



PARTNERING GUIDELINES MANUAL

for

PARTNERING ON TRANSPORTATION PROJECTS

May 2012

NOTIFICATION OF AMENDMENTS TO THE PARTNERING GUIDELINES MANUAL

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Executive Director, Program Management Branch
Alberta Transportation

PARTNERING GUIDELINES MANUAL

A Guide to Partnering on Alberta Transportation Projects

This guide is written for
Alberta Transportation (TRANS),
Consulting Engineers of Alberta (CEA) members,
and Alberta Roadbuilders & Heavy Construction Association (ARHCA) members
working at the project level
to convey TRANS, CEA, and ARHCA's commitment to partnering,
to define responsibilities for partnering, and
to provide tools for successful partnering.

Partnership Concept

“Partnering, designed to create a positive, dispute prevention atmosphere during contract performance, uses team-building activities to help define common goals, improve communication, and foster a problem-solving attitude among a group of individuals who will work together throughout contract performance. A central objective of partnering is to encourage contracting parties to change from their traditional adversarial relationships to a more cooperative, team-based approach and to prevent disputes.”

“Partnering is NOT about relaxing the contract terms or circumventing the processes, it is NOT about expecting service providers to do “extra” work for free, it is NOT simply about dispute resolution. It IS about realizing that time is money, and partnering DOES mean that if parties can each get what they want out of a situation, by each doing things in a slightly different way, then we all win.”

May 2012



2005 PARTNERSHIP CHARTER

The first partnership charter, called “Better Relationships for Better Highways,” was signed by all three partners in 1999. This updated version of the Charter is being signed to renew and reinforce the commitment to the continuous improvement and development of this partnership.

We, the members of INFTRA, CEA and ARHCA, are a team of dynamic, unified, flexible professionals of diversified resources, committed to working together to deliver the safest and best value highway program for the benefit of all Albertans.

To succeed, we treat each other with trust and respect and communicate openly in pursuit of our common goals.

We are committed to:

Value/Economics

- Creating a culture that rewards excellence.
- Continuous improvement to enhance efficiencies to the benefit of the taxpayer.
- Maximizing the use of value engineering techniques to the benefit of the road user, where applicable.
- Enhancing construction site safety.

Roles and Responsibilities

- Resolving disputes in accordance with established procedures, in a timely manner.
- Striving for program delivery that is consistent across Alberta.
- Providing taxpayers with the best value through this strategic alliance.
- Understanding and respecting the roles and responsibilities of each participant of the alliance to enhance team performance.

Relationships

- Promoting an atmosphere of trust, respect and openness through social interaction, common training, shared work experience and improved communication.
- Ensuring healthy, long term relationships through commitment at all levels, and improved budget delivery mechanisms.
- Creating win/win/win results utilizing a three-way Performance Evaluation Process that is open, constructive and documented.

Consultant Selection

- Rewarding performance, quality and innovation
- A strong, viable industry founded on a stable and predictable future for qualified firms.

HR/People

- Attracting and maintaining a well trained, motivated, and satisfied workforce.

Signed at the Tri-Party Transportation Conference,
March 21, 2005

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This Partnering Guidelines Manual is intended to be a guideline manual, and is not intended to replace or supersede any legal documents including but not limited to contracts, specifications, and/or other construction documents.

CHAPTER 1

CONSTRUCTION PARTNERING ON TRANS PROJECTS

“There is no such thing as a self-made man. You reach your goals only with the help of others.”
George Shin

Background

TRANS, the CEA, and the ARHCA have practiced construction partnering on some larger projects since 1999. The three parties signed a partnering charter in 1999, and it was renewed in 2005. The updated charter was intended to “renew and reinforce the commitment to the continuous improvement and development of this partnership”.

In January, 2004, the three parties held a facilitated workshop to review how the tri-party working relationship was functioning. As a result of this session, members of the three parties on the Operations Committee worked to formalize a “partnering” style model and process to maximize the working relationships between the parties.

In 2011, a Partnering Committee was developed with representatives from TRANS, the CEA and the ARHCA. The purpose of the Partnering Committee is to review partnering on TRANS projects and recommend any improvements and/or changes to the Strategic Priorities Group (SPG).

The Partnering Committee’s review to date has identified some updates to the partnering processes. These updates are included in this Draft Partnering Guidelines Manual – April 2012.

What is the process?

Provincial Partnering Sessions should be conducted prior to the start of each construction season and a Preconstruction Partnering Session will be held prior to the beginning of each TRANS project. Both of these Partnering Sessions would involve Regional representatives from TRANS, as well as representatives from the member companies of the CEA (the consultants) and the ARHCA (the contractors).

Depending on the level of risk, larger formal partnering sessions will continue with some larger projects. [Also see *Chapter 6 – TRANS Project Risk Indicator (PRI)*]

The purpose of the Provincial Partnering Sessions is to bring together parties from TRANS, the consultants and the contractors who will be working on TRANS projects during the upcoming construction season. The provincial sessions may include:

- an update from the Partnering Committee
- presentation of the Partnering Guidelines Manual and any updates that have been made to it
- discussion of partnering on TRANS projects

- a review and confirmation of the *Alberta Partnering Charter*
(Also see *Chapter 4 – TRANS Provincial Partnering Sessions*)

What level of partnering is appropriate for different projects?

The TRANS partnering process generally includes formal partnering using a third party independent facilitator on larger, more complex projects. This is because these projects generally carry more risk than smaller, less complex projects.

How can the potential risk of any given project be determined, and when is it beneficial to expand the partnering process to include an independent facilitator?

One risk assessment review tool is the *TRANS Project Risk Indicator* (PRI)*. [See *Chapter 6 – TRANS Project Risk Indicator (PRI)*]

Some guidelines for the review are as follows:

- TRANS will complete a risk assessment review tool (likely the PRI) prior to developing the Terms of Reference for projects, and determine if the projects are at a high enough risk level to require a full partnering session with an independent third party facilitator. The Terms of Reference will identify if a full partnering session is required for the project.
- TRANS will also use the results of the PRI to determine whether the project may benefit from using Project Scorecards, and the optimum frequency of Project Scorecards.
- TRANS will provide the completed PRI for the project to the consultant and the contractor for discussion at the Preconstruction Partnering Session (see *Chapter 5 – Preconstruction Partnering Sessions*).
- Projects should be considered at three levels of risk:
 1. **Higher risk** – conduct a full partnering session with an independent facilitator (should be identified by TRANS prior to developing Terms of Reference, which will identify projects that require full partnering). These projects will also use Project Scorecards on a monthly basis.
 2. **Medium risk** – a full partnering session with either the TRANS Project Sponsor or using an independent facilitator are both good options. These projects will also use Project Scorecards on a bi-monthly basis.
 3. **Lower risk** – the planned process of a partnering session with the TRANS Project Sponsor will cover the level of risk for this project (see *Chapter 5 – Preconstruction Partnering Sessions*).

(See *Chapter 6 – TRANS Project Risk Indicator (PRI)* for further information on the risk evaluation review process.)

Celebrations

By their nature, construction projects often have their share of challenges, disagreements and difficulties. However, there are almost always more good times and successes on projects than difficulties. Given the accelerating pace in today's workplaces and construction projects, there

often doesn't seem to be enough time to celebrate projects' successes even though they almost always outnumber the problems and difficulties.

It is important that the parties on a construction project take the time to celebrate their successes as partners. In **Chapter 5 – Preconstruction Partnering Sessions**, there are some suggestions for celebrations that can easily be done on any project. These go a long ways towards improving relations on projects as people get to know each other better and celebrate their successes. This almost always results in benefit for the project itself, and often carries over to future projects.

*Adapted from **Partner Your Project** (p.p. 71-74) by Sue Dyer, Pendulum Publishing, Livermore California, 1997

CHAPTER 2

CONSTRUCTION PARTNERING – WHAT IS IT?

“Three-fourths of the miseries and misunderstandings in the world will disappear if we step into the shoes of our adversaries and understand their view point.”
Gandhi

History of Construction Partnering

Construction partnering is not a new concept – it has actually been around informally since construction began. In 1929, construction started on the eighty-five story Empire State Building. It was the tallest building in the world at that time, containing sixty-seven elevators, and was completed in eighteen months – a masterpiece of organization between owners, architects, engineers, builders, and other key contractors. During some weeks, four and a half stories of steel framework were constructed.

