



ARIZONA DEPARTMENT OF TRANSPORTATION

PARTNERING 101

A GUIDE TO THE BASICS OF PARTNERING WITH ADOT

(November 2022)

ADOT

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PARTNERING 101

“PARTNERING 101” IS A GUIDE

FOR THOSE NEW TO PARTNERING OR THOSE WHO
MAY NEED A BASIC REFERENCE MANUAL REGARDING
PARTNERING WITH ADOT.

IF MORE IN-DEPTH INFORMATION IS NEEDED,
PLEASE CONTACT OFFICE OF PARTNERING BY EMAIL
AT: PARTNERING@AZDOT.GOV

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CHAPTER 1

GENERAL PARTNERING OVERVIEW

- WHAT IS PARTNERING?
- PARTNERING PRINCIPLES
- PARTNERING ROLES
 - Stakeholder or Partnership Member
 - Champion
 - Senior Leaders or Management
 - Office of Partnering

GENERAL PARTNERING OVERVIEW

WHAT IS PARTNERING?

Partnering was first used by ADOT in 1991. Through the years, the value of partnering is evidenced by a reduction in claims and litigation. Partnering focuses on building and/or maintaining relationships and establishing processes that help teams work together. Effective partnering results in projects being delivered on time and under budget and ensuring public and community acceptance. Innovative construction and delivery methods are another result of using partnering.

Partnering is the way ADOT does business.

Partnering is defined as a formal process of collaborative teamwork that allows groups to achieve measurable results through agreements and productive working relationships. The partnering process provides structure for teams to establish a mission based on common goals and shared objectives. Partnering produces tangible deliverables which help teams overcome the challenges experienced by groups composed of representatives from a variety of organizations who share a common objective, yet often have different missions. These items are often developed at a partnering workshop and include:

- Charter (mission, goals, and guidelines)
- Issue resolution agreements
- Evaluation and measurement processes
- Contact information
- Action plan
- Follow-up strategies

This reference document provides information and guidance regarding partnering for those who work for and with ADOT.

GENERAL PARTNERING OVERVIEW

PARTNERING PRINCIPLES

Partnering is a structured process for collaboration and teamwork based upon common goals and objectives that allows groups to achieve measurable results through agreements and productive working relationships.

Partnering helps form the basis for an excellent working relationship. Successful partnerships are built on a commitment by all of its members to stand by and hold true to a set of common principles. These principles, that we refer to as the Four C's, define the values of partnering at its core and include:

■ COMMUNICATION

- Sharing information in an open and honest way
- Listening to others with an open mind
- Not making assumptions about what people know or don't know
- Working to understand others' views

■ COMMITMENT

- Ensuring that members of the partnership are adequately trained in the partnering process
- Establishing and keeping agreements; doing what you say you will do
- Maintaining personal integrity and mutual respect
- Resolving issues by following established rules and an escalation process

■ COOPERATION

- Knowing that partners will look out for the project's best interests
- Knowing you will be treated fairly
- Working together toward common goals
- Looking at issues from the other person's point-of-view
- Joint problem solving
- Getting along well with others

GENERAL PARTNERING OVERVIEW

PARTNERING PRINCIPLES (CONT)

■ CONTINUOUS IMPROVEMENT

- Evaluating the progress of the partnership toward goals and learning what works and what doesn't work
- Identifying issues in a timely manner through the reports in the Partnering Evaluation Program (PEP)
- Using lessons learned and the reports from PEP to determine opportunities for improvement and make the required changes
- Celebrating teamwork and accomplishments

Commitment to and application of the Partnering principles will facilitate long-term positive relationships between ADOT and the construction industry, and will ensure that the project is completed successfully.

GENERAL PARTNERING OVERVIEW

PARTNERING ROLES

Every partnership member has an important role. Some of the specific roles are:

STAKEHOLDER OR PARTNERSHIP MEMBER

A stakeholder is defined as any person or entity interested in the outcome of the partnership. There are many stakeholders associated with each partnership; however, all stakeholders are not partnership members. A partnership member is a stakeholder who is actively involved in the partnership. Their duties include:

- Active participation
- Coordination with other members and stakeholders
- Following the charter and principles of the partnership
- Resolving issues according to issue resolution agreements
- Completing evaluations
- Seeking to improve the relationship

CHAMPION

Partnering champions are representatives from each partner group who participate in the partnership full time and are identified at the partnering workshop. Their duties include:

- Encouraging all team members to practice the partnering principles
- Approaching people who will be active in the partnership (but who did not attend the partnering workshop) to discuss the concepts of partnering, the team charter, issue resolution levels, and the commitment of the key partnership team leaders
- Ensuring the PEP forms are distributed, completed, and entered
- Ensuring that PEP reports are shared with the project team
- Continuously monitoring how the partnership is doing and using PEP data to make course corrections
- Communicating and celebrating partnering successes
- Ensuring a replacement is made if the champion leaves the partnership

GENERAL PARTNERING OVERVIEW

PARTNERING ROLES (CONT)

SENIOR LEADERS OR MANAGEMENT

The senior leaders or management from each stakeholder group should make a commitment to the partnership and communicate that commitment to all team members. Their duties include:

- Managing the structures and processes that guide the partnerships
- Mentoring new team members in the partnering process
- Modeling the partnering principles and enforcing the partnering agreement
- Using Partnering Evaluation Program reports to provide opportunities for team recognition, team support and coaching
- Ensuring a replacement is made if the champion leaves the partnership

GENERAL PARTNERING OVERVIEW

PARTNERING ROLES (CONT)

THE OFFICE OF PARTNERING

The Office of Partnering supports ADOT's mission through partnerships that help ADOT provide a safe, efficient, cost effective transportation system. Its customer focus helps ADOT achieve its goals and build relationships that support the delivery of state transportation programs, projects and services.

Partnering staff members provide leadership for the partnering process. Their duties include:

- Providing facilitation services and procuring consultant facilitators when needed
- Listening and making changes to the partnering process based on customer feedback
- Promoting the use of the PEP database and providing support
- Measuring the health of partnering relationships and the partnering process
- Strengthening relationships and linking all partnering stakeholders such as: the general public, local governments, state agencies, federal agencies, tribes, ADOT managers, consultants, contractors, designers, facilitators, project supervisors, subcontractors, suppliers and team members
- Obtaining feedback on facilitators' performance, based on established criteria in order to improve services provided
- Promoting partnering education and training by working with various educational institutions such as Arizona State University's Del E. Webb School of Construction, American Minority Contractors Associates and "The Business of Construction" educational series National Highway Institutes' Partnering Course.

CHAPTER 2

TYPES OF PARTNERSHIPS

- PUBLIC
- INTERNAL
- CONSTRUCTION

TYPES OF PARTNERSHIPS

PUBLIC PARTNERSHIPS

Between ADOT and other stakeholders, such as:

- Local, state, or federal agency
- Tribe
- Nongovernmental stakeholder

WHY BUILD A PUBLIC PARTNERSHIP?

- To create multi-state partnerships and agreements
- To achieve cooperation among multiple jurisdictions
- To coordinate efforts of a variety of agencies

INTERNAL PARTNERSHIPS

Between members and work units of the same organization, such as:

- Short-term partnerships that have a defined ending date
- Long-term partnerships that are strategic and build a foundation for ongoing relationships

WHY BUILD AN INTERNAL PARTNERSHIP?

- To share information and resources
- To streamline procedures
- To eliminate duplicate systems
- To effectively expand programs
- To maintain ongoing collaborative relationships

CONSTRUCTION PARTNERSHIPS

Between public and private entities (ADOT and Contractor) and governed by a contract such as:

- Highway construction

WHY BUILD A PROJECT PARTNERSHIP?

- To achieve timely issue resolution resulting in decreased project delays
- To reduce labor disputes, claims and litigation
- To complete projects ahead of schedule and under budget
- To improve relationships with customers and suppliers
- To identify efficiencies and cost savings in the delivery of a project

CHAPTER 3

BUILDING A PARTNERSHIP

- EDUCATION
- PLANNING FOR THE PARTNERSHIP
- ISSUE RESOLUTION
- ONGOING SUPPORT
- RECORD BEST PRACTICES / LESSONS LEARNED
- IMPLEMENT CHANGES

BUILDING A PARTNERSHIP

A successful partnership is built on a solid foundation by educating all members in regard to partnering, planning for the partnership, providing on-going support, recording best practices or lessons learned, and implementing changes. This foundation, as outlined below, is important for all partnerships.

