IAATO Yacht Checklist

**for Observer**

**Dockside Yacht Observation – Part 1**

Thank you for agreeing to participate as an IAATO Observer. The checklist has been designed as a useful tool to facilitate confirmation of whether obligations set forth by IAATO and the Antarctic Treaty System are being met. Please refer to the “Observer Handbook” for additional guidance for completing this checklist.

Observation Timeline:

* Assignment of vessel and Observer
* Set up voyage where observation will be done
* Vessel / company should send all pre-trip documents to the observer as if they were a joining as a passenger
* Conduct the Observation with the crew and vessel. Plan for the observation to take a few hours
* Complete the form within 3 weeks of the observation, if you do have questions after the review, feel free to follow up with the operator
* Send or email the completed form to both IAATO and the observed company. This gives the company an opportunity to review the document and respond.

**Please submit by email to**: [**jhaase@iaato.org**](mailto:jhaase@iaato.org), cc’ing**:** [**akean@iaato.org**](http://akean@iaato.org)

**Voyage Dates (embarkation and disembarkation):**

**Observer’s Name**:

**Date of Report**:

**Name of Vessel**:

**Name of Tour Operator/Organizer**:

**Voyage sub-chartered to (if applicable)**:

**Name of Skipper/ Expedition Leader:**

**Actual Itinerary/Expedition Travelled:** Please attach the Post Visit Site Report that was completed within two weeks of the conclusion of the expedition.

# **Voyage Preparation and Documentation**

## Please select which documents you were provided as “Passenger” pre-trip material prior to your observation:

* General Guidelines for Visitors ATCM XLVI (2024) Resolution 2 General Guidelines for Visitors to the Antarctic *or* Visitor Guidelines (1994 - Recommendation XVIII-1) (FOM Section 07 - Overarching Guidelines)
* IAATO Don’t Pack a Pest (FOM Section 07 - Biosecurity Guidelines)
* Reducing Visitor Waste Guidelines (FOM Section 19)
* Expedition Cruising to Antarctica (FOM Section 19)
* Medical form (FOM Section 03 – ‘IAATO Sample Medical Questionnaire’)
* Clothing/equipment list

## Please list and explain any other documentation you were provided prior to the trip

## How did the above pre-departure material explain that conditions can be severe and inhospitable and point out the necessity for suitable clothing? (FOM Section 06 – IAATO Mandatory Briefing)

## Did the material for the clients advise that sophisticated medical care is unavailable in the Antarctic and were passengers encouraged to take out medical and evacuation insurance prior to their trip? (FOM Section 05 – ‘ATCM Resolution 4 Guidelines’)

## Was the home office or yacht crew efficient to work with and forthcoming with documentation?

## Were you provided with the same preparatory materials as all the guests were? Did they arrive in a timely fashion so you could adequately check the preparation of the voyage?

## Please explain the type of voyage and activities you observed during your observation (traditional landings, ski trip, mountaineering, science, photographers, etc.)

# **Antarctic Treaty and Domestic Legislation** [(https://www.ats.aq/e/tourism.html)](https://www.ats.aq/e/tourism.html)

## **Compliance with Domestic Legislation**

### Please Select which permit / authorization documents the Operator has for the season / departure:

* Advance Notification
* Environmental Impact Assessment (EIA), usually either at the Initial Environmental Evaluation (IEE) or PEE (Preliminary Environmental Evaluation) level
* Permit(s) to enter Antarctic Specially Protected Areas (ASPAs), if appropriate
* Waste Management Permit, if appropriate
* Other, if appropriate. Please explain below.

### Please list the country and government department for each permit or authorization granted.

## **Compliance with Operator’s Advance Notification and EIA**

(FOM Section 07 – Area & Site Specific Guidelines –General Useful Information – ‘ATCM Rec XVIII-1 Organizer Guidelines’)

### Were copies of the Advance Notification and Environmental Impact Assessment (EIA or IEE) on board and found in an easily accessible location?

### What was the level of familiarity amongst relevant officers, expedition leaders and staff with the content of the EIA or IEE? Please indicate who was responsible for which sections (e.g., environmental aspects of ship’s operation, education component for passengers, reporting, etc.).

