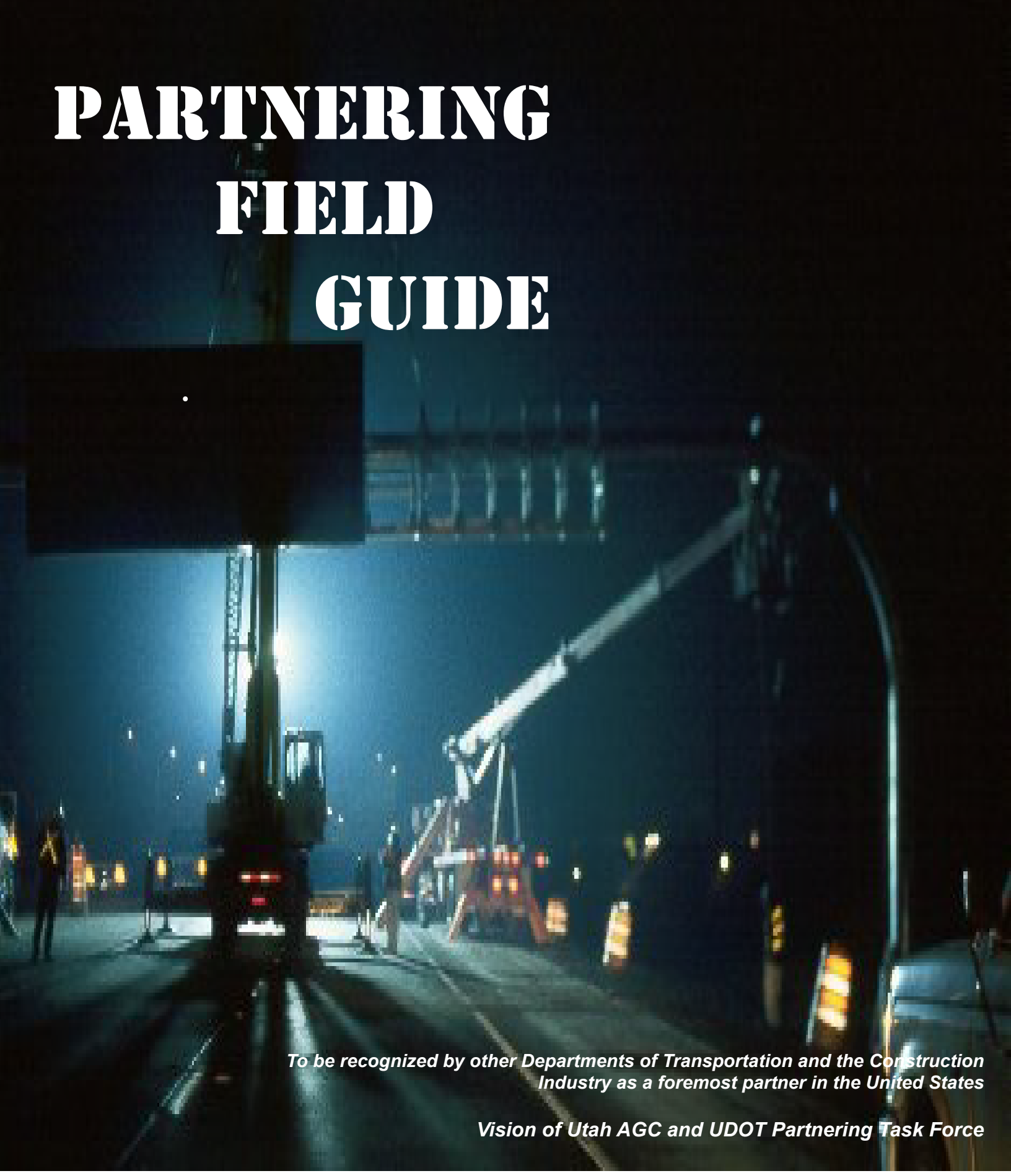
PARTNERING FIELD GUIDE



To be recognized by other Departments of Transportation and the Construction Industry as a foremost partner in the United States

Vision of Utah AGC and UDOT Partnering Task Force

SKILL • INTEGRITY • RESPONSIBILITY
ASSOCIATED GENERAL CONTRACTORS OF UTAH

UDOT
Keeping Utah Moving

PARTNERING FIELD GUIDE

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PARTNERING

Field Guide to Partnering within Utah and UDOT related Projects, Teams and Processes.

This guide is written for UDOT, the Contractor's personnel, Construction Management Firms, Design Engineers, Subcontractors and Suppliers and Stakeholder Partners working at the project level to convey UDOT's and the construction industry's commitment to Partnering, to define responsibilities for Partnering, and to provide tools for successful Partnering.

April
2013

CHAPTER 1

PARTNERING OUR WAY OF DOING BUSINESS

The most significant barrier to partnering is that
YOU MUST CHANGE
Partner Every Project and Relationship

An Update on Our Commitment

The success of the construction industry in Utah over the past three years has been tremendous. Most, if not all, of our partners have attended the Phase I and Phase II Partnering training and the results are in, we've made some great strides at improving our projects, teams and relationships. We continue to strive to be the best partners and extending a hand to each other to focus on maintaining these partnering relationships.

Things continue to grow and change and so must our approach and commitment to the partnering efforts. This field guide is being updated to include many of the things we have learned over the past three years and to accommodate the many nuances and changes that are occurring in Utah on how we do business. Partnering is now mandatory on all projects regardless of project size. The approach may differ, but the process will be supported. This commitment has energized the process throughout Utah.

We are Committed

This field guide is to promote the formation and success of partnering relationships on UDOT construction projects and related teams. UDOT and the Construction Industry are committed to making partnering the way we do business. The world has changed – there are more people from more diverse backgrounds with less experience working on today's projects, projects that are more complex than ever before. We can no longer accept that unresolved issues and claims are the norm. We will no longer accept that we are adversaries in a war of wills. The cost in dollars, resources and lost productivity is too great. We are here to tell you, the field crews, design teams and supervisors, that partnering is the way we do business. Anything short of a full commitment to partnering is not acceptable.

Who Wins Here?

The resident engineer watched with arms folded as the contractor's crew began a complicated concrete pour. He shook his head and said, "they'll never make their schedule with that equipment. The bucket is too small and they'll need another crane - they'll spend all their time filling buckets instead of pouring concrete. " He turned and walked back to the management office, mentally preparing to deny the request for a time extension that he knew would be coming. Why didn't he let the contractor's project manager know of his concern? "That's their responsibility. They'll find out soon enough!"

U.S. Army Corps of Engineers - Pamphlet 91-ADR-P-4

We want to give you the tools for successful partnering. In this field guide you will find a description of many partnering concepts and processes. If you are ever in doubt as to what to do, please ask. Management can help, you can seek out books on the topic, or talk to peers who have a reputation for successfully partnering their projects. But remember, you can't partner if you don't know and understand what partnering is. Find help if you need it because it's up to you to make *partnering the way we do business in Utah*.

Seeking Fairness

It is your job to be fair and to act in good faith while seeking resolution to project issues and problems. If you keep this objective in mind you will never be too far from finding a solution.

Even if all the parties cannot agree on what is fair, by using fairness as the benchmark you will know where you are heading, keep a dialogue open, and dramatically improve the chance for resolving the problem. Work together to come to an agreement on the definition of "fairness" and then work together toward achieving that goal.

Furthermore, if both sides work to do what is in the best interest of the project, both sides' interests will usually be satisfied and everyone will walk away with a sense of accomplishment. These concepts, fairness and doing what is best for the project, are basic guidelines for partnering success. It takes discipline and perseverance to keep these two principles in mind in the heat of conflict, but it will pay off in more successful projects and improved working relationships.

What is Partnering?

Partnering is a way of conducting business in which two or more organizations make long-term commitments to achieve mutual goals. This requires team-based relationships utilizing open communication among the participants based on trust, understanding, and teamwork.

Partnering is a relationship in which:

- Trust and open communications are encouraged and expected from all participants.
- All parties address and resolve issues and problems promptly and at the lowest possible level. They strive to develop solutions that are agreeable and meet the needs of everyone involved (win-win approach).
- All parties have identified common goals for the partnership and at the same time are aware of and respect each other's individual goals and values.
- Partners seek input from each other in an effort to find better solutions to the problems and issues at hand. This creates synergy in the relationship that fosters cooperation and improves the productivity of the partnership.

Win-Win Negotiations

Too often people think of a win-win solution as "splitting the difference" so both parties share the pain. In fact, a win-win solution is where both parties get all or most of what they need and their true interests in the outcome have been satisfied and the project and/or relationship has benefited.

For example, the contractor demands additional compensation when he discovers the 15-foot wide work area shown on the plans is actually only 5 feet. The Resident Engineer (RE) states that although the plans may be wrong, the available work area was obvious to all bidders visiting the site.

In a lose-lose scenario, the contractor does the work as planned and files a claim that is settled in the future by sharing the cost since at that time both sides see the vulnerability of their positions.

In a win-win agreement, the contractor may state that he really only needs 10 of the 15 feet and both the RE and contractor, looking at traffic windows, staging, and environmental permits, find a way to obtain the additional 5 feet.

The key is to do this before the work is done and the money is spent and to brainstorm many different options. Delaying the negotiations or discussion of a dispute until after the work is complete frequently results in a strict debate over financial responsibility.

Partnering Objectives

Owners of construction projects across the country pay tens of millions of dollars each year in interest and legal costs for claims that remain unresolved for long periods of time. This is money that could be used to fund additional projects. UDOT is no exception. For contractors, unresolved claims mean fewer funds to reinvest in other enterprises, and, in extreme cases, may even threaten their companies' existence. Affecting both owners and contractors, beyond money and often even more damaging, are the negative attitudes and damaged working relationships that result when issues and claims remain unresolved. The result is poor communications and lost productivity. This is the classic lose-lose situation. The objective of partnering is to turn this situation around. Without partnering, Project Teams are gambling that they will be able to convince a third party, board of review, or arbitrator of their position months or years later. This in itself is a huge risk.

