

## Chapter 4: Participants

### 1. Selecting Participants

Once the facilitation team is assigned and the location and dates of the workshop are determined, the participants must be selected.

The sponsor has two key objectives in selecting workshop participants: to draw into the process navigation and traffic management expertise, and to ensure representation of all significant stakeholder groups within the affected local community. Meeting both objectives can be a challenge, especially while limiting the number of participants actively involved in the workshop sessions to 30 people. The sponsor's knowledge of who the key people are in the maritime community is the single best tool in the selection process, and must be applied to ensure that a knowledgeable, respected, and inclusive group is convened.

The sponsor has to convince prospective workshop participants, via both a formal invitation letter and telephone contact, that the sponsor's agency is preparing a thoroughly organized and critically important forum for discussing the waterway's safety requirements. The following ideals must be adequately conveyed to each prospective workshop participant:

- The concept of equal partnership in waterway community planning.
- That his/her individual expertise and energy are needed.
- That the participants will represent a cross section of the waterway users.
- That the common goal is to improve the safety of their waterways and infrastructure.

*Appendix A: Participant Schedule Checklist* provides a step-by-step checklist for requirements involving the selection of workshop participants. This document should be removed, photocopied, and used by the facilitation team as a continual reminder for action item deadlines.

#### Criteria

Some standard criteria should be considered for the selection of workshop participants. Sponsors should work to achieve a 60/40 mix of "waterway users"<sup>1</sup> and "stakeholders"<sup>2</sup>. Ideal participants include those who have been in the local area for an extended period of time and regularly use professional skills in one or more of the following areas: pilotage, ship handling, aids to navigation, maritime law enforcement, vessel traffic management, protection of natural resources, marine casualty response and investigation, and waterway community planning and economics.

Collectively, workshop participants should:

- Represent a broad cross-section of the local community that can speak as reliable and respected representatives of others engaged in similar work, or having similar interests.
- Be recognized by the entire local community as a group of individuals who can represent all their interests.

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<sup>1</sup> "Waterway users" are defined, for this risk assessment process, as those people who are actually involved in the movement of vessels in the waterway being assessed, such as vessel masters, pilots, officers of operating companies, and the like.

<sup>2</sup> "Stakeholders" represent all others whose livelihood and/or quality of life are affected by waterway activities.

The following is a list of the interest groups containing waterway users and stakeholders recommended for participation in the PAWSA process. The list is by no means all-inclusive; rather, the list is a recommendation based on roles and responsibilities on the waterway deemed most appropriate for participation in this type of risk assessment. See *Appendix B: Interest Groups* for detailed information pertaining to each of the groups.

- Environmental – scientists (industry and university), Environmental Protection Agency, State / local Fish and Game, “Green” organizations
- Fishing – commercial, charter, sport, recreational, subsistence
- Infrastructure – USCG Aids to Navigation Commanding Officers, U.S. Army Corps of Engineers, construction operations, dredging, bridge tenders
- Large Commercial Vessels – pilots, deep draft mariners
- Law Enforcement – marine patrol, USCG Station / Group Commanding Officers, USCG Investigators, State / local Fish and Game, harbor master, port captain
- Passenger Vessels – ferry operators, dinner cruises, cruise ships
- Planners / Policy Makers – coastal zone management, city planners, Port Authority, USCG Captain of the Port
- Recreational Boaters – yacht clubs, marina operators, U.S. Power Squadron, dive operations, charters (e.g., kayaks, jet skis, wind surfers)
- Response – marine firefighters, USCG Port Operations, commercial spill response, marine patrol, USCG Station personnel
- Shallow Draft Vessels – tugs, offshore supply vessels, dinner cruises
- Shoreside Facilities – terminal operators, Marine Exchange, shipyards

## 2. **Inviting Participants**

The waterway user and stakeholder selection process should involve exploratory contact by the sponsor and the primary point of contact in addition to initial discussions with prominent members of the local community. The effort to identify able and willing candidates to provide comprehensive expert representation should be initiated approximately 60 days in advance of the workshop. Publish a general notice to the local maritime community announcing the planned risk assessment workshop for eliciting nominations. Building the final participant list and establishing a schedule acceptable to all will be an iterative process involving numerous telephone calls by the sponsor and the primary point of contact. This advance effort should be completed before the invitation letter is prepared and mailed to participants.

