



TRANSPORTATION RESEARCH SYNTHESIS

Minnesota Department of Transportation
Office of Policy Analysis, Research & Innovation
Research Services Section
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Developing a Culture of Innovation

Introduction

The ability to innovate is critical to an organization's performance, especially for DOTs confronted with managing a large and complex transportation system. However, like many large organizations, DOTs typically resist change and are slow to innovate.

Minnesota DOT is interested in the steps other states have taken to encourage a culture of innovation among employees, including a work environment, organizational structures and operating procedures that reward exploration of new, more effective approaches to doing business.

We conducted a survey of state DOTs and performed a literature search, focusing on:

- Challenges, opportunities and successes in developing a culture of innovation.
- Organizational strategies for moving toward a culture of innovation.
- The relationship of a culture of innovation to centralized or decentralized organizational structures.

Summary

Eight states responded to our survey. (Survey results begin on page 5 of this report.) Five of these states had initiated efforts to facilitate innovation, four track innovative ideas, and all reward champions in some way. Standout agencies included:

- **Arizona DOT**, which has a **Partnering Office** and a process for establishing champions and fostering cooperation between groups, internal and external.
- **Louisiana DOTD**, which rewards innovation and whose **Quality and Continuous Improvement Program teams** focus on improving processes.
- **Maryland State Highway Administration**, which has numerous incentives for employee innovation and conducts a **self-assessment** on a three-year cycle in order to improve cross-functional processes.

The common theme for these states is a focus on a) **improving cooperation and communication** among internal units of their large organizations, so that conflict and miscommunication do not hinder innovation, and b) **establishing champions** of innovation and **rewarding innovation**.

Our literature search confirms that each of these methods is critical to overcoming barriers to innovation, which include:

- The large number of **conflicting interests** within a complex and multifaceted organization, the multiple layers of decision making affecting internal processes, and poor communication among internal groups.

- **Risk aversion** and resistance to change.
- A lack of clear direction and **processes for innovation**.

Critical to overcoming these roadblocks and establishing a culture and organizational structure that encourage innovation are:

- **Customer orientation**, so that their needs drive innovations.
- Improvements in **internal communications** and cooperation among researchers, developers, operators and decision makers—including widespread participation of internal and external stakeholders in developing strategic plans and performance measurement systems.
- Establishing **criteria for evaluating innovations** and clear procedures for the innovation process.
- Finding **champions of innovation** at all levels, and creating incentives for innovators—including programs that recognize and share employee innovations.
- Conducting regular **self-evaluations** and **measuring performance**.
- **Managing the balance between risk and change**, specifically between the more adventurous knowledge seekers willing to tolerate risk and those within an organization who are more conservative and incremental in their approach.

Related Research

Overcoming Roadblocks to Innovation: Three Case Studies at the California Department of Transportation, Lawrence H. Orcutt, Mohamed Y. AlKadri, *Transportation Research Record No. 2109*, 2009: 65-73.

http://www.dot.ca.gov/researchconn/past_speakers/MrLarryOrcutt/threecasestudies.pdf

This paper examines roadblocks encountered during deployment of three innovations at the California Department of Transportation, including a low-cost wireless traffic-sensing system (Sensys); software for predicting traffic delays associated with highway construction; and the Balsi Beam—a mobile frame designed to protect highway workers. Interviews with Caltrans professionals showed that deployment faced roadblocks because:

- Transportation projects were **complex, multifaceted and interjurisdictional**, with many players having different interests. The highway industry in general is diverse, decentralized and multifaceted—with conflicting public and private sector incentives, as well as disagreement and competition for scarce resources among public works constituencies.
- The logic connecting **multiple layers of decision making** was sometimes flawed. A product evaluation approval process was not in place.
- Public sector procurement was driven by competitive, open and multiple low-bid processes that can hamper innovations involving **intellectual property rights** owned by a single company.
- Public agencies **resisted change**; agencies generally favor the methods they know best, even when confronting problems that outstrip this knowledge.
- **Risk-averse executives** hesitated to implement new innovations. The public sector generally does not reward risk-taking, and so public officials are reluctant to adopt new technologies. Further, the public sector is not subject to the **profit motive** that stimulates commercial innovation and risk.

Researchers suggested the following measures to mitigate roadblocks:

- Include customers in all phases, so that final products meet their needs.
- Improve internal communications between researchers, developers, operators and decision makers—by marketing case study results, documenting cost savings, training customers, and briefing key decision-makers.
- Establish criteria for evaluating innovations.
- Create innovation champions.

Barriers and Enablers of Innovation: A Pilot Survey of Transportation Professionals, Mohamed Y. AlKadri, Lawrence H. Orcutt, Transportation Research Board 88th Annual Meeting, 2009.

http://www.dot.ca.gov/newtech/researchreports/trb_reports/srvey-paper-11.pdf

This study involved a survey of 109 transportation professionals (primarily in California) concerning their experiences with barriers to and enablers of innovation. The objectives of the research were 1) to determine whether transportation managers should focus on sustaining (evolutionary) innovation or disruptive (revolutionary) innovation; 2) to identify the most common roadblocks facing the implementation of innovation, particularly at an organization like Caltrans; 3) to identify the most common enablers (or “boosters”) of the innovation process; 4) to

prioritize the importance of innovation in safety, performance, cost-effectiveness, quality and environmental protection; and 5) to identify new ways to help facilitate the process of implementing innovation at Caltrans in particular and at other state departments of transportation in general.

The sample was fairly evenly distributed among professional ranks, with 39 percent rank and file, 15 percent supervisors, 23 percent middle managers, and 23 percent executives. The survey results showed that:

- 99 percent of respondents rated innovation as important or very important.
- 63 percent of respondents considered themselves champions of innovation.
- 73 percent of academics favored a focus on revolutionary (or disruptive) over evolutionary (or sustaining) innovation, while only 27 percent of nonacademics favored this approach.
- The highest-rated roadblock to innovation was “resistance to change,” followed by “lack of political will.”
- The highest-rated enabler of innovation was focusing on products that matched user needs.
- Respondent suggestions for improving innovation included:
 - Establishing **clear direction and procedures** for the innovation process
 - Improving **communication**
 - Securing **executive sponsorship** and management support
 - Empowering people to innovate and **finding champions** of innovation at all levels
 - **Creating incentives** for innovators
 - **Demonstrating the benefits** of innovation
 - **Managing risk** and change

Researchers drew the conclusion that there are two delicate tensions that need to be negotiated to manage innovation in departments of transportation.

- The first is the tension between more adventurous, knowledge-seeking researchers who wish to take more risks, and engineers who have to build safe, reliable systems that take time and effort to design, build and test.
- The second is the tension between successful innovation and managing risk in the public sector, where failures are highly publicized and criticized, and can outshine dozens of successes.

Consequently, successful innovation in DOTs requires the right balance between a) **conservative, evolutionary-minded planning** that takes into consideration market demand and socioeconomic and political factors, and b) the **political willingness to take calculated, reasonable risks** when there is an opportunity.

A Transportation Executive’s Guide to Organizational Improvement, AASHTO, February 2007.

<http://www.transportation.org/sites/quality/docs/NCHRP%20Guide%20master%206%2030%2006.pdf>

This guide is intended to assist DOTs in enhancing organizational performance. Researchers surveyed 45 state DOTs about their organizational improvement programs and practices and how they affected performance. This data was analyzed for best practices, which researchers used to create a toolbox of methods for DOTs wishing to improve their best practices. The report provides exemplary DOT practices for many of its overarching themes:

- The use of **champions**: New Mexico DOT, for instance, has a Quality Coordinator who spends 60 percent of his time in the field selling the organizational vision and seeking feedback from employees (page 20 of the PDF).
- **Performance measures** that are comprehensible, defined by staff in cooperation with decision makers, and effectively communicated: The Maryland State Highway Administration has six Key Performance Area Councils that establish measurable objectives as part of the agency’s Business Plan and monitor achievement targets (page 25 of the PDF).
- **Self-evaluation** using organizational climate surveys, employee surveys and customer surveys, and by encouraging dialogue. Florida DOT uses employee survey results to form action committees to work on four to six improvement opportunities each year (page 30 of the PDF).
- **Dialogue**, both internal and external. Missouri DOT has a 25-member Employee Advisory Council that meets monthly to respond to employee survey results and help ensure that management hears and communicates with its employees (page 39 of the PDF).

- **A culture of continuous improvement**

- Florida DOT identified Core Processes for meeting its customers' needs, and assigned a manager to each process (page 48 of the PDF).
- New Jersey DOT Project Management Office has an online "Lessons Learned" database; New Mexico DOT has a **program for recognizing and sharing employee innovations** via newsletters, books, internal and external Web sites, and in employee presentations at quarterly meetings (page 50 of the PDF).
- Ohio DOT holds an annual "Team Up/Innovation ODOT" event to help capture, share and recognize the innovations and best practices of employees; publishes a book documenting process improvements, including their results and cost savings; and uses an in-house Project Management System that uses 11 protocols, or business rules, to identify the agency's goals so that everyone is working from the same set of information (pages 51 to 53 of the PDF).

Managing Change in State Departments of Transportation: Scan 1 of 8—Innovations in Strategic Leadership and Measurement for State DOTs, NCHRP Web Document 39-1, October 2001.

http://onlinepubs.trb.org/onlinepubs/nchrp/nchrp_w39-1.pdf

This report presents the findings of an initial scan of innovations in strategic leadership and performance measurement in 21 state departments of transportation. Results suggest that the following factors are important to success in strategic leadership:

- **Widespread participation** of both internal and external stakeholders in developing strategic plans, performance measurement systems, and other strategic management processes.
- **A customer orientation** in terms of strategy and priorities, supported by systematic customer feedback and customer-oriented performance measures.
- **Top management commitment** to the strategic agenda and its effective implementation, as demonstrated by the use of planning, decision making, and evaluation processes that flow directly from overall strategy.
- **A deliberate pace and frequent reinforcement** in implementing strategic planning and management processes, recognizing that it is unlikely to "get it all done in six months" or "get it all right the first time."
- **Ongoing communication** to explain strategy, promote it, and report on progress in order to build understanding and buy-in on the part of both internal and external stakeholders.
- **Emphasis on building "omni-directional alignment"** between customer concerns and departmental goals, higher-level goals and lower-level goals, strategic priorities and budget allocations, and strategies and performance measures.

Sustaining Innovation: Creating Nonprofit and Government Organizations That Innovate Naturally, Paul C. Light, February 1998.

<http://www.amazon.com/Sustaining-Innovation-Government-Organizations-Management/dp/0787940984>

This study evaluates 26 nonprofit and government organizations in a wide variety of fields and concludes that innovating organizations have four broad characteristics:

- A commitment to controlling their environments (rather than the other way around)
- An internal structure that creates the freedom to imagine
- Leadership that prepares the organization to innovate
- Management systems that serve the mission of the organization, not vice versa

Fostering Innovation and Intrapreneurship in an R&D Organization, J.C.S. Meng, December 1995.

<http://www.dtic.mil/cgi-bin/GetTRDoc?AD=ADA303797&Location=U2&doc=GetTRDoc.pdf>

The primary goal of this study was to bring about a better understanding of barriers to intrapreneurship in an R&D organization by examining the origins of the barriers. The report details barriers (pages 13 to 14 of the PDF) and highlights their common origin in a fear of the unknown and the desire to avoid risk. The author concludes that attributes of innovative organizations include:

- Shared core organizational values that are communicated to employees
- An environment that fosters creativity by providing employees with autonomy
- Customer orientation
- Well-led but decentralized staff with small, independent groups

Technology Transfer: A Strategy for Innovation Adoption at the Washington State Department of Transportation, Washington State Transportation Center, December 1986.

<http://www.wsdot.wa.gov/research/reports/fullreports/097.1.pdf>

The study was initiated as part of a department-wide strategic planning effort of the Washington State Department of Transportation to assess whether a coordinated technology transfer program would enhance innovation adoption. Interviews with WSDOT employees in all divisions and districts provide the basis of an inventory of current technology transfer practices. A literature review describes the process of technology transfer and the issues relating to an individual's ability to adopt innovation. Additionally, the structure of the organization and the barriers to innovation adoption are discussed, and examples of technology transfer programs in other organizations are described. **Recommendations for coordinating technology transfer practices to facilitate innovation include:**

- Increasing opportunities for more employees to participate in technology transfer practices.
- Evaluating the impact of technology transfer on department operations.

Other Resources

TRB's IDEA Programs: Innovations Deserving Exploratory Analysis

<http://www.trb.org/IDEAProgram/IDEAHighway.aspx>

Annual Program Announcement: http://onlinepubs.trb.org/onlinepubs/sp/IDEA_announcement.pdf

The NCHRP Highway IDEA Programs provide start-up funding for promising but unproven innovations in surface transportation systems. The programs' goal is to foster ingenious solutions that are unlikely to be funded through traditional programs. IDEA programs differ from traditional research programs in two ways: **IDEA projects are initiated by researchers rather than by a request for proposals**, and funding can support initial testing of unproven concepts. Each of the sponsoring agencies supports programmed, fundamental research through other means. Their investment in the IDEA programs is meant to capture the unexpected concept that challenges conventional thinking.

State DOT Practices

Summary

We conducted a brief survey of state DOTs consisting of the following questions:

1. Has your agency, either as a whole or in any of its divisions, initiated specific organizational efforts to encourage or facilitate innovation among employees? If yes, please describe briefly these changes or initiatives and their outcomes and provide any relevant documents, program descriptions or Web pages.
2. What is the one thing your organization has implemented that has had a significant impact on encouraging innovation? Please describe.
3. Are innovation champions in your department recognized, rewarded or encouraged? If yes, please describe how this is accomplished and provide any relevant documents, program descriptions or Web pages.
4. Has your agency recently reorganized? If yes, please describe how innovation has increased as a result and provide any relevant documents, program descriptions or Web pages.
5. Does your agency measure, assess or track innovation or innovative ideas? If yes, please describe and provide any relevant documents, program descriptions or Web pages.
6. What is the name, e-mail and phone number of someone at your agency who we could contact for more information?