The use of partnering in the public sector has grown significantly in recent years. In 1998 a National Partnering Charter outlined the following objectives for partnering:

- Claims mitigated and resolved promptly
- Safer projects
- Increased job satisfaction
- Reduced delays
- Higher quality
- Reduced total project costs

Over the past several years of Partnering within Utah, other benefits/objectives have been identified such as:

- Better working relationships
- Issues resolved to the benefit of all
- Opportunities for additional work
- Opportunities to share information and educate one another
- Focus on building long-term relationships

Your job is to keep these objectives in mind as you manage and work on the projects. They are the targets for which you are aiming.

Partnering through Risk

Every project, regardless of size or complexity, is prone to both internal and external risks that jeopardize the project's goals and the ultimate success of the project. The goal of Risk Management is the *identification, assessment, analysis, mitigation, ownership, assignment, monitoring and updating* of project risks risk in a structured and cooperative way. When risks are understood and their consequences are known, decisions can be made to assign ownership of risks in a manner that can mitigate or minimize the risk in terms of cost and schedule impacts.

The initial project partnering meeting will focus on risk identification and assessment steps primarily; analyzing and developing mitigation strategies should be considered if time permits. Every effort should be made to include the preconstruction risk register if available. It is also recommended that the lead designer be present to explain the preconstruction risks and participate in the discussion of the new risks that are identified. A smaller group of individuals representing the owner, contractor, and any third parties should continue to perform the analysis, mitigation, and allocation steps in a subsequent meeting if required. Monitoring and updating of the project risks should be discussed at the regularly scheduled project partnering meeting.

The objectives of risk identification and assessment are to (1) identify risks that could affect the project, (2) document these risks and (3) determine the likelihood and impact of a risk occurring. The outcome of this process is a list of potential risks and their potential impacts to the project. Risk assessment has two aspects. The first determines the likelihood of a risk occurring; risk likelihood is classified as either low, medium or high probabilities with regard to their critical path schedule impact as well as their budgetary impacts. The risks can then be assigned to individual team members for risk continued analysis, mitigation, monitoring and updating. The process should promote creative thinking and leverage team experience and knowledge. The process will vary, depending on the nature of the project, but most identification processes begin with an examination of issues and concerns created by the project team. These issues and concerns can be derived from an examination of the project description, work breakdown structure, cost estimate, design and construction schedule, procurement plan, or general risk checklists.

An important underlying concept of this approach is that the overall process is repetitive and cyclical. As the project evolves, some risks will be resolved or minimized, while others may surface and need to be added. These steps are continually applied throughout the project.

A sample Risk Register can be found in Appendix H and can also be downloaded from UDOT's Partnering website at www.udot.utah.gov/public/ucon/f?p=100:pg:0:::1:T%2cV:1567%2c70725 A list of typical risks for both low bid and innovative contracting jobs can be found within the risk register spreadsheet. Please note that the list of typical risks is not intended to be all encompassing and a project specific risk identification and assessment should be performed.

Partnering Values

"What we value we do." Each project and team has its own culture, its norms or "way of doing business". The following is a list of the partnering values and attributes of the way we want to do business as partners. As project team leaders and members, your job is to instill and live by these values on the projects and to identify and overcome any barriers that interfere with their achievement. The values we embrace include:

- Fairness
- Cooperative Behaviors
- Teamwork
- Open and Honest Communication
- Joint Problem Solving
- Rapid Dispute Resolution at the Field Level

As your teams come together, it is important to define what each of these values mean to the team. This will promote a positive discussion and a consensus of how you want to work together. This is an important element in developing your team.

Joint Roles of the Resident Engineer and Project Manager/Project Superintendent

The Resident Engineer (RE) and the Contractor's Project Manager/Project Superintendent (PS) are responsible for leading (championing) the partnering effort. The Project Manager and the Project Superintendent are identified, as many small projects may only have one individual that fits this role. If a project has a contractor PM and a Superintendent, the management role will fall to the Project Manager. As the project leaders, they are accountable for the day-to-day operations of the project, and are in the perfect place to promote partnering. They are key to partnering success (or failure).

We've already identified that it is mandatory to have a partnering session on every project, regardless of size. However, the RE and PM/PS, working together, must decide on HOW to lead the partnering effort on each project. They should have clear objectives in mind as to what they want to accomplish through partnering. At the project partnering workshop, the RE and PM/PS will act as hosts. They should be prepared to present an overview of the project and to identify key project issues. As the hosts, they will invite, welcome, and thank all those who attend. They are also responsible for taking an active part in the workshop. When a workshop is professionally facilitated, they will work with the facilitator to lead elements of the workshop, this is a joint effort. The role of the RE and PM/PS can be expanded to the extent they feel comfortable. They are the project leaders and they need to take the lead in the partnering workshop. The partnering facilitator (if used) is there to help.

The behavior of the PM/PS and RE should model the partnering values described above and each should demonstrate to all project stakeholders their commitment to the implied warranty of good faith and fair dealing in the contract.

Individual Roles and Responsibilities
It is the responsibility of the Contractor's PM/PS to oversee the construction of the work and the Contractor's operations. The PM/PS ensures the Contractor fully satisfies the contract obligations, including those related to quality, as set forth in the contract. They are also responsible for overseeing all of the subcontractor and supplier work in the field as well as protecting the State.

It is the responsibility of the RE to administer the contract on behalf of the State and the Contractor. As the administrator of the contract, the RE is responsible to protect the Contractor's rights relating to the contract, as well as those of the State. To ensure that the Contractor is paid for everything he/she is owed, the RE acts as an advocate on behalf of the contractor when appropriate.

Entitlement and Trust
The timely acknowledgment of entitlement is integral to the trust relationship between UDOT and the Contractor. Usually when an event occurs on a project which impacts the project's cost or schedule, the question of responsibility can be determined before the associated cost can be quantified and agreed to. However, it is important that the team focus on a solution to the problem first. If the team first focuses on who is responsible, the project will suffer because the team will not be trying to resolve the problem, but trying to figure out how it is not their fault. Once the best possible solution is identified, then focus on entitlement and responsibility.

In a partnered relationship, entitlement or acknowledgment of responsibility by either UDOT or the Contractor is never used as a bargaining chip. Because successful partnered projects rely on forthright communication, we will acknowledge entitlement, whether partial or in full, immediately upon determination of responsibility.

Edited: Partnering Training Requirements
UDOT, the AGC and the project partners realize the importance of joint training in order to ensure that the individuals that work together should also train together. The following training is a requirement for UDOT staff, consultants and contractors to work on UDOT projects. All project team members listed below must have completed Phase I and II and be current with all Continuing Education Requirements. If any team member has not completed Phase I and II training or is not current with the Continuing Education Requirements the training must be obtained at the next available training session after successfully winning a UDOT project. Reference Standard Specification 00725 Scope of Work Section 1.7
Phase I – Introduction to Partnering – 5 hour training
Phase II – Communication, Problem Solving, Issue Resolution and Negotiation – 7.5 hour training

Continuing Education – After completing Phase I and Phase II, Continuing Education Units (CEUs) required every three (3) years. The first 3 year period will begin on January 1st, 2015 and shall renew every 3 years thereafter. Attending a single Formal and Semi Formal Facilitated initial project Partnering Meeting will maintain an individual's Partnering certification. The meeting facilitator will be responsible for forwarding the meeting attendance/role to UDOT Central Construction along with the length of the meeting. Individuals can check their Partnering certification at the following web site: https://app.udot.utah.gov/apex/prd7/f?p=315:1:

Individuals, if invited, may attend the facilitated partnering meeting for another project. It is important to note that the Resident Engineer and the Contractor should limit the attendance to ensure that good project specific discussions occur. Both the RE and the contractors PM have the ability to veto any or all additional individuals from attending the project specific initial partnering meeting should they determine that it will be detrimental to the process. If an individual does not have the opportunity to attend a Semi Formal or Formally facilitated partnering meeting during the three year period they can meet the Continuing Education requirement by attend the Phase II training again.

UDOT Required Attendees (All phases)
Resident Engineer, Field Engineer, Project Manager, Level IV Inspector, Level IV Materials, TransTech III, Office Manager, and District Engineer. Optional Attendees: Designer(s)

Contractor Required Attendees (All phases)
Superintendent, Project Manager, Project/Field Engineer, Operations Manager, Office Administrator, Foreman, and Vice President or sponsor. Optional Attendees: Estimators

Consultant Required Attendees: (All phases)
Inspector, Lab Technician, Resident Engineer, Field Engineer, Discipline Engineers, Project Engineer, Office Administrator, Project Manager-Design, Discipline Manager, Vice President-level (Management). Optional Attendees: Design Engineers

Other Recommended Attendees: (All phases)
Any high risk or critical path subcontractors, suppliers, utility company representatives, local government officials

CHAPTER 2

STARTING THE PROCESS

There is no such thing as a self-made man
You reach your goals only with the help of others
Georg Shin

The Pre-Construction Meeting

The pre-construction meeting is an important step in creating the partnering relationship. The UDOT / Contractor Partnering Taskforce developed a model pre-construction letter to improve the effectiveness of the pre-construction conference (**See Appendix A**). This letter should be sent out at time of award. The letter includes a questionnaire for the contractor and subcontractor which will assist the RE & PS/PM in preparing for the pre-construction meeting and enable the RE to respond to the contractor's questions.

The Contractor will invite all subcontractors and suppliers and the Resident Engineer will invite all other stakeholders on the project.

