4000 Planning

The Planning Section is responsible for the collection, evaluation and dissemination of tactical information related to the incident, and for the preparation and documentation of action plans. This section also maintains information on the current and forecasted situation, and on the status of resources assigned to the incident, including the Situation, Resources, Documentation, Demobilization, and Environmental Units, as well as Technical Specialists.

4100 Planning Section Organization

The Planning Section Organizational Chart is shown below in Figure 4-1. The actual size of the Planning Section will be based on the needs of the incident. Roles and responsibilities of the Planning Section and Planning Section Chief (PSC) can be found in the Incident Management Handbook and the Planning Section Chief Job Aid. The Planning Section plays a critical role in the transition from a reactive response to a proactive response. Regardless of the initial complexity of the incident, the Planning Section must look far beyond the current situation and anticipate future incident changes. The PSC must be aware of immediate challenges and those that lie on the horizon.

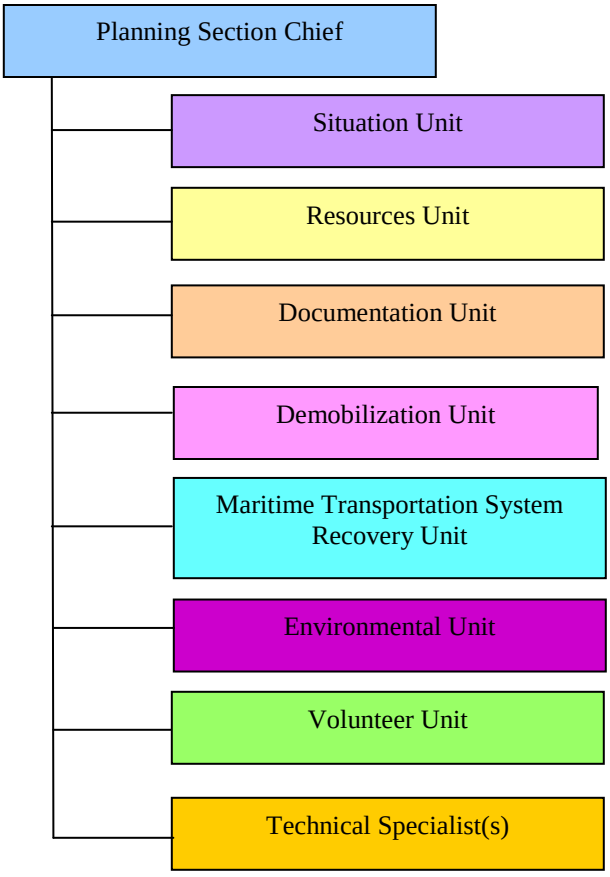

Figure 4-1. Planning Section Organization

4110 Planning Section Planning Cycle (Planning "P")

Figure 4-2 below provides a guide to the general responsibilities of the Planning Section during the Planning Process.

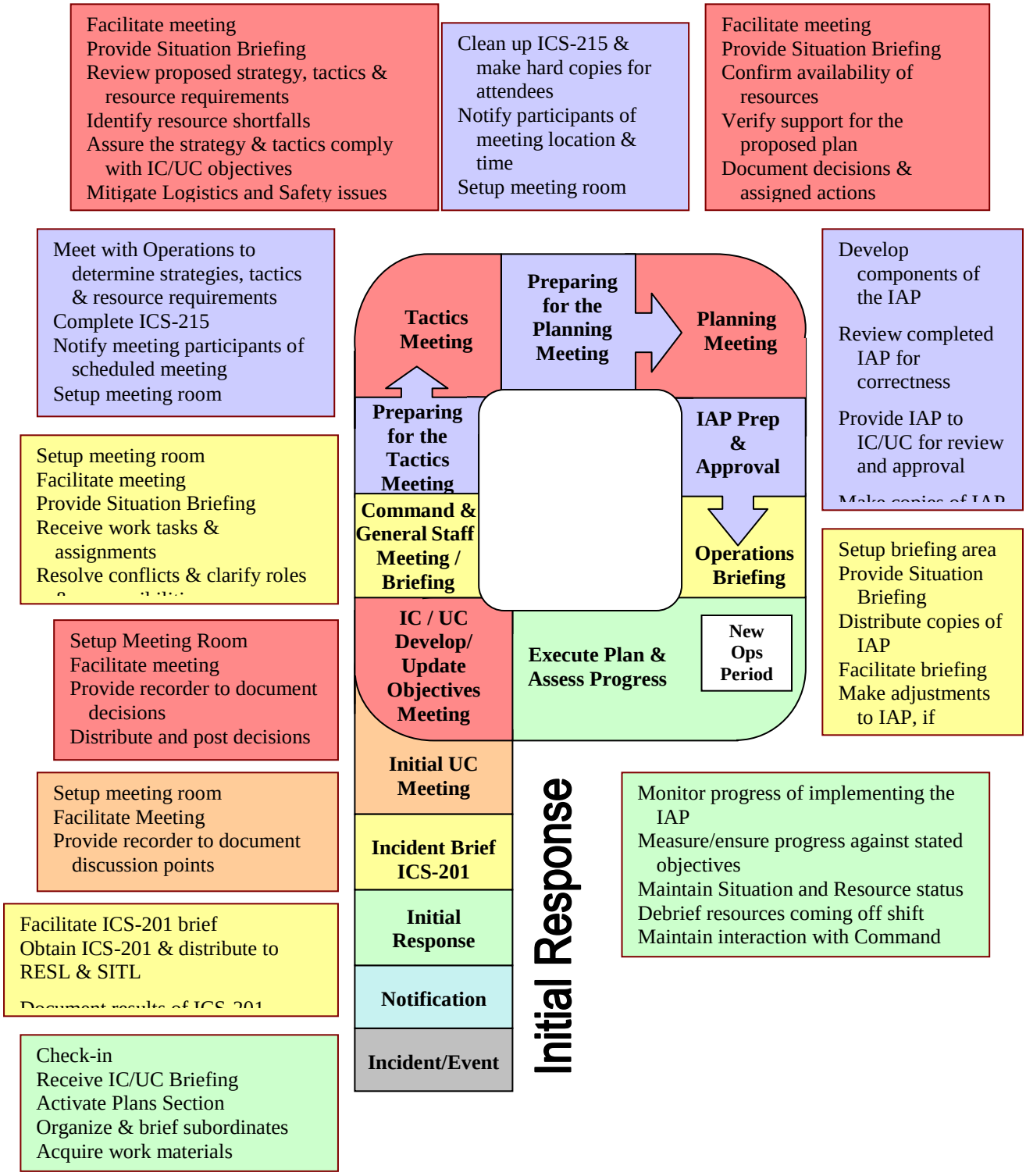

Figure 4-2. Planning Section's Planning "P"

4120 Planning Section Layout

When an incident's complexity or size exceeds the capacity of Sector San Juan's Command Center, the command and control of the incident will be shifted to an Incident Command Post. This threshold is typically met during a Type 3 Incident. Figure 4-3 is a generic layout for the Planning Section. For incidents that require a large planning organization it is important to have adequate space.

