

Hazardous materials BASIC

Table A-6. SMS Hazardous Materials Compliance BASIC Violations ¹						Table A-6. SMS Hazardous Materials Compliance BASIC Violations ¹
Section	Violation Description Shown on Driver/Vehicle Examination Report Given to CMV Driver after Roadside Inspection	Violation Group Description	Violation Severity Weight ²	Violation in the DSMS?	Comment	Section
171.12A ⁴	Violation of US requirements for Transport Canada TDG shipment	HM Other	2	N	Added in 3.11	171.12A ⁴
171.12AB ³	US requirements for TDG shipment	HM Other	2	N	Added in 3.0.9	171.12AB ³
171.12B ³	Failure to comply with US requirements for shipments from Mexico	HM Other	2	N	Added in 3.0.9	171.12B ³
171.2(a)	Failure to comply with Hazardous Materials regulations	HM Other	2	Y		171.2(a)
171.2(b)	Failure to comply with the requirements for HM transportation (including labeling and handling)	HM Other	2	Y		171.2(b)
171.2(c) ⁵	Failing to comply with Hazardous Materials regulations when offering hazardous materials for transportation	Markings - HM	5	N	Updated description in 3.11	171.2(c) ⁵
171.2(f)	Transporting Hazardous Materials not in accordance with this part	Package Integrity - HM	8	Y		171.2(f)
171.2(g) ⁵	Cargo tank (packaging) does not comply with Hazardous Materials Regulations	Package Integrity - HM	8	N	Updated description in 3.11	171.2(g) ⁵
171.2(k)	Representing vehicle with Hazardous Materials with none present	Markings - HM	5	Y		171.2(k)
171.23	US Requirements for IMDG shipment.	HM Other	2	N	Added in 3.0.4	171.23
171.26	US Requirements for IAEA shipments	HM Other	2	N	Added in 3.0.4	171.26
172.200(a)	No shipping paper provided by offeror	Documentation - HM	3	N		172.200(a)
172.201(a)(1)	Hazardous Materials not distinguished from non-Hazardous Materials	Documentation - HM	3	N		172.201(a)(1)
172.201(a)(2)	Hazardous Materials description not printed legibly in English	Documentation - HM	3	N		172.201(a)(2)
172.201(a)(3)	Hazardous Materials description contains abbreviation or code	Documentation - HM	3	N		172.201(a)(3)
172.201(a)(4)	Additional information not after Hazardous Materials basic description	Documentation - HM	3	N		172.201(a)(4)
172.201(c)	Failure to list page number of pages	Documentation - HM	3	N		172.201(c)
172.201(d)	ER phone number not in compliance with Subpart G	Documentation - HM	3	N	Updated description in 3.0.9	172.201(d)
172.202(a)(1)	No or improper Identification Number	Documentation - HM	3	N		172.202(a)(1)
172.202(a)(2)	No or improper Shipping Name	Documentation - HM	3	N		172.202(a)(2)
172.202(a)(3)	No or improper Hazard Class or Division number.	Documentation - HM	3	N		172.202(a)(3)
172.202(a)(4)	No or improper Packing Group listed	Documentation - HM	3	N		172.202(a)(4)
172.202(a)(5)	No or improper Total Quantity listed	Documentation - HM	3	N		172.202(a)(5)
172.202(b)	Basic description not in proper sequence	Documentation - HM	3	N		172.202(b)
172.202(c) ⁵	Total quantity improper location	Documentation - HM	3	N	Updated description in 3.11	172.202(c) ⁵
172.202(e)	Non Hazardous Material entered with class or ID#	Documentation - HM	3	N		172.202(e)
172.203(a)	"DOT-SP" or special permit number not entered on shipping paper	Documentation - HM	3	N	Updated description in 3.0.9	172.203(a)
172.203(b)	Limited quantity not shown	Documentation - HM	3	N		172.203(b)
172.203(c)(1)	Hazardous substance entry missing	Documentation - HM	3	N		172.203(c)(1)
172.203(c)(2)	RQ not on shipping paper	Documentation - HM	3	N		172.203(c)(2)
172.203(d)(1)	Radionuclide name not on shipping paper	Documentation - HM	3	N		172.203(d)(1)
172.203(d)(10)	No indication for Highway Route Controlled Quantity of Class 7 "HRCQ" on shipping paper	Documentation - HM	3	N		172.203(d)(10)
172.203(d)(2)	No RAM physical or chemical form	Documentation - HM	3	N		172.203(d)(2)
172.203(d)(3)	No RAM activity	Documentation - HM	3	N		172.203(d)(3)

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172.203(d)(4)	No RAM label category	Documentation - HM	3	N		172.203(d)(4)
172.203(d)(5)	No RAM transport index	Documentation - HM	3	N		172.203(d)(5)
172.203(d)(6)	No fissile radioactive entry	Documentation - HM	3	N		172.203(d)(6)
172.203(d)(7)	No DOE/NRC package approval notation	Documentation - HM	3	N		172.203(d)(7)
172.203(d)(8)	Export package or foreign made package not marked with IAEA Certificate	Documentation - HM	3	N		172.203(d)(8)
172.203(d)(9)	No Exclusive Use notation	Documentation - HM	3	N		172.203(d)(9)
172.203(h)(1) ⁵	No "0.2 PERCENT WATER" for anhydrous ammonia or missing "NOT FOR Q and T Tanks"	Documentation - HM	3	N	Updated description in 3.11	172.203(h)(1) ⁵
172.203(h)(2) ⁵	No "CORROSIVE/NONCORROSIVE" for Liquefied Petroleum Gas or missing "NOT FOR Q and T Tanks"	Documentation - HM	3	N	Updated description in 3.11	172.203(h)(2) ⁵
