



# U. S. Coast Guard Sector



## Auxiliary Assistant Pollution Investigator

# Performance Qualification Standard

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## **Sector Training Guide**

### **Auxiliary Assistant Pollution Investigator 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 an Auxiliary Assistant Pollution Investigator. 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 satisfactorily.

*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 COTP will issue a Letter of Designation. 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 Trident device.

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## Auxiliary Assistant Pollution Investigator

<b>RECORD OF VERIFYING OFFICERS</b>		
<b>Title</b>	<b>Verifying Officer's Name</b>	<b>Initials</b>

<b>RECORD OF MAJOR TASKS COMPLETED</b>		
<b>Task Number</b>	<b>Major Tasks</b>	<b>Date Completed</b>
1.0	Legal Basis for Pollution Response	
2.0	Phase I: Discovery of Notification	
3.0	Phase II: Preliminary Assessment and Initiation of Action	
4.0	Phase III: Containment, Countermeasures, Cleanup, and Disposal	
5.0	Phase IV: Documentation and Enforcement Actions	

## **Auxiliary Assistant Pollution Investigator**

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## Auxiliary Assistant Pollution Investigator

<b>RECORD OF COMPLETION</b>		
<b>Training Prerequisites</b>	<b>Date</b>	<b>Training Coordinator's Signature</b>
A. Completion of resident training course:		
1. Pollution Incident Response ( <i>Recommended</i> )		
B. Completion of correspondence courses:		
1. Introduction to Marine Safety and Environmental Protection (IMSEP)		
2. ICS 100		
3. ICS 200		
4. ICS 300		
5. IS 700		
6. IS 800		
C. Completion of HAZWOPER First Responder Operations (FRO) Level training.		
D. Favorable DO PSI if required by COTP/OCMI		
E. Completion of PQS Workbook.		
F. Successful completion of unit level oral board.		
G. Designation Letter submitted for approval.		

All qualification requirements have been satisfactory completed by \_\_\_\_\_

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# Auxiliary Assistant Pollution Investigator

## References

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

- “Response to Marine Oil Spills,” International Tanker Owners Pollution Federation
- “The World Catalog of Oil Spill Response Products”
- “Training Reference for Oil Spill Response,” DOT/EPA/DOI.
- American Conference of Governmental Industrial Hygienists (ACGIH), Threshold Limit Values and Biological Exposure Indices
- American Conference of Governmental Industrial Hygienists (ACGIH), Threshold Limit Values for Chemical Substances, 7th Edition
- Department of Transportation (DOT) “Emergency Response Guidebook”  
<http://hazmat.dot.gov/pubs/erg/guidebook.htm>
- Environmental Protection Agency’s (EPA) Website: <http://www.epa.gov>
- International Convention for the Safety of Life at Sea (SOLAS) 1974, as amended
- Local unit’s Area Contingency Plan (ACP)
- National Institute for Occupational Safety and Health (NIOSH) Pocket Guide to Chemical Hazards
- National Oceanic and Atmospheric Administration (NOAA):
  - “Shoreline Countermeasures Manual”
  - “Shoreline Assessment Manual”
  - “Mechanical Protection Guidelines”
- Response to Marine Oil Spills,” International Tanker Owners Pollution Federation.
- Spill Tactics for Alaska Responders ([www.dec.state.ak.us/spar/perp/star/index.htm](http://www.dec.state.ak.us/spar/perp/star/index.htm))
- The International Convention for Pollution from Ships, 1973, as modified by the Protocol of 1978 (MARPOL 73/78)
- Title 29 Code of Federal Regulations, Part 1910.120
- Title 33 Code of Federal Regulations, Parts 1, 2, 6, 88, 104-105, 126-127, 130, 135, 153-156, and 160
- Title 40 Code of Federal Regulations, Parts 116, 117, 261, and 300
- Title 46 Code of Federal Regulations, Parts 4 and 16
- Title 49 Code of Federal Regulations, Parts 172
- Title 5 U. S. Code § 552, Freedom of Information Act
- Title 5 U. S. Code § 552A, Privacy Act
- Title 33 U. S. Code § 407, Refuse Act
- Title 33 U. S. Code § 1251-1387, Federal Water Pollution Control Act (FWPCA), as amended
- Title 33 U. S. Code § 2701-2761, Oil Pollution Act of 1990
- Title 42 U. S. Code § 1801-1812, Resource Conservation and Recovery Act (RCRA) of 1976
- Title 42 U. S. Code § 9601-9675, Comprehensive Environmental Response, Compensation and Liability Act (CERCLA), as amended
- Title 46 U. S. Code § 701, Maritime Transportation Security Act
- Title 46 U. S. Code § 6100 and 7704, Shipping