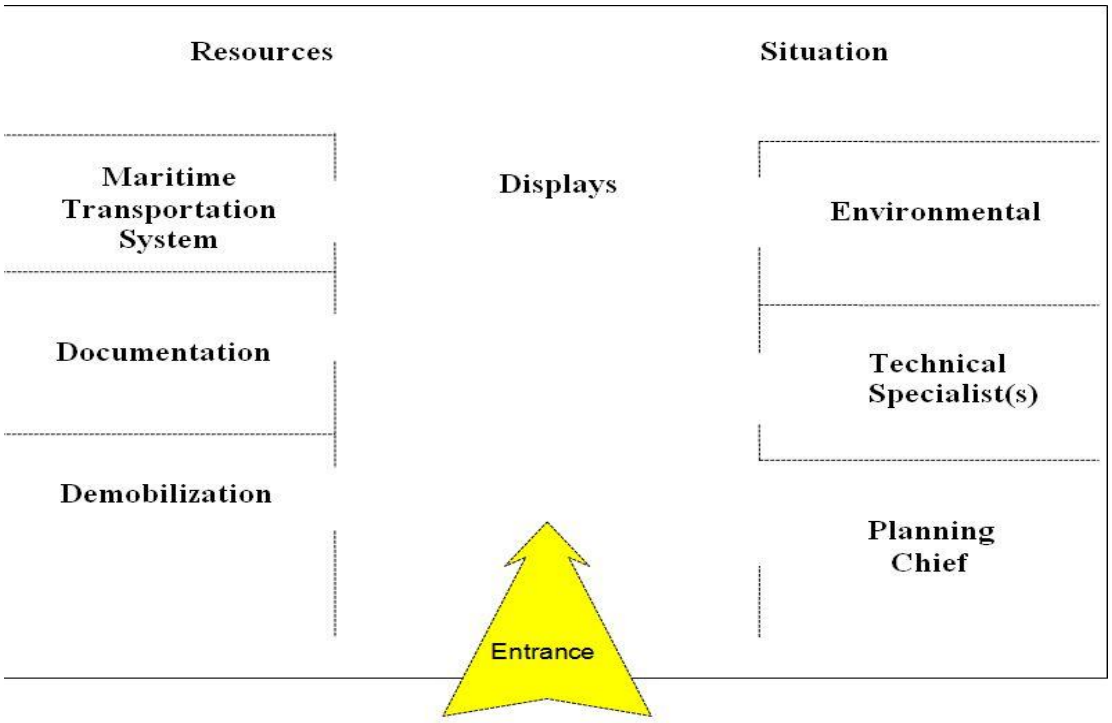

Figure 4-3. Example Planning Section layout

4130 Meeting Schedule

Once the Operational Period is set by the UC/IC, the Planning Section Chief will determine the meeting schedule. This is necessary to ensure that all steps in the planning "P" are accomplished and to allow sufficient time for completion of an Incident Action Plan (IAP) prior to the next Operational Period.

Example: At approximately 0700 the Incident Commander tells their Command and General Staff that the start of the next Operational Period will begin at 1800 (eleven hours from now). The Planning Section Chief works backwards from 1800 (Figure 4-4) to determine when each *step* in the planning process needs to start in order to work through the process and ensure the timely delivery of the IAP.

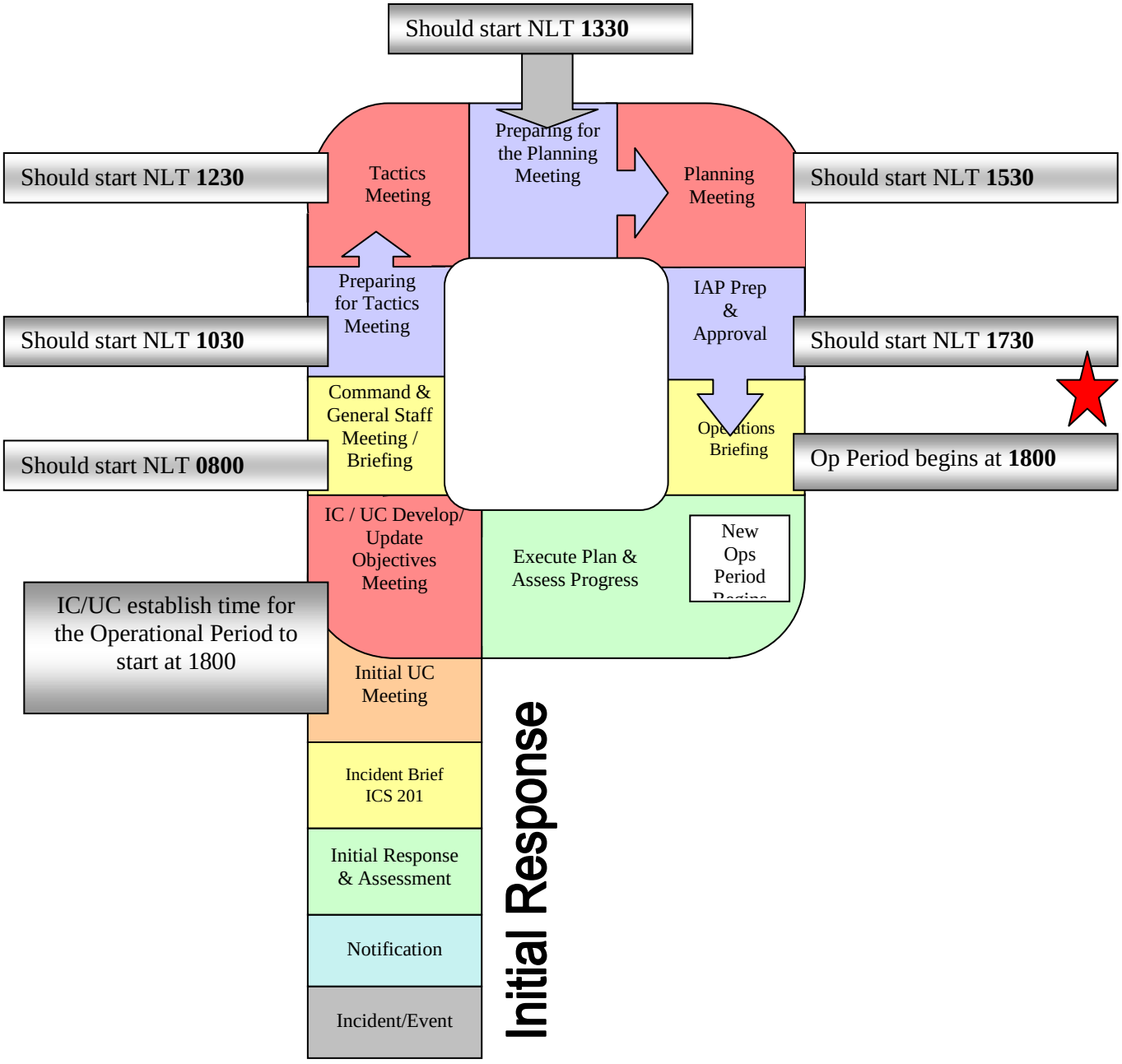

Figure 4-4. Example of the Operational Planning Process.

4200 Situation

The Situation Unit is responsible for the collection and evaluation of incident information, maintaining a situation display, and forecasting the incident evolution. This responsibility includes compiling information regarding the weather, currents, incident location, staging areas, and effectiveness of mitigating strategies. If the incident is an oil spill or hazardous materials release, information should also be collected regarding the type and amount spilled, recovered, current location, anticipated trajectories, and impacts on natural resources. Roles and responsibilities of the Situation Unit Leader (SITL) can be found in the IMH and the Situation Unit Leader Job Aid.

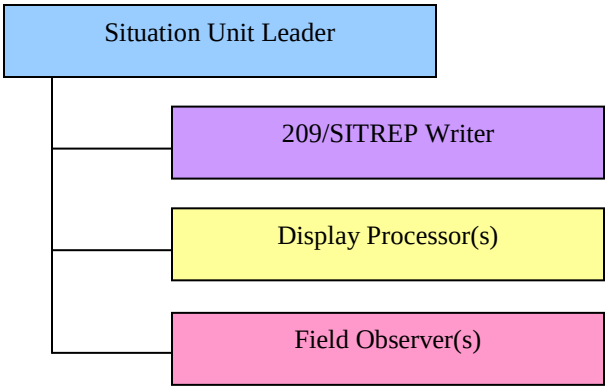

Figure 4-5. Situation Unit Organization.

4200.1 209/SITREP Writer

The Situation Report (SITREP) Writer is responsible for drafting, updating, and sending the ICS-209 (Incident Response Summary) to Command Staff and CG District Seven Incident Management Team (IMT). See Section 4250.1 below for more information regarding the ICS-209. Refer to Section 4250.10 for additional information.

4200.2 Display Processor(s)

Display Processors are responsible for the display of incident status obtained from Field Observers, resource status reports, aerial/satellite photographs and infrared data. Refer to the GRS for sensitive area maps and protection strategies which contains information necessary for this Unit. See the IMH for additional roles and responsibilities.

4200.3 Field Observer(s)

Field Observers are responsible for collecting situation information from personal observations at the incident scene. See the IMH for additional roles and responsibilities.

4210 Chart/Map of Area

See the Geographic Response Strategy for detailed regional maps. Also, charts for the COTP AOR are located in the CG's Situation Unit Go-Kit.

4220 Weather/Tides/Currents

Seasonal weather patterns may affect the planning and operational aspects of a response. Detailed weather information and forecasts can be obtained from a variety of sources:

National Weather Service:
The National Weather Service (NWS) is the primary source of weather data, forecasts, and warnings for the United States. Television weathercasters and private meteorology companies prepare their forecasts using this information. The NWS is the official voice for issuing warnings during life-threatening weather situations which means immediate access to all available warnings for the United States, including the latest information on tornadoes, hurricanes, severe thunderstorms, flash floods, floods, winter storms, special marine weather events and more. The Marine Weather page forecasts for U.S. Oceans and Lakes, including real-time buoy observations.