172.203(k) ⁵	No technical name for n.o.s. entry	Documentation - HM	3	N	Updated description in 3.11	172.203(k) ⁵
172.203L	No "Marine Pollutant" entry	Documentation - HM	3	N	Added in 3.0.4	172.203L
172.203(m)	No Poison Inhalation Hazard and / or Hazard Zone	Documentation - HM	3	N		172.203(m)
172.203(n)	No "HOT" on shipping paper	Documentation - HM	3	N	Updated description in 3.0.9	172.203(n)
172.203(o) ⁵	No temperature controls noted for Class 4.1 or Class 5.2	Documentation - HM	3	N	Updated description in 3.11	172.203(o) ⁵
172.203P	No "Non-odorized" entry for LPG	Documentation - HM	3	N	Added in 3.0.4	172.203P
172.205	Hazardous waste manifest not as required	Documentation - HM	3	N		172.205
172.301	Non-bulk package marking - general	Markings - HM	5	N		172.301
172.301(a)	No proper shipping name and/or ID# marking on non-bulk package	Markings - HM	5	N		172.301(a)
172.301(a)(1)	No proper shipping name and/or ID# marking on non-bulk	Markings - HM	5	N		172.301(a)(1)
172.301A1-SZ	Non-bulk package marking is incorrect size	Documentation - HM	3	N	Added in 3.0.4	172.301A1-SZ
172.301(b)	No technical name on non-bulk	Documentation - HM	3	N		172.301(b)
172.301(c)	No special permit number on non-bulk package	Documentation - HM	3	N		172.301(c)
172.301(d)	No consignee/consignor on non-bulk	Documentation - HM	3	N		172.301(d)
172.301F	No "Non-odorized" entry for LPG cylinders	Documentation - HM	3	N	Added in 3.0.4	172.301F
172.302	Marking requirements bulk packagings	Markings - HM	5	N		172.302
172.302(a)	No ID# on a Bulk Packaging	Markings - HM	5	Y	Updated description in 3.0.9	172.302(a)
172.302(b)	Bulk package marking incorrect size	Markings - HM	5	N		172.302(b)
172.302(c)	No special permit number on bulk package	Documentation - HM	3	N		172.302(c)
172.303(a)	Prohibited HM marking on package	Markings - HM	5	N		172.303(a)
172.304(a)(1)	Package marking not durable, english or print	Markings - HM	5	N		172.304(a)(1)
172.304(a)(2)	Marking not on sharply contrasting color	Markings - HM	5	N		172.304(a)(2)
172.304(a)(3)	Marking obscured by label or attachments	Markings - HM	5	N		172.304(a)(3)
172.304(a)(4)	Marking not away from other marking	Markings - HM	5	N		172.304(a)(4)
172.308(a)	Package marked with unauthorized abbreviation	Markings - HM	5	N		172.308(a)
172.310(a)	No gross weight on radioactive materials package greater than 50 KG	Markings - HM	5	N		172.310(a)
172.310(b)	Radioactive materials package not marked "Type A or B"	Markings - HM	5	N		172.310(b)
172.310C ^[3]	Type B, B(U), B(M) package not marked with radiation symbol	Markings - HM	5	N	Added in 3.0.9	172.310C ^[3]
172.310D ⁴	Type B, B(U), B(H) package not marked with radiation symbol	Markings - HM	5	N	Added in 3.11	172.310D ⁴
172.312(a)(2)	No package orientation arrows	Cargo Protection - HM	4	N		172.312(a)(2)

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172.312(b)	Prohibited use of orientation arrows	Cargo Protection - HM	4	N		172.312(b)
172.313(a)	No "Inhalation Hazard" on package	Markings - HM	5	N	Updated description in 3.0.9	172.313(a)
172.313(b)	No "Poison" on non-bulk plastic package	Markings - HM	5	N	Updated description in 3.0.9	172.313(b)
172.316(a)	ORM non-bulk package not marked	Markings - HM	5	N		172.316(a)
172.320(a)	Class 1 package not marked with ex-number	Markings - HM	5	N		172.320(a)
172.322(b)	No MARPOL marking on bulk packaging	Markings - HM	5	N		172.322(b)
172.324	Non-bulk hazardous substance not marked	Markings - HM	5	N		172.324
172.325	No "hot" marking for bulk elevated temperature	Markings - HM	5	N		172.325
172.325(a)	Elevated temperature material not marked "Hot"	Markings - HM	5	N		172.325(a)
172.325(b)	Improperly marked molten aluminum or molten sulfur	Markings - HM	5	N		172.325(b)
172.326(a)	Portable tank not marked with proper shipping name or ID#	Markings - HM	5	N		172.326(a)
172.326(b)	Portable tank not marked with owner or lessee name	Markings - HM	5	N		172.326(b)
172.326(c)(1)	No ID# marking on vehicle carrying portable tank	Markings - HM	5	N		172.326(c)(1)
172.326(c)(2)	Shipper failed to provide ID# to carrier	Markings - HM	5	N		172.326(c)(2)
172.326D ^[3]	No NON-ODORIZED entry for LPG Portable Tanks	Documentation - HM	3	N	Added in 3.0.9	172.326D ^[3]
172.328(a)	Shipper failed to provide or affix ID# for cargo tank	Markings - HM	5	N		172.328(a)
172.328(b)	Cargo tank not marked with proper shipping name for gases	Markings - HM	5	N		172.328(b)
172.328(c)	Not marked with "QT" or "NQT" on MC330 or MC331 cargo tank	Markings - HM	5	N		172.328(c)
172.328(d) ⁵	Fail to mark manual remote shutoff device with "Emergency Shutoff"	Markings - HM	5	N	Updated description in 3.11	172.328(d) ⁵
172.328E ^[3]	Fail to mark "Non Odorized LPG" on cargo tank	Documentation - HM	3	N	Added in 3.0.9	172.328E ^[3]
172.330(a)(2) ⁵	Tank car tank (ton cylinder) not marked as required	Markings - HM	5	N	Updated description in 3.11	172.330(a)(2) ⁵