EDUCATION

- All partnership members:
 - Read this “Partnering 101” guide
 - Complete the “Partnering Principles” virtual class
 - Understand the basic partnering principles

PLANNING FOR THE PARTNERSHIP

- Major stakeholders (and facilitator as needed) review information relevant to the partnership
 - Assess the need and purpose for a partnership
 - Involve those who are interested and invested in the outcome
 - Identify goals and issues (relationships, technical, environmental, etc.)
 - Compile information and materials to present at workshop
 - Inform all parties of available partnering education and training
- For a public or internal partnership:
 - Determine if there is agreement from senior leaders and representatives of the partnership groups about implementing a partnership for their organization, division, department or work unit
 - Develop a formal implementation plan, which includes:
 - Funding
 - Program management
 - Measurement
 - Education
 - Facilitator services
 - Feedback and involvement from all partners
 - Recognition of successes
 - Ongoing process improvement

BUILDING A PARTNERSHIP (CONT)

ISSUE RESOLUTION

- For a public or internal partnership:
 - Issues will arise in any partnership and leadership of each stakeholder's organization must commit to the proper use of the issue resolution process
 - The issue resolution process consists of identifying and resolving issues, action planning and follow-up agreements
 - Team members should use the Issue Resolution Steps on page 48 as they are working to resolve issues
 - The Issue Escalation Ladder on page 45 should be adapted to meet the needs of a public or internal partnership

ONGOING PARTNERSHIP SUPPORT

- All stakeholders and partnership members:
 - Provide updates to new partners
 - Discuss issues at key phases
 - Ensure timely resolution of issues
 - Congratulate each other and celebrate milestones
 - Establish meeting schedules
 - Consistently collect and respond to evaluations and feedback by using PEP
 - Produce measurement reports and identify trends

RECORD BEST PRACTICES / LESSONS LEARNED

- Team members (including technical support staff) document and evaluate lessons learned
- Feedback from team members is given to the appropriate senior leaders

IMPLEMENT CHANGES

- Changes are implemented based on the lessons learned
- The affected group is responsible for communicating changes to all stakeholders
- The group ensures timely follow-through of results and recommendations for changes

CHAPTER 4

CONSTRUCTION PARTNERING WORKSHOP

- ROLES AND RESPONSIBILITIES
 - Workshop Kickoff Team
- GUIDELINES FOR CHOOSING A PARTNERING FACILITATOR
- PARTNERING WORKSHOP MODELS
- DESIGNING THE CONSTRUCTION WORKSHOP
 - Desired Outcomes
 - Planning for the Workshop
 - Meeting and Conference Planners
 - Workshop Content
- ESTIMATING THE COST OF A PARTNERING WORKSHOP

CONSTRUCTION PARTNERING WORKSHOP

ROLES AND RESPONSIBILITIES

This chapter will guide you through the process of coordinating a workshop. This outline is specific to construction workshops; however, the procedure will be similar for other types of partnerships.

The construction partnering workshop is an essential element of the overall partnering process. The workshop provides the opportunity for the project team to meet, build relationships, develop the foundation for teamwork, identify all known issues and prepare for the project. ADOT requires partnering on all construction projects.

Every project will have a Workshop Kickoff Team consisting of the ADOT Resident Engineer (RE), ADOT District Engineer (DE), contractor Owner/Sponsor and contractor Project Manager (PM). The Project Manager from the Partnering Office will arrange for a meeting or a telephone conference with the workshop kickoff team and one of the ADOT facilitators as soon as a project has been awarded. This team will discuss the details of the project and make a joint decision regarding all details of the workshop including who the facilitator will be.

When an ADOT facilitator is unable to facilitate the workshop or the project team agrees to use a consultant facilitator, the Office of Partnering will be responsible for issuing the task assignment and purchase order as well as processing the payment.

The facilitator must be involved in decisions regarding the duration and model of the workshop, as well as the location and time. Early notification to all stakeholders is imperative for success of the workshop and the project.

Workshop participants should include representatives of all stakeholders who will be directly involved in the successful completion of the project.

The initial workshop is an opportunity for project members to identify issues without the pressures normally associated with an ongoing project or projects within an agency's jurisdiction.

CONSTRUCTION PARTNERING WORKSHOP

GUIDELINES FOR CHOOSING A PARTNERING FACILITATOR

There are many ways that a partnering workshop can be designed. It is important to choose a facilitator who will meet the needs of the partnership. The factors listed below will be considered by the Workshop Kickoff Team when choosing a facilitator and planning the workshop:

- Duration of the project
- Technical complexity of the project
- Number of issues
- Impact to the area and the traveling public
- Number of other partners such as public interest groups, other state or federal agencies, local governments, tribes, developers, utilities
- Previous partnering experience and the relationship of the primary partners
- Complexity of the partnership
- Political impact

The three types of facilitators listed below are all trained and committed to be neutral and unbiased. Their role is to ensure every stakeholder is heard and that consensus is reached on any agreements.

■ ADOT OFFICE OF PARTNERING FACILITATORS

- Fully trained Office of Partnering employees whose full-time job is to facilitate partnerships of which ADOT is a member. They will facilitate statewide, and there is no limit to the type or size of the workshop they can facilitate. There is no charge for using these facilitators.

■ CONSULTANT FACILITATORS

- Fully trained facilitators who are under contract with the Office of Partnering and can be hired to facilitate workshops. The fee for these facilitators is based on the contract currently in place and is shared equally by ADOT and the contractor for construction projects. Information about this contract and the facilitators is available by contacting the Office of Partnering.

■ OTHER ADOT EMPLOYEES

- ADOT employees who are trained facilitators, but have a job other than facilitating. Since these volunteers have other job requirements, and facilitating workshops is only a part of their responsibilities, they should only be used for minimal complexity workshops. Typically they work in a limited area.

CONSTRUCTION PARTNERING WORKSHOP

PARTNERING WORKSHOP MODELS

As stated in the “Guidelines for Choosing a Partnering Facilitator”, there are many ways that a partnering workshop can be designed. It is important to choose a workshop model that will meet the needs of the partnership and the project. The same factors considered when choosing a facilitator should be considered when choosing the workshop model. Office of Partnering staff will work with the Workshop Kickoff Team to design the workshop.

- **MINIMAL DEGREE OF COMPLEXITY MODEL** - Key ingredients to build partnerships that are minimally complex:
 - The Workshop Kickoff Team agrees on the facilitator, invitees, duration and key issues
 - One workshop for all partners that is short in duration, typically 2-4 hours, and covers basic partnering components including: charter, issue resolution agreements, evaluation and measurement processes, contact information, action plan and follow-up strategies
 - Weekly meetings (at least one of the weekly meetings each month should be used to discuss and develop action plans based on PEP evaluation and feedback)
- **MODERATE DEGREE OF COMPLEXITY MODEL** - Key ingredients to build partnerships that are moderately complex:
 - Pre-workshop planning by the Workshop Kickoff Team (e.g. in development, this may include scope clarification and contract negotiation)
 - A more comprehensive workshop, typically lasting half day to a full day (this may be considered a kickoff for some partnerships)
 - Additional meetings also may occur to update new partners or provide a focused forum for different partner groups
 - Weekly meetings (at least one of the weekly meetings each month should be used to discuss and develop action plans based on PEP evaluation and feedback)
 - Team building or project closeout meetings maybe scheduled to review lessons learned

CONSTRUCTION PARTNERING WORKSHOP

PARTNERING WORKSHOP MODELS (CONT)

- HIGH DEGREE OF COMPLEXITY MODEL - Key ingredients to build partnerships that are highly complex:
 - A series of pre-workshop planning meetings involving the Workshop Kickoff Team and the selected facilitator
 - A series of formally facilitated partnering workshops to accommodate multi-tier leadership and the diverse needs of the various partners
 - Leadership meetings prior to other stakeholder group workshops
 - Quarterly leadership meetings
 - Partnering workshops that include all stakeholders
 - Weekly meetings of the active partnership members to discuss and develop action plans based on PEP evaluation and feedback
 - Regularly scheduled meetings (monthly, quarterly, annually or as needed) for team building, to review lessons learned or to celebrate milestones
 - Ongoing partnership support

CONSTRUCTION PARTNERING WORKSHOP

DESIGNING THE CONSTRUCTION WORKSHOP

This section outlines the process for designing a construction partnering workshop. The partnering workshop is an important element of the overall partnering process. It provides the opportunity for the project team to meet, build relationships and develop the foundation for teamwork to prepare for the work to come.

