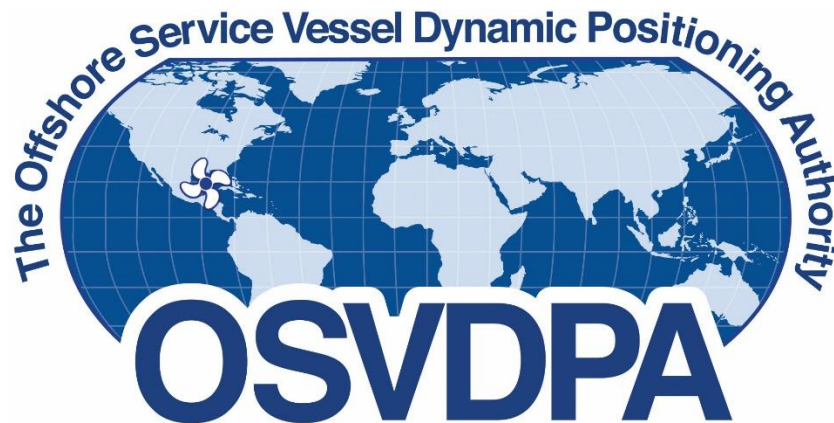




**OSVDPA**  
**Manual of Policies and Procedures**  
**(OSVDPA MPP-1-004)**

To be used in the Certification of DPOs and Instructors;  
Accreditation of Training Providers; and Approval of Auditors,  
Vessel Operators, and Vessels.

Version 4.0  
Current as of: May 22, 2018

Approved by the OSVDPA Board of Directors:  
March 29, 2018

|                                                               |                                                                 |                                                                                                                          |                                |
|---------------------------------------------------------------|-----------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------|--------------------------------|
| Manual of Policies and Procedures: Table of Contents Section. | Version: <b>4.0</b>                                             | Date Effective: <b>May 22, 2018</b>                                                                                      | Section: <b>1</b>              |
|                                                               | Prepared by: <b>BAB</b><br>Prepared Date: <b>March 29, 2018</b> | Approved/Reviewed by:<br>BoD: <b>YES</b> TAC: <b>N/A</b><br>ED: <b>N/A</b> Counsel: <b>N/A</b><br>Accountant: <b>N/A</b> | Document: Page <b>2 of 297</b> |

## **1 Table of Contents.**

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|                                                        | Prepared by: <b>BAB</b><br>Prepared Date: <b>March 29, 2018</b> | Approved/Reviewed by:<br>BoD: <b>YES</b> TAC: <b>YES</b><br>ED: <b>N/A</b> Counsel: <b>N/A</b><br>Accountant: <b>N/A</b> | Document: Page<br><b>3 of 297</b> |

## **2 Record of Change.**

- 2.1 In Version 002 of the OSVDPA Manual of Policies and Procedures the following changes to Version 001 of this document were made:
- 2.1.1 Reduction of the scores required of Certified Instructors during the Training Provider Accreditation process found in Section **11.3.4**.
  - 2.1.2 Elimination of Fee TP-4, the Assessment Failure Fee previously found in Sections **21.5.7.4** and **21.7.11.4** of OSVDPA MPP-1-001.
  - 2.1.3 Replaced the term “Class C DPO Certificate” with the term “Class C Permit” throughout OSVDPA MPP-1-001.
  - 2.1.4 Clarified language in Section **21.8.4.3** concerning an individual’s inability to switch between onboard assessments and simulator-based assessments for assessment retakes.
- 2.2 In Version 003 of the OSVDPA Manual of Policies and Procedures, the following changes to Version 002 of this document were made:
- 2.2.1 A new subsection was added to Section **16**, stating, “Those applying under Section **16.4.1.3** shall have the phrase “Not an Officer in Charge of a Navigational Watch” placed on their DPO Certificate or Class C Permit. This phrase shall also appear on the OSVDPA Database. This phrase shall remain on the individual’s certificate or permit until such time as he or she earns—and notifies the OSVDPA of—an AEC meeting either Section **16.4.1.1** or Section **16.4.1.2**.”
  - 2.2.2 New subsections were included in Section **17.7** requiring that Training Providers include information about the OSVDPA DPO Certification Scheme in the Phase 1 (Induction) Course.
  - 2.2.3 A new subsection was added in Section **22**, stating, “DPOs or Prospective DPOs securing a DPO Certificate or Class C Permit while holding an Accepted Entry Credential (AEC) (Section **4.3**) meeting the definition listed in Section **16.4.1.3** shall have the phrase “Not an Officer in Charge of a Navigational Watch” placed on their DPO Certificate or Class C Permit. This phrase shall also appear on the OSVDPA Database. This phrase shall remain on the individual’s certificate or permit until such time as he or she earns—and notifies the OSVDPA of—an AEC meeting either Section **16.4.1.1** or Section **16.4.1.2**.”

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|                                                        | Prepared by: <b>BAB</b><br>Prepared Date: <b>March 29, 2018</b> | Approved/Reviewed by:<br>BoD: <b>YES</b> TAC: <b>YES</b><br>ED: <b>N/A</b> Counsel: <b>N/A</b><br>Accountant: <b>N/A</b> | Document: Page<br><b>4 of 297</b> |

2.2.4 A new subsection was added in Section **23**, stating, DPOs or Prospective DPOs revalidating a DPO Certificate or Class C Permit while holding an Accepted Entry Credential (AEC) (Section **4.3**) meeting the definition listed in Section **16.4.1.3** shall have the phrase “Not an Officer in Charge of a Navigational Watch” placed on their DPO Certificate or Class C Permit. This phrase shall also appear on the OSVDPA Database. This phrase shall remain on the individual’s certificate or permit until such time as he or she earns—and notifies the OSVDPA of—an AEC meeting either Section **16.4.1.1** or Section **16.4.1.2**.

2.3 In Version 004 of the OSVDPA Manual of Policies and Procedures, the following changes to Version 003 of this document were made:

2.3.1 The definition of Prospective DPO ID Number (Section **4.35**) has been amended to specify all of the forms where a Prospective DPO’s ID Number may be found.

2.3.2 A new subsection was added to Section **17**, stating, “The OSVDPA allows Phase 1 (Induction) Courses to be conducted over a period of up to six (6) months, provided class periods for the course are held not less than frequently than three (3) times per every four (4) weeks.” This new subsection also requires the course be conducted by a qualifying Maritime Training Academy (Section **16.4.4**) or an Accredited Training Provider (Section **4.42**) on behalf of a qualifying Maritime Training Academy, for the purpose of providing the Phase 1 (Induction) Courses to Cadets (Section **16.4.4**) who meet the requirements of (Section **16.4.5**).

2.3.3 A new subsection was added to Section **18**, stating, “The OSVDPA allows Phase 3 (Simulator) Courses to be conducted over a period of up to six (6) months, provided class periods for the course are held not less than frequently than three (3) times per every four (4) weeks.” This new subsection also requires the course be conducted by a qualifying Maritime Training Academy (Section **16.4.4**) or an Accredited Training Provider (Section **4.42**) on behalf of a qualifying Maritime Training Academy, for the purpose of providing the Phase 3 (Simulator) Courses to Cadets (Section **16.4.4**) who meet the requirements of (Section **16.4.5**).

2.3.4 Change in the description of the Phase 1 Assessment scoring procedures, specifically removal of “(80 percent)” and insertion of “out of 60 possible points”, found in Section **21.5.1.2**.

2.3.5 Section **20.11.1.7** was amended to reflect changes pertaining to the submitting of a logbook as part of Form DPO-4-CV, the OSVDPA Grandfathering of Previous Activities (Current Version). Specifically, the OSVDPA’s accepting of a notarized copy of a logbook or a copy of such logbook accompanied by a notarized statement attesting to the accuracy of said copy instead of the original logbook.

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|                                                        | Prepared by: <b>BAB</b><br>Prepared Date: <b>March 29, 2018</b> | Approved/Reviewed by:<br>BoD: <b>YES</b> TAC: <b>YES</b><br>ED: <b>N/A</b> Counsel: <b>N/A</b><br>Accountant: <b>N/A</b> | Document: Page<br><b>5 of 297</b> |

- 2.3.6 Changes were made to subsections within Section **22.5.4**, Section **22.6.7**, and subsections therein to reflect the OSVDPA's change to accepting a notarized copy of a logbook or a copy of such logbook accompanied by a notarized statement attesting to the accuracy of said copy instead of the original logbook.
- 2.3.7 Clarified language in Section **22.7.1.1.3** concerning the submitting of a logbook to the OSVDPA.
- 2.3.8 Section **23.6.1.2.1** was amended to clarify language and reflect changes to the OSVDPA's policies and procedures as they pertain to the review of an applicant's logbook as part of the OSVDPA DPO Certificate Revalidation Procedures.
- 2.3.9 Section **23.8.3** was amended to clarify language and reflect changes to the OSVDPA's policies and procedures as they pertain to the submitting of an applicant's logbook as part of the OSVDPA DPO Certificate Revalidation Procedures.
- 2.3.10 Sections **23.8.3.1**, **23.8.3.2**, and **23.8.3.3** were eliminated. These sections previously listed each logbook the OSVDPA accepted. In lieu of these sections, Section **23.8.3** was edited to specify "OSVDPA or industry accepted" logbooks.
- 2.3.11 Clarified language in Section **23.8.4** concerning the submitting of a logbook to the OSVDPA as required by Form DPO-3-CV, the Revalidation Application (Current Version).
- 2.3.12 Section **23.9.7** was amended to clarify language and reflect changes to the OSVDPA's policies and procedures as they pertain to the review of an applicant's logbook as part of the OSVDPA DPO Certificate Revalidation Procedures.
- 2.3.13 Section **23.9.8.1** was amended to reflect changes to the OSVDPA's policies and procedures as they pertain to the review of an applicant's logbook(s) and other relevant information submitted as part of the OSVDPA DPO Certificate Revalidation Procedures.
- 2.3.14 Section **23.10.1.1.3** was amended to reflect the changes to the OSVDPA's policies and procedures as they pertain to the returning of an applicant's logbook records following the OSVDPA's issuance of a revalidation decision as detailed in Section **23.10**.

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|                                                        | Prepared by: <b>BAB</b><br>Prepared Date: <b>March 29, 2018</b> | Approved/Reviewed by:<br>BoD: <b>YES</b> TAC: <b>YES</b><br>ED: <b>N/A</b> Counsel: <b>N/A</b><br>Accountant: <b>N/A</b> | Document: Page <b>6</b> of <b>297</b> |

### 3 Approval Matrix.

3.1 **Purpose and Summary.** This section lists the status of each section and appendix contained in this document.

3.2 **Reference.** As a summary of the entire document, this section includes a reference to every section herein, but does not reference any outside material.

3.3 **Matrix.**

| Section No. and Name.                                       | Purpose.                                                                                                                                                                           | Status.  | Presentation/Review/Approval Status |     |         |          |
|-------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|-------------------------------------|-----|---------|----------|
|                                                             |                                                                                                                                                                                    |          | BoD                                 | TAC | Counsel | Ex. Dir. |
| 1. Table of Contents                                        | Provides page number of every section and subsection                                                                                                                               | Complete |                                     |     |         |          |
| 2. Record of Change                                         | Provides a description of all changes in the document since version 3.0                                                                                                            | Complete | 3/29/2018                           |     |         |          |
| 3. Approval Matrix                                          | Lists the completion and approval status of each section or appendix                                                                                                               | Complete | 3/29/2018                           |     |         |          |
| 4. Definitions.                                             | Provides a definition for all unique terms utilized in this document                                                                                                               | Complete | 3/29/2018                           |     |         |          |
| 5. Overview of OSVDPA DPO Certification Scheme              | Summary of how the OSVDPA certification scheme will work                                                                                                                           | Complete |                                     |     |         |          |
| 6. Roles and Responsibilities                               | Details the roles and responsibilities of each entity involved in OSVDPA training scheme                                                                                           | Complete |                                     |     |         |          |
| 7. Accreditation                                            | Details the rights and responsibilities of Training Providers that have been accredited                                                                                            | Complete |                                     |     |         |          |
| 8. Accreditation Process                                    | Details how Training Providers become accredited by the OSVDPA                                                                                                                     | Complete |                                     |     |         |          |
| 9. Reaccreditation Process                                  | The process utilized to reaccredit Training Providers                                                                                                                              | Complete |                                     |     |         |          |
| 10. Multiple Facilities, Partnerships, and Related Entities | The process the OSVDPA shall utilize to determine if other entities require accreditation or other locations require inspection during a Training Provider's accreditation process | Complete |                                     |     |         |          |

**OSVDPA****OSVDPA MPP-1-004**

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|                                                        | Prepared by: <b>BAB</b><br>Prepared Date: <b>March 29, 2018</b> | Approved/Reviewed by:<br>BoD: <b>YES</b> TAC: <b>YES</b><br>ED: <b>N/A</b> Counsel: <b>N/A</b><br>Accountant: <b>N/A</b> | Document: Page<br><b>7 of 297</b> |

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|----------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------|----------|-----------|--|--|--|
| 11. Standards for Instructors, Instructor Certification Process, and Instructor Hiring | The requirements for instructors and the process utilized to ensure instructors are competent to conduct training and certification activities | Complete | 7/20/2016 |  |  |  |
| 12. Standards for Auditors                                                             | The standards utilized to evaluate and approve Auditors                                                                                        | Complete |           |  |  |  |
| 13. Vessel Operator Enrollment in the OSVDPA                                           | The standards Vessel Operators must adhere to in order to participate in the OSVDPA                                                            | Complete |           |  |  |  |
| 14. Utilization of Classed Vessels for OSVDPA Activities                               | The standards utilized by the OSVDPA to approve vessels                                                                                        | Complete |           |  |  |  |
| 15. Accepted Unclassed Vessel Policies and Procedures                                  | The standards utilized to approve vessels with unclassified DP systems into the OSVDPA                                                         | Complete |           |  |  |  |
| 16. Prospective DPO Entry Requirements and Scheme Application Procedures               | The standards and procedures utilized by Prospective DPOs to enroll in the OSVDPA                                                              | Complete | 3/29/2018 |  |  |  |
| 17. Standards for the Phase 1 (Induction) Course                                       | The requirements of the Phase 1 (Induction) Course                                                                                             | Complete | 3/29/2018 |  |  |  |
| 18. Standards for the Phase 3 (Simulator) Course                                       | The requirements of the Phase 3 (Simulator) Course                                                                                             | Complete | 3/29/2018 |  |  |  |
| 19. Phase 2, Phase 4, and Phase 5 Standards                                            | The requirements for recording Sea Time, Practical Experience, and taskbook tasks                                                              | Complete |           |  |  |  |
| 20. Transition from other certification schemes.                                       | The requirements for DPOs and Prospective DPOs transferring into the OSVDPA and the process utilized for transfer                              | Complete | 3/29/2018 |  |  |  |
| 21. Assessment Policies and Procedures                                                 | The policies and procedures the OSVDPA shall utilize to conduct assessments                                                                    | Complete | 3/29/2018 |  |  |  |
| 22. DPO Certificate Application Procedures                                             | The policies and procedures governing how DPOs shall apply for certificates and how the OSVDPA shall evaluate these applications               | Complete | 3/29/2018 |  |  |  |

**OSVDPA****OSVDPA MPP-1-004**

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|                                                        | Prepared by: <b>BAB</b><br>Prepared Date: <b>March 29, 2018</b> | Approved/Reviewed by:<br>BoD: <b>YES</b> TAC: <b>YES</b><br>ED: <b>N/A</b> Counsel: <b>N/A</b><br>Accountant: <b>N/A</b> | Document: Page <b>8</b> of <b>297</b> |

|                                                                |                                                                                                                                                        |          |           |  |  |  |
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| 23.DPO Certificate Revalidation Procedures                     | The policies and procedures governing how DPOs shall apply for revalidation of their certificates and how the OSVDPA shall evaluate these applications | Complete | 3/29/2018 |  |  |  |
| 24.Facilities Requirements                                     | The requirements the OSVDPA shall require for Training Providers                                                                                       | Complete |           |  |  |  |
| 25.OSVDPA Appeals Process                                      | The process for how the OSVDPA shall consider appeals of its decisions and a complete record of which decisions are subject to appeals                 | Complete |           |  |  |  |
| 26.Appendix 1: OSVDPA SIM-001, the OSVDPA Simulator Standards. | The standards for simulators                                                                                                                           | Complete |           |  |  |  |
| 27.Appendix 2: OSVDPA CT-1-001, the OSVDPA Competency Standard | Competency standard serving as the basis for OSVDPA training scheme                                                                                    | Complete |           |  |  |  |

|                                                |                                                                    |                                                                                                                          |                                          |
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| Manual of Policies and Procedures: Definitions | Version <b>4.0</b>                                                 | Date Effective: <b>May 22, 2018</b>                                                                                      | Section: <b>4</b>                        |
|                                                | Prepared by: <b>BAB</b><br>Prepared Date:<br><b>March 29, 2018</b> | Approved/Reviewed by:<br>BoD: <b>YES</b> TAC: <b>YES</b><br>ED: <b>N/A</b> Counsel: <b>N/A</b><br>Accountant: <b>N/A</b> | Document:<br>Page <b>9</b> of <b>297</b> |

#### **4 Definitions.**

- 4.1 **Purpose and Summary.** This section provides definitions for all terms utilized within the Manual of Policies and Procedures (MPP) and the associated attachments.
- 4.2 **References.** As this section provides definitions for terms found throughout the MPP, every subsection contained herein contains a term that is used in another place or places within this document.
- 4.3 **Accepted Entry Credentials (AEC).** A valid and current license, credential, or qualification issued by a Flag State, or by a training institution that is approved by a Flag State to conduct maritime training courses, which is accepted by the OSVDPA as proof the individual is allowed to enter the OSVDPA's DPO Certification Scheme. The specific licenses, certificates and qualifications accepted by the OSVDPA are listed in Section **16.4.1** and are universally accepted by the OSVDPA.
- 4.4 **Accepted Unclassed Vessel (AUV):** A vessel without an official DP class notation as issued by a recognized classification society that is fitted with a qualified dynamic positioning system (Section **15.4**). Such system must have a centralized manual position control and automatic heading control to maintain the vessel's position and heading under specified maximum environmental conditions. In order to receive AUV Documentation, the vessel must pass an OSVDPA-approved audit (Section **4.10**), ensuring the vessel meets the OSVDPA's equipment, capability, and documentation requirements (Section **15.4**). DPOs and Prospective DPOs can use AUVs to accrue Sea Time (Section **4.38**), Practical Experience (Section **4.32**), complete taskbook tasks, and conduct Phase 4B Assessments. Sea Time, Practical Experience, and assessments conducted on an AUV are treated as having been completed on a vessel classed as a DP-1.
- 4.5 **Accreditation.** The OSVDPA approval of a Training Provider. Such approval is based on a complete review of the Training Provider's educational, assessment, and operational methods; financial backing and incorporation; verification of instructors employed; verification of liability insurance carried by the Training Provider, and approval of all training materials and equipment used by the Training Provider. Once accredited, a Training Provider can advertise its courses as "OSVDPA-Accredited Training Providers" and utilize the OSVDPA logo for the same purpose. Accreditation is valid for a period of five (5) years from the date printed on the accreditation certificate. Accreditation can be revoked by the OSVDPA at any time should the Training Provider fail to maintain the standards of the OSVDPA, is found to be issuing certificates fraudulently, engages in illegal activities, or commits any other act or omission which the OSVDPA finds degrades the vitality of the OSVDPA DPO Certification Scheme.

|                                                |                                                                    |                                                                                                                          |                                           |
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|                                                | Prepared by: <b>BAB</b><br>Prepared Date:<br><b>March 29, 2018</b> | Approved/Reviewed by:<br>BoD: <b>YES</b> TAC: <b>YES</b><br>ED: <b>N/A</b> Counsel: <b>N/A</b><br>Accountant: <b>N/A</b> | Document:<br>Page <b>10</b> of <b>297</b> |

- 4.6 **Accreditation (Conditional).** A temporary form of accreditation extended to a Training Provider who is found to have minor deficiencies in its implementation of the OSVDPA DPO Certification Scheme. (More information is contained in Section **8.8.2**)
- 4.7 **Accreditation (Provisional).** A temporary form of accreditation extended to a Training Provider that requires an ability to advertise and conduct courses for the purpose of securing accreditation and or instructor certification. (More information is contained in Section **8.10**)
- 4.8 **Applying Mariner.** The term used to describe a mariner that is applying for entry into the OSVDPA's DPO Certification Scheme or is considering applying to the OSVDPA's DPO Certification Scheme.
- 4.9 **Assessments.** A structured and defined evaluation of an individual's fulfillment of the OSVDPA's requirements, which has been crafted by the OSVDPA and is administered in accordance with the policies and procedures set forth by the OSVDPA and administered by an individual approved by the OSVDPA to proctor assessments.
- 4.10 **Audit.** The process of surveying, reviewing and investigating the facilities, operations, assets, and plans of an OSVDPA partner (e.g. Training Provider, vessel, Vessel Operator) to determine if the training partner, or the training partner's assets, meets the standards and requirements set forth by the OSVDPA.
- 4.11 **Auditor.** An individual approved by the OSVDPA as capable of systematically and independently obtaining and objectively evaluating evidence for the purposes of determining if the asset or entity meets the criteria developed by the OSVDPA.
- 4.12 **AUV Documentation.** A document issued by the OSVDPA indicating a vessel is currently approved as an Accepted Unclassed Vessel (AUV) by the OSVDPA.
- 4.13 **Cadet.** A student duly enrolled in a maritime academy administered or chartered by a nation state containing a maritime administration or a political division of a nation state containing a maritime administration or a maritime academy owned and operated by a private or non-profit entity which has been approved by a maritime administration to conduct STCW officer of a navigation watch training courses.
- 4.14 **Certificate (DPO).** A document issued by the OSVDPA indicating the holder has completed the dynamic positioning operator training course. The OSVDPA issues three (3) types of DPO certificates:

|                                                |                                                                    |                                                                                                                          |                                           |
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|                                                | Prepared by: <b>BAB</b><br>Prepared Date:<br><b>March 29, 2018</b> | Approved/Reviewed by:<br>BoD: <b>YES</b> TAC: <b>YES</b><br>ED: <b>N/A</b> Counsel: <b>N/A</b><br>Accountant: <b>N/A</b> | Document:<br>Page <b>11</b> of <b>297</b> |

- 4.14.1 **Class C Permit:** An optional certificate awarded after successful completion of the certification scheme through the Phase 3 (Simulator) Course. The holder of a Class C Permit has proven they possess knowledge of the fundamental principles of dynamic positioning, demonstrated practical ability to operate a DP system, and is competent in switching from DP to manual mode to move the vessel away from the installation. Class C Permit holders must be under the direct supervision of a DPO at all times while gaining the experience and skills necessary to qualify as a DPO.
- 4.14.2 **Class B DPO Certificate:** The Class B DPO Certificate is provided to those DPOs who have passed the final assessment after completion of the certification scheme and passage of the Phase 4B Assessment. Class B DPO Certificate holders have accrued less than 60 days of Sea Time and 180 hours of Practical Experience aboard a DP-2 or higher vessel after the Phase 3 (Simulator) Course of the certification scheme. Class B DPO Certificates can be upgraded to Class A DPO Certificates if the holder completes Phase 5 (Upgrading) of the certification scheme.
- 4.14.3 **Class A DPO Certificate:** The Class A DPO Certificate is provided to those DPOs who have passed the Phase 4A or Phase 5 Assessment after completion of the certification scheme either through Phase 4A or upgraded their Class B DPO Certificate via Phase 5 (Upgrading), in the process accruing at least 60 days of Sea Time and 180 hours of Practical Experience on a DP-2 or higher vessel after the completion of the requirements of the Phase 3 (Simulator) Course.
- 4.15 **Certificate (Course Completion).** A document issued by a Training Provider stating that the holder has completed the Phase 1(Induction) or Phase 3 (Simulator) Courses.
- 4.16 **Certified Instructor.** An individual certified by the OSVDPA to conduct Phase 1 (Induction) Courses, Phase 3 (Simulator) Courses and to conduct, proctor, and administer the Phase 1, Phase 3, Phase 4, and Phase 5 Assessments. To be certified, an individual must meet the requirements of Section **11.3**.
- 4.17 **Certification Deadline.** The date by which all Training and Certification Activities (Section **4.40**) must be completed to be counted by the OSVDPA for DPO Certification. This date is five (5) years after the first day of the first Phase 1 (Induction) Course class (or the first day of the classroom portion of a Blended Phase 1 (Induction) Course) or the date printed on the previous DPO Certificate earned by the DPO or Prospective DPO.
- 4.18 **Class (as relating to training).** A single repetition of the Phase 1 (Induction) Course or Phase 3 (Simulator) Course which is taught to a defined group of Prospective DPOs over a defined period of time.

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- 4.19 **Confidential Information.** Any and all written, electronic, or oral proprietary information, assessment tools, marketing plans, market research, financial information, data, studies, notes, interpretations, spreadsheets, analyses, compilations, or other documents, reports, and memoranda which contain such information and other information which relate to the Training and Certification Partners (Section **4.40**) business or services. Confidential Information will not include information that the OSVDPA or the Training or Certification Partner can demonstrate: (a) is or becomes generally available to the public other than as a result of a wrongful disclosure by the OSVDPA or the Training and Certification Partner or (b) was or becomes available to the OSVDPA or the Training and Certification Partner on a non-confidential basis from a source other than the OSVDPA or, the OSVDPA DPO Certification Scheme activities, provided that such source, to the best of the OSVDPA's or the Training and Certification Partner's knowledge, is not protected by a confidentiality agreement; or (c) is developed by or for the OSVDPA or the Training and Certification Partner independently of the Confidential Information.
- 4.20 **Contract Instructor.** Contract Instructors are OSVDPA Certified Instructors not employed (not listed on a Training Provider's Form TI-1-CV, the Instructor Roster Form (Current Version) or Form AR-1-CV, the Training Provider Annual Review (Current Version) by a Training Provider. Provided a Contract Instructor does not conduct more than four (4) courses or assessments during a year, he or she does not have to be included on the Training Provider's Annual Review, Form AR-1-CV. However, a Contract Instructor must participate in a Training Provider's annual review process no less than once every three (3) years.
- 4.21 **Enrollment.** The process of the OSVDPA approving a Vessel Operator (Section **4.43**) in order for the OSVDPA to accept Phase 4 Assessments (Section **21.8**), Phase 5 Assessments (Section **21.9**), and Revalidation Assessments (Section **23.5**) conducted by the Vessel Operator on its vessels.
- 4.22 **Examiner.** The individual that scores a simulator-based assessment, such individual must have completed formal assessment training and demonstrated competency in assessment administration and scoring and be a Certified Instructor.
- 4.23 **Experienced Instructor.** A DPO instructor who has been certified to instruct DPO courses by another DPO certification scheme and has conducted twelve (12) courses equivalent to the Phase 1 (Induction) Course and twelve (12) courses equivalent to the Phase 3 (Simulator) Course within the last eighteen (18) months.

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- 4.24 **DP Experience.** An amount of time (measured in calendar days) spent working as an engineer or Electro-Technical Officer (ETO) on a DP-equipped vessel or working in a related DP profession, including: DP instructor, OSVDPA-approved Auditor, DP surveyor, DP consultant, DP superintendent, or DP supervisor. Specific amounts of days served in these positions and evidence utilized by the OSVDPA to determine the amount of DP Experience gained can be found in Section **23.6**.
- 4.25 **Dynamic Positioning (DP).** The OSVDPA utilizes the STCW Code (B-V/f) definition of DP, “the system whereby a self-propelled vessel’s position and heading is automatically controlled by using its own propulsion units.”
- 4.26 **Dynamic Positioning Operator (DPO).** An individual holding a current certification as a dynamic positioning operator (DPO) by the OSVDPA, the Nautical Institute, or a DNVGL-approved DPO training program. For the OSVDPA, this means a Class A DPO Certificate (Section **4.14.3**) or a Class B DPO Certificate (Section **4.14.2**).
- 4.27 **DPO Certificate Number.** The unique identifier provided to OSVDPA-certified DPOs when the DPO earns a Class A DPO Certificate or Class B DPO Certificate. The DPO Certificate Number replaces the Prospective DPO ID Number (Section **4.35**) as the identifier used by OSVDPA to track and identify the DPO.
- 4.28 **Financial Interest.** A person has a financial interest if the person has, directly or indirectly, through business, investment, or family one of the following relationships:
- 4.28.1 An existing or anticipated ownership or investment interest in an entity, or arrangement for the purchase or use of a product or service, excluding holdings in mutual funds or other equity funds in which the day-to-day control of investments is held by a person not subject to this policy;
  - 4.28.2 A compensation arrangement with any entity or individual or arrangement for the purchase or use of a product or service;
  - 4.28.3 An existing or anticipated ownership or investment interest in, or compensation arrangement with, any entity or individual with whom the individual or entity is negotiating, or contemplates negotiating, a transaction or arrangement for the purchase or use of a product or service, excluding holdings in mutual funds or other equity funds in which the day-to-day control of investments is held by a person not subject to this policy, or
  - 4.28.4 An existing or anticipated ownership or investment interest in, or compensation arrangement with, any person or entity the individual or entity is reasonably anticipated to benefit from.

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- 4.29 **Passive Time.** A structured and formal training related to a DP vessel's operations conducted while the vessel is not on DP. To accrue one (1) day of Passive Time, a Prospective DPO must conduct at least two (2) hours of training within a 24-hour period. The training must be facilitated and overseen by a certified DPO or the Master of the Vessel.
- 4.30 **Personal Identifying Information.** Any information, by itself or in combination with other information, which could identify a specific person. Such information includes, but is not limited to: credit card or financial institution account numbers or PINs; medical information; tax identification numbers, or social security numbers.
- 4.31 **Point of Contact.** An individual who has intricate knowledge and can answer OSVDPA questions about the Training Provider, Vessel Operator, or other OSVDPA partnering entity's proposals, applications, requests, or submissions. For Training Providers, this individual shall be listed publicly as the Point of Contact for Prospective DPOs and DPOs. This individual does not need to have signed a Form P-2-CV, the Participant Rights and Responsibilities Acknowledgement (Current Version), or Form P-3-CV, the Participant Supervisory Rights and Responsibility Acknowledgment (Current Version) or be a Principal of the entity.
- 4.32 **Practical Experience.** An hour-based measurement of DP experience accrued when a DPO or Prospective DPO is at the DP controls for at least one (1) hour during a 24-hour period while the vessel is conducting auto positioning operations, auto heading operations (including DP or independent joystick-based autopilot), independent joystick operations, or other operations where the DP system is engaged. Up to six (6) hours of Practical Experience can be logged during a 24-hour period. All Practical Experience recorded by Prospective DPOs must be supervised and signed off by a certified DPO or the Master of the Vessel.
- 4.33 **Principal.** A representative of the Training Provider, Vessel Operator, or other OSVDPA partnering entity who is authorized to contractually obligate the entity.
- 4.34 **Proctor.** An individual proven to have completed formal assessment training and demonstrated competency in assessment administration. Proctors must be Certified Instructors (Section **4.16**).

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- 4.35 **Prospective DPO ID Number.** A unique identifier provided to a Prospective DPO via Form P-1-CV, the Prospective DPO Approval Form (Current Version), Form P-6-CV, the Additional Revalidation Activities (Current Version), or Form P-7-CV, the Prospective DPO In-Scheme Approval (Current Version) provided from the OSVDPA after the OSVDPA approves the individual as eligible to enter the OSVDPA DPO Certification Scheme. The Prospective DPO ID Number shall cease to be used as an identifier once the Prospective DPO earns a Class A DPO Certificate or Class B DPO Certificate, at which time the individual shall be identified by their DPO Certificate Number (Section 4.27).
- 4.36 **Provisionally Approved Instructor.** An instructor who is awaiting final approval from the OSVDPA. Unless disapproved by the OSVDPA, Provisionally Approved Instructors are allowed to teach courses and conduct assessments twenty (20) days after their information has been submitted to the OSVDPA and are allowed to continue conducting courses and assessments for sixty (60) days after their application is submitted (or until they receive their full approval).
- 4.37 **Qualified on Board Assessor (QOBA).** A DPO certified by the OSVDPA to conduct the Phase 4 and Phase 5 Assessments. In conducting these assessments, the QOBA utilizes criteria established by the OSVDPA to evaluate whether the DPO or Prospective DPO has passed the assessment.
- 4.38 **Sea Time.** A day-based measurement of DP experience accrued when a DPO or Prospective DPO is on watch while the vessel is conducting auto positioning operations, auto heading operations (including DP or independent joystick-based autopilot), independent joystick operations, or other operations where the DP system is engaged for at least one (1) hour during a 24-hour period. All Sea Time recorded by a Prospective DPO must be supervised and signed off by a certified DPO or the Master of the Vessel.
- 4.39 **Significant Retrofit.** As stated in Section 4.39, a Significant Retrofit is “Any change to a DP system, subsystem, or component which prevents the vessel from having a DP system that meets the requirements of a Qualified Dynamic Positioning System (Section 15.4) or represents a degradation of the DP system from the configuration or capability under which it received its AUV Documentation.
- 4.40 **Training and Certification Activities.** A collective term referring to all or part of the activities recorded by a Prospective DPO or DPO to earn or maintain their DPO Certificate. Specifically, the term is encompassing of Sea Time (Section 4.38), Practical Experience (Section 4.32), completion of taskbook tasks, and the practical assessments (the Phase 4 and Phase 5 Assessments).

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- 4.41 **Training and Certification Partner.** A collective term referring to all, or a specified portion of, the entities and/or individuals that participate in the OSVDPA DPO Certification Scheme. Specifically, the term is inclusive of Training Providers, Vessel Operators, DPOs, Prospective DPOs, Certified Instructors, and Qualified on Board Assessors (QOBAs).
- 4.42 **Training Provider.** An entity offering, or seeking to offer, training to the maritime community via classroom, simulator, or the production of computer-based learning programs.
- 4.43 **Vessel Operator.** A company that owns or operates DP-equipped vessels and employs or contracts with DPOs.

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## 5 Overview of the OSVDPA DPO Certification Scheme

### 5.1 **Purpose and Summary.**

5.1.1 This section provides an overview of the entire OSVDPA Dynamic Positioning Operator (DPO) Certification Scheme and the related accreditation of Training Providers, enrolling of Vessel Operators, and approval of Auditors. In the course of providing this overview, this section provides links to where further information on each subject can be found within this document or other official OSVDPA documents.

5.1.2 As a general overview of the OSVDPA DPO Certification Scheme, the descriptions contained within this section should not be taken as OSVDPA policy. Specific policy statements are found in the appropriate section of this manual or other OSVDPA manuals, forms, or official OSVDPA documents.

5.2 **References.** As an overview, this section includes links to most documents and forms contained in this document.

### 5.3 **Organization and Industry Overview.**

5.3.1 Dynamic positioning (DP) (Section **4.25**) technology enables a vessel to automatically maintain its position and heading via a computer system that integrates the vessel's propellers and thrusters, position sensors, environmental sensors, and power system. DP is utilized to improve the safety of marine operations and allow for operations in locations where water depth, subsea assets, environmental conditions, or other factors prevent the use of anchors or mooring lines. DP is used extensively in the offshore energy and offshore supply industries.

5.3.2 Mariners that operate DP systems are referred to as Dynamic Positioning Operators (DPOs) (See Section **4.26**). DPOs are usually members of the bridge team, most often an officer. As such, Prospective DPOs have been approved to control a vessel or be at the controls of a vessel prior to their enrollment in the OSVDPA DPO Certification Scheme.

5.3.3 The OSVDPA seeks to establish standards for DPOs and assess Prospective DPOs against these standards. To do so, the OSVDPA accredits Training Providers, certifies DPO instructors, audits and approves DP simulators, and approves on-board assessors to conduct the training and certification scheme.

5.3.4 The OSVDPA is led by a Board of Directors comprised of vessel operators, DP manufacturers, and Training Providers. The OSVDPA is based in New Orleans, Louisiana.

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5.4 **OSVDPA DPO Certification Scheme and Assessment Overview.** Following industry guidance, the OSVDPA DPO Certification Scheme is based on ensuring Prospective DPOs are provided training and practical experience. Additionally, all facets of the OSVDPA DPO Certification Scheme are based on a defined list of competencies, specifically OSVDPA CT-1-CV, the OSVDPA Competency Standard (Current Version) and Prospective DPOs are assessed on their knowledge and ability in these competencies.

5.4.1 **Entry Requirements and Scheme Application.** As the scheme owner, the OSVDPA sets and singularly enforces the entry requirements for Prospective DPOs. Below, is a summary of the entry requirements and procedures. More information can be found in Section **16**.

5.4.1.1 Entry Requirements. As specified in Section **16.4**, the OSVDPA shall allow entry to the holders of the following credentials (or academic attendance):

5.4.1.1.1 An STCW credential as Officer in Charge of a Navigational Watch (II/1, or II/2, or II/3),

5.4.1.1.2 A non-STCW certificate of competency issued by the United States Coast Guard, or an equivalent certificate issued by another White List Maritime Administration as listed in the STCW Convention,

5.4.1.1.3 An STCW credential as Rating Forming Part of a Navigational Watch (II/4 or II/5),

5.4.1.1.4 An Able Bodied Seaman serving on a 200 GRT Near Coastal vessel having a certificate of completion from a U.S. Coast Guard Approved Ratings Course, or

5.4.1.1.5 A Cadet enrolled in a qualified Maritime Academy (See Section **16.4.4**).

5.4.1.2 As detailed in Section **16.5**, to enter the OSVDPA DPO Certification Scheme, mariners must complete and submit to the OSVDPA the application form, the associated attachments, and pay the associated application fee(s).

5.4.1.3 If the OSVDPA finds the Prospective DPO meets all requirements, the OSVDPA shall provide the Prospective DPO a signed Form P-1-CV, the Prospective DPO Approval (Current Version). The Prospective DPO takes this letter to the Training Provider in order to enroll in the Phase 1 (Induction) Course.

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- 5.4.2 **Phase 1 (Induction) Course (Section 17).** The Phase 1 (Induction) Course is a classroom (or blended classroom/computer-based course) where the basics of DP theory and operation are taught.
- 5.4.2.1 The Phase 1 (Induction) Course is conducted at an OSVDPA-Accredited (See Section **4.5** for a definition of “accreditation”, see Section **7** for a description of what accreditation entails, and see Section **8** for the accreditation process) Training Provider in a traditional classroom or via a blended computer course/classroom course.
- 5.4.2.2 The course is taught by an OSVDPA Certified Instructor (Section **11**).
- 5.4.2.3 When conducted as a traditional course, the Phase 1 (Induction) Course entails no less than 30 hours of contact between the Certified Instructor and the Prospective DPOs in the class, not including the time spent in assessments or remediation over no less than four (4) days.
- 5.4.2.4 At the conclusion of the Phase 1 (Induction) Course is the Phase 1 Assessment (See Section **21.5**). The Prospective DPO is provided three (3) opportunities to score a passing score on the Phase 1 Assessment. If the Prospective DPO fails the Phase 1 Assessment three (3) times, they must retake the Phase 1 (Induction) Course.
- 5.4.3 **Phase 2 (Familiarization) (Section 19.4).** Phase 2 (Familiarization) consists of a period of experience gathering conducted aboard a DP-equipped vessel. To complete Phase 2 (Familiarization), a Prospective DPO must:
- 5.4.3.1 Accumulate 30 days of Sea Time (Section **4.38**), 90 hours of Practical Experience (Section **4.32**), and complete the Phase 2 (Familiarization) Taskbook (Section **19.8**).
- 5.4.3.2 Once the Prospective DPO has completed the Phase 2 (Familiarization) requirements, the Prospective DPO must then complete a final task within the Phase 2 (Familiarization) Taskbook, an assessment-like task measuring the Prospective DPO’s competency at a complete DP operation.
- 5.4.4 **Phase 3 (Simulator) Course (Section 18).** The Phase 3 (Simulator) Course is a classroom-based course focused upon the Prospective DPO gaining DP experience via the use of simulators.

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- 5.4.4.1 The Phase 3 (Simulator) Course is conducted at an OSVDPA-Accredited Training Provider's facility on OSVDPA-approved simulators.
- 5.4.4.2 The Phase 3 (Simulator) Course consists of no less than 30 hours of contact between the Certified Instructor and the Prospective DPOs, not including the time spent in assessments or remediation over no less than four (4) days.
- 5.4.4.3 At the end of the course, the DPO shall be required to pass the Phase 3 Assessment (Section **21.7**), a simulator-based assessment. This assessment shall cover the competencies in the Phase 1, Phase 2, and Phase 3 portions of OSVDPA CT-1-CV, the OSVDPA Competency Standard (Current Version).
- 5.4.4.4 The Certified Instructor conducting the assessment shall score the Phase 3 Assessment. Scoring is based on both critical and less-than-critical items.
- 5.4.4.5 Prospective DPOs shall have three (3) opportunities to pass the Phase 3 Assessment. If the Prospective DPO has not passed the Phase 3 Assessment after three (3) attempts, the Prospective DPO shall be required to retake the Phase 3 (Simulator) Course.
- 5.4.5 **Class C Permit (Section **4.14.1**)**. Following Section 6.4 of IMCA M 117, Rev. 1, "The Training, and Experience of Key DP Personnel," the OSVDPA offers an interim DPO permit.
  - 5.4.5.1 The Class C Permit provides comprehensive validation of the experience the Prospective DPO has received through the first three (3) phases of the OSVDPA DPO Certification Scheme, thereby providing the Prospective DPO more training opportunities and more meaningful training opportunities throughout the rest of their training.
  - 5.4.5.2 After a Prospective DPO successfully completes the Phase 3 (Simulator) Course and Phase 3 Assessment, the Prospective DPO can apply for a Class C Permit.
  - 5.4.5.3 To apply for the permit, the Prospective DPO must follow the procedures found in Section **22**.
  - 5.4.5.4 The OSVDPA allows Prospective DPOs to continue to accrue Sea Time and Practical Experience while their permit requests are being evaluated.

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- 5.4.5.5 Prospective DPOs must complete all requirements of the Class C Permit within the Certification Deadline (Section **4.17**), a date five (5) years from the first day the Prospective DPO attended their first Phase 1 (Induction) Course class.
- 5.4.5.6 As stated in the definition of the Class C Permit (Section **4.14.1**), and the disclaimer found on the permit itself, it is the OSVDPA's intention that the holder of the Class C Permit serves under the supervision of a full DPO certificate holder. For this reason, the Class C Permit also has a different appearance from the full DPO certificates provided by the OSVDPA (Class A and Class B DPO Certificates) and the OSVDPA's online register of certificate holders clearly lists that the holders of Class C Permits are not fully certified DPOs.
- 5.4.5.7 The Class C Permit is valid for a period of five (5) years and can be renewed under the procedures found in Section **23**.
- 5.4.6 **Phase 4 (Watchkeeping) (Section 19).** Phase 4 (Watchkeeping) shall consist of a period of experience gathering conducted aboard a DP-equipped vessel. To complete Phase 4 (Watchkeeping), a Prospective DPO must:
- 5.4.6.1 Accumulate 60 days of Sea Time, 180 hours of Practical Experience, and complete the Phase 4 (Watchkeeping) Taskbook.
- 5.4.6.2 Once the Prospective DPO has completed the three (3) Phase 4 requirements, the Prospective DPO is allowed to take the Phase 4 Assessment.
- 5.4.6.3 The Phase 4 Assessment can be conducted either on a vessel or at an OSVDPA-Accredited Training Provider on an OSVDPA-approved simulator.
- 5.4.6.4 Based on the amount of time on a DP-2 or higher vessel, the Prospective DPO may be eligible to take the Phase 4A Assessment and if this assessment is passed, can receive a Class A DPO Certificate (Section **4.14.3**). If the Prospective DPO does not have sufficient time on a DP-2 or higher vessel, the Prospective DPO can take the Phase 4B Assessment, and can receive a Class B DPO Certificate (Section **4.14.2**).

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#### 5.4.7 **DPO Certification (Section 22).**

- 5.4.7.1 Once the Prospective DPO completes all requirements, (within the Certification Deadline) he or she is allowed to apply for a DPO Certificate.
- 5.4.7.2 To apply for certification, the Prospective DPO must comply with the procedures found in Section 22.
- 5.4.7.3 The OSVDPA allows Prospective DPOs to continue to accrue Sea Time and Practical Experience while their certification requests are being evaluated.
- 5.4.7.4 If awarded, the OSVDPA DPO Certificate is valid for five (5) years from the issue date printed on the DPO Certificate.
- 5.4.7.5 To revalidate an OSVDPA DPO Certificate, the DPO must accrue one 150 days of Sea Time, 450 hours of Practical Experience, and pass the Phase 4A or Phase 4B Assessment.
- 5.4.7.6 The OSVDPA reserves the right to revoke a DPO's Certificate based upon the requirements found in Section 6.6.

#### 5.4.8 **Phase 5 (Upgrading) (Section 19).** Phase 5 (Upgrading) is an optional phase for DPOs seeking to upgrade their certificate from a Class B DPO Certificate to a Class A DPO Certificate. To complete this upgrade a DPO must:

- 5.4.8.1 Accumulate 30 days of Sea Time, accumulate 60 hours of Practical Experience, and complete the Phase 5 (Upgrading) Taskbook.
- 5.4.8.2 Once the Prospective DPO has completed the Phase 5 (Upgrading) requirements, the Prospective DPO is allowed to take the Phase 5 Assessment. This assessment represents the difference between the Phase 4B Assessment and the Phase 4A Assessment.

#### 5.4.9 **Grandfathering of Training and Certification Activities from other schemes (Section 20).** The OSVDPA welcomes Prospective DPOs and DPOs transferring from the Nautical Institute and DNVGL-approved certificate providers. To transfer, DPOs should complete Form DPO-4-CV, the Grandfathering of Previous Experience (Current Version), submit this form to the OSVDPA along with the required attachments, pay the grandfathering fee, and pass the associated assessment. See Section 20.11 for the complete application procedures. In general, the grandfather requirements (as detailed in Section 20.4) are as follows:

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- 5.4.9.1 DPOs with 150 days of documented Sea Time and 450 hours of Practical Experience within the five (5) years prior to submitting their grandfather application must pass the Phase 4 Assessment.
- 5.4.9.2 DPOs that do not have the above-listed Sea Time and Practical Experience must pass the Phase 3 Assessment, accumulate 30 days of Sea Time, 60 hours of Practical Experience, and pass either of the Phase 4 Assessments.
- 5.4.9.3 DPOs without any Sea Time or Practical Experience in the last five (5) years must complete the OSVDPA DPO Certification Scheme from the start of the Phase 3 (Simulator) Course.
- 5.4.9.4 The transfer requirements for Prospective DPOs currently progressing through the Nautical Institute's training program are detailed in Section **20.8**. Generally, Prospective DPOs are given credit for all phases of the Nautical Institute scheme they have completed, provided they pass the OSVDPA Assessment for the next phase, e.g. a Prospective DPO transferring during Phase 4 shall be provided credit for completing the Nautical Institute's versions of Phase 1, 2, and 3 if they complete the OSVDPA's Phase 4 Assessment. Additionally, the OSVDPA provides some credit for the phase the Prospective DPO is working to complete.
- 5.4.9.5 Prospective DPOs transferring from SMSC's certification system are provided credit for any courses they have completed and assessments passed within the SMSC certification scheme. However, Prospective DPOs transferring from the SMSC must prove either they have completed the Sea Time and Practical Experience or accrue 90 days of Sea Time and 270 hours of Practical Experience. (See Section **20.9**.)
- 5.4.9.6 The OSVDPA shall develop specific transfer requirements for Prospective DPOs from other certification schemes when they become available.

- 5.5 **Vessels Used in the Accreditation Process.** The OSVDPA shall accept Sea Time, Practical Experience, and assessments conducted on any vessels classed by a recognized class society as meeting the IMO Equipment class requirements for a DP-1, DP-2, or DP-3 vessel. Additionally, the OSVDPA shall accept Sea Time, Practical Experience, and assessments on DP-equipped vessels that do not have a DP class notation, if the vessel is proven, via an OSVDPA audit, to meet the OSVDPA's requirements. More information on vessel acceptance can be found in Section **15**.

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5.6 **Training Provider Accreditation.** Under the OSVDPA DPO Certification Scheme, Training Provider accreditation is valid for five (5) years from the date of accreditation. With accreditation, Training Providers are eligible to advertise the eligible training courses as “accredited by the OSVDPA”.

5.6.1 **Annual Review.** The OSVDPA believes that the entire DPO certification and DP-utilizing maritime industry can benefit from a robust annual review process, whereby the OSVDPA and other Training Providers can learn from the experiences detailed in other Training Providers’ annual review processes. More information about this process can be found in Section **7.4**.

5.6.2 Section **7.5** details the items that require OSVDPA-approval, including the hiring of new instructors, changes of location, and an end of a partnership or joint venture.

5.6.3 The OSVDPA reserves the right to conduct spot audits of Training Providers. The procedures utilized during this process can be found in Section **7.6**.

5.6.4 **Accreditation Process.** The OSVDPA process of accrediting Training Providers is a six (6)-step process that the OSVDPA endeavors to complete within three (3) months. Greater detail can be found in Section **8**. In short, the process is as follows:

5.6.4.1 The Training Provider completes the Request for Accreditation (RFA) and submits this form, along with all required attachments, and the accreditation fee, as listed in OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version) to the OSVDPA.

5.6.4.2 Once the RFA is received, the OSVDPA shall conduct two (2) reviews. The first review shall ensure the RFA package is complete. The second review shall ensure the information meets the OSVDPA’s standards.

5.6.4.3 Once the OSVDPA review has been conducted, the OSVDPA shall conduct a site visit of the Training Provider. This site visit shall be used to certify instructors, physically inspect the facilities, and observe how the Training Provider conducts its courses.

5.6.4.4 After the site visit, the OSVDPA shall issue a decision, specifically, one of the following: Not Accredited, Conditional Accreditation, or Eligible for Accreditation.

5.6.4.5 For Training Providers listed as Eligible for Accreditation, they shall be provided their full accreditation once all outstanding fees are paid.

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## 6 Roles and Responsibilities.

6.1 **Purpose and Summary.** This section details the roles, rights, and responsibilities of those individuals and entities involved in the OSVDPA DPO Certification Scheme.

### 6.2 **References.**

6.2.1 Section **8**: Accreditation Process.

6.2.2 Section **11**: Standards for Instructors, Instructor Certification, and Instructor Hiring Process.

6.2.3 Section **13**: Vessel Operator Enrollment in the OSVDPA.

6.2.4 Section **15**: Accepted Unclassed Vessel Policies and Procedures.

6.2.5 Section **17**: Phase 1 (Induction) Course Standards.

6.2.6 Section **18**: Phase 3 (Simulator) Course Standards.

6.2.7 Section **21**: Assessment Policy.

6.2.8 Section **22**: Facilities Requirements.

6.2.9 Form P-2-CV, the Participant Rights and Responsibilities Acknowledgement (Current Version).

6.2.10 Form U-1-CV, the Strategic Relationship Agreement (Current Version).

6.2.11 OSVDPA CT-1-CV, the OSVDPA Competency Standard (Current Version).

6.2.12 OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version).

6.2.13 OSVDPA LB-2-CV, the OSVDPA Post-Scheme Logbook (Current Version).

6.3 **The Offshore Service Vessel Dynamic Positioning Authority (OSVDPA).** As the scheme owner, the OSVDPA takes on the following rights and responsibilities.

6.3.1 Developing, updating, implementing, and administering the OSVDPA DPO Certification Scheme and the standards, policies, procedures contained therein.

6.3.2 Issuing, renewing, and revoking of OSVDPA DPO Certificates, as well as keeping and publishing up-to-date records of current and past Prospective DPOs and DPOs.

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- 6.3.3 Accrediting Training Providers (Section **8**), enrolling Vessel Operators, (Section **13**) approving Auditors (Section **12**), Qualified on Board Assessors (Section **21.10**), and Accepted Unclassed Vessels (Section **15**), and certifying Instructors (Section **11**); regularly renewing these accreditations, certifications, and approvals; keeping and publishing accurate records of these accreditations, certifications, and approvals; and revoking these accreditations, certifications, and approvals as necessary.
- 6.3.4 Continually monitoring the program to ensure the OSVDPA DPO Certification Scheme continues to be aligned with the expectations of the maritime industry and international standards.
- 6.3.5 Continually monitors all parties involved in the OSVDPA DPO Certification Scheme and retains the right to remove any Training or Certification Partner from the OSVDPA DPO Certification Scheme that does not continue to uphold the high standards of the OSVDPA, abide by the roles and responsibilities listed within this section, or abide by the policies and procedures listed in other sections of this Manual of Policies and Procedures.
- 6.3.6 Issuing and tracking copies of OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version) and OSVDPA LB-2-CV, the OSVDPA Post-Scheme Logbook (Current Version).
- 6.3.7 Investigating, determining, and punishing those that commit fraud against the OSVDPA DPO Certification Scheme and its participants including the OSVDPA itself, Prospective DPOs, DPOs, Training Providers, Vessel Owners and Operators, Auditors, and others involved in the OSVDPA DPO Certification Scheme. The retention of this right and responsibility by the OSVDPA does not limit the responsibility of any other OSVDPA DPO Certification Scheme participant to vigorously protect the scheme against fraud or fraud attempts; promptly report all fraud, attempted fraud, or suspected fraud; and fully cooperate with OSVDPA fraud investigations.
- 6.3.8 Protecting the Personal Identifying Information (Section **4.28**) and Confidential Information (Section **4.19**) provided by Training and Certification Partners (Section **4.41**) to the OSVDPA.
- 6.3.9 The OSVDPA retains all ownership rights of the OSVDPA DPO Certification Scheme, the DPO Certificates, other certificates, accreditations, and approvals contained within the system as well as the content of all of the assessments contained within the OSVDPA DPO Certification Scheme and the OSVDPA logo and images.

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- 6.3.10 Abiding by the policies and procedures listed in this Manual of Policies and Procedures.
- 6.3.11 Remaining impartial and ensuring all decisions made by the OSVDPA regarding accreditation, approval, certification, enrollment or other approval is free from undue influence.
- 6.3.12 Refraining from engaging in anti-competitive behavior or behavior which would violate the anti-trust laws of the United States or other jurisdictions in which the OSVDPA operates.
- 6.3.13 Providing multiple venues for Training and Certification Partners to provide advice, critiques, suggestions, and complaints regarding the Training and Certification Partners and adapting the OSVDPA DPO Certification Scheme to ensure these issues are addressed.

#### **6.4 Training Providers.**

- 6.4.1 Are responsible for developing and updating curricula and training content that meets the requirements (as decided by the OSVDPA) of the OSVDPA CT-1-CV, the OSVDPA Competency Standard (Current Version), as specified in the documents required in Section **17.7** and Section **18.9** and preparing the Prospective DPOs for the OSVDPA DPO assessments (Section **21**). All educational content developed by the Training Providers to meet these requirements remains the property of the Training Provider.
- 6.4.2 Purchasing and maintaining simulators to the standards set in OSVDPA SIM-1-CV, the Simulator Standard (Current Version).
- 6.4.3 Are responsible for effectively delivering and administering the Phase 1 (Induction) Course (Section **17**) and Phase 3 (Simulator) Course (Section **18**) to the standards set forth by the OSVDPA.
- 6.4.4 Are responsible for proctoring the Phase 1 (Section **21.5**) and Phase 3 Assessments (Section **21.7**) (and Phase 4 and Phase 5 Assessments (Section **21.8**) for Prospective DPOs or DPOs that choose to take these assessments at training centers). In conducting these assessments, the Training Providers must do so in a manner that meets the standards set forth by the OSVDPA.
- 6.4.5 Hiring of instructors who meet the requirements of Section **11** and ensuring these instructors abide by the policies and procedures set forth by the OSVDPA.
- 6.4.6 Indemnifying the OSVDPA against all liability claims arising from incidents occurring on the Training Provider's premises.

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- 6.4.7 Continuously carry a policy of General Liability insurance with limits of at least \$1,000,000 (U.S. Dollars) per occurrence and \$1,000,000 (U.S. Dollars) general aggregate as well as \$1,000,000 (U.S. Dollars) products completed operations aggregate General Liability Insurance. Additionally, Professional Liability insurance with limits of \$1,000,000 (U.S. Dollars) per wrongful act. Finally, the Training Provider must carry statutory worker's compensation as required by the state or states where the Training Provider conducts OSVDPA-Accredited training or assessments.
- 6.4.8 Continuously protect the OSVDPA DPO Certification Scheme and Training and Certification Partners against fraud and alerting the OSVDPA to any attempted fraud against the same.
- 6.4.9 Protect the Personal Identifying Information (Section **4.28**) provided to the Training Provider by Prospective DPOs, DPOs, and other Training and Certification Scheme Partners.
- 6.4.10 Adhering to all other OSVDPA policies and procedures.
- 6.5 **Enrolled Vessel Operators.** Vessel Operators and other employers of Prospective DPOs and DPOs are responsible for ensuring their operations and their employees understand the importance of properly implementing the OSVDPA DPO Certification Scheme.
- 6.5.1 Ensuring Masters, the President, vice presidents for personnel/human resources, vice presidents for operations, personnel directors, marine superintendents, operations managers DPOs and Qualified on Board Assessors (QOBAs), and other employees of the Vessel Operator that sign, complete, or fill out OSVDPA forms, logbooks, or other correspondence with the OSVDPA provide timely and truthful information and abide by the policies and procedures set forth by the OSVDPA.
- 6.5.2 Providing accurate and up-to-date information about the vessels in the company's fleet and notifying the OSVDPA when there are changes to the company's fleet, applicable personnel, or other pertinent information, i.e. letter head, ship stamps, etc.
- 6.5.3 Ensuring the OSVDPA assessment procedures and requirements are carefully followed and assessments are treated with rigor and care, including taking the necessary steps to protect the confidentiality of the assessments.
- 6.5.4 Properly train and/or provide access to proper training for those individuals designated by the company (and approved by the OSVDPA) as Qualified on Board Assessors (QOBAs).

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- 6.5.5 Indemnify the OSVDPA against any action arising out of OSVDPA activities aboard the Vessel Operator's vessels, e.g. onboard assessments.
- 6.5.6 Continuously protect the OSVDPA DPO Certification Scheme and Training and Certification Partners against fraud and alerting the OSVDPA to any attempted fraud against the same.
- 6.5.7 Protect the Personal Identifying Information (Section **4.28**) provided to the Training Provider by Prospective DPOs, DPOs, and other scheme participants.

#### 6.6 **DPOs and Prospective DPOs.**

- 6.6.1 Prospective DPOs and DPOs are expected to provide complete and accurate information to the OSVDPA and their fellow Training and Certification Partners.
- 6.6.2 Continuously protect the OSVDPA DPO Certification Scheme and Training and Certification Partners against fraud and alerting the OSVDPA to any attempted fraud against the same.
- 6.6.3 Protecting the Personal Identifying Information (Section **4.28**) and Confidential Information (Section **4.19**) belonging to other Training and Certification Partners (Section **4.41**) that the DPO or Prospective DPO encounters while performing OSVDPA DPO Training or Certification Activities (Section **4.40**).
- 6.6.4 Ensure that the highest safety standards are being observed at all times while OSVDPA DPO Training or Certification Activities are being conducted.

#### 6.7 **Auditors.**

- 6.7.1 Shall diligently carry out the functions they are contracted to perform by the OSVDPA.
- 6.7.2 Acknowledge that the Auditor is an independent contractor of the OSVDPA, has no claim to benefits or pensions, and shall refrain from portraying him or herself as an employee of the OSVDPA.
- 6.7.3 Requiring the Auditor to protect the Confidential Information (Section **4.19**) and Personal Identifying Information (Section **4.28**) of the OSVDPA and its Training and Certification Partners (Section **4.41**).
- 6.7.4 Requiring the Auditor to maintain General Liability and Professional Liability coverage throughout the duration of the contract.

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- 6.7.5 Indemnifying the OSVDPA from any claims arising out of a personal injury, loss of property, or death arising out of performance of the contract.
- 6.7.6 Continuously protect the OSVDPA DPO Certification Scheme and Training and Certification Partners against fraud and alerting the OSVDPA to any attempted fraud against the same.
- 6.7.7 Maintaining impartiality in his or her actions, including not accepting contract offers or recusing him or herself when a situation prevents, or presents the appearance of preventing the Auditor from being impartial.
- 6.8 **Revocation.** If a Training or Certification Partner (Section **4.41**) fails to abide by these roles and responsibilities or engages in other activities which the OSVDPA believes harms the integrity of the OSVDPA DPO Certification Scheme, the OSVDPA may revoke the Training or Certification Partner's accreditation, approval, certification, enrollment, or other means of support. Such revocation shall utilize the following process.
- 6.8.1 When the OSVDPA suspects or is alerted to a Training and Certification Partner failing to abide by these roles and responsibilities, the OSVDPA shall conduct an investigation, requesting information from the Training and Certification Partners that may have information about the matter.
- 6.8.2 The OSVDPA shall, in writing, notify the subject of the investigation and allow them an opportunity to provide evidence in their defense.
- 6.8.3 Once the OSVDPA has gathered all evidence, or made an attempt to gather all evidence, it shall render a decision. Such decision shall be delivered to the Training and Certification Partner in writing and shall reach one (1) of the three (3) following decisions.
- 6.8.3.1 **Upheld.** If the OSVDPA finds that the Training and Certification Partner committed no serious violation nor harmed the integrity of the OSVDPA DPO Certification Scheme, the OSVDPA shall issue a decision upholding the Training or Certification Partner. With this decision, the OSVDPA shall destroy all records of the complaint (if any) and investigation.

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6.8.3.2 **Admonishment.** If the OSVDPA finds that the Training and Certification Partner engaged in some wrongdoings but these wrongdoings were not serious or did not harm the integrity of the OSVDPA DPO Certification Scheme, the OSVDPA shall issue a decision of admonishment. Such decision shall be transmitted to the Training and Certification Partner. This decision may include a list of activities the Training and Certification Partner should do to ensure the situation does not escalate. Such a decision shall not be disseminated publicly by the OSVDPA, but instead it shall be kept in the OSVDPA files for a period of seven (7) years.

6.8.3.3 **Revocation.** If the OSVDPA finds that the Training and Certification Partner engaged in serious transgressions against the OSVDPA, had a significant failure as related to the roles and responsibilities, or failed to uphold the integrity of the OSVDPA DPO Certification Scheme, the OSVDPA shall revoke that Training and Certification Partner's Accreditation, Approval, Certification, Enrollment, or other support. Such a decision shall be provided to the Training and Certification Partner in writing and shall include an itemized list of the failures. The Training and Certification Partner shall not be allowed to re-enter the OSVDPA DPO Certification Scheme for a period of no less than two (2) years. The individual or entity shall have to follow the normal procedures for an individual or entity gaining Accreditation, Approval, Certification, or Enrollment.

6.8.4 All decisions described in this section shall be subject to appeals under the procedures found in Section 25.

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## 7 Accreditation.

7.1 **Purpose and Summary.** This section details what accreditation means on a practical basis for an OSVDPA-Accredited Training Provider.

### 7.2 **References.**

7.2.1 OSVDPA MEM-1-CV, the OSVDPA Manual of Membership Policies and Procedures (Current Version).

7.2.2 Section **8**: Accreditation Process.

7.2.3 Section **11**: Standards for Instructors, Instructor Certification, and Instructor Hiring Process.

7.2.4 Section **12**: Standards for OSVDPA Auditors.

7.2.5 Form RFA-1-CV, the Request for Accreditation Checklist (Current Version).

7.2.6 Form AR-1-CV, the Training Provider Annual Review, (Current Version)

7.3 **Rights of Accredited Training Providers.** Accredited Training Providers are provided the right and ability to use the OSVDPA logo and state, “accredited by the OSVDPA” on the literature pertaining to its OSVDPA DPO Certification Scheme training courses and/or assessments.

7.4 **Annual Reviews.** The OSVDPA requires Training Providers to submit annual reviews no less than eleven (11) months and no more than thirteen (13) months after accreditation, reaccreditation, or the previously submitted annual review.

7.4.1 **Content of Annual Review.** The following is required to be submitted in the annual review. See Form AR-1-CV, the Training Provider Annual Review Form (Current Version).

7.4.1.1 A spreadsheet detailing the name and OSVDPA identification number of each Prospective DPO who applied to the Training Provider during the year. This spreadsheet should also detail which course, assessment, and Certified Instructor was utilized by each Prospective DPO as well as the assessment results for each Prospective DPO.

7.4.1.2 The annual report shall also detail the number of and reasons for any Prospective DPOs turned away by the Training Provider.

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- 7.4.1.3 The Certified Instructor portion of the annual reviews (see Section **11.5**).
- 7.4.1.4 A report on all advertising activities undertaken by the Training Provider in relation to the OSVDPA.
- 7.4.1.5 A report on any changes to the Phase 1 (Induction) Course (Section **17**) including its curriculum, the Instructor Manual, or the Course Manual for this course (Section **17.7**). This report shall include a copy of all new materials.
- 7.4.1.6 A report on any changes to the Phase 3 (Simulator) Course (Section **18**) including its curriculum, the Instructor Manual, or the Course Manual for this course (Section **18.9**). This report shall include a copy of all new materials.
- 7.4.1.7 A report on all changes to the certification system which were made by the Training Provider during the course of the year. This report should include both the changes that required OSVDPA notification/approval (see Section **7.5**) and those that did not require OSVDPA notification.
- 7.4.1.8 A report recording the feedback from Prospective DPOs or DPOs that have utilized the Training Provider within the last year and actions (if any) that were taken to address issues raised in the feedback.
- 7.4.1.9 The assessment report detailed in Section **21.3.1**.
- 7.4.1.10 A report on all cases of fraud encountered by the Training Provider, how the Training Provider encountered this fraud, and the actions taken by the Training Provider to deal with the fraud and minimize the risk of the fraud affecting the OSVDPA DPO Certification Scheme.
- 7.4.2 **Results from the Annual Report.** No more than thirty (30) days after the submission of Form AR-1-CV, the Training Provider Annual Review Form (Current Version), the Training Provider shall receive either a request for additional information from the OSVDPA or an approval of the annual report. Should the Training Provider receive a request for additional information, it shall have thirty (30) days to respond and provide the information requested by the OSVDPA.
- 7.5 **Items Requiring OSVDPA Notification/Approval.** Training Providers are required to notify the OSVDPA of the following items. As listed below, some notifications are required prior to the event and some are required after.

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- 7.5.1 **Hiring of New Instructors.** Training Providers must receive OSVDPA approval of all instructors teaching OSVDPA courses (Phase 1 or Phase 3) or conducting OSVDPA Assessments following the procedures outlined in either Section **11.6**, Hiring of Instructors (Outside of Accreditation of Reaccreditation) or Section **11.7**, Hiring of Instructors for Training Providers Seeking Initial Accreditation.

**Firing of an Instructor.** Training Providers must notify the OSVDPA no more than thirty (30) days after firing an OSVDPA Certified Instructor. This notification should include the cause for termination.

- 7.5.2 **Change of Location and/or Simulator.**

- 7.5.2.1 Should a Training Provider wish to change or add a new instruction, simulation, and/or assessment facility, the Training Provider shall notify the OSVDPA no less than sixty (60) days prior to the date the Training Provider seeks to utilize the new location.
- 7.5.2.2 Within its notification, the Training Provider shall provide the documents in the Request for Accreditation that are relevant to the new or expanded facility or asset.
- 7.5.2.3 Once the OSVDPA receives this notification and the information package, the OSVDPA shall schedule a site visit following the procedures described in Section **8.6.3**. Such a visit will be conducted in accordance with the procedures found in Section **8.7**.
- 7.5.2.4 After the site visit, the OSVDPA shall approve the new asset utilizing the procedures detailed in **8.8**.

- 7.5.3 **End of Partnership or Related Entity.** Should a Training Provider's accreditation be enacted under a partnership or joint venture with another entity, and that partnership or venture is dissolved, the Training Provider must immediately notify the OSVDPA. Upon notification, the OSVDPA shall work with the Training Provider to begin a new accreditation process. The Training Provider shall not be allowed to conduct any courses or assessments on any day after the dissolution of the partnership or joint venture.

- 7.6 **Spot Audits.** Training Providers shall agree to provide the OSVDPA access to its facilities at any time for the purposes of conducting spot audits.

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#### 7.6.1 Notification Procedures.

- 7.6.1.1 Notice shall be provided to the Training Provider Principal (Section **4.33**) and Point of Contact (Section **4.31**) via an email from the Executive Director or Administrator of the OSVDPA. This email shall contain a list of the specific materials the spot audit shall review. This email shall also list if a site visit shall be part of the spot audit.
- 7.6.1.2 **Documents requiring review.** While the spot audit might not cover all materials covered by Form RFA-1-CV, the Request for Accreditation Checklist (Current Version), all materials required by this form are possibly subject to the spot audit.

#### 7.6.2 Duration and Timing.

- 7.6.2.1 All materials and supporting documentation required by the spot audit, as requested in the notification, shall be due to the OSVDPA no later than fourteen (14) days from the date of the notification.
- 7.6.2.2 If a site visit is part of the spot audit, the OSVDPA shall endeavor to complete the site visit within thirty (30) days from the date of the notification of the spot audit. However, factors such as travel schedules and Auditor availability might prevent this timeline from being met. The final arbiter in the scheduling of site visits shall be the availability of the OSVDPA.
- 7.6.2.3 The OSVDPA and the Point of Contact (Section **4.31**) shall arrange a date for the site visit (if required).
- 7.6.2.4 Should the Training Provider need to reschedule the site visit after it has been scheduled, the OSVDPA retains the right to charge the Training Provider Fee TP-2, as listed in OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version) plus all costs associated with rebooking any travel arrangements.

- 7.6.3 **Audit Team.** If required by the notification email, the site visit shall be conducted by two (2) Auditors, either employed by the OSVDPA or meeting the requirements of Section **12** and selected by OSVDPA. One (1) Auditor shall be primarily focused on auditing the technical aspects of the facility, while the other Auditor shall focus on verifying records and ensuring the facility and personnel meet the OSVDPA's standards.

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7.6.4 **Spot Audit Report.** No more than 30 days after the last day of the site visit (if required) or 60 days after the notification, the Training Provider shall receive an after action report from the OSVDPA. Except as listed below, this report shall list one of the three (3) outcomes listed in Section **9.8**.

7.6.4.1 Training Providers found to be no longer accredited shall be provided 60 days to respond to the report before their accreditation is revoked.

7.7 **Revocation of Accreditation.** The OSVDPA reserves the right to revoke a Training Provider's accreditation at any time for the following reasons:

7.7.1 Engagement, on the part of the Training Provider, an employee, or contractor thereof, in an illegal or fraudulent activity.

7.7.2 Conditions at the Training Provider facilities which the OSVDPA finds to jeopardize the safety and security of the Prospective DPOs.

7.7.3 Violations of the terms and conditions of Form U-1-CV, the Strategic Relationship Agreement (Current Version) signed by the OSVDPA and the Training Provider.

7.7.4 Failure to follow the policies and procedures set by the OSVDPA, attempt to hide or fail to notify the OSVDPA of violations of OSVDPA policies or procedures, or failure to protect the integrity of the OSVDPA's reputation.

7.7.5 Failure to adhere to the notification requirements found in Section **7.5**.

7.7.6 Financial hardship, such as bankruptcy, receivership, or liquidation which endangers the Training Provider's ability to make payments or exercise proper financial judgment.

7.7.7 Changes to the Training Provider's corporate or management structure which are not previously notified to the OSVDPA.

7.7.8 Delinquent on OSVDPA payments for a period of more than 90 days.

7.7.9 Any other behavior, activity, or failure to act engaged in by the Training Provider that the OSVDPA believes does not meet with its standards or degrades the integrity of the OSVDPA.

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## **8    Accreditation Process.**

8.1    **Purpose and Summary.** This section details the process the OSVDPA shall utilize to accredit Training Providers.

### **8.2    References.**

8.2.1    Section **4**, Definitions.

8.2.2    Section **7**, Accreditation.

8.2.3    Section **10**, Multiple Facilities, Partnerships, and Related Entities.

8.2.4    Section **21**, Assessment Policy.

8.2.5    Section **24**, Facilities Requirements.

8.2.6    Section **25**, OSVDPA Appeals Process.

8.2.7    Form RFA-1-CV, the Request for Accreditation Checklist, (Current Version).

8.2.8    Form TI-1-CV, the Instructor Roster (Current Version).

8.2.9    OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version).

8.2.10    Form FR-1-CV, the OSVDPA Findings Report Accreditation (Current Version).

8.3    OSVDPA accreditation is a six (6) step process intended to ensure the Training Provider meets the standards set forth by the OSVDPA. Specifically, the process consists of:

- Training Provider's Completion of the Request for Accreditation,
- Submission of Request for Accreditation,
- OSVDPA Review of Request for Accreditation and Site Visit Scheduling,
- Site Visit,
- OSVDPA Findings Report, and
- Payment and Issuing of Accreditation.

