

1500 SW Arrowhead Road Topeka, KS 66604-4027

Pat Apple, Chairman Shari Feist Albrecht, Commissioner Jay Scott Emler, Commissioner Sam Brownback, Governor

Phone: 785-271-3100 Fax: 785-271-3354

http://kcc.ks.gov/

## NOTICE OF PENALTY ASSESSMENT

February 21, 2017

17-TRAM-373-PEN

Erik Griffith Enger, Owner d/b/a A & E Tree 14021 Fontana Street Leawood, Kansas 66224

This is a notice of a penalty assessment for violation of Kansas Motor Carrier Safety Statutes, Rules, and Regulations discovered during a compliance review conducted on February 3, 2017, by Kansas Corporation Commission Special Investigators Verna Jackson and Jared Smith. For a full description of the penalty and process please refer to the Order that is attached to this notice.

#### IF YOU ACCEPT THE PENALTY:

You have been assessed a \$750 penalty. You have thirty (30) days from service of this Penalty Order to pay the fine amount. Check or money order must be made payable to the Kansas Corporation Commission. Payment is to be mailed to the Transportation Division of the Kansas Corporation Commission at 1500 S.W. Arrowhead Road, Topeka, Kansas 66604, and must include a reference to the docket number of this proceeding. Credit card payment may be made by faxing your credit card information to the Transportation Office at 785-271-3124, using the KCC's credit card payment form found at http://kcc.ks.gov/trans/creditcard.pdf.

You must attend a Commission-sponsored safety seminar within the next ninety (90) days and provide Staff with written proof of attendance. A schedule of dates and locations for the safety seminar can be found at the Commission's website <a href="http://www.kcc.state.ks.us/trans/safety\_meetings.htm">http://www.kcc.state.ks.us/trans/safety\_meetings.htm</a>.

You must submit to one follow-up safety compliance review within the next 18 months. Staff will contact you at a later date to determine an appropriate time for this review.

IF YOU CONTEST THE PENALTY: You have the right to request a hearing. A request for hearing must be made in writing, setting forth the specific grounds upon which relief is sought. Respondent must submit 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 stamped on the last page of the Penalty Order. K.A.R. 82-1-215; K.S.A. 2016 Supp. 77-542.

# IF YOU FAIL TO ACT:

Failure to pay the fine amount within thirty (30) days of service of the Penalty Order, or in the alternative, provide a written request for a hearing within fifteen (15) days from service of the Penalty Order will result in the attached Order becoming a Final Order and may result in the additional sanction of suspension and/or revocation of your motor carrier operating authority.

Respectfully,

(785) 271-3118

gation Counsel

# 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 Investigation of Erik )
Griffith Enger, d/b/a A & E Tree, of )
Leawood, Kansas, Regarding the Violation of )
the Motor Carrier Safety Statutes, Rules and ) Docket No. 17-TRAM-373-PEN
Regulations and the Commission's Authority to )
Impose Penalties, Sanctions and/or the )
Revocation of Motor Carrier Authority.

## 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. Erik Griffith Enger, d/b/a A & E Tree (A & E Tree) operates under USDOT number 2451352.
- 5. A & E Tree is an intrastate and interstate carrier that owns four (4) trucks and employs four (4) drivers, of which one maintains a CDL license.
  - 6. A & E Tree is a private motor carrier which primarily hauls woodchips.

#### III. STATEMENT OF FACTS

- 7. Pursuant to the jurisdiction and authority cited above, on February 3, 2017, Commission Staff (Staff) Special Investigators Verna Jackson and Jared Smith conducted a compliance review of the operations of A & E Tree. 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, Ms. Jackson and Mr. Smith identified one (1) violation of the Motor Carrier Safety Regulations.
  - a. On August 16, 2016, A & E Tree required or permitted its driver, Andrew Enger, to operate a CDL-required commercial motor vehicle, a 2004 Ford 750, VIN ending in 588870, GVWR 31,000 lbs., in intrastate commerce from Leawood, Kansas to Olathe, Kansas. This trip is evidenced by an email from Erik Enger, owner of A & E Tree, a copy of which is attached hereto as Attachment "B" and is hereby incorporated by reference. At the

time of this transportation, A & E Tree failed to obtain and document a successful periodic (annual) inspection on the commercial motor vehicle during the preceding 12-month period. The special investigators found four (4) violations of this type. A & E Tree's failure to conduct periodic (annual) inspections on commercial motor vehicles is a violation of 49 C.F.R. 396.17(c), as adopted by K.A.R. 82-4-3j, and as authorized by K.S.A. 2016 Supp. 66-1,129. Staff recommends an enhanced fine of \$750. The carrier was cited with the same violation in the previous compliance review dated May 18, 2015.

