

Notice of Change to Controlled Documents #274 / 8 Oct 2015

Summary of Changes

Revisions managed by: Shannon Smith

Purpose: [274] HSE restructured so Mate is the full time HSE Officer on board. Port Captain position removed.

NOC#	Ch., Sec., SOP	Summary	Revision#
274	Chapter 3	HSE restructured so Mate is the full time HSE Officer on board. Port Captain position removed	#17

<p>Date Completed _____</p> <p><u>10-12-15</u> <u>SS</u> SMM TOC page updated</p> <p><u>10-12-15</u> <u>SS</u> NOC web page updated</p> <p><u>10-12-15</u> <u>SS</u> SMM- each section updated</p> <p>_____ NOC sent to fleet</p>	<p>Date Completed _____</p> <p>_____ NOC pdf posted on CM</p> <p>_____ Vessel acks recorded</p> <p>_____ Office controlled SMM updated</p>
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Approvals	Approvals
<div style="border: 1px solid green; padding: 5px; width: fit-content; margin: auto;"> <p style="text-align: center; color: green;"><u>Approved for Distribution</u></p> <p>Date <u>10/8/15</u> Initials <u>JSS</u></p> <p>Print Name <u>John Smith</u></p> </div>	<div style="border: 1px solid green; padding: 5px; width: fit-content; margin: auto;"> <p style="text-align: center; color: green;"><u>Approved for Distribution</u></p> <p>Date <u>10/8/15</u> Initials <u>PTS</u></p> <p>Print Name <u>Pete Tatro</u></p> </div>

NOC # 274 Chapter 3 Resources and Personnel- ALL

Revision #	Section(s)
Revision #17	See attached new SOP

Approved for Distribution

Date 8 Oct 15 Initials JBR

Print Name J. Brooks

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Revision/ Review Log

Revision Date	Approved by	Reviewed by	Revision Details/ Proposal Notes
11 January 2010 Revision #5	Dr. Jim Brooks	HSE Manager: Sue McDonald	
15 Oct 2010 Revision #6	Dr. Jim Brooks Dr. Bernie Bernard	HSE Manager Designee: Dr. Jim Brooks Capt. Pat Fallwell	Changed to electronic format
15 Oct 2010 Revision #7	Dr. Jim Brooks Dr. Bernie Bernard	HSE Manager Designee: Dr. Jim Brooks Capt. Pat Fallwell	Change to key personnel names, titles, responsibilities
12 Aug 2011 Revision #8	Dr. Jim Brooks Dr. Bernie Bernard	Dr. Jim Brooks Dr. Bernie Bernard	Company HSE officer name corrected
03 May 2012 Revision #9	Dr. Jim Brooks Dr. Bernie Bernard	Dr. Jim Brooks Dr. Roger Fay Capt. Pat Fallwell	Quality mgmt rep position added, names of personnel updated
24 September 2012 Revision #10	Dr. Jim Brooks	Dr. Bernie Bernard Dr. Roger Fay Capt. Pat Fallwell	Responsibilities and single points of accountability clarified. Required competencies for all key positions defined.
01 July 2013 Revision #11	Dr. Jim Brooks Dr. Bernie Bernard	Dr. Jim Brooks Dr. Bernie Bernard Dr. Roger Fay	Office address updated


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26 July 2013 Revision #12	Dr. Jim Brooks Dr. Bernie Bernard	Dr. Jim Brooks Dr. Bernie Bernard	Key positions updated with names and titles
24 October 2013 Revision #13	Dr. Jim Brooks Dr. Bernie Bernard Pete Tatro	Dr. Jim Brooks Dr. Bernie Bernard Pete Tatro	New DPA assigned, responsibilities adjusted, new org chart
01 May 2014 Revision #14	Dr. Jim Brooks Pete Tatro	Dr. Jim Brooks Pete Tatro	Key positions updated
30 January 2015 Revision #15	Dr. Jim Brooks Pete Tatro	Dr. Jim Brooks Pete Tatro	Quality Representative position removed from org chart
08 April 2015 Revision #16	Dr. Jim Brooks Pete Tatro Dr. James Howell	Dr. Jim Brooks Pete Tatro Dr. James Howell	Reference to ship drawings removed. Party Chief is company SMS representative
08 October 2015 Revision #17	Dr. Jim Brooks Pete Tatro Dr. James Howell	Dr. Jim Brooks Pete Tatro Dr. James Howell	HSE restructured so Mate is the full time HSE Officer on board. Port Captain position removed

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1.0 Introduction

This chapter describes the ownership of the vessel, company personnel, and their responsibilities and authority as applicable to the safe management and operation of the vessel.