Eight state DOTs responded to the survey. Key findings of the survey include:

- More than half of states (five of eight respondents) have initiated efforts to facilitate innovation, and four states measure, assess or track innovation or innovative ideas. All agencies reward champions in some way.
- Standout states include:
 - **Arizona DOT** has a **Partnering Office and process** that involves establishing champions for cooperating groups—whether with contractors; other DOTs; other state, local and federal agencies and nongovernmental stakeholders; or internally among ADOT units. (See the *ADOT Partnering*

Handbook, **Appendix A**, or

http://www.azdot.gov/CCPartnerships/Partnering/PDF/Documents/Building_Partnerships_Handbook_Construction.pdf.) This process is meant to increase efficiency and lead to innovation by improving relationships among groups and drawing on the strengths of each. The partnering process involves:

- Establishing clear communication roles; a charter with a mission, goals and deadlines; issue resolution agreements; an evaluation program and continuous improvement based on this program; and an action plan.
 - Establishing champions in each group to manage and monitor the partnership, distribute information to team members, encourage the team, and communicate and celebrate partnering successes.
- **Louisiana DOTD** has a Quality and Continuous Improvement Program, which facilitates improvement teams consisting of stakeholders and subject matter experts. Champions are rewarded via several programs, including a “Secretary’s Award for Innovation” with criteria including novelty, effectiveness, significance and transferability (see **Appendix B**). The program assesses teams on a regular basis and has challenging and clearly defined performance goals. Data is collected and used to measure progress.
 - **Maryland SHA** has numerous incentives for employee innovation, including encouraging employees to participate in local and national awards programs and offering recognition at its annual Performance Excellence Training Conference and senior management team meetings. The agency also conducts a self-assessment on a three-year cycle in order to improve cross-functional processes involving numerous offices and districts. These improvements are incorporated into its Business Plan and are tracked in its Business Plan Information System.

Survey Results

The full text of each survey response is provided below. For reference, we have included an abbreviated version of each question before the response; for the full question text, please see the Summary on page 5 of this report.

Alaska

Contact: Clint Adler, (907) 451-5321, clint.adler@alaska.gov.

1. **Initiated innovation efforts:** No.
2. **Most effective incentive:** Our RD&T2 section has held research and training workshops on leadership and research; however, the results have been limited because executive leadership has not effectively emphasized innovation and continuous improvement as organizational values. I have concluded that executive-level leadership is critical for success.
3. **Champions rewarded:** Yes and no. We participate in employee award programs/competitions, but emphasis is on production, not innovation, and award recipients are not consistently or widely celebrated. See <http://dot.state.ak.us/comm/about/kudos.shtml>.
4. **Reorganization:** We last reorganized in 2002. Innovation was not emphasized during the reorganization.
5. **Assessment and tracking:** No. The research section mainly manages its own research projects and tracks progress on such projects. We attempted to implement an innovative features program, but were unable to institutionalize it.

Arizona

Contact: Steven J. Rost, Ph.D., Arizona Transportation Research Center, (602) 712-6348, strost@azdot.gov.

1. **Initiated innovation efforts:** Yes. Established a Partnering Office within Communication and Community Partnerships for working in collaboration with our customers to successfully build and sustain partnerships by using innovative methods and technology. See <http://www.azdot.gov/CCPartnerships/Partnering/Index.asp> and [Appendix A](#), *ADOT Partnering Handbook*.
2. **Most effective incentive:** ADOT Procurement won a prestigious 12th Annual 2007 Achievement of Excellence in Procurement Award from the National Purchasing Institute. This award is designed to

measure innovation, productivity, professionalism and leadership. It was through exceptional efforts in the above-mentioned qualities that this award was achieved.

3. **Champions rewarded:** Yes. The Information Technology Group (ITG) has an Employee of the Year award for an employee who demonstrates exemplary values such as innovation.
4. **Reorganization:** Yes. A Transportation Services Group (TSG) Innovation Report is presented at the quarterly Director's Operations meeting. See [Appendix B](#).
5. **Assessment and tracking:** Yes. Not directly as innovative ideas. The innovative ideas become part of the organizational strategic plan. See http://www.azdot.gov/CCPartnerships/Partnering/PDF/Documents/Partnering_Measurements.pdf.

Indiana

Contact: Tommy Nantung, (765) 463-1521, ext. 248, tnantung@indot.in.gov.

1. **Initiated innovation efforts:** No.
2. **Most effective incentive:** Push departmental strategic goal to cut construction costs and deliver projects on time. From there, many innovations occurred.
3. **Champions rewarded:** Yes. In some forms—mostly in the newsletter or awards by the commissioner/administration.
4. **Reorganization:** Yes. The Director of Technology Deployment was appointed 3 months ago, so there are no results for his work/initiatives yet.
5. **Assessment and tracking:** No. However, under the new director, it will be.

Louisiana

Contact: Gerrie Penn, Director, LA DOTD Quality and Continuous Improvement Program, (225) 379-1099, Gerrie.Penn@la.gov.

1. **Initiated innovation efforts:** Yes. The formation of the DOTD Change Management Program, now known as the Quality and Continuous Improvement Program (QCIP), is by far the most significant.
2. **Most effective incentive:** Our Change Management Program, now known as Quality and Continuous Improvement Program (QCIP). Some of its activities include, but are not limited to: facilitating process improvement teams comprised of stakeholders and subject matter experts, conducting SWOT analyses, facilitating the drafting of the department's strategic plans, and assisting with the development of performance measures and section/division scorecards. See [Appendix C](#) for the content of the Policy & Procedure Memorandum establishing the group and describing their roles:
3. **Champions rewarded:** Yes. In addition to national awards for innovation, which are aggressively pursued via the QCIP, the department also has a policy and procedure memorandum that clearly defines several programs designed to promote productivity, creativity, initiative and innovation. See [Appendix D](#) for a summary of the section that deals specifically with the latter quality.
4. **Reorganization:** No, although there was some realignment of reporting relationships in certain specific areas. These changes did not affect the department as a whole. It would be difficult to determine at this point if the overall results were positive or negative.
5. **Assessment and tracking:** Yes. The QCIP continually facilitates teams that incrementally improve the way the department does business. Innovation (i.e., utilizing new processes, tools, personnel resources, etc.) is a standard outcome of these team efforts. QCIP has challenging and clearly defined performance goals tied directly to the number of teams successfully facilitated. All pertinent data accumulated during the team process is readily available and is used to measure progress.

Maine

Contact: Dale Peabody, (207) 624-3305, dale.peabody@maine.gov.

1. **Initiated innovation efforts:** No. I would comment that innovation is encouraged by executive staff and a part of the work environment. Actually one of our DOT Strategic Plan goals is to optimize the use of technology and innovative applications.
2. **Most effective incentive:** Can't really point to one thing. There has to be a top-down-driven innovation culture.

3. **Champions rewarded:** Yes. I'll use FRP composites as an example. One of the project managers in the Capital Bridge Program is assigned FRP composite bridge application projects. MaineDOT is becoming a leader in this area because of this effort. He has been asked to present MaineDOT work at numerous conferences (recognition) and is certainly encouraged by his supervisors and the executive staff.
4. **Reorganization:** Yes. The Chief Engineer's new duties specifically mention innovation and technology. We don't really know if innovation has increased yet.
5. **Assessment and tracking:** No.

Maryland

Contact: Becky Burk, (410) 545-5691, bburk@sha.state.md.us.

1. **Initiated innovation efforts:** Yes. Overall, SHA expects managers to seek out and encourage innovation. We proactively participate in AASHTO and other national and local awards programs to regularly recognize employees for high-quality work. Often, these are innovative approaches or outstanding applications of leading-edge approaches. Also, we encourage process improvements annually via the Malcolm Baldrige criteria for Performance Excellence. We compete and celebrate process improvements at our annual Performance Excellence Training Conference (which is temporarily discontinued due to budget constraints). We also encourage sharing innovative ideas across the agency through agency-wide teams of employees who perform the same function and the use of our intranet site for employees to share ideas (a recent example being a site for employees to share cost-saving ideas given our tight financial situation).
2. **Most effective incentive:** The Maryland State Highway Administration has a three-year cycle for conducting a self-assessment. Although this assessment is based on the Malcolm Baldrige Criteria for Performance Excellence, we place our emphasis on process improvements and results. As we scrub our processes we encourage innovation when trying to develop a better, more efficient way of conducting business. Our three-year cycle consists of: one half of the organization undergoing the assessment the first year; the second half the second year; and a statewide assessment the third year. This three-year cycle gives us ample time to attack those tough, cross-functional processes that involve numerous offices and districts. We have just completed our second cycle of the assessment process. Some of these process improvements have resulted in our earning AASHTO awards from the Standing Committee for Process Management. (See [Appendix E](#) for MDSHA's awards program from its annual conference).
3. **Champions rewarded:** Yes. They are rewarded at annual conferences, at Senior Management Team meetings and at meetings with the Administrator and his direct reports.
4. **Reorganization:** No.
5. **Assessment and tracking:** Yes. We incorporate process improvements and cost savings into our Business Plan, where we measure and track progress quarterly. See [Appendix F](#) for a page of strategies from MDSHA's Business Plan Information System, where it tracks progress on process improvements.

New Jersey

Contact: Gregory Vida, Director of Employee Support, (609) 530-3246, gregory.vida@dot.state.nj.us.

1. **Initiated innovation efforts:** Yes. The State of New Jersey has a suggestion award program. This program is codified in our Administrative Code. The link to the appropriate section is http://www.state.nj.us/csc/nj_title4a/chapter6/ch6_6.htm.
2. **Most effective incentive:** We have a quarterly meeting of our directors. Each director has a major program under them. A portion of each meeting is set aside for a brief discussion of a "best practice." This is where one director has discovered an innovative way of accomplishing something and shares it with his/her counterparts.
3. **Champions rewarded:** Only through the Statewide Suggestion Award program described above.
4. **Reorganization:** No.
5. **Assessment and tracking:** No.

Wisconsin

Contact: Joan Meier, STAR program coordinator, (608) 264-8423, Joan.meier@dot.wi.gov.

1. **Initiated innovation efforts:** Yes. WisDOT uses a program called Successful Thoughts Are Rewarding (STAR) to collect and evaluate employee suggestions. The purpose of the STAR Program is to bring forth fresh, new ideas which will improve the quality of state government and to recognize suggestions which benefit others within the agency and/or state government. The most promising STAR ideas are forwarded to the Wisconsin Employee Suggestion Program that is described at <http://suggest.state.wi.us>.
2. **Most effective incentive:** The STAR program.
3. **Champions rewarded:** Yes. The STAR program.
4. **Reorganization:** Yes. The department reorganized in 2005. There has been no specific attempt to document the increase in innovation resulting from the reorganization. The department's current strategic plan is online at <http://www.dot.wisconsin.gov/about/overview/strategic.htm>.
5. **Assessment and tracking:** Yes. The STAR program.

Appendix A

Arizona Department of Transportation
Partnering Office

Through out the last fifteen years, ADOT has co-developed, with our many partners, an award winning Partnering Program. We receive inquiries and visits from organizations through out the United States and from around the World. Our Agency Director, Victor Mendez, makes it clear to everyone that “Partnering is the way ADOT does business.” ADOT Senior Leaders actively champion partnering as a key business practice. Since the establishment of the Partnering Program in 1991, ADOT partnerships have earned 95 Marvin M. Black National Excellence in Partnering Awards.

Our mission is to work in collaboration with our customers to successfully build and sustain Partnerships by using innovative methods and technology. Our vision is to continue to be global leaders in Partnering. Please use this handbook to help you when preparing to partner, and to answer or ask the questions that may arise throughout the life of the partnership. We are committed to providing you with the resources you need to build successful partnerships.

Partnering is a process of collaborative teamwork to achieve measurable results through agreements and productive working relationships. It is our resolve that partnering will create an atmosphere of open communication, trust, teamwork and honest feedback among all stakeholders who are involved in the partnership. This extends to all stakeholders, inside and outside of ADOT.

Finally, we would like to thank you for your willingness to partner and to support the fundamental values and principles of Partnering.

James Young

A handwritten signature in black ink, appearing to read 'James Young', written in a cursive style.

Acting Partnering Director
ADOT Partnering Office

<u>Building Partnerships Handbook:</u>	<u>Page:</u>
What is Partnering?	1
Partnering Principles	3
Types of Partnerships	4
Partnering Roles	5
Building the Partnership	7
Partnering Education	8
Planning the Workshop	10
Partnership Models	11
At the Partnering Workshop	12
Partnership Goals	14
Issue Resolution Process	15
Action Planning & Follow up	18
Workshop Feedback	20
Partnership Team Performance, Evaluation and Support	23
Partnering Implementation Checklist	30
Glossary	32

“...a process of collaborative teamwork to achieve measurable results through agreements and productive working relationships.”

What is Partnering?

Partnering is defined as “a process of collaborative teamwork to achieve measurable results through agreements and productive working relationships.”

Background

In the 1990s, Partnering in ADOT matured in the area of construction. All state DOT construction project teams held partnering workshops to launch the process of building the Partnership and improving teamwork. The intent was, and still is, to serve the public by delivering projects on time, with the expected quality and within budget. The team identifies the goals of the various stakeholder groups and develops plans that result in fair/fair outcomes for all stakeholder groups. Partnering services have expanded to non-construction teams (e.g. divisions, work units & teams), as well as to partners out side of ADOT.

Why Partner?

- Jointly solve problems
- Increase work efficiency
- Improve Project Development and Delivery Process
- Maximize program delivery
- Provide services that exceed customer expectations
- Develop innovative products
- Build and strengthen relationships
- Enhance work processes, plans and functions

What Partnering Is:

- Process of building an attitude of goodwill and trust
- Fair-fair attitude
- Each partner understanding the others' obligations
- Avenue to create cost efficiency
- Shared risk
- Structure to keep things moving along positively
- Getting along
- Cooperative management with enthusiasm
- Going out of your way to look at issues from the other party's point of view
- A good team building tool
- Commitment by all parties to work within the parameters and guidelines established
- Commitment and performance
- Commitment to communicate and cooperate
- Proactive attitude
- Synergistic performance (joint problem-solving)
- No loss of revenue to an attorney (reduce litigation costs)
- Process for relationship building
- Stakeholders working together without being adversaries
- Commitment to open and honest relationships

What Makes Partnering Different Than Team Building?

Partnering is a formal process which includes all Partners' input, with tangible deliverables: a Partners' communication and roles matrix, a charter (mission, goals and guidelines), issue resolution agreements, an action plan, partnering evaluation program, meeting follow-up strategies and a written report that includes all Partnership agreements.

Tangible Deliverables:

- partners communication & roles matrix
- charter (mission, goals & guidelines)
- issue resolution agreements
- an action plan
- partnering evaluation program
- meeting follow-up strategies
- report including all partnership agreements

Trust	Knowing that one Partner will look out for the other Partner's best interests
Commitment	Keeping agreements
Communication	Sharing information in an open and honest way
Cooperation, Teamwork Relationships	Partnership members working together toward common goals
Issue Resolution	Having agreements and a process in place so issues are identified and resolved, before they harm the Partnership or the project
Measurement/Feedback	Evaluating the progress of the Partnership toward goals and learning from what works and what does not
Continuous Improvement	Using the feedback to determine and make the required changes

Each partner's definition of success must be considered and weighed equally.