If you are Internally Partnering

Some projects do not go through a professionally facilitated partnering process. The reasons for not having facilitated partnering may be due to the size, complexity of the project or the team may have a strong, established working relationship. **(Use the Score Sheet on page 14).** However, even without a formal partnering meeting, the partnering practices and values apply to all projects and need to be addressed. The pre-construction meeting is the logical place to introduce and initiate these useful tools and techniques with all parties involved in the project. A sample pre-construction agenda which includes all of the necessary partnering items can be found in **Appendix C.** If you are using your own agenda, at a minimum, add the following items to the pre-construction meeting agenda when you are using the pre-construction meeting to initiate the partnering effort:

- Discuss and define the six partnering values for the team
- Establish project specific goals and potential action items to accomplish the goals
- Exchange of organizational charts representing the project personnel
- Develop a project specific organizational/communication plan
- Discuss roles and responsibilities as necessary
- Discuss the team's commitment to resolve claims at the lowest level possible
- Develop the Escalation Plan for escalating unresolved issues for resolution
- Identify regular scheduled meetings to promote communications
- Discuss the maintenance process for the project, the timing and add the additional two goals to the rating form
- Identify potential Value Engineering Proposals

This meeting should be slightly different than a traditional pre-construction meeting. The RE should not be responsible for leading/facilitating the entire meeting. The partnering elements are to be discussed with the help of both the RE and the PM/PS as a shared role. Although the project is not being professionally facilitated, the RE and PM/PS are responsible for documenting the partnering elements discussed during the meeting, including the values, goals and issue resolution plan. This information should be distributed to all team members.

Making the Offer to Partner

All UDOT projects will be partnered. This will be in the form of a letter of invitation from the RE (UDOT) to the PM/PS (Contractor). The following is a sample letter of invitation:

> Dear Project Manager:
>
> Congratulations on being awarded the project XYZ. We at UDOT and our partner stakeholders are committed to promoting the formation and success of partnering relationships with all our contractors on every project. Please accept this letter as my sincere invitation to work together as partners on this project. I look forward to working with you over the next XX months. I will be calling you within the next few days to discuss setting up our partnering process.
>
> I am enclosing a copy of the UDOT Partnering Field Guide for your reference.
>
> Sincerely,
>
> Resident Engineer

UDOT Specification Partnering Language (please check the specification for the specific project)

SECTION 00725, SCOPE OF WORK

1.7 PARTNERING

A. The Department encourages partnership between the Department, the Contractor, and the subcontractors. This partnership uses the strengths of each organization to identify and achieve mutual goals.

B. Implement partnering in accordance with the UDOT and Utah AGC Partnering Field Guide. Refer to http://www.udot.utah.gov/go/standardsreferences.

1. Decide with the Engineer whether to use an independent third party firm to implement facilitated partnering or to share in facilitation.
   a. Contact the Engineer within 30 days of Notice of Award and before the preconstruction conference to implement a third party facilitated partnering initiative.
2. The Contractor and Engineer select a facilitator for the meeting and develop attendees list, agenda, duration, and location of a partnering workshop.

C. Share any costs equally with the Department to accomplish partnering.

D. Follow-up workshops may be held as agreed by the Contractor and the Engineer.

When You Should Hold the Kick-off Partnering Workshop

The timing of when to hold the partnering workshop is important. If the partnering workshop is held too early in a project, key team members will not be familiar enough with the project to understand what elements need to be discussed. Additionally, if a team waits too long until establishing the partnering relationship, and a difficult issue occurs early in the project, this can sometimes lead in difficulty of resolving the issues as well as maintaining non-adversarial relationships.

Hold the kickoff-partnering workshop within thirty days of the notice to proceed. This gives everyone a chance up-front to get to know each other and to work to identify project challenges and create ways to overcome these challenges, thus setting the partnering relationship in motion.

Research shows changes identified before 33% completion hold a high probability of ensuring the project is completed on time. After the project reaches 33% completion, making changes decreases the odds of on-schedule completion exponentially.

On the other hand, the workshop should not be held any later than ten days after work has started on the project.

Role of the Facilitator

The partnering facilitator is to assists the RE and PM/PS in developing an effective partnering process and partnering workshop(s) for the project. The facilitator is not the leader of the partnering effort. The goal is for the RE and PM/PS to act as the project leaders – this includes leading the partnering effort. The RE and PM/PS are encouraged, with the guidance of the facilitator, to take an active role in leading, and perhaps facilitating, the partnering session.

CHAPTER 3

SETTING UP THE PARTNERING WORKSHOP

The It is better to be prepared for an opportunity and not have one than to have an opportunity and not be prepared
Whitney Young,Jr.

Determining the Length of the Workshop

The length of the partnering workshop should be commensurate with the size and complexity of the project and familiarity of the parties. Some projects don't warrant a one-day off-site partnering session while others require not only a one-day kick-off session but also multiple follow-up sessions throughout the project's duration. Additionally, the RE and the PM/PS should assess the need for using a professional facilitator for the team. The following assessment has been developed to help you determine the best length for the partnering session and whether or not you should use a professional facilitator.

To aid the RE and the PM/PS in completing the assessment, use Attachment #1 in the Appendix to help identify all of these elements. The Attachment should be completed jointly with the RE and the PM/PS to determine the scores.

TIME/NEEDS IMPACT		SCORE
Number of Attendees	for 5-10 score 1 for 11-20 score 2 for more than 20 score 3	
Number of Key Organizations	for 3 or less score 1 for 4-6 score 2 for more than 6 score 3	
Size of Project	if small score 1 if medium score 2 if large score 3	
Complexity of Project	if not complex score 1 if complex score 2 if very complex score 3	
Difficulty of Project	if routine to challenging score 1 if difficult score 2 if very difficult score 3	
Relationships/Reputations	if good score 1 if unknown-to-poor score 2 if poor-to-bad score 3	
Partnering Experience	if experienced score 1 if some experience score 2 if new to partnering score 3	

Workshop Length Scores
Low scores (average) (1s) indicate that an expanded pre-construction meeting is appropriate, including the expanded agenda discussed in the following section. **Middle scores (2s)** suggest that a separate ½ to one-day session is appropriate. **High scores (3s)** indicate that a one-day workshop and a series of workshops over the duration of the project is recommended.

Professional Facilitator Scores
Low scores (average) (1s) indicate that the project is not complex in nature and that the team has developed a good working relationship which means the RE and the PM/PS should be able to lead the partnering elements in an expanded pre-construction meeting. **Middle scores (2s)** suggests that there may be some complexity and the RE and PM/PS should ask themselves if they believe the partnership will benefit from using a facilitator, if the answer is yes, include one. **High scores (3s)** indicate that a professional facilitator should be used for the initial workshop and subsequent follow-up workshops. How to select a professional facilitator is discussed in greater detail at the end of this Chapter.

Use this assessment tool as an indicator – your good judgment and common sense should always prevail.

Regardless of the scores, if the project is being managed by a Consultant for UDOT, it is highly recommended that the workshop be professionally facilitated. If professional facilitation cannot be afforded on the project budget, contact the Engineer for Construction to arrange an internal UDOT facilitator.

Sample Workshop Agenda
As previously discussed, a sample pre-construction/partnering agenda can be found in the Appendix. The RE and PM/PS are responsible for jointly accomplishing the partnering workshop agenda elements. If a professional facilitator is used, they should assist the RE and PM/PS in developing the agenda and helping to keep the workshop on track. The developed agenda should meet the specific needs of each project/team (this will be discussed in greater detail later). Alternative Delivery Projects are addressed in Chapter 7 and should follow a different approach and agenda. Here is a sample 1/2-day and one-day agenda.

Sample ½ Day Partnering Workshop Agenda Items

7:30am	Continental Breakfast
8:00am	Welcome (RE and PM/PS) Individual Introductions and Project Organization Introductions – Expectations/Rules Partnering Overview Define Project Values Specific to the Project/Team Develop Project Communication Plan Establish Roles and Responsibilities of Stakeholder Partners (i.e. City, County, FHWA, Consultant vs. UDOT, etc.)
	Break
	Lessons Learned if this is a on-going team Develop Project Goals Establish Goal Action Plans for Each Goal that Defines Success
Noon	Session Ends

Sample 1-day Partnering Workshop Agenda

7:30am	Continental Breakfast	1:00pm	Complete Goal Action Plans for Each Goal that Defines Success
8:00am	Welcome (RE and PM/PS) Individual Introductions and Project Organization Introductions –Expectations/Rules Partnering Overview Define Project Values Specific to the Project/Team Develop Project Communication Plan Establish Roles and Responsibilities of Stakeholder Partners (i.e. City, County, FHWA, Consultant vs. UDOT, etc.)		Project Overview Potential Project Key Issues Discuss and Develop Action Plan for Resolution of key Issues
	Lessons Learned if this is a on-going team Develop Project Goals Begin Action Plans		Break
Noon	Lunch		Development of a Conflict Resolution Process Signing of the Partnering Agreement Establish Maintenance (follow-up) plan for the team Closing Remarks and Thanks (RE & PM/PS)
		4:00 pm	Session Ends

Deciding Who Needs to Attend

One of the most important contributors to the success of the partnering workshop is the invitation and attendance of all the stakeholders who can impact the project and where key relationships need to be developed to ensure project success. The following list is provided as a guideline to identify potential workshop attendees.

UDOT/Consultant			Contractor	
Resident Engineer	Public Information	Field Engineer	Project Superintendent	Key suppliers
District Engineer		Maintenance Area Sup.	Jobsite Forman	Utilities Coordinators
Project Manager		Level IV Inspectors	Business Owners	Local Governments
Structures Rep.		Level IV Lab Tech.	Subcontractors	Civil Rights Rep.
Environmental	Engineer	Key RE Crew	Senior Management	Design Team
District	Lab (QC/QA rep)	Traffic & Safety	Contractors Operations Mgr., VP, President, Owner	

The RE and PM/PS need to work together, again using the completed Attachment #1 in the Appendix to correctly identify the critical project elements and key stakeholders. This will help to decide who, at a minimum, should be in attendance.

Internally Facilitated Workshops (Mandatory Attendees)

Contractor Personnel: Superintendent, Project Manager, Field Engineer, Key Subcontractors (Project Manager and Superintendent), Key Suppliers (as possible), Quality Control Staff (*for Professionally Facilitated workshops it is Mandatory the Contractor's Upper Management attend).*

UDOT/Consultant Personnel: Inspectors, Lab Technicians, Tech IV, Resident Engineer, Project Engineer, Project Manager, Design Project Manager (UDOT or Consultant), Design Engineer, Construction Engineer (*for Professionally Facilitated Workshops it is Mandatory that the Consultant's Upper Manager and the District Engineer attend*).

