Partnering
Our way of doing business

Partnering Facilitator
Standards and Expectations

California Department of Transportation
Division of Construction
2012

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Introduction

Welcome to the California Department of Transportation (Caltrans) Partnering Program. Caltrans has made the concept of "partnering" an available tool for resident engineers and contractors for over twenty years. When the people involved truly adopt the partnering concept, projects are more frequently constructed on time, within budget, and with fewer unresolved disputes at the end. It has also been noted that the assistance of a neutral person can help in the adoption and follow-through of partnering by the construction project personnel. This is the role of the facilitator.

Caltrans developed these *Partnering Facilitator Standards and Expectations* to promote quality and consistency in its statewide partnering program. The facilitator's role in making partnering Caltrans' "way of doing business" is important and can have a significant impact on the success of overall project delivery.

Facilitators have guidelines to follow and submittals to provide and are evaluated against the standards and expectations documented here. Facilitators must also register with the Caltrans Partnering Program (Program) before performing work and may submit a resume as part of that process. In turn, the Program is able to provide a resource from which construction project personnel can find available facilitators and related contact, background, and performance information, upon request. This information sharing helps facilitators in promoting their services to all Caltrans districts statewide and aids project teams in making a more informed selection.

There are a couple of sections at the end of this document, which may be of particular interest. The "Reference Material" section will direct you to Caltrans construction policies and procedures as well as information of other functions available on the Caltrans website. These references may help you as a facilitator to better understand Caltrans construction operations and thus aid in your effectiveness to guide project teams. The "Submittals" section provides details on how to make required Program submittals and where to find needed forms, files, and standard formats. The required submittals help the Program with performance measurement and continuous improvement. Facilitators are in a position to help the Program succeed, improve, and grow by providing this requested data.

Caltrans appreciates the facilitator's efforts in helping project teams work effectively and efficiently together and in promoting an overall culture of partnership. We acknowledge and value the array of styles that different facilitators offer and do not intend these standards and expectations to change your approach.

Registration

Each time you are engaged as the partnering facilitator on a Caltrans project, you must register with the Program. The registration form may be viewed in Appendix A and can be obtained on the Caltrans Partnering Program website at: www.CaltransPartnering.com

Standard:

- Make required Program submittals in the proper format and in a timely manner.

Expectations:

- Required Program submittal: Submit the completed Partnering Facilitator Registration Form to the Program at www.CaltransPartnering.com. Registration must be completed before performing any work.

- Copy the Caltrans resident engineer (RE) and the contractor project manager (PM) of the associated project when submitting the registration form to the Program. This will inform them that this requirement has been fulfilled and the facilitator may begin work.

The first time you register, you are welcome to send a resume for yourself, and if applicable other members of your facilitation team, to the Program. The resume will be kept on file, and there is no need to send another unless you wish to send an updated version.

Field Guide to Partnering on Caltrans Construction Projects

The *Field Guide to Partnering on Caltrans Construction Projects* (Partnering Field Guide) includes details regarding Caltrans' project partnering. It is written as guidance to project leaders, the RE and PM but is for the benefit of all project partnering participants. This document will be a valuable resource to you in understanding Caltrans' overall partnering process on construction projects.

Standards:

- Familiarity with the Partnering Field Guide and the *Partnering Facilitator Standards and Expectations*.

Expectations:

- Perform duties in accordance with the Partnering Field Guide and the *Partnering Facilitator Standards and Expectations*.
- Ensure advice, coaching, and recommendations you make to the RE and PM are in accordance with the Partnering Field Guide.

Familiarity with Caltrans Construction Policies, Procedures, and Specifications

You will be facilitating discussions between people who have technical knowledge in highway engineering and construction methods. Being able to understand their "language," policies, procedures, and typical issues makes you a more effective facilitator.

Expectations:

- Preferred – familiarity with Caltrans construction policies, procedures, specifications and terminology as well as Caltrans project partnering and dispute resolution.
- Alternatively – familiarity with highway construction practices and terminology as well as Caltrans project partnering and dispute resolution.
- Minimum – familiarity with general construction practices and terminology as well as Caltrans project partnering and dispute resolution.

In addition to being familiar with Caltrans standard specifications related to project partnering and dispute resolution, it is recommended that once hired you become familiar with pertinent contract requirements of your specific project. The RE and PM can highlight these when you meet to plan out your partnering kick-off workshop.

