VDOT
Virginia Department of Transportation

Field Guide for Partnering for VDOT Projects

November 2005

Partner: (n.)
One who cooperates with another in a venture, occupation or challenge. Implies a relationship, frequently between two people, in which each person has equal status and a certain independence but also has an unspoken or formal obligation to the other or others.
(Webster's Dictionary)

Introduction To Field Guide

In May of 2004, the Partnering Subcommittee convened in order to work on improving the Virginia Department of Transportation's partnering specification and to develop strategies that would increase the use of partnering concepts in all VDOT projects. The subcommittee consists of members from the Virginia Department of Transportation, Old Dominion Highway Contractors Association, the Virginia Transportation Construction Alliance and the Federal Highway Administration.

The Partnering Subcommittee researched other state departments of transportation's partnering specifications and partnering practices in highway construction. Based on the information reviewed from specifications from states of Nebraska, Louisiana and Federal Lands, the revised specification incorporated elements from the Virginia, Nebraska and Federal Lands specifications. The new specification was coordinated through the appropriate specification review process within the Virginia Department of Transportation, Contractors and Federal Highway Administration.

In addition, the subcommittee worked with the Maryland State Highway Administration to assist Virginia in the development of Virginia's Field Guide to Partnering on VDOT Projects. The subcommittee members tapped into the expertise of Ms. Bridgid M. Seering, Maryland's Partnering Coordinator. The subcommittee consulted Ms. Seering to obtain lessons learned from her experience in Maryland's implementation of statewide partnering policy.

The subcommittee members all agreed to adopt the content of Maryland's Field Guide to Partnering on MSHA Projects in the development of Virginia's guide. The field guide provides step-by-step information on how to prepare to partner on a project and how to maintain the partnering spirit throughout the life of a project.

The subcommittee recommends the new partnering specification and Virginia's Field Guide to Partnering on VDOT Projects as the department's partnering policy and implementation tool. An implementation plan is included on the following page.

Partnering Implementation Plan

IMPLEMENTATION PLAN

I. DEVELOP FIELD GUIDE FOR PARTNERING

a. March 2005 – Subgroup Presents Final Draft of Partnering Guide at VDOT/CEO Meeting
b. September 2005 – Subgroup Finalizes Partnering Guide
c. November 2005 – VDOT Construction Division/Coordinator Goes to Print for Final Guide

II. DEVELOP PARTNERING RESOURCES

a. October 2005 – VDOT Chief Engineer designates/Hires Partnering Coordinator
b. December 2005– Partnering Coordinator Schedules in Coordination with District Administrators/District Construction Engineers the VDOT's Partnering Workshops to roll out initiative internally.
c. December 2005 - January 2006 – Procure Services of Professional Facilitator to Facilitate VDOT's Partnering Workshops at All Nine Districts
d. October 2005 - January 2006 – Partnering Coordinator Develops List of Partnering Facilitators

III. SET PARTNERING WORKSHOP FOR VDOT STAFF

a. January-March 2006 – Partnering Workshop At All Districts Lead by Partnering Coordinator with Support from VDOT Leadership – "Getting Buy In"
    i. Overview of Partnering Process
    ii. Field Guide
    iii. Construction Directive 2004-1
    iv. Partnering Specification

IV. KICK-OFF PARTNERING EFFORT STATEWIDE AT SPRING CONFERENCE

a. March 2006 - Partnering Rollout by VDOT's Commissioner
b. March 2006 - Partnering Workshop at Spring Conference 2006
    i. Overview of Partnering Process
    ii. Field Guide
    iii. CD 2004-1
    iv. Partnering Specification

V. ENACT PARTNERING IN ALL CONSTRUCTION PROJECTS

a. May 2006 – Partnering Policy Effective In All Construction Projects

Virginia Quality Initiative Partnering Subcommittee

This field guide is a result of the efforts of the Virginia Quality Initiative Partnering Subcommittee. Without the efforts of the following committee members this field guide would not have been possible. Thank you.

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Field Guide to Partnering on VDOT Projects

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What is Partnering?

Partnering is about shared responsibility

Partnering has been defined as:

a process based on trust and an open, honest attitude in which all participants in a project recognize both common and individual objectives and work to achieve those objectives through improved communication and cooperation.

The ultimate purpose of partnering is to create a multi-participant team in which all participants are committed to a common purpose, goals, and work approach for which they hold themselves mutually accountable. Shared responsibility means fulfilling commitments to the team and insuring the success of all members of the team. The approach must still allow for members of the team to share many common interests yet have differing authorities, interests, and objectives that must be accommodated.

Partnering Guidelines

Project Selection

The Chief Engineer and the District Administrator will promote Partnering for all projects. The Partnering Coordinator will maintain a list of formal partnered projects.

Partnering Process

The Virginia Department of Transportation requires all contractors to partner on all projects. These Partnering Guidelines will be part of the award package sent to the contractor who is the successful low bidder. While partnering is mandatory the contractor and the department can decide whether to utilize a facilitated partnering process or an informal partnering process. The district and the contractor should mutually arrange for partnering workshop pre-meetings and an initial partnering workshop as early as possible.

Once awarded the contract, the contractor should meet with VDOT and arrange the pre-meeting to the partnering workshop as soon as possible. The initial partnering workshop should be set up, if possible, before the pre-construction meeting, so that project startup can proceed efficiently and effectively.

Partnering Values

The following is a list of partnering values and attributes of the way we want to conduct business. Each project has its own culture and values. As Partnering Team members, your job is to instill these values into your projects, and to identify and overcome any barriers that interfere with successful completion of the project.

Trust

Faith in ability or word; the degree to which I believe you will look out for my best interests.

Teamwork

All stakeholders on a project must work as a unified team throughout the project to solve problems and issues that may hamper the project completion. Participation and attendance by each team member also creates successful partnering.

Communication

Open and honest communication among all stakeholders must be accomplished from the initial partnering workshop throughout the life of the project for partnering to succeed.

Motivation

Is accomplished by enthusiasm and the incentive to prove that things can be done more economically, faster, and better without compromising safety or quality.

Empowerment

To invest all stakeholders, from top to bottom, with power. Decision-making should occur at the lowest level. Issues should be resolved as quickly as possible at the lowest appropriate management level. Only when an issue cannot be resolved should it rise to the next level of management.

Issue Resolution

The best way to resolve issues is to prevent them from happening. When Partnering is used, issues are identified and resolved before they become barriers.

Partnering Roles

Role of District Construction Engineer and Contractor's Project Manager

The District Construction Engineer (DCE) and the Contractor's Project Manager are responsible for leading the partnering effort. As the project leaders, they are responsible for the day-to-day operations of the project, and as such are in the perfect position to promote partnering. They are key to the success of partnering. The DCE or his appointed department Project Manager, working together, must decide 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.

Once the project has been awarded, the contractor and district need to select a facilitator to work with the DCE and contractor PM to help plan the topics within the pre-partnering meetings and the initial partnering workshop itself.

Role of Facilitator

The facilitator should be familiar with and use VDOT's Field Guide to Partnering as the foundation for his/her facilitation of the project. The facilitator focuses on the workshop process, not the content. The facilitator is not the leader of the partnering effort. He/she helps the project team achieve their outcomes for the Partnering Workshop by assisting the DCE and contractor PM.

When selecting a facilitator, choose a person that the District Office and the Contractor mutually agree upon. It is necessary that the facilitator have good communication skills and is able to keep the team on track and on schedule. Your partnering facilitator is a project resource, be sure to make use of him or her.

