



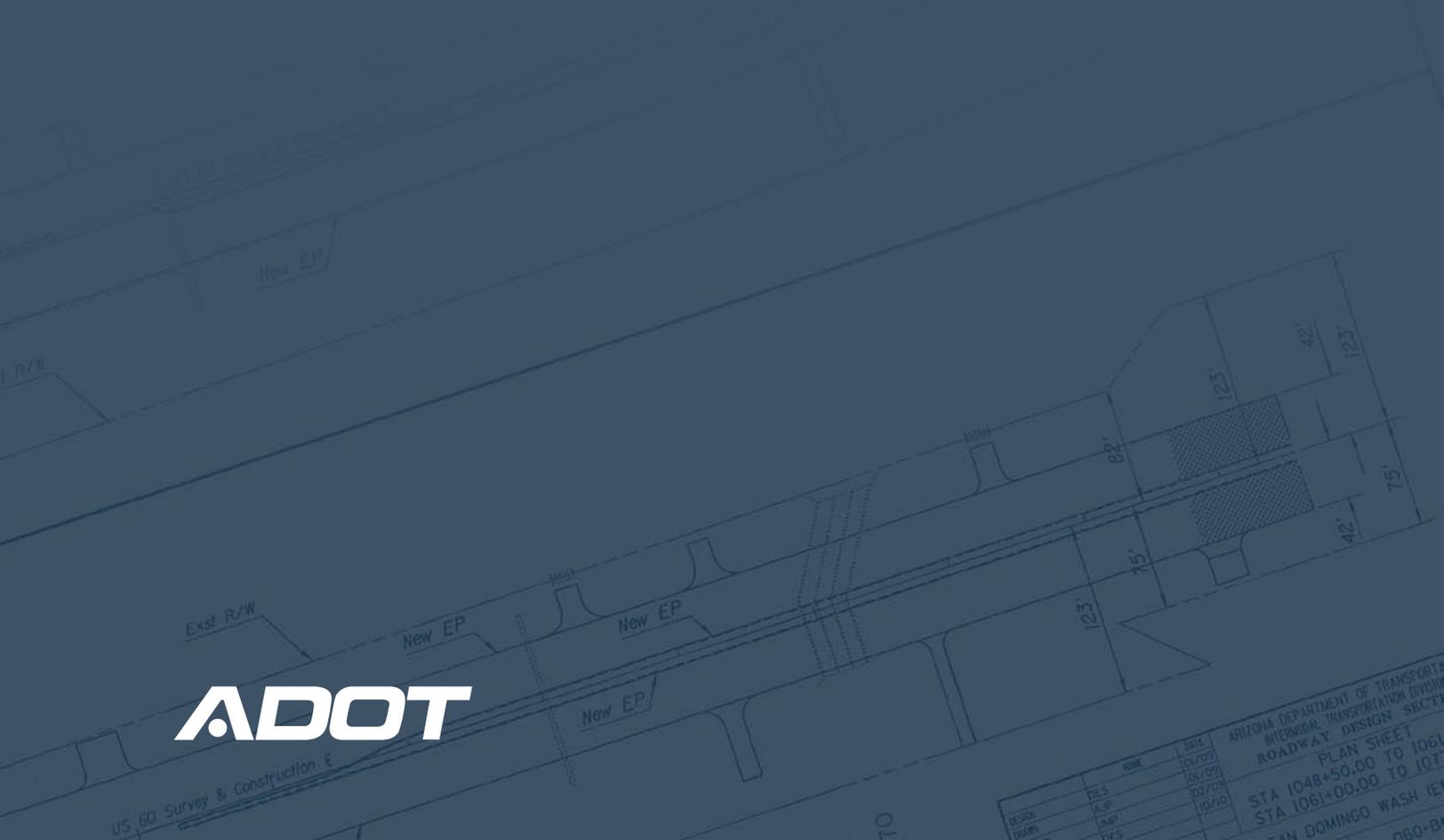
ARIZONA DEPARTMENT OF TRANSPORTATION

PARTNERING 101

A GUIDE TO THE BASICS OF PARTNERING WITH ADOT

(AUGUST 15, 2011)

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 CCP PARTNERING OUTREACH BY EMAIL AT:
PARTNERINGINFO@AZDOT.GOV**

TABLE OF CONTENTS

Chapter	Contents	Pages
1	General Partnering Overview <ul style="list-style-type: none">• What is Partnering?• Partnering Principles• Partnering Roles	5 - 11
2	Types of Partnerships <ul style="list-style-type: none">• Public• Internal• Construction	12 - 13
3	Building a Partnership <ul style="list-style-type: none">• Education• Planning for the Partnership• Issue Resolution• Ongoing Support• Record Best Practices / Lessons Learned• Implement Changes	14 - 16
4	Construction Partnering Workshop <ul style="list-style-type: none">• Roles and Responsibilities• Guidelines for Choosing a Partnering Facilitator• Partnering Workshop Models• Designing the Construction Workshop• Workshop Handouts• Workshop Coordination Checklist• Construction Workshop Attendees Checklist• Meeting and Conference Planners• Estimating the Cost of a Partnering Workshop	17 - 35
5	Issue Resolution <ul style="list-style-type: none">• Resolving Construction Project Issues• Issue Resolution Steps	36 - 42

TABLE OF CONTENTS (CONT)

Chapter	Contents	Pages
6	Partnering Evaluation Program (PEP) <ul style="list-style-type: none">• Overview and background• Reports• Benefits• Evaluation	43 - 48
7	Role of the Facilitator <ul style="list-style-type: none">• Planning for the workshop• Facilitating the workshop• Workshop follow-up	49 - 51
8	Education <ul style="list-style-type: none">• 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• Outreach	52 - 54
9	Partnering Outreach <ul style="list-style-type: none">• Partnering Outreach Office• Support Services• Education• Administration• Outreach• Partnering Workshops and Meetings	55 - 57
10	Partnering Process Continuous Improvement	58 - 59
11	Forms	60 - 68
	Glossary	69 - 71

CHAPTER I

GENERAL PARTNERING OVERVIEW

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

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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 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 now 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

There are many reasons why partnering is valuable, but it can be summed up best by stating partnering helps form the basis for an excellent working relationship. Successful partnerships are built on a commitment by all team members to stand by and hold true to a set of common principles. These principles define the values of partnering at its core and include:

- **TRUST**
 - Knowing that partners will look out for each other's best interests
 - Knowing you will be treated fairly

- **COMMITMENT**
 - Establishing and keeping agreements
 - Doing what you say you will do
 - Maintaining personal integrity

- **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

- **COOPERATION, TEAMWORK AND RELATIONSHIPS**
 - 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)

■ ISSUE RESOLUTION

- Having agreements and a process in place so issues are prevented when possible or are identified and resolved before they harm the partnership or the project
- Resolving issues by following established rules and an escalation process determined by the partnership members

■ MEASUREMENT/FEEDBACK

- Evaluating the progress of the partnership toward goals and learning what works and what doesn't work
- Celebrating teamwork and identifying issues in a timely manner through the reports in the Partnering Evaluation Program (PEP)

■ CONTINUOUS IMPROVEMENT

- Using the reports from PEP to determine opportunities for improvement and make the required changes
- Using lessons learned to improve the team

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)

COMMUNICATION AND COMMUNITY PARTNERSHIPS - PARTNERING OUTREACH

The ADOT Communication and Community Partnerships Division (ADOT CCP) is responsible for a variety of communication functions that include administration of ADOT's partnering program. CCP reports directly to the ADOT Director and is organizationally aligned as an independent division. CCP supports ADOT's mission through communication, outreach, and 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.

