



International Standard for maritime Pilot Organizations

Control Manual

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International Standard for maritime Pilot Organizations

AMENDMENT PAGE

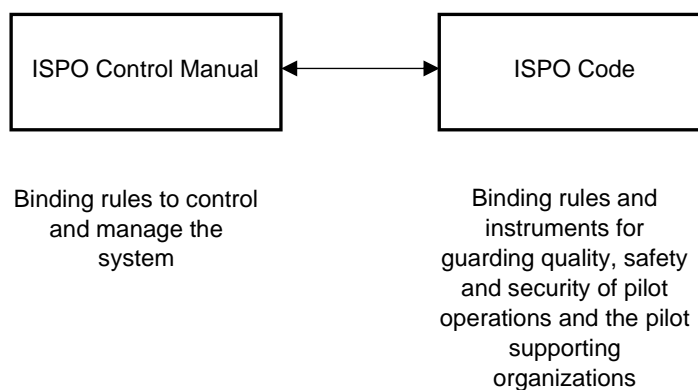
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INTRODUCTION

This document 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 and with the role of the recognized and authorized classification society.

Part of this management and control manual is about the procedures for maintenance of the ISPO Code in general. All safety and quality standards are subject to revision and revalidation. The aim is to improve the total quality development of the ISPO on a global level. Modifications or adjustments to the standard must be implemented according to the procedures described in this document.



The ISPO is intended as a voluntary standard and as such fulfils self-regulation of the IUG and the individual maritime pilot organization.



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1 DEFINITIONS

The definitions applicable to the ISPO Control Manual:

- Administrator is designated by the Board on the responsibility of the Chairman for the administration of the IUG activities; the Administrator represents the IUG and is an advisor to all Associates.
- Associate is a member of the IUG.
- Head office is the site that is responsible for and centrally controls the single management system.
- International Users Group of ISPO-certified Organizations (IUG) is the body which is responsible for the ISPO on behalf of the ISPO-certified pilot organizations.
- IUG Board is a group of elected members responsible for management and conduct of the IUG.
- IUG Chairman is appointed by means of a binding proposal by the Meeting of Associates.
- Multi-site certification is a certification of an organization with multiple sites-under one certificate.
- Multi-site Pilot Organization is an organization of at least two sites covered by a single management system comprising an identified head office.
- Site is where a pilot organization performs work or from which a service is provided on a continuing basis.

