IALA GUIDELINE

1079

ESTABLISHING AND CONDUCTING USER CONSULTANCY BY AIDS TO NAVIGATION AUTHORITIES

Edition 1.0
December 2009
Revisions to this IALA Document are to be noted in the table prior to the issue of a revised document.

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<thead>
<tr>
<th>Date</th>
<th>Page / Section Revised</th>
<th>Requirement for Revision</th>
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1. **INTRODUCTION**

The SOLAS Convention Chapter V Regulation 13 requires that contracting governments undertake to arrange for the establishment and maintenance of such Aids to Navigation (AtoN) as, in their opinion the volume of traffic justifies and the degree of risk requires, and to arrange for information in relation to these AtoN to be made available to all concerned.

Within the process of forming their opinion responsible Authorities are guided by IALA to establish and conduct user consultation when planning new AtoN or changes to their existing provision of AtoN. It is not restricted to the use of physical AtoN and other types of AtoN, such as VTS, AIS and applicable parts of e-Navigation should be considered. Consultation should also be a means to monitor these services. This document gives guidance to those Authorities that wish to carry out such a process. It enables Authorities to formulate policies consistent with the users’ requirement and resources available and to make recommendations to governing bodies. This process may also be used in conjunction with the risk management tools which can be obtained from IALA such as PAWSA and IWRAP Mk2.

IALA members should identify the more appropriate elements for each user consultancy process, using the principles described herein.

2. **SCOPE**

Consultations, while often integral to many decision-making processes, can have various meanings for different practitioners and participants. In some cases, consultations are defined in legislation or agreements. Consultations can be ad hoc or regularised. Sometimes they are undertaken extensively, on broad issues with a wide-range of participants; other times, consultations are more intensive, with a narrower focus and specifically-targeted participants.

For the purposes of describing, the scope can be defined in four different levels of public involvement, depending on the degree of interaction between the authority and other parties involved. This forms a continuum from the lowest degree of interaction to the highest, as illustrated below.

![Degrees of public involvement](Degrees of Public Involvement)

This document provides general guidance on consultations, but does not preclude the development and implementation of strategies for specific programs.

2.1. **INFORMING**

Authorities distribute or make accessible information on policies, decisions, services, and legislation.

2.2. **CONVENTIONAL CONSULTATIONS**

Authorities can request feedback in a decision-making process after having determined the problem or issue and having identified the participants in the process, and makes the final decision.

Conventional consultations solicit information, input and feedback from others on a policy or program proposal; they can range in intensity from sending letters and background documents for soliciting input from targeted...
participants through to a series of national workshops and public meetings. Conventional consultations can be organised as either ad hoc or on-going processes. However, these processes rarely force clients and stakeholders to reconcile their positions with other clients or stakeholders, as they tend to focus the dialogue on and through the Authority.

2.3. CITIZEN ENGAGEMENT

Authorities and citizens/groups undertake a process of deliberative dialogue by which participants commit to a process that seeks a public interest solution, including the possibility of debating current government assumptions/policies and the advocacy interests of others.

Through citizen engagement processes, clients, partners and stakeholders begin to develop relationships with other consultation participants. Resulting dialogues can include debating current systems and assumptions and traditionally-advocated viewpoints and roles.

2.4. NEGOTIATED ARRANGEMENTS

Authorities can delegate decision-making to other groups, or can share decision-making powers, or manage cooperatively.