A list of facilitators is available through VDOTs Partnering Coordinator who can be contacted through the Office of the Chief Engineer. This list will not be exclusive. Facilitators may be procured that are not on the list as long as the DCE concurs with a Contractor's selection. Any private firms interested in being included on this list are asked to contact VDOTs Partnering Coordinator.

Role of Team Members

Team members play an important role in the success of the overall partnering process. They help with issue resolution and decision-making, can offer encouragement, attend meetings, provide input for meeting agendas, and work on completing any assigned tasks. Their participation is critical to achieving the team's goals.

Empowerment

Planning for the Partnering Workshop

The purpose of the Partnering Workshop is to begin building working relationships among all stakeholders. In order to ensure the success of the project, these stakeholders must define mutual goals and objectives. In preparing for the workshop the first step is to hold pre-meetings.

Pre-Meetings:

The DCE and contractor PM, with their facilitator, should hold ***Pre-Partnering*** meetings prior to the Partnering Workshop to discuss and prepare for the workshop.

At the Pre-Meeting

- Decide on key stakeholders to attend workshop

  One of the most important contributors to the success of your partnering workshop is the invitation and attendance of all key stakeholders, both internal and external, who can impact your project.

  When invitations to the workshop are prepared the following participants should be considered:

Local Officials
City Manager/Engineer
County Administrator/Engineer
Local Public Works officials

Contractor Officials
Owner/President Vice President
Superintendent Lead Foreman
Contractor Project Manager

Subcontractor Officials
Owner/President Superintendent

Supplier Officials
Owner/President

Utilities
Electric Gas
Water Sewer
Telephone Cable
Fiber Optic Cellular Services

Consultant Designer
Owner/President Design Engineer

Consultant Inspection
Owner/President Construction Inspection

VDOT Officials
District Administrator
District Construction Engineer
Highway/Bridge Design Project Team Leader
District Maintenance Engineer
Residency Administrator
Materials Engineer
Area Construction Engineer
Construction Inspectors
Traffic Engineer
E&S Compliance Inspector
Utilities Engineer
Environmental Manager Designer
Safety Officer
VDOT Partnering Coordinator
CQIP Representative
VDOT Public Affairs
Department Project Manager

Other
Federal Highway Administration (FHWA)
Other Federal and State Agencies
Railroads
Other VDOT modes as needed

Note: This list is not intended to be all-inclusive. It is important to consider inviting to the Partnering Workshop any party that will impact the project.

Planning for the Partnering Workshop *continued*

At the Pre-Meeting continued

- Set the date, time and location of the workshop
  The workshop should be scheduled at an off-site or neutral location.

- Develop a Workshop Agenda
  The agenda should be developed to meet the specific needs of your project. The District Construction Engineer or his designated department project manager and contractor project manager should discuss their objectives for the partnering project – what does each hope to gain/accomplish?

One-Day Partnering Workshop Agenda Sample

ONE DAY

- Welcome And Purpose
- Introduction - Name, Organization, Role On Project
- Workshop Ground Rules
- Discuss Partnering Principles
- Develop Mission Statement
- Identify Mutual Goals and Objectives
- Discuss the 4 Statewide Key Performance Areas, and measures for these areas
- Identify Barriers That May Prevent Goals From Being Reached
- Identify Issues (Real Or Perceived)
- Discuss Issue Resolution Process
- Develop Strategies with Action Plans (Who, What, When)
- Project and Team Evaluation
- Set schedule for Partnering meetings
- Partnership Workshop Debriefing
- Signing of Partnering Agreement

Two-Day Partnering Workshop Agenda Sample

Day 1

- Welcome
- Review of Agenda
- Overview of Project (PE/PM)
- What is Partnering (for new contractors/project personnel)
- Roles of Participants
- Workshop Ground Rules
- Teambuilding (Facilitator)
- Lunch
- Develop Mission Statement
- Overview of Tracking Key Performance Areas (Goals, objectives, measures)
- Identify Mutual Goals for Performance areas
- Review Day 2 Agenda
- Evaluation of first day workshop

Day 2

- Recap of Day 1
- Review Mission, Goals from Day 1
- Identify Project Objectives and Performance Measures
- Lunch
- Develop Action Plans for each Objective
- Review Issue Resolution Policy/Resolution Ladder
- Identify Key Project Issues
- Development of Issue Resolution Process for Project
- Actions Plans for Issues (who, what, when)
- Signing of Partnering Agreement
- Partnership Workshop Debriefing
- Closing Remarks and Thanks
- Set Schedule for Partnering Meetings

Planning for the Partnering Workshop continued

At the Pre-Meeting continued

- ***Prepare for the Workshop***
  Prepare an overview of the project. The project engineers and project managers should prepare charts, graphs, photos, and anything else that they feel will help them explain their project. Also, develop a list of potential/actual project issues and a draft mission statement for discussion during the upcoming Partnering workshop.

- ***Distribute Invitations***
  A "notice of meeting" or invitation should be sent in advance of the partnering workshop. The invitation should come from and be signed by both the project engineer and project manager, and request that each invitee confirm their attendance.

Partnering Workshop Ground Rules

10 GROUND RULES

1. **No Rank**
2. **Everyone Participates**
3. **Listen, Listen, Listen**
4. **Keep An Open Mind**
5. **Agree If It Makes Sense**
6. **Disagree Or Ask Questions If It Does Not Make Sense**
7. **Have Fun**
8. **Be Quiet When Others Are Speaking**
9. **Select A Scribe**
10. **Turn Off Telephones and Pagers**

Planning for the Partnering Workshop continued

Stakeholder Invitation Memo Sample

Memorandum

TO:

FROM: District Construction Engineer
Contractor Project Manager

DATE:

SUBJECT: Partnering Workshop for XYZ Project

You are cordially invited to attend our Partnering Workshop for the XYZ Project. The Virginia Department of Transportation and Contractor ABC are committed to working together on this project and your involvement is essential and valuable to the success of the project. We are looking forward to leading the partnering effort and want to begin the process with a XX-day partnering workshop. The workshop will take place as follows:

Date:

Time:

Location:

Please confirm by phone, fax or email, that you will attend our workshop. We are confident that, with your participation, this will be a great project. We can be reached at:

Department Project Manager (phone #)
Department Project Manager (fax #)
Department Project Manager (email address)

Contractor Project Manager (phone #)
Contractor Project Manager (fax #)
Contractor Project Manager (email address)

Sincerely,

District Construction Engineer
Contractor Project Manager

At The Workshop

At the Partnering Workshop, the department project manager and project manager serve as the lead workshop coordinators. They should be prepared to present an overview of the project and identify key issues.

The purpose of this workshop is to:

Define mutual goals and objectives and to establish a process in which to track and measure the goals and objectives.

Identify goals with objectives that can be measured. A process should be followed to identify goals and objectives and to measure outcomes. These measures need to be tracked on an interim basis throughout the life of the project. This workshop will also include the creation of a project charter and discussion of the CD-2004-1 process.

- District Construction Engineer and Contractor Project Manager welcome participants.
  Provide overview of project, major issues
- Review Agenda and Outcomes for the session
- Establish Ground Rules
- Review the 4 Statewide Key Performance Areas
- Go over the Construction Directive (CD - 2004-1)
- Set goals with objectives and performance measures for each goal, based on key performance areas
- Formulate Partnering Charter (sample on following page)
- Debrief (see page 20)
- Identify steps for follow-up

Issue Resolution

At The Workshop *continued*

Sample Partnering Charter

PARTNERING CHARTER
for the Highway Improvement Project
VDOT Project 0000-000-F20, C501

PARTNERING is a commitment between two or more parties for the purpose of achieving complementary objectives by maximizing the effectiveness of each participant's resources. This requires changing organizational boundaries. The relationship is based on trust, dedication to common goals, and the understanding of each other's individual expectations and goals.
WE, the partners on the Highway Improvement Project, to ensure the completion of this project, do hereby affirm our commitment to the following objectives by affixing our signatures hereto.

