

Notice of Change to Controlled Documents #5--- 25 Oct 2010

Change to Safety Management Manual

Chapter11: Document Control and Distribution All Sections

Topic: Significant changes in document control due to changing from paper to electronic system

Summary of Change: The HSE Manual and SMM Manual are now fully electronic. Ships will be notified of changes with a Notice of Change email from the HSE Manager or designee.

All Chapters	All Topics
<p>Old Version: Revision #6</p>	<p>1.0 Introduction</p> <p>This document describes the procedures to ensure that documents and data associated with the Company SMS are controlled and distributed properly. The SMM is considered a “living document” in that it will be revised, minimally yearly. Suggestions, code/rule/regulation changes, audits, incident, accidents and reevaluation of best practices may necessitate the need to revise the SMM more frequently and will be managed through a system of notice of change documents.</p> <p>Internally generated documents must be approved prior to issue and examined for adequacy and usability. Internally generated documents must be approved and signed by the company president and HSE manager. The document control procedure will permit personnel to identify the revision status of the documents and to preclude the use of superseded and obsolete documentation.</p> <p>Procedure are described that will be used to control, monitor, and distribute internally generated documents (IGD) and distribute externally generated documents (EGD).</p> <p>Controlled internally generated documents include:</p> <ul style="list-style-type: none"> • TDI-Brooks International Safety Management Manual • Notice to Change • Fleet Memoranda

Distributed externally generated documents include certificates, publications, and reports required by different operations and administrative authorities:

Those required by Flag State Regulations

Certificates required by the flag state are issued directly to the vessel and copies are maintained in the office and on the TDI-Brooks web site. These include the Certificate of Inspection (or Letter of Designation as an Oceanographic Research Vessel) and the Certificate of Documentation.

- Publications to be carried on board and required by Flag state include the following and are provided to the vessels and maintained current by the office thru weekly updates (notice to mariners), annually (tides) or as they become available.

- 46 Code of Federal Regulations
- Charts
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- LIST OF LIGHTS, appropriate for the sailing region
- Oil Discharge Placard and Oil Record Book
- PFD donning instructions Poster
- Pub 117, Radio Aids
- Tide Tables and Tidal Currents appropriate for the region

- For vessels engaged on international voyages

Certificates required when a vessel is on an international voyage are issued to the office and sent to the ship or issued directly to the vessel. In both cases the original goes to the vessel and copies are maintained in the office and on the TDI-Brooks web site. These certificates are issued by the Flag State, Class Societies, Port State Control agencies, and authorized representatives. These include the International Load Line, International Tonnage Certificate, numerous certificates satisfying IMO Convention regulations pertaining to SOLAS and MARPOL, and specific country requirements (e.g. derat certificate).

	<p>Publications to be carried on board and required by Flag state include the following and are provided to the vessels and maintained current by the office thru weekly updates as they become available.</p> <ul style="list-style-type: none"> ○ Ballast Water Management - 2005 edition- ○ Call Signs and Numerical Identities of Stations used by the Maritime Mobile and Maritime Mobile-Satellite Services (List VII A) ○ Fire Fighting Training Manual ○ IAMSAR Manual: Volume III, 2005 Consolidated Edition- ○ International Code of Signals - 2005 edition ○ ISM Code, International Safety Management Code, 2002 EDITION ○ ISPS, International Ship and Port Facility Security Code, 2003. ○ List of Coast Stations (List IV -) ○ List of Ship Stations ○ Manual for Use by the Maritime Mobile and Maritime Mobile-Satellite Services ○ Marine Radio Telephone logbook ○ MARPOL A booklet addendum with amendments ○ STCW--2001 edition-(including amendment #1 and amendment #2) ○ Updated List of Radio Signals (ITU Pub 5) <ul style="list-style-type: none"> ● Audit or survey reports <p>Survey reports (class, load line, IOPP, COI, safety radio, etc) are produced at intervals established by the class society or flag administration. These are maintained and accessed on the class society and TDI-Brooks web sites, and on the vessels. In addition, clients perform HSE/CMID audits prior to conducting oceanographic surveys. These reports are provided directly to and maintained on the vessel, with copies to the office where corrective actions are monitored.</p> <ul style="list-style-type: none"> ● Those advisable for particular operations and age/type of vessel <p>Depending on the type and area of operation various other publications may be required or requested as prudent for the operations. These include the following and are provided by the office upon request of the master.</p> <ul style="list-style-type: none"> ○ Coast Pilot appropriate to the region ○ List of Radiodetermination and Special Service Stations (List VI -) ○ Load Lines, 2005 edition
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- Life saving appliance code
- Nautical Almanac
- PSC- port state procedures
- Sailing Directions appropriate to the region
- World Port Index
- Chart Catalogue
- Code on intact stability 2002 edition, ref Nbr IA 874 E
- FSS , fire safety systems code, 2001 edition IMO PUB I 155 E.
- FTP CODE-fire test procedures, 1988 edition

