



U. S. Coast Guard Sector



Auxiliary Assistant Pollution Responder

Performance Qualification Standard

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Sector Training Guide

Auxiliary Assistant Pollution Responder Performance Qualification Standard

Qualification Code: AUX-ED

This booklet is one section of your personal 'on the job training' (OJT) manual. It is your OJT guide to qualification as a Pollution Responder. It is your responsibility to document completed unit training items.

Verifying Officers shall be experienced and qualified personnel who have demonstrated the ability to evaluate, instruct, and observe other personnel in the performance task criteria. Verifying Officers must be certified in the competencies for which they are to verify and must be command designated. Verifying Officers must enter their title, name, and initials in the Record of Verifying Officers section before making entries in your workbook.

A Verifying Officer shall observe your successful performance of each task and document such with date and initials in the appropriate space provided in this booklet. It may be necessary to perform a task several times. The Verifying Officer will not give credit for any task that is not performed satisfactory.

Auxiliarists do not have law enforcement authority. They cannot independently exercise COTP, OCMI, FMSC or FOSC authority and may become personally liable for actions they take outside of prescribed directives. Do not allow an Auxiliarist to be placed in a position that will compromise the limitations on the member's authority.

Certain tasks may require participation in an actual incident response, but the unit's response activity may preclude you from accomplishing these tasks. Therefore, with the approval of the Command and Verifying Officer, you may utilize exercises and/or training as a means of accomplishing the requisite participation in order to fulfill the task requirements.

When you have completed all of the items required for this qualification, your command will issue a Letter of Qualification and your Unit Training Coordinator will record and certify the your qualification in Training Management Tool (TMT). You must forward a copy of your Letter of Designation to your DIRAUX for entry into AUXDATA.

Should any item be waived the qualification is considered local and will not be entered into AUXDATA and may not be used toward qualification for the Marine Safety (Trident) device.

The Program Managers for this PQS is Commandant (CG-533, CG-545 and CG-542) and Auxiliary National Prevention Department.

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Auxiliary Assistant Pollution Responder

RECORD OF VERIFYING OFFICERS		
Title	Verifying Officer's Name	Initials

RECORD OF MAJOR TASKS COMPLETED		
Task Number	Major Tasks	Date Completed
1.0	Basics for Pollution Investigation & Response	
2.0	Preliminary Assessment & Initiation of Action	
3.0	Investigation & Response Efforts	
4.0	Complete Incident Investigation Activity	
5.0	Recommend Enforcement Actions	

RECORD OF COMPLETION		
Training Prerequisites	Date	Training Coordinator's Signature
A. Completion of resident training course (recommended but not required): 1. Pollution Incident Response Course		
B. Completion of the following courses: 1. ICS 100 2. ICS 200 3. ICS 300 4. ICS 700 5. ICS 800 6. Hazardous Materials training- Operational level (minimum 8 hours)		
B. Completion of PQS Workbook.		
C. Successful completion of unit level oral board.		
D. Qualification Letter submitted for approval.		
E. Once Qualification Letter is signed, enter certification in TMT/Direct Access.		

All qualification requirements have been satisfactory completed by _____.

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Auxiliary Assistant Pollution Responder

References

The following references will aid you in completing the majority of tasking in this PQS.

