



**Washington State
Department of Transportation**

PARTNERING FIELD GUIDE

FOR WSDOT PROJECTS

Our way of doing business

December 2017

Partnering Agreement

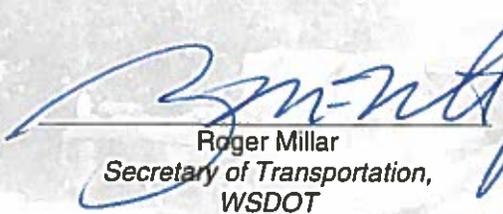
December 8, 2017

We, the undersigned partners of the Washington State Department of Transportation/Associated General Contractors of Washington Partnering Steering Committee, recognize the significant role that effective Partnering plays in the efficient and fair delivery of projects and agree to work together as a cohesive, cooperative team to promote the use of Partnering, both formally and informally, on our projects across the state.

The Partnering Steering Committee will remove barriers that inhibit collaborative Partnering and effective communication, and strongly support those activities that allow Partnering to flourish.

Based on our collective experience in implementing Partnering, we have identified the following Partnering success factors and commit ourselves to their continuous improvement:

- Safety
- Open and Honest Communication
- Mutual Respect
- Recognition and Awards
- Regular Assessment of Partnering Health
- Support Partnering Training of Field Staff

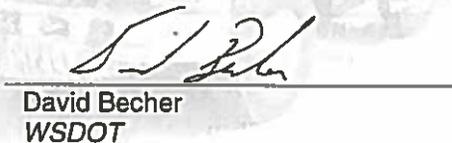

Roger Millar
Secretary of Transportation,
WSDOT


Dave D'Hendt
Executive Director, AGC


Chris Christopher
WSDOT


Paul Mayo
Flatiron Construction

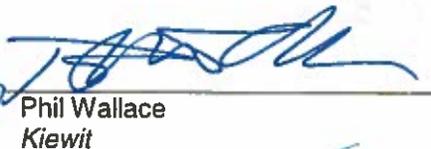

Craig McDaniel
WSDOT

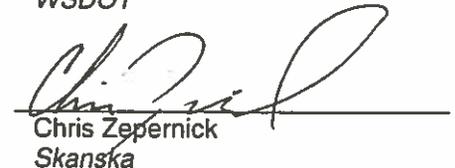

David Becher
WSDOT


Brandon Dully
Guy F. Atkinson Construction


MaryLou Nebergall
WSDOT


Robert Blegen
WSDOT


Phil Wallace
Kiewit


Chris Zepernick
Skanska


Greg Waugh
Max J. Kuney Company


Marco Foster
WSDOT

PARTNERING

A Field Guide to Partnering WSDOT Projects

This field guide is written for both WSDOT and the Contractor's personnel to convey WSDOT's and the construction industry's commitment to partnering. It does so by providing guidelines and tools for successful partnering.

Acknowledgement: We would like to thank Utah Department of Transportation and California Department of Transportation for allowing us to utilize portions of their documents in putting together this handbook. The majority of this document came from these two departments.

Table of Contents

CHAPTER 1 PARTNERING, OUR WAY OF DOING BUSINESS	5
We are Committed	5
Seeking Fairness.....	5
What is Partnering?	5
Win-Win Negotiations	5
Partnering Objectives	6
Partnering Values.....	7
Role of the PE and Contractor’s PM	7
Entitlement and Trust.....	7
Creeds	8
CHAPTER 2 STARTING THE PROCESS.....	9
The Preconstruction Meeting	9
Partnering is a Process.....	9
Role of the Professional Facilitator.....	9
If you are Partnering Internally.....	9
Making the Offer to Partner	10
When You Should Hold the Kick-off Partnering Workshop	12
CHAPTER 3 SETTING UP THE PARTNERING WORKSHOP	13
Determining the Length of the Workshop.....	13
Different Types of Kick-off Workshops.....	14
Other Types of Workshops	14
Deciding Who Needs to Attend (Standard and Risk-based Workshops).....	14
Standard Partnering - Sample Workshop Agenda	14
Risk-based Partnering	16
Scoping/Partnering and Alternative Delivery Workshop.....	16
Construction Partnering Workshop for Design/Build.....	18
Notifying the Team	18
Preparing for the Workshop	19
Partnering Charter/Agreement	19
CHAPTER 4 TOOLS TO ASSIST IN MAKING THE PARTNERSHIP A SUCCESS.....	21
Weekly Project Meetings.....	21

