Partnering NEVADA DOT

Our way of doing business

Guide to Partnering on NDOT Projects




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This Guide is written as a reference source for Nevada Department of Transportation (NDOT) team members working at the project level. It is also intended to convey the NDOT commitment to partnering to the Construction Industry and NDOT Stakeholders. It defines the goals and responsibilities of partnered projects, and provides tools for successful outcomes. Procedures in this Guide are also intended to support the Department's use of partnering for internal operations, and in dealing with external Stakeholders.

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Chapter 1
NDOT's Commitment to Partnering

"Partnering is our way of doing business, and it is our opportunity to build projects safer, better, faster and cheaper!"
– From *Susan Martinovich, NDOT Director*

NDOT is providing this Partnering Guide to support its commitment to partnering as a way of doing business. It has forged this document in partnership with AGC of Nevada, the Construction Industry and the larger community. NDOT has created a Partnering Steering Committee to drive use of partnering practices within the Department, and externally.

What is Partnering?

Partnering is a program that is jointly-developed with our stakeholders. Partnering allows us all to achieve better results by establishing common goals.

Partnering has four major components:

1. Performance measures
2. Formal dispute resolution procedures
3. Measurable return on investment for taxpayers
4. *And the best part*- awards and recognition

As with any partnership, all parties must be *equally* committed and involved in all of these elements of the partnership.

In this case, both NDOT and our contractor partners will be expected to jointly follow partnering principles to reach our common goal of providing the best projects for the State of Nevada –in the safest and most efficient way.

"It is not about placing blame, and it is not a guarantee of profit or no disputes - it is about the way we do business to identify, eliminate and overcome the obstacles that come with any project."
– From *Susan Martinovich, NDOT Director to Executives on July 2009*

"Partnering is a process by which two or more organizations with shared interests act as a team to achieve mutually beneficial goals. Typically, the "partners" are organizations that in the past have worked at arm's length, or have even had competitive or adversarial relationships."
– From *Partnering Guide for the Environmental Missions of the Air Force, Army, Navy, July, 1996*

Construction partnering is a voluntary system of working cooperatively, entered into at project initiation, including all parties to a contract and project stakeholders. This voluntary partnership has several objectives:

1. It provides an agreed-upon structure for handling normal, everyday issues proactively and in a mutually agreeable manner before they escalate into major problems that create disputes and litigation.
2. It provides risk management by including stakeholders and communicating about expectations and concerns. It provides a better ability to look forward to anticipate and avoid problems.
3. It provides a natural forum for value-engineering, project innovation and necessary change from original specifications.

Partnering at the beginning of a project helps define common goals, improve communication and foster a problem solving attitude among a defined group of individuals who must work together during contract performance[1]. It is also characterized and defined by the creation of measurable system of feedback that align with the goals and objectives that are created, so that there is continual feedback to the team on its performance in achieving those goals.

Partnering Lifecycle and Foundations
Partnering is not a onetime event, and is not complete after completion of the initial workshop. It must last for the duration of the project. The partnering lifecycle begins with the kick-off partnering workshop and continues with follow-up partnering sessions throughout the construction period. On a daily basis partnering is reflected in pro-active communications between parties to a contract, with a focus on quick and informal resolution of issues, in a way that reflects the best interests of both parties. Where conflicts or disputes remain, a facilitated dispute resolution (FDR) process may be held. Partnering and project progress is evaluated monthly through the partnering evaluation survey. The survey allows team members to be accountable to one another and see where issues are emerging. As the project

[1] Based on observations of Paul Tucker, Mobile, AL Corps of Engineers District, December, 1991.

winds down, a close-out partnering workshop will be held to ensure the project ends well and to capture all of the lessons learned during the project.

Partnering is also supported by a framework of basic foundational actions as follows:

Leadership commitment depends both on individual commitment, and on linkage between the members of the partnering team, and those higher and lower than themselves in their own organizations. The essential first step is for each partnering team member to come to the initial workshop, participate, and live up to whatever commitments they make to its goals and values. Each team member must also align their own behavior with their commitments – they must walk the talk. Finally, they must also keep everyone else in their own organization on-board with what is happening. This means that they must make sure that the actions of others within their organization conform to the decisions and actions directed by partnering values and goals.

Tools and training include the partnering workshops, participation in weekly project meetings, and use of the issues resolution ladder, as described later in this Partnering Guide. Partnering tools include many established templates for communication and problem resolution. These include very simple techniques like brainstorming and multi-voting to more complex tools like the "Ben Franklin method" of decision making, (which some people call a "force field" analysis) and "cause and effect" analysis to better identify the root cause of problems.[2] Your facilitator will help you with the selection and use of appropriate tools, but in every case the purpose is to resolve problems early and informally, with a mutual benefit for all.

Measurement and Monitoring are primarily reflected in the development of objective and measurable standards of achievement for each of the adopted project goals. These are converted into actionable project measures through monthly feedback surveys. In order to be successful team members must both complete

[2] An excellent source book is *The Memory Jogger 2* (Second Edition) published by GOAL/ QPC and available on-line at www.goalqpc.com.

the survey (the first important measure) and have provided honest feedback (the second important measure).

Success, Awards and Recognition is both an evaluation, and a celebration. At the end of every project the team will be asked to evaluate its success, and possibly, to nominate their project for award recognition. The award application process is one of self-evaluation, and is an important means of learning and improvement. The decision to apply for an award at the beginning of a project is a reflection of a high level of confidence in a positive project outcome at the end. A commitment to achieving a project award is therefore strongly encouraged.

The foundations of partnering drive project success, and will be fully explained in this Partnering Guide.

Components and Practices for Successful Project Partnering

Partnering is a formal process and agreement, each team must commit to specific components and practices to achieve its benefits. The specific components of success include:

- Designated partnering team with defined roles and communication contact information.
- Team charter with mission, goals, and guidelines.
- Identified risks and stakeholder interests that must be considered.
- Action items and assigned follow-up.
- Measurable periodic feedback.
- Interim project evaluation (quarterly is recommended).
- Formal project close out.
- Project evaluation / Award application.

Required practices include:

- Designated, neutral facilitator at the initial workshop and periodic follow up sessions.
- Consistent participation by all parties
- Consistency between agreements reached and individual actions

Partnering Expectation and Objectives

Setting correct perspectives for partnering is important to gaining its full benefits. It has already been noted that partnering is a formal structure, voluntarily undertaken, and that its goal is proactive problem solving by a project team. However, it is important to note that partnering is not a substitute for:

1. The contract
2. Good plans or planning
3. Competent people

Likewise it cannot guarantee stakeholders that there will be:

1. No cost growth
2. No disputes
3. Profits

The positive benefits of partnering will come about through the wise use of the principles of partnering, working cooperatively, and as a team. The objectives and benefits of partnering are:

- Increase safety
- Deliver projects on time or ahead of schedule
- Produce projects within budget
- Improve Quality
- Disputes mitigated and resolved promptly
- Increased job satisfaction
- Construct an award winning project.

All participants on the partnering project team should keep these objectives in mind as they manage their projects. These are the goals of partnering, and the reason for adopting its practices.

The Language and Values of Partnering

People are structured to live by values, and values are first reflected in our language. What we say is most likely what we value, and what we value we will most likely do. One challenge of partnering is to get the language right, and to use that language as a guide to our behavior. Therefore, the partnering team should spend some time deciding on the language that defines their project values, as a guide and learning tool for all project participants. The language of project values provides another tool set to guide the project. Values should be part of the partnering charter.

Following is a list of possible partnering values. Your team should review this list; discuss which are most important to success, and how they will be incorporated. All team members should work to instill these values into the project and to identify and overcome any barriers that interfere with their achievement.

- Cooperation: It is assumed that cooperation is more productive than confrontation, and that the time needed to develop cooperative solutions will pay dividends. Everyone agrees to listen as much as they talk, and to be open to other points of view.
- Trust: We are candid, open, and keep our agreements.
- Mutual benefit: Each party looks out for the other party's interest, and takes an interest in resolving issues raised by them, so that benefits are achieved by all parties.
- Fairness: Conflicts are resolved in a manner both sides can admit is honest, fair, and impartial. No one should be asked to give up on an issue unless they can see fairness in doing so.
- Good Faith: Parties commit to be honest and open in all their dealings with project partners. They commit to treat others as they would want to be treated, and in a way that respects their business needs.
- Communication: Parties agree to regularly communicate with each other and to be open in sharing current activities and issues. Communication will be proactive, and all responses will be honest and prompt.

