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STANDARDIZATION
CONSTRUCTION PROJECT PARTNERING PLAYBOOK

1. Purpose. The purpose of this engineer pamphlet (EP) is to establish actionable guidance based on the core partnering principles detailed in Command Policy Notice CECG 34-1-5, Command Partnering Philosophy, which sets a consistent standard for how the U.S. Army Corps of Engineers (USACE) should implement partnering on all construction projects.
2. Applicability. This Construction Project Partnering Playbook (Playbook) applies to the delivery of any project administered by USACE that constructs, renovates, refurbishes, demolishes, and/or modifies a structure or infrastructure, hereinafter referred to as a “construction project.” This includes projects executed directly by USACE or through a third party such as a foreign nation or other federal or non-federal partner.
3. Distribution Statement. Approved for public release; distribution is unlimited.

FOR THE COMMANDER:

7 Appendixes


JOHN P. LLOYD
COL, EN
Chief of Staff

CECW-EC

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No. 34-1-1

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TABLE OF CONTENTS

	Paragraph	Page
Chapter 1 Introduction		1
Purpose.....	1-1	1
Applicability.	1-2	1
Distribution Statement.	1-3	1
References.....	1-4	1
Records Management (Recordkeeping) Requirements.	1-5	1
Background.....	1-6	1
Chapter 2 Partnering Fundamentals.....		3
Partnering Overview.	2-1	3
Partnering Effectiveness.	2-2	7
Chapter 3 Partnering Across the Project Delivery Life Cycle.....		10
Background.....	3-1	10
Setting Conditions for Success.	3-2	10
Conducting a Partnering Kick-Off Workshop.....	3-3	13
Chapter 4 Considerations for Planning and Implementing Pre-Award Partnering.....		26
Planning for Success.....	4-1	26
Implementing Pre-Award Partnering.....	4-2	28
Post-Award Partnering Planning.....	4-3	29
Multi-Tiered Partnering.....	4-4	29

Chapter 5 Considerations for Post-Award Partnering	31
Introduction.....	5-1 31
Post-Award Partnering Implementation.	5-2 31

Appendixes

Appendix A References	34
Appendix B Pre-Award Partnering Checklist.....	36
Appendix C Assessing Project Partnering Intensity	37
Appendix D Post-Award Partnering Checklist.....	443
Appendix E Example Partnering Kick-Off Workshop Agenda.....	43
Appendix F Example Partnering Charter.....	44
Appendix G Example Collaboration Tools.....	45

Table List

Table 1 Caltrans Excellence in Partnering Award Winners Statistics (2020-2021).....	7
Table C-1 Partnering Intensity Assessment Worksheet.....	37
Table C-2 Partnering Intensity-Activity Alignment Worksheet.....	41
Table G-1 Example Communications Plan.....	45
Table G-2 Example Partnering Maintenance Plan.....	48
Table G-3 Example Issue Resolution Plan	49
Table G-4 Example Issue Resolution Ladder	50
Table G-5 Example Issue Elevation Memorandum.....	51
Table G-6 Example Issue Tracker	52

Figure List

Figure 1. Partnering with contractors: senior leader role.....	3
Figure 2. Universe of partnering stakeholders.....	4
Figure 3. Three Cs of successful partnering	5
Figure 4. Key elements of construction project partnering across the delivery life cycle.....	10
Figure 5. Goals for success	16
Figure 6. Shared risk management.....	18
Figure 7. Example quantitative assessment areas	23
Figure 8. Example qualitative assessment areas	24
Figure 9. Case study – Maintaining project health through collaborative analytics.....	25
Figure 10. Cost of changes in the construction life cycle.....	27
Figure 11. Example multi-tiered partnering structure.....	31
Figure G-1. Shared risk register – risk matrix	46
Figure G-2. Shared risk register – risk tables	47
Figure G-3. Shared risk register worksheet	47
Figure G-4. Example quantitative performance goals worksheet.....	53
Figure G-5. Example qualitative team partnering assessment.....	54

Chapter 1 Introduction

1-1. Purpose. The purpose of this EP is to establish actionable guidance based on the core partnering principles detailed in Command Policy Notice CECG 34-1-5, Command Partnering Philosophy, which sets a consistent standard for how USACE should implement partnering on all construction projects.

1-2. Applicability.

a. This Construction Project Partnering Playbook (Playbook) applies to the delivery of any project administered by USACE that constructs, renovates, refurbishes, demolishes, and/or modifies a structure or infrastructure, hereinafter referred to as a “construction project.” This includes projects executed directly by USACE or through a third party such as a foreign nation or other federal or non-federal partner.

b. A construction project begins when it is conceived. In this Playbook, “Construction Project Partnering” and “Life-Cycle Partnering” refer to the period from construction project inception through turnover to the end user and warranty period.

c. Although this Playbook is specific to construction project delivery, the concepts detailed in this Playbook are applicable to any project that relies on people and organizations working together to achieve a common objective.

1-3. Distribution Statement. Approved for public release; distribution is unlimited.

1-4. References. References are listed in Appendix A.

1-5. Records Management (Recordkeeping) Requirements. The records management requirement for all record numbers, associated forms, and reports required by this regulation are addressed in the Army Records Retention Schedule – Army (RRS-A). Detailed information for all related record numbers is located in the Army Records Information Management System (ARIMS)/RRS-A at <https://www.arims.army.mil>. If any record numbers, forms, and reports are not current, addressed, and/or published correctly in ARIMS/RRS-A, see Department of the Army (DA) Pamphlet 25-403, Guide to Recordkeeping in the Army, for guidance.

1-6. Background.

a. Developed in the late 1980s as a construction industry best practice, USACE became an early adopter and champion of partnering as a means of promoting a more cooperative working relationship among project stakeholders. Partnering was employed as a proactive management approach during construction to reduce the potential for contractor claims and disputes and to avoid unnecessary cost and time growth.

b. While initial partnering efforts focused specifically on alternative dispute resolution, partnering agreements, and total quality management, additional programs and strategies evolved over time to capitalize on the demonstrated value of partnering as a means to drive successful delivery. These strategies, governed by their own discreet set of formal and informal processes and practices, expanded beyond construction to include other phases of project delivery and other USACE mission areas.

c. Various industry groups, government agencies, private organizations, contractors, and others have written guidance and studied partnering. The partnering processes outlined in this Playbook build on and adapt construction industry partnering knowledge and experience over the past 30 years to establish guidance that aligns with USACE business.

Chapter 2
Partnering Fundamentals

2-1. Partnering Overview.

a. Effective partnering requires a long-term commitment to proactive, collaborative, working relationships that maximize the effectiveness of each participant’s resources to achieve successful delivery outcomes. This is accomplished by building and maintaining strong relationships, setting common goals, communicating openly and often, collectively identifying and mitigating risk, solving problems together when they arise, preventing disputes, building trust, understanding each other’s values, team-building, and recognizing the implied contractual covenant of good faith.

b. It is important to remember that partnering as it relates to contractors is not a means to circumvent the independent authority of warranted contracting officials, the contract requirements, or any other legal agreement. Detailed in Figure 1, the Contracting Officer (Procuring Contracting Officer (PCO) and/or Administrative Contracting Officer (ACO)) alone has ultimate independent authority to administer the terms of the contract. This includes resolving disputes, executing changes, and making all other decisions that impact the administration of the contract. This playbook is not meant to be a contract administration guide; it is purely guidance for implementing the partnering process.

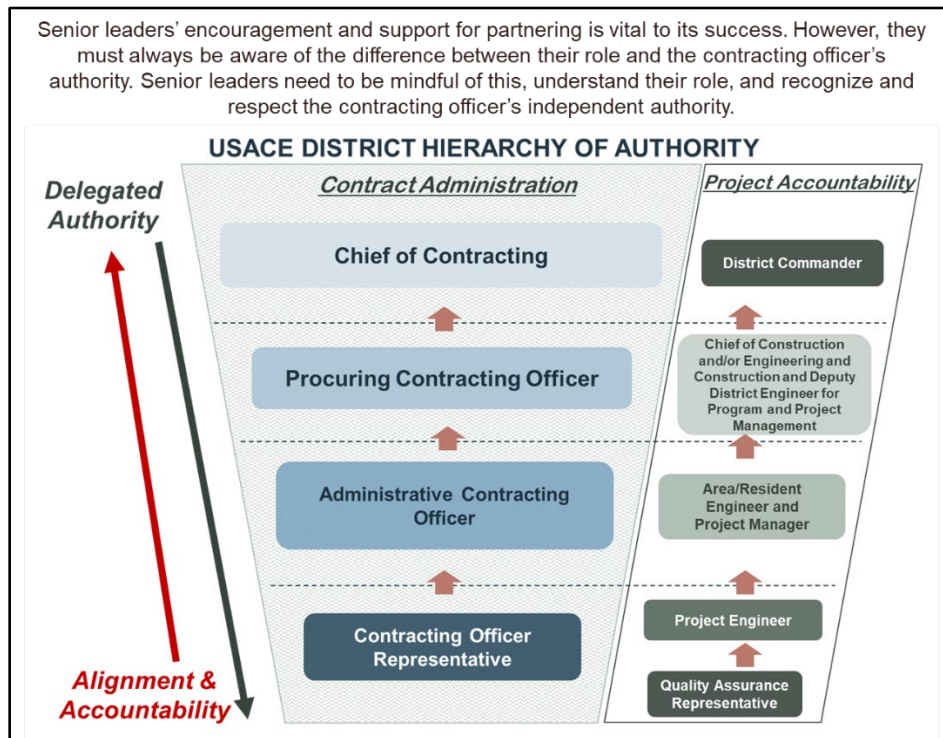


Figure 1. Partnering with contractors: senior leader role

c. A partnering mindset is required by all individuals who have a stake in project outcomes for partnering to be successful. This begins with each stakeholder representative on the project team and continues through all elements and echelons within USACE and our project stakeholders. We must recognize the important role this mindset plays in achieving effective partnering and mission delivery outcomes, and make sure these behaviors are consistently and continuously demonstrated across the organization.

d. For the purposes of partnering, a stakeholder is defined as any entity who can influence the project outcome or who is affected by the project outcome. Figure 2 details the spectrum of stakeholders as they align with the four relationship types defined in the Policy Notice. All stakeholders will be collectively considered part of the “project team.”

e. Individuals with a partnering mindset should exercise a set of core values when conducting their day-to-day business. These values include putting the project above self-interests, being trustworthy and respectful of others, being fair and reasonable in all dealings, being open and honest in all communications, seeking to understand, working as part of a team to solve problems and resolve issues quickly at the lowest level to achieve mutual gain, having a positive attitude, remaining committed to excellence, and being proactive and prepared.

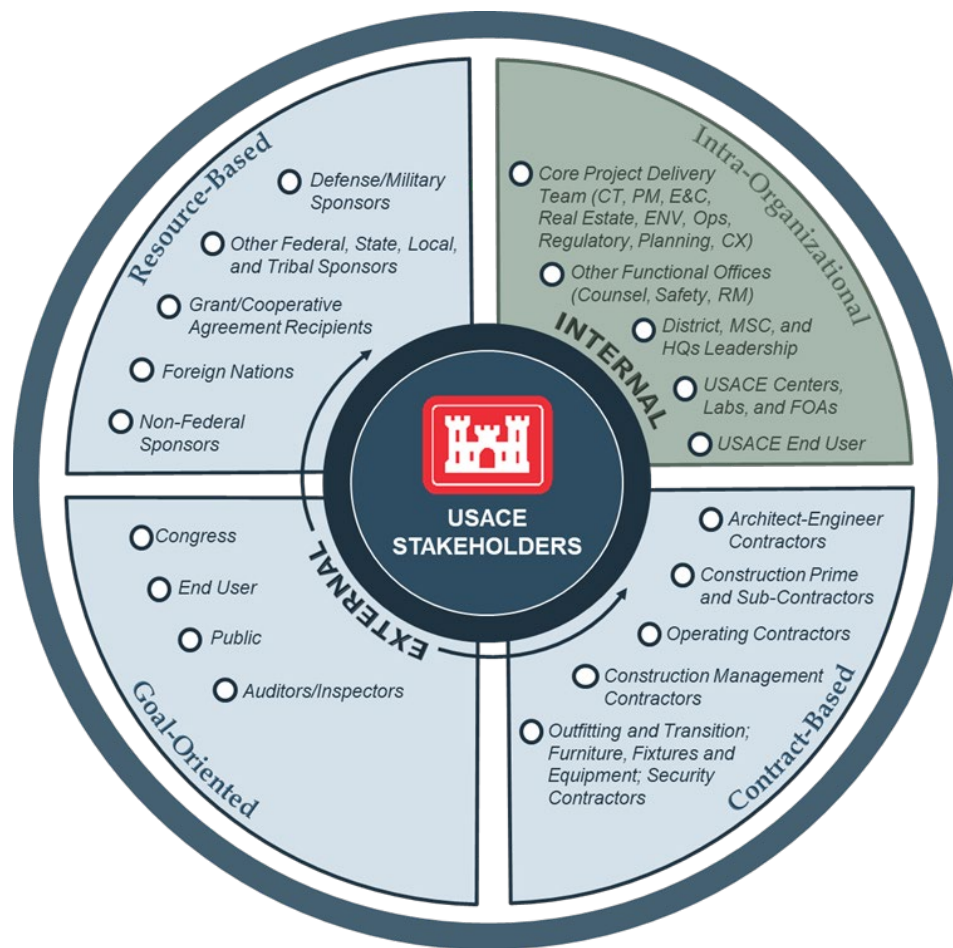


Figure 2. Universe of partnering stakeholders

f. These essential behaviors, called the Three Cs of Successful Partnering, are rooted in three interdependent and mutually supportive elements: Commitment, Communication, and Collaboration as detailed in the Policy Notice (see Figure 3).



Figure 3. Three Cs of successful partnering

(1) Commitment.

(a) Developing and maintaining effective relationships is a critical component of successful partnering. This can be accomplished by establishing and maintaining commitment by all stakeholders to actively participate in the partnering process and work to achieve productive relationships across the project life cycle.

(b) Fundamental to this effort is securing enduring leadership commitment to promote and actively engage in the partnering process. Commitment by leadership at all levels of the organization is critical to enable and empower individuals to be good partners, recognize and reward partnering successes, and proactively identify and resolve issues or attitudes with the potential to break down partnering effectiveness.

(c) Delays in resolving major issues will reduce levels of trust across the team and adversely impact the strong relationships needed to safely execute a quality project on time and within budget.

(2) Communication.

(a) Open and honest communication among all stakeholders is essential to establishing and maintaining the trust needed to carry out productive collaboration. Active listening is a key part of this communication and should be utilized to better understand stakeholder values, goals, perspectives, and concerns, continually improve partnering relationships, and quickly resolve issues.