### Did you note any deviations/discrepancies to the operator’s EIA or IEE and/or authorization? If so, please describe.

## **Compliance with Management Plans**

### Was there an intention to visit any ASMAs (e.g., Deception Island or Maxwell Bay) or historic sites visited (e.g., Port Lockroy, Damoy Hut, or Wordie House)? And if so which ones? (FOM Section 07 – Area & Site Specific Guidelines – Full Set of ASPA and ASMA Management Plans)

### Could the operator locate the relevant management plans or historic site documents (FOM Section 07 – Area & Site Specific Guidelines – General Useful Information – ‘ATCM List of Historic Sites & Monuments’) in the IAATO Field Operations Manual? How well were relevant management plans understood?

### Was there an intention to enter any Antarctic Specially Protected Areas (ASPAs)? If so, which ones and why? Did the operator have the required permit(s)? (FOM Section 07 – Area & Site Specific Guidelines – Full Set of ASPA and ASMA Management Plans)

### Could the crew explain what ASPAs are and where to find documentation in the IAATO Field Operations Manual? (FOM Section 07 – Area & Site Specific Guidelines – Full Set of ASPA and ASMA Management Plans)

## **Compliance with ATCM Recommendation XVIII-1**

## (FOM Section 07 – Area & Site Specific Guidelines – General Useful Information)

### The ATCM document - *Guidance for those Organising and Conducting Tourism and Non-governmental Activities in the Antarctic* (Recommendation XVIII-1 - adopted at the Antarctic Treaty Meeting, Kyoto, 1994) and ATCM XLVI (2024) Resolution 2 General Guidelines for Visitors to the Antarctic outlines obligations when organizing activities in Antarctica. According to your initial review of their permitting documents, were all activities conducted in accordance to this document?

## **Compliance with Standard Procedures for Station Visits**

(FOM Section 07 – Area & Site Specific Guidelines – Research Stations)

### Were Antarctic Research Stations visited?

### Are the crew aware of the desirability to give 72-hour advance notice to research stations and how does the vessel usually communicate with stations?

### Was the vessel providing any support by transporting scientists, etc.? If so, please detail.

# **Vessel Operation**

## **General**

### Please list the Skipper and Crew and all relevant Antarctic Experience:

### Did at least 80% of the staff have relevant experience and 50% of whom have previous experience in Antarctica?

### Did the vessel participate in the IAATO vessel tracking scheme (RedPort) and report hourly? (FOM Section 08 – ‘IAATO Vessel Tracking Scheme’)

### If not, do they have another tracking system or online map?

### Will they report their position at regular intervals to an MRCC? If so, to which MRCC, how often, and by what means of communication?

### Describe the navigational charts used onboard - Which charting authority charts were being used (e.g., UKHO, Chile HO, etc.), were they using paper or electronic?

### How did the vessel obtain ice information?

### How does the vessel receive weather?

### Polar Water Certificate # (if applicable):

## **Safety and Contingency Planning**

### Did one of the crew conduct for you a mock comprehensive briefing on safety issues, including the mandatory life raft/safety dirll, with a provision for the translation for non-English speaking participants?

### What measures are in place to ensure self-sufficient operations? In general, would you say that there was awareness of the principle of self-sufficiency and that there appeared to be sound contingency planning in place?

### Have the crew talk through how they would perform a medivac if required during a trip.

### Was the skipper/crew familiar with IAATO’s Medical Evacuation Response Plan (EMER), and was there a copy on board?

### Please describe the medical capabilities explain the medical qualifications of personnel onboard and any external resources.

### What onboard drills are scheduled? Do these include regular damage control scenarios related to ice damage with control measures that considered the implications of cold weather environments?

### Have the crew / skipper explain a recent drill held onboard. Please provide details on the process of the drill.

## **Oil Spill Prevention**

(FOM Section 05 – IAATO Emergency Contingency Plan)

### Please list location and capacity of fuel tanks, as well as fuel types and quantity used while the vessel operated in the Treaty Area. Was there any deck storage of fuel? Does this match what is listed in the EIA and/or authorization?

### What spill response materials and equipment (SOPEP Kit) were readily available on board? Show location of SOPEP Kit and check that the Kit contains what it says it should. Does this match the EIA/IEE?

### Please describe the processing of oily water. Were actions in line with the Operators Environmental Impact Assessment?

