Hazardous Materials Incident Reporting

Hazmat Seminar
Gary Flores, HM Inspector
Reporting Requirements are found in the following areas:

- 49 C.F.R. 171.15
- 49 C.F.R. 171.16
- 49 C.F.R. 225
Reporting Railroad Incidents

Immediate Notification Continued

(No later than 12 hours after the occurrence of an incident)

National Response Center
(800) 424-8802 or (800) 424-0201

Types of accidents / incidents and other events to be reported:

✔ Train accidents or Incidents that require Immediate notification:
- Train accident that involves serious injury of 2 or more train crew members or passengers requiring hospitalization.
- Train accident that result in the evacuation of a passenger train.
- A fatality resulting from a railroad / highway grade crossing when death occurs within 24 hours of the incident.
- A train accident resulting in damage (based on preliminary gross estimates) of $150,000.00 or more to railroad and or non-railroad property.
- A train accident resulting in damage of $25,000.00 or more to a passenger train, including railroad and non-railroad property.
Each person in **physical possession** of a hazardous material at the time an incident occurs during transportation (including loading, unloading and temporary storage) must submit a Hazardous Materials Incident Report on DOT Form F5800.1 **within 30 days of discovery** of the incident.

**Includes:**

1. Any incident requiring an “immediate notification” to DOT.
2. An unintentional release of hazmat or the discharge of any quantity of a hazardous waste.
3. An “undeclared” hazardous material is discovered (any quantity).
4. A cargo tank (highway) with a capacity >1000 gals suffers structural damage.

Records maintained for 2 years
Exceptions to Written Detailed DOT Form F5800.1 Reporting

Except for incidents requiring immediate notification, the following types of incidents do not require a detailed written report (F5800.1):

- A minimal release from a vent; routine operation of a seal, pump, compressor or valve; connecting or disconnecting from a loading/unloading line that does not result in property damage. (Per PHMSA, a minimal release is a pint or less)

- Minimal unintentional releases of ORM-D or PG III material in Class 3, 4, 5, 6.1, 8 or 9, if each package < 5.2 gals (20 L) for liquids or < 66 lbs. (30 kg) for solids & the aggregate release is < 5.2 gals (liquid) or < 66 lbs (solid).

- The exception does not apply to a hazardous waste, undeclared HM or shipments by air.
### DOT F 5800.1 Form

#### Report Type

1. This is to report:
   - [ ] A hazardous material incident
   - [ ] An undelivered shipment with no release
   - [ ] A specific cargo tank 1,000 gallons or greater containing any hazardous material that:
     1. Is received structural damage to the tank\n     2. Is received structural damage to the tank\n     3. Is received structural damage to the tank

2. Indicate whether this is:
   - [ ] An initial report
   - [ ] A supplemental (follow-up) report
   - [ ] Additional Pages

#### General Incident Information

3. Date of Incident:

4. Time of Incident (use 24-hour time):

5. Enter National Response Center Report Number if applicable:

6. If you submitted a report to another Federal DOT agency, enter the agency and report number:

7. Location of Incident:
   - City:
   - County:
   - State:
   - ZIP Code (if known):

8. Mode of Transportation:
   - Air
   - Highway
   - Rail
   - Water

9. Transportation Phase:
   - In Transit
   - Loading
   - Unloading
   - In Transit Storage

10. Carrier/Reporter:
    - Name
    - Street
    - City
    - State
    - ZIP Code

11. Shipper/Officer:
    - Name
    - Street
    - City
    - State
    - ZIP Code

12. Origin:
    - Street
    - City
    - State
    - ZIP Code

13. Destination:
    - Street
    - City
    - State
    - ZIP Code

14. Proper Shipping Name of Hazardous Material:

15. Technical/Trade Name:

16. Hazardous Class/Division:
    - [ ] Division
    - [ ] Division

17. Identification Number:
    - [ ] Identification Number:
    - [ ] Identification Number

18. Packing Group:
   - [ ] (If applicable)

19. Quantity Released:
    - [ ] (Include Measurement Units)

20. Was the material shipped as a hazardous waste?  [ ] Yes  [ ] No

21. Is this a toxic by inhalation (THI) material?  [ ] Yes  [ ] No

22. Was the material shipped under an Exception, Approval, or Competent Authority Certificate?  [ ] Yes  [ ] No

23. Was this an undelivered hazardous materials shipment?  [ ] Yes  [ ] No

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**DOT F 5800.1 Form**

- What Failed
- How Failed
- Cause of Failure

### PART III - PACKAGING INFORMATION

24. Check Packaging Type (check only one - if more than one, list type of packaging, copy Part III, and complete for each type):

- Non-bulk
- IBC
- Cargo tank Motor Vehicle (CTMV)
- Tank Car
- Cylinder
- PORTABLE TANK
- Other

25. See instructions and enter the appropriate failure codes found at the end of the instructions. Be sure to enter the codes from the list that corresponds to the particular packaging type checked above. Enter the number of codes as appropriate to describe the incident. Enter the most important failure point in line 1. If there are more than two failure points, provide this format in part VI.

<table>
<thead>
<tr>
<th>1. What Failed</th>
<th>How Failed</th>
<th>Causes of Failure</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

26a. Provide the packaging identification markings, if available.

Identification Markings:

(Examples: 1A1Y14/1592025/USA363/RL, UGT11/104892/USA/M329/108000/1200, DOT - 105A - 105B (RAIL), DOT 406 (HIGHWAY), DOT 51, DOT 3A)

26b. For non-bulk, IBC, or non-specific packaging, if identification markings are incomplete unavailable, see instructions and complete the following:

<table>
<thead>
<tr>
<th>Single Package or Outer Packaging</th>
<th>Single Package or Inner Packaging (if any):</th>
</tr>
</thead>
<tbody>
<tr>
<td>Packaging Type:</td>
<td>Packaging Type:</td>
</tr>
<tr>
<td>Material of Construction:</td>
<td>Material of Construction:</td>
</tr>
<tr>
<td>Head Type (Drums only):</td>
<td>Removeable Non-Removable</td>
</tr>
<tr>
<td>Service Pressure:</td>
<td></td>
</tr>
<tr>
<td>Shell Thickness:</td>
<td></td>
</tr>
<tr>
<td>Head Thickness:</td>
<td></td>
</tr>
<tr>
<td>Type:</td>
<td></td>
</tr>
<tr>
<td>Manufacturer:</td>
<td></td>
</tr>
<tr>
<td>Material of Construction:</td>
<td></td>
</tr>
<tr>
<td>Last Test Date:</td>
<td></td>
</tr>
<tr>
<td>Material of Construction:</td>
<td></td>
</tr>
<tr>
<td>Type:</td>
<td></td>
</tr>
<tr>
<td>Manufacturer:</td>
<td></td>
</tr>
<tr>
<td>Material of Construction:</td>
<td></td>
</tr>
<tr>
<td>Model:</td>
<td></td>
</tr>
</tbody>
</table>

27. Describe the package capacity and the quantity:

<table>
<thead>
<tr>
<th>Single Package or Inner Packaging</th>
<th>Single Package or Inner Packaging (if any):</th>
</tr>
</thead>
<tbody>
<tr>
<td>Package Capacity:</td>
<td>Package Capacity:</td>
</tr>
<tr>
<td>Amount In Package:</td>
<td>Amount In Package:</td>
</tr>
<tr>
<td>Number in Shipment:</td>
<td>Number in Shipment:</td>
</tr>
</tbody>
</table>

28. Provide packaging construction and test information, as appropriate:

<table>
<thead>
<tr>
<th>Single Package or Inner Packaging</th>
<th>Single Package or Inner Packaging (if any):</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manufacturer:</td>
<td></td>
</tr>
<tr>
<td>Material of Construction:</td>
<td></td>
</tr>
<tr>
<td>Type:</td>
<td></td>
</tr>
<tr>
<td>Model:</td>
<td></td>
</tr>
</tbody>
</table>

