



Assignment Report Motor Carrier Safety

Upload? Yes X No - Reason For Not Uploading: Aspen vehicle upload, prov. HHG

1. Investigator(s): Alan Dickson

2. Assignment No. 113140 ~~112059~~

3. Current Date: 9-3-13

4. Date of Activity: 8-30-13

5. Carrier Name: A-AAA Reliable Movers Richard Wornell

6. Permit: THG-64537

7. New Entrant date of authority: 2-9-12

8. MOTCAR No.: 6805

9. Carrier is: X Intrastate Only

Interstate Only

Intra and Interstate

10. Industry Code: 207

11. USDOT No.: 2263477

12. MC No.:

13.  Destination Check

Copy of the Destination Check Safety Plan is attached.
Number of Buses/Motor Coaches inspected: 7-15 passenger 16+ passenger
Number of vehicle inspections: Level 1 Level 2 Level 3 Level 5
Any special emphasis placed on the destination check Yes No
Describe Special Emphasis
What might we do differently to increase our success at the next destination check:

14.  Safety Complaint

Attach a copy of the Individual Safety Complaint Plan.
What activity did staff complete for this safety complaint:
Compliance review
Technical assistance
Number of vehicle inspections: Level 1 Level 2 Level 5
Unannounced terminal visit
Other (please explain):

15.  New Entrant - Charter, Auto Transportation

Is this carrier referred by FMCSA, operating intra and interstate: Yes No
Is this carrier based in another state, requesting intrastate authority: Yes No
Is this carrier based in Washington, requesting intrastate authority: Yes No
Did staff complete the following:
Inspect all vehicles between three and nine months? Yes No
Number of vehicle inspections: Level 1 Level 2 Level 5
Conduct a SI/SA between three and nine months? Yes No SI SA

16. X **New Entrant- HHG**

▪ Is this carrier referred by FMCSA, operating intra and interstate:	<input type="checkbox"/> Yes	X No
▪ Is this carrier based in another state, requesting intrastate authority:	<input type="checkbox"/> Yes	X No
▪ Is this carrier based in Washington, requesting intrastate authority:	X Yes	<input type="checkbox"/> No
▪ Did staff complete the following:		
♦ Inspect all vehicles between three and eighteen months?	X Yes	<input type="checkbox"/> No
Number of vehicle inspections: Level 1 _____ Level 2 _____ Level 5 _____		
♦ Conduct a SI/SA between three and eighteen months?	X Yes	<input type="checkbox"/> No SI <input type="checkbox"/> SA
♦ Conduct technical assistance within three months?	X Yes	<input type="checkbox"/> No

17.  **CSA Investigation**

<input type="checkbox"/> Full Investigation
<input type="checkbox"/> Focused Investigation
Basic is for: <input type="checkbox"/> Passenger Carrier <input type="checkbox"/> HHG Carrier <input type="checkbox"/> Solid Waste Carrier
Basic Threshold Percentile is;
<input type="checkbox"/> Unsafe Driving _____ %
<input type="checkbox"/> Fatigued Driving (HOS) _____ %
<input type="checkbox"/> Crash _____ %
<input type="checkbox"/> Driver Fitness _____ %
<input type="checkbox"/> Drug/Alcohol _____ %
<input type="checkbox"/> Vehicle Maintenance _____ %

18.  **Individual Safety Plan Only:**

What activity did staff complete for this safety complaint?
<input type="checkbox"/> Attach a copy of the Individual Carrier Safety Plan.
<input type="checkbox"/> Safety Investigation
<input type="checkbox"/> Technical assistance
<input type="checkbox"/> Number of vehicle inspections: Level 1 _____ Level 2 _____ Level 5 _____
<input type="checkbox"/> Unannounced terminal visit
<input type="checkbox"/> Other (please explain): _____