The workshop participants should include representatives of all parties to the contract who will focus on successful project completion. ADOT and the contractor need leadership representation at the workshop at a level higher than the Resident Engineer and the Project Manager. This list of participants will be developed by the Workshop Kickoff Team. It is an opportunity for project members to resolve project-related issues without the pressures normally associated with an ongoing project. An Issue Escalation Ladder is also developed to resolve issues that are beyond the authority of the project level parties. Refer to page 45 for detailed information regarding the Issue Escalation Ladder.

The Workshop Kickoff Team, the facilitator and Office of Partnering staff will design the content and format of the workshop to accommodate the needs of the project and the project members. **Customization is KEY!** There are many ways to conduct the partnering workshop and deliver the partnering components.

Each partnership is unique, therefore the workshop and follow up need to be designed accordingly. For example, some partners may want more time for team-building activities and to cover the core partnering components. Other partners may want less time spent on introductions and partnering basics and more time on issue identification.

Use this document to help guide you through the process of customizing the partnering workshop.

CONSTRUCTION PARTNERING WORKSHOP

DESIGNING THE CONSTRUCTION WORKSHOP (CONT)

The key ingredients for success are:

- Collaborating with partners to customize each workshop
- Listening and watching for any required course correction during the workshop
- Providing guidance for effective follow-up to meet the unique needs of the partnership and its members

Three models for construction workshops are outlined on pages 20-21.

DESIRED OUTCOMES

An effective workshop design begins with identifying the desired outcomes. Whether it is conducted in one or several meetings, the workshop is designed to produce the following outcomes:

- Review the partnering principles and how they will be applied to the project
- Establish a communication matrix
- Create a team charter
- Define the issue resolution process and create the Issue Escalation Ladder
- Review the PEP and define the goals
- Identify the partnering champions and define their roles
- Identify project issues and create an action plan
- Plan follow-up strategies

CONSTRUCTION PARTNERING WORKSHOP

PLANNING FOR THE WORKSHOP

Proper planning and preparation are necessary for a successful workshop. Planning requires time, sometimes many weeks, depending upon factors such as size, complexity and partnering experience. During the pre-workshop planning, roles and responsibilities are identified as well as any action items. Project leaders need to take a strong leadership role. The Workshop Kickoff Team, the facilitator and the Office of Partnering all play key roles in this process.

The Workshop Kickoff Team will meet to discuss the purpose of the meeting, come to a joint decision regarding the details of the workshop and assign tasks as needed.

The Workshop Kickoff Team will also determine if food will be served at the workshop. If food is served, the cost is shared equally by ADOT and the contractor. Food is not mandatory; however, providing food at workshops can make for a more efficient use of time by eliminating the need to break up the meeting for lunch. There are additional benefits, which include building camaraderie and encouraging positive relationships, one of the main goals of Partnering. Consider the time of day, length of the workshop and budget for the project. Budget is always a consideration, however there are many inexpensive options that will go a long way to creating a congenial atmosphere for the workshop.

MEETING AND CONFERENCE PLANNERS

The following scenarios are common to the logistical planning of a Partnering Workshop and include general guidelines. State procurement rules must always be followed. A consultant operated org will need to contact the ADOT Construction Office Manager or RE to have a Purchase Order created if needed.

The workshop will be held at a facility at no charge and we want to serve food:

- If the vendor is on the ADOT Procurement system the Construction Work Unit will place the order and make the arrangements for delivery.
- If the vendor is NOT on the ADOT Procurement system a Meeting and Conference Planner must be used. The Construction Work Unit will make the arrangements.
- In either case, the Construction Work Unit is responsible for creating the PO for either the food vendor or the Meeting and Conference Planner, following ADOT state procurement rules. The PO must be completed before the vendor can proceed.

The workshop will be held at a facility that will charge a fee:

ADOT and the contractor must agree to pay for conference space.

- A Meeting and Conference Planner must be used. The Construction Work Unit will coordinate with the Meeting and Conference Planner and Facilitator to finalize the planning.
- The Construction Work Unit is responsible for creating the PO, following ADOT state procurement rules. The PO must be completed before the vendor can proceed.

CONSTRUCTION PARTNERING WORKSHOP

The workshop will be held at a facility that will charge a fee and we want food to be included:

- The Construction Work Unit will instruct the Meeting and Conference Planner on what type of food they would like, as agreed upon at the Workshop Kickoff Team Meeting.
- The Meeting and Conference Planner will secure a facility that can provide that service.
- The Construction Work Unit is responsible for creating the PO, following ADOT state procurement rules. The PO must be completed before the vendor can proceed.

The workshop will be held at a facility that will charge a fee and we want to serve food from a vendor in the ADOT Procurement system:

- The Construction Work Unit instructs the Meeting and Conference Planner to locate a facility that will allow outside food.
- The Construction Work Unit is responsible for creating the PO, following ADOT state procurement rules. The PO must be completed before the vendor can proceed.
- The Construction org is responsible for placing the order and making the delivery arrangements.

KNOWING THE BASICS OF PARTNERING

If most of the participants are familiar with the basics of partnering, it is important to help the few who are not to become familiar before the workshop. It does not serve the needs of the entire project team to spend time on basic information that most members already understand. The following suggestions address this issue:

- All participants should know the partnering basics
- The Workshop Kickoff Team should identify those new to partnering, so decisions can be made regarding how much of the basics will be included in the workshop
- All participants should know the partnering workshop guidelines:
 - Hear and consider all perspectives
 - Communicate in a way that promotes understanding and minimizes defensiveness
 - Participate in a way that produces the best outcome for all
 - Include advance notice of potential issues
 - Use the meeting notes to follow through with items requiring further action
 - Advise all partners of the next meeting, particularly when their presence is required

CONSTRUCTION PARTNERING WORKSHOP

WORKSHOP CONTENT

The following key partnering workshop components need to be included when planning a workshop and should be customized to reach the desired outcome for each partnership.

INTRODUCTION

Outcome: Introduce the participants to each other. When there are a large number of participants, consider integrating introductions into other agenda items.

WORKSHOP KICKOFF:

Outcome: Establish the value of the workshop and reasons for partnering on the project.

- Project leaders establish that the workshop is for the benefit of the project team
- Project leaders provide the project overview

PRINCIPLES OF PARTNERING:

Outcome: Review the Four C's of Partnering

- Facilitator presents an overview of partnering and the Four C's of Partnering: Communications, Commitment, Cooperation, Continuous Improvement
- Facilitator explains the purpose of partnering
- Facilitator and leadership explain the benefits of partnering and allow participants to share relevant experiences

CHARTER:

Outcome: Write a Project Team Charter.

- Develop a mission statement, including team guidelines
- Identify project or team goals

PARTNERING CHAMPIONS:

Outcome: Identify the partnering champions and clarify their role as described on page 9.

PEP PROCESS:

Outcome: Understand the PEP by which the team and project can be measured. Refer to pages 48-58 for further information.

- Develop agreements for regular evaluations
- Reach agreement that the project leaders will take action when PEP reports indicate problems and will provide recognition when indicated

CONSTRUCTION PARTNERING WORKSHOP

WORKSHOP CONTENT (CONT)

ISSUE RESOLUTION PROCESS:

Outcome: Understand the issue resolution process. Refer to pages 43-48 for further information.

