

Chapter 3: Preliminary Logistics

1. Preparing for a Successful PAWSA Workshop

This chapter discusses initial preparations for planning a PAWSA workshop, with specific details regarding sponsor and facilitation team roles / responsibilities and the logistics of arranging for the workshop meeting facility. Chapter 4 discusses the details pertaining to selecting, inviting, and preparing workshop participants.

Depending on the anticipated size of the workshop and the workload imposed on the sponsor's staff, the sponsor may choose to use an outside contractor to provide the facilitation and/or logistical coordination for the workshop. If this is the case, use *Appendix A: Statement of Work*, when developing the contract for those services, as that appendix provides the recommended technical and formatting details.

The quality of the advance preparations may well decide the success of the waterway risk assessment. The participants are busy people; scheduling the workshop well in advance is critical to ensuring that the right people can attend. The following are general timeframes for some of the more critical steps in the planning process:

- Review the *Ports and Waterways Safety Assessment Workshop Guide* at least 90 days in advance of the workshop.
- Commence preliminary logistics (e.g., notice to local community, initial workshop participant considerations, locate facility, etc.) at least 60 days in advance.
- Set the workshop dates and location approximately 45 days in advance.
- Hold a pre-workshop meeting between the sponsor and lead facilitator approximately 30 days in advance of the workshop.
- Ensure invitees receive the sponsor's letter of invitation and read ahead material approximately 30 days in advance of the workshop.

Appendix B: Logistics Schedule Checklist provides a detailed step-by-step checklist for requirements involving preparation of the facilitation team and the facility. That appendix should be removed, photocopied, and used by the sponsor and facilitation team as a continual reminder for action item deadlines. Again, workshop success depends on advanced and well-coordinated planning!

2. Roles and Responsibilities

Sponsor

- Assign primary point of contact
 - The importance of, and workload imposed by, the PAWSA process often dictates that a senior member of the sponsor's staff be designated as the primary point of contact for overall coordination of activities before, during, and following the workshop. Selection of that point of contact is a critical step in fostering constructive participation by participants and conveying to them the importance with which the sponsor views the PAWSA process. The sponsor must ensure that the individual selected can meet the challenge of interfacing with the participants in a way that will benefit the risk assessment process, the local

maritime community, and the sponsor. While recognizing the difficulty of placing additional responsibilities on a senior member of the staff, it is critical that the prospective participants know and respect the designated individual. To place the responsibility at too low a level could doom the PAWSA to failure.

- Assign facilitation team members
 - In addition to the sponsor's point of contact person, an appropriate facilitation team should be selected by the sponsor approximately two to three months in advance of the workshop. Completing this step well in advance ensures that all team members are adequately prepared to perform their duties. The team must be familiar with all process procedures, guidance, books, audiovisual equipment, and PAWSA software. Attaining the requisite familiarity can NOT be done at the last minute!
 - Although the workshop is only two days in length, the amount of time and effort required by the facilitation team is quite extensive and ideally requires four qualified individuals. The roles, however, are somewhat interchangeable and can be managed with a minimum of three persons, if necessary, provided all requirements and responsibilities are met. Each team member may play a part in all roles to an extent; however, the responsibilities typically delegated to each of the team members are listed on the following page.
- Set workshop dates
- Select participants (see guidance in Chapter 4)
- Encourage attendance
- Hold pre-workshop meeting with lead facilitator to discuss logistics progress
- Prepare opening remarks (see slide 2 of *Appendix C: PAWSA Day One Brief* in Chapter 6)
- Decide whether to be a participant or an observer
 - This decision must be made by the sponsor based on his/her level of comfort with, and knowledge of, the other participants.
- Review results (approve and disseminate *PAWSA Workshop Report*) (see Chapter 7)

Primary Point of Contact

- Assist with logistical issues such as workshop facilities and equipment concerns
- Assist in the participant selection and homogenous team assignments
- Disseminate invitations and read ahead material
- Manage the day-to-day contacts leading up to the workshop including invitations responses
- Arrange for a waterway familiarization tour for facilitation team members as necessary
 - In cases where the facilitation team, specifically the facilitator and the notetaker, are not familiar with the waterway (e.g., contractor personnel not from the local area), a waterway familiarization tour should be provided for those individuals. This can be accomplished in a number of ways, but the preferred method is by air (preferably by helicopter), which provides the best opportunity to observe the waterway's major areas of concern in the shortest amount of time. The second preferred method, depending on the waterway, is by boat; and the third, and generally least effective, is by automobile. The key to an effective

tour, regardless of the method of travel, is to have a knowledgeable “tour guide” who can also point out particular concerns and issues in the waterway.