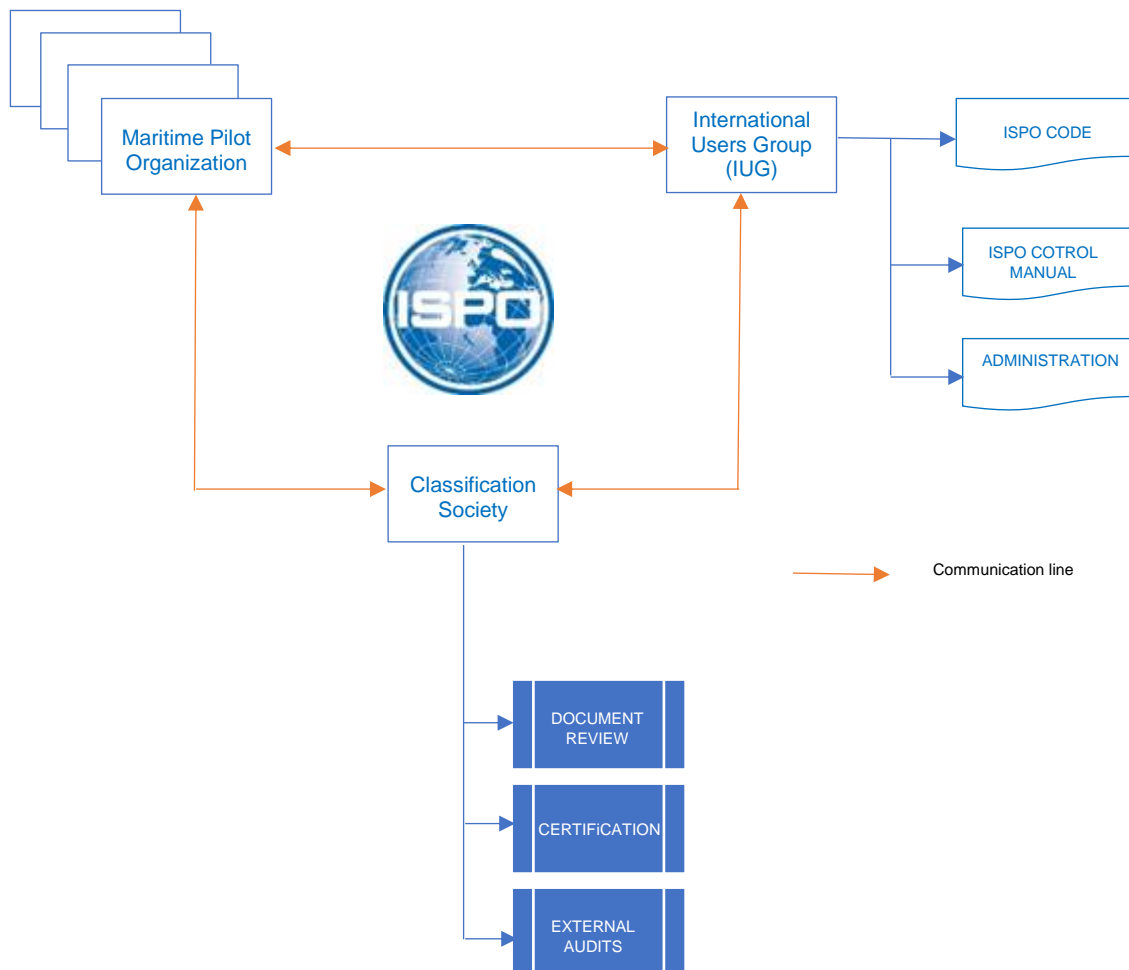


2 ORGANIZATION

2.1 General

The implementation of the standard is the responsibility of each individual maritime pilot organization. The securing of the system, however, is the responsibility of the IUG. The standard has to be maintained and improved and/or developed, when necessary, by monitoring legislation and regulations as well as scientific developments and technical trends according to best practice of maritime pilot organizations.

A third party is needed to ensure the quality of the system.





2.2 The International Users Group (IUG)

2.2.1. The IUG is responsible for:

- Maintenance and further development of the standard;
- Communication between ISPO-certified organizations and the provision of information to ISPO-certified organizations and other interested parties on the following:
 - The contents of the standard and all supporting documents;
 - The recognition of classification societies;
 - ISPO certification in general;
 - Support to potential members and other interested parties in relation to the implementation of the standard;
- Recognition and authorization of classification societies as independent bodies for ISPO certification;
- Administration of certificates, of certified organizations and of authorized classification societies.

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

After receiving an application for membership, the Administrator of the IUG will consult the IUG members with, if possible, an advice on the membership by the IUG board.

If all the members vote positively on the membership, the administrator will immediately invite the new organization to become a member. Members voting against the membership must inform the IUG board of the reason(s) why after which the IUG board will take the final decision on the membership.

The IUG may advise the individual maritime pilot organization in the selection of a classification society that is on the official list of IUG approved classification societies.

The IUG is authorized to perform an audit of the classification society (second-party audit) against the requirements of the ISPO Control Manual par. 2.4

Individual maritime pilot organizations can lodge complaints about their classification society with the IUG.

2.3 Individual Maritime Pilot Organization

2.3.1. In advance of the actual verification and certification, it is essential for a maritime pilot organization to have all aspects of the ISPO management system in place and running for a minimum of three months during which period the system can be monitored while in operation and its strengths and weaknesses can be identified and, if necessary, rectified.

2.3.2. External auditors do not operate on the principle of "what is going to happen". They want to see "what has happened". That is why the maritime pilot organization must have the relevant and documented records to demonstrate that the ISPO management system is operational, effective and in full compliance with the ISPO.