- Develop the Issue Escalation Ladder
- Provide information about the Issue Escalation Binder
- Provide information about the Weekly Project Report (Weekly Meeting Agenda)
- Provide a hard copy of the Issue Resolution Routing Forms

ISSUE IDENTIFICATION AND ACTION PLAN:

Outcome: Issues are identified and discussed. An action plan is developed that includes information about the issue, the resolution or the action to address the issue, responsible persons, timetable, and status.

- Use the sample below or something similar to identify agreed-upon activities before, during and after meetings

Topic/Issue	Comments	Resolution/Action	*

*RFI or Weekly Meeting Follow-up

CLOSING:

Outcome: Bring closure and clarity to project team's agreements and next steps.

- Review agreements generated during the workshops such as the PEP, issue resolution, action items, etc.
- Clarify next steps such as the first project meeting, report distribution, etc.
- Ask for closing comments, first from team members, then from the project leaders
- Complete and return the Participant Workshop Evaluation form

CONSTRUCTION PARTNERING WORKSHOP

ESTIMATING THE COST OF A PARTNERING WORKSHOP

There could be costs associated with pre-workshop planning (meetings with facilitator), the workshop (facilitator, facilities, catering), working with a Meeting and Conference Room Planner, and follow-up activities, which include the production and distribution of the workshop report. The partners share these costs for a construction workshop.

The Workshop Kickoff Team will conduct comprehensive, pre-workshop preparation. They will discuss the project, identify all major relationship issues and technical issues and affected groups. Once that information has been identified, they will be able to determine what services will be required.

Anyone responsible for coordinating a workshop (RE, office manager, facilitator, ADOT staff, etc.) should use the following as a guide to estimate cost.

Partnering Facilitator Cost	Facility Cost	Food Cost	Meeting and Conference Planners Cost
Office of Partnering staff will provide the estimated cost if using a Consultant Facilitator. Use of an Office of Partnering Facilitator or another ADOT Employee facilitator will eliminate this charge.	You may eliminate this charge by using an ADOT site, contractor's office, or other free facility. If a free facility is not available you will need to contact an approved planner	Serving food is not mandatory. If food is desired, ADOT Procurement rules must be followed.	You must use a planner to arrange for a paid facility or food from a vendor that is not on the approved Advantage vendor list (part of the ADOT procurement system)
Estimated Cost: \$	Estimated Cost: \$	Estimated Cost: \$	Estimated Cost: \$

CHAPTER 5

PARTNERING IN THE PRECONSTRUCTION CONFERENCE

■ PRIOR TO THE PRECON

- Facilitator Certification Requirements
- Project Risk Assessment
- Facilitator Eligibility
- Assessment Discussion

■ DURING THE PRECON

- Agenda and Process

■ AFTER THE PRECON

- Precon Partnering Report

PARTNERING IN THE PRECONSTRUCTION CONFERENCE

PROCESS TO INCLUDE PARTNERING IN THE PRECONSTRUCTION CONFERENCE

Under certain circumstances, an abbreviated partnering may be included in the preconstruction conference. In these instances, the project team is permitted to forgo a formal partnering workshop for an abbreviated partnering that will be included as part of the preconstruction conference. A Partnering in the Precon meeting is led by a member of the project team instead of a partnering facilitator, allowing project teams to self-manage the partnering process on low risk projects.

Leading a Partnering in the Precon requires experience in project management and knowledge of the partnering program:

PRIOR TO THE PRECON

- The Resident Engineer (or TES or Office Manager with District Engineer/Assistant District Engineer permission) becomes certified to include partnering in the preconstruction conference.
 - Resident Engineer Qualifications:
 - must have attended a total of ten partnering workshops previously
 - must have administered a minimum of five projects previously (these can be part of the minimum 10 workshops above)
 - TES/Office Manager Qualifications
 - must meet the same qualifications and training as the Resident Engineer
 - RE must email verification to TES or Office Manager partnering experience to the assigned facilitator for the project
 - District Engineer/Assistant District Engineer must approve TES or Office Manager as the facilitator for the workshop
- The Resident Engineer/Contractor PM requests a Partnering in the Precon
- The Partnering Facilitator applies the risk assessment tool to determine if the project qualifies for the Partnering in the Precon process
 - The risk assessment tool includes the following criteria: impact on the traveling public, bid amount, amount of traffic in the vicinity, duration of the project, complexity of the project, environmental impacts, relationship between ADOT and the contractor, other stakeholders involved with the project, and the relationship between ADOT and other stakeholders
 - Criteria will be rated with regard to level of risk to ADOT if a full partnering workshop is not conducted

PARTNERING IN THE PRECONSTRUCTION CONFERENCE

PRIOR TO PRECON (CONT)

- The Partnering Facilitator discusses results of the risk assessment tool with the Resident Engineer and Contractor PM. At that time, a final determination as to whether a full partnering workshop is needed or if the partnering elements can be included in the precon.
- If the Resident Engineer or Contractor PM believes a full partnering workshop is necessary then the abbreviated partnering in the precon will not take place and the team will follow the process for a full partnering workshop.
- If they determine a partnering can be included in the precon, the Resident Engineer advises the project team that partnering will be included in the precon and will create a precon agenda using the appropriate format.

DURING THE PRECON

- The Resident Engineer/contractor pm conducts the precon following the agenda and process to incorporate the partnering elements (Partnering Champions, PEP, Issue Resolution, Escalation Ladder and Binder, and Action Plans for project issues).

AFTER THE PRECON

- After the meeting the Resident Engineer completes a report for the precon that includes:
 - Attendees list with contact information
 - Partnering Champion information
 - PEP information including the frequency and subgoals
 - Issue Escalation Ladder
 - Issues and Action Plan

The Resident Engineer sends the report to the team and the Partnering Facilitator.

CHAPTER 6

CLOSEOUT WORKSHOP

■ OVERVIEW

■ DESIRED OUTCOMES

- Project Review and Remaining Construction
- Mission and Goals
- PEP Evaluation
- General Discussion
- Lessons Learned
- Partnering Awards
- Closing

■ PLANNING FOR THE CLOSEOUT WORKSHOP

- Facilitator Checklist

CLOSEOUT WORKSHOP

OVERVIEW

A Closeout Workshop is the team's opportunity to celebrate successes and collect lessons learned that can be used to improve future projects. Bringing together leaders and team members who worked with each other throughout the project helps solidify the partnership and ensures the project ends well with no lingering unresolved issues. Each workshop is customized to the project team's needs and desired outcomes. The structure is more flexible than the original partnering workshop.

A closeout workshop is not warranted on all projects. Projects that could benefit from a closeout include characteristics such as: Politically sensitive, unusual challenges, numerous stakeholders involved, alternative delivery method of construction, complex or long in duration, and significant impact to the public. If a formal transportation management plan was required to be prepared during a project's development phase, a closeout is required by FHWA.

An ADOT or consultant facilitator will facilitate a formal closeout workshop. Project teams may hold their own informal closeout without the services of a partnering facilitator. Regardless of who facilitates the workshop a report needs to be sent to the Partnering Office.

DESIRED OUTCOMES

The facilitator will use the agenda template as a guide in designing the closeout workshop. Topics to consider discussing include:

Project Review and Remaining Construction

Have one of the project leaders provide a brief overview of the project scope, what was accomplished and the work that still needs to be completed.

Mission and Goals

The facilitator should review the team's mission and goals that were established at the original partnering workshop.

PEP Evaluation

Partnering evaluation is an important part of the closeout process. Team members have an opportunity to review how well the Partnering Evaluation Program (PEP) was utilized during the project and how effectively the team accomplished the goals. The facilitator should bring PEP reports to the workshop and encourage the project leaders to talk about the results.

CLOSEOUT WORKSHOP

General Discussion about the project

During closeout workshops team members typically like to talk about what went well during the project and what was most challenging. Questions can be crafted to encourage those types of conversations.

Suggested General Discussion Questions

1. What value did this project add for stakeholders?
2. What do you believe made the project successful?
3. How did your outcomes meet, exceed or fall short of your expectations?
4. What were the most significant challenges you encountered throughout this project?
5. If you could have changed a policy, procedure, design or spec what would it have been?