Partnering Philosophy:

- There are many stakeholders associated with a Partnership.
- Each partner's definition of success must be considered and weighed equally.
- The common goals of the Partnership members are achieved by working together.
- Creating a high trust culture allows Partnership members to come to the table with their issues knowing that they will be treated fairly.
- The role of the senior leaders, as promoters and advocates of Partnering, is essential.

Partnering is the way ADOT does business.

Types of Partnerships

Project Partnering

- Among and between public and private entities (DOT and Contractor), governed by a Buyer-Seller contract.

Public Partnering

- Among and between DOTs, other state, local and federal agencies and non-governmental stakeholders.

Internal Partnering

- Among and between members and work units of the same organization.

Short Term Partnerships are projects that have a finite, defined ending date.

Long Term Partnerships are strategic and build a foundation for ongoing, long-term partnerships.

Why Build A Partnership?

Why Build a Project Partnership?

- Timely issue resolution results in decreased project delays
- Reduce labor disputes, claims and litigation
- Projects completed ahead of schedule and under budget
- Improved relationships with customers and suppliers

Why Build a Public Partnership?

- Multi-state partnerships and agreements
- Cooperation of multiple jurisdictions
- Coordinates efforts of a variety of agencies
- New funding arrangements
- Improved relations with the public

Why Build an Internal Partnership?

- Shared information and resources
- Streamlines procedures
- Eliminate duplicate systems
- Effective program expansion
- Collaborative ongoing relationships

Partnering Roles

Champion/Implementers

Partnership Champions are two team members from different key partner groups who participate in the Partnership full time and are identified at the Partnering Workshop. Their duties include:

- Approach people who will be active in the Partnership who did not attend the Partnering workshop to discuss the concepts of Partnering, the team charter, issue resolution levels and the commitment of the key Partnership team leaders
- Ensure that those not present at the workshop buy into and sign the charter
- Be responsible to make sure the Partnering Evaluation Program (PEP) forms are distributed, completed and input
- Continuously monitor how the Partnership is doing, use PEP data to make course corrections
- Distribute the Partnering workshop meeting report to all stakeholders (includes subs and suppliers on a construction project)
- Encourage all team members to practice the Partnering Principles
- Communicate and celebrate Partnering successes

Senior Leaders/Management Role

- Responsible for managing the structures and processes that guide the Partnerships
- Responsible to model the Partnering Principles and enforce the Partnering Agreements
- Use PEP management reports to provide opportunities for team recognition, team support and coaching

Note:

If the Partnering Champion leaves the Partnership, another is chosen to carry on. Partnership problems that can't be resolved at the Operations level will be reported to the Partnership leaders.

make changes

Listen and make changes

based on customers' feedback

customers' feedback

Partnering Office Roles

- Deliver responsible and responsive leadership to the Partnering effort
- Listen and make changes based on customers' feedback
- Promote the use of the Partnering Evaluation Program (PEP)
- Measure the health of partnering relationships & the Partnering Program
- Establish Facilitators' performance criteria and maintain feedback on their performance
- Strengthen customer relations and link all partnering stakeholders (e.g. State Agency managers, supervisors, team members, contractors, designers, consultants, facilitators, agencies, and other partnering stakeholders)
- Promote Partnering education and training

Deliver

Deliver

Listen

Listen

Promote

Promote

Measure

Measure

Establish

Establish

Strengthen

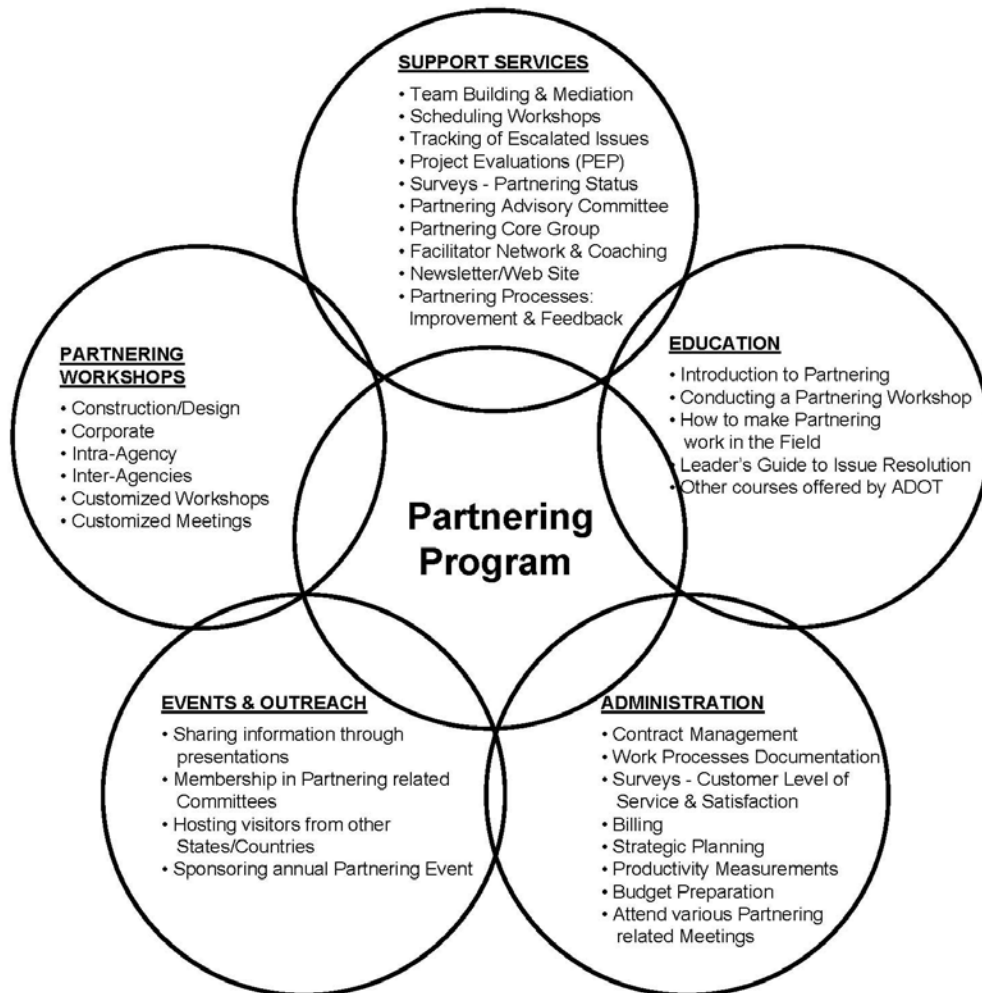
Strengthen

Building the Partnership

The ADOT Partnering Program provides the foundation to build partnerships, within ADOT, and among and between ADOT and its partners.

This program is intended to be an integrated system of support services, education, administration, events and outreach and partnering workshops.

Partnering Program Integrated System



Partnering Education

Partnering classes were co-designed and piloted by the Arizona Department of Transportation with representatives of the targeted audiences. The classes are reviewed regularly and revised as appropriate. The future holds great opportunity for expanding the Partnering Principles to development teams, other internal work groups and between county or state agencies and other agencies/groups. Education is key to supporting Partnering as the way of doing business for the entire State. Partnering classes can be designed to accommodate all Partnerships.

Partnering Classes

"Introduction to Partnering"

Course Objectives:

By the end of the class, participants will:

- Be able to identify the Partnering background, purpose, principles and process
- Be able to list the roles and benefits of Partnering
- Be able to identify the components of the Partnering Evaluation Program
- Complete a "Partnering Skills Readiness Checklist"
- Receive a list of available "Options to Enhance Your Partnering Participation"
- Be able to identify the role of the Partnering Office
- Complete a "Personal Partnering Action Plan"

Education
Is
Key

Clarify the roles and responsibilities of the team members

"How to Make Partnering Work in the Field"

Course Objectives:

By the end of the class, participants will:

- Be able to identify the philosophy and basics of Partnering
- Clarify the roles and responsibilities of team members
- Identify the components of a proactive approach toward issue identification, resolution and action planning
- Review a process, with class members, for identifying and resolving issues, to include action planning and follow-up
- Develop a plan of action to use this "Issue Resolution Process" with your team
- Be able to use the on-line Partnering Evaluation Program (PEP)
- Learn how to use the data generated by the Partnering Evaluation Program

“A Leader’s Guide to Issue Resolution”

Course Objectives:

By the end of the class, participants will:

- Identify the components of a proactive leadership approach (i.e. basic guidelines, behaviors and attitudes) toward issues identification, resolution and action planning
- Review and practice a process, with class members, for identifying and resolving issues, to include action planning and follow-up
- Provide and receive feedback on team facilitation and issue resolution skills
- Develop a personal plan of action to use the “Issue Resolution Process” with your team

“Conducting a Partnering Workshop”

Objectives:

By the end of the class, participants will:

- Be able to plan a partnering workshop
- Be able to list the components of a partnering workshop
- Practice at least 3 parts of the workshop
- Be able to organize and administer a partnering workshop
- Be able to conduct a partnering workshop

Identify the role of the leader
in building partnerships

Partnering Education Outreach

The Partnering Office has made extensive contributions to Partnering Education through out Arizona and the U.S. Some of the most recent accomplishments included:

- The development of a Partnering class offered through Arizona State University’s Del E. Webb School of Construction.
- Development of a Partnering module that is included in the American Minority Contractors Associations’ “The Business of Construction” educational series.
- Major contributor to the development of the National Highway Institutes’ Partnering Course.

*Partnering education
can be further enhanced and
supported through use
of the Partnering web site,
brochures and special
outreach.*

Planning requires time, sometimes many weeks, depending upon factors such as complexity and partnering experience.

Planning the Workshop

Proper planning and preparation are necessary for a successful workshop. Planning requires time, sometimes many weeks, depending upon factors such as complexity and Partnering experience. The Partnering Office, the Partnership leaders and the facilitator all play key roles in this step.

Facilitator's role:

- Collect background information (e.g. history, number of jobs together, etc.)
- Speak with Partnership leaders
- Contact additional Partners at the request of the Partnering leaders
- Visit the partnership/project location with Partnership leaders, as required
- Identify the major issues (relationship and technical)
- Customize workshop according to the input from the Partnership members, using the various approved workshop models
- Focus on the team relationship and improve problem solving and issue resolution skills
- Confirm logistics

Funding:

- Funding for building the Partnership must be secured. There is a cost associated with pre-workshop planning (meetings with facilitator), the workshop (facilitator and facilities) and follow-up activities, which include the production and distribution of the workshop report. The partners commonly share these costs.

Pre-Planning:

Conduct a Pre-workshop Planning meeting and agree upon the following:

- The key issues and partnership challenges
- Draft Charter (e.g. mission statement)
- Who should attend the workshop (e.g. agency reps, contractors, suppliers, designers, utilities, public/private organizations and other stakeholders)
- Identify the roles of key Partnership leaders
- Type of workshop, date, length, location
- Facilitator (if not already identified and in attendance at pre-workshop meeting)
- Workshop agenda
- Ways to work with Partners who cannot attend and those who are new to Partnering
- Ways to ensure management support
- Funding sources
- Lines of authority/decision-making
- Overall plan for building the Partnership
- Ways to share workshop responsibility

For more information about Partnering Workshops, contact the ADOT Partnering Office at (602) 712-7120 or visit our web site at:
www.azdot.gov/CCPartnerships/Partnering

Partnership Models

There are many customized ways to build a Partnership based on its unique factors. The complexity of the Partnership, which includes the diverse goals, the number of Partners affected, the degree of diversity, the number of issues, the duration and degree of politics involved, are all considered when determining the best model for each situation.

Minimal degree of complexity model

Key ingredients to build Partnerships that are minimally complex:

- Simple planning: 2-3 Partnership leaders agree upon facilitator, invitees, duration and key issues
- One workshop for all partners that is short in duration (e.g. 2-4 hours) and covers basic partnering components
- Final evaluation & feedback

Moderate degree of complexity model

Key ingredients to build Partnerships that are moderately complex:

- Blend of pre-workshop activity (e.g. in development, this may include scope clarification and contract negotiation)
- Full day workshop (considered a kick-off for some Partnerships)
- Spin off meetings to update new Partners or provide a focused forum for different partner groups
- Regularly scheduled meeting(s) (may be a team building or close-out workshop) to review lessons learned, partnering evaluation and process improvement based on feedback. (quarterly, annually or as needed)

High degree of complexity model

Key ingredients to build Partnerships that are highly complex:

- Series of pre-workshop planning meetings, involving key Partnership leaders and the selected facilitator
- Series of Partnering workshops, to accommodate multi-tier leadership and the diverse needs of the various partners
 - ✓ Core Team meetings prior to other stakeholder group workshops (formally facilitated, 2-4 hours each)
 - ✓ Core Team and Executive Team meeting (facilitated by Core Team or formally facilitated, 2-4 hours)
 - ✓ Executive, Core and Field Team meeting (formally facilitated, 4 hours)
 - ✓ Partner workshops (formally facilitated, time adjusted to be appropriate for the group)
- On-going Partnership support
 - ✓ Core Team weekly meetings (discuss and develop action plans based on evaluation and feedback at one weekly meeting per month)
 - ✓ Core Team and Executive Team meeting, quarterly (formally facilitated, 4-6 hours)
- Regularly scheduled meeting(s) (may be a team building or close-out workshop) to review lessons learned, partnering evaluation and process improvement based on feedback. (quarterly, annually or as needed)

focus on

the successful completion

of the Partnership's goals

At the Partnering Workshop

Purpose of the workshop:

- The Partnering workshop provides the opportunity for the Partnership members to meet, build relationships, develop the foundation for teamwork, and to prepare for the work to come
- The workshop participants should include representatives of all parties to the Partnering effort, who will focus on the successful completion of the Partnership's goals

Participants will:

- Develop the Partnership
- Receive a handout which outlines the Principles of Partnering
- Write a Partnership Charter
- Review and complete components of the Issue Resolution Process
- Understand the Partnering Evaluation Process by which the team and Partnership can be measured (PEP)
- Plan for follow-up strategies to continuously build the Partnership, and to monitor and celebrate progress toward Partnership goals

Partnering Workshop Guidelines:

- All perspectives are heard and considered
- Take responsibility for how you present your position
- Communicate in a way that promotes understanding and minimizes defensiveness
- Participate in a way that produces the best outcome for all

Partnering Workshop Components:

- Principles of Partnering (overview, purpose and benefits)
- Charter (a written commitment of shared mission, goals and guidelines)
- Issue Resolution Process (steps, levels, forms and process)
- Partnering Evaluation Process (PEP) (evaluation purpose, goals, roles, steps and frequency)
- Action Plans (identify what needs to be completed, by whom and when)
- Follow-up Agreements (ways to keep the partnership on track, and progressing toward goals)

TEAM CHARTER

RMF SR 202L Gilbert to Higley Landscape (TRACS H529903C)

AAA Landscape, Arizona Department Of Transportation, City of Mesa

As partners involved with this landscape project, our mission is to maintain a trusting, cooperative team, committed to provide the City of Mesa a quality project, safely, on time and within budget so that we can be proud of our contribution. We agree to meet regularly to evaluate our progress and partnering relationships. We will maintain a positive commitment to honesty and integrity while agreeing to achieve the following objectives.