- Oversee preparation of presentations and visual aids (i.e., chart(s) of waterway) to support workshop discussions
- Assist in drafting and disseminating *PAWSA Workshop Report*
- Assist, as necessary, in the preparation of equipment and documentation materials for the risk assessment

Facilitator

- Must have a thorough understanding of the Waterway Risk Model and the PAWSA process
- Must have excellent public speaking skills, and be comfortable presenting technical information to a large group of waterway experts
- Must be properly briefed on the details regarding any controversial or politically sensitive issues specific to the waterway
- Presents workshop briefs, including the PAWSA Background brief, and explain the Waterway Risk Model, including the six main risk categories and twenty-four risk factors
- Facilitates all discussion sessions
- Oversees completion of the quantitative assessment books
- Assists in the preparation of equipment and documentation materials for the risk assessment
- Should attend a previous PAWSA workshop, if possible

Logistics Coordinator

- Arranges for and prepares the workshop facility
- Arranges for and prepares all associated equipment requirements
- Arranges for refreshments (if provided)
- Provides on-site logistical support during the workshop

Notetaker

- Must have good listening skills
- Must have good keyboarding skills
- Collects the qualitative input from participants during the waterway risk and mitigation discussions
- Assists in the preparation of equipment and documentation materials for the risk assessment
- Greets arriving attendees at the registration table on Day One

Data Entry Person

- Must have excellent data entry computer skills (both speed and accuracy!)
- Enters the quantitative data into the PAWSA Excel™ spreadsheet for each of the books

- Assists in the preparation of equipment and documentation materials for the risk assessment (e.g., create nametags / name tents for attendees, etc.)
- Prepares nametags and name tents resulting from last-minute participant and observer substitutions and/or changes on the morning of each workshop, as necessary

3. **Selecting a Suitable Workshop Facility**

Select the facility well in advance to ensure adequate space and appropriate accommodations will be available. Generally, selecting a location 60 days in advance of the workshop allows enough time for the facility point of contact and the facilitation team to properly prepare for the workshop. However, in major metropolitan areas, or areas that may already have a scheduled event for the same timeframe, the location may need to be selected 90 days or more in advance of the workshop. The meeting facility should be convenient for the participants and the sponsor to get to, taking into account where people live and the commuting situation. More importantly, the meeting facility must be large enough to accommodate the expected number of participants, observers, and facilitation team needs.

To convey an image of serious intent, to minimize unintended distractions, and to focus the attention of participants, adequate facilities and amenities are required for the workshop. The use of a sponsor facility is not recommended for the workshop for two reasons: (1) most sponsor facilities cannot meet the space requirements, and (2) meeting at a facility other than the sponsor's venue helps to project the image of a local planning partnership facilitated, but not dominated, by the sponsor. Sometimes the local port authority (or other comparable entity) can provide a suitable workshop facility, and perhaps refreshments.

Workshop Room Criteria

The workshop room should be spacious, well lit and ventilated, with sufficient space for all participants to be comfortably seated at tables arranged in an open "U-shape". The meeting room must be large enough to accommodate participant and observer space, facilitation team requirements, visual displays, and refreshments (if served).

Assuming that 30 participants, 6 observers, and a 4-person facilitation team will be present (i.e., 40 people total), the workshop meeting the room should be, at a minimum, 36 feet (11 meters) wide by 48 feet (14.6 meters) long (approximately 1,700 square feet / 160 square meters). The room can be proportionally smaller if fewer participants are anticipated.

Ideally, the room should have two doors, one near the front for access of the facilitation team, and one near the rear to allow discrete exit and entrance of participants and observers, as required during the workshop.

The room should be in close proximity to adequate restrooms and public telephones to minimize break time.