When the ISPO management system meets the above-mentioned requirements, the maritime pilot organization can make a formal application to a classification society recognized and authorized by the IUG. The application includes a description of the exact activities of the pilotage service (the scope) and any other information requested.



- 2.3.3. The individual maritime pilot organization is responsible for the following:
- To inform relevant employees about the objectives and scope of the audit;
 - To appoint responsible members of staff;
 - To appoint a person to accompany the auditors;
 - To provide the resources needed by external auditors to ensure an effective and efficient verification process;
 - To grant the external auditor access to its office facilities and local branch offices as required and provide assistance to the external auditor.

2.4 The Classification Society

- 2.4.1. ISPO verification, certification and registration must be carried out by a classification society recognized by the IUG.
- 2.4.2 Before a classification society can be assigned by a maritime pilot organization, the classification society must request from the IUG to be put on the official list of IUG approved classification societies.
- 2.4.3 Prior to being added to this list, the classification society must demonstrate it has:
- Sufficient knowledge of the ISPO;
 - Sufficient knowledge with regard to pilotage services in confined and/or compulsory pilotage waters, and knowledge of port operations;
 - Valid IACS membership;
 - Records of qualified external auditors.
- 2.4.4 It is the responsibility of the classification society to provide competent auditor(s). The minimum qualifications for an auditor are:
- A qualification as a Marine Management Systems auditor as per IACS PR10 or as a IRCA Lead Auditor as mandatory for ISO Certification Scheme Auditors with a ship management specific authorization;
 - An STCW 78 (as amended) maritime management level qualification and a minimum of at least one year in a senior position on board a vessel, or proof of relevant experience in and knowledge of the maritime industry as deemed acceptable by the Board;
 - Thorough knowledge of the ISPO.



3 THE CERTIFICATION PROCESS

3.1 Initial Verification

The initial verification for issuing the ISPO certificate of compliance (ICC) to a maritime pilot organization consists of the following steps:

- Document review;
- Implementation audit.

3.1.1. Document Review:

In order to verify that the management system and relevant documentation comply with the requirements of the ISPO and with applicable rules and regulations, the auditor must review the management manual.

If this review reveals that the system is not compliant with the ISPO requirements, the audit may have to be postponed until the organization has undertaken corrective action. Amendments made to the system documentation to correct deficiencies identified during this review may be verified remotely or during the subsequent implementation audit.

3.1.2. Implementation Audit:

The aim of this audit is to verify the effective functioning of the management system and to check objective evidence that the organization's management system in the whole organization has been in operation for at least three months.

Prior to the certification, the company must have carried out internal audits for the whole organization in accordance with the procedures; a management review must have been conducted after the internal audits.

3.2 General

3.2.1. Each ISPO certificate of compliance offers a scope of the pilotage services, indicating the activities involved and including an appendix sheet which mentions the various offices (if applicable) of the maritime pilot organization covered by the certificate.

3.2.2. All relevant documentation (those of the maritime pilot organization and of the classification society) relating to the certification process has to be identified as such and must be maintained up to date and ready for use for future audits.

3.2.3. Individual classification societies will supply their own standard format quotations and contracts for ISPO certification, if applicable.

3.2.4. The ISPO certificate of compliance is subject to the classification society's numbering scheme and must have an additional IUG number. This IUG numbering is given to specific certifications of compliance. This IUG number must be applied for by both the individual maritime pilot organization and the classification society.

3.2.5. The ISPO certificate of compliance must have the international ISPO logo.



3.3 ISPO Certification

- 3.3.1. The ISPO certificate of compliance will be issued by the classification society if no major-NCNs have been reported. The layout of the ISPO certificate, which must be determined by the IUG, has been attached as Appendix 1 to this Control Manual.
- 3.3.2. All issued ISPO certificates of compliance will be allocated a unique number by the IUG. The classification society will add a supplementary ICC number. Any additional pages attached must also carry the certificate number.
- 3.3.3. The validity of the ISPO certificate of compliance is five years minus one day from the date when the audit was completed.
- 3.3.4. The classification society will send the original of the ISPO certificate of compliance to the maritime pilot organization. The classification society will keep a certified copy for itself and send another certified copy to the IUG.