(b) Equally important is fostering an environment of trust where individuals feel comfortable sharing ideas, offering suggestions, and providing information relevant to construction project success.

(3) Collaboration.

(a) To set the stage for successful collaboration, teams should work together early in project planning to identify common performance and partnering goals and objectives and agree on a set of measures that the team will use over the course of project to assess project health. It is important for all parties to understand and respect each other's goals and values while remaining committed to putting project goals first.

(b) Implementing shared risk management practices is an important means of proactively and effectively identifying, assessing, planning for, and mitigating project risk. Collaboration concerning the specific risks each party is taking allows the team to better understand the impacts of those risks on the project and its partnering goals. These types of activities build trust through shared understanding and the development of solutions that are beneficial to all parties.

(c) This team-based approach should also be applied to issue resolution. It is important to elicit input from all parties when issues arise and attempt to quickly resolve them collectively at the lowest level and in a manner that is agreeable to the entire team (considering contractual authority and relationships). Stakeholders' joint efforts are more powerful than any of the stakeholders working alone because it is based on the collective resources of all stakeholders.

**Best Practice: Rewarding
Partnering Success**

East Campus on Fort Meade, Maryland

To recognize and reinforce the project team's commitment to partnering and its Partnering Charter throughout the delivery of a billion-dollar-plus program for the Intelligence Community on Fort Meade's East Campus, USACE and Clark Construction implemented a quarterly "Star Partner" award.

Nominees were put forward by the field team's peers, which included both government and contractor stakeholders. Selected by the leadership team, recipients were presented their award during recurring partnering sessions. This acknowledgement helped to strengthen relationships and maintain a high level of cohesiveness and motivation among the project team. As a result, the team applied effective partnering principles and practices to deliver quality facilities safely and on schedule.

(4) To maximize the benefits, partnering must be continually promoted and embraced to ensure a partnering culture remains ingrained within USACE at every echelon and practiced consistently and effectively across the entire construction project life cycle.

2-2. Partnering Effectiveness.

a. Evidence to support the positive results of partnering has grown over the years. Research conducted by the Construction Industry Institute (CII) in the 1990s found that partnered projects experienced a 10 percent reduction in total project cost, 20 percent reduction in overall project duration, 83 percent reduction in lost-time accidents, 50 percent reduction in rework, 83 percent reduction in claims, and a 30 percent increase in team member job satisfaction, along with many other benefits. More recently, the 2020 and 2021 California Department of Transportation Partnering Award Winners demonstrate the benefits of strong partnering programs (see Table 1).

Table 1
Caltrans Excellence in Partnering Award Winners Statistics (2020-2021)

Safety	✓ 30 of 42 projects had zero lost-time accidents
Budget	✓ 32 of 42 projects came within or under budget
Schedule	✓ 41 of 42 projects delivered on time or early
Issue Resolution Ladder	✓ 42 of 42 projects utilized issue resolution ladder
Claims	✓ 37 of 42 projects had no claims
Value Engineering (VE)	✓ 17 VE change proposals accepted, saving \$3.3M
Return on Investment	✓ Savings of \$60 per \$1 spent on partnering

b. It is important to understand and recognize when there may be barriers to partnering so that proactive steps can be taken to address them quickly and effectively to limit negative impacts to project outcomes and team relationships. As the project progresses, overcoming barriers to partnering becomes increasingly more difficult and costly to implement. As such, the earlier the project team can recognize and address any existing barriers, the more beneficial it will be to the team and the project as a whole. Barriers to partnering can be categorized into the following three areas, listed in order of likelihood of occurrence.

(1) Cultural Barriers.

(a) Cultural barriers can arise when individual team member goals take precedence over the mutually agreed-upon goals of the team. This may be the result of a misaligned understanding of partnering, an adversarial mentality of one or more members of the project team, past negative relationships, lack of trust, difference in negotiation styles, communication problems, or low level of stakeholder commitment towards embracing a partnering mindset.

(b) For partnering to be successful, management and project leaders must ensure the project team has a clear understanding of what the “culture” of the project will be. Key to this understanding is the development of a shared definition of partnering based on collaborative norms such as trust, fairness, open and honest communication, cooperation, and respect.

(2) Project Team Barriers. Resistance from team members, lack of leadership commitment and support, and leadership’s inability or unwillingness to empower decision-making at the lowest level, are a few of the project team barriers that can impede team members from adopting and implementing effective partnering practices. To overcome these barriers, leadership at all levels must remain actively engaged and committed by promoting partnering training, enabling, and empowering those in the field to make decisions at the lowest level, and educating, motivating, or removing project team members who are resistant to practicing effective partnering behaviors.

Best Practice: Partnering Effectiveness and Partnering to Deliver in a Pandemic

Lewisville Lake Dam Safety Modification, Lewisville, Texas

One year into construction, the Lewisville Lake Dam Safety Modification project encountered a risk no one had anticipated—the global COVID-19 pandemic.

Having taken the time early on to build strong relationships based on trust, respect, and transparent communication, the project team was able to overcome significant workforce, material, and supply chain challenges.

This was accomplished by rapidly assembling the USACE Project Manager, Resident Engineer, and Lead Engineer and the construction contractor Project Manager, Job Foreman, and Job Safety Officer to assess impacts to life safety, technical quality, schedule, and budget and execute associated changes the team felt were reasonable to mitigate those impacts.

In addition, the team continued to monitor potential impacts through its weekly coordination meetings so that they could proactively identify schedule impacts resulting from issues such as supply chain delays and temporary shutdown of fabrication facilities, develop recovery plans, and manage expectations throughout the vertical team.

As a result of the project team’s proactive, solutions-based approach focused on life safety and mutually beneficial outcomes, the modifications were completed only six months past the original baseline and approximately 10 percent under budget.

(3) Organizational Barriers. Organizational barriers often revolve around resources, processes, and routines, and may arise when there is a perception of unfair risk sharing, a perceived opportunity cost of implementing partnering, low confidence in a stakeholder(s) ability to perform their assigned responsibilities, or an unwillingness to invest the appropriate level of time, effort, and resources to make partnering successful.

c. When a barrier is identified, the team needs to be proactive and immediately engage in conversation. A good way to start the conversation is to have the team meet and answer the following four questions: What are the facts surrounding this issue? What are some of the emotions or gut reactions (good or bad) caused by this issue? What does this issue mean to us and our success? What action(s) must we take to gain the desired result? Often, having a meaningful conversation and working through questions such as these will resolve the issue before it escalates, festers, and negatively impacts the rest of the project.

Best Practice: Make a Change Now

You must be willing to change out people when things aren't working. Below are some best practices you can use to resolve personality issues in your project team. Whatever strategy you choose, do not let conflicts fester to the point that they become toxic to the project.

- ✓ Hold one-on-one partnering sessions between those in conflict.
- ✓ Shift the decision-making power to someone else.
- ✓ Offer professional coaching for each person in conflict.
- ✓ Change out the person/people in conflict. This may be difficult to implement; however, sometimes changing out personnel is in the best interest of the project and should be pursued if alternate strategies are not successful.

Chapter 3
Partnering Across the Project Delivery Life Cycle

3-1. Background.

a. When partnering is implemented with a consistent, structured process, it enables the collaboration and cooperation needed for teams to collectively solve problems and remain focused on meeting project objectives. This section covers the key elements (see Figure 4) of the structured partnering process that, when applied, result in successful partnering outcomes.

b. Each project is unique. Therefore, it is important to consider the partnering needs of each project independently, and tailor the partnering process respectively to achieve the best outcomes possible.

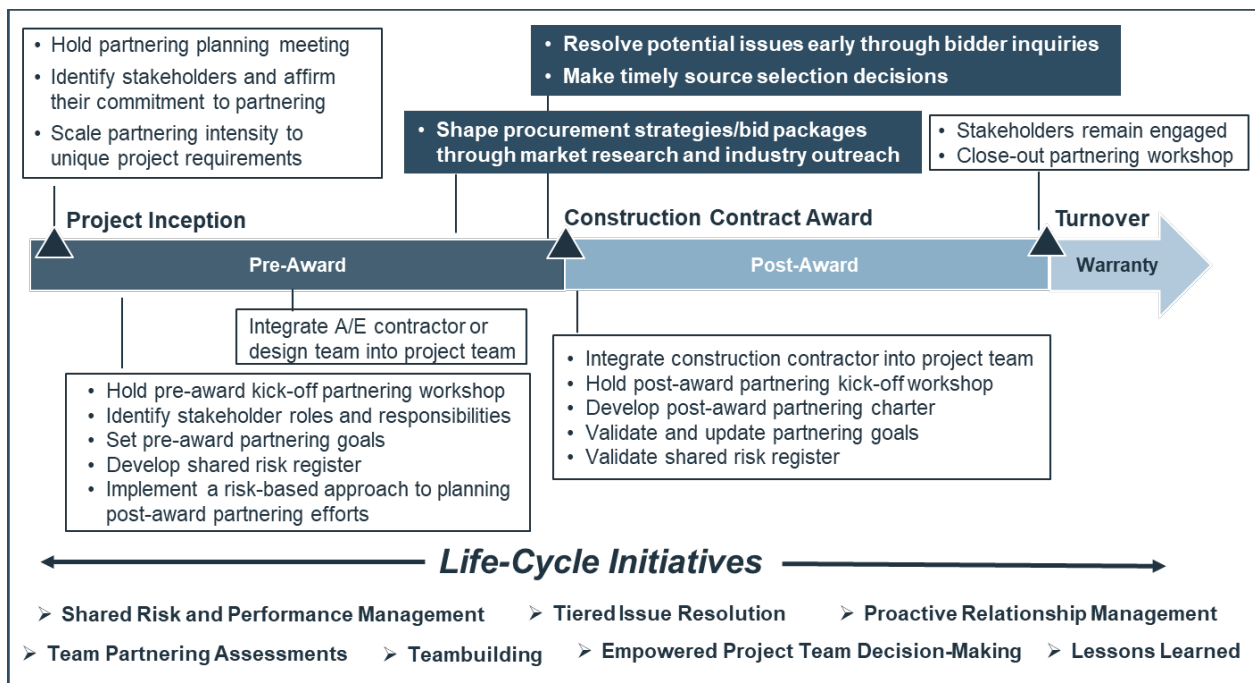


Figure 4. Key elements of construction project partnering across the delivery life cycle

c. Chapters 4 and 5 of this Playbook provide tools to adapt the structured partnering process to the pre- and post-construction contract award phases of a construction project and tailor the partnering intensity to meet the unique project needs.

3-2. Setting Conditions for Success.

a. Stakeholder Identification.

(1) Effective partnering requires that all internal and external stakeholders, and their respective project roles and responsibilities, be identified and understood by all project team members. This activity should occur early in the planning phase and be revalidated throughout the project life cycle as stakeholders transition in and out.

(2) Team members with decision-making authority should be highlighted to clarify who on the team has final approval responsibility. It needs to be clear that stakeholders cannot make contract changes. Only warranted contracting officers can make changes within their delegated warrant authority.

b. Leadership Commitment.

(1) The importance that leadership commitment at all levels plays in the successful implementation of the partnering process cannot be overstated. Executive leadership across all stakeholders must be committed to partnering and to empowering and enabling their teams to be good partners.

(2) Project level leadership is required by the USACE Project Manager (PM), Resident Engineer (RE), and PCO/ACO, as they are responsible for working together to lead and implement the partnering effort throughout the project life cycle. Additional project-level leaders include the design manager (whether in-house USACE staff or Architectural and Engineering (AE) contractor), construction project manager, key subcontractor project managers, etc. All project level leaders need to commit to partnering and work to instill partnering values in their respective teams. They need to motivate their teams around the common goals of the project and hold individuals accountable when their actions do not put the project first.

c. Partnering Intensity.

(1) During the early planning stage of the project, the USACE Project Delivery Team and key stakeholder representatives should meet to determine the level of project partnering intensity required. Highlighted in the Best Practice vignette below, the level of intensity should be commensurate with the unique requirements of the project and assessed based on the following criteria. Appendix C includes a Partnering Intensity Assessment Worksheet that can help guide project teams in determining the appropriate partnering intensity level for their respective project. Partnering intensity levels range from 1 to 5; Level 1 is the lowest level of intensity and Level 5 is the highest.

(a) Value. While higher budgets do not always equate to higher risk, the two are often correlated. Typically, higher-value projects tend to involve more stakeholders and have a higher level of visibility. This often leads to greater emphasis on partnering.

(b) Complexity. Consider whether innovative and/or unique approaches will be incorporated in the project. Will the project team be working with uncommon materials, technologies, methods, or processes, or are there any particularly onerous time constraints on the project? Does the project require complex land acquisitions or multiple facility/utility relocations? Will risk be accepted by awarding the construction contract without all real estate available? Any of these factors will increase the risk of not meeting budget or schedule objectives. In addition, consider the number of stakeholders that will be involved in the project and the complexity of stakeholder goals, expectations, and decision-making. More robust partnering is likely required to ensure continuous alignment during the project.

(c) Significance. Some projects generate a higher level of scrutiny than others. This may be the result of schedule sensitivities, location, strategic importance, or the nature of local stakeholder groups. While this does not necessarily affect a project’s critical path, organizations will be disproportionately affected by any cost or schedule overruns in such an environment, so it is even more important to mitigate these risks. Increased partnering efforts, including an added focus on knowledge sharing and open and honest communication, can go a long way in reassuring all stakeholders that their concerns are understood and being addressed during the project.

(d) Relationships. Consider whether there are pre-existing working relationships with all stakeholders or whether anyone on the team has had any adverse experiences with any other team member before. Consider the likelihood of stakeholders with the most influence and impact on issue resolution and decision-making to stay engaged, involved, and aware of their accountability for project success. If the likelihood is low, it is strongly recommended that more rigorous partnering be implemented.

Best Practice: Aligning Partnering Intensity with Project Risk

A research study conducted by the International Partnering Institute (IPI) in coordination with Michigan State University titled, “Scaled For Success: Aligning Partnering and Risk Levels to Optimize Project Performance” found that using a scaled approach to partnering enabled project teams to more consistently deliver projects on time and within budget. Below are key findings from the study that highlight how the proper alignment can influence positive project outcomes.

Key Findings

	Project Partnering = Risk Level	Project Partnering > Risk Level
Claims	0	0
Budget	1.7% Under Budget	5% Under Budget
Schedule	On Schedule – 4% Growth	4% Ahead of Schedule
Job Satisfaction	8.2% Increase	12.5% Increase

Additional findings include:

- ✓ Cost growth is lower in projects where partnering is adopted early during project planning and design rather than after award of the construction contract.
- ✓ Cost avoidance increases as the alignment between project risk and partnering intensity improves.
- ✓ By increasing the level of specificity used to evaluate project risk, teams were better able to determine the appropriate partnering intensity level.
- ✓ A higher frequency of partnering activities (including workshops, surveys, meetings) results in a lower incidence of change orders and claims.