## IV. STAFF'S RECOMMENDATIONS

- 8. Based upon the available facts, Staff recommends the Commission find A & E Tree committed one (1) violation 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 \$750 for one (1) violation of the Motor Carrier Safety Statutes, Rules and Regulations.
- 10. Staff further recommends that A & E Tree be required to attend a Commission-sponsored safety seminar within the next ninety (90) days and provide Staff 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 & E Tree submit to one follow-up safety compliance review within the next eighteen (18) months. 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 & E Tree because it is a motor carrier as defined in K.S.A. 2016 Supp. 66-1,108.
- 13. The Commission finds A & E Tree committed one (1) violation 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. Erik Griffith Enger, d/b/a A & E Tree, of Leawood, Kansas is hereby assessed a \$750 civil penalty for one (1) violation 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 & E Tree is hereby ordered to attend a Commission-sponsored safety seminar within the next ninety (90) days and is to provide Staff with written proof of attendance. Further, A & E Tree is ordered to submit to one follow-up safety compliance review within the next eighteen (18) months.
- C. <u>Pursuant to K.S.A. 2016 Supp. 77-537 and K.S.A. 77-542, any party may</u> request a hearing on the above issues by submitting a written request, setting forth the specific grounds upon which relief is sought, 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 Order. If service is by certified mail, service is complete upon the date delivered shown on the Domestic Return Receipt. Hearings will be scheduled only upon written request. Failure to timely request a hearing will result in a waiver of A & E Tree's right to a hearing, and this Penalty Order will become a Final Order assessing a \$750 civil penalty against A & E Tree, and ordering A & E Tree to attend a Commission-sponsored safety seminar within the next ninety (90) days and provide Staff with written proof of attendance, and to submit to a safety compliance review within eighteen (18) months from the date of service of this Order.

- D. 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.
- E. If you do not request a hearing, the payment of the civil penalty is due in thirty (30) days from date of service of this Order. Checks and Money Orders shall be payable to the Kansas Corporation Commission. For credit card payments, include type of card (Visa, MasterCard, Discover, or American Express), account number and expiration date. Payments shall be mailed to the Transportation Division of the Kansas Corporation Commission, 1500 S.W. Arrowhead Road, Topeka, Kansas 66604. *The payment shall include a reference to the docket number of this proceeding*.
- F. Failure to pay the \$750 civil penalty within thirty (30) days of the 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 & E Tree'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 out-of-service and/or cease and desist orders, and any other remedies available to the Commission by law, without further notice.

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

# BY THE COMMISSION IT IS SO ORDERED.

Apple, Chairman; Albrecht, Commissioner; Emler, Commissioner

Dated: FEB 2 1 2017	
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Amy L. Grter

Secretary to the Commission

AAL

Order Mailed Date

FEB 2 2 2017

**ATTACHMENT "A"** 

20	US DOT 2451352	_   _	•	RIFFITH ENGER			
			perating (DB	A):A & E TREE			
	MC/MX #: Federal Tax ID: (EIN)						
'	• •		Review - Com				
Scope:		ipal Off	ice	Location of Review/Audit: Company facility in the U. S. Territory:			
Operation			ite Intrastate	····i			
1		Non-H		Business: Corporation			
1		N/A	N/A	Gross Revenue: for year ending: 12/31/2015			
	Tank;		1/A				
Company	Physical	Addres	SS:				
Contact	Name:	Erik	Enger				
	umbers:		Lilger	(2) Fax			
E-Mail Ad				(2) I dx			
Company	Mailing /	Addres	s:				
14021 FONTANA STREET							
LEAWOO		· · · · · <b>_</b>	•				
Carrier CI	assificati	on	, -				
Priva	te Propert	у					
Cargo Cla							
Other	: Woodch	ps					
Equipmen	nt						
			Owned Terr	m Leased Trip Leased Owned Term Leased Trip Leased			
Truck Power unit		hall C	•	0 0			
Percentage	e of time u	ised in	the U.S.:100				
Does carrier transport placardable quantities of HM? No							
Is an HM	l Permit r	equired	1?	N/A			
Driver Information							
		Inte	r Intra	Average trip leased drivers/month: 0			
< 1	100 Miles	: 1		Total Drivers: 1			
>= 1	100 Miles	:		CDL Drivers: 1			



U.S. DOT #: 2451352

Review Date: 02/03/2017

# Part A

QUESTIONS regarding this report or the Federal Motor Carrier Safety or Hazardous Materials rules may be addressed to the Kansas Corporation Commission at:

1500 SW Arrowhead Road Topeka, KS 66604 Phone 913-755-1289

This report will be used to assess your safety compliance.