ADOT CCP Partnering Outreach staff will 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
- Coordinating with other staff in ADOT CCP to coordinate partnering with public involvement activities
- Promoting the use of the PEP database and providing support
- Measuring the health of partnering relationships and the partnering process
- Strengthening customer relations 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 Associations, 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
- To create new funding arrangements
- To improve relations with the public

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 52-54 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 42 as they are working to resolve issues
 - The Issue Escalation Ladder on page 38 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
- GUIDELINES FOR CHOOSING A PARTNERING FACILITATOR
- PARTNERING WORKSHOP MODELS
- DESIGNING THE CONSTRUCTION WORKSHOP
 - Desired Outcomes
 - Planning for the Workshop
 - 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. CCP Partnering Outreach staff will contact the ADOT Resident Engineer (RE) and the contractor as soon as a project has been awarded. They will discuss the details of the project and make a joint decision regarding who will facilitate the construction workshop. All decisions regarding the type of facilitator to use and the selection of the actual facilitator will be made in coordination with the CCP Partnering Outreach team. The guidelines listed below will be used to make the decision. When an ADOT facilitator is unable to facilitate the workshop or the project team agrees to use a consultant facilitator, CCP will be responsible for issuing the task assignment and purchase order as well as processing the payment.

The contractor must be involved in determining the location and time of the workshop, and decisions regarding food. 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 CCP Partnering Outreach staff, the RE and the contractor when choosing a facilitator. These same factors will be considered by the ADOT RE, contractor and facilitator when 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 CCP PARTNERING OUTREACH FACILITATORS

- Fully trained ADOT CCP 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 CCP 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 CCP Partnering Outreach 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. CCP Partnering Outreach staff and the facilitator will work with the primary partners to design the workshop.

■ MINIMAL DEGREE OF COMPLEXITY MODEL -

Key ingredients to build partnerships that are minimally complex:

- Simple planning: Two or three partnership leaders agree upon 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 (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 kick-off for some partnerships)
- Additional meetings also may occur to update new partners or provide a focused forum for different partner groups
- Weekly meetings (at least one of the weekly meetings each month should be used to discuss and develop action plans based on PEP evaluation and feedback)
- Team building or project closeout meetings maybe scheduled to review lessons learned

CONSTRUCTION PARTNERING WORKSHOP

PARTNERING WORKSHOP MODELS (CONT)

■ HIGH DEGREE OF COMPLEXITY MODEL -

Key ingredients to build partnerships that are highly complex:

- A series of pre-workshop planning meetings, involving key partnership leaders 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. This list will be developed by CCP Partnering Outreach staff, the RE, and the contractor by using the “Construction Workshop Attendees Checklist” on page 33 as a guide. 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 also is developed to resolve issues that are beyond the authority of the project level parties. Refer to page 38 for detailed information regarding the Issue Escalation Ladder.

Together with the project leaders, the facilitator, and CCP Partnering Outreach 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 workshops 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 pre-workshop planning, identify roles, responsibilities, and any action items. Project leaders need to take a strong leadership role. Partnership leaders, the facilitator, and CCP Partnering Outreach all play key roles in this process.

The project or partnership leaders, facilitator, and CCP Partnering Outreach staff will meet to:

- Determine details regarding the workshop model chosen for their particular project (see pages 20-21)
- Determine the date, length and location
- Schedule the partnering workshop, possibly on the same day as the pre-construction conference as specified in the ADOT Standard Specifications Sections 104.01 and 108.03 (<http://www.azdot.gov/highways/ConstGrp/Contractors/PDF/2008StandardSpecifications.pdf>)
- Identify workshop outcomes and develop an agenda that will encourage participation by all partners
- Draft a team charter if applicable
- Determine how the project leaders will kick off the workshop, set the tone for teamwork, and close the workshop
- Ask the project leaders to be prepared to present an overview of the project
- Identify workshop attendees by using the “Construction Workshop Attendees Checklist” on page 33 as a guide to clarify the stakeholders who need to attend
- Develop a plan for those who are unable to attend
- Develop a plan if the designer is unable to attend
- Determine the seating arrangements for the workshop
- Begin identifying key project issues for inclusion in the action plan

CONSTRUCTION PARTNERING WORKSHOP

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
- Partnership leaders 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:
http://www.azdot.gov/CCPartnerships/Partnering/Education/Intro_to_Partnering.asp
- 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 Principles of Partnering.

- Facilitator presents an overview of partnering and the partnering principles
- 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 Partnering Evaluation Program (PEP) by which the team and project can be measured. Refer to pages 43-48 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

ISSUE RESOLUTION PROCESS:

Outcome: Understand the issue resolution process. Refer to pages 36-42 for further information.

- Develop the Issue Escalation Ladder

CONSTRUCTION PARTNERING WORKSHOP

WORKSHOP CONTENT (CONT)

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	Action (What, Who, How, When)	Resolution / Comment	Status

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 Feedback of Workshop Effectiveness 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)
http://www.azdot.gov/CCPartnerships/Partnering/Docs/Forms/ClassSignInSheet_IntroPartII.xls
- **COMMUNICATION MATRIX FOR ALL ATTENDEES**
http://www.azdot.gov/CCPartnerships/Partnering/Docs/Forms/CommunicationMatrix_SignInSheet.doc
- **PARTICIPANT FEEDBACK OF WORKSHOP EFFECTIVENESS**
<http://www.azdot.gov/CCPartnerships/Partnering/Docs/Forms/ParticipantFeedbackofWorkshopEffectiveness.doc>
- **WORKSHOP AGENDA –**
See example on page 63