Critical third parties (other agencies, utilities, business owners, etc), or anyone who could potentially stop or delay the project should also be invited to participate as partners in the project and the partnering workshop. Again, Attachment #1, if completed properly, should identify these key partners. When there are key third party stakeholders, it is important to identify critical roles and responsibilities during the workshop, as shown in the sample 1-day workshop. Often their involvement or expectation of involvement can create additional challenges for a construction team, discuss them up front.

The RE and PM/PS develop a list of who needs to attend the partnering workshop given the challenges they are facing and the nature of the project. A "notice of meeting" or invitation should be sent out two-to-four weeks in advance of the partnering session. The RE and PM/PS sign the invitation and request that each invitee confirm their attendance. Here is a sample letter of invitation:

Date: XX/XX/XX

To: XXX XXX

From: Resident Engineer Project Manager/Superintendent

Subject: Partnering Workshop for XYZ Project

You are cordially invited to attend our partnering workshop for the XYZ Project. UDOT and Contractor are committed to working together on this project and your involvement is extremely valuable to the success of the project. We are excited about leading the partnering effort and want to start it off with a XX-day partnering workshop. As we have already agreed, the workshop will take place as follows:

Date:
Time:
Location:

Please confirm, by phone or fax, that you will be attending our workshop by {Insert Date for RSVP}. We are very excited about making this a great project. We can be reached at:

RE [phone number] PM/PS [phone number] PS [fax number]
RE [fax number]

Sincerely,

Preparing for the Workshop
The RE and PM/PS meet to discuss and prepare for the partnering workshop. This will probably require more than one meeting before the partnering workshop. The first meeting will involve selecting potential dates and locations for the session and a facilitator (if desired). Once these are selected, a list of attendees will be developed, making sure that the session date(s) work for the key participants – at which time the date is finalized and invitations are issued to all attendees. The RE and PM/PS should also discuss their objectives for partnering the project – what does each hope to accomplish? What issues were identified on the pre-construction questionnaire? This information should be used for designing the session to meet the objectives.

The second meeting between the RE and PM/PS will be to prepare presentations. The RE and PM/PS will be taking the lead during portions of the partnering session if this is professionally facilitated and they will be facilitating the entire process if it is held jointly with the pre-construction meeting. At a minimum, they will present an overview of the project, decide which portions of the workshop they would like to facilitate, have a list of potential/actual project issues, and may have even developed a mission statement for the project. The RE and PM/PS can facilitate particular elements of the workshop individually or they can do this jointly. The workshop elements that have been effective for the RE and PM/PS to facilitate have included leading the team through the identification and definition of the project/team's values, development of the project goals and action plans and leading the team through a discussion of project specific issues. If a facilitator is used, review this information with them so he/she can assist in developing an overall agenda for the workshop.

Experience has shown that preparation is key to feeling comfortable with a leadership/ facilitator role. The RE and PM/PS should bring along charts, graphs, photos, graphics, and anything else that they feel will help them explain the project.

Partnering Charter/Agreement
At the end of the partnering workshop the participants sign a partnering charter (agreement). This agreement includes all of the principles and commitments made during the partnering session. This includes the project goals and the identified values for the team. This is not a legal document, rather, it is a personal commitment of those attending the session that they will assist the RE and PM/PS in ensuring the project is a success. A sample charter is in Appendix C. The partnering charter can be displayed at the jobsite for the crews to see. It should be a symbol and reminder of the commitment you have made that this project will be a true partnership.

Facilitator / partnering session evaluation
At the end of the partnering workshop the participants will fill out an evaluation form for the facilitator and partnering workshop. Evaluations will be submitted to the Engineer for Construction.

CHAPTER 4

TOOLS TO ASSIST IN MAKING THE PARTNERSHIP A SUCCESS

Don't wish it were easier, wish you were better
Jim Rohn

Weekly Partnering Meetings

A weekly project meeting can be one of the best partnering tools. Good communications and planning are critical to a successful project. A well-planned and run weekly progress meeting provides the team an opportunity to bring up issues, concerns, and ideas on a regular basis. A weekly project meeting can help everyone working on the job understand the schedule, coordinate work, identify and resolve issues, discuss the status of the project, and plan the week ahead. A good meeting has these attributes:

Starts on time - A project meeting should always start on time; this will train everyone to be on time.

Ends on time - There should be a set amount of time allotted for the meeting.

Have an agenda -The Contractor puts together the agenda. Include the issues from the subs and suppliers. The agenda, while fixed, should be flexible enough to discuss new issues as they occur. The agenda must not "lose" old issues that are still open. A good agenda covers:

- The schedule (what work is planned) and how the team is going to accomplish it over the next week
- Unresolved or outstanding issues - so that you can either resolve them or elevate them up the dispute resolution ladder
- New issues which need resolution
- Action items and deadlines, so that each person knows what tasks have been assigned and when they are to be completed

A stubborn or particularly complex issue may need a separate meeting for its resolution.

A record is made of agreements and outstanding issues (minutes) - Meeting minutes are required so that everyone knows what was agreed to and what is still unresolved (the minutes will be very helpful two years down the road when questions arise). The contractor will be responsible for taking the minutes. Minutes will be approved and distributed to UDOT for approval then submitted to appropriate individuals.

The people needed for discussion and to make decisions are there – Make sure the appropriate individuals attend the meeting.

Attention is on the meeting, not elsewhere – Interruptions from pagers and cell phones distract everyone, making the meeting drag on, and preventing everyone from hearing everything (discussions and agreements). If everyone stays focused on the meeting it can start on time and end on time, and you'll all be out more quickly than if everyone keeps being interrupted.

The "10-10" Approach

Another good idea to facilitate communication is for the RE and PM/PS to meet 10 minutes before the start of each shift to discuss the work planned for the day. They'll be able to agree on an approach and to discuss potential problems. And then meet 10 minutes at the end of each shift to talk about what did and did not happen during the work shift to ensure any changes or challenges that occurred are discussed and do not become "surprises". This is a great way to keep each other informed in a very informal, but effective manner.

Communication

Good communication means that there are no surprises on the project. The project team should commit to not writing letters without talking to each other first. Talking first gives everyone an opportunity to make sure they understand the issue(s) and to try to work things out before positions are put in writing. If you do end up putting your position in writing, the recipient should know that the letter is coming and what it says.

Experts tell us that 75-80% of good communication is listening – so if you want to improve the project's communication listen, listen, listen. Personality conflicts can get in the way of communications and can disrupt the project. Each person on the project brings a unique personality and some accommodation should be made for these differences. Egos and personalities are present on every project. Project issues should remain project issues and not become personal issues.

Separating People from the Problem

Often, when conflict erupts on our project, we begin to look for who is to blame. It is easy to get caught up in the "fight", and in "winning", and not in getting the issue resolved while ensuring that the relationships remain undamaged. Don't forget, everyone will still have to work together to complete the project. Because we become engaged in the fight over "winning" (and especially in not losing), we often don't take the time to really understand the problem - we make assumptions. Frequently the assumptions turn out to be only partially correct. Then we find we can't come up with a good solution (or even a good "blaming") because we are working with false assumptions. Here are some steps that can be taken to avoid being trapped in this viscous cycle:

Step #1 Seek to Understand the Problem

Ask probing questions to try to flesh out all aspects of the problem - no matter how angry or hostile the other parties seem to be. Don't become defensive; you are trying to understand the problem and the assumptions each of the other stakeholders have. This will give you a clearer picture of what the real issues are. Don't forget to ask "Why" to really understand not only what is occurring but why it is needed or is occurring. This helps the team to then be more creative in focusing on solutions with the least impact.

Step #2 Don't Make It Personal

Take an objective point of view - don't become engaged in the battle. Take the role of negotiator or fact finder. The more people get wrapped up in the battle and in trying to win, the more likely they are to start feeling that the issue is a personal matter. But remember, it's a project issue, and the success will depend on your ability to not take things personally. Remember it's not about YOU.

Step #3 Don't Seek to Blame

Don't seek to blame - instead, seek solutions and understanding. People generally act logically; your job is to find the logic behind their actions. It's always there and often has nothing to do with the stated problem. Pointing fingers makes everyone defensive, stopping communication. No project problem was ever solved by blaming someone. We are all in this project together - we will succeed or fail together.

Step #4 Agree on the Problem

Work to gain agreement on what the problem is before you attempt to find solutions. If we don't agree on what the problem is, how can we ever agree on the solution?

If we follow these four steps, we will go a long way to having productive problem solving on our projects.

Follow-up Partnering Session(s)

Partnering requires an on-going commitment. To reaffirm the commitment it may be necessary to hold a partnering session midway into the project. You might consider holding a follow-up partnering session when there is a significant change of personnel on the project, issues remain unresolved (see Chapter 7), or the project enters a new phase of work, this includes those projects with multiple seasons. Holding a follow-up partnering workshop will help to keep the partnership strong and on track.

The Facilitator

The partnering facilitator (if used) is a project resource – be sure to make use of him/her. Whenever you have questions about what to do, or if you need a sounding board, just call the facilitator. Facilitators work on dozens of projects each year and can probably offer you some sound suggestions on improving the partnership.

Team Building Activities

It is important to the success of the project that project personnel have a sense of enjoyment. Such a sense can be achieved by holding regular joint team activities. This can include adopting a family at Christmas, doing a food drive, holding a blood drive, cleaning up graffiti in the community your working in or even habitat for humanity. Look for those continuing opportunities to "build' the team, outside of the project.

