20170606163425 Kansas Corporation Commission

Kansas Corporation Commission

Phone: 785-271-3100 Fax: 785-271-3354 http://kcc.ks.gov/

Sam Brownback, Governor

1500 SW Arrowhead Road Topeka, KS 66604-4027

Pat Apple, Chairman Shari Feist Albrecht, Commissioner Jay Scott Emler, Commissioner

June 6, 2017

NOTICE OF PENALTY ASSESSMENT 17-TRAM-523-PEN

Galen Unruh, Owner Galen Unruh, d/b/a A & B Transport PO Box 488 Galva, Kansas 67443 Certified Mail No. 70103090000072002551

This is a notice of a penalty assessment against Galen Unruh, d/b/a A & B Transport for violation(s) of Kansas Motor Carrier Safety Statutes, Rules, and Regulations discovered during a compliance review conducted on April 26, 2017, by Kansas Corporation Commission Special Investigator(s) Doug Handy. Penalty amounts are assessed in accordance with the FY 2017 Uniform Penalty Assessment Matrix, approved by the Commission on August 18, 2016. For a full description of the penalty(s) and terms and obligations please refer to the Order that is attached to this notice.

IF YOU ACCEPT THE PENALTY: A & B Transport has been assessed a \$100 penalty. You have thirty (30) days from the date of service of this Penalty Order to pay the fine amount. <u>Please remit payment of \$100,</u> through your personal account with the Kansas Corporation Commission's KTRAN application located at https://puc.kcc.ks.gov/ktran/. If you have not received a letter from the Transportation Division assigning you a PIN, please contact that Division at 785-271-3145. You must have an account through KTRAN to pay the penalty owed.

You must attend a Commission-sponsored safety seminar within ninety (90) days from the date of the attached Order and provide the undersigned Litigation Counsel with written proof of attendance. A schedule of dates and locations for the safety seminar can be found at the Commission's website <u>http://www.kcc.state.ks.us/trans/safety_meetings.htm</u>. You also must submit to one follow-up safety compliance review within 18 months from the date of the attached Order. Transportation Staff will contact you at a later date to determine an appropriate time for this review.

IF YOU CONTEST THE PENALTY ORDER: You have the right to request a hearing. <u>A request for hearing must be made in writing, setting forth the specific grounds upon which relief is sought</u>. A & B Transport must file, within fifteen (15) days from the date of service of this Order, the request for hearing with the Commission's electronic filing system found at https://puc.kcc.ks.gov/e-filing/e-express/, and must mail a copy of the request for hearing to the undersigned at the above address. If you do not have access to the internet, you can mail an original and seven (7) copies of the request to the Commission's Secretary at 1500 S.W. Arrowhead Road, Topeka, Kansas 66604 within fifteen (15) days from the date of service of this Penalty Order and mail a copy to the undersigned Litigation Counsel. K.A.R. 82-1-215; K.S.A. 2016 Supp. 77-542.

IF YOU FAIL TO ACT: Failure to pay the penalty of \$100 within thirty (30) days from the date of service of the Penalty Order or failure to comply with the terms of the attached Penalty Order, or in the alternative, failure to provide a written request for a hearing within fifteen (15) days from the date of service of this Penalty Order, will result in the attached Order becoming a Final Order and may result in additional sanctions of suspension and/or revocation of your motor carrier operating authority.

Counsel 785) 271-3118

THE STATE CORPORATION COMMISSION OF THE STATE OF KANSAS

Before Commissioners:	Pat Apple, Chairman Shari Feist Albrecht Jay Scott Emler		
In the Matter of the Inve Unruh, d/b/a A & B Tr Kansas, Regarding the Vio Carrier Safety Statutes, Ru and the Commission's Au Penalties, Sanctions and/or Motor Carrier Authority.	ansport, of Galva, lation of the Motor les and Regulations uthority to Impose))))	Docket No. 17-TRAM-523-PEN

PENALTY ORDER

The above-captioned matter comes before the State Corporation Commission of the State of Kansas (Commission). The Commission, having been briefed on the issue by the Director of the Commission's Transportation Division, finds and concludes as follows:

I. JURISDICTION

1. Pursuant to K.S.A. 2016 Supp. 66-1,108b, 66-1,111, 66-1,112, 66-1,114, 66-

1,114b and 66-1,115, the Commission is given full power, authority and jurisdiction to supervise and control motor carriers, as defined in K.S.A. 2016 Supp. 66-1,108, doing business or procuring business in Kansas, and is empowered to do all things necessary and convenient for the exercise of such power, authority and jurisdiction.

