Partnering Concepts & Specifications

April 11, 2012
Learning Objectives

- Learn the basic concepts of Partnering
- Learn to apply Partnering concepts
- Learn what’s required in the specifications
- Learn to integrate Partnering
- Learn to develop and implement control documents
Introductions
Partnering Concepts

What is Partnering?
Introduction to Partnering

“The purpose of Partnering is to develop a proactive effort and spirit of trust, respect, and cooperation among all stakeholders in a project.”

- Open Communication
- Collaboration
- Standard of Behavior
- Efficient Performance
Partnering Not New

• Partnering is not a new concept
  • In 1929-30 Empire State Building in New York was completed in less than two years (18 months),
  • It was the team’s continuous cooperation, spirit of trust, open communication, and coordination that caused the construction process to be a success
Partnering an Attitude

• The Partnering process is an attitude
• The “spirit” of Partnering should occur on every project
• If Partnering is an attitude, it makes sense to do it on every job regardless of size
Definitions of Partnering

1. A planned and orchestrated effort by all stakeholders of a construction project to commit to an environment of mutual trust, open communication, cooperation and teamwork that causes everyone to win by achieving the mutually agreed-upon goals and objectives.

2. A process of collaborative teamwork to achieve measurable results through agreements and productive working relationships.

3. Partnering is a process of communications that brings problems to the attention of the responsible parties.

4. The goal of Partnering is to develop trust and confidence in all stakeholders, to enable them to perform their duties and responsibilities.

5. Partnering should develop a clear process for getting information to the proper people for resolution of issues or providing information.
Seven Principles of Partnering

1. Trust
2. Commitment
3. Communication
4. Cooperation, teamwork and relationships
5. Issue Resolution
6. Measurement and feedback
7. Continuous improvement
Partnering Principles

Empowerment

- The delegation of authority and responsibility to the lowest appropriate level in an organization. It enables individuals closest to an issue to make timely decisions to achieve timely resolutions.
Partnering Principles

**Accountability**

- If individuals are not accountable for their decisions, then there is the potential that individuals will make decisions that are not in accordance with the organization’s expectations.
- Clear delegation of authority and accountability reduces confusion. If the delegation of authority is not clear, it will lead to slower decision making.
Partnering Principles

**Issue Resolution**

- Critical to project success
- Conflict, in itself, is not bad
- Management of conflict is important
Benefits of Partnering

• More effective resolution of problems
• Early identification of problems, and cooperative, prompt resolution
• Minimized exposure to cost impacts associated with document deficiencies
• Better communication
• Better cooperation
• Fewer claims
• Fewer unresolved claims
• Better quality product
Partnering in Ohio
ODOT’s Partnering History

- Partnering in 1990’s
- BGSU Study (1994)
- Policy, Procedures, & Manuals
- Training
- Regrouping Efforts
- Initiatives
- Committees
- Specifications
2011 Commitment to Partnering

- ODOT/OCA Executive Leadership
- ODOT/OCA Partnering Steering Committee
- District Partnering Champions
- Mutual Statewide Partnering Goals
- Project First Partnering
- Institutionalize Partnering Culture
- Expanded Specifications
Statewide Partnering Goals

• Build important projects that last and serve the public interest
• On time and on budget
• Safety
• Respect the environment
• Timely issue resolution at the lowest level possible
• Open-minded
• Partner with stakeholders
• Trust and Respect
• Mitigation
• Transparency
• Quality
• Open and Effective communication

• **Project First** focus
So What’s New This Time?

• Policy & Standard Procedures
• Handbooks
  • “Project First” focus
  • Specifications now outline the process
  • Partnering throughout the duration of a project
  • **Institutionalizing** Partnering at all levels!
Partnering Specifications
ODOT Partnering

“A collaborative process for project cooperation and communication meant to achieve effective and efficient contract performance and completion of the Project within budget, on schedule, safely and with requisite quality in accordance with the contract.”

➢C&MS definition
Types of Partnering

• There is no “one size fits all,” Partnering model
  • Many variables to consider
• Needs to be the right “fit”
Types of Partnering

There are two types of Partnering available:

• Self-Facilitated Partnering

• Facilitated Partnering
Self-facilitated Partnering

- Section 108.02 Partnering (Self-Facilitated)
- The standard for all projects
- Does not affect the terms and conditions of the Contract
- All costs are incidental to the contract
- ODOT project engineer and Contractor will be the facilitators
Facilitated Partnering

• Proposal Note 111 (draft) will be included
• Costs associated with Facilitated Partnering are shared equally by ODOT and the Contractor
  • Paid for as Bid-Item in proposal
• Collaborate to choose a facilitator from the pre-qualified list
Partnering Tools

- Project value guidelines for consideration:

<table>
<thead>
<tr>
<th></th>
<th>Self-Facilitated Partnering</th>
<th>Facilitated Partnering</th>
<th>Dispute Resolution Advisor</th>
<th>Dispute Resolution Board</th>
</tr>
</thead>
<tbody>
<tr>
<td>$0-5 million</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$5-20 million</td>
<td>X</td>
<td>OR</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>$20 million +</td>
<td>X</td>
<td>OR</td>
<td>X</td>
<td>OR X</td>
</tr>
</tbody>
</table>

*Minimum requirement for all projects will be Self-Facilitated Partnering*
Determining Facilitated Partnering

Other Considerations:

- Project value
- Funding sources
- Project duration
- Project complexity
- Extent of utility & railroad involvement
- Project location & visibility
- Stakeholders and their goals
- Stakeholders’ experience with Partnering
- Coordination issues
- Public involvement
Specifications Updates

- New title section in C&MS: 108.02 Partnering
- Highlights existing tools as Partnering
- New subsections
Preparing for Partnering

• Prior to before beginning the Work, the Engineer and Contractor will discuss what to cover at the meetings
## Possible Stakeholders

**List of possible stakeholders:**

- **ODOT**

<table>
<thead>
<tr>
<th>District Executive Management</th>
<th>Production Project Manager</th>
</tr>
</thead>
<tbody>
<tr>
<td>District Construction Engineer</td>
<td>Utilities Coordinator</td>
</tr>
<tr>
<td>District Engineer of Tests</td>
<td>R/W as appropriate</td>
</tr>
<tr>
<td>Construction Area Engineer</td>
<td>Environmental</td>
</tr>
<tr>
<td>Project Engineer</td>
<td>Central Office Representative</td>
</tr>
<tr>
<td>Inspectors</td>
<td>EEO/Prevailing Wage</td>
</tr>
</tbody>
</table>
## Possible Stakeholders

### Contractor

<table>
<thead>
<tr>
<th>Role</th>
<th>Additional Personnel</th>
</tr>
</thead>
<tbody>
<tr>
<td>Company Management Representative</td>
<td>Foreman, lead workers, tradespeople</td>
</tr>
<tr>
<td>Project Manager</td>
<td></td>
</tr>
</tbody>
</table>

- Sub-contractors as appropriate
  - Project Superintendent
  - Estimators

(Any other contractor personnel deemed necessary)
### Possible Stakeholders

#### Designer

<table>
<thead>
<tr>
<th>Project Manager</th>
<th>Lead Designer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bridge Designer</td>
<td>Roadway Designer</td>
</tr>
<tr>
<td>Drainage Designer</td>
<td>Geotechnical</td>
</tr>
<tr>
<td>Environmental</td>
<td>Any other design personnel</td>
</tr>
</tbody>
</table>


Possible Stakeholders

➢ Others to consider

• FHWA
• Participating Government Agencies
• Safety Forces (EMS, Local Fire and Police)
• Utilities
• Local organizations or businesses that have an interest in the project
• Railroads
• Any other organizations necessary for the smooth operation of the project
Overview of Specifications

108.02 Partnering

A. Preconstruction Meeting
B. Initial Partnering Session
   ➢ PN 111 – Partnering Update Sessions
C. Progress Meeting
D. Post-Milestone Meeting
E. Partnering Monitoring
F. Mitigation and Notice
G. Dispute Resolution and Administrative Claims Process
H. Post Construction Meeting
I. Partnering Close-out Survey
108.02.A – Preconstruction Meeting

“Meet with the Engineer for a Preconstruction Meeting before beginning the Work.”
108.02.A – Preconstruction Meeting

Who conducts the meeting?

• The DCE, or designee, be responsible for conducting the Preconstruction Meeting
• Documentation of the meeting will be recorded and distributed to all attendees
108.02.B – Initial Partnering Session

- All stakeholders have an opportunity to meet and be involved
108.02.B – Initial Partnering Session

Establish an understanding that you must:

• Not ignore any issue
• Make decisions you are comfortable with
• Finalize-as-you-go
PN 111 – Partnering Update Sessions

• Quarterly update sessions held by the Facilitator
108.02.C – Progress Meetings
On multi-year, multi-phase, or projects with critical items of work or milestone dates, a project milestone meeting will be held to acknowledge significant completion of critical items.
108.02.E – Partnering Monitoring

• Monitor progress of goals established at the Initial Partnering Session
• On-line surveys available
• Status of the Partnering Relationship should be monitored and discussed openly
108.02.F – Mitigation and Notice

• New subsection
• Moved from under Disputes and Claims
• Provides for mitigation efforts to occur
• Allows for resolution at the lowest possible level
• Still must notify and adhere to 108.02.G requirements

Let's figure this out!
- What's the issue?
- How do we solve it?
- Document the process!
- Escalate as needed...
108.02.F – Mitigation and Notice

1. **Initial Oral Notification** – Contractor must provide oral notification of a potential issue
   - Attempt to resolve as quickly as possible

2. **Written Early Notice** – if issue is not resolved within 2 days of oral notice, provide written notice to the Engineer
3 Separate Terms...

