ARIZONA DEPARTMENT OF TRANSPORTATION

PARTNERING 101

A GUIDE TO THE BASICS OF PARTNERING WITH ADOT

(MAY 2015)

ADOT

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PARTNERING 101

"**PARTNERING 101**" IS A GUIDE

FOR THOSE NEW TO PARTNERING OR THOSE WHO

MAY NEED A BASIC REFERENCE MANUAL REGARDING

PARTNERING WITH ADOT.

IF MORE IN-DEPTH INFORMATION IS NEEDED,

PLEASE CONTACT OFFICE OF PARTNERING BY EMAIL AT:

PARTNERINGINFO@AZDOT.GOV

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CHAPTER 1

GENERAL PARTNERING OVERVIEW

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

GENERAL PARTNERING OVERVIEW

WHAT IS PARTNERING?

Partnering was first used by ADOT in 1991. Through the years, the value of partnering has been shown in the dramatic reduction of claims and litigation. Relationships are focused on common goals and are no longer adversarial. Partnering has resulted in projects being delivered on time and under budget and ensuring public and community acceptance. Innovative construction and delivery methods are another result of using partnering.

Partnering is the way ADOT does business.

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

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

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

GENERAL PARTNERING OVERVIEW

PARTNERING PRINCIPLES

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

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

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

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

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

GENERAL PARTNERING OVERVIEW

PARTNERING PRINCIPLES (CONT)

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

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

GENERAL PARTNERING OVERVIEW

PARTNERING ROLES

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

STAKEHOLDER OR PARTNERSHIP MEMBER

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

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

CHAMPION

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

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

GENERAL PARTNERING OVERVIEW

PARTNERING ROLES (CONT)

SENIOR LEADERS OR MANAGEMENT

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

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

GENERAL PARTNERING OVERVIEW

PARTNERING ROLES (CONT)

THE OFFICE OF PARTNERING

The Office of Partnering supports ADOT's mission through partnerships that help ADOT provide a safe, efficient, cost effective transportation system. Its customer focus helps ADOT achieve its goals and build relationships that support the delivery of state transportation programs, projects and services. The Office of Partnering reports directly to the Deputy Director for Transportation. Administration of the Partnering program is the responsibility of the State Engineer's Office.

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

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

CHAPTER 2

TYPES OF PARTNERSHIPS

- PUBLIC
- INTERNAL
- CONSTRUCTION

TYPES OF PARTNERSHIPS

PUBLIC PARTNERSHIPS

Between ADOT and other stakeholders, such as:

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

WHY BUILD A PUBLIC PARTNERSHIP?

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

INTERNAL PARTNERSHIPS

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

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

WHY BUILD AN INTERNAL PARTNERSHIP?

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

CONSTRUCTION PARTNERSHIPS

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

- Highway construction

WHY BUILD A PROJECT PARTNERSHIP?

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

CHAPTER 3

BUILDING A PARTNERSHIP

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

BUILDING A PARTNERSHIP

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

EDUCATION

- All partnership members:
  - Read this "Partnering 101" guide
  - Review the information regarding partnering education on pages 51-53 of this manual and on the website at: http://www.azdot.gov/partnering
  - Complete the "Introduction to Partnering" class either online or in the classroom
  - Understand the basic partnering principles

PLANNING FOR THE PARTNERSHIP

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

BUILDING A PARTNERSHIP (CONT)

ISSUE RESOLUTION

- For a public or internal partnership:
  - Issues will arise in any partnership and leadership of each stakeholder's organization must commit to the proper use of the issue resolution process
  - The issue resolution process consists of identifying and resolving issues, action planning and follow-up agreements
  - Team members should use the Issue Resolution Steps on page 41 as they are working to resolve issues
  - The Issue Escalation Ladder on page 37 should be adapted to meet the needs of a public or internal partnership

ONGOING PARTNERSHIP SUPPORT

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

RECORD BEST PRACTICES / LESSONS LEARNED

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

IMPLEMENT CHANGES

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

CHAPTER 4

CONSTRUCTION PARTNERING WORKSHOP

- ROLES AND RESPONSIBILITIES
  - Workshop Kickoff Team
- GUIDELINES FOR CHOOSING A PARTNERING FACILITATOR
- PARTNERING WORKSHOP MODELS
- DESIGNING THE CONSTRUCTION WORKSHOP
  - Desired Outcomes
  - Planning for the Workshop
    - Workshop Kickoff Team Checklist
  - Knowing the Basics of Partnering
  - Workshop Content
- WORKSHOP HANDOUTS
- WORKSHOP COORDINATION CHECKLIST
- CONSTRUCTION WORKSHOP ATTENDEES CHECKLIST
- MEETING AND CONFERENCE PLANNERS
- ESTIMATING THE COST OF A PARTNERING WORKSHOP

CONSTRUCTION PARTNERING WORKSHOP

ROLES AND RESPONSIBILITIES

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

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

Every project will have a Workshop Kickoff Team consisting of the ADOT Resident Engineer (RE), ADOT District Engineer (DE), contractor Owner/Sponsor and contractor Project Manager (PM). The Project Manager from the Partnering Office will arrange for a meeting or a telephone conference with the workshop kickoff team and one of the ADOT facilitators as soon as a project has been awarded. This team will discuss the details of the project and make a joint decision regarding all details of the workshop including who the facilitator will be. The Workshop Kickoff Checklist on page 60 will be used as a guide to be sure all aspects of the workshop are discussed.

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

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

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

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

CONSTRUCTION PARTNERING WORKSHOP

GUIDELINES FOR CHOOSING A PARTNERING FACILITATOR

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

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

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

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

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

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

CONSTRUCTION PARTNERING WORKSHOP

PARTNERING WORKSHOP MODELS

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

- MINIMAL DEGREE OF COMPLEXITY MODEL -
  Key ingredients to build partnerships that are minimally complex:
  - The Workshop Kickoff Team agrees on the facilitator, invitees, duration and key issues
  - One workshop for all partners that is short in duration, typically 2-4 hours, and covers basic partnering components including: charter, issue resolution agreements, evaluation and measurement processes, contact information, action plan and follow-up strategies
  - Weekly meetings (at least one of the weekly meetings each month should be used to discuss and develop action plans based on PEP evaluation and feedback)

- MODERATE DEGREE OF COMPLEXITY MODEL -
  Key ingredients to build partnerships that are moderately complex:
  - Pre-workshop planning by the Workshop Kickoff Team (e.g. in development, this may include scope clarification and contract negotiation)
  - A more comprehensive workshop, typically lasting half day to a full day (this may be considered a kickoff for some partnerships)
  - Additional meetings also may occur to update new partners or provide a focused forum for different partner groups
  - Weekly meetings (at least one of the weekly meetings each month should be used to discuss and develop action plans based on PEP evaluation and feedback)
  - Team building or project closeout meetings maybe scheduled to review lessons learned

PARTNERING WORKSHOP MODELS (CONT)

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

A model for Alternate Delivery Projects will be added at a later date

A model for projects in Development will be added at a later date

CONSTRUCTION PARTNERING WORKSHOP

DESIGNING THE CONSTRUCTION WORKSHOP

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

The workshop participants should include representatives of all parties to the contract who will focus on successful project completion. ADOT and the contractor need leadership representation at the workshop at a level higher than the Resident Engineer and the Project Manager. This list of participants will be developed by the Workshop Kickoff Team using the **"Partnering Workshop Attendees Checklist"** on page 32. It is an opportunity for project members to resolve project-related issues without the pressures normally associated with an ongoing project. An Issue Escalation Ladder is also developed to resolve issues that are beyond the authority of the project level parties. Refer to page 37 for detailed information regarding the Issue Escalation Ladder.

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

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

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

CONSTRUCTION PARTNERING WORKSHOP

DESIGNING THE CONSTRUCTION WORKSHOP (CONT)

The key ingredients for success are:

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

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

DESIRED OUTCOMES

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

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

CONSTRUCTION PARTNERING WORKSHOP

PLANNING FOR THE WORKSHOP

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

The Workshop Kickoff Team will meet or discuss by phone the items listed on the Workshop Kickoff Checklist on page 60. The purpose of this meeting is to come to a joint decision regarding the details of the workshop and to assign tasks as needed.

