HM DOCUMENTATION REQUIREMENTS

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Registration of persons who offer or transport hazmat ~ §107.601

The registration & fee requirements of this subpart apply to any person who offers for transportation, or transports, in foreign, interstate or intrastate commerce:

- (a) Any highway route-controlled quantity of Class 7 (Radioactive)
- (b) More than 55 lbs. Of Div. 1.1, 1.2 or 1.3
- (c) More than 1 liter (1.06 qts) per package of PIH, Zone A
- (d) A bulk packaging of Hazmat for liquids or gases having a capacity equal to or greater than 13,248 L (3,500 gals) or more than 13.24 cubic meters (468 cubic feet) for solids, or
- (e) A shipment in <u>other than</u> a bulk packaging of 2,268 kg (5000 lbs) gross wt. or more of one class of hazmat for which placarding is required for that class.
- (f) A quantity of hazmat that requires placarding, except farming operations.

Small business fee = \$275/yr Large business fee = \$1325/yr

Exceptions to Registering with DOT - §107.606

- An agency of the Federal Government
- An agency of the State
- An agency of a political subdivision of a State
- An employee of any of the agencies above
- A hazmat employee if the vehicle that transports hazmat is leased to a registered motor carrier under a 30-day or longer lease per 49 CFR Part 1057
- A person domiciled outside the U.S., who offers solely from a location outside the U.S., provided that country does not require those persons to register with DOT in the U.S.

A "person" means an individual, corporation, company, association, firm, partnership, society, joint stock company; or a government, Indian tribe, or authority of a government or tribe offering a hazardous material for transportation in commerce or transporting an HM to support a commercial enterprise. ~ §171.8

DOT Hazmat Registration Certificate

PHMSA Registration Desk (202) 366-4109 or 366-0461

You can also register with PHMSA via:

phmsa.dot.gov
Click – "HM Safety"
Click "How Do I
Register"

UNITED STATES OF AMERICA DEPARTMENT OF TRANSPORTATION PIPELINE AND HAZARDOUS MATERIALS SAFETY ADMINISTRATION



HAZARDOUS MATERIALS CERTIFICATE OF REGISTRATION FOR REGISTRATION YEAR(S) 2009-2010

Registrant: THE DOW CHEMICAL COMPANY

Attn: PHILIP STEWART 2020 DOW CENTER MIDLAND, MI 48674

This certifies that the registrant is registered with the U.S. Department of Transportation as required by 49 CFR Part 107, Subpart G.

This certificate is issued under the authority of 49 U.S.C. 5108. It is unlawful to alter or falsify this document

Reg. No: 060209 550 015R Issued: 03/09/2010 Expires: 06/30/2010

Record Keeping Requirements for the Registration Program

The following must be maintained at the principal place of business for a period of three years from the date of issuance of this Certificate of Registration:

- A copy of the registration statement filed with PHMSA; and
- (2) This Certificate of Registration

Each person subject to the registration requirement must furnish that person's Certificate of Registration (or a copy) and all other records and information pertaining to the information contained in the registration statement to an authorized representative or special agent of the U. S. Department of Transportation upon request.

Each motor carrier (private or for-hire) and each vessel operator subject to the registration requirement must keep a copy of the current Certificate of Registration or another document bearing the registration number identified as the "U.S. DOT Hazmat Reg. No." in each truck and truck tractor or vessel (trailers and semi-trailers not included) used to transport hazardous materials subject to the registration requirement. The Certificate of Registration or document bearing the registration number must be made available, upon request, to enforcement personnel.

For information, contact the Hazardous Materials Registration Manager, PHH-62, Pipeline and Hazardous Materials Safety Administration, U.S. Department of Transportation, 1200 New Jersey Avenue, SE, Washington, DC 20590, telephone (202) 366-4109.



