SAN FRANCISCO PUBLIC UTILITIES COMMISSION WATER SYSTEM IMPROVEMENT PROGRAM CONSTRUCTION MANAGEMENT PROCEDURES	
SECTION: WSIP CONSTRUCTION MANAGEMENT	APPROVED:
PROCEDURE NO.: 041 TITLE: INFORMAL PARTNERING	DATE: 08/28/09 REVISION NO.: 1

1.0 Policy

Informal Partnering will be adopted for WSIP projects with construction values under $2 million at the request of either the City or the Contractor, and for projects with construction values up to $20 million if Formal Partnering is not included in the Contract Specifications, or requested after award. 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.

This CM Procedure applies to all personnel working on the Water System Improvement Program (WSIP) to the extent that their Work is affected by this WSIP Construction Management (CM) Procedure and does not conflict with specific San Francisco Public Utilities Commission (SFPUC) policies or the Contract under which the Work is executed.

2.0 Description

This CM Procedure establishes the requirements for establishing and conducting an Informal Project Partnering process. It does not apply to Formal Partnering, covered in CM Procedure No. 019 and Division 0, Technical Specification Section 00823, Formal Partnering Specification.

3.0 Definitions

3.1 Partnering

Partnering is the process which allows people working together to find and build on a common understanding and co-create solutions to problems, seeking mutual benefit. The partnering process assists the parties to maintain communication and to mutually resolve conflicts at the lowest responsible management level.

3.2 Informal Partnering

Informal Partnering is conducted by the Project Construction Manager (Project CM) as a component or extension of the Pre-Construction Conference with all major stakeholders in attendance. The Project CM facilitates the informal partnering process towards the development effective team relations. The Project CM establishes an agenda which aids the participants in learning to work together in defining project objectives, anticipating and managing project risks and in the resolution of problems.

3.2.1 The Informal Partnering format is flexible and the process focused on short and long-term project requirements and on the resolution of issues. It is the responsibility of the Project CM to instill a spirit of trust and cooperation during the first session, which is to be maintained throughout the duration of the Contract.

4.0 Responsibilities

4.1 Project Construction Manager (Project CM)

The Project CM manages and administers the Project Construction Contract and serves as the prime point of contact between the Contractor, the City, and external stakeholders comprised of community residents, local government officials and agencies, schools, churches, businesses and local community organizations, among others

4.1.1 The Project CM establishes the Informal Partnering process; facilitates the sessions; produces minutes resulting from the sessions; and, on an ongoing basis, works with project team to ensure adherence to the partnering spirit and agreements.

4.2 Contractor

The Contractor is the entity awarded the contract to perform the Work. The Contractor is an active participant in the Informal Partnering Process.

5.0 Implementation

Reference Technical Specification, Section 00824, Informal Partnering Specification and Section 7.4

5.1 The Project CM initiates and conducts the Informal Partnering Workshop during or soon after the Pre-Construction Conference. Any Meeting Minutes will be entered into the Construction Management Information System (CMIS).

5.2 Five (5) working days prior to the Workshop, the Project CM distributes an Invitation Letter and brief Questionnaire to the Contractor and all primary Project Team Members requesting participation in the Informal Partnering process (reference Attachments 041-1 and 041-2). Responses to the

Survey provide content for the Pre-Construction Conference and the Informal Partnering Workshop.

5.3 The Project CM establishes the Informal Partnering Agenda and conducts the Workshop (reference Attachment 041-3). The Agenda items may include, but are not be limited to:

- Informal Partnering Session Overview & Objectives
- Brief Project Description (PCM and Contractor)
- Primary Project Goals & Objectives
- Key Stakeholders' Roles & Responsibilities (include Organization Chart)
- Survey Results: Concerns Analysis (address in Working Groups)
  - Communications & Coordination
  - Risk Avoidance, Mitigation, Monitoring & Control
  - Quality Control
  - Schedule: shutdowns, milestones
  - Others
- Agreements / Decisions
  - Request for Information (RFI), Submittals and Change Order turnaround timeframes
  - Dispute Resolution Process (Decision Ladder, reference Section 8.0 Attachment 041-4)
- Monitoring & Evaluation
- Next Steps

5.4 By mutual agreement during the duration of the Contract, the Project CM and the Contractor may hold further Informal Partnering Workshops.