Table 1 Methods of Consultation

<table>
<thead>
<tr>
<th>Type of Public Involvement</th>
<th>Methods of Consultation</th>
<th>Medium</th>
</tr>
</thead>
<tbody>
<tr>
<td>‘Conventional consultations’</td>
<td>interviews</td>
<td>in person</td>
</tr>
<tr>
<td></td>
<td>toll-free lines / hotlines</td>
<td>telephone</td>
</tr>
<tr>
<td></td>
<td>questionnaires / surveys</td>
<td>hard copy, on-line</td>
</tr>
<tr>
<td></td>
<td>open houses / public information centres / public meetings</td>
<td>in person, video link</td>
</tr>
<tr>
<td></td>
<td>bilateral meetings</td>
<td>in person, video link, on-line (synchronous and asynchronous)</td>
</tr>
<tr>
<td></td>
<td>conferences / workshops</td>
<td>in person, teleconference</td>
</tr>
<tr>
<td></td>
<td>focus groups</td>
<td>in person</td>
</tr>
<tr>
<td></td>
<td>advisory boards / committees</td>
<td>in person</td>
</tr>
<tr>
<td></td>
<td>comment forms / workbooks</td>
<td>hard copy, on-line</td>
</tr>
<tr>
<td>Citizen engagement</td>
<td>consensus conferences</td>
<td>in person</td>
</tr>
<tr>
<td></td>
<td>round tables</td>
<td>in person, video link</td>
</tr>
<tr>
<td></td>
<td>task forces</td>
<td>in person, video link</td>
</tr>
<tr>
<td></td>
<td>electronic meetings (group decision support software)</td>
<td>in person, video link</td>
</tr>
</tbody>
</table>
3. DEFINING THE PARTICIPANTS

3.1. COMMUNITY OF INTEREST

A group of people with common interests who may or may not reside in the same area, especially with regard to people on-line who share similar interests.

3.2. CIVIL SOCIETY ORGANISATIONS

Citizens’ organisations, such as labour, business, professional organisations or other interest groups, that formally or informally represent views on behalf of citizens on specific issues.

3.3. CLIENT

A citizen or group who is directly affected by the matter and could be affected by decisions socio-economically or on other matters.

3.4. OTHER ADMINISTRATIVE AUTHORITY

A governmental department or agency.

3.5. PARTNER

A group with which the Authority collaborates on the development of policies and programs, which generally includes other Administrative Authorities.

3.6. PUBLIC

Citizens or residents who are interested, including but not limited to: representatives of environmental and other advocacy groups, business and industrial interests, including small businesses; the media; unions and labour organisations; scientific and professional representatives; civic and community associations; faith-based organisations; and research, academic, and educational associations and organisations.

3.7. STAFF

An employee at any level within the Authority who might have input into a decision-making process.

3.8. STAKEHOLDER

A person, group or agency that has a direct interest in an issue for which the Authority has a mandate or legal responsibility, and may or may not be directly affected by the Authority’s programs and activities, and also non-governmental organisations, civil society organisations).
3.9 SOME TYPES OF CLIENTS, STAKEHOLDERS AND PARTNERS

- Associations, federations – national and regional;
- Aquaculture industry groups, in general;
- Conservation and environmental protection groups – provincial, regional, national and international;
- Port Authorities;
- Pilots and Pilots’ Associations;
- Shipmasters and Shipmasters’ Associations;
- Harbour masters;
- Conservation authorities;
- Co-operatives and rural groups;
- Emergency response organisations;
- Agriculture industry groups;
- National Authorities and agencies;
- Fish and sea product marketing groups;
- Fish processing organisations;
- Fishermen’s and fish workers’ unions;
- Fishing industry groups, associations and federations, organised by region or by species Management boards (e.g. wildlife and watershed management);
- Marine advisory boards;
- Minority linguistic communities;
- Municipalities and associations of municipalities;
- Energy industry, including the oil and gas industry;
- Utilities industry;
- Policing and enforcement organisations;
- Provincial and territorial governments;
- Provincial energy and utility boards;
- Recreational fishing groups;
- Recreational boating groups;
- Resource co-management bodies and advisory groups;
- Safe boating organisations;
- Shipping groups and ferryboat operators’ groups;
- Small Craft Harbours Authorities;
- Tourism and eco-tourism industry groups;
- University and academic research networks – regional and national;
- Voluntary organisations and community groups;
• Youth groups, school groups and student groups.

4. **PHASES OF CONSULTATION**

In this part of the document some answers to the following questions are provided:

1. Who can plan the consultation?
2. How can the objectives of a consultation be developed?
3. Who might be consulted?
4. How can the most effective consultation method be identified?
5. Who should facilitate the consultation?
6. What should be done with the feedback gathered from participants?
7. What can be done to show that views are being considered in the decision-making process?
8. How can consultations be evaluated?