Basic Description



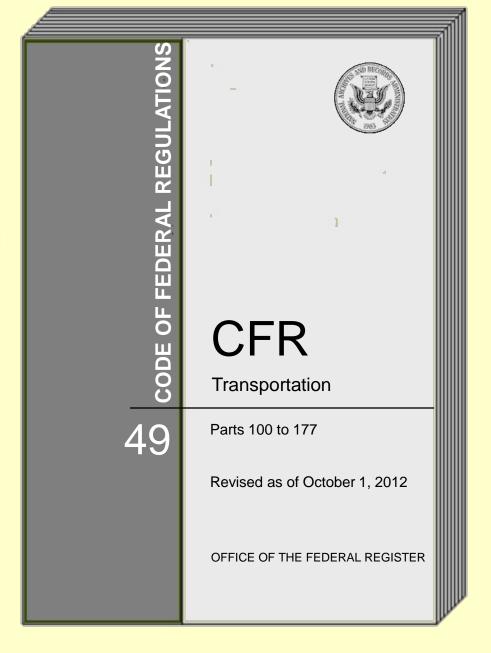
HM SHIPPING PAPERS

Hazardous Waste Manifest EMERGENCY RESPONSE INFORMATION





DOT Hazmat
Communication
Requirements
Shipping
Papers
Part 172 Subpart C



Shipping Papers General

Basic Description (in sequence)

- Identification Number
- Proper Shipping Name
- Hazard Class * or Division (if applicable)
- Packing Group (if applicable)

* The subsidiary hazard class <u>must</u> be shown in parentheses immediately following the primary class or division number. For domestic, the subsidiary hazard class <u>may</u> be shown following the basic description ~ §§172.202(a)(3)

Hazmat Shipping Paper Description Sequence

49 CFR – The basic description sequence became mandatory on 1-1-2013 (i.e., ID number, Proper Shipping Name, Hazard Class, Packing Group).

TDG (Canadian Regulations) - Section 3.5.7:

The Canadians have <u>not</u> yet adopted the international standard for shipping paper (documentation). The old sequence (i.e., **PSN**, Hazard Class, ID number, PG) remains in effect. Since, the Agreement of Reciprocity (§171.22) states that DOT will accept HM shipments from Canada that are in compliance with TDG (no limitation applicable), DOT is obligated to **accept the old description sequence** on Canadian shipments.



Canadian HM Shipping Paper Description Sequence

3.5 Information on a Shipping Document

- (1) The following information must be included on a shipping document:
- (a) the name and address of the place of business in Canada of the consignor;
- **(b)** the date the shipping document or an electronic copy of it was prepared or was first given to a carrier;
- (c) the description of each of the dangerous goods, in the following order:
- (i) the **shipping name** and, immediately after the shipping name unless it is already part of it,
- (A) for dangerous goods that are subject to special provision 16 in Schedule 2, the technical name, in parentheses, of the most dangerous substance related to the primary class, and
- (B) for a liquefied petroleum gas that has not been odorized, the words "Not Odorized" or "Not Odourized" or "Sans odorisant",
- (ii) the **primary class**, which may be shown as a number only or under the heading "Class" or "Classe" or following the word "Class" or "Classe", **SOR/2002-306**



Canadian HM Shipping Paper Description Sequence

- (iii) for dangerous goods with a primary class of Class 1, Explosives, the compatibility group letter following the primary class,
- (iv) the subsidiary class or classes, in parentheses, which may be shown as a number only or under the heading "subsidiary class" or "classe subsidiaire" or following the words "subsidiary class" or "classe subsidiaire", except that for transport by aircraft or by ship the subsidiary class or classes may be shown after the information required by this paragraph, SOR/2008-34
- (v) the **UN number**, and **SOR/2008-34**
- (vi) the packing group roman numeral, which may be shown under the heading "PG" or "GE" or following the letters "PG" or "GE" or the words "Packing Group" or "Groupe d'emballage"; SOR/2008-34

(vii) Repealed SOR/2008-34

GASOLINE, 3, UN1203, II

GASOLINE, Class 3, UN1203, PG II

ISOBUTYLAMINE, Class 3, Subsidiary Class (8), UN1214, II

ISOBUTYLAMINE, Class 3(8), UN1214, Packing Group II SOR/2008-34

(7) Despite subparagraph (1)(c)(v), the UN number required in the description of each of the dangerous goods <u>may</u> be included in the shipping document before the shipping name. *SOR/2005-216*