The room should have adjustable lighting so that the participant tables can be illuminated moderately and images are not "washed out" by lights shining directly on the projection screen.

Workshop Room Setup

Appendix C: Workshop Floor Plan provides a diagram, drawn to scale, of the recommended room setup for a full-sized workshop.

To accommodate 30 participants without crowding, twelve (12) 6-foot (2-meter) tables should be arranged in a U-shape, with each side of the “U” consisting of four (4) tables. Additionally, the facilitation team will need table space to accommodate their equipment; usually on a single 6-foot (2-meter) table placed in the back of the room for the data entry person and a single 6-foot (2-meter) table placed in the center of the U-shape for the notetaker and facilitator.

A row of seats should be placed at the back or to one side of the room to accommodate observers.

An 8-foot square (2.5-meter) or larger projection screen will be needed. The screen should be large enough that the displayed images are easily readable by the observers in the back of the room.

Two or three easels will be needed for displaying the waterway chart(s) used during the risk and mitigation discussions. A flipchart will be needed for capturing ideas during the *Book 4: Additional Interventions* discussion session. Those flipchart notes will be referenced by the participants as they complete *Book 4*. The easels / flipchart must be located at the front of the room where they can be seen by all participants without blocking their view of the projection screen.

Refreshments

Due to the length of the workshop sessions, refreshments are recommended for both days. This minimizes the considerable disruption caused when participants have to leave the workshop venue to get coffee or lunch. Remember, a well fed participant is a happy participant!

Ideally, refreshments should be strategically located outside the workshop room, if possible, or adjacent to the rear door, away from the data entry table to minimize disruption during workshop discussions. If refreshments are to be served inside the workshop room, then additional space will be needed at the back of the workshop room to accommodate the additional tables required.

The following refreshments are recommended; however, details are generally dictated by the amount of workshop funding:

- Water should be provided at all times for all participants, observers, and the facilitation staff. If the workshop is held in a commercial facility (e.g., hotel), water is usually provided as part of the facility’s catering service. If this is not the case, ensure that water is provided at the refreshment table.
- Continental breakfast (e.g., beverages such as coffee, tea, and/or juice; muffins, danish, or bagels; fresh fruit).
- Mid-morning break (e.g., refreshed beverage service; light morning snack such as a fresh fruit tray, unless already included in the continental breakfast).
- Working lunch (e.g., light deli-style buffet with an assortment of meats, cheeses, rolls, and condiments; small variety of side dishes, soups, or salads; dessert; beverages such as sodas or iced tea).
- Mid-afternoon break (e.g., sodas; sustaining afternoon snack such as cookies or brownies).

Chapter 3 – Appendix A

Statement of Work

Statement Of Work

[Sponsor Name]

Ports and Waterways Safety Assessment

1.0 PURPOSE AND SCOPE

- 1.1 The [sponsor] requires administrative, technical writing, and workshop facilitation support for the purpose of conducting a Ports and Waterways Safety Assessment (PAWSA) workshop. All work accomplished in conjunction with this project shall be closely coordinated with the [sponsor's] Technical Project Manager (TPM) and local representatives in the waterway to be assessed. A [sponsor] representative shall serve as a member of the facilitation team for the PAWSA workshop.

2.0 APPLICABLE DOCUMENTS

- 2.1. Any [sponsor] documents or electronic files needed to complete work under this delivery order shall be made available through the TPM.

3.0 REQUIREMENTS

- 3.1 The contractor shall review the PAWSA Workshop Guide. Based on that review, the contractor shall make recommendations to the TPM for modifications to the procedures to be used for this specific PAWSA workshop. Upon approval by the TPM, the contractor shall make any required changes to workshop materials, including briefing slides, documents included in the participant folders, assessment books, and associated electronic files.
- 3.2 The contractor shall arrange all logistics necessary to hold a PAWSA workshop in [waterway to be assessed] on [dates that workshop will be held]. This includes contracting for commercial facilities and services appropriate to a professionally run workshop. Meeting facilities shall be of sufficient size to accommodate XX participants, XX observers, plus the facilitation team. The contractor shall plan for a Pre-workshop Meeting with [sponsor] to discuss progress of workshop logistics. The contractor shall plan for the PAWSA workshop to be two full days in duration. Logistics coordination includes: arranging for meeting rooms, audiovisual equipment, hotel rooms for the facilitation team, and miscellaneous hotel services (copying, facsimile use, etc.). The contractor shall not represent the [sponsor] during this process. The TPM shall approve all logistical arrangements made by the contractor prior to the contractor executing a contract with the commercial meeting facility. The [sponsor] shall bear all financial responsibility (i.e., interest and penalties assessed) if the workshop is rescheduled or cancelled.