19 X **Safety Investigation:**

**Safety Audit:**

▪ SI Rating: X Satisfactory <input type="checkbox"/> Unsatisfactory <input type="checkbox"/> Conditional
▪ SA Rating: <input type="checkbox"/> Pass <input type="checkbox"/> Fail
▪ Number of vehicles operated: <u>1</u>
▪ Number of drivers operated: <u>1</u>
▪ Total miles for prior year: <u>6,100</u>
▪ Recordable accidents for prior year: <u>0</u>
▪ Accident Ratio: <u>0%</u>

20. X **Part B Violations:**

Part	Violations	Part	Violations	Part	Violations
382/40		383		387	
390		391	1	392	
395		396	1	397	

21. X **Vehicle Inspection Data:**

	MC	MB 1-15	MB 16+	SB 1-8	SB 9-15	SB 16+	VAN 1-8	VAN 9-15	TRK	TT	TRA
Inspections									1		
Defective Vehicles									1		
OOS Vehicles									0		
Level									5		

22. X **Vehicle Inspection Violations:**

	MC	MB 1-15	MB 16+	SB 1-8	SB 9-15	SB 16+	VAN 1-8	VAN 9-15	TRK	TT	TRA
Brakes											
Steering											
Lights									1		
Tires, wheels, rims											
Horn											
Windshield and Wipers											
Mirrors											
Emergency Equip, Exits											
Coupling Devices											
Frame											
Suspension											
Exhaust											
Other											
Comment:											

23.  **Driver Inspection Violations:**

Medical Card	Medical Waiver	Hours of Service	Drivers License
Comment:			

**24. Relevant Carrier History:**

This carrier is a provisional household goods company from the work plan. I conducted a compliance review and inspected the carrier's vehicle. The moving truck had one minor defect, an inoperable identification light. Mr. Worrell owner/operator stated he would repair the lamp and send in the inspection report to the WSP for compliance as soon as possible. The CR noted minor violations of the safety regulations pertaining to driver qualification files, and his periodic (annual) vehicle inspection was out of date. Mr. Worrell has failed to set up a complete driver file for himself as owner/operator. He stated he attended the commission's HHG training classes in Olympia during the summer of 2012. I reviewed the safety regulations with the carrier and provided the safety manual to the company.

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**25. Findings:**

The compliance review noted violations of part 391, driver qualification files, and part 396 vehicle maintenance, inspection and repair. Owner, Richard Worrell stated he would correct all noted deficiencies and send in the completed vehicle inspection report for compliance.  
At the end of this review the carrier received a satisfactory safety rating.

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**26. Recommended Action:**

- No further action.
- Notify the company in writing of the findings by providing a copy of the safety investigation, vehicle inspection report, safety audit or other similar document.
- Require the company to submit a compliance plan in response to the 15-day letter requirement.  
Recheck – Safety Investigation (Date: \_\_\_\_\_ )
- Revisit to recheck a specific issue (Date: \_\_\_\_\_ )
- Send the company a compliance letter. Require a response:  Yes  No
- Issue administrative penalties in the amount of \$ \_\_\_\_\_
- Issue a complaint.
- Stop company operations.

**27. Is this carrier considered a high risk carrier as a result of this activity?**

- Carrier accident ratio is higher than aggregate ratio.
- Carrier had an out-of-service ratio 25% or higher at the last vehicle inspection.
- Carrier had a defect ratio 75% or higher at the last vehicle inspection.
- Carrier received more than one conditional or unsatisfactory safety investigation rating in more than one of the last four safety investigations (or less than four if four are not completed).
- Other (please explain): \_\_\_\_\_

**28. Additional Comments:** I would recommend this company be forwarded to licensing services for consideration of issuance of a permanent household goods carrier permit.

Investigator's Signature: Alan Dickson

Initial Review By: [Signature] Date: 9/6/2013

Reviewer's Recommendation: I concur with recommendations to issue  
Permanent Authority

Final Review By: DPRATT Date: 9/9/13

Reviewer's Recommendation:

Agree with recommendations  
close & file.  
OK to issue from authority.  
Good job Alan!