Shipping Paper General Entries

When the *Hazmat* shipment is described on the same shipping paper with <u>other</u> *Non-Hazardous* shipments:

- ✓ Must be entered first, or
- Must be entered in a color that clearly contrast with any Non-HM descriptions, or
- ✓ Must be identified by an "X" or an "RQ" (if appropriate) placed before the proper shipping name in a column captioned "HM"
- Printed in English
- ✓ No abbreviations or codes, unless authorized by the CFR
- May contain additional information providing the information is not inconsistent with the required description & must be placed after the basic description.



Examples

STRAIGHT BILL OF LADING - SHORT FORM

Original - Non Negotiable

Received, subject to the classifications and tariffs in effect on the date of issue

(Name of Carrier) East Texas Pacific R.R.				DATE:	July 4, 2012				
TO: Bubba's Sushi Bar & Bait Shop, Inc.				FROM	Exotic Fish &	Exotic Fish & Chemical Co.			
STREET 1 Possum Hollow Expressway				STREET 500 Chemical Row Dr.					
CITY	Cut & Shoot	STATE	TX	ZIP 77223	CITY	Delbert	STATE	TX	ZIP 76611
	DESCRIPTIONS OF ARTICLES								

DESCRIPTIONS OF ARTICLES							
Reporti ng Mark	No. Shippi ng Units	(X) HM	KIND OF PACKAGING, DESCRIPTION OF ARTICLES, SPECIAL MARKS & EXCEPTIONS	WEIGHT	FREIGHT CHARGES		
GATX 88744	1 T/C		UN 1090, Acetone, 3, PGII, RQ	100,000 lbs	PREPAID		
					COLLECT		
GATX 88744	1 T/C		UN 1090, Acetone, 3, PGII, RQ	100,000 lbs			
GATX 88744	1 T/C	X	UN 1090, Acetone, 3, PGII, RQ	100,000 lbs	Subject to Sec. the conditions		
					The carrier sh not make deliv		
GATX 88744	1 T/C	RQ	UN 1090, Acetone, 3, PGII, RQ		of this shipment without payment o freight		
ACFX 55621	1 T/C		Corn Syrup	90,000 lbs			
					COD AMT \$	_	

This is to certify that the above-named articles are properly classified, described, packaged, marked, and labeled, and are in proper condition for transportation according to the applicable regulations of the Department of Transportation.

SIGNATURE: Freddy Fender

DATE:

RECEIVED, subject to the classifications and tariffs in effect on the date of the issue of this Bill of Lading, the property described above in apparent good order, except as noted, marked, consigned and destined as indicated above which said carrier agrees to carry to its usual place of delivery at said destination.

EMERGENCY CONTACT: Chemtrec 1-800-4249300 (Exotic Fish & Chemical Co.)

Additional Description Requirements – 172.203

- ✓ "RESIDUE: Last Contained" (required for tank cars) see next slide
- ✓ "Waste" precedes PSN for Haz. Waste shipment see §172.101(c)(9).
- ✓ "RQ" Reportable Quantity of a Hazardous Substance
- ✓ "HOT" immediately precedes PSN for Elev. Temp. Material
- ✓ Technical names for certain "N.O.S." see §172.203(k)
- ✓ "Poison-Inhalation Hazard" & "Zone *" see §172.203(m)
 (The word Toxic & Poison are interchangeable!)
- ✓ "Marine Pollutant" in parentheses see §172.203 (I)
- ✓ DOT Special Permit Number see §172.203(a)
- ✓ "Limited Quantity" or "Ltd Qty"
- ✓ "DOT 113 Do Not hump or cut off car in motion" see §172.203(g)(2)

Question? For residue HM shipments transported in the U.S., where may the notation "**RESIDUE**: **Last contained**" be placed in the shipping description - <u>required</u> for residue tank car shipments — 172.203(e)(2)?