The Workshop Kickoff Team will also determine if food will be served at the workshop. If food is served, the cost is shared equally by ADOT and the contractor. Food is not mandatory however eating together can build camaraderie and encourage positive relationships, one of the main goals of Partnering. Consider the time of day, length of the workshop and budget for the project. Budget is always a consideration, however there are many inexpensive options that will go a long way to creating a congenial atmosphere for the workshop. The Construction Org should insure that water is available for participants at every workshop.

The following scenarios are common to the logistical planning of a Partnering Workshop and include general guidelines. See page 33 for further details. State procurement rules must always be followed. A consultant operated org will need to contact the ADOT Construction Office Manager or RE to have a Purchase Order created if needed.

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

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

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

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

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

CONSTRUCTION PARTNERING WORKSHOP

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

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

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

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

KNOWING THE BASICS OF PARTNERING

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

- All participants should know the partnering basics
- The Workshop Kickoff Team should identify those new to partnering, so decisions can be made regarding how much of the basics will be included in the workshop
- Enroll those new to partnering in the 45 minute **"Introduction to Partnering"** class that is available online
- All participants should know the partnering workshop guidelines:
  - Hear and consider all perspectives
  - Communicate in a way that promotes understanding and minimizes defensiveness
  - Participate in a way that produces the best outcome for all
  - Include advance notice of potential issues
  - Use the meeting notes to follow through with items requiring further action
  - Advise all partners of the next meeting, particularly when their presence is required

CONSTRUCTION PARTNERING WORKSHOP

WORKSHOP CONTENT

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

INTRODUCTION

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

WORKSHOP KICKOFF:

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

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

PRINCIPLES OF PARTNERING:

Outcome: Review the Four C's of Partnering

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

CHARTER:

Outcome: Write a Project Team Charter.

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

PARTNERING CHAMPIONS:

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

PEP PROCESS:

Outcome: Understand the PEP by which the team and project can be measured. Refer to pages 42-47 for further information.

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

WORKSHOP CONTENT (CONT)

ISSUE RESOLUTION PROCESS:

Outcome: Understand the issue resolution process. Refer to pages 35-41 for further information.

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

ISSUE IDENTIFICATION AND ACTION PLAN:

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

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

Topic/Issue	Comments	Resolution/Action	*

***RFI or Weekly Meeting Follow-up**

CLOSING:

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

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

CONSTRUCTION PARTNERING WORKSHOP

WORKSHOP FORMS

Following are links to forms that MUST be used for a workshop:

- **CLASS SIGN-IN SHEET FOR ADOT EMPLOYEES**
  (to satisfy the requirement for Introduction to Partnering Part II)
- **WORKSHOP SIGN-IN SHEET FOR ALL ATTENDEES**
- **PARTICIPANT WORKSHOP EVALUATION**
- WORKSHOP AGENDA –
  See example on page 64

Following are links to forms that MAY be used at a workshop as needed or may be distributed at a workshop for reference:

- PARTNERING PRINCIPLES BOOKMARK
  Available at the Office of Partnering
- RESOLVING ISSUES WITH PARTNERING BOOKMARK
  Available at the Office of Partnering
- PARTNERING CHAMPIONS BOOKMARK
  Available at the Office of Partnering
- **FACILITATOR PERFORMANCE EVALUATION**
- PEP EVALUATION TEMPLATE
  See example on page 65
- **CLOSEOUT WORKSHOP EVALUATION**
- **ROUTING FORM FOR CONSTRUCTION ISSUE RESOLUTION RE AND CONTRACTOR PM**
- **ROUTING FORM FOR CONSTRUCTION ISSUE RESOLUTION DE AND CONTRACTOR MGT**
- **ROUTING FORM FOR CONSTRUCTION ISSUE RESOLUTION SE AND CONTRACTOR SENIOR MGT**
- **WEEKLY PROJECT REPORT (WEEKLY MEETING AGENDA)**
  ADOT Construction Manual Pages 108-8 to 108-10 (Exhibit 108.04)

Workshop Coordinator Checklist

Project Name:	TRACS #:	Org #:	Contractor Name:
DE Name:	RE Name:	Coordinator Name:	Contractor Contact:

Step / When	Who	Tasks	Why / Details	Contact Information / Comments
1. Bids have been opened	ADOT Partnering Project Manager	Contact the Community Relations Project Manager.	Learn about the complexity and history of the project.	
2. Project has been awarded schedule conference call	ADOT Partnering Project Manager	Contact the Workshop Kickoff Team (ADOT RE and DE; Contactor Owner and PM; ADOT Facilitator) to schedule the Workshop Kickoff Team meeting or conference call. Send the Workshop Kickoff Checklist, Partnering Workshop Attendees Checklist and the link to "Partnering 101" to the team.	This team will plan all logistics for the workshop.	
3. Conference call	Workshop Kickoff Team	Determine all logistics for the Partnering Workshop by using the Workshop Kickoff Checklist, the Partnering Workshop Attendees Checklist and Chapter 4 of "Partnering 101".	The contract must be signed by the contractor prior to the workshop date.	
4. Following the Workshop Kickoff Meeting conference call	Partnering Project Manager	If a consultant facilitator is requested, the Partnering Project Manager will make all of the arrangements including the task order and payment.		
5. Following the Workshop Kickoff Meeting conference call	RE*, Contractor PM and Facilitator	Finalize the date and details regarding the workshop time, location and food based on the decisions of the Workshop Kickoff Team.	Sufficient time and facility space must be allowed to accomplish the goals of the workshop.	
6. Following the Workshop Kickoff Meeting conference call	RE*	Contact a Meeting and Conference Planner and create the PO if the workshop will be held in a conference room that must be paid for or if a food vendor that is not in the ADOT Procurement system will be used.	State procurement rules require the use of a Meeting and Conference Planner if paying for a meeting room or food from a vendor that is not in the ADOT Procurement system. The PO must be completed before the planner can contract with the conference room location on ADOT's behalf.	

*Any responsibility listed may be assigned to another ADOT staff member if the RE chooses; however, the RE will be responsible for ensuring completion.

CONSTRUCTION PARTNERING WORKSHOP

Step / When	Who	Tasks	Why / Details	Contact Information / Comments
7. When facility is secured	RE* and/or Facilitator	Send the invitation by email and Outlook meeting invitation to the people identified by the Workshop Kickoff team. Be sure to give a deadline to RSVP. Update the Partnering Workshop Invitation Letter Template to suit this project. Copy and paste it into the body of the email and the Outlook meeting invitation. The Partnering Workshop Invitation Letter Template must be used.	When the letter is sent as an attachment to an email, many people do not open it. It contains important information and a training link that people new to Partnering can complete prior to attending. When sending out the invitation, be sure to copy Partnering-Info@azdot.gov	
8. 1 day after RSVP date	RE*	Report number of confirmed attendees to the Facilitator. If needed, call or email workshop invitees to confirm attendance.	An accurate count is important to ensure the meeting room will accommodate everyone, for ordering food and for the facilitator to prepare for the workshop.	
9. Within seven calendar days of the workshop	Facilitator	Send Partnering Workshop Report to all members of the project team.		
10. As soon as possible following the workshop	RE*	If food was served or a Meeting and Conference Planner was used, process and send invoices to Accounts Payable for these services.		
11. As soon as possible following the workshop	Partnering Project Manager	If a consultant facilitator was used, send a copy of their final invoice to the construction org for their records.		

*Any responsibility listed may be assigned to another ADOT staff member if the RE chooses; however, the RE will be responsible for ensuring completion.