National Ocean Service Data Explorer:
National Ocean Service Data Explorer provides "one stop shopping" for images and data from a number of offices. These images and data are offered by theme (e.g., coastal aerial photography, low resolution nautical charts, coastal survey maps, environmental sensitivity index atlases, hydrographic survey outlines, historical, etc.)

NOAA Tides & Currents:
NOAA Tides and Currents provides real time and predicted/forecasted tides, currents, water levels, temperatures, and other coastal data, as well as various applications to display this information.

National Data Buoy Center (NDBC):
The National Data Buoy Center provides high quality meteorological/environmental data in real time from automated observing systems that include buoys and a Coastal-Marine Automated Network (C-MAN) in the open-ocean and coastal zone surrounding the United States.

4230 Situation Unit Displays

An Incident Situation Display should be established and maintained by the Situation Unit as soon as possible. It should be displayed in a highly visible and easily accessible location, in close proximity to the Planning Section and easily accessible to the Operations Section. Please see the Situation Status Display for an example display layout.

The purpose of the Situation Display is to establish a visual story of what is happening on the incident.

At a minimum, the display should include:

- Map/Chart of incident location;
- The current incident objectives;
- Summary of the status of the incident. This includes information on the incident itself (i.e. number of people/wildlife injured/dead, infrastructure damage, waterways, etc.) and information on response resources (i.e. number of vessels);
- The current situation (i.e. incident boundaries, weather, tides, currents, etc.);
- Predictions and potential impacts of what could happen if weather does not cooperate and/or mitigation strategies do not have the desired outcome; and
- Schedule of meeting times and locations.

Ensure the accuracy of situation information and that the information is current. A SITL has done a good job with maps, charts and other displays if responders are coming to the Leader for more information. This is especially true if the OSC uses these products to outline tactical plans.

The Situation Unit will also have to give a situation brief prior to every meeting. These briefs should include at a minimum:

- The perimeter of the incident;
- Operation Section organizational boundaries (i.e. divisions, branches);
- Established support facilities;
- Key geographic features;
- Wind direction and speed;
- Tides and currents (if appropriate); and
- Success of mitigation measures.

4240 On-Scene Command and Control (OSC2)

4240.1 Marine Information for Safety and Law Enforcement (MISLE) System

The MISLE system features an integrated crisis management system designed to provide real time (or near-time) response and planning information to a UC. It includes electronic forms using a Microsoft Access relational database, a Geographic Information System (GIS) situation display, and a web-based intranet system for disseminating information.

4240.2 Geographic Information System

The GIS Specialist, usually someone from NOAA, is responsible for compiling updated trajectory information and providing various map products to the incident command.

4250 Required Operational Reports

Throughout the response, numerous operational reports will be developed for formal dissemination of information and archival reasons. Some reports are required by regulation and others are required by Coast Guard Districts.

4250.1 Incident Response Summary (ICS-209)

The Incident Response Status Summary Form (ICS-209) is the responsibility of the Situation Unit. This form should be updated and maintained by the Situation Unit personnel and posted on the situation display. It should also be provided to the Command Staff as it gives a basic summary of the response operations and contains a lot of information which can be used while planning for the next operational period.

The ICS-209 has replaced the SITREP at many Coast Guard units including Sector San Juan as directed by D7. The ICS-209 Form contains a plethora of information including incident summary, future outlook/goals/needs, personnel status/injuries, infrastructure damage, equipment resources, etc. There are also various attachments available for different incident types such as Oil/Hazmat, SAR, Marine Disaster, etc.

4250.2 POLREPS

Pollution Reports (POLREPS) shall be submitted in accordance with the requirements outlined in Volume VI, Chapter 7.B.5.b of the Marine Safety Manual. The POLREP format can be found in Volume VII of the Marine Safety Manual, Figure 7-7.

4250.3 Marine Transportation System Executive Summary

The Marine Transportation System (MTS) Executive Summary Report is created through the Common Access Report Tool (CART). It is typically provided by the Maritime Transportation System Recovery Unit (MTSRU) and included as an attachment to the ICS-209. For more information regarding CART and the MTS Executive Summary Report see Section 4600 Maritime Transportation System Recovery.

4300 Resources

The Resources Unit is responsible for maintaining the status of all resources (primary and support) at an incident. This is achieved through the development and maintenance of a master list of all resources used during the incident. The Resources Unit Leader (RESL) position is perhaps the most challenging within the ICS organization. The RESL is responsible for maintaining the check-in, and tracking the current status (assigned, available, out of service) and location of all resources at an incident. The effectiveness and efficiency of the response is directly impacted by the how well the Resources Unit performs.

To accomplish their responsibilities the RESL is reliant on everyone else involved in the response to support their resource tracking needs. However, the most critical relationship is between the RESL and the OSC. Roles and responsibilities of the Resource Unit Leader can be found in the IMH and the Resources Unit Leader Job Aid.

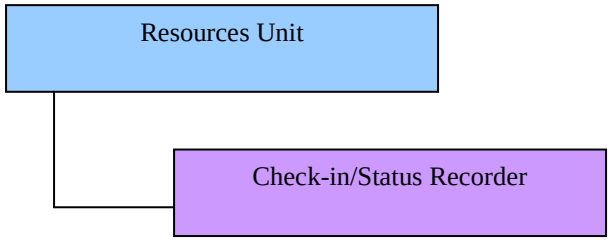

Figure 4-6. Resources Unit Organization

4300.1 Check-in/Status Recorder

Resource Check-in/Status recorders are responsible for ensuring all assigned resources are accounted for throughout the incident. See the IMH for additional roles and responsibilities.

4310 Resource Management Procedures

This section outlines the responsibilities for members of the Resources Unit in managing response resources for the Planning Section.

4310.1 Check-in Procedures

Check-in recorders are responsible for ensuring all personnel are properly accounted for as they report to an incident. During the early stages of a response when large numbers of resources are arriving, check-in locations are usually established in many different locations to handle the influx of resources (e.g., ICP, Staging Areas, Base/Camps, Helibases). Check-in recorders are needed at each check-in location to ensure that each resource assigned to a unit is accounted for. The Check–in List (ICS-211) will be used to record the necessary check-in information. Check-in recorders at these locations then forward the completed ICS-211 forms to the Resources Unit as soon as possible. The Resources Unit maintains a master list of all equipment and personnel that have reported to the incident and is responsible for establishing a visual resource tracking system, often using the ICS T-Card System.

4310.2 Resource Ordering

In addition to tracking of resources, the Resources Unit is responsible for assisting the Operations and Logistics Section Chiefs with identification and ordering of resources for response to oil spills or hazardous substance releases. The Resources Unit is responsible for preparing the Resource Assignment List (ICS-204), Resource Request (ICS-213RR) and the Operational Planning Worksheet (ICS-215) for the Planning Meeting (refer to page 3-7 of the Incident Management Handbook for specific guidance).

Resource Unit Role in Demobilization

Demobilization is an orderly and planned process and the Resources Unit has an important role in ensuring that the process is a smooth one. Resources that are scheduled for demobilization are placed under a Header Card labeled DEMOB. Once the Demobilization Unit Leader has advised the RESL that the resource is released, the T-card is updated with the demobilization information and then it is sent to the Documentation Unit Leader as part of the incident's historical record.

4320 Volunteers

See Section 4720 Volunteer Unit.

4400 Documentation

The Documentation Unit ensures that each section maintains and provides appropriate documentation. The Documentation Unit is essential to properly collecting, organizing, and maintaining custody of materials during and following the incident response. Government expenses must be properly documented in order to recover costs. This will serve to provide the Responsible Party with an accurate accounting and, in the event litigation is necessary, to provide concise, accurate, and admissible evidence. The National Pollution Funds Center (NPFC) has published Technical Operating Procedures (TOPs) for Resource Documentation to provide instructions and formats for the preparation and submission of resources and cost documentation for the purpose of cost recovery. Roles and responsibilities of the Documentation Unit can be found in the IMH and the Documentation Unit Leader Job Aid.

4410 Services Provided

It is the responsibility of the Documentation Unit to provide the following services to Incident Command personnel:

- Collect, file, and segregate all activity records for future archival reference. Relay any challenges and difficulties to the Planning Section Chief.
- Reproduce copies of originals in response to official requests approved by Planning Section Chief.
- Collect copies of supplementary plans from support agencies involved.
- Provide research support to Liaison Officer and Public Information Officer.