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- U. S. Coast Guard CERCLA Response Authority, COMDTINST 16465.29 (series)
- U. S. Coast Guard Chemical Hazards Response Information System (CHRIS), COMDTINST M16465.12C (series)
- U. S. Coast Guard Civil Penalty Hearing Officer Procedures, COMDTINST 16200.5 (series)
- U. S. Coast Guard Civil Penalty Procedures and Administration, COMDTINST 16200.3 (series)
- 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)
- U. S. Coast Guard Incident Management Handbook, COMDTPUB P3120.17A (series)
- U. S. Coast Guard Legal Authorities, COMDTPUB 5850.2 (series)
- 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)
- U. S. Coast Guard Notice of Violation User's Guide, COMDTINST 5582.1 (series)
- U. S. Coast Guard Office of Vessel Activities (CG-3PCV) Policy Letter 06-01: Guidance for the Enforcement of MARPOL Annex I During Port State Control Examinations
- U. S. Coast Guard Oil Pollution Response Planning Guide for Extreme Weather, COMDINST 16466.2 (series)
- U. S. Coast Guard Public Affairs Manual, COMDTINST 5728.2 (series)
- U. S. Coast Guard Special Teams Handbook: <http://www.uscg.mil/hq/g-m/HAZMAT%20Response%20Special%20Teams%20Handbook.pdf>
- U. S. Coast Guard Vessel Response Plans and Shipboard Oil Pollution Emergency Plans info: <http://www.uscg.mil/vrp/default.htm>
- U. S. Geological Survey's Website for definitions of PAH: <Http://toxics.usgs.gov/definitions/pah.html>

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<u>Task Number</u>	<u>AUX-ED Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
<b>1.0</b>	<b>Legal Basis for Pollution Response</b>		
1.1	<b>List</b> the laws applicable to conducting pollution (i.e. oil and hazardous substance) investigations.	_____	_____
1.2	<p><b>State</b> and <b>define</b> the applicability, jurisdiction, and intent:</p> <ul style="list-style-type: none"> <li>• Federal Water Pollution Control Act of 1972 (FWPCA)</li> <li>• Clean Water Act (CWA)</li> <li>• Oil Pollution Act of 1990 (OPA 90)</li> <li>• Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA or SuperFund)</li> <li>• Refuse Act</li> <li>• Privacy Act</li> <li>• Resource and Conservation Recovery Act (RCRA)</li> </ul>	_____	_____
1.3	<b>Define</b> “harmful quantity” and “reportable quantity” as they apply to oil and hazardous materials under the FWPCA and CERCLA.	_____	_____
1.4	<p><b>State</b> what parties may be considered “responsible parties” under FWPCA and CERCLA.</p> <ul style="list-style-type: none"> <li>• <b>Define</b> a responsible party.</li> </ul>	_____	_____
1.5	<b>Define</b> “Navigable Waterway” as the term applies to the FWPCA.	_____	_____
1.6	<p><b>Describe</b> the occasions and policies for entry onto private property.</p> <ul style="list-style-type: none"> <li>• Secured (locked gate)</li> <li>• Unsecured (open gate)</li> </ul>	_____	_____
1.7	<p><b>Describe</b> a Captain of the Port Order with regards to the following:</p> <ul style="list-style-type: none"> <li>• Authority</li> <li>• Regulation</li> <li>• Circumstances to use the COTP (i.e. When can an order be issued?)</li> </ul>	_____	_____