## **Sewage and Waste Management**

(FOM Section 08 - ‘IAATO Statement on Waste Management’)

### Did the vessel have an approved waste management plan?

### How is sewage handled onboard? Describe storage and disposal methods and how these are recorded. Is this in line with the EIA/IEE and/or authorization?

### How is food waste storage managed? Is any disposed of South of the Convergence? How is Poultry waste managed? Are food waste measures inline with the EIA/IEE and/or authorization?

### How are oily wastes stored? Does this follow the EIA/IEE and/or authorization?

### What types of hazardous substances were used? How were these stored and monitored? Was there a separate receptacle for battery disposal? Does this follow the EIA/IEE and/or authorization?

### Does the vessel comply with IAATO recommended waste management practice to not dispose of waste below the Antarctic Convergence (Note: these exceed MARPOL regulations)? (<https://www.ats.aq/e/eia.html>)

# **IAATO Standards and Regulations**

## **General Conduct**

### Did the operator support the basic mission of IAATO – which is to advocate and promote the practice of safe and environmentally responsible private-sector travel to the Antarctic? (<https://iaato.org/about-iaato/our-mission>/)

### Was the expedition well organized and carried out, with no obvious violations of applicable requirements? Were the activities generally conducted with a high degree of professionalism?

## **Skipper and Crew**

### Is there at least one copy of the electronic IAATO Field Operations Manual (FOM) on board and found in an easily accessible location? Does it appear to be accessed often and considered useful by the crew? If not, why not?

### Are the skipper and crew generally familiar with the content of the FOM? When do they find they reference it most often? Or for what documents?

### Has any of the crew taken the IAATO Online Field Staff Assessment? Please detail which staff members and their onboard role (eg., Jane Blogs, EL, Jo Bloggs AEL)

### If the skipper and crew changed during the season, was a handover procedure in place?

### If new crew members embarked for this particular voyage were they briefed accordingly by the skipper or crew?

## **Participant Briefings**

### Is it planned to give the IAATO Safety and Conservation Briefing (PowerPoint presentation) prior to landing participants in Antarctica? If not, why not?

### How was this carried out?

### If in electronic form, please provide safety and conservation briefing used onboard.

### Are copies of Guidelines for Visitors to the Antarctic (ATCM Resolution 3 (2011)) available onboard for crew and guest reference? (FOM Section 07 – Overarching Guidelines)

### Are wildlife guidelines easily available for crew and guest reference? (FOM Section 07 – Wildlife Guidelines & FOM – Section 19 -Guideline Posters)

### Are there copies of the guidelines on board in other languages if needed?

### Does the crew provide educational information for the participants?

## **Coordination of Itineraries**

(FOM Section 08 – ‘Vessel Code of Conduct’)

### Was the latest version of the IAATO Vessel, Land-based and EMER Contact Information available onboard?

### Are itineraries efficiently coordinated with other vessels at all times? How was this done (e.g., Email, Live Ship Scheduler)? (FOM Section 08 - 'Live Ship Scheduler Guide’)

### What means of communications are available onboard? And what does the crew usually use to communicate with the other vessels?

## **Pre-landing Action**

(FOM Section 07 – Area & Site Specific Guidelines)

### Have the crew talk through how they plan a landing – from selecting a site, to pre-going a shore actions, onshore actions, and post landing actions?

### Are the crew familiar with the different wildlife watching guidelines?

### Are the crew familiar with the various site guidelines? How often do they reference them?

### Are the skipper and crew aware of the ‘rest period’ for wildlife as outlined in the site guidelines (usually from 2200-0400 hrs)?

### Did the expedition leader and/or staff inspect every landing site for the purpose of evaluating safety and environmental conditions prior to landing passengers (including HPAI considerations)?

## **Biosecurity Measures**

FOM Section 07 – Biosecurity Operational Procedures – ‘IAATO Boot, Clothing and Equipment Decontamination Guidelines’, ‘IAATO Don’t Pack a Pest’, & ‘Biosecurity Disinfection’)

### How are IAATO’s Boot and Clothing Decontamination Guidelines implemented? Is a briefing and a clothing check organized so that all precautions are taken to avoid the translocation of seeds and other organisms to and within Antarctica?