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- 8.4 **Training Provider's Completion of the Request for Accreditation.** Form RFA-1-CV, the Request for Accreditation Checklist (Current Version) lists all items that must be completed in order to apply for accreditation. This checklist lists each of the approximately 15 forms (depending upon the complexity of the Training Provider's request) that must be completed to demonstrate that the Training Provider complies with the policies and procedures found in this manual. The RFA requires the Training Provider to list the name of each document that is completed, thereby ensuring that the entire request package is submitted correctly.
- 8.5 **Submission of Request for Accreditation.** Upon completion, the Training Provider shall submit the RFA via the procedures outlined on Form RFA-1-CV.
- 8.5.1 **Timing.** The OSVDPA recommends the RFA be received by the OSVDPA no less than 60 days prior to date the Training Provider seeks to start conducting fully accredited OSVDPA courses.
- 8.5.2 **Format.** All information must be submitted on the required form, as part of a requested attachment, or in the format requested by the RFA or the relevant form.
- 8.5.3 **Point of Contact.** The request must be made by the individual that will serve as the Point of Contact (Section **4.31**) with the OSVDPA for the remainder of the accreditation process. This individual shall be listed as the Point of Contact for the Training Provider on all OSVDPA documents, including those released to the public.
- 8.5.4 **Principal.** Each form within the RFA is required to be signed by a Principal (Section **4.33**). By definition, this individual is capable of contractually obligating the Training Provider.
- 8.5.5 **Cost:**
- 8.5.5.1 The OSVDPA charges Fee RFA-1, the Accreditation Fee, as detailed within OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version) for the evaluation of a RFA. This fee must be deposited into the OSVDPA bank account prior to the RFA being considered submitted or the OSVDPA taking any action on the request.
- 8.5.5.2 The scope of the services covered by this fee are detailed in OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version). If the Training Provider's RFA requires additional review, site visits, or other costs to the OSVDPA, the Training Provider may be required to pay Fee RFA-2, the Supplemental Accreditation Fee, as detailed in OSVDPA FS-1-CV. These fees are non-refundable except as specified by the OSVDPA.

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8.6 **OSVDPA Review of the Request for Accreditation.** Once the RFA is received and the application fee is processed, the Point of Contact for the Training Provider shall receive a confirmation email from the OSVDPA stating the RFA was received and payment has been processed. This email shall signal the first of two (2) reviews of the Request for Accreditation package.

8.6.1 **Initial Review.** The initial review is a cursory review of the RFA to determine if the information contained therein is sufficient for the OSVDPA to schedule a site visit. Upon completion of the initial review, the OSVDPA shall contact the Point of Contact to inform the Training Provider of the results of the initial review. Such results shall reach one of the following conclusions.

8.6.1.1 **Additional Information Required.** Should the OSVDPA determine that the information contained in the RFA is insufficient, the OSVDPA shall respond with an itemized list of deficiencies. The Training Provider shall have 48 hours to address these deficiencies should it wish to say on schedule.

8.6.1.2 **Failed.** Should the OSVDPA determine sufficient information has been submitted, however, significant deficiencies in the Training Provider's RFA prevent accreditation, the OSVDPA shall respond with an itemized list of items that must be addressed before the accreditation process can proceed.

8.6.1.3 **Approved.** Should the OSVDPA determine the application is sufficient, the OSVDPA shall contact the Point of Contact to set a date for the physical audit of the Training Provider's location(s).

8.6.2 **Advertising.** Upon receiving an approved designation on the initial review, the Training Provider can begin scheduling Provisionally Accredited Courses. The purpose of these courses is to provide the OSVDPA the ability to review the Training Provider's instructors. More information on Provisionally Accredited Courses is found in Section **8.10**.

8.6.3 **Scheduling of Site Visits.** Once the initial review is completed, the Provisionally Accredited Course(s) have been scheduled and Prospective DPOs have signed up for these courses, the OSVDPA and the Point of Contact shall arrange a date for a physical audit of the Training Provider's location(s).

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- 8.6.3.1 While the OSVDPA aims to have a site visit conducted one (1) month after receiving the RFA, factors such as travel schedules and Auditor availability might prevent this timeline from being met. The final arbiter in the scheduling of site visits shall be the availability of the OSVDPA.
- 8.6.3.2 All sites covered by the RFA require a site visit, as such, if the RFA covers multiple sites, the RFA should be sent more than two (2) months prior to the date the Training Provider seeks to start certification courses.
- 8.6.3.3 In making the determination as to when the visit should occur, it is important to note which items the Auditors will need access to or what activities they must observe. As such, Training Providers should ensure they have reviewed Section **8.5** and Section **8.7** prior to selecting a date.
- 8.6.3.4 Should the Training Provider need to reschedule the site visit after it has been scheduled, the OSVDPA retains the right to charge the Training Provider Fee RFA-2, the Supplemental Accreditation Fee, detailed within OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version) and the cost of rebooking OSVDPA travel arrangements and/or accommodations.
- 8.6.4 **In-Depth Review.** After the Initial Review and the scheduling of the site visit, the OSVDPA shall conduct an in depth review of the RFA.
- 8.6.4.1 The purpose of this review is to ensure all facets of the Training Provider's operation, program, and equipment meet the requirements set forth by the OSVDPA.
- 8.6.4.2 This review shall be conducted by the OSVDPA staff and/or OSVDPA Approved Auditors (Section **4.11**).
- 8.6.4.3 During this review it is important for the Training Provider to answer any questions the OSVDPA has in a timely manner. Failure to answer the OSVDPA's question(s) in a timely manner may result in the cancelation or rescheduling (at the Training Provider's expense) of the site visit.

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8.6.4.4 While the OSVDPA shall not directly accredit or not accredit a Training Provider during the in-depth review process, the discrepancies, irregularities, and problems discovered during this time shall become the basis for review during the site visit and if unexplained or corrected, could become the justification for not extending accreditation at a later date.

8.7 **Site Visit.** At the scheduled time, the OSVDPA shall conduct a site visit in order to verify that the instructors, simulators, classrooms, manuals and records, and managements systems conform with the information provided in the RFA.

8.7.1 The OSVDPA endeavors to complete site visits within two (2) days, however, more time may be necessary in order to provide Auditors access to all items listed in Form RFA-1-CV, the Request for Accreditation Checklist (Current Version). See Section **8.7.3** and OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version) for more information.

8.7.2 **Items to be Reviewed/Verified during Site Visit.** The Training Provider shall ensure all of the following are available to Auditors to review or verify during the site visit:

8.7.2.1 **Request for Accreditation.** All documents included in the RFA or information that supports documents included in the RFA.

8.7.2.2 **Courses.** In addition to the RFA, the OSVDPA Auditors will observe a course during the site visit. The OSVDPA would prefer to observe the Phase 3 (Simulator) Course (Section **18**), however, the OSVDPA shall allow a Training Provider to utilize a Phase 1 (Induction) Course (Section **17**) with prior notification and approval from the OSVDPA. If the Training Provider is unable to secure Prospective DPOs to take such a course, stand-ins for Prospective DPOs may be utilized.

8.7.2.3 **Assessments.** The OSVDPA shall observe how instructors proctor the Phase 3 (Simulator) Assessment (Section **21.7**). If the Training Provider is unable to secure Prospective DPOs to take this assessment during the site visit, the OSVDPA shall allow the Training Provider to use stand-ins for the Phase 3 (Simulator) Course Assessment. This procedure shall require prior notification and approval from the OSVDPA.

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- 8.7.3 **Additional Days/Locations.** Training Providers requiring auditing of Multiple Training Facilities (Section **10.3.1**), other facilities (e.g. records storage, corporate headquarters, etc.) or multiple training facilities shall require additional site visit days. The OSVDPA shall attempt to conduct these additional site visits within two (2) days per additional site. The Training Provider shall be charged Fee RFA-2, as listed in OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version) for each additional site visit required.
- 8.7.4 **Audit Team.** The site visit shall be conducted by two (2) Auditors employed or contracted and selected by the OSVDPA. One (1) Auditor shall be primarily focused on auditing the technical aspects of the facility, while the other Auditor shall focus on verifying records and ensuring the facility and personnel meet the OSVDPA's standards.
- 8.8 **OSVDPA Findings Report.** No later than 30 days from the final day of the site visit, the OSVDPA's shall issue its findings report. The report shall issue one of three (3) decisions. Each decision shall be based upon the policies and procedures listed in this manual and standards provided by the OSVDPA to the Audit Team.
- 8.8.1 **Not Accredited.** This finding shall be issued if a sufficient number of deficiencies are found during OSVDPA's review of the RFA and/or during the site visit.
- 8.8.1.1 Not Accredited decisions shall be accompanied by an itemized Corrective Actions Report listing the deficiencies along with steps the Training Provider could take that would alleviate these deficiencies. This list shall also state if another site visit shall be necessary once the corrective actions are completed.
- 8.8.1.2 Upon receipt of a Not Accredited decision, the Training Provider shall have two (2) months to correct the deficiencies or it shall have to re-apply for Accreditation. The OSVDPA, at its discretion, may continue the Training Provider's Provisional Accreditation during this time.
- 8.8.1.3 After a Training Provider has addressed the items listed in the Not Accredited decision, the Training Provider shall notify the OSVDPA of such, at which point, the OSVDPA shall either review the documents or conduct another site visit, (if called for under the Not Accredited decision (see Section **8.8.1.1**)).
- 8.8.1.4 **Second Visit.** Should a second site visit be required, the OSVDPA shall:

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8.8.1.4.1 Give second site visits priority over other site visits, being scheduled as soon as practical for the Training Provider, the OSVDPA, and the Auditors.

8.8.1.4.2 Attempt to have these visits conducted by the same Audit Team who conducted the initial audit, and

8.8.1.4.3 Conduct the second site visit under the procedures contained in Section **8.7.1**.

8.8.2 **Conditional Accreditation.** The OSVDPA shall issue a Conditional Accreditation decision to a Training Provider if the review of the RFA and/or site visit finds items that need to be addressed, but these items are of insufficient number or severity to delay accreditation.

8.8.2.1 The Conditional Accreditation shall include an itemized list of items needing to be addressed and suggested actions the OSVDPA believes would alleviate the OSVDPA's concern in this area. Prior to issuing a decision of Eligible for Accreditation, the OSVDPA shall require the Training Provider to respond to this list in a Corrective Actions Report.

8.8.2.2 The Conditional Accreditation decision shall include a date through which the Conditional Accreditation is valid. The OSVDPA shall determine the appropriate date based upon the factors it determines the Training Provider needs to address.

8.8.2.3 When completed, the Training Provider shall return the Corrective Actions Report. To ensure accreditation does not lapse, the OSVDPA requires the Corrective Actions Report to be returned 30 days prior to the end of the Conditional Accreditation.

8.8.2.4 No more than 30 days after receipt of the Corrective Actions Report, the OSVDPA shall issue a new Findings Report under the same procedures as utilized for the first Findings Report (Section **8.8**).

8.8.2.5 Training Providers issued Conditional Accreditation are provided all rights and abilities as accredited Training Providers for the duration of the Provisional Accreditation. (See Section **7.3** for list of rights and responsibilities of accredited Training Providers).

8.8.2.6 Conditional Accreditation can also be provided by the OSVDPA to a Training Provider at other times and for other reasons, (e.g. administrative delays or other extenuating circumstances).

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8.8.2.7 Conditional Accreditation is different than the Provisional Accreditation detailed in Section **8.10**.

8.8.3 **Eligible for Accreditation.** The OSVDPA shall issue an Eligible for Accreditation decision to Training Providers that are found to meet all of the OSVDPA's requirements.

8.8.3.1 While a Training Provider may receive an Eligible for Accreditation decision, it is not accredited until the OSVDPA has received and processed payment and provided the Training Provider with a certificate of accreditation.

8.8.3.2 Until the Training Provider receives its certificate of accreditation, it shall be Provisionally Accredited.

8.8.3.3 Along with the Eligible for Accreditation Decision, the Training Provider shall receive an invoice for the Training Provider Annual Fee within OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version). Not until this amount is paid is the Training Provider accredited.

8.8.4 **Appeals.** The OSVDPA decisions related to accreditation are subject to the OSVDPA Appeals Process, Section **25**.

8.9 **Accreditation.** Once the OSVDPA has received and processed payment, it shall send to the Training Provider a Certificate of Accreditation. Information about the rights and responsibilities of an OSVDPA-Accredited Training Provider are found in Section **7.3**.

8.10 **Provisional Accreditation.** Provisional Accreditation is extended to a Training Provider that requires an ability to advertise and conduct courses for the purpose of securing accreditation and instructor certification.

8.10.1 **Length of the Provisional Accreditation.** The OSVDPA's response to the Provisional Accreditation request (included as part of the RFA), will specify the maximum length of the Provisional Accreditation, a period of time which cannot exceed ninety (90) days. Provisional Accreditation can be revoked at any time by the OSVDPA.

8.10.2 **Results of the Provisional Accreditation.** Provisional Accreditation can be extended by the OSVDPA to ensure there is not a gap between a Training Provider's Provisional Accreditation and a Conditionally Accredited status or Accredited Status.

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| Manual of Policies and Procedures:<br>Accreditation Process. | Version <b>4.0</b>                                              | Date Effective: <b>May 22, 2018</b>                                                                                             | Section: <b>8</b>                         |
|                                                              | Prepared by: <b>BAB</b><br>Prepared Date: <b>March 29, 2018</b> | <u>Approved/Reviewed by:</u><br>BoD: <b>YES</b> TAC: <b>YES</b><br>ED: <b>N/A</b> Counsel: <b>N/A</b><br>Accountant: <b>N/A</b> | Document:<br>Page <b>45</b> of <b>297</b> |

- 8.10.3 **Impact on Prospective DPOs that Enroll in the Course.** Prospective DPOs that take courses at Provisionally Accredited Training Providers are credited for taking the course regardless if the Training Provider or instructor passes the Audit or Classroom Assessment.

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|                                                        | Prepared by: <b>BAB</b><br>Prepared Date: <b>March 29, 2018</b> | Approved/Reviewed by:<br>BoD: <b>YES</b> TAC: <b>YES</b><br>ED: <b>N/A</b> Counsel: <b>N/A</b><br>Accountant: <b>N/A</b> | Document:<br>Page <b>46</b> of <b>297</b> |

## **9 Reaccreditation Process.**

9.1 **Purpose and Summary.** This section details the process the OSVDPA shall utilize to reaccredit Training Providers.

### **9.2 References.**

9.2.1 Section **4**: Definitions.

9.2.2 Section **7**: Accreditation.

9.2.3 Section **10**: Multiple Facilities, Partnerships, and Joint-Ventures.

9.2.4 Section **21**, Assessment Policy.

9.2.5 Section **22**: Facilities Requirements.

9.2.6 Section **25**: OSVDPA Appeals Process.

9.2.7 OSVDPA SIM-1-CV, the OSVDPA Simulator Standards (Current Version).

9.2.8 Form RFR-1-CV, the Request for Reaccreditation Checklist (Current Version).

9.2.9 OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version).

9.2.10 OSVDPA FR-1-CV, the OSVDPA Findings Report Accreditation (Current Version).

9.3 Every five (5) years, Training Providers shall need to seek reaccreditation from the OSVDPA. The reaccreditation process is a six (6) step process as detailed below:

- Announcement of Intention to Seek Reaccreditation,
- Submission of Request for Reaccreditation,
- OSVDPA Review of Request for Reaccreditation,
- Site Visit,
- OSVDPA Findings Report, and
- Issuance of Accreditation or Rejection.

9.4 **Announcement of Intention to Seek Reaccreditation.** Four (4) years after accreditation (or reaccreditation), the OSVDPA asks Training Providers to declare their intent to seek reaccreditation. The OSVDPA makes this request to ensure OSVDPA staff knows of all reaccreditation requests and can plan accordingly to ensure no Training Provider's accreditation is threatened by delays.

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- 9.5 **Submission of Request for Reaccreditation.** A Request for Reaccreditation (RFR) must be submitted within the timeline and procedures outlined by the OSVDPA. As seen in Form RFR-1-CV, the Request for Reaccreditation Checklist, (Current Version), an RFR is similar to an RFA, however the document is shorter and requires the submission of less background information and documents. This brevity is due to the fact that the OSVDPA has received information from both the Training Provider's initial certification and the annual reviews provided.
- 9.5.1 **Timing.** No later than 90 days prior to the expiration of a Training Provider's accreditation, a Training Provider seeking reaccreditation shall submit a Request for Reaccreditation (RFR).
- 9.5.2 **Method.** The RFR shall be submitted via the policies and procedures set forth by the OSVDPA.
- 9.5.3 **Format.** All information must be submitted on the required form, as part of a requested attachment, or in the format requested by the RFR or the relevant form.
- 9.5.4 **Cost.** The OSVDPA charges a fee for the evaluation of a RFR. The amount of this fee is detailed within OSVDPA FS-1-CV, OSVDPA Fee Schedule (Current Version). If the Training Provider's RFR requires additional review, site visits, or other costs to the OSVDPA, the Training Provider might be required to pay additional fees also detailed in OSVDPA FS-1-CV. These fees are non-refundable, except at the discretion of the OSVDPA.
- 9.6 **OSVDPA Review of Request for Reaccreditation and Scheduling of Site Visit.** Once the RFR is received and the fee is deposited, the Point of Contact (Section 4.31) for the Training Provider shall receive a confirmation email from the OSVDPA. This email shall begin the process of selecting a date for a site visit state and announce the start of the OSVDPA's review of the RFR.
- 9.6.1 **Scheduling of Site Visits.** The OSVDPA and Point of Contact shall arrange a date for a site visit of the Training Provider's location(s).
- 9.6.1.1 While the OSVDPA aims to have a site visit conducted one (1) month after receiving the RFR, factors such as travel schedules, Auditor availability, and Training Provider class schedules can prevent this timeline from being met.
- 9.6.1.2 All locations visited by the OSVDPA during the initial accreditation (and subsequent reaccreditations) require site visits (if the facility is still utilized). Thus, all site visits should be scheduled at this time. Further details on which sites require a physical inspection is found in Section 10.

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9.6.1.3 In making the determination as to when the site visit should occur, it is important to note which items the Auditors will need access to and what activities they must observe. As such, Training Providers should ensure they have reviewed Section **9.5** and **9.7** prior to selecting a date for the site visit.

9.6.1.4 Should the Training Provider need to reschedule the site visit after it has been scheduled, the OSVDPA retains the right to charge the Training Provider the Supplemental Reaccreditation Fee as listed in OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version) and the cost of rebooking OSVDPA travel arrangements and/or accommodations.

9.6.1.5 The OSVDPA endeavors to find a date that is mutually acceptable to the Training Provider and the OSVDPA, however, if this is not possible the OSVDPA shall have the ability to select a date.

9.6.2 **Review of the Request for Reaccreditation.** After the scheduling of the site visit (Section **9.6.1**) the OSVDPA shall review all information contained in the RFR.

9.6.2.1 The purpose of this review is to ensure no factors have changed since the accreditation (or last reaccreditation) which could degrade the Training Provider's ability to uphold the OSVDPA's standards.

9.6.2.2 This review shall be conducted by the OSVDPA staff and/or OSVDPA Approved Auditors contracted by the OSVDPA.

9.6.2.3 During this review, it is important for the Training Provider to answer any follow up questions the OSVDPA has in a timely manner. Failure to answer the OSVDPA's question(s) in a timely manner may result in the cancellation or rescheduling (at the Training Provider's expense) of the site visit.

9.6.2.4 While the OSVDPA shall not directly reaccredit or not accredit a Training Provider during the in-depth review portion of the audit, the discrepancies, irregularities, and problems discovered during this time shall become the basis for review during the site visit and if unexplained or corrected, could become the justification for not extending reaccreditation at a later date.

9.7 **Site Visit.** At the scheduled time, the OSVDPA shall conduct a site visit in order to verify that the instructors, simulators, classrooms, manuals and records, and managements systems conform to the information provided in the RFR.

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- 9.7.1 The OSVDPA endeavors to complete site visits within two (2) days, however, more time may be necessary in order to provide Auditors access to all items listed in Form RFR-1-CV, the Request for Reaccreditation Checklist, (Current Version). See Section **9.7.3** and OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version) for more information.
- 9.7.2 **Items to be Reviewed/Verified during the Site Visit.** The Training Provider shall ensure all of the following are available to Auditors to review or verify during the site visit:
- 9.7.2.1 **Request for Reaccreditation.** All forms and documents required in Form RFR-1-CV, the Request for Reaccreditation Checklist (Current Version).
- 9.7.2.2 **Courses.** In addition to the RFR, the OSVDPA Auditors will observe a course during the site visit. The OSVDPA would prefer to observe the Phase 3 (Simulator) Course (Section **18**), however, the OSVDPA shall allow a Training Provider to utilize a Phase 1 (Induction) Course (Section **17**) with prior notification and approval from the OSVDPA.
- 9.7.2.3 **Assessments.** The OSVDPA shall observe how instructors proctor the Phase 3 (Simulator) Course Assessment (Section **21.7**). If the Training Provider is unable to secure Prospective DPOs to take this assessment during the site visit, the OSVDPA shall allow the Training Provider to use other Prospective DPOs as stand-ins for the Phase 3 (Simulator) Course Assessment. This procedure shall require prior notification and approval from the OSVDPA. Additionally, these assessments may not count for the Prospective DPOs.
- 9.7.3 **Additional Days/Locations.** Training Providers requiring auditing of satellite centers, other facilities (e.g. records storage, corporate headquarters etc.) or multiple training facilities shall require additional site visit days. The OSVDPA shall attempt to conduct these additional site visits within two (2) days per additional site. The Training Provider shall be charged the fee as listed in OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version) for each additional site visit required.
- 9.7.4 **Audit Team.** The site visit shall be conducted by two (2) OSVDPA Approved Auditors employed or contracted by the OSVDPA and selected by OSVDPA. One auditor shall be primarily focused on auditing the technical aspects of the facility, while the other auditor shall focus on verifying records and ensuring the facility and personnel meet the OSVDPA's standards.

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9.8 **OSVDPA Findings Report.** No later than thirty (30) days from the last day of the site visit, the OSVDPA shall issue its findings report (Form FR-1-CV, the OSVDPA Findings Report Accreditation (Current Version)). This report shall issue one of three (3) decisions. Each decision shall be based upon the standards set forth by the OSVDPA policies and procedures as listed in this manual and in the standards provided to the Audit Team.

9.8.1 **No Longer Accredited.** This finding shall be issued if a sufficient number of deficiencies are found during OSVDPA's review of the RFR and/or during the site visit.

9.8.1.1 Decisions of No Longer Accredited shall be accompanied by an itemized Corrective Actions Report listing deficiencies and steps the Training Provider could take that would address these deficiencies. The decision shall also state if another site visit shall be necessary once the corrective actions are completed.

9.8.1.2 The OSVDPA shall not disclose the No Longer Accredited decision until the previous accreditation has lapsed. The Training Provider shall have until the last day of their previous accreditation to secure reaccreditation or secure a Conditional Reaccreditation.

9.8.1.3 Once the OSVDPA receives the Training Provider's response to the Corrective Actions Report, the OSVDPA shall review the information and/or conduct another site visit (if called for under Section **9.8.1.1**.)

9.8.1.4 **Second Visit.** Should a second site visit be required, it shall be:

9.8.1.4.1 Given priority over other site visits, being scheduled as soon as practical for the Training Provider, the OSVDPA, and the Auditors.

9.8.1.4.2 Conducted by the same Audit Team that conducted the initial site visit, and

9.8.1.4.3 Conducted under the procedures contained in Section **9.7**.

9.8.2 **Conditional Reaccreditation.** The OSVDPA shall issue a Conditional Reaccreditation to a Training Provider if the review of the RFR and/or site visit finds items that need to be addressed but these items are of insufficient number or severity to warrant revocation of accreditation or not extending reaccreditation.

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- 9.8.2.1 The Conditional Reaccreditation shall include an itemized list of items needing to be addressed and actions the OSVDPA believes would address these items and the OSVDPA's concern in this area. Prior to issuing a decision of Eligible for Accreditation, the OSVDPA shall require the Training Provider to respond to this list in a Corrective Actions Report.
- 9.8.2.2 The Conditional Reaccreditation decision shall include a date through which the Provisional Accreditation is valid. The OSVDPA shall determine the appropriate date based upon the factors it determines the Training Provider needs to address.
- 9.8.2.3 When completed, the Training Provider shall return the Corrective Actions Report. To ensure accreditation does not lapse, the OSVDPA requires the Corrective Action Report to be returned 30 days prior to the end of the Conditional Reaccreditation.
- 9.8.2.4 No more than 30 days after receipt of the Corrective Actions Report, the OSVDPA shall issue a new Findings Report under the same procedures as utilized for the first Findings Report (Section **9.8**).
- 9.8.2.5 Training Providers issued Conditional Reaccreditation are provided all rights and abilities as accredited Training Providers for the duration of the Provisional Accreditation. (See Section **7** for list of rights and responsibilities of OSVDPA-Accredited Training Providers).
- 9.8.2.6 Conditional Reaccreditation can also be provided by the OSVDPA to a Training Provider at other times and for other reasons (e.g. administrative delays or other extenuating circumstances).
- 9.8.3 **Eligible for Reaccreditation.** The OSVDPA shall issue an Eligible for Reaccreditation Decision to Training Providers that are found to have met all of the OSVDPA's requirements.
- 9.8.3.1 While a Training Provider may receive an Eligible for Reaccreditation decision, it is not accredited until the OSVDPA has received and processed payment and provided the Training Provider with a Certificate of Accreditation.
- 9.8.3.2 Until the Training Provider receives its updated Certificate of Accreditation, it shall be provisionally accredited.

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9.8.3.3 Along with the Eligible for Reaccreditation Decision, the Training Provider shall receive an invoice for the Fee TP-1 listed in OSVDPA FS-CV, the OSVDPA Fee Schedule (Current Version). Not until this amount is paid is the Training Provider accredited.

9.8.4 **Appeals.** The OSVDPA's decisions regarding reaccreditation are subject to appeals under the procedures of Section **25**.

9.9 **Accreditation.** Once the OSVDPA has received and processed payment, it shall send to the Training Provider a Certificate of Accreditation. Information about the rights and responsibilities of an OSVDPA-Accredited Training Provider can be found in Section **7.3**.

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## **10 Multiple Facilities, Partnerships, and Related Entity Standards.**

### **10.1 Purpose and Summary.**

10.1.1 **In General.** Certain aspects of the OSVDPA DPO Certification Scheme require independence. As such, the OSVDPA has the below-stated policies and procedures to determine when an entity is truly independent and when it is related to another entity.

### **10.2 References.**

10.2.1 Section **4**: Definitions.

10.2.2 Section **8**: Accreditation Process.

10.2.3 Section **9**: Reaccreditation Process.

10.2.4 Section **11**: Standards for Instructors, Instructor Certification Process, and Instructor Hiring.

10.2.5 Section **12**: Auditor Standards.

10.2.6 Section **13**: Vessel Operator Enrollment in the OSVDPA.

10.2.7 Section **18**: Phase 3 (Simulator) Course Standards.

10.2.8 Form DPO-1-CV, the Training and Certification Activities Confirmation Letter, (Current Version).

10.2.9 Form RE-1-CV, the Related Entity or Partnership Description (Current Version)

10.2.10 United States Code, Title 26.

10.3 **Multiple Training Facilities versus Satellite Training Facilities.** The OSVDPA welcomes Training Providers that have multiple facilities and seeks to ensure all of a Training Provider's facilities are easily accredited. The OSVDPA does not necessarily need to conduct a site visit (Section **8.7**) of every facility operated by a Training Provider during an Accreditation (Section **8**) or Reaccreditation (Section **9**). This section details the difference between a Training Provider that has Multiple Training Facilities and a Training Provider that has Training Facilities with Satellite Training Facilities.

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10.3.1 **Multiple Training Facilities.** Training Providers with Multiple Training Facilities need to have every facility audited by the OSVDPA in order for each of those facilities to be used to conduct OSVDPA-accepted Training and Certification Activities (Section **4.40**). Multiple Training Facilities are facilities that have one or more of the following characteristics.

10.3.1.1 The Training Provider's other facilities utilize different names.

10.3.1.2 The Training Provider's other facilities are managed and are accountable to, or controlled by, different individuals, parent companies, or have a different corporate structure.

10.3.1.3 The Training Provider's other facilities are covered by a different insurance policy or arrangement.

10.3.1.4 The Training Provider's other facilities utilize simulators that are of a different make and model or utilize a different set of practical exercises for the Phase 3 (Simulator) Course exercises (Section **18**)

10.3.1.5 The Training Provider utilizes facilities, other than its main facility, it does not wholly own or operate, such as rental space.

10.3.1.6 The Certified Instructors at the other facilities are overseen by a different Senior Instructor, Section **11.4**.

10.3.1.7 The Training Provider utilizes a different curriculum for the Phase 1 (Induction) Course (Section **17**) or the Phase 3 (Simulator) Course (Section **18**).

10.3.2 **Satellite Training Facilities.** Satellite Training Facilities do not meet any of the above-listed criteria and are not subjected to a site visit, however, OSVDPA Accreditation shall only extend to those Satellite Training Facilities that have been reviewed as part of a Training Provider's Accreditation or Reaccreditation.

#### 10.4 **Related Entities and Partnerships.**

10.4.1 **Partnerships.** The OSVDPA utilizes the United States Internal Revenue Service's definition of a partnership. Specifically, "A partnership is the relationship between two or more persons who join to carry on a trade or business, with each person contributing money, property, labor, or skill and each expecting to share in the profits and losses of the business whether or not a formal partnership agreement is made."

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10.4.1.1 Partnerships that seek Enrollment (Section **13**) or Accreditation (Section **8**) as a single entity must have all appropriate forms signed by each Principal (Section **4.33**) of the Partnership.

10.4.1.2 Should a Partnership dissolve or expire, the OSVDPA Enrollment or Accreditation that was provided to that Partnership shall be revoked.

10.4.2 **Related Entity.** The OSVDPA utilizes the United States Internal Revenue Service’s definition of related entities. This definition, found at 26 United States Code, section 168(h)(4) states, that two entities are related if the following apply: “(1) The two entities have (i) significant common purposes and substantial common membership or (ii) directly or indirectly substantial common direction or control; or (2) Either entity owns (directly or through one or more entities) a 50 percent or greater interest in the capital or profits of the other. For this purpose, entities treated as related entities under the preceding paragraph shall be treated as one entity.”

10.4.2.1 A Related Entity cannot be utilized for items requiring independence or impartiality such as an Audit (Section **12**) or an independent Qualified on Board Assessor (**4.37**) claimed as part of the “Enhanced Verification” portion of Form DPO-1-CV (Section **22.8.4.5**).

10.4.2.2 A related entity that is engaged in a similar business as its other entities (e.g. two (2) Vessel Operators that meet the definition of a Related Entity) is not required to submit separate stamps, Principal (Section **4.33**) signatures, or other verifications during a Vessel Operator Enrollment (Section **13**) or Training Provider Accreditation (Section **8**), because the two (2) entities are considered to be the same entity within the OSVDPA’s DPO Certification Scheme.

10.4.2.3 Entities that meet the definition of a Related Entity but are not engaged in similar business (e.g. a Training Provider and a training course producer) must complete Form RE-1-CV, the Related Entity or Partnership Description (Current Version) during a Vessel Operator Enrollment (Section **13**) or Training Provider Accreditation (Section **8**). This form describes the relationship and ensures that the entity being Enrolled or Accredited is capable of answering for the Related Entity.

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| Manual of Policies and Procedures: Standards for Instructors, Instructor Certification Process, and Instructor Hiring. | Version <b>4.0</b>                                              | Date Effective: <b>May 22, 2018</b>                                                                                      | Section: <b>11</b>                        |
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## **11 Standards for Instructors, Instructor Certification Process, and Instructor Hiring.**

11.1 **Purpose and Summary.** This Section details the requirements of OSVDPA Certified Instructors and the processes the OSVDPA shall utilize to certify instructors hired by Training Providers.

### **11.2 References.**

11.2.1 Section **4**: Definitions.

11.2.2 Section **17**: Standards for the Phase 1 (Induction) Course.

11.2.3 Section **18**: Standards for the Phase 3 (Simulator) Course.

11.2.4 Section **21**: Assessment Procedures.

11.2.5 Section **23**: DPO Certificate Revalidation Procedures.

11.2.6 Form AR-1-CV, the Training Provider Annual Review (Current Version).

11.2.7 Form TI-2-CV, the Training Provider Instructor New Hire (Current Version).

11.2.8 Form TI-1-CV, the Training Provider Instructor Roster (Current Version).

11.2.9 Form TI-3-CV, the Training Provider Instructor Assessor (Current Version).

11.2.10 IMO Model Course 6.09, Train-the-Trainer.

11.2.11 IMO Model Course 6.10, Train-the-Simulator Trainer.

11.3 **Instructor Requirements.** The OSVDPA requires all of those who instruct OSVDPA courses or conduct OSVDPA Assessments to be certified by the OSVDPA as instructors. To be a Certified Instructor, an individual must have the requisite experience, credentials (both maritime and educational), and competency as an instructor.

#### **11.3.1 Experience as a DPO.**

11.3.1.1 Instructors must have served as a DPO for at least one (1) year including no less than 90 days of Sea Time (Section **4.38**) and 270 hours of Practical Experience (Section **4.32**) after the date printed on their DPO Certificate.

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11.3.1.2 If, at the time of initial OSVDPA certification, the instructor's Sea Time and Practical Experience did not occur within the last five (5) years, the DPO must also have one (1) year of DP Experience (Section **4.24**) within the last five (5) years. The specific amounts of days and the means the OSVDPA shall utilize to determine compliance with this section is included in Section **23.6** (all days and experience totals contained in this section should be divided by five (5)).

### 11.3.2 **Credentials.**

11.3.2.1 A valid DPO Certificate from an internationally recognized DPO certification scheme.

11.3.2.2 A copy of the maritime credential the instructor utilized when gaining the individual's DPO Certificate. This credential does not need to be current, however, the instructor must demonstrate that it was current when he or she served as a DPO.

### 11.3.3 **Educational Experience.**

11.3.3.1 Passage of a course meeting the requirements of IMO Model Course 6.09 (Train-the-Trainer), and possibly 6.10 (Train-the-Simulator-Trainer).

11.3.3.2 Have been through (in the role of Prospective DPO) the Phase 1 (Induction) Course (Section **17**) (or a similar course) and Phase 3 (Simulator) Course (Section **18**) (or a similar course) as offered by employing Training Provider (this includes completing the blended online/classroom Phase 1 (Induction) Course, if offered by the Training Provider, within the last three (3) years. As stated in Section **11.7**, Alternative Compliance is provided for Training Providers that are seeking initial accreditation and therefore cannot accomplish this requirement.

11.3.3.3 Have twice served as a co-instructor for both the Phase 1 (Induction) Course (or similar course) and Phase 3 (Simulator) Course (or similar course) within the last year. As stated in Section **11.7**, Alternative Compliance is provided for Training Providers that are seeking initial accreditation and therefore cannot accomplish this requirement.

11.3.3.3.1 The OSVDPA only allows one (1) co-instructor per course Class (Section **4.18**).

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11.3.3.3.2 Co-instructors must be present for the entire Class and co-instructors cannot be rotated through courses.

11.3.3.4 Be assessed by the Training Provider's Senior Instructor as proficient in conducting the Phase 1 (Induction) Course and Phase 3 (Simulator) Course and associated OSVDPA Assessments.

11.3.3.5 Each Certified Instructor must continue to receive passing scores and participate in the annual assessments required by Section **11.5.1** no less than once every three (3) years.

11.3.4 **Competency as an Instructor.** Competency as an instructor is measured by a three (3) part assessment. Once the below assessments are passed and verified by the OSVDPA the instructor shall be certified as a Certified Instructor (Section **4.16**). This certification is kept current as long as the Certified Instructor participates in a Training Provider's annual review at least once every three (3) years.

11.3.4.1 **Classroom Assessment.**

11.3.4.1.1 During the instructor's second round of serving as a co-instructor for the Phase 3 (Simulator) Course, the instructor's competency as an instructor shall be assessed in how well they impart information to Prospective DPOs, operate the simulators, and conduct the OSVDPA Assessments.

11.3.4.1.2 An OSVDPA Certified Instructor (preferably the Training Provider's Senior Instructor) shall conduct this assessment and record the results on a Form TI-3-CV, Training Provider Instructor Assessment (Current Version).

11.3.4.2 **DPO Assessments.**

11.3.4.2.1 The prospective instructor shall pass the Phase 1 Assessment (Section **21.5.2**) and the Phase 3 Assessment (Section **21.7.2**) as administered by the employing Training Provider. The assessments shall be conducted by all of the policies and procedures required in Section **21**, except the instructors shall be required to secure a score of 90 percent on the Phase 1 Assessment and a score of 80 percent on the DP Industry and Scheme Assessment detailed in Section **11.3.4.3**.

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#### 11.3.4.3 DP Industry and Scheme Assessment.

11.3.4.3.1 The instructor shall also complete a 50 question assessment measuring his or her knowledge of the DP industry, DPO certification schemes, and the policies and procedures of the OSVDPA.

11.3.4.3.2 The instructors shall be provided one (1) hour to complete the assessment and an 80 percent score is required for passage.

11.3.4.3.3 If an instructor does not secure a passing score, they shall be provided two (2) more opportunities to pass the assessment.

11.3.4.3.4 If the instructor has not passed the attempt within three (3) attempts, the instructor shall be required to restart the process of becoming a Certified Instructor by observing the teaching of courses.

11.4 **Senior Instructor.** Training Providers shall employ a Senior Instructor. This individual shall be responsible for:

11.4.1 Updating and reviewing the curriculum and materials used by the Training Provider.

11.4.1.1 Training Providers that utilize a curriculum manager or training manager can utilize this individual to fulfill this role, however, the Senior DPO must be involved in the curriculum crafting and updating process.

11.4.2 Conducting initial and annual assessments of all Certified Instructors utilized by the Training Provider.

11.4.3 Conducting the Annual Review (Section **11.5**) for the Training Provider,

11.4.4 Supervision of all other Certified Instructors utilized by the Training Provider, and

11.4.5 The continued training and development of all Certified Instructors utilized by the Training Provider.

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11.5 **Annual Review.** Training Providers shall conduct a review of their Certified Instructors once a year. All Certified Instructors employed by the Training Provider must participate in the review. The review shall have two (2) components.

11.5.1 **Assessments.** The Training Provider shall institute a program whereby once per year the Senior Instructor evaluates the performance of the Certified Instructors utilized during the previous year by the Training Provider and to provide feedback to the OSVDPA to ensure the OSVDPA's training program remains up-to-date and effective. The criteria for the review is specified in Form AR-1-CV, the Training Provider Annual Review (Current Version) and includes:

11.5.1.1 A review of the assessments conducted by the Training Provider over the course of the last year. This review should summarize the scores and the numbers of OSVDPA Assessments passed and failed during the year along with the particular questions, assessment items, or scenarios that caused DPOs or Prospective DPOs confusion, misunderstanding, or undo difficulty.

11.5.1.2 A review of the Certified Instructor's performance over the course of the past year along with any points of personal development that are being recommended to the OSVDPA.

11.5.2 **Curriculum review.** Additionally, once per year all of the Training Provider's Certified Instructors must gather to discuss changes in curriculum; assessments; DP technology; DP terminology; DP usage; and industry guidelines, regulations, and requirements. Minutes of this meeting must be sent to the OSVDPA as proof of this meeting.

#### 11.6 **Hiring of Instructors (Outside of Accreditation or Reaccreditation).**

11.6.1 Training Providers seeking to hire an instructor shall seek the OSVDPA's approval no less than thirty (30) days prior to the date the Training Provider first anticipates utilizing the instructor by submitting a Form TI-2-CV, Training Provider Instructor New Hire (Current Version), along with the required attachments.

11.6.2 The OSVDPA shall evaluate the credentials of the new instructor and respond no later than then (10) days prior to the day the Training Provider sought to start using the instructor.

11.6.3 Should the OSVDPA not respond on this timetable, the Training Provider may utilize the instructor as a Provisionally Approved Instructor (Section **4.33**).

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- 11.6.4 If OSVDPA finds the instructor meets all of the qualifications within Section **11.3** and is in good standing with the Authority, an Instructor Certificate shall be sent to the Training Provider and the Certified Instructor.
- 11.6.5 If the instructor meets all of the qualifications listed in Section **11.3** except for the Classroom Assessment (Section **11.3.4.1**), and the Training Provider has no Certified Instructor to proctor the Classroom Assessment, the Training Provider can state within Form TI-2-CV, the Training Provider Instructor New Hire (Current Version), that it is impractical to have the instructor assessed in short order. If the OSVDPA agrees with the Training Provider in regards to the impracticality of securing an assessment, the OSVDPA shall allow the instructor to become a Provisionally Approved Instructor (Section **4.36**), thereby providing the Training Provider sixty (60) days to secure a Certified Instructor or OSVDPA-Approved Auditor to assess the instructor.
- 11.6.6 Following a Provisional Approval, the Training Provider shall apply for a full Instructor Certificate following the instructor's passage of an assessment.
- 11.7 **Hiring of Instructors for Training Providers Seeking Initial Accreditation.** As new Training Providers cannot meet the requirements of Section **11.3.3.2** or Section **11.3.3.3**, the OSVDPA offers the following allowances for these Training Providers to prove the competency of their instructors.
- 11.7.1 **Training Providers with Experienced Instructors.** Training Providers employing instructors meeting the definition of Experienced Instructors (Section **4.23**), and choosing to list those instructors on their Form TI-1-CV, the Training Provider Instructor Roster (Current Version), can see these instructors certified via the following steps, provided such instructors successfully complete all other steps listed in Section **11.3**.
- 11.7.1.1 Experienced Instructors, or previously certified DPO instructors that have conducted twelve (12) Phase 1 (Induction) Course equivalents and twelve (12) Phase 3 (Simulator) Course equivalents within the last twenty-four (24) months, are not required to observe OSVDPA courses or co-instruct OSVDPA courses prior to certification and are deemed to be Provisionally Approved Instructors (Section **4.33**) twenty (20) days after submission of their credentials (either as part of a Form TI-1-CV or Form TI-2-CV) unless objected to by the OSVDPA.

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11.7.1.2 Upon OSVDPA approval of the Experienced Instructor's credentials (or after twenty (20) days) the Experienced Instructor shall be allowed to conduct the Training Provider's Phase 1 (Induction) and Phase 3 (Simulator) Courses for the next ninety (90) days. Subsequently, the Experienced Instructor shall receive his or her classroom assessment during the Training Provider's accreditation Audit. If passed, the Provisionally Approved Instructor shall become a Certified Instructor with the Training Provider's submission of a Form TI-3-CV, the Training Provider Instructor Assessment Form (Current Version).

11.7.1.3 Following this approval process, the Certified Instructor shall follow the annual review process to keep their certification current.

11.7.1.4 As an added means of alternative compliance, the OSVDPA, at its own discretion, shall allow the above-listed courses and assessments to be simulated via the use of other individuals acting in the role of Prospective DPOs.

11.7.2 **Training Providers without Experienced Instructors.** Training Providers that do not have a sufficient number of Experienced Instructors may secure accreditation and the instructors may secure certification through one (1) of three (3) following means.

11.7.2.1 **Contract Instructors.**

11.7.2.1.1 As defined in Section **4.16**, Contract Instructors are OSVDPA Certified Instructors not employed (not listed on a Training Provider's Form TI-1-CV or Form AR-1-CV) by a Training Provider. Provided, a Contract Instructor does not conduct more than four (4) Phase 1 (Induction) Course classes (Section 4.18) and four (4) Phase 3 (Simulator) Course classes or the assessments corresponding to these courses during a year, he or she does not have to be included on the Training Provider's Form AR-1-CV. However, a Contract Instructor must participate in a Training Provider's annual review process no less than once every three (3) years.

11.7.2.1.2 As such, a Training Provider can hire a Contract Instructor to conduct the first two (2) Phase 1(Induction) and Phase 3 (Simulator) Courses and assessments while the Training Provider's instructor secures the required observation and co-instruction experience.

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11.7.2.1.3 Subsequently, the Auditor employed or contracted by the OSVDPA during the Training Provider's accreditation site visit can conduct the assessment of the instructor. If the Training Provider's instructor passes this assessment, the Training Provider shall submit a Form TI-3-CV Training Provider Instructor Assessment Form (Current Version) to the OSVDPA.

11.7.2.1.4 Under no circumstances are the Contract Instructors allowed to conduct the Classroom Assessments of the instructors. The OSVDPA suggests the Training Provider utilize OSVDPA-Approved Auditors (Section **4.11**) for that purpose.

#### 11.7.2.2 Utilizing existing OSVDPA-approved courses.

11.7.2.2.1 Training Providers are allowed to send their instructors to another OSVDPA-Accredited Training Provider for the observation and co-instructing experience required under Sections **11.3.3.2** and **11.3.3.3**.

11.7.2.2.2 Following the observation and co-instruction conducted in Section **11.3.3.3**, the Auditor employed or contracted by the OSVDPA during the Training Provider's accreditation site visit can conduct the assessment of the instructor. If the Training Provider's instructor passes this assessment, the Training Provider shall submit a Form TI-2-CV to the OSVDPA.

11.7.2.2.3 Under no circumstances are the instructors that facilitated the observation and co-instruction allowed to conduct the Classroom Assessments.

11.8 **Exceptional Instructor.** In rare instances, the OSVDPA shall make an exemption for the certification of instructors that do not meet the requirements of Sections **11.3.1** or **11.3.2**. This exception is only made if the Training Provider can prove that the instructor has an abundance of DP knowledge and educating abilities.

11.8.1 To receive an exemption under this section, the Training Provider must prove the instructor:

11.8.1.1 Meets all of the remaining requirements found in Section **11.3**.

11.8.1.2 Has served as a DPO instructor for more than five (5) years.

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11.8.1.3 The instructor has made significant contributions to the DPO certification industry via the publishing of training materials, participating in the creation or updating of DPO certification schemes, or engaged in similar activities.

11.8.2 Procedure for securing an Exceptional Instructor Certificate.

11.8.2.1 To secure an exemption under this subsection, the Training Provider shall check the appropriate box on the Form TI-1-CV (during the initial accreditation) or on the Form TI-2-CV, the Training Provider Instructor New Hire (Current Version) and provide the required information.

11.8.2.2 The OSVDPA shall make a decision if the instructor meets the requirements of an Exceptional Instructor within thirty (30) days and convey its decision to the Training Provider and instructor. During this time, the instructor is not eligible to become a Provisionally Approved Instructor.

11.9 As an added means of alternative compliance, the OSVDPA, at its own discretion, shall allow the above-listed courses and assessments to be simulated via the use of other individuals acting in the role of Prospective DPOs.

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## 12 Auditor Standards.

12.1 **Purpose and Summary.** This section describes the entry requirements, training and approval process, responsibilities, required impartiality, annual review requirements, and re-approval requirements of an OSVDPA-Approved Auditor.

12.1.1 **In General.** Individuals meeting the requirements found in Section 12.4 or Section 12.5 are eligible to become an OSVDPA-Approved Auditor via application and passage of the OSVDPA Auditor Training Course (Section 12.8). Auditors participate in the accreditation of Training Providers (Section 8), approve Accepted Unclassed Vessels (Section 4.4), and other activities as required by the OSVDPA. The OSVDPA has high standards for impartiality among its Auditors (Section 12.11), and its desire for impartiality among Auditors is one of the reasons the OSVDPA allows Auditors to recuse themselves (Section 12.11.5). If the OSVDPA discovers an Auditor has acted inappropriately, it shall revoke the Auditor's approval (Section 12.15). The OSVDPA requires Auditors to conduct at least one (1) audit per year and file the annual report (Section 12.16). Every three (3) years the Auditors are required to seek re-approval (Section 12.17).

12.1.2 **Limitation.** This section applies to OSVDPA-Approved Auditors or the individuals with whom the OSVDPA contracts to conduct inspections, approvals, and audits of vessels, Vessel Operators, and Training Providers. This section and the term "Auditor" do not refer to those individuals who conduct assessments of DPOs or other DP personnel. For information about assessors, see the terms Examiner (Section 4.22) and Qualified on Board Assessor (QOBA) (Section 4.37).

## 12.2 **References.**

12.2.1 Section 4, Definitions.

12.2.2 Section 6, Roles and Responsibilities.

12.2.3 Section 7, OSVDPA Accreditation.

12.2.4 Section 8, Accreditation Process.

12.2.5 Section 9, Reaccreditation Process.

12.2.6 Section 11, Standards for Instructors, Instructor Certification Process, and Instructor Hiring Process.

12.2.7 Section 15, Accepted Unclassed Vessels.

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12.2.8 Section **23**: DPO Certificate Revalidation Procedures.

12.2.9 Section **25**, the OSVDPA Appeals Process.

12.2.10 Form AA-1-CV, the Auditor Application (Current Version).

12.2.11 Form AA-2-CV, the Auditor Application Acceptance (Current Version).

12.2.12 Form AA-3-CV, the OSVDPA Auditor Approval Certificate (Current Version).

12.2.13 Form AA-4-CV, the OSVDPA Auditor Contract (Current Version).

12.2.14 Form AR-1-CV, the Training Provider Annual Review Form (Current Version).

12.2.15 Form AR-2-CV, the Vessel Operator Annual Review (Current Version).

12.2.16 Form AR-3-CV, the Auditor Annual Review (Current Version).

12.2.17 OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version).

12.2.18 OSVDPA EER-CV, the OSVDPA External Expense Report (Current Version).

12.2.19 Form FR-1-CV, the OSVDPA Findings Report Accreditation (Current Version).

12.2.20 IMCA M 117, Rev. 1, “The Training and Experience of Key DP Personnel”

### **12.3 Description of areas of emphasis.**

12.3.1 The OSVDPA has two (2) subcategories of OSVDPA-Approved Auditors, “Auditor, Maritime Emphasis” (Section **12.4**) and “Auditor, Training Requirements Emphasis” (Section **12.5**). The OSVDPA shall endeavor to have all audits conducted by an Auditor with the proper emphasis. If the OSVDPA is unable to meet this standard (along with the impartiality described in Section **12.11**), the OSVDPA shall contract with an Auditor without the proper emphasis.

12.3.2 In the instances where the OSVDPA utilizes the authority described in Section **12.3.1**, the OSVDPA shall preform enhanced scrutiny on the work product of the Auditor in question. Such scrutiny may include, but is not limited to: having an Auditor with the proper emphasis review the work, require progress reports, or allow the subject of the audit more time to review the audit report.

12.3.3 All OSVDPA-Approved Auditors shall complete the OSVDPA Auditor Training Course covering all points of audit consideration.

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**12.4 Entry Requirements: Auditor, Maritime Emphasis.** In order to apply to be an OSVDPA-Approved Auditor, Maritime Emphasis, the individual must meet and be able to document experience meeting the below-listed requirements. **Note:** For each of the requirements to become an Auditor, the OSVDPA provides means of alternative compliance. Such means are listed below under the applicable requirement.

**12.4.1** A Master or Chief Engineer with a minimum of three (3) years of experience in that role on a DP-equipped vessel (using the time calculation methodology found in Section **23.6.1**).

**12.4.1.1** The requirement of Section **12.4.1** can also be met by: A Mate or Engineer with a minimum of four (4) years of experience in that role on a DP-equipped vessel.

**12.4.1.2** The requirements of Section **12.4.1** can be met via a minimum of three (3) years experience conducting DP vessel surveys for a recognized classification society or an organization that provides warranty or quality assurance audits of DP-equipped vessels.

**12.4.2** Has conducted at least one (1) Failure Modes and Effects Analysis within the last two (2) years on a DP-equipped vessel while an employee of or a contractor for a recognized company or society.

**12.4.2.1** The requirements of Section **12.4.2** can be met if an Auditor has served as the second auditor on at least two (2) Failure Modes and Effects Analysis within the last two (2) years, provided the first auditor was fully approved by and an employee of, or a contractor for, a recognized company or society.

**12.4.2.2** The requirements of Section **12.4.2** can be met if an Auditor has conducted at least three (3) audits of DP-equipped vessels in the last two (2) years while an employee of, or a contractor for, a recognized company or society.

**12.4.2.3** The requirements of Section **12.4.2** can be met if an Auditor served as the second auditor on at least six (6) audits of DP-equipped vessels in the last two (2) years provided the first auditor was fully approved by and an employee of, or a contractor for, a recognized company or society.

**12.4.3 Documentation.** To prove the individual meets the entry requirements for Auditor, Maritime Emphasis, the OSVDPA shall accept as proof of this experience:

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- 12.4.3.1 To document the experience required by Section **12.4.1** or Section **12.4.1.1**, the OSVDPA shall accept a correctly completed, internationally recognized logbook accompanied by a sea service letter signed by an individual serving as a President, Vice President for personnel/human resources, Vice President for operations, Personnel Director, Marine Superintendent, or Operations Manager of a Vessel Operator or other employer of mariners.
- 12.4.3.2 To document the experience required by Section **12.4.1.2**, the OSVDPA shall accept a letter from at least two (2) Vessel Operators (Section **4.43**) attesting to the quality of the services provided by the individual. This letter must be signed by a Principal (Section **4.33**) for said Vessel Operators.
- 12.4.3.3 The OSVDPA shall accept as proof of an individual meeting Sections **12.4.2** or Section **12.4.2.1**, a copy of the first page of the FMEA conducted by the individual, provided such document includes the name and IMO number of the vessel, the Vessel Operator, the Auditor's name, and the name of the Auditor's employer.
- 12.4.3.4 The OSVDPA shall accept as proof of an individual meeting Section **12.4.2.2** or Section **12.4.2.3**, a copy of the first page of the audits conducted by the individual, provided each such document includes the name and IMO number of the vessel, the Vessel Operator, the Auditor's name, and the name of the Auditor's employer
- 12.4.3.5 If an individual meets the requirements of Section **12.4.2**, or one of the alternative means of compliance listed below this section, but cannot provide this experience, he or she should contact the OSVDPA and find a source of proof that works for both parties.

**12.5 Entry Requirements: Auditor, Training Requirements Emphasis.** In order to apply to be an OSVDPA-Approved Auditor, Training Requirements Emphasis, the individual must meet and be able to document experience meeting the below-listed requirements. **Note:** For each of the requirements to become an Auditor, the OSVDPA provides means of alternative compliance. Such means are listed below under the applicable requirement.

- 12.5.1 A Certified Instructor (Section **4.16**) with a minimum of two (2) years DP instruction experience, (using the time calculation methodology found in Section **23.6.2**.)
- 12.5.1.1 The requirements of Section **12.5.1** can be met if an Auditor has been approved by a Flag State to conduct a maritime training course.

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- 12.5.1.2 The requirements of Section **12.5.1** can be met if an Auditor has successfully completed a course based on IMO Model Course Number 6.09, *Training Course for Instructors*, (“Train the Trainer”), and a course meeting the requirements of Appendix 2 of IMCA M 117, Rev. 1, “The Training and Experience of Key DP Personnel”.
- 12.5.1.3 The requirements of Section **12.5.1** can be met if an Auditor has been an instructor for three (3) years (using the time calculation methodology found in Section **23.6.2**), of maritime courses at an accredited maritime institution of higher learning, including but not limited to a state or federal maritime academy.
- 12.5.2 Has conducted at least one (1) DP training center audit within the last two (2) years.
- 12.5.2.1 The requirements of Section **12.5.2** can be met if an Auditor has observed the entirety of an audit of a DP Training Provider, including all items in Section **12.10.1**, **12.10.3**, and **12.10.4** as detailed by the OSVDPA or a similar accreditation process as detailed by another DPO certification scheme.
- 12.5.2.2 The requirements of Section **12.5.2** can be met if an Auditor has served as a DP Instructor for a Training Provider during the Training Provider’s Accreditation (Section **8**) or Reaccreditation (Section **9**) as defined by the OSVDPA, or an equivalent process as defined by another recognized DPO certification scheme.
- 12.5.2.3 The requirements of Section **12.5.2** can be met if an Auditor has been approved by a Flag State to audit maritime training courses.
- 12.5.3 Has received training in DP simulators.
- 12.5.3.1 The requirements of Section **12.5.3** can be met if an Auditor has at least two (2) years of experience (using the time calculation methodology found in Section **23.6.4**) of DP simulator assembly, installation, or maintenance while working for an internationally known DP simulator manufacturer or servicer.
- 12.5.3.2 The requirements of Section **12.5.3** can be met if an Auditor has at least three (3) years of experience (using the time calculation methodology found in Section **23.6.4**) in the operation, assembly, installation, or maintenance of non-DP maritime simulators.

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12.5.3.3 The requirements of Section **12.5.3** can be met if an Auditor has at least three (3) years of experience (using the time calculation methodology found in Section **23.6.4**) involved in the operation of DP simulators, including the set up and execution of simulations.

12.5.4 **Documentation.** To prove the individual meets the entry requirements for Auditor, Training Requirements Emphasis, the OSVDPA shall accept as proof of this experience:

12.5.4.1 The OSVDPA shall accept as proof of an individual meeting the requirements of Section **12.5.1** any of the following documentation (applicants only need to provide one (1) document):

12.5.4.1.1 A correctly completed logbook from an internationally recognized organization detailing the courses the instructor has conducted,

12.5.4.1.2 A letter from a Training Provider accredited by the OSVDPA or another recognized DPO certification scheme proving the individual has the required experience, or

12.5.4.1.3 Other official documentation, such as a course schedule, published by a Training Provider accredited by the OSVDPA or another recognized DPO certification scheme which lists the individual as conducting DP instruction course over the required amount of time.

12.5.4.2 The OSVDPA shall accept as proof of an individual meeting the requirements of Section **12.5.2** or Section **12.5.2.1** any of the following documentation (applicants only need to provide one (1) of the following):

12.5.4.2.1 A letter attesting to the individual's participation in an accreditation audit from a Principal (Section **4.33**) or Certified Instructor (Section **4.16**) of that Training Provider.

12.5.4.2.2 A letter attesting to the individual's participation in an accreditation audit from a Principal of the company which performed the audit.

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12.5.4.2.3 Any official form or document produced by the company that conducted the audit or the DPO certification scheme, or other authority for which the accreditation audit was completed, provided this form or document details the individual's participation in or observation of the accreditation audit.

12.5.4.3 The OSVDPA shall accept as proof of an individual meeting the requirements of Section **12.5.3**, a letter from a Principal of a DP simulator manufacturer or installer attesting to the individual's knowledge of DP simulators.

12.5.4.4 The OSVDPA shall accept as proof of an individual meeting the requirements of Section **12.5.1.1**, the certificate, credential, or approval letter issued by the Flag State certifying that the individual has been approved to conduct the course.

12.5.4.5 The OSVDPA shall accept as proof of an individual meeting the requirements of Section **12.5.1.2**, the course completion certificates for each of the courses required by this section.

12.5.4.6 The OSVDPA shall accept as proof of an individual meeting the requirements of Sections **12.5.1.3** or **12.5.2.2** any of the following:

12.5.4.6.1 A correctly completed logbook from an internationally recognized organization detailing the courses the instructor has conducted,

12.5.4.6.2 Official documentation, such as a course schedule published by the maritime academy or accredited institution of higher learning listing the individual as being an instructor for the amount of time required, or

12.5.4.6.3 A letter attesting to the individual's service as an instructor, for the amount of time required, from a Principal of the maritime academy or accredited institution of higher learning.

12.5.4.7 The OSVDPA shall accept as proof of an individual meeting the requirements of Section **12.5.2.3**, a certificate from the Flag State that approved the individual to be an auditor of training programs.

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12.5.4.8 The OSVDPA shall accept a letter from a Principal of the simulator manufacturer or installer attesting that the individual has the experience required by Section **12.5.3.1** or Section **12.5.3.2**, an indication that the requirements listed in these sections have been met.

12.5.4.9 The OSVDPA shall accept as proof of an individual meeting the requirements of Section **12.5.3.3**, a letter from a Principal of a Training Provider accredited by the OSVDPA or another recognized DPO certification scheme attesting that the individual has gained the required experience.

12.6 **Application for Auditor Approval.** An individual meeting the requirements of Section **12.5** and seeking a position as an OSVDPA-Approved Auditor, shall submit a Form AA-1-CV, the Auditor Application (Current Version) along with the required attachments.

12.6.1 Once received, the OSVDPA shall evaluate the Form AA-1-CV and the attachments.

12.6.1.1 If the OSVDPA finds that an individual meets the requirements of Section **12.5**, the OSVDPA shall provide the individual with a Form AA-2-CV, the Auditor Application Acceptance (Current Version).

12.6.1.2 If the OSVDPA finds that a prospective auditor does not meet the requirements of Section **12.5**, the OSVDPA shall respond with a specific list of deficiencies.

12.6.2 **Appeals.** The OSVDPA's decision on a prospective auditor's ability to enter the auditor training program is subject to appeal under the procedures found in Section **25**.

12.7 **OSVDPA Auditor Training Course Registration.**

12.7.1 Once an individual receives Form AA-2-CV, the Auditor Application Acceptance (Current Version) from the OSVDPA, he or she shall be able to register for an OSVDPA Auditor Training Course (Section **12.8**).

12.7.2 The OSVDPA shall hold as many OSVDPA Auditor Training Courses as it designates as necessary to successfully accomplish the goals of the OSVDPA DPO Certification Scheme. The OSVDPA, in its own discretion, may refuse to hold OSVDPA Auditor Training Courses during a given time period.

12.7.3 The OSVDPA shall announce the dates and locations of the OSVDPA Auditor Training Courses on its website, and shall inform all of those who have received a Form AA-2-CV via written communication.

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12.7.4 Receipt of a Form AA-2-CV does not guarantee an individual a spot in an OSVDPA Auditor Training Course. These courses are booked on a “first-come-first-served basis”.

12.7.5 To reserve a spot in an OSVDPA Auditor Training Course, an individual must register for the course with the OSVDPA. Upon registration the individual shall be invoiced for Fee A-3, the Auditor Certification, as listed in OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version). Payment of this fee shall be the only way to reserve a spot in the OSVDPA Auditor Training Course.

## **12.8 OSVDPA Auditor Training Course.**

12.8.1 To become an OSVDPA-Approved Auditor, an individual must successfully complete an OSVDPA Auditor Training Course.

12.8.2 The OSVDPA Auditor Training Course shall consist of a one (1) or two (2) day course spanning no less than eight (8) hours of instruction.

12.8.3 The purpose of the OSVDPA Auditor Training Course shall be to familiarize prospective auditors with the OSVDPA DPO Certification Scheme, the requirements and responsibilities of OSVDPA-Approved Auditors, the forms utilized by the OSVDPA, and other procedures utilized by the OSVDPA.

12.8.4 The OSVDPA Auditor Training Course shall be conducted by an approved instructor who is fully knowledgeable about the requirements of the OSVDPA DPO Certification Scheme.

12.8.5 The curriculum of the OSVDPA Auditor Training Course shall include but is not limited to:

12.8.5.1 The Rights and Responsibilities of all parties within the OSVDPA (Section **6**),

12.8.5.2 Accreditation (Section **7**) as an OSVDPA Training Provider, including, the Accreditation Process (Section **8**); Reaccreditation Process (Section **9**); and a review of all standards, requirements, forms and site visits,

12.8.5.3 Accepted Unclassed Vessels (AUV) (Section **15**), including the OSVDPA requirements for AUVs, the AUV application process, inspection process, and reporting process,

12.8.5.4 The OSVDPA Appeals Process (Section **25**),

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12.8.5.5 The process utilized by the OSVDPA to reimburse Auditors, including reimbursable expenses and use of the Form EER-CV, the OSVDPA External Expense Report (Current Version), and

12.8.5.6 General procedures and requirements of OSVDPA-Approved Auditors, including impartiality (Section **12.11**), Recusal (Section **12.11.5**), Revocation of Auditor Approval (Section **12.14**), the Annual Requirements and Review Process (Section **12.16**), and OSVDPA Auditor Re-Approval (Section **12.17**).

12.8.6 To pass the OSVDPA Auditor Training Course, an individual must.

12.8.6.1 Be present for no less than ninety-five (95) percent of the instruction time of the course,

12.8.6.2 In the discretion of the course instructor, actively participate in the class, and

12.8.6.3 At the conclusion of the course, demonstrate a detailed knowledge of the OSVDPA DPO Certification Scheme, its requirements, policies and procedures as well as the associated policies and procedures regarding Training Providers, vessels utilized in training or assessments, and other items requiring audits.

12.8.7 Individuals not meeting the above-listed requirements shall be required to re-register and retake the OSVDPA Auditor Training Course. Such individuals shall not be required to submit a new Form AA-1-CV (Section **12.6**) or repay Fee A-3, as listed in the OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version).

## **12.9 Certifying and Contracting with Auditors.**

12.9.1 Individuals who have passed the OSVDPA Auditor Training Course (Section **12.8**) shall be provided with Form AA-3-CV, the OSVDPA Auditor Approval Certificate (Current Version). This certificate shall contain the Auditor's name, OSVDPA Auditor ID Number, and the date on which certificate was issued. This certificate shall also describe the emphasis of the Auditor. As such, the OSVDPA encourages the Auditor to utilize the certificate as proof of his or her ability to conduct audits.

12.9.2 Form AA-3-CV shall be valid for three (3) years from the date issued on the form, provided the Auditor remains in good standing with the OSVDPA and continues to meet the requirements of Section **12.16**.

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- 12.9.3 Along with Form AA-3-CV, the auditor shall be provided a copy of Form AA-4-CV, the OSVDPA Auditor Contract (Current Version) for the Auditor's signature. A summary of the major provisions of this contract is included below, however, nothing in this manual shall supersede the provisions of Form AA-4-CV. This contract specifies that the Auditor is an independent contractor of the OSVDPA, the current day rate paid to Auditors; a requirement that Auditors protect the trade secrets; confidential information; and Personal Identifying Information (Section **4.28**) of those they encounter as OSVDPA-Approved Auditors; indemnification of the OSVDPA; and insurance requirements.
- 12.9.4 Once an Auditor signs the Form AA-4-CV, they shall be listed in the OSVDPA database. When in need of an auditing service, the OSVDPA shall search the database, find the Auditors with the appropriate emphasis in the appropriate geographic area and offer these Auditors the opportunity to conduct the contract. The first Auditor that responds shall be utilized.
- 12.10 **Responsibilities.** The OSVDPA utilizes Auditors, as needed, to perform the following services. As stated in Section **12.3**, the OSVDPA shall attempt to contract with an Auditor that has been approved by the OSVDPA as an Auditor with an area of emphasis that matches the task(s) described in the below sections.
- 12.10.1 **Accreditation In-Depth Review.** During the Accreditation of Training Providers (Section **8**), the OSVDPA might contract with one (1) or two (2) Auditors, to conduct the In-Depth Review (Section **8.6.4**). In this effort, the OSVDPA shall provide preference to Auditors, Training Requirements Emphasis (Section **12.5**).
- 12.10.1.1 During this process the Auditor shall be responsible for reviewing the information contained in the Request for Accreditation (RFA) to ensure the information complies with the standards and requirements of the OSVDPA.
- 12.10.1.2 During this process the Auditor shall also be noting items that should be investigated during the site visit (Section **8.7**) or items which may cause the OSVDPA to issue a decision of Not Accredited (Section **8.8.1**) or Conditional Accreditation (Section **8.8.2**).
- 12.10.1.3 During the In-Depth Review, the Auditor shall report to the OSVDPA Executive Director or the individual the OSVDPA Executive Director designates as the team leader.

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12.10.2 **Review of the Request for Reaccreditation.** During the Reaccreditation of Training Providers (Section **9**), the OSVDPA might contract with one (1) or two (2) Auditors. In this effort, the OSVDPA shall provide preference to Auditors, Training Requirements Emphasis (Section **12.5**) to conduct the Review of the Request for Reaccreditation (Section **9.6.2**). If the OSVDPA utilizes Auditors for this activity, it shall do so for the purposes and under the procedures listed in Section **12.10.1**.

12.10.3 **Site Visit.** During the Accreditation Process (Section **8**) and the Reaccreditation Process (Section **9**), the OSVDPA might contract with one (1) or two (2) Auditors to conduct the site visit (Section **8.7** during the Accreditation Process and Section **9.7** during the Reaccreditation Process). In this effort, the OSVDPA shall provide preference to Auditors, Training Requirements Emphasis (Section **12.5**).

12.10.3.1 During this process the Auditor(s) shall be responsible for determining if the information contained in the Request for Accreditation is accurate,

12.10.3.2 Ensuring the Training Provider's instructors meet the requirements of Section **11**,

12.10.3.3 Investigating any issues which arose during the In-Depth Review (Section **8.6.4**) or During the Review of the Request for Reaccreditation (Section **9.6.2**),

12.10.3.4 Only in rare instances shall the OSVDPA contract with different Auditors to conduct the different parts of a Request for Accreditation or Request for Reaccreditation as those Auditors it utilized for the activities described in Section **12.10.1**, or **12.10.2**, as they relate to the Accreditation or Reaccreditation of a specific Training Provider.

12.10.3.5 The OSVDPA shall select an Auditor to contract with for the site visit based upon the Auditor's understanding, experience, and expertise in training programs, curriculums, and simulators. Specifically, one of the Auditors the OSVDPA designates shall have specific knowledge about DP simulators.

12.10.3.6 During the site visit, the Auditor shall report to the OSVDPA Executive Director or the individual the OSVDPA Executive Director designates as the team leader.

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12.10.4 **OSVDPA Findings Report.** During the Accreditation Process (Section **9**), the OSVDPA might contract with one (1) or two (2) Auditors to draft a Form FR-1-CV, the OSVDPA Findings Report Accreditation (Current Version) (Section **8.8**) during the Accreditation Process and Section **9.8** during the Reaccreditation Process. In this effort, the OSVDPA shall provide preference to Auditors, Training Requirements Emphasis (Section **12.5**).

12.10.4.1 When utilized for this process, all findings, directives, suggestions, or other changes included in the Form FR-1-CV shall be first approved by the OSVDPA.

12.10.4.2 Only in rare instances shall the OSVDPA contract with different Auditors to conduct the different parts of a Request for Accreditation or Request for Reaccreditation as those Auditors it utilized for the activities described in Section **12.10.1**, Section **12.10.2**, or Section **12.10.3** as they relate to the Accreditation or Reaccreditation of a specific Training Provider.

12.10.5 **Accepted Unclassed Vessels.** During the process described in Section **15**, the OSVDPA might contract with an Auditor to conduct an audit of the vessel's system and related documentation. In this effort, the OSVDPA shall provide preference to Auditors, Maritime Emphasis (Section **12.4**) to conduct all of, or a portion of, the vessel audit.

12.10.6 **Spot Audits.** The OSVDPA might contract with one (1) or two (2) Auditor(s) to conduct spot audits of an OSVDPA-Accredited Training Provider (Section **7.6**). In this effort, the OSVDPA shall provide preference to Auditors, Training Requirements Emphasis (Section **12.5**). The OSVDPA may periodically conduct spot audits of an Accredited Training Provider.

12.10.7 **Annual Review (Training Provider).** The OSVDPA might contract with one (1) Auditor to conduct the Annual Review of a Training Provider (Section **7.4**). In this effort, the OSVDPA shall provide preference to Auditors, Training Requirements Emphasis (Section **12.5**). Specifically, the OSVDPA will require the Auditor to review and analyze the information contained in the Form AR-1-CV, the Training Provider Annual Review Form (Current Version).

12.10.8 **Annual Review (Vessel Operator).** The OSVDPA might contract with one (1) Auditor to conduct the Annual Review of a Vessel Operator (Section **13.7**). In this effort, the OSVDPA shall provide preference to Auditors, Maritime Emphasis (Section **12.4**). Specifically, the OSVDPA will require the Auditor to review and analyze the information contained in Form AR-2-CV, the Vessel Operator Annual Review (Current Version).

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12.10.9 **Annual Trial Review.** The OSVDPA might contract with one (1) Auditor to review the information submitted by the vessel owner or operator of an AUV in Form AUV-3-CV, the OSVDPA Annual Trial Submission (Current Version) (Section **15.10**). In this effort, the OSVDPA shall provide preference to Auditors, Maritime Emphasis (Section **12.4**).

12.10.10 **Other Related Purposes.** The OSVDPA may contract with Auditors for purposes related to the above or the OSVDPA DPO Certification Scheme, including, but not limited to review of DPO certificate applications.

12.11 **Auditor Impartiality.** The OSVDPA utilizes Auditors to ensure that Training and Certification Partners (Section **4.41**) and assets meet the standards set forth by the OSVDPA. As part of this process, the OSVDPA recognizes that Auditors must remain impartial in order for Training and Certification Partners and consumers of the OSVDPA's products to have confidence in the OSVDPA DPO Certification Scheme. To achieve this goal, the OSVDPA seeks an audit system which embodies impartiality in its actions and appearance. When attempting to contract with an Auditor for a purpose detailed in Section **12.10**, the OSVDPA shall not contract with an Auditor having a relationship with the subject meeting one (1) of the below-listed prohibitions.

12.11.1 The OSVDPA shall not contract with an Auditor that has a financial interest (Section **4.28**) in the subject of the audit.

12.11.2 The OSVDPA shall not contract with an Auditor that has provided consultancy services to the subject of an audit within the last five (5) years.

12.11.3 For Training Providers, the OSVDPA shall not contract with an Auditor employed by an entity that is currently a Related Entity (Section **10.4.2**) or part of a Partnership (Section **10.4.1**) of the Training Provider.

12.11.4 For the spot audit (Section **7.6**) of a Training Provider, the OSVDPA shall not contract with an Auditor that conducted the Training Provider's most recent accreditation or reaccreditation.

12.11.5 **Employee Relationships.** In addition to the above-listed prohibited relationships, the OSVDPA requests Auditors recuse themselves from conducting an audit if the Auditor has a relationship with an employee of the subject of an audit that compromises their ability to provide an impartial audit or provides the appearance of compromising their ability of providing an impartial audit.

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### 12.12 Auditor Recusal Procedures and Remedies for Audit Subjects.