CONSTRUCTION PARTNERING WORKSHOP

CONSTRUCTION WORKSHOP ATTENDEES CHECKLIST

The following list is meant as a guide to those responsible for inviting meeting participants to construction workshops. Every project team is different and the participants will vary from project to project. The Workshop Kickoff Team will prepare a list of workshop participants based on who will be responsible for ensuring the needs of the project are met. It is not necessary to have multiple representatives from each stakeholder group attend the construction workshops. Individuals who will be directly involved in, and who have a direct affect on the project should attend. The following list of potential and mandatory attendees is intended to be used as a reference for anyone who coordinates workshops.

In order to ensure optimal workshop success, it will be necessary to customize the list of participants to fit the project.

CONSTRUCTION PARTNERING WORKSHOP

Partnering Workshop Attendees Checklist

Project Name: Workshop Date:

TRACS #:

The following list is meant as a guide to those responsible for inviting meeting participants to construction workshops. Every project team is different and the participants will vary from project to project. The Workshop Kickoff Team will prepare a list of workshop participants based on who will be responsible for ensuring the needs of the project are met. It is not necessary to have multiple representatives from each stakeholder group attend the construction workshops. Individuals who will be directly involved in, and who have a direct affect on the project should attend.

In order to ensure optimal workshop success, it will be necessary to customize the list of participants to fit the project.

Yes/No	Title	Contact Name
	ADOT	
☐ ☐	Resident Engineer	
☐ ☐	District Engineer	
☐ ☐	Assistant District Engineer	
☐ ☐	Project Supervisor	
☐ ☐	Office Manager	
☐ ☐	Lead Inspector	
☐ ☐	Business Engagement and Compliance Office (BECO) representative	
☐ ☐	Project Manager	
☐ ☐	Field Reports representative	
☐ ☐	Environmental Planning representative	
☐ ☐	Technical Support (drainage, electrical, materials, roadway, structures, traffic)	
☐ ☐	Maintenance	
☐ ☐	Construction Engineer	
☐ ☐	Designer	
☐ ☐	Landscape	
☐ ☐	Right of Way Group	
☐ ☐	Roadway Engineering	
☐ ☐	Utility and Railroad Engineering	
☐ ☐	Community Relations Officer	
☐ ☐	Workshop Facilitator	
	Contractor:	
☐ ☐	Contractor's Project Manager (Prime)	
☐ ☐	Contractor's Upper Management (Prime)	
☐ ☐	Contractor's Superintendent/Foreman	
☐ ☐	Contractor's Office Manager	
☐ ☐	Subcontractors and Suppliers	
	Other:	
☐ ☐	ASLD	
☐ ☐	BIA	
☐ ☐	BLM	
☐ ☐	COG/MPO	
☐ ☐	FHWA	
☐ ☐	Law Enforcement representative	
☐ ☐	Railroad	
☐ ☐	Municipality (City, Town, County)	
☐ ☐	Tribal representative (aztribaltransportation.com/aztt/tribes.asp)	
☐ ☐	USFS	
☐ ☐	Utility Company Representative	
☐ ☐	Other (school districts, other agencies, stakeholders)	

MEETING AND CONFERENCE PLANNERS

Paying for a conference room will determine if a Meeting and Conference Planner (planner) is needed. Always check with ADOT and stakeholders for a free suitable conference room. If free rooms are unavailable or cannot hold the capacity, you will need to hire a planner. If desired, the planner can include food in their estimate.

If the conference room is free, and food will be served, contact a food vendor from the approved Advantage vendor list and create a Purchase Order (PO). New vendors can be added by filling out an I-9 form and submitting it to Procurement. If you are unable to use a food vendor from the approved Advantage vendor list you will need to use a planner.

The RE or designee will follow the procedure below when a planner is being used:

1. Contact a planner from the approved list. The list can be found on this website: https://procure.az.gov/bso/external/publicContracts.sdo. Use the drop down menu to go to the "Communication Equipment and Services" section. Then find "Meeting and Conference Planners" – usually on the last page of that section.

2. Request that they find a conference room for the desired date and approximate number of participants

3. Discuss seating arrangements (U-shaped, round tables, etc.)

4. Discuss equipment needs (audio video equipment, screen, flip charts)

5. Discuss requirements for the facility such as: adequate restrooms, parking, tables for food if required, etc.

6. Ask if a deposit is required for the facility and if so, request the cancellation policy in writing including a quote for the cancellation fees

7. If the planner also will be arranging for food, request a quote based on the estimated number of attendees and the type of food desired (continental breakfast, lunch, pm snacks)

8. Review the facilitator, conference room, caterer and planner details, costs and fees with the contractor and be sure they agree

9. Contact the planner to confirm costs, coordinate the arrangements and create the PO

CONSTRUCTION PARTNERING WORKSHOP

ESTIMATING THE COST OF A PARTNERING WORKSHOP

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

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

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

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

CHAPTER 5

CONSTRUCTION PARTNERING ISSUE RESOLUTION

- RESOLVING CONSTRUCTION PROJECT ISSUES
  - Prior to the Partnering Workshop
  - During the Partnering Workshop
    - Escalation Ladder
  - During the project
  - Closeout Workshop
- ISSUE RESOLUTION STEPS

CONSTRUCTION PARTNERING ISSUE RESOLUTION

RESOLVING CONSTRUCTION PROJECT ISSUES

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

The issue resolution process consists of identifying and resolving issues, action planning and follow-up agreements. Issues will arise during a project and the team members should use the Issue Resolution Steps on page 41 to resolve those issues. The Issue Escalation Ladder is a tool that will only be used when issues can not be resolved at the field level.

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

1. Prior to the partnering workshop or project start

2. During the partnering workshop

3. During the project

4. Upon closeout of the project

PRIOR TO THE PARTNERING WORKSHOP

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

DURING THE PARTNERING WORKSHOP

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

During the workshop, the Issue Escalation Ladder will be established. The team will discuss how and when the ladder will be used. Discussion will include what constitutes a disagreement and at what point the team members will "agree to disagree". Time frames are established at each level for resolution of an issue. The intent of establishing time frames is to ensure timely issue resolution. Consideration must be given to the amount of time spent before escalating the issue to give the next level time to resolve it. If there is an immediate project impact, start keeping records and take appropriate mitigation steps.

CONSTRUCTION PARTNERING ISSUE RESOLUTION

RESOLVING CONSTRUCTION PROJECT ISSUES (CONT)

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

EXAMPLE OF A COMPLETED **ISSUE ESCALATION LADDER**

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

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

DURING THE PROJECT

The focus of effective problem solving should always be to learn as much about the issue as possible, which includes getting information from ADOT, designer, contractor and other key stakeholders. Issue resolution should be used as an opportunity to educate one another. Once mutual understanding is obtained, it is important to look for ways to meet the needs of all parties through a common solution. Another priority should always be the timely resolution of any issue. The longer an issue remains unresolved, the more negative the impact it will have on the project.

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

When issues arise, individuals on the first level of the Issue Escalation Ladder are responsible for documenting and agreeing on the details of the issue. Once that has been accomplished the parties need to follow the Issue Resolution Steps on page 41 to try to come to a resolution. The parties will work together to document all of the facts regarding the issue and their proposed resolution. If they are able to come to an agreement but do not have the authority to finalize the agreement, they will still document everything so the next level has the information needed to finalize the agreement. It is not acceptable to escalate an issue without completing all of the fact finding and research.

RESOLVING CONSTRUCTION PROJECT ISSUES (CONT)

If unable to agree on the resolution, the parties must compile an "Issue Escalation Binder". An "Issue Escalation Binder" template is available on page 74. This binder will include all of the documentation that the next level will need to understand the issue and the resolution proposed by each party. If an issue is not being resolved to your satisfaction, then a formal escalation should be requested. "I would like to formally escalate this issue" needs to be stated to the partner on your level. This is not up for debate, if an escalation is requested, it must be escalated to the next level. The "Issue Escalation Binder" must always be completed.

