Only the latest Out-of-Service Criteria shall be utilized by staff, and Inspection Bulletins must be kept up-to-date and utilized for inspections.

Compliance Patrols

- *Planning*—patrols must be planned at least two weeks ahead of time, unless they are conducted to respond to an urgent complaint, and carried out in areas specified by the

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Assistant Manager or Manager, Carrier Compliance (for example, a patrol to Dawson City cannot go to Mayo “on the way” during travel). Responses to an urgent complaint or request by another enforcement agency to assist at a crash scene must still be communicated to and cleared by supervisory personnel.

- *Frequency*—the frequency of patrols will depend on staff availability and budgetary concerns. Public requests for patrols must be forwarded to the Assistant Manager or Manager, Carrier Compliance, and will be considered; the person making such a request must be kept informed of the request status.
- *NSC role*—National Safety Code staff may be required to conduct compliance patrols or assist with those patrols.
- *Pulling over vehicles when not on patrol*—staff en route in the patrol truck or NSC vehicle to any location may pull over commercial vehicles if critical safety defects are observed that endanger the public (e.g., a flat tire, loose or smoking wheel, cargo securement issue, no lights on the back of a vehicle when required, no pilot car(s) when required). NSC staff may also be asked by scale staff for assistance in pursuing vehicles that have bypassed the weigh stations, but use of the NSC vehicle is only allowed in this case if the patrol truck is not readily available.

NATIONAL SAFETY CODE

PMVI Facility Audits

- *Planning of audits*—carrier audits must be planned in advance and should be conducted during a time that is convenient for the carrier. to the exception to this is when carriers must be audited because of performance concerns. Audits must be planned in accordance with National Safety Code Standard 15 and Appendix A of Standard 15. Carriers must be provided with a copy of the Record Keeping Requirements as outlined in Standard 15.
- *File removal*—auditors must provide the motor carrier with a written receipt for any files that are removed from the carrier facility as part of the audit.
- *Audit Summary Report*— an audit status report and, if applicable, an audit action plan must be prepared at the end of each audit, with a copy supplied to the client.
- *Completion date*—a “mandatory actions” completion date must be part of the audit action plan. Mandatory actions must be checked in person by staff to ensure compliance.

Establishing New PMVI Facility

- *New facility request*—a request to open a new PMVI facility must be made in writing, utilizing the proper application form. When the request is received, staff must contact management of the prospective facility within one work day to inform them of their duties and all the requirements.

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- *Facility inspection*—an inspection of the proposed facility must be conducted to ensure compliance with all the requirements. This inspection is to be performed within 10 workdays of the application, unless the facility owner specifies that a longer timeframe is required. If the facility is located in Watson Lake, the Watson Lake Assistant Manager, Carrier Compliance, may be asked for help.
- *Supplies*—the initial supplies required to operate an inspection facility must be delivered at the time of the completion of the first acceptable shop inspection. This includes the facility licence and sign.

PMVI Facility Audit

- *Planning*—audits of PMVI facilities must be planned well ahead of time. Unless the audit is unannounced (in cases where we need to confiscate certain documentation for prosecution or for crash investigations), the client should be made aware of the pending audit. Staff must also inform the client of the audit procedure and the audit elements.
- *File removal*—auditors must provide the client with a written receipt for any files or other documents that are removed from the carrier facility as part of the audit.
- *Audit Summary Report*—an audit status report and, if applicable, an audit action plan must be prepared at the end of each audit, with a copy supplied to the client.
- *Completion date*—a “mandatory actions” completion date must be part of the audit action plan. Mandatory actions must be checked in person by staff to ensure compliance.
- *Closing a facility*—if the audit is part of a facility shut-down, staff must remove all unused forms and decals as well as the facility licence and facility sign at the end of the audit. Staff must provide the client with a written receipt for these items.

PMVI Inspector Courses

- *Training standard*—PMVI Inspector Courses must follow the prescribed standard set out for length, materials, content and exams as outlined in the PMVI Inspection Course Manual.
- *Frequency of Training*—in general, staff will offer two courses per year, one in the spring and one in the fall. Class size should be kept to a minimum of six students and a maximum of 12 students.
- If there are requests for an additional course, or interest expressed exceeds the class size maximum, efforts will be made to offer an additional course.

CVSA (Roadside) Inspections

- *Inspection procedure*—CVSA inspections must be conducted in accordance with the latest CVSA Operational Policies. Inspection Bulletins must be kept up-to-date and utilized for inspections.

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Carrier Profile System

- *Minimum data requirements*—staff must ensure that the Carrier Profile System (CPS) contains the minimum data prescribed in National Safety Code Standard 7. System problems must be reported to Information Management (and CCMTA, if necessary) without delay.
- *New carriers*—new carriers entering the system must be provided with an application form immediately. Once the carrier can provide the required paperwork, staff must make an appointment within one workday to enrol the carrier and provide a National Safety Code Safety Fitness Rating Certificate.
- *Turnaround on requests*—carriers requesting a profile must be accommodated within one workday. The request must come from the motor carrier; third-party requests will not be entertained. If an insurance company asks for a profile, staff must direct that company to its client. A carrier can ask staff to provide an insurance company with a profile, however such a request must be made in writing.

