



U.S. Department of Transportation  
Research and Special Programs Administration

## Hazardous Materials Incident Report

Form Approval OMB No. 3137-0039

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 2137-0039. The filling out of this information is mandatory and will take 96 minutes to complete.

### INSTRUCTIONS

Submit this report to the Information Systems Manager, U.S. Department of Transportation, Pipeline and Hazardous Materials Safety Administration, Office of Hazardous Materials Safety, DHM-63, Washington, D.C. 20590-0001. If space provided for any item is inadequate, use a separate sheet of paper, identifying the entry number being completed. Copies of this form and instructions can be obtained from the Office of Hazardous Materials Website at <http://hazmat.dot.gov>. If you have any questions, you can contact the Hazardous Materials Information Center at 1-800-HMR-4922 (1-800-467-4922) or online at <http://hazmat.dot.gov>.

### PART I - REPORT TYPE

1. Incident Id: I-2009100065  
2. This is to report: A

### PART II - GENERAL INCIDENT INFORMATION

3. Date of Incident:  
09/15/2009
4. Time of Incident (use 24-hour time):  
12:45
5. Enter National Response Center Report Number (if applicable):  
917864
6. If you submitted a report to another Federal DOT agency, enter the agency and report number:
7. Location of Incident:
- City: KNOXVILLE  
County: KNOX  
State: TN  
Zip Code: (if known): 37917  
Street Address/Mile Marker/Yard Name/Airport/Body of Water/River Mile:  
BERNARD STREET MILEPOST 0.9C
8. Mode of Transportation: Rail
9. Transportation Phase: In Transit
10. Carrier/Reporter:
- Name: KNOXVILLE & HOLSTON RIVER RAILROAD  
Street: 301 W QUINCY AVENUE  
City: KNOXVILLE  
State: TN  
Zip Code: 37917  
Federal DOT Id Number:  
Hazmat Registration Number: 080706002004OQ
11. Shipper/Officer:
- Name: HAWKEYE RENEWABLES  
Street: 21050 140TH STREET  
City: IOWA FALLS  
State: IA  
Zip Code: 50126  
Waybill/Shipping Paper: UP 445098  
Hazmat Registration Number:
12. Origin (if different from shipper address)
- Street:  
City:  
State: NJ  
Zip Code:
13. Destination:
- Street: 300 W. QUINCY AVENUE  
City: KNOXVILLE  
State: TN  
Zip Code: 37917
14. Proper Shipping Name of Hazardous Material: ALCOHOLS, N.O.S.
15. Technical/Trade Name:
16. Hazardous Class/Division: Flammable - Combustible Liquid
17. Identification Number: (E.g. UN2764, NA 2020) UN1987

**18. Packing Group:** (if applicable) II

**19. Quantity Released:** (Include Measurement Units) 25 Liquid - Gallon

**20. Was the material shipped as a hazardous waste?** False  
If yes, provide the EPA Manifest Number:

**21. Is this a Toxic by Inhalation (TIH) material?** False  
If yes, provide the Hazard Zone:

**22. Was the material shipped under an Exemption, Approval, or Competent Authority Certificate?** False  
If yes, provide the Exemption, Approval, or CA number:

**23. Was this an undeclared hazardous materials shipment?** False

### 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:**

Tank Car

**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 in this format in part VI.

What Failed: - 153-Vacuum Relief Valve  
How Failed: - 308-Leaked  
Causes of Failure: - Derailment

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

Identification Markings: 111A

(Examples: 1A1/Y1.4/150/92/USA/RB/93/RL, UN31H1/Y0493/USA/M9339/10800/1200, DOT - 105A - 100W (RAIL), DOT 406 (HIGHWAY), DOT 51, DOT 3-A)

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

**Single Package or Outer Packaging:**

**Single Package or Inner Packaging (if any):**

Packaging Type:  
Material of Construction:  
Head Type (Drums only):

Packaging Type:  
Material of Construction:

**27. Describe the package capacity and the quantity:**

**Single Package or Outer Packaging:**

**Single Package or Inner Packaging (if any):**

Package Capacity: 197100 Liquid - Pound  
Amount in Package: 190500 Liquid - Pound  
Number in Shipment: 1  
Number Failed: 1

Package Capacity:  
Amount in Package:  
Number in Shipment:  
Number Failed:

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

|                            |                                                                  |                   |            |
|----------------------------|------------------------------------------------------------------|-------------------|------------|
| Manufacturer:              | UTLZBG                                                           | Manufacture Date: | 03/01/2006 |
| Serial Number:             | UTLX 205849                                                      | Last Test Date:   |            |
| Material of Construction:  | AAR TC-128, GR.B (if Tank Car, CTMV, Portable Tank, or Cylinder) |                   |            |
| Design Pressure:           | 100 (if Tank Car, CTMV, Portable Tank)                           |                   |            |
| Shell Thickness:           | 0.438 INCH (if Tank Car, CTMV, Portable Tank)                    |                   |            |
| Head Thickness:            | 0.469 INCH (if Tank Car, CTMV)                                   |                   |            |
| Service Pressure:          | (if Cylinder)                                                    |                   |            |
| If valve or device failed: |                                                                  |                   |            |
| Type:                      | VACUUM RELIEF VA                                                 |                   |            |
| Model:                     |                                                                  |                   |            |
| Manufacturer:              |                                                                  |                   |            |

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

|                          |                  |
|--------------------------|------------------|
| Packaging Category:      |                  |
| Packaging Certification: |                  |
| Certification Number:    |                  |
| Nuclide(s) Present:      | Transport Index: |
| Activity:                |                  |
| Critical Safety Index:   |                  |

## PART IV – CONSEQUENCES

### 30. Result of Incident (check all that apply):

- |                           |       |                                          |       |
|---------------------------|-------|------------------------------------------|-------|
| - Spillage:               | True  | - Fire:                                  | False |
| - Explosion:              | False | - Material Entered Waterway/Storm Sewer: | False |
| - Vapor (Gas) Dispersion: | False | - Environmental Damage:                  | False |
| - No Release:             | False |                                          |       |

### 31. Emergency Response: The following entities responded to the incident: (Check all that apply)

- Fire/EMS Report #: True  
Police Report #: True  
In-house cleanup: False  
Other Cleanup: False

### 32. Damages Was the total damage cost more than \$500?

True

If yes, enter the following information: (If no, go to question 33.)

Material Loss: \$ 18,000.00  
Carrier Damage: \$ 0.00  
Property Damage: \$ 0.00  
Response Cost: \$ 42,000.00  
Remediation/Cleanup Cost: \$ 61,000.00  
(See damage definitions in the instructions)

### 33a. Did the hazardous material cause or contribute to a human fatality?

False

If yes, enter the number of fatalities resulting from the hazardous material:

Employees: 0  
Responders: 0  
General Public: 0

### 33b. Were there human fatalities that did not result from the hazardous material?

False

If yes, how many? 0

### 34. Did the hazardous material cause or contribute to personal injury?

False

If yes, enter the number of injuries resulting from the hazardous material:

#### Hospitalized (Admitted Only):

Employees: 0  
Responders: 0  
General Public: 0

#### Non-Hospitalized:

(e.g.: On site first aid or Emergency Room observation and release)

Employees: 0  
Responders: 0  
General Public: 0

### 35. Did the hazardous material cause or contribute to an evacuation?

True

If yes, provide the following information:

Total number of general public evacuated: 20  
Total number of employees evacuated: 0  
Total evacuated: 20  
Duration of the evacuation: 8

### 36. Was a major transportation artery or facility closed?

False

If yes, how many?

### 37. Was the material involved in a crash or derailment?

True

If yes, provide the following information:

Estimated speed (mph): 2  
Weather conditions: CLOUDY  
Vehicle overturned? True  
Vehicle left roadway/track? True

## PART V - AIR INCIDENT INFORMATION (please refer to S 175.31 to report a discrepancy for air shipments)

### 38. Was the shipment on a passenger aircraft?

If yes, was it tendered as cargo, or as passenger baggage?