OBJECTIVES:

Quality Project. Deliver a final project that is pleasing to the public by adhering to the design specifications and meeting or exceeding the quality standards for workmanship. We will apply the lessons learned in the past and utilize good quality control and assurance measures, process consistency, and project management.

Project Schedule. Finish the project on or ahead of schedule. We will conduct regular schedule reviews and be timely and efficient in the notification of changes, processing of paperwork, coordination of activities, and timely resolution of problems so as not to negatively impact the schedule.

Communication. Develop and maintain proper channels of communication characterized by openness, respect, tact, good listening, empathy and appropriate feedback between all project construction partners and other affected agencies. Involve the right people and conduct relevant and efficient meetings.

Issue Resolution. Be proactive in issue resolution by identifying and resolving all issues in a timely, respectful, professional, cooperative, and fair manner at the site level when appropriate. Work in accordance with designated escalation procedures and provide appropriate feedback to site level personnel regarding escalated resolutions.

Teamwork/Relationships. Function as a project team by assisting in other's performance, staying within the applicable laws and statutes, fulfilling obligations diligently, and working together in a spirit of cooperation.

Public Safety. Complete the project in a safe manner by emphasizing safety at project meetings, conducting regular safety reviews, adhering to the traffic control and project plans, keeping the public informed, and maintaining a safe roadway.

Environmental/Regulatory Awareness. Abide by all environmental/regulatory agency requirements.

Fiscal Responsibility. Stay within partner budgets by building a profitable project right the first time and on schedule, determining pay quantities on a timely basis, paying for work performed, timely turnaround on change orders, and actively seeking value engineering or other cost/time related opportunities.

[Handwritten signatures of project team members]



CORPORATE ADVISORS
Sherman Tingey, President

- 1. Quality**
Quality
- 2. Communication**
Communication
- 3. Issue Resolution**
Issue Resolution
- 4. Teamwork & Relationships**
Teamwork & Relationships
- 5. Schedule**
Schedule

Teams define what these goals mean for their particular partnership by listing sub goals for each. They are also encouraged to identify up to 5 additional partnership goals, as needed.

Additional goals for design projects sometimes include:

- 6. Project Delivery**
Project Delivery
- 7. Budget**
Budget

Issue Resolution Process

The Issue Resolution process consists of identifying and resolving issues, action planning, and follow-up agreements.

Identifying the levels and rules helps Partnership members set realistic time frames to resolve each issue according to the issue’s impact on the Partnership. At whatever level the issue is resolved, the key Partnership members help to define and communicate the results back to the ALL team members.

set realistic time frames to resolve each issue according to the issue’s impact on the Partnership.

The Issue Resolution Routing Form is an important tool to use in communicating the status of the issue and to provide feedback to the partners.

Escalation Levels

Level	Partner(s)	Time
Operations/Team/ Partnership Member Level	_____ _____ _____	_____ _____ _____
Supervisor/Technical/ Partnership Leader Level	_____ _____ _____	_____ _____ _____
Vice-President/Group/ Partnership Management Level	_____ _____ _____	_____ _____ _____
Senior Management/ Director/President Level	_____ _____ _____	_____ _____ _____

Issue Resolution Rules

1. Issues need to be clearly defined by all parties. Deal with pertinent facts, separate the technical issues from policy issues and business issues, maintaining the original definition throughout the issue resolution process.
2. Once defined, document what the issue is, give a status review for the next level to consider and utilize the appropriate form at every level.
3. Either party may initiate “escalation,” but acknowledgment and signatures are required by both parties. Once “escalation” is initiated, the issue should be transmitted jointly by those involved from one level to the next, to eventual resolution.
4. Once an issue is in the process, it should be resolved at the level closest to the issue whenever possible.
5. The person that reached the resolution must assure that the resolution information is communicated, in writing, to all affected parties. It shall include the rationale (e.g. technical, policy, or business) for the resolution.
6. Problems are to be resolved in accordance with the issue resolution process developed in the Partnering Workshop. There should be no “leapfrogging” across the levels of the issue resolution process.
7. Individuals shall make decisions that are within their expertise and comfort level. “No one has the right to delay a partnership.”

“If you don’t feel comfortable with the decision you’re being asked to make, escalate it.”

Guidelines

These guidelines promote the use of problem solving skills by everyone on the Partnership team, in their everyday work.

- Know your project/mission intimately and be aware of unspoken conflicts.
- Identify and clearly define issues openly and honestly. This enables the Partnership team to resolve and learn from them. Issue resolution is an essential and valuable part of good business practices.
- Issues need to be fully defined at the Partnership leaders level (e.g. the Resident Engineer level in construction).
- Look at what is common among the parties and what variances exist between the parties. If you can find a commonality it dissipates the negative energy. Then you can work on solutions to the differences.

Look at the issue from the other person’s point of view in order to better understand his/her perspective.

Guidelines (continued)

- Address problem solving through brainstorming possible solutions first, selecting the best option (“We should not escalate so quickly.”).
- All effected parties should be involved in all significant discussions of the issue resolution.
- Look at the issue from the other person’s point of view in order to better understand his/her perspective.
- Focus on the issues, deal in facts and avoid personality conflicts; this is not a test of wills or a “score-keeping” exercise. Avoid blame. This helps to maintain positive relationships.
- Negotiation - Fair/Fair. Find a peaceful middle ground between parties and all parties accept a position that allows them to save dignity. “Remember the things we’ve done for one another.” If you can’t get to a fair/fair, then agree to disagree and escalate together.
- Keep your cool when the discussion gets heated.
- Seek advice from the more experienced personnel. This is a valuable part of the process and is encouraged (This is not an escalation, we are problem solving.).
- Seek out issues during each weekly meeting and ask for individual input. Review the charts, graphs and comments found in the Partnering Evaluation Program (PEP). PEP reports should be reviewed monthly, at a minimum.
- Assure that both the technical issues are resolved and their fiscal impacts are generally agreed upon at the same time.
- When escalating an issue, honor the time pledges committed to during the Partnering Workshop.
- Time pledges must consider the impact that the issue will have on the Partnership and then agree upon a time limit which reflects the urgency, and use the time pledges as a guideline. Issues involving lost time, public safety and monetary impact must be dealt with immediately.
- Time pledges may be modified depending upon the issue and agreed upon among key players.
- Know that saying “I don’t know” is acceptable and should be viewed as an opportunity for learning.
- Clearly understand the various levels of authority of other team members. Do not stop TALKING.

Know that saying “I don’t know” is acceptable and should be viewed as an opportunity for learning.

Action Planning & Follow-Up

Action Plan

Partnering teams develop Action Plans which include the issue, the actions to address the issue, the responsible person(s), the timetable and status.

Meeting Format Guidelines

This communication tool is used to identify agreed upon activities before, during and after meetings.

Partnership Name: _____ Date: _____

Attendees:

Name	Company/Organization	Name	Company/Organization
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

The following topics were discussed, noting actions taken/planned and any other relevant comments:

Topics	Actions (what, who & when)	Comments
<ul style="list-style-type: none"> • Follow-through from Previous Meetings (when applicable) • Schedule • Partnership Related Issues and Solutions • Action Items Due or Overdue • New Action Items/Future Issues • Key Partners who should be advised about the Next Meeting • Partnering Evaluations (weekly, monthly or quarterly evaluations OR informal review/assessment of Partnership) 		

Meeting Guidelines

- Meetings should be an extension of building the Partnership
- Use pre-developed agendas
- Include advance notice of future issues as agenda items
- Use the minutes/notes of the agenda discussions, especially agreements reached at the meeting, with team assignments, as a tool for following through on items requiring further action
- Advise all key Partners of the next meeting especially when their participation is required
- Include Partnering Evaluations as a meeting agenda item with a focus on Partnership effectiveness and working together.

Use Agendas

Meeting Minutes

Evaluations

Workshop Feedback

Feedback from the participants, as well as from the facilitator, is critical for the success of the Partnership and for understanding the unique needs of the Partnership.

PARTICIPANT’S FEEDBACK OF WORKSHOP EFFECTIVENESS

1. How valuable was this workshop for you?

This workshop was not valuable	This workshop was somewhat valuable	This workshop was valuable	This workshop was very valuable
0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0

2. What about this workshop was most valuable to you?

3. What would have improved the effectiveness of this workshop?

4. How do you rate the effectiveness of the Facilitator?

Was not effective	Was somewhat effective	Was effective	Was very effective
0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0

5. How do you rate this project teams potential for partnering on this project?

This project team has no potential for partnering	This project team has some potential for partnering	This project team has good potential for partnering	This project team has very good potential for partnering
0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0

6. What other comments do you wish to offer?

NOTE: For ratings of 0.5 to 2.5, please explain how the workshop could have been more valuable for you, or how the facilitator could have been more effective, or how the team’s potential for partnering could have been increased.

Also, for ratings of 3.0 to 4.0, please explain how the workshop was valuable for you, or how the facilitator was effective, or how the teams’ potential for partnering has been demonstrated.

Name: _____

Organization: _____

Position: _____

Facilitator Feedback

Project Name: _____
 Project # _____ TRACS # _____
 ADOT Org _____ Contractor _____
 Facilitator's Name _____ Workshop Date _____

1. Did the team display a good attitude towards partnering resulting in a high level of Cooperation?

PARTICIPANT	/	COMMENTS
Resident Engineer: _____		

Project Manager: _____		

Designer: _____		

Other: _____		

2. Was the project team sufficiently well-versed and familiar with the project scope and issues?

PARTICIPANT – Great (4) - Good (3) - Fair (2) -Poor (1) indicate level and add comments

Resident Engineer (4, 3, 2, 1,) _____

Project Manager (4, 3, 2, 1,) _____

Designer (4, 3, 2, 1,) _____

Others (4, 3, 2, 1,) _____

Add'l Comments _____

3. Was the length of the workshop/meetings sufficient for the scope and complexity of the project?

Comments _____

4. How would you rate the following characteristics of the workshop facility? _____
(facility name)

QUALITY	LEVEL OF SERVICE			
Cleanliness	Great (4)	Good (3)	Fair (2)	Poor (1)
Adequate Space	Great (4)	Good (3)	Fair (2)	Poor (1)
Customer Service	Great (4)	Good (3)	Fair (2)	Poor (1)
Food quality	Great (4)	Good (3)	Fair (2)	Poor (1)

What other comments do you have regarding the Workshop? _____

Partnering Evaluation & Performance

Team assessment of goals and feedback was formalized with the development of the Partnering Evaluation Program (PEP). Team members use the feedback to take action to improve those areas that are of concern to the team and acknowledge the areas where they are succeeding.

*Provide
Recognition*

Partnering Evaluation Program (PEP)

The Benefits of PEP are:

- All Partnership team members have the opportunity to gain an awareness of their relationships and issues.
- Communication among stakeholders is enhanced through regular and timely feedback.
- Timely and regular feedback increases the opportunities for Partnership team members to resolve the various issues at the earliest possible time and at the level closest to the Operations level.
- The automated program computes accurately and produces graphs and charts.
- The graphs and charts make good communication tools and visual aids.
- It is easy to use.

Sample PEP Rating Form

On the following page is a sample blank PEP rating form. In addition to the 5 standard goals and 5 optional evaluation goals, this form includes evaluation criteria, numbers for scoring, a place for sub-goals, comments and boxes that indicate whether to “take action,” stay “neutral,” or “provide recognition,” based on the scoring.

(See following page for sample form.)

Easy
to use

PARTNERING EVALUATION PROGRAM (PEP)
PROCESS RATING FORM - CONSTRUCTION

Project Number: _____ TRACS Number: _____
 Project Description: _____
 Period Being Evaluated: _____

Standard Evaluation Goals	Evaluation Criteria and Scores					
(1) Quality The <u>process</u> to construct and document quality has: SUB-GOALS:	Significant Problems	Performed Below Expectations		Met Expectations	Exceeded Expectations	Don't Know
	0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0		
	Comments:					
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition					
(2) Communication The <u>process</u> of timely, accurate information flow is: SUB-GOALS:	Below Levels to Support Project	At Marginally Acceptable Levels		At Expected Levels	Exceeding Expectations	Don't Know
	0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0		
	Comments:					
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition					
(3) Issue Resolution Team members and their counterparts identify issues and find that the <u>process</u> of timely resolution or escalations is: SUB-GOALS:	Not Functioning	Functioning, but Untimely		Established and Functioning	Exceeding Expectations	Don't Know
	0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0		
	Comments:					
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition					
(4) Team Work & Relationship Interrelationships of team members are understood and an open and coordinated effort by all members has: SUB-GOALS:	Not Yet Been Achieved	Occurred in a few Cases		Met Expectations	Exceeded Expectations	Don't Know
	0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0		
	Comments:					
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition					
(5) Schedule The <u>process</u> to monitor and assure the project's completion is: SUB-GOALS:	Unresponsive	Marginally Successful		Meeting Expectations	Exceeding Expectations	Don't Know
	0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0		
	Comments:					
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition					