Consultation planning should be objective-driven, not technique-driven. In other words, decide the objectives for the consultation first and then choose the techniques.
4.1. **PREPARATION**

Planning helps to create understanding of the objectives and the process for the consultations so that everyone involved has similar expectations.

The preparation of a consultation plan gives the planning team an opportunity to:

- Examine the process and its resource requirements;
- Set strategic objectives for the consultation process that are clear, feasible and measurable, and set specific goals throughout the process;
- Assign roles and responsibilities;
- Agree on time constraints;
- Anticipate areas of concern and outline possible solutions;
- Identify areas for coordination within the Authority and with other departments;
- Establish criteria for evaluation.

4.1.1. **ESTABLISHING A PLANNING TEAM**

An effective consultation team should consist of key individuals with diverse and complementary skills in areas such as planning, organization, and implementation.

Who should be on the team? The planning team might include:

- Sectors;
- Regions;
- Administrative staff;
- Legal Services;
- Communications staff;
- Facilitators and other experts;
- External stakeholders, in some cases.

Responsibilities of team members can include determining:

- Human and financial resources;
- Skills and support needed;
- Links with other sectors or regions;
- Government departments and procedures on communications and consultations;
- Who speaks on behalf of the Authority;
- Who manages and evaluates the consultation;
- Who the decision-makers are.

4.1.2. **SCOPING THE DECISION**

Clarifying the scope of the decision is important for ensuring that the proponents of the consultation and the participants know what type of decision is being made at the end of the process. The scope of the decision is a simple definition or statement of what has to be decided. In some cases, key stakeholders might be asked for assistance in scoping the decision.
4.1.2.1. What is a decision scope?
A decision scope is a simple definition or statement that describes the goal of the decision-making process. For example:

1) How to protect the marine mammals and their habitat by improving regulations for vessel approach, viewing, scientific research, and eco-tourism.

2) How to develop a clear and consistent policy framework for the fisheries, which includes a vision, objectives and principles in order to provide the foundation for the management of these fisheries over the long term.

3) How to determine which fleets will fish particular stocks on which days and times of year using which gear.

4.1.3. Setting objectives
It is important for participants to know the overall objectives of the consultation, and the sub-objectives if there are any. Clearly defining the objectives of the consultation can reduce the potential for conflict that might arise when participants are left to make assumptions about objectives.

4.1.4. Identifying participants
Decision-makers need to consider the contributions of people with a wide variety of backgrounds, perspectives, and expertise. The extent of participants’ involvement will depend on the level of their interest, and the extent to which the decisions are likely to affect them. It is also a matter of seeking input and involvement from those who can make a meaningful contribution to the decision-making process.

4.1.4.1. How should participants be selected?
Consider the need to:
- Develop criteria to select the participants;
- Determine stakeholder availability for consultations;
- Research past consultations to understand the positions and interests of stakeholders;
- Determine how the consultations fit into stakeholder availability;
- Identify relevant mandates/jurisdictions of other governments and Authorities;
- Determine whether stakeholders require specific knowledge to participate;
- Identify Authority staff and their role in the consultations (e.g. as experts, facilitator, legal/scientific background etc.);
- Talk to key stakeholder groups to get advice on who should participate.

4.1.5. Developing the timelines
The amount of time allotted for a consultation depends on the complexity of the issue and the consultation methods selected. This means weighing many factors and it is easy to underestimate the length of time that will be required for planning, implementation and evaluation.

4.1.5.1. How is a timeline developed?
Take into consideration:
- Deadlines for decisions;
- Development of background materials and their translation;
- Co-ordination with Communications Branch to develop a communications strategy and materials, if necessary;
• The need for participants and stakeholders to understand material, consult with constituencies or members, and prepare input;
• The effect of the time of day or year (such as fishing seasons, industry activities, and business hours);
• The location of consultations and time requirements for travel and set-up;
• The length of time required to analyse results and report back to participants.

4.1.6. **DOING A CONTEXT SCAN**

A context scan can reveal opportunities and barriers that might affect the consultation. A broad perspective is especially important if the scan is to gather information on relevant issues.