2.0 Responsibility

It is the responsibility of the HSE manager or their designee to track changes and revise the SMM. It is the responsibility of the HSE manager or their designee to ensure that all documents associated with the SMS are distributed to the appropriate locations and that only valid copies of the SMS are in circulation and that all superseded and

obsolete documents are destroyed. The HSE manager must also ensure that each section of the SMS documentations is reviewed by the appropriate company expert for **accuracy**.

It is the responsibility of the master to establish procedures to ensure that the SMM and associated documents as well as any revisions are current have been read by all ship's officers.

It is the responsibility of each crewmember and personnel sailing aboard a Company vessel to be familiar with the SMM documentation. The training records of crewmembers will be annotated to indicate that they have read the manual.

It is the responsibility of the compliance officer to ensure that all appropriate EGDs are current and distributed to the vessels and office.

3.0 Procedure

The HSE manager or their designee will track, revise, and distribute the SMM. All requested and required revisions will be gathered and implemented into the SMM during the annual review, unless there is a situation requiring an immediate revision of the SMM is necessary. In such circumstances a "Notice to Change" will be issued. Any suggestions for changes must be submitted to the HSE manager in writing. The HSE manager is responsible for investigating suggested changes and may delegate this to a company authority for a particular section. Suggested changes must be approved by the company management (operations manager/designated person, compliance officer, master, and Company president), before the HSE manager will revise the

appropriate sections of the SMM.

The HSE manager will distribute revised SMM to the individuals listed in **section 4** of this document. Any changes in a revision of the SMM will be underlined so that any changes are clearly identified to the users. Any changes that are necessary prior to the issuance of a revision will be distributed via a notice of change approval document. The changes will be annotated on a revision page that will be inserted into the front of the current, approved manual. During the revision cycle, all notice of changes will become incorporated into the text of the primary document.

The HSE manager will assign and track revision numbers and/or notice of change documents. Revision numbers will be listed on each section of the SMM manual and cross-referenced in the Table of Contents. Revisions will be dated and signed prior to distribution. A limited number of SMM will be issued and each will receive an identification number. Each person or location on the distribution list will be assigned a copy of the SMM based on the unique identification number. Unofficial copies of any portion of the SMM, must be clearly marked as copies and annotated on location. The vessel master will be responsible for controlling the document on the vessel and listing and tracking uncontrolled copies to various departments.

Any portions of the SMM manual obsolete by changes will be disposed on site. Receipt of any changes and disposal of obsolete documents will be verified via email. This will be verified by the vessel master sending an email to the HSE manager (suemcdonald@tdi-bi.com) and Debbie Paul (debbiepaul@tdi-bi.com) stating that the new copy has been received and all controlled and uncontrolled version destroyed and replaced.

Submittal to remote locations may be via email of scanned copies or numbered CD-ROMs.

The HSE manager will submit these documents to all parties on the distribution list. Acknowledgement will be via email between the vessel and office.

