



# **International Standard for maritime Pilot Organizations**

## **The Code**



AMENDMENT PAGE

Revision	Date	Details	Initials Authors	Initials Checked by	Initials Approved by
0	29.01.97	final report of ISPO feasibility study	MMD	CAJ	TEW
0	17.06.98	Discussion draft document for ISPO project team	JCvH/MMD/H WT/ PdB/HD	MMD/ TEW	HWT
1	10.07.98	Discussion draft document for ISPO project team	JCvH/MMD/H WT/ PdB/HD	MMD	HWT
2	25.09.98	final draft for ISPO project team	JCvH/MMD/H WT/PdB/HD	MMD	HWT
3	13.10.98	Update, fine tune ISPO. Issued for Comment IMPA congress Shanghai, People Republic of China	JCvH/RWS/H WT/ PdB/HD	MMD/CAJ	HWT
4	11.05.99	Update, fine tune ISPO. Issued for Comment ISPO Task force	JCvH/RWS/H WT/ PdB/HD	RWS/ CAJ	HWT
5	05.04.00	Update, fine tune ISPO Issued for Comment IMPA congress Honolulu Hawaii	JCvH/RWS/T hvdH/ HWT	CAJ/AdD	HWT
6	01.09.06	Update, fine tune ISPO issued for the first meeting of the International Users Group (IUG)	HVD	JFH/AdD/ CH	EvD
7	16.06.09	Update, revise and fine tune as a proposal for the IUG meeting in Amsterdam.	H. vd Lugt B. Dockx M.J. vd Hoek	G. Devis	IUG
8	17.06.09	Amendment after comments during the IUG meeting.	H. vd Lugt B. Dockx M.J. vd Hoek	G. Devis	IUG
8.1	08.12.11	Small amendment to page III, regarding the IUG membership.	H. vd Lugt B. Dockx M.J. vd Hoek	E. van Dijk	IUG
9	20.03.13	Update, revise and fine tune as a proposal for the IUG meeting in Trinidad.	H. vd Lugt B. Dockx H.B.W. Broers H.W. Tabak M.J. vd Hoek	E. van Dijk	IUG
10	02.10.14	Revise chapter 11. Update definitions. Small amendment to page III, regarding the IUG membership.	H. vd Lugt B. Dockx C. Kline M.J. vd Hoek	E. van Dijk	IUG
11	18.11.15	Revision of paragraph 1.5.1 - ISPO Configuration. Small amendment to paragraph 4.1.2	H. vd Lugt B. Dockx C. Kline S. Linssen M. Mihaylova L. Bailey	J.W. Bentinck	IUG
12	20.10.21	Revision ISPO code	Board	J.W. Bentinck	IUG
13	12.10.23	Amendment to foreword regarding framework Code. Chapter 2, added definition 'site'.	Board	M. Easton	IUG



### FOREWORD

The last decades have seen a substantial increase in maritime legislation and regulations. By means of applying tacit acceptance procedures at IMO, amendments to international conventions have been introduced on a yearly basis. Several severe shipping accidents have resulted in a number of additional mandatory requirements. However, the need to limit new legislation in favor of enforcing existing requirements has been recognized by IMO. This has been documented in IMO Resolution A.500 (XII) stating the objectives of the Organization that *“the Council and the Committees entertain proposal for new conventions or amendments to existing proposals only on the basis of clear and well-documented demonstration of compelling need having regard to the costs to the maritime industry and the burden of the legislative and administrative resources of Member States.”*

Also the European Committee favors maritime related industry self-regulation, as is mentioned in “The Maritime Industry Charter on Quality”, in which representatives of international maritime and maritime related industries recognized *“the contributory effects of industry self-regulation through voluntary codes of best practice and guidelines”* and they agreed to subscribe that *“industry associations shall reflect their principles stated in any Charter and/or Code of conduct and shall encourage their members to observe these principles at all times.”*

Industry self-regulation has been heralded as a necessary and welcome addition or even replacement for the traditional compliance and survey-based systems. However, the term self-regulation has to be more clearly defined. In other industries, self-regulation has been used as a means of preventing implementation of governmental regulations to achieve the same result.

Self-regulation by a branch organization on behalf of its members can be beneficial and implemented in two parts:

- Self-regulation of the whole branch or of sections of the services to encourage uniform standards;
- An independent external audit system to check the management systems put in place in accordance with maritime standards and industrial company requirements.

For this reason, the International Standard for Maritime Pilot Organizations (ISPO Code) was set up. This Code encompasses features that can help an individual maritime pilot organization to be consistent in meeting its users’ and/or customers’ requirements. It does not impose something totally new. Management systems are about evaluating how and why activities or processes are done and about recording the results to show that they are done as intended. A well-run organization does not need to change any of its working practices to meet this Code.

It is expected that users and/or customers of pilot services in both private and public sectors will be given confidence by the fact that a maritime pilot organization has a management system certified by an independent external certification organization.