(2) Partnering Facilitation.

(a) Routine facilitated partnering should be conducted on all projects regardless of the intensity level. The facilitator's responsibility is to manage the partnering process and enable each of the stakeholders to realize the benefits of cooperative and collaborative action. At lower levels of intensity, partnering can be facilitated by the PM, RE, and PCO/ACO.

(b) Whenever possible, and as the intensity level of a project increases, a third-party facilitator should be considered as a supplement to the routine USACE internal facilitation being conducted the PM, RE, and PCO/ACO. A third-party facilitator can be used to support key milestone events such as kick-offs and dedicated follow-on partnering progress meetings.

(c) Whether internal or external to USACE, the third-party facilitator can provide an important independent and objective voice that can help to alleviate potential stressors likely to impact effective communication and collaboration. They can also bring a wealth of expertise which may prove vital to successfully navigating complex partnering situations. This includes organizational development, communications, group dynamics, issue resolution, and team-building. If a third-party facilitator is used during pre-award, the team should use the same facilitator during post-award.

(d) Skilled public involvement specialists, resident across the enterprise, can assist the PM, RE, and PCO/ACO with building partnering strategies and executing partnering engagements. To learn more about the USACE public involvement cadre, visit <https://corpslakes.erd.dren.mil/employees/facilitator/find.cfm>.

(e) External partnering facilitators can be hired directly by USACE or by the AE contractor or construction contractor. The contract specifications need to identify who will hire and pay for the facilitator, along with the process to select a facilitator. All stakeholders should have input into and ultimately agree on the facilitator selected for the project. No matter who the facilitator is, they should have some level of experience with construction, be familiar with this Playbook, and be involved as soon as possible in the partnering planning.

3-3. Conducting a Partnering Kick-Off Workshop.

a. Partnering Kick-Off Workshop Overview.

(1) The partnering kick-off workshop is the basic building block for establishing the partnering relationship and for initiating the partnering process. At the workshop, the participants initially get to know each other, build trust, establish communications, develop a team spirit, set their common partnering goals for the project, and gain commitment to an implementation plan for sustaining the partnering relationship over the life of the project.

(2) Regardless of the partnering intensity level, a construction project should typically have two partnering kick-off workshops: one during pre-award and one after award of the construction contract. The workshop can be a stand-alone workshop or combined with another meeting, depending on the level of partnering intensity. Both partnering kick-off workshops should be held as early as possible to set conditions and orient new team members. Chapters 4 and 5 provide additional information on stakeholder participants for both the pre- and post-award workshops.

b. Workshop Planning.

(1) A successful partnering kick-off workshop requires more planning than a typical business meeting as it will be longer, involve active participation in group activities, and require consensus-building to collectively develop a Partnering Charter (Charter) in which all stakeholders will commit to a defined partnering relationship.

(2) One of the most important contributors to the success of the workshop is stakeholder attendance. Coordinating with all stakeholders before the workshop is important to make sure a date, time, and location is selected that works for all. Although in-person workshops are most effective, attendance via video conferencing can be used, if needed for some participants.

(3) It is best if this workshop is conducted on a neutral site. Typically, the workshop will require a full day but, depending on the partnering intensity, it may take anywhere between a few hours to multiple days.

(4) At least one representative from each stakeholder group should attend the workshop and all follow-on partnering progress meetings. To be effective, it is imperative that stakeholders who participate in the kick-off workshop have decision-making authority.

(5) Stakeholder feedback should be solicited prior to the workshop to help shape content and begin preparation of the Charter. The scope of feedback will vary depending on the partnering intensity level of the project. If the project requires a low level of partnering intensity, the PM, RE, and PCO/ACO may simply request stakeholders to share their partnering goals and objectives. If the project requires a high level of partnering intensity, then a third-party facilitator should be engaged to conduct more in-depth pre-partnering surveys or interviews.

c. Elements of a Partnering Kick-Off Workshop.

(1) Introductions. The partnering kick-off workshop should begin by welcoming the participants and having them introduce themselves. Participant introductions should include information about their personal background, such as hobbies and families, as well as their professional background. This provides an opportunity for the participants to relax, get acquainted, identify participants and their respective roles and responsibilities, and begin establishing the basis for strong, cohesive team dynamics. It is critical to highlight those participants with decision-making authority for the project.

(2) Project Overview. Following participant introductions, a summary of the project scope should be provided as well as an overview by the end user of the impact the project will have on their mission.

(3) Partnering Fundamentals. Partnering fundamentals should be reviewed to reinforce key partnering concepts and get everyone in the partnering mindset.

(4) Team-Building Activities. When participants are new to the partnering process, the facilitator may conduct a short and simple team-building exercise to reinforce the benefits of working together rather than pulling separately. In workshops with more experienced and supportive stakeholders, specific team-building exercises may not need to be conducted. Instead, team-building concepts can be incorporated into the other activities conducted at the workshop.

(5) Partnering Charter.

(a) Developing the Charter is a significant part of the workshop. For projects with lower levels of partnering intensity, the Charter may be developed and finalized during the workshop, allowing all participants to immediately sign it. For projects with higher levels of partnering intensity, it may be necessary for the facilitator to develop the Charter after the workshop and then provide the opportunity for comment before finalizing and routing to all stakeholders for signature.

(b) The Charter is a written document that creates a visual symbolic reminder of stakeholder commitment to partnering and to the mutual vision for the project. The Charter is not a contractual agreement and does not change the terms of any contracts that exist between any of the stakeholders.

(c) An effective Charter should be composed of the following key elements: project vision, stakeholder roles and responsibilities, mutual goals, and a signed team commitment statement. The level of detail associated with each of these elements should be scaled to align with the partnering intensity level determined for the project. Appendix F includes tools for developing a Charter to match the level of partnering intensity required to meet the unique needs of the project.

(d) Project Vision. The Vision should be a simple statement that clearly articulates the project objectives and keep the stakeholders focused throughout the project. All partnering activities should begin by reviewing the Vision and reinforcing the requirement that all parties put the project first before their own goals or objectives. Developing a vision statement can be a good first exercise in working together, listening, sharing ideas, and finding common ground early in the project.

(e) Stakeholder Roles and Responsibilities. The primary roles and responsibilities of each stakeholder should be discussed during the workshop and documented in the Charter, with specific emphasis on those with direct influence on project outcomes. Discussion during the workshop is a great opportunity for the team to learn more about what each party brings to the table and set expectations for partnering responsibilities. Decision-makers representing each agency/stakeholder group should be identified during this discussion.

(f) Mutual Goals for Success. It is important for the Charter to document the agreed-upon “goals for success” developed by the project team during the workshop. At a minimum, these goals should include the foundational project goals detailed in Figure 5, which are applicable to most projects. Consideration should be given as to what other project-specific goals should be captured to ensure project success, what each team member’s contribution will be toward accomplishing each of those goals, and how each of the goals will be assessed. Appendix G provides an example worksheet which contains additional best practice quantitative measures.

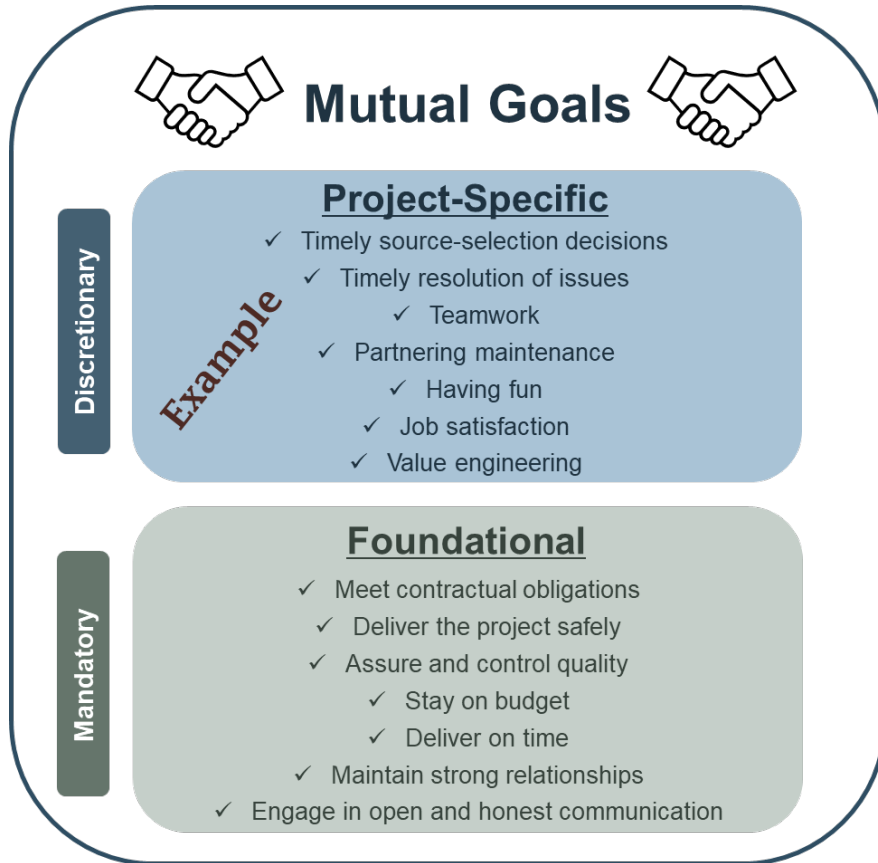


Figure 5. Goals for success

(g) Signed Team Commitment Statement. Upon completion of the Charter, it should be routed for review and signature by all stakeholders. Once all comments are resolved, each party should sign the Charter to demonstrate their commitment to the partnering process.

(6) Collaboration Tools.

(a) Once the project team has either completed or framed out the Charter, the next step in the workshop is to begin developing the necessary collaboration tools. This includes the Communications Plan, Risk Management Plan, Partnering Maintenance Plan, Issue Resolution Plan and Ladder, partnering assessment tools, and Action Item Tracker. Typically, the designated facilitator is responsible for coordinating the planning, development, and completion of the collaboration tools.

(b) There may not be time to complete each of these tools in the workshop, but each should be discussed and a plan to finalize them agreed to by the project team. The plan should include assigning responsibility for completion of each tool, the expected timeline for completion, and how the team plans on holding themselves accountable.

(7) Communications Plan. It is important to document the team's commitment to open communication by detailing how the team will interface, both formal and informal, with one another and defining the key principles that will guide the interface. This includes how information will be given and received, how issues will be communicated and addressed, how meetings will be conducted (including ground rules, frequency, capturing and distribution of meeting minutes, participation and collection of stakeholder assessments), how stakeholders will be onboarded (includes new stakeholders or changes to existing stakeholder staff), and how the Contractor Performance Assessment Reporting System (CPARS) evaluation process will take place when USACE has a contractual relationship with one or more stakeholders (such as AE contractor and/or construction contractor).

(8) Risk Management Plan.

(a) Every project is faced with risks to success. The partnering process is the ideal mechanism to enable proactive identification of key risks the team faces and to make commitments to collectively manage the risks or solve the problem(s). The risk management plan should address the five elements detailed in Figure 6, Shared Risk Management.

(b) An integral element of the Risk Management Plan is the development of a shared risk register. Incorporated into the Charter, the team should prepare an initial risk register by discussing project challenges, identifying the project risks associated with each of those challenges, and developing agreed-to resolution and/or mitigation processes. Appendix G includes examples of shared risk registers that can be used for this purpose.

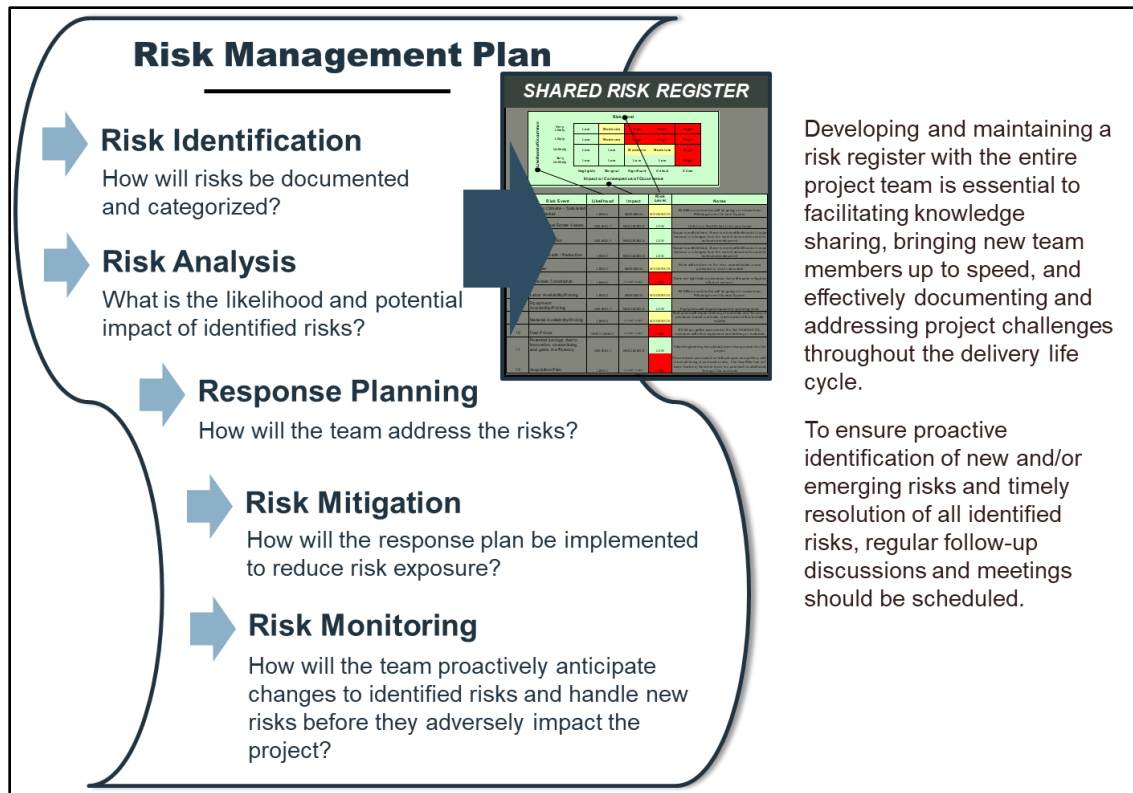


Figure 6. Shared risk management

(9) Partnering Maintenance Plan. Collectively preparing and implementing partnering consistent with a Partnering Maintenance Plan is critical for maintaining the partnering effort throughout the course of the project. An effective plan should include the team’s agreement on the following specified partnering activities, their associated frequency, and critical milestones.

(a) Partnering Progress Meetings.