SAFETY
Identify hazards, plan activities and maintain a safe environment for the construction team, the general public and residents adjacent to the highway.
Acknowledge safety as being the responsibility of all.
Work as a team to prevent trespassing.

ENVIRONMENT
Work together towards a goal of zero tolerance on environmental protection measures.
Using sound judgment and teamwork, ensure the utilization and maintenance of appropriate environmental protection measures.
The Contractor's certified Erosion and Sediment Control employee will evaluate the adequacy of the environmental protection measures and offer recommendations to address apparent deficiencies.

QUALITY
Make this project a Quality Award winner.
Work together to achieve a minimum compliance-rating of 92% on CQIP related matters.

ISSUE RESOLUTION – Consistent with the Principles of CD Memorandum 2004-1
Create a cooperative environment based on mutual consideration, respect, honesty, integrity, and open communication.
Present solutions to anticipated issues; uphold solutions, reached at lower levels.
Response times for issue resolution by Project Inspector: immediate to 8 hours; Construction Manager: 1-day; Assistant Resident Engineer: 2-days ; Resident Engineer: 3 days; District Construction Engineer: 5-days.
No jumping levels of authority.

COMMUNICATION
Maintain open and honest communication to promote efficient operations and minimize potential conflicts.

COOPERATION
Work together as a team with honest communication in a professional manner.
Demonstrate commitment to the goals of this partnership everyday.

PUBLIC RELATIONS
Cultivate an open and honest relationship with the public; effectively communicate with the public about the purpose and progress of the project.
Communicate to the public the inherent risks associated with trespassing and the importance of controlling this matter.
Respectfully respond to the public's inquires, comments and concerns.
Keep emergency services fully informed of any activities that could affect their operations.

SCHEDULING AND "ON-TIME DELIVERY"
Celebrate success and ribbon-cutting ceremony no later than November 1, 2005.
Work together as partners to enhance achieving an early completion.

"ON-BUDGET"
Work towards a "Balanced Budget Approach".
Negotiate change orders, being open, honest and fair.

Key Performance Areas

Listed are the four standard performance areas that need to be measured, tracked and reported to the VDOT Partnering Office. These key performance areas are included in VDOT's business plan and are tracked using the Partnering Rating Form found on pages 23-24.

1 ***Safety***

2 ***Quality***

3 ***On Budget***

4 ***On Time***

The following is a list of additional performance areas that you can track on your specific project. Other areas identified by the Partnering team can be added to this list.

- ✔ ***Customer Satisfaction***
- ✔ ***Change Orders***
- ✔ ***Budget/Profit***
- ✔ ***Schedule Milestone***
- ✔ ***Community Relations***
- ✔ ***Work Atmosphere***
- ✔ ***Utility Conflict Resolutions***
- ✔ ***Project Closeout***
- ✔ ***Innovative Ideas***
- ✔ ***Concrete/Asphalt Test Reports***
- ✔ ***Ridability***
- ✔ ***Shop Drawing Review Turnaround***
- ✔ ***Request for Clarification***
- ✔ ***Response to Letters***
- ✔ ***Response to Requests of Additional Costs***
- ✔ ***Trainee Programs***
- ✔ ***Rework***
- ✔ ***Subcontractors Coordination***
- ✔ ***Submittals***
- ✔ ***Erosion & Sediment Control***
- ✔ ***Maintenance of traffic***
- ✔ ***Environmental Compliance***

Measuring Key Performance Areas

Goals

Goals are broad statements that describe desired outcomes. They clarify the mission and vision and provide direction to meet customer needs.

Example: "To Have a Safe Project"

Objectives

A specific and measurable target for the accomplishment of a goal.

Objectives are SMART: Specific, Measurable, Attainable, Result-oriented and Time-bound.

Criteria for SMART Objectives:

- ***Specific:*** results, lead to specific action plans
- ***Measurable:*** tracks progress, evaluation
- ***Attainable:*** challenging yet realistic, attainable
- ***Result-oriented:*** specify a result or outcome
- ***Time-bound:*** short time frame

Example: "To have 0 accidents in the work zone during the project"

Performance Measures

The system of customer-focused, quantified indicators that let an organization know if it is meeting its goals and objectives.

Types of Performance Measures:

- ***Inputs:*** resources used
- ***Outputs:*** activities completed
- ***Efficiencies:*** how well resources are used
- ***Quality:*** meeting customer expectations
- ***Outcomes:*** results achieved

Example: Number of accidents in the work zone during the project

Tracking, monitoring & reporting systems

To make Partnering successful, the Partnering team must monitor and report their progress towards achieving the goals and objectives. One of the tools that can be used is the Key Performance Area Action Plan. A sample is shown on page 17.

Communication

Action Items From Partnering Workshop Meeting

Project Number: _____ ***Project Description:*** _____

Goal:

Objective:

Strategy:

Performance Measure:

Action Plan	Persons Responsible	Resources Needed	Time Table	Status Comments
1.				
2.				
3.				
4.				
5.				
6.				

Decision-Making

In 2003, VDOT and industry leaders same together to establish a framework on decision-making. The result of this effort is Construction Directive 2004-1, an excerpt of which is below. The complete CD 2004-1 can be found in Appendix A.

OVERVIEW

Information is the single most important resource required in the construction process. Expertise, labor, equipment and materials are of no value without the information required to: manage and direct construction operations, achieve time, cost and quality objectives, and establish a safe and efficient working environment.

Information comes from two principal sources: the contract documents and field decisions.

Contract documents that are complete, accurate and constructable provide the baseline information. Changes in conditions, errors and omissions in the drawings and the realities of both design and construction make it impossible to eliminate the need for field decisions. The further the contract documents are from perfection, the higher the demand is placed on timely, effective and complete field decisions. The sum of the information flowing from the contract documents and field decisions must be sufficient, timely, complete and accurate.

Providing information that supports field operations which further effective working relationships and makes possible the efficient use of resources is a clear and well-understood Owner obligation. Identifying and requesting any information needed over and above that provided in the contract documents is a clear and well-understood Contractor obligation.

All projects, regardless of size, require information. A process must be in place to define questions, force decision-making and ensure that answers are provided in an efficient and timely manner. Field decision-making depends on the nature of the question and the impact of the answer.

Questions – or, more correctly, requests, can be broken down into a number of categories. These are listed here with details in Attachments 1 to 7 on pages 21-27.

Requests generated by the Contractor
1. Submittals (Attachment 1)
2. Confirmations of verbal instructions (COVI) (Attachment 2)
3. Requests for information (RFI) (Attachment 3)
4. Requests for owner action (ROA) (Attachment 4)
5. Contract change requests (CCR) (Attachment 6)

Requests generated by the Owner
1. Requests for information (RFI) (Attachment 3)
2. Requests for Contractor action (RCA) (Attachment 5)
3. Contract change directives (CCD) (Attachment 7)

Answers – or more correctly, the information provided can impact:
- contract provisions regarding time and cost,
- the means, methods, sequence, and safety of construction,
- the design, performance, and service life of the completed work,
- the environmental impact of the work during or after construction,
- the public and other project stakeholders.

