

# Arizona Department of Transportation Partnering Guidelines

November 1, 2015



## Letter to Users

The purpose of the Office of Partnering guidelines document is to provide direction regarding partnering processes. The guidelines include direction for the use of Arizona Department of Transportation (ADOT) employees and partnering consultants as partnering facilitators; selecting a facility; providing food and/or beverages; workshop planning; team feedback and follow-up. These guidelines supersede any and all previous policies and memorandums regarding partnering.

Partnering is a process of collaborative teamwork to achieve measurable results through agreements and productive working relationships. It provides a structure for teams to establish a mission, common goals and objectives, an issue resolution process, and to evaluate the team's progress through the Partnering Evaluation Program (PEP) software. Partnering is a viable tool for team building and issue resolution. Technical and relationship issues usually do not become points of adversity and are generally settled early when all team members follow the principles of partnering. It is also a tool to assist in developing winning relationships among internal ADOT teams. It is used extensively to develop relationships between ADOT and partner groups outside of ADOT. Partnering is an ADOT business practice and is part of our work ethic and culture.

It is the intent of ADOT that all groups build effective partnerships when working with stakeholders. It is the current practice that all partnerships begin by holding a workshop. There are various workshop models that can be applied to a wide variety of partnerships.

Sincerely,

Michael Carter

Administrator, Office of Partnering

## Partnering Guidelines

### Practice

It is the practice of the Arizona Department of Transportation (ADOT) that partnering is utilized as a business practice for construction projects. Partnering workshops will be facilitated by trained partnering facilitators; either ADOT employee partnering facilitators, construction staff or partnering consultants contracted through the Partnering Services Contract which is managed by the Office of Partnering.

The cost of the construction partnering workshop shall be shared between ADOT and the Contractor according to the Standard Specifications for Road and Bridge Construction, 2000, Section 104 – Scope of Work, Subsection 104.01(B).

It is strongly recommended that the workshop date not be set until a partnering facilitator has been assigned. The ADOT Resident Engineer or ADOT Project Manager, in collaboration with the Contractor's Project Manager or Contractor's Project Staff, is encouraged to make arrangements for the Partnering workshop directly with the meeting facility. The ADOT Resident Engineer or his/her representative shall follow current procurement laws, rules and Executive Orders, as applicable, when reserving a site for a partnering workshop. An adequate meeting facility/room shall be provided for all workshops. The facility/room greatly contributes to, or detracts from, the success of the workshop. The meeting facility/room shall have tables, chairs and other equipment as needed and be of an appropriate size for the participants to move about and form small breakout groups. Workshop activities will require wall space for hanging flip charts. The facility/room shall also have adequate lighting, ventilation, security and safety, comply with the Americans with Disabilities Act requirements and provide for any additional requirements specified by law, rules, etc. that are not listed here.

The Office of Partnering annually requests approval from the ADOT Comptroller and State Engineer for construction project teams to be authorized to provide food and/or beverages at the workshops statewide per policy FIN 13.01 Guidelines for Providing Food/Beverages at ADOT Sponsored Functions. The annual request is reviewed and approval is granted if there is documentation that procurement laws, rules, Executive Orders and other accounting policies have been followed. Costs for the construction partnering workshops are to be shared equally per the Standard Specifications for Road and Bridge Construction, 2000, Section 104 – Scope of Work, Subsection 104.01(B). Partnering workshop costs are considered to be the cost of the meeting facility (if any), the cost of the partnering consultant (if one is used) and the cost of food/beverages.

When a close-out construction workshop is held, the intent is to review the performance of the team compared to the goals and objectives developed during the initial partnering workshop. Additionally, the intent is to develop suggestions and recommendations that will improve future design and construction contracts. These suggestions and recommendations shall be listed in the

close-out workshop report. The Office of Partnering submits the suggestions and recommendations to the Construction Engineer, through the Value Engineer, who will act upon the information as appropriate. The timing of the close-out workshop is important. It should take place at substantial completion of the project and before key partners leave the project (approximately at 80% completion). The workshop should not interrupt the operations of the contractor. The Resident Engineer or his/her representative shall contact the Office of Partnering for assistance in planning for the close-out workshop. If possible, the person who facilitated the initial partnering workshop conducts the close-out workshop. All requirements of these partnering guidelines apply to planning and delivering the close-out workshop. The process for determining whether or not the project team will hold a close-out workshop is available in the Partnering 101 manual. At a minimum, all project teams shall conduct a final PEP evaluation as outlined in the project close-out workshop process.

Public partnering is defined as a partnership among and between DOTs, other federal, state and local agencies and non-governmental stakeholders. Internal partnering is defined as a partnership among and between members, leaders and work units of the same organization. The intent is to share the cost of the partnership equally among the partners. All policy statements and guidelines regarding partnering consultants or ADOT employee partnering facilitator services, facilities, food and beverages also apply to the categories of "Public" and "Internal" partnering efforts by ADOT with the following clarifications/exceptions:

1. If the partnership is between ADOT and a "Public" Partner(s), the intent is to share the cost of the workshop between ADOT and the Public Partner(s), subject to the Arizona Administrative Code, Personnel Rules: Article 5 Conditions of Employment, Rule R2-5-501 (C) (4) and the ADOT Policies and Procedures, FIN-13.01, Guidelines for Providing Food/Beverages at ADOT Sponsored Functions.
2. If the partnership is "Internal", the intent is to share the cost of the partnership among the participating Orgs. It is further clarified that ADOT cannot purchase food and/or beverages for internal partnering workshops or events. If any food and/or beverage are supplied at the workshop it will be the responsibility of the individuals to pay for the food and/or beverage with their personal resources. No reimbursements will be made.

The start of any partnership requires early planning. Please contact the Office of Partnering at (602) 712-8069 for assistance.