### 39. Where did the incident occur (if unknown, check the appropriate box for the location where the incident was discovered)?

### 40. What phase(s) had the shipment already undergone prior to the incident? (Check all that apply)

- |                                          |                                                  |
|------------------------------------------|--------------------------------------------------|
| - Shipment had not been transported      | - Transported by air (first flight)              |
| - Transport by air (subsequent flights)  | - Initial transport by highway to cargo facility |
| - Transfer at sort center/cargo facility |                                                  |

## 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.

### Describe:

UTLX 205849 was one of eight cars involved in a low speed derailment during switching operations by the Knoxville & Holston River Railroad. The derailment was a result of human error. The derailment resulted in the rollover of UTLX 205849 and the leakage of approximately 25 gallons of material from the vacuum relief valve. Amount of loss is derived from the difference between amount loaded at origin and retrieved at destination by the consignee. The release was stopped by an environmental contractor using a plug and dike material. The car was righted and transported approximately one mile to the consignee's facility for unloading. The car will be sent to a tank shop for further inspection and repairs once unloaded. All movements were with the verbal approval of FRA Hazmat and Mechanical Inspectors who were onsite.

### MULTIPLE REPORT

UTLX 204261 was one of eight cars involved in a low speed derailment during switching operations by the Knoxville & Holston River Railroad. The derailment was a result of human error. The derailment resulted in the rollover of UTLX 204261, shearing off the vacuum relief valve and the leakage of approximately 8179 gallons of material from the vacuum relief valve mount site. Amount of loss is derived from the difference between amount loaded at origin and retrieved at destination by the consignee. The release was stopped by an environmental contractor using a plug and dike material. The car was righted and transported approximately one mile to the consignee's facility for unloading. The car will be sent to a tank shop for further inspection and repairs once unloaded. All movements were with the verbal approval of FRA Hazmat and Mechanical Inspectors who were on-site.

## 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.

### Describe:

The individuals responsible for the human error have received disciplinary actions involving unpaid suspensions and probationary periods. All members of the KXHR train crews have received education on the cause of the derailment and new procedures and bulletin orders issued to prevent recurrences.

## PART VIII – CONTACT INFORMATION

|                             |                                         |
|-----------------------------|-----------------------------------------|
| Contact's Name:             | PETER V. "DOC" CLAUSSEN                 |
| Contact's Title:            | PRESIDENT KNOXVILLE & HOLSTON RIVER RR  |
| Business Name and Address:  | KNOXVILL & HOLSTON RAILROAD             |
|                             | 301 W. QUINCY AVENUE KNOXVILLE TN 37917 |
| E-mail Address:             | pvc@gulfandohio.com                     |
| Telephone Number:           | 8655259400                              |
| Fax Number:                 | 8655463717                              |
| Hazmat Registration Number: |                                         |
| Date:                       | 09/25/2009                              |
| Preparer is:                | Carrier                                 |