2.0 Statement of Vessel Ownership

The vessels in the company fleet are owned and/or operated by TDI-Brooks International located at 14391A South Dowling Road in College Station, Texas 77845. Our vessels are flagged with US or Vanuatu and the responsibility for the operation of each vessel has been communicated to the appropriate flag state. Copies of all documents and correspondence are maintained in the main office at 14391A South Dowling Road, College Station, Texas 77845.

3.0 Personnel Responsibilities

TDI-Brooks International was incorporated in the State of Texas on May 20, 1996. TDI-BI currently specializes in offshore surface geochemical exploration; heat flow; geotechnical studies and environmental surveys; and high-end environmental analysis of hydrocarbons, pesticides/PCBs and trace metals.

The company president sets the company policy on safety and environmental protection and leads by example. All other senior managers are advocates of the company policy and take an active role in demonstrating the company's commitment and coaching others in the organization on the value of safety and environmental protection. The HSE manager is responsible for maintaining all SMS policies and procedures as well as maintaining document control. The designated person ashore (DPA) is responsible for the safe operation of each vessel and has access to the highest level of management. The DPA monitors the safety and pollution prevention aspects of the operation of each vessel and ensures that adequate resources and shore-based support are available to the vessel. **The Master of the vessel has full responsibility and authority for security, safety and environmental protection on the vessel and for her crew.** The company managers serve as resources for him to accomplish his duties. All managers and supervisors must take an active role in TDI-Brooks' safety and environmental programs by initiating preventive measures to control hazards associated with TDI-Brook's activities and being mindful of the environment by preventing spills, accidental releases, and other incidents.

The primary responsibilities and authority of key personnel are described in Figure 1. The key positions involved in safe and environmentally sound operations of the vessel are listed in Figure 2. The personnel hierarchy on the vessel is shown in Figure 3.

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4.0 Key Positions

Dr. James Brooks, President

Responsibilities:

- Establishes technical and vessel requirements to meet client needs.
- Directs overall vessel operations and deployments.
- Schedules vessel operations.
- Negotiates with clients in work efforts.
- Ensures that the vessel operations have sufficient resources to conduct the jobs safely and effectively.

Qualifications:

Minimum qualifying formal education of the Operations Manager is: (1) a degree from a qualified tertiary institution in a relevant field of management, administration, engineering, or physical science, or (2) other formal education combined with three years practical senior level experience in ship operations management.

Competence & Experience:

The President should have the competence and experience to: (1) direct the activities of the ships in compliance with the ISM Code and its rules, regulations, applicable codes, guidelines and standards, (2) understand the technical and operational aspects of shipboard safety management, (3) effectively apply knowledge of shipping and shipboard operations, (4) review audits for SMS improvement; (5) effectively communicate with shipboard management staff and shore-side senior managers, and (6) effectively consider and evaluate the safe practices recommended by clients and other third-party organizations to promote a safety culture.


Dr. Bernie Bernard, Vice President & Chief Technology Officer

Responsibilities:

- Establishes technical capabilities and standards to meet client needs.
- Assists in technical operations and deployments.
- Specifies and maintains vessel equipment specific to science and technical services operations.
- Maintains and updates computer and communications systems on vessels.

Competence & Experience:

The Vice President should have the competence and experience to: (1) direct the activities of the ships in compliance with the ISM Code and its rules, regulations, applicable codes, guidelines and standards, (2) understand the technical and operational aspects of shipboard safety management, (3) effectively apply knowledge of shipping and shipboard operations, (4) review

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audits for SMS improvement; (5) effectively communicate with shipboard management staff and shore-side senior managers, and (6) effectively consider and evaluate the safe practices recommended by clients and other third-party organizations to promote a safety culture .