Decision-Making *(continued)*

A PROCESS FOR DECISION-MAKING:
A process for field decision-making requires the following steps:

1. The parties agree on the decision-making process, the authority and accountability of the individuals involved, and the cycle times for each category of decision.
2. The party requiring the information generates the appropriate documents, and requests a decision from the accountable individual within the agreed period.
3. The responding party has an internal decision-making process that supports the accountable individual and provides the information required within the agreed period for each category of request.
4. The party receiving the decision has an internal process for accepting the decision or referring it for further action within an agreed period.

Additional details of the process are given in Attachments 1 to 7 on pages 21-27.

A PROCESS FOR MEASURING AND MANAGING DECISION-MAKING:
Answers to questions asked constitute receivables in the same way as payments due on accounts rendered. The quantity, nature and age of outstanding information receivables must therefore be tracked, aged and resolved in the same way as outstanding cash receivables. The process requires that clear and well-understood mechanisms be in place to log and track requests, document the age of outstanding requests and actions to be taken on requests that have not been answered within the agreed period.

The effectiveness of decision-making depends on a clear understanding of who is responsible and accountable for resolving outstanding questions within the agreed period. Compliance with requirements can only be measured and improved if there is a clear record of:

- What, when, where, how and by whom the question was asked.
- What, when, where, how and by whom the answer was given.
- The age and nature of outstanding questions.

IMPLEMENTING THE PROCESS:
All projects, regardless of size and complexity, must have an efficient process to ensure that required information is provided in a timely and efficient manner. Project teams must define and agree upon the process during the pre-construction conference. Both the Owner and Contractor must agree on:

- The documentation to be developed for each category of information request.
- The name (as opposed to organizational position) of all individuals with the responsibility, authority and accountability to formulate and respond to each category of information request. The District Administrator or CEO may delegate the responsibility and authority for formulating and responding to requests, however, the accountability for meeting the established response times remains with the District Administrator and CEO.
- The cycle times for each stage in the decision-making process, the performance measures to be used to manage the process, the action to take if cycle times are not achieved and information is not provided in a timely manner.

For more information on CD-2004-1 including attachments, please refer to Appendix A.

Workshop Debriefing

1

How are you feeling about what we accomplished?

~Use 1-5 rating (5 being the highest)

1❑ 2 ❑ 3 ❑ 4 ❑ 5 ❑

2

How do you feel the team worked together?

1❑ 2 ❑ 3 ❑ 4 ❑ 5 ❑

3

What did anybody do that was helpful to make this a good meeting?

4

What could we improve on next time?

5

Feedback: How useful was the meeting to the success of the project?

After the Partnering Workshop

Partnering Meetings

The partnering team shall meet as needed during the life of the project. The District Construction Engineer and Contractor Project Manager should develop the meeting agenda a week in advance and send to all Partnering Team members. See sample Meeting agenda on the next page.

Partnering Project Performance Rating

The Partnering Project Rating Form shall be completed on a monthly basis by all Partnering Team members. This will help ensure that the project's partnering goals and objectives are achieved.

The Department will collect the evaluations and share the results with the team. The team will identify areas where they are working well and areas for improvement. See pages 35-36 for Partnering Project Rating Form.

Intermediate Workshops

If a project is two or more years the stakeholders may want to hold an intermediate workshop throughout the life of the project to rejuvenate and motive the Partnering Team. This is also a good time to look at communication methods, What's working, What's not, and the projects goals.

Closing

The Partnering Team should get together at the end of the project to celebrate and discuss, document and share lessons learned during the life of the project.

Teamwork

After the Partnering Workshop *continued*

Sample Monthly Meeting Agenda

Partnering Meeting Agenda
Project Number/Description
Date/Time/Location

SAMPLE

Purpose of Meeting: _____

Expected Attendees: _____

Time Frame:	*Agenda Item*	*Person(s) Responsible*
9:00 - 9:15	Welcome, Introductions, Review Mission and Project Goals, Summary of Teams Project Rating Form (last month)	Department Project Manager Contrator Project Manager
9:15 - 9:30	Status of Project Schedule	Contractor Project Manager
9:30 - 10:30	Issues / Ideas List specific issues; use numbering system to track i.e. 0102.01 (mo/yr. issue#)	Lead Person for issue
10:30 -10:45	Summary of meeting and Action Items	Person taking minutes
10:45 - 11:00	Plan Next Meeting Date: _____ Time: _____ Place: _____ Agenda Items: _____	Department Project Manager Contractor Project Manager

Complete this month's Partnering Project Rating Form

Partnering Project Rating Form

Contract: _____ Description: _____ Evaluation Period: _____

STANDARD EVALUATION ELEMENTS Circle Rating for Each Element

[1] Communication Open and honest communication among the group members is:	Non-Existent 1 · Cautious/Guarded 2 · Meeting Needs 3 · Open/Free 4 · I don't know N/A Comments: _____
[2] Teamwork The group encourages all of its members to participate:	Non-Existent 1 · Cautious/Guarded 2 · Meeting Needs 3 · Open/Free 4 · I don't know N/A Comments: _____
[3] Cooperation and Respect On this project, relationships among team members as a whole are characterized by:	Non-Existent 1 · Cautious/Guarded 2 · Meeting Needs 3 · Open/Free 4 · I don't know N/A Comments: _____
[4] Issue Resolution Is CD-2004-1 being followed?	Not at All 1 · Sometimes 2 · Often 3 · Completely 4 · I don't know N/A Comments: _____
[5] Schedule Is the project proceeding on-time?	Uncertain 1 · 50% Certain 2 · 75% Certain 3 · 100% Certain 4 · I don't know N/A Comments: _____

STANDARD EVALUATION ELEMENTS continued

[6] Budget In the project proceeding on-budget?	Uncertain 1 · 50% Certain 2 · 75% Certain 3 · 100% Certain 4 · I don't know N/A Comments: _____
[7] Quality Is the project proceeding on-quality?	Uncertain 1 · 50% Certain 2 · 75% Certain 3 · 100% Certain 4 · I don't know N/A Comments: _____
[8] Safety The process to monitor and assure safety this period is supported by all stakeholders:	Little Regard to Safety 1 · Unsatisfactory Compliance 2 · Meets Minimal Safety Regulations 3 · Zero Lost Time Accidents (This Period) 4 · I don't Know N/A Comments: _____
[9] Material Clearance Cleared During Any Period of the Project	50% of Materials 1 · 50% of Materials 2 · 80% of Materials 3 · 100% of Materials 4 · Does Not Apply N/A Comments: _____

Optional: Project specific measurements (to be established by Partnering Team)

[10]	1 · 2 · 3 · 4 · N/A Comments: _____

Members of the Team: (CHECK ONE)

❑ VDOT ❑ Contractor ❑ Subcontractor ❑ Design Consultant ❑ Other

This form should be completed at monthly meetings and the results reported to the Partnering Coordinator, 707-C402.

Dashboard Status & General Comments

What is the current status of the project in Dashboard?

CONSTRUCTION SCHEDULE

(Select one)

_____ - Green
Work complete is behind schedule by less than 1%.

_____ - Yellow
Work complete is behind 1% - 9%.

_____ - Red
The current contract date has passed, or the % work complete is behind by 10% or more. Also if 90% of contract time or schedule has elapsed, work complete must be within 1% of time or schedule.