- 12.12.1 When attempting to contract with an Auditor for a responsibility listed in Section **12.10**, the OSVDPA shall disclose as much information about the subject of the audit as possible, possibly including but not limited to, the name of the subject of the audit, the location of the audit, the name of the subject of the audit's Principal (Section **4.33**), and/or the names of integral employees of the subject of the audit (i.e. instructors, vessel masters, etc.).
- 12.12.2 Prior to accepting and signing the contract from the OSVDPA, the Auditor shall review and consider the above-listed information to ensure his or her acceptance of the audit contract from the OSVDPA does not violate Section **12.11**, the contract will require the Auditor to attest to this fact (to the best of his or her knowledge).
- 12.12.3 If during the contract review the Auditor finds a relationship or situation that would violate Section **12.11** if agreed to, the Auditor should inform the OSVDPA that he or she is not accepting the contract for this reason.
- 12.12.4 The OSVDPA welcomes questions from Auditors on this point and will provide on-the-record and off-the-record guidance to Auditors regarding the Auditor's impartiality.
- 12.12.5 If an Auditor has signed an audit contract with the OSVDPA and subsequently determines that an existing or newly discovered relationship between the Auditor and the subject of an audit (or an employee thereof) exists that violates Section **12.11** or which make the Auditor believe a recusal is necessary, the Auditor shall stop conducting work and notify the OSVDPA Executive Director in writing of the Auditor's request of recusal. Such notification shall include:
- 12.12.5.1 A description of the relationship or events that make recusal necessary,
  - 12.12.5.2 State what work remains to be completed on the audit in question,
  - 12.12.5.3 Turn over to the OSVDPA Executive Director all records, reports, and documents resulting from the audit contract, and
  - 12.12.5.4 A timesheet detailing how much work has already been spent by the Auditor on the contract.
- 12.12.6 After receiving and reviewing a recusal request from an ongoing audit, the OSVDPA Executive Director shall investigate the relationship or situation to see if recusal is appropriate.

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12.12.6.1 If the OSVDPA Executive Director determines that a cause for recusal does exist, he or she shall process payment for the work already completed, along with all expenses incurred, documented, and approved on Form EER-CV, the OSVDPA External Expense Report (Current Version), contract with a new Auditor, and notify the subject of the audit that a new Auditor shall be taking over.

12.12.6.2 If the OSVDPA Executive Director determines that a cause for recusal is not readily apparent, he or she shall notify the Auditor of this decision and direct him or her to continue work.

12.12.7 **Impartiality Concerns from the Subject of Audit.** The OSVDPA shall carefully consider and investigate any notification from the subject of an audit that the Auditor assigned to conduct the audit represented a violation of Section **12.11**.

12.12.7.1 The OSVDPA urges Training and Certification Partners to notify the OSVDPA when the Training and Certification Partner is scheduled to be, or currently is, the subject of an OSVDPA audit who has a relationship with the Training and Certification Partner that meets the prohibitions listed in Section **12.11**.

12.12.7.2 To make such a notification, the Principal (Section **4.33**) shall contact the OSVDPA Executive Director in writing to notify the OSVDPA of the situation. Such notification shall include a description of the relationship or event(s) that make the subject of the audit believe an impartial audit cannot be conducted, or that the audit shall not appear to be impartial.

12.12.7.3 After receiving and reviewing a notification, the OSVDPA Executive Director shall conduct an investigation to determination if the audit meets the OSVDPA requirements for Auditor impartiality.

12.12.7.4 The Auditor subject to an investigation may, at any time during an investigation, ask to be removed from the audit. Such request shall not end the investigation.

12.12.7.5 Once the investigation is concluded, the OSVDPA Executive Director shall report the result to the Training and Certification Partner's Principal (Section **4.33**). The outcome of this report shall reach one (1) of the two (2) decisions detailed below.

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12.12.7.5.1 **Finding of a lack of impartiality or the appearance of a lack of impartiality.** If the OSVDPA Executive Director determines that the relationship between the Auditor and the subject of the audit, or events surrounding the audit in question, violate Section **12.11**, the OSVDPA shall notify the subject of the audit and the Auditor of the finding (and justification therefore) and provide the subject of the audit an opportunity to have a new audit conducted. The OSVDPA may also inform the Auditor that it has started a formal investigation of the Auditor (Section **12.15.2**) and request that the Auditor turn over any files regarding the audit to the OSVDPA.

12.12.7.5.2 **Finding of proper impartiality.** If the OSVDPA Executive Director determines that the relationship between the Auditor and the subject of the audit, or events surrounding the audit in question, does not violate Section **12.11**, the OSVDPA shall notify the subject of the audit and the Auditor of the finding (and justification therefore). Such notification shall direct the Auditor to complete the audit. Such notification may allow the subject of an audit to request that the audit be continued with a new Auditor, however, such a request must be made with the understanding that the subject of the audit must pay an additional fee.

12.13 **No Other Viable Option.** The OSVDPA understands that in limited instances it shall be incapable of contracting with an Auditor who has the proper emphasis (Section **12.3**) for the task, who also does not represent a violation of Section **12.11**. If the OSVDPA is prevented from utilizing more paid staff to cover the audit described above, the OSVDPA shall use the procedures listed below to ensure a timely and high standard audit can be performed.

12.13.1 Broaden the search for an Auditor by opening the search to OSVDPA-Approved Auditors, Maritime Emphasis (Section **12.4**) for audits of training activities and opening up the search for a maritime audit to OSVDPA-Approved Auditors, Training Requirements Emphasis (Section **12.5**).

12.13.2 If the OSVDPA is unable to secure an Auditor by broadening the search, the OSVDPA shall attempt to contract with Auditors that it would normally be a violation of Section **12.11**.

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12.13.3 If the OSVDPA is unable to secure an Auditor by the procedures listed above, then it shall attempt to increase the day rate provided to the Auditors from above the level listed at on Form AA-4-CV, the OSVDPA Auditor Contract (Current Version).

12.13.4 If the OSVDPA is required to pay an increased day rate, the OSVDPA shall not require the subject of an audit to pay more than what is required by the appropriate fee as listed in OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version). This step shall only be utilized if the subject of the audit agrees to the increase.

12.13.5 If the OSVDPA is still unable to contract with an OSVDPA-Approved Auditor and utilizing OSVDPA staff resources continues to be an unviable option, the OSVDPA shall inform the subject of the audit that the entity shall need to wait for an Auditor to become available. Such a notice shall be accompanied by an estimate of when the audit can be conducted.

#### **12.14 Auditor Fraud.**

12.14.1 As stated in Section **6.3.6**, as the Scheme Owner, the OSVDPA takes responsibility for investigating, determining, and punishing those who commit fraud. The OSVDPA's reserving of this right does not alleviate the necessity of all OSVDPA Training and Certification Partners from assisting in the fraud protection, discovery, and eradication effort. OSVDPA retains the right to revoke the certification, accreditation, enrollment, approval, or membership of any person or entity that the OSVDPA feels has not fully engaged in the fraud protection, discovery, and eradication effort.

12.14.2 **Auditors committing fraud.** An OSVDPA-Approved Auditor found via the OSVDPA investigation described in Section **12.15.2** to have committed or attempted to commit fraud during, or relating to, an OSVDPA audit shall have their Auditor approval revoked under the procedures of Section **12.15** and shall not be able to re-apply to the scheme for a period of no less than two (2) years. If the Auditor reapplies, they must do so under the procedures of Section **12.6** and retake the OSVDPA Auditor Training Course (Section **12.8**).

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12.14.3 **Other entities or individuals engaging in fraudulent activities.** Training and Certification Partners found via a Section 12.15.2 investigation to be assisting, coercing, or forcing Auditors to engage in fraudulent activities shall lose their OSVDPA accreditation, enrollment, certification, or approval, and shall not be able to re-enter the scheme for a period of no less than two (2) years. If the entity or individual decided to reapply for accreditation, enrollment, certification, or approval, they shall not be provided any credit for the entity or individual's previous experience or expenses.

12.14.4 Auditing fraud or attempted auditing fraud should be reported to the OSVDPA Executive Director as soon as discovered. Such a report should include all available evidence, all suspected Training and Certification Partners believed to be involved in the fraud, how the fraud was discovered, and the actions the party reporting the fraud has taken. The individual or entity that reports said notice to the OSVDPA should attempt to take steps to ensure that any records that might be used by the OSVDPA as evidence are preserved.

12.14.5 Once all information is received, the OSVDPA may conduct an official investigation under the procedures found in Section 12.15.2.

## **12.15 Revocation of Auditor Approval.**

12.15.1 Following a Section 12.15.2 investigation, the OSVDPA reserves the right to revoke the approval provided to the Auditor for the following reasons. Any of these revocations are subject to appeals via the procedures in Section 25.

12.15.1.1 Failure to abide by the responsibilities of an Auditor as listed in Section 6.7,

12.15.1.2 A breach of the terms and conditions of Form AA-4-CV, the OSVDPA Auditor Contract (Current Version) as described in Section 12.9.3,

12.15.1.3 The Auditor committed or participated in a fraudulent activity as specified in Section 12.14.2,

12.15.1.4 An Auditor's failure to recuse him or herself from an audit where a relationship constricted or appeared to constrict the Auditor from conducting an impartial audit, see Section 12.11, or

12.15.1.5 Failure to follow the Annual Requirements and Review Process as listed in Section 12.16.

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### 12.15.2 Investigation.

12.15.2.1 All investigations are conducted by the OSVDPA Board of Directors, or its designee, with the OSVDPA Executive Director, or his or her designee serving as the administrator for the investigation.

12.15.2.2 If the OSVDPA Board of Directors has reasonable cause to believe that an Auditor has engaged in a prohibited activity, the Board shall inform the Auditor of the basis for such belief and afford the Auditor an opportunity to explain the alleged violation.

12.15.2.3 If, after hearing the response and making such further investigation as may be warranted in the circumstances, the OSVDPA Board of Directors, or its designee determines the Auditor has engaged in an impermissible activity that warrants revocation of approval, it shall revoke approval.

12.15.2.4 If approval is revoked, any fees paid to the OSVDPA by the Auditor shall not be repaid.

12.15.3 If an Auditor has their approval revoked, they shall not be allowed to reapply for OSVDPA Membership for a period of no less than two (2) years.

12.15.4 All revocation decisions shall be appealable under Section **25**.

12.15.5 The audits conducted by an Auditor that subsequently has his or her approval revoked shall stand. However, the subject of these audits can request that a new audit be conducted at the OSVDPA's expense.

12.15.6 If an Auditor has his or her approval revoked while he or she is conducting an OSVDPA audit, the OSVDPA shall assign a new Auditor to the project and notify the subject of the audit of the change.

**12.16 Annual Requirements and Review Process.** There are three (3) annual requirements for Auditors in order to keep their OSVDPA approval current. All three (3) of these requirements must be satisfied by the anniversary of the date printed on the Auditor's Form AA-3-CV, the OSVDPA Auditor Approval Certificate (Current Version).

12.16.1 In order to keep an OSVDPA-Approved Auditor approval current, Auditors shall be required to conduct at least one (1) audit (as defined by Section **12.10**).

12.16.1.1 The OSVDPA shall waive the requirement in Section **12.16.1** for Auditors that were not contacted by the OSVDPA under Section **12.9.4** to conduct an audit during the course of a year.

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- 12.16.2 Auditors shall also be responsible for submitting a Form AR-3-CV, the Auditor Annual Review (Current Version). This form shall record, in largest part the number of times he or she was contacted by the OSVDPA, the number of audits completed, number of times the Auditor had to recuse him or herself, a description of any fraud encountered, a description of any changes to the OSVDPA DPO Certification Scheme that are suggested, and if the Auditor is applying for re-approval.
- 12.16.3 In order to be accepted, Form AR-3-CV must be accompanied by Fee A-4 as listed in OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version). This fee covers the costs incurred by the OSVDPA in compiling the information contained on each Auditor's annual review.
- 12.16.4 A failure to satisfy the above-listed requirements shall result in the suspension of the Auditor's approval. Such suspension shall last for ninety (90) days unless the Form AR-3-CV is received prior to that date.
- 12.16.5 If at the end of the suspension period mentioned in Section **12.16.4**, the OSVDPA shall revoke the Auditor's approval under the procedures listed in Section **12.15**
- 12.17 **Auditor Re-Approval.** As stated in Section **12.9.2**, an Auditor's approval is valid for three (3) years from the date listed on the Form AA-3-CV, the OSVDPA Auditor Approval Certificate (Current Version). The OSVDPA shall not accept audits performed by this individual three (3) years and thirty (30) days after the day listed on this form, provided the Auditor has not lost their approval under Section **12.15**.
- 12.17.1 **Re-Approval Process.** The re-approval process shall be conducted under the same policies and procedures as Section **12.6**, except for the following provisions:
- 12.17.1.1 For Auditors seeking Re-Approval, the OSVDPA shall accept as proof of experience required by Section **12.5.4**, a correctly completed and submitted Form AR-3-CV, the Auditor Annual Review (Current Version) for each of the last (2) years.
- 12.17.1.1.1 Auditors seeking to transfer from one area of emphasis to the other area of emphasis or add the other area of emphasis to their approval shall be required to prove they meet the requirements of the new area of emphasis via the documentation required in Section **12.5.4**.
- 12.17.1.2 Auditors seeking Re-Approval shall not be required to submit a Form AA-1-CV, the Auditor Application Form, (Current Version) (Section **12.6.1**). Instead, the Auditor is directed to check the "applying for Re-Approval" box on their most recent Form AR-3-CV (Section **12.16.2**).

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12.17.1.3 As stated in Section **12.16.3**, Auditors submitting their Form AR-3-CV shall not be responsible for paying Fee A-4, as listed in the OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version), as the Auditors are required to submit Fee A-3 with their Form AR-3-CV during their Re-Application process.

12.17.1.4 Once the OSVDPA has approved the Auditor's Form AR-3-CV, the Auditors shall be provided the ability to register for a future OSVDPA Auditor Training Course (Section **12.8**). If a course is not being held or if an Auditor cannot reasonably make it to a training course in the near future, the OSVDPA may (at its discretion) conditionally extend the Auditor's approval under after the next course held in the Auditor's geographic area.

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### **13 Vessel Operator Enrollment in the OSVDPA.**

#### **13.1 Purpose and Summary.**

13.1.1 In order to conduct assessments (Section **21**) onboard a vessel, a Vessel Operator (Section **4.43**) must be Enrolled in the OSVDPA (Section **13.4**). To enroll, a Vessel Operator must complete Form VO-1-CV, the Vessel Operator Enrollment Application (Current Version) (Section **13.6**) and be approved by the OSVDPA. Once enrolled, a Vessel Operator will need to complete the annual self-certification process (Section **13.7**) and complete a Form AR-2-CV, the Vessel Operator Annual Review (Current Version) (Section **13.8**), which provides the Vessel Operator a single place to describe the majority of possible changes in the Vessel Operator's operation that are relevant to the OSVDPA DPO Certification Scheme. Other changes require immediate notification or approval from the OSVDPA; these changes are listed in Section **13.9**. Once a Vessel Operator is enrolled in the OSVDPA, they do not have to complete a re-enrollment process, however, it is possible for the Vessel Operator to lose their Enrollment status if it violates the policies and procedures set forth by the OSVDPA. The process for the removal or revocation of enrollment is contained in Section **13.10**. The OSVDPA recognizes that in the future, further requirements may be placed on Vessel Operators. If such requirements are enacted by the OSVDPA, the OSVDPA shall provide no less than two (2) years to the previously enrolled Vessel Operators to adhere to the new procedures (Section **13.11**)

#### **13.2 References.**

- 13.2.1 Section **4**: Definitions.
- 13.2.2 Section **6**: Roles and Responsibilities.
- 13.2.3 Section **8**: Accreditation Process.
- 13.2.4 Section **10**: Multiple Facilities, Partnerships, and Joint-Ventures.
- 13.2.5 Section **12**: Auditor Standards.
- 13.2.6 Section **14**: Utilization of Classed Vessels for OSVDPA Training and Certification Activities.
- 13.2.7 Section **21**: Assessment Policy.
- 13.2.8 Section **22**: DPO Certificate Application Procedures.
- 13.2.9 Section **25**: OSVDPA Appeals Process.

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13.2.10 Form AR-2-CV, the Vessel Operator Annual Review (Current Version).

13.2.11 Form AUV-1-CV, the AUV Audit Application (Current Version).

13.2.12 Form AUV-3-CV, the OSVDPA Annual Trial Submission (Current Version).

13.2.13 Form CVA-1-CV, the Classed Vessel Approval (Current Version).

13.2.14 Form DPO-1-CV, Training and Certification Activities Confirmation Letter, (Current Version).

13.2.15 Form P-2-CV, Participant Rights and Responsibilities Acknowledgement (Current Version).

13.2.16 Form P-3-CV, Participant Supervisory Rights and Responsibility Acknowledgment (Current Version).

13.2.17 Form P4A-1-CV, the Phase 4 Assessment Report (Current Version).

13.2.18 Form P5A-1-CV, the Phase 5 Assessment Report (Current Version).

13.2.19 Form VO-1-CV, the Vessel Operator Enrollment Application (Current Version).

13.2.20 Form VO-2-CV, the Vessel Operator Enrollment Certification (Current Version).

13.2.21 OSVDPA FS-1-CV, the OSVDPA Fee Schedule, (Current Version).

### 13.3 **Vessel Operator Enrollment Fraud.**

13.3.1 As stated in Section **6.3.6**, as the Scheme Owner, the OSVDPA takes responsibility for investigating, determining, and punishing those who commit fraud. The OSVDPA's reserving of this right does not alleviate the necessity of all scheme participants from assisting in the fraud protection, discovery, and eradication effort. The OSVDPA retains the right to revoke the certification, accreditation, enrollment, approval, or membership of any person or entity that the OSVDPA feels has not fully engaged in the fraud protection, discovery, and eradication effort.

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- 13.3.2 An individual or entity found via the OSVDPA investigation described in Section **13.3.5** to have committed or attempted to commit fraud during or relating to the OSVDPA Vessel Operator Enrollment process shall lose their OSVDPA approval or be denied entry to the OSVDPA DPO Certification Scheme for a period of no less than two (2) years. If the individual or entity reapplies after this time, they must do so under the standard procedures and shall not be provided credit for any previous OSVDPA activities, payments, or expenses.
- 13.3.3 Vessel Operator Enrollment fraud or attempted Vessel Operator Enrollment fraud should be reported to the OSVDPA Executive Director as soon as discovered. Such a report should include all available evidence, all suspected certification scheme participants believed to be involved in the fraud, how the fraud was discovered, and the actions the party reporting the fraud has taken.
- 13.3.4 If it is a Vessel Operator that submits the Section **13.3.3** notice to the OSVDPA, the entity shall take steps to ensure that any records that might be used by the OSVDPA as evidence are preserved.
- 13.3.5 Once the notice is received, the OSVDPA shall conduct its own investigation. This investigation shall include reviewing the evidence received in the notice and conducting interviews with those who might have knowledge of the fraud.
- 13.3.6 Any person or entity found to have engaged in fraud and punished by the OSVDPA shall be able to appeal this decision under the procedures found in Section **25**.

#### **13.4 Enrollment Requirements.**

- 13.4.1 The OSVDPA's system is predicated upon repeated assessments of the DPO or Prospective DPOs to ensure the DPO or Prospective DPO can complete the competencies that are taught during the OSVDPA DPO Certification Scheme. The Phase 4 (Section **21.8**), Phase 5 (Section **21.9**), and Revalidation Assessments (Section **23.5**) can be completed by the Vessel Operator on an Accepted Unclassed Vessel (AUV Section **4.4**) or a vessel with a DP class notation, if the Vessel Operator is Enrolled in the OSVDPA.
- 13.4.2 The OSVDPA shall accept still Training and Certification Activities (Section **4.40**) conducted on vessels which are not operated by Enrolled Vessel Operators, provided all other applicable requirements have been adhered to.

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13.4.3 Enrollment also allows a Vessel Operator (if approved by the OSVDPA) to utilize a self-generated sea service confirmation letter instead of the standardized Form DPO-1-CV, the Training and Certification Activities Confirmation Letter (Current Version). To be approved by the OSVDPA, this letter must meet the following minimum standards:

13.4.3.1 The first page of the letter must be printed on the Vessel Operator's official letterhead on file with the OSVDPA.

13.4.3.2 The letter must be dated after the last day of Training and Certification Activities claimed by the DPO or Prospective DPO on the relevant application.

13.4.3.3 The letter must list the DPO or Prospective DPO's name in all capital letters in the following format (LAST NAME, FIRST NAME, MIDDLE INITIAL) and list this individual's date of birth. These references must be included in the first paragraph of the letter.

13.4.3.4 Include the following text:

*We, [INSERT COMPANY NAME] certify that [INSERT DPO OR PROSPECTIVE DPO'S NAME] is/was employed by our company and served aboard our vessels. We have reviewed his or her logbook(s) against our records and verify that Sea Time and Practical Experience recorded therein is a true and accurate representation of his or her service, conducted and recorded in accordance with the OSVDPA's requirements as listed in OSVDPA MPP-1-CV, the OSVDPA Manual of Policies and Procedures (Current Version).*

13.4.3.5 Detail the amount of time the DPO or Prospective DPO spent aboard each vessel served upon within the Vessel Operator's fleet. This time must list the following factors:

13.4.3.5.1 The date the DPO or Prospective DPO got onto and off of the vessel,

13.4.3.5.2 The Phase the DPO or Prospective DPO was completing when the time was recorded (or if the time was completed for revalidation),

13.4.3.5.3 The vessel name and IMO or official number,

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- 13.4.3.5.4 The DP equipment class as provided by a recognized classification society, or the notation “AUV” for an Accepted Unclassed Vessel with a valid AUV Documentation (Section **4.12**),
- 13.4.3.5.5 The position held aboard the vessel, and
- 13.4.3.5.6 The number of days of Sea Time (Section **4.38**) recorded during this period.
- 13.4.3.6 A tally compiling the amount of Sea Time days accrued above (compiled by Phase and DP class).
- 13.4.3.7 A notation if any of above-listed time required Enhanced Verification (Section **19.8.3.4**). If such a notation is included, the letter must contain the following (with an indication of which step was utilized) in a separate section of the letter. This section must be signed by a Qualified on Board Assessor (QOBA) (Section **4.37**).

*To ensure this DPO or Prospective DPO has accomplished the training goals of the OSVDPA DPO Certification Scheme, we were required to take enhanced verification measures, specifically, the following step(s) was/were taken:*

*The DPO or Prospective DPO's relevant assessment(s) were conducted by an independent Qualified on Board Assessor (QOBA) not employed by the Vessel Operator.*

*The DPO or Prospective DPO conducted the relevant assessment(s) at an OSVDPA-Accredited Training Center operated by an independent Training Provider.*

*The DPO or Prospective DPO's relevant assessment(s) were conducted by a QOBA that has not served with the DPO or Prospective DPO for a period of more than two (2) years.*

*An independent observation of the relevant assessment(s) was conducted by an individual with knowledge of DP operations (i.e., Operations Manager, Vessel Superintendent).*

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*The Vessel Operator has had the individual's logbook and assessment report form(s) reviewed by a QOBA that has not served with the individual for a period of more than two (2) years. The reviewing QOBA found the Training and Certification Activities and assessments were conducted according to the OSVDPA requirements.*

*The Vessel Operator took other steps to ensure the competency of the DPO or Prospective DPO, such are listed below.*

- 13.4.3.8 A notation at the bottom of the last page stating, "*Per the OSVDPA's approval, this letter serves the function and purpose of Form DPO-1-CV, the Training and Certification Activities Confirmation Letter (Current Version).*"

### 13.5 **Enrollment Process.**

- 13.5.1 To enroll in the OSVDPA, a Vessel Operator must submit and secure OSVDPA approval via Form VO-1-CV (Section **13.6**), the Vessel Operator Enrollment Application (Current Version).
- 13.5.2 The OSVDPA shall only begin the process of reviewing a Form VO-1-CV, when it has received payment of Fee VO-1, as listed in OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version).
- 13.5.2.1 The OSVDPA warns Vessel Operators that other fees may be required to complete the enrollment process.
- 13.5.2.2 Fee VO-1 is waived for Vessel Operators that submit a Form AUV-1-CV, the AUV Audit Application (Current Version) and the associated fee, Fee AUV-1, along with their enrollment application. This waiver does not alleviate the Vessel Operator from complying with the requirements of this section.
- 13.5.3 Following the review of all information contained in Form VO-1-CV, the OSVDPA shall issue one (1) of three (3) decisions to the Vessel Operator.

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13.5.3.1 **Enrolled.** If the OSVDPA finds that a Vessel Operator has met all of the requirements, the OSVDPA shall provide the Vessel Operator with a Form VO-2-CV, the Vessel Operator Enrollment Certification (Current Version). This form allows the Vessel Operator to begin conducting OSVDPA Assessments and (if requested by the Vessel Operator and approved by the OSVDPA) utilizing their own sea service confirmation letter in lieu of Form DPO-1-CV.

13.5.3.2 **Provisional Enrollment.**

13.5.3.2.1 If the OSVDPA finds that the Vessel Operator has met the majority of the requirements to be an Enrolled Vessel Operator but has a few small deficiencies, the OSVDPA shall issue a Form VO-2-CV providing Provisional Enrollment.

13.5.3.2.2 Provisional Enrollment provides all of the rights and responsibilities as full enrollment.

13.5.3.2.3 A Form VO-2-CV which provides a Provisional Enrollment decision shall list the specific deficiencies that must be addressed by the Vessel Operator, specific instructions for addressing these deficiencies, and the timetable that these deficiencies must be addressed by. Unless otherwise stated on Form VO-2-CV, Provisional Enrollment shall be valid for 120 days from the date listed on the form.

13.5.3.2.4 Such a decision may be accompanied by the requirement that the Vessel Operator pay additional fees, as detailed in OSVDPA FS-1-CV, depending upon the amount of review and instruction that the OSVDPA is required to provide to the Vessel Operator.

13.5.3.3 **Not Enrolled.** If the OSVDPA finds that a Vessel Operator has significant deficiencies, the OSVDPA shall issue a decision of Not Enrolled. Such decision shall be accompanied by a specific list of the deficiencies and instructions for addressing these deficiencies.

13.5.4 All OSVDPA decisions made as part of the enrollment process are subject to appeal under the provisions listed in Section 25.

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13.6 **Form VO-1-CV.** Form VO-1-CV, the Vessel Operator Enrollment Application (Current Version), requests the following information from Vessel Operators that are applying for recognition by the OSVDPA. This information, along with all attachments required by Form VO-1-CV, is summarized below.

13.6.1 The form asks if the Vessel Operator has any Related Entities (Section **10.4.2**) or Partnerships (Section **10.4.1**). **Note.** Vessel Operators that have a Related Entity or Partnership that is a Training Provider (Section **4.42**) must seek Accreditation for the Training Provider under the policies and procedures listed in Section **8**. Nothing in the Vessel Operator process will affect that process.

13.6.2 The form provides the option to upload a sample of the sea service confirmation letter for the OSVDPA's approval. If approved, the Vessel Operator shall use this letter instead of Form DPO-1-CV, the Training and Certification Activities Confirmation Letter (Current Version) to confirm a Prospective DPO or DPO's Sea Time. The form also asks for the names of the individual (s) who will sign Form DPO-1-CV (or equivalent sea service letters). These individuals must meet the definition of Section **22.8.2**

13.6.3 Form VO-1-CV requires Vessel Operators to provide to the OSVDPA a copy of the company's internal procedures for the conducting of OSVDPA Assessments under the Vessel Operator's control. At a minimum, these policies and procedures must include the following points:

13.6.3.1 State that for OSVDPA Assessments, the Vessel Operator will abide by the OSVDPA policies and procedures governing onboard assessments (See Section **21.6**, Section **21.8**, and Section **21.9**).

13.6.3.1.1 This statement must include a reference to how the Vessel Operator will protect the confidentiality of the OSVDPA Assessment materials.

13.6.3.2 Describe how the Vessel Operator will accomplish the requirements of Section **21.3**, specifically, who will be responsible for collecting and compiling the information required by Section **21.3** and submitting this information to the OSVDPA as part of the Vessel Operator's Self Certification Approval.

13.6.4 Form VO-1-CV requests the Vessel Operator supply (or provide examples of or summarize the DP requirements of) the operations manuals, decision support tools (ASOGs, CAM/TAM), standing orders, and client instructions utilized aboard the vessels in the Vessel Operator's fleet.

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- 13.6.5 Form VO-1-CV provides a space to upload an official copy of the Vessel Operator's letterhead that they will use for official correspondence with the OSVDPA.
- 13.6.6 Form VO-1-CV also includes a Strategic Relationship Agreement that must be signed by the Principal of the Vessel Operator. This portion of the form provides the OSVDPA with indemnification, states that the Vessel Operator will hold the standards of the OSVDPA, follow the OSVDPA's policies, and protect the OSVDPA's intellectual property.
- 13.6.7 The OSVDPA requests that the Vessel Operator list all geographic areas of operation that it engages in as a DP vessel operator.
- 13.6.8 The OSVDPA also requests, but does not require, that Vessel Operators provide a list to the OSVDPA of their DP-equipped vessels to assist and expedite the OSVDPA in verifying the Training and Certification Activities recorded by Prospective DPOs or DPOs.

### 13.7 **Annual Review Requirement.**

- 13.7.1 Between nine (9) and 15 months after the date printed on Form VO-2-CV, the Vessel Operator Enrollment Certification (Current Version), or the most recent Form VO-4-CV, the Vessel Operator Annual Review Approval (Current Version), the Vessel Operator must submit and secure approval from the OSVDPA of a Form AR-2-CV, the Vessel Operator Annual Review (Current Version).
- 13.7.2 The OSVDPA shall not review Form AR-2-CV until it has received Fee VO-2, the Vessel Operator Supplemental Review, as detailed in the OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version), along with any other fees charged by the OSVDPA.
- 13.7.3 The OSVDPA cannot guarantee that it will review and approve a Form AR-2-CV submitted less than 60 days prior to a Vessel Operator's deadline. As such, the OSVDPA strongly recommends that a Form AR-2-CV be submitted no later than 13 months after the date printed on the Vessel Operator's Form VO-2-CV.
- 13.7.4 Once received, the OSVDPA shall review the information contained in Form AR-2-CV and approve this form as complete or incomplete. The OSVDPA's decision regarding the Vessel Operator's Form AR-2-CV shall be transmitted by the OSVDPA via Form VO-4-CV, the Vessel Operator Self Certification Approval, (Current Version). This form shall relay one of two (2) responses.

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13.7.4.1 **Approved.** If the OSVDPA finds that all of the information required by Form AR-2-CV has been provided by the Vessel Operator, and that all of this information meets the OSVDPA's requirements, the OSVDPA shall return a decision of "approved" on the Vessel Operator's Form VO-4-CV.

13.7.4.2 **Not Approved.** If the OSVDPA finds that the Vessel Operator's Form AR-2-CV is lacking required information, or that the information provided does not meet the OSVDPA's requirements, the OSVDPA shall return a decision of "not approved" on the Vessel Operator's Form VO-4-CV. Such decision shall be accompanied by a specific list of deficiencies and actions required to address these deficiencies.

13.7.4.2.1 For Vessel Operators that receive a Form VO-4-CV, the OSVDPA may include—at its sole discretion—an extension to the Vessel Operator's deadline to secure an approved VO-4-CV. Such extension, if provided, shall be appropriate to the changes required by the OSVDPA.

13.7.4.3 Failure to submit or receive approval from the OSVDPA of a Form AR-2-CV shall prevent the Vessel Operator from being able to conduct assessments aboard their vessels.

13.7.4.4 All OSVDPA decisions related to approval of a Form AR-2-CV are subject to appeals under the procedures set forth in Section **25**.

13.8 **Form AR-2-CV.** The information requested by Form AR-2-CV, the Vessel Operator Annual Review (Current Version) is summarized here.

13.8.1 Any changes to the business name, Related Entities and Partnerships (Section **10.4**), or executive leadership (including changes to Principal (Section **4.33**) or Point of Contact (Section **4.31**)).

13.8.2 A review of all changes made during the course of the year to the individual allowed to complete and sign Form DPO-1-CV, Training and Certification Activities Confirmation Letter (Current Version).

13.8.3 Any changes to the Vessel Operator's internal procedures relating to OSVDPA assessments conducted aboard vessels in the Vessel Operator's fleet.

13.8.4 Any changes to the Vessel Operator's letterhead or official logo.

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- 13.8.5 **Vessels.** Form AR-2-CV requests the following information regarding vessels to be submitted (Accepted Unclassed Vessels (Section **4.4**) do not have to be included due to their annual requirements).
- 13.8.5.1 A certification that there have been no changes to the vessel's stamp, or provide an updated copy of the vessel's stamp.
- 13.8.5.2 A certification that the Vessel Operator has reviewed the vessels listed in the OSVDPA Vessel Database and the information contained therein remains accurate. If such certification cannot be made, the Vessel Operator should change the information in the OSVDPA Vessel Database and list the date the change was effective.
- 13.8.5.3 Form AR-2-CV encourages Vessel Operators to list (or update their previously submitted list) of all of their DP vessels, see Section **13.6.8** for more information.
- 13.8.6 **Assessments.** As required by Section **21.3.1**, Form AR-2-CV also requires the Vessel Operator to include a review of the assessments the Vessel Operator has conducted, or allowed to be conducted, on its vessels. Specifically, this review asks the following questions.
- 13.8.6.1 Consistent problems, ambiguities, or other issues with an assessment scenario, assessment item or other portion of an assessment.
- 13.8.6.2 An estimate of how many assessments were conducted via an OSVDPA assessment scenario and how many assessments were conducted via an assessment standing order.
- 13.8.6.3 A space for the Vessel Operator to include its analysis of the missed/unanswered questions. This analysis is not required, however, it is requested to determine if there is a pattern of incorrectly completed or not attempted/answered questions and exercises, and if there is a pattern to determine if the pattern is caused by the question or the exercise, the training the Prospective DPO or DPO receives, or other factors.
- 13.8.6.4 Additional assessment items or scenarios the Vessel Operator would like to see added to the OSVDPA assessment system.
- 13.8.7 A review of all official complaints the Vessel Operator received from Training and Certification Partners (Section **4.41**), if the Vessel Operator has taken any steps to address these complaints (if possible), and if there are any steps that the OSVDPA must take to address these complaints.

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13.8.8 A review of all instances of fraud or suspected fraud relating to the OSVDPA DPO Certification Scheme that the Vessel Operator encountered over the course of the year. This review shall include a report of how each case of fraud or suspected fraud was handled by the Vessel Operator, and any vulnerabilities the Vessel Operator has observed in the OSVDPA DPO Certification Scheme.

13.8.9 Form AR-2-CV must be signed by the Principal (Section **4.33**) for the Vessel Operator.

13.9 **Mid-Year Changes and Requirements.** In addition to the annual requirements imposed on the Vessel Operator, via the submission of Form AR-2-CV, the Vessel Operator Annual Review (Current Version), the following items require notification and/or approval from the OSVDPA during the course of the year. Failure of a Vessel Operator to submit the notification or secure the OSVDPA's approval (as dictated by the pertinent section of regulations referenced below) may result in the loss of the Vessel Operator's Enrollment Status.

13.9.1 **Personnel Changes.**

13.9.1.1 As soon as practical, notification is required if an individual, approved to sign DPO-1-CV, Training and Certification Activities Confirmation Letter (Current Version) leaves the employment of a Vessel Operator. The Vessel Operator shall inform the OSVDPA of this change, due to the fact that these individuals have the ability to access the OSVDPA Database. Once notified, the OSVDPA shall immediately suspend the individual's access to the OSVDPA Database.

13.9.1.2 Notification is required if the Point of Contact (Section **4.31**) leaves the employment of a Vessel Operator.

13.9.1.3 Notification is suggested if the Principal (Section **4.33**) leaves the employment of the Vessel Operator.

13.9.1.4 Anytime a Vessel Operator seeks to have a new individual approved to sign Form DPO-1-CV, the Vessel Operator shall submit the information required by Section **22.8.2** to the OSVDPA.

13.9.2 **Other Notifications.**

13.9.2.1 A Vessel Operator should notify the OSVDPA as soon as practical anytime the Vessel Operator adopts a new logo or letterhead. Notification should include clear examples of the new versions, provide information about how these new logos or letterheads will be used, and when the change took place or will take place.

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13.9.2.2 A Vessel Operator should notify the OSVDPA as soon as practical anytime the Vessel Operator adopts a new vessel stamp for a vessel that is listed within the OSVDPA Vessel Database. Notification should include clear examples of when the change was made and who has access to the old vessel stamp.

### **13.10 Loss of Enrollment Status.**

13.10.1 As stated above, failure to follow the policies and procedures set forth by this section, and the related sections, may result in a Vessel Operator losing its Enrollment Status.

13.10.1.1 The OSVDPA will transmit a decision of Loss of Enrollment Status to the Principal (Section **4.33**) in writing. Such decision shall specify the reasons and justification for this decision, the timeline for the decision, and the steps the Vessel Operator must take to re-enroll in the OSVDPA.

13.10.1.2 Unless the Vessel Operator is losing its Enrollment due to fraudulent or attempted fraudulent activities against the OSVDPA DPO Certification Scheme, the period (if any is specified) declared by the OSVDPA before the Vessel Operator can reapply for Enrollment in the OSVDPA shall not exceed 18 months from the date listed on the notification.

13.10.2 OSVDPA decisions regarding the loss or revocation of Enrollment Status are subject to appeal under the procedures listed in Section **25**.

13.11 **Future Change in Enrollment Requirements.** If the OSVDPA adopts new or more stringent requirements for the Enrollment of Vessel Operators in the OSVDPA, previously Enrolled Vessel Operators will be notified of these procedures in writing, however, Vessel Operators shall not be required to comply with these new procedures immediately. Instead, the OSVDPA shall provide Vessel Operators no less than two (2) years to adopt to the new rules. This notification shall also provide specific procedures the OSVDPA shall accept as proof the Vessel Operator has adopted or conformed to the new procedures.

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## **14 Utilization of Classed Vessels for OSVDPA Activities.**

### **14.1 Purpose and Summary.**

14.1.1 **In General.** The OSVDPA shall accept Training and Certification Activities (Section **4.40**) that are conducted on a vessel with a DP class notation issued by a recognized classification society (Section **14.4**) or vessels approved by the OSVDPA as Accepted Unclassed Vessels (AUVs) (Section **4.4**). The OSVDPA maintains a database of vessels that have been previously utilized for Training and Certification Activities, called the OSVDPA Vessel Database (Section **14.6**). As detailed in Section **14.5**, the OSVDPA shall add vessels to this database as it considers DPO certificate applications and approves vessels as AUVs. To expedite the DPO certificate application process, the OSVDPA recommends Vessel Operators preemptively add its vessels to this database via the submission of a Form CVA-1-CV the Classed Vessel Application (Current Version) (Section **14.5.2**). The OSVDPA Vessel Database contains information about the vessel which allows the OSVDPA to verify if the information reported by DPOs and Prospective DPOs is accurate. The database is publicly searchable, however, vessel particulars are not disclosed. There are minor requirements of Vessel Operators to keep its vessels on the OSVDPA Vessel Database. Those requirements, as well as ways which vessels are no longer accepted by the OSVDPA, are listed in Section **14.7**.

14.1.2 **Limitation.** This section addresses only the OSVDPA policies and procedures for accepting vessels with a DP class notation as issued by a recognized classification society (See Section **14.4.1**). The policies and procedures related to the OSVDPA acceptance of vessels with unclassified DP systems are found in Section **15**.

### **14.2 References.**

14.2.1 Section **4**: Definitions.

14.2.2 Section **6**: Roles and Responsibilities.

14.2.3 Section **13**: Vessel Operator Enrollment in the OSVDPA.

14.2.4 Section **15**: Accepted Unclassed Vessels Policies and Procedures.

14.2.5 Section **22**: DPO Certificate Application Procedures.

14.2.6 Section **23**: DPO Certificate Revalidation Procedures.

14.2.7 Section **25**: OSVDPA Appeals Process.

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14.2.8 Form AR-2-CV, the Vessel Operator Annual Review (Current Version).

14.2.9 Form AUV-2-CV, the AUV Audit Result (Current Version).

14.2.10 Form AUV-3-CV, the AUV Annual Trial Submission (Current Version).

14.2.11 Form CVA-1-CV, the Classed Vessel Application (Current Version).

14.2.12 Form CVA-2-CV, the OSVDPA Certificate of Vessel Acceptance (Current Version).

14.2.13 Form P-1-CV, the Prospective DPO Approval (Current Version).

14.2.14 OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version).

14.2.15 OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version).

14.2.16 OSVDPA LB-2-CV, the OSVDPA Post-Scheme Logbook (Current Version).

14.2.17 IMO MSC/Cir. 645 *Guidelines for Vessels with Dynamic Positioning Systems*.

### 14.3 **Vessel Acceptance Fraud.**

14.3.1 As stated in Section **6.3.6**, as the Scheme Owner, the OSVDPA takes responsibility for investigating, determining, and punishing those who commit fraud. The OSVDPA's reserving of this right does not alleviate the necessity of all scheme participants from assisting in the fraud protection, discovery, and eradication effort. The OSVDPA retains the right to revoke the certification, accreditation, enrollment, approval, or membership of any person or entity that the OSVDPA feels has not fully engaged in the fraud protection, discovery, and eradication effort.

14.3.2 An individual or entity found via the OSVDPA investigation described in Section **14.3.5** to have committed or attempted to commit fraud during or relating to the OSVDPA acceptance of a vessel for the purposes of conducting OSVDPA DPO Training and Certification Activities shall lose their OSVDPA approval or be denied entry to the OSVDPA DPO Certification Scheme for a period of no less than two (2) years. If an individual or entity reapplies after this time, they must do so under the standard procedures and shall not be provided credit for any previous OSVDPA activities, payments, or expenses.

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14.3.3 Vessel acceptance fraud or attempted vessel acceptance fraud should be reported to the OSVDPA Executive Director as soon as discovered. Such a report should include all available evidence, all suspected certification scheme participants believed to be involved in the fraud, how the fraud was discovered, and the actions the party reporting the fraud has taken.

14.3.4 If it is a Vessel Operator that submits the Section **14.3.3** notice to the OSVDPA, the entity shall take steps to ensure that any records that might be used by the OSVDPA as evidence are preserved.

14.3.5 Once the notice is received, the OSVDPA shall conduct its own investigation. This investigation shall include reviewing the evidence received in the notice and conducting interviews with those who might have knowledge of the fraud.

14.3.6 Any person or entity found to have engaged in fraud and punished by the OSVDPA shall be able to appeal this decision under the procedures found in Section **25**.

#### 14.4 **Requirements for Acceptance.**

14.4.1 The OSVDPA shall accept Training and Certification Activities (Section **4.40**) conducted aboard vessels with a DP class notation meeting one (1) of the equipment classes listed in Section 2 of IMO MSC/Cir. 645 *Guidelines for Vessels with Dynamic Positioning Systems*, as issued by a recognized classification society.

14.4.1.1 While some classification societies offer a notation for a DP-0 defined by the OSVDPA as, “a vessel fitted with a centralized manual position control and automatic heading control system to maintain the position and heading under the specified maximum environmental conditions,” the OSVDPA does not recognize this classification as it does not meet one of the classes listed in IMO MSC/Circ.645. Instead, the OSVDPA will recognize DP-0 vessels under the procedures listed in Section **15**.

#### 14.5 **Processes for Adding Vessels to the OSVDPA Vessel Database.**

14.5.1 There are three (3) ways a vessel is added to the OSVDPA Vessel Database.

14.5.1.1 Via the awarding of AUV Documentation (Section **4.12**) to a vessel after that vessel has successfully passed an AUV Audit (Section **15**),

14.5.1.2 Via a Vessel Operator submitting a Form CVA-1-CV, the Classed Vessel Application (Current Version), or

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14.5.1.3 Via the OSVDPA adding the vessel to the OSVDPA Vessel Database after a DPO or Prospective DPO records and submits a Training or Certification Activity aboard the vessel.

#### 14.5.2 **Form CVA-1-CV, the Classed Vessel Application (Current Version).**

14.5.2.1 For vessels with a DP class notation, the preferred way to add a vessel to the OSVDPA Vessel Database is via the submission of Form CVA-1-CV, the Classed Vessel Application (Current Version). Submission of this form ensures the DPOs and Prospective DPOs that serve on this vessel do not face delays in their OSVDPA DPO Certificate approval or revalidation. Additionally, submitting—and securing OSVDPA approval of—a Form CVA-1-CV ensures DPOs and Prospective DPOs and DPOs do not see their Training and Certification Activities rejected by the OSVDPA due to an unaccepted vessel.

14.5.2.2 In general, Form CVA-1-CV requests general information which helps the OSVDPA identify and track the vessel as well as what DP system and related equipment are included on the vessel, thereby assisting the OSVDPA in verifying the accuracy of statements from DPOs and Prospective DPOs about what Training and Certification Activities (Section **4.40**) they were able to undertake

14.5.2.3 Once the Form CVA-1-CV has been submitted by the Vessel Operator, the OSVDPA shall review the information and verify this information against that contained on the classification society's website along with other publicly available sources of information.

14.5.2.4 If the OSVDPA is able to verify the information contained on Form CVA-1-CV is accurate and meets the requirements listed in Section **14.4.1**, the OSVDPA shall add the vessel to the OSVDPA Vessel Database and send to the Vessel Operator Form CVA-2-CV, the OSVDPA Certificate of Vessel Acceptance (Current Version).

14.5.2.4.1 The OSVDPA has the option of approving a vessel and adding it to the OSVDPA Vessel Database without approving all of the information contained in the Form CVA-1-CV. For example, if the OSVDPA is unable to verify if a vessel has a certain reference system, but the vessel meets the qualifications, the vessel shall be listed on the OSVDPA Vessel Database, but that reference system shall not be listed.

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14.5.2.4.2 The OSVDPA's decision as to if a vessel meets the requirements listed in Section **14.4.1** is a decision subject to appeal under the procedures listed in Section **25**. In instances where the OSVDPA rules that a vessel does not meet the requirements listed in Section **14.4.1**, it shall notify the Vessel Operator of this decision and the fact that the Vessel Operator has the ability to appeal the decision.

### 14.5.3 **Adding a Vessel via Verification of a Prospective DPO or DPO's Training or Certification Activities.**

14.5.3.1 As stated in the OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version) and OSVDPA LB-2-CV, the OSVDPA Post-Scheme Logbook (Current Version), the OSVDPA strongly encourages DPOs and Prospective DPOs to check the OSVDPA Vessel Database (Section **19.8.5.1**) to ensure the vessel they will be serving upon, or anticipate serving upon, is accepted by the OSVDPA. If a DPO or Prospective DPO does not find their vessel listed on the OSVDPA Vessel Database, the OSVDPA urges the DPO or Prospective DPO to contact the Vessel Operator to have them complete a Form CVA-1-CV, the Classed Vessel Application (Current Version) for the purposes of adding the vessel to the database.

14.5.3.2 The OSVDPA cautions DPOs and Prospective DPOs that the only Training and Certification Activities guaranteed to be accepted by the OSVDPA are those undertaken aboard a vessel listed on the OSVDPA Vessel Database.

14.5.3.3 If the OSVDPA encounters a DPO or Prospective DPO's logbook that includes Training and Certification Activities completed aboard a vessel not listed on the OSVDPA Vessel Database, the OSVDPA shall determine if these Training and Certification Activities can be counted by the OSVDPA by reviewing information on the applicable classification society's website, reviewing information from the Flag State of the vessel, making inquiries with the Vessel Operator, and reviewing information on other publicly available sources. If during this process the OSVDPA determines that a vessel meets the requirements of Section **14.4.1**, it shall add the vessel to the OSVDPA Vessel Database and approve the Training and Certification Activities of the DPO or Prospective DPO that submitted this vessel.

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14.5.3.4 If the OSVDPA is not able to determine that the vessel meets the requirements of Section **14.4.1**, notice shall be provided to the DPO or Prospective DPO submitting the Training and Certification Activities. This decision is subject to appeal under the procedures found in Section **25**.

#### 14.6 OSVDPA Vessel Database.

14.6.1 The OSVDPA Vessel Database is a list of all vessels on which the OSVDPA accepts Training and Certification Activities (Section **4.40**). The database lists the following information about each vessel.

14.6.1.1 Vessel Name (and any previous names), IMO Number or Official Number, and Class Number.

14.6.1.2 Vessel Owner and Vessel Operator.

14.6.1.3 Flag State and Port of Registry.

14.6.1.4 Vessel Type and category (as listed in SOLAS, MARPOL, ISM, Etc.).

14.6.1.5 Delivery Date and Classification Date.

14.6.1.6 DP System Manufacturer and DP System Model Name, number or other identifier.

14.6.1.7 Make and model numbers for the DP systems, subsystems, and components related to DP operations.

14.6.1.8 An uploaded copy of the vessel's stamp.

14.6.1.9 The vessel's Form AUV-2-CV, the AUV Audit Result (Current Version) and the most recent copy of the Form AUV-3-CV, the AUV Annual Trial Submission (Current Version) (if applicable).

14.6.1.10 Date added to the OSVDPA Vessel Database and any date that Training or Certification Activities will no longer be accepted on the vessel.

14.6.1.11 For vessels which the OSVDPA no longer accepts Training and Certification Activities, a reason the vessel is no longer accepted.

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14.6.2 For the purposes of ensuring Training and Certification Partners (Section **4.41**) know what Training and Certification Activities (Section **4.40**) are going to be accepted by the OSVDPA, the OSVDPA Vessel Database is on the OSVDPA website, however, the particulars of the vessel are not publicly searchable.

#### 14.7 **Maintaining a Vessel as Accepted on the OSVDPA Vessel Database.**

14.7.1 Once a vessel is listed on the OSVDPA Vessel Database, it shall remain on the database. However, the OSVDPA may change the vessel's status from accepted or unaccepted. The OSVDPA keeps unaccepted vessels on the database for a record of when Training and Certification Activities (Section **4.40**) were accepted on the vessel.

14.7.2 For vessels accepted on to the OSVDPA Vessel Database under Section **14.5**, the vessel shall remain accepted by the OSVDPA unless the OSVDPA finds cause to stop accepting Training and Certification Activities conducted aboard the vessel. Causes for a vessel to be removed from the accepted portion of the OSVDPA Vessel Database include:

14.7.2.1 The Vessel Operator does not submit a Form AR-2-CV, the Vessel Operator Annual Review (Current Version) (Section **13.8**). Failure to submit such a statement shall cause the OSVDPA to stop accepting Training and Certification Activities on all of that Vessel Operator's vessels.

14.7.2.2 The Vessel Operator informs the OSVDPA that it has sold or transferred the vessel to another Vessel Operator and that Vessel Operator has not taken steps to keep the vessel on the OSVDPA Vessel Database.

14.7.2.3 The Vessel Operator informs the OSVDPA that the vessel no longer meets the requirements of Section **14.4**.

14.7.2.4 The Vessel Operator does not secure a Form AUV-4-CV, the AUV Annual Trial Acceptance Form (Current Version) within the requirements of Section **15.10.1.3**.

14.7.2.5 The OSVDPA finds that a Vessel Operator has failed to abide by the requirements of Section **15.12** or the OSVDPA finds that a Vessel Operator has committed other activities which necessitate the OSVDPA's removal of all of the Vessel Operator's vessels from the list of accepted vessels.

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14.7.2.6 The OSVDPA finds that a vessel no longer meets the qualifications of Section **14.4** but such status was not related to the OSVDPA by the Vessel Operator or included in the Vessel Operator's annual Review statement. In this occurrence, the OSVDPA shall remove all of the vessels from the accepted vessels list that are owned by the Vessel Operator in question.

14.7.3 **Vessel Related Annual Review Requirements.** As part of the Vessel Operator Annual Self Certification Approval (**13.7**), Vessel Operators are required to submit the following information on Form AR-2-CV, the Vessel Operator Annual Review (Current Version).

14.7.3.1 Vessel Operators are asked to self-certify that all information listed on the OSVDPA Vessel Database regarding their vessels is current and accurate or detail and describe all changes made to the OSVDPA Vessel Database and list the date the changes were effective.

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## **15 Accepted Unclassed Vessel Policies and Procedures.**

### **15.1 Purpose and Summary.**

15.1.1 **In General.** The OSVDPA shall accept Sea Time (Section **4.38**) and Practical Experience (Section **4.32**) accrued, and Phase 4B Assessments (Section **21.8**) conducted on, a DP equipped vessel lacking a DP class notation from a recognized classification society, provided the Vessel Operator submits the vessel to an audit of the DP system, its capabilities, and associated documentation by an OSVDPA-Approved Auditor (Section **12**). This audit shall determine if the vessel's DP system and method of operation have similar capabilities to that of a vessel with a DP class notation. Once a vessel has passed the audit, it shall be added to the OSVDPA's Vessel Database. After the vessel is listed as an AUV, DPOs and Prospective DPOs shall be allowed to use the vessel for all Training and Certification Activities (Section **4.40**) which shall be counted as time equivalent to a DP-1 vessel. To keep the vessel enrolled as an AUV, the Vessel Operator must submit the vessel's annual trial results every year (Section **15.10.2**), revalidate the vessel's AUV audit every five (5) years, and subject the vessel to a new AUV audit after every significant retrofit (Section **4.39**). Failure to abide by these requirements shall result in the OSVDPA halting the acceptance of Training and Certification Activities recorded on that vessel.

### **15.2 References.**

- 15.2.1 Section **4**: Definitions.
- 15.2.2 Section **12**: Auditor Standards.
- 15.2.3 Section **21**: Assessment Policy.
- 15.2.4 Section **25**: OSVDPA Appeals Process.
- 15.2.5 Form AUV-1-CV, the AUV Audit Application (Current Version).
- 15.2.6 Form AUV-2-CV, the AUV Audit Results Form, Current Version.
- 15.2.7 Form AUV-3-CV, the OSVDPA Annual Trial Submission (Current Version).
- 15.2.8 Form AUV-5-CV, the Significant Retrofit Declaration (Current Version).
- 15.2.9 OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version).

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### 15.3 Accepted Unclassed Vessels and the Use of AUVs for OSVDPA Activities.

- 15.3.1 As stated in Section **4.3**, an Accepted Unclassed Vessel (AUV) is a vessel without an official DP class notation issued by a recognized classification society that is fitted with a Qualified Dynamic Positioning System (Section **15.4**). Such system must have a centralized manual position control and automatic heading control to maintain the vessel's position and heading under specified maximum environmental conditions. In order to receive AUV status, the vessel must pass an OSVDPA-approved audit (Section **4.10**), ensuring the vessel meets the OSVDPA's equipment, capability, and documentation requirements. DPOs and Prospective DPOs can use AUVs to accrue Training and Certification Activities (Section **4.40**) which are treated as having been completed on a vessel classed as a DP-1.
- 15.3.2 The OSVDPA accepts Training and Certification Activities conducted aboard an AUV, provided these items are completed in accordance with all applicable rules and regulations detailed in the appropriate sections.
- 15.3.3 Prospective DPOs that have passed the Phase 4B Assessment (Section **21.8.7**) aboard an AUV are provided a Class B DPO Certificate (Section **4.14.2**).
- 15.3.4 DPOs holding a Class B DPO Certificate earned utilizing an AUV for the Sea Time, Practical Experience, or Phase 4B Assessment, are allowed to upgrade their certificate to a Class A DPO Certificate (Section **4.14.3**) via the policies and procedures of Phase 5 (Upgrading) (Section **19.6**).
- 15.3.5 Under the same procedures found in Section **23**, Class B DPO Certificate holders are allowed to revalidate their DPO Certificate by counting Sea Time, Practical Experience and OSVDPA Assessments aboard an AUV regardless if their original Class B DPO Certificate was earned on an AUV.
- 15.4 **Qualified Dynamic Positioning System.** As stated in Section **4.3**, an Accepted Unclassed Vessel (AUV) must have a Qualified Dynamic Positioning System. A Qualified Dynamic Positioning System is, a hydrodynamic system which controls or maintains the position and heading of the vessel by centralized manual control or by automatic response to the variations of the environmental conditions within the specified limits and has or meets, at a minimum, the following requirements.
- 15.4.1 **Specified maximum environmental conditions.** The specified maximum environmental conditions are the specified wind speed, current and wave height under which the vessel is designed to carry out the intended operation.

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- 15.4.2 **Specified operating envelope.** The specified operating envelope is the area within which the vessel is required to maintain position for the intended operations under the specified maximum environmental conditions.
- 15.4.3 **Thruster Capacity.** AUV vessels are to have thrusters in number and of capacity sufficient to maintain position and heading under the specified maximum environmental conditions.
- 15.4.4 **Environment Sensor and Position Reference system.** AUV vessels are to have, as a minimum:
- 15.4.4.1 one (1) position reference system,
  - 15.4.4.2 one (1) wind sensor, and
  - 15.4.4.3 one (1) gyrocompass.
- 15.4.5 **Required Plans and Data.** In addition to the technical requirements listed above, a Qualified Dynamic Positioning System must be accompanied by the following plans and data. These items must be submitted for review under Section **15.7**:
- 15.4.5.1 System Description, including a block diagram showing how the various components are functionally related.
  - 15.4.5.2 Details of the position reference system and environmental monitoring systems.
  - 15.4.5.3 Location of thrusters and control system components.
  - 15.4.5.4 Details of the DP alarm system and any interconnection with the main alarm system.
  - 15.4.5.5 Automatic DP control and monitoring system.
  - 15.4.5.6 Environmental force calculations and design safe operating envelope.
  - 15.4.5.7 Thruster force calculations and predicted polar plots.
  - 15.4.5.8 **Operations Manual.** A DP vessel operations manual (or DP section of a vessel's larger operations manual) that, at a minimum, meets the requirements of an industry-accepted best practice

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15.4.5.9 **Annual Trial.** A documented trial that, at a minimum, meets the recommendations of an industry-accepted best practice. The trial must be witnessed by a competent individual who is not in day-to-day control of the vessel or its DP system.

## 15.5 Application for Accepted Unclassed Vessel Documentation.

15.5.1 Vessel Operators that believe the DP systems installed on one (1) or more of their vessels meet the definition of a Qualified Dynamic Positioning System (Section **15.4**) are invited to apply for AUV Documentation. The OSVDPA offers to assist Vessel Operators during this process.

15.5.2 To apply for an AUV audit, the Vessel Operators shall complete Form AUV-1-CV, the AUV Audit Application (Current Version).

15.5.3 Once Form AUV-1-CV is completed, it should be submitted to the OSVDPA. Once received, the OSVDPA shall review the form and the information contained therein to ensure all of the requirements of the form are met.

15.5.4 Once the OSVDPA's review of Form AUV-1-CV is complete, the OSVDPA shall respond to the Vessel Operator's Point of Contact (Section **4.31**) to provide one of two (2) answers.

15.5.4.1 Notification that the vessel (s) passed initial review and are eligible to receive an AUV Audit. This notification shall be accompanied by an invoice for Fee AUV-1 as listed in OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version). Once the OSVDPA receives payment of this invoice, it shall request a list of available dates from the Vessel Operator and begin the process of scheduling an audit of the vessel under the procedures found in Section **15.6**.

15.5.4.2 Notification that the vessel did not pass initial review. This notification shall be accompanied by a list of deficiencies for the vessel. The OSVDPA shall work with Vessel Operators that receive this notification to ensure that if the vessel physically can pass initial review, the proper information is submitted. In rare instances, the OSVDPA may require Vessel Operators to pay Fee AUV-3 as listed in OSVDPA FS-1-CV or other amounts the OSVDPA finds to be appropriate for the additional assistance provided to the Vessel Operator. Such amounts shall only be invoiced if the assistance provided to the Vessel Operator results in the vessel passing the initial review.

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## 15.6 Scheduling of AUV Audit.

15.6.1 Once the OSVDPA receives the list of available dates, the OSVDPA shall begin the search for a OSVDPA-Approved Auditor or appropriately trained staff member to conduct the audit. In this process, the OSVDPA shall attempt to minimize the travel and lodging reimbursements a Vessel Operator is required to pay, thus the OSVDPA shall attempt to utilize staff only in situations where doing so is the most cost effective means of completing the audit.

15.6.1.1 In some instances, the OSVDPA may invoice the Vessel Operator Fee AUV-3 or other fees the OSVDPA feels are appropriate to cover the increased costs the OSVDPA incurs in finding or compensating an Auditor.

15.6.2 Once the OSVDPA has located an Auditor to perform the AUV Audit, the OSVDPA shall notify the Vessel Operator who the Auditor(s) shall be and shall put the parties in contact with each other so they can select a mutually agreeable date for the AUV Audit.

15.6.2.1 While the OSVDPA does not need to be involved in determining the date of an audit, the OSVDPA does require that both parties keep the OSVDPA informed of the date selection proceedings. These requirements are included to ensure that the OSVDPA's standards are upheld, that a situation which should require Auditor recusal (Section 12.12) does not develop, and to provide the OSVDPA with advanced notice.

15.6.3 If the Vessel Operator and the Auditor are incapable of finding a mutually agreeable date(s) for the AUV Audit to be conducted, the Vessel Operator shall notify the OSVDPA of this fact and the OSVDPA shall attempt to locate another Auditor under the procedures listed above.

15.6.3.1 In this instance, the OSVDPA is more likely to invoice the Vessel Operator for Fee AUV-3 or other fees the OSVDPA feels cover the increased costs the OSVDPA incurs in finding and utilizing an Auditor.

15.6.4 If the Vessel Operator is required to reschedule the AUV Audit, the Vessel Operator shall provide notice to the OSVDPA and the Auditor as soon as possible.

15.6.4.1 Failure to provide the OSVDPA notice of a change in schedule in a timely manner may result in the OSVDPA invoicing the Vessel Operator for Fee AUV-3 or other fees the OSVDPA feels cover any payments or reimbursements the OSVDPA has to provide to the Auditor.

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15.6.5 Under no circumstances is the Vessel Operator allowed to pay, compensate, or reimburse an Auditor directly. All payment and reimbursement of Auditors is handled by the OSVDPA. Failure on the Vessel Operator's part to abide by this section may cause the OSVDPA to nullify or revoke the vessel's AUV Documentation. In this case, the Vessel Operator shall be required to follow the procedures listed in Section **15.5** to apply for new AUV documentation.

15.6.5.1 In addition to the possible penalty listed above, if the OSVDPA has reason to suspect that a Vessel Operator paid, compensated, or reimbursed the Auditor performing the AUV Audit(s) for that Vessel Operator, or attempted to pay, compensate, or reimburse the Auditor performing the AUV Audit(s), the OSVDPA shall initiate fraud investigations under Section **6.8**.

15.6.5.2 If the OSVDPA suspects that an Auditor has solicited or attempted to solicit payment, compensation, or reimbursement from a Vessel Operator they were tasked with performing audits for, or if an Auditor intentionally fails to disclose payment, compensation, or reimbursement received from a Vessel Operator they are tasked with reviewing, the OSVDPA shall initiate fraud investigations under Section **6.8**.

15.6.6 During the entire physical audit, the OSVDPA shall require at least two (2) individuals employed by or contracted by the Vessel Operator to be present. At least one (1) of these individuals must be able to locate and operate every system and component listed on the Form AUV-1-CV. Failure to adhere to this requirement shall be considered as a failure of the AUV Audit.

15.7 **Audit Process.** The AUV Audit is a three-step process. The OSVDPA intends for this process to be completed in the order specified below, however, if scheduling difficulties prevent this intention from being realized, the Auditor may conduct the physical audit of the vessel first, if both parties agree to this arrangement.

15.7.1 During the AUV Audit, the Auditor shall track and report to the vessels owner or operator and to the OSVDPA his or her findings on Form AUV-2-CV, the AUV Audit Results (Current Version).

15.7.1.1 The purpose of Form AUV-2-CV is to ensure that all AUV Audits are conducted to the same standard. As such, the Auditor shall take care to ensure he or she follows the instructions and properly scores each item on the checklist contained in the form.

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- 15.7.1.2 An Auditor's failure to properly follow the OSVDPA's standards as contained in this document and on Form AUV-2-CV, shall be a point reviewable via an appeal (Section 25).
- 15.7.1.3 As many items contained on Form AUV-2-CV have differing but equal compliance methods, the Auditor shall take care to ensure they are familiar with, and applying, the correct standard. For example, as dictated by Section 15.4.5.8, a vessel's operations manual must meet "the requirements of an industry-accepted best practice" to meet the AUV operations manual requirement. The OSVDPA accepts operations manuals meeting the standards of MTS, IMCA, IMO, and recognized class societies, thus, the Auditor shall take care to ensure he or she understands which standard the Vessel Operator claims their operations manual meets and to evaluate the manual against that standard.
- 15.7.2 **Required Plans and Data.** Once an AUV Audit has been scheduled, the Vessel Operator shall transfer copies of the documents comprising the Required Plans and Data (see Section 15.4.5 for a list of these documents).
- 15.7.2.1 While the OSVDPA provides differing but equal compliance methods for many items under the Required Plans and Data portion of the Qualified Dynamic Positioning System requirements, all items listed in Section 15.4.5 must be present and must meet one (1) of the criteria listed on Form AUV-2-CV, the AUV Audit Results (Current Version).
- 15.7.3 **Physical Inspection.** Once the Auditor has verified the vessel has the Required Plans and Data, the Auditor shall proceed to conduct the physical inspection of the vessel, its DP system, and its components.
- 15.7.3.1 During the physical inspection portion of the Audit, the Auditor shall ensure that all items listed on Form AUV-1-CV as being part of the DP system, a related system, or component, are actually installed and functioning properly.
- 15.7.3.2 The Auditor shall not note or disqualify a vessel from gaining AUV Documentation due to a system or component that is not listed on Form AUV-1-CV but is on the vessel and not functioning or is functioning improperly, provided this system is not needed for the vessel to have a Qualified Dynamic Positioning System.

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- 15.7.3.3 The Auditor shall note on Form AUV-2-CV any system or component that is listed on the Form AUV-1-CV but is not found during the physical audit or is not found to be working. This notation may cause the vessel to fail the AUV Audit if it is determined that without this system or component the vessel does not meet the standards of a Qualified Dynamic Positioning System.
- 15.7.4 **DP Trial.** Once the Auditor has determined that the vessel has the required plans and has physically verified all required equipment is on the vessel and working properly, the Auditor shall observe a DP trial.
- 15.7.4.1 The purpose of the DP Trial is ensuring the DP system, sub-systems, and related systems are able control or maintain the position and heading of the vessel under actual conditions.
- 15.7.4.2 During the DP trial, the Auditor shall observe the vessel being transitioned from manual control to a DP mode. Following this transfer, the Auditor must observe the DP system build a model and then hold position and heading.
- 15.7.4.3 Once the model is built, the vessel must hold position or heading for a period of no less than 20 minutes.
- 15.7.4.4 During the DP trial, the position reference systems and environmental sensors that are listed as being part of the vessel's DP system on Form AUV-1-CV must function and feed data into the DP system.
- 15.7.4.5 During the DP trial, the environmental conditions must be within the vessel's safe operating limits.
- 15.7.5 **Completion of Audit.** Once the Auditor has completed the steps listed above, the Auditor shall sign Form AUV-2-CV and send the document to the OSVDPA.
- 15.8 **OSVDPA Receipt of Form AUV-2-CV.** When the OSVDPA receives a Form AUV-2-CV, the AUV Audit Results (Current Version), it shall conduct the following actions.
- 15.8.1 Review the form and ensure that it has been completed correctly and completely, including all required signatures are in place and are from individuals meeting the necessary qualifications.
- 15.8.2 Verify the information against the information in the OSVDPA Vessel Database and other publicly available information resources.

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- 15.8.3 The OSVDPA shall not review the results of the Audit. If a Vessel Operator believes that an Audit has reached an improper result, the Vessel Operator should submit an appeal (Section **25**).
- 15.8.4 If the Form AUV-2-CV finds that the vessel has a Qualified Dynamic Positioning System (Section **15.4**), and the OSVDPA finds the audit was conducted according to the OSVDPA's requirements, the OSVDPA shall approve the Audit and provide AUV Documentation (Section **15.9**).
- 15.8.5 If the Form AUV-2-CV finds that the vessel does not have a Qualified Dynamic Positioning System (Section **15.4**), and the OSVDPA finds the audit was conducted according to the OSVDPA's requirements, the OSVDPA shall contact the Vessel Operator's Point of Contact to ensure they understand why this conclusion was reached and shall ensure the Vessel Operator understands the deficiencies identified by the Auditor.
- 15.8.6 If the Form AUV-2-CV finds that the vessel has a Qualified Dynamic Positioning System (Section **15.4**) but the OSVDPA finds the AUV Audit did not meet the OSVDPA's standards, the OSVDPA shall notify the Vessel Operator and the Auditor. In this instance, the OSVDPA, at its discretion, may:
- 15.8.6.1 Award the vessel AUV Documentation under the procedures listed in Section **15.9**.
- 15.8.6.2 Award the vessel a temporary AUV Documentation, whereby the vessel would have the full rights and abilities as an AUV, but the OSVDPA would require the vessel to be revalidated on an abbreviated timetable, e.g. after one (1) year.
- 15.8.6.3 Require the Auditor to conduct a complete or partial new AUV Audit. The expenses associated with this new Audit shall not be covered by the OSVDPA.
- 15.8.6.4 Require a new AUV Audit to be conducted by another OSVDPA-Approved Auditor.
- 15.8.6.5 Reject the AUV Audit and require the Vessel Operator to restart the entire process.
- 15.8.7 If the Form AUV-2-CV finds that the vessel does not have a Qualified Dynamic Positioning System (Section **15.4**) but the OSVDPA finds the AUV Audit did not meet the OSVDPA's standards the OSVDPA shall notify the Vessel Operator and the Auditor. In this instance, the OSVDPA may:

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- 15.8.7.1 Award the vessel AUV Documentation under the procedures listed in Section **15.9**.
- 15.8.7.2 Award the vessel a temporary AUV Documentation, whereby the vessel would have the full rights and abilities as an AUV, but the OSVDPA would require the vessel to be revalidated on an abbreviated timetable, e.g. after one (1) year.
- 15.8.7.3 Require a new AUV Audit to be conducted by another OSVDPA-Approved Auditor.
- 15.9 **AUV Documentation.** If the OSVDPA accepts and approves a Form AUV-2-CV, the AUV Audit Results (Current Version), the OSVDPA shall issue the Vessel Operator AUV Documentation (Section **4.12**) for the vessel.
- 15.9.1 AUV Documentation shall contain a certificate stating that the vessel has been audited by an independent, OSVDPA-Approved Auditor, who has concluded that the vessel meets the definition of an AUV (Section **4.3**) and has a Qualified Dynamic Positioning System (Section **15.4**). This certificate shall contain:
- 15.9.1.1 The vessel name, along with the name of the Vessel Owner or Operator, and IMO or official number of the vessel.
- 15.9.1.2 The OSVDPA requirements of a Qualified Dynamic Positioning System (Section **15.4**).
- 15.9.1.3 The date the Audit was performed, the date the certificate was issued on and the date the certificate is valid until. This date range shall also mention the OSVDPA's policies regarding annual requirements and revalidation after a significant retrofit.
- 15.9.2 The AUV Documentation shall also contain an official copy of the Form AUV-2-CV, as completed and signed by the Auditor.
- 15.9.3 The AUV Documentation shall contain notification that the vessel is now listed as an accepted vessel for the purposes of OSVDPA Training and Certification Activities (Section **4.40**).
- 15.10 **Annual Requirements.** In order to maintain status as an Accepted Unclassed Vessel (Section **4.4**), the OSVDPA requires the Vessel Operator to submit the results of the vessel's most recent annual trial.

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15.10.1 **Timing.** To keep a vessel's AUV Documentation (Section **4.12**) current, a Vessel Operator must ensure each AUV in its fleet submits and receives OSVDPA approval of its most recent annual trial within 15 months from the date printed on the vessel's AUV Documentation.

15.10.1.1 To ensure the schedule required by Section **15.10.1** is met, the OSVDPA shall start accepting Form AUV-3-CV, the OSVDPA Annual Trial Submission (Current Version) nine (9) months after the anniversary of the date listed on the vessel's AUV Documentation or the date printed on Form AUV-4-CV (whichever is more recent).

15.10.1.1.1 The OSVDPA requires a new annual trial report to be submitted with each Form AUV-3-CV or Five Year Revalidation (Section **15.11**). Thus, if a Vessel Operator is submitting a Form AUV-3-CV nine (9) months after the vessel's previous AUV Documentation, the vessel must have completed a completely new annual trial within those nine (9) months.

15.10.1.2 The OSVDPA cannot guarantee review of a Form AUV-3-CV that is submitted more than 14 months from the date printed on the vessel's AUV Documentation, or the OSVDPA's approval of the vessel's most recent Form AUV-4-CV.

15.10.1.3 Failure to secure a Form AUV-4-CV within 15 months from the date printed on the vessel's AUV Documentation, or the OSVDPA's approval of the vessel's most recent Form AUV-4-CV shall cause the vessel to lose its AUV Documentation. The OSVDPA shall, therefore, not accept any Sea Time, Practical Experience, or Assessments conducted or accrued upon this vessel from that that point until the vessel has secured a new Form AUV-4-CV or a new AUV Documentation.

15.10.2 Form AUV-3-CV contains the following information.

15.10.2.1 The vessel name, along with the name of the Vessel Owner or Operator, and IMO or official number of the vessel.

15.10.2.2 A statement, signed by a Point of Contact (Section **4.31**) for the Vessel Owner or Operator, attesting that the vessel has not undergone any events meeting the definition of a Significant Retrofit (Section **4.39**).

