



U.S. Department
of Transportation

Pipeline and Hazardous
Materials Safety Administration

East Building, PHH – 25
1200 New Jersey Avenue, Southeast
Washington, D.C. 20590

APPROVAL CA2003040001

(Rev. 3)

ISSUED BY THE COMPETENT AUTHORITY OF THE UNITED STATES

EXPIRATION DATE: November 29, 2027

1. **APPROVAL HOLDER:** Hartford Steam Boiler
Inspection/Insurance Co. (HSB)
One State Street
P.O. Box 299
Hartford, CT 06141 United States
2. **REGULATORY AUTHORITY:** 49 CFR § 107.402
3. **SYNOPSIS: DESIGNATION AS APPROVAL OR CERTIFICATION AGENCY**
Hartford Steam Boiler Inspection/Insurance Co. (HSB) is hereby granted approval as a Designated Approval Agency (DAA) by the United States Department of Transportation (US DOT) and is assigned identification number: **IA-9601**, for new manufacture and periodic testing of **UN portable tanks**. As well as periodic testing and inspections of **existing Department of Transportation (DOT) Specification IM 101 and IM 102 Intermodal (IM) Portable Tanks (PT)**. DOT Specification 51, IM101, or IM102 portable tanks may not be manufactured after January 1, 2003.
4. **BASIS:** This approval is issued in response to Hartford Steam boiler Inspection/Insurance Co.'s application dated October 1, 2021 requesting to renew their competent authority approval to be a Designated Approval Agency (DAA) in order to conduct approval and certification inspections on **UN Portable Tanks and existing IM 101, IM 102 PT Tanks** under 49 CFR Sections 178.273, 178.74, subpart G of part 180 and Part 6.7 of the IMDG Code. Any violation of the provisions below may result in the suspension or termination of your approval authority as a designated approval agency.
5. **PERIOD OF VALIDITY AND CONDITIONS OF APPROVAL:** This approval shall remain valid until the posted expiration

date or until terminated by the Associate Administrator for Hazardous Materials Safety. This approval does not provide relief from any requirements of the Hazardous Materials Regulations except as expressly stated herein and is subject to the following conditions and limitations:

- a. Hartford Steam Boiler Inspection/Insurance Co. (HSB) must mark its approval number **on all UN Portable Tanks/IM 101, IM 102, portable tanks** which it approves and certifies.
- b. When the approval holder performs a function required by 49 CFR, Parts 100-180, or the requirements of Part 6.7 of the IMDG Code, to be performed by an approval agency, that function must be performed in accordance with the applicable regulations.
- c. This approval does not provide relief from any requirements of 49 CFR Part 107 or the Hazardous Materials Regulations, Parts 171-180, except as expressly stated herein.
- d. This approval is valid until the posted expiration date or until terminated by the Associate Administrator for Hazardous Materials Safety. The approval holder is subject to DOT onsite inspections of the approval holder's facility, including all records, and pertinent qualifications of inspectors, in order to verify the company's continued ability to perform the functions covered under the terms and provisions of this approval as well as compliance with applicable regulatory requirements. Such inspections will include on-site visits at respective customer locations.
- e. The Approval Holder must mark its issued identification code on packages and test reports as outlined within the Hazardous Materials Regulations.
- f. The Approval Holder shall be independent from the package manufacturer, owner or distributor (§ 107.402(f)). No applicant for approval as a DAA may be engaged in the manufacture, maintenance, inspection or requalification of UN portable tanks and MEGC's for use in the transportation of hazardous materials, or be directly or indirectly controlled by, or have a financial involvement

with, any entity that manufactures, performs maintenance, inspection or requalification of authorized packagings for use in the transportation of hazardous materials, except for providing inspection and verification services as an Designated Approval Agency.

- g. The DAA who also performs repairs on UN portable tanks/MEGC's/portable tanks shall select a different DOT-approved DAA to certify its repairs, **(i.e., the DAA performing repairs shall not perform such repairs and self-certify such repairs; the repair must be certified by a different DAA with a different inspection code.)**
- h. Shall maintain copies of all documents required under each DOT specification or UN Standard and provide such documentation to any DOT representative upon request. Documents may include, engineering evaluations, approved calculations, test reports, certifications and documents deemed necessary by the Agency.
- i. The Approval Holder must maintain updated records of all contractors by name and address, names of authorized inspectors with current contact information, and addresses where work is being performed. This information must be made available upon request by a PHMSA representative conforming to Appendix C of this current CA.
- j. DAA's who are not a resident of the United States must comply with the designated agency for U.S. Service requirements of 49 CFR § 105.40.
- k. Perform all required functions prior to the posted expiration date. If no functions were performed, a notification to this effect must also be submitted in the annual report to the Agency.