Complying with cost documentation requirements can become complex, but two methods have been identified by the NPFC to help ease the burden:

Pollution Incident Daily Resource Reporting System (PIDRRS) is a series of forms, instructions, and submission schedules, described in detail in the TOPs. It is based on the use of Standard Rates, which are published dollar rates for particular personnel resources, services, or products. The following rate schedules apply for various resources:

(a) Contractors use rates as prescribed in their BOA or as agreed to with the Contracting Officer;
(b) Coast Guard Units use standard rates found in Commandant Instruction 7310.0 (series); and
(c) Other government agencies may have a publication listing their standard rates, and if so should provide this to the FOSC. If not, that agency should execute a Pollution Removal Funding Agreement (PRFA) with the FOSC. See Section 6250 PRFA for additional information.

An NPFC-approved alternate system for government agencies must be an existing system for documenting activities and costs, and must be approved by the NPFC in advance.

4420 Administrative File Organization

Establishing an administrative filing system depends on the complexity of the incident, as well as the potential for future litigation. Typically, the person assigned to the Documentation Unit Leader position will be experienced in the management of such a task. Assistants should review the Incident Management Handbook and the Documentation Unit Leader Job Aid for additional information.

4500 Demobilization

The Demobilization Unit is responsible for developing the Incident Demobilization Plan and assisting sections and units to ensure an orderly, safe and cost effective demobilization of personnel and equipment.

The Demobilization Unit Leader (DMOB) must liaison with the Resource Unit Leader who maintains the latest information on current and future resources. This relationship is critical to ensure that all resources are released in a methodical way that maintains the integrity of resource accountability and does not impact the continuing response efforts.

The orderly release of incident resources is the entire command team's responsibility. However, it is the Demobilization Unit's job to set an orderly plan in motion and to ensure that the plan is followed. Effective management of demobilization is critical to the incremental downsizing of incident resources.

Responsibilities of the Demobilization Unit Leader include:

- The orderly release of all resources (equipment and personnel)
- Establishing a Demobilization Plan
- Coordinating and supporting the implementation of the Demobilization Plan
- Preparing Demobilization Check-out forms (ICS-221-CG) for each resource being released
- Keep the Planning Section Chief apprised of the demobilization progress

- As requested by the Planning Section Chief, attend planning meetings and briefs to provide information on the Demobilization Plan

Additional roles and responsibilities of the Demobilization Unit can be found in the Incident Management Handbook.

4510 Demobilization Plan Content and Sample Plan

The Demobilization Plan should consist of the following:

- General Information
  - Incident Commander/Unified Command expectations
  - Safety considerations
  - Directions to the Section Chiefs
- Responsibilities
  - Section Chiefs
    - Determine excess resources
    - Establish tentative release date and time for excess resources
  - Demobilization Unit Leader
- Release Priorities
  - Work with the Incident Commander/Unified Command to determine release priorities (consider)
    - Type of resource
    - Cost
    - Personnel welfare (safety and rest)
    - Needs of the responding agencies
    - Home unit of the resource (out-of-area vs. local)
- Release Procedures
- Incident Commander/Unified Command Approval

The Demobilization Plan should be distributed at least 24 hours prior to the release of the first resource. The following should receive a copy of the Demobilization Plan:

- Incident Commander/Unified Command;
- Command and General Staff;
- Resources Unit Leader; and
- Documentation Unit (original copy).

See the Sample Demobilization Plan for an example plan to follow.

4520 Demobilization Process

Step I: All unit leaders in Planning, Logistics and Finance/Administration identify any surplus resources at least 24 hours in advance of their anticipated demobilization time. The Resources Unit Leader will work with the Operations Section Chief to identify resource needs.

Step II: Surplus resources that have been identified for each Section should be given to the Section Chief who will then forward the tentative list of surplus resources to the Planning Section Demobilization Unit.

Step III: The Demobilization Unit will compile a Tentative Release List of surplus resources from all Sections and send them to the Incident Commander/Unified Command via the Planning Section Chief.

Step IV: Incident Commander/Unified Command approves the list of resources to be demobilized.

Step V: Approved demobilization list is sent to the Resources Unit and to the appropriate Section Chiefs.

Step VI: Section Chiefs notify the resources under their control that they have been approved for demobilization and the procedures to follow.

Step VII: Demobilization Unit ensures that the check out process is followed.

Step VIII: Demobilization Unit sends completed Demobilization Check-out Forms (ICS-221-CG) to the Documentation Unit for the historical record.

4600 Maritime Transportation System Recovery

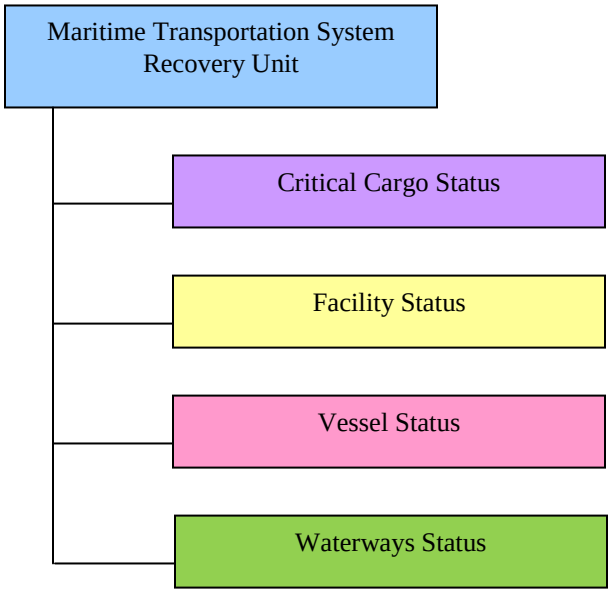

Figure 4-7. Maritime Transportation System Recovery Unit Organization

The Maritime Transportation System Recovery Unit (MTSRU) will function under Planning and will be positioned physically adjacent to Operations and Situation units.

The MTSRU will:

- Track and report on the status of the Maritime Transportation System (MTS).
- Define critical recovery pathways.
- Recommend courses of action.
- Provide all MTS stakeholders with an avenue of input to the response organization.

The MTSRU should be prominent in the regular ICS planning cycle, including the situational brief, setting incident objectives, and allocating response resources.
Roles and responsibilities of the MTSRU can be found in the IMH and the Maritime Transportation System Recovery Unit Leader (MTSL) Job Aid.