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15.10.2.3 The Vessel Operator shall attach the most recent annual trial report to this form. This report must meet the requirements contained in Section **15.4.5.9**, and have been concluded within 12 months of the submission of Form AUV-3-CV.

15.10.2.4 The Vessel Operator must submit proof that any issues discovered or addressed by the annual trial report have been addressed or corrected or the Vessel Operator has developed a plan to address or correct these problems on a reasonable timetable.

15.10.3 In addition to Form AUV-3-CV, the Vessel Operator must submit payment of Fee AUV-4 as listed in OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version). After review of Form AUV-3-CV, the OSVDPA may require the Vessel Operator to pay other fees, based upon the amount of work that is necessary to review the information provided as part of the annual review.

15.10.4 Once the OSVDPA receives the Form AUV-3-CV, and the required attachment(s) it shall review the information contained therein. This review shall ensure:

15.10.4.1 There is no evidence that the vessel or the vessel's DP system has experienced a change meeting the definition of a Significant Retrofit (Section **15.12.1**).

15.10.4.2 The Annual Trial meets the definition of Section **15.4.5.9**, and was concluded within the last 12 months.

15.10.4.3 All issues raised by the Annual Trial have been addressed or the Vessel Operator has created a plan for addressing these issues.

15.10.5 If the OSVDPA's review finds that all of the OSVDPA's requirements have been met, the OSVDPA will respond with Form AUV-4-CV, the Annual Trial Confirmation (Current Version). This form shall state that the vessel's AUV Documentation remains valid and the vessel remains available for Training and Certification Activities.

15.10.6 If the OSVDPA's review finds that there are OSVDPA requirements that have not been met, the OSVDPA shall notify the Vessel Operator of this fact. This notification shall be accompanied by a list of deficiencies for the vessel, the steps that the Vessel Operator should take to ensure the vessel's AUV Documentation remains valid, and the evidence that should be provided to the OSVDPA to prove these deficiencies have been addressed.

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15.10.6.1 The OSVDPA may provide the Vessel Operator an extension to meet these requirements. If the OSVDPA does so, it shall inform the Vessel Operator in writing that an extension of the deadline for the vessel to meet the Annual Trial requirements has been provided. During this extension, the OSVDPA shall continue to accept Training and Certification Activities conducted onboard this vessel.

15.10.6.2 Once the Vessel Operator has addressed all of the items contained on the OSVDPA list of deficiencies, listed in Section **15.10.6**, the Vessel Operator shall contact the OSVDPA via the method prescribed by this notice (and providing the information requested by the OSVDPA).

15.10.6.3 The OSVDPA may require the Vessel Operator to submit payment of Fee AUV-5 or other fees that the OSVDPA determines are necessary to cover the costs of the increased review required by the deficiencies discovered during the Annual Trial.

15.10.6.4 If a Vessel Operator is unable or unwilling to address the deficiencies, the OSVDPA shall revoke the vessel's AUV Documentation. Such revocation shall be made on the date the Annual trial was required to be completed by under Section **15.10.1** (15 months after the previous annual trial or the date printed on the vessel's AUV Documentation) or the extension date (if any) provided to the Vessel Operator under Section **15.10.6.1**, whichever date is later.

15.11 **Five-year Revalidation of AUV Status.** The OSVDPA requires AUV Documentation to be revalidated every five (5) years (except in cases where revalidation is required earlier due to a significant retrofit, Section **15.12.1**).

15.11.1 The revalidation of AUV Documentation follows the same process and adheres to the same policies as initial AUV Documentation, except for the following advisories and requirements.

15.11.1.1 The OSVDPA recommends that a Vessel Operator submit Form AUV-1-CV, the AUV Audit Application (Current Version) no less than 90 days prior to the expiration of the vessel's AUV Documentation. The OSVDPA cannot guarantee all revalidation steps shall be completed for AUV revalidation if the Form AUV-1-CV is received after this date.

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15.11.2 A Vessel Operator's failure to maintain a vessel's AUV Documentation shall result in the OSVDPA disallowing any Sea Time, Practical Experience, or OSVDPA Assessments that are conducted on the vessel after the expiration date on the vessel's AUV Documentation.

## 15.12 Revalidation of AUV Status after Significant Retrofit.

15.12.1 **Definition of Significant Retrofit.** As stated in Section **4.39**, a Significant Retrofit is "Any change to a DP system, subsystem, or component which prevents the vessel from having a DP system that meets the requirements of a Qualified Dynamic Positioning System (Section **15.4**) or represents a degradation of the DP system from the configuration or capability under which it received its AUV Documentation."

15.12.1.1 The failure of a DP system, subsystem, or component is required to be part of the vessel by Section **15.4** (the Section describing the requirements of a Qualified Dynamic Positioning System) does not qualify as a Significant Retrofit, provided the Vessel Operator takes steps as soon as practical to repair or replace the failed DP system, subsystem, or component.

15.12.1.2 In the case of a failure of an AUV's entire DP system, or a failure which renders the vessel's DP system inoperable, the OSVDPA shall not allow Sea Time, Practical Experience, or OSVDPA Assessments to be conducted until repairs are made which makes the DP system once again functional.

15.12.1.3 In the case of a failure of a subsystem or component which is part of, or related to, an AUV's DP system, the OSVDPA shall allow Prospective DPOs and DPOs to continue to record Sea Time, Practical Experience, and OSVDPA Assessments on that vessel, provided the failure does not prevent the DP system from functioning as a DP system.

15.12.1.4 While the failure of a DP system, subsystem, or component does not qualify as a Significant Retrofit under Section **15.12.1**, a Vessel Operator's failure to fix or replace the DP system or relevant subsystem or component, or if the Vessel Operator fixes or replaces the DP system or relevant subsystem, or component in a way which prevents the vessel from having a DP system that meets the requirements of a Qualified Dynamic Positioning System (Section **15.4**), that failure shall constitute a Significant Retrofit and shall require a new AUV Audit.

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- 15.12.2 When a Vessel Operator makes, or anticipates making, a change to an AUV, an AUV's DP system, or the components or subsystems related to the AUV's DP system, the Vessel Operator shall complete and submit to the OSVDPA a Form AUV-5-CV, the Significant Retrofit Declaration (Current Version).
- 15.12.3 In largest part, Form AUV-5-CV requires the Vessel Operator to submit the following information: a description of the retrofit that is being conducted, including all systems changed or affected by the retrofit, when the retrofit was made, the reasoning, and a signed statement requesting a new AUV Audit.
- 15.12.4 Following submission of Form AUV-5-CV, the revalidation of AUV Documentation after a Significant Retrofit follows the same process and adheres to the same policies as a five-year revalidation of AUV Documentation (Section **15.11**).
- 15.12.5 A failure by the Vessel Operator to notify the OSVDPA of a Significant Retrofit (Section **15.12.1**) shall result in the revocation of all AUV Documentation held by every AUV owned or operated by the Vessel Operator. Under such an instances, the OSVDPA shall accept Sea Time, Practical Experience, and OSVDPA Assessments conducted or accrued on this vessel or vessels until the date of revocation.

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|                                                                                                          | Prepared by: <b>BAB</b><br>Prepared Date: <b>March 29, 2018</b> | Approved/Reviewed by:<br>BoD: <b>YES</b> TAC: <b>YES</b><br>ED: <b>N/A</b> Counsel: <b>N/A</b><br>Accountant: <b>N/A</b> | Document:<br>Page <b>123</b> of <b>297</b> |

## **16 Prospective DPO Entry Requirements and Scheme Application Procedures.**

### **16.1 Purpose and Summary.**

**16.1.1 In General.** In general, the OSVDPA supports the ability of those who use DP systems to be effectively trained in the safe operation of this technology. Thus, the OSVDPA allows entry to those Applying Mariners (Section **4.8**) that are allowed to be at the controls of the vessel while the vessel is on DP. Specifically, the OSVDPA requires mariners to prove they hold a valid Accepted Entry Credential or AEC (see Section **16.4.1**), they are medically capable of participating in the training program (Section **16.4.2**), and they confirm their identity (Section **16.4.3**). Applying Mariners shall first contact the OSVDPA for permission to enter the OSVDPA's DPO Certification Scheme by completing a Form AE-1-CV, the Application for Entry (Current Version) (Section **16.6**). If this form is approved by the OSVDPA and the individual pays a nominal fee, the Prospective DPO shall be provided a signed and numbered entry form (Section **16.7**). The DPO can then take this form, with certainty, to any OSVDPA-Accredited Training Provider (Section **7**) and enroll in the Phase 1 (Induction) Course (Section **17**).

**16.1.2 Limitation.** Section **16** is exclusive to Applying Mariners and Cadets that have never started a DPO Certification Scheme or have no Sea Time, Practical Experience, courses, or assessments to have the OSVDPA Grandfather. Applying Mariners, Cadets, or Prospective DPOs that seek credit for previously gained experience shall see the policies and procedures listed in Section **20**.

### **16.2 References.**

**16.2.1** Section **4**, Definitions.

**16.2.2** Section **6**, Roles and Responsibilities.

**16.2.3** Section **13**: Vessel Operator Enrollment in the OSVDPA.

**16.2.4** Section **14**: Utilization of Classed Vessels for OSVDPA Activities.

**16.2.5** Section **17**, Phase 1 (Induction) Course Standards.

**16.2.6** Section **20**: Grandfathering of Training and Certification Activities from other Schemes.

**16.2.7** Section **25**: OSVDPA Appeals Process.

**16.2.8** Form AE-1-CV, the Application for Entry (Current Version)

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16.2.9 Form P-1-CV, the Prospective DPO Approval (Current Version).

16.2.10 OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook, (Current Version).

16.2.11 OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version).

16.2.12 United States Code of Federal Regulations.

16.2.13 The International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978, as amended, 2011 (“the STCW Convention” or “STCW”).

### 16.3 Entry Fraud.

16.3.1 As stated in Section **6.3.6**, as the Scheme Owner, the OSVDPA takes responsibility for investigating, determining, and punishing those who commit fraud. The OSVDPA’s reserving of this right does not alleviate the necessity of all scheme participants from assisting in the fraud protection, discovery, and eradication effort. The OSVDPA retains the right to revoke the certification, accreditation, enrollment, approval, or membership of any person or entity that the OSVDPA feels has not fully engaged in the fraud protection, discovery, and eradication effort.

16.3.2 **Applying Mariners and Prospective DPOs, Committing Entry Fraud.** An Applying Mariner or Prospective DPOs found to have committed or attempted to commit fraud during or relating to applying for entry into the OSVDPA DPO Certification Scheme shall be denied entry to the scheme for a period of no less than two (2) years. If the Applying Mariner reapplies after this time, they must do so under the normal procedures and shall not be provided credit for any Sea Time, Practical Experience, courses, or assessments passed or accrued.

16.3.3 **Other Entities or Individuals Engaging in Fraudulent Activities.** Training Providers, Vessel Operators, Certified Instructors, Prospective DPOs, DPOs, Qualified On-Board Assessors, or other OSVDPA DPO Certification Scheme participants found to have committed or attempted to commit fraud via the OSVDPA’s investigation described in Section **16.3.6** shall lose their OSVDPA accreditation, enrollment, certification or approval, and shall not be able to re-enter the scheme for a period of no less than two (2) years. If the entity or individual decides to reapply for accreditation, enrollment, certification, or approval, they shall not be provided any credit for the entity or individual’s previous experience or expenses.

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- 16.3.4 Entry fraud or attempted entry fraud should be reported to the OSVDPA as soon as discovered. Such a report should include all available evidence, all suspected certification scheme participants believed to be involved in the fraud, how the fraud was discovered, and the actions the party reporting the fraud has taken.
- 16.3.5 If it is a Vessel Operator or Training Provider that submits the notice, it shall take steps to ensure that any records that might be used by the OSVDPA as evidence are preserved.
- 16.3.6 Once the notice is received, the OSVDPA shall conduct its own investigation. This investigation shall include reviewing the evidence received in the notice and conducting interviews with those who might have knowledge of the fraud.
- 16.3.7 Any person or entity found to have engaged in fraud and punished by the OSVDPA shall be able to appeal this decision under the procedures found in Section **25**, OSVDPA Appeals Process.
- 16.4 **Entry Requirements.** In order to obtain a Prospective DPO ID Number (Section **4.35**) and enter the OSVDPA DPO Certification Scheme, an Applying Mariner (Section **4.8**) must prove he or she holds an Accepted Entry Credential (AEC), is medically fit, and has had their identity validated by a government entity.
- 16.4.1 **Accepted Entry Credentials (AECs).** As defined by Section **4.3**, an AEC is “a valid and current license, credential, or qualification issued by a Flag State, or by a training institution that is approved by a Flag State to conduct maritime training courses, which are accepted by the OSVDPA as proof the individual is allowed to enter the OSVDPA’s DPO Certification Scheme. The specific licenses, certificates, and qualifications accepted by the OSVDPA are listed in Section **16.4.1**, are universally accepted by the OSVDPA.” The below sections list the licenses, credentials, and approvals that qualify as AECs.
- 16.4.1.1 An STCW credential as Officer in Charge of a Navigational Watch (II/1, or II/2, or II/3).
- 16.4.1.2 A non-STCW certificate of competency issued by the United States Coast Guard, or an equivalent certificate issued by another White List Maritime Administration as listed in the STCW Convention.
- 16.4.1.3 An STCW credential as Rating Forming Part of the Navigation Watch (II/4 or II/5).
- 16.4.1.4 An Able Bodied Seaman holding a valid certificate of completion from a U.S. Coast Guard Approved Ratings Course.

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- 16.4.1.5 A Cadet at a qualifying Maritime Training Academy (See Section **16.4.4**) that has completed the required number of semesters (Section **16.4.5.1**).
- 16.4.1.6 **Note.** The OSVDPA’s DPO Certification Scheme is based upon competency in both DP and manual ship handling and the certifying of mariners in the handling of DP-equipped vessels. As such, the OSVDPA does not accept as an AEC into the OSVDPA DPO Certification Scheme engine room licenses or certificates.
- 16.4.1.7 **Note.** Those applying under Section **16.4.1.4** and Section **16.4.1.5** are not allowed to progress past the Phase 3 Assessment (Section **21.7**) or earn a DPO Certificate (Section **4.14**) until they earn an AEC which allows them to be an officer of the navigation watch or a rating forming part of the navigation watch, per the requirements of Section **22.4.1**.
- 16.4.1.8 **Note.** Those applying under Section **16.4.1.3** shall have the phrase “Not an Officer in Charge of a Navigational Watch” placed on their DPO Certificate or Class C Permit. This phrase shall also appear on the OSVDPA Database. This phrase shall remain on the individual’s certificate or permit until such time as he or she earns—and notifies the OSVDPA of—an AEC meeting either Section **16.4.1.1** or Section **16.4.1.2**.
- 16.4.2 The OSVDPA requires Applying Mariners to prove they have the physical capabilities to participate in the OSVDPA DPO Certification Scheme. The OSVDPA accepts as proof that an Applying Mariner has met this requirement via a medical certificate from the Maritime Administration that issued the Applying Mariner their AEC.
- 16.4.2.1 If an Applying Mariner has a medical certificate that is included as part of their Merchant Mariner Credential (MMC), the OSVDPA shall review this medical certificate while it is reviewing the Applying Mariner’s MMC.

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16.4.2.2 If a Mariner has an AEC issued by a Flag State that does not issue medical certificates, the OSVDPA shall accept as proof that the Applying Mariner has met this requirement the results of a physical examination performed, witnessed, or reviewed by a medical doctor, physician assistant, nurse practitioner, or a designated medical examiner licensed by the nation state or government that contains that Maritime Administration, or a political division of such a nation state or government. Such physical examination must meet the requirements of Title 46, Section 10.302 the United States Code of Federal Regulations.

16.4.3 The OSVDPA requires Applying Mariners to provide a copy of a government-issued photo identification issued by the government of the Maritime Administration that issued the Applying Mariner their AEC.

16.4.3.1 **Alternative Compliance.** If an Applying Mariner does not have a photo identification from the nation state or government containing the Maritime Administration, the OSVDPA shall accept a photo identification issued to the Applying Mariner by a political division of the nation state containing the Maritime Administration that provided the Applying Mariner their AEC.

16.4.4 **Maritime Academy Cadets Alternative Compliance.** Cadets enrolled in the following types of maritime academies are allowed to enter the OSVDPA DPO Certification Scheme without holding a valid Flag State issued license or credential or a medical certificate meeting the requirements of Section **16.4.2**.

16.4.4.1 Maritime Academies administrated or chartered by a Maritime Administration, Flag State, or the nation state or government that contains a Flag State or Maritime Administration.

16.4.4.2 Maritime Academies administrated or chartered by a political division of the nation state or government that contains a Flag State or Maritime Administration.

16.4.4.3 Maritime Academies administrated or chartered by a private company or non-profit entity, provided the academy has been approved by the Maritime Administration of the nation state in which the academy resides to conduct educational programs aimed at providing graduates of the academy an STCW Officer in Charge of a Navigational Watch credential.

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16.4.5 Cadets attending an accepted maritime academy are allowed to enter the OSVDPA DPO Certification System if the Cadet can provide official transcripts from the maritime academy showing he or she has:

16.4.5.1 Successfully completed no less than two (2) semesters of maritime courses.

16.4.5.2 Provided a medical certificate (either meeting the requirements of Section **16.4.2**, or the medical certificate required by the maritime academy).

16.4.5.2.1 **Note.** If the Cadet attends a maritime academy that does not require cadets to pass a physical examination, the OSVDPA shall require the Cadet to abide by the requirements of Section **16.4.2.2**.

16.5 **Application Procedure.** This section lists the steps Applying Mariners (Section **4.8**) must undertake before being awarded a Prospective DPO ID Number (Section **4.35**).

16.5.1 The OSVDPA requires Applying Mariners to complete Form AE-1-CV, the Application for Entry (Current Version) (Section **16.6**). Applying Mariners shall not be allowed to register or attend a Phase 1 (Induction) Course (Section **17**) or begin the OSVDPA DPO Certification Scheme in any other way until this form has been approved by the OSVDPA.

16.5.1.1 The OSVDPA makes this requirement to provide certainty to those seeking a DPO Certificate from the OSVDPA, preventing Applying Mariners or their employer from paying for training courses that they are not eligible for, provide uniform application of entry requirements, and freeing Training Providers from the responsibility of enforcing the Scheme Owner's entry requirements.

16.5.1.2 The OSVDPA requests that Form AE-1-CV be submitted no less than 30 days prior to the date the Applying Mariner or Cadet seeks to begin a Phase 1 (Induction) Course, however, the OSVDPA shall attempt to return acceptance or rejections of this form within 14 days of receipt.

16.5.2 Along with Form AE-1-CV, the OSVDPA shall require Applying Mariners and Cadets to pay Fee DPO-4 as listed in OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version). The OSVDPA shall not review a Form AE-1-CV until it has received an Applying Mariner or Cadet's Fee DPO-4.

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16.5.3 Once the Fee DPO-4 has been received, the OSVDPA shall review the Applying Mariner's Form AE-1-CV and all required attachments. Once this review is concluded, the OSVDPA shall respond to the Applying Mariner with one of three (3) responses.

**16.5.3.1 Form P-1-CV, the Prospective DPO Approval (Current Version).**

This form is the official acceptance of an individual into the OSVDPA DPO Certification Scheme. The form is provided to an Applying Mariner that has provided information proving he or she meets all of the Entry Requirements. The information listed by the form is summarized below.

**16.5.3.2 Form P-1-CV (CONDITIONAL).** The OSVDPA may make Form P-1-CV conditional if the OSVDPA finds that there is a high probability that the Applying Mariner meets the Entry Requirements, but the information included in his or her Form AE-1-CV is incomplete, incorrect, or otherwise unacceptable. Such conditional approval may be accompanied by a date before which the conditions must be addressed and may be accompanied by a statement saying that if the conditions are not met by that date the individual's Prospective DPO ID Number shall be revoked.

**16.5.3.3** If the Applying Mariner or Cadet does not meet the requirements, the OSVDPA shall respond with a list of deficiencies in the form that must be corrected or filled in order to meet the Entry Requirements.

**16.5.4** Once the individual (now referred to as a Prospective DPO) has received a Form P-1-CV, he or she may register for the Phase 1 (Induction) Course by utilizing the Prospective DPO ID Number contained on Form P-1-CV.

**16.5.4.1** To register for a Phase 1 (Induction) Course, a Prospective DPO is required to contact a Training Provider (Section **4.40**) accredited by the OSVDPA directly and follow the procedure that the Training Provider utilizes to validate Form P-1-CV.

**16.5.5** Per OSVDPA policy, Section **17.4.1**, Training Providers are not allowed to accept payment for a Phase 1 (Induction) Course, provide an OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version), or any other OSVDPA course or resources until the Prospective DPO has provided a Form P-1-CV and the Training Provider has validated the same as a true form. This prohibition includes offers of reserving seats or seeking down payments before the form has been accepted. Thus, if an individual encounters such activities, it should be reported to the OSVDPA immediately.

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- 16.6 **Form AE-1-CV.** The first step Applying Mariners or Cadets shall take to gain entry into the OSVDPA DPO Certification Scheme is completing Form AE-1-CV, the Application for Entry Form, (Current Version) as found on the OSVDPA website. The information required by this form is summarized below.
- 16.6.1 The Applying Mariner's full name, copies of their AEC, medical certificates, identification, and contact information.
- 16.6.2 The form requires the Applying Mariner to attest they understand the requirements of the OSVDPA.
- 16.6.3 The form asks the Applying Mariner if they have ever entered or completed another DPO certification scheme.
- 16.7 **Form P-1-CV, the Prospective DPO Approval Form (Current Version).** Form P-1-CV shall contain the following information.
- 16.7.1 The Prospective DPO's full name along with a certification from the OSVDPA that the individual has proven his or her identity to the OSVDPA.
- 16.7.2 The Prospective DPO ID Number (Section **4.35**) that has been provided by the OSVDPA to the individual.
- 16.7.3 The type of Accepted Entry Credential (Section **4.3**) that is held by the Prospective DPO; the Maritime Administration that provided this license, credential, or qualification; the expiration date of the license, credential, or qualification; and the associated number printed on the AEC.
- 16.7.3.1 For Prospective DPOs that are Cadets, this space on Form P-1-CV shall include the expected graduation date of the Cadet.
- 16.7.4 A certification from the OSVDPA that the individual has agreed to the terms and conditions of being a participant in the OSVDPA's DPO Certification Scheme (Section **6.6**).
- 16.7.5 Form P-1-CV shall list any conditions on the Prospective DPOs entry or progression through the OSVDPA DPO Certification Scheme. Conditions that may be listed in this space on the form include, but are not limited to:

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- 16.7.5.1 Conditions resulting from an incomplete submission of Form AE-1-CV that was conditionally approved by the OSVDPA under Section **16.5.3.2**. This line may or may not be accompanied by a date the condition must be removed by the OSVDPA and may or may not be accompanied by a statement warning that the individual's Prospective DPO ID Number shall be revoked after this date if the conditions are not addressed.
- 16.7.5.2 Conditions resulting from the Prospective DPO holding an AEC approved under Section **16.4.1.4** or Section **16.4.1.5**. Such condition shall state that the Prospective DPO may not be awarded a DPO Certificate until they have been provided an officer of the navigational watch or rating forming part of the navigational watch license or credential.

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## **17 Phase 1 (Induction) Course Standards.**

### **17.1 Purpose and Summary.**

17.1.1 **In General.** The first portion of the OSVDPA DPO Certification Scheme is the Phase 1 (Induction) Course. This course provides Prospective DPOs with theoretical knowledge of DP systems, DP operation, and the role of the DPO as well as some practical training on DP operations via use of an OSVDPA-approved simulator. The OSVDPA requires that only individuals pre-approved by the OSVDPA be allowed into the Phase 1 (Induction) Course by the Training Provider. While each Training Provider shall create their own curriculum and training materials for the Phase 1 (Induction) Course (Section **17.7**), these materials shall, as audited by the OSVDPA, provide Prospective DPOs with a complete understanding of the Phase 1 portion of OSVDPA CT-1-CV, the OSVDPA Competency Standard (Current Version) and prepare them to pass the Phase 1 Assessment (Section **21**). When conducted as a traditional classroom-based course, the Phase 1 (Induction) Course shall consist of 30 hours of Certified Instructor and Prospective DPO contact over a minimum of four (4) days (Section **17.6**). Alternatively, the course can be conducted as a blended computer-based and traditional classroom-based course. When the course is conducted in this manner, the classroom portion of the course shall cover not less than 15 hours over no less than 2.5 days (Section **17.9**).

### **17.2 References.**

- 17.2.1 Section **4**, Definitions.
- 17.2.2 Section **6**, Roles and Responsibilities.
- 17.2.3 Section **8**, Accreditation Process.
- 17.2.4 Section **9**, Reaccreditation Process.
- 17.2.5 Section **11**, Standards for Instructors, Instructor Certification Process, and Instructor Hiring Standards.
- 17.2.6 Section **16**, Prospective DPO Entry Requirements and Scheme Application Procedures.
- 17.2.7 Section **21**, Assessment Policy.
- 17.2.8 Section **25**, OSVDPA Appeals Process.
- 17.2.9 OSVDPA SIM-1-CV Simulator Standard (Current Version).

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- 17.2.10 Form T-3-CV, the Authentication and Protection of Prospective DPOs and DPO's Identity (Current Version).
- 17.2.11 Form TC-2-CV, the Blended Phase 1 (Induction) Course Description Form (Current Version).
- 17.2.12 Form P-1-CV, the Prospective DPO Approval Form (Current Version).
- 17.2.13 Form P1A-1-CV, the Phase 1 Assessment Instructor Report (Current Version).
- 17.2.14 OSVDPA CT-1-CV, the OSVDPA Competency Standard (Current Version).
- 17.2.15 OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version).
- 17.2.16 OSVDPA LB-2-CV, the OSVDPA Post-Scheme Logbook (Current Version).
- 17.2.17 OSVDPA SIM-1-CV Simulator Standard (Current Version).
- 17.2.18 IMCA M 117, The Training and Experience of Key DP Personnel.

### 17.3 **Prospective DPO Acceptance and Logbook Fraud.**

- 17.3.1 As stated at Section **6.3.6**, as the Scheme Owner, the OSVDPA takes responsibility for investigating, determining, and punishing those who commit fraud. The OSVDPA's reserving of this right does not alleviate the necessity of all OSVDPA DPO Certification Scheme participants from assisting in the fraud protection, discovery, and eradication effort. OSVDPA retains the right to revoke the certification, accreditation, enrollment, approval, or membership of any person or entity that the OSVDPA feels has not fully engaged in the fraud protection, discovery, and eradication effort.
- 17.3.2 **Acceptance or Logbook Fraud.** A Training and Certification Partner (Section **4.41**) found via the below-described OSVDPA investigation to have committed or attempted to commit fraud during or relating to the acceptance of Prospective DPOs into the OSVDPA DPO Certification Scheme or the maintaining, registering, or distribution of OSVDPA LB-1-CV, the OSVDPA In-Scheme Log Book (Current Version) shall be removed from the OSVDPA DPO Certification Scheme and shall not be able to re-enter the scheme for a period of no less than two (2) years. If the individual or entity reapplies for entry, the individual or entity shall not be provided any credit for the entity or individual's previous experience or expenses.

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- 17.3.3 Acceptance or Logbook fraud or attempted Acceptance or Logbook fraud should be reported to the OSVDPA Executive Director as soon as discovered. Such a report should include all available evidence, all suspected certification scheme participants believed to be involved in the fraud, how the fraud was discovered, and the actions the party reporting the fraud has taken.
- 17.3.4 If it is a Vessel Operator or Training Provider that submits the notice to the OSVDPA, the entity shall take steps to ensure that any records that might be used by the OSVDPA as evidence are preserved.
- 17.3.5 Once the notice is received, the OSVDPA shall conduct its own investigation. This investigation shall include reviewing the evidence received in the notice and conducting interviews with those who might have knowledge of the fraud.
- 17.3.6 Any person or entity found to have engaged in fraud and punished by the OSVDPA shall be able to appeal this decision under the procedures found in Section **25**, the OSVDPA Appeals Process.
- 17.4 **Training Providers Prospective DPO Acceptance Procedures.** Training Providers are required to follow the following procedures prior to accepting payment, registering, and/or providing entry to the Phase 1 (Induction) Course.
- 17.4.1 Training Providers are prohibited from accepting individuals into the Phase 1 (Induction) Course or any other Training or Certification Activity or providing any other resource before ensuring that the individual has a valid Prospective DPO ID Number on a valid Form P-1-CV, the Prospective DPO Approval (Current Version).
- 17.4.1.1 This prohibition includes soliciting or accepting payment, partial payment, or other forms of reservation for a Phase 1 (Induction) Course; providing a copy of OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook, (Current Version); or any other OSVDPA course or resource until the individual has provided a Form P-1-CV, and the Training Provider has validated the same as a true form.
- 17.4.2 Training Providers are also required to have the Prospective DPO produce a copy of a government-issued photo identification meeting the requirements of Section **16.4.3**, prior to providing the Prospective DPO access to the course or accepting payment in return for the course.
- 17.4.3 Training Providers are also required to have the Prospective DPO produce the copy of a valid Accepted Entry Credential (Section **4.3**).

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- 17.4.4 Training Providers shall validate the above-listed information against the Prospective DPO database on the OSVDPA's website. Only individuals registered with the OSVDPA via Form T-3-CV, the Authentication and Protection of Prospective DPOs and DPO's Identity (Current Version), are allowed to perform this verification.
- 17.4.5 Once the Training Provider has verified the Prospective DPO's eligibility and identity, the Training Provider may accept payment, register, and/or provide entry to the Phase 1 (Induction) Course.
- 17.4.5.1 The OSVDPA does not set or approve the prices charged by Training Providers for the Phase 1 (Induction) Course or any other training or certification resource, nor does the OSVDPA have policies or procedures for how Training Providers should accept these payments.
- 17.4.5.2 The Training Provider should, as soon as practical, upload the Prospective DPO's registration for the Phase 1 (Induction) Course onto the OSVDPA's database, including the date of the Phase 1 (Induction) Course the Prospective DPO has signed up for. The OSVDPA makes this request as a fraud prevention measure and to ensure the OSVDPA has enough tests prepared for the date the Prospective DPO is expected to take the Phase 1 Assessment (Section **21.5**).
- 17.4.5.3 At this point, the Training Provider shall provide notice to the Prospective DPO that the Prospective DPO's Certification Deadline (Section **4.17**) shall be the date five (5) years after the date of the first day of attendance of the Phase 1 (Induction) Course (or the first day of attendance of the classroom portion of a Blended Phase 1 (Induction) Course).
- 17.4.6 When the Prospective DPO first shows up at the Training Provider's Training Center, for the Phase 1 (Induction) Course, the Training Provider shall again verify the validity of the Prospective DPO's identity and the validity of their Form P-1-CV. Such verification should occur even if the individual has already taken the computer-based portion of a Blended Phase 1 (Induction) Course. Only individuals registered with the OSVDPA via Form T-3-CV, the Authentication and Protection of Prospective DPOs and DPO's Identity, are allowed to verify this information against the Prospective DPO database.

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## 17.5 Class Size and Instructor Ratio.

- 17.5.1 Each Phase 1 (Induction) Course Class (Section **4.17**) provided by the Training Provider may include up to eight (8) Prospective DPOs, however, that amount can be increased or decreased depending on the number of Certified Instructors (Section **4.16**), the number of OSVDPA-approved Simulators, and the size of the classroom.
- 17.5.1.1 The class size can exceed eight (8) Prospective DPOs, provided the ratio of Certified Instructor to Prospective DPO does not exceed one (1) Instructor to every eight (8) Prospective DPOs.
- 17.5.1.1.1 Individuals conducting co-instruction for the purpose of Section **11.3.3.3** shall not count toward the purpose of establishing a Certified Instructor to Prospective DPO ratio.
- 17.5.1.2 The class size can exceed eight (8) Prospective DPOs, provided the ratio of simulators to Prospective DPOs does not exceed one (1) simulator to every two (2) Prospective DPOs.
- 17.5.1.3 Regardless of the number of Certified Instructors or simulators, the size of the class is limited by the physical space provided. Specifically, the requirement of Section **24.5.1**, which requires 24 square feet for each Prospective DPO in the class plus room for the Certified Instructors' desk(s).
- 17.5.1.4 Regardless of the number of Certified Instructors or simulators, the size of the class is limited by the number of assessment computers (Section **21.5.4**) and shall adhere to the restriction in Section **21.5.4.4**, which requires there to be enough assessment computers for the entire class to start the OSVDPA Assessment at the same time.
- 17.5.2 Except for the reasons listed below, the OSVDPA prohibits individuals that do not hold a valid Prospective DPO ID Number from taking, attending, or sitting in a Phase 1 (Induction) Course.
- 17.5.2.1 To audit the course for the purposes of Accreditation, (Section **8**), Reaccreditation (Section **9**), or Instructor Approval (Section **11.3.4.1**), Annual Review (Section **7.4**), or an OSVDPA Spot Audit (Section **7.6**).
- 17.5.2.2 To review or audit the Phase 1 (Induction) Course or the Certified Instructor (Section **4.16**) for purposes internal to the Training Provider.

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17.5.2.3 To review or audit the OSVDPA DPO Certification Scheme, the Phase 1 (Induction) Course, the Training Provider, or the Certified Instructor for the purposes of complying with regulations or gaining the approval of a Maritime Administration, the government of a nation state (or political division thereof), an international approval body, or another entity intending to accept the OSVDPA or the Training Provider.

17.6 **Length of Class.** Except as detailed under Section **17.9**, which details the requirements of a Blended Phase 1 (Induction) Course, each class of the Phase 1 (Induction) Course shall abide by the following time commitments.

17.6.1 Each class of the Phase 1 (Induction) Course shall contain a minimum of 30 hours of Certified Instructor and Prospective DPO instruction and experience gathering contact.

17.6.1.1 The 30-hour requirement may include Form P-1-CV verification, Prospective DPO Identity verification, safety briefings, and providing of OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version).

17.6.1.2 The 30-hour requirement shall not include the time spent on the Phase 1 Assessment (Section **21.5**), retakes of the assessment (Section **21.5.7**), or the Remedial Learning Session (Section **21.5.8**).

17.6.1.3 The 30-hour requirement shall not include any time spent by the Prospective DPOs enrolled in the Phase 1 (Induction) Course conducting pre-learning activities or homework activities.

17.6.2 At a minimum, the Phase 1 (Induction) Course (when conducted as a traditional classroom-based course) shall be conducted over no less than four (4) days.

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17.6.2.1 **Alternative Compliance.** The OSVDPA allows Phase 1 (Induction) Courses to be conducted over a period of up to six (6) months, provided class periods for the course are held not less frequently than three (3) times every four (4) weeks. Additionally, to qualify, the course shall be conducted by a qualifying Maritime Training Academy (Section **16.4.4**), or an Accredited Training Provider (Section **4.42**) on behalf of a qualifying Maritime Training Academy, for the purpose of providing the Phase 1 (Induction) Course to Cadets (Section **16.4.4**) as an integrated or complementary part of the Cadet's education at the academy. Only Cadets meeting the requirements of Section Error! Reference source not found. are allowed to take courses conducted under this Alternative Compliance as their exclusive means of conducting the Phase 1 (Induction) Course or as an alternative to their traditional Phase 1 (Induction) Courses. If offered, the course must meet the requirements and restrictions of this section and must be accredited by the OSVDPA as part of an Accreditation Process (Section **8**) or Reaccreditation Process (Section **9**). Unless listed herein, this Phase 1 (Induction) Course shall follow the same protocols and requirements and cover the same content as the Phase 1 (Induction) Course.

17.6.3 The amounts of time described in this section are minimums. The Training Provider's Phase 1 (Induction) Course must cover all items listed in the Phase 1 portion of OSVDPA CT-1-CV, the OSVDPA Competency Standard (Current Version).

## 17.7 Curriculum.

17.7.1 Each Training Provider shall be responsible for their own curriculum for the Phase 1 (Induction) Course. This curriculum must be submitted in a written form to the OSVDPA and approved by the OSVDPA as meeting the requirements of this section as part of the Accreditation Process (Section **8**) or Reaccreditation Process (Section **9**).

17.7.2 The OSVDPA requires the curriculum for the Phase 1 (Induction) Course written by each Training Provider to cover all of the aims and objectives of a Phase 1 DPO training course, as suggested by Appendix 2 of IMCA M 117, The Training and Experience of Key DP Personnel.

17.7.3 In addition to the requirement of Section **17.7.2**, the OSVDPA requires each Phase 1 (Induction) Course to cover the Phase 1 portions of OSVDPA CT-1-CV, the OSVDPA Competency Standard (Current Version).

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- 17.7.3.1 The Training Provider shall cite the line item number, as listed in OSVDPA CT-1-CV, which corresponds to the information listed in all instructional materials, training manuals, instruction manuals and other materials relevant to the Phase 1 (Induction) Course. The OSVDPA makes this requirement as a way to cross reference this material against the OSVDPA CT-1-CV for Accreditation, Reaccreditation, and Annual Review purposes. Additionally, this requirement is designed to help Prospective DPOs and Certified Instructors better understand the material that needs to be covered during the Remedial Learning Period (Section **21.5.8**). To assist in this process, the OSVDPA includes item numbers from OSVDPA CT-1-CV for each question listed on the Form P1A-1-CV, the Phase 1 Assessment Report (Current Version).
- 17.7.4 Additionally, each Phase 1 (Induction) Course shall cover the following information about the OSVDPA DPO Certification Scheme:
- 17.7.4.1 Definitions of the terms Sea Time, (Section **4.38**), Practical Experience (Section **4.32**), and Certification Deadline (Section **4.17**).
- 17.7.4.2 An overview of the OSVDPA DPO Certification Scheme, including the amount of Sea Time and Practical Experience required to be accrued during each phase.
- 17.7.4.3 The definition of the DPO Certificates and permits offered by the OSVDPA as found in Section **4.14**.
- 17.7.4.4 A description of the OSVDPA Accepted Entry Credentials and who may record Training and Certification Activities.
- 17.7.4.5 A summary of the OSVDPA system of assessments.
- 17.7.4.6 Instructions for how OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version) and OSVDPA LB-2-CV, the OSVDPA Post-Scheme Logbook (Current Version) should be completed and who can sign these logbooks.
- 17.7.5 **Instructor's Manual or Course Manual.** Training Providers are required to produce an Instructor's Manual for the Phase 1 (Induction) Course as conducted at that Training Provider. For all of the information listed below, the Training Provider shall include citations to OSVDPA CT-1-CV, the OSVDPA Competency Standard (Current Version). The Instructor's Manual or Course Manual shall include the information listed below.

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- 17.7.5.1 A timeline for what topics are considered during each segment or module of the course (this timeline should include references to the OSVDPA CT-1-CV).
- 17.7.5.2 Lesson plans broken down by each Class day, and each segment or module of the course. These lesson plans should include not only what information should be provided during each module but also information to assist the Certified Instructors in answering any questions that the Prospective DPOs taking the course may have.
- 17.7.5.3 Copies of all PowerPoints, handouts, visual aids, or other learning tools utilized or provided to Prospective DPOs during its Phase 1 (Induction) Course.
  - 17.7.5.3.1 The OSVDPA does not require that a Training Provider utilize PowerPoints, handouts, visual aids, or other learning tools in its Phase 1 (Induction) Course, however, if they are utilized the must be included in the Instructor's Manual or Course Manual.
- 17.7.5.4 Copies of all simulator exercises that are utilized, or possibly utilized, during the Phase 1 (Induction) Course. Including all instructions or direction that the Certified Instructor shall utilize to set up the simulator exercises and the information provided to the Prospective DPOs to explain how to operate the simulator, and the objectives of the simulation.
- 17.7.5.5 A copy of the Student Manual used for the course (Section **17.7.6**).
- 17.7.5.6 The OSVDPA requires Training Providers to ensure that their Phase 1 (Induction) Course is taught in accordance with the Instructor's Manual or Course Manual.
- 17.7.5.7 The Instructor's Manual or Course Manual shall be part of a quality control program. A master copy of this manual shall be kept by the Training Provider. This copy should be version controlled and include sections for easy amending and updating. This master copy may be kept electronically, provided it is kept in a way which prevents inadvertent, uncontrolled, or non-approved changes.
- 17.7.6 **Prospective DPO Manual.** Training Providers are required to produce and distribute to every Prospective DPO who attends a Phase 1 (Induction) Course a Prospective DPO Manual. At a minimum, the Prospective DPO Manual shall include the information required below.

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- 17.7.6.1 Copies of all PowerPoints, handouts, paper-based visual aids, or other paper-based learning tools utilized during the Phase 1 (Induction) Course.
- 17.7.6.2 Background information useful in helping the Prospective DPO understand DP technology, DP operations, and the role of the DPO. Such information includes, but is not limited to, lists or links to international DP guidance, DP standards, classification society requirements, DP incident reports, Flag State regulations of DP, and reports or papers from conferences or journals.
- 17.7.6.3 The Prospective DPO Manual shall be part of a quality control program. A master copy of this manual shall be kept by the Training Provider. This copy should be version controlled and include sections for easy amending and updating. This master copy may be kept electronically, provided it is kept in a way which prevents inadvertent, uncontrolled, or non-approved changes.
- 17.7.6.4 The OSVDPA requires that the Prospective DPO Manual strongly encourages Prospective DPOs to check the OSVDPA Vessel Database (Section **14.6**) to ensure the vessel they shall be, or anticipate to be, conducting their Phase 2 (Familiarization) Sea Time (Section **4.38**), Practical Experience (Section **4.32**) and Phase 2 Assessment (Section **21.6**) are eligible for this purpose (has a DP class notation issued by a recognized classification society or is an Accepted Unclassed Vessel (Section **4.4**)). If Prospective DPOs find a vessel they serve on, or may serve on, is not on this list, the OSVDPA recommends immediately contacting the Vessel Operator (Section **4.43**) to ensure the proper information is supplied to the OSVDPA to have the vessel approved and registered in the OSVDPA Vessel Database. The OSVDPA requires this information and these suggestions to be included in the Prospective DPO Manual to ensure that the activities completed by the Prospective DPO count towards an OSVDPA DPO Certificate and that problems are dealt with on the front end.
- 17.7.7 As stated in Section **7.4.1.5**, any changes to the Phase 1 (Induction) Course Curriculum or Instructor's Manual or Course Manual must be included in the Training Provider's next Annual Review (Section **7.4**). Changes found during the Annual Review that give the OSVDPA reason for concern may result in a Spot Audit (Section **7.6**).

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17.7.8 The OSVDPA supports a Training Provider's ability to seek, hold, and protect copyright and other intellectual property rights upon its curriculum, Instructor or Course Manual, Prospective DPO Manual, or other training materials developed by, or on behalf of, the Training Provider.

## **17.8 Simulator Portion.**

17.8.1 The Phase 1 (Induction) Course (when conducted as both a traditional classroom course and a blended course) shall include a period whereby Prospective DPOs taking the course are allowed to gain DP experience via the use of classroom-based simulators.

17.8.2 The OSVDPA does not set an amount of the class time that a Training Provider shall allow or require Prospective DPOs to utilize the simulators during the Phase 1 (Induction) Course. Instead, the Training Provider must prove to the OSVDPA that its curriculum (Section **17.7.1**) and Instructor's or Course Manual (Section **17.7.4**) cover the material required by OSVDPA CT-1-CV, the OSVDPA Competency Standard (Current Version).

17.8.3 The OSVDPA requires that, at a minimum, the Training Provider utilize simulators meeting the requirements of a Class C Simulator, as detailed in the OSVDPA SIM-1-CV, the OSVDPA Simulator Standard (Current Version).

17.8.3.1 Nothing in this section prevents a Training Provider from utilizing a higher classed simulator for the Phase 1 (Induction) Course, provided the simulators are approved as part of Accreditation (Section **8**) or Reaccreditation (Section **9**) and the Training Provider has met the requirements of the below and Section **17.5.1.2**.

17.8.4 The exercises utilized during the simulator portion of the Phase 1 (Induction) Course shall be provided to the OSVDPA via Accreditation (Section **8**) or Reaccreditation (Section **9**). These exercises should prepare the Prospective DPOs for the OSVDPA Assessments (Section **21**), however, these exercises shall not include any OSVDPA Assessment scenario or other materials resembling an OSVDPA assessment.

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17.9 **Blended Phase 1 (Induction) Course.** Training Providers have the option of including the Blended Phase 1 (Induction) as their exclusive means of conducting this course or as a way to supplement the number of traditional Phase 1 (Induction) Courses. If offered, the Blended Course must meet the requirements and restrictions of this section and must be accredited by the OSVDPA as part of an Accreditation Process (Section **8**) or Reaccreditation Process (Section **9**). Unless listed herein, the Blended Phase 1 (Induction) Course shall follow the same protocols and requirements and cover the same content as the Phase 1 (Induction) Course.

17.9.1 The Blended Phase 1 (Induction) Course shall consist of two (2) parts. A computer based portion that can be completed remotely, and a portion conducted in a traditional classroom setting.

17.9.2 Training Providers shall not provide a login or access to the computer-based portion of the Blended Phase 1 (Induction) Course until the Training Provider has verified the individual's identity and the individual's Prospective DPO ID Number.

17.9.2.1 The Training Provider must demonstrate to the OSVDPA's satisfaction that it has a means of restricting access to the course to only those approved as Prospective DPOs and has a means of tracking the progress of each Prospective DPO who participates in a Blended Phase 1 (Induction) Course.

17.9.2.2 Training Providers must demonstrate to the OSVDPA's satisfaction that the Prospective DPO must take continuous active steps to complete the computer-based portion of the Blended Phase 1 (Induction) Course. One (1) example of a format which meets this standard is a computer program that employs modules with quizzes that must be passed before the next module can begin, however, other techniques that provide the same benefit shall be evaluated by the OSVDPA.

17.9.3 As stated in Section **17.4.6**, Training Providers shall preform an identification verification and Prospective DPO ID Number verification when the individual arrives for the classroom portion of the course.

17.9.4 Training Providers are prohibited from offering the classroom portion of the Blended Phase 1 (Induction) Course to a Prospective DPO that has not completed the computer-based portion of the course.

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- 17.9.5 Training Providers that offer a traditional Phase 1 (Induction) Course and a Blended Phase 1 (Induction) Course must create and submit for the OSVDPA's approval separate copies of the curriculum description meeting the requirements of Section **17.7.1** for the Blended Course.
- 17.9.6 Each Class of the Blended Phase 1 (Induction) Course shall contain a minimum of 15 hours of in-person Certified Instructor and Prospective DPO instruction and experience gathering contact over the course of no less than 2.5 days.
- 17.9.6.1 The 15-hour requirement may include administrative tasks and paperwork including: Form P-1-CV verification, Prospective DPO Identity verification, safety briefings, assessment scoring, and providing of OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version).
- 17.9.6.2 The 15-hour requirement shall not include the time spent on the Phase 1 Assessment (Section **21.5**), retakes of the Assessment (Section **21.5.7**), or the time spent on the Remedial Learning Session (Section **21.5.8**).
- 17.9.6.3 The amounts of time described in this Section **17.9** are minimums. The Training Provider's Blended Phase 1 (Induction) Course must cover all items listed in the Phase 1 portion of OSVDPA CT-1-CV.
- 17.9.7 While the OSVDPA does not set a maximum time the computer-based portion of the course must be completed within, the OSVDPA respects a Training Provider's ability to set a maximum amount of time the computer-based portion of the Blended Phase 1 (Induction) Course shall be completed within, provided that the Training Provider makes this maximum time known to the Prospective DPOs that enroll in the course.

#### **17.10 Providing of Logbook.**

- 17.10.1 Most Prospective DPOs are provided their copy of OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version) at their Phase 1 (Induction) Course Class. This logbook is the only way that the OSVDPA accepts the recording of Training and Certification Activities (Section **4.40**) (except when the logbook is at the OSVDPA for review and the DPO or Prospective DPO is seeking to record Training and Certification Activities).

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- 17.10.2 Each copy of OSVDPA LB-1-CV has a logbook number printed on the front cover. The OSVDPA tracks and verifies which logbook have been assigned to each DPO or Prospective DPO. As such, Training Providers must track which copies of each logbook are provided to each DPO and must report this information to the OSVDPA.
- 17.10.3 Training Providers can only provide copies OSVDPA LB-1-CV to Prospective DPOs enrolled in a Phase 1 (Induction) Course Class. DPOs and Prospective DPOs that need a logbook at other points in training or career must purchase one from the OSVDPA directly.
- 17.10.4 The OSVDPA allows Prospective DPOs to purchase another copy of OSVDPA LB-1-CV if a Prospective DPO loses or destroys their copy of OSVDPA LB-1-CV, or has their book stolen.
- 17.10.4.1 To secure an additional copy the Prospective DPO must report the book lost, stolen, or destroyed to the OSVDPA.
- 17.10.4.2 To continue recording Training and Certification Activities the DPO or Prospective DPO must then purchase a new copy of OSVDPA LB-1-CV by paying the applicable fee listed in OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version).
- 17.10.4.2.1 The OSVDPA may, at its discretion, waive the fee if it finds extenuating circumstances or the Prospective DPO can provide a police report.
- 17.10.4.3 When a Prospective DPO requests a new OSVDPA LB-1-CV from the OSVDPA, the OSVDPA shall request that the Prospective DPO provide copies of the information that was in the book. If said copies can be provided, the OSVDPA shall review these copies, attempt to verify their accuracy and shall provide credit for the Training and Certification Activities included therein. This credit shall be provided by the OSVDPA filling in the previously completed information into the new logbook purchased by the OSVDPA. After this process is conducted, the OSVDPA shall note that the old logbook's number is no longer valid.
- 17.10.5 The same rules, as stated above for OSVDPA LB-1-CV, are provided for OSVDPA LB-2-CV, the OSVDPA Post-Scheme Logbook (Current Version).

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## **18 Phase 3 (Simulator) Course Standards.**

### **18.1 Purpose and Summary.**

18.1.1 **In General.** The third Phase of the OSVDPA DPO Certification Scheme is the Phase 3 (Simulator) Course. This course is intended to provide Prospective DPOs with Practical Experience in DP operations, specifically the faults, failures, and emergency situations. Only those individuals with valid Prospective DPO ID Numbers (Section **4.35**) can attend the Phase 3 (Simulator) Course. Prospective DPOs are not allowed to begin the Phase 3 (Simulator) Course until they have completed Phase 2 (Familiarization) (Section **19.4**) in its entirety (Section **18.4.2**), however, the OSVDPA does provide Training Providers the option of allowing Prospective DPOs to schedule and reserve seats in a Phase 3 (Simulator) Course prior to the Prospective DPO's completion of Phase 2 (Familiarization) (Section **18.5**). Subject to certain factors, the Phase 3 (Simulator) Course shall consist of six (6) Prospective DPOs (Section **18.7**). The Phase 3 (Simulator) Course shall consist of 30-hours of contact between the Certified Instructor and Prospective DPOs, conducted over no less than four (4) days (Section **18.8**). The Phase 3 (Simulator) Course shall utilize a curriculum drafted by the Training Provider and audited by the OSVDPA as properly including the competencies of the Phase 3 portion of OSVDPA CT-1-CV, the OSVDPA Competency Standard (Current Version) (Section **18.9**). The Phase 3 (Simulator) Course shall be conducted on simulators meeting the requirements of a Class B or Class A simulator as approved by the OSVDPA (Section **18.10**).

### **18.2 References.**

- 18.2.1 Section **4**, Definitions.
- 18.2.2 Section **6**, Roles and Responsibilities.
- 18.2.3 Section **7**, Accreditation.
- 18.2.4 Section **8**, Accreditation Process.
- 18.2.5 Section **9**, Reaccreditation Process.
- 18.2.6 Section **16**, Prospective DPO Entry Requirements and Scheme Application Procedures.
- 18.2.7 Section **19**, Phase 2, Phase 4, and Phase 5 Standards.
- 18.2.8 Section **21**, Assessment Policy.

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18.2.9 OSVDPA SIM-1-CV, the OSVDPA Simulator Standard (Current Version).

18.2.10 OSVDPA CT-1-CV, the OSVDPA Competency Standard (Current Version).

18.2.11 OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook, (Current Version).

18.2.12 Form P-1-CV the Prospective DPO Approval (Current Version).

18.2.13 Form P3A-1-CV, the Phase 3 Assessment Report (Current Version).

18.2.14 Form T-3-CV, the Authentication and Protection of Prospective DPOs and DPO's Identity (Current Version).

18.2.15 IMCA M 103, "Guidelines for the Design and Operation of Dynamically Positioned Vessels;"

18.2.16 IMCA M 109, "A Guide to DP-Related Documentation for DP Vessels;"

18.2.17 IMCA M 117, The Training and Experience of Key DP Personnel.

18.2.18 IMCA M 166, "Guidance on Failure Mode and Effect Analysis;"

18.2.19 IMCA M 182, Rev. 1 "International Guidelines for the Safe Operation of Dynamically Positioned Offshore Supply Vessels".

18.2.20 MTS, "Operations Guidance," Part 1 and Part 2.

18.2.21 MTS, "Guidance for Professional Development of Personnel Engaged in DPO Operations Using the Mapping Delivery Ability Tool (MDAT)".

18.2.22 IMO/MSC Circular 645, "Guidelines for Vessels with Dynamic Positioning Systems".

### 18.3 **Phase 3 (Simulator) Course Fraud and Logbook Acceptance Fraud.**

18.3.1 As stated in Section **6.3.6**, as the Scheme Owner, the OSVDPA takes responsibility for investigating, determining, and punishing those who commit fraud. The OSVDPA's reserving of this right does not alleviate the necessity of all OSVDPA DPO Certification Scheme participants from assisting in the fraud protection, discovery, and eradication effort. The OSVDPA retains the right to revoke the certification, accreditation, enrollment, approval, or membership of any person or entity that the OSVDPA feels has not fully engaged in the fraud protection, discovery, and eradication effort.

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- 18.3.2 A Training and Certification Partner (Section **4.41**) found via the OSVDPA investigation described in Section **18.3.5** to have committed or attempted to commit fraud during or relating to the acceptance of Prospective DPOs into the Phase 3 (Simulator) Course or improper signing or accepting improper signing of OSVDPA LB-1-CV, the OSVDPA In-Scheme Log Book (Current Version) shall be removed from the OSVDPA DPO Certification Scheme, and shall not be able to re-enter the scheme for a period of no less than two (2) years. If the individual or entity reapplies for entry, the individual or entity shall not be provided any credit for the entity or individual's previous experience or expenses.
- 18.3.3 Phase 3 (Simulator) Course fraud or logbook acceptance fraud or attempting fraud of the same, should be reported to the OSVDPA Executive Director as soon as discovered. Such a report should include all available evidence, all suspected OSVDPA DPO Certification Scheme participants believed to be involved in the fraud, how the fraud was discovered, and the actions the party reporting the fraud has taken.
- 18.3.4 If it is a Vessel Operator or Training Provider that submits the notice to the OSVDPA, the entity shall take steps to ensure that any records that might be used by the OSVDPA as evidence are preserved.
- 18.3.5 Once the notice is received, the OSVDPA shall conduct its own investigation. This investigation shall include reviewing the evidence received in the notice and conducting interviews with those who might have knowledge of the fraud.
- 18.3.6 Any person or entity found to have engaged in fraud and punished by the OSVDPA shall be able to appeal this decision under the procedures found at Section **25**.

#### **18.4 Entry Requirements for the Phase 3 (Simulator) Course.**

- 18.4.1 In order to attend the Phase 3 (Simulator) Course a Prospective DPO must have the following:
- 18.4.1.1 A valid Prospective DPO ID Number (Section **4.35**) as found on a Form P-1-CV, the Prospective DPO Approval (Current Version).
- 18.4.1.2 A valid Accepted Entry Credential (AEC defined at Section **4.3**) that meets the requirements of Section **16.4.1**.
- 18.4.1.3 A valid government-issued identification meeting the requirements of Section **16.4.3** or Section **16.4.3.1**.

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18.4.2 Prior to the first class session of the Phase 3 (Simulator) Course, a Prospective DPO must have completed Phase 2 (Familiarization) in its entirety (Section **19.4**). Specifically, this means:

18.4.2.1 Completed 30 days of Sea Time (Section **4.38**),

18.4.2.2 Completed 90 hours of Practical Experience (Section **4.32**),

18.4.2.3 Completed all of the taskbook tasks in the Phase 2 section of OSVDPA LB-1-CV, the OSVDPA In-Scheme Log Book (Current Version) and had each of these tasks appropriately signed by a Certified DPO (Section **4.14**) or the Master of the Vessel.

18.4.2.4 Has passed the Phase 2 Assessment (Section **21.6**) as decided and signed off by someone meeting the requirements of Section **21.6.3**.

18.4.3 The OSVDPA shall not count a Phase 3 (Simulator) Course or a Phase 3 Assessment (Section **21.7**) recorded by a Prospective DPO if the OSVDPA finds that the Prospective DPOs did not first complete the above-stated requirements.

18.4.3.1 In instances where the OSVDPA refuses to accept a Phase 3 (Simulator) Course and Phase 3 Assessment (Section **21.7**) due to a violation of Section **18.4.3**, the Prospective DPO shall be required to retake the Phase 3 (Simulator) Course and retake the Phase 3 Assessment. Such retakes must be completed within the Certification Deadline (Section **4.17**).

## **18.5 Reserving of Seats for Prospective DPOs for the Phase 3 (Simulator) Course.**

18.5.1 The OSVDPA allows Training Providers (at their discretion) to register Prospective DPOs for a future Class (Section **4.17**) of the Phase 3 (Simulator) Course while the Prospective DPO is completing Phase 2 (Familiarization), provided the Training Provider ensures the Prospective DPO understands the restriction of Section **18.4.3**.

18.5.2 The Training Provider, as soon as practical, must upload the Prospective DPO's reservation for the Phase 3 (Simulator) Course onto the OSVDPA's database, including the date of the Phase 3 (Simulator) Course the Prospective DPO has reserved. The OSVDPA makes this request as a fraud prevention measure and to ensure the OSVDPA has enough tests prepared for the date the Prospective DPO is expected to take the Phase 3 Assessment (Section **21.7**).

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**18.6 Validating the Prospective DPO's Experience and Identity upon Arrival.** When the Prospective DPO arrives at the Training Provider's Training Center for the Phase 3 (Simulator) Course, the Training Provider shall perform the following verifications of the Prospective DPO's qualifications to enter the Phase 3 (Simulator) Course.

18.6.1 The onerous is on the Prospective DPO to know if they are eligible to sit for the Phase 3 (Simulator) Course. A Prospective DPO's failure to abide by the requirements of Section **18.4** shall result in the OSVDPA not counting the course during the Prospective DPO's application for a DPO Certificate. Conversely, only if the OSVDPA finds a violation of Section **18.3** or a pattern of admitting Prospective DPOs that are not qualified to be in the Phase 3 (Simulator) Course shall a Training Provider face repercussions for admitting a Prospective DPO into the Phase 3 (Simulator) Course who is not qualified.

18.6.2 Considering the above, the Training Provider shall attempt to validate that the Prospective DPO has completed the requirements of Phase 2 (Familiarization) (Section 19.4) prior to attending the first day of the Phase 3 (Simulator) Course. This verification does not absolve the Prospective DPO of their responsibility to complete these requirements.

18.6.3 The Training Provider shall validate the requirements of Section **18.4.1** by validating the information contained on the Prospective DPO's Form P-1-CV, the Prospective DPO Approval (Current Version) against the information on the OSVDPA's Prospective DPO database.

18.6.3.1 If during this process, the Training Provider notices that the Prospective DPO has provided a different document as listed on the database, the Training Provider shall attempt to validate these documents.

18.6.3.1.1 During this validation the Training Provider shall remind any Prospective DPOs who are Cadets (Section **4.13**) or hold an AEC meeting the requirements of Section **16.4.1.4** that they are allowed to sit for the Phase 3 (Simulator) Course and the Phase 3 Assessment **21.7**, but they are not allowed to earn a DPO Certificate until they earn an AEC meeting the requirements of Section **16.4.1.1** through Section **16.4.1.3**.

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18.6.3.1.2 The Prospective DPO validation described in Section **18.6.3** shall only be conducted by individuals registered with the OSVDPA via Form T-3-CV, the Authentication and Protection of Prospective DPOs and DPO's Identity (Current Version). Said individuals are allowed to verify this information against the Prospective DPO database.

## 18.7 Class Size and Instructor Ratio.

18.7.1 Under normal procedures, each Phase 3 (Simulator) Course Class (Section **4.17**) provided by the Training Provider may include up to six (6) Prospective DPOs, however, that amount can be increased or decreased depending on the particulars of the number of Certified Instructors (Section **4.16**), the number of OSVDPA-approved simulators, and the size of the classroom.

18.7.1.1 The class size shall not cause the ratio of Certified Instructor (Section **4.16**) to Prospective DPO to exceed one (1) Instructor to every six (6) Prospective DPOs.

18.7.1.1.1 Individuals conducting co-instruction for the purpose of Section **11.3.3.3** shall not count toward the purpose of establishing a Certified Instructor to Prospective DPO ratio.

18.7.1.2 The class size shall not cause the ratio of OSVDPA-approved simulators, meeting the requirements of Section **18.10**, to Prospective DPOs to exceed one (1) simulator to every two (2) Prospective DPOs.

18.7.2 Regardless of the number of Certified Instructors or simulators, the size of the class is limited by the physical space provided. Specifically, the requirement of Section **24.5.1**, which requires 24 square feet for each Prospective DPO in the class plus room for the Certified Instructors' desk(s).

18.7.3 The OSVDPA prohibits individuals that do not hold a valid Prospective DPO ID Number from taking, attending, or sitting in a Phase 3 (Simulator) Course except for the reasons specified below.

18.7.3.1 To audit the Phase 3 (Simulator) Course for the purposes of Accreditation, (Section **8**), Reaccreditation (Section **9**), or Instructor Approval (Section **11.3.4.1**), Annual Review (Section **7.4**), or OSVDPA Spot Audit (Section **7.6**).

18.7.3.2 To review or audit the Phase 3 (Simulator) Course or for purposes internal to the Training Provider.

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18.7.3.3 To review or audit the OSVDPA DPO Certification Scheme, the Phase 3 (Simulator) Course, the Training Provider, or the Certified Instructor (Section **4.16**) for the purposes of complying with regulations or gaining the approval of a Maritime Administration, the government of a nation state (or political division thereof), an international approval body, or another entity intending to accept the OSVDPA or the Training Provider.

## **18.8 Length of Class.**

- 18.8.1 Each Class of the Phase 3 (Simulator) Course shall contain a minimum of 30 hours of Certified Instructor and Prospective DPO instruction and experience gathering contact.
- 18.8.1.1 The 30-hour requirement may include the time spent on administrative tasks and paperwork including, but not limited to: Form P-1-CV verification, Prospective DPO Identity verification, and safety briefings.
- 18.8.1.2 The 30-hour requirement shall not include the time spent on the Phase 3 Assessment (Section **21.7**) or retakes of the assessment (Section **21.7.11**).
- 18.8.1.3 The 30-hour requirement shall not include any time spent by the Prospective DPOs enrolled in the course conducting pre-learning activities or homework activities.
- 18.8.2 At a minimum, the Phase 3 (Simulator) Course shall be conducted over no less than four (4) days.

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18.8.2.1 **Alternative Compliance.** The OSVDPA allows Phase 3 (Simulator) Courses to be conducted over a period of up to six (6) months, provided class periods for the course are held not less frequently than three (3) times every four (4) weeks. Additionally, to qualify, the course shall be conducted by a qualifying Maritime Training Academy (Section **16.4.4**), or an Accredited Training Provider (Section **4.42**) on behalf of a qualifying Maritime Training Academy, for the purpose of providing the Phase 3 (Simulator) Course to Cadets (Section **16.4.4**) as an integrated or complementary part of the Cadet's education at the academy. Only Cadets meeting the requirements of Section Error! Reference source not found. are allowed to take courses conducted under this Alternative Compliance as their exclusive means of conducting the Phase 1 (Induction) Course or as an alternative to their traditional Phase 1 (Induction) Courses. If offered, the course must meet the requirements and restrictions of this section and must be accredited by the OSVDPA as part of an Accreditation Process (Section **8**) or Reaccreditation Process (Section **9**). Unless listed herein, this Phase 3 (Simulator) Course shall follow the same protocols and requirements and cover the same content as the Phase 3 (Simulator) Course.

18.8.3 The amounts of time described in Section **18.8**, are minimums. The Training Provider's course must cover all items listed in the Phase 3 portion of OSVDPA CT-1-CV, the OSVDPA Competency Standard (Current Version).

## 18.9 Curriculum.

18.9.1 Each Training Provider is responsible for its own curriculum for the Phase 3 (Simulator) Course. This curriculum must be submitted in a written form to the OSVDPA and approved by the OSVDPA as meeting the requirements of this section as part of the Accreditation Process (Section **8**) or Reaccreditation Process (Section **9**).

18.9.2 The OSVDPA requires the curriculum for the Phase 3 (Simulator) Course written by each Training Provider to cover all of the aims and objectives of a Phase 3 DPO training course, as suggested by Appendix 4 of IMCA M 117, The Training and Experience of Key DP Personnel.

18.9.3 In addition to the requirement of Section **18.9.2**, the OSVDPA requires the Phase 3 (Simulator) Course to cover the competencies listed in the Phase 3 portion of OSVDPA CT-1-CV, the OSVDPA Competency Standard (Current Version).

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18.9.3.1 The OSVDPA Phase 3 Assessment (Section **21.7**) is based upon the Phase 3 portion of OSVDPA CT-1-CV, along with the competencies listed in the Phase 1 and Phase 2 portions of this standard. Thus, Training Providers should take care to ensure their curriculum adequately prepares Prospective DPOs for this assessment.

18.9.3.2 The Training Provider shall cite the line item number, as listed in the OSVDPA CT-1-CV, which corresponds to the information listed in all instructional materials, training manuals, instruction manuals and other materials relevant to the Phase 3 (Simulator) Course. The OSVDPA makes this requirement as a way to cross reference this material against OSVDPA CT-1-CV for Accreditation, Reaccreditation, and Annual Review purposes. Additionally, this requirement is designed to help Prospective DPOs and Certified Instructors better understand where shortcomings in their knowledge are after completing the Phase 3 Assessment (Section **21.7**). To assist in this process, the OSVDPA includes line item numbers from OSVDPA CT-1-CV for each assessment item.

18.9.4 **Instructor's Manual or Course Manual.** Training Providers are required to produce an Instructor's Manual or Course Manual for the Phase 3 (Simulator) Course as conducted at that Training Provider. For all of the information listed below, the Training Provider shall include citations to OSVDPA CT-1-CV, the OSVDPA Competency Standard (Current Version) and the below-listed information.

18.9.4.1 A timeline for what topics are considered during each segment or module of the course.

18.9.4.2 Lesson plans broken down by each day, and each segment or module of the course. These lesson plans should include not only what information should be provided during each module but also information to assist the Certified Instructors in answering any questions that the Prospective DPOs taking the course may have.

18.9.4.3 Copies of all PowerPoints, handouts, visual aids, or other learning tools utilized or provided to Prospective DPOs during its Phase 3 (Simulator) Course.

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18.9.4.3.1 The OSVDPA does not require that a Training Provider utilize PowerPoints, handouts, visual aids, or other learning tools in its Phase 3 (Simulator) Course, however, if they are utilized they must be included in the Instructor's Manual or Course Manual.

18.9.4.4 Copies of all simulator exercises that are utilized, or possibly utilized, during the Phase 3 (Simulator) Course. Including all instructions or direction that the Certified Instructor shall utilize to set up the simulator exercises and the information provided to the Prospective DPOs to explain how to operate the simulator, and the objectives of the simulation. These exercises should prepare the Prospective DPOs for the Phase 3 Assessment (Section **21.7**), but the exercises shall not include material directly from the assessment.

18.9.4.5 A copy of the Prospective DPO Manual used for the course (Section **18.9.5**).

18.9.4.6 The OSVDPA requires Training Providers to ensure that their Phase 3 (Simulator) Course is taught in accordance with the Instructor's Manual or Course Manual.

18.9.4.7 The Instructor's Manual or Course Manual shall be part of a quality control program. A master copy of this manual shall be kept by the Training Provider. This copy should be version controlled and include sections for easy amending and updating. This master copy may be kept electronically, provided it is kept in a way which prevents inadvertent, uncontrolled, or non-approved changes.

18.9.5 **Prospective DPO Manual.** Training Providers are required to produce and distribute to every Prospective DPO a Prospective DPO Manual. At a minimum, the Prospective DPO Manual shall include the below-listed information.

18.9.5.1 Copies of all PowerPoints, handouts, paper-based visual aids, or other paper-based learning tools utilized during the course.

18.9.5.2 Background information useful in helping the Prospective DPO understand DP technology, DP operations, and the role of the DPO. Such information includes, but is not limited to, lists or links to international DP guidance, DP standards, classification society requirements, DP incident reports, Flag State regulations of DP, and reports or papers from conferences or journals.

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18.9.5.3 The Prospective DPO Manual shall be part of a quality control program. A master copy of this manual shall be kept by the Training Provider. This copy should be version controlled and include sections for easy amending and updating. This master copy may be kept electronically, provided it is kept in a way which prevents inadvertent, uncontrolled, or non-approved changes.

18.9.5.4 The OSVDPA requires that the Prospective DPO Manual strongly encourages Prospective DPOs to check the OSVDPA Vessel Database (Section **14.6**) to ensure the vessel they will be, or anticipate to be, serving on has a DP class notation issued by a recognized classification society or is an Accepted Unclassed Vessel (Section **4.4**). If the Prospective DPOs find their vessels does not have the above, the OSVDPA recommends immediately contacting the Vessel Operator (Section **4.43**) to ensure the proper information is supplied to the OSVDPA to ensure the Prospective DPO's service is eligible for recording.

18.9.6 As stated in Section **7.4.1.5**, any changes to the Phase 3 (Simulator) Course Curriculum or Instructor's Manual or Course Manual must be included in the Training Provider's next Annual Review (Section **7.4**). Changes found during the Annual Review that give the OSVDPA reason for concern may result in a Spot Audit (Section **7.6**).

18.9.7 The OSVDPA supports a Training Provider's ability to seek, hold, and protect copyright and other intellectual property rights upon its curriculum, Instructor or Course Manual, or other training materials developed by, or on behalf of, the Training Provider.

## **18.10 Simulator Requirements.**

18.10.1 The Phase 3 (Simulator) Course must be conducted on a simulator approved by the OSVDPA as meeting the requirements of an OSVDPA Class B or Class A Simulator as described in OSVDPA SIM-1-CV, the OSVDPA Simulator Standard (Current Version).

18.10.2 Additionally, the simulators must be housed in a location meeting the requirements of Section **24.7**.

18.10.3 The simulators must be accompanied by the documents and manuals that would be utilized or contained on a DP-equipped vessel. Specifically, the following documents and manuals should be kept in a location which is easily accessible by Prospective DPOs utilizing the simulators.

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18.10.3.1 Documents summarizing the capabilities of the simulated vessel and its available equipment (e.g. thruster type, configuration, can capability; sensor type and number, position reference systems, etc.).

18.10.3.2 Copies of international guidance, including, but not limited to:

18.10.3.2.1 IMCA Documents: IMCA M 103, “Guidelines for the Design and Operation of Dynamically Positioned Vessels;” IMCA M 109, “A Guide to DP-Related Documentation for DP Vessels;” IMCA M 117, Rev. 1, “The Training and Experience of Key DP Personnel;” IMCA M 166, “Guidance on Failure Mode and Effect Analysis;” and IMCA M 182, Rev. 1 “International Guidelines for the Safe Operation of Dynamically Positioned Offshore Supply Vessels.”

18.10.3.2.2 Documents from the DP Committee of the Maritime Technology Society (MTS): MTS, “Operations Guidance,” Part 1; Part 2 (Appendix 2, Project Construction Vessels); Part 2 (Appendix 3, Logistic Vessels); and MTS, “Guidance for Professional Development of Personnel Engaged in DPO Operations Using the Mapping Delivery Ability Tool (MDAT).

18.10.3.3 Required or commonly utilized documents found on DP-equipped vessels, including:

18.10.3.3.1 Capability plot(s).

18.10.3.3.2 Footprint plotting sheets.

18.10.3.3.3 An Activity Specific Operations Guidance (ASOG) covering no less than the ASOG found in MTS, “Operations Guidance,” Part 2 (Appendix 2, Project Construction Vessels); or Part 2 (Appendix 3, Logistic Vessels).

18.10.3.3.4 A Critical Activity Mode (CAM), covering no less than the CAM found in MTS, “Operations Guidance,” Part 2 (Appendix 2, Project Construction Vessels); or Part 2 (Appendix 3, Logistic Vessels).

18.10.3.4 Documents normally required by class or Flag States.

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- 18.10.3.4.1 IMO/MSC Circular 645, “Guidelines for Vessels with Dynamic Positioning Systems”.
- 18.10.3.4.2 Field arrival, 500-meter; watch change; or other class, client, or Flag State required checklists.
- 18.10.3.4.3 Master’s Standing orders.
- 18.10.3.4.4 Any documents required by the Flag State or Flag States with jurisdiction over the area normally covered by the Training Provider.

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## 19 Phase 2, Phase 4, and Phase 5 Standards.

