## THE STATE CORPORATION COMMISSION OF THE STATE OF KANSAS

Before Commissioners:	Dwight D. Keen,	Chair	
	Shari Feist Albre	cht	
	Susan K. Duffy		
In the Matter of the State C	Corporation	)	
Commission of the State of	f Kansas	)	Docket No. 20-TRAM-015-MIS
Approving the FY 2020 Un	niform Penalty	)	
Assessments for the Regula	ation of Motor	)	
Carriers and Persons Opera	ating in Kansas	)	
Who Fail to Obey Any Oro	ler, Decision or	)	
Regulation of the Commiss	sion.	)	

# ORDER AMENDING ORDER DESIGNATING GUIDANCE DOCUMENT AND APPROVING STAFF'S USE OF THE TRANSPORTATION DIVISION'S UNIFORM PENALTY ASSESSMENT TABLE

The above-captioned matter comes before the State Corporation Commission of the State of Kansas ("Commission") for consideration and decision. Having reviewed its files and records and being duly advised in the premises, the Commission makes the following findings:

- 1. On July 16, 2019, the Commission issued its *Order Designating Guidance Document and Approving Staff's Use of the Transportation Division's Uniform Penalty Assessment Table* (Designating Order) in this docket. That order is made a part hereof by reference.
- 2. Attached to the Designating Order was the updated Transportation Division's FY 2020 Uniform Penalty Assessment Table (Penalty Matrix), which recommended penalties for violations of Kansas Motor Carrier Safety Statutes and Regulations. The Penalty Matrix on page 10 incorrectly refers to the statute which authorizes a new penalty for violations of state fuel tax laws. The Matrix states such laws are authorized by "K.S.A. 79-34,102." The state fuel tax law

is more appropriately authorized by "K.S.A. 79-34,109." An updated version of the Penalty Matrix is attached hereto and made a part hereof by reference.

- 3. The Commission finds it has the authority to designate guidance documents pursuant to K.S.A. 77-438.
- 4. The Commission finds it has jurisdiction over the assessment of civil penalties for the violation of any statute, regulation or Commission order relevant to motor carrier laws.
- 5. The Commission finds the updated and attached Amended FY 2020 Uniform Penalty Assessment Table to be reasonable and appropriately tailored to accomplish the Commission's goal of improving the safety of motor carriers in Kansas while having a fair impact on the motor carrier industry.

#### IT IS, THEREFORE, BY THE COMMISSION ORDERED THAT:

- A. The Transportation Division's Amended FY 2020 Uniform Penalty Assessment Table with updates is hereby designated as a guidance document and approved for use by Staff. Staff shall use the Amended FY 2020 Uniform Penalty Assessment Table in recommending penalties for violations of Kansas Motor Carrier Safety Statutes and Regulations, except for when Staff believes a deviation from the Uniform Penalty Assessment Table is merited. If Staff believes such a deviation is merited, Staff shall present the Uniform Penalty Assessment Table recommendation, and any alternative recommendation, to the Commission for consideration.
- B. The Amended Transportation Division's FY 2020 Uniform Penalty Assessment Table shall be posted to the Commission's website, replacing the previously approved FY 2020 Uniform Penalty Assessment Table.

C. The Transportation Division's Uniform Penalty Assessment Table shall be reviewed annually taking into consideration potential changes to motor carrier regulations and the motor carrier industry, no later than July 1 of each year.

D. Any party may file and serve a petition for reconsideration pursuant to the requirements and time limits established by K.S.A. 77-529(a)(1).1

E. The Commission retains jurisdiction over the subject matter and parties for the purpose of issuing such further orders, as necessary.

#### BY THE COMMISSION IT IS SO ORDERED.

Keen, Chair; Albrecht,	Commissioner; D	Ouffy, Commissioner
08/08/2010		

Dated: \_\_\_\_\_

Lynn M. Retz Executive Director

Lynn M. Reg

**AAL** 

<sup>&</sup>lt;sup>1</sup> K.S.A. 66-118b; K.S.A. 77-503(c); K.S.A. 77-531(b).