- Area Contingency Plan
- Comprehensive Environmental Response, Compensation and Liability Act (CERCLA), (42 USC §§ 9601-9675)
- Emergency Response Guidebook
- Federal Water Pollution Control Act (FWPCA), (33 U SC §§1251-1387)
- Freedom of Information Act (5 USC §552)
- Maritime Transportation Security Act (46 USC §701),
- Oil Pollution Act of 1990 (33 USC §§2701-2761)
- Privacy Act (5 USC §552A)
- Refuse Act (33 USC §407),
- Resource Conservation and Recovery Act (RCRA) (42 USC §§1801-1812)
- The International Convention for Pollution from Ships, 1973, as modified by the Protocol of 1978 (MARPOL 73/78)
- The International Convention for the Safety of Life at Sea (SOLAS)
- Title 29 Code of Federal Regulations, Part 1910.120
- Title 33 Code of Federal Regulations, in particular:
 - Subchapter A – General
 - Subchapter H – Maritime Security
 - Subchapter L – Waterfront Facilities
 - Subchapter M – Marine Pollution Financial Responsibility and Compensation
 - Subchapter O – Pollution
 - Parts 160, 328 and 329
- Title 40 Code of Federal Regulations, in particular:
 - Subchapter I – Environmental Protection Agency
- Title 46 Code of Federal Regulations, in particular:
 - Subchapter A – Procedures Applicable to the Public
- Title 49 Code of Federal Regulations, Part 172
- Title 46 United States Code
 - Chapter 61 – Reporting Marine Casualties
- U. S. Coast Guard Civil Penalty Hearing Officer Procedures, COMDTINST 16200.5 (series)
- U. S. Coast Guard Chemical Hazards Response Information System (CHRIS), COMDTINST M16465.12 (series)
- U. S. Coast Guard Civil Penalty Procedures and Administration, COMDTINST 16200.3 (series)
- U. S. Coast Guard Hearing Office’s Case File Assembly Guidelines
- U. S. Coast Guard Confined Space Entry, COMDTINST 5100.48A (series)
- U. S. Coast Guard Criminal Enforcement of Environmental Laws, COMDTINST M16201.1 (series)
- U. S. Coast Guard Critical Incident Communications, COMDTINST 3100.8A (series)
- U. S. Coast Guard Freedom of Information and Privacy Acts Manual, COMDTINST M5260.3 (series)
- U. S. Coast Guard Guidance and Procedures for Administering and Enforcing the Oily Waste Reception Facility Program, COMDTINST M16450.27 (series)
- U. S. Coast Guard Incident Command System, COMDTINST 3120.14 (series)

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- U. S. Coast Guard Incident Management Handbook, COMDTPUB P3120.17A (series)
- U. S. Coast Guard Information and Life Cycles Management Manual, COMDTINST M5212.12 (series)
- U. S. Coast Guard Legal Authorities, COMDTPUB 5850.2 (series)
- U. S. Coast Guard Marine Casualty / Pollution Incident Investigations Job Aid
- MISLE Incident Investigation and Enforcement Process Guide:
http://mislenet.osc.uscg.mil/misle_user_guides.aspx
- MISLE Incident Investigation and Enforcement User Manual:
http://mislenet.osc.uscg.mil/misle_user_guides.aspx
- U. S. Coast Guard Marine Safety Laboratory Sample Handling and Transmittal Guide:
<http://www.rdc.uscg.gov/msl/Documents/tabid/221/Default.aspx>
- U. S. Coast Guard Marine Safety Manuals, COMDTINST M16000 (series)
 - Volume V – Investigations and Enforcement
 - Volume IX – Marine Environmental Protection
 - Volume X – Interagency Agreements and Acronyms
- U. S. Coast Guard Navigation and Inspection Circulars (NVIC)
- U. S. Coast Guard Notice of Violation User's Guide, COMDTINST 5582.1 (series)
- U. S. Coast Guard Sector PQS: Maritime Enforcement Officer
 - Letters of Warning
 - Notice of Violations
 - Civil Penalties
- U. S. Coast Guard Office of Investigations and Analysis (CG-545) Policy Letters
- U. S. Coast Guard Office of Vessel Activities (CG-543) Policy Letter 06-01: Guidance for the Enforcement of MARPOL Annex I During Port State Control Examinations
- U. S. Coast Guard Public Affairs Manual, COMDTINST 5728.2 (series)
 - Chapter 113 Official Logbooks
 - Chapter 115 Offenses and Penalties

Auxiliary Assistant Pollution Responder Tasks

<u>Task Number</u>	<u>ED Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
1.0	Basics for Pollution Investigation & Response		
1.1	Demonstrate ability to use applicable United States Code, Code of Federal Regulations, Marine Safety Manuals, and Coast Guard Policy Letters.	_____	_____
1.2	Discuss and demonstrate a working knowledge of all listed references. To include the following: <ul style="list-style-type: none"> • The National Oil and Hazardous Substance Pollution Contingency Plan • Unit Area Contingency Plan(s) and Annexes • Vessel and Facility Response Plans and Requirements • Outer Continental Shelf Oil Spill Response Plans and Requirements if applicable 	_____	_____
1.3	Identify and explain the differences for the following terms: <ul style="list-style-type: none"> • Hazardous Waste • Hazardous Substance • Hazardous Material • Oil • Release and discharge 	_____	_____
1.4	Define “harmful quantity” and “reportable quantity” as found in the FWPCA and CERCLA.	_____	_____
1.5	Define the term Responsible Party	_____	_____
1.6	Define the following terms as they apply to FWPCA: <ul style="list-style-type: none"> • Coastal zone • Inland zone • Coastal waters • Inland waters • Navigable Waterway • Exclusive Economic Zone • Territorial Sea • Contiguous Zone 	_____	_____

