

The American Waterways Operators



2002
Annual
Report



"We pledge to continue to lead with a strong passion for enhanced public safety and security while sustaining the free, unimpeded flow of commerce – both of critical importance to America."

Steve T. Scalzo

Chairman of the Board
The American Waterways Operators



Photo by Rodger Melton

Association Leadership

Chairman's Message

2002 has been a year of change for the American tugboat, towboat and barge industry. The events of the year have challenged AWO members to demonstrate their passion for the industry through action and advocacy, particularly in two areas: safety and security. The tragic barge/Interstate 40 bridge accident in Oklahoma over Memorial Day weekend and the resulting loss of 14 lives was a devastating blow to all AWO members, who are deeply committed to safety. AWO members are recognized as industry safety leaders for establishing the Coast Guard-AWO Safety Partnership and developing the AWO Responsible Carrier Program (RCP), two initiatives from which many safety enhancements have emerged. Proof of third-party audited compliance with the RCP, an award-winning U.S. Coast Guard-recognized safety management program, is a requirement for membership. AWO members consider any industry accident resulting in loss of life totally unacceptable.



The I-40 accident propelled them into action, launching a Coast Guard-AWO Bridge Allision Working Group to

examine the issues surrounding such accidents in order to draw conclusions from the available data and construct recommendations for possible remedial action. As the year draws to a close, the group is poised to make recommendations to help avoid serious bridge allisions and their consequences.

Another safety concern that AWO has addressed proactively is the issue of crew alertness. For the past several years, the U.S. Coast Guard, in cooperation with AWO members, has conducted research into the safety performance of crewmembers while coping with job-related physiological, environmental, operational and psychological challenges. The product of that research is the Crew Endurance Management System (CEMS), a program to control these four major risk factors affecting alertness and stamina. Many AWO members are now in the process of incorporating CEMS into their operations in order to

achieve greater safety performance and reduce the risk of fatigue-related accidents.

The second major area of challenge this year has been the issue of port and waterways security, a relatively new issue for our industry, but one which will surely be with us for years to come. Demonstrating its reputation for leadership, AWO once again acted proactively, developing the AWO Model Vessel Security Plan long before the Coast Guard announced any such requirement. Notably, the Coast Guard is poised to pronounce the AWO Model Vessel Security Plan the industry standard. AWO members will continue to consider themselves the "eyes and ears of the waterways" as they employ new tools for enhanced security.

Behind every one of these initiatives is AWO members' commitment to this great industry. We care deeply about helping to shape effective new policies that will improve the industry and serve our nation. We pledge to continue to lead with a strong passion for enhanced public safety and security while sustaining the free, unimpeded flow of commerce – both of critical importance to America.

A handwritten signature in black ink, appearing to read "Steve T. Scalzo".

Steve T. Scalzo

2002 Executive Committee

AWO's Executive Committee, responsible to the Board of Directors, guides policymaking and exercises day-to-day oversight of the affairs of the association.



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Seattle, WA



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Shipyard Affiliate
Colonna's Shipyard, Inc.
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"The paramount issues of 2002 transcended economic considerations and centered on a fundamental imperative: protecting the lives of American citizens."

President's Report

Change and uncertainty – these were the overriding characteristics that defined 2002 for America's tugboat, towboat and barge industry. AWO prides itself on being an organization that gives careful thought to the future and then works to achieve the goals of its strategic plan. In 2002, our strengths were tested less in that realm than in our ability to adapt quickly to changed circumstance and our agility in planning and implementing simultaneously. We were gratified and reassured by the results of that challenge.

2002 was also characterized by the enormous gravity of the public policy challenges that confronted the industry. The paramount issues of 2002 transcended economic considerations and centered on a fundamental imperative: protecting the lives of American citizens. That imperative was manifested in the matters of maritime security and marine safety.