Per HM-218G, the residue notation may be placed either:

Effective: May 10, 2013

✓ Before the basic description:

RESIDUE: Last contained / UN1978 / Propane / 2.1

✓ After the basic description:

UN1978 / Propane / 2.1 / RESIDUE: Last contained

✓ Preceding the proper shipping name:

UN1978 / RESIDUE: Last contained Propane / 2.1

Note: The term "**Empty Uncleaned**" may be substituted for residue HM shipments transported by <u>vessel</u> under the IMDG Code – 171.22

Additional Shipping Paper Description Requirements



The word "Non-odorized or Not-odorized" must be included in association with the proper shipping description on a shipping paper when non-odorized LPG is offered for transportation. - §172.203(p)

Bill of Lading Example

UN1075 / Petroleum gases, liquefied / 2.1 / Non-odorized

Shipper's Certification



- Required on a shipping paper offered by the shipper for all "loaded" shipments & residue shipments other than tank cars! - §172.204(a)
- May be signed manually or by mechanical means!
- Not required for: §172.204(b)(2)
 - Residue shipments of tank cars
 - ✓ Cleaned & purged tanks
- For transportation by rail, the signature on EDI transaction sets must be one of the following: name of principal person, partner, officer or employee of the offeror or his agent.

Option 1: This is to certify that the above-named materials are properly classified, described, packaged, marked and labeled, and are in proper condition for transportation according to the applicable regulations of the Department of Transportation.

Option 2: I hereby declare that the contents of this consignment are fully and accurately described above by the proper shipping name, and are classified, packaged, marked and labeled/placarded, and are in all respects in proper condition for transport according to applicable international and national governmental regulations.

International Shipments - Certification

The shipper, directly or through the forwarding agent at the place of entry, <u>must</u> provide the initial U.S. carrier with the **shipper's certification** required in §172.204 of this subchapter, unless the shipment is otherwise excepted from the certification requirement. $\sim §171.22(f)(2)$



Question? Who is the "initial U.S. carrier" – the steamship company or the railroad?



Emergency ResponseInformation

- Made immediately available to responders!
- Entered on the shipping paper, or
- In a document, other than a shipping paper (e.g. MSDS), or
- Cross reference with acceptable emergency response material (e.g. ERG, IMO, AAR, etc)
- Maintained at the facility & immediately accessible
- In the possession of transporters!



Subpart G



Emergency Response Telephone Number



- Entered on the Shipping Paper!
- ✓ Monitored at all times during transportation!
- Responsible & knowledgeable party with detailed information!
- ✓ Shipper may use contractors/service providers that are capable & accept responsibility
- ✓ If the shipper uses an emergency response service provider, the contracting <u>person</u> (by <u>name</u> or <u>contract number</u>) must be entered on the shipping paper §172.201(d)
- ✓ Both Shipper & Carrier are responsible!

Emergency Response Information

- ✓ Emergency Response telephone # outside the U.S. are authorized providing the international access code is provided in a manner needed to complete the call.
- ✓ The name of the offeror is <u>not</u> required to be listed in association with the ER number providing the offeror's name is clearly listed elsewhere on the shipping paper.
- ✓ When the ER number is that of a 3rd party, the shipper who registered with the 3rd party must be identified by placing its name or the contract number in association with the ER number.
- ✓ Freight forwarders are also responsible for ensuring that the ER number is linked to the shipper who registered with the 3rd party.
- ✓ The requirement does <u>not</u> apply to <u>fumigated</u> nonhazmat shipments (e.g., furniture, logs, grain, etc)



Hazardous Waste Shipments

No person may offer, transport, transfer, or deliver a hazardous waste unless an EPA Form 8700-22 & 8700-22A (when necessary) hazardous waste manifest is prepared in accordance with 40 CFR 262.20 & is signed, carried, and given as required of that person by this section. • §172.205 (a)

Rail transporters must ensure that a **shipping paper** containing all the information required on the manifest (excluding the EPA identification numbers, generator certification & signatures) accompanies the hazardous waste at all times. - §172.205 (f)(2)