- This may be documented using specific dates, milestones, or frequency, as well as designated locations for those events. The PM, RE, and PCO/ACO should ensure that progress meetings are scheduled according to the agreed schedule, that the appropriate people can attend so that any outstanding or emerging issues can be addressed, and center around issue resolution, team-building, team celebration, or a combination of those elements.

- Partnering progress meetings can be used in several ways. They may include both collective and targeted meetings that focus on the senior executive team, contractors/contract administrators, end-users, design team, and the USACE Project Delivery Team (PDT). The facilitator can help to shape an agenda which maximizes the value of each progress meeting. At a minimum, these meetings should review all elements of the Charter to validate/add/edit specific items as needed as well as CPARS.

Best Practice: Implementing a Successful CPARS Evaluation

Open and honest communication regarding the Contractor Performance Assessment Reporting System (CPARS) evaluation process is a great way to develop trust between the government and contractor. The following are some best practices to consider:

- ✓ Discuss the CPARS process during the post-award kick-off meeting and document in the meeting notes to ensure all parties are on the same page from the beginning of the project.
- ✓ Discuss how each CPARS evaluation area (quality, schedule, cost control, management, small business contracting, regulatory compliance, other(s)) will be rated and the definition of success for each area.
- ✓ Conduct an informal review with the contractor regarding their performance in each CPARS evaluation area quarterly (not uploaded into CPARS).
- ✓ Ask the contractor to submit a self-evaluation prior to drafting the interim and final CPARS evaluations.
- ✓ Review the draft CPARS evaluation with the contractor prior to formally sending it to them in CPARS.

(b) Team Partnering Assessment. Team partnering assessments are an important means of actively managing the health of the project and the team. Routine implementation of team partnering assessments can assist with identifying and addressing areas of concern early before they impact the project, determining areas for improving the partnering process and for monitoring partnering effectiveness at an enterprise level. (See Appendix G or an example Team Partnering Assessment.)

(c) Collective Performance Goal Assessment. Goals for items such as submittals, communications, and changes should be set at the partnering kick-off workshop. These quantitative goals should be regularly reviewed to find bottlenecks in the workflows and identify steps to mitigate them (see Appendix G).

(d) Weekly Meetings. Partnering should be incorporated into each weekly project coordination meeting. The team can use this time to review elements of the Charter and discuss how well the team is doing at implementing partnering. Specify where and when these meetings will be held and how partnering will be incorporated.

(e) Team-Building Activities.

- Successful project delivery cannot be achieved by one individual alone. It requires a team of dedicated professionals working together toward common goals and objectives.

- Team-building has proven to be an effective way to build and sustain strong cohesive teams. By planning fun and motivational activities, the project team can foster bonds and connections that lead to improved communication, problem solving, collaboration, conflict resolution, and productivity.

- Team-building activities can serve many purposes. These include: networking, socializing, and getting to know one another better; enhancing teamwork and team performance; celebration; collaboration and fostering innovation; communication; showing appreciation; and creating something to look forward to.

- One best practice is to have the group brainstorm activities of interest to them during the Partnering Kick-Off Workshop and ask for some volunteers to coordinate planning. Consider planning team-building activities on a regular basis, including around major project milestones and in conjunction with partnering progress meetings.

- Some examples of team-building activities include potluck lunches, volunteering as a group, bowling, cookouts on follow-up partnering days, trap shooting, happy hour, paint ball, and attending or organizing team sporting events (such as minor league baseball games).

- It is important to consult with your ethics counselor prior to conducting any team-building event to ensure it adheres to all applicable ethics regulations and avoids the appearance of any ethics violation.

Best Practice: Team-Building

*Rotary Wing Parking Apron,
Wheeler Army Airfield, Hawaii*

Although partnering was not specifically included in the construction contract, both USACE and the contractor recognized the importance of partnering in achieving successful delivery outcomes.

As such, USACE, the construction contractor, and other members of the project team came together to plan multiple team-building activities and events. This included holding a ground-breaking ceremony and celebrating accomplishments and major milestones with potluck lunches.

(f) Close-Out Partnering Meeting. The close-out partnering meeting is conducted as a way for the team to collect key lessons learned, ensure the project ends well, and that the close-out process goes smoothly. There should be no lingering unresolved issues.

(10) Issue Resolution Plan and Issue Resolution Ladder.

(a) An Issue Resolution Plan (IRP) is a proactive conflict management tool that brings structure to the collaborative problem-solving process for resolving project issues. An Issue Resolution Ladder (IRL) provides a visible structure that assists stakeholders to address issues quickly with appropriate decision-makers at appropriate levels (See Appendix G for an example IRL). The purpose of an IRP/IRL is to have agreements and/or a process in place to prevent issues from impacting team relationships or the project. The IRP establishes a process and agreed-upon trigger points and timelines for elevating disagreements through to executive management. The IRL should detail the resolution chain in resolving contractual and/or working relationship issues that may be encountered on the project.

(b) All issues should be tracked from their inception through resolution. The team should agree how issues will be tracked and, at a minimum, the following should be included for each issue: what is the issue, what is the corrective action, who is responsible, and when is it due (see Appendix G for an example issue tracker). The initial issue tracking list should be started at the partnering kick-off workshop and reviewed at all weekly meetings and partnering progress meetings.

(c) When the PM, RE, and PCO/ACO have identified an issue for which resolution cannot be reached, they will work together with the parties involved to complete an issue elevation memorandum (see Appendix G). Upon completion of the memorandum, they will schedule a meeting with the next level of management on the issue resolution ladder to present the issue together to resolve it as quickly as possible. If necessary, they should continue to elevate the issue on the ladder as needed until it is resolved.

(d) Issue resolution on contractual matters relates to the scope of the issue, not the level of the organization which brings it. Contracting Officer Representatives and ACOs can resolve only those issues that are within their delegated authority to resolve. If contractual issues cannot be resolved using the partnering process and tools such as the IRL, they may convert to contract disputes. At that point, they are no longer handled through the partnering issue resolution plan and instead should be resolved through the formal contractual disputes process identified in the contract.

(e) When partnering is required by the contract and the contractor is unwilling to participate in the partnering process, the issue resolution plan and ladder should be used as a first means to resolution. If unsuccessful, it will have to be addressed through the contract compliance process and handled outside of the partnering process.

Best Practice: Issue Resolution

Effective partnering should ensure that most issues are solved at the lowest level and within the structure of the issue resolution ladder. When an issue escalates beyond the project team, partnering becomes more important than ever. It is important to not let one difficult issue make all issues on the project difficult.

To keep the project team working together, consider the following strategies:

- ✓ Use the tools available to the team to maintain an objective approach to issue resolution that limits personal attachment.
- ✓ Seek agreement during the development of the Communications Plan to verbally discuss all issues FIRST (face-to-face, if possible) and avoid sending a letter or widely distributed e-mail that causes all parties to revert to a defensive position. Once an “attack” is made, the damage has already occurred.
- ✓ Deal with difficult or “emotional” issues separately and outside of the day-to-day project interactions to avoid fostering an “us versus them” or “need to win the argument” mentality.
- ✓ Work to keep the team focused on what they agree on, their mutual goals, and working together to solve problems.
- ✓ Employ regular team health assessments to assist in identifying potential issues.
- ✓ Seek to address difficult issues in a small group, with each involved stakeholder selecting a single representative to participate, prior to meeting with the broader project team.

(11) Partnering Assessment.

(a) Assessing performance is a critical component of maintaining a positive working partnership. Routine assessments across multiple facets of performance enable teams to proactively identify and address areas of concern before they impact the project and ensure that all team members remain committed to achieving agreed-upon goals and objectives. To maximize the value of these assessments, a combination of quantitative and qualitative measures should be used.

(b) Quantitative Performance Assessment.

• Quantitative performance measures are used to assess the existence of appropriate work processes and provide insight into stakeholders’ adherence to these processes. These measures should be linked with the project goals established during the project partnering kick-off workshop and include processes to complete trackable tasks to ensure project delivery results. Referred to here as Collective Performance Goals, some examples of quantitative performance measures include: 1) Request for information response time, 2) deficiency resolution time, 3) repeat three-phase inspections due to deficient work, 4) modification resolution time, and 5) submittal review time. It should be noted that for these metrics, modification resolution time should be measured from the time that the need for a change is discovered.

- Further detailed in Appendix G, Figure 7 provides examples of some common quantitative performance measures for construction project execution. It is important to make it clear to all stakeholders that these are goals and do not supersede or change any requirement or review times specified in a contract.

Performance Goals	Responsible Party	Goal	Checkpoints
Submittals			
✓ Government review time	Government		
✓ Percent requiring resubmission	Both		
✓ Resubmission time	Contractor		
RFI Time			
✓ Submission to schedule impact	Contractor		
✓ Government response	Government		
Correspondence Time			
✓ Response; if answer required	Both		
✓ Issue resolution	Both		
Change Time			
✓ RFP to valid proposal	Contractor		
✓ Proposal to settlement	Both		
✓ Settlement to execution	Government		

Figure 7. Example quantitative assessment areas

(c) Qualitative Performance Assessment.

- Qualitative measures are used to assess the health of the partnership or project team and the perception of performance by key stakeholders. The best way to get a handle on the quality of stakeholder relationships is to complete a team performance assessment.

- Consistent with the Partnering Maintenance Plan, each project team stakeholder should complete a performance-based assessment during routine partnering progress meetings to provide feedback on how they and others are doing in fulfilling their commitments and achieving agreed-upon performance goals. This activity, which should take place at least monthly, helps to identify new/emerging issues and provides accountability for those charged with the implementation and follow-through of the partnering program. Figure 8 includes examples of qualitative assessment areas. An example team partnering assessment is also included in Appendix G.

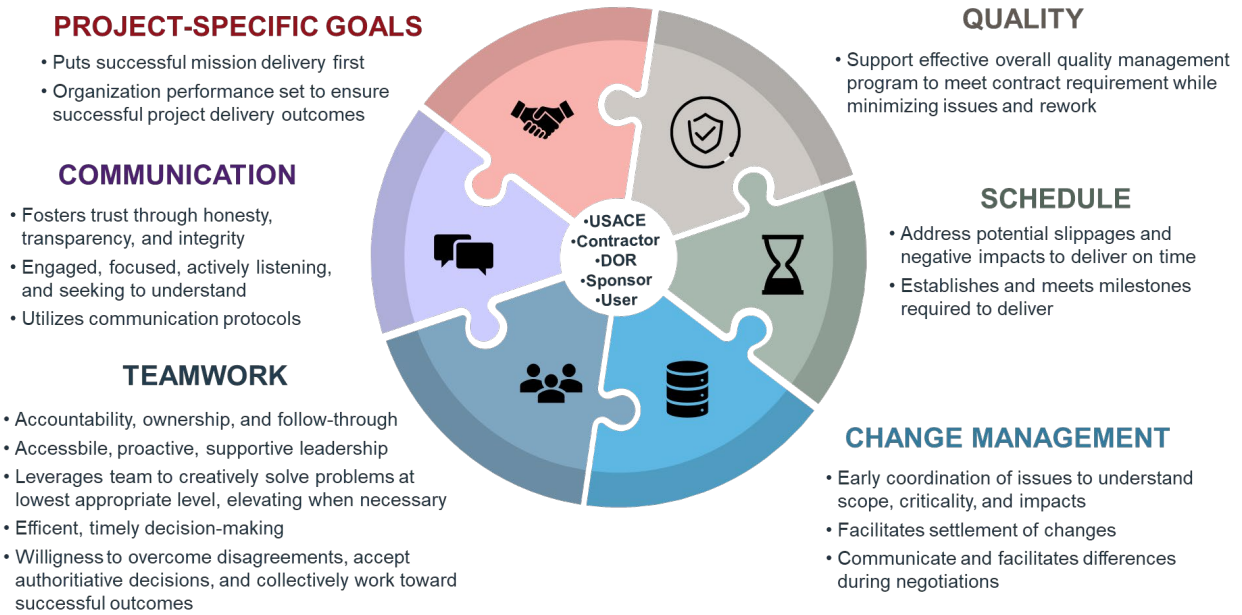


Figure 8. Example qualitative assessment areas

Best Practice: Assessing Performance

A study conducted by the International Partnering Institute (IPI) found that project teams that routinely assessed their performance and held one another accountable to live up to their commitments throughout the course of the project improved over time and achieved the most successful outcomes. Following are some of the best practices that project teams should consider when developing a team performance assessment instrument:

- ✓ Team members need to be a part of developing the measures so that they “buy-in” and are committed to them.
- ✓ Assessments should be measurable, specific to the project, reassessed routinely, and adjusted as necessary to make sure they are current, relevant, and address key success factors.
- ✓ Ensure assessment feedback is structured to focus on the project, not an individual or stakeholder.
- ✓ Conducting assessments, discussing feedback, and making course corrections on a monthly basis is the most effective means to keeping projects on track.
- ✓ Assessments should be administered by a neutral third party, such as the facilitator, to ensure a “safe” environment is established for team members to be open and honest and deal with core issues.
- ✓ Maintaining executive leadership awareness of assessment feedback helps to ensure the team has the resources it needs to be successful and can overcome barriers outside the control of team leaders in the field.
- ✓ Assessments are an effective tool to ensure all stakeholders have a voice and maintain an appropriate balance of power.

Adapted from “What Gets Measured Improves” by Sue Dyer, IPI, 2007

(d) In the event the USACE internal relationships are not optimal, internal meetings may be necessary. Project health and team collaboration assessments should help to identify these situations. If these situations are identified, consider a team-building meeting, or a series of meetings, to rectify the relationship issues. There may be times when an internal meeting is necessary to correct behavior and realign business practices to mitigate impacts to other parties.

(e) Collaboration among stakeholders on projects determined to require a Level 4 or 5 partnering intensity is likely to be a significant project risk. One strategy to promote effective collaboration is to use a system called Collaborative Analytics (CA) to assist project team leaders to proactively identify areas of stress within the team and fix pain points before they begin to fester. Through a CA consultant, a monthly survey is conducted based on key performance areas identified by the project team. Further detailed in Appendix G and in Figure 9 below, results are analyzed and standardized reports displaying key leading indicators and trends are prepared.

