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FACILITATORS
PARTNERING ADVISORY COMMITTEE
CONSTRUCTION GROUP

FROM: JAMES YOUNG
PARTNERING DIRECTOR

RE: "FINE-TUNED" PARTNERING PROCESSES - CONSTRUCTION
(UPDATED SEPTEMBER 2008)

The Partnering Program at ADOT is successful because all of you make it work. As you know, Partnering is an easy concept to understand. However, implementing and maintaining a true partnership is hard to accomplish. It requires people to trust each other, use good communication skills, honor their word, be open to doing things in different ways, resolve issues and, it requires work. Several tools are available to assist you in your partnering efforts. One of the tools is a package titled "Fine-Tuned Partnering Processes".

How and why were the "Fine-Tuned Partnering Processes" developed? In 1997, a group of people from ADOT and Industry assembled to review input received from an in-depth survey conducted in late 1996. This group was formally organized and called "The Partnering Core Team". It consisted of 16 stakeholder groups and approximately 35 people.



They took the information from the survey and targeted a few areas for improvement. The areas targeted were: simplified workshop process; clarified issue resolution and escalation process; a process for capturing lessons learned and, education. They then developed a group of processes for all of us to follow. This group of processes was called the "Fine-Tuned Partnering Processes", dated July 1997. The package was distributed to all of the District Engineers, Resident Engineers, Project Supervisors, Office Managers and others. The packages have been distributed periodically and made available at various meetings.

One of the Partnering Office's roles is to have the processes reviewed periodically for improvement. Recently, the Partnering Core Team evolved to a committee of 13 stakeholder groups with about 25 members representing the various groups. This group of people is now called "The Partnering Advisory Committee". The Partnering Advisory Committee reviewed the "Fine-Tuned Partnering Processes" between July and September 2008. The Partnering Advisory Committee recommended changes to the processes. The revised "Fine-Tuned Partnering Processes" package, which is dated September 2008 is attached.

The majority of the changes are not major. I recommend that you put this package on your reading pile and make a commitment to read through it as soon as you can. The Construction Manual also makes reference to the "Fine-Tuned Partnering Processes". The processes have also be folded into a Partnering manual/handbook.

As always, we, in the Partnering Office, are here to support you and your project teams. We invite you to tell us what works and what doesn't work. We collect your comments for periodic review. Again, thank you for all that you are doing to make Partnering successful in Arizona.

Sincerely,

James Young
Partnering Director

Attachment

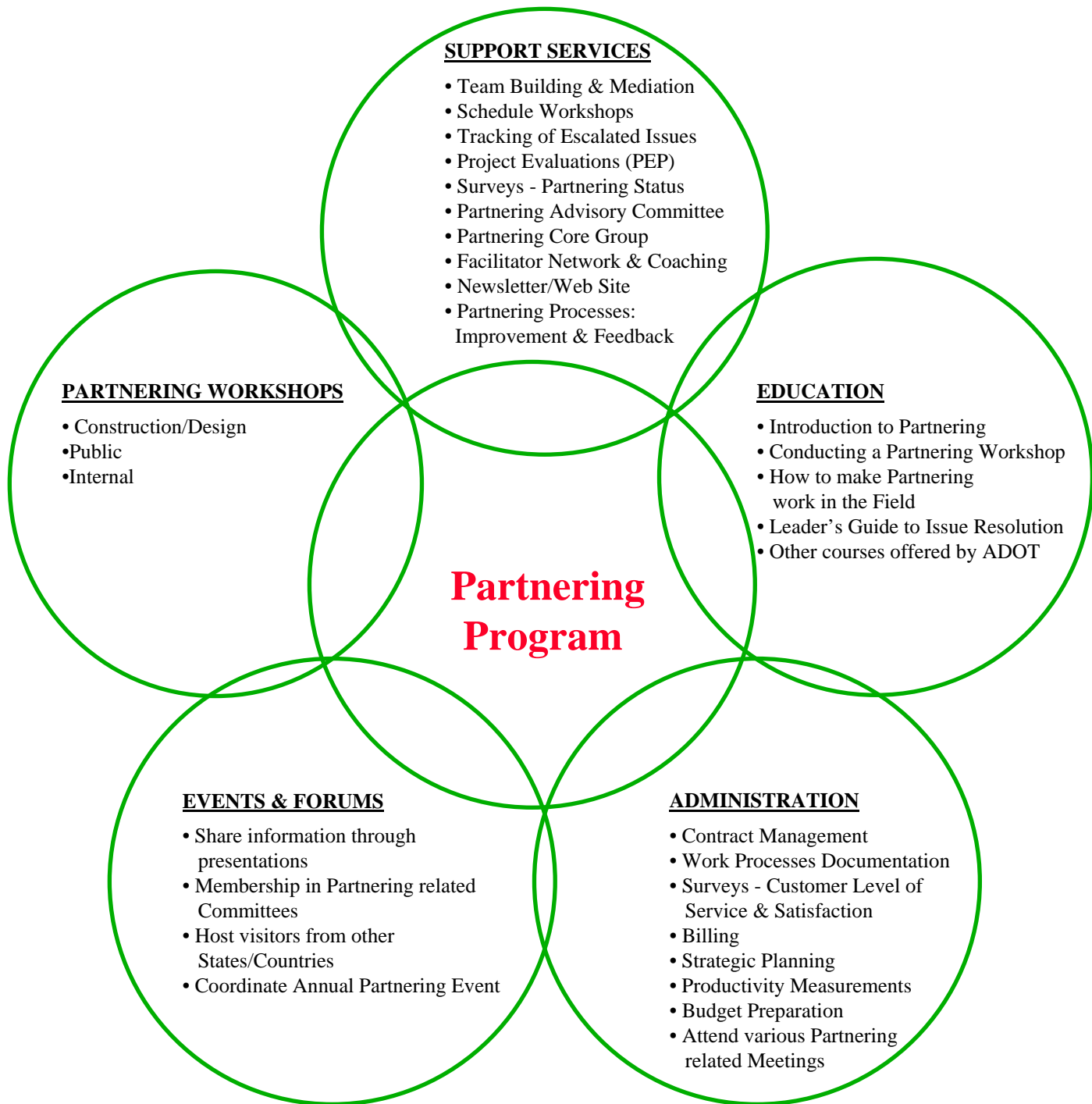
Cc: David Martin, AGC
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Robert Melore, ADOT
State Engineers Office (3 copies)



**"FINE-TUNED PARTNERING PROCESSES"
CONSTRUCTION - FY2006**

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Partnering Program Integrated System



Partnering
Industry-Wide Advisory Committee
ADOT Core Team

CORE TEAM

MISSION:

To practice, support and promote Partnering throughout the Transportation community within our state and in all internal and external relationships

GOALS:

- Share partnering experiences, challenges and successes with the Advisory Committee and the Partnering Office
- Provide suggestions for change
- Network with other Stakeholders
- Champion Partnering on the job
- Connect with the Partnering Office for ongoing updates

ADVISORY COMMITTEE

MISSION:

To provide a forum to address Partnering issues from all stakeholders, and to ensure the continued viability, evolution and dissemination of the Partnering principles and processes

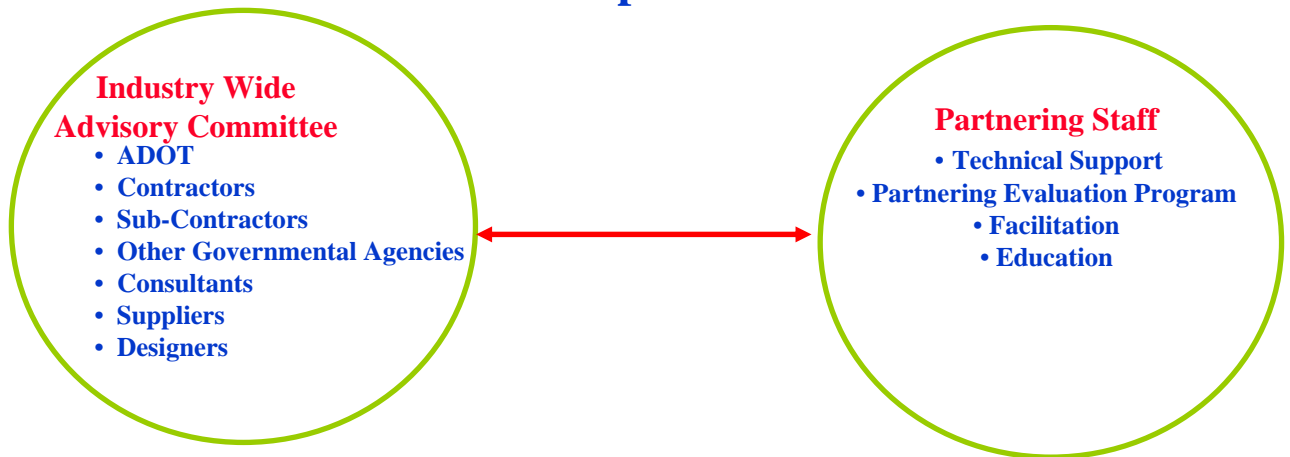
GOALS:

- Identify, discuss and make recommendations for resolution of Partnering Process issues
- Provide guidance for Partnering practices and processes
- Champion Partnering and stay networked with stakeholder groups

GUIDELINES

- All perspectives are heard and considered
- Take responsibility for how you present your position
- Communicate in a way that promotes understanding and minimizes defensiveness
- Participate in a way that produces the best outcome for all

Partnering Roles & Responsibilities



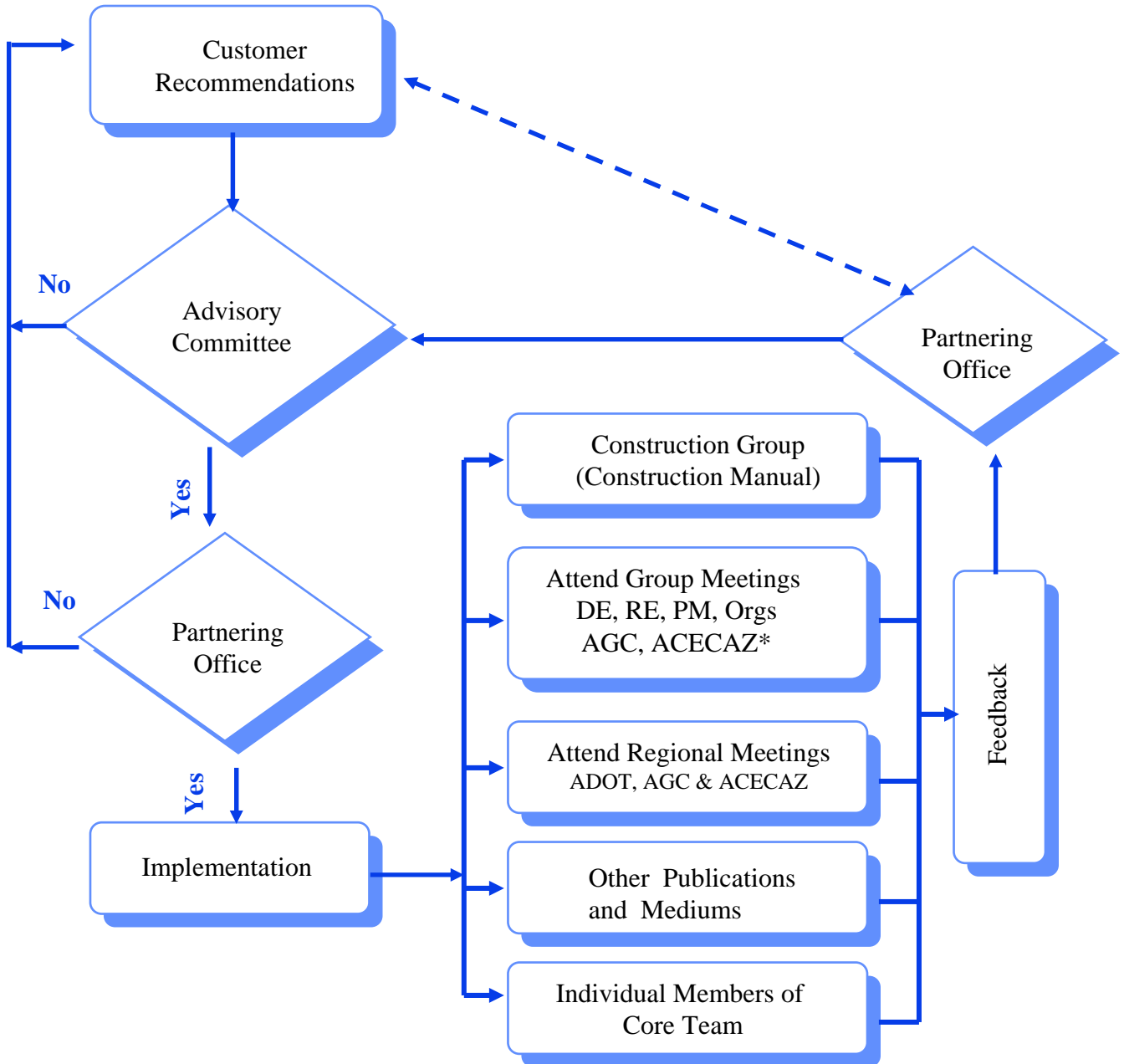
Role of Partnering Staff

- Design Improvements in the Partnering Processes
- Establish Criteria for meetings
- Write Lesson Plans for Workshops
- Establish criteria and forms for various processes
- Design implementation and validation system for all processes
- Implement all processes
- Validate all processes (indicate the health of partnering, short & long term methods)
- Continuous improvement of work processes
- Web site continually updated
- Partnering handbook published & made available

