ODOT PARTNERING HANDBOOK

FOR THE OHIO DEPARTMENT OF TRANSPORTATION AND THE CONTRACTING INDUSTRY WHO ARE WORKING TOGETHER TO BETTER SERVE THE TRAVELING PUBLIC.
Introductory Letters
December 5, 2000

Dear Colleague:

As one of the Ohio Department of Transportation’s (ODOT) 2001 strategic initiatives, the department made a commitment to, “embrace partnering with contractors to improve quality and to reduce disputes.” As part of this initiative, ODOT and the Ohio Contractors Association (OCA) have undertaken a joint effort to develop a relationship which will allow us to maximize the public resources held in our trust. To this end, we have developed the attached partnering manual to ensure the success of partnering in construction projects and ultimately in all aspects of how the department conducts business.

Together, we can make this ambitious effort a reality. I hope the concepts in this manual will serve as the basis for the foundation of a team approach for the benefit of all project stakeholders. I trust you will find this information useful in eliminating the adversarial relationship inherent to traditional construction projects.

Respectfully,

Gordon Proctor
Director

AN EQUAL OPPORTUNITY EMPLOYER
A VISION FOR THE FUTURE

To have a vision, to work for that vision and to achieve success in that endeavor is the ultimate sense of achievement. ODOT has adopted Partnering as one of its Strategic Initiatives. The construction industry has also recognized the value of Partnering and is committed to working with ODOT to advance the Partnering concept throughout Ohio.

Construction is not difficult!

Personalities, egos, misconceptions and poor communications are what make it difficult for both ODOT and the contractor. Partnering can change this and with the commitment by ODOT and the industry, changes will be made. It will not be easy but it is certainly achievable and very much worth while. It is our vision that sometime in the future we can all look back and say “Wow! How did we ever get along without Partnering?”

Thanks to ODOT and Director Proctor and thanks to those who will be willing to share this vision and work for it. You will be making a difference.

C. Clark Street
Executive Vice President
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Introduction
Introduction

Historical Development

Over the years, the construction industry has faced rising litigation costs. Many methods were used to resolve disputes such as mediation, arbitration, and conflict – resolution/avoidance. Although these methods met with a variety of successes, the question looming in some professional minds was, what if we could discover the root causes of potential disputes and avoid them in the first place?

In studying the litigation in the construction industry prior to partnering, the root cause of the dispute typically centered on a breakdown in the three C’s - communication, coordination and conflict management. How could the construction industry build into the construction process a way to head off disputes before they grew into litigation?

Partnering is not a new concept. It has been around informally for a long time. In 1929, New York businessmen developed a team and decided to build the tallest building in the world. In less than two years (18 months), the Empire State Building was completed, sometimes developing at a rate of four and a half stories a week. It was the team’s continuous cooperation, spirit of trust, open communication, and coordination that caused the construction process to be a success for all stakeholders.

In January 1991, the Associated General Contractors of America’s Quality in Construction Task Force embraced the Corps of Engineers’ concept of Partnering with a strong commitment from the 1991 newly elected president, Marvin M. Black. Partnering was expressed in his objectives for the year, backed up with support and production of a video and manual for spreading the word to members. In March of 1993, the Marvin M. Black Excellence in Partnering Awards for construction projects that best exemplified the concepts of partnering were awarded to eight well-deserving contractors across the United States. The Associated General Contractors of America have continued to promote partnering.

What is Partnering?

Partnering is a planned and orchestrated effort by all stakeholders of a construction project to commit to an organized effort of establishing an environment of mutual trust, open communication, cooperation and teamwork that causes everyone to win by achieving the mutually agreed upon goals and objectives. The business contract specifies the “what’s and how’s” of the technical end of the construction project. During the partnering process, a Charter is developed that specifies the “what’s and how’s” of the way people relate to one another and manage themselves in working together to achieve the desired mission of the project.

AGC (1995) defines seven essential elements of partnering for it to be successful. These include:

1. Commitment to partnering by the top management of every organization involved in the project.
2. Equity in considering all stakeholders’ interests to create shared goals and commitment by all stakeholders.
3. Trust among all parties through personal relationships and open communication with mutual sharing and understanding of each party’s risks and goals.
4. A partnering charter developed jointly by all parties that identifies specific mutual goals and objectives.
5. Implementation of mutual goals and mechanism for problem solving.
6. Continuous evaluation based on the goals to ensure the plan is proceeding as intended and all stakeholders are carrying their share of responsibilities.
7. Timely resolution of all disputes at the lowest level possible during the project.

**Figure 1:**
Clarifying Myths and Misconceptions: What Partnering Is and Is Not

<table>
<thead>
<tr>
<th>Partnering Truths</th>
<th>Misconceptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Partnering <em>clarifies</em> and manages the communications of a project.</td>
<td>“We are partnering. We just had lunch together. Isn’t that enough?”</td>
</tr>
<tr>
<td>Partnering <em>uncovers problems</em> and provides structure and skills to address them.</td>
<td>“Partnering is ‘design by committee.’”</td>
</tr>
<tr>
<td>Partnering asks participants to <em>commit</em> to individual tasks to resolve issues.</td>
<td>“Partnering means I have to go along with the majority.”</td>
</tr>
<tr>
<td>Partnering attempts to <em>coordinate</em> aspects of the highly fragmented nature of design and construction.</td>
<td>“Partnering is really just the way we always used to do business, in the good old days.”</td>
</tr>
<tr>
<td>Partnering helps project team members work together to <em>control</em> more of the overall project and to get to know each other to increase trust.</td>
<td>“The formality of partnering will just get in the way of building trusting relationships.”</td>
</tr>
<tr>
<td>Partnering includes alternative dispute resolution (ADR), but only as one of a number of strategies to improve communications.</td>
<td>“Partnering is just another label for ADR methods.”</td>
</tr>
</tbody>
</table>


**ODOT Embraces Partnering**

Partnering is an agreement among the stakeholders involved in a construction project that outlines responsibility, lines of communication and a commitment to the shared expectation of success by all. The concept of partnering is the next step in ODOT’s organizational development. Statewide Strategic Initiative Seven for Fiscal Year 2001 outlines the plan including goals, implementation methods, and measurables. The private sector has embraced partnering for the past decade, and will serve as a model for ODOT. The initiative must be accepted and adopted statewide as a continuous process improvement. There are no jobs too small, nor too large for this approach to work.

To successfully accomplish the department’s aggressive schedule for project commitments and to better serve ODOT’s customers, there is a need to develop a way of doing business. This new way of doing business is inclusive, professional, and holds individuals accountable. Decisions are made closest to the issue.

The resources expended on capital construction projects are a large part of ODOT’s budget. These funds must be used in the most efficient and effective way possible.
Many of the claims and change orders issued during construction projects are often the result of poor communications and the lack of timely resolution of differences. The partnering initiative gathers all stakeholders together, early in the project, to establish a protocol for communication and conflict resolution through a formal agreement.

In May 2000, industry leaders from construction, flexible pavements, concrete pavements, aggregates, engineering consulting, and the Federal Highway Administration met with ODOT senior leadership to form the following plan.

A partnering coordinator will be appointed within the Office of Construction Administration, and each district will choose advocates. District projects will be identified for partnering this year with the intent to partner all jobs in the future. Training will occur at all levels of the project administration staff to educate personnel on the initiative. Measurements will be established and tracked to measure success. A report will be prepared by the Central Office partnering coordinator at the end of next fiscal year, and recommendations will be made for further implementation by the executive leadership.

Partnering is a win-win situation for both ODOT and the construction industry. Heartily supported by the Ohio Contractors Association and other industry groups, it has become standard practice for ODOT. As partnering is deployed by the Office of Construction Administration, the principles are expanded into other areas and processes within the department, such as plan scope development, and project delivery.

**Goals:**

- Reduce the number of construction claims, and the associated cost savings.
- Reduce the number and value of change orders.
- Increase value engineering savings.
- Complete projects on or before the contract completion date.
- Create a positive team culture in the development, construction and administration of ODOT’s construction program.

**Real Life Success Story**

Some Ohio Contractors and ODOT Districts are already using partnering. The following is a success story.

ODOT District 8 entered into the partnering concept for five major highway rehabilitation projects on I-71 in Cincinnati. These partnering projects totaled $120 million. All five projects involved complex traffic control plans, extensive coordination of construction and unforeseen changes. The need to complete work quickly with quality for all phases of construction was critical.

The partnering process greatly contributed to the success of these projects. Communication at all levels of these projects was exceptional. Subcontractors, local businesses, local governments, law enforcement, emergency response and the media were informed and involved with the construction. The completed projects finished on schedule or sooner. As expected, one of the current projects in a very congested area, opened to traffic six months ahead of schedule. Major problems were addressed with a formal procedure that addressed who was responsible for action. There was not a single claim filed on any of these projects.
Partnering proved to be a method to bring in these major highway construction projects on time, within budget, and with every attempt to minimize interferences to the public. A high volume of quality construction can be achieved using the partnering principles of honesty, integrity and accountability. The individuals involved with these partnering projects developed an attitude that there is no problem that cannot be resolved.

Industry Commitment to Partnering

On October 19, 2000 leaders from contracting companies and ODOT met to kick off the department’s new partnering initiative. Contractor company owners, chief executive officers, presidents, and vice presidents, totaling 170 participants, sat down with the ODOT senior management staff and agreed to a long-term commitment to partnering. ODOT entered into official partnering agreements with the Ohio Contractors Association, the Consulting Engineers Council of Ohio, Flexible Pavement, Ohio Aggregate & Industrial Minerals Association, and the American Concrete Pavement Association.

When to Partner and for What Type of Jobs

The partnering process is an attitude as well as a way of doing business. The “spirit” of partnering should occur on every project if partnering is viewed as a way to do business. If partnering is an attitude, it makes sense to do it on every job regardless of size.

The differences in implementing partnering may vary with the size or timing of a job. For example, if it is a relatively short time frame, there may not be the need or time to pull together a formal partnering session, but developing a charter of some type is critical. The meeting may be less formal and held in the job trailer with the key players involved drafting a charter containing agreed upon ways of working together and mutual goals.

In summary, partnering is required of every ODOT job. The stages of partnering are necessary for every job if you embrace partnering. However, how you conduct each stage is dependent upon the size and timeframe of the project (See Appendix page 37). The objectives of each stage should be met, but reason and practicality in how they are met should allow commonsense and good judgement to prevail!

Do I Need to Hire an External Consultant?

You may have an in-house person who is qualified and capable (see the position description in this manual). However, your first few sessions may be easier with an outside facilitator. First, they have had a variety of experiences, which can be valuable for your situation. Second, they are viewed as an objective, unbiased person. However, this decision is entirely up to your discretion.

A Word About How We Relate to One Another

Partnering is based upon relationships and relationships are built upon trust. We form relationships basically by the way we talk to one another. How we give feedback to one another when something goes wrong, needs changed, or needs communicated, shapes how we feel about one another.

There is a major difference between criticism, negative feedback, evaluating, judging, and assessing. The manner in which feedback is given can help or hinder the project and future relationship. All team members need to think about how they...
give feedback. Feedback literally means to “give something back to nourish.” When you give feedback, does it nourish someone to understand or improve, or is it done in such a way as to tear down or destroy a person and/or his work?

