

## ***Chapter 6: Conducting the Workshop***

At this point, all preliminary administrative, logistics, and material preparations should be completed. The purpose of this chapter and appendices is to show Implementation Guide users how to conduct an actual PAWSA workshop—from start to finish. Proper review and use of this chapter and appendices is not only an absolute necessity for conducting a PAWSA workshop, but will greatly enhance the facilitation team's performance during the workshop. Specifically, the notes provided throughout this documentation will enable the facilitator, as well as the rest of the facilitation team, to gain a complete understanding of the step-by-step actions required during each segment of the workshop.

### **1. Pre-Workshop Meeting (In-brief)**

One to two days before the PAWSA begins, the sponsor, appropriate members of the sponsor's staff, the facilitation team, and any other personnel responsible for helping with the workshop should meet in person to review and discuss workshop details, including, but not limited to, the following (see *Appendix A: Pre-Workshop Meeting (In-brief) Agenda*):

- Introduction of all team members, if they have not already met (e.g., if the sponsor is using other staff members in addition to the specific facilitation team, or private contractors are being used to provide workshop support).
- Sponsor's opening remarks, which should include the overall workshop objectives (NOT a detailed review of the waterway risk assessment process, which will be discussed in detail by the facilitator early on the first morning), discussion of why the participants were selected, and the workshop products.
- Issues specific to that waterway including significant safety risks from the sponsor's perspective, politically sensitive issues, and the recommended geographic boundaries of the waterway.
- Participant details including a list of actual attendees (known at that point), homogenous team assignments, and any participant strengths and weaknesses.
- Logistics details including final facility requirements (e.g., providing final head count to facility as required in advance of the function, last-minute changes to times, etc.), completion and use of the waterway chart and workshop materials (e.g., participant folders, books, etc.).
- Daily session review plans, including who should attend.
- Waterway familiarization tour issues (e.g., time, etc.), if necessary.

Please note that this 'in-brief' is not the same as the Pre-Workshop Meeting discussed in Chapter 3, *Preliminary Logistics* and corresponding *Appendix B: Logistics Schedule Checklist*.

## 2. Workshop Design

A successful risk assessment workshop for any waterway requires the following, at a minimum: (1) sufficient time for proper instruction of the participants about the overall process and risk model concepts, (2) time for adequate guided discussion of each risk factor, (3) elicitation of considered responses from each expert for each risk factor in each book, (4) feedback, and (5) confirmation of results.

Typically, 16 working hours, over a period of two full days, are required to accomplish the foregoing. The workshop usually starts at 8:00 a.m. and finishes at 5 p.m., with a 1-hour lunch, on both days. This schedule allows time for participants to complete all workshop activities plus confer privately with each other, with the observers, and with others, about key issues raised during each workshop stage, which could contribute new perspectives to the subsequent stage(s).

### Scope and Objective of Each Day

- Day One:
  - The presentations that occur in the morning on the first day provide an overview of the entire PAWSA process, while hopefully motivating the participants. The information includes the sponsor's opening remarks, administrative items, review of the workshop agenda, the PAWSA background briefing, and an explanation of the risk assessment process. During this portion of the workshop the participants are introduced to the Waterway Risk Model and the associated risk categories and risk factors that will be the focus of the two-day session.
  - Once the general information is provided, participants take the rest of the morning to work through *Book 1: Baseline Risk Levels*. Participants discuss the actual risk in the waterway for each risk factor. *Book 1* is used to numerically evaluate risk levels based on the participants' discussions. This portion of the workshop does NOT consider risk mitigating measures that are already in place. During discussions, participants should be encouraged to identify, where appropriate, trends and changes under consideration, so that they are incorporated into the risk assessment process.
  - Following lunch, participants continue with the *Book 1* evaluation for the rest of the waterway categories. Participants then present to the group their level of expertise of the waterway categories. Once everyone has a chance to highlight their expertise, the participants then complete *Book 2: Team Expertise Cross-Assessment*. This input is used to create weights for the other workshop book inputs.
- Day Two:
  - The second day begins with a review of the preliminary *Book 1* results and continues with an in-depth discussion and evaluation of *Book 3: Mitigation Effectiveness*. This portion of the workshop DOES consider current mitigation measures. Just before lunch, the participants complete *Book 3*.
  - Following lunch on the second day, the participants review the *Book 3* results, which leads to discussion and evaluation of *Book 4: Additional Interventions*. Late during this session participants complete the workshop critique and review the final results from *Book 4*.