### 19.1 **Purpose and Summary.**

19.1.1 **In General.** The OSVDPA DPO Certification Scheme includes, at most, three (3) phases where DPOs and Prospective DPOs gain DP experience. During each of these phases, the DPO or Prospective DPO must complete and record Sea Time (Section 4.38), Practical Experience (Section 4.32), and the completion of a taskbook (Section 19.8.7) designed to ensure the DPO or Prospective DPO has been exposed to and has gained experience in the competencies that are fundamental to safe and successful DP operations. In order to be counted by the OSVDPA, each Training and Certification Activity (i.e. day of Sea Time, hour of Practical Experience, or taskbook task) must be logged in OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version) and be signed by a DPO under the procedures listed in Section 19.8.3. Generally, the person that signs a logbook must be a DPO with a certificate that meets or exceeds the level being sought by the Prospective DPO (Section 4.14), however, other arrangements are available. Each offshore phase, has differing requirements for Sea Time and Practical Experience and its own taskbook. The requirements of Phase 2 (Familiarization) are detailed in Section 19.4 and include the concept of Passive Time, which is contained in Section 19.4.2. The requirements of Phase 4 (Watchkeeping) are found in Section 19.5, and the Phase 5 (Upgrading) requirements are found in Section 19.6.

### 19.1.2 **Limitations.**

19.1.2.1 This section covers only the policies and procedures for completing the experience gathering phases. The procedures for the assessments conducted at the conclusion of these phases are found in Section 21. Specifically, the policies and procedures for the Phase 2 Assessment are found in Section 21.6, the policies and procedures for the Phase 4 Assessment are found in Section 21.8.2, and the policies and procedures for the Phase 5 Assessment are found in 21.9.

19.1.2.2 This section does not cover the policies and procedures utilized to apply for an OSVDPA DPO Certificate. Those procedures are found in Section 22.

19.1.2.3 This section does not cover the policies and procedures utilized when a Prospective DPO or DPO grandfathers into the OSVDPA DPO Certification Scheme. The policies and procedures applicable to those situations are found in Section 20.

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## 19.2 References.

- 19.2.1 Section **4** Definitions.
- 19.2.2 Section **6**: Roles and Responsibilities.
- 19.2.3 Section **14**: Utilization of Classed Vessels for OSVDPA Activities.
- 19.2.4 Section **16**: Prospective DPO Entry Requirements and Scheme Application Procedures.
- 19.2.5 Section **17**: Phase 1 (Induction) Course Standards.
- 19.2.6 Section **20**: Grandfathering of Experience Gained Outside the OSVDPA.
- 19.2.7 Section **21** Assessment Policy.
- 19.2.8 Section **22**: DPO Certificate Application Procedures.
- 19.2.9 Section **25**: Appeals Process.
- 19.2.10 Form AE-1-CV, the Application for Entry (Current Version).
- 19.2.11 Form DPO-1-CV, the Training and Certification Activities Confirmation Letter, (Current Version).
- 19.2.12 Form DPO-2-CV, the DPO Certificate Application (Current Version).
- 19.2.13 Form DPO-3-CV, the Revalidation Application (Current Version).
- 19.2.14 Form DPO-4-CV, the Grandfathering of Previous Experience (Current Version).
- 19.2.15 Form P-1-CV, the Prospective DPO Approval (Current Version).
- 19.2.16 OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version).
- 19.2.17 OSVDPA LB-2-CV, the OSVDPA Post-Scheme Logbook (Current Version).
- 19.2.18 OSVDPA CT-1-CV the OSVDPA Competency Standard (Current Version).
- 19.2.19 IMCA, “Dynamic Positioning (DP) Logbook”.

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### 19.3 **Sea Time, Practical Experience, or Logbook Fraud.**

- 19.3.1 As stated in Section **6.3.6**, as the Scheme Owner, the OSVDPA takes responsibility for investigating, determining, and punishing those who commit fraud against the OSVDPA, Training and Certification Partners (Section **4.41**), or potential Training and Certification Partners. The OSVDPA's reserving of this right does not alleviate the necessity of all Training and Certification Partners from assisting in the fraud protection, discovery, and eradication effort. The OSVDPA retains the right to revoke the certification, accreditation, enrollment, approval, or membership of any Training or Certification Partner that the OSVDPA feels has not fully engaged in the fraud protection, discovery, and eradication effort.
- 19.3.2 An individual or entity found via the OSVDPA investigation described in Section **19.3.5** to have committed or attempted to commit fraud during or relating to the Phase 2, Phase 4, or Phase 5 of the OSVDPA DPO Certification Scheme shall lose their OSVDPA approval, certification, or enrollment and/or be denied entry to the OSVDPA DPO Certification Scheme for a period of no less than two (2) years. If an individual or entity reapplies after this time, they must do so under the standard procedures and shall not be provided credit for any previous OSVDPA activities, payments, or expenses.
- 19.3.3 Fraud, attempted fraud, or suspected fraud relating to Phase 2, Phase 4, or Phase 5 of the OSVDPA DPO Certification Scheme should be reported to the OSVDPA Executive Director as soon as discovered. Such a report should include all available evidence, all suspected OSVDPA DPO Certification Scheme participants believed to be involved in the fraud, how the fraud was discovered, and the actions the party reporting the fraud has taken.
- 19.3.4 If it is a Vessel Operator that submits the Section **19.3.3** notice to the OSVDPA, the entity shall take steps to ensure that any records that might be used by the OSVDPA as evidence are preserved.
- 19.3.5 Once the notice is received, the OSVDPA shall conduct its own investigation. This investigation shall include reviewing the evidence received in the notice and conducting interviews with those who might have knowledge of the fraud.
- 19.3.6 Any person or entity found to have engaged in fraud and punished by the OSVDPA shall be able to appeal this decision under the procedures found in Section **25**.

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19.4 **Phase 2 (Familiarization) Policies and Procedures.** The OSVDPA shall not accept Training and Certification Activities (see Section **4.40**) which are recorded by the Prospective DPO prior to their completion of the Phase 1 (Induction) Course (Section **17**) and passage of the Phase 1 Assessment (Section **21.5**).

19.4.1 **Requirements.** In order to complete Phase 2 (Familiarization), the following requirements must be met by the Prospective DPO.

19.4.1.1 The Prospective DPO must record no less than 30 days of Sea Time (Section **4.38**). Of this amount, up to 15 days may be Passive Time (Section **19.4.2**).

19.4.1.2 The Prospective DPO must record no less than 90 hours of Practical Experience (Section **4.32**).

19.4.1.3 The Prospective DPO must complete the Phase 2 (Familiarization) Taskbook. See Section **19.8** for more information about how these requirements must be fulfilled.

19.4.2 **Passive time.**

19.4.2.1 Passive Time is a structured and formal training related to a DP vessel's operations conducted while the vessel is not on DP. To accrue one day of Passive Time, a Prospective DPO must conduct at least two (2) hours of qualified training within a 24-hour period. The training must be facilitated and overseen by a DPO (Section **4.26**) or the Master of the Vessel and documented in the Prospective DPO's OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version) under the procedures found in Section **19.8.3**.

19.4.2.2 Prospective DPOs are allowed to record Sea Time (Section **4.38**), Practical Experience (Section **4.32**), and Passive Time (Section **4.29**) on the same calendar day, provided the requirement of each activity was fulfilled.

19.4.2.3 Passive Time cannot be block signed.

19.4.2.4 The OSVDPA shall not accept more than one (1) Passive Time period from the same calendar day.

19.4.2.5 No Passive Time shall be accepted after the start of the Phase 2 Assessment. This includes if the Prospective DPO utilizes the final two (2) days of Sea Time to conduct, or start, the Phase 2 Assessment, under the provisions of Section **19.4.4**.

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19.4.2.6 Prospective DPOs seeking to transfer excess Sea Time from Phase 2 (Familiarization) to Phase 4 (Watchkeeping) under the provisions of Section **19.5.2** are not allowed to transfer Passive Time.

19.4.3 **Passive Time Activities.** To qualify as Passive Time, the Prospective DPO must be conducting one or more of the activities listed below.

19.4.3.1 **Use of the on-board DP simulator.** If the vessel is fitted with an on-board DP simulator meeting the requirements of Section **19.4.3.6**, the Prospective DPO can record the time he or she spent utilizing this simulator to conduct the following activities.

19.4.3.1.1 Slowing the vessel down with DP joystick.

19.4.3.1.2 Testing the joystick and verifying setpoint/feedback.

19.4.3.1.3 Changing the DP system to auto heading.

19.4.3.1.4 Slowing the vessel and going into full Auto-DP.

19.4.3.1.5 Moving the vessel.

19.4.3.1.6 Completing the DP checklist and reviewing all DP screens without the possibility of any danger.

19.4.3.2 Dock-side or at anchor testing or calibration of the reference systems found on the vessel. Prospective DPOs must list what reference system was subject to this testing or calibration. The OSVDPA shall check this listing against the reference systems listed as being on the vessel on the OSVDPA Vessel Database (Section **14.6**), if available.

19.4.3.3 Participating in a tool-box, risk analysis, or DP operation planning session.

19.4.3.4 Documented discussion between the Prospective DPO and a DPO or the Master of the Vessel, of the vessel's version of the documents listed in Sections **19.4.3.4.1** through **19.4.3.4.4**, provided this discussion proves the Prospective DPO understands the content of these documents. Prospective DPOs and those who participate in these discussions and sign the Prospective DPO's logbook should note that Passive Time is only awarded for the time of the discussion, not for reading the materials.

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19.4.3.4.1 The vessel's Failure Modes and Effects Analysis (FMEA).

19.4.3.4.2 The vessel's most recent annual trial report.

19.4.3.4.3 The vessel's capability plot.

19.4.3.4.4 The vessel's DP operations manual or the relevant section of a company's vessel management system.

19.4.3.5 Reviewing the physical layout of the vessel's DP system and discussing the layout with a DPO or the Master of the Vessel, provided this review and discussion proves the activity has improved the Prospective DPO's understanding of how the layout of the vessel's DP system furthers (or hinders) the vessel's DP redundancy concept, the vessel's capabilities, and/or how the vessel is more safety/efficiently operated. Prospective DPOs and those who participate in these discussions and sign the Prospective DPO's logbook should note that Passive Time is only awarded for the time of the discussion, not for reviewing the layout of the vessel's DP system.

#### 19.4.3.6 **On-Board DP Simulator Requirements.**

19.4.3.6.1 The simulator program is the same program as used to hold the vessel on DP, and reacts the same as the operating vessel and using the DP to hold position.

19.4.3.6.2 The screens on the DP system in simulator mode are the same as the DP operator would use when vessel is on DP, and

19.4.3.6.3 Completing DP Setup and Change of Watch Checklist are the same as completing them when the vessel is on DP

#### 19.4.4 **Phase 2 Assessments Conducted During Sea Time and Practical Experience.**

The Phase 2 Assessment is a continuation of the Phase 2 Taskbook, as contained in OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version). The rules contained in this section govern when the Prospective DPO can begin the assessment. For the policies and procedures governing the rest of the Phase 2 Assessment, please see Section **21.6**.

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19.4.4.1 Prospective DPOs are allowed to start the Phase 2 Assessment when they have completed 28 days of Sea Time (Section **4.38**), 84 hours of Practical Experience (Section **4.32**), and the sections of the Phase 2 Taskbook not associated with the Phase 2 Assessment.

19.4.4.2 Any Passive Time (Section **19.4.2**) the Prospective DPO seeks to record must have been completed prior to the start of the Phase 2 Assessment.

19.5 **Phase 4 (Watchkeeping) Policies and Procedures.** To begin Phase 4 (Watchkeeping), the Prospective DPO must have successfully passed the Phase 3 Assessment (Section **21.7**).

19.5.1 **Requirements.** In order to complete Phase 4 (Watchkeeping) and begin the Phase 4 Assessment (Section **21.8**), the following training must be recorded by the Prospective DPO in accordance with Section **19.8**.

19.5.1.1 The Prospective DPO must record no less than 60 days of Sea Time (Section **4.38**).

19.5.1.2 The Prospective DPO must record no less than 180 hours of Practical Experience (Section **4.32**).

19.5.1.3 The Prospective DPO must complete the Phase 4 (Watchkeeping) Taskbook. See Section **19.8.7**, below for more information about how these requirements must be fulfilled.

19.5.2 **Moving of Sea Time and Practical Experience.** Prospective DPOs that accumulate more than 30 days of Sea Time (Section **4.38**) and/or 90 hours of Practical Experience (Section **4.32**) can move some of this time to Phase 4 (Watchkeeping), provided the following policies and procedures are adhered to.

19.5.2.1 Sea Time and Practical Experience cannot be double counted in Phase 2 (Familiarization) and Phase 4 (Watchkeeping), thus, if the Prospective DPO moves Sea Time and/or Practical Experience, he or she must have sufficient Sea Time and Practical Experience to cover the requirements of Phase 2 (Familiarization) as listed in Section **19.4**.

19.5.2.2 Sea Time designated as Passive Time (Section **19.4.2**) cannot be moved to Phase 4 (Watchkeeping).

19.5.2.3 Sea Time and Practical Experience during which the Prospective DPO completed the Phase 2 Assessment cannot be moved to Phase 4 (Watchkeeping).

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19.5.2.4 Prospective DPOs seeking a Class A DPO Certificate (Section 4.14.3) must ensure that any Sea Time or Practical Experience moved from Phase 2 (Familiarization) to Phase 4 (Watchkeeping) must have been completed aboard a vessel with a DP class notation of DP-2 or higher as provided by a recognized classification society.

19.5.2.5 Regardless of the amount of Sea Time and/or Practical Experience Transferred from Phase 2 (Familiarization), the Prospective DPO is required to record no less than 40 days of Sea Time and 120 hours of Practical Experience after they have passed the Phase 3 Assessment (Section 21.7).

19.5.2.6 To transfer the Sea Time and/or Practical Experience, a Prospective DPO should follow the appropriate instructions in OSVDPA LB-1-CV, the OSVDPA In-Scheme Log Book, (Current Version).

19.5.3 **Part A and Part B of Phase 4.** Phase 4 (Watchkeeping) is composed of two (2) equal parts, Part A and Part B. Part A leads to the Phase 4A Assessment and the Class A DPO Certificate (Section 4.14.3) and Part B of Phase 4 leads to the Phase 4B Assessment and the Class B DPO Certificate (Section 4.14.2). Information on the differences in these assessments can be found at Section 21.8.7. The below provides policies and procedures to address the special situations caused by Phase 4 having two (2) parts. These sections (as listed therein) supersede the policies and procedures listed in Section 19.7 and Section 19.8.

19.5.3.1 Part B is for Prospective DPOs completing the Phase 4 (Watchkeeping) requirements (specified at Section 19.5.1 as 60 days of Sea Time (Section 4.38), 180 hours of Practical Experience (Section 4.32), and completion of the Phase 4 Taskbook) aboard Accepted Unclassed Vessels (Section 4.4) or vessels with a DP class notation of DP-1 as issued by a recognized classification society.

19.5.3.2 Part A is for Prospective DPOs completing Phase 4 (Watchkeeping) must complete the Phase 4 (Watchkeeping) requirements aboard vessels with a DP class notation of DP-2 or higher as issued by a recognized classification society. Nothing in this section prevents a Prospective DPO seeking to complete Part A of Phase 4 (Watchkeeping) from also recording Sea Time and Practical Experience aboard a vessel with a DP class notation of DP-1 as issued by a recognized classification society or on an Accepted Unclassed Vessels (Section 4.4), however, this experience shall not count towards the Prospective DPO earning a Class A DPO Certificate.

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- 19.5.3.3 Prospective DPOs are not required to declare, pick, or otherwise announce which part of Phase 4 (Watchkeeping) they are seeking to complete. However, the OSVDPA shall not accepted Phase 4A Assessments from Prospective DPOs that have not previously completed the requirements of Section **19.5.3.2**.
- 19.5.3.4 Prospective DPOs seeking a Class A DPO Certificate must have the Phase 4 (Watchkeeping) section of their OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version) and the Phase 4 Taskbook signed by a DPO who has one of the following DPO certificates.
- 19.5.3.4.1 OSVDPA Class A DPO Certificate,
- 19.5.3.4.2 Nautical Institute Unlimited DPO Certificate, or
- 19.5.3.4.3 DPO certificate issued by a DNVGL-approved DPO certification scheme, provided the OSVDPA finds that the certificate requires experience on a vessel with a DP class notation of DP-2 or higher issued by a recognized classification society.
- 19.5.3.5 The Master of the Vessel is allowed to sign the Phase 4 (Watchkeeping) logbook (as allowed in Section **19.8.3.2**) of a Prospective DPO seeking to complete Part A of Phase 4 (Watchkeeping), regardless of the Master's DPO certification.
- 19.5.3.6 If the Master of the Vessel is the Prospective DPO seeking to complete Part A of Phase 4 (Watchkeeping), he or she is allowed to have their Phase 4 Taskbook signed by a DPO holding one of the DPO certificates listed above, provided the Vessel Operator (Section **4.43**) completes the "Enhanced Verification" portion of Form DPO-1-CV, the Training and Certification Activities Confirmation Letter (Current Version) per the requirements of Section **22.8.4.5**.
- 19.5.3.6.1 In the instance where a Master of the Vessel is the Prospective DPO and there is not a DPO onboard holding one of the DPO certificates described above, the situation should be treated under the procedures found in Section **19.8.3.5**.

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19.5.3.7 To ensure Class A DPOs have experience in DP system redundancy, there is a minimum amount of tasks that must be completed in the Phase 4 Taskbook in order for the Prospective DPO to take the Phase 4A Assessment. This requirement supersedes the allowances at Section **19.8.7.2**, which allows Prospective DPOs to state that certain systems, subsystems, and/or components were not available on the vessel thus the task cannot be completed by the Prospective DPO.

19.6 **Phase 5 (Upgrading) Policies and Procedures.** Phase 5 (Upgrading) of the OSVDPA DPO Certification Scheme is for DPOs seeking to upgrade their valid Class B DPO Certificate (Section **4.14.2**) to a Class A DPO Certificate (Section **4.14.3**). Phase 5 (Upgrading) is a voluntary phase of the OSVDPA DPO Certification Scheme.

19.6.1 **Beginning Phase 5 (Upgrading) Requirements.** To begin completing the requirements of Phase 5 (Upgrading), a DPO must have the following items and completed the following steps.

19.6.1.1 Hold a valid OSVDPA Class B DPO Certificate.

19.6.1.1.1 **Alternative Compliance.** Prospective DPOs that have submitted their Form DPO-3-CV, Revalidation of an DPO Certificate Application (Current Version) to the OSVDPA and are awaiting the OSVDPA's response, are allowed to start recording Sea Time (Section **4.38**) and Practical Experience (Section **4.32**) in an OSVDPA LB-2-CV, the OSVDPA Post-Scheme Logbook (Current Version) or the current version of the IMCA, "Dynamic Positioning (DP) Logbook" if their OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version) is being held by the OSVDPA, provided, the Prospective DPO understands the recording of this time is subject to the OSVDPA's approval of the Prospective DPO's Form DPO-3-CV. However, these Prospective DPOs may not record taskbook tasks until their OSVDPA LB-1-CV is returned from the OSVDPA.

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19.6.1.1.2 **Alternative Compliance.** DPOs that have been awarded a DPO certificate from another recognized DPO certification scheme may grandfather into the OSVDPA and upgrade to a Class A DPO Certificate simultaneously by submitting Form DPO-4-CV, the OSVDPA Grandfathering of Previous Experience (Current Version) (Section **20.11.1**) and completing the appropriate sections of the form. Additionally, these DPOs must wait until they are approved into the OSVDPA DPO Certification Scheme and provided a copy of OSVDPA LB-1-CV to begin recording completion of the Phase 5 Taskbook or start the Phase 5 Assessment (Section **21.9**).

19.6.1.2 Have a valid Accepted Entry Credential (AEC) on file in the OSVDPA Database that meets the requirements of Section **16.4.1.1** through Section **16.4.1.3**.

19.6.1.3 Have a valid Medical Certificate meeting the requirements of Section **16.4.2**.

19.6.1.4 Have a valid government-issued picture ID meeting the requirements of Section **16.4.3**.

19.6.2 **Phase 5 (Upgrading) Completion Requirements.** In order to complete Phase 5 (Upgrading), and begin the Phase 5 Assessment (Section **21.9**) the following must be recorded by the DPO in accordance with the requirements of **19.8**.

19.6.2.1 The DPO must record no less than 30 days of Sea Time (Section **4.38**).

19.6.2.2 The DPO must record no less than 60 hours of Practical Experience (Section **4.32**).

19.6.2.3 The DPO must complete the Phase 5 (Upgrading) Taskbook.

19.6.3 **Other Phase 5 Requirements.** This section lists the special policies and procedures applicable to Phase 5 (Upgrading). These policies and procedures supersede (as stated therein) the policies and procedures listed in Section **19.7** and Section **19.8**.

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19.6.3.1 **Training and Certification Activities.** The Sea Time (Section **4.38**), Practical Experience (Section **4.32**), and taskbook tasks recorded by DPOs completing Phase 5 (Upgrading) must be conducted on a vessel with a DP class notation of DP-2 or higher as issued by a recognized classification society.

19.6.3.2 **Signatories.** The Sea Time, Practical Experience, and Taskbook tasks recorded by DPOs completing Phase 5 (Upgrading) must be signed by a DPO who has one of the following DPO certificates.

19.6.3.2.1 OSVDPA Class A DPO Certificate,

19.6.3.2.2 Nautical Institute Unlimited DPO Certificate, or

19.6.3.2.3 DPO certificate issued by a DNVGL-approved DPO certification scheme, provided the OSVDPA finds that the certificate requires experience on a vessel with a DP class notation of DP-2 or higher as issued by a recognized classification society.

19.6.3.2.4 **Alternative Compliance.** The Master of the Vessel is allowed to sign the Phase 5 logbook and taskbook (as allowed in Section **19.8.3**) of a DPO seeking to complete Phase 5 (Upgrading), regardless of the Master's DPO certification.

19.6.3.2.5 **Alternative Compliance.** If the Master of the Vessel is the DPO seeking to complete Phase 5 (Upgrading), he or she is allowed to have their Phase 5 logbook and Phase 5 Taskbook signed by a DPO holding one of the DPO certificates described above, provided the Vessel Operator completes the "Enhanced Verification" portion of Form DPO-1-CV, the Training and Certification Activities Confirmation Letter (Current Version) per the requirements of Section **22.8.4.5**.

19.6.3.2.6 **Alternative Compliance.** In the instance where a Master of the Vessel is the Prospective DPO and there is not a DPO onboard holding one of the DPO certificates described above, the situation should be treated under the procedures found in Section **19.8.3.5**.

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19.7 **Pre-Requisites to starting a phase.** The following policies and procedures are applicable to all DPOs and Prospective DPOs starting Phase 2 (Familiarization), Phase 4 (Watchkeeping), and Phase 5 (Upgrading). In instances where requirements of a particular phase differ or exceed these requirements, such a difference will be listed in the following sections: Phase 2 (Section **19.4**), Phase 4 (**19.5**), or Phase 5 (Section **19.6**).

19.7.1 The only Training and Certification Activities (Section **4.40**) recorded by a Prospective DPO that shall be counted by the OSVDPA are those which occur while the following documents are valid.

19.7.1.1 Prospective DPO ID Number (Section **4.35**) as issued to him or her by the OSVDPA on a Form P-1-CV, the Prospective DPO Approval (Current Version).

19.7.1.1.1 **Differing Criteria.** Prospective DPOs are not allowed to complete Phase 5 (Upgrading) see Section **19.6.1**.

19.7.1.2 The Accepted Entry Credentials (AECs, defined at Section **4.3**) detailed in Section **16.4.1.1** through Section **16.4.1.3**.

19.7.1.2.1 **Differing Criteria.** Cadets (Section **4.13**) at a Maritime Academy and Able Bodied Seamen that have passed a U.S. Coast Guard Approved Rating Forming Part of a Navigational Watch course are not allowed to start Phase 4 (Watchkeeping). (See Section **19.5.1** for more information)

19.7.1.3 Have a valid Medical Certificate meeting the requirements of Section **16.4.2**.

19.7.1.4 Have a valid government-issued picture ID meeting the requirements of Section **16.4.3**.

19.8 **Recording of taskbook tasks, Sea Time, and Practical Experience.** The following policies and procedures are applicable to the completion and recording of Sea Time (Section **4.38**), Practical Experience (Section **4.32**), and completion of the taskbook sections of OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version) for Phase 2 (Familiarization), Phase 4 (Watchkeeping), and Phase 5 (Upgrading). In instances where requirements of a particular section or phase differ or exceed the policies and procedures listed in this section, the difference will be listed herein, along with a reference to where the policy specific to that section is located. These instructions and requirements are also included in OSVDPA LB-1-CV.

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- 19.8.1 Sea Time, Practical Experience, and taskbook completion are separate and distinct requirements of the OSVDPA DPO Certification Scheme. The amount of each of these activities required by a phase must be completed independent of the other activities without substitution or swapping (except for the limited allowance provided in Section 19.5.2 regarding moving Sea Time and Practical Experience from Phase 2 (Familiarization) to Phase 4 (Watchkeeping)).
- 19.8.2 The section in OSVDPA LB-1-CV corresponding to each phase is separate and distinct. The OSVDPA shall not accept Sea Time, Practical Experience, or taskbook tasks that were conducted prior to the date the DPO or Prospective DPOs successfully completed the previous phase (except for the limited allowance provided in Section 19.5.2 regarding moving Sea Time and Practical Experience from Phase 2 (Familiarization) to Phase 4 (Watchkeeping)).
- 19.8.3 To record the successful completion of a Training and Certification Activity (i.e. a day of Sea Time, an hour of Practical Experience, or a task in the taskbook), the activity must be signed, dated, and stamped by a DPO or the Master of the Vessel. This individual must have been onboard the vessel and witnessed the DPO or Prospective DPO conduct the task.
- 19.8.3.1 DPOs that sign must provide their DPO Certificate Number and the DPO certification scheme that provided this certificate.
- 19.8.3.2 Masters that are not DPOs that sign must provide their license number and the Flag State that issued this license.
- 19.8.3.3 There are specific requirements for the type of DPO that may sign Training and Certification Activities (Section 4.40) for Phase 4A (Watchkeeping) and Phase 5 (Upgrading). These requirements are found in Section 19.5.3.4 and Section 19.6.3.2, respectively.
- 19.8.3.4 **Alternative Compliance.** In instances where the Master of the Vessel is the DPO or Prospective DPO seeking to have a Training and Certification Activity signed, another DPO must sign each Training and Certification Activity. In this instance, the Vessel Operator (Section 4.43) shall be required to complete the “Enhanced Verification” portion of Form DPO-1-CV, which requires the Vessel Operator attest that other steps have been taken to ensure the competency of the Master of the Vessel. As stated in Section 22.8.4.5, this portion of Form DPO-1-CV must be signed by a Qualified on Board Assessor (QOBA) (4.37).

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- 19.8.3.5 **Alternative Compliance.** In instances where the Master of the Vessel is the DPO or Prospective DPO seeking to have a Training and Certification Activity signed and there is not another DPO (or in the case of a DPO seeking a Class A DPO Certificate) meeting the appropriate requirements aboard the vessel, the Vessel Operator shall contact the OSVDPA and the OSVDPA shall work with the Vessel Operator to develop specific procedures for this individual.
- 19.8.4 The OSVDPA does not accept block signatures, stamps, or dates. Each Training and Certification Activity must be signed individually.
- 19.8.5 Each Training and Certification Activity must be completed on an Accepted Unclassed Vessel (Section **4.4**) or a vessel with a valid DP class notation as issued by a recognized classification society.
- 19.8.5.1 The OSVDPA strongly encourages DPOs and Prospective DPOs to check the OSVDPA Vessel Database (Section **14.6**) prior to beginning a phase to ensure the vessel(s) they anticipate conducting Sea Time (Section **4.38**), Practical Experience (Section **4.32**), and taskbook tasks on are listed therein. If the vessel is not found on this list, the OSVDPA urges the DPO or Prospective DPOs to contact the Vessel Operator to have this entity contact the OSVDPA to ensure the vessel qualifies.
- 19.8.6 In order to be counted by the OSVDPA, Training and Certification Activities must be completed within the Certification Deadline (Section **4.17**), a date which is five (5) years of the following dates:
- 19.8.6.1 For Prospective DPOs who have not earned any DPO certificate, the first day of the first Phase 1 (Induction) Course Class taken by the Prospective DPO.
- 19.8.6.1.1 If a Prospective DPO took a Blended Phase 1 (Induction) Course (Section **17.9**), the Certification Deadline is the date five (5) years after the first day of the classroom portion of Blended Phase 1 (Induction) Course.
- 19.8.6.2 For Prospective DPOs earning their Class A DPO Certificate or Class B DPO Certificate after earning a Class C Permit, the date printed on their Class C Permit (Section **4.14.1**).
- 19.8.6.3 DPOs upgrading their Class B DPO Certificate to a Class A DPO Certificate via Phase 5 (Upgrading), the date printed on their Class B DPO Certificate.

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19.8.7 **Completion of the taskbooks.** Each experience gathering phase of the OSVDPA DPO Certification Scheme (Phase 2 (Familiarization), Phase 4 (Watchkeeping), and Phase 5 (Upgrading)) requires the completion of a taskbook. The purpose of the taskbooks is to ensure Prospective DPOs have been exposed to, and have gained experience in, the competencies that are fundamental to safe and successful DP operations. Additionally, the competencies which serve as the focus for each task are included in the assessment at the end of the phase. The basis for the tasks in each taskbook is OSVDPA CT-1-CV, the OSVDPA Competency Standard (Current Version).

19.8.7.1 A portion of the Phase 2 (Familiarization) Taskbook, includes the Phase 2 Assessment. The policies and procedures governing the completion of that section of the taskbook are covered in Section **21.6**.

19.8.7.2 The OSVDPA understands that limitations imposed by the vessel(s) the DPO or Prospective DPO serves and the systems, subsystems and components found on these vessels may cause some DPOs and Prospective DPOs to be incapable of completing every task listed in each taskbook. That said, the OSVDPA does not accept taskbooks with blank tasks. If a Prospective DPO is unable to complete a task due to one of the reasons listed below, the appropriate notations must be made.

19.8.7.2.1 The taskbook for each phase is not linear. The DPO or Prospective DPO is urged to complete as much of that taskbook as possible while they are serving on vessels with the required equipment. **Note:** Nothing in this section shall be construed as allowing DPOs or Prospective DPOs to leave tasks blank when completing a phase (a violation of **19.8.7.2**) or starting a taskbook that corresponds to a phase a Prospective DPO has not progressed to (a violation of Section **19.8.2**).

19.8.7.2.2 The OSVDPA shall not accept taskbooks that are incomplete due to the operational tempo of the vessel or vessels the DPO or Prospective DPO served on as they worked to complete a particular phase. Except as provided below, if a system, subsystem, or component required to complete a task is included on one of the vessels the DPO or Prospective DPO served on during a phase or if the vessel is capable of conducting an operation listed in a task, the DPO or Prospective DPO must complete that task.

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- 19.8.7.2.3 If a system, subsystem, or component was not operable during the time a DPO or Prospective DPO's served aboard a vessel, and this inoperability thereby prevented the DPO or Prospective DPO from completing tasks, that fact must be noted in the taskbook via the DPO or Master of that vessel writing "not applicable: equipment inoperable" within the required cell and signed in accordance with the requirements listed in Section **19.8.3**. This operability information shall be verified against and included within the OSVDPA Vessel Database. Improper signatures in these areas of the taskbook and Form DPO-1-CV may cause the OSVDPA to not accept the Training and Certification Activities recorded by the DPO or Prospective DPO; prevent the DPO or Prospective DPO from securing a DPO Certificate; and/or initiate a fraud investigation against the DPO or Prospective DPO, the DPO or Master of the Vessel that improperly signed the tasks, and the individual that signed the Form DPO-1-CV.
- 19.8.7.2.4 If a task requires a system, subsystem, or component that is not on the vessel or vessels the DPO or Prospective DPO served on as they were completing the Training and Certification Activities of the phase in question, the DPO or the Master of the last vessel the Prospective DPO served on during that phase should mark the required cell "Not Applicable: equipment not onboard" and signed in accordance with the requirements listed in Section **19.8.3**.
- 19.8.7.2.5 The signatures mentioned above should only be signed by the last DPO or Master of the Vessel served under while completing the phase. The OSVDPA shall, during the DPO or Prospective DPO's Certificate Application Process (Section **22.6**) verify the dates listed in the appropriate sections. Improper signatures in these areas may cause the OSVDPA to not accept the Training and Certification Activities recorded by the DPO or Prospective DPO; prevent the DPO or Prospective DPO from securing an OSVDPA DPO Certificate; and/or initiate a fraud investigation against the DPO or Prospective DPO and/or the individuals that improperly signed the tasks.

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19.8.7.2.6 DPOs or Prospective DPOs seeking a Class A DPO Certificate (Section **4.14.3**) should review the requirement listed in Section **19.5.3.7**, which requires a certain amount of the tasks dealing with DP system redundancy to be completed.

19.8.7.3 Phase 2 (Familiarization) includes a Passive Time component (Section **19.4.2**). Only those tasks specifically noted as being required to be conducted during Passive Time or may be conducted during Passive Time shall be allowed to be recorded during Passive Time.

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## **20 Grandfathering of Training and Certification Activities from other Schemes.**

### **20.1 Purpose and Summary.**

20.1.1 **In General.** The OSVDPA accepts the Training and Certification Activities DPOs or Prospective DPOs have completed under other DPO certification schemes or while they possess a DPO certification from another DPO certification scheme. DPOs holding valid certificates issued by another widely recognized DPO certification schemes or bodies, must prove they have gained 150 days of Sea Time (Section **4.38**), 450 hours of Practical Experience (Section **4.32**) and once completed pass the Phase 4 Assessment Section (Section **21.7**). DPOs that do not have the required Sea Time or Practical Experience are provided other ways to gain this experience (Section **20.5**). See Section **20.8**, Section **20.9**, and Section **20.10** for more information. DPOs holding a valid certificate but who no longer serving as a DPO and have not gained the required amount of Sea Time and/or Practical Experience within the last five (5) years may qualify for an OSVDPA DPO Certificate utilizing the equivalent amount of DP Experience (See Section **23.6**).

20.1.2 **Limitation.** This section is concerned only with the OSVDPA's grandfathering of previous training or certification, (e.g. utilizing a Nautical Institute Limited DPO Certificate to secure an OSVDPA Class B DPO Certificate). DPOs interested in upgrading from one OSVDPA DPO Certificate to another OSVDPA DPO Certificate should see Section **19.6**.

### **20.2 References.**

20.2.1 Section **4**: Definitions.

20.2.2 Section **16**: Prospective DPO Entry Requirements and Scheme Application Procedures.

20.2.3 Section **17**: Phase 1 (Induction) Course.

20.2.4 Section **18**: Phase 3 (Simulator) Course.

20.2.5 Section **19**: Phase 2, Phase 4, and Phase 5 Standards.

20.2.6 Section **21**: Assessment Policy.

20.2.7 Form DPO-4-CV, the OSVDPA Grandfathering of Previous Experience, (Current Version).

20.2.8 Form P3A-1-CV, the Phase 3 Assessment Report (Current Version).

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20.2.9 Form P4A-1-CV, the Phase 4 Assessment Report (Current Version).

20.2.10 OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version).

20.2.11 OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version).

20.2.12 OSVDPA LB-2-CV, the OSVDPA Post-Scheme Logbook (Current Version).

20.2.13 IMCA DP Logbook.

20.2.14 DNVGL's *Recommended Practice: Certification Scheme for Dynamic Positioning Operators (DNVGL-RP-0007)*.

20.3 **Statement on transferring between DPO certification schemes.** The OSVDPA supports DPOs' and Prospective DPO's ability to transfer between DPO certification schemes and welcomes the opportunity to grandfather the Sea Time, Practical Experience, courses, and assessments these DPOs and Prospective DPOs have recorded, provided all of the requirements set forth by the OSVDPA are adhered to.

20.4 **Requirements for existing certificate holders.** Those holding a valid DPO certificate issued by the Nautical Institute or a DNVGL-approved certificate provider must meet the following requirements and complete the following steps prior to being awarded an OSVDPA DPO Certificate.

20.4.1 150 days of Sea Time (Section **4.38**) in the five (5) years prior to submitting the Form DPO-4-CV, the OSVDPA Grandfathering of Previous Experience, (Current Version).

20.4.2 450 hours of Practical Experience (Section **4.32**) in the five (5) years prior to submitting the Form DPO-4-CV, the OSVDPA Grandfathering of Previous Experience, (Current Version).

20.4.3 Pass the Phase 4A or Phase 4B Assessment as prescribed in Section **21.8** after the two (2) previously listed requirements have been completed.

20.4.3.1 **Note.** The OSVDPA shall not accept assessments that are completed prior to the Sea Time and Practical Experience requirements being met.

20.4.4 **Alternative Compliance.** Certified DPOs serving on shuttle tankers and unable to meet the Sea Time and Practical Experience requirements are allowed to take the Phase 4A or Phase 4B assessment provided they have completed 10 entire DP operations since certification.

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20.4.5 The above listed activities can be recorded in an OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version), an OSVDPA LB-2-CV, the OSVDPA Post-Scheme Logbook (Current Version), an IMCA DP Logbook, or other industry-accepted DP logbooks, provided the assessment required by Section **20.4.3** must be recorded on Form P4A-1-CV, the Phase 4 Assessment Report (Current Version).

20.5 **Additional requirements for DPOs with insufficient Sea Time and/or Practical Experience within the five (5) years prior to application.** If a DPO has insufficient Sea Time and/or Practical Experience to qualify for OSVDPA Grandfathering, he or she must:

20.5.1 Pass the Phase 3 Assessment (Section **21.7**).

20.5.2 Then complete 30 days of additional Sea Time and 60 hours of additional Practical Experience.

20.5.3 Then pass the Phase 4A or Phase 4B Assessment as prescribed in Section **21.8**.

20.5.4 The steps above must also be completed by those DPOs that fail the Phase 4 Assessment three (3) times under Section **20.4.3**.

20.5.5 The above-listed activities can be recorded in an OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version), an OSVDPA LB-2-CV, the OSVDPA Post-Scheme Logbook (Current Version), an IMCA DP Logbook, or other industry-accepted DP logbooks, provided the assessment required by Section **20.5.1** and the assessment required by **20.5.3** must be recorded on Form P3A-1-CV, the Phase 3 Assessment Report (Current Version) and Form P4A-1-CV, the Phase 4 Assessment Report (Current Version), respectively.

20.6 **Additional requirements for those without Sea Time and/or Practical Experience in the last five (5) years.** If a DPO has not accrued Sea Time and/or Practical Experience in the five (5) years prior to submitting a Form DPO-4-CV, the Grandfathering of Previous Experience (Current Version), they shall complete the following steps (in the order prescribed below).

20.6.1 Complete the Phase 3 (Simulator) Course, (Section **18**).

20.6.2 Then pass the Phase 3 Assessment (Section **21.7**).

20.6.3 Then complete 30 days of Sea Time and 90 hours of Practical Experience.

20.6.4 Pass the Phase 4A or Phase 4B Assessment as prescribed in Section **21.8**.

20.6.5 The steps above must also be completed by those DPOs that fail either of the assessments listed in Section **20.5** three (3) times.

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20.6.6 The above-listed activities can be recorded in an OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version).

20.7 **Upgrading During the Grandfathering Process.** DPOs that are seeking to grandfather their certification and experience into the OSVDPA DPO Certification Scheme and upgrade their DPO Certificate (e.g. go from a Nautical Institute-issued Limited DPO Certificate, to an OSVDPA Class A DPO Certificate) at the same time are able to do so.

20.7.1 DPOs seeking to upgrade while grandfathering must have no less than 30 days of Sea Time and no less than 60 hours of Practical Experience aboard a vessel with a DP class notation of DP-2 or higher, as issued by a recognized classification society.

20.7.1.1 **Note.** The above does not alleviate the DPO from accruing the amount of Sea Time and Practical Experience (under the time constraints imposed by) Section **20.4**.

20.7.2 DPOs seeking to upgrade must also complete the Phase 5 Taskbook as contained in OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version) under the policies and procedures detailed in Section **19.6**.

20.7.3 The assessment specified in Section **20.4.3** must be completed aboard a vessel with a DP class notation of DP-2 or higher, as issued by a recognized classification society.

20.8 **Prospective DPOs currently enrolled in the Nautical Institute certification program.** The OSVDPA honors the experience gained by DPOs enrolled in the Nautical Institute scheme and makes the following requirements for DPOs choosing to transfer from the Nautical Institute. The following subsections are titled based upon the highest level of the Nautical Institute training program that the Prospective DPO has successfully completed.

20.8.1 **Prospective DPOs that have passed the Nautical Institute Induction Course.**

20.8.1.1 The OSVDPA shall honor the Nautical Institute's Induction course, provided the Prospective DPO provides record of passing the Nautical Institute Phase A assessment.

20.8.1.2 The OSVDPA shall honor Sea Time accumulated after the Nautical Institute Induction Course and credit this time against the Sea Time and Practical Experience requirement of the OSVDPA Phase 2 (Familiarization) (Section **19.4**).

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20.8.1.2.1 The OSVDPA shall grandfather up to 15 days of previously conducted Passive Time recorded by the Prospective DPO, provided this time meets the requirements of Section **19.4.2**.

20.8.1.3 The OSVDPA shall honor Practical Experience accumulated after the Nautical Institute Induction Course, provided the Prospective DPO can adequately document Practical Experience and comply with the requirements of Section **19.8**.

20.8.1.4 The OSVDPA shall honor tasks from the Nautical Institute Logbook that have been recorded by the Prospective DPO. The OSVDPA shall review these tasks and see which tasks are comparable to the tasks listed in the OSVDPA Phase 2 Taskbook.

20.8.1.5 Upon receiving an application for grandfathering, the OSVDPA shall review the Sea Time, Practical Experience, and tasks mentioned above and respond to the Prospective DPO detailing how much Sea Time, Practical Experience, and tasks are being grandfathered into the OSVDPA and how much more he or she is required to complete in Phase 2 (Familiarization). Once this determination is made, the OSVDPA staff shall sign these tasks off in OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version) it provides to the Prospective DPO.

20.8.1.6 For Prospective DPOs that have not started the Phase C Simulator Course within the Nautical Institute, nothing in the above shall be construed as absolving the Prospective DPO of taking and passing the Phase 2 Assessment under the policies and procedures listed in Section **21.6**.

**20.8.2 Prospective DPOs that have passed the Nautical Institute's Phase B (Familiarization).**

20.8.2.1 The OSVDPA shall honor the Nautical Institute's Induction course, provided the Prospective DPO provides record of passing the Nautical Institute Phase A assessment.

20.8.2.2 The OSVDPA shall honor all of the Sea Time, Practical Experience, and taskbook tasks the Prospective DPO has completed during the Nautical Institute's Phase B Familiarization, provided these Training and Certification Activities are recorded in the Nautical Institute Logbook and meet the requirements of Section **19.4**.

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20.8.2.3 Upon receiving an application for grandfathering, the OSVDPA shall review the Sea Time, Practical Experience, and tasks mentioned above and respond to the Prospective DPO informing them they have enough Training and Certification Activities to enroll in an OSVDPA Phase 3 (Simulator) Course.

20.8.2.4 For Prospective DPOs that have not completed the Nautical Institute's Phase C Simulator Course (or passed the associated assessment), nothing in the above shall be construed as absolving the Prospective DPO of having to complete these steps.

**20.8.3 Prospective DPOs that have passed the Nautical Institute's Phase C (Simulator Course).**

20.8.3.1 The OSVDPA shall honor the Nautical Institute's Induction course, provided the Prospective DPO provides record of passing the Nautical Institute Phase A assessment.

20.8.3.2 The OSVDPA shall honor all of the Sea Time, Practical Experience, and taskbook tasks the Prospective DPO has completed during the Nautical Institute's Phase B Familiarization, provided these Training and Certification Activities are recorded in the Nautical Institute Logbook and meet the requirements of Section **19.4**.

20.8.3.3 The OSVDPA shall honor the Nautical Institute's Simulator course, provided the Prospective DPO provides record of passing the Nautical Institute Phase C assessment.

20.8.3.4 The OSVDPA shall honor Sea Time accumulated after the Nautical Institute simulator course and credit this time against the Sea Time and Practical Experience requirement of the OSVDPA Phase 4 (Watchkeeping) (Section **19.5**).

20.8.3.5 The OSVDPA shall honor Practical Experience accumulated after the Nautical Institute's Simulator course, provided the Prospective DPO can adequately document Practical Experience and comply with the requirements of Section **19.5**

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20.8.3.5.1 Note. The allowance provided at Section **19.5.2** regarding the moving of extra Sea Time and Practical Experience from Phase 2 (Familiarization) to Phase 4 (Watchkeeping) shall be provided to Prospective DPOs seeking to grandfather into the OSVDPA, provided they meet the restrictions and requirements of the above-referenced section

20.8.3.6 The OSVDPA shall honor tasks from the Nautical Institute Logbook that have been recorded by the Prospective DPO. The OSVDPA shall review these tasks and see which tasks are comparable to the tasks listed in the OSVDPA Phase 4 Taskbook.

20.8.3.7 Upon receiving an application for grandfathering, the OSVDPA shall review the Sea Time, Practical Experience, and tasks mentioned above and respond to the Prospective DPO detailing how much Sea Time, Practical Experience, and tasks are being grandfathered into the OSVDPA and how much more he or she is required to complete in Phase 2 (Familiarization). Once this determination is made, the OSVDPA staff shall sign these tasks off in the OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version) it provides to the Prospective DPO.

20.9 **Prospective DPOs currently enrolled in the DNVGL-approved DPO certification program at the Ship Modeling and Simulation Center.** The OSVDPA honors the experience gained by DPOs enrolled in the SMSC certification scheme and makes the following requirements for DPOs choosing to transfer from the SMSC. The following subsections are titled based upon the highest level of the SMSC training program that the Prospective DPO has successfully completed.

20.9.1 **Level Zero: DPO Preparation.** Prospective DPOs that have completed SMSC's Level Zero and have passed the DPO Preparation Test are allowed to forgo two and a half (2.5) days of Phase 1 (Induction) Course (Section **17**), provided the Training Provider selected by the Prospective DPO offers a blended online/classroom Phase 1 (Induction) Course. Those Prospective DPOs who cannot locate a blended course or choose to not utilize a blended course must complete the entire Phase 1 (Induction) Course.

20.9.2 **Level One: DPO Start.** Prospective DPOs that have completed SMSC's Level One and have passed the Level One measurement are provided credit for having completed the Phase 1 (Induction) Course (Section **17**) and having passed the Phase 1 Assessment (Section **21.7**).

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### 20.9.3 **Level Two: DPO Experience.**

- 20.9.3.1 Prospective DPOs having completed SMSC's Level Two are provided credit against the OSVDPA Sea Time requirement of the OSVDPA Phase 2 (Familiarization) (Section **19.4**) for any Sea Time they may have earned (Level Two, Alt. 2), provided this Sea Time is properly documented in an internationally accepted logbook.
- 20.9.3.2 The OSVDPA shall honor Practical Experience accumulated after the Nautical Institute Induction Course, provided the Prospective DPO can adequately document Practical Experience and comply with the requirements of Section **19.8**.
- 20.9.3.3 Prospective DPOs grandfathering into the OSVDPA at this point shall still be required to complete a taskbook for Phase 2 (Familiarization) and the Phase 2 Assessment.

### 20.9.4 **Level Three: Specialization (Course 1).**

- 20.9.4.1 Prospective DPOs that have passed SMSC's Level Three, Course 1, are allowed to take the Phase 3 Assessment (Section **21.7**) without having completed the Phase 3 (Simulator) Course.
- 20.9.4.2 Prospective DPOs transferring in at this point must still complete 60 days of Sea Time and 270 hours of Practical Experience, and the Phase 4 Taskbook.
- 20.9.4.3 As it occurred in a previous course, the OSVDPA shall not provide credit against the above-listed total for any Sea Time or Practical Experience recorded during SMSC Level 2, Alt. 2.

### 20.9.5 **Level Three: Specialization (Course 2).**

- 20.9.5.1 As Level 3, Course 2 is a shuttle tanker intensive course, credit similar to what is provided to Prospective DPOs that have completed Level Three, Course 2, cannot be given to Prospective DPOs that have completed this course.
- 20.9.5.2 Prospective DPOs transferring in at this point do not have to take the Phase 1 (Induction) Course or pass the Phase 1 Assessment.
- 20.9.5.3 Prospective DPOs transferring in at this point must still complete 90 days of Sea Time and 270 hours of Practical Experience, the associated pages in the taskbook, and the associated assessments.

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20.9.5.4 Credit shall be awarded for Sea Time earned during SMSC Level 2, Alt. 2 under the procedures described in section **20.9.5.**

20.10 **Other DNVGL-approved certification schemes.** The OSVDPA shall draft specific transfer requirements for all other DNVGL-approved certification systems or certification systems complying with DNVGL's *Recommended Practice: Certification Scheme for Dynamic Positioning Operators (DNVGL-RP-0007)*.

20.11 **Procedures.** Those seeking to grandfather Training and Certification Activities into the OSVDPA must complete Form DPO-4-CV, the OSVDPA Grandfathering of Previous Experience (Current Version) and the other steps described below.

20.11.1 **Form DPO-4-CV, the OSVDPA Grandfathering of Previous Experience (Current Version).** To ensure the DPO is eligible to pursue an OSVDPA DPO Certificate, the DPO or Prospective DPO is required to complete Form DPO-4-CV prior to any action. Specifically, Form DPO-4-CV requests:

20.11.1.1 The DPO or Prospective DPO's name and identification number from the previous certification scheme;

20.11.1.2 Existing DPO certificate (if earned).

20.11.1.3 Course completion certificates (if earned).

20.11.1.4 Copies of the individual's Accepted Entry Credentials (AECs) (Section **16.4.1**) or proof of attendance at a maritime academy meeting the requirements of Section **16.4.4**.

20.11.1.5 Copies of the individual's medical certificate meeting the qualifications of Section **16.4.2**.

20.11.1.6 Copies of the individual's government-issued identification, meeting the standards of Section **16.4.3**.

20.11.1.7 A notarized copy of their NI, IMCA, DNVGL, or other industry accepted logbook, or a copy of such logbook that is submitted under a signed and notarized statement attesting to the accuracy of the copy.

20.11.1.8 Sea service letters or discharge books validating Sea Time.

20.11.1.9 A box asking if the individual is seeking to upgrade their DPO certificate (if any) while grandfathering into the OSVDPA.

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20.11.2 **Fee.** The OSVDPA shall charge a fee for DPOs or Prospective DPOs to transfer into the OSVDPA. This fee is charged to cover the costs of reviewing the DPO's or Prospective DPO's transfer application. The fee, Fee DPO-3, is found in OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version). Payment of this fee must be received by the OSVDPA prior to the review of the transfer application.

20.11.3 **Confirmation.** After submitting the required information, the OSVDPA shall respond stating if the DPO is eligible to pursue an OSVDPA DPO Certificate and what level of credit the Prospective DPO is provided. This confirmation shall also state the next step the DPO is eligible for, e.g. the next assessment, course, or phase.

20.11.4 **Requests for additional information.** Should the OSVDPA decide additional information is required to make this determination, it shall request this information from the DPO or Prospective DPOs. Such requests must be answered within 90 days or the transfer application shall be terminated.

20.11.5 **Timing.** The OSVDPA endeavors to return this confirmation to the Prospective DPO or DPO no later than fifteen (15) days after submission. The response shall be sent via email to the email address submitted by the DPO or Prospective DPO. After this email is sent, OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version) or OSVDPA LB-2-CV, the OSVDPA Post-Scheme Logbook (Current Version) shall be mailed to the DPO or Prospective DPO.

20.12 **Assessment procedures.** All assessments referenced in this section shall be conducted under the procedures called for in Section **21**. Penalties for the failure of assessments mentioned in this section shall also correspond to the penalties included in Section **21**.

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## 21 Assessment Policy.

### 21.1 Purpose and Summary.

21.1.1 The OSVDPA DPO Certification Scheme is defined by DPOs and Prospective DPOs passing an assessment before advancing to the next phase, earning certification, or revalidating their certificate. Specifically, after the Phase 1 (Induction) Course there is a 60-question multiple choice test (Section **21.5**). The Phase 2 (Familiarization) assessment is a portion of the Phase 2 Taskbook (Section **21.6**). After the Phase 3 (Simulator) Course, Prospective DPOs must pass a simulator-based assessment (Section **21.7**). After Phase 4 (Watchkeeping) is completed, Prospective DPOs must complete an assessment either on an OSVDPA-approved simulator or aboard a vessel. The similar policies are utilized for Phase 5 (Upgrading) (Section **21.9**) and the revalidation of DPO certificates. The onboard assessments are administered by a Qualified on Board Assessor (QOBA) (Section **21.10**). Generally, DPOs and Prospective DPOs are provided three (3) chances to pass the assessment for each phase (never taking the same version of the assessment). If a DPO or Prospective DPO fails all three (3) chances to pass an assessment, he or she is required to retake all or a portion of the preceding phase.

### 21.2 References.

- 21.2.1 Section **4**, Definitions.
- 21.2.2 Section **6**, Roles and Responsibilities.
- 21.2.3 Section **7**, Accreditation.
- 21.2.4 Section **8**, Accreditation Process.
- 21.2.5 Section **9**, Reaccreditation Process.
- 21.2.6 Section **13**: Vessel Operator Enrollment in the OSVDPA.
- 21.2.7 Section **15**: Accepted Unclassed Vessel Policies and Procedures.
- 21.2.8 Section **16**: Prospective DPO Entry Requirements and Scheme Application Procedures.
- 21.2.9 Section **17**: Phase 1 (Induction) Course Standards.
- 21.2.10 Section **18**: Phase 3 (Simulator) Course Standards.
- 21.2.11 Section **19**: Phase 2, Phase 4, and Phase 5 Standards.

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- 21.2.12 Section **25**: OSVDPA Appeals Process.
- 21.2.13 OSVDPA AS-1-CV, the OSVDPA Assessment Guide and Item Bank (Current Version).
- 21.2.14 OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version).
- 21.2.15 OSVDPA SIM-1-CV, the OSVDPA Simulator Standard (Current Version).
- 21.2.16 OSVDPA CT-1-CV, the OSVDPA Competency Standard (Current Version).
- 21.2.17 OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version).
- 21.2.18 Form AA-1-CV, the Assessment Accreditation (Current Version).
- 21.2.19 Form AR-1-CV, the Training Provider Annual Review (Current Version).
- 21.2.20 Form AR-2-CV, the Vessel Operator Annual Review (Current Version).
- 21.2.21 Form P-1-CV, the Prospective DPO Approval Form (Current Version).
- 21.2.22 Form P1A-1-CV, the Phase 1 Assessment Report (Current Version).
- 21.2.23 Form P2A-1-CV, the Phase 2 Assessment Report (Current Version).
- 21.2.24 Form P3A-1-CV, a Phase 3 Assessment Report (Current Version).
- 21.2.25 Form P4A-1-CV, the Phase 4 Assessment Report (Current Version).
- 21.2.26 Form P5A-1-CV, the Phase 5 Assessment Report (Current Version).
- 21.2.27 Form QA-1-CV, the Qualified on Board Assessor Application (Current Version).
- 21.2.28 Form TC-1-CV, the Curriculum Description Form (Current Version).
- 21.2.29 IMCA M 103, “Guidelines for the Design and Operation of Dynamically Positioned Vessels.”
- 21.2.30 IMCA M 109, “A Guide to DP-Related Documentation for DP Vessels.”
- 21.2.31 IMCA M 117, Rev. 1, “The Training and Experience of Key DP Personnel.”
- 21.2.32 IMCA M 166, “Guidance on Failure Mode and Effect Analysis.”
- 21.2.33 IMCA M 182, Rev. 1 “International Guidelines for the Safe Operation of Dynamically Positioned Offshore Supply Vessels.”

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- 21.2.34 MTS, “Operations Guidance,” Part 1; Part 2 (Appendix 2, Project Construction Vessels); Part 2 (Appendix 3, Logistic Vessels).
- 21.2.35 MTS, “Guidance for Professional Development of Personnel Engaged in DPO Operations Using the Mapping Delivery Ability Tool (MDAT).
- 21.2.36 IMO/MSC Circular 645, “Guidelines for Vessels with Dynamic Positioning Systems.”

### 21.3 Records of Assessments.

- 21.3.1 As part of the annual review process (See Section **7.4** for Training Providers and Section **13.7** for Vessel Owners and Operators), Accredited Training Providers and Enrolled Vessel Operators shall create a statistical review of the assessments the entity has conducted over the course of last year. As seen in Form AR-1-CV, the Training Provider Annual Review (Current Version) and Form AR-2-CV, the Vessel Operator Annual Review (Current Version) this review includes:

21.3.1.1 The number of each assessment that has been conducted, and

21.3.1.2 The number of each assessment that was passed and failed.

- 21.3.2 Once a year the OSVDPA shall aggregate all of the annual reviews from all accredited Training Providers and Vessel Owners and Operators and examine any patterns to see if there are problems with the OSVDPA assessments or training materials. This list shall also be compared against industry incidents to see if changes need to be made.

### 21.4 Assessment Fraud.

- 21.4.1 As stated at Section **6.3.6**, as the Scheme Owner, the OSVDPA takes responsibility for investigating, determining, and punishing those who commit fraud. The OSVDPA’s reserving of this right does not alleviate the necessity of all OSVDPA DPO Certification Scheme participants from assisting in the fraud protection, discovery, and eradication effort. The OSVDPA retains the right to revoke the certification, accreditation, enrollment, approval, or membership of any person or entity that the OSVDPA feels has not fully engaged in the fraud protection, discovery, and eradication effort.

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- 21.4.2 **Prospective DPOs or DPOs Committing Assessment Fraud.** DPOs or Prospective DPOs found to have committed or attempted to commit fraud during or relating to an OSVDPA Assessment shall be considered to have failed the assessment in question, shall be removed from the OSVDPA DPO Certification Scheme, and shall not be able to re-enter the scheme for a period of no less than two (2) years. If the Prospective DPO reapplies, they must do so under the procedures of Section **16** and shall not be provided credit for any Sea Time, Practical Experience, courses, or assessments passed or accrued.
- 21.4.3 **Other Entities or Individuals Engaging in Fraudulent Activities.** Training Providers, Vessel Operators, Certified Instructors, DPOs, Qualified on Board Assessors, or other OSVDPA DPO Certification Scheme participants found to have committed assessment fraud shall lose their OSVDPA accreditation, enrollment, certification, or approval and shall not be able to re-enter the scheme for a period of no less than two (2) years. If the entity or individual decided to reapply for accreditation, enrollment, certification, or approval, they shall not be provided any credit for the entity or individual's previous experience or expenses.
- 21.4.4 Assessment fraud or attempted assessment fraud should be reported to the OSVDPA Executive Director as soon as discovered. Such a report should include all available evidence, all suspected certification scheme participants believed to be involved in the fraud, how the fraud was discovered, and the actions the party reporting the fraud has taken.
- 21.4.5 If it is a Vessel Operator or Training Provider that submits the Section **21.4.4** notice to the OSVDPA, the entity shall take steps to ensure that any records that might be used by the OSVDPA as evidence are preserved.
- 21.4.6 Once the notice is received the OSVDPA shall conduct its own investigation. This investigation shall include reviewing the evidence received in the notice and conducting interviews with those who might have knowledge of the fraud.
- 21.4.7 Any person or entity found to have engaged in fraud and punished by the OSVDPA shall be able to appeal this decision under the procedures found at Section **25**.
- 21.5 **Phase 1 Assessment.** Following completion of the Phase 1 (Induction) Course (Section **17**), the Prospective DPOs taking the course shall sit for the Phase 1 Assessment.

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### 21.5.1 Phase 1 Assessment Description.

- 21.5.1.1 The Phase 1 Assessment consists of 60 multiple choice questions. Each question shall be accompanied by four (4) or five (5) possible answers, one (1) of which shall be correct. It is possible that correct answers to some of these questions shall be “all of the above,” or “none of the above.”
- 21.5.1.2 To pass the Phase 1 Assessment, a Prospective DPO is required to score a 48 out of a possible 60 points, whereby: one (1) point is provided for every question answered correctly, no points are provided or deducted for every question not answered, and one (1) point is deducted for every question answered incorrectly.
- 21.5.1.3 The Phase 1 Assessment shall measure the Prospective DPO’s knowledge of the competencies listed in the Phase 1 segment of the OSVDPA CT-1-CV, the OSVDPA Competency Standard (Current Version).
- 21.5.1.4 The Phase 1 Assessment shall be conducted in the English language.

### 21.5.2 Phase 1 Assessment Procedures.

- 21.5.2.1 Only those Prospective DPOs that complete and are present for the entirety of the Phase 1 (Induction) Course shall be allowed to sit for the Phase 1 Assessment.
- 21.5.2.2 The Phase 1 Assessment shall start immediately following the conclusion of the Phase 1 (Induction) Course with no more than 30 minutes of intervening time following the end of the 30<sup>th</sup> hour of the Phase 1 (Induction) Course (if conducted as a traditional course) or the 15<sup>th</sup> hour of the Phase 1 (Induction) Course (if conducted as a blended online/classroom course).
- 21.5.2.3 Prospective DPOs shall be provided 90 minutes to complete each attempt at passing the Phase 1 Assessment. This time limit shall start on the proctoring Certified Instructor’s instruction. At the end of the 90 minutes, the Prospective DPO’s score shall be considered final.
- 21.5.2.4 All Prospective DPOs that take the Phase 1 (Induction) Course must take the Phase 1 Assessment at the conclusion of the course. A Prospective DPO’s failure or refusal to take the Phase 1 Assessment at this time shall be counted as a failure of the assessment under Section **21.5.7.**

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21.5.2.5 No individual besides the Prospective DPOs taking the Phase 1 Assessment and the Certified Instructor proctoring the assessment shall be allowed in the room containing the assessment computers while the assessment is being conducted.

21.5.2.5.1 The prohibition on individuals being in the room where the assessment is being conducted extends to Prospective DPOs that have finished their Phase 1 Assessments or the Certified Instructor that conducted the Phase 1 (Induction) Course.

21.5.2.6 During the Phase 1 Assessment, Prospective DPOs are not allowed to have on their person or within the room where the assessment is being conducted: electronic devices (including but not limited to cellphones, pagers, tablets, or computers); recording devices, (included but not limited to flash drives, other devices with the capability to store electronic files, or cameras); or materials that contain the answers to the assessments, information about the answers, or information which provides background knowledge about dynamic positioning. Possession of any item listed in this paragraph shall be considered assessment fraud and shall be punishable under the provisions of Section **21.4**.

21.5.2.7 The Training Provider shall provide to the Prospective DPOs a secure location to keep their effects (especially the items listed in Section **21.5.2.6**) while the Phase 1 Assessment is being conducted.

### 21.5.3 **Proctoring of the Phase 1 Assessment.**

21.5.3.1 A Certified Instructor (Section **4.16**) shall be the Proctor (Section **4.34**) for the Phase 1 Assessment and shall be in the room where the assessment computers are located the entire time the assessment is being conducted.

21.5.3.2 The Training Provider shall make all reasonable attempts to have the Phase 1 Assessment proctored by a different Certified Instructor as conducted the Phase 1 (Induction) Course. If a Training Provider cannot meet this requirement, the Training Provider shall request a waiver from the OSVDPA via one (1) of the two (2) below listed means.

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21.5.3.2.1 A long-term waiver as included on Form AA-1-CV, the Assessment Accreditation (Current Version) which cites the factors necessitating the waiver and the steps the Training Provider is taking to ensure the Proctor does not attempt to influence or assist the Prospective DPOs as they complete the assessments.

21.5.3.2.2 A short-term waiver requested via a written request to the OSVDPA. This waiver request will be accepted up to two (2) hours prior to the start of the first assessment requiring the waiver, shall detail the duration of the waiver, why it is necessary, and the steps the Training Provider shall take to ensure the Proctor does not attempt to influence or assist the Prospective DPOs as they complete the assessments. The OSVDPA shall reply to this request granting the waiver, partially granting the waiver, or rejecting the waiver request. If the OSVDPA does not respond prior to the start of the first assessment covered by the waiver, the waiver for that assessment is considered granted.

21.5.3.3 Phase 1 Assessment Proctors shall not coach, explain, or otherwise provide assistance to the Prospective DPOs while the Prospective DPOs are taking the assessment.

#### 21.5.4 Use of Assessment Computers.

21.5.4.1 The Phase 1 Assessment is conducted on assessment computers meeting the requirements of Section **24.8**.

21.5.4.2 Training Providers must configure the computers in a manner ensuring only Certified Instructors are able to access the Phase 1 Assessment program.

21.5.4.3 When the Prospective DPOs sit down at the assessment computers the Phase 1 Assessment shall be at the assessment start screen, no other information either via files on the computer or the internet shall be available while this process this program is running.

21.5.4.4 All Prospective DPOs in the course must start the assessment at the same time.

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21.5.5 **Scoring of the Phase 1 Assessment.** When the Prospective DPO completes the Phase 1 Assessment and locks in their answers as final, the assessment software utilized by the OSVDPA to conduct and record the Phase 1 Assessment shall record the Prospective DPOs answers and determine their score.

21.5.6 **Phase 1 Assessment Reports.** After the scoring process has concluded, the Proctor shall record the score on Form P1A-1-CV, the Phase 1 Assessment Report (Current Version).

21.5.6.1 Once the score is recorded on Form P1A-1-CV, the Certified Instructor should make a copy of this form to accomplish requirements of Section **21.3**. Additionally, the Training Provider should allow the Prospective DPO to view a document listing the correct answers to the assessment questions that were missed.

21.5.6.1.1 The Prospective DPO shall not be allowed to remove this document from the assessment room.

21.5.6.1.2 The Certified Instructor must remain in the assessment room for the entire time any Prospective DPO has access to this document.

21.5.6.1.3 Prospective DPOs may only view the portions of this document pertaining to their assessment and are prohibited from viewing the Instructor Report of any other Prospective DPOs.

21.5.6.1.4 While viewing this document, Prospective DPOs must comply with the prohibitions on possession of recording devices, personal effects, and other items found in Section **21.5.2.6**.

21.5.6.1.5 Prospective DPOs are prohibited from recording, copying, reproducing, or disseminating this document or the content thereof in any manner or form. Prospective DPOs violating this provision shall be considered to have engaged in assessment fraud and shall be punished under the provisions of Section **21.4**.

21.5.7 **Failure of the Phase 1 Assessment Procedures.**

21.5.7.1 Prospective DPOs shall be provided three (3) opportunities to pass the Phase 1 Assessment, passing being defined in Section **21.5.1.2**.

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- 21.5.7.2 All attempts at passing the assessment must be taken at the same Training Center where the Prospective DPO took the Phase 1 (Induction) Course.
- 21.5.7.3 During the retake process, a Prospective DPO shall never take the same version of the Phase 1 Assessment.
- 21.5.7.4 While the OSVDPA discourages the Certified Instructor that conducted the Phase 1 (Induction) Course from being the Certified Instructor that proctors the Phase 1 Assessment, subsequent retakes of the Phase 1 Assessment can be proctored by any Certified Instructor (Section **4.16**) for the Training Provider.
- 21.5.7.5 A Prospective DPOs that do not pass the assessment on their first attempt, as defined in Section **21.5.2**, are allowed to retake the assessment one (1) time that same calendar day, provided the Training Provider has the resources to conduct such a retake and agrees to allow the Prospective DPO to retake the assessment that day.
- 21.5.7.6 A Prospective DPOs can only take the Phase 1 Assessment two (2) times during any calendar day.
- 21.5.7.7 A Prospective DPO that fails the Phase 1 Assessment the first time he or she takes the assessment must attempt to pass the Phase 1 Assessment a second time within 60 days of their first attempt.
- 21.5.7.8 A Prospective DPOs that fails the Phase 1 Assessment the second time he or she takes the assessment must attempt to pass the Phase 1 Assessment a third time within 60 days of their second attempt and within 120 days of their first attempt.
- 21.5.7.9 Failure of a Prospective DPO to abide by the retake schedule described above shall be considered as having failed the Phase 1 (Induction) Course, thereby requiring him or her to retake the entire Phase 1 (Induction Course) under the procedures of Section **21.5.7.10**.
- 21.5.7.10 A Prospective DPO that fails the Phase 1 Assessment three (3) time shall be considered as having failed the Phase 1 (Induction) Course and shall be required to retake the Phase 1 (Induction) Course.
- 21.5.7.11 The Prospective DPO shall not need to re-apply with the OSVDPA or pay another Fee DPO-4, the Prospective DPO Application Fee. Instead, the Prospective DPO may simply go to a Training Provider in seeking a seat in an upcoming Phase 1 (Induction) Course.

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### 21.5.8 Remedial Learning Period.

- 21.5.8.1 Prospective DPOs that pass the Phase 1 Assessment, as defined in Section **21.5.1.2**, but do not correctly answer all 60 questions during their first attempt at passing the Phase 1 Assessment are required to participate in a period of remedial learning.
- 21.5.8.2 The remedial learning period shall consist of the Certified Instructor that conducted the Phase 1 (Induction) Course going through every question that was missed by every Prospective DPO meeting the description of Section **21.5.8.1**.
- 21.5.8.3 The description mentioned in Section **21.5.8.2**, shall include (at a minimum) the Certified Instructor providing the text of the question, the possible answers, the correct answer, and the justification for the correct answer (including a description of the underlying principle forming the basis of the question).
- 21.5.8.4 The Remedial Learning Period shall be concluded when the Certified Instructor is confident that all Prospective DPOs required to take the remedial learning period understand all of the content and understand why each question was incorrectly answered.
- 21.5.8.5 The time spent in the remedial period does not count towards the contact time requirement specified in Section **17.6**.
- 21.5.8.6 Prospective DPOs that have not passed the Phase 1 Assessment as defined under Section **21.5.1.2** are not allowed to attend the remedial learning period.

21.5.9 **Passing the Phase 1.** Once the Prospective DPO has scored a 100 percent on the Phase 1 Assessment or completed the Remedial Learning Period, the Certified Instructor that conducted the Phase 1 (Induction) Course shall provide each Prospective DPO who has passed the phase an OSVDPA logbook. In doing so, the Certified Instructor shall sign and stamp the Phase 1 (Induction) Course and Phase 1 Assessment portions of the logbook.

21.6 **Phase 2 Assessment.** Following the completion of the Phase 2 (Familiarization) Taskbook (Section **19.4**), the Prospective DPO shall conduct a formative assessment. The purpose of this assessment is providing the Prospective DPO, his or her employer, and the OSVDPA insight into the Prospective DPO's development and competency.

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### 21.6.1 Phase 2 Assessment Description.

- 21.6.1.1 The Phase 2 Assessment shall measure the Prospective DPO's understanding of the competencies listed in the Phase 2 portion of OSVDPA CT-1-CV, the OSVDPA Competency Standard (Current Version).
- 21.6.1.2 The Phase 2 Assessment is conducted onboard a vessel with a DP class notation as issued by a recognized classification society or an Accepted Unclassed Vessel (AUC Section 4.4).
- 21.6.1.2.1 The OSVDPA strongly encourages Prospective DPOs to check the OSVDPA Vessel Database (Section 14.6) to ensure the vessel they shall be conducting their Phase 2 Assessment on is acceptable.
- 21.6.1.2.2 If a Prospective DPO finds that the vessel they anticipated conducting their Phase 2 Assessment on is not in the OSVDPA Vessel Database, the Prospective DPO is strongly encouraged to contact the OSVDPA or have the Vessel Operator contact the OSVDPA to ensure the vessel is acceptable.
- 21.6.1.2.3 If the OSVDPA finds a Phase 2 Assessment was conducted on an impermissible vessel, the OSVDPA shall require the Prospective DPO to conduct another Phase 2 Assessment on a vessel meeting the requirements of Section 21.6.1.1.
- 21.6.1.2.4 The Phase 2 Assessment cannot be conducted on a simulator.
- 21.6.1.3 The Phase 2 Assessment is a portion of the Phase 2 Taskbook contained in OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version). This portion of the taskbook cannot be started until the Prospective DPO has completed:
- 21.6.1.3.1 The rest of the Phase 2 Taskbook,
- 21.6.1.3.2 30 days of Sea Time (Section 4.38), and
- 21.6.1.3.3 90 hours of Practical Experience (Section 4.32).

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## 21.6.2 Phase 2 Assessment Procedures.

21.6.2.1 When a Prospective DPO has completed the requirements of Phase 2 (Familiarization) (See Section **21.6.1.3**), he or she may seek the DPO's permission to start the assessment.

21.6.2.1.1 Both parties (the Prospective DPO and the DPO conducting the assessment) must fully understand that they are entering an assessment period.

21.6.2.1.2 The OSVDPA shall not accept Phase 2 Assessments which were signed because the DPO had previously witnessed the Prospective DPO complete the assessment tasks or an assessment task.

21.6.2.2 To accomplish these requirements, the DPO conducting the Phase 2 Assessment (Section **21.6.3**) shall attempt to complete the Phase 2 Assessment in a single watch or in as few watches as possible. Under no circumstances shall the OSVDPA accept a Phase 2 Assessment which was completed over the course of more than 10 days.

21.6.3 **Individual Conducting the Phase 2 Assessment.** The Phase 2 Assessment can be conducted by anyone eligible to sign off on Sea Time, Practical Experience, or taskbook tasks and must be signed off on under the same procedures, (See Section **19.8.3**) and do not have to be signed by a Qualified on Board Assessor (Section **4.37**).