Partnering Facilitator Role Compared to Dispute Review Board Role

Your role as a partnering facilitator is to act as a professional neutral focused on helping the team to bond, communicate effectively, build consensus, look ahead, and prevent and resolve disputes. A Dispute Resolution Board (DRB), or a Dispute Resolution Advisor (DRA), is a third party available on some projects to help the team resolve disputes by offering a technical review and recommendation.

In resolving issues or disputes, these roles are distinctly different. The facilitator does not offer technical opinions but rather provides structure and process to help guide the team toward resolving issues and disputes internally. It is not appropriate for a DRB member or DRA to attend partnering workshops, follow-up partnering sessions, or facilitated dispute resolution sessions. Furthermore, obviously the partnering facilitator cannot also be a DRB member or DRA on the same project.

Kick-off Partnering Workshop

The purpose of the kick-off partnering workshop is to initiate teambuilding; set expectations, roles and goals; establish the project-specific partnering process; develop risk/opportunity management strategies; and get buy-in and commitment from the project team. Further details can be found in the Partnering Field Guide.

Standards:

- Understand construction, partnering, and facilitation to ensure that the kick-off partnering workshop engages the necessary parties and forms a solid base on which to build a partnering relationship.
- Understand that the RE and PM are the project team leaders and partnering champions.

Expectations:

- Prior to the workshop:
  - Assist the RE and PM in determining the internal and external project stakeholders, key decision-makers and project personnel to ensure all appropriate individuals are invited. In particular, encourage the PM to invite key subcontractors and the RE to invite designers.
  - Understand the needs of the project team. This may be done by conducting individual phone interviews of team members, managers, and/or executives.
  - Understand what objectives the project team leaders have for the kick-off partnering workshop to ensure their expectations are met.
  - If requested, assist the RE and PM in locating an appropriate facility for the workshop.
- At the workshop:
  - Conduct the typical introductions, icebreakers, teambuilding, project description, and charter development.
  - Assist the team in developing a partnering charter.
  - Assist the team in identifying project risks, opportunities, and key issues, and lead the team in developing risk/opportunity management strategies.
  - Assist the team in setting set up the monthly partnering evaluation survey structure and process. Obtain team members' commitment to complete the survey monthly.
  - Encourage the team members to set a goal for winning a partnering award and to document their process, challenges, and successes along the way to that end.
- Following the workshop:
  - Complete and send session notes and the final partnering charter to team members.
  - Submit the partnering charter to the Program as directed below.

Partnering Charter

The partnering charter, sometimes referred to as a partnering agreement, documents the commitments made by the people involved and is the guiding focus for the project team. Its development establishes the team's vision and commitment to work openly and cooperatively together toward mutual success during the life of the project.

Standards:

- Understand the purpose of a partnering charter as the guiding focus for the project team.
- Understand the charter elements required per standard specification on Caltrans construction projects implementing partnering:
  - Mutual goals
  - Partnering maintenance and close-out plan
  - Dispute resolution plan
  - Commitment statement and signatures
- Make required Program submittals in the proper format and in a timely manner.

Expectations:

- Communicate the charter purpose to the team and foster team ownership of the agreements documented in the charter.
- Assist the team in developing the partnering charter.
- Document and compile all elements of the final partnering charter.
- Required Program submittal: Submit a copy of the final partnering charter as well as any subsequent charter amendments to the Program. Standard partnering charter elements must be included, but no standard format applies. The required charter (or charter amendment) submittal should be made within a month of the agreement date.

Mutual Goals

The partnering charter documents the team's commitment in working openly and cooperatively together to achieve mutual goals during the life of the project. These mutual goals may include core project goals, project-specific goals, and mutually supported individual goals. The core project goals are required. The team is encouraged to also add its own project-specific goals and is allowed if desired to include mutually supported individual goals. The Partnering Field Guide lists the core project goals applicable to all projects and also provides some recommended project-specific goals for consideration. Those are also listed in the table below. The team should define what each of its mutual goals means to the specific project. Help the team to establish objective criteria to define success for each.

Core Project Goals, required:

- Safe
- On Time
- On Budget
- Quality Met

Recommended Project-Specific Goals:

- Environmental Commitments Met
- Disputes Resolved
- Teamwork/Communication
- Partnering Maintenance
- Third Party Coordination
- Public Relations
- Minimize Public Impact
- Having Fun
- Job Satisfaction
- Core team trained in Fundamentals of Partnering
- VECP Development

Standard:

- The mutual goals agreed to and documented in the partnering charter must include the core project goals: safe, on time, on budget, and quality met.

Expectations:

- Encourage and assist the team in developing and adopting project-specific goals. Assist by sharing the recommended project-specific goals shown above.
- Assist the team in defining the criteria of success for all mutual goals. Success toward achieving these mutual goals will be measured in the monthly partnering evaluation surveys.

Partnering Maintenance and Close-out Plan

Partnering maintenance is the process established, documented, and followed by the team to facilitate communication, risk management, team alignment and dispute prevention. Maintenance elements typically include follow-up communication, roles, meetings and process evaluation. The close-out plan portion establishes the expectation and commitment that the team will meet at the end of the project in a close-out partnering workshop to discuss their partnering process and document lessons learned about the project. Details regarding the content and purpose of the maintenance and close-out plan can be found in the Partnering Field Guide.

Standards:

- Understand that regularly scheduled weekly meetings and quarterly follow-up partnering sessions are encouraged by Caltrans.
- Understand that the team is required to participate in the monthly partnering evaluation surveys per standard specification on Caltrans construction projects implementing partnering.
- Understand that the team is required to hold a close-out partnering workshop and submit lessons learned to the Program per standard specification on Caltrans construction projects implementing partnering.

Expectations:

- Lead the team in setting up a weekly meeting schedule, follow-up partnering sessions, the monthly partnering evaluation survey process, and other details required for maintenance of a partnering relationship.
- Assist in establishing team expectations and commitments regarding partnering maintenance and close-out. Details such as schedule, important dates, times, locations, standard agenda items, roles, and logistics may be included.
- Remind the team that the close-out partnering workshop and submittal of lessons learned are required per standard specification on all jobs implementing partnering. Assist the team in developing this expectation and commitment. To this end, assist the team in establishing an appropriate point toward the end of the project, prior to construction contract acceptance (CCA), to hold the close-out partnering workshop.

Dispute Resolution Plan

The dispute resolution plan helps to establish a common understanding of the team process to most efficiently and effectively resolve disputes.

Standards:

- Understand the structure, purpose, and use of a dispute resolution ladder (DRL).
- Understand that the dispute resolution plan of the partnering charter must include a DRL per standard specification.

- Understand the use of facilitation in clarifying and resolving issues and disputes, including facilitated partnering sessions and the more structured facilitated dispute resolution (FDR).
- Understand the Caltrans DRB standard special provisions and Partnering standard specification, which apply to construction contracts valued at over $10 million with greater than 100 working days. The partnering provision allows an extension to the DRB referral time in order to hold a facilitated partnering session or FDR. This provides the project team some extra time to plan and hold a facilitated partnering session or FDR. The maximum of 20 additional referral days may only be used if the intended use is documented in the dispute resolution plan of the partnering charter. If the facilitated session is not held, then the original referral days in the DRB provision apply.

Expectations:

- Assist the team in developing a DRL with names, titles, and target time duration for each rung.
- Encourage the project team to exhaust the use of partnering tools and techniques in dispute resolution before referring disputes to a DRB or DRA. Advise the team to have disputes elevated through all rungs of the DRL before holding a facilitated partnering session or FDR, and to hold a facilitated partnering session or FDR session prior to referring the dispute to a DRB or DRA. Assist the team members in considering how and when they might use facilitated partnering sessions or FDR to resolve disputes and/or clarify issues.
- To encourage the use of a facilitated partnering session or FDR prior to going to a DRB, remind the team of the partnering standard special provision on jobs with DRBs. This provision allows a maximum of 20 additional days to the time allowed to refer an issue to a DRB following the Engineer's written response to a supplemental notice of potential claim.
    - Per this provision additional referral days are only allowed if their intended use is documented in the dispute resolution plan of the partnering charter.
    - Help the team members define their specific terms. For example, the team may agree to use less time than the maximum 20 additional referral days to reflect a shorter duration project.
    - Document any associated criteria to be met that the team agrees upon. For example, the team may want to limit use of additional referral days (or the use of dedicated FDR sessions in general) to disputes over a certain dollar value. Help the team consider various possibilities and develop an agreement that makes sense and benefits the project.
    - Ensure the team understands that, per the contract, if the facilitated session is not held, then the original DRB referral time remains in effect. Reference the project's special provisions under "Partnering" and "DRB" for specific contract requirements.