Research can:
• Identify stakeholders’ interests from past consultations;
• Show which messages stakeholders have participated in previous consultations;
• Reveal the nature of the Authority’s relationships with stakeholders, and relationships among stakeholders;
• Identify the general concerns of potential participants;
• Explain how stakeholders prefer to be consulted;
• Identify initiatives and mandates of other Authorities, agencies and government.

4.1.6.1. **Where can information for a context scan be found?**

- Media clippings;
- Meeting minutes from established consultation mechanisms, such as advisory groups;
- Websites of stakeholders and newspapers;
- Contact stakeholders directly.

4.1.7. **DEVELOPING A BUDGET**

Developing the budget can help to anticipate the likely costs required for the design, implementation, and evaluation stages of the consultation.

4.1.7.1. **What goes into a budget?**

Some costs that might be included in a budget are:
• Development of background documentation;
• Translation costs (whether required or discretionary) of written background documents, meeting summaries and reporting, and simultaneous interpretation, if required;
• Communications products and advertising;
• Rental of appropriate facilities, technical services, equipment and administrative needs;
• Costs for information technology and specialists;
• Administrative costs (office supplies, note-taking);
• Provisions for participants with special needs; and
• External specialists.

4.1.8. **INVOLVING COMMUNICATIONS STAFF AND THE MEDIA**

In some cases, in the consultation process, communications staff can help establish and maintain relationships with the media that can benefit the Authority and participants as well as the general public.
Communications products can include the following:

- News releases;
- Backgrounders;
- Media lines, including questions and answers for the spokesperson;
- Information (educational) packages;
- Brochures or pamphlets;
- Fact sheets;
- Media advisories;
- Advertising;
- Websites.

4.1.8.1. What can the Communications staff do?

- Help determine its role in the consultation process;
- Co-ordinate media relations;
- Help identify the amount and type of information for the general public;
- Help develop information in plain language for consultation participants;
- Clarify issues at stake and determine the message, especially for complex issues; and
- Work with spokesperson for media activity.

4.2. DESIGN

The design of the consultation process is about setting the stage to achieve the expectations laid out in the consultation objectives. Selecting the consultation method is a major component of the design, as is ensuring flexibility in the process. When selecting consultation methods, it is important to pay attention to key elements, such as:

- The issue and its urgency;
- Availability of resources, human and financial;
- Time and skills available;
- Geographic scope (national, regional, or both);
- Range of stakeholders;
- Decision-makers’ desired level of participation; and
- How stakeholders prefer to be consulted.

4.2.1. SELECTING METHODS OF CONSULTATION

No single method or process is appropriate for all situations, as each has inherent strengths and weaknesses. The most effective consultations use a variety of techniques to meet the needs of stakeholders and to maximize the efficiency and effectiveness of the consultation process.

Once the objective of the consultation has been determined, it can be helpful to ask the following questions:

- Which methods are usually used for consulting on this issue and with these stakeholders?
- What are the advantages and disadvantages of using that method?
- Are stakeholders to be involved in establishing the consultation process?
• Have the same stakeholders participated in past consultations?
  • Are there other participants who should be involved?
  • How can they be involved?
  • Should different interest groups be invited to the same table or not?
• What is the expected outcome?
  • Is consensus the goal of the consultation?
  • If the goal is not consensus, how should general agreement be reached?
  • Is stable disagreement an acceptable outcome?
• Are participants expected to provide feedback on alternatives?
• Are participants expected to develop the alternatives and identify potential solutions?
  • Are participants expected to make a decision that the Authority will implement?
  • Will participants own the decision?

4.2.1.1. How are consultation methods chosen?
• What is the level of consultation?
• What are the timelines?
• Do stakeholders have access to new technologies for participation?
• Where are the stakeholders and participants?
• How many participants will there be?
• How sensitive are the issues?

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Consultation methods selection

- **What is the level of consultations?**
  - Comment/Input
  - Discussion
  - Consensus

  - Lower interaction among more participants
    - How many participants will there be?
    - How sensitive are the issues?
  - More interaction among fewer participants

- **What are the timelines?**
- **Where are the stakeholders and participants?**
- **Do stakeholders have access to new technologies for participation?**

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*Figure 3  Consultation methods selection*
4.2.2. **ENSURING FLEXIBILITY**

When designing the consultation, the process should be flexible to allow for change as necessary, options can be developed for an alternate discussion leader, facilitator, or location. In all cases, changes should be shared with participants for greater transparency.