The person delivering a hazardous waste to an initial rail carrier shall send a copy of the manifest, dated & signed by a representative of the rail carrier, to the person representing the designated facility. • §172.205 (g)

A hazardous waste manifest required by 40 CFR part 262, containing all of the information required by this subpart, may be used as the shipping paper required by this subpart. - §172.205 (h)



Hazardous Waste Shipments

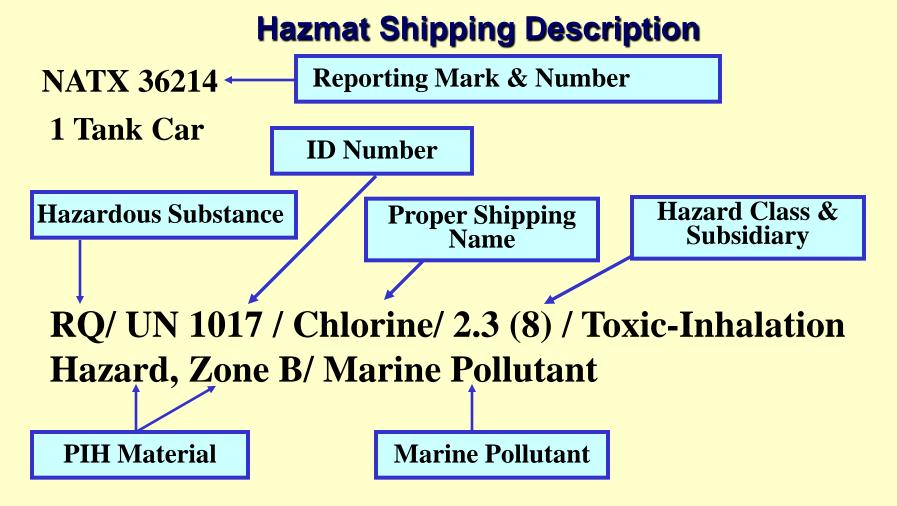
Residue of Hazardous Waste in Empty Containers

With some exceptions, <u>residue</u> hazardous waste containers are <u>NOT</u> subject to EPA regulations, but may be subject to DOT requirements!

These exceptions in 40 CFR 261.7 are:

- ✓ 1 inch (2.5 centimeters) or more of residue remains in the container, or
- **3% or more** by weight of total capacity of the container, if the container is <110 gals in size (Ex: 100 gals capy = 900 lbs X 3% = 27 lbs)
- ✓ .3% or more by weight of total capacity of the container, if the container is >110 gals in size (Ex: 20,000 gals capy = 160,000 lbs X .3% = 498 lbs)
- ✓ A compressed gas container is considered empty when the pressure in the container approaches atmospheric

EPA requires that a Hazardous Waste Manifest be offered for any container that does **NOT** meet the minimum residue requirements per 40 CFR 261.7 !!



EMERGENCY CONTACT: (800) 424-9300 (Contract # 12345)

This is to certify that the above-named materials are properly classified, described, packaged, marked and labeled, and are in proper condition for transportation according to the applicable regulations of the Department of Transportation.

Elmer Judd

STCC Codes

Standard Transportation Commodity Codes



- Utilized in the RAIL industry
- Not regulated by DOT!
- 7 digit code
 - 49 ***** denotes Hazmat shipment
 - 48 ***** denotes a Hazardous Waste shipment