## 21.6.4 Pass/Fail Criteria of the Phase 2 Assessment.

21.6.4.1 The Pass/Fail criteria for the Phase 2 Assessment is spelled out in the description of the assessment found in the Phase 2 Assessment portion of the OSVDPA Phase 2 Taskbook.

21.6.4.2 The DPO conducting the assessment is the sole arbiter for if the assessment tasks were successfully completed.

## 21.6.5 Phase 2 Assessment Failure Procedures.

21.6.5.1 Prospective DPOs shall be provided three (3) opportunities to pass the Phase 2 Assessment.

21.6.5.2 When an attempt at passing the Phase 2 Assessment has been failed, the Prospective DPO must retake the entire assessment.

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- 21.6.5.3 All attempts at passing the assessment can be taken on different vessels with different assessors.
- 21.6.5.4 During every attempt at passing the Phase 2 Assessment, the Prospective DPO shall take the version of the assessment contained in their OSVDPA LB-1-CV.
- 21.6.5.5 A Prospective DPO is allowed to attempt a retake of the Phase 2 Assessment, or attempt a portion of a retake of the Phase 2 Assessment, on the same day as the first attempt (or a day on which a portion of the first attempt was conducted).
- 21.6.5.6 A Prospective DPO can only take the Phase 2 Assessment (or a portion of the Phase 2 Assessment) two (2) times during any calendar day.
- 21.6.5.7 A Prospective DPO that fails the Phase 2 Assessment on their first attempt must begin a second attempt at passing the Phase 2 Assessment within 60 days of the conclusion of the first attempt.
- 21.6.5.8 A Prospective DPO that fails the Phase 2 Assessment on their second attempt must begin a third attempt at passing Phase 2 Assessment within 60 days of the conclusion of their second attempt and within 120 days of the conclusion of their first attempt.
- 21.6.5.9 Failure to follow the retake schedule shall be considered as having failed Phase 2 (Familiarization), thereby requiring him or her to recomplete all components of Phase 2 (Familiarization) as described in Section **19.4**.
- 21.6.5.10 A Prospective DPO that fails the Phase 2 Assessment three (3) times shall be considered as having failed Phase 2 (Familiarization) and shall be required to recomplete all components of Phase 2 (Familiarization) as described in Section **19.4**. These extra Training and Certification Activities must be completed within the Certification Deadline (Section **4.17**).
- 21.6.5.11 Prospective DPOs are not allowed to attend the Phase 3 (Simulator) Course (Section **18**) until they have passed the Phase 2 Assessment.

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### 21.6.6 **Passage of the Phase 2 Assessment.**

21.6.6.1 Once the Prospective DPO has passed the Phase 2 Assessment, the DPO conducting the assessment shall sign, date, and stamp the Form P2A-1-CV, the Phase 2 Assessment Report (Current Version) contained in the Prospective DPO's logbook. If the assessment is failed, a new Form P2A-1-CV can be obtained from the OSVDPA.

21.7 **Phase 3 Assessment.** Following the completion of the Phase 3 (Simulator) Course (Section **18**), the Prospective DPOs taking the course shall take the Phase 3 Assessment.

### 21.7.1 **Phase 3 Assessment Description.**

21.7.1.1 The Phase 3 Assessment is a practical assessment of the Prospective DPO's ability to conduct a DP operation as measured on an OSVDPA-approved simulator.

21.7.1.2 The Phase 3 Assessment is intended to mirror a DP operation and consists of 45 assessment items selected from OSVDPA AS-1-CV, the OSVDPA Assessment Guide and Item Bank (Current Version). Each of these assessment items is designed to measure the Prospective DPO's understanding or ability to perform one or multiple competencies listed in OSVDPA CT-1-CV, the OSVDPA Competency Standard (Current Version).

21.7.1.3 Of the 45 items included in the assessment 15 shall be Tier 1 items. All of these items must be completed correctly (according to the scoring criteria provided) for the assessment to be passed. The other 30 items shall be Tier 2 items; 80 percent of these items must be correctly completed (according to the scoring criteria provided) for the assessment to be passed.

21.7.1.4 The Prospective DPO is provided no less than 120 minutes to complete the assessment.

21.7.1.5 Prospective DPOs are provided three (3) opportunities to pass the Phase 3 Assessment.

21.7.1.6 All materials, instructions from the Certified Instructor, and simulated communications associated with the Phase 3 Assessment are provided in the English language.

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### 21.7.2 Phase 3 Assessment Procedures.

21.7.2.1 Only the Prospective DPOs that complete the Phase 3 (Simulator) Course shall be allowed to sit for the Phase 3 Assessment.

21.7.2.1.1 In the case where a Prospective DPO misses some of the Phase 3 (Simulator) Course, or otherwise is not present for the entire 30 hours of the course, it shall be in the sole discretion of Certified Instructor that conducted the Phase 3 (Simulator) Course if the Prospective DPO is allowed to take the Phase 3 Assessment.

21.7.2.1.2 In no case shall a Prospective DPO that has been present for less than 95 percent of the Phase 3 (Simulator) Course hours be allowed to take the Phase 3 Assessment.

21.7.2.1.3 In no case shall a Prospective DPO that has not completed the number of simulator exercises called for in the Training Provider's curriculum (Section **18.9**) be allowed to take the Phase 3 Assessment.

21.7.2.2 The Phase 3 Assessment shall start immediately following the conclusion of the Phase 3 (Simulator) Course with no more than 30 minutes of intervening time following the end of the 30<sup>th</sup> hour of the Phase 3 (Simulator) Course.

21.7.2.2.1 An exception to the requirements of Section **21.7.2.2** shall be allowed in cases where the Training Provider or Certified Instructor needs more time to configure, reset, or set up the simulators for the assessments.

21.7.2.3 All Prospective DPOs that take the Phase 3 (Simulator) Course must take the Phase 3 Assessment at the conclusion of the course. A Prospective DPO's failure or refusal to take the Phase 3 Assessment at this time shall be counted as a failure of the assessment under Section **21.7.11**.

21.7.2.4 The only individuals allowed in the Simulator Room or Instructor Area during the assessment shall be the Prospective DPOs taking the assessment and the Certified Instructor(s) assessing the Prospective DPO's performance.

21.7.2.4.1 The prohibition on individuals being in the simulator room extends to Prospective DPOs that have finished their Phase 3 Assessment.

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21.7.2.4.2 Prospective DPOs shall not be allowed in the Instructor Area (Section **24.7.4**) during any anytime where a Phase 3 Assessment is being conducted.

21.7.2.5 During the Phase 3 Assessment, Prospective DPOs are not allowed to have on their person or within the Simulator Room: electronic devises (including but not limited to cellphones, pagers, tablets, or computers); recording devices, (included but not limited to flash drives, other devices with the capability to store electronic files, or cameras); or materials that contain the answers to the assessments, information about the answers, or information which provide background knowledge about dynamic positioning. Possession of any item listed in this section shall be considered assessment fraud and shall be punishable under the provisions of Section **21.4**.

21.7.2.6 The Training Provider shall provide to the Prospective DPOs a secure location to keep their effects (especially the items listed in Section **21.7.2.5**) while the Phase 3 Assessment is being conducted.

### 21.7.3 **Examiners and Proctors for the Phase 3 Assessment.**

21.7.3.1 The assessment shall be administered and the simulators operated by a Proctor (Section **4.34**).

21.7.3.2 The assessment shall be scored by an Examiner (Section **4.21**)

21.7.3.3 The number of assessments that a single Proctor can administer simultaneously shall be set by the OSVDPA during a Training Provider's Accreditation Process (Section **8**) or Reaccreditation Process (Section **9**): This number shall be no greater than four (4) and shall be determined by an evaluation of:

21.7.3.3.1 The Simulator Room (Section **24.7**) and Instructor Area (Section **24.7.4**) are configured in such a way or have such monitoring capabilities so that the Proctor can see and hear everything done and said by the Prospective DPOs at each simulator.

21.7.3.3.2 The Instructor Area has a separate simulator control computer or the simulation control computer allows the Proctor to operate multiple simulators at once and easily switch between simulators.

21.7.3.3.3 The Certified Instructor's observed ability to conduct multiple assessments at the same time.

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- 21.7.3.4 The Training Provider shall have one (1) Examiner per Prospective DPO taking the Phase 3 Assessment.
- 21.7.3.5 Training Providers may seek a waiver from this requirement (during an Accreditation Process (Section **8**) or Reaccreditation Process (Section **9**)), if it can prove that the Examiner can meet the below-listed conditions. Such waivers shall be granted for Examiners to score up to four (4) assessments simultaneously.
- 21.7.3.5.1 View all of the actions of every Prospective DPO taking the Phase 3 Assessment,
- 21.7.3.5.2 View the visual display of every simulator being utilized for a Phase 3 Assessment,
- 21.7.3.5.3 Can verbally communicate with each Prospective DPO taking the Phase 3 Assessment, and
- 21.7.3.5.4 Hear any reports or responses provided by each Prospective DPO taking the Phase 3 Assessment.
- 21.7.3.6 Upon approval granted by the OSVDPA (during an Accreditation Process (Section **8**) or Reaccreditation Process (Section **9**)), a Training Provider can have a Certified Instructor serve as both a Proctor and Examiner if the Training Provider can prove the Certified Instructor can simultaneously meet all of the requirements found in Section **21.7.3**.
- 21.7.3.7 The Training Provider shall make all reasonable attempts to have the Phase 3 Assessment proctored by a different Certified Instructor as conducted the Phase 3 (Simulator) Course. If a Training Provider cannot meet this requirement, the Training Provider shall request a waiver from the OSVDPA via one (1) of the two (2) below listed means.
- 21.7.3.7.1 A long-term waiver as included on Form AA-1-CV, the Assessment Accreditation (Current Version) which cites the factors necessitating the waiver and the steps the Training Provider is taking to ensure the Proctor does not attempt to influence or assist the Prospective DPOs as they complete the assessments.

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21.7.3.7.2 A short-term waiver requested via a written request to the OSVDPA. This waiver request will be accepted up to two (2) hours prior to the start of the first assessment requiring the waiver, shall detail the duration of the waiver, why it is necessary, and the steps the Training Provider shall take to ensure the Proctor does not attempt to influence or assist the Prospective DPOs as they complete the assessments. The OSVDPA shall reply to this request granting the waiver, partially granting the waiver, or rejecting the waiver request. If the OSVDPA does not respond prior to the start of the first assessment covered by the waiver, the waiver, for that assessment, is considered granted.

21.7.3.8 Phase 3 Assessment Proctors shall not coach, explain, or otherwise provide assistance to the Prospective DPOs while the Prospective DPOs are taking the assessment.

21.7.4 **Start of the Phase 3 Assessment.** The Phase 3 Assessment begins when the following steps have been accomplished:

21.7.4.1 The Proctor or Examiner should populate (or provide the required information for the Prospective DPO to populate) the background information required by the assessment form. This background information provides the Prospective DPO with knowledge about the operation being simulated during the assessment, the conditions, and the vessel being modeled by the simulator.

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21.7.4.2 The Proctor or Examiner shall attempt to tailor the assessment to the types of DP operations the Prospective DPO performs on a usual basis, the types of sensors and position reference equipment he or she utilizes, the type of vessel he or she normally operates, the types of decision support tools utilized, and any other factors the Proctor or Examiner determines will make the assessment relevant to the industrial mission performed by the Prospective DPO. This goal can be accomplished via the Proctor or Examiner utilizing a pre-printed scenario published by the OSVDPA or by creating their own assessment via the acceptable version of OSVDPA AS-2-CV, the Assessment Standing Order (Current Version). The scoring criteria provided in either the scenario or OSVDPA AS-2-CV is the only mechanism the Examiner shall utilized to determine if the Prospective DPO passed or failed the assessment. The Training Provider and Proctor/Examiner shall take all reasonable measures to ensure that the Prospective DPO is not able to see the assessment items or scoring criteria contained on these documents prior to the completion of the assessment.

21.7.4.3 The Prospective DPO shall have up to 30 minutes to review the scenario description or operation description along with the materials mentioned above and the reference materials discussed in Section **21.7.5**. This time should also be utilized by the Prospective DPO to do any operational planning.

21.7.4.4 At the conclusion of these steps, the Prospective DPO and the Examiner shall sign Form P3A-1-CV, the Phase 3 Assessment Report (Current Version) (Section **21.7.9**).

21.7.5 **Reference Materials Provided for the Phase 3 Assessment.** To ensure a realistic environment, Prospective DPOs shall be provided copies of the following reference materials during their Phase 3 Assessment. Prospective DPOs are allowed, and at times required, to utilize these materials as part of the assessment.

21.7.5.1 Copies of international guidance, including, but not limited to:

21.7.5.1.1 IMCA Documents: IMCA M 103, “Guidelines for the Design and Operation of Dynamically Positioned Vessels;” IMCA M 109, “A Guide to DP-Related Documentation for DP Vessels;” IMCA M 117, Rev. 1, “The Training and Experience of Key DP Personnel;” IMCA M 166, “Guidance on Failure Mode and Effect Analysis;” and IMCA M 182, Rev. 1 “International Guidelines for the Safe Operation of Dynamically Positioned Offshore Supply Vessels.”

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21.7.5.1.2 Documents from the DP Committee of the Martine Technology Society (MTS): MTS, “Operations Guidance,” Part 1; Part 2 (Appendix 2, Project Construction Vessels); Part 2 (Appendix 3, Logistic Vessels); and MTS, “Guidance for Professional Development of Personnel Engaged in DPO Operations Using the Mapping Delivery Ability Tool (MDAT).

21.7.5.2 Required or commonly utilized documents found on DP-equipped vessels, including:

21.7.5.2.1 Capability plot(s),

21.7.5.2.2 Paper footprint plotting sheets,

21.7.5.2.3 Master’s Standing orders,

21.7.5.2.4 A DP operations manual meeting the requirements of an industry accepted guidance body, e.g. IMCA or MTS,

21.7.5.2.5 The DP manual provided by the DP system manufacture,

21.7.5.2.6 An Activity Specific Operations Guidance (ASOG) suitable for the vessel being simulated. This ASOG shall be no less detailed than the sample ASOG contained in the appropriate Appendix of MTS, “Operations Guidance,” Part 2, Appendix 2 (for Project Construction Vessels); Part 2, Appendix 3, (for Logistic Vessels),

21.7.5.2.7 A Critical Activity Mode (CAM), this CAM shall be no less detailed than the sample CAM contained in the appropriate Appendix of MTS, “Operations Guidance,” Part 2, Appendix 2 (for Project Construction Vessels); Part 2, Appendix 3, (for Logistic Vessels), and

21.7.5.2.8 A Task Appropriate Mode of Operations (TAM), this TAM shall be no less detailed than the sample CAM contained in the appropriate Appendix of MTS, “Operations Guidance,” Part 2, Appendix 2 (for Project Construction Vessels); Part 2, Appendix 3, (for Logistic Vessels).

21.7.5.3 Documents normally required by class or Flag States.

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21.7.5.3.1 IMO/MSC Circular 645, “Guidelines for Vessels with Dynamic Positioning Systems.”,

21.7.5.3.2 Class-required or Flag State-required checklists, and

21.7.5.3.3 Any documents required by the Flag State or Flag States with jurisdiction over the area normally covered by the Training Provider.

21.7.5.4 **Alternative Compliance.** Training Providers are allowed to substitute or exclude some of the documents listed above if they provide evidence to the OSVDPA that the region which they serve does not utilize those documents. Such proof must be provided as part of Form TC-1-CV, the Curriculum Description Form (Current Version) during an Accreditation (Section **8**) or Reaccreditation (Section **9**).

21.7.5.5 **Location of Documents.** All of the above-described documents must be included in a location where they are readily accessible to the Prospective DPO during the simulation. The Training Provider must keep a sufficient number of each of the above-described documents so every Prospective DPO simultaneously taking a Phase 3 Assessment has their own copy during the assessment.

21.7.5.6 **Other Documents.** Prospective DPOs taking the Phase 3 Assessment shall not be allowed to bring their own copies or versions of the documents described in Section **21.7.5**, notes, or other documents.

21.7.6 **Conducting of the Phase 3 Assessment.** Once the 30 minutes provided for the Operation Planning Time (Section **21.7.4.3**) has been completed, or the Prospective DPO believes they have completed all pre-operation requirements, the operational part of the assessment shall begin.

21.7.6.1 During the operational part of the Phase 3 Assessment, the Prospective DPO shall follow all instructions provided to him by the Certified Instructor proctoring the assessment (Section **21.7.3**) while accomplishing the goals of the operation.

21.7.6.2 The Prospective DPO shall acknowledge at the start of this operational period that not every item he or she needs to complete shall be provided to him or her as an instruction from the Certified Instructor. It is incumbent of the Prospective DPO to know what needs to be completed.

21.7.6.3 The Prospective DPO shall be provided no less than 120 minutes to conduct the operation.

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- 21.7.7 **Simulator Utilized for Phase 3 Assessment.** The Phase 3 Assessment must be conducted on a simulator approved by the OSVDPA as meeting the requirements of an OSVDPA Class B or Class A Simulator as described in OSVDPA SIM-1-CV, the OSVDPA Simulator Standard (Current Version).
- 21.7.8 **Phase 3 Pass/Fail Criteria.** The Phase 3 Assessment has a dual layer pass/fail criteria, whereby the Prospective DPO must successfully complete all 15 Tier 1 Items included on the assessment and no less than 24 (80 percent) of the Tier 2 Items included on the assessment.
- 21.7.8.1 The criteria for each assessment item is contained in the assessment scenario or in OSVDPA AS-2-CV, the OSVDPA Assessment Standing Order (Current Version). This criterion is the only standard used to determine if each assessment item is passed or failed.
- 21.7.8.2 If a Tier 1 Item is failed, the assessment can be halted at that point.
- 21.7.9 **Form P3A-1-CV, the Phase 3 Assessment Report (Current Version).**
- 21.7.9.1 Form P3A-1-CV is provided to the Prospective DPO and lists the following information: the date of the assessment, the Prospective DPO's name and Prospective DPO ID Number (Section **4.35**), the Training Provider and training location where the assessment took place, the Certified Instructor that conducted the Phase 3 (Simulator) Assessment, the Certified Instructor that served as Examiner (Section **21.7.3.1**), the Certified Instructor that served as Proctor (**21.7.3.1**), the score the Prospective DPO received on the assessment and if the Prospective DPO passed the assessment.
- 21.7.9.2 Form P3A-1-CV also provides information about the operation, vessel, conditions, and vessel equipment being simulated.
- 21.7.9.3 This form shall also be the official record of the Prospective DPO's score on the assessment, however, it is recommended that the Proctor/Examiner utilize the tally column on OSVDPA AS-2-CV, the OSVDPA Assessment Standing Order (Current Version) or the scenario description to keep the score during the assessment and then transfer this information to Form P3A-1-CV after the assessment.

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21.7.9.4 **Note.** Detailed information contained on Form P3A-1-CV shall be kept by the OSVDPA. Once this information is entered into the OSVDPA's system, the OSVDPA shall tear these sheets out of the Prospective DPO's logbook and destroy them, thereby leaving only a record of whether or not the Prospective DPO passed or failed the assessment.

#### 21.7.10 Phase 3 Assessment Completion Procedures.

21.7.10.1 Once the Prospective DPO has completed the assessment, either by successfully completing the operation or via a failure of a Tier 1 Item, the Prospective DPO shall leave the Simulator Room and shall not return until the assessment period has concluded or all other Prospective DPOs taking assessments have completed their assessments.

21.7.10.2 In instances where all Prospective DPOs of a Phase 3 (Simulator) Course cannot all simultaneously complete the Phase 3 Assessment, the Training Provider should attempt to prevent those DPOs who have completed the assessment from discussing the assessment with the Prospective DPOs that have yet to take the assessment.

21.7.10.3 Once all of the Prospective DPOs in the Phase 3 (Simulator) Course have completed their Phase 3 Assessments, the Proctor/Examiner shall transfer their running notes to the Prospective DPO's Form P3A-1-CV. Once the score is recorded on Form P3A-1-CV, the Proctor/Examiner shall allow the Prospective DPO to view their score along with the assessment scenario or OSVDPA AS-2-CV utilized in the assessment.

21.7.10.4 When the Prospective DPOs are reviewing the scoring information they shall comply with the prohibitions on electronic devices, recording devices, learning materials, or other personal effects being brought into the room contained in Section **21.7.2.5**.

21.7.10.4.1 Prospective DPOs shall only be allowed to view the P3A-1-CV pertaining to their assessment.

21.7.10.4.2 Prospective DPOs shall not be allowed to leave the Assessment Room with the Form P3A-1-CV.

21.7.10.4.3 Prospective DPOs shall not be allowed to record the information contained in the assessment scenario or OSVDPA AS-2-CV.

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21.7.10.4.4 A violation of the above-listed provisions shall be treated as a violation of Section **21.4**.

21.7.10.5 Once the above-described review process is complete, the Examiner (Section **21.7.3.1**) shall sign, date and stamp the Prospective DPO's copy of Form P3A-1-CV. This signature (on assessments where the Prospective DPO earned a passing grade) shall be the only indication the Prospective DPO can begin Phase 4 (Watchkeeping) or apply for a Class C Permit (Section **4.14.1**).

#### 21.7.11 Phase 3 Assessment Failure Procedures.

21.7.11.1 A Prospective DPO shall be provided three (3) opportunities to pass the Phase 3 Assessment, passing being defined in Section **21.7.8**.

21.7.11.2 All attempts at passing the assessment must be taken at the same training center where the Prospective DPO took the Phase 3 (Simulator) Course.

21.7.11.3 During the retake process, a Prospective DPO shall never take the same version of the Phase 3 Assessment twice. This means a different scenario must be utilized each time or a different combination of assessment items must be utilized.

21.7.11.4 While the OSVDPA discourages the Certified Instructor that conducted the Phase 1 (Induction) Course or Phase 3 (Simulator) Course from being the Examiner for the Phase 3 Assessment the first time this assessment is taken, subsequent retakes of the Phase 3 Assessment can have any Certified Instructor employed by or serving as a Contract Instructor (Section **4.16**) serve as the Examiner.

21.7.11.5 A Prospective DPO who does not pass the assessment on their first attempt, as defined in Section **21.7.8**, is allowed to retake the assessment one (1) time that same calendar day, provided the Training Provider has the resources to conduct such a retake and agrees to allow the Prospective DPO to retake the assessment that day.

21.7.11.6 A Prospective DPO can only take the Phase 3 Assessment two (2) times during any calendar day.

21.7.11.7 A Prospective DPO that fails the Phase 3 Assessment the first time he or she takes the assessment must attempt to pass the Phase 3 Assessment a second time within 60 days of their first attempt.

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21.7.11.8 A Prospective DPOs that fails the Phase 3 Assessment the second time he or she takes the assessment must attempt to pass the Phase 3 Assessment a third time within 60 days of their second attempt and within 120 days of their first attempt.

21.7.11.9 Failure of a Prospective DPO to abide by the retake schedule described above shall be considered as having failed the Phase 3 (Simulator) Course, thereby requiring him or her to retake the entire Phase 3 (Simulator) Course under the procedures of Section **21.7.11.10**.

21.7.11.10 A Prospective DPO that fails the Phase 3 Assessment three (3) time shall be considered as having failed the Phase 3 (Simulator) Course and shall be required to retake the Phase 3 (Simulator) Course.

21.8 **Phase 4 Assessment.** The Phase 4 Assessment is a summative assessment determining if the Prospective DPO has completed the OSVDPA DPO Certification Scheme and can be awarded an OSVDPA DPO Certificate.

#### 21.8.1 **Phase 4 Assessment Description.**

21.8.1.1 The Phase 4 Assessment is a practical assessment conducted either aboard an OSVDPA-approved vessel or an OSVDPA-approved simulator.

21.8.1.1.1 The OSVDPA strongly encourages Prospective DPOs taking the Phase 4 Assessment aboard a vessel to check the OSVDPA Vessel Database (Section **14.6**) to ensure this meets the OSVDPA requirements of being a vessel with a class notation issued by a recognized classification society or is an Accepted Unclassed Vessel (Section **4.4**).

21.8.1.1.2 If a Prospective DPO finds that the vessel on which they anticipated taking their Phase 4 Assessment on is not in the OSVDPA Vessel Database, the Prospective DPO is strongly encouraged to contact the OSVDPA or have the Vessel Operator contact the OSVDPA to add the vessel to the OSVDPA Vessel Database via the procedures found in Section **14.5**.

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21.8.1.1.3 If the OSVDPA finds a Phase 4 Assessment was conducted on an impermissible vessel, the OSVDPA shall require the Prospective DPO to take another Phase 4 Assessment on a vessel with a class notation by a recognized classification society or a vessel with valid AUV Documentation (Section **4.12**)

21.8.1.2 The Phase 4 Assessment is the final exam intended to mirror a DP operation and consists of 45 assessment items taken from OSVDPA AS-1-CV, the OSVDPA Assessment Guide and Item Bank (Current Version). Each of these assessment items is designed to measure the Prospective DPO's understanding or ability to perform one or multiple competencies listed in OSVDPA CT-1-CV, the OSVDPA Competency Standard (Current Version).

21.8.1.3 Of the 45 items included in the assessment, 15 shall be Tier 1 items. All of these items must be completed correctly (according to the scoring criteria provided) for the assessment to be passed. The other 30 items shall be Tier 2 items; 24 (80 percent) of these items must be correctly completed (according to the scoring criteria provided) for the assessment to be passed.

21.8.1.4 The assessment is scored by a Certified Instructor (Section **4.16**) or Qualified on Board Assessor (Section **4.37**).

21.8.1.5 The Prospective DPOs is provided three (3) opportunities to pass the Phase 4 Assessment.

21.8.1.6 All materials and instructions associated with the Phase 4 Assessment are provided in the English language.

## 21.8.2 **Phase 4 Assessment Procedures.**

21.8.2.1 The Phase 4 Assessment cannot be started until the Prospective DPO has completed the requirements of Section **19.5**:

21.8.2.2 The QOBA (Section **4.37**) or Certified Instructor (Section **4.16**) serving as the Proctor or Examiner should populate (or provide the required information for the Prospective DPO to populate) the background information required by Form P4A-1-CV, the Phase 4 Assessment Report (Current Version). This background information provides the Prospective DPO with knowledge about the operation being simulated during the assessment, the conditions, and the vessel being modeled by the simulator.

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21.8.2.3 The QOBA or Proctor/Examiner shall attempt to tailor the assessment to the types of DP operations the Prospective DPO performs on a usual basis, the types of sensors and position reference equipment he or she utilizes, the type of vessel he or she normally operates, the types of decision support tools utilized, and any other factors the QOBA or Proctor/Examiner determines will make the assessment relevant to the industrial mission performed by the Prospective DPO. This goal can be accomplished by utilizing a pre-printed scenario published by the OSVDPA or by creating their own assessment via an acceptable version of OSVDPA AS-2-CV, the Assessment Standing Order (Current Version). The scoring criteria provided in either the scenario or OSVDPA AS-2-CV is the only mechanism the Examiner shall utilized to determine if the Prospective DPO passed or failed the assessment. The Training Provider and Proctor/Examiner shall take all reasonable measures to ensure that the Prospective DPO is not able to see the assessment items or scoring criteria contained on these documents prior to the completion of the assessment.

21.8.2.3.1 The QOBA or Proctor/Examiner shall ensure that the Prospective DPO has not previously taken the assessment scenario provided at this juncture or has not completed an assessment which is composed primarily of the same assessment items.

21.8.2.4 The Prospective DPO shall have up to 30 minutes to review the information provided about the assessment in the scenario description or operation description, the materials mentioned above, and the reference materials discussed in Section **21.7.5**. This time should also be utilized by the Prospective DPO to do any operational planning.

21.8.2.5 At the conclusion of these steps, the Prospective DPO and the QOBA or Examiner shall sign Form P4A-1-CV, the Phase 4 Assessment Report (Current Version) making the required acknowledgements. Once these are made the assessment can begin.

21.8.2.5.1 Form P4A-1-CV shall also be signed by the Master of Vessel. This certification shall state the assessment shall be halted anytime the QOBA, Master of the Vessel, or Officer of the Watch feels a continuation of the assessment endangers the safety of the vessel, the vessel's crew or equipment, or other vessels or the crew or equipment of other vessels.

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21.8.2.5.2 In addition to the notifications required above, in instances where the Master is the Prospective DPO, the Vessel Operator shall need to complete the “Enhanced Verification” portion of Form DPO-1-CV, the Training and Certification Activities Confirmation Letter, (Current Version) (Section 22.8.4.5) detailing the Prospective DPO’s experience with DP and the steps the company has taken to assess the competency of the Prospective DPO. A Qualified On-Board Assessor (QOBA) (See Section 4.37) must sign this form.

21.8.2.6 When completed on a vessel, the QOBA shall attempt to conduct the Phase 4 Assessment during a single and continuous period.

21.8.2.6.1 If this cannot be accomplished, due to the vessel’s operational tempo, the OSVDPA shall accept a Phase 4 Assessment that was completed over the course of up to 14 consecutive calendar days. If conducted in such a fashion, the assessment cannot utilize a scenario, it must be conducted utilizing one of the current versions of OSVDPA AS-2-CV.

21.8.2.6.2 The OSVDPA accepts multiple assessments conducted on the same vessel during the same time period, provided each Prospective DPO being assessed completes a different assessment scenario or different assessment items and the Prospective DPOs are not provided an opportunity to gain intelligence or insight into their assessment by observing the assessment of another Prospective DPO. As such, the OSVDPA recommends that Prospective DPOs are not in the wheelhouse during another Prospective DPO’s assessment.

21.8.2.6.3 Once a Prospective DPO begins an assessment, he must conclude the assessment on that vessel.

21.8.2.6.4 The QOBA or Proctor/Examiner shall take steps to ensure the Prospective DPO is not allowed to view information contained in the scenario or OSVDPA AS-2-CV explaining the assessment, the assessment items that will be included, or the scoring criteria. A failure to abide by this restriction may invalidate the assessment, cause the Prospective DPO to fail the assessment, or be treated as a violation of Section 21.4.

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21.8.2.7 While not desired, the OSVDPA shall accept Phase 4 Assessments conducted by multiple QOBAs, provided:

21.8.2.7.1 The confidential portions of the assessment are kept confidential from the Prospective DPO taking the assessment, and

21.8.2.7.2 All QOBAs that participated in the assessment sign Form P4A-1-CV.

21.8.3 **Phase 4 Assessment Pass/Fail Criteria.** The Phase 4 Assessment has a dual layer pass/fail criteria, whereby the Prospective DPO must successfully complete all 15 Tier 1 Items included on the assessment and no less than 24 (80 percent) of the Tier 2 Items included on the assessment.

21.8.3.1 The criteria for each assessment item is contained in the assessment scenario or in OSVDPA AS-2-CV, the OSVDPA Assessment Standing Order (Current Version). This criteria is the only standard used to determine if each assessment item is passed or failed.

21.8.3.2 If a Tier 1 Item is failed, the assessment can be halted at that point.

21.8.4 **Conducting the Phase 4 Assessment on a Simulator.**

21.8.4.1 Prospective DPOs are allowed to take the Phase 4 Assessment on an OSVDPA-approved simulator. Unless specified below, such assessment attempts shall be conducted under the provisions of Section **21.7**.

21.8.4.2 The simulator used for the Phase 4 Assessment must be approved by the OSVDPA as a Class A Simulator as listed on OSVDPA SIM-1-CV, the OSVDPA Simulator Standard (Current Version). If the OSVDPA determines that an insufficient number of Class A Simulators are available (or available in a certain geographical area or industry), the OSVDPA shall make such an announcement for these areas and allow Phase 4 Assessments to be conducted on Class B Simulators. The OSVDPA shall maintain an accurate and current record of the simulator requirements on a public section of the OSVDPA website.

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21.8.4.3 Prospective DPOs must decide if they are taking the Phase 4 Assessment on a simulator prior to their first attempt at passing the Phase 4 Assessment. Prospective DPOs that fail the Phase 4 Assessment onboard a vessel under the procedures listed at Section **21.8.9**, shall not be allowed to have subsequent retake attempts conducted on a simulator and those individuals taking the Phase 4 Assessment on simulator shall not be allowed to have subsequent retake attempts conducted onboard a vessel.

21.8.4.3.1 Section **21.8.4.3** shall not apply in cases of Prospective DPOs that have failed the Phase 4 Assessment three (3) times under the provisions of Section **21.8.9**, and have subsequently completed the requirements of Section **21.8.9.12**.

21.8.4.4 When conducted on a simulator, the Prospective DPO shall have access to the items listed in Section **21.7.5**.

21.8.4.5 When conducted on a simulator, the following documents must be sent to the DPO or Prospective DPO no less than 48 hours prior to the start of the assessment. This transmission can be waived by the DPO or Prospective DPO (at his or her sole discretion) via the signature on Form P4A-1-CV. The purpose of these documents is to ensure that the DPO is familiar with the simulator, vessel being simulated and decision support tools being utilized for the assessment.

21.8.4.5.1 A description of the layout of the DP console, screens and menus that are part of the DP system being simulated. This description should include pictures and instructions of how to find and enable all major commands used in a DP operation, including but not limited to how to switch between DP and manual, how to enable DP modes, how to select and enable position reference systems and sensors, how to change the view of the simulator, how to use the manual controls, how to enable radar, and the radios or other communication devices being used.

21.8.4.5.2 A sheet describing the vessel being simulated. This sheet should, at a minimum, describe the vessel type, profile, characteristics, and size; the type, amount, location, and capability; the type, amount and location of all position reference systems and DP sensors; and any other information the Training Provider believes is necessary.

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21.8.4.5.3 The Activity Specific Operations Guidance (ASOG), Critical Activity Mode (CAM), Task Appropriate Mode (TAM), Master's Standing Order, and any other decision support tool(s) that will be used in the operation.

21.8.4.5.4 The DP checklist that will be used for the operation.

21.8.4.6 When conducted on a simulator, the Training Provider shall provide no less than one (1) hour for the Prospective DPO to become familiar with the simulator and the DP and manual controls included therein. This familiarization session shall include a portion of time where a Certified Instructor explains the layout of the simulators, DP system, and DP screens. This time may include the 30-minute operation planning time.

#### 21.8.5 Incapable Version, Operation, Task, or Event.

21.8.5.1 The OSVDPA has attempted to craft all assessment scenarios whereby they can be completed on most DP-equipped vessels and all DP simulators. However, if an assessment item included in a scenario cannot be completed, a similar assessment item from OSVDPA AS-1-CV, the OSVDPA Assessment Guide and Item Bank (Current) Version should be utilized.

21.8.5.2 Qualified on Board Assessors (QOBA) and Proctors/Examiners designing their own assessments utilizing OSVDPA AS-2-CV, the OSVDPA Assessment Standing Order (Current Version), shall ensure that the assessment items selected can be completed and are appropriate to the vessel or simulator, vessel industrial mission, and all other limiting factors.

#### 21.8.6 Materials Allowed during the Phase 4 Assessment.

21.8.6.1 The OSVDPA endeavors to make the Phase 4 Assessment an examination of the Prospective DPO's ability to complete a DP operation. Thus, the general policy of the OSVDPA is that the Prospective DPO taking the Phase 4 Assessment shall generally have access to all materials usually found in the wheelhouse of a DP-equipped vessel.

21.8.6.2 The OSVDPA recommends that a Vessel Owner or Operator provide Prospective DPOs taking the Phase 4 Assessment access to the documents listed in Section **21.7.5** and shall inquire if these documents are made available during the Vessel Operator enrollment process (Section **13.5**).

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21.8.6.3 Prospective DPOs shall not have access to the following documents, devices, or information while they are taking the Phase 4 Assessment. Prospective DPOs found to have these documents or resources on their person or within their access shall be considered to be in violation of Section **21.4**.

21.8.6.3.1 Copies of Form P4A-1-CV or information recorded, transcribed, or copied from this form from prior assessments or the assessments of other Prospective DPOs.

21.8.6.3.2 Other written or electronic information about the confidential events or criteria being utilized in the version of the assessment.

21.8.6.3.3 Devices owned by the Prospective DPO or devices the Prospective DPO has access to which are not part of the equipment of the vessel and are non-essential to the operation of the vessel that provide for the recording of the assessment. Examples of the devices prohibited by this section include, but are not limited to, cell phones, laptops, tablets, USB sticks, or digital recorders.

#### 21.8.7 **Phase 4A and Phase 4B Assessments.**

21.8.7.1 In general, Phase 4 (Watchkeeping) (Section **19.5**) of the OSVDPA DPO Certification Scheme is composed of two (2) equal parts, Part A and Part B. Part A of Phase 4 (Watchkeeping) is for Prospective DPOs primarily serving on vessels classed as DP-2 or higher. While Part B is for Prospective DPOs primarily serving on Accepted Unclassed Vessels (Section **4.12**) or vessels classed as DP-1 vessels.

21.8.7.2 Both of the Phase 4 (Watchkeeping) parts lead to a slightly different assessment with Part A leading to the Phase 4A Assessment and Part B leading to the Phase 4B Assessment.

21.8.7.3 Subsequently, passage of each part's assessment shall lead to a different certificate, with passage of the Phase 4A Assessment leading to a Class A DPO Certificate (Section **4.14.3**) and passage of the Phase 4B Assessment leading to a Class B DPO Certificate (Section **4.14.2**).

21.8.7.4 Only those DPOs that have completed the requirements of Section **19.5.3** are allowed to take the Phase 4A Assessment.

21.8.7.5 The requirements of the QOBA contained in Section **21.10.2**.

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## 21.8.8 Phase 4 Assessment Completion Procedures.

21.8.8.1 Once the Prospective DPO has completed the Phase 4 Assessment, via the completion of the operation objectives, or met a failure described in Section **21.8.3**, the Qualified on Board Assessor (QOBA) or Proctor/Examiner conducting the assessment shall tabulate the Prospective DPO's final score.

21.8.8.1.1 Nothing in Section **21.8.3** shall require the discontinuation of an assessment, provided the QOBA conducting the assessment agrees to continue conducting the assessment in order for the Prospective DPO to gain experience.

21.8.8.2 Once the tabulation is completed, the QOBA or Proctor/Examiner shall transfer the score from the assessment scenario sheet, the OSVDPA AS-2-CV, the Assessment Standing Order (Current Version), or any other document the QOBA used to keep track of the score during the assessment, to Form P4A-1-CV, the Phase 4 Assessment Report (Current Version) as either contained in the DPO or Prospective DPO's logbook or on an additional Form P4A-1-CV (if the Phase 4 Assessment has been previously failed).

21.8.8.3 Once signed, the Prospective DPO shall be provided an opportunity to view the assessment scenario or OSVDPA AS-2-CV for the purpose of understanding how they performed on the Phase 4 Assessment. This is the only time the Prospective DPO shall have access to this material.

21.8.8.3.1 The QOBA shall ensure he or she keeps sight of these materials.

21.8.8.3.2 The QOBA shall ensure the prohibitions against certain documents, devices, or information found in Section **21.8.6.3** are maintained through this review period.

21.8.8.3.3 In instances where a vessel has multiple Prospective DPOs onboard, the QOBA and Vessel Operator shall implement or have in place protections to ensure other Prospective DPOs are not provided access to the completed Form P4A-1-CV.

21.8.8.4 Upon the conclusion of this review, the QOBA shall collect the scenarios or standing orders to ensure these forms or the information contained therein is not disseminated.

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21.8.8.5 The signing of Form P4A-1-CV shall mark the end of the Phase 4 Assessment. Prospective DPOs that have passed the assessment shall be eligible to apply for an OSVDPA DPO Certificate.

#### 21.8.9 Phase 4 Assessment Failure Procedures.

- 21.8.9.1 A Prospective DPO shall be provided three (3) opportunities to pass the Phase 4 Assessment, passing being defined in Section **21.8.3**.
- 21.8.9.2 When an attempt at passing the Phase 4 Assessment has been failed, the Prospective DPO must retake the entire Phase 4 Assessment.
- 21.8.9.3 All attempts at passing the assessment can be taken on different vessels with different Qualified on Board Assessors (Section **4.37**).
- 21.8.9.4 During the retake process, a Prospective DPO shall never take the same assessment scenario or an assessment composed of the same assessment items.
- 21.8.9.5 As stated in Section **21.8.4.3**, once the Phase 4 Assessment has been failed aboard a vessel, the subsequent attempts at passing this assessment cannot be conducted on a simulator.
- 21.8.9.6 Prospective DPOs are allowed to attempt a retake of the Phase 4 Assessment, or begin a retake of the Phase 4 Assessment, on the same day as the first attempt (or a day on which a portion of the first attempt was conducted).
- 21.8.9.7 A Prospective DPO can only take the Phase 4 Assessment (or a portion of the Phase 4 Assessment) two (2) times during any calendar day.
- 21.8.9.8 A Prospective DPO that fails the Phase 4 Assessment on their first attempt, must begin a second attempt at passing the Phase 4 Assessment within 60 days of the conclusion of the first attempt.
- 21.8.9.9 A Prospective DPO that fails the Phase 4 Assessment on their second attempt, must begin a third attempt at passing Phase 4 Assessment within 60 days of the conclusion of their second attempt and within 120 days of the conclusion of their first attempt.
- 21.8.9.10 A Prospective DPO's failure to follow the above-stated retake schedule shall be considered as failing Phase 4 (Watchkeeping).

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21.8.9.11 A Prospective DPO's failure of the Phase 4 Assessment three (3) times shall be considered as failing Phase 4 (Watchkeeping).

21.8.9.12 A Prospective DPO that fails Phase 4 (Watchkeeping) via Section **21.8.9.10** or Section **21.8.9.11** is required to complete an additional 30 days of Sea Time (Section **4.38**) and 90 hours of Practical Experience (Section **4.32**) prior to another attempt at passing the Phase 4 Assessment.

21.8.9.12.1 The timetable for a Prospective DPO's completion of the OSVDPA DPO Certification Scheme shall not be extended beyond the Certification Deadline (Section **4.17**) to accommodate these additional Training and Certification Activities.

21.8.9.12.2 After a Prospective DPO completes the additional Sea Time and Practical Experience, subsequent assessment attempts shall be treated as initial attempts at passing the Phase 4 Assessment.

## 21.9 Phase 5 (Upgrading) Assessment Procedures.

21.9.1 **In General.** Phase 5 (Upgrading) of the OSVDPA DPO Certification Scheme is for DPOs seeking to upgrade their valid Class B DPO Certificate (Section **4.14.2**) to a Class A DPO Certificate (Section **4.14.3**). As such, the Phase 5 Assessment represents the difference between the Phase 4B Assessment and the Phase 4A Assessment.

21.9.2 As such, the Phase 5 Assessment shall follow the requirements of the Phase 4 Assessment (Section **21.8**) except for the provisions contained in the following sections.

21.9.2.1 The Phase 5 Assessment conducted onboard a vessel must be conducted aboard a vessel classed as a DP-2 or higher vessel by a recognized class society or an OSVDPA-approved simulator. This requirement supersedes the requirement at Section **21.8.1.1**.

21.9.2.1.1 The OSVDPA strongly encourages DPOs taking the Phase 5 Assessment aboard a vessel to check the OSVDPA Vessel Database (Section **14.6**) to ensure the vessel they shall be taking their Phase 5 Assessment on is included therein and meets the requirements of Section **21.9.2.1**.

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21.9.2.1.2 If a DPO finds that the vessel on which they anticipated taking their Phase 5 Assessment on is not in the OSVDPA Vessel Database, or is not listed as a DP-2 or higher vessel, the Prospective DPO is strongly encouraged to contact the OSVDPA or have the Vessel Operator contact the OSVDPA to add the vessel to the OSVDPA Vessel Database via the procedures found in Section **14.5**.

21.9.2.1.3 If the OSVDPA finds a Phase 5 Assessment was conducted on an impermissible vessel, the OSVDPA shall require the Prospective DPO or DPOs that have taken Phase 5 Assessments on this vessel to take another Phase 5 Assessment on a vessel meeting the requirements of **21.9.2.1**.

21.9.2.2 The Phase 5 Assessment measures the Prospective DPO's mastery of the competencies relating to the operation of a vessel classed as a DP-2 or higher, as detailed in OSVDPA CT-1-CV, the OSVDPA Competency Standard (Current Version). This description supersedes the requirements of Section **21.8.1.2**

21.9.2.3 The Phase 5 Assessment cannot be started until the Prospective DPO has completed the requirements of Section **19.6.2**:

21.9.2.3.1 The entire Phase 5 Taskbook,

21.9.2.3.2 30 days of Sea Time (Section **4.38**), and

21.9.2.3.3 60 hours of Practical Experience (Section **4.32**).

21.9.2.4 Section **21.8.2.5.1** is superseded for Phase 5 Assessment, in that instead of completing the Form P4A-1-CV, the Phase 4 Assessment Record (Current Version), the Qualified on Board Assessor (QOBA), or Examiner (Section **4.21**) conducting the Phase 5 Assessment shall utilize the Form P5A-1-CV, the Phase 5 Assessment Report (Current Version). Form P5A-1-CV is virtually the same as Form P4A-1-CV, except the form requires the individual taking the assessment to be identified by a DPO Certificate number (Section **4.27**) instead of a Prospective DPO ID Number (Section **4.35**).

21.10 **Qualified on Board Assessor (QOBA).** The OSVDPA requires those conducting the Phase 4 Assessment or Phase 5 Assessment to be approved by the OSVDPA as a Qualified on Board Assessor (QOBA) (Section **4.37**).

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21.10.1 **Qualifications.** To become certified by the OSVDPA as a QOBA, an individual must meet the below-listed qualifications:

21.10.1.1 Hold a valid DPO certificate equal or superior to the level of DPO certificate for which they are assessing, (See Section **21.10.2** for specific level of certificates required for each assessment).

21.10.1.2 Have 150 days of Sea Time (Section **4.38**) and 450 hours of Practical Experience (Section **4.32**) within the last five (5) years, or equivalent amounts of DP Experience (See Section **23.6** for a list of equivalent activities and the amount of each activity that must be conducted).

21.10.1.3 Have passed a training course in assessment techniques, specifically a course meeting one of the following requirements:

21.10.1.3.1 A course based on IMO Model Course Number 6.09, *Training Course for Instructors*, (“Train the Trainer”).

21.10.1.3.2 A course based on IMO Model Course Number 1.30, *On-Board Assessment*.

21.10.1.3.3 A course approved by a Flag State as an onboard assessor training course for the purposes of credentials issued by that Flag State or STCW endorsements.

21.10.2 **Level of Certification Required for QOBA.** To be a QOBA, an individual must be a Certified DPO (Section **4.26**), holding a DPO certificate that is equal to or greater than the level for which they are assessing, specifically:

21.10.2.1 The Phase 4B Assessment (see Section **21.8.7**) must be conducted by a QOBA holding a valid:

21.10.2.1.1 OSVDPA Class B DPO Certificate,

21.10.2.1.2 OSVDPA Class A DPO Certificate,

21.10.2.1.3 Nautical Institute Restricted to Unclassed Vessel DP Certificate,

21.10.2.1.4 Nautical Institute Limited DPO Certificate,

21.10.2.1.5 Nautical Institute Unlimited DPO Certificate, or

21.10.2.1.6 DPO certificate issued by a DNVGL-approved DPO certification scheme.

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21.10.2.2 The Phase 4A Assessment (see Section **21.8.7**) and Phase 5 Assessment (Section **21.9**) must be conducted by a QOBA holding a valid:

21.10.2.2.1 OSVDPA Class A DPO Certificate,

21.10.2.2.2 Nautical Institute Unlimited DPO Certificate, or

21.10.2.2.3 DPO certificate issued by a DNVGL-approved DPO certification scheme, provided the OSVDPA finds that the certificate requires experience on a vessel equipped with a DP system meeting the requirements of a DP-2 or higher vessel as described by IMO/MSC Circular 645, “Guidelines for Vessels with Dynamic Positioning Systems.”

### 21.10.3 **OSVDPA Approval as a QOBA.**

21.10.3.1 To become a QOBA, a DPO shall submit a Form QA-1-CV, the Qualified on Board Assessor Application (Current Version) to the OSVDPA along with the required attachments.

21.10.3.2 The OSVDPA shall review this form and the associated attachments, and if the OSVDPA deems the required experience, certification, and course history have been met, the OSVDPA shall notify the DPO they are eligible to become a QOBA with the payment of Fee QA-1, as listed in OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version).

21.10.3.3 Once the OSVDPA receives and processes the payment, it shall send to the QOBA a certificate, and provide them access to the assessment section of the OSVDPA website. At this time, the individual shall be able to conduct the assessments they are eligible to conduct under Section **21.10.2**.

21.10.3.4 QOBA certificates are valid for five (5) years from the date printed on the certificate, provided the QOBA maintains a valid DPO certificate. The process for revalidation shall be the same process as described in Section **21.10.3**.

21.10.3.5 A QOBA that loses their DPO certificate either through revocation (Section **6.8**) or lack of revalidation (Section **23**), shall immediately lose their QOBA certification.

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## **22 DPO Certificate Application Procedures.**

### **22.1 Purpose and Summary.**

**22.1.1 In General.** Once a DPO or Prospective DPO has completed the requirements of the OSVDPA DPO Certification Scheme, he or she can apply for a DPO certificate. Specific information on when DPOs or Prospective DPOs can start the application process is found in Section **22.4**. To apply, a DPO or Prospective DPO will need to complete an application package, the contents of this package are described in Section **22.5**. In largest part, the application package shall consist of Form DPO-1-CV, the Training and Certification Activities Confirmation Letter (Current Version), which is completed by the DPO or Prospective DPO's employer (Section **22.8**); Form DPO-2-CV, the OSVDPA DPO Certificate Application Form (Current Version) which is completed by the DPO or Prospective DPO (Section **22.9**); the DPO or Prospective DPO's logbook; and the other attachments required by Form DPO-2-CV (such as updated copies of Accepted Entry Credentials (Section **4.3**), or Medical Certificates). Once received, the OSVDPA shall evaluate all of the Training and Certification Activities recorded by the DPO or Prospective DPO, as well as the related information to ensure they meet the OSVDPA requirements (Section **22.6**). Once this process is completed, the OSVDPA shall inform the DPO or Prospective DPO that they have either completed the requirements and are awarded an OSVDPA DPO Certificate (Section **22.10**) or have deficiencies that must be addressed. The OSVDPA shall provide a specific and complete list of such deficiencies and shall offer to work with the DPO or Prospective DPO to resolve these issues.

### **22.1.2 Limitations.**

**22.1.2.1** This section covers only the procedures DPOs and Prospective DPOs, and their employers, shall use when applying for an OSVDPA DPO Certificate after they have completed the OSVDPA DPO Certification Scheme. DPOs and Prospective DPOs seeking to have the OSVDPA approve their previous training or experience shall use the procedures listed in Section **20**, Grandfathering of Training and Certification Activities from other Schemes.

**22.1.2.2** This section covers only the procedures DPOs and Prospective DPOs, and their employers, shall use when applying for the individual's first, or upgraded OSVDPA DPO Certificate. DPOs seeking to revalidate their DPO Certificates shall use the procedures listed in Section **23**, Procedures for the Revalidation of OSVDPA DPO Certificates.

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## 22.2 References.

- 22.2.1 Section **4**: Definitions.
- 22.2.2 Section **16**: Prospective DPO Entry Requirements and Scheme Application Procedures.
- 22.2.3 Section **18**: Phase 3 (Simulator) Course Standards.
- 22.2.4 Section **19**: Phase 2, Phase 4, and Phase 5 Standards.
- 22.2.5 Section **20**: Transition from Other Certification Systems.
- 22.2.6 Section **21**: Assessment Policy.
- 22.2.7 Section **23**: DPO Certificate Revalidation Procedures.
- 22.2.8 Section **25**: Appeals Process.
- 22.2.9 Form DPO-1-CV, the Training and Certification Activities Confirmation Letter, (Current Version).
- 22.2.10 Form DPO-2-CV, the OSVDPA DPO Certificate Application (Current Version).
- 22.2.11 Form P-1-CV, the Prospective DPO Approval (Current Version).
- 22.2.12 Form P-2-CV, the Participant Rights and Responsibilities Acknowledgement (Current Version).
- 22.2.13 Form P-3-CV, the Participant Supervisory Rights and Responsibility Acknowledgment (Current Version).
- 22.2.14 Form P1A-1-CV, the Phase 1 Assessment Instructor Report (Current Version).
- 22.2.15 Form P2A-1-CV, the Phase 2 Assessment Report (Current Version).
- 22.2.16 Form P3A-1-CV, a Phase 3 Assessment Report (Current Version).
- 22.2.17 Form P4A-1-CV, the Phase 4 Assessment Report (Current Version).
- 22.2.18 Form P5A-1-CV, the Phase 5 Assessment Report (Current Version).
- 22.2.19 OSVDPA AS-2-CV, the Assessment Standing Order (Current Version).
- 22.2.20 OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version).

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22.2.21 OSVDPA LB-1-CV, the OSVDPA In-Scheme Log Book (Current Version).

22.2.22 OSVDPA LB-2-CV, the OSVDPA Post-Scheme Log Book (Current Version).

22.2.23 IMCA Dynamic Positioning Logbook.

### 22.3 DPO Certificate Application Fraud.

22.3.1 As stated in Section **6.3.6**, as the Scheme Owner, the OSVDPA takes responsibility for investigating, determining, and punishing those who commit fraud against the OSVDPA, Training and Certification Partners (Section **4.41**), or potential Training and Certification Partners. The OSVDPA's reserving of this right does not alleviate the necessity of all Training and Certification Partners from assisting in the fraud protection, discovery, and eradication effort. The OSVDPA retains the right to revoke the certification, accreditation, enrollment, approval, or membership of any Training or Certification Partner that the OSVDPA feels has not fully engaged in the fraud protection, discovery, and eradication effort.

22.3.2 An individual or entity found via the OSVDPA investigation to have committed or attempted to commit fraud during or relating to a DPO or Prospective DPO's application for an OSVDPA DPO Certificate shall lose their OSVDPA approval, certification, or enrollment and/or be denied entry to the OSVDPA DPO Certification Scheme for a period of no less than two (2) years. If an individual or entity reapplies after this time, they must do so under the standard procedures and shall not be provided credit for any previous OSVDPA activities, payments, or expenses.

22.3.3 Fraud, attempted fraud, or suspected fraud relating to a DPO or Prospective DPO's application for an OSVDPA DPO Certificate should be reported to the OSVDPA Executive Director as soon as discovered. Such a report should include all available evidence, all suspected OSVDPA DPO Certification Scheme participants believed to be involved in the fraud, how the fraud was discovered, and the actions the party reporting the fraud has taken.

22.3.4 If it is a Vessel Operator that submits the Section **22.3.3** notice to the OSVDPA, the entity shall take steps to ensure that any records that might be used by the OSVDPA as evidence are preserved.

22.3.5 Once the notice is received, the OSVDPA shall conduct its own investigation. This investigation shall include reviewing the evidence received in the notice and conducting interviews with those who might have knowledge of the fraud.

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- 22.3.6 Any person or entity found to have engaged in fraud and punished by the OSVDPA shall be able to appeal this decision under the procedures found in Section **25**.
- 22.4 **When to Apply.** The OSVDPA accepts applications for DPO Certificates after DPOs or Prospective DPOs have completed the following Training and Certification Activities, as appropriately recorded in OSVDPA LB-1-CV, the OSVDPA In-Scheme Log Book (Current Version).
- 22.4.1 For Prospective DPOs seeking a Class C Permit (Section **4.14.1**), he or she may apply after he or she has completed the Phase 3 (Simulator) Course (Section **18**) and has passed the Phase 3 Assessment (Section **21.7**).
- 22.4.2 For DPOs or Prospective DPOs seeking a Class A DPO Certificate (Section **4.14.3**)
- 22.4.2.1 After the Prospective DPO has recorded the completion of the requirements of Part A of Phase 4 (Watchkeeping) (Section **19.5.3**) and passed the Phase 4 Assessment (Section **21.8**), or
- 22.4.2.2 After the DPO has recorded completion of the Phase 5 (Upgrading) requirements (Section **19.6**) and passed the Phase 5 Assessment (Section **21.9**).
- 22.4.3 For Prospective DPOs seeking a Class B DPO Certificate (Section **4.14.2**), they may apply after he or she has recorded completion of the requirements of Part B of Phase 4 (Watchkeeping) (Section **19.5**) and passed the Phase 4 Assessment (Section **21.8**).
- 22.5 **Application Package.** Once a DPO or Prospective DPO has recorded completion of the final requirements of an OSVDPA DPO Certificate, as listed in Section **22.4**, the following forms must be completed and submitted to the OSVDPA.
- 22.5.1 The DPO or Prospective DPO must complete Form DPO-2-CV, the OSVDPA DPO Certificate Application (Current Version). Once completed, the form should be signed by the DPO or Prospective DPO. Specific requirements of Form DPO-2-CV, are found in Section **22.9**.
- 22.5.2 The DPO or Prospective DPO's employer must complete Form DPO-1-CV, Training and Certification Activities Confirmation Letter, (Current Version). Once this form has been completed, the form should be printed on the Vessel Operator's letter head, and signed by the representative of the Vessel Operator. The specific requirements of Form DPO-1-CV are found in Section **22.8**.

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- 22.5.2.1 If the DPO or Prospective DPO worked for multiple Vessel Operators during this time he or she was completing the requirements of the OSVDPA DPO Certification Scheme, he or she must have a Form DPO-1-CV completed by each of these Vessel Operators.
- 22.5.3 The DPO or Prospective DPO must also pay Fee DPO-1 as detailed in OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version) or include proof of payment in the application package.
- 22.5.3.1 If another party, such as the Vessel Operator, pays Fee DPO-1 on behalf of a DPO or Prospective DPO, it is important that this payment include the DPO's DPO Certificate Number (for DPO's upgrading) or the Prospective DPO ID Number Section **4.35** for Prospective DPOs seeking their first DPO certificate.
- 22.5.3.2 It is also recommended that the DPO or Prospective DPO pay Fee DPO-6 as contained in OSVDPA FS-1-CV to secure a OSVDPA LB-2-CV, the OSVDPA Post-Scheme Logbook (Current Version) at this time, if the DPO or Prospective DPO seeks to record Sea Time (Section **4.38**) or Practical Experience (Section **4.32**) while the OSVDPA is evaluating the DPO or Prospective DPO's application.
- 22.5.4 Once printed, the signed versions of Form DPO-1-CV, Form DPO-2-CV, and the proof of payment of Fee DPO-1 (or payment itself), should be combined with the below and submitted to the OSVDPA:
- 22.5.4.1 OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version)
- 22.5.4.2 If applicable, a copy of the DPO or Prospective DPO's current DPO certificate.
- 22.5.4.3 If applicable, the DPO or Prospective DPO's OSVDPA LB-2-CV, the OSVDPA Post-Scheme Logbook (Current Version) or industry accepted logbook used to record Training or Certification Activities, alternatively, a notarized copy of such logbook or logbooks, or a copy or copies of such logbook(s) submitted under a signed and notarized statement attesting to the accuracy of the copy.
- 22.5.4.4 Copies of any attachments to Form DPO-1-CV and/or Form DPO-2-CV that were required to be submitted.

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22.6 **OSVDPA Consideration of the Application.** Once the OSVDPA physically receives the DPO or Prospective DPO's application package it shall conduct the following approval steps. It is important to note, with the exception of fraudulent activities or failure to abide by the Roles and Responsibilities listed for Training Partners in Section **6.6**, the steps and points of evaluation listed below shall be the only points of consideration by the OSVDPA and deficiencies found therein shall be the only reasons for the OSVDPA not issuing an OSVDPA DPO Certificate.

- 22.6.1 Process payment or verify that payment has been made electronically. If payment has not been included in the application package or sent electronically to the OSVDPA, the OSVDPA shall not process the DPO or Prospective DPO's application.
- 22.6.2 Review and ensure all of the documents required by Section **22.5** are present in the application package. If the OSVDPA finds a deficiency here, the OSVDPA shall contact the DPO or Prospective DPO to alert him or her to this fact.
- 22.6.3 Ensure the name provided by the DPO or Prospective DPO matches with the name in the OSVDPA Database and on the government-issued identification.
- 22.6.4 Ensure the OSVDPA Database contains a valid Accepted Entry Credential (AEC, Section **4.3**) for the DPO or Prospective DPO and if there were any gaps between different AECs, that no Training or Certification Activities were recorded during these gaps.
- 22.6.5 Ensure the DPO Certificate Number (Section **22.10.3**) or Prospective DPO ID Number (Section **4.35**) is valid and matches the number assigned to the Individual in the OSVDPA Database.
- 22.6.6 Ensure the OSVDPA Database contains a valid medical certificate meeting the requirements of Section **16.4.2**. The OSVDPA shall also ensure the DPO or Prospective DPO had a valid medical certificate throughout his or her recording of Training or Certification Activities occurred during these gaps.
- 22.6.7 Examine OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version) submitted as part of the application package to ensure this logbook is the same logbook that is recorded as being issued to the DPO or Prospective DPO. Alternatively, the OSVDPA shall accept a notarized copy, or a copy of OSVDPA LB-1-CV that is submitted under a signed and notarized statement attesting to the accuracy of the copy submitted under the procedures in Section **22.5.4.1**.

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- 22.6.7.1 If the DPO or Prospective DPO has included any other logbooks in their application package, these shall be checked at this time to ensure they are valid and recorded as being issued to the DPO or Prospective DPO. Alternatively, the OSVDPA shall accept a notarized copy, or a copy of OSVDPA LB-1-CV that is submitted under a signed and notarized statement attesting to the accuracy of the copy submitted under the procedures in Section **22.5.4.1**.
- 22.6.8 Examine the Phase 1 (Induction) Course or courses as recorded by Prospective DPO. This section shall not apply to DPOs applying for a Class A DPO Certificate via completion of Phase 5 (Upgrading) or to Prospective DPOs applying for a Class A DPO Certificate or Class B DPO Certificates via completion of Phase 4 (Watchkeeping) after said Prospective DPO has earned a Class C Permit.
- 22.6.8.1 Ensure the information on Form DPO-2-CV, OSVDPA LB-1-CV, and the OSVDPA Database matches.
- 22.6.8.2 Ensure that within OSVDPA LB-1-CV, the course completion signature was signed by a Certified Instructor (Section **4.16**), the page is properly dated, and includes the proper Training Provider stamp.
- 22.6.8.3 The OSVDPA shall note the first day of the Phase 1 (Induction) Course Class attended. This date starts the Certification Deadline (Section **4.17**), all Training and Certification Activities must have occurred within five (5) years of this date.
- 22.6.9 Examine Form P2A-1-CV, the Phase 1 Assessment Report (Current Version) (or the multiple copies of Form P2A-1-CV) as recorded by the Prospective DPO. This section shall not apply to DPOs applying for a Class A DPO Certificate via completion of Phase 5 (Upgrading) or to Prospective DPOs applying for a Class A DPO Certificate or Class B DPO Certificate via completion of Phase 4 (Watchkeeping) after said Prospective DPO has earned a Class C Permit.
- 22.6.9.1 Ensure the information on Form DPO-2-CV, Form P1A-1-CV, and the OSVDPA Database matches.
- 22.6.9.2 In the case of a Prospective DPO that failed the Phase 1 Assessment, review the copy of Form P1A-1-CV from each of the assessment attempts to ensure that the failures were properly recorded and the assessment failure procedures detailed in Section **21.5.7** were followed.

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22.6.9.3 In the case of a Prospective DPO that was required to participate in the remediation session (Section **21.5.8**) after the Phase 1 Assessment, the OSVDPA shall ensure that this information is recorded on the Prospective DPO's OSVDPA LB-1-CV and signed by the Certified Instructor that conducted the remedial learning session.

22.6.9.4 If a Prospective DPO is required to retake the Phase 1 (Induction) Course due to three (3) failures of the Phase 1 Assessment or due to an inability to undertake the Phase 1 Assessments during the proper timeframe, the OSVDPA shall ensure this retake of the course (and associated Phase 1 Assessment) was properly completed.

22.6.10 The OSVDPA shall examine the Phase 2 (Familiarization) Training and Certification Activities as recorded by the Prospective DPO. This section shall not apply to DPOs applying for a Class A DPO Certificate via completion of Phase 5 (Upgrading) or to Prospective DPOs applying for a Class A DPO Certificate or Class B DPO Certificate via completion of Phase 4 (Watchkeeping) after said Prospective DPO has earned a Class C Permit.

22.6.10.1 Ensure the information on Form DPO-1-CV, Form DPO-2-CV, OSVDPA LB-1-CV, and the OSVDPA Database matches.

22.6.10.2 Ensure that all Training and Certification Activities (Section **4.40**) were recorded after the Phase 1 Assessment was passed.

22.6.10.3 Ensure that all requirements of Phase 2 (Familiarization) were completed prior to the Certification Deadline (Section **4.17**).

22.6.10.4 Ensure that the Prospective DPO has recorded a sufficient amount of Sea Time (possibly via the allowance of Passive Time) and Practical Experience to complete the requirements of Phase 2 (Familiarization) (See Section **19.4** for a description of these requirements).

22.6.10.5 Ensure that the Prospective DPO has completed the Phase 2 Taskbook in accordance with the requirements listed in Section **19.8.7**.

22.6.10.6 Ensure that all Sea Time, Practical Experience, and taskbook tasks have been signed in accordance with Section **19.8.3** and Section **19.8.4**. The OSVDPA shall also note if the Prospective DPO was the Master of the Vessel at any point during their completion of Phase 2 (Familiarization), and that the Vessel Operator has completed the "Enhanced Verification of Training and Competency" section of form DPO-1-CV, the Training and Certification Activities Confirmation Letter, (Current Version).

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22.6.10.7 Ensure that the DPO or the Master of the Vessel that signed each Training and Certification Activity has a valid DPO Certificate or was the Master of the Vessel.

22.6.10.8 Ensure that all Sea Time, Practical Experience, and taskbook tasks were completed aboard vessels with valid AUV Documentation (Section **4.12**) or vessels that have received a DP class notation equal to DP-1 or greater from a recognized classification society. **Note.** The OSVDPA shall ensure that the vessel had these qualifications during the time the Prospective DPO was recording Training and Certification Activities aboard the vessel, regardless of the vessel's current status.

22.6.11 Examine Form P2A-1-CV, the Phase 2 Assessment Report (Current Version) (or the multiple copies of Form P2A-1-CV) as recorded by the Prospective DPO. This section shall not apply to DPOs applying for a Class A DPO Certificate via completion of Phase 5 (Upgrading) or to Prospective DPOs applying for a Class A DPO Certificate or Class B DPO Certificate via completion of Phase 4 (Watchkeeping) after said Prospective DPO has earned a Class C Permit.

22.6.11.1 Ensure that the information contained on Form DPO-1-CV, Form DPO-2-CV, Form P2A-1-CV, and the OSVDPA Database matches.

22.6.11.2 Ensure that the Phase 2 Assessment was completed prior to the Certification Deadline (Section **4.17**).

22.6.11.3 Ensure that the requirements of Section **19.4.4.1**, regarding when the Phase 2 Assessment is allowed to begin were adhered to and that the Prospective DPO recorded at least 28 days of Sea Time and 84 hours of Practical Experience were recorded prior to the start of the Phase 2 Assessment. The OSVDPA shall also ensure that any Passive Time the Prospective DPO sought to record was recorded prior to the start of the Phase 2 Assessment.

22.6.11.4 Ensure that all of the assessment tasks were signed by a DPO or the Master of the Vessel in accordance with Section **21.6.3**. At this point, the OSVDPA shall also note if the Prospective DPO was the Master of the Vessel at any point during their completion of the Phase 2 Assessment, and if so, that the Vessel Operator has completed the "Enhanced Verification of Training and Competency" section of Form DPO-1-CV.

22.6.11.5 Ensure that the DPO or the Master of the Vessel that signed each Training and Certification Activity has a valid DPO Certificate or was the Master of the Vessel.

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- 22.6.11.6 Ensure that all Phase 2 Assessment tasks were completed aboard vessels with valid AUV Documentation (Section **4.12**), or vessels with a DP class notation equal to DP-1 or greater from a recognized classification society. **Note.** The OSVDPA shall ensure that the vessel had these qualifications during the time the Prospective DPO was recording the Phase 2 Assessment, regardless of the vessel's current status.
- 22.6.11.7 Ensure that any failures of the Phase 2 Assessment were properly recorded in the Prospective DPO's OSVDPA LB-1-CV.
- 22.6.11.8 Ensure that any retakes of the Phase 2 Assessment were conducted in accordance with Section **21.6.5**.
- 22.6.11.9 If a Prospective DPO is required to record additional Training and Certification Activities due to three (3) failures of the Phase 2 Assessment or due to an inability to undertake the Phase 2 Assessments during the proper timeframe, the OSVDPA shall check to see if this time has been completed in accordance with Section **21.6.5.10**. This review shall also ensure that the extra Training and Certification Activities necessitated by the assessment failures were recorded within the Certification Deadline.
- 22.6.12 Examine the Phase 3 (Simulator) Course. This section shall not apply to DPOs applying for a Class A DPO Certificate via completion of Phase 5 (Upgrading) or to Prospective DPOs applying for a Class A DPO Certificate or Class B DPO Certificate via completion of Phase 4 (Watchkeeping) after said Prospective DPO has earned a Class C Permit.
- 22.6.12.1 Ensure the information contained in the Prospective DPO's OSVDPA LB-1-CV, Form DPO-2-CV, and the OSVDPA Database match.
- 22.6.12.2 Ensure that the Prospective DPO did not attend the Phase 3 (Simulator) Course prior to recording passage of the Phase 2 Assessment.
- 22.6.12.3 Ensure that the course completion signature was signed by a Certified Instructor (Section **4.16**), stamped by an Accredited Training Provider, and properly dated.
- 22.6.12.4 Ensure that the Phase 3 (Simulator) Course was completed prior to the Certification Deadline (Section **4.17**).

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22.6.13 Examine Form P3A-1-CV, the Phase 3 Assessment Report (Current Version) (or the multiple copies of Form P3A-1-CV) recorded by the Prospective DPO. This section shall not apply to DPOs applying for a Class A DPO Certificate via completion of Phase 5 (Upgrading) or to Prospective DPOs applying for a Class A DPO Certificate or Class B DPO Certificate via completion of Phase 4 (Watchkeeping) after said Prospective DPO has earned a Class C Permit.

22.6.13.1 The OSVDPA shall ensure the information contained in Form P3A-1-CV matches the information uploaded on the OSVDPA Database.

22.6.13.2 Check to see if the assessment was conducted via a scenario or via OSVDPA AS-2-CV, the Assessment Standing Order (Current Version) and see if the specific scenario or version of OSVDPA AS-2-CV was valid at the time of the assessment.

22.6.13.3 Ensure all assessment items included in the Phase 3 Assessment were appropriate to a Phase 3 Assessment.

22.6.13.4 In the case of a Prospective DPO that failed the Phase 3 Assessment, the OSVDPA shall ensure that the failures were properly recorded and ensure that the assessment failure procedures detailed in Section **21.7.11** were followed.

22.6.13.5 If a Prospective DPO is required to retake the Phase 3 (Simulator) Course due to three (3) failures of the Phase 3 Assessment or due to an inability to undertake the Phase 3 Assessments during the proper timeframe, the OSVDPA shall ensure the subsequent Phase 3 (Simulator) Course Class was completed within the Certification Deadline (Section **4.17**).

22.6.13.6 After recording the information contained on Form P3A-1-CV, the OSVDPA shall remove the last two (2) pages of this form from the Prospective DPO's logbook, leaving only the fact that the Prospective DPO passed or failed the assessment in their logbook.

22.6.13.6.1 **Note.** For Prospective DPOs applying for a Class C Permit (Section **4.14.1**), the OSVDPA's review shall be concluded at this point.

22.6.14 The OSVDPA shall examine Phase 4 (Watchkeeping). This section shall not apply to DPOs applying for a Class A DPO Certificate via completion of Phase 5 (Upgrading) or Prospective DPOs seeking a Class C Permit.

22.6.14.1 Ensure the information contained in Form DPO-1-CV, Form DPO-2-CV, the OSVDPA LB-1-CV, and the OSVDPA Database matches.

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- 22.6.14.2 Ensure that all Training and Certification Activities (Section **4.40**) were recorded after the Prospective DPO passed the Phase 3 Assessment.
- 22.6.14.3 Ensure that the Phase 4 (Watchkeeping) requirements were completed prior to the Certification Deadline (Section **4.17**).
- 22.6.14.4 Ensure that the Prospective DPO has recorded a sufficient amount of Sea Time and Practical Experience to complete the requirements of Phase 4 (Watchkeeping) (See Section **19.5** for a description of these requirements).
- 22.6.14.5 Ensure that the Prospective DPO has completed the Phase 4 Taskbook in accordance with the requirements listed in Section **19.8.7**.
- 22.6.14.6 Ensure that all Sea Time, Practical Experience, and taskbook tasks have been signed in accordance with Section **19.8.3** and Section **19.8.4**. At this point, the OSVDPA shall also note if the Prospective DPO was the Master of the Vessel at any point during their completion of Phase 4 (Watchkeeping), and that the Vessel Operator has completed the “Enhanced Verification of Training and Competency” section of Form DPO-1-CV.
- 22.6.14.7 Ensure that the DPO or the Master of the Vessel that signed each Training and Certification Activity (Section **4.40**) has a valid DPO certificate or was the Master of the Vessel. For Prospective DPOs seeking a Class A DPO Certificate (Section **4.14.3**), the OSVDPA shall also ensure that all Training and Certification Activities recorded were signed by the holder of a Class A DPO Certificate or the holder of an equivalent DPO certificate as dictated by Section **19.5.3.4**.
- 22.6.14.8 For Prospective DPOs seeking a Class B DPO Certificate, ensure that all Sea Time, Practical Experience, and taskbook tasks were completed aboard vessels with valid AUV Documentation (Section **4.12**), or vessels with a valid DP class notation as issued by a recognized classification society. **Note.** The OSVDPA shall ensure that the vessel had these qualifications during the time the Prospective DPO was recording Training and Certification Activities aboard the vessel, regardless of the vessel’s current status.

