



# San Francisco

## Partnering Field Guide

SEPTEMBER 2019



**PARTNERING**  
S a n F r a n c i s c o



## Partnering Agreement

Between the City and County of San Francisco and Construction Industry Organizations  
June 29, 2016

We, the undersigned partners in San Francisco construction, both industry and owners, agree to work together to strengthen and improve the City's Collaborative Partnering Program. We will identify barriers to effective partnering, evaluate and develop new practices, review policies, measure progress and make recommendations to implement improvements. As representatives of our agencies and organizations, we are committed to drive change towards creating a world class collaborative construction environment in San Francisco.

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# Dedication

This Partnering Field Guide is dedicated to the memory of San Francisco Mayor Edwin M. Lee. Mayor Lee was an unforgettable partnering champion for the City and County of San Francisco and this guide commemorates his legacy as the first mayor in the country to establish a citywide partnering program to promote collaboration and partnering in the delivery of construction projects. Mayor Lee launched San Francisco's partnering program in 2014 and we will work to make his vision a reality by truly making the City and County of San Francisco the "owner of choice."



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Port of San Francisco, Pier 23 and 19.5 Roof Repair Project





# Chapter 1

## Introduction

San Francisco Partnering Field Guide  
Benefits of Structured Collaborative Partnering  
History of the City & County of San Francisco  
Partnering Program

San Francisco Public Works  
South Van Ness Avenue Traffic Signal Upgrade Project

*"I've learned that people will forget what you said,  
people will forget what you did, but people will never  
forget how you made them feel."*

Maya Angelou  
Poet, Civil Rights Activist

# The San Francisco Partnering Field Guide

The San Francisco Partnering Field Guide is a step-by-step resource developed by the San Francisco Collaborative Partnering Steering Committee (SFCPSC). This guide is intended to be used by City staff and industry personnel working on City and County of San Francisco construction projects. The guide serves as a supplement to the Citywide Partnering Specification ([See Appendix A](#)) and is intended to be used by the entire construction team—from employees in the field through executive management.

By following this guide, City project teams will be able to successfully select a partnering facilitator, set up the kick-off and follow-up partnering sessions, and implement the issue resolution processes and procedures. The objective of the Field Guide is to define roles and responsibilities for partnering, provide tools for the successful implementation of partnering, and to convey the City and County of San Francisco and industry's commitment to partnering.

## The Benefits of Structured Collaborative Partnering

### Partnering Benchmarks

Partnering has been used by the construction industry since the early 1980s. In 1996, the Construction Industry Institute (CII) published the first national benchmarking study on the use of construction partnering. The study found that partnered projects frequently outperformed non-partnered projects and established benchmarks for what was possible at the time.

The study demonstrated that partnered projects could save up to 10% of the budget, and 20% of the schedule, reduce construction claims, improve safety from one injury every 48,000 hours to one injury every 4,000,000 hours, and improve job satisfaction by 30% for the staff who delivered the projects. One of the authors of the study, Steve Sanders, stated that partnering is “the best of best practices” and highlighted that partnering had the potential to provide even better results.

### Structured Collaborative Partnering Benchmarks

Since 2011, the International Partnering Institute (IPI) has given annual awards to project teams that successfully used Collaborative Partnering (a structured approach to the process). Award-winning teams using Collaborative Partnering have had impressive results:

- Budget – Projects cost 20% less than industry average by cost per square foot
- Schedule – Teams are reducing their schedule by up to 40% (of one full season)
- Claims – No claims, and often zero Notices of Potential Claim
- Safety – Award-winning projects routinely have zero safety incidents
- Stakeholder Engagement – By engaging operations and maintenance staff, teams vastly reduce rework and improve the overall function of the project

#### IPI Partnering Awards Benchmarks

- Budget - Up to 20% reduction in cost per square foot
- Schedule - Up to 40% savings
- Safety - Zero recordable incidents
- Claims - No Claims

*Source: International Partnering Institute*

**\$105 savings for every \$1 spent**

*Source: International Partnering Institute*

Additionally, since 2013, IPI has asked award-winning project teams how much they invested in the partnering process and how much savings the team accumulated because of the collaborative relationships. The average return on investment for 77 award-winning project teams whose work totaled \$7.6 billion: \$1 spent on partnering led to \$105 in savings for the project.



## **Lessons Learned in Collaborative Partnering:**

Since the 1980s, experts have identified five objectives that help turn traditional construction project teams into higher functioning teams through the partnering process. In sequence they are:

1. **Follow-up regularly:** A single seminar or partnering event helps build the team, but is not enough to change the culture of a construction project from combative to collaborative. A project team that meets more frequently improves accountability and results. Over the past 40 years, and thousands of projects, teams using partnering have learned that four two-hour meetings spent focusing on resolving issues are more impactful for the project team than a single eight-hour workshop.
2. **Involve executive leadership:** The culture of the project depends on participation by executives representing the owner, the contractor and the architect or engineer. It is typical for project teams to have an adversarial culture. Prolonged close-out, difficult change order negotiations, and construction claims have become the norm in the construction industry. Participation from leadership ensures that the project team is empowered to seek fairness and resolve issues early.
3. **Scale the partnering process:** Every construction project is unique, and the risk level of construction projects can vary greatly. Set up a partnering specification to set expectations and a matrix to scale your partnering process. This way, the owner's leadership can select the appropriate amount of partnering needed to manage the risk of the project and the contractor and architect will understand the anticipated level of engagement needed for the project when bidding.
4. **Measure and make course corrections:** The construction industry is unique in that every single project and every single team is different. By using a partnering survey or scorecard, the project managers and executives can monitor how the team is doing at resolving issues, delivering on commitments and moving toward their goals.
5. **Recognize team members:** Construction projects are typically long, technically challenging and adversarial. When the project is finished, the team members frequently leave and are onto the next project. Recognition programs help galvanize the teams delivering projects and support the culture you are trying to create.

## **History of the City and County of San Francisco Partnering Program**

In 2013, San Francisco Mayor Edwin M. Lee signed Executive Directive 12-01 requiring the use of Collaborative Partnering on all City projects. The intent of this directive was to improve the relationships between the six San Francisco departments delivering projects and the construction industry. San Francisco is the first major city to mandate partnering across all departments.

In 2016, the City and County of San Francisco took this effort one step further by launching the San Francisco Collaborative Partnering Steering Committee (SFCPSC). The SFCPSC is made up of high level representatives from the Port of San Francisco, San Francisco International Airport, San Francisco Municipal Transportation Agency, San Francisco Public Works, the San Francisco Public Utilities Commission, and San Francisco Recreation and Parks, as well as leaders from key industry associations who deliver projects within the City and County of San Francisco. The SFCPSC identifies barriers to partnering and develops policies, procedures and programs to overcome them. The mission of the SFCPSC is to work with the construction industry to build a collaborative culture on projects citywide so the City and County of San Francisco truly can become an owner of choice.





San Francisco International Airport  
Air Traffic Control Tower Project

# Chapter 2

## Setting Up the Process

- Standard Citywide Partnering Specification
- Partnering Matrix – Scaling Your Partnering Effort
- Partnering Levels
- Initiating the Partnering Process
- Setting Up the Kick-off Partnering Session
- Selecting Your Partnering Facilitator
- Role of the Facilitator
- Role of the City and Contractor PMs
- Role of Project Executives
- Partnering Works – Commit to the Full Process

*“If you don’t have time to do it right, when will  
you have time to do it over?”*

John Wooden  
UCLA Basketball Coach

## The Standard Citywide Partnering Specification

The partnering process for City projects is governed by the standard citywide partnering specification included in Section 01 31 33 of the bid documents.

*See Appendix A for the Standard Citywide Partnering Specification.*

## The Partnering Matrix – Scaling your partnering effort

Professionally facilitated construction partnering is mandatory for all City projects with a budget greater than \$2 million. Facilitated partnering is recommended for all projects greater than \$600,000.

Project teams will follow the partnering process described in the standard citywide specification. Within the specification is a tool called the Citywide Partnering Matrix. The matrix allows the department's senior project managers to review the project and determine its partnering level. The partnering level (1-5) will be based on the budget and risk levels of the project.

### The City Wide Partnering Matrix

Level	Estimated Construction Amount	Complexity	Political Significance	Relationships	Partnering Process
5	\$100 million +	Highly technical and complex design & construction	High visibility/oversight; significant strategic project	New project relationships; high potential for conflict (strained relationship, previous litigation, or high probability of claims)	<b>Recommended Elements:</b> 12 Sessions/yr. and 12 Surveys/yr. External Facilitator
4	\$30 - \$100 million	High complexity with schedule constraints, uncommon materials, etc.	Probable stakeholder and community interest or involvement	New contractors or CM, new subs	<b>Recommended Elements:</b> 6 Sessions/yr. and 12 Surveys/yr. External Facilitator
3	\$10 - \$30 million	Increased complexity	Likely, depending on the location and other project characteristics	Established relationships; new CM, subs, or other key stakeholders	<b>Elements:</b> 4 Sessions/yr. and 4 Surveys/yr. Internal or External Facilitator
2	\$2 - \$10 million	Standard complexity	Unlikely, unless in a place of importance	Established relationships; new subs, new stakeholders	<b>Elements:</b> Minimum 2 Sessions Internal or External Facilitator
1	\$600,000 - \$2,000,000	Low level complexity	Unlikely, unless in a place of importance	Established relationships; new subs, new stakeholders	<b>Elements:</b> Create IRL <b>Recommended:</b> Minimum 2 Sessions (Level 2)



## Assessing Project Risks

The Citywide Partnering Matrix has five Partnering Levels and four risk factors. If a project has more risk factors than typical of its size and budget, the project team will increase the partnering level. Collaborative partnering works best when it is scaled appropriately to the level of risk of the project. The most common sources of risk for City projects are:

- **Budget** – Higher budget frequently leads to higher risk. However, some low budget projects have minimal contingency funds, requiring collaboration from the team to maximize the resources available.
- **Complexity** – Complexity of scope. Examples include a project that is highly technical (e.g. an advanced engineering project), a new delivery method for the department (e.g. design-build or CM/GC), a first-time scope for the department, or a project with heavy constraints (e.g. short work windows, noise restrictions, heavy stakeholder involvement, etc.).
- **Political Significance** – A highly sensitive project that impacts residents, local businesses, or is in a heavily trafficked area (auto, metro or pedestrians).
- **Relationships** – The owner and contractor have had a history of claims; the project needs to be closely connected to the stakeholders or end-users; or the scope is likely to change.

## Selecting the Partnering Level for your Project

For each project, the department's senior project managers will analyze the risk factors and identify the appropriate partnering level. The partnering level will be defined in the partnering specification.

### Partnering Level Examples

Project Team A is delivering a \$9.5M paving and grading project in a high-profile downtown business district. The project scope includes a complex shoring plan, many unforeseen utilities, and limited work windows. The department will not know the contractor until bid time. Budget indicates Level 2 Partnering, but the complexity of the underground work and the political significance of the project raise the level. The senior project manager will select **Partnering Level 3 (Quarterly Partnering)**.

Level	Estimated Construction Amount	Complexity	Political Significance	Relationships	Partnering Process
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1	\$600,000 - \$2,000,000	Low level complexity	Unlikely, unless in a place of importance	Established relationships; new subs, new stakeholders	<b>Elements:</b> Create IRL <b>Recommended:</b> Minimum 2 Sessions (Level 2)

Project Team B is delivering a \$132M, greenfield warehouse project. The budget indicates that this is a Level 5 Partnering project. As the senior project manager looks more closely at the project, this warehouse is a frequently used design and the vast majority of the funds (\$85M of the \$132M) will be spent on materials. This project is not in a politically sensitive area, so the senior project manager selects **Level 4 Partnering (Bi-monthly partnering)** for this project.

Level	Estimated Construction Amount	Complexity	Political Significance	Relationships	Partnering Process
5	\$100 million +	Highly technical and complex design & construction	High visibility/oversight; significant strategic project	New project relationships; high potential for conflict (strained relationship, previous litigation, or high probability of claims)	<b>Recommended Elements:</b> 12 Sessions/yr. and 12 Surveys/yr. External Facilitator
4	\$30 - \$100 million	High complexity with schedule constraints, uncommon materials, etc.	Probable stakeholder and community interest or involvement	New contractors or CM, new subs	<b>Recommended Elements:</b> 6 Sessions/yr. and 12 Surveys/yr. External Facilitator
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1	\$600,000 - \$2,000,000	Low level complexity	Unlikely, unless in a place of importance	Established relationships; new subs, new stakeholders	<b>Elements:</b> Create IRL <b>Recommended:</b> Minimum 2 Sessions (Level 2)

## Partnering Levels

The five partnering levels for City and County of San Francisco projects are outlined in the partnering specification ([Appendix A](#)). Each level is discussed below.

### Level 1 Self-Directed Partnering

Partnering is encouraged for all City projects. For Level 1 projects (valued between \$600,000 and \$2 million), the team may elect to either self-direct the partnering process or select a facilitator to assist with the partnering process.

#### Elements:

- The team will develop an Issue Resolution Ladder (IRL) during the pre-construction meeting
- If the team elects to retain a facilitator, they will use the Level 2 Partnering requirements

#### Recommendations:

The team is also encouraged to jointly develop mutual goals for the project. If you are self-directing the partnering process during the preconstruction meeting, consider adding these items to your agenda:

- Exchange organizational charts
- Commitment to resolve issues at the lowest possible level and prevent claims
- Evaluate potential Value Engineering opportunities
- Form small teams focused on resolving specific technical issues
- Develop joint goals for the project: safety, quality, budget, schedule and trust

### Level 1 Self-Directed Partnering

#### Elements:

- Develop the IRL during the preconstruction meeting

#### Recommendations:

- Jointly create project goals
- Exchange organization charts
- Resolve issues at the lowest practical level
- Develop and Sign a charter agreement

## **Level 2 Partnering**

Elements:

- The team will jointly retain an internal or external facilitator
- The team will hold minimum two (2) sessions
- The team will develop a partnering charter containing:
  - Required Core goals: Project safety, schedule, budget, and quality and recommended project-specific goals and mutually-supported individual goals (See Chapter 3)
  - Partnering maintenance and close-out plan
  - Dispute resolution plan that includes an Issue Resolution Ladder
  - Team commitment statement and signatures

## **Level 3 Partnering**

For Level 3 projects, add the following elements:

- The team will jointly retain an internal or external facilitator
- The team will hold minimum quarterly sessions (4 per year)
- The team will use minimum quarterly project scorecards (4 per year) – monthly (12 per year) are recommended
- The team will invite key subcontractors to participate in the partnering sessions as their participation in the project work becomes relevant

## **Level 4 Partnering**

For Level 4 projects, recommend adding the following elements:

- The team will select an external facilitator
- The team will hold minimum bi-monthly sessions (6 per year)
- The team will use monthly project scorecards (12 per year)

## **Level 5 Partnering**

For Level 5 projects, recommend adding the following elements:

- The team will select an external facilitator
- Monthly partnering sessions (12 per year)
- Monthly project scorecards (12 per year)
- Multi-tiered partnering

## **Level 2 Partnering**

Elements:

- Select an internal or external facilitator
- Minimum 2 sessions
- Partnering charter with goals, IRL, partnering maintenance plan, and team commitment statement and signatures

Recommendation:

- Follow-up sessions if needed

## **Level 3 Partnering**

Elements:

- Internal or external facilitator
- Minimum quarterly sessions (4/yr.)
- Minimum quarterly project scorecards (4/yr.)
- Subcontractor onboarding/off-boarding

Recommendation:

- Monthly scorecards (12/yr.)

## **Level 4 Partnering**

Recommended Elements:

- External facilitator
- Minimum bi-monthly sessions (6/yr.)
- Monthly scorecards (12/yr.)

## **Level 5 Partnering**

Recommended Elements:

- External facilitator
- Monthly sessions (12/yr.)
- Monthly scorecards (12/yr.)
- Multi-tiered partnering

*See Appendix A for the Standard Citywide Partnering Specification.  
See Appendix B to review the Glossary of Terms.  
See Appendix C to review a sample agenda, charter and project scorecards.*

## Initiating the Partnering Process

### San Francisco Standard Partnering Specification

The first step is for the City Project Manager (PM) or Construction Manager (CM) and the Contractor PM to become familiar with the San Francisco standard partnering specification for the project and the terminology used in the partnering process.

*See Appendix A to review the Standard Citywide Partnering Specification.  
See Appendix B to review the Glossary of Terms.*

### The Preconstruction Meeting

The preconstruction meeting is a key step in getting the collaborative relationship off to a good start. Both the City PM and the Contractor PM need to be prepared to discuss the scope of the project at this meeting. The preconstruction meeting should include more than just the contract requirements; this is the opportunity to have an honest exchange of information related to the project.

### The Partnering Allowance

Your bid allowance will be based on the Partnering Level for your project and will cover both the City and Contractor's fees for partnering. Below are minimum allowances required by partnering level. The allowance will cover both the City and Contractor's portion of the partnering costs, including the facilitator's fee, fees for scorecards, room rentals, etc.

Partnering Level	Allowance
Level 1	\$7,500/ Project
Level 2	\$15,000/ Year
Level 3	\$30,000/ Year
Level 4	\$45,000/ Year
Level 5	\$60,000 Minimum/ Year *If monthly partnering is used, budget \$80,000



## Setting Up the Kick-off Partnering Session

### The Invitation to Partner

Facilitated Partnering is required for all projects valued over \$2 million (Level 2 and higher). To set up the kick-off partnering session, the City Project Manager (PM) or Construction Manager (CM) must reach out to the prime contractor or design/builder's PM. The invitation to partner is best handled as a telephone conversation or in-person meeting followed by a confirmation letter/email. Make sure to cover the following items in this conversation:

- Intention to work together in a collaborative way throughout the life of the project
- The anticipated partnering level for the project
- The selection of the partnering facilitator (either internal or external)
- Timing of the kick-off partnering workshop and potential follow-up meetings

Also, make sure to include a digital copy of these key documents:

- o Project partnering specification ([See Appendix A](#))
- o Third-Party Facilitator Agreement ([See Appendix D](#))
- o Partnering Field Guide (available at [www.sfpartnering.com](http://www.sfpartnering.com))

**The following is a sample partnering invitation letter:**

Date: June 20, 2018

Dear Contractor Project Manager,

Congratulations on the approval of contract (City Project Number). The City and County of San Francisco is committed to promoting the formation of a successful partnering relationship with our contractors on every project. Please accept this letter as my invitation to work together as partners and collaborators on this project. I look forward to working with you over the next XXX months.

Please respond with your acceptance of this invitation and provide potential dates for the kick-off partnering session and your thoughts on timing for the follow-up workshop(s). Our first step is to select our partnering facilitator to help us with the partnering effort. We would like to hold the kick-off within 30 days of the NTP.

I have enclosed (attached) a copy of the San Francisco Partnering Field Guide for your reference. Please visit [www.sfpartnering.com](http://www.sfpartnering.com) for additional resources.

I look forward to working with you and your team on this project.

Thank you,

City Project Manager/Construction Manager

*See Appendix D for the sample Third-Party Facilitator Agreement.  
See Appendix E for tips on facilitator fees, allowances, and selection.*

## Selecting Your Partnering Facilitator

A partnering facilitator is an individual who provides partnering services to construction project teams. In the City and County of San Francisco, there are two types of partnering facilitators, external facilitators (professional consultants) and internal facilitators (trained City staff). The project team will mutually select its partnering facilitator. There are varying levels of service provided by facilitators and fees associated with those services.