Communication.....21

CHAPTER 5 PARTNERING, PROBLEM SOLVING AND CONFLICT RESOLUTION23

Project Issue Resolution Process23

What is a Dispute?23

Escalating Issues Effectively and Timely23

I Can't Give Up Now.....23

Elevation of an Issue24

Disputes Deserve Their Own Meeting24

Elevation of an Issue25

Separating People from the Problem25

Follow-up Partnering Session(s)26

The Professional Facilitator26

Team Building Activities.....26

CHAPTER 6 MEASURING PROGRESS27

Getting Feedback27

Completing the Survey.....27

Posting and Distributing Results27

CHAPTER 7 CELEBRATING SUCCESS29

Monthly Team Awards.....29

Project Awards.....29

Appendices30

APPENDIX A: PRECONSTRUCTION LETTER AND QUESTIONNAIRE.....31

APPENDIX B: PARTNERING AGREEMENT33

APPENDIX C: PARTNERING MEETING AGENDA35

APPENDIX D: GUIDELINES FOR COMPLETING AND MANAGING THE SURVEY37

APPENDIX E: PARTNERING SURVEY38

APPENDIX F: ISSUE ELEVATION MEMORANDUM39

APPENDIX G: PARTNERING FIELD GUIDE CHECKLIST40

Questions/Comments41

CHAPTER 1 PARTNERING, OUR WAY OF DOING BUSINESS

We are Committed

This field guide is intended to promote the formation and success of partnering relationships on WSDOT construction projects. WSDOT and the Construction Industry are committed to making partnering the way we do business. 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. Your manager 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.

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

Seeking Fairness

Fair does not mean waiving contract requirements or bending the rules. Fair means timely decision making, open communication and mitigating each other's problems. 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.

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.

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 goals and values.
- Partners seek input from each other 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 what they need and their true interests in the outcome have been satisfied as well as the interest of the project.

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 (PE) 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 PE 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. WSDOT 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, both WSDOT and the Contractor are gambling that they will be able to convince a third party, dispute review board, or arbitrator of their position months or years later. This is a huge risk and a loss of control of the outcome.

The use of partnering in the public sector has grown significantly in recent years. Some of the following objectives for partnering are:

- Claims mitigated and resolved promptly
- Safer projects
- Environmental compliance
- Increased job satisfaction
- Reduced delays
- Higher quality
- Reduced total project costs
- Affirmative public opinion

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

Partnering Values

What we value we do. Each project has its own culture, its norms or “way of doing business”. The following is a partial list of partnering values and attributes of the way we want to do business as partners. As project leaders, your job is to instill these values into the projects and to identify and overcome any barriers that interfere with their achievement. However, for the values to be embraced, each team must define what they mean to the team during the Partnering workshop.

Fairness	Teamwork
Cooperation	Joint Problem Solving
Trust	Working for Mutual Gain
Open and Honest Communication	
Rapid Dispute Resolution at the Field Level	

Role of the PE and Contractor’s PM

The Project Engineer (PE) and the Contractor’s Project Manager (PM) are responsible for leading (championing) the partnering effort. 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 critical to partnering success (or failure). The act of planning and executing the partnering session builds a relationship between the PM and the PE and presents a united effort to the team.

The PE and Contractor’s PM, 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. At the project partnering workshop, the PE and Contractor’s PM will act as hosts as well as active participants. 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. The role of the PE and Contractor’s PM 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 professional partnering facilitator (recommended) is there to help.

It is the responsibility of the Contractor’s PM to oversee and manage the construction of the work and the Contractor’s operations. The PM ensures the Contractor fully satisfies his/her obligations, including those related to quality, as set forth in the contract. It is the responsibility of the PE to administer the contract on behalf of the State and the Contractor. The behavior of the Contractor’s PM and PE 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.

As the administrator of the contract, the PE 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.

Entitlement and Trust

The timely acknowledgment of entitlement is integral to the trust relationship between WSDOT 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. In a partnered relationship, entitlement or acknowledgment of responsibility by either WSDOT or the Contractor is never used as a bargaining chip. Because successfully partnered projects rely on forthright communication, we will acknowledge entitlement, whether partial or in full, immediately upon determination of responsibility. The team must focus on the problem or issue first, then discuss responsibility before you can ever determine entitlement. Imagine the scenario of discovering something on the project and the first words uttered by the contractor are, “this is WSDOT’s problem and it is going to cost you”. What becomes our focus at that point in time. Focus first on the problem, brainstorm solutions, select the best solution and then discuss responsibility and entitlement.

Creeds

Ron Howard authored a contractor's creed and an owner's creed printed them out on laminated cards and handed them out at partnering training. The cards are available from the State Construction Office. The creeds read as follows:

THE CONTRACTOR'S CREED

"I believe that the State is entitled to receive the work in the contract, performed with the best craftsmanship that I can muster. I understand that, in at least some of the issues, I will not be entitled to extra compensation. When this occurs, I want to complete the work as soon as possible, minimizing the cost, but still providing my best workmanship. I do not consider an outcome where I am able to extract payment, even though I am not entitled to it, to be a success.

The plans and provisions that are included in the contract will govern unless a change is approved. Unless there is a plan error that must be addressed, the owner is completely justified in requiring that the plans be carried out as written. I will accept the Project Engineer's decision to reject any voluntary change proposal that I might submit."