*Appendix B: Facilitator Agenda* provides a precise breakdown of the workshop segments, timeframe references, and details specific to conducting the waterway risk assessment. *Appendix C: PAWSA Day One Brief* and *Appendix D: PAWSA Day Two Brief* are the Power Point™ presentations that should be used during the workshop on Day One and Day Two, respectively. Each brief provides very detailed notes about each slide and should, therefore, be used by the facilitator while conducting the workshop. More importantly, *Appendices B – D*, including the presentation notes, should be thoroughly studied by the facilitator before the workshop begins. *Appendix E: List of Slides* is another useful tool that can be used as a quick reference for locating each topic within the Day One and Day Two briefs.

### Comprehensive Methodology Explanation

Throughout the remainder of this chapter, several references are made to an electronic file used for entering all quantitative data gathered during the workshop. This file, *Appendix F: All Books (waterway name)*, is an Excel™ workbook containing spreadsheets for the data collected from each Book, and is often referred to as the “PAWSA software”. There is an essential need for the facilitation team to review the Excel™ file in its entirety prior to the workshop to gain a full understanding of how the data is collected and processed during the workshop.

### **Book 1: Baseline Risk Levels**

*Book 1* is used to determine a risk level value for every factor in the Waterway Risk Model. As far as possible, those qualitative descriptors are written in absolute terms; that is, the risk level values that are produced by this book are intended to NOT take into account any actions already implemented to reduce risk in that waterway. After discussing the risks associated with the four factors in a particular category, the participants check the box next to the qualitative descriptor that best describes the risk level in this waterway. Once all six categories have been discussed and the corresponding risk factors evaluated, the data entry person enters the scores into cells B4:P27 of the *Bk 1 Input* spreadsheet. If a team checks the first box (describing the best case), then the computer algorithm assigns a value of 1.0 to that input. If a team checks the second box, then the “B” value from the aggregate risk measuring scale for that factor is assigned to that input. In like manner, the third box is assigned the “C” value and the fourth box (describing the worst case) is assigned a value of 9.0. The inputs for each team for each factor are weighted by their team expertise, once the expertise results are tallied, and then added together to produce the baseline risk value for that factor. The results appear in the *Bk 1 Disp* spreadsheet and are copied to the PAWSA Day Two PowerPoint™ presentation as described in section 4 of this chapter. Early on the second morning of the workshop those results are presented to and discussed with the participants.

### **Book 2: Team Expertise Cross-Assessment**

The results from *Book 2*, which capture the expertise level of each team relative to one another, are used to weight each team’s inputs for all of the other books. This is done as a four-step process:

- First, participants are assigned to teams, with every effort made to put two people with the same basic general background on each team. For example, if there are two harbor pilots in the group, then they would be put together into one team; likewise, if there are two environmentalists in the group, they would become one team. The intent is that each team has two people with a similar perspective on waterway safety issues. Teams of three do NOT work well because of the social dynamic that is created! If an odd number of participants are

present, consider having one of the observers become a participant. Use a “team” of one or three people only as a last resort.

- In the second step, the two teammates introduce themselves, if necessary, and discuss their knowledge of the concepts underlying the Waterway Risk Model. Then a representative from each team is asked to tell the entire panel about his/her team’s strengths and weaknesses with respect to the six risk categories in the Waterway Risk Model.
- After each team is heard, *Book 2* is completed as the third step. In that evaluation, the teams place themselves into the top 1/3, middle 1/3, or lower 1/3 of the teams comprising the panel with respect to knowledge about each of the six risk categories. Additionally, the teams are asked to evaluate the expertise level for all of the other teams. Participants should be encouraged to assign the same number of 1’s, 2’s, and 3’s on each line (i.e., for each risk category) of the evaluation form.
- The data entry person enters the scores from each team into cells of the *Bk 2 Input* spreadsheet in the *All Books (waterway name)* Excel™ workbook. The *Book 2* results appear in the *Bk 2 Rslts* spreadsheet and affect calculations in all the other spreadsheets thereby producing final PAWSA quantitative results. The *Book 2* results are NOT shown to the participants.

### **Book 3: Mitigation Effectiveness**

*Book 3* is used to evaluate the effectiveness of existing mitigation strategies in reducing the risk level for each factor in the model. The facilitation team (normally the data entry person) prepares the workbook using an orange highlighter to roughly mark the results from *Book 1* on the blank copies of *Book 3*. The participants then discuss the actions taken / strategies already in place that help to reduce risk for each factor. For example, under the Deep Draft Vessel Quality risk factor you would expect the participants to mention vessel inspections by government agencies as an existing risk mitigating strategy. You also would expect them to mention that this strategy only applies to certain vessel classes. The facilitator should encourage the participants to describe, in qualitative terms, the effectiveness of that particular strategy.

