

Outstanding Recommendations

# Assessment of Implementation Report

## Alberta Transportation

### *Commercial Vehicle Safety*

(October 2009) (July 2014) (February 2018)

#### Summary of Recommendations

In December 2020, we completed our assessment of implementation from our October 2009 audit, which was repeated in July 2014 and February 2018, of Alberta Transportation's *Commercial Vehicle Safety*. We found that the recommendation has been implemented:

**IMPLEMENTED** Recommendation:  
Progressive sanctions

#### Introduction

In 2009, we evaluated the systems used by the department to monitor and enforce commercial vehicle safety programs. The department demonstrated it was examining its processes and identifying potential changes to systems. To support these efforts, we made three recommendations:

- develop risk-based methods for selecting vehicles for inspection and improve the quality of information available to inspectors at roadside
- strengthen enforcement processes relating to, or arising from, roadside inspections
- use data better to develop strategies and performance measures

In our followup audit in 2014, we found the department improved its inspection processes and use of data analysis, and as a result, we concluded two of the three recommendations were implemented. However, we found the department was not following up on non-compliant carrier files with timely and appropriate action. As a result, we repeated our recommendation to strengthen enforcement processes.

In our followup audit in 2018, we found that although the department improved its monitoring processes, it was still not consistently applying its enforcement policy. We found:

- correspondence to carriers was not provided within required time frames
- the department lacked current information and clear guidance to take appropriate disciplinary action
- non-compliant carriers were not suspended as required

As a result of these findings, we recommended for the third time that the department strengthen its enforcement processes.

In December 2020, we completed our assessment of implementation and found the department implemented our recommendation to consistently comply with its policy to take disciplinary and enforcement action against non-compliant carriers.

## Recommendation: **Progressive sanctions**

### **IMPLEMENTED**

#### Context

Alberta Transportation is responsible for regulating and enforcing carriers with commercial vehicles that travel within the province. The department can take action when a carrier does not comply with various acts, regulations, and codes. Non-compliance does not automatically mean that there are unsafe commercial vehicles on the road. It means a carrier is not operating within all required transportation legislation.

Our original audit in 2009, and followup audits in 2014 and 2018, found the department was not consistently complying with its policy to take progressive disciplinary and enforcement action against non-compliant carriers. Based on our findings, we recommended the department consistently comply with its policy to take disciplinary and enforcement action against non-compliant carriers.<sup>76</sup>

#### Our current findings

The department has implemented our recommendation. To verify the department implemented our recommendation, we found it eliminated its backlog of outstanding actions against carriers by:

- improving its guidance to staff regarding what actions to apply to carriers, including eliminating extensions for carriers that have not met conditions, and implementing a new risk assessment system to assist in the determination of penalties and fines
- adding processes to identify and monitor actions coming due

Based on the results of our testing, we found the department took action against non-compliant carriers in a reasonable timeframe.

<sup>76</sup> *Report of the Auditor General of Alberta—October 2009*, page 127 (repeated February 2018).