172.330(b)	Motor vehicle with tank not marked	Markings - HM	5	N		172.330(b)
172.330C ^[3]	No NON-ODORIZED entry for LPG on tank cars	Documentation - HM	3	N	Added in 3.0.9	172.330C ^[3]
172.331	Markings for other bulk packages	Markings - HM	5	N		172.331
172.331A	Offeror fail to provide ID Numbers to motor carrier for other bulk packages	Markings - HM	5	N	Added in 3.0.4	172.331A
172.331B	Offeror fail to affix ID Numbers on other bulk packages	Markings - HM	5	N	Added in 3.0.4	172.331B
172.331C	Transport other bulk packages without proper ID Numbers	Markings - HM	5	N	Added in 3.0.4	172.331C
172.332	Required ID markings displayed	Markings - HM	5	N		172.332
172.332A	Failure to display ID Numbers when required	Markings - HM	5	N	Added in 3.0.4	172.332A
172.332B	Orange panel does not meet specifications	Markings - HM	5	N	Added in 3.0.4	172.332B
172.332C	ID Number on placard does not meet specifications	Markings - HM	5	N	Added in 3.0.4	172.332C
172.334	Prohibited ID number marking	Markings - HM	5	N		172.334
172.334(a) ⁵	ID Number display prohibited on Class 7, Class 1, Dangerous, or Subsidiary placard	Markings - HM	5	N	Updated description in 3.11	172.334(a) ⁵
172.336(b)	ID Numbers not properly displayed other than on placards	Markings - HM	5	N		172.336(b)
172.336C	Failing to display ID numbers according to provisions in table of 172.336(c)	Markings - HM	5	N	Added in 3.0.4	172.336C
172.338	Carrier failed to replace missing ID number	Markings - HM	5	N		172.338
172.400(a)	Package or containment device not labeled as required	Markings - HM	5	Y		172.400(a)
172.401	Prohibited labeling	Markings - HM	5	N		172.401
172.402(a)	No label for subsidiary hazard	Markings - HM	5	N		172.402(a)
172.402(b)	Display of class number on label	Markings - HM	5	N		172.402(b)
172.402(d)	Subsidiary labeling for RAM	Markings - HM	5	N		172.402(d)
172.402(e)	Subsidiary labeling for class 1 (explosive) materials	Markings - HM	5	N		172.402(e)
172.402F	Subsidiary labeling for Division 2.2 materials	Markings - HM	5	N	Added in 3.0.4	172.402F
172.403(a)	No RAM label	Markings - HM	5	N		172.403(a)
172.403B	Wrong category RAM label	Markings - HM	5	N	Added in 3.0.4	172.403B
172.403E	Failing to have complete information on Fissile label	Markings - HM	5	N	Added in 3.0.4	172.403E

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172.403(f)	RAM package 2 labels on opposite sides	Markings - HM	5	N		172.403(f)
172.403(g)	Failed to label RAM properly	Markings - HM	5	N		172.403(g)
172.403(g)(2)	Class 7 label : no activity or activity not in SI units	Markings - HM	5	N		172.403(g)(2)
172.403H	RAM label overpack requirements	Markings - HM	5	N	Added in 3.0.4	172.403H
172.404(a)	Mixed package not properly labeled	Markings - HM	5	N		172.404(a)
172.404(b)	Failed to properly label consolidated package	Markings - HM	5	N		172.404(b)
172.406(a)(1)	Label placement not as required	Markings - HM	5	N		172.406(a)(1)
172.406(c)	Multiple label placement not as required	Markings - HM	5	N		172.406(c)
172.406(d)	Label not on contrasting background or no border	Markings - HM	5	N		172.406(d)
172.406(e)	Failed to display duplicate label as required	Markings - HM	5	N		172.406(e)
172.406(f)	Label obscured by marking or attachment	Markings - HM	5	N		172.406(f)
172.502(a)(1)	Prohibited placarding	Markings - HM	5	N		172.502(a)(1)
172.502(a)(2)	Sign or device could be confused with HM placard	Markings - HM	5	N		172.502(a)(2)
172.504(a)	Vehicle not placarded as required	Markings - HM	5	Y		172.504(a)
172.504(b)	Dangerous placard violation	Markings - HM	5	N		172.504(b)
172.505(a)	Not placarded for subsidiary poison inhalation hazard	Markings - HM	5	N		172.505(a)
172.505(b)	Not placarded for subsidiary corrosive	Markings - HM	5	N		172.505(b)
172.505(c)	Not placarded for subsidiary dangerous when wet	Markings - HM	5	N		172.505(c)
172.506(a)	Offeror failed to provide placards	Markings - HM	5	N		172.506(a)
172.506(a)(1)	Placards not affixed to vehicle	Markings - HM	5	Y		172.506(a)(1)
172.507	Not placarded for RAM highway route controlled quantity	Markings - HM	5	N		172.507
172.512(a)	Freight container not placarded	Markings - HM	5	N		172.512(a)
172.514(a)	Offering a bulk package that is not properly placarded	Markings - HM	5	N		172.514(a)
172.514(b)	Bulk package with residue of HM not properly placarded	Markings - HM	5	N		172.514(b)
172.516(a)	Placard not visible from direction it faces	Markings - HM	5	Y		172.516(a)
172.516(c)(1)	Placard not securely affixed or attached	Markings - HM	5	Y		172.516(c)(1)
172.516(c)(2)	Placard not clear of appurtenance	Markings - HM	5	Y		172.516(c)(2)
172.516(c)(4) ⁵	Placard not located at least 3 inches away from advertising that could reduce its effectiveness.	Markings - HM	5	Y	Updated description in 3.11	172.516(c)(4) ⁵