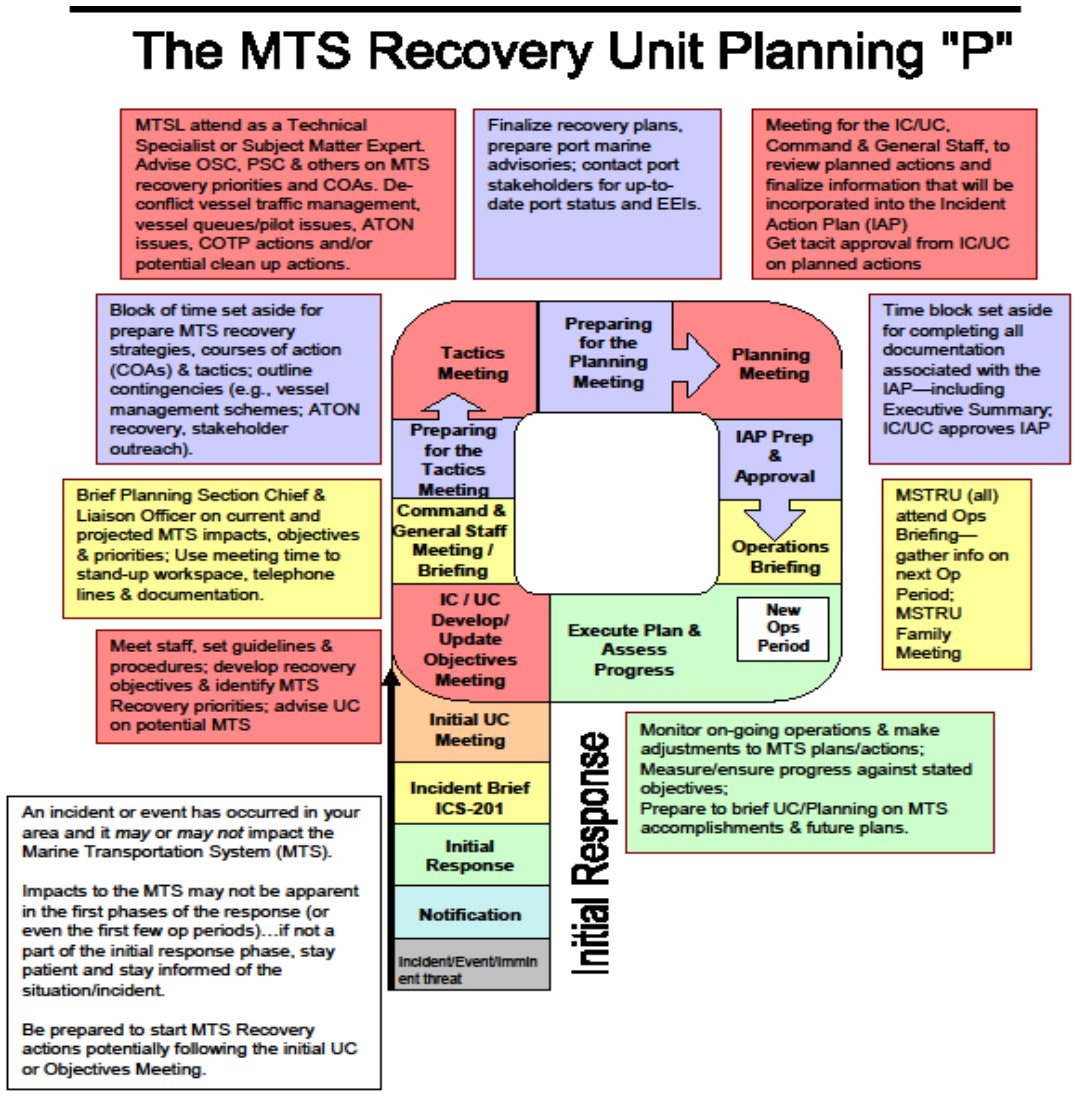

Figure 4-8 below provides a guide to the general responsibilities of the MTS Section during the Planning Process.

The daily operational planning cycle should include a precise focus on MTS infrastructure. Specifically, the situation brief should include the set of Essential Elements of Information (EEIs) to quantify the status of MTS for the affected Ports in the AOR. Operational period objectives should include emphasis on MTS infrastructure status and recovery priorities.

The complete list of EEIs for the AOR is included in the Common Assessment and Report Tool available at: https://cgcart.uscg.mil/logon.aspx?ReturnUrl=%2f (login required).

The information contained in CART assists the MTSRU in making MTS Recovery recommendations to the Unified Command and facilitates MTS Recovery Operations by:

- Providing timely and accurate information on pre-incident conditions in a Sector Area of Responsibility;
- Comparing baseline data and post incident data to characterize the extent of the impact on the MTS;
- Auto-generating the MTS Executive Summary Report in various formats to ease the sharing of data with all MTS stakeholders; and
- Use of web-based format facilitates transmission and sharing of MTS Recovery Status and Impact reports.

CART can also draft an MTS Executive Summary Report. This report is a great tool for passing concise reports on the status of the MTS Recovery efforts up the CG and DHS chains of command. It includes key information such as a Port/Incident Summary, MTS impacts, and MTS recovery actions, vessels in queue, waterways management actions, and future plans.

4700 Environmental, Volunteer, and Technical Specialists

Certain incidents or events may require additional units within the Planning Section such as an Environmental Unit, Volunteer Unit, or Technical Specialists who have specialized knowledge and expertise. Technical Specialists may function within the Planning Section or may be assigned wherever their services will be best utilized.

4710 Environmental Unit

The Environment Unit is responsible for environmental matters associated with the response, including strategic assessment, modeling, surveillance, and environmental monitoring and permitting. The Environment Unit Leader (EUL) prepares environmental data for the Situation Unit. Normally, the NOAA Scientific Support Coordinator will be included and located within the Environmental Unit if not assigned as Unit Leader. Technical Specialists are frequently assigned to the Environmental Unit and may also include Response Technologies, Trajectory Analysis, Weather Forecast, Resources at Risk, Shoreline Cleanup Assessment, Historical/Cultural Resources, and Disposal Specialists. Roles and responsibilities of the Environmental Unit can be found in the IMH and the Environmental Unit Leader Job Aid. See the GRS for specific environmental information and considerations for the COTP AOR.

4720 Volunteer Unit

After a major pollution incident, especially one that receives extensive press coverage, members of the local communities have demonstrated their concern by arriving at the sites of oil spills and volunteering to participate in efforts to clean up affected areas. The volunteers often arrive in large numbers and are usually untrained in oil spill response and clean up. Utilization of volunteers is subject to the guidance in National Contingency Plan (NCP), 40 CFR 300.185.
Generally, volunteers will not be used during federally funded responses without the permission of the OSC. A volunteer's unknown background, a potentially confusing chain of command, and liability issues preclude the use of volunteers in most situations. Should the Unified Command decide to use volunteers, they must first seek Coast Guard or other legal counsel. State and local agencies may utilize volunteers in accordance with their own policies.

No governmental organizations collaborate with first responders, governments at all levels, and other agencies and organizations providing relief services to sustain life, reduce physical and emotional distress, and promote recovery of disaster victims when assistance is not available from other sources. The American Red Cross is an NGO that provides relief at the local level and also coordinates the Mass Care element of Emergency Support Function #6. The National Voluntary Organizations Active in Disaster (NVOAD) is a consortium of more than 30 recognized national organizations of volunteers' active in disaster relief. Such entities provide significant capabilities to incident management and response efforts at all levels. Community-Based Organizations (CBO's) receive government funding to provide essential public health services. For example, the wildlife rescue and rehabilitation activities conducted during a pollution emergency are often carried out by local nonprofit organizations and individuals working with natural resource trustee agencies.

A gratuitous service is provided without any expectation of compensation. The distinction between individuals providing volunteer services and those providing gratuitous services is important primarily in determining the type of governmental liability of injury to the individuals and accountability for harms caused by the individuals. Federal law contains two important prohibitions regarding governmental use of voluntary services. First, it bans government officers and employees from accepting voluntary services for the government except for certain emergencies (Unified Command approval). Second, it bans government officers and employees from employing personal services in excess of that authorized by law defined under 31 US Code 1342. The purpose of the statutory prohibition is to avoid situations that might generate future claims for compensation which might be in excess of a Federal agency's funds.

4720.1 Volunteer Coordination and Responsibilities

The Volunteer Coordinator is responsible for managing and overseeing all aspects of volunteer participation, including recruitment, induction and deployment. The Volunteer Coordination is part of the Planning Section and reports to the Resources Unit Leader.

Responsibilities include:

- Coordinate with the Resource Unit to determine where volunteers are needed
- Identify any necessary skills and training needs
- Verify minimum skill/training required for volunteer assignment with the Safety Officer and assigned group leaders
- Identify, if needed, any necessary stand-by contractors for various training needs (example: HAZWOPER, etc.). Order through Logistics Section
- Coordinate nearby or on-site training as part of the deployment process
- Identify and secure other equipment, materials and supplies, as needed
- Induct (on-scene) convergent volunteers
- Activate other volunteers or organizations on file with SF Area Committee
- Recruit additional volunteers. Maintain status with Resource Unit Leader
- Coordinate with Logistics Section for volunteer housing and messing as needed
- Assist volunteers with other special needs

4720.2 Response Assistance Assignments

Utilization of volunteers is subject to guidance in National Contingency Plan (NCP), 40 CFR 300.185 which requires identification of functions for volunteer participation during response actions which should generally not involve physical removal or remedial activities. Volunteers will be assigned based on expertise and interest. The Area Committee has identified the following positions and function suitable for volunteer participation:

- Check-in/Status Recorder (Resources Unit)
- Beach reconnaissance patrols/Notification of injured wildlife (Planning Section)
- Demobilization Check-out (Demob Unit Leader)
- Community Liaison (Liaison Officer)
- Public relations administrative support (Information Officer)
- Personnel support functions (Logistics Section)
- Facility support functions (ICP, Staging Area, Camps) (Logistics Section)
- Wildlife cleaning and rehabilitation (Operations Section)
- Others as specific incident characteristics allow

Wildlife cleaning and rehabilitation will be supervised and managed by DOI or its delegated representative agency/organization as part of the Operations Section.

Where the OSC is directing, using, or controlling volunteers, governmental liability for the health and safety of the volunteers is contingent upon such issues as the level of supervision and control exercised by the FOSC over the activities of the volunteer and the status of the individual. The FOSC may face personal liability to the volunteer where the harm or injury was caused by FOSC actions conducted outside the scope of authority.