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<u>Task Number</u>	<u>AUX-ED Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
1.8	<b>Describe</b> the purpose and use of a Letter of Undertaking (LOU), including: <ul style="list-style-type: none"> <li>• When to use the LOU</li> <li>• Form of surety required</li> <li>• Applicable authority for issuance</li> </ul>	_____	_____
1.9	<b>Describe</b> the purpose and use of an Administrative Order including: <ul style="list-style-type: none"> <li>• Authority</li> <li>• Circumstances to use this order</li> </ul>	_____	_____
1.10	<b>Describe</b> a transfer suspension order including: <ul style="list-style-type: none"> <li>• Authority</li> <li>• Circumstances to use this order</li> </ul>	_____	_____
1.11	<b>Describe</b> the purpose, use, and meaning of a Notice of Federal Interest: <ul style="list-style-type: none"> <li>• <b>Explain</b> the meaning of limits of liability.</li> </ul>	_____	_____
1.12	<b>List</b> the factors for determining the size of a spill (include inland and coastal) for the following: <ul style="list-style-type: none"> <li>• Minor</li> <li>• Medium</li> <li>• Major</li> </ul>	_____	_____
1.13	<b>Describe</b> the applicability and purpose of the following pollution prevention regulations: <ul style="list-style-type: none"> <li>• 33 CFR Part 154 (Facilities)</li> <li>• 33 CFR Part 155 (Vessels)</li> <li>• 33 CFR Part 156 (Transfer Operations)</li> </ul>	_____	_____
1.14	<b>Explain</b> the purpose and applicability of a Certificate of Financial Responsibility (COFR).	_____	_____
1.15	<b>Explain</b> the legal authority: <ul style="list-style-type: none"> <li>• Notice of Violation.</li> <li>• Report of Violation</li> </ul>	_____	_____
1.16	<b>Describe</b> the applicability, scope, and purpose of MARPOL regulations.	_____	_____

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<u>Task Number</u>	<u>AUX-ED Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
<b>2.0</b>	<b>Phase I: Discovery or Notification</b>		
2.1	<b>Describe</b> the types of pollution incidents requiring reports and identify the applicable laws/regulations.	_____	_____
2.2	<b>Describe</b> what the RP and/or witness must report for the incidents identified in Task 2.1 and how they may be reported.	_____	_____
2.3	<b>List</b> possible sources of pollution reports and means of reporting, including: <ul style="list-style-type: none"> <li>• National Response Center</li> <li>• Sector Command Center</li> <li>• Telephone</li> <li>• Walk-ins</li> <li>• Report of a Marine Casualty (CG-2692 )</li> </ul>	_____	_____
2.4	<b>State</b> the information to be gathered during an initial report of the discovery of an oil spill or hazardous substance release.	_____	_____
2.5	<b>Assist in Linking</b> a NRC report to generate a MISLE Notification.	_____	_____
2.6	<b>Receive and explain</b> the MISLE notification process of pollution report. <ul style="list-style-type: none"> <li>• <b>Demonstrate</b> MISLE notification entry (use referential parties).</li> <li>• <b>Review</b> involved party's history.</li> <li>• <b>Review</b> involved vessel's history.</li> <li>• <b>Review</b> involved facility's history.</li> </ul>	_____	_____
2.7	<b>List</b> the possible courses of action upon receipt of an initial report of pollution.	_____	_____
2.8	<b>Define</b> a reportable and non-reportable marine casualty.	_____	_____
2.9	<b>Assist with Taking</b> two initial reports of pollution incidents and with <b>choosing</b> the proper courses of action ( <b>Enter</b> each activity in the log at the back of	_____	_____

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<u>Task Number</u>	<u>AUX-ED Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
2.10	this PQS.) <b>Summarize</b> the Commandant's Public Affairs Policy.	_____	_____
<b>3.0</b>	<b>Phase II: Preliminary Assessment and Initiation of Action</b>		
3.1	<b>Describe</b> the importance of the following factors for the initial response actions: <ul style="list-style-type: none"> <li>• Health and safety concerns</li> <li>• Suspected substance type and characteristics</li> <li>• Physical location</li> <li>• Weather conditions</li> <li>• Weathering effects of pollutant</li> <li>• Credibility of reporting source (RP or 3<sup>rd</sup> party; validate reporting source by contacting other agencies near the spill)</li> </ul>	_____	_____
3.2	<b>Develop</b> a response strategy for a medium or major pollution incident.	_____	_____
3.3	<b>Forecast</b> the trajectory of a floating pollutant in your AOR using current technology.	_____	_____
3.4	<b>Obtain</b> on-scene data, both current and forecast (for your AOR) including: <ul style="list-style-type: none"> <li>• Wind conditions</li> <li>• Tides and Currents</li> <li>• Temperature</li> </ul>	_____	_____
3.5	<b>Assist in Communicating</b> with the media regarding a pollution incident.	_____	_____
3.6	<b>Describe</b> Coast Guard responsibility and authority concerning public safety and responder safety during a pollution incident.	_____	_____
3.7	<b>Describe</b> the safety training requirements (i.e. HAZWOPER) for persons responding to oil and hazardous materials incidents.	_____	_____