### External Facilitators

The external facilitator is an experienced consultant whose profession is providing partnering services for construction projects. It is common for the consultant to have many years of experience in engineering, civil construction, and/or vertical construction. It is recommended that the facilitator have expertise in organizational development, business consulting and/or be a certified mediator. The relationships within construction project teams are complex and often adversarial. The partnering facilitator is tasked with guiding the team so that it can operate as a high-functioning and integrated group.

The facilitator is expected to support the team by assisting in the resolution of complex construction issues. This requires both technical expertise and a deep understanding of how the various parties of a construction project are connected.

### Internal Facilitators

An internal facilitator is a City staff member who has been trained to lead the kick-off partnering session, follow-up sessions, and the close-out/lessons learned session. Teams are encouraged to use an internal facilitator for small, non-complex construction projects. Internal facilitators may be used only on Partnering Level 1, 2, or 3 projects.

To be effective, it is essential that the partnering facilitator be perceived as neutral by the owner, architect/engineer and contractor. If the team elects to use an internal facilitator, the best practice is to select an individual who does not work for the department that is delivering the project. For example, if the team is delivering a project for SFMTA, the best practice would be to select a facilitator from GSA, Public Works or SFO.

### Tips for Selecting your Partnering Facilitator

When selecting a partnering facilitator, identify the individual or firm who will provide the best fit for the project. The partnering facilitator needs to be a trusted advisor who is perceived foremost as a neutral party by the owner, the contractor and the architect or engineer. The team should select someone who will assist not only during the partnering workshops themselves, but who can also assist by providing strategy, sharing best practices, and helping ensure that the project is successful.

#### **Resources for Selecting a Facilitator**

- For a current roster of internal and external partnering facilitators for the City and County of San Francisco, visit: [www.sfpartnering.com/facilitators](http://www.sfpartnering.com/facilitators)
- For recommendations on facilitator selection, call your department's Partnering Champion (listed on the inside back cover).
- See [Appendix E](#) for best practices on facilitator selection.

#### **Tips for selecting the right facilitator for the team:**

- Speak with your contractor
- Interview multiple facilitators
- Request to review a sample scorecard survey
- Focus on value, not on price
- Select a full-time, certified partnering facilitator
- Schedule your session early

*See Appendix E for best practices in selecting your facilitator.*

## Role of the Facilitator

The role of the partnering facilitator is to assist the City PM or CM and the Contractor PMs with developing and maintaining an effective partnering program for the project, including facilitating the partnering sessions. The facilitator is not the leader of the partnering effort. The facilitator is selected to help the team start and follow through with the partnering process and to ensure that the best partnering practices are followed.

When there is conflict between the parties it is recommended that the facilitator take a more active role until the conflict is resolved, after which the City and Contractor PMs should resume their joint leadership roles. The facilitator's responsibilities are summarized below:

- Registering with the San Francisco Partnering Program. A current list of facilitators is maintained at: [www.sfpartnering.com/facilitators](http://www.sfpartnering.com/facilitators)
- Assisting in the development of the project team charter
- Providing a monthly project scorecard (internet-based preferred)
- Ensuring the City PM submits the following information to the SFCPSC Partnering Coordinator
  - Partnering contract number
  - Partnering level
  - Date for kick-off partnering session
  - Use and frequency of project scorecards
- Ensuring team fills out facilitator evaluations (*See Appendix F*)

## Role of the City PM and Contractor PM

The City and Contractor PMs are responsible for leading the partnering effort every day on the project. As the project leaders, they are accountable for the day-to-day operations of the project and are in the perfect position to promote partnering. They are key to the success or failure of the team's partnering success.

Working together, the PMs need to have clear objectives as to what they want to accomplish through the partnering process. At the kick-off session, the PMs will act as hosts. They need to be prepared to present an overview of the project and assist the team in identifying project issues.

It is the City PM's responsibility to ensure that the partnering facilitator is evaluated by the team following the kick-off and close-out workshops. The PM will distribute evaluation forms to the team's members and submit them to the San Francisco Collaborative Partnering Steering Committee coordinator.

The City PM must also monitor the number of people responding to the scorecard. Ultimately, it is the facilitator's role to administer and interpret the scorecard, but the City PM needs to maintain the scorecard roster to ensure the online survey is being sent to the correct team members.

### **Construction Manager-Led Projects**

For many construction projects in the City and County of San Francisco, work in the field and the partnering effort are driven by the Construction Manager (CM). On CM-led projects, it will be appropriate for the CM to develop the partnering roster, host the partnering meetings, and help drive the partnering effort along with the City PM and contractor PM.

*See Appendix F for sample kick-off and close-out facilitator evaluation forms.  
See Appendix G for sample partnering session set-up checklists.*

## Role of Project Executives

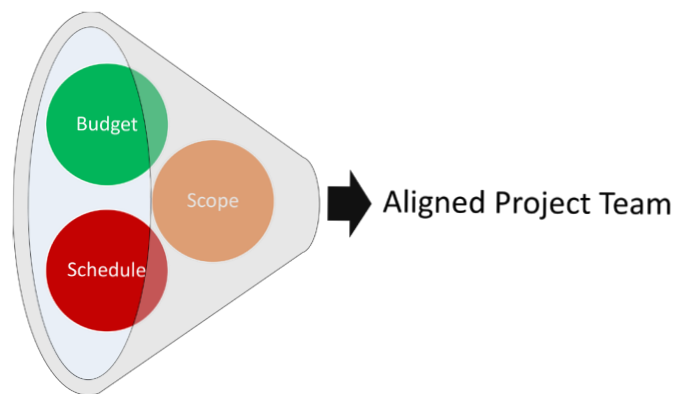
Project executives have a critical role in contributing to the successful outcome of City construction projects. In the partnering process, the Executive Team is tasked with serving as a board of directors for the project. It reviews the budget, scope and schedule, and monitors the project staff and evaluates whether project staff are working effectively as a unit.

Conflict arises when a team is out of alignment on the budget, scope or timing of the project. When a project issue goes unresolved, or the PMs or other key staff have a personality conflict, this can derail a project. When conflict occurs, it is the executives' role to intervene. This may involve elevating the project issue through the IRL, coaching an individual, or swapping someone out. The project is ultimately more important than any single member of the team and removing the right individual from the conflict can lead to a profound improvement for a struggling team.

## Partnering Works – Commit to the full process!

Structured collaborative partnering is a process used during the design and construction of a project to build alignment between the various members of the team. Regardless of the contract delivery method, every project has a budget, a scope of work, and a schedule that is unique to that project. Project teams struggle, and litigation may occur when the team fails to resolve a disagreement related to the project's budget, scope and/or schedule.

The partnering program elements are intended to help project teams resolve issues early and at the lowest practical level. The elements are based on best management practices gathered from thousands of construction projects across all delivery methods. Chapter 3 covers how to implement the process properly. Remember, a successful partnering effort relies on you and your team's leadership.







# Chapter 3

## Structured Collaborative Partnering: Kicking off and Following Through

- Structured Collaborative Partnering
  - Building the Charter: A Common Purpose
    - Project Goals
    - Issue Resolution Ladder
    - Resolving Project Issues
    - Identifying Key Issues and Risks
    - Partnering Maintenance Plan
  - Measurement: Project Scorecards
    - Project Scorecard Requirements
  - Follow-up Partnering Sessions
  - Close-out/Lessons Learned Partnering Session

San Francisco Rec and Park Department  
Randall Museum Renovation Project

*“You’ve got to be very careful if you don’t know where you are going, because you might not get there.”*

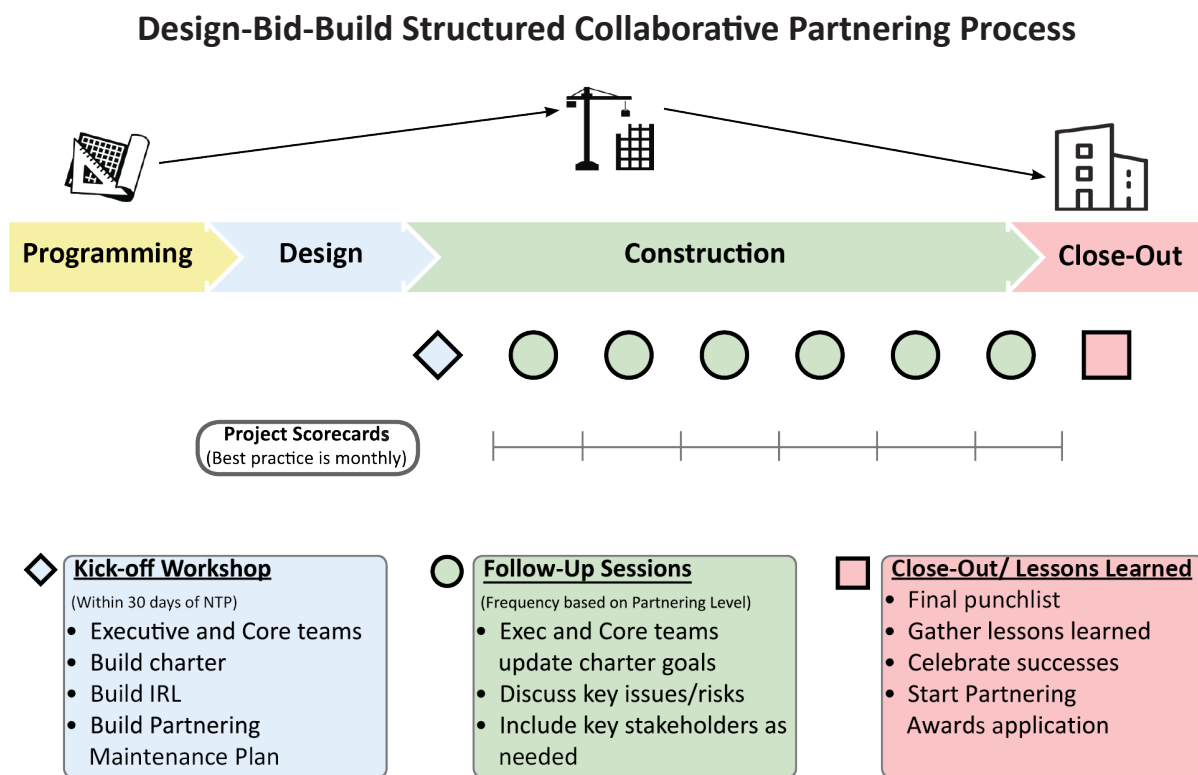
Yogi Berra  
Hall of Fame New York Yankee

## Structured Collaborative Partnering

Structured collaborative partnering is a model developed and fine-tuned over 40 years of using the partnering process on projects. The process centers around a project's partnering charter developed in the kick-off partnering session. As the project progresses, the team treats the charter as a living document, revisiting the goals, resolving the key issues and risks and setting interim milestones along the way.

Follow-up partnering sessions and project scorecard surveys are essential tools that enable the team to be aligned with the goals developed in the charter. As the team resolves issues, a "project first" mindset emerges fostering collaboration, trust and momentum.

Remember, collaborative partnering is a structured process where all of the ingredients work together, like a recipe. Teams that use individual elements like disparate items on a menu will fail to receive the full benefits of its implementation.



## Building the Charter – A common purpose

The partnering charter is a written document jointly developed by the team that lays out the project goals, documents the team's commitment to work openly and cooperatively, outlines the partnering maintenance plan, and defines the issue resolution process. The charter must contain these required elements, defined and highlighted below:

1. Mutual goals for the project
2. Partnering maintenance plan
3. Dispute resolution plan with Issue Resolution Ladder
4. Team commitment statement and signatures

*See Appendix C for a sample Partnering Charter.*

## Project Goals

### Core Goals

The mutual goals for a construction project are made up of two types of goals: Required core goals and optional project-specific goals. There are four required core goals for every partnered construction project in the City and County of San Francisco: safety, budget, schedule and quality.

Below is a typical set of core goals for a project team:

- Safety: The team will have zero lost time incidents.
- Budget: The team will deliver the project within the \$11.2M budget.
- Schedule: The project will be substantially completed (receive Temporary Certificate of Occupancy) by November 20, 2019.
- Quality: The team will have no rework.

### Project Specific Goals (Recommended)

To make the charter more specific and effective, it is recommended that the project team also develop project-specific goals and/or mutually supported individual goals.

Examples of project-specific goals that could be added to the core goals above include:

- Trust: The team will work to develop trust throughout the project.
- Stakeholders: The team will receive no complaints from local businesses during construction.
- Value Engineering: The team will identify \$150,000 in VE savings for the project.
- The team will celebrate milestones and have fun.
- Recognition: The team will win a San Francisco Collaborative Partnering Award.

### Mutually supported individual goals (Optional)

The project team also may wish to develop mutually supported individual goals, such as:

- The contractor will earn its anticipated profit.
- The team will complete the project within the anticipated contingency.

### Best Practices for Goals

Remember that the goals need to be clear, concise and measurable. Ambiguous goals lead to confusion and a lack of alignment. All goals will be fed into a scorecard survey and the team frequently will revisit the goals and review how the team is tracking toward them.

#### **Best Practices for Goals**

When developing your goals remember the acronym "S.M.A.R.T." These goals are Specific, Measureable, Achievable, Relevant, and Timely. Goals with these qualities will be easier to measure and will help your team hold each other accountable.

#### **SMART Goals**

<b>S</b>	Specific
<b>M</b>	Measurable
<b>A</b>	Achievable
<b>R</b>	Relevant
<b>T</b>	Timely

*See Appendix C for a goals embedded in a sample Partnering Charter.*

## The Issue Resolution Ladder

One of the cornerstones of partnering is the Issue Resolution Ladder (IRL). The IRL is a stepped process that formalizes the negotiation between the parties of a construction project. While actual titles may differ, the intent of this ladder is to provide a process that elevates issues up the chain of command between the parties when they have a disagreement or have reached an impasse. The objective is to resolve issues at the lowest practical level and to prevent individual conflicts from disrupting project momentum. When an issue is escalated one level, it is expected that a special meeting focusing on the negotiated settlement for that issue will be called with the goal of resolving the issue as quickly as possible.

*See Appendix H for Sample Issue Resolution Ladders from all departments.*

### Identifying Representatives for Each Level

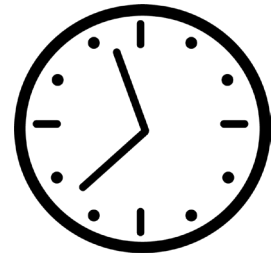
Sample Issue Resolution Ladder			
Level	Awarding City Department (Represents Designer, QA/QC, etc.)	Contractor (Represents Subs, Materials Suppliers, etc.)	Time to Elevate
I	Inspector or RE	Foreman / Superintendent	Up to 1 shift
II	Project Manager / CM	Project Manager	Up to 5 work days
III	Program Manager	Area Manager / Project Executive	Up to 5 work days
IV	Division Manager	Operations Manager / VP	Up to 10 work days
V	Deputy Department Director	Owner; President	Up to 5 work days
VI	Optional Facilitated Issue Resolution		

The first step in developing the IRL is entering names into the boxes in the ladder. At the top of the ladder are the two primary parties to the contract – the City department and the Contractor (or design/builder). Lining up behind these two primary parties are all the other project stakeholders. For a design-bid-build project, the prime contractor represents itself and the subcontractors and the materials suppliers. The City department would represent QA/QC, designer or engineer, etc. If any of the project stakeholders have a disputed issue, the IRL may be used by going through the appropriate primary parties.

The objective is to identify individuals with the authority to negotiate on behalf of the department and the contractor. The process starts at the field leadership level and proceeds up through both organizations' hierarchy. Ideally, all issues are resolved by the team while the project is being built. If the team cannot resolve an issue, they can elevate the disputed issue to Facilitated Issue Resolution or other third-party controlled processes ([See Chapter 4](#)). In the IRL, Level I represents the field leadership. Level II and III typically represent Project Management. Level IV and above is typically occupied by senior management and project executives. Note that it is common (particularly for smaller budget projects) for individuals from the contractor to occupy multiple boxes in the IRL.

## **Time to Elevate**

The team also will discuss the time needed to elevate an issue. In construction, any delay in decision making will cost the project money. The time to elevate column defines the amount of time that should be spent on each rung of the ladder before an issue is resolved or escalated. If team members are conducting research or negotiating in earnest, they should stay with the issue. However, if the team reaches impasse or is unable to solve the problem at their level for the designated number of days, they need to elevate it to the next level of the ladder. By elevating an issue immediately, the team avoids unresolved issues, which are a leading cause of construction project delays. Note that either side can elevate the issue, but it is best to alert your counterpart before you do.



The length of the project will dictate the durations in the time to elevate column, because the number of days are additive. For a 180-day, fast-tracked project, the team likely will need shorter times to elevate an issue than a five-year civil project. Note that it is common for teams to amend the durations as the project develops.

## **Facilitated Issue Resolution**

During the kick-off partnering session, the team will have the option to include Facilitated Issue Resolution (FIR). FIR is an extension of the partnering process, which brings together key project stakeholders to work toward agreement on disputed issues. If the team opts to use FIR, it will enter it as the bottom rung of the IRL.

## **Resolving Project Issues**

The objective of the IRL is to resolve the issue at the lowest appropriate level. The process works best when the individuals from the department and the contractor are at similar levels in the hierarchy.

*An issue should be elevated in the Issue Resolution Ladder when:*

- An agreement cannot be reached at the current level within the agreed-upon time.
- It is requested by one of the two parties at the current level after first informing the other party, and with concurrence from the next higher level.

*When an issue is elevated up the IRL, the project team will:*

- Elevate it in writing if possible – this can be done simply with a speedy memo addressed to the next IRL level with both parties explaining the disputed issue and the points of agreement and disagreement.  
(See [Appendix I for a sample Issue Elevation Speed Memo](#))
- Reach resolution as soon as possible – when an issue is elevated, the team has a limited window of time to resolve it before it affects the schedule.
- Schedule a separate meeting focused on the issue being elevated, do not revisit it during the weekly project meeting until it is resolved.
- Not assume that the next level of management understands the points of agreement and disagreement.
- Not see elevating an issue as a failure – the IRL is intended to allow the project team to keep moving while an issue is negotiated at the next level.

### **Keys for Win-Win Negotiation**

- Jointly define the issue: Both parties need to be able to understand the issue well enough that they can explain it to the other's satisfaction.
- Scope first: Teams get stuck when they jump into negotiation before they agree on the problem itself.
- Follow process highlighted on next page
  - o Identify and agree on the scope
  - o Define how much time the team has before the issue affects the schedule
  - o Discuss and brainstorm all potential solutions
  - o Pick the best solution
  - o Determine quantum
  - o Determine entitlement
  - o Inform the team



## **Set up a Separate Meeting**

When there is disagreement on a complex issue, do not try to solve it during the weekly progress meeting. Invest the time to set up a separate meeting with your counterpart(s) in the IRL. The team may wish to elevate the issue and invite representatives from the field or management to the meeting. In that meeting, work to:

1. Identify and agree on the scope
2. Define how much time the team has before the issue affects the schedule
3. Discuss and brainstorm all potential solutions
4. Pick the best solution
5. Determine quantum
6. Determine entitlement
7. Inform the team

## **Track the Project Issues**

Many project teams use an outstanding project issues log and track it during the weekly progress meeting. The log should contain a description of each project issue, the budgetary impact, and the timeline from when the issue is identified to when it is ultimately resolved. If an issue remains on the project issues log for more than one week and the team has not advanced it or reached resolution, then it is time to elevate the issue.