THE OWNER'S/PROJECT ENGINEER'S CREED

"I believe that the Contractor is entitled to earn a fair profit for efforts on the project. I understand that, in at least some of the issues, the Contractor will be entitled to extra compensation. When this occurs, I want to recognize that entitlement as soon as possible and see to it that appropriate compensation is paid. I do not consider an outcome where an entitled contractor is not paid or is paid less than appropriate to be a success.

I acknowledge that there are often alternative approaches to achieving the desired product. I will be flexible when the Contractor proposes alternatives to the plan and will give these fair hearings. If all other things are equal, I will try to accept the Contractor's proposals."

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.
George Shin

The Preconstruction Meeting

The preconstruction meeting is an important step in creating the partnering relationship. Nearly every WSDOT contract currently hosts a preconstruction meeting prior to beginning work. A model preconstruction letter is included in appendix A. Note that this example letter has been expanded to include a questionnaire for the contractor and subcontractors. This will assist the PE and Contractor's PM in preparing for the preconstruction meeting and initiate the partnering process by enabling the PE to respond to contractor's questions.

Partnering is a Process

The process needs to be facilitated. There are very specific objectives to be obtained on a project by using partnering, as discussed above. All projects are unique and have their own set of challenges and risks. Some projects may be less complex and short in duration and therefore the challenges and the risks of the project more definable. For these projects, it is appropriate for the PE and the Contractor's PM to facilitate the partnering process internally, however, all partnering aspects must be discussed, i.e. Partnering Values, Project Goals, Issue Resolution Plan, and Team Maintenance. The facilitation of these discussions should be done jointly by the PE and Contractor's PM. For larger or more complex projects it is prudent to use the service of a professional facilitator.

Role of the Professional Facilitator

The professional facilitator assists the PE and Contractor's PM in developing an effective partnering process and partnering workshop(s) for the project. The professional facilitator is not the leader of the partnering effort. The goal is for the PE and Contractor's PM to act as the project leaders. This includes working with the professional facilitator to lead parts of the partnering workshop. The PE and Contractor's PM are encouraged, with the guidance of the facilitator, to take an active role in leading and facilitating elements of the partnering session. Keep in mind that the facilitator works for the owner/contractor team and we should make good use of their expertise.

If you are Partnering Internally

Projects that are internally partnered means that a professional facilitator is not used. Facilitation is done by both the PE and Contractor's PM. The reasons to internally partner may be due to the small size or lack of complexity of the project. Add some or all the following items as appropriate to the preconstruction meeting agenda when you are using the preconstruction meeting to initiate the partnering effort:

- Define the partnering values for the team
- Establish the overall project goals of the team to define success
- Exchange of organizational charts
- Commitment to resolve claims at the lowest level possible
- Method of escalating unresolved issues for resolution
- Regular scheduled meetings to promote communications
- Commitment to complete partnering surveys within specified timelines
- One and three-week working schedules to encourage discussion of upcoming construction activities
- Formation of teams to resolve identified contract issues
- Identify potential Value Engineering Proposals

Making the Offer to Partner

All WSDOT-owned projects should be partnered. This offer can be in the form of a letter of invitation from the PE to the Contractor's PM or discussed at the preconstruction meeting. . A sample letter of invitation is as follows:

Dear Project Manager:

Congratulations on being awarded the project XYZ. We at WSDOT 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 professional or internal partnering process.

I am enclosing a copy of the WSDOT Partnering Field Guide for your reference.

Sincerely,
Project Engineer

PARTNERING GUIDELINES

- A. Partnering does not change the legal relationship of the parties to the Contract, and does not relieve either party from any of the terms of the Contract.
- B. The Department encourages the formation of a strong partnership among the Department, the Contractor, and the Contractor's principal subcontractors. This partnership draws on the strengths of each organization to identify and achieve mutual goals.
- C. Implement partnering concepts on all projects. Determine jointly between the Contractor and Department's Engineer to either bring in a professional facilitator or to initiate internal partnering by jointly sharing in facilitation responsibilities.
- D. As soon as possible after award of the Contract, determine if a professionally facilitated partnering initiative is wanted and determine jointly between the Contractor and Department's Engineer a facilitator for the meeting and determine attendees, agenda, duration, and location of a partnering workshop.
- E. Both the Department and the Contractor agree to, and share equally any costs to accomplish partnering.
- F. Persons who should be considered to attend the workshop:
 - 1. Contractor's corporate level manager (i.e. Operations Manager, Vice President, President)
 - 2. Contractor and key project supervisory personnel (i.e. Project Manager, Field Engineers, Superintendent)
 - 3. Principal subcontractors (i.e. Project Manager, Superintendent)
 - 4. Department's Assistant State Construction Engineer.
 - 5. Department's Region Construction Engineer.
 - 6. Department's Project Engineer and key project personnel (i.e. inspectors, lab personnel)
 - 7. Project Design Engineer.
 - 8. Local government personnel.
 - 9. Major utilities.
- G. Follow-up workshops should be held periodically as agreed by the Contractor's PM and the PE.
- H. Formal team maintenance shall be considered. What is measured becomes important. Types of maintenance include:

1. Monthly evaluations of the team's goals
2. Follow-up workshops periodically for longer projects
3. Executive quarterly sessions
4. Close-out workshop approximately 60 to 90 days prior to project completion

When You Should Hold the Kick-off Partnering Workshop

Hold the kickoff-partnering workshop as soon as possible after 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 completing the project on time. After the project reaches 33% completion, making changes decreases the odds of on-schedule completion exponentially.

