


SAFETY MANAGEMENT MANUAL		
	Chapter 3	Rev # 21
	Company Responsibility and Authority	Revision date: 13 Nov 2019
		Page 1 of 13

Chapter 3 Company Responsibility and Authority

- 1.0 [Introduction](#)
- 2.0 [Statement of Vessel Ownership](#)
- 3.0 [History and General Responsibilities](#)
- 4.0 [Key Positions](#)


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](#)

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

SAFETY MANAGEMENT MANUAL		
	Chapter 3 Company Responsibility and Authority	Rev # 21
		Revision date: 13 Nov 2019
		Page 2 of 13


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
16 February 2016 Revision #18	Dr. Jim Brooks Pete Tatro Dr. James Howell	Dr. James Howell Daniel Brooks Peter Hitchcock	Names removed, Staffing Manager positions added
19 April 2018 Revision #19	Pete Tatro, DPA	Dr. James Howell	Vessel Systems Mgr responsible for internal training, working with DPA to ensure Masters' reviews are completed and manage administration of SMM.
14 August 2018 Revision #20	Pete Tatro, DPA	Dr. James Howell	Logistics Coordinator position added.
13 November 2019 Revision #21	Roy Robbins, DPA	Dr. James Howell	Director of Operations title removed from DPA position

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.

SAFETY MANAGEMENT MANUAL		
	Chapter 3	Rev # 21
	Company Responsibility and Authority	Revision date: 13 Nov 2019
		Page 3 of 13

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 History and General 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 health, 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.

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.

4.0 Key Positions

As employees of a small company, TDI-Brooks personnel may share responsibilities for more than one position. However, 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.


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 President 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.

SAFETY MANAGEMENT MANUAL		
	Chapter 3	Rev # 21
	Company Responsibility and Authority	Revision date: 13 Nov 2019
		Page 4 of 13

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.

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.

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 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 .

Designated Person Ashore

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.

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.

SAFETY MANAGEMENT MANUAL		
	Chapter 3	Rev # 21
	Company Responsibility and Authority	Revision date: 13 Nov 2019
		Page 5 of 13

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

Health, Safety and Environmental (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.
- Responsible for the maintenance and execution of the company SMS and associated procedures and processes.

SAFETY MANAGEMENT MANUAL		
	Chapter 3	Rev # 21
	Company Responsibility and Authority	Revision date: 13 Nov 2019
		Page 6 of 13

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.

Training & 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.

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.
- Ensures that crew completes required internal training in a timely manner.
- Assists DPA in monitoring the completion and submittal of Master's Review.
- Administers the distribution, document control and support systems for all SMS policies and procedures.


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.

Port Engineer

Responsibilities:

- Solely responsible for vessel maintenance.
- Arranges vessel repairs, dry dock activities and supervises shipyard visits.
- Assists in hiring engineering crew.

SAFETY MANAGEMENT MANUAL		
	Chapter 3	Rev # 21
	Company Responsibility and Authority	Revision date: 13 Nov 2019
		Page 7 of 13

- Responsible for critical equipment procurement, repair and replacement.

Training and Experience:

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

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.
- 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.

Training & 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.

Designated Employee Representative (DER)

SAFETY MANAGEMENT MANUAL		
	Chapter 3	Rev # 21
	Company Responsibility and Authority	Revision date: 13 Nov 2019
		Page 8 of 13

Responsibilities:

- 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.
- 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.

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).