172.516(c)(5)	Placard not reading horizontally	Markings - HM	5	Y		172.516(c)(5)
172.516(c)(6)	Placard damaged, deteriorated, or obscured	Markings - HM	5	Y		172.516(c)(6)
172.516(c)(7)	Placard not on contrasting background or border	Markings - HM	5	Y		172.516(c)(7)
172.519	Placard does not meet specifications	Markings - HM	5	N		172.519
172.600(c)	Offer or transport without emergency response information	Documentation - HM	3	Y		172.600(c)
172.602(a)	Emergency Response information not complete	Documentation - HM	3	Y		172.602(a)
172.602(b)	Form and manner of Emergency Response information	Documentation - HM	3	Y	Updated description in 3.0.9	172.602(b)
172.602(c)(1)	Maintenance/accessibility of Emergency Response information	Documentation - HM	3	Y	Updated description in 3.0.9	172.602(c)(1)
172.604 ³	Offering HM for transportation with no or improper Emergency Response telephone number	Documentation - HM	3	N	Added in 3.0.9	172.604 ³
172.604(a)	Failing to provide an emergency response phone number	Documentation - HM	3	N		172.604(a)
173.9	Fumigant marking requirements	Markings - HM	5	N	Added in 3.0.4	173.9
173.9B ³	Failed to warn of fumigated load	Markings - HM	5	N	Added in 3.0.9	173.9B ³
173.24(a)(c)	Non-bulk package mixed contents requirements	Cargo Protection - HM	4	N		173.24(a)(c)
173.24(b)	Failed to meet general package requirements	Load Securement - HM	10	N		173.24(b)
173.24((b))(1)	Release of Hazardous Materials from package	Load Securement - HM	10	N		173.24((b))(1)
173.24(b)(a)	Bulk package outage or filling limit requirements	Load Securement - HM	10	N		173.24(b)(a)
173.24(b)(d)(2)	Exceeding the maximum weight of bulk package rating as shown on specification plate	Load Securement - HM	10	N		173.24(b)(d)(2)

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173.24(c)	Packaging not authorized by the Hazardous Materials Regulations	Load Securement - HM	10	N	Updated description in 3.0.9	173.24(c)
173.24(f)(1)	Closures for packagings must not be open or leaking	Load Securement - HM	10	N		173.24(f)(1)
173.25(a)	Failed to meet overpack conditions	Markings - HM	5	N		173.25(a)
173.25(c)	Failure to label and package poison properly, when transported with edible material	Markings - HM	5	Y		173.25(c)
173.29(a)	Empty package improper transportation	Cargo Protection - HM	4	N		173.29(a)
173.3	No or Improper HM Loading by Shipper	Cargo Protection - HM	4	Y		173.3
173.32A2	Portable tank periodic testing	Package Testing - HM	7	N	Added in 3.0.4	173.32A2
173.32G1	Portable tank extending outside transport vehicle	Load Securement - HM	10	N	Added in 3.0.4	173.32G1
173.32(h)(3)	IM101/102 bottom outlets prohibited	Fire Hazard - HM	6	N		173.32(h)(3)
173.33(a)	Cargo tank general requirements	Cargo Protection - HM	4	Y		173.33(a)
173.33(b)	Cargo tank loading requirements	Cargo Protection - HM	4	Y		173.33(b)
173.33(c)(2)	Cargo tank not marked with design or MAWP	Cargo Protection - HM	4	N		173.33(c)(2)
173.35(a)	Intermediate bulk container requirements	Package Integrity - HM	8	Y		173.35(a)
173.35(d)	Liquid filled IBC with Ullage over 98%	Load Securement - HM	10	N		173.35(d)
173.35(f)(2)	IBC not secured to or within vehicle	Load Securement - HM	10	Y		173.35(f)(2)
173.35L	IBC filled in excess of maximum gross mass marked on the container	Cargo Protection - HM	4	N	Added in 3.0.4	173.35L
173.36	Large bulk packages general requirements	Package Integrity - HM	8	N	Added in 3.0.4	173.36
173.37	Flexible bulk packages general requirements	Package Integrity - HM	8	N	Added in 3.0.4	173.37
173.4	General requirements Poison Inhalation Hazard Zone A or B in cylinders	HM Other	2	N		173.4
173.54	Transporting or Offering for Transportation forbidden explosives	Fire Hazard - HM	6	N		173.54
173.6	General packaging requirements explosives	HM Other	2	N		173.6
173.312	MEGCs general requirements	Package Integrity - HM	8	N	Added in 3.0.4	173.312
173.315(a)	Fail to comply with Cargo or portable tank Class 2 General requirements	Load Securement - HM	10	N		173.315(a)
173.315J1	Residential LPG tank under 5%	Cargo Protection - HM	4	N	Added in 3.0.4	173.315J1
173.315J2	Residential LPG tank over 5%	Cargo Protection - HM	4	N	Added in 3.0.4	173.315J2
173.315M2	Anhydrous ammonia nurse tank with no test markings when required	Cargo Protection - HM	4	N	Added in 3.0.4	173.315M2
173.315N2	No emergency discharge control, other than metered delivery	Cargo Protection - HM	4	N	Added in 3.0.4	173.315N2
173.315N3	No emergency discharge control, metered delivery	Cargo Protection - HM	4	N	Added in 3.0.4	173.315N3
173.318	Cryogenic liquids in cargo tanks general requirements	Package Integrity - HM	8	N	Added in 3.0.4	173.318
173.318(b)(10)	Fail to mark inlet, outlet, pressure relief device, or pressure control valve of cryogenic tanks	Package Integrity - HM	8	N		173.318(b)(10)