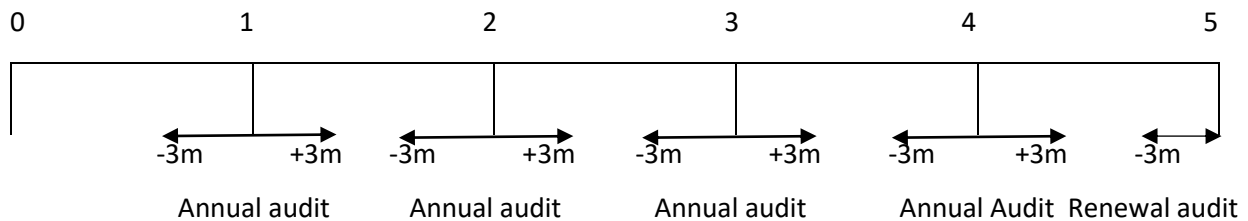
4 DOCUMENTATION AND CONTROL

4.1 Periodical Verification

4.1.1. Surveillance audits must be carried out to maintain the validity of the ISPO certificate. The purpose of these audits is:

- To verify the effective functioning of the ISPO management system;
- To verify that possible modifications of the management system comply with the ISPO requirements;
- To verify that any required corrective action has been implemented;

4.1.2. *In the 5-yearly cycle, the validity of the ISPO Certificate of Compliance (ICC) should be subject to annual verification to demonstrate that the management system remains effectively implemented within three months before or after the anniversary date.*



4.1.3. A renewal verification of the ISPO certificate of compliance must be carried out from three months before the expiry date of the certificate. The renewal verification must be carried out in accordance with the principles for initial verification given in paragraph 3.1. A document review must be part of the renewal verification if the organization's management system has undergone modifications.

4.2 System changes

4.2.1. Any major modification to ISPO management system of the maritime pilot organization affecting the validity of the ISPO certificate of compliance must be reported to the classification society. The classification society will then decide whether the certificate(s) remain(s) valid, informing the individual maritime pilot organization of this in writing and stating the reasons for the decision.

4.2.2. Classification societies must immediately report any changes of validity of ISPO certificates of compliance to the IUG.

4.2.3. All parties are responsible for ensuring that they use the latest revision version of all documents.

4.3 Monitoring the Classification Society

4.3.1. The IUG must be allowed (access) to monitor audits of individual maritime pilot organizations carried out by the classification society (third-party audit) and/or by any external party (second-party audit). This can be done at the request of either the individual maritime pilot organization, the IUG or the classification society.

The classification society carrying out the audit will report the audit results to the individual maritime pilot organization.



- 4.3.2. The following is the minimum information required to be supplied to enable a quotation to be given:
- Full name, address and contact details of the maritime pilot organization;
 - Size of the operations including all relevant activities (scope of the pilotage service), personnel, location of offices and/or local branch offices;
 - Details and voyage frequencies related to the pilotage routes in confined and/or restricted pilotage waters and types of operations undertaken.
- 4.3.3. All activities of the individual maritime pilot organization must be detailed in writing and discussed between the organization and the classification society. The exact scope, including the pilotage area, must also be formulated.
- 4.3.4. The certification of a maritime pilot organization should be subject of the written contract between the classification society and the maritime pilot organization.

4.4 Take Over

- 4.4.1. When one classification society is taking over an existing ISPO certificate of compliance from another classification society, the date of validity of the reissued certificate must be that of the certificate originally issued.
- 4.4.2. The certification can only be taken over if there are no outstanding major non-conformities and only after this has been confirmed by the original classification society.
- 4.4.3. All classification societies must be recognized by the IUG in order to carry out independent external third-party audits of individual maritime pilot organizations.



5 ISPO MANAGEMENT AUDITS

5.1 Preparing the Audit

Prior to, or at the opening meeting of the audit, the auditor must produce an audit plan in cooperation with the organization. This audit plan includes:

- Identification of the individuals / functions having significant direct responsibilities regarding the ISPO;
- Identification of the auditor;
- Identification of the organizational units to be audited;
- Time, date and place of the audit;
- The schedule of meetings to be held with the management of the organization.