When contacting potential participants emphasize the importance of their attending both days of the workshop. If a participant is unable to attend both days, an alternate arrangement should be made to ensure a similarly qualified individual is able to fill in. The individual filling in must be present, as an observer, for all workshop segments prior to their taking a seat at the participant table. Each session builds on those preceding.

Once the final participant list is determined, the sponsor should mail a formal letter of invitation (see *Appendix C: Invitation Letter*) to each selected participant. The objective of the sponsor’s formal letter of invitation is to:

- Confirm the objective and scope of the assessment.
- Remind the invitees of the dates, times, and location of the workshop.
- Encourage the invitees to review the read ahead material.
- Characterize the waterway users and stakeholders with whom the invitee will collaborate.
- Motivate an affirmative response and active participation from the invitees by stressing the potential benefits of participation, and by inference, the potential loss from failing to participate.

### 3. **Read Ahead Material**

Prior to the workshop, a read ahead package referencing the PAWSA website <http://www.navcen.uscg.gov/?pageName=pawsaMain>, and containing general PAWSA-related information, including the history of PAWSA and a description of the workshop process, should be sent to each invitee, along with the formal letter of invitation. This material provides the participants with details about the assessment objectives, the process, and the expected output. A thorough review by each participant, followed by the introductory presentations during the first day of the workshop should ensure their thoughtful input throughout the PAWSA workshop. However, experience indicates that several reminders will be required to obtain a high percentage of compliance with this requirement. The sponsor or the primary point of contact should remind each invited participant—both before and after the invitation letter is sent—of the importance of actually reviewing the read ahead material prior to the workshop, as well as reviewing the participant folder contents upon arrival at the workshop.

The read ahead package should include three items:

- Summary of PAWSA Background
- Participant Selection (Invitation List optional)
- Workshop Agenda

*Appendix D: Read Ahead Material* is designed to be copied and sent to each participant with the formal letter of invitation. The participant also should be invited to bring any reference material / data he/she thinks may be relevant to the workshop.

Personal contact and the formal letter of invitation should reinforce the motivational message and allow the sponsor / primary point of contact to respond to any relevant questions that might arise before the PAWSA workshop. There is, however, one final opportunity to emphasize the importance of the read ahead material, and that is during the sponsor's final telephone call with each participant, which should be made shortly before the workshop's first session. This call is placed to not only ensure that particular participant's attendance at the workshop, but also to emphasize the importance of that individual's contribution and perspective. Past experience shows a very high correlation between the sponsor personally making follow-up contact with invitees and people showing up at the workshop. This is NOT something that should be delegated to junior staff!

*Chapter 4 - Appendix A*

*Participant Schedule Checklist*

## *Participant 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.*

√	<b>Days Before Workshop</b>	<b>Step</b>	<b>Action</b>
<input type="checkbox"/>	60	1	Review participant selection criteria, taking into account the size limitation.
<input type="checkbox"/>	60	2	Prepare and publish a heads up notice to the local waterway community.
<input type="checkbox"/>	60	3	Prepare an initial list of potential candidates.
<input type="checkbox"/>	55	4	Initiate telephone contacts to initial candidates.
<input type="checkbox"/>	50	5	Initiate telephone contacts to additional candidates as they are identified.
<input type="checkbox"/>	45	6	Decide on the need for more than one PAWSA workshop.
<input type="checkbox"/>	45	7	Decide on the need for additional community participation in an Observer role.
<input type="checkbox"/>	45	8	Finalize the invitation list (i.e., must have at least one representative from each interest group; see <i>Appendix B: Interest Groups</i> ).
<input type="checkbox"/>	35	9	Prepare individually addressed invitation letters and read ahead material.
<input type="checkbox"/>	30	10	Mail signed invitation letters (with enclosed read ahead material) to all participants.
<input type="checkbox"/>	15	11	Make final calls to participants confirming participation.
<input type="checkbox"/>	10	12	Establish homogeneous teams based on final participant list.