Weekly Meetings

The practice of holding weekly meetings among contractor and Caltrans field staff is already well-established on most Caltrans jobs. The partnering facilitator is not expected to be present at or involved in these meetings, but during the partnering maintenance plan development, the facilitator should assist in setting up the team agreements of holding and running weekly meetings.

Expectations:

- As part of the partnering maintenance plan development, help the team establish a regular schedule for weekly meetings, determine who will attend, and define the purpose of those meetings.
- Encourage the team to integrate partnering into those already established meetings and to include other stakeholders, such as a key subcontractor or Caltrans designer, when appropriate. Often these meetings are used simply for status, but they are most valuable as a partnering tool if used for planning and coordinating work, sharing and solving issues, and managing risk. Assist the team in developing standard agenda items to be included in weekly meetings that will highlight these areas.
- Assist the team in determining roles and responsibilities regarding reserving meeting rooms, creating agendas, taking notes, documenting action items, and accountability tracking.

Monthly Partnering Evaluation Surveys

The monthly partnering evaluation survey is a powerful tool for providing feedback to the project team staff, managers, and executives and for continuously promoting partnering throughout the life of the project.

Standards:

- Understand that per standard specification the partnering facilitator must offer the service of a monthly partnering evaluation survey with a 5-point rating.
- Understand that the team is required to participate in the monthly partnering evaluation surveys per standard specification on Caltrans construction projects implementing partnering.
- Understand that this survey will measure the mutual goals established in the partnering charter.
- Understand that Caltrans encourages our partnering facilitators to expand their survey service to allow for short-term key risks/issues to be added, edited, or removed quarterly per team agreement.

Expectations:

- Provide a monthly partnering evaluation survey service to the team. This service must include providing reports, monitoring results and offering guidance, advice and interventions, as needed.
- Provide a partnering survey that has a 5-point scale with 1 being worst/lowest and 5 being best/highest. If you prefer, a grading system of A, B, C, D, and F may be used, but scores must be translated into the 1 through 5 scale for required Program submittals. The survey will be used to provide team accountability and to measure progress toward team commitments on mutual goals stated in the partnering charter. The survey may also be used to measure progress on team-defined short-term key risks/issues, which are updated periodically during the life of the project as appropriate.
- Gather contact information of relevant stakeholders and provide reports of survey results to project team staff, managers, and executives.
- Keep informed about the project and analyze the survey results yourself each month. Make contact as needed with the RE, PM, and other team members to discuss poor results or declining trends and what could be done to improve. Advise as you see fit to benefit the team and project outcome.

Submittal of Monthly Survey Participation Levels

The Program has established a "partnering follow-through indicator" to identify project teams that are staying engaged in the partnering process throughout the life of the project. The data used to create this indicator is the monthly partnering survey participation levels to be submitted by partnering facilitators to the Program. This information is used in two ways. First, it allows the Program to give feedback to the districts on how well they are following through with project partnering. Second, it is the basis of our statewide Program performance measures. Various performance measures will be run comparing results between two sets of projects. The first set is projects indicating partnering follow-through, and the second set is all other projects. The Program depends on partnering facilitators to provide the data used for determining comparative performance.

Standard:

- Make required Program submittals in the proper format and in a timely manner.

Expectations:

- Required Program submittal: On a monthly basis, submit the survey participation level to the Program. This submittal consists of two numbers: 1) the number of team members invited to take the partnering evaluation survey and 2) the number that actually completed the survey. The required survey participation level submittal for one month should be completed before the following month's survey invitation is sent out to the team.
- Since partnering follow-through is determined by survey participation levels, it is critical for the facilitator to maintain an accurate contact list of project team members that are invited to take the survey. The project team leaders will be key resources to the facilitator in gathering, updating, and validating the accuracy of this data.
- The facilitator should also maintain a separate contact list of who will receive the survey reports. This may include people such as project executives that are not close enough to the project to justify taking the monthly survey but who benefit from its feedback.