- Teamwork: Partners will work together towards the common goals, and celebrate their shared success.
- Commitment to success: Team members agree to a high standard of achievement for the project. Ideas for improvement will be shared freely to achieve the best possible results.
- Issue resolution: A process will be in place and regularly used so issues are resolved before they harm the partnership or the project. There is a commitment to rapid dispute resolution at the lowest level.
- Measurement/feedback: All parties commit to provide honest, regular, and measurable feedback regarding achievement of project goals.
- Leadership: We believe that great teams need great leaders. The project manager must take the leadership role. They must act like and become the leaders of the project.

This list of partnering values should be reviewed by each partnering team, and past experience in the practice of these values should be shared. The next step will be for the project team to commit to their project values and to include them as a part of their team charter. It must also be recognized that each of their parent organizations are not necessarily “on track” with these new values. The anticipation of culture differences would be a rational premise for any partnering entity, and the team might therefore talk about what is necessary to bring all the members of each group together in a "boundary culture." In will be in order to establish and secure acceptance of a set of explicit and implicit "rules" that will govern behavior when members operate in the boundary region.

This is an important first step since team language and values are integral to creating the atmosphere in which partnering can succeed.

Chapter 2
History and Benefits of Partnering

Throughout the 1980's, there was an explosion of construction related litigation, and recorded growth in all types of disputes and claims on public works projects[3]. The construction industry became so adversarial that many industry leaders felt that U.S. competitiveness was threatened. Time and money were being lost by the stakeholder organizations pulling against one another in the management of large engineering projects – through defensive posturing, case building, developing claims and litigating. Many observers felt that the construction industry had shifted from a competitive win-lose environment to one that was lose-lose. Costs were escalating, profits were declining and quality was suffering.

In 1987, an industry association, the Construction Industry Institute (CII), took a lead in finding an answer to the problem by establishing a task force to look for means of building mutual trust, shared goals, open communications, and effective problem resolution on public works construction projects. The result was documented in the Task Force's findings, *In Search of Partnering Excellence*. This work set down the basic precepts and methods of partnering, and initiated broad interest in partnering throughout the nation. M.T. Kugal wrote a book in 1994, entitled, *Engineered Quality in Construction: Partnering and TQM*. In it he said that "the growth in partnering is directly related to the growth in claims and litigation regarding construction contracts throughout the nation."

Two of the first large scale sponsors of partnering included the U.S. Army Corps of Engineers and the Naval Facilities Engineering Command[4]. Both tried partnering for their military construction projects. The successes of those projects were so dramatic that they established partnering as their preferred way of conducting business with one result being that the Society of Military Engineers became a leading partnering proponent.

Contractors and industry associations such as the Associated General Contractors of America (AGC) became strong advocates. The American Association of State Highway Transportation Officials (AASHTO) also became advocates. Likewise, the

[3] Partner Your Project, by Sue Dyer, Mc Graw Hill.
[4] A variety of persons have been cited as "first" pioneers of construction partnering practices, including Lester Edelman, a Chief Council for the Corps of Engineers , Col. Charles Cowan of the Army Corps of Engineers in Oregon, and Norm Anderson, of the Washington State Department of Transportation.

American Institute of Architects, American Consulting Engineers Council, and National Society of Professional Engineers, have "bought in," and provide training materials for their members.

Partnering has been broadly used by many state and federal agencies in the last 10 years with significant reported benefits, although like all good management practices, the level of commitment and use can be lost over time. The Washington State Department of Transportation commented in 2009 on a need to re-educate its resident engineers and associated project staff on partnering practices and uses: "In the „90s, WSDOT underwent a big push to use project partnering approaches. As partnering became a part of the agency culture, the need to teach it and promote it became less critical. Now, however, we have new project managers, new partners, and increased workload demands. As fewer formal coordination approaches are used, we are beginning to see more project intervention, project turn-around, and other indicators that early partnering efforts should be revisited[5]."

Quite clearly, good construction partnering does not come about on its own, and needs concerted leadership focus to make it work. The benefits of doing so have also been well documented.

The Benefits of Partnering

Probably the most thorough and systematic study of the results of partnering was a study of over 400 highway projects in Texas[6], for the period from January, 1987 to 1996. That study documented the following conclusions:

- Average cost growth of just 1.87 percent in partnered projects compared to 3.94 percent in non partnered projects.
- Partnered projects were finished on average 15 days before deadline, while non partnered projects were finished on average 36 days past deadline.
- No cost of claims or disputes on partnered projects; 1.15% cost of claims on non-partnered projects.

The study identified 204 completed transportation projects on which partnering was used for the period from January, 1992 to November, 1996. It contrasted the results of these projects with an equal number of non partnered projects, which were selected from the period of February, 1987 to December, 1991. The difference in the time periods was the result of the fact that partnering was not used in Texas construction projects before January of 1992. This study produced a database of 408 projects for the detailed analysis. A series of 12 project performance parameters was utilized to analyze the difference in the two sets of projects. Included among these parameters were work cost growth, average cost per change order, average total change orders per project, time growth, average percentage of additional days granted, percent of project with liquidated damages, claims cost as a percentage of original cost, and other similar factors. The study

[5] Comment is quoted from WDOT web page at http://www.wsdot.wa.gov/biz/construction/Partnering.cfm, in December, 2009.

[6] Quantitative Analysis of Partnered Project Performance, by Douglas D. Gransberg, William D. Dillon, Lee Reynolds and Jack Boyd,. Journal of Construction Engineering and Management, May/June 1999.

segmented data within two groups, with one group comprised of projects that were $5 million or less, and the other group for projects from $5 million to $40 million.

Results were quite dramatically positive, particularly for the construction projects from $5 million to $40 million. That group saw an average cost growth of 1.87 percent in partnered projects compared to 3.94 percent in non partnered projects. The average cost per change order was just under $8,000 for partnered projects and just over $21,000 in non partnered projects. Partnered projects were finished on average 15 days before deadline, while non partnered projects were finished on average 36 days past deadline. The percent of projects with liquidated damages was 12.3 percent among non partnered projects, but just under 2 percent for partnered projects. Perhaps most conclusive was the fact that there was no cost of claims or disputes on partnered projects while the cost of disputes was 0.71 percent on non partnered projects and the cost of claims was 1.15 percent on non partnered projects.

The study provides a strong endorsement of the use of partnering on public works construction projects of greater than $5 million in value. The author concluded that "Partnered projects out-performed non partnered projects in virtually every category if they were awarded at a price above 5 million dollars... partnering seems to virtually eliminate the cost allocated to disputes."

Other studies of partnered projects have documented similarly positive results. For example, a Construction Institute Study conducted in the year 2000 found significant benefits in major maintenance contracts ($200,000-$40 million) between the TVA Fossil Power Group and private sector firms. It noted the following results[7]:

- 44% improvement in labor utilization since 1993
- 69% decrease in worker compensation costs since 1991
- 45% improvement in staff and management costs since 1996
- 59% decrease in small tool costs since 1994
- 12% annual savings for each repeat project since 1994
- 13% average improvement for repeat O&M packages
- Since 1998.

Another authoritative study compared "first time" construction litigation cases involving the U.S. Naval Facilities Engineering Command (NAVFAC) for the period of 1982–2002. This was done because beginning 1993 NAVFAC implemented a partnering program and design–build contracts as primary strategies to reduce contract litigation. The study supports the premise that litigation had decreased in response to its initiatives, and noted that the mean number of cases for the period covering 1982–1992 was 37.9 cases per year, while there were just 24.9 cases per year in the period from 1993 to 2002. This implies just over a 34% reduction in litigation due to the initiatives. In addition, the study reported a continued trend in reduction of litigation cases after 1993, and cases ranged from a high of 28 in 1995

[7] Seay, B., "Partnering: A Success Through CII Products." Construction Industry Institute. (2000)

and 1996 to a low of 11 in 2002, despite an equivalent volume of construction activity[8].

A recent comprehensive review done by the Construction Industry Institute found that construction projects that have incorporated partnering have had many positive results, including:

- Total project cost (TPC) reduced 10%
- Value engineering savings increased 337%
- Project duration reduced 20%
- Rework reduced 50%

The evidence is indisputable. Partnering saves money, reduces project time, and improves project delivery. It is an investment worth making.

The Culture of Partnering

Old-timers may say that formal construction claims used to be an oddity, and some may even proudly boast that they have never submitted one! This raises a good question about where all the claims activity comes from, what has changed. It is pretty clear, though, that a number of things have changed, and have changed dramatically.