Role of Industry Wide Advisory Committee

- Meet quarterly (3 hours: 9:00am-Noon): (December-large group event) to identify & discuss issues; brainstorm; receive & provide updates; coach; and make recommendations to the Partnering Office
- Provide guidance for the Partnering practices and processes
- Share partnering experiences & challenges
- Provide suggestions for change
- Champion Partnering & stay “networked” with stakeholder groups
- Champion partnering in everyday job
- Co-design Partnering Events
- Select new Advisory committee members
- Connect with Partnering Office, as needed

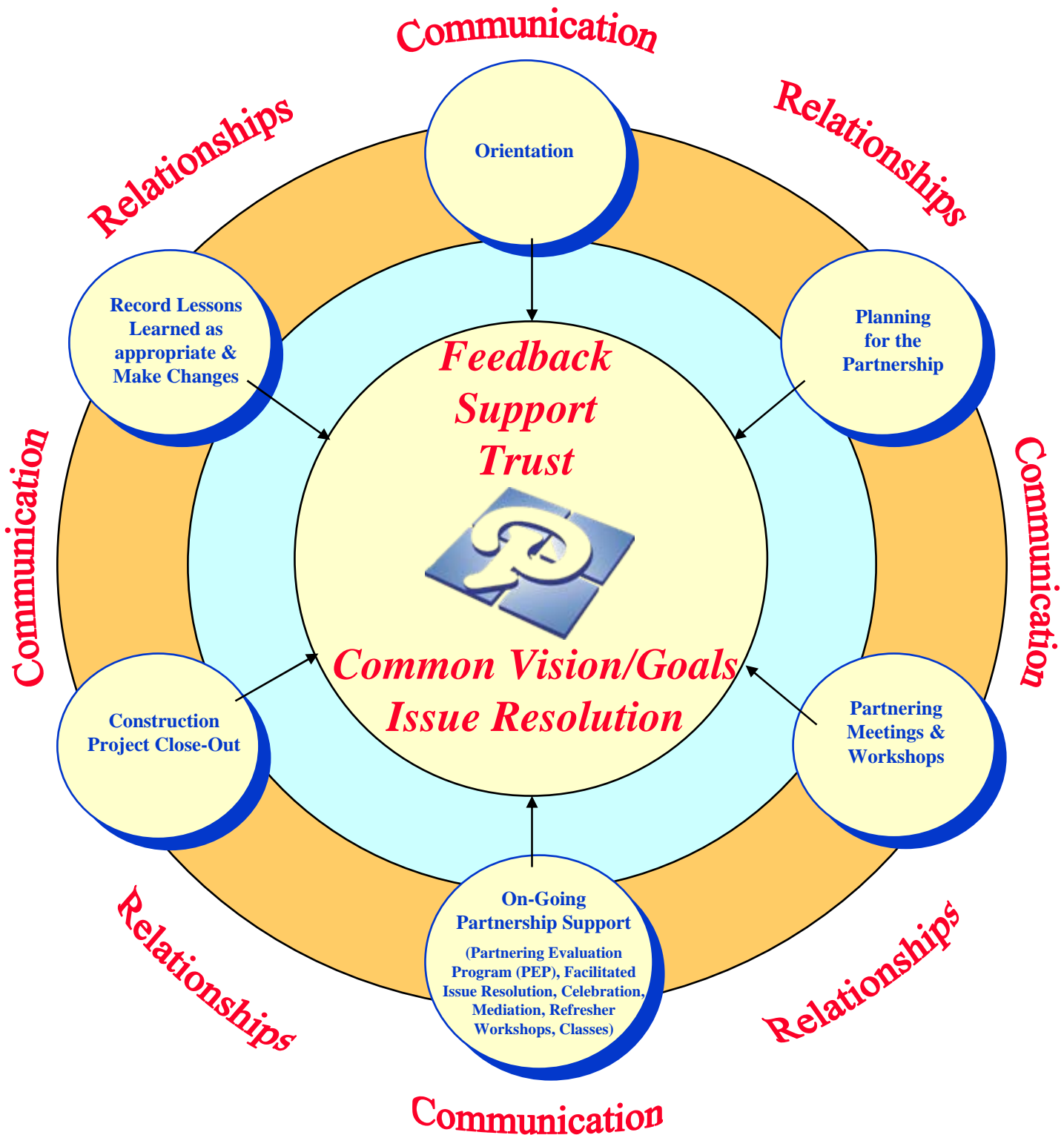
Partnering Process Continuous Improvement Cycle



* AGC – Associated General Contractors

ACECAZ – American Council of Engineering Companies
of Arizona

Building The Partnership



BUILDING THE PARTNERSHIP

Orientation

- Basic Partnering Principles
- “Introduction to Partnering” class
- Partnering Handbook - Building Partnerships
- Brochures
- Other classes, books, videos, et cetera

Planning for the Partnership

- Partnering Office responds to request for partnering
- Identify facilitator and determine the need to attend pre-workshop meeting
- Identify stakeholders
- List and invite stakeholders to attend Partnering Workshop
- ADOT and Contractor (and Facilitator, as needed) review project plans and special provisions
- Identify project issues (relationships, technical, environmental, et cetera)
- Prepare data to present at workshop
- Confirm all workshop requirements with the Partnering Office

Partnering Meetings & Workshop

- Reinforce Partnering goals, guidelines and agreements
- Review and evaluate project and project relationships
- Address relationship and business issues
- Review principles of partnering
- Develop a charter
- Establish the partnering evaluation process
- Create the issue resolution process

On-Going Partnership Support

- Bring new partners who will impact the project up to date
- Discuss issues at key project phases
- Congratulate and celebrate project milestones
- To re-focus as needed
- Weekly meetings
- Refresher workshops
- Issue resolution/mediation
- Measurement, feedback & evaluation

Construction Project Close-Out

- At substantial project completion, Project Team members (including technical support staff) document and evaluate project lessons learned
- Feedback from Project Team members provided to design and specifications for review; assure information is given to the Constructability Program for statewide implementation
- The close-out may take form of conference, workshop or formal meeting

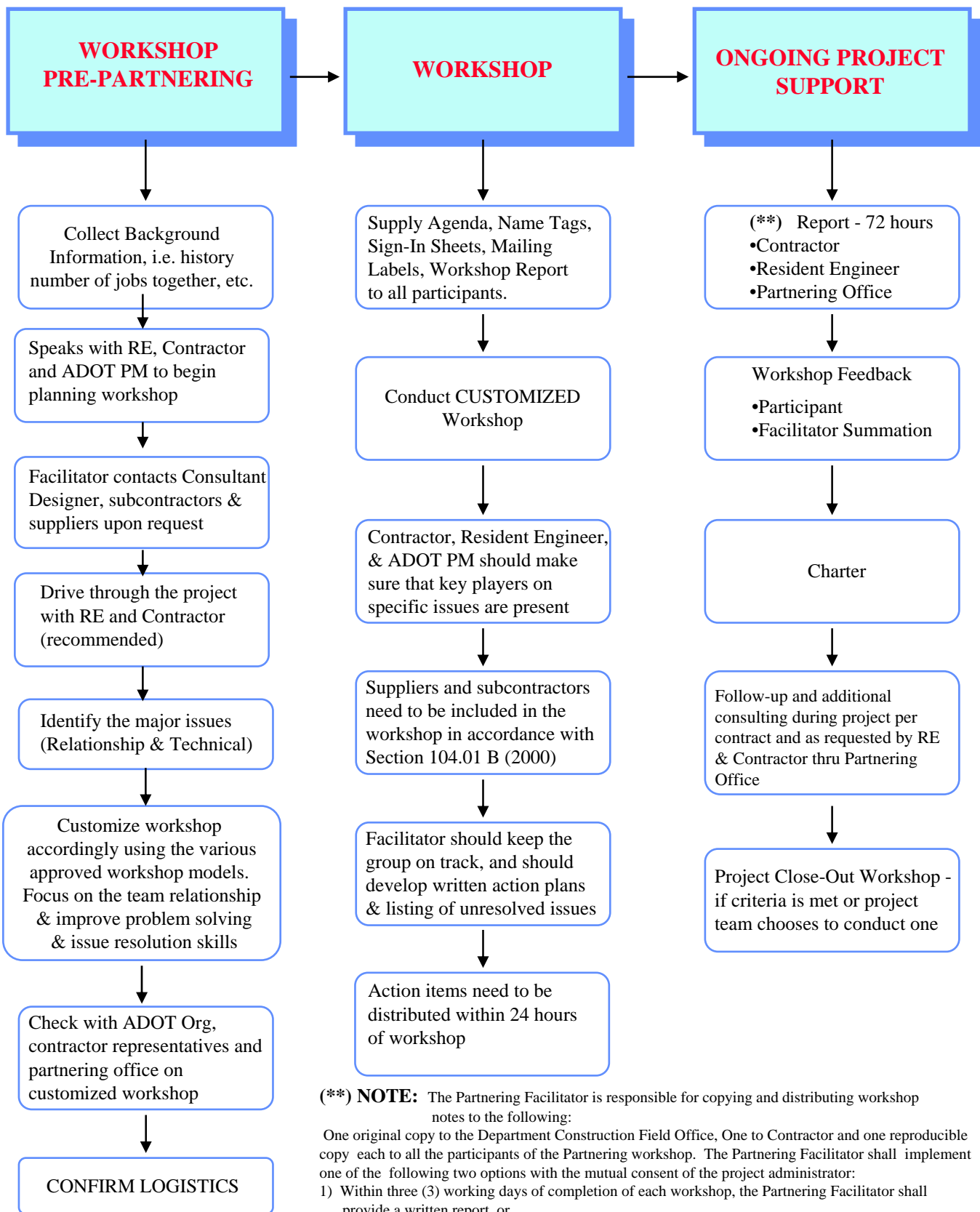
Record Lessons Learned As Appropriate & Make Changes

- Recommendations for changes are forwarded to the appropriate Section/Group; the Section/Group is responsible for making changes according to feedback and lessons learned
- The effected Section/Group is responsible for communicating changes to all Stakeholders
- Assures timely follow-through of results and recommendations

Partnering Office - Partnering Workshop Planning

- Step #1 Partnering Staff reviews bid announcements and awards and contacts Construction Org for coordinating Partnering Workshop
- Step #2 Org calls Partnering Staff regarding the awards
- Step #3 Partnering Staff forwards the Workshop Planning Guidelines to the Org and the Org returns completed worksheet to Partnering Office
- Step #4 Partnering Staff reviews the Workshop Planning Guidelines with the Org and identifies the contact person for the project information using the “Guidelines for Selecting Partnering Workshops” worksheet.
- Step #5 Determine the workshop factors: Workshop duration, facilitator (ADOT or Contract), location, site, date.
- Step #6 Partnering Staff shall contact facilitator, request and estimate of services and provide contact names and project overview including major issues.