OFFICE USE ONLY

Date Closed: 9/9/13 By: Mike Dobson

Company Name: A-AAA Reliable Movers

Assignment #: 113190

Staff Assigned:

*Hickson*



US DOT #  
2263477

Legal: RICHARD D WORRELL  
Operating (DBA): A-AAA RICH'S RELIABLE MOVERS

MC/MX #: State #: THG-64537 Federal Tax ID: [REDACTED]

Review Type: Compliance Review (CR)

Scope: Principal Office Location of Review/Audit: Company facility in the U. S. Territory:

Operation Types	Interstate	Intrastate		
Carrier:	N/A	Non-HM	Business:	Individual
Shipper:	N/A	N/A	Gross Revenue:	\$42,000.00 for year ending: 12/31/2012
Cargo Tank:	N/A			

**Company Physical Address:**

710 140th PI SW  
Lynnwood, WA 98087

Contact Name: Richard D Worrell  
Phone numbers: (1) 425 787-3444 (2) 425 409-4001 Fax  
E-Mail Address:

**Company Mailing Address:**

710 140th PI SW  
Lynnwood, WA 98087

**Carrier Classification**

Other: Prov HHG

**Cargo Classification**

General Freight Household Goods Other: Intra HHG

Does carrier transport placardable quantities of HM? No  
Is an HM Permit required? N/A

**Driver Information**

	Inter	Intra		
< 100 Miles:		1	Average trip leased drivers/month:	0
>= 100 Miles:			Total Drivers:	1
			CDL Drivers:	0

**Equipment**

	Owned	Term Leased	Trip Leased	Owned	Term Leased	Trip Leased
Truck	1	0	0			

Power units used in the U.S.: 1

Percentage of time used in the U.S.: 100





A-AAA RICH'S RELIABLE MOTOR CARRIERS (RICHARD D WORRELL dba)

U.S. DOT #: 2263477

State #: THG-64537

Review Date:

09/02/2013

**Part A**

QUESTIONS regarding this report or the Federal Motor Carrier Safety or Hazardous Materials rules may be addressed to the Office of Motor Carriers at:

WUTC  
1720 Ellis St. #200  
Bellingham, WA 98225

**This report will be used to assess your safety compliance.**

**Person(s) Interviewed**

**Name:** Richard D Worrell

**Title:** Owner/operator

**Name:**

**Title:**





**Part B Violations**

1 STATE	Primary: 391.11(b)(8) Secondary: 391.11(a) CFR Equivalent: 391.11(b)(8)	<b>Discovered</b> 1	<b>Checked</b> 1	<b>Drivers/Vehicles</b> In Violation	Checked 1
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**Description**  
 Using a driver who has not taken a road test or who has not been issued a certificate of driver's road test or presented an operators license, or certificate of road test which the motor carrier accepted as equivalent.

**Example**  
 Richard Worrell  
 7-10-13

2 STATE	Primary: 391.21(a) CFR Equivalent: 391.21(a)	<b>Discovered</b> 1	<b>Checked</b> 1	<b>Drivers/Vehicles</b> In Violation	Checked 1
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**Description**  
 Using a driver who has not completed and furnished an employment application.

**Example**  
 Richard Worrell  
 7-10-13

3 STATE	Primary: 391.25(c)(2) CFR Equivalent: 391.25(c)(2)	<b>Discovered</b> 1	<b>Checked</b> 1	<b>Drivers/Vehicles</b> In Violation	Checked 1
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**Description**  
 Failing to maintain record of annual review in driver's qualification file.

**Example**  
 Richard Worrell  
 7-10-13

4 STATE	Primary: 396.17(a) CFR Equivalent: 396.17(a)	<b>Discovered</b> 1	<b>Checked</b> 1	<b>Drivers/Vehicles</b> In Violation	Checked 1
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**Description**  
 Using a commercial motor vehicle not periodically inspected.

**Example**  
 1991 Intl, lic no. B03014T - Wa  
 7-10-13

(note: last documented annual vehicle inspection dated 5-17-12)

**Safety Fitness Rating Information:**

Total Miles Operated	6,100
Recordable Accidents	0
Recordable Accidents/Million Miles	0.00

	OOS Vehicle (CR): 0
	Number of Vehicle Inspected (CR): 1
	OOS Vehicle (MCMIS): 0
	Number of Vehicles Inspected (MCMIS): 0

our proposed safety rating is :

SATISFACTORY

Rating Factors		Acute	Critical
Factor 1:	S	0	0
Factor 2:	S	0	0
Factor 3:	S	0	0
Factor 4:	S	0	0
Factor 5:	N	0	0
Factor 6:	S	-	-





A-AAA RICH'S RELIABLE MOVERS (RICHARD D WORRELL dba)

U.S. DOT #: 2263477

State #: THG-64537

Review Date:

09/02/2013

### Part B Violations





A-AAA RICH'S RELIABLE MOVERS (RICHARD D WORRELL dba)

U.S. DOT #: 2263477

State #: THG-64537

Review Date:

09/02/2013

### Part B Requirements and/or Recommendations

1. Ensure that the persons or entities that perform preventative maintenance inspections on your equipment are abiding by agreed time or mileage intervals. Ensure that records are kept of such periodic preventative maintenance inspections. Take corrective action, if schedules are not being adhered to.
2. Ensure that all drivers are fully and properly qualified before operating in interstate commerce. Maintain a complete file as required for each driver, documenting the qualification process.
3. This review will result in a Safety Rating.
4. Establish a systematic maintenance records program for all vehicles. Maintain a complete file for each subject vehicle, recording all repair, maintenance and inspection operations performed.
5. Implementing SSB 5042 – First time paperwork violations by small businesses

#### New language for Part B Recommendations

"Under the Administrative Procedure Act (RCW 34.05) (Laws of 2009, ch. 358), the commission will waive any fines, civil penalties, or administrative sanctions for first-time paperwork violations by a small business, with certain exceptions. One of those exceptions provides that any violation of a substantially similar paperwork requirement (as described in Part B on this form) may result in the imposition of a fine, civil penalty or other administrative sanction. The company will not be entitled to a second waiver of penalties for "first-time" paperwork violations."





**A-AAA RICH'S RELIABLE MOVERS (RICHARD D WORRELL dba)**  
 U.S. DOT #: 2263477

State #: THG-64537

Review Date:  
 09/02/2013

**Part C**

**Reason for Review:** Compliance Review  
**Planned Action:** Compliance Monitoring

**Parts Reviewed Certification:**

325	382	383	387	390	391	392	393	395	396	397	398	399	171	172	173	177	178	180
			✓	✓	✓	✓	✓	✓	✓									

Prior Reviews      Prior Prosecutions

**Unsat/Unfit Information**

Is the motor carrier of passengers subject to the safety fitness procedures contained in 49 CFR part 385 subpart A, AND does it transport passengers in a commercial motor vehicle?

Does carrier transport placardable quantities of hazardous materials?

Unsat/Unfit rule: Not Applicable

**Corporate Contact:** Richard D Worrell  
**Corporate Contact Title:** Owner/operator

**Special Study Information:**

**Remarks:**

PART C Template:

REMARKS:

INVESTIGATIVE REPORT RECEIVED BY:

Name: Richard D. Worrell  
 Title: Owner/operator  
 Carrier Name: A-AAA Rich's Reliable Movers  
 Date: mailed to carrier via certified mailing

REASON FOR INVESTIGATION:

This review was conducted as a comprehensive compliance review for an provisional intrastate household goods moving company. This company has a valid USDOT number and obtained a temporary moving permit 2-12-2012. The carrier is required to have a satisfactory safety rating conducted prior to conversion of the provisional authority to a permanent household moving permit.