2. Pursuant to K.S.A. 2016 Supp. 66-1,129a, 66-1,130 and 66-1,142b, the Commission may suspend operations, revoke or amend certificates, and initiate sanctions or fines against every motor carrier and every person who violates any provision of Kansas law in regard

to the regulation of such motor carriers and persons, or who fails to obey any order, decision or regulation of the Commission.

3. The Commission has the authority, pursuant to K.A.R. 82-1-237, to investigate an entity under the Commission's jurisdiction and order a hearing on the Commission's own motion when the Commission believes the entity is in violation of the law or any order of the Commission.

II. BACKGROUND

4. Galen Unruh, d/b/a A & B Transport (A & B Transport) operates under USDOT number 1423243. A & B Transport did have common carrier operating authority with the Commission under KSMCID No. 170381, but it was cancelled on August 12, 2014, due to insurance cancellation on the motor vehicle.

5. Chris Unruh attended a Commission-sponsored Motor Carrier Education and Instructional Meeting on April 28, 2014, on behalf of A & B Transport.

6. A & B Transport is a common motor carrier which primarily hauls motor vehicles, driveaway and towaway.

III. STATEMENT OF FACTS

7. Pursuant to the jurisdiction and authority cited above, on April 26, 2017, Commission Staff (Staff) Special Investigator(s) Doug Handy conducted a compliance review of the operations of A & B Transport. A copy of the safety compliance review is included in this Penalty Order as Attachment "A" and is hereby incorporated by reference. As a result of this investigation, Mr. Handy identified one (1) violation(s) of the Motor Carrier Safety Regulations.

> a. On March 3, 2017, A & B Transport required or permitted its driver, Jonathan Ashcraft, to operate a commercial motor vehicle, a 1998

Chevrolet, VIN ending in 111253, GVWR 15,000 lbs., in intrastate commerce from Newton, Kansas to Valley Center, Kansas. This trip is evidenced by Receipt No. 19095, a copy of which is attached hereto as Attachment "B" and is hereby incorporated by reference. At the time of this transportation, A & B Transport failed to make an inquiry every 12 months into the annual motor vehicle record (MVR) of its driver and maintain the response(s) of each state agency in the driver qualification file. A & B Transport's failure to inquire into its driver's MVR at least once every 12 months and maintain a copy of the MVR in the driver qualification file is a violation of 49 C.F.R. Part 391.25(a) and (c)(1), adopted by K.A.R. 82-4-3g, and authorized by K.S.A. 2016 Supp. 66-1,112. Staff recommends a fine of \$100.

IV. STAFF'S RECOMMENDATIONS

8. Based upon the available facts, Staff recommends the Commission finds A & B Transport committed one (1) violation(s) of Kansas law that governs motor carriers, including various provisions of the Federal Motor Carrier Safety Regulations (FMCSRs), as adopted by the Kansas Administrative Regulations, and is therefore subject to sanctions or fines imposed by the Commission.

9. Additionally, Staff recommends a civil penalty of \$100 for one (1) violation(s) of the Motor Carrier Safety Statutes, Rules and Regulations.

10. Staff further recommends that A & B Transport be required to attend a Commission-sponsored safety seminar within ninety (90) days from the date of this Order, and provide Litigation Counsel with written proof of attendance. A schedule of the dates and

locations for the safety seminar can be found on the Commission's website at http://kcc.ks.gov/trans/safety_meetings.htm.

11. Finally, Staff recommends that A & B Transport submit to one follow-up safety compliance review within eighteen (18) months from the date of this Order. Transportation Staff will contact the motor carrier at a later date to determine an appropriate time for this review.

V. CONCLUSIONS OF LAW

12. The Commission finds it has jurisdiction over A & B Transport because it is a motor carrier as defined in K.S.A. 2016 Supp. 66-1,108.

13. The Commission finds A & B Transport committed one (1) violation(s) of Kansas law that governs motor carriers, including various provisions of the Federal Motor Carrier Safety Regulations (FMCSRs), as adopted by the Kansas Administrative Regulations, and is therefore subject to sanctions or fines imposed by the Commission.