It is also important to allow enough time for the project team to be in place and to have become familiar with the project before holding the kick-off workshop. Holding the workshop before the contractor has decided how to build the project or has had time to carefully review the contract documents makes for an ineffective session.

Hold frequent partnering sessions for large complex projects. Hold partnering sessions as needed or as agreed upon by the project team. Additional opportunities for these types of projects are Executive meetings to gain their input at the beginning of the project and then periodic check-ins for the Executives to develop an on-going relationship versus not meeting with each other until there is an escalated issue needing resolution. On-going relationships are key to a project's success.

CHAPTER 3 SETTING UP THE PARTNERING WORKSHOP

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. Most projects can be accommodated in a 1-day or ½-day session, while others require not only a ½-day Executive Session and a one-day general session but also multiple follow-up sessions throughout the project’s duration. Some determining factors to consider when deciding the length and frequency of workshops are as follows:

Rate the following factors on a scale of one to three:

- ✓ Number of attendees
- ✓ Number of key organizations
- ✓ Size of project
- ✓ Complexity of project
- ✓ Difficulty of project

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

Low scores (average) (1s) indicate that an expanded preconstruction 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 to two-day workshop and a series of workshops over the duration of the project is recommended. Use this assessment as an indicator – your good judgment and common sense should always prevail.

Different Types of Kick-off Workshops

Workshops should be designed to accommodate the type of project or experience of the team. There are several different project kick-off approaches that can be used including:

- Standard Partnering
- Risk-based Partnering
- Alternative Delivery Scoping/Partnering (Design/Build)
- Executive

Other Types of Workshops

- Follow-up Workshops
- Close-out Workshops

Deciding Who Needs to Attend (Standard and Risk-based Workshops)

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. The PE and Contractor’s PM 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 in advance of the partnering session. The PE and Contractor’s PM signs the invitation and requests that each invitee confirm their attendance. The following list is provided as a guideline to identify potential workshop attendees.

WSDOT			CONTRACTOR	
Project Engineer	Public Information	Local Governments	Project Manager	Key Suppliers
Region Construction	Inspectors		Office manager	Utility Coordinator
Office Engineer	Lab Tech.		Field Engineer	Project Superintendent
Chief Inspector Engineer	Design Team		Subcontractors (PM & Supt.)	
Environmental	ASCE		Senior Management	
Key PE Crew	Lab (QC/QA rep)	Traffic & Safety	Contractors Operations Mgr., VP, President,	

Standard Partnering - Sample Workshop Agenda

The PE and Contractor’s PM are responsible for designing the partnering workshop agenda. If a professional facilitator is used, the Professional facilitator should assist the PE and Contractor’s PM in developing the agenda to meet the specific needs of the project and helping to keep the workshop on track. (See appendix C for monthly Partnering Meeting – Model Agenda). Here is a sample ½-day and one-day agenda.

Sample ½ Day Partnering Workshop Agenda

- 8:00 a.m. Welcome (PE and Contractor’s PM) Introductions and Project Organizations
 Partnering Commitment - Define Partnering Values
 Establish Communication Protocols – Expectations and roles & Responsibilities
 Define Project Goals & Action Plans – Sign Project Charter
- 10:00 a.m. Break
 Establish Issue Escalation Plan and Discuss How to Use It
 Discuss Project Issues & Concerns
 Define How Partnering Will Be Maintained by the Team
- Noon End of Session

Sample One-Day Partnering Workshop Agendas

- | | | | |
|--------|--|---------|---|
| 7:30am | Continental Breakfast | 1:00pm | Complete Goal Action Plans for Each Goal that Defines Success |
| 8:00am | <p>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. WSDOT, etc.)
 Lessons Learned if this is an on-going team Develop Project Goals
 Begin Action Plans</p> | | <p>Project Overview
 Potential Project Key Issues
 Discuss and Develop Action Plan for Resolution of key Issues</p> |
| Noon | Lunch | | <p>Break</p> <p>Development of a Conflict Resolution Process
 Signing of the Partnering Agreement
 Establish Maintenance (follow-up) plan for the team
 Closing Remarks and Thanks (PE & PM/PS)</p> |
| | | 4:00 pm | Session Ends |

Risk-based Partnering

Partnering continues to evolve, with teams that have little or no experience to those that are extremely experienced in partnering. To accommodate the various teams, this is a progressive approach to partnering by dealing with the various risks related to a project. Risks can be defined in three categories:

- **Political/Social** – this can be defined as communities, permitting, management priorities, users, approvals, media, and internal stakeholders, project team issues, (partnering: relationships, conflict management, issue resolution, communication, etc.).
- **Technical** – this is the most common for design and construction projects and is typically represented by requirements, regulatory, technology, data, design, construction, maintenance, operations, life cycle asset management, and cost. (i.e., project issues/concerns; health, safety, environmental, etc.).
- **Contractual** – this is most commonly related to delivery method, funding, negotiations, scope of work, qualification requirements, certification requirements, incentives, penalties and default.