Lessons Learned

A lesson learned is defined as a good work practice or an innovative approach that is captured and shared to promote repeat application or avoid recurrence. The facilitator will document any issues and action items that need to be addressed before the completion of the project. Both advantageous and adverse consequences within a project can result in lessons learned and follow up actions. Those that are particularly positive may be communicated outside of the team and promoted as a best practice. Questions for the team that promote identification of lessons learned can be developed based on the uniqueness of the project and the team's objectives.

Suggested Lessons Learned Questions

1. What was done on this project that would improve future projects?
2. What was done on this project that future projects should not do?
3. What areas of the Plans, Specifications and Estimates could have been improved?

Partnering Awards

The facilitator should ask the project leaders to talk about their intention to apply for a partnering award and briefly review the four awards that could be considered: Marvin M. Black, Arizona Transportation Partnering Excellence, IPI (International Partnering Institute) and the ADOT Partnering Spirit Award.

Closing

This is an opportunity for team members to make final comments about the project and partnership. The closeout workshop will likely be the last time the group is all together.

CLOSEOUT WORKSHOP

PLANNING FOR THE CLOSEOUT WORKSHOP

The Resident Engineer can request a closeout workshop by contacting the initial partnering facilitator. A meeting will be scheduled with the facilitator and project leaders to establish the expectations and format of the workshop. Project leaders should invite all who contributed to the overall effort. It is important the workshop occurs before the end of the project so key personnel are still on the job and can attend.

CHAPTER 7

CONSTRUCTION PARTNERING ISSUE RESOLUTION

■ RESOLVING CONSTRUCTION PROJECT ISSUES

- Prior to the Partnering Workshop
- During the Partnering Workshop
 - Escalation Ladder
- During the project

■ ISSUE RESOLUTION STEPS

CONSTRUCTION PARTNERING ISSUE RESOLUTION

RESOLVING CONSTRUCTION PROJECT ISSUES

Problem solving and issue resolution are two of the most critical elements in the partnering process. Commitment to the proper use of the issue resolution process is vital to the success of the partnership. Mentoring and monitoring the process at every level require this commitment be held from the very top of each stakeholder's organization. When administered correctly, the issue resolution process can minimize stress, create empowerment, build and strengthen relationships and maximize program delivery.

The issue resolution process consists of identifying and resolving issues, action planning and follow-up agreements. Issues will arise during a project and the team members should use the Issue Resolution Steps on page 47 to resolve those issues. The Issue Escalation Ladder is a tool that will only be used when issues can not be resolved at the field level.

There are four phases of the partnering process where different types of issue resolution techniques can and should occur. These phases include:

1. Prior to the partnering workshop or project start
2. During the partnering workshop
3. During the project
4. Upon closeout of the project

PRIOR TO THE PARTNERING WORKSHOP

In order for ADOT and the contractor to gain a better understanding of issues, challenges, and concerns surrounding the project these should be identified prior to the workshop. This will allow those concerns to be addressed during the workshop. Identification of these issues will help to determine the length of the partnering workshop.

DURING THE PARTNERING WORKSHOP

Issues that were identified prior to the workshop as well as issues identified during the workshop are discussed. A resolution to the issue is determined or an action plan is created to resolve the issue.

During the workshop, the Issue Escalation Ladder will be established. The team will discuss how and when the ladder will be used. Discussion will include what constitutes a disagreement and at what point the team members will "agree to disagree". Time frames are established at each level for resolution of an issue. The intent of establishing time frames is to ensure timely issue resolution. Consideration must be given to the amount of time spent before escalating the issue to give the next level time to resolve it. If there is an immediate project impact, start keeping records and take appropriate mitigation steps. The commitments made regarding issue escalation will not supersede any contractual requirements.

CONSTRUCTION PARTNERING ISSUE RESOLUTION

RESOLVING CONSTRUCTION PROJECT ISSUES (CONT)

The roles, responsibilities and authority are determined for each level of the escalation ladder for ADOT and contractor personnel. If there are additional stakeholders that will influence the decision but will not be included on the ladder (city, county, etc.) their roles and responsibilities need to be documented.

EXAMPLE OF A COMPLETED ISSUE ESCALATION LADDER

Level	ADOT	Contractor	Time*
Field	Lead Inspector (Insert Name and Cell Phone Number)	Project Superintendent (Insert Name and Cell Phone Number)	Insert agreed upon length of time
Engineer/Project Manager	Resident Engineer (Insert Name and Cell Phone Number)	Project Manager (Insert Name and Cell Phone Number)	Insert agreed upon length of time
Management	District Engineer (Insert Name and Cell Phone Number)	Management (Insert Name and Cell Phone Number)	Insert agreed upon length of time
Senior Management	Deputy State Engineer or State Engineer (Insert Name)	Senior Management (Insert Name)	Insert agreed upon length of time

**Time starts when both parties have all the information necessary to make a decision.*

DURING THE PROJECT

The focus of effective problem solving should always be to learn as much about the issue as possible, which includes getting information from ADOT, designer, contractor and other key stakeholders. Issue resolution should be used as an opportunity to educate one another. Once mutual understanding is obtained, it is important to look for ways to meet the needs of all parties through a common solution. Another priority should always be the timely resolution of any issue. The commitments made regarding issue escalation will not supersede any contractual requirements. The longer an issue remains unresolved, the more negative the impact it will have on the project.

Over the years, ADOT developed successful relationships with the contracting community and those relationships are critical to our continued success. All team members need to follow the issue resolution process as developed.

When issues arise, individuals on the first level of the Issue Escalation Ladder are responsible for documenting and agreeing on the details of the issue. Once that has been accomplished the parties need to follow the Issue Resolution Steps on page 48 to try to come to a resolution. The parties will work together to document all of the facts regarding the issue and their proposed resolution. If they are able to come to an agreement but do not have the authority to finalize the agreement, they will still document everything so the next level has the information needed to finalize the agreement. It is not acceptable to escalate an issue without completing all of the fact finding and research.

CONSTRUCTION PARTNERING ISSUE RESOLUTION

RESOLVING CONSTRUCTION PROJECT ISSUES (CONT)

If unable to agree on the resolution, the parties must compile an “Issue Escalation Binder”. An “Issue Escalation Binder” template is available on page 92. This binder will include all of the documentation that the next level will need to understand the issue and the resolution proposed by each party. If an issue is not being resolved to your satisfaction, then a formal escalation should be requested. “I would like to formally escalate this issue” needs to be stated to the partner on your level. This is not up for debate, if an escalation is requested, it must be escalated to the next level. The “Issue Escalation Binder” must always be completed.

Either party may initiate escalation, but acknowledgment is required by both parties and the signed Routing Form for Construction Issue Resolution is required for issues escalated beyond the RE and PM. Once escalation is initiated, the issue should be transmitted jointly by those involved from one level to the next level, to eventual resolution. Copies of the signed escalation should be kept by all parties.

It is the next level’s responsibility to ensure that the appropriate effort has been made to resolve the issue at the prior level. If it is determined that an issue was escalated too soon, it is the next level’s responsibility to de-escalate the issue and coach the previous level through the resolution process, not to resolve the issue for them. However, there are times that it is better to escalate an issue because of potential personality or relationship issues. Each level needs to understand this and have a discussion to determine why the escalation has been requested.

Once an issue is escalated, the next level must meet as soon as possible. This is critical to the resolution process. It is the responsibility of the person scheduling the meeting to contact all of those involved, including inspectors and project supervisors. Resolutions must be substantiated with facts. Each stakeholder should come prepared for the escalation meeting with plans, specifications, testing results, costs, etc.

It is recommended that representatives from each level be asked to attend the next level’s escalation meeting. Their role is to observe the process, understand approaches and hear the resolution, which is especially critical if there is a reversal in the decision. Inviting prior level representatives to attend the meeting of the next level, provides an opportunity for all levels to learn that there are different ways to approach project issues. Consider using a neutral facilitator or mediator to facilitate the resolution for complex or highly contentious issues.