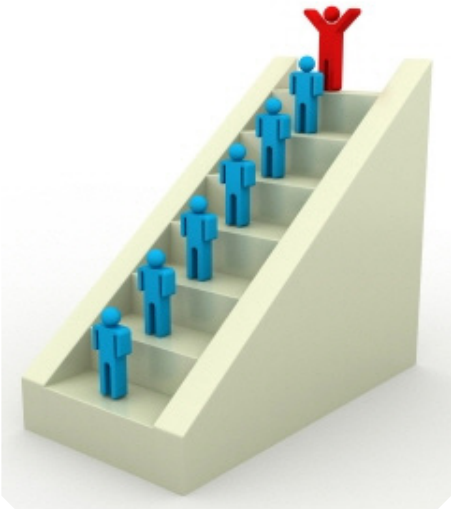
CHAPTER 5

THE ESCALATION LADDER

Three-fourths of the miseries and misunderstandings in the world will disappear if we step into the shoes of our adversaries and understand their point of view
Gandhi

Elevation of an Issue

One of the cornerstones of partnering is the dispute resolution ladder. This process is also called escalation of an issue. The issue resolution ladder is created during the partnering workshop (or at the expanded pre-construction meeting). At the top of the ladder are the first line, with the authority to discuss the issue, where a possible conflict may occur. The escalation plan is between the two primary parties to the contract, UDOT and the Contractor. The design team, UDOT structures division, Region Materials Engineer, and the Region Traffic Engineer, etc, although not listed specifically on the escalation plan can be used as a technical resource for UDOT to aid them in resolving the issue. Additionally, members of each level may choose to call their peers for guidance in resolving or escalating an issue. Subcontractors should be brought along with the prime if the issue to be escalated is a subcontractor issue. If either party has a dispute they are obligated to resolve the dispute through the escalation process and in a timely manner.



Each party to a dispute needs to understand the other person's position – understand it well enough that they can explain it to the other's satisfaction.

The process starts at the lowest level possible for each organization and proceeds up through both organizations' hierarchy until the issue is resolved. The definition of "possible" is based on authority, for example inspectors cannot waive specification requirements. An issue is elevated to the next higher level when 1) an agreement cannot be reached at the current level within the agreed upon time, or 2) if more than the agreed upon time has passed without a solution, or 3) by request of one of the parties at the current level (after first informing the other party).

Level	Days	UDOT	Contractor
I	1	Inspector	Forman
II	2	Resident Engineer & PM	Superintendent / Project Manager
III	3	District Engineer	Area Manager / Operations Manager
IV	3	Region Director	Owner / President
V	TBD	Specified Dispute Resolution Process	

It is important to remember that escalating an issue is not a failure!
Elevation to the next level in the conflict resolution ladder should be done in a separate, face-to-face meeting. All individuals involved in the dispute should sit down with the individuals at the next level of the escalation ladder and discuss the issue. For example, the Inspector and the Forman sit down with the Resident Engineer and the Superintendent and discuss all the information that has led to this issue (see Appendix F). This affords the next level the opportunity to ask questions of both sides to gain a thorough understanding of the issue before they try to resolve it at their level.

Once the issue is elevated, the next level is to meet as soon as possible to try and negotiate a resolution. It is imperative that each level understand the criticalness of the issue so that they may identify the amount of time they have to resolve the issue before it needs to be escalated to the next level. The level that escalated the issue is kept informed of the progress of the resolution and the reasoning behind any decisions made. If the issue is elevated to level III or above, the lower levels will be kept involved on an as needed basis. It is important that any resolutions made are communicated down to the originating level, including rational behind the decision made. It is important to hold a separate meeting to address disputes (don't try to do it, for example, in the middle of the weekly project meeting). Don't assume that the next level truly understands the issue and points of disagreement, or that there will be automatic concurrence with your position, even if you have discussed the issue previously.

If the issue is elevated to the top of the ladder without resolution, you may, with mutual agreement choose to use one of the alternative dispute resolution processes. You may choose to jump to a dispute resolution process at any level of the dispute as long as there is mutual agreement to do so. The process works if you use it. Many times when asked if an issue has been elevated the project team says, "no, it hasn't." No process will work if it isn't used. Given the complexities of our projects, it is natural that there will be disputes. What is unacceptable is to ignore a dispute. Here are a few suggestions for overcoming barriers to using the conflict resolution ladder.

What is a Dispute?
Many times no one on the project really understands that they are engaged in a dispute. Most project team members work daily to resolve problems, so often they fail to see that what was a project problem has now become a project dispute. Here is a simple definition of what constitutes a dispute: A dispute is a disagreement between two or more people. It's that simple. When a dispute continues for some period of time without any movement toward solution, you are at an impasse. When at an impasse, people are usually entrenched in their positions and want to WIN, or at least prove that they are right and that the other person is wrong.

The dispute resolution ladder is designed to keep you from reaching an impasse. Any party involved in the issue can tell the other party(s) that they feel the issue has become a disagreement (dispute) and thus move it into the dispute resolution process. Basically, this is an agreement to "agree to disagree". Let the process work for you - it will preserve relationships and resolve disputes in a more timely and effective manner.

I Can't Give Up Now
Another barrier is that people at project levels may feel that they have failed (and/or that they may be chastised) if they elevate an issue, or it may be that they want to maintain control at their level. Some disputes stay at level I for four to five months when the agreed upon time to elevate was one day. War was the end result – no cooperation, no communication, and loss of production, not to mention lots of stress. It is the responsibility of upper management to ensure that it is safe for a field team to honestly work to solve problems,

and to encourage them to elevate the issue to the next level if they can't get it resolved themselves. Elevation of an issue is not a sign of failure.

Disputes Deserve Their Own Meeting
As stated before, when an issue is elevated it is important that a special meeting be held to discuss the dispute at hand. Many times people will say "well, I talked to him at our weekly meeting" this does not elevate the issue. You need to call and schedule a separate meeting, at which time you will discuss, seek to understand, brainstorm ideas about, and seek resolution of only the disputed issue. A meeting should be held each time an issue is elevated to the next higher level and continue through the process until the issue is resolved.

Partnering Video

CHAPTER 6

PARTNERING & ALTERNATIVE DELIVERY (Design/Build and CM/GC)

UDOT has adopted and supports using Alternative Delivery Methods to help deliver their design and construction projects in a more effective and timely manner. It is important to understand the Partnering approach much change for these methods. The following approaches should be taken into account when using the various methods. Remember that all of the aspects of Partnering still apply and in some instances are inherently built into the relationships associated with Alternative Delivery Projects.

CONSTRUCTION MANAGER/GENERAL CONTRACTOR (CM/GC)

There should be multiple workshops for CM/GC projects. At a minimum, there should be one at the beginning of preconstruction services and then one right before actual construction work begins. The team should look at the duration of the project and the complexity and determine if other workshops might be necessary to help manage the effectiveness of the team.

Pre-Construction Services (Design) Scoping Workshop

During the pre-construction services portion of the contract, Partnering should begin once the contractor is under contract. This should occur during the design (pre-construction services) phase and before the design is too far along. This approach to Partnering should focus on the aspects and processes that are used and applied during design. The reason to focus on the design aspects is that the design effort may last several months and the subcontractors that need to be involved will not be under contract at this time.

Who Should Attend

The attendees for this type of project should, at a minimum, include the following:

- UDOT Project Manager
- Consultant Project Manager
- UDOT Project Engineer
- Consultant Project Engineer
- Contractor's Pre-construction Services Manager
- UDOT and/or Consultant Resident Engineer
- Contractor's Construction Project Manager and/or Superintendent
- Other Agencies Involved with the Project
- Public Information Specialist (Consultant/Contractor/UDOT)

Workshop Elements

This workshop is not intended to be a large workshop in regards to attendees, but a very focused one to have the team members together to discuss some of the key issues and elements related to the project and the CM/GC process.

The first partnering session should focus on these elements:

- **CM/GC Process Expectations** – it is important the team discuss what their overall expectations are for the process, not the project. This is to alleviate any misconceptions or misunderstanding of what the CM/GC process will provide for the project and/or team. This avoids conflicts and frustrations throughout or at the end of the project.
- **Communication** – Several things should be discussed in this element including developing an overall communication plan during design, understanding the various roles and responsibilities and developing the issue resolution plan.
    - An overall **communication plan** outlines who the main points of contact will be through the design process
    - Discussing **roles and responsibilities** helps the team members to understand which company/group is responsible for the various elements during design. This is very important to discuss as it helps to also discuss expectations that may be tied to a specific role or responsibility. This might include the following groups:
        - UDOT Design
        - UDOT Construction
        - Consultant
        - Contractor
        - Third party agency (i.e. City, County, FHWA)

    - The **issue resolution plan** that needs to be discussed is very different from the Escalation Plan as discussed in Chapter 6. Although the template looks the same and the escalation process is very similar, the approach to this is different. Understand that developing an issue resolution plan for the design process requires that the team understand the sorts of issues that might need to be escalated related to non-responsiveness, design differences, value engineering or design exceptions, etc. The team must agree that each level understands the necessity to keep the project moving along through the design process and not get bogged down in typical red tape, internal process problems and egos. The team is also required to develop the list of rules that must be agreed upon in order for the team to feel comfortable with using the plan. Why is this such a challenge? Remember that what you are telling your team members is that it is okay to go to my boss if I am not working the way I need to as a valued partner of the project. This can be one of the most difficult parts of the whole process.
- Develop the **project goals** related to the pre-construction services/design portion of the project with an understanding of the larger goals of Schedule and Budget.
- Other **very important issues** to discuss at the workshop include the following topics:
    - Budget development and management including cost models, cost estimates, Guaranteed Maximum Price (GMP), contingencies, allowances, change management and the communication of change and depending on the current challenges in the industry, escalation and de-escalation impacts.
    - Scheduling and schedule management
    - Subcontractor involvement during the design

- Project design review approach and timing
- Value engineering and constructability reviews
- Risk assessment and management plan
- Public information approach during design
- Discuss the type of meetings and who will be in attendance; as is often the case, CM/GC projects require many more meetings up front during the design process than a traditionally built project
- Subcontractor selection process
- Finally, the last thing that should be discussed relates to follow-up and team maintenance. There should be an opportunity to evaluate how the team is working together during preconstruction and then what are the next steps to bring Partnering to the project during construction.