Person(s) Interviewed

Name: Erik Enger

Title: Owner

Name:

Title:





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Review Date: 02/03/2017

# Part B Violations

1	Primary: 396.17(a)				Drivers/V	
STATE			Discovered	Checked	In Violation	Checked
	CFR Equivalent: 396.17(	a)	4	4	4	4
Description						
Using a comme	ercial motor vehicle not peri	odically inspected.				
Example	· ·					
Driver:						
Date: 8/16/16	-					
0.0404654	Office Fig. 10 A AFF		T// 001 //			
On 8/16/16 Erik	Griffith Enger dba A &E Tr	ee driver	(Kansas CDL#	opera	ted a 2004 Ford	d F750
proof of appual	of 31,000 lbs (VIN #	od for this time frame	imerce on a trip from	Leawood, Kan	sas to Olathe K	ansas. No
		ed for this time frame.		0001/-1:	I- (OD)- 0	
•	Rating Information:			OOS Vehic	, - ,	
	es Operated	6,000	Number of Ve	ehicle Inspect	ed (CR): 0	
Recordable Accidents 0			OOS Vehicle (MCMIS): 0			
			Number of Vehicle	s Inspected (I	MCMIS): 0	
					•	

Your proposed safety rating is :

This Review is not Rated.





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# Part B Requirements and/or Recommendations

1. 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 preview period ends in July 2012.

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

2. VEHICLE MAINTENANCE BASIC - INSPECTION-REPAIR-MAINTENANCE PROCESS BREAKDOWN: Monitoring and Tracking

DESCRIPTION OF PROCESS BREAKDOWN: Erik Griffth Enger dba A&E Tree was found to be in violation of using a CMV not periodically inspected as required by 396.17 (a). Without monitoring the issue at hand, Erik Griffith Enger dba A&E Tree cannot validate the quality of the CMVs being used.

# BASIC SPECIFIC RECOMMENDED REMEDIES

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

- Check all inspections and relevant records, such as Driver Vehicle Inspection Records (DVIRs), pre-trip and annual inspections, and maintenance and repair records, to ensure that company inspection, repairing, and maintenance policies and procedures are adhered to and properly documented.
- Ensure that Driver Vehicle Inspection Records (DVIRs) are effectively coordinated with maintenance and operations, result in timely corrective measures, and are verified during pre-trip inspections as applicable.
- Require mechanics to note whether parts came from inventory or were ordered, to ensure accuracy of maintenance records.
- Monitor and track roadside inspection results to ensure that vehicle defects are repaired and documented promptly and to prevent Out-of-Service (OOS) vehicles from operating prior to being repaired.
- Monitor manufacturer recalls through http://www.nhtsa.dot.gov and consult with manufacturer service representatives to keep current with service bulletins for proactive maintenance.
- Implement a system for keeping accurate records of employee inspection, repair, and maintenance training needs, including updates on a carrier's fleet or equipment and completed training, via software, a checklist in the driver's file, and/or another appropriate method.
- Regularly evaluate the company's vehicle-maintenance-related inspection results via the Federal Motor Carrier Administration's (FMCSA) website at http://ai.fmcsa.dot.gov/SMS. Assess violations for process breakdowns and how to remedy them.
- Maintain inspection, repair, maintenance, vehicle identification, and communication records to help evaluate the
  performance of all staff (drivers, dispatchers, mechanics, and managers) involved in fleet maintenance and the
  effectiveness of compliance with vehicle maintenance policies, procedures, and regulations.
- Evaluate personnel who are monitoring vehicle maintenance performance by making sure they are using Driver Vehicle Inspection Records (DVIRS), roadside inspections, and other data; applying performance standards fairly, consistently, and equitably; and documenting evaluations.
- · When monitoring and tracking vehicle maintenance issues, always assess whether an issue is individual or



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# Part B Requirements and/or Recommendations

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://ai.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.