The risk-based approach focuses on helping teams to work through the three types of associated risks related to their project using a risk assessment tool and treatment/response plan. An existing risk register that was used during the design phase can be used or the team can develop their own simple Risk Register to be used throughout the construction process.

Sample 1-day Risk-based Partnering Agenda

- | | |
|------------|--|
| 8:00 a.m. | Welcome and Introductions
Process/Workshop Discussion
Partnering Process Commitment – Define Values
Discuss Communication Protocols
Project Goals and Action Items |
| 10:00 a.m. | Break

Continue Goal Action Plans |
| 11:00 a.m. | Establish Issue Escalation Plan and How to Use It |
| 12:00 p.m. | Lunch |
| 1:00 p.m. | Define, Rate, Ranking and Impact of Risks
Develop Treatment Plans/Risk Responses and Risk Ownership |
| 4:00 p.m. | Establish Follow-up and Team Maintenance Program |
| 4:30 p.m. | End of Session |

Scoping/Partnering and Alternative Delivery Workshop

Alternative Delivery Method projects can often prove to be very challenging because of the newness of the process to many if not all stakeholders involved. This includes owners, designers, construction managers and contractors. This particular workshop is to help the team to better understand the various methodologies and to minimize or avoid some of the challenges that can often arise. This can be accomplished by holding a scoping meeting at the beginning of the project. This workshop should be held as soon as all the players are on board, as this is a team approach. The purpose of the workshop is to help open critical lines of communication by understanding many of the process elements that can be

frustrating since the Alternative Delivery Methods are very different from the normal design/bid/build process.

The first initial workshop is focused on the design process, not construction. A separate follow-up workshop should be held to introduce the construction partnering to the team.

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 include key sub-consultants)
 - Project Controls Manager
 - Construction Project Manager, if different from above
 - Public Involvement Specialist, if available
 - Utility Coordinator
 - Quality Manager
- WSDOT
 - Project Manager
 - Design Discipline Coordinator
 - Design Discipline Team Leaders for Review (Roadway, Structures, Traffic, Environmental, Drainage, etc.)
 - Project Engineer (It is important that this position is identified and engaged at the beginning)
 - Region Public Information Specialist
 - Utility Coordinator
 - Assistant State Construction Engineer
- Others, when necessary
 - Agency involved during the design process, review and approval authority
 - FHWA

Design/Build Scoping/ Partnering Sample 1-day Agenda

- 8:00 a.m. Welcome and Introductions
 - Discuss Design/Build Process Expectations – What do we expect from the process, not the project
 - Partnering Commitment – Define Values for the Team (these should carry the team through the entire project)
 - Establish Communication Protocols and a Communication Plan for the design process
 - Discuss and Define the Organizational Roles & Responsibilities During Design (D/B team, WSDOT, other 3rd Party Stakeholders)
- 10:00 a.m. Break
 - Develop Issue Resolution Plan (for design) and Define the Rules to Use the Plan (these are different from a standard construction escalation plan)
 - Develop Project Goals
- 11:00 a.m. Process/Project Understanding & Development

Project Design Reviews & Comment Reconciliation

- Over the Shoulder Review Process
- Comment Reconciliation Process
- Design Review Process; responsiveness
- Early Release for Construction Documents Process (as appropriate)

12:00 p.m. Lunch

Expectations for Design Deliverables (30, 60, 90 & 100%)

Design Discipline Meetings

- Risk Analysis & Value Engineering (During Design)

Schedule Management

Phasing and Packaging Approach

Partnering Follow-up

- Team Monitoring for Design
- Follow-up Design Workshops
- Partnering for Construction

Project Specific Issues (as time permits)

Construction Partnering Workshop for Design/Build

This workshop would occur at the point that construction will begin and it will be much like the other partnering workshops addressed in the previous chapters and all 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 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.

Notifying the Team

The PE and the PM for the contractor should invite the necessary stakeholders to attend the workshop as described earlier, based on the needs of the project. The following is a sample letter:

Date: XX/XX/XX

To: XXX

XXX

From: Project Engineer
Project Superintendent

Subject: Partnering Workshop for XYZ Project

You are cordially invited to attend our partnering workshop for the XYZ Project. WSDOT and Contractor are committed to working together on this project and your involvement is extremely valuable to the success of the project. We would like to start the partnering effort off with a XX-day partnering workshop. The workshop will take place as follows:

Date:

Time:

Location:

Please confirm, by phone, e-mail or fax, that you will be attending our workshop. We look forward to making this a great project. We can be reached at:

PE [phone number] Contractor's PM [phone number]

PE [fax number] Contractor's PM [fax number]

Sincerely,

PE

Contractor's PM

Preparing for the Workshop

The PE and Contractor's PM should meet to discuss and prepare for the partnering workshop. This will probably require more than one meeting. The first meeting will involve selecting potential dates and locations for the session and a professional facilitator (recommended). Once these are selected, a list of attendees will be developed, making sure that the session date(s) work for the key participants. The PE and Contractor's PM should also discuss their objectives for partnering the project – what does each hope to accomplish? What issues were identified on the preconstruction questionnaire? This information should be used for designing the session to meet the objectives.

