



**PLAN HOLDER  
Online Application Job Aid  
for  
Spill Management Team Certification**



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## Introduction

In 2017, the *Lempert-Keene-Seastrand Oil Spill Prevention and Response Act* was amended to require owners or operators of facilities and vessels regulated by the Office of Spill Prevention and Response (OSPR) to identify a certified spill management team (SMT) in their contingency plans. OSPR promulgated regulations (Title 14 CCR § 830.1-11) implementing the legislation, which require plan holders to submit applications to identify and request certification of their SMT. At the request of the regulated community, OSPR created an online system that can be used to submit applications. Users can also directly update their contact information, make corrections, and request revisions through the system.

This job aid will guide you through the online application for contingency plan holders or their authorized representatives. Plan holders are encouraged to apply through the online system in lieu of completing a [DFW Form 1005 Application for Certification of Plan Holder Spill Management Team](#), which can be found on OSPR's [SMT website](#). In addition to the instructions in this job aid, the online application contains extensive instructions and reference information to assist applicants.

For assistance with the application, please email [OSPRSMT@wildlife.ca.gov](mailto:OSPRSMT@wildlife.ca.gov). You will typically receive a response to your request within one full business day.

Note: The online application system is compatible with many different browsers; and has been tested in Chrome, Firefox, and Edge. It is highly recommended to have a high-speed internet connection.



## Registration

All new applicants must create an account with the California Department of Fish and Wildlife. Go to OSPR's [SMT website](#) to find the link to [register](#). To create a new account, click on "Register" in the "Actions" box.

The screenshot shows a web interface for logging in. At the top left, there are links for 'Apps', 'My Account', and 'Login'. The main heading is 'Login'. Below it, there is a sub-heading 'Login to the California Department of Fish and Wildlife.' and two input fields: 'Username/Email' (containing 'jdoe@domain.org') and 'Password'. A red error message 'A password is required.' is displayed below the password field. A blue 'Login' button is at the bottom. On the right side, there is a dark 'Actions' menu with a star icon, containing three items: 'Login', 'Register' (circled in red), and 'Forgot Password'.

You will be directed to the Registration Page where you will fill out the information required to create the account you will use to access the SMT Application. After you have filled in your information, you will receive an email to activate your account.

The screenshot shows the 'Create Account' page. At the top, there is a breadcrumb 'My Account -> Create Account'. The heading is 'Create Account'. Below it, there are 'INSTRUCTIONS' and a 'Note'. The main form is divided into two sections: 'Personal Information' and 'Login Information'. The 'Personal Information' section includes fields for 'Age of Consent' (with a checkbox), 'First Name', 'Middle Initial' (optional), 'Last Name', 'Address Line 1', 'Address Line 2' (optional), 'City', 'Country' (dropdown), 'State (if US)' (dropdown), and 'ZIP (Postal) Code'. The 'Login Information' section includes an 'Email' field (pre-filled with 'shane.keefauver@wildlife.ca.gov'), 'Password Requirements' (bullet points), 'New Password' (masked), and 'Confirm Password' fields. A 'Create' button is at the bottom.



## Getting Started with the Online Application

Once you have activated your account, go to the [application](#) link on the [SMT website](#) and login using the credentials you created. If you forget your password, click on the “Forgot Password” link located in the “Actions” box and follow the instructions.

Apps | My Account | Login

### Login

Login to the California Department of Fish and Wildlife.

Username/Email:

Password:

A password is required.

Login

★ Actions

- ▶ [Login](#)
- ▶ [Register](#)
- ▶ [Forgot Password](#)

## Navigation

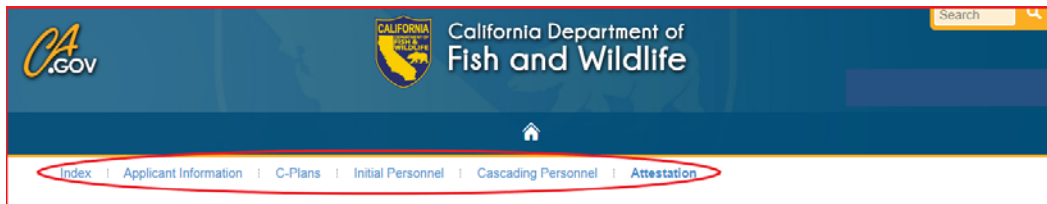
The application system has six different screens:

- **Index:** Dashboard where you can start an application, as well as edit, print, and view the status of existing applications.
- **Application Information:** Enter your contact information, types of SMT service providers, and your mobilization and certification exercise information. This screen corresponds to sections A, B, C.1, D.3, and E of DFW Form 1005.
- **Contingency Plans:** Enter the contingency plan numbers, impacted waterways, Tiers, and geographic regions. This screen corresponds to section C.2 of DFW Form 1005.
- **Initial Personnel:** Enter the number of Initial Response Personnel and the provider of personnel, if other than the plan holder. This screen corresponds to section D.1 of DFW Form 1005.
- **Cascading Personnel:** Enter the number of Cascading Response Personnel and the provider of personnel, if other than the plan holder. This screen corresponds to section D.2 of DFW Form 1005.
- **Attestation:** Attest to the veracity of the information provided and your intent to meet program requirements. This screen corresponds to section F of DFW Form 1005.



After completing the Application Information screen, you will navigate sequentially to the other screens by selecting the “Back” or “Next” buttons located at the bottom of each page. You are not required to complete the application in one sitting. Once you have completed the Applicant Information screen, the system automatically saves your progress as you complete each entry, so you can return to your application to complete it later.

As you progress through the application, you can navigate to previous screens by selecting the header page link located at the top of each page of the application.