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

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

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

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

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

CONSTRUCTION PARTNERING ISSUE RESOLUTION

RESOLVING CONSTRUCTION PROJECT ISSUES (CONT)

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

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

Final Issue Resolution Routing forms that reach the **District Engineer** or **State Engineer** levels are to be sent to the Construction Group at MD172A and to the Office of Partnering at MD126F.

CONSTRUCTION PARTNERING ISSUE RESOLUTION

RESOLVING CONSTRUCTION PROJECT ISSUES (CONT)

CLOSEOUT WORKSHOP

The Closeout 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. This is an opportunity to celebrate the team's success. The workshop should include as many stakeholders as possible and include a discussion of the issue resolution process and the Issue Escalation Ladder. Discuss and document what worked, what didn't work and what can be done differently the next time to improve the process. A summary of the lessons learned and a report from the Closeout Workshop needs to be sent to the Office of Partnering by email: PartneringInfo@azdot.gov.

CONSTRUCTION PARTNERING ISSUE RESOLUTION

ISSUE RESOLUTION STEPS

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

CHAPTER 6

PARTNERING EVALUATION PROGRAM (PEP)

- OVERVIEW AND BACKGROUND
- REPORTS
- BENEFITS
- EVALUATION
  - During the workshop
  - Post workshop

PARTNERING EVALUATION PROGRAM

OVERVIEW AND BACKGROUND

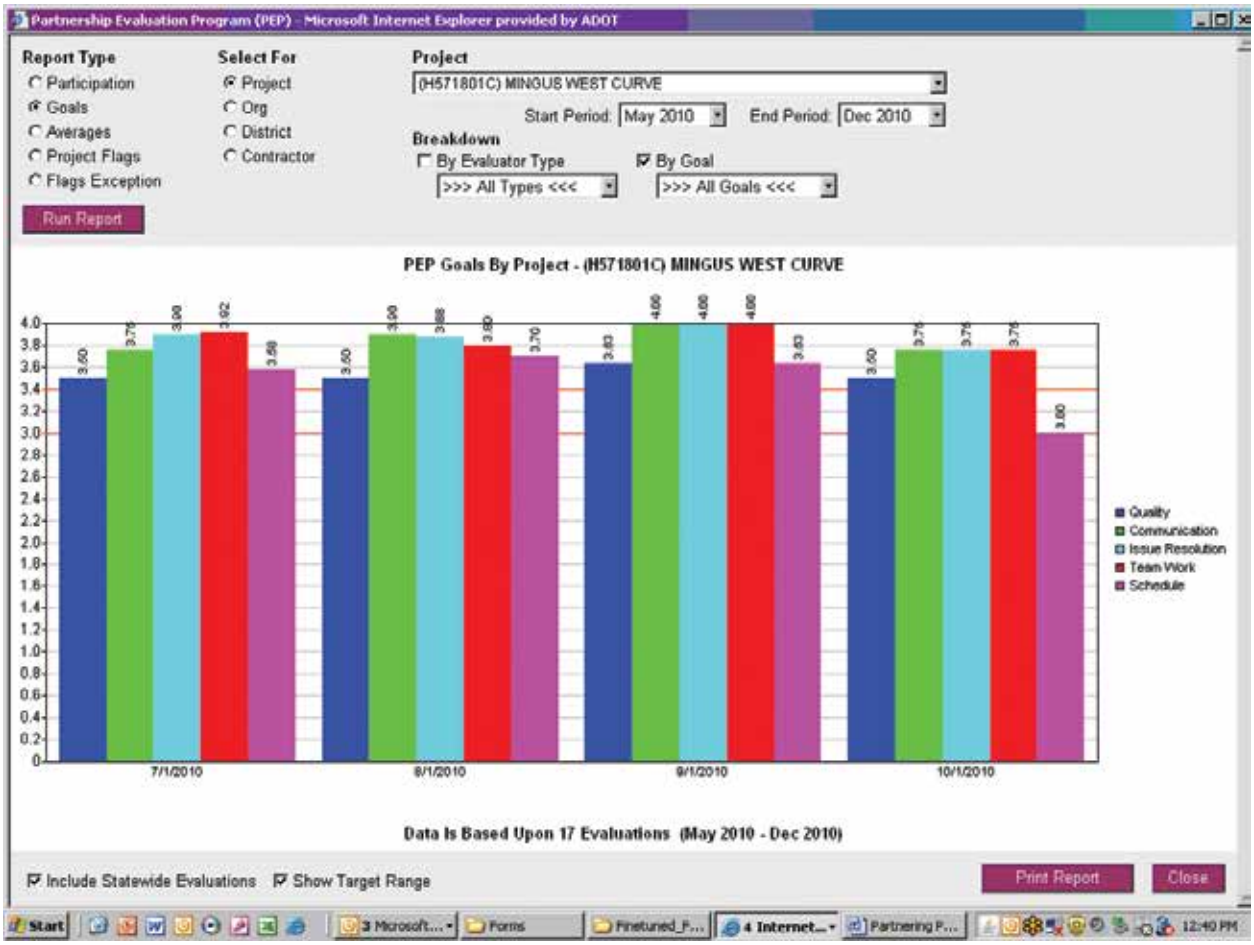
The Arizona Department of Transportation developed a unique and highly effective process of evaluation and measurement known as the Partnering Evaluation Program (PEP). The purpose of PEP is to measure the performance of teams relative to their ability to work together. The result is an array of processes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

PEP identifies then interprets the data components of each team's activities. The criteria used to measure the progress of team objectives include five standard goals: quality, communication, issue resolution, teamwork and schedule. Each standard goal contains sub-goals, which define exactly what each goal means to the team as a whole. The result is that teams can work in unison towards meeting common, clearly defined team goals. PEP also allows teams to add up to five additional goals and sub-goals depending on the needs of each team. This will be determined during the workshop.

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

PARTNERING EVALUATION PROGRAM

PEP REPORTS



Summary graph for PEP goals by project for the months of May through December 2010

PEP BENEFITS

- All partnership team members have the opportunity to gain an awareness of their relationships and issues
- Communication among stakeholders is enhanced through regular and timely feedback
- The opportunities for partnership team members to resolve the various issues at the earliest possible time and at the level closest to the issue are increased with regular and timely feedback
- The automated program compiles information to produce graphs and charts for visual aids
- Easily accessible from the partnering website: **Partnering Evaluation Program (PEP)**
- Provides a way to give recognition

PARTNERING EVALUATION PROGRAM

EVALUATION

PURPOSE:

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

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

The sample PEP rating form on pages 65-67 is an example of one completed by a partnering team. PEP goals are customized by creating sub-goals that are agreed upon by the partnership members. Each partnership defines what the goals mean to them. In addition to the five standard goals and five optional evaluation goals, this form includes evaluation criteria, numbers for scoring, a place for sub-goals, comments, and boxes that indicate whether to "take action," stay "neutral," or "provide recognition" based on the scoring. The evaluations should show the progress of the team toward attaining specific goals during a particular time period. They evaluate the process of attaining a goal, not particular team members.

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

PARTNERING EVALUATION PROGRAM

DURING WORKSHOP

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

- Actions may include:
  - Facilitated problem solving
  - Mediation
  - Field level partnering workshops
  - Classes such as “How to Make Partnering Work in the Field”
  - Refresher workshop for all stakeholders
  - Pre-event meetings, which include agreements for working effectively together
  - Discussion at the weekly meetings of the issues identified through PEP

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

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

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

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

PARTNERING EVALUATION PROGRAM

POST WORKSHOP

- The facilitator for the workshop will enter the sub-goals for the project into the PEP database
- Conduct evaluations according to agreed upon criteria, typically during weekly or monthly meetings, team building sessions, interventions, milestones and closeouts
- Take appropriate action based on the input
- Weekly/Monthly meetings are consistent meeting times when the partnership members follow up on action items from previous meetings, develop schedules, identify/resolve partnership related issues and plan the next meeting
- Partnering champions or other designated team members compile evaluation data and distributes the various PEP reports to appropriate partnership members
- Refresher workshops provide the long term partnership or project an opportunity to review initial agreements and make any required changes
- Team interventions may take the form of a meeting or training that is customized to address the current challenges of the partnership
- Mediation is a confidential process to assist disputants in collaborative problem solving utilizing a neutral third party who is bound by law to complete non-disclosure of the events and proceedings of the mediation process, and they are protected from legal discovery (See A.R.S. §12-2238)
- Project close out evaluations reflect the overall health of partnering and lessons learned are shared for continuous improvement

CHAPTER 7

ROLE OF THE FACILITATOR

- FACILITATOR GUIDELINES FOR PARTNERING WORKSHOPS
  - Planning for the workshop
  - Facilitating the workshop
  - Workshop follow-up

ROLE OF THE FACILITATOR

FACILITATOR GUIDELINES FOR PARTNERING WORKSHOPS

The facilitator for a partnering workshop should work closely with the Workshop Kickoff Team to determine the details of the workshop. The workshop must be customized based on the needs of the team and the project. A checklist is supplied on page 62 and should be used for all workshops.