4.3. **IMPLEMENTATION**

In the implementation stage, there is a shift from planning and designing, to actually carrying out the consultation. The success of this stage depends on the management abilities of the consultation team and the skills of the facilitator.

At the implementation stage, the main tasks are:

- Managing and facilitating the consultation;
- Facilitating the exchange of input and encouraging meaningful participation;
- Evaluating throughout.

The details of logistics can affect the success of a consultation activity, and the integrity of the process as a whole. Details can include:

- Choosing the location for the consultations;
- Deciding on room set-up, and security and access arrangements;
- Determining the level of media attendance and their requirements;
- Providing particular types of food and refreshments;
- Choosing attire that is suitable to the participants (e.g., social or cultural preferences for casual or business attire).

4.3.1.1. **What about the logistics?**

- Venue location within the community;
- Physical security and access;
- Literacy;
- Technical knowledge;
- Computer access;
- Location (travel and access to documents); and
- Linguistic and cultural differences.

4.3.2. **MANAGING AND FACILITATING THE CONSULTATION**

Management and facilitation require:

- A clear understanding of the objectives of the consultation;
- Definition of the boundaries of the decision-making process;
- Knowledge of the issues that might be raised by participants.

Some knowledge and skills required for public consultations:

- Assured listening;
- Consensus building;
- Understanding of group dynamics;
• Facilitation;
• Negotiation;
• Conflict management.

The decision scope helps to identify the limits and the constraints that are not available for discussion. Each consultation process cannot address every problem that might exist in a community. However, a good process can be a model for how to address those other issues. Participants can be encouraged to find other avenues of participation for the other issues they might raise.

Some conflict management strategies in advance of the consultation:
• Take courses on developing communication skills;
• Take conflict management training to understand types of conflicts, personalities and strategies;
• Try to define the nature of potential conflict by asking why certain positions are held (e.g. conduct a context scan).

Some conflict management strategies during the consultation process:
• Outline the mandate and authority for consulting;
• Validate objectives and problem definition with participants;
• Describe the level and type of participation and consultation process to participants;
• Share expectations for the consultation process with participants and encourage participants to share their expectations;
• Determine the potential for a satisfactory resolution of the problem;
• Let participants express their points, without telling them what they think, know or feel (e.g. do not say 'I know how you feel', but rather say 'I can see that this is something that concerns you');
• Understand how important the issue is for participants, and whether the conflict needs to be resolved or can be set aside momentarily;
• Separate the problem into components and develop solutions for each;
• See if participants should be directed to the proper authority, such as in another government department or a provincial agency;
• Determine whether the Authority has made a commitment to work with the other authorities on the issue;
• Determine whether participants are willing to explore alternative solutions.
4.3.2.1. Who should facilitate?

Table 2 Facilitators

<table>
<thead>
<tr>
<th>Pros</th>
<th>Cons</th>
<th>Potential solutions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Authority Staff</td>
<td>Has in-depth knowledge of issues</td>
<td>Co-chair with another party to provide balance.</td>
</tr>
<tr>
<td>Has professional training</td>
<td>Might not be perceived as impartial</td>
<td>Discuss process and expectations with facilitator in advance.</td>
</tr>
<tr>
<td>Is considered impartial</td>
<td>Might lack facilitation and conflict management skills.</td>
<td>Authority staff can act as experts to provide information, as required.</td>
</tr>
<tr>
<td></td>
<td>Might lack specific knowledge of issues, history and relationships.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Might not be able to interpret information accurately.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Might lack specific knowledge of issues, history and relationships.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Might not be able to interpret information accurately.</td>
<td></td>
</tr>
</tbody>
</table>

4.3.3. MANAGING THE INPUT FROM PARTICIPANTS

Participants can provide feedback in a variety of ways. It is important to inform participants of when, the kind of feedback that is expected from them, and the follow-up that can be anticipated from the Authority.