There are instructions at the top of each screen. It is extremely important to read all instructions in the application system before entering information. You may be prompted to fill in required information if you attempt to leave a page without filling in all of the required fields. Blue text indicates a clickable link within the system.

To complete any fields with lengthy text in the application, we recommend that you compose the text using word processing software and then copy and paste the text into the application form. Please carefully review all pasted text, particularly when using special characters, bullets, etc.

Do not copy and paste charts or tables into the text boxes within the application. Ancillary documentation may be submitted by emailing [OSPRSMT@wildlife.ca.gov](mailto:OSPRSMT@wildlife.ca.gov) with your SMT Number in the subject line.

Note: There is a house symbol located near the top of the Application that, if selected, will take you back to the CDFW home page. We do not recommend selecting this icon unless you want to exit the application. To navigate back to your dashboard, select the “Index” tab on the heading at the top of the page.





## Index Screen

You will start at the Index screen, where you can also access your applications to view their status, edit, and print them.

The screenshot shows the 'Index' screen for 'Application for Spill Management Team Certification'. It is divided into two main sections: 'External Spill Management Team' and 'Plan Holder Spill Management Team'. Under 'External Spill Management Team', there is a link 'Create New External Application...'. Under 'Plan Holder Spill Management Team', there is a link 'Create New Plan Holder Application...'. Below these sections is a table with columns for 'Name', 'SMT Number', and 'Status'. The table contains one entry: 'OilCo Operators LLC' with 'SMT Number' 'PH00035' and 'Status' 'In Progress'. To the right of this entry are two links: 'Edit' and 'Print Preview'.

Name	SMT Number	Status		
OilCo Operators LLC	PH00035	In Progress	Edit	Print Preview

To begin an application, click on "Create New Plan Holder Application" from the Index screen.

This screenshot is identical to the previous one, but the link 'Create New Plan Holder Application...' under the 'Plan Holder Spill Management Team' section is circled in red to highlight it.

After selecting "Create New Plan Holder Application," you will be taken to the Create Plan Holder Application screen.

## Applicant Information Screen

This is where you will enter your contact information, types of SMT service providers, and your mobilization and certification exercise information. The Applicant Information screen corresponds to sections A, B, C.1, D.3, and E of DFW Form 1005. Once you have completed the sections on this screen and click "Save and Continue," your application will be saved and you will be able to access it from the Index screen.



When you first create an application, the top of the screen will say, "Create Plan Holder Application."

**Create Plan Holder Application**

**Purpose:** This form should be completed by all contingency plan holders to identify and request certification of a spill management team, pursuant to Title 14, California Code of Regulations, sections 830.1 through 830.11, regardless of whether the identified spill management team is employed by the plan holder. If the spill management team includes personnel not employed by the plan holder, the applicant will indicate this in sections C and D. If an owner or operator of a facility or vessel with more than one contingency plan will use the same spill management team for multiple plans, they may list the plan numbers in section C.

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When you return to an application, the top of the screen will say "Applicant Information" and you will be prompted to select an option that represents your application status. See the [Returning to an Existing Application](#) section of this job aid for guidance on returning to an application in progress, making corrections and updates, and requestions revisions and renewals.

**Applicant Information**

**Purpose:** This form should be completed by persons offering spill management services to contingency plan holders as part of a plan holder's certified spill management team pursuant to Title 14, California Code of Regulations, sections 830.1 through 830.11 and who are not directly employed by a plan holder. These persons may include parent companies or affiliates of plan holders or persons offering services to plan holders by contract or other approved means.

**INSTRUCTIONS:** DO NOT CHANGE THE RADIO BUTTON below unless you are making a Correction or an Update to a submitted application. Application opens "In Progress".

---

In Progress  
  Correction  
  Update  
  Revision

### Applicant Information

The Application Information section corresponds to B.1 of DFW Form 1005.

Enter the following applicant information: Legal company name, mailing address, and phone number. The email address will automatically populate with the email associated with the account.

**Applicant Information**

---

Legal company name and/or name of applicant...

Mailing Address...    City...    State...    Zip...

Phone...    Shane.Keefauver@Wildlife.ca.gov





*Address of principal place of business (if different from above):*

Fill out this section if the address of the applicant's principal place of business is different from the address listed in the Applicant Information section above. You may also use this space to add an alternate point of contact. If you enter an email address, this email will be included on correspondence from OSPR SMT. This section corresponds to B.2 of DFW Form 1005.

If applicable, enter the mailing address, as well as the phone number and email.

Address of principal place of business (if different from above)

---

<input type="text" value="Address..."/>	<input type="text" value="City..."/>	<input type="text" value="State..."/>	<input type="text" value="Zip..."/>
<input type="text" value="Phone..."/>	<input type="text" value="Email..."/>		

*Contact Information*

Enter the contact information to be used for all correspondence. Please ensure that the contact information is correctly entered. This section corresponds to B.3 of DFW Form 1005. Enter the contact name, mailing address, phone number, and email address.

Contact Information (This information will be used for all correspondence, please ensure the correct name, email address, and phone number are entered.)

---

<input type="text" value="First..."/>	<input type="text" value="Last..."/>	<input type="text" value="Title..."/>	
<input type="text" value="Address..."/>	<input type="text" value="City..."/>	<input type="text" value="State..."/>	<input type="text" value="Zip..."/>
<input type="text" value="Phone..."/>	<input type="text" value="Email..."/>		



### Spill Management Team Services Section

Plan holders may draw from their own employees, personnel from a corporate parent or affiliated company, contracted personnel, or a combination thereof. In this section, you will indicate which types of personnel the plan holder is using for their certified SMT. This section corresponds to C.1 of DFW Form 1005.