4720.3 Volunteer Training

In accordance with the guidelines of the NCP, the FOSC is responsible to provide for the health and safety of all workers. OSHA regulations require specific initial training of works prior to their engagement in hazardous waste operations or emergency response that could cause exposure to safety and health hazards. The level of training may vary with the worker's job junction and responsibilities. OSHA regulation 29 CFR 1910.120 dictates the level of HAZWOPER training required for response duties assigned. Volunteers involved in the post-emergency response phases of an oil spill will require hazardous materials awareness training. Volunteers should not be assigned duties in which exposure to gross amounts of oil/hazardous material could be expected. But some support activities may encounter/discover areas of contamination (beach reconnaissance, wildlife rehabilitation, etc.).

Instead, volunteers can fall under the "De Minimis" exception. Under OSHA Directive CPL 2-2.51 and OSHA Standards Interpretation and Compliance Letters (dated 02/13/1992), "a minimum of four hours [training] would be appropriate in most situations." Ensure any training requirements have consensus review by the Safety Officer and Legal Officer.

Persons completing appropriate training are to be given written certification and documented in the response archive file.

4730 Hazardous Materials Technical Specialists

4730.1 Toxicologist

A Toxicologist is a specialist who studies the nature, adverse effects, symptoms, mechanisms, treatment and detection of poisons.

4730.2 Product Specialist

A Product Specialist is a trained professional that is knowledgeable about the specific hazardous substance product that was or has the potential to be released, and in particular the chemical changes that may occur when it is released into the environment.

4730.3 Certified Marine Chemist

Marine Chemists are paid consultants with the equipment and expertise to obtain temperature readings, check for the presence and concentrations of gases and, in some instances, provide needed advice to the fire fighting forces concerning the nature of chemical related hazards encountered. The USCG, EPA and OSHA require that a certificate issued by a Marine Chemist must be obtained before hot work or fire producing operations can be carried out in certain spaces aboard a marine vessel.

The appropriate USCG Regulations are contained in 46 CFR 35.01-1(c)(1), 71.60-1(c)(1), 91.50-1(c)(1), 167.30-10(c)(1), and 189.50-1(c)(1). The appropriate OSHA regulations are contained in 29 CFR 1915.14.

In complying with both the USCG and OSHA regulations, the Marine Chemist applies the requirements contained in National Fire Protection Association (NFPA) Standard 306, Control of Gas Hazards on Vessels. This describes conditions that must exist aboard a marine vessel. A survey by the Marine Chemist ensures that these conditions are satisfied.

In addition, a Marine Chemist is able to perform similar evaluations on other than marine vessels where an unsafe environment exists for workers, or hot work is contemplated on a system that might contain residues of a flammable or combustible product or materials.

4730.4 Certified Industrial Hygienist

An Industrial Hygienist (IH) is a professional who is dedicated to the health and well being of workers or responders. Their expertise is used to determine if conditions are hazardous and can cause an adverse health effect on workers or the environment. Resources are available within the Coast Guard that can provide advice and support to the FOSC in the areas of industrial hygiene and occupational health. These resources are available through the following sources:

Sector San Juan Safety and Occupational Health Officer: Provides identification and evaluation of potentially hazardous conditions in the work environment and provides recommendations to unit commander and FOSCRs. The majority of efforts are directed upon surveillance of the work environment to ensure the protection of CG work force, public health and property.

CCGDSEVEN Safety and Occupational Health Officer: This person coordinates with unit personnel to implement and ensure the efficient functioning of mandated Safety and Occupational Health Programs and policies relating to benzene exposure reduction, hearing conservation, respiratory protection, hazard communication and others. This specialist is a trained Industrial Hygienist with a Marine Safety background.

National Strike Force Industrial Hygienist: Each Strike Team has an Industrial Hygienist on staff that provides industrial hygiene advice and limited field support for response activities. NSF support can be requested via a Request for Forces (RFF) to CG District Seven.

4730.5 Chemist or Chemical Engineer

A Chemist or Chemical Engineer is a trained and licensed professional that is knowledgeable in the development and application of manufacturing processes in which materials undergo changes in properties and that deals especially with the design and operation of plants and equipment to perform such work.

4730.6 Sampling

The Sampling Specialist is responsible for providing a sample plan to coordinate collection, documentation, storage, transportation, and submittal of samples to appropriate laboratories for analysis or storage.

4740 Oil Technical Specialists

4740.1 Scientific Support Coordinator

NOAA provides SSCs to support FOSCs. The SSCs can provide a variety of technical support before and during an emergency response operation.
In certain situations, the SSC could also act as the Environmental Unit Leader. See Section 9120 Federal On-Scene Coordinator's Notifications for contact information.

SSC Pre-incident Support

- Act as liaison with the regional scientific community to determine the availability and ability of that community to respond to Sector San Juan requests for assistance which may be necessitated by spills of oil and hazardous materials.
- Provide scientific and technical guidance to update existing response plans with respect to scientific support for spills of oil and hazardous substances in the region in which the incumbent is assigned.
- Develop and maintain high-level contact with federal, state, and local agencies, academic institutions, industrial and other organizations with concerns related to spills of oil and hazardous substances.
- Provide scientific and technical guidance in experimental design, data management, data analysis, and reporting for oil and hazardous materials spill response and research programs to insure continuity and the optimization of research opportunities.
- Coordinate NOAA scientific research planning efforts concerning the fate and effects of spills with other federal, state, private, and international scientific research groups to maximize the use of logistics, to avoid duplication of effort and to combine all resources for research.

SSC Incident Support

- Coordinate all scientific response activities relative to the spill, by Federal, state, local and academic institutions.
- Through coordination with other elements of the NOAA HAZMAT Division, provide the USCG with information regarding the movement of pollutants through computer trajectory modeling and observation, biological resources threatened by the spill, and geomorphologic/biological vulnerability of threatened shorelines.
- Set protection priorities related to threatened environmental resources to guide the US Coast Guard in their cleanup and containment efforts.
- Ensure that all appropriate details of response plans are carried out for maximum utilization of resources and avoidance of duplications of efforts.

- Ensure that all federal, state, and other groups with legal mandates regarding activities associated with spills have the opportunity to carry out their mandated responsibilities.
- Evaluate the potential for accomplishing research and development projects during spill incidents and coordinate such efforts as deemed appropriate.

4740.2 Lightering

One of the most effective ways to mitigate or prevent an oil spill or hazardous material release is to remove all remaining cargo and unnecessary bunker fuel from the vessel. This is particularly useful when the risk of a hull breach is increasing due to changing environmental or physical conditions on the vessel. Vessel cargo/fuel may be lightered to another vessel, or lightered to mobile facilities ashore.
Choosing which is most appropriate will depend on the location of the vessel and availability of each. Whichever is chosen, it is important to ensure the receiving vessel or facility is qualified to handle the lightered material and that any cargo/residue in hoses and holding tanks are compatible with lightered material. Furthermore, the effects on the stability of the vessel should be taken into account when lightering a vessel. While lightering may present benefits when attempting to re-float a vessel, it may also present additional structural stresses upon the vessel. It is important to work with naval architects as well as the person in charge of loading/offloading the vessel, who is frequently the Chief Officer or First Mate of the vessel.

4740.3 Salvage

The primary written guide on salvage operations is the US Navy Salvage Manual. Parties involved in a salvage response should refer to the manual for specific information relating to salvage techniques. See Section 9240 Additional Resources/OSROs for salvage company contact information; also see Section 3320 Salvage for more information.

Salvage efforts may be divided into three phases: stabilization, re-floating, and post-re-floating. During the stabilization phase, salvors take steps to limit further damage to the vessel and to keep the ship from being driven harder aground or broaching. Response leaders gather information and formulate a salvage plan; the plan specifies actions to be taken during the re-floating and post-re-floating phases of the salvage. The re-floating phase commences when the salvage plan is executed and ends when the ship begins to move from her strand. During post-re-floating, the vessel is secured and delivered to the designated port facility.

4740.4 Shoreline Cleanup Assessment

Shoreline Cleanup Assessment Teams (SCATs) provide on-scene assessments of shoreline impacts. NOAA has a Shoreline Assessment Job Aid, which can aid the response organization in determining the extent of damage along various types of shoreline. Also see Section 1630 Cleanup Assessment Protocol.