Examples of different forms of feedback include:

Table 3 Examples of different forms of feedback

<table>
<thead>
<tr>
<th>Verbal</th>
<th>Written</th>
</tr>
</thead>
<tbody>
<tr>
<td>Note-taking of comments during consultations</td>
<td>Completed workbooks, surveys and questionnaires, online or hard copy</td>
</tr>
<tr>
<td>Audio and video taping of consultations</td>
<td>Letters and e-mails</td>
</tr>
<tr>
<td>Interviews and discussions</td>
<td>Voting</td>
</tr>
<tr>
<td>Telephone hotlines</td>
<td>Hard-copy or on-line input and feedback</td>
</tr>
</tbody>
</table>

4.3.4. EVALUATING THROUGHOUT THE PROCESS

Evaluating through ongoing monitoring is important for the consultation process. It is important to track success at different stages and to adapt the process, as necessary, in order to keep the consultation focused on the decision scope and the objectives.

What can be used to monitor and evaluate the process? Some examples are:

- Questionnaires;
  Participants provide their comments through a form (hard copy or online) depending on the type of consultation.

- Interviews;
  Participants provide their comments verbally.

- Focus groups;
  Small groups of participants provide in-depth feedback and information concerning specific aspects of the process.
• Media scans;

   News clippings are monitored for information and reactions to the consultation process.

At the same time, internal evaluation throughout the process provides an opportunity for the planning team to ensure that the consultations are meeting the objectives, and that quality advice and information are being provided.

4.4. **SYNTHESIS AND REPORTING BACK**

Synthesis of the feedback from participants is required in order to understand how to assess the information collected and use it for decision-making. To assess the contributions of participants:

- Summarize all feedback;
- Examine quantitative and qualitative data; and
- Examine the content and nature of the feedback.

4.4.1. **TYPES OF REPORTING BACK**

- Meeting summaries;
- Interim reports, which can be provided to decision-makers on the status of the consultation throughout the process;
- A consultation report, which can describe what was heard.

Depending on when decisions are made and by whom, the same consultation report, or further reporting, can describe how input was, or will be, used in the decision-making process.

4.4.2. **REPORTING BACK TO PARTICIPANTS**

This section supports the principles of Clarity and Transparency.

In some cases, can be useful to summarize the comments, opinions and information received so that participants and decision-makers can understand themes raised, gauge trends and strengths of opinions, and know who participated.

4.5. **EVALUATION**

Evaluation is a way to learn from experience.

The evaluation can:

- Inform the Authority and the public of the value of the consultation;
- Ensure that consultation practices are consistent with the consultation principles;
- Measure how successfully;
- Document best practices and lessons learned that will inform future consultation initiatives;
- Monitor the effectiveness of Authority efforts to increase participation of clients, stakeholders, and partners in departmental decision-making processes.

5. **CONTINUOUS IMPROVEMENT**

It can be important to maintain contact with participants for continued information sharing, to keep the lines of communication open, and to allow future relations to develop. Continued contact with participants can be maintained through mail or e-mail updates, by providing documents or by indicating where documents (hard-copy or on-line) can be found. It is usually not a good idea to use media for feedback unless it is one of many tools used to reach a larger audience.
6. EVALUATION CHECKLIST

6.1. PREPARATION

- Was the need for consultation confirmed?
- Was a planning team established and roles and responsibilities assigned?
- Were objectives of the consultation and expected outcomes identified?
- Was a timeline for the consultation process developed?
- Were the potential benefits and disadvantages of the consultation identified using a context scan?
- Were anticipated costs, resources and required skills identified?
- Were the roles for communications and the media identified?
- Were criteria for monitoring and evaluation established and related to the objectives?

6.2. DESIGN

- Were consultations method(s) identified for various circumstances and participants?
- Were participants given enough time to prepare input for consultations?
- Were plans developed for each consultation activity?

6.3. IMPLEMENTATION

- Were expectations shared with and among participants?
- Were conflicts anticipated and managed?
- Who facilitated? Was the facilitation successful?
- Were participants prepared to participate in activities?
  - Was enough information provided?
  - Was the information understandable?
- Was monitoring incorporated in the consultation process?
  - Were modifications necessary (in methods, timetable, resources or participation) to advance the consultation objectives?