Select "Yes" for each type of personnel that the plan holder's SMT includes and "No" for types that do not apply. For example, if the plan holder is using only their own employees, select "Yes" for "Personnel employed by a plan holder" and "No" for the other options. You must select "Yes" or "No" for all three radio buttons to be allowed to proceed to the next screen.

**Spill Management Team Services**

1. Indicate the personnel the plan holder will use to meet the minimum spill management team requirements described in Title 14, California Code of Regulations, section 830.4.

Personnel employed by plan holder	<input checked="" type="radio"/> Yes <input type="radio"/> No
Personnel employed by plan holder's parent company or other affiliated entity	<input type="radio"/> Yes <input checked="" type="radio"/> No
Contracted personnel	<input type="radio"/> Yes <input checked="" type="radio"/> No

### Certification or Renewal Exercise

Plan holders are encouraged to combine their certification exercise with their annual or triennial exercise held through OSPR's Drills and Exercises program. Indicate whether the Applicant will use an OSPR D&E exercise or if the applicant will contact OSPR about alternate arrangements. The Certification or Renewal Exercise section corresponds to D.3 of DFW Form 1005.

Enter the date or year and location you plan to conduct your certification exercise. If you do not yet know the exercise location, you may enter TBD.

**Certification or Renewal Exercise**

A spill management team shall achieve the objectives required for certification by the end of the third full calendar year following the issuance of an interim certification (see Title 14, California Code of Regulations, sections 830.6 and 830.7). Refer to subsection 830.6(a) for procedures for scheduling a certification exercise and the criteria for spill response credit. Indicate the method and the anticipated date or year and location the exercise will be scheduled.

**OSPR D&E Exercise**    **Other: Applicant will contact OSPR**



## Mobilization Plan

Plan holders must submit a mobilization plan as part of their application. The mobilization plan should account for the locations of the Initial and primary Cascading Response Personnel positions and describe how they will arrive on-scene in the applicable geographic regions. The Mobilization Plan section corresponds to section E of DFW Form 1005.

You may enter the details of your mobilization plan in this section, or you may email it to [OSPRSMT@wildlife.ca.gov](mailto:OSPRSMT@wildlife.ca.gov). OSPR has created a [Mobilization Plan template](#) that plan holders can use to document their mobilization details. The template can be found on the [SMT website](#). If you are submitting documents by email, please note that in the Mobilization Plan text box.

For the mobilization of personnel not employed by the plan holder, you may refer to the respective external application(s) for details. Provide the name of the SMT providing the personnel and include their SMT Number if available.

If you enter your mobilization plan in the text box provided, we recommend that you write it in a word processing program and copy and paste it into the text box.

**Mobilization Plan**

Provide a general description of the means by which personnel and essential supporting equipment will arrive on-scene within the required timeframes in the geographic regions for which the spill management team intends to provide services (described in Title 14, California Code of Regulations, section 830.4). The description shall reference locations where personnel are typically based and the method by which (e.g. commercial jet, automobile) they will arrive.

For mobilization of personnel not employed by the plan holder, you may refer to the relevant external application(s) for details rather than providing that information here.

If you cannot enter your full mobilization plan in the space provided, you may submit it by email to [OSPRSMT@wildlife.ca.gov](mailto:OSPRSMT@wildlife.ca.gov) with your SMT number in the subject line. If you will be submitting additional documents by email, note that in the space below.

Mobilization Plan...

## User Notes

Only complete this section if you are correcting your application, making nonsignificant updates, or requesting a revision. See the [Returning to an Existing Application](#) section for details on making corrections and revisions. If you need to send the SMT Team a note with a new application, email [OSPRSMT@wildlife.ca.gov](mailto:OSPRSMT@wildlife.ca.gov).



Please indicate the change(s) to your application in the User Notes text box. Your note will be saved when you select the “Next” button, but the changes will not be submitted until you have completed the Attestation screen and selected the “Submit Form” button.

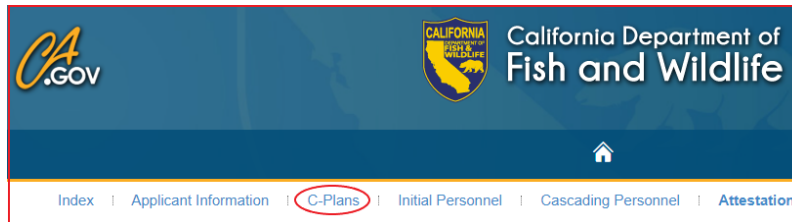
User Notes (For Updates or Revisions only. Please indicate the change(s) to your application. Your note will be submitted when you click "Next.")

User Notes

Back Next

### Contingency Plans (C-Plans) Screen

This is where you will enter the applicant's contingency plan information. The Plan Holder Information screen is referred to as "C-Plans" in the navigation bar in the header, and it corresponds to C.2 of DFW Form 1005.



The Plan Holder Information screen has legends defining the Tiers, Waters Impacted, Area Contingency Plans (ACP), and Regional Planning Areas (RPA). To add a new contingency plan, select “Add Contingency Plan.”

Plan Holder Information

Provide below the approved contingency plan number(s), the waters impacted (marine, perennial, intermittent, ephemeral), the corresponding tier classification(s), and geographic region(s) in which spill management team services will be provided, or indicate whether the spill management team is seeking statewide certification. If more than one type of waterway is impacted by a plan holder's operations, list all impacted water types. Multiple plan numbers may be listed if the applicant is using the same spill management team for all plans listed.