6.0 Other Procedural Requirements

6.1 Unresolved Issues

Issues that are not resolved through Informal Partnering may be referred by the Project CM or Contractor to the Dispute Resolution Advisor (DRA) or Dispute Review Board (DRB), depending upon the format instituted (reference CM Procedure No. 019 DRB and CM Procedure No. 031 DRA).

6.2 Compensation for Informal Partnering

Costs associated with Informal Partnering are deemed to be included in the bid prices. No additional compensation will be allowed.

6.2.1 Standard hourly rates have been established. Discuss with the responsible Regional Construction Manager (RCM).

6.3 Surveys and Reporting

Upon completion of the Informal Partnering Workshop, the Project CM and the Contractor may mutually determine that follow-up surveys and periodic evaluations would strength the partnering commitments and overall success of the Project.

7.0 References

7.1 Technical Specifications

No. 00823/FP/TPA	Formal Partnering Facilitator Three Party Agreement
No. 00823	Formal Partnering Specification
No. 00824	Informal Partnering Specification
No. 00841	Informal Partnering Specification

7.2 CM Procedures

No. 005	Meeting Minutes
No. 008	Pre-Construction Conference
No. 019	Dispute Review Board.
No. 031	Dispute Resolution Advisor.

7.3 Others:

***Note:* Partnering References / Resources (covers all formats)**

City and County of San Francisco Partnering Program Guidelines

Partnering – Is It Time to Put It on the Shelf? CMAA Northern California Chapter Newsletter, Vol. 9, Issue 3, Fall 2007.

Partnering: Field Guide to Caltrans Partnering. CA Department of Transportation, April 2000.

Partnering Program and Authorities 101. U.S. Army Corps of Engineers. http://corpslakes.usace.army.mil/partners/pdfs/appl04/appl04-partner101.pdf

Godfrey, Kneeland A. Partnering in Design and Construction. New York: McGraw-Hill, 1996.

Dyer, Sue. Partner Your Project. Livermore, CA: Pendulum Publishing, 1997.

8.0 Attachments

041-1	Pre-Construction Conference / Informal Partnering Invitation Letter - *Sample*
041-2	Pre-Construction Conference / Informal Partnering Process Questionnaire – *Sample*
041-3	Informal Partnering Agenda - *Sample*
041-4A	Decision Ladder - *Sample*
041-4B	Decision Ladder – *Sample*
041-5	Revision Control Log

Attachment 041 -1
Pre-Construction Conference Letter / Informal Partnering Invitation Letter – *Sample*

(Date)

(Contractor)

RE: Informal Partnering Workshop

Subject: Contract No. _____ and notice of WSIP Project Construction Manager

Your company was awarded the above contract on ____(date)_____

I will be the WSIP Project Construction Manager on this Project.

(Include any standard requests for contract documents or submittals required by the contract.)

To assist the City's Project Team in its preparation for the upcoming Pre-Construction Conference and preliminary partnering discussion, please complete the attached survey and return to me along with any other questions, concerns or requests for clarification within five working days of your receipt of this request.

Early knowledge of this information will allow our Project Team time to do the appropriate research either within the City or with the appropriate external sources to properly respond at the Pre-Construction, initial partnering discussion and Informal Partnering Workshop.

(Use A or B)

A. At this time, the City is not aware of any major changes to the contract documents or any issue that would affect the Contractor's schedule on this Project.

B. At this time, the following is a list of issues that have been discovered during the bid process for this project and will be discussed at the Pre-Construction Conference.