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22.6.14.9 For Prospective DPOs seeking a Class A DPO Certificate, ensure that the Prospective DPO has a sufficient amount of Sea Time, Practical Experience, and has completed all of the taskbook tasks on a vessel that has been classed by a recognized classification society as having a DP class notation of DP-2 or higher. **Note.** The OSVDPA shall ensure that the vessel had these qualifications during the time the Prospective DPO was recording Training and Certification Activities aboard the vessel, regardless of the vessel's current status.

22.6.14.10 Ensure that any Sea Time or Practical Experience that was moved from Phase 2 (Familiarization) to Phase 4 (Watchkeeping) was done in accordance with Section **19.5.2**, specifically, that no Training and Certification Activities were double counted (Section **19.5.2.1**), Passive Time days were not moved, days or hours during which a Phase 2 Assessment was conducted were not moved, and that the Prospective DPO still has enough Sea Time and Practical Experience left in Phase 2 (Familiarization) to satisfy its requirements. Additionally, the OSVDPA shall ensure Prospective DPOs seeking a Class A DPO Certificate moved only Training and Certification Activities recorded on a vessel with a DP class notation of DP-2 or higher as issued by a recognized classification society.

22.6.15 The OSVDPA shall examine the Form P4A-1-CV, the Phase 4 Assessment Report (Current Version) (or multiple copies thereof) recorded by the Prospective DPO. This section shall not apply to DPOs applying for a Class A DPO Certificate via completion of Phase 5 (Upgrading) or Prospective DPOs seeking a Class C Permit.

22.6.15.1 Ensure that the information contained in Form DPO-2-CV, the OSVDPA Database, and Form P4A-1-CV matches.

22.6.15.2 Ensure the signatures required by Form P4A-1-CV where included on that form. Specifically, the Master of the Vessel (if assessment was conducted on a vessel), the Prospective DPO, and the assessor (Qualified on Board Assessor (Section **4.37**) or Proctor/Examiner).

22.6.15.3 Ensure the administrative information required by Form P4A-1-CV was correctly completed and if the assessment was conducted on a simulator, the Prospective DPO was sent the documents listed in Section **21.8.4.5** or the Prospective DPO waived this allowance.

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- 22.6.15.4 Check to see if the assessment was conducted via a scenario or via OSVDPA AS-2-CV, the Assessment Standing Order (Current Version) and see if the specific scenario or version of OSVDPA AS-2-CV was valid at the time of the assessment.
- 22.6.15.5 For Phase 4 Assessments conducted onboard a vessel, over an extended time period as allowed by Section **21.8.2.6**, ensure the assessment was conducted using OSVDPA AS-2-CV and verify the Phase 4 Assessment was conducted within the maximum allowable time (14 days) as dictated by Section **21.8.2.6.1**.
- 22.6.15.6 Ensure all assessment items included in the Phase 4 Assessment were appropriate to a Phase 4 Assessment, to the vessel the assessment was conducted on (if applicable), and any other limiting factors.
- 22.6.15.7 Ensure that, if the Prospective DPO was the Master of the Vessel during the assessment, the Vessel Operator has completed the “Enhanced Verification of Training and Competency” section of Form DPO-1-CV.
- 22.6.15.8 If the assessment was conducted aboard a vessel, ensure that it was completed aboard a vessel with valid AUV Documentation (Section **4.12**) or a vessel with a DP class notation equal to DP-1 or greater from a recognized classification society. **Note.** The OSVDPA shall ensure that the vessel had these qualifications during the time the Prospective DPO was recording the Phase 4 Assessment, regardless of the vessel’s current status.
- 22.6.15.9 If the Prospective DPO is seeking a Class A DPO Certificate and took the Phase 4 Assessment aboard a vessel, ensure the assessment was conducted aboard a vessel with a DP class notation equal to DP-2 or above as provided by a recognized classification society, and that the QOBA that conducted the assessment held a Class A DPO Certificate, or an equivalent certificate from another DPO certificate provider (see Section **21.10.2.2** for a specific list of the DPO certificates a QOBA must hold to conduct a Phase 4A assessment).
- 22.6.15.10 If the Phase 4 Assessment is conducted aboard a vessel, ensure that the Phase 4 Assessment was conducted aboard a single vessel, per the requirements of Section **21.8.2.6.3**.

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22.6.15.11 If the Phase 4 Assessment is conducted by an OSVDPA-Accredited Training Provider, the OSVDPA shall ensure the simulator that the Prospective DPO conducts the Phase 4 Assessment upon is approved by the OSVDPA, meets the qualifications of Section **21.8.4.2**, which requires the simulators to be a Class A simulator, unless the OSVDPA has declared that the geographic area does not have sufficient Class A simulators, and thus allowed Phase 4 Assessments to be conducted using a Class B Simulator.

22.6.15.12 The OSVDPA shall ensure that any failures of the Phase 4 Assessment were properly recorded.

22.6.15.13 The OSVDPA shall ensure that any retakes of the Phase 4 Assessment were conducted in accordance with Section **21.8.9**, including ensuring the Prospective DPO is not provided the same assessment scenarios or assessment items twice, the Prospective DPO does not attempt to take the assessment more than twice during any one (1) day, or there is not too great a delay between assessment attempts, and that a Prospective DPO that fails the Phase 4 Assessment on a simulator does not conduct reassessments on a vessel, or vice versa.

22.6.15.14 If a Prospective DPO is required to record additional Training and Certification Activities (Section **4.40**) due to three (3) failures of the Phase 4 Assessment or due to an inability to undertake the Phase 4 Assessments during the proper timeframe, the OSVDPA shall check to see if this time has been completed in accordance with Section **21.8.9.12**. This review shall also ensure that the extra Training and Certification Activities necessitated by the assessment failures were recorded within the Certification Deadline.

22.6.15.14.1 **Note.** For Prospective DPOs applying for a Class B DPO Certificate or Class A DPO Certificate via completion of the first four (4) phases of the OSVDPA DPO Certification Scheme, the OSVDPA's review of the Prospective DPO's OSVDPA LB-1-CV shall be concluded at this point.

22.6.16 The OSVDPA shall examine the Phase 5 (Upgrading). This section shall only apply to DPOs seeking a Class A DPO Certificate via completion of Phase 5 (Upgrading).

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- 22.6.16.1 Ensure the information contained in Form DPO-1-CV, Form DPO-2-CV, the OSVDPA LB-1-CV (and other logbooks), and the OSVDPA Database matches.
- 22.6.16.2 Ensure all Training and Certification Activities (Section **4.40**) were completed after the DPO recorded passing the Phase 4 Assessment. **Note.** Sea Time and Practical Experience are allowed to be recorded after the Prospective DPO applies for their Class B DPO Certificate but before they receive such a certificate, this Sea Time and Practical Experience is to be recorded in an OSVDPA LB-2-CV or their IMCA Dynamic Positioning Logbook. These logbooks must also be included in the certificate package.
- 22.6.16.3 Ensure all Training and Certification Activities were recorded within the Certification Deadline (Section **4.17**).
- 22.6.16.4 Ensure that the DPO has recorded a sufficient amount of Sea Time and Practical Experience to complete the requirements of Phase 5 (Upgrading) (Section **19.6**).
- 22.6.16.5 Ensure that the Prospective DPO has completed the Phase 5 Taskbook in accordance with the requirements listed in Section **19.8.7**.
- 22.6.16.6 Ensure that all Sea Time, Practical Experience, and taskbook tasks have been signed in accordance with Section **19.8.3**, Section **19.8.4**, and Section **19.6.3.2**. At this point, the OSVDPA shall also note if the Prospective DPO was the Master of the Vessel at any point during their completion of Phase 5 (Upgrading), and if so, the Vessel Operator is required to complete the “Enhanced Verification of Training and Competency” section of Form DPO-1-CV.
- 22.6.16.7 Ensure that the DPO or the Master of the Vessel that signed each Training and Certification Activity has a valid DPO certificate (specifically one meeting the requirements of Section **19.6.3.2**) or was the Master of the Vessel.
- 22.6.16.8 Ensure all Training and Certification Activities were completed on a vessel with a DP class notation of DP-2 or higher as issued by a recognized classification society.
- 22.6.17 The OSVDPA shall examine the Form P5A-1-CV, the Phase 5 Assessment Report (Current Version) (or the multiple copies thereof). This section shall only apply to DPOs applying for a Class A DPO Certificate via completion of Phase 5 (Upgrading).

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- 22.6.17.1 Ensure that the information contained in Form DPO-2-CV, Form P5A-1-CV, OSVDPA LB-1-CV (and other logbooks) matches the information in the OSVDPA Database.
- 22.6.17.2 Ensure the signatures required by Form P5A-1-CV where included on that form. Specifically, the Master of the Vessel (if assessment was conducted on a vessel), the DPO, and the assessor (Qualified on Board Assessor (Section 4.37) or Proctor/Examiner).
- 22.6.17.3 Ensure the administrative information required by Form P5A-1-CV was correctly completed and that if the assessment was conducted on a simulator the Prospective DPO was sent the documents listed in Section 21.8.4.5 or the DPO waived this allowance.
- 22.6.17.4 Check to see if the assessment was conducted via a scenario or via OSVDPA AS-2-CV, the Assessment Standing Order (Current Version) and see if the specific scenario or version of OSVDPA AS-2-CV was valid at the time of the assessment.
- 22.6.17.5 For Phase 5 Assessments conducted onboard a vessel, over an extended time period, as allowed by Section 21.8.2.6, ensure the assessment was conducted using OSVDPA AS-2-CV, and verify the Phase 5 Assessment was conducted within the maximum allowable time (14 days) as dictated by Section 21.8.2.6.1.
- 22.6.17.6 Ensure all assessment items included in the Phase 5 Assessment were appropriate to a Phase 5 Assessment, to the vessel the assessment was conducted on (if applicable), and any other limiting factors.
- 22.6.17.7 Ensure that if the DPO was the Master of the Vessel during the assessment, the Vessel Operator has completed the “Enhanced Verification of Training and Competency” section of Form DPO-1-CV.
- 22.6.17.8 Ensure the assessment was conducted aboard a vessel with a DP class notation equal to DP-2 or above as provided by a recognized classification society, and that the QOBA who conducted the assessment held a Class A DPO Certificate, or an equivalent certificate from another DPO certificate provider (see Section 21.10.2.2 for a specific list of the DPO certificates a QOBA must hold to conduct a Phase 4A assessment).

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22.6.17.9 If conducted aboard a vessel, ensure that the Phase 5 Assessment was conducted aboard a single vessel, per the requirements of Section **21.8.2.6.3**.

22.6.17.10 If the Phase 5 Assessment is conducted by an OSVDPA-Accredited Training Provider, the OSVDPA shall ensure the simulator that the Prospective DPO conducts the Phase 4 Assessment upon is approved by the OSVDPA, meets the qualifications of Section **21.8.4.2**, which requires the simulators to be a Class A simulator, unless the OSVDPA has declared that the geographic area does not have sufficient Class A simulators, and thus allowed Phase 4 Assessments to be conducted using a Class B Simulator.

22.6.17.11 The OSVDPA shall ensure that any failures of the Phase 5 Assessment were properly recorded.

22.6.17.12 The OSVDPA shall ensure that any retakes of the Phase 5 Assessment were conducted in accordance with Section **21.8.9**, including ensuring the Prospective DPO is not provided the same assessment scenarios or assessment items twice, the DPO does not attempt to take the assessment more than twice during any one (1) day, or there is not too great a delay between assessment attempts, and that a DPO that fails the Phase 5 Assessment on a simulator does not conduct reassessments on a vessel, or vice versa.

22.6.17.13 If a DPO is required to record additional Training and Certification Activities (Section **4.40**) due to three (3) failures of the Phase 5 Assessment or due to an inability to undertake the Phase 5 Assessments during the proper timeframe, the OSVDPA shall check to see if this time has been completed in accordance with Section **21.8.9.12**. This review shall also ensure that the extra Training and Certification Activities necessitated by the assessment failures were recorded within the Certification Deadline.

22.7 **OSVDPA's Decision Regarding Certification.** Once the OSVDPA's review of all of the materials listed in Section **22.6** is complete, the OSVDPA shall render a decision if the DPO or Prospective DPO has completed the requirements of the OSVDPA DPO Certification Scheme. This decision shall take one (1) of the two (2) forms.

22.7.1 **Certificated.** If the OSVDPA finds that the DPO or Prospective DPO has completed the relevant training requirements of the OSVDPA DPO Certificate Scheme, the OSVDPA shall inform the DPO or Prospective DPO of this fact, and shall award an OSVDPA DPO Certificate to the individual stating the same.

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- 22.7.1.1 This notification shall be made via a package mailed to the address on file in the OSVDPA Database. This package shall contain.
- 22.7.1.1.1 A letter from the OSVDPA congratulating the Prospective DPO or DPO. This letter shall also remind the DPO or Prospective DPO about the roles and responsibilities of Training and Certification Partners.
- 22.7.1.1.2 The DPO or Prospective DPO's new OSVDPA DPO Certificate.
- 22.7.1.1.3 If submitted, the DPO or Prospective DPO's OSVDPA LB-1-CV and any other logbooks that were submitted to the OSVDPA. Alternatively, the notarized copy of such logbook, or copy of a logbook accompanied by a notarized statement attesting to the accuracy of the copy.
- 22.7.1.1.4 A new logbook if so requested and paid for by the DPO or Prospective DPO as part of their application.
- 22.7.1.2 In addition to the certification package that is mailed to the DPO or Prospective DPO, the OSVDPA shall also change the individual's status on the OSVDPA Database to list which DPO Certificate the individual has earned, the date this certificate was provided, and the expiration date for this certificate.
- 22.7.1.3 DPOs or Prospective DPOs securing a DPO Certificate or Class C Permit while holding an Accepted Entry Credential (AEC) (Section **4.3**) meeting the definition listed in Section **16.4.1.3** shall have the phrase "Not an Officer in Charge of a Navigational Watch" placed on their DPO Certificate or Class C Permit. This phrase shall also appear on the OSVDPA Database. This phrase shall remain on the individual's certificate or permit until such time as he or she earns—and notifies the OSVDPA of—an AEC meeting either Section **16.4.1.1** or Section **16.4.1.2**.
- 22.7.2 **Not Certificated.** If the OSVDPA's review of the DPO or Prospective DPO's application package finds that the DPO or Prospective DPO has not completed the training requirements, the OSVDPA shall take the following actions.
- 22.7.2.1 **Notification.** The DPO or Prospective DPO shall receive written notice that the OSVDPA finds that he or she has not met the requirements of an OSVDPA DPO Certificate. This notice shall contain the following information.

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22.7.2.1.1 A specific list of the deficiencies or discrepancies in the DPO or Prospective DPO's application package. This list shall cite the deficiency or discrepancy and describe the specific actions that the DPO or Prospective DPO can take to address the issue.

22.7.2.1.2 A timeline under which the issue must be addressed so that the DPO or Prospective DPO completes the required Training and Certification Activities before the Certification Deadline (Section **4.17**).

22.7.2.1.3 The notification shall also ask the DPO or Prospective DPO if they would like for the OSVDPA to send the materials in their application package back to them. This section of the notification shall inform the DPO or Prospective DPO that they may choose to address the deficiencies listed in the notification and send proof of those changes or additions to the OSVDPA. If the OSVDPA does not hear from the DPO or Prospective DPO on this matter, it shall send the materials back to the DPO after 90 days (unless otherwise specified in this portion of the notification).

22.7.2.2 **OSVDPA Database.** The OSVDPA shall not include a reference to a not certified notification on the publicly searchable portion of the OSVDPA Database.

22.7.3 **Assistance.** The OSVDPA understands that the process of applying for a DPO certificate is a difficult one and offers any assistance that it can provide to DPOs, Prospective DPOs, or Vessel Operators, as they work to complete this process. Additionally, the OSVDPA makes the following commitments to the Training and Certification Partners as they go through this process.

22.7.3.1 The OSVDPA shall completely review the DPO's or Prospective DPO's application prior to rendering a decision regarding certification, and in the case that the OSVDPA denies an application, the OSVDPA shall list in the not certified notification every deficiency it finds with the DPO's or Prospective DPO's application package.

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22.7.3.2 The OSVDPA shall only use the Not Certified Notification referenced above as a last resort. Prior to reaching that stage, the OSVDPA shall attempt to have deficiencies in a DPO or Prospective DPO's application handled informally. Specifically, via the OSVDPA reaching out to the DPO, Prospective DPO, or the Vessel Operator he or she works for and having them submit information to address the specific deficiency in question.

22.7.4 **Appeals.** The OSVDPA decision on accreditation is subject to appeals under the procedures listed in Section 25.

## 22.8 **Form DPO-1-CV, Training and Certification Activities Confirmation Letter, (Current Version)**

22.8.1 The purpose of Form DPO-1-CV is to ensure that the Vessel Operator or entity that employs the DPO or Prospective DPO confirms and verifies that the DPO or Prospective DPO has completed—to the best of the Vessel Operator's knowledge—the Training and Certification Activities (Section 4.40) that are recorded by the DPO or Prospective DPO as having occurred on the Vessel Operator's vessels.

22.8.2 For Enrolled Vessel Operators (Section 4.21) Signers of Form DPO-1-CV must be someone who has registered with the OSVDPA and been approved by the OSVDPA to sign such forms via the submission and approval of Form P-2-CV, Participant Rights and Responsibilities Acknowledgement (Current Version) or the individual's supervisor has signed Form P-3-CV, Participant Supervisory Rights and Responsibility Acknowledgment (Current Version) see Section 13.6.2 for more information.

22.8.3 For Vessel Operators not Enrolled in the OSVDPA, Form DPO-1-CV must be signed by an individual serving as a President, Vice President for personnel/human resources, Vice President for operations, Personnel Director, Marine Superintendent, or Operations Manager. This individual must have previously received permission from the OSVDPA to sign this form, the OSVDPA has his or her signature on file, and he or she has certified to the OSVDPA that they understand the OSVDPA's DPO Certification Scheme and its requirements.

22.8.4 In General, Form DPO-1-CV requests the following information:

22.8.4.1 Vessel Operator identifying information,

22.8.4.2 DPO or Prospective DPO identifying information and what type of certificate is being sought,

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22.8.4.3 The experience gained by the DPO during Phase 2 (Familiarization) and Phase 4 (Watchkeeping) or Phase 5 (Upgrading). This information is requested by the OSVDPA to provide a certification from the Vessel Operator that the organization has reviewed the DPO or Prospective DPO's OSVDPA LB-1-CV and any other logbooks submitted by the DPO or Prospective DPO and has found that the Training and Certification Activities (Section **4.40**) recorded therein to be a true and correct record of the DPO or Prospective DPO's service.

22.8.4.4 If the assessments passed by the DPO or Prospective DPO were completed aboard a vessel (if the Vessel Operator is Enrolled in the OSVDPA), the Vessel Operator shall summarize these assessments and certify they have reviewed the DPO or Prospective DPO's OSVDPA LB-1-CV and any other logbooks submitted by the DPO or Prospective DPO and has found that the assessments were completed in accordance with the OSVDPA's policies and procedures.

22.8.4.5 **Enhanced Verification of Training and Competency.** Vessel Operators must complete this portion of Form DPO-1-CV only if the DPO or Prospective DPO in question was the Master of the Vessel during any portion of completing their Training and Certification Activities (Section **4.40**) or the OSVDPA has required the Vessel Operator to complete this section of the form due to a lack of properly certified DPO to sign a DPO or Prospective DPO's logbook. This section of the form asks Vessel Operators to detail the steps they have taken to assure the competency of the individual in question. Specifically, the form lists the steps the OSVDPA accepts as appropriate to verify the competency of the DPO or Prospective DPO. This portion of the Form DPO-1-CV must be signed by QOBA.

22.8.5 **Letterhead.** After the Vessel Operator has completed the Form DPO-1-CV, it should print a copy on the company's letterhead, sign this copy, submit a copy to the OSVDPA and provide a copy to the DPO or Prospective DPO for their inclusion in their application package.

## 22.9 **Form DPO-2-CV, the OSVDPA DPO Certificate Application (Current Version).**

22.9.1 Form DPO-2-CV has two (2) primary purposes: expediting the OSVDPA's approval of OSVDPA DPO Certificate applications, and ensuring all required information is contained in the application package before said package is submitted.

22.9.2 In general, Form DPO-2-CV requests the following information.

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- 22.9.2.1 Identifying information about the DPO or Prospective DPO such as their name, date of birth, DPO Certificate Number before Prospective DPO ID Number, contact information, etc. and if any of this information (especially Accepted Entry Credential (Section **4.3**), Medical Certificate, etc.) have changed.
- 22.9.2.2 The type of DPO Certificate the DPO or Prospective DPO is applying for, i.e. a Class A DPO Certificate, a Class B DPO Certificate, or a Class C Permit.
- 22.9.2.3 Form DPO-2-CV asks the DPO or Prospective DPO to upload all of their Training and Certification Activities by phase. Doing so provides the OSVDPA an electronic record of the DPO or Prospective DPO's Training and Certification Activities, thereby providing the OSVDPA with a more expedient way to verify the individual has completed the scheme.
- 22.9.2.3.1 **Note.** DPOs upgrading from a Class B DPO Certificate (Section **4.14.2**) to a Class A DPO Certificate (Section **4.14.3**), or Prospective DPOs securing their DPO Certificate after earning a Class C Permit (Section **4.14.1**) must only upload the Training and Certification Activities not previously uploaded.
- 22.9.2.3.2 For the Phase 1 (Induction) Course (Section **17**), this shall include where, when, and what instructor was utilized for this course and if a remediation learning period was completed (Section **21.5.8**).
- 22.9.2.3.3 For the Phase 1 Assessment (Section **21.5**), this information includes the information contained on Form P1A-2-CV, the Phase 1 Assessment Prospective DPO Report (Current Version) or the multiple copies of this form that might have been necessary for the DPO or Prospective DPO to include.
- 22.9.2.3.4 For Phase 2 (Familiarization) (Section **19.4**), this information includes a summary of the Training and Certification Activities that were completed by the Prospective DPO by hitch, a summary of taskbook tasks that were completed, and any additional Training and Certification Activities necessitated by failures of the Phase 2 Assessment.

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- 22.9.2.3.5 For the Phase 2 Assessment (Section **21.6**) this shall include a summary of Form P2A-1-CV, the Phase 2 Assessment Report (Current Version) listing when and on what vessel the assessment was conducted upon (this includes all copies of Form P2A-1-CV, if the assessment was failed and multiple copies were required).
- 22.9.2.3.6 For the Phase 3 (Simulator) Course (Section **18**), this shall include where, when, and what instructor was utilized for this course and if a remediation learning period was completed
- 22.9.2.3.7 For the Phase 3 Assessment (Section **21.7**), this shall include a summary of the information included on Form P3A-1-CV, the Phase 3 Assessment Report (Current Version), including if the assessment was conducted via a standing order or scenario, what assessment items were included in the assessment, and if the assessment was passed or failed.
- 22.9.2.3.8 For Phase 4 (Watchkeeping) (Section **19.5**), this shall include a summary of the Training and Certification Activities that were completed by the Prospective DPO by hitch (and any activities moved from Phase 2), a summary of taskbook tasks that were completed, and any additional Training and Certification Activities necessitated by failures of the Phase 4 Assessment.
- 22.9.2.3.9 For the Phase 4 Assessment (Section **21.8**), this shall include a summary of Form P4A-1-CV, the Phase 4 Assessment Report (Current Version), including if the assessment was conducted, on a vessel or on a simulator, the date(s) the assessment was conducted, if the assessment was conducted via a standing order or scenario, what assessment items were included in the assessment, and if the assessment was passed or failed.
- 22.9.2.3.10 For Phase 5 (Upgrading) (Section **19.6**), this shall include a summary of the Training and Certification Activities that were completed by the DPO by hitch, a summary of taskbook tasks that were completed, and any additional Training and Certification Activities necessitated by failures of the Phase 5 Assessment.

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22.9.2.3.11 For the Phase 5 Assessment (Section **21.9**), this shall include a summary of Form P5A-1-CV, the Phase 5 Assessment Report (Current Version), including if the assessment was conducted, on a vessel or on a simulator, the date(s) the assessment was conducted, if the assessment was conducted via a standing order or scenario, what assessment items were included in the assessment, and if the assessment was passed or failed.

22.9.2.4 A space where the DPO or Prospective DPO shall certify that all of the information contained in Form DPO-2-CV, their copy of OSVDPA LB-1-CV, and any other logbooks also uploaded are accurate and that the DPO or Prospective DPO understands the rules and regulations governing the OSVDPA DPO Certification Scheme.

**22.10 DPO Certificates.** DPO Certificates issued by the OSVDPA contain the following information. All information shall be listed in the same form as shall be included in the OSVDPA Database.

22.10.1 The OSVDPA's name and logo.

22.10.2 The DPO or Prospective DPO's name and date of birth.

22.10.3 The DPO Certificate number, a unique identifier that is specific to the DPO's certificate (i.e. each time the certificate is revalidated it shall receive a new unique identifier), and the type of certificate (i.e. Class A DPO Certificates, Class B DPO Certificates, and Class C Permits shall have different identifiers).

22.10.4 The date the certificate was issued, along with the message, "this certificate is valid for five (5) years from this date."

22.10.5 Information where individuals and entities can go to validate the certificate.

22.10.6 The message that, "the holder of this certificate has completed the requirements of the OSVDPA DPO Certification Scheme as specified in OSVDPA MPP-1-CV, the OSVDPA Manual of Policies and Procedures (Current Version)."

22.10.6.1 For Class C Permits this message shall state, "the holder of this permit is not a DPO. The holder of this permit has completed the training requirements of the first three (3) phases of the OSVDPA DPO Certificate Scheme as specified in the OSVDPA MPP-1-CV, the OSVDPA Manual of Policies and Procedures (Current Version). The OSVDPA intends for the holder of this permit to serve under the constant supervision of a full DPO."

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22.10.6.2 Class B DPO Certificates shall also include the message that, “the OSVDPA acknowledges that industry practices allow for Class B DPOs to serve as the second DPO on the bridge of a vessel with a DP class notation of DP-2 or higher as issued by a recognized classification society.”

22.10.7 The certificate shall state, “the OSVDPA provides this training certificate to the holder for use within the limitations of the holder’s Flag State-issued license or credentials.”

22.10.8 The certificate shall state the type of certificate: Class A DPO Certificate (Section 4.14.3), Class B DPO Certificate (Section 4.14.2), or Class C DPO (Section 4.14.1). The reverse of the certificate shall include a definition of each type of DPO certificate provided by the OSVDPA.

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## **23 DPO Certificate Revalidation Procedures.**

### **23.1 Purpose and Summary.**

**23.1.1 In General.** OSVDPA DPO Certificates are valid for five (5) years from the date printed on the certificate. To revalidate an OSVDPA DPO Certificate, a DPO must record 150 days of Sea Time and 450 hours of Practical Experience in the five (5) years prior to the date of their revalidation application. Once completed, DPOs must pass the Phase 4 Assessment and their DPO Certificate shall be revalidated (Section **23.5**). DPOs that have recorded some Training and Certification Activities but not the full 150 days of Sea Time or 450 hours of Practical Experience, must complete the “Additional Revalidation Activities” or pass the Phase 3 Assessment, then record an additional 30 days of Sea Time and 60 hours of Practical Experience, and then pass the Phase 4 Assessment. DPOs that have not recorded any Sea Time or Practical Experience in the five (5) years prior to the date of their revalidation application must complete the “Complete Revalidation Activities,” or complete the Phase 3 (Simulator) Course, pass the Phase 3 Assessment, record 30 days of Sea Time and 60 hours of Practical Experience, and then pass the Phase 4 Assessment. The OSVDPA also recognizes that DPOs can gain a similar level of experience by performing other roles, as such, the OSVDPA accepts proof of Equivalent Activities conducted by individuals seeking to revalidate their DPO Certificates, see Section **23.6** for more information about the amounts of each activities and the means of proof that are accepted by the OSVDPA. DPOs are allowed to apply for revalidation four (4) years after the date printed on their DPO Certificate. The revalidation process starts by the DPO completing Form DPO-3-CV, Revalidation Application (Current Version). This form is combined with Form DPO-1-CV, the Training and Certification Activities Confirmation Letter, (Current Version) from the DPO’s employer, the DPO’s logbook, proof of payment, and other associated attachments. Once submitted the OSVDPA shall review the package and reach a decision of revalidated or not revalidated. Decisions of not revalidated shall be accompanied with a specific and all-inclusive list of deficiencies that must be addressed (Section **23.10.2**).

**23.1.2 Limitation.** The below-described methods of revalidation are only for DPOs and Prospective DPOs that have been awarded an OSVDPA DPO Certificate, DPOs that have been awarded a DPO Certificate from another recognized DPO Certificate Scheme and seek to have this experience accepted by the OSVDPA shall utilize the procedures contained in Section **20**, Grandfather of Training and Certification Activities from other Schemes.

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23.1.3 **Limitation.** The below-described methods of revalidation are only for DPOs and Prospective DPOs that seek the same certificate that they already hold. DPOs that seek to upgrade from a Class B DPO Certificate to a Class A DPO Certificate shall utilize the procedures of Phase 5 (Upgrading) Section **19.6**. Prospective DPOs holding a Class C Permit seeking a Class A DPO Certificate or a Class B DPO Certificate shall utilize the procedures of Phase 4 (Watchkeeping), Section **19.5**.

## 23.2 References.

23.2.1 Section **4**. Definitions.

23.2.2 Section **6**. Roles and Responsibilities.

23.2.3 Section **12**. Auditor Standards.

23.2.4 Section **13**. Vessel Operator Enrollment in the OSVDPA.

23.2.5 Section **17**. Phase 1 (Induction) Course Standards.

23.2.6 Section **18**. Phase 3 (Simulator) Course Standards.

23.2.7 Section **20**. Grandfather of Training and Certification Activities from other Schemes.

23.2.8 Section **21**. Assessment Policy.

23.2.9 Section **22**. DPO Certificate Application Procedures.

23.2.10 OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version).

23.2.11 OSVDPA LB-1-CV, the OSVDPA In-Scheme Logbook (Current Version).

23.2.12 OSVDPA LB-2-CV, the OSVDPA Post-Scheme Logbook (Current Version).

23.2.13 Form AR-1-CV, the Training Provider Annual Review (Current Version).

23.2.14 Form AR-3-CV, the Auditor Annual Review (Current Version).

23.2.15 Form DPO-1-CV, the Training and Certification Activities Confirmation Letter, (Current Version).

23.2.16 Form DPO-3-CV, the Revalidation Application (Current Version).

23.2.17 Form P3A-1-CV, a Phase 3 Assessment Report (Current Version).

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23.2.18 Form P4A-1-CV, the Phase 4 Assessment Report (Current Version).

23.2.19 IMCA M 117, Rev. 1, “The Training and Experience of Key DP Personnel”.

23.2.20 IMCA Dynamic Positioning Logbook.

### 23.3 Revalidation Fraud.

23.3.1 As stated in Section **6.3.6**, as the Scheme Owner, the OSVDPA takes responsibility for investigating, determining, and punishing those who commit fraud against the OSVDPA, Training and Certification Partners (Section **4.41**), or potential Training and Certification Partners. The OSVDPA’s reserving of this right does not alleviate the necessity of all Training and Certification Partners from assisting in the fraud protection, discovery, and eradication effort. The OSVDPA retains the right to revoke the certification, accreditation, enrollment, approval, or membership of any Training or Certification Partner that the OSVDPA feels has not fully engaged in the fraud protection, discovery, and eradication effort.

23.3.2 An individual or entity found via the OSVDPA investigation to have committed or attempted to commit fraud during or relating to the revalidation of an OSVDPA DPO Certificate shall lose their OSVDPA approval, certification, or enrollment and/or be denied entry to the OSVDPA DPO Certification Scheme for a period of no less than two (2) years. If individual or entity reapplies after this time, they must do so under the standard procedures and shall not be provided credit for any previous OSVDPA activities, payments, or expenses.

23.3.3 Fraud, attempted fraud, or suspected fraud relating to the revalidation of an OSVDPA DPO Certificate should be reported to the OSVDPA Executive Director as soon as discovered. Such a report should include all available evidence, all suspected OSVDPA DPO Certification Scheme participants believed to be involved in the fraud, how the fraud was discovered, and the actions the party reporting the fraud has taken.

23.3.4 If it is a Vessel Operator that submits the Section **23.3.3** notice to the OSVDPA, the entity shall take steps to ensure that any records that might be used by the OSVDPA as evidence are preserved.

23.3.5 Once the notice is received the OSVDPA shall conduct its own investigation. This investigation shall include reviewing the evidence received in the notice and conducting interviews with those who might have knowledge of the fraud.

23.3.6 Any person or entity found to have engaged in fraud and punished by the OSVDPA shall be able to appeal this decision under the procedures found in Section **25**.

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### 23.4 Need for Revalidation.

23.4.1 OSVDPA DPO Certificates are valid for five (5) years from the date printed on the certificate.

23.4.2 The OSVDPA makes clear the period of validity for DPO Certificates, printing on the certificates, “this certificate is valid for five (5) years from this date,” Section **22.10.4**. Additionally, the OSVDPA Database shall list the date on which the certificate will expire.

23.4.3 DPOs that fail to secure revalidation of their DPO Certificate within five (5) years of the date printed on their DPO Certificate shall have their DPO Certificate invalidated. To revalidate an invalidated certificate, DPOs shall be required to conduct remedial activities up to and including restarting the OSVDPA DPO Certificate Scheme starting with completion of the Phase 1 (Induction) Course (Section **17**). The amount of remedial activities will be dependent upon the lapse in time after the certificates expiration.

23.5 **Revalidation Requirements.** Depending upon recent experience, there are three (3) ways for a DPO or Prospective DPO to revalidate their OSVDPA DPO Certificate.

23.5.1 **Regular Revalidation Activities.** DPOs or Prospective DPOs that have properly recorded 150 days of Sea Time (Section **4.38**) and 450 hours of Practical Experience (Section **4.32**) in the five (5) years prior to the date of their Revalidation Application, must pass the Phase 4 Assessment (Section **21.8**). The passing of this assessment must occur after the Training and Certification Activities have been recorded.

23.5.1.1 **Note.** Prospective DPOs seeking to revalidate their Class C Permit shall take the Phase 3 Assessment (Section **21.7**) instead of the Phase 4 Assessment.

23.5.2 **Additional Revalidation Activities.** If, at the time of submitting a Revalidation Application, a DPO or Prospective DPO has recorded Training and Certification Activities but has not recorded 150 days of Sea Time and 450 hours of Practical Experience in the five (5) years prior to the date of their Revalidation Application, or failed the Phase 4 Assessment three (3) times while seeking revalidation, he or she shall be required to complete the “Additional Revalidation Activities” or the activities listed below (these activities must be completed in the order prescribed below):

23.5.2.1 Pass the Phase 3 Assessment (Section **21.7**),

23.5.2.2 Complete 30 days of Sea Time and 60 hours Practical Experience, and

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### 23.5.2.3 Pass the Phase 4 Assessment (Section **21.8**).

23.5.2.3.1 **Note.** Prospective DPOs seeking to revalidate their Class C Permit shall take the Phase 3 Assessment instead of the Phase 4 Assessment.

23.5.3 **Complete Revalidation Activities.** If, at the time of submitting a Revalidation Application, a DPO or Prospective DPO has not recorded any Sea Time or Practical Experience in the five (5) years prior to the date of their Revalidation Application or has failed either the Phase 3 Assessment or Phase 4 Assessment three (3) times while seeking revalidation, he or she shall be required to complete the activities listed below (these activities must be completed in the order prescribed below)

23.5.3.1 Complete Phase 3 (Simulator) Course, (Section **18**).

23.5.3.2 Pass the Phase 3 Assessment (Section **21.7**).

23.5.3.3 Record 60 days of Sea Time and 180 hours of Practical Experience.

23.5.3.4 Pass the Phase 4 Assessment (Section **21.8**).

23.5.3.4.1 **Note.** Prospective DPOs seeking to revalidate their Class C Permit shall take the Phase 3 Assessment instead of the Phase 4 Assessment.

23.6 **Equivalent Activities.** DPOs seeking revalidation of their certificate but who are no longer serving as a DPO (or serve in capacities in addition to being a DPO), are allowed to apply for revalidation of their DPO Certificate utilizing the DP Experience (Section **4.24**) they have gained in the five (5) years prior to submitting their revalidation application in lieu of completing the Training and Certification Activities prescribed above. In quantifying the amount of experience gained, the OSVDPA shall consider the following activities as sufficient for revalidation.

23.6.1 **Engineers and ETOs.** 350 days of service as an engineer or ETO aboard a vessel equipped with a DP system in the five (5) years previous to the Revalidation Application.

23.6.1.1 **Note.** Engineers or ETOs seeking to revalidate a Class A DPO Certificate must record this experience on a vessel with a DP notation of DP-2 or higher, as issued by a recognized classification society.

23.6.1.2 For an engineer, or ETO, the OSVDPA shall accept as proof of DP Experience.

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23.6.1.2.1 An industry-recognized logbook or a notarized copy of such logbook or logbooks, or a copy or copies of such logbook(s) submitted under a signed and notarized statement attesting to the accuracy of the copy.

23.6.1.2.2 A sea service or discharge letter from a Vessel Operator or employer of DPOs that is in good standing with the OSVDPA.

23.6.2 **DP Instructor.** The OSVDPA shall accept one (1) of the two (2) below-listed amounts of experience.

23.6.2.1 Has maintained certification as a DP instructor by the OSVDPA, the Nautical Institute or a DNVGL-approved DPO certification scheme for the entirety of the period of time since the date printed on their previous DPO certificate.

23.6.2.2 Has, within the five (5) years prior to submission of the Revalidation Application, conducted 30 courses deemed by the OSVDPA to meet the requirements of Appendix 2 or Appendix 4 of IMCA M 117, Rev. 1, "The Training and Experience of Key DP Personnel"

23.6.2.3 For a DP instructor, the OSVDPA shall accept as proof of this experience any of the following:

23.6.2.3.1 A Form AR-1-CV, the Training Provider Annual Review (Current Version) for each year the Certified Instructor conducted courses at an OSVDPA-Accredited Training Provider.

23.6.2.3.2 Forms similar to Form AR-1-CV as issued by the Nautical Institute or the DNVGL that have been completed by institutions of learning that are accredited by those DPO certification schemes to conduct DP training courses.

23.6.2.3.3 Letters signed by a Principal (**4.33**) of an institution of learning that has been accredited by the Nautical Institute or the DNVGL attesting to the instructor meeting the experience requirement.

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23.6.3 **OSVDPA-Approved Auditor.** The OSVDPA requires that OSVDPA-Approved Auditors (Section **12**) seeking to revalidate their DPO Certificate have completed 50 audits in the five (5) years prior to submission of their Revalidation Application. The OSVDPA shall accept as proof of this experience Form AR-3-CV, the Auditor Annual Review (Current Version) (Section **12.16.2**).

23.6.4 **DP Surveyor, DP Consultant, DP Superintendent, DP Supervisor or other DP-based positions.** The OSVDPA requires that individuals in other DP-based positions seeking to revalidate their DPO Certificate prove they have conducted 500 calendar days of work in a DP-based position in the five (5) years prior to their submission of a Revalidation Application. For proof of this experience the OSVDPA shall accept any of the below documents:

23.6.4.1 A letter signed by the Principal (Section **4.33**) from the individual's employer detailing their employment history with the company and experience with DP operations.

23.6.4.2 U.S. Internal Revenue Service (US) Form 1099 or an IRS Form W-2, Wage and Tax Statement (or an equivalent form issued by countries other than the United States) which details work for an entity which is primarily concerned with DP operations.

23.6.4.3 **Note.** If the OSVDPA is uncertain about the individual's understanding of DP, the OSVDPA may ask that the individual take the Phase 1 Assessment (Section **21.5**).

23.6.5 **Combination.** The OSVDPA shall accept Revalidation Applications comprised of a DPO that has served in a variety of the above-listed positions. In doing so, the OSVDPA shall ensure that such a DPO has completed the full five (5) years of Training and Certification Activities by combining the percentage of the requirement that the DPO fulfilled under each requirement. For example, an OSVDPA-Approved Auditor that completed 10 audits shall be given credit for meeting 20 percent of the revalidation requirement.

23.7 **Lost Certificate.** Should a DPO lose their DPO Certificate, they shall be able to get a replacement certificate via the revalidation procedures described in this section. However, the replacement certificate shall carry the same expiration date as their previous DPO Certificate.

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## 23.8 Revalidation Application.

23.8.1 **Completion of Form DPO-3-CV.** When the holder of an OSVDPA DPO Certificate believes they have recorded the revalidation requirements (See Section **23.5**) they shall begin the revalidation process by completing Form DPO-3-CV, the Revalidation Application (Current Version).

23.8.1.1 Form DPO-3-CV has two (2) primary purposes: expediting the OSVDPA's approval of DPO Certificate revalidation requests, and ensuring all required information is contained in the revalidation package (because the website does not allow the DPO to electronically submit the form with incomplete information) before it is mailed, thereby lessening the chances of the OSVDPA declining the package due to incomplete information. In summary, the form asks for the following information:

23.8.1.1.1 Any changes in the DPO's biographical, license, or medical certificate history.

23.8.1.1.2 A summary of all Training and Certification Activities conducted by the DPO.

23.8.1.1.3 A summary of all Additional Revalidation Activities or Complete Revalidation Activities that were required to be completed.

23.8.1.1.4 A summary of any assessments that were completed as part of the revalidation process.

23.8.1.2 **Note.** In order to provide time for OSVDPA evaluation of the request and the DPO to conduct additional Training and Certification Activities that may be required, the OSVDPA shall accept uploads of Form DPO-3-CV starting four (4) years after the date printed on the DPO Certificate. Approved revalidation applications received after this point shall receive a new certificate dated five (5) years after the date listed on the previous certificate or the date the revalidated certificate was awarded, whichever is later.

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23.8.1.3 **Note.** As the Phase 4 Assessment conducted for revalidation must be completed following the completion of all revalidation-related Training and Certification Activities, the OSVDPA recommends that DPOs seek an informal review of their revalidation records prior to the DPO seeking to start the Phase 4 Assessment. The OSVDPA makes the recommendation to ensure DPOs are not required to repeat Phase 4 Assessments due to incomplete Revalidation Applications.

23.8.2 **Completion of Form DPO-1-CV.** The employer of the DPO shall complete Form DPO-1-CV, the Training and Certification Activities Confirmation Letter, (Current Version) on the OSVDPA website, under the same policies and procedures as required for initial certification (Section **22.8**).

23.8.2.1 **Note.** Employers of those seeking a renewal of their DPO Certificate under the policies of Equivalent Activities (Section **23.6**) shall not need to submit a Form DPO-1-CV, provided the other requirements and documents required by Section **23.6** have been submitted.

23.8.3 **Logbook.** The requests for a revalidation package submitted by the DPO shall also contain the OSVDPA or industry accepted logbook or logbooks utilized by the DPO, alternatively, a notarized copy of such logbook or logbooks, or copies of such logbook(s) submitted under a signed and notarized statement attesting to the accuracy of the copies.

23.8.3.1 **Note.** Those DPOs seeking revalidation under Equivalent Activities (Section **23.6**) shall not be required to include a DP logbook, but may need to include a logbook relevant to their activities, e.g. an engineering logbook.

23.8.4 Once all of the materials have been collected, they should be submitted to the OSVDPA, specifically, this includes:

23.8.4.1 Signed copy of Form DPO-3-CV,

23.8.4.2 Signed copy of Form DPO-1-CV on the Vessel Operator's letterhead,

23.8.4.3 A copy of the DPO's valid OSVDPA DPO Certificate. The OSVDPA does not require the individual's current DPO Certificate to be included,

23.8.4.4 DPO's logbook or logbooks (or copies thereof see Section **23.8.3**),

23.8.4.5 Form P4A-1-CV, the Phase 4 Assessment Report (Current Version) (if not contained in the logbook),

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23.8.4.6 Copies of all of the attachments uploaded along with Form DPO-1-CV and Form DPO-3-CV, and

23.8.4.7 Payment of Fee DPO-1 as detailed in OSVDPA FS-1-CV, the OSVDPA Fee Schedule (Current Version) (or proof this payment has been submitted electronically).

**23.9 Revalidation Evaluation.** Once the OSVDPA receives the DPO's Revalidation Application package, it shall conduct the following approval steps. It is important to note, with the exception of fraudulent activities or failure to abide by the Roles and Responsibilities listed for Training Partners in Section **6.6**, the steps and points of evaluation listed in Section **23.9** shall be the only points of consideration by the OSVDPA and deficiencies found therein shall be the only reasons for the OSVDPA not issuing an OSVDPA DPO Certificate.

23.9.1 The OSVDPA shall process payment or verify that payment has been made electronically. If payment has not been included in the application package or sent electronically to the OSVDPA, the OSVDPA shall not process the DPO's revalidation application.

23.9.2 The OSVDPA shall review and ensure all of the documents required by Section **23.8** are present in the application package. If the OSVDPA finds a deficiency here, the OSVDPA shall contact the DPO and/or their employer. This communication shall provide an itemized list of the items that are lacking and steps that the DPO or employer may take to rectify the situation.

23.9.3 Ensuring the name provided by the DPO matches with the name in the OSVDPA Database, the OSVDPA DPO Certificate, and the government-issued identification.

23.9.4 Ensuring the OSVDPA Database contains a valid Accepted Entry Credential (AEC, Section **4.3**) for the DPO and if there were any gaps between different AECs, that no Training or Certification Activities were recorded during these gaps.

23.9.4.1 **Note.** This step shall not be required of those DPOs seeking revalidation under the requirements of Equivalent Activities (Section **23.6**).

23.9.5 Ensuring the individual's DPO Certificate Number (Section **22.10.3**) is valid and matches the number and type that is included in the OSVDPA Database.

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23.9.6 Ensuring the OSVDPA Database contains a valid Medical Credential meeting the requirements of Section **16.4.2**. The OSVDPA shall also ensure that there were no gaps during which the DPO did not have a valid medical certificate, and if there are gaps in the validity of the Medical Credential that no Training or Certification Activities were recorded during these gaps.

23.9.6.1 **Note.** This step shall not be required of those DPOs seeking revalidation under the requirements of Equivalent Activities (Section **23.6**).

23.9.7 The OSVDPA shall examine the logbook or logbooks (or copies thereof, See Section **23.8.3**) submitted as part of the revalidation package. This review shall ensure this logbook is the same logbook that is recorded as being issued to the DPO. If multiple logbooks are included, the OSVDPA shall review to ensure that the same Training and Certification Activities are not recorded in multiple logbooks.

23.9.7.1 **Note.** This step shall not be required of those DPOs seeking revalidation under the requirements of Equivalent Activities (Section **23.6**) unless the DPO in questions is claiming service as an engineer or ETO, in which case the logbook applicable to that position shall be examined.

23.9.8 The OSVDPA shall examine Sea Time and Practical Experience recorded by the DPO.

23.9.8.1 The OSVDPA shall ensure the information provided in Form DPO-1-CV, Form DPO-3-CV, the logbook (or logbook copies submitted under Section **23.8.3**) included in the revalidation package, and the OSVDPA database matches.

23.9.8.2 The OSVDPA shall ensure all Training and Certification Activities have occurred in the five (5) years prior to application.

23.9.8.3 The OSVDPA shall ensure that the Prospective DPO has recorded a sufficient amount of Sea Time and Practical Experience to complete the requirements of revalidation (Section **23.5**)

23.9.8.4 The OSVDPA shall review the Form P4A-1-CV, the Phase 4 Assessment Report (Current Version) to ensure that the DPO has passed the Phase 4 Assessment in accordance with Section **21.8**.

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23.9.8.5 If the DPO had not recorded 150 days of Sea Time and 450 hours of Practical Experience, or failed the Phase 4 Assessment three (3) times during revalidation, the OSVDPA shall ensure that the Additional Revalidation Activities were recorded, including:

23.9.8.5.1 Reviewing Form P3A-1-CV, a Phase 3 Assessment Report (Current Version) to ensure the DPO passed the Phase 3 Assessment under the requirements of Section (Section 21.7),

23.9.8.5.2 Ensure that the additional 30 days of Sea Time and 60 hours of Practical Experience were properly recorded, and

23.9.8.5.3 Review the Form P4A-1-CV from the subsequent attempt at passing the Phase 4 Assessment to ensure this attempt was conducted in accordance with Section 21.8.

23.9.8.6 If the DPO had not recorded any Sea Time or Practical Experience, or failed the Phase 3 or Phase 4 Assessment three (3) times during revalidation, the OSVDPA shall ensure the Complete Revalidation Activities were recorded, including:

23.9.8.6.1 Reviewing the Phase 3 (Simulator) Course to ensure it was conducted in accordance with Section 18,

23.9.8.6.2 Reviewing Form P3A-1-CV, a Phase 3 Assessment Report (Current Version) to ensure the DPO passed the Phase 3 Assessment under the requirements of Section (Section 21.7),

23.9.8.6.3 Ensure that the additional 30 days of Sea Time and 60 hours of Practical Experience were properly recorded, and

23.9.8.6.4 Review the Form P4A-1-CV from the subsequent attempt at passing the Phase 4 Assessment to ensure this attempt was conducted in accordance with Section 21.8.

23.9.9 If the DPO recorded equivalent activities, proof of these activities shall be evaluated by the OSVDPA during this period to ensure the requirements of the specific equivalent activity were met (Section 23.6).

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23.10 **Revalidation Decision.** Once the OSVDPA's review of all of the materials listed in Section **22.6** is complete, the OSVDPA shall render a decision if the DPO has completed the requirements of revalidation. This decision shall take one (1) of the two (2) forms.

23.10.1 **Revalidated.** If the OSVDPA finds that the DPO has completed the revalidation requirements, the OSVDPA shall inform the DPO of this fact.

23.10.1.1 This notification shall be made via a package mailed to the address on file in the OSVDPA Database. This package shall contain.

23.10.1.1.1 A letter from the OSVDPA reminding the DPO about the roles and responsibilities of Training and Certification Partners,

23.10.1.1.2 The DPO's new OSVDPA DPO Certificate matching one of the DPO Certificates listed in Section **4.14**. The date listed on this certificate shall be the date five (5) years after the date listed on the DPO's previous Certificate or the date the Revalidation Decision was reached, whichever is later,

23.10.1.1.3 The DPO's OSVDPA LB-1-CV and any other logbooks (or logbook copies submitted under Section **23.8.3**) that were submitted to the OSVDPA, and

23.10.1.1.4 A new logbook if so requested and paid for by the DPO or Prospective DPO when they filled out Form DPO-3-CV.

23.10.1.2 In addition to the notification package that is mailed to the DPO, the OSVDPA shall also update the OSVDPA Database which shall list which DPO Certificate the individual has earned, the date this certificate was provided, and the expiration date for this certificate.

23.10.1.3 DPOs or Prospective DPOs revalidating a DPO Certificate or Class C Permit while holding an Accepted Entry Credential (AEC) (Section **4.3**) meeting the definition listed in Section **16.4.1.3** shall have the phrase "Not an Officer in Charge of a Navigational Watch" placed on their DPO Certificate or Class C Permit. This phrase shall also appear on the OSVDPA Database. This phrase shall remain on the individual's certificate or permit until such time as he or she earns—and notifies the OSVDPA of—an AEC meeting either Section **16.4.1.1** or Section **16.4.1.2**.

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23.10.2 **Not Revalidated.** If the OSVDPA's review of the DPO's revalidation package finds that the DPO has not completed the requirements for revalidation, the OSVDPA shall take the following actions.

23.10.2.1 **Notification.** The DPO shall receive written notice that the OSVDPA finds that he or she has not met the requirements of revalidation. This notice shall contain the following information.

23.10.2.1.1 A specific list of the deficiencies or discrepancies in the DPO's revalidation application. This list shall cite the deficiency or discrepancy and describe specific actions that the DPO can take to address the issue.

23.10.2.1.2 A timeline within which the issue must be addressed so that the DPO completes the requirements before the revalidation deadline.

23.10.2.1.3 The notification shall also ask the DPO if they would like for the OSVDPA to send the materials in their revalidation package back to them. This section of the notification shall inform the DPO that they may choose to address the deficiencies and send proof of those changes or additions to the OSVDPA. If the OSVDPA does not hear from the DPO on this matter, it shall send the materials back to the DPO after 90 days (unless otherwise specified in this portion of the notification).

23.10.3 **OSVDPA Database.** The OSVDPA shall not include a reference to a not revalidated notification on the publicly searchable portion of the OSVDPA Database. For a DPO, that means under the certificate they had previously earned, for a Prospective DPO that shall mean via their Prospective DPO status and Prospective DPO ID Number (Section 4.35).

23.10.4 **Assistance.** The OSVDPA understands that the process of revalidating a DPO Certification is a difficult one and offers any assistance it can provide to DPOs or Vessel Operators as they work to complete this process. Additionally, the OSVDPA makes the following commitments to the Training and Certification Partners as they go through this process.

23.10.4.1 The OSVDPA shall completely review the DPO's revalidation package prior to rendering a decision regarding revalidation, and in the case that the OSVDPA denies revalidation, the OSVDPA shall list in the not revalidated notification every deficiency it finds with the DPO's revalidation package.

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23.10.4.2 The OSVDPA shall only use the Not Revalidated Notification referenced in Section **23.10.2** as a last resort. Prior to reaching that stage, the OSVDPA shall attempt to have deficiencies in a DPO's application handled informally. Specifically, via the OSVDPA reaching out to the DPO or the Vessel Operator he or she works for and having them submit information to address the specific deficiency in question.

23.10.5 **Appeals.** The OSVDPA decision on revalidation is subject to appeals under the procedures listed in Section **25**.

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## 24 Facilities Requirements.

### 24.1 **Purpose and Summary.**

24.1.1 **In General.** This section lists the OSVDPA's requirements for the physical facilities used for OSVDPA-accredited training courses and assessments. Generally, the OSVDPA has requirements for Training Providers that detail what safety equipment (Section 24.4) must be present, the physical layout of the classrooms utilized (Section 24.5) for OSVDPA-Accredited training courses and assessments, the equipment in these classrooms (Section 24.6), the simulator rooms (Section 24.7), the computers used for assessments (Section 24.8), and other facilities (Section 24.9).

24.1.2 **Limitation.** This section does not detail the standards for the actual simulators utilized for OSVDPA courses or assessments, those are found in OSVDPA SIM-1-CV, the OSVDPA Simulator Standard (Current Version).

### 24.2 **References.**

24.2.1 Section **17**: Phase 1 (Induction) Course Requirements.

24.2.2 Section **18**: Phase 3 (Simulator) Course Requirements.

24.2.3 Section **21**: Assessment Policy.

24.2.4 OSVDPA SIM-1-CV, the OSVDPA Simulator Standard (Current Version).

24.3 The OSVDPA highly values the physical safety and security of the Prospective DPOs, DPOs, and employees of its Training Provider partners. For this reason, the OSVDPA shall, during the accreditation and reaccreditation processes, inspect each Training Provider's training facility. Training Providers found to have facilities not meeting the standards set forth by the OSVDPA shall not be accredited and previously accredited Training Providers which are found to have allowed their facilities to lapse below the OSVDPA standards shall immediately lose their OSVDPA accreditation.

24.4 **Safety Equipment.** All facilities in which OSVDPA-accredited courses are conducted must include the following equipment:

24.4.1 Fire, smoke, and carbon monoxide alarms.

24.4.2 Fire sprinkler systems.

24.4.3 Evacuation lighting and signage.

24.4.4 Emergency exits.

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- 24.4.5 The safety equipment listed in 24.4.1 through 24.4.4 must meet the standards set by the proper authorities of the training facility's location.
- 24.4.6 If there are not local requirements for the items listed in Sections 24.4.1 through 24.4.4, then the Training Provider should notify the OSVDPA of this fact and an alternative standard shall be agreed upon.
- 24.4.7 The Training Provider must take steps to ensure that employees, Certified Instructors, Prospective DPOs and DPOs, and visitors are made aware of the procedures in the event of an emergency.
- 24.4.8 The Training Providers must have a documented inspection and maintenance schedule meeting manufacturer's recommendations in place for the items found in Sections 24.4.1 through 24.4.4.

## 24.5 Classrooms.

- 24.5.1 **Size.** The rooms utilized for Phase 1 (Induction) Course (Section 17) and Phase 3 (Simulator) Course (Section 18) must contain at least 24 square feet per student for each Prospective DPO in the class plus room for the Certified Instructors' desk(s).
- 24.5.2 **Lighting.** The lighting in the classrooms must be designed and implemented in a way which reduces or prevents the strain upon the Prospective DPOs or DPOs' eyes. Classroom lighting should be adjustable so that projector images, videos, simulators, and computer screens are easily viewable.
- 24.5.3 **Electrical Outlets.**
- 24.5.3.1 Classrooms should have a sufficient number of power outlets as to safely power simulators, assessment computers, instructional equipment, and electrical items used by Prospective DPOs as part of the learning process, e.g. personal laptop computers.
- 24.5.3.2 The electrical outlets should be situated in a classroom in a manner which prevents cords from having to be run great distances or across walkways.
- 24.5.4 **Ventilation.** The Training Provider shall take measures to ensure that the temperature, humidity, and air quality are at acceptable levels in every classroom.
- 24.5.5 **Noise Pollution and Acoustics.** Training Providers shall prevent extraneous noises or poor acoustics from becoming a distraction within the classroom or preventing the Prospective DPOs or DPOs from clearly hearing the Certified Instructor or presentation.

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## 24.6 Classroom Equipment.

- 24.6.1 **Desks.** All desks utilized for the theoretical portions of Phase 1 (Induction) and Phase 3 (Simulator) shall be of sufficient size as to allow Prospective DPOs enough room to accommodate a laptop computer, notes, books, or other instructional/reference materials. Additionally, the desks should be able to accommodate Prospective DPOs working in tandem or small groups while a Certified Instructor gains access to their work/conversation.
- 24.6.2 **Chairs.** All chairs utilized by the Prospective DPOs in the Phase 1 (Induction) and Phase 3 (Simulator) courses and during the Phase 1 Assessment allow the users to adjust the seat and seat back in order to achieve proper posture and reduce fatigue.
- 24.6.3 **Projection Equipment.** If the Training Provider utilizes projectors for PowerPoint presentations, videos, etc., this equipment shall ensure all Prospective DPOs can clearly view the projected materials, including ensuring the projector is bright enough for the classroom's conditions, the screen or projection surface is of sufficient size for the classroom, and classroom's lighting can be adjusted so as to allow the presentation to be visible while not preventing the DPOs from taking notes or reading other materials.
- 24.6.4 **Vertical Writing Surface.** All classrooms must include vertical writing surfaces which can be easily viewed by all Prospective DPOs in the class. If reusable, these surfaces should clean completely so future uses are clear.
- 24.6.5 **Clock.** All classrooms utilized for Phase 1 (Induction) and Phase 3 (Simulator) Courses and assessments must include a working clock which is visible by every DPO or Prospective DPO as they are participating in exercises or completing assessments.

## 24.7 Simulator Rooms.

- 24.7.1 For the standards applicable to the actual simulators, see OSVDPA SIM-1-CV, the OSVDPA Simulator Standard (Current Version).
- 24.7.2 **Classrooms.** The rooms containing Class C or Class B simulators are considered to be classrooms and therefore must meet the requirements contained in Section 24.5.
- 24.7.3 **Alternative Compliance.** If the Simulator Rooms cannot meet these requirements due to the simulators or their requirements, the Training Provider must provide evidence of how they complied with the spirit of these requirements via other means.

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24.7.4 **Instructor area.** Each simulator room shall have an instructor area. This area should be physically separated from the Simulator Room. However, the Certified Instructors should still be able to observe the Prospective DPOs either via windows or cameras.

24.7.5 Simulator Rooms must include organized storage locations for the materials referenced in Section **21.7.4.1**. This location should be of sufficient size to ensure that each simulator has a copy of these reference materials.

24.8 **Assessment Computers.** The computers utilized for the Phase 1 Assessments shall:

24.8.1 Be separate from any computer-based simulators utilized for OSVDPA-approved courses,

24.8.2 Be of sufficient number as to allow all Prospective DPOs from the largest Phase 1 (Induction) Course conducted by the Training Provider to take the assessment simultaneously,

24.8.3 Be positioned in a way which reduces reflection or glare from other light sources,

24.8.4 Have at least three (3) feet of separation between each assessment computer,

24.8.5 Be configured in a way to ensure the requirements of Section **21.5.4.3** are accomplished,

24.8.6 Be connected to a printer for the purposes of generating the reports required by Section **21.5.6**, if such printer is not contained in the assessment room, the Training Provider shall be required to demonstrate how the Phase 1 Assessment reports are controlled and kept confidential, and

24.8.7 Have a formal maintenance, service, and replacement schedule in place.

24.9 **Other Facilities.**

24.9.1 **Restrooms.** The training facility shall have a sufficient number of restrooms to accommodate the maximum anticipated number of Prospective DPOs and other students to utilize the training facility during one time.

24.9.2 **Kitchen, Mess, or Other Refreshments.** The training facility should have a place for Prospective DPOs to receive or purchase drinks, food, or other refreshments. If the Training Provider decides not to include a mess or similar area, the Training Provider shall provide water for the Prospective DPOs.

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24.9.3 **Secure facility for Personal Effects.** Per the requirements of Section 21.5.2.7 and 21.7.2.6, Prospective DPOs are not allowed to have personal effects on their person during assessments. Thus, the Training Provider must include a secure location for Prospective DPOs or DPOs to safely keep their effects during assessments.

#### 24.10 Other Requirements.

24.10.1 **Inspection, Maintenance, Cleaning, and Service.** In addition to the schedules required in Section 24.4.8 and 24.8.7, the Training Provider shall establish and maintain a formal inspection, maintenance, cleaning and service schedule for physical items covered by Sections: 24.5.2, 24.5.3, 24.5.4, 24.5.5, 24.6.1, 24.6.2, 24.6.4, all simulators, and Section 24.8. Each schedule must be sufficient to keep the particular piece or pieces of equipment in proper working order.

24.10.2 **Other Uses.** Nothing in these requirements prevents the Training Provider from utilizing a space which serves another purpose from serving as a classroom for OSVDPA-approved courses, provided those other uses do not interfere with OSVDPA training and the space meets all of the requirements listed herein.

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## 25 OSVDPA Appeals Process.

### 25.1 **Purpose and Summary.**

### 25.2 **References.**

25.2.1 Section **6**: Roles and Responsibilities.

25.2.2 Section **8**: Accreditation Process.

25.2.3 Section **9**: Reaccreditation Process.

25.2.4 Section **12**. Auditor Standards.

25.2.5 Section **13**: Vessel Operator Enrollment in the OSVDPA.

25.2.6 Section **14**: Utilization of Classed Vessels for OSVDPA Activities.

25.2.7 Section **15**: Accepted Unclassed Vessel Policies and Procedures.

25.2.8 Section **16**: Prospective DPO Entry Requirements and Scheme Application Procedures.

25.2.9 Section **21**: Assessment Policy.

25.2.10 Section **22**: DPO Certificate Application Procedures.

25.2.11 Section **23**: DPO Certificate Revalidation Procedures.

25.3 **Decisions Subject to Appeals.** The OSVDPA understands the importance of ensuring all decisions made by the OSVDPA are made in accordance with the policies and procedures of the OSVDPA. Thus, most OSVDPA decisions are subject to appeal, should a Training and Certification Partner (Section **4.41**) feel the OSVDPA did not reach the correct decision or failed to follow its own policies and procedures.

25.3.1 Any decision which removes a Training and Certification Partner from the OSVDPA DPO Certification Scheme due to the OSVDPA finding that said partner committed fraud against the OSVDPA or another Training or Certification Partner, Section **6**.

25.3.2 Any decision made by the OSVDPA as a result of an Annual Review, Section **7.4**.

25.3.3 The OSVDPA's Findings Report during a Training Provider's Accreditation, Section **8.8**.

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- 25.3.4 The OSVDPA's Findings Report during a Training Provider's Reaccreditation, Section **9.8**.
- 25.3.5 The OSVDPA's decisions regarding the certification of a DP instructor, Section **11**.
- 25.3.6 The OSVDPA's decision to accept an individual into the OSVDPA Auditor Training Course, Section **12.8**.
- 25.3.7 The OSVDPA's decision regarding the approval of an Auditor, Section **12.9**.
- 25.3.8 The OSVDPA's repeal of an Auditor's approval, Section **12.15**
- 25.3.9 The OSVDPA's decisions regarding the enrollment of a Vessel Operator in the OSVDPA DPO Certification Scheme, Section **13.5**.
- 25.3.10 The OSVDPA's decisions to add or remove a vessel from the OSVDPA Vessel Database, Section **14.6**.
- 25.3.11 The OSVDPA's decisions regarding Accepted Unclassed Vessel Documentation, Section **15.8**.
- 25.3.12 The OSVDPA's decisions regarding an individual's entry into the OSVDPA DPO Certification Scheme, Section **16.5**.
- 25.3.13 The OSVDPA's decisions regarding the Grandfathering of the Training and Certification Activities recorded under another DPO certification scheme, Section **20.11**.
- 25.3.14 The OSVDPA's decisions regarding the approval of a Qualified on Board Assessor (QOBA), Section **21.10.3**.
- 25.3.15 The OSVDPA's decisions regarding the issuing of DPO Certificates, Section **22.7**.
- 25.3.16 The OSVDPA's decision regarding revalidation of DPO Certificates, Section **23.10**.
- 25.3.17 Notwithstanding the above-listed decisions which are subject to the appeals process, OSVDPA decisions delivered as a result of administrative issues, including but not limited to, a failure to submit fees or a Training or Certification Partner's inability to adhere to a published schedule, are not eligible for the reconsideration and appeals processes.

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#### 25.4 Appeals Process.

- 25.4.1 Only the entity or individual that is subject to the OSVDPA decision may request an appeal. Appeals made by entities must be signed by the Principal (Section **4.33**) of the Training or Certification Partner.
- 25.4.2 An entity or individual's case for appeal shall be made by that individual or entity directly. The OSVDPA Board of Directors (or appointed body), shall not hear appeals brought or presented by an entity's or individual's attorney or counsel.
- 25.4.3 All requests for appeals shall be submitted in writing to the OSVDPA no later than 60 days after the Training or Certification Partner or potential Training and Certification Partner receives notice of the decision in question.
- 25.4.3.1 Requests for appeals shall be addressed to: "Offshore Service Vessel Dynamic Positioning Authority, Appeals Request, 201 St. Charles Ave, Suite 114-274, New Orleans, LA 70170.
- 25.4.4 Requests should detail the decision that is being appealed, the justification for the appeal (preferably citing the alleged OSVDPA policy or procedure being violated) and any background information that the individual or entity cares to share.
- 25.4.5 Once the Chairman receives the Appeals Request, he or she shall schedule a hearing of the Board of Directors. This hearing shall occur within 30 days of the OSVDPA receiving the request. This hearing may, if the Chairman so chooses, be during the next meeting of the OSVDPA Board of Directors. This hearing may be held via electronic means, provided such means allow for all participants to speak and hear what is being said by other participants.
- 25.4.5.1 **Note.** The Chairman, or other members of the Board of Directors, have the responsibility to recuse him or herself if he or she feels they cannot be impartial, or provide the appearance of being impartial.
- 25.4.6 This hearing shall review the information that was submitted by the individual or the entity. Additionally, the requesting entity or individual shall be provided an opportunity to address the Board of Directors directly. For entities, only the Principal shall be allowed to address the Board of Directors during this hearing.
- 25.4.7 Minutes of this meeting shall be kept by the Secretary of the OSVDPA, or his or her designee (this designee cannot be the OSVDPA Executive Director). Once completed, these minutes shall be signed by the OSVDPA Chairman, the OSVDPA Secretary, and the individual or Principal of the entity that made the Request for Appeal.

|                                                    |                                                                 |                                                                                                                                 |                                            |
|----------------------------------------------------|-----------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------|
| Manual of Policies and Procedures: Appeals Process | Version <b>4.0</b>                                              | Date Effective: <b>May 22, 2018</b>                                                                                             | Section: <b>25</b>                         |
|                                                    | Prepared by: <b>BAB</b><br>Prepared Date: <b>March 29, 2018</b> | <u>Approved/Reviewed by:</u><br>BoD: <b>YES</b> TAC: <b>YES</b><br>ED: <b>N/A</b> Counsel: <b>N/A</b><br>Accountant: <b>N/A</b> | Document:<br>Page <b>274</b> of <b>297</b> |

- 25.4.8 Once this hearing is held, the Board of Director shall vote to uphold the OSVDPA's decision, overturn the OSVDPA's decision, or modify the OSVDPA's position. This decision shall be transmitted in writing to the individual or entity. Once delivered, the decision of the Board of Directors shall be final.
- 25.4.9 The Board of Directors—at its discretion—appoints a Committee composed of some or all of the Board of Directors, members of the Technical Advisory Council, or other Training and Certification Partners to hear an appeal or appeals. If such an appointment is made, the Board shall not be able to revoke the Committee's authority or overrule its findings until such time as the Committee has decided the appeal it was empaneled to hear or its Board-dictated tenure has elapsed.

|                            |                                                                 |                                                                                                                          |                               |
|----------------------------|-----------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------|-------------------------------|
| OSVDPA Simulator Standards | Version <b>1.0</b>                                              | Date Effective: <b>March 31, 2016</b>                                                                                    | Section: <b>APP-1</b>         |
|                            | Prepared by: <b>ACS</b><br>Prepared Date: <b>March 10, 2016</b> | Approved/Reviewed by:<br>BoD: <b>YES</b> TAC: <b>YES</b><br>ED: <b>N/A</b> Counsel: <b>N/A</b><br>Accountant: <b>N/A</b> | Page <b>275</b> of <b>297</b> |

## **Appendix 1: OSVDPA SIM-1-001, the OSVDPA Simulator Standards (Version 1).**

### **1 Summary of Simulator Requirements and Uses.**

- 1.1 The OSVDPA has three (3) classes of simulators: Class C, Class B, and Class A. Each of these classes is summarized below and the table included in Section 2 includes the specific requirements applicable to each class.
- 1.2 **Class C.** A Class C simulator is a limited-task simulator, suitable for familiarizing Prospective DPOs with the instrumentation of DP operations and the blind maneuvering of the simulated vessel via joystick control. The system has a single DP console and does not have visuals. The simulator is capable of replicating wind and current as well as equipment functionality and vessel hydrodynamics. The simulator is incapable of generating faults or failures. Class C simulators are capable of being used for the Phase 1 (Induction) Course.
- 1.3 **Class B.** A Class B simulator is a multitask simulator capable of simulating DP operations in a physical set up that mimics a DP portion of a vessel's bridge environment. The simulator has fully functioning and redundant DP consoles. The simulator has a field of view that resembles what is found on the bridge of vessel, with an ability to "pan" or shift this view to other views. The simulator is capable of replicating wind, waves, and current. Additionally, the system shall mimic the functionality of the vessel's systems and subsystems, and the vessel's hydrodynamics and sound. The simulator shall have programmable faults and failures all of which shall be capable of being programed as immediate, and gradual. The simulator is capable of being used for the Phase 1 (Induction) Course, the Phase 3 (Simulator) Course, the Phase 3 Assessment, and (upon the OSVDPA's determination) the Phase 4 and Phase 5 Assessments.
- 1.4 **Class A.** A full mission bridge simulator capable of simulating DP operations in a physical set up that mimics a fully equipped vessel's bridge. The simulator has fully functioning and redundant DP consoles. The simulator has visuals depicting those typically found on a DP vessel, including both front and rear views. The simulator must depict wind, waves and current and should mimic the functions of the vessel's systems and subsystems as well as the vessel's hydrodynamics and sounds. The simulator shall have programmable faults and failures, all of which shall be capable of being programed as immediate and gradual. The simulator is capable of being used for the Phase 1 (Induction) Course, the Phase 3 (Simulator) Course, the Phase 3 Assessment, and the Phase 4 and Phase 5 Assessments.