*See Appendix H for Sample Issue Resolution Ladders from all departments.*

*See Appendix I for a Sample Issue Elevation Speed Memo.*

*See Appendix J for a Sample Project Issues Log.*

## ***Identifying Key Issues and Risks***

Every project faces risks to its success. The partnering sessions are the ideal forum for the project team to identify and develop strategies and timelines for resolving construction project issues and risks. There are a number of common risks that come up often on construction projects. By discussing them in an open and transparent manner, the team has an opportunity to jointly develop a strategy to overcome the risks.

### **Examples of Key Issues and Risks**

- Construction staging
- Extra long lead time for materials
- Coordination with third parties including railroads, utilities (gas, electric, water), environmental, neighborhood and community organizations, merchants associations, media, trade unions, neighboring cities or counties, or federal agencies
- Utility conflicts
- Coordination with adjacent construction projects

### **Sample Key Issue or Risk**

#### **Key Issue #1: Staging Plans**

- 1.1. Andrew and Johanna will review the staging plan with Traffic Engineering and get it approved by January 15, 2019.

When the team identifies a key risk or a high-risk issue in a partnering session, make sure to identify an owner for that issue and set deadline commitments so the team can measure the follow-through and hold itself accountable. When a team solves a challenging project issue, it picks up momentum to solve the next issue that emerges.

## Partnering Maintenance Plan

The Partnering Maintenance Plan describes the frequency of follow-up partnering sessions (including the close-out/lessons learned session) and the use and frequency of project scorecards. This is a key element of the partnering charter.

When developing the plan, make sure to:

- Establish the frequency of the follow-up partnering sessions prior to the kick-off meeting
- Identify dates during the kick-off meeting that are consistent for the next year or through the duration of the project and send out calendar invitations (teams often set the partnering sessions at the same time as the weekly progress meeting)
- Establish the frequency of scorecards (partnering evaluation surveys) during the kick-off meeting (monthly is the best practice)

Remember, once the project is running, the team should expect to adjust the partnering process as needed to support the project. A partnering meeting can be summoned when an issue comes up or if several items need to be quickly elevated up the IRL.

## Measurement: Project Scorecards

The project scorecard (or project evaluation survey) is an accountability tool that allows project teams to measure how well they are following through on commitments made to each other. Typically, the project scorecard is a confidential survey prepared and submitted to the team by the partnering facilitator. The facilitator compiles the responses into a report which is then sent out to the project team for review.

*"If you cannot measure it,  
you cannot improve it."*

-William Thompson Kelvin  
(Lord Kelvin)

## Project Scorecard Requirements

At your kick-off partnering workshop, you develop your charter. This includes the team's core project goals, project specific goals, and mutually supported individual goals. It also includes the team's key issues and the dispute resolution plan. The scorecard survey allows the team to provide feedback on how well they are doing at following through with what they committed to.

It is expected that partnering facilitators will offer a monthly project scorecard survey to the team. Each member of the partnering team will complete the partnering evaluation based on the agreed-upon partnering level for the duration of the project.

The Facilitator will:

1. Offer a monthly, internet-based (preferred) survey
  - a. Monitor results
  - b. Offer guidance, advice, and intervention(s) as needed
2. The survey will use a five-point scale (with 1 being the worst/lowest and 5 being the best/highest). (Note, a 10 - point scale is also acceptable).
3. The survey will measure progress toward commitments on:
  - a. Core project goals (required)
  - b. Project specific goals (recommended)
  - c. Mutually supported individual goals (recommended)
  - d. Key issues updated during follow-up partnering sessions (recommended)
4. The partnering facilitator will send monthly partnering evaluation survey results to the project team, managers, and executives.
5. The partnering facilitator will monitor the partnering survey response rate.

## **Project Scorecard Best Practices**

The best practice is for the scorecard survey to be distributed monthly. For Level 1, 2, and 3 projects, the survey may be distributed less frequently (based on the Citywide Partnering Matrix in Chapter 2).

The project scorecard may include:

### **Core Project Goals (required)**

- Safe
- On time
- On budget
- Quality met – no rework

### **Mutually Supported Individual Goals (optional)**

- Contractor makes a profit
- Owner stays within approved contract contingency

### **Project Specific Goals (recommended)**

- Value Engineering opportunities
- Environmental commitments
- Teamwork/Communication/Trust
- Issue resolution
- Public image/Public relations
- Third party coordination
- Having fun/Job satisfaction

### **Key Issues and Risks (recommended)**

- Construction staging
- Utility conflicts
- Partnering maintenance plan commitments

## **Discussing Results and Making Course Corrections**

After each scorecard, the partnering facilitator should offer comments and recommendations based on survey results. It is important that the City and contractor PMs review the results to see where the team is doing well, where it's struggling, and to identify any unresolved issues or emerging frustrations within the team. This can be done during a designated time of your weekly progress or OAC meeting or during a separate scorecard review meeting. The process works best when the scorecard is used monthly. The scorecard also can be used to develop the agenda for the next follow-up partnering session.

*See Appendix G for sample partnering agendas and project scorecards.*

## **Follow-up Partnering Sessions**

The single most important best practice in structured collaborative partnering is the use of follow-up partnering sessions. The follow-up sessions allow the team to steer the project toward success and maintain a close connection with executives from the City, the contractor or design/builder, and the engineer or architect.

Follow-up partnering sessions can be used in several ways. The team can hold an executive team session, an owner's team or design team session, a core project team session, a stakeholder session, a facilitated issue resolution session, a team building session, a team celebration, or any combination. Work with the facilitator to help you optimize the meeting agenda, so you get the best return on investment for the time your team invests in the partnering process.

### **Core Team Partnering**

The majority of partnering sessions are core team meetings. It is expected and anticipated that key representatives from the City, contractor, architect/engineer and stakeholders will attend all partnering sessions and should plan to staff the project accordingly. The core team is made up of the key members of the project for its duration, including the following (not in order of hierarchy):

**Core Team**  
Field leadership and managers who drive the project.

<b>Core Team Members</b>	
<b>City:</b>	<b>Contractor:</b>
Resident Engineer	Superintendent
Project Manager	Project Executive
Construction Manager	Jobsite Supervisor
Engineer, Architect	Project Manager
Division Manager	Project Engineer
Construction Engineer	Subcontractors
Inspectors	Key Suppliers
Client Department Representative	Senior Management (e.g. Area Manager, Operations Manager, VP, President, Owner)
Critical third parties: stakeholders, other agencies, utilities, etc., or anyone who could potentially stop or delay the project.	

### **Executive Team Partnering**

The senior leaders of the City and Contractor may form a project board of directors charged with steering the project to success. Executive team partnering is typically limited to C-Level staff: City directors or deputy directors, contractor or design/builder leadership, including the operations manager, VP or president and the principal architect or head engineer. Typically, the executive team meets once per quarter and reviews the cost, scope and schedule of the project and how the project team is functioning. They may set goals, discuss contractual amendments or adjust the project team as needed.

**Executive Team**  
The steering group that serves as the Board of Directors for the project

### **Stakeholder Team Partnering**

The individuals who have a stake in the outcome of a construction project generally comprise the stakeholder team. The stakeholder team partnering session is typically used as a forum to allow the project stakeholders (end-users, maintainers, third parties, or key tenants), to receive project updates and direct questions to the core project team. Typically, stakeholder team partnering occurs quarterly on large projects. For smaller projects, the key stakeholder representatives would participate with the core team.

**Stakeholder Team**  
The end-users, maintainers or project influencers who provide feedback to the Core Team  
\*Meets quarterly with Core and Executive team on large projects.

## **Follow through with the process**

Holding your quarterly, bi-monthly, or monthly follow-up partnering sessions will help keep your partnership strong and your project on track, or even turn around a project that is not going well. You will update key issues/risks on your project scorecard as part of this session.

The team should consider scheduling follow-up partnering sessions when:

- There is a significant change of personnel on the project.
- Several key issues remain unresolved.
- The project enters a new phase of work.

### **Tips for Getting Subs and Stakeholders to Attend**

- Set up the meeting in the afternoon after shift work is completed.
- Set aside one hour of the agenda for the subcontractors to share issues/concerns
- Bring lunch

See [Chapter 6](#) for tips on maximizing attendance.

## **The Close-Out/ Lessons Learned Partnering Session**

We are problem solvers. In construction, we solve problems every day, one day after another, until the end of our project. Then we are on to the next project. Project teams rarely step back and reflect on what was learned from the project. The close-out partnering workshop is for the team to collect key lessons learned. These lessons are to be shared with the City department so that they may be used to improve future projects.

### **Best Practices for Effective Close-Out/ Lessons Learned Partnering Sessions**

- Go broad with the list of invitations and make sure to include the engineers/architects, key stakeholders and representatives from the end-user or maintainer of the facility
- Discuss and agree upon a successful close-out from each team member's perspective
- Develop (or review) the rolling punchlist
- Develop a strategy for reaching agreement and a timeline for the final payment
- Collect lessons learned from all phases of the project, including:
  - Planning
  - Design
  - Construction
  - Close-out/Activation
  - The Partnering Process
- Complete the partnering facilitator evaluation

*See Appendix F for sample facilitator evaluation forms.*



# Chapter 4

## The Issue Resolution System: When things are not going as planned

The Issue Resolution System

The Issue Resolution Hierarchy

The Issue Resolution Process With a DRA or DRB

Facilitated Issue Resolution (FIR)

Red Flags/Triggers: When to Implement Issue Resolution  
Processes

San Francisco Municipal Transportation Agency  
Islais Creek Facility Phase II Project

*“We can’t solve problems by using the same kind  
of thinking we used when we created them.”*

Albert Einstein  
Physicist



## The Issue Resolution System

The intention of partnering is to improve project team productivity by enabling people at the lowest practical level to solve issues as quickly as possible. Partnering does not amend the underlying contract requirements, but it fosters an environment where project teams use all methods within their control to settle construction issues while the project is being built. Research has shown that project teams who successfully use team-controlled processes like direct negotiation, the Issue Resolution Ladder (IRL) and follow-up partnering sessions to solve potential issues save time and money. The IRL and follow-up partnering sessions are covered in detail in [Chapter 3](#).

There is a hierarchy to issue resolution processes that begins with the least formal processes (i.e. direct negotiation and the IRL) and ends with claims and mediation. This multi-tiered approach (detailed below) has proven very successful for many owner organizations.

*See Appendix H for Sample IRLs from all Departments.*

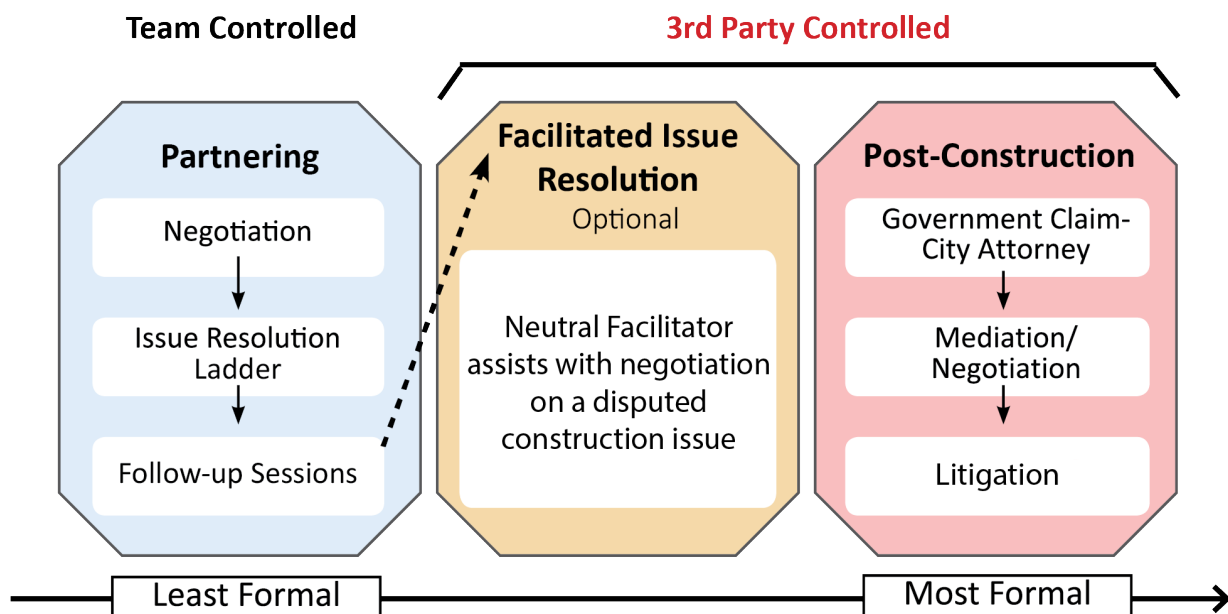
If a team is unable to resolve an issue that elevates through the IRL, it has access to third-party controlled tools including Facilitated Issue Resolution (FIR), or if applicable, a Dispute Resolution Advisor (DRA) or Dispute Review Board (DRB) to help resolve the issue. The objective is for the project team to control decision making for as long as possible to avoid the most formal third party controlled issue resolution processes (i.e. claims or mediation) prior to project completion.

### Teams Control The Outcome!

Project teams are expected to use all team-controlled methods to settle construction issues while the project is being built.

Sample Issue Resolution Ladder			
Level	Awarding City Department (Represents Designer, QA/QC, etc.)	Contractor (Represents Subs, Materials Suppliers, etc.)	Time to Elevate
I	Inspector or RE	Foreman / Superintendent	Up to 1 shift
II	Project Manager / CM	Project Manager	Up to 5 work days
III	Program Manager	Area Manager / Project Executive	Up to 5 work days
IV	Division Manager	Operations Manager / VP	Up to 10 work days
V	Deputy Department Director	Owner; President	Up to 5 work days
VI	Optional Facilitated Issue Resolution		

## The Issue Resolution System with Partnering and FIR



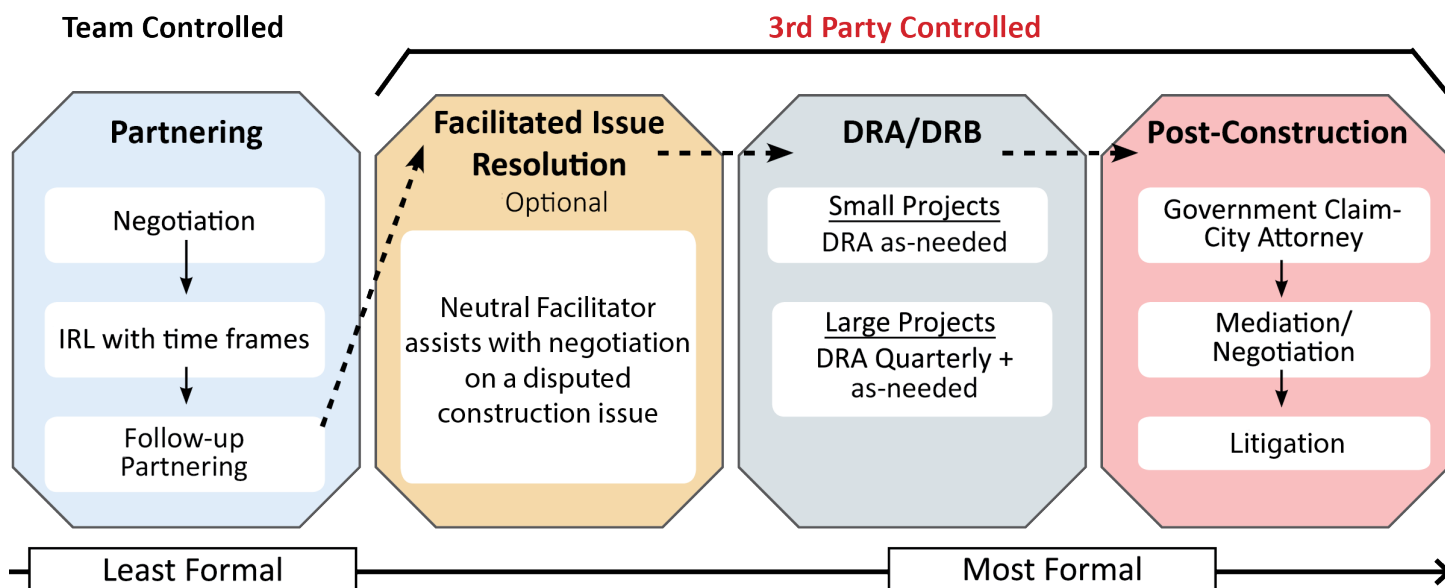
## The Issue Resolution Hierarchy

Team-Controlled Issue Resolution Processes	
<b>Issue Resolution Ladder (IRL) (Least formal)</b>	The Issue Resolution Ladder (IRL) is developed in your kick-off partnering session or pre construction meeting as defined in Chapter 3. It is a very important tool for resolving disputed project issues.
<b>Follow-up Partnering Sessions</b>	A follow-up partnering session is used for dispute prevention and team cooperation, but also may be an excellent forum for issue resolution partnering. This “course correction” can be instrumental in turning around a project that is not going well. The process reinforces the concepts of partnering and asks the project team to recommit to the process. Teams tend to lose momentum when they have an ongoing unresolved issue. By resolving the issue in a timely manner, the team can focus on overcoming the next issue that will emerge.
<b>Issue Resolution Partnering</b>	<p>As a project progresses, the team may run into issues that are difficult to resolve. For these issues, the team may wish to dedicate the follow-up partnering session to issue resolution partnering. This can take up to an entire day of partnering, depending on the complexity of the disputed issue.</p> <p>For issue resolution sessions, your facilitator will need to understand the nature of the issue and disagreement so that he/she can design an appropriate session. Both the contractor and the City department should come prepared to share their stories. Make sure to bring adequate background information for each issue in order to help everyone understand the situation and find a resolution. If this process is not successful, you can continue to elevate the dispute up the resolution ladder.</p>
Optional Third-Party Controlled Processes	
<b>Facilitated Issue Resolution (FIR)</b>	<p>Facilitated Issue Resolution is an extension of the partnering process, bringing together all stakeholders with a trained, external facilitator or a mutually-selected professional neutral. The session is held in an informal setting with each side presenting its story, facts, and supporting information. With the help of the facilitator, the issue is broken down into parts, and each part is resolved on its merits. The process itself creates a deadline for resolution.</p> <p>A team must elect to add FIR to the Issue Resolution Ladder during the kick-off partnering session.</p>
<b>Dispute Resolution Advisor (DRA)</b>	The DRA has proven useful in the resolution of minor disputes. In this case, an expert advisor hears from both the owner and the contractor or design/builder and gives the team a non-binding, written opinion.
<b>Dispute Review Board (DRB) (Most formal)</b>	The DRB is an advisory body that makes recommendations to resolve disputes between the department and contractor or design/builder. The DRB consists of three neutral members. One member is selected by the contractor, one by the City department, and the third by the first two board members. The members are usually individuals who have been in the industry for many years and can offer sound technical advice and reasoned findings.

## The Issue Resolution System with a DRA or DRB

For construction project teams using a Dispute Resolution Advisor (DRA) or Dispute Review Board (DRB), the Facilitated Issue Resolution (FIR) process may be used prior to the DRA or DRB hearing (see sample below). The team may also use the FIR process if a decision rendered by the DRA or DRB is not agreed to by the team.