### Please describe the boot washing station.

### What type of disinfectant was used (Virkon S or otherwise)?

### What is the method of disposal for disinfectant (Vikon S or other)?

### If an Air / Cruise Expedition - how was biosecurity carried out between mainland airport and Antarctic airport and between the Antarctic Airport and the Vessel?

## **Safety Ashore**

(FOM Section 6 – IAATO Mandatory Briefing)

### During the briefings ashore, is attention also paid to safety aspects and possible hazards? Have the skipper and crew give some examples.

### How are passengers “controlled” or monitored ashore?

### Is there emergency equipment available in the Zodiacs or other landing craft, as well as ashore? If so, please include a list. (FOM Section 8 – Shore Stranding Equipment)

### Were all crew members equipped with VHF radios and capable of contact at all times? Are any other forms of communications taken shore regularly?

## **Landing Craft Operations**

### How are passengers instructed to use Zodiacs or other landing craft safely?

### Are all passengers required to wear a Personal Flotation Device (PFD) when in the landing crafts?

### Were the crew aware of IAATO Cetacean Guidelines (FOM Section 07 – Wildlife Guidelines)? How are these implemented on the zodiacs and on the main vessel?

### Are the crew aware of the IAATO Guidelines for Small Boat Operations in the Vicinity of Ice? (FOM Section 08)

### Are the crew aware of the IAATO Procedures for Operating in the Vicinity of Whales? How does the yacht follow these guidelines? (FOM Section 07 – Wildlife Guidelines)

## **Helicopter Operations**

(FOM Section 10 – Aircraft Operations)

### Does the Operator offer helicopter activities as part of their program?

### List possible sites of helicopter operations.

### Are the Operator and Helicopter Pilots aware of the IAATO Vessel Helicopter Guidelines? (FOM Section 10)

### How will flight operations be coordinated with other air operations and vessels in the area?

### Did the Air Operator/Provider participate in CATS (COMNAP Asset Tracking System)?

### In addition to the normal flight safety instructions, were clients given any additional Antarctic specific instructions?

### Are the aircrew aware of ATCM Resolution 2 (2004) Guidelines for the Operation of Aircraft near Concentrations of Wildlife? (FOM Section 10)

### Was the Antarctic Flight Information Manual (AFIM) and Wildlife Awareness Manual (WAM) readily available and used (by the operator, or their sub-contractors)?

## **Other Activities**

**(**FOM Section 07 – Activity Guidelines)

### Are there other types of activities other than the traditional landing activities conducted? For example, kayaking, scuba diving, mountaineering or camping or others? Are these activities described in the EIA and Advance Notification?

### Is appropriate safety equipment available for those special activities? Please describe.

## **Sub-Antarctic Islands**

(FOM Section 13 and 14)

### Please enclose a list of all planned sites visited in the Sub- Antarctic Islands if relevant. Are permits, visitor guidelines and management plans in place?

# **Other Observations and Recommendations**

## Was the Skipper cooperative and helpful in all aspects of your job? Did you have the opportunity to look around the vessel ?

## Please elaborate on any other comments or recommendations regarding the operations being observed.

# **Summary of Items Noted and Operator Response**

For the Observer:

Use the table below to summarize items noted in sections 1-5 where there were discrepancies with ATCM or IAATO policies/documents as well as issues noted regarding the ability to complete the observation, by populating a table for each item.

For the Operator:

Please review the below summary created by the observer and provide a response for each item noted by the observer. The response may be further clarification regarding the item or next steps that the Operator is taking to address the item.

|  |  |  |
| --- | --- | --- |
| Item 1 | | |
| Section: | Sub-Section: | Question: |
| Detail of the Item Noted by the Observer: |  | |
| Operator Response: |  | |
| Date of Operator Response: | | |

|  |  |  |
| --- | --- | --- |
| Item 2 | | |
| Section: | Sub-Section: | Question: |
| Detail of the Item Noted by the Observer: |  | |
| Operator Response: |  | |
| Date of Operator Response: | | |

|  |  |  |
| --- | --- | --- |
| Item 3 | | |
| Section: | SubSection: | Question: |
| Detail of the Item Noted by the Observer: |  | |
| Operator Response: |  | |
| Date of Operator Response: | | |

(If there are more than three items identified, copy and paste “Item 3”, as needed and update the numbering)

General Summary Comments from the Observer: