IAATO Checklist for Dockside Observation

**Dockside Yacht Observation – Part 1**

Thank you for agreeing to participate as an IAATO Observer for Yachts. This survey is to be conducted firstly by correspondence and then a dockside inspection. The following checklist should be straightforward. When answering the questions, you can use yes, no, unsure but please include explanations. The checklist has been designed as a useful tool to ensure that obligations set forth by IAATO and the Antarctic Treaty System are met.

Observation Timeline:

* Assignment of vessel and Observer
* Set up day / time to do the observation
* Vessel / company should send all pre-trip documents to the observer as if they were a joining as a passenger
* Do 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

**Please submit by email to:** [**jhaase@iaato.org**](mailto:jhaase@iaato.org)

Any additional documents or appendices can be sent to:

**By Post:**

IAATO

225 Dyer Street, 2nd floor

Providence, RI 02903

USA

After the trip, the Operator will be asked to have Guests fill out Part 2 and the Operator to fill out Part 3, in order to enhance this dockside observation.

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

**Observers 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.

**1. Voyage Preparations and Documentation**

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

* General Guidelines for Visitors ATCM XXLIII (2021) Resolution G General Guidelines for Visitors to the Antarctic *or* Visitor Guidelines (1994 - Recommendation XVIII-1)
* Don’t Pack a Pest
* Reducing Visitor Waste Guidelines
* Expedition Cruising to Antarctica
* Medical form
* 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?**

**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?**

**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 clients 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 dockside observation (traditional landings, ski trip, mountaineering, science, photographers, etc.)**

**2. Antarctic Treaty and Domestic Legislation**

**A. 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 (ASPA’s) if appropriate
* Waste Management Permit if appropriate
* Other if appropriate, explain below

**Please list the Country and government department for each permit or authorization granted.**

**B. Compliance with Operator’s Advance Notification and EIA or IEE**

**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 crew familiarity with the content of the EIA?**

**C. Compliance with Management Plans**

**Was there an intention to visit any ASMA’s (e.g., Deception Island or Maxwell Bay) or historic sites visited (eg., Port Lockroy, Damoy Hut, or Wordie House)? And if so which ones?**

**Could the operator locate the relevant management plans or historic site documents in the IAATO Field Operations Manual? How well were relevant management plans understood?**

**Was there an intention to enter any Antarctic Specially Protected Areas (ASPA’s)? If so, which ones and why? Did the operator have the required permit(s)?**

**Could the crew explain what ASPA’s are and where to find documentation in the IAATO Field Operations Manual?**

**D. Compliance with ATCM Recommendation XVIII-1**

**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) outlines obligations when organizing activities in Antarctica. Was the crew aware of this document and understood their responsibility to ensure that all activities were conducted in accordance with this document?**

**E. Compliance with Standard Procedures for Station Visits**

**Are Antarctic Research Stations to be 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**.

**3. Vessel Operation**

**A. 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?**

**Is the vessel participating in the IAATO vessel-tracking scheme (Redport)?**

**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 does the vessel obtain ice information?**

**How does the vessel receive weather?**

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

**B. 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 drill, 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.**

**C. Oil Spill Prevention**

**Please list location and capacity of fuel tanks. Is there any deck storage of fuel? If so, what measures were in place to keep the fuel secure? Does this match what is listed in the EIA?**

**What spill response materials and equipment (SOPEP KIT) are 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 Operator Environmental Impact Assessment?**

**D. Sewage and Waste Management**

**Does the vessel have a 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?**

**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?**

**How are oily wastes stored? Does this follow the EIA/IEE?**

**What types of hazardous substances are used? How are these stored and monitored? Is there a separate receptacle for battery disposal? Does this follow the EIA/IEE?**

**Does the vessel comply with IAATO recommended waste management practice to not dispose of waste below the Antarctic Convergence (note these exceed MARPOL regulations)?**

**4. IAATO Standards and Regulations**

**A. 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?**

**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?**

**B. 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?**

**C. Participants 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 XXLIII (2021) Resolution G General Guidelines for Visitors to the Antarctic available onboard for crew and guest reference?**

**Are wildlife guidelines easily available for crew and guest reference?**

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

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

**D. Coordination of other vessels**

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

**Are itineraries efficiently coordinated with other vessels? How is this done (e.g., Email, Live Ship Scheduler)?**

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

**E. Pre-landing Action**

**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 (usually from 2200-0400 hrs)?**

**F. Biosecurity Measures**

**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?**

**Is Virkon used as disinfecting solution, and if not, why not and what alternative is used?**

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

**G. Safety Ashore**

**During 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 of the contents and how stored and landed.**

**Are all crewmembers equipped with VHF radios, and capable of contact at all times? Are any other forms of communication taken ashore regularly?**

**H. Landing Craft Operations**

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

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

**Were the crew aware of IAATO Cetacean 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?**

**Are the crew aware of the IAATO Procedures for Operating in the Vicinity of Whales? How does the yacht follow these guidelines?**

**i. Helicopter Operations**

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

**List possible sites of helicopter operations.**

**Is the Operator and Helicopter Pilots aware of the IAATO Vessel Helicopter Guidelines?**

**How will flight operations efficiently 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, are clients given any additional Antarctic specific instructions?**

**Are the aircrew aware ATCM Resolution 2 (2004) Guidelines for the Operation of Aircraft near Concentrations of Wildlife?**

**Was the Antarctic Flight Instruction Manual (AFIM) readily available and used (by the operator, or their sub-contractors)?**

**J. Other Activities**

**Are other types of activities such as kayaking, scuba diving, mountaineering or camping planned during the season? Are these described in the EIA/IEE and Advance Notification?**

**Is there appropriate safety equipment available for those special activities?**

**K. Sub-Antarctic Islands**

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

**5. 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 pursuant to the operations being observed.**