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|                            | Prepared by: <b>ACS</b><br>Prepared Date: <b>March 10, 2016</b> | Approved/Reviewed by:<br>BoD: <b>YES</b> TAC: <b>YES</b><br>ED: <b>N/A</b> Counsel: <b>N/A</b><br>Accountant: <b>N/A</b> | Page <b>276</b> of <b>297</b> |

## 2 The OSVDPA Simulator Standard.

### OSVDPA SIM-1-001, the OSVDPA Simulator Standard

#### Section 1: DP System and Related Equipment Requirements.

| Item No.                                                                                       | Simulator Requirement                                                                                                                                                                                                                                              | Class        |   |   |
|------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|---|---|
|                                                                                                |                                                                                                                                                                                                                                                                    | A            | B | C |
| 1.1                                                                                            | Equipment and consoles are to be installed, mounted, and arranged in a ship-like manner.                                                                                                                                                                           | X            |   |   |
| 1.2                                                                                            | The DP system should be modern and relevant to current DP operations and vessel types.                                                                                                                                                                             | X            | X |   |
| 1.3                                                                                            | The dynamic positioning system simulator should be installed, where necessary information sources, such as indicators, displays, alarm panels, control panels and internal communication systems are also installed.                                               | X            | X |   |
| <b><i>The following DP-related equipment should at least be included in the simulator:</i></b> |                                                                                                                                                                                                                                                                    |              |   |   |
| 1.4                                                                                            | A fully redundant DP system, capable of being considered a real DP system.                                                                                                                                                                                         | X            | X |   |
| 1.5                                                                                            | A single DP system typically based on computer, monitor and desktop panels.                                                                                                                                                                                        |              |   | X |
| 1.6                                                                                            | Independent joystick system back-up with automatic heading control. (The input for the heading control must come from a heading sensor such as a gyrocompass.)                                                                                                     | X            |   |   |
| 1.7                                                                                            | Single thruster levers and thruster indicators for each thruster located at the main DP-control center to enable manual control of the simulated vessel.                                                                                                           | X            | X |   |
| 1.8                                                                                            | Emergency stop button or control mechanism for all thrusters located within reach of DP consoles.                                                                                                                                                                  | X            | X |   |
| 1.9                                                                                            | The method of thruster control, e.g. manual, independent joystick, and DP, should be selectable by a simple button or device located within reach of DP consoles. Such selector may consist of a single selector switch or individual selectors for each thruster. | X            |   |   |
| 1.10                                                                                           | A power generation view showing status, load, power on buses, generators, and bus ties. This view can be within the DP system or on a separate monitor.                                                                                                            | X            | X | X |
| 1.11                                                                                           | A "Navscreen" with at least one electronic field-chart of a simulated-offshore field.                                                                                                                                                                              | X            | X |   |
| 1.11.1                                                                                         | The electronic field chart on the "Navscreen" should at least include platforms and subsea equipment and present a real time update of vessel position with an outline of the vessel to scale.                                                                     | X            | X |   |
| 1.12                                                                                           | A DP status alert system ("traffic lights") with at least red, amber, and green lights (can also possibly include a blue or white light) for alerting crew and clients to DP status.                                                                               | X            | X |   |
| 1.13                                                                                           | An Activity Specific Operating Guidelines (ASOG) table (or other decision support tool as approved by the OSVDPA) for each of the vessels simulated by the simulator.                                                                                              | X            | X | X |
| 1.14                                                                                           | Critical Activity Mode (CAM) and Task Appropriate Mode (TAM) vessel configuration charts for each of the vessels simulated by the simulator.                                                                                                                       | X            | X | X |
| 1.15                                                                                           | An alarm printer (Training Providers can utilize one printer to serve all simulators contained in the same room).                                                                                                                                                  | X            | X |   |
| 1.16                                                                                           | Monitoring of sensors should include realistic alarms for any typical fault or failure condition.                                                                                                                                                                  | X            | X |   |
|                                                                                                | <b>Simulator Requirement</b>                                                                                                                                                                                                                                       | <b>Class</b> |   |   |

|                            |                                                                 |                                                                                                                          |                               |
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| OSVDPA Simulator Standards | Version <b>1.0</b>                                              | Date Effective: <b>March 31, 2016</b>                                                                                    | Section: <b>APP-1</b>         |
|                            | Prepared by: <b>ACS</b><br>Prepared Date: <b>March 10, 2016</b> | Approved/Reviewed by:<br>BoD: <b>YES</b> TAC: <b>YES</b><br>ED: <b>N/A</b> Counsel: <b>N/A</b><br>Accountant: <b>N/A</b> | Page <b>277</b> of <b>297</b> |

| Item No.                        |                                                                                                                                                                                                                                                                                                                                              | A | B | C |
|---------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|
| <i>Inputs to the DP system:</i> |                                                                                                                                                                                                                                                                                                                                              |   |   |   |
| 1.17                            | Three (3) independent position reference systems, each representing a different type of PRS. One (1) such system should represent a GPS-based system; one (1) should represent an acoustic reference system.                                                                                                                                 | X | X | X |
| 1.17.1                          | Position reference systems should be based on real equipment for the operator interface. Emulated systems shall be accepted, provided the system has interfaces, functionality, and indications similar to those found in a real PRS system.                                                                                                 | X |   |   |
| 1.17.2                          | Positioning reference systems should include realistic alarms for any typical fault or failure condition.                                                                                                                                                                                                                                    | X | X |   |
| 1.17.3                          | The interface(s) for the satellite-based reference system should simulate at least one (1) differential GPS (or equivalent) signal. The Certified Instructor should be able to turn off the correction signal.                                                                                                                               | X | X |   |
| 1.17.4                          | The refresh rate and data accuracy of the position reference systems should be comparable to similar systems used in real operations.                                                                                                                                                                                                        | X | X | X |
| 1.17.5                          | Input from reference systems (e.g. Fanbeam reflector, hydro acoustic transponder, Radius transponder etc.) providing transponder coordinates to the DP system. It should be possible for the DPO to enter either as an absolute coordinate or relative to the vessel and able to select one (1) or multiple laser or microwave transponders. | X | X |   |
| 1.17.6                          | If the simulator is equipped with or receives input from a differential GPS, it should be possible to switch off differential corrections. The Certified Instructor should be able to turn off the correction signal.                                                                                                                        | X |   |   |
| 1.17.7                          | If the simulator is equipped with or receives input from a differential GPS it should be possible to set the number of satellites available.                                                                                                                                                                                                 | X |   |   |
| 1.17.8                          | If the simulator is equipped with or receives input from an acoustic system, it should be possible to be operated either in LBL (Long Baseline) or SSBL (Super Short Baseline) mode.                                                                                                                                                         | X | X |   |
| 1.17.9                          | If the simulator is equipped with or receives input from an acoustic system, it shall be possible for the transponder for this system to be flagged as either mobile or fixed by instructor.                                                                                                                                                 | X | X |   |
| 1.17.10                         | The simulator control should have a function to simulate an ROV, by moving mobile hydro acoustic transponder(s). The simulator should be capable of simulating at least three (3) mobile transponders at any given time.                                                                                                                     | X | X |   |
| 1.17.11                         | Measurements to hydro acoustic transponders should be realistic according to water depth, such that faults on a VRS will have a larger impact in deeper waters.                                                                                                                                                                              | X | X |   |
| 1.17.12                         | The hydro acoustic system should have a setting for changing the gyrocompass and VRS in use. This should be independently from the one used by the DP system.                                                                                                                                                                                | X | X |   |
| 1.18                            | Three (3) independent vertical reference sensors (VRS)                                                                                                                                                                                                                                                                                       | X | X | X |
| 1.19                            | Three (3) independent heading sensors, e.g. gyrocompasses (or ways for the DP system to gain heading input).                                                                                                                                                                                                                                 | X | X | X |
| 1.20                            | Three (3) independent wind sensors.                                                                                                                                                                                                                                                                                                          | X | X | X |
| 1.21                            | One (1) draught sensor.                                                                                                                                                                                                                                                                                                                      | X |   |   |
| 1.22                            | Thruster status and feedback.                                                                                                                                                                                                                                                                                                                | X | X | X |
| 1.23                            | Generator load, generator circuit breakers and bus ties.                                                                                                                                                                                                                                                                                     | X | X | X |

|                            |                                                                 |                                                                                                                          |                               |
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|                            | Prepared by: <b>ACS</b><br>Prepared Date: <b>March 10, 2016</b> | Approved/Reviewed by:<br>BoD: <b>YES</b> TAC: <b>YES</b><br>ED: <b>N/A</b> Counsel: <b>N/A</b><br>Accountant: <b>N/A</b> | Page <b>278</b> of <b>297</b> |

| Item No.                  | Simulator Requirement                                                                                                                                                                                                                                                                                             | Class |   |   |
|---------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|---|---|
|                           |                                                                                                                                                                                                                                                                                                                   | A     | B | C |
| Bridge-related equipment: |                                                                                                                                                                                                                                                                                                                   |       |   |   |
| 1.24                      | Communication equipment to simulate at least:                                                                                                                                                                                                                                                                     |       | X |   |
| 1.24.1                    | One (1) VHF.                                                                                                                                                                                                                                                                                                      |       | X |   |
| 1.24.2                    | One (1) UHF.                                                                                                                                                                                                                                                                                                      |       | X |   |
| 1.24.3                    | An internal communication system, e.g. a talk-back system to areas such as ROV control and a telephone to areas such as ECR (engine control room) and other areas of the vessel.                                                                                                                                  |       | X |   |
| 1.25                      | At least one (1) digital gyro repeater, preferably with possibility to present/select all three (3) gyrocompasses.                                                                                                                                                                                                | X     |   |   |
| 1.26                      | At least one (1) Radar/automatic radar plotting aid (ARPA) display/unit capable of simulating a 10 cm and/or 3 cm radar and operate in relative motion mode and true motion mode.                                                                                                                                 | X     |   |   |
| 1.26.1                    | The ARPA should be capable of simulating a 10 cm and/or 3 cm radar and operate in relative motion mode and true motion mode.                                                                                                                                                                                      | X     |   |   |
| 1.26.2                    | The ARPA simulation equipment should incorporate the facilities for manual and automatic target acquisition.                                                                                                                                                                                                      | X     |   |   |
| 1.26.3                    | The ARPA simulation equipment should incorporate the facilities for past track information.                                                                                                                                                                                                                       | X     |   |   |
| 1.26.4                    | The ARPA simulation equipment should incorporate the facilities for use of exclusion areas.                                                                                                                                                                                                                       | X     |   |   |
| 1.26.5                    | The ARPA simulation equipment should incorporate the facilities for vector/graphic time-scale and data display.                                                                                                                                                                                                   | X     |   |   |
| 1.26.6                    | The ARPA simulation equipment should incorporate the facilities for trial maneuvers.                                                                                                                                                                                                                              | X     |   |   |
| 1.27                      | Speed log repeater showing speed through the water and in addition speed and distance over ground.                                                                                                                                                                                                                | X     |   |   |
| 1.28                      | Water depth indicator                                                                                                                                                                                                                                                                                             | X     |   |   |
| 1.29                      | Speed log repeater showing speed through the water and in addition speed and distance over ground.                                                                                                                                                                                                                | X     |   |   |
| 1.30                      | At least one (1) wind indicator showing wind- direction and speed.                                                                                                                                                                                                                                                | X     |   |   |
| 1.31                      | Sound panel according to the "rules of the road".                                                                                                                                                                                                                                                                 | X     |   |   |
| 1.32                      | Instrument for indication of navigational lights.                                                                                                                                                                                                                                                                 | X     |   |   |
| 1.33                      | Control system for fire detection, fire alarm and lifeboat alarm.                                                                                                                                                                                                                                                 | X     |   |   |
| 1.34                      | AIS (Automatic Identification System).                                                                                                                                                                                                                                                                            | X     |   |   |
| 1.35                      | The simulator should include a consequence analysis function.                                                                                                                                                                                                                                                     | X     | X | X |
| 1.35.1                    | The DP systems should contain a consequence analysis function, capable of measuring the vessel's ability to maintain position after worst case failures. An alarm should be initiated, with a maximum delay of five (5) minutes, when a failure will cause loss of position in the prevailing weather conditions. | X     | X |   |
| 1.35.2                    | The consequence analysis should be repeated automatically at pre-set intervals.                                                                                                                                                                                                                                   | X     | X | X |
| 1.35.3                    | The consequence analysis function should allow the Prospective DPO to monitor that the analysis is in progress.                                                                                                                                                                                                   | X     | X | X |

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### Section 2: Simulated environment, conditions, and effect on simulated vessel.

| Item No. | Simulator Requirement                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | Class |   |   |
|----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|---|---|
|          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | A     | B | C |
| 2.1      | The simulation of the vessel emulated by the simulator should be based on a mathematical model with six (6) degrees of freedom.                                                                                                                                                                                                                                                                                                                                                       | X     | X | X |
| 2.1.1    | The simulator should include mathematical models of at least three (3) types of vessels including no less than one (1) OSV, allowing realistic simulation of Supply, ROV survey, dive support, construction, and other offshore operations. The OSVDPA prefers to see the three (3) models be a FSV, OSV, and a project construction vessel.                                                                                                                                          | X     | X | X |
| 2.1.2    | The model should realistically simulate hydrodynamics in open water conditions, including the effects of wind forces, wave forces, tidal stream, and currents as they effect the simulated vessels.                                                                                                                                                                                                                                                                                   | X     | X | X |
| 2.1.3    | The model should realistically simulate hydrodynamics in restricted waterways, including shallow water and bank effects, interaction with other ships, and sheer current as these conditions effect the simulated vessels.                                                                                                                                                                                                                                                            | X     |   |   |
| 2.1.4    | The simulator should realistically simulate vessel motions in the event of a contact/collision with other vessels/structures.                                                                                                                                                                                                                                                                                                                                                         | X     |   |   |
| 2.1.5    | The radar simulation equipment should be capable of model weather, tidal streams, current, shadow sectors, spurious echoes and other propagation effects, and generate coastlines, navigational buoys and search and rescue transponders in addition to vessels and installations in the operational area.                                                                                                                                                                            | X     |   |   |
| 2.2      | The simulator should contain target ships and platforms.                                                                                                                                                                                                                                                                                                                                                                                                                              | X     | X |   |
| 2.2.1    | The simulator should be able to present no less than 10 types of target ships, each equipped with a mathematical model, which accounts for motion, drift and steering angles according to forces induced by current, wind or wave. The Certified Instructor should be able to program voyage routes for each target ship individually. The target ships should have the possibility to be simulated as DP vessels with capability of changing heading while keeping position.         | X     | X |   |
| 2.2.2    | The simulator should include at least five (5) different platforms of different types. The level of perception/ details should be high to allow for realistic operations at close range. The platforms should be illuminated at night.                                                                                                                                                                                                                                                | X     | X |   |
| 2.2.3    | The target ships should be equipped with navigational-lights, shapes and sound signals, according to the International Regulations for Preventing Collisions at Sea. The signals should be individually controlled by the Certified Instructor, and the sound signals should be directional and fade with range. Each ship should have an aspect recognizable at a distance of six (6) nautical miles in clear weather. A ship under way should provide relevant bow- and stern wave. | X     |   |   |
| 2.3      | The simulator should present an outside view of the working environment.                                                                                                                                                                                                                                                                                                                                                                                                              | X     | X |   |
| 2.3.1    | The simulator should provide a realistic visual scenario by day, twilight, or night, including variable meteorological visibility, changing in time. It should be possible to create a range of visual conditions from dense fog to clear.                                                                                                                                                                                                                                            | X     | X |   |
| 2.3.2    | The simulator's visual system and/or a motion platform should replicate movements of the vessel being simulated according to six (6) degrees of freedom.                                                                                                                                                                                                                                                                                                                              | X     | X |   |
| 2.3.3    | The simulator's visual system should have an update rate of at least 30 times per second and have an angular resolution of 2.5 arc-minutes.                                                                                                                                                                                                                                                                                                                                           | X     | X |   |

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| OSVDPA Simulator Standards | Version <b>1.0</b>                                              | Date Effective: <b>March 31, 2016</b>                                                                                    | Section: <b>APP-1</b>         |
|                            | Prepared by: <b>ACS</b><br>Prepared Date: <b>March 10, 2016</b> | Approved/Reviewed by:<br>BoD: <b>YES</b> TAC: <b>YES</b><br>ED: <b>N/A</b> Counsel: <b>N/A</b><br>Accountant: <b>N/A</b> | Page <b>280</b> of <b>297</b> |

| Item No. | Simulator Requirement                                                                                                                                                                                                                                                                                | Class |   |   |
|----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|---|---|
|          |                                                                                                                                                                                                                                                                                                      | A     | B | C |
| 2.3.4    | The projection of the view should be placed at such a distance and in such a manner from the bridge windows that accurate visual bearings may be taken to objects in the scene. It should be possible to use binocular systems for observations.                                                     | X     |   |   |
| 2.3.5    | The simulator's visual system should present all navigational marks according to charts used.                                                                                                                                                                                                        | X     |   |   |
| 2.3.6    | The simulator's visual system should show objects with sufficient realism (detailed enough to be recognized as in real life). This applies especially for operations close to platforms and other structures.                                                                                        | X     | X |   |
| 2.3.7    | The simulator's visual system should present the outside world by a view around the horizon (360 degrees). The horizontal field of view may be obtained by a view of at least 210 degrees and where the rest of the horizon may be panned (to move the "camera").                                    | X     |   |   |
| 2.3.8    | The simulator's visual system should have a horizontal field of view of no less than 120 degrees, with a capability to pan 360 degrees. Simulators with lesser visual systems shall be considered if the Training Provider can show that the simulator provides a similar level of training.         |       | X |   |
| 2.3.9    | The simulator's visual system should present no less than 25 degrees of vertical field view, but should accommodate the intended DP operation.                                                                                                                                                       | X     |   |   |
| 2.3.10   | In addition, by any method, it should be possible to observe the ship's side and the dock during mooring operations and offshore installations when operations are in close proximity.                                                                                                               | X     |   |   |
| 2.3.11   | The simulator's visual system should have a vertical field of view of no less than 15 degrees but should accommodate the intended DP operation. Simulators with lesser visual systems shall be considered if the Training Provider can show that the simulator provides a similar level of training. |       | X |   |
| 2.4      | The simulator should be capable of producing sounds appropriate and matching the sounds of the simulated operation.                                                                                                                                                                                  | X     |   |   |
| 2.4.1    | The simulator should provide an own ship engine and thruster sound, reflecting the power output.                                                                                                                                                                                                     | X     |   |   |
| 2.4.2    | The simulator should be capable of providing environmental sound (e.g. wind) according to conditions simulated.                                                                                                                                                                                      | X     |   |   |
| 2.5      | The simulator should contain replicated environmental forces.                                                                                                                                                                                                                                        | X     | X | X |
| 2.5.1    | The navigated waters should include a current pattern, changeable in time, according to the charts used. Tidal waters should be reflected.                                                                                                                                                           | X     |   |   |
| 2.5.2    | The simulator should include the depth according to charts used, reflecting water level according to tidal water situation.                                                                                                                                                                          | X     |   |   |
| 2.5.3    | The simulator should provide waves, variable in direction, period and height.                                                                                                                                                                                                                        | X     | X |   |
| 2.5.4    | The simulator should provide wind force, variable in direction and speed.                                                                                                                                                                                                                            | X     | X | X |
| 2.5.5    | Environmental forces; (i.e. current, waves, and wind,) should be possible to enter both as an immediate change, and with a change time. In addition, it should be possible to back (counter-clockwise) or to veer (clockwise) the environmental forces.                                              | X     | X |   |
| 2.5.6    | The simulator should be able to set wind and current (direction and speed), with limited/no variation.                                                                                                                                                                                               |       |   | X |

### Section 3: Simulator control.

|                            |                                                                 |                                                                                                                          |                               |
|----------------------------|-----------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------|-------------------------------|
| OSVDPA Simulator Standards | Version <b>1.0</b>                                              | Date Effective: <b>March 31, 2016</b>                                                                                    | Section: <b>APP-1</b>         |
|                            | Prepared by: <b>ACS</b><br>Prepared Date: <b>March 10, 2016</b> | Approved/Reviewed by:<br>BoD: <b>YES</b> TAC: <b>YES</b><br>ED: <b>N/A</b> Counsel: <b>N/A</b><br>Accountant: <b>N/A</b> | Page <b>281</b> of <b>297</b> |

| Item No.                                                                                    | Simulator Requirements                                                                                                                                                                                                                                                                                                                                                                                                                          | Class |   |   |
|---------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|---|---|
|                                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                 | A     | B | C |
| 3.1                                                                                         | The simulator should include suitable instructor facilities where exercises are normally controlled. This facility should be separated via glass, walls, partial walls, or partitions from where the Prospective DPOs or DPOs are conducting the exercise/operation.                                                                                                                                                                            | X     | X |   |
| 3.2                                                                                         | The simulator should be able to start, halt, reset in time and place and restart an exercise. <b>Note.</b> This requirement does not extend to real equipment interfacing with the DP system, it is accepted that this real equipment may not be able halt.                                                                                                                                                                                     | X     | X | X |
| 3.3                                                                                         | The Certified Instructor should, by any method, be able to record key parameters of the full exercise for debriefing and analysis purposes.                                                                                                                                                                                                                                                                                                     | X     | X |   |
| 3.4                                                                                         | The Certified Instructor should be able to record and playback key parameters of the full exercise for debriefing and analysis purposes. The playback should be possible other than real time (i.e. slow motion and rapid speed) <b>Note.</b> This requirement does not extend to when real equipment is interfacing with, e.g. the DP system, it is accepted that this the real equipment may not be able playback.                            | X     |   |   |
| 3.5                                                                                         | The simulator should (but is not required to) include possibilities to set the exercise to any position in the playback and be able to continue the exercise from the set time. <b>Note.</b> This requirement does not extend to when real equipment is interfacing with, e.g. the DP system, it is accepted that this the real equipment may not be able to jump in time and place without allowing time to reset data and build new DP model. | X     | - | - |
| <b><i>The following equipment should at least be included in the simulator control:</i></b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                 |       |   |   |
| 3.6                                                                                         | Simulator control computer(s) and monitors.                                                                                                                                                                                                                                                                                                                                                                                                     | X     | X |   |
| 3.7                                                                                         | DP operator station on the network (to check DP settings used by the students).                                                                                                                                                                                                                                                                                                                                                                 | X     | X |   |
| 3.8                                                                                         | Slave monitors for the two (2) DP operator stations in the bridge (or other ways to observe the Prospective DPO's use of the DP operator stations, without the Prospective DPO receiving unintentional or unpermitted assistance from the observing instructor).                                                                                                                                                                                | X     | X |   |
| 3.9                                                                                         | Slave monitor for the "Navscreen" in the bridge.                                                                                                                                                                                                                                                                                                                                                                                                | X     | X |   |
| 3.10                                                                                        | Monitoring panel for thruster emergency-stop, if not integrated automatically in the simulator.                                                                                                                                                                                                                                                                                                                                                 | X     | X |   |
| 3.11                                                                                        | Monitoring panel for DP status alert switch (traffic light).                                                                                                                                                                                                                                                                                                                                                                                    | X     | X |   |
| 3.12                                                                                        | The same communication equipment found on the bridge.                                                                                                                                                                                                                                                                                                                                                                                           | X     | X |   |
| 3.13                                                                                        | Means of observing and listening to the Prospective DPO's actions and discussions and/or instructions. If the control station is physically separated from the simulators these means it must include equipment capable of monitoring video and sound.                                                                                                                                                                                          | X     | X |   |
| 3.14                                                                                        | A horizontal field of view of at least 120 degrees, preferably with a mean to pan 360 degrees.                                                                                                                                                                                                                                                                                                                                                  | X     |   |   |
| 3.15                                                                                        | The same visual capabilities as the simulator. <b>Note.</b> The OSVDPA shall consider other arrangements if the Training Provider can prove such arrangements or technology provides a similar level of observation capabilities for the Certified Instructors.                                                                                                                                                                                 |       | X |   |

#### Section 4: Failure modes.

|                            |                                                                 |                                                                                                                          |                               |
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| Item No. | Simulator Requirement                                                                                                                                                                                                                                                                          | Class |   |   |
|----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|---|---|
|          |                                                                                                                                                                                                                                                                                                | A     | B | C |
| 4.1      | The Certified Instructor shall be able to introduce faults for the DP system. Faults and their characteristics should be able to be defined in advance or introduced/changed while the simulation is running. Fault characteristics shall be appropriate for the system/device being modelled. | X     | X |   |
| 4.2      | Random noise, e.g. for PRS; just in meters in two (2) axis (latitude and longitude).                                                                                                                                                                                                           | X     | X |   |
| 4.3      | Drift, with drift speed and limit, e.g. for PRS; drift in two axes (latitude and longitude).                                                                                                                                                                                                   | X     | X |   |
| 4.4      | Bias, e.g. for PRS; bias in two (2) axes (latitude/longitude).                                                                                                                                                                                                                                 | X     | X |   |
| 4.5      | Oscillation, with value and period.                                                                                                                                                                                                                                                            | X     | X |   |
| 4.6      | Freeze signal to existing value.                                                                                                                                                                                                                                                               | X     | X |   |
| 4.7      | Delay of a signal setting in seconds.                                                                                                                                                                                                                                                          | X     | X |   |
| 4.8      | Dead-band.                                                                                                                                                                                                                                                                                     | X     | X |   |
| 4.9      | Stop of communications.                                                                                                                                                                                                                                                                        | X     | X |   |
| 4.10     | Fixed value, (feedback and set point) e.g. thruster runaway with setting in percent.                                                                                                                                                                                                           | X     | X |   |

### Section 5: Other simulator control functions.

| Item No.          | Simulator Requirement                                                                                                                                                                                               | Class |   |   |
|-------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|---|---|
|                   |                                                                                                                                                                                                                     | A     | B | C |
| Power management: |                                                                                                                                                                                                                     |       |   |   |
| 5.1               | The simulator should be able to start and stop individual generators.                                                                                                                                               | X     | X |   |
| 5.2               | The simulator should be able to open/close generator circuit breakers and bus ties.                                                                                                                                 | X     | X |   |
| 5.3               | The simulator should be able to set failure modes as described in Section 4.                                                                                                                                        | X     | X |   |
| External forces:  |                                                                                                                                                                                                                     |       |   |   |
| 5.4               | The simulator should be able to simulate at least four (4) external forces, specified with minimum: Force, direction in degrees, setting for constant direction true or relative, point of attack (Surge and Sway). | X     | X |   |
| Miscellaneous:    |                                                                                                                                                                                                                     |       |   |   |
| 5.5               | The simulator should have a setting for vessel draught that is interfaced with the draught sensor. Changing the vessel draught should influence the vessel model.                                                   | X     | X |   |
| 5.6               | The simulator control should be able to work either in Geographic (latitude/longitude) or in UTM (Universal Transverse Mercator) coordinates.                                                                       | X     | X |   |

|                            |                                                                 |                                                                                                                          |                                            |
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|                            | Prepared by: <b>ACS</b><br>Prepared Date: <b>March 10, 2016</b> | Approved/Reviewed by:<br>BoD: <b>YES</b> TAC: <b>YES</b><br>ED: <b>N/A</b> Counsel: <b>N/A</b><br>Accountant: <b>N/A</b> | Document:<br>Page <b>283</b> of <b>297</b> |

## Appendix 2:

### OSVDPA CT-1-001, the OSVDPA Competency Standard

| Section No. | Competency or Section | Phase |
|-------------|-----------------------|-------|
|-------------|-----------------------|-------|

| Sec. 1 | Alarms (DP Control Systems)                                                                                                                                                 | Phase |
|--------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| 1.1    | Describe the criteria for setting position, heading, and other critical alarms (e.g. those resulting in loss of position). (Theoretical)                                    | 1     |
| 1.2    | Describe the problems that may arise due to a lack of spatial awareness caused by an over reliance on alarms. (Theoretical)                                                 | 1     |
| 1.3    | Describe the how a change in the set point will affect position and heading alarms (Theoretical).                                                                           | 1     |
| 1.4    | Describe each of the below-listed alarms, how each is set, what factors each is measuring, and when each is critical. (Practical)                                           | 2     |
| 1.4.1  | Position and Heading.                                                                                                                                                       | 2     |
| 1.4.2  | Power plant.                                                                                                                                                                | 2     |
| 1.4.3  | DP system alarms.                                                                                                                                                           | 2     |
| 1.5    | Recognize and acknowledge alarms and convey information about the alarms to relevant crew members and other parties. (Practical)                                            | 2     |
| 1.6    | Demonstrate the setting of alarms relevant to the DP system. (Practical)                                                                                                    | 2     |
| 1.7    | Describe the procedures for setting warnings and alarms, including selecting acceptable limits and recognizing factors that decrease acceptable alarm limits. (Theoretical) | 3     |

| Sec. 2 | Bridge Team                                                                                                                                                                                    | Phase |
|--------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| 2.1    | Describe a formal hand-over and the importance of clearly relating and understanding all relevant factors. (Theoretical)                                                                       | 1     |
| 2.1.1  | Describe when a handover should not be conducted and when it should not. (Practical)                                                                                                           | 1     |
| 2.2    | Describe the organization of the bridge team on your vessel when the vessel is under DP, including the authority, tasks, and responsibilities of each member of the bridge team. (Theoretical) | 2     |
| 2.3    | Demonstrate a clear and formal handover of the DP watch (Practical):                                                                                                                           | 2     |
| 2.3.1  | The preparation of a handover/watch-change checklist.                                                                                                                                          | 2     |
| 2.3.2  | Clearly communicating the status of the vessel, DP system, equipment, ongoing/planned operations, conditions, and other recent occurrences that affect DP operations.                          | 2     |
| 2.3.3  | Utilizing the vessel's ASOG (where available) to facilitate a hand-over/watch-change.                                                                                                          | 2     |
| 2.4    | Demonstrate a review and verification of handover/watch change checklist (Practical):                                                                                                          | 2     |
| 2.4.1  | The vessel's position, movement and status; recent occurrences; weather changes (including the vessel's drift on/off status) and DP log.                                                       | 2     |
| 2.4.2  | Validate the vessel's status against the vessel's ASOG (where available).                                                                                                                      | 2     |
| 2.5    | Demonstrate execution of a DP watch as part of a bridge team (if utilized) in accordance with applicable industry standards. (Practical)                                                       | 2     |
| 2.6    | Demonstrate response to a DP incident or emergency as part of a bridge team (if utilized) in accordance with applicable industry practices. (Practical)                                        | 2     |

|                            |                                                                 |                                                                                                                          |                                            |
|----------------------------|-----------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------|--------------------------------------------|
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| <b>Sec. 3</b> | <b>Capability and Footprint Plots</b>                                                                                                                                   | <b>Phase</b> |
|---------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|
| 3.1           | Describe how a capability plot is interpreted, its usefulness to DP operations, its relation to a vessel's Worst Case Failure (WCF), and its limitations. (Theoretical) | 1            |
| 3.2           | Explain the function of a DP footprint plot, how it is produced and the environmental or operational characteristics affecting its shape. (Theoretical)                 | 1            |
| 3.3           | Assess the vessel's station keeping capabilities against the vessel's capability plot and interpret this information. (Practical)                                       | 2            |
| 3.4           | Utilize the vessel's capability plot in the planning of an operation. (Practical)                                                                                       | 3            |
| 3.5           | Demonstrate the generation of a DP footprint plot using the DP system or paper charts. (Practical)                                                                      | 3            |
| 3.6           | Describe the difference between capability plots and footprint plots and the correlation between the two. (Theoretical)                                                 | 4            |

| <b>Sec. 4</b> | <b>Checklists</b>                                                                                                                                                      | <b>Phase</b> |
|---------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|
| 4.1           | Describe the checklists that should be completed under applicable regulatory standards or industry guidance (e.g. IMCA, MTS, etc.) and their importance. (Theoretical) | 1            |
| 4.2           | Demonstrate completion of the location (field arrival), pre-operation (500-meter), and any other required checklist. (Practical)                                       | 4            |

| <b>Sec. 5</b> | <b>Commands and Use of the DP Console</b>                                                                                                                                                      | <b>Phase</b> |
|---------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|
| 5.1           | Describe, generally, the information provided by the DP console and the variety of methods the DPO can use to enter commands into the DP system. (Theoretical)                                 | 1            |
| 5.1.1         | Position Commands.                                                                                                                                                                             | 1            |
| 5.1.2         | Heading Commands.                                                                                                                                                                              | 1            |
| 5.2           | Describe the risks associated with different input methods and which methods should be avoided. (Theoretical)                                                                                  | 1            |
| 5.3           | Describe why the DPO should change control stations including instances when control should be changed and when it should not be changed. (Theoretical)                                        | 1            |
| 5.4           | Describe how to use the gain settings, when different gain settings should be utilized, when settings should be adjusted, and the risks associated with adjusting gain settings (Theoretical). | 1            |
| 5.5           | Describe why the center of rotation or set point should be changed and the effect this will have on the DP system and vessel. (Theoretical)                                                    | 1            |
| 5.6           | Demonstrate a knowledge of the layout of the DP console, noting: (Practical)                                                                                                                   | 2            |
| 5.6.1         | Location of control and status information.                                                                                                                                                    | 2            |
| 5.6.2         | The relation between DP controls and other maneuvering controls.                                                                                                                               | 2            |
| 5.6.3         | Any vulnerabilities in the layout of the DP console (e.g. hard to reach controls).                                                                                                             | 2            |
| 5.7           | Demonstrate the ability to set up and verify the various operator controls of the DP system. (Practical)                                                                                       | 2            |
| 5.8           | Demonstrate use of the gain settings: (Practical)                                                                                                                                              | 2            |
| 5.8.1         | Selection of a gain setting appropriate for the current operation and condition.                                                                                                               | 2            |
| 5.8.2         | Setting and adjusting of gain settings.                                                                                                                                                        | 2            |
| 5.9           | Demonstrate a transfer of control from one DP station to another (if fitted).                                                                                                                  | 2            |
| 5.10          | Demonstrate a change in the setpoint and center of rotation. (Practical)                                                                                                                       | 2            |
| 5.11          | Demonstrate a procedure to verify DP system is correctly responding/ following commands and the procedures to follow when system fails to respond to commands. (Practical)                     | 3            |

|                            |                                                                 |                                                                                                                          |                                            |
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|                            | Prepared by: <b>ACS</b><br>Prepared Date: <b>March 10, 2016</b> | Approved/Reviewed by:<br>BoD: <b>YES</b> TAC: <b>YES</b><br>ED: <b>N/A</b> Counsel: <b>N/A</b><br>Accountant: <b>N/A</b> | Document:<br>Page <b>285</b> of <b>297</b> |

| <b>Sec. 6</b> | <b>Communication</b>                                                                                                                                                                                                                                    | <b>Phase</b> |
|---------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|
| 6.1           | Describe the importance and methods of keeping crew, engine room personnel, equipment operators, the installation, and other relevant entities informed of operational details. (Theoretical)                                                           | 2            |
| 6.2           | Describe what changes in the vessel, DP system, or equipment the ASOG (if available) requires to be communicated and to whom the ASOG requires these changes be communicated to. (Theoretical)                                                          | 2            |
| 6.3           | Describe which crew members should be kept apprised of relevant operational information. (Theoretical)                                                                                                                                                  | 2            |
| 6.4           | Demonstrate clear communication (via all relevant methods) of relevant operational details (including changes in status) with relevant crew, onboard and project personnel, the installation, and third parties (including SIMOPS vessels). (Practical) | 2            |

| <b>Sec. 7</b> | <b>Conditions, Environment, and Weather</b>                                                                                                                                                                                                                                           | <b>Phase</b> |
|---------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|
| 7.1           | Describe the effects of environmental conditions on vessel performance, including the effect on subsystems such as position reference systems. (Theoretical).                                                                                                                         | 1            |
| 7.2           | Describe the importance of environmental condition monitoring and instances and operations where condition monitoring is of critical importance (Theoretical)                                                                                                                         | 1            |
| 7.3           | Interpret actual and forecasted weather against operation planning tools, such as the vessel's ASOG (where available) and determine if conditions are projected to be inside of the vessel's DP operation envelope, including post Worst Case Failure (WCF) capabilities. (Practical) | 2            |
| 7.4           | Evaluate changes in weather and environmental conditions against operation planning tools (such as the vessel's ASOG) and time to terminate the industrial mission to determine if operations can be continued. (Practical)                                                           | 2            |

| <b>Sec. 8</b> | <b>Consequence Analysis</b>                                                                                                                                                                    | <b>Phase</b> |
|---------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|
| 8.1           | Describe the importance of the consequence analysis function and how it is used. (Theoretical)                                                                                                 | 1            |
| 8.2           | Describe what conditions the consequence analysis function on your vessel is monitoring (if fitted). (Practical)                                                                               | 2            |
| 8.3           | Demonstrate how to enable the consequence analysis function (if fitted) and a response appropriate to a consequence analysis alarm, the conditions, and operations of your vessel. (Practical) | 4            |
| 8.4           | Demonstrate the ability to utilize the consequence analysis function in conjunction with the vessel's capability plot (if applicable).                                                         | 4            |

| <b>Sec. 9</b> | <b>Control Systems (General) and Computer</b>                                                                                                                                                                                                                 | <b>Phase</b> |
|---------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|
| 9.1           | Describe the widely accepted procedures for powering up and shutting down the DP system and DP controller. (Theoretical)                                                                                                                                      | 1            |
| 9.2           | Describe the procedures to be used when the controller resets itself. (Theoretical)                                                                                                                                                                           | 1            |
| 9.3           | Demonstrate the procedures for powering up and shutting down the DP system and DP controller as mandated by the vessel's operation manual or DP system manufacturer's instructions. (Practical).                                                              | 2            |
| 9.4           | Describe the effect of resetting the DP computer and the DP controller, why the effect of resetting the computer and controller are different, how to realign out of sync controllers, and when not to reset the DP computer and DP controller. (Theoretical) | 2            |
| 9.5           | Demonstrate resetting of all DP computers (DP console, controllers, and backups) while remaining in control of vessel. (Practical)                                                                                                                            | 4            |
| 9.6           | Demonstrate the different ways of resetting the DP computer and controller and a transfer of control of all available systems, without losing control of the vessel, and describe the advantages and disadvantages of each way. (Practical)                   | 4            |

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| Sec. 10 | DP Control Modes and Features                                                                                                                                                             | Phase |
|---------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| 10.1    | Describe the common control modes (or the equivalent mode depending upon equipment used), when each mode would be used, and the benefits and drawbacks of each mode. (Theoretical)        | 1     |
| 10.1.1  | Auto Position.                                                                                                                                                                            | 1     |
| 10.1.2  | Auto Heading.                                                                                                                                                                             | 1     |
| 10.1.3  | Auto Pilot.                                                                                                                                                                               | 1     |
| 10.1.4  | Follow Target.                                                                                                                                                                            | 1     |
| 10.1.5  | Joystick.                                                                                                                                                                                 | 1     |
| 10.1.6  | Independent Joystick.                                                                                                                                                                     | 1     |
| 10.1.7  | Track Follow.                                                                                                                                                                             | 1     |
| 10.1.8  | Weathervane.                                                                                                                                                                              | 1     |
| 10.1.9  | Mixed Mode.                                                                                                                                                                               | 1     |
| 10.1.10 | Heavy Lift Mode.                                                                                                                                                                          | 1     |
| 10.1.11 | Other modes.                                                                                                                                                                              | 1     |
| 10.2    | Understand and describe the set-up of the DP control elements (i.e. controlling the degrees of freedom), modes of operation, and the limitations associated with each mode. (Theoretical) | 1     |
| 10.3    | Describe the difference between a DP joystick and an independent joystick and the benefits and limitations of each joystick. (Theoretical)                                                | 1     |
| 10.4    | Describe when the quick model/fast learn function should and should not be used.                                                                                                          | 1     |
| 10.5    | Demonstrate the ability to use each control mode fitted on your vessel (e.g. Autopos, Autopilot, Joystick, mixed mode). (Practical)                                                       | 2     |
| 10.6    | Demonstrate the ability to select, enter necessary parameters, and switch between the various operating modes of the DP system. (Practical)                                               | 2     |
| 10.7    | Demonstrate use of the independent joystick to maintain/change position/heading. (Practical)                                                                                              | 2     |
| 10.8    | Demonstrate use of the quick model/fast learn function. (Practical)                                                                                                                       | 2     |

| Sec. 11 | Manual Control                                                                                                                                                                      | Phase |
|---------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| 11.1    | Describe advantages/disadvantages of operating in manual mode including references to the various types of propulsion systems. (Theoretical)                                        | 1     |
| 11.2    | Describe the importance of bringing the vessel to a full stop prior to switching to the DP system. (Theoretical)                                                                    | 1     |
| 11.3    | Describe the hierarchical steps and procedures for switching from manual mode to DP. (Theoretical)                                                                                  | 2     |
| 11.4    | Describe under what conditions manual control should be selected after a system degradation, a blackout, or Worst Case Failure based on the specifics of your vessel. (Theoretical) | 2     |
| 11.5    | Demonstrate bringing the vessel to a full stop at a safe distance from all objects in manual mode. (Practical)                                                                      | 2     |
| 11.6    | Demonstrate holding position and maneuvering in manual mode under various weather conditions. (Practical)                                                                           | 2     |
| 11.7    | Describe the vessel specific procedure for switching to manual mode to deal with a fault, failure, or change in conditions which prevents further DP operations. (Theoretical)      | 3     |

|                            |                                                                 |                                                                                                                          |                                            |
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|        |                                                                                                                                                                                                    |   |
|--------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|
| 11.8   | Demonstrate competency in ship handling abilities, including stopping, station keeping, and maneuvering the vessel in close quarter situations under various environmental conditions. (Practical) | 2 |
| 11.8.1 | Demonstrate handling of the vessel after the WCF for your vessel. (Practical)                                                                                                                      | 2 |
| 11.9   | Demonstrate the ability to change from DP to manual control. (Practical)                                                                                                                           | 4 |
| 11.9.1 | Under a normal operating condition.                                                                                                                                                                | 4 |
| 11.9.2 | Under an emergency condition.                                                                                                                                                                      | 4 |

| Sec. 12 | DP System General                                                                                                                                                                                                                   | Phase |
|---------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| 12.1    | Describe the various components that comprise a DP system, including position and environmental references, computer controller and display, propulsion and steering systems, power plant and power distribution. (Theoretical)     | 1     |
| 12.1.1  | Draw a one-line diagram of a generic DP system for each DP class.                                                                                                                                                                   | 1     |
| 12.1.2  | Draw a one-line diagram of your vessel's DP system.                                                                                                                                                                                 | 2     |
| 12.2    | Describe industry-recognized criteria for evaluating DP systems (e.g. the seven pillars of a robust DP system as expressed by the MTS guidance). (Theoretical)                                                                      | 1     |
| 12.3    | Describe the purpose of the model and how it is utilized. In doing so, explain the function and when it should be used and how long model building takes in both modes and the system's limitations during this time. (Theoretical) | 1     |
| 12.4    | Describe "estimated residual force" and its function within and importance to DP operations. (Theoretical)                                                                                                                          | 1     |
| 12.5    | Describe the importance of maintaining the segregation of a vessel's redundancy concept. (Theoretical)                                                                                                                              | 1     |
| 12.6    | Use onboard documents to locate and describe the various vessel specific components that comprise the DP system, and their function and interaction (including how they relate to the vessel's redundancy concept). (Practical)     | 2     |
| 12.7    | Describe what equipment is critical, the failure of which will affect vessel position and/or heading. (Theoretical)                                                                                                                 | 2     |
| 12.8    | Describe identified Worst Case Failure and describe the vessel's design intended capabilities after WCF and where onboard the vessel this information can be found. (Theoretical)                                                   | 4     |

| Sec. 13 | Drift/Drive On, Drift/Drive Off, and Force Off                                                                                                             | Phase |
|---------|------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| 13.1    | Describe drift/drive on and drift/drive off, the differences, risks, and factors leading to each. (Theoretical)                                            | 1     |
| 13.2    | Describe actions to be taken in drift/drive on and drift/drive off scenarios, including how to turn a drift/drive on into a drift/drive off. (Theoretical) | 1     |
| 13.3    | Describe a force off scenario, the factors that lead to this scenario, its risks, and how it can be avoided. (Theoretical)                                 | 1     |
| 13.4    | Demonstrate actions to be taken in a force off scenario. (Theoretical)                                                                                     | 2     |
| 13.5    | Demonstrate actions to be taken in drift/drive on and drift/drive off scenarios. (Practical)                                                               | 3     |
| 13.6    | Demonstrate how to turn a drift/drive on into a drift/drive off. (Practical)                                                                               | 3     |

| Sec. 14 | Drills and Training | Phase |
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| 14.1 | Describe the importance of DP-based drills and the specific vessel's drill schedule. (Theoretical) | 2 |
| 14.2 | Demonstrate use of the onboard training/simulation function (if fitted). (Practical)               | 2 |
| 14.3 | Demonstrate participation in a documented DP drill. (Practical)                                    | 2 |

| Sec. 15 | Responses to Failures and Emergency Procedures                                                                                                                                                                | Phase |
|---------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| 15.1    | Describe the situations (e.g. DP system degradation or change in conditions) that are mostly likely to indicate an impending emergency and what measures can be taken to correct the situation. (Theoretical) | 1     |
| 15.2    | Describe how the time to terminate impacts the DPO's actions when responding to a failure. (Theoretical)                                                                                                      | 1     |
| 15.3    | Describe the proper sequence of actions to respond to a DP system emergency. (Theoretical)                                                                                                                    | 1     |
| 15.4    | Describe the use of an ASOG, CAM, or TAM in an emergency situation and how these documents guide the operator. (Theoretical)                                                                                  | 1     |
| 15.5    | Describe when dead reckoning mode can be utilized after a failure or degradation in position reference system data. (Theoretical)                                                                             | 1     |
| 15.6    | Describe when dead reckoning is used and its importance. (Theoretical)                                                                                                                                        | 1     |
| 15.7    | Demonstrate the ability to recognize an emergency, and the possible necessity of taking manual control of the vessel. (Practical)                                                                             | 2     |
| 15.8    | Demonstrate the evaluation steps and potential actions (up to and including DPO intervention) to the following situations (Practical):                                                                        | 3     |
| 15.8.1  | A sudden and significant change or loss in reference system data, unstable PRS, or sensor input error.                                                                                                        | 3     |
| 15.8.2  | A drift off, drive off, and force off.                                                                                                                                                                        | 3     |
| 15.8.3  | A thruster failure (e.g. thruster fail to full, RPM runoff, frozen pitch).                                                                                                                                    | 3     |
| 15.8.4  | The loss of the DP system.                                                                                                                                                                                    | 3     |
| 15.8.5  | The loss of the DP Controller                                                                                                                                                                                 | 3     |
| 15.8.6  | Instability, or loss of generator/power system, computer system, commands, feedbacks, inputs, or other components impacting the DP system.                                                                    | 3     |
| 15.8.7  | The vessel exceeding a pre-defined alarm limit.                                                                                                                                                               | 3     |
| 15.9    | Demonstrate what actions a DPO should initiate in the event the DP system loses position reference system data or experiences an instability in PRS data and enters dead reckoning mode control. (Practical)  | 4     |

| Sec. 16 | Failure Mode Effect Analysis (FMEA) and Annual Trials                                                                                                                            | Phase |
|---------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| 16.1    | Based on IMCA M 166, IMCA M 190, MTS' DP Vessel Design Philosophy Guidelines, and other relevant current guidance, describe a Failure Mode Effect Analysis (FMEA) (Theoretical): | 1     |
| 16.1.1  | The FMEA's purpose and value to operations.                                                                                                                                      | 1     |
| 16.1.2  | How an FMEA is proven.                                                                                                                                                           | 1     |
| 16.1.3  | The process and schedule of FMEA revalidation.                                                                                                                                   | 1     |
| 16.1.4  | The procedures carried out during annual trials and what information the DPO can glean from the trials.                                                                          | 1     |
| 16.2    | Describe how the vessel's FMEA correlates to the vessel's redundancy concept, operational procedures or planning tools such as ASOG, CAM, and TAM. (Theoretical)                 | 2     |
| 16.3    | Demonstrate an ability to understand an annual trial and describe what findings should be addressed. (Practical)                                                                 | 2     |

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| 16.4 | Demonstrate an application of the vessel's FMEA to the planning and execution of an operation, including contingency planning, emergency response, and creation of CAM within the capabilities of the vessel after worst case failure. (Practical) | 3 |
|------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|

| Sec. 17 | Class, Standards, Guidance, Manuals, and Logs                                                                                                                                                                                         | Phase |
|---------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| 17.1    | Describe the general concepts and specific requirements of each equipment class, as defined by IMO MSC 645. (Theoretical)                                                                                                             | 1     |
| 17.2    | Describe the importance of keeping a vessel DP logbook and what information should be recorded in the logbook. (Theoretical)                                                                                                          | 1     |
| 17.3    | Demonstrate verification that the vessel is configured in accordance with its redundancy concept as proven in the vessel's FMEA, class standards or other applicable requirements. (Practical)                                        | 2     |
| 17.4    | Demonstrate locating the DP related documentation onboard and explain their relevance to specific vessel operations. (Theoretical)                                                                                                    | 2     |
| 17.5    | Describe the publications or sources of the current rules, standards, guidelines, and recommendations affecting DP operations; each document's relevance, and which of these documents are normally kept on the vessel. (Theoretical) | 2     |
| 17.6    | Demonstrate knowledge and understanding of operational instructions (e.g. operations manuals, industry guidance/standards, client procedures, bridging documents, etc.). (Practical)                                                  | 2     |
| 17.7    | Determine if the vessel continues to operate within its post worst case failure capability after the loss of a system or component. (Practical)                                                                                       | 4     |

| Sec. 18 | Incident Reporting and Investigation                                                                                                                                                        | Phase |
|---------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| 18.1    | Describe the importance of reporting DP events, which events should be reported, the company procedure for reporting DP events via a voluntary or mandatory reporting system. (Theoretical) | 1     |
| 18.2    | Demonstrate an ability to understand a DP incident report, identify actions (if any) the DPO could have done to avert incident, and apply lessons-learned. (Practical)                      | 2     |

| Sec. 19 | Operation Planning and Risk Assessing                                                                                                                                                      | Phase |
|---------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| 19.1    | Describe the importance of planning a DP operation and the elements that should be considered when planning an operation. (Theoretical)                                                    | 1     |
| 19.1.1  | Describe the commonly used planning tools, such as an ASOG, the process used to create these tools, how they are used, and the defined scope of these tools.                               | 1     |
| 19.1.2  | Describe CAM and TAM, the differences between each mode, why each mode would be selected, and how (and how not) a vessel enters TAM.                                                       | 1     |
| 19.1.3  | Describe operational external factors that will influence, complicate, or require abandoning of a DP operation (e.g. SIMOPS, thruster force from a drillship, etc.).                       | 1     |
| 19.1.4  | Describe additional precautions that should be taken when the vessel is positioned on the drift on side of the installation.                                                               | 1     |
| 19.1.5  | Describe the process used to determine a safe working position and heading and safe standby position, taking into consideration all of the factors necessary to make these determinations. | 1     |
| 19.1.6  | Describe the process used to create a DP approach plan, work plan, escape plan, and plan to exit the field.                                                                                | 1     |
| 19.1.7  | Describe what factors should be considered when selecting which reference systems should be used for an operation and the limitations carried by each system.                              | 1     |

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| 19.1.8 | Describe the impacts of changes (temporary or permanent) on the vessel's station keeping performance (e.g. installation of Industrial Mission Equipment impacting wind coefficient of the vessel).                                         | 1 |
| 19.2   | Describe the risk assessment processes and procedures and their importance. (Theoretical)                                                                                                                                                  | 1 |
| 19.2.1 | A formal risk assessment.                                                                                                                                                                                                                  | 1 |
| 19.2.2 | A safe job analysis.                                                                                                                                                                                                                       | 1 |
| 19.2.3 | Tool box talk.                                                                                                                                                                                                                             | 1 |
| 19.2.4 | A contingency plan and ensuring the plan remains valid throughout the operation.                                                                                                                                                           | 1 |
| 19.2.5 | Continuous risk assessment throughout an operation.                                                                                                                                                                                        | 1 |
| 19.3   | Describe the impact of a loss of position on the vessel's industrial mission.                                                                                                                                                              | 2 |
| 19.4   | Determine a safe location outside the 500-meter zone to complete arrival checklists, considering conditions and movement of other vessels and obstructions. (Practical)                                                                    | 2 |
| 19.5   | Demonstrate the ability to conduct a formal risk assessment, safe job analysis, and tool box talk or interpret the results of a risk assessment, safe job analysis, or tool box talk prior to the start of an operation. (Theoretical)     | 2 |
| 19.6   | Demonstrate use of the vessel's ASOG or other planning tools and capability plot to determine if DP operations are possible. (Practical)                                                                                                   | 2 |
| 19.7   | Demonstrate selection of reference systems appropriate for an operation, the ability to evaluate the consequences of losing a particular reference system, and external influences that may interfere with references systems. (Practical) | 2 |
| 19.8   | Demonstrate setting excursion limits based upon company/client procedures, job requirements, or the vessel's ASOG. (Practical)                                                                                                             | 2 |
| 19.9   | Demonstrate the creation of a DP approach plan, work plan, and plan to exit the field. (Practical)                                                                                                                                         | 3 |
| 19.10  | Utilizing the vessel's operational guidance (e.g. ASOG), operating mode (i.e. CAM or TAM), and class requirements (as applicable), demonstrate set up of the power plant for a particular operation. (Practical)                           | 4 |
| 19.11  | Demonstrate the ability to determine a safe working position and heading based on conditions, charterer requirements, and international or regional regulations or guidelines. (Practical)                                                 | 4 |
| 19.12  | Demonstrate the development of a contingency plan and the ability to plan a new escape path during the operation based upon changes in conditions, other vessels, or changes in the operation. (Practical)                                 | 4 |
| 19.13  | Demonstrate the ability to conduct a continuous risk assessment of an operation, react appropriately to any alarms, and make necessary changes to the operation. (Practical)                                                               | 4 |

| Sec. 20 | Operation (Set Up and Approach)                                                                                                                              | Phase |
|---------|--------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| 20.1    | Describe the procedures for approaching an installation, including (Theoretical):                                                                            | 1     |
| 20.1.1  | Transferring from manual to DP.                                                                                                                              | 1     |
| 20.1.2  | Selecting and setting of steps (increments for movements and changes in heading) that are appropriate to the operation, conditions, and client requirements. | 1     |
| 20.1.3  | Speed selection.                                                                                                                                             | 1     |
| 20.1.4  | Stopping the vessel in a safe manner at the proper position and with the proper heading.                                                                     | 1     |
| 20.2    | Describe the process of setting up the vessel on DP and ensuring all DP systems and subsystems are operational. (Theoretical)                                | 1     |

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| 20.3  | Describe what factors the DPO should monitor during an approach to an installation, (e.g. changes in conditions, other vessels, changes in installations) and how these factors can affect the approach and contingency plan. (Theoretical)                                                            | 1 |
| 20.4  | Describe the purpose of, how to conduct, and the limitations of a drift test. (Theoretical)                                                                                                                                                                                                            | 1 |
| 20.5  | Demonstrate set up and verification of the thrusters for an operation, taking into consideration the environmental conditions, exclusion zones, and efficiency of the power plant. (Practical)                                                                                                         | 2 |
| 20.6  | Assess the vessel against the capability plot (if available) and interpret the results. (Practical)                                                                                                                                                                                                    | 2 |
| 20.7  | Demonstrate setting up the correct reference systems and sensors for the operation and verifying they are operating correctly. (Practical)                                                                                                                                                             | 2 |
| 20.8  | Demonstrate how to set up and conduct a drift test or environmental force evaluation. (Practical)                                                                                                                                                                                                      | 2 |
| 20.9  | Utilizing company/client requirements and/or the vessel's operational guidance (e.g. ASOG), demonstrate stopping and stabilizing the vessel in a controlled manner and safe position; switching from manual control, to joystick, to full DP; then beginning the approach to the worksite. (Practical) | 2 |
| 20.10 | Utilizing company procedures, client requirements, and/or the vessel's operational guidance (e.g. ASOG), demonstrate proper selection of speed and steps to approach an installation. (Practical)                                                                                                      | 2 |
| 20.11 | Demonstrate anticipation and reactions appropriate and proportional to changes in operational or environmental conditions during the approach. (Practical)                                                                                                                                             | 2 |

| Sec. 21 | Operation (Normal Execution)                                                                                                                                                                                                                   | Phase |
|---------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| 21.1    | Describe the items a DPO should be monitoring during a DP operation. (Theoretical)                                                                                                                                                             | 1     |
| 21.2    | Describe center of rotation, how the DPO selects the center of rotation and set point, its effect on the DP system and controls and why selecting a center of rotation appropriate to the conditions and operation is important. (Theoretical) | 1     |
| 21.3    | Describe factors, (e.g. deployed equipment), that may limit a vessel's performance or ability. (Theoretical)                                                                                                                                   | 1     |
| 21.4    | Describe how changes in the installation's heading and position can affect an DP operation. (Theoretical)                                                                                                                                      | 1     |
| 21.5    | Describe the need to anticipate changes in the operation and make changes when necessary. (Theoretical)                                                                                                                                        | 1     |
| 21.6    | Describe the process of selecting an additional PRS. (Theoretical)                                                                                                                                                                             | 1     |
| 21.7    | Describe how to use an ASOG to determine if continued operations are possible. (Theoretical)                                                                                                                                                   | 1     |
| 21.8    | Describe the potential causal factors for an inexplicable ramp up of thrusters and the means employed by the DPO to discriminate faulty inputs. (Practical)                                                                                    | 1     |
| 21.9    | Demonstrate continued situational awareness of the vessel's heading, position, and status during a DP watch. (Practical)                                                                                                                       | 2     |
| 21.10   | Demonstrate continued awareness of the installation's heading and position and anticipate and reacting to situations that may arise from a change in the installation's heading or position. (Practical)                                       | 2     |
| 21.11   | Demonstrate monitoring the DP system, anticipating problems and making corrections as needed. (Practical)                                                                                                                                      | 2     |
| 21.12   | Demonstrate an ability to analyze the consequences of a loss of position and react accordingly. (Practical)                                                                                                                                    | 2     |
| 21.13   | Demonstrate monitoring of environmental conditions. (Practical)                                                                                                                                                                                | 2     |
| 21.14   | Demonstrate monitoring of PRS and vessel sensors, including monitoring signal quality, accuracy, and anticipating and reacting to problems. (Practical)                                                                                        | 2     |

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| 21.15 | Demonstrate monitoring the functionality of the DP system and sub-systems against the vessel's operational guidance (e.g. ASOG) to determine if continued operations are possible. (Practical)                                                     | 2 |
| 21.16 | Demonstrate planning of a new escape route during the course of an operation. (Practical)                                                                                                                                                          | 2 |
| 21.17 | Demonstrate changing of position by inputting speed and steps appropriate for the conditions, vessel capabilities, and in compliance with applicable requirements, (Practical)                                                                     | 2 |
| 21.18 | Demonstrate an awareness of vessel position, monitor vessel excursions, and determine if excursions exceed safe working conditions, based on company/client procedures and/or vessel's ASOG. (Practical)                                           | 2 |
| 21.20 | Demonstrate an evaluation of environmental conditions and vessel status against the vessel's ASOG to determine if continued operations are possible. (Practical)                                                                                   | 2 |
| 21.21 | Demonstrate monitoring of the percentage of available power in use and in reserve and determine if continued operations are possible. (Practical)                                                                                                  | 2 |
| 21.22 | Demonstrate monitoring of the vessel's thrusters and making changes to adapt to changing environmental conditions or to maximize efficiency of the power plant. (Practical)                                                                        | 2 |
| 21.23 | Demonstrate the ability to discern a faulty reference system input, evaluate the situation, and react according to the correct procedures for the equipment (e.g. manually removing the sensor or monitoring the automatic processes). (Practical) | 2 |
| 21.24 | Demonstrate a continued awareness of class redundancy requirements (or other redundancy concept requirements) as they relate to the current set up and operation of your vessel. (Practical)                                                       | 2 |

| Sec. 22 | Operation (Degraded Status)                                                                                                                                                                                             | Phase |
|---------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| 22.1    | Describe actions to take in case of a degraded status. (Theoretical).                                                                                                                                                   | 1     |
| 22.2    | Describe degraded status, vessel capabilities, additional risks. (Theoretical)                                                                                                                                          | 1     |
| 22.3    | Describe the difference between a degraded status and TAM and how each mode is entered. (Theoretical)                                                                                                                   | 1     |
| 22.4    | Describe when reassessing the vessel's station-keeping capabilities post worst case failure would be appropriate. (Theoretical)                                                                                         | 1     |
| 22.5    | Demonstrate the ability to take corrective action in case of a degraded status. (Practical)                                                                                                                             | 3     |
| 22.5    | Demonstrate the ability to safely maneuver and stabilize the vessel with degraded thruster/power capacity (after identified WCF). (Practical)                                                                           | 3     |
| 22.6    | Demonstrate the reaction to an unstable PRS, the loss of a PRS, or when a PRS suddenly indicates a significant change in position. (Practical)                                                                          | 4     |
| 22.7    | Demonstrate the response to a malfunctioning or inaccurate vessel sensor. (Practical)                                                                                                                                   | 4     |
| 22.8    | Demonstrate the ability to use an ASOG (or other operational guideline) to determine the vessel's status and if an operation needs to be discontinued or if continued operation needs to be risk assessed. (Practical). | 4     |

| Sec. 23 | Operation (Abandoning or Aborting of Operations)                                                                                  | Phase |
|---------|-----------------------------------------------------------------------------------------------------------------------------------|-------|
| 23.1    | Describe possible reasons a DP operation would need to be abandoned quickly. (Theoretical)                                        | 1     |
| 23.2    | Describe the vessel specific procedures for the abandoning of DP operations under short and long time to terminate. (Theoretical) | 2     |
| 23.3    | Demonstrate the procedures for abandoning of the operation under short and long time. (Practical)                                 | 3     |

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| 23.4 | Demonstrate utilizing the vessel's planning tools (e.g. ASOG, CAM capability plot, or other operation guideline) to determine if DP operations must be abandoned. (Practical)                                           | 4 |
| 23.5 | Demonstrate safely navigating away from the installation after an emergency or incident/change in conditions, vessel capabilities, or other factors which require the operation to be abandoned or aborted. (Practical) | 4 |

| Sec. 24 | Operation (Normal Completion)                                                                                                                                                                                                                    | Phase |
|---------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| 24.1    | Describe the need to move the vessel to a minimum safe location prior to changing control modes. (Theoretical)                                                                                                                                   | 1     |
| 24.2    | Describe where to find the minimum safe distance (e.g. client requirements, company procedures, etc.). (Theoretical)                                                                                                                             | 1     |
| 24.3    | Describe the field departure procedures and what hazards can be encountered during these procedures. (Theoretical)                                                                                                                               | 1     |
| 24.4    | Describe the importance of revalidating the departure plan, industrial mission termination plan, cargo transfer termination plan, or other applicable end-of-operation plans, and step size and speed at the end of the operation. (Theoretical) | 1     |
| 24.5    | Describe the interaction and impact the vessel can have on the installation during departure and steps the vessel can take to minimize this impact. (Theoretical)                                                                                | 1     |
| 24.6    | Demonstrate moving the vessel to an identified safe location via step size and speed appropriate for the conditions, vessel capabilities, and in compliance with applicable requirements on DP prior to switching to manual control. (Practical) | 2     |
| 24.7    | Demonstrate the process of recovering equipment and personnel, (e.g. disconnecting hoses, recovering deployed equipment of the vessel, or sensors). (Practical)                                                                                  | 2     |

| Sec. 25 | Reference Systems, Sensors, and Related Equipment                                                                                                                                                            | Phase |
|---------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| 25.1    | Describe the working principle behind and role within the DP system of each of the following: (Theoretical)                                                                                                  | 1     |
| 25.1.1  | Environmental reference system.                                                                                                                                                                              | 1     |
| 25.1.3  | Heading sensor.                                                                                                                                                                                              | 1     |
| 25.1.4  | Motion/Vertical Reference Unit.                                                                                                                                                                              | 1     |
| 25.2    | Describe the working principle behind, benefits, limitations, external influences, and common faults of the following: (Theoretical)                                                                         | 1     |
| 25.2.1  | Laser-based systems.                                                                                                                                                                                         | 1     |
| 25.2.2  | Microwave- and radio-based systems.                                                                                                                                                                          | 1     |
| 25.2.3  | Satellite-based reference systems.                                                                                                                                                                           | 1     |
| 25.2.4  | Acoustic systems.                                                                                                                                                                                            | 1     |
| 25.2.5  | Taut Wire.                                                                                                                                                                                                   | 1     |
| 25.2.6  | External Force Sensors (e.g. pipe tension sensors).                                                                                                                                                          | 1     |
| 25.2.7  | Other PRS (e.g. INS units, gangway reference systems, etc.).                                                                                                                                                 | 1     |
| 25.3    | Describe how PRS are utilized by the model (or not utilized by the model), including the weighting of reference systems in the model and differences between the model and current conditions. (Theoretical) | 1     |
| 25.4    | Describe the importance of and how to conduct PRS selection, validating, and prioritization. (Theoretical)                                                                                                   | 1     |
| 25.5    | Describe the effect of shadow, which reference systems shadowing can affect, and how to minimize the effect of shadowing. (Theoretical)                                                                      | 1     |

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| OSVDPA Competency Standard | Version: <b>1.0</b>                                             | Date Effective: <b>March 31, 2016</b>                                                                                    | Section: <b>APP-2</b>                      |
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|---------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|
| 25.6    | Describe the differences between absolute and relative PRS and how these systems could be utilized in together. (Theoretical)                                                           | 1 |
| 25.7    | Describe the process, reasoning, and criteria for the rejection of a PRS. (Theoretical)                                                                                                 | 1 |
| 25.8    | Describe the importance of sensor independence and segregation. (Theoretical)                                                                                                           | 1 |
| 25.9    | Describe the possible results of the loss of a PRS. (Theoretical)                                                                                                                       | 1 |
| 25.10   | Describe the possible sources of disruption to wind sensors (e.g. helicopter operations). (Theoretical)                                                                                 | 1 |
| 25.11   | Describe what factors shall be considered when selected the correct wind sensor. (Theoretical)                                                                                          | 1 |
| 25.12   | Describe Universal Transverse Mercator (UTM) coordinate system, what position reference systems use UTM coordinates, and how these systems are utilized by these systems. (Theoretical) | 1 |
| 25.13   | Demonstrate use of the following (if fitted). (Practical)                                                                                                                               | 2 |
| 25.13.1 | Environmental reference system.                                                                                                                                                         | 2 |
| 25.13.2 | Heading sensor.                                                                                                                                                                         | 2 |
| 25.13.3 | Motion/Vertical Reference Unit.                                                                                                                                                         | 2 |
| 25.14   | Demonstrate use, calibration, and testing of the following (if fitted): (Practical)                                                                                                     | 2 |
| 25.14.1 | Laser-based systems.                                                                                                                                                                    | 2 |
| 25.14.2 | Microwave- and radio-based systems.                                                                                                                                                     | 2 |
| 25.14.3 | Satellite-based reference systems.                                                                                                                                                      | 2 |
| 25.14.4 | Acoustic systems.                                                                                                                                                                       | 2 |
| 25.14.5 | Taut Wire.                                                                                                                                                                              | 2 |
| 25.14.6 | Other PRS as fitted on your vessel (e.g. INS units, gangway reference systems, etc.).                                                                                                   | 2 |
| 25.15   | Demonstrate PRS selection, validation, and prioritization. (Practical)                                                                                                                  | 2 |
| 25.16   | Demonstrate maintaining sensor segregation.                                                                                                                                             | 2 |
| 25.17   | Demonstrate set up (and clean-up after the operation, if applicable) of the PRS, VRU, environment, MRU, and heading sensors equipped on the vessel. (Practical)                         | 2 |
| 25.18   | Demonstrate where information about a predicted degradation of an external reference system (e.g. GNSS) can be found (if fitted). (Practical)                                           | 2 |
| 25.19   | Demonstrate selection of the correct (or optimum) wind sensor based on operation, location, external influences. (Practical)                                                            | 2 |

| Sec. 26 | Power Generation and Marine Auxiliaries                                                                                                                                                                                                 | Phase |
|---------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| 26.1    | Describe the main power generation elements in a diesel electric DP vessel, including main engines, governors and alternators as they relate to DP operations and how redundancy is achieved on DP Class 2 and 3 vessels. (Theoretical) | 1     |
| 26.2    | Describe the main power generation elements in a direct drive diesel engine DP vessel, including gearing and clutch mechanisms and how redundancy is achieved on DP Class 2 and 3 vessels. (Theoretical)                                | 1     |
| 26.3    | Describe the marine auxiliary systems that support power generating plant, including fuel oil, lube oil, cooling water systems and compressed air and how redundancy is achieved on DP Class 2 and 3 vessels. (Theoretical)             | 1     |
| 26.4    | Describe the role of the emergency generator and its relevance to the DP system. (Theoretical)                                                                                                                                          | 1     |
| 26.5    | Describe how problems in engine room or problems with external influences on the power supplies (e.g. fuel sources and types, and fire and gas shutdowns) can affect DP operations. (Theoretical)                                       | 1     |

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| Sec. 27 | Power Distribution                                                                                                                                                                                                                                          | Phase |
|---------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| 27.1    | Describe the essential elements of power distribution in a diesel electric DP vessel, including switchboards, governors, bus-ties, high, medium and low voltage systems and transformers. (Theoretical)                                                     | 1     |
| 27.2    | Describe the importance of maintaining segregation between redundant systems and the impacts of cross connections spanning across redundant groups including open and closed bus ties. Describe principles behind CAM and TAM configurations. (Theoretical) | 1     |
| 27.3    | Describe battery back-up systems and UPS and their importance to the DP system. (Theoretical)                                                                                                                                                               | 1     |
| 27.4    | Describe the procedures, the role of the DPO, and sequence of procedures undertaken after a full or partial blackout. (Theoretical)                                                                                                                         | 1     |
| 27.5    | Describe the purpose behind and reason for the inclusion of a power management system. (Theoretical)                                                                                                                                                        | 1     |
| 27.6    | Describe the vessel's switchboard and bus-tie configurations and which configurations are available under CAM/TAM, FMEA, and/or class requirements. (Theoretical)                                                                                           | 2     |
| 27.7    | Demonstrate how to set up the power distribution system to achieve compliance with CAM and TAM (if applicable). (Practical)                                                                                                                                 | 2     |
| 27.8    | Describe how your vessel's redundancy concept is achieved by your vessel's power distribution arrangement. (Theoretical)                                                                                                                                    | 2     |
| 27.9    | Demonstrate the sequence of procedures undertaken by a DPO after a full or partial blackout. (Practical)                                                                                                                                                    | 3     |

| Sec. 28 | Power Usage and Power Management                                                                                                                                                                                                                                                               | Phase |
|---------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| 28.1    | Describe available power and spinning reserve and how to monitor both. (Theoretical)                                                                                                                                                                                                           | 1     |
| 28.2    | Describe the power available post Worst Case Failure. (Theoretical)                                                                                                                                                                                                                            | 1     |
| 28.3    | Describe the potential impact of non DP related consumers on power available to the DP system and the means of limiting the power consumed by them. (Theoretical)                                                                                                                              | 1     |
| 28.4    | Describe the impact of heading and position on thruster usage and how to determine a working position to maximize thruster efficiency. (Theoretical)                                                                                                                                           | 1     |
| 28.5    | Describe the need or periodic testing of the vessel's power plant and thrusters to ensure these systems have maintained their DP rating. (Theoretical)                                                                                                                                         | 1     |
| 28.6    | Describe the relationship between power usage and the vessel's ASOG. (Theoretical)                                                                                                                                                                                                             | 1     |
| 28.7    | Demonstrate monitoring of power output and percentage of power in use. (Practical)                                                                                                                                                                                                             | 2     |
| 28.8    | Demonstrate an awareness of the percentage of power required to maintain position. (Practical)                                                                                                                                                                                                 | 2     |
| 28.9    | Demonstrate the selection of a working position which maximizes thruster efficiency. (Practical)                                                                                                                                                                                               | 2     |
| 28.10   | Demonstrate competency in monitoring DP operating parameters in accordance with operating mode or planning tools (e.g. CAM, TAM, and/or ASOG) requirements to ensure continuous available power is not exceeded. Identify and implement appropriate actions based on observations. (Practical) | 2     |

| Sec. 29 | Principles of DP                                                                                                                                                                                                           | Phase |
|---------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| 29.1    | Define the term "dynamic positioning". (Theoretical)                                                                                                                                                                       | 1     |
| 29.2    | Describe the six degrees of freedom, the vessel motions associated with the six degrees, the external forces that impact these motions, and the vessel components that measure and/or counter these motions. (Theoretical) | 1     |

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| <b>Sec. 30</b> | <b>Thrusters and Main Propulsion</b>                                                                                                                                                                                                                                   | <b>Phase</b> |
|----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|
| 30.1           | Describe the different types of thrusters used in the DP system and the role of thrusters in the DP system. (Theoretical)                                                                                                                                              | 1            |
| 30.2           | Describe the thruster related items that a DPO should monitor and why they are important. (Theoretical)                                                                                                                                                                | 1            |
| 30.3           | Describe the various failure modes of the different types of thrusters. (Theoretical)                                                                                                                                                                                  | 1            |
| 30.4           | Describe bias mode, its importance, and its effect on DP operations. (Theoretical)                                                                                                                                                                                     | 1            |
| 30.5           | Describe the purpose behind thruster exclusion zones. (Theoretical)                                                                                                                                                                                                    | 1            |
| 30.6           | Describe the configuration of the thrusters on your vessel. (Theoretical)                                                                                                                                                                                              | 2            |
| 30.7           | Demonstrate identification of the various failure modes for all of the thrusters on your vessel. (Practical)                                                                                                                                                           | 2            |
| 30.8           | Demonstrate an understanding of the industrial mission operational requirements which may require deselection of thrusters, the impacts on station-keeping and the processes employed to manage the resulting vulnerability to a station-keeping incident. (Practical) | 2            |
| 30.9           | Demonstrate selection of a working position that optimizes efficient thruster usage. (Practical)                                                                                                                                                                       | 2            |
| 30.10          | Demonstrate the monitoring of thrusters, the ability to modify thruster set up to adapt to changes in environment and/or conditions or new operational requirements. (Practical)                                                                                       | 2            |
| 30.11          | Demonstrate an appropriate response to a thruster's malfunction (e.g. loss of a thruster or thruster-fail-to-full). (Practical)                                                                                                                                        | 3            |