## The Issue Resolution System with Partnering, FIR, and DRA or DRB



+Note – the SFPUC and SFMTA have most frequently used the DRA and/or DRB on large projects.

## Facilitated Issue Resolution (FIR)

Facilitated Issue Resolution (FIR) is an extension of the partnering process, which brings together key project stakeholders to work toward agreement on disputed issues. This process has proven to be highly effective in helping the team resolve complex issues while the project is still under way. The FIR session is a forum for the team's executive decision makers to learn the facts surrounding the issues and resolve the disputes for each issue based on its merits. Please note: It is not appropriate for either DRB or DRA members or attorneys to be present at FIR sessions.

The team will decide whether it will include the FIR process during the kick-off partnering session when it's developing the Issue Resolution Ladder. If the project team elects to include FIR, it will be added beneath the top management level of the IRL as shown on the sample at right.

Sample Issue Resolution Ladder			
Level	Awarding City Department	Contractor	Time to Elevate
I	Inspector or RE	Foreman / Superintendent	Up to 1 shift
II	Project Manager / CM	Project Manager	Up to 5 work days
III	Program Manager	Area Manager / Project Executive	Up to 5 work days
IV	Division Manager	Operations Manager / VP	Up to 10 work days
V	Deputy Department Director	Owner; President	Up to 5 work days
VI	Optional Facilitated Issue Resolution		

## **FIR Session Preparation**

For the FIR session to be successful, thorough preparation is critical. The City and Contractor PMs will be asked to send the facilitator a list of outstanding issues and where the team is in the dispute (or set of disputes). The facilitator will then prioritize the issues (with the concurrence of both parties) and develop an agenda for the FIR session. This allows both sides to know which issues they will be discussing and be prepared.

Presentation of the issue is critical. Ultimately, the team executives will be negotiating a resolution based on the information that is available on the day of the FIR session.

Preparation for the FIR session should include:

- Identification of the problem (read the NOPC; state where the disagreement lies)
- Chronology of events (Contractor's and City's versions)
- Relevant specifications, plans, and documentation (letters, journal entries, etc.)
- Discussion of the problem (City and Contractor's versions)
- Review of how the project was designed and/or built (related to this issue)

The presentation needs to be well-prepared and complete. The City and Contractor PMs need to present their respective versions of the facts and support them with documentation and relevant exhibits. A presentation that includes pictures, highlighted copies of documents, etc. will help support your position.

Remember, each side must be able to justify any agreement that is reached. A City department must agree on the reasoning behind a dollar amount or time extension being requested; the numbers cannot be arbitrary.

By presenting the numbers and how they were arrived upon, the executive decision makers can substantiate the agreements reached and use them to gain final approval. The City and contractor PMs present the facts as they see them. It is the executive decision makers' job to interpret the facts and develop a justifiable resolution.

*See Appendix K for Additional Information on the FIR Process.*

## **Red Flags/Triggers - When to Implement Issue Resolution Processes**

After developing the partnering charter, there are certain red flags that should be monitored by the project team. If one or more of these red flags occurs, it is a signal to call a follow-up partnering session or use one of your issue resolution processes.



Here are a few red flags to look for:

- The project scorecard surveys have dropped significantly in key areas over consecutive months (i.e. scores have declined by more than one point in budget, schedule, issue resolution and/or trust)
- The team is writing letters or emails stating a position prior to having a discussion on an issue
- Key sub-contractors and stakeholders are no longer invited to weekly progress meetings
- The team has a repeated pattern of conflict – both professional and personal
- The team has an excessive number of RFIs or notices of potential claim (NOPCs)





San Francisco Public Works  
2644J Haight Ashbury Project

# Chapter 5

## Partnering for Interdepartmental Projects

Managing the Complexity of Interdepartmental Projects  
The Lead Agency and the MOU  
Whom to Invite to Interdepartmental Partnering  
Maximizing Interdepartmental Project Partnering Workshops  
Sample Interdepartmental Issue Resolution Ladders

*“You are never strong enough that you don’t  
need help.”*

Cesar Chavez  
Labor Leader & Civil Rights Activist



## Managing the Complexity of Interdepartmental Projects

An interdepartmental project is any scope that is delivered by multiple City and County of San Francisco departments. The composition of the team will vary from project to project. The most common examples of interdepartmental projects are highlighted in the sidebar.

Typically, the more organizations involved in a project, the more complex it will be for the contractor to deliver. Constructibility reviews, design changes and contract change order negotiations can all be influenced by the funding agency. Therefore, it is critical for the project team to develop a common understanding of its roles and responsibilities. By openly discussing the complexity, developing an organizational chart, and managing project decision-making, the team will be set up to deliver the project successfully.

### **Common Interdepartmental Project Types**

- SFMTA (PM) and Public Works (CM) or Public Works providing PM/CM for SFMTA projects.
- Port of San Francisco (PM) and Public Works (CM) or Public Works providing PM/CM for the Port of San Francisco.
- SFPUC (PM) and Public Works (CM)
- SF Department of Health and Public Works PM/CM.

## The Lead Agency and the MOU

Interdepartmental projects are typically governed by a Memorandum of Understanding (MOU) or work order. The intention of the MOU is to lay out the scope, budget, and roles and responsibilities for the project. Typically, a lead agency is identified who will be awarding the contract, administering the construction, and overseeing the activation/commissioning of the project.

The partnering and issue resolution processes will be governed by the lead agency's partnering processes and procedures. If the lead agency is not clearly defined in the MOU or work order, the department defined as the "owner" of the contract will serve as the lead agency.

### **What to Know About MOUs**

- Every interdepartmental project will be governed by an MOU or work order.
- MOUs are unique to each department and may not be consistent.
- When projects have multiple funding sources, reporting requirements may be different - ask your PM.
- Design for interdepartmental projects may be funded by a limited grant - find out who will provide construction administration services.

### **Managing the Risks by Integrating the Team**

Certain types of issues routinely arise on interdepartmental projects.

The most frequent challenges are:

- Contractor's bid exceeds the funding agency's budget for key scope (a budget bust)
- An unforeseen condition is discovered, and the required fix costs more than contingency will allow
- Current design element is not constructible, requiring design review and signatures from multiple departments

Teams rarely invest the time up front to integrate the key team members properly from the secondary department into the project team and so, when a crisis emerges, the team must develop both the technical solution and the process for reaching agreement on that solution on the fly. Work with your partnering facilitator to develop a strategy for engaging the key individuals from the secondary department and key stakeholder groups so your project is prepared when an issue arises.

## Whom to Invite to Interdepartmental Partnering

Partnering is the perfect forum to manage the risks of interdepartmental projects by including all the key secondary departments and funders as stakeholders. Start by working with your PM/CM counterpart and the partnering facilitator to establish the Executive and Core Team (see Chapter 3). Next, identify key project level personnel and executives from the secondary and funding departments who will be invited to the partnering as project stakeholders.

Below is a recommended list of individuals to invite to the partnering meeting:

Lead Agency	Contractor	Architect/Engineer	Potential Third Parties/Stakeholders
<ul style="list-style-type: none"> <li>• Lead Inspector</li> <li>• Resident Engineer</li> <li>• Construction Manager</li> <li>• Project Manager</li> <li>• QA/QC Lab Rep (if applicable)</li> <li>• Public Information Officer (if applicable)</li> <li>• Senior Management (Deputy Director, Director of CM, and/or Director)</li> </ul>	<ul style="list-style-type: none"> <li>• Project Manager</li> <li>• Jobsite Supervisor</li> <li>• Project Engineer</li> <li>• Key Subcontractors</li> <li>• Senior Management (Area Manager/Ops Manager, VP or President)</li> </ul>	<ul style="list-style-type: none"> <li>• Project Manager</li> <li>• Project Engineer</li> <li>• Senior Management (Lead Architect and/or Principal)</li> <li>• Engineering: Ops Manager or Vice President</li> </ul>	<ul style="list-style-type: none"> <li>• PM from secondary dept. or funding depts.</li> <li>• Utilities</li> <li>• Other agencies</li> <li>• Key Third Parties</li> <li>• If needed – Contract Monitoring Division</li> <li>• If High Risk – Deputy Director or Director of CM for secondary dept. or funding depts.</li> </ul>

### When to invite Stakeholder Executives - High Risk Interdepartmental Projects

For high risk interdepartmental projects (Partnering Level 3 and above), consider inviting the deputy director and/or director of CM from the secondary or funding agency to participate as stakeholders in the partnering process. If a budget issue emerges that exceeds a funding agency's allotment, the lead agency likely will need to include these individuals in the issue resolution process. It is better to have them involved in the project from the outset than to bring them in after a crisis has emerged.

## Maximizing Interdepartmental Project Partnering Workshops

To get the most out of your partnering process on interdepartmental projects, make sure to:

- Identify the PM and the key decision makers from your secondary agencies/funding agencies and incorporate them into the partnering process as stakeholders.
- Draw an organizational chart and review the roles and responsibilities for each department involved.
- Review the MOU or work order with the contractor. If they understand how decision-making works, the team will communicate more effectively.
- Establish timelines for resolving issues between departments during the kick-off partnering session.
- Hold regular coordination meetings (weekly or bi-weekly) and ensure your secondary departments are participating so emerging issues are not a surprise.
- Hold follow-up partnering sessions to encourage communication and foster creativity when project issues arise – schedule them early to ensure all stakeholders can attend.
- Engage senior staff from secondary departments as stakeholders. If an unforeseen condition requires additional funding or a redesign, they can become champions for your team.
- If the secondary department is funding a significant scope of the budget, consider adding an additional column to your IRL to integrate them into the issue resolution process (see sample 2 ladder).

## Sample Interdepartmental Issue Resolution Ladders

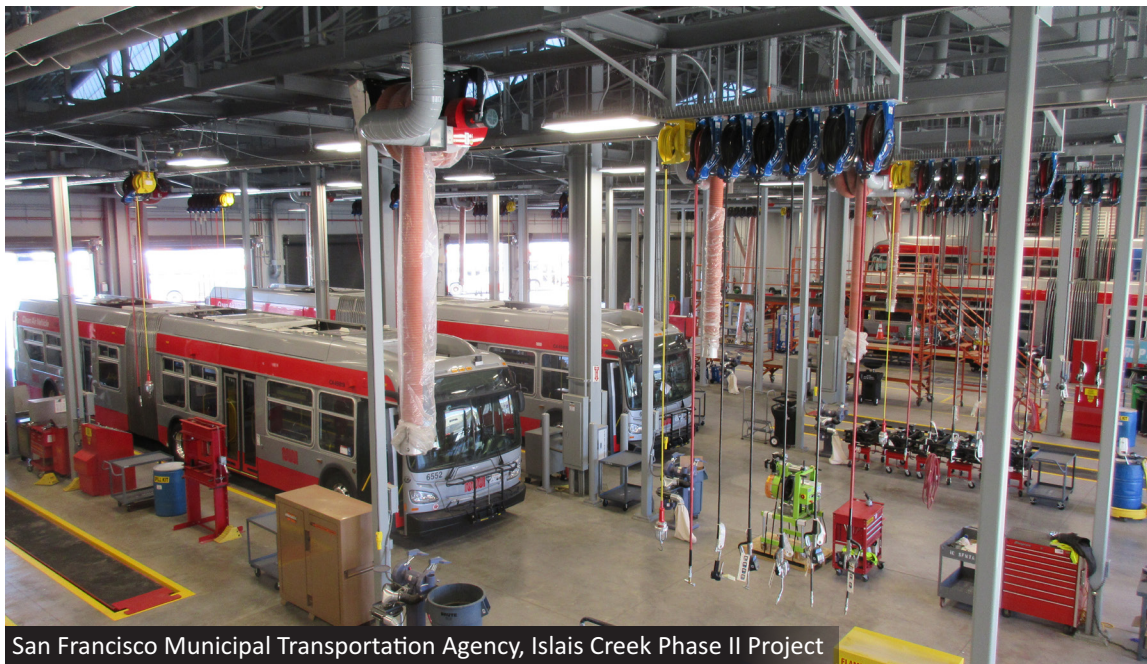
For interdepartmental projects, it is essential for the team to have a mutual understanding of how decisions will be made in construction. In the kick-off partnering workshop, invest time developing an organizational chart to clarify how decisions will be made and establish timelines for those decisions. When multiple departments need to coordinate to make decisions, this adds complexity to the project and often causes schedule impacts. Two sample IRLs are provided.

### Interdepartmental Issue Resolution Ladder 1 - Traditional

This is the most frequently used IRL, which relies on the single lead agency identified in the MOU. If a design amendment or significant contract change order is needed, the lead agency will coordinate with secondary departments that must sign off on change requests in their funded scope.

Sample Issue Resolution Ladder			
Level	Lead Agency <sup>+</sup> (Represents Designer, QA/QC, etc.)	Contractor (Represents Subs, Materials Suppliers, etc.)	Time to Elevate
I	Inspector or RE	Foreman / Superintendent	Up to 1 shift
II	Project Manager / CM	Project Manager	Up to 5 work days
III	Program Manager	Area Manager	Up to 5 work days
IV	Division Manager	Operations Manager	Up to 5 work days
V	Deputy Department Director	Owner; President	Up to 10 work days
VI	Optional Facilitated Issue Resolution		

+Lead agency – is defined as the responsible entity fully authorized to administer the contract.



### Interdepartmental Issue Resolution Ladder 2 – Large Secondary Scope

On large projects, significant scope may be funded and supported by a second department. For example, Public Works is delivering a downtown streetscape project and SFPUC funds 40% of the total scope for water and wastewater upgrades along the paving corridor. In this case, the team may wish to add a column to the IRL for SFPUC scope. The objective is to integrate the secondary funder/decision influencer into the process to facilitate more timely solutions if the scope in question has a budget bust or requires a significant design overhaul during construction.

Sample Issue Resolution Ladder – Option 2				
Level	Lead Agency <sup>+</sup> (Represents Designer, QA/QC, etc.)	Secondary Dept. <sup>++</sup> (Decision influencer for scope in their purview)	Contractor (Represents Subs, Materials Suppliers, etc.)	Time to Elevate
I	Inspector or RE		Foreman / Superintendent	Up to 1 shift
II	Project Manager / CM	2 <sup>nd</sup> Dept. PM	Project Manager	Up to 5 work days
III	Program Manager		Area Manager	Up to 5 work days
IV	Division Manager	2 <sup>nd</sup> Dept. Division Manager	Operations Manager	Up to 5 work days
V	Deputy Department Director		Owner; President	Up to 10 work days
VI	Optional Facilitated Issue Resolution			

+Lead agency – is defined as the responsible entity fully authorized to administer the contract.

++2nd department – provides funding, financial oversight and expertise for the construction project. It will be included in the decision-making process if additional scope and/or funds are required for this project.



San Francisco Public Works, San Francisco General Hospital Project







San Francisco Public Utilities Commission  
Holloway Green Street Stormwater Improvements Project

# Chapter 6

## Program Level Partnering and Advanced Techniques

Setting Up a Department's Partnering Program  
Connecting Partnering to the Field: Weekly Meeting Agendas  
Connecting Partnering to the Field: Building the Team  
Partnering for Alternative Delivery Method Projects  
Multi-tiered Partnering  
Maximizing Partnering Session Attendance  
When to Call a Follow-up Partnering Session

*"Good is the Enemy of Great"*

Jim Collins  
Author, "Good to Great"



## Setting Up a Department's Partnering Program

### Program-Level Partnering: Setting up your Department's Partnering Program

To develop the department's partnering program, the deputy directors or construction leaders should set a meeting to review the portfolio of projects they are delivering. At that time, they will review the current and planned partnering levels for all projects across the department's program.

The best practice is to follow the 80-20 rule, also known as the Pareto Principle. The Pareto Principle is an economic model that predicts that, in most cases, the top 20% of each department's projects will represent 80% of the department's financial risk. For example, if the department has a \$500M program comprised of 120 projects, the top 24 projects (20%) would represent ~\$400M of the total dollars spent on projects.

Look at the Sample San Francisco Department graphic and note that the five Level 4 and 5 projects comprise \$226M (45%) of the total budget. It is typical for most departments to have a small number of large projects each year. By including the next 19 Level 3 projects, the team is now closely managing \$422M (84.4%) through structured Collaborative Partnering.

For the remaining Level 2 and Level 1 projects, the teams continue to benefit from a scaled partnering process and the mechanism to elevate issues through the Issue Resolution Ladder. By annually reviewing the program of projects, the department directors can truly manage the dollars spent in construction.

#### **Pareto Principle "The 80-20 Rule"**

For many events, roughly 80% of the results come from 20% of the causes. In 1896, Vilfredo Pareto identified that in Italy roughly 80% of the Country's real estate was owned by 20% of the population. Since then, this ratio has become a well-understood economic model and principle for business.

Sample San Francisco Department		
Partnering Level	#Projects	Total Budget
Level 5	1	\$105M
Level 4	4	\$121M
Level 3	19	\$196M
Level 2	33	\$46M
Level 1	63	\$32M
<b>Totals</b>	<b>120</b>	<b>\$500M</b>

## Connecting Partnering to the Field: Partnering in the weekly meeting agendas

The benefits of structured Collaborative Partnering really emerge when the team is committed to the process in the field. Ultimately, successful project partnering is about fairness, commitment and follow-through. In order to connect executive level partnering to the trailer, it is recommended that project teams add a partnering check-in to the weekly (or OAC) meeting agenda.

The partnering check-in (sample below) would include:

1. The date for the kick-off or follow-up partnering session.
2. A brief partnering topic to be discussed by the team. The topic is intended to be succinct, should rotate each week, and will focus the team on building rapport and trust.

Sample topics for the weekly progress meeting include:

- How are we working as a team?
- How are we tracking on our charter project goals?
- Are there any unresolved items on the partnering scorecard survey?
- What is a recent success story from this month that we can gather for our San Francisco Collaborative Partnering Awards application?
- Others... (the team is encouraged to develop other topics)

<b>SAMPLE Project</b> <b>Progress Meeting # 1 Agenda</b> Meeting Address – Conference Room Date (Day of week) - 10:00 A.M-11:00 A.M				
Item #	ISSUES	Description	Action Required	Status
1.1	Safety	01/01/2017: Daily safety meeting, highlight safety strategy here	Steve	Open
1.2	Partnering Check in	01/01/2017: <b>Kick-off Partnering Session: 2/1/2017, 9-11:30am, 30 Van Ness Ave.</b> <b>Include one question or topic per week developed by the team:</b> (Sample topics) •How are we working as a Team? •How are we tracking on our project goals? •Are there any unresolved items on the partnering scorecard survey? •What is one idea you have that could make our team more efficient? •What is a success story from last month that we should gather for potential partnering\ award applications?	Steve/Jim	Open
1.3	Ground Breaking Ceremony	01/01/2017: Ground breaking ceremony is 02/09/2017 (R) 4:00-5:00 p.m.	Jane	Open
1.4	CPM baseline	01/01/2017: Contractor is required to submit CPM baseline	Steve	Open

## Connecting Partnering to the Field: Building the team

Construction projects tend to last multiple years and can be challenging. It is important to keep the team inspired and the partnering effort fresh. It also is important to recognize the people who are truly making the project successful as it is being built. Below are ways to build your team:

- Nominate Most Valuable Partners (MVPs). A great way to acknowledge team members is to identify Most Valuable Partners (MVPs). Teams can do this monthly in the project scorecard, annually within a department or division, or by nominating individuals at the end of a project.
- Host a partnering barbecue. A great way to build rapport with team members is to hold a casual barbecue. Connect it to a milestone so it has meaning to the team.
- Capture success stories along the way. Take time to share success stories at the weekly progress meeting and during your partnering sessions. Start an awards application file, so your team is ready to go when it comes time to fill out the San Francisco Collaborative Partnering Awards application. Teams often forget the issues they overcame through the course of a project.
- Hold a team-building event. Teams have held beach cleanups, volunteered at a community shelter, picked up trash or performed other service projects. It's a great way to connect with the people you work with on a day-to-day basis.