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

- **ISSUE RESOLUTION CARD HANDOUT –**
Available at the CCP Partnering Outreach Office
- **PARTNERING CHAMPION CARD HANDOUT –**
Available at the CCP Partnering Outreach Office
- **FACILITATOR PERFORMANCE EVALUATION**
<http://www.azdot.gov/CCPartnerships/Partnering/Docs/Forms/FacilitatorPerformanceEvaluation.doc>
- **PEP EVALUATION TEMPLATE**
See example on page 64
- **PROJECT CLOSEOUT - PARTICIPANT FEEDBACK OF WORKSHOP EFFECTIVENESS**
http://www.azdot.gov/CCPartnerships/Partnering/Docs/Forms/ProjectCloseout_ParticipantFeedbackofWorkshopEffectiveness.doc
- **ROUTING FORM FOR CONSTRUCTION ISSUE RESOLUTION**
http://www.azdot.gov/CCPartnerships/Partnering/PDF/IR_Routing_Form.pdf
- **WEEKLY MEETING FORMAT GUIDELINE**
<http://www.azdot.gov/CCPartnerships/Partnering/Docs/WeeklyMeetingFormatGuideline.doc>

WORKSHOP COORDINATION CHECKLIST

Tracs#:		Project Name:	Org #:	Contractor Name:
DE:		RE Name:	Coordinator Name:	Contractor Contact
Step	Who	Responsibility	Why / Details	Contact Information / Comments
1	CCP staff	Contact the ADOT RE as soon as the project has been awarded. Use the assessment checklist (includes complexity of the project, partnering experience, public involvement issues, stakeholder involvement and other criteria) to determine the services required to facilitate the workshop and what workshop model to use.	CCP staff will be involved with the project manager during the project design phase and will have knowledge of the complexity of the project, public involvement or stakeholder involvement needed.	
2	CCP staff, ADOT RE and contractor	Discuss the options regarding the facilitator, services to be provided, workshop model, and workshop costs with the contractor to reach agreement. If an ADOT facilitator is unable to facilitate the workshop, CCP will create the task assignment and purchase order for an on-call consultant.	Because the contractor is a partner and pays for half of the cost of the workshop, they need to be involved in the decision. If a consultant facilitator is needed, CCP is required to create the task assignment and process the payment because it is a CCP contract.	
3	RE*, contractor and workshop facilitator	Determine the details and duration of the workshop based on the “Partnering Workshop Model” chosen. Refer to pages 20-21 of “Partnering 101”.	Sufficient time must be allowed to accomplish the goals of the workshop. It is better to allow more time than needed and finish early than to take longer than scheduled. Be sure the facilitator and the contractor are involved in the workshop planning.	
4	RE*, contractor and workshop facilitator	Determine the stakeholders to be invited by using the “ Construction Workshop Attendees Checklist ” on page 33 of “Partnering 101”.	All stakeholders should be included in the invitation. The stakeholder will then determine if they should attend or not.	

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

Step	Who	Responsibility	Why / Details	Contact Information / Comments
5	RE*, contractor and workshop facilitator	Select the date for the workshop.	Coordinate with major stakeholders and facilitator. The construction contract must be signed by the contractor prior to the workshop date.	
6	RE*, contractor and workshop facilitator	Determine the location for the workshop. An ADOT, contractor, or offsite conference room may be used. If an offsite conference room must be paid for, state procurement rules require the use of a Meeting and Conference Planner. Refer to “Meeting and Conference Planners” on page 34 of “Partnering 101”.	The number of workshop participants will determine the size of conference room needed. Be sure the location is large enough to hold everyone invited. The contractor must be involved in this decision.	
7	RE*	If a meeting planner is required, complete the purchase order.	The purchase order must be completed before the planner can contract with the conference room location on ADOT’s behalf.	
8	RE* and contractor	Determine if food will be served. If so, state procurement rules must be followed. If an offsite conference room is being paid for, the planner will also arrange for the food. If not, an ADOT qualified vendor may be used.	Food is not mandatory. If food is served, the cost is shared equally by ADOT and the contractor. The contractor must be involved in this decision.	
9	RE*	If food will be served, create the purchase order for the ADOT vendor or include these expenses in the purchase order issued to the meeting planner.	The purchase order must be completed before the vendor can proceed.	
10	RE*	Confirm the logistics (date, duration, time, stakeholder list, location, food) with the contractor and the facilitator.		

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

Step	Who	Responsibility	Why / Details	Contact Information / Comments
11	RE* and CCP staff	<p>CCP staff and RE will create the invitation list together. The invitation letter will be sent by the RE to all stakeholders via email. The letter will include the link to the “Introduction to Partnering Elearning” www.azdot.gov/CCPartnerships/Partnering/Education/Intro_to_Partnering.asp and request those new to partnering complete the class.</p> <p>Refer to “Construction Workshop Attendees Checklist” on page 33 of “Partnering 101”.</p>	<p>When sending out the invitation, be sure to copy CCP at: PartneringInfo@azdot.gov</p>	
12	RE*	<p>Call or email workshop invitees to confirm attendance.</p>	<p>An accurate count is important for ordering food and for the facilitator to prepare for the workshop.</p>	
13	RE*	<p>Finalize any needed purchase order (meeting planner or food).</p>	<p>A consultant operated org will need to contact their District Office Manager or Administrative Service Officer (ASO) to create the purchase order.</p>	
14	RE*	<p>Follow up after the partnering workshop.</p>	<p>If applicable, process and send invoices to Accounts Payable to pay the caterer and/or the planner. Send the following information to CCP at: PartneringInfo@azdot.gov</p> <ol style="list-style-type: none"> 1. Partnering facilitation issues 2. Partnering Facilitator Performance Evaluation 3. Workshop feedback 4. Lessons learned 	
15	CCP Staff	<p>If an on-call consultant facilitates the workshop, CCP staff will send a copy of the final invoice to the construction org for their records.</p>		

***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 ADOT RE and Contractor's Project Manager 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 WORKSHOP ATTENDEE CHECKLIST

Yes/No	Title	Contact Name:
	Should Attend:	
	ADOT Resident Engineer or Project Supervisor	
	Contractors Project Manager (Prime)	
	Lead ADOT Inspector	
	Contractor's Foreman	
	ADOT Project Manager	
	Technical Support (drainage, electrical, materials, roadway structures, traffic)	
	Maintenance	
	Suppliers	
	Sub-Contractors	
	Partner Stakeholder Representative (FHWA, Cities/Towns, Counties, COG, MPO, BIA, BLM, ADEQ, ASLD, Tribal Communities, USFS)	
	ADOT Community Relations Officer (CRO)	
	Workshop Facilitator	
	Attend if Possible:	
	District Engineer	
	Assistant District Engineer	
	Construction company CEO (Prime)	
	Civil Rights Office representative	
	CCP Partnering Outreach representative	
	Field Reports representative	
	Environmental Planning representative	
	Law Enforcement representative	
	Utility company representative	
	Attend as Appropriate:	
	Construction Engineer	
	Designer	
	Landscape	
	Right of Way Group	
	Roadway Engineering	
	Utility and Railroad Engineering	
	Always Copy:	
	<i>PartneringInfo@azdot.gov</i>	

CONSTRUCTION PARTNERING WORKSHOP

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. Funding for building the partnership must be secured for other types of partnerships.