4740.5 Natural Resource Damage Assessment (NRDA)

After an oil spill or hazardous substance release, response agencies like the EPA or the USCG clean up the substance and eliminate or reduce risks to human health and the environment. Unfortunately these efforts may not fully restore injured natural resources or address their lost uses by the public. Through the NRDA process, studies will be conducted to identify the extent of resources injuries, the best methods for restoring those resources, and the type and amount of restoration required. See Section 2430 Trustee Funding – NRDA.

4740.6 Specialized Monitoring of Applied Response Technologies (SMART)

SMART is used to scientifically monitor the use of dispersants, other chemical countermeasures, or in-situ burns.
These operations however, because of their time sensitivity, shall not be delayed pending the arrival of SMART monitoring equipment or personnel.

SMART is used to collect scientific information for the Unified Command to provide a measurement of success in the operation and to improve the knowledge about non-mechanical recovery procedures. See Section 1680 SMART for more information regarding SMART protocols.

4740.7 Response Technologies (Dispersant, ISB, Bioremediation, Mechanical)

See Section 1640 Alternative Cleanup Technologies and 3200 Recovery and Protection for detailed response technology policy and procedures. See Section 9240 Additional Resources/OSROs for OSRO contact information.

4740.8 Decontamination

Decontamination is the process of removing or neutralizing contaminants that have accumulated on personnel and equipment.

Trained personnel in accordance with established standard operating procedures will perform decontamination. The Safety Officer will approve all decontamination procedures, equipment and stations. Decontamination procedures for non-ambulatory personnel should also be included. All workers must be decontaminated when leaving a contaminated area. All equipment and clothing from a contaminated area should be stored in a controlled area near the incident site until decontamination or proper disposal can be accomplished. Contaminated equipment such as containers, brushes, tools, etc., should be placed in labeled containers. Partially decontaminated clothing should be placed in plastic bags pending further decontamination or disposal. Respirators should be dismantled, washed and disinfected after each use. Suitable containment structures or portable containers will collect water used for decontamination. Areas used for decontamination will be monitored for residual contamination. See Section 3280 Decontamination for additional information.

4740.9 Disposal

There are several disposal methods available for recovered oil or hazardous material. Each method is dependent on the physical state of the oil/hazmat which is directly related to how long the product has been exposed to the elements. These methods include reprocessing, burial, incineration, and asphalt blending. Recovered oil is most easily dealt with by separating out any water that may be present and refining it locally or shipping it to its original destination. The specific disposal method depends on the nature of the oil-contaminated material, the location of the spill, and the prevailing weather conditions. The Disposal (Waste Management) Specialist is responsible for providing the Planning Section Chief with a Disposal Plan that details the collection, sampling, monitoring, temporary storage, transportation, recycling, and disposal of all anticipated response wastes. See Section 3270 Disposal for additional information.

4740.10 Dredging

US Army Corps of Engineers (ACOE) provides expert contracting advice, engineering and construction capabilities involving drift and wreck removal, levee and dike construction or reconstruction, beach restoration, and dredging. Survey equipment includes hydrographic survey and water sampling equipment with associated physical content testing capabilities. Jurisdiction includes authority over dredge and fill-operations adjoining waters of the U.S.

4740.11 Deepwater Removal

Offshore/ocean removal would be considered on a case-by-case basis depending on the location. Refer to Section 3320 Salvage.

4740.12 Heavy Lift

Salvage companies would most likely be the primary point of contact for providing heavy lift equipment. Refer to Section 3320 Salvage.

4750 General Technical Specialists

4750.1 Cultural and Historic Properties

The National Historic Preservation Act requires federal agencies to take into account the effects of response actions on historic properties when responding to spills. This policy is outlined in the Programmatic Agreement on Protection of Historic Properties during Emergency Response under the NCP. As the federal official designated to coordinate and direct response actions, the FOSC is responsible for ensuring historic properties are appropriately considered while planning and during a spill response. Most historic sites are located on land and are not likely to be impacted by spills of oil or hazardous substances. However, many sites are located near the water, which can be adversely impacted by containment and recovery operations.

Heavy equipment is particularly harmful to archeological sites and the FOSC should use other methods of containment and recovery in these areas. Some historic sites are located underwater and may be damaged by an oil or hazardous substance spill. However, even underwater, the sites are more likely to be adversely impacted by containment and recovery operations than the spill itself.

The National Register of Historic Places (36 CFR Part 60) is managed by the National Park Service and includes districts, sites, buildings, structures, and objects that are significant in American history. The National Trust for Historic Preservation's Southern Office serves Alabama, Florida, Georgia, Kentucky, Louisiana, Mississippi, North Carolina, Puerto Rico, South Carolina, Tennessee, and the US Virgin Islands. Below is their contact information:
William Aiken House, 456 King Street
Charleston, South Carolina 29403
Phone: 843-722-8552
Fax: 843-722-8652
Email: sro@nthp.org

Before conducting containment or recovery operations on a historic or cultural site, the FOSC should contact the SHPO to determine the sensitivity of the site. They may also be able to assist in identifying which containment and recovery techniques are least likely to impact the historic or cultural site.

The CRRT Caribbean Regional Response Team Guidelines for the Programmatic Agreement on Protection of Historic Properties during Emergency Response under the National Oil and Hazardous Substances Pollution Contingency Plan provides additional guidance for the FOSC. Also, refer to Section 1660 for more information pertaining to the SHPO. SHPO contact information can be found in Section 9100.

4750.2 Legal

All organizations in a response should consult with their legal staffs for legal advice during a response if legal questions arise involving their organization.

US Department of Justice

The US Department of Justice provides the highest level of legal advice within the Federal Government. The Environment and Natural Resources Division (ENRD) is responsible for litigation ranging from: protection of endangered species, to global climate change, to cleaning up the nation's hazardous waste sites. Nearly one-half of the Division's lawyers enforce the nation's civil and criminal environmental laws and the health and environment of all Americans. The Division also defends environmental challenges to government programs and activities. It represents the United States in all matters concerning the protection, use, and development of the nation's natural resources and public lands, wildlife protection, Native American rights and claims, and the acquisition of federal property. https://www.justice.gov/enrd

USCG Legal Service Command Norfolk

The USCG Chief of the Legal Service Command (LSC) Norfolk is the principle legal advisor and Staff Judge Advocate to Atlantic Area/Seventh District/Maritime Defense Zone Atlantic, Commander Maintenance and Logistics Command Atlantic, their respective staffs, and subordinate units. The Mission Support Law Branch (LSC-4) provides legal advice to commands located within the Legal Service Command's AOR on: Employment and Labor Law, Ethics, Litigation Support, Environmental Law, Property Law (real and personal), and Public Information Law (including the Freedom of Information Act (FOIA), Privacy Act, and Health Insurance Portability and Accountability Act (HIPPA)).

Commonwealth of Puerto Rico - Office of the Attorney General

The main functions of the Commonwealth of Puerto Rico Office of the Attorney General are to have general charge, supervision, and direction of the legal business of the Territory and to act as legal advisor and representative for the Governor and executive agencies, territorial boards and commissions, and institutions of higher education. The Attorney General is the legal advisor to virtually every agency in Puerto Rico's government.

4750.3 Chaplain

The Chaplain Emergency Response Technical (CERT) Specialist is responsible for identifying and securing the services of sufficient Chaplains necessary to carry out pastoral care duties to provide for the spiritual and emotional needs of all Coast Guard personnel involved in a major disaster. The CERT Specialist is responsible for making an immediate assessment of how many Chaplains are required to provide adequate pastoral care and make the necessary notifications to ensure their immediate response and presence. The CERT Specialist is the point–of-contact for all requests from operational units for Chaplains and their services and is responsible for the appropriate assignments and duties of all Chaplains involved in Coast Guard operations. The CERT Specialist reports directly to the Incident Commander. The USCG District Seven Chaplain's Office is located in Miami, FL.

4750.4 Public Health

Public Health Technical Specialists may be needed to provide public health/worker health and safety technical knowledge and expertise in events involving oil, hazardous substance/materials, radiation, or health and medical issues. Public Health Technical Specialists from the Department of Health and Human Services' Centers for Disease Control and Prevention can provide technological assistance.

US Department of Health and Human Services

The Department of Health and Human Services (USDHHS) is the U.S. government's principal agency for protecting the health of all Americans and providing essential human services, especially for those who are least able to help themselves.

4750.5 Human Resources

The Human Resources Specialist is responsible for providing direct human resources services to the response organization, including ensuring compliance with all labor related laws and regulations. If it is necessary to form a Human Resources Unit, it is normally in the Finance/Admin Section.