Remember, the culture of your project team is what you make it. Explore opportunities to build personal relationships – this will help the team when things may not be going as well.

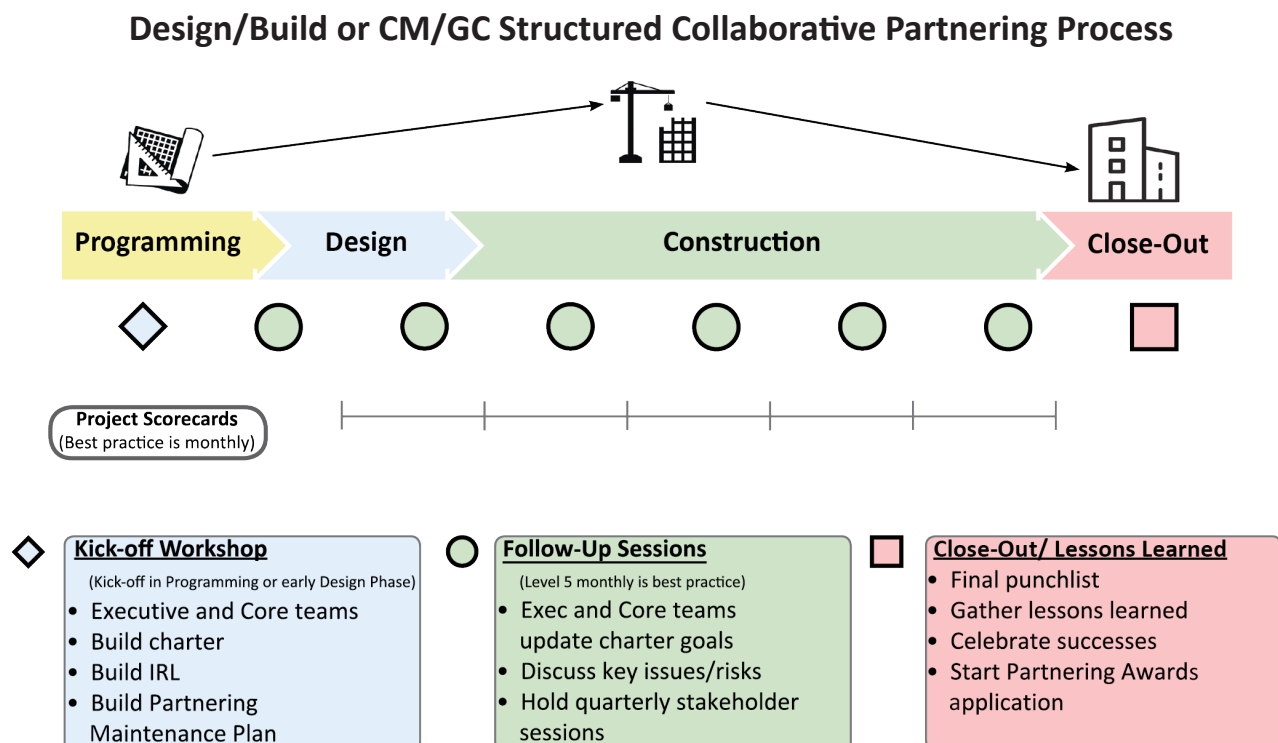
## Partnering for Alternative Delivery Method Projects

Structured Collaborative Partnering is a best practice easily adapted to alternative delivery methods. There are a few key differences that can help your project team really tap into the benefits the alternative delivery methods provide. The projects that use these methods tend to be large in size and highly complex, so the best practice is to use Level 5 Partnering (see image below).

The most commonly used project alternative delivery methods in the City and County of San Francisco are Construction Manager/General Contractor (CM/GC) and Design/Build. We will briefly cover the key differences and best practices for each.

### Partnering for alternative delivery method projects:

- Start the partnering process as early as possible: Kick-off during programming or early design.
- Develop an organizational chart for the project team and key project stakeholders and keep it current through the project as roles and responsibilities will shift.
- Partner during the design phase: Set up partnering sessions a few weeks before design milestones to capture early stakeholder feedback and make course corrections.
  - Stakeholders should review designs at the end of programming, in schematic design (SDs), design development (DDs) as well as construction documents (CDs).
- Invest time to learn how the delivery method works at the executive level and at the field level. There are MANY iterations of CMAR, CM/GC and design-build. Make sure to invest the time to learn how the delivery model works for this specific project. Project teams can be sunk when inspectors, construction managers or key staff do not know how to administer the job.
- Be flexible. The focus of the partnering sessions will change and the team members will shift as the project advances from programming to design and design into construction.
- Stick with the partnering process. Alternative delivery method projects are typically large and complex. Significant issues will arise and the best way to manage the complexity is to have an executive team and the stakeholders involved and invested in the project outcome.



### Adaptations for CM/GC Projects

For CM/GC projects, the department selects the prime contractor or construction management firm based on qualifications and it joins the project early in the process (late programming or early design phase is common). The contractor or CM's role is to provide constructibility reviews and assist with aligning the budget with the design scope.

When developing the IRL, note that the architect or engineer will be directly contracted with, and represented by, the owner during issue resolution.

CM/GC projects teams need to be able to successfully manage the relationship between the design and budget. It is common for the contractor to be responsible for delivering the project within budget and on schedule, but lack the authority to provide design direction. Teams often struggle with this added complexity.

San Francisco Public Utilities Commission – IRL for CM/GC			
Level	SFPUC (Represents design and engineering team, QA/QC, etc.)	Contractor or CM/GC (Represents Subs, Materials Suppliers, etc.)	Time to Elevate
I	Inspector or RE	Superintendent	Up to 1 shift
II	Resident Engineer	Project Manager	Up to 5 work days
III	Construction Manager / Project Manager	Project Manager	Up to 5 work days
IV	Regional Construction Manager	Project Executive / Operations Manager	Up to 3 work days
V	CM Manager / Deputy Director	Vice President / President	Up to 5 work days
VI	Optional Facilitated Issue Resolution		
VII	Dispute Resolution Advisor (DRA) or Dispute Review Board (DRB)		

### Adaptations for Design/Build

For Design/Build projects, the team is encouraged to engage the partnering facilitator as early as possible. It is a common misconception that partnering is a process intended for construction – in fact, it is essential for the project team to gel early, so it can develop trust and take advantage of the potential schedule benefits that Design/Build provides by starting certain elements of construction work early (e.g. grading, paving, structural work and utility relocating). It is important to note that there are a variety of types of Design/Build projects (including Design/Build with a Guaranteed Maximum Price and Progressive Design/Build).

#### Design Build Done Right

The 2014 Design Build Institute of America (DBIA) "Design Build Done Right" Guide identified structured Collaborative Partnering as a best practice for successful implementation.

To successfully partner the Design/Build project, make sure to train the team on how to administer this specific project. Confusion about roles and responsibilities for inspectors, code enforcement, and staff providing design feedback frequently leads to conflict. For the IRL, the key difference is that there is now only one contract to administer. The team manages the budget and design direction flows through the prime contractor.

San Francisco International Airport – IRL for Design/Build			
Level	SFO (Represents stakeholders, QA/QC, etc.)	Design/Builder (Represents design and engineering team, Subs and Materials suppliers)	Time to Elevate
I	Inspector (PMSS)	Superintendent	Up to 1 shift
II	Project Manager	Project Manager	Up to 3 work days
III	Program Manager	Project Executive	Up to 2 work days
IV	Director of Project Management	Vice President / Operations Manager	Up to 3 work days
V	Chief Development Officer	President	Up to 3 work days
VI	Airport Director	President	Up to 2 work days

## Multi-tiered Partnering

For large, complex projects, the best practice is to divide the partnering process into multiple tiers and hold sessions for each tier. It is common for the team to be broken into an executive team, a core team and a stakeholder team (the three tiers are covered in detail in Chapter 3).

Briefly the levels are:

- **Core Team:** The project drivers, those focused on the day-to-day delivery of the project. This group is made up of field leadership, project managers and senior project managers from the City department, the contractor and the architect or engineer. The core team also includes key subcontractors and the stakeholders or consultant staff who are working with the team daily during that phase of work.
- **Executive Team:** The project board of directors - they focus on strategy, the cost, scope, schedule and the composition of the project team itself.
- **Stakeholder Team:** This group is comprised of end-users (the project customers), maintainers, inspectors, local business representatives, or third parties (i.e. utilities, railroad flaggers, etc.). In other words, stakeholders are individuals and organizations who are connected to or are impacted by the construction project.

### Core Team

Field leadership and managers who drive the project

### Executive Team

The steering group that serves as the Board of Directors for the project

### Stakeholder Team

The end-users, maintainers or project influencers who provide feedback to the Core Team

\*For large projects, it meets quarterly

## Maximizing Partnering Session Attendance

### Get the Right People in the Room

More than 50% of the success of any negotiation is having the right people in the room. Start by working with your facilitator to identify who should be on the executive team, the core team and the stakeholder team (if applicable). Then, use these best practices to make it easy for all team members to attend.

- Replace a weekly progress meeting with the partnering session. The core team is already accustomed to showing up on that day of the week and at that time slot and it helps eliminate a meeting during that week.
- Engage a great partnering facilitator who will help the team invest the time wisely.
- Set the dates early and stick to them. Distribute invitations to executives and the core team members early and DO NOT move the dates.
- Send a meeting reminder one week prior. Make sure to include the meeting date, the meeting time, parking options and directions to the room.

### Maximize Attendance for Project Stakeholders

The objective of any stakeholder partnering session is to provide a forum where the core team can receive direct feedback from the stakeholders and end-users of the project. The goal is for the team to dedicate time to respond to stakeholder feedback and requests as the project is being built (rather than during project close-out). To ensure strong attendance from the stakeholders:

- Review the roster from your PM counterpart, and your facilitator. Make sure it is updated regularly.
- Meet quarterly with project stakeholders and be sure to distribute invitations at least three weeks in advance of the stakeholder partnering session.
- Send a reminder that includes the meeting date, the meeting time, parking options and directions to the room.
- Offer a job walk directly prior to or after the stakeholder session.
- Offer lunch or a snack to the attendees and invite them to participate in milestone celebrations and/or barbecues.

### **To Maximize Attendance for Third-Parties**

It is incredibly valuable to have representatives from utilities, railroads, adjacent projects, or other third parties attend your team's partnering sessions. Unfortunately, teams often struggle to get representatives from these key project entities to attend. To entice third-party representatives:

- Have your project sponsor/executive write an email/formal letter cordially inviting them to attend.
- Earmark a time on the agenda to focus on issues related to that third party. Have representatives attend for one hour (rather than the entire partnering session), during which the team discusses the challenges/issues related to the work.
- Offer lunch or a snack that will encourage them to attend.

### **When to Call a Follow-up Partnering Session**

For most projects, scheduling the follow-up partnering sessions based on the criteria established in the Partnering Matrix is sufficient. However, when the team is struggling to resolve issues, it cannot allow the project to fail. Here are common signs that it is time to call a follow-up partnering session or perhaps an issue resolution partnering session (discussed in [Chapter 4](#)):

- The partnering surveys are trending down in key areas (multiple scores are two or below in the five-point scale or the average scores have fallen by more than half a point).
- Letter or email campaigns have started – the team sends the letter first and talks second.
- The weekly progress meetings have a repeating pattern of conflict.
- The team has an excessive number of RFIs or notices of potential claim (NOPCs).
- The team has an unusually high number of contract change orders.
- The monthly schedule update is routinely delayed and is a source of conflict.
- The baseline schedule extends beyond the completion date and the contractor is at risk for LDs.







# Chapter 7

## San Francisco Collaborative Partnering Awards

San Francisco Public Utilities Commission  
Oceanside Flare Controls and Stack Upgrade Project

*"It is amazing what you can  
accomplish if you do not care who gets  
the credit."*

Harry S. Truman  
33rd U.S. President

## The San Francisco Collaborative Partnering Awards

The San Francisco Collaborative Partnering Awards are presented annually to teams that best exemplify the principles of partnering on City projects. The stated purpose of the awards program is to identify excellence in partnering on completed City projects, celebrate successes, share lessons learned for best practices and honor the members of the team who were critical to the successful delivery of the project.

Applications are rated by a panel of judges and given an overall score.

Factors used in selecting award recipients are:

- Adherence to the principles of partnering
- Utilization of the structured collaborative partnering process, including the development of a charter and the use of a scorecard survey
- Improved communications and teamwork
- Joint problem solving
- Conflict/dispute resolution
- Delivery of a quality project
- Innovation

The San Francisco Collaborative Partnering Awards applications are due in the summer. For guidelines, judges' criteria, and to download an application to nominate your project, please visit: [www.sfpartnering.com/awards](http://www.sfpartnering.com/awards).





San Francisco International Airport  
Terminal 3 East Project

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# Appendix A - The Standard Citywide Partnering Specification

## SECTION 01 31 33

### PARTNERING PROCEDURES

#### PART 1 - GENERAL

##### 1.1 PARTNERING LEVEL

- A. This Project shall incorporate the required partnering elements for **Partnering Level X**.

##### 1.2 SUMMARY

- A. This Document specifies the procedures for establishing a collaborative partnering process. The partnering process will assist the City and Contractor to develop a collaborative environment so that communication, coordination, and cooperation are the norm, and to encourage resolution of conflicts at the lowest responsible management level.
- B. The partnering process is not intended to have any legal significance or to be construed as denoting a legal relationship of agency, partnership, or joint venture between the City and Contractor.
- C. This specification **does not supersede or modify any other provisions of the Contract**, nor does it reduce or change the respective rights and duties of the City and Contractor under the Contract, or supersede contractual procedures for the resolution of disputes, including the submittal of a timely Notice of Potential Claim or Contract Claim.
- D. The "San Francisco Partnering Field Guide" is available to the project team as a recommended reference document. This guide provides structure, context and clarity to the partnering process. The guide is available at the City's partnering program website [www.sfpartnering.com](http://www.sfpartnering.com).

##### 1.3 DEFINITIONS

- A. **Partnering Charter ("Charter"):** The Charter is the guiding focus for the project team. It documents the team's vision and commitment to work openly and cooperatively 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:
  - 1. Mutual goals
  - 2. Partnering maintenance plan
  - 3. Dispute resolution plan with Issue Resolution Ladder
  - 4. Team commitment statement and signatures
- B. **City Partnering Fundamentals Training:** Training provided by the City to contractor and City staff on the fundamentals of partnering. Information may be found at [www.sfpartnering.com](http://www.sfpartnering.com).
- C. **Collaborative Partnering:** A structured and scalable process made up of elements that develop and grow a culture (value system) of trust among the parties of a construction contract. Together, the combination of elements, including the partnering charter, executive sponsorship, partnering meetings, accountability tools for the project team (Scorecards), and facilitator, if employed, create a collaborative atmosphere on each project.

&lt;Name of Project&gt;

&lt;Contract No.&gt;

- D. **Core Team Partnering:** The project team members who are a part of the project for its duration, including the following (not in order of hierarchy):

City:	Contractor:
Resident Engineer	Superintendent
Project Manager	Project Executive
Construction Manager	Jobsite Supervisor
Engineer, Architect	Project Manager
Division Manager	Project Engineer
Construction Engineer	Subcontractors
Inspectors	Key suppliers
Client Department representative	Senior Management (e.g. Area Manager, Operations Manager, VP, President, Owner)
Critical third parties: stakeholders, other agencies, utilities, etc., or anyone who could potentially stop or delay the project.	

- E. **Executive Partnering Team:** The senior leaders of the City and Contractor who may form a project board of directors and are charged with steering the project to success.
- F. **Executive Sponsorship:** Commitment to, and support of, the partnering process from the most senior levels of the City and Contractor organizations.
- G. **External Facilitator:** The mutually agreed upon experienced professional neutral partnering facilitator whose profession is providing partnering services for construction projects.
- H. **[OPTIONAL PROVISION] Facilitated Issue Resolution (FIR):** An optional, mediation-like issue resolution process where the external facilitator (or a mutually selected professional neutral with knowledge of construction) can be used by the team to resolve specific construction disputes. The team may decide during the kick-off partnering workshop whether they will include a FIR process for that project. If the team elects to use FIR, FIR will become the last step of the Issue Resolution Ladder.
- I. **Internal Facilitator:** A trained employee or representative of the City who provides partnering facilitation services for Level 1, 2, or 3 projects.
- J. **Issue Resolution Ladder (IRL):** A stepped process that formalizes the negotiation between the parties of a construction project. While actual titles may differ, the intent of this ladder is to provide a process that elevates issues up the chain of command between the parties involved in an issue. The objective is to resolve issues at the lowest practical level and to not allow individual project issues to disrupt project momentum. When an issue is escalated one level, it is expected that a special meeting focusing on the negotiated settlement for that issue will be called with the goal of settling as quickly as possible. A sample issue resolution ladder (IRL) is shown below. The IRL will be developed during the kick-off partnering workshop or pre-construction meeting.

Sample Issue Resolution Ladder			
Team Level	Awarding City Department	Contractor	Time to Elevate
I	Inspector or Resident Engineer	Foreman/ Superintendent	1 day
II	Project Manager	Project Manager	1 week
III	Program Manager	Area Manager	1 week
IV	Division Manager	Operations Manager	2 weeks
V	Deputy Department Director	Owner; President	1 week
VI	*Optional Facilitated Issue Resolution		



- K. **Kick-off Partnering Workshop:** The initial partnering session where the team develops its partnering charter and officially starts the partnering process.
- L. **Multi-Tiered Partnering (Executive - Core Team - Stakeholder):** Partnering workshops can be divided into multiple sessions, including an executive session, core team session and stakeholder session. For very large projects, a best practice is to use the executive team as a project board of directors who provide vision and steer the project. The core team is the central group of key individuals who are on the project throughout the duration. The stakeholder team is made up of end users, operations and maintenance personnel or third parties who can influence the outcome of the project.
- M. **Partnering Level:** The desired level of engagement in the partnering process may vary depending on a contract's size, complexity, location or other risk factor. If a project encounters any of the following risk factors in the Matrix, the City may consider adjusting the partnering process to the appropriate level.