# **Amended Uniform Penalty Assessment Table Kansas Corporation Commission Transportation Division**

**FY 2020** 

## Violations Re: Adoption of 49 C.F.R. Part 367 as adopted in K.A.R. 82-4-30a

(Unified Carrier Registration)

Regulation / Statute			Standard			Enhanced / Repeat Violations
49 C.F.R. § 367	1 – 5 Vehicles \$300.00	6 – 20 Vehicles \$500.00	21-100 Vehicles \$700.00	101-1000 Vehicles \$900.00	1000+ Vehicles \$1,000.00	1. Repeat violations of a standard penalty occurring within three years from the date the standard penalty was issued receive a recommendation for an enhanced civil penalty equal to 2X
	\$300.00	\$300.00	\$700.00	,300.00	\$1,000.00	the amount of the standard civil penalty.  2. Repeat violations of an enhanced civil penalty occurring within three years from the date the enhanced penalty was issued receive a recommendation for an enhanced civil penalty equal to 2X the amount of the previously issued enhanced civil penalty. The maximum repeat enhanced civil penalty violation that may be recommended against a Respondent is \$5,000.00. See K.S.A. 2014 Supp. 66-1,142b.

#### Violations Re: Adoption of 49 C.F.R. Part 382 as adopted in K.A.R. 82-4-3c

(Controlled Substance and Alcohol Use and Testing Violations)

Regulation / Statute		Standard Civil Penalty	$I^1$		Enhanced Civil Penalty <sup>2</sup>	
	1 CDL Driver	2-5 CDL Drivers	6+ CDL Drivers	1 CDL Driver	2-5 CDL Drivers	6+ CDL Drivers
<b>49 C.F.R. § 382.115</b> Failure to Implement Testing Programs	\$350.00	\$650.00	\$1,000.00	\$700.00	\$1,300.00	\$2,000.00
<b>49 C.F.R. § 382.215</b> Positive Controlled Substance Test	N/A	N/A	N/A	\$2,000.00	\$3,500.00	\$5,000.00
<b>49 C.F.R. § 382.301</b> No Pre-Employment Test	\$250.00	\$650.00	\$1,000.00	\$500.00	\$1,300.00	\$2,000.00
49 C.F.R. § 382.303  Failure to Conduct Post- Accident Testing	\$250.00	\$650.00	\$1,000.00	\$500.00	\$1,300.00	\$2,000.00
49 C.F.R. § 382.305 Failure to Conduct Random Testing	\$250.00	\$650.00	\$1,000.00	\$500.00	\$1,300.00	\$2,000.00
49 C.F.R. § 382.305(i)(2) Failure Remove From Pool	N/A	N/A	N/A	\$100.00	\$100.00	\$100.00
<b>49 C.F.R. § 382.401</b> Failure to Retain Records	\$100.00	\$250.00	\$500.00	N/A	N/A	N/A
<b>49 C.F.R. § 382.601</b> Failure to Distribute Drug/Alcohol Policy	\$100.00	\$250.00	\$500.00	N/A	N/A	N/A
<b>49 C.F.R. § 382.603</b> Failure to Conduct Supervisor Training	\$100.00 (N/A if owner/operator)	\$100.00	\$100.00	N/A	\$200.00	\$200.00
Repeated Violations of Enhanced Civil Penalty		[2] [2012년 전 10 10 12 14] [2 (10 20 20 20 20 20 20 20 20 20 20 20 20 20			e the enhanced penalty wa w; currently \$5,000.00. Se	

<sup>&</sup>lt;sup>1</sup> Maximum cumulative penalties: \$1,000 (1 CDL Driver); \$1,500 (2-5 CDL Drivers); \$2,000 (6+ CDL Drivers)

<sup>&</sup>lt;sup>2</sup> Enhanced civil penalties are recommended if the same violation occurs within twenty-four months from the date the previous civil penalty was assessed against the Respondent.

### Violations Re: Adoption of 49 C.F.R. Part 385 as adopted in K.A.R. 82-4-3d

(Safety Fitness Procedures Violations)

Regulation / Statute	Standard Civil Penalty	Enhanced Civil Penalty <sup>1</sup>		
	First Violation	Repeat Violation		
49 C.F.R. § 385.403 HM Safety Permit	\$500.00	\$1,000.00		
Repeated Violations of Enhanced Civil Penalty	A repeat violation of an enhanced civil penalty occurring was issued against the Respondent receives a civil penal			

<sup>&</sup>lt;sup>1</sup> Enhanced civil penalties are recommended if the same violation occurs within twenty-four months from the date the previous civil penalty was assessed against the Respondent.