4750.6 Critical Incident Stress Management

The CG Critical Incident Stress Management (CISM) Specialist is responsible for identifying and securing the immediate response and services of sufficient CISM team members necessary to carry out CISM duties to provide for the psychological and emotional needs of all Coast Guard personnel involved in a major incident. The CISM Specialist is the point of contact for all requests from operational units for CISM services and is responsible for the appropriate assignments and duties of all CISM team members involved in the evolution. Due to the importance of the mental well-being of all response personnel and the highly specialized nature of the program, the CISM Specialist would be assigned to the command level of the organization and would report directly to the IC or UC. Sector San Juan should refer to Health, Safety and Work Life Office (HSWL FO) - Work Life Branch for CISM guidance or assistance as well as COMDTINST 1754.3, Critical Incident Stress Management.

4760 Law Enforcement Technical Specialists

Many federal, state, and local governmental agencies work together during a law enforcement situation. Federal, state, and local agencies will have both distinct and complementary jurisdictions. Coordination is extremely important. Refer to Section 3360, Law Enforcement for additional information.

4770 Search and Rescue Technical Specialists

Many federal, state, and local governmental agencies work together during a SAR incident. While the US Coast Guard is ultimately responsible for SAR on the navigable waterways of the United States, it relies heavily upon state and local assets to successfully resolve cases, with minimal loss of life. Refer to Section 3310, Search and Rescue for additional information.

4780 Marine Fire Technical Specialists

Refer to the Marine Firefighting Plan.

4800 Permits and Consultations

4810 Administrative Orders

An Administrative Order is a tool used by the FOSC to ensure appropriate actions are being taken by a Responsible Party in a potential threat or actual spill, or FWPCA hazardous material release. The Oil Pollution Act of 1990 amended the Federal Water Pollution Control Act and provided more authority to FOSC's to direct the removal actions in response to discharges of oil or FWPCA hazardous substances. Under 33 USC 1321 (c) and (e), an FOSC may now issue orders to responsible parties to ensure effective and immediate removal of a discharge or the mitigation or prevention of a substantial threat of a discharge of oil or FWPCA hazardous substance. An FOSC may also issue administrative orders "that may be necessary to protect public health and welfare".

4820 Notice of Federal Interest

Reference COMDTINST M16000.14A, Coast Guard Marine Environmental Response and Preparedness Manual.

The Notice of Federal Interest (NOFI) is used to designate and notify owners, operators or persons in charge, in writing that an oil pollution incident occurred or threatens to occur and that specified personnel may be financially responsible for that incident. The Responsible Party is liable for among other things, removal costs and damages resulting from the incident. The NOFI notifies the Responsible Party that the failure or refusal to provide all reasonable cooperation and assistance requested by the FOSC will eliminate any defense, or entitlement to limited liability. The NOFI notifies the Responsible Party that failure to properly carry out the removal of the discharge, or comply with any administrative order of the FOSC may result in civil penalties or up to three times the cost incurred by the Oil Spill Liability Trust Fund.

4830 Notice of Federal Assumption

Reference COMDTINST M16000.14A, Coast Guard Marine Environmental Response and Preparedness Manual.

Under FWPCA Section (311)(c)(l), whenever a polluter is unknown or not acting responsibly, or when their removal effort is insufficient, or to prevent the substantial threat of a discharge, the OSC may assume total or partial control of response activities. The OSC must inform the suspected polluter, if known, of this action by issuing a Notice of Federal Assumption (NOFA) of Response Activities, even if the suspected polluter has not initiated any action. This Notice references the Notice of Federal Interest for an Oil Pollution Incident and indicates the date and time the Federal response is initiated. The same procedures used for issuing and obtaining signatures for the Notice of Federal Interest for an Oil Pollution Incident apply. This requirement is for internal direction only. The failure of an OSC to present a Notice of Federal Assumption of Response Activities in a given case does not affect any liability of any person which may arise in that case. In some instances, the FOSC may determine that the polluter's response efforts should continue, but that some federal assistance is necessary to augment the cleanup (e.g., cleanup resources that the polluter cannot or will not provide).

Whenever it is necessary for the federal government to expend funds in support of a cleanup operation, for purposes other than monitoring, the OSC should declare a federal spill for the area(s) for which he or she is assuming control, activate the OSLTF to cover expenses and take whatever actions are necessary to ensure a proper cleanup. In these cases, the Notice of Federal Assumption shall clearly delineate those actions or areas for which the FOSC is assuming control or providing other resources. The term "declare a federal spill" means: in the case where a suspected polluter has been identified, the presentment of the Notice of Federal Assumption; or in other cases, the initiation of federal removal operations.

4840 Letter of Designation

Reference COMDTINST M16000.14A, Coast Guard Marine Environmental Response and Preparedness Manual.

Designation of a source under Section 1014 of OPA 90 is conducted to fulfill the requirements relating to the dissemination of information about an incident, through advertisements, so that potential claimants will be aware of the opportunity and procedures for submitting claims for uncompensated removal costs or damages. Exact specification and types of advertisement required are provided in the letter issued by the NPFC. OPA provides that designation of source is done where "possible and appropriate." Coast Guard Sectors will not issue Notice of Designation's. Per the Technical Operating Procedures for Designation of Source, the NFPC will designate the source, notify the reporting party/guarantor, and set the advertising requirements. In the event that it appears there is a reasonable possibility for claims in a given incident, but the source is not known, the FOSC immediately notifies the NPFC. The NPFC will then advertise as required under section 1014(c) of OPA.

4850 Fish and Wildlife Permits

A Federal Migratory Bird Rehabilitation Permit will authorize you to take, transport and temporarily possess sick, injured, and orphaned migratory birds for rehabilitation purposes. For more information regarding fish and wildlife permits see the following Code of Federal Regulations (CFR): 50 CFR 10 (General Provisions), 50 CFR 13 (General Permit Procedures), 50 CFR 14 (Importation, Exportation, and Transportation of Wildlife), and 50 CFR 21 (Migratory Bird Permits).

Both the Virgin Islands and Puerto Rico fall under the FWS Region 4 Migratory Bird Permit Office. Send completed application forms to the Regional Migratory Bird Permit Office:

1875 Century Blvd., Suite 400
Atlanta, GA 30345
Phone: 404-679-4000
Fax: 404-679-4006

Federal and state wildlife agency personnel have the authority to recover oiled or dead migratory birds under their USFWS Migratory Bird Salvage Permit.

In addition, established bird rehabilitation centers (e.g., Tri-State Bird Rescue & Research, Inc.) have authority to recover and rehabilitate oiled birds under regionally-issued migratory bird permits. Properly licensed migratory bird rehabilitators (federal and state license required) can also recover and rehabilitate oiled birds. Tri-State maintains records on trained rehabilitators and can provide advice to the FOSC on this issue. See the FWS website for more information regarding Fish and Wildlife permits.

4860 Endangered Species Act (ESA) Consultations

Under Endangered Species Act Section 7(a) (2), federal agencies are required to consult on actions that may affect listed species and/or habitat. Similarly, the National Contingency Plan requires the Department of the Interior and Department of Commerce to participate in the spill planning process, provide technical expertise to the FOSC during a spill response, and facilitate compliance with ESA in both instances. Refer to Section 1650.3 for additional ESA information.

4870 Disposal

See Sections 3270 Disposal, 4740.9 Disposal, 5220.92, and 40 CFR 230.

4880 Dredging

US Army Corps of Engineers can be contacted as the primary source for required correspondence, permit, and consultation information. Refer to Section 4740.10 Dredging for more information.

4890 Decanting

Decanting is a vital part of the recovery process. The inability to decant water from recovered oil/water mixtures and return the excess water into the recovery area significantly reduces the volume of available temporary storage capacity, thus reducing the effectiveness of the on-water skimming and recovery operations. The inability to return the excess water containing some amount of oil will delay recovery operations and possibly lead to a complete cessation of recovery operations until additional temporary storage can be arranged.

It is essential that the return of oil and oily water associated with the mechanical recovery process be clearly authorized so that responders are not placed at legal risk when carrying out recovery operations. Although no pre-approval for decanting exists, decanting will be considered on a case-by-case basis by Federal and State On-Scene Coordinators. In considering whether to permit decanting, criteria to be addressed will, at a minimum, include: Availability of additional storage; resources at risk; toxicity of proposed discharge; and other incident specific considerations. Refer to Section 3270.2 or Annex H CRRT Contact Water Policy for additional guidance.

4900 Reserved for Area/District

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