- Tier I SMT – Provides services to facilities with a reasonable worst-case spill volume of 1,000 barrels or more that may impact inland waters, or facilities or vessels with a reasonable worst-case spill volume of 800 barrels or more that may impact marine waters.
- Tier II SMT – Provides services to facilities with a reasonable worst-case spill volume of 500 barrels to 999 barrels that may impact inland waters, or facilities or vessels with a reasonable worst-case spill volume of 250 barrels to 599 barrels that may impact marine waters.
- Tier III SMT – Provides services to facilities with a reasonable worst-case spill volume of 400 barrels or less that may impact inland waters, or facilities or vessels with a reasonable worst-case spill volume of 249 barrels or less that may impact marine waters, mobile transfer units with any reasonable worst-case spill volume.
- RPA I – Counties of Los Angeles, Orange, San Luis Obispo, Santa Barbara, and Ventura
- RPA II – Counties of Humboldt, Del Norte, Mendocino, Lake, Sonoma, Marin, Napa, Solano, Contra Costa, Alameda, San Francisco, San Mateo, Santa Clara, San Benito, Santa Cruz, and Monterey
- RPA III – Counties of Butte, Colusa, Glenn, Lassen, Modoc, Plumas, Shasta, Sierra, Siskiyou, Sutter, Tehama, Trinity, and Yuba
- RPA IV – Counties of Alpine, Amador, Calaveras, El Dorado, Nevada, Placer, Sacramento, San Joaquin, Stanislaus, Tuolumne, and Yolo
- RPA V – Counties of Fresno, Kern, Kings, Madera, Mariposa, Merced, and Tulare
- RPA VI – Counties of Imperial, Inyo, Mono, Riverside, San Bernardino, and San Diego
- All – All counties

- ACP 1 – North Coast
- ACP 2 – San Francisco Bay and Delta
- ACP 3 – Central Coast
- ACP 4 – LA&B North
- ACP 5 – LA&B South
- ACP 6 – San Diego
- All – All ACPs

- Waters Impacted:
  - M - marine
  - P - perennial
  - I - intermittent
  - E - ephemeral

CPanNo	Waters	Tier	ACP	RPA
<a href="#">Add Contingency Plan</a> Back Next				



After selecting “Add Contingency Plan,” you will be prompted to enter the contingency plan number (CPlanNo), Tier, Waters, ACPs, and RPAs. Consult the legends on the entry page, as well as the instructions beneath each entry field, to help you correctly enter your contingency plan information. Marine plan holders should indicate ACPs, while inland plan holders should indicate RPAs. Some plan holders (e.g., pipelines with impacts to both marine and inland waters) may need to indicate both ACPs and RPAs. You are required to enter information in both the ACP and RPA fields, so enter "N/A" if one of the geographic region fields does not apply. Inland contingency plan holders may refer to the [Waters of the State Guidance Document](#) for help identifying the impacted waters.

Once you have entered all of the required information, select the “Create” button at the bottom of the page. This button will return you to the Plan Holder Information screen. Here, you may add another contingency plan. You may also edit an entry by selecting “Edit” or “Delete.”

**CPlan Number**

*Only enter one C-Plan number per entry. You may add up to 20 C-Plan entries if you are using the same SMT for all of the plans entered. If you need to enter additional C-Plans, please email [OSPRSMT@wildlife.ca.gov](mailto:OSPRSMT@wildlife.ca.gov) with your SMT number in the subject line.*

*If you have a new C-Plan that not yet been assigned a plan number, please enter "Pending."*

**Tier**

**Waters**

*Indicate all water types impacted by the contingency plan, as defined in the National Hydrography Dataset (M = marine, P = perennial, I = intermittent, E = ephemeral). To identify impacted water types, see the statewide quarter mile buffer data layer on the Southwest Environmental Response Management Application, found on the National Oceanic and Atmospheric Administration's website.*

**ACP**

*If applicable, enter ACPs using numerical values. If multiple ACPs, please put them in increasing sequence and separate them with commas. If covering all ACPs, type "All" instead. If not applicable, please type "N/A".*

**RPA**

*If applicable, enter RPAs using Roman numerals. If multiple RPAs, please put them in increasing sequence and separate them with commas. If covering all RPAs, type "All" instead. If not applicable, please type "N/A".*

<u>CPlanNo</u>	<u>Waters</u>	<u>Tier</u>	<u>ACP</u>	<u>RPA</u>	
F2-20-3482	M	1	2	N/A	<input type="button" value="Edit"/>   <input type="button" value="Delete"/>

You may add multiple contingency plans if the plan holders are relying on a common pool of SMT personnel. The system currently supports up to 20 contingency plan entries. If you need to add additional contingency plan numbers, send an email to [OSPRSMT@wildlife.ca.gov](mailto:OSPRSMT@wildlife.ca.gov) with the additional contingency plan information.

Once you have finished entering your contingency plans, select the “Next” button to proceed.



## Initial Personnel Screen

This is where you will enter information about the Initial Response Personnel who can arrive on scene within eight hours of being activated. The Initial Personnel screen corresponds to D.1 of DFW Form 1005.

Tier III applicants must enter an Incident Commander, Safety Officer, and an Operations Section Chief. Tier I and II applicants must enter these three positions, plus one additional position. This fourth team member can be an alternate for one of the three required positions, or it can be another ICS position.

All required positions must be entered prior to continuing to the next section of the application. If you try to advance without entering the required positions, you will receive an error message and will not be allowed to proceed.

ICS Position	Type of Personnel	Number Trained	Personnel Provider
Incident Commander	Personnel employed by plan holder	1	<a href="#">Edit   Delete</a> <a href="#">- add to ICS Position</a>
Safety Officer	Personnel employed by plan holder	1	<a href="#">Edit   Delete</a> <a href="#">- add to ICS Position</a>

[Add Operations Section Chief...](#)

**Error: You must choose an Operations Section Chief before submitting**

[Create New ICS Position](#)

[Back](#)   [Next](#)

### *Adding the Incident Commander, Safety Officer, and Operations Section Chief*

To add each position, select the blue text link corresponding to the position below the table.