### Violations Re: Adoption of 49 C.F.R. Part 386 as adopted in K.A.R. 82-4-30

(Out of Service Violations)

Regulation / Statute	Standard	Civil Penalty	Enha	nced Civil Penalty <sup>2</sup>
	First Violation		Repeat Violation	
<b>49 C.F.R. 386.73</b> Operating as Chameleon Carrier	\$2,000.00		\$4,000.00	
<b>49 C.F.R. 386.73</b> Operating Under Federal OOS	\$2,000.00		\$4,000.00	
<b>K.S.A. 66-1,129a</b> Operating Under KCC OOS	\$2,000.00		\$4,000.00	
Repeated Violations of Enhanced Civil Penalty			thin twenty-four months from the datecommendation equal to 2X the amo	ite the previous enhanced civil penalty bunt of an enhanced civil penalty.

<sup>&</sup>lt;sup>2</sup> Enhanced civil penalties are recommended if the same violation occurs within twenty-four months from the date the previous civil penalty was assessed against the Respondent.

## Violations Re: Adoption of 49 C.F.R. Part 387 as adopted in K.A.R. 82-4-3n

(Interstate Insurance Violations)

Regulation / Statute	Standard Civil Penalty	Enhanced Civil Penalty		
	First Violation	Repeat Violation		
49 C.F.R. § 387.7; § 387.31 Interstate Insurance	\$500.00	\$1,000.00		
Repeated Violations of Enhanced Civil Penalty		within twenty-four months from the date the previous enhoty recommendation equal to 2X the amount of an enhanced		

#### Violations Re: Adoption of 49 C.F.R. Part 390 as adopted in K.A.R. 82-4-3f

(General Motor Carrier Safety Regulation Violations)

Regulation / Statute		Standard Civil Penalty			Enhanced Civil Penalty <sup>1</sup>			
	1-15 Violations	16-30 Violations	31+ Violations	1-15 Violations	16-30 Violations	31+ Violations		
49 C.F.R. § 390.13 Aiding & Abetting	N/A	N/A	N/A	\$2,000.00	\$2,500.00	\$3,000.00		
49 C.F.R. § 390.19 No DOT #	\$200.00	N/A	N/A	\$400.00	N/A	N/A		
49 C.F.R. § 390.23 Relief From Regulation Emergency	\$500.00	\$750.00	\$1,000.00	\$1,000.00	\$1,500.00	\$2,000.00		
49 C.F.R. § 390.31 Copies or Records of Documents	\$200.00	\$300.00	\$500.00	\$400.00	\$600.00	\$1,000.00		
49 C.F.R. § 390.33 Using a CMV For Purposes Other Than Defined	\$500.00	\$750.00	\$1,000.00	\$1,000.00	\$1,500.00	\$2,000.00		
49 C.F.R. § 390.35  Fraudulent  Certificates, Reports  & Records	N/A	N/A	N/A	\$2,000.00	\$2,500.00	\$3,000.00		
Repeated Violations of Enhanced Civil Penalty	was issued against the recommended against	Respondent receives a the Respondent, or if	an enhanced civil penal such a penalty would ex	nty-four months from the ty recommendation equivalent the sceed the maximum civities as law; currently \$5,000	al to 2X the amount th I penalty allowable by	at would be law, then the penalty		

<sup>&</sup>lt;sup>1</sup> Enhanced civil penalties are recommended if the same violation occurs within twenty-four months from the date the previous civil penalty was assessed against the Respondent.

## Violations Re: Adoption of 49 C.F.R. Part 391 as adopted in K.A.R. 82-4-3g

(Qualification of Drivers Violations)