The ADOT construction office in charge of the project (Org) and the contractor are encouraged to conduct comprehensive, pre-workshop preparation. This should consist of the key partners and the partnering facilitator discussing the project together and identifying all major relationship issues and technical issues and affected groups. 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
CCP Partnering Outreach staff will provide the estimated cost if using a Consultant Facilitator. Use of a CCP Partnering Outreach 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 42 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*
Operations	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 all parties' needs through a common solution. Another priority should always be on the timely resolution of any issue. The longer an issue remains unresolved, the more negative the impact it will have on the project.

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. If an issue is not being resolved to your satisfaction, then a formal escalation should be requested. "I would like to formally escalate this issue" needs to be stated to the partner on your level. This is not up for debate, if an escalation is requested, it must be escalated to the next level.

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

CONSTRUCTION PARTNERING ISSUE RESOLUTION

RESOLVING CONSTRUCTION PROJECT ISSUES (CONT)

Either party may initiate “escalation,” but acknowledgment and signatures are required by both parties. Once “escalation” is initiated, the issue should be transmitted jointly by those involved from one level to the next level, to eventual resolution. Copies of the signed escalation should be kept by all parties. When issues arise at any specific level, that level is responsible for identifying if they have the authority to resolve the issue. If they do not have the authority to make the decision, the issue should be escalated immediately and jointly by both parties. 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 a decision. This 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 can be found at http://www.azdot.gov/CCPartnerships/Partnering/PDF/IIR_Routing_Form.pdf. These forms must be completed at the Resident Engineer and contractor’s Project Manager level 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. Signatures from both the Resident Engineer and the contractor’s Project Manager must be on the forms. Once the forms are complete, they must be forwarded, per the instructions for that level, to all designated recipients. This form will help identify the types of issues that are being escalated, which may help ADOT 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 CCP Partnering Outreach Office 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 CCP Partnering Outreach Office 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

- Make decisions that are within your expertise and comfort level
- Saying "I don't know" is acceptable, if you are not comfortable in making a decision 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

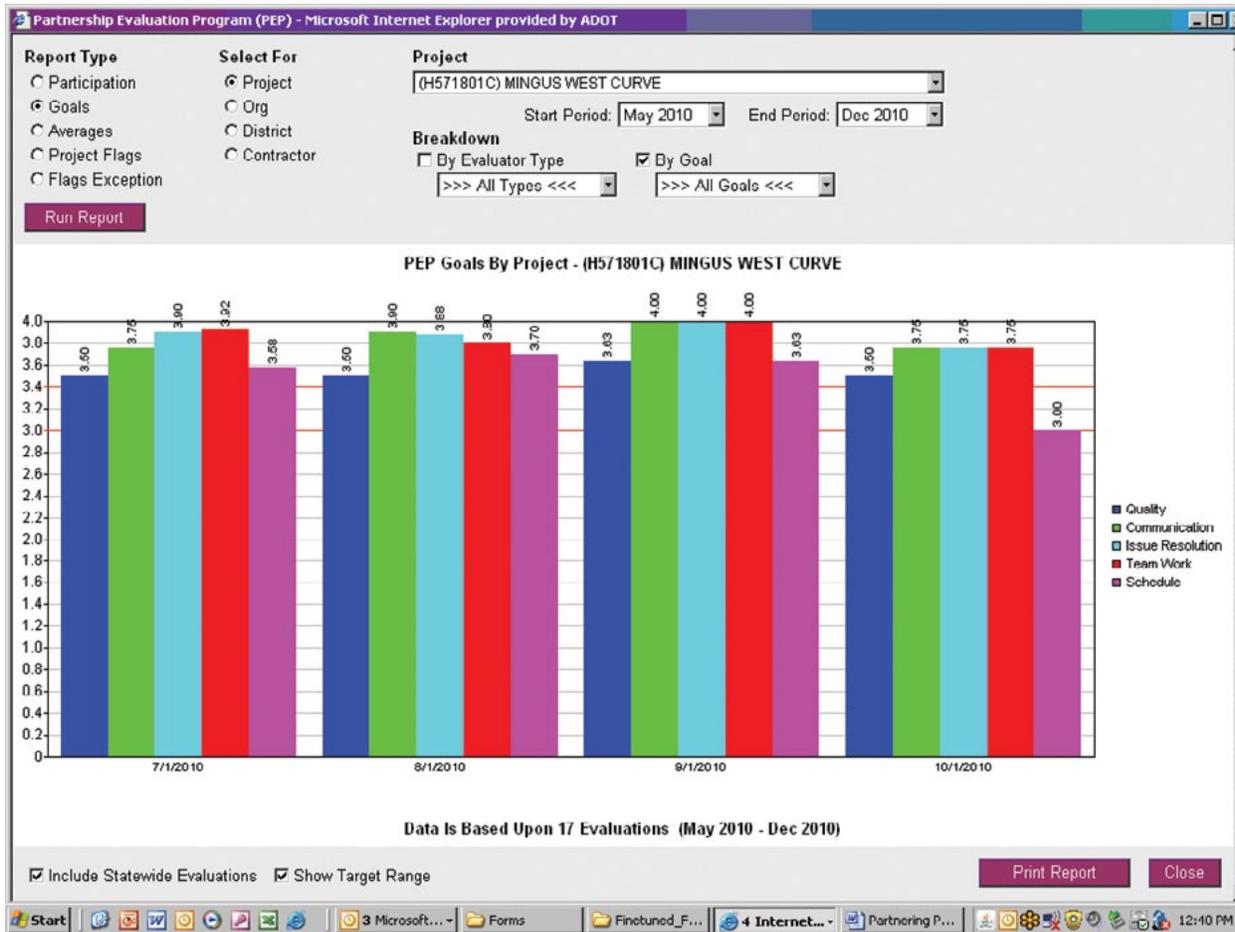
The Arizona Department of Transportation developed a unique and highly effective process of evaluation and measurement known as the Partnering Evaluation Program (PEP). The purpose of PEP is to measure the performance of teams relative to their ability to work together. The result is an array of processes 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)
<http://www.azdot.gov/CCPartnerships/Partnering/PEP.asp>
- 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 64-65 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