The Citywide Partnering Matrix

Level	Estimated Construction Amount	Complexity	Political Significance	Relationships	Partnering Process
5	\$100 million +	Highly technical and complex design & construction	High visibility/oversight; significant strategic project	New project relationships; high potential for conflict (strained relationship, previous litigation, or high probability of claims)	<b>Recommended Elements:</b> 12 Sessions/yr. and 12 Surveys/yr. External Facilitator
4	\$30 - \$100 million	High complexity with schedule constraints, uncommon materials, etc.	Probable stakeholder and community interest or involvement	New contractors or CM, new subs	<b>Recommended Elements:</b> 6 Sessions/yr. and 12 Surveys/yr. External Facilitator
3	\$10 - \$30 million	Increased complexity	Likely, depending on the location and other project characteristics	Established relationships; new CM, subs, or other key stakeholders	<b>Elements:</b> 4 Sessions/yr. and 4 Surveys/yr. Internal or External Facilitator
2	\$2 - \$10 million	Standard complexity	Unlikely, unless in a place of importance	Established relationships; new subs, new stakeholders	<b>Elements:</b> Minimum 2 Sessions Internal or External Facilitator
1	\$600,000 - \$2,000,000	Low level complexity	Unlikely, unless in a place of importance	Established relationships; new subs, new stakeholders	<b>Elements:</b> Create IRL <b>Recommended:</b> Minimum 2 Sessions (Level 2)

- N. **Partnering Maintenance Plan:** An element of the partnering charter, the partnering maintenance plan describes the frequency of follow-up partnering sessions (including the close-out/lessons learned session) and the use and frequency of project scorecards.
- O. **Partnering Sessions:** Formalized meetings (workshops) focused on developing a collaborative culture among the project team. Teams use these meetings to, among other tasks, set project goals, define project commitments and attend joint training sessions.
- P. **Project Scorecards:** An accountability tool that allows project teams to measure how well they are following through on commitments made to one another. Typically, the scorecard is a confidential survey prepared and submitted to the team by the partnering facilitator, if any. The facilitator then compiles the responses into a report which is then sent out to the project team for review.

&lt;Name of Project&gt;

&lt;Contract No.&gt;

- Q. **Project Stakeholders:** Any person or entity that has a stake in the outcome of a construction project. Examples include the end users, neighbors, vendors, special interest groups, those who must maintain the facility, those providing funding, and those who own one or more of the systems.
- R. **Project Team:** Key members from the City and Contractor organizations responsible for the management, implementation, and execution of the project, who will participate in the partnering process.
- S. **Self-Directed Partnering:** The project team leads itself through all of the collaborative partnering elements.
- T. **Stakeholder Team** (in Multi-tiered Partnering): Those individuals who have a stake in the outcome of a construction project.
- U. **Subcontractor on-boarding/off-boarding:** At the various stages of construction, key subcontractors (trades) determined by City and Contractor will participate in the partnering process as needed as their work begins and is completed.
- V. **Third-Party Facilitator Agreement:** An agreement, appended to this specification, to which the external facilitator and the City and the Contractor are parties, and which establishes a budget for fees and expenses of the facilitator, workshop site costs, if any, and the terms of the facilitator's role for the project consistent with the requirements of this specification.

#### 1.4 PURPOSE/GOALS

- A. The goals of project partnering are 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 and identify potential project efficiencies;
  5. Implement timely communication and decision-making;
  6. Resolve potential problems at the lowest possible level to avoid negative impacts;
  7. Hold periodic partnering sessions and workshops throughout the life of the project to maintain the benefits of a partnered relationship;
  8. Establish periodic joint evaluations of the partnering process and attainment of mutual goals.

#### 1.5 COSTS

- A. The fees and expenses of the facilitator, project scorecards, partnering training and workshop site costs, if any, shall be paid for by the City as set forth in the Third-Party Facilitator Agreement.
- B. Each project will include an allowance to cover the full partnering costs. The allowance will be determined by the City based on the project's partnering level. The Contractor shall pay the invoices of the facilitator and/or workshop site costs after approval by both parties. Upon receipt of satisfactory evidence of payment of facilitator invoices by the Contractor, the City will then reimburse the Contractor for such invoices from a fixed cash allowance included as a bid item in the bid prices. No mark-up, overhead or other

fees shall be added to the partnering costs. If the total cost of the partnering differs from the allowance amount, the contract sum shall be adjusted by change order for the difference between the actual cost and the amount included in the bid, as an additional amount due the Contractor or a credit to the City, as appropriate. If the Contractor fails or refuses to pay the facilitator invoices, the City may pay such invoices and deduct the Contractor's portion from any amount that is due or may become due under the contract.

## 1.6 PARTNERING TRAINING

- A. In accordance with the Citywide partnering program, at least one member of the City staff team and the Contractor shall attend the City Partnering Fundamentals Training and have received a Certificate of Completion from the training session. It is recommended that the key members of the project delivery team (i.e. the Contractor's project executive, project manager and superintendent, and the City project manager and construction manager) be trained. It is recommended that the prime contractor have at least two members of the team trained so that one is available on the project at all times. Training is free to participants and is offered regularly by the City. Attendance can be coordinated through the Partnering Coordinator and [www.sfpartnering.com](http://www.sfpartnering.com). Evidence of training (i.e. the Certificate of Completion) must be provided to the City project manager no later than 90 days after Notice of Award.

## PART 2 - PRODUCTS (Not Used)

## PART 3 - EXECUTION

### 3.1 PARTNERING INITIATION

- A. The City Representative, after award of Contract but in no case longer than 30 days following Notice to Proceed (NTP), shall send the Contractor a written invitation to enter into a partnering relationship. If an external facilitator will be retained, the City and Contractor shall cooperatively and in good faith select the facilitator as specified in subparagraph 3.3 below.

### 3.2 PARTNERING ELEMENTS

The partnering levels are based on the Citywide Partnering Matrix listed in subparagraph 1.3.

- A. For Level 1 Projects:

1. The team may self-direct partnering or retain an internal or an external facilitator.
2. **Self-Directed Partnering:** Teams electing to self-direct the partnering process shall develop the Issue Resolution Ladder during the pre-construction meeting. During the pre-construction meeting, the team is encouraged to mutually develop the core project goals, including: schedule, budget, quality, and safety. The team is encouraged to create a team commitment statement with signatures.
3. **Internal or External Facilitator.** If the City and Contractor elect to retain an internal or external facilitator, they will do so according to the process listed in subparagraph 3.3 of this document. They will follow the partnering elements listed for Level 2 Projects.

&lt;Name of Project&gt;

&lt;Contract No.&gt;

- B. For Level 2 Projects, the required partnering elements are:
1. **Internal or External Facilitator.** The City and Contractor shall retain either an internal or external facilitator according to the process listed in subparagraph 3.3 below for the partnering sessions or workshops. The facilitator shall be mutually agreed to by the City and Contractor.
  2. **Kick-off Partnering Workshop.** The City, Contractor, and facilitator, if any, shall meet to mutually develop a strategy for a successful partnering process and create their initial partnering charter.
  3. **Partnering Charter and/or mission statement.** The City and Contractor shall agree to create a partnering charter that includes:
    - (a) Mutual goals, including core project goals that relate to project schedule, budget, quality, and safety, and possibly project-specific goals and mutually-supported individual goals.
    - (b) Partnering maintenance and close-out plan, including partnering session attendees and frequency of meetings.
    - (c) Dispute resolution plan that includes an Issue Resolution Ladder.
    - (d) Team commitment statement and signatures.
  4. **Minimum Two Partnering Workshops or Sessions** (including kick-off workshop). The partnering team may participate in additional workshops or sessions during the life of the project that they mutually agree is necessary and appropriate.
  5. **Executive Sponsorship.** Commitment to, and support of, the partnering process from the most senior levels of the City and Contractor organizations.
  6. **Issue Resolution Ladder.** The City and Contractor shall mutually develop an IRL.
- C. For Level 3 Projects, add the following elements:
1. **Internal or External Facilitator.** City and Contractor shall retain either an internal facilitator or an external facilitator according to the process listed in subparagraph 3.3 below for the partnering meetings or workshops. The facilitator shall be mutually agreed to by the City and Contractor.
  2. **Quarterly Partnering Workshops or Sessions** (including kick-off workshop). The partnering team may participate in additional workshops or sessions during the life of the project as needed.
  3. **Quarterly Project Scorecards.** City and Contractor shall participate in periodic partnering evaluation surveys to measure progress on mutual goals and short-term key issues as they arise.
  4. **Key Subcontractor On-Boarding/Off-Boarding.** Key subcontractors will be invited to participate in the partnering sessions as necessary as determined by City and Contractor as their participation in the project work becomes relevant.

- D. For Level 4 Projects, recommend adding the following elements:
1. **External Facilitator for Kick-off and Bi-Monthly Partnering Sessions.** City and Contractor will retain an external facilitator according to the process listed in subparagraph 3.3 below for the kick-off partnering workshop and bi-monthly partnering meetings. Additional meetings, workshops, or sessions may be facilitated by mutual agreement.
  2. **Bi-Monthly Partnering Sessions.** The partnering team shall convene partnering sessions at least every two months throughout the duration of contract.
  3. **Monthly Project Scorecards.** City and Contractor shall participate in partnering evaluation surveys at least every month.
- E. For Level 5 Projects, recommend adding the following elements:
1. **Monthly Partnering Sessions.** The project team may hold professionally facilitated partnering sessions monthly throughout the duration of the project.
  2. **Multi-tiered Partnering (Executive – Core Team – Stakeholder).** Partnering team will divide into smaller groups and convene multiple sessions including an executive Session, core team session and stakeholder session.
  3. **Monthly Project Scorecards.** City and Contractor shall participate in monthly partnering evaluation surveys.

### 3.3 SELECTION OF A PROFESSIONAL NEUTRAL FACILITATOR

- A. If an external facilitator will be retained, the City and Contractor shall meet as soon as practicable after award of contract, but in no case later than 30 days after NTP, to mutually select a facilitator. The City and Contractor shall also schedule the kick-off workshop, determine the workshop site and duration, and agree to other administrative details.
- B. The City, Contractor, and selected facilitator shall execute a Third-Party Facilitator Agreement within 30 days of NTP.
- C. The facilitator shall lead the kick-off partnering workshop and other partnering sessions as necessary or required.

### 3.4 FACILITATOR QUALIFICATIONS AND REQUIREMENTS; EVALUATIONS

- A. The facilitator shall be trained in the recognized principles of partnering.
- B. The facilitator shall have the following professional experience and qualifications:
  1. At least 3 years' experience in partnering facilitation with a demonstrated track record, including public sector construction for a city or other municipal agency; and,
  2. Skill set that may include construction management, negotiations, labor-management mediation, and/or human relations.
- C. The facilitator shall be evaluated by the partnering team: (1) at the end of the kick-off partnering workshop; and (2) at the project close-out partnering session.

&lt;Name of Project&gt;

&lt;Contract No.&gt;

### 3.5 [OPTIONAL PROVISION] FACILITATED ISSUE RESOLUTION PROCESS

- A. In the event that a project team is unable to resolve an issue, the team may agree to call a Facilitated Issue Resolution (FIR) session.
- B. The FIR session will be held as part of the good faith effort to resolve the construction issue.
- C. The team shall document its intention to use FIR while developing the Partnering Charter. They will include FIR as the last step of the IRL.
- D. Submittal of an issue to the IRL or a FIR session does not toll, reduce, or change the respective rights and duties of the City and Contractor under the contract, or supersede contractual procedures for the resolution of disputes, including the submittal of a timely Notice of Potential Claim and/or a Certified Contract Claim.

END OF SECTION



## Appendix B - Glossary of Terms

The following are the official definitions of the terms used in this Partnering Field Guide and in the Standard Citywide Partnering Specification.

**Partnering Charter (“Charter”):** The charter is the guiding focus for the project team. It 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:

1. Mutual goals
2. Partnering maintenance plan
3. Dispute resolution plan with Issue Resolution Ladder
4. Team commitment statement and signatures

**Collaborative Partnering:** A structured and scalable process made up of elements that develop and grow a culture (value system) of trust among the parties of a construction contract. Together, the combination of elements, including the partnering charter, executive sponsorship, partnering meetings, accountability tools for the project team (scorecards), and facilitator, if employed, create a collaborative atmosphere on each project.

**Core Team Partnering:** The project team members who are a part of the project for its duration, including the following (not in order of hierarchy):

Core Team Members	
City:	Contractor:
Resident Engineer	Superintendent
Project Manager	Project Executive
Construction Manager	Jobsite Supervisor
Engineer, Architect	Project Manager
Division Manager	Project Engineer
Construction Engineer	Subcontractors
Inspectors	Key Suppliers
Client Department Representative	Senior Management (e.g. Area Manager, Operations Manager, VP, President, Owner)
Critical third parties: stakeholders, other agencies, utilities, etc., or anyone who could potentially stop or delay the project.	

**Dispute Resolution Advisor (DRA):** The DRA has proven useful in the resolution of minor disputes. It allows one expert advisor to hear from both the owner and the contractor or design/builder and give the team a non-binding, written opinion.

**Dispute Review Board (DRB):** The DRB is an advisory body that makes recommendations to resolve disputes between the City department and Contractor or design/builder. The DRB consists of three neutral members. One member is selected by the Contractor, one by the City department, and the third by the first two board members. The members are usually individuals who have been in the industry for many years and can offer sound technical advice and reasoned findings.

**Executive Partnering Team:** The senior leaders of the City and Contractor who may form a project board of directors and are charged with steering the project to success.

**Executive Sponsorship:** Commitment to, and support of, the partnering process from the senior most levels of the City and Contractor organizations.

**External Facilitator:** The mutually agreed upon experienced professional neutral partnering facilitator whose profession is providing partnering services for construction projects.

**Facilitated Issue Resolution (FIR):** An optional, mediation-like process where the external facilitator (or a mutually-selected professional neutral with knowledge of construction) can be used by the team to resolve specific construction disputes. The team will decide during the kick-off partnering workshop whether they will include the Facilitated Issue Resolution (FIR) process for that project. If they elect to use FIR, they will include it as the bottom rung of the Issue Resolution Ladder. The project team's partnering allowance may be used towards FIR sessions.

**Field-Level Decision Making:** Decisions made by those who are running the day-to-day work in the field – this is typically the inspector or resident engineer.

**Internal Facilitator:** A trained employee or representative of the City who provides partnering facilitation services for Level 1, 2, or 3 projects. They primarily serve non-complex projects.

**Issue Resolution Ladder (IRL):** A stepped process that formalizes the negotiation between the parties of a construction project. While actual titles may differ, the intent of this ladder is to provide a process that elevates issues up the chain of command between the parties involved in an issue. The objective is to resolve issues at the lowest practical level and to not allow individual conflicts to disrupt project momentum. When an issue is escalated one level, it is expected that a special meeting focusing on the negotiated settlement for that issue will be called with the goal of settling as quickly as possible. A sample issue resolution ladder (IRL) is shown below. The IRL will be developed during the kick-off partnering workshop or pre-construction meeting.

Sample Issue Resolution Ladder			
Level	Awarding City Department (Represents Designer, QA/QC, etc.)	Contractor (Represents Subs, Materials Suppliers, etc.)	Time to Elevate
I	Inspector or RE	Foreman / Superintendent	Up to 1 shift
II	Project Manager / CM	Project Manager	Up to 5 work days
III	Program Manager	Area Manager / Project Executive	Up to 5 work days
IV	Division Manager	Operations Manager / VP	Up to 10 work days
V	Deputy Department Director	Owner; President	Up to 5 work days
VI	Optional Facilitated Issue Resolution		

**Kick-off Partnering Workshop:** The initial partnering session where the team develops its partnering charter and officially starts the partnering process.

**Multi-Tiered Partnering** (*Executive - Core Team - Stakeholder*): Partnering workshops can be divided into multiple sessions, including an executive session, core team session and stakeholder session. For very large projects, a best practice is to use the executive team as a project board of directors who provide vision and steer the project. The core team is the central group of key individuals who are on the project throughout its duration. The stakeholder team is made up of end-users, maintainers or third parties who can influence the outcome of the project.

**Partnering Level:** The desired level of engagement in the partnering process is based on the Citywide Partnering Matrix and may vary depending on a contract's size, complexity, location or other risk factor. If a project encounters any of the following risk factors, the City may consider adjusting the partnering process to the appropriate level.

**The City Wide Partnering Matrix**

Level	Estimated Construction Amount	Complexity	Political Significance	Relationships	Partnering Process
5	\$100 million +	Highly technical and complex design & construction	High visibility/oversight; significant strategic project	New project relationships; high potential for conflict (strained relationship, previous litigation, or high probability of claims)	<b>Recommended Elements:</b> 12 Sessions/yr. and 12 Surveys/yr. External Facilitator
4	\$30 - \$100 million	High complexity with schedule constraints, uncommon materials, etc.	Probable stakeholder and community interest or involvement	New contractors or CM, new subs	<b>Recommended Elements:</b> 6 Sessions/yr. and 12 Surveys/yr. External Facilitator
3	\$10 - \$30 million	Increased complexity	Likely, depending on the location and other project characteristics	Established relationships; new CM, subs, or other key stakeholders	<b>Elements:</b> 4 Sessions/yr. and 4 Surveys/yr. Internal or External Facilitator
2	\$2 - \$10 million	Standard complexity	Unlikely, unless in a place of importance	Established relationships; new subs, new stakeholders	<b>Elements:</b> Minimum 2 Sessions Internal or External Facilitator
1	\$600,000 - \$2,000,000	Low level complexity	Unlikely, unless in a place of importance	Established relationships; new subs, new stakeholders	<b>Elements:</b> Create IRL <b>Recommended:</b> Minimum 2 Sessions (Level 2)

**Partnering Maintenance Plan:** An element of the partnering charter, the partnering maintenance plan describes the frequency of follow-up partnering sessions (including the close-out/lessons learned session) and the use and frequency of project scorecards.

**Partnering Sessions:** Formalized meetings (workshops) focused on developing a collaborative culture among the Project Team. Teams use these meetings to, among other tasks, set project goals, define project commitments and attend joint training.

**Project Scorecard:** An accountability tool that allows project teams to measure how well they are following through on commitments made to one another. Typically, the scorecard is a confidential survey prepared and submitted to the team by the partnering facilitator. The facilitator then compiles the responses into a report which is then sent out to the project team for review.

**Project Stakeholder:** Any person or entity that has a stake in the outcome of a construction project. Examples include the end users, neighbors, vendors, special interest groups, those who must maintain the facility, those providing funding, and those who own one or more of the systems.

**Project Team:** Key members from the City and Contractor organizations responsible for the management, implementation, and execution of the project, who will participate in the partnering process.

**Self-Directed Partnering:** The project team leads itself through all of the collaborative partnering elements (used only for Level 1 projects).

**Special Task Force:** A subset of the project team that is assigned to take on a particular issue or opportunity for the good of the overall project.

**Stakeholder Team** (*in multi-tiered partnering*): Those individuals who have a stake in the outcome of a construction project.

**Stakeholder onboarding/off-boarding:** As a project progresses, various systems and processes will be the focus. Stakeholders will participate when the systems or processes they are involved in are the focus. The stakeholders will step back when that system or process is no longer the focus. This onboarding and off-boarding may occur throughout the duration of the contract.

**Subcontractor onboarding/off-boarding:** At the various stages of construction, key subcontractors (trades) determined by City and Contractor will roll in and roll out as their work begins and is completed.