ROLE OF THE FACILITATOR IN THE PARTNERING PROCESS



() NOTE:** The Partnering Facilitator is responsible for copying and distributing workshop notes to the following:
 One original copy to the Department Construction Field Office, One to Contractor and one reproducible copy each to all the participants of the Partnering workshop. The Partnering Facilitator shall implement one of the following two options with the mutual consent of the project administrator:
 1) Within three (3) working days of completion of each workshop, the Partnering Facilitator shall provide a written report, or
 2) A written report can be distributed within five (5) working days after the workshop if copies of action items are distributed within twenty-four (24) hours of close of workshop.

FACILITATOR GUIDELINES
FOR ALL PARTNERING WORKSHOPS

- When planning to build the partnerships, choose the workshop model that best meets the needs of the specific project team. This may be a single workshop (anywhere from 2 hours to 2 days in duration) or a series of meetings and workshops

- The facilitator should develop a rough draft of the charter with key players before the workshop, fine-tuning the rough draft during the workshop, to allow the workshop time to focus on other issues

- Use project related activities (developing the team charter, issue identification, issue resolution ladder, action planning to address unresolved issues, and evaluation/monitoring process) to build the Team

- Stay focused on the project and the project relationships

- Focus on measurement and feedback. Help the team identify specific ways to use the Partnering Evaluation Program (PEP)

- Use the required handouts as a reinforcement and reference to use after the workshop

- Assure that the goals are broad and objectives are project specific and measurable

Facilitator Preparation For Construction Partnering Workshops

- Step #1 Facilitator contacts key ADOT and Contractor Leaders and requests names of stakeholders, number of workshop participants, potential ‘Partnering Champions’ and other relevant workshop information. Facilitator discusses overall approach to Partnering with Key Project Leaders to ensure buy-in on the same definition.
- Step #2 (*) ADOT (RE and PM) and Contractor Leaders identify and invite stakeholders and ask them to identify all major relationship and/or technical issues and affected parties. Ask Leaders which other stakeholders the facilitator should contact prior to the workshop (e.g., Design Consultant, subcontractors, suppliers, tribal representatives, forest service, bureau of land management, municipalities, etc.)
- Step #3 Provide the Facilitator with a list of identified issues and concerns. If necessary and as directed by the key ADOT and Contractor Leaders, the facilitator will contact other stakeholders for other information.
- Step #4 ADOT and contractor people research issues, prepare data to present at the partnering workshop.
- Step #5 Facilitator customizes workshop design based upon above information. Facilitator prepares agenda, handouts and project specific exercises (Draft: Charter, Issue Resolution Ladder, etc.).
- Step #6 Facilitator’s agenda is reviewed and approved by ADOT and Contractor.
- Step #7 Confirm all workshop logistics with the key stakeholders prior to meeting.

(*) NOTE: Need to have an RSVP added to the invitation to get a more accurate count of workshop attendees. Also, a copy of the invitation letter must be sent to the facilitator.

GUIDELINES FOR SELECTING PARTNERING WORKSHOPS

Project Name _____ Project/TRACS Numbers _____

District _____ Today's Date _____

The Partnering Office, the ADOT Org and the Contractor will use the following information to determine the duration of the Partnering Workshop.

I. Duration of Project:

(A) 3 months or less _____ (B) Between 3 and 12 months _____ (C) Over 1 Year _____

II. Technical Complexity of Project:

Consider the nature and number of issues and the number of Partners.

(A) Minimal _____ (B) _____ Moderate (C) High _____

III. Other Affected Partners:

Partners such as public interest groups, other state agencies, federal agencies, City government, County governments, Tribes, school districts, utilities, labs, developers or any other Stakeholders.

(A) One or Two _____ (B) Three or Four _____ (C) Four or more _____
(High Complexity)

IV. Previous Partnering Experience:

This is defined as all key Partners having worked directly with all other key Partners as shown below:

Contractor (Please complete the following):

Proj. Mgr./Engr. with Resident Engineer: (A) 3+ _____ (B) 1-2 times _____ (C) None _____
Project Superintendent with Proj. Supervisor: (A) 3+ _____ (B) 1-2 times _____ (C) None _____
Project Foreman with Lead Inspector: (A) 3+ _____ (B) 1-2 times _____ (C) None _____
Sub-Contractors and Suppliers: (A) 3+ _____ (B) 1-2 times _____ (C) None _____

ADOT (Please complete the following):

Resident Engineer with Project Mgr./Engr.: (A) 3+ _____ (B) 1-2 times _____ (C) None _____
Project Supervisor with Project Superintendent: (A) 3+ _____ (B) 1-2 times _____ (C) None _____
Lead Inspector with Project Foreman: (A) 3+ _____ (B) 1-2 times _____ (C) None _____
Sub-Contractors and Suppliers: (A) 3+ _____ (B) 1-2 times _____ (C) None _____

V. Quality of Experience with Above Key Partners:

(A) Great _____ (B) Good _____ (C) Needs Improvement _____

RESULTS: All "A"s = 2 to 6 hour Workshop, All "B"s = 6 to 8 hour Workshop, All "C"s = 1.5 days or 2 day Workshop. Check with Partnering Section for all other combinations.

The above information indicates to me the need for a workshop of the following duration:

2 day _____; 1 ½ day _____; 1 day _____; 5-6 hours _____; 4 hours _____; 2 hours _____;

GUIDELINES FOR CHOOSING A Partnering Facilitator

Note: Keep the Partnering spirit: identify and share the actual cost of facilitation (planning, preparation, facilitation, follow up, travel, etc.). Agree to share the responsibilities for the facilitator and facility 50/50.

ADOT Facilitators are expected to be utilized to facilitate workshops based upon the following criteria. At the current time, ADOT Facilitators have limited time to spend preparing for and following-up after workshops. They have other job requirements and facilitating workshops is only a part of their responsibilities. If this situation changes, the selection criteria will be reconsidered by the Partnering Advisory Committee.

An ADOT facilitator may be chosen if all project factors are A's for items III, V and VI (see "Guidelines for Selecting Partnering Workshops" worksheet):

Item III Technical Complexity of Project:(consider the nature and number of issues and the number of stakeholders)
(A) Simple/straight forward

Item V Previous Partnering Experience:(this is defined as all key players having worked directly with all other key partners as shown below)

Contractor

Project Manager/Engineer with Resident Engineer:	(A) 3+
Project Superintendent with Project Supervisor:	(A) 3+
Project Foreman with Lead Inspector:	(A) 3+
Sub-Contractors and Suppliers:	(A) 3+

ADOT

Resident Engineer with Project Manager/Engineer:	(A) 3+
Project Supervisor with Project Superintendent:	(A) 3+
Lead Inspector with Project Foreman:	(A) 3+
Sub-Contractors and Suppliers:	(A) 3+

Item VI Quality of Experience with Above Key Partners
(A) Great

Project-Facilitated Workshop

The RE and/or Contractor Project Manager may facilitate the Partnering Workshop for their project if it meets all the above criteria, plus the following conditions:

- 1) Receives the endorsement of the DE and Contractor management.
- 2) Receives approval from the Partnering Office and is a member of the Partnering Facilitator Network.
- 3) The RE/Contractor facilitator has completed the facilitation training and "Conducting a Partnering Workshop" Class.

ESTIMATING THE COST OF PARTNERING WORKSHOPS

The Partnering Office, ADOT Org and the Contractor will use the following to estimate the cost of the Partnering Facilitator and Meeting Planner, who will arrange the facility and the food for the Partnering Workshop:

Partnering Facilitator Cost	Facility Cost	Food Cost	Meeting and Conference Planners Cost
Refer to the Partnering Consultant Price Matrix for guidance in estimating the cost of the Partnering Consultant. Contact the Partnering Office for the price matrix.	You may eliminate this charge by using an ADOT Site or the Contractor's office if either of these are available. If not contact a Meeting Planner.	Serving food is not mandatory but a continental breakfast and / or lunch is encouraged. Contact a Meeting Planner to make arrangements.	You must use a contract Meeting Planner to arrange for food and /or a facility. Contact the Partnering Office for the Meeting and Conference Planners Contract List for their hourly rates.
Estimated Cost: \$	Estimated Cost: \$	Estimated Cost: \$	Estimated Cost: \$

APFN

Note: The Org and the Contractor are encouraged to conduct comprehensive, pre-workshop preparation. This should consist of the key Partners and the Partnering Facilitator discussing the project together and identifying all major relationship issues and technical issues and affected groups.

NOTE: All costs associated with the workshop (Consultant/Facility/Food) are to be split 50/50 between the ADOT Org and the Contractor.

Date _____

ADOT Org _____

TRACS # _____

Contact Name _____ Phone Number _____

Contractor _____

Contact Name _____ Phone Number _____

Partnering Office Remarks:	Workshop Duration:
_____	_____ Hrs _____ Days

PARTNERING WORKSHOP COST ESTIMATE

Considerations for the kind of workshop needed are: size of contract; duration of project; technical complexity of project; the number of partners involved; previous partnering experience and the quality of that experience.

DEGREES OF COMPLEXITY	FOOD COST	FACILITY COST	PLANNER COST	FACILITATOR COST
Minimal Degree of Complexity	\$300.00	\$200.00	\$147.00	\$2,400.00
Moderate Degree of Complexity	\$500.00	\$500.00	\$147.00	\$3,200.00
High Degree of Complexity	\$1,000.00	\$800.00	\$147.00	\$4,500.00
Hourly rate	na	\$50 to \$100	\$147.00	\$200.00

The above facilitator costs are based on the highest rates we have experience to date and include 4 hours of pre planning. Follow up time is determined by the partnership and is paid for on an hourly basis.

The Partnership Leaders are encouraged to conduct a comprehensive pre planning meeting to discuss the project together and identify all major relationship issues, technical issues and other affected groups. The Partnering Consultant selected should be notified of these decisions if not present at this meeting.

DESIGNING THE PARTNERING WORKSHOP

The Partnering workshop is an important element of the overall partnering process. The partnering workshop provides the opportunity for the project team to meet, build relationships, and develop the foundation for teamwork and 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. It is an opportunity for project members to resolve project-related issues without the pressures normally associated with an on-going project. An escalation ladder is also developed to resolve issues that are beyond the empowerment authority of the project level parties.

A significant movement toward ownership and accountability for partnering workshops is reflected in the changing role of the Resident Engineer, Contractor Project Manager and ADOT Project Manager/Consultant Designer. These project leaders now focus on planning the workshop and leading it while the facilitator guides the process.

Together with the project leaders, the facilitator designs 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, and the pre-planning, workshops and follow-up need to be custom-designed accordingly. For example, some partners want more time to build the team using creative exercises and cover the core partnering components such as trust; while other partners want less time spent on introductions and partnering basics.

Use this document to help guide you through the process of customizing the partnering workshop. Remember: the key ingredient for success is collaborating with partners to customize each workshop, listening and watching for any required course correction during the workshop, and providing guidance for effective follow-up in order to meet the unique needs of the partnership and its members.

PARTNERING WORKSHOP OUTCOMES

An effective workshop design begins with identifying the desired outcomes. Whether it is 1/2 day or as much as 2 days in length; and conducted in one meeting or over the course of multiple meetings, the workshop is designed to produce the following participant outcomes:

- ❑ Develop the Project Team
- ❑ Outline the principles of Partnering (RFP spec) and review how the principles will be applied to the project (Provide informational handouts as needed.)
- ❑ Initiate a Communication Matrix & Process
- ❑ Write a Project Team Charter
- ❑ Complete the Issue Resolution Ladder, identifying how and when an issue will be escalated
- ❑ Understand the Partnering Evaluation Program (PEP) by which progress toward project goals can be measured. Develop agreements for the timing of regular evaluations. Reach agreement that the Project Leaders will take action when PEP

DESIGNING THE PARTNERING WORKSHOP

- ❑ reports indicate problem(s); and recognize achievements when PEP reports point out successes
 - ❑ Identify project issues and effective solutions
 - ❑ Identify and commit to action plans to ensure the project's success
-

BEFORE THE PARTNERING WORKSHOP:

Customizing requires that those designing the workshop recognize that the project/partnership needs depend upon aspects such as the nature of the partnership, size & complexity, rural vs. urban, and other special considerations. Each of the following items will guide you through this customization process:

❑ CONSIDER THE BEST WAY TO BUILD THE PROJECT/PARTNERSHIP

The project/partnership leaders & facilitator meet to:

- Consider the best way to proceed: what types of meetings, for whom and the sequence that will benefit the project. For example, an option is to conduct two levels of workshops: senior level and field/project level. Another option is to conduct mini workshops (e.g. for subcontractors- right before project begins or before their portion of work begins. Or, bring foremen & Inspectors together- right before the project begins).
- Identify what will be covered at pre-construction conference (ADOT Standard Specifications); check if this meeting will take care of certain partnering workshop agenda topics; determine if any items fall into the FYI category, and if so, if those items can be addressed at the pre-construction conference; and determine if the pre-construction conference should take place before or after the partnering workshop
- Schedule partnering workshop and pre-con together in 1 day, except for larger jobs, which need more time. There may be fewer participants at the pre-con than at the workshop. See ADOT Standard Specifications Section 108.03.
- Hold a formal, pre-partnering meeting for large or complex projects. Issues, and most importantly sensitive issues, are identified. Preparation should be made to head off any unnecessary controversy or delays during the workshop. Some issues may also require additional information or footwork prior to bringing it up in front of the entire group. This would be a good time to prepare for these issues, so that the team can make the most of the time at the partnering conference. Only a small, select group would be included in this workshop. For construction partnering, this group would include the DE, RE, Project supervisor, key contractor personnel, design project manager, key subcontractors, and the facilitator.