Our industry joined the Administration and Congress in grappling with new threats to the marine transportation system that would have seemed inconceivable prior to September 11, 2001. The nationwide reach of our industry, and the many cargoes we carry,

long a part of our fundamental value to the nation, now took on a different cast as we considered, almost unbelievably, how our vessels might become conveyances for inflicting further harm on the nation. The need to examine our operations in this new and harsh light was a jarring experience. Nonetheless, the industry used that realization to engage government decisionmakers in an effort to identify the risks and minimize the possibility of exploitation by terrorists. AWO supported congressional passage of the Maritime Transportation Security Act, and worked with the U.S. Coast Guard and the U.S. Army Corps of Engineers to develop a Model Vessel Security Plan that helps guide companies in preventing and responding to the new security threats.

AWO confronted challenges in the marine safety realm, as well. The nation awoke over Memorial Day weekend to television news accounts and disturbing footage of the tragic barge/bridge accident in Oklahoma, which claimed the lives of 14 motorists. For an industry that sees itself as a genuine leader in the effort to improve marine safety, the tragic proportions of this human loss were enormously unsettling. AWO moved immediately to express the industry's real and profound regret. We also quickly launched with the Coast Guard an examination of the industry's record of bridge allisions to learn from

previous accidents and identify measures needed to improve that record. AWO's members have made clear that they expect our industry not just to acquiesce in remedial actions proposed by others, but to lead the development of solutions through candid dialogue and constructive partnership with Congress and the Coast Guard.

Change and uncertainty. We learned much from the experience of 2002 – some of it sobering, some of it heartening. As an industry, and as a nation, we end the year better than we began it. Our level of risk in both maritime security and marine safety is reduced. Our plans to improve protection and performance in both areas are clearly on track. We have a new appreciation for the importance of not only managing change, but staying a step ahead of it. We have a renewed understanding of our obligation to lead the industry toward safer performance and more secure transportation of our customers' cargoes. We know that succeeding in both quests is the real measure of our industry's value to America today.



Thomas A. Allegretti



Responsible Carriers: Pushing for a Safer, More Secure Industry

AWO's agility was tested in 2002 as it was called to action on many different fronts and initiatives. Always mindful of its foremost mission, to ensure a safer, more secure industry, AWO worked to develop strategic approaches to achieve success in the following major challenges the industry confronted during the year.

Coast Guard-AWO Bridge Allision Working Group

AWO and the Coast Guard moved quickly to implement a cooperative response to the I-40 bridge accident. The Coast Guard-AWO Safety Partnership, formed in 1995 to promote government-industry cooperation to improve marine safety and environmental protection, provided the vehicle for action. Less than a month after the accident, the partnership launched the Coast Guard-AWO Bridge Allision Working Group, an expert panel including towing vessel captains, industry executives and Coast Guard officials with expertise in vessel safety, human factors, risk management and bridge protection. As 2002 drew to a close, the working group prepared to unveil its analysis of 10 years of casualty data on towing vessel bridge allisions and make recommendations for government-industry action to prevent barge/bridge accidents and ensure public safety.

Crew Alertness

AWO took a leadership role in transportation industry efforts to address the challenge of alertness management in a 24-hour-a-day business. AWO members partnered with the Coast Guard to conduct



on-board research into Crew Endurance Management (CEM) techniques and introduce the CEM system to towing companies across the country. In the Pacific Region, a Coast Guard-AWO quality action team released a comprehensive report to help West Coast operators ensure crew alertness and maintain compliance with federal work hour laws. AWO joined the Department of Transportation in a government-industry effort to develop an Alertness Management Reference guide for the transportation industry. At year's end, AWO and the Coast Guard began working together on new tools to help barge and towing companies implement Crew Endurance Management systems.

Defending the Jones Act

The Jones Act, the statutory foundation of the U.S. maritime industry, came under heavy attack in 2002, as foreign vessel owners used arcane legal maneuvers to circumvent longstanding requirements for U.S. ownership of the domestic fleet. AWO and the Maritime Cabotage Task Force mounted an all-out campaign to close troublesome loopholes and ensure strong congressional and Administration support for the U.S.-own, U.S.-crew, and U.S.-build requirements of the Jones Act, a battle that will continue in 2003.

The tugboat, towboat and barge industry comprises the largest segment of the U.S.-flag fleet.