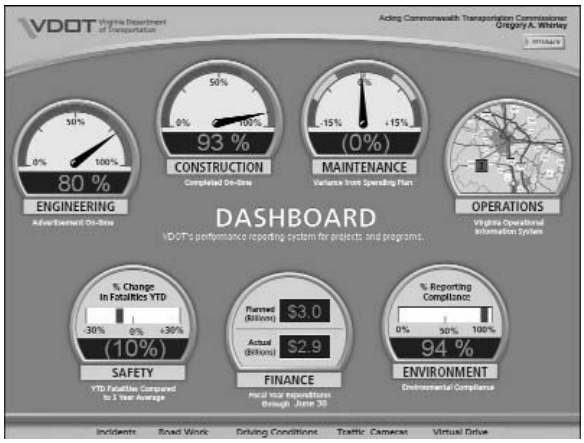
CONSTRUCTION BUDGET

(Select one)

_____ - Green
Inspector's Estimate to Complete, Current Contract Amount, or Cost of Work to Date exceeds the Award Amount by less than 3%.

_____ - Yellow
Inspector's Estimate to Complete, Current Contract Amount, or Cost of Work to Date exceeds the Award Amount by 3% - 9%.

_____ - Red
Inspector's Estimate to Complete, Current Contract Amount, or Cost of Work to Date exceeds the Award Amount by 10% or greater.



General Comments

Use the space below to document general comments about the project.

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

Special Provision for Partnering

I. Declaration and Description

VDOT is firmly committed to the formation of a partnering relationship with the Contractor, all subcontractors, suppliers, FHWA representatives; where appropriate, other federal agencies, local government officials, utilities representatives, law enforcement and public safety officials, consultants, and other stakeholders to effectively and efficiently manage and complete each construction contract to the mutual and individual benefit and goals of all parties. Partnering is an approach to fulfilling this commitment where all parties to the contract, as well as individuals and entities associated with or affected by the contract, willingly agree to dedicate themselves by working together as a team to fulfill and complete the construction contract in cost effective ways while preserving the highest standards of safety and quality called for by the contract documents combined with the goals of on time/on budget completion. The approach must still allow for the fact that the members of the team share many common interests yet have differing authorities, interests, and objectives that must be accommodated for the project to be viewed as successful by all parties. It is recognized by VDOT that partnering is a relationship in which:

- Trust and open communications are encouraged and expected by all participants
- All parties move quickly to address and resolve issues at the lowest possible level by approaching problems from the perspective and needs of all involved
- All parties have identified common goals and at the same time respect each other's goals and values
- Partners create an atmosphere conducive to cooperation and teamwork in finding better solutions to potential problems and issues at hand

II. Structure

It is the business intent of the Department that partnering will be utilized on all projects, either in the formal sense or informally where the spirit and principles of partnering are practiced from onsite field personnel to executive level owners and employees. Where formally used partnering is facilitated by a professional trained in partnering principles; informal partnering may be conducted by the actual partnering participants themselves. To that end:

1) The VDOT Field Guide to Partnering (Version #1.1, 2/22/2005) will be the standard reference guide utilized to structure and guide both types of partnering efforts. This guide will be systematically evaluated to incorporate better practices as our partnering effort evolves.

2) 2. Partnering, or more specifically the Partnering Charter, will not change the legal relationship of the parties to the Contract nor relieve either party from any of the terms of the Contract.

III. Procedures

The Contractor and VDOT District Administrator or designee shall mutually schedule a preconstruction partnering workshop as soon as possible after the Department's issuance of the Notice to Proceed. These individuals or their representatives shall decide on those individuals and entities associated with or affected by the Construction contract that should be invited to participate and extend appropriate notice in sufficient time.

1) Formal partnering efforts require that the Contractor shall be responsible for employing a facilitator, trained in the recognized principles of partnering, to conduct the first preconstruction partnering workshop, known as

Special Provision for Partnering *continued*

the Formal Partnering Kick-Off Workshop. The selection of the facilitator must be mutually acceptable to both the Department and the Contractor. The facilitator shall lead all parties through the VDOT Field Guide to Partnering during the workshop. The facilitated preconstruction partnering workshop will be predicated on project complexity, size, number of potential stakeholders, potential outstanding issues, and local needs.

2) Informal partnering efforts require the Department and the Contractor mutually choose a single person from among their collective staffs, or a trained facilitator to be responsible for leading all parties through the VDOT Field Guide to Partnering. Informal partnering shall not be paid for as a separate bid item.

3) The Contractor shall provide a location for regularly scheduled partnering meetings during the construction period. Such meetings shall be scheduled as deemed necessary by either party. The Contractor and VDOT shall require the attendance of its own key decision makers, including subcontractors and suppliers. Both the Contractor and VDOT shall encourage the attendance of affected utilities, concerned businesses, residents, and consultants. The Department and the Contractor are to agree upon partnering invitees in advance of each meeting. Follow-up partnering workshops may be held throughout the duration of the project as deemed necessary by the Contractor and the Engineer.

IV. Measurement and Payment:

Measurement for Formal Partnering Kick-Off Workshops will be per day and payment will be at the Contract unit price per day which shall include providing the partnering facilities, professional facilitation, and other miscellaneous costs including copying fees and refreshments. Subsequent follow-up partnering workshops are not considered a pay item, unless the Contractor and the Engineer mutually agree in advance it is appropriate to hold a formally facilitated workshop, in which case the method of payment will be the same as for Formal Partnering Kick-Off Workshops. The maximum daily value for this pay item shall be $5,000 unless otherwise specified.

Appendix A

Construction Directive 2004-1

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CD 2004-1

Construction Directive 2004-1

The following pages detail the process the Partners should follow to resolve any issues which may arise during the partnering process. Below is the introduction to construction directive memoranda 2004-1.

GENERAL SUBJECT: Communication on Construction Projects ***NUMBER:*** CD-2004-1 ***DATE:*** 2-20-04
SPECIFIC SUBJECT: Process For Field Decision-Making

SUPERSEDES: N/A

SUNSET/ EXPIRES: 2-20-09

(Original with signature on file in the office of Scheduling & Contract Division)
W. BYRON COBURN, JR., P.E. SCHEDULING & CONTRACT ENGINEER

PURPOSE: The purpose of this CD is to establish a timeline and process for making decisions and managing communications on our projects.

DIRECTED TO - DISTRICT ADMINISTRATORS

DEFINITIONS:

Submittals - When the Contractor requests decisions or Owner approval of drawings, test results, or other material submitted for review.

Confirmation of verbal instructions (COVI) - When the Contractor requests confirmation of agreements and instructions developed in negotiation with the Owner.

Requests for information (RFI) - When the Contractor or Owner requests that the other party supply information to better understand or clarify a certain aspect of the work.

Requests for owner action (ROA) - When the Contractor requests that the Owner take certain action the Contractor feels is required for project completion.

Contract change requests (CCR) - When the Contractor requests that the Owner makes an equitable adjustment to the contract because of excusable and/or compensable events, instructions that have or have not been given, or other work requiring time and/or cost beyond that envisioned in the contract.

Requests for contractor action (RCA) - When the Owner requests that the Contractor take certain action the Owner feels is in the best interests of the project and/or required for project completion.

Contract change directives (CCD) - When the Owner instructs the Contractor to perform work beyond that envisioned in the contract and undertakes to make an equitable adjustment to the contract.

CD 2004-1

OVERVIEW

Information is the single most important resource required in the construction process. Expertise, labor, equipment and materials are of no value without the information required to: manage and direct construction operations, achieve time, cost and quality objectives, and establish a safe and efficient working environment.

Information comes from two principal sources: the contract documents and field decisions.