6. **GENERAL PROVISIONS:**

- a. A hard copy of this approval must be made available upon request where testing and inspections are conducted. This includes when a third party is performing inspections for the Approval Holder.
- b. All supporting documents and reports must be kept on file and made available to PHMSA representatives upon request.

- c. Records of hazardous materials training for all qualified personnel, who perform functions subject to the HMR, in accordance with §§ 172.704(d), must be kept on file and made available to DOT representatives upon request.
- d. All approved design calculations, drawings, test reports, and calibration documentations issued certificates and manufacturer's reports must be kept on file and made available to DOT representatives upon request.
- e. Any qualified inspectors from another approved DAA or other inspectors acting under contract under the authority of the Approval Holder listed above must be on file with PHMSA prior to marking or certifying packaging listed in paragraph 4.a. above. These individuals/companies must be listed as part of the original approval application or provided in the applicant's semi-annual report sent to PHMSA prior to conducting inspection activities. This information must be submitted to PHMSA via the approvals@dot.gov email address. The notification letter shall provide the inspector's name, DAA identification Code of the company to whom the individual is employed, name(s) and physical address where they perform such work and contact person(s) at such locations.
- f. Failure by any person to comply with the terms and conditions of this approval and the HMR, 49 C.F.R Parts 171-180, may result in the suspension or termination of that person's authority to use this approval. Failure to comply may also subject that person to penalties prescribed by 49 U.S.C. §§ 5123 and 5124. This approval may be modified, suspended or terminated in its entirety if that action is justified in light of changes in circumstances, including additional information not available when this approval was issued. Applicants shall be notified and provided the opportunity to show cause why the proposed action(s) should not be taken, unless immediate modification, suspension or termination is IAW 107.713(d).
- g. The Approval Holder must ensure that the qualifications of all personnel involved in the inspections and testing of IM 101, IM 102 and UN Portable Tanks conform to those prescribed in the personnel qualifications plan on file with the Office of Hazardous Materials Special Permits and Approvals.

- h. The Approval Holder must comply with the provisions of 49 CFR 107.404, conditions of designation.
- i. When the Approval Holder performs a function required by 49 CFR, Parts 100- 180 to be performed by an approval agency, that function must be performed in accordance with the applicable regulation(s).
- j. The approval holder is not authorized to perform certification duties as a Designated Approval Agency, on the packaging listed above, if that packaging is manufactured, repaired/rebuilt, or owned by the approval holder.
- k. Each inspector performing a function subject to this approval must receive training on the conditions and requirements of this approval in addition to receiving general awareness, function specific, safety and security awareness training as appropriate to their job function (See §§ 172.700 through 172.704). A hazmat employee who performs functions that may include, but are not limited to, preparation of packaging for testing, including assembly, filling, closure, verification or performance of tests, or report preparation shall have proper documentation of such training on file as required by the HMR.
- l. Renewal applications shall be submitted to approvals@dot.gov at least 60 days prior to the expiration date listed on the original approval (IAW 107.705(c)) to avoid expiration while the request is being reviewed by PHMSA. .
- m. The Approval Holder must include its issued DAA identification number on all correspondence submitted to PHMSA regarding this approval.

7. **SPECIAL PROVISIONS:**

- a. Each approval certificate issued by the holder of this approval must contain the name and identification code of the approval agency (as provided in paragraph 5.a), along with any information required by 49 CFR §§178.255-14, 178.255-15.