Meeting these expectations is one reason for having a management system, but there are other reasons that are just as important, such as:

- Improvement and quality of efficient services and port safety;
- Promoting safety for clients, pilots and pilot support organizations;
- Insurance advantage;
- Benefiting from the problems experienced and reported by others;
- Elevating the standard of maritime pilot services within the maritime industry.

The ISPO Code is primarily intended to be implemented in a pilot organization as a primary management system with quality, training and safety as essential keystones. ISPO is built on the basis of an open structure, which means that each pilot organization has the opportunity and liberty (whether necessary or desired) to further supplement ISPO or to combine with other more specific standards and/or voluntary standards.

The responsibility for the standard lies with the International Users Group of ISPO-certified organizations (IUG).



The IUG is responsible for:

- Maintenance and further development of the Code;
- Communication between ISPO-certified organizations and informing ISPO-certified organizations and other interested parties with regard to:
  - The contents of the Code and all supporting documents;
  - The recognition of classification societies;
  - ISPO certification in general.
- Supporting potential members and other interested parties in relation to the implementation of the Code;
- Recognition and authorization of classification societies as independent bodies for ISPO certification;
- Administration of certificates;
  - Certified organizations and authorized classification societies.

ISPO-certified Pilot Organizations may indicate whether they want to be a participating member of the IUG. The IUG board decides on the membership after consultation of the members.



TABLE OF CONTENTS

**FOREWORD** ..... 3

**1 Introduction** ..... 7

    1.1 General ..... 7

    1.2 Scope ..... 7

    1.3 Application ..... 8

    1.4 Certification ..... 8

    1.5 ISPO Configuration ..... 9

**2 Definitions** ..... 10

**3 Functional Requirements ISPO Management System** ..... 12

**4 Documentation Requirements ISPO Management System** ..... 13

    4.1 General ..... 13

    4.2 Management Manual Requirements ..... 13

    4.3 Control of Documents ..... 13

    4.4 Control of Records ..... 13

**5 Management Responsibility** ..... 14

    5.1 General ..... 14

    5.2 Role of the Maritime Pilot ..... 14

    5.3 Designated Person ..... 14

**6 Recruitment, Training & Qualification** ..... 15

    6.1 General ..... 15

    6.2 Medical Fitness of Maritime Pilots ..... 15

    6.3 Training, Qualification and Certification of Maritime Pilots - General ..... 16

**7 Pilot Operations** ..... 17

    7.1 The Maritime Pilot ..... 17

    7.2 Communications ..... 17

    7.3 Passage Planning ..... 17

    7.4 Vessel Traffic Service (VTS) / Vessel Traffic Management (VTM) ..... 17

    7.5 Portable Pilot Unit (PPU) ..... 18

    7.6 Embarking and Disembarking ..... 18

**8 Logistic Operations** ..... 19

    8.1 General ..... 19

    8.2 Pilot Scheduling ..... 19

    8.3 Transport Operations ..... 19

**9 Emergency Preparedness** ..... 20

    9.1 Pilot Operations ..... 20

    9.2 Transport Operations ..... 20



<b>10 Customer Related Processes .....</b>	<b>21</b>
10.1 General .....	21
10.2 New Services or Changing Existing Services .....	21
10.3 Control of Monitoring and Measuring .....	21
10.4 Customer Communication .....	21
<b>11 Risk, Incident and Accident Management .....</b>	<b>22</b>
11.1 General .....	22
11.2 Risk Management .....	22
11.3 Incidents, Accidents and Risk Events .....	22
<b>12 Measurement, Analyses and Improvement .....</b>	<b>23</b>
12.1 General .....	23
12.2 Internal Audits .....	23
12.3 Analysis .....	23
12.4 Continuous Improvement .....	23
12.5 Management Review .....	24



### 1 INTRODUCTION

#### 1.1 General

- 1.1.1 The basis for the International Standard for maritime Pilot Organizations (ISPO) are the applicable Conventions, Resolutions and Recommendations of the International Maritime Organization (IMO). These are the Standards of Training Certification and Watchkeeping (STCW) Convention, the Safety of Life at Sea (SOLAS) Convention, the International Safety Management (ISM) Code), as well as the guidelines and recommendations issued by the International Maritime Pilots' Association (IMPA) and the European Maritime Pilots' Associations (EMPA).
- 1.1.2 Each designated area where maritime pilotage is executed requires an individual interpretation of the ISPO. That is why each item in the ISPO has to be assigned to the party concerned in accordance with national and/or regional rules, regulations, customs and traditions.
- 1.1.3 ISPO recognizes that:
- No two maritime pilot organizations are the same and that pilotage services in port and fairway areas operate under a wide range of different conditions;
  - Examples of maritime pilot organizations may include a Competent Authority, a Captain of the Port (COTP), a Harbor Master, a VTS and/or VTM Authority, a Pilots' Association, and a Coastguard and Pilot Commission. Pilot organizations may operate either independently or as an agency or a service of the Competent Authority;
  - The expression 'maritime pilot organization' is used to indicate the party responsible for ISPO compliance. This party must ensure that the implementation of each applicable ISPO item is not in conflict with national and/or regional rules, regulations, customs and traditions. It also has to satisfy the authorized external auditor that each applicable ISPO item has been covered;
  - Interpretations of the ISPO should always respect the individual and autonomous status of the maritime pilot as defined in national and/or regional rules and regulations. ISPO does not exercise control of or place responsibility for the acts of individual maritime pilots on board vessels under pilotage on the maritime pilot organization.