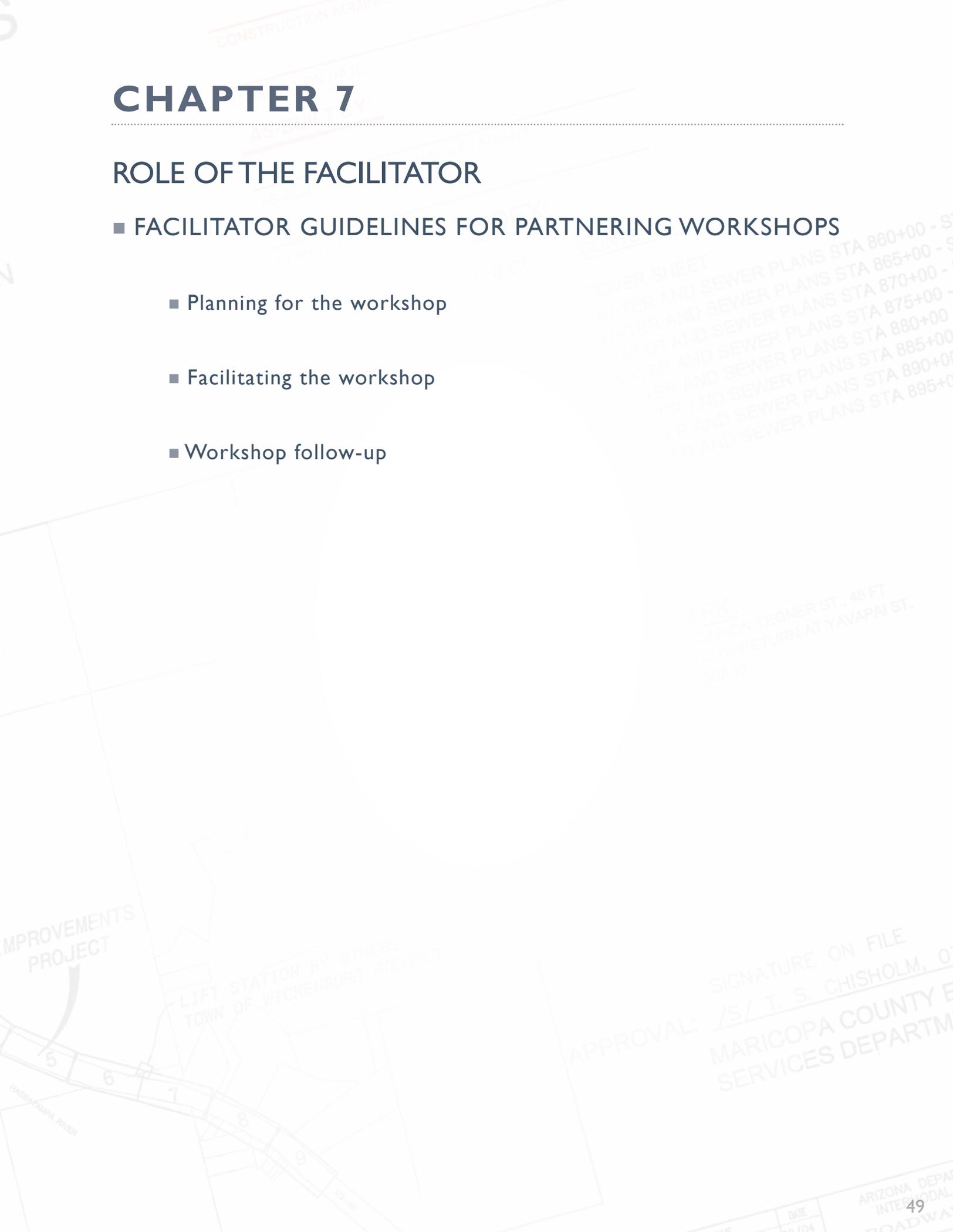
POST WORKSHOP

- 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 ADOT RE and the Contractor Project Manager 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 61 and should be used for all workshops.

PLANNING FOR THE WORKSHOP

- Collect background information (history, number of jobs together, PEP evaluations)
- Work with the RE and contractor 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 RE and contractor 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 “Participants Feedback of Workshop Effectiveness” form

WORKSHOP FOLLOW-UP

- Send the report to all members of the project team within three working days or if this is not possible, send the Action Plan within 24 hours and follow with the report as soon as possible
- Send the completed “FACILITATOR FEEDBACK ON PARTNERING WORKSHOP” form and the workshop report to: *PartneringInfo@azdot.gov*
- 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
- OUTREACH

DESIGN	DES	DATE	
DESIGN	DES	01/09	
DRWN	AJP	01/09	
CHECKD	JMP	02/09	
TEAM LEADER	DES	10/10	

ARIZONA DEPARTMENT OF TRANSPORTATION
INTERMODAL ROADWAY
PLA
STA 1048+50
STA 1061+00.

ROUTE US 60 LOCATION WICKENBURG-SAN DOMINGO

TRACS NO. H 7578 01 C

52

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. This class is mandatory for new ADOT supervisors, managers, and other employees in construction and maintenance. You will find the online class at this link:

http://www.azdot.gov/CCPartnerships/Partnering/Education/Intro_to_Partnering.asp

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 CCP Partnering Outreach
- 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 Partnering Evaluation Program process forms
- Recognize the types of data generated by the Partnering Evaluation Program

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 CCP Partnering Outreach web site - <http://www.azdot.gov/partnering/>

OUTREACH

The CCP Partnering Outreach Office has made extensive contributions to partnering education throughout Arizona and the U.S. Some accomplishments include:

- The development of a partnering class offered through Arizona State University’s Del E. Webb School of Construction
- Development of a partnering module that is included in the American Minority Contractors Association’s “The Business of Construction” educational series
- Major contributor to the development of the National Highway Institutes’ Partnering Course

CHAPTER 9

PARTNERING OUTREACH

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

PARTNERING OUTREACH

PARTNERING OUTREACH OFFICE

ADOT's CCP Partnering Outreach Office 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 CCP Partnering Outreach Team.

SUPPORT SERVICES

- Administer the PEP Program
- 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
- Strategic Planning
- Develop and implement productivity measurements
- Manage contracts for facilitators and others as needed
- Maintain the partnering website