Logistics Coordinator

Responsibilities:

- Works directly with Marine crewing manager and Technical crewing manager to populate vessels and projects with qualified crew and technicians
- Ensures all employees have accurate and current licenses and qualifications before each cruise.
- Arranges travel of crew and technical party
- Works with in-country agents to verify visa and other local requirements are met by travelers before travel begins and arranges for pick up and transportation to and from the vessel.
- Updates the crewing module with new employees and certificates.
- Applies for all Vanuatu endorsements and seaman ID books on behalf of mariner and ensures delivery of endorsements once completed

Duties:

The Logistics Coordinator is responsible for helping the crewing managers populate vessels with qualified individuals. Verifies credentials and assists in application process of Vanuatu endorsements and seaman ID books. Is in charge of making sure crewing module is up to date with credentials and employer information. Duties include arranging travel for mariners and technicians and obtaining valid visas for travel. Works with local agents to arrange transportation of individuals to and from the airport and vessel once in country.

SAFETY MANAGEMENT MANUAL		
	Chapter 3	Rev # 21
	Company Responsibility and Authority	Revision date: 13 Nov 2019
		Page 9 of 13

Training and Experience:

The position of Logistics Coordinator requires a working knowledge of credential requirements for mariners and technicians to work on board vessels. Must be diligent about visa requirements per country and nationality restrictions.

Staffing Manager – Maritime Personnel

Responsibilities:

- Ensures maritime personnel are qualified for their positions
- Ensures all employees have accurate and current required licenses and qualifications before each cruise.
- Oversees changes to the crewing module, which includes but is not limited to personnel movements on and off the vessel, new employees and updated certificates and qualifications

Duties:

The Staffing Manager is responsible for hiring medically fit, qualified personnel for all vessel crew and ensuring that Flag State minimum safe manning requirements are met, as well as considering the additional responsibilities placed on the crew by the scientific operations, security/ gangway watches and STCW work/ rest hours.

Training and Experience:

The position of Staffing Manager requires a working knowledge of current federal and international regulations regarding Flag State requirements for vessel and a minimum of two years field experience with TDI Brooks International or equivalent.

Staffing Manager – Survey Personnel

Responsibilities:


- Ensures survey personnel are qualified for their positions
- Ensures all technical crew have accurate and current licenses and qualifications before each cruise.
- Oversees updates to the crewing module, which includes but is not limited to personnel movements on and off the vessel, new employees and updated certificates and qualifications

Duties:

The Staffing Manager is responsible for hiring medically fit, qualified personnel for all technical positions.

Training and Experience:

The position of Staffing Manager requires a working knowledge of TDI training requirements for all technical survey positions onboard all vessels and a

SAFETY MANAGEMENT MANUAL		
	Chapter 3	Rev # 21
	Company Responsibility and Authority	Revision date: 13 Nov 2019
		Page 10 of 13

minimum of two years field experience with TDI-Brooks International or equivalent.

Party Chief

Responsibilities:

- Responsible for science and technical operations on vessel.
- Directs sampling efforts.
- Directs technical staff.
- Serves as project Safety Management System (SMS) representative and supports the Chief Mate with vessel safety.
- Coordinates science operations with Master to ensure work is conducted in a manner consistent with the safe operations of the vessel.

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)

The Master of the vessel has full responsibility and authority for security, safety and environmental protection on the vessel and for her crew.

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.

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.

SAFETY MANAGEMENT MANUAL



**Chapter 3
Company Responsibility
and Authority**

Rev # 21

Revision date: 13 Nov 2019

Page 11 of 13

[continued on next page]