4.0 Distribution List

The following distribution list will ensure that all vessels and individuals determined as critical paths will have access to controlled copies of the SMM while still maintain a system of controlled documentation.

	<table border="1"> <thead> <tr> <th data-bbox="477 191 954 237">Document Location</th> <th data-bbox="954 191 1398 237">Responsible Person</th> </tr> </thead> <tbody> <tr> <td data-bbox="477 237 954 275">Home Office</td> <td data-bbox="954 237 1398 275">HSE Manager</td> </tr> <tr> <td data-bbox="477 275 954 312">Company President's Office</td> <td data-bbox="954 275 1398 312">Company President</td> </tr> <tr> <td data-bbox="477 312 954 350">Port Engineer's Office</td> <td data-bbox="954 312 1398 350">Port Engineer</td> </tr> <tr> <td data-bbox="477 350 954 422">Operations Manager's Office</td> <td data-bbox="954 350 1398 422">Operations Manager/Designate Person</td> </tr> <tr> <td data-bbox="477 422 954 459">Compliance Officer's Office</td> <td data-bbox="954 422 1398 459">Compliance Officer</td> </tr> <tr> <td data-bbox="477 459 954 497">Internal Auditor's Office</td> <td data-bbox="954 459 1398 497">Internal Auditor</td> </tr> <tr> <td data-bbox="477 497 954 535">R/V GeoExplorer</td> <td data-bbox="954 497 1398 535">Master</td> </tr> <tr> <td data-bbox="477 535 954 573">R/V Gyre</td> <td data-bbox="954 535 1398 573">Master</td> </tr> <tr> <td data-bbox="477 573 954 611">R/V BrooksMcCall</td> <td data-bbox="954 573 1398 611">Master</td> </tr> <tr> <td data-bbox="477 611 954 648">OSV Rylan T</td> <td data-bbox="954 611 1398 648">Master</td> </tr> </tbody> </table>	Document Location	Responsible Person	Home Office	HSE Manager	Company President's Office	Company President	Port Engineer's Office	Port Engineer	Operations Manager's Office	Operations Manager/Designate Person	Compliance Officer's Office	Compliance Officer	Internal Auditor's Office	Internal Auditor	R/V GeoExplorer	Master	R/V Gyre	Master	R/V BrooksMcCall	Master	OSV Rylan T	Master
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<p>New Changes: Revision #7</p>	<p>1.0 Introduction</p> <p>This document describes the procedures to ensure that documents and data associated with the Company's Safety Management Manual and HSE Manual are controlled and distributed properly. The Safety Management and HSE Manuals are considered "living documents" in that it will be revised, minimally yearly. Suggestions, code/rule/regulation changes, audits, incident, accidents and reevaluation of best practices may necessitate the need to revise the SMM more frequently. Since the HSE and SMM are both electronic controlled documents, updates will be managed through a system of notice of change documents. reviews, approvals and e-mail notifications. Any part of the controlled documents that is printed is considered UNCONTROLLED.</p> <p>Internally generated documents must be approved prior to issue and examined for adequacy and usability. Internally generated documents must be approved and signed by the company president and HSE manager. The document control procedure will permit personnel to identify the revision status of the documents and to preclude prevent the use of superseded and obsolete documentation.</p> <p>Procedures are described that will be used to control, monitor, and distribute internally generated documents (IGD) and distribute externally generated documents (EGD). Documents can be kept as hard copies or in electronic format.</p> <p>Controlled internally generated documents include:</p> <ul style="list-style-type: none"> • TDI-Brooks International Safety Management Manual • Notice to Change TDI Brooks HSE Manual • Fleet Memoranda 																						

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- ISM Code, International Safety Management Code, **2010 Edition**
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- List of Coast Stations (List IV)
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2.0 Responsibility

It is the responsibility of the HSE manager or their designee to ~~track~~ notify the fleet and specified personnel of any changes and revise the SMM. The HSE manager must also ensure that each section of the ~~SMS documentations~~ SMM or HSE Manual is reviewed by the appropriate company expert for **accuracy**. This includes any periodic revisions. Once revisions have been approved, they will be updated on the Ship Web Pages on each ship and on the Internet site. A Notice of Change e-mail will then be sent to the fleet by the HSE Manager or their designee announcing the change and advising the crew to review the affected sections.