A meeting with all levels of ADOT project staff should be scheduled after the successful conclusion of an escalation meeting or at significant milestones in the project. This meeting should include open discussion regarding the merit and facts of the issue, the nature of the disagreement and the commitments made by each stakeholder. Lessons learned and educational opportunities to improve the effectiveness of individual team members should also be discussed. The contractor should schedule a similar meeting or could be included in this meeting.

CONSTRUCTION PARTNERING ISSUE RESOLUTION

RESOLVING CONSTRUCTION PROJECT ISSUES (CONT)

It is recommended that the team establish a process to review the weekly meeting minutes and determine if there are any issues that remain on the “outstanding issues” list for longer than expected. If management determines that issues have been left unresolved for too long, they are to take an active role in determining what should be the next step with their staff to get the issues resolved. This will help ensure that issues keep moving through the process in a positive manner with no negative impacts to the project.

The Issue Resolution Routing Form is an important tool to use in communicating the status of the issue and to provide feedback to the partners. This form must be completed at the Resident Engineer and contractor’s Project Manager levels if the issue is going to be escalated to the District Engineer level. It is imperative that the issue and the reasons for escalation are documented and the “Issue Escalation Binder” be completed. If needed, the Resident Engineer and the contractor’s Project Manager can complete their forms separately; however both forms must be signed and included in the “Issue Escalation Binder”. Once the “Issue Escalation Binder” is complete, it must be forwarded, per the instructions on the Issue Resolution Routing Form for that level, to all designated recipients. This form will help identify the types of issues that are being escalated, which may help ADOT to identify additional training that may be required, specification changes that need to occur, and process improvements that may be needed.

Final Issue Resolution Routing forms that reach the District Engineer or State Engineer levels are to be sent to the Construction Group at MD172A and to the Office of Partnering at MD107A.

CONSTRUCTION PARTNERING ISSUE RESOLUTION

ISSUE RESOLUTION STEPS

1. Identify and clarify the issue.
 - Be open and honest.
 - Document the issue.
2. Gather the facts.
 - Deal in facts and focus on the issue.
 - Separate technical issues from policy and business issues.
 - Maintain the original definition throughout the escalation process.
 - Seek advice from more experienced personnel to problem solve.
3. Determine who needs to be involved.
4. Assure uninterrupted time when meeting (schedule a meeting).
5. Communicate the issue to and ask input from those involved.
 - Clearly understand the various levels of authority of other team members.
6. Brainstorm resolutions and prioritize.
 - Do not let personalities interfere; avoid blame.
 - Look at the issue from the other person's point of view to better understand his/her perspective.
7. Decide on resolution at the operations level.
 - Reach an agreement or escalate the issue.
 - Do not skip levels on the Issue Escalation Ladder.
8. Record agreements and action items.
 - Use proper forms.
9. Use Issue Resolution levels as needed.
 - Honor the time pledges committed to during the partnering workshop.
 - Key players may agree to modify time pledges if needed to avoid impacts to the project.
 - If you can't agree, then agree to disagree and escalate together.
10. Bring final decision back to all those involved.
 - Communicate in writing, the rationale (technical, policy or business) behind the resolution.

CHAPTER 8

PARTNERING EVALUATION PROGRAM (PEP)

- OVERVIEW AND BACKGROUND
- EVALUATION

PARTNERING EVALUATION PROGRAM

OVERVIEW AND BACKGROUND

The Arizona Department of Transportation developed a process of evaluation and measurement known as the Partnering Evaluation Program (PEP). The purpose of PEP is to measure the performance of teams relative to their ability to work together. The result is a process that allows teams to accurately measure and acknowledge team successes; identify, track, and correct issues; and take action on issues that require attention. PEP is flexible, allowing team participants to customize the team goals and how they are defined.

The criteria used to measure the progress of team objectives includes five standard goals: quality, communication, issue resolution, teamwork and schedule. Each standard goal contains sub-goals, which further defines each goal. The result is that teams can work towards meeting common, clearly defined team goals. PEP also allows teams to add up to five additional goals and sub-goals depending on the needs of each team. This will be determined during the workshop.

The Partnering Facilitators and Partnering Champions encourage all team members to participate in regular evaluations. Their responses provide feedback that is vital for the success of the team. The Partnering Facilitators also provide PEP reports for discussion at the weekly team and partnering meetings and continuously monitor the partnership.

EVALUATION

PURPOSE:

- Allows participants to give feedback
- Helps ADOT and the contractor lead a healthy project
- Brings awareness to partnership or project issues
- Generates feedback on an ongoing basis to deal with project issues
- Reflects how partnering is functioning statewide
- Promotes a streamlined, meaningful process that is precise and accurate

The facilitator will explain the purpose of PEP and the evaluation process during the workshop. The partnership will use the five standard goals: quality, communication, issue resolution, teamwork and schedule. The partnership will develop definitions (or sub-goals) for the five standard goals and add any additional project goals and definitions. This will determine how the success of the project and team will be measured.

The comments provide valuable information to the team and the experiences from which to learn and improve. Examine the comments to give recognition for positive performance or to make sure corrective action has or will be taken to resolve issues. Follow up with the submitter, if known, to get additional information and to verify that any corrective action taken solved the problem.

PARTNERING EVALUATION PROGRAM

DURING WORKSHOP

Team members agree that the project leaders will take action when PEP reports indicate a problem.

- Actions may include:
 - Facilitated problem solving
 - Field level partnering workshops
 - Refresher workshop for all stakeholders
 - Pre-event meetings, which include agreements for working effectively together
 - Discussion at the weekly meetings of the issues identified through PEP

The team members determine the evaluation frequency. The following guidelines are based on the length of the construction project and are designed to assist the project team, but are not compulsory. The frequency of evaluations can be adjusted based on the needs of the team:

- Three months or less - evaluate at closeout
- Three months to one year - evaluate monthly and at project closeout
- One year or more - evaluate monthly and at project closeout.
- Consider using midterm refresher workshops at major milestones or as needed

The role of the responsible ADOT and contractor employees in the evaluation process is discussed. The importance of their responsibilities to ensure timely evaluations and reports is emphasized. These employees are typically called Partnering Champions.

Team celebrations are a vital part of recognizing positive performance and enhancing relationships. Project leaders will acknowledge team members when there are “Provide Recognition” comments in PEP and congratulate the project teams that succeed in maintaining an average PEP performance evaluation level of 85% (equivalent to a score of 3.4 or greater for at least two months).

PARTNERING EVALUATION PROGRAM

POST WORKSHOP

- The facilitator for the workshop will enter the sub-goals for the project into the PEP database
- Conduct evaluations according to agreed upon criteria, typically during weekly or monthly meetings, team building sessions, interventions, milestones and closeouts
- Take appropriate action based on the input
- Weekly/Monthly meetings are consistent meeting times when the partnership members follow up on action items from previous meetings, develop schedules, identify/resolve partnership related issues and plan the next meeting
- Partnering champions or other designated team members compile evaluation data and distribute the various PEP reports to appropriate partnership members
- Refresher workshops provide the long term partnership or project an opportunity to review initial agreements and make any required changes
- Team interventions may take the form of a meeting or training that is customized to address the current challenges of the partnership
- Project close out evaluations reflect the overall health of partnering and lessons learned are shared for continuous improvement

CHAPTER 9

ROLE OF THE FACILITATOR

■ FACILITATOR GUIDELINES FOR PARTNERING WORKSHOPS

- Planning for the workshop
- Facilitating the workshop
- Workshop follow-up

ROLE OF THE FACILITATOR

FACILITATOR GUIDELINES FOR PARTNERING WORKSHOPS

The facilitator for a partnering workshop should work closely with the Workshop Kickoff Team to determine the details of the workshop. The workshop must be customized based on the needs of the team and the project.