Submittal of Final Survey Results on Core Project Goals

The Program performs periodic program quality reviews. Various project partnering information is collected and analyzed to determine the Program's effectiveness and to better focus marketing and improvement efforts. The Program is able to compile data statewide on the core project goals, because they are the same for all partnered projects.

Standard:

- Make required Program submittals in the proper format and in a timely manner.

Expectations:

- Required Program submittal: Submit final survey results on the core project goals in the standardized final survey core goal scores spreadsheet (see Appendix B). This is not a compilation of all surveys over time; this is simply the results of the very last monthly partnering evaluation survey. A blank version of the standardized spreadsheet is displayed in the appendix. The required final core project goals submittal should be completed prior to construction contract acceptance (CCA). If that date is unclear to you, contact the resident engineer for a target CCA date and verify that date as construction approaches completion.

Follow-Up Partnering Sessions

Quarterly professionally-facilitated follow-up partnering sessions are recommended, especially on larger projects. Alternatives may be preferred and established by the project team in their partnering maintenance plan. Such alternatives may include team leader-facilitated executive partnering sessions with executive management from both parties; construction season kick-off partnering sessions for multi-year jobs; and/or as needed professionally-facilitated partnering sessions based on reaction to the monthly partnering evaluation survey results. This last example is not encouraged, because it is reactive rather than proactive, but some teams prefer this approach. In addition, regularly scheduled and impromptu partnering sessions may also be used for FDR.

Expectations:

- Encourage the team to plan and hold regularly scheduled follow-up sessions.
- If you are asked to facilitate follow-up sessions, work with the RE and PM in planning for the best use of this time based on the current team environment and, of course, mutual agreement among parties. If not already set in advance, advise the team as you see fit to explore variations of regular partnering meetings to include: an executive team session, owner's session, design team session, project team session, stakeholder session, dispute/issue resolution session, team building session, team celebration, or any combination. Variations are not necessary but are subject to the team leader's mutual preferences. A full day session is not required.

General Follow-Through and Connection with Team

As the partnering facilitator, you offer a distinctive, high-level perspective of the project team dynamic. In addition, your experience with other project teams and your professional neutral role make you a unique and valuable resource. It is important that you stay connected to the project team and at a minimum to the project team leaders to help them move forward together and succeed. As mentioned, you will review the monthly partnering evaluation survey results and participation levels as additional methods of keeping informed. Use your judgment and individual style to interject, coach, and advise as appropriate to help foster partnering relationships, clarify and resolve issues, improve effectiveness, and ultimately guide the project team toward success.

The team is encouraged to make course corrections as needed based on interim lessons learned, monthly partnering evaluation survey results, facilitator recommendations, and follow-up partnering session agreements. For example if a team deems it useful later in the project, it may amend the charter's dispute resolution plan to allow additional DRB referral days for planning and holding a facilitated partnering session or FDR. It must be a documented and team-approved amendment in order to meet the criteria of the partnering standard specification. In another instance, the team may simply realize later in the job that it needs more frequent follow-up partnering sessions for adequate partnering maintenance. You should encourage the team to document such a change as a charter amendment for team commitment and especially if the team plans to apply for a partnering award.

Expectations:

- Monitor the on-going progress of the project and make recommendations to the RE and PM as appropriate. Recommendations may include communication coaching, setting-up a FDR, planning an executive partnering session, using the DRL, etc.
- As stated previously, any partnering charter amendments should be submitted to the Program.

Lessons Learned

At the end of the project, a close-out partnering workshop must be held. It is not required that this session be professionally facilitated, but if you are called upon to facilitate this meeting, the following apply:

Standard:

- Make required Program submittals in the proper format and in a timely manner.

Expectations:

- Ensure that the appropriate participants are invited.
- Facilitate the workshop discussion and document the lessons learned.
- Send the lessons learned to the project team, managers, and executives.
- Required Program submittal: Submit the lessons learned to the Program. No standard format is required. The required lessons learned submittal should be completed prior to construction contract acceptance (CCA). If that date is unclear to you, contact the resident engineer for a target CCA date and verify that date as construction approaches completion.