***Chapter 4 - Appendix B***

***Interest Groups***

## *Interest Groups*

This list is NOT meant to be all-inclusive or a definitive list of the people who should attend a PAWSA, but rather a place to start looking for representatives of the key interest groups. While all the organizations listed below represent their members on a national level in the U.S., it is almost always preferable to have regional, local experts attend the workshop to give their more focused input. In addition, the personality of the representative is very important. If he / she will be disruptive to the group dynamic, will promote an agenda without listening objectively to other's concerns, or will most likely use this process as a "soapbox," look elsewhere for a representative for that particular interest group; otherwise, the PAWSA will suffer.

Some of the representatives listed below fall into more than one interest group. To minimize the length of this document, common sense should dictate who might fit into other groups. If the waterway shares a boundary with another country, or is frequented by a nearby foreign community, obtain similar representatives from those regions. Each group listed below provides one or more websites to obtain contact information.

- **Environmental** - *scientists (industry & university), Environmental Protection Agency, State / local Fish and Game, "Green" organizations*

- **Fishing** – *commercial, charter, sport, recreational, subsistence*

The USCG's Commercial Fishing Vessel Safety Program has Marine Inspectors that may be able to help direct you to an appropriate representative. At this time there is no known commercial fishing vessel organization.

<http://www.fishsafe.info/>

- **Infrastructure** – *USCG Aids to Navigation Commanding Officers, U.S. Army Corps of Engineers, construction operations, dredging, bridge tenders*

U.S. Army Corps of Engineers mission is to provide quality, responsive engineering services to the U.S. including: planning, designing, building, and operating water resources and other civil works projects (navigation, flood control, environmental protection, disaster response, etc.); designing and managing the construction of military facilities for the U.S. Army and U.S. Air Force (Military Construction); providing design and construction management support for other Department of Defense and federal agencies (Interagency and International Services).

<http://www.usace.army.mil>

- **Large Commercial Vessels** – *pilots, deep draft mariners*

The American Pilots' Association is the national trade association of professional maritime pilots in the U.S.

<http://www.americanpilots.org/>

Masters, Mates, and Pilots (MM&P) represents Licensed Deck Officers, state pilots and other marine personnel on U.S. flag commercial vessels sailing in international trade, the inland waterways and Great Lakes of the United States, the Panama Canal and Caribbean, as well as crews sailing civilian-crewed military vessels of the United States.

<http://www.bridgedeck.org/>

- **Law Enforcement** – *marine patrol, USCG Station / Group Commanding Officers, USCG Investigators, State / local Fish and Game, harbor master, port captain*

Refer to local phonebook.

- **Passenger Vessels** – *ferry operators, dinner cruises, cruise ships*

The Passenger Vessel Association (PVA) is a dynamic trade organization focused on the issues and concerns most relevant to owners and operators of passenger vessels, manufacturers of maritime-related products and services, and other service companies dedicated to achieving a common goal...working to develop a superior business environment for all.

<http://www.passengervessel.com/>

The mission of the Cruise Lines International Association (CLIA) is to participate in the regulatory and policy development process and promote all measures that foster a safe, secure and healthy cruise ship environment, educate, train its travel agent members, and promote and explain the value, desirability and affordability of the cruise vacation experience.

<http://www.cruising.org/>

- **Planners / Policy Makers** – *coastal zone management, city planners, Port Authority, USCG Captain of the Port*

The National Coastal Zone Management (CZM) Program is a U.S. federal-state partnership dedicated to comprehensive management of the U.S.'s coastal resources, ensuring their protection for future generations while balancing competing national, economic, cultural, and environmental interests.

