

Service Date: September 13, 2023

WASHINGTON UTILITIES AND TRANSPORTATION COMMISSION

**NOTICE OF PENALTIES INCURRED AND DUE
FOR VIOLATIONS OF LAWS AND RULES**

PENALTY ASSESSMENT: D-230512
PENALTY AMOUNT: \$15,000
Investigation # 8719

SERVICE VIA EMAIL

UBI: 601-295-793

Qwest Corporation d/b/a Lumen Technologies/CenturyLink
904 N. Columbus St.
Spokane, WA 99202
Geno.Reed@lumen.com

YOU MUST RESPOND WITHIN 15 DAYS OF THIS NOTICE

The Washington Utilities and Transportation Commission (Commission) believes that Qwest Corporation d/b/a Lumen Technologies/CenturyLink (Lumen or Company) violated Revised Code of Washington (RCW) 19.122.030(4)(a) by failing to provide information to an excavator no later than two business days after receipt of the notice.

RCW 19.122.070(1) states, in part, that violations of any provision of the chapter are subject to a civil penalty of not more than \$1,000 for an initial violation and not more than \$5,000 for each subsequent violation within a three-year period.

On June 20, 2023, the Washington State Dig Law Safety Committee (Safety Committee) heard cases 22-051, 23-047, and 23-058 filed by Clallam County Public Utilities (Complainant) against Lumen and determined Lumen violated RCW 19.122.030(4)(a) by Failing to provide information to an excavator no later than two business days after receipt of the notice on three different occasions. The Safety Committee recommended that the Commission impose a \$15,000 penalty.

Commission staff (Staff) conducted an investigation that included reviewing documents, reports, and communications with the Safety Committee and all parties involved.

The Commission reviewed findings and recommendations made by the Safety Committee and hereby notifies you that it is assessing a \$15,000 penalty (Penalty Assessment) against you on the following grounds:

1. Alleged Violation(s): Case 22-051

The Complainant states that on October 4, 2022, Lumen failed to provide information to an excavator no later than two business days after receipt of the notice.

2. **Alleged Violation(s): Case 23-047**

The Complainant states that on March 28, 2023, Lumen failed to provide information to an excavator no later than two business days after receipt of the notice.

3. **Alleged Violation(s): Case 23-058**

The Complainant states that on May 1, 2023, Lumen failed to provide information to an excavator no later than two business days after receipt of the notice.

Analysis:

The alleged violations concern RCW 19.122.030(4)(a), which states, in part, that a facility operator must provide information to an excavator within two business days after receiving notice from the One Call Center. The complainant reported that it had submitted locate tickets for work and the tickets had respective due dates of; October 4, 2022, March 28, 2023, and May 1, 2023. When the Complainant arrived on site to begin work, the locates were not completed by Lumen. During the review, Lumen acknowledged its locates were not completed on time and provided a variety of reasons, including short staffing and miscommunications.

The Commission considered the following factors in determining the appropriate penalty amount for the violation:

1. **How serious or harmful the violation is to the public.**

This incident could have caused severe harm to employees, or the public, and could have resulted in additional undue expenses and hardships.

2. **Whether the violation is intentional.**

The violation does not appear to be intentional, but rather due to negligence by Lumen and its locators. Over the past 24 months (August 2021-August 2023), Lumen has been penalized by the Commission on two occasions for violations of RCW 19.122.030.

3. **Whether the company self-reported the violation.**

Lumen did not self-report the violation. The Commission became aware of the violation after the Complainant filed a complaint with the Safety Committee.

4. **The likelihood of recurrence.**

The likelihood of recurrence depends on Lumen's actions going forward, and its ability to ensure that its contract locator and its contract locator's processes are sufficient to comply with the requirements of the dig law.

5. **The Company's previous violations and penalties.**

- D-141158 - On August 28, 2014, the Commission issued Lumen a Penalty Assessment of \$1,000 for one violation of RCW 19.122.030(3)(a).
- D-143954 - On February 12, 2015, the Commission issued Lumen a Penalty Assessment of \$2,500 for one violation of RCW 19.122.030(3)(a).
- D-180664 - On December 20, 2018, the Commission issued Lumen a Penalty Assessment of \$1,000 for one violation of RCW 19.122.030(4)(a).

- D-191005 - On January 22, 2020, the Commission issued Lumen a Penalty Assessment of \$6,000 for two violations of RCW 19.122.030(4)(a).
- D-200812 - On April 7, 2021, the Commission issued Lumen a Penalty Assessment of \$5,000 for one violation of RCW 19.122.030(3)(a).
- D-210811 - On November 23, 2021, the Commission issued Lumen a Penalty Assessment of \$5,000 for one violation of RCW 19.122.030(4)(a).
- D-220201 - On June 2, 2022, the Commission issued Lumen a Penalty Assessment of \$5,000 for one violation of RCW 19.122.030(3)(a).