PLANNING FOR THE WORKSHOP

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

ROLE OF THE FACILITATOR

FACILITATOR GUIDELINES FOR PARTNERING WORKSHOPS (CONT)

FACILITATING THE WORKSHOP

- Supply agenda, name tags or name tents, two sign in sheets (one for communication matrix and one for ADOT Training) and flip charts for notes
- Conduct a customized workshop – including all components on pages 26-27
- Remain neutral
- Be sure everyone participates
- Ensure the goals are broad and sub-goals are project specific and measurable
- Keep the meeting focused on the project and relationships
- Be sure all known issues are discussed and consensus is reached
- Develop written action plans and list of unresolved issues
- Help the team identify specific ways to use measurement and feedback utilizing the PEP
- Ensure all participants complete a "Partnering Workshop Evaluation" form

WORKSHOP FOLLOW-UP

- Send the Workshop Report to all members of the project team within seven calendar days.
- Enter the PEP sub-goals for the project into the PEP database
- Send the "FACILITATOR PERFORMANCE EVALUATION" form by email to the RE and contractor
- Provide follow-up, additional consultation, or facilitation during the project if requested by the RE and contractor

CHAPTER 8

EDUCATION

- EDUCATION OVERVIEW
- INTRODUCTION TO PARTNERING PARTS I AND II
- HOW TO MAKE PARTNERING WORK IN THE FIELD
- A LEADER'S GUIDE TO ISSUE RESOLUTION
- CONDUCTING A PARTNERING WORKSHOP

EDUCATION

EDUCATION OVERVIEW

Partnering classes were co-designed and piloted by ADOT with representatives of the targeted audiences. The classes are reviewed regularly and revised as appropriate. Education is the key to supporting partnering as the way of doing business for the entire state. Partnering classes can be designed to accommodate all partnerships.

"INTRODUCTION TO PARTNERING PART I"

This online class provides participants an overview of partnering principles, processes and practices. **The Introduction to Partnering Part 1** class is mandatory for new ADOT supervisors, managers and other employees in construction and maintenance.

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

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

"INTRODUCTION TO PARTNERING PART II"

This class consists of participation in a construction partnering workshop.

"HOW TO MAKE PARTNERING WORK IN THE FIELD"

Applying partnering principles and practices in the field is a key element for successful projects. This class is a one-day interactive, practical and informative program that builds relationships among the project team members. It is designed for those responsible for making partnering work in the field.

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

- Identify partnering practices in the field
- Assess their level of communication skills after completing the self-assessment
- List common field issues and issue resolution strategies
- List opportunities to practice partnering in the field
- Identify the components of a proactive partnering approach (i.e. basic guidelines, behaviors and attitudes)
- Recognize a process, with class members, for identifying and resolving issues, to include action planning and follow-up
- Recognize the standardized PEP process forms
- Recognize the types of data generated by the PEP

EDUCATION

"A LEADER'S GUIDE TO ISSUE RESOLUTION"

Issue resolution is a key skill for leaders who seek to build successful partnerships. This class is designed for those who are responsible to lead others in identifying and resolving issues, and in developing an issue resolution process.

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

- Identify the components of a proactive leadership approach (i.e. basic guidelines, behaviors and attitudes) toward issue identification, resolution and action planning
- Review and practice a process, with class members, for identifying and resolving issues, including action planning and follow-up
- Provide and receive feedback on team facilitation and issue resolution skills
- Develop a personal plan of action to use the issue resolution process with your team

"CONDUCTING A PARTNERING WORKSHOP"

A partnering workshop is collaboration among all participants connected to a partnership. This class will teach those familiar with partnering how to facilitate, structure and coach a partnering workshop.

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

- Plan a partnering workshop
- List the components of a partnering workshop
- Organize and administer a partnering workshop using a checklist
- Conduct a partnering workshop

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

CHAPTER 9

PARTNERING

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

PARTNERING

OFFICE OF PARTNERING

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

SUPPORT SERVICES

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

EDUCATION

- Develop and implement partnering education

ADMINISTRATION

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

PARTNERING

OUTREACH

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

PARTNERING WORKSHOPS AND MEETINGS

- Provide trained facilitators
- Provide examples and guidance

RECOGNITION

- Congratulate each other and celebrate milestones

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

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

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

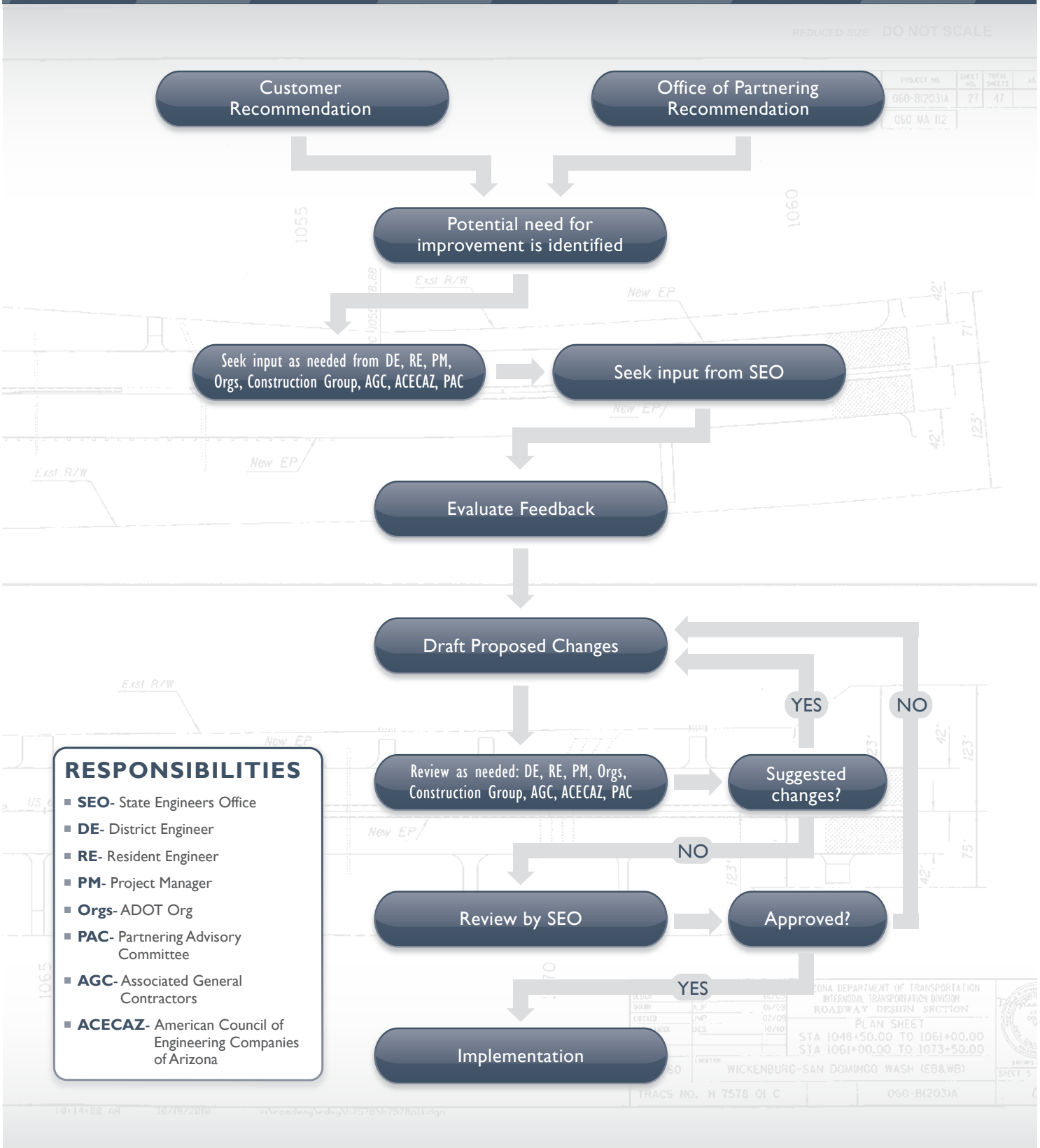
Partnering Spirit Award application information and nomination form are available at www.azdot.gov/spiritaward.