THE COMMISSION THEREFORE ORDERS THAT:

A. Galen Unruh, d/b/a A & B Transport, of Galva, Kansas is hereby assessed a \$100 civil penalty for one (1) violation(s) of Kansas law governing the regulation of motor carriers, the Kansas Administrative Regulations and provisions of the Federal Motor Carrier Safety Regulations, as adopted by the Kansas Administrative Regulations.

B. A & B Transport is hereby ordered to attend a Commission-sponsored safety seminar within ninety (90) days from the date of this Order, and is to provide Litigation Counsel with written proof of attendance.

C. A & B Transport is ordered to submit to one follow-up safety compliance review within eighteen (18) months from the date of this Order. Transportation Staff will contact the carrier to set up the appointment.

D. Pursuant to K.S.A. 2016 Supp. 77-537 and K.S.A. 77-542, any party may request a hearing on the above issue(s) by submitting a written request setting forth the specific grounds upon which relief is sought. The request may be electronically filed with the Commission's electronic filing system at https://puc.kcc.ks.gov/e-filing/e-express/, within fifteen (15) days from the date of service of this Order, and a copy of the request mailed to the Litigation Division. If you do not have access to the internet, you can mail an original and seven (7) copies of the request to the Commission's Secretary, at 1500 S.W. Arrowhead Road, Topeka, Kansas 66604, and mail a copy of the request to Litigation Counsel, within fifteen (15) days from the date of service of this Order. On June 6, 2017, this Penalty Order was mailed to A & B Transport via Certified Mail, Return Receipt Requested, No. 70103090000072002551. Service of this Order is complete upon the date delivered shown on the Domestic Return Receipt. A hearing will be scheduled only upon written request. Failure to timely request a hearing will result in a waiver of A & B Transport's right to a hearing, and this Penalty Order will become a Final Order assessing a \$100 civil penalty against A & B Transport, and ordering A & B Transport to attend a Commission-sponsored safety seminar within ninety (90) days from the date of this Order and provide Litigation Counsel with written proof of attendance, and to submit to a safety compliance review within eighteen (18) months from the date of this Order.

E. Attorneys for all parties shall enter their appearances in Commission proceedings by giving their names and addresses for the record. For civil penalties exceeding \$500, a corporation shall appear before the Commission by its attorney, unless waived by the Commission for good cause shown and a determination that such waiver is in the public interest. K.S.A. 77-515(c); K.A.R. 82-1-228(d)(2); K.A.R. 82-1-202(a). For civil penalties of \$500 or

less, a corporation may appear by a duly authorized representative of the corporation. K.S.A. 2016 Supp. 66-1,142b(e) and amendments thereto.

F. If you do not request a hearing, the payment of the civil penalty of \$100 is due in thirty (30) days from the date of service of this Order. Payment of \$100, must be made through your personal account with the Kansas Corporation Commission's KTRAN application located at <u>https://puc.kcc.ks.gov/ktran/</u>. If you have not received a letter from the Transportation Division assigning you a PIN, please contact that Division at 785-271-3145. You must have an account through KTRAN to pay the penalty owed.

G. Failure to pay the \$100 civil penalty within thirty (30) days from the date of service of this Penalty Order, *see* K.S.A. 66-1,105, and/or failure to comply with the provisions of this Order, may result in suspension of A & B Transport's motor carrier operating authority without further notice. Additionally, the Commission may impose further sanctions to include, but not limited to, the issuance and enforcement of revocation of authority and/or cease and desist orders, and any other remedies available to the Commission by law, without further notice.

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

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BY THE COMMISSION IT IS SO ORDERED.

Apple, Chairman; Albrecht, Commissioner; Emler, Commissioner

Dated: _____ JUN 0 6 2017

n M. Ret

Lyhn/M. Retz Secretary to the Commission

Order Mailed Date JUN 07 2017

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ATTACHMENT "A"

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				Kansas Corpo	pration Commissio	n			
2	US DOT 1423243		Legal: GALEN UNRUH Operating (DBA):A&B TRANSPORT						
MC/MX #	: 538175		#:		il Tax ID:	(EIN)			
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A&B TRANSPORT (GALEN UNRUH dba) U S. DOT #: 1423243	State #.	Review Date 04/26/2017
Part	A	
QUESTIONS regarding this report or the Federal Motor Ca Hazardous Materials rules may be addressed to the Office		
1500 SW, Arrowhead Rd Topeka Ks 65604-4927		
This report will be used to as	sess your safety compliance.	
Person(s) Interviewed Name: Galen Unruh Name:	Title: Owner	