- 3.3 The contractor shall provide staff, computer hardware, and software necessary to conduct the workshop and record both qualitative and quantitative risk assessment discussions and other inputs. The [sponsor] representative shall provide a background briefing to the participants, the contractor shall introduce the Waterway Risk Model and lead the participants in discussing risk levels, existing mitigations, and desired additional interventions with respect to each factor in the model. During those discussions both qualitative and quantitative data is to be captured for inclusion in the PAWSA Workshop Report.
- 3.4 On the second day following the workshop, the contractor shall conduct a briefing for the [sponsor], local host, and other senior people in the port. At that briefing, the contractor shall deliver the completed workshop critiques to the [sponsor] as well as provide a comprehensive analysis of those critiques. Within XX business days following the workshop, the contractor shall deliver an electronic version of the PAWSA Workshop Report in draft form to the [sponsor] and the [sponsor's] representative. The PAWSA Workshop Report shall summarize the PAWSA proceedings, including specific risks identified, existing mitigations, desired new mitigations, and the results of all quantitative evaluations. The report shall also provide a summary of the results targeted to senior managers in the [sponsor's] chain of command and other agencies and also recommend additional risk mitigation strategies for the [sponsor's] and stakeholders' consideration based on contractor experience with similar risks on other waterways. The [sponsor] and the TPM will review the draft report for accuracy and provide comments to the contractor within XX days of receipt. Within XX business days after receipt of comments from the TPM, the contractor shall incorporate those comments and deliver a final PAWSA Workshop Report to the [sponsor] and the TPM via email attachment.

4.0 DELIVERABLES AND SCHEDULE

- 4.1 The following is the proposed schedule for this effort:

Timeframe	Action
Within XX days of Delivery Order award	Hold kickoff meeting with [sponsor] TPM
XX-XX days before workshop	Hold Pre-Workshop Meeting between lead facilitator and [sponsor]
[Dates]	Conduct PAWSA workshop
XX business days following workshop	Deliver draft PAWSA Workshop Report
XX days after comments receipt	Deliver final PAWSA Workshop Report

- 4.2 The period of performance for this delivery order shall be from date of award through [period of performance end date].

Chapter 3 - Appendix B
Logistics Schedule & Checklist

Logistics Schedule & Checklist

Unless otherwise noted, the steps in the following table are to be completed by the sponsor, with assistance from the facilitation team where appropriate.