SCOPE OF INVESTIGATION:

The carrier was requested to produce the following information with at least 48 hours notice provided before this focused compliance investigation was scheduled:

- \* Financial responsibility
- \* Crash information
- \* Driver qualification files
- \* Hours of service records
- \* Inspection, repair and maintenance records including annual (periodic) inspections
- \* Controlled substance and alcohol testing records, if applicable
- \* Commercial driver's license information
- \* Hire dates for all drivers

A full compliance review was conducted due to the above requirements and the need for a current carrier review. The standardized sampling criterion was utilized in the inspection of driver's files, maintenance files, and the hours of service records.





A-AAA RICH'S RELIABLE MOVERS (RICHARD D WORRELL dba)

U.S. DOT #: 2263477

State #: THG-64537

Review Date:

09/02/2013

Part C

CARRIER OPERATION DESCRIPTION:

This new entrant provisional household goods carrier operates within Snohomish County with occasional moves to locations in nearby western Washington counties. The company does not operate in interstate commerce.

PRE-INVESTIGATION:

The company was provided two weeks to present records and did make available all current and existing records for inspection. The company is an intrastate provisional household goods carrier and is familiar with the safety regulations and was cooperative with this investigation. The carrier's federal information in database MCMIS was reviewed and studied prior to this review. The carrier does not have available any current status in the SMS data bases and no current vehicle inspections are on file. I checked the carrier's insurance certificate at his office and found proper coverages with dates and levels valid.

CDLIS (DRIVER LICENSE) CHECK:

I checked the driver's license through the state of Washington Dept. of Licensing and no discrepancy was noted.

DRIVERS WITH RED FLAG VIOLATIONS:

There were no Drivers with Red Flag Violations identified as needing an investigation. No further action required.

INVESTIGATION:

In conducting this compliance review I examined records pertaining to CFR 49, Parts 387, 390, 391, 392,393,395, and 396 with the following results:

CFR 49, Part 382 Controlled Substance & Alcohol Testing: This carrier operates one 26,000 GVWR vehicle that does not require a CDL class license and therefore is not subject to the drug and alcohol testing requirements.

Was a CONTROLLED SUBSTANCES AND ALCOHOL SUPPLEMENTAL REVIEW performed?

No, this was a comprehensive review that included controlled substance and alcohol review.

CFR 49, Part 383, Commercial Driver License: This carrier's driver is not required to have a a CDL. The driver's state driver's license was confirmed as valid through the Washington State Department of Licensing

CFR 49, Part 387, Financial Responsibility: This carrier is insured for \$750,000 total CSL through the Columbia Insurance Co./National Indemnity (NICO) on policy #71TRG006007-02. Mr. Worrell has his cargo through the same insurance company on the the same policy.

CFR 49, Part 391, Driver Qualifications: Driver qualification file was inspected for the owner/operator. Three paperwork violations were noted - the carrier does not have a complete application file for himself as owner/operator, and he failed to document the annual review of his driver record, and failed to conduct a road test for himself as owner/operator. Violation of 391.52(c)(2), 391.21(a), and 391.11(b)(8) are listed in Part B of this report.

Authentication of Medical Examiners Certificates: In accordance with FMCSA Memorandum MC-ECS-2012-004 medical examiners certificate for one driver was selected for validation check.

Driver Name: Richard D. Worrell

Date of birth: 12-24-1967

Driver license number:WORRERD335R4 - WA

ME's certificate and issuing state: 60193374/F0609435 - WA

Date of issuance of MEC: 8-27-13

Date and time contacted: 9-3-2013, 10:05 a.m.

Person contacted and position title: Michelle, receptionist

Results: MEC confirmed

CFR 49, Part 392, Driving of Commercial Motor Vehicles: No evidence of violation discovered.





A-AAA RICH'S RELIABLE MOVERS (RICHARD D WORRELL dba)

U.S. DOT #: 2263477

State #: THG-64537

Review Date:

09/02/2013

Part C

CFR 49, Part 393, Parts & Accessories: This carrier's moving truck was inspected during this review. The vehicle had inoperable identification lights and one clearance lamp. Mr. Worrell stated he would repair the inoperable lights and send in the completed driver/vehicle examination report to the WSP for compliance. The vehicle was issued a CVSA safety sticker.