The second meeting between the PE and Contractor's PM will be to prepare presentations. The PE and Contractor's PM will be taking the lead during the partnering session. They will present an overview of the project, have a list of potential/actual project issues and may develop a mission statement for the project. If a professional facilitator is used include them in a review of this information. Experience has shown that preparation is critical to feeling comfortable with a leadership role. The PE and Contractor's PM 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 the principles and commitments made during the partnering session. This is not a legal document, but a personal commitment of those attending the session that they will assist the PE and Contractor's PM in ensuring the project is a success. (See Appendix B for a sample partnering charter/agreement)

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.

CHAPTER 4

TOOLS TO ASSIST IN MAKING THE PARTNERSHIP A SUCCESS

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

Weekly Project Meetings

A weekly project meeting is a best management practice and 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 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 WSDOT 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 electronic devices 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.

Pre-meeting - Another good idea to facilitate communication is for the project superintendent and inspector to meet 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.

Communication

Good communication means that we reduce 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.

CHAPTER 5 PARTNERING, PROBLEM SOLVING AND CONFLICT RESOLUTION

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

Problem solving and issue resolution are two of the most critical elements in the partnering process. Team members must have the experience, empowerment and desire to help all sides succeed through effective issue resolution. One of the main goals of problem solving and issue resolution is to help each team member gain a better understanding of the issue at hand. This can only be done through an open and honest exchange of information, otherwise known as the Issue Resolution Process.

The Issue Resolution Process in the Partnering Program must include more than just the issue escalation plan (ladder). Team members should focus on opportunities to educate one another on needs, expectations, and approaches to work elements. Taking a pro-active approach to understand work elements helps teams to identify issues earlier, leading to fewer project concerns and constraints.

This process will guide project teams to develop more effective, individualized approaches to issue resolution. Additionally, this process provides a method for teams to develop the “lessons learned” and educational opportunities to improve the effectiveness of individual team members. It also describes the development of action plans to address specific issues before the Partnering Workshop as well as during the Partnering Workshop.

Project Issue Resolution Process

A strong focus is needed to ensure that issues are resolved in the field in a timely and effective manner. A “common sense” approach to resolving issues needs to be applied to each issue and must include a complete understanding of the issue at hand. A common understanding of the issue needs to occur between the owner and/or consultant staff member(s) and the contractor staff member(s). In many cases, field level issues revolve around specifications and contractual obligations. If issues cannot be resolved in the field, there needs to be a quick approach to the resolution process. Both parties must also remember to adhere to the requirements of the Contract as they work to resolve an issue.

What is a Dispute?

Project team members work daily to resolve problems, so they may 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. It most likely includes contract interpretation, site conditions, money and possibly time. It commonly includes a discussion of ownership of risk.

Escalating Issues Effectively and Timely

The dispute resolution ladder is designed to provide timely decision-making and avoid reaching an impasse.

I Can't Give Up Now

Another barrier is that people 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. 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.

Elevation of an Issue

The dispute resolution ladder should be created during the partnering workshop. Notification, response and dispute resolution procedures are specified in the contract and to preserve everyone's rights under the contract they must be observed. Therefore, we should pay special attention to make sure the dispute resolution process developed must comply with the contract. At the top of the ladder are the two primary parties to the contract, WSDOT and the Contractor. Other involved parties may be a resource to these two primary parties, but the contractual relationship lies with WSDOT and the prime Contractor. For example, behind the Contractor are the subcontractors and suppliers. Behind WSDOT might be design, right of way or the materials laboratory.

Each party to a dispute needs to fully understand the other person's position. The process starts at the lowest level possible for each organization and proceeds up through both organizations' hierarchy until the issue is resolved. 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 or
4. If the issue begins to negatively affect our working relationship.

What is unacceptable is to ignore a dispute or refuse to escalate an issue. Properly escalating an issue provides timely resolution and is not a bad thing. Here are a few suggestions for overcoming barriers to using the dispute resolution ladder.

Disputes Deserve Their Own Meeting

When an issue is elevated it is important that a special meeting be held to discuss the dispute at hand. Often people will say, "Well, I talked to him at our weekly meeting," or, "I told him I didn't agree." This does not formally elevate the issue. You need to call and schedule a separate meeting, at which you will discuss, seek to understand, brainstorm ideas about, and seek resolution of only the disputed issue. Minutes should be taken and routed to all parties to encourage understanding of each other's position. A meeting should be held each time an issue is elevated to the next higher level.