03/01/2006



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### PART I - REPORT TYPE

1. Incident Id: I-2009100065  
2. This is to report: A

### PART II - GENERAL INCIDENT INFORMATION

3. Date of Incident: 09/15/2009  
4. Time of Incident (use 24-hour time): 12:45  
5. Enter National Response Center Report Number (if applicable): 917864  
6. If you submitted a report to another Federal DOT agency, enter the agency and report number:  
7. Location of Incident:  
City: KNOXVILLE  
County: KNOX  
State: TN  
Zip Code: (if known): 37917  
Street Address/Mile Marker/Yard Name/Airport/Body of Water/River Mile:  
BERNARD STREET MILEPOST 0.9C  
8. Mode of Transportation: Rail  
9. Transportation Phase: In Transit  
10. Carrier/Reporter:  
Name: KNOXVILLE & HOLSTON RIVER RAILROAD  
Street: 301 W QUINCY AVENUE  
City: KNOXVILLE  
State: TN  
Zip Code: 37917  
Federal DOT Id Number:  
Hazmat Registration Number: 080706002004OQ  
11. Shipper/Officer:  
Name: HAWKEYE RENEWABLES  
Street: 21050 140TH STREET  
City: IOWA FALLS  
State: IA  
Zip Code: 50126  
Waybill/Shipping Paper: UP 445098  
Hazmat Registration Number:  
12. Origin (if different from shipper address)  
Street:  
City:  
State: NJ  
Zip Code:  
13. Destination:  
Street: 300 W. QUINCY AVENUE  
City: KNOXVILLE  
State: TN  
Zip Code: 37917  
14. Proper Shipping Name of Hazardous Material: ALCOHOLS, N.O.S.  
15. Technical/Trade Name:  
16. Hazardous Class/Division: Flammable - Combustible Liquid  
17. Identification Number: (E.g. UN2764, NA 2020) UN1987

**18. Packing Group:** (if applicable)

**19. Quantity Released:** (Include Measurement Units) 8179 Liquid - Gallon

**20. Was the material shipped as a hazardous waste?** False

If yes, provide the EPA Manifest Number:

**21. Is this a Toxic by Inhalation (TIH) material?** False

If yes, provide the Hazard Zone:

**22. Was the material shipped under an Exemption, Approval, or Competent Authority Certificate?** False

If yes, provide the Exemption, Approval, or CA number:

**23. Was this an undeclared hazardous materials shipment?** False

### 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:**

Tank Car

**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 in this format in part VI.

What Failed: - 153-Vacuum Relief Valve

How Failed: - 312-Torn Off or Damaged

Causes of Failure: - Derailment

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

Identification Markings: 111A

(Examples: 1A1/Y1.4/150/92/USA/RB/93/RL, UN31H1/Y0493/USA/M9339/10800/1200, DOT - 105A - 100W (RAIL), DOT 406 (HIGHWAY), DOT 51, DOT 3-A)

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

**Single Package or Outer Packaging:**

**Single Package or Inner Packaging (if any):**

Packaging Type:

Material of Construction:

Head Type (Drums only):

Packaging Type:

Material of Construction:

**27. Describe the package capacity and the quantity:**

**Single Package or Outer Packaging:**

**Single Package or Inner Packaging (if any):**

Package Capacity: 197300 Liquid - Pound

Amount in Package: 190500 Liquid - Pound

Number in Shipment: 1

Number Failed: 1

Package Capacity:

Amount in Package:

Number in Shipment:

Number Failed:

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

Manufacturer: UTLZBG

Serial Number: UTLX 204261

Material of Construction: AAR TC-128. GR. B (if Tank Car, CTMV, Portable Tank, or Cylinder)

Design Pressure: 100 (if Tank Car, CTMV, Portable Tank)

Shell Thickness: 0.438 INCH (if Tank Car, CTMV, Portable Tank)

Head Thickness: 0.469 INCH (if Tank Car, CTMV)

Service Pressure: (if Cylinder)

If valve or device failed:

Type: VACUUM RELIEF VA

Model:

Manufacturer:

Manufacture Date: 03/01/2006

Last Test Date:

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

Packaging Category:

Packaging Certification:

Certification Number:

Nuclide(s) Present:

Activity:

Critical Safety Index:

Transport Index:

## PART IV – CONSEQUENCES

### 30. Result of Incident (check all that apply):

- |                           |       |                                          |       |
|---------------------------|-------|------------------------------------------|-------|
| - Spillage:               | True  | - Fire:                                  | False |
| - Explosion:              | False | - Material Entered Waterway/Storm Sewer: | False |
| - Vapor (Gas) Dispersion: | False | - Environmental Damage:                  | False |
| - No Release:             | False |                                          |       |

### 31. Emergency Response: The following entities responded to the incident: (Check all that apply)

- Fire/EMS Report #: True  
Police Report #: True  
In-house cleanup: False  
Other Cleanup: False

### 32. Damages Was the total damage cost more than \$500?

True

If yes, enter the following information: (If no, go to question 33.)