Partnering Evaluation & Performance

PARTNERING EVALUATION PROGRAM (PEP) PROCESS RATING FORM - CONSTRUCTION

Optional Evaluation Goals	Evaluation Criteria and Scores									
6	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 12.5%; text-align: center;">0.5</td> <td style="width: 12.5%; text-align: center;">1.0</td> <td style="width: 12.5%; text-align: center;">1.5</td> <td style="width: 12.5%; text-align: center;">2.0</td> <td style="width: 12.5%; text-align: center;">2.5</td> <td style="width: 12.5%; text-align: center;">3.0</td> <td style="width: 12.5%; text-align: center;">3.5</td> <td style="width: 12.5%; text-align: center;">4.0</td> <td style="width: 12.5%; text-align: center;">Don't Know</td> </tr> </table>	0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0	Don't Know
0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0	Don't Know		
SUB-GOALS:	<p>Comments:</p> <hr/> <hr/> <hr/>									
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition									
7	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 12.5%; text-align: center;">0.5</td> <td style="width: 12.5%; text-align: center;">1.0</td> <td style="width: 12.5%; text-align: center;">1.5</td> <td style="width: 12.5%; text-align: center;">2.0</td> <td style="width: 12.5%; text-align: center;">2.5</td> <td style="width: 12.5%; text-align: center;">3.0</td> <td style="width: 12.5%; text-align: center;">3.5</td> <td style="width: 12.5%; text-align: center;">4.0</td> <td style="width: 12.5%; text-align: center;">Don't Know</td> </tr> </table>	0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0	Don't Know
0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0	Don't Know		
SUB-GOALS:	<p>Comments:</p> <hr/> <hr/> <hr/>									
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition									
8	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 12.5%; text-align: center;">0.5</td> <td style="width: 12.5%; text-align: center;">1.0</td> <td style="width: 12.5%; text-align: center;">1.5</td> <td style="width: 12.5%; text-align: center;">2.0</td> <td style="width: 12.5%; text-align: center;">2.5</td> <td style="width: 12.5%; text-align: center;">3.0</td> <td style="width: 12.5%; text-align: center;">3.5</td> <td style="width: 12.5%; text-align: center;">4.0</td> <td style="width: 12.5%; text-align: center;">Don't Know</td> </tr> </table>	0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0	Don't Know
0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0	Don't Know		
SUB-GOALS:	<p>Comments:</p> <hr/> <hr/> <hr/>									
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition									
9	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 12.5%; text-align: center;">0.5</td> <td style="width: 12.5%; text-align: center;">1.0</td> <td style="width: 12.5%; text-align: center;">1.5</td> <td style="width: 12.5%; text-align: center;">2.0</td> <td style="width: 12.5%; text-align: center;">2.5</td> <td style="width: 12.5%; text-align: center;">3.0</td> <td style="width: 12.5%; text-align: center;">3.5</td> <td style="width: 12.5%; text-align: center;">4.0</td> <td style="width: 12.5%; text-align: center;">Don't Know</td> </tr> </table>	0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0	Don't Know
0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0	Don't Know		
SUB-GOALS:	<p>Comments:</p> <hr/> <hr/> <hr/>									
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition									
10	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 12.5%; text-align: center;">0.5</td> <td style="width: 12.5%; text-align: center;">1.0</td> <td style="width: 12.5%; text-align: center;">1.5</td> <td style="width: 12.5%; text-align: center;">2.0</td> <td style="width: 12.5%; text-align: center;">2.5</td> <td style="width: 12.5%; text-align: center;">3.0</td> <td style="width: 12.5%; text-align: center;">3.5</td> <td style="width: 12.5%; text-align: center;">4.0</td> <td style="width: 12.5%; text-align: center;">Don't Know</td> </tr> </table>	0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0	Don't Know
0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0	Don't Know		
SUB-GOALS:	<p>Comments:</p> <hr/> <hr/> <hr/>									
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition									

Additional Comments:

Organization Name: _____

Your Name: _____

Evaluator Type

- ADOT
- Contractor
- Sub-Contractor
- Supplier
- Other

Sample PEP Rating Form

This PEP rating form is an example of one completed by a Partnering team. The customizing of the PEP goals is accomplished by agreeing upon sub-goals. Each Partnership defines what the goals mean to them.

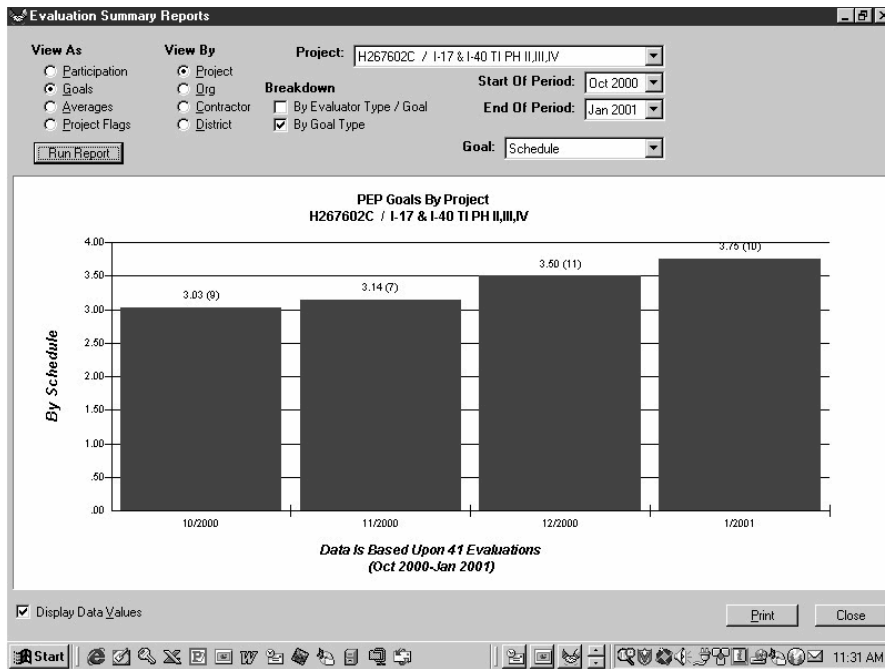
The comments provide valuable information to the team. Examine the comments to give recognition for positive performance or to make sure corrective action has or will be taken on problems. Follow up with the submitter, if known, to get additional information and to verify that any corrective action taken solved the problem.

(See following page for sample form.)

PEP Chart

This PEP chart is an example of one way to view the data from the PEP rating forms. The graphs generated from the PEP data can provide information about participation, the goals, the averages and trends, and by stakeholder groups or the Partnership as a whole, over any select period of time.

Summary Graph by Specific Partnering Goal (Schedule) for the months of October through January



PARTNERING EVALUATION PROGRAM (PEP)
PROCESS RATING FORM - CONSTRUCTION

Project Number: _____ TRACS Number: _____
 Project Description: _____
 Period Being Evaluated: _____

Standard Evaluation Goals	Evaluation Criteria and Scores									
(1) Quality The <u>process</u> to construct and document quality has: SUB-GOALS: Workmanship, Document Control Material Quality, Achieve 100% of Quality Incentives.	Significant Problems	Performed below Expectations		Met Expectations		Exceeded Expectations		Don't Know		
	0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0		
	Comments: Document Control Needs Improvement, Quality Incentives are at 65%									
	<input checked="" type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition									
(2) Communication The <u>process</u> of timely, accurate information flow is: SUB-GOALS: Receive information in a timely manner Develop distribution list (return capability with email) Communicate issues to Weekly Project List	Below Levels to Support Project	At Marginally Acceptable Levels			At Expected Levels		Exceeding Expectations		Don't Know	
	0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0		
	Comments: Communications are excellent, all information is being received in a timely manner									
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input checked="" type="checkbox"/> Provide Recognition									
(3) Issue Resolution Team members and their counterparts identify issues and find that the <u>process</u> of timely resolution or escalations is: SUB-GOALS: Resolve Issues at earliest opportunity. Anybody has power to escalate Follow escalation ladder. Experience no delays associated with failure to escalate. Clarify the issues before escalating.	Not Functioning	Functioning, but Untimely			Established and functioning		Exceeding Expectations		Don't Know	
	0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0		
	Comments: Issues need to be clarified before escalating, some team members need training in the escalation ladder process									
	<input type="checkbox"/> Take Action <input checked="" type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition									
(4) Team Work & Relationship Interrelationships of team members are understood and an open and coordinated effort by all members has: SUB-GOALS: Maintain cooperative and helpful attitude. Be responsive to requests for help. Be open to new ideas & innovative solutions. Communicate when working outside of individual and organizational boxes.	Not Yet Been Achieved	Occurred in Most Cases			Met Expectations		Exceeded Expectations		Don't Know	
	0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0		
	Comments: We have good cooperation with most team members, we have open communication among team members, this job is a pleasure to work on									
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input checked="" type="checkbox"/> Provide Recognition									
(5) Schedule The <u>process</u> to monitor and assure the project's completion is: SUB-GOALS: Do everything necessary: To anticipate possible delays To maintain or accelerate the schedule	Unresponsive	Marginally Successful			Meeting Expectations		Exceeding Expectations		Don't Know	
	0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0		
	Comments: Project schedule dates are being met 90% of the time									
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input checked="" type="checkbox"/> Provide Recognition									

PARTNERING EVALUATION PROGRAM (PEP)
PROCESS RATING FORM - CONSTRUCTION

Optional Evaluation Goals	Evaluation Criteria and Scores				
(6) Safety The <u>process</u> to establish, educate and assure compliance with safety is: SUB-GOALS: Written safety plan, Periodic safety audits Measuring frequency, incident rate & severity Implement safety meetings, Weekly meetings Aware of safety procedures, Accident free	Non-Compliance	Meets minimum requirements but not consistently	Meets requirements	Pro-Active regarding requirements, issues, enforcement	Don't Know
	0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0	
	Comments:				
	Compliance with safety is excellent so far on the project				
<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input checked="" type="checkbox"/> Provide Recognition					
(7) Public Relations The public is kept well informed & the <u>process</u> to distribute & receive information is: SUB-GOALS: Disseminated accurate information timely Gain public support & understanding for project Minimize public inconvenience Achieve 70% rating from customer survey	Untimely & lacks clarity	Marginally clear & timely	Generally clear & meeting expectations	Clear & exceeding expectations	Don't Know
	0.5 1.0 1.5	2.0	2.5	3.0 3.5	4.0
	Comments:				
	Not as many negative comments this month, however, some closures did hinder traffic due to late pickups				
<input type="checkbox"/> Take Action <input checked="" type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition					
(8) Traffic Management The <u>process</u> of timely, effective traffic management is: SUB-GOALS: Coordination of traffic, Strong communication Adhere to schedule Minimize delays	Recurring traffic control concerns	Traffic control concerns corrected, but timeliness could improve	Traffic control concerns are quickly corrected	Exceptional traffic control program	Don't Know
	0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0	
	Comments:				
<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition					
(9) Design Quality The <u>process</u> to produce plans & specifications with sufficient constructable detail is: SUB-GOALS: Design plans are clear and complete Design is constructable Design meets established standards	Not functioning	Performing below expectations	Meeting expectations	Exceeding expectations	Don't Know
	0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0	
	Comments:				
	Design quality is much better than I expected to see on this project, plans are clear and constructable				
<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input checked="" type="checkbox"/> Provide Recognition					
(10) Design Responsiveness The <u>process</u> to complete design & respond to clarifications in the field is: SUB-GOALS: Submittals/Reviews are timely/responsive Design issues turnaround is timely/responsive	Unresponsive	Marginally successful	Meeting expectations	Exceeding expectations	Don't Know
	0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0	
	Comments:				
	Response time to contractor questions and design clarification exceeds expectations				
<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input checked="" type="checkbox"/> Provide Recognition					

Additional Comments:
 The team continues to work well together, a hard 4-5 months ahead for all of us

Organization Name: Western Electric

Your Name: Jim Goodman

Evaluator Type

- ADOT
- Contractor
- Sub-Contractor
- Supplier
- Other

<input type="checkbox"/>
<input type="checkbox"/>
<input checked="" type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>

Partnership Performance

Partners use the Partnering Evaluation Program (PEP) rating form as a tool to assess the Partnership's progress toward goals. Partnership members may evaluate at weekly and/or monthly meetings, during team building sessions or as a team intervention, as a check-in, at key Partnership milestones or at the completion of the Partnership. The results of the Partnership evaluation provide valuable information and insight into the type of action for the Partnership to take and the experiences from which to learn and improve.

Follow-up to Help Performance

Successful Partnerships plan and implement ways to welcome and update new Partners; discuss issues at key phases of the Partnership; provide recognition and congratulations at milestones in the Partnership; and re-focus and get back on track as needed. There are many ways to provide follow-up.

- Weekly/Monthly meetings: These are consistent meeting times when the Partnership members follow-up on action items from previous meetings, develop schedules and identify, resolve Partnership related issues and plan the next meeting.
- PEP Review: Measure and evaluate the Partnership according to agreed upon criteria for a healthy Partnership and to assess progress toward the goals of the Partnership.
- Coaching/Check-In/Ongoing: This may take the form of conference, workshop, final report or completion of Partnering evaluation close-out forms, review quarterly report with group manager, or staff review of monthly report
- Refresher Workshops: These workshops provide the long term partnership or project an opportunity to review initial agreements and make any required changes.
- Close-out Workshop: Partners collect findings to reflect on the Partnership (e.g. a Project Close-Out).
- Team Interventions: This may take the form of a meeting or training that is customized to address the current challenges of the Partnership.
- Mediation: This is a confidential process that utilizes a neutral 3rd party to assist disputants in collaborative problem solving. Typically, the 3rd party facilitator is bound by law to complete non-disclosure of the events and proceedings of the mediation process, and they are protected from legal discovery.

Pre-Implementation:

- Have we assessed the need and fit of partnering to our culture?
- Who will take the lead in championing and managing the partnering program?
- Have we researched (benchmarked) the requirements, and included our customers' perspective?
- Is there agreement from senior leaders and from representatives of the partnership groups about formally implementing partnering in the organization, division, department or work unit?
- Have we identified funding requirements and other required resources?
- Have we involved those who are interested and invested in the outcome?
- Have we clarified the purpose for implementing partnering?
- Have we identified the measurements of success for partnering?
- Have we developed a formal implementation plan, which includes the following: funding, program management, measurement, education, partnering/facilitator services, feedback and involvement from all partners, recognition of successes, and ongoing process improvement?

- Is there agreement and commitment, regarding the implementation plan, from those needed to make the implementation a success?

Early Implementation:

- Is education about partnering & the skills required a priority and available to all interested partners?
- Are the partnering services advertised and aimed at early successes?
- Are the funding sources & other resources identified and available?
- Are we developing the competencies required to deliver the key components of an integrated partnering system (education, workshop, events, meetings, facilitators, focus groups, etc.)?
- Are we delivering the key components of an integrated partnering system (education, workshop, events, meetings, facilitators, focus groups, etc.)?
- Are we developing and monitoring our partnering processes and policies?
- Are we collecting and beginning to respond to feedback?
- Are we tracking our measurements for success, and acting on the feedback received through the measurements?

Full Implementation:

- Is funding shared among partnership leaders?
- As the program expands, has funding increased?
- Has partnering expanded to all parts of the organization, division, department or work unit?
- Do the partners demonstrate partnering behaviors & principles in their everyday work practices?
- Are we producing measurement reports and identifying trends/themes?
- Are we consistently collecting feedback (via surveys, opinion cards, meetings, standard measurements, discussion, etc.) and responding to feedback?
- Are we improving processes, according to measurement results and feedback?