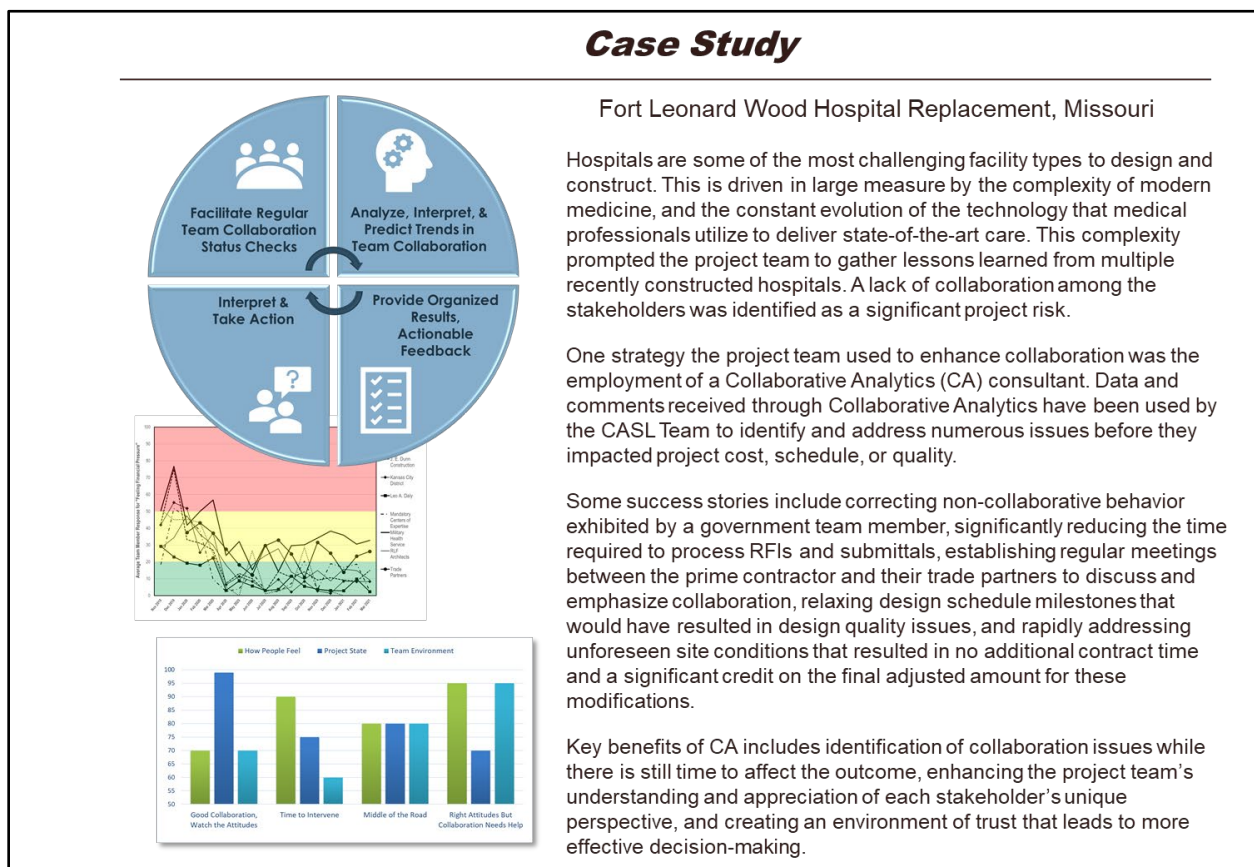


Figure 9. Case study – Maintaining project health through collaborative analytics

Chapter 4 Considerations for Planning and Implementing Pre-Award Partnering

4-1. Planning for Success.

a. Partnering should be implemented during both the pre- and post-award phases of all construction projects. Planning and implementing the partnering process during pre-award is typically the combined responsibility of the USACE PM, RE, and the PCO/ACO. Appendix B provides a pre-award partnering checklist to assist the PM, RE, and PCO/ACO in planning the pre-award partnering effort.

b. Early in the pre-award phase, the PM should hold a partnering planning meeting with the project team to determine the partnering intensity required to meet the unique needs of the project. Appendix C includes a partnering intensity worksheet to help determine the partnering elements required to meet the unique project requirements. The score developed from the worksheet should be used in combination with the knowledge and experience of the project team to ultimately determine the appropriate level of partnering intensity and the specific partnering elements to be used for the project.

c. The Designer of Record (DOR), which can be USACE District Engineering Division staff and/or AE contractors, should be regular participants in partnering meetings during the pre- and post-award phases. Project contracts should account for all appropriate costs to ensure the participation of AE contractors during both pre- and post-award. Appendix C provides partnering elements that can be included in the AE contract scope of work, or in the design requirements if an in-house design team is being used, depending on the determined level of partnering intensity. USACE District Engineering, Construction, Project Management, and Contracting Division staff should align expectations before solicitation of the design services contract as to what level of participation is anticipated for partnering efforts.

d. As part of the pre-award partnering kick-off, the project team should determine ways to actively involve individuals with construction knowledge and experience. Engaging individuals with construction expertise early is key to maximizing the value they can provide during the planning and design process, where the cost of changes is significantly lower than later during construction (see Figure 10).

(1) Research has shown that the more construction expertise is leveraged during planning and design, the higher the likelihood of project success.

(2) A World Economic Forum report states, “construction’s share of the total cost over the lifetime of the asset can be as high as 10–50 percent ... this cost component is largely determined early on ... to achieve substantial improvements in construction productivity ... [organizations] need to ensure that during the design and engineering phase, they keep the actual construction process in mind.”

(3) Thus, making this a goal of the pre-award Partnering Charter is an effective way of ensuring construction expertise is engaged early and often. Following are a few strategies for involving internal and external construction expertise during pre-award:

(a) Internal: Ensure the RE/ACO and Project Engineer are included in all pre-award planning, design, and project team meetings and activities including developing and updating Project Management Plans, participating in acquisition planning and acquisition Source Selection Evaluation Boards, serving as the primary proponent of the Biddability, Constructability, Operability, Environmental, and Sustainability (BCOES) process, and participating in all pre-proposal conferences and site visits.

(b) External:

- Use Sources Sought Notices to collaborate with industry, obtain meaningful feedback, and meet one-on-one with potential offerors.
- Post draft Requests for Proposal (RFP) to SAM.gov (if using an existing Multiple Award Task Order Contracts, share the RFP with Indefinite Delivery Contract holders for feedback).
- Conduct pre-proposal conferences and industry days.
- Implement Integrated Design and Construction acquisition methods such as Early Contractor Involvement to engage the construction contractor early in design.

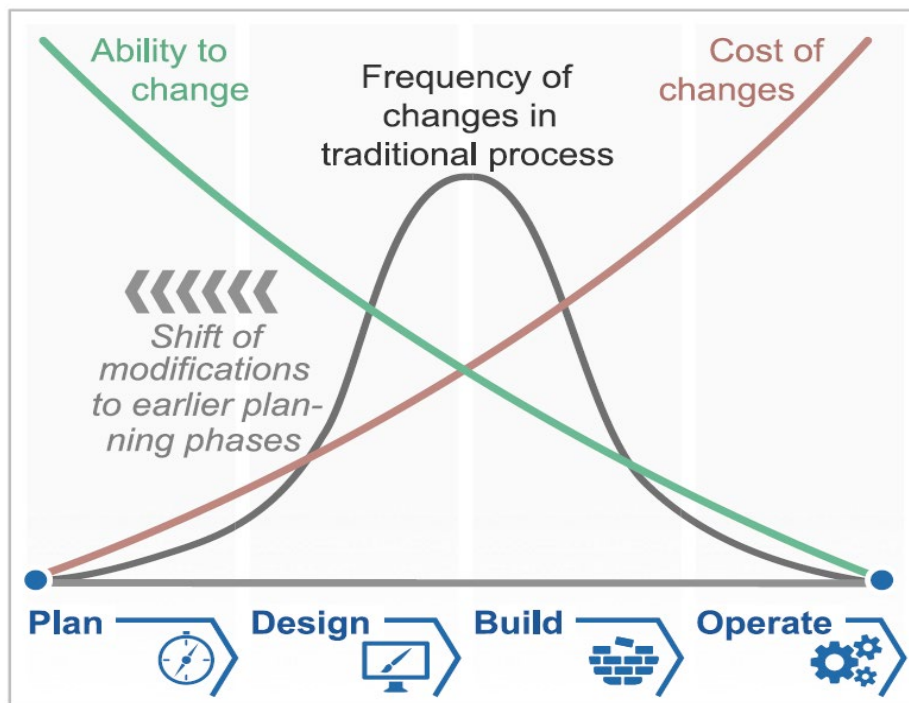


Figure 4. Cost of changes in the construction life cycle
(Shaping the Future of Construction: A Breakthrough in Mindset and Technology, World Economic Forum & The Boston Consulting Group, May 2016)

4-2. Implementing Pre-Award Partnering.

a. Pre-Award Partnering Kick-Off Workshop. Once all stakeholders have been identified and are committed to the partnering process, the PM should hold a pre-award Partnering Kick-Off Workshop. Typically, this should occur at or around the same time as the planning charrette or design kick-off meeting and include the development of the Pre-Award Partnering Charter. Appendixes E, F, and G includes an example workshop agenda, Charter, and collaboration tools, respectively. It is important to make sure the Charter is incorporated in the Project Management Plan (PMP).

b. Pre-Award Partnering with Industry.

(1) Engaging industry throughout the pre-award phase is critical to setting conditions for success during construction. It is incumbent upon senior leaders to engage with industry on broad issues such as market conditions, industry trends, and current and future USACE programs. Contact with industry about specific acquisitions is the responsibility of the PCO. Contracting, with the assistance of the USACE PDT, engages industry early in planning to help shape effective procurement strategies and other elements of contract formation.

(2) The means and methods for how this engagement will take place should be discussed by the team during the kick-off workshop and documented in the Partnering Charter communication plan. This includes how industry will be engaged early in project planning to help shape successful procurement strategies and bid packages and how the team will interact with potential bidders during the contract solicitation period.

(3) It is important to apply a partnering mindset when communicating with industry. Positive interactions with industry during this phase can provide mutually beneficial outcomes to both USACE and industry. Proactive, routine, and transparent engagement with industry helps to build trust and better anticipate and proactively mitigate potential project risks, including the transfer of risk from pre- to post-award. It also helps to optimize contractor bidding pools and talent and avoid unnecessary cost growth resulting from poorly defined bid packages, unknown or poor relationships, and unresolved issues that lead to costly claims and/or litigation. However, USACE PDT members should always ensure that the PCO is aware of any communication with prospective offerors, as some communications may violate the Procurement Integrity Act or the Competition in Contracting Act.

c. Optimization of BCOES Review and Engineering Considerations and Instructions for Field Personnel (ECIFP).

(1) During pre-award partnering, the project team should consider ways to optimize the BCOES review process throughout all pre-award phases to facilitate a smooth formal BCOES certification, shape effective procurement packages, and minimize the transfer of project risk into the construction phase. The first step is to identify all BCOES participants and ensure they are included in all project planning and design activities such as, but not limited to, selecting the project type (design-bid-build, design-build, etc.), developing the acquisition strategy, design charettes, design kick-off meetings, value engineering studies, and the typical 30 percent, 65 percent, and 95 percent design reviews.

(2) Project teams should also consider ways to optimize the ECIFP to document design intent and enable effective communication between engineering and construction personnel throughout pre- and post-award.

d. Partnering Maintenance. Implementing the Partnering Maintenance Plan must be a top priority for the entire project team. The PM has lead responsibility for keeping the team focused on partnering after the pre-award partnering kick-off workshop. Making partnering one of the first topics covered at each design and weekly coordination meeting is one of the best ways to keep the team focused on maintaining a partnering mindset. This should include regular review of the elements detailed in the Charter.

4-3. Post-Award Partnering Planning.

a. Partnering Intensity.

(1) The extent of construction project post-award partnering efforts should be consistent with the anticipated risks of the project. Appendix C includes a partnering intensity worksheet consisting of five levels to assist the project team in determining the appropriate level of post-award project partnering. Each level includes recommended partnering elements for the team to consider using for the project.

(2) The worksheet provides a baseline framework from which to build the final suite of partnering elements. The experience of the team and unique project requirements should drive those partnering elements the team ultimately decides are required for the project. As an example, the contract vehicle type (includes design-build, design-bid-build, early contractor involvement, cost-plus, and public-private partnerships) may need to be considered if the team feels it may affect the appropriate level of partnering intensity required for the project.

b. Construction Contract Partnering Specifications. Appendix C includes partnering elements to be included in the construction contract specifications Unified Facilities Guide Specification 01 30 00 Administrative Requirements, depending on the level of partnering intensity determined using Appendix C. In the pre-award phase, the project team should refine this specification language and edit as needed to ensure the post-award partnering effort aligns with the unique needs of the project, their experience, and the elements from the partnering intensity matrix that they have decided are required for the project.

4-4. Multi-Tiered Partnering.

a. The need for multi-tiered partnering should be considered by the project team during pre-award partnering planning in consultation with District leadership to determine the appropriate level of engagement. Multi-tiered partnering is recommended for all projects, or series of interconnected projects with an aggregate high value and complexity, determined to have a partnering intensity of Level 4 or higher. Projects or programs designated as “Mega” should implement all Level 5 partnering elements detailed in the partnering intensity worksheet in Appendix C.

b. A multi-tiered structure for partnering, detailed in Figure 11 below, can include a Senior Executive Board (SEB) and/or an Executive Leadership Team (ELT) in addition to the working level project team. If a multi-tiered structure is determined by the project team to be required, the AE contractor and construction contract partnering requirements should be modified to include this element. It is important to ensure the extent of executive level of engagement is commensurate with the anticipated challenges, complexities, and risks presented by the project.

c. SEB.

(1) Chaired by the Major Subordinate Command's Senior Project Executive (SPE), the SEB is composed of the SPE staff (which must include the Regional Contracting Chief) and senior executive representatives from project/resource sponsor, end users, installation owners (if applicable), and corporate level officers from the DOR (USACE in-house and/or AE contractor) and construction contractor. Headquarters, USACE (HQUSACE) executive leadership (General Officer/Senior Executive Service), National Program Manager, and Engineering and Construction Division senior engineers must be included as advisors to the SEB, participate in all SEB meetings, and be actively involved in all critical SEB activities.

(2) The SPE/SEB is responsible for providing guidance and mentoring to lower echelons and maintains executive level accountability for program and project success. The SPE is also responsible for establishing a schedule for conducting formal In-Progress Reviews to facilitate vertical information sharing and decision-making.

Best Practice: Multi-Tiered Partnering

*Next National Geospatial-Intelligence Agency (NGA) West
St. Louis, Missouri*

Based on the project intensity level, USACE and NGA collectively agreed to stand up a three-tiered partnering structure to effectively manage the Next NGA West project. Formal sessions at each echelon of the structure were held on a recurring basis over the delivery life cycle. Sessions were sequenced, beginning with the working level project team session up through the SEB session, to ensure alignment and inform higher echelon discussion.

A neutral third-party facilitator was selected to support all three tiers of the partnering structure. The facilitator used a combination of on-line feedback surveys, pre-session interviews, and observation of team coordination meetings to provide candid feedback and ensure team members at all echelons remained focused on resolving issues, maintaining positive team behaviors, issue resolution, and achieving project goals.