173.427(a)(6)(iv)	No instructions for exclusive use packaging-low specific activity	Cargo Protection - HM	4	Y		173.427(a)(6)(iv)
173.427(a)(6)(vi)	Exclusive use low specific activity (LSA) radioactive material not marked "Radioactive-LSA"	Markings - HM	5	Y		173.427(a)(6)(vi)
173.427D ³	Not packaged in accordance with 10 CFR, Part 71	Package Integrity - HM	8	N	Added in 3.0.9	173.427D ³
173.431	Exceeded activity limits Type A or Type B package	Load Securement - HM	10	N		173.431
173.441(a)	Exceeding radiation level limitations allowed for transport	Cargo Protection - HM	4	N		173.441(a)

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173.441(b)	Exceeding radiation level allowed for transport of RAM under exclusive use provisions	Load Securement - HM	10	N		173.441(b)
173.442(b)(1)	External temperature of package exceeds 50 degrees Celcius (122 degrees F)	Cargo Protection - HM	4	N		173.442(b)(1)
173.442(b)(2)	External temperature of package exceeds 85 degrees C (185 degrees F) in an exclusive use shipment	Cargo Protection - HM	4	N		173.442(b)(2)
173.441C ³	Failure to provide Exclusive Use instructions to carrier	Cargo Protection - HM	4	Y	Added in 3.0.9	173.441C ³
173.443(a)	Radioactive contamination exceeds limits	Load Securement - HM	10	N		173.443(a)
173.448	General RAM transport requirements	Cargo Protection - HM	4	N		173.448
177.801	Accepting or Transporting Hazardous Materials not prepared in accordance with regulations	HM Other	2	N		177.801
177.801-TRN	Transporting a forbidden material	Load Securement - HM	10	N	Added in 3.0.4	177.801-TRN
177.804	Failure to comply with FMCSR 49 CFR part 383 and 49 CFR parts 390 through 397	HM Other	2	Y		177.804
177.804A ³	Failure to comply with FMCSR 49 CFR Parts 390 through 397 When Transporting HM	HM Other	2	Y	Added in 3.0.9	177.804A ³
177.804A-CDL ³	Failure to comply with 49 CFR Part 383 Commercial Drivers License Provisions When Transporting HM	HM Other	2	Y	Added in 3.0.9	177.804A-CDL ³
177.817(a)	No or improper shipping papers (carrier)	Documentation - HM	3	Y		177.817(a)
177.817(b)	Shipper certification missing (when required)	Documentation - HM	3	N		177.817(b)
177.817(e)	Shipping paper accessibility	Documentation - HM	3	Y		177.817(e)
177.823(a)	No placards/markings when required	Markings - HM	5	N		177.823(a)
177.834(a)	Package not secure in vehicle	Load Securement - HM	10	Y		177.834(a)
177.834(b)	Package not loaded according to orientation marks	Cargo Protection - HM	4	N		177.834(b)
177.834(c)	Smoking while loading or unloading Class 1, Class 3, Class 4, Class 5, or Division 2.1 Hazardous Material	Fire Hazard - HM	6	Y	Updated description in 3.0.9	177.834(c)
177.834(i)	Violation of attendance requirements of cargo tank during loading or unloading	Cargo Protection - HM	4	Y		177.834(i)
177.834(j)	Manholes and valves not closed or leak free	Cargo Protection - HM	4	Y		177.834(j)
177.834(m)(1)	Improper securement of specification 106A or 110A tanks	Cargo Protection - HM	4	N		177.834(m)(1)
177.834(n) ⁵	Improper loading of specification 56, 57, IM 101, and/or IM 102 portable tanks	Fire Hazard - HM	6	N	Updated description in 3.11	177.834(n) ⁵
177.835	Improper transportation of explosives (Class 1)	Fire Hazard - HM	6	Y		177.835
177.837	Improper transporting of Class 3 hazardous materials	Fire Hazard - HM	6	Y		177.837
177.837(c)	Cargo tank improper bonding or grounding	Cargo Protection - HM	4	N		177.837(c)
177.837(d)	Combustible liquid unloading violation	Cargo Protection - HM	4	N		177.837(d)
177.838	Improper transportation of Class 4, Class 5 or Division 4.2	Fire Hazard - HM	6	N		177.838
177.839	Improper transportation of Class 8 hazardous materials	Cargo Protection - HM	4	Y		177.839
177.840	Improper transportation of Class 2 hazardous materials	Fire Hazard - HM	6	N		177.840
177.840(g)	Discharge valve not closed during transportation of Class 2 hazardous materials	Cargo Protection - HM	4	Y		177.840(g)
177.840L ³	No or improper Emergency Operating Procedures for cargo tanks	Documentation - HM	3	Y	Added in 3.0.9	177.840L ³
177.840(o) ⁵	Fail to test off-truck remote shutoff device on a daily basis	Cargo Protection - HM	4	Y	Updated description in 3.11	177.840(o) ⁵
177.840(s)	Fail to possess remote shutoff when unloading	Cargo Protection - HM	4	Y		177.840(s)
177.841	Improper transportation of Division 6.1 or Division 2.3 hazardous materials	Fire Hazard - HM	6	Y		177.841
177.841(e)	Package labeled Poison loaded with foodstuffs, feed or edible material	HM Other	2	Y		177.841(e)
177.842(a)	Total transport index exceeds 50- non-exclusive use	HM Other	2	N		177.842(a)
177.842(b)	Distance from package to person-radioactive material	HM Other	2	N		177.842(b)

Table A-6. SMS Hazardous Materials Compliance BASIC Violations!						Table A-6. SMS Hazardous Materials Compliance BASIC Violations!