6.4. SYNTHESIS & REPORTING

- Was feedback sought on the process and progress of the consultation?
- Were participants kept up-to-date on the process?
- Was it determined in advance how to report back, when and to whom?

6.5. EVALUATION

- Was there ongoing documentation and reporting throughout the consultation process?
- Was the evaluation based on the performance indicators established earlier in the process?
- How was the feedback used in the decision-making process?
- Can best practices and lessons learned be shared with others?
• Is follow-up required for next steps in the relationship with participants and stakeholders?

7. **ACRONYMS**

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<thead>
<tr>
<th>AtoN</th>
<th>Aid(s) to Navigation</th>
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</thead>
<tbody>
<tr>
<td>IALA</td>
<td>International Association of Marine Aids to Navigation and Lighthouse Authorities</td>
</tr>
<tr>
<td>IWRAP</td>
<td>IALA Waterways Risk Assessment Program</td>
</tr>
<tr>
<td>PAWSA</td>
<td>Ports and Waterways Safety Assessment tool</td>
</tr>
<tr>
<td>SOLAS</td>
<td>International Convention for the Safety of Life at Sea, 1974 (as amended)</td>
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ANNEX A  EXAMPLES

The following examples demonstrate the process of user consultation for a variety of levels of involvement.

A 1.  EXAMPLE 1

An AtoN Authority holds a review which includes traffic analysis and risk assessment. A regional office identifies a buoy that it believes is no longer justified.

A 1.1.  PREPARATION

The regional office prepares the proposal and determines the level of consultation required.

A 1.2.  DESIGN

It then chooses the consultation method of utilising the established local users forum and prepares to present the proposal at the next scheduled meeting.

A 1.3.  IMPLEMENTATION

The proposal is sent out to the members of the forum in advance of the meeting to enable them to consult with those that they represent (e.g. ferry operators, fishermen, leisure users). At the forum meeting the proposal is met with mixed views and it is decided that it should be discussed further at the regional navigation committee. At the meeting of the regional navigation committee the proposal is presented and the local users’ forum representative reports the views of the forum. The regional navigation committee considers the views of the local users’ forum to be of a minor nature and supports the proposal to remove the buoy.

A 1.4.  SYNTHESIS AND REPORTING BACK

The regional office reports to the national authority of the outcome and the national authority authorise the removal of the buoy and promulgates the appropriate notice to mariners and nautical publications.

A 1.5.  EVALUATION

As part of the process the regional office conducts regular meetings with the local users forum.

A 2.  EXAMPLE 2

A local user group (pilots) expressed growing concerns that the present system of AtoN was proving inadequate for the increasing number, size and congestion of vessels converging at a pilot boarding area of a major port system. Using their standing user consultation process they took their concerns to their regional representative who in turn raised these concerns at the standing regional navigation committee. The regional navigation committee recognised the significant risk associated with these concerns and immediately referred the matter to national level.

A 2.1.  PREPARATION

The national AtoN authority performed an analysis that informed a risk assessment. From this risk assessment the User Group concerns were quantified and a proposal was formed by the National AtoN Authority to change the present system to a traffic separation scheme to mitigate the increased risk.
A 2.2. DESIGN

The National AtoN Authority then identified that a full User Consultation process including local, regional, national and international bodies and individuals with involvement in the issue was required.

A 2.3. IMPLEMENTATION / SYNTHESIS AND REPORTING

The output from the extensive consultation was used to amend and finalise the proposal. All those consulted were advised of the final proposal. The approval of the proposal was formalised through the National Navigation Committee. With this approval the National AtoN Authority sought adoption of the proposed traffic separation scheme by the International Maritime Organisation (IMO). IMO duly approved the scheme which came into force on the following July 1st.

At which time a major operation was undertaken by the National AtoN Authority to establish the marking of the new scheme and remove the previous system.

A 2.4. EVALUATION

The National AtoN Authorities standing User Consultation process continues to be used to monitor the effectiveness of the new scheme.