<http://coastalmanagement.noaa.gov/programs/czm.html>

- **Small Craft Operators** – *Yacht clubs, marina operators, U.S. Power Squadron, dive operations, charters (e.g., kayaks, jet skis, wind surfers), indigenous people*

The National Association of State Boating Law Administrators (NASBLA) represents the boating authorities of all 50 states and the U.S. territories. It is an

association dedicated to reducing boating accidents, saving lives, and helping to make safe and enjoyable boating a reality on U.S. waterways.

<http://www.nasbla.org/>

The mission of the National Safe Boating Council, Inc. (NSBC) is to reduce accidents and enhance the boating experience. The NSBC is the foremost coalition in the U.S. for the advancement and promotion of safer boating through education.

<http://www.safeboatingcouncil.org/>

BoatUS Foundation - The Foundation's mission is to promote safe and environmentally-sensitive boating with the purpose of reducing accidents and fatalities while increasing stewardship of our water resources.

<http://www.boatus.com/foundation/>

- **Response** – *marine firefighters, USCG Port Operations, commercial spill response, marine patrol, USCG Station personnel*

Spill Control Association of America continues to monitor the issues facing our profession, and serves as a forum within which proposed regulations and other environmental guidelines can be intelligently discussed and evaluated.

<http://www.scaa-spill.org/>

The Association of Petroleum Industry Cooperative Managers (APICOM) is an association of unaffiliated petroleum industry oil spill cooperative managers. APICOM exists for the purpose of exchanging information related to the management of an oil spill response cooperative. It also serves as a forum for the exchange of ideas related to oil spill response technologies, operations, regulations and other issues of common interest to its members.

<http://www.apicom.org/>

- **Shallow Draft Vessels** – *tugs, offshore supply vessels*

The American Waterways Operators is the national trade association in the U.S. representing the owners and operators of tugboats, towboats, and barges serving the waterborne commerce of the United States.

<http://www.americanwaterways.com/>

- **Shoreside Facilities** – *terminal operators, Marine Exchange, shipyards*

The Propeller Club of the United States is a grassroots, non-profit organization, whose membership resides throughout the United States and the world. It is dedicated to the enhancement and well-being of all interests of the maritime community in the U.S. and abroad.

<http://propellerclubhq.com>

The International Navigation Association (PIANC) is a worldwide organization of individuals, corporations, and national governments. Founded in 1885 in Brussels, Belgium, it is concerned with maritime ports and inland waterways. The Association promotes contact and advances and disseminates information of a technical, economic, and environmental nature between people worldwide in order to efficiently manage, develop, sustain, and enhance inland, coastal and ocean waterways, ports and harbors, and their infrastructure, in a changing environment.

<http://www.pianc.org/>

Marina Operators Association of America represents a diverse membership of over 950 marinas, boatyards, yacht clubs, and public/private moorage basins across the United States. These companies provide slip space for over 240,000 recreation watercraft and employment for over 13,000 marine tradesmen and women.

Email: [mlivingood@nmma.org](mailto:mlivingood@nmma.org) or [jfrye@nmma.org](mailto:jfrye@nmma.org)

*Chapter 4 - Appendix C*

*Invitation Letter*

*[Invitation Letter on Sponsor Letterhead]*

[Name]  
[Title]  
[Organization]  
[Address]  
[Date]

Dear [Name]:

You are invited to participate in a Ports and Waterways Safety Assessment (PAWSA) workshop on [Days, Dates & Time] at [Location].

PAWSA is a focused risk analysis used to identify major waterway safety hazards, estimate risk levels, and evaluate mitigation measures to reduce that risk. The process requires the participation of professional waterway users from the [Waterway Name] with local expertise in navigation, mobility, and waterway safety along with waterway stakeholders to ensure important environmental, public safety and economic consequences are given appropriate attention. The workshop will take two full days and will consist of highly structured facilitated morning and afternoon sessions designed to elicit and capture panel judgments on risks and the merits of risk reduction strategies appropriate to this community.