5.2 Conducting the Audit

5.2.1. The audit commences with an opening meeting covering at least the following items:

- Introduction of the auditor(s);
- Explanation of the scope and objective of the audit;
- Description of the audit method to be employed including details of the sampling method and use of audit trails;
- Explanation of the reporting method including the use and grading of non-conformity notes, and of the audit log and observations;
- Confirmation that resources, documentation and facilities are available;
- Confidentiality explained;
- Agreement of the audit plan;
- Date and time of the closing meeting.

5.2.2. During the audit, the auditor must at least:

- Verify the effective functioning of the management system;
- Review any changes to the management system;
- Review any outstanding non-conformities of the organization and verify corrective actions taken;
- Review the previous audit report;
- Review the internal audits and associated corrective actions, including verification that audits have been performed within required time scales;
- Review the organization's evaluation of the continued effectiveness of the management system;
- Review the organization's system for reporting, investigation and analysis of non-conformities, accidents and risk events and the associated corrective and preventive actions
- Review the use of the ISPO logo (periodic and after renewal only);
- Address any specific national and/or international requirements.

5.2.3. A closing meeting with the client takes place at which the findings of the audit are summarized. The closing meeting includes:

- Restatement of the audit scope and objective;
- Statement explaining audit limitations, such as that the audit is based on a sampling method and that if no non-conformities have been reported this not necessarily means that none exist;
- A summary of the findings, thus ensuring that the client is aware of any non-conformities, major non-conformities and observations.



5.3 Audit Reports

- 5.3.1. The results of the audit must be reported in the audit report. The report must be accurate and complete, reflecting the content of the audit, including at least the following items:
- Date of completion of the audit and submission of the audit report;
 - The scope of the audit;
 - Details of the audit plan, such as the auditors' names, organization's representatives, and lists of all organizational units audited, all major non-conformities, non-conformities, and observations
- 5.3.2. The audit report must be submitted to the organization and the organization must maintain audit report records of all audits.
- 5.3.3. At the end of each audit, the date of the next audit must be agreed between the maritime pilot organization and the certification society. The agreed date must be mentioned in the audit report.

5.4 Major Non-Conformities, Non-Conformities and Observations

- 5.4.1. When a classification society performs an ISPO third-party audit, three gradations of non-conformities with regard to the ISPO may exist.
- Gradation 1: Major Non-Conformity:
- 5.4.2. The absence of elements of the ISPO or lack of effective and systematic implementation of a requirement of the ISPO evidenced by either a single incident or a combination of a number of similar incidents.
- Gradation 2: Non-Conformity:
An isolated incident or an observed situation where objective evidence indicates the non-fulfilment of a specified requirement of the ISPO.
 - Gradation 3: Observation:
A statement of fact made during an ISPO audit and substantiated by objective evidence.
- 5.4.3. Non-conformities determined by an external auditor must be corrected within an agreed time limit or at least before the next surveillance audit takes place. The IUG can, on request of the individual local maritime pilot organization concerned, monitor a third-party audit.

5.5 Withdrawal of the Certification

- 5.5.1. Under the following circumstances the ISPO certificate of compliance will be withdrawn:
- If a major non-conformity is raised at a periodical verification audit and if this major non-conformity has not been satisfactorily solved when reviewed at an additional verification audit within the agreed maximum time limit of three months.
 - If the contract between the maritime pilot organization and the classification society is cancelled (no take-over).
- 5.5.2. If the certification is withdrawn, the classification society must inform the IUG of the action taken. This must be done in writing to the IUG administrator.
- 5.5.3. When the certificate is withdrawn, the individual maritime pilot organization can no longer claim to be ISPO certified and to be in the possession of an ISPO certificate of compliance. The classification society will request the individual maritime pilot organization to return the ISPO certificate of compliance and the maritime pilot organization will lose the IUG membership.