PLANNING FOR THE WORKSHOP

- Collect background information (history, number of jobs together, PEP evaluations)
- Work with the Workshop Kickoff Team to determine the workshop details including discussion of the agenda, the draft charter and the escalation ladder
- Discuss the overall approach to partnering to ensure key project leaders are in agreement
- Include other stakeholders as dictated by the project
- Emphasize to the Workshop Kickoff Team the importance of designers, subcontractors, suppliers and stakeholders being invited to the workshop
- If possible, drive through the project with the RE and contractor to understand the scope
- Identify issues – relationship or technical – that need to be discussed at the workshop
- Customize the workshop based on workshop models and team relationship
- Focus on improving problem-solving and issue resolution skills
- Confirm logistics of date, duration, time, stakeholder list and location

ROLE OF THE FACILITATOR

FACILITATOR GUIDELINES FOR PARTNERING WORKSHOPS (CONT)

FACILITATING THE WORKSHOP

- Supply agenda, name tags or name tents, two sign in sheets (one for communication matrix and one for ADOT Training) and flip charts for notes
- Conduct a customized workshop
- Remain neutral
- Be sure everyone participates
- Ensure the goals are broad and sub-goals are project specific and measurable
- Keep the meeting focused on the project and relationships
- Be sure all known issues are discussed and consensus is reached
- Develop written action plans and list of unresolved issues
- Help the team identify specific ways to use measurement and feedback utilizing the PEP
- Ensure all participants complete a “Partnering Workshop Evaluation” form

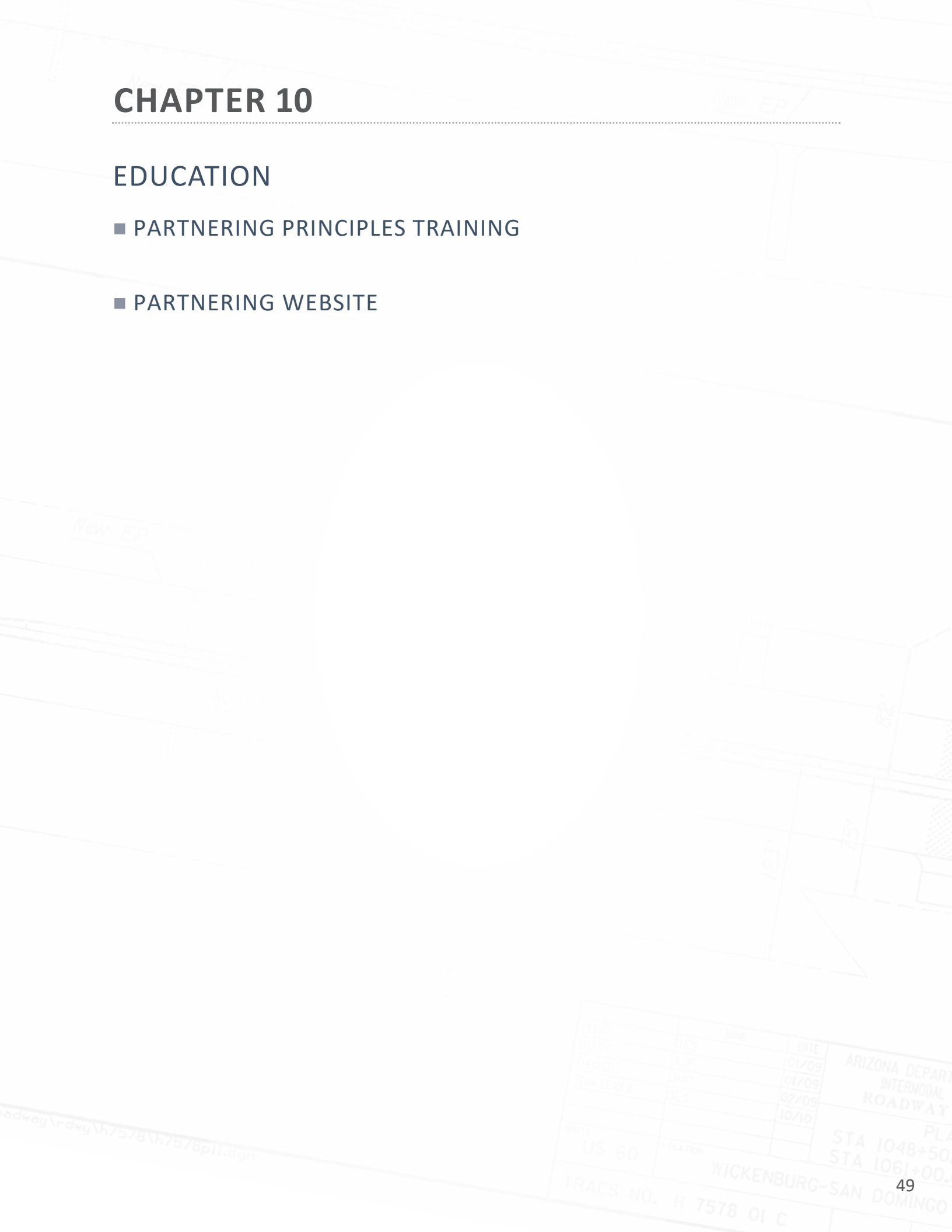
WORKSHOP FOLLOW-UP

- Send the Workshop Report to all members of the project team within seven calendar days.
- Enter the PEP sub-goals for the project into the PEP system (Data Studio)
- Provide follow-up, additional consultation, or facilitation during the project if requested by the RE and contractor

CHAPTER 10

EDUCATION

- PARTNERING PRINCIPLES TRAINING
- PARTNERING WEBSITE



DESIGN	DATE	DATE	ARIZONA DEPARTMENT OF TRANSPORTATION INTERMODAL ROADWAY
DRAWN	DES	01/09	
CHECKED	ALP	01/09	
TEAM LEADER	IMP	02/09	
	DES	10/10	
ROUTE	LOCATION		
US 60			
WICKENBURG-SAN DOMINGO			
TRACS NO. H 7578 01 C			

EDUCATION

Partnering Principles Training

This virtual/online class provides participants an overview of partnering principles, processes and practices. the Partnering Principles Class is mandatory for new ADOT supervisors, managers and other employees in construction and maintenance.

Upon successful completion of this class, participants will be able to:

- Identify the partnering background, purpose, philosophy, principles and process
- Understand the responsibilities and benefits of partnering
- Identify various roles in a partnership
- Identify the roles of the Office of Partnering
- Identify the components of PEP

Partnering education can be further enhanced and supported through use of the Office of Partnering website - <http://www.azdot.gov/partnering/>

CHAPTER 11

PARTNERING

- OFFICE OF PARTNERING
- SUPPORT SERVICES
- EDUCATION
- ADMINISTRATION
- OUTREACH
- PARTNERING WORKSHOPS AND MEETINGS
- RECOGNITION

PARTNERING

OFFICE OF PARTNERING

ADOT's Office of Partnering provides the foundation on which to build partnerships within ADOT and between ADOT and its partners. It is intended to be an integrated system of support services, education, administration, outreach and partnering workshops or meetings. The list below includes examples of services provided by the Office of Partnering team.

SUPPORT SERVICES

- Administer the PEP
- Maintain a network of fully trained, neutral facilitators
- Track escalated issues
- Evaluate facilitators
- Team Building

EDUCATION

- Develop and implement partnering education

ADMINISTRATION

- Develop and implement partnering process and policy improvements
- Document, continuously improve and validate systems for all work processes
- Develop criteria and forms for partnering processes
- Conduct surveys
 - Customer Level of Service and Satisfaction
 - Partnering Status
- Develop and implement productivity measurements
- Manage contracts for facilitators and others as needed
- Maintain the partnering website

PARTNERING

OUTREACH

- Provide information to our customers through websites, newsletters and presentations
- Maintain memberships in partnering related committees

PARTNERING WORKSHOPS AND MEETINGS

- Provide trained facilitators
- Provide examples and guidance

RECOGNITION

- Congratulate each other and celebrate milestones

The Office of Partnering encourages partnership members to recognize the achievements and successes of individuals and teams. Team celebrations are a vital part of acknowledging positive performance and enhancing relationships.

The Partnering Spirit Award provides an opportunity to formally recognize individuals who through their personal characteristics and conduct have exemplified the best practices and values of ADOT Partnering.

The award recognizes individuals that are or have been a member of a partnership that achieved exceptionally positive results through agreements and productive working relationships. They have demonstrated their dedication to collaborative teamwork by achieving team goals and evaluating their progress through the Partnering Evaluation Program (PEP).

