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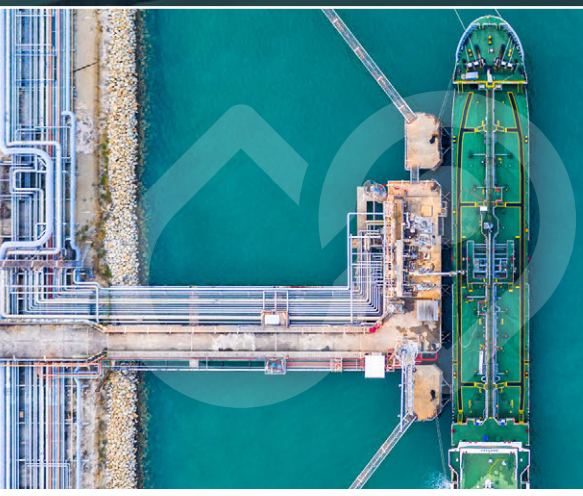
ASSOCIATION OF OIL, GAS AND
RENEWABLE ENERGY COMPANIES
OF LATIN AMERICA AND THE CARIBBEAN

# RETOS™ Oil Spill Response Planning and Readiness Assessment Manual

Version 3.0



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2023

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RETOS™
Readiness Evaluation Tool for Oil Spills

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# RETOS™ Oil Spill Response Planning and Readiness Assessment Manual

*V 3.0*

YEAR OF EDITION (2023)

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1 the original work developed for the ARPEL Governance Project (AGP), which was funded by the Canadian International Development Agency (CIDA) and co-managed by the Environmental Services Association of Alberta (ESAA) and the Association of Oil, Gas and Renewable Energy Companies of Latin America and the Caribbean (ARPEL) - https://arpel.org/;

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# Copyright



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# Disclaimer:

This Manual and the accompanying RETOS™ Web application (the "Product") are intended as tools that can be used by the oil spill response community to assess its current state of readiness/preparedness to respond effectively to a spill incident for a specific program scope. NOT all criteria contained in this Manual apply in all instances, to all facilities/ operations, or for all countries or governments.

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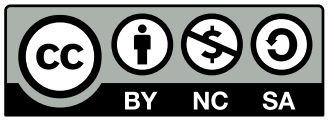

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# 1 Introduction

There have been few attempts in the oil spill response community to prepare comprehensive guides for the assessment of response capability. Most guidance has been focused on the content of oil spill response (OSR) contingency plans. In 2007, organizers of the 2008 International Oil Spill Conference (IOSC) convened a workgroup to develop general guidance that could be used to assess OSR readiness. The 2008 IOSC Workshop Subcommittee prepared a broad suite of planning and readiness assessment elements to encourage improved response capacity by aiding development and maintenance of response management systems from a site level to an international level and to reach beyond OSR contingency planning.

Government and industry representatives from Latin America and the Wider Caribbean Region met in Panama on 3 December 2007 to review, discuss and provide recommendations to a document that resulted in the "Assessment of Oil Spill Response Capabilities: A Proposed International Guide for Oil Spill Response Planning and Readiness Assessment" that was published by the American Petroleum Institute and presented in May 2008 as a special session at the IOSC held in Savannah, Georgia, USA. This document is referred to as the 2008 IOSC Guide.

Subsequent feedback received from the international community deemed it desirable to transform the 2008 IOSC Guide into a more user-friendly management tool, hence leading to the **ARPEL Oil Spill Response Planning and Readiness Assessment Manual** and its accompanying Excel™-based tool (RETOS™ Readiness Evaluation Tool for Oil Spills – translates as to "challenges" in Spanish), which were developed by ARPEL in 2011.

Reviews made by experts while using the original Manual and RETOS™ during field exercises for industry and governments worldwide, recognized the value and flexibility of the tool and made recommendations to improve its user-friendliness. ARPEL addressed these recommendations and – in December 2012 – the IOSC Executive Committee decided to fund ARPEL efforts to upgrade the Manual and RETOS™.

In 2021, a joint initiative of Ipieca, IMO and ARPEL led to the update of the 2008 IOSC Guide resulting in "International Guide for the Assessment of Oil Spill Response Planning and Preparedness" published in 2023 (https://arpel.org/library/publication/539/). A parallel effort led to an update and transfer of the RETOS™ application from a series of Excel™ tables to a web-based application now available at: https://retos.app. This Manual, the RETOS™ Web application, and the 2023 International Guide are considered as a suite of tools for oil spill response planning and preparedness assessments.

## 1.1 Objective

The objective of this Manual and the suite of tools is to assist governments and companies in assessing their level of oil spill response planning and readiness management in relation to commonly agreed pre-established criteria considering international Best Management Practices. The foundation for the concepts and criteria presented in this Manual is the 2023 International Guide, which should be consulted for in-depth criteria and which aids in developing OSR capabilities. **This Manual is accompanied by a web-based assessment tool, the Readiness Evaluation Tool for Oil Spills (RETOS™)**.

### *Management Tool*

This Manual, the 2023 International Guide and RETOS™ web application represent management tools to be used at different levels of assessment and OSR implementation (i.e., by companies at facilities and/or corporate levels), as well as an environmental governance tool for governments. The suite of tools is intended to help in the assessment of OSR planning and readiness and to identify gaps and information needs and sources for improvement. OSR assessment criteria are provided as a foundation for a consistent approach to assessing a level of OSR planning and readiness as well as to assist in identifying areas for improvement and ensuring that integrated OSR cooperation tools and processes are in place. These assessment tools are oriented more toward the management of OSR readiness and less toward detailed operational aspects, such as specific amounts or types of equipment. References are included on international best practices to assist in finding information to close any gaps determined by an assessment.

### *Self-Assessment*

This Manual aims to provide a general guideline to petroleum sector operators and governments, so that they may assess their own programs and/or apply the best practices to ensure the continuous improvement of their oil spill contingency management preparedness. A self-assessment can be performed at various levels of responsibility or scope to achieve excellence in operational and socially and environmentally responsible management. **The guidelines and practices provided through the 2023 International Guide are suggestions and not mandates. This Manual does not reflect the legal requirements of specific jurisdictions. Governments and companies must be aware of any requirements applicable to their respective jurisdictions.**

## 1.2 Relationship to the International Guide

The 2023 International Guide provides a list of components that is intended to be flexible such that it can be used by government, industry, facilities or operators and can be applied from local to international levels. The detail and content under review during an OSR management assessment may shift context or perspective depending on the needs of a user (e.g., government assessing its facilities, government reviewing industry, company reviewing facilities or operation, etc.). Some components may or may not be applicable to a particular OSR management assessment; however, the 2023 International Guide covers the breadth and depth of topics intended for global applicability. The user of this Manual and RETOS™ should have knowledge of,

or have reviewed, the 2023 International Guide to gain a clear understanding of the depth of its elements, sub-elements, and components, which represent a comprehensive oil spill readiness and planning management assessment program.

## 1.3 Overview of Manual and RETOS™

This Manual and RETOS™ are intended to be used together (Figures 1 and 2). This Manual provides the background for OSR management assessment and explains the terms used, the approach to the assessment process, and the concept for a Global Improvement Program. RETOS™ is intended as a checklist-type approach and tool for a specific program evaluation. RETOS™ is a tool consisting of a series of checklists that guide an evaluator through criteria in the evaluation process. Once the selected checklist is completed, the evaluator is provided with relative OSR planning and readiness scores and a listing of gaps.

The criteria provided for assessment are oriented toward oil (hydrocarbon) spills and do not include hazardous or noxious substances, per se, although many aspects of spill readiness are equally applicable. The OSR planning and readiness assessment also is directed at any number of possible spill scenarios, including different spill sources (e.g., tank vessels, pipelines, platforms) to receiving environments (e.g., land, inland waterways, offshore, etc.).

The International Convention on Oil Pollution, Preparedness, Response and Co-operation (OPRC), adopted by consensus at the International Maritime Organization (IMO) in 1990, establishes the framework for national and regional level oil pollution preparedness and response and the platform for international cooperation in the event of a major oil spill. The authors therefore utilized the oil spill response system defined therein by the international community as a common standard. Within the framework of OPRC, Parties *"undertake, individually or jointly, to take all appropriate measures in accordance with the provision of this Convention and the Annex thereto to prepare for and respond to an oil pollution incident"*. Parties are thus expected to have established or be in the process of establishing, a national oil spill response system including the nomination of a national competent authority, the adoption of a national contingency plan, the pre-positioning of minimum levels of response equipment, enter into bi- or multilateral cooperation agreements, and the development of training programs. Within this context, each Party is also expected to define its framework for sub-national and local contingency plans and is encouraged to ratify or accede to the relevant international liability and compensation instruments (e.g., CLC, FUND, OPRC/HNS Protocol, BUNKER).

For the purpose of this product, the authors assume industry is in compliance with pertinent legislative requirements at the national level and recognize that international operations may have inherent differences due to differing national legal systems and requirements, which can present particular challenges for international companies.

## 1.4 Recommended Qualifications for Evaluators

The successful use and application of this Manual and RETOS™ is dependent on the qualifications of the user and his/her level of experience in spill response programs, audits, field implementation and complexity of the program being assessed. Some of the qualification criteria recommended for evaluators are:

- Actual OSR experience
- Knowledge of spill contingency plan development and current response practices
- Current, up-to-date knowledge of applicable regulations
- Knowledge of OSR strategies, tactics and techniques
- Sound understanding of the 2023 International Guide
- Understanding of best practices for type of operations covered by the selected OSR program scope
- Familiarity and access to OSR manuals and reference materials
- Trained in purpose and use of the tool
- Team approach. For assessments at Levels B and C, it is particularly important to do the assessment with multiple specialists developing the evaluation together.

## 1.5 Manual Implementation and Revision

The Manual and RETOS™ allow the industry and government entities to compare their oil spill preparedness and response capabilities using a standard set of criteria. Users are expected to disseminate these tools widely for use by the corresponding governmental entities and/or companies, for a common and harmonized approach to OSR readiness assessment. ARPEL will provide the means to consider comments from other experts who have not participated in the development of the Manual and RETOS™ and who are using this tool. This review process will foster the interaction of the oil spill planning and response community and assist in the continuous improvement of these tools and, with it, of the oil spill preparedness and response management capabilities of both the government and the industry.

**Comments on how to improve the Manual or RETOS™ should be sent to ARPEL:**

E-mail: retos@arpel.org.uy


**Figure 1** - *Overview of how to use this Manual and the RETOS™ web application*

**1**

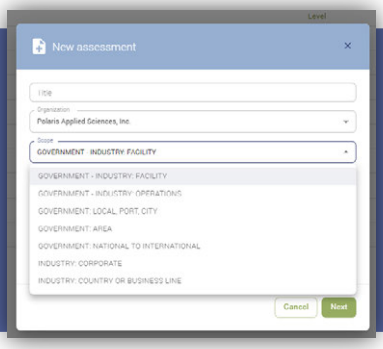
- Register your name and organization in the initial registration screen
- Invite others from organization, as applicable (see next page)


**2**

- If organization is already registered, enter login page

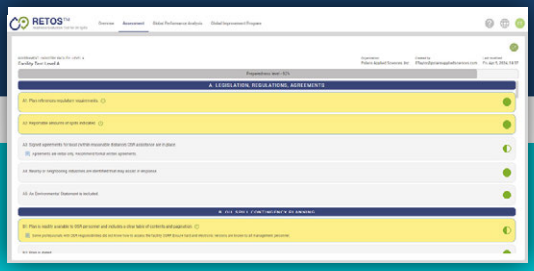
**3**

- Add New Site, or select Site used
- Select Scope and Level for assessment




**4**

- Begin assessment process
- Enter institution-specific criteria to end of list (optional)




**5**

- Enter Indicator value for each criterion
- Add Observations / Recommendations for criteria valued Missing, Partial or N/A

**6**

- Click on Global Performance Analysis to see results
- Click on Global Improvement Program to see action plan table

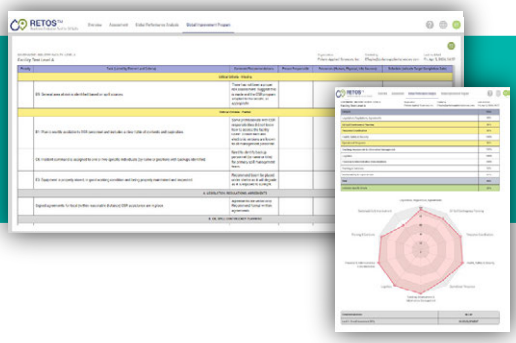



**Figure 2** - *Steps in using RETOS™ web application*

# 2 Glossary

This chapter contains terminology used in the Manual and RETOS™.

## 2.1 Criteria

Detailed assessment criteria are the individual base concepts that are evaluated and form the core of the OSR management assessment matrices presented in Chapters 4 through 10.

## 2.2 Critical Criteria

One dictionary definition of critical is *"having a decisive or crucial importance in the success, failure, or existence of something"*. At a basic level, an oil spill preparedness program must address select minimum criteria to be considered complete. These critical criteria, identified by experienced spill response professionals, are highlighted in assessment matrices (Chapters 4 -10) and in the RETOS™ web application and apply only to Level A. Brief explanations for each of the critical criteria are included as Appendix A in this Manual and in the RETOS™ web application.

## 2.3 Program

PROGRAM refers to the specific OSR program that is being assessed or evaluated. Examples are (1) Terminal "XXX" OSR Planning and Readiness or (2) Country "YYY" National OSR Planning and Readiness.

**NOTE:** The OSR Program is more than just an Oil Spill Contingency – or Response – Plan (OSCP or OSRP). An OSR Program includes spill management aspects, equipment, spills and spill response history, training and exercises, and all related components of spill preparedness and response capability.

## 2.4 Scopes

The seven (7) SCOPES used in this Manual represent OSR programs from two perspectives: Government and Industry (Table 1). The common SCOPES between these two are a FACILITY and an OPERATION, given that OSR readiness for a facility or operation is essentially the same regardless of owner/operator.

The **SCOPES** used are:

### *Government or Industry*

- **Facility** – (terminal, plant) - geographically and operationally limited.
- **Facility/Asset Operation** (e.g., pipelines, vessels, fleet) – geographically extensive.

### *Government*

- **Port/City/Local** – broader in scope than Facilities but geographically-limited.
- **Area** (Region, Province, State) – for governments that have defined requirements or needs for planning at sub-national levels, usually defined by administrative or geopolitical boundaries.
- **National** (& International) – for national OSR plans and readiness and for bi-national or international initiatives.

### *Industry*

- **Country or Business Line** (e.g., Production) – may include multiple facilities or operations directed from an upper management level.
- **Corporate** – company-wide (policies, general procedures, and guidelines).

A description – and examples – of a given SCOPE is provided in the introduction to each chapter in the Manual.

**Table 1** - *Description of scopes used in this Manual*

| Government or Industry | | | |
|---|---|---|---|
| **Scope** | **Definition** | **Examples** | **Comments** |
| **Facility** | Government- or Industry-owned and/or -operated oil production, processing, handling, transport and storage facilities typically have emergency response plans for different eventualities, including oil spills.<br>The facilities encompassed in this scope are geographically fixed and local in extent (i.e., not vessels or long pipelines).<br>A key feature of this scope is the point-source aspect of the potential spill, independent of the possible spill volume or area at risk. | Refineries<br>Well or Production Sites<br>Storage facilities<br>Tank farms<br>Floating Storage and Offloading (FSO)/ Floating Production Storage and Offloading (FPSO)<br>Offshore platforms<br>Transfer facilities<br>Fueling stations | Geographically fixed, local in extent point-source spill, independent of the possible spill volume or area at risk<br>Does not encompass geographically extensive operations such as vessels, fleets or vessel routes, pipelines or rail. |
| **Facility / Asset Operation** | Government- or Industry-owned and/or -operated oil handling, transport and storage facilities typically have emergency response plans for different types of incidents, including oil spills.<br>The operations encompassed in this scope have a broader geographic footprint, typically as a result of oil transportation. A key feature of this scope is the broader potential spill source along established operational routes. | Pipeline operations<br>Vessel fleets (tankers, barges)<br>Rail transport<br>Subsea pipelines and gathering systems | Geographically extensive operations<br>Does not include typical fixed-point sources such as ports, plants, refineries and tank farms |

| Government | | | |
|---|---|---|---|
| **Scope** | **Definition** | **Examples** | **Comments** |
| **Port/City/Local** | Government-owned and/or -operated oil handling, transport and storage facilities typically have emergency response plans for different eventualities, including oil spills.<br>The operations encompassed in this scope are local in extent and associated with cities, ports and other geographically limited but collective facilities.<br>A key feature of this scope is the collective point-source aspect of the potential spills. | Port facilities<br>Municipalities | Broader in scope than facilities but geographically limited |
| **Area** | Sub-national government plans address the role of regulatory bodies and multi-agency in OSR.<br>A key feature of this scope is the broader geographic coverage of plans. It can integrate several government programs (e.g., local) and has ties with industry operations and oversight. | State<br>Province<br>Multi-state/provincial | For planning at sub-national levels, usually defined by administrative or geopolitical boundaries |
| **National** | National government plans addressing national legislation, regulatory bodies and authorities and multi-agency roles. This scope also includes international OSR programs such as bilateral plans that provide for enhanced response and assistance.<br>A key feature of this scope is the broad geographic coverage of plans and setting the policies and requirements for more detailed planning and readiness. National readiness for many countries represents its autonomous capability to deal with multiple worst-case situations | National<br>Bi-lateral<br>International/Regional | For national OSR plans and readiness and for bi-national or international initiatives |

| Industry | | | |
|---|---|---|---|
| **Scope** | **Definition** | **Examples** | **Comments** |
| **Country or Business Line** | Industry operations conducted solely within one country or operations of a single business line with widespread assets may have an OSR response program that integrates their response capabilities across multiple facilities or operational areas. Assessment programs should be adapted to address operations either within a single country or multiple countries, as appropriate, for company management.<br>The operations encompassed in this scope may have a broad geographic footprint. Two key features are:<br>1) the integration of multiple facilities and operations with context of a broader spill response program, and<br>2) these operations typically have the same line management and follow the same corporate policies. | Nation-wide company program<br>Pipelines (comprehensive for multiple operations)<br>Fleets<br>Production<br>Drilling & Exploration | May include multiple facilities or operations directed from an upper management level |
| **Corporate** | Corporate industry plans and OSR readiness address a broad area of likely operations. Corporate OSR programs set the tone for OSR capabilities and expectations at facility to operations levels.<br>A key feature of this scope is how a company or corporation sets the model for more detailed readiness programs. Likewise, this program integrates OSR readiness across business lines and possible country lines. The policies, expectations and models for response readiness and emergency management are focal aspects of Corporate OSR programs. | Company OSR Program<br>OSR portion of Corporate HSE Programs<br>OSR programs defined in ISO and adopted international practices | Company-wide (policies, crisis management, business continuity) |

## 2.5 Assessment Categories

Categories are general headings aspects of OSR planning and readiness. The categories in this Manual and RETOS™ match those used in the 2023 International Guide. The ten (10) categories (A through J) represent headings for the 29 OSR elements of the 2023 International Guide.

**A: Legislation, Regulations & Agreements**

1. Legislation and Regulation
2. International Agreements

**B: Oil Spill Contingency Planning**

3. Resources at Risk
4. Spill Risk Analysis
5. Risk Minimization
6. Evaluation of Response Options, Equipment and Personnel
7. Net Environmental Benefit and Spill Impact Mitigation Analyses
8. Expert Information Sources
9. Plan Development

**C: Response Coordination**

10. Response Management Systems
11. Notification Systems
12. External Communications

**D: Health, Safety & Security**

13. Safety for Responders and Public
14. Security

**E: Operational Response**

15. Source Control, Salvage and Firefighting
16. Response Strategies
17. Waste Management
18. Wildlife Hazing, Recovery, Care and Rehabilitation

**F: Tracking, Assessment and Information Management**

19. Spill Monitoring, Tracking and Sampling
20. Cleanup Assessment
21. Data Management and Access

**G: Logistics**

22. Logistics
23. Communications
24. Demobilization

**H: Financial and Administrative Considerations**

25. Finance, Administration and Procurement
26. Claims

**I: Training & Exercises**

27. Exercises
28. Training

**J: Sustainability & Improvement**

29. Sustainability and Improvement

## 2.6 Assessment Level

For each SCOPE to be assessed, the user first selects an ASSESSMENT LEVEL. In the RETOS™ web application, matrices are presented for each SCOPE with increasing levels of competency for which OSR planning and readiness criteria become increasingly more demanding.

**Assessment Levels do not correspond to tiers in the OSR planning sense. Rather, an Assessment Level indicates the maturity of that program, so that a Facility (which typically prepares for a Tier 1 response) may be quite well prepared and very capable of mounting a quick and very effective response to a Tier 1 spill. In such a case the Assessment Level C would reflect its maturity but for a Tier 1 spill response. Alternatively, a Tier 3 program, such as would be expected at a national level, may be in the early stages of development and implementation, in which case the assessment would be performed at a Level A.**

The criteria progress from what may be considered fundamental aspects of OSR-management capability (Level A) to very complete and/or best international practice (Level C). The three Assessment Levels are:

- **Level A:** Achieving preparedness at this level indicates all components are in place to a minimum level, which provides a reasonable OSR management capacity. Contingency plans are in place, approved, and fully implemented.
- **Level B:** Achieving this level applies to programs that have been implemented to more rigorous levels and reflects performance gains from earlier feedback and use of evaluation process for improvement and sustained management capability.
- **Level C:** Achieving the highest level reflects programs in search of excellence. These are programs that consistently implement feedback in improving sustained readiness through application of best international practices in OSR concepts, management, planning, and competency.

When an organization believes they have attained a certain level of readiness, this indicates specific achievements have been met. Examples of these achievements are provided for government and industry (Tables 2 and 3, respectively).

**Table 2** - *Example Achievements for the Three Levels in Government OSR Programs*

| Level A |
|---|
| An OSR Program has achieved Level A competency when the responsible Government entity meets the following criteria:<br>• Has a response capacity commensurate to the scope of its contingency plan.<br>• Has a Plan which meets, at a minimum, the applicable regulatory requirements.<br>• Has performed a basic oil spill risk analysis and identified key sensitive areas.<br>• Has a contingency plan that clearly states the response strategies to be used in a safe manner.<br>• Has a contingency plan which addressed logistical requirements and realistic response times based on adequate communications and reporting.<br>• Has an elementary waste management plan (temporary storage, transport, tracking and disposal options)<br>• Has a spill response management structure which is contractible and expandable according to the needs of a response.<br>• Holds regular training of its response personnel and exercises of its contingency plan.<br>• Has financial mechanisms in place to provide emergency funds to initiate response and procedures to receive claims.<br>• Reviews and updates its contingency plan and implements recommended improvements following critiques of exercises and actual response. |
| **Level B** |
| An OSR Program has achieved Level B competency when the responsible Government entity meets all of Level A criteria plus:<br>• Has arrangements in place for national and regional cooperation, and/or bi-lateral plans.<br>• Has adopted or ratified international conventions on spill response and compensation.<br>• Uses oil spill trajectory modeling.<br>• Has procedures in place for communicating with the media and local communities during a spill response.<br>• Has inspection and maintenance programs for its own oil spill equipment and for assessing industry capabilities.<br>• Response personnel have clear knowledge of, and tools for performing, their assigned tasks during spill response.<br>• Includes other key stakeholders and industry in its periodic exercises using realistic scenarios.<br>• Has established procedures to review both government and industry plans, and to assure their integration at appropriate scopes. |
| **Level C** |
| An OSR Program has achieved Level C competency when the responsible Government entity meets all of Level A and Level B criteria plus:<br>• Its contingency plan is aligned with and supports use of best international practices and recommendations.<br>• Regional and bi-lateral planning (as applicable), including government partners, are periodically exercised and lead to improved response times and communications.<br>• Uses quantitative risk assessment procedures to develop scenarios which reflect spilled oil weathering rates, tiered response, and changes in seasonal conditions.<br>• Information management, including GIS systems, are used to maintain an up-to-date contingency plan.<br>• NEBA/SIMA is commonly used to guide decision-making on acceptable response strategies; procedures are in place to streamline the decision process during a response.<br>• Multilateral agreements are in place to address the need for transboundary movement of equipment personnel for a worst-case oil spill.<br>• Training is conducted in public relations, media management and coordination/outreach with relevant communities and volunteers. A communications plan is included in the OSRP.<br>• Financial issues (e.g., contracts, costs) and claims procedures are part of the exercises' objectives.<br>• Inspections (internal and external) are routinely used to verify that response equipment is ready for effective and immediate use, response personnel (management to field) are fully prepared to undertake their roles, and a response management process is effectively integrated with key stakeholders. |

**Table 3** - *Example Achievements for the Three Levels in Industry OSR Programs*

| Level A |
|---|
| An OSR Program has achieved Level A competency when the company meets the following criteria:<br>• Is able to address a Tier 1 spill with on-site available resources and has identified potential external resources should escalation be needed. Response capacity is commensurate to the scope of its contingency plan.<br>• Has a Plan that meets, at a minimum, the applicable regulatory requirements.<br>• Has performed a basic oil spill risk analysis of its operations and identified the sensitive areas.<br>• Has a contingency plan that clearly states the response strategies to be used in a safe manner.<br>• Has a contingency plan that addresses logistical scenarios and requirements as well as realistic response times based on adequate communications and reporting.<br>• Has an elementary waste management plan (temporary storage, transport, tracking and disposal options).<br>• Has a spill response management structure that is contractible and expandable according to the needs of response.<br>• Holds in-house training of its response personnel and exercises of its contingency plan.<br>• Has financial plan in place to provide emergency funds to initiate response and procedures in place to receive claims.<br>• Reviews and updates its contingency plan and implements recommended improvements following critiques of exercises and actual response. |
| **Level B** |
| An OSR Program has achieved Level B competency when the company meets all of the Level A criteria plus:<br>• Has agreements for mutual aid with other nearby companies, has contracts with spill response organizations, and the relationship of its contingency plan with government plans is described.<br>• Uses oil spill trajectory modeling.<br>• Has procedures in place for communicating with media and local communities during a spill response.<br>• Has inspection and maintenance programs for its own oil spill response equipment.<br>• Has external contacts and information details on equipment that can be requested to augment existing capabilities.<br>• Has resources to accurately monitor oil movement and changes in spilled oil behavior, especially for spills on surface waters.<br>• Includes key stakeholders in its periodic exercises.<br>• Conducts internal reviews of its contingency plan, its integration with local level government plans, and its response equipment and related facilities. |
| **Level C** |
| An OSR Program has achieved Level C competency when the company meets all of the Level A and Level B criteria plus:<br>• Operational and management aspects of its contingency plan are aligned with and support use of best international practices and recommendations.<br>• Has mutual aid agreements, which are periodically exercised.<br>• Uses quantitative risk assessment procedures to evaluate scenarios that reflect realistic spilled oil weathering rates, tiered response volumes, and changes in seasonal conditions.<br>• Information management, including GIS systems, are used to maintain an up-to-date contingency plan.<br>• NEBA/SIMA is commonly used to guide decision-making on acceptable response strategies, and a process is in place to guide decision-making during a response.<br>• Conducts training in media management and on the participation of relevant communities and volunteers in a response. A communications plan is included in the OSRP.<br>• Financial issues and claims procedures are part of the exercises' objectives and exercises include government entities.<br>• Notifications and actual equipment and personnel mobilizations are exercised routinely to achieve optimum deployment times and test response strategies and pre-planned tactics.<br>• Inspections (internal and external) are routinely used to verify response equipment is ready for effective and immediate response, response personnel (management to field) are fully prepared to undertake their respective roles, and a response management process is effectively integrated with key stakeholders. |

## 2.7 Assessment Indicators

There are three (3) options in RETOS™ by which evaluators can specify an indicator for each criterion. The three assessment indicators are:

- **Missing** – no information, inadequate information and/or lack of confirmation found for a criterion.
- **Partial** – information, documentation, or other confirmation reveals some aspects are addressed, yet is either incomplete or does not fully satisfy a criterion.
- **Complete** – information, documentation, or other confirmation reveals aspects are fully addressed such that there is reliable evidence a criterion has been met.

## 2.8 2023 International Guide Toolbox

The 2023 International Guide provides details on each element, sub-elements and further considerations for OSR planning and readiness management. Each Category in the 2023 International Guide concludes with a Toolbox of references to selected publicly available best international practice guidelines and manuals that can aid personnel tasked to conduct an assessment, as well as those that are subsequently assigned to fill the gaps found during the assessment process. The Toolbox references in each category found in the 2023 International Guide represent a valuable source of information to users as they develop plans to make OSR program enhancements based on the assessment results found during the evaluation process. The vast majority of the references provided in the Toolboxes in the 2023 International Guide are hyperlinked to publicly available supporting documentation.

## 2.9 Assessment Criteria Tables Versus RETOS™ Matrices

Tables 4 through 10 in chapters 4 through 10 list side-by-side assessment criteria for each Level of a given Scope. The criteria listed in the columns for each level build upon the lower level of assessment and preparedness. As an example, the criteria listed for Level A is inherently included in Level B criteria. Tables 4 through 10 provide an overview and relatively quick means to gauge the increasing complexity that is encompassed in criteria from Level A through Level C; however, the tables in this Manual are not the actual tools to be used for assessment (see Chapter 3).

The RETOS™ web app consists of separate matrices for each SCOPE (7) and three separate checklists, or matrices, that correspond to each of three levels within each SCOPE for a total of 21 individual matrices. The line-by-line assessment criteria in the RETOS™ matrices provide the complete list of criteria to be assessed for each Scope and Level utilized.

## 2.10 Abbreviations and Acronyms

| | |
|---|---|
| ARPEL | Association of Oil, Gas and Renewable Energy Companies of Latin America and the Caribbean |
| BIP | Best International Practice |
| CLC | Civil Liability Convention |
| COP | Common Operating Picture |
| FPSO | Floating Production, Storage and Offloading Unit |
| FSO | Floating Storage and Offloading Unit |
| GIS | Geographic Information System |
| GPA | Global Performance Analysis |
| GPS | Global Positioning System |
| HNS | Hazardous and Noxious Substances |
| HSE | Health, Safety and Environment |
| ICS | Incident Command System |
| IMO | International Maritime Organization |
| IMS | Incident Management System |
| IOPC | International Oil Pollution Compensation (Funds) |
| IOSC | International Oil Spill Conference |
| IR | Infra-red |
| ISO | International Organization for Standardization |
| MARPOL | International Convention for the Prevention of Marine Pollution from Ships (Marine Pollution Convention 73/78) |

| | |
|---|---|
| MSDS | Material Safety Data Sheets |
| N/A | Not Applicable |
| NCP | National Contingency Plan |
| NEBA | Net Environmental Benefit Analysis |
| OPRC | International Convention on Oil Pollution Preparedness, Response and Co-operation |
| OSCP | Oil Spill Contingency Plan |
| OSR | Oil Spill Response |
| OSRP | Oil Spill Response Plan |
| P&I Clubs | Protection and Indemnity Clubs |
| PPE | Personal Protective Equipment |
| REMPEC | The Regional Marine Pollution Emergency Response Centre for the Mediterranean Sea |
| RETOS | Readiness Evaluation/Excel Tool for Oil Spills |
| SCAT | Shoreline Cleanup Assessment Technique |
| SIMA | Spill Impact Mitigation Analysis |

## 2.11 Commonly Used Terms

**Best Available Technology:** Most advanced technology available in oil spill preparedness and response at the time the contingency plan was submitted or renewed, or a response was conducted, without consideration for financial aspects (similar to Best Available Techniques).

**Best Management Practice or Best International Practice:** Internationally recognized state-of-the-art actions utilized to prepare for and respond to an oil spill.

**Cleanup Assessment:** Evaluation of the actions to be undertaken and the techniques to be utilized on shore sides to restore them to a previously agreed upon standard (for example, SCAT).

**Contingency Plan:** (similar to Oil Spill Response Plan, Oil Pollution Emergency Plan [OPRC]): Entire preparedness and response system, including both public and private resources, for response to emergencies that could result in the spill of oil into the marine environment. A contingency plan can be designed to adapt to different levels/scopes (adapted from IMO Manual on Oil Pollution, Section II).

**Contingency planning (similar to Oil Spill Contingency Planning):** Actions undertaken to prepare the Contingency Plan.

**Crisis [Incident] Management Team:** Team responsible for the delivery of the usual five major functions (command, planning, operations, logistics and finance) used within the Incident Management System framework.

**Designated or Lead Authority:** Competent national authority or authorities with responsibility for oil pollution preparedness and response. The Designated Authority may need to liaise with other interested stakeholders (from OPRC, similar to Lead Authority). In some cases, a Designated Authority is charged with preparedness whereas a Lead Authority is the operational lead (as in Incident Command).

**First Responders:** Typically, locally based personnel that are first on-scene to initiate a response, which may be more defensive (safeguarding health and safety) than offensive (source control).

**Geographical Information System:** System that captures, stores, analyzes, manages and presents data linked to location.

**Incident Action Plan:** Regularly updated collaborative plan to support the implementation of the incident management system encompassing all aspects of the response such as communication and planning.

**Incident Command Center:** Location where the incident management team directs response activities in an emergency situation. Similar to Emergency Response Centre, Incident Command Post.

**Incident Command:** Individual or organization responsible for the overall management of a specific incident, the definition of objectives and priorities of the response, the external communications and media relations, the legal issues, the overall safety for the incident response and inter-agency liaison. It may comprise a number of stakeholders involved in the Incident Response (similar to Command, Joint Command, Unified Command). Also referred to as Response Management and OSR Management in the document.

**Incident Management System:** System used to develop a response organization that utilizes a structured and flexible process to develop an incident action (response) plan that will address and meet the agreed upon response objectives (for example Incident Command System - ICS).

**Mutual Aid Agreement:** Agreement between emergency responders to lend each other assistance across jurisdictional boundaries during emergencies/ oil spills when local resources are insufficient (similar to Mutual Assistance Agreement).

**Net Environment Benefit Analysis (NEBA):** A process by which the relative risk of the use of various response options versus a baseline of Monitor and Observe is used to provide a more rigorous decision-making approach during contingency planning and during response. It may include results from an ecological risk assessment. The NEBA process is often consensus based with key response decision-makers and provides a means to examine environmental tradeoffs from response decisions.

**Oil Spill Response (OSR):** All general and specific actions taken to control, mitigate, remediate or clean-up an oil spill, including [broader "corporate"] actions, such as communications (similar to Incident Response).

**Personal Protective Equipment:** Piece(s) of clothing and/or equipment designed to protect the wearer's body from physical hazards and hazardous materials.

**Place of Refuge:** Place where a ship in need of assistance can take action to enable it to stabilize its condition and reduce the hazards to navigation, and to protect human life and the environment.

**Risk:** Quantifiable likelihood of an oil spill according to the magnitude of its consequences.

**Resources (asset) at Risk:** All possible resources that could be affected by an oil spill.

**Risk Assessment:** Quantitative or qualitative determination of a risk related to a possible threat of oil spill.

**Risk Minimization:** All actions undertaken to minimize risks linked to oil spill.

**Sensitive Area:** Area of ecological, social, economic, cultural, scientific and/or educational significance that would greatly be affected by an oil spill and for which pollution prevention and/or cleaning is high priority.

**Spill Impact Mitigation Analysis (SIMA):** A process by which the relative tradeoffs of the use of various response options and/or cleanup targets, versus a baseline of Monitor and Observe, is used to provide a more rigorous decision-making approach during contingency planning and during response. SIMA is a process similar to NEBA though more thorough in terms of socioeconomic and cultural considerations.

**Tier 1:** An incident considered to be within the capabilities of an individual facility or harbor authority.

**Tier 2:** An incident that requires the coordination of more than one source of equipment and personnel.

**Tier 3:** An incident of size and complexity that regional, national or international resources are required to effectively manage the incident.

**Tiered Response:** An operational concept that provides a convenient categorization of response complexity and a practical basis for planning.

**Treating Agent:** Product applied on spilled hydrocarbon products in order to assist in controlling, dispersing, cleaning up, biodegrading, or removing the spill and mitigating the potential negative effects.

# 3 How To Use RETOS™

## 3.1 Start-up

Assessment management criteria are presented in a series of checklists in the RETOS™ tool (see example in Figure 3). Matrices presented in Tables 4 through 10 in this Manual are developed to allow the user to choose an appropriate SCOPE and then progress through assessment lists organized by CATEGORY and in which management assessment criteria for most of the 2023 International Guide elements are provided.

During the course of their evaluation, users may choose to assess whether some of the criteria listed as Level B or Level C have been achieved, even if only evaluating at a Level A. **However, it is recommended that the user progress step-wise, i.e., Level by Level, through the evaluation process using RETOS™ instead of using side-by-side criteria for the three Levels as presented in the Tables 4 through 10.**

### *3.1.1 Data Entry*

The assessment process is conducted specifically by using RETOS™, which replicates and in places itemizes the criteria listed in Tables 4 through 10. After login to the RETOS™ Web app, the user clicks on the RETOS™ icon in the column on the left. The user then begins the assessment process (Figure 2) by:

- Entering a new Site (click the (+) sign to add) and a name for program being assessed.
- Selecting the appropriate SCOPE and LEVEL
- Entering optional institution-specific criteria to be assessed in addition to the standard criteria (rows are provided at the base of the checklist for organization-specific criteria).
- Completing the electronic checklist. For each question or criteria in a specific assessment LEVEL, the user clicks on the corresponding INDICATOR (Missing, Partial, Complete) and adds observations or recommendations that help to explain why a Missing or Partial INDICATOR was selected. Specific recommendations that may help to identify actions needed to close a gap should be entered here.

Indicators provide quick, graphical feedback to the user on each element by displaying a blank, half full, or full green circle when a criterion is missing, partially met, or fully met, respectively (Figure 3).

**Important:** In a few cases, an evaluator may need to indicate that a criterion is NOT APPLICABLE. By clicking on the **N/A** INDICATOR with an explanation in the COMMENT space, the checklist analysis will not consider that criterion.

Note that critical criteria, only applicable to Level A, are indicated with a yellow highlight and include an exclamation mark. When the user clicks on the exclamation mark, additional information about the criteria is displayed as a popup. Any critical criterion that receives an N/A, Missing, or Partial must include a comment indicating why the criterion is not applicable. For example: “Addresses regulatory requirements” is a critical criterion; however, if there are no applicable regulations then the evaluator may enter N/A but must explain the rationale in the Comments/Recommendations space.

### *3.1.2 Assessment Conclusions*

The outcome of the assessment process is a scoring summary, which yields conclusions for the scope and level assessed, and a Global Performance Analysis (GPA) report. The GPA report (Figure 4) provides:

- A **quantitative** conclusion for each CATEGORY and for the OVERALL PROGRAM evaluated.
- A **qualitative** conclusion for the OVERALL PROGRAM.
- Highlights where critical criteria are missing or partial (for Level A only)
- A radar chart (or web diagram) of the assessment by Category, and
- A quantitative conclusion for those organization-specific criteria that were added.

The idea of the assessment conclusion is that if a user is evaluating, for example, LEVEL A of a Government Facility (SCOPE) and some INDICATORS (i.e., Missing, Partial, Complete) in some CATEGORIES/ELEMENTS are not “complete”, but most of them are, the checklist provides not only an indication of where the gaps are to fully accomplish LEVEL A, but also a numerical indication of how close the facility is to meeting all LEVEL A criteria (e.g., 85% of LEVEL A). Quantitative conclusions are based strictly on the following assessment indicators’ scores: 0 (Missing), 1 (Partial), and 2 (Complete) for each criterion. An OVERALL PROGRAM quantitative conclusion would yield 100% only if all criteria are scored as COMPLETE for the level assessed (NOTE: criteria that are N/A and those that are added as institution specific do not count in the calculations overall score). Computation is based on the values associated with the INDICATORS; thus, those criteria that receive a PARTIAL indicator count toward program completion. **A program cannot be qualified as ACHIEVED if all the criteria of any one CATEGORY are MISSING or if any critical criterion (in Level A) is MISSING or PARTIAL.** This is because an OSR program is composed of interlinked components (i.e., the CATEGORIES) and incomplete or missing critical criteria, or a completely missing Category, would never ensure consistent and efficient planning and readiness. This is particularly relevant at Level A in which all components supposedly should be in place, at least to a minimum level, to ensure a reasonable OSR management capacity.

The OVERALL PROGRAM's qualitative conclusion is based on the assessment indicators’ scores and the following terms correspond to a percent completed for a specific SCOPE and LEVEL. **RETOS™ sets a high performance expectation for scoring spill response preparedness and readiness:**

- **In Development:** less than 90%
- **Achieved:** more than, or equal to, 90%

A program should not be assessed at a higher level of competency until it has achieved the previous (lower) Level. The Manual and RETOS™ are intended to encourage users to work on closing the gaps while at the same time working towards a higher LEVEL OF COMPETENCY (Levels B and C). Note that the overall quantitative assessment does NOT include organization-specific criteria.

## 3.2 Global Improvement Program

Users should use the assessment results to identify specific areas in which improvements can be made. Gaps identified during the assessment should be the focus of future actions to improve spill response preparedness and readiness. Upon completion of a program assessment, a Global Improvement Program - Implementation Plan (Figure 5) can be generated that lists steps to close out each criterion missing or identified as partial. In addition to the assessment observations and recommendations (written by the assessor) to assist with closing gaps, further details and references are provided in the Toolbox at the end of each Category Chapter in the 2023 International Guide, available through the help link in RETOS™.

Priorities for improvement can be challenging to set in advance. To assist the user in this prioritization process, the report generated for the Global Improvement Program –Implementation Plan lists, as top priority, any critical criteria that are missing followed by critical criteria with partial rating, and then a listing of the remaining criteria either missing or partial. After developing a full listing of actions, users should seek synergies across several actions so they can be grouped, and relative priorities can be more easily set. Personnel assigned to each action should be listed, by name. Resources required to complete actions can include information sources (see the references in the Toolbox at the end of each Category chapter in the 2023 International Guide), additional human resource needs (personnel, departments, agencies, etc.), and physical resources (transportation, computers, specialized equipment, communications, etc.).

A schedule for completion of each action within the Global Improvement Program provides personnel and management – responsible for response planning and readiness – with target dates for work completion. The schedule then becomes the tracking mechanism for the Coordinator of the Global Improvement Program implementation. The schedule should reflect the sequence of actions that lead to closing the gaps identified in the assessment, in accordance with the priorities established. A commitment is required from management and those tasked to complete actions in order to achieve the objectives of sustaining and improving spill response readiness.