Auxiliary Assistant Pollution Responder Tasks

<u>Task Number</u>	<u>ED Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
1.7	<p>Discuss and explain the purpose or use of the following official documents found aboard U.S. and foreign commercial vessels:</p> <ul style="list-style-type: none"> • Certificate of Inspection (COI) • Certificate of Documentation (COD) • Declaration of Inspection (DOI) • International Oil Pollution Prevention Certificate (IOPP) • Shipboard Oil Pollution Prevention Emergency Plan (SOPEP) • Oil Record Book (ORB) • Certificate of Financial Responsibility (COFR) • Official Log Book • Cargo Record Book • Shipboard Marine Pollution Emergency Plan (SMPEP) • Oil Transfer Procedures 	_____	_____
1.8	<p>Explain the Freedom of Information Act (FOIA):</p> <ul style="list-style-type: none"> • The procedure a public citizen must follow to obtain information under FOIA • What information cannot be released under FOIA • Who can deny the release of information under FOIA • Who has the authority to release information on an incident investigation 	_____	_____
1.9	<p>Explain the purpose of the Privacy Act:</p> <ul style="list-style-type: none"> • What information is protected • Who is subject to the Privacy Act 	_____	_____
1.10	<p>Define the following spill categories for inland and coastal spills and identify any reporting requirements associated with them:</p> <ul style="list-style-type: none"> • Minor • Medium • Major 	_____	_____

Auxiliary Assistant Pollution Responder Tasks

<u>Task Number</u>	<u>ED Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
1.11	Define the following terms, citing examples, and describe the related jurisdictional issues: <ul style="list-style-type: none"> • Marine Casualty • Reportable Marine Casualty • Significant Harm to the Environment 	_____	_____
1.12	Describe the following forms and demonstrate/describe their proper use: <ul style="list-style-type: none"> • Notice of Federal Interest • National Response Center Incident Report • Report of Marine Casualty (CG-2692) • Barge Addendum (CG-2692A) • Alcohol Testing Following a Serious Marine Incident (CG-2692B) 	_____	_____
1.13	Describe the safe work practices and other measures needed to provide an acceptable level of safety during pollution investigation and response activities.	_____	_____
1.14	Discuss the various levels of investigations and when they are required. (MSM Vol V Chapter B8) <ul style="list-style-type: none"> • Data Entry Exception • Data Collection • Informal • Formal 	_____	_____
2.0 Preliminary Assessment & Initiation of Action			
2.1	List possible sources of pollution reports and means of reporting, including: <ul style="list-style-type: none"> • National Response Center • Sector Command Center • Telephone • Report of a Marine Casualty (CG-2692) 	_____	_____
2.2	Discuss the information contained in a NRC report	_____	_____

Auxiliary Assistant Pollution Responder Tasks

<u>Task Number</u>	<u>ED Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
2.3	Describe how to process a MISLE notification. Describe how to link the NRC report and determine incident type.	_____	_____
2.4	Describe how to Identify and coordinate external and internal notifications.	_____	_____
2.5	Explain the Purpose of the Preliminary Investigation.	_____	_____
2.6	Assist in conducting a preliminary investigation, including: <ul style="list-style-type: none"> • Determining required level of investigation • Determining authority / jurisdiction • Determining appropriate actions based on classification (minor, medium, major) • Reviewing Responsible Party history • Reviewing vessel and/or facility history • Identifying the five pollution elements of a violation • Notifying IO shop (vessels & credentialed mariners) 	_____	_____
2.7	Assist in Developing a response strategy for all classifications of pollution incidents.	_____	_____
2.8	Forecast the trajectory of a floating pollutant in your AOR using current technology.	_____	_____
2.9	Determine if hazardous substance release meets or exceeds the reportable quantity.	_____	_____
2.10	Describe the HAZWOPER safety requirements.	_____	_____
2.11	Determine necessary Personal Protective Equipment (PPE) and investigative equipment.	_____	_____
2.12	Identify the most common oil and hazardous materials transported in your zone and their associated safety hazards	_____	_____