State #

A&B TRANSPORT (GALEN UNRUH dba)

Review Date:

04/26/2017

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Part B Requirements and/or Recommendations

- Copies of the regulations, forms, interpretations, and manuals are available from a variety of sources. Check the FMCSA website for a current list of suppliers, www.fmcsa.dot.gov/safety-security/eta/index.htm.
- 2. A copy of your carrier profile can be obtained at no cost from the FMCSA Portal (https://portal fmcsa.dot.gov/login)
- 3. Obtain a copy of each driver's driving record and review it annually.
- 4. DRIVER FITNESS BASIC PROCESS BREAKDOWN: Monitoring and Tracking

DESCRIPTION OF PROCESS BREAKDOWN- Galen Unruh/DBAA & B Transport failed to obtain an MVR, certification of violations, and annual reviews for 2016

BASIC SPECIFIC RECOMMENDED REMEDIES

Implement Safety Improvement Practices: The following are recommended practices related to Monitoring and Tracking Processes

Implement an effective process for monitoring and documenting all drivers' job functions, training, qualifications, renewal dates, disclosed medical conditions, and operational restrictions, including those of drivers on a waiver program or with impairments that may be satisfied by a Skill Performance Evaluation certificate, to ensure that assignments are covered by qualified drivers

 Review and retain each driver's Motor Vehicle Record (MVR) at least annually to ensure compliance with company policies. Federal regulations, and State and local laws and ordinances related to driver fitness. If a driver seems to have numerous violations, the MVR should be reviewed more often. Random MVR checks in addition to annual checks are also effective. File the MVR in each driver's driver gualification file after review.

 Maintain each driver's investigation history file in a secure location with limited and controlled access for as long as the driver is employed and for three years thereafter.

 Maintain roadside inspection reports, moving violation records, training records, the Commercial Driver's License (CDL), the dispatch schedule, bills of lading, and the medical report to help evaluate the performance of all staff involved in qualifying drivers (dispatchers and managers) and the effectiveness of the policies and procedures

 Implement a system for keeping accurate records of employee driver fitness training needs, such as entry-level and HAZMAT training, and completed training, via software, a checklist in the driver's file and/or another appropriate method

Evaluate personnel who are monitoring driver fitness performance by making sure they are reviewing driver-assignment and qualification files: applying the performance standards fairiy, consistently, and equitably; and documenting the evaluations

 Regularly evaluate the company's driver fitness-related inspection results via the Federal Motor Carrier Safety Administration's (FMCSA) website at http://ai.fmcsa.dot.gov/SMS. Assess violations for process breakdowns and how to remedy them. Use data to help implement an effective process beyond self-reporting to monitor. document and evaluate compliance with driver-fitness regulations and company policies.

 When monitoring and tracking any driver-fitness-related issue, always assess whether it is individual or represents a systemic breakdown in one of the Safety Management Processes (Policies and Procedures, Roles and Responsibilities, etc.)

Seek Out Resources:

You are encouraged to review your company's record at the following website, http://ar/fmcsa.dot.gov/SMS_You
will need to use your PIN Number that has been provided by the FMCSA

 Contact industry associations to get resources and ideas on safety improvement practices from other carriers in the industry

5. FMCSA recently announced planned improvements to the Carrier Safety Measurement System (SMS) which was implemented in December 2010 as part of the Agency's broader Compliance. Safety Accountability (CSA) initiative A preview of these improvements is currently available to motor carriers. The system changes are scheduled to be available to the public in July 2012. There will be additional opportunity for public comment on the changes after the proview period ends in July 2012.

The improvements to SMS are based on ongoing analysis and feedback from enforcement personnel, the motor



A&B TRANSPORT (GALEN UNRUH dba) U.S. DOT # 1423243

State #.

Review Date:

04/26/2017

Part B Requirements and/or Recommendations

carrier industry, and other stakeholders. The changes more effectively identify and prioritize high-risk and other unsafe motor carriers for enforcement interventions designed to reduce commercial motor vehicle crashes and hazardous materials incidents.