Initial Personnel

**Initial Response Personnel:** Indicate the number of initial response personnel who can perform the following incident command system (ICS) positions, who can arrive on-scene within eight hours of being notified of a spill, as described in Title 14, California Code of Regulations, subsections 830.4(a)(1)(A), (a)(2)(A), and (a)(3)(A), and have the qualifications described in subsections 830.5(d) through (f), as applicable to the tier classification for which the applicant is requesting certification. If the applicant will rely on subcontractors to supplement its initial response personnel, indicate the name(s) of subcontractor(s) providing services. Personnel must be located in the continental United States, available on a 24-hour basis, and shall be fluent in English.

- Tier I & II spill management teams: The total number of personnel shall not be fewer than 4 individuals.
- Tier III spill management teams: The total number of personnel shall not be fewer than 3 individuals.

ICS Position	Type of Personnel	Number Trained	Personnel Provider
<a href="#">Add Incident Commander...</a>			
<a href="#">Add Safety Officer...</a>			
<a href="#">Add Operations Section Chief...</a>			

After selecting the blue text link, you will be taken to a screen to enter the type of personnel, the number trained, and the provider, if the personnel are not employed by the plan holder. All of the fields on this screen are required, except for the Provider of Personnel if you selected "Personnel employed by plan holder."



If personnel on your team still need training at the time you submit your application, indicate the number of personnel who plan to complete the required training by the end of the interim certification period (December 31, 2025 for applications submitted by June 30, 2022).

After you have finished entering the information on this screen, select "Create" to save the position. You will be returned to the Initial Personnel screen where you can continue to add the Safety Officer and Operations Section Chief positions.

The screenshot shows a form titled "Create Incident Commander". It includes three radio button options for "Type of Personnel": "Personnel employed by plan holder", "Personnel employed by plan holder's parent company or other affiliated entity", and "Contracted personnel". There are two text input fields: "NumberTrained" and "Provider of Personnel (if other than plan holder)". At the bottom, there are "Back" and "Create" buttons.

If you have added all of the required Initial Response positions, select "Next" to proceed to the Cascading Personnel screen.

### Adding Positions Using Create New ICS Position

Tier I and II applicants must enter four Initial Personnel. To add an additional ICS position, select the "Create New ICS Position" button.

The screenshot shows the "Initial Personnel" screen. It contains a detailed instruction for "Initial Response Personnel" regarding incident command system (ICS) positions. Below the text are two bullet points: "Tier I & II spill management teams: The total number of personnel shall not be fewer than 4 individuals." and "Tier III spill management teams: The total number of personnel shall not be fewer than 3 individuals." A table lists three ICS positions: Incident Commander, Safety Officer, and Operations Section Chief, each with a count of 1 and "Personnel employed by plan holder" as the type. Each row has "Edit | Delete" and "- add to ICS Position" links. At the bottom, a "Create New ICS Position" button is circled in red, along with "Back" and "Next" buttons.

ICS Position	Type of Personnel	Number Trained	Personnel Provider
Incident Commander	Personnel employed by plan holder	1	
Safety Officer	Personnel employed by plan holder	1	
Operations Section Chief	Personnel employed by plan holder	1	



You will be taken to a screen where you will select the ICS Position from the dropdown menu and enter the type of personnel, the number trained, and the provider, if the personnel are not employed by the plan holder. All of the fields on this screen are required, except for the Provider of Personnel if you selected "Personnel employed by plan holder."

After you have finished entering the information on this screen, select the "Create" button at the bottom of the page to save the position and return to the Initial Personnel screen.

Create ICS Position

ICS Position: Select...

Type of Personnel:  Personnel employed by plan holder  
 Personnel employed by plan holder's parent company or other affiliated entity  
 Contracted personnel

Number Trained: [Text Input]

Provider of Personnel (if other than plan holder): [Text Input]

Buttons: Back, Create

The example below shows the Initial Personnel table after the applicant used the "Create New ICS Position" button to add a Planning Section Chief from a contracted SMT, fulfilling their Tier I or II Initial Personnel requirements.

ICS Position	Type of Personnel	Number Trained	Personnel Provider	
Incident Commander	Personnel employed by plan holder	1		Edit   Delete - add to ICS Position
Safety Officer	Personnel employed by plan holder	1		Edit   Delete - add to ICS Position
Operations Section Chief	Personnel employed by plan holder	1		Edit   Delete - add to ICS Position
Planning Section Chief	Contracted personnel	1	ABC SMT	Edit   Delete - add to ICS Position

If you have added all of the required Initial Response positions, select "Next" to proceed to the Cascading Personnel screen.





### Adding to ICS Positions

If you are using a second provider for an ICS position, select the "add to ICS Position" on the right side of the Initial Personnel table to add a second provider for a position. Note that you can also select "Edit" to make changes to existing entries and "Delete" to remove them.

ICS Position	Type of Personnel	Number Trained	Personnel Provider
Incident Commander	Personnel employed by plan holder	1	<a href="#">Edit</a>   <a href="#">Delete</a> <a href="#">- add to ICS Position</a>
Safety Officer	Personnel employed by plan holder	1	<a href="#">Edit</a>   <a href="#">Delete</a> <a href="#">- add to ICS Position</a>
Operations Section Chief	Personnel employed by plan holder	1	<a href="#">Edit</a>   <a href="#">Delete</a> <a href="#">- add to ICS Position</a>

After selecting the "add to ICS Position screen," you will be taken to a screen to enter the type of personnel, the number trained, and the provider, if the personnel are not employed by the plan holder. All of the fields on this screen are required, except for the Provider of Personnel if you selected "Personnel employed by plan holder."