Auxiliary Assistant Pollution Responder Tasks

<u>Task Number</u>	<u>ED Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
2.13	<p>Define the following characteristics which may be considered prior to and during a spill response:</p> <ul style="list-style-type: none"> • Hazard Class • Reactivity • Physical State • Specific Gravity • Vapor Density • Paths (or Routes) of Entry • Threshold Limit Values (TLV)/Recommended Exposure Limits (REL)/Permissible Exposure Limits (PEL) • Short Term Exposure Limits (STEL) • Immediately Dangerous to Life and Health Concentrations (IDLH) • Lethal Concentration 50% (LCD50)/Lethal Dose 50% (LD50) • Bioaccumulation • Bio-oxygen Demand • Lower Explosive Limit (LEL)/Upper Explosive Limit (UEL) and Lower Flammable Limit (LFL)/Upper Flammable Limit (UFL) • Flash Point • Vapor Pressure • Boiling Point 	_____	_____
2.14	<p>Identify potential sources and the hazards associated with the following:</p> <ul style="list-style-type: none"> • Benzene • Carbon Dioxide • Carbon Monoxide • Hydrogen disulfide (H₂S) • Polycyclic aromatic hydrocarbon (PAH) • Enriched or Lack of oxygen 	_____	_____
3.0 Investigation & Response Efforts			
3.1	<p>Assist in conducting initial assessment on scene and verify pollution report details.</p>	_____	_____

Auxiliary Assistant Pollution Responder Tasks

<u>Task Number</u>	<u>ED Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
3.2	Demonstrate familiarity with the Water Pollution Incident Report Workbook (i.e., Blue Book)	_____	_____
3.3	Obtain on-scene data, including: <ul style="list-style-type: none"> • Wind conditions • Tides and Currents • Temperature • Cloud Coverage • Precipitation 	_____	_____
3.4	Assist in briefing command and providing a recommended course of action.	_____	_____
3.5	Describe the situations in which additional assistance would be required from: <ul style="list-style-type: none"> • Federal On-Scene Coordinator Representative • Marine investigations • Marine inspections • District legal • Other agencies 	_____	_____
3.6	Illustrate and state the advantages and disadvantages of the following physical containment methods: <ul style="list-style-type: none"> • Physical barriers (non-boom) • Diking/berming • Trenching • Overflow and underflow dams 	_____	_____
3.7	Explain the advantages and disadvantages of the different types of boom.	_____	_____
3.8	Illustrate and explain the advantages and disadvantages of the different types of booming strategies: <ul style="list-style-type: none"> • Exclusion • Diversion • Collection • Containment 	_____	_____

Auxiliary Assistant Pollution Responder Tasks

<u>Task Number</u>	<u>ED Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
3.9	Illustrate and explain the mode of operation of the following common skimmer types: <ul style="list-style-type: none"> • Weir • Suction • Submersion • Vortex/Centrifugal • Belt skimmer • Rope mop skimmer 	_____	_____
3.10	Explain the effects the following factors will have on skimmer performance: <ul style="list-style-type: none"> • Sea State • Water Depth • Debris • Oil thickness • Oil viscosity 	_____	_____
3.11	Define adsorbent and absorbent and explain the difference between the two terms.		
3.12	Define and identify the following sorbent types: <ul style="list-style-type: none"> • Organic • Inorganic • Synthetic 	_____	_____
3.13	Identify common dimensions and appropriate uses for the following forms of sorbents: <ul style="list-style-type: none"> • Boom • Pad, roll, and blanket • Sock, pillow and sweep • Snare/pom-pom • Particulate 	_____	_____
3.14	Explain why CG personnel shall not operate non-CG owned equipment (i.e. vessel's or facility's shut-off valves, hose nozzle, etc.)	_____	_____
3.15	Explain the contents of a Site Safety Plan.	_____	_____
3.16	Explain the applicability of a Site Safety Plan during a spill.	_____	_____