Towing Vessel Officer Licensing

An eight-year initiative to enhance the qualifications and training of towing vessel officers came to a conclusion in 2002. Working closely with the Coast Guard, AWO led the effort to implement an improved licensing system that includes a hands-on demonstration of navigational skills and standard assessment criteria to ensure that all new towing vessel captains can do their jobs safely.

Maritime Security

Using the same cooperative approach that has characterized its commitment to marine safety issues, AWO worked with the Coast Guard to improve the security of towing industry vessels, crews and cargoes in 2002. A team of industry experts, Coast Guard officers and U.S. Army Corps of Engineers officials developed a Model Vessel Security Plan to help towing companies prevent and respond to security threats. The AWO model plan, soon to be approved by the Coast Guard as an industry standard for barge and towing companies, applies the safety management principles of the AWO Responsible Carrier Program to the crucial new challenge of maritime security.

Coast Guard-OSHA Jurisdiction

The Supreme Court decision in *Chao v. Mallard Bay Drilling, Inc.*, highlighted the role of the Occupational Safety and Health Administration (OSHA) in regulating health and safety conditions on certain vessels. An AWO member task force delved into the



complicated issue of Coast Guard-OSHA jurisdiction and helped set the stage for future industry efforts to ensure an effective combination of government regulation and industry initiatives to promote towing industry safety.

Infrastructure Modernization

AWO worked with other national organizations such as The National Waterways Conference and Waterways Work!, and with many regional organizations, to generate support for the waterways infrastructure. As a result, the appropriations bill that passed the House of Representatives contained

a half billion more dollars for the Corps of Engineers than the Administration's budget request. The Corps of Engineers delivered its interim report on the Upper Mississippi navigation study on time in July, and provisions were included in the House appropriations bill to ensure that the final report is completed on schedule in 2004 and that the Corps has the authority to begin preliminary engineering and design work. AWO also worked with these same groups to ensure that "Corps reform" proposals did not create further delay and obstruction for needed waterways infrastructure projects.

A Congressional Budget Office study found that barging is the most energy efficient mode of bulk transportation.

Congressional Repeal of the 4.3-cent Fuel Tax

AWO members participated enthusiastically in generating congressional support for repeal of the 4.3 cents-per-gallon fuel tax, as AWO made extensive use of its grassroots capabilities on this issue. As a result, a phaseout of the tax was included in the House version of comprehensive energy legislation, and the provision enjoyed wide support among conferees from both the House and Senate who met in 2002 to resolve differences in the bills. Unfortunately, controversies over larger energy issues prevented the energy bill from being completed and passed before Congress adjourned.

Louisiana Sales Tax Repeal

As the year 2002 began, the industry faced a challenge in the state of Louisiana, where a state Supreme Court ruling removed a more than 40-year-old sales tax exemption on fuel, vessel repairs and supplies for certain shallow draft vessels. The exemption had applied to vessels engaged in interstate commerce, but the court found that harbor tugs, fleet boats and other vessels that never leave state waters were not eligible for the exemption. The change would have cost AWO members several million dollars. Another court ruling would have dramatically increased the cost of new vessels built in Louisiana.

AWO members and staff, working with local maritime groups, spearheaded a coalition effort to change the law in the Louisiana legislature. Following an intense six-month campaign, the coalition succeeded in restoring the sales tax exemptions. As a result of the effort, legislation passed both chambers of the state legislature without a single opposing vote. While the effort was an overwhelming success, it also served as a reminder to AWO members that states have enormous power to adversely affect interstate commerce, and as states grapple with budget problems, the maritime industry can be a tempting target for new taxes.



In 2000, 99.9998% of oil moved by tank barges was delivered safely.

Missouri River Master Manual

The politicization of Missouri River management intensified this past year with state lawsuits, public testimony on the Revised Draft Environmental Impact Statement and a halt of the release of a revised Army Corps of Engineers' Preferred Alternative for river flow management. In 2002, the Endangered Species Act was given precedence over congressionally authorized navigation on the Missouri River, as the U.S. Fish & Wildlife Service enforced protection of the habitat of certain birds on the endangered list by restricting river flow. It is estimated that the U.S. Fish & Wildlife Service decision cost the navigation community over \$7 million dollars.