For example, if a criteria is not met, you can give feedback in a way to justify objectively why it is not met, and some discussion of ways to improve it now or for future jobs. Communicating in this way maintains the relationship for the future. Personal judgement statements based on opinion such as “this is no good or not good enough” only create the potential for adversarial relationships in the future or “us” against “them” attitudes. Giving and receiving feedback in a manner that “nourishes” rather than “tears down and destroys” can be an important skill for everyone in every role in a project to “live” the attitude of partnering.

There is a familiar Indian saying about not judging a person until you have walked a mile in their moccasins. The case is true about working with and for members of our teams on construction projects. So often, we are very quick to judge a person’s comments or actions without taking time to “seek first to understand” (Stephen Covey, 1990) where the person is coming from in terms of his perspective.

When there is a problem or issue, take a second and try to understand why that person is making such a comment. Think about what is behind the statement. Then ask additional questions to find out what the real need/motive is before responding. If we can avoid reacting to someone’s comments rather than trying to understand them before we speak, our relationships and problem solving will reach new heights.

After all, you really can’t judge another person until you have walked a mile in her moccasins (or steel-toed boots)!

Roles and Responsibilities in Partnering

The general roles and responsibilities of everyone involved in a partnered construction process include:

- Practice open, authentic communication
- Give feedback in a helpful, concerned manner
- Leave a person’s self-esteem intact when giving negative feedback
- Seek first to understand, then be understood
- Model partnering behaviors
- Take a leadership role in modeling partnering behaviors
- Use the charter as a guidepost
- Attend meetings and be prepared
- Be an active participant in all meetings
- Help the other team members; ask for help when you need it
- Bring up real issues and help the team follow issue resolution in a professional manner
**Figure 2: Partnering Roles and Responsibilities**

<table>
<thead>
<tr>
<th>Role in Partnering</th>
<th>ODOT:</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Preplanning/Orientation</td>
<td>District Deputy Director</td>
</tr>
<tr>
<td>- Initiates partnering process with ODOT</td>
<td></td>
</tr>
<tr>
<td>- Shares needs</td>
<td></td>
</tr>
<tr>
<td>- Listens to prime contractor’s concerns</td>
<td></td>
</tr>
<tr>
<td>- Assists in coordinating and organizing</td>
<td></td>
</tr>
<tr>
<td>- Assists in determining facilitator</td>
<td></td>
</tr>
<tr>
<td>- Formal Partnering Session</td>
<td></td>
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<tr>
<td>- Takes ownership of session</td>
<td></td>
</tr>
<tr>
<td>- Appoints partnering coordinator</td>
<td></td>
</tr>
<tr>
<td>- Attends</td>
<td></td>
</tr>
<tr>
<td>- Participates</td>
<td></td>
</tr>
<tr>
<td>- Shares needs and concerns openly</td>
<td></td>
</tr>
<tr>
<td>- Shares cost</td>
<td></td>
</tr>
<tr>
<td>- Ongoing Partnering Meetings</td>
<td></td>
</tr>
<tr>
<td>- Initiates if needed</td>
<td></td>
</tr>
<tr>
<td>- Attends</td>
<td></td>
</tr>
<tr>
<td>- Assists in organizing</td>
<td></td>
</tr>
<tr>
<td>- Keeps the charter alive</td>
<td></td>
</tr>
<tr>
<td>- Close-Out Meeting/Celebration/Follow-Up</td>
<td></td>
</tr>
<tr>
<td>- Attends</td>
<td></td>
</tr>
<tr>
<td>- Reviews project data</td>
<td></td>
</tr>
<tr>
<td>- Uses data to improve</td>
<td></td>
</tr>
<tr>
<td>- Recognizes/rewards team members</td>
<td></td>
</tr>
<tr>
<td>- Maintains relationship</td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>The Prime Contractor:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Owner/CEO</td>
</tr>
<tr>
<td>President</td>
</tr>
<tr>
<td>Vice President</td>
</tr>
<tr>
<td>Area Manager</td>
</tr>
<tr>
<td>Project Manager</td>
</tr>
<tr>
<td>Superintendent</td>
</tr>
<tr>
<td>Foreman</td>
</tr>
<tr>
<td>Skilled Laborer</td>
</tr>
</tbody>
</table>

| - Preplanning/Orientation | 
| - Shares needs | 
| - Listens to prime’s concerns | 

<table>
<thead>
<tr>
<th>Subcontractors, Suppliers, FHWA, State Agencies, Railroads, Utilities, Local Cities, Villages, Municipalities, Local Businesses, Schools and Other Stakeholders</th>
</tr>
</thead>
<tbody>
<tr>
<td>(There may be many stakeholders not identified in this list, based on the uniqueness of the project, who would be affected and involved in the project such as a zoo, historical preservation, etc.)</td>
</tr>
<tr>
<td>- Formal Partnering Session</td>
</tr>
<tr>
<td>- Attends</td>
</tr>
<tr>
<td>- Participates</td>
</tr>
<tr>
<td>- Shares needs and concerns openly</td>
</tr>
<tr>
<td>- Ongoing Partnering Meetings</td>
</tr>
<tr>
<td>- Attends</td>
</tr>
<tr>
<td>- Keeps the charter alive</td>
</tr>
<tr>
<td>- Close-Out Meeting/Celebration/Follow-Up</td>
</tr>
<tr>
<td>- Attends</td>
</tr>
<tr>
<td>- Maintains relationship</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Law Enforcement, Emergency, and Medical Teams</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Preplanning/Orientation</td>
</tr>
<tr>
<td>- Shares needs</td>
</tr>
<tr>
<td>- Listens to prime’s concerns</td>
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<tr>
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</tr>
<tr>
<td>- Maintains relationship</td>
</tr>
</tbody>
</table>
The Stages of Partnering

The partnering process should begin at the conception of the idea and need for the project. However, for the purpose of this handbook, the focus emphasized will begin at the preplanning stage (after the award has been granted, the pre-construction conference has occurred, and most of the subs selected).

The four stages of partnering include:

- Stage 1 - Preplanning and Orientation
- Stage 2 - Formal Partnering Session/s
- Stage 3 - Ongoing Meetings
- Stage 4 - Close-Out Meetings/Celebrations/Follow-Up

Each of the four stages is defined in more detail in the grid on page 9.

The next four sections represent each of the four stages of partnering. These four sections are designed to serve as a reference for you as you step out to implement and/or be involved in the partnering process. On each division's divider, the purpose and objectives for the stage will be repeated from the Grid on page 9. Checklists, tips, guidelines, samples, and tools to help you through each stage are provided within each division and in the Appendix beginning on page 36.
<table>
<thead>
<tr>
<th>Stages</th>
<th>Who?</th>
<th>Objectives</th>
</tr>
</thead>
<tbody>
<tr>
<td>Orientation and Preplanning</td>
<td>ODOT Key Staff.</td>
<td>• Understand what partnering is</td>
</tr>
<tr>
<td>Why?</td>
<td>Key staff from prime contractor or sub-contractors that have never been involved in partnering.</td>
<td>• Understand benefits</td>
</tr>
<tr>
<td>Why?</td>
<td>To introduce partnering concepts, benefits, and ensure stepping out on the same page together for the project.</td>
<td>• Convey “what’s in it for them”</td>
</tr>
<tr>
<td>Formal Partnering</td>
<td>Formal Partnering</td>
<td>• Gain owner’s needs and expectations</td>
</tr>
<tr>
<td>Why?</td>
<td>ODOT, Prime Contractor, Subcontractors, Suppliers, FHWA, State Agencies, Railroads, Utilities, Local Cities, Villages, Municipalities, Local Businesses, Schools, Law Enforcement, Emergency, and Medical Teams</td>
<td>• Define schedule and time frames of owner</td>
</tr>
<tr>
<td>Why?</td>
<td>To begin developing a high performance team.</td>
<td>• Gain-buy in to attend formal session</td>
</tr>
<tr>
<td>Ongoing Meetings</td>
<td>Weekly Job Meeting</td>
<td>• Give overview of formal partnering session agenda so they know how to prepare and what to expect</td>
</tr>
<tr>
<td>Why?</td>
<td>ODOT, Prime Contractor, Subcontractors, Suppliers, FHWA, State Agencies, Railroads, Utilities, Local Cities, Villages, Municipalities, Local Businesses, Schools, Law Enforcement, Emergency, and Medical Teams</td>
<td>• Gain feedback from owner in terms of his/her needs at the partnering session</td>
</tr>
<tr>
<td>Why?</td>
<td>To maintain and support the partnering attitude.</td>
<td>• Understand what partnering is and its uses</td>
</tr>
<tr>
<td>Why?</td>
<td>To deal with current and upcoming issues</td>
<td>• Develop a relationship that is ongoing based on trust and open communication</td>
</tr>
<tr>
<td>Close-out Meeting, Celebration, and Follow-Up</td>
<td>Intermediate Meeting/s</td>
<td>• Gain buy-in to partnering in attitude and for developing a charter</td>
</tr>
<tr>
<td>Why?</td>
<td>These meetings may include everyone from the original formal partnering session as well as key players for the weekly job meetings. The intermediate meeting/s are at periodic stages during the course of a project.</td>
<td>• Develop procedures for communication, issue resolution, and decision-making</td>
</tr>
<tr>
<td>Why?</td>
<td>To assess needs and progress of project</td>
<td>• Develop and agree upon a charter for the project</td>
</tr>
<tr>
<td>Why?</td>
<td>To change scope as needed</td>
<td>• Work on project issues or schedule meetings for issues that can benefit by the cross-section team being present</td>
</tr>
<tr>
<td>Why?</td>
<td>To make decisions and problem-solve</td>
<td>• To assess how well we are working together and adhering to the charter</td>
</tr>
<tr>
<td>Why?</td>
<td>To communicate needed information to team members</td>
<td>• To assess for improvement and confirm what is done well</td>
</tr>
<tr>
<td>Why?</td>
<td>To assess how well the team worked together to meet the goals of the charter and project overall so that they can obtain feedback for improvement for future jobs. Second, the celebration is critical to carry out the spirit of partnering for a job well done. Third, the follow-up activities are just good business for being of service for information, repairs, or any other needs the owner may have. Plus, it maintains an ongoing relationship for future business.</td>
<td>• To celebrate and show appreciation for a job well-done</td>
</tr>
<tr>
<td>Why?</td>
<td>To follow-up for needed assistance and for maintaining business relationships</td>
<td>• To follow-up for needed assistance and for maintaining business relationships</td>
</tr>
</tbody>
</table>
## Stage 1 – Orientation and Preplanning

<table>
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<tr>
<th>Stages</th>
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<td>• Gain owner’s needs and expectations</td>
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<td>the same page together for the</td>
<td></td>
<td>• Define schedule and time frames of owner</td>
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<tr>
<td>project.</td>
<td></td>
<td>• Gain-buy in to attend formal session</td>
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<tr>
<td></td>
<td></td>
<td>• Give overview of formal partnering session agenda so they know how to</td>
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<td>prepare and what to expect</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Gain feedback from owner in terms of his/her needs at the partnering</td>
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<tr>
<td></td>
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<td>session</td>
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</table>
Checklist for Orientation and Preplanning

Orientation

The purpose of the orientation to partnering is to give new construction staff (ODOT districts, contractors, and subcontractors) a general overview on the aspects of partnering and the importance of their participation in the formal partnering session. It helps them know what is expected of them at the formal session, as well as throughout the project in relationship to partnering. See Appendix page 38 for an Orientation and/or Preplanning Sample Letter.