This remarkably successful project was the result of the construction teams’ commitment to continuous cooperation, open communication, spirit of trust, and shared commitment to complete this project on schedule.

In 1987, the Construction Industry Institute (CII) in the United States established a task force on partnering to evaluate the feasibility of applying partnering to construction projects. The U.S. Army Corps of Engineers embraced the construction partnering concept on its projects, and in 1990 said “Clearly, the best dispute resolution is dispute prevention... By taking the time at the start of a project to identify common goals, common interests, lines of communication, and a commitment to cooperative problem solving, we encourage the will to resolve disputes and achieve project goals.” In 1991, the Associated General Contractors of America (AGC) endorsed the Corps of Engineers’ concept of partnering, and in 1993 created the *Marvin M. Black Excellence in Partnering Awards* for construction projects that epitomized the principles of partnering.

Formal construction partnering came to Canada in 1995 when the Department of National Defence and Defence Construction Canada adopted partnering in the delivery of the Department’s facilities infrastructure program. The concept has spread across Canada over the past 10 years, and is gaining acceptance as project owners, designers, engineers, architects and contractors come to understand the benefits to all parties of applying the principles of construction partnering.

What is Partnering?

Partnering is a **commitment to a collaborative approach to construction** rather than the adversarial approach that has become the more common way of doing business in the construction industry. Everyone involved in the construction project agrees to treat everyone else as a partner or fellow team member, based on the premise that working together towards a common goal creates success and mutual gain.

Partnering **does not** take the place of the legal relationship defined by the contract or specifications – rather, the partnering process attempts to establish working relationships among the parties through a mutually developed, formal strategy of commitment and communication.

The Construction Industry Institute (CII) in 1991 defined partnering as simply a relationship wherein:

1. All seek win-win solutions
2. Value is placed on long-term relationships
3. Trust and openness are norms
4. An environment for long-term profitability exists
5. All are encouraged to openly address any problem
6. All understand that no party benefits from exploitation of another party
7. Innovation is encouraged
8. Each partner is aware of the others' needs, concerns and objectives, and is
9. Interested in helping their partner(s) achieve such
10. Overall performance is improved

Partnering is not to be construed as a legal “partnership” with the associated joint liabilities. Nor is partnering a quick fix to be applied to all working relationships. For partnering to be successful, it requires a mutual relationship that includes the presence of trust, the commitment to fairness, development of mutual goals and objectives, and timely responsiveness by all parties.

A key trait of partnering is the rapid resolution of disputes at the lowest possible level, and the development of a process that allows this to happen and is accepted as the norm by all parties.

CHAPTER 3

THE BENEFITS OF PARTNERING

“Discourage litigation. Persuade your neighbours to compromise whenever you can. Point out to them how the nominal winner is often a real loser – in fees, expenses, and waste of time.”
Abraham Lincoln

A Construction Industry Institute (CII) research team (July 1991, June 1996) has determined that many organizations have made progress in increasing their competitive advantage through partnering. The results of their research show the following benefits to partnering on construction projects:

COST	
Area	Results
Total Project Cost (TPC)	10% reduction
Construction Administration	24% reduction
Marketing	50% reduction
Engineering	\$10/hour reduction
Value Engineering	337% increase
Claims (% of TPC)	87% reduction
Profitability	25% increase

SAFETY	
Area	Results
Hours without lost time accident	4 million vs. 48,000 industry standard
Lost work days	0 vs. 6.8% industry standard
Number of cases requiring medical attention	74% reduction
Safety rating	5% of national average

SCHEDULE	
Area	Results
Overall Project	20% reduction
Schedule Changes	48% reduction
Schedule Compliance	Increased from 85% to 100%

QUALITY	
Area	Results
Rework	50% reduction
Change orders	80% reduction
Direct work rate	42% increase

CLAIMS	
Area	Results
Number of Claims	83% reduction
Projects with claims	68% reduction
Claims costs as a % of total project costs	87% reduction

OTHER	
Area	Results
Personal job satisfaction	30% increase
Projects were less adversarial	85% of respondents
Improved resource planning	85% of respondents
Increased openness on projects	82% of respondents
Increased trust on projects	78% of respondents
Fewer errors	82% of respondents
Improved quality	96% of respondents
Engineering cost reduction	10% of respondents
Improved communication and teamwork	82% of respondents

The CII research identified that partnering will significantly benefit owners, contractors, engineers, architects, designers, and other participant parties in the following areas:

1. Improved Ability to Respond to Changing Business Conditions
2. Improved Quality and Safety
3. Reduced Cost, Schedule and Improved Profit (Value)
4. More Effective Utilization of Resources

Journal of Management in Engineering Research

In 1995, Dr. Erik Larson, Associate Professor from the College of Business at Oregon State University, researched 280 construction projects to examine the relationships between construction project success and formal partnering compared to alternative approaches (adversarial, guarded adversarial, and informal partnering) to managing the owner-contractor relationship. Success was measured in terms of controlling costs, meeting schedules, technical performance, avoiding litigation, and satisfying customers. Dr. Larson was trying to answer the question “does partnering work, or is it simply another management fad in which individual case accounts often report dramatic results?”

Dr. Larson’s findings indicated that formally partnered construction projects achieved superior results in all of the above areas when compared to projects managed in an adversarial, guarded adversarial, and even informally partnering manner. The success of formal partnering was found in projects regardless of whether the contract was awarded on a low-bid or non-low-bid basis.

CHAPTER 4

TRANS PROVINCIAL PARTNERING SESSIONS

People can succeed at almost anything for which they have unlimited enthusiasm.

Charles Schwab

Provincial Partnering Sessions

The Partnering Committee will be responsible for organizing Provincial Partnering Sessions each year. All firms that are currently working on, or are expected to work on, TRANS projects during the upcoming construction season will be invited to take part in the Provincial Partnering Sessions.

Who Should Attend

One of the most important contributors to successful partnering workshops is the invitation and attendance of all stakeholders who will have significant impact on the projects, including TRANS, consultants, contractors, and third parties.

The following list is a guide to help determine the parties to invite to the Provincial Partnering Sessions.

Consideration should be given to inviting the following to the Provincial Partnering Sessions:			
TRANS	Consultants	Contractors	Third Parties
Regional Director(s)	CEA Executive Director	ARHCA Chief Executive Officer	Key suppliers
Construction Manager(s)	Corporate Support	Corporate Support	Key subcontractors
Bridge Manager(s)	Project Director	Contracts Manager	Alberta One-Call or other utility representatives
Construction Engineer(s)	Project Manager	Project Manager / Superintendent	Major Municipality Representatives
Bridge Engineer(s)	Project Engineer	Foreman	Environment Officials
Construction Tech(s)			Safety Officials
Bridge Tech(s)			Federal Department of Fisheries

During the Provincial Partnering Session, the *Alberta Partnering Charter* will be presented and discussed by those in attendance. This *Alberta Partnering Charter* will be an integral part of the Preconstruction Partnering Sessions on all TRANS projects in the Region(s) for the upcoming year.

It is expected that the *Alberta Partnering Charter* will be posted at the job sites on TRANS projects.

The Provincial Partnering Session should take place prior to the start of the summer construction season. As the TRANS/CEA/ARHCA Tri-Party Conference is typically held in March, the Provincial Partnering Session will ideally be held shortly thereafter, preferably by the end of March. This allows for any issues brought forward at the Tri-Party Conference to be addressed at the Provincial Partnering Session. The session should be a full day presentation and workshop, led by a facilitator skilled in the partnering process.