CFR 49, Part 395, Driver Hours of Service: Hours of service records were selected and reviewed per eFOTM protocol with no violations noted. The carrier utilized daily time cards for his record keeping requirement under the short haul provision exemption as he operates a non-CDL vehicle within 150 air-mile radius.

CFR 49, Part 396, Inspection, Repair and Maintenance: This carrier owns and operates a non-CDL vehicle in intrastate operations only. The carrier does not have a current periodic (annual) inspection for the truck. This missing annual inspection report is listed as a violation of 396.17(a). The owner/operator's maintenance program was examined for inspection, repair and maintenance files and checked in compliance.

FOLLOW-ON ACTION:

Owner Richard Worrell stated he would update all driver's files as needed for compliance with future yearly requirements. He stated if the company does hire a driver for seasonal summer hauling needs all applications, records and files would be maintained prior to operations. He further stated he would obtain a copy of the certified annual vehicle inspection report recently completed at his contracted commercial repair shop for compliance with the regulations. No further action is deemed necessary.

DOCUMENTS PROVIDED TO CARRIER:

I provided a safety manual and reviewed the requirements and applicable forms to assist the company in setting up and maintaining records and files for compliance.

At the conclusion of this review the carrier received a satisfactory safety rating.

Upload Authorized:	Yes	<input checked="" type="radio"/> No
Authorized by:		Date: 9-3-13
Uploaded:	Yes	No Failure Code:
Verified by:		Date:



State #: THG-64537

**Driver Qualification Worksheet Violations**

**Worrell, Richard** Hire Date: 2/9/2012

Section	Description	Trip Date
391.11(b)(8)	No road test/certificate/class license	7/10/2013
	Comments:	
391.21(a)	Incomplete or no employment application	7/10/2013
	Comments:	
391.25(c)(2)	Failing to maintain record of annual review in DQ file	7/10/2013
	Comments:	





A-AAA RICH'S RELIABLE MOVERS (RICHARD D WORRELL dba)

U.S. DOT #: 2263477

State #: THG-64537

Review Date:

09/02/2013

### On Duty Hours and Violations

Date	Fed/State	Duty Hours	Totals		Hours Violations			No RODS	DVIR	False F&M	Logs
			7 Day	8 Day	10/11 Hr	14/15 Hr	7/8 Day				
<b>Richard Worrell</b>											
6/1/2013	State	0.00	0.00	0.00							
6/2/2013	State	0.00	0.00	0.00							
6/3/2013	State	3.50	3.50	3.50							
6/4/2013	State	0.00	3.50	3.50							
6/5/2013	State	0.00	3.50	3.50							
6/6/2013	State	0.00	3.50	3.50							
6/7/2013	State	0.00	3.50	3.50							
6/8/2013	State	0.00	3.50	3.50							
6/9/2013	State	0.00	3.50	3.50							
6/10/2013	State	0.00	0.00	3.50							
6/11/2013	State	0.00	0.00	0.00							
6/12/2013	State	0.00	0.00	0.00							
6/13/2013	State	0.00	0.00	0.00							
6/14/2013	State	0.00	0.00	0.00							
6/15/2013	State	4.50	4.50	4.50							
6/16/2013	State	0.00	4.50	4.50							
6/17/2013	State	0.00	4.50	4.50							
6/18/2013	State	3.50	8.00	8.00							
6/19/2013	State	0.00	8.00	8.00							
6/20/2013	State	0.00	8.00	8.00							
6/21/2013	State	0.00	8.00	8.00							
6/22/2013	State	0.00	3.50	8.00							
6/23/2013	State	0.00	3.50	3.50							
6/24/2013	State	0.00	3.50	3.50							
6/25/2013	State	0.00	0.00	3.50							
6/26/2013	State	3.00	3.00	3.00							
6/27/2013	State	3.50	6.50	6.50							
6/28/2013	State	9.00	15.50	15.50							
6/29/2013	State	0.00	15.50	15.50							
6/30/2013	State	0.00	15.50	15.50							