Once all existing strategies have been discussed for the four factors in each risk category, the participants are asked to circle a number on the 1 to 9 scale that shows where they think the risk level really is based on those existing mitigation discussions. In other words, how effective are those mitigations in reducing risk below the absolute levels determined via *Book 1*. Though unusual, participants might state (and then evaluate) that existing mitigations actually INCREASE the risk for some factor(s). For example, if while discussing the Dimensions risk factor, participants cite as an existing risk mitigation strategy that a range light has been established to help waterway users avoid running aground in a narrow channel, but the range is out of alignment with the channel, they could evaluate the effect of that mitigation by circling a higher number (i.e., to the right) of the *Book 1* result.

As the final step in filling out this book, participants make a subjective evaluation of whether they think risks are adequately balanced with existing mitigations for each factor. They do this by circling Yes (they ARE well balanced) or No (they are NOT well balanced) on the line for each factor.

The data entry person enters the inputs from the circles on the 1 to 9 scales into cells B4:P27 of the *Bk 3 Scores* spreadsheet. The computer algorithms weight each team’s input by their team expertise score and then add the results together to produce the present risk level, taking into account those existing mitigations. The Yes / No inputs are entered into cells B4:P27 of the *Bk 3 Y-N* spreadsheet. The results for both components of *Book 3* appear in the *Bk 3 Disp* spreadsheet, are copied to the

PAWSA Day Two PowerPoint™ presentation as described in section 5 of this chapter, and then are discussed with the participants.

#### **Book 4: Additional Interventions**

*Book 4* is used to focus discussion on those risk factors where the present risk level is NOT well balanced with existing mitigations. For each risk factor displaying a NO, RISING, or Maybe flag in the *Book 3* display results, the facilitation team (normally done by the data entry person) again uses an orange highlighter to mark the *Book 3* results on the blank copies of the *Book 4* evaluation form before those forms are handed to the participants. Workshop participants then are asked to offer ideas about what should be done to reduce the risk level for each risk factor so marked. At this point in the proceedings, the facilitator often needs to guide the participants through an on-the-fly root cause analysis. In other words, the facilitator reminds the participants about the specific nature of the risks that they described for a given risk factor (referring back to the *Book 1* discussions). Then the facilitator asks what is causing those risks, i.e., WHY do they exist? By the facilitator repeatedly asking why, eventually the participants should uncover the root cause of the high risk situation. Usually the root cause, when finally identified, points directly to the intervention needed to reduce the risk. The facilitator, or other identified person, writes down the risk mitigation ideas offered by the participants on a flipchart in 3 to 5 word “bullet” form.

Analysis of ideas offered in the first 28 PAWSA workshops showed that risk mitigation ideas usually fall into approximately nine major categories. Those categories are presented in a later section of this chapter and also are defined on the first page of *Book 4: Additional Interventions*.

Once the participants have offered / discussed their ideas for reducing risk, they are asked to write those short phrases (3 to 5 word bullets) describing ideas with merit on the lines after the categories into which the ideas best fit. For example, if the risk factor being discussed is Small Craft Quality and the idea being considered is “Mandatory boat operator licensing”, then the participants would write those words on the line next to the Rules & Procedures category under that risk factor. After recording each of their ideas, the participants evaluate what risk level would result from implementing that idea. This is done by circling a number to the left of the *Book 3* risk level mark on the 1 to 9 scale next to the implementation category where the idea was written. The closer that circle is to 1, the more effective the participant team feels the idea to be. Participants should be asked to reconsider their input if they circle the highlighter mark as that indicates they do not expect any improvement from implementing their idea. After each page has been completed and collected (remember to not staple this book together), the data entry person enters those numeric evaluations into cells C4:Q219 of the *Bk 4 Input* spreadsheet, being VERY careful to put the inputs into the correct cells. Those inputs again are multiplied by the team’s expertise scores and then those scores are added together to get the average risk level if the ideas written down for a particular category were implemented.

The algorithms for the *Book 4* display determine which category most teams have chosen and then how much risk improvement would result from the ideas written down for that category. Those display algorithms also determine which category was judged to be most effective. A yellow Caution flag is displayed if the most chosen category is NOT the same as the most effective category AND either fewer than 50% of the teams chose the most chosen category OR more than 50% of the teams chose the most effective category. The presence of the yellow Caution flag for any risk factor indicates lack of consensus about the best way to achieve further risk reduction for that factor. The *Book 4* results appear in the *Bk 4 Disp* spreadsheet, are copied to the PAWSA Day Two PowerPoint™ presentation as described in section 5 of this chapter, then are shown / discussed with the participants.