PARTNERING OUTREACH

OUTREACH

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

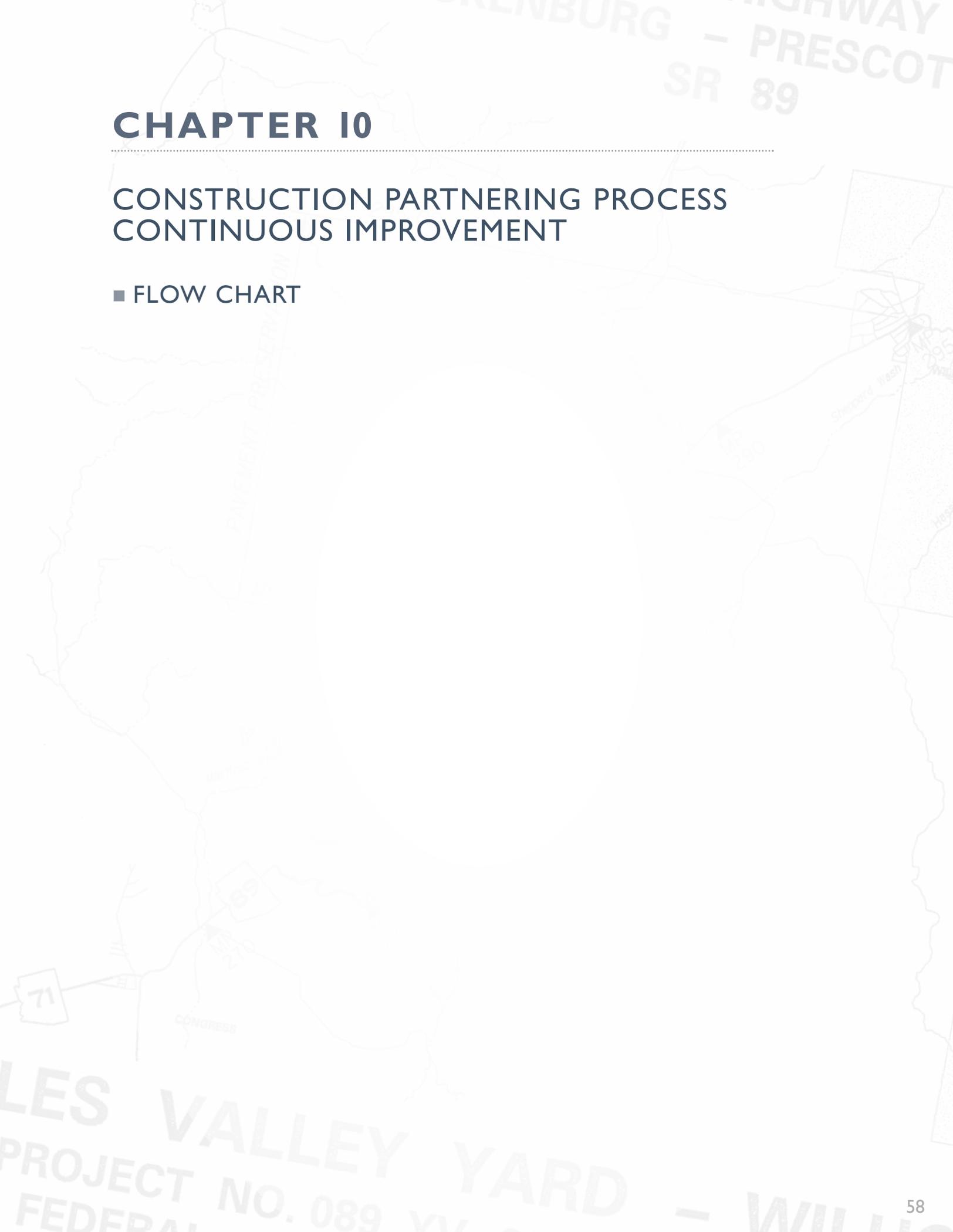
PARTNERING WORKSHOPS AND MEETINGS

- Provide trained facilitators
- Provide examples and guidance

CHAPTER 10

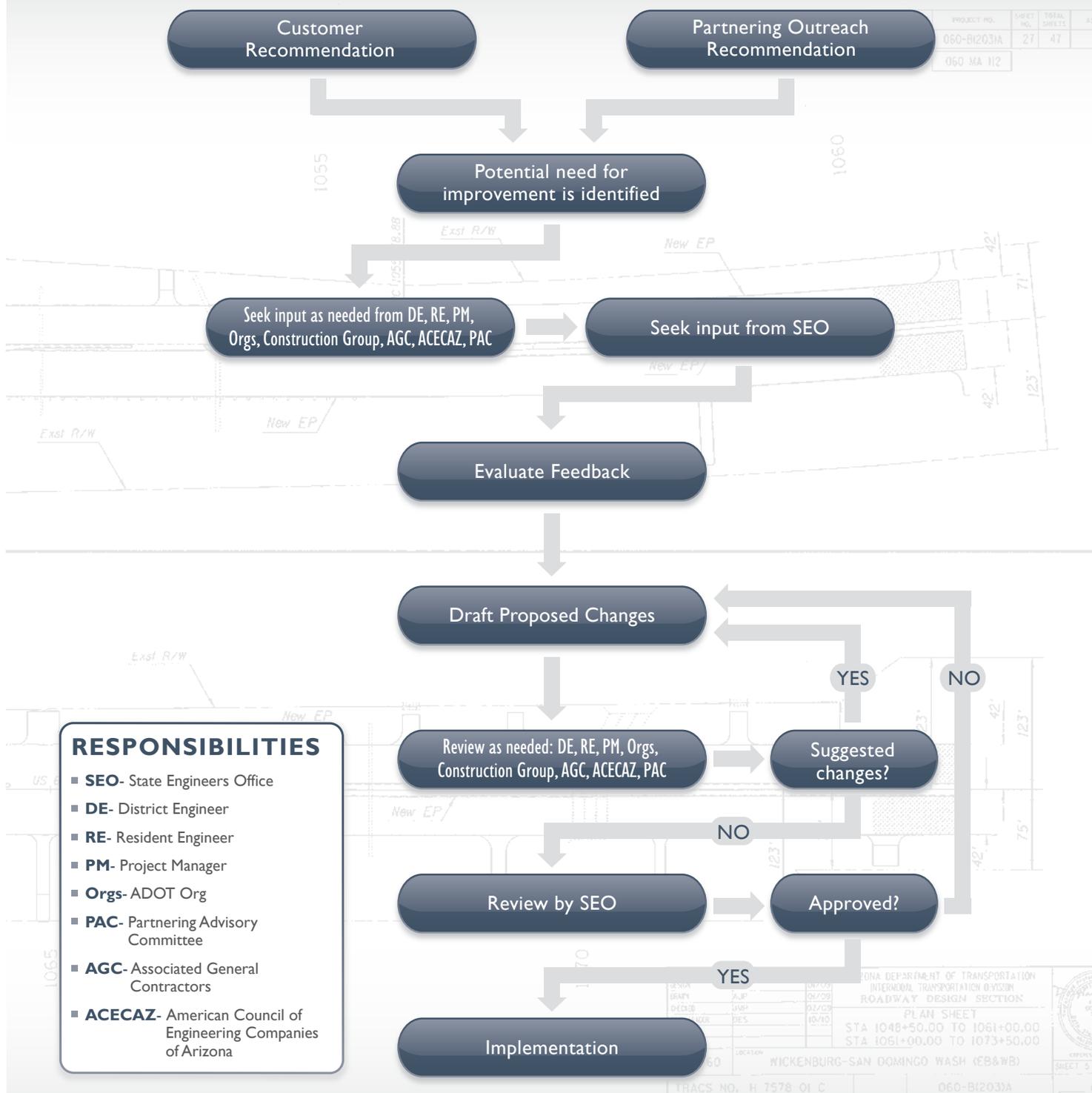
CONSTRUCTION PARTNERING PROCESS CONTINUOUS IMPROVEMENT

- FLOW CHART



CONSTRUCTION PARTNERING PROCESS CONTINUOUS IMPROVEMENT CYCLE

REDUCED SIZE DO NOT SCALE



CHAPTER II

FORMS

- CONSTRUCTION PARTNERING FACILITATOR CHECKLIST
- CONSTRUCTION WORKSHOP INVITATION TEMPLATE
- SAMPLE AGENDA
- PEP EVALUATION TEMPLATE / EXAMPLE
- ACTION PLAN TEMPLATE
- WORKSHOP REPORT OUTLINE