CHAPTER 10

CONSTRUCTION PARTNERING PROCESS CONTINUOUS IMPROVEMENT

- FLOW CHART

CONSTRUCTION PARTNERING PROCESS
CONTINUOUS IMPROVEMENT CYCLE



RESPONSIBILITIES

- **SEO**- State Engineers Office
- **DE**- District Engineer
- **RE**- Resident Engineer
- **PM**- Project Manager
- **Orgs**- ADOT Org
- **PAC**- Partnering Advisory Committee
- **AGC**- Associated General Contractors
- **ACECAZ**- American Council of Engineering Companies of Arizona

CHAPTER 11

FORMS

- WORKSHOP KICKOFF TEAM CHECKLIST
- CONSTRUCTION PARTNERING FACILITATOR CHECKLIST
- CONSTRUCTION WORKSHOP INVITATION TEMPLATE
- SAMPLE AGENDA
- PEP EVALUATION TEMPLATE / EXAMPLE
- ACTION PLAN TEMPLATE
- WORKSHOP REPORT OUTLINE
- ROUTING FORMS FOR ISSUE RESOLUTION
- ISSUE ESCALATION BINDER TEMPLATE

Workshop Kickoff Team Checklist

Project Name:	**Contractor:**
Date/Time:	**TRACS #:**
Participants:	

When will the workshop be held?
How long will the workshop last?
Where will the workshop be?
Will there be food? If so, what and when?
Who will follow up to be sure the key people will attend?
Who will send the invitation and when? Discuss the message that will be sent and the way it will be sent (Outlook calendar, email).
Who will capture the RSVPs?
When will the precon be held?
Identify the critical items required for the precon, such as Erosion Control Coordinator, SWPPP, NESHAP, etc., so everyone understands the expectations.
If the precon occurs and construction begins before the workshop, what will the agenda for the precon be? Will it be facilitated? Will PEP begin? Will the escalation ladder be set up and champions identified? Will issues be discussed? Who will document these things?
Discuss the complexity of the project.
Identify participants. Will utilities attend the workshop, the precon, or both? What about subs? Other stakeholders? (Review workshop attendees checklist)
Who is the project team? • **What experience do they have?** • **Have they worked together before?** • **How is their relationship? (Review PEP if applicable)** • **Have they had the Intro class and read Partnering 101?** **This should determine how much partnering basics are included in the workshop and what Workshop Model will be used.**

Workshop Kickoff Team Checklist *(Continued)*

Who will attend that can provide details about why we are doing the project and why it is being done a specific way (such as the designer or development engineer)?
Was preparation of a traffic management plan required during the development phase of the project?
Identify known issues and participants (from technical areas) who will handle those issues. How much time will be needed to discuss these issues at the workshop?
How will this Workshop Kickoff team participate in the workshop and set the tone for partnering?
Who will facilitate – ADOT Partnering Facilitator or Consultant? Identify who.
Who will lead the meeting – RE and Contractor or facilitator or jointly? • **DE/owner or other designee give welcome and set tone for partnering.** • **Issues section could be orchestrated by RE and Contractor.**
Is there a need to break out for specific issues?
Are there any Value Engineering (VE) proposals?
Who are the DBE subs? Who is the contractor DBE liaison?
What type of skill building activity would you like to have?
Tell me what you would like in the charter.
How will PEP be used? Does the team need PEP training? How much time should be devoted to PEP education at the workshop?
Identify Partnering Champions – be sure they attend the workshop and understand their role.
Identify who will be on the escalation ladder and how much time should be allowed at each level.
Will there be follow-up workshops or meetings with the Workshop Kickoff Team?
Should there be a workshop for field level or a Partnering in the Field Class for the team?
Based on the answers to the questions above, determine the content of the agenda.

Partnering Workshop Facilitator Checklist

Project Name: TRACS #:

Facilitator: Workshop Date:

Planning for the workshop

☐	Collect background information for the project, construction org and contractor (history, number of jobs together, PEP evaluations).
☐	Use the Workshop Kickoff Team Checklist to determine details of the workshop.
☐	Include other stakeholders as dictated by the project.
☐	If possible, drive through the project with the RE and contractor to understand the scope.
☐	Confirm logistics of the workshop such as the date, duration, time, stakeholder list and location.
☐	Determine if a partnering tip would be applicable for the workshop.

Facilitating the workshop

☐	Provide name tags or name tents and markers.
☐	Provide a handout for each participant that includes an agenda and a Participant Workshop Evaluation form.
☐	Provide a sign in sheet that includes contact information (name, company, phone, email).
☐	Provide the Class Sign-in Sheet for “Introduction to Partnering Part II” for ADOT employees.
☐	Provide flip charts, markers, projector, computer and other equipment as required.
☐	Introduce yourself and describe your role. Ask participants to introduce themselves and discuss their role in the project and their partnering experience.
☐	Have an ADOT representative give a brief overview of the project.
☐	Have a contractor’s representative give an overview of the schedule.
☐	Present the history of partnering if appropriate for the project team.
☐	Explain the purpose and benefits of partnering.
☐	Assist the project team in creating a Partnering Charter that includes a mission statement and project/team goals. Assist in creating team guidelines if applicable.
☐	Discuss the issue resolution process and importance.
☐	Create an Issue Escalation Ladder using the draft as a starting point.
☐	Explain the role and responsibilities of the Partnering Champions.
☐	Identify the Partnering Champions.
☐	Explain the Partnering Evaluation Program (PEP).
☐	Identify sub-goals for the five standard PEP goals. Add additional goals if the team desires.
☐	Identify and instruct the team on specific ways to use PEP and the reports available.
☐	Develop agreements for the timing of regular evaluations.
☐	Ensure that project leaders agree to take action and provide recognition when indicated by PEP reports.
☐	Facilitate a discussion of issues, record the discussion and create an Action Plan.
☐	Review specific assignments generated during the workshop and check for team member’s commitment.
☐	Ask for closing comments from team members and from project leaders.
☐	Collect completed Participant Workshop Evaluation forms.

Post Workshop requirements

☐	Complete a customized Partnering Workshop Report.
☐	Inform the RE and the contractor project manager that a "Facilitator Performance Evaluation" form is available.
☐	Send the Workshop Report (PDF), PEP form with the subgoals (fillable PDF) and Action Plan (Word) to the project team within seven calendar days.
☐	Return the ADOT Class Sign-In Sheet to Partneringinfo@azdot.gov.
☐	Enter the PEP subgoals into the PEP system.
☐	Send an email to the Partnering PEP Administrator requesting champion rights for the project champions.
☐	Scan the workshop evaluations and save them in the project folder.
☐	Scan the sign-in sheets and save them in the project folder.
☐	Copy all email addresses to the Master List.
☐	Add the pertinent information to the Partnering Services Database (evaluation data, partnering tip data, report in the G drive check box, Champion pilot checkbox, completed date, fees and facility data, pertinent comments).
☐	Follow the QC protocol for what information is maintained in the construction folder on the share drive. Delete items that are not required to be housed in the construction folder or save them to a personal folder.
☐	Check PEP periodically throughout the project.
☐	Consultants and APFN members are to provide follow up, additional consultation or facilitation during the project if requested by the Partnering Office.