A sample agenda is shown below:

Pre-construction Services/Design Scoping (Partnering)
Sample Agenda

Welcome and Introductions

CM at Risk Process Expectations

Define Project Values

Communication
- Communication Plan
- Roles & Responsibilities
- Issue Resolution Plan

Develop Project Goals

Process Issues and Concerns
- Budgeting
  - Cost Models
  - Budget Management
  - GMP
  - Contingencies vs. Allowances
  - Material Escalation Costs
- Scheduling & Schedule Management
- Subcontractor Involvement in Pre-construction Services
- General Management
  - Project Design Reviews
    - Value Engineering & Constructability
  - Meetings (Coordination, Utilities, etc.)
  - Public Involvement/Information
  - Risk Analysis

- Subcontractor Selection Process
- Other Related Issues Related to the Project

Follow-up and Team Maintenance

- Partnering for Construction
- Next Steps

Length of the Workshop

These types of workshops should use the services of a professional facilitator as they are much more complex in nature and many times require the help of an outside source to work through these various discussions and processes. This workshop, if it requires a discussion of most if not all of the items as listed, should be no less than 5 hours and should not take longer than 8 hours.

Construction Partnering Workshop

Now it's time to actually get into construction. It is important to note here, that this workshop will be much like the other partnering workshops addressed in the previous chapters and all of the same rules apply. Please see those chapters for attendees, when to have it, and it is suggested that you use a professional facilitator for these types of projects. The length of the workshop may vary, depending on how the team has been working to date, but remember, once you go to construction, we are bringing in an entirely new set of individuals, including the subcontractors, inspectors, and project/field engineers who have not been involved in the project yet. The only other element that might be a little different is that the team, at the very beginning of the workshop, should discuss the Expectations related to CM/GC in construction to ensure that all team members have an understanding of what is different, if anything, in the process.

DESIGN/BUILD (D/B)

The D/B process is similar in nature to the CMGC project because it starts with the design team, but also includes different participants. The agenda includes some of the similar items but eliminates others that do not have anything to do with a D/B contract. It is also a multiple phased approach to Partnering with a minimum of one during the design phase and then one once construction begins.

Who Should Attend

- Design/Build Management Team
  - Project Manager for the entire team
  - Asst. Project Manager (where available)
  - Project Manager for design
  - Discipline Team Leaders (Roadway, Structures, Traffic, Environmental, Drainage, etc.) (This might included key subconsultants)
  - Project Controls Manager
  - Construction Project Manager, if different from above
  - Public Involvement Specialist, if available
  - Utility Coordinator

- UDOT
  - Project Manager
  - Design Discipline Coordinator
  - Design Discipline Team Leaders for Review (Roadway, Structures, Traffic, Environmental, Drainage, etc.)
  - Resident Engineer
  - District Public Information Specialist
  - Utility Coordinator
- Others, when necessary
  - Agency involved during the design process, review and approval authority
  - FHWA

Design/Build Design Partnering
Sample Agenda

Welcome and Introductions

Design/Build Process Expectations

Define Project Values (During Design)

Communication
- Communication Plan
- Roles & Responsibilities
- Issue Resolution Plan

Develop Project Goals

Process Issues and Concerns
- Understanding the RFP Document and how it relates to the project
- Project Design Review Process and Comment Reconciliation Expectations
  - Getting to the RFC – Expectations
- Value Engineering (Is formal VE required due to level of FHWA funding?)
- Risk Analysis
- Constructability Reviews – Define what this means
- Budget Management
  - Change Management
- Scheduling & Schedule Management
- Meetings (Coordination, Utilities, Executive, etc.)
- Public Involvement/Information
- Other Specific Issues Related to the Project

Follow-up and Team Maintenance

- Partnering for Construction
- Next Steps

Design Partnering Workshop

There may be a need to have a separate design partnering workshop with the design leads and the project management team from UDOT and the D/B team. Specific processes and approaches can be developed during this more detailed workshop including:

- Design Reviews/Timing/Review Times
- Design Comment Reconciliation Process
- Constructability Review Process
- Risk Analysis – Documentation Process
- Value Engineering Approach/Process
- RFC Approach and Process
- Other Issues and Process as Identified

Construction Partnering Workshop

Just like with the CM/GC process the same elements apply. This workshop will be much like the other partnering workshops addressed in the previous chapters and all of the same rules apply. Please see those chapters for attendees, when to have it, and it is suggested that you use a professional facilitator for these types of projects. The length of the workshop may vary, depending on how the team has been working to date, but remember, once you go to construction, we are bringing in an entirely new set of individuals, including subcontractors, inspectors and project/field engineers who have not been involved in the project yet. The only other element that might be a little different is that the team, at the very beginning of the workshop, should discuss the Expectations related to D/B in construction to ensure that all team members have an understanding of what is different, if anything, in the process.

CHAPTER 7

MEASURING PROGRESS

What gets measured gets done
W. Edwards Deming

Getting Feedback
A feedback system has been designed to tell how well the partnership is doing. The feedback system includes a project survey (report card) to help identify trends (both positive and negative) and take corrective action quickly or offer congratulations to the project team.

The project rating questions should be developed during the initial partnering meeting and reflect the goals that are specific to your project. These questions should be something that the team thinks is of particular importance to the project or team and something that you want to track over the length of the project. Rate the project on a scale of 1-5 in each of the areas, with 5 indicating the highest level of satisfaction. The survey form should includes a space to list ideas for improvement in each of the areas. The survey concludes with the following questions:

- What caused a change in your score for this month?
- How many disputes were resolved at the job site level this month?
- How many project improvements were made this month (quality, value engineering, schedule)?
- Do you have any comments on the partnering process?

At the Partnering Workshop
During the workshop, discuss the importance of project maintenance and the use of the evaluation process. Determine the process for how the data/forms will be completed and who will be responsible for collecting the information and distributing the results to project team members. Determine:

- Who will distribute and collect the rating forms – will the team members fill out the rating forms on-line or by hand
- When will evaluations be conducted; when are completed forms due
- Who will enter the data and generate the reports
- When will the RE and PM/PS review the information together and then when will the information be discussed with the team

Completing the Survey
The project team should decide how often to complete the project surveys, however, this will be done on every project, at a minimum, once a month. The team may choose to do the rating more often. The Partnering Evaluation survey will be conducted on all projects. Each member of the partnering team will complete the survey as agreed for the duration of the project. The Resident Engineer or PM/PS will collect the completed forms.

Submitting the evaluation form from all project members will create a project summary showing both the Contractor and UDOT ratings from the previous meeting and throughout the length of the project. Summaries will also provide evaluation information on all Resident Engineer & Contractors projects within each District as well as statewide. The results will be presented in a graphical format so trends can be easily identified. This will allow project leaders to compare their project's partnering progress with other's in their area and with the statewide average (see Appendix E for sample summary graphs).

Negative responses in any survey, or a negative trend in responses should be identified quickly by the RE and PM/PS. This will allow the Champions, RE and PM/PS to investigate the underlying causes and take corrective action. Ideally, over time, the scores reported by contractors will be the same as those reported by UDOT personnel on any given project, and there will be an upward trend toward higher satisfaction in each measurement area.

Positive responses are encouraged for the surveys. The ratings should not be used just to record when things are not going well. Reward your team members by also providing positive comments. It is also the RE and PM/PS' responsibility to provide this information as well as accolades to these individuals.

Posting, Distributing and Discussing Results

The RE and PM/PS are responsible for collecting the data. The summary reports are to be discussed once a month with the project team so all of the partners on the project can see how they are doing. You may choose to distribute the reports to each of the team members. If the report identifies areas in need of improvement, the project team leaders should meet and discuss a course of action. Likewise, if the report identifies areas going well and/or improving, the team leaders should be sure to offer their congratulations to the project team. (See Appendix E for Partnering Evaluation Form)

Using the Information to Take Action (The RE and PM/PS are responsible)

- Review participation levels to ensure all stakeholders provide feedback. If not, determine why and encourage involvement.
- Examine comments to ensure corrective action is taken on problems and to recognize positive performance. Follow-up with submitter to get additional information and verify that corrective action was taken.
- Look for trends
    - Are goals and categories getting worse over time?
    - Identify sources of the problem
    - What can be done to correct the situation
- As a team, develop action plans for improvement
- Manage follow-up on action items at weekly meetings

CHAPTER 8

CELEBRATING SUCCESSES

It is important that the team look for opportunities to celebrate the successes of a project. Look for opportunities within the project, key milestones, special project elements, etc. to celebrate.

Monthly Team Awards

Look for opportunities to formally and informally reward team members for being "good" partners. This might be similar to a safety award program where T-shirts and hats are provided. This is a great chance to get the field crews involved with Partnering. Have discipline teams work together to vote for the team member, whether it be a contractor staff member or UDOT staff member, to reward for outstanding Partnering behaviors.

Project Awards

UDOT Partnering Award

Focus on the opportunity to work together towards submitting for the annual UDOT award. Agree at the beginning of the project that this is a goal of the team and work towards that end. Remember that one of the key criteria for selection is to provide comments during the monthly evaluation forms.

National AGC Marvin M. Black Partnering Award

Agree at the beginning of the project that this is a goal of the project team. Agree who will be responsible for preparing the award and obtain a copy of the paperwork at the beginning of the project. Make sure that the team tracks the needs of the award and maintains a file collecting all of the information that will be needed once the project is complete. This approach also helps the team focus on doing the things that are appropriate and important to winning the award.

APPENDICES INDEX

APPENDIX A

PRE-CONSTRUCTION LETTER AND QUESTIONNAIRE

(Date)

(Contractor)

RE: Pre-Construction Meeting and Request for Questions and/or Clarification

Subject: Contract No. _____ and notice of Resident Engineer

Your company has been awarded the above contract on _____(date)_____. I will be the Resident Engineer on this project.