Mr. Pete Tatro, Director of Operations and Designated Person Ashore

Responsibilities:

- Responsible for ensuring that the vessel is maintained according to port, state, and international laws, regulations, and codes applicable to the vessel size and function.
- Assists in vessel operations and deployments.
- As DPA, monitors the safety and pollution prevention aspects of the ship's operations and ensures that the vessels have adequate resources and shore-based support.

Qualifications:

Minimum qualifying formal education of the DPA is: (1) a degree from a qualified tertiary institution in a relevant field of management, engineering, or physical science, or (2) qualified seagoing experience as a certified ship officer pursuant to the specifications in STCW, or (3) other formal education combined with three years practical senior level experience in ship management operations.

Training:

Training of the DPA is to be in compliance with the requirements of the ISM Code, particularly with regard to: (1) understanding of the Code and its rules, regulations, applicable codes, guidelines and standards, (2) assessing techniques of examining, questioning, evaluating and reporting, (3) technical and operational aspects of safety management, (4) appropriate knowledge of shipping and shipboard operations, (5) participation in at least one SMS audit; and (6) effective communications with shipboard staff and senior management.

Competence & Experience:

The DPA should have the competence and experience to: (1) present ISM matters to the highest level of management and gain sustained support for SMS improvements, (2) determine whether the SMS elements meet the requirements of the ISM Code, (3) determine the effectiveness of the SMS within the Company and the ships by using established principles of internal audit and management review to ensure compliance, (4) assess the effectiveness of the SMS in ensuring compliance with other rules and regulations which are not covered by statutory and classification surveys and enabling verification of compliance with these rules and regulations, (5) assess whether the safe practices recommended by clients and other third-party organizations to promote a safety culture have been considered and evaluated, and (6) gather and

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analyze data from hazardous occurrences, hazardous situations, near misses, incidents and accidents and apply the lessons learned to improve the SMS.

Ms. Gail Mills, Controller

Responsibilities:

- Maintain documented system of accounting policies and procedures
- Oversees operations of the accounting department and supervises staff
- Oversees the accounting operations of subsidiaries and branches
- Manages accounts payable and debt payments
- Manages payroll function
- Ensure that periodic bank reconciliations are completed
- Maintain chart of accounts and an orderly accounting filing system
- Maintain a system of controls over accounting transactions
- Coordinates the provision of information to external auditors
- Monitors and reports debt levels and compliance with debt covenants
- Complies with local, state, and federal government reporting requirements and tax filings
- Manages employee benefits including insurance, 401(k) plan, and paid time off.

Qualifications:

- Bachelor's degree in accounting, economics, or business administration, or equivalent business experience.
- Five years responsible experience in a company with annual revenues of \$10M.

Competencies:

- Full understanding of financial control systems and tools
- Full understanding of payroll systems and regulations
- Full understanding of chart of accounts and financial statements
- Ability to effectively supervise staff
- Ability to represent management policies to employees and third parties

Ms. Debbie Paul, Administrative Assistant

Responsibilities:

- Arranges personnel deployments.
- Assists personnel with travel arrangements and international country requirements for travel.
- Assists in maintaining personnel records.

Qualifications, Training and Experience:

This position requires a working knowledge of office communications systems and proficiency Microsoft Office software. This position is also responsible for working closely with travel agents to arrange employee travel and for ensuring employees have visas required to work at destination.

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Dr. James Howell, HSE Manager

Responsibilities:

- Interacts with clients to ensure that their HSE requirements are met under the TDI-Brooks system.
- Works with Masters to ensure they and their crews are aware of and following company and regulatory HSE policies.
- Works with DPA in developing risk assessments for vessel operations.

Qualifications:

Minimum qualifying formal education of the HSE Manager is: (1) a degree from a qualified tertiary institution in a relevant field of management, health, safety, engineering, or physical science, or (2) other formal education combined with three years practical senior level experience in ship operations HSE management.

Competence & Experience:

The HSE Manager should have the competence and experience to: (1) demonstrate, teach, monitor, and assess the HSE policies, systems, equipment, and activities of the company in compliance with the ISM and applicable marine HSE codes, (2) understand the technical and operational aspects of shipboard HSE management, (3) effectively apply knowledge of health, safety, and environmental regulations and systems to on-board operations, (4) review audits for HSE systems improvement, (5) effectively communicate with shipboard management staff and shore-side senior managers, and (6) effectively consider and evaluate the safe practices recommended by clients and other third-party organizations to promote a safety culture.