Through the Coalition to Protect the Missouri River (CPR), AWO has joined with other stakeholders to continue the battle to strongly oppose any change in Missouri River reservoir operations that will jeopardize Missouri River or mid-Mississippi River navigation. As a member of CPR, AWO is also committed to working with other Lower Missouri River Basin stakeholders to further their goals, including assurance of river management to include flood control and reliable flows for electric power generation. CPR is working to gain the release of the Preferred Alternative into the public arena and to preserve congressionally authorized



purposes of the river, especially navigation, energy production and flood control.

The Fight for Rational Regulation

AWO is committed to ensuring that government regulation adds value and solves real safety and environmental challenges in a practical, cost-effective way. In 2002, AWO led the tank vessel industry in seeking withdrawal of proposed regulations that would impose more than a half-billion dollars of new costs on industry, with little or no environmental benefit. Efforts to fix flawed regulations on tank level/pressure monitoring devices and address similarly flawed proposals on salvage and firefighting requirements will continue in 2003.

Member Involvement in AWO Advocacy

AWO members bring constituent relationships, community roots and real-world expertise to AWO's advocacy efforts with Congress, the Administration and the media. In 2002, more than 75 percent of AWO's Board of Directors visited members of Congress in Washington, D.C., or their districts; sent letters to decision-makers on regulatory and legislative issues; supported the AWO PAC and political fundraising events; or met with newspaper editorial boards and penned op-eds or letters to the editor. AWO members will be the heart of AWO's advocacy team in 2003 as the 108th Congress takes office and the Department of Homeland Security assumes a major role in the regulation of towing industry operations.

The inland towboat and barge industry pays over \$100 million a year in fuel tax that supports waterways modernization.

Responsible Carrier Program: Evolving and Maturing

2002 marked a milestone in the evolution of the AWO Responsible Carrier Program (RCP), the industry's foremost safety and environmental protection program. The successful completion by the majority of AWO members of the first RCP recertification audit is testament to members' continued deep commitment to safety, and signifies the program's maturation as an integral part of AWO member operations.

This year, the Responsible Carrier Program Accreditation Board, working with the AWO Executive Committee and Board of Directors, took steps to ensure that the Responsible Carrier Program is constantly improved and continues to be recognized as the premier safety management program for the tugboat, towboat and barge industry, reflecting the highest standards of safety and training. One concrete example of this evolution is the addition of more robust requirements for internal audits. This change will ensure that all nonconformities, including violations of law, are identified by the company and then corrected in a realistic timeframe, with responsibility for corrective actions clearly established. Another example of the RCP's progress relates to the training and qualifications of AWO-certified auditors. Recognizing that the quality of the audit is dependent, to a large degree, on the training and

professional knowledge of each auditor, new requirements for auditors were adopted, including meeting the qualifications for both vessel and management audits, and the completion of a recognized auditing class. Training for existing auditors has also become far more challenging. In fact, during 2002 several auditors had their

certification withdrawn by AWO when they failed to attain a qualifying score in their recertification training.

Looking forward to 2003, the Responsible Carrier Program will continue to meet the challenges of improving industry safety, leading by example and setting the standard for safety excellence.



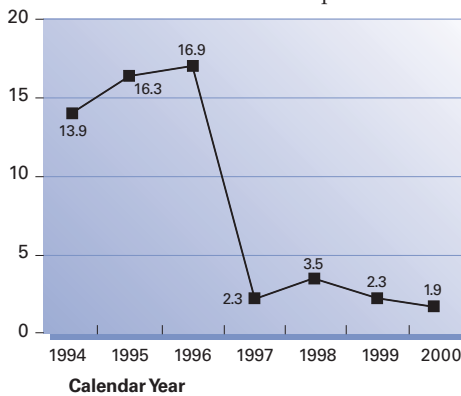
Waterways transportation is the most environmentally-friendly mode of commercial transportation.