Contract documents that are complete, accurate and constructable provide the baseline information. Changes in conditions, errors and omissions in the drawings and the realities of both design and construction make it impossible to eliminate the need for field decisions. The further the contract documents are from perfection, the higher the demand is placed on timely, effective and complete field decisions. The sum of the information flowing from the contract documents and field decisions must be sufficient, timely, complete and accurate.

Providing information that supports field operations which further effective working relationships and makes possible the efficient use of resources is a clear and well-understood Owner obligation. Identifying and requesting any information needed over and above that provided in the contract documents is a clear and well-understood Contractor obligation.

All projects, regardless of size, require information. A process must be in place to define questions, force decision-making and ensure that answers are provided in an efficient and timely manner. Field decision-making depends on the nature of the question and the impact of the answer.

Questions – or, more correctly, requests, can be broken down into a number of categories. These are listed here with details in Attachments 1 to 7 on pages 21-27.

Requests generated by the Contractor

1. Submittals (Attachment 1)
2. Confirmations of verbal instructions (COVI) (Attachment 2)
3. Requests for information (RFI) (Attachment 3)
4. Requests for owner action (ROA) (Attachment 4)
5. Contract change requests (CCR) (Attachment 6)

Requests generated by the Owner

1. Requests for information (RFI) (Attachment 3)
2. Requests for Contractor action (RCA) (Attachment 5)
3. Contract change directives (CCD) (Attachment 7)

Answers – or more correctly, the information provided can impact:

- contract provisions regarding time and cost,
- the means, methods, sequence, and safety of construction,
- the design, performance, and service life of the completed work,
- the environmental impact of the work during or after construction,
- the public and other project stakeholders.

CD 2004-1 *(continued)*

A PROCESS FOR DECISION-MAKING:
A process for field decision-making requires the following steps:

1. The parties agree on the decision-making process, the authority and accountability of the individuals involved, and the cycle times for each category of decision.
2. The party requiring the information generates the appropriate documents, and requests a decision from the accountable individual within the agreed period.
3. The responding party has an internal decision-making process that supports the accountable individual and provides the information required within the agreed period for each category of request.
4. The party receiving the decision has an internal process for accepting the decision or referring it for further action within an agreed period.

Additional details of the process are given in Attachments 1 to 7 on pages 21-27.

A PROCESS FOR MEASURING AND MANAGING DECISION-MAKING:
Answers to questions asked constitute receivables in the same way as payments due on accounts rendered. The quantity, nature and age of outstanding information receivables must therefore be tracked, aged and resolved in the same way as outstanding cash receivables. The process requires that clear and well-understood mechanisms be in place to log and track requests, document the age of outstanding requests and actions to be taken on requests that have not been answered within the agreed period.

The effectiveness of decision-making depends on a clear understanding of who is responsible and accountable for resolving outstanding questions within the agreed period. Compliance with requirements can only be measured and improved if there is a clear record of:

- What, when, where, how and by whom the question was asked.
- What, when, where, how and by whom the answer was given.
- The age and nature of outstanding questions.

IMPLEMENTING THE PROCESS:
All projects, regardless of size and complexity, must have an efficient process to ensure that required information is provided in a timely and efficient manner. Project teams must define and agree upon the process during the pre-construction conference. Both the Owner and Contractor must agree on:

- The documentation to be developed for each category of information request.
- The name (as opposed to organizational position) of all individuals with the responsibility, authority and accountability to formulate and respond to each category of information request. The District Administrator or CEO may delegate the responsibility and authority for formulating and responding to requests, however, the accountability for meeting the established response times remains with the District Administrator and CEO.
- The cycle times for each stage in the decision-making process, the performance measures to be used to manage the process, the action to take if cycle times are not achieved and information is not provided in a timely manner.

For more information on CD-2004-1 including attachments, please refer to Appendix A.

CD 2004-1 *(continued)*

Attachment 1

SUBMITTALS

1. When are they used
When the Contractor requests Owner approval of drawings, test results and other material submitted for review.

2. An example
"Herewith please find product specifications and performance characteristics for the pressure reduction valve to be installed in valve pit 55. These are submitted for your review and approval."

3. Who generates them
Contractor field and procurement personnel pursuant to contract requirements. Single point responsibility and accountability lies with Contractor's Project Superintendent.

4. When are they generated
As early as possible in accordance with an agreed submittal schedule.

5. Who responds to them
Appropriate owner personnel. Single point responsibility and accountability for cycle time lies with Owner's designated Project Manager.

6. Cycle time
Acknowledged within 3 calendar days[1]
Reviewed and accepted for completeness within 14 calendar days
Reviewed, action noted and/or accepted within 30 calendar days or as outlined in contract documents.

7. Corrective action
Submittals outstanding over 30 calendar days or beyond timeframes outlined in the contract documents, are referred to District Administrator or their designee. The District Administrator or their designee takes corrective action within 7 calendar days.

Proven delays due to outstanding submittals are excusable and compensable. Impact of delays and/or any remaining disagreements relating to submittals are to be resolved through the request for Owner action or contract change request process.

[1] Process initiated on the last business day of a week shall be acknowledged before 5 pm on the next VDOT business day.

CD 2004-1 *(continued)*

Attachment 2

CONFIRMATION OF VERBAL INSTRUCTIONS (COVI)

1. When are they used
When the Contractor requests confirmation of agreements and instructions developed in negotiation with the Owner. Agreements must be able to be quantified using existing contract procedures and will, in the vast majority of cases, not impact contract time and cost. When time and/or cost are impacted, they must be clearly spelled out in the COVI.

2. An example
"This is to request confirmation of your instruction to undercut the foundation for the drop inlet at station 654+00 by 3 feet and backfill using selected material from the adjacent cut. I confirm our agreement that the work will be measured and paid for using existing unit rates and that there will be no schedule impact"

3. Who generates them
Contractor's field personnel.

4. When are they generated
Within 1 working day of the instruction.

5. Who responds to them
Owner's field personnel with appropriate authority. Confirmations not responded to by the Owner within one working day of submission are taken as valid.

6. Cycle time
1 working day

7. Corrective action
Work done by the Contractor without a COVI is performed at the Contractor's risk. COVI not responded to by the Owner within one working day are taken as valid

If parties in the field are unable to reach agreement and/or if instructions are not given in a timely manner then either party may elect to submit a request for information, request for Owner action, request for Contractor action, contract change request or contract change directive as appropriate.

CD 2004-1 *(continued)*

Attachment 3

REQUEST FOR INFORMATION (RFI)

1. When are they used
When either Owner or Contractor requests that the other party supply information to better understand or clarify a certain aspect of the work.

2. An example
"The foundation level for the drop inlet at station 654+00 is given as elev. 234.0 on drawing C98 and as elev. 238.6 on drawing C198. Please confirm which is correct."

3. Who generates them
Contractor's or Owner's personnel.

4. When are they generated
As soon as the need becomes known. A proactive stance on identifying outstanding information is important to project success.

5. Who responds to them
Contractor's Project Superintendent or Owner's designated Project Manager.

6. Cycle time
14 calendar days (or response time in mutually agreed upon action plan).

7. Corrective action
RFIs outstanding over 14 calendar days (or response time in mutually agreed upon action plan) are referred to District Administrator, their designee, or the Contractor's Project Manager. Corrective action is taken by the District Administrator, their designee, or the Contractor's Project Manager within 7 calendar days.

Proven delays due to outstanding Contractor RFIs are excusable and compensable. Delays due to outstanding Owner RFI's are noted in contractor evaluation reports. Impact of delays and any other issues remaining unresolved due to requests for information are to be resolved through the request for action, contract change request, or contract change directive process as appropriate.