Material Loss: \$ 18,000.00  
Carrier Damage: \$ 0.00  
Property Damage: \$ 0.00  
Response Cost: \$ 42,000.00  
Remediation/Cleanup Cost: \$ 61,000.00  
(See damage definitions in the instructions)

### 33a. Did the hazardous material cause or contribute to a human fatality?

False

If yes, enter the number of fatalities resulting from the hazardous material:

Employees: 0  
Responders: 0  
General Public: 0

### 33b. Were there human fatalities that did not result from the hazardous material?

False

If yes, how many? 0

### 34. Did the hazardous material cause or contribute to personal injury?

False

If yes, enter the number of injuries resulting from the hazardous material:

#### Hospitalized (Admitted Only):

Employees: 0  
Responders: 0  
General Public: 0

#### Non-Hospitalized:

(e.g.: On site first aid or Emergency Room observation and release)

Employees: 0  
Responders: 0  
General Public: 0

### 35. Did the hazardous material cause or contribute to an evacuation?

True

If yes, provide the following information:

Total number of general public evacuated: 20  
Total number of employees evacuated: 0  
Total evacuated: 20  
Duration of the evacuation: 8

### 36. Was a major transportation artery or facility closed?

False

If yes, how many?

### 37. Was the material involved in a crash or derailment?

True

If yes, provide the following information:

Estimated speed (mph): 2  
Weather conditions: CLOUDY  
Vehicle overturned? True  
Vehicle left roadway/track? True

## PART V - AIR INCIDENT INFORMATION (please refer to S 175.31 to report a discrepancy for air shipments)

### 38. Was the shipment on a passenger aircraft?

If yes, was it tendered as cargo, or as passenger baggage?

### 39. Where did the incident occur (if unknown, check the appropriate box for the location where the incident was discovered)?

### 40. What phase(s) had the shipment already undergone prior to the incident? (Check all that apply)

- |                                          |                                                  |
|------------------------------------------|--------------------------------------------------|
| - Shipment had not been transported      | - Transported by air (first flight)              |
| - Transport by air (subsequent flights)  | - Initial transport by highway to cargo facility |
| - Transfer at sort center/cargo facility |                                                  |

## 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.

### Describe:

UTLX 205849 was one of eight cars involved in a low speed derailment during switching operations by the Knoxville & Holston River Railroad. The derailment was a result of human error. The derailment resulted in the rollover of UTLX 205849 and the leakage of approximately 25 gallons of material from the vacuum relief valve. Amount of loss is derived from the difference between amount loaded at origin and retrieved at destination by the consignee. The release was stopped by an environmental contractor using a plug and dike material. The car was righted and transported approximately one mile to the consignee's facility for unloading. The car will be sent to a tank shop for further inspection and repairs once unloaded. All movements were with the verbal approval of FRA Hazmat and Mechanical Inspectors who were onsite.

### MULTIPLE REPORT

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- 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.

### Describe:

The individuals responsible for the human error have received disciplinary actions involving unpaid suspensions and probationary periods. All members of the KXHR train crews have received education on the cause of the derailment and new procedures and bulletin orders issued to prevent recurrences.

## PART VIII – CONTACT INFORMATION

|                             |                                         |
|-----------------------------|-----------------------------------------|
| Contact's Name:             | PETER V. "DOC" CLAUSSEN                 |
| Contact's Title:            | PRESIDENT KNOXVILLE & HOLSTON RIVER RR  |
| Business Name and Address:  | KNOXVILL & HOLSTON RAILROAD             |
|                             | 301 W. QUINCY AVENUE KNOXVILLE TN 37917 |
| E-mail Address:             | pvc@gulfandohio.com                     |
| Telephone Number:           | 8655259400                              |
| Fax Number:                 | 8655463717                              |
| Hazmat Registration Number: |                                         |
| Date:                       | 09/25/2009                              |
| Preparer is:                | Carrier                                 |

03/01/2006