I will forward the Pre-Construction Conference Agenda ten (10) working days prior to the meeting so that you may prepare your staff and invite your subcontractors.

If you have any questions or need additional information, please contact me at your earliest convenience.

Sincerely,

WSIP PROJECT CONSTRUCTION MANAGER

Attachment 041 - 2
Pre-Construction Conference / Informal Partnering Questionnaire - *Sample*

Project Name and Contract No.:

_____

In preparation for the Pre-Construction Conference and Formal Partnering Workshop, please respond to the following questions. Use additional sheets as needed.

1. List utility companies, railroads, municipalities and any other agencies that you feel coordination with is important:

   _____
   _____
   _____

2. Scheduling concerns:

   _____
   _____
   _____

3. Construction phasing and/or construction staging concerns:

   _____
   _____
   _____

4. Construction methodologies and / or construction procedures that you intend to use that you feel warrant up-front discussion and/or consideration:

   _____
   _____
   _____

5. Traffic control concerns:

   _____
   _____
   _____

6. QC/QA:

   _____
   _____
   _____

7. Potential CRIPs/value engineering:

   _____
   _____
   _____

8. Other issues:

   _____

Contractor's Signature Date

Attachment 041 - 3
Informal Partnering Agenda – *Sample*

PROJECT:_____

INFORMAL PARTNERING WORKSHOP
Date:_____
Time: _____
Location: _____

11:30 am – 12:00 pm	Welcome & Introductions Session Overview & Objectives
12:00 – 1:30 pm	Concerns Analysis in context of Schedule (Reference Matrix & Attachments)
1:30 – 2:00 pm	Decisions / Agreements / Next Step

Attachment 041 – 4A
Decision Ladder
Rev. 0 (02/04/09)

ISSUE / CHANGE ORDER REQUEST RESOLUTION LADDER *

PROJECT NAME: _____

Big & Medium Contractor

Level	Contractor	SFPUC	Time Goal **
I.	General Foreman / Foreman	Inspector	3 working days
II.	PM / Superintendent	PCM / Asst RPM (WSIP) / PM	30 calendar days
III.	Regional Manager	RCM / RPM (WSIP) / PM	15 calendar days
IV.	VP or President	AGM / WSIP Director / Deputy Director – CMB Bur Mgr	30 calendar days
DRA or DRB ***			

Notes:

* This is a general guideline. Authorities defined at each level will depend on the program and project. Appropriate authority, or authorities if consensus required, will be confirmed at each level by each project by name.

** Time Goal:
Level I: Issues defined
Level II: Issue identified and/or cost or time proposal is received.

*** Dispute Hearing and Finding

Attachment 041 – 4B
Decision Ladder
Rev. 0 (02/04/09)

ISSUE / CHANGE ORDER REQUEST RESOLUTION LADDER *

PROJECT NAME: _____

Small Contractor

Level	Contractor	SFPUC	Time Goal **
I.	General Foreman / Foreman	Inspector	3 working days
II.	PM / Superintendent	PCM / Asst RPM (WSIP) / PM	30 calendar days
III.	Owner	RCM / RPM (WSIP) / PM	15 calendar days
IV.	Owner	AGM / WSIP Director / Deputy Director – CMB Bur Mgr	15 calendar days
DRA or DRB ***			

Notes:

* This is a general guideline. Authorities defined at each level will depend on the program and project. Appropriate authority, or authorities if consensus required, will be confirmed at each level by each project by name.

** Time Goal:
Level I: Issues defined
Level II: Issue identified and/or cost or time proposal is received.

*** Dispute Hearing and Finding

Attachment 041 – 5
Revision Control Log

Revision No.	Revision Date	What changed?
Rev 1	August 28, 2009	• Added Section 5.1 • Added Section 7.0; added Sections 7.1 and 7.2 • Added to Attachments Headers and Page Numbering • Added Attachment 5; Revision Control Log
Rev 0	February 16, 2009	Signed