

# Notice of Change to Controlled Documents #112 /24 Sep 2012

## Summary of Changes

NOC#	Ch., Sec., SOP	Summary	Revision#
112	Ch3 Sec 4.0	Key positions clarified so there is “single point accountability” for responsibilities. Required competencies established for key positions.	10

Approvals	Approvals

## NOC #112

### Chapter 3 Company Responsibility and Authority Section 4.0 Key Positions & Section 5.0 Required Competencies

**Topic:** Key positions clarified so there is “single point accountability” for responsibilities. Required competencies established for key positions.

Revision #	Section(s)
Revision #7	<p><b>4.0 Key Positions</b></p> <p><b>Dr. James Brooks, Operations Manager</b></p> <p><b><u>Responsibilities:</u></b></p> <ul style="list-style-type: none"> <li>• Directs overall vessel operations and deployments.</li> <li>• Schedules vessel operations.</li> <li>• 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.</li> <li>• Directs shipboard personnel deployments.</li> <li>• Negotiates with clients in work efforts.</li> </ul>

- 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 Operations Manager 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 TDI-Brooks~~ and Designated Person Ashore (DPA)**

**Responsibilities:**

- 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.
- Assists in vessel operations and deployments.
- Specifies and maintains vessel equipment specific to science and technical services operations.
- Maintains and updates computer and communications systems on vessels.
- Serves as a party chief on selected highly technical operations.

**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) assessment 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 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, TDI-Brooks**

#### **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, TDI-Brooks.**

**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.

**Dr. James Howell, HSE Manager, TDI-Brooks**

**Responsibilities:**

- ~~Assists Port Captain and DPA with verifying compliance with ISM Code.~~
- 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 federal HSE policies.
- Works with DPA in developing risk assessments for vessel operations.
- ~~Coordinates with DPA to prepare agenda and material for the annual Management Review.~~

**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; and (5) effectively communicate with shipboard management staff and shore-side senior managers, (5) 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, TDI-Brooks**

**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.

**Qualifications, Training and Experience**

This position requires a working knowledge of computer based training systems, ability to understand and manage the NS5 maintenance database, 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. Jimmy Skalak, Port Engineer, TDI-Brooks**

**Responsibilities:**

- Solely responsible for vessel maintenance.
- Arranges vessel repairs, dry dock activities and supervises, including shipyard visits.
- Assists in hiring vessel crew.
- Responsible for procurement of all new, repaired and replaced critical equipment. vessel parts.

**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), TDI-Brooks**

**Responsibilities:**

- Responsible for maintaining vessel drawings, documentation, certifications, and compliance with U.S. 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.
- Vessel Manager for the OSV *Rylan T.*

**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 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.

**Captain Patrick L. Fallwell, Port Captain, TDI-Brooks**

**Responsibilities:**

- Assists DPA with various safety policies
- Conducts internal audits of vessels and office to see that vessel certificates and logs are maintained and current
- Assists in conducting internal audits of vessels and office as requested
- Verifies corrective action when on board and in the office when conducting internal audits
- Assists DPA, HSE Manager in preparing agenda and material for the annual Management Review meeting

**Qualifications, Training and Experience**

Bachelor's degree from a Maritime Academy with an USCG License as Third Mate. At least 10 years experience in the maritime industry. Minimum 5 years sailing as a licensed deck officer on vessels of at least 500 GT. Experience in managing of vessel operations and internal auditing to the ISM code and ISPS code required.

**Quality Management Representative and Designated Employee**

**Representative (DER) Kathleen Nease**

**Responsibilities:**

- Manages ISNetworld account.
- 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 US Coast Guard requirements.
- Reviews and updates Employee Manual.
- Creates training matrixes before each cruise to ensure all employees have accurate and current training.

- Updates the crewing module with new employees, certificates and drug/medical information.

### **Duties**

TDI-Brooks does not have a Medical Review Officer. In the absence of a Medical Review Officer, the Designated Employee Representative is responsible for maintaining all employee medical records and drug test in accordance with Federal regulations and ensuring that positive drug test results are reported to TDI-Brooks upper management, the US Coast Guard and other appropriate agencies as required.

### **Qualifications, Training and Experience**

The position of Quality management Representative requires a working knowledge of ISO requirements. A Bachelor's Degree or equivalent ISO auditing experience is required.

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

(We may require a certificate- they can be earned online. Samples are: Certified HIPAA Professional-CHP, Certified HIPAA Security Specialist-CSCS, Certified HIPAA Administrator-CHA.)

## **Party Chief**

### **Responsibilities:**

- Responsible for science and technical operations on vessel.
- Directs sampling efforts.
- Directs vessel technical staff.
- May serve as vessel SMS representative.
- Coordinates science operations with master to ensure work is conducted in a manner consistent with the safe operations of the vessel.

### **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.

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|  | <ul style="list-style-type: none"><li>• Responsible for the safe operation of the vessel.</li><li>• Responsible for implementation of the SMS.</li><li>• Coordinates science activities with party chief, but has the authority to make final decision about the safety of operations.</li></ul> |
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**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.