CD 2004-1 *(continued)*

Attachment 4

REQUEST FOR OWNER ACTION (ROA)

1. When are they used
When the Contractor requests that the Owner take certain action it feels is required for project completion.

2. An example
"Construction of the culvert at station 3456+00 can only start once the necessary regulatory approvals have been obtained. Please obtain the necessary approvals and advise us so that work may start."

3. Who generates them
Contractor's field personnel. Single point responsibility and accountability lies with Contractor's Project Superintendent.

4. When are they generated
As early as the need for action becomes known.

5. Who responds to them
Appropriate Owner personnel. Single point responsibility and accountability for cycle time lies with Owner's designated Project Manager.

6. Cycle time
Acknowledged by the designated Owner's Project Manager within 3 calendar days.[1]
Action and direction within 14 calendar days (or response time in mutually agreed upon action plan).

7. Corrective action
Requests outstanding over 14 calendar days (or response time in mutually agreed upon action plan) are referred to District Administrator or their designee. Issues are to be resolved by the District Administrator, or their designee within 7 calendar days.

Proven delays due to outstanding requests for Owner action are excusable and compensable. Impact of delays and any other issues remaining unresolved due to requests for Owner action are to be resolved through the contract change request process.

---

[1]Process initiated on the last business day of a week shall be acknowledged before 5 pm on the next VDOT business day.

Attachment 5

REQUEST FOR CONTRACTOR ACTION (RCA)

1. When are they used
When the Owner requests that the Contractor take certain action it feels is in the best interest of the project and/or required for project completion

2. An example
"A review of the schedule indicates that substantial time has been lost. Please review progress to date and submit a detailed recovery plan and completion schedule"

3. Who generates them
Owner's field personnel.

4. When are they generated
As soon as the need for action becomes known.

5. Who responds to them
Appropriate Contractor personnel. Single point responsibility and accountability for cycle time lies with Contractor's Project Superintendent.

6. Cycle time
For safety and environmental issues, 1 working day. Other issues: Acknowledged by the Contractor's Project Superintendent within 3 calendar days.[1]
Action and/or submission within 14 calendar days (or response time in mutually agreed upon action plan).

7. Corrective action
Requests outstanding over 14 calendar days (or response time in mutually agreed upon action plan) are referred to Contractor's Project Manager. Issues are to be resolved by the Contractor's Project Manager within 7 calendar days.

Delays due to outstanding requests for Contractor action are noted in Owner's Contractor evaluation reports. If the Contractor does not take appropriate action in a timely manner, then the Owner may elect to submit a contract change directive.

[1]Process initiated on the last business day of a week shall be acknowledged before 5 pm on the next VDOT business day.

ICD 2004-1 *(continued)*

Attachment 6

CONTRACT CHANGE REQUEST (CCR)

1. When are they used
When the Contractor requests that the Owner makes an equitable adjustment to the contract because of excusable and/or compensable events, instructions that have or have not been given or other work requiring time and/or cost beyond that envisioned in the contract.

2. An example
"Differing site conditions under the west abutment of bridge 225 will necessitate a redesign of the foundation. This will impact contract price and performance period and will necessitate an equitable adjustment to the contract as set out in ..."

3. Who generates them
Identified Contractor's personnel.

4. When are they generated
As soon as the need for the contract change is identified.

5. Who responds to them
Identified Owner's personnel with appropriate authority.

6. Cycle time
Acknowledged by the Owner's designated Project Manager within 3 calendar days.[1]
Action and direction within 30 calendar days (45 calendar days if federal oversight project).

7. Corrective action
Requests outstanding over 30 calendar days (45 calendar days if federal oversight project) are referred to District Administrator, or their designee. Issues are to be resolved by the District Administrator, or their designee within 7 calendar days.

Impact of delays and any other issues remaining unresolved due to CCRs are to be resolved through the dispute resolution and claims process.

---

[1]Process initiated on the last business day of a week shall be acknowledged before 5 pm on the next VDOT business day.

CD 2004-1 *(continued)*

Attachment 7

CONTRACT CHANGE DIRECTIVE (CCD)

1. When are they used
When the Owner instructs the Contractor to perform work beyond that envisioned in the contract and undertakes to make an equitable adjustment to the contract.

2. An example
"Differing site conditions under the west abutment of bridge 225 necessitate a redesign of the foundation as shown on the attached drawing. Please proceed with the changed work. Payment will be made under the force account provisions of the contract. The changed work will take no longer than the float available on the schedule for bridge 225 and thus we see no reason to negotiate and agree to a change to the contract completion date."

3. Who generates them
Owner's personnel.

4. When are they generated
As soon as the need for the contract change is identified.

5. Who responds to them
Contractor's personnel with appropriate authority.

6. Cycle time
Acknowledged by the Contractor's Project Superintendent within 3 calendar days.[1]
Action and/or submission within 30 calendar days.

7. Corrective action
Requests outstanding over 14 calendar days (or response time in mutually agreed upon action plan) are referred to Contractor's Project Manager. Issues are to be resolved by the Contractor's Project Manager within 7 calendar days. Requests outstanding over 30 calendar days are referred to Contractor's CEO or their designee. Issues are to be resolved by the Contractor's CEO or their designee within 7 calendar days.

Delays due to outstanding requests for Contractor action are noted in Contractor evaluation reports. Outstanding issues are handled under contract termination and other appropriate clauses in the contract.
Delays due to outstanding requests for Contractor action are noted in Owner's Contractor evaluation reports. If the Contractor does not take appropriate action in a timely manner, then the Owner may elect to submit a contract change directive.

[1]Process initiated on the last business day of a week shall be acknowledged before 5 pm on the next VDOT business day.

CD 2004-1 *(continued)*

Attachment 8

PROCESS GUIDELINES FOR REQUESTS GENERATED BY THE CONTRACTOR

Process	*Situation*	*Normal Resolution Process*		*Escalated Process*		*Final Resolution*
		By	*Within (calendar days)*	*By*	*Within*	
Submittal	Seeking approval of materials or test results submitted for review.	Owner's Designated Project Manager	Acknowledge: 3 days[1] Accept or Return: 14 days Approve: 30 days or as outlined in contract documents.	DA or their designee	7 days	Submit ROA or CCR
Confirmation of Verbal Instruction (COVI)	Resolving routine field issues, within the framework of the contract, in negotiation with Owner field personnell.	Owner's Appropriate Field Personnell	Confirmation: 1 day[2]	Submit RFI, ROA or CCR	7 days	(See process for RFI, ROA, or CCR)
Request for Information (RFI)	Requesting the Owner to supply information to better understand or clarify a certain aspect of the work.	Owner's Designated Project Manager	Action: 14 days (or appropriate Action Plan)	DA or their designee	7 days	Submit ROA or CCR
Request for Owner Action (ROA)	Requesting that the Owner take certain action the Contractor feels is required for project completion.	Owner's Designated Project Manager	Acknowledge: 3 days[1] Action: 14 days (or appropriate Action Plan)	DA or their designee	7 days	Submit CCR
Contract Change Request (CCR)	Requesting the Owner to make an equitable adjustment to the contrac t because of excusable and/or compensable events, instructions that have or have not been given or other work requiring time and/or cost beyond that envisioned in the contract.	Owner's Designated Project Manager	Acknowledge: 3 days[1] Action: 30 days (45 days if federal oversight project)	DA or their designee	7 days	Established dispute resolution and claims process

[1] Process initiated on the last business day of a week shall be acknowledged before 5pm on the next VDOT business day.