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<u>Task Number</u>	<u>AUX-ED Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
3.8	<b>Identify</b> the most common oil and hazardous materials transported in your zone and their associated safety hazards.	_____	_____
3.9	<b>Define</b> confined spaces. <ul style="list-style-type: none"> <li>• <b>Describe</b> the hazards associated with confined spaces.</li> <li>• <b>Define</b> Coast Guard policy concerning confined space entry.</li> </ul>	_____	_____
3.10	<b>Describe</b> the safe work practices and other measures needed to provide an acceptable level of safety during pollution investigation and response activities, including any Commandant and unit instructions.	_____	_____
3.11	<b>Assist in Conducting</b> preliminary investigation including the following: <ul style="list-style-type: none"> <li>• <b>Identify</b> reporting exclusions and data entry exceptions.</li> <li>• <b>Determine</b> jurisdiction and authority.</li> <li>• <b>Define</b> a marine casualty and the relationship to a pollution spill.</li> <li>• <b>Determine</b> casualty type (i.e. reportable/non-reportable).</li> <li>• <b>Determine</b> product classification, grade, and category.</li> <li>• <b>Review</b> Responsible Party history.</li> <li>• <b>Review</b> vessel and/or facility history.               <ul style="list-style-type: none"> <li>○ Outstanding deficiencies?</li> </ul> </li> <li>• <b>Determine</b> appropriate actions based on spill classification from Task 1.12 (i.e. minor, medium, or major).</li> <li>• <b>Identify</b> pollution elements (i.e. list all five).</li> <li>• <b>Determine</b> coastal or inland waters.</li> <li>• <b>Determine</b> substance (i.e. CERCLA)               <ul style="list-style-type: none"> <li>○ Harmful quantity?</li> <li>○ Reportable quantity?</li> </ul> </li> </ul>	_____	_____
3.12	<b>Define</b> a serious marine incident.	_____	_____

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<u>Task Number</u>	<u>AUX-ED Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
3.13	<p><b>Identify and explain</b> the differences for the following terms:</p> <ul style="list-style-type: none"> <li>• Hazardous Waste</li> <li>• Hazardous Substance</li> <li>• Hazardous Material</li> <li>• Oil</li> <li>• Release and discharge</li> </ul>	_____	_____
3.14	<b>Identify</b> Lead Investigative State/Substantially Interested State(s).	_____	_____
3.15	<p><b>Explain</b> all levels of investigative effort including:</p> <ul style="list-style-type: none"> <li>• Data collection</li> <li>• Informal</li> <li>• Formal</li> <li>• Marine Board</li> </ul>	_____	_____
3.16	<p><b>Assist in Gathering and reviewing</b> information for the following:</p> <ul style="list-style-type: none"> <li>• <b>Evaluate</b> site safety and risk assessment.</li> <li>• <b>Determine</b> responsible party, involved parties, and parties in interest.</li> <li>• <b>Explain</b> when you would consult with other CG personnel such as Inspectors, Investigators, District legal, and/or other subject matter experts.</li> <li>• <b>List</b> examples for acquiring consultation, (i.e. sinking of an inspected vessel, gross negligence of a Tankerman during an oil transfer operation, and leaking of fuel oil from a crack in the side of a commercial ship's hull plating).</li> </ul>	_____	_____
3.17	<b>Identify</b> the minimum Personal Protective Equipment required for personnel responding to oils/hazardous substances handled in your AOR.	_____	_____
3.18	<p><b>Assist in Validating</b> the pollution report and <b>briefing</b> Command; including the following:</p> <ul style="list-style-type: none"> <li>• <b>Provide</b> recommended course of action.</li> <li>• <b>Provide</b> spill size and source (if known).</li> </ul>	_____	_____