Ongoing & Expanded Implementation:

- Are processes and measurements reviewed annually and changed accordingly.
- Have we identified expanded partnering opportunities (i.e. vendors, other departments in our organization, other organizations, etc.)?
- Have we developed a formal plan for the expansion, which includes the following: funding, measurement, education, appropriate partnering services, feedback and involvement from all partners, recognition of successes, and ongoing process improvement?
- Are we delivering the partnering services according to the expansion plan?
- Are we developing competencies in the expanded groups?
- Are we celebrating and tracking our successes?

Celebrate Success
Celebrate Success

- **Adversarial** – Having a hostile, opposing attitude
- **Brainstorming** – Generating ideas and perspectives from all participants without judgment
- **Charter** – A document defining the common mission, goals, guidelines and key agreements of the partnership team members
- **Commitment** – A pledge to some particular course of action
- **Communication** – The exchange of information and opinions
- **Compromise** – A settlement of differences reached by mutual concessions
- **Consensus** – Decision/agreement that best reflects the thinking of all group members; a proposal acceptable enough that all members can support its implementation
- **Cooperation** – Act jointly with others, keeping all interests in mind
- **Equity** – All stakeholders' interests are considered in creating mutual goals
- **Escalation** – Forwarding the issue to the next level for resolution
- **Evaluation** – Process by which all stakeholders ensure that the plan is proceeding as intended and that all stakeholders are carrying their share of the load
- **Facilitated Problem Solving** – Facilitated Problem Solving is a process that utilizes a 3rd party to facilitate a resolution to a dispute. The 3rd party is not bound by law to maintain confidentiality, but may be required to do so by terms of a contracting agreement with the parties. The events and proceedings are not necessarily protected from legal discovery
- **Fair-Fair** – All parties find the outcomes achieved to be just and satisfactory
- **Honor** – The ability to admit one's mistakes and take responsibility
- **Implementation** – Carrying out agreed upon strategies; putting them into practice
- **Integrity** – Adherence to a code of values that include sincerity and honesty
- **Issue** - An issue is defined as a situation or condition that either (1) currently or potentially has negative consequences for the program/project or (2) has 100 percent probability of having negative consequences for the program/project. or (3) needs clarification to assure correct understanding of action to be taken.
- **Issue Resolution Process** – A process that consists of identifying and resolving issues, action planning, and follow-up agreements.
- **Mediation** – Mediation is a confidential process that utilizes a neutral 3rd party to assist disputants in collaborative problem solving. Typically, the 3rd party facilitator is bound by law to complete non-disclosure of the events and proceedings of the mediation process, and they are protected from legal discovery.
- **Mission Statement** – One or two sentences that describe what the team hopes to accomplish over a period of time
- **Mutual Goals/Objectives** – Desired outcomes, specific to the nature of the project or partnership, which are identified by all those involved
- **Negotiate** – To confer with another so as to arrive at the settlement of some matter
- **Partnering** – A process of collaborative teamwork to achieve measurable results through agreements and productive working relationships
- **Partnership** – A relationship between individuals or groups that is characterized by mutual cooperation and responsibility, as for the achievement of a specified goal

- **Partnership Champions** - Those who lead the Partnering effort to successful completion
 - **Partnership Members** - Those who work together to achieve the common goals of the Partnership
 - **Project** – Any undertaking requiring a joint effort wherein a scope, schedule, budget, and a desired outcome has been defined
 - **Stakeholders** – Any person, group or entity who has an interest in or is affected by the outcome of the Partnership
 - **Synergy** – Cooperative interaction among groups that creates an enhanced combined effect greater than the sum of their individual efforts
 - **Team** – A group of individuals working together to complete a specific task within a specific time frame; the aim of teamwork is to create group synergy
 - **Trust** – Having confidence in the truth and good intentions of the person’s actions and words
 - **Win-Win** – When all parties achieve their desired outcomes. Win-Win thinking encourages cooperation and compromise to achieve the best possible solution to issues or problems
-

For additional information about Partnering please view the ADOT Partnering Website: www.azdot.gov at the Communications and Community Partnerships home page



TSG Innovation Report

August 19, 2008



Strategic Vision

...be innovative and creative in the delivery of transportation products and services to the citizens of Arizona.



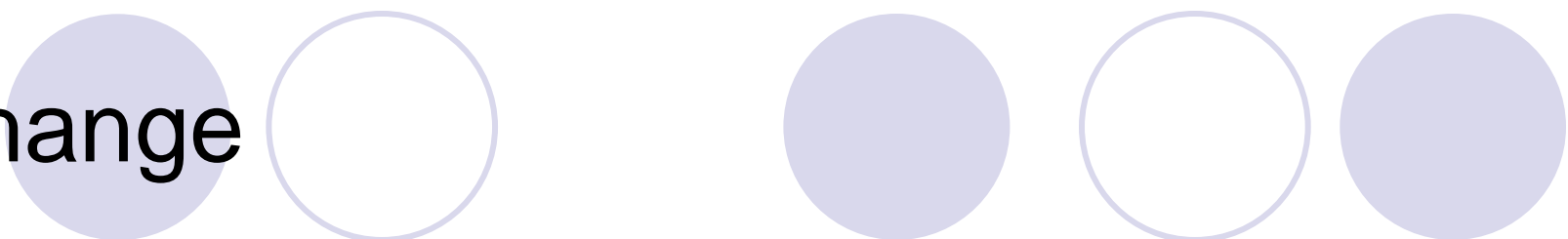
Promote a culture that encourages changes and innovative ideas.

A decorative graphic at the top of the slide consists of two groups of circles. The first group on the left has a solid light purple circle on the left and an outlined light purple circle on the right. The second group on the right has a solid light purple circle on the left, an outlined light purple circle in the middle, and a solid light purple circle on the right.

Action Step

Divisions develop a plan that promotes innovation and change that includes: communication, a cost/benefit analysis and resource assumptions, monitoring, and reporting.

Change



When the rate of change outside the organization is greater than the rate inside the organization, the end is near.

You don't have to change, survival is not compulsory



Results - July 14, 2008

- Number of Innovative Ideas – 45
- Status of Implementation
 - Completed – 10
 - In process – 35

Arizona Highways Magazine

Innovation	Impact
<ul style="list-style-type: none">● Reduced Magazine Trim Size● Outsourcing Customer Service and Distribution● Sponsorships	<ul style="list-style-type: none">● Reduced cost● Reduced cost and potential enhanced customer service● Increased Revenue

Audit and Analysis

Innovation	Impact
<ul style="list-style-type: none"><li data-bbox="212 581 905 732">● Pre-award Audit of Consultant Cost<li data-bbox="212 883 768 1034">● Operating Cost Reductions	<ul style="list-style-type: none"><li data-bbox="1073 581 1766 821">● Potential reduced charges for overhead cost<li data-bbox="1073 867 1566 938">● Cost savings

Information Technology Group

Innovation	Impact
<ul style="list-style-type: none">● Web Fax● Multifunctional Device● Power Management	<ul style="list-style-type: none">● Cost savings● Cost savings● Cost savings

Physical Plant Operations

Innovation	Impact
<ul style="list-style-type: none">● Heavy Truck Air Filter Dry Cleaning● Environmentally Friendly Brake Wash● Fuel Island Ethernet	<ul style="list-style-type: none">● Cost savings● Cost savings and cleaner environment● Cost savings and enhanced manageability

Appendix C

Louisiana DOTD Policy & Procedure Memorandum establishing the Quality and Continuous improvement Group

Revised September 15, 2007

LOUISIANA DEPARTMENT OF TRANSPORTATION AND DEVELOPMENT

SECRETARY'S POLICY AND PROCEDURE MEMORANDUM NO. 7

SUBJECT: Quality and Continuous Improvement Program (QCIP)

1. PURPOSE.

a. The purpose of the Quality and Continuous Improvement Program (QCIP) is to establish a method and supply the resources that will assist the Department to meet the challenges of the future. While quality and continuous improvement programs of various types have been implemented in the past, our purpose now is to embrace the principles of quality and continuous process improvement in such a way that we will progress from our current method of operation to the point where these principles will guide our every action and become an organizational way of life. The guiding principles of the DOTD method of process and quality improvement are as follows:

Improving responsiveness to our customers and stakeholders.

Establishing a culture of accountability.

Providing for cost-effective and timely project delivery in an environmentally sensitive way.

Optimizing use of DOTD's scarce resources (people and funding) by focusing them on key products and services.

Providing for decentralized decision making as close to the customer as possible.

b. These primary principles establish the philosophical basis for our quality and continuous improvement effort. When these basic concepts are supplemented with specific direction, a plan is formed to begin achievement of quality improvement objectives. The following guidelines will serve as the blueprint with which to build our Department into the premier organizational status we all seek, through thoughtful and deliberate application of the stated principles.

2. STRATEGIC PLANNING.

a. Strategic planning is an integral and complementary part of the QCIP process. Strategic planning provides us with long-range direction with which to address basic issues that control the viability of this organization. The QCIP process then becomes the primary method we expect to use to achieve our strategic planning goals.

b. In the current strategic plan (2007/2012), all five goals are directly dependent on our efforts to successfully implement QCIP principles throughout the department. These goals are as follows:

- (1) Continuously improve the performance of DOTD.
- (2) Deliver cost effective products, projects, and services in a timely manner.
- (3) Improve customer service and public confidence.
- (4) Effectively develop and manage our human resources.
- (5) Efficiently manage DOTD's financial resources.

c. Performance improvement and efficient maintenance are synonymous with quality improvement and application of QCIP principles. Although strategic planning is an entire subject in itself, we must keep in mind that it is the basis for all activities of the department, and as a result, is central to QCIP efforts.

3. FORMAL QUALITY AND CONTINUOUS IMPROVEMENT.

a. Formal QCIP consists of those efforts necessary to identify areas for improvement, generate improvement plans, and oversee the implementation of those plans based on the department's current strategic needs. These efforts are guided by executive-level Champions tasked to manage change, process improvement, and ultimately measure for desired results. Formal QCIP efforts, led by executives, will be the catalyst for change and competency within the department.

b. QCIP Team Champions and Leaders, supported by facilitator/managers from QCIP staff, will cultivate the development of QCIP teams and foster progressive application of QCIP processes and principles.

c. The QCIP efforts, results, and failures, as well as successes, should be reported by the Director of the QCIP to the Secretary and Executive Staff. The Director of QCIP will document and archive the experiences of the QCIP, both formal and informal. This information can then be used to provide future direction, to avoid "reinventing the wheel," and to establish a record of progress.

4. INFORMAL QUALITY AND CONTINUOUS IMPROVEMENT.

- a. As we institutionalize the process of QCIP, we want to continue to encourage the application of QCIP principles at all levels to help expedite this evolutionary process. It has taken two years to initiate this cultural shift, because of the "learning curve" we must experience. Immediate gains have been achieved and will continue as we systematically continue to implement QCIP on an informal basis.
- b. At the outset, QCIP was inhibited initially by the natural resistance to change and the perception that this was "just another change program." However, with executive leadership, many employees and supervisors came to realize that the QCIP principles and processes supported them in achieving goals and objectives that they themselves had long felt important to the success of the department.

5. THE QUEST FOR QUALITY.

a. This plan is only one step toward the initiation of our quest for quality. This means that the customer and his/her need become paramount in everything done in the Department. It is a never-ending quest. Once begun, there is no end, because no matter what we accomplish, we must always be seeking ways to improve upon our past efforts.

b. You all have a stake in this quest, and the viability of this Department depends on your enthusiastic participation. As you read this, make a determined commitment to support this effort and to do your part to ensure that we become an organization focused on quality and continuous improvement. I assure you that management at all levels will support your commitment and act to realize the potential offered by successful application of this program.

Appendix D

Louisiana DOTD Incentive Programs

SECRETARY'S AWARD FOR INNOVATION, "THINKING OUTSIDE OF THE BOX" - SECRETARY'S POLICY AND PROCEDURE MEMORANDUM (PPM) NO. 49

A. PURPOSE - This award is established to recognize employees or groups of employees who have demonstrated excellence in developing and implementing innovative solutions to challenging situations. This could include the development of a new idea or process or a modification to an existing procedure. Such accomplishments must demonstrate a fresh approach to a situation of significant concern within the department and should result in a significant savings in cost, time, and/or materials.

B. ELIGIBILITY - All DOTD employees.

C. SELECTION CRITERIA

(1) The following factors will be considered in selecting recipients for this award:

(a) Novelty, judged by the degree to which the idea/concept demonstrates originality and creativity.

(b) Effectiveness, judged by evidence that the idea/concept has made substantial progress toward its intended goal(s).

(c) Significance, judged by the degree to which it successfully addresses an important situation or issue which is of concern to DOTD, its employees and/or members of the public.

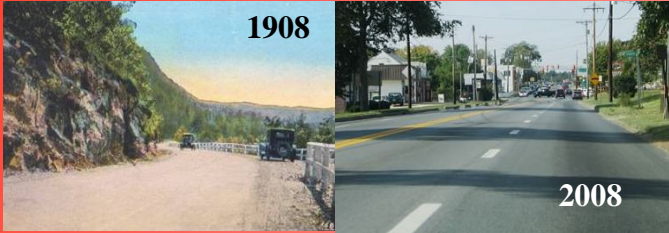
(d) Transferability, judged by the degree to which the idea shows the ability to be successfully adapted for implementation by other District and/or Sections.

SELECTION ANNOUNCEMENT/AWARD

The names of the individuals selected to be honored for the Secretary's Award for Innovation, "Thinking Outside of the Box" will be announced at the end of January. The honoree(s) will be recognized in the newsletter and at the Employee Recognition Ceremony.

In addition, each honoree will receive a framed certificate and share a cash award of \$500.00 or up to 5% of the amount saved through implementation of the idea/concept (amount not to exceed 9% of the employee's salary), whichever is greater (subject to usual salary withholdings such as taxes and retirement). In the case of a group award, the total cash award shall be divided equally among the participants listed on the application.