After you have finished entering the information on this screen, select the "Create" button at the bottom of the page to save the position and return to the Initial Personnel screen.

**Add to ICS Position**

Type of Personnel  Personnel employed by plan holder  
 Personnel employed by plan holder's parent company or other affiliated entity  
 Contracted personnel

Number Trained

Provider of Personnel (if other than plan holder)

[Back](#) [Create](#)

The example below shows the Initial Personnel table after the applicant used the "add to ICS Position" link to add a second Incident Commander from a corporate team, fulfilling their Tier I or II Initial Personnel requirements.

ICS Position	Type of Personnel	Number Trained	Personnel Provider
Incident Commander	Personnel employed by plan holder	1	<a href="#">Edit</a>   <a href="#">Delete</a>
	Personnel employed by plan holder's parent company or other affiliated entity	1	Parent Corp. XYZ <a href="#">Edit</a>   <a href="#">Delete</a>
Safety Officer	Personnel employed by plan holder	1	<a href="#">Edit</a>   <a href="#">Delete</a> <a href="#">- add to ICS Position</a>
Operations Section Chief	Personnel employed by plan holder	1	<a href="#">Edit</a>   <a href="#">Delete</a> <a href="#">- add to ICS Position</a>



If you have added all of the required Initial Response positions, select "Next" to proceed to the Cascading Personnel screen.

### Cascading Personnel Screen

This where you will enter information about the Cascading Response Personnel who can arrive on scene within 24 hours of being activated. The Cascading Personnel screen corresponds to D.2 of DFW Form 1005.

Applicants of all Tiers must enter an Incident Commander, Safety Officer, Assistant Liaison Officer, Assistant Public Information Officer, Operations Section Chief, Planning Section Chief, Logistics Section Chief, and Finance Section Chief. Tier I and II applicants must enter sufficient personnel to account for the required alternates.

Inland plan holders who fall into Tier III and whose operations only pose impacts to waters designated as intermittent or ephemeral are exempted from including Cascading Response Personnel on their SMT. Inland contingency plan holders may refer to the [Waters of the Sate Guidance Document](#) for help identifying the impacted waters.

All required positions must be entered prior to continuing to the next section of the application. If you try to advance without entering the required positions, you will receive an error message and will not be allowed to proceed. The remaining positions will pop up as blue text links, and you will be able to proceed once you have made entries for each of the positions.

ICS Position	Type of Personnel	Number Trained	Personnel Provider	
Incident Commander	Personnel employed by plan holder	1		<a href="#">Edit</a>   <a href="#">Delete</a>
	Personnel employed by plan holder's parent company or other affiliated entity	1	Parent Corp. XYZ	<a href="#">Edit</a>   <a href="#">Delete</a>
Safety Officer	Personnel employed by plan holder	2		<a href="#">Edit</a>   <a href="#">Delete</a> - add to ICS Position
Assistant Liaison Officer	Personnel employed by plan holder	1		<a href="#">Edit</a>   <a href="#">Delete</a>
	Personnel employed by plan holder's parent company or other affiliated entity	1	Parent Corp. XYZ	<a href="#">Edit</a>   <a href="#">Delete</a>

[Make sure you choose all the positions before submitting](#)

[Add Assistant Public Information Officer...](#)  
[Add Operations Section Chief...](#)  
[Add Planning Section Chief...](#)  
[Add Logistics Section Chief...](#)  
[Add Finance Section Chief...](#)



## Adding Cascading Response Positions

Select the "Create New ICS Position" button near the bottom of the page to enter each Cascading ICS position.

[Index](#) | [Applicant Information](#) | [C-Plans](#) | [Initial Personnel](#) | [Cascading Personnel](#)

### Cascading Personnel

**Cascading Response Personnel:** Indicate the number of cascading response personnel, including alternates, who can perform the following incident command system (ICS) positions, who can arrive on-scene within 24 hours of being notified of a spill, as described in Title 14, California Code of Regulations, subsections 830.4(a)(1)(B), (a)(2)(B), and (a)(3)(B), and who have the qualifications described in subsections 830.5(d) and (j) through (l), as applicable to the tier classification for which the applicant is requesting certification. Refer to subsections 830.4(a)(1)(C), (a)(2)(C), and (a)(3)(C) for the required alternates for cascading positions. For personnel not employed by the plan holder, indicate the provider of the personnel. A list of the names of personnel employed by the plan holder shall be maintained at the plan holder's place of business and made available to the Administrator upon request. Personnel must be located in the continental United States, available on a 24-hour basis, and shall be fluent in English. Plan holders whose reasonable worst-case spill volume is in the Tier III range and who only pose a risk to intermittent or ephemeral waterways are not required to retain cascading response personnel and may leave this section blank.

- Tier I spill management teams: The total number of personnel shall not be fewer than 12 individuals.
- Tier II spill management teams: The total number of personnel shall not be fewer than 10 individuals.
- Tier III spill management teams: The total number of personnel shall not be fewer than 8 individuals.

ICS Position	Type of Personnel	Number Trained	Personnel Provider
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[Create New ICS Position](#)

[Back](#) [Next](#)

You will be taken to a screen where you will select the ICS Position from the dropdown menu and enter the type of personnel, the number trained, and the provider, if the personnel are not employed by the plan holder. All of the fields on this screen are required, except for the Provider of Personnel if you selected "Personnel employed by plan holder."