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<u>Task Number</u>	<u>AUX-ED Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
3.19	<b>Define</b> the following characteristics which may be considered prior to and during a spill response: <ul style="list-style-type: none"> <li>• Hazard Class</li> <li>• Reactivity</li> <li>• Physical State</li> <li>• Specific Gravity</li> <li>• Vapor Density</li> <li>• Paths (or Routes) of Entry</li> <li>• Threshold Limit Values (TLV)/Recommended Exposure Limits (REL)/Permissible Exposure Limits (PEL)</li> <li>• Short Term Exposure Limits (STEL)</li> <li>• Immediately Dangerous to Life and Health Concentrations (IDLH)</li> <li>• Lethal Concentration 50% (LCD50)/Lethal Dose 50% (LD50)</li> <li>• Bioaccumulation</li> <li>• Bio-oxygen Demand</li> <li>• Lower Explosive Limit (LEL)/Upper Explosive Limit (UEL) and Lower Flammable Limit(LFL)/Upper Flammable Limit (UFL)</li> <li>• Flash Point</li> <li>• Vapor Pressure</li> <li>• Boiling Point</li> </ul>	_____	_____
3.20	<b>Identify</b> potential sources and the hazards associated with the following: <ul style="list-style-type: none"> <li>• Benzene</li> <li>• Carbon dioxide</li> <li>• Hydrogen disulfide (H<sub>2</sub>S)</li> <li>• Polycyclic aromatic hydrocarbon (PAH)</li> <li>• Lack of oxygen</li> </ul>	_____	_____
<b>4.0</b>	<b>Phase III: Containment, Countermeasures, Cleanup, and Disposal.</b>		
4.1	<b>Assist in Issuing</b> a Notice of Federal Interest.	_____	_____

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<u>Task Number</u>	<u>AUX-ED Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
4.2	<b>Identify</b> Evidence Types including the following: <ul style="list-style-type: none"> <li>• <b>Demonstrate</b> evidence process procedures</li> <li>• <b>State</b> the difference between handling and processing civil and criminal evidence.</li> <li>• <b>Make</b> proper notifications for criminal case (i.e. CGIS and IOs).</li> <li>• <b>Collect</b> witness statements.</li> <li>• <b>Review</b> physical evidence.</li> <li>• <b>Review</b> photographs and/or video.</li> <li>• <b>Review</b> diagrams and charts.</li> <li>• <b>Review</b> vessel and/or facility logs</li> <li>• <b>Evaluate</b> written operating procedures for vessels or facilities</li> </ul>	_____	_____
4.3	<b>Explain</b> the terms “direct evidence” and “circumstantial evidence”.	_____	_____
4.4	<b>Demonstrate</b> the procedures necessary to take valid samples of oil for an analysis (both sheen and heavy concentration).	_____	_____
4.5	<b>List</b> the types of samples necessary to provide the Marine Safety Laboratory with sufficient physical evidence to perform ‘fingerprint’ identification.	_____	_____
4.6	<b>Describe</b> the procedures for maintaining the chain of custody and properly forwarding samples to the Marine Safety Laboratory.	_____	_____
4.7	<b>Describe</b> the procedures for proper storage of oil samples.	_____	_____
4.8	<b>Describe</b> the proper shipping method of oil samples to the Marine Safety Laboratory.	_____	_____
4.9	<b>Illustrate</b> and <b>state</b> the advantages and disadvantages of the following physical containment methods: <ul style="list-style-type: none"> <li>• Physical barriers (non-boom)</li> <li>• Diking/berming</li> </ul>	_____	_____

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<u>Task Number</u>	<u>AUX-ED Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
4.9 (Cont.)	<ul style="list-style-type: none"> <li>• Trenching</li> <li>• Overflow and underflow dams</li> </ul>	_____	_____
4.10	<p><b>Identify</b> and <b>explain</b> the mode of operation of the following common skimmer types:</p> <ul style="list-style-type: none"> <li>• Weir</li> <li>• Suction</li> <li>• Submersion</li> <li>• Vortex/Centrifugal</li> </ul>	_____	_____
4.11	<p><b>Identify</b> the support items necessary to conduct skimming operations.</p> <ul style="list-style-type: none"> <li>• Open water</li> <li>• River</li> </ul>	_____	_____
4.12	<p><b>Identify</b> the skimmer types and sources that are available in your AOR.</p>	_____	_____
4.13	<p><b>Explain</b> the effects the following factors will have on skimmer performance:</p> <ul style="list-style-type: none"> <li>• Sea state</li> <li>• Water depth</li> <li>• Debris</li> <li>• Oil thickness</li> <li>• Oil viscosity</li> </ul>	_____	_____
4.14	<p><b>Define</b> adsorbent and absorbent and <b>explain</b> the difference between the two terms.</p>	_____	_____
4.15	<p><b>Define</b> and <b>identify</b> the following sorbent types:</p> <ul style="list-style-type: none"> <li>• Organic</li> <li>• Inorganic</li> <li>• synthetic</li> </ul>	_____	_____
4.16	<p><b>Identify</b> common dimensions and appropriate uses for the following forms of sorbents:</p> <ul style="list-style-type: none"> <li>• Pad, roll, and blanket</li> <li>• Sock, pillow and sweep</li> <li>• Snare/pom-pom</li> <li>• Particulate</li> </ul>	_____	_____

