

SPECIAL PERMITS – CHECKLIST

FOR NEW APPLICATIONS AND APPLICATIONS FOR MODIFICATION

(Revised as of March 9, 2012)

| | SPECIAL PERMITS REQUIREMENTS FOR NEW AND MOD APPLICATIONS | Details Needed | Provided |
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| 107.105(a) | Each application for a special permit or modification of a special permit and all supporting documents must be written in English and submitted for timely consideration at least 120 days before the requested effective date and conform to the following requirements | Requested Effective Date | <input type="checkbox"/> |
| (a)(1) | <p>The application, including a table of contents, must:</p> <p>(i) Be submitted to the Associate Administrator for Hazardous Materials Safety (Attention: General Approvals and Permits, PHH-31), Pipeline and Hazardous Materials Safety Administration, U.S. Department of Transportation, East Building, 1200 New Jersey Avenue, SE., Washington, DC 20590-0001;</p> <p>(ii) Be submitted with any attached supporting documentation by facsimile (fax) to: (202) 366-3753 or (202) 366-3308;</p> <p>(iii) Be submitted electronically by e-mail to: <i>Specialpermits@dot.gov</i> ; or</p> <p>(iv) Be submitted using PHMSA's online system (table of contents omitted) at: http://www.phmsa.dot.gov/hazmat/reqs/spa-a.</p> | Table of Contents | <input type="checkbox"/> |
| (a)(2) | The application must state the name, mailing address, physical address(es) of all known locations where the special permit would be used, e-mail address (if available), and telephone number of the applicant. If the applicant is not an individual, the application must state the company name, mailing address, physical address(es) of all known locations where the special permit would be used, e-mail address (if available), and telephone number of an individual designated as the point of contact for the applicant for all purposes related to the application, the name of the company Chief Executive Officer (CEO) or president; and the Dun and Bradstreet Data Universal Numbering System (D-U-N-S) identifier. | Applicant Name Address Street Address Mailing E-Mail Address Phone Number Agent Name Address Street Address Mailing E-Mail Address Phone Number CEO, President or ranking officer Dunn and Bradstreet # Physical address(es) associated with special permit use | <input type="checkbox"/> <input type="checkbox"/> |



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| (a)(3) | If the applicant is not a resident of the United States, in addition to the information listed in paragraph (a)(2) of this section, the application must identify and designate an agent that is a permanent resident of the United States for service in accordance with §105.40 of this part. | Agent identified if applicable | <input type="checkbox"/> |
| (a)(4) | For a manufacturing special permit, in addition to the information listed in paragraph (a)(2) of this section, the application must state the name and street address of each of the facilities of the applicant where manufacturing under the special permit will occur, and the symbol of the packaging manufacturer ("M" number), if applicable. | Facility Name | <input type="checkbox"/> |
| | | Address Street | <input type="checkbox"/> |
| | | "M" Number if applicable. | <input type="checkbox"/> |
| (a)(5) | For persons required to be registered in accordance with Subpart F or G of this part, in addition to the information listed in paragraph (a)(2) of this section, the application must provide the registration number or the name of the company to which the registration number is assigned if different from the applicant. For persons not required to be registered in accordance with Subpart F or G of this part, in addition to the information listed in paragraph (a)(2) of this section, the application must provide a statement indicating that registration is not required. | Registration Number Name if registered (name is different from the applicant). If not registered a statement registration is not required. | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| (b) | <i>Confidential treatment.</i> To request confidential treatment for information contained in the application, the applicant must comply with §105.30(a). | Confidential treatment if applicable | <input type="checkbox"/> |
| (c) | <i>Description of special permit proposal.</i> The application must include the following information that is relevant to the special permit proposal: | | <input type="checkbox"/> |
| (c)(1) | A citation of the specific regulation from which the applicant seeks relief; | Regulations Cite | <input type="checkbox"/> |
| (c)(2) | The proposed mode or modes of transportation, including a description of all operational controls required; | Mode | <input type="checkbox"/> |
| | | Operational Controls (if required) | <input type="checkbox"/> |
| (c)(3) | A detailed description of the proposed special permit (e.g., alternative packaging, test, procedure, activity, or hazard communication, including marking and labeling requirements) including, as appropriate, written descriptions, drawings, flow charts, plans and other supporting documents; | Detailed description | <input type="checkbox"/> |
| (c)(4) | A specification of the proposed duration or schedule of events for which the special permit is sought; | Requested Duration | <input type="checkbox"/> |
| (c)(5) | A statement outlining the applicant's basis for seeking relief from compliance with the specified regulations and, if the special permit is requested for a fixed period, a description of how compliance will be achieved at the end of that period. For transportation by air, a statement outlining the reason(s) the hazardous material is being transported by air if other modes are available; | Basis for relief | <input type="checkbox"/> |
| | | If for a fixed period, how will compliance be achieved? | <input type="checkbox"/> |
| | | Statement for why air is needed. | <input type="checkbox"/> |
| (c)(6) | If the applicant seeks emergency processing specified in §105.117, a statement of supporting facts and reasons; (MUST be processed by Mode first) | Yes/No | <input type="checkbox"/> |
| | | Fact | <input type="checkbox"/> |
| | | Reasons | <input type="checkbox"/> |
| (c)(7) | Identification and description, including an estimated quantity of each shipment of the hazardous materials planned for transportation under the special permit or; | PSN | <input type="checkbox"/> |
| | | UN Number | <input type="checkbox"/> |
| | | Hazard Class | <input type="checkbox"/> |



