

## Third Party Organization Application Job Aid

Company Name:	Location:
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Cat	#	Question	Yes	No
139.115	1	Does the application indicate the functions the organization is seeking approval for?		
139.120	a (r)	<p>Does the application include a description of the organization?</p> <p>a) Ownership b) Structure c) Organizational components</p> <p><i>(This information may be part of the organizations quality manual or be separate. It should contain an organizational chart which clearly establishes roles and responsibilities. Additionally, objective evidence should be provided which demonstrates TPO independence of owners or managing operators as well as the vessels the TPO audits or surveys This may be in the form of a signed statement, findings from an external audit, etc.)</i></p>		
139.120	b	<p>Does the application include a General description of clients served/intended to be served?</p> <p><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></p>		
139.120	c (r)*	<p>Description of work performed by organization within last 3 years?</p> <p>a) Amount b) Type</p> <p><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></p>		
139.120	d (r)	<p>Objective evidence of an internal quality management system?</p> <p>a) ANSI Q9001 b) ISO 9001 c) Other? (ISO 17021, etc.)</p>		

		<p><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 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 systems requests must be accompanied by an objective justification of the equivalency basis.)</i></p>		
139.120	e (r)	<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. Records that show system effectiveness are required by ISO 9001 and will be assessed for TPO renewal.)</i></p>		
139.120	f (r)	<p>Copies of checklists, forms, 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 Forms need to delineate for which purpose they are employed, i.e. either survey or audit, but not a combination of both.)</i></p>		
139.120	g	<p>Procedures for audited organization to appeal audit/grievances?  <i>(Procedures for appeals and grievances, including investigation and reporting. This</i></p>		

		<i>should include customer complaints, public complaints, self-reporting, whistleblower protection, etc., and tie into the organizations corrective action process.)</i>		
139.120	h	Code of ethics applicable to organization and its auditors and surveyors?		
139.120	i (r)	List of organizations auditors and /or surveyors that meet prerequisites? <i>(Prerequisites are listed in 139.130. A biography may accompany objective evidence of the requirements of 139.130 for clarification of qualifications. Must be indicated as “exclusive” or “non-exclusive”.)</i>		
139.120	j (r)	Description of means for assuring continued auditor competency? <i>(TPO internal training program, auditor expectations to maintain at their cost, etc.)</i>		
139.120	k	Procedures for terminating or removing an auditor? <i>(To include violations of previously noted ethics violations.)</i>		
139.120	l	Description of means of assuring availability of personnel? <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, and the TPO should have sufficient internal and/or external personnel to be able to field scheduled and emergent vessel and management compliance needs.)</i>		
139.120	m	Description of apprentice or associate auditor program? <i>(This could be part of (l) above, and should describe how organization auditors and surveyors gain and maintain qualification and experience. For internal employees it may require a training program of initial course attendance followed by a number of audits, whereas for non-exclusives it may be as simple as requiring annual submittal of proof of meeting certification expectations.)</i>		

139.120	n (r)	Statement agreeing to Coast Guard compliance inspection? <i>(A signed 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>		
139.120	o	Potential conflicts of interest disclosure submitted? <i>(Includes prior business arrangements, safety or consultation services, common employees, etc. There should be a procedure for avoiding potential conflicts, possibly including exclusions from participating in some contracts by the organization or by certain auditors or surveyors, and procedures to minimize the impacts of unavoidable conflicts.)</i>		
139.120	p	Statement avowing conflicts of interest by auditors and the organization?		
139.120	q	Additional pertinent information included?		

Notes:

(c)\* - only required for those TPOs that did not issue a TSMS certificate during initial approval period.

(r) - items required for TPO approval renewal.