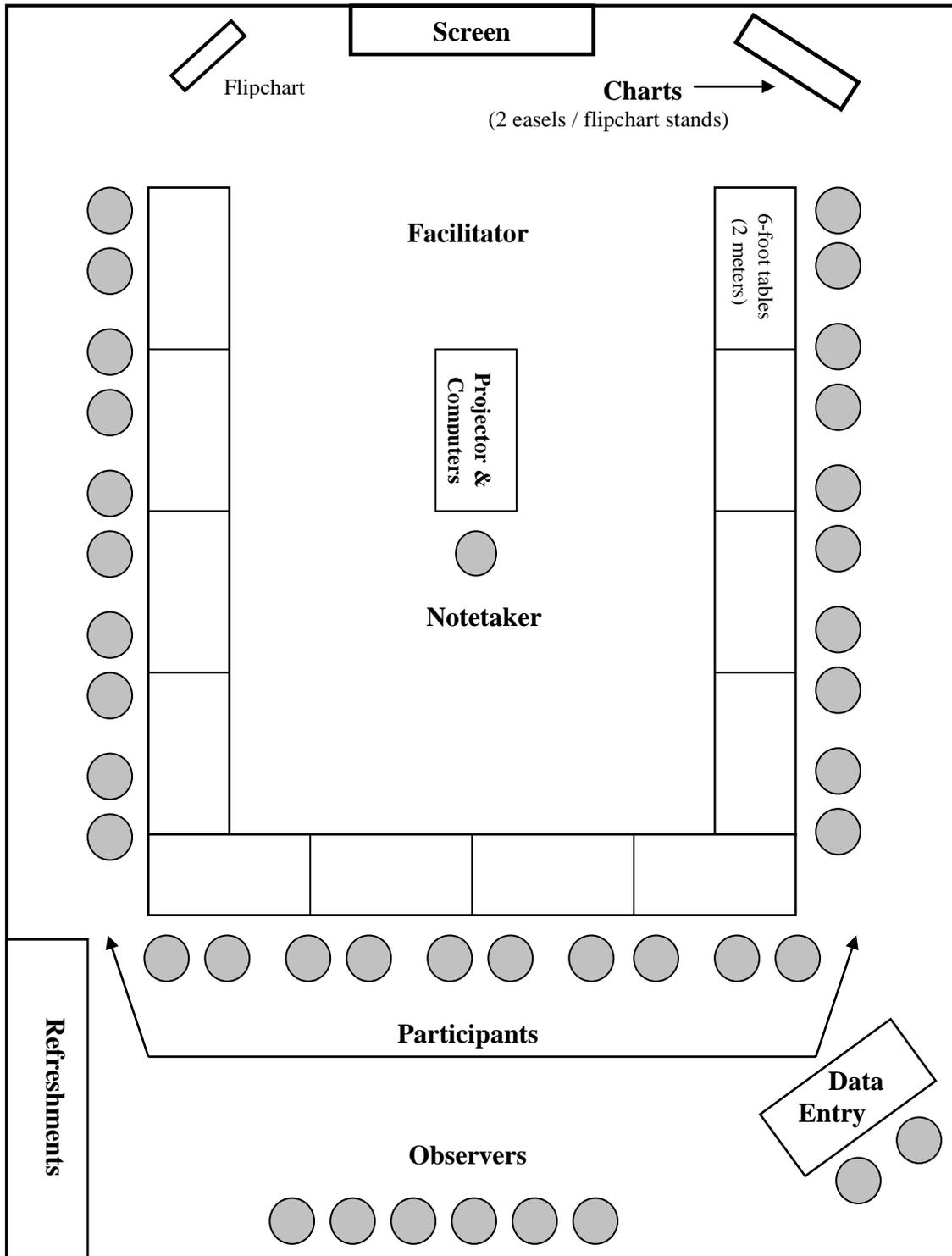
NOTE: *The timeframe for accomplishing the following action items is only a recommendation; depending on the size and the location of the workshop, there may be a need to complete many of the steps earlier than recommended.*

√	Days Before Workshop	Step	Action
<input type="checkbox"/>	90	1	Become familiar with the entire <i>Ports and Waterways Safety Assessment Workshop Guide</i> .
<input type="checkbox"/>	80	2	Designate the Primary Point of Contact.
<input type="checkbox"/>	80	3	Verify that the Primary Point of Contact is appropriately briefed.
<input type="checkbox"/>	80	4	Designate remaining facilitation team members.
<input type="checkbox"/>	60	5	Verify that the entire facilitation team is fully familiar with all procedures, guidance, questionnaire books, audiovisual materials, and PAWSA software.
<input type="checkbox"/>	60	6	Conduct a facilitation run-through of the workshop, and verify all audiovisual materials, PAWSA software, hardware, and notes have been correctly prepared.
<input type="checkbox"/>	60	7	Locate and arrange for a suitable workshop facility.
<input type="checkbox"/>	45	8	Fix the dates and times for the workshop.
<input type="checkbox"/>	30	9	Conduct a pre-workshop meeting between the sponsor and the lead facilitator prior to the workshop.
<input type="checkbox"/>	30	10	Confirm the adequacy of facilities and equipment.
<input type="checkbox"/>	30	11	Make arrangements for refreshments for the participants during the workshop.

Chapter 3 - Appendix C

Workshop Floor Plan

Workshop Floor Plan



Room Size: 36 feet (11 meters) wide x 48 feet (14.6 meters) long
(**minimum** for 30 participants)