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| | | Packing Group | <input type="checkbox"/> |
| | | Estimate Quantity | <input type="checkbox"/> |
| (c)(8) | Description of each packaging, including specification or special permit number, as applicable, to be used in conjunction with the requested special permit; | Package Description | <input type="checkbox"/> |
| | | Specification | <input type="checkbox"/> |
| | | Standard | <input type="checkbox"/> |
| | | Special Permit | <input type="checkbox"/> |
| | | Other as appropriate | <input type="checkbox"/> |
| (c)(9) | For alternative packagings, documentation of quality assurance controls, package design, manufacture, performance test criteria, in-service performance and service-life limitations; | QA Controls Package | <input type="checkbox"/> |
| | | Design Package | <input type="checkbox"/> |
| | | Manufacturing | <input type="checkbox"/> |
| | | Performance Testing Criteria | <input type="checkbox"/> |
| | | In-service performance | <input type="checkbox"/> |
| | | Service Life Limitations | <input type="checkbox"/> |
| (c)(10) | An estimate of the number of operations expected to be conducted or number of shipments to be transported under the special permit | Number of operations or shipments | <input type="checkbox"/> |
| (c)(11) | An estimate of the number of packagings expected to be manufactured under the special permit, if applicable; | Number of Packagings manufactured | <input type="checkbox"/> |
| (c)(12) | A statement as to whether the special permit being sought is related to a compliance review, inspection activity, or enforcement action; and | Related to inspection or compliance review | <input type="checkbox"/> |
| (c)(13) | When a Class 1 material is forbidden for transportation by aircraft except under a special permit (see Columns 9A and 9B in the table in 49 CFR 172.101), a certification from an applicant for a special permit to transport such Class 1 material on passenger-carrying or cargo-only aircraft with a maximum certificated takeoff weight of less than 12,500 pounds that no person within the categories listed in 18 U.S.C. 842(i) will participate in the transportation of the Class 1 material. | Certification: Yes/No | <input type="checkbox"/> |
| (c)(14) | A statement indicating whether the applicant will be acting as a shipper (offeror), carrier or both under the terms of the special permit. | Shipper/Carrier Status | <input type="checkbox"/> |
| (d) | <i>Justification of special permit proposal.</i> The application must demonstrate that a special permit achieves a level of safety at least equal to that required by regulation, or if a required safety level does not exist, is consistent with the public interest. At a minimum, the application must provide the following: | Identify Level of Safety Required by Regulations, or | <input type="checkbox"/> |
| | | Consistent with public Interest | <input type="checkbox"/> |
| (d)(1) | Information describing all relevant shipping and incident experience of which the applicant is aware that relates to the application; and | Shipping Experience | <input type="checkbox"/> |
| | | Incident Experience | <input type="checkbox"/> |
| (d)(2) | A statement identifying any increased risk to safety or property that may result if the special permit is granted, and a description of the measures to be taken to address that risk; and | Identification of Increased Risk | <input type="checkbox"/> |
| | | Mitigation Factors | <input type="checkbox"/> |



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| (d)(3)(i) | Either: Substantiation, with applicable analyses, data or test results (e.g., failure mode and effect analysis), that the proposed alternative will achieve a level of safety that is at least equal to that required by the regulation from which the special permit is sought; or | Analysis | <input type="checkbox"/> |
| | | Data Test Results | <input type="checkbox"/> |
| | | Identification of Hazard | <input type="checkbox"/> |
| (d)(3)(ii) | If the regulations do not establish a level of safety, an analysis that identifies each hazard, potential failure mode and the probability of its occurrence, and how the risks associated with each hazard and failure mode are controlled for the duration of an activity or life-cycle of a packaging. | Failure Mode | <input type="checkbox"/> |
| | | Probability | <input type="checkbox"/> |
| | | | <input type="checkbox"/> |
| | | Risk Mitigation | <input type="checkbox"/> |

Not to be used as an application