Issue → Dispute → Claim
108.02.G – Dispute Resolution and Administrative Claims Process

3 step process:
- Project Level (On-site)
- District Level (DDRC)
- Director’s Claims Board or Alternate Dispute Resolution
108.02.G – Dispute Resolution and Administrative Claims Process

Step 1 (Project Level):

Issue → Dispute
Step 2 (District Level):
- District Dispute Resolution Committee (DDRC)

Issue → Dispute
108.02.G – Dispute Resolution and Administrative Claims Process

Step 3 (Executive Level):

- Director’s Claims Board

Dispute → CLAIM
108.02.H – Post Construction Meeting
108.02.I – Partnering Close-Out Survey

- Final survey for the project
- Feedback opportunity for all stakeholders
- Used for annual reporting purposes
Documenting the Partnering Process
Preconstruction Meeting Agenda/Minutes

Date of Conference: ______________ Location: __________________________

Name of Person Presiding over meeting: ____________________________
State Project No: ______________, C-R-S: ______________, PID: ____________
Project Type/Description: ____________________________
Bid date: ___________ Awarded date: ___________ Completion date: ___________
Estimate dates: ___________ and ___________ of each month, accepted payroll and certification of estimates is required (109.09)

Distribute and discuss applicable Plans, Specifications, Addenda information: ___________
________________________________________

Status of Utilities, RR and Local requirements: __________________________
________________________________________

107.20, 108.01, DBE/EEO/Prevailing wage bulletin and submittal discussion: ___________
________________________________________

PN 10, ARRA (Stimulus Project) data submission requirements discussion: ___________
________________________________________

107.19, SS832 - Erosion Control and Best Management Practices discussion: ___________
________________________________________
Initial Partnering Session
Agenda/Minutes

Project XXX(XX)
County-Route-Section
Initial Partnering Session
[Month Day, Year]

I. Welcome and Introductions

II. Goals (add project specific goals below)
   - Build important projects that last and serve the public interest
   - Build projects that are completed on time and on budget
   - Build projects that are safe for the workforce and the travelling public
   - Treat the environment with respect in all our projects
   - Resolve issues on projects respectfully, timely and without litigation whenever possible
   - Strive to resolve issues at the level closest to the project consistent with levels of authority
   - Seriously consider all alternative viewpoints on a project
   - Partner with all stakeholders including the public, local governments, utilities and other transportation modes
   - Trust and respect each other and all the partners on the project
   - Focus on the Project first with attitudes of success and fairness
   - Commit to responsibly mitigate the impact of issues as they arise
   - Manage our projects so that they are fully transparent and meet all real and perceived legal standards
   - Build quality projects that we’re proud of
   - Communicate openly and effectively
   - Empower our people to use and enforce these principles
   -
Progress Meeting Agenda

Project XXX(XX)
County-Route-Section
PROGRESS MEETING
[Month Day, Year]

Attendees: See sign-in sheet.