Sample Agenda for Provincial Partnering Sessions

While the actual process may vary from year to year, one suggested framework for the agenda for the Provincial Partnering Session is as follows:

1. OPENING COMMENTS

- Opening comments by TRANS – introduce Partnering Committee, outline Partnering Committee mandate, etc.
- Opening comments by key CEA and ARHCA representatives [ideally members of the Partnering Committee]
- Agenda review - facilitator

2. INTRODUCTIONS

- Group seating adjustments as necessary
- Self introductions

3. PARTNERSHIP CONCEPT (By Facilitator)

- Introduction to partnering concept
- History of Partnering between TRANS, CEA and ARHCA
- Levels of Partnering on TRANS projects
- Keys to successful partnerships

4. BENEFITS OF PARTNERING

- Brief history of partnering
- Benefits identified by partnering research
- Group Discussions / Exercise

5. PARTNERING ON TRANS PROJECTS

- Plans for Provincial and Preconstruction Partnering
- Introduce the *Alberta Partnering Charter* (previously developed – see *page 11*)
- Group Discussions – Partnering Charter

6. PARTNERING AT PRE-CONSTRUCTION MEETING

- Review of Pre-Construction Meeting Agenda and relevant attachments.
- Preconstruction Partnering Session Agenda

7. ISSUE RESOLUTION PROCESS

- Review the concept of the Issue Resolution Ladder
- Introduction to *Issue Resolution Ground Rules*
- Group Discussions / Exercises

8. PARTNERING EVALUATION AND MONITORING:

- o Presentation of partnering evaluation tools
- o Project Scorecard plans on TRANS projects – include Benefit Evaluation Tool
- o Group Discussions / Exercises

9. PARTNERING COMMITTEE ITEMS

- o Groups identify any items that they feel the Partnering Committee should discuss
- o Discussions

10. QUESTIONS AND ANSWERS

- o Groups identify and ask questions of other parties
- o Other parties respond [suggest TRANS reps & Partnering Committee reps at front of room]

11. CLOSING COMMENTS

12. COFFEE AND NETWORKING

See Alberta Partnering Charter – 2012 – next page.....



Alberta Partnering Charter - 2012

In the spirit of the 2005 Tri-Party Partnership Charter, the Alberta Transportation, CEA and ARHCA partners are committed to the successful delivery of the Alberta Transportation construction program. This will be achieved by working in a co-operative and adaptive environment that recognizes and includes all stakeholders.

We will:

- Enhance safety for all participants
- Respect and preserve the environment
- Have clear, open and honest communication
- Diligently use our Issue Resolution Ladder
- Work together so all stakeholders will receive value
- Develop a true team spirit characterized by respect, trust, collaboration, fairness and integrity
 - Strive to have fun on our projects
 - Celebrate our successes throughout the projects
 - Collaborate for innovation
 - Aim for high quality
- Include third parties as part of the partnering process, including community, environment, DFO and Utilities
 - Promote the development of professional relationships
 - Ensure win-win-win solutions
 - Ensure that all party's entry level staff are trained in partnership
 - Work as a team to achieve a common goal – the success of the project
 - Be accountable to the team for our roles as partners
- Leverage the collective knowledge base of all parties for the benefit of the projects
- Be proactive in joint research and development to capture the knowledge of all parties

CHAPTER 5

PRECONSTRUCTION PARTNERING SESSIONS

I don't like that man. I must get to know him better.
Abraham Lincoln

Background

As outlined in Chapter 3, Provincial Partnering Sessions will be conducted prior to the start of each summer construction season, and a Preconstruction Partnering Session will be held prior to the beginning of each TRANS project. Both of these Partnering Sessions will involve Regional representatives from TRANS, as well as representatives from the Consultants and the Contractors. Third parties with a significant impact on the projects should also be included in the partnering sessions.

Larger formal partnering sessions will continue with the larger projects. [See *Chapter 6 – TRANS Project Risk Indicator (PRI)*].

This chapter outlines the Preconstruction Partnering Session.

Preconstruction Partnering Session

The Preconstruction Partnering Session should be attended by the appropriate representatives from each of the three partner organizations, TRANS, the consultant, and the contractor, and relevant third parties.

The purpose of the Preconstruction Partnering Session is to:

- o Review and discuss the previously completed *TRANS Project Risk Indicator (PRI)* analysis
- o Review the lines of communication
- o Create the issue resolution ladder
- o Review and gain “buy-in” to the *Alberta Partnering Charter* from all participants involved in the Preconstruction Partnering Session.

It is important to note that **the partnering concept is focused on the relationships of the individuals involved in the project and not the specifications or contractual issues of the project.** Issues that are covered in specifications or contract documents are not to be addressed at the preconstruction partnering session. Rather, the session should aim to clarify roles and responsibilities to ensure a successful project, to identify potential issues, problems and concerns on the project (outside of the specifications or contract documents), and to work together towards proactively addressing these potential issues, problems and concerns.

Timing

The Preconstruction Partnering Session should be held on the same day as, but prior to the general pre-construction meeting for all TRANS projects except those for which a larger formal partnering session is being held.

Participation

The Preconstruction Partnering Session should be attended by all individuals on the project with decision-making authority. It is recognized that Corporate Support representatives from the Consultant and Contractor may not be available to attend all Preconstruction Partnering Sessions. However, they may want to attend the sessions for more complex and larger projects.

Representatives from third party organizations that can impact the project should be invited to attend the entire session, or a specific part of the session set aside where third party(s) can work with the other groups to address the third party's areas of impact and/or concern. Examples are included below.

Consideration should be given to inviting the following to the Partnering Preconstruction Sessions:			
TRANS	Consultant	Contractor	Third Parties
Regional Director(s)			
Project Sponsor	Corporate Support	Corporate Support	Key suppliers
Bridge & Construction Managers	Project Director / Manager	Project Manager / Superintendent	Key subcontractors
Project Administrator(s)	Construction Inspector	Site Foreman	Alberta One-Call
Safety Officer			Major Municipality Representatives
Maintenance Contractor Inspector (MCI)			Environment Officials
Bridge Tech(s)			Safety Officials
Misc. as required by aggregate coordinator			Federal Department of Fisheries

Partnering Facilitator

The Partnering Facilitator will be assigned by the Project Sponsor. Unless an independent facilitator is assigned, the Partnering Facilitator will be a TRANS Representative familiar with the project and who has sufficient experience with the partnering process to facilitate the partnering session for the particular project. It is expected that the Project Sponsor will be the most appropriate choice as Partnering facilitator for the majority of TRANS projects. [See *Chapter 6 – TRANS Project Risk Indicator (PRI)*].

Partnering Evaluation and Monitoring

It is recommended that the status of the partnering relationship be **included as an agenda item at each project meeting**. (*Note: See **Appendix B-I** for the **Successful Partnerships Checklist***).

As well, the partnering relationship will be reviewed by the three parties at the end of each project as part of the Post Construction Tri-Party Meeting. (*Note: See **Appendix B-II** for the **Tri-Party Debriefing Meeting Agenda***).

Project Scorecards may be conducted on some TRANS projects. (*Note: See **Appendix B-III** for information on **Project Scorecards***).

PRECONSTRUCTION PARTNERING AGENDA

Key Contacts

At the beginning of the Preconstruction Partnering Session, complete the following **key contact** information, and agree on the “**common project identifiers**” (e.g. Project name, etc.).

Date _____

CONTRACT NO.: _____ AGREEMENT NO.: _____
 PROJECT: _____
 CONTRACTOR: _____ CONSULTANT: _____

Meeting Date: _____

Place: _____

Meeting Attended By: _____

DEPARTMENT	PHONE	FAX	CELL	E-mail
Regional Director -				
Project Sponsor -				
Project Administrator -				
Field Technologist -				

CONSULTANT	PHONE	FAX	CELL	E-mail
Corporate Support -				
Project Director -				
Project Manager -				

CONTRACTOR	PHONE	FAX	CELL	E-mail
Corporate Manager -				
Contract Manager -				
Site Superintendent -				

SUBCONTRACTORS	PHONE	FAX	CELL	E-mail

THIRD PARTIES	PHONE	FAX	CELL	E-mail

Preconstruction Partnering Agenda (cont'd)

1. INTRODUCTIONS:

- Self introductions
- Brief project overview by Department staff
- Principals opening remarks (Department, Consultant and Contractor)
- Introduce Partnering Facilitator [most often the Project Sponsor – also see *Chapter 6 – TRANS Project Risk Indicator (PRI)*]

2. Ground Rules for the Preconstruction Partnering Session

Following are typical **Ground Rules** for the Preconstruction Partnering Session. They should be agreed upon and modified if the participants wish to.