Ms. Shannon Smith, Vessel Systems Administrator & Assistant HSE Manager

Responsibilities:

- Maintains the NS5 software system that monitors various vessel components to ensure compliance with ISM code.
- Maintains computer based training system- monitors training databases, installs and maintains software, instructs and supports remote users, prints certificates and updates Training Matrix.
- Designed and maintains the company ship web pages.
- Edits and maintains the Safety Management Manual.
- Ensures that all vessels have access to the current revision of electronic controlled documents.

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Qualifications, Training and Experience:

This position requires a working knowledge of computer based training systems, ability to understand and manage the NS5 maintenance database and the ability to create and edit basic html web pages. The minimum required education is a Bachelor's degree, Web Pages Developer certificate or equivalent experience.

Mr. Charlie Emerson, Port Engineer

Responsibilities:

- Solely responsible for vessel maintenance.
- Arranges vessel repairs, dry dock activities and supervises shipyard visits.
- Assists in hiring engineering crew.
- Responsible for critical equipment procurement, repair and replacement.

Qualifications, Training and Experience:

This position requires a minimum of five years experience as a USCG licensed Chief Engineer in a marine environment.

Dr. Roger Fay, Compliance Officer and Company Security Officer (CSO)

Responsibilities:

- Responsible for maintaining documentation, certifications, and compliance with U.S., Flag State and International laws, regulations, and codes.
- Assists DPA in monitoring the completion and submittal of Master's Review.
- Serves as a Company Security Officer (CSO).
- Serves as an internal auditor.

Qualifications:

Minimum qualifying formal education of the Compliance Officer and Company Security Officer is: (1) a degree from a qualified tertiary institution in a relevant field of management, administration, engineering, or physical science, or (2) qualified seagoing experience as a certified ship officer pursuant to the specifications in STCW, or (3) other formal education combined with three years practical senior level experience in vessel compliance and vessel security.

Competence & Experience:

The Compliance Officer and Security Officer should have the competence and experience to maintain the vessels in compliance with the requirements of the ISM and ISPS Codes, particularly with regard to: (1) an understanding of the codes and their rules, regulations, guidelines and standards, (2) having effective assessment techniques of examining, questioning, evaluating and reporting, (3) understanding the technical and operational aspects of vessel compliance and of vessel security, (4) appropriate knowledge of day-to-day shipboard operations, (5) participation in at least one SMS audit and one ISPS audit; and (6) effective communications with shipboard staff and senior management. The Security Officer should be competent to: (1) effectively demonstrate, teach, monitor, and assess the security policies, systems, equipment, and activities of the company

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Qualifications, Training and Experience:

This position requires a working knowledge of TDI-Brooks field operations and a minimum of one year field experience with TDI-Brooks or equivalent. While the backgrounds and training of our Party Chiefs vary widely, each has sufficient experience with our operations or similar maritime expertise to intelligently interface with the client representative regarding their operational needs in the field.

Master (Captain)

Responsibilities:

- Manages daily ship operations.
- Responsible for the security and safety of all crew, technical staff, visitors, and clients aboard the vessel.
- Responsible for the safe operation of the vessel.
- Responsible for implementation of the SMS.
- Coordinates science activities with party chief, but has the authority to make final decision about the safety of operations.

Qualifications, Training and Experience:

This position requires a current US Coast Guard Master's License appropriate to the tonnage and working area of the vessel to which he or she is assigned.

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in compliance with the ISPS Code, (2) understand the technical and operational aspects of shipboard security, (3) effectively apply knowledge of security regulations and systems to on-board operations, (4) conduct and review audits for security systems improvement; (5) effectively communicate with shipboard management staff and shore-side senior managers, and (6) effectively consider and evaluate the practices recommended by clients and third-party security organizations to enhance security for deployments in world regions of heightened security risk.

Designated Employee Representative (DER) Megan Brooks

Responsibilities:

- Records notes of all company meetings.
- Responsible for employee medical and drug tests and maintenance of those records in accordance with federal requirements.
- Reports drug testing of ship crew according to Flag State requirements.
- Ensures all employees have accurate and current training before each cruise.
- Updates the crewing module with new employees, certificates and drug/medical information.