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

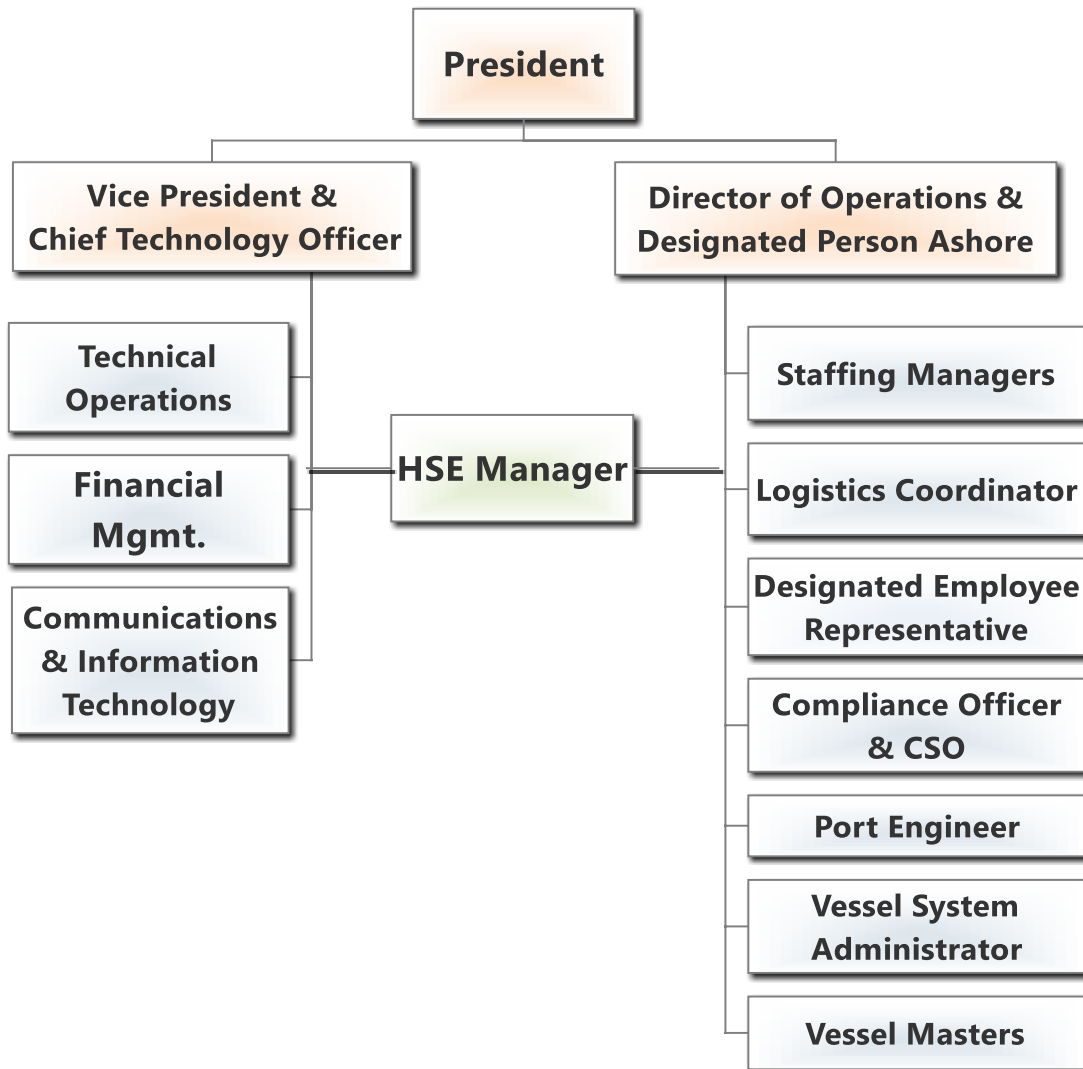


Figure 2. TDI-BI Vessel Safety Organizational Chart

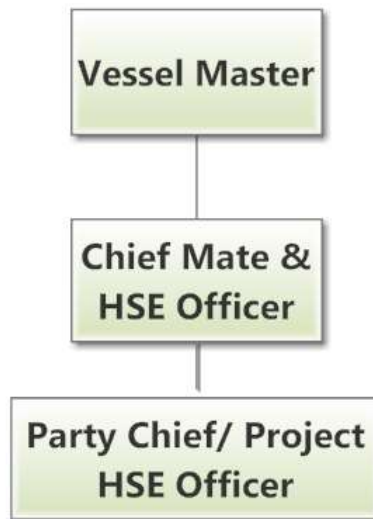


Figure 3. Ship's Crew Organization and Administration