CONSTRUCTION WORKSHOP INVITATION TEMPLATE

INSTRUCTIONS

- **This invitation should only be sent to those identified by the Workshop Kickoff Team.**
- **The text below should be copied into the body of an Outlook Calendar Invitation for the workshop.**
- **You should also send an email with the same information to ensure that those who don't use Outlook receive the message.**

Subject Line: {Insert Project Name and Tracs Number} Construction Partnering Workshop

You have been identified as a key stakeholder for the {Insert Project Name} project and we invite you to participate in the Partnering Workshop. If there are others you think should attend this workshop, please contact me by responding to this message.

The workshop will be held:

Date: {Insert Date}
Time: {Insert Time}
Location: {Insert name, address and phone number of location}

The project consists of {Insert description of scope of work}.

The purpose of this Partnering Workshop is to: establish effective communication; identify potential issues within the project; develop action plans and create a good working relationship among all project stakeholders. We will develop a team charter defining project and team goals, commit to measuring our ability to work together and jointly create a problem solving procedure to eliminate unnecessary delays, costs or inconveniences.

Please identify individuals in your organization who are new to partnering and request they take the 45 minute "Introduction to Partnering" class prior to attending the workshop. This class is available online at this link: http://wwwa.azdot.gov/applications/training/Partnering/registration.asp

It is critical that you confirm if you will attend or not attend to ensure everyone can be accommodated. Please respond before {Insert Date} by accepting this invitation, responding by email or calling {Insert name and phone number}.

{Insert the sentence below that applies}
Food will be available for those who RSVP by {Insert Date and Time}
OR
Food will not be served at this workshop

Sincerely,

{Insert RE Name and approved signature block}

FORMS

SAMPLE AGENDA

Partnering Workshop Agenda
Holbrook – Lupton Highway (I-40)
H745301C & H771601C

Tuesday, April 9, 2013
Mesa Italian Grill
2318 Navajo Blvd.
Holbrook, AZ
10:00 – 12:00

Facilitator: Michael Carter

Welcome	Michael Carter	10:00 – 10:05
Introductions	Michael Carter	10:05 – 10:10
Workshop Kickoff	Dick Young & Pat Pendergast	10:10 – 10:20
Team Charter	Michael Carter	10:20 – 10:35
Partnering Evaluation	Michael Carter	10:35 – 10:45
Champions	Michael Carter	10:45 – 10:50
Issue Resolution	Michael Carter	10:50 – 11:00
Break		11:00 – 11:10
Key Project Issues	Project Team	11:10 – 11:50
Roundtable	Project Team	11:50 – 12:00
Close		

PEP EVALUATION TEMPLATE / EXAMPLE

Partnering Evaluation Program

Project Name	SR87, Hunt Highway to Riggs Road	**TRACS Number**	H841901C
Your Name		**Your Company**	ADOT
Evaluation Period		**Evaluator Type**	ADOT

OPTIONAL: You may complete your evaluation online at azdot.gov/websignon/logon.asp
Please visit the Partnering Outreach website for additional information about Partnering and PEP online Evaluations
azdot.gov/business/programs-and-partnerships/Partnering

Tips for Providing Comments

Effective Comment	Ineffective Comment
"I'm not receiving notification about changes to the concrete pouring schedule"	"Poor communication between contractor and ADOT"

Standard Evaluation Goals	Evaluation Criteria and Scores

(1) Quality

The **process** to construct and document quality:

Deliver a final product that is pleasing to the public and team:

- Doing the job right the first time
- Proactive inspections
- Knowledge of best practices
- Pride in workmanship and final product
- Timely material testing

Select Score

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	☐ 4.0	☐

Comments: ☐ Take Action ☐ Neutral ☐ Provide Recognition

(2) Communication

The **process** of timely, accurate information flow is:

Develop and maintain proper channels of communication, characterized by:

- Real-time communication in the field
- Follow verbal responses with written correspondence
- Ask questions to ensure understanding
- Practice active listening
- Participate in weekly meetings and additional meetings as necessary

Select Score

Significant Problems	Performed Below Expectations	Met Expectations	Exceeding Expectations	Don't Know
☐0.5 ☐1.0 ☐1.5	☐2.0 ☐2.5	☐3.0 ☐3.5	☐ 4.0	☐

Comments: ☐ Take Action ☐ Neutral ☐ Provide Recognition

PEP EVALUATION TEMPLATE / EXAMPLE

Partnering Evaluation Program

Standard Evaluation Goals	Evaluation Criteria and Scores				
(3) Issue Resolution	Select Score				
Team members identify issues and find that the **process** of timely resolution or escalations is:	Significant Problems	Performed Below Expectations	Met Expectations	Exceeding Expectations	Don't Know
	☐0.5 ☐1.0 ☐1.5	☐2.0 ☐2.5	☐3.0 ☐3.5	☐ 4.0	☐
Be proactive in issue resolution by first clarifying then resolving issues. • Clarify the problem as soon as it arises • Follow the chain of command • Make sure both parties are communicating about the same issue • Timely feedback and resolution of problems • Solve problems at lowest level possible	**Comments:** ☐ Take Action ☐ Neutral ☐ Provide Recognition				
(4) Teamwork and Relationships	Select Score				
Interrelationships of team members are understood and an open and coordinated effort by all members.	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	☐ 4.0	☐
Function as a project team by: • Honesty with team members • Be open-minded • Listen and respect team members' ideas and concerns	**Comments:** ☐ Take Action ☐ Neutral ☐ Provide Recognition				

PEP EVALUATION TEMPLATE / EXAMPLE

Partnering Evaluation Program

Standard Evaluation Goals	Evaluation Criteria and Scores				
(5) Schedule	Select Score				
The **process** to monitor and assure that schedule commitments are delivered is:	Significant Problems	Performed Below Expectations	Met Expectations	Exceeding Expectations	Don't Know
	☐0.5 ☐1.0 ☐1.5	☐2.0 ☐2.5	☐3.0 ☐3.5	☐ 4.0	☐
Finish the project on or ahead of schedule: • Prompt notification of schedule changes • Stay aware of what is on your schedule • Accurate and well-distributed two-week schedule	**Comments:** ☐ Take Action ☐ Neutral ☐ Provide Recognition				

Additional Goals	Evaluation Criteria and Scores				
(6) Administration	Select Score				
Paperwork and requirements are timely and accurate.	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	☐ 4.0	☐
• Timely Submittals • Test results • Prompt completion/quality of paperwork • Subcontractor SRFs • Plant reports	**Comments:** ☐ Take Action ☐ Neutral ☐ Provide Recognition				

FORMS

ACTION PLAN TEMPLATE / EXAMPLE

Topic/Issue	Comments	Resolution/Action	*

***RFI or Weekly Meeting Follow-up**

FORMS

WORKSHOP REPORT OUTLINE

COVER PAGE – titled "Partnering Workshop Report"
Include all of this information on the cover page:

- Project name, Project # and TRACS #
- Partnership Name (ADOT District and prime contractor name)
- Workshop date and location
- Facilitator name, organization, address, telephone and email
- Name of person who prepared the report if other than the facilitator
- Date of report

TABLE OF CONTENTS SHEET
Include all of these sections in the table of contents with page numbers for each

- Workshop Overview
- Attendees
- Partnering Principles
- Team Charter (Mission and Goals)
- Partnering Champions
- Partnering Evaluation Program (PEP)
- Issue Resolution
- Issues and Action Plan
- Summary of Participants Workshop Evaluations
- Routing Forms for Issue Resolution

WORKSHOP OVERVIEW
One or two paragraphs to include:

- Partnership Overview, including project description, location and any special factors
- Name of key stakeholder groups in attendance and the total number of attendees
- Highlights of workshop, partnership challenges, special circumstances, etc.