This risk assessment workshop is part of a continuing series of Congressionally mandated local community planning sessions. Those sessions are intended to further commercial and recreational development of the community's waterways and infrastructure, while ensuring maximum protection of the marine environment. This workshop is an opportunity to continue forging a partnership between federal, state, and local governments, commercial, recreational, and environmental interests for planning and implementing improvements. Your participation in this workshop will ensure that the perspective and interests that you represent are incorporated, and that this waterway receives an appropriate allocation of improvement and development funding at the local, regional, and national levels.

The waterway risk assessment process format and agenda requires that I limit the number of participants from each participating organization to one. However, if additional members from your organization wish to attend, the session will be open to those individuals in an observer role. Maintaining consistent representation throughout the PAWSA process is essential to success, so please accept this invitation **only if you** (or another representative from your organization) **can attend both days**.

Enclosed with this letter is read ahead material that explains the PAWSA background, selection process, agenda, [and a list of the waterway community representatives invited to this workshop](#). Reviewing the read ahead material prior to your arrival is important; however, I also would recommended that you arrive early enough on the first day to review the folder you will find at your seat. Approximately 15 or 20 minutes will be needed for that review. The information in that folder will provide more specific information pertaining to the workshop and the waterway(s) under discussion. A website also has been created to provide additional details about the process and previously conducted PAWSA workshops: [www.navcen.uscg.gov/mwv/projects/pawsa/pawsa\\_home.htm](http://www.navcen.uscg.gov/mwv/projects/pawsa/pawsa_home.htm). I urge you to review that information as well so that everyone will start with a common understanding of the workshop purpose, process, and product.

I encourage you to bring any additional material / data that you think may be relevant to the workshop. Feel free to call me or [\[POC's position and name\]](#), whom I have designated as the primary point of contact for this workshop, to discuss any aspects of this effort.

Enhancing the ability of our ports and waterways to support safe, secure, and efficient transportation in the future, while protecting the environment, is a national priority. Waterway management is a matter for cooperative action between all levels of government and the private sector. This is your opportunity to be certain that your perspective and concerns are given consideration in plans for port and waterway development. I look forward to your participation.

Sincerely,

[\[Sponsor Name\]](#)  
[\[Title\]](#)

Enclosure: Read Ahead Material

[\[Note: For use outside the U.S., appropriate revisions are necessary.\]](#)

***Chapter 4 – Appendix D***

***Read Ahead Material***

# *Read Ahead Material*

## **1. Ports and Waterways Safety Assessment (PAWSA) Background**

The PAWSA process grew out of the tremendous changes that took place during the 1990s in the United States Coast Guard (USCG) Vessel Traffic Service (VTS) Acquisition program. In September 1996, Congress terminated all VTS 2000 contracts and, through the 1997 Appropriations Bill, directed the Coast Guard “to identify minimum user requirements for new VTS systems in consultation with local officials, waterways users and port authorities” and also to review private / public partnership opportunities in VTS operations. As a result of this Congressional direction, the USCG established the Ports and Waterways Safety System (PAWSS) to address waterway user needs and place a greater emphasis on partnerships with industry to reduce risk in the marine environment.

As part of PAWSS, the USCG immediately convened a national dialogue group (NDG<sup>1</sup>) comprised of maritime and waterway community stakeholders to identify the needs of waterway users with respect to Vessel Traffic Management (VTM) and VTS systems. Those stakeholders, representing all major sectors of the U.S. and foreign-flag maritime industry, port authorities, pilots, the environmental community, and the USCG, were tasked to (1) identify the information needs of waterway users to ensure safe passage; (2) assist in establishing a process to identify candidate waterways for VTM improvements and VTS installations; and (3) identify the basic elements of a VTS. The NDG was intended to provide the foundation for the development of an approach to VTM that would meet the shared government, industry, and public objective of ensuring the safety of vessel traffic in U.S. ports and waterways, in a technologically sound and cost effective way.