After the workshop is complete, a member of the facilitation team reviews all the *Book 4* written inputs (i.e., the short phrases) and does an analysis to be incorporated into the *PAWSA Workshop*

*Report.* That analysis should determine if any ideas NOT discussed during the workshop were written down and how many teams offered the same approach to further mitigating risk for a particular factor. See Chapter 7 for details about the format and content for the *PAWSA Workshop Report*.

### 3. Facility Setup

If all preliminary logistics are properly completed, setting up the workshop room is fairly straightforward. If possible, the facilitation team should access the workshop room the day / evening before the start of the workshop and set up the materials then; this may depend on the location of the workshop (i.e., commercial facility or locally hosted facility). Setting up the workshop materials the day before may disclose problems that, if found early, can be resolved without becoming a crisis. In the event that early access is not possible, prepare to arrive in the workshop room at least one hour prior to the published start to allow sufficient setup time. The following is a general list of setup items that should not be overlooked:

√	Step	Action
<input type="checkbox"/>	1	Ensure workshop room table / chair setup provides adequate space for the facilitation team and the confirmed number of participants and observers (refer to Chapter 3, <i>Appendix C: Workshop Floor Plan</i> ).
<input type="checkbox"/>	2	Set up and test all electrical equipment including the projector, printer, and all computers.
<input type="checkbox"/>	3	Open the appropriate PowerPoint™ presentation file, and verify that all slides are in their proper order and appropriate slides are hidden as described in <i>Appendix B: Facilitator Agenda</i> .
<input type="checkbox"/>	4	Verify the <i>All Books (waterway name)</i> file is up to date.
<input type="checkbox"/>	5	Place all participant nametags in alphabetical order on a registration table near the entryway to the workshop room.
<input type="checkbox"/>	6	Place all participant name tents on the workshop tables in the seating order previously determined (i.e., with homogenous teammates sitting next to each other). Angle the name tents so that both the participants <u>and</u> the facilitator can read them easily.
<input type="checkbox"/>	7	Place an assembled participant folder, a pad of paper, and a pencil at each seat.
<input type="checkbox"/>	8	Mount the waterway chart(s) on easels at the front of the room. If ECS is used, display screens should be placed to afford all participants a clear, unobstructed view of the ECS projection See <i>Appendix G: ICAN Horizon ECS operating guide</i> .
<input type="checkbox"/>	9	Post (or provide handouts of) waterway profile data in the room.
<input type="checkbox"/>	10	Ensure the lighting / temperature is adequate; know how to adjust if necessary.

With the exception of setting up the electrical equipment, which needs to be completed each morning, the rest of the material (e.g., participant folders, name tents, etc.) will typically remain in place overnight; therefore, with the exception of Steps 2 and 3, the majority of the workshop room setup should only be necessary prior to the start of the first day.

#### **4. Day One Activities**

On the first morning, the sponsor's primary point of contact (preferably) or a member of the facilitation team (recommend this be the notetaker), should stand near the entry way at the nametag / registration table to welcome all participants and observers, taking note of any unexpected substitutions. Corrections and additional nametags and name tents should be made as soon as possible, without disrupting the session in progress. Should substitutions be made, the sponsor and the primary point of contact must adjust team assignments accordingly, which may include reseating some participants.

A great deal of information is provided to the participants on the morning of the first day of the workshop. Very often, the first few minutes set the tone for the rest of the workshop. Without a proper start and thorough knowledge of the session details, these first few minutes can set a poor, rather than a positive, tone for the entire process. Therefore, the facilitation team must ensure that everyone knows their role(s) and most importantly, keeps the workshop on schedule to avoid having to rush things later in the day.

Unless otherwise noted, during the remainder of this chapter all steps should be completed by the facilitator.

##### Morning Procedures

The morning portion of the workshop focuses on why the workshop is necessary, the reasoning behind the specific participant selection, the background of the PAWSA process, and a thorough explanation of the Waterway Risk Model and its components, along with completion of the first two books.

The first and critically important step of the entire workshop is the sponsor's welcoming remarks. The sponsor should be thoroughly prepared to deliver the welcoming remarks information in such a way that the participants feel like their time commitment will be well worthwhile. The basic topics that the sponsor should cover include the workshop objectives, the reasoning behind selecting the individuals who are present, and the products that result from the workshop. In general, the sponsor should try to reinforce the idea that cooperative federal / state / local effort is the best approach to accurately identifying risks and selecting appropriate countermeasures.

Once the sponsor has welcomed the group, the facilitator should introduce the facilitation team and then ask the participants to introduce themselves. While this is occurring, the facilitator should pass around the Attendee Contact List to all participants and observers (refer to Chapter 5, *Appendix Q: Attendee Contact List*). After the list has circulated, the facilitator should make an announcement ensuring that each attendee has had the opportunity to review the list and make changes as necessary. Once completed, the data entry person should review / correct the document as needed, making note of which individuals are observers.