Duties:

The Designated Employee Representative is responsible for maintaining all employee medical records and drug tests in accordance with Federal regulations and ensuring that positive drug test results are reported to TDI-Brooks upper management, the appropriate Flag State and other agencies as required.

Qualifications, Training and Experience:

The position of Designated Employee Representative requires a working knowledge of current federal regulations regarding drug testing in the workplace, reporting requirements of appropriate Flag States, and the employer's responsibilities with regard to the Health Insurance Portability and Accountability Act (HIPAA).

Party Chief

Responsibilities:

- Responsible for science and technical operations on vessel.
- Directs sampling efforts.
- Directs vessel technical staff.
- Serves as ^{PROJECT} company Safety Management System (SMS) representative, ^{SUPPORTING THE VESSEL HSE OFFICER}
- Coordinates science operations with master to ensure work is conducted in a manner consistent with the safe operations of the vessel.

Figure 1. TDI-Brooks International Personnel Reporting Structure and Authority

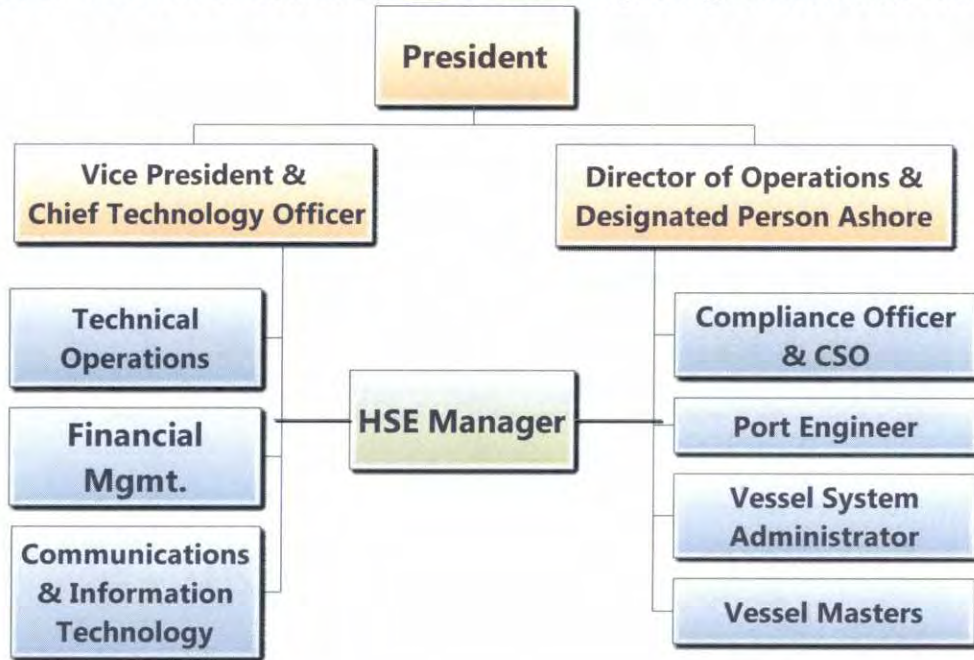


Figure 2. TDI-BI Vessel Safety Organizational Chart

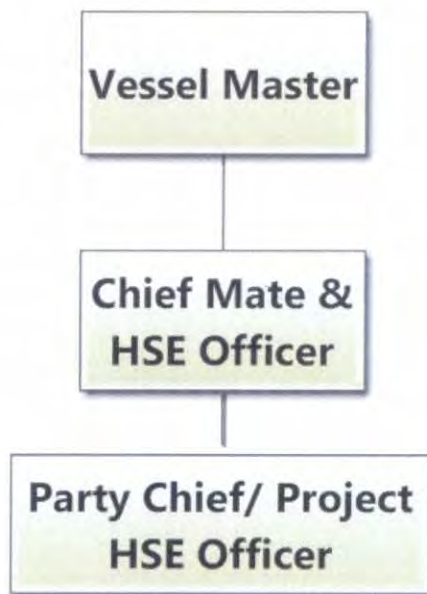


Figure 3. Ship's Crew Organization and Administration

