

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"¹ and "stakeholders"². 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.

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,

¹ "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.

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

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
- Tribal Communities - Executive Order 13175 requires federal departments and agencies to consult with Indian Tribal Governments when considering policies that could impact tribal communities. If there are Tribal interests within a PAWSA geographic assessment area, the workshop sponsor must engage and encourage their participation in the PAWSA workshop.

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!