❑ ENSURE ALL PARTICIPANTS KNOW THE BASICS OF PARTNERING

If most of the participants are familiar with the basics of Partnering and only a few are new to Partnering, it is important to help the few be familiarized with the Partnering basics before the workshop. It does not serve the needs of the entire project team to spend time on basic information that most of them already understand.

DESIGNING THE PARTNERING WORKSHOP

The following suggestions address this issue:

- Prepare those new to partnering BEFORE the workshop (all participants should know the partnering basics). Partnership leaders identify those “new” to partnering, so decisions can be made about how much of the basics will be included in the workshop. An option to accommodate only a few people new to partnering is to provide information and review of the basics BEFORE the workshop. If so, identify the responsible person(s).
- Consider inviting anyone who has never been to a partnering workshop to come early (e.g. 30-45 minutes), so that the facilitator can go over the basics of partnering with those individuals. This would be a part of the partnering/pre-job invitation letter, and those persons in this category would RSVP.
- Consider enrolling those new to partnering in the “Introduction to Partnering” class.

□ PLAN FOR THE PARTNERING WORKSHOP

During pre-workshop planning, identify roles, responsibilities and any action items to prepare for the workshop. Use pre-workshop planning to gain buy-in, involvement and shared responsibility from the partnership leaders re: workshop design, delivery and success; and to understand the unique factors to customize the workshop appropriately. Project leaders need to take a strong leadership role, while the facilitator designs and facilitates the workshop.

The project/partnership leaders and facilitator attend a pre-workshop planning meeting(s) to:

- Identify workshop outcomes, develop an agenda, and draft a team charter (needed more often for smaller projects)
- Design the workshop for optimal participant involvement and to establish participants’ ownership (e.g. Why partner on this project? What part does this workshop play in the overall success of this partnership? What do you need from this time together to make this a valuable use of time? What is your responsibility for making this a valuable use of time?)
- Review the agenda with the partnership leaders, so any potentially “canned” items or approaches are eliminated. Particularly focus on the amount of time required for covering the partnering basics, and agree to what is appropriate and needed for the particular workshop.
- Identify and clarify roles during the workshop. The project leaders plan how they will kick off the workshop, set the tone for the teamwork and close the workshop. Encourage the contractor to be more involved in the workshop preparation & participation.
- Discuss agreements about issue escalation (who has authority for what), workshop follow-up (best ways to keep momentum from workshop going), etc.
- Identify workshop attendees: Clarify the stakeholders who need to attend (e.g. senior leaders, subcontractors, etc.), and develop a plan for those who are unable to attend.
- Identify ways to involve inspectors in a meaningful way during the workshop (for example: RE meets with inspectors beforehand-list their expected challenges; discuss their role during the workshop- use their expertise & input to plan to resolve challenges & be proactive).
- Identify seating: Members of the same stakeholder groups, (e.g. ADOT, contractor, sub contractors, material group employees, development/design personnel, etc...) should be

DESIGNING THE PARTNERING WORKSHOP

strongly encouraged not to sit together, but to sit with members of other groups.

Consider one of the following methods: (1) post a sign asking everyone to sit in groups other than their own, (2) include a request in the partnering invitation letter for people to sit with partners who are not members of their own work teams; (3) let participants know beforehand that there will be assigned seating and explain the purpose. These methods may go further in establishing relationships and building trust than the “creative introductory exercises.”

- Identify “hot” project issues, and any special challenges or special considerations. Final arrangements for the partnering meeting can be made here. But more importantly, sensitive issues are identified and discussed, so that an action plan can be developed.

□ KNOW THE PROJECT

- The project leaders need to review the project plans, so they can present an overview to workshop participants (this includes communication with designer)
- Facilitators need to understand the project background- must find out about what is being built, see what has to be done and know the issues beforehand.

DEVELOPING THE WORKSHOP CONTENT:

The following lists the key partnering workshop components, and the outcome and steps for each of the components. Use this information to guide the determination of the content, sequence and length of the partnering workshop.

General guidelines include:

- *Do not use the same handouts and overheads with the same participants.*
- *Make changes so that the workshop is more interesting, and not so predictable.*
- *Reinforce to the facilitators: be less concerned about the agenda checklist and more concerned about customizing the workshop to meet the needs of the participants. Consider the unique needs and situation for the participants, and determine if certain items can be covered before or after the partnering workshop, and/or at a follow-up partnering workshop/meeting.*

□ INTRODUCTION:

Outcome: Introduce the participants to the workshop and each other.

Step#1	The project leaders introduce themselves
Step#2	The participants introduce themselves
Step#3	The project leaders introduce the facilitator as the one supporting the partnering workshop process

Recommendation: Integrate “Introductions” into other agenda items when there is a large number of participants.

□ WORKSHOP KICKOFF

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

DESIGNING THE PARTNERING WORKSHOP

- Step#1 Project leaders (ADOT RE, Designer and contractor PM) establish that the workshop is for the benefit of the project team
- Step#2 Project leaders (ADOT RE, Designer and contractor PM) provide the project overview
- Step#3 The workshop agenda and packet are reviewed

□ PRINCIPLES OF PARTNERING (customized to fit the group)

Outcome: Review principles of Partnering.

- Step #1 Facilitator presents Partnering overview (what it is)
- Step #2 Facilitator explains the purpose of Partnering (why use it)
- Step #3 Facilitator lists the benefits of Partnering and allows participants to share relevant experiences

□ CHARTER (a written commitment of shared goals)

Outcome: Write a Project Team Charter.

- Step #1 Develop a mission statement, including team guidelines
- Step #2 Identify project goals (use the 5 standard goals and identify additional ones, as needed)
- Step #3 Develop objectives (specific to this project and measurable)
- Step #4 All project team member's sign the charter

Recommendation: to facilitate this portion, use a draft charter, if co-developed before the workshop

□ ISSUE RESOLUTION PROCESS

Outcomes: Develop the Issue Resolution/Escalation Ladder

Receive the Issue Resolution Ladder reporting form

Understand the Issue Resolution Process

NOTE: to facilitate this portion, use a list of key issues generated before the workshop

- Step #1 Explain and define the Issue Resolution Process and its importance
- Step #2 Identify issues (i.e. policy, business etc.) and prioritize, as needed
- Step #3 Discuss and resolve as many issues as possible
- Step #4 Develop action plans to address unresolved issues
- Step #5 Develop the Issue Resolution Ladder

□ EVALUATION PROCESS

Outcome: Understand the Partnering Evaluation Program (PEP) by which the team and project can be measured. Develop agreements for the timing of regular evaluations. Reach agreement that the Project Leaders will take action when PEP reports indicate problem(s).

- Step #1 Facilitator explains the purpose of measurement & the evaluation process

DESIGNING THE PARTNERING WORKSHOP

- Step #2 Use the 5 standard goals, develop definitions of the 5 standard goals on a standardized PEP (Partnering Evaluation Program) form, and add any additional project goals, with definitions, to measure the success of the project and team:
- ◆ Quality
 - ◆ Communication
 - ◆ Issue Resolution
 - ◆ Team Work/Relationships
 - ◆ Schedule

Recommendation: to facilitate this portion, use the standard project goals-with some sample sub goals co-developed by leaders before the workshop. Identify PEP-sub goals, not just explain process; develop more specific action plans, rather than just “talk” about the issues; resolve issues together as a team by starting at the level closest to the work and ask “what needs to be done?” For examples of possible sub goals, refer to the PEP Rating form and sample, located in the Fine Tuned Partnering Processes- handout #21a&b.

- Step #3 Determine frequency of evaluation
Guidelines:
- | | |
|-------------------|---|
| 3 months or less- | Evaluate at close-out |
| 3-12 months- | Evaluate monthly and at close-out |
| 1 year or more | Evaluate monthly and at project close-out.
Consider using mid-term refresher workshops at major milestones or as needed. |
- Step #4 Clarify the role of the responsible ADOT & contractor employees in the evaluation process, emphasizing the importance of their responsibilities to assure that the evaluations occur on a timely basis, with input from all affected parties
- Step #5 ADOT & the Contractor agree that their 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). Team celebrations are a vital part of recognizing positive performance and enhancing relationships.
- Step #6 ADOT & the Contractor agree that their Project Leaders take action when PEP reports indicate a problem(s). Actions may include (but are not limited to): focus on the issue identified at the weekly meetings; pre-activity meetings which include agreements for working effectively together; field level Partnering workshops or classes (“How to Make Partnering Work in the Field”); refresher workshop for all Stakeholders; facilitated problem solving; mediation.

NOTE: The above action will take place at the monthly status meetings.

DESIGNING THE PARTNERING WORKSHOP

□ CLOSING

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

- Step#1 Review agreements generated during the workshops, and check for team members' commitment
- Step#2 Clarify next steps (e.g. 1st project meeting, report distribution, etc.)
- Step#3 Ask for closing comments, first from team members, then from the project leaders
- Step#4 Complete and return workshop feedback sheet
- Step#5 Place great importance on agreements that need follow-up and monitoring (e.g. evaluation, issue resolution, action items, etc.).

PARTNERING WORKSHOP HANDOUTS:

(Utilize Applicable Handouts)

- Communication Matrix/Sign-In Sheet
- Feedback Form
- Consensus Checklist
- Ground rules
- Workshop Agenda
- Partnering Process
- Partnering Overview
- What Partnering Is and Is Not
- Sample Charter
- Key Resolution Factors Card
- Action Plan
- Issue Resolution Ladder Overview
- Issue Resolution Ladder & Rules
- Issue Resolution Ladder Key Points
- Routing Form (Resident Engineer Level)
- Routing Form (District Engineer Level)
- Guidelines for Issue Resolution
- Steps to Resolve Issues on the Job
- Role of the Project Champions
- Evaluation Process Highlights
- Partnering Evaluation Program (PEP)
- PEP Chart
- Partnering Rating Form (2 sheets)
- How to make the Partnering Evaluation Program work for your Team
- Partnering close-out Rating Form (3 sheets)
- Weekly Meeting Format Guideline
- Partnering Champion Card

Phases of Addressing Project Issues & Concerns

(Pre-Workshop)

Identify issues before Partnering Workshop

Key Project participants define major issues & project concerns (pre-partnering) share relevant information to help customize Workshop.
NOTE: (See Planning for the Workshop Pre-Partnering for Success Document)

Agreements for Pre-Partnering
* Disclosure
* Consequences?
* Plans & Special Provisions
* Red Flags!