Auxiliary Assistant Pollution Responder Tasks

<u>Task Number</u>	<u>ED Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
3.17	Assist in conducting a shoreline cleanup assessment.	_____	_____
3.18	Complete an ICS Form 201 (Incident Briefing Form)	_____	_____
3.19	Describe the following types of evidence and give examples: <ul style="list-style-type: none"> • Documentation • Physical • Oil Samples 	_____	_____
3.20	Describe the handling and processing procedures that are unique to each of the following: <ul style="list-style-type: none"> • difference between civil and criminal evidence • oil samples • witness statements • photographs and/or video • diagrams and charts • vessel and/or facility logs 	_____	_____
3.21	List the types of samples necessary to provide the Marine Safety Laboratory with sufficient physical evidence to perform “fingerprint” identification.	_____	_____
3.22	Define confined spaces and describe the hazards associated with confined spaces. <ul style="list-style-type: none"> • Describe the Coast Guard policy concerning confined space entry. 	_____	_____
3.23	Describe the occasions and policies for entry onto private property. <ul style="list-style-type: none"> • Secured (locked gate) • Unsecured (open gate) 	_____	_____
3.24	Describe Interviewing witnesses and preparation a written statement based on a verbal interview and how it is attached in MISLE.	_____	_____
3.25	Describe how to record a Time Line and capture the Actions, Conditions, and Events in MISLE.	_____	_____
3.26	Explain the purpose and use of the following: <ul style="list-style-type: none"> • Captain of the Port Order 	_____	_____

Auxiliary Assistant Pollution Responder Tasks

<u>Task Number</u>	<u>ED Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
	<ul style="list-style-type: none"> • Administrative Order (response document) 		
4.0	Complete Incident Investigation Activity		
4.1	Describe how to Create a Notification and an Incident Investigation Activity (IIA) in MISLE.	_____	_____
4.2	Describe how to Prepare a written statement summarizing an investigation.	_____	_____
4.3	Describe how to enter evidence into the IIA.	_____	_____
4.4	Describe how to locate involved parties/subjects in MISLE and make them referential	_____	_____
4.5	Describe the required File Details for: <ul style="list-style-type: none"> • Known pollution source • Mystery spill 	_____	_____
4.6	Describe how to Create an Enforcement Referral and understand the differences between: <ul style="list-style-type: none"> • Letter of Warning • Notice of Violation • Civil Penalty 	_____	_____
4.7	Describe how to Complete IIA and submit it to the Senior Investigating Officer (or Investigations Division Chief) via your appropriate supervisor.	_____	_____
5.0	Recommend Enforcement Actions		
5.1	Describe the elements of the following: <ul style="list-style-type: none"> • Civil Penalty violation • 'Failure to notify' violation • Class II civil penalty • Criminal violation • Refuse Act violation • MARPOL violation • Notice of Violation (NOV or ticket) 	_____	_____

Auxiliary Assistant Pollution Responder Tasks

<u>Task Number</u>	<u>ED Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
5.2	Define each of the following penalty procedures and list the circumstances in which each might be applied: <ul style="list-style-type: none"> • Letter of Warning • Notice of Violation • Class I Civil Penalty • Class II Civil Penalty • Judicial Civil Penalty 	_____	_____
5.3	Describe the purpose of a Letter of Undertaking: <ul style="list-style-type: none"> • When would this be issued? • What are the requirements for issuing? • Issuance authority? 	_____	_____
5.4	Describe the purpose of a Surety Bond: <ul style="list-style-type: none"> • When would this be issued? • What are the requirements for issuing? • Issuance authority? 	_____	_____

INCIDENT LOG					
Date	Incident Description	Position Filled	MISLE Case Number	FPN/ CERCLA Number	Verifying Officer's Initials

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U.S. Department of
Homeland Security

United States
Coast Guard



Command's Name

Street Address
City, State Zip Code
Staff Symbol:
Phone:
Email:

1601
DATE

MEMORANDUM

From: I. M. Frank, CAPT
Unit's Name

Reply to
Attn of:

To: M. O. Ore, USCG Auxiliary

Subj: QUALIFICATION AS AUXILIARY ASSISTANT POLLUTION RESPONDER

Ref: Auxiliary Assistant Pollution Responder Performance Qualification Standard Workbook

1. Congratulations! You have completed all requirements necessary to perform the duties of a Auxiliary Assistant Pollution Responder. You are authorized to carry out the responsibilities of an Auxiliary Assistant Pollution Responder within the scope of your qualifications. This is a significant milestone in your professional development and I commend your accomplishments.

2. This Letter of Qualification should be retained as part of your personal Training Record and you will be assigned the Pollution Responder's Qualification Code "AUX-ED".

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