- No rank
- Everyone participates
- Listen
- Keep an open mind
- Agree if it makes sense
- Disagree or ask questions if it doesn't make sense
- Don't speak when others are speaking
- Have fun!
- Turn off cell phones, Blackberries, and pagers

3. PARTNERSHIP CONCEPT (By Facilitator):

- Introduction to *Partnership Concept* and discussion

Partnership Concept

“Partnering, designed to create a positive, dispute prevention atmosphere during contract performance, uses team-building activities to help define common goals, improve communication, and foster a problem-solving attitude among a group of individuals who will work together throughout contract performance. A central objective of partnering is to encourage contracting parties to change from their traditional adversarial relationships to a more cooperative, team-based approach and to prevent disputes.”

“Partnering is NOT about relaxing the contract terms or circumventing the processes, it is NOT about expecting service providers to do “extra” work for free, it is NOT simply about dispute resolution. It IS about realizing that time is money, and partnering DOES mean that if parties can each get what they want out of a situation, by each doing things in a slightly different way, then we all win.”

- Review and gain “buy-in” to the *Alberta Partnering Charter* (see next page)



Alberta Partnering Charter - 2012

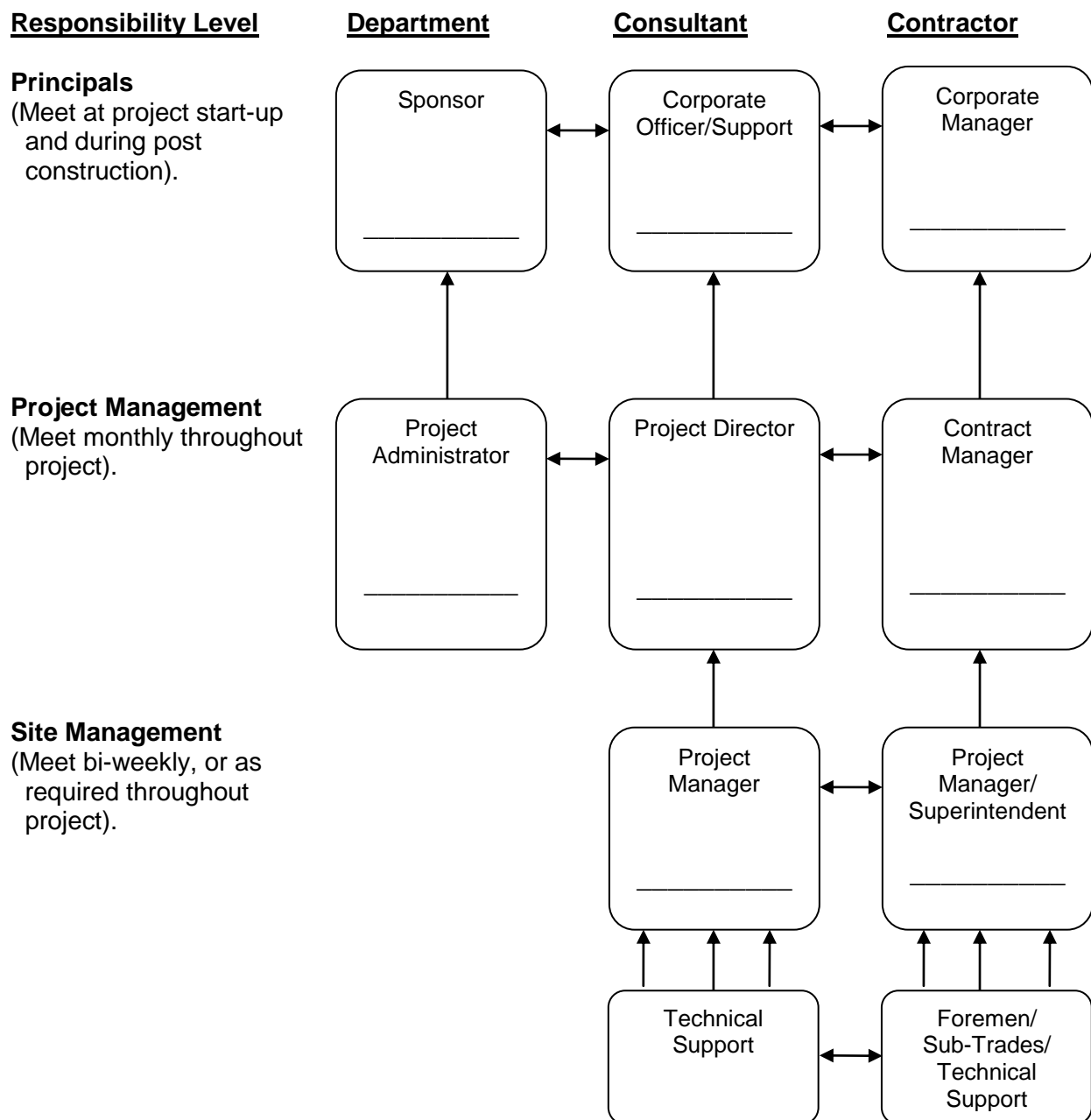
In the spirit of the 2005 Tri-Party Partnership Charter, the Alberta Transportation, CEA and ARHCA partners are committed to the successful delivery of the Alberta Transportation construction program. This will be achieved by working in a co-operative and adaptive environment that recognizes and includes all stakeholders.

We will:

- Enhance safety for all participants
- Respect and preserve the environment
- Have clear, open and honest communication
- Diligently use our Issue Resolution Ladder
- Work together so all stakeholders will receive value
- Develop a true team spirit characterized by respect, trust, collaboration, fairness and integrity
 - Strive to have fun on our projects
 - Celebrate our successes throughout the projects
 - Collaborate for innovation
 - Aim for high quality
- Include third parties as part of the partnering process, including community, environment, DFO and Utilities
 - Promote the development of professional relationships
 - Ensure win-win-win solutions
 - Ensure that all party's entry level staff are trained in partnership
 - Work as a team to achieve a common goal – the success of the project
 - Be accountable to the team for our roles as partners
- Leverage the collective knowledge base of all parties for the benefit of the projects
- Be proactive in joint research and development to capture the knowledge of all parties

4. PROJECT ORGANIZATION & LINES OF COMMUNICATION:

Discuss the “who’s who” and the lines of communication for the project, and complete the form. Make any necessary changes to the form.



Preconstruction Partnering Agenda (cont'd)

5. ISSUE RESOLUTION PROCESS:

- At the Preconstruction Partnering Session, an Issue Resolution Ladder must be developed.
- In developing the Issue Resolution Ladder, specific names should be assigned to each level, and the maximum time that an issue can remain unresolved at each level prior to elevating it must be agreed upon.
- The facilitator should emphasize that each party to a problem or issue needs to understand the other person's position – understand it well enough that they can explain it to the other's satisfaction. **This is key to resolving the issue at all levels of the Issue Resolution Ladder.**
- Introduction to *Issue Resolution Ground Rules*:
 1. Issues must be reported to all affected parties within five days of being identified.
 2. Resolve issues at the lowest possible level
 3. Unresolved issues will be elevated upwards – **without delay**.
 4. Elevating an issue is not a negative or bad thing, it is part of an efficient process.
 5. Ignoring an issue or making no decision on an issue is unacceptable.
 6. Any party can decide that it's time to elevate an issue.
 7. No jumping levels on the ladder by any of the parties.
 8. No one is expected to make a decision outside their authority (i.e. all partners are expected to act within their authority limits).
 9. Responses at each level of elevation should be completed within the time limit for that level – even if the decision is to elevate to the next level.
- Introduction to *Guidelines for Elevating Issues*:
 1. Be clear if you are elevating an issue or just providing information
 2. Identify and summarize the issue / problem
 3. Identify potential impacts on schedule and costs
 4. Identify current positions / viewpoints
 5. What investigations have been done to date
 6. Identify options to resolve, including schedule and cost estimates
 7. Your recommendations...
- The facilitator should then work with the session participants to assign specific names to each level, and the maximum time that an issue can remain unresolved at each level prior to elevating it.

Note: See *Appendix A – Issue Resolution Ladder* for sample Issue Resolution Ladder and additional information.

6. RISK ANALYSIS - IDENTIFY KEY PROJECT ISSUES AND CONCERNS

The Facilitator (likely the Project Sponsor) distributes a copy of the previously completed ***TRANS Project Risk Indicator (PRI)*** analysis and all 3 parties discuss the project's elements of risk **OR** the parties complete and discuss a new/blank ***TRANS Project Risk Indicator (PRI)*** analysis.

- These results can form the basis to start identifying key issues, problems and concerns of the three parties.
- Significant differences in ratings of any of the items from the PRI between any of the three parties should be hi-lighted and discussed
- Items that any or all of the three parties identified as high risk should be discussed
- Identify and prioritize potential key issues, problems and concerns that any of the parties face on the project (outside of the specifications or contract documents)

7. CREATIVE PROBLEM SOLVING

- For the identified issues, problems and concerns (starting with the highest priorities), groups determine plans and actions to address and minimize the issues and concerns

8. PARTNERING EVALUATION AND MONITORING:

○ On-going

Discuss the state or health of the partnership as an agenda item at regular project meetings.

Sample agenda items:

- Review the frequency and depth of issue/problem escalations.
- Review whether roles and communications channels continue to be clear
- Review whether the behaviour of the partners reflects the spirit of the partnership

OR

- In lieu of the sample agenda items above, see ***Appendix B-I*** for ***Successful Partnerships Checklist*** tool)

○ Final

- At Post Construction Tri-Party Meeting – review the state or health of the partnership (***Note: See Appendix B-II for the Tri-Party Debriefing Meeting Agenda.***)

9. CELEBRATIONS

At the Preconstruction Partnering Session, the on-site level managers should choose and schedule on-going celebrations for the project at the beginning of the project.

A good option is to have each of the three parties alternate responsibilities for hosting/handling celebrations. A minimum recommended time between celebrations is one month, with celebrations of some sort held every second Friday being preferred.

The success of a partnership depends very much on the commitment of all parties and team members involved in the project. Celebrations of success on the project and in the partnership go a long ways towards keeping team members' commitments and morale as high as possible.

Celebrations should be conducted periodically throughout the project rather than waiting for the end of the project to recognize successes and build morale.

Some celebrations that work well on construction projects include:

- | | |
|-------------------------------------|--|
| • BBQ lunch on-site | • T-shirts with team logo |
| • Order pizza for site lunch | • Coffee mugs |
| • Hardhat stickers | • Sporting event attendance |
| • Host VIP tours of the jobsite | • Letters of acknowledgement |
| • Feature employee in newsletter | • Have senior managers serve breakfast |
| • Give half-day or whole Friday off | • Implement Partnering Excellence awards |

*Note: See Appendix C for additional **Tools to Assist in Making Partnerships a Success***

10. CLOSE

11. ISSUE A REPORT / MINUTES

Issue a report/minutes to all participants that includes the critical information from the session:

- A copy of the *Alberta Partnering Charter*, to be posted in the job site trailers
- The completed Key Contacts page
- The completed Project Organization & Lines of Communication page
- The completed Issue Resolution Ladder and Ground Rules
- The key issues, problems and concerns that were identified, and
- The plans and actions established to address them

These items become agenda items at regular project meetings where the health of the partnership is evaluated and monitored .

CHAPTER 6

TRANS PROJECT RISK INDICATOR* (PRI) – RISK ANALYSIS

Take calculated risks. That is quite different from being rash.
George S. Patton

RISK ASSESSMENT REVIEW

The TRANS Project Risk Indicator

The ***TRANS Project Risk Indicator (PRI)*** is a tool to help evaluate the levels of risk on TRANS projects. This tool can be used to help evaluate the appropriate “level” of partnering on TRANS projects, and also to identify whether Project Scorecards will benefit the project, and if so, the optimum frequency of Project Scorecards.

Following are the steps to use the **PRI** to evaluate risk for a TRANS project:

- Review the Scoring Criteria for each Evaluation Category, and determine and record the score for each category.
- After you have assigned a score to each Evaluation Category, total the scores.
- Transfer the Total Score to the Score Evaluation Table on the following page.

Based on where the Total Score falls in the Score Evaluation Table, you can then determine the following:

1. Potential Project Scorecard Benefits

The Total Score will identify whether the project may benefit from using Project Scorecards, and the optimum frequency of Project Scorecards.

2. Potential Level of Partnering

The Total Score will identify whether the appropriate level of partnering for the project is to have partnering completed by the Project Sponsor or an independent third party facilitator.

*Adapted from *Partner Your Project* (p.p. 71-74) by Sue Dyer, Pendulum Publishing, Livermore California, 1997

TRANS Project Risk Indicator (PRI)				
#	Evaluation Category	Scoring Criteria	Points	Score
1	Project Size	Small (\$0 – 10 million) Medium (\$10 – 30 million) Large (\$30 million +)	1 2 3	
2	Project Duration	Less than 6 months 6 – 12 months Over 12 months	1 2 3	
3	Project Complexity	Simple Complex Highly Complex	1 2 3	
4	¹ Experience Working Together	Experience working together implies lower risk Experience working together implies medium risk Experience working together implies higher risk	1 2 3	
5	Future/Adjacent Projects	Future or adjacent projects do not depend upon this project Future or adjacent projects are somewhat dependent upon this project Future or adjacent projects are greatly dependent upon this project	1 2 3	
6	Environmental	No concerns about environmental issues on or impacts of project Some concerns about environmental issues on or impacts of project Major concerns about environmental issues on or impacts of project	1 2 3	
7	Schedule	Key time scales and milestones will not be difficult to achieve Key time scales and milestones may be difficult to achieve Key time scales and milestones will be difficult to achieve	1 2 3	
8	Traffic Management	No concerns about vehicle traffic management on or near the project Some concerns about vehicle management on or near the project Major concerns about vehicle management on or near the project	1 2 3	
9	Resources (incl. staff, material & supplies)	No concerns about resource availability Some concerns about resource availability Major concerns about resource availability	1 2 3	
10	Jurisdictional	No concerns about jurisdictional authorities Some concerns about jurisdictional authorities Major concerns about jurisdictional authorities	1 2 3	
11	Public/Community	Positive public image expect no problems with public/community Medium public image expect some problems with public/community Poor public image expect problems with public/community	1 2 3	
12	Utilities	No issues are expected with existing/required utilities Some issues are expected with existing/required utilities Extensive issues are expected with existing/required utilities	1 2 3	
13	² Other : _____	“Other” is low risk / impact to project “Other” is medium risk / impact to project “Other” is high risk / impact to project	1 2 3	
TOTAL SCORE				

¹**Experience Working Together** – Will not be known prior to awarding of contract. **Rate as “2 – Medium Risk” until contract is awarded.** Reviews after contract awarded may increase or decrease risk.

²**Other** – Add additional potential risk factor as desired. Note – if “Other” risk factor is added, use **SCORE RANGE “B”** column on following page to evaluate risk.

TOTAL SCORE (from previous page): _____

NOTE - Use **SCORE RANGE “B”** column if “Other” Evaluation Category has been added on previous page

TRANS Project Risk Indicator (PRI) Score Evaluation Table <i>(Circle the Recommended Project Scorecard Frequency & the Potential Level of Partnering)</i>			
Score Range “A”	Score Range “B”	Potential Project Scorecard Benefits	Potential Level of Partnering
12 – 18	13 – 19	<p>This project has a very solid foundation. Indications are very positive. A Project Scorecard will benefit this project, but the benefits will not be as great as on other projects.</p> <p>Recommended Scorecard Frequency: Not Required</p>	<p>Lower Risk: This project has “lower” risks to its success. Partnering will still help reduce risk by examining each challenge and planning for its management, and will provide an opportunity to gain an understanding of what each stakeholder needs so you can better execute the project. The Project Sponsor is a good choice to facilitate lower risk projects.</p>
19 – 24	20 – 26	<p>This project has a solid foundation, but there are some areas that could cause problems. A Project Scorecard will provide some benefit to this project.</p> <p>Recommended Scorecard Frequency: Bi-Monthly</p>	
25 – 30	27 – 32	<p>This project shows signs of potential problems. A Project Scorecard will help to identify these problems and give the team a proactive approach to resolving them before they become larger problems.</p> <p>Recommended Scorecard Frequency: Bi-Monthly or Monthly</p>	<p>Medium Risk: This project has “medium” risks to its success. Partnering offers your project a significant benefit. Working through the major challenges identified in the PRI (i.e. statements with scores of “3”) will significantly increase the chances for a successful project. You may want to consider using either an independent third party facilitator or the Project Sponsor to facilitate medium risk projects.</p>
31 – 36	33 – 39	<p>This project has significant problem areas. It will benefit greatly from using a Project Scorecard.</p> <p>Recommended Scorecard Frequency: Monthly</p>	<p>Higher Risk: This project faces a significant threat of conflict, communication, and relationship problems. This project has enormous benefit to be gained from partnering, as it has many challenges that are best faced as a team. It should be strongly considered for full partnering using an independent third party facilitator.</p>

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APPENDIX A

ISSUE RESOLUTION LADDER

Elevation of an Issue

One of the cornerstones of partnering is the issue resolution ladder. This process is also called elevation of an issue. The issue resolution ladder is created during the partnering workshop (or at the Preconstruction Partnering Session). At the top of the ladder are the three primary parties to the project, TRANS, the consultant, and the contractor. Lining up behind these three primary parties are all of the other project stakeholders. For example, behind the contractor are the subcontractors and suppliers. Behind the consultant might be design, surveys, materials testing, etc...However, the issue resolution ladder does not remove or alter any contractual obligations between the contractors and their subcontractors or suppliers.

Each party to an issue needs to understand the other person's position – understand it well enough that they can explain it to the other's satisfaction.

Sample Issue Resolution Ladder				
(Note – Assign names during creation of the ladder at the partnering session)				
Level	TRANS	Consultant	Contractor	Sample Max. Time
D	Project Sponsor	Corporate Support	Corporate Manager	2 days
C	Project Administrator	Project Director	Contract Manager	2 days
B		Project Manager	Project Manager /Superintendent	1 day
A		Field Technologist	Foreman	1 day

It is expected that the maximum time an issue will remain in the ladder will be 6 days. This will ensure that the claimant may still file a Notice of Claim within the seven day limit set out in the General Specifications.

Issue Resolution Ground Rules

1. Issues must be reported to all affected parties as soon as possible (ideally the day of noting the issue).
2. Resolve issues at the lowest possible level.
3. Unresolved issues will be elevated upwards – **without delay**.
4. Elevating an issue is not a negative or bad thing; it is part of an efficient process.
5. Ignoring an issue or making no decision on an issue is unacceptable.
6. Any party can decide that it's time to elevate an issue.
7. No jumping levels on the ladder by any of the parties.
8. No one is expected to make a decision outside their authority (i.e. all partners are expected to act within their authority limits).
9. Responses at each level of elevation should be completed within the time limit for that level – even if the decision is to elevate to the next level.

Guidelines for Elevating Issues

1. Be clear if you are elevating an issue or just providing information
2. Identify and summarize the issue / problem

3. Identify potential impacts on schedule and costs
4. Identify current positions / viewpoints
5. What investigations have been done to date
6. Identify options to resolve, including schedule and cost estimates
7. Your recommendations...

The Issue Resolution Process

It is expected that all effort will be put into resolving issues within the timelines laid out in the issue resolution ladder. However, the resolution ladder is separate from the Claims Resolution Process in the contract documents and imposes no contractual or legal responsibilities on any of the parties. Therefore **it is imperative that all parties are aware of the time limits regarding submitting a Notice of Claim in the contract documents.**

The resolution process starts at the lowest level possible for each organization and proceeds up the ladder through the organizations' hierarchies until the issue is resolved. An issue is elevated to the next higher level when 1) an agreement cannot be reached at the current level within the agreed upon time, or 2) if more than the agreed upon time has passed without a solution, or 3) by request of one of the parties at the current level (after first informing the other party).

Elevation to the next level in the issue resolution ladder should be done in writing if possible. This can simply be a "speedy memo" addressed to the next level explaining the problem (issue) and identifying the points of disagreement. **This is not a Notice of Claim as defined in the contract documents and/or specifications.**

Once the issue is elevated, it is incumbent on the next level to meet as soon as possible to try to negotiate a resolution. It is important that a separate meeting be held to address the issue (don't try to deal with it, for example, in the middle of the weekly project meeting). Also, don't assume that the next level truly understands the issue and points of disagreement, or that there will be automatic concurrence with your position, even if you have discussed the issue previously.

If the issue is elevated to the top of the ladder without resolution, the dispute resolution mechanism defined in the contract and/or specifications is the next available step. **It is the responsibility of the party who is in disagreement with the decision to file a Notice of Claim within the timelines set out in the contract documents, typically within seven (7) days of the circumstance giving rise to the claim.**

At any time in the issue resolution ladder, any party may begin the formal dispute resolution process by submitting a Notice of Claim.

The process works if it is used. Many times when asked if an issue has been elevated, the project team says "no, it hasn't." No process will work if it isn't used. Given the complexities of projects, it is natural and expected that there will be problems and issues. What is unacceptable is to ignore a problem or issue*.

What is an Issue?

Many times no one on the project really understands that they are engaged in an issue. Most project team members work daily to resolve problems - so often that they fail to see that what was a project problem has now become a project issue. Here is a simple definition of what constitutes an issue: *An issue is a disagreement between two or more people*. When an issue continues for some period of time without any movement toward solution, you are at an impasse. When at an impasse, people are usually entrenched in their positions and want to WIN, or at least prove that they are right and that the other person is wrong.

The issue resolution ladder is designed to keep the parties from reaching an impasse. Any party involved in the issue can tell the other party(s) that they feel the issue has become a disagreement (issue) and thus move it into the formal dispute resolution process as detailed in the Contract Documents.

The Issue Resolution Ladder process works - it will preserve relationships and resolve problems and issues in a timely manner.

“I Can’t Give Up Now”

Another barrier is that people at project levels may feel that they have failed (and/or that they may be chastised) if they elevate an issue, or it may be that they want to maintain control at their level. Some issues stay at level 1 for four to five months when the agreed upon time to elevate was one day. Ongoing problems were the result – no cooperation, no communication, loss of production, not to mention high levels of stress. It is the responsibility of upper management to ensure that it is safe for field teams to honestly work to solve problems and issues, and to encourage them to elevate the issue to the next level if they can’t get it resolved themselves within the defined time frame. Elevation of an issue is not a sign of failure.

Issues Deserve Their Own Meeting

As stated before, when an issue is elevated it is important that a special meeting be held to discuss the issue at hand. Many times people will say “well, I talked to him at our weekly meeting”. This does not elevate the issue. You need to call and schedule a separate meeting, at which you will discuss, seek to understand, brainstorm ideas about, and seek resolution of only the issue. A special meeting should be held each time an issue is elevated to the next higher level.

* *Caltrans – Partnering – Our Way of Doing Business*. (2000), California Department of Transportation

APPENDIX B

PARTNERING EVALUATION AND MONITORING

B-I. Successful Partnerships Checklist

It is recommended that the status of the partnering relationship be **included as an agenda item at each project meeting** (see below), and at the end of each project as part of the Tri-Party Meeting (see *Appendix B-II – Tri-Party Debriefing Meeting Agenda*).

Each Project Meeting:

The following *Successful Partnerships Checklist* is adapted from a checklist developed by **R.D. Huddleston**, formerly of TRANS. It is an excellent checklist to use to monitor the health of construction partnering relationships. Points can be modified or added to suit the project.

SUCCESSFUL PARTNERSHIPS CHECKLIST

- ___ The partners are committed to safety and successful traffic accommodation on this project.
- ___ Senior members of the partners demonstrate a leadership role in the promotion and support of the partnership.
- ___ Partners refer to each other in positive terms when communicating with other partners, employees, divisions and the public.
- ___ Partners utilize a consultative process in all areas that are exceptions to the defined contract procedures.
- ___ Project employees of all partners meet on a periodic basis.
- ___ Partners develop performance standards and monitor the progress of the relationship.
- ___ Partners identify potential key issues, problems and concerns on the project (outside of the specifications and contract documents) and work together towards proactively addressing these potential issues, problems and concerns.
- ___ Partners continue to work at maintaining shared values of trust, openness and respect.
- ___ The partnership is fulfilling the Partnership Charter
- ___ There have been adequate celebrations of successes in the partnership (initiated by management)

B-II. Tri-Party Debriefing Meeting Agenda



TRI-PARTY DEBRIEFING MEETING AGENDA

Project: _____ Contract No: _____ Contractor: _____
Consultant: _____ Alberta Transportation: _____
Date: _____ Time: _____ Location: _____

Distribution: Consultant, Contractor, Alberta Transportation Project Sponsor, Alberta Transportation Professional Services

1. Introduction
2. Traffic Accommodation & Safety
3. Project Team Effectiveness
4. Partnering – Review the partnering relationship by using an evaluation tool, including the Partnering Evaluation and Monitoring tools included in Appendix B:
 - Successful Partnerships Checklist
 - Partnering Relationship Review
 - Monthly Project Partnering Evaluation Survey
5. Alberta Transportation, Consultant and Contractor Staff Relationships
6. Communications (**Note - #5 & #6 may be included in the Partnering Evaluation and Monitoring tool used on the project**)
7. Contract Quantities and Special Provisions
8. Contract Administration
9. Workmanship
10. Quality Control and Quality Assurance
11. Environmental Issues
12. Other

B-III. Project Scorecards

What are Project Scorecards?

Project Scorecards are on-line surveys conducted by an independent third party on large complex construction projects while the projects are underway.

Project Scorecards have been trialed and used on Alberta Transportation projects since 2007. Research was conducted on Project Scorecard users from Alberta Transportation projects in 2009 and 2010. 93% of Project Scorecard users surveyed found the scorecards to be helpful and over 70% of the surveyed users recommended their use on large, complex Alberta Transportation projects.

In 2010 and 2011 the Strategic Priorities Group (SPG) reviewed the research on Project Scorecards and recommended their use on large, complex Alberta Transportation projects. Project Scorecards are typically completed either monthly or bi-monthly during the construction season.

How is the TRANS Project Risk Indicator (PRI) Used for Project Scorecards?

The **TRANS Project Risk Indicator (PRI)** is the tool used to determine whether any Alberta Transportation project can benefit from using Project Scorecards and the recommended frequency of Project Scorecards when they are used [see *Chapter 6 – TRANS Project Risk Indicator (PRI)*].

Who Participates in Project Scorecards?

Each Project Scorecard should be completed by representatives of the owner, consultant(s), contractor(s) and major sub-contractors, and possibly other stakeholders. These representatives **should have a strong working knowledge of the project**, and may include:

- Corporate Managers
- Project Managers
- Contract Managers
- Project supervisors
- Project Foremen/women

Other project stakeholders may also be invited to fill out the Project Scorecard, including:

- Municipal representatives
- Key suppliers
- Utility representatives
- Safety and environmental organizations

What is Measured on Project Scorecards?

If a formal project partnering session has been conducted for a project, the project goals and key challenges identified in the partnering session will usually be the Project Evaluation Statements that are measured in the Project Scorecard.

If the project has not been formally partnered, Allan Lowe & Associates Inc. provides a Creating Your Project Scorecard information package that gives step-by-step guidance to identifying the best measurement criteria to develop the Project Evaluation Statements for the project.

The project management team uses the Creating Your Project Scorecard information package as a guideline to develop the project goals and identify key challenges. Allan Lowe & Associates Inc. then works with the management team to finalize the measurement criteria for the Project Scorecard for their project.

The project management team also completes the Project Scorecard Participant List.

Online Project Scorecard Survey

The identified Project Scorecard participants are sent a link to the online Project Scorecard survey. Each participant accesses the survey through the link, and provides their rating to the Project Evaluation Statements and any comments they wish in an anonymous environment. Participants may identify themselves if they wish (see *Sample Project Scorecard Screen Shot* on page 33).

Within one week of receiving all responses to the Project Scorecard survey, a report is issued that includes a summary of the ratings and comments for each Project Evaluation Statement, and a graph showing the trends for each item (to identify progression or regression). Items that show a strong negative trend since the last report or a “*Poor*” rating are highlighted to identify areas that the team should focus on.

The report also includes the teams’ comments on key concerns upcoming over the next month or so, serving as a proactive project management tool (see *Sample Project Scorecard Report Page* on page 34).

Who Receives Project Scorecard Reports?

Project Scorecard Reports are provided to each individual that is on the Project Scorecard Participant List.

At the team’s request, Project Scorecards are also provided to senior management team members who are not actively involved in the day-to-day project activities. Project Scorecards enable senior management to monitor emerging project trends and allows for early identification and intervention on problem areas.

It is intended that Alberta Transportation Regional Directors will receive a copy of each Project Scorecard Report for their area.

What is Done With the Project Scorecard Report?

The Project Scorecard Report should be thoroughly discussed at the next project meeting. Based on the Project Scorecard Report, senior management from the Project Scorecard Participant List may also wish to provide input to their respective project representatives.

Sample Project Scorecard Screen Shot

Below is a sample of an online screen shot of a typical Project Scorecard survey.

Project Scorecard Sample[Exit this survey >>](#)

3. Project Goals

At the Partnering Workshop, a number of Project Goals have been identified as being key to the success of the project.

On a scale of 1-5, with 1 being "Very Poor" and 5 being "Very Well", please rate the current adherence to each of the Project Goals listed below.

If you are uncertain or not involved with the specific question, you may answer "Not Applicable".

Feel free to comment on any of the goals.

If you wish, you may add your name and/or your organization's name to your comments.

6. SAFETY

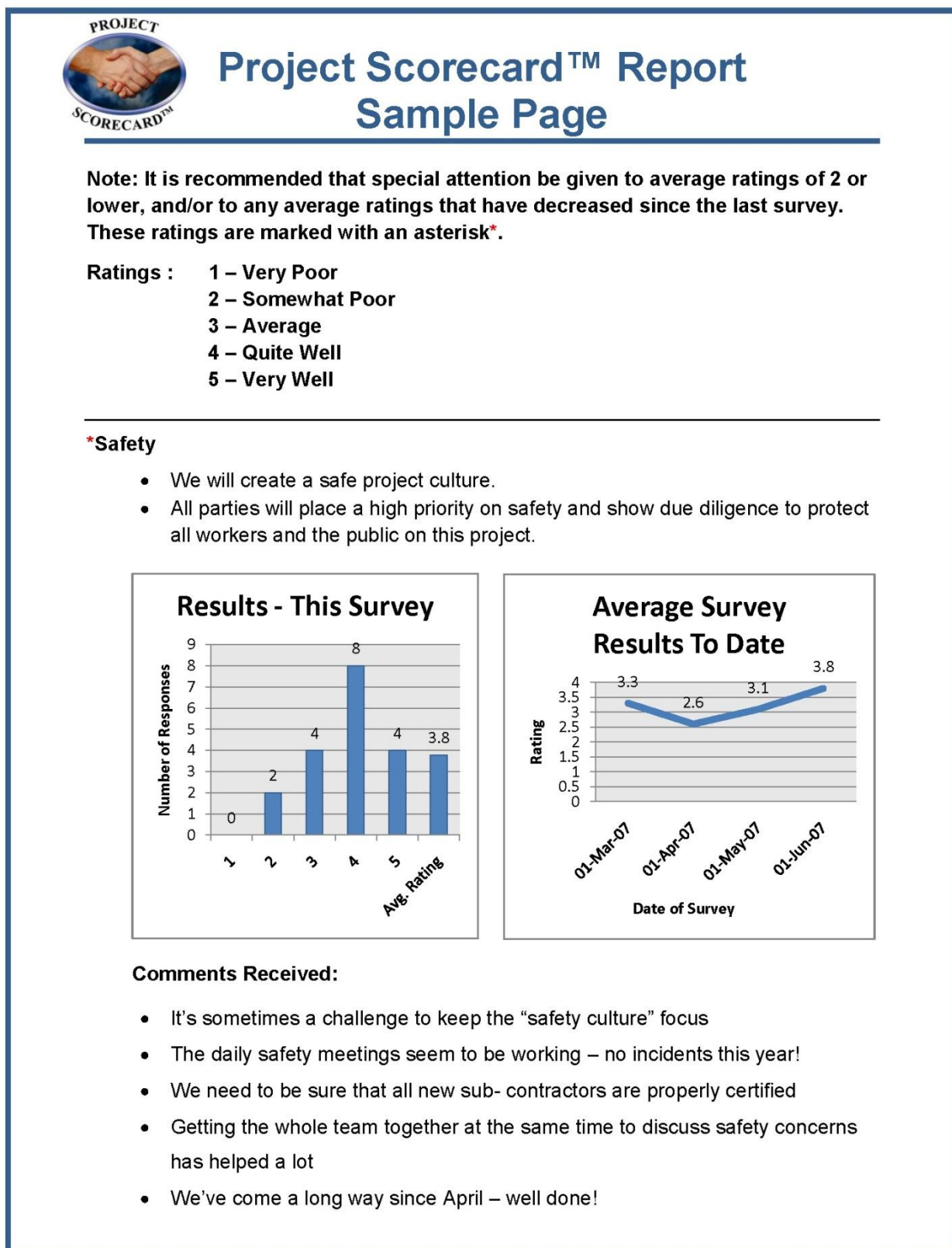
- We will create a safe project culture.
- All parties will place a high priority on safety and show due diligence to protect all workers and the public on this project.