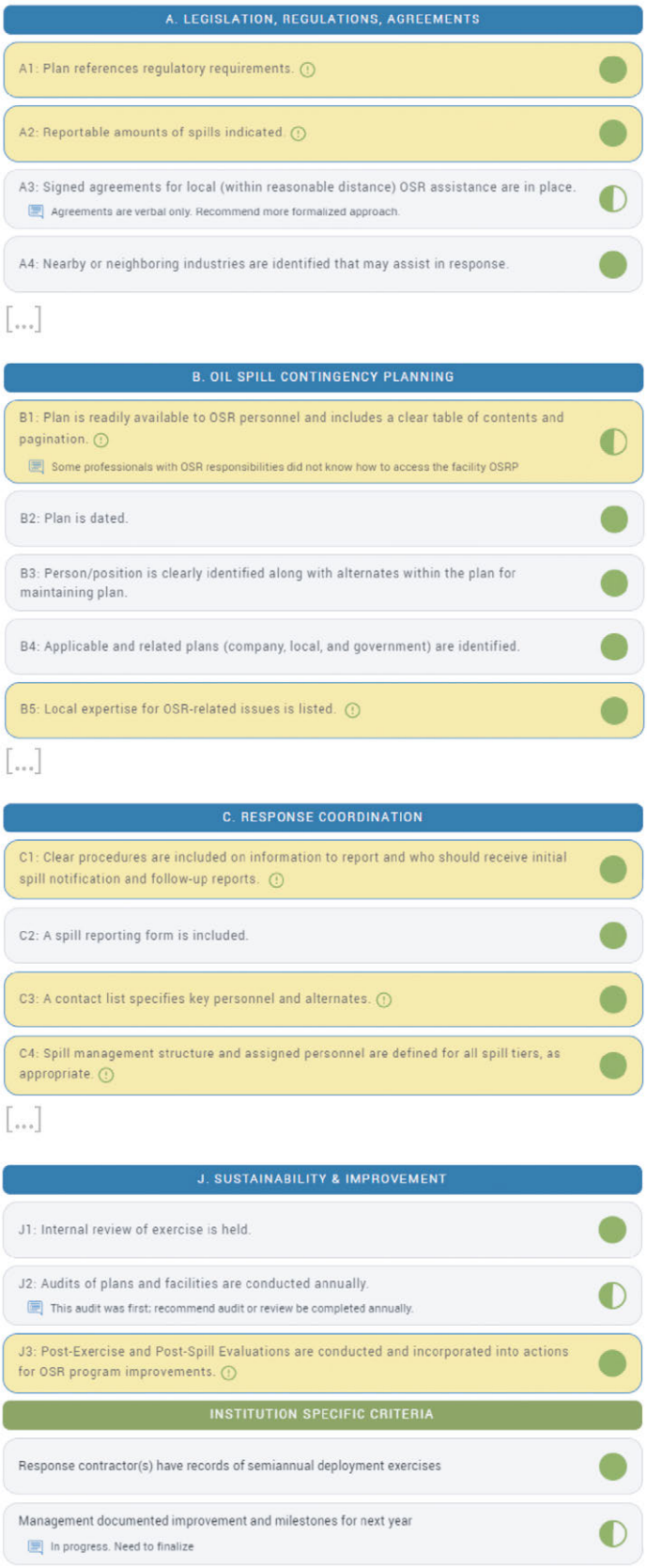



**Figure 3** - *Example of RETOS™ assessment checklist*[1]

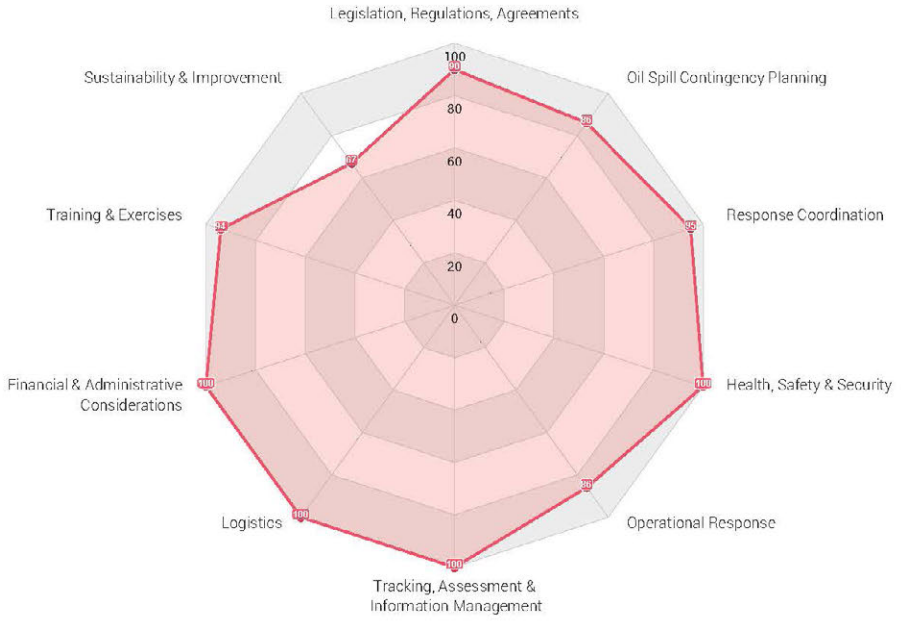
[1] Portions of Categories A, B and C and all Categories between D and I are omitted for this example of a LEVEL A assessment of a Government - Industry: Facility SCOPE.

GOVERNMENT - INDUSTRY: FACILITY - LEVEL A

Facility Test Level A

| Organization | Created by | Last modified |
|---|---|---|
| Polaris Applied Sciences, Inc. | LTaylor@polarisappliedsciences.com | Fri, Apr 5, 2024, 14:37 |

| Category | Value |
|---|---|
| Legislation, Regulations, Agreements | 90% |
| Oil Spill Contingency Planning | 86% |
| Response Coordination | 95% |
| Health, Safety & Security | 100% |
| Operational Response | 86% |
| Tracking, Assessment & Information Management | 100% |
| Logistics | 100% |
| Financial & Administrative Considerations | 100% |
| Training & Exercises | 94% |
| Sustainability & Improvement | 67% |
| **Total** | **92%** |
| **Institution Specific Criteria** | **25%** |




| | |
|---|---|
| **Completed questions:** | **58 / 67** |
| Level A - Overall Assessment (92%) | **IN DEVELOPMENT** |

**Figure 4** - *Example Report Generated for Global Performance Analysis*

| Priority | Task (Listed by Element and Criteria) | Comment/Recommendations | Person Responsible | Resources (Human, Physical, Info Sources) | Schedule (indicate Target Completion Date) |
|---|---|---|---|---|---|
| Critical Criteria - Missing | | | | | |
| 1 | B9: General area at risk is identified based on spill sources. | There has not been a proper risk assessment. Suggest this is made and see the need to adapt the OSR program | | | |
| Critical Criteria - Partial | | | | | |
| 2 | B1: Plan is readily available to OSR personnel and includes a clear table of contents and pagination. | Some professionals with OSR responsibilities did not know how to access the facility OSRP | | | |
| | C6: Incident command is assigned to one or two specific individuals (by name or position) with backups identified. | Need to identify backup personnel. | | | |
| | E3: Equipment is properly stored, in good working condition and being properly maintained and inspected. | Recommend boom be placed under shelter- will suffer UV damage if left as is. | | | |
| A. LEGISLATION, REGULATIONS, AGREEMENTS | | | | | |
| | Signed agreements for local (within reasonable distance) OSR assistance are in place. | Agreements are verbal only. Recommend more formalized approach. | | | |
| B. OIL SPILL CONTINGENCY PLANNING | | | | | |
| | Species at risk are listed. | Consider cross-reference to Area Plan. | | | |
| E. OPERATIONAL RESPONSE | | | | | |
| | A Waste Management Plan is outlined. | Standard waste plan is used; suggest Plan be reviewed and revised for OSR emergencies. | | | |
| I. TRAINING & EXERCISES | | | | | |
| | Regular training courses are provided on OSCP to response team personnel. | An initial class was provided to persnnel at site at the time of plan rollout. New personnel have not receieved training on the Plan. Provide for newer personnel. | | | |
| J. SUSTAINABILITY & IMPROVEMENT | | | | | |
| | Audits of plans and facilities are conducted annually. | This audit was first; recommend audit or review be completed annually. | | | |
| INSTITUTION SPECIFIC CRITERIA | | | | | |
| | Management documented improvement and milestones for next year | In progress. Need to finalize | | | |

**Figure 5** - *Example Report Generated for the Global Improvement Program - Implementation Plan*

# 4 Government – Industry: Facility

## 4.1 Description of Scope

Industry or government-owned and/or -operated oil handling, transport and storage facilities typically have emergency response plans for different eventualities, including oil spills. The OSR aspect of emergency readiness is the focus of this assessment chapter.

*Examples:*

- Storage facilities
- Tank farms
- Floating Storage and Offloading (FSO)/Floating
- Production Storage and Offloading (FPSO)
- Offshore platforms
- Transfer facilities
- Well or Production facilities
- Refineries
- Pump Stations
- Fueling Stations

The facilities encompassed in this scope are geographically fixed or local in extent (i.e., not vessels or long pipelines). A key feature of this scope is the point-source aspect of the potential spill, independent of the possible spill volume or area at risk. Although FSOs and FPSOs are vessels, they are included here given their relatively fixed location during standard operations.

## 4.2 Concept of Levels

The assessment process is conducted specifically by using RETOS™, which reflects the detailed assessment criteria listed in Table 4 (highlighted in yellow are the critical criteria, only applicable to Level A); however, a separate checklist is provided in RETOS™ for each LEVEL.

The use of three levels for the assessment of a facility does not reflect the complexity of an operation or facility. The level of commitment for time and effort to ensure best practices in OSR plans and readiness will be very different for a small, single-tank facility relative to a production and refinery complex. As stated earlier (Section 2.5), the user should select a target level (Level A as a default) against which to assess the Facility OSR capability. **For each Category/Element, the criteria established for Level B add to those criteria for Level A, and the criteria established for Level C add to those for Levels A and B.**

**ASSESSMENT LEVELS do not correspond to Tiers, in the OSR planning sense.** Rather, an Assessment Level indicates the maturity of that program, so that a Facility (which typically prepares for a Tier 1 response) may be quite well prepared and very capable of mounting a quick and very effective response to a Tier 1 spill. In such a case the Assessment Level C would reflect its maturity but for a Tier 1 spill response. A facility with potentially significant spill risks (e.g., large volumes handled, very sensitive areas) may need to have a robust Tier 2 capability; however, if the OSR program is in the early stages of development and implementation, the assessment would be performed at a Level A.

## 4.3 Notes on OSR Categories Applicable to Facilities OSR Programs

Facility plans and readiness programs can be prepared and built upon requirements imposed by detailed and complex regulations, or they may need to be put in place in the absence of specific regulations. It is unlikely that a regulatory, regional, or national component would be a significant category in OSR programs for facilities. Major focus is on local, on-scene preparedness (Tier 1 and into Tier 2) with ties into corresponding tiered, or upper level, government or industry plans and capabilities, as appropriate. Immediate on-scene response capabilities are the primary focus of OSR programs at the facility level.

**Table 4** - *Criteria Matrix for OSR Assessment- SCOPE: Government – Industry: Facility*

| GOVERNMENT – INDUSTRY: FACILITY | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| **A: LEGISLATION, REGULATIONS & AGREEMENTS** | | |
| Plan references regulatory requirements.<br><br>Reportable amounts of spills indicated. | Plan meets regulations and standards.<br>Reportable amounts of spills indicated. | Plan lists primary applicable regulations and standards and overseeing agencies.<br>Plan exceeds regulatory requirements.<br>Content aligned with BIP recommendations.<br>Reportable amounts of spills indicated. |
| Signed agreements for local (within reasonable distance) OSR assistance are in place.<br>Nearby or neighboring industries are identified that may assist in response. | Documented, signed agreements for Mutual Aid or assistance from other facilities or industries are in place.<br>Membership in Tier 2 and 3 cooperatives is in place, as appropriate. | Agreements are in place for Mutual Aid at all appropriate tier levels.<br>Clearly defined capabilities and conditions for use of Mutual Aid exist.<br>Signed International Conventions are indicated. |
| An Environmental Statement is included. | A signed and dated Environmental Policy exists. | Face-to-face meetings are held with regulators as part of the planning process and plan review.<br>A signed and dated Environmental Policy exists. |
| **B: OIL SPILL CONTINGENCY PLANNING** | | |
| Plan is readily available to OSR personnel and includes a clear table of contents and pagination.<br><br>Plan is dated.<br><br>Person/position is clearly identified along with alternates within the plan for maintaining plan | Plan is readily available, clearly organized and includes distribution list and, tabs for reference.<br>Scope (facilities, geographical area, products) is included.<br>Field guide/checklist indicates initial response steps. | Plan is readily available as controlled ISO document and is clearly organized.<br>The plan includes current distribution list, tabs, checklists, graphics, maps, and tables.<br>Scope of plan is included as well as glossary.<br>Personnel can locate OSR Field or Emergency Response Guide for initial actions.<br>Relationship with other applicable plans (company, local, and government) are identified and described.<br>Contact details are up to date and verified. |
| Applicable and related plans (company, local, and government) are identified. | Relationship with other applicable plans (company, local, and government) are identified and described. | Equipment inventories are indicated, as applicable. |
| Local expertise for OSR-related issues is listed. | Local and Regional experts are listed and are aware of OSR plan and scope. | Contracts or agreements with OSR experts in specialized fields are indicated who have participated in planning or exercises |
| Plan has been reviewed or revised in past 3 years.<br><br>Key contacts are updated as these change. | Revision log and dated pages document reviews or revisions within past 2 years.<br>Key contacts are updated as these change.<br>Spill sources, materials, volumes are identified and known to responders. | Revision log and dated pages document reviews/ revisions as per update procedures, including plan implementation following actual spills, and at least annually.<br>Spill risks are re-assessed regularly.<br>Criteria specify when plan must be reviewed, e.g., after an exercise or spill so that improvements are made to the plan. |
| Potential spill sources, liquids, and volumes are identified and known to responders. | Detailed calculations are provided for possible spill sources (tanks, lines, pump rates, etc.) and for secondary containment.<br>MSDSs, properties are highlighted.<br>Most probable worst-case discharge is identified for each source. | Spill planning is based on tiered system that uses quantitative risk assessment analysis for each tier (option: tiers reflect regulatory-defined criteria).<br>Scenarios are used as basis for planning.<br>Primary properties of products are summarized.<br>Photos, specifications are included for facilities posing risk. |

| GOVERNMENT – INDUSTRY: FACILITY | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| General area at risk is identified based on spill sources. | Area of potential spill influence is defined based on spill trajectories for worst-case spills.<br>Trajectories consider prevailing and worst-case operating conditions.<br>Graphics indicate resources at risk from spills based on trajectory analyses. | Trajectories reflect distinct product weathering rates, tiered volumes, seasonal conditions.<br>Stochastic and worst-case trajectories shown in scenarios are basis for response planning.<br>Seasonal concerns are included. |
| Sensitive areas are identified in plan.<br>Species at risk are listed. | Sensitivity, timing, and priorities are defined.<br>Responders have general understanding of sites and priorities.<br>Sensitivity maps are available and regularly updated (annually). | Sensitive areas and resources at risk are clearly presented and kept up to date in GIS system. |
| Response strategies are clearly stated and appropriate for facility, operating conditions, and oil types. | Primary OSR equipment and personnel needs are indicated.<br>Sensitivity maps are utilized. | Strategies and tactical details are provided for source control and immediate areas at risk.<br>Detailed tactical plans (graphics, maps, personnel needs) are also included for priority areas within zone of spill risk and appropriate for operating conditions |
| Alternative countermeasures, such as dispersants or in situ burning, are evaluated as options. | Alternative countermeasures, such as dispersants or in situ burning, are analyzed with windows of opportunity noted. | NEBA or SIMA have been completed for alternative countermeasures with clearly defined applicability and limitations specified, including subsea dispersant use as applicable. |
| Personnel needed to undertake operations are assessed. | Personnel and equipment needed to undertake all operations are clearly identified. | Personnel and equipment needed to undertake all operations are listed, appropriate, and qualified.<br>Sufficient personnel are identified to enable work rotation schedules in field and in response management. |
| **C: RESPONSE COORDINATION** | | |
| Clear procedures are included on information to report and who should receive initial spill notification and follow-up reports.<br>A spill reporting form is included.<br>A contact list specifies key personnel and alternates. | Initial spill notification checklists/ forms are readily available.<br>Callout procedures include flow charts for internal, external parties with contact data.<br>A spill reporting form is included. | Redundant callout procedures are based on common checklists and/or forms.<br>A spill reporting form is included.<br>Internal, external callout flow charts in place.<br>A directory indicates internal, external contacts (primary and alternate) immediately available. |
| Spill management structure and assigned personnel are defined for all spill tiers, as appropriate. | Spill management organization allows easy expansion and contraction of personnel in planning levels or tiers and integration with external personnel (government, contractors). | Spill management organization is flexible and robust and accommodates all emergencies.<br>Based on sound management principles (e.g., ICS).<br>Incident command is assigned to one or two specific individuals (by name or position) with backups identified.<br>Personnel assigned to OSR management roles are identified for Tier 1 – 3 (as appropriate) as well as company personnel who would be informed of a spill. |
| Roles and responsibilities are evident for each functional aspect identified in OSR management organization. | Responsibility checklists are available and defined for each role in OSR management team. | OSR management personnel have checklists for their personal use during response. These are available in plan, at a Command Post, or are maintained in individual OSR response kits. |

| GOVERNMENT – INDUSTRY: FACILITY | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Incident command is assigned to one or two specific individuals (by name or position) with backups identified. | Incident command is assigned to one or two specific individuals (by name or position) with backups identified.<br>Personnel appointed to a Unified or Joint Command are identified.<br>Records of Joint or Unified Command meetings indicate working team. | Personnel appointed to, in direct support of, a Unified or Joint Command are identified.<br>Records show regular pattern of Joint or Unified Command meetings, exercises, and/or response. |
| Personnel assigned to OSR management roles are identified for Tier 1 as well as company personnel who would be informed of a spill. | Personnel assigned to OSR management roles are identified for Tiers 1 and 2 (as appropriate) as well as company personnel who would be informed of a spill. | Personnel assigned to OSR management roles are identified for Tier 1-3 (as appropriate).<br>Sufficient trained personnel are available from local, contracted, and corporate sources to manage 24-hr extended worst-case spill (shifts).<br>Approximate times are included that it will take to bring in additional personnel and equipment to arrive. |
| Command post location is specified. | Command post location is specified and backup command post location is identified; communications and control facilities are listed. | Command post location is specified and backup command post location is appropriate.<br>Redundant communications and control facilities are provided. Provisions for long-term emergencies are also specified. |
| Procedures are in place and responsibility has been assigned for communications with media during a spill response. | Procedures are in place and responsibility has been assigned for communications with media during a spill response.<br>Person assigned to public information has established contact with local media outlets.<br>A template press release is available for initial notice.<br>A facility fact sheet is maintained and kept current. | Person assigned to public information has established contact with local media, is trained in media management, and has worked with OSR command on public speaking and/or mock press conferences.<br>Procedures are in place and responsibility has been assigned for communications with media during a spill.<br>A template press release is available for initial notice. |
| Procedures are in place and responsibility assigned for liaison with neighboring community. | Procedures are in place and responsibility assigned for liaison with local communities.<br>Community liaison program and personnel maintain frequent contacts with neighboring community at risk. | Procedures are in place and responsibility assigned for liaison with local communities.<br>Community liaison program and personnel maintain frequent contacts with communities at risk.<br>Community education and training have been completed so that volunteer base is identified to support spill response efforts. |
| **D: HEALTH, SAFETY & SECURITY** | | |
| A site map is available showing hazards, emergency equipment, and evacuation route(s). | Posted materials include evacuation routes, exits; containers are labeled; emergency placards. | Posted materials include evacuation routes, exits; labeled containers; emergency placards.<br>Security guards and cameras are in place with controlled access/exit and identification checks.<br>Security plan supplements OSR plan. |

| GOVERNMENT – INDUSTRY: FACILITY | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| General risks, hazards, PPE are described.<br><br>MSDS for oils handled are readily available.<br><br>OSR personnel have general understanding of associated hazards.<br><br>PPE is available in response kits. | MSDSs for each product handled are readily available; personnel know how to obtain data.<br>Response personnel and management demonstrate knowledge of MSDS contents.<br>PPE is available in response kits. | MSDSs for each product handled are available; personnel can obtain data; response personnel and management demonstrate knowledge of MSDS contents.<br>Personnel can describe risks, safety precautions, PPE and initial response.<br>Hazards Communications training is provided to all on-site personnel.<br>Site assessment checklist has been developed for spills.<br>PPE is available in kits and vehicles. |
| Responsible, accredited person(s) are identified for OSR safety assessment duties. | Generic site-safety plan template is available and used for response under direction of designated and qualified Site Safety Officer. | Site-specific safety assessment checklist and safety plan for OSR are available and have been completed by designated and qualified Site Safety Officer.<br>A safety briefing checklist has been developed.<br>Risk assessment includes air monitoring and night operations. |
| Mandatory safety training requirements have been established for OSR responders | Provisions have been made for training volunteers. | Roles for volunteers have been defined on a pre-spill basis. e.g., shoreline treatment; training modules are in place. |
| **E: OPERATIONAL RESPONSE** | | |
| Emergency shutoffs, remotely controlled valves, other means are in place to reduce volume of releases. | Procedures are in place to minimize spill volumes through source control: e.g., transfers, patching, emergency lightering, etc. should emergency shut offs be damaged/not accessible. | Procedures, emergency controls are clearly marked and determined to be functional on a regular basis.<br>There is a designated Emergency Response Team with mobile capability. |
| Equipment on site is adequate for Tier 1 risks (most likely routine spills), operating environments, and seasons. | Equipment on site exceeds Tier 1 needs as appropriate (oil types, weathering, and volumes), operating environments, and seasons, and provides redundancy and compatibility with equipment identified to augment the Tier 1 capability as appropriate.<br>Maintenance and inspection records reflect routine upkeep (per OSCP requirements).<br>Equipment locations are distributed to allow quick response to key spill risk locations.<br>Additional equipment sources identified to augment the Tier 1 capability are compatible with Tier 1 assets and operating conditions. | Equipment has been assessed to determine optimum response options for operating conditions and oil types.<br>Dispersant application, mechanical recovery, shoreline treatment, and in situ burning are addressed as appropriate.<br>External resources of equipment are defined and contracts and/or protocols with response contractors (or networks) have been signed.<br>Equipment locations are identified in plan, secured, and distributed to allow quick response to key spill risk locations. |
| Equipment is properly stored, in good working condition and being properly maintained and inspected. | Maintenance and inspection records reflect routine upkeep (per OSCP requirements).<br>Equipment is properly stored, in good working condition and being properly maintained and inspected. | Equipment is properly stored, packaged, and labeled and in good excellent working condition.<br>Computerized equipment maintenance and inspection program automatically issues and tracks work orders for equipment upkeep. |

| GOVERNMENT – INDUSTRY: FACILITY | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Equipment locations are identified in plan, are secured, and locations allow for quick access and deployment. | Equipment locations distributed to allow quick response to key spill risk locations. | Pre-deployed equipment or permanently installed tertiary containment is in place. Equipment is properly stored, packaged, and labeled and in good excellent working condition. |
| Operational use of countermeasures is verified in annual drill. | Countermeasures including containment, skimming, dispersant application (as applicable) are verified and reviewed in exercises and drills. | All major countermeasures are tested twice annually and improved as needed.<br>Upgrades with new response options are identified by management.<br>In-house capability ensures applicable response options can be implemented including mechanical, treating agent in situ burning, and shoreline treatment. |
| A Waste Management Plan is outlined. | Procedures are defined and adopted to minimize the potential waste stream, temporarily handle waste, and ultimately reuse or dispose of waste materials. | Pre-spill agreements and contracts are in place with waste management companies on a pre-spill basis.<br>Intermediate and long-term storage options are defined.<br>Treatment, recycling, and final disposal are addressed.<br>Oily waste treatment, recycling and final disposal are addressed. |
| Wildlife recovery contacts are included. | A wildlife recovery plan is outlined. | A wildlife recovery program is part of regional cooperative capability including equipment and facilities for establishing on-site. |
| **F: TRACKING, ASSESSMENT & INFORMATION MANAGEMENT** | | |
| Role or assignment is defined in OSR management to undertake spill tracking, including monitoring. | Role or assignment is defined and procedures are in place to provide visual tracking and monitoring of a spill (on water, land, groundwater).<br>Expertise and resources available to undertake tracking.<br>Forms, maps or charts are available on which to maintain record of spill track and movement. | Role or assignment is defined, and procedures are in place, to provide visual tracking and monitoring of a spill (on water, land, groundwater).<br>Expertise and resources available to undertake tracking.<br>Tracking and monitoring procedures include standardized assessment forms (SCAT, Overflight).<br>Aids include digital cameras, GPS, and transport (helo, fixed- wing, vessels).<br>Systems for visible and non-visual tracking are identified and available (drones; satellite; IR for night and low-visibility conditions; tracking buoys; under dense foliage) |
| Forms, maps or charts are available on which to maintain record of spill track and movement. | GIS capabilities allow tracks to be integrated with other OSR planning information and data. | Computerized models are available and can be used to analyze spill trajectories and weathering.<br>Modeling is integrated with GIS databases for OSR planning.<br>Trained SCAT teams with field tools are available for OSR duties.<br>Mechanism is in place for Common Operating Picture (COP) displays. |
| Source of forecasting ability (weather, currents, river/stream flow, etc.) is defined. | The organization tasked to provide forecasting (weather, currents, river/stream flow, etc.) is defined. | The department/organization tasked to provide forecasting (weather, currents, river/stream flow, etc.) is staffed and available 24/7. |
| A cleanup assessment capability exists. | SCAT Teams are identified that include company staff, agencies, and contractors. | Trained SCAT teams with field tools are available for OSR duties. |

| GOVERNMENT – INDUSTRY: FACILITY | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| **G: LOGISTICS** | | |
| Supplies, PPE, tools, special equipment, expendables: local sources are identified | Supplies, PPE, tools, special equipment, expendables: sources are contracted on a pre-spill basis. | Supplies, PPE, tools, special equipment, AND expendables have been researched, contracted, and exercised.<br>Supply contractors advise on materials and purchases. |
| Local sources are identified for service providers for meals, transportation, portable camps, and toilets: | Sources are contracted on a pre-spill basis for service providers for meals, transportation, portable camps, and toilets. | Local sources are identified for service providers for meals, transportation, portable camps, and toilets.<br>Service providers are contracted on a pre-spill basis.<br>Service providers are exercised and updated on an annual basis in the plan. |
| Response times for initial deployment are identified and tested | Initial deployments are tested and improved.<br>Activation of Tier 2 and Tier 3, as appropriate, is tested on a regular basis (once every three years). | Deployments are exercised annually with neighboring facilities and authorities. |
| Assets and procedures for communications in field and between field and Command Post are in place. | Assets and procedures for communications in field and between field and Command Post are in place.<br>Communications equipment is on hand and secondary or backup systems are identified. | Assets and procedures for communications in field and between field and Command Post are in place.<br>Communications equipment is on hand and secondary or backup systems are identified.<br>There is also a communications plan with pre-identified channels for responders. |
| Decontamination facilities are available for personnel leaving the spill site. | Equipment and personnel are prepared and available for immediate deployment to support decontamination of personnel, response equipment, and transportation assets (e.g., vehicles, vessels). | Equipment and personnel are prepared and available for immediate deployment to support decontamination of personnel, response equipment, and transportation assets (e.g., vehicles, vessels).<br>"Hot" and "cold" zones are defined for OSR and are maintained by defined corridors in and out of the spill zone.<br>Sources for additional PPE and supplies are pre-determined. |
| **H: FINANCIAL AND ADMINISTRATIVE CONSIDERATIONS** | | |
| One or more individuals have authorized spending with spending limits clearly identified. | One or more individuals have authorized spending with spending limits clearly identified.<br>Finance personnel have exercised purchasing needs with suppliers as part of training. | One or more individuals have authorized spending with spending limits clearly identified.<br>Finance personnel have exercised purchasing needs with suppliers as part of training.<br>Personnel are familiar with forms adopted for tracking, purchasing, and deploying OSR equipment, materials, and personnel.<br>There is coordination and procedure review with insurers; tested; standardized forms. |
| Procedures in place for increasing spending limits if necessary. | | |
| Procedures are in place to receive claims. | Procedures are in place to receive, investigate, and resolve claims.<br>Insurers are identified and included in exercises. | A filing and tracking system for claims has been implemented.<br>Coordinated procedures exist with insurers to expedite claim review and settlement process.<br>Insurers are identified and included in exercises. |

| GOVERNMENT – INDUSTRY: FACILITY | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| **I: TRAINING & EXERCISES** | | |
| Training requirements are defined for spill management and responders.<br>Training outline(s) or descriptions have been included in plan.<br>Minimum initial and refresher Health & Safety training requirements are defined for spill management and responders. | Minimum initial and refresher training requirements are defined for spill management and responders.<br>Health & safety training requirements are included. | Initial and refresher training requirements are defined for levels of expertise and functions (assignments) for personnel in spill management and for responders.<br>Health & safety training and refresher programs are defined and implemented. |
| Regular training courses are provided on OSCP to response team personnel. | Courses are attended by responders and OSR management personnel. | OSR courses are held on an annual basis include external parties: other companies and authorities. |
| In-house spill training courses are available. | Contracted or company-specialists provide spill training courses. | Contracted internationally recognized or accredited spill training is provided per a schedule and documented. |
| Training records for on-site personnel document compliance with required training. | Training records document compliance with defined training and include training materials; training is provided by qualified personnel. | Training records document compliance with defined training.<br>Training materials and aids are available.<br>Training is provided by certified and/or qualified experts. |
| Notification and Alerting Exercises are simulated within facility as part of training | Internal-External alerting and notification are exercised with actual calls as per regulatory requirements.<br>Annual deployment exercises are held at the facility. | Internal-External alerting and notification are tested and documented as per regulatory and company requirements.<br>Internal-External notification exercises include callout during off-hours.<br>A communications system is in place and tested. |
| Annual deployment exercises are held at the facility. | Exercises include neighboring industries. | Industry and government partners participate in annual equipment deployment and command center operations exercise. |
| Annual tabletop (Response Management) Exercises are held. | Annual tabletop exercises are held and include external parties. | Annual tabletop exercises are held and include external parties.<br>Tabletop exercises are based on risk assessments including trajectories and extensive strategic planning. |
| **J: SUSTAINABILITY & IMPROVEMENT** | | |
| Internal review of exercise is held. | Post-Exercise critique (plan and execution) recommends actions for OSR improvements.<br>Recommendations are implemented and tracked. | External review supplements internal post-exercise or response critique. Steps taken for improvements are documented.<br>Management tracks recommendations and changes until these are implemented. |
| Audits of plans and facilities are conducted annually. | Internal company auditors review plans, equipment, and related facilities at least once every three years. | Internal-External/Experts (Company, Contracted, Government) undertake audits.<br>Responsibilities are assigned to implement changes.<br>Changes are reviewed and approved. |
| Post-Exercise and Post-Spill Evaluations are conducted and incorporated into actions for OSR program improvements. | Plan and equipment improvements are made as needed. | Plan and equipment improvements are included in planning and in conducting subsequent training. |

# 5 Government: Local, Port, City

## 5.1 Description of Scope

Government-owned and/or -operated oil handling, transport and storage facilities typically have emergency response plans for different eventualities, including oil spills. The OSR aspect of emergency readiness is the focus of this assessment chapter.

*Examples:*

- Port facilities
- Municipalities

The operations encompassed in this scope are local in extent and associated with cities, ports, and other geographically limited but collective facilities. A key feature of this scope is the collective point-source aspect of the potential spills.

## 5.2 Concept of Levels

The assessment process is conducted specifically by using RETOS™, which reflects the detailed assessment criteria listed in Table 5 (highlighted in yellow are the critical criteria, only applicable to Level A); however, a separate checklist is provided in RETOS™ for each LEVEL.

The use of three levels for the assessment for this scope does not reflect the complexity of an operation or facility. The level of commitment for time and effort to ensure best practices in OSR plans and readiness will be very different for small ports relative to multiple operations in a large port or municipality. As stated earlier (Chapter 2.5), the user should select a target level (Level A as a default) against which to assess the OSR capability. **For each Category/Element, the criteria established for Level B add to those criteria for Level A, and the criteria established for Level C add to those for Levels A and B.**

**ASSESSMENT LEVELS do not correspond to Tiers, in the OSR planning sense.** Rather, an Assessment Level indicates the maturity of that program, so that a Local/Port/Municipality OSR Program (which typically prepares for a Tier 1 response) may be quite well prepared and very capable of mounting a quick and very effective response to a Tier 1 spill. In such a case the Assessment Level C would reflect its maturity but for a Tier 1 spill response. Government Local/Port/Municipal OSR programs that encompass significant risks, such as multiple facilities, shipping, rail and pipelines, may need to envision an expanded Tier 2 or even Tier 3 response capability; however, if the overall program is in the early stages of development and implementation, the assessment would be performed at a Level A.

## 5.3 Notes on OSR Categories Applicable to Local OSR Programs

Local government plans and readiness programs typically must be prepared and built upon requirements imposed by regulations. Local plans may integrate aspects of multiple facility plans and would fit within a framework or regional and/or national OSR programs. Major focus is on local government preparedness (Tier 1 and into Tier 2) with ties into corresponding tiered, or upper level, government plans and capabilities, as appropriate. Immediate on-scene response capabilities are the primary focus of OSR programs at the local level.

**Table 5** - *Criteria Matrix for OSR Assessment- SCOPE: Government: Local, Port, City*

| GOVERNMENT: LOCAL, PORT, CITY | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| **A: LEGISLATION, REGULATIONS & AGREEMENTS** | | |
| Plan references regulatory requirements. | Plan meets regulations and standards.<br>Reportable amounts of spills are indicated. | Plan lists primary applicable regulations, standards and overseeing agencies.<br>Plan exceeds regulatory requirements.<br>Reportable amounts of spills are indicated.<br>Content is aligned with Best Industry Practices recommendations. |
| Agreements for local OSR assistance are in place.<br>Memoranda of Understanding are cited. | Documented, signed agreements for Mutual Aid for Tier 2 and/or 3 spills are included as appropriate.<br>Memoranda of Understanding are also included (if/as appropriate). | Agreements for Mutual Aid at all tier levels are included as appropriate.<br>Clearly defined capabilities, conditions for use are included.<br>Signed International Conventions are indicated.<br>Ports include vessel traffic services regulations re: in/outbound call-ins, pilot requirements, traffic zones and closures.<br>Municipalities cite pollution discharge restrictions and reporting regulations.<br>A signed and dated Environmental Policy exists. |
| A signed and dated Environmental Policy has been prepared. | Regulations delineate penalties for pollution violations.<br>A signed and dated Environmental Policy has been prepared. | Regulations delineate penalties for pollution violations.<br>Structure for ensuring adequate funds for pollution response and prosecution of pollution violations has been formulated. |
| **B: OIL SPILL CONTINGENCY PLANNING** | | |
| Plan is readily available to OSR personnel.<br>Clear table of contents, pagination are features.<br>Date of plan is included. | Plan is readily available and clearly organized and includes distribution list and tabs for reference.<br>Clear table of contents, pagination are features.<br>Date of plan is included.<br>Scope of plan (facilities, geographical area, products) is included.<br>Field guide/checklist outline initial response steps. | Plan is readily available as controlled ISO document and is clearly organized.<br>Clear table of contents, pagination are features.<br>Date of plan is included.<br>Plan includes current distribution list, tabs, checklists, graphics, maps, and tables.<br>Scope of plan is included as well as glossary.<br>Field guide/checklist outline initial response steps.<br>Personnel can locate OSR Field or Emergency Response Guide for initial actions.<br>Emergency and Business Recovery, Security components are included in municipal and port planning and their relationship to spill plans is clarified. |
| Applicable and related plans (company, local, and government) are identified. | The relationship with other applicable plans (company, local, and government) is identified and described. | The relationship with other applicable plans (company, local, and government) is clearly defined and described.<br>Equipment inventories and contacts are indicated as applicable. |
| Local expertise for OSR-related issues is listed. | Local and regional experts are listed and are aware of the OSR plan and scope. | Local and regional experts are listed and are aware of the OSR plan and scope.<br>Contracts or agreements are in place with OSR experts in specialized fields who have participated in planning or exercises. |

| GOVERNMENT: LOCAL, PORT, CITY | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Plan has been reviewed or revised in past 3 years.<br><br>Key contacts are updated as these change. | Revision log and dated pages document reviews or revisions within past year.<br><br>Spill sources, materials, volumes are identified and known to responders. | Revision log and dated pages document reviews/ revisions as per update procedures, including plan implementation following actual spills, and at least annually.<br><br>Spill risks are re-assessed regularly.<br><br>Spill sources, materials, volumes are identified and known to responders. |
| Potential spill sources, materials, and volumes are identified and known to responders.<br><br>MSDSs for all products have been included. | Detailed calculations have been provided for possible spill sources (e.g., oil storage facilities, oil transfer locations, vessel operations/bunkering, rail deliveries, ballast water treatment, etc.).<br><br>MSDSs for all products have been included in plan their location is indicated and verified.<br><br>Spill sources, materials, volumes are identified and known to responders. | Detailed calculations have been provided for possible spill sources (e.g., oil storage facilities, oil transfer locations, vessel operations/bunkering, rail deliveries, ballast water treatment, etc.).<br><br>MSDSs for all products have been included in plan their location is indicated and verified.<br><br>Spill planning is based on a tiered system that uses quantitative risk assessment analysis for each tier (option: tiers reflect regulatory-defined criteria).<br><br>Scenarios used as a basis for planning include beaching, collision, grounding, fire, explosion, earthquake, etc.<br><br>Primary properties of potential spill products are well-defined.<br><br>Photos, specifications are included for facilities and operations posing spill risk. |
| The general area at risk is identified based on spill sources. | Areas of potential spill influence are defined based on spill trajectories for worst-case spills.<br><br>Trajectories consider prevailing and worst-case operating conditions. | Areas of potential spill influence are defined based on spill trajectories for worst-case spills.<br><br>Trajectories consider prevailing and worst-case operating conditions.<br><br>Trajectories reflect distinct product weathering rates, tiered volumes, and seasonal conditions.<br><br>Stochastic and worst-case trajectories depicted in scenarios are the basis for response planning.<br><br>Detailed tidal patterns and seasonal environmental concerns are included for harbors. |
| Sensitive areas are identified in the plan.<br><br>Species at risk are listed. | Sensitive areas are identified in the plan.<br><br>Species at risk are listed.<br><br>Sensitivity, timing, and priorities are defined.<br><br>Graphics (maps) indicate locations of species at risk.<br><br>Responders have a general understanding of sensitive sites and priorities.<br><br>Response strategies are clearly stated and appropriate for the local area, operating conditions, and oil types. | Sensitive areas are identified in the plan.<br><br>Species at risk are listed.<br><br>Graphics (maps) indicate locations of species at risk.<br><br>Sensitivity, timing, and priorities are defined.<br><br>Sensitive areas and resources at risk are clearly presented and kept up to date in GIS system including, for example, estuaries, wetlands, port, park, marina and other amenities.<br><br>Responders have a general understanding of sensitive sites and priorities.<br><br>Response strategies are clearly stated and appropriate for the local area, operating conditions, and oil types. |

| GOVERNMENT: LOCAL, PORT, CITY | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Response strategies are clearly stated and appropriate for the local area, operating conditions, and oil types.<br><br>Health and safety priorities are clearly indicated. | Strategies and tactical details are provided for source control and areas at immediate risk.<br>Health and safety priorities are clearly delineated including concerns for toxic and flammable substances.<br>Response equipment has been strategically positioned to be on scene within 2 hours.<br>Primary OSR equipment and personnel needs are indicated. | Strategies and tactical details are provided for source control and areas at immediate risk.<br>Detailed tactical plans (graphics, maps) for priority areas within the zone of spill risk and appropriate for operating conditions are indicated.<br>Health and safety priorities are clearly delineated including concerns for toxic and flammable substances.<br>Response equipment has been strategically positioned to be on scene within 1 hour.<br>Primary OSR equipment and personnel needs are indicated. |
| Personnel and equipment needs to implement identified response strategies are indicated. | | |
| Non-mechanical countermeasures, such as dispersants or burning, are evaluated as options if appropriate.<br>Personnel needed to undertake all response options have been assessed. | Non-mechanical countermeasures, such as dispersants or burning, have been analyzed with windows of opportunity noted if appropriate for extended port boundaries. | Non-mechanical countermeasures, such as dispersants or burning, have been analyzed with windows of opportunity noted if appropriate for extended port boundaries.<br>NEBA or SIMA have been completed for alternative countermeasures with clearly defined applicability and limitations in the context of municipal and port facilities and related concerns including the possible impacts of toxic and flammable substances. |
| Personnel needed to undertake operations are assessed. | Personnel and equipment needed to undertake all operations are clearly identified and qualified. | Personnel and equipment needed to undertake all operations are listed, appropriate, and qualified.<br>Sufficient personnel are identified to enable work rotation schedules in field and in response management. |
| **C: RESPONSE COORDINATION** | | |
| A clear procedure is in place on information to report and who should receive initial spill notification and follow-up reports. | A clear procedure is in place on information to report and who should receive initial spill notification and follow-up reports.<br>Initial spill notification checklists/ forms are readily available.<br>A spill reporting form is included.<br>Alarms are described and callout procedures include flow charts for internal, external parties with contact data.<br>Procedures are in place to communicate with area officials if a spill is too large or additional resources are needed. | A clear procedure is in place on information to report and who should receive initial spill notification and follow-up reports.<br>Initial spill notification checklists/forms are readily available.<br>Redundant callout procedures are based on common checklists and/or forms.<br>A spill reporting form is included.<br>A contact list indicates key personnel.<br>A directory is included of internal, external contacts (primary and alternate) who are immediately available.<br>Alarms are described and callout procedures include flow charts for internal, external parties with contact data.<br>Procedures are in place to communicate with area officials if a spill is too large or additional resources are needed. |
| A spill reporting form is included. | | |
| A contact list specifies key personnel and alternates. | | |
| Spill management structure and assigned personnel are defined for all spill tiers, as appropriate. | Spill management structure and assigned personnel are defined for all spill tiers, as appropriate.<br>The spill management organization allows easy expansion and contraction of personnel in planning levels or tiers and integration with external personnel (government, contractors). | Spill management structure and assigned personnel are defined for all spill tiers, as appropriate.<br>The spill management organization allows easy expansion and contraction of personnel in planning levels or tiers and integration with external personnel (government, contractors).<br>The spill management organization is flexible and robust, accommodates all emergencies.<br>It is based on sound incident management principles (e.g., ICS). |

| GOVERNMENT: LOCAL, PORT, CITY | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Roles and responsibilities are evident for each functional aspect identified in OSR management organization. | Roles and responsibilities are evident for each functional aspect identified in the OSR management organization.<br>Responsibility checklists are available and defined for each role in OSR management team. | Roles and responsibilities are evident for each functional aspect identified in the OSR management organization.<br>Responsibility checklists are available and defined for each role in OSR management team.<br>OSR management personnel have checklists for their personal use during response.<br>Checklists are available in the plan, at a Command Post, or maintained in individual OSR response kits. |
| Incident Command is assigned to one or two specific individuals (by name or position) with backups identified | Incident Command is assigned to one or two specific individuals (by name or position) with backups identified.<br>Personnel appointed to a Unified or Joint Command are identified.<br>Records of Joint or Unified Command meetings indicate the working team. | Incident Command is assigned to one or two specific individuals (by name or position) with backups identified.<br>Personnel appointed to, and in direct support of, a Unified or Joint Command are defined.<br>Records show regular pattern of Joint or Unified Command meetings, exercises, and/or response. |
| Personnel assigned to OSR management roles are identified for Tier 1 incidents as well as company personnel who would be informed of a spill. | Personnel assigned to OSR management roles are identified for Tier 1 and 2 spills, as appropriate. | Personnel assigned to OSR management roles are identified for Tier 1-3 spills as appropriate.<br>Sufficient trained personnel from local, contracted, and corporate sources are available to manage 24-hr extended worst-case spill (shifts). |
| Command post location is specified. | Command post location is specified, and backup command post location is identified; communications and control facilities are listed. | Command post location is specified, and backup command post location is identified; communications and control facilities are listed.<br>Redundant communications and control facilities are provided.<br>Provisions for long-term emergencies are also specified. |
| A procedure is in place and responsibility has been assigned for communications with media during a spill response. | A procedure is in place and responsibility has been assigned for communications with media during a spill response.<br>A prepared draft press release is available for initial notice.<br>The assigned person for media communications has established contact with local media outlets. | A template press release is available for initial notice.<br>The person assigned to media communications has established contact with local media, is trained in media management, and has worked with OSR command on public speaking and/or mock press conferences. |
| A procedure is in place and responsibility has been assigned for communications with local communities. | A procedure is in place and responsibility has been assigned for communications with local communities.<br>Community liaison program and personnel maintain frequent contacts with communities at risk. | A procedure is in place and responsibility has been assigned for communications with local communities.<br>Community liaison program and personnel maintain frequent contacts with communities at risk.<br>Community education and training have been completed so that a volunteer base is identified to support spill response efforts. |
| **D: HEALTH, SAFETY & SECURITY** | | |
| A site map (or series of maps) is available showing main potential spill sources, locations of emergency equipment, and evacuation route(s). | A map (or series of maps) is available showing main potential spill sources, locations of spill emergency equipment, and evacuation route(s)), and primary care facilities. | A map (or series of maps) is available showing main potential spill sources, locations of spill emergency equipment, and evacuation route(s), and primary care facilities. |