(Workshop)

Explain and define the Issue Resolution Process Rules and their importance

Review Guidelines for Issue Resolution

Discuss Team Members roles and responsibilities (what the various roles can and cannot do)

Add, categorize and prioritize issues as needed

Issue Categories:
• Tech or Spec Issues
• Policy Issues
• Admin. Issues
• Business Issues

Specifications or Technical requirements cannot be changed by a committee or by consensus. Appropriate processes must be used to achieve any needed change

Discuss & resolve as many issues as possible in the workshop

Decision makers must be in workshop

Write action plans for any unresolved issues

Action Plan Format

Complete Issue Resolution Ladder Sheet

Review Ladder Form

* Assign names & time frames to the Issue Resolution Ladder Form
* Customize Operational Level

Partnering Workshop Ends

(Post Workshop)

RE/Contractor PM carry on & communicate the Resolution Process for this Project

Resolution Process (Ongoing)
Inform all new personnel on Resolution Process

Hold daily meetings if necessary

Weekly Meetings to include, identify & review issues. Review PEP results monthly. Develop action plans to celebrate or improve

Resolve Operational Issues develop action plans and/or agree to escalate unresolved issues

• Action Plans Completed
• Escalation is in accordance with the Issue Resolution Ladder
• Project team compiles all Escalated Issues for review at Close-out

When a formally escalated issue is resolved, a copy of the results are sent to the Partnering Office for distribution

If appropriate, conduct facilitated problem solving; mediation; field level Partnering Workshops or conduct "How to make Partnering Work in the Field" Class

• Evaluate health of Partnering
• Reinforce Partnering Principles

The Project Close-Out Workshop reports includes comments about the overall Partnering on the project, success stories; lessons learned

• Project Team reviews successes, challenges, lessons learned, escalated issues, Supplemental Agreement Tracking System (SAT's) reports; Plans & Specs Review forms
• Celebration of Team/Individual(s)

The Partnering Office distributes the Close-Out Report to the appropriate offices

GUIDELINES FOR ISSUE RESOLUTION

- 1) Know your project intimately, and be aware of unspoken conflicts.
- 2) Identify and clearly define issues openly and honestly. This enables the project team to resolve and learn from them. Issue resolution is an essential and valuable part of the industry's and ADOT's business practices.
- 3) Issues need to be fully defined at the Resident Engineer's level.
- 4) Look at what is common between the parties and what variances exist between the parties. If you can find a commonality it dissipates the negative energy of the differences. Then you can work on solutions to the differences.
- 5) Address problem solving through brainstorming possible solutions first, selecting the best option. ("We should not escalate so quickly").
- 6) All effected parties should be involved in all significant discussions of the issue resolution.
- 7) Look at the issue from the other person's point of view in order to better understand his/her perspective.
- 8) Focus on the issues, deal in facts and avoid "personalities"; this is not a test of wills, or a "score-keeping" exercise. Avoid blame. This helps to maintain positive relationships.
- 9) Negotiation - Fair/Fair. Find a peaceful middle ground between parties where all parties accept a position that allows them to save dignity. "Remember the things we've done for one another?" If you can't get to a fair/fair, then agree to disagree and escalate together.
- 10) Keep your cool when the discussion gets heated.
- 11) Seek advice from more experienced personnel. This is a valuable part of the process and is encouraged. (This is not an escalation, we are problem solving).
- 12) Seek out issues during each weekly meeting and ask for individual input. Review the charts, graphs and comments found in the Partnering Evaluation Program (PEP). PEP reports should be reviewed monthly, at a minimum.
- 13) Assure that both the technical issues are resolved and their fiscal impacts are generally agreed upon at the same time. Decision makers must be empowered to fully resolve the issue, both technically and monetarily, even if they may not prevail.
- 14) When escalating an issue, honor the time pledges committed to during the partnering workshop.
- 15) Time pledges must consider the impact that the issue will have on the project. Parties must agree upon a time limit that reflects the urgency and use the time pledges as a guideline. Issues involving lost time, safety and monetary impact must be dealt with immediately.
- 16) Time pledges may be modified depending upon the issue and are **agreed** upon among key players.
- 17) Know that saying "I don't know" is acceptable, and should be viewed as an opportunity for learning.
- 18) Clearly understand the various levels of authority of other team members. Do not stop Talking.

RESOLVING CONSTRUCTION PROJECT ISSUES IN AN EFFECTIVE AND TIMELY MANNER

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 proactive approach to understanding work elements helps teams to identify issues earlier, which can lead 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.

Using the elements within this process will help team members’ focus on the following objectives:

- Help the RE’s and the contractor PM’s resolve issues in a timely and effective manner.
- Encourage the DE’s and contractors’ upper management to take a more active role in the issue resolution process.
- Help team members learn how to handle similar issues in the future.
- Help field staff, both ADOT and Contractor understand some of the specific, standard challenges that occur on ADOT projects and how and when to escalate these issues.
- Help all team members better understand the roles and responsibilities at the various escalation levels.

The recommended actions will need to occur in two separate arenas:

- 1) In conjunction with each ADOT project in 3 stages; pre-partnering, partnering and during the project.
- 2) As overall education/training opportunities for ADOT staff, consultant staff and contractor staff.

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 ADOT 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.

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 Close-out of the Project

Prior to the Partnering Workshop

- In an effort for ADOT, consultant staff and the contractor to gain a better understanding of issues surrounding the project, it is recommended that project issues, challenges and concerns be listed from multiple perspectives. Examples of possible project issues include environmental, traffic, quantities, accuracy of the plans, other stakeholder involvement, new means and methods, etc. Identification of these issues provides a number of opportunities to provide information with which to make the decisions on the length of the partnering workshop; getting a preliminary start on resolving the issues before the project even starts; and formulating plans for resolution. This should reduce the number of challenges on the site during the project because everyone already knows and has formulated, at a minimum, a preliminary plan to resolve the issues.
 - It is recommended that this information come from ADOT and/or consultant staff and the contractor, along with their subcontractors.
 - ADOT and consultant personnel need to make sure that they go into this process with the idea of reducing the number of on site issues and not to assume that this effort is being used by the contracting community to “make up their bid.” All stakeholders need to be open, honest and upfront about their project concerns.
 - The role of field level personnel should be clearly defined and their authority (or lack there of) to “make the call” regarding specifications and contractual obligations be understood up front. An agreement to quickly inform the RE/Contractor PM level of such issues without judgment should be in place.
- The industry is experiencing continued challenges with the level of experience of on site staff. This can include ADOT, consultant and contractor staff. It is suggested that if either the contractor or ADOT and/or consultant staff feel they have less experienced staff in the field, the DE for ADOT and the contractor’s upper management are to meet and discuss the potential challenges and opportunities that may be encountered during the job. Then, they should plan on meeting with the Contractor PM and the RE to discuss ways to help each side learn from each other on the project. This will take some very open and honest communication as well as a strong level of trust on all sides. The

focus should be on avoiding some of the less experienced approaches to issue resolution, which usually means a very hard line approach and a very “black and white” view of the plans, specifications and bid documents.

During the Partnering Workshop

- Establish the Issue Escalation Plan and discuss the expectations of how and when the plan will be used. This should include an open discussion as to what constitutes a disagreement and at what point do we “agree to disagree”. What is the trigger point?
- Establish maximum time goals at each level for resolving an issue and the rules for meeting or changing the times. More recently, the partnering process has not required that time frames be established, however, more and more issues remain unresolved far too long. This begins to erode working relationships and breaks down the ability to be good partners. It is recommended that timelines be established.

It is a challenge to set time frames for the different levels. Some may use the time as a weapon, by either demanding a quick, unnecessary escalation or by dragging their feet; which can result in actions detrimental to the project/relationship. Consider the following when establishing the rules for time changes: What is the potential cost and schedule impact, how long do you have until schedule is impacted, how long will resolution take (i.e. have all the stakeholders been contacted, is all the information to make a decision available, how much time is needed to assemble, is there a need to perform field investigation, etc.?) For example, if cost is estimated at \$1M, does the RE/Contractor PM level even work on it? Consideration must also 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.

- If project personnel experience levels are low, or if the project is highly complex and impact on the public is high, it is recommended that the DE and contractor’s upper management 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. It needs to be stated that this is not being suggested as an effort to circumvent the authority of each of the levels, but to help ensure that issues keep moving through the process in a positive manner with no negative impacts to the working relationship between ADOT, consultant and contractor staff.
- Discuss the roles, responsibilities and authority levels at each of the escalation levels for ADOT, consultant, and contractor personnel. If there are additional stakeholders (City, County, etc.) that will be involved in the decision-making process, their roles, responsibilities and authority levels also need to be understood. This will provide an understanding of decision making empowerment for issues involving changes to the plans and specifications, authorization of spending additional money, authorizing additional contract time, authorizing time and material sheets, etc.

- Develop a plan, using the contractor's baseline schedule, of standard and potential special pre-activity meetings. The pre-activity meetings should encourage all of the team members discuss an upcoming project elements. Open and honest discussions make sure there are no surprises or misunderstandings of work to be accomplished, unrealistic expectations of the work, or the inspection of the work. Reviewing the appropriate Inspection Checklists at this time will also help alleviate potential problems during the activity and should reduce the number of issues that arise. It is recommended that once these meetings have been identified, they should be added to the contractor's schedule as an actual scheduled event. This assures that the meeting occurs.

During the Project

- The focus of effective problem solving should always be to learn as much about the issues as possible, which includes getting information from ADOT, design, the contractor, and other key stakeholders. Issue resolution should be used as an opportunity to educate one another, not for taking sides or resorting to adversarial behaviors. The focus should be on asking questions to gain understanding. It is not about questioning one's authority or finding someone to blame.
- Another priority should always be on the timely resolution of any issue. The longer an issue remains unresolved, the more negative the impact it will have on the project. Do not wait to resolve issues or allow them to pile up. Each issue should stand on its own merit.
- The DE and the RE should walk/drive the project as often as needed to discuss project issues and concerns and should focus on finding "common sense" approaches to issue resolution. The frequency will vary depending on RE's experience level and knowledge of specific construction activities. A "lessons learned" activity should be conducted between the DE and RE on all issues that have been encountered at approximately the halfway point in the project, or as deemed appropriate by the DE.
- The contractor's project management staff and upper management should also walk/drive the project as often as needed to discuss project issues and concerns and should focus on finding "common sense" approaches to issue resolution. The frequency will vary depending on the contractor PM's experience level and knowledge of specific construction activities. A "lessons learned" activity should be conducted between the contractor's PM and upper management on all issues that have been encountered at approximately the halfway point in the project, or as deemed appropriate by the contractor's upper management.
- When issues arise at any specific level, that level is responsible for identifying whether or not they have the authority to resolve the issue. Which means, "are they empowered to make the decision?" If they are not empowered to make the decision, the issue should be escalated immediately and jointly by both parties.
- Once an issue is escalated, it is incumbent upon the next level to 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. The RE and contractor PM must agree on this approach during the partnering workshop before the project begins.

- Each stakeholder should come prepared for the escalation meeting. A checklist has been included (See Attachment) to help gather the appropriate information that should be brought to and included with the meeting. The escalation meeting is a great opportunity for each member to practice his/her listening, problem solving and negotiation skills. In order for any negotiation to be effective, preparedness is absolutely critical. Resolutions must be substantiated with facts, i.e. plans, specifications, testing results, costs, etc.
- It is recommended that each level be asked to attend the next level's escalation meeting. However, the previous level members will not take part in the discussion unless asked a specific question. Their role is to observe the process, understand approaches and hear the resolution. This is especially critical if there is a reversal in a decision. This provides an opportunity for all levels to learn that there are different ways to approach project issues. The meeting should be scheduled so that those on each of the levels can attend.
- A "lessons learned" meeting with all levels of ADOT staff needs to be scheduled after the successful conclusion of an escalation meeting and should include open discussion by the level that resolved the issue. The contractor should schedule a similar meeting or both ADOT and the contractor's staff meet together to conduct the "lessons learned" meeting. The meeting may occur immediately after the escalation meeting while all appropriate staff members are still there. If resolution was at the DE and contractor's Upper Management level, the DE and contractor's upper management are responsible to schedule time to educate the team as to the reasons for the decision and to provide more details. The discussion should include the merit and facts of the issue, the nature of the disagreement, the responsibilities of each stakeholder has committed to.
- 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. Team members should not leapfrog on the escalation ladder. 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.
- 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 it 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 find out "why" the escalation has been requested.
- Appropriate escalation forms need to be completed. These forms must be completed at the RE and contractor's PM level if the issue is going to be escalated to the DE level. It is imperative that the issue and the reasons for escalation are documented. Signatures from both the RE and the contractor's PM must be on the forms.
- Once the forms are complete, they must be forwarded, per the instructions for that level, to all designated recipients. This form will help identify the types of issues that are being escalated, which may help ADOT identify additional training that may be required, specification changes that need to occur, and process improvements that may be needed.