Regulation / Statute		Standard Civil Penalty	,		Enhanced Civil Penalty	<b>建筑是特别的</b>
	1 Violation	2-10 Violations	11+ Violations	1 Violations	2-10 Violations	11+ Violations
<b>49 C.F.R. § 391.11</b> Qualification of Drivers	\$250.00	\$500.00	\$1,000.00	\$500.00	\$1,000.00	\$2,000.00
<b>49 C.F.R. § 391.15</b> Disqualified Drivers	\$250.00	N/A	N/A	\$500.00	N/A	N/A
49 C.F.R. § 391.25 49 C.F.R. § 391.23 49 C.F.R. § 391.51(b)(4) 49 C.F.R. § 391.51(b)(2) MVR	\$100.00	\$250.00	\$500.00	\$200.00	\$500.00	\$1,000.00
49 C.F.R. § 391.41 Physical Qualifications	\$250.00	\$500.00	\$1,000.00	\$500.00	\$1,000.00	\$2,000.00
49 C.F.R. § 391.43 Medical Certification	\$250.00	\$500.00	\$1,000.00	\$500.00	\$1,000.00	\$2,000.00
49 C.F.R. § 391.45(b)(1) Medical Examination	\$250.00	\$500.00	\$1,000.00	\$500.00	\$1,000.00	\$2,000.00
<b>49 C.F.R. § 391.51(a)</b> Driver Qualification File	\$350.00	\$750.00	\$1,000.00	\$700.00	\$1,500.00	\$2,000.00
<b>49 C.F.R. § 391.51(b)(3)</b> Road Test	N/A (1 driver)	\$100.00 (2-5 drivers)	\$250.00 (6+ drivers)	N/A (1 driver)	\$200.00 (2-5 drivers)	\$500.00 (6+ drivers)
Repeated Violations of Enhanced Civil Penalty	was issued against t recommended again	he Respondent receives nst the Respondent, or i	an enhanced civil pena f such a penalty would	alty recommendation e exceed the maximum of	the date the previous equal to 2X the amount to ivil penalty allowable by ntly \$5,000.00. See K.S.	that would be y law, then the

<sup>&</sup>lt;sup>1</sup> Enhanced civil penalties are recommended if the same violation occurs within twenty-four months from the date the previous civil penalty was assessed against the Respondent.

#### Violations Re: Adoption of 49 C.F.R. Part 392 as adopted in K.A.R. 82-4-3h

(Driving of Commercial Motor Vehicle Violations)

Regulation / Statute	Standard Civil Penalty	Enhanced Civil Penalty <sup>1</sup>						
	1-5 Violations	6-15 Violations	16+ Violations	1-5 Violations	6-15 Violations	16+ Violations		
<b>49 C.F.R. § 392.2</b> K.S.A. 8-1901 Size & Weight	\$500.00	\$1,500.00	\$3,000.00	\$1,000.00	\$3,00.00	\$4,000.00		
<b>49 C.F.R. § 392.2</b> K.S.A. 8-2,125 CDL	\$500.00	N/A	N/A	\$1,000.00	N/A	N/A		
<b>49 C.F.R. § 392.2</b> K.S.A. 66-1,111-PuMC K.S.A. 66-1330-W K.S.A. 66-1,112g-PrM	\$500.00	N/A	N/A	\$1,000.00	N/A	N/A		
49 C.F.R. § 392.2 K.S.A. 8-109 Oversize Permit; K.S.A. 8-142 Registration	\$500.00	N/A	N/A	\$1,000.00	N/A	N/A		
49 C.F.R. § 392.2 Unsafe Driving Speeding	\$500.00	N/A	N/A	\$1,000.00	N/A	N/A		
49 C.F.R. § 392.2 Unsafe Driving Texting/Mobile Phone Use	\$500.00	N/A	N/A	\$1,000.00	N/A	N/A		
<b>49 C.F.R. § 392.2</b> K.S.A. 66-1,128 Insurance	\$500.00	N/A	N/A	\$1,000.00	N/A	N/A		
<b>49 C.F.R. Part 392.2</b> K.S.A. 40-3104 Insurance	\$500.00	N/A	N/A	\$1,000.00	N/A	N/A		

<sup>&</sup>lt;sup>1</sup> Enhanced civil penalties are recommended if <u>a violation is deemed "intentional" or if</u> the same violation occurs within twenty-four months from the date the previous civil penalty was assessed against the Respondent.