177.842(d)	Blocking and bracing of RAM packages	HM Other	2	Y		177.842(d)
177.848(d)	Prohibited loading, transportation, or storage combination of hazardous materials	Fire Hazard - HM	6	N		177.848(d)
177.848(f)	Violation of Class 1 hazardous materials load separation or segregation requirements	HM Other	2	N		177.848(f)
177.870 ^[3]	Prohibited Hazardous Materials on passenger carrying vehicle	Load Securement - HM	10	N	Added in 3.0.9	177.870 ^[3]
178.245-5	DOT51 valve protection	Package Integrity - HM	8	N		178.245-5
178.245-6(a)	DOT51 name plate markings	Package Integrity - HM	8	N		178.245-6(a)
178.245-6(b) ⁵	DOT51 Specification tank outlets not marked	Package Integrity - HM	8	N	Updated description in 3.11	178.245-6(b) ⁵
178.251-4	DOT 56/57 integrity and securement	Package Integrity - HM	8	N		178.251-4
178.253 ^[3]	DOT57 Portable Tank Specifications	Package Integrity - HM	8	N	Added in 3.0.9	178.253 ^[3]
178.255-14	DOT 60 ID plate	Package Integrity - HM	8	N		178.255-14
178.255-4	DOT 60 manhole	Package Integrity - HM	8	N		178.255-4
178.255-7	DOT60 valve protection	Package Integrity - HM	8	N		178.255-7
178.255-8 ³	DOT60 pressure relief	Package Integrity - HM	8	N	Added in 3.0.9	178.255-8 ³
178.270-1	IM 101/102 general design	Package Integrity - HM	8	N		178.270-1
178.270-11(d)(1)	IM101/102 pressure relief	Package Integrity - HM	8	N		178.270-11(d)(1)
178.270-14	IM101/102 spec plate	Package Integrity - HM	8	N		178.270-14
178.270-4	IM 101/102 Structural integrity	Package Integrity - HM	8	N		178.270-4
178.270-6	IM 101/102 frames	Package Integrity - HM	8	N		178.270-6
178.270-8	IM 101/102 valve protection	Package Integrity - HM	8	N		178.270-8
178.270-9	IM101/102 manholes	Package Integrity - HM	8	N		178.270-9
178.336-10	MC330 Protecting of fittings	Package Integrity - HM	8	N		178.336-10
78.336-10 ⁴	MC330 Protecting of fittings	Package Integrity - HM	8	N	Added in 3.11 - Updated violation code	78.336-10 ⁴
178.336-13	MC330 Anchoring of tank	Package Integrity - HM	8	N		178.336-13
78.336-13 ⁴	MC330 Anchoring of tank	Package Integrity - HM	8	N	Added in 3.11 - Updated violation code	78.336-13 ⁴
178.336-17	MC330 Metal ID plate marking	Package Integrity - HM	8	N		178.336-17
78.336-17 ⁴	MC330 Metal ID plate marking	Package Integrity - HM	8	N	Added in 3.11 - Updated violation code	78.336-17 ⁴
178.337-10	MC331 Accident damage protection	Package Integrity - HM	8	N		178.337-10
178.337-10(a)	MC331 Protection of fittings	Package Integrity - HM	8	N		178.337-10(a)
178.337-13	MC331 supports and anchoring	Package Integrity - HM	8	N		178.337-13
178.337-17(a)	MC331 Metal identification plate missing	Package Integrity - HM	8	N		178.337-17(a)
178.337-8(a)	MC331 Outlets general requirements	Package Integrity - HM	8	N		178.337-8(a)
178.337-8(a)(2)	MC331 Outlets	Package Integrity - HM	8	N		178.337-8(a)(2)
178.337-8(a)(3)	MC331 Internal or back flow valve	Package Integrity - HM	8	N		178.337-8(a)(3)

Table A-6. SMS Hazardous Materials Compliance BASIC Violations!						Table A-6. SMS Hazardous Materials Compliance BASIC Violations!
178.337-8(a)(4)(i)	MC331 Remote closure device >3500 gal	Package Integrity - HM	8	Y		178.337-8(a)(4)(i)
178.337-8(a)(4)(ii)	MC331 Remote closure device <3500 gal	Package Integrity - HM	8	Y		178.337-8(a)(4)(ii)
178.337-9	MC331 Pressure relief devices	Package Integrity - HM	8	N		178.337-9
178.337-9(c)	MC331 Marking inlets/outlets	Package Integrity - HM	8	N		178.337-9(c)
178.338-10(a)	MC338 Protection of fittings	Package Integrity - HM	8	N		178.338-10(a)
178.338-10(c)	MC338 Rear end protection	Package Integrity - HM	8	N		178.338-10(c)
178.338-10D ³	MC338 Minimum Ground Clearance	Package Integrity - HM	8	N	Added in 3.0.9	178.338-10D ³
178.338-11(b)	MC338 Manual shutoff valve	Package Integrity - HM	8	Y		178.338-11(b)
178.338-11C ³	Missing or Defective Thermal and Mechanical Remote Closure Device	Package Integrity - HM	8	Y	Added in 3.0.9	178.338-11C ³
178.338-12	Shear section MC338	Package Integrity - HM	8	N		178.338-12
178.338-13	MC338 Supports and anchoring	Package Integrity - HM	8	N		178.338-13
178.338-18(a)	MC338 Name plate and/or Specification plate missing	Package Integrity - HM	8	N		178.338-18(a)
178.338-6	Manhole MC338	Package Integrity - HM	8	N		178.338-6
178.338-8	Pressure relief devices MC338	Package Integrity - HM	8	N		178.338-8
178.340-10(b)	MC306/307/312 metal certification plate missing	Package Integrity - HM	8	N		178.340-10(b)
178.340-6	MC306/307/312 supports and anchoring	Package Integrity - HM	8	N		178.340-6
178.340-7(a)	MC306/307/312 ring stiffeners	Package Integrity - HM	8	N		178.340-7(a)