- Throughout the project conduct brown-bag training sessions on specific types of issues and the issue resolution process. Include ADOT and/or consultant staff and contractor staff and invite them all to provide topics for training.

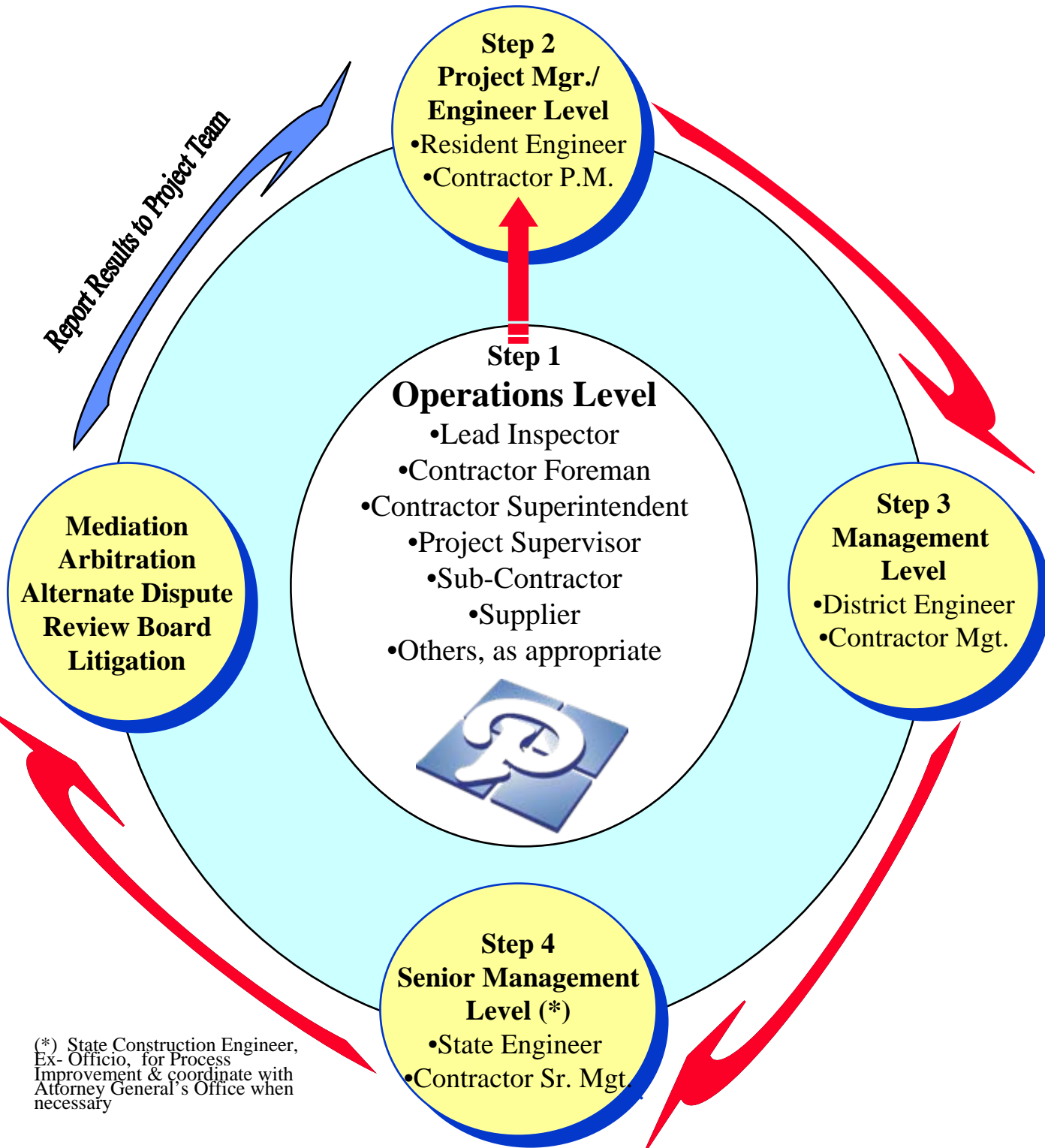
Close-out the Project

The Close-out Workshop, whether it is formally facilitated or not, is the team's opportunity to review "lessons learned" and identify opportunities for future projects within the District or statewide. The workshop should include as many stakeholders as possible and include a discussion of the issue resolution process and the issue escalation ladder. Discuss what worked, what didn't work and what can be done differently the next time to improve the process.

IN CONCLUSION

Since partnering is the way ADOT does business, commitment to the proper use of the issue resolution process is critical to our success. Mentoring new comers and monitoring the process at every level requires 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 through open and honest communication, and maximize program delivery.

Issue Resolution/Escalation Ladder



ISSUE RESOLUTION/ESCALATION LADDER

Level	ADOT	Contractor	(*) Time
Step 1 Operations Level	_____ _____ _____	_____ _____ _____	
Step 2 Prj Mgr / Engr Level RE / C.PM	_____ _____ _____	_____ _____ _____	
Step 3 Management Level DE / C.MGMT	_____ _____ _____	_____ _____ _____	
Step 4 Senior Mgmt Level SE / C.Sr.MGMT	_____ _____ _____	_____ _____ _____	

RE = Resident Engineer **C.PM** = Contractor PM **DE** = District Engineer **C. MGMT** = Contractor Management
SE = State Engineer **C. Sr. MGMT** = Contractor Senior Management

RULES

Issues need to be clearly defined by all parties. Deal with pertinent facts, separate the technical issues from policy issues and business issues, maintaining the original definition throughout the escalation process.

Once defined, document the issue and give a status review for the next level to consider, and utilize the appropriate form at every level.

Either party may initiate “escalation”, but acknowledgment and signatures are required by both parties. 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

Once an issue is in the process, it should be resolved at the level closest to the issue.

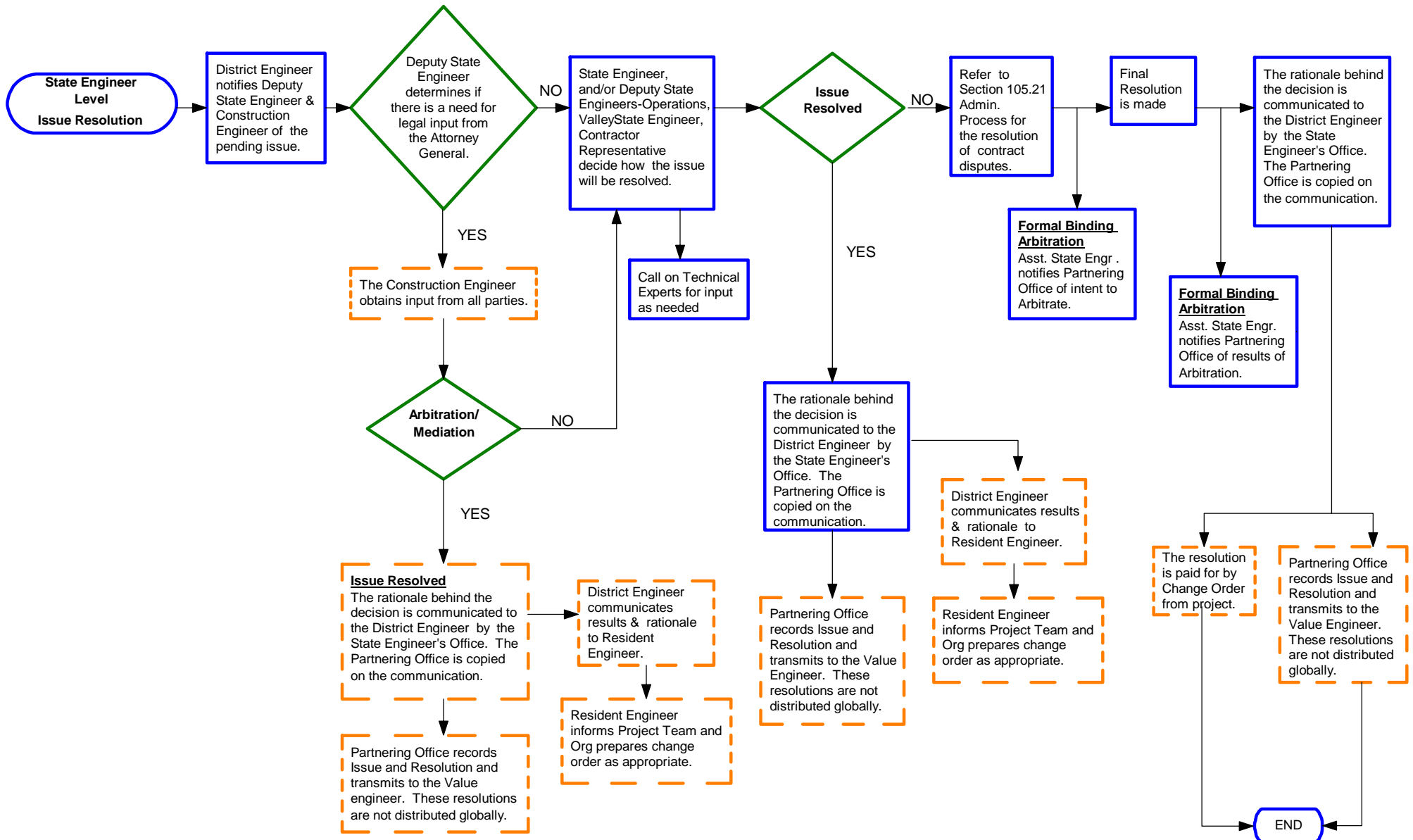
The partners that reached the resolution will assure that the resolution information is communicated in writing, including the rationale (technical, versus policy, versus business) for the resolution, to all affected parties.

Problems are to be resolved in accordance with the resolution ladder developed in the partnering workshop. There should be no “leapfrogging” on the issue resolution ladder.

Individuals shall make decisions that are within their expertise and comfort level. “No one has the right to delay a project. If you don’t feel comfortable with the decision you’re being asked to make, escalate it.” When scheduling escalation meetings, collaborate on attendees.

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

CONSTRUCTION ISSUE RESOLUTION AT THE STATE ENGINEER'S LEVEL



STANDARD GOALS TO EVALUATE PROJECTS & PROJECT RELATIONSHIPS

- * Quality
- * Communication
- * Issue Resolution
- * Team Work/Relationships
- * Schedule

EVALUATION

Purpose:

- * Time to be heard and speak up, a forum for all perspectives
- * Helps ADOT and Contractor lead a healthy project
- * Brings awareness to project issues
- * Generates feedback on an ongoing basis to deal with project issues
- * Reflects how partnering is going statewide
- * Promotes a streamlined, more meaningful process (more precise and accurate).

EVALUATION PROCESS

During Workshop

- Step #1 Facilitator explains the purpose of measurement & the evaluation process
- Step #2 Define the five standard goals, develop additional goals for healthy projects/relationships and add those to the five standard goals and definitions on the standardized Project Evaluation form
- Step #3 Determine frequency of evaluation
- Guidelines:
- | | |
|-------------------|--|
| 3 months or less- | Evaluate at close-out |
| 3-12 months- | Evaluate monthly and at close out |
| 1 year or more | Evaluate monthly, at milestones and at close out |
- Step #4 Clarify the role of the responsible ADOT & contractor people in the evaluation process, emphasizing the importance of their responsibilities to assure that the evaluations occur on a timely basis, with input from all affected parties
- Step #5 ADOT & contractor people agree that the Project Leaders will take action when PEP reports indicate a problem(s). Actions may include (but not be limited to) facilitated problem solving; mediation; field level Partnering workshops or classes “How to Make Partnering Work in the Field”; re-fresher workshop for all Stakeholders; pre-event meetings which include agreements for working effectively together, etc.; focus at the weekly meetings on the issue identified through PEP.