<table>
<thead>
<tr>
<th>Agenda Topic</th>
<th>Action Items:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Corrections to last Progress Meeting Minutes:</td>
<td>Description: Person Responsible: Deadline:</td>
</tr>
<tr>
<td>2. Outstanding Issues:</td>
<td>Description: Person Responsible: Deadline:</td>
</tr>
<tr>
<td>3. Safety:</td>
<td>Description: Person Responsible: Deadline:</td>
</tr>
<tr>
<td>4. Work in Progress:</td>
<td>Description: Person Responsible: Deadline:</td>
</tr>
<tr>
<td>a. Prime</td>
<td>Description: Person Responsible: Deadline:</td>
</tr>
<tr>
<td>i. In progress</td>
<td>Description: Person Responsible: Deadline:</td>
</tr>
<tr>
<td>ii. Look ahead (time period)</td>
<td>Description: Person Responsible: Deadline:</td>
</tr>
<tr>
<td>b. Subs</td>
<td>Description: Person Responsible: Deadline:</td>
</tr>
<tr>
<td>i. In progress</td>
<td>Description: Person Responsible: Deadline:</td>
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<tr>
<td>ii. Look ahead (time period)</td>
<td>Description: Person Responsible: Deadline:</td>
</tr>
<tr>
<td>5. Progress Schedule</td>
<td>Description: Person Responsible: Deadline:</td>
</tr>
<tr>
<td>a. Current Schedule Update</td>
<td>Description: Person Responsible: Deadline:</td>
</tr>
<tr>
<td>b. Critical Path Activities</td>
<td>Description: Person Responsible: Deadline:</td>
</tr>
<tr>
<td>c. Current Completion Date</td>
<td>Description: Person Responsible: Deadline:</td>
</tr>
<tr>
<td>d. Next Schedule Update</td>
<td>Description: Person Responsible: Deadline:</td>
</tr>
<tr>
<td>6. Critical Delays (work on critical path):</td>
<td>Description: Person Responsible: Deadline:</td>
</tr>
<tr>
<td>a. Any delays since the last meeting?</td>
<td>Description: Person Responsible: Deadline:</td>
</tr>
<tr>
<td>b. Current</td>
<td>Description: Person Responsible: Deadline:</td>
</tr>
<tr>
<td>i. Excusable</td>
<td>Description: Person Responsible: Deadline:</td>
</tr>
<tr>
<td>ii. Non-Excusable</td>
<td>Description: Person Responsible: Deadline:</td>
</tr>
<tr>
<td>iii. Concurrent?</td>
<td>Description: Person Responsible: Deadline:</td>
</tr>
</tbody>
</table>
Partnering Monitoring

| Your Name: |
| Date of Evaluation |
| SPN (Six-digit Project Number): |
| What district did this project take place in? |
| District 1 |
| District 2 |
| District 3 |
| District 4 |
| District 5 |
| District 6 |
| District 7 |
| District 8 |
| District 9 |
| District 10 |
| District 11 |
| District 12 |
| Type of Partnership: |
| Facilitated |
| Self-Facilitated |
| Please Choose One: |
| Owner |
| Contractor |
| Subcontractor |
| Design Consultant |
Post Construction Meeting Agenda/Minutes

Date: ____________________________ Meeting Location: ____________________________

Name: ____________________________

State Project No: ___________ C-R-S: ___________ PID: ___________

Project Type / Description: ____________________________

Bid date: ___________ Awarded date: ___________ Completion date: ___________

1. Project Positive Aspects: ____________________________
   ____________________________
   ____________________________

2. Partnering:
   a. Were goals established? YES -or- NO
   b. Were the goals realized? YES -or- NO
   c. How well were the goals evaluated or measured?
      ____________________________
      ____________________________
   d. How were foremen/workers involved in the Partnering process?
      ____________________________
      ____________________________
   e. How were subcontractors involved in the Partnering process?
      ____________________________
      ____________________________
   f. How were relationships with key stakeholders managed?
      ____________________________
      ____________________________
   g. Team building activities or unique motivational activities:
      ____________________________
      ____________________________
   h. Safety Record of the Project:
      ____________________________
      ____________________________
Partnering Close-Out Survey

Available through the website:
http://www.dot.state.oh.us/Divisions/ConstructionMgt/Pages/Partnering.aspx
Case Studies
Case Studies

• Work together as a group
• The goal is to develop a PLAN to solve the problem; NOT to solve the problem
• Discuss how Partnering would help solve the problem and how the problem would usually be solved if not partnered
Reporting, Evaluation and Recognition
Annual Reporting

- Number of Facilitated Partnering projects
- Total number of projects
- Total number of issues resolved, broken down into the following categories:
  - Number of disputes escalated and resolved at District Level (Step 2)
  - Number of disputes escalated and resolved at Director’s Claim Boards (Step 3)
Annual Partnering Award

• The Annual Partnering Award will be given at the Conaway Conference each year.
Award Criteria

• Both Self-Facilitated and Facilitated Partnering projects will be considered
• The Department expects Partnering from both the Contractor and ODOT
• Rewards and recognition should not be given on the basis of what is expected
• When expectations are greatly exceeded, an award should be given
• Projects must be substantially completed to be considered
Nominees

The DCE, or Contractor, will use the following as a basis for deciding on nominees:

- Number and savings of VECPs
- How the job finishes in relation to project time and milestone dates
- Partnering Project Rating Form summary averages, and how scores changed over the life of the project
- Other non-measurable items as per the DCE (What was different or far exceeded expectations)
Selection Process

• In November of each year, the DCE, or Contractor, will submit any nominees to the Central Office Partnering Coordinator

• Partnering Steering Committee will review all the nominations, and using the same criteria as above, will select a “State Project Partnering Champion” for the year prior to the Conaway Conference

• Award will be presented at the Conaway Conference each year
Questions?