If the close-out partnering workshop is not professionally facilitated, then the RE is expected to follow-through with these tasks and the required Program submittal.

Partnering Facilitator Evaluations

Evaluations of your performance as a partnering facilitator are made at the end of each the kick-off partnering workshop and the close-out partnering workshop. To maintain integrity of these evaluations, the RE will distribute and collect the evaluations and submit them to the Program. Results will be made available upon request. Copies of evaluation forms CEM-5501 and CEM-5502 are included as Appendix C and Appendix D, respectively, and may be downloaded from the Caltrans Partnering website.

Partnering Facilitator Checklist

For your convenience, a partnering facilitator checklist is provided in Appendix E and may be downloaded from the Caltrans Partnering website.

Reference Material

The Doing Business with Caltrans webpage at http://www.dot.ca.gov/doingbusiness.htm provides a menu of links that will help you learn more about various Caltrans functions. From here, the "Office Engineer" link will take you to the Office Engineer website, and the "Construction" link will take you to the Division of Construction website. From the Caltrans Division of Construction website, the "Partnering" link will take you to the Caltrans Partnering website. You may also access the Caltrans Partnering website directly at www.CaltransPartnering.com

The Caltrans Division of Construction website offers links to a variety of useful information regarding policies, procedures, and staff guidance. Of particular interest to facilitators may be the *Construction Manual*, construction policy bulletins, and construction procedure directives. Of primary importance to partnering facilitators and project teams is the *Field Guide to Partnering on Caltrans Construction Projects*, which is available for download from the Caltrans Partnering website. To access Caltrans standard specifications or standard special provisions (SSPs), visit the Caltrans Office Engineer website and find applicable links under the Standards heading.

Submittals

All required Program submittals should be emailed to: partnering_program@dot.ca.gov. In the subject line, please indicate the district and expenditure authorization (EA) number of the associated project. If this information is not known to you, request it from the RE.

Forms, files, and standard formats are posted and available for download from the Caltrans Partnering website at www.CaltransPartnering.com.

APPENDICES

A - Partnering Facilitator Registration Form

Contact Information:

Name of Lead Facilitator:

Name of Back-up / Support Staff on Project:

Business Name:

Business Address:

Phone:

E-mail:

Website:

Project Information:

District-EA	County-Route	Project Name	Resident Engineer Name	Date Hired

Skills training is required on all project greater then $10m.

Identify from the following list of skills courses, which ones that you are qualified to perform the training for.

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

B - Standardized Final Survey Core Goal Scores Spreadsheet

Final Partnering Survey Core Goals Score for : Project name

District - EA # Date:

Team Member's Project Position/Role	Team Member's Organization	Safe (1-5 score)	On Time (1-5 score)	On Budget (1-5 score)	Quality Met (1-5 score)	Fundamentals of Partnering Training (1-5 Score)

The rating scale is based on 1 = worst/lowest/poor and 5 = best/highest/excellent

This EXCEL file is available on the Caltrans Partnering website: www.CaltransPartnering.com

C - Partnering Facilitator Evaluation – Kick-off

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION

Partnering Facilitator Evaluation - KICKOFF

Following the kickoff partnering workshop

CEM-5501 (REV. 1/2013)

District Number - Project EA:	Date:
Resident Engineer's Name:	Partnering Facilitator's Name:
Your Organization:	Your Project Position or Name:

As a project team member, please indicate your reaction to each of the following:

	Strongly Agree	Agree	Neutral No Comment	Disagree	Strongly Disagree
1) The partnering facilitator appeared neutral to all parties.	☐	☐	☐	☐	☐
2) The partnering facilitator was effective in helping us build our team.	☐	☐	☐	☐	☐
3) The partnering facilitator was knowledgeable about partnering on Caltrans projects.	☐	☐	☐	☐	☐
4) The partnering facilitator was knowledgeable about the construction process.	☐	☐	☐	☐	☐
5) The partnering facilitator encouraged participation of key stakeholders, such as subcontractors, other Caltrans project delivery staff, and local agencies, in the project partnering process.	☐	☐	☐	☐	☐
6) The partnering facilitator helped the team set up the initial monthly partnering evaluation survey and established the process and objective criteria for success of mutual goals.	☐	☐	☐	☐	☐
7) The partnering facilitator was effective in assisting the project team in developing a charter with the following elements: a) mutual goals defined for the specific job, b) partnering maintenance & close-out plan, c) dispute resolution plan including a dispute resolution ladder, and d) commitment statement and signatures.	☐	☐	☐	☐	☐
8) Partnering Facilitator worked with team members before the kick off to better understand the dynamics of the team and the project.	☐	☐	☐	☐	☐
9) Overall, I was satisfied with the performance of the partnering facilitator.	☐	☐	☐	☐	☐

Please add any additional comments:

_____

_____

_____

_____

_____

_____

_____

Team Members: Please fill out and return this evaluation to the Caltrans resident engineer.

ADA Notice For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION

Partnering Facilitator Evaluation - KICKOFF

Following the kickoff partnering workshop

CEM-5501 (REV. 1/2013)

District Number - Project EA:	Date:
Resident Engineer's Name:	Partnering Facilitator's Name:
Your Organization:	Your Project Position or Name:

As a project team member, please indicate your reaction to each of the following:

	Strongly Agree	Agree	Neutral No Comment	Disagree	Strongly Disagree
1) The partnering facilitator appeared neutral to all parties.	☐	☐	☐	☐	☐
2) The partnering facilitator was effective in helping us build our team.	☐	☐	☐	☐	☐
3) The partnering facilitator was knowledgeable about partnering on Caltrans projects.	☐	☐	☐	☐	☐
4) The partnering facilitator was knowledgeable about the construction process.	☐	☐	☐	☐	☐
5) The partnering facilitator encouraged participation of key stakeholders, such as subcontractors, other Caltrans project delivery staff, and local agencies, in the project partnering process.	☐	☐	☐	☐	☐
6) The partnering facilitator helped the team set up the initial monthly partnering evaluation survey and established the process and objective criteria for success of mutual goals.	☐	☐	☐	☐	☐
7) The partnering facilitator was effective in assisting the project team in developing a charter with the following elements: a) mutual goals defined for the specific job, b) partnering maintenance & close-out plan, c) dispute resolution plan including a dispute resolution ladder, and d) commitment statement and signatures.	☐	☐	☐	☐	☐
8) Partnering Facilitator worked with team members before the kick off to better understand the dynamics of the team and the project.	☐	☐	☐	☐	☐
9) Overall, I was satisfied with the performance of the partnering facilitator.	☐	☐	☐	☐	☐

Please add any additional comments:

Team Members: Please fill out and return this evaluation to the Caltrans resident engineer.

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E - Partnering Facilitator Checklist

☐ Submit Facilitator Registration Form to Caltrans Partnering Program

☐ Facilitate kick-off partnering workshop

☐ Develop partnering charter:

- ☐ Mutual goals
  - ☐ Include core project goals (safe, on time, on budget, quality met, Fundamentals of Partnering training)
  - ☐ Include project-specific definitions of all mutual goals
- ☐ Partnering maintenance and close-out plan
- ☐ Dispute resolution plan
  - ☐ Include dispute resolution ladder
- ☐ Commitment statement and signatures

☐ Submit partnering charter to Caltrans Partnering Program

☐ Set-up monthly partnering evaluation survey:

- ☐ Get email addresses of survey participants and report recipients
- ☐ Mutual goals
  - ☐ Includes core project goals and the associated objective criteria of success
  - ☐ Includes any project-specific goals and mutually supported individual goals and the associated objective criteria of success
  - ☐ Optional - key issues/risks (update as needed quarterly)

☐ Facilitate close-out partnering workshop, if requested

- ☐ Document lessons learned (no standard format required)
  - ☐ Send lessons learned to project team
  - ☐ Send lessons learned to project executives
  - ☐ Submit lessons learned to Caltrans Partnering Program

☐ Submit final partnering evaluation survey results on core project goals to Caltrans Partnering Program using standardize submittal format to Caltrans Partnering Program

Monthly Reminders

Review survey results

- Take action as appropriate

Submit survey participation-levels to Caltrans Partnering Program

- # team members invited to take survey
- # team members that submitted a completed survey

Quarterly / Periodical Reminders

Update key issues on monthly partnering survey

Hold follow-up partnering sessions and/or facilitated dispute resolution sessions

Check in with the RE, PM, and other team members as appropriate to keep informed on project progress