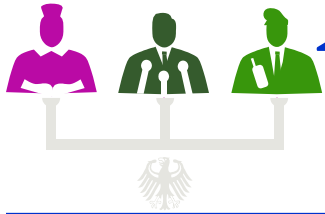
AWARDS PROGRAM



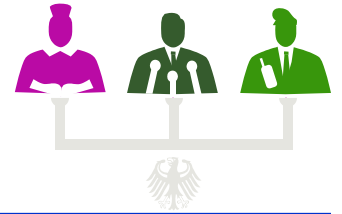
2008 Performance Excellence Training Conference

Friday, November 21, 2008

*The Inn & Conference Center
University of Maryland, University College
3501 University Blvd. E * Adelphi, Maryland 20783*



2007 PETC Judges



Mesgana Ayele



Glenda Barrow



Marvin Coble



Adeela Hawkins



Scott Heaps



Gara Jones



Mike Jones

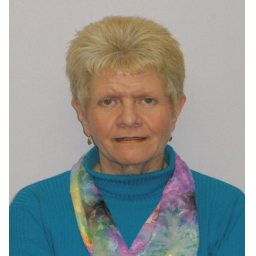
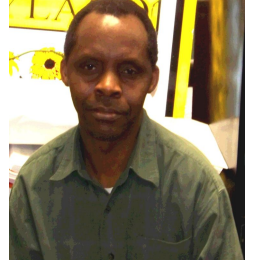
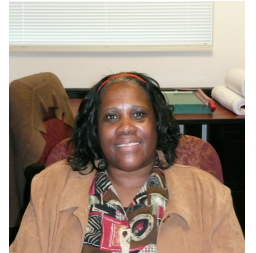
Damilola Kehinde

Linda Mott

Hellon Ogallo

Gregory Robinson

Wanda Rumble



2008 PETC Team



1908

*Richard Woo
Sandy Hansen
Becky Burk
Denise Hunter
Xin Chen
Lynette Brewer
Dan Porter
Aleia Hendricks
Monica Taylor-Clowney
Marcus Palmer
Sue Shoul
Madeline Jones
Chris Harley
Raymond Rosier
Roger Moyer
Stephone Roberts*



1928



1948



1968



1988



2008

A Century of Progress - A Team



SHA'S 2008

AASHITO AWARD WINNERS



AASHTO 2008 Silver Level Winners

D7 Project Development
Engineering Systems Team

HMA Field QA Team



AASHTO 2008

Honorable Mentions

ICC Right of Way Team

SHA University - College of Operations
B-Team



Quality Circle Teams

Plan

Act



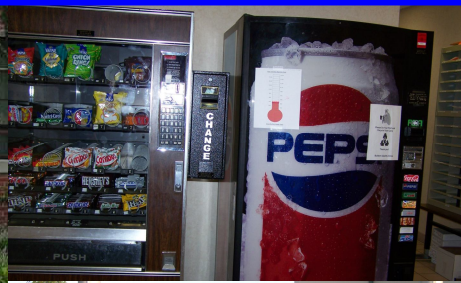
Improve

Evaluate

Internal & External Teams



District 1 - Cambridge



LA-QC - LaPlata District 5



Denton Clippers



Snow Hill Go Getters District 1



District 2 -



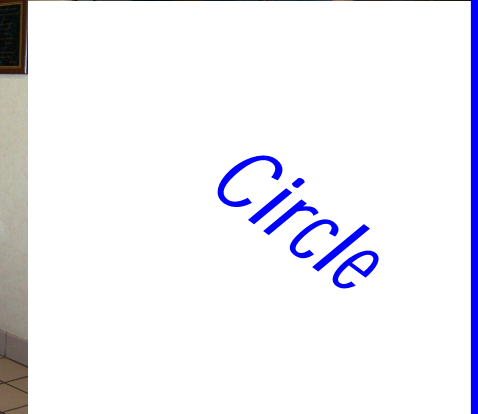
District 6 - Luncheon



District 6



District 6 - Military Box



*Quality Circle Teams **Internal***

D2 D-Terminators - District 2

The District Office Quality Circle, D2-D Terminators were striving to develop projects involving both the circle members and other district office employees. Through a brainstorming session at a circle meeting the consensus was to select quarterly projects with various organizations and therefore offer a variety of opportunities for involvement. Additionally, the Circle is sponsoring quarterly activities/luncheons to increase interaction between the sections within the District 2 office. Our promotion of customer satisfaction was for both internal and external customers.

Denton Clipper Denton

The Denton Clipper has been and continues to be a vital organization to the associates of the Denton Shop, as well as the local communities within Caroline County. Since its 1986 creation as the Denton Channel Cats and now as the Denton Clippers, the group has provided some of the following:

1. Fundraisers to help both those within the shop and the surrounding communities.
2. Collected food, clothing and other items for charitable groups such as Caroline County Food Bank, The "Barn" and Caroline County Hospice to support those in need.
3. Provided necessary and improved safety equipment for workers.
4. Improved communication with the community of Denton by enhancing roadside signs and SHA publications.

Metro Movers - District 3 Greenbelt

The District 3 Metro Mover's Quality Circle are the primary "morale boosters" for District 3. We do fundraisers throughout the year, and for the past year we have hosted or assisted with the following activities:

1. District 3's First Annual Holiday Party held in December 2007 (gave monetary donation)
2. District Training and Recognition Day (gave monetary donation)
3. Weekly Breakfast
4. Employee Appreciation Day (as part of SHA's Centennial Celebration)
5. Monthly Birthday Celebrations (the team provides cake and punch)
6. Movie Friday (everyone brings their lunch and we sell soda's and popcorn)
7. Ice Cream Social
8. 50/50 Raffle for Valentine's Day

SHAD05-District 5 Office

SHAD05 hosted many events/projects during the year. We raised funds for our employees as well as charity donations, community food drive, holiday events and luncheons for the employees. We also held our annual Employee of the Year recognition and District-wide Training and Recognition Day event. This included Training Programs in honor of SHA's 100 Year Anniversary and also included our traditional District 5 video of our District's employees; accomplishment, which boosted morale and team awareness. We also held bake sales, raffles, and retirement functions. Our Quality Circle also continued as an Adopt-A-Highway group supporting the cleaning of the Harry S. Truman Park and ride. We also held our first "Trailer Maze of Horror" haunted house and luncheon event on Halloween. The SHAD05 Circle, in conjunction with the District 5 Construction office, adopted a family for Christmas. This project had special meaning to our group because it was for the family of one of our own employees who passed away a few weeks before Christmas, and we wanted to make sure his family was taken care of. Both groups together raised funds, collected many gifts, had food donated, and shopped and wrapped like elves, right down to getting the Christmas tree! This made a very sad time a little Better for his wife and two young children.

*Quality Circle Teams **Internal***

La QC - District 5 La Plata Shop

Our Quality Circle came up with the idea of having a Recognition Ceremony for the employee's at the La Plata Shop. We wanted to show how much we appreciated each employee's hard work and efforts. Quality Circle also wanted to recognize the years of service that each employee had with State Highway Administration. Each employee, including the contractors. Received a certificate for their years of service. Each employee was pleased at the outcome of the ceremony as the morale of our shop was boosted a great deal.

Garrett County Hill Toppers - District 6 Keyser's Ridge Maintenance

The Garrett County Hill Toppers Quality Circle focuses on fulfilling the needs of our employee's, the communities and the environment that we live and work in to bring pleasure and pride to Garrett County. For the employee's in Garrett County we host several luncheons including the annual spring and fall truck inspections. We are also in the process of planning and volunteering our time to build a pavilion for all to enjoy. We also host our annual rodeo and holiday luncheon. At New Germany State Park this past year the Quality Circle Hill Toppers hosted the Annual Mini-Conference and we were very proud of the success and attendance from all three counties. Another important area we focus on is choosing charitable organizations to raise funds donating cash to help with financial burdens. Through the holiday we donate toys to the children's hospital to help keep the awareness of the community focusing on the needs of those that are less fortunate.

Washington County Brainstormers - District 6 Hagerstown

As a Quality Circle, we aim to improve our work and sense of camaraderie by providing opportunities to show support for one another, our community, and the people we serve. Whether to benefit members of our shop, their families, and retirees with our annual Christmas party as well as our sister agencies with the annual Snow Rodeo. With hiring freezes, staff cutbacks and health premium increases, our Circle continues to strive to keep our sense of purpose strong. We realize there is always room for improvement and will continue to focus our activities on satisfying our customers, both internal and external and assess customer satisfaction on regular basis. Often feedback is available in the form of correspondences, a Suggestion Box or periodic surveys. We involve our employees, our customers and our stakeholders in planning and executing our goals. As openings in our circle occurs, we welcome our employees to join our circle or join us as a "guest". It is our mission to motivate, encourage and recognize employees by hosting functions and recognition ceremonies; by enhancing SHA's work environment; and by supporting our community through outreach projects-serving our external customers as well.

Builders Quality Circle - District 6 LaVale

We own older vending machines (snack and soda) that do not accept dollar bills or disperse change, so unless someone had the exact change, they were, unable to buy a snack or soda. Therefore, we wanted to do something that would benefit the office and recognizing the need for a change machine, and the QC purchased one.



Quality Circle Teams **External**

Cambridge Maintenance Shop

Our Quality Circle team sets its goals to equally benefit employees and the members of our community. This year our main external focus was that of a family, (neighbor to an employee) with a child diagnosed with a terminal illness. The parents were physically, emotionally, and financially to their limit. With Christmas a few weeks away our team was especially motivated to give what support we could.

Knight Riders - District 2 Elkton

Cecil County Knight Riders teamed up with Perryville High School to help raise funds for the boy's lacrosse team at their annual car wash.

Laurel Shop Environmental Team - District 3

The Laurel Shop Environmental Team was formed to support compliance with the environmental regulations for our maintenance shop and to go beyond that to try to minimize our overall impact on the environment. Our team has also saved money in litter disposal fees and has kept many tons of waste out of our landfills.

Metro Movers - District 3 Greenbelt

The District 3 Metro Movers decided to assist the Shepard's Cove is an organization dedicated to providing assistance to battered women and children. The team decided to solicit donations from fellow employees to collect or donate hats, gloves and mittens. The effort was warmly received and everyone who donated attached their "gifts" to the Christmas Tree that was displayed in the District Office's lobby area. In adopting this family, we were able to provide the help that they needed by supplying them with food, clothing and helping out with their financial needs. In the process, the Quality Circle developed a friendship with the family, as well as, the family reciprocating their friendship among us. In addition, the family understood that they were able to call someone when they were in need and knew that someone cared about their needs.

The Garrett County Hill Toppers - District 6 Keyser's Ridge Maintenance Shop

The Garrett County Hill Toppers Quality Circle focuses on fulfilling the needs of our employees, the communities' and the environment that we live and work in to bring pleasure and pride to Garrett County. For the employees in Garrett County we host several luncheons including the annual spring and fall truck inspections. We are also in the process of planning and volunteering our time to build a pavilion for all to enjoy. The Garrett County Hill Toppers Quality Circle also host our annual Rodeo, and our annual Holiday Luncheon. At the annual Garrett County Fair, each year the Quality Circle Hill Toppers promote Adopt-A-Highway and this year we were proud to post all the sections in Garrett County were filled creating a bulletin board honoring our Adopt-A-Highway organizations to raise funds for and then through the holidays donate toys to the children's hospital to help keep the awareness of the community focusing the needs of those that are less fortunate.

Quality Circle Teams External

Builders Quality Circle - District 6 LaVale

We decided to send care packages to the military soldiers who are serving in Operation Freedom. We contacted the local reserve unit from Cresaptown, MD and learned they have a unit currently serving in Iraq.

Leonardtown Lucky 7 - District 5

Christmas in April is an annual community event for which local businesses come together and donate their time, services and materials to assist needy families in our local area with their standard of living. This year a total of 22 families were entitled to assistance. Some projects were as small as mowing grass and picking up leaves. Some projects involved more extensive work such as removing drywall, replacing roofs and plumbing. With the Quality Circle members and a few team players from the Leonardtown shop, we as a team, along with other local businesses, assisted families in need with general maintenance, repairs, and cleanup of their homes/properties to bring their living conditions to a better status. At times we were picking up debris and taking it to the refuse center, painting ceilings and walls, removing a stump of dead tree in the middle of a yard, planting shrubs and flowers, repairing roofs, replacing drywall, picking up leaves or even just sitting down and comforting the homeowners themselves lending an ear that seemed so desperately needed.

Rosedale Renegades - District 4 Golden Ring

Every year the Golden Ring QC adopts a family in need purchasing back to school supplies. This year supplies were purchased for Orems Elementary School and the school distributed the supplies to all of the children who were in need.



*Make the right turn,
down the road to **Success!***



We can't do it alone





Easton Shop Team Leaders - District 2



Leonardtown County Fair



MSP Open House - District 5



OHD - Rate & Refer Team



Office of Highway Development



Princess Anne Special Project



US 113 High Point District 1

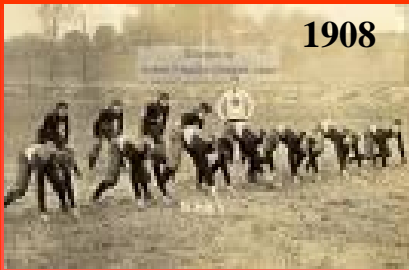


L-7 Career Day - District 5

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2008 Performance Excellence Training Conference



Teamwork has always Worked



D05815184 Work Group/District 1 Construction - Our Teams Purpose was to oversee the construction of Contract DO5815184. Our normal goals are to finish the project on time and if possible within budget. This project was finished six months ahead of schedule and was \$285,839.80 under budget.

US113 High Joint Repair Team/District 1 Snow Hill Shop - Two diverse teams (Central and North) were established to solve a particular problem. (Raised High Joints on US 113) brought to the attention of our ARME by a concerned external customer. The uniting of the two teams created a “work group” (US113 High Joint Repair Team) with expectations of achieving positive results. Not only was our commitment to our key customers fulfilled in a timely and accurate manner, but we also achieved a sense of satisfaction and motivation knowing that we succeeded in putting the safety of our customers first.

Easton Shop’s Team Leaders Team/District 2 - The Easton Shop’s Team Leaders Team consists of the four Facility Maintenance Technician IV employees who oversee the road maintenance forces at the Easton Shop. Their work requires them to prepare work plans, keep records, track hours worked, equipment operated, and materials used. Their “office” is a small area of the building we have that was built in 1953. The team was formed to utilize available funds to create a more efficient and attractive work area with adequate storage and organizational features to improve the effectiveness of the work area and provide better customer service to the internal and external customers they deal with at our shop.

D-3 Traffic Team/District 3 - The District 3 Traffic Team is a natural work team that consists of 18 members and is split between the Montgomery County and Prince George’s County section. The team is responsible for maintaining traffic operations and answering citizen inquiries. The team responds to approximately 2400 citizen concerns annually and prepares over 1600 work orders annually to address traffic concerns. The team works closely with various divisions providing traffic engineering recommendations concerning Maryland Roads within District 3.

