



CALIFORNIA DEPARTMENT OF WATER RESOURCES

COLLABORATIVE PARTNERING PROGRAM

**FIELD GUIDE
FOR
CONSTRUCTION PROJECTS**

[Engineering and Construction Program](#)

April 2020

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Acronyms and Abbreviations

CPP	Collaborative Partnering Program
DWR	California Department of Water Resources
PM	Contractor’s Project Manager
PSC	Partnering Steering Committee

1.0 Introduction

Commitment to Partner

The California Department of Water Resources (DWR) is committed to applying collaborative partnering principles on every project it performs.

Partnering is an important part of DWR's engaged collaboration in working with its construction contractors on all projects to achieve common goals and objectives. DWR's 2018 Strategic Plan includes goals and values focused on partnering, including the utilization of strategic partnerships and clear statements that DWR values its partnerships with private entities and stakeholders.

As a necessary and critical step towards achievement of these goals, DWR has implemented the Collaborative Partnering Program (CPP). CTG-04, the Division's internal Partnering Policy, documents the key principles and processes of the CPP. This *Collaborative Partnering Program Field Guide for Construction Projects* is intended to serve as a reference tool for CPP participants, which includes DWR and its industry partners. This field guide will also serve as an orientation and training tool.

What is Partnering?

DWR defines partnering as "a relationship involving two or more parties that promotes open communication, trust, and teamwork." Partnering focuses on bringing together a design and construction team regularly throughout the life of a project, with the intention of creating opportunities for communication, improved strategy, and issue resolution. Partnered teams unify around a shared objective of successful project delivery. A key aspect of partnering is recognition that successful partnering can lead to mutually beneficial project outcomes.

Partnering does not, however, replace the rights assigned to each party in the contract with respect to disputes. Both DWR and its contractors still maintain their contractually assigned rights, including the right to proceed with formal dispute resolution proceedings should partnering efforts prove unsuccessful.

Facilitated partnering is required on all DWR construction projects awarded above \$5 million in contract value and at least 100 working days. For projects less than \$5 million or less than 100 working days, facilitated partnering is not required; however, DWR and its contractor may mutually agree to do so based on project complexity, criticality, or risk. Regardless, DWR's intent is to apply partnering principles to all construction projects. Specification Section 01300, Partnering, [Appendix A](#), shall be included in the contract documents of all projects that meet the criteria for facilitated partnering.

Partnering Values and Objectives

Projects are considered successful if they are built safely, on or ahead of schedule, within or below budget, and meet the quality and scope desired by DWR. Projects that meet this criterion are often completed with few disputes and claims, which reduce the overall construction time and cost, and generally produce a higher level of job satisfaction for the project team members. Developing and incorporating partnering into delivery of construction projects will increase the likelihood of success. In addition, minimizing construction disputes can save owners and contractors significant amounts of money, time, and attention that could be otherwise spent more productively.

The CPP's objectives are to create the conditions necessary for all parties to succeed, including

enhanced communication, better working relationships, and mitigation and prompt resolution of disputes when necessary. The CPP is intended to create the conditions necessary for all parties to succeed and provide tools that allow both DWR and its industry partners to focus on teamwork to successfully deliver projects.

Partnering reinforces collaboration efforts to successfully resolve disputes and avoid legal actions. As discussed above, partnering does not modify or replace contractually assigned rights and responsibilities for either DWR or its industry partners.

Role of the DWR Engineer and Contractor's Project Manager

The key partnering relationship on most projects will be the working relationship between DWR's engineer (Engineer) and the contractor's project manager (PM). As the day-to-day leaders of their respective teams, the Engineer and PM exercise enormous influence over the execution of the project and determine the success of the relationship between DWR and its industry partner.

The Engineer and PM will be responsible for ensuring that both subordinates and superiors respect partnering principles. These participants will need to creatively manage up and down the chain of command to ensure that partnering is practiced at all levels. Other agencies have likened the role of the Engineer and PM to that of linking pins that hold together the relationship between their respective organizations, ensuring that the overall effort does not pull apart.

Tangible examples of this collaboration can include:

- Selecting and supporting the partnering facilitator and defining the role and responsibilities of the facilitator.
- Ensuring that field interactions between inspectors and foreman are respectful and productive.
- Ensuring that interactions between junior DWR engineers and their contractor counterparts are driven by what is best for the project.
- Balancing the interests of other involved parties (public agencies, end-users, operations and maintenance staff, designers, subcontractors, and suppliers) and ensuring that each voice is represented.
- Ensuring that executive leadership approaches each issue with a solution-first mindset, seeking to resolve disputes productively instead of posturing for a perceived strategic advantage in a threatened legal battle.

Partnering Steering Committee

The CPP will be governed by the Partnering Steering Committee (PSC). The PSC is sponsored by senior-level DWR executive leadership and led and staffed by a combination of DWR employees and industry representatives. The PSC will meet at regular intervals with the agenda to be determined by PSC leadership.