Elevation to the next level in the dispute resolution ladder should be done as a face-to-face meeting. Individuals involved in the dispute should sit down with the individuals at the next level of the escalation ladder and discuss the issue. You may want a joint white paper from the parties escalating the issue. For example, the Inspector and the Foreman sit down with the Project Engineer and the Superintendent and discuss the issue in dispute and the information that has led to this issue. Once the next level is satisfied with the information and has had the opportunity to gain clarity from both sides, the level that escalated the issue is released.

Once the issue is elevated, the next level should meet as soon as possible to try and negotiate a resolution. It is important that any resolutions made are communicated down to the originating level. If the issue is elevated to the top of the ladder without resolution you need to involve the State Construction Office to decide the next steps.

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 dispute resolution ladder is created during the partnering workshop (or at the expanded preconstruction 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, WSDOT and the Contractor. The design team, WSDOT 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 WSDOT 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	WSDOT	Contractor
I	1	Inspection Staff/Chief Inspector	Foreman/Superintendent
II	2	Project Engineer/Asst. Project Engineer	Project Manager
III	3	Engineering Manager/Region Construction Engineer	Operations Manager/Vice President
IV	3	State Construction Engineer /ASCE	Owner / Principal

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 not losing, we often don't take the time to really understand the problem and we may make assumptions. Frequently the assumptions turn out to be only partially correct. Then we find we can't come up with a good solution 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 flush 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.

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.

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?

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, or the project enters a new phase of work.

The Professional Facilitator

The professional partnering facilitator (recommended) is a project resource. Professional 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 commonly tied to project accomplishments.

CHAPTER 6 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 system includes a project survey (report card) to help identify trends (both positive and negative) and take corrective action quickly or congratulate the project team.

Rate the project team on an appropriate scale in each of the four required areas, with the highest score indicating the highest level of satisfaction. The required areas being measured are: 1) mutual respect, honesty, trust, and fairness; 2) regular communication at all levels (communication between organizations at the same level and communications up and down each organization's chain of command); 3) effectiveness and efficiency of dispute resolution; 4) problem solving at the lowest level. Additionally, the team should select other project specific goals which they would like to measure on a monthly basis such as; schedule, budget, environmental impact, impact to the travelling public, being a good neighbor, etc. It is not recommended that the team evaluate safety. The survey form includes a comment area to praise good efforts or list ideas for improvement in each of the four areas. Comments should be specific enough that a limited amount of effort is needed to research the issue. 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?

Completing the Survey

Partnering surveys are usually provided by the professional facilitator. Work with your facilitator to design a survey that works best for the team. The Partnering survey may be used as appropriate. Each member of the partnering team, currently on the project, will complete the survey on a regular schedule for the duration of the project. This is recommended on a monthly basis. The survey may be suspended during times of low or no activity on the project. Remember that you are rating the project teams' performance and not a each other. The Project Engineer or Project Superintendent should review the results. These may be hand written or electronic, but they should be collected and then summarized.

Survey results are summarized comparing the Contractor and WSDOT ratings from the previous meeting and throughout the length of the project. The results will be presented in a graphical format so trends can be easily identified.

Negative responses in a survey or a negative trend should be identified quickly. This will allow you 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 WSDOT personnel and there will be an upward trend toward higher satisfaction in each area.

Posting and Distributing Results

The PE and Contractor's PM are responsible for collecting the data. The summary reports are discussed at the next weekly meeting and posted in the job site trailer or office so all of the partners on the project can see how the team is 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.

CHAPTER 7 CELEBRATING SUCCESS

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 is a contractor staff member or WSDOT staff member, to reward for outstanding Partnering behaviors.

Project Awards

WSDOT Partnering Award

Focus on the opportunity to work together towards submitting for the annual WSDOT 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

Appendices are intended as tools for your modification and use at your discretion.

Appendix A	Pre-Construction Letter and Questionnaire
Appendix B	Partnering Agreement
Appendix C	Partnering Meeting Agenda
Appendix D	Guidelines for Completing and Managing the Survey
Appendix E	Partnering Survey
Appendix F	Issue Elevation Memorandum
Appendix G	Partnering Checklist

APPENDIX A: PRECONSTRUCTION LETTER AND QUESTIONNAIRE

(Date)

(Contractor)

PE: Preconstruction Meeting and Request for Questions and/or Clarification

Subject: Contract No. _____ and notice of Project Engineer

Your company has been awarded the above contract on ____ (date) __. I will be the Project Engineer on this project.

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

To assist the WSDOT Project Team in its preparation for the upcoming Preconstruction 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 WSDOT or with the appropriate external sources to properly respond at the Pre-Construction and/or Partnering Workshop.