If personnel on your team still need training at the time you submit your application, indicate the number of personnel who plan to complete the required training by the end of the interim certification period (December 31, 2025 for applications submitted by June 30, 2022).

After you have finished entering information on this screen, select "Create" to save the position and return to the Cascading Personnel screen to continue adding the other required positions.

### Create ICS Position

ICS Position:

Type of Personnel:

- Personnel employed by plan holder
- Personnel employed by plan holder's parent company or other affiliated entity
- Contracted personnel

Number Trained:

Provider of Personnel (if other than plan holder):

[Back](#) [Create](#)

If you have added all of the required Cascading Response positions, select "Next" to proceed to the Attestation screen.



### Adding Positions Using Position Name Links

You can also add positions using the blue text links. To add each position, select its corresponding link.

<u>ICS Position</u>	<u>Type of Personnel</u>	<u>Number Trained</u>	<u>Personnel Provider</u>
<a href="#">Add Incident Commander...</a>			
<a href="#">Add Safety Officer...</a>			
<a href="#">Add Assistant Liason Officer...</a>			
<a href="#">Add Assistant Public Information Officer...</a>			
<a href="#">Add Operations Section Chief...</a>			
<a href="#">Add Planning Section Chief...</a>			
<a href="#">Add Logistics Section Chief...</a>			
<a href="#">Add Finance Section Chief...</a>			

After selecting the blue text link, you will be taken to a screen to enter the type of personnel, the number trained, and the provider, if the personnel are not employed by the plan holder. All of the fields on this screen are required, except for the Provider of Personnel if you selected "Personnel employed by plan holder."

If personnel on your team still need training at the time you submit your application, indicate the number of personnel who plan to complete the required training by the end of the interim certification period (December 31, 2025 for applications submitted by June 30, 2022).

After you have finished entering the information on this screen, select "Create" to save the position. You will be returned to the Cascading Personnel screen where you can continue to add or edit Cascading Response positions.

Create Incident Commander

Type of Personnel  Personnel employed by plan holder  
 Personnel employed by plan holder's parent company or other affiliated entity  
 Contracted personnel

NumberTrained

Provider of Personnel (if other than plan holder)

If you have added all of the required Cascading Response positions, select "Next" to proceed to the Attestation screen.

### Adding to ICS Positions

You can select the "add to ICS Position" on the right side of the Cascading Personnel table to add a second provider for a position. Note that you can also select "Edit" to make changes to existing entries and "Delete" to remove them.



OFFICE OF SPILL PREVENTION AND RESPONSE  
PLAN HOLDER SPILL MANAGEMENT TEAM APPLICATION JOB AID

ICS Position	Type of Personnel	Number Trained	Personnel Provider	
Incident Commander	Personnel employed by plan holder's parent company or other affiliated entity	2	Parent Corp. XYZ	<a href="#">Edit   Delete</a> <a href="#">- add to ICS Position</a>
Safety Officer	Personnel employed by plan holder	1		<a href="#">Edit   Delete</a> <a href="#">- add to ICS Position</a>
Assistant Liaison Officer	Personnel employed by plan holder's parent company or other affiliated entity	1	Parent Corp. XYZ	<a href="#">Edit   Delete</a> <a href="#">- add to ICS Position</a>

After selecting the "add to ICS Position screen," you will be taken to a screen to enter the type of personnel, the number that will be trained, and the provider, if the personnel are not employed by the plan holder. All of the fields on this screen are required, except for the Provider of Personnel if you selected "Personnel employed by plan holder."

**Add to ICS Position**

**Type of Personnel:**  Personnel employed by plan holder  
 Personnel employed by plan holder's parent company or other affiliated entity  
 Contracted personnel

**Number Trained:**

**Provider of Personnel (if other than plan holder):**

[Back](#) [Create](#)

The example below shows the Cascading Personnel table after the applicant used the "add to ICS Position" link to add a second Safety Officer from a contracted SMT.

ICS Position	Type of Personnel	Number Trained	Personnel Provider	
Incident Commander	Personnel employed by plan holder	2		<a href="#">Edit   Delete</a> <a href="#">- add to ICS Position</a>
Safety Officer	Personnel employed by plan holder	1		<a href="#">Edit   Delete</a>
	Contracted personnel	1	ABC SMT	<a href="#">Edit   Delete</a>

If you have added all of the required Cascading Response positions, select "Next" to proceed to the Attestation screen.



## Attestation Screen

This is the final page of the application. The Attestation screen corresponds to Section F of DFW Form 1005.

Applicants must enter their title, name, and electronic signature attesting to the veracity of the information provided on the application and their intent to participate in the SMT certification program. Consultants may complete the attestation if they are filling out the application on behalf of the plan holder.

The screenshot shows the 'Attestation' screen with a navigation bar at the top: Index | Applicant Information | C-Plans | Initial Personnel | Cascading Personnel | **Attestation**. The main heading is 'Attestation'. Below it is a paragraph of text: 'The information provided regarding spill management team personnel and capabilities is factual and correct to the best of my knowledge and belief. I agree to allow Office of Spill Prevention and Response personnel access to my facility and documentation associated with the spill management team certification process, prior and subsequent to receiving a certification, for the purpose of verifying information contained in this application. I understand that all training records identified for certification purposes are subject to verification. I agree to participate in announced and unannounced exercises as set forth in Title 14, California Code of Regulations, sections 830.6 and 830.7, to verify any or all information contained in this application, prior and subsequent to receiving a certification.'

Below the text are four input fields: Title, First Name, Last Name, and Signature. Below the Signature field is the instruction: 'Please type in the full legal name of the applicant.' At the bottom are two buttons: 'Back' and 'Submit Form'.