49 C.F.R. Part 392.2 K.A.R. 82-4-35a Supporting Documents Hours of Service	\$250.00	\$500.00	\$750.00	\$500.00	\$1,000.00	\$1,500
49 C.F.R. § 392.9a Federal Operating Authority	\$1,000.00	N/A	N/A	\$2,000.00	N/A	N/A
K.S.A. 79-34,109 Fuel Tax	\$500.00	N/A	N/A	\$1,000.00	N/A	N/A
Repeated Violations of Enhanced Givil Penalty	against the Responde Respondent, or if such	nt receives an enhance a a penalty would exce	ed civil penalty a ed the maximu	thin twenty-four months from the date the parecommendation equal to 2X the amount tha m civil penalty allowable by law, then the pen See K.S.A. 2014 Supp. 66-1,142b(a).	would be recommend	led against the

#### Violations Re: Adoption of 49 C.F.R. Part 395 as adopted in K.A.R. 82-4-3a

(Hours of Service of Drivers Violations)

Regulation / Statute		Standard Civ	vil Penalty		Enhanced Civil Penalty <sup>1</sup>			
	1-10 Violations	11-20 Violations	21-30 Violations	31+ Violations	1-10 Violations	11-20 Violations	21-30 Violations	31+ Violations
<b>49 C.F.R. § 395.1(e)</b> Total Hours	\$100.00	\$200.00	\$300.00	\$400.00	\$200.00	\$400.00	\$600.00	\$800.00
49 C.F.R. § 395.3 Maximum Driving Time (Property)	\$250.00	\$500.00	\$750.00	\$1,000.00	\$500.00	\$1,000.00	\$1,500.00	\$2,000.00
49 C.F.R. § 395.3(a)(3) Rest Breaks	\$250.00	\$500.00	\$750.00	\$1,000.00	\$500.00	\$1,000.00	\$1,500.00	\$2,000.00
49 C.F.R. § 395.5 Maximum Driving Time (Passenger)	\$250.00	\$500.00	\$750.00	\$1,000.00	\$500.00	\$1,000.00	\$1,500.00	\$2,000.00
49 C.F.R. § 395.8 Record of Duty Status/No ELDs	\$250.00	\$500.00	\$750.00	\$1,000.00	\$500.00	\$1,000.00	\$1,500.00	\$2,000.00
<b>49 C.F.R. § 395.8(e)</b> False Reports	N/A	N/A	N/A	N/A	\$1,000.00	\$2,000.00	\$2,500.00	\$3,000.00
49 C.F.R. § 395.8(k) Supporting Documentation	\$250.00	\$500.00	\$750.00	\$1,000.00	\$500.00	\$1,000.00	\$1,500.00	\$2,000.00
49 C.F.R. § 395.11 Supporting Documentation	\$250.00	\$500.00	\$750.00	\$1,000.00	\$500.00	\$1,000.00	\$1,500.00	\$2,000.00
49 C.F.R. § 395.13 Driver's Declared OOS	\$250.00	\$500.00	\$750.00	\$1,000.00	\$500.00	\$1,000.00	\$1,500.00	\$2,000.00
Repeated Violations of Enhanced Civil Penalty	ACCHE DATE AND A TOTAL PORT OF THE PROPERTY OF	of an enhanced civil powers a recommendatic						

<sup>&</sup>lt;sup>1</sup> Enhanced civil penalties are recommended if the same violation occurs within twenty-four months from the date the previous civil penalty was assessed against the Respondent.

#### Violations Re: Adoption of 49 C.F.R. Part 396 as adopted in K.A.R. 82-4-3j

(Inspection, Repair and Maintenance Violations)

Regulation / Statute	Standard Civil Penalty			Enhanced Civil Penalty <sup>1</sup>		
	1 Violation	2-15 Violations	16+ Violations	1 Violation	2-15 Violations	16+ Violations
49 C.F.R. § 396.3 Inspection, Repair, and Maintenance	\$350.00	\$750.00	\$1,000.00	\$700.00	\$1,500.00	\$2,000.00
<b>49 C.F.R. § 396.7</b> Unsafe Operations Forbidden	\$500.00	\$750.00	\$1,000.00	\$1,000.00	\$1,500.00	\$2,000.00
<b>49 C.F.R. § 396.9</b> Motor Vehicles Declared OOS	N/A	N/A	N/A	\$3,000.00	N/A	N/A
49 C.F.R. § 396.11  Driver Vehicle  Inspection Report	\$200.00	\$300.00	\$500.00	\$400.00	\$600.00	\$1,000.00
<b>49 C.F.R. § 396.17</b> Periodic Inspection	\$250.00	\$750.00	\$1,000.00	\$500.00	\$1,500.00	\$2,000.00
49 C.F.R. § 396.19(a) Inspector Qualifications	\$250.00	N/A	N/A	\$500.00	N/A	N/A
Repeated Violations of Enhanced Civil Penalty	A repeat violation of an enhanced civil penalty occurring within twenty-four months from the date the previous enhanced civil penalty was issued against the Respondent receives an enhanced civil penalty recommendation equal to 2X the amount that would be recommended against the Respondent, or if such a penalty would exceed the maximum civil penalty allowable by law, then the penalty recommended shall be the maximum civil penalty allowable by Kansas law; <b>currently \$5,000.00</b> . See K.S.A. 2014 Supp. 66-1,142b(a).					