29. If the packaging is for Radioactive Materials, complete the following:

<table>
<thead>
<tr>
<th>Packaging Category:</th>
<th>Package Category:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Type A</td>
</tr>
<tr>
<td></td>
<td>Type B</td>
</tr>
<tr>
<td></td>
<td>Type C</td>
</tr>
<tr>
<td></td>
<td>Excepted</td>
</tr>
<tr>
<td></td>
<td>Industrial</td>
</tr>
</tbody>
</table>

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## Packaging Information

- **Type**
- **Car Number**
- **Specification**
Consequences

- Damages $$$
- Fatalities
- Injuries
- Evacuations

Disregard Part V
PART VI - DESCRIPTION OF EVENTS & PACKAGE FAILURE

Describe the sequence of events that led to the incident and the actions taken at the time it was discovered. Describe the package failure, including the size and location of holes, cracks, etc. Photographs and diagrams should be submitted if needed for clarification. Estimate the duration of the release, if possible. Describe what was done to mitigate the effects of the release. Continue on additional sheets if necessary.

PART VII - RECOMMENDATIONS/ACTIONS TAKEN TO PREVENT RECURRENCE

Where you are able to do so, suggest or describe changes (such as additional training, use of better packaging, or improved operating procedures) to help prevent recurrence. Provide recommendations for improvement to hazardous materials transportation beyond the control of your individual company. Continue on additional sheets if necessary.

PART VIII - CONTACT INFORMATION

Contact’s Name (Type or Print):
Contact’s Title:
Business Name and Address:
E-mail Address:
Preparer:
Telephone Number:
Fax Number:
Hazard Registration Number (if not already provided):
License:
Carrier ☐ Shipper ☐ Facility ☐ Other ☐

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Form DOT F 5800.1 (01-2004)
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Updating the F5800.1 Incident Report
§171.16(c)

A Hazardous Materials Incident Report must be updated within one year of the date of occurrence of the incident whenever:

1. Death results from injury caused by a hazardous material.
2. There was misidentification of the hazardous material or package information on a prior incident report.
3. Damage, loss or related cost that was not known when the initial incident report was filed becomes known; or
4. Damage, loss or related cost changes by $25,000 or more, or 10% of the prior total estimate, whichever is greater.

Failure to file an F5800.1 report with DOT = $4000.00 penalty guideline – App. B to Part 209

Failure to provide immediate notice of certain HM incidents = $6000.00 penalty guideline – App. B to Part 209
Do you know the difference between Special Permits & Approvals?
Quick Review:

Where are the reporting requirements found?
- 49 C.F.R. 171.15
- 49 C.F.R. 171.16
- 49 C.F.R. 225.09

What form is used to give written notification?
- DOT 5800.1
Four most common errors on a DOT 5800.1 Report are:

1. Mode Of Transportation
2. Package Type
3. Car Number
4. Specification
Reporting Hazmat Incidents
Immediate Notification

(No later than 12 hours after the occurrence of an incident)

National Response Center
(800) 424-8802 or (202) 267-2675

As a direct result of hazmat:
✓ A person is killed or,
✓ Injury requiring hospitalization
✓ Evacuation lasting > 1 hr.
✓ Major artery or facility closed > 1 hr.
✓ Radioactive contamination
✓ Etiologic contamination
✓ Release of a Marine Pollutant > 119 gals (liquid) or 882 lbs. (solid)
Reporting Railroad Incidents
Immediate Notification
(No later than 12 hours after the occurrence of an incident)

National Response Center
(800) 424-8802 or (800) 424-0201

Types of accidents / incidents and other events to be reported:

✓ Certain deaths or Injuries:
- Death of a rail passenger or a railroad employee
- Death of an employee of a contractor performing work for the railroad on railroad property.
- Death or Injury of 5 or more persons.

✓ Train accidents on or fouling passenger service mainlines
- That involves a collision or derailment on a mainline that is used for scheduled passenger service.
- That at fouls the main line used for scheduled passenger service

§225.9
Questions on reporting hazmat incidents?