By engaging early and often at all levels, the collective team was able to develop the relationships and trust needed to quickly address key issues such as user changes, quality

(3) The extent to which HQUSACE leadership will be involved in the regular review and oversight should be detailed in the PMP. The PMP should also outline how parity will be achieved between stakeholder entities. For example, who will represent USACE if the using

agency is represented at the two- or three-star level. The PMP will also describe how the project reporting and briefing processes will sync with other project- and program-level approaches such as Senior Executive Review Groups and Senior Advisory Groups in Military Programs, the Civil Works Review Board and Change Control Board, and other HQUSACE executive governance forums such as Command and Directorate Management Reviews.

d. Executive Leadership Team. Chaired by the District Commander or the Deputy District Engineer for Programs and Project Management (DPM), the ELT is composed of the USACE District senior leadership (such as the Corporate Board), Contracting Officer, project/resource sponsors, and the DOR (USACE in-house and/or AE contractor) and construction contractor’s regional representative. This team is responsible and accountable for making decisions and applying resources to solve problems that rise above the typical day-to-day management of the project. This team should ensure the initial partnering meeting occurs and that appropriate partnering progress meetings are taking place at the project team working level.

e. Working Level Project Team. The working level project team is responsible for managing the day-to-day engineering and/or construction efforts. The working level project team includes the Project Leadership Team which consists of the PM, RE/ACO, Technical Lead, and other key working level leadership representatives from external government and contractor stakeholders.

f. Professionally facilitated partnering sessions should be an integral element of multi-tiered partnering. Facilitators should be third-party external professionals and not USACE employees, a contractor directly involved with the project (such as the AE contractor or construction contractor), or a project stakeholder. This is not limited solely to USACE’s relationships with AE contractor and construction contractors. It also includes facilitated partnering among internal USACE elements. A facilitated partnering workshop with the project team members is required when the project team is initially formed and whenever there are significant changes in the project team composition and/or project phases.

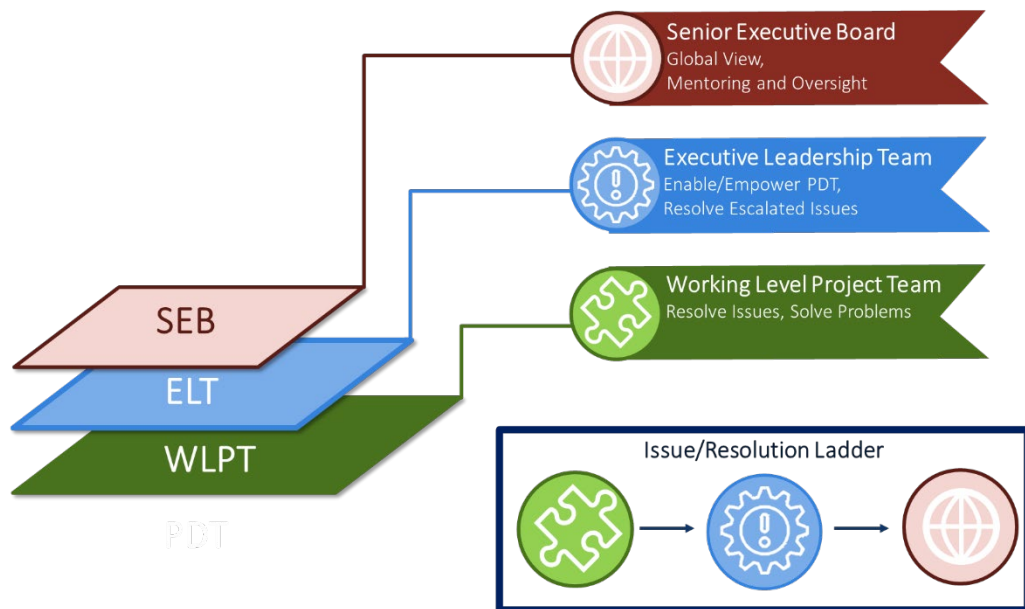


Figure 11. Example multi-tiered partnering structure

Chapter 5
Considerations for Post-Award Partnering

5-1. Introduction.

a. Award of the construction contract is a significant milestone in the construction project life cycle. It represents the point where day-to-day responsibility for the project oversight changes hands from the USACE PM to the RE and PCO/ACO. While the USACE PM stays intimately involved with the project through completion, the RE and PCO/ACO is responsible for implementing construction project partnering during the post-award phase.

b. Upon award of the construction contract, several new stakeholders including the prime contractor, key subcontractors, suppliers, and design firms join the project team. To account for these changes, a post-award partnering kick-off meeting will be held to establish a new Charter for this phase of the project. Appendix D provides a post-award partnering checklist for the RE and PCO/ACO to use as a guide in implementing the post-award partnering effort.

Best Practice: Onboarding New Team Members

When new stakeholders or new members of existing stakeholders transition into the project team, it is important to take the time to bring them on board and integrate them into team. Key to this is making sure they recognize and embrace the partnering culture practiced by the project team and maintain a consistent standard.

Following are some best practices to consider in bringing on new members of the team:

- ✓ Provide partnering training material and a copy of this Playbook.
- ✓ Review all partnering elements included in the project, to include the Charter and any collaboration tools the team is using.
- ✓ Review recent team partnering assessment results to help them understand the team dynamics.
- ✓ Consider conducting a mini-partnering workshop to quickly integrate them into the project team and align them with partnering goals.
- ✓ Make team members feel a part of the project by introducing them at weekly progress meetings, giving them a tour of the project site, and providing a copy of the weekly notes.

5-2. Post-Award Partnering Implementation.

a. After award of the construction contract, the PM and RE/ACO should revalidate the post-award partnering intensity level and assumptions made during the pre-award phase to ensure risks have not changed. This will ensure that partnering efforts remain commensurate with the anticipated project challenges as previously assessed.

b. Once the project team has revalidated the partnering intensity level required, the RE and PCO/ACO should contact new stakeholders, including the construction contractor, and begin planning the Pre-Construction Conference along with the initial post-award Partnering Kick-Off Workshop (Workshop). The Workshop should be held within 60 days of the notice to proceed. This gives everyone a chance to get to know each other up front and begin work early to identify and mitigate project challenges, thus setting the partnering relationship in motion.

c. The post-award Workshop does not need to be held before or at the same time as the preconstruction conference, but rather when the contractor and all key stakeholders have the team of folks who will be involved in the day-to-day management of the project in place. Effective partnering requires these key participants to be on board and in attendance at the workshop.

d. Prior to the Workshop, the PM, RE, and PCO/ACO should review the status of the pre-award shared risk register and adjust as needed to include any new risks that may have been identified during the post-award partnering intensity level assessment and revalidation process. This will serve as the basis for developing a post-award shared risk register during the Workshop.

e. Once decisions for post-award partnering have been re-validated or adjusted, the shared risk register has been reviewed and prepared as a starting point for development at the workshop, and the construction contractor has verified key members of the team are in place, the RE/ACO should schedule the Workshop. Appendix E includes an example partnering kick-off workshop agenda and post-award partnering Charter. Appendix G includes example collaboration tools.

Best Practice: Managing Stakeholder Turnover

Fargo-Moorhead Area Diversion Public-Private Partnership, Fargo, North Dakota

Originally awarded in December 2016, construction on the Fargo-Moorhead project was forced to stop for 20 months due to a federal injunction that was issued in September 2017. Soon after the injunction was lifted, it was recognized that a significant portion of the USACE and contractor project team had turned over.

The project team collectively determined the best approach to set conditions for success moving forward would be to conduct a “reset.” The team held a new Pre-Construction Conference and partnering session, re-introduced the parties to each other, developed a new Partnering Charter, and established a new set of mutual goals.

Renewing the team’s commitment to the project and effective partnerships was critical to establishing the mindset necessary to overcome key challenges associated with restarting a major project in the middle of flood season, with all new players, while negotiating time and cost impacts associated with an extended suspension.

f. Implementing the Partnering Maintenance Plan must continue to be a top priority for the entire project team. The USACE RE/ACO and construction contractor PM have the lead responsibility for keeping the team focused on partnering after the Workshop. Making partnering one of the first topics covered at each weekly coordination meeting is one of the best ways to keep the team focused on maintaining a partnering mindset and regularly reviewing the elements of the Charter.

g. Once the project is complete, there should be a final close-out partnering meeting. For many projects, this meeting can be held virtually and should only take an hour or so to complete. For larger, more complex (Mega) projects, the team may consider holding a longer After-Action Review to fully discuss partnering successes and identify areas for improvement. The team should use this meeting to collect and document partnering lessons learned from all stakeholders, verify there are no lingering unresolved issues, and ensure a smooth close-out process.

Best Practice: Partnering on Small, Less Complex Projects

The team has assessed a Level 1 or 2 partnering intensity for the project. Based on the intensity level, you will be performing team-led facilitation. So, now what?

First, it is important to remember that small, or less complex, projects can benefit from partnering as much as larger, more complex ones. Conflicts and problems can more quickly become issues and be potentially exacerbated by less experienced team members and fewer available resources.

Since smaller, less complex projects have fewer formal partnering-specific plans and activities, it is incumbent upon the project leaders for each stakeholder to find ways of keeping the team focused on partnering and maintaining a partnering mindset.

Some strategies for accomplishing this include:

- ✓ Holding a partnering workshop even if it is part of the post-award conference.
- ✓ Designating a “Partnering Champion” for each stakeholder who is responsible for leading their respective members in fostering a partnering mindset and carrying out partnering maintenance activities.
- ✓ Document “Partnering Champions” in the Partnering Charter by annotating the responsibility next to their signature block.
- ✓ Include a few minutes on the agenda in each project coordination meeting to review the project partnering goals.
- ✓ Take time for team-building activities.
- ✓ Find ways ensure regular communication even when things are calm to ensure collaboration occurs quickly if and when issues arise.

Appendix A References

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Appendix B
Pre-Award Partnering Checklist

Pre-Award Partnering Planning and Implementation Activities	
✓ Hold project team partnering planning meeting early in the pre-award phase <ul style="list-style-type: none"> • Identify all stakeholders • Determine the level of partnering intensity required to meet unique project needs • Select facilitator commensurate with determined partnering intensity level 	
✓ Include pre- and post-award partnering requirements in the AE contract	
✓ Plan pre-award partnering kick-off workshop <ul style="list-style-type: none"> • PM, RE, and PCO/ACO meet to discuss and prepare for the workshop • Get stakeholder commitment to partner • Find a date, time, and location that works for all stakeholders • Invite all stakeholders to the workshop <ul style="list-style-type: none"> ○ Provide stakeholders copy of the Playbook and partnering training materials ○ Collect stakeholder project goals and concerns before the workshop • Finalize agenda and begin drafting the partnering charter 	
✓ Hold pre-award partnering kick-off workshop <ul style="list-style-type: none"> • Introduce all stakeholders • Conduct partnering overview/training • Develop Charter <ul style="list-style-type: none"> ○ Vision statement ○ Stakeholder identification/project roles and responsibilities ○ Mutual goals • Develop collaboration tools <ul style="list-style-type: none"> ○ Communication plan ○ Shared risk management ○ Partnering maintenance plan ○ Issue resolution ○ Collective performance goals 	
✓ Finalize Charter and route for stakeholder signature	
✓ Implement partnering maintenance plan <ul style="list-style-type: none"> • Schedule partnering progress meetings • Conduct team partnering assessments • Include partnering discussions during coordination and design review meetings • Conduct team-building activities 	
✓ Update Charter when there are changes, to include new stakeholders joining the team and as other parts of the Charter need revision (goals, risks, etc.)	
✓ Shape procurement strategies/big packages through market research and industry outreach	
✓ Resolve potential issues early through bidder inquiries	
✓ Make timely source selection decisions	
✓ Resolve issues quickly and at the lowest level	
✓ Implement the issue resolution plan and ladder as needed	
Planning Activities for Post-Award Partnering	
Use a risk-based approach to planning post-award partnering efforts (see Appendix C)	
Develop construction contract division 01 partnering specification for inclusion in 65 percent design specifications (see Appendix C)	

Appendix C
Assessing Project Partnering Intensity

C-1. Partnering Intensity Assessment Worksheet.

a. The Partnering Intensity Assessment Worksheet shown in Table C-1 provides a guide for project teams to use as a framework for determining the appropriate project partnering intensity level during both pre- and post-award partnering planning. Each project is unique; therefore, the project team should conduct a partnering intensity assessment specific to the needs of that project.

b. To determine the appropriate partnering intensity level, the project team should assess the level of risk associated with each of the factors listed below. When assessing the level of risk, the project team should consider both the likelihood of the risk occurring and the potential impact to the project if that risk should come to fruition.