[2] The absence of a written confirmation from the Owner to a Contractor's written request for confirmation of a verbal instruction shall constitute confirmation of the verbal instruction.

CD 2004-1 *(continued)*

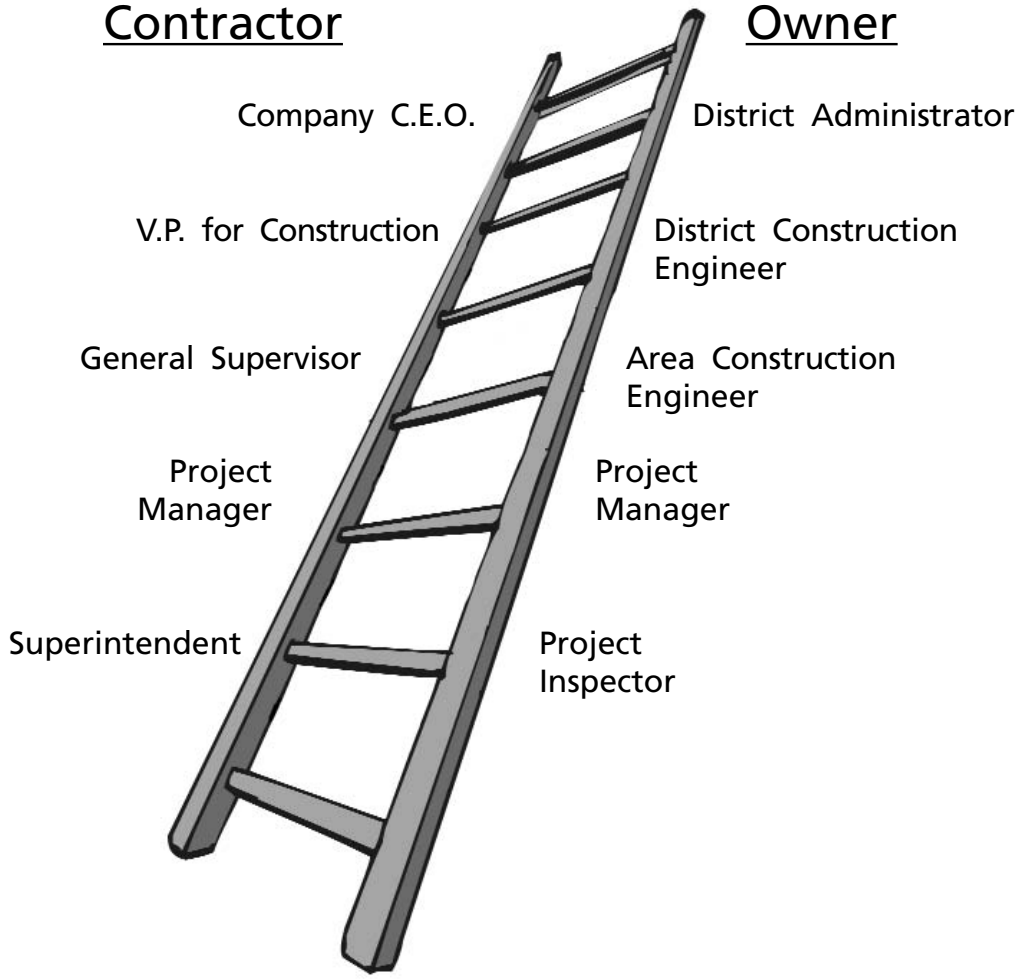
Attachment 9

PROCESS GUIDELINES FOR REQUESTS GENERATED BY THE OWNER

Process	*Situation*	*Normal Resolution Process*		*Escalated Process*		*Final Resolution*
		By	*Within (calendar days)*	*By*	*Within*	
RFIl	Requesting the Contractor to supply information to better understand or clarify a certain aspect of the work.	Contractor's Project Superintendent	Action: 14 days (or appropriate Action Plan)	Contractor's Project Manager	7 days	Submit RCA or CCD
RCA	Requesting that the Contractor take certain action the Owner feels is in the best interests of the project and/or required for project completion.	Contractor's Project Superintendent	For safety and environmental issues: 1 day Otherwise acknowledge: 3 days[1] Action: 14 days (or appropriate Action Plan)	Contractor's Project Manager	7 days	Submit CCR
CCD	Instructing the Contractor to perform work beyond that envisioned in the contract and undertakes to make an equitable adjustment to the contract.	Contractor's Project Superintendent	Acknowledge: 3 days[1] Action: 30 days	CEO or their designee	7 days	Established dispute resolution and termination process

[1] Process initiated on the last business day of a week shall be acknowledged before 5pm on the next project business day.

Issue Resolution



Issues should try to be solved at the lowest possible level.

The project inspector and the superintendent should discuss and resolve minor issues of concern and proceed with the work with essentially no delay.

Should the issue not be resolved at the superintendent/inspector level, the issue should be elevated to higher levels before any impact on cost or time develops.

CD 2004-1 *(continued)*

Sample Construction Project Request

VDOT Construction Project Request

VDOT Virginia Department of Transportation

TYPE OF REQUEST

- ☐ Contractor's Request for Owner Approval (Submittal)
- ☐ COVI
- ☐ RCA
- ☐ RFI
- ☐ CCR
- ☐ ROA
- ☐ CCD

Date: _____

Request #: _____

Project #: _____

From: _____

To: _____

Title: _____

Subject: _____

Request: _____

Attachment ☐

Date of Receipt: _____

Name of Recipient: _____

Date of Acknowledgement: _____

14-Day Status: _____

30-Day Status: _____

cc: Project Engineer/Construction Manager
Residency Office

CD 2004-1 *(continued)*

Sample Logs

Tracking Log for Field Decision Making

VDOT Project:

COV Confirmation of Verbal Instruction - When the Contractor requests confirmation of agreements and instructions developed in negotiation with the Owner
RFI Request for Information - When the Contractor or Owner requests that the other party supply information to better understand or clarify a certain aspect of the work
ROA Request for Owner Action - When the Contractor requests that the Owner take certain action the Contractor feels is required for project completion
CCR Contract Change Request - When the Contractor requests that the Owner makes an equitable adjustment to the contract
RCA Request for Contractor Action - When the Owner requests that the Contractor take certain action the Owner feels is in the best interests of the project and/or required for completion
CCD Contract Change Directive - When the Owner instructs the Contractor to perform work beyond that envisioned in the contract and undertakes to make an equitable adjustment

Number	Process	Description / Issue	FHWA	Environmental or Safety Issue	Initiated By:	Date Received	Acknowledgement Due Date	Actual Date Acknowledged	Allow. Time	Late?	Action Due Date	Actual Action Date	Allow. Time	Late?	Escalation Action Date	Allow. Time	Late?	Status (Open/Closed)	Resolution

VDOT Project No.:

Submittal Log

Number	Resubmittal	Description	Contractor, Supplier or Trade	Pay Item No	Submittal Received				Number of Copies	Action by Owner						Action Taken				No. Copies Returned to VDOT	No. Copies to Contractor	Date Returned to Contractor	Submittal Process Complete (Y or N)	Comments / Resolution
					Date Received	Date Acknowledgement Due	Actual Acknowledgment Date	Late?		Review for Completeness Due	Actual Review for Completeness Date	Late?	Owner Acceptance Review Due	Actual Acceptance Review Complete	Late?	Approved	Approved As Noted	Revise & Resubmit	Not Approved					