| GOVERNMENT: LOCAL, PORT, CITY | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| General risks, hazards, and PPE are described.<br><br>OSR personnel have general understanding of associated hazards.<br><br>PPE available in OSR kits. | General risks, hazards, and PPE are described.<br>MSDSs for each product handled are readily available; personnel know how to obtain data.<br>Response personnel and management demonstrate knowledge of MSDSs.<br>PPE is available in response kits.<br>On-site monitoring equipment is readily available. | General risks, hazards, and PPE are described.<br>MSDSs for each product handled are readily available; personnel know how to obtain data.<br>Response personnel and management demonstrate knowledge of MSDSs.<br>Personnel can also describe risks, safety precautions, PPE and initial response.<br>A Hazards Communications training has been provided to all on-site personnel.<br>Site assessment checklist has been developed for spills.<br>PPE are available in kits and vehicles.<br>On-site monitoring equipment is readily available.<br>Fire-fighting and toxic and flammable gas response capabilities are also addressed. |
| Responsible, accredited person(s) are identified for OSR safety assessment duties. | Generic site-safety plan template is available and used for response under direction of designated and qualified Site Safety Officer.<br>A Security plan supplements OSR plan.<br>Responsible, accredited person(s) are identified for OSR safety assessment duties. | Responsible, accredited person(s) are identified for OSR safety assessment duties.<br>Site-specific safety assessment checklist and safety plan for OSR available and completed by designated Site Safety Officer.<br>Safety briefing checklist developed.<br>Safety risk assessment includes air monitoring and night operations.<br>A Security plan supplements OSR plan.<br>The roles of municipal and port police as well as security forces are specified. |
| Mandatory safety training requirements have been established for different roles and responsibilities of OSR responders. | Mandatory safety training requirements have been established for OSR responders.<br>Provisions have been made for training volunteers. | Mandatory safety training requirements have been established for different roles and responsibilities of OSR responders.<br>Provisions have been made for training volunteers.<br>Roles for volunteers have been defined on pre-spill basis. e.g., shoreline treatment; training modules are in place. |
| **E: OPERATIONAL RESPONSE** | | |
| Local procedures are in place to minimize spill volumes through operational controls (e.g., advanced vessel notifications) and source control: transfers, patching, emergency lightering, etc. | Local procedures are in place to minimize spill volumes through operational controls (e.g., advanced vessel notifications) and source control: transfers, patching, emergency lightering, etc.<br>Emergency shutoffs, remotely controlled valves, and/or other means are in place to reduce volume of releases.<br>Emergency anchorages are indicated, as appropriate. | Local procedures are in place to minimize spill volumes through operational controls (e.g., advanced vessel notifications) and source control: pre-booming, transfers, patching, emergency lightering, etc.<br>Emergency shutoffs, remotely controlled valves, and/or other means are in place to reduce volume of releases.<br>Procedures, emergency controls are clearly marked and determined to be functional on a regular basis.<br>Emergency anchorages are indicated, as appropriate.<br>There is a designated Emergency Response Team with mobile capability. |

| GOVERNMENT: LOCAL, PORT, CITY | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Local equipment sources are identified and adequate for Tier 1 risks (most likely routine spills), operating environments, and seasons. | Local equipment sources are verified and exceed Tier 1 needs as appropriate (oil types, weathering, and volumes), operating environments, and seasons, and provide redundancy and compatibility with equipment identified to augment response capability, if needed. | Local equipment sources are verified and exceed Tier 1 needs as appropriate (oil types, weathering and volumes), operating environments, and seasons, and provide redundancy and compatibility with equipment identified to augment response capability, if needed.<br>Local and regionally available equipment has been assessed to determine optimum response options for operating conditions and oil types.<br>Mechanical recovery and shoreline treatment are addressed as appropriate.<br>Alternative response options (dispersants, cleaners, in situ burning) are identified and conditions are defined for their consideration and use, as applicable.<br>Additional external resources are identified to provide protection booming.<br>Response equipment utilizes the latest technology. |
| Local equipment is inventoried, audited, properly stored and in good working condition. | Local equipment is inventoried, audited, properly stored and in good working condition.<br>Maintenance and inspection records reflect routine upkeep (per OSCP requirements). | Local and regional equipment is properly stored, packaged, and labeled and in good excellent working condition.<br>Computerized equipment maintenance and inspection program automatically issues and tracks work orders for equipment upkeep. |
| Equipment locations are identified in the plan, are secured, and allow for quick access and deployment. | Equipment locations are identified in the plan, are secured, and allow for quick access and deployment.<br>Equipment locations are identified in the plan, secured, and distributed to allow quick response to key spill risk locations. | Equipment locations are identified in the plan, secured, and distributed to allow quick response to key areas posing a spill risk.<br>Pre-deployed equipment or permanently installed tertiary containment is in place. |
| Operational use of countermeasures is verified in annual spill exercise. | Operational use of countermeasures is verified in annual drill.<br>Countermeasures including containment, skimming, dispersant application (as applicable) are verified and reviewed in exercises and drills.<br>Shoreline treatment considers techniques for natural and man-made shores. | Countermeasures including containment, skimming, dispersant application (as applicable) are verified and reviewed in exercises and drills.<br>Shoreline treatment considers techniques for natural and man-made shores.<br>All major countermeasures are tested twice annually and improved as needed.<br>Upgrades with new response options are identified by management.<br>In-house capability ensures applicable response options can be implemented including mechanical, (treating agents, in- situ burning as applicable), and shoreline treatment (man-made and natural). |
| A Waste Management Plan is outlined. | Procedures are defined and adopted to minimize the potential waste stream, temporarily handle waste, and ultimately reuse or dispose of waste materials | Procedures are defined and adopted to minimize the potential waste stream, temporarily handle waste, and ultimately reuse or dispose of waste materials.<br>Agreements and contracts are in place with waste management companies and municipal authorities on pre-spill basis.<br>Intermediate and long-term storage options for oily wastes are defined.<br>Treatment, recycling and final disposal of oily waste are addressed including the use of municipal incinerators. |

| GOVERNMENT: LOCAL, PORT, CITY | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Wildlife recovery contacts are included. | A wildlife recovery plan and local expertise are listed and aware of roles for response. | A wildlife recovery plan and local expertise are listed and aware of roles for response.<br>A wildlife recovery program is part of regional capability including equipment and facilities for establishing on-site facilities. |
| **F: TRACKING, ASSESSMENT & INFORMATION MANAGEMENT** | | |
| Role or assignment is defined in OSR management to undertake spill tracking, including monitoring.<br>Source of forecasting ability (weather, currents, river/stream flow, etc.) is defined. | Role or assignment is defined in OSR management to undertake spill tracking, including monitoring.<br>Procedures are in place to provide visual tracking and monitoring of a spill (on water, land, groundwater).<br>Organization tasked to provide forecasting (weather, currents, river/stream flow, etc.) is defined.<br>Expertise and resources available to undertake tracking. | Role or assignment is defined in OSR management to undertake spill tracking, including monitoring.<br>Procedures are in place to provide visual tracking and monitoring of a spill (on water, land, groundwater).<br>Tracking and monitoring procedures include standardized assessment forms (SCAT, Overflight).<br>Oil spill tracking aids include drones, digital cameras, GPS, and transport (helo, fixed- wing, vessels).<br>Tracking systems for non-visual tracking are identified and available (e.g., IR for night and low visibility conditions; tracking buoys; under dense foliage).<br>Organization tasked to provide forecasting (weather, currents, river/stream flow, etc.) is staffed and available 24/7.<br>Studies document trajectories for releases into local waters (see also B3 Oil Spill Contingency Planning). |
| Forms, maps or charts are available on which to maintain record of spill track and movement. | Forms, maps or charts are available on which to maintain record of spill track and movement.<br>GIS capabilities allow tracks to be integrated with other OSR planning information and data. | Forms, maps or charts are available on which to maintain record of spill track and movement.<br>GIS capabilities allow tracks to be integrated with other OSR planning information and data.<br>Computerized models are available and can be used to analyze spill trajectories and weathering.<br>Trajectory modeling results are available within suitable timeframes (e.g., 2-6 hours for on-water spills) and can be displayed in digital form (i.e., within GIS) and/or on wall maps.<br>Mechanism is in place for Common Operating Picture (COP) displays. |
| A cleanup assessment capability exists. | SCAT Teams are identified that include agency personnel.<br>Roles of the RP and contractors are acknowledged. | SCAT Teams are identified that include agency personnel.<br>Roles of the RP and contractors are acknowledged.<br>Trained SCAT teams with field tools are available for OSR duties. |
| **G: LOGISTICS** | | |
| Supplies, PPE, tools, special equipment, expendables, towing and salvage are available.<br>Local sources are identified. | Supplies, PPE, tools, special equipment, expendables, towing and salvage are available: Local sources are identified.<br>Agreements (terms) with local sources have been established on a pre-spill basis. | Supplies, PPE, tools, special equipment, expendables, towing and salvage are available: Local sources are identified.<br>Local sources have been established, contracted, and exercised on a pre-spill basis.<br>Contractor advises on priorities, purchases.<br>Regional logistical support has been identified. |
| Local sources have been identified for service providers for meals, transportation (air, land, water), portable camps and toilets: | Service providers for meals, transportation (air, land, water), portable camps and toilets have been contracted on a pre-spill basis. | Service providers for meals, transportation (air, land, water), portable camps and toilets are contracted and exercised.<br>Sources are updated on annual basis in plan. |

| GOVERNMENT: LOCAL, PORT, CITY | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Response times for initial deployment have been identified and tested. | Response times for initial deployments have been tested and improved. | Response times for initial deployments have been tested and improved.<br>Deployments are exercised with combined operational and logistics support teams. Alternate routes are tried. |
| A Command Post is identified and has basic arrangements for coordinating a response. | A Command Post is pre-established with multiple lines of communication, space for participating personnel, and with adequate security and logistical support services to sustain the response organization.<br>Assets and procedure for communications in field and between field and Command Post are in place. | A Command Post is pre-established with multiple lines of communication, space for participating personnel, and with adequate security and logistical support services to sustain the response organization.<br>Electronic boards are available for situation status posting with near real-time feed from field.<br>Coordination with, and links to, port control systems are included.<br>Assets and procedure for communications in field and between field and Command Post are in place. |
| Assets and procedure for communications in field and between field and Command Post are in place. | Communications equipment is on hand and secondary or backup systems are identified and available for all response personnel.<br>Systems are compatible across response community (vessels, ground, air). | Communications equipment is on hand and secondary or backup systems are identified and available for all response personnel.<br>A communications plan is established with pre-identified channels for responders.<br>Communications systems are integrated across response community (vessels, ground, air). |
| The availability of decontamination facilities is ensured for personnel leaving the spill site. | Equipment and personnel are prepared and available for immediate deployment to support decontamination of personnel, response equipment, and transportation assets (e.g., vehicles, vessels). | Equipment and personnel are prepared and available for immediate deployment to support decontamination of personnel, response equipment, and transportation assets (e.g., vehicles, vessels).<br>"Hot" and "cold" zones are defined for OSR and are maintained by defined corridors in and out of the spill zone.<br>Sources for additional PPE and supplies are pre-determined. |
| **H: FINANCIAL AND ADMINISTRATIVE CONSIDERATIONS** | | |
| Designated Authority(ies) has pre-defined spending approval limits. | Designated Authority(ies) has pre-defined spending approval limits.<br>Finance personnel have exercised purchasing needs with suppliers as part of training. | Designated Authority(ies) has pre-defined spending approval limits and expedited approval process for increased limits.<br>Finance personnel have exercised purchasing needs with suppliers as part of training.<br>Coordination and procedure review with insurers has been tested and relies on standardized forms.<br>Personnel are familiar with forms adopted for tracking, purchasing, and deploying OSR equipment, materials, and personnel. |
| Procedures are in place to receive claims. | Procedures are in place to receive, investigate, and resolve claims including loss of business.<br>Insurers have been identified and included in exercises. | Procedures are in place to receive, investigate, and resolve claims including loss of business.<br>Claims filing and a tracking system have been implemented.<br>Coordinated procedures exist with insurers to expedite claim review and settlement process.<br>Insurers have documented participation in response and/or exercises. |

| GOVERNMENT: LOCAL, PORT, CITY | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| **I: TRAINING & EXERCISES** | | |
| Training requirements are defined for spill management and responders.<br>Training course outline(s) or descriptions are included in plan.<br>Minimum initial and refresher Health & Safety training requirements are defined for spill management and responders. | Minimum initial and refresher Health & Safety training requirements are defined for spill management and responders.<br>Training course outline(s) or descriptions are included in plan. | Initial and refresher training requirements are defined for levels of expertise and functions (assignments) for personnel in spill management and for responders. Health & Safety is included.<br>Training requirements for terminals and facilities within municipalities and ports are specified.<br>Training course outline(s) or descriptions are included in plan. |
| Regular training courses are provided on OSCP to response team personnel. | Courses are attended by responders and management, and include training on Incident Management Systems (e.g., ICS). | Regular training courses are provided on OSCP to response personnel.<br>Courses are attended by responders and management, and include training on Incident Management Systems (e.g., ICS).<br>In-house spill training courses are held.<br>Contracted or government specialists provide spill training courses.<br>OSR courses held on an annual basis include external parties.<br>Train-the-trainer courses are held.<br>Key personnel attend national and international OSR conferences and seminars.<br>OSR preparedness and response activities are discussed with other ports and municipalities. |
| In-house spill training courses are available. | Contracted or government specialists provide spill training courses. | Contracted internationally recognized or accredited spill training is available. |
| Training records for on-site personnel document compliance with required training. | Training records document compliance with defined training and includes training materials.<br>Training is provided by qualified personnel. | Training records document compliance with defined training; training materials and aids available.<br>Training is provided by certified and/or qualified experts. |
| Notification and Alerting Exercises are simulated within the area as part of training. | Notification and Alerting Exercises simulate spill response within local area as part of training.<br>Off-hours; Internal-External alerting and notification are exercised with actual calls as per regulatory requirements.<br>Deployment exercises are conducted at least annually with local resources. | Notification and Alerting Exercises simulate spill response within local area as part of training.<br>Off-hours; Internal-External are tested and documented as per regulatory and local requirements.<br>Communications system is in place and tested.<br>Deployment exercises are conducted at least annually with local resources. |
| Deployment exercises are conducted at least annually with local resources. | Exercises include neighboring industries. | Exercises include neighboring industries.<br>Industry and government partners, including port and municipal security organizations, participate in annual equipment deployment and command center operations exercise. |

| GOVERNMENT: LOCAL, PORT, CITY | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Tabletop (Response Management) Exercises are held. | Tabletop (Response Management) Exercises are held at least annually.<br>Tabletop exercises include external parties. | Tabletop (Response Management) Exercises are held at least annually.<br>Tabletop exercises are based on risk assessments including trajectories and extensive strategic planning.<br>Tabletop exercises include external parties.<br>Fire, explosion, and toxic releases are considered in annual exercises. |
| **J: SUSTAINABILITY & IMPROVEMENT** | | |
| Internal review of exercise is held. | Recommendations made following exercises or actual response are implemented and tracked.<br>Exercise critique (plan and execution) recommends actions for OSR improvements. | Recommendations made following exercises or actual response are implemented and tracked.<br>Exercise critique (plan and execution) recommends actions for OSR improvements.<br>External review supplements internal critique.<br>Steps taken for improvements are documented.<br>Management tracks changes until implemented. |
| Audits of plans and facilities are conducted annually. | Audits of plans and facilities are conducted annually.<br>Internal auditors review plans, equipment, and related facilities. | Audits of plans and facilities are conducted annually.<br>Internal auditors review plans, equipment, and related facilities.<br>Internal-External / Experts (Company, Contracted, Govt.) undertake audits to specifically review improvements, repairs and upgrades to transfer facilities, emergency stops, communications, and spill response equipment.<br>Responsibilities are assigned to implement changes.<br>Changes are reviewed and approved. |
| Post-Exercise and Post-Spill Evaluations are conducted and incorporated into actions for OSR program improvements. | Post-Exercise and Post-Spill Evaluations are conducted and incorporated into actions for OSR improvements to port and municipal as well as client-based assets.<br>Plan and equipment revisions and improvements are implemented in a timely manner. | Post-Exercise and Post-Spill Evaluations are made and incorporated into actions for OSR improvements to port, municipal and client assets.<br>Plan and equipment improvements are included in subsequent training.<br>Plan revisions and equipment improvements are implemented in a timely manner. |

# 6 Government: Area or Regional

## 6.1 Description of Scope

Regional government plans address the role of regulatory bodies and multi-agency in OSR. The management aspect of OSR readiness is the focus of this assessment chapter.

*Examples:*

- State
- Province
- Multi-state/provincial

A key feature of this scope is the broader geographic coverage of plans. It can integrate several government programs (e.g., local) and has ties with industry operations and oversight.

## 6.2 Concept of Levels

The assessment process is conducted specifically by using RETOS™, which reflects the detailed assessment criteria listed in Table 6 (highlighted in yellow are the critical criteria, only applicable to Level A); however, a separate checklist is provided in RETOS™ for each LEVEL.

The use of three levels for the assessment for this scope does not reflect the complexities of one area relative another area nor necessarily the geographic size of areas. The level of commitment for time and effort to ensure best practices in OSR plans and readiness will be very different for areas with numerous spill sources, public infrastructures, and sensitivities relative to areas where there are limited risks or fewer sensitive receptors. As stated earlier (Chapter 2.5), the user should select a target level (Level A as a default) against which to assess the OSR capability. **For each Category/Element, the criteria established for Level B add to those criteria for Level A, and the criteria established for Level C add to those for Levels A and B.**

**ASSESSMENT LEVELS do not correspond to Tiers, in the OSR planning sense.** Rather, an Assessment Level indicates the maturity of that program. For example, a Government Area OSR program (which typically prepares for Tier 2 and Tier 3 response) may only be in the early stages of development and implementation, in which case the assessment would be performed at a Level A. Alternatively, the Area OSR program may have need for only a Tier 2 capability and, if mature and well-developed, could be assessed using Level C criteria.

## 6.3 Notes on OSR Categories Applicable to Area OSR Programs

Area plans and readiness programs typically must be prepared and built upon requirements imposed by regulations, including the National Oil Spill Contingency Plan. Plans and readiness at the regional level rely on a proper foundation at the national level and thus integrate aspects of national OSR programs. Major focus is on government preparedness (Tier 2) with strong ties into the upper Tier 3 level, government plans and capabilities. Response preparedness typically entails more policy and management perspectives and integrates multiple local capabilities into a larger comprehensive response program.

**Table 6** - *Criteria Matrix for OSR Assessment - SCOPE: Government: Area or Regional*

| GOVERNMENT: AREA OR REGIONAL | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| **A: LEGISLATION, REGULATIONS & AGREEMENTS** | | |
| Current legislation, either regional (State, Province or other) or national exists and establishes the purpose of the regional OSR program, stipulates requirements for OSR, and assigns responsibilities.<br><br>Regional Lead Agency or Designated Authority is indicated (see also B Contingency Planning). | National legislation stipulates requirements for OSR and assigns responsibilities, with a view towards easy integration in the national contingency plan.<br>Current legislation, either regional (State, Province or other) or national exists and establishes the purpose of the regional OSR program.<br>Legislation addresses passing tankers, innocent passage, petroleum exploration and production, and non-petroleum specific activities (e.g., non-tank vessels, power utilities, transportation).<br>Lead Agency/Designated Authority and support agencies are indicated (see also B Contingency Planning). | National legislation stipulates requirements for OSR and assigns responsibilities, with a view towards easy integration in the national contingency plan.<br>Current legislation, either regional (State, Province or other) or national exists and establishes the purpose of the regional OSR program.<br>Legislation addresses passing tankers, innocent passage, petroleum exploration and production, and non-petroleum specific activities (e.g., non-tank vessels, power utilities, transportation).<br>Lead Agency/Designated Authority and support agencies are indicated including weather and marine forecasting capability.<br>Roles of other agencies and cooperatives are also assigned (see also B Contingency Planning) and interagency agreements, guidelines and laws listed.<br>Relation to private industry is also defined. |
| Acts, regulations and guidelines support legislation. | Acts, regulations and guidelines support legislation with defined timeframes and specific requirements for compliance.<br>Regulations specify regional authorities for response (operational) action, regional authorities for planning, review and approvals, and prescribed planning requirements.<br>Areas of jurisdiction are defined, e.g., vessels, ports, platforms, SPMs, etc. (see also B1 Contingency Planning). | Acts, regulations and guidelines support legislation with defined timeframes and specific requirements for compliance, and enforcement measures or penalties for noncompliance.<br>Regulations specify regional authorities for response (operational) action, regional authorities for planning, review and approvals, and prescribed planning requirements.<br>Areas of jurisdiction are defined, e.g., vessels, ports, platforms, SPMs, etc. (see also B1 Contingency Planning). |
| Area has agreements and/ or Regional committees to represent multiple governmental interests (from local to Province or State) for agreements on OSR and coordination. | Area has agreements and/ or Regional committees to represent multiple governmental interests (from local to Province or State) for agreements on OSR and coordination.<br>Agreements represent private interests.<br>Area or Region has actively engaged OSR efforts with neighboring geopolitical entities.<br>Liaison exists with the national level. | Area has agreements and/or Regional committees to represent multiple governmental interests (from local to Province or State) for agreements on OSR and coordination.<br>Agreements represent private interests.<br>Area or region has actively engaged OSR efforts with neighboring geopolitical entities including developing enhanced response through joint exercises, training, and workshops.<br>Agreements are in place for expertise and information exchanges on a regular basis.<br>Liaison exists with the national level. |

| GOVERNMENT: AREA OR REGIONAL | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| **B: OIL SPILL CONTINGENCY PLANNING** | | |
| A Regional or Area Plan has been developed and approved; it identifies a Designated Regional Authority for oil spill response (and/or defines authority for specific spill cases; e.g., spill to land vs. spill to marine waters). | An approved Regional or Area Plan has been developed through partnership with collaborating agencies/ departments with associated responsibilities.<br>The plan identifies a Designated Authority for oil spill response and its responsibilities. A list of stakeholders' contacts is included. | An approved Regional or Area Plan has been developed through partnership with collaborating agencies/departments with associated responsibilities.<br>Approved Regional or Area Plan has a history of development, testing, and regular revision with distribution to all responsible participating agencies/ departments.<br>Designated Authority and roles/responsibilities of participating agencies are defined. The relation to private industry is also indicated. |
| Contents of Regional or Area Plan meet all of the HIGH importance/significance planning elements defined in the 2023 International Guide. | Contents of Regional or Area Plan meet all of the HIGH and MEDIUM importance/ significance planning elements defined in the 2023 International Guide. | Contents of Regional or Area Plan meet and exceed all of the planning elements defined in the 2023 International Guide. |
| Requirements or expectations from integrated local plans are available | Local plans are integrated with Regional or Area Plan; integrated plans are available and have been tested through exercises and/or response. | Local plans are integrated with Regional or Area Plan and both are well established, have been tested through exercises and/or response, and have history of review and development.<br>Contents and format for local/facility/shipboard/area or regional plans are specified. |
| Applicable and related government plans (multilateral, National, and local) are identified and/or linked. | The relationship with other government plans (multilateral, national, and local) are identified and described.<br>Conditions of access to additional external resources (equipment and personnel) have been recently analyzed. | Conditions of access to additional external resources (equipment and personnel) have been recently analyzed.<br>Signed written agreements are in place for access to additional external resources.<br>Equipment inventories are indicated, as applicable. |
| Expertise (agency/personnel) for OSR-related issues is listed. | Regional and local experts are listed and have knowledge of the OSR plan and scope. | Regional and local experts are listed and have knowledge of the OSR plan and scope.<br>Contracts or agreements are in place with OSR specialists who have participated in planning and exercises as well as actual spills. |
| The plan has been reviewed or revised in past year.<br>Key contacts are updated as these change. | Revision log and dated pages document reviews or revisions within past year.<br>Key contacts are updated as these change. | Revision log and dated pages document reviews/ revisions as per update procedures, including plan implementation following actual spills, and at least annually.<br>Spill risks are re-assessed regularly. Post-incident review is included. |
| Regional or Area Plan has defined planning levels based on National Plan requirements or on spill risks. | Regional or Area Plan has defined planning levels based on National Plan requirements or on spill risks.<br>Risk-based approach is used to define priority areas of potential spills based on operations, volumes, and environmental factors.<br>Regional, National or international statistical data used to scope or define planning tiers or concepts. | Regional or Area Plan has defined planning levels based on National Plan requirements or on spill risks.<br>Risk-based approach is used to define priority areas of potential spills based on operations, volumes, and environmental factors.<br>Risk-based approach to define priority areas of potential spills includes mapping and list of species of concern.<br>Regional, National or international statistical data used to scope or define planning tiers or concepts. |

| GOVERNMENT: AREA OR REGIONAL | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Priority planning is focused on areas of high-risk and sensitivity. | Priority planning is focused on areas of high-risk and sensitivity.<br>At-risk areas are defined based on spill trajectories for worst-case spills.<br>Relevant properties of oils of concern are indicated.<br>Trajectories consider prevailing and worst-case operating conditions.<br>Graphics indicate species at risk. | Priority planning is focused on areas of high-risk and sensitivity.<br>At-risk areas are defined based on spill trajectories for worst-case spills.<br>Relevant properties of oils of concern are indicated.<br>Trajectories consider prevailing and worst-case operating conditions.<br>Trajectories reflect specific oils of concern and their weathering rates, tiered volumes, local climatology, oceanography, and seasonal conditions.<br>Graphics indicate species at risk.<br>Stochastic and worst-case trajectories shown in scenarios are the basis for response planning.<br>Organizations supplying specific data (e.g., oil properties, weather, environmental) and their contact details are listed. |
| Plan follows established National guidance for defining sensitive areas and priorities.<br>Threatened and endangered species at risk are listed and key habitats are located. | Plan follows established National guidance for defining sensitive areas and priorities.<br>Threatened and endangered species at risk are listed and key habitats are located.<br>Plan includes maps and lists of priority sensitive areas with species and timing of sensitivities clearly identified.<br>Maps adhere to sensitivity indexing practices. | Plan follows established National guidance for defining sensitive areas and priorities.<br>Threatened and endangered species at risk are listed and key habitats are located.<br>Plan includes maps and lists of priority sensitive areas with species and timing of sensitivities clearly identified.<br>Maps adhere to sensitivity indexing practices.<br>Sensitive areas mapping and resources at risk according to multiple levels of concern are clearly presented, widely available to other plan holders, and are kept up-to-date in GIS systems.<br>An inventory of all shorelines and associated resources and amenities is prepared, including for example, endangered species wetlands, recreational facilities, mariculture, and archeological sites.<br>Videos of shoreline are taken, archived and linked to OSR pre-planning, |
| Policies and/or regulations are in place to reduce the risk and/or consequences of a spill.<br>The use of assist tugs, pilotage, calling-in, and other risk-reducing measures are included in plans, where appropriate. | Policies and/or regulations are in place to reduce the risk and/or consequences of a spill.<br>Regulations provide clear guidance for spill prevention and are enforced to reduce accidents and to minimize oil loss if an incident occurs.<br>The use of assist tugs, pilotage, calling-in, and other risk-reducing measures are included in plans, where appropriate. | Policies and/or regulations are in place to reduce the risk and/or consequences of a spill.<br>Regulations provide clear guidance for spill prevention and are enforced to reduce accidents and to minimize oil loss if an incident occurs.<br>The use of assist tugs, pilotage, calling-in, and other risk-reducing measures are included in plans, where appropriate.<br>Trends, sources, causes of spills (e.g., vessel traffic, transfer, production, exploration, collision, grounding) are documented and provide additional foundation for required prevention measures.<br>Spill prevention programs are detailed.<br>These list criteria for determining sensitive areas and zones requiring protection. |

| GOVERNMENT: AREA OR REGIONAL | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Response strategies are clearly stated consistent with applicable operating conditions and oil types.<br>Personnel and equipment needed for implementing the identified response strategies are indicated. | Response strategies are clearly stated consistent with applicable operating conditions and oil types.<br>Personnel and equipment needed for implementing the identified response strategies are indicated.<br>Plan includes, or specifies, requirements to develop strategies and tactical details for high spill risk areas at local planning levels. | Response strategies are clearly stated consistent with applicable operating conditions and oil types.<br>Personnel and equipment needed for implementing the identified response strategies are indicated.<br>Plan includes, or specifies requirement to develop, local plans, detailed tactical plans (graphics, maps, equipment, and personnel) for priority areas within zones of high spill risk.<br>Detailed tactics indicate priorities and are appropriate for operating conditions. |
| Plan adheres to National Policy on use of treating agents for spill response (dispersants, cleaning agents, bioremediation agents, herders, etc.). | Plan adheres to National Policy on use of treating agents for spill response (dispersants, cleaning agents, bioremediation agents, herders, etc.). All products are listed.<br>Plan provides additional considerations for treating agents use (e.g., dispersants, cleaners) to allow assessment and approval within a reasonable “window of opportunity” (less than 12 hours).<br>Pre-approved zones have been delineated. Decision charts are available. | Plan adheres to National Policy on use of treating agents for spill response (dispersants, cleaning agents, bioremediation agents, herders, etc.). All products are listed.<br>Plan provides additional considerations for treating agents use (e.g., dispersants, cleaners) to allow assessment and approval within a reasonable “window of opportunity” (less than 12 hours).<br>Pre-approved zones have been delineated. Decision charts are available.<br>NEBA or SIMA have been completed for dispersants and other treating agents with clearly defined applicability and limitations, including subsea dispersant use as applicable.<br>Pre-approved locations and conditions of use are indicated. Expedited procedures are in place for approvals where NEBA/SIMA shows applicability. |
| Plan adheres to National Policy for use of in situ burning. | Plan adheres to National Policy on in situ burning.<br>Procedures are in place for evaluation and approval of burning within a reasonable “window-of-opportunity” (less than 24 hours).<br>The required elements of a burn plan are published that address all relevant factors. | Plan adheres to National Policy on in situ burning.<br>Procedures are in place for evaluation and approval of burning within a reasonable “window-of-opportunity” (less than 24 hours).<br>The required elements of a burn plan are published that address all relevant factors.<br>NEBA or SIMA have been completed for in situ burning with a clearly defined applicability, limitations, and approval process (may include pre-approval for specific conditions) as well as monitoring role.<br>Burn plan requirements are published with explanatory data on all relevant factors. Decision charts have been prepared. |
| Shoreline protection and treatment policies and procedures are outlined. | Shoreline protection and treatment are considered including planning factors for carrying out assessment and remediation (SCAT). | Shoreline protection and treatment policies are delineated that consider SCAT as well as specifics such as workforce, spill responder safety training, oily debris, oil removal, and cleanup standards (endpoints). |

| GOVERNMENT: AREA OR REGIONAL | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| **C: RESPONSE COORDINATION** | | |
| Clear procedures are included on information to report and who should receive initial spill notification and follow-up reports.<br><br>A spill reporting form is included.<br><br>A contact list specifies key personnel and alternates. | Clear procedure indicates information to report and who should receive initial spill notification and follow-up reports.<br>A spill reporting form is included.<br>A contact list specifies key personnel.<br>Initial spill notification checklists/forms are readily available.<br>Callout procedures include flow charts for internal, external parties with contact data. | Clear procedure indicates information to report and who should receive initial spill notification and follow-up reports.<br>A spill reporting form is included.<br>A contact list specifies key personnel.<br>Initial spill notification checklists/forms are readily available.<br>Redundant callout procedures are based on common checklists and/or forms.<br>Internal, external callout flow charts are in place.<br>A directory of internal, external contacts (primary and alternate) is immediately available. |
| Spill management structure and assigned organizations are defined for all spill Tiers, as appropriate. | A spill management structure and assigned organizations are defined for all spill tiers.<br>The spill management organization allows easy expansion and contraction of personnel in planning levels or tiers and integration with OSR organizations and plan holders. | A spill management structure and assigned organizations are defined for all spill tiers.<br>The spill management organization allows easy expansion and contraction of personnel in planning levels or tiers and integration with OSR organizations and plan holders.<br>The spill management organization is flexible, robust, and accommodates all emergencies.<br>A common incident management system is defined for all OSR plan holders and responding participants.<br>The system is based on sound management principles (e.g., ICS) and addresses regional responsibilities. |
| Roles and responsibilities for each functional aspect are identified for the OSR management organization. | Roles and responsibilities for each functional aspect are identified for the OSR management organization.<br>Responsibility checklists are available and defined for each role in the OSR management team. | Roles and responsibilities for each functional aspect are identified for the OSR management organization.<br>Responsibility checklists are available and defined for each role in the OSR management team.<br>OSR management personnel have responsibility/actions checklists for their personal use during response.<br>Checklists are available in the plan, at a Command Post, or maintained in individual OSR response kits. |
| Incident Command is assigned to one or two specific individuals (by name or position) with backups identified. | Incident Command is assigned to one or two specific individuals (by name or position) with backups identified.<br>Personnel/organizations appointed to a Unified or Joint Command are defined. Records of Joint or Unified Command meetings indicate working team.<br>Records of Joint or Unified Command meetings indicate working team. | Incident Command is assigned to specific individuals (by name or position) with backups identified.<br>Personnel appointed to, and in direct support of, a Unified or Joint Command are defined.<br>Records show regular pattern of Joint or Unified Command meetings, exercises, and/or response.<br>Specialist or contractor assistance is considered to augment the response capability. |
| Personnel assigned to OSR management roles are identified for Tier 1. | Personnel assigned to OSR management roles have been identified for Tier 1 and 2, as appropriate. | Personnel assigned to OSR management roles identified for Tiers 1- 3, as appropriate.<br>Sufficient trained personnel from local, contracted, and corporate sources are available to manage 24-hr extended worst-case spill (shifts). |

| GOVERNMENT: AREA OR REGIONAL | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Procedures are in place and responsibility has been assigned for communications with media during a spill response. | Procedures are in place and responsibility has been assigned for communications with media during a spill response.<br>A prepared draft press release is available for initial notice.<br>Person assigned to media has established contact with local media outlets. | Procedure in place and responsibility has been assigned for communications with media during a spill response.<br>Communications with media during a spill includes on-site visits.<br>A prepared draft press release is available for initial notice.<br>An assigned person is trained in media management and has worked with OSR command on public speaking and/or mock press conferences.<br>Person assigned to media has established contact with local media outlets. |
| Procedures are in place and responsibility has been assigned for liaison function with other relevant parties during a spill response. | Procedure in place and responsibility has been assigned for liaison function with internal and external government parties during a spill response.<br>Person(s) assigned to liaison role, or responsible agency, has list of key liaison contacts. | Procedures are in place and responsibility has been assigned for liaison function with internal and external government parties during a spill response.<br>Assigned person(s) or responsible agency has a comprehensive (and regularly updated) list of liaison contacts and has record of contact with key contacts.<br>Protocols are in place for internal communications, joint information sharing, information centers, authorized release of communications, and special websites.<br>Forms are included to request expertise, equipment, and materials.<br>Receiving and sending spill response assistance has been addressed. |
| Procedures are in place and responsibility has been assigned for communications with local communities. | Procedures are in place and responsibility has been assigned for communications with local communities.<br>Community liaison program and personnel maintain frequent contacts with communities at risk. | Procedures are in place and responsibility has been assigned for communications with local communities.<br>Community liaison program and personnel maintain frequent contacts with communities at risk.<br>Community education and training have been completed such that volunteer base is identified to support spill response efforts. |
| A response center has been established and equipped. | A response center with computer links and library/references is in place.<br>Regional options for command posts are listed. | A response center includes communications, meetings rooms, library/references, computer links, and accommodation.<br>Regional options for command posts are listed.<br>Regional options for command post locations have been inspected and verified for suitability. |
| **D: HEALTH, SAFETY & SECURITY** | | |
| Safety policies and regulations are in place to protect both the public and responders from spills.<br><br>Personal Protective Equipment (PPE) is available to responders. | Safety policies and regulations are in place to protect both the public and responders from spills.<br>Safety procedures and PPE for spill responders are in place and are actively enforced through on-site checks and in planning requirements.<br>On-scene controls address safety of OSR volunteers and the general public (e.g., air monitoring, fisheries closures). | Safety policies and regulations are in place to protect both the public and responders from spills.<br>Safety procedures and PPE for spill responders are in place and are actively enforced through on-site checks and in planning requirements.<br>On-scene controls address safety of OSR volunteers and the general public (e.g., air monitoring, fisheries closures).<br>International standards for responder safety are regulated, including requirements for hazard assessment, training, and on-site monitoring.<br>Specific requirements for safety training of volunteers are defined.<br>Penalties for non-compliance for training are clearly indicated and evidence of enforcement is available. |

| GOVERNMENT: AREA OR REGIONAL | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| A Designated Authority is defined to address and monitor on-site responder health and safety during response. | A competent Designated Authority has in place procedures and enforcement capacity to assess and define health and safety requirements for response personnel consistent with assignments. | A Designated Authority has trained competent personnel knowledgeable in procedures and with enforcement capacity to assess and define health and safety requirements for response personnel consistent with assignments. |
| A Designated Authority is defined to address and provide or augment site security during response. | A competent Designated Authority has procedures in place and enforcement capacity enabling it to assess and define security restrictions for a response area including air, water, and land access restrictions.<br>Arrangements with outside security (e.g., local or regional police force) have been reviewed on a pre-spill basis. | A competent Designated Authority has been assigned with a proven record of stipulating and enforcing security restrictions for a response area including air, water, or land access.<br>Security concerns that may pose a potential conflict with spill response (e.g., vandalism, bomb threats, terrorism, etc.) are identified in the contingency plan and procedures are identified to clearly resolve any such issues.<br>Arrangements with outside security (e.g., local or regional police force) have been reviewed on a pre-spill basis. |
| **E: OPERATIONAL RESPONSE** | | |
| Procedures are in place to minimize spill volumes through inspections of source control: transfers, emergency lightering, etc. | Procedures are in place to minimize spill volumes through inspections of source control: transfers, emergency lightering, etc.<br>Procedures are in place to minimize spill volumes through situational stabilization (e.g., rescue tugs, Places of refuge) and inspections of source control: transfers, emergency lightering, etc. | Procedures are in place to minimize spill volumes through inspections of source control: transfers, emergency lightering, etc.<br>Expedited, pre-approved or assigned resources are in place to minimize spill volumes through situational stabilization (e.g., rescue tugs, places of refuge) and regular inspections of source control: transfers, emergency lightering, etc. |
| Minimum equipment planning levels are defined for Tier 1 risks (most likely routine spills). | Minimum equipment planning levels are defined for Tier 1 risks (most likely routine spills).<br>Equipment levels and response times for Tiers 2 and 3, as appropriate, are generally defined for distinct potential spill source operations (terminals, pipelines, wells, etc.) | Minimum equipment planning levels are defined for Tier 1 risks (most likely routine spills).<br>Equipment levels and response times for Tiers 2 and 3, as appropriate, are generally defined for distinct potential spill source operations (terminals, pipelines, wells, etc.).<br>Guidelines for appropriate equipment and manpower levels are defined for Tiers 1 through 3, as appropriate, and require a Best Available Technology assessment on a recurrent basis. Mobilization of operations is considered. |
| A list of locations and general amounts and types of OSR equipment is available. | A detailed listing or database of locations, amounts, and types of OSR equipment is maintained and updated on a scheduled basis.<br>Procedures for access to oil industry equipment by the government are summarized in the plan. | A comprehensive database of locations, amounts, and types of OSR equipment is maintained with consistent information on all OSR resources (industry and government).<br>Equipment inspections and evaluations are performed on a scheduled basis in relation to Best Available Technology criteria and the database updated accordingly.<br>Mechanical recovery, treating agents (dispersants, cleaners, herders, etc.), and in situ burning are considered as components of equipment inventories.<br>Contracts and/or protocols with response contractors (or networks) have been signed (or integrated in the Regional Contingency Plan through the National Contingency Plan). |

| GOVERNMENT: AREA OR REGIONAL | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Equipment locations are identified and secured. | Equipment locations are identified and secured.<br>Equipment locations are distributed to allow quick response to key spill risk locations. | Equipment locations are identified, secured, and distributed to allow response within defined mobilization and transit times to key spill risk locations from possible staging areas.<br>Pre-deployed equipment or permanently installed tertiary containment is in place. |
| Operational use of countermeasures is verified in an annual spill exercise. | Operational use of countermeasures verified in annual drill.<br>Countermeasures including containment, skimming, dispersant application verified and reviewed in exercises and drills. | Countermeasures including containment, skimming, dispersant application verified and reviewed in exercises and drills.<br>All major countermeasures are tested twice annually.<br>Upgraded or new response options are identified and considered in response enhancement.<br>Applicable response options can be implemented by Designated Authority including mechanical, treating agent, in situ burning, and shoreline treatment. |
| A Waste Management Plan has been outlined. | Procedures are defined and adopted to minimize the potential waste streams, temporarily handle waste, and ultimately reuse or dispose of waste materials. | Procedures are defined and adopted to minimize the potential waste streams, temporarily handle waste, and ultimately reuse or dispose of waste materials including debris.<br>A template Waste Management Plan is in place.<br>Intermediate and long-term storage options and associated criteria are defined. |
| Wildlife recovery contacts are included. | Wildlife recovery and rehabilitation is assigned to a Designated Authority or entity.<br>Wildlife recovery contacts are included.<br>Policies and procedures are in place to mobilize and establish wildlife response facilities for spills. | Wildlife recovery and rehabilitation is assigned to a Designated Authority or entity.<br>Wildlife recovery contacts are included.<br>Policies and procedures are in place and have been tested to mobilize and establish wildlife response facilities for spills.<br>Restoration and post-spill monitoring are indicated with lead and support agencies specified.<br>International best practices have been adopted for wildlife response and personnel have been trained accordingly. |
| Restoration and post-spill monitoring are indicated. | Restoration and post-spill monitoring are indicated with lead and support agencies specified. | Follow-up studies of impacts and cleanup are anticipated, and sources of funding and expertise noted. |
| **F: TRACKING, ASSESSMENT & INFORMATION MANAGEMENT** | | |
| Role or assignment is defined in OSR management to undertake spill tracking, including monitoring. | Role or assignment is defined in OSR management to undertake spill tracking, including monitoring.<br>Standardized procedures are in place to provide tracking and monitoring of a spill (on water, land, groundwater).<br>Expertise and resources are available to undertake tracking. | Role or assignment is defined in OSR management to undertake spill tracking, including monitoring.<br>Standardized procedures are in place to provide tracking and monitoring of a spill (on water, land, groundwater).<br>Expertise and resources are available to undertake tracking.<br>Tracking systems including satellites, drones, and Best Available Technology for non-visual tracking are identified and available (e.g., satellite; IR for night and low visibility conditions; laser fluorosensors, radar systems, tracking buoys; detecting oil under dense foliage). |

| GOVERNMENT: AREA OR REGIONAL | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Forms, maps or charts are available for maintaining records of spill track and movement. | Forms, maps or charts are available for maintaining records of spill track and movement.<br>Computerized models are available and can be used to analyze and forecast spill trajectories and weathering.<br>Resources and expertise are identified. | Forms, maps or charts are available for maintaining records of spill track and movement.<br>Computerized models are available that can be used to analyze spill trajectories and weathering for all appropriate situations (e.g., spills on water, into rivers, in groundwater, originating in deep offshore, etc.).<br>Resources and expertise are identified.<br>Modeling is integrated with GIS databases for OSR planning.<br>Mechanism is in place for Common Operating Picture (COP) displays. |
| Oiling assessment, mapping, and cleanup technique advice are assigned to agency or team. | Oiling assessment, mapping, and cleanup technique advice are assigned to agency or team.<br>Oiling assessment, mapping, and cleanup technique teams are trained, available 24/7, and have the tools needed to input advice for cleanup priorities and operations. | Oiling assessment, mapping, and cleanup technique advice are assigned to agency or team.<br>Oiling assessment, mapping, and cleanup technique teams are trained, available 24/7, and have the Best Available Technologies (e.g., digital maps, GIS, SCAT Data Coordinator, etc.) for advising on cleanup priorities and operations.<br>Agencies with remote sensing equipment are noted along with their instrumentation. |
| **G: LOGISTICS** | | |
| Key logistical support providers and capabilities are identified. | Key logistical support providers and capabilities are identified.<br>Terms and conditions for mobilizing, and costs, are established on a pre-spill basis and reviewed periodically. | Key logistical support providers and capabilities are identified.<br>Terms and conditions for mobilizing, and costs, are established on a pre-spill basis and are reviewed periodically.<br>Key logistical support providers and capabilities are tested periodically. |
| Service providers for meals, transportation (including oily waste transport), portable camps and toilets are identified. | Service providers for meals, transportation (including oily waste transport), portable camps and toilets are identified.<br>Regional sources for logistical support have been contracted on a pre-spill basis. | Service providers for meals, transportation (including oily waste transport), portable camps and toilets have been contracted on pre-spill basis and are exercised.<br>Sources for logistical supplies, support services, and materials are updated on an annual basis in plan. |
| Response times for initial deployment have been identified and tested. | Response times for initial deployment have been identified and tested.<br>Initial deployments have been tested and improved. | Response times for initial deployment have been identified and tested.<br>Initial deployments have been tested and improved.<br>Deployments are exercised with neighboring facilities. |
| Assets and procedures for communications in field and between field and Command Post are in place. | Assets and procedures for communications in field and between field and Command Post are in place.<br>Communications equipment is on hand and secondary or backup systems are identified. | Assets and procedures for communications in field and between field and Command Post are in place.<br>Communications equipment is on hand and secondary or backup systems are identified.<br>Communications plan is in place with pre-identified channels for responders.<br>Communications equipment and procedures are periodically tested. |

| GOVERNMENT: AREA OR REGIONAL | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Policies are defined across geopolitical lines to streamline transport and delivery of personnel and equipment and for movement of temporary waste in accordance with applicable regulations. | Procedures are in place across geopolitical lines to streamline transport and delivery of personnel and equipment and for movement of temporary waste in accordance with applicable regulations. | Procedures are in place across geopolitical lines to streamline transport and delivery of personnel and equipment and for movement of temporary waste in accordance with applicable regulations.<br>Periodic exercises are conducted to test and streamline mobilization procedures.<br>Key liaison agencies (or personnel) are identified to help with cross-border geopolitical- movements.<br>Agencies that issue permits for specific OSR activities are listed, e.g., for hazardous material transport, dispersants, in situ burning, land access, waste disposal, etc. |
| The availability of decontamination facilities is ensured for personnel leaving the spill site. | Equipment and personnel for multiple stations are prepared and available for immediate deployment to support decontamination of personnel, response equipment, and transportation assets (e.g., vehicles, vessels). | Equipment and personnel for multiple stations are prepared and available for immediate deployment to support decontamination of personnel, response equipment, and transportation assets (e.g., vehicles, vessels).<br>"Hot" and "cold" zones are defined for OSR and are maintained by defined corridors in and out of the spill zone.<br>Sources for additional PPE and supplies are pre-determined. |
| **H: FINANCIAL AND ADMINISTRATIVE CONSIDERATIONS** | | |
| An emergency fund is available to enable immediate response actions. | An emergency fund is available to enable immediate response actions.<br>Participating authorities have established financial tracking systems for roles in spill emergency response.<br>Finance/administrative personnel have an understanding of procedures for resource ordering, purchasing, and cost tracking for emergencies. | An emergency fund is available to enable immediate response actions.<br>Participating authorities have established financial tracking systems for roles in spill emergency response.<br>Finance/administrative personnel are versed in emergency resource ordering, purchasing, and cost tracking and forecasting as well as compensating individuals and organizations for expenses. |
| Procedures are in place to receive claims. | Procedures are in place to receive, investigate, and resolve claims.<br>Financial personnel have contact information for oil pollution Insurers and funds (IOPC), as appropriate. | Claims filing and a tracking system have been implemented.<br>Finance/Admin personnel have established document control system for receipt and processing of claims.<br>Procedures are in place to receive, investigate, and resolve claims.<br>Financial personnel have contact information for oil pollution Insurers and funds (IOPC), as appropriate.<br>Coordinated procedures exist with insurers/funds to expedite claim review and settlement process with international compensation schemes outlined as well as access to funds including P&I Clubs and relevant regional and international conventions/agreements. |
| Legal aspects have been considered including sampling/ collecting evidence, taking statements, and mechanisms for settling disputes and claims. | Procedures are defined for legal matters including sampling/ collecting evidence, records-keeping for Unified/Joint Command, taking statements, and mechanisms for settling disputes and claims.<br>Illegal discharges are specified. | Procedures are defined for legal matters including sampling/collecting evidence, records-keeping for Unified/Joint Command, taking statements, and mechanisms for settling disputes and claims.<br>Illegal discharges are specified.<br>Legal support roles have been assigned within participating agencies and assigned personnel are trained and versed in OSR issues. |

| GOVERNMENT: AREA OR REGIONAL | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| **I: TRAINING & EXERCISES** | | |
| Minimum initial and refresher Health & Safety training requirements are defined for spill management and responders. | Minimum initial and refresher training requirements, including Health & Safety, are defined for spill management and responders.<br>Requirements for training records are defined and records are subject to verification. | Minimum initial and refresher training requirements, including Health & Safety, are defined for spill management and responders.<br>Requirements for training records are defined and records are subject to verification.<br>Designated Authority ensures through inspection or record-keeping that minimum initial and refresher training requirements, including Health & Safety, are completed for spill management and responders. The Designated Authority can ensure enforcement of training requirements. |
| Regular training courses are provided on OSCPs to assigned OSR management and lead response personnel. | Regular training courses are provided on OSCPs to assigned OSR management and lead response personnel.<br>Designated personnel for lead and participating OSR authorities have received detailed training on OSCPs, roles and responsibilities, incident management system (e.g., ICS), and procedures for implementing duties during a response. | Regular training courses are provided on OSCPs to assigned OSR management and lead response personnel.<br>Designated personnel for lead and participating OSR authorities have received detailed and refresher training on OSCPs, roles and responsibilities, and procedures for implementing duties during a response.<br>Multi-agency training includes intergovernmental and industry initiatives. |
| In-house spill training courses are given. | In-house spill training courses are given.<br>Contracted specialists provide spill training courses. | In-house spill training courses are given.<br>Contracted specialists provide spill training courses.<br>Contracted internationally-recognized or accredited spill training with course outlines and schedules specified. |
| Training records for designated personnel document compliance with required training. | Training records document compliance with defined training and includes training materials. Training is provided by qualified personnel. | Training records document compliance with defined training and includes training materials; training is provided by qualified personnel.<br>Training is provided by certified and/or qualified experts. |
| Notification and Alerting Exercises are conducted frequently (2 to 4 times per year) and are required of plan holders. | Records document that notification and alerting exercises are conducted frequently (2 to 4 times per year) and are required of plan holders.<br>Notification and alerting exercises are documented.<br>Notification exercises include off-hours; Internal-External alerting; and Government-Industry, where appropriate. | Records document that notification and alerting exercises are conducted frequently (2 to 4 times per year) and are required of plan holders.<br>Notification and alerting exercises are documented.<br>Notification exercises include off-hours; Internal-External alerting; and Government-Industry, where appropriate.<br>Communications systems (land, air, sea, and cross-agency/industry) are in place and tested. |
| Regular joint (Government-Industry) deployment exercises are required and held from Regional or multiple in-region response depots. | Deployment exercises are required and held jointly to include Regional or multiple in-region response depots and Industry. | Multi-location deployment exercises (e.g., Tier 2 or 3) are required and held jointly to test and coordinate National, Regional, and Industry joint capabilities. |

| GOVERNMENT: AREA OR REGIONAL | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Tabletop (Response Management) Exercises are required and held at prescribed frequency (1-2 times per year). | Tabletop (Response Management) Exercises are required and held at prescribed frequency (1-2 times per year).<br>Tabletop (Response Management) Exercises include external parties.<br>Exercises plans are well-developed.<br>A standard approach for exercise evaluation is in place that allows ready implementation of changes. | Tabletop (Response Management) Exercises are required and held at prescribed frequency (1-2 times per year).<br>Tabletop (Response Management) Exercises include international authorities (as appropriate).<br>Exercises plans are well-developed.<br>Tabletop exercises based on risk assessments address distinct situations and environmental factors and are combined with industry exercises.<br>A standard approach for exercise evaluation is in place that allows ready implementation of changes.<br>Exercises are audited and evaluated by professional or experienced third-party OSR experts. Changes are implemented as needed. |
| Courses to be attended by government personnel are listed. | Courses to be attended by government personnel are listed.<br>Courses are attended by government personnel including for example Incident Management System, basic spill response, dispersant application, shoreline treatment (SCAT), in situ burning, and waste management. | Courses to be attended by government personnel are listed.<br>Courses are attended by government and industry personnel including for example Incident Management System, basic spill response, dispersant application, shoreline treatment (SCAT), in situ burning, and waste management.<br>Records show that designated response personnel (management and operational) receive recurrent or refresher training. |
| **J: SUSTAINABILITY & IMPROVEMENT** | | |
| Regular exercise critique (plan and execution) recommends actions for continuous OSR improvements including prevention programs.<br>Exercise oversight role is specified as appropriate for specific agencies | Regular exercise critique (plan and execution) recommends actions for continuous OSR improvements including prevention programs.<br>Exercises are reviewed internally.<br>Recommendations from exercise evaluations (equipment deployment, tabletops) are implemented and tracked including prevention programs.<br>An exercise oversight role is specified for specific agencies and a schedule of exercise requirements is noted. | Regular exercise critique (plan and execution) recommends actions for continuous OSR improvements including prevention programs.<br>Exercises are reviewed internally.<br>An external review supplements internal critique for both exercises and actual spills.<br>Recommendations from exercise evaluations (equipment deployment, tabletops) are implemented and tracked including prevention programs.<br>Steps taken for additional improvements are documented including prevention programs.<br>Designated Authority for Regional or Area Plan tracks changes until implemented.<br>Exercise oversight roles are specified as appropriate and schedule of exercise requirements noted. |
| Regional Team or Work Groups are assigned to review and recommend OSR enhancements. | Regional Team or Work Group meets at least annually to review OSR plans and readiness and make recommendations that have a record of actions and implementation. | Regional Team or Work Group meets at least annually to review OSR plans and readiness and make recommendations that have a record of actions and implementation.<br>Internal-External / Experts work with Regional Team or Work Groups to undertake audits and provide recommendations.<br>Responsibilities are assigned to implement changes. Changes are reviewed and approved. |

| GOVERNMENT: AREA OR REGIONAL | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Post-Spill Evaluation and Revisions to Plan are documented. | Post-Spill Evaluation and Revisions to Plan are documented.<br>Plan and equipment improvements are made as needed. | Post-Spill Evaluation and Revisions to Plan are documented.<br>Plan and equipment improvements are made and included in planning and conducting subsequent training.<br>Personnel and OSR equipment needs are also addressed.<br>Changes are adopted for oil-related transportation, exploration, and production systems as determined by review processes as these relate to preventative measures and safeguards.<br>There is communication with other regions and participation in global actions (e.g., forums). |
| Research and development is promoted to improve countermeasures such as mechanical recovery, treating agent application, shoreline treatment, in situ burning and remote sensing. | Research and development programs are funded to improve countermeasures such as mechanical recovery, treating agent application, shoreline treatment, in situ burning and remote sensing. | Research and development programs are funded to improve countermeasures such as mechanical recovery, treating agent application, shoreline treatment, in situ burning and remote sensing.<br>Research and development programs are carried out by various agencies to improve countermeasures such as mechanical recovery, treating agent application, shoreline treatment, in situ burning and remote sensing.<br>Environmental data are reviewed, updated, and compiled for resources at risk. |
| An enforcement role is specified is specified or defined for a specific government authority. | An enforcement role is specified.<br>Personnel and resources are allocated to carry out enforcement role. | An enforcement role is specified.<br>Personnel and resources are allocated to carry out enforcement role.<br>An enforcement program is implemented and evaluated to allow its effective application. |

# 7 Government: National/International

## 7.1 Description of Scope

National government plans addressing national legislation, regulatory bodies and authorities, and multi-agency roles. This scope also includes International OSR programs such as bilateral plans that provide for enhanced response and assistance.

*Examples:*

- National
- Bi-lateral
- International/Regional

Key features of this scope are the broad geographic coverage of plans and the setting of the policies and requirements for more detailed planning and readiness. National readiness for many countries represents its autonomous capability to deal with multiple worst-case situations.

## 7.2 Concept of Levels

The assessment process is conducted specifically by using RETOS™, which reflects the detailed assessment criteria listed in Table 7 (highlighted in yellow are the critical criteria, only applicable to Level A); however, a separate checklist is provided in RETOS™ for each LEVEL.

The use of three levels for the assessment of this scope does not reflect national political policies, planning levels, or risk. The level of commitment for time and effort to ensure best practices in OSR plans and readiness will be very different for small countries with limited spills and environmental risks relative to large or developed countries with higher spill risks and/or environmental or socioeconomic exposure. As stated earlier (Chapter 2.5), the user should select a target level (Level A as a default) against which to assess the OSR capability. **For each Category/Element, the criteria established for Level B add to those criteria for Level A, and the criteria established for Level C add to those for Levels A and B.**

**ASSESSMENT LEVELS do not correspond to Tiers, in the OSR planning sense.** Rather, an Assessment Level indicates the maturity of that program. For example, a National or International Program (which typically prepares for a Tier 3 response) may be in the early stages of development and implementation, in which case the assessment would be performed at a Level A.

## 7.3 Notes on OSR Categories Applicable to National OSR Programs

The regulatory aspects of the National plan typically define planning and readiness requirements for secondary geopolitical areas (States, Provinces, or Departments) and for industry. Major focus is on government preparedness for Tiers 2 and 3, as well as international assistance. Response preparedness typically entails policy and management perspectives and integrates multiple regional or area capabilities into a larger comprehensive response program.

**Table 7** - *Criteria Matrix for OSR Assessment- SCOPE: Government: National/International*

| GOVERNMENT: NATIONAL/INTERNATIONAL | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| **A: LEGISLATION, REGULATIONS & AGREEMENTS** | | |
| National legislation stipulates requirements for OSR and assigns responsibilities.<br><br>Designated Authority (also referred to as Competent National Authority or Lead Agency) is indicated (see also B1 Contingency Planning). | National legislation stipulates requirements for OSR and assigns responsibilities.<br>National legislation addresses passing tankers, innocent passage, and non-petroleum specific activities (e.g., non-tank vessels, power utilities, transportation).<br>Designated Authority(ies) for distinct spill situations are clearly defined and support agencies are indicated (see also B Contingency Planning). | National legislation stipulates requirements for OSR and assigns responsibilities.<br>National legislation addresses passing tankers, innocent passage, and non-petroleum specific activities (e.g., non-tank vessels, power utilities, transportation).<br>Designated Authority(ies) for distinct spill situations are clearly defined and support agencies are indicated (see also B Contingency Planning).<br>Lead and support agencies are indicated including weather and marine forecasting capability.<br>Roles of other agencies and response contractors (or networks) are also assigned (see also B Contingency Planning) and interagency agreements, guidelines and laws listed.<br>Relation to private industry is also defined. |
| Acts, regulations and guidelines support legislation. | Acts, regulations and guidelines support legislation with defined timeframes and specific requirements for compliance. | Acts, regulations, and guidelines support legislation with defined timeframes and specific requirements for compliance, and enforcement measures or penalties for noncompliance.<br>Regulations specify National authorities for response (operational) action and for planning, review and approvals, and prescribed planning requirements.<br>Areas of jurisdiction defined, e.g., vessels, ports, platforms, SPMs, etc. (see also B1 Contingency Planning). |
| Country has ratified international agreements and conventions for oil spill response and meets the requirements of the conventions. | Country has ratified international and regional agreements and conventions for oil spill response and meets the requirements of the conventions.<br>Country is actively engaged in bilateral and international OSR efforts with neighboring countries. | Country has ratified international and regional agreements and conventions for oil spill response and meets the requirements of the conventions.<br>Requirements of the conventions include MARPOL and OPRC-90 as well as the 1992 CLC and Fund Convention and Cartagena Convention.<br>Country has bi-national OSR plans with neighboring countries and has actively engaged developing enhanced response through joint exercises, training, and workshops. Linkage to other national plans specified.<br>Expertise and information are exchanged with neighboring countries on a regular basis. |
| **B: OIL SPILL CONTINGENCY PLANNING** | | |
| National Plan has been developed and approved; identifies Designated Authority for oil spill response (and/or defines authority for specific spill cases; e.g., spill to land vs. spill to marine waters). | National Plan has been developed and approved; identifies Designated Authority for oil spill response (and/or defines authority for specific spill cases; e.g., spill to land vs. spill to marine waters).<br>Approved National Plan has been developed through partnership with collaborating agencies/departments with associated responsibilities.<br>Joint government and industry initiatives are in place for spill preparedness. | National Plan has been developed and approved; identifies Designated Authority for oil spill response (and/or defines authority for specific spill cases; e.g., spill to land vs. spill to marine waters).<br>Approved National Plan has been developed through partnership with collaborating agencies/departments with associated responsibilities.<br>Approved National Plan has history of development, testing, and revision with distribution to all responsible participating agencies/departments.<br>Designated Authority and roles/responsibilities of participating agencies are defined.<br>Relationship of National Plan with private industry is also indicated. |

| GOVERNMENT: NATIONAL/INTERNATIONAL | | |
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| **Level A** | **Level B** | **Level C** |
| Contents of National Plan(s) meet all of the HIGH importance/ significant planning elements defined in the 2023 International Guide. | Contents of National Plan(s) meet all of the HIGH and MEDIUM importance/significant planning elements defined in the 2023 International Guide. | Contents of National Plan(s) meet and exceed all of the planning elements defined in the 2023 International Guide. |
| Drafts of national or international plans are available. | Approved national or international plans are available and have been tested through exercises and/or an actual response. | Approved national or international plans are well established, have been tested through exercises and/ or an actual response, and have history of review and development. |
| Applicable and related government plans (multilateral, area, and local) are identified. | Relationship with other government plans (multilateral, area, and local) are identified and described. | Contents and format for local/facility/shipboard/area or regional plans are specified.<br>Relationship with other government plans (multilateral, area, and local) are identified and described.<br>Signed written agreements are in place for multilateral response.<br>Equipment inventories are indicated as applicable. |
| Expertise (agency/personnel) for OSR-related issues is listed. | Expertise (agency/personnel) for OSR-related issues is listed.<br>Regional and national experts are listed and have knowledge of the OSR plan and scope. | Expertise (agency/personnel) for OSR-related issues is listed.<br>Regional and national experts are listed and have knowledge of the OSR plan and scope.<br>Contracts or agreements are in place with OSR experts in specialized fields who have participated in planning and exercises. |
| The plan has been reviewed or revised in the past year.<br>Key contacts are updated to reflect changes. | A revision log and dated pages documenting reviews and/or revisions has been updated within the past year. | A revision log and dated pages documenting reviews/ revisions as per update procedures, including plan implementation following actual spills, are updated at least annually.<br>Spill risks area re-assessed regularly.<br>Post-incident reviews are included. |
| National plan designates planning levels based on spill risk analysis. | National plan designates planning levels based on spill risk analysis.<br>Risk-based approach is used to define priority areas of potential spills based on operations, volumes, and environmental factors.<br>National or international statistical data are used to define scope and/or define planning tiers or concepts. | National plan designates planning levels based on spill risk analysis.<br>Risk-based approach is used to define priority areas of potential spills based on operations, volumes, and environmental factors.<br>Risk-based approach includes mapping and list of species of concern. |

| GOVERNMENT: NATIONAL/INTERNATIONAL | | |
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| **Level A** | **Level B** | **Level C** |
| Priority planning is focused on areas of high risk and environmental sensitivity. | Priority planning is focused on areas of high risk and environmental sensitivity.<br>At-risk spill areas are defined based on spill trajectories for worst-case spills.<br>Relevant properties of oils of concern are indicated.<br>Trajectories consider prevailing and worst-case operating conditions.<br>Graphics indicate species at risk. | Priority planning is focused on areas of high risk and environmental sensitivity.<br>At-risk spill areas are defined based on spill trajectories for worst-case spills.<br>Relevant properties of oils of concern are indicated.<br>Trajectories consider prevailing and worst-case operating conditions.<br>Graphics indicate species at risk.<br>Trajectories reflect oils of concern and specific product weathering rates, tiered volumes, local climatology, oceanography, and seasonal conditions.<br>Stochastic and worst-case trajectories shown in scenarios are basis for response planning.<br>Organizations and/or companies supplying specific data (oil properties, weather, environmental, etc.) are listed. |
| National plan specifies requirements for defining sensitive areas and priorities.<br>Threatened and endangered species at risk are listed. | National plan specifies requirements for defining sensitive areas and priorities.<br>Country has maps and lists of priority sensitive areas with species and timing of sensitivities clearly identified.<br>Maps generally adhere to sensitivity indexing practices. | National plan specifies requirements for defining sensitive areas and priorities.<br>Country has maps and lists of priority sensitive areas with species and timing of sensitivities clearly identified.<br>Maps generally adhere to sensitivity indexing practices.<br>Sensitive areas mapping and resources at risk according to multiple levels of concern are clearly presented, widely available to other plan holders, and are kept up to date in GIS systems.<br>An inventory of all shorelines and associated resources and amenities is prepared, including for example, endangered species wetlands, recreational facilities, mariculture, and archeological sites. |
| Policies and/or regulations are in place to reduce the risk and/or consequences of a spill. | Policies and/or regulations are in place to reduce the risk and/or consequences of a spill.<br>Regulations provide clear guidance for spill prevention and are enforced to reduce accidents and to minimize oil loss if an incident occurs. | Policies and/or regulations are in place to reduce the risk and/or consequences of a spill.<br>Regulations provide clear guidance for spill prevention and are enforced to reduce accidents and to minimize oil loss if an incident occurs.<br>Trends, sources, causes of spills (vessel traffic, transfer, production, exploration, collision, groundings) are documented and provide additional foundation for required prevention measures.<br>Spill prevention programs are detailed. These include a list of criteria for determining sensitive areas and zones requiring protection. |
| Response strategies are clearly stated and provide for response to applicable operating conditions and oil types.<br>Personnel and equipment needs to implement identified response strategies are indicated. | Response strategies are clearly stated and provide for response to applicable operating conditions and oil types.<br>The need to address OSR personnel and equipment is indicated.<br>Plan includes, or specifies, requirements to develop strategies and tactical details for high spill risk areas at area or local planning levels, including equipment and personnel needs. | Response strategies are clearly stated and provide for response to applicable operating conditions and oil types.<br>The need to address OSR personnel and equipment is indicated.<br>Plan includes, or specifies, requirement to develop in-area or local plans, detailed tactical plans (graphics, maps, personnel, and equipment) for priority areas within zones of high spill risk.<br>Detailed tactics have indication of priority and are appropriate for operating conditions. |

| GOVERNMENT: NATIONAL/INTERNATIONAL | | |
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| **Level A** | **Level B** | **Level C** |
| National, and multilateral (if applicable), plan provides policy on use of treating agents for spill response (dispersants, cleaning agents, bioremediation agents, herders, etc.). | National, and multilateral (if applicable), plan provides policy on use of treating agents for spill response (dispersants, cleaning agents, bioremediation agents, herders, etc.).<br>A process for use of treating agents, such as dispersants, is in place so that these can be assessed and approved within a reasonable "window of opportunity" (less than 12 hours). | National, and multilateral (if applicable), plan provides policy on use of treating agents for spill response (dispersants, cleaning agents, bioremediation agents, herders, etc.).<br>A process for use of treating agents, such as dispersants, is in place so that these can be assessed and approved within a reasonable "window of opportunity" (less than 12 hours).<br>NEBA or SIMA has been completed for dispersants and other treating agents with clearly defined applicability and limitations.<br>Pre-approved locations and conditions of dispersant use are indicated, as well as a monitoring program.<br>Expedited procedures are in place for approvals where NEBA/SIMA shows applicability.<br>A list of approved dispersants and other treating agents is updated annually. |
| A policy for the implementation of in situ burning is clearly defined. | A policy for the implementation of in situ burning is clearly defined.<br>Procedures are in place to evaluate and approve in situ burning within a reasonable "window-of-opportunity" (less than 12 hours).<br>The required elements of a burn plan are published which address all relevant factors. | NEBA/SIMA has been completed for in situ burning with clearly defined applicability, limitations, and approval process (may include pre-approval for specific conditions) as well as a monitoring program.<br>A policy for the implementation of in situ burning is clearly defined.<br>Procedures are in place to evaluate and approve in situ burning within a reasonable "window-of-opportunity" (less than 12 hours).<br>The required elements of a burn plan are published which address all relevant factors.<br>In situ burn plan requirements are published with explanatory data on all relevant factors. |
| Shoreline protection and cleanup policies (e.g., agencies, procedures such as NEBA) are outlined. | Shoreline protection and cleanup policies are outlined.<br>Shoreline protection and treatment are considered that include planning factors for carrying out assessment and remediation (SCAT). | Shoreline protection and cleanup policies are outlined.<br>Shoreline protection and treatment are considered that include planning factors for carrying out assessment and remediation (SCAT).<br>Shoreline protection and treatment policies are defined that consider SCAT as well as specifics such as workforce, spill responder safety training, debris, oil removal, and cleanup standards (endpoints). |
| **C: RESPONSE COORDINATION** | | |
| A clear procedure is presented on information to report and who should receive initial spill notification and follow-up reports.<br><br>A spill reporting form is included as well as a contact list with key personnel. | A clear procedure is presented on information to report and who should receive initial spill notification and follow-up reports.<br>A spill reporting form is included as well as a contact list with key personnel.<br>Initial spill notification checklists/forms are readily available.<br>Callout procedures include flow charts for internal, external parties with contact data. | A clear procedure is presented on information to report and who should receive initial spill notification and follow-up reports.<br>A spill reporting form is included as well as a contact list with key personnel.<br>Initial spill notification checklists/forms are readily available.<br>Callout procedures include flow charts for internal, external parties with contact data.<br>Redundant callout procedures are based on common checklists and/or forms.<br>Internal, external callout flow charts are in place.<br>A directory of internal, external contacts (primary and alternate) is immediately available. |

| GOVERNMENT: NATIONAL/INTERNATIONAL | | |
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| **Level A** | **Level B** | **Level C** |
| The spill management structure and assigned organizations are defined for all spill tiers. | The spill management structure and assigned organizations are defined for all spill tiers.<br>The spill management organization allows easy expansion and contraction of personnel in planning levels or tiers and integration with OSR organizations and plan holders. | The spill management structure and assigned organizations are defined for all spill tiers.<br>The spill management organization allows easy expansion and contraction of personnel in planning levels or tiers and integration with OSR organizations and plan holders.<br>The spill management organization is flexible and robust and accommodates all emergencies.<br>A common incident management system is defined for all OSR plan holders and responding participants.<br>The spill management system is based on a sound Incident Management System (e.g., ICS) and addresses regional responsibilities. |
| Roles and responsibilities are evident for each functional aspect identified in the OSR management organization. | Roles and responsibilities are evident for each functional aspect identified in the OSR management organization.<br>Responsibility checklists are available and defined for each role in the OSR management team. | Roles and responsibilities are evident for each functional aspect identified in the OSR management organization.<br>Responsibility checklists are available and defined for each role in the OSR management team.<br>OSR management personnel have checklists for their personal use during response.<br>Checklists are available in the plan, at a Command Post, or maintained in individual OSR response kits. |
| Incident Command is assigned to one or two specific individuals (by name or position) with backups identified. | Incident Command is assigned to one or two specific individuals (by name or position) with backups identified.<br>Personnel appointed to a Unified or Joint Command are defined.<br>Records of Joint or Unified Command meetings indicate the working team. | Incident Command is assigned to one or two specific individuals (by name or position) with backups identified.<br>Personnel appointed to a Unified or Joint Command are defined.<br>Records of Joint or Unified Command meetings indicate the working team.<br>Records show regular pattern of Joint or Unified Command meetings, exercises, and/or response.<br>Specialist or contractor assistance is considered to augment the response capability. |
| Personnel assigned to OSR management roles are identified for Tier 1. | Personnel assigned to OSR management roles identified for Tier 1 and 2, as appropriate. | Personnel assigned to OSR management roles are identified for Tiers 1 – 3, as appropriate.<br>Sufficient trained personnel are identified from local, regional, and national sources to manage a 24-hr extended worst-case spill (shifts). |
| Procedures are in place and responsibility has been assigned for communications with media and local communities during a spill response. | Procedures are in place and responsibility has been assigned for communications with media and local communities during a spill response.<br>A prepared draft press release is available for initial notice.<br>An assigned person has established contact with local media outlets. | Procedures are in place and responsibility has been assigned for communications with media and local communities during a spill response.<br>A prepared draft press release is available for initial notice.<br>An assigned person has established contact with local media outlets.<br>Assigned media person is trained in media management and has worked with OSR command on public speaking and/or mock press conferences.<br>An assigned person has established contact with local media, is trained in media management, and has worked with OSR command on public speaking and/or mock press conferences. |

| GOVERNMENT: NATIONAL/INTERNATIONAL | | |
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| **Level A** | **Level B** | **Level C** |
| Procedures are in place and responsibility has been assigned for liaison function with other authorities or government parties during a spill response. | Procedures are in place and responsibility has been assigned for liaison function with other authorities or government parties during a spill response.<br>Internal and external government parties are included in liaison program.<br>Assigned person or responsible agency has list of key liaison contacts. | Procedures are in place and responsibility has been assigned for liaison function with other authorities or government parties during a spill response.<br>Internal and external government parties are included in liaison program.<br>Person(s) or responsible agency assigned for Liaison has a comprehensive list of liaison contacts and has record of contact with key contacts.<br>Protocols are in place for internal communications, joint information sharing, information centers, authorized release of communications, and special websites.<br>Forms are included to request expertise, equipment, and materials.<br>Receiving and sending spill response assistance have been addressed. |
| Procedures are in place and responsibility has been assigned for communications with local communities. | Procedures are in place and responsibility has been assigned for communications with local communities.<br>Community liaison program and personnel maintain frequent contacts with communities at risk. | Procedures are in place and responsibility has been assigned for communications with local communities.<br>A community liaison program and personnel maintain frequent contacts with communities at risk.<br>Community education and training have been completed such that a volunteer base is identified to support spill response efforts. |
| A response center has been established. | National and Regional response centers are established, as appropriate.<br>Response centers include computer links and library/ references. | National and Regional response centers are established, as appropriate.<br>Redundant National and Regional response centers include communications, meetings rooms, library/ references, computer links, and accommodation. |
| **D: HEALTH, SAFETY & SECURITY** | | |
| Safety policies and regulations are in place for protecting both the public and responders from spills. | Safety policies and regulations are in place for protecting both the public and responders from spills.<br>Safety regulations for spill responders are in place and are actively enforced through on-site checks and in planning requirements.<br>On-scene controls address safety of volunteers for response. | Safety policies and regulations are in place for protecting both the public and responders from spills.<br>Safety regulations for spill responders are in place and are actively enforced through on-site checks and in planning requirements.<br>International standards for responder safety are regulated, including requirements for hazard assessment, training, and on-site monitoring.<br>Specific requirements for safety training of volunteers are outlined.<br>Penalties for non-compliance with safety training for OSR are clearly defined and evidence of enforcement is available. |
| A Designated Authority is defined to address and monitor site safety during response. | A Designated Authority is defined to address and monitor site safety during response.<br>A competent Designated Authority has in place procedures and enforcement capacity to assess and define safety requirements for response personnel according to assignments. | A Designated Authority is defined to address and monitor site safety during response.<br>A Designated Authority has trained competent personnel knowledgeable in procedures and with enforcement capacity to assess and define safety requirements for response personnel according to assignments. |

| GOVERNMENT: NATIONAL/INTERNATIONAL | | |
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| **Level A** | **Level B** | **Level C** |
| A Designated Authority is defined to address and provide or augment site security during response. | A Designated Authority is defined to address and provide or augment site security during response.<br>A competent Designated Authority has procedures in place and enforcement capacity enabling it to assess and define security restrictions for a response area including air, water, and land access restrictions. | A Designated Authority is defined to address and provide or augment site security during response.<br>A competent Designated Authority has procedures in place and enforcement capacity enabling it to assess and define security restrictions for a response area including air, water, and land access restrictions.<br>A competent Designated Authority has a proven record of designating, and enforcing, security restrictions for a response area including air, water, or land access.<br>Security concerns that may pose a potential conflict with spill response (i.e., bomb threats, terrorism, etc.) are identified in the contingency plan and procedures exist to clearly resolve designated authorities, jurisdiction, and priorities. |
| **E: OPERATIONAL RESPONSE** | | |
| Policies are in place to prevent and minimize spill volumes through source control: transfers, emergency lightering, potential places of refuge for maritime casualties, etc. | Procedures are in place to minimize spill volumes through situational stabilization (e.g., rescue tugs, places of refuge) and source control: transfers, emergency lightering, etc. | Procedures are in place to minimize spill volumes through situational stabilization (e.g., rescue tugs, places of refuge) and source control: transfers, emergency lightering, etc.<br>Expedited, pre-approved or assigned resources are in place to minimize spill volumes through situational stabilization (e.g., rescue tugs, places of refuge) and source control: transfers, emergency lightering, etc. |
| Minimum equipment planning levels are defined for Tier 1 risks (most likely routine spills). | Minimum equipment planning levels are defined for Tier 1 risks (most likely routine spills).<br>Equipment levels and response times for Tiers 2 and 3 are generally defined for distinct potential spill source operations (terminals, pipelines, wells, etc.). | Minimum equipment planning levels are defined for Tier 1 risks (most likely routine spills).<br>Equipment levels and response times for Tiers 2 and 3 are generally defined for distinct potential spill source operations (terminals, pipelines, wells, etc.).<br>Guidelines for appropriate equipment and manpower levels are defined for Tiers 1 through 3 and require a Best Available Technology assessment on a recurrent basis. Mobilization of operations is considered. |
| A list of locations and general amounts and types of OSR equipment stockpile is available. | A detailed listing or database of locations, amounts, and types of OSR equipment is maintained and updated on a scheduled basis. | A comprehensive database of locations, amounts, and types of OSR equipment is maintained with consistent information on all OSR resources (industry and government).<br>Equipment inspections and evaluations are performed on a scheduled basis in relation to Best Available Technology criteria and the database updated accordingly.<br>Mechanical recovery, treating agents (including dispersants), and in situ burning are included in the equipment inventories. |
| Government equipment locations are identified and secured; locations allow for quick access and deployment. | Equipment locations are identified, secured, and distributed to allow quick response to key spill risk locations. | Equipment locations are identified, secured, and distributed to allow response within defined mobilization and transit times to key spill risk locations from possible staging areas.<br>Pre-deployed equipment or permanently installed tertiary containment is in place. |
| The operational use of countermeasures is verified in an annual spill exercise. | Countermeasures including containment, skimming, dispersant application and in situ burning are verified and reviewed in annual exercises and drills. | All major countermeasures are tested twice annually.<br>Upgraded or new response options are identified and considered in response enhancement.<br>Applicable response options can be implemented by a Designated Authority including mechanical, treating agents, in situ burning, and shoreline treatment. |

| GOVERNMENT: NATIONAL/INTERNATIONAL | | |
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| **Level A** | **Level B** | **Level C** |
| A Waste Management Plan is outlined. | Procedures are defined and adopted to minimize potential waste streams, temporarily handle waste, and ultimately reuse or dispose of waste materials. | A model Waste Management Plan is provided.<br>Procedures are defined and adopted to minimize potential waste streams, temporarily handle waste, and ultimately reuse or dispose of waste materials including debris.<br>Intermediate and long-term storage options and associated criteria are defined.<br>Trans-boundary waste movement policies and procedures are defined. |
| Contacts and expertise for wildlife recovery are included. | Contacts and expertise for wildlife recovery are included.<br>Wildlife recovery and rehabilitation are assigned to a Designated Authority or entity.<br>Policies and procedures are in place to mobilize and establish wildlife response facilities for spills. | Contacts and expertise for wildlife recovery are included.<br>Wildlife recovery and rehabilitation are assigned to a Designated Authority or equivalent.<br>Policies and procedures are in place and have been tested to mobilize and establish wildlife response facilities for spills.<br>International best practices have been adopted for wildlife response and personnel have been trained accordingly. |
| Restoration and post-spill monitoring are indicated. | Restoration and post-spill monitoring are indicated with lead and support agencies specified. | Restoration and post-spill monitoring are indicated with lead and support agencies specified.<br>Follow-up studies of impacts and cleanup are anticipated, and sources of funding and expertise are noted. |
| **F: TRACKING, ASSESSMENT & INFORMATION MANAGEMENT** | | |
| Role or assignment is defined in OSR management to undertake spill tracking, including monitoring. | Role or assignment is defined in OSR management to undertake spill tracking, including monitoring.<br>Standardized procedures are in place to provide tracking and monitoring of a spill (on water, land, groundwater).<br>Expertise and resources available to undertake tracking. | Role or assignment is defined in OSR management to undertake spill tracking, including monitoring.<br>Standardized procedures are in place to provide tracking and monitoring of a spill (on water, land, groundwater).<br>Expertise and resources are available to undertake spill tracking.<br>Tracking systems include Best Available Technology for non-visual tracking which are identified and available (e.g., satellite; IR for night and low visibility conditions; tracking buoys; under dense foliage).<br>Agencies with remote sensing equipment are listed along with their instrumentation. |
| Maps or charts are available for maintaining spill tracking and movement. | Maps or charts are available for maintaining spill tracking and movement.<br>Computerized models are available to analyze and forecast spill trajectories and weathering. | Maps or charts are available for maintaining spill tracking and movement.<br>Computerized models are available to analyze spill trajectories and weathering for all appropriate situations (e.g., spills on water, into rivers, in groundwater, originating in deep offshore, etc.).<br>Mechanism is in place for Common Operating Picture (COP) displays. |
| Oiling assessment, mapping, and cleanup technique advice are assigned to agency or team. | Oiling assessment, mapping, and cleanup technique advice are assigned to agency or team.<br>Oiling assessment, mapping, and cleanup technique teams are trained, available 24/7, and have the tools needed to input advice for cleanup priorities and operations. | Oiling assessment, mapping, and cleanup technique advice are assigned to agency or team.<br>Oiling assessment, mapping, and cleanup technique teams are trained, available 24/7, and have the tools needed to input advice for cleanup priorities and operations.<br>Best available response options include digital maps, GIS, SCAT Data Coordinator, etc. for advising on cleanup priorities and operations. |

| GOVERNMENT: NATIONAL/INTERNATIONAL | | |
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| **Level A** | **Level B** | **Level C** |
| **G: LOGISTICS** | | |
| Key logistical support providers and capabilities are identified. | Key logistical support providers and capabilities are identified.<br>Terms and conditions for mobilizing, and costs, are established pre-spill and reviewed periodically. | Key logistical support providers and capabilities are identified.<br>Terms and conditions for mobilizing, and costs, are established pre-spill and reviewed periodically.<br>Key logistical support providers and capabilities are tested periodically. |
| Sources are identified for service providers for meals, transportation, portable camps and toilets. | Sources are identified for service providers for meals, transportation, portable camps and toilets.<br>Service providers are contracted on pre-spill basis. | Sources are identified for service providers for meals, transportation, portable camps and toilets.<br>Service providers are contracted on pre-spill basis.<br>Service providers are exercised and sources for services are updated annually in plan. |
| Response times for initial deployment have been identified and tested. | Response times for initial deployment have been identified and tested.<br>Initial deployments have been tested and improved. | Response times for initial deployment have been identified and tested.<br>Initial deployments have been tested and improved.<br>Deployments are exercised with neighboring facilities and regions. |
| Assets and procedure for communications in the field and between the field and Command Post are in place. | Assets and procedure for communications in the field and between the field and Command Post are in place.<br>Communications equipment is on hand and secondary or backup systems are identified. | Assets and procedure for communications in the field and between the field and Command Post are in place.<br>Communications equipment is on hand and secondary or backup systems are identified.<br>A communications plan has been prepared with pre-identified channels for responders. |
| Customs and immigration policies are defined to streamline transport and delivery of personnel and equipment between regions/areas. | Customs and immigration procedures are in place to expedite the temporary export or import of OSR personnel and equipment. | Customs and immigration procedures are in place to expedite the temporary export or import of OSR personnel and equipment across borders.<br>Periodic exercises are conducted to test and streamline procedures for trans-boundary movement of equipment and personnel.<br>Key liaison agencies (or personnel) are identified to help with trans-border movements.<br>Agencies that must issue permits for specific OSR activities are listed, e.g., for hazardous material transport, dispersants, in situ burning, land access, waste disposal, etc. |
| The availability of decontamination facilities is ensured for personnel leaving the spill site. | Equipment and personnel for multiple stations are prepared and available for immediate deployment to support decontamination of personnel, response equipment, and transportation assets (e.g., vehicles, vessels). | Equipment and personnel for multiple stations are prepared and available for immediate deployment to support decontamination of personnel, response equipment, and transportation assets (e.g., vehicles, vessels).<br>Regional sources for additional PPE and supplies are pre-determined. |

| GOVERNMENT: NATIONAL/INTERNATIONAL | | |
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| **Level A** | **Level B** | **Level C** |
| **H: FINANCIAL & ADMINISTRATIVE CONSIDERATIONS** | | |
| An emergency fund is available to enable immediate response actions. | An emergency fund is available to enable immediate response actions.<br>Participating authorities have established financial tracking systems for roles in spill emergency response.<br>Finance/administrative personnel have an understanding of procedures for resource ordering, purchasing, and cost tracking for emergencies. | An emergency fund is available to enable immediate response actions.<br>Participating authorities have established financial tracking systems for roles in spill emergency response.<br>Finance/administrative personnel are versed in emergency resource ordering, purchasing, and cost tracking and forecasting as well as compensating individuals and organizations for expenses. |
| Procedures are in place to receive claims. | Procedures are in place to receive, investigate, and resolve claims.<br>Financial personnel have contact information for oil pollution Insurers and funds (IOPC), as appropriate. | Procedures are in place to receive, investigate, and resolve claims.<br>Financial personnel have contact information for oil pollution Insurers and funds (IOPC), as appropriate.<br>A filing and tracking system for claims has been implemented.<br>Finance/Admin personnel have established a document control system for receipt and processing of claims.<br>Coordinated procedures exist with insurers/funds to expedite claim review and settlement processes with international compensation schemes outlined as well as access to funds including P&I Clubs and treaties. |
| Legal aspects have been considered including sampling/ collecting evidence, taking statements, and mechanisms for settling disputes and claims. | Procedures are defined for legal matters including sampling/ collecting evidence, records-keeping for Unified/Joint Command, taking statements, and mechanisms for settling disputes and claims. Illegal discharges are specified. | Legal support roles have been assigned within participating agencies and assigned personnel are trained and versed in OSR issues.<br>Procedures are defined for legal matters including sampling/collecting evidence, records-keeping for Unified/Joint Command, taking statements, and mechanisms for settling disputes and claims. Illegal discharges are specified. |
| **I: TRAINING & EXERCISES** | | |
| Minimum initial and refresher training requirements, including Health & Safety, are defined for spill management and responders. | Minimum initial and refresher training requirements, including Health & Safety, are defined for spill management and responders.<br>Requirements for training records are defined and records are subject to verification. | Minimum initial and refresher training requirements, including Health & Safety, are defined for spill management and responders.<br>Requirements for training records are defined and records are subject to verification.<br>Designated Authority ensures through inspection or record-keeping that minimum initial and refresher training requirements, including Health & Safety, are completed for spill management and responders.<br>Designated Authority or other is enabled to enforce training requirements. |
| Regular training courses are provided on OSCPs to assigned OSR management and lead response personnel. | Designated personnel for lead and participating OSR authorities have received detailed training on OSCPs, roles and responsibilities, incident management system (e.g., ICS), and procedures for implementing duties during a response. | Designated personnel for lead and participating OSR authorities have received detailed and refresher training on OSCPs, roles and responsibilities, and procedures for implementing duties during a response.<br>Multi-agency training includes intergovernmental and industry initiatives. |

| GOVERNMENT: NATIONAL/INTERNATIONAL | | |
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| **Level A** | **Level B** | **Level C** |
| In-house spill training courses are attended. | In-house spill training courses are attended.<br>Contracted specialists provide spill training courses. | In-house spill training courses are attended.<br>Contracted specialists provide spill training courses.<br>Contracted internationally recognized or accredited spill training is conducted with course outlines specified. |
| Training records for designated personnel document compliance with required training. | Training records for designated personnel document compliance with required training.<br>Training records document compliance with defined training and include training materials; training is provided by qualified personnel. | Training records document compliance with defined training and include training materials; training is provided by qualified personnel.<br>Training materials and aids are available; training is provided by certified and/or qualified experts. |
| Notification and Alerting Exercises are conducted frequently (2 to 4 times per year) and are required of plan holders. | Notification and Alerting Exercises are conducted frequently (2 to 4 times per year).<br>Notification and Alerting Exercises are required of plan holders.<br>Documentation (records) indicates that notification and alerting exercises are conducted.<br>Notification exercises include off-hours; internal-external alerting; and multilateral, where appropriate. | Notification and Alerting Exercises are conducted frequently (2 to 4 times per year).<br>Notification and Alerting Exercises are required of plan holders.<br>Notification exercises include off-hours; internal-external alerting; and multilateral, where appropriate.<br>Communications systems (land, air, sea, and cross-agency/industry) are in place and tested. |
| Deployment exercises are required and held including mobilized Tier 2 response assets from national response depots. | Deployment exercises are required and held to jointly include national response depots and Industry. | Deployment exercises are required and held jointly to include national response depots and Industry.<br>Multi-location deployment exercises (e.g., Tier 2 or 3 as and if appropriate) are required and held jointly to test and coordinate National, International, and Industry joint capabilities. |
| Tabletop (Response Management) Exercises are required and held at a prescribed frequency (e.g., 2 to 3 times per year). | Tabletop (Response Management) exercises are required and held at a prescribed frequency (2 to 3 times per year).<br>Tabletop (Response Management) Exercises include external parties.<br>Exercises plans are well-developed.<br>A standard approach for exercise evaluation is in place that allows ready implementation of changes. | Tabletop (Response Management) exercises are required and held at a prescribed frequency (2 to 3 times per year).<br>Tabletop (Response Management) exercises include external parties.<br>Tabletop (Response Management) Exercises include international authorities (as appropriate).<br>Exercises plans are well-developed.<br>A standard approach for exercise evaluation is In place that allows ready implementation of changes.<br>Tabletop exercises are based on risk assessments and address distinct situations and environmental factors.<br>Exercises are audited and evaluated by professional or experienced third-party OSR experts.<br>Changes are implemented as needed. |
| Courses to be attended by government personnel are listed. | Courses are attended by government personnel including for example Incident Management System, basic spill response, dispersant application, shoreline treatment (SCAT), in situ burning, and waste management. | Courses are organized for government and industry personnel including for example Incident Management System, basic spill response, dispersant application, shoreline treatment (SCAT), in situ burning, and waste management.<br>Records show that designated response personnel (management and operational) receive recurrent or refresher training. |

| GOVERNMENT: NATIONAL/INTERNATIONAL | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| **J: SUSTAINABILITY & IMPROVEMENT** | | |
| Critiques of exercises and actual response (plan and execution) are documented with recommended actions for OSR improvements.<br>Exercise oversight role is specified for specific agencies. | Critiques of exercises and actual response (plan and execution) are documented with recommended actions for OSR improvements.<br>An exercise and response oversight role is specified for specific agencies and a schedule of exercise requirements is noted.<br>An internal review is conducted of exercises and actual responses.<br>Recommendations from exercise and actual response evaluations (equipment deployment, tabletops) are implemented and tracked.<br>An exercise and response oversight role is specified for specific agencies and a schedule of exercise requirements is noted. | Critiques of exercises and actual response (plan and execution) are documented with recommended actions for OSR improvements.<br>Exercise oversight roles are specified, and a schedule of exercise requirements is defined for all relevant plan holders.<br>An internal review is conducted of exercises and actual responses.<br>External reviews supplement internal critiques for both exercises and actual spills.<br>Steps taken for improvements are documented.<br>Designated Authority for National/International plan(s) track changes until these are implemented. |
| National (or International) Team or Work Groups are assigned to review and recommend OSR enhancements. | National (or International) Team or Work Groups are assigned to review and recommend OSR enhancements.<br>National (or International) Team or Work Groups meet at least annually to review OSR plans and readiness capability.<br>Recommendations are made including a record of actions and implementation.<br>Engagement between the agency or authority responsible for implementation of the NCP and industry is in place. | National (or International) Team or Work Groups are assigned to review and recommend OSR enhancements.<br>National (or International) Team or Work Groups meet at least annually to review OSR plans and readiness capability.<br>Internal-External / Experts work with National (or International) Team or Work Groups to undertake OSR capability audits and provide recommendations.<br>Responsibilities for implementing audit recommendations are assigned. Changes are reviewed and approved.<br>Regular engagement between the agency or authority responsible for implementation of the NCP and industry evaluate best practices and incorporate into the preparedness program, as appropriate. |
| Post-Spill Evaluation and Revisions to OSR Plan are documented. | Post-Spill Evaluation and Revisions to OSR Plan are documented.<br>OSR Plan, organization, strategies, and response equipment improvements are made as needed. | Post-Spill Evaluation and Revisions to OSR Plan are documented.<br>OSR Plan, organization, strategies, and response equipment improvements are made as needed.<br>Plan and equipment improvements are made and included in planning and conducting subsequent training. Personnel and OSR equipment needs are also addressed.<br>Changes are adopted for oil-related transportation, exploration, and production systems as determined by review processes relating to preventative measures and safeguards. |
| Research and development programs are promoted through various sources of funding to improve countermeasures such as mechanical recovery, treating agent application, in situ burning, and remote sensing. | Research and development programs are funded to improve countermeasures such as mechanical recovery, treating agent application, in situ burning, and remote sensing. | Research and development programs are carried out by various agencies to improve countermeasures such as mechanical recovery, treating agent application, in situ burning and remote sensing.<br>Environmental data are compiled for resources at risk including current environmental sensitivity maps. |

| GOVERNMENT: NATIONAL/INTERNATIONAL | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| An OSR planning and readiness assessment enforcement role is specified or defined for a specific government authority. | An enforcement role is specified.<br>Personnel and resources are allocated to carry out enforcement role. | An enforcement role is specified.<br>Personnel and resources are allocated to carry out enforcement role.<br>An enforcement program is implemented and evaluated to allow its effective application. |

# 8 Government - Industry: Facility or Asset Operations

## 8.1 Description of Scope

Government- or Industry-owned and/or -operated oil handling, transport, and storage facilities typically have emergency response plans for different types of incidents, including oil spills. The OSR aspect of emergency readiness is the focus of this assessment chapter.

*Examples:*

- Pipeline operations
- Vessel fleets (tankers, barges)
- Rail transport
- Subsea pipelines and gathering systems

The operations encompassed in this scope have a broader geographic footprint, typically as a result of oil transportation. A key feature of this scope is the broader potential spill source along established operational routes.

## 8.2 Concept of Levels

The assessment process is conducted specifically by using RETOS™, which reflects the detailed assessment criteria listed in Table 8 (highlighted in yellow are the critical criteria, only applicable to Level A); however, a separate checklist is provided in RETOS™ for each LEVEL.

The use of three levels for the assessment for this scope does not reflect the complexity of an operation. The level of commitment for time and effort to ensure best practices in OSR plans and readiness can be quite different for more local operations relative to geographically extensive operations. Exposure risks (for spill and associated impacts) can also add to the complexity. As stated earlier (Chapter 2.5), the user should select a target level (Level A as a default) against which to assess the OSR capability. **For each Category/ Element, the criteria established for Level B add to those criteria for Level A, and the criteria established for Level C add to those for Levels A and B.**

**ASSESSMENT LEVELS do not correspond to Tiers, in the OSR planning sense.** Rather, an Assessment Level indicates the maturity of that program. For example, an OSR Program of an Operation with a limited spill risk may be quite well prepared and very capable of mounting a quick and very effective Tier 1 (local) response and Tier 2 (regional) response. In such a case the Assessment Level C would reflect its maturity but for a Tier 1 and 2 spill response. Alternatively, a complex Operation with significant spill risks and/or broad geographic footprint may need a Tier 3 capability; however, if the program is in the early stages of development, or not mature, the assessment should be started at Level A.

## 8.3 Notes on OSR Categories Applicable to Operations OSR Programs

Typically, industry operations plans and readiness programs must be prepared and built upon requirements imposed by regulations. Plans and response capabilities may integrate aspects of multiple facilities and should fit within a framework of regional and/or national OSR programs. Major focus is on local and regional preparedness (Tier 1 and Tier 2) with ties into Tier 3 and overarching plans and capabilities, as appropriate. Immediate on-scene response capabilities are the primary focus of OSR programs at this level.

**Table 8** - *Criteria Matrix for OSR Assessment - SCOPE: Government - Industry: Facility or Asset Operations*

| GOVERNMENT - INDUSTRY: FACILITY OR ASSETS OPERATIONS | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| **A: LEGISLATION, REGULATIONS & AGREEMENTS** | | |
| Plan references regulatory requirements. | Plan meets regulations and standards.<br>Reportable amounts of spills are indicated. | Plan lists primary applicable regulations, standards, and overseeing agencies.<br>Plan exceeds regulatory requirements and guidelines.<br>Content is aligned with BIP recommendations.<br>Reportable amounts of spills are indicated. |
| Agreements for local to regional OSR assistance are in place.<br>Memoranda of Understanding, Mutual Aid, or similar agreements are cited. | Documented, signed agreements for Mutual Aid or regional assistance are included for Tier 2 and/or 3 spills, as appropriate. | Agreements have been signed for Mutual Aid or regional assistance at all Tier levels, as appropriate, with clearly defined capabilities and conditions for use.<br>Operations are defined within context of International Agreements.<br>Agreements are periodically exercised. |
| Plan notes context of geopolitical boundaries and corresponding legislation. | Plan and readiness are appropriately framed in context of geopolitical boundaries and corresponding legislation. | Plan and readiness clearly reference and adhere to applicable geopolitical boundaries and corresponding legislation and agreements. |
| An Environmental Statement is included. | A signed and dated Environmental Policy exists. | A signed and dated Environmental Policy exists.<br>Face-to-face meetings are held with regulators as part of the planning process and plan review. |
| **B: OIL SPILL CONTINGENCY PLANNING** | | |
| The plan is readily available to OSR personnel throughout the operational area and to those persons responsible for local OSR planning.<br>There is a clear table of contents, pagination. The plan is dated. | The plan is readily available to OSR personnel throughout Operations and to those persons responsible for local OSR planning.<br>There is a clear table of contents, pagination. The plan is dated.<br>The plan is readily available and clearly organized.<br>The plan includes a distribution list and tabs for easy reference.<br>A scope (facilities, geographical area, products) is clearly outlined.<br>Field guide/checklists, by area or operation, are provided for initial response steps. | The plan is readily available to OSR personnel throughout Operations and to those persons responsible for local OSR planning.<br>There is a clear table of contents, pagination. The plan is dated.<br>The plan is readily available as a controlled document and clearly organized.<br>A scope (facilities, geographical area, products) is clearly outlined.<br>Field guide/checklists, by area or operation, are provided for initial response steps.<br>The plan includes a current distribution list, tabs, checklists, graphics, maps, and tables.<br>The scope of the plan is included as well as a glossary.<br>A broad-based plan provides guidance for detailed local planning so that all pertinent plans are integrated including OSR Field or Emergency Response Guides for initial actions. |
| Applicable and related plans (company, local, and government) are identified. | Relationship with other applicable plans (company, local, and government) are identified and described. | The relationship with other applicable plans (company, local, and government) is clearly defined and described.<br>Equipment inventories and contacts are indicated as applicable. |
| Available in-company or outsourced expertise is listed for OSR-related issues. | In-company and outsourced experts are listed in plan and have knowledge of OSR plan and scope. | In-company and outsourced experts are listed in plan and have knowledge of OSR plan and scope.<br>In addition to in-house expertise, contracts or agreements are in place with OSR experts in specialized fields who have participated in planning or exercises. |

| GOVERNMENT - INDUSTRY: FACILITY OR ASSETS OPERATIONS | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Plan has been reviewed or revised in past 3 years.<br>Key contacts are updated. | Revision log and dated pages document reviews or revisions within the past 2 years. | Revision log and dated pages document reviews/ revisions as per update procedures, including plan implementation following actual spills, and at least annually.<br>Spill sources, materials, and volumes are identified and known to responders.<br>Spill risks are re-assessed regularly. |
| Potential spill sources, materials, and volumes have been identified and are known to responders. | Spill sources, materials, and volumes are identified and are known to responders.<br>Detailed calculations are provided for possible spill sources (e.g., oil storage facilities, oil transfer locations, vessel operations/bunkering, rail deliveries, pipelines, etc.).<br>An active prevention program is indicated.<br>Spill prevention is addressed for facilities and operations. | Detailed calculations are provided for possible spill sources (e.g., oil storage facilities, oil transfer locations, vessel operations/bunkering, rail deliveries, pipelines, etc.).<br>Spill planning has been based on a tiered system that uses quantitative risk assessment analysis for each tier (option: tiers reflect regulatory-defined criteria).<br>An active prevention program is indicated.<br>Prevention is addressed for facilities, operations, and procedures.<br>Scenarios are used as basis for planning.<br>Oil characteristics and weathering properties of products have been summarized.<br>Photos and specifications are included for facilities and operations posing spill risk, with the details of an implemented prevention program that reduces OSR risks. |
| An active prevention program is indicated. | | |
| General areas at risk are identified based on spill sources. | Spill scenarios and area(s) of potential spill influence have been defined based on spill trajectories for worst-case spills.<br>Trajectories consider prevailing and worst-case operating conditions.<br>Graphics or maps indicate priority areas and/or species at risk. | Spill scenarios and area(s) of potential spill influence have been defined based on spill trajectories for worst-case spills.<br>Trajectories consider prevailing and worst-case operating conditions.<br>For spill scenarios at sea, trajectories reflect distinct product weathering rates, tiered volumes, and seasonal conditions.<br>Stochastic and worst-case trajectories shown in scenarios are the basis for sensitive area protection and response planning. Seasonal concerns are included. |
| Critical sensitive areas are identified in the plan. | Critical sensitive areas are identified in the plan.<br>Guidelines define expectations to identify key species at risk in detailed local plans.<br>An operations plan sets the framework for identifying area sensitivities, timing, and priorities.<br>Response management has an understanding of priority protection sites. | Graphics or maps indicate priority areas and/or species at risk.<br>Critical sensitive areas are identified in the plan.<br>An operations plan sets the framework for identifying area sensitivities, timing, and priorities.<br>Response management has an understanding of priority protection sites.<br>Sensitive areas and resources at risk are clearly presented and are kept up to date in a GIS system. Maps are readily available to reference their location(s). |
| Guidelines define expectations to identify key species at risk in detailed local plans. | | |
| Response strategies are clearly stated and appropriate for the range of operational areas, environmental conditions, and oil types. | Response strategies are clearly stated and appropriate for the range of operational areas, environmental conditions, and oil types.<br>Strategies and tactical details are provided for source control and immediate areas at risk.<br>Primary OSR equipment and personnel needs for adopted OSR strategies are indicated. | Response strategies are clearly stated and appropriate for the range of operational areas, environmental conditions, and oil types.<br>Strategies and tactical details are provided for source control and immediate areas at risk.<br>Detailed tactical plans (graphics, maps) for priority areas within the zone of spill risk are indicated and are appropriate for operating conditions.<br>Primary OSR equipment and personnel needs for adopted OSR strategies are indicated. |
| Personnel and equipment needs for adopted response strategies are addressed. | | |

| GOVERNMENT - INDUSTRY: FACILITY OR ASSETS OPERATIONS | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Non-mechanical countermeasures, such as dispersants or in situ burning, are evaluated as options. | Guidelines for non-mechanical countermeasures, such as dispersants or in situ burning, have been analyzed and are provided with windows of opportunity noted.<br>Previous authorization is available for all countermeasures strategies in plan. | Guidelines for non-mechanical countermeasures, such as dispersants or in situ burning, have been analyzed and are provided with windows of opportunity noted.<br>Previous authorization is available for all countermeasures strategies in plan.<br>NEBA or SIMA have been completed (with stakeholder participation) for alternative countermeasures with clearly defined applicability and limitations, including subsea dispersant use as applicable. |
| Personnel needed to undertake operations are assessed. | Personnel and equipment needed to undertake all operations are clearly identified and qualified. | Personnel and equipment needed to undertake all operations are listed, appropriate, and qualified.<br>Sufficient personnel are identified to enable work rotation schedules in field and in response management. |
| **C: RESPONSE COORDINATION** | | |
| Clear procedures outline information to report and who should receive initial spill notification and follow-up reports.<br>A spill reporting form is included.<br>A contact list with key personnel is included. | Clear procedures outline information to report and who should receive initial spill notification and follow-up reports.<br>A spill reporting form is included.<br>A contact list with key personnel is included.<br>Initial spill notification checklists/forms are readily available.<br>Callout procedures include flow charts for internal, external parties with contact data. | Clear procedures outline information to report and who should receive initial spill notification and follow-up reports.<br>A spill reporting form is included.<br>A directory of internal, external contacts (primary and alternate) is immediately available.<br>Initial spill notification checklists/forms are readily available.<br>Callout procedures include flow charts for internal, external parties with contact data.<br>Redundant callout procedures are based on common checklists and/or forms.<br>Internal, external callout flow charts are in place |
| A spill management structure and assigned personnel are defined for all spill tiers. | A spill management structure and assigned personnel are defined for all spill tiers.<br>A spill management organization allows easy expansion and contraction of personnel in planning levels or tiers and integration with external personnel (government, contractors). | A spill management structure and assigned personnel are defined for all spill tiers.<br>A spill management organization allows easy expansion and contraction of personnel in planning levels or tiers and integration with external personnel (government, contractors).<br>The spill management organization is flexible, robust, accommodates all emergencies, and is based on sound Incident Management System principles (e.g., ICS). |
| Roles and responsibilities are evident for each functional aspect identified in the OSR management organization. | Roles and responsibilities are evident for each functional aspect identified in the OSR management organization.<br>Responsibility checklists are available and defined for each role in the OSR management team. | Roles and responsibilities are evident for each functional aspect identified in the OSR management organization.<br>Responsibility checklists are available and defined for each role in the OSR management team.<br>OSR management personnel have checklists for their personal use during response.<br>Checklists are available in the plan, at a Command Post, or maintained in individual OSR response kits. |

| GOVERNMENT - INDUSTRY: FACILITY OR ASSETS OPERATIONS | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Incident Command is assigned to one or two specific individuals (by name or position) with backups identified. | Incident Command is assigned to one or two specific individuals (by name or position) with backups identified.<br>Personnel appointed to a Unified or Joint Command are defined.<br>Records of Joint or Unified Command meetings indicate the working team. | Incident Command is assigned to one or two specific individuals (by name or position) with backups identified.<br>Personnel appointed to a Unified or Joint Command are defined.<br>Personnel in direct support of a Unified or Joint Command are defined.<br>Records show regularly held Joint or Unified Command meetings, exercises, and/or response. |
| Personnel have been assigned to OSR management roles identified for Tier 1. | Personnel have been assigned to OSR management roles identified for Tier 1 and 2, as appropriate. | Personnel have been assigned to OSR management roles identified for Tiers 1 – 3, as appropriate.<br>There are sufficient trained personnel from local, contracted, and corporate sources to manage 24-hr extended worst-case spill (shifts). |
| Command post location is specified. | Command post location is specified.<br>Backup command post locations are identified; communications and control facilities are listed. | Command post location is specified.<br>Backup command post locations have been verified as appropriate for emergency management.<br>Redundant communications and control facilities are provided.<br>Provisions for long-term emergencies are also specified. |
| Procedures are in place and responsibility has been assigned for communications with media during a spill response. | Procedures are in place and responsibility has been assigned for communications with media during a spill response.<br>A prepared draft press release is available for initial notice.<br>An assigned person has established contact with local media outlets. | Procedures are in place and responsibility has been assigned for communications with media during a spill response.<br>A template press release is available for initial notice.<br>Personnel assigned to media relations are trained in media management and have worked with OSR command on public speaking and/or mock press conferences. |
| Procedures are in place and responsibility has been assigned for communications with local communities. | Procedures are in place and responsibility has been assigned for communications with local communities.<br>A community liaison program and assigned personnel maintain frequent contacts with communities at risk. | Procedures are in place and responsibility has been assigned for communications with local communities.<br>A community liaison program and assigned personnel maintain frequent contacts with communities at risk.<br>Community education and training have been completed so that a volunteer base is identified to support spill response efforts. |
| **D: HEALTH, SAFETY & SECURITY** | | |
| Diagrams or maps are available showing general locations of hazards and emergency equipment. | Operations maps are available showing major hazards, emergency equipment locations, and primary care facilities.<br>Operations-specific maps or requirements are noted for detailed maps at a local level. | Operations maps are available showing major hazards, emergency equipment locations, and primary care facilities.<br>Operations maps show primary logistical support facilities and overland routes and alternates.<br>Operations-specific maps or requirements are noted for detailed maps at a local level.<br>Maps are available from Operations level to facility level in hard copy or GIS/electronic versions.<br>A security plan supplements the OSR plan. |

| GOVERNMENT - INDUSTRY: FACILITY OR ASSETS OPERATIONS | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| General risks, hazards, PPE are described.<br>OSR personnel have general understanding of associated hazards.<br>MSDSs for all products have been included or are available as referenced.<br>PPE is available in kits. | General risks, hazards, PPE are described.<br>OSR personnel have general understanding of associated hazards.<br>An MSDS for each product handled is readily available; personnel know how to obtain information.<br>Response personnel and management demonstrate knowledge of MSDSs.<br>PPE is available in kits. | General risks, hazards, PPE are described.<br>Personnel can describe risks, safety precautions, PPE and initial response.<br>An MSDS for each product handled is readily available; personnel know how to obtain information.<br>Response personnel and management demonstrate knowledge of MSDSs.<br>Hazards Communications training is provided to all on-site personnel.<br>A site assessment checklist has been developed for spills.<br>PPE is available in kits and vehicles. |
| Responsible, accredited person(s) are identified for OSR safety assessment duties. | Responsible, accredited person(s) are identified for OSR safety assessment duties.<br>A generic site-safety plan template is available and used for response under direction of a designated and qualified Site Safety Officer. | Responsible, accredited person(s) are identified for OSR safety assessment duties.<br>A site-specific safety assessment checklist and OSR safety plan are available and completed by a designated Site Safety Officer.<br>A safety briefing checklist has been developed.<br>Risk assessment includes air monitoring and night operations. |
| Mandatory safety training requirements have been established for OSR responders. | Spill responder safety training is mandatory.<br>Procedures are in place to provide minimum safety training to volunteers. | Spill responder safety training is mandatory.<br>Procedures are in place to provide minimum safety training to volunteers.<br>Roles for volunteers are defined on a pre-spill basis, e.g., logistical support, shoreline treatment. |
| **E: OPERATIONAL RESPONSE** | | |
| An operations-wide policy is in place to minimize spill volumes through specific controls (e.g., advanced vessel notifications, assist tugs, pilots) and source control: transfers, patching, emergency lightering, etc. | Operations-wide procedures are in place to minimize spill volumes through specific controls (e.g., advanced vessel notifications, assist tugs, pilots) and source control: transfers, patching, emergency lightering, etc.<br>Emergency shutoffs, remotely controlled valves, and other means are in place to reduce volume of releases. | Operations-wide procedures are in place to minimize spill volumes through specific controls (e.g., advanced vessel notifications, assist tugs, pilots) and source control: transfers, patching, emergency lightering, etc.<br>Emergency shutoffs, remotely controlled valves, and other means are in place to reduce the volume of releases.<br>Procedures and emergency controls are clearly marked and determined to be functional on regular basis.<br>An Emergency Response Team with mobile capability has been designated. |
| OSR equipment sources are identified and recommended for Tier 1 risks (most likely routine spills) at key locations and appropriate for environmental conditions and seasonal aspects. | OSR equipment sources are verified and exceed Tier 1 needs (oil types, weathering, and volumes) for key operational areas, operating environments, and seasons.<br>Tier 2 OSR resources are identified and provide redundancy and compatibility with equipment identified to augment the Tier 1 capability, as appropriate. | OSR equipment sources are verified and exceed Tier 1 needs (oil types, weathering, and volumes) for key operational areas, operating environments, and seasons.<br>Tier 2 OSR resources are identified and provide redundancy and compatibility with equipment identified to augment the Tier 1 capability, as appropriate.<br>Contracts or agreements are in place for local (Tier 1) and regional (Tier 2) OSR equipment and personnel.<br>OSR resources are determined to be optimum response options for operating conditions and oil types.<br>Dispersant application, mechanical recovery, shoreline treatment, and in situ burning are addressed as appropriate.<br>Additional external (Tier 3) resources are identified, as appropriate. |

| GOVERNMENT - INDUSTRY: FACILITY OR ASSETS OPERATIONS | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Procedures are defined to ensure local equipment is inventoried, audited, properly stored and in good working condition. | Procedures are in place to ensure local equipment is inventoried, audited, properly stored and in good working condition.<br>Audits show checks of maintenance and inspection records reflect routine upkeep (per OSCP requirements). | Procedures are in place to ensure local equipment is inventoried, audited, properly stored and in good working condition.<br>Audits show checks of maintenance and inspection records reflect routine upkeep (per OSCP requirements).<br>Local and regional equipment is properly stored, packaged, and labeled and in excellent working condition.<br>A computerized equipment maintenance and inspection program automatically issues and tracks work orders for equipment upkeep.<br>An audit verifies equipment in ready condition and packaged to effective response. |
| Equipment locations are secured and allow for quick access and deployment. | Equipment locations are identified in plan, secured, and distributed to allow quick response to key spill risk locations throughout the operational area. | Equipment locations are identified in plan, secured, and distributed to allow quick response to key spill risk locations throughout the operational theatre.<br>Pre-deployed equipment or permanently installed tertiary containment is in place for most-likely spill locations (e.g., points of transfer; geographical hazards). |
| Operational use of countermeasures has been verified in an annual spill exercise. | Operational use of countermeasures has been verified in an annual drill.<br>Countermeasures including containment, skimming, protection, dispersant application, in situ burning and other pertinent countermeasures have been verified and are reviewed in exercises and drills. | All major countermeasures are tested twice annually and improved as needed.<br>Countermeasures including containment, skimming, protection, dispersant application, in situ burning, and other pertinent countermeasures have been verified and are reviewed in exercises and drills.<br>Upgrades with new response options have been identified by management.<br>An in-house capability ensures applicable response options can be implemented to optimize their effectiveness including mechanical, treating agent, in situ burning, and shoreline treatment. |
| A Waste Management Plan is outlined that conforms with applicable regulations. | A Waste Management Plan is outlined that conforms with applicable regulations.<br>Procedures are defined and adopted to minimize the potential waste stream, temporarily handle waste, and ultimately reuse or dispose of waste materials in accordance with all applicable regulations. | A Waste Management Plan is outlined that conforms with applicable regulations.<br>Procedures are defined and adopted to minimize the potential waste stream, temporarily handle waste, and ultimately reuse or dispose of waste materials in accordance with all applicable regulations.<br>Agreements and contracts are in place with waste management companies on pre-spill basis.<br>Intermediate and long-term storage options have been defined.<br>Treatment, recycling, and final disposal are addressed. |
| Wildlife recovery and rehabilitation contacts are included in plan. | Wildlife recovery and rehabilitation contacts are identified in plan, have pre-existing arrangement or contract, and are aware of OSR role. | Wildlife recovery and rehabilitation contacts are identified in plan, have pre-existing arrangement or contract, and have practiced or trained with the spill management team in their OSR role.<br>A wildlife recovery program is part of regional capability including equipment and facilities for establishing on-site. |

| GOVERNMENT - INDUSTRY: FACILITY OR ASSETS OPERATIONS | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| **F: TRACKING, ASSESSMENT & INFORMATION MANAGEMENT** | | |
| Role or assignment is defined in OSR management to undertake spill tracking, including monitoring.<br>Source of forecasting ability (weather, currents, river/stream flow, etc.) is defined. | Role or assignment is defined in OSR management to undertake spill tracking, including monitoring.<br>Procedures are in place to provide visual tracking and monitoring of a spill (on water, land and groundwater).<br>Expertise and resources available to undertake tracking are identified.<br>The organization tasked to provide forecasting (weather, currents, river/stream flow, etc.) is defined. | Role or assignment is defined in OSR management to undertake spill tracking, including monitoring.<br>Procedures are in place to provide visual tracking and monitoring of a spill (on water, land, groundwater).<br>Expertise and resources available to undertake tracking are identified.<br>Tracking and monitoring procedures include standardized assessment forms (SCAT, Overflight). Aids include drones, digital cameras, GPS, and transport (helo, fixed-wing, vessels).<br>Tracking systems, including satellite and for non-visual tracking, identified and available from sources, e.g., government (IR for night and low visibility conditions; laser fluorosensor, radar systems, tracking buoys; oil detection under dense foliage).<br>The organization tasked to provide forecasting (weather, currents, river/stream flow, etc.) is staffed and available 24/7. |
| Maps or charts are available to maintain a record of spill tracking and movement. | Forms and maps or charts have been developed for tracking spills on paper and digital systems. | Forms and maps or charts have been developed for tracking spills on paper and digital systems.<br>For sea spill scenarios, computerized models are available from government, university or other sources and can be used to analyze spill trajectories and weathering.<br>Oil trajectory and weathering model results are available within suitable timeframes (e.g., 2-6 hours for on-water spills) and can be displayed in digital form (e.g., within GIS) and/or on wall maps.<br>Mechanism is in place for Common Operating Picture (COP) displays. |
| A cleanup assessment capability exists. | SCAT Teams are identified that include company or contracted lead personnel and acknowledges roles of local and national government representatives. | SCAT Teams are identified that include company or contracted lead personnel and acknowledge roles of local and national government representatives.<br>Trained SCAT teams with field tools are available for OSR duties. |
| **G: LOGISTICS** | | |
| Local sources along routes or areas within potential spill region are identified for supplies, PPE, tools, special equipment, and expendables. | Local sources along routes or areas within potential spill region are identified for supplies, PPE, tools, special equipment, and expendables.<br>Contracts or terms with local logistical sources have been established on pre-spill basis.<br>Access roads and infrastructure have been assessed to deploy response and shoreline cleanup equipment. | Local sources along routes or areas within potential spill region are identified for supplies, PPE, tools, special equipment, and expendables.<br>Contracts or terms with local logistical sources have been established on pre-spill basis.<br>Local logistical sources have been contracted and exercised.<br>Access roads and infrastructure have been tested to deploy response and shoreline cleanup equipment.<br>Regional logistical support has been identified for areas in potential spill region. |
| Local sources have been identified for service providers for meals, transportation, portable camps and toilets. | Service providers for meals, transportation, portable camps and toilets have been contracted on pre-spill basis. | Service providers for meals, transportation, portable camps and toilets are contracted and exercised.<br>Sources for logistical services are updated and verified on annual basis in plan. |

| GOVERNMENT - INDUSTRY: FACILITY OR ASSETS OPERATIONS | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Response times for initial deployment are identified and tested. | Response times for initial deployment are tested and improved. | Response times for initial deployment are tested and improved.<br>Deployments are exercised with combined operational and logistics support teams.<br>Improved response times are routinely part of exercise or deployment objectives. |
| An operation-wide Command Post is identified and has basic arrangements for coordinating a response. | An operation-wide Command Post is pre-established with multiple lines of communication, space for participating personnel, and with adequate security and logistical support services to sustain the response organization.<br>Effective communication and links to local Command Posts exist. | An operation-wide Command Post is pre-established with multiple lines of communication, space for participating personnel, and with adequate security and logistical support services to sustain the response organization.<br>An alternate Command Post site is indicated.<br>Electronic boards are available for situations status with near real-time feed from field.<br>Effective communication and links to local Command Posts have been proven through exercises and/or actual response. |
| Assets and procedures for communications between local Command Post and Operations-wide Command Post are in place. | Assets and procedures for communications between local Command Post and Operations-wide Command Post are in place.<br>Communications equipment is on hand and secondary or backup systems are identified.<br>Communications systems are compatible across response assets (vessels, ground, air). | Assets and procedures for communications between local Command Post and Operations-wide Command Post are in place.<br>Communications equipment is on hand and secondary or backup systems are identified.<br>Communications systems are compatible across response assets (vessels, ground, air).<br>A communications plan has been established with pre-identified channels for responders.<br>Systems are integrated across response community (vessels, ground, air, industry, or government). |
| Decontamination facilities are available for personnel leaving the spill site. | Decontamination facilities are available for personnel leaving the spill site.<br>Equipment and personnel for multiple stations are prepared and available for immediate deployment to support decontamination of personnel, response equipment, and transportation assets (e.g., vehicles, vessels). | Decontamination facilities are available for personnel leaving the spill site.<br>Equipment and personnel for multiple stations are prepared and available for immediate deployment to support decontamination of personnel, response equipment, and transportation assets (e.g., vehicles, vessels).<br>“Hot” and “cold” zones are defined for OSR and are maintained by corridors in and out of the spill zone.<br>Regional sources for additional PPE and supplies are pre-determined. |
| **H: FINANCIAL AND ADMINISTRATIVE CONSIDERATIONS** | | |
| Designated company Incident Commander and emergency management personnel have pre-defined spending approval limits. | Designated company Incident Commander and emergency management personnel have pre-defined spending approval limits.<br>Finance personnel have exercised purchasing needs with suppliers as part of training.<br>Financial process uses standardized forms. | Designated company Incident Commander and emergency management personnel have pre-defined spending approval limits and expedited approval process for increased limits.<br>Finance personnel have exercised purchasing needs with suppliers as part of training.<br>Financial process uses standardized forms.<br>Personnel are familiar with forms adopted for tracking, purchasing, and deploying OSR equipment, materials, and personnel.<br>Coordination and procedures for financial tracking are reviewed with insurers and tested. |

| GOVERNMENT - INDUSTRY: FACILITY OR ASSETS OPERATIONS | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Procedures are in place to receive claims. | Procedures are in place to receive, investigate, and resolve claims.<br>Insurers are identified and included in exercises. | Procedures are in place to receive, investigate, and resolve claims.<br>A claims filing and tracking system has been implemented.<br>Coordinated procedures exist with insurers to expedite claim review and settlement process.<br>Insurers have documented participation in response and/or exercises. |
| **I: TRAINING & EXERCISES** | | |
| Training requirements have been defined for spill management and responders.<br>Training course outline(s) or descriptions are included in plan. Health & Safety is also included.<br>Minimum initial and refresher Health & Safety training requirements are defined for spill management and responders. | Minimum initial and refresher training requirements are defined for spill management and responders.<br>Course outline(s) are included in the plan. Health & Safety is also included. | Minimum initial and refresher training requirements are defined for spill management and responders.<br>Course outline(s) are included in the plan. Health & Safety is also included.<br>Initial and refresher training requirements are defined for levels of expertise and functions (assignments) for personnel in spill management and for responders. |
| Regular training courses are provided on OSCP to response operations personnel. | Regular training courses are provided on OSCP to response operations personnel.<br>Courses are attended by operational responders and OSR response management. | Regular training courses are provided on OSCP to response operations personnel.<br>Courses are attended by operational responders and OSR response management.<br>OSR courses are held on annual basis and include external parties.<br>Train-the-trainer courses are held. |
| In-house spill training courses are offered. | In-house spill training courses are offered.<br>Contracted or government specialists provide spill training courses. | In-house spill training courses are offered.<br>Contracted or government specialists provide spill training courses.<br>Contracted internationally recognized or accredited spill training is held regularly. |
| Training records for personnel document compliance with required training. | Training records document compliance with defined training and include training materials.<br>Training records, curricula, and materials confirm that training is provided by qualified personnel. | Training records document compliance with defined training and include training materials.<br>Training records, curricula, and materials confirm that training is provided by qualified personnel.<br>Training aids are available for self-paced study. |
| Notification and Alerting Exercises are simulated within local area and to operations-wide level as part of training, as per regulatory requirements where defined. | Notification and Alerting Exercises are simulated within local area and to operations-wide level as part of training, as per regulatory requirements where defined.<br>Off-hours and Internal-External alerting and notification are exercised with actual calls as per regulatory requirements where defined.<br>Callouts include local and area-wide notifications. | Notification and Alerting Exercises are simulated within local area and to operations-wide level as part of training, as per regulatory requirements where defined.<br>Off-hours and Internal-External alerting and notification are tested and documented as per regulatory and local requirements.<br>Callouts exercises include local and area-wide notifications.<br>Backup communications system for emergency notification is in place and tested. |

| GOVERNMENT - INDUSTRY: FACILITY OR ASSETS OPERATIONS | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Deployment exercises are conducted at least annually with local resources. | Deployment exercises are conducted regularly (2 to 4 times per year) with local resources.<br>Deployment exercises are conducted regularly (2 to 4 times per year) with regional resources.<br>Exercises include neighboring industries. | Deployment exercises are conducted regularly (2 to 4 times per year) with local resources.<br>Deployment exercises are conducted regularly (2 to 4 times per year) with regional resources.<br>Exercises include neighboring industries.<br>Industry and government partners participate in annual equipment deployment and area-level command center operations exercise. |
| Tabletop (Response Management) Exercises are conducted at prescribed frequency or at least annually. | Tabletop (Response Management) exercises are conducted at prescribed frequency or at least annually.<br>Tabletop exercises include interface with local response personnel and with external parties (e.g., government, mutual aid – industry and community organizations). | Tabletop exercises are conducted at prescribed frequency or at least annually and include interface with local response personnel and with external parties (e.g., government, mutual aid -- industry and community organizations).<br>Tabletop exercises are based on risk assessments including trajectories and extensive strategic planning.<br>Exercises include interface with local response personnel, external parties (e.g., government, mutual aid), and regional response community. |
| **J: SUSTAINABILITY & IMPROVEMENT** | | |
| Exercise critique (plan and execution) recommends actions for OSR improvements at local and/or area-wide operations level. | Exercise critique (plan and execution) recommends actions for OSR improvements at local and/or area-wide operations level.<br>Internal reviews are conducted for all exercises and actual spill response.<br>Recommendations from reviews are implemented and tracked. | Exercise critique (plan and execution) recommends actions for OSR improvements at local and/or area-wide operations level.<br>Internal reviews are conducted for all exercises and actual spill response.<br>Recommendations from reviews are implemented and tracked.<br>External review of exercises, response and preparedness supplements internal critique.<br>Steps are taken for improvements are documented. Management tracks changes until implemented. |
| Audits of operation-wide plan and capabilities are conducted annually. | Audits of operation-wide plan and capabilities are conducted annually.<br>Internal company auditors review plan, integration with local level plans, equipment, and related facilities. | Audits of operation-wide plan and capabilities are conducted annually.<br>Internal company auditors review plan, integration with local level plans, equipment, and related facilities.<br>Internal-External / Experts (Company, Contracted, Government) undertake audits.<br>Responsibilities are assigned to implement changes. Changes are reviewed and approved. |
| Post-Exercise and Post-Spill Evaluations are made and incorporated into actions for OSR program improvements. | Post-Exercise and Post-Spill Evaluations are made and incorporated into actions for OSR improvements.<br>Plan and equipment revisions and improvements are implemented in a timely manner. | Post-Exercise and Post-Spill Evaluations are made and incorporated into actions for OSR improvements.<br>Plan and equipment revisions and improvements are implemented in a timely manner.<br>Post-Exercise and Post-Spill improvements are included in planning and conducting subsequent training.<br>A business continuity plan is included. |

# 9 Industry: Country or Business Line

## 9.1 Description of Scope

Industry operations conducted solely within one country or operations of a single business line with wide-spread assets may have an OSR response program that integrates their response capabilities across multiple facilities or operational areas. Assessment programs should be adapted to address operations either within a single country or multiple countries, as appropriate, for company management.

*Examples:*

- Nation-wide company program
- Pipelines (comprehensive for multiple operations)
- Fleets
- Production
- Drilling & Exploration

The operations encompassed in this scope may have a broad geographic footprint. Two key features are:

- The integration of multiple facilities and operations with context of a broader spill response program, and
- These operations typically have the same line management and follow the same corporate policies.

## 9.2 Concept of Levels

The assessment process is conducted specifically by using RETOS™, which reflects the detailed assessment criteria listed in Table 9 (highlighted in yellow are the critical criteria, only applicable to Level A); however, a separate checklist is provided in RETOS™ for each LEVEL.

The use of three levels for the assessment for this scope does not reflect the complexity of a business line or operations in a country. The level of commitment for time and effort to ensure best practices in OSR plans and readiness can be quite different for more local operations or with limited geographic exposure. Exposure risks (for spill and associated impacts) can also add to the complexity. As stated earlier (Chapter 2.5), the user should select a target level (Level A as a default) against which to assess the OSR capability. **For each Category/ Element, the criteria established for Level B add to those criteria for Level A, and the criteria established for Level C add to those for Levels A and B.**

**ASSESSMENT LEVELS do not correspond to Tiers, in the OSR planning sense.** Rather, an Assessment Level indicates the maturity of that program. A Country- or Business Line OSR Program may be large and complex, encompassing multiple operations and widespread spill risks, and hence would likely need to address a Tier 3 capability. If that Tier 3 capability is just being developed, the Program may be at a Level A. Alternatively, a Country- or Business Line Program for limited operations and spill risks may only have need for Tier 1 and Tier 2 capabilities. Such a program may be at a Level C, however, if it is mature and well developed.

## 9.3 Notes on OSR Categories Applicable to Country or Business-line OSR Programs

Industry Country or Business-line plans and readiness programs typically are prepared to provide a common base to operational and facility plans and capabilities. Country or Business-line OSR plans and response capabilities may integrate aspects of multiple facility plans and geographically-wide operations. This OSR capability should fit within a framework or regional and/ or national OSR programs. Major focus is on regional to national preparedness (Tier 2 and Tier 3).

