PLAN HOLDER
Online Application Job Aid
for
Spill Management Team Certification
# Table of Contents

Introduction ................................................................................................................................. 3
Registration .................................................................................................................................. 4
Getting Started with the Online Application ........................................................................... 5
Navigation .................................................................................................................................... 5
Index Screen ............................................................................................................................... 7
Applicant Information Screen ..................................................................................................... 7
  Applicant Information .............................................................................................................. 8
  Address of principal place of business (if different from above): ........................................ 9
  Contact Information .............................................................................................................. 9
Spill Management Team Services Section ................................................................................. 10
Certification or Renewal Exercise ............................................................................................. 10
Mobilization Plan ...................................................................................................................... 11
User Notes ................................................................................................................................. 11
Contingency Plans (C-Plans) Screen .......................................................................................... 12
Initial Personnel Screen ............................................................................................................ 14
  Adding the Incident Commander, Safety Officer, and Operations Section Chief .............. 14
  Adding Positions Using Create New ICS Position ............................................................... 15
  Adding to ICS Positions ....................................................................................................... 17
Cascading Personnel Screen .................................................................................................. 18
  Adding Cascading Response Positions ............................................................................... 19
  Adding Positions Using Position Name Links ................................................................... 20
  Adding to ICS Positions ....................................................................................................... 20
Attestation Screen .................................................................................................................... 22
Application Submission ........................................................................................................... 22
Returning to an Existing Application ....................................................................................... 23
  Returning to an Application in Progress ........................................................................... 23
Correcting a Deficiency ............................................................................................................ 24
Making a Non-significant Update ............................................................................................ 24
Requesting a Revision .............................................................................................................. 25
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. 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.

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.
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.

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 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.

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

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."

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 request revisions and renewals.

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.
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.

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.
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.

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.
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. 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.

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.
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.

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.”
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 Sate 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.”

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.

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.

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.

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.
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.

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.

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.

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.

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.
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 State 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.
Adding Cascading Response Positions

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

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.

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.

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.

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.
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."

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.

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.

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.

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.

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.

- **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.

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](image)

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 as 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.

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.

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