- This session should occur before the formal partnering session.
- It is very informal and may even be accomplished by a mailer of materials.

Preplanning

As we step out together with partnering, it is worth the time to ensure we perceive partnering in the same way.

Once the contract is awarded, it is up to the selected Prime Contractor and the ODOT District Office to initiate the activities in partnering. At this stage key project participants should identify and define major issues and project concerns and share relevant information to help customize the workshop. At the preplanning meeting, ODOT and the Prime can determine what needs to occur and who is responsible for what tasks. Even the workload should be a partnering effort!

The preplanning team should be a relatively small group, not more than six or eight persons since this is a work meeting. However, there can be two separate meetings – first, for the orientation and second, the preplanning for the formal partnering session.

To Do:

- Coordinate dates and times.
- Send out notice of orientation and preplanning meeting. Discuss who should attend.
- Reserve comfortable room at convenient location. Have tables, chairs, flipchart, markers, VCR, VCR monitor (as applicable).

Notes:

__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________
What To Cover in the Orientation and Preplanning Session

The Prime Contractor and ODOT District Office should initiate this session. The following contains the topics that should be discussed in regard to orientation. These topics may vary somewhat with orientation to subcontractors but are basically the same.

- Sharing definitions of partnering from this handbook as well other resources may be helpful in conveying a mutual understanding (see Additional Resources page 63).

- Review the benefits of partnering in general as well as what your company has found to be beneficial.

- You may want to use a short 10-minute video to assist with this (see Additional Resources page 63).

- Ask the owner for their expectations/needs/concerns about the project such as scheduling and time frames. Keep them in writing to present as an "owner’s wish list" for the formal presentation.

- Share general agenda for the Formal Partnering Meeting and ask for feedback as to how it meets the owner’s needs. Ask if there are other needs not addressed in the formal meeting agenda that should be addressed.

- Share the feedback forms that will be going out during the course of the project and explain how the information is to be used.

- In terms of the formal session, this is a good time for ODOT and the Prime to refer to the list of things to do for the formal session and to agree upon who is to complete what tasks for a successful session.

- Ensure the right groupings will occur at the session to have an opportunity to discuss the “right things.”

Notes:

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

* Note: The tips on receiving feedback to help in this discussion are found on the next page.
Guidelines for Giving and Receiving Feedback

**Raise the Issue**

| “What are your needs and/or concerns/expectations of this project?” |
| “What will you look at to know we are doing a good job?” |
| “What would you like to see more of? Less of?” |
| “Any special concerns you have about this project?” |
| “What’s important to you?” |

**Ask for Specifics, Such As:**

| “When this happens, the result is... and you feel....” |
| “How do you see the situation?” |
| “Then from your perspective... (paraphrase).” |
| “Let me repeat what you said you wanted, to be sure I’ve got this.” |

**Ask for What Changes They Would Like to See**

| “In the future, will you let me know when you feel we need to improve?” |
| “How do you see us keeping the lines of communication open?” |
| “How can we follow up on these needs you have given me today?” |

**Agree on Action Plan**

| “OK, so I will...” |
| “And you will...” |
| “Anything else we should discuss?” |

**Make Plans to Follow Up**

| “We’ll certainly focus on making these things happen.” |
| “You can expect to see some changes...” |
# Stage 2 – Formal Partnering Session

<table>
<thead>
<tr>
<th>Stages</th>
<th>Who?</th>
<th>Objectives</th>
</tr>
</thead>
</table>
| Formal Partnering | Why?  
To begin developing a high performance team. | ODOT  
Prime Contractor  
Subcontractors, Suppliers, FHWA, State Agencies, Railroads, Utilities, Local Cities, Villages, Municipalities, Local Businesses, Schools, Law Enforcement, Emergency, and Medical Teams | Understand what partnering is and its uses  
Develop a relationship that is ongoing based on trust and open communication  
Gain buy-in to partnering in attitude and for developing a charter  
Develop procedures for communication, issue resolution, and decision-making  
Develop and agree upon a charter for the project  
Work on project issues or schedule meetings for issues that can benefit by the cross-section team being present |
Getting Started Checklist for Formal Partnering Meeting

There are many options for conducting a formal partnering session. You need to consider the length of the project, the political and environmental state of affairs at the time of launching the project, the expertise of employees, and the desired resources of time and money you want to spend on the event.

The formal partnering session is typically a half day to two day session based on the number of people in attendance, the length of the project, and the objectives and issues that need to be addressed. It is best off-site in a neutral location such as a hotel, conference center, or resort with special consideration of all parties in terms of travel.

You may or may not want to hire an external facilitator. There may be someone already on staff who is capable of conducting the session. You can expect to spend $5,000 to $10,000 for a partnering session, which would include the consultant’s fees, meals for all participants, materials, and room rental. The cost would be dependent on the length of the session (1/2 day to two days or more). Remember that ODOT reimburses Contractors 50% of the cost of the partnering project activities.

The following is a checklist of what needs to be considered to get started in organizing a formal partnering session once you have determined what you want to accomplish as a result of the formal partnering session.

There are many coordination activities for a successful formal partnering session. Some Contractors and ODOT District Offices have found it helpful to assign a person as partnering coordinator (See Role of Partnering Coordinator on Appendix page 39). This person becomes well-versed in the coordination activities as well as coordinating with the facilitator. A word of caution — the partnering coordinator does not replace top management’s responsibility of working with the facilitator on the content of the session.

- Determine if you want to designate a partnering coordinator within your firm to handle many of the details of setting up partnering sessions.
- Determine who will facilitate the formal partnering session. If you plan to hire an external facilitator, begin the process early. Once you have selected one, secure a contract and optional dates.
- Coordinate a date and location with a facility, participants, and consultant.
- Make reservations for location, meals (breakfast and lunch), and set up of room, and audio-visual materials. Sign contract with facility.
- Determine if you want a symbolic team take-away such as a pin, pen, hat, etc.
- Determine if you want any published materials and/or a manual and/or handouts.
- Determine if you plan to pass out certificates for attendance and participation.
- Send out invitation. (A four to six weeks time span with a week prior notice works the best for greater participation) (See Sample Invitation Letter on Appendix page 40).
Choosing A Partnering Facilitator

The first step in selecting a facilitator is to determine what your needs are for partnering and specifically what you want to achieve at the formal session. Put the skills and needs into a facilitator’s position description. Match the skills needed by the facilitator to help you in making the decision of recruiting facilitators internally or outside your firm.

Most individuals working in the construction profession and trades typically are aware of their biases and the need for someone with external objectivity to balance these biases. No one certifies or ranks specific facilitators in Ohio. The choice is yours. Listed in Additional Resources page 61 is a list that can direct you to sources of facilitators for your selection process. It is best in choosing a facilitator to go slowly and check references very extensively for a proven track record.

A group selection process can be very helpful as different people look for different things. You may request from a candidate sample agendas, references, sample brief presentations (i.e. defining partnering to a group), tools, manuals they have developed, as well as responses to specific what-if questions (See Questions for Selecting a Qualified Partnering Facilitator on Appendix page 41).

Finally, you need to consider the old cliché of chemistry with the facilitator. However, don’t necessarily be looking for someone who fits your mold. You may need a different personality. Focus on the skill sets needed and what the style of the facilitator can add to the session.

Position Description of A Partnering Facilitator

*Aim of the Partnering Facilitator:* To create an environment in which the members of the project team can become a highly performing team to work together in a way than ensures a successful project for all.

The following are skill sets to look for…

- Understands group behavior/needs
- Is a good listener
- Demonstrates skill in facilitating group behavior
- Displays ability in meeting design
- Exhibits knowledge of partnering and the ability to convey it to others
- Exhibits knowledge in teambuilding techniques
- Evidences a high degree of communication and problem-solving knowledge and techniques
- Understands the project and construction in general (caution on this one because someone may have the construction knowledge which can overshadow the abilities in the other five areas).
- Has some management and/or project management experience.
**Duties**

1. Assists the ODOT District Office and the Prime in determining the needs and objective of the session.
2. Assists appointed staff in planning and organizing for the session.
3. Coordinates his/her needs to the appropriate person in terms of room size, amount of time needed for the session.
4. Designs the session and prepares any needed handouts and/or manual.
5. Ensures the room is set up to be a conducive learning environment.
6. Facilitates the session.
7. Obtains feedback on the session, analyzes it and gives back to the Prime and the ODOT District to assist in improvement of future sessions and attitudes toward partnering.
8. Is available to facilitate meetings at any stage of the process if warranted.
9. May assist in designing partnering processes within ODOT as well as individual companies.

*The following are adapted from AGC’s Partnering Manual (1995)*

**An effective facilitator will:**

- Assist the group in working together on goals and issues
- Create an environment of openness and trust
- Aid in consensus building and commitment
- Establish credibility and trust
- Match the “personality and style” of participants
- Serve as a positive role model
- Organize the workshop
- Determine what participants want from the workshop
- Know and understand the background of the project, stakeholders, and the project
- Keep the meeting focused on issues at hand
- Encourage all to participate
- Record or appoint a recorder to take notes
- Keep the discussions moving and pertinent
- Listen to the participants
- Help the group reach consensus
- Constructively channel conflict

**An effective facilitator does not:**

- Offer personal opinions
- Attack or criticize any participants or their ideas
- Get personally involved in the problem
Checklist of Needs for Organizing a Successful Partnering Session

- Select a planning committee to coordinate all partnering activities.
- Determine needs and what you want to accomplish.
- Determine if you are going to use an external or internal facilitator.
- If an external facilitator, go through a selection process and finalize a contract for the session.
- Once you have selected a facilitator, meet and review the project and formal partnering session's outcomes.
- Decide on the amount of time needed (1/2 day to two days) and/or follow-up meetings.
- Coordinate date, location, times.
- Decide on meals to be served.
- Decide if you want to give each participant a memento of the project or partnering session.
- Finalize contract with meeting facility.
- Review and finalize the design of the session and materials with facilitator.
- Send letter invitations containing a R.S.V.P. to ensure number attending.
- Be sure all attendees have some orientation to partnering beforehand and have a general idea of the agenda for the day.
- Double-check responsibilities, tasks and needs a few days prior to the session to ensure all areas are covered.
- Ensure the room is set up one hour prior to the start of the meeting in terms of furniture, AV equipment, sign-in table, etc. or at least a half-hour before starting time so you can mingle with the attendees.
- Conduct the session (See Sample Agenda for Content on Appendix page 42).
- Ensure some type of processing at the end of the session to get feedback on general reactions to the day, partnering, what attendees feel they are walking away with, and areas for improvement.
- Determine if there is a need to have additional facilitated or otherwise meetings for follow-up.
- Have everyone sign the charter before leaving.
- Give attendees information of when they will receive the charter and other materials generated at the meeting. Or, you may choose to type up, print, and distribute materials at the meeting. This is dependent on resources and amount of materials generated.
- Follow-up should occur in terms of sending a follow-up thank you for attending when you send back the charter as well as any meeting notes.
- The preplanning team and facilitator should follow-up after the formal session to review feedback forms and to process the meeting's effectiveness.
Helpful Tips for the Formal Partnering Session

**To Do:**

For you and the external facilitator to work well together and to customize the session for each particular project, the facilitator and project managers/engineers from the Prime and ODOT District Office need to work together as partners.

Be sure the facilitator receives information on the project as soon as possible and follow up with a conference call or face-to-face meeting to discuss needs and the project (this may occur during the preplanning meeting or may be an additional communication to fill in the facilitator on the project itself).

The better understanding the facilitator has of the project, the more pertinent he/she can make the session to the job. Information helpful to a facilitator is found in the Appendix on pages 43-45 in a form entitled Prep Sheet. You can complete this form, fax it to the facilitator, and have a phone conference for further explanations.

**Some To Do’s the Day of the Session:**

- Arrive at the formal session at least an hour (the construction business is full of early risers) early to greet participants and set up your materials.
- Be assertive at the session and showcase your leadership, while displaying good listening and teaming skills.
- The project engineer/manager should welcome everyone, not the facilitator. The facilitator is introduced. The same occurs with the closing. It is important for the owner to initially see the person running the job at the beginning of the session and at the end. It is his/her meeting. Too often participants think it is the facilitator’s meeting.
- Use your social manners. Thank people who give you the floor or have just contributed. If someone interrupts someone else or there is a sidebar, say something like, “Could we all focus on this conversation then we’ll get to yours,” or “Hold that thought until _______ finishes.”
- At the end of the meeting, give genuine thanks for attendance and participation.
- If lunch or a meal follows the session, do everything in your power to arrange your schedule to stay for lunch. It helps build interpersonal relationships to share a meal with someone on a social basis.
- Ensure someone at the session is keeping minutes of actions, decisions, and charts to be distributed after the session (preferably with the signed charter).
- Camera equipment can be available for capturing group pictures, etc.
- A newspaper reporter may be available to take information for a photo-story of projects that are of special interest to the public.
The Charter

A Charter Defined

The Charter is a written document expressing the purpose of the project, the desires of the owner and stakeholders, and how everyone intends to work together for a successful project. The Charter is the most important take-away from the formal partnering session.

Although the Charter is important in partnering, the process the participants go through to complete it is probably even more important. Therefore, no one else’s Charter can work for any other team. It is the understandings, agreements, and disagreements during the process that make it meaningful as the participants step out of the meeting onto the job. When the meeting is over, everyone must understand and commit to the words of the Charter. Signing the Charter is more than a clerical task. It is a personal commitment.

What Is Contained in the Charter?

The following are contained in the Charter:

- **Mission** – purpose of the project and team
- **Goals** – what the team wants to accomplish
- **Statements** – how we work in terms of communication, sequencing, planning, coordinating, and general work flow
- **Agreement** – how we address and resolve conflicts/issues/problems
- **Activities** – for implementing this agreement

How To’s for Developing the Charter

There are many ways to develop a Charter. It is best to discuss the method to use for your situation at the preplanning meeting. The most efficient way, particularly if you are only having a ½ day session, is to break into groups and develop four missions. Then consolidate the parts of the four missions into one that everyone agrees to and can commit to.

Once everyone is clear on the mission, the group breaks into four subgroups and covers goals, communication, issue resolution, and charter evaluation/implementation.

If you have a longer period of time or if there is already a feeling of lack of consensus, it may be best to do each area one at a time and work out the issues and conflict. This is up to you and your facilitator. The Appendix contains a Sample Charter on page 46 developed for an ODOT project.
Drafting the Mission

The mission statement of the charter should:

- Reflect the uniqueness of the project and its purpose.
- Create an “attitude” for successful completion of the project.
- Should be brief, clear, and practical so that anyone can state it and understand it.

Example: We, the Project Team of the XYZ Bridge, are committed to cooperating with all stakeholders in constructing a river crossing that will become the trademark of our city and a win-win project for all.

Setting Goals

Mutual goals of the project should be specific enough to measure in a way that determines whether or not they have been achieved. They should be clearly stated so anyone can read them and understand them. To aid in understanding, they should include a noun (person or thing) and verb (action).

The general topics of goals center around customer needs/requirements, safety, quality, schedule, budget, and costs. However, whatever the group finds necessary to state as a goal for a successful project is appropriate.

Example: The project is completed with no lost time in accidents.

Developing Communication Statements

The communication statements of the charter should include how the group has agreed to communicate and what principles should guide their communication. The statements should also cover how information is given and received such as meetings, frequency, meeting minutes distribution, etc. The formal communication process should be developed in terms of who communicates when for what reason during the meeting. This is a separate process from the Charter. A statement that all team members will follow the specified communication process should be developed in the Charter under the communication heading.

Example: All team members will attend and be prepared for weekly project meetings.
Developing Conflict Resolution-Dispute Statements

The conflict resolution-dispute (problem/issue resolution) statements should address how issues are to be resolved on the job, by whom, and within certain time limits for various types of issues. A problem issue resolution process is designed at the meeting and the statements should refer to it when drafting these statements.

Example: Conflict should be discussed and resolved at the level at which it originates whenever possible using the agreed upon conflict-resolution process.

Planning for the Charter Implementation and Evaluation Process Statements

The statements contained in this section relate to two areas. The first area relates to how to use the Charter so that it is implemented on the job in day-to-day work. The second area addressed in this section is the evaluation system agreed upon by the team to assess how well the team meets the Charter statements.

This area should be specific, ensure all stakeholders are addressed, and ensure that all stakeholders understand the Charter and its impact on their work.

Example: Review Charter at the weekly project meetings and discuss related items of what is currently going on at the job-site.
Conflict Resolution-Dispute Procedures

One of the most important products of a partnering workshop is the issue resolution procedure. Tom Brascher, The Effectiveness Institute, identifies two types of issue resolution processes: proactive and reactive. A proactive process risk analysis helps the team anticipate potential issues and identify actions to minimize their occurrence or impact on the project. The elevation process is a reactive process that addresses existing issues. The issue is moved to resolution in a timely manner by escalation through the predefined levels. (AGC)

The art is to resolve a conflict before it drives a wedge between you and another person or group. Even further, unresolved conflict can lead to litigation. You can eliminate barriers and keep the doors of communication open by not (AGC):

♦ Asking antagonistic questions
♦ Questioning someone’s integrity
♦ Posturing
♦ Asking for something you don’t want
♦ Tearing down someone’s self-esteem

(See Appendix pages 47 and 48 for Problem-Solving Guides.)

You Should:

♦ Listen
♦ Prepare your questions
♦ Write them down
♦ Research questions and answers
♦ Ask pointed questions
♦ Ask dumb questions
♦ Be persistent

During the Partnering Session ODOT and the Prime Contractor Must:

♦ Understand and assign names to the Issue Escalation and Dispute Resolution Steps set in ODOT Policy number __________
♦ Categorize and prioritize issues as needed
♦ Discuss and resolve as many issues as possible in the workshop
♦ Write action plans for any unresolved issues

Guidelines for Issue Resolution:

♦ Know your project intimately and be aware of unspoken conflicts.
♦ Issues involving lost time, public safety, and monetary impacts must be dealt with immediately.
♦ All parties shall identify and clearly define issues openly and honestly.

“Patience and kindness achieve more than force and rage.”

- LaFontaine
Deal with pertinent facts; separate the technical issues from policy issues and business issues.

Focus on the issue itself and not “personalities,” and recognize when a problem does exist the problem should be attacked and not the person.

Look at the issue from the other person’s point of view in order to better understand their perspective.

Avoid blame and maintain a positive attitude.

Keep your cool when the discussion gets heated.

Once an issue is in the process it should be resolved at the level closest to the issue which is the project level. However, individuals shall make decisions that are within their area of expertise and comfort level. If you don’t feel comfortable with the decision you are being asked to make, then escalate it.

Negotiate a fair settlement. If this cannot be accomplished then agree to disagree and escalate together.

District construction field staff is encouraged to seek advice from the central office and district personnel. This is not escalation but rather problem solving.

The Effectiveness Institute Rules for Elevating

The implementation plan for elevating problems/issues needs to be clearly spelled out. Field personnel need to have access to executive level support when appropriate to resolve issues before they affect the project. Elevating an issue to the next level should not be viewed as an individual’s inability to do his/her job but as insight into the bigger picture. The guidelines for elevating include:

- Develop guidelines for each level as to when to elevate.
- Lack of action by any member is unacceptable.
- Issues will be elevated as a team, not singularly up through one organization.
- Establish timelines for elevating an issue before it affects the project.
- Invite participants from other levels to join the elevation meetings.
- Promptly notify all affected parties of issues resolved and the outcome.
- Decision-making should be encouraged at the level closest to where the work is done.
- Discuss the impact of undermining field people if decisions made in the field are countered by higher management, rather than supported.
- The team must monitor the issues identified, timeliness of resolution, and any outstanding issues.
- Commit to no claims by ambush; litigation is the absolute last resort.
Communication Chain of Command Procedures

How to Prompt Development of Procedures

Writing goal statements about communication and what we want to achieve is often easier than designing procedures to manage communication. When talking about needed communication, it often seems too big and cumbersome to get our arms around, so we tend to “wing” it with often disastrous results. Developing the communication procedures creates rules and processes for communications, intangibles that are usually misunderstood.

Once communication goals are set up, participants start the “yes, but” mentality. Some feel the goal statements are good but how are we going to ensure they happen? The formal session takes a shift in mood usually by this time.

The facilitator needs to prompt the group’s thinking by posing questions such as:

♦ What needs communicated?
♦ Who should communicate to whom about what?
♦ How frequently and what is the method/s should communication occur?
♦ What communication needs documented and how?

Another method of prompting the group is to discuss what types of communication problems occurred on other jobs they have worked on. What effect did this have on the job? What is a solution to prevent this type of communication job on this project?

Types of Communication Procedures

It is always important to question the group knowing what are possible end results of communication procedures. Types include (Ronco):

1. Request for information (RFI) procedures
   - formal
   - informal
   - documentation

2. Back-up access plans
   - plan management

3. Project chain of command
   - sign-off authority for making decisions

4. Meeting plans and procedures
   - weekly project meetings
   - daily “check-in” meetings
   - decision-maker meetings
   - informal meetings

Be Prepared for Heated Disagreements

Communication, on first glance, appears as a straightforward, mundane topic. However, as participants begin discussing communication, be prepared for heated disagreements. By understanding ahead of time why tempers can flare during a
discussion on communication, the facilitator and group can help move quicker toward consensus.

First, communication procedures force the group to be specific for the first time in the partnering session. As participants listen to the procedures being proposed, they may fear it will interfere or get in the way they are used to performing their job. When there is free flowing information at a meeting or in a document; it is threatening to their sense of personal or discipline-specific importance.

And finally, some people in construction do not like the formality of anything put in writing. They feel it could restrict them or hinder the project. There is often an attitude that “in the good old days, a man did what he said he was going to do.” However, in today’s world, construction has become quite complex and more effective communication procedures are needed to keep a project moving forward in the desired direction.

By the facilitator anticipating these dynamics, the strategies for the workshop can be designed to stop the group when tempers get heated, and share what is happening. Clearing the air helps participants understand it is the issue, not the session, that is creating the disagreements. This is natural to the process.

Keeping Partnering Sessions Fresh and Pertinent

The partnering process is something that should be dynamic and constantly changing as groups work repeatedly together. The process is always striving for the next level. There needs to be airtime at formal sessions for all parties involved. It’s purpose is not to be a scheduling meeting. By a lively dialogue of concerns, no one subcontractor should get bored in attending ten or so a year, if he/she is walking out with something of value to do the job better.

Participants need to be continually reminded that a group of people who have worked together in the past, even if it is the same group but three new players are added, creates different dynamics. A new project is different in some ways than the job previously worked on. Typically construction people see only the concrete activities such as a video, developing the charter, etc. and feel that it is the “same old thing.” Because building trust, relationships, and developing a common level of understanding are intangibles, construction people can walk away from a partnering session feeling it was nothing new, even though it is a new group of people, new project, and new group behaviors.

The facilitator needs to keep emphasizing this purpose. However, the facilitator needs to be continuously searching for creative new methods, videos, tools, and activities to keep the sessions interesting and fresh, especially when doing repeated sessions for the same District Office and Contractors.

Feedback from Participants

A reality check on the success of the formal partnering session for all is essential for keeping partnering sessions relevant, interesting, and alive. The preplanning group and facilitator can get into a rut and feel comfortable doing things in the same way since it always worked well in the past. Participants can get bored or feel as though their needs are not being met. The only way of preventing this from happening is collecting pertinent feedback and using it in never-ending improvement strategies of the design and activities of the formal sessions.

It is extremely important to gather information from the participants in several different ways. At the beginning of the session, the facilitator can ask what people
expect to walk away with from the session. The facilitator can add to the list as to what his/her expectations are. At the end of the session, the facilitator asks the group to assess how well the expectations were met.

Another method is to ask participants, in a round-robin format at the end of the session, to each give a plus statement of the day and a minus statement of the day (something we could improve upon). This can be written on a flipchart and recorded for consideration in future sessions.

Since not everyone is willing to speak out loud about their feelings, a paper-pencil feedback form to be completed by each participant is enlightening (See sample Feedback Forms in the Appendix on pages 49-51). It may be open-ended or very specific as the two examples in this manual demonstrate. The choice is up to the facilitator and preplanning group.
# Stage 3 – Ongoing Meetings

<table>
<thead>
<tr>
<th>Stages</th>
<th>Who?</th>
<th>Objectives</th>
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<tbody>
<tr>
<td>Ongoing Meetings</td>
<td>Weekly Job Meeting</td>
<td>• To assess needs and progress of project&lt;br&gt;• To change scope as needed&lt;br&gt;• To deal with current and upcoming issues&lt;br&gt;• To make decisions and problem-solve&lt;br&gt;• To communicate needed information to team members&lt;br&gt;• To assess how well we are working together and adhering to the charter</td>
</tr>
<tr>
<td>Why?</td>
<td>ODOT&lt;br&gt;Prime Contractor&lt;br&gt;Subcontractors, Suppliers, FHWA, State Agencies, Railroads, Utilities, Local Cities, Villages, Municipalities, Local Businesses, Schools, Law Enforcement, Emergency, and Medical Teams</td>
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<td></td>
<td>Intermediate Meeting/s</td>
<td>These meetings may include everyone from the original formal partnering session as well as key players for the weekly job meetings. The intermediate meeting/s are at periodic stages during the course of a project.</td>
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</table>
Breathing Life into the Charter During Ongoing Meetings

At the formal partnering session, the team determines how frequently meetings should occur, who should be involved, and the purpose of each type of meeting. Guidelines should be set and followed to ensure effective meetings (See Appendix page 52). At the field level, the team may decide to have a daily touch-base stand-up meeting each day for five or ten minutes. In addition, the team may meet once a week or every two weeks. Ongoing meetings include pre-construction meetings and/or progress meetings.

At any meeting, it is up to the team leader to emphasize and remind the team of agreements made in the Charter. The Charter should be posted in a visible place within the meeting area and on the job site (one company posts it on oilcloth near the job trailer so it can withstand the weather). If a communication or problem issue comes up, the leader should remind the group of the agreed upon procedure as to how to deal with it. Then, the leader walks them through the process to resolve the issue or deal with the communication.

In addition, when discussing a topic, the team leader should remind the team of the goal they set in developing the Charter that relates to that topic. Keeping the Charter on the meeting agenda (and or parts of it) helps breathe life into the agenda and keeps it alive (see Sample Meeting Agenda Format on Appendix pages 53-56).

Implementing and Keeping the Charter Alive

The Charter needs to be used and referred to during the course of the project. As was mentioned, the ongoing meetings should use the Charter as a reference point upon which to base the topics of the meetings. Referrals to the Charter should be made whenever possible.

A periodic evaluation of how project team members believe they are working toward the statements of the Charter can easily be developed by writing the statements into the forms in the Appendix on pages 57-58. This can be done periodically at the discretion of the management of the prime contractor. When to do it is dependent on several variables. They include:

- Length of the project
- Nature of the project
- Type and number of persons involved on the team
- Issues
- Problems or tension among parties

It is management’s responsibility at all levels, to ensure the Charter is implemented and kept alive! If it goes no where, management has failed.
Real-Life Conflict Resolution

If people fear getting blamed for a problem or have fear of the “kill the messenger” syndrome when they bring up issues or problems, no procedure in the world will work effectively. Problems will be avoided and swept “under the rug.” If people are accustomed to finger pointing or blaming, they will not embrace a productive problem-resolution process.

It is critical that contractors at all levels understand that behavior and attitudes in the actual company can affect the success of partnering within the project. Partnering can survive only in an environment of openness, risk-taking, genuine acceptance of feedback, and trust.

The District Project Engineer and/or Project Supervisor, along with the Contractor’s Project Manager and/or Superintendent must carry on and communicate the resolution process throughout the life of the project. They must champion the partnering concept by:

♦ Identifying and reviewing issues at regularly scheduled progress meetings.

♦ Resolving operational issues and developing action plans or agree to escalate all unresolved issues.

♦ If appropriate, conducting a facilitated problem-solving method using a third party neutral facilitator (See Additional Resources page 61).

Scorecard for Partnering

A sample scorecard for partnering is found in the Appendix on page 59. This may be revised to fit the needs of the project in term of who receives it and how often. For example, the Owner may receive it monthly or quarterly. The team members may receive it every two months. A strategy should be developed by the Prime Contractor to determine when and how the best results can be obtained. For example, should the project manager send out the form and have it returned to him/her or should the project manager send it out but have it returned to the department head or vice president? Team members may be more honest knowing the form does not come back to the person they work with on a daily basis (as well as maybe the possibility of recognizing handwriting!).

Frequency of when this form goes out is at the discretion of the Prime Contractor, ODOT District Office, project management, contract length and size of the project. The key is to use it like a thermometer – keep a healthy temperature on the project.
## Stage 4 – Close-Out Meeting and Celebrations/Recognition

<table>
<thead>
<tr>
<th>Stages</th>
<th>Who?</th>
<th>Objectives</th>
</tr>
</thead>
<tbody>
<tr>
<td>Close-Out Meeting, Celebration, and Follow-Up</td>
<td>• ODOT &lt;br&gt; • Prime Contractor &lt;br&gt; • Subcontractors, Suppliers, FHWA, State Agencies, Railroads, Utilities, Local Cities, Villages, Municipalities, Local Businesses, Schools, Law Enforcement, Emergency, and Medical Teams</td>
<td>• To assess for improvement and confirm what is done well &lt;br&gt; • To celebrate and show appreciation for a job well-done &lt;br&gt; • To follow-up for needed assistance and for maintaining business relationships</td>
</tr>
</tbody>
</table>

**Why?**
First, to assess how well the team worked together to meet the goals of the charter and project overall so that they can obtain feedback for improvement for future jobs. Second, the celebration is critical to carry out the spirit of partnering for a job well done. Third, the follow-up activities are just good business for being of service for information, repairs, or any other needs the owner may have. Plus, it maintains an ongoing relationship for future business.
**Close-Out Meeting and Celebrations/Recognitions**

### Data Collection

Throughout the three stages of partnering, we have outlined many reasons for data collection and sample tools for collecting data. The following is a summary of the type of data we have collected as a result of the partnering process including the fourth stage – Close-Out Meeting.

### Preplanning and Orientation
- ODOT’s Needs, Desires, and Requirements
- ODOT’s and New Subcontractors Attitude on Partnering

### Formal Partnering Session
- Charter Goal Statements
- Communication and Conflict Resolution Procedures
- Plus and Minus of Session
- Session Feedback Form

### Ongoing Meetings
- Meeting Notes (document issues, solutions, actions)
- Periodic Charter Evaluations
- Communication Evaluations
- Scorecards

### Close-Out Meeting
- Prior to the closeout meeting a customer feedback form should be sent and returned from the owner to determine the level of immediate satisfaction
- A tally and analysis of all data collection forms that were collected throughout the project (all of the areas in the other three stages)

### Other Data:

If not contained in the Charter and measured throughout the Charter evaluation, there should be additional tracking data of the ODOT State Level key measures as well as any other areas the Prime may believe are important to track for quality improvement efforts. These may include data collection in:

- Number of claims *
- Cost reduction *
- Events for accelerating schedule
Number of change orders*
Value of change orders*
Value engineering savings*
Completed projects on contract completion date*
Completed projects before contract completion date*
Feedback on the work environment of a team culture versus otherwise*
Innovative techniques/adaptations to complete the job (such as creative safety devices on bridgework, dealing with toxic areas, etc.)

* These are the key measures of the ODOT Strategic Initiative 7

There may be a need to have an outside facilitator assist you near the end of a project to organize, compile, and analyze the data. In the future, ODOT may be requesting certain types of data as they design their own measurement system for the partnering initiative as well as quality key measures.

Forms for Data Collection

Many of the feedback and survey forms found in this manual can be adapted for project end data collection. With minor revisions, the forms can be project end tally sheets. It is not the purpose of this manual to dictate to you what forms to use. Rather, the attempt is to give you ideas to create the tools that you need to do the job in a way that makes the most sense and are value-added to the process.

Compiling and Analyzing Feedback from All Stakeholders

When collecting data, don’t forget to include the various stakeholders involved in the project listed in Figure 2 of this manual. It is important to always think of the extended project team, not just the workers on the job-site. The questions may be revised to some degree and you may not send it out as often as you do to the onsite workers, but always keep them in mind as a source for gaining feedback.

Conducting the Close-Out Meeting

This meeting may or may not be designed and facilitated by a facilitator. If it is, there needs to be a great deal of input and involvement of the Project Manager and Prime Contractor. Many of the stakeholders and workers from the team should have an opportunity to speak or share something. You may have a “walk down memory lane” sharing photos from the job or a group activity that related to the job. “Beginning with the end in mind,” may remind the project manager during the course of the project, to collect something that could serve as a memento at this event such as an aerial photo, concrete chips, bolts that could be gold-plated.

However, always remember to recognize events and people during the course of the project to keep motivation and morale in high gear. The AGC’s list of activities on page 35 are ideas to keep in mind.

The first decision of close-out meetings is to decide whether or not to have a close-out meeting and celebration together. If there is serious data to analyze or negative aspects or some awkward feedback that needs to be dealt with, you may not want to have the close-out meeting and celebration at the same time or even on the same day. However, if the project has been a very positive experience, having the close-out meeting followed by a dinner or event, will not be a problem.
If you want to collect solid data that can be useful on future projects, then it is important to have a plan and specific strategies to get the information during the close-out meeting or just prior to the meeting. To combine a close-out meeting standing around a hog roast with an open bar and band may be fun but probably will not result in solid data and feedback. However, you can have the close-out meeting, conclude, and then relax at a hog roast. The decision is up to your discretion.

**Celebrations**

Celebrations should be meaningful to the participants attending. A black tie affair may be more of a punishment for some participants than a celebration. Some participants may not want to socialize in the evening with the people they work with or commit their spouse’s time and would prefer a luncheon during the day. It’s important to be sensitive in knowing the group and asking them what they would like to do as a celebration before making plans for the event.

**Follow-Up with and For ODOT and Other Stakeholders**

You may be losing a wonderful relationship as well as future business opportunities if you leave the project and focus on the “next job” rather than periodically contacting former team members and Owner or keeping in touch in some indirect way. E-mails, faxing articles or stories from newspapers, sending birthday cards or just “hi” cards, are an effective way to keep your name and face in their memory as well as build on relationships. Golf, updates on your company, taking someone to lunch, helps you to get to know your team members and stakeholders in a deeper way so the next project is another partnered success.
50 MORE MOTIVATIONAL AND RECOGNITION IDEAS

1. Create a “special performer” award (plaque or trophy). Management gives the award to a top performer, who keeps it until he or she discovers another “special performer.” The award takes on great value because it comes from one’s peers. The passing of the award can be accompanied by a ceremony and lunch.

2. Present a traveling trophy filled with goodies (refill before it goes to the next awardee).

3. Send a thank you note to the employee’s home.

4. Reserve a special parking place for the Employee of the Month.

5. Give a day or half day off on Friday.

6. Give employees their birthday off.

7. On employees’ birthdays, present them with a card, cake, and small gift.

8. Provide transportation to and from work in a limousine.


10. Each new employee spends an hour with the president or top officer of the company.

11. Life Saver Award – Life Saver candies to employee or team who filled in at a critical time.

12. Select several employees each month to meet with the president and discuss matters of concern.

13. The day before a new employee comes to work, have several people call to welcome him or her to the company.

14. If you hear something good about a person, pass it on (positive gossip).

15. Write a letter of praise to the employee and send copies to the personnel file and company president.

16. Have senior managers serve a pancake breakfast to the rest of the employees.

17. Give out candy bars to employees who are doing things right.

18. Send employees to the ball game if they finish a project ahead of schedule.

19. Give the person a two-hour lunch.

20. Print up certificates of recognition and give to employees to award to other employees. The certificates can be accumulated and redeemed for cash or prizes.

21. Erect a job sign or banner that lists major stakeholders and states their commitment to Partnering.

22. Award silver dollars for good work, safety record, or perfect attendance.

23. Distribute $20 bills to employees who excel.

24. Give employees $100 to spend on any innovative idea, process, or item that will improve their job.

25. Give employees play money to use at an auction to buy prizes or services.

26. Send a cash amount to the spouse of an outstanding employee with a note thanking him or her for his or her support during the employee’s overtime.

27. Bring in ice cream and all the toppings for an ice cream sundae break.

28. Glue chocolate kisses to boring memos.

29. Start each meeting with a cartoon or joke.

30. Order pizza or a 6-foot submarine sandwich for lunch.

31. Attach cartoons to mundane memos.

32. Hold an ugly tie contest.

33. Snap Polaroid pictures of the job site and take candid shots of employees. Post on a board where all can see them.

34. Present employees who make suggestions to improve the job or save money with a baseball signed by management.

35. Encourage employees to participate in the suggestion program by providing them with pen sets and notepads.

36. Walk up to employees and say, “Thanks for a job well done.”

37. Provide membership in a health club or hunt club.

38. Fine individuals who arrive late to meetings and pass out money or small rewards to those who arrive on time.

39. Create coffee mugs, T-shirts, or hardhat stickers with a special motto or logo.

40. Have project managers prepare and serve dessert to the field crew.

41. Give cash or compensatory time to employees with excellent safety or attendance records.

42. Catch your employees doing something right, then reward them on the spot with a small gift, certificate, verbal thank-you, or cash.

43. Give employees time with pay for community work.

44. Make a donation to the honored employee’s favorite charity in his or her name.

45. Give the Employee of the Month use of a cellular telephone for a month.

46. Write a note on the employee’s paycheck envelope praising some accomplishment.

47. Authorize managers to walk around with fast food coupons that they can hand out on the spot.

48. Take out a full page ad in the local newspaper and thank each employee by name for his or her contribution.

49. Bring in a mobile oil-change service to service cars in the parking lot while employees are at work.

50. At weekly safety meetings or “toolbox talks,” tape gift certificates to the bottoms of some of the chairs.

Appendix of Forms
Guidelines for Determining Length of Formal Partnering Session

**Instructions:** Check your selected response of 1, 2 or 3 points. Then add up the total points in the score column to select the length of the partnering session.

Please keep in mind this is only a tool to assist districts in determining the length of their workshops. Members of each district’s preplanning team should make the final decision based on their perceived needs and objectives.

<table>
<thead>
<tr>
<th>Score</th>
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</thead>
<tbody>
<tr>
<td>Length of Formal Partnering Session</td>
</tr>
<tr>
<td>Half a day</td>
</tr>
<tr>
<td>Half a day to one day **</td>
</tr>
<tr>
<td>One and a half days to two days **</td>
</tr>
</tbody>
</table>

** The use of an outside facilitator is highly recommended for sessions over ½ day long or for those when the objectivity of an impartial party can be of benefit to the process.
Orientation and/or Preplanning Sample Letter

Date

Owner
Company
Address
City, State, & Zip

Owner or Subcontractor:

This letter is to confirm our meeting scheduled for (Date at Location) in regards to Project (Name and number).

At this meeting, we will discuss “Partnering” to make sure we are all on the same page with what it means for our project, discuss your needs, and prepare for the formal partnering session. [We will also develop a list of who should attend this meeting from ODOT as well as from (Prime).] –(For owner only, not subs)

(Insert unique meeting needs and/or room needs here).

We look forward to meeting you to begin the partnering process of (Name of project).

Sincerely,

Name
Project Manager, Prime Company
Role of the Partnering Coordinator

**Function:** To organize the formal partnering session for the project manager, owner, external facilitator, and subcontractors, as well as support the project manager in his/her partnering efforts throughout the project.

**Duties and Responsibilities:**

**Formal Session –**

1. Obtain request for a formal partnering session from the project manager.

2. Collect information (on the prep sheet) about the project.

3. Coordinate dates with the owner, project manager, external facilitator, engineer, subcontractors, et al.

4. Find facility and arrange for breakfast and/or lunch.

5. Send out invitation letter with R.S.V.P.

6. Collect R.S.V.P.’s and make calls if no response to determine who is coming.

7. Coordinate needs of Project Manager and external facilitator.

8. Create database of information about all Partnering Session participants (including each person’s name, company, title, address, phone number, fax number, e-mail address) and make copies to distribute to everyone at Partnering Session


10. Attend session, if possible, to provide:
   - name tags
   - handouts/booklets
   - attendance sign-in sheet
   - equipment such as VCR, monitor, screen, LCD projector, flipcharts, etc.
   - collect logos ahead of time for charter if desired
   - format for charter, someone to input as being developed
   - provide laptop, printer, paper to print and final charter to obtain everyone’s signature

11. Ensure that the final charter (and any other follow-up materials from meeting) is sent to all participants.

**Other Stages of Project –**

- Coordinates partnering needs at ongoing meetings such as provides meeting notes, sets agendas, etc.

- Coordinates partnering needs for conflict resolution/problem-solving meetings/close-out meetings and/or celebrations.

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Sample Letter Invitation to Formal Partnering Meeting

The invitation letter should be dynamic and create excitement. However, below is a sample letter of the basic information it should contain.

Salutation:

On (date), the (name of project) was awarded to (Company) by ODOT through the District (No.) Office. (Prime) and ODOT have agreed to use a successful method of project administration called Partnering. ODOT has set forth the partnering concept as a desired way of doing business in their Strategic Initiatives 2001. All ODOT jobs are to be partnered.

You have been identified as a key decision-maker in regard to this project and we invite you to participate in this project.

A partnering workshop has been scheduled for (date, time from start to conclusion, location, and telephone number). This workshop will be attended by all of the key construction personnel for the owner, contractor, its subcontractors, major suppliers, and local agencies/public entities.

The purpose of this partnering workshop is to establish good communications and teambuilding skills among all project decision-makers and orient them in the partnering process. This includes setting a mission and mutual goals that all parties can work toward and a problem-solving procedure to eliminate unnecessary delays/costs/inconveniences.

Please come prepared with your thinking about what your needs are to successfully complete your job in the project, as well as concerns or issues to share with others in the group.

If you have questions or concerns, please contact (person who can answer questions or find out) at (phone number). Please fax the confirmation form below to (person) by (person). If you cannot attend, please send another member of your staff who can fill in for you.

Thank you for your commitment to the success of this project by attending.

(signatures of President of Company, Project Manager, ODOT District Deputy Director, and ODOT Project Engineer)

Enclosures (R.S.V.P. notice and map of how to get to the location)
QUESTIONS FOR SELECTING A QUALIFIED PARTNERING FACILITATOR

IS THE FACILITATOR OBJECTIVE? It is important that the facilitator maintain objectivity among the stakeholders on the Partnering process. Bias and favoritism develop over the course of the process, but to be effective the facilitators must make all efforts to appear and be objective.

IS THE FACILITATOR EXPERIENCED IN THE DESIGN AND CONSTRUCTION INDUSTRY? Many people claim to be facilitators. Specific knowledge of the language, techniques, and processes unique to the design and construction industry aid in facilitating the Partnering process. Facilitator familiarity with the industry will eliminate the learning process and heighten awareness in areas where problems traditionally develop.

DOES THE FACILITATOR CONDUCT IN-DEPTH, FACE-TO-FACE PRE-WORKSHOP INTERVIEWS? The facilitator needs to be aware of the personalities and behavioral styles of the stakeholders before the initial workshop. Issues, often hidden ones, need to be known by the facilitator before the Partnering session. The design and management of the Partnering workshop depend on specific tailoring as a result of the foreknowledge gained by the facilitator during interviews.

DOES THE FACILITATOR USE TIME-COMPRESSION TECHNIQUES DURING THE PARTNERING SESSIONS? Stakeholders are usually very busy people. Their time and experience are valuable. Often the initial Partnering workshop must be squeezed into a single-day session. Tight, effective, problem-solving techniques allow greater group and stakeholder productivity during the workshops. Time-compression techniques can be effective for small projects where a one-day workshop may be more economically feasible. Conducting pre-workshop interview (above) can also save time during the workshop.

DOES THE FACILITATOR PRODUCE ON-SITE DOCUMENTS AT THE PARTNERING WORKSHOPS? Computer/printer technology has become portable and easy to use. Real-time production of the Partnering Charter for stakeholder signature at the workshop is possible. Other documents such as the issue resolution grid and joint evaluation process may also be made ready for distribution at the Partnering meeting.

DOES THE FACILITATOR HAVE THE PERSONAL STYLE TO MATCH THE ENVIRONMENT OF THE STAKEHOLDERS? The feeling of comfort is important in any human relationship. Technical competence is important when choosing a facilitator, but since Partnering is about relationships, the matching of facilitator styles to the needs of the people of the project is very important.

IS THE FACILITATOR A TEACHER AND A COACH? There are many tools and techniques a facilitator in the Partnering field must master to be effective. Many of these items can be useful to the stakeholders within their own organizations. The facilitator should seek opportunities to share such knowledge. The facilitator should help the stakeholders introduce and perfect advanced techniques in their companies. The facilitator must be an active proponent of continuous improvement.

IS THE FACILITATOR ACCESSIBLE? Geographical proximity to the job site may be important, but today’s electronics allow the facilitator to be near at hand through telephone numbers, faxes, and computer networks. The facilitator should be a leader in this technology.

DOES THE FACILITATOR SEEK A LONG-TERM RELATIONSHIP WITH THE PROJECT AND ITS STAKEHOLDERS? The facilitator’s commitment to quality and service, as well as the project and its design and construction team, indicates a desire to be a part of the Partnering process. The facilitator who wants to be there at project completion will help ensure that involvement and imagination will be the core of the Partnering process.

DOES THE FACILITATOR USE SUPPORTING TOOLS FOR PARTNERING TEAM BUILDING? There are many instruments available in the fields of human relations development and organizational development to supplement the Partnering process. These tools range from individual through organization levels. They cover team building, leadership, management, and many other areas. They can be effectively used by the stakeholders as well as within their own organizations to improve productivity. The facilitator should provide knowledge, guidance, and availability of these supplemental tools.

DOES THE FACILITATOR BRIDGE THE GAP BETWEEN PARTNERING SESSION? The spirit of Partnering achieved in a good Partnering workshop tends to wane as the team disperses to perform their project functions. Periodic Partnering workshops renew that spirit. The facilitator can provide a supporting bridge between the formal sessions. The facilitator needs to stay on top of what’s happening on the project. The facilitator is usually the initial Partnering advocate. Even though the stakeholders have full-time responsibilities in their own companies, the facilitator may need to develop Partnering champions among them.

Partnering is about relationships, not tasks. The expertise to design and construct projects is everywhere around the Partnering table. Human relationship problems are the most difficult problems to solve. Two workshop days allow for greater concentration on the process of getting the team to know and understand one another.

By Barbara Boden and Lance Zellers, Leading Attitudes, Inc., Myersville, Maryland.
Sample Agenda Content

The following is a sample agenda of the first formal partnering meeting which can be developed over a ½ day, full day, or two days. Amount of time is determined by needs, type and length of job, complexity of job, number of people, and any other unique dynamic of the job.

Agenda items typically include:

• Introductions
  Opening remarks (district and contractor senior representatives)
  Who are the participants?
  What they do
  Concerns

• Partnering
  Concepts
  Perspective

• Building Trust

• Some Type of Teambuilding Activity Related to the Real World

• Goals and Objectives
  Individual/Group

• Project Issues

• Communication/Procedures

• Conflict Management and Resolution

• Commitment/Consensus

• Drafting of the Charter

• Creating the Evaluation Process

Depending on the amount, many variations can occur to deepen understanding of any of the above topics such as individual personality styles, communication techniques, or problem-solving tools and/or processes. The actual agenda and content of the meeting is best determined at the preplanning meeting.
1. Which ODOT District Office?
   a. Contact person:
   b. Address:
   c. Phone:

2. Project Description:

3. Have you worked with them before?___________
   The last project in the district?

4. Timeline to begin and complete?______________________________

5. Names of the subcontractors involved, their company, and their trade. (List all but star those who should be at the session versus those who come later.)

6. What is the status of the project schedule?
   ______ schedule needs further discussion, refining, and/or clarification
   ______ skip the schedule

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7. Instead, we need to focus on? Other issues?

8. What do you want to accomplish at this meeting?

9. What do you want to be involved with or do at this meeting?

10. Is there anything in particular you want me to stress?

11. Is there anything unique or unusual we need to deal with together on this project that is not yet on the agenda?

12. Are there any exhibits (such as models, sample of materials, photographs, etc.) you or the subcontractors would like to bring and share at the meeting?

13. Is there a construction manager?_____

14. Who? (Name and Company)__________________________
(Phone)__________________________
15. Who is the designer?_____________________________
   Name__________________________ Company_____________________________
   Phone________________________

16. Should we involve him/her in our planning for the session? _____yes _____no
   (Put an x by his/her name in 16 and/or 17 if who we should include.)

17. Anything else that the facilitator should know that would be useful in facilitating/preparing for
   the meeting?

18. What is our timeline on scheduling this meeting?

19. I should contact you no later than___________________________
Partnership Agreement
I-75 Resurfacing Project
November 16, 2000

The people of Team 75 (Jep Bridge) are committed to working together to produce a quality product in a safe, timely, and cost effective manner that results in a highway for the future.

PROJECT GOAL STATEMENTS

GENERAL OVERALL GOALS:
- Safe project for traveling public and project team
- Completion of project within contract time limitations
- Minimize impact to traveling public (traffic delays)
- Produce quality construction to reduce future maintenance
- Profitable project and no claims
- Honest and open communication between all parties with quick problem resolution
- Keep the public informed (PIDS)
- Minimize environmental impact
- Finalize project within 6 months
- Make workplace enjoyable

COMMUNICATION GOALS:
- Formalize a meeting schedule among partners
- Identify chain of command and responder's list (phone, e-mail, etc.)
- Media briefing schedule
- Incident management process

ISSUE PROBLEM RESOLUTION GOALS:
- Identify the problem
- Determine the timeline of the decision
- Determine level of resolution
- What people are involved in the solution
- Determine how to solve the problem
- A decision is made to resolve the problem
- Implement the plan to resolve the problem
- Use an appeal process prior to filing a claim (within the district)
- Notify the affected parties of the decision

CHARTER IMPLEMENTATION AND EVALUATION GOALS:
- Post an enlarged copy of charter at project site
- Send a copy of charter to all sub and suppliers
- Post copies of charter in trailers
- Conduct quarterly evaluation
- Provide forums at weekly progress meetings

Sawyer with Strength of Steel
# Problem-Solving Guide

**Purpose:** To apply the six steps of problem-solving.

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<thead>
<tr>
<th>Step 1.a.</th>
<th>Identify Needs</th>
</tr>
</thead>
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<tr>
<td>Mine</td>
<td></td>
</tr>
<tr>
<td>Others</td>
<td></td>
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<table>
<thead>
<tr>
<th>Step 1.b.</th>
<th>Define the Problem</th>
</tr>
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<table>
<thead>
<tr>
<th>Step 2.</th>
<th>Brainstorm Causes/Solutions</th>
</tr>
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<tbody>
<tr>
<td>Solutions</td>
<td>Acceptable</td>
</tr>
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<td></td>
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<thead>
<tr>
<th>Step 3.a.</th>
<th>Evaluate Solutions (x)</th>
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<table>
<thead>
<tr>
<th>Step 3.b.</th>
<th>Choose Solutions</th>
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<tr>
<th>Step 4.</th>
<th>Planning and Taking Action</th>
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<tr>
<th>Step 5-6.</th>
<th>Checking Results/Process</th>
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</table>

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## Problem-Solving Guide

**Purpose:** To apply the six steps of problem-solving. Identify potential problems that could arise for you or your teammates that could hinder on-time completion of the project.

1. 
   
2. 
   
3. 
   
4. 
   
5. 
   
6. 
   
7. 
   
8. 

**Step 1** – Make a list of current problems or issues.

1. 
   
2. 
   
3. 
   
4. 
   
5. 
   
6. 
   
7. 
   
8. 

**Step 2** – Clearly define the problem or issue.

**Step 3** – Make a list of all the possible (root) causes for problem or issue.

1. 
   
2. 
   
3. 
   
4. 
   
5. 
   
6. 
   
7. 
   
8.
Formal Partnering Meeting Feedback Form

Date:

Check One:  ____Owner    ____Prime
            ____Architect  ____Engineer
            ____Subcontractor  ____Vendor
            ____Supplier  ____Lender
            ____Public Entity  ____Construction Manager

This partnering session was relevant to my needs for this project.
Yes___ No___

I felt involved during the session.
Yes___ No___

The facilitator was prepared and helped the session move forward.
Yes___ No___

The project manager was prepared and helped the session move forward.
Yes___ No___

The activities during the session were effective and helpful.
Yes___ No___

Rate the following (1 dissatisfied to 5 very satisfied):

A.  Video                      1  2  3  4  5
B.  Team Activity              1  2  3  4  5
C.  Charter                    1  2  3  4  5
D.  Schedule Discussion        1  2  3  4  5

In what areas could we have created a more positive experience?

Do you have any suggestions for future partnering sessions?

What is the one thing you are walking away with from today’s interaction?

Was the session:  just right____ too long____ no opinion____

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Partnering Session Feedback Form

Date:
Check One:  Owner ___  Prime ___  Architect ___  Engineer ___
Subcontractor ___  Other ___ (List position for other) ___

Name: (only if you choose to)  ___________________________________

1. The session was relevant to my needs for the project.  
   yes___  no___  If no, why?
   Explain:

2. I felt involved during the session.  yes___  no___  If no, why?
   Explain:

3. The facilitator was prepared and helped the session move forward.  yes___  no___  If no, why?
   Explain:

4. The project manager was prepared and assisted the session in moving forward and being productive.  yes___  no___  If no, why?
   Explain:

5. The activities were effective.  yes___  no___  If no, why?
   Explain:

© Oak Wood Associates Ltd.
Rate the activities on a 1-5.

- videos
  1 2 3 4 5
- lectures (on teams and quality)
  1 2 3 4 5
- team activity
  1 2 3 4 5
- charter
  1 2 3 4 5
- schedule discussion
  1 2 3 4 5

6. Is there anything else we could do to create a more positive experience?

7. Do you have any suggestions for future partnering sessions?

8. What did you gain from today that can immediately apply to your work?

9. How will this session and the charter directly impact on your work for this project?

10. Do you believe partnering this project will produce any results which may not occur if the job were not partnered?

11. What are your expectations of partnering at the end of today?

12. What is your opinion on the value of partnering as a result of today?

13. How do you personally plan to incorporate partnering concepts into your work with other contracts?
Guidelines for Effective Weekly Meetings

♦ Have a preplanned tentative agenda and ask for any other items from the group before starting the meeting.

♦ Use the previous meeting notes to review action items to ensure follow-up.

♦ Gain a commitment from all team players to attend and participate regularly.

♦ Ensure equal participation at the meeting. Do not monopolize the meeting or allow others to. Share air time.

♦ Have a note taker to capture the issue discussed, key points, and actions agreed upon. Take turns.