## Application Submission

Once you have entered all of the required personnel and other information on each of the application screens, select the "Submit Form" button to complete your application. You may then close the window or select the "Back to Index" button to return to the Index page. Your application status will be listed as submitted.

The screenshot shows a confirmation screen titled 'Application Submitted'. The text reads: 'Your application has been submitted. OSPR will contact you to request documentation of training, experience, and/or a training plan. Please be prepared to provide these documents. You may submit documentation to OSPRSMT@wildlife.ca.gov with your SMT number in the subject line.' At the bottom is a 'Back to Index' button.

The screenshot shows the 'Plan Holder Spill Management Team' dashboard. It includes a link 'Create New Plan Holder Application...' and a table with the following data:

Name	SMT Number	Status		
OilCo Operators LLC	PH00035	Submitted	<a href="#">Edit</a>	<a href="#">Print Preview</a>

Once your application has been submitted, it will be reviewed by OSPR's SMT Team, who will let you know if your application was fully completed, or if there are any deficiencies that you need to correct.



## Returning to an Existing Application

You can access return to an application you previously started by selecting "Edit" next to the application on the Index screen.

Plan Holder Spill Management Team				
Create New Plan Holder Application				
Name	SMT Number	Status		
OilCo Operators LLC	PH11	In Progress	Edit	Print Preview
CPC Pipeline Company	PH20	Submitted	Edit	Print Preview

When you return to an application you previously created, you will be prompted to select an option that represents your application status. If you are returning to an application that you have previously submitted, the signature on your attestation will be cleared. You must continue through the application and submit it to re-attest to the application's contents.

**INSTRUCTIONS: DO NOT CHANGE THE RADIO BUTTON** below unless you are making a Correction or an Update to a submitted application. Application opens "In Progress".

In Progress  Correction  Update  Revision

- **In Progress:** Select this option if you are editing a previous application that you have not yet submitted. This is the default option when you open an existing application.
- **Correction:** Select this option if you received an email from OSPR instructing you to correct a deficiency with your application. You will also need to add a note to the User Notes section at the bottom of the screen.
- **Update:** Select this option if you are updating contact information or other non-significant changes only (see § 830.8(c)).
- **Revision:** Select this option to request changes to the geographic region(s), tier, or number/provider of personnel associated with an existing certification (see § 830.8(a)).
- **Renewal:** Select this option to submit an application for renewal of a full certification (*Note: The Renewal option will be added to the submission system in coming years as renewals become due.*)

### Returning to an Application in Progress

If you are returning to an application that you have started but not yet submitted, the radio button will be set to In Progress, so there is no need to change the selection.



Proceed through the application screens and continue completing your application. Do not enter any text into the User Notes section, as OSPR will not see this text unless you are making a correction or requesting a revision. If you need to send the SMT Team a note with a new application, email [OSPRSMT@wildlife.ca.gov](mailto:OSPRSMT@wildlife.ca.gov).

When you have completed the Attestation, select the "Submit Form" button to complete your application and submit it to OSPR for review. You may then close the window or select the "Back to Index" button to return to the Index page. Your application status will be listed as submitted.

### *Correcting a Deficiency*

Select the "Correction" radio button if you received an email from OSPR instructing you to correct a deficiency with your application. When you return to a submitted application, your signature on the attestation is re-set. You must continue to the end of the application and submit it to re-attest to the application's contents.

Before selecting the "Next" button, type an entry in the User Notes section describing the changes you are making to correct the deficiency.

User Notes (For Updates or Revisions only: Please indicate the change(s) to your application. Your note will be submitted when you click "Next.")

User Notes

Back Next

After selecting "Next," proceed through the application screens and correct the deficiencies as directed by OSPR. When you have finished making corrections, you must select the "Submit Form" on the Attestation screen to re-complete your application and submit it to OSPR for review. You may then close the window or select the "Back to Index" button to return to the Index screen. Your application status will be listed as submitted.

### *Making a Non-significant Update*

Select the "Update" radio button if you are updating applicant information such your mailing address, phone number, or email address, or point of contact.

Update the applicable information and click "Next" to proceed through the application. You may add text into the User Notes section, but OSPR will not be notified unless you are making a correction or requesting a revision. If you need to send the SMT Team a note regarding your application update, email [OSPRSMT@wildlife.ca.gov](mailto:OSPRSMT@wildlife.ca.gov).

When you return to a submitted application, your signature on the attestation is re-set. You must continue to the end of the application and submit it to re-attest to the application's contents. When you reach the Attestation screen, select the "Submit Form"





button to complete your update. You may then close the window or select the "Back to Index" button to return to the Index screen. Your application status will be listed as submitted.

### *Requesting a Revision*

Select the "Revision" button on if you are requesting a change to the geographic region(s), Tier, or the number and/or provider of personnel associated with an existing interim or full certification.

Before selecting the "Next" button on the Applicant Information screen, type an entry in the User Notes section describing the revision that you are requesting.

User Notes (For Updates or Revisions only. Please indicate the change(s) to your application. Your note will be submitted when you click "Next.")

User Notes

Back Next

After selecting "Next," proceed through the application screens and revise the applicable sections of your application. When you have finished making the requested changes, you must continue to the end of the application and re-attest to the application's contents. Select the "Submit Form" on the Attestation screen to complete your application and submit it to OSPR for review.. You may then close the window or select the "Back to Index" button to return to the Index screen. Your application status will be listed as submitted.

Once your request has been submitted, it will be reviewed by OSPR's SMT Team, who will let you know if there are any deficiencies that you need to correct or whether your revision is approved. The application for revision will be subject to verification as appropriate to the details of your request. For example, if an additional facility in a different geographic region is added, a mobilization exercise will be conducted to verify the SMT's expanded capabilities.

**END**