6 QUOTATIONS OF CONTRACT

6.1 General

- 6.1.1. Each ISPO contract between a maritime pilot organization and a classification society must contain a specification of man-day rates, travel arrangements and cancellation arrangements.
- 6.1.2. It is the responsibility of both the individual maritime pilot organization and the classification society to define the scope of the pilot services (activities and pilotage areas). The agreed scope must be written in the appropriate section of the ISPO certificate.
- 6.1.3. The scope of the ISPO certification must include logistic operations for maritime pilots if these operations are part of the activities performed. Each transportation mode of the logistic operations should be audited once every two years.
- 6.1.4. If the ISM (International Safety Management) Code applies, the transportation mode is excluded from ISPO third-party audits only if valid documents and safety management certificates are in place - which must be verified.
- 6.1.5. Where a maritime pilot organization chooses to outsource any processes that affect service requirements, such as logistical transportation services or invoicing, the organization must ensure control over such processes. The type and extent of control to be applied to these outsourced processes has to be defined within the ISPO management system.
- 6.1.6. The scope of the ISPO certification must include all other technical nautical services (tugs, mooring services, helmsman, etc.) provided by the maritime pilot organization concerned.
- 6.1.7. The scope of the ISPO certification must be used for the third-party audit. If discrepancy occurs by doubling of tasks within the different activities described in the scope, priority should be given to the highest qualification or capacity.

6.2 Multi-site certification

- 6.2.1 If a pilot organization consists of several sites, it can, under certain conditions, be regarded as a multi-site pilot organization and can choose to have all its sites certified on one multi-site certificate.
- 6.2.2 To be eligible for multi-site certification, the multi-site pilot organization must meet at least the following conditions:
 - The pilot services offered at the various sites are substantially of the same nature and are achieved using virtually the same methods and procedures.
 - The multi-site pilot organization must have a single management system which must be subject to a centralized management review.
 - The multi-site pilot organization must appoint a head office.
 - Legal or contractual evidence must be available to prove that all the included sites are indeed part of the same "multi-site organization" and are linked with the head office.
 - The head office has the necessary operational authority to define, establish and maintain the single management system.
 - All sites must be subject to the multi-site pilot organization's internal audit program.



- The head office must be responsible for ensuring that data is collected and analyzed from all sites and, if necessary, initiate organizational changes as required with respect to (but not limited to):
 - system documentation and system changes;
 - management review;
 - complaints;
 - evaluations of corrective actions;
 - internal audit planning and evaluation of the results;
 - statutory and regulatory requirements pertaining to the applicable standard(s).
- Findings found at one location apply to all locations. In the event of findings, the investigation into the cause of the finding must be investigated at all sites to see whether it has any relevance for these sites.

6.3 Audit Man-days

6.3.1. The following matrix gives an indication of the minimum amount of man-days needed for the initial certification audit, including document review, always with a minimum of two days:

		Number of pilotage voyages per year							
		1 - 5.000	5.001 - 10.000	10.001 - 15.000	15.001 - 30.000	30.001 - 60.000	60.001 - 120.000	120.001 - 240.000	240.001 - 480.000
Number of pilots	1 - 5	2							
	6 - 10	2	2						
	11 - 15	2	2	2					
	16 - 30	2	2	2	3				
	31 - 60		3	3	4	5			
	61 - 120			4	5	6	7		
	121 - 240				6	7	9	11	
	241 - 480					9	11	13	15
	481 - 960						13	15	17

- 6.3.2. The minimum amount of man-days can be reduced by 33 percent if the pilot organization is also ISO certified by the same classification society. The result of the calculation should be rounded up and the minimum amount of man-days as mentioned in paragraphs 6.2.1, 6.2.3 and 6.2.4 must be respected.
- 6.3.3. The minimum amount of man-days needed for the annual periodical audits is 33 percent of the amount calculated in paragraph 6.2.1, with a minimum of one day. The result of the calculation should be rounded up.
- 6.3.4. The minimum amount of man-days needed for the renewal audits is 66 percent of the amount calculated in paragraph 6.2.1, with a minimum of one day. The result of the calculation should be rounded up.
- 6.3.5. The classification society must ensure that full coverage of the total scope of pilot services of the individual maritime pilot organization is taken into account for determining conformity or non-conformity with the ISPO requirements. The independent external third-party audit must ensure that the assessment is based on determining the effectiveness of the management system in meeting the ISPO requirements.