Table C-1
 Partnering Intensity Assessment Worksheet

Partnering Intensity Assessment Worksheet						
Project Name:						
	<<<<Less Risk Score More Risk>>>>					Risk Score
Risk Factors	1	2	3	4	5	(1-5)
Value	Micro under \$5M	Small \$5M-\$50M	Medium \$50M-\$250M	Large \$250M-\$500M	Very Large/Mega over \$500M	
Complexity – Duration	Under 1 year	1-2 years	2-3 years	3-5 years	Over 5 years	

Partnering Intensity Assessment Worksheet

Project Name:								
	<<<<Less Risk					Score	More Risk>>>>	Risk Score
Risk Factors	1	2	3	4	5		(1-5)	
Complexity – Risks, Dependencies and External Constraints	Technical Risk: Very low, standard complexity design and construction; Funding Risk: Very low (fully funded, one type of funds, contingency sufficient and accessible); External Constraints: No external influences; Integration: No integration issues; Potential Damages: No punitive exposure Uniqueness: routine, standard project features	Technical Risk: Low, moderate complexity; Funding risk: Low; External Constraints: No external influences; Integration: No integration issues; Potential Damages: No punitive exposure	Technical Risk: Moderate, increased complexity; Funding risk: Moderate; External Constraints: some external influences; Integration: Challenging integration issues; Potential Damages: Acceptable exposure	Technical Risk: High with high complexity; Funding Risk: High; External Constraints: Key objectives depend on external factors; Integration: Significant integration required; Potential Damages: Significant exposure	Technical Risk: Very high technical and complex design and construction; Funding Risk: Very high cost-shared, incrementally funded, several types of funds, no/limited access to/availability of contingency); External Constraints: Project success depends largely on multiple external organizations, states and/or countries, regulators; Integration: Unprecedented integration effort, includes multiple phases; Potential Damages: Unacceptable exposure Uniqueness: distinctive and exceptional project features, no existing standards/criteria			
Complexity – Number of Stakeholders	Less than 3	3-4	5-7	8-9	More than 9			
Complexity – Schedule Risks	Constraints: None anticipated; Liquidated Damages: Very low; Potential Incentive: Very low	Constraints: Few anticipated; Liquidated Damages: Low; Potential Incentive: Low	Constraints: Limited anticipated; Liquidated Damages: Average; Potential Incentive: Average; Real Estate: Limited requirements anticipated (new land tract needed)	Constraints: Some anticipated; Liquidated Damages: High; Potential Incentive: High; Real Estate: Some requirements anticipated (new land tract needed, single facility/utility relocation)	Constraints: Many anticipated; Liquidated Damages: Very high; Potential Incentive: Very high; Real Estate: Significant requirements anticipated (multiple tracts of new land needed, multiple facility/utility relocations)			

Partnering Intensity Assessment Worksheet

Project Name:						
	Score					Risk Score
	<<<<Less Risk					More Risk>>>>
Risk Factors	1	2	3	4	5	(1-5)
Significance – Strategic Importance, Political Implications, Stakeholders	Executive/Congressional Support: Very strong; National/International Visibility: None; Political Implications: None; Communications: Straight-forward; Stakeholder Management: Straight-forward	Executive/Congressional Support: Strong; National/International Visibility: Low; Political Implications: Low; Communications: Straight-forward; Stakeholder Management: Straight-forward	Executive/Congressional Support: Adequate; National/International Visibility: Moderate; Political Implications: Minor/moderate; Communications: Challenging; Stakeholder Management: 2-3 stakeholder groups	Executive/Congressional Support: Inadequate; National/International Visibility: High; Political Implications: Major, impacts core mission; Communications: complex; Stakeholder Management: Multiple stakeholder groups with conflicting expectations; visibility at high levels of the organization	Executive/Congressional Support: Unknown or Weak; National/International Visibility: Extremely High; Political Implications: Extremely High, impacts core mission of multiple programs, organizations, states and/or countries; success is critical for competitive or physical survival; Communications: Arduous; Stakeholder Management: Multiple organizations, states and/or countries, regulatory groups, high media attention	
Relationships – Team Relationships	PM, RE, and PCO/ACO: Competent, experienced; Team: Strong internal and external team history, solid partnering relationships, high level of commitment/active participation	PM, RE and PCO/ACO: Competent, experienced; Team: Good internal & external team history, some partnering relationships, most stakeholders committed and actively participating	PM, RE, and PCO/ACO: Competent, inexperienced; Team: Internal and external team history, some stakeholders committed and actively participating	PM, RE, and RE/ACO: Competent, poor/no experience with complex projects; Team: No internal and external team history, some new project relationships, unknown stakeholder commitment	PM, RE, and PCO/ACO: Competent, poor/no experience with large/mega projects; Team: Complex structure of varying competencies and performance records (includes contractor, virtual, outsourced), many new project relationships, low level of commitment/ participation	

b. When an in-house design team is used, include these elements in the partnering effort during pre-award. For AE-contracted designs, add these elements to the AE contract scope of work and include this Playbook as a reference. For construction contracts, the appropriate partnering elements should be added to Unified Facilities Guide Specifications (UFGS) 01 30 00 Part 1.14. for the construction contract specifications. Be sure to edit all of Part 1.14 of this spec to meet the unique project partnering needs. Include this Playbook as a reference in UFGS 01 30 00 Part 1.1.

Table C-2
Partnering Intensity-Activity Alignment Worksheet

Partnering Intensity Level	Project Partnering Elements
5	A professional neutral third-party facilitator; stakeholder leadership commitment including SEB and ELT elements of Multi-Tiered partnering at Section 3.4; partnering charter; a professional neutral third-party facilitator for monthly partnering progress meetings (design through construction); Collaborative Analytics (CA) consultant and monthly CA assessment; partnering training required for all team members; stakeholder onboarding/off-boarding; subcontractor onboarding/off-boarding; collective performance goals set at kick-off workshop and reviewed monthly; field-level decision-making; communication plan; risk management plan; issue resolution plan and ladder; issue elevation memorandum; maintenance plan; close-out partnering meeting
4	A professional neutral third-party facilitator; stakeholder leadership commitment including the ELT element of Multi-Tiered partnering at Section 3.4; partnering charter; a professional neutral third-party facilitator for quarterly partnering progress meetings (design through construction); partnering training required for all team members; stakeholder onboarding/off-boarding; subcontractor onboarding/off-boarding; collective performance goals set at kick-off workshop and reviewed quarterly; Collaborative Analytics (CA) consultant and monthly CA assessment or monthly team partnering assessment; field-level decision-making; communication plan; risk management plan; issue resolution plan and ladder; issue elevation memorandum; maintenance plan; close-out partnering meeting
3	A professional neutral third-party facilitator or a non-project team member USACE internal facilitator (could be a trained USACE internal facilitator); stakeholder leadership commitment; partnering kick-off workshop; partnering training recommended; partnering progress meetings every six months; partnering charter; collective performance goals set at kick-off workshop and reviewed every six months; quarterly team partnering assessment; field-level decision-making; communication plan; risk management plan; issue resolution plan and ladder; issue elevation memorandum; maintenance plan; close-out partnering meeting
2	A team led facilitator (could be PM, RE, and PCO/ACO with facilitator training) or a non-project team member USACE internal facilitator (could be a trained USACE internal facilitator); stakeholder leadership commitment; partnering kick-off workshop/meeting conducted as part of the design kick-off/preconstruction conference; partnering charter; quarterly team partnering assessment; field-level decision-making; communication plan; risk management plan; issue resolution plan and ladder
1	A team led facilitator (could be PM, RE, and PCO/ACO with facilitator training); stakeholder leadership commitment; partnering kick-off workshop/meeting conducted as part of the design kick-off/preconstruction conference; partnering charter; field-level decision-making; risk management plan; issue resolution plan and ladder

Appendix D
Post-Award Partnering Checklist

Project Team Post-Award Partnering Implementation Activities	
✓ Re-validate the post-award partnering intensity and assumptions made during pre-award	
<ul style="list-style-type: none"> ✓ Plan post-award partnering kick-off workshop <ul style="list-style-type: none"> • PM, RE, PCO/ACO, and contractor meet to discuss contract partnering specification requirements, review team partnering roles and responsibilities, and prepare for the post-award partnering kick-off workshop (Workshop) • Select facilitator • Identify new stakeholders added at award (construction contractor, AE firm if design-build, key subcontractors and/or suppliers, other contractors if there will be joint occupancy, etc.) and integrate them into the project team • Find a date, time, and location that works for all stakeholders • Invite all stakeholders to Workshop <ul style="list-style-type: none"> ○ Provide stakeholders Partnering Playbook/training materials ○ Collect stakeholders' project goals and concerns before Workshop • Finalize agenda and begin drafting the post-award Partnering Charter 	
<ul style="list-style-type: none"> • Hold post-award Workshop • Introduce all stakeholders • Conduct partnering overview/training • Develop post-award partnering charter <ul style="list-style-type: none"> ○ Stakeholder identification/ project roles and responsibilities ○ Vision statement ○ Mutual goals • Develop collaboration tools <ul style="list-style-type: none"> ○ Communication plan ○ Shared risk management ○ Partnering maintenance plan ○ Issue resolution ○ Collective performance goals 	
✓ Finalize charter and route for stakeholder signature	
<ul style="list-style-type: none"> ✓ Implement partnering maintenance plan <ul style="list-style-type: none"> • Schedule partnering progress meetings • Conduct team partnering assessments • Include partnering discussions during pre-award coordination and design review meetings • Conduct team-building activities 	
✓ Update the partnering charter when there are changes to include new stakeholders joining the team and as other parts of the charter need revision (goals, Shared Risk Register, etc.)	
✓ Resolve issues quickly and at the lowest level	
✓ Implement the issue resolution plan and ladder as needed	
✓ Consider the need for USACE internal partnering meetings	
✓ Schedule and conduct the close-out partnering meeting and disseminate lessons learned	

Appendix E

Example Partnering Kick-Off Workshop Agenda

a. The Workshop agenda should be prepared by the facilitator, considering the existing relationships between the stakeholders, the size and complexity of the project, and any unique project requirements. Information collected from the pre-workshop stakeholder surveys should be used to focus the agenda and make it project specific.

b. Below is an example of a standard one-day partnering workshop. The length of the workshop should ultimately be tailored to project considering the unique project needs.

XYZ Project Partnering Kick Off Workshop Agenda	
0800	Welcome Introductions and project organization Project scope review Mission review Partnering overview/training/lessons learned Partnering milestones
1000	Break
1015	Team-building activity Partnering Charter development - Stakeholder roles and responsibilities - Vision statement - Mutual goals
1200	Lunch
1300	Partnering collaboration tool development - Communication plan - Shared risk management
1430	Break
1445	Partnering collaboration tool development continued - Partnering Maintenance Plan - Issue Resolution - Collective performance goals Discuss Partnering Maintenance Plan implementation - Include partnering discussion during weekly coordination meetings - Schedule partnering progress meetings - Review team partnering assessment frequency - Schedule team-building activities Review and document partnering action items Closing remarks
1630	End of workshop

Appendix F
Example Partnering Charter

XYZ Project Partnering Charter		
Project Vision: Create strong partnerships to deliver a cost-effective and high-quality facility.		
Stakeholders: (Identify each stakeholder and key project participants along with their roles and responsibilities) <ul style="list-style-type: none"> • Sponsor/End-User • USACE • Designer of Record (USACE in house and/or AE contractor) • Construction Contractor • Key Subcontractor(s) • Other External Parties with Project Influence 		
Project Objectives: <ul style="list-style-type: none"> • (Provide a summary of the project scope as well as an overview by the end-user of the impact the project will have on their mission.) 		
Mutual goals: <ul style="list-style-type: none"> • Core project goals <ul style="list-style-type: none"> ○ Meet all contractual obligations ○ Deliver the project safely ○ Quality met ○ Stay on budget ○ Deliver on time ○ Quality met ○ Strive for strong relationships ○ Open and honest communication ○ Fundamentals of partnering training complete by all team members • Project-specific goals <ul style="list-style-type: none"> ○ Environmental commitments met ○ Third-party coordination ○ Issues resolved quickly ○ Teamwork ○ Partnering maintenance ○ Having fun ○ Consider and evaluate Value Engineering Change Proposals <p>Document quantitative goals with a Collective Performance Goals Worksheet (complete collective performance goals worksheet in Appendix 5.8 and attach to the project charter)</p>		
Stakeholder commitment to partnering and signatures: The XYZ Project Team is committed to achieving our goals, communicating effectively, proactively managing our risks/issues, and following our issue resolution and partnering maintenance plans. <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>		

Appendix G
Example Collaboration Tools

G-1. Communication Plan. Table G-1 provides an example Communication Plan to guide project teams in the development of their own project-specific plan. An effective Communication Plan should address the following key elements:

- a. How will the team interface with one another (both formal and informal)?
- b. How will information be given and received?
- c. How will issues be communicated and addressed?
- d. How will meetings be conducted (for example, ground rules, frequency, capturing and distributing meeting minutes, and participation and collection of stakeholder assessments)?
- e. How will new stakeholders and new stakeholder representatives be onboarded?
- f. How will the Contractor Performance Assessment Reporting System evaluation process take place when USACE has a contractual relationship with one or more of the stakeholders?

Table G-1
 Example Communications Plan

Example Communication Plan
<ul style="list-style-type: none"> • When issues arise communicate verbally via phone or in-person before initiating written communication • Verbal communication, via phone or request for in-person, will be responded to within 2 hours • An e-mail will be used for coordination and informal communication only and will be responded to within 24 hours • Formal, written serial letters will be used for contractual clarifications, change RFPs, letters of concern, proposal submission, significant variation requests, unsolicited proposals, etc. and only after verbal discussion regarding the issue have occurred • Key stakeholder representatives will attend and actively participate in all weekly coordination meetings • Set ground rules for meetings and review them prior to the start of all meetings • Meeting notes will be published within 24 hours of meeting completion • All key stakeholder representatives will participate in team partnering assessments • New key stakeholder representatives will receive partnering training and introduction to the project partnering charter • CPARS evaluations will be reviewed quarterly, the contractor will be asked to perform a self-evaluation for each rating period, and the ratings will not be finalized until after the parties have had a chance to review and discuss them

G-2. Shared Risk Management. Below are some example risk registers with varying levels of complexity that can be used by project teams to collectively develop, document, track, and manage risk throughout the project life cycle (see Figures G-1, G-2, and G-3). Project teams should select a risk register commensurate with the unique needs and level of complexity of the project.

a. Questions to ask when preparing to populate a risk register include:

- (1) How will risks be documented and categorized?
- (2) What is the likelihood and potential impact of identified risks?
- (3) How will the project team address the risks?
- (4) How will the response plan be implemented to reduce risk exposure?

(5) How will the team proactively anticipate changes to identified risks and handle new risks before they adversely impact the project?

b. Shared Risk Register. Below is one example of a shared risk register that the project team can use to collectively manage risk with all stakeholders, including contractor representatives. Shared risk registers are intended to be subjective in nature and do not include objective time or cost impacts of any risk, regardless of ownership. Scalable shared risk register templates can be downloaded for use on the Construction Management Community of Practice page, <https://usace.dps.mil/sites/KMP-EC/SitePages/Partnering.aspx>.

		Risk Matrix				
		Impact or Consequences of Occurrence				
		Negligible	Marginal	Significant	Critical	Crisis
Likelihood of Occurrence	Certain	Low	Moderate	High	High	High
	Very Likely	Low	Moderate	High	High	High
	Likely	Low	Moderate	High	High	High
	Unlikely	Low	Low	Moderate	Moderate	High
	Very Unlikely	Low	Low	Low	Low	High

Figure G-1. Shared risk register – risk matrix

Likelihood of Occurrence Table

Any changes to these assumptions will change the assumptions in the models.

Likelihood	Low % Occurrence	High % Occurrence	Chance of Occurrence
Certain	100%	100%	100%
Very Likely	75%	90%	75% and 90%
Likely	50%	75%	50% and 75%
Unlikely	25%	50%	25% and 50%
Very Unlikely	10%	25%	10% and 25%

Impact or Consequence of Occurrence

Any changes to these assumptions will change the assumptions in the models.

Impact	Low Impact	High Impact	Impact Between
Negligible	0.00%	1.00%	0.00% to 1.00%
Marginal	1.00%	5.00%	1.00% to 5.00%
Significant	5.00%	15.00%	5.00% to 15.00%
Critical	15.00%	30.00%	15.00% to 30.00%
Crisis	30.00%	100.00%	Over 30.00%

Figure G-2. Shared risk register – risk tables

Shared Risk Register														
Risk #	Area/Option	Risk Status	Date Added	Risk Statement	Potential Impact Summary	Mitigation Measures	Likelihood	Project Cost		Project Schedule		Action Owner(s)	Action Date	Days to Action Date
								Impact	Risk Level	Impact	Risk Level			
1	Phase 1	Open	XX-May-21	Approval of submittals for long-lead equipment and materials	Submittals for X, Y, Z require review from multiple SMEs not located at the project site. The submitted schedule indicates a 14-day review period vs. contract requirement for 30 days. Concern that there will be significant schedule impacts if Contractor does not receive A/B/C codes on the first submittal.	Contractor to schedule and facilitate a virtual pre-submittal review meeting between appropriate parties.	Likely	Negligible	Low	Significant	High	Contractor Field Staff	XX-Apr-22	9

Figure G-3. Shared risk register worksheet

c. Cost and Schedule Risk Analysis.