Construction projects have increased in both size and complexity over the years, with more focus on environmental and other stakeholder concerns than ever before. The focus on low-bid in public sector contracts has increased the need to rely on a "perfect" set of contract documents, while "fast tracking" and local conditions may require design changes while the project is underway. Tight profit margins and the reliance on multiple subcontractors only increased the opportunities for misunderstandings, errors and omissions. It is really not surprising that the prevalence of disputes and claims has increased.

Attempting to resolve construction project issues through traditional "hard bargaining" demands that each party take an extreme initial position, hold to it stubbornly, and make the smallest possible concessions over time so that they get the most of what they have initially judged to be fair. The primary problem with the use of this strategy is that it requires a long period of time to resolve issues and that it is very damaging to business relationships.

It is also a high-stakes gamble that produces very hard feelings among the persons on the other side. These hard feelings last a long time and make others unlikely to trust the hard-bargainer in the future. Hard-bargaining causes everyone to document whenever issues arise and makes it impossible to gain the trust necessary to resolve even the smallest issues informally. As a result hard bargaining can easily become a self-fulfilling prophecy: Those who create hard feelings through hard bargaining are likely to encounter situations in the future that they can only resolve through hard-bargaining, or litigation.

[8] *Construction Litigation for the U.S. Naval Facilities Engineering Command, 1982–2002,* by Jeffrey J. Kilian and G. Edward Gibson. Journal of Construction Engineering and Management, Sept. 2005

There is another way, though. Win-win negotiation looks for solutions that serve the better interest of both parties, while harming neither. The practice of win-win requires that both sides look again at their assumptions and project constraints, and try to find new ways to accommodate the other party. Instead of spreading the suffering or cutting the pie into smaller pieces, it looks to increase the size of the pie through creativity.

For example, a contractor might want to demand additional compensation when he discovers the 15-foot wide work area shown on the plans is actually only 5 feet. The Resident Engineer (RE) might take the position that although the plans appear wrong, that the available work area was obvious to all bidders visiting the site. This sets up a lose-lose scenario, where the contractor will do the work in the smaller access way and increase cost or time, followed by a claim against the owner. Both parties will lose since the project will be done less well, both will pay attorneys, and additional costs will be suffered by both. In a win-win scenario, the RE and PM will sit down together to see how both can get most of what they need. After reflection, the contractor may decide he really only needs 10 of the 15 feet. Working together (and creatively) the two may be able to review the traffic windows, staging, and environmental permits, and find a way to obtain the additional 5 feet. In this scenario the project is completed timely and within budget, and there is no claim filed afterwards -- A true win-win scenario.

The key is to look ahead together, before the work is done and the money is spent, and to brainstorm available options. Delaying the negotiations or discussion of a dispute until after the work is complete generally limits options to a debate over financial responsibility.

The concept of principled negotiation – practiced through partnering - looks for mutual gains wherever possible, so that both parties can "win" something important to them. Where there are differences, parties will base decisions on fair standards independent of the will of either side. These kinds of "win-win" solutions have three requirements: They meet the legitimate interests of each side to the extent possible, the resolve conflicting interests in a manner both sides can admit is fair and impartial, they do not damage relationships, and they take community (or stakeholder) interests into account in the decision making[9].

When conflicts arise on your partnered project, it will be the job of your partnering facilitator to help you openly discuss conflicts, and to find this kind of a win-win solution. It is what partnering was created to do.

[9] Description is paraphrased from *Getting to Yes*, by Roger Fisher and William Ury. Houghton Mifflin Publishing, 1981.

Chapter 3
Partnering on NDOT Construction Projects

Partnering Specification Requirements on Construction Contracts
NDOT specification 108.14 mandates professionally facilitated project partnering on all projects with a total bid greater than $10 million, and it encourages facilitated partnering on all projects with a total bid greater than $1 million and up to $10 million. The RE is required to extend a formal invitation to the contractor to partner on all projects where there is a total bid greater than $1 million. An informal application of partnering concepts on projects with a total bid of $1 million or less is also encouraged, with the RE and PM acting in lieu of a facilitator. See Appendix A.

For all projects on which partnering is required, the RE and PM are responsible for the selection of a qualified facilitator.

The Department also recognizes that traditional and accepted patterns of project communication and meeting management do not always identify and examine the project issues that are important to the success of Partnering. So for example, a leader's desire to save time or protect others from challenge can result in their discouraging questions and short-cutting discussions on alternative ways to address issues. A failure to familiarize all project team member with partnering values and goals, or to change behaviors to support these values or goals can short-circuit success. As a result, training on partnering skills development is a consideration. Where the Department feels it is warranted, such training may be required, especially where projects are large or complex. The RE or PM may also request this additional training based on unique project factors.

Teams planning to hold a team training session in partnering skills development will be able to choose 1-4 topics from the list of partnering competencies provided in Appendix B. This list of suggested training topics should be considered for the following reasons:

1. To ensure that all team members are familiar with the partnering structure, including its operation and purpose;
2. To enhance communication and problem solving skills by project teams;
3. To review current construction partnering issues and share best practices.

If training is required for your project, the RE or PM will need to choose from the listed topics (See Appendix B) and select a qualified trainer. Training should be

planned to last from 4-6 hours, with the training session is as a separate and distinct session held prior to the kick-off partnering workshop.

For reference, the entire NDOT Partnering Specification appears in Appendix A.

Partnering Roles and Responsibilities

Successful partnering practice depends on a leadership coalition of the RE and the PM. This relationship is in effect, a partnership within the partnership. These two individuals must work together to initiate and define the partnering process, to obtain the agreements defined in the charter document, and to live by those agreements. Even more important though, they must ensure that the superiors in their parent organizations respect the project partnering principles, and that all project team members' actions on the project site reflect the promises of their charter. In effect, the RE and the PM are linking pins in their organizational chains, and without the strength of those linking pins holding things together, we can be sure that the overall effort will pull apart. The contractor must also be a linking pin to subcontractors, and the RE must be a linking pin to the greater community in which the project is taking place. Quite clearly, project success depends on team members expanding their circle of influence, to ensure proactive issue identification, and resolution. The roles and responsibilities of all the parties to partnering are presented below:

Resident Engineer and Project Manager

- Select the partnering facilitator, and organize the initial workshop.
- Recommend, select and schedule any required training.
- Identify key stakeholders to include in initial workshops.
- Active participation in initial workshop.
- Select partnering feedback response group.
- Monitor monthly feedback results.
- Track Action Items and Dispute Resolution Ladder.
- Advocate partnering decision to superiors.
- Model partnering values to subordinates.
- Initiate and support and needed follow-up partnering sessions.
- Conduct project close out and evaluation (including award application).

Facilitator

- Conduct initial interviews.
- Evaluate project risks.
- Conduct initial partnering workshop.
- Complete project charter and feedback system.
- Discuss feedback results with RE and PM.
- Conduct any needed follow-up partnering sessions.
- Conduct project close-out and evaluation. Assist with award application.

Partnering Team Members

- Attend initial partnering workshop.
- Model partnering values to project team members.
- Utilize dispute resolution ladder.
- Provide regular feedback on project success.
- Participate in follow-up workshops as required.
- Participate in project close-out and evaluation.

Key Project Stakeholders

- Provide project concerns in initial interviews.
- Participate in initial partnering workshop.
- Provide regular feedback on project success.
- Proactive role in project issue resolution.

NDOT project teams may include other key resource personnel, such as design personnel, the District Engineer, maintenance, or other disciplines within the Department that maybe needed to ensure successful communication and coordination on the project. These individuals must recognize that their role in project oversight must be matched by their commitment to participate in the partnering team. In other words, an official that may want to exercise independent authority regarding project issue resolution, quality, or acceptance must either directly participate, or communicate regularly with an active project team member as their delegate. This must be respected so that all project issues are proactively addressed, and in a timely manner.

Partnering teams should consider inviting subcontractors, key suppliers, and any other stakeholders who may have a significant role in project delivery, safety, quality, acceptability, progress, or issue resolution.

Chapter 4
Partnering Workshops

Planning the Initial Partnering Workshop

The initial partnering workshop is the first formal step towards partnering, and should be conducted before the work begins.

The initial partnering workshop provides the opportunity for the partnership members to meet, build (or renew) relationships, and develop team processes that support the upcoming project challenge. The workshop participants should include representatives of all parties to the partnering effort, and build their commitment to achieving the partnership goals.

The RE and PM begin the process by evaluating the project size and level of complexity, and making a determination regarding whether professional facilitation or training will be required, and what kind of partnering structure to have. Guidance on NDOT requirements are provided in Chapter 3. A check-sheet for monitoring the partnering process on your project is provided as Appendix C, and an outline of different partnering structures are provided as Appendix D. Any questions regarding application of this standard can be directed to the Partnering Program Manager, Jeffrey Freeman, at 775-888-7662 or jfreeman@dot.state.nv.us.

Planning items for the RE and PM to complete before the first workshop are:

- Select a professional facilitator.
- Select the critical project team members to invite.
- Identify key stakeholders and other desired participants.
- Select and confirm the availability of an appropriate meeting facility.
- Send invitations to all participants.
- Confirm their attendance.
- Prepare a project summary to present at the meeting.

Please note that involving the selected facilitator can provide a resource for all the subsequent planning steps.

Outcomes of Initial Partnering

At this session, project values, project goals, initial issues, project metrics, a system of feedback, and an issue resolution ladder will be developed. The team will be asked to commit to agreements reached, and to sign a pledge of commitment to project goals. At the conclusion of the workshop the team will be asked to evaluate the session and the facilitator. A sample agenda for the initial partnering session is provided as Appendix E and a sample evaluation form is provided in Appendix G.

All of the agreements and actions taken at the initial partnering session will be documented, and included in a final project report. This final project report is called the team charter. This document formalizes the team's vision and commitment to work openly and cooperatively together toward mutual success during the life of the project. The charter helps to maintain accountability and clarity of agreements made and allows for broader communication of the team's distinct goals and partnering process.

Key Project Goals

Project goals fall into several different categories. Core project goals are mandatory for every project, and include:

- Safety
- Schedule
- Cost
- Quality

Project specific goals are the second category, and these are selected by the partnering team members to reflect the unique needs and risks of each project. They may vary either because of the nature of the project, or the perspective or past experience of the project team. Project-specific goals should be included for any area or issue that will help guide project success. Your team may want to consider the following list as options:

- Communication and teamwork
- Environmental compliance or commitments
- Third party coordination (Example: Railroad, Army Corp of Engineers, etc.)
- Prompt review of issues or change orders
- Public needs or public image
- Utilization of Small Business or Disadvantaged Business Enterprise (DBE)

As the team selects each goal area, it should also create an objective statement that reflects the highest possible score using measurable criteria for that goal. Using "Safety" as an example, the team may then develop the following objective: "The team will proactively address safety. There will be no injuries and only positive safety reviews."

Because the feedback system developed for project partnering is based on a numeric scoring system, this "best case" description can also be matched to the highest possible numeric score for the goal. Likewise, the team should also define the worst possible result for each goal to reflect the lowest possible feedback system score for that goal.

Once partnering goals are established, the team may wish to use their list to discuss possible causes of failure in hoped-for goals accomplishment. Doing so

provides an excellent project risk evaluation, and allows the team to design initial actions to address those risks.
In addition, your facilitator should ensure that team considers all the most likely causes of project risk, such as:

- Construction staging
- Constructability/ Quality of plans
- Value engineering
- Utility conflicts
- Differing site conditions
- Weather
- Access

Project Measurement and a System of Feedback
Every partnered project must include core project goals, and with metrics to reflect relative levels of success regarding each one. It is important to use a five-point scale for partnering feedback, which can be on either a 1-5 scale or a 0-4 scale. The use of the 0-4 scale corresponds to "academic" scores, with a 4.0 equivalent to the letter-grade "A", 3.0 equivalent to a "B", down to a 0 score corresponding to "F".

Once these metrics are developed, it will be the facilitator's responsibility to assemble them in a monthly survey of project team members, to distribute the survey, and to analyze and distribute results to the team. The team should use its results as a means of determining whether it is on track for project success, or if issues are developing. A template showing metrics associated with key project goals is provided as Appendix H.

The facilitator must make sure that sufficient numbers of team members are completing the monthly feedback surveys, and that persons who leave the partnering project team are being replaced. It is considered a best practice for the facilitator to discuss the level of participation with the RE and PM, at least quarterly. When feedback results dip into marginal or unsatisfactory levels, the facilitator should request that a follow-up partnering session be scheduled.

Issue Resolution Process
Another required element for the partnering team is to develop a dispute resolution plan. This is primarily defined by an issue resolution ladder (IRL) for their project. A dispute is defined as a disagreement between two or more people, often accompanied by conflict. It is the job of the project team to determine whether these disputes will affect project delivery, safety, quality, acceptability, progress, or cost. Where they will have an impact create a risk of undermining project goals, they must be identified as issues and follow a formal resolution process.

For more details on the issue resolution process please refer to chapter 5.

Project Communications Planning

A weekly project meeting can be one of the best project tools, both for overall project management and in support of partnering. A well-designed and well-run weekly meeting provides the team an opportunity to manage project risks by bringing up issues, concerns, and ideas on a regular basis. A weekly meeting can help the field team to understand the schedule, coordinate work, and to identify and resolve issues. It brings core personnel together in one place at the same time to discuss the status of the project and to plan the week ahead. Other stakeholders, such as designers, traffic engineers, local agency representatives, and subcontractors, should be invited as needed to provide insight, background to the field team and participate in joint decision making.

A good meeting has several important attributes:

- **Agenda:** It has a written agenda that identifies important issues for discussion. Team members are asked in advance if they have agenda items to include. (One good trick is to ask for agenda items for the next meeting as the last item of every meeting.)
- **Participation:** Except when there is excused absence all members will attend and arrive on time.
- **Timekeeping:** Someone is appointed to watch the time, and to do periodic time checks to prevent digression or extended discussion of any one item from crowding out others. Meetings must end on time.
- **Closure:** When issues are raised by any team member, the group must get agreement from that team member that the issue was adequately addressed ("closed"). Options when an issue is not closed in one meeting is to carry it over to the next agenda, or to hold a separate meeting afterwards (probably not including all team members).
- **Summary:** A written record is made that documents who attended, and what decisions, agreements, and follow-up tasks were identified. Where follow-ups were assigned the responsible party is identified, to ensure accountability.

It should be noted that a good agenda often includes:
Look-ahead schedule - What work is planned? How is the team going to accomplish it over the next week?

- Look ahead reports
- Pending submittals
- Requests for information
- Outstanding contract change orders/notice of potential claims
- Review of risks or risk management plan
- Unresolved or outstanding issues
- New issues

Follow-Up Partnering Sessions

Most projects will benefit from having follow-up partnering workshops at regular intervals throughout the duration of the project and the optimal interval is every three to four months. Unless major issues are pending, follow-up sessions can

easily be handled in one-half day. Follow-up sessions might also be considered when there is a significant change of personnel on the project, issues remain unresolved, or the project enters a new phase of work. Holding follow-up partnering sessions will help to keep partnership strong and on track, or defuse issues that have not been addressed informally.

The project facilitator is expected to work with the RE and PM to ensure that follow-up workshops are scheduled and that the appropriate people attend to address any outstanding or emerging issues. A template agenda for a follow-up partnering session is provided in Appendix F.

Close-out Partnering Workshop

Each project team should also anticipate a close-out partnering workshop that is structured primarily as a means of learning and reflection.

Shortly following construction contract acceptance, the project facilitator should be notified to conduct a project close-out survey to all partnering team members. The team should also schedule a close out meeting, to review the results and to celebrate project completion. This session should create a "lessons learned" and observations on how to carry those lessons forward in the future. A summary of this meeting along with the project close out survey results must be filed with the NDOT partnering office to assist in its overall project administration.

Project closure is commemorated by the close-out evaluation, but it is also recommended that the partnering team apply for the NDOT Excellence in Partnering Award, as further explained in Chapter 6.

Chapter 5
Resolving Disputes within the Partnering Framework

The resolution of disputes on partnered projects is encouraged in several ways. The first one is through the adoption of project values and informal resolution between individuals. Where disputes cannot be resolved in this way, each project team will utilize its Issues Resolution Ladder (IRL).

Issue Resolution Ladder
The IRL establishes a process for elevating disagreements from the field level to executive management if necessary, with defined time limits for each level of review. It also puts specific names of project personnel at each level of review. The Construction Manual requires the IRL to be established at the Pre-Construction meeting, but it should be reviewed and discussed again at the Initial Partnering Workshop. A sample of an Issue Resolution Ladder is provided below for reference, even though your project may modify this format to be more useful for your specific circumstance.

The two operative rules for such project issues are:

- Issues will be resolved as close to the project level as possible
- Issues will be resolved or elevated before impact on cost or schedule

Sample Issue Resolution Ladder

Level	Contractor	NDOT	Time to Elevate
IV	Branch Manager	Director's Office	Issue Dependent
III	Construction Manager	District Engineer/ Assist. District Engineer	1 Week
II	Project Manager	Resident Engineer	2 Days
I	Project Superintendent	Lead Inspector	1 Day

The development and use of the issue resolution ladder should be communicated to all project team personnel by members of the partnering team, along with the team charter. Each member of the team must then be aware of the time to elevate standards, and do everything they can to live up to them. They must also understand that elevation of an issue is not bad, nor is it an admission of failure. Most often, it simply means that neither party sees a win-win solution, or that they do not have enough authority to approve such a solution.

Project team members also need to understand that the project team needs to be able to have open discussion of issues, without taking offense. This means that project team members must respect alternative viewpoints, and welcome discussion of creative solutions. The opposite of open discussion is an environment where team members rarely talk face-to-face, where they surprise others with the sudden revelation of a major issue, and where they document a position in a formal written communication as a first step to problem resolution. The project team should commit to not writing letters without talking to each other first. Everyone should recognize that 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. Where it is determined that there is a need to put a position in writing, it is always a good rule to inform the recipient verbally, ahead of time.

One good communication practice is for the project superintendent and inspector(s) to meet before the start of each shift to discuss the work planned for the day, and any issues from the previous day. This is a proactive way to anticipate potential problems.

When issues are not resolved through the IRL, the next formal step is mediation. Where mediation cannot find an acceptable solution, the matter will advance to the Contract Claims Board

Other Options

Where facilitated dispute resolution does not resolve the issue, any partnering team member may elect to elevate the issue to a Dispute Review Team (DRT) as provided for in the Nevada State Administrative Code, Section 105.17, “Claims for Adjustment and Disputes”. The DRT is intended to be used only after the partnering dispute resolution process has been exhausted. Either the Engineer or the contractor may request an issue be heard by the DRT.

The DRT will consist of one member selected by the Engineer and approved by the contractor, one member selected by the contractor and approved by the Engineer, and a third member selected by the first two members and approved by both the Engineer and the contractor. Normally, the third member will act as Chair for all DRT activities.

The DRT is intended to resolve disputes through peer review of facts and actions and through analysis of the use of relevant industry standards and codes of professional conduct by all parties. If the DRT recommendation does not resolve the dispute, the written recommendation, including any minority report may be used by either party to document its claims in subsequent Court hearing

Final Administrative Authority
If the recommendation of the DRT is not accepted, claims may also be reviewed to the Contract Claims Review Board, whose decision is considered the Final Administrative Authority for the State of Nevada.

The goal of partnering is to resolve all claims proactively and informally, and to avoid a need to elevate to either a DRT of the Contract Claims Review Board. Such solutions are most likely to have the greatest benefit for all, at the lowest possible cost.

Chapter 6
Excellence in Partnering Awards

The NDOT Excellence in Partnering Award is an annual statewide recognition of completed partnered projects that best optimize principles of partnering. The main purpose is to celebrate success, share lessons learned of best practices, and honor all project stakeholders. Application for the award is a recommended best practice at project closure.

NDOT recognizes that while some project managers will have natural interest in obtaining project award recognition, others may not. However, all are encouraged to apply since the process is viewed primarily as a means of verification and evaluation of the use of partnering practices, and to encourage and challenge the deployment of partnering competencies. In this sense the award process is part of the quality control process, and it is for this reason that the awards have been created.

The quality control aspects of the awards criteria will be obvious for those who complete it. It asks for project mangers to document their compliance with the basic requirements of this Partnering Guide. Its questions then ask:

- If a charter and goals were established
- How trade/craft foremen and workers were involved in the partnering process
- How subcontractors were involved in the project partnering process
- How relationships with key stakeholders were managed
- How well the goals of the charter were evaluated or measured
- Any teambuilding activities or unique motivational activities
- If the goals were realized
- The safety record of the project
- A description of the issues resolution procedure
- Challenges or obstacles overcome
- Examples of informal and proactive problem solving
- Examples of any innovative ideas that evolved through the project partnering process
- If potential claims resolved before contract acceptance
- Discussion of any claims that were resolved or filed
- Any adaptations or refinements that were made to improve the partnering process on the project

- How partnering contributed to successful project completion
- Whether project schedule, cost, and quality achievements exceeded contract requirements.

A complete award application is available online at: (http://www.nevadadot.com/business/Liaison_Committee/pdfs/Partnering_Award_Application.pdf)

Projects may also wish to explore other partnering awards, including the AGC of Nevada Excellence in Partnering Awards available at: http://www.nevadaagc.org/ and the AGC of America Marvin M. Black Award. Information on that award is available at: http://www.agc.org/galleries/about/2010MMBapplication.pdf

Making it Happen

Successful Partnering on NDOT Projects requires Leadership and commitment to Excellence…

"As construction leaders, I know each of us will EMBRACE Partnering. I know each of us will FACILITATE Partnering. I know each of us will CHAMPION Partnering. Partnering is our way of doing business and it is our opportunity to build projects safer, better, faster, and cheaper!"
– From *Susan Martinovich NDOT Director*

Appendix A

NDOT Partnering Specifications

SECTION 685 - PARTNERING

DESCRIPTION

685.01.01 General. For the benefit of both the Contractor and the Department, the formation of a "Partnering" relationship will be established in order to effectively complete the contract. The purpose of this relationship is to maintain cooperative communication and mutually resolve conflicts at the lowest responsible management level.

The Department strives to work cooperatively with all contractors and partnering is our way of doing business. The Department encourages partnering utilizing a partnering team. The partnering team consists of significant contributors from the Contractor, Department, and invited stakeholders.

For a contract with a total bid between $1 million and $10 million, professionally facilitated partnering is encouraged. For a contract with a total bid greater than $10 million, professionally facilitated partnering is required.

The establishment of the Partnering relationship will not change or modify the terms and conditions of the contract.

CONSTRUCTION

685.03.01 General. A written invitation to enter into a partnering relationship will be sent after contract award. Respond within 15 days to accept the invitation and request the initial and additional partnering workshops. After the Engineer receives the request, the Contractor and the Engineer shall cooperatively select a partnering facilitator that offers the service of a monthly partnering evaluation survey, schedule the initial partnering workshop, select the initial workshop site and duration, and agree to other workshop administrative details.

Additional quarterly partnering workshops will be required throughout the life of the contract.

685.03.02 Skills Development Training. When requested by either party, a partnering trainer will conduct a 1day training session in partnering skills development for Contractor and Department representatives before the initial partnering workshop.

The Contractor and the Engineer will cooperatively schedule the training session, obtain a professional trainer, and select a training site.

This training session shall be a separate session from the initial partnering workshop and shall be conducted locally.

685.03.03 Implementation. In implementing partnering, the Contractor and the Engineer shall manage the contract by:

1. Using early and regular communication with involved parties.

2. Establishing and maintaining a relationship of shared trust, equity, and commitment.

3. Identifying, quantifying, and supporting attainment of mutual goals.

4. Developing strategies for using risk management concepts.

5. Implementing timely communication and decision making.

6. Resolving potential problems at the lowest possible level to avoid negative impacts.

7. Holding periodic partnering meetings and workshops as appropriate to maintain partnering relationships and benefits throughout the life of the contract.

8. Establishing periodic joint evaluations of the partnering process and attainment of mutual goals.

The partnering team shall create a team charter that includes mutual goals (core project goals which may also include projectspecific goals and mutually supported individual goals), a partnering maintenance and closeout plan, dispute resolution plan with a dispute resolution ladder, and team commitment statement and signatures.

The partnering team shall participate in monthly partnering evaluation surveys to measure progress on mutual goals and shortterm key issues as they arise hold a contract closeout partnering session, and document lessons learned before contract acceptance.

685.03.04 Partnering Dispute Resolution. The Department encourages the partnering team to exhaust the use of partnering in dispute resolution and the use of the escalation ladder for dispute resolution.

Whenever a dispute can not be resolved by the use of the partnering process, the provisions of Subsection 105.17 will remain in effect except the notification required under Subsection 104.02 will be satisfied by the completion of the "Conflict Resolution Form."

BASIS OF PAYMENT

685.05.01 Payment. The costs for providing the Partnering Facilitator, Partnering Trainer, and Workshop Sites will be borne by the Department. The Contractor shall pay all initial costs incurred. The Department will reimburse the Contractor all of the costs as evidenced by copies of invoices from the Facilitator, Trainer, and Workshop Site provider. Markup or profit added to invoices will not be allowed. All other costs associated with Partnering shall be borne separately by the party incurring the cost.

Payment will be made under:

Pay Item	**Pay Unit**
Partnering	Force Account

Appendix B

List of Recommended Training Topics

1. Building Teams
2. Change Management
3. Communication
4. Conflict Resolution
5. Cultural Diversity
6. Dealing with Difficult People
7. Decision Making
8. Ethics
9. Facilitation Skills
10. Leadership
11. Partnering Process and Concepts
12. Project Management
13. Project Organization
14. Problem Solving
15. Running Effective Meetings
16. Time Management
17. Win-Win Negotiation
18. Effective Escalation Ladders

Appendix C

Project Partnering Checklist

Prepare for Partnering	Commit to partnering as our way of doing business.	
	Understand the elements of the NDOT Partnering Program.	
	Understand partnering values and the role of the RE and PM.	
	RE make offer to partner. PM accept invitation to partner.	
	Prepare for the pre-construction meeting.	
	Hold the pre-construction meeting.	
Hold the Kick-off Session	Obtain partnering facilitator's services.	
	Hire a trainer (when specified). This may be the partnering facilitator or someone else.	
	Project team attends joint training session on partnering concepts (where specified).	
	Schedule and reserve facility for kick-off partnering workshop.	
	Determine length of partnering workshop, agenda, and attendees list.	
	RE and PM meet prior to partnering workshop to discuss and prepare.	
	Hold the kick-off partnering workshop. Create partnering charter.	
	Commit to not write letters without talking to each other first.	
During the Project	Have project personnel view NDOT partnering video	
	Uphold your commitment to not write letters without talking to each other first.	
	Schedule and hold weekly project meetings.	
	Complete the monthly partnering evaluation survey for the duration of your project.	
	Post and distribute the results from the monthly partnering evaluation survey.	
	Meet to review and discuss survey results – make adjustments as needed. This may take place in weekly project meetings and follow-up partnering sessions.	
	Hold follow-up partnering sessions (quarterly recommended).	
	Schedule and hold team building activities.	
Dispute Resolution	Use the dispute resolution ladder developed in the kick-off partnering workshop.	
Close-out	Hold close-out partnering session. Identify lessons learned.	
	Nominate your project for the NDOT and AGC *Excellence in Partnering* Awards, that recognizes completed projects state-wide.	

Appendix D

Outline of Different Types of Partnering

Project Partnering
• Among and between public and private entities (NDOT and Contractor), governed by a Buyer-Seller contract.

Why Build a Project Partnership?
• Timely issue resolution results in decreased project delays
• Reduce labor disputes, claims and litigation
• Projects completed ahead of schedule and under budget
• Improved relationships with customers and suppliers

Public Partnering
• Among and between NDOT, other state, local and federal agencies, communities, and non-governmental stakeholders.

Why Build a Public Partnership?
• Multi-state partnerships and agreements
• Cooperation of multiple jurisdictions
• Coordinates efforts of a variety of agencies
• New funding arrangements
• Improved relations with the public

Internal Partnering
• Among and between members and work units of the same organization.

a. Short Term Partnerships are projects that have a finite, defined ending date.
b. Long Term Partnerships are strategic and build a foundation for ongoing, long-term partnerships.

Why Build an Internal Partnership?
• Shared information and resources
• Streamlines procedures and processes
• Eliminate duplicate systems
• Effective program expansion
• Collaborative ongoing relationships

Appendix E

Sample Agenda for Initial Partnering Session

7:30 a.m.	Breakfast
8:00 a.m.	Introductions
	Why Partner? What's In It For Us? What Partnering is NOT! What Are the Key Project Goals?
10:00 a.m.	Break
	What are the Assets and Opportunities for this Project? What Are the Challenges For This Project and Proposed Solutions? Team Commitment to Goals. Signature of Charter by Stakeholders Establishing Key Project Measurements Monitoring and Evaluation: How to Stay on Track
Noon	Lunch
	Handling Issues and Disputes on the Project Issue Resolution Ladder How To Turn This Project Into a Partnering Success Showcase Next Step – Schedule Follow-up Sessions Partnering Session Evaluation
3:30 p.m.	Adjourn

Appendix F

Sample Agenda for Follow-Up Partnering Session

1:00 p.m.	Review of Project Partnering Goals and Performance What is Working Well? What Are the Key Issues and Recommended Solutions? Next Steps – Summary of Action Items
4:00 p.m.	Adjourn

Appendix G

Sample Evaluation for Initial Partnering Workshop

Date: _____

Instructions
Please grade the aspects of this partnering session on scale where

4 = **A** (Strongly agree) and 0 = **F** (Strongly disagree)

Choose n/a if you feel the statement is not applicable.

Your feedback is sincerely appreciated, and will help improve future Partnering efforts.

Thank you.

		A	B	C	D	F
Content		N/A				
1.	**Content** of this Session met my expectations.	4	3	2	10	n/a
2.	This Session was **relevant** to my job.	4	3	2	10	n/a
Session Design						
3.	Participant **materials**, handouts, etc. were effective.	4	3	2	10	n/a
4.	The way the Session was **delivered** (such as overheads, computer, video) met my needs.	4	3	2	10	n/a
Facilitator						
5.	The Facilitator was well **prepared**.	4	3	2	10	n/a
6.	The Facilitator was **skilled** in delivery.	4	3	2	10	n/a
7.	The Facilitator was **knowledgeable** in the subject matter.	4	3	2	10	n/a
Setting						
8.	The Session **environment** was comfortable.	4	3	2	10	n/a
Results						
9.	This Session was a **worthwhile** investment of my time.	4	3	2	10	n/a
10.	I would **recommend** this Facilitator to others.	4	3	2	10	n/a
Overall						
11.	Overall, I would grade this session.	4	3	2	10	n/a

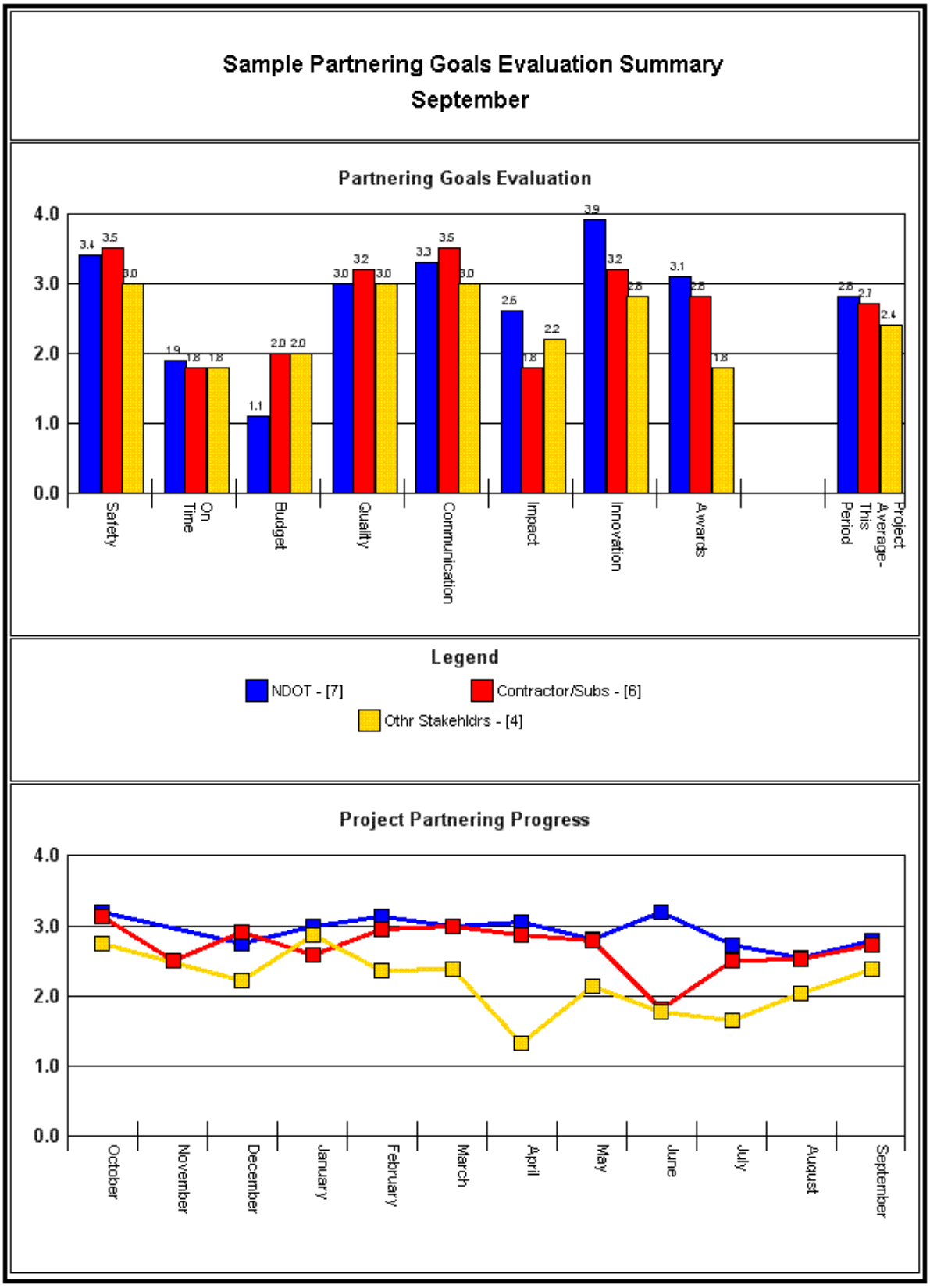
The *MOST* Valuable Part of this Session Was:

General Comments Regarding the Session:

Name (Optional): _____

Appendix H

SAMPLE MONTHLY GOALS FEEDBACK SURVEY						
EVALUATION RATING *Measuring Scale: 'A' to 'F' with 'A' indicating your highest level of satisfaction.* Please provide suggestions for improvement whenever a score is at or below a 'B'.						
You Are ***(Required)***: O Owner O Contractor O Stakeholders						
	GOAL	**A**	**B**	**C**	**D**	**F**
1	**Safety**	Proactively Addressing Safety; No Injuries; Positive Safety Reviews	Safety Issues Resolved; No Injuries; Good Safety Reviews	Reactively Addressing Safety; Small Injuries; Average Safety Reviews	Safety Issues Unresolved; Moderate Injuries; Poor Safety Reviews	Safety Issues Unresolved; Serious Injuries; Violations and Citations Issued
2	**On Time**	Ahead of Schedule; No Delays	On Schedule; No Delays	Slightly Behind Schedule; Minor Delays	Behind Schedule; Significant Delays	Significantly Behind Schedule; Major Delays
3	**Within Budget**	Under Contract Budget; No Change Orders	Within Contract Budget; Minimal Change Orders	Reasonably Over Contract Budget; Moderate Change Orders	Significantly Over Contract Budget; Excessive Change Orders	Project Financial Failure Overrun of Change Orders
4	**Quality Project**	No Rework; Exceeds Specs; Award-winning Project	No Rework; Meets Specs; Good Project	Minor Rework; Non-conformance Issues; Average Project	Major Rework; Significant Non-conformance; Below Average Project	Extreme Rework; Substandard; Unacceptable Project
5	**Good Communication**	Respectful and Proactive Communication; Issues Fully Resolved	Respectful Communication; Issues Mostly Resolved	Minimally Acceptable Communication; Some Unresolved Issues	Untimely Communication; Significant Unresolved Issues	Communication Impasse; Personal Issues and Conflicts
6	**Minimize Public Impact**	Positive Perception; No Complaints; No Mitigation Needed; Positive Media	Minor Complaints; Complaint Resolution in 24 Hours; Mitigate Cause; No Media	Moderate Complaints; Complaint Resolution in 48 Hours; Some Mitigation; Negative Media	Many Complaints; Complaint Resolution in One Week; Issues Unresolved; Negative Media	Severe Complaints; No Complaint Resolution; Issues Unresolved; Strong Negative Media


Sample Partnering Goals Evaluation Summary
September
Partnering Goals Evaluation
4.0
3.0
2.0
1.0
0.0
3.4
3.5
3.0
1.9
1.8
1.8
1.1
2.0
2.0
3.0
3.2
3.0
3.3
3.5
3.0
2.6
1.8
2.2
3.9
3.2
2.8
3.1
2.8
1.8
2.8
2.7
2.4
Safety
On Time
Budget
Quality
Communication
Impact
Innovation
Awards
Project Average-This Period
Legend
NDOT - [7]
Contractor/Subs - [6]
Othr Stakehldrs - [4]
Project Partnering Progress
4.0
3.0
2.0
1.0
0.0
October
November
December
January
February
March
April
May
June
July
August
September

Appendix I

Sample Project Partnering Checklist

This check list is designed to help you in planning your Partnering Session. Please pass it on to your Meeting planner. Feel free to call us if we can answer any questions.

Session Meeting Room
Meeting rooms are available at hotels, restaurants, conference centers. The Partnering Session can be held in any appropriate facility (the Chamber of Commerce in the area where the meeting is to be held can greatly assist you in finding potential facilities). It is best if the Session is held at a neutral site, away from day-to-day interruptions. This is a working session and requires more space than a hotel would normally allow for the number of participants; approximately 1000 square feet for 10-25 attendees.

You can expect to pay a room rental fee at most hotels and conference centers. (It is sometimes possible to have the fee waived if you mention that you are not accustomed to paying a fee when you are being served a meal in the room.) Most arrangements in hotels, conference centers, and some restaurants are made through their catering or sales department.

You should send a “notice of meeting” or invitations to each of the attendees 2-4 weeks in advance of the Partnering Session. Ask them to send an RSVP within seven days. If you are not sending invitations to all parties’ attendees, you should confirm with the other parties that their attendees have been notified. After confirming attendance, a list of the attendees, including company/agency and title, needs to be forwarded to the facilitator (this allows place cards and sign-in sheets to be made).

Refreshments and Meals
Every Partnering Session should include sufficient during-session refreshments (such as water, soda, ice tea, fruit and cookies,) available throughout the Session. Partnering Sessions that include the hours between 7:00 am and 9:00 am include a continental breakfast one-half hour before the start of the Session. Partnering Sessions that include the hours between 11:00 am and 1:00 pm include lunch served at 12:00 noon. Finally, Partnering Sessions that include the hours between 4:00 pm and 7:00 pm include a dinner served at 5:00 pm with a dessert served thereafter. Specific meal details should be coordinated with your facility, catering service or sales department and your Partnering Session Facilitator.

Room Setup
The room setup is very important to the success of the Partnering Session. A schematic of the suggested setup for our Partnering Session is attached. It should be sent to the person in charge of the facility.

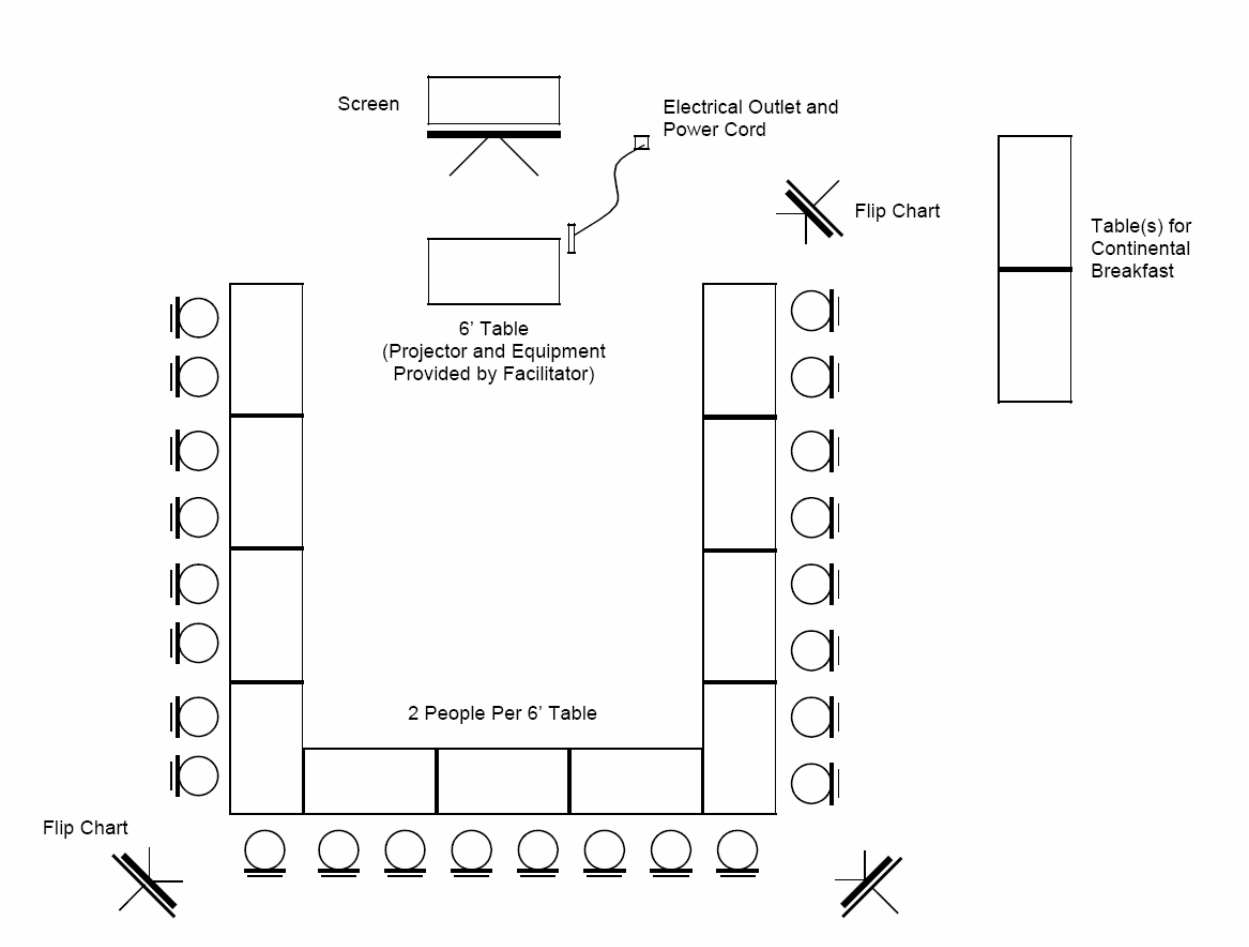
Audio Visual
A screen, one flip chart with easel for each group of 8 participants, one flip for the facilitator, as well as markers for each group, will be needed at the Session location.