Upon completing the introductions, the following administrative items should be covered, addressed to the observers as well as to the participants:

- Provide the location of telephones / restrooms.

- Address room temperature / lighting issues, if any.
- Inform attendees that breaks will occur approximately every 90 minutes and that refreshments will be available.
- Address parking details, if any (e.g., parking locations, parking validation—to avoid unnecessary parking expenses, the recommendation is that parking be validated at the end of the day).
- Cellular / mobile telephones and personal pagers can become disruptive, unless the facilitator exercises discretionary control during the workshop. Inform all attendees of the rules regarding cellular telephones and personal pagers. The facilitator should request the cooperation of the participants in limiting distraction by turning them off / to the vibrate mode. Should a participant receive a call, he/she should leave the room to respond.
- Describe the participant folder contents: Workshop Agenda / Facilitation Team Contact List / Waterway Risk Model / Waterway Risk Model Explanation / Risk Factor Mitigations / Waterway Profile Material / Glossary of Terms / Workshop Critiques. The facilitator should remind the participants to remove and review each document during the particular segment of the workshop where the document is first addressed.
- Before the actual risk assessment process can begin, the Workshop Agenda should be reviewed in detail to give all participants a comprehensive understanding of the next two days.
- After reviewing the agenda, briefly explain what the participants will be expected to do during the workshop and give a brief explanation of each book.
- Also explain the quality assurance process, i.e., that the quantitative inputs for each team are double-checked in the PAWSA software at the end of the day and corrected, if necessary.
- Finally, explain in a very direct, but tactful way, the role of the observers (i.e., observers are there only to observe—not to provide direct input into the process).

After covering all necessary administrative items, the PAWSA background brief should be conducted using the appropriate portion of *Appendix C: PAWSA Day One Brief*.

After reconvening from the first break, one hour is allotted to provide an overview of the Waterway Risk Model to explain the concepts underlying each risk factor in the model. This necessitates a very brisk pace and requires in depth knowledge by the facilitator about nuances in the concepts underlying the model. Encourage the participants to take notes and ask questions. Once this explanation is done, make sure all teammates are seated next to each other, either based on original team assignments or on necessary adjustments due to additional participants and/or substitutions.

The rest of the morning and most of the afternoon session focuses on assessing the current risk levels in the waterway, without taking into account the mitigating measures already in place; that is, the baseline risk for each factor in the Waterway Risk Model.

Begin this discussion by having the participants define the geographic area to be discussed; the notetaker should record this information in the appropriate place in the *PAWSA Workshop Report* (see Chapter 7, *Appendix C: PAWSA Workshop Report* for the recommended format / template). While *Book 1* discussions are occurring, the notetaker also should record a general sense of the discussions in short sentence form in the portion of the same *PAWSA Workshop Report* template. Participants should be reassured that all notes will be recorded anonymously, i.e., there will be no individual or organizational identification of who made a particular comment.

Use of an Electronic Charting System (ECS), in lieu of paper navigation charts, provides the workshop participants with a graphical, navigational chart based presentation of the assessment areas, aids to navigation placement, navigational channel dimensions, all critical informational components considered in risk identification and mitigation processes. If an ECS is utilized, the notetaker and ECS operator must work in close unison to electronically plot the locations of perceived high risk areas within the port, and assimilate the plotted locations of the perceived high risk areas to the discussions being recorded, following the format outlined in Chapter 7, *Appendix C: PAWSA Workshop Report*.

Explain that the waterway chart (or ECS if used) presented at the front of the room is used to visually identify risk areas during the *Book 1* discussion. As noted in Chapter 5, this can be accomplished by placing adhesive markers (or electronic markers if an ECS is used) on specific risk areas mentioned, color-coded to match the Waterway Risk Model category being discussed. *Appendix G: ICAN Horizon ECS operating guide* contains instruction on how to utilize the ICAN Horizon ECS software. This software has been used in lieu of paper charts for all PAWSA workshops conducted since 2009.