(1) A Cost and Schedule Risk Analysis (CSRA) is a formal documented process that is uses Monte Carlo simulation to identify, measure, and forecast the potential cost and time impacts of project risks and uncertainties on the estimated total project cost during project delivery. Results are expressed as contingency amounts in the form of dollars and time and reflect a desired confidence level for successful execution. For projects with a higher intensity level, a CSRA may be either required, or desired, to better understand and quantify projects risks and uncertainties and their potential impacts.

(2) The CSRA should be implemented in conjunction with a risk management plan to ensure that strategies are developed to manage those risks identified in the CSRA by the project team. Typically, the CSRA is used for internal Government stakeholder partnering and informs the shared risk register developed during pre-award and updated in post-award. The CSRA should not be provided to stakeholders external to the Government.

G-3. Partnering Maintenance Plan. Table G-2 provides an example Partnering Maintenance Plan to guide project teams in the development of their own project-specific plan. When developing an effective Partnering Maintenance Plan the project team should ask themselves the following questions:

- a. How often will Partnering Progress Meetings be conducted?
- b. What are the team’s Collective Performance Goals (Quantitative and Qualitative), how often will they be assessed, and how will the results be used to improve project team performance?
- c. How can we incorporate a partnering discussion into each weekly project coordination meeting?
- d. What team-building activities is the project team interested in participating in? How often should they occur? Do a few people want to volunteer to help coordinate project team-building activities?

Table G-2
Example Partnering Maintenance Plan

Example Partnering Maintenance Plan
<ul style="list-style-type: none"> • Partnering Progress Meetings: Quarterly (specify dates) • Team Partnering Assessment: To be completed monthly (see example team partnering assessment in Appendix G and attach a copy of the assessment to the Charter) • Weekly Coordination Meetings: Evaluate how the team is meeting partnering goals, evaluate progress (with the use of the monthly assessment), resolve outstanding issues, and watch for emerging issues • Team-building Activities: Last Friday of the month, potluck lunch in the construction trailer • Close-Out Partnering Meeting: We will hold a close-out partnering meeting to identify and document lessons learned on (specify date)

G-4. Issue Resolution.

a. Issue Resolution Plan. Table G-3 provides one example of an issue resolution strategy that teams can use as the basis for developing their own IRPs. When preparing an IRP, the project team should discuss and document their agreed-upon strategy for resolving issues and ask themselves questions such as those that follow:

- (1) How will issues be documented, tracked, and followed through to completion?

(2) What does it mean to solve issues at the lowest level? What are the types of issues that must be addressed by those with specific project authority such as warranted contracting officers for the Government or contractor personnel with specific authority delegated to them for the project?

(3) Will we use an issue resolution ladder? What are the levels, who is on each level, and how long before an unresolved issue is elevated to the next level?

(4) What process will be used to elevate an issue? Can an individual do it or should the parties be required to put the issue in writing using an issue resolution memorandum as outlined below?

Table G-3
Example Issue Resolution Plan

Example Issue Resolution Plan
<ul style="list-style-type: none">• Issues will be tracked on the weekly coordination meeting notes and not removed until they are resolved• We will strive to resolve issues at the lowest possible level so long as the issue is within the authority granted each party at the respective level• An issue resolution ladder will be used to elevate issues and the time limits included for each level will be respected• Either party can decide it's time to elevate but the parties at the level that are unable to resolve the issue will need to explain the issue to the next level either verbally or in writing• Inaction is not an alternative• Once made, a decision is owned and known by all

b. Issue Resolution Ladder.

(1) Table G-4 provides an example IRL to guide project teams in the development of a project specific IRL. An IRL should be used to provide a visible structure to address issues quickly with appropriate decision-makers and timelines to indicate when the issue should be elevated.

(2) IRLs can vary significantly depending on the type of work being executed (such as Civil Works or Military Programs) and the partnering intensity level selected. For example, projects determined to have a Level 4 and 5 partnering intensity require multi-tiered partnering, resulting in the need for additional tiers to account for executive level involvement beyond the District. The project team should ensure actual member names are included in the official IRL.

(3) Is it important to note that no one, not even the Chief of Engineers, has the authority to resolve disputes related to contract administration unless they are delegated that authority from the Head of the Contracting Activity, through the Senior Contracting Officials, and Warranted PCOs/ACOs. While it is essential for our senior leaders to maintain open communication with our industry partners on a programmatic level, discussions related to specific contracts, and the administration, changes, or disputes related thereto must be deferred to the PCO/ACO.

Table G-4
Example Issue Resolution Ladder

Example Issue Resolution Ladder						
Level	Sponsor/End-user	USACE Non-Contractual	USACE Contractual	Construction Contractor	AE Contractor	Time to Elevate
5	Installation Commander	District Commander	Chief of Contracting	Owner/President	Owner/President	2 weeks
4	Department of Public Works (DPW) Director	Chief of Engineering and Construction and DPM	Procuring Contracting Officer	Project Executive/Vice President	Project Executive/Vice President	2 weeks
3	DPW Ch of Engineering	Area/Resident Engineer and Project Manager	Administrative Contracting Officer	Project Manager	Design Project Manager	1 week
2	DPW PM	Project Engineer	Contracting Officer Representative	Contractor Quality Control Manager	On-Site Rep (if applicable)	1 week
1	DPW Inspector	Quality Assurance Representative	Contracting Officer Representative	Superintendent	On-Site Rep (if applicable)	1 day

c. Issue Elevation Memorandum. Table G-5 provides an example Issue Elevation Memorandum (IRM) that can be used to identify an issue and elevate it to the next level in the IRL. This example represents an issue that might arise at Level 3 in the above IRL example. The parties that are unable to resolve the issue at their respective level should work together to complete the IRL. Upon completion of the IRM, a meeting should be scheduled with the next level of management identified within the IRL to present the issue and collectively work to resolve the issue as quickly as possible. The issue should continue to escalate in line with the IRL until it is resolved.

Table G-5
 Example Issue Elevation Memorandum

Example Issue Elevation Memorandum Resident Engineer/ACO Construction Contractor PM Level	
Project name: Contract number: Resident Engineer/Administrative Contracting Officer: Prime Contractor Project Manager:	
Type of issue: <input type="checkbox"/> Policy issue <input type="checkbox"/> Administrative issue <input type="checkbox"/> Technical/specification issue	
List individuals and organizations affected by this issue and its resolution (i.e. Design, Materials, Maintenance, End-user, Other Governmental Agencies): _____ _____	
Agreed-upon problem statement (a brief description of issue needing further assistance for resolution): _____ _____	
Where we agree: _____ _____ _____	
Where we disagree: _____ _____ _____	
Additional comments and recommendations: _____ _____ _____	
Issue resolved <input type="checkbox"/> No – Forwarded to next level in issue resolution ladder on date _____ at this level? <input type="checkbox"/> Yes – Describe resolution below: _____ _____	
If resolved, written feedback of the resolution was transmitted to Team Members and persons affected by this issue on (date) at (time) _____	
Signed _____ USACE RE/ACO	_____ Construction Contractor PM

d. Issue Tracker. Table G-6 provides an example Issue Tracker that project teams can use to track the status of issues. The tracker should be included in the weekly coordination meeting agenda/notes. Issues should not be removed from the tracker until they are resolved.

Table G-6
Example Issue Tracker

Example Issue Tracker									
#	Issue Description	Date Identified	Responsible Party	Issue Resolution Ladder Level	Due Date	Current Status	Date Resolved	Final Resolution	How Final Resolution was Communicated

G-5. Collective Performance Goals.

a. Example Quantitative Performance Goals Worksheet. Figure G-4 provides an example to guide project teams in the development of their own project-specific worksheet. When developing an effective Quantitative Performance Goals Worksheet, the project team should ask themselves the following questions:

(1) What administrative items or processes have the most potential to impact the project and are they trackable? If so, what is a reasonable collective performance goal for those items? All items within a category identified may not need to be tracked, for example, for submittals the collective performance goal may only need to apply to a certain specification section(s) or only apply to submittals on the critical path.

(2) Are there any items that were included in the risk register that can be assigned a collective performance goal and tracked?

(3) Who is responsible for tracking and reporting the collective performance goals?

(4) Do any collective performance goals differ from items that are specified in the contract? If so, be sure to document that the goal does not change the contract specifications and the contract specifications will govern should a dispute arise.

Resident Office					
Contract Number					
Contract Name					
<p>INSTRUCTIONS: At minimum, the USACE Resident Office and Contractor should establish the agreed upon goals. It is preferred that the entire PDT participate in the goal setting to achieve maximum buy-in to the process. At least quarterly, teams should review their performance against their goals identifying potential actions to be taken when the goal is not being achieved and actions necessary to sustain performance meeting or exceeding the goal.</p> <p><i>These goals do not change any contract specified review times.</i></p>					
Collective Performance Goal	Action By	Goal	Review 1	Review 2	Review 3
Submittals					
Review time for Government review required submittals	Government				
Percentage of resubmittals	Both				
Time from return to resubmission	Contractor				
Communications					
RFI response time	Government				
Time from RFI Submission to impacted activity start	Contractor				
Time to respond to correspondence requiring an answer	Both				
Time to resolve issues identified in correspondence	Both				
Changes					
Time from RFP to valid proposal received	Contractor				
Time to settle modifications after proposal received	Both				
Time from settlement to modification executed	Government				

Figure G-4. Example quantitative performance goals worksheet

b. Example Qualitative Team Partnering Assessment. Figure G-5 provides an example to guide project teams in the development of their own project-specific assessment. When developing an effective Qualitative Team Partnering Assessment, the project team should ask themselves the following questions:

(1) How does the team define success for the project? What does the team own that they can improve using an assessment?

(2) What questions could be asked of the project team to determine if it is meeting its own definition of success identified in the first question? They should align with the mutual goals developed in the Charter.

(3) How often will the assessment be performed, and who will be responsible for sending out the assessment, collecting responses, and analyzing the results? A best practice is to have a third-party (typically the facilitator) do this to ensure all assessment responses are confidential and not available to all stakeholders, people need to feel safe to tell the truth.

(4) How will the team use the assessment results to improve the partnering effort? A best practice is to review the results after each monthly assessment and discuss the results at the next weekly meeting.

(5) Does the project include a Collaborative Analytics (CA) consultant and assessment? If so, does it replace the need for the team partnering assessment or will it be used to complement it?

Role		
Resident Office		
Contract Number		
Contract Name		
Team Partnering Assessment		
<p>INSTRUCTIONS: The partnering assessment is for all members of the project team. We will prepare a summary of the feedback for review and discussion at the next quarterly partnering meeting. Please use a 5-point rating scale to evaluate how the overall project delivery team (including USACE, the Contractor, Subcontractors, User, Sponsor, and DOR) is functioning in the following areas. 5=Strongly Agree; 4=Somewhat Agree; 3=Neutral; 2=Somewhat Disagree; 1=Strongly Disagree; N/A=Not Applicable.</p>		
Category	TEAM PERFORMANCE FEEDBACK CRITERIA	Team Rating
Project Delivery Mindset	Puts successful delivery of the mission first, addressing the requirements of the mission before the goals and requirements of any one organization.	
Project Delivery Mindset	Continually assesses and adjusts performance as needed to ensure successful project delivery outcomes.	
Communication	Communicates in a respectful, professional, and productive manner.	
Communication	Adheres to proper communication protocols.	
Communication	Displays and promotes behaviors that foster trust (honesty, transparency, and integrity, active listening, and seeking to understand).	
Communication	Listens actively and seeks to understand.	
Teamwork	PDT members are accountable, taking full ownership, honoring commitments.	
Teamwork	Leadership is accessible, accountable, proactive, and supportive.	
Teamwork	Works to creatively solve issues in a timely fashion at the lowest appropriate level and elevating per the issue resolution hierarchy when necessary.	
Quality Management	Implements and/or supports an effective overall quality management program aimed at minimizing issues or re-work while meeting contractual requirements.	
Quality Management	Supports the design, planning, and execution of an effective commissioning program through early integration.	
Schedule Management	Collectively works to address potential slippages and mitigate/avoid negative impacts.	
Schedule Management	Establishes and meets agreed-upon milestones required to successfully deliver the project.	
Change Management	Looks ahead and engages in early coordination of issues that may require a change or merit determination to understand the scope and criticality and minimize impacts.	
Change Management	Openly communicates and facilitates resolution of differences during the negotiations phase of changes.	
Change Management	Supports the change management process and collective project goals for changes.	
Written Feedback	What is 1 Success- Something working well within the team? Please do not identify specific personnel or issues but an aspect of the partnering relationship.	
Written Feedback	What is 1 area that could be "adjusted" within the team? Please do not identify specific personnel or issues but an aspect of the partnering relationship.	

Figure G-5. Example qualitative team partnering assessment

c. Collaborative Analytics.

(1) CA is a tool that can be used to proactively monitor team integration, predict project stress, and correct issues before they impact project schedule or budget. This tool can be especially helpful on projects where relationships and stakeholder collaboration are determined to be major risk factors.

(2) To employ CA on a project, a specific CA consultant is hired to establish a set of early indicators based on input from the project team and the latest research in organizational behavior, industrial psychology, and behavioral economics. These indicators are then translated into a survey that is completed by the project team on a monthly basis. Typically, assessments focus on areas such as communication, engagement, quality of work, innovation, organization, accountability, level of support, and team environment.

(3) The CA assessment is anonymous and typically takes about 10 minutes to complete. Feedback from the assessment is analyzed by the CA and displayed in a series of standard reports that address overall project performance and trends in performance trends and relationships.

(4) These reports are initially provided to a group of team leaders called the Collaborative Analytics Subgroup Leadership (CASL) team, which represents all project stakeholders including government parties as well as the AE contractor, construction contractor, and key trade partners. The CASL team meets monthly to discuss the survey results and, when appropriate, develop corrective actions. Survey results and proposed corrective actions are shared with the project team and senior leadership.

(5) CA tools can be implemented as stand-alone for specific projects or more broadly across a program, District, or region. The following site includes a template Scope of Work that can be adapted and used to procure CA tools: <https://usace.dps.mil/sites/KMP-EC/SitePages/Partnering.aspx>.