7 MAINTENANCE OF THE ISPO

7.1 General

- 7.1.1. The ISPO Code and ISPO Control Manual must be reviewed at least once every five years to keep the ISPO up to date with legislation and regulations, with scientific developments and technical trends, and with best practice of maritime pilot organizations.

For such a review, a working group must be appointed by the board of the IUG.

- 7.1.2. If the working group or another party wishes to propose any modifications or adjustments to the ISPO Code and the ISPO Control Manual, they will have to follow the procedure in the next paragraph.

7.2 Process of Modifications and Adjustments

- 7.2.1. Proposals for modifications or adjustments must be sent to the administrator of the IUG in writing or digitally.

Proposals can only be submitted by:

- An individual maritime pilot organization and member of the IUG;
- The working group reviewing the ISPO;
- The board of the IUG;
- A classification society;
- A competent authority.

- 7.2.2. The administrator of the IUG will:

- Notify the proposer that he has received the proposal;
- Send the proposal to the members of the IUG board;
- Put the proposal on the agenda for the next meeting of the IUG board.

- 7.2.3. The proposal will be discussed at the next IUG board meeting. The board of the IUG can reject or accept the proposal or, after discussion, accept an amended proposal.

- 7.2.4. Following the meeting of the IUG board, the administrator of the IUG will:

- Notify the proposer that the IUG board has accepted or rejected the proposal, or that it has accepted an amended version of the proposal;
- Implement the accepted proposal in the appropriate part(s) of the ISPO;
- Make a new (updated) version of the amended part(s) of the ISPO available to:
 - The members of the IUG;
 - The classification societies on the official list of the IUG approved classification societies;
 - Other interested parties.



8 COMPLAINTS

8.1 General

If a maritime pilot organization is not satisfied by the services provided by the classification society, it can send a formal complaint in writing to the IUG administrator. The IUG administrator will take up contact with the classification society. If no solution can be obtained, the IUG board will investigate the complaint and, if necessary, take action.

8.2 Responsibilities

- Each classification society is responsible for dealing with complaints against members of its own staff or against their own classification society;
- The IUG administrator is responsible for receiving complaints and passing them on to the classification society and for sending responses back to the relevant individual maritime pilot organization;
- The IUG administrator is responsible for directing any complaints to the IUG board;
- The individual maritime pilot organizations are individually responsible for providing any information requested by the classification society or by a member of the classification society to enable investigations into complaints to be carried out;
- Individual maritime pilot organizations are responsible for directing any complaints to the IUG.



APPENDIX, LAY-OUT OF ISPO CERTIFICATE OF COMPLIANCE



ISPO CERTIFICATE OF COMPLIANCE

Certificate Number :
Certification Organization Number :

This is to certify that the ISPO Management System of :

has been audited, and that it complies with the requirements of the International Standard for maritime Pilot Organizations

The following activities are carried out by the above maritime pilot organization and are included in the scope of the certification:

- Pilotage - deep draft;
- Pilotage - sea;
- Pilotage - deep sea;
- Pilotage - river and inland waterways;
- Pilotage - harbor and docking, pilotage;
- Pilotage - special transports;
- Pilotage - general sea, river, harbor;
- Pilotage - specific pilotage areas;
- Pilotage - shore based pilotage (SBP);
- Vessel Traffic Management (VTM)
- Logistical Transportation - tender (including high speed);
- Logistical Transportation - pilot cutter;
- Logistical Transportation - helicopter;
- Berthing Support - linesmen;
- Berthing Support - tugboat assistance;

Above activities are carried out in the pilotage area(s) as formulated below:

This certificate of compliance is valid until ... , subject to periodical verification.

Place of issue :

Date of issue :

Completion date of the audit on which this certificate is based