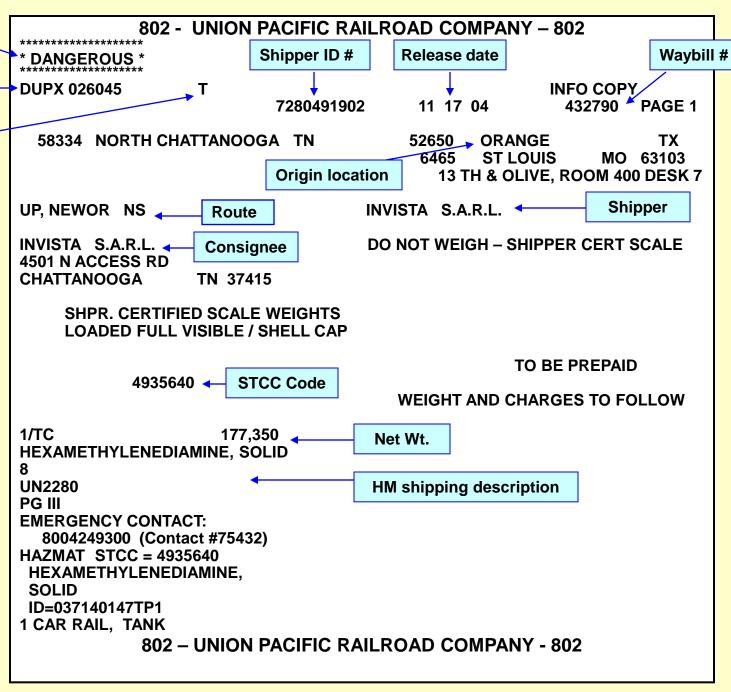
Dangerous Endorsement (not required by DOT)

Car initial & no

Equip. Type

Carrier Waybill





Retention Requirements for Hazmat Shipping Papers

§172.201 (e)

Shipping Papers (Shipper & Carrier) =

2 years after the exact date the document is accepted by the initial carrier.

Hazardous Waste Manifest (Generator & Carrier) =

3 years after the material is accepted by the initial carrier.





in Rail Transportation

Electronic Shipping Papers

- 172.201(a)(5)

- The carrier may prepare the shipping paper on behalf of the offeror; however the offeror must receive a copy of the shipping paper from the carrier.
- If the carrier generates a <u>residue</u> shipping paper from information received from the loaded movement, the description must comply with the offeror's request.
- The carrier & offeror must have a <u>procedure</u> by which the offeror can **verify the accuracy** of the information.

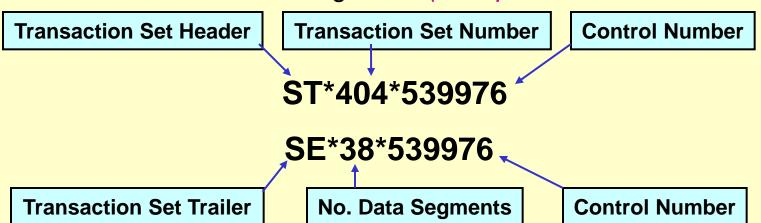
EDI Format Basics

A Transaction Set equates to a paper document !

ST to <u>start</u> the Transaction Set & SE to <u>end</u>

Most common Transaction Sets used to transport Hazmat by rail:

- 404 Rail Carrier Shipment Information (Bill of Lading)
- **417** Rail Carrier Waybill Interchange (Waybill)
- 418 Rail Advance Interchange Consist (Delivery between rail carriers)
- **824** Application Advice (Acknowledgement notice, including an explanation for a rejection)
- 997 Functional Acknowledgement (Acceptance notice electronic receipt)

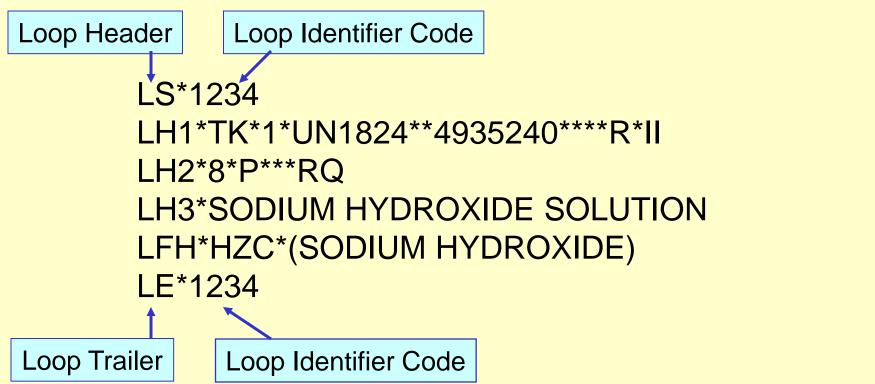


Within the Transaction Set are **Data Segments** (lines of information)

EDI Format Basics

Some data segments assume special relationships with other segments & are referred to as "Loops".