(Include any standard requests for contract documents or submittals required by the contract.)

To assist the UDOT Project Team in its preparation for the upcoming Pre-Construction and/or Partnering Workshop, please complete the attached questionnaire (Attachment #1) and return it to me along with any other questions, concerns or requests for clarification within five working days of the receipt of this request.

Early knowledge of this information will allow our Project Team time to do the appropriate research either within UDOT or with the appropriate external sources to properly respond at the Pre-Construction and/or Partnering Workshop.

(Resident Engineer Use A or B)

A. At this time, the State is not aware of any major changes to the contract documents or any issue that would affect the contractor's schedule on this project.

B. At this time, the following is a list of issues that have been discovered during the bid process for this project and will be discussed at the Pre-Construction meeting.

I will contact you regarding our Pre-Construction and/or Partnering Workshop meeting so that we may prepare our staff and invite all subcontractors and stakeholders for the project.

If you have any questions or need additional information, please contact me at your earliest convenience.

Sincerely,

RESIDENT ENGINEER

ATTACHMENT #1

Project Name and Contract No.: _____

In preparation for the Pre-Construction Conference/Partnering Workshop, please respond to the following questions. Use additional sheets as needed.

1 List utility companies, irrigation districts, railroads, municipalities and any other agencies that you feel coordination is important. Also, indicate which of these companies should have a representative attend : _____

_____

_____

_____

2 Scheduling concerns: _____

_____

_____

_____

3 Construction phasing and/or construction staging concerns: _____

_____

_____

_____

4 Conflicts between design plans, special provisions, standard specifications and/or standard plans: _____

_____

_____

_____

5 Construction methodologies and/or construction procedures that you intend to use that you feel warrant up-front discussion and/or consideration: _____

_____

_____

_____

6 Traffic control concerns: _____

_____

_____

_____

7 Errors in bid quantities: _____

_____

_____

_____

8 QA/QC questions: _____

_____

_____

_____

9 Potential Value Engineering: _____

_____

_____

_____

10 Other issues: _____

_____

_____

_____

_____ _____

Contractors Signature Date

APPENDIX B

SAMPLE PARTNERING AGREEMENT

PARTNERING AGREEMENT

Project: _____ Contract Number: _____

We, the Partners associated with the _____ project understand that this partnering agreement obligates all parties to work together in Good Faith and Fairness.

The Partners, with a positive commitment to honesty and integrity, agree to the following mutual duties:

A. Each will perform the requirements applicable to their duties and responsibilities.

B. Each will assist in the other's performance.

C. Each will avoid hindering the other's performance.

D. Each will proceed to fulfill its obligations diligently.

E. Each will cooperate in the common endeavor of the contract.

The Contractor's Project Superintendent, _____ (name) _____, will oversee the construction of the work and the Contractor's operations to ensure that the Contractor satisfies its' obligations, including those related to quality, as set forth in the contract.

The Resident Engineer, _____(name)_____, will administer the contract on behalf of both the State and the Contractor. As the administrator of the contract, the Resident Engineer will protect the Contractor's rights relating to the contract, as well as those of the State.

PARTNERING AGREEMENT

To ensure that the objectives for this agreement are met, the Partners agree to work together, both collectively and individually, in a spirit of trust and cooperation to achieve the specific goals and objectives as follows:

- Safety
- Quality
- Schedule
- Utilities
- Cost Control
- Identifying Value Engineering Opportunities
- Traffic Control
- Community Relations
- Timely Progress and Final Payments
- Environmental Protection
- Partnering Relationships
  - Communications
  - Meetings
  - Teamwork
  - Problem solving
  - Issue elevation

Note: these items should be expanded upon to be project specific

Date: _____

signatures	signatures

Page 2 of 2

Appendix C

Pre-Construction Meeting with Partnering – Model Agenda

Project Description:
Project Number:
Date:
Location:
Time:

Welcome and Introductions

Specifications

Prosecution and Progress

Subcontracts

A. Names of Subcontractors
B. Work to be sublet
C. Submittal C-115 and C-116
    a. No Subcontract work allowed until C-115 and C-116 (Federal)are approved
D. Line of communication between Department, Contractor, and Subcontractors and Consultant when applicable.
E. Decision making commitments

Suppliers

A. Names of proposed suppliers
B. List of items to be supplied
C. Work addresses and phone numbers
D. Required submittals

Materials

A. Sources: submit a list of suppliers
B. Testing and certification
C. Establish a list of all materials needing tests, reports, and certifications requiring lead time
D. Material submittals to be reviewed and approved by Department prior to use on project
E. Acceptance or rejection procedures: disposal of rejected material

F. Contractors responsibility in using non-tested materials

Pits, Quarries and Waste Areas

A. Location of pits and quarries to be used for project

B. Negotiations and royalties

C. Establishing commercial/non-commercial status: necessary permits

D. Contractors obligation upon closing a pit: site restoration

   a. Letter from Owner required

E. Haul roads

   a. Traffic control plan

   b. Dust control

   c. Approve route prior to use

Surveying

A. Contractor Performed UDOT Verified

B. Payment Procedures

C. Submittals

D. Quality assurance

E. Directed Survey and Plots

F. Stake Maintenance and Marking

   a. Provide and maintain Reference Staking that identifies stations at least every 100 ft.

G. Control Points and survey tolerances

Major Work Operations

A. Earthwork

B. Base

C. Surface

D. Structure

E. Incidentals

Contract Administration

A. Forms to be submitted by contractor. Supply copies of forms and discuss when, whom and how many

B. Time charges: Computation of contract time and liquidated damages

C. Pay estimates: Cut off date and timeframe for payment, Retainage

D. Job Safety: Standards to be followed, Department involvement and responsibility

E. Value Engineering, Cost reduction incentive

F. Partnering; encourage and explain concepts

G. Equal Employment Opportunity

   a. EEO responsibilities

   b. DBE Special Provisions

H. Labor Compliance: Submission of payrolls Davis-Bacon wages

I. Work Delays: Anticipated, Weather, Utilities, others

   a. Discuss early in a timely manner

J. Contract Features; Special Provisions, Clarifications, Typical sections, items of work, measurement and payment, Standard and specialty items, Unusual conditions, Plan quantities, etc.

K. Extra work: Prior approval required

   a. Agree on compensation

   b. Agree on amount of work

   c. Agree on Procedures

   d. Agree on schedule

L. Post construction conference

   a. Acceptance procedures

   b. Punch lists

   c. Closing out project

   d. Timeframes

   e. C-190 form

M. Special permits required

N. Public involvement

a. Requirements

b. Required contacts

c. Input/Coordination with Region Public Information Specialist

Insurance

Define & Discuss Partnering Values

Project Goals & Action Plans

Safety

Traffic Control/Signing

A. Traffic Control Plan

a. Detours and bypasses

b. Road closing

c. Access

d. Through traffic

e. Local Traffic, School Buses, Mail delivery

f. Non-vehicular traffic

g. Emergency Vehicles

h. Notify Emergency Departments of closures

B. Holiday Restrictions

C. Signing Requirements

a. Signing plan conformance with Traffic control

i. Plan

ii. Barricades

iii. Lights

iv. Arrow Boards

v. Programmable message boards and information

vi. Maintenance plan

vii. Name of 24hr/day responsible person

viii. Emergency Services

ix. Advance warning signs

D. Flagging

a. Employee instruction

b. Certification

c. Safety Equipment

d. MUTCD requirements

E. Accident Reporting

F. Public News release

G. Input from traffic enforcement officials

H. Dust control

I. Noise control

Schedule – Contractor Presentation

A. Notice to Proceed, Required prior to starting any work

B. Coordination with Utilities and Railroad

C. Discuss existing agreements and impacts

CPM

A. Base line submittal requirements and approval process

B. Monthly updates prior to releasing pay estimate

C. Use as a tool to control the work and document time

D. Number of sifts

E. Notification of extra shift

Utilities Work Schedules including Rail Roads

A. Plan of operation
B. Time Frame
C. Current Status
D. Contract Agreement
E. Anticipated conflicts or problems
F. Line of communication with contractor
G. Contractors need to contact Utility prior to digging
H. Exchange names, phone, fax, e-mail of authorized “Reps”
I. Inspection of Utilities and salvaged materials

Right-of-Way

A. Current Status
B. Unsecured Parcels/ Anticipated securing date
C. Procedures for Notifying owners of conflicts

Environmental Considerations

A. Protection of streams, lakes, ponds, and wetlands
B. Erosion control measures
C. Environmental Document Commitments
D. Solid waste Disposal
E. Storage of hazardous waste
F. SWPPP Plan review

Communication

- Issue Resolution
- Environmental Impacts
- Teamwork/Relationships

Resolving Issues/Conflict Escalation Plan and Claims

Affirmative Action Plan

EEO and Labor Compliance

DBE Participation

Extra and Force Account Work

A. Use form C-107 if an emergency
B. Details of force account and what is covered

Partnering Maintenance/Weekly Rating

A. Weekly survey to be used as a tool to evaluate the partnering effort
    a. Filled out weekly or monthly on UDOT website
    b. Graphs and comments printed and discussed weekly at weekly project/coordination meeting

Weekly Partnering Meetings – Model Agenda Instructions

Preparation for meeting:

- Transfer any previous meetings unresolved action items to the "Unresolved Issues" section of new agenda
- Include any new issues that developed since last meeting in the "New Agenda Items" section of Agenda form.
  - Identify the person to talk about the subject.
  - Invite all necessary stakeholders to the meeting
  - Request all stakeholders to identify any new agenda items and add them to the agenda.
  - Print Partnering Evaluation Graph from UDOT web

During the Meeting:

- Identify all stakeholders present and the company they represent
- Contractor to take meeting minutes and distribute Partnering Evaluation Forms
- All attendee's to fill out Partnering Evaluation form and return to Contractor
- Review Partnering Evaluation graph and discuss trends.
- **Unresolved Issues:**
  - Description of issue
  - Who the issue was assigned to
  - What resolutions have been accomplished?
  - Status of issue (completed, in-work)

If status is marked as "in-work", action steps should be identified and completion date should be assigned in the Action Items portion of the form.
Completed items are to be communicated to the originating party with an explanation as to what decision was made and why. Completed items will be left off future agendas.