**Table 9** - *Criteria Matrix for OSR Assessment- SCOPE: Industry – Country or Business Line*

| INDUSTRY: COUNTRY OR BUSINESS LINE | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| **A: LEGISLATION, REGULATIONS & AGREEMENTS** | | |
| Business-line or Country Plan adheres to National and Corporate policies and requirements for OSR and assigns responsibilities. | Business-line or Country Plan adheres to National and Corporate policies and requirements for OSR and assigns responsibilities.<br>OSR program encompasses all oil handling, storage, and transport phases including offshore exploration and production.<br>Lead OSR responsibility has been assigned at Corporate or Operational levels. | Business-line or Country Plan adheres to National and Corporate policies and requirements for OSR and assigns responsibilities.<br>OSR program encompasses all oil handling, storage, and transport phases including offshore exploration and production.<br>Lead OSR responsibility has been assigned at Corporate or Operational levels.<br>Roles of other company or industry support are identified.<br>The relation to government planning requirements is clearly defined. |
| Business-line or Country Plan references applicable international standards and guidelines. | Business-line or Country Plan references applicable to international standards and guidelines.<br>Business-line or Country Plan defines timeframes and specific requirements for operational and/or facility plans. | Business-line or Country Plan references applicable to international standards and guidelines.<br>Business-line or Country Plan defines timeframes and specific requirements for operational and/or facility plans.<br>The OSR organization is defined for business line, regional, country, or operating areas. |
| The company is actively engaged in OSR planning efforts in the countries where it has operations. | The company is actively engaged in OSR planning efforts in the countries where it has operations.<br>Company has mutual aid and/or international agreements to augment its oil spill response capabilities within the countries it operates. | The company is actively engaged in OSR planning efforts in the countries where it has operations.<br>The company has mutual aid (and possibly) international agreements and capacity for oil spill response applicable to the Business-line spill risk and country(ies) in which it operates.<br>The Company actively enhances response capability through joint exercises, training, and workshops.<br>OSR expertise and information are exchanged on a regular basis with other programs of similar scope.<br>Linkage to other national plans is specified, as appropriate. |
| **B: OIL SPILL CONTINGENCY PLANNING** | | |
| A business-line or Country OSR plan has been developed and approved; identifies organization and applicable Designated Authorities for oil spill response and/or defines authority for specific spill cases (e.g., spill to land vs. spill to marine waters). | A business-line or Country OSR plan has been developed and approved; identifies organization and Designated Authorities for oil spill response (and/or defines authority for specific spill cases (e.g., spill to land vs. spill to marine waters).<br>An approved Business-line or Country OSR plan has been developed through partnership with collaborating agencies/departments with associated responsibilities. | A business-line or Country OSR plan has been developed and approved; identifies organization and Designated Authorities for oil spill response (and/or defines authority for specific spill cases (e.g., spill to land vs. spill to marine waters).<br>An approved Business-line or Country OSR plan has been developed through partnership with collaborating agencies/departments with associated responsibilities.<br>An approved Business-line or Country OSR plan has a history of development, testing, and revision with distribution to all responsible participating agencies/departments.<br>Designated Authority and roles/responsibilities of participating agencies are defined, as applicable.<br>The relation between government and private industry planning is also indicated. |

| INDUSTRY: COUNTRY OR BUSINESS LINE | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| An approved Corporate OSR Plan is available. | The relationship between the Corporate Plan and the Business-line or Country OSR Plan has been tested through exercises and/or response. | An approved Corporate Plan is well established and its relation to the Business-line or Country OSR Plan has been tested through exercises and/or response.<br>The business-line or Country OSR Plan has a history of review and development. |
| Business-line or Country OSR adheres to designated planning levels set by National, Regional, or Corporate requirements. | Business-line or Country OSR adheres to designated planning levels set by National, Regional, or Corporate requirements.<br>Planning levels also consider a risk-based approach and define priority areas of potential spills based on operations, volumes, and environmental factors.<br>Corporate or international statistical data are used to scope or define planning tiers or concepts. | Business-line or Country OSR adheres to designated planning levels set by National, Regional, or Corporate requirements.<br>Planning levels also consider a risk-based approach and define priority areas of potential spills based on operations, volumes, and environmental factors.<br>Contents and format for facility/shipboard/area plans are specified. |
| Applicable and related government, Corporate, and facility plans are identified. | The relationship with other corporate and facility-specific plans and with pertinent government plans (National, area/regional, and local), is identified and described. | The relationship with other corporate and facility-specific plans, and with pertinent government plans (National, area/regional, and local), is identified and described.<br>Signed written agreements are in place for mutual aid and to cascade resources.<br>Inventories for equipment that can be accessed are indicated, as applicable. |
| Expertise (government/industry) for OSR-related issues is listed. | Expertise (government/industry) for OSR-related issues is listed.<br>Corporate and regional/country experts who have knowledge of the OSR plan and scope, and can support a response, are listed | Expertise (government/industry) for OSR-related issues is listed.<br>Corporate and regional/country experts who have knowledge of the OSR plan and scope, and can support a response, are listed.<br>Contracts or agreements are in place with local, regional and international OSR experts in specialized fields who have participated in planning and exercises. |
| Plan has been reviewed or revised in past year.<br>Key contacts are updated as they change. | Plan has been reviewed or revised in past year.<br>Key contacts are updated as they change.<br>Revision log and dated pages document reviews or revisions within past year. | Plan has been reviewed or revised in past year.<br>Key contacts are updated as they change.<br>Revision log and dated pages document reviews/ revisions as per update procedures, including plan implementation following actual spills, and at least annually.<br>Spill risks are re-assessed regularly.<br>A post-incident review is included. |

| INDUSTRY: COUNTRY OR BUSINESS LINE | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Priority planning is focused on geographic areas or operations of higher spill risk and environmental sensitivity. | Priority planning is focused on geographic areas or operations of higher spill risk and environmental sensitivity.<br>Business-line or Country planning policy establishes requirements to define at-risk areas based on spill trajectories for worst-case spills.<br>Relevant properties of oils of concern are considered when identifying sensitive natural resources.<br>Guidelines stipulate use of trajectories and sensitivity mapping at regional to local levels. | Priority planning is focused on geographic areas or operations of higher spill risk and environmental sensitivity.<br>Business-line or Country planning policy establishes requirements to define at-risk areas based on spill trajectories for worst-case spills.<br>Guidelines stipulate integration with sensitivity mapping at regional to local levels.<br>Stochastic and worst-case trajectories are required for response planning.<br>Relevant properties of oils of concern are considered when identifying sensitive natural resources.<br>Organizations supplying specific data (oil properties, weather, environmental, etc.) are listed. |
| Plan describes key sensitive areas and priorities. | Plan lists and defines key sensitive areas and priorities.<br>Policy for use, reference or development of sensitivity maps adhere to sensitivity indexing practices. | Plan lists and defines key sensitive areas and priorities.<br>Policy for use, reference or development of sensitivity maps adhere to sensitivity indexing practices.<br>Plan specifies criteria to define key sensitive areas.<br>Key areas are mapped with identification/protection of resources at risk.<br>Standards are in place for mapping and GIS databases for sensitive areas including, for example, endangered species, wetlands, recreational facilities, mariculture, and archeological sites. |
| Plan defines policies to reduce the risk and/or consequences of a spill and indicates existing prevention programs. | Plan defines policies to reduce the risk and/or consequences of a spill and indicates existing prevention programs.<br>Plan defines standards for spill prevention.<br>Mechanisms are in place to verify implemented prevention procedures to reduce accidents and to minimize oil loss if an incident occurs. | Plan defines policies to reduce the risk and/or consequences of a spill and indicates existing prevention programs.<br>Plan defines standards for spill prevention.<br>Mechanisms are in place to verify implemented prevention procedures to reduce accidents and to minimize oil loss if an incident occurs.<br>Trends, sources, causes of spills (vessel traffic, transfer, production, exploration, collision, grounding) are documented and provide additional foundation for required prevention measures.<br>Requirements for spill prevention are detailed and exceed stipulated regulatory prevention requirements. |
| Response strategies are clearly stated and provide for response to applicable operating conditions and oil types.<br><br>Personnel and equipment needs for adopted strategies are indicated. | Response strategies are clearly stated and provide for response to applicable operating conditions and oil types.<br>Personnel and equipment needs for adopted strategies are indicated.<br>Plan specifies requirements to develop strategies and tactical details for high spill-risk areas at area or local planning levels, including equipment and personnel needs. | Response strategies are clearly stated and provide for response to applicable operating conditions and oil types.<br>Personnel and equipment needs for adopted strategies are indicated.<br>Plan specifies requirements to develop strategies and tactical details for high spill risk areas at area or local planning levels, including equipment and personnel needs.<br>Plan specifies requirement to develop detailed tactical plans (graphics, maps, personnel and equipment) for priority areas within zones of high spill risk in facility and operational OSR plans.<br>Detailed tactics are prioritized and are appropriate for operating conditions. |

| INDUSTRY: COUNTRY OR BUSINESS LINE | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Plan reflects National and/ or Corporate policy on use of treating agents for spill response (dispersants, cleaning agents, bioremediation agents, herders, etc.). | Plan reflects National and/ or Corporate policy on use of treating agents for spill response (dispersants, cleaning agents, bioremediation agents, herders, etc.).<br>A process for the use of dispersants, herders, beach cleaners, etc. is in place that allows assessment and approval within a reasonable "window of opportunity" (less than 12 hours). | Plan reflects National and/or Corporate policy on use of treating agents for spill response (dispersants, cleaning agents, bioremediation agents, herders, etc.).<br>A process for the use of dispersants, herders, beach cleaners, etc. is in place that allows assessment and approval within a reasonable "window of opportunity" (less than 12 hours).<br>A procedure for NEBA or SIMA is in place for dispersants and other treating agents with clearly defined applicability and limitations.<br>A cooperative program assesses alternative countermeasures involving companies and governments. |
| A policy for the use of in situ burning is clearly defined. | A policy for the use of in situ burning is clearly defined.<br>Procedures are in place to evaluate and approve in situ burning within a reasonable "window of opportunity" (less than 24 hours).<br>The required elements of a burn plan are published which address all relevant factors. | A policy for the use of in situ burning is clearly defined.<br>Procedures are in place to evaluate and approve in situ burning within a reasonable "window-of-opportunity" (less than 24 hours).<br>The required elements of a burn plan are published which address all relevant factors.<br>A procedure for NEBA or SIMA is in place for in situ burning with clearly defined applicability, limitations, and approval process (may include pre-approval for specific conditions) as well as monitoring role.<br>The company actively engages in the assessment of in situ burning in conjunction with governments. |
| Shoreline protection and cleanup policies are outlined. | Shoreline protection and cleanup policies are outlined.<br>Shoreline protection and treatment are considered that include planning factors for carrying out assessment and remediation (SCAT). | Shoreline protection and treatment are considered that include planning factors for carrying out assessment and remediation (SCAT).<br>Shoreline protection and treatment policies are delineated that consider SCAT as well as specifics such as workforce, spill responder safety training, debris, oil removal, and cleanup standards (endpoints). |
| **C: RESPONSE COORDINATION** | | |
| A clear procedure outlines what types of information are to be reported on a response and who should receive initial spill notification and any follow-up reports.<br>A spill reporting form is included.<br>A contact list includes key personnel. | A clear procedure outlines what types of information are to be reported on a response and who should receive initial spill notification and any follow-up reports.<br>A spill reporting form is included.<br>Initial spill notification checklists/ forms are readily available.<br>Callout procedures include flow charts for internal and external parties with their contact data. | A clear procedure outlines what types of information are to be reported on a response and who should receive initial spill notification and any follow-up reports.<br>A spill reporting form is included.<br>Initial spill notification checklists/forms are readily available.<br>Callout procedures include flow charts for internal and external parties with their contact data.<br>Redundant callout procedures are based on common checklists and/or forms.<br>A directory lists internal, external contacts (primary and alternate) that are immediately available. |

| INDUSTRY: COUNTRY OR BUSINESS LINE | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| A spill management structure has been established and defined for all spill types and tiers including land- and sea-based incidents. | A spill management structure has been established and defined for all spill types and tiers including land- and sea-based incidents.<br>The spill management organization is designed to allow easy expansion and/or contraction of personnel and equipment per tiers, plus smooth integration with other OSR organizations and plan holders, as appropriate. | A spill management structure has been established and defined for all spill types and tiers including land- and sea-based incidents.<br>The spill management organization is designed to allow easy expansion and/or contraction of personnel and equipment per tiers, plus smooth integration with other OSR organizations and plan holders, as appropriate.<br>The spill management organization is flexible, robust, and accommodates response needs for all tiers.<br>A common incident management system is defined for all related OSR plan holders and responding participants.<br>The incident management organization is based on sound Incident Management System principles (e.g., ICS) and addresses regional responsibilities. |
| Roles and responsibilities evident for each functional aspect are identified in OSR management organization. | Responsibility checklists are available and defined for each role in the OSR management team. | Roles and responsibilities evident for each functional aspect are identified in OSR management organization.<br>Responsibility checklists are available and defined for each role in the OSR management team.<br>OSR management personnel have checklists for their personal use during response.<br>Checklists are available in the plan, at a Command Post, or maintained in individual OSR kits. |
| The role of Business-line/Country Team in Incident Command and in Crisis Management is defined. | The role of Business-line/Country Team in Incident Command and in Crisis Management is defined.<br>Personnel appointed to a Unified or Joint Command are specified.<br>Records of Joint or Unified Command meetings and interface with Crisis Management indicate a working team. | The role of Business-line/Country Team in Incident Command and in Crisis Management is defined.<br>Business-line/Country OSR support team and Crisis Management Team roles are assigned to specific individuals (by name or position) with backups identified.<br>Personnel appointed to, and in direct support of, a Unified or Joint Command are defined.<br>Records of Joint or Unified Command meetings and interface with Crisis Management indicate a working team.<br>Records show regular pattern of Joint or Unified Command meetings, exercises, and/or response.<br>Specialist or contractor assistance is considered to augment the response capability. |
| Positions (and/or personnel) assigned to OSR management roles are identified. | Personnel assigned to OSR management roles as part of a Business-line or Country Support teams are listed. | Personnel assigned to OSR management roles as part of a Business-line or Country Support teams are listed.<br>Trained OSR support personnel are available to manage 24-hr extended worst-case spill (shifts). |
| Procedures are in place and responsibility has been assigned for communications with media during a spill response. | Procedures are in place and responsibility has been assigned for communications with media during a spill response.<br>A template release is available for initial notice.<br>Person assigned for media communications has established contact with local media outlets. | Procedures are in place and responsibility has been assigned for communications with media during a spill response.<br>A template press release is available for initial notice.<br>Person assigned to media communications has established contact with local media.<br>Person assigned to media communications is trained in media management and has worked with OSR command on public speaking and/or mock press conferences. |

| INDUSTRY: COUNTRY OR BUSINESS LINE | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Procedures are in place and responsibility has been assigned for liaison function with other business units, authorities, or government parties during a spill response. | Procedures are in place and responsibility has been assigned for liaison function with business units, authorities, or government parties during a spill response.<br>The Crisis Management team has list of key liaison contacts. | Procedures are in place and responsibility has been assigned for liaison function with business units, authorities, or government parties during a spill response.<br>The Crisis Management team has a comprehensive list of liaison contacts and has record of communications with key contacts.<br>Protocols are in place for internal communications, joint information sharing, information centers, authorized release of communications, and special websites.<br>Forms are included to request expertise, equipment, and materials.<br>Receiving and sending spill response assistance has been addressed. |
| Standards are defined for minimum requirements of response centers.<br>A Country-wide or Business-line response or emergency center has been established. | Standards are defined for minimum requirements of response centers.<br>A Country-wide or Business-line response or emergency center has been established.<br>A response center with computer and communications links and library/references is in place.<br>Ties have been established with corresponding government response center(s). | Standards are defined for minimum requirements of response centers.<br>A Country-wide or Business-line response or emergency center has been established.<br>A response center is in place with computer and communications links, library/references, briefing and PR break out rooms, and accommodations.<br>Tested linkages have been established with corresponding government response center(s). |
| **D: HEALTH, SAFETY & SECURITY** | | |
| Health and safety policies and corporate standards are in place that meet or exceed government requirements for protecting both the public and responders from the effects of spills. | Health and safety corporate standards for spill responders are in place, meet or exceed government requirements, and are actively enforced through on-site checks and in planning requirements.<br>On-scene controls are in place to address safety of volunteers for response. | Health and safety corporate standards for spill responders are in place, meet or exceed government requirements, and are actively enforced through on-site checks and in planning requirements.<br>On-scene controls are in place to address safety of volunteers for response.<br>Health and safety corporate standards for spill responders meet or exceed best international practices.<br>Standards include requirements for hazard assessment, training, and on-site monitoring.<br>Specific requirements for safety training of volunteers are defined. |
| A company authority is designated to address and monitor site safety during response. | A company authority is designated to address and monitor site safety during response.<br>A designated company authority has procedures in place and enforcement capacity to assess and define safety requirements for response personnel according to assignments. | A company authority is designated to address and monitor site safety during response.<br>A designated company authority has trained competent personnel knowledgeable in procedures and with enforcement capacity to assess and define safety requirements for response personnel according to assignments. |

| INDUSTRY: COUNTRY OR BUSINESS LINE | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| A company authority is designated to address and provide or augment site security during response. | A company authority is designated to address and provide or augment site security during response.<br>An assigned company authority has procedures in place and enforcement capacity enabling it to assess and define security restrictions for a response area including air, water and land access restrictions. | A company authority is designated to address and provide or augment site security during response.<br>There is an assigned company authority with a proven record of designating, and enforcing, security restrictions for a response area, including air, water, or land access.<br>Security concerns which may pose a potential conflict with spill response priorities (e.g., bomb threats, terrorism, etc.) are identified in the plan and procedures are identified to clearly resolve conflicts. |
| **E: OPERATIONAL RESPONSE** | | |
| Country or Business Line establishes policies and procedures to minimize spill volumes through pre-planning for source control: transfers, emergency lightering, etc. | Country or Business Line establishes policies and procedures to minimize spill volumes through situational stabilization (e.g., rescue tugs, places of refuge) and source control: transfers, emergency lightering, etc. | Country or Business Line establishes policies and procedures to minimize spill volumes through situational stabilization as applicable and as pre-established and/or pre-approved (e.g., rescue tugs, places of refuge) and source control: transfers, emergency lightering, etc.<br>Country or Business Line has a clearly defined spill prevention program with procedures that meet international standards and practices to minimize the frequency of spills, spill volumes, and spill spreading. |
| Minimum response equipment planning levels are defined for Tier 1 risks (most likely routine spills). | Minimum response equipment planning levels are defined for Tier 1 risks (most likely routine spills).<br>Equipment levels and response times for Tiers 2 and 3, as appropriate, are generally defined for distinct potential spill source operations (terminals, pipelines, wells, etc.). | Minimum response equipment planning levels are defined for Tier 1 risks (most likely routine spills).<br>Equipment levels and response times for Tiers 2 and 3, as appropriate, are generally defined for distinct potential spill source operations (terminals, pipelines, wells, etc.).<br>Guidelines for appropriate equipment and manpower levels are defined for Tiers 1 through 3, as appropriate, and require a Best Available Technology assessment on a recurrent basis.<br>Mobilization of operations is considered. |
| A list of OSR equipment locations and general amounts and types is available. | A detailed listing or database of locations, amounts, and types of OSR equipment is maintained and updated on a scheduled basis. | A comprehensive database of locations, amounts, and types of OSR equipment is maintained with consistent information on all OSR resources (industry and government).<br>Equipment inspections and evaluations are performed on a scheduled basis in relation to Best Available Technology criteria and the database updated accordingly.<br>Mechanical recovery, treating agent and dispersion, and in situ burning are considered. |
| Equipment locations are identified, and secured.<br>Equipment locations allow for quick access and deployment. | Equipment locations are identified and secured.<br>Equipment locations are distributed to allow quick response to key spill risk locations. | Equipment locations are identified, secured, and distributed to allow response within defined mobilization and transit times to key spill risk locations from possible staging areas.<br>Pre-deployed equipment or permanently installed tertiary containment is in place. |

| INDUSTRY: COUNTRY OR BUSINESS LINE | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Operational use of countermeasures has been verified in an annual drill. | Operational use of countermeasures has been verified in an annual drill.<br>Countermeasures including containment, skimming, protection, and other options as applicable (e.g., dispersants, burning) have been verified and reviewed in exercises and drills. | Countermeasures including containment, skimming, protection, and other options as applicable (e.g., dispersants, burning) have been verified and reviewed in exercises and drills.<br>All major countermeasures are tested twice annually.<br>Upgraded or new response options are identified and considered in response enhancement.<br>Applicable response options can be implemented within applicable windows of opportunity, including mechanical, treating agents, in situ burning, and shoreline treatment. |
| A Waste Management Plan is outlined. | Procedures are defined to minimize potential waste streams, temporarily handle oily waste, and ultimately reuse or dispose of waste materials. | Procedures are defined and adopted to minimize potential waste streams, temporarily handle waste, and ultimately reuse or dispose of waste materials including oily debris.<br>Intermediate and long-term storage options and associated criteria are defined.<br>Trans-boundary waste movement policies and procedures are defined. |
| Wildlife recovery contacts are included. | Wildlife recovery contacts are included.<br>Agreements or contracts with wildlife recovery and rehabilitation contractors are in place.<br>Policies and procedures are in place to mobilize and establish wildlife response facilities for spills. | Wildlife recovery contacts are included.<br>Agreements or contracts with wildlife recovery and rehabilitation contractors are in place.<br>Policies and procedures are in place and have been tested to mobilize and establish wildlife response facilities for spills.<br>International best practices have been adopted for wildlife response.<br>Select personnel for wildlife response have been trained accordingly. |
| Business-line or Country planning includes a policy for restoration and post-spill monitoring. | Business-line or Country planning includes a policy for restoration and post-spill monitoring.<br>Corporate support for restoration and post-spill monitoring is indicated. | Business-line or Country planning includes a policy for restoration and post-spill monitoring.<br>Corporate support for restoration and post-spill monitoring is indicated.<br>Follow-up studies of impacts and cleanup are anticipated using best international practices, and sources of funding and expertise are noted. |
| **F: TRACKING, ASSESSMENT & INFORMATION MANAGEMENT** | | |
| Role or assignment is defined in OSR management to undertake spill tracking, including monitoring. | Role or assignment is defined in OSR management to undertake spill tracking, including monitoring.<br>Source of forecasting ability (weather, currents, river/stream flow, etc.) is defined.<br>Standardized procedures are in place to provide tracking and monitoring of a spill (on water, land, groundwater). | Role or assignment is defined in OSR management to undertake spill tracking, including monitoring.<br>Source of forecasting ability (weather, currents, river/stream flow, etc.) is defined.<br>Standardized procedures are in place to provide tracking and monitoring of a spill (on water, land, groundwater).<br>Trained personnel with expertise to undertake spill tracking, including monitoring, are assigned to roles in Company OSR support team.<br>Tracking systems include private and government sources of best available technology for visible and non-visual tracking identified and available (e.g., drones, satellite; IR for night and low visibility conditions; tracking buoys; under dense foliage). |
| Source of forecasting ability (weather, currents, river/stream flow, etc.) is defined. | | |

| INDUSTRY: COUNTRY OR BUSINESS LINE | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| A company response center maintains access to maps or charts for tracking spill movement and response operations. | A company response center maintains access to maps or charts for tracking spill movement and response operations.<br>A company response center has mapping links with operational sites and immediate access to computerized models for weather, current, river flow, and oil fate and trajectory forecasting. | A company response center maintains access to maps or charts for tracking spill movement and response operations.<br>A company response center has mapping links with operational sites and provides computerized models and expertise to analyze spill trajectories and weathering for all appropriate situations (e.g., spills on water, into rivers, in groundwater, originating in deep offshore, etc.).<br>Mechanism is in place for Common Operating Picture (COP) displays. |
| A company support team can provide oiling assessment, mapping, and cleanup technique advice. | A company support team provides oiling assessment, mapping, and cleanup technique teams.<br>Personnel are trained, available 24/7, and have the tools needed to input advice for cleanup priorities and operations. | A company support team provides oiling assessment, mapping, and cleanup technique teams.<br>Personnel are trained, available 24/7, and have the tools needed to input advice for cleanup priorities and operations.<br>Company oiling assessment, mapping, and cleanup technique teams have the best available response options (e.g., digital maps, GIS, SCAT Data Coordinator, etc.) for advising on cleanup priorities and operations. Corporate Planning, Country Planning, or Business Line Planning includes procedures and tools for restoration and post-spill monitoring. |
| **G: LOGISTICS** | | |
| Key logistical support providers and capabilities are identified to support response from Company teams. | Key logistical support providers and capabilities are identified to support response from Company teams.<br>A company response team provides logistical support to operating regions.<br>Logistical service providers and capabilities are identified for wide response.<br>Terms and conditions for mobilizing, and costs, are established on a pre-spill basis. | Key logistical support providers and capabilities are identified to support response from Company teams.<br>A company response team provides logistical support to operating regions.<br>Logistical service providers and capabilities are identified for wide response.<br>Terms and conditions for mobilizing, and costs, are established on a pre-spill basis.<br>Logistical support services are tested and reviewed periodically for all operations encompassed within the Country or Business-line plan. |
| Company planning provides guidelines to local operations/ facilities for logistical planning needs. | Company planning provides guidelines to local operations/ facilities for logistical planning needs.<br>Tier 2 and 3 support services are identified, as appropriate, and key logistical sources are contracted on pre-spill basis. | Company planning provides standards to local operations/facilities for logistical planning.<br>Tier 2 and 3 support services are incorporated across planning levels.<br>Should key Tier 3 logistical sources be needed, these are contracted on pre-spill basis and participate in exercises.<br>Sources for tiered response support are updated on annual basis in plan. |
| Response times for Company OSR Spill Management or Support Team deployment are identified and tested. | Response times for Company OSR Spill Management or Support Team deployment are identified and tested.<br>Team integration with local/ facility/operations teams is tested. | Response times for Company OSR Spill Management or Support Team deployment are identified and tested.<br>Team integration with local/facility/operations teams is tested, evaluated, and improved. |

| INDUSTRY: COUNTRY OR BUSINESS LINE | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Assets and procedures for communications between field and Company OSR Spill Management or Support Team are in place. | Assets and procedures for communications between field and Company OSR Spill Management or Support Team are in place.<br>Communications equipment is on hand and secondary or backup systems are identified. | Assets and procedures for communications between field and Company OSR Spill Management or Support Team are in place.<br>Communications equipment is on hand and secondary or backup systems are identified.<br>Communications (voice, digital, common planning tools) are tested for integration with sites. |
| Customs and immigration procedures are defined to streamline transport and delivery of personnel and equipment between regions/areas. | Customs and immigration procedures are defined to streamline transport and delivery of personnel and equipment between regions/areas.<br>Customs and immigration expediting procedures are in place to temporarily export or import Company OSR Spill Management or Support Team personnel, contracted experts and technical support, and Tier 2 or 3 equipment, as appropriate. | Customs and immigration procedures are defined to streamline transport and delivery of personnel and equipment between regions/areas.<br>Customs and immigration expediting procedures are in place to temporarily export or import Company OSR Spill Management or Support Team personnel, contracted experts and technical support, and Tier 2 or 3 equipment, as appropriate.<br>Periodic exercises are conducted to test and streamline immigrating and expediting procedures.<br>Key liaison agencies (or personnel) are identified to help with trans-border movements.<br>Agencies that must issue permits for specific OSR activities are listed, e.g., for hazardous material transport, dispersants, in situ burning, land access, waste disposal, etc. |
| Decontamination policies and responsibilities are defined. | Decontamination policies and responsibilities are defined.<br>Decontamination facilities are available for personnel and equipment. | Decontamination policies and responsibilities are defined.<br>Decontamination facilities are available for personnel and equipment.<br>National and international sources for additional PPE and supplies are pre-determined. |
| **H: FINANCIAL & ADMINISTRATIVE CONSIDERATIONS** | | |
| An emergency fund is available to support augmentation of OSR actions as required by a spill. | An emergency fund is available to support increasing response actions as demanded by a spill.<br>Company planning has established financial tracking systems for roles in spill emergency response.<br>Company finance and administrative personnel have tools for resource ordering, purchasing, and cost tracking for emergencies. | An emergency fund is available to support augmenting response actions as required by a spill.<br>Company planning has established financial tracking systems for roles in spill emergency response.<br>Company finance and administrative personnel have tools for resource ordering, purchasing, and cost tracking for emergencies.<br>Company finance/administrative personnel have practiced their support role by training at local/facility/operational levels in resource ordering, purchasing, and cost tracking and forecasting as well as compensating individuals and organizations for expenses. |
| Procedures are in place to receive claims. | Procedures are in place to receive, investigate, and resolve claims with Company OSR Spill Management or Support Team.<br>Financial personnel have contact information for oil pollution insurers and funds, as appropriate. | Procedures are in place to receive, investigate, and resolve claims with Company OSR Spill Management or Support Team.<br>Financial personnel have contact information for oil pollution insurers and funds, as appropriate.<br>Claims filing and tracking system implemented with Corporate-level support.<br>Corporate Finance/Admin personnel have established procedure to work with local personnel in receipt and processing of claims.<br>Coordinated procedures exist with insurers to expedite claim review and settlement process consistent with international compensation schemes (e.g., P&I Clubs and treaties). |

| INDUSTRY: COUNTRY OR BUSINESS LINE | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Company policies are defined for legal support and related matters including sampling/collecting evidence, taking statements, and mechanisms for settling disputes and claims. | Legal investigations are considered including sampling/collecting evidence, taking statements, and mechanisms for settling disputes and claims.<br>Illegal discharges are specified. | Legal investigations are considered including sampling/collecting evidence, taking statements, and mechanisms for settling disputes and claims.<br>Illegal discharges are specified.<br>Personnel assigned to legal support are trained and versed in OSR operations and issues. |
| **I: TRAINING & EXERCISES** | | |
| A company policy for minimum initial and refresher training requirements, including Health & Safety, is defined for spill management and responders. | A company policy for minimum initial and refresher training requirements, including Health & Safety, is defined for spill management and responders.<br>Training meets international standards.<br>Requirements for training records are defined and records are subject to verification. | A company policy for minimum initial and refresher training requirements, including Health & Safety, is defined for spill management and responders.<br>Training exceeds international standards.<br>Requirements for training records are defined and records are subject to verification.<br>Company audits or reviews and training records are routinely checked, verified, and subject to feedback to local/facility/operations levels. |
| Regular training courses are provided on OSCPs to assigned OSR management and lead response operational personnel. | Designated personnel for lead and participating Company OSR Spill Management or Support Team members have received detailed training on OSCPs, roles and responsibilities, incident management system (e.g., ICS), and procedures for implementing duties during a response. | Designated personnel for lead and participating Company OSR Spill Management and Support Team members have received detailed and refresher training on OSCPs, roles and responsibilities, and procedures for implementing duties during a response.<br>Cross-training with local/facility/operations teams includes interface with intergovernmental and industry initiatives. |
| In-house spill training courses are provided. | In-house spill training courses are provided.<br>Contracted specialists provide spill training courses. | In-house spill training courses are provided.<br>Contracted specialists provide spill training courses.<br>Contracted internationally recognized or accredited spill training with course outlines are specified. |
| Training records for designated personnel document compliance with required training. | Training records for designated personnel document compliance with required training.<br>Training records include training materials; training is provided by qualified personnel. | Training records for designated personnel document compliance with required training.<br>Training aids are available; training is provided by certified and/or qualified experts. |
| Notification and Alerting Exercises are conducted frequently (2 to 4 times per year) and are required of plan holders. | Records document that notification and alerting exercises are conducted frequently (2 to 4 times per year) and are required of plan holders.<br>Notification exercises include off-hours; internal-external alerting; and cross-operational/facilities, where appropriate. | Records document that notification and alerting exercises are conducted frequently (2 to 4 times per year) and are required of plan holders.<br>Notification exercises include off-hours; internal-external alerting; and cross-operational/facilities, where appropriate. |
| Deployment exercises are required and held including mobilized Tier 2 response assets. | Deployment exercises are required and held from Tier 2 response depots.<br>Deployment exercises are held jointly to include Tier 2 and 3 response depots and Industry, as appropriate. | Deployment exercises are required and held from Tier 2 response depots.<br>Deployment exercises are held jointly to include Tier 2 and 3 response depots and Industry, as appropriate.<br>Multi-location deployment exercises (e.g., Tier 2 or 3, as appropriate) are held jointly to test and coordinate Corporate/Company and joint Industry/Government capabilities. |

| INDUSTRY: COUNTRY OR BUSINESS LINE | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Tabletop (Response Management) Exercises are required and held at prescribed frequency (e.g., 1-2 times per year). | Tabletop (Response Management) Exercises are required and held at prescribed frequency (1-2 times per year).<br>Tabletop (Response Management) Exercises include external parties.<br>Exercises plans are well developed.<br>A standard approach for exercise evaluation is in place that allows ready implementation of changes. | Tabletop (Response Management) Exercises are required and held at prescribed frequency (1-2 times per year).<br>Tabletop (Response Management) Exercises include external parties.<br>Exercises plans are well developed.<br>Tabletop (Response Management) Exercises include international authorities (as appropriate).<br>Tabletop exercises are based on risk assessments and address distinct situations and environmental factors.<br>A standard approach for exercise evaluation is in place that allows ready implementation of changes.<br>Exercises are audited and evaluated by professional or experienced third-party OSR experts. Changes are implemented as needed. |
| Courses to be attended by Company OSR Spill Management or Support Team personnel are listed. | Courses to be attended by Company OSR Spill Management or Support Team personnel are listed.<br>Courses are attended by Company OSR Spill Management or Support Team personnel including for example ICS, SCAT, basic spill response, dispersant application, in situ burning, and waste management. | Courses to be attended by Company OSR Spill Management or Support Team personnel are listed.<br>Courses are attended by Company OSR Spill Management or Support Team personnel including for example ICS, SCAT, basic spill response, dispersant application, in situ burning, and waste management.<br>Specialized courses are organized for Company OSR Spill Management and Support Team to provide in-house expertise to local/facility/operational teams.<br>Company specialists (or contracted personnel) have documented ongoing and refresher training or equivalent experience. |
| **J: SUSTAINABILITY & IMPROVEMENT** | | |
| Exercise critiques (plan and execution) recommend actions for OSR improvements.<br>An exercise oversight role is specified as appropriate for integrated exercises at local/facility/operational levels. | Exercise critiques (plan and execution) recommend actions for OSR improvements.<br>Internal reviews are conducted of past spills and exercises.<br>Recommendations from exercise evaluations (equipment deployment, tabletops) are implemented and tracked.<br>Exercise participation and oversight role are specified as appropriate for integrated exercises at local/facility/operational levels. | Exercise critiques (plan and execution) recommend actions for OSR improvements.<br>Internal reviews are conducted of past spills and exercises.<br>External review supplements internal critique for both exercises and actual spills. Steps taken for improvements are documented.<br>Recommendations from exercise evaluations (equipment deployment, tabletops) are implemented and tracked.<br>Exercise participation and oversight role are specified as appropriate for integrated exercises at local/facility/operational levels.<br>Government representatives, Mutual Aid, and Tier 3 support, as appropriate, form part of post-exercise or post-spill evaluation and feedback. |
| A Company Team or Work Group is assigned to review and recommend OSR enhancements at local/regional/national levels. | A Company Team or Work Group is assigned to review and recommend OSR enhancements at local/regional/national levels.<br>A Company Team or Work Group meets at least annually to review OSR plans and readiness and make recommendations that have a record of actions and implementation. | A Company Team or Work Group is assigned to review and recommend OSR enhancements at local/regional/national levels.<br>A Company Team or Work Group meets at least annually to review OSR plans and readiness and make recommendations that have a record of actions and implementation.<br>Internal-External / Experts work with Company Team or Work Group to undertake audits and provide recommendations.<br>Responsibilities are assigned to implement recommended changes. Changes are reviewed and approved. |

| INDUSTRY: COUNTRY OR BUSINESS LINE | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Post-Spill Evaluation and Revisions to Plan are documented. | Post-Spill Evaluation and Revisions to Plan are documented.<br>Plan and equipment revisions and improvements are implemented in a timely manner. | Post-Spill Evaluation and Revisions to Plan are documented.<br>Plan and equipment revisions and improvements are implemented in a timely manner.<br>Plan and equipment improvements are made and included in planning and conducting subsequent training.<br>Personnel and OSR equipment needs are also addressed.<br>Changes are adopted for oil-related transportation, exploration, and production systems as determined by review processes of preventative measures and safeguards.<br>A business continuity plan is in place that can be implemented. |
| Research and development is promoted to improve countermeasures such as mechanical recovery, treating agent application, shoreline treatment, in situ burning and remote sensing. | Research and development programs are funded to improve countermeasures such as mechanical recovery, treating agent application, shoreline treatment, in situ burning and remote sensing. | Research and development programs are funded to improve countermeasures such as mechanical recovery, treating agent application, shoreline treatment, in situ burning and remote sensing.<br>Research and development programs are carried out by various agencies to improve countermeasures such as mechanical recovery, treating agent application, shoreline treatment, in situ burning and remote sensing.<br>Environmental data are reviewed, updated and compiled for resources at risk. |

# 10 Industry: Corporate

## 10.1 Description of Scope

Corporate industry plans and OSR readiness address a broad area of likely operations. Corporate OSR programs set the tone for OSR capabilities and expectations at facility to operations levels.

*Examples:*

- Company OSR Program
- OSR portion of Corporate HSE Programs
- OSR programs defined in ISO and adopted international practices

A key feature of this scope is how a company or corporation sets the model for more detailed readiness programs. Likewise, this program integrates OSR readiness across business lines and possible country lines. The policies, expectations, and models for response readiness and emergency management are focal aspects of Corporate OSR programs.

## 10.2 Concept of Levels

The assessment process is conducted specifically by using RETOS™, which reflects the detailed assessment criteria listed in Table 10 (highlighted in yellow are the critical criteria, only applicable to Level A); however, a separate checklist is provided in RETOS™ for each LEVEL.

The use of three levels for the assessment for this scope does not reflect regulatory policies, planning levels, or risk. The level of commitment for time and effort to ensure best practices in OSR plans and readiness will be very different for small companies with limited spills and environmental risks relative to large or developed corporations with higher spill risks and/or environmental or socioeconomic exposure. As stated earlier (Chapter 2.5), the user should select a target level (Level A as a default) against which to assess the OSR capability. **For each Category/Element, the criteria established for Level B add to those criteria for Level A, and the criteria established for Level C add to those for Levels A and B.**

**ASSESSMENT LEVELS do not correspond to Tiers, in the OSR planning sense.** Rather, an Assessment Level indicates the maturity of that program. A Corporate OSR Program may be large and complex, encompassing multiple operations worldwide, and hence would likely need to address a Tier 3 capability. If that Tier 3 capability is just being developed, the Corporate Program may be at a Level A. Alternatively, a Corporate Program for a small operation may only have need for Tier 1 and Tier 2 capabilities. Such a program may be at a Level C, however, if it is mature and well developed.

## 10.3 Notes on OSR Categories Applicable to Corporate OSR Programs

Policies, general procedures, and measures taken to meet adopted industry practices are defined in Corporate Programs. Aspects of the corporate program typically define planning and readiness requirements for secondary OSR programs (Operations, Facilities). Major focus is on establishing readiness expectations and direction for Tiers 2 and 3 as well as mutual-aid and international assistance. Response preparedness typically entails policy and management perspectives and integrates multiple regional or operational capabilities into a larger comprehensive response program.