(Project 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,

PROJECT ENGINEER

ATTACHMENT #1

Project Name and Contract No.:

In preparation for the Preconstruction 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 it is important to coordinate with. 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. Other issues: _____

Contractors Signature: _____

Date: _____

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

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 Evaluation Date: _____

Signatures

Signatures

APPENDIX C: PARTNERING MEETING AGENDA

Partnering Meeting Agenda

Project Number:		Date: / /	
Project Engineer:		From: am/pm To: am/pm	
Contractor:		Location:	
Stakeholders Present		Stakeholders Present	
1	Name: Company:	1	Name: Company:
2	Name: Company:	2	Name: Company:
3	Name: Company:	3	Name: Company:
4	Name: Company:	4	Name: Company:
5	Name: Company:	5	Name: Company:
UNRESOLVED ISSUES			
Description:		Assigned To:	Resolution:
NEW AGENDA ITEMS			
1	Approval of previous meeting minutes	Project Superintendent	
2	Review/Discussion of Partnering Evaluation Scores	Group	
3	Review of Outstanding Items	Group	
4			
5			
6			
7			
8			
9			
10			
11			
12			
ACTION ITEMS			
Item #	Description:	Assigned To:	
		Completion Date: / /	
	Description:	Assigned To:	
		Completion Date: / /	
	Description:	Assigned To:	
		Completion Date: / /	
	Description:	Assigned To:	
		Completion Date: / /	
	Description:	Assigned To:	
		Completion Date: / /	
	Description:	Assigned To:	
		Completion Date: / /	

Weekly Project 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.
 - Compile data from new partnering effort surveys During the

Meeting:

- Identify all stakeholders present and the company they represent
- Contractor to take meeting minutes and distribute Partnering effort surveys
- All attendees to fill out Partnering survey and return to Contractor
- Review Partnering survey data 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:**
 - Review minutes from previous meeting. Make any necessary changes
 - Review overall project partnering progress and discuss good and bad trends.
 - Describe all new agenda items in detail to all in attendance
 - Discuss what has been done so far on each item
 - Discuss possible remedies to the issue
 - Identify responsible person for follow up (if needed)
 - Determine action items and completion date for each issue
 - Identify time of escalation if not completed
- Action Items:**
 - Review action items, completion dates and responsible person for each issue discussed.
 - Make sure the person responsible for the item understands it in enough detail to follow through.

After the Meeting:

- Contractor to submit meeting minutes to WSDOT for approval.
- WSDOT to distribute meeting minutes to all appropriate individuals.
- Partnering Evaluation forms to be input to the WSDOT 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 SURVEY

The survey was designed to be simple with only four questions that have a 1-5 satisfaction level, allowing for a maximum score of 20. Each of these four questions has a comment line to suggest an improvement. Included in each survey are additional questions to help measure partnering effectiveness.

1. 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. This survey will be used on all projects.
2. Instruction: Each member of the partnering team will complete the survey at the regular partnering meeting for the duration of the project. Please complete all portions of the survey.

The Project Engineer and/or Project Superintendent will collect the completed forms.

3. Feedback: The survey responses will be collected and feedback will be available within two business days of completing each survey.

APPENDIX E: PARTNERING SURVEY

Project Partnering Evaluation Meeting Date: ___ / ___ / ___

You are: (circle one): WSDOT / Contractor / Subcontractor / Other _____

You are: (circle one): Inspector / Foreman / PE / Superintendent / RCE / Area Mgr./ Other.

Name: _____

Contract/Project #: _____ Contractor: _____ Project Engineer: _____ Project Super: _____ Date ___/___/___ Contract working day/total contract working days ___/___

Your input is very important to evaluate this project
Please indicate your level of satisfaction on this project

		Satisfaction Level
1	Mutual respect, honesty, trust and fairness: How do we improve? _____ _____	1-Never 2-Sometimes 3-Half the Time 4-Almost Always 5-Always
2	Regular communication at all levels How do we improve? _____ _____	1-Never 2-Sometimes 3-Half the Time 4-Almost Always 5-Always
3	Disputes resolved efficiently and effectively How do we improve? _____ _____	1-Never 2-Sometimes 3-Half the Time 4-Almost Always 5-Always
4	Problem solving at the lowest level 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 positive or negative change in your rating for this month: _____ Please feel free to comment on the partnering process: _____		

APPENDIX F: ISSUE ELEVATION MEMORANDUM

PROJECT ENGINEER / SUPERINTENDENT LEVEL

Contract Name: _____ Contract Number: _____

WSDOT Region: _____ 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)

WSDOT Project 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 PE and Contractor’s PM	
	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 professional 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 professional partnering facilitator’s services	
	Determine length of partnering workshop, agenda, and attendees list	
	PE and Contractor’s PM 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 from the monthly partnering evaluation survey	
Issue Resolution	Meet to review and discuss survey results – make adjustments as needed	
	Use the dispute resolution ladder developed Issue during the partnering workshop	
	Understand the DRB processes available and the “red flag” indicating their use	

Questions/Comments

If you have questions or comments regarding this Partnering Field Guide, please direct them to the WSDOT State Construction Office:

DOTConstruction@wsdot.wa.gov

(360) 705-7820