178.340-7(c)	MC306/307/312 double bulkhead drain	Package Integrity - HM	8	N		178.340-7(c)
178.340-7D ⁴	MC306/307/312 ring stiffeners	Package Integrity - HM	8	N	Added in 3.11	178.340-7D ⁴
178.340-7(d)(2)	MC306/307/312 ring stiffener drain hole	Package Integrity - HM	8	N		178.340-7(d)(2)
178.340-8(a)	MC306/307/312 appurtenances attachment	Package Integrity - HM	8	N		178.340-8(a)
178.340-8(b)	MC306/307/312 rearend protection	Package Integrity - HM	8	N		178.340-8(b)
178.340-8(c)	MC306/307/312 overturn protection	Package Integrity - HM	8	N		178.340-8(c)
178.340-8(d)(1)	MC306/307/312 piping protection	Package Integrity - HM	8	N		178.340-8(d)(1)
178.340-8(d)(2)	MC306/307/312 minimum road clearance	Package Integrity - HM	8	N		178.340-8(d)(2)
178.341-3(a)	MC306 no manhole closure	Package Integrity - HM	8	N		178.341-3(a)
178.341-4(d)(1)	MC306 inadequate emergency venting	Package Integrity - HM	8	N		178.341-4(d)(1)
178.341-4(d)(2)	MC306 pressure activated vents	Package Integrity - HM	8	N		178.341-4(d)(2)
178.341-4(d)(3)	MC306 no fusible venting	Package Integrity - HM	8	N		178.341-4(d)(3)
178.341-5(a)	MC306 internal valves	Package Integrity - HM	8	N		178.341-5(a)
178.341-5(a)(1)	MC306 heat actuated safety	Package Integrity - HM	8	N		178.341-5(a)(1)
178.341-5(a)(2)	MC306 remote control shutoff	Package Integrity - HM	8	Y		178.341-5(a)(2)
178.342-3	MC307 manhole closure	Package Integrity - HM	8	Y		178.342-3

Table A-6. SMS Hazardous Materials Compliance BASIC Violations!						Table A-6. SMS Hazardous Materials Compliance BASIC Violations!
178.342-4	MC307 venting	Package Integrity - HM	8	N		178.342-4
178.342-4(b)	Inadequate venting capacity	Package Integrity - HM	8	N		178.342-4(b)
178.342-5(a)	MC307 internal valve	Package Integrity - HM	8	N		178.342-5(a)
178.342-5(a)(1)	MC307 heat actuated safety	Package Integrity - HM	8	N		178.342-5(a)(1)
178.342-5(a)(2)	MC307 remote control shutoff	Package Integrity - HM	8	Y		178.342-5(a)(2)
178.343-3	Manhole closure MC312	Package Integrity - HM	8	N		178.343-3
178.343-4	Venting MC312 (show calculations)	Package Integrity - HM	8	N		178.343-4
178.343-5(a)	MC 312 top outlet and valve	Package Integrity - HM	8	N		178.343-5(a)
178.343-5(b)(1)	MC312 bottom valve/piping protection	Package Integrity - HM	8	N		178.343-5(b)(1)
178.345-1(i)(2)	DOT406/407/412 Double bulkhead drain	Package Integrity - HM	8	N		178.345-1(i)(2)
178.345-5(d)	DOT406/407/412 manhole securement	Package Integrity - HM	8	N		178.345-5(d)
178.345-5(e)	DOT406/407/412 manhole marking	Package Integrity - HM	8	N		178.345-5(e)
178.345-6 ⁵	DOT406/407/412 supports & anchoring	Package Integrity - HM	8	N	Updated description in 3.11	178.345-6 ⁵
178.345-7(d)(4)	DOT406/407/412 ring stiffener drain	Package Integrity - HM	8	N		178.345-7(d)(4)
178.345-8(a)	DOT406/407/412 accident protection	Package Integrity - HM	8	N		178.345-8(a)
178.345-8(a)(5)	DOT406/407/412 minimum road clearance	Package Integrity - HM	8	N		178.345-8(a)(5)
178.345-8(b)	DOT406/407/412 bottom damage protection	Package Integrity - HM	8	N		178.345-8(b)
178.345-8(c)	DOT406/407/412 rollover damage protection	Package Integrity - HM	8	N		178.345-8(c)
178.345-8(d)	DOT406/407/412 rear end protection	Package Integrity - HM	8	N		178.345-8(d)
178.345-10	DOT406/407/412 Pressure Relief	Package Integrity - HM	8	N		178.345-10
178.345-11(b)	DOT406/407/412 tank valves	Package Integrity - HM	8	N		178.345-11(b)
178.345-11(b)(1) ⁵	DOT406/407/412 self closing system and remote means of closure	Package Integrity - HM	8	Y	Updated description in 3.11	178.345-11(b)(1) ⁵
178.345-14(b)	DOT406/407/412 name plate	Package Integrity - HM	8	N		178.345-14(b)
178.345-14(c)	DOT406/407/412 specification plate	Package Integrity - HM	8	N		178.345-14(c)
178.703(a)	IBC manufacturer markings	Package Integrity - HM	8	N		178.703(a)
178.703(b)	IBC additional markings	Package Integrity - HM	8	N		178.703(b)
178.704(e)	IBC bottom discharge valve protection	Package Integrity - HM	8	N		178.704(e)
178.910 ^[3]	Failure to comply with Large Packaging Marking specifications	Markings - HM	5	N	Added in 3.0.9	178.910 ^[3]
178.1010 ^[3]	No or improper marking of Flexible Bulk Containers	Markings - HM	5	N	Added in 3.0.9	178.1010 ^[3]
179.300-12	DOT106/110aw protection of fittings	Package Integrity - HM	8	N		179.300-12
179.300-13	DOT106/110aw venting and valves	Package Integrity - HM	8	N		179.300-13
179.300-15	DOT106/110aw safety relief devices	Package Integrity - HM	8	N		179.300-15
179.300-18	DOT106/110aw stamping of tanks	Package Integrity - HM	8	N		179.300-18

Table A-6. SMS Hazardous Materials Compliance BASIC Violations!						Table A-6. SMS Hazardous Materials Compliance BASIC Violations!