#### 1.2 Scope

- 1.2.1 The objectives of the ISPO are:
- To ensure that the activities of maritime pilot organization are administered with the aim to provide a quality service with due regard for the safety of human life and the avoidance of damage to the environment and property;
  - To encompass existing good practice;
  - To provide a recognizable framework for international application that can be audited.
- 1.2.2 The management objectives of the ISPO are:
- To assess risk to property, the environment, ships, personnel and operations, and to establish appropriate safeguards;
  - To continuously improve safety management practices within maritime pilot organizations;
  - To provide an organizational structure, procedures, processes and resources needed to administer the activities of maritime pilot organizations;
  - To continuously improve quality management practices by keeping records to verify that the procedures are being followed;
  - To continuously improve the quality of the service;
  - To determine and implement effective arrangements for communication with customers.
- 1.2.3 The ISPO management system ensures:
- Compliance with mandatory local, national and international rules and regulations;
  - That relevant guidelines and standards recommended by recognized maritime industry organizations are taken into account;
  - That relevant and recognized customs and traditions are also taken into account.



### 1.3 Application

- 1.3.1 The requirements of the ISPO are of a general nature and applicable to every maritime pilot organization irrespective of its size and organizational structure.
- 1.3.2 If, due to the nature of a regional maritime pilot organization and its services, any of the ISPO requirements do not apply, they can be considered for exemption.
- 1.3.3 Where one or more exemptions are made, claims of conformity to the ISPO are not acceptable, unless these exemptions do not affect the organization's ability or responsibility to provide services that meet customer and applicable regulatory requirements. These exemptions will be subject to the approval of the classification society.

### 1.4 Certification

- 1.4.1 Each maritime pilot organization that complies with the requirements of the ISPO will be issued an 'ISPO Certificate of Compliance' (ICC).

The ICC is issued after verification that the ISPO management system of the organization complies with the requirements of the ISPO and after verification of satisfactorily completion and determination of objective evidence proving that ISPO has been effectively implemented.

The ICC is issued for a maximum period of five years.

The ICC is issued by an independent external auditing (third party audit) organization or association that has been recognized and authorized by the International Users Group.

- 1.4.2 Periodical audits are to be carried out once a year. All sites need to have been visited during the five-yearly cycle of validity of the certificate.

The certificate will be withdrawn in case of non-compliance with the requirements specified in the ISPO. Non-compliance issues may include:

- Situations where periodical verification has not been requested;
- Evidence of a major non-conformity with the requirements specified by the ISPO;
- Evidence of a non-conformity with the requirements specified by the ISPO and absence of evidence of any corrective action being implemented before the next audit.

- 1.4.3 The ICC can be withdrawn by the same certifying organization that issued the certificate.

- 1.4.4 Recognized Organizations.

All organizations and associations recognized and authorized by the IUG to issue an "ISPO Certificate of Compliance" (ICC) must have:

- Suitably qualified and experienced personnel;
- A Quality System Certification Scheme (QSCS) to set, monitor and maintain uniformity and consistency of internal operations.





### 1.5 ISPO Configuration

#### 1.5.1 The ISPO comprises:

- ISPO Code.  
The ISPO Code, when adopted by the pilot organization, contains mandatory provisions for a minimum standard for full compliance with the ISPO.
  
- ISPO Control Manual.  
The ISPO Control Manual contains the procedures to determine if an individual maritime pilot organization qualifies for verification and certification of its management system and whether this system is in accordance with the ISPO. The ISPO Control Manual also informs about the role of the recognized and authorized classification society.

The ISPO Control Manual provides guidance to the classification societies for auditing and certification and to the ISPO International Users Group for maintenance of the current Code.

## 2 DEFINITIONS

The definitions applicable to the ISPO Code:

- *Accident* is an undesired event giving rise to death, ill health, injury, damage or other loss;
- *Competent Authority* means the national, regional or local administration that, by law or tradition, is responsible for the organization and regulation of pilotage services;
- *Competent Pilotage Authority* means either national or regional governments or local groups or organizations that, by law or tradition, administer or provide a pilotage system;
- *Customer* is the entity which uses the pilotage services of a pilot organization including its customers and primary stakeholders that rely on the quality of the pilotage services.
- *Incident* is an event that gives rise to an accident or had the potential to lead to an accident.
- *International Standard for maritime Pilot Organizations (ISPO Code)* is a Code for maritime pilot organizations.
- *ISPO Certificate of Compliance* is a document issued by an organization or association authorized by the International Users Group of ISPO-certified organizations (IUG), which states that the Maritime pilot organization complies with the requirements of the ISPO.
- *ISPO Management System* means a management system with the following characteristics:
  - It is developed by the pilot organization and addresses all the elements of the ISPO standard;
  - It has an organizational structure and includes procedures, processes and resources essential for the implementation of safety, occupational health, security and environmental protection practices as well as for delivering a quality service;
- *Maritime Pilot* is either a deep-sea pilot or another maritime pilot authorized by the competent authority to carry out pilotage services in a designated area and holding appropriate documentation issued by the competent authority;
- *Maritime Pilotage Instructor* means a qualified maritime pilot authorized by the maritime pilot organization to act as a lecturer or instructor;
- *Minimum Entry Level* means the minimum requirements for the education, certification and experience of the applicant for maritime pilot;
- *Pilot Organization* as used in this document is an organization, association, or person as determined by national rules and regulations, or by tradition or custom, that provides maritime pilotage services and/or support to these services;
- *Pilot Service Suspended* means a situation where the pilot cannot embark or disembark a vessel at the normal boarding position due to meteorological or extraordinary circumstances. Shore Based pilotage (SBP) is a means to assist the vessel in proceeding to/from an alternative boarding position;
- *Pilotage Passage* means the transit of a vessel through a navigational area, during which the master of the ship is being assisted with the safe navigation of his ship by a maritime pilot;
- *Pilotage Services* means services to ships offered by a maritime pilot. Such services include but are not restricted to:
  - Deep-sea pilotage;
  - Coastal pilotage;
  - Sea pilotage (from sea to the port or vice versa);
  - Shore-based pilotage;
  - River, canal, docking and harbor pilotage.
- *Policy statement* list the policies of the maritime pilot organization to meet safety, environmental protection and quality required by all stakeholders;
- *Portable Pilot Unit (PPU)* can be generally described as a portable, computer-based system that a pilot brings on board a vessel to use as a decision-support tool for navigating in confined waters;  
A PPU operates independent of the ship's navigation and computer systems, providing information, navigation and/or docking functionalities and is used by a maritime pilot, to support the decision-making process and improve safety and efficiency of the pilotage passage and the ship handling process in confined pilotage waters;

- Risk Event means an incident which exceeds the planned safety margin, increasing the risk of an accident. It is an incident which, under the competent authority's regulations, does not require reporting and does not involve actual damage or stakeholder complaint. Risk Event includes hazardous occurrences;
- Shore Based Pilotage (SBP) means an act of pilotage carried out in a designated area by a maritime pilot licensed for that area to conduct the safe navigation of that vessel from a position other than on board the vessel concerned;
- Site is where a pilot organization performs work or from which a service is provided on a continuing basis.
- Stakeholder is any individual, group or party that has an interest in a company and can either affect or be affected by the outcomes of its actions. The primary stakeholders in a typical Pilotage Company and/or Pilotage Organization are the Port Authority, Terminal Operators, Shipping Agents, Towage Service Providers, Line Handling Service Providers, Ship Owners, and Masters.
- Supporting Maritime Pilot means an additional maritime pilot on board the vessel under pilotage, whose responsibility is to provide support to the maritime pilot during a pilotage passage.
- Vessel Traffic Management (VTM) is a functional framework of harmonized arrangements, measures and services supporting the collaboration between stakeholders within the maritime domain, to enhance safety, security, and efficiency of shipping and the protection of the marine environment in all navigable waters.
- Vessel Traffic Services (VTS) means a service implemented by a competent authority designated to improve the safety and efficiency of vessel traffic and to protect the environment.
- VTS/VTM Authority means the authority responsible for the management, operation and co-ordination of vessel traffic services, the interaction with participating vessels and the safe and effective provision of the service.



### 3 FUNCTIONAL REQUIREMENTS ISPO MANAGEMENT SYSTEM

Every ISPO certified maritime pilot organization develops, implements and maintains an ISPO management system which includes the following minimum functional requirements:

- A policy statement, reflecting the commitment of the management of the maritime pilot organization to meet safety, environmental protection, and quality required by customers. Policy statements are subject to review at regular intervals to ensure that they remain effective.
- Identification of the processes needed for the management system, including sustainability and environmental protection aspects, and their application throughout the organization;
- Instructions and procedures to ensure safe practice while providing pilotage services and support to these services;
- Communication procedures between and amongst shore operations and shipboard personnel;
- Procedures for reporting non-conformities, accidents and risk events that may jeopardize the management system;
- Procedures to ensure that all maritime pilots under its management are qualified, certified and medically fit;
- Compliance with local, national and international regulations where applicable;
- Procedures for internal verification, review, analysis and evaluation.



#### 4 DOCUMENTATION REQUIREMENTS ISPO MANAGEMENT SYSTEM

##### 4.1 General

- 4.1.1 The maritime pilot organization establishes and maintains procedures to control all documents and records (either paper or digital) relevant to the management system.
- 4.1.2 The documentation of the ISPO management system includes:
- Written statements of a policy and its objectives;
  - Procedures and registrations of records required by this Code;
  - Documents, including the necessary registration of records, needed by the organization to ensure the effective planning, operation and control of its processes;
  - A management manual.
- 4.1.3 The maritime pilot organization ensures that:
- Valid documents are available at all relevant locations and brought to the attention of all persons concerned with the ISPO management system;
  - Changes in documents are reviewed and approved by authorized personnel;
  - Outdated documents are promptly removed.
- 4.1.4 Documentation is kept in a way considered most effective by the maritime pilot organization.

##### 4.2 Management Manual Requirements

- 4.2.1 The ISPO management system documentation includes a management manual with the following information:
- The issue and scope of the ISPO management system which includes the exemptions (if applicable) and the justification for these exemptions;
  - All procedures or references to these procedures affecting the ISPO management system of the pilot organization;
  - A description of the interaction between the processes that are part of the ISPO management system of the pilot organization.

##### 4.3 Control of Documents

- 4.3.1 Documents required by the ISPO management system are controlled by procedures to:
- Approve documents for adequacy before publication;
  - Ensure that changes in documents are identified and registered;
  - Ensure that relevant versions are used and that unintended use of outdated documents is prevented;
  - Ensure that documents of external origin are identified and distributed;
  - Review and update documents if necessary.

##### 4.4 Control of Records

- 4.4.1 A procedure is established to define the controls needed for the identification, storage, retrieval and disposition of records
- 4.4.2 Records are established and kept to provide evidence of conformity to requirements and to effective operation of the ISPO management system.



### 5 MANAGEMENT RESPONSIBILITY

#### 5.1 General

- 5.1.1 The maritime pilot organization defines and documents the responsibility, authority and interrelation of all personnel who manage, perform and verify work relating to pilotage services and the support to these services.
- 5.1.2 The maritime pilot organization reviews the ISPO management system in line with paragraph 12.5.
- 5.1.3 The maritime pilot organization ensures that the policies under chapter 3 are implemented and maintained at all levels of the organization.
- 5.1.4 The maritime pilot organization establishes and maintains a procedure to identify and have access to legal requirements that are applicable to quality aspects of its services.
- 5.1.5 The maritime pilot organization is responsible for ensuring that adequate resources are provided to enable the designated person (see paragraph 5.3) to perform their function.
- 5.1.6 The maritime pilot organization establishes resources to support individual pilots to cope with post-traumatic stress.

#### 5.2 Role of the Maritime Pilot

- 5.2.1 The maritime pilot organization defines the role of the maritime pilot in relation to the management system.
- 5.2.2 The maritime pilot organization defines the maritime pilot's individual responsibility and accountability with regard to:
- Implementing the safety, environmental protection and quality policy of the pilot organization;
  - Proper professional behavior while providing pilotage services;
  - Compliance with the policies and procedures established by the maritime pilot organization.

#### 5.3 Designated Person

- 5.3.1 In order to ensure that the ISPO management system fulfils its objectives, the maritime pilot organization appoints a designated person whose duty is to monitor the safety, environmental protection and quality aspects of the system.
- 5.3.2 The designated person must be able to act independently from any part of the pilot organization.
- 5.3.3 The designated person must be experienced in the aspects of pilotage services and the support to these services and must be fully conversant with the ISPO management system of the pilot organization.
- 5.3.4 The designated person must have the independence and authority to report on the performance of the ISPO management system to the senior management of the maritime pilot organization.
- 5.3.5 The designated person's proposals and recommendations must be properly considered by the senior management. Any action recommended by the designated person cannot be dismissed or delayed without justification.



## 6 RECRUITMENT, TRAINING & QUALIFICATION

### 6.1 General

- 6.1.1 The maritime pilot organization:
- Determines and documents the competency requirements of personnel who perform work affecting safety and quality of the services provided;
  - Takes the necessary actions to ensure that the required competencies are achieved and maintained at all times;
  - Evaluates the effectiveness of the actions taken;
  - Ensures that its personnel are aware of the relevance and importance of their activities and of how they contribute to the achievement of the safety and quality objectives;
  - Keeps appropriate records of education, training, skills and experience.
  - Considers the results of audits and of analyses of non-conformities, incidents, accidents and risk events, and of other information to enhance the training of personnel.
- 6.1.2 The maritime pilot organization ensures that all personnel involved in the organization's ISPO management system have an adequate understanding of all relevant rules, codes, regulations and guidelines.
- 6.1.3 The maritime pilot organization establishes and maintains procedures for identifying any training that may be required in support of the ISPO management system and ensures that such training is provided for all personnel concerned.
- 6.1.4 The maritime pilot organization establishes a recruiting procedure by defining the minimum requirements for applicants in accordance with the management system of the maritime pilot organization and with relevant local and national requirements to ensure that candidates for the job of maritime pilots possess the capabilities to carry out the work of a maritime pilot.
- 6.1.5 The maritime pilot organization ensures that all maritime pilots under its management are qualified and certified to perform their work in accordance with their ISPO management system as well as with local, national and international requirements where applicable.

### 6.2 Medical Fitness of Maritime Pilots

- 6.2.1 The maritime pilot organization ensures that all maritime pilots under its management are medically fit to perform their work in accordance with their management system.
- 6.2.2 All maritime pilots and candidates are at least required to meet the medical fitness standards of health as required for officers in charge of a navigational watch under the latest version of the Standards of Training, Certification and Watchkeeping Convention 1978. However, where local, national, or international requirements are more stringent, then the provisions of such requirements will prevail.
- 6.2.3 The pilot organization ensures, so far as practicable, that its pilots are fit to carry out their pilotage services safely and effectively in accordance, at least, with local, national and international requirements. This includes the requirement that all prescription items related to physical fitness, including vision and hearing aids that are necessary to comply with the Pilotage Act, are carried by the pilots along with spares



#### 6.3 Training, Qualification and Certification of Maritime Pilots - General

- 6.3.1 The maritime pilot organization is at least required to establish and maintain an adequate training program in accordance with the latest recommendations of the IMO for maritime pilots.
- 6.3.2 The maritime pilot organization ensures that all maritime pilots under its management are properly trained and qualified in accordance with its ISPO management system as well as with local, national and international requirements where applicable.
- 6.3.3 Where a maritime pilot organization already exists, part of the practical training of apprentice pilots will be carried out on vessels under pilotage by maritime pilots licensed for the area concerned for which the apprentice will be licensed.
- 6.3.4 The maritime pilot organization keeps records of all pilot certificates and/or licenses. If applicable, the following applies to these documents:
- They are issued by or on the advice of the pilot organization;
  - They state the designated area(s) they cover, including ship types, dimensions, etc.;
  - They provide information on the length and on the conditions of their validity;
  - Procedures are in place for extension or renewal of their validity.
- 6.3.5 The issuing body for the pilot certificates and/or licenses will be designated in accordance with national or local rules and regulations, agreements, traditions or customs.
- 6.3.6 The pilot organization establishes proficiency training not only to keep abreast of future changes due to technological developments, but also to update the knowledge of maritime pilots. To ensure the continued proficiency of maritime pilots, the maritime pilot organization sees to it:
- That all maritime pilots under its management continue to maintain their required level of competency in compliance with the organization's ISPO management system;
  - That relevant programs in compliance with rules and regulations support the updating of knowledge and skills of maritime pilots;
  - That a maximum absence period is determined per designated area in which a maritime pilot performs pilotage services;
  - That refresher programs must be in place in the event that the absence has exceeded the maximum period.
- 6.3.7 The maritime pilot organization establishes and maintains a system for the administration and/or registration of the maritime pilots which includes at least the following information:
- General information;
  - Records of pilotage service (experience and qualifications);
  - Training records;
  - Medical fitness.
- 6.3.8 The maritime pilot organization establishes and maintains an identification system for its maritime pilots.



## 7 PILOT OPERATIONS

### 7.1 The Maritime Pilot

- 7.1.1 The maritime pilot undertakes actions to perform his services at a high level of safety and quality and, consequently, creates the necessary conditions for education, training, medical fitness and communication with the bridge team.

### 7.2 Communications

- 7.2.1 The pilot organization establishes procedures to verify that proper communication between the vessel's master or his representative, the maritime pilot, the VTS/VTM authority and port and/or fairway related services is being maintained prior to and during the pilotage passage. The lines of communication between other interested parties are also defined.
- 7.2.2 The maritime pilot organization endeavors to be part of a consultation process with port authorities and stakeholders to discuss the maritime pilot services related to the pilotage district in their entirety.

### 7.3 Passage Planning

- 7.3.1 The pilot organization establishes procedures for the preparation, planning and execution of the pilotage passage with due consideration to local, national and international requirements and local best practice.
- 7.3.2 Information exchange between the maritime pilot organization and the maritime pilot should be conducted in such a way that sufficient preparation and planning of the pilotage passage can be established before commencing the act of pilotage.
- 7.3.3 Before commencing the act of pilotage, a detailed information exchange should take place between the master and/or bridge team and the maritime pilot.
- 7.3.4 During the execution of the pilotage passage, the pilotage passage plan should be reviewed and updated and the master and/or bridge team and all other parties involved should be informed accordingly.
- 7.3.5 The maritime pilot organization must instruct the maritime pilot that any hand-over procedure between maritime pilots during the pilotage passage takes place on the bridge of the vessel concerned and that this procedure must be clearly defined and unambiguous. The above hand-over procedure does not apply when the ship is safely moored, for example in a lock or alongside a berth.
- 7.3.6 The maritime pilot organization must establish procedures between the maritime pilot and any supporting maritime pilot as to define responsibility, authority, tasks and aspects of communication. It must always be clear to the master which pilot is the maritime pilot and which is the supporting maritime pilot.

### 7.4 Vessel Traffic Service (VTS) / Vessel Traffic Management (VTM)

- 7.4.1 Where a VTS/VTM system is established, the pilot organization verifies that proper communication between the pilot organization, the maritime pilot and the VTS/VTM authority is maintained during the execution of pilotage services and that all formal agreements between the pilot organization and the VTS/VTM authority are documented in the management system.
- 7.4.2 The pilot organization verifies that any system for communication between the pilot organization, the maritime pilot and the VTS/VTM authority used during the pilotage passage is properly

organized when data is transferred between the VTS/VTM and the vessel under pilotage to support the pilotage service.