The PSC has developed this field guide and incorporated ideas discussed during the PSC meetings. The PSC will periodically review and update its charter and partnering policies, as well as continually update this field guide to ensure that it accurately reflects DWR's intentions.

Performance Measures

DWR will assist the PSC in evaluating the success of the CPP by tracking safety, schedule, budget, permit compliance and claims on partnered projects, and will ensure that all projects meeting the formal facilitated partnering criteria will include the Partnering Specification in the contract documents. The data collected will be analyzed for pertinent trends and presented to the PSC at least once a year.

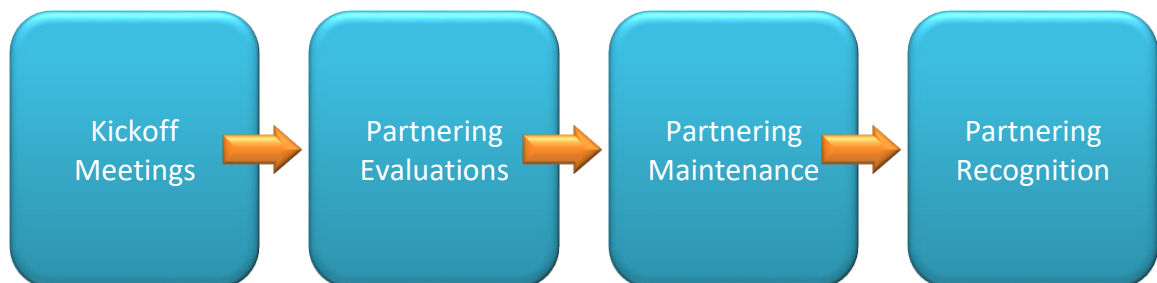
2.0 Overview of Partnering Process

In terms of tangible, executable processes, partnering generally consists of the following four steps:

1. **Kickoff Meetings.** The preparations and management of the initial partnering workshop is a key step to establishing the tone of the working relationship between DWR and its contractor partner. To the extent possible, all potentially controversial issues should be discussed beforehand between the Engineer and PM to minimize the potential for a needlessly contentious kickoff workshop. Partnering goals and a dispute resolution ladder should be established during this initial step.
2. **Partnering Maintenance.** Partnering maintenance is necessary to preserve and build on a healthy working relationship. Regularly scheduled meetings and quarterly workshops where parties can raise concerns and work together to find equitable solutions are a useful way of allowing project participants to discuss issues in a productive environment free from acrimony and defensiveness.
3. **Partnering Evaluations.** Regular evaluations of the partnering process should be held as the project progresses. These evaluations are a useful tool and can often provide early signs that the working relationship is breaking down. If the early signs indicate the working relationship is breaking down, the Engineer and PM should act immediately to address the concern.
4. **Partnering Recognition.** Throughout each phase of a project, participants should acknowledge successful partnering efforts, including meeting key interim milestones. Recognition also should be considered for smoothly operating processes, especially those running in the background, that help all parties achieve project goals. Once the project is complete, and if the partnering process proves successful, participants should consider pursuing recognition of their accomplishments through an award process. Currently, there are few industry-recognized awards for partnering. DWR may create a DWR-specific award recognition program in the future.

Partnering Flowchart

The flowchart below shows DWR’s four-step partnering process. See [Appendix B](#), Partnering Checklist for a reminder of the tasks to be completed in each step of the process.



3.0 Dispute Resolution System

A key element of DWR’s partnering process is formalizing the dispute resolution system. Disagreements are inevitable on any project. Providing a framework for the parties to work through these disagreements is designed to help minimize conflicts and keep participants focused on reaching equitable solutions that help move the project forward. Providing participants with a structured process to sort out disagreements — a dispute resolution system — helps to depersonalize the dispute and keep minds focused on solutions.

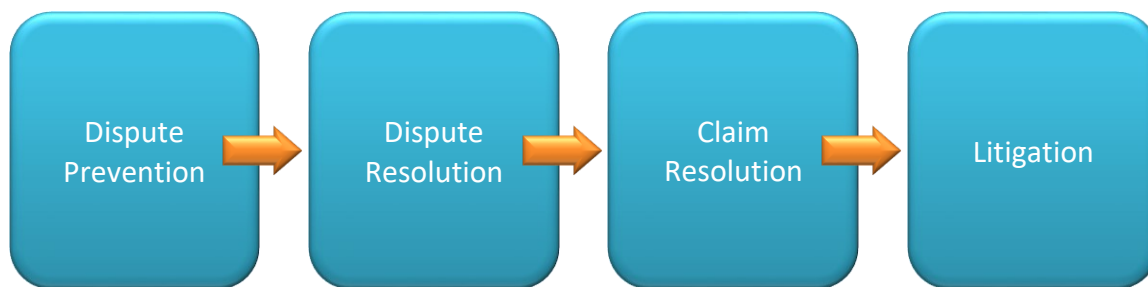
Definitions

In terms of tangible, executable processes, dispute resolution systems generally consist of the four components listed below. Each project will be different, however, and the information below should be used in consultation with legal counsel.

1. **Dispute Prevention.** Prevention of disputes begins with the very principles that partnering seeks to encourage. As parties share information, ideas, and solutions, they will build trust, make project successful project delivery more likely, and seek outcomes that benefit all participants. Prevention of disputes will be a natural outgrowth of successful partnering as participants seek to benefit the project.
2. **Dispute Resolution.** During the project, participants should strive to resolve disputes at the lowest possible level. Dispute resolution ladders, such as the sample presented in [Appendix C](#), should be utilized to allow participants to seek resolution with the appropriate counterpart.
3. **Claim Resolution.** If disputes cannot be resolved informally via negotiation, the participants may pursue formal claims. These claims may be resolved via mediation or early neutral evaluation, depending upon the contract requirements.
4. **Litigation.** As a last resort, formal litigation (including arbitration) may be pursued to resolve intractable disputes.

Dispute Resolution Flowchart

The flowchart below outlines the Dispute Resolution System in broad terms.



Mutual Cooperation

DWR and the contractor acknowledge that mutual understanding and cooperation are vital for avoiding and resolving disputes. To the fullest extent possible, while maintaining all contractual rights and responsibilities, DWR and the contractor should cooperate to resolve disputes; this effort should include the mutual exchange of information, including full disclosure of all facts involved in the dispute, and the sharing of consultant reports and findings, job cost reports, and financial records.

4.0 Preparing to Partner

Pre-bid Decisions

When preparing a contract for a large and complex project, CPP requirements will be included in the bid documents to establish partnering processes from the very start of the project. When determined necessary, a separate partnering line item will be included in the bid form.

For projects without formal partnering requirements, the principles of partnering as described in this field guide and appendices will still be practiced. Communication plans, dispute resolution methods, and other aspects of partnering practices should be incorporated into the project and discussed at the preconstruction meeting.

Post-Award Actions

Upon selection of a successful bidder and award of a contract, DWR should initiate a partnering kickoff workshop within 30 days of Notice to Begin Work.

Selecting a Facilitator

The Engineer and PM will select a mutually agreed upon facilitator, who can build trustworthy relationships with all major parties. The facilitator must disclose any potential conflicts of interest prior to selection.

Ideally, the chosen facilitator will have proven experience with DWR (or another California State agency) or the contractor, as well as experience with the particular project type under construction. In the initial stages of DWR's CPP, finding facilitators with past DWR experience may not be possible; for this reason, facilitators with other comparable State agency experience should be sought.

Training and Skills Development

Because partnering is the way forward for DWR and its construction contractors, it is incumbent upon all participants, including DWR and non-DWR personnel, to learn partnering principles and to follow the practices and processes detailed in this field guide. DWR will provide training for its employees and for industry representatives involved with DWR's construction projects.

Training for all participants begins with becoming familiar with this field guide, partnering specifications in the contract, and policy. Further training for DWR's representatives and the contractors' staffs will be conducted as part of the kickoff workshop, which will include topics chosen by the Engineer and PM that are based on general partnering principles and good practices. Additional training should be incorporated into the quarterly workshops. Topics for those workshops should be subject matter related to help resolve any specific issues the teams may experience.

Participants in all DWR projects are expected to follow general partnering principles including:

- Timely and regular communication with all parties
- Shared trust, commitment, and teamwork
- Support of mutual project goals
- Accepted risk management concepts
- Timely decision-making
- Problem and dispute resolution at the lowest level
- Partnering tools and techniques, as appropriate

Potential topics for developing partnering techniques include:

- Partnering process and concepts
- Mutual goals development
- Team building
- Effective communication
- Active listening
- Decision-making
- Conflict resolution
- Cultural diversity training
- Dealing with difficult people
- Effective escalation ladders
- Emotional intelligence
- Empathy
- Ethics
- Facilitation skills
- Leadership
- Project management
- Project organization
- Problem-solving
- Running effective meetings
- Time management
- Win-Win negotiation
- Change management

5.0 Conducting the Kickoff Workshop

Planning the Workshop

The kickoff workshop is an important part of the partnering process. The workshop will serve as an opportunity for many project participants to meet each other for the first time and will help set the tone for conducting partnering relationships.

Kickoff workshop attendance is key to the success of the CPP. Attendance by the Engineer, PM, and facilitator is mandatory; other participants should be agreed upon by the Engineer and PM, with input from the facilitator if necessary.

Other attendees typically include:

- Senior leadership from both DWR and the contractor.
- Key subcontractors or suppliers, especially those with significant percentages of the overall contract.
- Key designers and those responsible for construction administration activities.
- Representatives of other public agencies, utilities, or other third parties responsible for providing permits, approvals, or coordinated work on the project.

Once a participant list is determined, the Engineer and PM should schedule a meeting date far enough in advance to accommodate all invited participants. Preparation for the kickoff workshop is important, and the Engineer and PM should meet as necessary to discuss any topics that may potentially derail discussions at the workshop.

Workshop Handouts

A kickoff workshop agenda should be distributed approximately one week before the date of the workshop to allow participants adequate time to prepare. The Engineer and PM should produce an agenda and schedule that allows adequate discussion time for all topics.

The workshop results should be appropriately documented. At a minimum, minutes from the kickoff workshop should be created, circulated, edited for comment input, and distributed to chronicle the discussions held. Depending on participant input, additional documentation may be prudent to record any significant agreements reached during the partnering process. Agreements that significantly impact project cost, time, or quality should be recorded and distributed.

Role of the Facilitator

With any DWR CPP, the Engineer and PM play key roles. As leaders of their respective organizations, these two individuals are responsible for ensuring that the CPP is a success.

The partnering facilitator, while often closely identified with the CPP, is better defined as a key supporter and behind-the-scenes assistant to the Engineer and PM. The facilitator should occupy the role of a neutral party who takes the lead only when the Engineer and PM need assistance in reaching solutions. When these situations

are resolved, the facilitator should resume a supporting position, unless called on again to help resolve conflicts.

Administratively, the facilitator will provide support to the Engineer and PM for scheduling meeting logistics, preparing meeting agendas and minutes, managing meetings, and administering monthly partnering surveys.

Role of the Participants

Workshop attendees should be encouraged to actively participate, especially in the risk identification and mitigation portion sessions. At this early stage in the project, information about the project will be relatively compartmentalized, and a significant number of participants likely will be unaware of major risks that could threaten project success. Thus, all risks should be shared as early as possible so that possible mitigation measures can be discussed and agreed to during this initial stage in the CPP process. These discussions, however, are not meant to, nor will they serve to, shift, or affect the legal or contractual responsibilities and obligations for the identified risks or the duty to mitigate such risks.

Outcomes from the Workshop

The kickoff workshop will result in seven key outcomes, listed below.

1. **Project-specific Partnering Charter.** Each project is unique. This uniqueness should be reflected in a partnering charter that identifies specific individuals, actions, and strategies that DWR and the contractor agree to take to help build the relationship. See [Appendix D](#) for a sample Project Charter / Partnering Agreement.
2. **Mutual Project Goals.** DWR and the contractor should spend time discussing mutual project goals. While each party may have individual financial goals, both parties should identify goals that are mutually beneficial and help achieve project success. These mutual goals may include project completion within a certain time frame, avoiding serious accidents or incidents, and keeping the overall project cost under an agreed amount. The goals should be discussed in an open environment so that each party understands the perspective of the other. However, each party should remember that its goals should not come at the expense of any other party.
3. **Dispute Resolution Ladder.** The partnering team will develop a dispute resolution plan as another element of the partnering charter. The dispute resolution plan establishes a process for elevating disagreements through to executive management. This plan will include a dispute resolution ladder for each specific project team. The process starts at the lowest level possible for each organization and proceeds up through the hierarchy of both organizations until the dispute is resolved. See [Appendix C](#) Dispute Resolution Ladder
4. **Key Issues and Proposed Mitigation Strategies.** Identifying key issues and mitigation strategies is the key aspect of the kickoff workshop. The project will benefit greatly from an open, detailed discussion of the potential risks and mitigation measures. DWR and the contractor each will bring different perspectives to each identified risk and provide each other with valuable insight into how each party can help mitigate risks for the overall benefit of the project.
5. **Monthly Partnering Evaluation.** A partnering role between parties must continuously maintain its relevance to be effective. Monthly evaluations are a great way to help the Engineer, PM, and facilitator keep their fingers on the pulse of the relationship. Monthly

surveys will act as a leading indicator of potential future conflicts and can prove a powerful tool for preventing future problems, so long as they are monitored with care to gauge project status. See [Appendix E](#) Sample Monthly Survey Form

6. **Evaluation of the Partnering Facilitator.** As leader of the partnering effort, the facilitator occupies a key role in ensuring that the project remains on track. The kickoff workshop is the first “public performance” for the facilitator; if the facilitator does not perform adequately, the Engineer and PM should seek a replacement as soon as possible to ensure the overall health of the project. See [Appendix F](#) Sample Facilitator Evaluation Form
7. **Communication Plan.** In addition to formal communications described in the contract, other methods of communications should be discussed and established.

6.0 Keeping Partnering Going

Weekly Meetings

Weekly meetings between DWR and the contractor take place on most DWR projects. For projects with a formal facilitated partnering program, the meetings are a useful way to keep the momentum of partnering moving forward. Separate partnering meetings can be held if the Engineer and PM find them useful, with agendas created to address key issues as they arise.

On projects without formal facilitated partnering, the weekly meetings often are the only regularly scheduled meeting between the Engineer and PM. These meetings, while already useful, can be expanded to include discussion of partnering-related issues, including the discussion on current project issues, use of dispute resolution ladders, and ad-hoc surveys of project team members to gauge the worker temperament on the project. See [Appendix G](#) Sample Weekly Meeting Agenda

Monthly Evaluation Surveys

Monthly evaluation surveys often provide an early warning sign that the relationship could be improved. When properly conducted, these anonymous evaluation surveys provide the Engineer, PM, and facilitator with insight on how project participants are working together. When participants begin to signal dissatisfaction with other parties and the conduct of the project, the Engineer and PM need to step in and rectify the situation.

Quarterly Workshops

On facilitated projects, participants will hold quarterly workshops to address larger issues and refocus the team on established goals. Revisiting established project goals and reminding participants of their commitment to partner can help reset contentious relationships in a productive way. Additional training should be incorporated into the quarterly workshops. These quarterly meetings can be held off site and should be scheduled well in advance to accommodate all key participants. See [Appendix H](#) Sample Partnering Workshop Agenda

Monitoring Mutual Goals

Project participants should periodically monitor stated goals and consider their performance against those goals. Participants not meeting their goals should consider discussing and seeking assistance from other participants during quarterly meetings. In addition, when goals are met through the assistance of others, participants should consider publicly thanking those who make success possible on the project.

Using the Dispute Resolution Ladder

When disputes arise on the project, the Engineer and PM should ensure that the dispute resolution ladder is followed. Rather than elevating every dispute to the project leader level, the Engineer and PM should instill discipline in their respective teams to resolve disputes at appropriate levels before elevating them. While each party may be concerned about the risks inherent in allowing lower-level staff to resolve disputes, they should trust the process and their teams, and allow issues to run through the ladder appropriately.

Partnering Materials

Partnering materials are available to support collaboration efforts between project teams; these materials include training information, templates, forms, and this field guide, which can help serve as a tool for teams to understand the partnering process. For more complicated partnering questions, DWR's partnering manager should be consulted to ensure the CPP is operating at DWR's standards.

Final Partnering Workshop

As the project nears completion, a final partnering workshop should be held. As with other CPP workshops, the meeting agenda should be tailored and specific. The agenda for this final meeting should list all deliverables to result from the workshop.

The project close-out survey rates the level of satisfaction in seven critical project areas: time, cost, quality, safety, public information, team relationships, and dispute resolution. The survey should also explain its numerical scoring system. See [Appendix I](#) Sample Project Close-Out Survey

A constructive lessons-learned discussion should be held and moderated to identify issues and resolutions experienced on the project that will benefit future project teams. For example, major contract changes or innovations that were implemented during the project could be reviewed and summarized by workshop participants. A lessons learned summary should be produced and distributed to team members.

In addition to completing a project close-out survey, workshop participants should complete a facilitator evaluation before the final partnering workshop concludes.

7.0 Celebrating Success

Recognition During Construction

A key motivation factor for effective partnering is recognition for successful partnering efforts. Acknowledging workers for contributing to successful partnering results powerfully reinforces the rewarded behavior and motivates others in a similar way. When possible, team leaders should publicly recognize an individual's successful partnering behavior in the weekly or quarterly meetings. These actions can provide powerful motivation to project team members. Even a simple expression of public gratitude is often enough for individuals to continue positive behaviors and to positively influence the project team.

Post-Construction Awards

While DWR does not have a partnering award program, several other partnering organizations do promote reward programs that recognize successful partnering. These include award programs from the International Partnering Institute and the Marvin Black Award from the Association of General Contractors. Project teams successful in collaborative partnering should consider pursuing these awards in recognition of individual and team-led efforts.

APPENDICES

Appendix A. Partnering Specifications

The specification below is similar to partnering specifications used on other DWR projects and is provided here for reference. Contract-specific partnering specifications will take precedence over this sample.

SECTION 01300 PARTNERING

PART 1 GENERAL

1.01 DESCRIPTION

- A. This section covers the requirements for project partnering. Key personnel from the California Department Water Resources (DWR), Contractor, subcontractors, and others as mutually agreed between DWR and Contractor will participate in the partnering process. Project partnering is intended to draw on the strength of each organization in an effort to achieve a project that minimizes mishaps, conforms to the contract specifications, and stays within budget and on schedule. Except as specified in this section, these partnering provisions do not void, alter, or affect any provisions of the contract between DWR and Contractor or of any other legal or contractual relationships among any of the participants in the partnering process.
- B. Partnering shall include the following:
 - 1. Training in partnering skills
 - 2. Kickoff partnering workshop
 - 3. Quarterly partnering workshops
 - 4. Final partnering workshops
 - 5. Partnering evaluations

1.02 RELATED SECTIONS

- A. Supplementary General Conditions, General Conditions, other Division 1 sections, and Drawings apply to this section.

Not Used

1.03 GENERAL GUIDELINES

- A. The *Collaborative Partnering Program Field Guide for Construction Projects, Department of Water Resources*, California Department of Water Resources, July 2018, is a general guideline for the partnering process under this contract.

1.04 DEFINITIONS

- A. Partnering: A relationship involving two or more parties that promotes open communication, trust, and teamwork.
- B. Partnering Facilitator: The professional individual who assists the project team in developing and maintaining an effective partnering program for the project, including facilitating partnering workshops.
- C. Partnering Trainer: A professional trainer, preferably with construction background and experience, that can provide training in partnering. This individual may be the partnering facilitator.
- D. Partnering Charter: The partnering charter documents 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. The partnering charter includes the following elements: mutual goals, partnering maintenance and close-out plan, dispute resolution plan, and team commitment statement and signatures.
- E. Kickoff Partnering Workshop: This kickoff partnering workshop sets up the partnering commitments and begins the building of a cohesive project team. In this meeting the team will create its partnering charter, identify key project issues, and risk management strategies, and set up its monthly partnering evaluation survey process and structure.
- F. Quarterly Partnering Workshops: These workshops will be held in a regular interval (quarterly is recommended, but teams should meet as often as necessary) to focus on whether the project team has followed through on commitments made, how the project team is meeting the goals, and looking ahead to identify new key issues/risks. The purpose of the follow-up partnering sessions is to promote dispute prevention and team cooperation, but the sessions also may help to refocus project team efforts and resolve disputes.
- G. Final Partnering Workshop: This workshop will be held toward the end of the project to ensure that the project ends well, and team members have opportunity to document the key lessons learned.
- H. Monthly Partnering Evaluation Surveys: An evaluation survey to measure the partnering and project commitments.
- I. Project Close-out Survey: An evaluation survey issued by DWR after contract acceptance. The survey is used to provide final feedback to DWR on project delivery efforts.

PART 2 PRODUCTS

Not Used

PART 3 EXECUTION

3.01 GENERAL

- A. The Engineer will send a written invitation to enter into a partnering relationship after contract approval. The Contractor shall respond within 15 days to accept the invitation and shall request the initial and additional partnering workshops. After the Engineer receives the request, the Contractor and the Engineer shall cooperatively:
 - 1. Select a partnering facilitator that offers the service of a monthly partnering evaluation survey.
 - 2. Schedule the kickoff partnering workshop.

3. Determine the workshop site and duration.
 - a. The kickoff partnering workshop shall have a minimum duration of one day.
 - b. The kickoff partnering workshop shall be at an agreed-upon location but shall not be located at the project site.
 4. Agree to other workshop administrative details.
 5. Schedule quarterly partnering workshops throughout the duration of the project at three-month intervals (or more frequently if needed). The following are general guidelines for the workshops:
 - a. Workshops should not exceed 4 hours.
 - b. Workshops may be held at a location off site, at the project site, or in any DWR or State facility.
 - c. Workshops may be held concurrently with other scheduled meetings.
 - d. Workshops attendees need be only those required to resolve current issues.
 - e. Retain original partnering facilitator for the duration of the project, if feasible.
 6. Schedule the close-out partnering workshop to be held toward the end of the project. Set the date, location, and team expectation to attend this required event.
- B. The Contractor shall provide and host the partnering workshops. This effort includes providing the partnering facilitator, the meeting room (if it is not held in a DWR or State facility), and other incidental items.
1. Participants shall bear their own costs for meals, lodging, and transportation associated with the partnering workshops.
 2. Prior to the partnering workshop, the Contractor shall coordinate with the facilitator all requirements for incidental items (such as audio-visual equipment, easels, flipchart paper, colored markers, note paper, pens/pencils, colored flash cards), and have these items available at the partnering workshop. The Contractor shall also provide copies of relevant documents for distribution to all attendees.
- C. Partnering Facilitator: The partnering facilitator shall be experienced in conducting partnering workshops and shall be acceptable to both the Engineer and the Contractor. The partnering facilitator shall generally attempt to follow the *Caltrans Partnering Facilitator Standards and Expectations* guidebook available at the Caltrans Division of Construction website (http://www.dot.ca.gov/hq/construc/partnering/documents/Partnering_Facilitator_Standards_and_Expectations.pdf).
1. The partnering facilitator is responsible for leading the team in a timely manner and ensuring that issues are identified and resolved.
 2. The partnering facilitator shall be responsible for developing and distributing a monthly partnering evaluation survey. The partnering facilitator shall compile the results and issue the survey report.

3. The partnering facilitator shall be responsible for the orientation of new personnel who join after the kickoff workshop. The facilitator shall provide partnering materials prepared by the team and provide a review of the documents.

3.02 TRAINING IN PARTNERING SKILLS

- A. A training session shall be performed before the kickoff workshop to prepare participants for successful partnering efforts.
 1. Representatives from the Contractor and from DWR shall participate in the skills training. The training session shall include a review of the *Collaborative Partnering Program Field Guide* and the partnering principles described within it.
 2. Topics for the training session shall also include partnering skills development. Topics will be chosen by the Engineer and the Contractor and shall be based on skills required for the project.
 3. This training session shall be at the beginning of and completed prior to the kickoff workshop.
- B. A training session may be performed as part of the quarterly workshop.
 1. Additional training should be incorporated into the quarterly workshops and topics should be based on training needed to resolve any specific issues the teams are experiencing.
 2. The Contractor shall send field supervisory personnel to the workshops including the assigned representative for the project. All participants shall be familiar with this field guide and the principles of partnering.

3.03 PARTNERING IMPLEMENTATION

- A. All participants in a partnering relationship are expected to:
 1. Use early and regular communication with involved parties.
 2. Establish and maintain a relationship of shared trust, equity, and commitment.
 3. Identify, quantify, and support attainment of mutual goals.
 4. Develop strategies for using risk management concepts.
 5. Implement timely communication and decision-making.
 6. Resolve potential problems at the lowest possible level to avoid negative impacts.
 7. Hold periodic partnering meetings and workshops as appropriate to maintain partnering relationships and benefits throughout the duration of the project.
 8. Establish periodic joint evaluations of the partnering process and attainment of mutual goals.
 9. Discuss with and involve all partnering participants.
- B. In implementing project partnering, the project team must:

1. Create a partnering charter that includes the team's agreements on:
 - a. Mutual goals, including core project goals and may also include project-specific goals and mutually supported individual goals.
 - b. Partnering maintenance and close-out plan.
 - c. Dispute resolution plan that includes a dispute resolution ladder.
 - d. Team commitment statement and signatures.
2. Participate in monthly partnering evaluation surveys to measure progress on mutual goals and may also measure short-term key issues as they arise.
3. Incorporate partnering as part of each of the weekly project meetings, including:
 - a. Evaluating how the project is progressing towards achieving goals.
 - b. Resolving outstanding issues.
 - c. Watching for emerging issues.
4. Evaluate the partnering facilitator on the Partnering Facilitator Evaluation forms. The Engineer provides the evaluation forms to the project team and collects the results. Upon request, DWR makes evaluation results available to project participants and other interested parties. Partnering facilitator evaluations must be completed at the end of:
 - a. Kickoff partnering workshop.
 - b. Quarterly partnering workshops.
 - c. Final partnering workshop.
5. Complete the project close-out survey.

3.04 DELIVERABLES

- A. The Contractor shall provide the following required project partnering information to DWR:
 1. Partnering charter.
 2. Monthly partnering evaluation surveys.
 3. Lessons learned summary from the close-out partnering workshop.
 4. Project close-out survey.

PART 4 PAYMENT

4.01 PAYMENT

- A. Contractor is responsible for its staff costs associated with the partnering effort. DWR is

- responsible for its staff costs associated with the partnering effort. Other participants will be responsible for their own staff costs associated with the partnering effort.
- B. DWR will pay Contractor for:
1. One-half of partnering workshops based on facilitator and workshop site cost.
 2. One-half of monthly partnering evaluation survey service cost.
 3. One-half of partnering skills development trainer and training site cost.
 4. One-half of the facilitator's fees related to his or her participation in the workshops and his or her participation in any partnering or dispute resolution meetings.
- C. The Engineer will determine the costs based on invoice prices minus any available or offered discount. DWR will not pay markups on these costs.
- D. DWR will not pay for wages, travel expenses, meals, or other costs associated with the partnering workshops, monthly partnering evaluation surveys, or training in partnering skills development, except as provided in Paragraph 4.01 B.

END OF SECTION

Appendix B. Partnering Checklist

Topic	Task	Complete?
Formation	Commitment to partnering as a way of doing business	
	Integrate partnering into bid, selection, and negotiation process	
	Conduct preconstruction meeting	
Kickoff	Interview and select facilitator	
	Prepare for kickoff workshop	
	Conduct kickoff workshop	
Execution	Hold quarterly refresher meeting	
	Use dispute resolution ladder effectively	
Close out	Conduct close-out meeting	
	Conduct close-out evaluation and lessons learned	
	Consider nominating project for awards	

Appendix C. Sample Dispute Resolution Ladder

Level	DWR	Contractor	Elevation Duration
1	Inspector	Superintendent	1 day
2	Engineer	Project Manager	1 week
3	Construction Branch Chief	Project Executive	1 month
4	Division Chief	President	3 months

Appendix D. Sample Project Charter / Partnering Agreement

Goals

1. Zero accidents
2. Quality met
3. On-time delivery
4. On-budget delivery

Key Risks and Mitigation

1. Availability of labor is a concern.
2. Commitments: Contractor will advertise job to a larger-than-usual labor pool.
3. Delivery of steel.
4. Commitments: DWR and Contractor will visit steel fabricator for meeting by end of the month.

Partnering Maintenance

1. Follow-up meetings to be held quarterly on March 1, June 1, and September 1.
2. Monthly surveys to be completed by all participants.
3. Close-out workshop to be held at job completion.

Commitment and Signatures:

Contractor Name

Contractor Name

DWR

DWR

Appendix E. Sample Monthly Survey Form

Date: _____

Please circle the answer that best matches how the project is performing against each goal.

Project-Specific Goals	Very Poor	Poor	Adequate	Good	Excellent
Safety	The project has a very poor safety record.	The project has a poor safety record.	The project has minimal safety incidents.	The project will have a good safety record.	The project will have a very good safety record.
On Time	The project is expected to finish very late.	The project is expected to finish late.	The project is expected to finish on time.	The project is expected to finish ahead of schedule.	The project is expected to finish far ahead of schedule.
On Budget	The project will finish with large cost overruns.	The project will finish with cost overruns.	The project will finish within budget.	The project will finish with savings.	The project will finish with large savings.
Quality Goals	The project has a very poor-quality record.	The project has a poor-quality record.	The project has minimal quality issues.	The project has a good quality record.	The project has a very good quality record.
Public Information Awareness	The public is very poorly informed.	The public is poorly informed.	The public is adequately informed.	The public is well informed.	The public is very well informed.
Team Interaction	The project team is interacting very poorly.	The project team relationship needs improvement.	The project team is interacting normally.	The project team is interacting well.	The project team is interacting very well.
Partnering Process	Partnering is going very poorly.	Partnering needs improvement.	Partnering is working normally.	Partnering is going well.	Partnering is going very well.

Please list below any opportunities for improvement or issues you feel are not being addressed:

Appendix F. Sample Facilitator Evaluation Form

Project Name: _____

DWR Project Manager Name: _____

Contractor Project Manager Name: _____

Date: _____

Please answer the following questions on a scale of 1–5, where 1 means strongly disagree, 3 means neutral, and 5 means strongly agree.

The facilitator was a neutral party. Answer: _____

The facilitator understood the project, DWR, and the construction industry. Answer: _____

The facilitator encouraged the participation of all parties. Answer: _____

The facilitator effectively encouraged discussion of all necessary risks and mitigation efforts.
Answer: _____

Overall, I felt the facilitator was effective. Answer: _____

Please provide any additional comments below:

Appendix G. Sample Weekly Meeting Agenda

Weekly Partnering Meeting Agenda

1. Introductions and Safety Moment
 2. Cost and Schedule Forecast
 3. Current Issues
 4. Monitoring of Old Issues
 5. Scheduling of Next Meeting
-

Appendix H. Sample Partnering Workshop Agenda

Schedule	Topic
8:00 a.m. – 9:00 a.m.	Introductions Partnering Overview Partnering Commitment
9:00 a.m. – 10:00 a.m.	Discussion of Dispute Resolution Ladder Discussion of Goals Establishment of Measurements
10:00 a.m. – 10:15 a.m.	Break
10:15 a.m. – 11:00 a.m.	Discussion of Risks and Mitigation
11:00 a.m. – 12:00 p.m.	Future Partnering Meetings Evaluation

Appendix I. Sample Project Close-Out Survey

Please rate your satisfaction level for each of the following project areas and provide brief commentary on your answer.

1 – Strongly Dissatisfied

2 – Dissatisfied

3 – Adequate

4 – Satisfied

5 – Extremely Satisfied

1. Time	1	2	3	4	5
Comments:					
2. Cost	1	2	3	4	5
Comments:					
3. Quality	1	2	3	4	5
Comments:					
4. Safety	1	2	3	4	5
Comments:					
5. Public Information	1	2	3	4	5
Comments:					
6. Team Relationship	1	2	3	4	5
Comments:					
7. Dispute Resolution	1	2	3	4	5
Comments:					



CALIFORNIA DEPARTMENT OF WATER RESOURCES

This field guide is provided for both DWR and its contractor partners working at the project level to convey an understanding of DWR's commitment to partnering, to provide a common understanding of partnering roles and responsibilities, and to provide the tools for a successful partnering experience.