Post Workshop

- Step #6 Conduct evaluations (i.e. individual input, during weekly, monthly meetings, ongoing etc.) and take appropriate action based on the input
- Step #7 ADOT person compiles evaluation data and distributes the various PEP reports to appropriate project team members
- Step #8 Partnering Consultant reviews monthly PEP data and follows up with RE/PM as needed to assist team in resolving issues
- Step #9 Project Close Out data reflects the overall health of Partnering and lessons learned are shared for continuous improvement

PARTNERING EVALUATION PROGRAM (PEP) PROCESS RATING FORM - CONSTRUCTION

Project Number: _____ TRACS Number: _____
 Project Description: _____
 Period Being Evaluated: _____

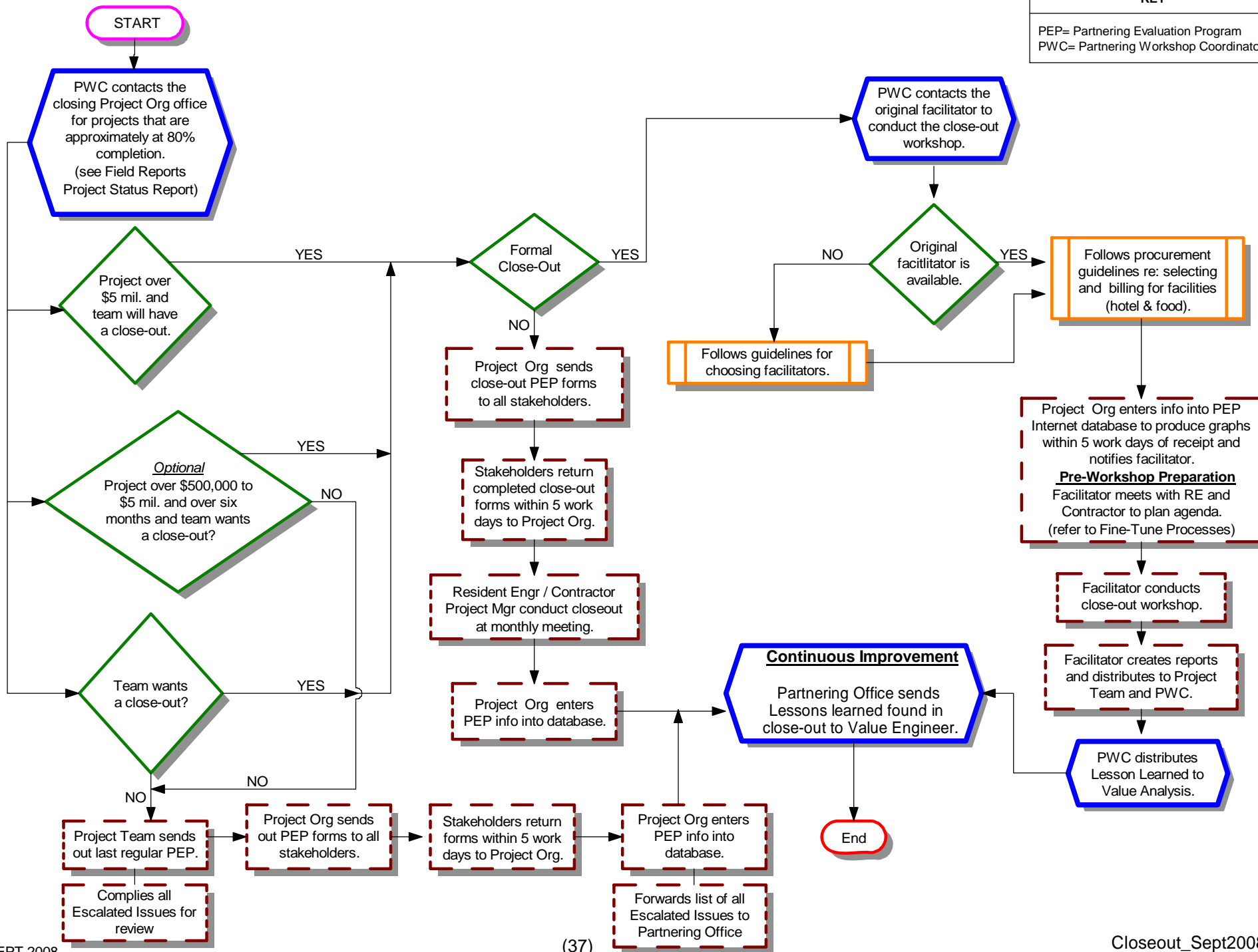
Standard Evaluation Goals

Evaluation Criteria and Scores

<p>(1) Quality</p> <p>The <u>process</u> to construct and document quality has:</p> <p>SUB-GOALS: Workmanship, Document Control Material Quality, Achieve 100% of Quality Incentives.</p>	<table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 15%;">Significant Problems</th> <th style="width: 15%;">Performed below Expectations</th> <th style="width: 15%;">Met Expectations</th> <th style="width: 15%;">Exceeded Expectations</th> <th style="width: 10%;"></th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">0.5 1.0 1.5</td> <td style="text-align: center;">2.0 2.5</td> <td style="text-align: center;">3.0 3.5</td> <td style="text-align: center;">4.0</td> <td style="text-align: center;">Don't Know</td> </tr> </tbody> </table> <p>Comments: Document Control Needs Improvement, Quality Incentives are at 65%</p> <p style="text-align: right;"> <input checked="" type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition </p>	Significant Problems	Performed below Expectations	Met Expectations	Exceeded Expectations		0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0	Don't Know
Significant Problems	Performed below Expectations	Met Expectations	Exceeded Expectations								
0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0	Don't Know							
<p>(2) Communication</p> <p>The <u>process</u> of timely, accurate information flow is:</p> <p>SUB-GOALS: Receive information in a timely manner Develop distribution list (return capability with email) Communicate issues to Weekly Project List</p>	<table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 15%;">Below Levels to Support Project</th> <th style="width: 15%;">At Marginally Acceptable Levels</th> <th style="width: 15%;">At Expected Levels</th> <th style="width: 15%;">Exceeding Expectations</th> <th style="width: 10%;"></th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">0.5 1.0 1.5</td> <td style="text-align: center;">2.0 2.5</td> <td style="text-align: center;">3.0 3.5</td> <td style="text-align: center;">4.0</td> <td style="text-align: center;">Don't Know</td> </tr> </tbody> </table> <p>Comments: Communications are excellent, all information is being received in a timely manne</p> <p style="text-align: right;"> <input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input checked="" type="checkbox"/> Provide Recognition </p>	Below Levels to Support Project	At Marginally Acceptable Levels	At Expected Levels	Exceeding Expectations		0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0	Don't Know
Below Levels to Support Project	At Marginally Acceptable Levels	At Expected Levels	Exceeding Expectations								
0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0	Don't Know							
<p>(3) Issue Resolution</p> <p>Team members and their counterparts identify issues and find that the <u>process</u> of timely resolution or escalations is:</p> <p>SUB-GOALS: Resolve Issues at earliest opportunity. Anybody has power to escalate Follow escalation ladder. Experience no delays associated with failure to escalate. Clarify the issues before escalating.</p>	<table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 15%;">Not Functioning</th> <th style="width: 15%;">Functioning, but Untimely</th> <th style="width: 15%;">Established and Functioning</th> <th style="width: 15%;">Exceeding Expectations</th> <th style="width: 10%;"></th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">0.5 1.0 1.5</td> <td style="text-align: center;">2.0 2.5</td> <td style="text-align: center;">3.0 3.5</td> <td style="text-align: center;">4.0</td> <td style="text-align: center;">Don't Know</td> </tr> </tbody> </table> <p>Comments: Issues need to be clarified before escalating, some team members need trainin in the escalation ladder process</p> <p style="text-align: right;"> <input type="checkbox"/> Take Action <input checked="" type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition </p>	Not Functioning	Functioning, but Untimely	Established and Functioning	Exceeding Expectations		0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0	Don't Know
Not Functioning	Functioning, but Untimely	Established and Functioning	Exceeding Expectations								
0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0	Don't Know							
<p>(4) Team Work & Relationship</p> <p>Interrelationships of team members are understood and an open and coordinated effort by all members has:</p> <p>SUB-GOALS: Maintain cooperative and helpful attitude. Be responsive to requests for help. Be open to new ideas & innovative solutions. Communicate when working outside of individual and organizational boxes.</p>	<table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 15%;">Not Yet Been Achieved</th> <th style="width: 15%;">Occurred in Most Cases</th> <th style="width: 15%;">Met Expectations</th> <th style="width: 15%;">Exceeded Expectations</th> <th style="width: 10%;"></th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">0.5 1.0 1.5</td> <td style="text-align: center;">2.0 2.5</td> <td style="text-align: center;">3.0 3.5</td> <td style="text-align: center;">4.0</td> <td style="text-align: center;">Don't Know</td> </tr> </tbody> </table> <p>Comments: We have good cooperation with most team members, we have open communication among team members, this job is a pleasure to work on</p> <p style="text-align: right;"> <input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input checked="" type="checkbox"/> Provide Recognition </p>	Not Yet Been Achieved	Occurred in Most Cases	Met Expectations	Exceeded Expectations		0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0	Don't Know
Not Yet Been Achieved	Occurred in Most Cases	Met Expectations	Exceeded Expectations								
0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0	Don't Know							
<p>(5) Schedule</p> <p>The <u>process</u> to monitor and assure the project's completion is:</p> <p>SUB-GOALS: Do everything necessary: To anticipate possible delays To maintain or accelerate the schedule</p>	<table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 15%;">Unresponsive</th> <th style="width: 15%;">Marginally Successful</th> <th style="width: 15%;">Meeting Expectations</th> <th style="width: 15%;">Exceeding Expectations</th> <th style="width: 10%;"></th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">0.5 1.0 1.5</td> <td style="text-align: center;">2.0 2.5</td> <td style="text-align: center;">3.0 3.5</td> <td style="text-align: center;">4.0</td> <td style="text-align: center;">Don't Know</td> </tr> </tbody> </table> <p>Comments: Project schedule dates are being met 90% of the time</p> <p style="text-align: right;"> <input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input checked="" type="checkbox"/> Provide Recognition </p>	Unresponsive	Marginally Successful	Meeting Expectations	Exceeding Expectations		0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0	Don't Know
Unresponsive	Marginally Successful	Meeting Expectations	Exceeding Expectations								
0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0	Don't Know							

CLOSE-OUT WORKSHOP PROCESS

KEY
PEP= Partnering Evaluation Program
PWC= Partnering Workshop Coordinator



GLOSSARY OF TERMS

- **Adversarial** – Having a hostile, opposing attitude
- **Brainstorming** – Generating ideas and perspectives from all participants without judgment
- **Charter** – A document defining the common mission, goals, guidelines and key agreements of the partnership team members
- **Commitment** – A pledge to some particular course of action
- **Communication** – The exchange of thoughts, messages, or information, using speech, signals, writing, or behavior.
- **Compromise** – A settlement of differences reached by mutual concessions
- **Consensus** – Decision/agreement that best reflects the thinking of all group members. A proposal acceptable enough that all members can support its implementation
- **Cooperation** – Act jointly with others, keeping all interests in mind
- **Equity** – All stakeholders' interests are considered in creating mutual goals
- **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
- **Facilitated Problem Solving** – Facilitated Problem Solving is a process that utilizes a 3rd party to facilitate a resolution to a dispute. The 3rd 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
- **Fair-Fair** – All parties find the outcomes achieved to be just and satisfactory
- **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** - An issue is defined as 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 assure correct understanding of action to be taken
- **Issue Resolution Process** – A process that consists of identifying and resolving issues, action planning, and follow-up agreements
- **Mediation** – Mediation is a confidential process that utilizes a neutral 3rd party to assist disputants in collaborative problem solving. Typically, the 3rd party facilitator is bound by law to complete non-disclosure of the events and proceedings of the mediation process and they are protected from legal discovery.
- **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, which are identified by all those involved
- **Negotiate** – To confer with another so as to arrive at the settlement of some matter
- **Partnering** – A process of collaborative teamwork to achieve measurable results through agreements and productive working relationships
- **Partners** – Anyone involved in the project's daily operations.
- **Stakeholders** – Any person, group or entity who has an interest in or is affected by the outcome of the project or partnership
- **Synergy** – Cooperative interaction among groups that creates an enhanced combined effect greater than the sum of their individual efforts
- **Team** – A group of individuals working together to complete a specific task within a specific time frame; the aim of teamwork is to create group synergy
- **Trust** – Having confidence in the truth and good intentions of the person's actions and words
- **Win-Win** – All parties achieve their desired outcomes. Win-Win thinking encourages cooperation and creativity to achieve the best possible solution to issues or problems



Partnering Evaluation Program (PEP) CONSTRUCTION

"Partnering, the way ADOT does business"

Partnership Project Name: _____ TRACs Number: _____

Your Name: _____ Your Company: _____

Period Being Evaluated: _____

Evaluator Type: ADOT Contractor Sub-Contractor Supplier Other

OPTIONAL: You may complete your evaluation online at <https://www.azdot.gov/websignon>

Please visit the Partnering Office website for additional information about Partnering and PEP online Evaluations

<http://www.azdot.gov/ccpartnerships/Partnering>

Feel free to contact the Partnering Office with your questions and comments 602.712.7120

PEP Training is available to all Partnership Members. Training is available at our location or yours.