## 3. For all Investigations:

- Understand Why Compliance Saves Time and Money: Compliance with FMCSRs will not only save lives, but also saves your business time and money. Tracking how much your business spends on non-compliance activities can help you understand the many benefits of compliance to your business and why safety is good business.
- Document and Follow Through on Action Plans: Document and follow through on action plans to ensure the actions you are taking are creating improvement in safety management and compliance.
- NOTICE: A pattern and/or repeated violations of the same or related acute or critical regulations (violations of the same Part in Title 49, Code of Federal Regulations) will cause the maximum penalties allowed by law to be assessed under Section 222 of the Motor Carrier Safety Improvement Act of 1999 (MCSIA). A pattern of violations means two or more violations of acute and/or critical regulations in three or more Parts of Title 49, Code of Federal Regulations discovered during any eligible investigation. Repeated violations means violation(s) of an acute regulation of the same Part of Title 49, Code of Federal Regulations discovered in an investigation after one or more closed enforcement actions within a six year period and/or violation(s) of a critical regulation in the same Part of Title 49, Code of Federal Regulations discovered in an investigation after two or more closed enforcement actions within a six year period.
- NOTICE: 49 CFR Part 391.23 requires prospective employers to, at a minimum, investigate a driver's employment information, crash record, and alcohol and controlled substances history from all employers the driver worked for within the previous 3 years.

The Pre-Employment Screening Program (PSP) is a screening tool that assists motor carriers in investigating crash history and roadside safety performance of prospective drivers. The PSP allows motor carriers to purchase 5 years of crash data and 3 years of roadside inspection data from the Federal Motor Carrier Safety Administration's (FMCSA) Motor Carrier Management Information System (MCMIS). Records are available 24 hours a day via Web request. Motor carriers should visit the following website for more information: http://www.psp.fmcsa.dot.gov/Pages/default.aspx

• All motor carriers and truck drivers are needed to fight against terrorism and hijacking. You could be a target. Protect yourself, your trucks, your cargo, and your facilities.

For all Investigations that could result in a Penalty Order:

• PLEASE NOTE: The violations discovered during this compliance review may affect the civil penalty proposed in any subsequent Penalty Order. In addition, your history of prior violations of the Federal Motor Carrier Safety Regulations, Federal Hazardous Material Regulations or the Federal Motor Carrier Commercial Regulations may also affect the civil penalty proposed in any subsequent Penalty Order. Your signature for receipt of this report acknowledges your understanding that the violations discovered by the KCC during this review may be used to calculate any civil penalty proposed as a result of this review. Your signature is not an admission of the violations identified.

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

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# Part B Requirements and/or Recommendations

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

4.	I acknowledge that the requirements and/or recommendations resulting from this off-site, focused review have been
	discussed with me and my questions have been answered. I further acknowledge that KCC recommendations only
	cover the scope of this focused review, and that areas not reviewed by the KCC have not necessarily been endorsed
	as compliant. I understand that failure to satisfactorily remedy the above-listed requirements, and/or failure to comply
	with Kansas Motor Carrier Safety Statutes and Regulations could result in the suspension of Erik Griffith Enger dba
	A&E Tree, operating authority and/or the impoundment of Erik Griffith Enger dba A&E Tree commercial motor
	vehicles.

Carrier Representative	Date

After reviewing these Requirements and/or Recommendations, please sign and date where indicated, and return to the Kansas Corporation Commission, ATTN Verna Jackson, Transportation Division, 1500 SW Arrowhead Rd, Topeka, Kansas 66604-4027, or fax 785-271-3124.





## **Jared Smith**

From:

	×
•	Overland Park, K
	Erik Enger

Erik Enger

Thursday, February 02, 2017 12:22 PM Sent: To:

Jared Smith

Re: Time Documents Subject:

Ford 750 - Andrew Enger

Erik Enger A&E Tree

www.actree.com

Sent from my iPhone

On Feb 2, 2017, at 11:23 AM, Jared Smith

> wrote:

Thanks for sending me the trip.

The only other thing I need regarding the trip is what vehicle was utilized and who operated the vehicle.

From: Erik Enger [mailto:

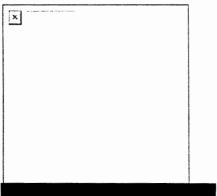
Sent: Tuesday, January 31, 2017 2:21 PM

To: Jared Smith

Subject: Re: Time Documents

Jared, Here is an intrastate trip from 8/6/16 9:00am (approx) - 11:00 am (approx) Going from 14021 Fontana St. Leawood, KS To:

16102 W 125th St Olathe, KS



(S 66210

# **CERTIFICATE OF SERVICE**

17-TRAM-373-PEN

I, the undersigned, certify that the t	true copy of the attached Order has been served to the following parties by r	means of
first class mail/hand delivered on _	FEB 2 1 2017	

ERIK GRIFFITH ENGER, OWNER ERIK GRIFFITH ENGER D/B/A A & E TREE 14021FONTANA STREET OVERLAND PARK, KS 66224 erik@aetree.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 FEB 2 2 2017