☐ Very Poor ☐ Quite Poor ☐ Average ☐ Quite Well ☐ Very Well ☐ N/A

7. Do you have any comments about this area, or suggestions for improvement?

Sample Project Scorecard Report Page

Below is a sample of a page from a typical Project Scorecard Report.



APPENDIX C

TOOLS TO ASSIST IN MAKING PARTNERSHIPS A SUCCESS*

Weekly Meetings

A weekly project meeting can be one of the best partnering tools. Good communications and planning are critical to a successful project. A well-planned and run weekly progress meeting provides the team with an opportunity to bring up issues, concerns, and ideas on a regular basis. A weekly project meeting can help everyone working on the job understand the schedule, coordinate work, and to identify and resolve issues by bringing everyone together involved in one place, at the same time, to discuss the status of the project and to plan the week ahead. A good meeting has these attributes:

It starts on time - A project meeting should always start on time - this will train everyone to be on time. If the meeting is set for 9:00am, then that is when it should start. If you get in the habit of starting ten or fifteen minutes late, everyone will arrive ten or fifteen minutes late because those who come on time are penalized.

It ends on time - There should be a set amount of time allotted for the meeting. If the meeting is set for 45 minutes, then it ends in 45 minutes. Any issues not discussed or resolved are held over to the next meeting or worked on outside of the meeting.

There is an agenda - The Consultant's and the Contractor's on-site supervisors should put together the agenda. The agenda should include any issues from the subcontractors, suppliers, and other third parties with issues. The agenda, while fixed, should have enough flexibility to discuss new issues as they occur. As well, the agenda must not "lose" old issues that are still open. A good agenda covers

- The schedule (what work is planned) and how you, as a team, are going to accomplish it over the next week
- Unresolved or outstanding issues - so that you can either resolve them or elevate them up the Issue Resolution Ladder
- New issues which need resolution

If you have a stubborn or particularly complex issue, you may need to set up a separate meeting for its resolution.

A record is made of agreements and outstanding issues (minutes) - Some type of meeting minutes are required so that everyone knows what was agreed to and what is still unresolved (the minutes may be very helpful in the future should questions or issues arise). Minute taking is best done as a shared effort (responsibility alternating between Consultant and Contractor). It isn't necessary to do "formal" minutes, just be sure to record agreements and outstanding issues. The minutes do need to be distributed to the entire project team - this is your best form of communication project wide. Many projects use email to distribute their minutes.

The people needed for discussion and to make decisions are there – In order to have an effective meeting the people affected by the meeting must be present. It is frustrating to everyone if the people involved in an issue under discussion are not there; this wastes the time of those present. It is the Consultant's and the Contractor's on-site

supervisors' responsibility to ensure that the appropriate people are invited to the meeting and that they show up.

Attention is on the meeting, not elsewhere – Interruptions from cell phones and BlackBerries distract everyone, making the meeting drag on, and preventing everyone from hearing everything (discussions and agreements). When you're at the weekly project meeting, keep your attention there. If everyone stays focused on the meeting it can start on time and end on time.

Another good idea to facilitate communication is for the project superintendent and inspector to meet before the start of each shift to discuss the work planned for the day. They'll be able to agree on an approach and to discuss potential problems.

Communication

Good communication means that there are no surprises on your project. It means that one day you won't open a letter to find that someone is upset about something that you have never heard of before. The project team should commit to not writing letters without talking to each other first. Talking first gives everyone an opportunity to make sure they understand the issue(s) and to try to work things out before positions are put in writing. If you do end up putting your position in writing, the recipient should know that the letter is coming and what it says.

Technology is offering field teams diverse ways of communicating (email, web sites, etc.). If possible, try adapting your projects to take advantage of these technologies.

Experts tell us that 75-80% of good communication is listening – so if you want to improve communications on your project, listen, listen, listen.

Personality Conflicts

Personality conflicts can get in the way of communications and can disrupt the project. Each person on the project brings a unique personality, and some accommodation should be made for these differences. Egos and personalities are present on every project - however, project issues should remain project issues and not become personal issues.

Separating People from the Problem

Often, when conflict erupts on projects, people begin to look for who is to blame. It is easy to get caught up in the "fight", and in "winning", and not in getting the issue resolved while ensuring that relationships remain undamaged. It is important to remember that everyone will still have to work together to complete the project.

Because people sometimes become engaged in the fight over "winning" (and especially in not losing), they often don't take the time to really understand the problem - they make assumptions. Frequently the assumptions turn out to be only partially correct. They then find that they can't come up with a good solution (or even a good "blaming") because they are working with false assumptions.

Following are steps that can be taken to avoid being trapped in this vicious cycle:

Step #1 Seek to Understand the Problem

Ask probing questions to try to determine all aspects of the problem - no matter how angry or hostile the other parties seem to be. Don't become defensive; you are trying to understand the problem and the assumptions each of the other stakeholders have. This will give you a clearer picture of what the real issues are.

Step #2 Don't Make It Personal

Take an objective point of view - don't become engaged in the battle. Take the role of negotiator or fact finder. The more people get wrapped up in the battle and in trying to win, the more likely they are to start feeling that the issue is a personal matter. But remember, it's a project issue, and your success will depend on your ability to not take things personally.

Step #3 Don't Seek to Blame

Don't seek to blame - instead, seek solutions and understanding. People generally act logically; your job is to find the logic behind their actions. It is almost always there, and often has nothing to do with the stated problem. Pointing fingers makes everyone defensive, stopping communication. Project problems are never solved by blaming someone. Everyone is in this project together - everyone will succeed or fail together.

Step #4 Agree on the Problem

Work to gain agreement on what the problem is before you attempt to find solutions. If people don't agree on exactly what the problem is, it is not possible to reach the best solution.

These four steps will go a long way to having productive problem solving on construction projects.

Follow-up Partnering Session(s)

Partnering requires an on-going commitment. Sometimes the best way to renew a failing commitment is to hold a partnering session midway into the project. Other times you might consider holding a follow-up partnering session are when there is a significant change of personnel on the project, issues remain unresolved, or the project enters a new phase of work. Holding a follow-up partnering workshop will help to keep your partnership strong and your project on track, or even turn around a project that is starting to “go sideways”.

Team Building Activities

Construction projects, like any other work, usually don’t go well when the people working on them dislike coming to work. People can’t find solutions to problems when they’re stressed and fearful. It is important to the success of the project that project personnel have a sense of enjoyment. Such a sense can be achieved by holding regular joint team events or celebrations.

* Reference - Caltrans – *Partnering – Our Way of Doing Business*. (2000), California Department of Transportation

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