**Third-Party Facilitator Agreement:** An agreement, appended to the partnering specification, to which the external facilitator, the City and the Contractor are parties, and which establishes a budget for fees and expenses of the facilitator, workshop facility costs, if any, and the terms of the facilitator's role for the project consistent with the requirements of the specification. [See Appendix D.](#)

## Appendix C - Sample Agenda, Charter, and Project Scorecards

### Sample City of San Francisco Kick-off Partnering Session Department X, Contractor Y, and Designer Z

#### Agenda

8:00 a.m.	Introductions
9:00 a.m.	Partnering Overview
9:15 a.m.	Project Goals
10:00 a.m.	Project Challenges
	<i>Short Break</i>
11:00 a.m.	Issue Resolution Ladder
11:30 a.m.	Communication Objectives
11:45 a.m.	Partnering Charter Signature Page
11:55 a.m.	Partnering Maintenance Plan
12:00 p.m.	Closing Thoughts
	<i>Lunch</i>

## Sample Partnering Charter

Project Name: Bayshore Avenue Streetscapes Project

Date: January 15, 2018

Location: 1 South Van Ness – *Fourth Floor Main Conference Room*

### Project Goals:

- Safety: The team will have zero lost time incidents.
- Budget: The team will deliver the project within the \$11.2M budget.
- Schedule: The project will be substantially completed (receive Temporary Certificate of Occupancy) by November 20, 2019.
- Quality: The team will have no rework.
- Trust: The team will work to develop trust throughout the project.
- Stakeholders: The team will receive no complaints from local businesses during construction.
- Value Engineering: The team will identify \$150,000 in VE savings for the project.
- Fun: The team will celebrate milestones and have fun. The team will win a San Francisco Collaborative Partnering Award.

### Key Issues and Risks:

#### Key Issue #1: Staging Plans

- 1.1 Andrew and Johanna will review the staging plan with Traffic Engineering and get it approved by February 1.

#### Key Issue #2: Public Information

- 2.1 The team will funnel all public complaints and questions from local businesses through Steve Jones (PIO).
- 2.2 The team will respond to all inquiries within 24 hours.

### Issue Resolution

Sample Issue Resolution Ladder			
Level	Awarding City Department (Represents Designer, QA/QC, etc.)	Contractor (Represents Subs, Materials Suppliers, etc.)	Time to Elevate
I	Inspector or RE	Foreman / Superintendent	Up to 1 shift
II	Project Manager / CM	Project Manager	Up to 5 work days
III	Program Manager	Area Manager / Project Executive	Up to 5 work days
IV	Division Manager	Operations Manager / VP	Up to 10 work days
V	Deputy Department Director	Owner; President	Up to 5 work days
VI	Optional Facilitated Issue Resolution		

### Partnering Maintenance Plan:

- Our next partnering session will be on April 15.
- We will use monthly scorecards; they will be disseminated by our partnering facilitator.

Signatures: By signing, we commit to the Partnering Charter Goals

_____	_____	_____
_____	_____	_____
_____	_____	_____



## Sample Project Scorecards:

Sample Scorecard  
Bayshore Avenue Streetscapes Project  
Date: \_\_\_\_\_

### Project Goals

Rate the progress being made toward each of the projects goals.

Poor

Excellent

1.	(Goal 1) SAFETY: The team will have zero lost time incidents.  <i>Comments:</i>	1 "	2 "	3 "	4 "	5 "	n/a "
2.	(Goal 2) BUDGET: The team will deliver the project within the \$11.2M budget  <i>Comments:</i>	1 "	2 "	3 "	4 "	5 "	n/a "
3.	(Goal 3) SCHEDULE: The project will be substantially completed (receive TCO) by November 20, 2019.  <i>Comments:</i>	1 "	2 "	3 "	4 "	5 "	n/a "
	(Goal 4) QUALITY: The team will have no rework.  <i>Comments:</i>						

### Project Key Issues/Risks

Rate the progress being made toward each of the key issues/risks

Poor

Excellent

1.	<b>Key Issue #1 Staging Plans</b> 1.1. Andrew and Johanna will review the staging plan with Traffic Engineering and get it approved by February 1.  <i>Comments:</i>	1 "	2 "	3 "	4 "	5 "	n/a "
2.	<b>Key Issue #2 Public Information</b> 2.1 The team will funnel all public complaints and questions from local businesses through Steve Jones (PIO).  2.2 The team will respond to all inquiries within 24 hours.  <i>Comments:</i>	1 "	2 "	3 "	4 "	5 "	n/a "
3.	<b>Key Issue #3 ...</b>  <i>Comments:</i>	1 "	2 "	3 "	4 "	5 "	n/a "

## Project Scorecard Sample 2

Rate the progress being made toward each of the project goals.

Item No.	Goal	Poor						Excellent	
1.	SAFETY/ HEALTH/ SECURITY	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>	n/a <input type="radio"/>		
2.	SCHEDULE	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>	n/a <input type="radio"/>		
3.	BUDGET	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>	n/a <input type="radio"/>		
4.	QUALITY	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>	n/a <input type="radio"/>		
5.	DOCUMENTATION	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>	n/a <input type="radio"/>		
6.	DECISION-MAKING/ ISSUE RESOLUTION PROCESS	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	4 <input type="radio"/>	n/a <input type="radio"/>		
7.	CONSTRUCTION PREPARATION	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>	n/a <input type="radio"/>		
8.	TEAM RELATIONS • Communications • Collaborations	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>	n/a <input type="radio"/>		
9.	JOB SUCCESS	1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>	n/a <input type="radio"/>		

Rate the progress being made toward each of the challenges

Item No.	Challenges	Poor						Excellent	
1.		1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>	n/a <input type="radio"/>		
2.		1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>	n/a <input type="radio"/>		
3.		1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	5 <input type="radio"/>	n/a <input type="radio"/>		

Comments:

## Appendix D - Third Party Facilitator Agreement

### SECTION 01 31 34 APPENDIX D: THIRD PARTY FACILITATOR AGREEMENT

THIS AGREEMENT, dated for convenience as of the \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_, is between the City and County of San Francisco (the "City"), acting by and through its Department \_\_\_\_\_, (the "Contractor") \_\_\_\_\_, and the following individual: \_\_\_\_\_ (the "Facilitator").

#### Recitals

- A.** The City, by and through its Department, has awarded to the Contractor public work Contract No. \_\_\_\_\_ (the "Contract") for the construction of a public work known as \_\_\_\_\_ (the "Project").
- B.** Included as part of the Contract is Section 01 31 33, Partnering Requirements, implementing a Partnering Facilitation procedure for the Project (the "Partnering Specification").
- C.** The Partnering Facilitator has been selected in conformance with the Partnering Specification.

#### Agreement

NOW THEREFORE, the City, the Contractor, and the Facilitator hereby agree as follows:

- 1. Compliance with Specification.** The Facilitator agrees to be bound by the terms of the Partnering Specification and to perform the required duties strictly as set forth in the Partnering Specification. The Partnering Specification is incorporated here by reference as if fully set forth.
- 2. Compensation.** The City and the Contractor agree that the Facilitator shall be compensated for his/her individual services as Facilitator at a billing rate of \$\_\_\_\_\_ per day and \$\_\_\_\_\_ per Scorecard. Compensation shall be paid at the stated billing rate, applied to travel time and reasonable study/consultation time and time spent in Partnering Workshops. Included in the billable rate shall be routine office expenses, such as secretarial, administrative, report preparation, telephone, computer, and internet connections.
- 3. Additional Compensation.** Not included in the billable rate, and considered additional compensation, shall be any travel expenses, outside reproduction costs, and postage costs. Travel expenses must be approved in writing by both the City and the Contractor prior to being incurred. Outside reproduction and postage expenses may be billed at cost.
- 4. Invoices.** The Facilitator shall submit to the Contractor invoices for work completed (a) not more frequent than once per month; (b) based on the agreed upon billing rate and conditions and on the number of hours expended, together with direct, non-salary expenses, including an itemized listing supported by copies of original bills, invoices, and expense accounts; and (c) accompanied by a description of activities performed daily during the invoice period.
- 5. Confidentiality.** The Facilitator shall not divulge any information acquired during Partnering activities without obtaining prior written approval from the City and the Contractor.

**6. Recordkeeping.** The Facilitator shall maintain cost records pertaining to this Agreement for inspection by the City or the Contractor for a period of three years following the end or termination of this Agreement.

**7. Assignment.** No party to this Agreement shall assign any duty established under this Agreement or the Partnering Specification.

**8. Termination.** This Agreement may be terminated only by mutual agreement of the City and the Contractor at any time upon not less than 10 days written notice to the Facilitator. If the Facilitator resigns, is unable to serve or is terminated, he/she will be replaced within four weeks in the same manner as he/she was originally selected under the Partnering Specification. This Agreement shall be amended to indicate the member replacement.

**9. Legal Relations.** The parties to this Agreement expressly acknowledge that the Facilitator, in the performance of his or her duties under this Agreement and the Partnering Specification, is acting in the capacity of an independent agent and not as an employee of the City or the Contractor. The Facilitator shall not participate in any dispute proceedings relating to the Contract or the Project. The City and Contractor release the Facilitator from any and all liability, claims, demands, actions and causes of action arising out of or resulting from partnering for the project. The release set forth above excludes any and all liability, claims, demands, actions and causes of action arising out of or resulting from fraud or willful misconduct by the Facilitator.

**10. Jurisdiction and Venue.** Disputes among the City, the Contractor, and the Facilitator arising out of this Agreement shall be brought in the California Superior Court, County of San Francisco. The Agreement shall be interpreted in accordance with the laws of the State of California. The Facilitator hereby consents to the personal jurisdiction of the California Superior Court, County of San Francisco.

CITY AND COUNTY OF SAN FRANCISCO [CONTRACTOR]  
DEPARTMENT \_\_\_\_\_

BY: \_\_\_\_\_  
Name: \_\_\_\_\_  
Title: \_\_\_\_\_

BY: \_\_\_\_\_  
Name: \_\_\_\_\_  
Title: \_\_\_\_\_

FACILITATOR

BY: \_\_\_\_\_  
Name: \_\_\_\_\_  
Title: \_\_\_\_\_

Approved as to form:  
DENNIS J. HERRERA  
City Attorney

BY: \_\_\_\_\_  
Deputy City Attorney

END OF SECTION

## Appendix E - Facilitator Fees, Allowances, and Best Practices for Selection

**Sessions:** Most professional neutral facilitators charge \$4,500 – \$7,000 per session depending on the length, number of total sessions and the number of participants. This fee includes pre-partnering services (phone calls with key players and team members), the partnering session itself, materials and a followup report. For out-of-town facilitators, there may be a charge for travel expenses.

**Number of sessions:** Per the specification ([Appendix A](#)), all projects valued over \$2 million have a minimum of two partnering workshops or sessions. For Levels 3 – 5 projects, more sessions are required.

**Lunch and refreshments:** Estimate between \$10-25 per participant per session.

**Scorecards:** Scorecards vary in price, but it is typical for a professional partnering facilitation firm to charge \$500-\$700 per scorecard for an internet-based survey that is specific to your project and your team.

**Facility rentals:** There are many free venues for holding partnering sessions, but if you have a very large group or are planning a special session, be sure to include rental costs in your allowance.

**Skill training:** Depending on the project, you may want to request specific skill training from your facilitator. Common training topics are active listening, building teams, change management, communication, conflict resolution, cultural diversity, dealing with difficult people, decision making, facilitation skills, leadership, problem solving, running effective meetings, time management and win-win negotiation. Check with your facilitator about costs for training. Because skill training is something that will be discussed with the awarded contractor, the costs likely will need to be covered by change order and shared between the City and the Contractor.

**Allowance:** Your bid allowance will be based on the Partnering Level for your project and will cover the entire fee for partnering. Below are minimum allowances required by partnering level. The allowance will cover both the City and Contractor's portion of the partnering costs including the facilitator's fee, fees for scorecards, room rentals, etc.

Partnering Level	Allowance
Level 1	\$7,500/ Project
Level 2	\$15,000/ Year
Level 3	\$30,000/ Year
Level 4	\$45,000/ Year
Level 5	\$60,000 Minimum/ Year *If monthly partnering is used, budget \$80,000

## Best practices to ensure you have selected the right facilitator for your team:

- Interview multiple facilitators. Call your potential facilitator(s) and ask for a resume or a statement of qualifications. Determine their level of experience and find out if they have previously worked on a project similar to yours. Ask about their philosophy and approach. You can vet them and establish rapport.
- Speak with your contractor. Your team's contractor or engineer may have a preferred provider or have worked with a great facilitator you are not familiar with.
- Schedule your session early. Assume that a good facilitator will be busy, reach out three to four weeks in advance of the kick-off meeting to set your date.
- Request to see a sample scorecard survey. Not all online scorecards are created equally. Ask for a sample to find out what type of service they are providing.
- Focus on value, not on price. The daily rate or fee for the partnering facilitator's service will be far exceeded by the cost of the salaries in the room. A great partnering facilitator will be an asset to your team and will enable you to maximize the return on investment for your partnering process. They will help you make commitments, set goals and resolve issues at the meeting. A poor facilitator may not understand your project or may follow a script rather than focus on what the team really needs—it will be a waste of people's time.
- Select a full-time partnering facilitator. If you are investing the time in the partnering process, select an expert whose business is specifically partnering facilitation. There are many firms that advertise they can do partnering, but lack depth of experience. Remember, your time is valuable. When you invest in your partnering facilitator, select someone who can help you and your team develop a more collaborative culture. (see box for details on a professional certification program).

### **International Partnering Institute** **(IPI) Partnering Facilitator** **Certification**

International Partnering Institute certifies professional partnering facilitators based on experience level.

- A Certified IPI Facilitator has successfully completed 25 professional sessions.
- A Senior Certified Facilitator (SIPI) has successfully completed 100 sessions.
- A Master Level Partnering Facilitator (MIPI) has successfully completed 250 sessions. They have also contributed books or other publications to enhance the field.

For more information visit:

[www.partneringinstitute.org](http://www.partneringinstitute.org)

## Common mistakes to avoid:

- Selecting the date before the facilitator. Teams occasionally pick the date for the kick-off and select the facilitator solely based on availability. Ensuring attendance by the right executives from the owner, contractor and architect is important, but if you select a less qualified facilitator, the quality of your partnering session and the strategy that occurs between the sessions will suffer. You would never choose a surgeon or an attorney based on availability – why would you pick the person who is supposed to help your team resolve issues that way?
- Assuming “not fighting” means you are partnering. Construction project teams tend to be optimistic. When we kick off the project, things tend to be good because the team has not yet had to overcome any technical or personality conflicts. Teams often avoid calendaring follow-up partnering sessions because they assume everything is going to be fine. Then an issue comes up and it takes several weeks to make the meeting happen. Partnering sessions improve team dynamics and communication. Calendar the sessions for the year in advance and stick to the dates.
- Believing that one meeting will fix the team. Follow-up partnering sessions are the most important practice in partnering. If your project team is struggling or has a bad dynamic, it will require multiple meetings to turn it around. A single claim takes hundreds of hours of administration to resolve. Invest the time early and solve the issue as the project is rolling. If your project is going well, partnering sessions will improve communication, accountability and follow-through. As Ronald Reagan said: “Trust, but verify.” Partnering helps build trust as the team delivers on its milestone dates and commitments.



## Appendix F- Partnering Facilitator Evaluations

### Partnering Facilitator Evaluation – Kickoff Partnering Workshop

Project Name:	Date of Partnering Session:
Partnering Facilitator Name:	Your Organization:
Your Name:	Your Project Position:

As a project team member, please check the appropriate box to indicate your reaction to the following statements:

		Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
1	The partnering facilitator appeared neutral to all parties.					
2	The partnering facilitator worked with team members before the kick-off to better understand the dynamics of the team and the project.					
3	The partnering facilitator encouraged participation of key stakeholders, such as subcontractors, design staff, multiple City department project staff members, community members, and/or outside agencies, in the partnering process.					
4	The partnering facilitator was effective in helping us build our team.					
5	The partnering facilitator was knowledgeable about partnering on San Francisco City and County projects.					
6	The partnering facilitator was knowledgeable about the construction process.					
7	The partnering facilitator communicated the importance of ongoing partnering throughout the life of the project and provided tools for doing so.					
8	The partnering facilitator helped the team set up the initial partnering scorecard survey and established the process and objective criteria for success of mutual goals.					
9	The partnering facilitator was effective in assisting the project team to develop a charter with the following elements: a) mutual goals defined for the specific job, b) partnering maintenance and close out plan c) dispute resolution plan including the IRL, and d) team commitment statement and signatures.					
10	Overall, I was satisfied with the performance of the partnering facilitator.					
As a result of today's session I am able to:						
11	Understand the concept of partnering					
12	Communicate to others what partnering is					
13	Carry out the partnering agreements made at the session					
14	Utilize the Issue Resolution Ladder					
15	Communicate with my team members more effectively					

Additional comments:

1. What did you find most helpful from today's session?
2. What would you recommend to improve the partnering process?
3. Was there anything not covered in this session that you would have liked incorporated?

### Partnering Facilitator Evaluation – Closeout Partnering Session

Project Name:	Date of Partnering Session:
Partnering Facilitator Name:	Your Organization:
Your Name:	Your Project Position:

As a project team member, please check the appropriate box to indicate your reaction to the following statements:

		Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
1	The partnering facilitator appeared neutral to all parties.					
2	The partnering facilitator encouraged participation of key stakeholders, such as subcontractors, design staff, multiple City department project staff members, community members, and/or outside agencies, in the partnering process.					
3	The partnering facilitator was effective in helping us build our team.					
4	The partnering facilitator was knowledgeable about partnering on San Francisco City and County projects.					
5	The partnering facilitator was knowledgeable about the construction process.					
6	The partnering facilitator communicated the importance of ongoing partnering throughout the life of the project and provided tools for doing so.					
7	The partnering facilitator offered an effective monthly partnering scorecard survey service and encouraged team members to participate.					
8	The partnering facilitator stayed connected to the team and the project throughout the life of the project.					
9	The partnering facilitator added value to the partnering process.					
10	The partnering facilitator was effective in assisting the team with issue or dispute resolution.					
11	Overall, I was satisfied with the performance of the partnering facilitator.					
12	I would recommend using this facilitator for future projects.					
As a result of today's session I am able to:						
13	Communicate with my team members more effectively					
14	Utilize tools to resolve issues more efficiently					
15	Resolve issues at the lowest possible management level					
16	Deliver a higher quality project					

Additional Comments:

## Appendix G- Partnering Session Set-up Checklist

Below is a checklist the team can use to effectively follow through with the partnering process for the project.

<b>Partnering Preparation</b>	Commit to partnering as our way of doing business.	
	Understand the elements of the San Francisco Partnering Program.	
	Understand partnering values and the role of the City and Contractor PM.	
	City PM makes offer to partner. Contractor PM accepts invitation to partner.	
	Obtain partnering facilitator's services.	
	Confirm the facilitator is registered with the San Francisco Partnering Program.	
	Prepare for the pre-construction meeting.	
	Hold the pre-construction meeting.	
<b>Hold the Kick-off Session</b>	Schedule and reserve venue for kick-off partnering workshop.	
	Determine length of partnering workshop, agenda, and attendees list.	
	City and Contractor PMs meet prior to partnering workshop to discuss and prepare.	
	Hold the kick-off partnering workshop. Create partnering charter. Evaluate facilitator.	
	Commit to not writing letters without talking to each other first.	
<b>During the Project</b>	Uphold your commitment to not writing letters without talking to each other first.	
	Schedule and hold weekly project meetings.	
	Complete the partnering scorecard surveys for the duration of your project.	
	Post and distribute the results from the scorecard surveys.	
	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 based on your partnering level.	
	Schedule and hold team building activities.	
	Use the Issue Resolution Ladder developed in the kick-off partnering workshop.	
<b>Issue Resolution</b>	Understand the ADR processes available, as well as the red flags or triggers that signal the need to implement their use.	
	Hold close-out partnering session. Identify lessons learned and submit them to the San Francisco Partnering Program.	
<b>Close-out</b>	Enter your partnering sessions into the EPM partnering sessions log.	
	Nominate your project for the San Francisco Collaborative Partnering Award.	