The Commission has considered these factors and agrees with the Safety Committee's findings of probable violation and penalty recommendation, as follows:

- \$5,000 penalty for each violation of RCW 19.122.030(4)(a)

These facts, if proven at a hearing and not rebutted or explained, are sufficient to support the Penalty Assessment.

Your penalty is due and payable now. If you believe the violations did not occur, you may deny committing the violation(s) and contest the penalty through evidence presented at a hearing or in writing. Or, if there is a reason for the violations that you believe should excuse you from the penalty, you may ask for mitigation (reduction) of the penalty through evidence presented at a hearing or in writing. The Commission will grant a request for a hearing only if material issues of law or fact require consideration of evidence and resolution in a hearing. Any request to contest the violation(s) or for mitigation of the penalty must include a written statement of the reasons supporting that request. Failure to provide such a statement will result in denial of the request. *See* RCW 81.04.405.

If you properly present your request for a hearing and the Commission grants that request, the Commission will review the evidence supporting your dispute of the violation(s) or application for mitigation in a Brief Adjudicative Proceeding before an administrative law judge. The administrative law judge will consider the evidence and will notify you of their decision.

You must act within 15 days after receiving this Penalty Assessment to do one of the following:

- Pay the \$15,000 penalty amount due; or
- Request a hearing to contest the occurrence of the violations; or
- Request mitigation to reduce the amount of the penalty.

Please indicate your selection on the enclosed form and submit it electronically through the Commission's web portal at <https://efiling.utc.wa.gov/Form> **within FIFTEEN (15) days** after you receive this Penalty Assessment. If you are unable to use the web portal, you may submit it via email to records@utc.wa.gov. If you are unable to submit the form electronically, you may send a paper copy to the Washington Utilities and Transportation Commission, P.O. Box 47250, Olympia, Washington 98504-7250.

If you wish to make your payment online, please use this link: [Make a Payment Now \(wa.gov\)](#).¹

If you do not act within 15 days, the Commission may refer this matter to the Office of the Attorney General for collection.

DATED at Lacey, Washington, and effective September 13, 2023.

/s/Michael Howard
MICHAEL HOWARD
Acting Director, Administrative Law Division

¹ <https://www.utc.wa.gov/documents-and-proceedings/online-payments/make-payment-now>.

WASHINGTON UTILITIES AND TRANSPORTATION COMMISSION
PENALTY ASSESSMENT D-230512 Investigation # 8719

PLEASE NOTE: You must complete and sign this document and send it to the Commission within 15 days after you receive the Penalty Assessment. Use additional paper if needed.

I have read and understand RCW 9A.72.020 (printed below), which states that making false statements under oath is a class B felony. I am over the age of 18, am competent to testify to the matters set forth below and I have personal knowledge of those matters. I hereby make, under oath, the following statements:

- 1. **Payment of penalty.** I admit that the violation occurred and:
 - Enclose \$15,000 in payment of the penalty.
 - OR Attest that I have paid the penalty in full through the Commission’s payment portal.

- 2. **Contest the violation.** I believe that the alleged violation did not occur for the reasons I describe below (**if you do not include reasons supporting your contest here, your request will be denied**):
 - a) I ask for a hearing to present evidence on the information I provide above to an administrative law judge for a decision.
 - OR b) I ask for a Commission decision based solely on the information I provide above.

- 3. **Request mitigation.** I admit the violation, but I believe that the penalty should be reduced for the reasons set out below (**if you do not include reasons supporting your application here, your request will be denied**):
 - a) I ask for a hearing to present evidence on the information I provide above to an administrative law judge for a decision.
 - OR b) I ask for a Commission decision based solely on the information I provide above.

I declare under penalty of perjury under the laws of the State of Washington that the foregoing, including information I have presented on any attachments, is true and correct.

Dated: _____ [Month/Day/Year], at _____ [City, State]

Name of Respondent (Company) – please print

Signature of Applicant

RCW 9A.72.020 "Perjury in the first degree."

- (1) A person is guilty of perjury in the first degree if in any official proceeding he or she makes a materially false statement which he or she knows to be false under an oath required or authorized by law.
- (2) Knowledge of the materiality of the statement is not an element of this crime, and the actor's mistaken belief that his or her statement was not material is not a defense to a prosecution under this section.
- (3) Perjury in the first degree is a class B felony.