From the NDG came the development of the PAWSA process, which was established to open a dialogue with waterway stakeholders to identify needed VTM improvements and to determine candidate VTS waterways. PAWSA provides a formal structure for identifying risk factors and evaluating potential mitigation measures through expert input from waterway users. The process requires the participation of professional waterway users with local expertise in navigation, waterway conditions, and port safety. In addition, stakeholders are included in the process to ensure that important environmental, public safety, and economic consequences are given appropriate attention as risk interventions are selected.

Over 40 ports / waterways have completed the PAWSA process, which generally has been well received by the local maritime communities and has resulted in some resounding successes. The ultimate goal of PAWSA is not only to establish a baseline of waterways for VTS consideration, but to provide the local host and waterway community with an effective tool to evaluate risk and work toward long term solutions tailored to local circumstances. The goal is to find solutions that are both cost effective and meet the needs of waterway users and stakeholders.

## **2. Participant Selection**

The PAWSA participant selection process balances several objectives. First, there is a need to draw into the process: a) navigation and traffic management expertise, and b) representatives of all significant stakeholder groups within the affected waterway community. This must be done while

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<sup>1</sup> The Dialogue Group on National Needs for Vessel Traffic Services was a series of roundtable discussions which concluded May 11, 1998. Those discussions were sponsored by the USCG and hosted by the Committee on Maritime Advanced Information Systems (MAIS) under the auspices of The Marine Board of the National Research Council (NRC).

limiting the total number of participants actively involved in the deliberations and judgments on each of the numerous questions addressed during the workshop. There must be a balanced mix of waterway users and stakeholders. Waterway users are those who are actually involved in the movement of vessels in the waterway being assessed, such as vessel masters, pilots, officers of operating companies, and the like. Stakeholders represent all others whose livelihood and/or quality of life are affected by waterway activities.

The panel must represent a broad cross section of the waterway community that can speak as reliable and respected representatives of others engaged in similar work, or having similar interests. The panel must include members who have expertise and current knowledge in the following areas: pilotage, ship handling, aids to navigation, maritime law enforcement, vessel traffic management, protection of natural resources, marine casualty response and investigation, and waterway community planning and economics. The selected participants should be currently working in direct support of waterway-related activities, preferably for an extended period of time.

### **3. Workshop Agenda**

#### Day One

8:00 – 8:30 a.m.	Coffee & Pastries
8:30 – 8:45 a.m.	Sponsor Welcome
8:45 – 9:00 a.m.	Introductions & Agenda Overview
9:00 – 9:30 a.m.	PAWSA Background
9:45 – 10:45 a.m.	Waterway Risk Model Explanation
11:15 – 12:00 a.m.	Waterway Risks Discussion / Evaluation
12:00 – 1:00p.m.	Lunch
1:00 – 4:00 p.m.	Waterway Risks Discussion / Evaluation
4:15 – 4:45 p.m.	Team Expertise Cross-Assessment
4:55 – 5:00 p.m.	Session Wrap-up

#### Day Two

8:00 – 8:30 a.m.	Coffee & Pastries
8:30 – 8:45 a.m.	Baseline Risk Levels Results
8:45 – 12:00 noon	Existing Risk Mitigations Discussion / Evaluation
12:00 – 1:00 p.m.	Lunch
1:00 – 1:15 p.m.	Mitigation Effectiveness Results
1:15 – 1:30 p.m.	Mitigations Categories
1:30 – 4:15 p.m.	Additional Interventions Discussion / Evaluation
4:30 – 4:40 p.m.	Workshop Critique
4:40 – 4:50 p.m.	Additional Mitigations Results
4:50 – 5:00 p.m.	Workshop Wrap-Up