♦ Distribute meeting notes shortly after the meeting (within a day or two).

♦ At the end of each meeting, go around the group and ask how they felt the meeting went. Identify what are the pluses and things that need to be improved upon.
Meeting Agenda Format
(For weekly and/or Progress Meetings)

Project Name: Interstate 111  Date: 12-5-00
Project Number: ODOT 1011135  Location: Who’sville

Attendees:

- John Smith
- Jack Jones
- Jim Long
- Sam Spade

Charter Mission: We, the 111 Team, will construct a highway with minimum inconvenience to the traveling public in a manner that all stakeholders win. During the construction, we will demonstrate effective safety procedures at all times and focus on completion on time, within the budget, and with the required degree of quality.

Please note below that charter goals are in bold italics.

<table>
<thead>
<tr>
<th>Topics</th>
<th>Points of Discussion</th>
<th>Actions/Decisions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review of Actions from Previous Meeting</td>
<td>1. None, all completed.</td>
<td></td>
</tr>
<tr>
<td>Schedule (Timely completion, well coordinated project, quality management project)</td>
<td>1. Temporary maintenance of traffic signs. All to be installed on break-away posts if not protected by guardrail.</td>
<td>1. To be installed by 1/7.</td>
</tr>
<tr>
<td></td>
<td>2. Need approval of temporary sheeting and shoring plans by 1/15 for excavation near tracks.</td>
<td>2. Jim will ensure they are here by 1/15.</td>
</tr>
<tr>
<td>Construction Activities, Problems, and Solutions (Will resolve issues as soon as possible and closest to the root cause)</td>
<td>1. Existing fiber optics belong to city found in concrete barrier. City will relocate. Their crews will begin work next week. To be completed by 1/28.</td>
<td></td>
</tr>
<tr>
<td>Topics</td>
<td>Points of Discussion</td>
<td>Actions/Decisions</td>
</tr>
<tr>
<td>----------------------------------------------------------------------</td>
<td>--------------------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------------------</td>
</tr>
<tr>
<td><strong>Items Due or Overdue by the Contractor</strong></td>
<td>1. None at this time.</td>
<td></td>
</tr>
<tr>
<td><strong>Items Due or Overdue by ODOT</strong></td>
<td>1. None at this time.</td>
<td></td>
</tr>
<tr>
<td><strong>Safety Issues (The safety of our employees/and the traveling public will take first priority in this project)</strong></td>
<td>1. Lighting 1. The roadway is dark in areas. The reason is due to non-functioning bulbs in luminaries and problems with circuits. 1. John will ensure that the non-functioning bulbs will be replaced by 12/8 and lighting circuits without power are activated by 12/16.</td>
<td>1. John will ensure that the non-functioning bulbs will be replaced by 12/8 and lighting circuits without power are activated by 12/16.</td>
</tr>
<tr>
<td><strong>Communication Issues (Effective communication, be fair and reasonable, follow-up)</strong></td>
<td>1. Information needed from ODOT. 1. We need traffic counts for the consultant for revised plans. We also need the locations where sediment control measures need taken. Need to get revised chamber for structural steel from consultant.</td>
<td>1. Bob from ODOT will get information by end of week. 2. Jack will inform his crew and complete by end of next week.</td>
</tr>
<tr>
<td>2. Edge-Lines</td>
<td>2. Contractor needs to re-apply edge lines on pavement in work zone A at exit ramps.</td>
<td></td>
</tr>
<tr>
<td><strong>Partnering Feedback/ Evaluations (We will process the charter goals at the end of each meeting)</strong></td>
<td>1. Charter goals. 1. Everyone feels we are sticking well with the goals but some information is not trickling out to the crews.</td>
<td>1. Jack will go out, find what the crews are not getting, and bring the info back to next meeting to develop a better way to do it.</td>
</tr>
<tr>
<td><strong>Future Issues</strong></td>
<td>1. Traffic Control 2. When best to apply pavement marking. 3. Seeding 4. EPA</td>
<td></td>
</tr>
</tbody>
</table>

*** Blank meeting Agendas follow. 54
Meeting Agenda Format
(For weekly and/or Progress Meetings)

Project Name: _______________        Date: _______________
Project Number: _______________        Location: _______________
Attendees: ______________________  ______________________
            ______________________  ______________________
            ______________________  ______________________
            ______________________  ______________________
Charter Mission: __________________________________________

<table>
<thead>
<tr>
<th>Topics</th>
<th>Points of Discussion</th>
<th>Actions/Decisions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review of Actions from Previous Meeting</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Schedule</td>
<td></td>
<td></td>
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<tr>
<td>Construction Activities, Problems, and Solutions</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Topic</td>
<td>Points of Discussion</td>
<td>Actions/Decisions</td>
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<td>-------------------------------------------</td>
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</tr>
<tr>
<td><em>Items Due or Overdue by the Contractor</em></td>
<td></td>
<td></td>
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<tr>
<td><em>Items Due or Overdue by ODOT</em></td>
<td></td>
<td></td>
</tr>
<tr>
<td><em>Safety Issues</em></td>
<td></td>
<td></td>
</tr>
<tr>
<td><em>Communication Issues</em></td>
<td></td>
<td></td>
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<tr>
<td><em>Partnering Feedback/ Evaluations</em></td>
<td></td>
<td></td>
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<tr>
<td><em>Future Issues</em></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Partnering Evaluation Feedback

Instructions: Place all of the goal statements from the Formal Partnering Session. These statements serve as the measurements to assess how well you accomplished the charter and project as a whole.

<table>
<thead>
<tr>
<th>Name (Optional):</th>
<th>Date:</th>
</tr>
</thead>
<tbody>
<tr>
<td>I am currently representing:</td>
<td></td>
</tr>
<tr>
<td>1 Owner</td>
<td>2 Construction Manager</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Goal</th>
<th>LOW</th>
<th>BELOW AVERAGE</th>
<th>AVERAGE</th>
<th>ABOVE AVERAGE</th>
<th>EXCELLENT</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td></td>
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</tbody>
</table>

TOTAL_________________ AVERAGE_______________

Partnersing Communication Evaluation

Note: This evaluation form is a survey assessment of how effective partnering was on the job in terms of relationships, communication, and problem-solving.

Name (Optional):______________________________________________   Date:____________________
I am currently representing: 1    2  3        4       5  6
    Owner      Construction Manager    Design Consultant    Contractor    Subcontractor    Suppliers/Other
Circle the number that most closely reflects your opinion. A response of 3 or less requires comment.

<table>
<thead>
<tr>
<th></th>
<th>Communication between the owner, construction manager, designer, consultant, contractor, subs, and suppliers has been:</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Very difficult, with frequent disagreement</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>2</td>
<td>Open, honest free-flowing</td>
<td>5</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Concerns and problems were acknowledged:</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Only when they could not be ignored</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>2</td>
<td>At first sign</td>
<td>5</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Concerns and problems were:</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Swept under the rug</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>2</td>
<td>Dealt with quickly and directly</td>
<td>5</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Cooperation between the owner, construction manager, designer, consultant, contractor, subs, and suppliers has been:</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Nonexistent</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>2</td>
<td>Highly Cooperative</td>
<td>5</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>When issues were raised, our response was:</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Extremely slow</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>2</td>
<td>Prompt and timely</td>
<td>5</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>When issues were raised the other person’s response was:</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Extremely slow</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>2</td>
<td>Prompt and timely</td>
<td>5</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>When issues were raised, people:</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Said one thing but did another</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>2</td>
<td>Did what they said they would do</td>
<td>5</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>The overall effectiveness of the partnership is:</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Nonexistent</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>2</td>
<td>Strong</td>
<td>5</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>We successfully met our project goals.</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Not at all</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>2</td>
<td>Absolutely</td>
<td>5</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Comments:
Sample Scorecard

We are inviting your comments regarding our construction services. Please don’t hesitate in telling us “like it is”, because we need to know any areas that need improvement. We understand that our best resource for this type of information is our internal and external customers, so please take a couple of minutes and give us a review. Your honesty is appreciated. A self-addressed stamped envelope has been enclosed for your convenience.

1. How are we communicating?  
   Dissatisfied 1 2 3 4 5  
   Satisfied

2. Are we responding to your needs and concerns?  
   1 2 3 4 5

3. How is our job site organization and housekeeping?  
   1 2 3 4 5

4. How satisfied are you with our Project Manager?  
   1 2 3 4 5

5. How satisfied are you with our Project Superintendent?  
   1 2 3 4 5

6. How satisfied are you with prime field trade people?  
   1 2 3 4 5

7. How satisfied are you with prime subcontractors and suppliers?  
   1 2 3 4 5

8. Are we meeting the project milestone dates and are we on schedule?  
   1 2 3 4 5

9. Any additional comments.

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

Thank you!

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Additional Resources
List of Facilitators

Gary D. Bates P.E., Partner
Roenker Bates Group
10999 Reed Hartman Highway, Suite 123
Cincinnati, Ohio  45242
Phone: (513) 984-6653
Fax: (513) 984-3160
www.rbggroup.com

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10135 Prov.-Neap.-Swan. Road
Grand Rapids, Ohio  43522
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Fax: (419) 832-3402
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www.oakwoodltd.com

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Fax: (513) 233-3755
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Phone: (317) 873-0086
Fax: (317) 873-0052
E-mail: lpeters@projectleader.com
www.projectleader.com

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Elida, Ohio  45807-3064
Phone: (419) 339-5500
Fax: (419) 339-9656
E-mail: mike@iciconsulting.net
www.iciconsulting.net
References and Sources


Resources

American Arbitration Association
140 West 51st Street
New York, New York 10020
(212) 484-4000
*Drafting Partnering Language: A Practical Guide*

American Society of Civil Engineers
345 East 47th Street
New York, New York 10017
*Partnering for Success by Thomas R. Warne*

American Subcontractors Association
1004 Duke Street
Alexandria, Virginia 22314
(703) 836-3482
*The Subcontractor*

Arizona Department of Transportation
1655 West Jackson Street
Phoenix, Arizona 85007
(602) 255-7226

Associated General Contractors
1957 E Street, N.W.
Washington, D.C. 20006
(202) 393-2040
*Partnering: A Concept for Success Constructor Magazine*

Construction Industry Institute (CII)
3208 Red River Street
Suite 300
Austin, Texas 78705
(512) 471-4319
*Numerous publications on Partnering*

Gathering Pace, Inc.
28 Gould Road
Bedford, MA 01730
(781) 275-2424
*Partnering Manual for Design and Construction*

Master Builders Australia
Construction House Level 3
217 Northbourne Avenue
Canberra Act 2601
Australia
*Partnering: A Strategy for Excellence*

U.S. Army Corps of Engineers
20 Massachusetts Avenue, N.W.
Washington, D.C. 20314
*Deciding Whether or Not to Partner Small Projects: A Guide for U.S. Army Corps of Engineers Managers IWR Pamphlet 95-ADR-P-6, August 1995*

Thomas R. Warne
Executive Director
Utah Department of Transportation
501 South 2700 West
Salt Lake City, Utah 84110
(801) 965-4113
*Partnering for Success (available from ASCE)*

Workman Publishing Company, Inc.
708 Broadway
New York, New York 10003
*1001 Ways to Reward Employees by Bob Nelson*