CONSTRUCTION PARTNERING FACILITATOR CHECKLIST

This checklist is designed to be used in conjunction with details and forms found in “Partnering 101”: <http://www.azdot.gov/partnering/partnering101.asp>

PLANNING FOR THE WORKSHOP	
	Collect background information for the project, construction org and contractor (history, number of jobs together, PEP evaluations).
	Work with the Resident Engineer (RE) and contractor to determine the workshop details.
	Discuss the overall approach to partnering to ensure key project leaders are in agreement.
	Include other stakeholders as dictated by the project.
	Be sure designers, subcontractors, suppliers and stakeholders are invited to the workshop.
	If possible, drive through the project with the RE & 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. Coordinate with the RE and contractor to create the agenda, the draft charter and the escalation ladder.
	Confirm logistics of the workshop such as the date, duration, time, stakeholder list and location.
FACILITATING THE WORKSHOP	
	Provide name tags or name tents and markers.
	Provide a handout for each participant that includes an agenda and a “Participant Feedback of Workshop Effectiveness” form.
	Provide a sign-in sheet that includes contact information (name, company, address, 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.
	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 (use the draft as a starting point) and project/team goals that all members agree with. 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. Be sure they know it is their responsibility to enter the sub-goals into the PEP database for this project.
	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 Feedback of Workshop Effectiveness” forms.
POST WORKSHOP REQUIREMENTS	
	Complete a customized Partnering Workshop Report.
	Send the “Facilitator Performance Evaluation” form to the RE and contractor project manager
	Send the report to all members of the project team within 3 working days. If this is not possible, send the Action Plan within 24 hours and follow with the report as soon as possible.
	Return the ADOT Class Sign-in sheet to ITD Tech at: HRDCTraining@azdot.gov .
	Send the Workshop Report, completed “FACILITATOR FEEDBACK ON PARTNERING WORKSHOP” form and names and email addresses of the Partnering Champions for the project to: PartneringInfo@azdot.gov .
	Provide follow-up, additional consultation, or facilitation during the project if requested by CCP.

FORMS

CONSTRUCTION WORKSHOP INVITATION TEMPLATE

{Insert First Name, Last Name, Title}
{Insert Address}

RE: {Insert Project Name and Tracs Number}

Dear {Insert Name}:

You have been identified as a key stakeholder in regard to the above project and we invite you to participate in the Partnering Workshop. If applicable, please extend this invitation to subcontractors, suppliers and other key members of your team.

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. This includes developing mutual goals, establishing measurements, and jointly creating a problem-solving procedure to eliminate unnecessary delays, costs, or inconveniences. A project charter will be developed outlining the project goals and objectives of all parties.

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://www.azdot.gov/CCPartnerships/Partnering/Education/Intro_to_Partnering.asp.

Please confirm your attendance by {Insert Date} and provide the names of those who will attend. You may respond to this email or call {Insert name and phone number}.

(Check one)

Food will be available for those who RSVP by {Insert Date and Time}

Food will not be available at this workshop

Sincerely,

{Insert RE Name}

Resident Engineer

ARIZONA DEPARTMENT OF TRANSPORTATION

FORMS

SAMPLE AGENDA - FOUR-HOUR PARTNERING WORKSHOP

AGENDA	ADOT District/Org and Contractor Names Project Name and Tracs # Date and Time of Meeting Location of Meeting
8:00 a.m. - 8:15 a.m.	HOUSEKEEPING (15 minutes) • Restroom location • Cell phone reminder • Agenda Review
8:15 a.m. - 8:30 a.m.	INTRODUCTIONS (15 minutes) • Name, Company, Role on project
8:30 a.m. - 8:45 a.m.	WORKSHOP KICKOFF (15 minutes) • Welcome by project leaders • Project overview
8:45 a.m. - 9:15 a.m.	PRINCIPLES OF PARTNERING (30 minutes)
9:15 a.m. - 9:30 a.m.	CHARTER (15 minutes)
9:30 a.m. - 9:45 a.m.	BREAK (15 minutes)
9:45 a.m. - 10:00 a.m.	PARTNERING CHAMPIONS AND PEP (15 minutes)
10:00 a.m. - 10:15 a.m.	ISSUE RESOLUTION (15 minutes)
10:15 a.m. - 11:45 a.m.	ISSUES AND ACTION PLAN (90 minutes)
11:45 a.m. - 12:00 p.m.	CLOSING COMMENTS / MEETING EVALUATION (15 minutes)

NOTE:

These agenda items are appropriate for partnering workshops of any length. The agenda should be customized by changing the time allowed for each item based on the project and the team members.

FORMS

PEP EVALUATION TEMPLATE / EXAMPLE

PARTNERING EVALUATION PROGRAM (PEP) CONSTRUCTION					
Project Name: _____ TRACS Number: _____					
Your Name: _____ Your Company: _____					
Period Being Evaluated: _____					
Evaluator Type: <input type="checkbox"/> ADOT <input type="checkbox"/> Contractor <input type="checkbox"/> Sub-Contractor <input type="checkbox"/> Supplier <input type="checkbox"/> Other					
OPTIONAL: You may complete your evaluation online at https://www.azdot.gov/websignon Please visit the Partnering Outreach website for additional information about Partnering and PEP online Evaluations. http://www.azdot.gov/Partnering Contact Partnering Outreach with questions or comments by emailing: PartneringInfo@azdot.gov					
Effective Comment - "I'm not receiving notification about changes to the concrete pouring schedule" Ineffective Comment - "Poor communication between contractor and ADOT"					
Standard Evaluation Goals	Evaluation Criteria and Scores				
1. Quality The process to construct and document quality has: SUB-GOALS: Deliver a final product that is pleasing to the public. Applications of lessons learned. Using good quality control and assurance measures.	Significant Problems 0.5 1.0 1.5	Performed Below Expectations 2.0 2.5	Met Expectations 3.0 3.5	Exceeded Expectations 4.0	Don't Know
Comments: _____ _____ _____ _____ _____					
<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition					
2. Communication The process of timely, accurate information flow is: SUB-GOALS: Develop and maintain proper channels of communication. Openness, respect, tact, good listening. Appropriate feedback among all partners.	Below Levels to Support Projects 0.5 1.0 1.5	At Marginally Acceptable Levels 2.0 2.5	At Expected Levels 3.0 3.5	Exceeding Expectations 4.0	Don't Know
Comments: _____ _____ _____ _____ _____					
<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition					
3. Issue Resolution Team members identify issues and find that the process of timely resolution or escalations is: SUB-GOALS: Be proactive in issue resolution. Clarify and resolve issues timely. Appropriate feedback at all levels. Resolve issues at the level closest to the issue control and assurance measures.	Not Functioning 0.5 1.0 1.5	Functionin, but Untimely 2.0 2.5	Established and Functioning 3.0 3.5	Exceeding Expectations 4.0	Don't Know
Comments: _____ _____ _____ _____ _____					
<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition					