It is the responsibility of the master to establish procedures to ensure that the SMM and associated documents as well as any revisions ~~are current~~ have been read by all ship's officers.

It is the responsibility of each ~~crewmember and personnel~~ sailing aboard a Company vessel to be familiar with the SMM documentation. ~~The training records of crewmembers will be annotated to indicate that they have read the manual.~~

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	<p>The HSE manager or their designee will distribute revised SMM send an e-mail Notice of Change to the fleet and individuals listed in section 4 of this document. It will include the revised section and will highlight or briefly summarize the changes. A copy of this Notice of Change will be posted in the CM and can be referred to at any time.</p> <p>The HSE manager will submit these documents to all parties on the distribution list. Acknowledgement will be via email between the vessel/ person and office.</p> <p>4.0 Distribution List</p> <p>The following distribution list for Notices of Change will ensure that all vessels and individuals determined as critical paths will be notified in a timely manner of any revisions to controlled documents. have access to controlled copies of the SMM while still maintain a system of controlled documentation.</p> <table border="1" data-bbox="488 890 1386 1423"> <thead> <tr> <th data-bbox="488 890 938 968">Notices of Change will be sent to:</th> <th data-bbox="938 890 1386 968">To the attention of:</th> </tr> </thead> <tbody> <tr> <td data-bbox="488 968 938 1010">Home Office</td> <td data-bbox="938 968 1386 1010">HSE Manager</td> </tr> <tr> <td data-bbox="488 1010 938 1052">Company President's Office</td> <td data-bbox="938 1010 1386 1052">Company President</td> </tr> <tr> <td data-bbox="488 1052 938 1094">Port Engineer's Office</td> <td data-bbox="938 1052 1386 1094">Port Engineer</td> </tr> <tr> <td data-bbox="488 1094 938 1136">Port Captain's Office</td> <td data-bbox="938 1094 1386 1136">Port Captain</td> </tr> <tr> <td data-bbox="488 1136 938 1199">Operations Manager's Office</td> <td data-bbox="938 1136 1386 1199">Operations Manager/Designated Person</td> </tr> <tr> <td data-bbox="488 1199 938 1241">Compliance Officer's Office</td> <td data-bbox="938 1199 1386 1241">Compliance Officer</td> </tr> <tr> <td data-bbox="488 1241 938 1283">Internal Auditor's Office</td> <td data-bbox="938 1241 1386 1283">Internal Auditor</td> </tr> <tr> <td data-bbox="488 1283 938 1325">R/V GeoExplorer</td> <td data-bbox="938 1283 1386 1325">Master</td> </tr> <tr> <td data-bbox="488 1325 938 1367">R/V Gyre</td> <td data-bbox="938 1325 1386 1367">Master</td> </tr> <tr> <td data-bbox="488 1367 938 1409">R/V BrooksMcCall</td> <td data-bbox="938 1367 1386 1409">Master</td> </tr> <tr> <td data-bbox="488 1409 938 1423">OSV Rylan T</td> <td data-bbox="938 1409 1386 1423">Master</td> </tr> </tbody> </table>	Notices of Change will be sent to:	To the attention of:	Home Office	HSE Manager	Company President's Office	Company President	Port Engineer's Office	Port Engineer	Port Captain's Office	Port Captain	Operations Manager's Office	Operations Manager/Designated Person	Compliance Officer's Office	Compliance Officer	Internal Auditor's Office	Internal Auditor	R/V GeoExplorer	Master	R/V Gyre	Master	R/V BrooksMcCall	Master	OSV Rylan T	Master
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Reason for the change	The new electronic format of these documents has changed the way all updates/ revisions/ controlled copies are handled. Ship publications listed in previous SMM are outdated.																								