Safety: A Continuing Journey

Members of the American Waterways Operators are committed to being leaders in marine safety and environmental protection. Through the Coast Guard-AWO Safety Partnership and the Responsible Carrier Program, AWO members continue to strive to improve the industry's safety performance and safeguard the public trust. Using government data from the Coast Guard and the Army Corps of Engineers, the Safety Partnership tracks trends in towing industry safety performance. The following are a few examples of recent safety achievements in the industry.

Tank Barge Spill Rates

Gallons Spilled per
One Million Gallons Transported



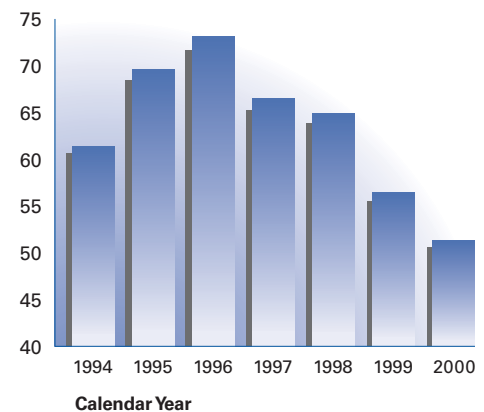
Tank Barge Oil Spills Drop Sharply

Spills from tank barges have dropped dramatically in the decade since enactment of the Oil Pollution Act of 1990. The volume of tank barge spills declined by 86 percent between 1994 and 2000. In other words, in 2000, 99.9998 percent of oil moved by tank barges was delivered safely.

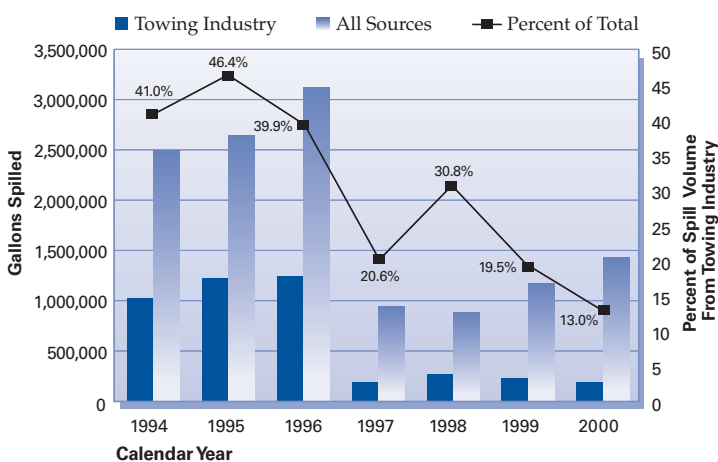
Vessel Casualties on the Decline

Since 1996, there has been a clear downward trend in vessel casualties involving tugboats, towboats and barges. Collisions, allisions (collisions with fixed objects such as bridges, locks or docks) and groundings – the three casualty types that account for the greatest share of towing vessel casualties – are all on the decline. In 2002, the Coast Guard-AWO Safety Partnership launched a Bridge Allision Working Group

Vessel Casualties per One Million Miles Traveled



Towing Industry Oil Spills v. All Sources



Allision Working Group

aimed at improving public safety by developing recommendations to prevent bridge allisions and mitigate the consequences of bridge strikes.

Towing Industry Spills Down Compared to Other Sources

The percentage of oil spilled from towing industry sources continues to drop in comparison to other marine spill sources, such as tank ships, cargo ships and facilities. In 2000, spills from towing industry sources accounted for only 13 percent of marine oil spills – down from 19.5 percent in 1999 and 30.8 percent in 1998.