New Agenda Items:

- o Review minutes from previous meeting. Make any necessary changes
- o Review project "Partnering Evaluation" score and discuss good and bad trends.
- o Describe all new agenda items in detail to all in attendance
- o Discuss what has been done so far on each item
- o Discuss possible remedies to the issue
- o Identify responsible person for follow up (if needed)
- o Determine action items and completion date for each issue
- o Identify time of escalation if not completed

Action Items:

- o Review action items, completion dates and responsible person for each issue discussed.
- o Make sure the person responsible for the item understands it in enough detail to follow thorough.

After the Meeting:

- Contractor to submit meeting minutes to UDOT for approval.
- UDOT to distribute meeting minutes to all appropriate individuals.
- Partnering Evaluation forms to be input to the UDOT web site.
- Transfer all "Action Items" to next meetings agenda form for review.
- Individual(s) having action items are responsible for contacting appropriate person(s) to complete the assignment.

APPENDIX D

GUIDELINES FOR COMPLETING AND MANAGING THE PARTNERING EVALUATION SURVEY

The survey should ask questions that represent the projects goals that your specific team would like to track. The questions should have a 1-5 satisfaction level, and it is recommended that 4-7 questions be utilized. Each of these questions should have a comment line to provide a comment so that the team knows when something is going well as well as when something needs to be improved.

Purpose: The project survey is designed to measure and provide timely feedback on the relationships between all partnering team members. The feedback can be utilized to recognize relationships improvement opportunities as well as provide an opportunity for team/individual recognition. This survey will be used on all projects.

1. Instruction: There are several options for completing the forms. It is up to the team how they would like to complete the rating forms. These can be done directly on line (if the project has set up this functionality through the project specific partnering facilitator) or they can be distributed and collected at a weekly meeting, understanding that someone will then have to input them into the project's tracking spreadsheet.. All members of the partnering team will complete the survey for the duration of the project. There may be times when a subcontractor only fills out the forms when they are on the job site and currently working. Please complete all portions of the survey and keep in mind the following elements:

   a) Assure that all appropriate team members are receiving evaluations (include subs, suppliers, project support personnel, operations personnel, etc.)
   b) Remember, you are rating how the TEAM is doing, NOT each other
   c) Write comments supporting your ratings:
      i. For negative situations, describe the problem in specific terms (what happen and what were the consequences); don't attack the person
      ii. For positive situations, write comments so appropriate people can be recognized for their achievements and/or level of participation
   d) Keep your ratings current – if an issue that came up last month has been resolved, don't rate it down again the next month
   e) Use the information to take action to improve the project not as a tool against each other.
   f) Develop action plans for improvement and manage the follow up of the action items at the weekly meetings.
   g) Complete the forms in a timely manner.

The Resident Engineer and/or Project Manager/Project Superintendent will collect the completed forms and will be responsible distributing the results This should be discussed at the partnering workshop to determine how this will be done. Remember, the Resident Engineer and the Project Manager/Project Superintendent are the champions responsible for the Partnering efforts.

3. Feedback: TThe survey responses will be collected and feedback will be available within two weeks of completing each survey. The results should be segregated to show current week and running average evaluations between the Contractor and UDOT, including a baseline graph. Each should be graphed and all written comments will be noted. The feedback will allow project personnel to evaluate the satisfaction levels throughout the project and take appropriate action.

APPENDIX E

SAMPLE PARTNERING SURVEY SUMMARY REPORTS

Monthly Project Partnering Evaluation Meeting Date: ___/___/___

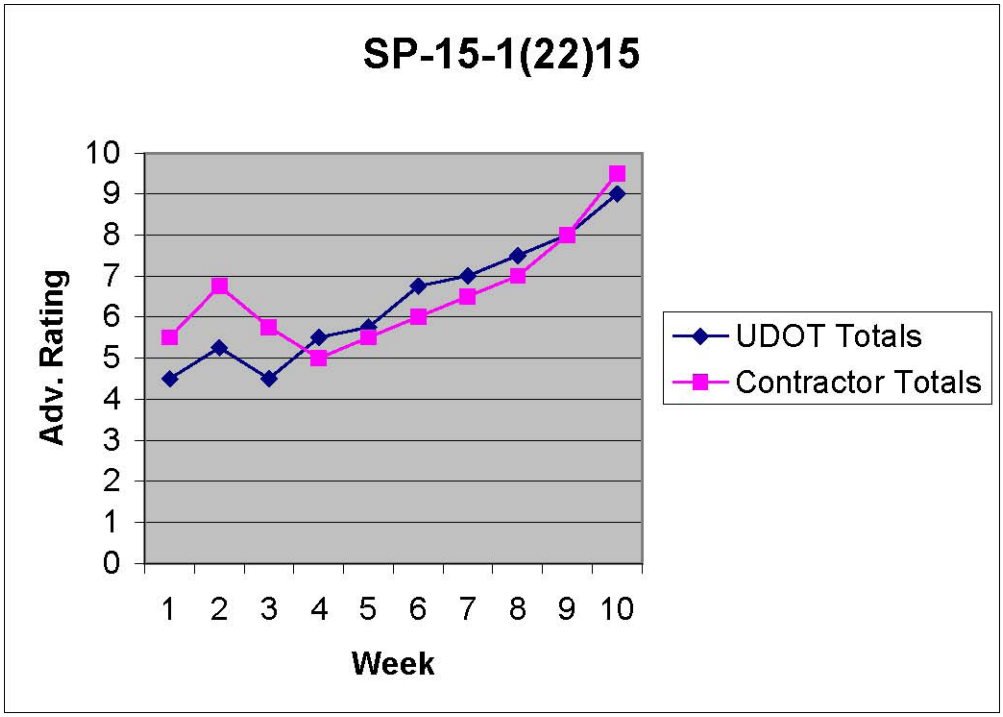
You are: (circle one): Inspector / Forman / RE / Superintendent / RCE / Area Mgr./ Other.

Your Name:	Your Company:
Contract Name:	Contract Pin:
Contractor/PM:	UDOT RE:

Please indicate your level of satisfaction on this project

		Satisfaction Level
1	Question 1: How do we improve? _____	1-Never 2-Sometimes 3-Half the Time 4-Almost Always 5-Always
2	Question 2: How do we improve? _____	1-Never 2-Sometimes 3-Half the Time 4-Almost Always 5-Always
3	Question 3: How do we improve? _____	1-Never 2-Sometimes 3-Half the Time 4-Almost Always 5-Always
4	Question 4: How do we improve? _____	1-Never 2-Sometimes 3-Half the Time 4-Almost Always 5-Always
Total satisfaction level (sum 1- 4): _____		
What, if anything, caused a change in your rating for this month: _____ _____ What do see as the biggest risks in the upcoming month: _____ _____		

Project Evaluation (Example)



APPENDIX F

ELEVATION OF AN ISSUE MEMORANDUM (Example)

RESIDENT ENGINEER / SUPERINTENDANT LEVEL

Project Name: _____ Project Number: _____ UDOT Region/Dist: _____ Prime Contractor: _____

This issue is: __ A policy issue
__ An administrative issue
__ A technical/specification issue

List individuals and organizations affected by this issue and its resolution, i.e. Design, Materials, Maintenance, Local Government, Utilities, Other Governmental Agencies, School Districts, the traveling public: _____ _____

Name/Position/Organization: _____

Brief description of issue needing further assistance for resolution: _____

Brief description of resolutions attempted: _____

Names of persons assisting with resolution at this level:_____

Additional comments or recommendations: _____

Issue resolved? __ No __ Yes

If no, Forward to next level on _____(date) at _____(time) at this level? If Yes, Describe resolution below: _____

If resolved, written feedback of the resolution was transmitted to Team Members and persons affected by this issue on _____(date) at _____(time)

UDOT Resident Engineer Contractor Representative

APPENDIX G

PARTNERING FIELD GUIDE CHECKLIST

Prepare for Partnering	Commit to partnering as our way of doing business	
	Understand win-win negotiating	
	Understand partnering values and the role of the RE and PS	
	Issue pre-construction letter	
	Review response to pre-construction letter and prepare for pre-construction meeting (add additional items to pre-construction meeting agenda if no formal partnering is specified)	
	Hold pre-construction meeting	
Hold the Partnering Session	Make offer to partner (or receive request from Contractor)	
	Schedule and reserve facility for kick-off partnering workshop	
	Obtain partnering facilitator's services	
	Determine length of partnering workshop, agenda, and attendees list	
	RE and PS meet prior to partnering workshop to discuss and prepare	
	Hold the partnering workshop	
During the Project	Schedule and hold weekly project meetings	
	Commit and uphold the commitment to not writing letters without talking to each other.	
	Determine if a follow-up partnering session(s) should be held	
	Schedule and hold team building activities	
	Complete the monthly partnering evaluation survey	
	Post and distribute the results form the monthly partnering evaluation survey	
	Meet to review and discuss survey results – make adjustments as needed	
Issue Resolution	Use the dispute resolution ladder developed during the partnering workshop	
	Understand the DRB processes available and the "red flag" indicating their use	

If you have questions or comments regarding this Partnering Field Guide, please direct them to the UDOT Central Construction Training Office. (801) 967-8538

APPENDIX H

Risk Register

Project Name :

Project Pin:

Resident Engineer:

Contractor:

Risk Number	Risk Description / *Mitigation strategy (italics)*	Potential Cost Impact (Y/N)	Potential Critical Path Impact (Y/N)	Likelihood High/Medium/Low	Date needed to be resolved by	Responsible Party	Date Resolved
1							
2							
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PARTNERING FIELD GUIDE

The Utah Association of General Contractors and Utah Department of Transportation Partnering Task Force established this Field Guide