Due to the length of the discussions and evaluations, the *Book 1* discussion can be broken down into three logical sections between scheduled lunch and break periods as follows:

- **Vessel Conditions and Traffic Conditions:** Initiate a discussion of waterway risks for the Vessel Conditions risk factors. Once that discussion is done, explain how to fill in *Book 1*, then ask participants to check the blocks on pages 1 – 4 of *Book 1* that best describe the waterway being discussed. Once all teams are finished evaluating the Vessel Conditions category, continue the discussion for the Traffic Conditions risk factors. Finally, ask participants to complete pages 5 – 8 of *Book 1* before taking a lunch break.
- **Navigational Conditions and Waterway Conditions:** Initiate a discussion of waterway risks for the Navigational Conditions risk factors, then ask participants to fill out pages 9 – 12 of *Book 1*. Once all teams are finished with the Navigational Conditions category, continue the discussion for the Waterway Conditions risk factors and ask participants to complete pages 13 – 16 before taking a break.
- **Immediate Consequences and Subsequent Consequences:** Remember to shift the focus to the impact side of the risk equation when discussing these two risk categories. Initiate a discussion of waterway risks for the Immediate Consequences risk factors, then ask participants to complete pages 17 – 20 of *Book 1*. Once all teams are finished with the Immediate Consequences category, continue the discussion for the Subsequent Consequences risk factors and ask participants to complete pages 21 – 24 of *Book 1* before taking a second break.

Upon completion of the discussion and evaluation of the Vessel Conditions and Traffic Conditions, the morning portion of the process is finished; therefore, tell the participants where to get lunch (i.e., stay in/near workshop room for a catered lunch or use nearby local dining facilities) and when the workshop will reconvene.

During lunch complete the following steps to ensure a prompt and accurate start to the afternoon portion of the workshop:

Step	Action
1	Using the data entry person's computer, enter inputs for Vessel Conditions and Traffic Conditions from <i>Book 1: Baseline Risk Levels</i> into <i>All Books (waterway name) / Bk 1 Input</i> .

2	Hand out <i>Book 2: Team Expertise Cross-Assessment</i> .
3	Restart the afternoon session at PAWSA Day One Brief presentation slide 27.

### Afternoon Procedures

Immediately after lunch, continue working through the second book as described under the Morning Procedures. Once all teams have finished their *Book 1* evaluations, collect all copies and provide them to the data entry person for entry into the PAWSA software.

Instruct the participants to discuss with their teammate(s) the team's strengths and weaknesses with respect to the Waterway Risk Model categories. Then have a spokesperson from each team brief the other workshop participants on their discussion. Following those short presentations from each team, explain how to fill out *Book 2*, and ask them to do so. Remind the participants to complete only their team's column. Once all teams are finished, collect all copies and give them to the data entry person for entry into the PAWSA software (see *Appendix F: All Books (waterway name)*).

To wrap up the participant-portion of the first day of the workshop, provide a quick review of what they did today and what they can expect to do tomorrow. After any and all questions are answered, the participants may be excused.

### Session Review

After the participants have left the workshop room, a session review is conducted (i.e., a discussion of how the first day went). During the session review the sponsor and all members of the facilitation team, as well as any supporting sponsor personnel deemed appropriate, are given the opportunity to provide feedback on how the workshop is going. That feedback should cover overall impressions, presentations, facilities, participant mix and level of involvement. During this discussion, constructive criticism is necessary, focused on any changes needed before the second day of the workshop.

### Post-Day One Immediate Action Items

After everyone has had an opportunity to comment in the session review, the discussion turns to the action items that must be completed before the second day of the workshop. Once the following items are completed, the facilitation team is excused until the following morning.

Step	Action
1	Using the data entry person's computer, enter the remaining inputs from <i>Book 1: Baseline Risk Levels</i> into <i>All Books (waterway name) / Bk 1 Input</i> .
	Using the data entry person's computer, enter inputs from <i>Book 2: Team Expertise Cross-Assessment</i> into <i>All Books (waterway name) / Bk 2 Input</i> .
2	Perform a complete quality assurance check of data entry for <i>Books 1</i> and <i>2</i> (normally completed by the notetaker and the data entry person).

3	Copy cells A2:F10 from <i>All Books</i> (waterway name) / <i>Bk 1 Disp</i> (data entry person's computer) to PAWSA Day Two Brief presentation slide 4 (facilitator's computer).
4	Mark <i>Book 1</i> results on all copies of <i>Book 3: Mitigation Effectiveness</i> using orange highlighter (normally completed by the data entry person).

## 5. Day Two Activities

Prior to beginning the second day of the workshop, ensure that the setup and testing of all electrical equipment has been completed. Also open *Appendix D: PAWSA Day Two Brief* to use for the second day's presentations and hand out the *Book 3: Mitigation Effectiveness* evaluation forms to each team.

The process used for the second day is very much like what was done for the first day, but with a much different focus. The second day focuses on mitigating the risks that were brought up during the first day's discussion and evaluation. After the *Book 1: Baseline Risk Levels* results are reviewed, participants discuss the mitigating measures that are currently in place for each factor, which are then quantitatively measured using *Book 3*. During the afternoon session, other suggestions are offered for further reducing risk in the waterway. The potential effectiveness of those additional actions are then evaluated using *Book 4: Additional Interventions*.