FORMS

PEP EVALUATION TEMPLATE / EXAMPLE

<p>4. Teamwork and Relationships Interrelationships of team members are understood and an open and coordinated effort by all members has:</p> <p>SUB-GOALS: Function effectively as a project team. Be cooperative and cordial and open to new ideas and innovative solutions. Help each other.</p>	<table border="1"> <thead> <tr> <th>Not Yet Been achieved</th> <th>Occurred in Most Cases</th> <th>Met Expectations</th> <th>Exceeded Expectations</th> <th>Don't Know</th> </tr> </thead> <tbody> <tr> <td>0.5 1.0 1.5</td> <td>2.0 2.5</td> <td>3.0 3.5</td> <td>4.0</td> <td></td> </tr> <tr> <td colspan="5">Comments: _____</td> </tr> <tr> <td colspan="5">_____</td> </tr> <tr> <td colspan="5">_____</td> </tr> <tr> <td colspan="5">_____</td> </tr> <tr> <td colspan="5"> <input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition </td> </tr> </tbody> </table>	Not Yet Been achieved	Occurred in Most Cases	Met Expectations	Exceeded Expectations	Don't Know	0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0		Comments: _____					_____					_____					_____					<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition				
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Comments: _____																																				

<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition																																				
<p>5. Schedule The process to monitor and assure that schedule commitments are delivered is:</p> <p>SUB-GOALS: Finish the project on or ahead of schedule. Perform tasks in a safe and timely manner. Consider all potential delays and impacts to the schedule. Conduct regular schedule reviews.</p>	<table border="1"> <thead> <tr> <th>Unresponsive</th> <th>Marginally Successful</th> <th>Met Expectations</th> <th>Exceeded Expectations</th> <th>Don't Know</th> </tr> </thead> <tbody> <tr> <td>0.5 1.0 1.5</td> <td>2.0 2.5</td> <td>3.0 3.5</td> <td>4.0</td> <td></td> </tr> <tr> <td colspan="5">Comments: _____</td> </tr> <tr> <td colspan="5">_____</td> </tr> <tr> <td colspan="5">_____</td> </tr> <tr> <td colspan="5">_____</td> </tr> <tr> <td colspan="5"> <input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition </td> </tr> </tbody> </table>	Unresponsive	Marginally Successful	Met Expectations	Exceeded Expectations	Don't Know	0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0		Comments: _____					_____					_____					_____					<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition				
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<p>Added by each team as desired – these are only examples</p>																																				
<p>6. Public Relations The process of giving accurate and timely information to the public is:</p> <p>SUB-GOALS: Timely news releases. Accurate message boards.</p>	<table border="1"> <thead> <tr> <th>Unresponsive</th> <th>Marginally Successful</th> <th>Met Expectations</th> <th>Exceeded Expectations</th> <th>Don't Know</th> </tr> </thead> <tbody> <tr> <td>0.5 1.0 1.5 2.0</td> <td>2.5 3.0</td> <td>3.5 4.0</td> <td></td> <td></td> </tr> <tr> <td colspan="5">Comments: _____</td> </tr> <tr> <td colspan="5"> <input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition </td> </tr> </tbody> </table>	Unresponsive	Marginally Successful	Met Expectations	Exceeded Expectations	Don't Know	0.5 1.0 1.5 2.0	2.5 3.0	3.5 4.0			Comments: _____					<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition																			
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<p>7. Traffic Control The process to control is:</p> <p>SUB-GOALS: Sufficient traffic control. Complete detours. Sequence ramps. Make sure traffic control stays intact. Traffic control is everyone's responsibility – if you see an issue make sure it is fixed timely.</p>	<table border="1"> <thead> <tr> <th>Unresponsive</th> <th>Marginally Successful</th> <th>Met Expectations</th> <th>Exceeded Expectations</th> <th>Don't Know</th> </tr> </thead> <tbody> <tr> <td>0.5 1.0 1.5 2.0</td> <td>2.5 3.0</td> <td>3.5 4.0</td> <td></td> <td></td> </tr> <tr> <td colspan="5">Comments: _____</td> </tr> <tr> <td colspan="5">_____</td> </tr> <tr> <td colspan="5">_____</td> </tr> <tr> <td colspan="5"> <input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition </td> </tr> </tbody> </table>	Unresponsive	Marginally Successful	Met Expectations	Exceeded Expectations	Don't Know	0.5 1.0 1.5 2.0	2.5 3.0	3.5 4.0			Comments: _____					_____					_____					<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition									
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<p>Additional Comments: _____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>																																				

FORMS

ACTION PLAN TEMPLATE

Topic / Issue	Action (What, Who, How, When)	Resolution / Comment	Status

FORMS

WORKSHOP REPORT OUTLINE

COVER PAGE – titled “Partnering Workshop Final Report”

Include all of this information underneath the title on the cover page:

- Partnership Name (ADOT District/Org & prime contractor name)
- Project name, Project # and Tracs #
- Workshop date, length and location
- Facilitator Name and organization
- 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
- Communications Matrix
- Team Charter/Mission and Goals
- Issue Resolution
- Partnering Champions
- PEP
- Issues & Action Plan
- Summary of Participants Feedback of Workshop Effectiveness

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
- Highlights of workshop, partnership challenges, special circumstances, etc.

COMMUNICATIONS MATRIX

A list of all attendees and key partnership members including:

- Name
- Company
- Address
- Role on project
- Phone numbers
- Email address

FORMS

WORKSHOP REPORT OUTLINE (CONT)

TEAM CHARTER

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

ISSUE RESOLUTION

Include the “Issue Escalation Ladder” completed with names and times
Include the rules for issue resolution and escalation

PARTNERING CHAMPIONS

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

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

ISSUES and ACTION PLAN

Include the list of issues and the action plan

SUMMARY OF PARTICIPANTS FEEDBACK OF WORKSHOP EFFECTIVENESS

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

(Please attach the original or a scan of the original Participant Feedback sheets to the report sent to CCP Partnering Outreach at partneringinfo@azdot.gov)

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

CCP – Communication and Community Partnerships

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 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