- Loops can be either mandatory or optional. If an optional loop is used, then the first segment becomes mandatory.
- Loop headers (start) begin with "LS".
- Loop trailers (end) begin with "LE".
- Hazardous materials shipping descriptions are transmitted using LH loops.



Transaction Set 404

Rail Carrier Shipment Information

The initial tender of a shipment between the shipper (offeror) & a rail carrier. Used as a legal bill of lading or notification of equipment release.

Transaction Set 404 Message - Sample

GS*SR*OCC346*CSXT*20030105*1010*42083*X*004030

ST*404*420830001

BX*00*R*PP**CSXT*L*B

BNX*S**S

M3*R*20030105*1010

N9*BM*39225702**20030105*1010

N9*PO*2003-35

N7*HOKX*132048*180000*N*******RR

F9*ROSEPORT*MN

D9**PASADENA*TX

N1*SH*OCCIDENTAL CHEMICAL CORP.

N3*4600 HWY 421 NORTH

N4*ROSEPORT*MN*16694

N1*CN*SIMPSON PAPER CO.

N3*P.O. BOX 936

N4*PASADENA*TX*77501

R2*CSXT*S*STL

R2*UP*1

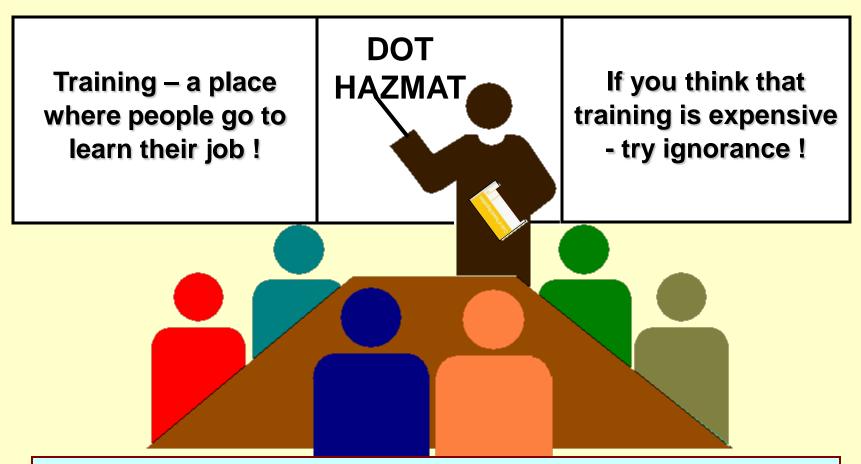
Transaction Set 404 Message – cont.

```
LS*0410
LX*1
L5*1*CHLORINE GAS, TANKCAR*4920523*T
LO*1*****1*CLD
LE*0410
LS*0600
LH1*TK*1*UN1017*4920523
LH2*2.3*P***RQ
LH2*8*S
LH3*CHLORINE*D
LFH*PIH*(CHLORINE)**B
LFH*MPI*MARINE POLLUTANT*(CHLORINE)
LHR*HE*7616
PER*HM*CHEMTREC*TE*8004249300
LE*0600
LH6*DAVID WEBB
SE*34*420830001
GE*1*42083
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DOT Hazmat Training

Part 172 Subpart H



Good training is not to teach people facts, not to reform them, or to attempt to make experts of them - it is to supply them with the tools they need to think straight and make good decisions!

Hazmat Employer must:

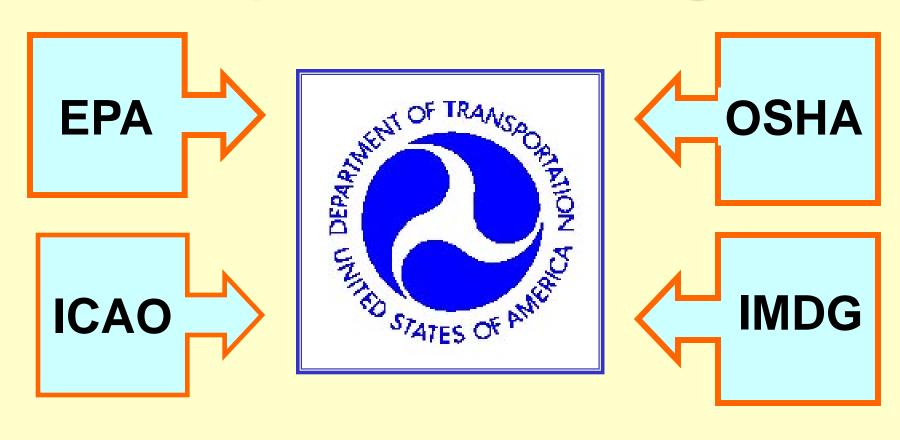


- Provide HM training
- ✓ Test HM employees
- Certify that HM employees have been trained & tested
- Develop & maintain DOT hazmat records

See §171.8 for definition of a Hazmat Employer



Duplicate Training Duplicate Training



Recurrent DOT Training

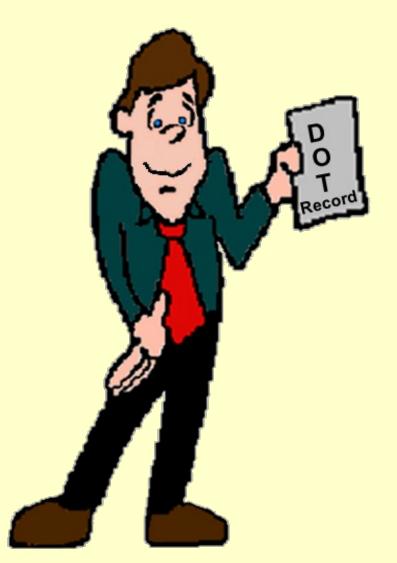
 Hazmat employees are required to receive DOT hazmat training at least once every:

3 Years

- If the training in the 4 required areas (Gen.
 Awareness, Function-Specific, Safety, Security
 Awareness) are completed on separate dates, then
 each area of training would have a separate
 anniversary date.
- If the training is provided in segments on separate dates, then the "completion date of the training" is determined by the employer based on the <u>last date</u> of the segmented training that satisfies the minimum DOT training requirements.

Recordkeeping





- 1. Hazmat employee's name
- 2. Most recent training completion date
- 3. A copy, description or location of the training materials
- 4. Name & address of the trainer(s)
- 5. Certification that the hazmat employee has been trained & tested

Certification of DOT Hazmat Training



- DOT requires that a hazmat employer must "certify" that the hazmat employee has been trained & tested per DOT requirements.
- A "Certification" is a formal assertion, in writing, that the employee has been <u>trained</u>
 <u>tested</u> per DOT requirements.
- A single certification may be maintained on record that identifies the employees that were trained & tested.



DOT Hazmat Training

Birdsong Enterprises, Inc.

	Training Completion Date							
Name of Employee	Gen. Awareness	Function- Specific	Safety Training	Security Awareness				
Billy Bob Birdsong, Sr	7-1-12	6-22-11	2-10-12	3-25-11				
Billy Bob Birdsong II	7-7-12	8-12-11	4-10-12	3-25-11				
Billy Bob Birdsong III	7-7-12	8-12-11	4-10-12	3-25-11				

I certify that the above named hazmat employees have been trained & tested per 49 CFR Part 172 Subpart H.

Belinda B. Birdsong

(Certification Signature)

Ona Ornsby, 600 Chipmunk Circle, Shrub, TX 72663

(Name & Address of Trainer(s))

Training Room, Main Office Bldg., Birdsong Enterprises, Inc.

(Location of Training Materials)

rson who

any that primary to see that ployees are TC (a) offers n to instruct nts & esponsibility for ipment as to - § 173.1 (b)