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<u>Task Number</u>	<u>AUX-ED Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
4.17	<b>Assist with Interviewing</b> witnesses and Parties of Interest including the following: <ul style="list-style-type: none"> <li>• <b>Explain</b> the warnings and notices of rights given to witnesses.</li> <li>• <b>List</b> the elements that comprise an acceptable witness statement.</li> </ul>	_____	_____
4.18	<b>Demonstrate</b> analytical ability for assessing the cause of spill and recommendations for future actions: <ul style="list-style-type: none"> <li>• <b>Explain</b> who secures source and why.</li> <li>• <b>Explain</b> cause of spill.</li> <li>• <b>Identify</b> causal factor (i.e. human or mechanical error, lack of preventive maintenance).</li> </ul>	_____	_____
4.19	<b>Explain</b> why CG personnel shall not operate non-CG owned equipment (i.e. vessel's or facility's shut-off valves, hose nozzle, etc.).	_____	_____
4.20	<b>Explain</b> the contents of a Site Safety Plan.	_____	_____
4.21	<b>Explain</b> the applicability of a Site Safety Plan during a spill.	_____	_____
4.22	<b>Conduct</b> a shoreline cleanup assessment.	_____	_____
4.23	<b>Complete</b> the Blue Book (CG-3639A).	_____	_____
4.24	<b>Complete</b> an ICS Form 201 (Incident Briefing Form).	_____	_____
<b>5.0</b>	<b>Phase IV: Documentation and Enforcement Actions</b>		
5.1	<b>Participate</b> in a 201 briefing to the Command.	_____	_____
5.2	<b>Assist with Documenting</b> a Report of Investigation in MISLE: <ul style="list-style-type: none"> <li>• <b>Analyze</b> the findings of fact.</li> <li>• <b>Present</b> analysis.</li> <li>• <b>Formulate</b> conclusion.</li> </ul>	_____	_____

## Auxiliary Assistant Pollution Investigator

<u>Task Number</u>	<u>AUX-ED Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
5.3	<b>Identify</b> enforcement actions and document in MISLE.	_____	_____
5.4	<b>Describe</b> the elements of the following: <ul style="list-style-type: none"> <li>• Civil Penalty violation under FWPCA and CERCLA</li> <li>• Failure to notify violation</li> <li>• Class II civil penalty</li> <li>• Criminal violation</li> <li>• Refuse Act violation</li> <li>• MARPOL</li> <li>• Notice of Violation (ticket)</li> <li>• Report of Violation</li> <li>• Human error (i.e. Tankerman forgets to gauge the tank barge's cargo tank causing the tank to overflow)</li> </ul>	_____	_____
5.5	<b>Review</b> two pollution activities and <b>determine</b> the course of action (i.e. demonstrate the review of RP's history in MISLE): <ul style="list-style-type: none"> <li>• Letter of Warning</li> <li>• Notice of Violation</li> <li>• Report of Violation</li> <li>• Civil Penalty</li> <li>• Criminal</li> </ul>	_____	_____
5.6	<b>Explain</b> why you chose the course of action for Task 5.5.	_____	_____
5.7	<b>Assist with Preparing</b> the following: <ul style="list-style-type: none"> <li>• Letter of Warning</li> <li>• Notice of Violation</li> </ul>	_____	_____
5.8	<b>Assist with Preparation</b> and <b>processing</b> a Report of Violation (Class 1 Civil Penalty).	_____	_____
5.9	<b>Assist with Drafting</b> safety recommendations and document in MISLE.	_____	_____
5.10	<b>Assist with Drafting</b> safety alert and document in MISLE.	_____	_____

## Auxiliary Assistant Pollution Investigator

<u>Task Number</u>	<u>AUX-ED Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
5.11	<b>Assist with Drafting</b> appropriate message traffic on CGMS for a pollution or hazardous substance incident.	_____	_____
5.12	<b>Describe</b> the purpose and use of a Letter of Undertaking: <ul style="list-style-type: none"> <li>• When is a LOU used?</li> <li>• What form of surety would be required?</li> <li>• Issuance authority?</li> </ul>	_____	_____



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U.S. Department of  
Homeland Security

United States  
Coast Guard



## SAMPLE LETTER OF DESIGNATION

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: DESIGNATION AS AUXILIARY ASSISTANT POLLUTION INVESTIGATOR

Ref: Auxiliary Assistant Pollution Investigator Performance Qualification Standard  
Workbook

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

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

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