Overnight Accommodations
If overnight accommodations are required by any participants, you can book a block of rooms, usually at a negotiated special group rate. If a government entity is one of the parties in your Partnering Session, special government rates may be available to you. If you do book a block of rooms, you are not responsible for paying for those attending unless you specifically tell the sales department. Those in the Partnering Session can be made aware that rooms are available in a block for the Session and that they should call and reserve their own room. The hotel will release any rooms not booked by an agreed upon date.

Paying the Bill
If there is time, you can request that a corporate account be setup, and upon the conclusion of the Session you will be billed. You may also designate someone to pay by credit card or check upon the Session conclusion.

- ☐ Facility selected
- ☐ Invitations sent to participants notifying them of Session location and time
- ☐ Corporate account setup or arrangements made to pay by credit card or check
- ☐ Room schematic sent to meeting planner [See Session Diagram]
- ☐ Arrangement agreed to by facility
- ☐ Minimum 1000 square feet available
- ☐ Electrical outlets/extension cord available for computer and overhead
- ☐ Meal / Snack Arrangements [See Session Diagram]
- ☐ During-session snacks and drinks arrangements made (All Sessions)
- ☐ Continental breakfast arrangements made (7:30 am)
- ☐ Lunch arrangements made (12:00 noon)
- ☐ Dinner and dessert arrangements made (5:00 pm)
- ☐ Screen for projector [See Session Diagram]
- ☐ Flip charts and easels (1 per group of 8 participants+ 1 for facilitator) [See Session Diagram]
- ☐ Markers and masking tape
- ☐ Rooms blocked for overnight participants
- ☐ List of attendees forwarded to facilitator

Sample Partnering Session Room Setup Diagram



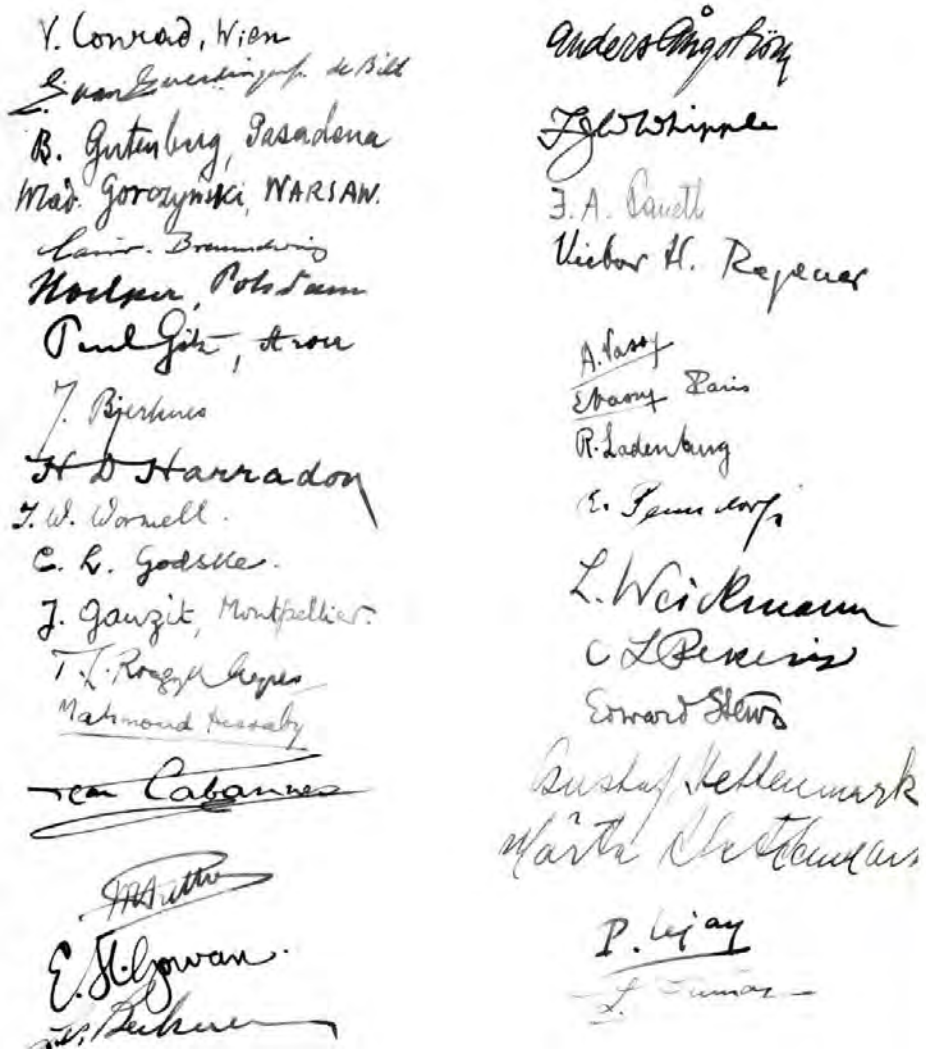
Appendix J

Sample Partnering Charter

NEVADA DOT | Contractor/ Subs | Other Stakeholder

We, the Members of the Project Team,
Commit to Achieving the Following Goals:

- ☐ Safety
- ☐ On Time
- ☐ Within Budget
- ☐ Quality Project
- ☐ Effective Communication
- ☐ Environmental Compliance
- ☐ Minimal Public Impact



Appendix K

NDOT and Industry Liaison Committee	
Name	**Organization**
Susan Martinovich	NDOT – Director
Scott Rawlins	NDOT – Deputy Director
Rudy Malfabon	NDOT – Deputy Director Las Vegas
Rick Nelson	NDOT – Assistant Director, Operations
Kent Cooper	NDOT – Assistant Director Engineering
Reid Kaiser	NDOT – Chief Materials Engineer
Mary Martini	NDOT – District 1 Engineer
Thor Dyson	NDOT – District 2 Engineer
Kevin Lee	NDOT – District 3 Engineer
Jeff Shapiro	NDOT – Construction Engineer
Sharon Foerschler	NDOT – Assistant Construction Engineer
Bill Hoffman	NDOT – Maintenance Engineer
Gary Selmi	NDOT – Construction Engineer (Retired)
Todd Montgomery	NDOT – Assistant Construction Engineer
John Madole	AGC Nevada Chapter
Craig Holt	Sierra Nevada Construction, Inc.
Gary Janco	C.C. Myers, Inc.
Jim Austin	Frehner Construction
Mike Douglas	Q&D
Rich Buenting	Road and Highway Builders, LLC
Rod Cooper	Granite Construction
Scott Hiatt	A & K Earthmovers
Bill Wellman	Las Vegas Paving
Sam Hassoun	Global Leadership Alliance, Inc.