

WASHINGTON UTILITIES AND TRANSPORTATION COMMISSION

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

**PENALTY ASSESSMENT: TE-180759
PENALTY AMOUNT: \$100**

Chariot Transit, Inc.
95 Minna Street
San Francisco, CA 94105

The Washington Utilities and Transportation Commission (Commission) believes that Chariot Transit, Inc. (Chariot Transit or Company) has committed a violation of Washington Administrative Code (WAC) 480-30-221 – Vehicle and Driver Safety Requirements, which adopts Title 49 Code of Federal Regulations (CFR) Part 393 – Parts and Accessories Necessary for Safe Operation.

Revised Code of Washington (RCW) 81.04.405 allows penalties of one hundred dollars for each violation. In the case of an ongoing violation, every day's continuance is considered a separate and distinct violation.

In August 2018, Commission Motor Carrier Investigator Wayne Gilbert completed a routine safety investigation of Chariot Transit and documented the following violation:

- **One violation of Title 49 CFR Part 393.62 – Emergency exits cannot be missing, inoperative, or obstructed.** Staff discovered the labeled emergency exit door was obstructed and inaccessible.

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

1. **How serious or harmful the violation is to the public.** The violation noted is serious and potentially harmful to the public. An emergency exit that is obstructed and/or inaccessible presents serious concerns for the safety of the vehicle occupants.
2. **Whether the violation is intentional.** Considerations include:
 - Whether the Company ignored Commission staff's previous technical assistance; and
 - Whether there is clear evidence through documentation or other means that shows the Company knew of and failed to correct the violation.

Chariot Transit is headquartered in San Francisco, California with an office in Seattle, WA. The Company has operated in the Seattle area since July 2017. The Commission granted operating authority to the Company on June 16, 2017. In its application for authority filed March 29, 2017, the Company acknowledged its responsibility to understand and comply with applicable state and federal safety requirements.

3. **Whether the company self-reported the violation.** The Company did not self-report the violation.
4. **Whether the company was cooperative and responsive.** The Company was cooperative throughout the entire investigation.
5. **Whether the company promptly corrected the violation and remedied the impacts.** The Company corrected the violation upon discovery.
6. **The number of violations.** Staff identified five violation types with 11 individual occurrences, one of which was an out-of-service violation.
7. **The number of customers affected.** The Company reported 34,381 miles traveled in Washington state in 2017. Each of the passengers transported by Chariot Transit were at risk due to this safety violation.
8. **The likelihood of recurrence.** The Commission does not know if Chariot Transit is likely to repeat this safety violation. The Company was cooperative with staff throughout the investigation process, expressed a desire to come into compliance, and corrected the violation immediately.
9. **The company's past performance regarding compliance, violations, and penalties.** The Company has had no previous penalties or violations of this type.
10. **The company's existing compliance program.** Mrs. Denise Betteridge, National Compliance Manager, is responsible for the Company's safety and compliance program.
11. **The size of the company.** Chariot Transit is a large company headquartered in San Francisco, California with an office in Seattle, Washington. In Washington the Company currently has 10 drivers and 47 commercial vehicles. The Company reported \$62,894 in gross revenue for 2017 in the state of Washington.

The Commission's Enforcement Policy provides that some Commission requirements are so fundamental to safe operations that the Commission will issue mandatory penalties for each occurrence of a first-time violation.¹ The Commission generally will assess penalties per type of violation, rather than per occurrence, for first-time violations of those critical regulations that do not meet the requirements for mandatory penalties. The Commission will assess penalties for any equipment violation meeting the Federal Motor Carrier Safety Administration's "out-of-service" criteria and also for repeat violations of critical regulations found in future compliance investigations, including each occurrence of a repeat violation.

¹ Docket A-120061 – Enforcement Policy of the Washington Utilities & Transportation Commission – Section V.

The Commission has considered these factors and determined that it should penalize Chariot Transit \$100 for one violation of WAC 480-30-221 Vehicle and Driver Safety Requirements, which adopts Title 49 CFR Part 393 calculated as follows:

- One violation of Title 49 CFR Part 393.62 – Emergency exits cannot be missing, inoperative, or obstructed. This is an out-of-service violation. The Commission assesses a penalty of \$100 for this violation.

This information, if proven at a hearing and not rebutted or explained, is sufficient to support the penalty assessment.

Your penalty is due and payable now. If you believe the violation did not occur, you may deny committing the violation and contest the penalty through evidence presented at a hearing or in writing. Or, if there is a reason for the violation 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 hearing only if material issues of law or fact require consideration of evidence and resolution in a hearing. Any request to contest the violation 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 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 his or her decision.

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

- Pay the amount due.
- Contest the occurrence of the violation.
- Request mitigation to contest the amount of the penalty.

Please indicate your selection on the enclosed form and submit it electronically through the Commission's web portal **within FIFTEEN (15) days** after you receive this notice. 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, Post Office Box 47250, Olympia, Washington 98504-7250.

If you do not act within 15 days, the Commission may take additional enforcement action, including but not necessarily limited to suspending or revoking your certificate to provide regulated service, assessing additional penalties, or referring this matter to the Office of the Attorney General for collection.

DATED at Olympia, Washington, and effective September 26, 2018.

/s/ Rayne Pearson
RAYNE PEARSON
Director, Administrative Law Division

WASHINGTON UTILITIES AND TRANSPORTATION COMMISSION
PENALTY ASSESSMENT TE-180759

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 \$100 in payment of the penalty.

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. **Application for 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 makes a materially false statement which he 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 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.”