**Table 10** - *Criteria Matrix for OSR Assessment - SCOPE: Industry: Corporate*

| INDUSTRY: CORPORATE | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| **A: LEGISLATION, REGULATIONS & AGREEMENTS** | | |
| A corporate policy stipulates requirements for OSR and assigns responsibilities. | Corporate policy and procedures stipulate requirements for OSR and assigns responsibilities.<br>OSR program encompasses all oil handling, storage, and transport phases.<br>Lead OSR responsibility is assigned at Corporate or Operational levels. | A corporate policy and procedures stipulate requirements for OSR and assigns responsibilities.<br>OSR program encompasses all oil handling, storage, and transport phases.<br>Lead OSR responsibility is assigned at Corporate or Operational levels.<br>Roles of other company or industry support are identified.<br>The relation to government planning requirements is defined. |
| Corporate plan references applicable international standards and guidelines. | Corporate plan references applicable international standards and guidelines.<br>Corporate plan references defined timeframes and specific requirements for operational and/or facility plans. | Corporate plan references applicable international standards and guidelines.<br>Corporate plan references defined timeframes and specific requirements for operational and/or facility plans.<br>Corporate OSR organization is defined for business line, regional, country, and operating areas, as applicable. |
| Company has, or is actively engaged in seeking, Mutual Aid policies and agreements for OSR. | Company has mutual aid, regional and possibly international agreements in place and capacity as regards personnel, equipment and experience relating to OSR.<br>The company is actively engaged in OSR planning efforts in developing countries, as appropriate. | Company has mutual aid, regional and possibly international agreements in place and capacity as regards personnel, equipment and experience relating to OSR.<br>The company is actively engaged in OSR planning efforts in developing countries, as appropriate.<br>It is actively engaged in developing enhanced response through joint exercises, training, and workshops.<br>Expertise and information are exchanged on a regular basis.<br>Linkage to other national and corporate plans (domestic and foreign) is specified as appropriate. |
| **B: OIL SPILL CONTINGENCY PLANNING** | | |
| A corporate OSR plan has been developed and approved.<br>The plan identifies relevant Designated Authorities for OSR, if applicable to one or few jurisdictions. | An approved Corporate OSR plan has been developed through partnership with collaborating agencies/departments with associated responsibilities.<br>The Corporate OSR plan identifies organization and Designated Authorities for OSR (and/or defines an authority for specific spill cases; e.g., spill to land vs. spill to marine waters) | An approved Corporate OSR plan has been developed through partnership with collaborating agencies/departments with associated responsibilities.<br>The Corporate OSR plan identifies organization and Designated Authorities for OSR (and/or defines an authority for specific spill cases; e.g., spill to land vs. spill to marine waters).<br>An approved Corporate OSR plan has a history of development, testing, and revision with distribution to all responsible participating agencies/departments.<br>A Designated Authority and roles/responsibilities of participating agencies are defined.<br>The relation between private industry and government is also clearly delineated. |
| An approved corporate plan is readily available. | An approved corporate plan has been distributed and tested through exercises and/or response. | An approved corporate plan is well established, has been tested through exercises and/or response, and has a history of review and development. |

| INDUSTRY: CORPORATE | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| Applicable and related government and other corporate plans (multilateral, area, and local) are identified. | The relationship with other corporate and operations/ business line plans as well as government plans (multilateral, area, and local) are identified and described. | The relationship with other corporate and operations/ business line plans as well as government plans (multilateral, area, and local) are identified and described.<br>Signed written agreements for mutual aid and to cascade resources are in place.<br>Equipment inventories which could be applied are indicated, as applicable.<br>Contents and format for facility/shipboard/area or business line plans are specified. |
| Expertise (personnel) for OSR-related issues is listed. | Expertise (agency/personnel) for OSR-related issues is listed.<br>Corporate experts are listed who have knowledge of the OSR plan and scope and can support a response. | Expertise (agency/personnel) for OSR-related issues is listed.<br>Corporate experts are listed who have knowledge of the OSR plan and scope and can support a response.<br>Contracts or agreements are in place with OSR specialists who have participated in planning and exercises and have actual spill experience. |
| The plan has been reviewed or revised in the past year.<br>Key contacts are updated as these change. | A revision log and dated pages document reviews or revisions within the past year.<br>Key contacts are updated as these change. | A revision log and dated pages document annual reviews/revisions as per update procedures, including plan implementation following actual spills and “near misses”.<br>Key contacts are updated as these change.<br>Spill risks are re-assessed regularly.<br>Post-incident review is included. |
| A corporate plan designates planning levels based on spill risks. | A corporate plan designates planning levels based on spill risks.<br>A risk-based approach is used to define priority areas of potential spills based on operations, frequencies, volumes, and environmental factors.<br>Corporate or international statistical data are used to scope or define planning tiers or concepts, as appropriate. | A corporate plan designates planning levels based on spill risks.<br>A risk-based approach is used to define priority areas of potential spills based on operations, frequencies, volumes, and environmental factors.<br>Corporate or international statistical data are used to scope or define planning tiers or concepts, as appropriate.<br>The risk-based approach includes mapping and consideration for sensitive areas (ecological, economic, historical, etc.). |
| Priority planning is focused on geographic areas or operations of higher spill risk and environmental sensitivity. | Priority planning is focused on geographic areas or operations of higher spill risk and environmental sensitivity.<br>A corporate policy establishes requirements to define at-risk areas based on trajectories for worst-case spills.<br>Relevant properties of oils of concern are considered when identifying sensitive natural resources.<br>Guidelines stipulate the use of trajectories and sensitivity mapping at regional to local levels. | Priority planning is focused on geographic areas or operations of higher spill risk and environmental sensitivity.<br>A corporate policy establishes requirements to define at-risk areas based on trajectories for worst-case spills.<br>Stochastic and worst-case trajectories are required for response planning.<br>Relevant properties of oils of concern are considered when identifying sensitive natural resources.<br>Guidelines stipulate the use of trajectories and sensitivity mapping at regional to local levels.<br>Identification of sensitive areas requires stakeholder participation.<br>Organizations identified for supplying specific data (oil properties, weather, environmental, etc.) are listed. |

| INDUSTRY: CORPORATE | | |
|---|---|---|
| **Level A** | **Level B** | **Level C** |
| A corporate plan specifies requirements for defining sensitive areas and priorities. | A corporate plan specifies requirements for identifying and defining sensitive areas and response priorities.<br>A policy for use, reference or development of sensitivity maps adheres to sensitivity indexing practices. | A corporate plan specifies requirements for identifying and defining sensitive areas and response priorities.<br>A policy for use, reference or development of sensitivity maps adheres to sensitivity indexing practices.<br>A corporate plan specifies requirement for sensitive areas mapping and identification/protection of resources at risk.<br>Corporate standards are in place for mapping and GIS databases for sensitive areas including, for example, endangered species, wetlands, recreational facilities, mariculture, and archeological sites. |
| Policies are in place to reduce the risk and/or consequences of a spill. | Policies are in place to reduce the risk and/or consequences of a spill.<br>Corporate standards provide clear guidance for spill prevention and are enforced to reduce accidents and to minimize oil loss if an incident occurs. | Policies are in place to reduce the risk and/or consequences of a spill.<br>Corporate standards provide clear guidance for spill prevention and are enforced to reduce accidents and to minimize oil loss if an incident occurs.<br>Trends, sources, causes of spills (e.g., vessel traffic, transfer, production, exploration, collision, grounding) are documented and together with inspection programs, audits, and checklists provide additional foundation for required prevention measures.<br>Requirements for spill prevention are detailed and exceed stipulated regulatory prevention requirements (as per fire, electrical, worker health and safety, and building codes). |
| A corporate plan provides guidelines on response strategies, equipment and personnel needs relative to applicable operating conditions and oil types. | A corporate plan provides guidelines on response strategies, equipment and personnel needs relative to applicable operating conditions and oil types.<br>A corporate plan includes, or specifies, requirements to develop strategies and tactical details, including equipment and personnel needs, for high spill-risk areas at area or local planning levels. | A corporate plan provides guidelines on response strategies, equipment and personnel needs relative to applicable operating conditions and oil types.<br>A corporate plan includes, or specifies, requirements to develop strategies and tactical details, including equipment and personnel needs, for high spill-risk areas at area or local planning levels.<br>A corporate plan includes or specifies requirement to develop for area or local plans, detailed, prioritized tactics (graphics, maps, equipment and personnel) for priority areas within zones of high spill risk appropriate for operating conditions. |
| A corporate plan provides policy on use of treating agents for spill response (dispersants, cleaning agents, bioremediation agents, herders, etc.). | A corporate plan provides policy on use of treating agents for spill response (dispersants, cleaning agents, bioremediation agents, herders, etc.).<br>Procedures for the use of treating agents, such as dispersants, are in place to facilitate decision-making and approval within a reasonable “window of opportunity” (less than 12 hours). | A corporate plan provides policy on use of treating agents for spill response (dispersants, cleaning agents, bioremediation agents, herders, etc.).<br>Procedures for the use of treating agents, such as dispersants, are in place to facilitate decision-making and approval within a reasonable “window of opportunity” (less than 12 hours).<br>Company procedures for NEBA or SIMA are in place for dispersants and other treating agents with clearly defined applicability and limitations.<br>The company actively engages in assessment of alternative countermeasures in conjunction with governments. |

| INDUSTRY: CORPORATE | | |
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| **Level A** | **Level B** | **Level C** |
| A policy for the application of in situ burning is clearly defined. | A policy for the application of in situ burning is clearly defined.<br>Procedures are in place to evaluate and approve in situ burning within a reasonable "window of opportunity" (less than 24 hours).<br>The required elements of a published burn plan address all relevant factors. | A policy for the application of in situ burning is clearly defined.<br>Procedures are in place to evaluate and approve in situ burning within a reasonable "window of opportunity" (less than 24 hours).<br>Company procedures for NEBA/SIMA are in place for in situ burning with clearly defined applicability, limitations, and approval process (may include pre-approval for specific conditions) as well as monitoring role.<br>The company actively engages in the assessment of in situ burning in conjunction with governments. |
| Shoreline protection and treatment policies are outlined. | Shoreline protection and treatment policies are outlined.<br>Shoreline protection and treatment are considered including planning factors for carrying out assessment and remediation (SCAT). | Shoreline protection and treatment policies are outlined.<br>Shoreline protection and treatment are considered including planning factors for carrying out assessment and remediation (SCAT).<br>Shoreline protection and treatment policies are delineated that consider SCAT as well as factors such as workforce, spill responder safety training, debris, oil removal, and cleanup standards (endpoints). |
| **C: RESPONSE COORDINATION** | | |
| Clear procedures outline what types of information are to be reported on a response, and who should receive initial spill notification and any follow-up reports. | Clear procedures outline what types of information are to be reported on a response, and who should receive initial spill notification and any follow-up reports.<br>A spill reporting form is included.<br>A contact list notes key personnel.<br>Initial spill notification checklists/forms are readily available.<br>Callout procedures include flow charts for internal and external parties with their contact data. | Clear procedures outline what types of information are to be reported on a response, and who should receive initial spill notification and any follow-up reports.<br>A spill reporting form is included.<br>A contact list notes key personnel.<br>Initial spill notification checklists/forms are readily available.<br>Callout procedures include flow charts for internal and external parties with their contact data.<br>Redundant callout procedures are based on common checklists and/or forms. Internal, external callout flow charts are in place.<br>A directory indicates internal, external contacts (primary and alternate) who are immediately available. |
| A spill reporting form is included. | | |
| A contact list notes key personnel. | | |
| A spill management structure has been established for all spill tiers, as appropriate. | A spill management structure has been established for all spill tiers, as appropriate.<br>A spill management organization is designed to allow easy expansion and/or contraction of personnel and equipment per tiers, as appropriate, plus smooth integration with other OSR organizations and plan holders. | A spill management structure has been established for all spill tiers, as appropriate.<br>A spill management organization is designed to allow easy expansion and/or contraction of personnel and equipment per tiers, as appropriate, plus smooth integration with other OSR organizations and plan holders.<br>A spill management organization is flexible, robust, and accommodates response needs for all tiers, as appropriate.<br>A common Incident Management System is defined for all related OSR plan holders and responding participants.<br>The organization is based on sound management principles (e.g., ICS) and addresses regional responsibilities. |

| INDUSTRY: CORPORATE | | |
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| **Level A** | **Level B** | **Level C** |
| Roles and responsibilities are defined for each functional aspect identified in the OSR management organization. | Roles and responsibilities are defined for each functional aspect identified in the OSR management organization.<br>Responsibility checklists are available and defined for each role in the OSR management team. | Roles and responsibilities are defined for each functional aspect identified in the OSR management organization.<br>Responsibility checklists are available and defined for each role in the OSR management team.<br>OSR management personnel have checklists for their personal use during response.<br>Checklists are available in plan, at a Command Post, or maintained in individual OSR response kits. |
| The role of a Corporate Team in Incident Command and in Crisis Management is defined. | The role of a Corporate Team in Incident Command and in Crisis Management is defined.<br>The responsibilities of personnel assigned to a Unified or Joint Command are defined.<br>Records of Joint or Unified Command meetings and interface with Crisis Management indicate the decision-making process. | The role of a Corporate Team in Incident Command and in Crisis Management is defined.<br>The responsibilities of personnel assigned to a Unified or Joint Command are defined.<br>Records of Joint or Unified Command meetings and interface with Crisis Management indicate the decision-making process.<br>Records show regular Joint or Unified Command meetings, exercises, and/or response. |
| Positions (and/or Personnel) assigned to OSR management roles are identified. | Personnel assigned to OSR management roles as part of Corporate or Regional Response Support teams are listed. | A corporate OSR support team and Crisis Management Team roles are assigned to specific individuals (by name or position) with backups identified.<br>Trained OSR support personnel are available to manage 24-hr extended worst-case spill (shifts). Specialist or contractor assistance is considered to augment the response capability.<br>Specialist or contractor assistance is considered to augment the response capability. |
| Procedures are in place and responsibility has been assigned for communications with media during a spill response. | Procedures are in place and responsibility has been assigned for communications with media during a spill response.<br>A template press release text is available for initial distribution.<br>The person assigned to media communications has established contact with local media outlets in advance. | Procedures are in place and responsibility has been assigned for communications with media during a spill response.<br>A template press release text is available for initial distribution.<br>The person assigned to media communications has established contact with local media outlets in advance.<br>The person assigned to media communications is trained in media management and has worked with OSR Command on public speaking and/or mock press conferences. |
| Procedures are in place and responsibility has been assigned for liaison function with other business units, authorities or government parties during a spill response. | Procedures are in place and responsibility has been assigned for liaison function with business units, authorities or government parties during a spill response.<br>The Crisis Management Team has a list of key liaison contacts. | Procedures are in place and responsibility has been assigned for liaison function with business units, authorities or government parties during a spill response.<br>The Crisis Management Team has a comprehensive list of liaison contacts and maintains a record of communications with key contacts.<br>Protocols are in place for internal communications, joint information sharing, information centers, authorized release of communications, and special websites.<br>Forms are included to request expertise, equipment, and materials.<br>Receiving and sending spill response assistance has been addressed. |

| INDUSTRY: CORPORATE | | |
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| **Level A** | **Level B** | **Level C** |
| Corporate standards are defined for minimum technical and communication requirements of response centers.<br>A corporate response or emergency center has been established. | Corporate standards are defined for minimum technical and communication requirements of response centers.<br>A corporate response or emergency center has been established.<br>The response center has computer and communications links and library/references. | Corporate standards are defined for minimum technical and communication requirements of response centers.<br>A corporate response or emergency center has been established.<br>The response center has computer and communications links, library/references, briefing and PR breakout rooms, and accommodations.<br>An alternate site for a corporate emergency response management center is indicated. |
| **D: HEALTH, SAFETY & SECURITY** | | |
| Corporate health and safety policies and standards are in place for protecting the public and responders from spill hazards. | Corporate health and safety policies and standards are in place for protecting the public and responders from spill hazards.<br>Corporate health and safety policies and standards for spill responders are in place and are actively enforced through on-site checks and in planning requirements.<br>On-scene controls address the safety of volunteers during response. | Corporate health and safety policies and standards are in place for protecting the public and responders from spill hazards.<br>Corporate health and safety standards for spill responders meet or exceed best international practices.<br>Corporate health and safety policies and standards for spill responders are in place and are actively enforced through on-site checks and in planning requirements.<br>Adopted health and safety standards include requirements for hazard assessment, training, and on-site safety monitoring.<br>Specific requirements for safety training of volunteers are defined.<br>On-scene controls address the safety of volunteers during response. |
| A designated corporate authority addresses and monitors site safety during response. | A designated corporate authority has procedures in place and enforcement capacity to assess and define safety requirements for response personnel according to assignments. | A designated corporate authority addresses and monitors site safety during response.<br>A designated corporate authority has trained competent personnel knowledgeable in procedures and with enforcement capacity to assess and define safety requirements for response personnel according to their assignments. |
| A designated corporate authority addresses and either provides or augments site security during response, as required. | A designated corporate authority addresses and either provides or augments site security during response, as required.<br>A designated corporate authority has procedures to assess and define access and security restrictions for a response area including air, water and land. | A designated corporate authority addresses and either provides or augments site security during response, as required.<br>A designated corporate authority has procedures to assess and define access and security restrictions for a response area including air, water and land.<br>The designated corporate authority has a proven record of designating, and enforcing, access and security restrictions for a response area. This includes air, water and land.<br>Security concerns which may pose a potential conflict with spill response priorities (e.g., vandalism, bomb threats, terrorism, etc.) are identified in the contingency plan along with the procedures to resolve any such issues. |

| INDUSTRY: CORPORATE | | |
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| **Level A** | **Level B** | **Level C** |
| **E: OPERATIONAL RESPONSE** | | |
| A corporate policy establishes procedures to minimize spill volumes through, for example, source control: transfers, emergency lightering, etc. | A corporate policy establishes procedures to minimize spill volumes through, for example, source control: transfers, emergency lightering, etc.<br>A corporate policy establishes procedures to minimize spill volumes through situational stabilization (e.g., rescue tugs, places of refuge). | A corporate policy establishes procedures to minimize spill volumes through, for example, source control: transfers, emergency lightering, etc.<br>A corporate policy establishes procedures to minimize spill volumes through situational stabilization (e.g., rescue tugs, places of refuge).<br>Expedited, pre-approved or assigned resources are in place to minimize spill volumes through situational stabilization (rescue tugs, places of refuge) and source control: transfers, emergency lightering, etc. |
| Minimum equipment planning levels are defined for Tier 1 risks (most likely routine spills). | Minimum equipment planning levels are defined for Tier 1 risks (most likely routine spills).<br>Equipment levels and response times for Tiers 2 and 3 (as appropriate) are generally defined for distinct potential spill source operations (terminals, pipelines, wells, etc.). | Minimum equipment planning levels are defined for Tier 1 risks (most likely routine spills).<br>Equipment levels and response times for Tiers 2 and 3 (as appropriate) are generally defined for distinct potential spill source operations (terminals, pipelines, wells, etc.).<br>Guidelines for appropriate equipment and personnel levels are defined for Tiers 1 through 3, as appropriate, and require a Best Available Technology assessment on a recurrent basis.<br>Mobilization of operations is considered. |
| A list of locations and general amounts and types of Tier 3 OSR equipment is available, if appropriate. | A detailed listing or database of locations, amounts, and types of OSR Tier 3 equipment is maintained and updated on a scheduled basis, as appropriate. | A comprehensive database of locations, amounts, and types of Tier 3 OSR equipment, as appropriate, is maintained with consistent information on all OSR resources (industry and government).<br>Equipment inspections and evaluations are scheduled and performed in relation to Best Available Technology criteria, and the database is updated accordingly.<br>Mechanical recovery, treating agents including dispersants, and in situ burning are considered. |
| Equipment locations are identified and secured; locations allow for quick access and deployment. | Equipment locations are identified and secured; locations allow for quick access and deployment.<br>Equipment locations are distributed to allow quick response to key spill risk locations. | Equipment locations are identified, secured, and distributed to allow response within defined mobilization and transit times to key spill risk locations from possible staging areas.<br>Pre-deployed equipment or permanently installed tertiary containment is in place. |
| The operational use of countermeasures is verified in an annual drill. | The operational use of countermeasures is verified in an annual drill.<br>Countermeasures including containment, skimming, dispersant application are verified and reviewed in exercises and drills. | All major countermeasures are tested twice annually.<br>Countermeasures including containment, skimming, dispersant application are verified and reviewed in exercises and drills.<br>Upgraded or new response options are identified and considered.<br>Applicable response options can be implemented within applicable windows of opportunity, including mechanical, treating agents, in situ burning, and shoreline treatment. |

| INDUSTRY: CORPORATE | | |
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| **Level A** | **Level B** | **Level C** |
| Corporate policy for development of OSR Waste Management Plans is defined and requires that plans conform to local regulatory requirements. | Corporate policy for development of OSR Waste Management Plans is defined and requires that plans conform with local regulatory requirements.<br>Corporate policy and procedures are defined to minimize potential waste streams, temporarily handle waste, and ultimately reuse or dispose of oily waste materials in conformance with applicable regulations. | Corporate policy for development of OSR Waste Management Plans is defined and requires that plans conform with local regulatory requirements.<br>Corporate policy and procedures are defined to minimize potential waste streams, temporarily handle waste, and ultimately reuse or dispose of oily waste materials in conformance with applicable regulations.<br>Waste management procedures meet international best practices for OSR.<br>Intermediate and long-term storage options and associated criteria are defined.<br>Trans-boundary waste movement policies and procedures are defined. |
| Sources for wildlife recovery and rehabilitation are identified and contacts are included. | Sources for wildlife recovery and rehabilitation are identified and contacts are included.<br>Agreements or contracts with wildlife hazing, recovery, and rehabilitation contractors are in place.<br>Policies and procedures are in place to mobilize and establish wildlife response facilities for spills. | Sources for wildlife recovery and rehabilitation are identified and contacts are included.<br>Agreements or contracts with wildlife hazing, recovery, and rehabilitation contractors are in place.<br>Policies and procedures have been written and tested to mobilize and establish wildlife response facilities for spills.<br>International best practices have been adopted for wildlife response.<br>Select personnel have been trained to undertake and manage oiled wildlife response. |
| The corporate plan includes a policy for restoration and post-spill monitoring. | The corporate plan includes a policy for restoration and post-spill monitoring.<br>Corporate support for restoration and post-spill monitoring is indicated. | Corporate planning identifies policy and procedures for restoration and post-spill monitoring.<br>Restoration and post-spill monitoring has corporate support.<br>Follow-up studies of impacts and cleanup are anticipated using best international practices, and sources of funding and expertise are noted. |
| **F: TRACKING, ASSESSMENT & INFORMATION MANAGEMENT** | | |
| The corporate plan includes procedures and tools for spill tracking, including monitoring. | Role or assignment is defined in a corporate OSR support team to undertake spill tracking, including monitoring.<br>Standardized procedures provide tracking and monitoring of a spill (on water, land, groundwater). | Role or assignment is defined in a corporate OSR support team to undertake spill tracking, including monitoring.<br>Standardized procedures provide tracking and monitoring of a spill (on water, land, groundwater).<br>Trained personnel with expertise to undertake spill tracking, including monitoring, are assigned to roles in corporate OSR support team.<br>Tracking systems include Best Available Technology for visible and non-visual tracking (e.g., drones; satellite; IR for night and low visibility conditions; tracking buoys; detecting oil under dense foliage) as available from government and other sources. |

| INDUSTRY: CORPORATE | | |
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| **Level A** | **Level B** | **Level C** |
| A corporate response center maintains access to maps or charts for tracking spill movement and response operations. | A corporate response center maintains access to maps or charts for tracking spill movement and response operations.<br>A corporate response center has mapping links with operational sites and immediate access to computerized models for weather, current, river flow, and oil fate and trajectory forecasting. | A corporate response center maintains access to maps or charts for tracking spill movement and response operations.<br>A corporate response center has mapping links with operational sites and immediate access to computerized models for weather, current, river flow, and oil fate and trajectory forecasting.<br>A corporate response center has mapping links with operational sites and provides computerized models and expertise to analyze spill trajectories and weathering for all appropriate situations (e.g., spills on water, into rivers, in groundwater, originating in deep offshore, etc.).<br>Mechanism is in place establish and link Common Operating Picture (COP) displays. |
| A corporate support team can provide oiling assessment, mapping, and cleanup technique advice. | A corporate support team provides oiling assessment, mapping, and cleanup technique teams.<br>Personnel are trained, available 24/7, and have the tools needed to input advice for cleanup priorities and operations. | A corporate support team provides oiling assessment, mapping, and cleanup technique teams.<br>Personnel are trained, available 24/7, and have the tools needed to input advice for cleanup priorities and operations.<br>Corporate oiling assessment, mapping, and cleanup technique teams have the Best Available Technologies (digital maps, GIS, SCAT Data Coordinator, etc.) for advising on cleanup priorities and operations. |
| **G: LOGISTICS** | | |
| Key logistical support providers and capabilities are identified to support response from corporate teams. | Key logistical support providers and capabilities are identified to support response from corporate teams.<br>A corporate response team provides logistical support to operating regions.<br>Logistical service providers and capabilities are identified for wide response.<br>Terms and conditions for mobilizing, and costs, are established on a pre-spill basis. | Key logistical support providers and capabilities are identified to support response from corporate teams.<br>A corporate response team provides logistical support to operating regions.<br>Logistical service providers and capabilities are identified for wide response.<br>Terms and conditions for mobilizing, and costs, are established on a pre-spill basis.<br>Capabilities of key logistical providers are tested and reviewed periodically. |
| Corporate planning provides guidelines to areas/regions/ facilities for logistical planning needs. | Corporate planning provides guidelines to areas/regions/ facilities for logistical planning needs.<br>Tier 2 and 3 support services are identified, as appropriate, and key logistical service providers are contracted on pre-spill basis. | Corporate planning provides standards to areas/ regions/facilities for logistical planning.<br>Tier 2 and 3 support services are identified, as appropriate, and key logistical service providers are contracted on pre-spill basis.<br>Tier 2 and 3 support services are identified, as appropriate, and are incorporated across planning levels.<br>Key logistical service providers participate in exercises.<br>Sources for logistical support and services are updated on annual basis in plan. |

| INDUSTRY: CORPORATE | | |
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| **Level A** | **Level B** | **Level C** |
| Response times for OSR Corporate Support Team deployment are identified and tested. | Response times for OSR Corporate Support Team deployment are identified and tested.<br>OSR Corporate Support Team deployments are tested.<br>Team integration with local/ regional/country teams is tested. | Response times for OSR Corporate Support Team deployment are identified and tested.<br>OSR Corporate Support Team deployments are tested.<br>OSR Corporate Support Team integration with local/ regional/country teams is tested, evaluated, and improved. |
| Assets and procedures for communications between field and Corporate Support are in place. | Assets and procedures for communications between field and Corporate Support are in place.<br>Communications equipment is on hand and secondary or backup systems are identified. | Assets and procedures for communications between field and Corporate Support are in place.<br>Communications equipment is on hand and secondary or backup systems are identified.<br>Communications (voice, digital, common planning tools) are tested for integration with all OSR sites. |
| Customs and immigration procedures are defined to streamline transport and delivery of personnel and equipment between regions/areas. | Customs and immigration procedures are defined to streamline transport and delivery of personnel and equipment between regions/areas.<br>Customs and immigration procedures are in place to expedite the temporary export or import of Corporate Support team personnel, contracted experts and technical support, and Tier 2 or 3 equipment, as appropriate. | Customs and immigration procedures are defined to streamline transport and delivery of personnel and equipment between regions/areas.<br>Customs and immigration procedures are in place to expedite the temporary export or import of Corporate Support team personnel, contracted experts and technical support, and Tier 2 or 3 equipment, as appropriate.<br>Periodic exercises are conducted to test and streamline customs and immigration procedures.<br>Key liaison agencies (or personnel) are identified to help with trans-border movements.<br>Agencies that issue permits for specific OSR activities are listed, e.g., for hazardous material transport, dispersants, in situ burning, land access, waste disposal, etc. |
| Decontamination policies and responsibilities are defined. | Decontamination policies and responsibilities are defined.<br>Assets for decontamination programs are provided. | Decontamination policies and responsibilities are defined.<br>Assets for decontamination programs are provided.<br>Requirements are defined for minimum recommended decontamination assets for operations and pre-designated sources of decontamination consumables, supplies, PPE, and equipment are ensured by agreement and/or contract. |
| **H: FINANCIAL AND ADMINISTRATIVE CONSIDERATIONS** | | |
| An emergency fund is available for augmenting response actions. | An emergency fund is available for augmenting response actions.<br>Corporate planning has established financial tracking systems for roles in spill emergency response.<br>Corporate finance/administrative personnel have tools for resource ordering, purchasing, and cost tracking for emergencies. | An emergency fund is available for augmenting response actions.<br>Corporate planning has established financial tracking systems for roles in spill emergency response.<br>Corporate finance/administrative personnel have tools for resource ordering, purchasing, and cost tracking for emergencies.<br>Corporate finance/administrative personnel have practiced their support role with local/regional/ country levels in resource ordering, purchasing, and cost tracking and forecasting as well as compensating individuals and organizations for expenses. |

| INDUSTRY: CORPORATE | | |
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| **Level A** | **Level B** | **Level C** |
| Procedures are in place to receive claims. | Procedures are in place to receive, investigate, and resolve claims with Corporate Team support.<br>Financial personnel have contact information for oil pollution insurers and funds, as appropriate. | Procedures are in place to receive, investigate, and resolve claims with Corporate Team support.<br>Financial personnel have contact information for oil pollution insurers and funds, as appropriate.<br>Claims filing and tracking system are implemented with Corporate-level support.<br>Corporate Finance/Administrative personnel have established procedures to work with local personnel in the receipt and processing of claims.<br>Coordinated procedures exist with insurers to expedite claim review and settlement in line with international compensation schemes (e.g., P&I Clubs and treaties). |
| Corporate policies are defined for legal support and related matters including sampling/ collecting evidence, taking statements, and mechanisms for settling disputes and claims. | Corporate policies are defined for legal support and related matters including sampling/ collecting evidence, taking statements, and mechanisms for settling disputes and claims.<br>Legal investigation procedures consider sampling and collecting evidence, taking statements, and mechanisms for settling disputes and claims.<br>Illegal discharges are specified. | Corporate policies are defined for legal support and related matters including sampling/collecting evidence, taking statements, and mechanisms for settling disputes and claims.<br>Legal investigation procedures consider sampling and collecting evidence, taking statements, and mechanisms for settling disputes and claims.<br>Illegal discharges are specified.<br>Personnel assigned to legal support are trained and versed in OSR operations and issues. |
| **I: TRAINING & EXERCISES** | | |
| A corporate policy for minimum initial and refresher training requirements, including health & safety, is defined for spill management and responders. | A corporate policy for minimum initial and refresher training requirements, including health & safety, is defined for spill management and responders.<br>Training meets international standards.<br>Requirements for training records are defined and records are subject to verification. | A corporate policy for minimum initial and refresher training requirements, including health & safety, is defined for spill management and responders.<br>Training exceeds international standards.<br>Requirements for training records are defined and records are subject to verification.<br>Corporate audits or reviews show training records are routinely checked, verified, and subject to feedback to local/regional/country levels. |
| Regular training courses are provided on OSCPs to assigned OSR management and lead response operational personnel. | Designated personnel for lead and participating Corporate Support team members have received detailed training on OSCPs, roles and responsibilities, incident management system (e.g., ICS), and procedures for implementing duties during a response. | Designated personnel for lead and participating Corporate Support team members have received detailed training on OSCPs, roles and responsibilities, incident management system (e.g., ICS), and procedures for implementing duties during a response.<br>Corporate Support Team members receive refresher training on procedures for implementing duties during a response.<br>Records show Corporate team cross-training with local/regional/national teams includes interface with intergovernmental and industry initiatives. |
| In-house spill training courses are provided. | In-house spill training courses are provided.<br>Contracted specialists provide spill training courses. | In-house spill training courses are provided.<br>Contracted specialists provide spill training courses.<br>Contracted internationally recognized or accredited spill training with course outlines and schedules are specified. |

| INDUSTRY: CORPORATE | | |
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| **Level A** | **Level B** | **Level C** |
| Training records document compliance with required training for designated personnel. | Training records document compliance with required training for designated personnel.<br>Training records include training materials.<br>Training is provided by qualified personnel. | Training records document compliance with required training for designated personnel.<br>Training records include training materials.<br>Updated training materials and aids are available to Corporate OSR team.<br>Training is provided by certified and/or qualified experts. |
| Notification and Alerting Exercises are conducted frequently (2 to 4 times per year) and are required of plan holders. | Records document that notification and alerting exercises are conducted at least 2 to 4 times per year.<br>Notification exercises include Off-hours; Internal-External alerting; and Multilateral, where appropriate. | Records document that notification and alerting exercises are conducted at least 2 to 4 times per year.<br>Notification exercises include Off-hours; Internal-External alerting; and Multilateral, where appropriate.<br>Notification exercises are used to confirm that all communications systems (land, air, sea, and cross-agency/industry) are in place and tested. |
| Deployment exercises are required at asset/business-line level. Tabletop and/or deployment exercises reflect interface with corporate (crisis) support. | Deployment exercises are required and held at national response depots.<br>Deployment exercises are held jointly to include national response depots and Industry. | Deployment exercises are required and held at national response depots.<br>Deployment exercises are held jointly to include national response depots and Industry.<br>Multi-location deployment exercises (e.g., Tier 2 or 3, as appropriate) test and coordinate National, International, and Industry joint capabilities. |
| Tabletop (Response Management) Exercises are required and held at prescribed frequencies (2-3 times per year). | Tabletop (Response Management) Exercises are required and held at prescribed frequencies (2-3 times per year).<br>Tabletop (Response Management) Exercises and include external parties.<br>Exercises plans are well-developed.<br>A standard approach for exercise evaluation is in place that allows ready implementation of changes. | Tabletop (Response Management) Exercises are required and held at prescribed frequencies (2-3 times per year).<br>Tabletop (Response Management) Exercises include external parties and international authorities (as appropriate).<br>Exercises plans are well-developed.<br>A standard approach for exercise evaluation is in place that allows ready implementation of changes.<br>Tabletop exercises are based on risk assessments and address distinct situations and environmental factors.<br>Exercises are audited and evaluated by professional or experienced third-party OSR experts. Changes are implemented as needed. |
| Courses to be attended by Corporate Support team personnel are listed. | Courses to be attended by Corporate Support team personnel are listed.<br>Courses are attended by Corporate Support team personnel including for example Incident Management Systems, SCAT, basic spill response, dispersant application, in situ burning, and waste management. | Courses to be attended by Corporate Support team personnel are listed.<br>Courses are attended by Corporate Support team personnel including for example Incident Management Systems, SCAT, basic spill response, dispersant application, in situ burning, and waste management.<br>Specialized courses are organized for Corporate Support Team to provide in-house expertise to augment local/regional/country teams. Corporate specialists (or contracted personnel) have documented refresher training or equivalent experience. |

| INDUSTRY: CORPORATE | | |
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| **Level A** | **Level B** | **Level C** |
| **J: SUSTAINABILITY & IMPROVEMENT** | | |
| Exercise critiques (plan and execution) recommend actions for OSR improvements. | Exercise critiques (plan and execution) recommend actions for OSR improvements.<br>Internal review is conducted of exercises.<br>Recommendations from exercise evaluations (equipment deployment, tabletops) are implemented and tracked.<br>Exercise participation and oversight roles are specified, as appropriate, for integrated exercises at local/regional/national levels. | Exercise critiques (plan and execution) recommend actions for OSR improvements.<br>Internal review is conducted of exercises.<br>External review supplements internal critique for both exercises and actual spills.<br>Recommendations from exercise evaluations (equipment deployment, tabletops) are implemented and tracked.<br>Steps taken for improvements following external reviews are documented.<br>Exercise participation and oversight roles are specified, as appropriate, for integrated exercises at local/regional/national levels.<br>Government representatives, Mutual Aid, and Tier 3 support (as and if appropriate) form part of evaluation and feedback. |
| A Corporate Team or Work Group is assigned to review and recommend OSR enhancements at local/regional/national levels. | A Corporate Team or Work Group is assigned to review and recommend OSR enhancements at local/regional/national levels.<br>A Corporate Team or Work Group meets at least annually to review OSR plans and readiness and to make recommendations that have a record of actions and implementation. | A Corporate Team or Work Group is assigned to review and recommend OSR enhancements at local/regional/national levels.<br>A Corporate Team or Work Group meets at least annually to review OSR plans and readiness and to make recommendations that have a record of actions and implementation.<br>Internal-External / Experts work with the Corporate Team or Work Group to undertake audits and provide recommendations.<br>Responsibilities are assigned to implement changes. Changes are reviewed and approved. |
| Post-Spill Evaluation and Revisions to Plan are documented. | Post-Spill Evaluation and Revisions to Plan are documented.<br>Plan and equipment improvements are made as needed. | Post-Spill Evaluation and Revisions to Plan are documented.<br>Plan and equipment improvements are made and are included in planning and conducting subsequent training.<br>Personnel and OSR equipment needs are also addressed.<br>Changes are adopted for oil-related transportation, exploration, and production systems as determined by review processes as these relate to preventative measures and safeguards.<br>A business continuity plan is in place and can be implemented. |
| OSR research and development is promoted through various sources of funding. | Research and development programs are funded to improve countermeasures such as mechanical recovery, treating agent application, in situ burning, and remote sensing. | Active research and development programs are funded and tasked to improve countermeasures such as mechanical recovery, treating agent application, in situ burning, communications, and remote sensing.<br>Data are reviewed, updated, and compiled for environmental resources at risk to ensure appropriate countermeasures are developed. |

# 11 Appendix A – Critical criteria for all Scopes

The following describes the critical criteria of the ten Categories for Level A of all seven Scopes including a rationale of their criticality (this text can be accessed in RETOS™ by hovering over the exclamation mark given against each critical criterion).

## 11.1 Government – Industry: Facility - Level A

| Code | Critical Criterion | Balloon Text |
|---|---|---|
| **A:** | **LEGISLATION, REGULATIONS, AGREEMENTS** | |
| A1 | Plan references regulatory requirements. | OSR plans may be required by regulation. If so, the plan should indicate what regulations apply and that these are appropriately addressed. |
| A2 | Reportable amounts of spills are indicated. | Plans should indicate or recognize the spill volume threshold that requires notification to authorities, usually implying a “reportable spill”. |
| **B:** | **OIL SPILL CONTINGENCY PLANNING** | |
| B1 | Plan is readily available to OSR personnel and includes a clear table of contents and pagination. | The spill plan should be readily available to responders and management and include a clean and updated Table of Contents that references appropriate page numbers for easy reference and use. |
| B5 | Local expertise for OSR-related issues is listed. | The OSR plan should identify personnel on site that have the appropriate background, knowledge, and experience to undertake key spill response tasks. |
| B7 | Key contacts are updated as these change. | Primary and alternate telephone numbers, and email, fax etc., must be kept current for key contacts, including but not limited to spill management team, agencies/authorities, and spill response contractors. |
| B8 | Potential spill sources, liquids, and volumes are identified and known to responders. | Spill response personnel should have easy and quick reference to what liquids are handled and stored on site and volumes contained in storage. |
| B9 | General area at risk is identified based on spill sources. | OSR plan should identify the potential area of spill influence from a worst-case release |
| B10 | Sensitive areas are identified in plan. | Environmental (ecological) and socioeconomic sites that are sensitive and vulnerable to spills within the potential zone of spill spreading or influence should be documented. |
| B12 | Response strategies are clearly stated and appropriate for facility, operating conditions, and oil types. | Sensitive site protection and spill containment, recovery, and removal strategies should be described and appropriate to oil types (i.e., strategies would be expected to vary from a refined, non-persistent product such as gasoline, to a heavy oil) and local operating conditions (i.e., sites in extreme cold conditions may include ice/snow strategies for winter season). |
| B14 | Personnel needed to undertake operations are assessed. | The OSR plan has considered the number of personnel (site and/or contracted) that would be needed to implement the strategies identified in the plan. |
| **C:** | **RESPONSE COORDINATION** | |
| C1 | Clear procedures are included on information to report and who should receive initial spill notification and follow-up reports. | The plan should identify who is to receive notification of a spill and what information about the spill is to be relayed at the time of notification. As appropriate, the plan should identify to whom and when a report must be filed following response to a spill. |
| C3 | A contact list specifies key personnel and alternates. | A telephone listing of agencies and/or people to be contacted at the time of a spill should be easy to find and telephone numbers should be accurate (see B7). |

| Code | Critical Criterion | Balloon Text |
|---|---|---|
| C4 | Spill management structure and assigned personnel are defined for all spill tiers, as appropriate. | The spill response team organization should be described and preferably illustrated in a diagram. The organization should note who would fill the spill management roles. The spill management organization should note if and how it may change depending on the complexity and size of the necessary response (tiers), as applicable. |
| C5 | Roles and responsibilities are evident for each functional aspect identified in OSR management organization. | There should be descriptions of the responsibilities at least for top-level spill response management roles. |
| C6 | Incident command is assigned to one or two specific individuals (by name or position) with backups identified. | The person(s) that are charged to lead and coordinate the overall response to a spill should be evident, either in name or by their job title (see B7 and C3). |
| **D:** | **HEALTH, SAFETY & SECURITY** | |
| D1 | A site map is available showing hazards, emergency equipment, and evacuation route(s). | The plan should have a map or diagram that is sufficiently clear identifying where oil is stored in bulk (tanks), location(s) of spill response equipment, and emergency evacuation routes (with muster or gathering locations for evacuated personnel) in case of a major spill or fire. |
| D4 | OSR personnel have general understanding of associated hazards. | Spill or emergency responders know what oil products are stored in different tanks and major piping systems. |
| D5 | PPE is available in response kits. | Personal protective equipment to allow emergency responders to enter and work in a hot zone (exposure to oil and fumes) should be complete in packages and readily retrievable. |
| D7 | Mandatory safety training requirements have been established for OSR responders. | Safety training for responders should be mandatory and identified as such in the plan. Spill responders should know and have received safety training regarding oil spill response hazards and proper prevention measures to mitigate those risks. |
| **E:** | **OPERATIONAL RESPONSE** | |
| E1 | Emergency shutoffs, remotely controlled valves and other means are in place to reduce volume of releases. | The plan should note what emergency controls are in place to stop transfers, possibly included in facility diagrams. |
| E2 | Equipment on site is adequate for Tier 1 risks (most likely routine spills), operating environments, and seasons. | Spill response equipment should be easy to locate and adequate to address most spills that would remain within the facility. Equipment should be appropriate for the oil type(s) handled and allow for response under the range of normal weather or environmental conditions that can be expected to occur at the facility. |
| E3 | Equipment is properly stored, in good working condition and being properly maintained and inspected. | An inspection should find that spill response equipment is clean, well maintained with inspection and maintenance records, and in working order. Note if select equipment is started, assembled, or tested to verify working condition. |
| E5 | Operational use of countermeasures is verified in annual spill exercise. | The plan should indicate a requirement for at least a partial equipment deployment on an annual basis. Actual deployment should be confirmed via exercise documentation or records. |
| **F:** | **TRACKING, ASSESSMENT & INFORMATION MANAGEMENT** | |
| F2 | Forms, maps or charts are available on which to maintain record of spill track and movement. | Spill response management personnel should have ready access to materials to document the extent of a spill and response actions: easy-to-use map or facility/area diagram. |

| Code | Critical Criterion | Balloon Text |
|---|---|---|
| **G:** | **LOGISTICS** | |
| G4 | Assets and procedure for communications in field and between field and Command Post are in place. | Radios, telephones (cell or landlines), should be available to allow for direct communications between a spill command management location and personnel deployed in spill response work zones. Radios or phones that may be used in hot zones should be intrinsically safe. |
| G5 | Decontamination facilities are available for personnel leaving the spill site. | Equipment such as wash-down pools, detergent, and sorbents should be readily available to clean responders exiting oiled areas. |
| **H:** | **FINANCIAL & ADMINISTRATIVE CONSIDERATIONS** | |
| H1 | One or more individuals have authorized spending with spending limits clearly identified. | The plan or other documentation should indicate that personnel assigned to manage a spill response (e.g., incident commander) have the authority to engage actions that incur costs without having to wait for other authorization. |
| **I:** | **TRAINING & EXERCISES** | |
| I3 | Minimum initial and refresher Health & Safety training requirements are defined for spill management and responders. | Health and safety risks and hazards associated with spill response actions must be a part of the training program for all responders. Documentation should exist detailing the health and safety training provided for spill personnel. |
| I8 | Annual deployment exercises are held at the facility. | Records should exist to verify that spill response equipment is or has been deployed annually at the facility. This may be a part of training and should encompass use of representative equipment for on-site response (tier 1) (see E5). |
| **J:** | **SUSTAINABILITY & IMPROVEMENT** | |
| J3 | Post-Exercise and Post-Spill Evaluations are conducted and incorporated into actions for OSR program improvements. | Programs improve when they are evaluated AND when recommendations are implemented. Records should show post-exercise or post-spill critiques and action items. Check for action items or recommendations that were implemented following the critiques. |