ATTENDEES
A list of all attendees and key partnership members including:

- Name/Title
- Organization
- Phone numbers
- Email address

WORKSHOP REPORT OUTLINE (CONT)

PARTNERING PRINCIPLES
Include the Partnering Principles statement and the definition of the Four C's.

TEAM CHARTER
Include the Charter that was agreed on (and signed) by the team. This should include a mission statement and team goals.

PARTNERING CHAMPIONS
Include the names of the partnering champions and describe their role and responsibilities

PARTNERING EVALUATION PROGRAM (PEP)
Include the agreement regarding the method and frequency of PEP evaluations
Include a PEP form with the partnership's sub-goals and the project information

ISSUE RESOLUTION
Include the rules for issue resolution and escalation
Include the "Issue Escalation Ladder" completed with names and times
Include the Issue Escalation Binder Template

ISSUES and ACTION PLAN
Include the list of issues and the action plan

SUMMARY OF PARTICIPANT WORKSHOP EVALUATIONS
Provide the following information:

- Total number of evaluations received
- Averages rating for each of the three categories:
  - "Value of the Workshop"
  - "Effectiveness of the Facilitator"
  - "Team Potential"
- Summary of all comments
- Routing Forms for Issue Resolution

(Please attach the original or a scan of the original Participant Workshop Evaluation sheets to the report sent to Office of Partnering at *partneringinfo@azdot.gov*)

Routing Form for Construction Issue Resolution

Resident Engineer and Contractor PM Level

Page ___/___

Project Name			
Meeting Date	Month ##, 20##	**TRACS #**	
ADOT Org		**Prime Contractor**	
This is	☐ **a policy issue** ☐ **an administrative issue** ☐ **a technical/specifications issue** ☐ **a prime contractor issue** ☐ **a subcontractor issue**		

Name(s)/Position/Organization (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.)**:**

Brief description of the issue needing to be resolved:

ADOT Resident Engineer's brief description of the resolution(s) discussed:

Contractor Project Manager's brief description of the resolution(s) discussed:

Names of persons assisting with resolution at this level:

Additional comments or recommendations:

PlanSpec and Review Comment Form **completed?** ☐ **Yes** ☐ **No**	**Forwarded to the next level on** Month ##, 20##

ADOT Resident Engineer (Signature Required) Date

Contractor Representative (Signature Required) Date

ADOT Resident Engineer (Print/Type)

Contractor Representative (Print/Type)

Include this form in the Issue Escalation Binder.

Visit azdot.gov/Partnering for a fillable electronic version of this form.

ADOT
Partnering

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Routing Form for Construction Issue Resolution

District Engineer and Contractor Management Level

Page ___/___

Project Name			
Meeting Date	Month ##, 20##	**TRACS #**	
ADOT Org		**Prime Contractor**	
This is	☐ **a policy issue** ☐ **an administrative issue** ☐ **a technical/specifications issue** ☐ **a prime contractor issue** ☐ **a subcontractor issue**		

Describe additional or alternate solutions considered.

What are the names of persons assisting with resolution at this level?

Are there additional comments or recommendations?

Returned to RE/Contractor PM level for second attempt resolve on Month ##, 20##.

Describe the final resolution agreement.

Issue resolved at this level? ☐ **Yes** ☐ **No**	**Forwarded to next level on Month ##, 20##**	**SA required?** ☐ **Yes** ☐ **No**	**PlanSpec and Review Comment Form completed?** ☐ **Yes** ☐ **No**

If resolved, written feedback of the resolution was transmitted to team members and persons affected by this issue on Month ##, 20## by _____.

This resolution form and information was transmitted to the Construction Group at MD172A and to the Partnering Office at MD126F for dissemination on Month ##, 20##.

ADOT District Engineer (Signature Required) Date

Contractor Representative (Signature Required) Date

ADOT District Engineer (Print/Type)

Contractor Representative (Print/Type)

Include this form in the Issue Escalation Binder.

Visit azdot.gov/Partnering for a fillable electronic version of this form.

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Routing Form for Construction Issue Resolution

State Engineer and Contractor Senior Management Level

Page ___/___

Project Name			
Meeting Date	Month ##, 20##	**TRACS #**	
ADOT Org		**Prime Contractor**	
This is	☐ **a policy issue** ☐ **an administrative issue** ☐ **a technical/specifications issue** ☐ **a prime contractor issue** ☐ **a subcontractor issue**		

Describe additional or alternate solutions considered.

What are the names of persons assisting with resolution at this level?

Are there additional comments or recommendations?

Returned to RE/Contractor PM level for second attempt resolve on Month ##, 20##.

Describe the final resolution agreement.

Issue resolved at this level?	**SA required?**	
☐ **Yes** ☐ **No**	☐ **Yes** ☐ **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 Month ##, 20## by _____.

The resolution form and information was transmitted to the Construction Group at MD172A and the Partnering Office at MD126F for dissemination on Month ##, 20##.

ADOT State Engineer (Signature Required) Date

Contractor Owner (Signature Required) Date

ADOT State Engineer (Print/Type)

Contractor Owner (Print/Type)

Include this form in the Issue Escalation Binder.

Visit azdot.gov/Partnering for a fillable electronic version of this form.

ADOT

Partnering

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FORMS

ISSUE ESCALATION DOCUMENTATION BINDER TEMPLATE

INSTRUCTIONS:

When an issue is escalated, it is critical that the individuals at the next escalation level have all of the documentation relevant to the issue so they can make an informed decision.

The template below is a list of documents that have been identified as important to the decision making process; however, this list is not intended to cover every situation.

When an issue needs to be escalated beyond the Resident Engineer and Project Manager, they will work jointly to compile all documentation to support the description of the issue and the recommended resolution. Documentation will include the recommended resolution from each perspective. If an agreement has been reached but the parties do not have authority to sign the agreement, this documentation must still be provided. All documentation must be placed into one binder prior to escalation, Issue Escalation Documentation Binder.

The documents should be inserted into three-ring binders in the order given. At a minimum, provide a binder for each person on the next level of the Issue Escalation Ladder.

Tab	Title	Description
1	Index	A list of all documents in the binder in order
2	Routing Form for Issue Resolution	The completed and signed form (or forms if the RE and PM each complete their own form). Must include a clear description of the issue and the proposed resolution (from each party if they don't agree).
3	Contract Card/Financial (ADOT document)	A print of the Contract Card and Finance pages from FAST
4	Plans, Specs, Estimates & Special Provisions that apply to the issue	Copies of the pertinent pages from the contract documents
5	Cost analysis and support documentation	Any calculations and support documentation that were used to make your decisions
6	Correspondence	Copies of emails or letters that were used to make your decision
7	Exhibits to back up your position	Other documents that were used to make your decision
8	Schedule and impacts	Documents showing the schedule and any impacts this issue or the resolution will have to the schedule
9	Other pertinent documentation	Any documents not included in the previous tabs

GLOSSARY

ADEQ – Arizona Department of Environmental Quality

ADOT – Arizona Department of Transportation

ASLD – Arizona State Land Department

Adversarial – Having a hostile, opposing attitude

BIA – Bureau of Indian Affairs

BLM – Bureau of Land Management

Brainstorming – Generating ideas and perspectives from all participants without judgment

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

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

COG – Council of Governments

Commitment – A pledge to follow some particular course of action

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

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

CRO – Community Relations Officer

DE – District Engineer

DOT – Department of Transportation

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

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

GLOSSARY

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

FHWA – Federal Highway Administration

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

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

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

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

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

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

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

MPO – Metropolitan Planning Organization

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

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

Org – The ADOT construction office in charge of a construction project

GLOSSARY

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

Partner – Anyone involved in the project's daily operations

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

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

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

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

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

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

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

RE – Resident Engineer

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

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

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

USFS – United States Forest Service

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