- b. In accordance with 49 CFR Section 173.32(c)(2), DOT Specification IM 101 and IM 102 portable tanks may not be manufactured after January 1, 2003. No approval and certification of new construction of DOT Specification IM 101 and IM 102 intermodal tanks is authorized under this approval after January 1, 2003.
- c. This approval applies only to UN Portable Tanks / IM101, IM102/DOT51/56/60.
- d. The DAA shall submit a semi-annual report summarizing its previous year's activities. The semi-annual report shall be in a legible format and submitted to PHMSA's Approvals and Permits Division at approvals@dot.gov. **The report shall cover activities from 01 January to 30 June and 01 July to December 31 of each reporting year.** The aforementioned report must be received by PHMSA's Approvals and Permits Division, submitted in accordance with 49 CFR 107.705, within 30 days after the end of the reporting period. PHMSA can terminate the DAA current approval if such report is not received within this time limit. The semi-annual report shall contain the following information:
 - 1. Period (e.g., from July 1, 2022 to December 31, 2022);
 - 2. Symbol issued;
 - 3. Certification Agency symbol;
 - 4. Name and physical address of the Approval Agency;
 - 5. Name and physical address of the party to whom the symbol is issued;
 - 6. The complete UN/DOT certification string of each package tested or "None" if a previously certified packaging fails retesting and the cause of the failure cannot be resolved (see Paragraph 6.i.);
 - 7. Whether the test is a design qualification or a periodic retest.
 - 8. Date certification was issued, or date of failed retesting (a previously certified packaging that fails retesting and the cause of the failure cannot

be resolved must be identified in the activity report [see Paragraph 6.i.)]; and

9. Whether the tested packaging is an alternative packaging or tested alternatively under a special permit or an approval.
 10. Reports must be presented in the form of an unprotected, electronic spreadsheet and submitted in accordance with § 107.705. If reports are sent via e-mail, the title of the e-mail must contain "Designated Certification Agency" and the approval number.
- e. To maintain your approval as a valid Designated Approval Agency under the provisions of Subpart E- Designation of Approval and Certification Agency, a statement of inactivity must be submitted when the DAA has not performed verification inspections within a six (6) month period. A statement of inactivity must be submitted in accordance with § 107.705. This information must contain "Designated Approval Agency", be submitted directly to ***approvals@dot.gov, and must reference your approval number and DAA identification code/number.***
 - f. Information shall be made available upon request no later than end of the next business day.
 - g. Equipment used for the testing and re-certification of packagings, each Designated Certification Agency must confirm by witnessing and/or verifying the location has a traceable calibration system that can be verified upon request by PHMSA. Instruments to be calibrated must include appropriate testing equipment for the certification being performed and must be capable of precision measurements such as torque wrenches, scales, temperature apparatus, pressure sensors, gauges, etc. Equipment must be calibrated at a minimum according to the manufacturer's recommendations or to the approval holder's internal quality system. The approval holder's internal quality system must be made available upon request of a DOT official.
 - h. Previously certified packaging that fails retesting, to which the cause of the failure cannot be resolved, the failure must be included in the annual activity report with a brief summary of such failure.

- i. Any reports revised after issuance must identify in detail the reason(s) for the revision(s), the revision version, and revision date. Reports issued under the terms of a prior approval, which are revised while the report is current, must be re-issued in accordance with the terms of the current approval.
- j. All test report pages must be consecutively numbered to reflect the total number of pages in the test report; pages may be manually numbered if illegible. Items required as part of the terms of this approval must be included in the test report.
- k. The approval holder may not certify a package unless all approval requirements listed above are satisfied.
- l. Failure to notify PHMSA as required by any terms of this approval may be considered grounds for suspension or termination of this approval.
- m. A current copy of this approval must be on file at the facility where testing is being conducted and available upon request of a representative of PHMSA. The approval application package and all supporting documents and reports must be kept on file and copies must be made available to PHMSA representatives upon request.
- n. The safety approval of cargo containers pursuant to 49 CFR, Parts 450-453 is under the Authority of the USCG and such packages shall meet the applicable requirements, which are not covered pursuant to this approval.
- o. A change of majority ownership of the approval holder resulting in a new entity voids the CA approval unless submitted and acknowledged in writing by PHMSA.

p. This approval, as revised, supersedes all previous versions.

Issued in Washington, D.C.

Dated: November 29, 2022

A handwritten signature in blue ink, reading "Susan M. Cassidy".

for William Schoonover
Associate Administrator for Hazardous Materials Safety

Address all inquiries to: Associate Administrator for Hazardous
Materials Safety, Pipeline and Hazardous Materials Safety
Administration, Department of Transportation, Washington, D.C.
20590. Attention: PHH-30.