180.3 ^A	Represent a package as meeting a specification that does not meet a specification	Package Integrity - HM	8	N	Added in 3.0.8	180.3 ^A
180.205(c)	Periodic requalification of cylinders	Package Testing - HM	7	N		180.205(c)
180.207B	Periodic inspection of UN cylinders	Package Testing - HM	7	N	Added in 3.0.4	180.207B
180.213(d)	Requalification markings of cylinders	Package Testing - HM	7	N		180.213(d)
180.217	MEGCs Periodic requalification	Package Testing - HM	7	N	Added in 3.0.4	180.217
180.352(b)	Rigid IBC retest date marking	Package Testing - HM	7	N		180.352(b)
180.352C ⁵	Visual inspection for flexible, fiberboard or wooden IBCs	Package Testing - HM	7	N	Updated description in 3.11	180.352C ⁵
180.352(e)	IBC retest date marking	Package Testing - HM	7	N		180.352(e)
180.352F ⁴	Failure to mark IBC periodic retest date	Package Testing - HM	7	N	Added in 3.11	180.352F ⁴
180.405(b)	Cargo tank specifications	Package Testing - HM	7	N		180.405(b)
180.405(j)	Cargo tank withdrawal certification	Package Testing - HM	7	N		180.405(j)
180.405K	Failure to mark a specification cargo tank with a Maximum Allowable Working Pressure of at least 3 psi	Cargo Protection - HM	4	N	Added in 3.0.4	180.405K
180.407A	Failure to test / inspection a specification cargo tank when due	Package Testing - HM	7	N	Added in 3.0.4	180.407A
180.407B ³	Fail to test/inspect a specification cargo tank when damaged	Package Testing - HM	7	N	Added in 3.0.9	180.407B ³
180.415(b)	Cargo tank test or inspection markings	Package Testing - HM	7	N		180.415(b)
180.416G	Damaged liquid discharge hose	Package Testing - HM	7	Y	Added in 3.0.4	180.416G
180.519 ⁵	DOT 106 and 110 Multi-unit tank car tank retest date markings	Package Testing - HM	7	N	Updated description in 3.11	180.519 ⁵
180.605(k)	Test date marking	Package Testing - HM	7	N		180.605(k)
385.403	No HM Safety Permit	Documentation - HM	3	N		385.403
397.2	Must comply with rules in Parts 390-397 of the FMCSR when transporting	HM Other	2	Y		397.2
397.5(a)	Unattended explosives 1.1/1.2/1.3	Fire Hazard - HM	6	Y		397.5(a)
397.5(c)	Unattended hazmat vehicle	Cargo Protection - HM	4	Y		397.5(c)
397.7(a)	Improperly parked explosives vehicle	Fire Hazard - HM	6	Y		397.7(a)
397.7(b)	Improperly parked hazmat vehicle	Fire Hazard - HM	6	Y		397.7(b)
397.11(a)	Hazmat vehicle operated near open fire	Fire Hazard - HM	6	Y		397.11(a)
397.11(b)	Hazmat vehicle parked within 300 ft. of fire	Fire Hazard - HM	6	Y		397.11(b)
397.15	HM vehicle fueling violation	Fire Hazard - HM	6	Y		397.15
397.17	Failure to examine tires on hazmat vehicle before trip	HM Other	2	Y		397.17
397.19	Failure to furnish driver with instructions and documents for Division 1.1	Documentation - HM	3	Y		397.19
397.19(c)	Required documents or instructions not in drivers possession for Division 1.1	Documentation - HM	3	Y		397.19(c)
397.67	HM vehicle routing violation (non RAM)	HM Route	1	N		397.67
397.101(b)	RAM vehicle not on preferred route	HM Route	1	Y		397.101(b)
397.101(d)	No or incomplete route plan for radioactive materials	HM Route	1	Y		397.101(d)
397.101(e)(2)	Driver not in possession of training certificate	HM Route	1	Y		397.101(e)(2)
397.101(e)(3)	Driver not in possession of written route plan as required in 397.101(d) - RAM Shipments	HM Route	1	Y		397.101(e)(3)

Table A-6. SMS Hazardous Materials Compliance BASIC Violations ¹						Table A-6. SMS Hazardous Materials Compliance BASIC Violations ¹
	¹ Violation severity weights reflect the relative importance of each violation within each BASIC. These weights cannot be compared or added meaningfully across the BASICs.					¹ Violation severity weights reflect the relative importance of each violation within each BASIC. These weights cannot be compared or added meaningfully across the BASICs.
	² In cases where a violation results in an out-of-service order as defined in 49 CFR 390.5, an additional weight of 2 is added to arrive at a total severity weight for the violation.					² In cases where a violation results in an out-of-service order as defined in 49 CFR 390.5, an additional weight of 2 is added to arrive at a total severity weight for the violation.
	⁴ This violation was applied retroactively in the SMS with the July 28, 2017 run.					⁴ This violation was applied retroactively in the SMS with the July 28, 2017 run.
	³ This violation was applied retroactively in the SMS with the April 25, 2018 run.					³ This violation was applied retroactively in the SMS with the April 25, 2018 run.
	⁴ This violation was added to SMS with the September 25, 2020 snapshot.					⁴ This violation was added to SMS with the September 25, 2020 snapshot.
	⁵ The description for this violation was updated in SMS with the September 25, 2020 snapshot.					⁵ The description for this violation was updated in SMS with the September 25, 2020 snapshot.