Motor carrier's currently have the ability to preview how the improvements impact their individual safety data in SMS These improvements include (1) Changes to the SMS methodology that identify higher risk carriers while addressing industry biases, (2) better applications of SMS results for Agency interventions by more accurately identifying safety sensitive carriers (i.e., carriers transporting people and carriers hauling hazardous materials (HM)) so that such firms can be selected for CSA interventions at more stringent levels; and, (3) more specific fact-based displays of SMS results on the SMS Web site

The data preview may be found at http://csa.fmcsa.dot.gov/. During the data preview period, the Agency requests comments on the impacts of the changes

6. For all Investigations that did not result in a Cooperative Safety Plan

The KCC requires that you prepare a corrective action letter, addressing the measures taken to correct the violations identified within this report. Submit this letter within 30 days outlining the carrier's updated changes to their policies and procedures regarding all listed violations. Explain in detail how, as a carrier representative, you will rectify these deficiencies and prevent their reoccurrence going forward. Include any supporting documentation and evidence as indicated in the recommendations above, (example, vehicle inspections performed, proof of drug and alcohol testing in place, etc.) necessary to prove that corrective action has been taken. Mail the letter along with copies of your supporting evidence to

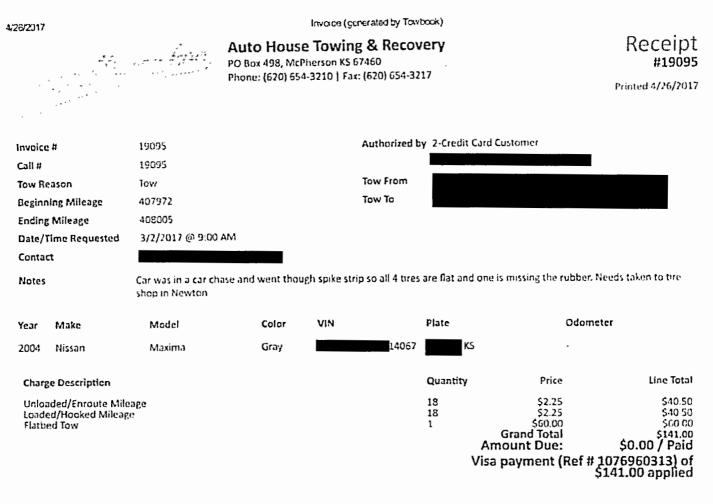
Kansas Corporation Commission Attn: Gary Davenport 1500 SW Arrowhead Rd Topeka, KS 66604-4027

- This report contains citations of regulations that are deemed sensus in nature and could result in penalties against your company and/or your drivers.
- 8. This review will result in a Safety Rating.
- 9. Lacknowledge that these requirements and/or recommendations have been discussed with me and my questions have been answered. Lunderstand that failure to satisfactorily remedy the above-listed requirements and/or failure to comply with the Kansas Motor Carrier Safety Statutes and Regulations could result in suspension of Galen Unruh/DBAA & B Transport operating authority and/or the impoundment of Galen Unruh/DBAA & B Transport operating authority and/or the impoundment of Galen Unruh/DBAA & B Transport

Stephanie Unruh, Office Manager Date

ATTACHMENT "B"

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Auto House appreciates your business; if you have any questions regarding this invoice, please contact us at 620-654-3210. Auto House Towing & Recovery does not authorize nor recognize any payment made on any invoice submitted by our company for work completed to a third party on this company's behalf. All payments must be made directly to this company.

Signature:

USDOT: 829520

CERTIFICATE OF SERVICE

17-TRAM-523-PEN

I, the undersigned, certify that the true copy of the attached Order has been served to the following parties by means of

first class mail/hand delivered on _____ JUN 0 6 2017

GALEN UNRUH, OWNER GALEN UNRUH D/B/A A & B TRANSPORT PO BOX 488 GALVA, KS 67443-0488 Fax: 620-654-3212 stephanie@towkansas.com AHSAN LATIF, LITIGATION COUNSEL KANSAS CORPORATION COMMISSION 1500 SW ARROWHEAD RD TOPEKA, KS 66604-4027 Fax: 785-271-3354 a.latif@kcc.ks.gov

/S/ DeeAnn Shupe DeeAnn Shupe

> Order Mailed Date JUN 07 2017