

Third Party Organization (TPO) Application Job Aid

Company Name:	Location:
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The application must include the following information:

Cat	#	Description	Yes	No
139.115	1	Functions the organization would like to be approved to conduct.		
139.120	a	Description of the organization: a) Ownership b) Structure c) Organizational components <i>(This information may be part of the organizations quality manual or be separate. It should contain an organizational chart and objective evidence that the TPO is independent of owners or managing operators and vessels that it audits or surveys. This may be in the form of a signed statement, findings from an external audit, etc.)</i>		
	b	General description of clients served/intended to be served. <i>(A list of current or past clients, or a list of potential clients based on the services the TPO intends to offer would suffice. This could be in conjunction with (c) below.)</i>		
	c	Description of work performed by organization within last 3 years. a) Amount b) Type <i>(i.e., ISM audits and Load Line surveys. If not currently operating as an established business, a description of the type and size of the operations for which the TPO intends to provide service for and any experience its contingent employees may possess would suffice. This description should also include the geographic region of operations.)</i>		
	d	Objective evidence of an internal quality management system: a) ANSI Q9001 b) ISO 9001 c) Other? (ISO 17021, etc.) <i>(Objective evidence that the organization operates within a quality management system acceptable to the Coast Guard. Subchapter M established ISO 9001-2000 as meeting this requirement, but others</i>		

		<p>may be considered. The current version is 9001:2015. Objective evidence of conformity to earlier versions may be allowed. ISO 17021 is deemed to be an equivalent as certification bodies that meet that standard are required to operate under a quality management system, either 9001 or one outlined in Section 10 of that standard that is more closely aligned with certification bodies. Certification documents issued by accredited third parties and satisfactory external management audit reports by credible external organizations or peers are examples of acceptable objective evidence of meeting this specification. There is no requirement for certification; however, valid certification is prima facie evidence of a functioning, conformant system. Equivalent system requests must be accompanied by an objective justification of the equivalency basis.)</p>		
	e	<p>Organization procedures and documentation: a) Describes process used to perform audits b) Records to show system effectiveness <i>(The quality management procedures for conducting audits and surveys, including their oversight, compliance attainment, and measurement procedures shall be submitted. These procedures may be referenced in future audit procedures by the CG for TPO renewal.)</i></p>		
	f	<p>Copies of checklists, forms or, tools for recording audit and/or survey results. <i>(Copies of all checklists, job aids, forms, etc. shall be submitted for use in activity monitoring and review, and to ensure their scopes match those required by regulation.)</i></p>		
	g	<p>Procedures for appeals and grievances. <i>(Procedures including investigation and reporting. This should include customer complaints, public complaints, self-reporting, whistleblower protection, etc., and integration into the organization's corrective action process.)</i></p>		
	h	<p>Code of ethics applicable to organization and its auditors and/or surveyors.</p>		
	i	<p>List of organizations auditors and/or surveyors that meet prerequisites listed in 139.130. <i>(Could be biographies. Must indicate "exclusive" or "non-exclusive". Must include experience, background, and qualifications for each auditor and surveyor.)</i></p>		

j	<p>Description of means for assuring continued competence of personnel. <i>(TPO internal training program, auditor expectations to maintain at their cost, etc.)</i></p>		
k	<p>Procedures for terminating or removing an auditor and/or surveyor. <i>(To include violations of previously noted ethics violations.)</i></p>		
l	<p>Description of means of assuring availability of personnel: a) Audits b) Surveys c) Emergent situations (i.e. marine casualty follow-up) <i>(A description or procedure for assuring auditor and surveyor availability to serve the TPOs clients. The surveys and audits must take place by the specified dates in regulation, along with other associated oversight work. The TPO must also have sufficient internal and/or external personnel to be able to field scheduled and emergent vessel and management compliance needs – see 46 CFR 137.215(e), 137.325(e) and 138.510(a))</i></p>		
m	<p>Description of apprentice or associate auditor and/or surveyor program. <i>(This could be part of (j) above and should describe how organization auditors and surveyors gain and maintain qualification and experience. For employees it may require a training program of initial course attendance followed by a number of audits, whereas for non-exclusives employees it may be as simple as requiring annual submittal of proof of meeting certification expectations.)</i></p>		
n	<p>Statement agreeing to Coast Guard compliance inspection. <i>(A statement from management or the Organizational Representative that agrees to Coast Guard oversight visits and audit/survey attendance for the purpose of TPO oversight.)</i></p>		
o	<p>Disclosure of potential conflicts of interest. <i>(Includes prior business arrangements, safety or consultation services, common employees, etc. Should be a procedure for avoiding potential conflicts including exclusions from participating in contracts or by certain auditors or surveyors, and procedures to minimize the impacts of unavoidable conflicts.)</i></p>		

	p	Statement disavowing conflicts of interest by auditors and/or surveyors and the organization.		
	q	Additional pertinent information included.		

Auditors

Cat	#	Question	Yes	No
AUD	1	Does auditor possess a High School diploma or equivalent?		
	2	Have 4 yrs experience as Master, Mate, Engineer or other relevant experience? Example: CG Marine Inspector is considered relevant experience.		
	3	Successful completion of ISO 9001:2007 Lead Auditor course or equivalent?		
	4	Successful completion of ISM auditor training course?		
	5	Audit experience as demonstrated by the following: a) Documented experience in auditing ISM (2 mgmt/6 vessels in past 5 yrs) b) Successful apprenticeship completion (1 mgmt/3 vessels under lead auditor)		

Surveyors

SUR	1	Does surveyor possess a High School diploma or equivalent?		
	2	Have 4 yrs experience as Master, Mate, Engineer or other relevant experience? Example: CG Marine Inspector is considered relevant experience.		
	3	Does surveyor hold current accreditation by NAMS, SAMS or other accepted accreditation bureau/society?		

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