<sup>&</sup>lt;sup>1</sup> Enhanced civil penalties are recommended if the same violation occurs within twenty-four months from the date the previous civil penalty was assessed against the Respondent.

#### Violations Re: Hazardous Materials Violations; K.A.R. 82-4-20

(Transportation of Hazardous Materials by Motor Vehicles Violations)

Regulation / Statute	Standard Civil Penalty			Enhanced Civil Penalty <sup>1</sup>		
	1-5 Violations	6-30 Violations	31+ Violations	1-5 Violations	6-30 Violations	31+ Violations
49 C.F.R. § 107.601 HM Registration	\$500.00	N/A	N/A	\$1,000.00	N/A	N/A
49 C.F.R. § 172.200 Shipping Papers	\$200.00	\$300.00	\$500.00	\$400.00	\$600.00	\$1,000.00
<b>49 C.F.R. § 172.500</b> Placarding	\$200.00	\$300.00	\$500.00	\$400.00	\$600.00	\$1,000.00
49 C.F.R. § 172.600 Emergency Response Information	\$300.00	N/A	N/A	\$600.00	N/A	N/A
<b>49 C.F.R. § 172.700</b> HM Training	\$500.00	\$750.00	\$1,000.00	\$1,000.00	\$1,500.00	\$2,000.00
<b>49 C.F.R. § 172.800</b> Security Plans	\$500.00	N/A	N/A	\$1,000.00	N/A	N/A
49 C.F.R. § 180.401 Qualification & Maintenance of Cargo Tanks	\$500.00	\$750.00	\$1,000.00	\$1,000.00	\$1,500.00	\$2,000.00
Repeated Violations of Enhanced Civil Penalty	was issued against the recommended against	an enhanced civil penalt e Respondent receives a It the Respondent, or if s the the maximum civil pe	on enhanced civil penals such a penalty would ex	ry recommendation equiceed the maximum civ	ual to 2X the amount the	at would be law, then the penalty

<sup>&</sup>lt;sup>1</sup> Enhanced civil penalties are recommended if the same violation occurs within twenty-four months from the date the previous civil penalty was assessed against the Respondent.

#### Violations Re: K.S.A. 66-1,142(h)

(Failure to Comply with Commission Penalty Order)

Regulation / Statute	Standard Civil Penalt	Enhanced Civil Penalty <sup>2</sup>		
	First Violation	Repeat Violation		
K.S.A. 66-1,142(h) Failure to Submit CAP	\$500.00	\$1,000.00		
K.S.A. 66-1,142(h) Failure to Attend Safety Seminar	\$500.00	\$1,000.00		
Repeated Violations of Enhanced Civil Penalty	A repeat violation of an enhanced civil penalty occurring within twenty-four months from the date the previous enhanced civil penalty was issued against the Respondent receives a civil penalty recommendation equal to 2X the amount of an enhanced civil penalty.			

<sup>&</sup>lt;sup>2</sup> Enhanced civil penalties are recommended if the same violation occurs within twenty-four months from the date the previous civil penalty was assessed against the Respondent.

#### **CERTIFICATE OF SERVICE**

#### 20-TRAM-015-MIS

l, the undersigned, certify that a true copy of the attac	hed Order has been served to the following by means of
electronic service on	
AHSAN LATIF, LITIGATION COUNSEL KANSAS CORPORATION COMMISSION 1500 SW ARROWHEAD RD TOPEKA, KS 66604 Fax: 785-271-3354 a.latif@kcc.ks.gov	
	/S/ DeeAnn Shupe
	DeeAnn Shupe