Effective Comment

"We need more training in how to resolve conflict"

"I don't receive notification about changes to the concrete pouring schedule"

Ineffective Comment

"Poor relationships between team members"

"Poor communication between contractor and agency"

1. Quality

The process to conduct our business in a quality manner is:

Significant Problems	Performed below Expectations		Met Expectations	Exceeded Expectations	Don't Know
	0.5	1.0 1.5			
Comments:					
CHECK ONE: Take Action Neutral Provide Recognition					

2. Communication

The process of timely, accurate information flow is:

Significant Problems	Performed below Expectations		Met Expectations	Exceeded Expectations	Don't Know
	0.5	1.0 1.5			
Comments:					
CHECK ONE: Take Action Neutral Provide Recognition					

3. Issue Resolution

Team members identify issues & find the process of timely resolution or escalation is:

Significant Problems	Performed below Expectations		Met Expectations	Exceeded Expectations	Don't Know
	0.5	1.0 1.5			
Comments:					
CHECK ONE: Take Action Neutral Provide Recognition					

4. Team Work & Relationships

The process of understanding Interrelationships of team members and an open and coordinated effort by all members has:

Significant Problems	Performed below Expectations		Met Expectations	Exceeded Expectations	Don't Know
	0.5	1.0 1.5			
Comments:					
CHECK ONE: Take Action Neutral Provide Recognition					



Partnering Evaluation Program (PEP) CONSTRUCTION

"Partnering, the way ADOT does business"

5. Schedule

The process to monitor and ensure that schedule commitments are delivered is:

Significant Problems	Performed below Expectations	Met Expectations	Exceeded Expectations	Don't Know
0.5 1.0 1.5	2.0 2.5	3.0 3.5	4	N/A
Comments:				
CHECK ONE: Take Action Neutral Provide Recognition				

Optional Goals

6.

Significant Problems	Performed below Expectations	Met Expectations	Exceeded Expectations	Don't Know
0.5 1.0 1.5	2.0 2.5	3.0 3.5	4	N/A
Comments:				
CHECK ONE: Take Action Neutral Provide Recognition				

7.

Significant Problems	Performed below Expectations	Met Expectations	Exceeded Expectations	Don't Know
0.5 1.0 1.5	2.0 2.5	3.0 3.5	4	N/A
Comments:				
CHECK ONE: Take Action Neutral Provide Recognition				

8.

Significant Problems	Performed below Expectations	Met Expectations	Exceeded Expectations	Don't Know
0.5 1.0 1.5	2.0 2.5	3.0 3.5	4	N/A
Comments:				
CHECK ONE: Take Action Neutral Provide Recognition				

9.

Significant Problems	Performed below Expectations	Met Expectations	Exceeded Expectations	Don't Know
0.5 1.0 1.5	2.0 2.5	3.0 3.5	4	N/A
Comments:				
CHECK ONE: Take Action Neutral Provide Recognition				

10.

Significant Problems	Performed below Expectations	Met Expectations	Exceeded Expectations	Don't Know
0.5 1.0 1.5	2.0 2.5	3.0 3.5	4	N/A
Comments:				
CHECK ONE: Take Action Neutral Provide Recognition				

WEEKLY MEETING FORMAT GUIDELINE

Project Name: _____ **Date:** _____

Project #: _____ **Place:** _____

Name	Company/Organization	Name	Company/Organization
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

The following topics were discussed, noting actions taken/planned and any other relevant comments.

Topics _____ Actions (Who & When) _____ Comments _____

**Follow-Through From
Previous Meetings**

The Construction Schedule

**Construction Activities
Problems And Solutions**

**Items Due Or Overdue
By The Contractor**

- QC Reports
- Certified Payrolls

**Items Due Or Overdue
By ADOT**

Safety And Traffic Control

**Partnering Action Items
Relationships and Issues**

**Key Partners Who Should Be
Advised About The Next Meeting**

**Partnering Evaluations
(Monthly Evaluations)**

Future Issues

ADOT: _____ Contractor: _____

WEEKLY MEETING GUIDELINES

- Weekly meetings should be an extension of the partnering workshop
- Use pre-developed agendas
- Include advance notice of future issues as agenda items
- Use the “minutes”/notes of the agenda discussions, especially agreements reached at the weekly meeting, with team assignments, as a tool for following through on items requiring further action
- Advise all key partners of the weekly meeting and expect their participation
- Conduct partnering evaluations, using the Monthly Evaluations, as a weekly meeting agenda item, with a focus on team effectiveness and working together
- E-mail copy of minutes to Partnering Consultant and other appropriate stakeholders

Highway
Location
Project Number

Pre-Activity Meeting
Agenda
for
XXXXXXXXXXXXXXXXXXXXXX

1. Introduction of Attendees
2. Scope (What, Where)
3. Applicable Documents – Designer/ADOT Project Supervisor or Resident Engineer
(Also, are there any Addendum's or Change Orders that are applicable?)
4. Basis of Design – Designer
5. Activity Work Outline and Schedule (What, Where, Who, When and How) – Contractor
6. Staking Plan – Contractor's Representative
7. Safety Requirements and Procedures – Contractor
8. Contractor's Quality Control Procedures – Contractor's Representative
9. Status of Submittals – ADOT Resident Engineer
10. Acceptance Criteria – ADOT Inspector/Other Agency Representatives / Introduce applicable Inspection checklist(s)
11. Method of Measurement/Basis of Payment – ADOT Project Supervisor or Resident Engineer
12. Open Discussion - Everyone

**PROJECT CLOSEOUT WORKSHOP
PARTICIPANT'S FEEDBACK OF WORKSHOP EFFECTIVENESS**

1. How valuable was this workshop for you?

This workshop was not valuable	This workshop was somewhat valuable	This workshop was valuable	This workshop was very valuable
0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0

2. What about this workshop was most valuable to you?

3. What would have improved the effectiveness of this workshop?

4. How do you rate the effectiveness of the Facilitator?

Was not effective	Was somewhat effective	Was effective	Was very effective
0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0

5. How do you rate the teams overall effectiveness?

Was not effective	Was somewhat effective	Was effective	Was very effective
0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0

6. What other comments do you wish to offer?

NOTE: For ratings of 0.5 to 2.5, please explain how the workshop could have been more valuable for you, or how the facilitator could have been more effective, or how the team's effectiveness in partnering could have been increased.

Also, for ratings of 3.0 to 4.0, please explain how the workshop was valuable for you, or how the facilitator was effective, or how the teams' effectiveness in partnering was demonstrated.

Name: _____

Organization: _____

Position: _____

FACILITATOR FEEDBACK ON PARTNERING WORKSHOP

(PLEASE RETURN THIS COMPLETED FORM WITH YOUR REPORT)

Project Name: _____
 Project # _____ TRACS # _____
 ADOT Org _____ Contractor _____
 Facilitator's Name _____ Workshop Date _____

1. Did the team display a good attitude towards partnering resulting in a high level of Cooperation?

PARTICIPANT / COMMENTS

Resident Engineer:

Project Manager:

Designer:

Other:

2. Was the project team sufficiently well-versed and familiar with the project scope and issues?

PARTICIPANT – Great (4) - Good (3) - Fair (2) -Poor (1) indicate level and add comments

Resident Engineer (4, 3, 2, 1,) _____

Project Manager (4, 3, 2, 1,) _____

Designer (4, 3, 2, 1,) _____

Others (4, 3, 2, 1,) _____

Add'l Comments _____

3. Was the length of the workshop/meetings sufficient for the scope and complexity of the project?

Comments _____

4. How would you rate the following characteristics of the workshop facility? _____

(facility name)

<u>QUALITY</u>	<u>LEVEL OF SERVICE</u>			
Cleanliness	Great (4)	Good (3)	Fair (2)	Poor (1)
Adequate Space	Great (4)	Good (3)	Fair (2)	Poor (1)
Customer Service	Great (4)	Good (3)	Fair (2)	Poor (1)
Food quality	Great (4)	Good (3)	Fair (2)	Poor (1)

What other comments do you have regarding the Workshop? _____

Routing Form for Construction Issue Resolution

Page: ___/___

Visit www.azdot.gov/CCPartnerships/Partnering/index.asp for a fillable electronic version of this form. Use additional sheets if necessary.

RESIDENT ENGINEER & CONTRACTOR PM LEVEL

Meeting Date: _____

Project Name: _____ Project No./TRACS: _____

ADOT Org: _____ Prime Contractor: _____

This is ___ A Policy Issue ___ An Administrative Issue ___ A Technical/Specifications 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(s)/Position/Organization: _____

Brief description of the issue needing to be resolved: _____

Brief description of the resolution(s) discussed: _____

Names of persons assisting with resolution at this level: _____

Additional comments or recommendations: _____

Issue resolved ___ Yes* SA Required? Y / N Plan Spec & Review Comment form completed? Y / N
at this level? ___ No Forwarded to next level on _____ (date)

ADOT Resident Engineer (Signature Required)

Contractor Representative (Signature Required)

ADOT Resident Engineer (Print/Type)

Contractor Representative (Print/Type)

* NOTE: Issues resolved at the RE level should be documented on the "Plan Specification and Review Comment Form" and sent to the Construction Group at MD172A for feedback to the Design Team when applicable, if a Supplemental Agreement was not required.

Routing Form for Construction Issue Resolution

Visit www.azdot.gov/CCPartnerships/Partnering/index.asp for a fillable electronic version of this form. Use additional sheets if necessary.

DISTRICT ENGINEER & CONTRACTOR MANAGEMENT LEVEL

Meeting Date: _____

Project Name: _____ Project No./TRACS: _____

ADOT Org: _____ Prime Contractor: _____

This is _____ A Policy Issue _____ An Administrative Issue _____ A Technical/Specifications Issue

Describe additional or alternative solutions considered: _____

Names of persons assisting with resolution at this level: _____

Additional comments or recommendations: _____

_____ Returned to RE/Contractor PM Level for 2nd attempt to resolve on _____
(date)

Issue resolved _____ Yes (Describe final resolution agreement below, use additional sheets as needed.)
at this level?
_____ No Forwarded to next level on _____ (date)

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

ADOT District Engineer (Signature Required)

Contractor Representative (Signature Required)

ADOT District Engineer (Print/Type)

Contractor Representative (Print/Type)

This resolution form and information was transmitted to the Partnering Office at MD175A and to the Construction
Group at MD172A for dissemination on _____ (date).

Routing Form for Construction Issue Resolution

Page: ___ / ___

Visit www.azdot.gov/CCPartnerships/Partnering/index.asp for a fillable electronic version of this form. Use additional sheets if necessary.

STATE ENGINEER & CONTRACTOR SENIOR MANAGEMENT LEVEL

Meeting Date: _____

Project Name: _____ Project No./TRACS: _____

ADOT Org: _____ Prime Contractor: _____

This is _____ A Policy Issue _____ An Administrative Issue _____ A Technical/Specifications Issue

Describe additional or alternative solutions considered: _____

Names of persons assisting with resolution at this level: _____

Additional comments or recommendations: _____

_____ Returned to DE/Contractor Mgt Level for 2nd attempt to resolve on _____ (date)

Issue resolved _____ Yes. Describe final resolution agreement below, use additional sheets as needed.
at this level?

_____ No. Additional resolution measures will be determined and communicated to the involved parties within two weeks of this date _____. Supporting documentation will be attached as necessary.

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

ADOT State Engineer (Signature Required)

Contractor Owner (Signature Required)

ADOT State Engineer (Print/Type)

Contractor Owner (Print/Type)

This resolution form and information was transmitted to the Partnering Office at MD175A and to the Construction Group at MD172A for dissemination on _____ (date).