### Morning Procedures

At the start of the day, take approximately 15 minutes to review the agenda for Day Two to refocus all participants and observers as necessary, and display, review, and discuss the results from *Book 1*.

The rest of the morning focuses primarily on existing risk mitigations. There are sure to be many mitigating measures already in place. Consequently, the discussion needs to be about both the extent to which they are used and their effectiveness. These concepts must be fully understood before moving on to the afternoon portion of the workshop.

As was done on Day One, the notetaker should record a general sense of the *Book 3* discussions in short sentence form into the appropriate portion of the *PAWSA Workshop Report* using the template provided in Chapter 7, *Appendix C: PAWSA Workshop Report*.

As was done with *Book 1*, the *Book 3* discussion can be broken down into three logical sections between scheduled break periods, as follows:

- **Vessel Conditions and Traffic Conditions:** Initiate a discussion of existing risk mitigations for the Vessel Conditions risk factors. Once complete, explain how to fill out *Book 3* and ask participants to complete the Vessel Conditions section of *Book 3*. Once all teams are finished evaluating the Vessel Conditions category, continue the discussion of existing risk mitigations for Traffic Conditions risk factors; ask participants to complete the Traffic Conditions section of *Book 3*.
- **Navigational Conditions and Waterway Conditions:** Initiate a discussion of existing risk mitigations for the Navigational Conditions risk factors; ask participants to complete the Navigational Conditions section of *Book 3*. Once all teams are finished with the Navigational Conditions category, continue the discussion of existing risk mitigations for Waterway Conditions risk factors; ask participants to complete the Waterway Conditions section of *Book 3*.

- **Immediate Consequences and Subsequent Consequences:** Remember to shift the focus to the impact side of the risk equation when discussing these two risk categories. Initiate a discussion of existing risk mitigations for the Immediate Consequences risk factors; ask participants to complete the Immediate Consequences section of *Book 3*. Once all teams are finished with the Immediate Consequences category, continue the discussion of existing risk mitigations for Subsequent Consequences risk factors; ask participants to complete the remainder of *Book 3*.

Once all teams have completed their *Book 3* evaluations, collect all copies and give them to the data entry person for entry into the PAWSA software.

Give each team their copy of *Book 2: Team Expertise Cross-Assessment* and tell the teams in general terms about the *Book 2* results. Typically at least 50% of the teams will have put themselves into the Upper Third division, and very few will have put themselves in the Lower Third division. Have the teams completely fill out *Book 2*, evaluating where all of the teams relate to each other with respect to their expertise in each risk category. Encourage participants to place equal numbers of 1's, 2's, and 3's on each line of the form, which will achieve the desired expertise distribution. Remind teams that if they choose to change the input previously provided about their own expertise, they should X out the previous entry and circle the new number. As teams finish *Book 2*, collect the forms and give them to the data entry person for entry into the PAWSA software. This completes the morning portion of the workshop; therefore, tell the participants where to get lunch and when the workshop will reconvene.

During lunch, complete the following steps to ensure a prompt and accurate start to the afternoon portion of the workshop:

Step	Action
1	Using the data entry person's computer, enter inputs from <i>Book 3</i> into <i>All Books (waterway name) / Bk 3 Scores</i> and <i>Bk 3 Y-N</i> .
2	Using the data entry person's computer, enter inputs from <i>Book 2</i> into <i>All Books (waterway name) / Bk 2 Inputs</i> .
3	Mark results from <i>Book 3</i> on all copies of <i>Book 4</i> using orange highlighter (normally completed by the data entry person).
4	Copy cells A2:L14 from <i>All Books (waterway name) / Bk 3 Disp</i> (data entry person's computer) to PAWSA Day Two Brief presentation slide 10 (facilitator's computer).
5	Hand out <i>Book 4: Additional Interventions</i> .

### Afternoon Procedures

On the second day, the afternoon focuses on interventions that might provide additional risk reduction for the waterway. Before beginning those discussions, first review the *Book 3* results with the participants. Next, explain in detail the concepts underlying the mitigation intervention categories. Analysis of past PAWSA workshop results has shown that mitigation strategies seem to fall into the following nine categories:

<b>Coordination / Planning</b>	Improve long-range and/or contingency planning and better coordinate activities / improve dialogue between waterway stakeholders
<b>Voluntary Training</b>	Establish / use voluntary programs (Coast Guard Auxiliary, Power Squadron, other state/local programs) to educate waterway users in topics related to waterway safety (Rules of the Road, ship / boat handling, etc.)
<b>Rules &amp; Procedures</b>	Establish / refine rules, regulations, policies, or procedures (navigation rules, pilot rules, standard operating procedures, licensing, <u>required</u> training and education, Regulated Navigation Areas, etc.)
<b>Enforcement</b>	More actively enforce existing rules / policies (navigation rules, vessel inspection regulations, standards of care, etc.)
<b>Nav / Hydro Info</b>	Improve navigation and hydrographic information (the Physical Oceanographic Real-Time System (PORTS), Broadcast Notices To Mariners, charts, coast pilots, Automatic Identification System (AIS), tides and current tables, etc.)
<b>Radio Communications</b>	Improve the ability to communicate bridge-to-bridge or ship-to-shore (radio reception coverage, signal strength, reduce interference and congestion, etc.)
<b>Active Traffic Mgmt</b>	Establish / improve a Vessel Traffic Service (information, advice and control) or Vessel Traffic Information Service (information and advice only)
<b>Waterway Changes</b>	Widen / deepen / straighten the channel and/or improve the aids to navigation (buoys, ranges, lights, LORAN C, Differential Global Positioning System (DGPS), etc.).
<b>Other Actions</b>	Risk mitigation measures needed that do NOT fall under any of the above intervention strategy categories

The *Book 3* results are used to stimulate discussion relating to what additional interventions are needed to further mitigate risks in the waterway. The only risk factors discussed during this portion of the workshop are those that the *Book 3* evaluation showed are NOT well balanced with existing mitigations (i.e., those risk factors with either a red flag (NO or RISING) or a yellow flag (Maybe) as the result). After being properly instructed, participants consider what else needs to be done for a particular risk factor, and indicate their opinions in *Book 4*.

As with earlier portions of the workshop, while *Book 4* discussions are occurring, the notetaker should record a general sense of the discussion in short sentence form in the appropriate portion of the same *PAWSA Workshop Report* template. The facilitator also may use a flipchart at the front of the room to write down brief phrases (e.g., three-to-five word bullets) that capture the essence of the new mitigation ideas being discussed for each risk factor. If this is done the teams will have something to refer back to when filling out *Book 4*.

Again, due to the length of the discussions and evaluations, the *Book 4* discussion can be broken down into three logical sections between scheduled break periods, just as was done for *Book 1* and *Book 3*. Remember, only discuss and have the participants evaluate risk factors displaying a red or yellow flag; there is no need to discuss / evaluate mitigation interventions for those risk factors displaying a green flag.

- Vessel Conditions and Traffic Conditions: Initiate a discussion of additional risk mitigations for the Vessel Conditions risk factors only. Then explain how to fill out *Book 4* and ask participants to complete page 1 of *Book 4*. Once all teams are finished with the Vessel Conditions section, continue the discussion of additional risk mitigations for Traffic Conditions risk factors; ask participants to complete page 2 of *Book 4*.
- Navigational Conditions and Waterway Conditions: Initiate a discussion of additional risk mitigations for the Navigational Conditions risk factors; ask participants to complete page 3 of *Book 4*. Once all teams are finished with the Navigational Conditions section, continue the discussion of additional risk mitigations for Waterway Conditions risk factors; ask participants to complete page 4 of *Book 4*.
- Immediate Consequences and Subsequent Consequences: Initiate a discussion of additional risk mitigations for the Immediate Consequences risk factors; ask participants to complete page 5 of *Book 4*. Once all teams are finished with the Immediate Consequences section, continue the discussion of additional risk mitigations for Subsequent Consequences risk factors; ask participants to complete page 6 of *Book 4*.

Due to the amount of time needed for *Book 4* data entry, each page should be collected by the facilitator upon completion and given to the data entry person for immediate entry into the PAWSA software, allowing the results display to be completed prior to the participants' review.

At this point there is only one hour remaining in the workshop. While the data entry person continues to enter the *Book 4* inputs, ask all participants and observers to individually complete the Workshop Critique. When collecting the critiques, remember to do so in a manner that preserves anonymity.

Once all critiques are collected, display, review, and discuss *Book 4* results with the participants. Upon conclusion of the discussion, wrap up the workshop by thanking the participants and the observers on behalf of the facilitation team. Then turn the floor over to the sponsor for final remarks.

### Session Review

As was done on Day One, a session review should be conducted once the participants have left the room following the last workshop session. Aside from discussing overall impressions of Day Two, the basis for this meeting is to ensure that the sponsor, sponsor's primary point of contact, and each member of the facilitation team are aware of the post-workshop action items, and the agreed upon order and timeline for completing those items. See *Chapter 7: Post-Workshop Action Items* for details.

If contractor support is used to conduct the workshop, a meeting should be held with the sponsor and his/her staff on the second day after the workshop as required by the Statement of Work to discuss the final results of the workshop.