## 11.2 Government: Local / Port / City - Level A

| Code | Critical Criterion | Balloon Text |
|---|---|---|
| **A:** | **LEGISLATION, REGULATIONS, AGREEMENTS** | |
| A1 | Plan references regulatory requirements. | OSR plans may be required by regulation. If so, the plan should indicate what regulations apply and that these are appropriately addressed. |
| A2 | Agreements for local OSR assistance are in place. | A clearly defined OSR response capability (contractors, operators, and equipment) must be arranged and formalized to ensure timely response. |
| **B:** | **OIL SPILL CONTINGENCY PLANNING** | |
| B1 | Plan is readily available to OSR personnel. | The Local/Port spill response plan should be readily available to responders and management. |
| B5 | Local expertise for OSR-related issues is listed. | The OSR plan should identify personnel on site and/or immediate areas that have the appropriate background, knowledge, and experience to undertake key spill response tasks. |
| B7 | Key contacts are updated as these change. | Primary and alternate (mobile and land line) telephone numbers, and possibly email, fax, etc., must be kept current for key contacts, including but not limited to spill management team, agencies/ authorities, and spill response contractors. |
| B8 | Potential spill sources, materials, and volumes are identified and known to responders. | Spill response personnel should have easy and quick reference to what liquids are handled and stored in the local area/port and volumes contained in storage. |
| B10 | The general area at risk is identified based on spill sources. | OSR plan should identify the potential area of spill influence from a worst-case release |
| B11 | Sensitive areas are identified in the plan. | Environmental (ecological) and socioeconomic sites that are sensitive and vulnerable to spills within the potential zone of spill spreading or influence should be clearly identified in the plan and/ or on maps. |
| B13 | Response strategies are clearly stated and appropriate for the local area, operating conditions, and oil types. | Sensitive site protection and spill containment, recovery, and removal strategies should be described and appropriate to oil types (i.e., strategies would be expected to vary from a refined, non-persistent product such as gasoline, to a heavy oil) and local operating conditions (i.e., sites in extreme cold conditions may include ice/snow strategies for winter season). |
| B14 | Health and safety priorities are clearly indicated. | Written commitment by plan owner confirms that safety and health of responders and the public are top response priorities. |
| B16 | Personnel needed to undertake operations are assessed. | The OSR plan has considered the number of personnel (site and/ or contracted) that would be needed to implement the strategies identified in the plan. |
| **C:** | **RESPONSE COORDINATION** | |
| C1 | A clear procedure is in place on information to report and who should receive initial spill notification and follow-up reports. | The plan should identify who is to receive notification of a spill and what information about the spill is to be relayed at the time of notification. As appropriate, the plan should identify to whom and when a report must be filed following response to a spill. |
| C3 | A contact list indicates key personnel and alternates. | A telephone listing of agencies and/or people to be contacted at the time of a spill should be easy to find and telephone numbers should be accurate (see B7). |

| Code | Critical Criterion | Balloon Text |
|---|---|---|
| C4 | Spill management structure and assigned personnel are defined for all spill tiers, as appropriate. | The spill response team organization should be described and preferably illustrated in a diagram. The organization should note who is to fill the spill management roles. The spill management organization should note if and how it may change depending on the complexity and size of the necessary response (tiers), as applicable. |
| C5 | Roles and responsibilities are evident for each functional aspect identified in OSR management organization. | There should be descriptions of the responsibilities at least for top level spill response management roles. |
| C6 | Incident Command is assigned to one or two specific individuals (by name or position) with backups identified. | The person(s) that are charged to lead and coordinate the overall response to a spill should be evident, either in name or by their job title (see B7 and C3). |
| **D:** | **HEALTH, SAFETY & SECURITY** | |
| D1 | A map (or series of maps) is available showing main potential spill sources, locations of spill emergency equipment, and evacuation route(s) | The plan should have a map or diagram that is sufficiently clear identifying where oil is stored in bulk (tanks), location(s) of spill response equipment, and emergency evacuation routes (with muster or gathering locations for evacuated personnel) in case of a major spill or fire. |
| D3 | OSR personnel have general understanding of associated hazards. | Spill or emergency responders know what oil products are stored in different tanks and major piping systems. |
| D4 | PPE available in response kits. | Personal protective equipment to allow emergency responders to enter and work in a hot zone (exposure to oil and fumes) should be complete in packages and readily retrievable. |
| D6 | Mandatory safety training requirements have been established for different roles and responsibilities of OSR responders. | Safety training for responders should be mandatory and identified as such in the plan. Spill responders should know and have received safety training regarding oil spill response hazards and proper prevention measures to mitigate those risks (see I3). |
| **E:** | **OPERATIONAL RESPONSE** | |
| E1 | Local procedures are in place to minimize spill volumes through operational controls (e.g., advanced vessel notifications) and source control: transfers, patching, emergency lightering, etc. | The plan should note what emergency controls are in place to stop or minimize spill loss at the source (source control) and who is responsible to activate such procedures. |
| E2 | Local equipment sources are identified and adequate for Tier 1 risks (most likely routine spills), operating environments, and seasons | Spill response equipment should be easy to locate and adequate to address most spills that would remain in the local area (or port). Equipment should be appropriate for the oil type(s) handled and allow for response under the range of normal weather or environmental conditions that can be expected to occur in the area (see B13). |
| E3 | Local equipment is inventoried, audited, properly stored and in good working condition. | An inspection should find that spill response equipment is clean, well maintained with inspection and maintenance records, and in working order. Note if select equipment is started, assembled, or tested to verify working condition. |
| E5 | Operational use of countermeasures is verified in annual spill exercise. | The plan should indicate a requirement for at least a partial equipment deployment on an annual basis. Actual deployment should be confirmed via exercise documentation or records. Deployments should be representative of the various response strategies and tactics noted in the plan (see I8). |
| **F:** | **TRACKING, ASSESSMENT & INFORMATION MANAGEMENT** | |
| F2 | Forms, maps or charts are available on which to maintain record of spill track and movement. | Spill response management personnel should have ready access to materials to document the extent of a spill and response actions: easy to use map(s) or local area/port diagram. |

| Code | Critical Criterion | Balloon Text |
|---|---|---|
| **G:** | **LOGISTICS** | |
| G5 | Assets and procedure for communications in field and between field and Command Post are in place. | Radios and telephones (cell or land lines) should be available to allow for direct communications between the spill command management location and personnel deployed in spill response work zones. Radios or phones that may be used in hot zones should be intrinsically safe. |
| G6 | The availability of decontamination facilities is ensured for personnel leaving the spill site. | An inspection should find that decontamination equipment such as wash down pools, detergent, and sorbents are readily available and in good conditions to clean responders exiting oiled areas. |
| **H:** | **FINANCIAL & ADMINISTRATIVE CONSIDERATIONS** | |
| H1 | Designated Authority(ies) has pre-defined spending approval limits. | The plan or other documentation should indicate that personnel assigned to manage a spill response (e.g., incident commander) have the authority to engage actions that incur costs without having to wait for other authorization. |
| **I:** | **TRAINING & EXERCISES** | |
| I3 | Minimum initial and refresher Health & Safety training requirements are defined for spill management and responders. | Health and safety risks and hazards associated with spill response actions must be a part of the training program for all responders. Documentation should exist detailing the health and safety training provided for spill personnel (see D6). |
| I8 | Deployment exercises are conducted at least annually with local resources. | Records should exist to verify that spill response equipment is or has been deployed annually in the local area or port. This may be a part of training and should encompass use of representative equipment for on-site response (tier 1) (see E5). |
| **J:** | **SUSTAINABILITY & IMPROVEMENT** | |
| J3 | Post-Exercise and Post-Spill Evaluations are conducted and incorporated into actions for OSR program improvements. | Programs improve when they are evaluated AND when recommendations are implemented. Records should show post-exercise or post-spill critiques and action items. Check for action items or recommendations that were implemented following the critiques. |

## 11.3 Government: Area or Regional – Level A

| Code | Critical Criterion | Balloon Text |
|---|---|---|
| **A:** | **LEGISLATION, REGULATIONS, AGREEMENTS** | |
| A1 | Current legislation, either regional (State, Province or other) or national exists and establishes the purpose of the regional OSR program, stipulates requirements for OSR, and assigns responsibilities. | Oil Spill Response (OSR) plans should indicate the current legislation applicable to oil spill response and that these are appropriately addressed in the Area OSR Plan and program. |
| A2 | Regional Lead Agency or Designated Authority is indicated (see also B Contingency Planning). | The OSR plan should clearly identify the lead authority(ies) and participating agencies and their jurisdiction, roles, and responsibilities in the area oil spill response framework (see B1). |
| **B:** | **OIL SPILL CONTINGENCY PLANNING** | |
| B1 | A Regional or Area Plan has been developed and approved; it identifies a Designated Regional Authority for oil spill response (and/or defines authority for specific spill cases; e.g., spill to land vs. spill to marine waters). | The approved OSR Area Plan should the government authority(ies) that would take lead or co-lead roles in management of emergency response to spills. If authorities differ depending on the local area, region, or environmental setting, these distinctions should be clearly explained. |
| B4 | Applicable and related government plans (multilateral, National, and local) are identified and/or linked. | The context of the Area OSR Plan should be clearly identified with respect to other plans that may be activated (i.e., local and/or National) and to other responders and management team members could be incorporated. Often a good diagram helps to explain this context. |
| B5 | Expertise (agency/personnel) for OSR-related issues is listed. | The OSR plan should identify agencies, oil spill response organizations, subject matter experts, and possibly NGOs (if applicable) that have the appropriate background, knowledge, and experience to undertake key spill response management tasks. |
| B7 | Key contacts are updated as these change. | Primary and alternate telephone numbers, and possibly email, fax, etc., must be kept current for key contacts, including but not limited to spill management team, agencies/authorities, and spill response contractors (see C3). |
| B8 | Regional or Area Plan has defined planning levels based on National Plan requirements or on spill risks. | Regional or OSR Area Plans should fit in context of applicable National or International plans and stipulate the planning response standards (guidelines) for tiered response within the scope of the program. Standards (or guidelines) should provide an indication of tiered response times and response capabilities, such as oil recovery, boom deployment, oily liquids storage, and other aspects of response, as applicable (see E2). |
| B9 | Priority planning is focused on areas of high risk and sensitivity. | Priority environmental (ecological) and socioeconomic sites that are sensitive and vulnerable to spills should be identified or documented. The primary sensitive sites may be noted in general but preferably mapped and available as part of the OSR plan or referenced in the plan and readily available. |
| B16 | Plan adheres to National Policy on use of treating agents for spill response (dispersants, cleaning agents, bioremediation agents, herders, etc.). | The plan should be updated with the latest national agreements on the use of treating agents, including list of products, operational requirements, use criteria and conditions. |
| B17 | Plan adheres to National Policy for use of in situ burning. | The plan should be updated with the latest national agreements on the use of in situ burning, including time-window of opportunity, accelerator-products allowed, use criteria and conditions. |
| B18 | Shoreline protection and treatment policies and procedures are outlined. | The plan should be updated with the latest national agreements, including list of treatment products, time-window of opportunity, operational requirements, use criteria and conditions. |

| Code | Critical Criterion | Balloon Text |
|---|---|---|
| **C:** | **RESPONSE COORDINATION** | |
| C1 | Clear procedure indicates information to report and who should receive initial spill notification and follow-up reports. | The plan should identify which agency is to receive notification of a spill, the communication method (e.g., phone, fax, e-mail) and what information about the spill is to be relayed at the time of notification. As appropriate, the plan should identify to whom and when a report must be filed following response to a spill. |
| C3 | A contact list specifies key personnel. | A telephone listing of agencies and/or people to be contacted at the time of a spill should be easy to find and telephone numbers should be accurate (see B7). |
| C4 | Spill management structure and assigned organizations are defined for all spill tiers, as appropriate. | The spill response team organization structure should be described and preferably illustrated in a diagram. The organization should note who is to fill the spill management roles. The spill management organization should note if and how it may change depending on the complexity and size of the necessary response (tiers), as applicable. |
| C5 | Roles and responsibilities are evident for each functional aspect identified in OSR management organization. | The plan should describe the agencies (or authorities) assigned to key roles and their associated responsibilities for OSR management (see B1). |
| C6 | Incident command is assigned to one or two specific individuals (by name or position) with backups identified. | The person(s) that are charged to lead and coordinate the overall response to a spill should be evident, either in name or by their job title (see B7, C3, and C5). |
| **D:** | **HEALTH, SAFETY & SECURITY** | |
| D1 | Safety policies and regulations are in place to protect both the public and responders from spills. | The OSR Area Plan should identify all safety policies and preferably reference any regulations applicable to OSR activities, including identification of the enforcing agencies. |
| D2 | Personal Protective Equipment (PPE) is available to responders. | The plan should identify the agencies in charge of ensuring PPE is available to onsite responders. The plan should define agencies jurisdiction when several local plans may be activated. |
| **E:** | **OPERATIONAL RESPONSE** | |
| E1 | Procedures are in place to minimize spill volumes through inspections of source control: transfers, emergency lightering, etc. | The OSR Plan or related documentation should indicate that there are spill management controls (procedures) that are adopted or in preparation to help stop or minimize spill loss at the source (source control) and who is responsible to activate such procedures. |
| E2 | Minimum equipment levels are defined for Tier 1 risks (most likely routine spills). | The plan should identify minimum equipment levels for local planning that would allow for response under the range of normal weather or environmental conditions that can be expected. Documentation should specify how agency and local authorities would verify and/or enforce these minimums (i.e., through inspections, plan reviews and approvals, exercises, or combinations thereof) (see B8). |
| E3 | A list of locations and general amounts and types of OSR equipment is available. | Documentation should be available that shows where major caches of OSR equipment are maintained, who operates and maintains the cache, and general capacity of each cache. Documentation may be quite variable and range from OSR contractor lists or information sheets to detailed comprehensive inventories. |
| E5 | Operational use of countermeasures is verified in an annual spill exercise. | The plan should indicate a requirement for at least a partial equipment deployment on an annual basis. Actual deployment should be confirmed via exercise documentation or records. Deployments should be representative of the various response strategies and tactics noted in the plan and test response throughout the operating area (see I6). |

| Code | Critical Criterion | Balloon Text |
|---|---|---|
| **F:** | **TRACKING, ASSESSMENT & INFORMATION MANAGEMENT** | |
| F2 | Forms, maps or charts are available for maintaining records of spill track and movement. | Spill response management personnel, in charge of ensuring area capability program, should have ready access to materials to document the extent of a spill and response actions: easy to use map or facility/area diagram. |
| **G:** | **LOGISTICS** | |
| G4 | Assets and procedures for communications in field and between field and Command Post are in place. | Radios and telephones (land lines, cell, and/or satellite) should be available to allow for direct communications between a spill command management location and personnel deployed in spill response work zones. Communications assets may be government-owned and operated or a combination of government (area and local) and industry resources. |
| G6 | The availability of decontamination facilities is ensured for personnel leaving the spill site. | An inspection should find that Area oil spill response organizations have decontamination and equipment such as wash down pools, detergent, and sorbents should be readily available to clean responders exiting oiled areas. |
| **H:** | **FINANCIAL & ADMINISTRATIVE CONSIDERATIONS** | |
| H1 | An emergency fund is available to enable immediate response actions. | The plan or other documentation should indicate that personnel assigned to manage a spill response (e.g., incident commander) have the authority to engage actions that incur costs without having to wait for other authorization. |
| H3 | Legal aspects have been considered including sampling/collecting evidence, taking statements, and mechanisms for settling disputes and claims. | The OSR Plan or associated documentation should describe sampling procedures and guidelines (and note regulations, as applicable). Documentation should describe the mechanisms for settling disputes and claims and identify the decision-making authorities that would be involved (including reference to applicable regulations). |
| **I:** | **TRAINING & EXERCISES** | |
| I1 | Minimum initial and refresher Health & Safety training requirements are defined for spill management and responders. | The minimum health and safety training requirements for OSR management and responders should be clearly stated and reference made to applicable regulations. The agency(ies) assigned to enforce responders to have met minimum H&S training should be specified (see D1). |
| I6 | Regular joint (Government-Industry) deployment exercises are required and held from Regional or multiple in-region response depots. | Records should exist to verify that joint (Government-Industry) spill response equipment is or has been deployed annually according to the Area Plan. This may be a part of training and should encompass use of Area oil spill response organizations (tier 2) and representative equipment for on-site response (tier 1) (see E5). |
| **J:** | **SUSTAINABILITY & IMPROVEMENT** | |
| J4 | Post-Spill Evaluation and Revisions to Plan are documented. | Programs improve when they are evaluated AND when recommendations are implemented. Records should show post-exercise or post-spill critiques and action items. Check for action items or recommendations that were implemented following the critiques. |

## 11.4 Government: National/International - Level A

| Code | Critical Criterion | Balloon Text |
|---|---|---|
| **A:** | **LEGISLATION, REGULATIONS, AGREEMENTS** | |
| A1 | National legislation stipulates requirements for OSR and assigns responsibilities. | A legal framework that supports the National Contingency Plan (NCP) is clearly defined, indicating agencies jurisdiction, roles and responsibilities in case of oil spill events. |
| A2 | Designated Authority (also referred to as Competent National Authority or Lead Agency) is indicated (see also B1 Contingency Planning). | Legislation or a National Plan should define the authority identified to lead spill response, either or both as the coordinating entity and lead in actual response and/or as the entity charged with maintaining, activating, and implementing the National Plan. |
| **B:** | **OIL SPILL CONTINGENCY PLANNING** | |
| B1 | National Plan has been developed and approved; identifies Designated Authority for oil spill response (and/or defines authority for specific spill cases; e.g., spill to land vs. spill to marine waters). | The National Plan for spill response should be completed, approved or adopted, and meeting the oil spill response framework defined in legislation. The National Plan should be available to other government entities and industries to provide a basis for coordinating planning. The designated or lead authority(ies) should be clearly identified (see A2). |
| B4 | Applicable and related government plans (multilateral, area, and local) are identified. | Regional or International OSR plans that may integrate with the NCP should be clearly identified such that other potential responders and management team members could be incorporated. Often a good diagram helps to explain this context. |
| B5 | Expertise (agency/personnel) for OSR-related issues is listed. | The NCP should identify government agencies and oil spill response expertise (government and/or industry) that have the appropriate background, knowledge, and experience to undertake key national spill response tasks. |
| B7 | Key contacts are updated to reflect changes. | Primary and alternate (mobile or land line) telephone numbers, and possibly email, fax etc., must be kept current for key contacts in the NCP; including but not limited to spill management team, agencies/authorities, and national oil spill response organizations. |
| B9 | Priority planning is focused on areas of high risk and environmental sensitivity. | The NCP should either identify major environmental (ecological) and socioeconomic sites that are sensitive and vulnerable to spills within the potential zone of spill spreading or influence. These may be incorporated by reference and may include sensitivity maps. |
| B12 | Policies and/or regulations are in place to reduce the risk and/or consequences of a spill. | The NCP and/or legislation define spill prevention measures and procedures for rapid allocation of resources of source control and stabilization resources equipment to mitigate spill consequences. Examples include expected tug, salvage, and firefighting capabilities, places of refuge, pre-booming, and additional containment measures (see E1). |
| B13 | Response strategies are clearly stated and provide for response to applicable operating conditions and oil types. | Sensitive site protection and spill containment, recovery, and removal strategies should be described and appropriate to oil types (i.e., strategies would be expected to vary from a refined, non-persistent product such as gasoline, to a heavy oil) and local operating conditions (i.e., sites in extreme cold conditions may include ice/snow strategies for winter season). |
| **C:** | **RESPONSE COORDINATION** | |
| C1 | A clear procedure is presented on information to report and who should receive initial spill notification and follow-up reports. | The plan should identify which agency is to receive notification of a spill, the communication method (e.g., phone, fax, e-mail) and what information about the spill is to be relayed at the time of notification. As appropriate, the plan should identify to whom and when a report must be filed following response to a spill. |

| Code | Critical Criterion | Balloon Text |
|---|---|---|
| C3 | The spill management structure and assigned organizations are defined for all spill tiers. | The National spill response team organization should be described and preferably illustrated in a diagram. The organization should note who is to fill the spill management roles. The spill management organization should note if and how it may change depending on the complexity and size of the necessary response (tiers), as applicable. Description of tier 2 and 1, and their alignment with National requirements should also be included. |
| **D:** | **HEALTH, SAFETY & SECURITY** | |
| D1 | Safety policies and regulations are in place for protecting both the public and responders from spills. | The NCP or appropriately referenced supporting documentation should include all National safety policies and regulations as applicable to OSR responders, including identification of the enforcing agencies (see I1). |
| **E:** | **OPERATIONAL RESPONSE** | |
| E1 | Policies are in place to prevent and minimize spill volumes through source control: transfers, emergency lightering, potential places of refuge for maritime casualties, etc. | The OSR Plan or related documentation should indicate that there are spill management controls (procedures) that are adopted or in preparation to help stop or minimize spill loss at the source (source control) and who is responsible to activate such procedures (see B12). |
| E4 | Government equipment locations are identified and secured; locations allow for quick access and deployment. | Documentation should be available that shows where major caches of OSR equipment are maintained, who operates and maintains the cache, general capacity of each cache. Documentation may be quite variable and range from OSR contractor lists or information sheets to detailed comprehensive inventories. |
| E5 | The operational use of countermeasures is verified in an annual spill exercise. | The NCP or related planning documentation should indicate a requirement for equipment deployment exercises on an annual basis. Actual deployment should be confirmed via exercise documentation or records. Deployments should be representative of the various response strategies noted in the plan and test response throughout the operating area (see I6). |
| **F:** | **TRACKING, ASSESSMENT & INFORMATION MANAGEMENT** | |
| F1 | Role or assignment is defined in OSR management to undertake spill tracking, including monitoring. | NCP defines the agency responsible for oil spill tracking and monitoring. The NCP or related documentation should describe the methods or protocols adopted for spill monitoring, sampling, and data collection. |
| **G:** | **LOGISTICS** | |
| G4 | Assets and procedure for communications in the field and between the field and Command Post are in place. | Radios and telephones (land lines, cell, and/or satellite) should be available to allow for direct communications between a spill command management location and personnel deployed in spill response work zones. Communications assets may be government-owned and operated or a combination of government (area and local) and industry resources. |
| **H:** | **FINANCIAL & ADMINISTRATIVE CONSIDERATIONS** | |
| H1 | An emergency fund is available to enable immediate response actions. | The NCP or referenced documentation should indicate the agencies assigned to manage a spill response of national significance and with the authority to engage actions that incur costs without having to wait for other authorization. Procedures to activate national emergency funds should also be indicated. |
| H3 | Legal aspects have been considered including sampling/collecting evidence, taking statements, and mechanisms for settling disputes and claims. | The NCP or associated documentation should describe sampling procedures and guidelines (and note related regulations, as applicable). Documentation should describe the mechanisms for settling disputes and claims and identify the decision-making authorities that would be involved (including reference to applicable regulations). |

| Code | Critical Criterion | Balloon Text |
|---|---|---|
| **I:** | **TRAINING & EXERCISES** | |
| I1 | Minimum initial and refresher training requirements, including Health & Safety, are defined for spill management and responders. | The minimum health and safety training requirements for OSR management and responders should be clearly stated and reference made to applicable regulations. The agency(ies) assigned to enforce responders to have met minimum H&S training should be specified (see D1). |
| I6 | Deployment exercises are required and held including mobilized Tier 2 response assets from national response depots. | Records should exist to verify that joint (Government-Industry) spill response equipment is or has been deployed annually according to the national contingency plan (NCP). This may be a part of required training and should encompass use of National (or multiple Areas / regional) oil spill response organizations (tier 3) and representative equipment for key response strategies (see E5). |
| **J:** | **SUSTAINABILITY & IMPROVEMENT** | |
| J6 | An OSR planning and readiness assessment enforcement role is specified or defined for a specific government authority. | The NCP or referenced documentation should indicate the requirements for national oil spill response organizations and national spill management organizations to demonstrate readiness. The government authority in charge of enforcing such requirements should have clear role and responsibilities defined in the NCP. |

## 11.5 Government – Industry: Facility or Assets Operations - Level A

| Code | Critical Criterion | Balloon Text |
|---|---|---|
| **A:** | **LEGISLATION, REGULATIONS, AGREEMENTS** | |
| A1 | Plan references regulatory requirements. | OSR Plan and preparedness requirements may be mandated by legislation and/or regulation. The OSR Plan should list or reference the current applicable regulations and show that these are appropriately addressed. |
| A2 | Agreements for local to regional OSR assistance are in place. | Contractual agreements exist and are in place to support oil spill response operations throughout the area encompassed by the scope of the OSR Plan and program. |
| A4 | Plan notes context of geopolitical boundaries and corresponding legislation. | As appropriate, the OSR Plan should indicate if and where geopolitical boundaries between States, Provinces, and/or Countries may be included in the scope of the program and note legislation or regulations that may apply to OSR across those boundaries. |
| **B:** | **OIL SPILL CONTINGENCY PLANNING** | |
| B1 | The plan is readily available to OSR personnel throughout the operational area and to those persons responsible for local OSR planning. | The plan should be readily available to responders and management, at a centralized location and at sites in the operational area manned for spill response. |
| B3 | Applicable and related plans (company, local, and government) are identified. | The context of the OSR Plan should be clearly identified with respect to other plans that may be activated and to other responders and management team members could be incorporated. Often a good diagram helps to explain this context. |
| B4 | Available in-company or outsourced expertise is listed for OSR-related issues. | The plan should identify personnel that have the appropriate background, knowledge, and experience to undertake key spill response tasks: e.g., source control, site safety, containment, removal, security. |
| B6 | Potential spill sources, materials, and volumes have been identified and are known to responders. | Spill response personnel should have easy and quick reference to what liquids are handled and stored on site, in pipelines, and/or handled on vessels and the volumes contained in storage. |
| B8 | General areas at risk are identified based on spill sources. | OSR plan should identify the potential area of spill influence from a worst-case release |
| B9 | Critical sensitive areas are identified in the plan. | Environmental (ecological) and socioeconomic sites that are sensitive and vulnerable to spills within the potential zone of spill spreading or influence should be documented. |
| B11 | Response strategies are clearly stated and appropriate for the range of operational areas, environmental conditions, and oil types. | Sensitive site protection and spill containment, recovery, and removal strategies should be described and appropriate to oil types (i.e., strategies would be expected to vary from a refined, non-persistent product such as gasoline, to a heavy oil) and applicable for the range of conditions throughout the operational areas (i.e., sites in extreme cold conditions may include ice/snow strategies for winter season). |
| B14 | Personnel needed to undertake operations are assessed. | The OSR plan has considered the number of personnel (site and/or contracted) that would be needed to implement the strategies identified in the plan. |

| Code | Critical Criterion | Balloon Text |
|---|---|---|
| **C:** | **RESPONSE COORDINATION** | |
| C1 | Clear procedures outline information to report and who should receive initial spill notification and follow-up reports. | The plan should identify who is to receive notification of a spill and what information about the spill is to be relayed at the time of notification. As appropriate, the plan should identify to whom and when a report must be filed following response to a spill. |
| C3 | A contact list with key personnel is included. | A telephone listing of agencies and/or people to be contacted at the time of a spill should be easy to find and telephone numbers should be accurate. The contact list should include agencies and management team (command and general staff members) (see B4). |
| C4 | A spill management structure and assigned personnel are defined for all spill Tiers. | The spill response team organization should be described and preferably illustrated in a diagram. The organization should note who is to fill the spill management roles. The spill management organization should note if and how it may change depending on the complexity and size of the necessary response ( tiers), as applicable. |
| C5 | Roles and responsibilities are evident for each functional aspect identified in the OSR management organization. | There should be descriptions of the responsibilities at least for top level spill response management roles. |
| C6 | Incident Command is assigned to one or two specific individuals (by name or position) with backups identified. | The person(s) that are charged to lead and coordinate the overall response to a spill should be evident, either in name or by their job title (see B1 and C4). |
| **D:** | **HEALTH, SAFETY & SECURITY** | |
| D1 | Diagrams or maps are available showing general locations of hazards and emergency equipment. | The plan should have maps or diagrams that are sufficiently clear identifying where oil is stored in bulk (tanks), location(s) of spill response equipment, and emergency evacuation routes (with muster or gathering locations for evacuated personnel) in case of a major spill or fire. |
| D3 | OSR personnel have general understanding of associated hazards. | Spill or emergency responders know what oil products are stored in different tanks and major piping systems. |
| D5 | PPE is available in kits. | Personal protective equipment that allows emergency responders to enter and work in a hot zone (exposure to oil and fumes) should be complete in packages and readily retrievable. |
| D7 | Mandatory safety training requirements have been established for OSR responders. | Safety training for responders should be mandatory and identified as such in the plan. Spill responders should know and have received safety training regarding oil spill response hazards and proper prevention measures to mitigate those risks (see I13). |
| **E:** | **OPERATIONAL RESPONSE** | |
| E1 | An operations-wide policy is in place to minimize spill volumes through specific controls (e.g., advanced vessel notifications, assist tugs, pilots) and source control: transfers, patching, emergency lightering, etc. | The plan should indicate that there is a spill prevention program that includes maintenance protocols and management controls (procedures). Emergency controls should be identified that help stop or minimize spill loss at the source (source control) and who is responsible to activate such procedures. |
| E2 | OSR equipment sources are identified and recommended for Tier 1 risks (most likely routine spills) at key locations and appropriate for environmental conditions and seasonal aspects. | Spill response equipment should be easy to locate and adequate to address most spills that would remain in a localized area. Equipment should be appropriate for the oil type(s) handled and allow for response under the range of normal weather or environmental conditions that can be expected to occur in the area (see B11). |
| E5 | Operational use of countermeasures has been verified in an annual spill exercise. | The plan should indicate a requirement for at least a partial equipment deployment on an annual basis. Actual deployment should be confirmed via exercise documentation or records. Deployments should be representative of the various response strategies and tactics noted in the plan and test response throughout the operating area (see I8). |

| Code | Critical Criterion | Balloon Text |
|---|---|---|
| **F:** | **TRACKING, ASSESSMENT & INFORMATION MANAGEMENT** | |
| F3 | Maps or charts are available to maintain a record of spill tracking and movement. | Spill response management personnel should have ready access to materials to document the extent of a spill and response actions: easy to use map(s) or area diagram(s). |
| **G:** | **LOGISTICS** | |
| G5 | Assets and procedures for communications between local Command Post and Operations-wide Command Post are in place. | Radios and telephones (land lines, cell, and/or satellite) should be available to allow for direct communications between a spill command management location and personnel deployed in spill response work zones. Radios or phones that may be used in hot zones should be intrinsically safe. |
| G6 | Decontamination facilities are available for personnel leaving the spill site. | An inspection should find that decontamination equipment such as wash down pools, detergent, and sorbents are readily available and in good conditions to clean responders exiting oiled areas. |
| **H:** | **FINANCIAL & ADMINISTRATIVE CONSIDERATIONS** | |
| H1 | Designated company Incident Commander and emergency management personnel have pre-defined spending approval limits. | The plan or other documentation should indicate that personnel assigned to manage a spill response (e.g., Incident Commander) have the authority to engage actions that incur costs without having to wait for other authorization. |
| **I:** | **TRAINING & EXERCISES** | |
| I1 | Training requirements have been defined for spill management and responders. | The minimum training requirements for spill response and management personnel should be clearly defined: type of training, initial and refresher (as applicable), and frequency. |
| I3 | Minimum initial and refresher Health & Safety training requirements are defined for spill management and responders. | Health and safety risks and hazards associated with spill response actions must be a part of the training program for all responders. Documentation should exist detailing the health and safety training provided for spill personnel (see D7). |
| I7 | Deployment exercises are conducted at least annually with local resources. | Records should exist to verify that spill response equipment is or has been deployed annually. This may be a part of training and should encompass use of representative equipment for on-site response (tier 1) and to a representative range of working environments within the scope of operations (see E5). |
| **J:** | **SUSTAINABILITY & IMPROVEMENT** | |
| J3 | Post-Exercise and Post-Spill Evaluations are made and incorporated into actions for OSR program improvements. | Programs improve when they are evaluated AND when recommendations are implemented. Records should show post-exercise or post-spill critiques and action items. Check for action items or recommendations that were implemented following the critiques. |

## 11.6 Industry: Country or Business Line - Level A

| Code | Critical Criterion | Balloon Text |
|---|---|---|
| **A:** | **LEGISLATION, REGULATIONS, AGREEMENTS** | |
| A1 | Business-line or Country Plan adheres to National and Corporate policies and requirements for OSR and assigns responsibilities. | OSR Plan and preparedness requirements reference applicable oil spill planning legislation and/or regulations and corporate planning policies. The OSR Plan should list or reference the current applicable regulations or policies and show how and where these are addressed. |
| **B:** | **OIL SPILL CONTINGENCY PLANNING** | |
| B1 | A business-line or Country OSR plan has been developed and approved; identifies organization and applicable Designated Authorities for oil spill response and/or defines authority for specific spill cases (e.g., spill to land vs. spill to marine waters). | As appropriate, the OSR Plan should indicate if and where geopolitical boundaries between States, Provinces, and/or Countries may be included in the scope of the program and note legislation or regulations that may apply to OSR across those boundaries. |
| B3 | Business-line or Country OSR adheres to designated planning levels set by National, Regional, or Corporate requirements. | While in compliance with corporate requirements, Plan follows national or regional requirements. Spill response management structure allocates government participation. Tiers are consistent with Company policies and applicable country regulations. |
| B4 | Applicable and related government, Corporate, and facility plans are identified. | There are no discrepancy issues between this Plan and applicable government or Corporate Plan at different levels. The scope of the Plan is clear and when the Plans are activated. Agencies jurisdiction and chain of command is clear. A good diagram helps to explain this context. |
| B5 | Expertise (government/industry) for OSR-related issues is listed. | The plan should identify personnel at the Country – Business-line level that have the appropriate background, knowledge, and experience to undertake key spill response tasks. |
| B7 | Key contacts are updated as they change. | Primary and alternate (land line and mobile) telephone numbers and email must be kept current for key contacts, including but not limited to spill management team, agencies/authorities, and spill response contractors. |
| B8 | Priority planning is focused on geographic areas or operations of higher spill risk and environmental sensitivity. | The plan must include environmental (ecological) and socioeconomic priorities to be protected, based on operational capabilities. |
| B9 | Plan describes key sensitive areas and priorities. | Environmental (ecological) and socioeconomic sites that are sensitive and vulnerable to spills within the potential zone of spill spreading or influence should be documented. |
| B11 | Response strategies are clearly stated and provide for response to applicable operating conditions and oil types. | Sensitive site protection and spill containment, recovery, and removal strategies should be described and appropriate to oil types (i.e., strategies would be expected to vary from a refined, non-persistent product such as gasoline, to a heavy oil) and local operating conditions (i.e., sites in extreme cold conditions may include ice/snow strategies for winter season). |
| **C:** | **RESPONSE COORDINATION** | |
| C1 | A clear procedure outlines what types of information are to be reported on a response and who should receive initial spill notification and any follow-up reports. | The plan should identify who is to receive notification of a spill and what information about the spill is to be relayed at the time of notification. As appropriate, the plan should identify to whom and when a report must be filed following response to a spill. |
| C3 | A contact list includes key personnel. | A telephone listing of key personnel (and alternates) to be contacted at the time of a spill should be easy to find and telephone numbers should be accurate (see B7). |

| Code | Critical Criterion | Balloon Text |
|---|---|---|
| C4 | A spill management structure has been established and defined for all spill types and Tiers including land- and sea-based incidents. | The spill response team organization should be described and preferably illustrated in a diagram. The organization should note who is to fill the spill management roles. The spill management organization should note if and how it may change depending on the complexity and size of the necessary response (tiers), as applicable. |
| C6 | The role of Business-line/Country Team in Incident Command and in Crisis Management is defined. | The plan describes how the business-line/Country team would interact with the local / Operations team and with corporate support. |
| C7 | Positions (and/or personnel) assigned to OSR management roles are identified. | Country/Business-line positions are clearly defined and Plan has corporate approval and support to sustain such spill management roles. |
| **D:** | **HEALTH, SAFETY & SECURITY** | |
| D1 | Health and safety policies and corporate standards are in place that meet or exceed government requirements for protecting both the public and responders from the effects of spills. | The plan, or referenced documents, should include all safety policies and regulations applicable in the area for oil spill response and including identification of the enforcing agencies. |
| **E:** | **OPERATIONAL RESPONSE** | |
| E1 | Country or Business Line establishes policies and procedures to minimize spill volumes through pre-planning for source control: transfers, emergency lightering, etc. | There are Country / Business line spill prevention programs in place that include maintenance protocols, management controls (procedures) and engineering controls. |
| E5 | Operational use of countermeasures has been verified in an annual drill. | Annual exercise requirements include deployment of representative equipment (quantities and type) to test Country / Business line capabilities to implement countermeasures (see I6) |
| **F:** | **TRACKING, ASSESSMENT & INFORMATION MANAGEMENT** | |
| F1 | Role or assignment is defined in OSR management to undertake spill tracking, including monitoring. | OSR plan or related documentation identifies the positions responsible to support oil spill tracking and monitoring. It should reference industry best practices to conduct spill tracking and describe a consistent methodology collecting data. |
| **G:** | **LOGISTICS** | |
| G1 | Key logistical support providers and capabilities are identified to support response from Company teams. | Plan or related documents or database includes notification and activation procedures for key country / Business line logistical support team and services. |
| G4 | Assets and procedures for communications between field and Company OSR Spill Management or Support Team are in place. | The Country / Business Line plan or referenced documents show clear guidelines on expected communications guidelines and protocols between the spill management team and Corporate management, sometimes referred to as crisis management. |
| **H:** | **FINANCIAL & ADMINISTRATIVE CONSIDERATIONS** | |
| H1 | An emergency fund is available to support augmentation of OSR actions as required by a spill. | The OSR plan or a written procedure should indicate that existing Country / Business line emergency funds can be made available immediately and describe the activation procedures. It should show that the incident commander has the authority to engage actions that incur costs without having to wait for other authorization. |

| Code | Critical Criterion | Balloon Text |
|---|---|---|
| H3 | Company policies are defined for legal support and related matters including sampling/collecting evidence, taking statements, and mechanisms for settling disputes and claims. | OSR Plan or referenced documents should describe sampling procedures and guidelines according to Country / Business line policies. Policies should identify responsible support from Corporate/Country management personnel that can aid in decision-making with authorities and describe the mechanisms for settling disputes and claims. |
| **I:** | **TRAINING & EXERCISES** | |
| I1 | A company policy for minimum initial and refresher training requirements, including Health & Safety, is defined for spill management and responders. | The plan or related documents should include company training requirements for minimum H&S training applicable for Country / Business line spill management and responders. |
| I6 | Deployment exercises are required and held including mobilized Tier 2 response assets. | Records should exist to verify that joint (Tier 1 augmented with Tier 2) spill response equipment is or has been deployed annually according to the Country / Business line Plan. This may be a part of training and should encompass use of Country / Business line oil spill response organizations and representative equipment for on-site response (see E5). |
| **J:** | **SUSTAINABILITY & IMPROVEMENT** | |
| J4 | Post-Spill Evaluation and Revisions to Plan are documented. | Programs improve when they are evaluated AND when recommendations are implemented. Records should show post-exercise or post-spill critiques and action items. Check for action items or recommendations that were implemented following the critiques. |

## 11.7 Industry: Corporate - Level A

| Code | Critical Criterion | Balloon Text |
|---|---|---|
| **A:** | **LEGISLATION, REGULATIONS, AGREEMENTS** | |
| A1 | A corporate policy stipulates requirements for OSR and assigns responsibilities. | A written Corporate spill response philosophy should specify company oil spill planning and preparedness policies and procedures and responsibilities for development and implementation. |
| **B:** | **OIL SPILL CONTINGENCY PLANNING** | |
| B1 | A corporate OSR plan has been developed and approved. | The review should verify that a corporate OSR plan has been developed and that the policies and expectations for more detailed planning have been implemented, or is in process of being implemented (if relatively new) per corporate leadership team requirements |
| B5 | Expertise (personnel) for OSR-related issues is listed. | The Corporate plan should identify Corporate personnel or from business unit that have the appropriate background, knowledge, and experience to undertake key spill response tasks. This corporate support groups capabilities and the activation procedures should be clearly identified in the Corporate plan. |
| B6 | Key contacts are updated as these change. | Primary and alternate telephone numbers, and possibly email, fax, etc., must be kept current for key contacts, including but not limited to spill management team, agencies/authorities, and spill response contractors. |
| B10 | Policies are in place to reduce the risk and/or consequences of a spill. | Corporate policies, requirements, and incentives are in place to either reduce the probability of spill occurrence and to mitigate their possible consequences. |
| B11 | A corporate plan provides guidelines on response strategies, equipment and personnel needs relative to applicable operating conditions and oil types. | Corporate guidelines include how to determine sensitive site protection and spill containment, recovery, and removal strategies; including NEBA or SIMA appropriate to oil types (i.e., strategies would be expected to vary from a refined, non-persistent product such as gasoline, to a heavy oil) and local operating conditions (i.e., sites in extreme cold conditions may include ice/snow strategies for winter season). |
| **C:** | **RESPONSE COORDINATION** | |
| C1 | Clear procedures outline what types of information are to be reported on a response, and who should receive initial spill notification and any follow-up reports. | The Corporate response plan should identify who is to receive notification of a spill and what information about the spill is to be relayed at the time of notification, according to Corporate and public affair policies. As appropriate, the plan should identify to whom and when a report must be filed following response to a spill, and who has the authority / responsibility to report accurate spill information. |
| C3 | A contact list notes key personnel. | A telephone listing of key personnel (and alternatives) to be contacted at the time of a spill should be easy to find and telephone numbers should be accurate (see B7). |

| Code | Critical Criterion | Balloon Text |
|---|---|---|
| C4 | A spill management structure has been established for all spill tiers, as appropriate. | The corporate spill support team organization should be described and preferably illustrated in a diagram. The organization should note who is to be the main point of contact with the spill management roles. The spill management organization should note if and how it may change depending on the complexity and size of the necessary response (tiers), as appropriate. |
| C6 | The role of a Corporate Team in Incident Command and in Crisis Management is defined. | The corporate plan defines the differences between the role, scope, and responsibilities of the incident command and the crisis management functions. |
| C7 | Positions (and/or personnel) assigned to OSR management roles are identified. | The corporate plan identifies who has the primary responsibility to define strategic objectives, allocate resources, assess incident potential, define incident action plan and follow-up on the response performance. |
| **D:** | **HEALTH, SAFETY & SECURITY** | |
| D1 | Corporate health and safety policies and standards are in place for protecting the public and responders from spill hazards. | Corporate program states H&S policies and indicates how hazards should be identified, and countermeasures implemented, to protect the public and responders in case of a spill or threat of major release. |
| **E:** | **OPERATIONAL RESPONSE** | |
| E1 | A corporate policy establishes procedures to minimize spill volumes through, for example, source control: transfers, emergency lightering, etc. | The plan indicates Corporate policies and spill prevention programs that include maintenance management controls (procedures) and engineering controls. |
| E3 | A list of locations and general amounts and types of Tier 3 OSR equipment is available, if appropriate. | The plan or related documentation indicates that Corporate agreements with Tier 3 oil spill response organizations (OSRO) are in place, as applicable. It also includes OSR equipment location and estimated time to mobilize from Tier 3 sites to main business unit field locations. |
| E6 | Corporate policy for development of OSR Waste Management Plans is defined and requires that plans conform with local regulatory requirements. | The Corporate OSR Plan or supporting documentation includes waste management guidelines to define transport, disposal, decontamination, and environmental stewardship requirements. |
| **F:** | **TRACKING, ASSESSMENT & INFORMATION MANAGEMENT** | |
| F1 | The corporate plan includes procedures and tools for spill tracking, including monitoring. | The Corporate OSR Plan or supporting documentation defines the corporate support available and responsibility for oil spill tracking and monitoring. It should reference industry best practices to conduct spill tracking and describe a consistent methodology collecting data. |
| **G:** | **LOGISTICS** | |
| G2 | Corporate planning provides guidelines to areas/regions/facilities for logistical planning needs. | The Corporate OSR Plan or supporting documentation includes an incident management system with resources allocation procedures consistent with business line procedures, in order to leverage on the onsite capability. Corporate support for logistical planning need is identified. |

| Code | Critical Criterion | Balloon Text |
|---|---|---|
| G4 | Assets and procedures for communications between field and Corporate Support are in place. | The corporate plan provides clear guidelines to establish communications procedures and protocols. Inspection confirms that radios, telephones (cell or land lines), are available to allow for direct communications between Corporate support and the spill command management location. |
| **H:** | **FINANCIAL & ADMINISTRATIVE CONSIDERATIONS** | |
| H1 | An emergency fund is available for augmenting response actions. | The Corporate OSR Plan or supporting documentation should indicate that existing Corporate emergency funds are immediately available and describe the activation procedures. It should show that the incident commander has the authority to engage actions that incur costs without having to wait for other authorization. |
| H3 | Corporate policies are defined for legal support and related matters including sampling/collecting evidence, taking statements, and mechanisms for settling disputes and claims. | The Corporate OSR Plan or supporting documentation should describe sampling procedures and guidelines according to Corporate requirements. Documentation should identify the Corporate support to work with local teams to assist with decision-making, communications with authorities, and assistance for settling disputes and claims. |
| **I:** | **TRAINING & EXERCISES** | |
| I1 | A corporate policy for minimum initial and refresher training requirements, including health & safety, is defined for spill management and responders. | The Corporate OSR Plan or supporting documentation should include company training requirements, including incident management procedures to address stakeholders needs, crisis management training, how to assess the incident potential to prevent an emergency to become a crisis, etc. |
| **J:** | **SUSTAINABILITY & IMPROVEMENT** | |
| J2 | A Corporate Team or Work Group is assigned to review and recommend OSR enhancements at local/regional/national levels. | Documentation should indicate that a Corporate OSR preparedness and assessment review team is in place to aid with implementing corporate OSR policies at regional to local levels. Assessment team members should have the appropriate background, knowledge, and experience to provide leadership in spill response preparedness. |

# RETOS™ Oil Spill Response Planning and Readiness Assessment Manual

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BEST PRACTICES

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ASSOCIATION OF OIL, GAS AND RENEWABLE ENERGY COMPANIES OF LATIN AMERICA AND THE CARIBBEAN

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Readiness Evaluation Tool for Oil Spills

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