Public Affairs Outreach

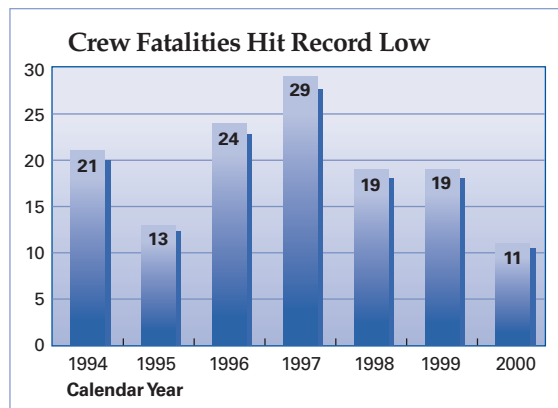
AWO's public affairs initiatives in 2002 were aimed at educating policymakers as well as other stakeholders on the value of the industry to America's economy, environment and quality of life. Events during the year also focused public attention on the industry's safety record. In the wake of the barge/I-40 bridge accident, AWO conducted extensive outreach to major media outlets, including NBC-TV, ABC-TV, CNN, MSNBC and major newspapers, in order to inform the public of AWO members' strong commitment to safety, the positive industry safety record and industry operations.

A large part of AWO's public affairs message this year was aimed at publicizing the positive safety record of the industry. AWO released new industry safety statistics that illustrate the dramatic improvement in the industry's safety performance over the past decade. For example, since 1996, there has been a clear downward trend in vessel casualties, including allisions (collisions with fixed objects such as bridges, locks or docks), collisions and groundings. Oil spills have dropped dramatically in the decade since enactment of OPA 90, and crew fatalities have hit a record low.

The AWO industry image campaign continued

this year in multi-media form, with a new electronic ad promoting the value of waterways transportation run on a key congressional publication's Web site; print ads depicting the industry run in targeted congressional and Administration publications; a radio ad featuring the Responsible Carrier Program played on Washington, D.C. area radio stations; and personal contact made through AWO Congressional Education Program briefings for key policymakers on the industry's benefits to America.

Other tools produced this year to communicate AWO's public affairs messages included an updated "Lifelines" brochure to educate recreational boaters about safety issues to consider around commercial vessels on the waterways, and the first full-color AWO Safety Calendar, focused on Crew Alertness, created to provide safety messages surrounding this theme to vessel crewmembers.



Towing vessel crewmember fatalities hit a record low in 2000, the latest year for which Coast Guard data is available. In 2000, there were 11 fatalities, a 15% decrease from the previous low of 13 fatalities in 1995 and a 62% decrease from the peak of 29 fatalities in 1997.

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Calendar, focused on Crew Alertness, created to provide safety messages surrounding this theme to vessel crewmembers.



Barges carry 20% of the nation's coal . . . enough to produce 10% of all U.S. electricity used annually.

Strategic Plan

AWO 21, the association's strategic plan, ensures a focus on member priorities and commits resources toward AWO's core business lines – advocacy, industry image and improved safety. AWO 21 provides a framework for staff work priorities and a roadmap for progress.

AWO Mission

The American Waterways Operators is the national trade association representing the owners and operators of tugboats, towboats and barges serving the waterborne commerce of the United States. Its mission is to promote the long-term economic soundness of the industry and to enhance the industry's ability to provide safe, efficient and environmentally responsible transportation, through advocacy, public information and the establishment of safety standards.

AWO Goals

1. Be an effective and proactive advocate with the U.S. Congress.
2. Be an effective and proactive advocate with federal agencies.
3. Promote industry safety and environmental stewardship.
4. Improve and promote the industry's image.
5. Influence state initiatives to protect industry interests.
6. Inform the membership on public policy issues.
7. Assure effective and efficient management and governance of the association.



AWO Values

AWO Members:

1. Operate their companies in an ethical manner that benefits the public, their employees and the environment;
2. Recognize that the waterways of the U.S. are a shared resource and a national asset for all;
3. Foster the development of responsible legislation, regulations and safety procedures that safeguard the community, the workplace and the environment;
4. Practice and promote the precepts of the Responsible Carrier Program; and
5. Preserve the industry heritage of cooperative endeavors, and the presentation of a unified voice.



Waterways transportation contributes to the American quality of life by helping reduce congestion on roads and rails.

2002 AWO Staff

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Senior Vice President*

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*Senior Vice President –
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Robert L. Clinton
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The American Waterways Operators



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