Compliance Patrols

- *NSC role*—National Safety Code staff may be required to conduct compliance patrols or assist with those patrols.
- *Frequency*—the frequency of patrols will depend on staff availability and budgetary concerns. Public requests for patrols must be forwarded to the Assistant Manager or Manager, Carrier Compliance, and will be considered; the person making such a request must be kept informed of the request status.
- *Planning*—patrols must be planned at least two weeks ahead of time, unless they are conducted to respond to an urgent complaint, and carried out in areas specified by the Assistant Manager or Manager, Carrier Compliance (for example, a patrol to Dawson City cannot go to Mayo “on the way” during travel).
- *Pulling over vehicles when not on patrol*—staff en route in the patrol truck or NSC vehicle to any location may pull over commercial vehicles if critical safety defects are observed that endanger the public (e.g., a flat tire, loose or smoking wheel, cargo securement issue, no lights on the back of a vehicle when required, no pilot car(s) when required). NSC staff may also be asked by scale staff for assistance in pursuing vehicles that have bypassed the weigh stations, but use of the NSC vehicle is only allowed in this case if the patrol truck is not readily available.

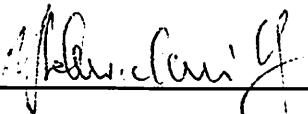
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NOTE

This Service Standard may be shared with the public. If the Standard is not met, supervisors shall take immediate remedial action and shall inform the complainant, if any, of such action. Staff members who repeatedly violate the Standard are subject to disciplinary action. There may be times, however, when the response times in the Standard cannot be adhered to, such as during Road Check, Operation Airbrake and similar events, or when staff members are investigating a major crash.

Signed:  _____

Julius Debuschewitz, Manager, Carrier Compliance

Date: April 1, 2019

From: Gillian.Smith
Sent: Wednesday, November 1, 2023 7:56 AM
To: Cara.Thorogood; Nathalie.Dugas
Subject: Fwd: [EXT] Investigation Report
Attachments: 72(1)(b)(i)

Hi Cara and Nathalie,

Elizabeth has forwarded me the
felt I should pass it along.

72(1)(b)(i)

I

Thank you,

Gillian

Get [Outlook for iOS](#)

From: Elizabeth.Beecroft <Elizabeth.Beecroft@yukon.ca>
Sent: Tuesday, October 31, 2023 15:47
To: Gillian.Smith <Gillian.Smith@yukon.ca>
Subject: FW: 72(1)(b)(i)

See attached



Elizabeth Beecroft
A/Director, Transport Services Branch
Department of Highways and Public Works | Transport Services
T 867-667-5833 | F 867-667-5799 | Yukon.ca

From: Michelle Christensen-Toews <MichelleCT@safeyukon.com>
Sent: Tuesday, October 31, 2023 3:44 PM
To: Elizabeth.Beecroft <Elizabeth.Beecroft@yukon.ca>
Cc: Amber Shewen <amber@safeyukon.com>
Subject: [EXT] 72(1)(b)(i)

Hello Elizabeth,

Attached is the 72(1)(b)(i) .

Please let us know if you would like to meet and 72(1)(b)(i) .

We look forward to working with Transport Services on corrective actions to help prevent future incidents.

Michelle Christensen-Toews
Senior Health and Safety Advisor
SHE Consulting Inc.

Instructions

0010

There are to be no pink fields once assessment is complete

All questions are required to have a response. The responses are Y for yes, N for no or N/A for not applicable. Not every question will have an N/A option.

Occasionally, the entire section could be N/A. In this case click the checkbox.

☐ N/A

By clicking the checkbox the entire section will be greyed out.

After selecting a Y or N response, the rating section may turn pink. This means that there is a hazard present that must be rated.

Use the Likelihood and Consequence descriptions to determine an alpha-numeric combination to use in the corresponding chart.

Follow the values horizontally across the chart until you reach the number value from the Consequence section.

Follow the column down until you reach the alpha value row.

The intersection of alpha-numeric values provides a rating priority.

Rating priorities are one of:

Critical - Stop work. It is immediately dangerous to life or health. Corrective action to be implemented today.

High - Work should not, but can continue with temporary, significant safety measures in place. Permanent solutions to be implemented within 1 week.

Medium - Work can continue with temporary safety measures in place. Permanent solutions to be implemented within 2 weeks.

Low - Work can continue until permanent solutions implemented. Permanent solutions should be implemented within 1 month.

All pink fields require solutions to be implemented in the time

Once the rating has been determined, the controls field may turn pink.

Type the solutions that are implemented into the field. Text will automatically wrap and the row will expand to fit the text.

Even though a question may require a rating and control, a control may already be in place. Do not change the response to state there is no hazard, simply identify the implemented control.

Periodically review the hazards and controls to determine if the controls are effective in providing a safe workplace. Any deficiencies identified are to be re-rated and new controls implemented.

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Workplace Security Hazard Assessment

Approved by:

Review Date:

GAM 3.48 Corporate Health and Safety
Hazard Identification, Risk Assessment & Control

Parking Lot

☐ N/A Y / N Rating Control

1	Are entrances and exits well marked?	Y		
2	Does the lot have security reminders (lock your car, security patrolled etc.)?	N	Low	Area is monitored by camera 24 / 7
3	Is lighting sufficient?	Y		
4	Are government vehicles parked on site after hours?	Y	Low	Area is monitored by camera 24 / 7
5	Is there a secure area for government vehicles parked after hours?	Y		
6	Have vehicles been vandalized/broken into while parked?	N		

Building Perimeter

Y / N Rating Control

1	Is your workplace near high risk crime area (bars, banks etc.)?	N		
2	Has your workplace been visited by violent, criminal, impaired persons?	Y	Low	Staff aware of potential for issues. RCMP response to scale is very quick. Site is monitored by camera 24 / 7
3	Are there evident signs of vandalism?	N		
4	Is workplace located in an industrial/manufacturing area?	N		
5	Is building entrance accessible from the main street?	Y		
6	Is building entrance adequately lighted?	Y		
7	Is building entrance free from heavy shrub growth?	Y		
8	Are there any blind spots where someone may hide?	N		