### 7.5 Portable Pilot Unit (PPU)

- 7.5.1 If PPU systems are used, the pilot organization establishes and maintains procedures for the safe usage of these systems in accordance with local, national and international guidelines and recommendations and common practice.
- 7.5.2 As technological innovations will embrace PPU technology with new functionalities and implications, care must be given that relevant industry standards are taken into account and are complied with. It is of great importance that pilot organizations recognize that PPU systems should only be used as an aid to the maritime pilot and should not lead to a weakening of the traditional skills of the maritime pilots or to paying little attention to common practices. Attention must be given to this possible innovation in the training program for maritime pilots.
- 7.5.3 Where a PPU is used during a pilotage passage, a training program should be established to ensure that maritime pilots are trained, qualified and/or certified in its use.
- 7.5.4 The pilot organization establishes and maintains procedures for PPUs with the following aims:
- To ensure that checks for maintenance, repairs, testing, up-dating of hard and software and/or data take place;
  - To create a planned maintenance system for periodic and scheduled maintenance checks with logs of usage and faults/failures.

### 7.6 Embarking and Disembarking

- 7.6.1 The pilot organization establishes and maintains procedures for the safe embarking and disembarking of maritime pilots, in accordance with local, national and international regulations and recommendations.
- 7.6.2 The pilot organization establishes procedures for the reporting of any vessel equipped with a non-compliant boarding arrangement.

## 8 LOGISTIC OPERATIONS

### 8.1 General

- 8.1.1 The pilot organization establishes and maintains a system for logistic operations for maritime pilots that includes:
- Pilot scheduling;
  - Pilot transport.

The system can be an integral part of the pilot organization or a separate entity working for the pilot organization.

### 8.2 Pilot Scheduling

- 8.2.1 For the purpose of managing fatigue, alertness and the endurance to work as a pilot, the pilot organization:
- Maintains rules or instructions to ensure that the maritime pilot will not be required to be on duty for an excessive number of hours;
  - Establishes a monitoring system for working hours to identify deviations from the regular work time and to supervise rules or instructions;
  - Ensures that all maritime pilots work under conditions in accordance with local, national or international rules and regulations; and
  - Sets up a system that allows maritime pilots to be released from duty before their work ability is impaired by fatigue.

### 8.3 Transport Operations

- 8.3.1 The pilot organization ensures that all transport services used in support of the pilotage services comply with applicable local, national and international rules and regulations, as well as with the maritime pilot organization's management system.
- 8.3.2 The pilot organization ensures that all transport services supporting the pilotage services are provided with adequate quality and act with due regard to safety of human life and avoidance of damage to the environment and property.
- 8.3.3 The pilot organization ensures that any separate organization(s) providing transport services for maritime pilots, have established procedures, plans and instructions to cover the safe operation of the transport carrier and the personnel on board, as well as to cover the prevention of pollution.
- 8.3.4 The pilot organization ensures that organizations providing the transport services have clearly defined the responsibility, authority and interrelation on board every means of transport. It is the maritime pilot organization's responsibility to ensure best practice is maintained by all personnel involved in their system for logistic operations for maritime pilots.



## 9 EMERGENCY PREPAREDNESS

### 9.1 Pilot Operations

- 9.1.1 The pilot organization establishes and maintains procedures for responding to potential emergency situations related to the pilotage passage.
- 9.1.2 The emergency procedures are consistent with any existing port and/or fairway procedures.
- 9.1.3 The pilot organization provides measures to ensure the well-being of its pilots after having been exposed to a hazard, accident or emergency situation.

### 9.2 Transport Operations

- 9.2.1 The pilot organization ensures that procedures and permissions are in place to enable a rapid and effective response to potential emergencies involving transport operations.
- 9.2.2 The pilot organization ensures that programs for drills and exercises to prepare for emergency actions involving transport operations are in place and executed.
- 9.2.3 The pilot organization sees to it that third parties involved in transport operations have procedures to respond promptly to hazards, accidents and emergency situations, including situations that may affect their continuity of service.



## 10 CUSTOMER RELATED PROCESSES

### 10.1 General

10.1.1 The pilot organization determines the following:

- Requirements specified by the customer;
- Requirements not stated by the customer but necessary for specified services;
- Statutory and regulatory requirements related to the services;
- Additional requirements determined by the pilot organization.

10.1.2 The pilot organization reviews the requirements related to the services. This is done prior to the organization's commitment to supply services to the customer and ensures that the organization has the ability to meet the defined requirements.

10.1.3 Records are kept of the results of the review and of actions arising from the review.

### 10.2 New Services or Changing Existing Services

10.2.1 If new services are planned or existing services are changed, the pilot organization will collaborate with the customer to assess their feasibility and will identify any new requirements.

### 10.3 Control of Monitoring and Measuring

10.3.1 As one of the measurements on the performance of the management system, the organization monitors information relating to customer perception as to whether the organization has met and will continue to meet customer requirements. The organization will determine the methods for obtaining and using this information.