## Tips to get the most out of your partnering effort

1. Contact the facilitator and set a date for the workshop at least a month in advance. That gives the facilitator enough time to do a pre-survey of participants and gives invitees more time to adjust their schedules and actually attend.
2. Try new facilitators on your projects to keep it interesting and learn new things.
3. Hold the session as soon as possible after the project has started. This gives the team time to better predict and understand potential challenges.
4. Invite subcontractors and City managers as well as the key members of the City and contractor teams. Check to see if managers are able to at least stay for a short while to support the project. If representatives of community or merchant groups have been involved in the project, consider inviting them -- make sure to discuss this with your facilitator beforehand.
5. Respond to pre-session interviews or surveys. The more background information the facilitator can gather, the better prepared they will be.
6. Hold the meeting in the morning – energy is better!
7. Ask the contractor to provide lunch or refreshments. It's good to 'break bread' together.
8. Aside from City conference rooms, you can hold a partnering session closer to the project site by using a community meeting room at a branch library. Most of the rooms are designated for before or after hours use, so even if the branch isn't open, you may be able to use the room. There is usually no charge. In addition, the SFPUC has space available with plenty of parking at their Contractors Assistance Center in the Bayview.
9. The Project Manager or partnering session organizer should:
  - Reserve the room
  - Send invitation
  - Give facilitator a contact list for pre-interviews – name, role, phone number and email
  - Ask the facilitator to bring, distribute and collect an evaluation at the close of the session
  - Tell facilitator ahead of time who will be participating – names, positions and number of attendees
  - Ask contractor to provide refreshments
  - Arrive early to help facilitator set up
10. After the session, ensure that the charter, report, resolution ladder, etc. are distributed to the team and placed in the partnering project file for future San Francisco Collaborative Partnering Award applications.
11. Schedule the next session with the facilitator as soon as possible (at least a month in advance).
12. Send partnering coordinator an invitation to all partnering sessions, plus follow-up reports and evaluations.
13. Be sure to enter your project's partnering sessions in the EPM partnering sessions log.

## Appendix H - Sample Issue Resolution Ladders From All Departments

### Sample Issue Resolution Ladders from City departments

Listed below are sample Issue Resolution Ladders from participating San Francisco departments. It is important to recognize that although the IRLs appear similar for all departments, there is a significant difference in how decisions are made. Even separate divisions of the same department can have a unique decision-making process for resolving change orders. Invest time in your kick-off partnering workshop or pre-construction meeting to share organizational charts to determine how decisions will be made when a significant issue emerges during construction.

San Francisco Public Utilities Commission – Sample Issue Resolution Ladder			
Level	SFPUC (Represents Designer, Engineer, QA/QC, etc.)	Contractor or CM/GC (Represents Subs, Materials Suppliers, etc.)	Time to Elevate
I	Inspector	Superintendent	Up to 1 shift
II	Resident Engineer	Project Manager	Up to 5 work days
III	Construction Manager/ Project Manager	Project Manager	Up to 5 work days
IV	Regional Construction Manager	Project Executive / Operations Manager	Up to 3 work days
V	CM Manager / Deputy Director	Vice President / President	Up to 5 work days
VI	Optional Facilitated Issue Resolution		
VII	Dispute Review Advisor (DRA) or Dispute Review Board (DRB)		

#### Notes:

- Commission approval is required if a contract change order (CCO) exceeds 10% of the awarded amount.
- SFPUC managers are provided delegated authority over a percentage (i.e. 5% or 10%) of the contingency based on the size of the project.

San Francisco Recreation & Parks – Sample Issue Resolution Ladder			
Level	SF Rec & Park (Represents Designer, Engineer, QA/QC, etc.)	Contractor or CM/GC (Represents Subs, Materials Suppliers, etc.)	Time to Elevate
I	Inspector	Superintendent	Up to 1 shift
II	Resident Engineer	Project Manager	Up to 5 work days
III	Project Manager	Project Executive/ Operations Manager	Up to 5 work days
IV	Deputy Director / Director	Vice President/ President	Up to 5 work days
V	Optional Facilitated Issue Resolution		

#### Notes:

- Project Managers receive delegated authority to negotiate up to the 15% budget contingency.
- Commission approval is required if CCO is greater than 10% of the awarded amount.

San Francisco International Airport – Sample Issue Resolution Ladder			
Level	SFO (For D-B-B, represents Engineer/ Designer, stakeholders, QA/QC, etc.)	Contractor, Design/Builder or CM/GC (Represents Subs, Materials Suppliers, and design team for D/B or CM/GC, etc.)	Time to Elevate
I	Inspector (PMSS)	Superintendent	Up to 1 shift
II	Project Manager	Project Manager	Up to 3 work days
III	Program Manager	Project Executive	Up to 2 work days
IV	Director of Project Management	Vice President / Operations Manager	Up to 3 work days
V	Chief Development Officer	President	Up to 3 work days
VI	Airport Director	President	Up to 2 work days

Note:

- Commission approval is required for any contract modification that is greater than 10% of the contract award.

Port of San Francisco – Sample Issue Resolution Ladder			
Level	SF Port (Represents Designer, QA/QC, etc.)	Contractor (Represents Subs, Materials Suppliers, etc.)	Time to Elevate
I	Inspector	Superintendent	Up to 1 shift
II	Resident Engineer / Construction Manager	Project Manager	Up to 5 work days
III	Project Manager	Project Manager	Up to 5 work days
IV	Chief Engineer / Director	Vice President/ President	Up to 5 work days
V	Optional Facilitated Issue Resolution		

Note:

- Commission approval is required if CCO is greater than 10% of contract award.



### San Francisco Public Works (Infrastructure) – Sample Issue Resolution Ladder

Level	SF Public Works (Represents Designer, QA/QC, etc.)	Contractor (Represents Subs, Materials Suppliers, etc.)	Time to Elevate
I	Inspector	Superintendent	Up to 1 shift
II	Resident Engineer	Project Manager	Up to 3 work days
III	Project Manager/ Construction Manager	Project Manager	Up to 5 work days
IV	Deputy Division Mgr. CM	Project Executive / Operations Manager	Up to 5 work days
V	Deputy Director	Vice President / President	Up to 5 work days
VI	Director	President	Up to 5 work days
VII	Optional Facilitated Issue Resolution		

Note:

- Public Works Director has signatory approval on all CCOs.

### San Francisco Public Works (Buildings) – Sample Issue Resolution Ladder

Level	SF Public Works (Represents Designer if D-B-B, QA/QC, etc.)	Contractor or Design/Builder (Represents Subs, Materials Suppliers, etc.)	Time to Elevate
I	Inspector	Superintendent	Up to 1 shift
II	Resident Engineer	Project Manager	Up to 3 work days
III	Project Manager/ Construction Manager	Project Manager	Up to 5 work days
IV	Program Manager	Project Executive / Operations Manager	Up to 5 work days
V	Deputy Director	Vice President / President	Up to 5 work days
VI	Director	President	Up to 5 work days
VII	Optional Facilitated Issue Resolution		

Note:

- Public Works Director has signatory approval on all CCOs.

San Francisco Municipal Transportation Agency – Sample Issue Resolution Ladder			
Level	SFMTA (Represents Designer, QA/QC, etc.)	Contractor (Represents Subs, Materials Suppliers, etc.)	Time to Elevate
I	Inspector	Superintendent	Up to 1 shift
II	Resident Engineer	Project Manager	Up to 3 work days
III	Project Manager	Project Executive	Up to 5 work days
IV	Division Deputy	Project Executive / Operations Manager	Up to 5 work days
V	Division Director	Vice President	Up to 5 work days
VI	Director of Transportation	President	Up to 2 work days
VII	Optional Facilitated Issue Resolution		
VIII	Dispute Review Advisor (DRA) or Dispute Review Board (DRB)		

## Notes:

- Commission approval is required if CCO is greater than 25% of contract cost.
- Project Managers are provided line items for allowances, which include standard CCOs that allow the use of time and materials agreements with the contractor as the CCO is being negotiated.

## Appendix I - Sample Issue Elevation Speed Memo

An issue is ready to be elevated when team members at the same level have agreed on the issue or the specific scope, but have not yet been able to resolve the merit, entitlement, or schedule.

Project name/number: \_\_\_\_\_ Prime contractor (design/builder): \_\_\_\_\_

This dispute is: \_\_\_\_\_ A policy issue \_\_\_\_\_ An administrative issue \_\_\_\_\_ A technical/specification issue

List individuals and organizations affected by this dispute and its resolution: Subcontractors, designers, material suppliers, maintenance, utilities, other agencies, neighborhood or merchant associations, clients, residents, etc.

\_\_\_\_\_  
\_\_\_\_\_

Briefly describe the dispute needing further assistance for resolution:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Sub issues and dollars/days associated with each:

1. \_\_\_\_\_ 3. \_\_\_\_\_ 5. \_\_\_\_\_  
2. \_\_\_\_\_ 4. \_\_\_\_\_ 6. \_\_\_\_\_

Where we agree:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Where we disagree:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Additional comments or recommendations:

\_\_\_\_\_  
\_\_\_\_\_

Dispute resolved \_\_\_\_\_ No, then forward to next level on \_\_\_\_\_ (date) at \_\_\_\_\_ time  
at this level? \_\_\_\_\_ Yes, then describe resolution below:

\_\_\_\_\_  
\_\_\_\_\_

If resolved, written feedback of the resolution was transmitted to team members and persons affected by this dispute on \_\_\_\_\_ (date) at \_\_\_\_\_ (time)

\_\_\_\_\_  
City representative, name and title

\_\_\_\_\_  
Contractor, name and title

## Appendix J - Sample Project Issues Log

It is a best practice for the project team to maintain a log of contract change orders and project issues. The log works best if it is jointly developed by the owner, architect/engineer and the prime contractor. The objective of the log is to track project issues that arise during construction and establish deadlines for delivering a technical solution. Visit [www.sfpartnering.com](http://www.sfpartnering.com) to download the sample project issues log included in the graphic below.

**SAMPLE Project Issues Log (Based on Procore sample)**  
**1998K Oak Street Ave. Improvements**  
 San Francisco, CA  
 Joe Contractor

SAMPLE Project Issues Log (Based on Procore sample)															
1998K Oak Street Ave. Improvements															
San Francisco, CA															
Joe Contractor															
Date: October 3, 2017															
#	Title	Scope	Type	Reason	Initiated Date	Status	Origin	ROM	Prime Total	Commitments Total	RFQs	Commitment CCOs	Prime PCO	Affects Critical path	Comments
1	Shoring and utility re-routed	Out of scope	Change Order Request	differing site condition (Dsc)	6/1/2016	CN 13	RFI #12	\$20,000	n/a	\$18,500	1/1	1			
2	Acceleration of paving operation work	Out of scope	contractor request	schedule recovery	10/20/2016	PCO 6		\$50,000	n/a			0		11/20/2016	Third party estimate started 11/4/16
3															

## **Appendix K - Facilitated Issue Resolution – Additional Information**

### **Facilitated Issue Resolution**

As described in Chapter 4, Facilitated Issue Resolution (FIR) is an optional extension of the partnering process intended to bring together project stakeholders to work toward agreement on outstanding disputed issues. It is a mediation-like process where the external facilitator (or a mutually selected professional neutral with knowledge of construction) can be used by the team to resolve specific construction disputes.

### **Roles of the Participants in an FIR session**

The FIR session is initiated for the benefit of the City and Contractor executive decision makers. The process, with the aid of the facilitator, helps the decision makers to resolve the dispute. The process works best when the attendees have specific, defined roles.

#### **FIR Facilitator:**

The FIR Facilitator needs to be a trained, experienced, neutral professional. It may be the team's partnering facilitator or a professional mediator with knowledge of construction. The FIR facilitator must not be the project DRA or a member of the DRB. The facilitator leads the session and records all agreements made. The facilitator develops and controls the session agenda based on the list of issues provided by the parties. The facilitator also assists in breaking down large, complex issues into smaller, more manageable ones that can be addressed one at a time. The facilitator determines the order in which the items will be addressed with the concurrence of the parties.

It is important to note that FIR requires a different skill set than partnering facilitation. A certified mediator or experienced facilitator in FIR is recommended. You can ask your partnering facilitator to recommend someone within their organization or professional network, if they personally are not qualified.

#### **FIR Presenters:**

The City and contractor PM are frequently the FIR presenters. They are the field team members responsible for the preparation and presentation of the facts for each issue, as they are most familiar with them. Their role is to share their story and present the facts as they see them. They also are to be available to answer questions from the decision makers. Presenters are not decision makers.

#### **FIR Experts:**

FIR experts may include consultant engineers or designers who have been hired to evaluate or analyze some aspect of the project issue(s). They are on-call to have their expertise drawn upon as needed.

#### **Decision Influencers:**

Decision influencers are typically involved in project oversight. They have a strong understanding of the project issues, but are not a part of the decision making (unless requested by the decision makers). Typically, the influencers include the contractor's area manager or operations manager, and the City's senior project manager or construction manager.

#### **Decision Makers:**

A decision maker is a senior executive from the City department and the Contractor's owner/principal. The decision makers have been given the real authority to decide on the issues presented by the group. They attend the meeting to make a decision and/or support any decisions made. The objective of the FIR session is to provide an opportunity for the decision makers to discover the facts of the issues, identify where disagreements lie, and then work to resolve each issue on its merits.

### What to Expect from an FIR Session:

Negotiating complex issues takes time. It is common for a single issue and its sub-issues to take one or more days to resolve. It is also common for participants to start the meeting without an understanding of where the actual disagreements lie. As a result, the initial discussions are often devoted to discovering what the issues are, and jointly defining them. The team should be prepared to hold follow-up FIR sessions if needed.

During the FIR session, the Contractor and City will present their respective arguments and the facilitator will work with the presenters, decision influencers and decision makers to reach an appropriate resolution. If a resolution is not reached, an impasse is declared. When there's an impasse, the decision makers will determine the next step, which may include referring the dispute to the DRB/DRA, if allowed under the contract.

### Sample FIR Phases

Overview and Introductions Phase	The agenda and ground rules are set by the facilitator. Introductions of participants are made, along with identification of their roles in the project. An overview of the project is presented.
Communication Phase	<u>Issue Presentation</u> <ul style="list-style-type: none"> <li>• The Contractor presents a full overview of the issue. This will include how the item or project was bid, what condition changed, etc. They will provide supporting documentation and timelines.</li> <li>• The City makes a similar presentation, which will include an overview of the issue, how the contractor (or subcontractor) was paid, and the relevant specifications, plans, documentation, timelines, etc.</li> <li>• Each side responds to the other's supporting documentation.</li> <li>• The decision makers and influencers ask questions of the presenters and field team members.</li> </ul>
Negotiation Phase	<ul style="list-style-type: none"> <li>• A resolution is proposed, or the team identifies the need for additional information.</li> <li>• The presenters will be assigned tasks to research this additional information.</li> </ul>
Resolution Phase	<ul style="list-style-type: none"> <li>• Final resolution is reached, or next steps identified.</li> <li>• Signing of the FIR agreements/commitments document: All participants sign indicating their personal commitment to the agreements made.</li> <li>• If the team remains at impasse, they will define what the impasse entails.</li> </ul>
Next Steps	<ul style="list-style-type: none"> <li>• If the end of the session approaches and there are still issues requiring resolution, the facilitator asks the decision makers if they wish to continue the process. If so, a date is set for the next session and agenda items are selected. The first item on the agenda is the report of the findings from the assigned tasks.</li> <li>• If at impasse, the decision makers meet once more to try to break the impasse. If unsuccessful, the decision makers may refer the issue to the DRA or DRB if applicable.</li> </ul>



## The San Francisco Collaborative Partnering Steering Committee

The San Francisco Collaborative Partnering Steering Committee (SFCPSC) is an executive level advisory committee, comprised of City department managers and leaders from the construction industry. The SFCPSC is working together to strengthen and improve the City's partnering program. They identify barriers to effective partnering, evaluate and develop new practices, review policies, measure progress and make recommendations to implement improvements. As representatives of their agencies and organizations, they are committed to drive change towards creating a world class collaborative construction environment in San Francisco.

1. Mike Ghilotti, Co-chair, Ghilotti Bros., United Contractors (UCON)
2. Pete Davos, DeSilva Gates, United Contractors (UCON)
3. Emily Cohen, United Contractors (UCON)
4. Steve Rule, Turner Construction, Associated General Contractors (AGC)
5. Ed Moore, Monterey Mechanical, Associated General Contractors (AGC)
6. Bob Nibbi, Nibbi Brothers, Construction Employers Association (CEA)
7. Scott Anderson, Pankow Builders, Construction Employers Association (CEA)
8. Stanford Chiang, C.M. Construction Co., Asian American Contractors Association (AACA)
9. Pete Varma, Intraline, National Association of Minority Contractors No Cal Chapter (NAMCNC)
10. Kevin Wagner, Wagner Consulting Group, Construction Management Association of America-No Cal (CMAA)
11. Doug Tom, TEF Design, American Institute of Architects, SF (AIA-SF)
12. Alfonso Rodriguez, Stantec, American Society of Civil Engineers (ASCE-SF)
13. Jim Pappas, Hensel Phelps, International Partnering Institute (IPI)
14. Mohammed Nuru, Co-chair, San Francisco Public Works
15. Ron Alameida, San Francisco Public Works
16. Kathy How, San Francisco Public Utilities Commission
17. Alan Johanson, San Francisco Public Utilities Commission
18. Tom Maguire, San Francisco Municipal Transportation Agency
19. Bijan Ahmadzadeh, San Francisco Municipal Transportation Agency
20. Ivar Satero, San Francisco International Airport
21. Geoff Neumayr, San Francisco International Airport
22. Elaine Forbes, Port of San Francisco
23. Rod Iwashita, Port of San Francisco
24. Phil Ginsburg, Recreation and Park Department
25. Toks Ajike, Recreation and Park Department
26. Jennifer Blot, Partnering Coordinator, San Francisco Public Works

Facilitator: Rob Reaugh, OrgMetrics LLC

## San Francisco Partnering Champions

If you have any questions about implementing partnering on your projects, contact the following City and County of San Francisco staff. If they don't know the answer, they'll find it out!

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Iris Martin Lopez San Francisco Public Utilities Commission	<a href="mailto:ilopez@sfwater.org">ilopez@sfwater.org</a>	415.554.3222
Toks Ajike San Francisco Recreation and Park Department	<a href="mailto:toks.ajike@sfgov.org">toks.ajike@sfgov.org</a>	415.581.2543
Reuben Halili San Francisco International Airport	<a href="mailto:reuben.halili@flysfo.com">reuben.halili@flysfo.com</a>	650.821.7803
Bijan Ahmadzadeh San Francisco Municipal Transportation Agency	<a href="mailto:bijan.ahmadzadeh@sfmta.com">bijan.ahmadzadeh@sfmta.com</a>	415.271.0951
Rod Iwashita Port of San Francisco	<a href="mailto:rod.iwashita@sfport.com">rod.iwashita@sfport.com</a>	415.274.0570

### Training

Visit: [www.sfpartnering.com](http://www.sfpartnering.com) for additional training resources.

### Websites

[www.sfpartnering.com](http://www.sfpartnering.com) - SFCPSC Partnering Resources Page

<http://sfpublicworks.org/services/partnering-summit-2014> – Partnering Summit 2014

[www.partneringinstitute.org](http://www.partneringinstitute.org) – International Partnering Institute



**PARTNERING**

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