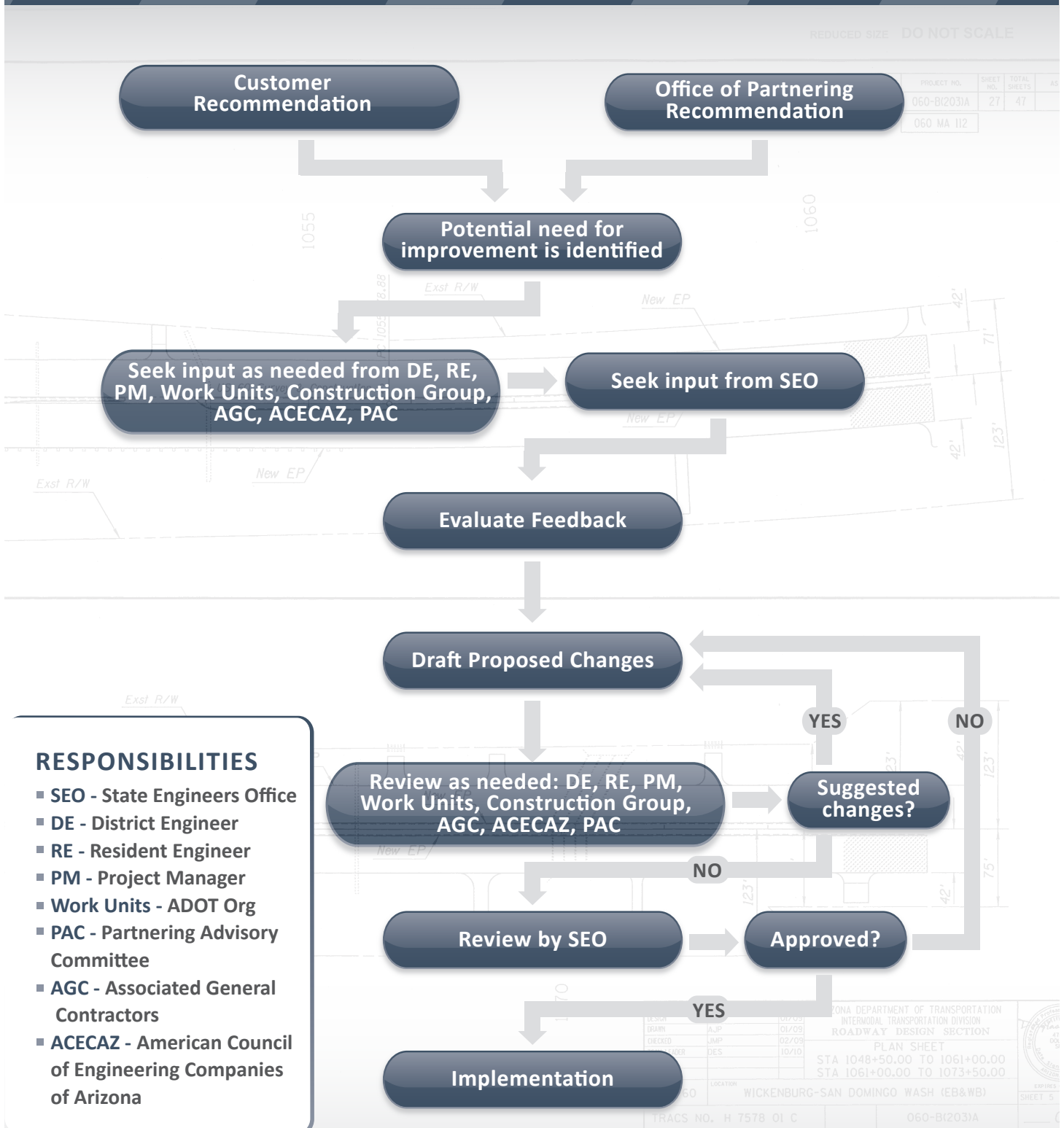
Partnering Spirit Award application information and nomination form are available at www.azdot.gov/spiritaward.

CHAPTER 12

CONSTRUCTION PARTNERING PROCESS CONTINUOUS IMPROVEMENT

■ FLOW CHART

CONSTRUCTION PARTNERING PROCESS CONTINUOUS IMPROVEMENT CYCLE



GLOSSARY

ADEQ – Arizona Department of Environmental Quality

ADOT – Arizona Department of Transportation

ASLD – Arizona State Land Department

Adversarial – Having a hostile, opposing attitude

BIA – Bureau of Indian Affairs

BLM – Bureau of Land Management

Brainstorming – Generating ideas and perspectives from all participants without judgment

Champion – A partnership member (two are chosen) who promotes partnering and PEP for the team during the project

Charter – A document defining the common mission, goals, guidelines and key agreements of the partnership team members

COG – Council of Governments

Commitment – A pledge to follow some particular course of action

Communication – The exchange of thoughts, opinions, messages, or information, using speech, signals, writing, or behavior

Cooperation – Acting jointly with others, keeping all interests in mind

CRO – Community Relations Officer

DE – District Engineer

DOT – Department of Transportation

Escalation – Forwarding the issue to the next level for resolution. ADOT defines a claim as an issue that was escalated beyond the State Engineer's Office for resolution

Evaluation – Process by which all stakeholders ensure that the plan is proceeding as intended and that all stakeholders are carrying their share of the load

GLOSSARY

Facilitated Problem Solving – Facilitated Problem Solving is a process that utilizes a third party to facilitate a resolution to a dispute. The third party is not bound by law to maintain confidentiality, but may be required to do so by terms of a contracting agreement with the parties. The events and proceedings are not necessarily protected from legal discovery

FHWA – Federal Highway Administration

Honor – The ability to admit one's mistakes and take responsibility

Implementation – Carrying out agreed-upon strategies; putting them into practice

Integrity – Adherence to a code of values that include sincerity and honesty

Issue – A situation or condition that either (1) currently or potentially has negative consequences for the program/project or (2) has 100 percent probability of having negative consequences for the program/project or (3) needs clarification to ensure correct understanding of action to be taken

Issue Escalation Binder Template – An outline of the documentation required and the order they should be inserted into a binder when providing information to the next level that is being escalated.

Issue Resolution Process – A process that consists of identifying and resolving issues, action planning, and follow-up agreements

Mediation – A confidential process that utilizes a neutral third party to assist disputants in collaborative problem solving. Typically, the third party facilitator is bound by law to complete nondisclosure of the events and proceedings of the mediation process, and they are protected from legal discovery

MPO – Metropolitan Planning Organization

Mission Statement – One or two sentences that describe what the team hopes to accomplish over a period of time

Mutual Goals/Objectives – Desired outcomes specific to the nature of the project that are identified by all those involved

GLOSSARY

Partnering – A process of collaborative teamwork to achieve measurable results through agreements and productive working relationships

Partner – Anyone involved in the project's daily operations

Partnership – A relationship among individuals or groups that is characterized by mutual cooperation and responsibility toward the achievement of a specified goal

Partnership Champions – Those who lead the partnering effort to successful completion

Partnership Members – Those who work together to achieve the common goals of the partnership

PEP – Partnering Evaluation Program – The ADOT evaluation program used to measure the progress of a team

PO – Purchase Order – the document generated by ADOT to pay for approved services

Pre-construction Conference – A mandatory meeting between ADOT and the contractor that must be held before construction can begin

Project – Any undertaking requiring a joint effort for which a scope, schedule, budget and desired outcome have been defined

RE – Resident Engineer

Stakeholders – Any person, group, or entity who has an interest in, or is affected by, the outcome of the project or partnership

Team – A group of individuals working together to complete a specific task within a specific time frame

Trust – Having confidence in the truth and good intentions of a person's actions and words

USFS – United States Forest Service

Work Unit – The ADOT construction office in charge of a construction project

Workshop Kickoff Team – The ADOT DE, ADOT RE, Contractor Owner, Contractor PM, ADOT Partnering Project Manager and an ADOT Partnering Facilitator. This team will determine all logistics for the Partnering Workshop