### 10.4 Customer Communication

10.4.1 The pilot organization determines and implements effective arrangements for communicating with customers in relation to:

- Service information;
- Enquiries and arrangements in relation to services;
- Customer feedback (complaints and perception).

10.4.2 The pilot organization sets up a procedure to handle customer feedback (complaints and perception).



### 11 RISK, INCIDENT AND ACCIDENT MANAGEMENT

#### 11.1 General

11.1.1 The pilot organization maintains a system to continuously identify, manage and mitigate risks.

11.1.2 The management supports actions to reduce identified risks, potential new risks or consequences of incidents, accidents and risk events.

#### 11.2 Risk Management

11.2.1 The scope for safety and risk assessments is determined by the management. Risk management strategies should be defined and implemented and be based on:

- Regional circumstances;
- Responsibilities, authority and tasks of the regional pilot organization.

The pilot organization maintains a documented system to ensure that risks are identified, analyzed and evaluated and, if required, controls are put in place to reduce the identified risk.

The management ensures that controls are communicated and that their effectiveness is reviewed.

11.2.2 If new services are planned, or existing services are planned to be changed, the pilot organization will determine, if appropriate, the following:

- The resources needed to provide the service;
- The risk mitigation requirements;
- The need to establish new processes or to change existing processes;
- The records needed to provide evidence that the requirements have been met;
- The additional training and education needed to deliver these new services.

Furthermore, the pilot organization ensures that relevant documents are amended and that personnel involved are made aware of and prepared to meet the changed requirements before acceptance.

11.2.3 The management of the pilot organization ensures that the results of risk assessments are used in their own decision-making processes. Risks identified in a field which lies outside the competent authority of the pilot organization are communicated to the appropriate authority or stakeholder.

#### 11.3 Incidents, Accidents and Risk Events

11.3.1 The pilot organization maintains a documented system to ensure that incidents, accidents and risk events are reported, analyzed and investigated. Risk treatments and/or corrective actions are implemented whenever necessary and practicable. The process should improve safety margins and reduce risk of reoccurrence.

11.3.2 Investigations have to identify the root cause of an incident, accident or risk event.

11.3.3 Risk treatments and/or corrective actions are communicated and their effectiveness reviewed.



## 12 MEASUREMENT, ANALYSES AND IMPROVEMENT

### 12.1 General

- 12.1.1 The pilot organization establishes and maintains procedures to ensure that non-conformities, incidents, accidents, risk events and complaints are reported, investigated and analyzed in conformity with the objective of improving the management system.
- 12.1.2 The senior management of the pilot organization periodically evaluates the ISPO management system and, if necessary, reviews the management system in accordance with the findings of these evaluations.
- 12.1.3 The initial results of the assessments will first be brought to the attention of the personnel responsible for the area assessed to enable constructive comment; after that, any corrective measures can be considered for implementation.

### 12.2 Internal Audits

- 12.2.1 The organization conducts internal audits at intervals not exceeding twelve months to determine whether:
- The management system conforms to the planned arrangements, to the requirements of this Code, and to the management system requirements established by the organization;
  - The management system is effectively implemented and maintained.

In exceptional circumstances, the interval of twelve months may be exceeded by not more than three months.

- 12.2.2 When an audit program is planned, the status and importance of the processes, the pilot areas to be audited, as well as the results of previous audits must be taken into consideration. It is essential that audit criteria, scope, frequency and methods are defined. Selection of auditors and the conduct of the audits must ensure the objectivity and impartiality of the audit process. Auditors may not audit their own work.
- 12.2.3 The maritime pilot organization ensures that internal auditors are competent and qualified. Internal auditors must be independent of the area, department or activity being audited, unless this is impractical due to the size and nature of the pilot organization concerned.

Responsibilities and requirements for planning and conducting audits and for reporting results and keeping records have been defined in a procedure.

- 12.2.4 The management responsible for the area being audited ensures that actions to eliminate detected non-conformities and their causes are taken without undue delay. Follow-up activities include the verification of the actions taken and the reporting of verification results.

### 12.3 Analysis

- 12.3.1 The pilot organization has a system for recording, investigating, evaluating, reviewing and analyzing reports in order that appropriate action to achieve improvement of its management system can be taken.

### 12.4 Continuous Improvement

- 12.4.1 The organization continually improves the effectiveness of the management system through the use of policies, objectives, audit results, analyses of data, corrective and preventive actions and management review.



#### 12.5 Management Review

12.5.1 The pilot organization conducts management reviews at intervals as established in the ISPO management system.

12.5.2 The management reviews are based on:

- Analyses of incidents, accidents and risk events;
- Non-conformities and audit findings;
- Customer feedback (complaints and perception);
- Recommendations for updating the management system as a result of changes in the organization's business environment, new regulations or changes in social and environmental attitudes.

12.5.3 The pilot organization ensures that all records derived from the management review, such as findings, conclusions, recommendations and action plans are documented and kept.