Practical Mathematics Application Team/District 3 - The purpose of the District 3 Practical mathematics (PM) Course Initiative Team is to provide maintenance staff with a basic math course to help prepare them for the Construction Mathematics course, one of the certification requirements of the FMT certification Program, and to enhance their understanding of basic math skills. The Math Team’s primary goal is to deliver a course that will provide motivated individuals with the opportunity to improve their basic mathematics knowledge. Enhancing math skills in our employees will also help SHA to meet its goals and objectives of “providing a safe, well maintained and attractive highway system that enhances Maryland communities, economy and environment for our customers. The team achieved it’s goals by designing and delivering a three 1/2 day Pilot PM course to a class of fifteen FMT’s and District employees.

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Teamwork has always Worked



D-3 Laurel Shop Employee Focus Team/District 3 - To form a small body of staff workers to represent or present employee concerns to Senior Management Team in a discreet and professional manner to improve shop morale. It was formed to minimize and eventually eliminate town meeting disruption to bring integrity to employee issues. The expectations are to improve conformity to chain of command, provide new hires with a sense of direction and clear understanding of shop operations and proper procedures. The achievement is insight and knowledge of various factors affecting employee morale.

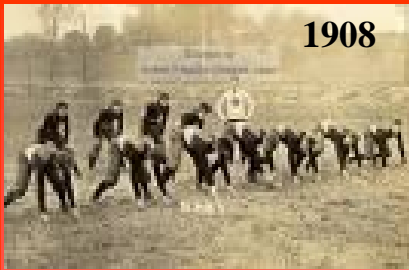
District 3 Utility Permit Inspection Team/District 3 - The District Utility Permit Inspection Team is a natural work team that has eight members. Its sole purpose is to meet the requirements of the Utilities politics and Procedures manual. The team is required to provide in-depth inspection of all permit work within District 3. Above and beyond their normal duties they are required to ensure safer Temporary Work Zones and respond to multiple emergency call outs while still providing excellent service to our customers during normal operations. The team has been able to issue 1200 permits per year FY '08, release 600 permits, issue 900 Work zone traffic reports and respond to approximately 100 emergency call outs for Water main breaks, gas line ruptures, and downed power and communication lines.

Churchville Office Team/District 4 - This team is a natural work team that on a daily basis handles daily inquiries from our external customers regarding highway safety, emergencies, or inquiries about other non-related highway issues.

District 4 Training Recognition and Awards Team/District 4 - This team's function is to plan a one day Training and Awards event for the employees of District 4 Office and Maintenance Shops. One representative from each maintenance shop was selected to represent their area on the team. We held this event at a new location and had a car/motorcycle show that all employees enjoyed. We held fundraisers all year long to support this event. We had a trainer do a workshop that all employees enjoyed with Nat Alston. We had several displays and had employees from other state area's come out with displays. Our Theme was "100 years of Customer Service".

District 4 Office Manager's Team/District 4 (Golden Ring, Owings Mills, Churchville, Hereford) - When the Office Managers classification and the District Financial Officer positions were created we all came into a District where we all knew each other by name or face, but were not really involved with each other on a day to day basis. As time went on we got to know each other thru e-mail, phone calls and meetings and realized that we had 4 shops within the same district that were doing the same thing, but doing it completely different in every shop. We had a couple of large meetings including all SAT's, Supply Officers, Procurement Officers, Office Managers and the District Financial Officer. When the smaller group of Office Manager's and the DFO started talking we ask the ADE-Maintenance if we could meet on a smaller scale to resolve some inconsistencies and then bring it back to the larger group for their approval/disapproval. We felt that we needed to work on doing things the same way and to work on problems, responsibilities, and concerns that we had with the new positions.

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Teamwork has always Worked



Churchville Shoulder Repair Team/Churchville Maintenance Facility District 4 - This team took the initiative to design and build an attachment for the back of a pick up truck that operates on the same line as the screed on a paver. This team's commitment and resourcefulness has enabled them to repair approximately 3/4 of a mile of shoulders within a time frame of 2.5 days placing more than 80 tons of asphalt on this particular project. This group worked from the very beginning toward achieving the most productivity without impacting the rest of the scheduled, summer activities. All members of this team were involved with the process and were committed to reaching a common goal of making the highways safer for the traveling public of Maryland. In today's atmosphere SHA has to continue to develop ways to do more with less and continue to maintain the level of service that is expected by our customers. We need and appreciate this kind of resourcefulness and dedication from our employees to ensure the continued success of this Administration.

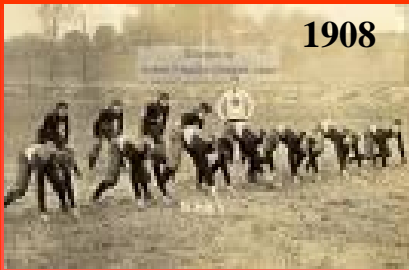
Leonardtown L-7 Career Day/Leonardtown Maintenance Shop/District 5 - The invitation to do Career Day for both Leonardtown Elementary and Great Mills Elementary came to us only a week before the event was to go on. We wanted to do a presentation on doing our part to keep the environment clean. We were hoping to get the younger students to be more aware of our environmental cleanliness. We never expected to have such a fabulous group of kids who got involved in dedicating their time to keeping our roads, rivers and woods clean. The kids at both schools enjoyed not only the presentation on what we do, but also keeping the environment clean and beautiful. The most excitement was the opportunity to get up close to our "monster" dump trucks.

Leonardtown Lucky 7 County Fair/Leonardtown Maintenance Shop/District 5 - This is our 2nd year at the St. Mary's County Fair. This year's theme was Keep Safe, Clean and Beautiful. It was a 4 day event. With the assistance of not only the quality circle, but the shop staff as well, we successfully manned our booth, had the litter critter there all day and no one had to work more than 3 shifts any given day for the duration. We decided this year to enter the Fair Parade with our Dump truck, a foreman's truck with the F.I.D.M. trailer, and the Litter Critter leading our group. To our surprise we took 2nd place for Best Entry.

Building Maintenance Team/Golden Ring Shop District 4 - The team was put in place to update, improve, and monitor the Golden Ring facility. We wanted to improve the working environment for the employees. Reduce waste, and increase our recycling efforts. Also we needed to be environmentally friendly in our daily operations. This included reducing energy consumption by upgrading numerous areas of the facility.

Leonardtown Lucky 7 - MSP Open House Team - It was with great pleasure we accepted the invitation to be a part of the 1st annual joint Safety Open House for Maryland State Police Leonardtown Barracks and the St. Mary's Sheriff's Office. Quality Circle Leonardtown Lucky 7 put together a small team to host a booth. Upon the approval of our RME, ADE, and DE, Tory DiGregorio set up Road Safety itinerary for the Leonardtown Shop. As always we had our newest Dump Truck on display along with our friend Mrs. Litter Critter. Our main focus was road safety at this open house. We had information for the kids on bicycle safety, school bus safety as well as safe crossing pamphlets.

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Teamwork has always Worked



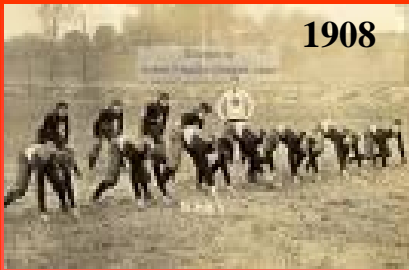
ICC Billing System Development Team/Office of Finance - The Inter-county Connector (ICC) is a mega-project that is being executed as a partnership between MdTA and SHA. In short, SHA is building the ICC and MdTA is paying for it! Ultimately, the ICC will be an MdTA facility much like the Bay Bridge or Harbor Tunnel. As such, the Office of Finance is tasked with billing MdTA on a regular basis for costs incurred by SHA with respect to the ICC. Initially, this task was carried out in a manual fashion on a monthly basis. However, as the level of activity and the amount of expenditures increased with respect to the ICC, it became apparent that OOF needed to automate the billing process to manage the volume of transactions and remain timely with the billing and collection of money from MdTA.

Federal Aide Billing - The team was formed to address the number of inactive projects brought to our attention by Federal Highway Administration (FHWA) through the SAFETEA-LU Transportation Act. The inactive projects with unexpended balances for 12 months or more needed to be reviewed and justified, de obligated, or closed. In the past the closing of projects had low priority, and it was now mandated that OOF needed to make this a priority. A few key questions we needed to have answered: If the project was active, why weren't expenditures being billed? Were other federal funding sources involved with the project active? This required Federal Aide Program Division to contact the project managers for each inactive project in order to determine the status of the project. The team expected to implement a plan that met monthly goals to reduce the number of inactive projects. Our achievements were that the team closed out a significant amount of inactive projects. We de-obligated a lot of projects which increased available funding sources to be used on more active projects.

Owings Mills Administrative and Supply Team - This group of ladies, administrative, procurement, and supply, work together like a well greased wheel. They continue to support, teach, and learn new applications in all areas of the jobs that are needed for the running of the shop. No one is behind in their work load or duties because each one will pitch in and help. They are a unique group of diversified ladies.

Invoice Processing Team 98% or Better - The Vouchers Payable Team is responsible for processing 5,700 or more invoices per month. The team also provides an on-line help in the Financial Management System (FMIS) for all the initiators in the districts and offices. Our Vouchers Payable Team ensures that all 5,700 or more invoices that are processed through the Financial Management System by the initiators are error free before forwarding to the Comptrollers Office for checks to be cut to the vendors. According to COMAR regulations, under a procurement contract, all vendors must receive a check within 30 days. Our objective is to pay 98 percent or better all vendor invoices within 30 days of receipt. In February 2008 we began to email the MDOT potential late report to the District Finance Officers twice a week. They work with the invoice initiators to process through FMIS in a timely manner, and our vendors can receive payment within 30 days.

2008 Performance Excellence Training Conference



Teamwork has always Worked



Office of Highway Development University (OHDU) Team - The team was created to develop a structured in-house training program for new OHD engineers and technicians. The primary goal of our team is to teach and guide new OHD engineers and technicians technical and project management skills that are necessary to do their jobs.

Property Notification System (PNS) Development Team - To better track and reduce duplication of notices sent to Maryland citizens relating the need for access to private property by SHA staff for highway construction projects. The Property Notification System (PNS) is an intranet application that generates notice letters and mailing labels for properties within the vicinity of a highway project. This system automates the process of creating these letters based on property information taken from the property tax system or SHAWME application and records generated notices for future queries.

The Advanced Education Road Show - The Advanced Education Roadshow team is unique Ad Hoc Team that assembled to inform the SHA employees of District 5 about the Advanced Education Program. The team visited and spoke to SHA employees in Annapolis, Glen Burnie, Prince Frederick, La Plata and Leonardtown. "This idea of having staff who are currently enrolled in the Advance Education Program of SHA take the time to explain to their peers how the program works and how they are able to fit the program into their lives came about during District 5's 2007/2008 Baldrige review process." -Greg Welker, District Engineer

Quality Assurance Toolkit (QA Toolkit) Development Team - To reduce the time it takes for inspection data to flow from construction quality control inspector who collects the data in the field, to the design office that needs to receive and process the data for decision making and reporting. A secondary purpose is to eliminate transcription errors during the process used to transmit the data.

Office of Highway Development Rate and Refer Team - Traditionally, the hiring process in the public sector is cumbersome and produces "stale" eligibility lists. At SHA the process has been targeted as an Opportunity for Improvement (OFI) through numerous channels. Hiring at the entry-level is imperative to Workforce Development and Succession planning goals in terms of not creating "gaps" in the workforce. Furthermore, Vacancy Rate Reduction has been targeted by the Business Planning process. The OHD Rate & Refer (Pilot) Program was formed in order to address issues related to hiring entry-level engineers at SHA; the backbone of the organization. In order to compete with the private sector in the ever increasing war on talent, SHA needed to take the experience to the student. The OHD Rate & Refer (Pilot) Program allows SHA to compete with the private sector in hiring by visiting college campuses, interviewing the best and brightest engineering candidates, and being able to potentially offer employment within a reasonable time period. Furthermore, the quality of the candidates far exceeds that of the eligibility list produced by the traditional monthly process.

2008 Performance Excellence Training Conference



Teamwork has always Worked



MartCP Soils and Aggregates Technician Certification Training Team - This team was formed to provide training in the area of Inspection for Soils and Aggregates during roadway construction. Our goal is to deliver an informative presentation, combined with hands on instruction to develop the necessary skills and knowledge needed to perform the highest quality of training possible to our students so they could provide the state with the highest level of workmanship on our roads. I believe my application will show that this goal was achieved.

ORE District Three Right of Way - A real estate acquisition team was formed to acquire property rights for a project located in Montgomery County involving the intersection of New Hampshire Road and Adelphi Road. The project impacted 17 properties on a roadway of approximately 0.24 miles in length. The objective of the team was to acquire all property rights prior to the project's notice to the contractors to proceed with the start of construction. The notice to proceed date was April 28, 2008.

CID Decentralization Team - In the Spring of 2006, the new Director of the Office of Construction (OOC), Mark Flack, was asked by the SHA Administrator to gather additional information and analyze whether or not there was a need to possibly reorganize the operating structure of the Construction Inspection Division (CID), an operational unit of OOC. The responsibilities of OOC as well as CID had changed over the years with no real update to the operating structure of CID. At one time, the division was the home to over 400 permanent project engineers and inspectors but through downsizing is now less than 200 budgeted PINs (prior to reorganization). Through a multi-phase plan, during FY 2008 we were able to gather information, analyze data, obtain feedback, and ultimately, implement the most efficient reorganization plan which met the most needs of our customers.

Washington County Brainstormers - We aim to improve our work and sense of camaraderie by providing opportunities to show support for one another and our community. As an organization, we are at minimal staffing levels and are continuously challenged to exceed the expected level of service we extend to our customers. In support of SHA's environmental stewardship and preservation efforts, we have adopted two ridesharing lots in an effort to reduce litter on State roadways. We recognize the reducing the amount of litter helps to improve the health of the Chesapeake Bay and its tributaries and creeks most effected by man's upstream land use and enhances highway safety for the motoring public. Efforts ultimately assist SHA in meeting its mission to provide our customers with a safe, well-maintained and attractive highway system (inclusive of ridesharing facilities) that offers mobility and supports Maryland's communities, economy, and environment.

Princess Anne Special Project Team - This team was formed because Somerset County Public School System and the Board of Education recently built a new intermediate school. The new school was built to provide a great need for the existing narrow road to widening 20 feet on each side with curbs and gutters. This allowed school buses and other vehicles to enter and exit without causing traffic jams on the main highway (MD 413). In conclusion, the project was achieved and the road expansion has been a success.



Champions of Customer Service

Tracy Patey - D1 Salisbury

Michael Eisner - D4

Ed Railey - D4

David Malkowski - D4 Lutherville

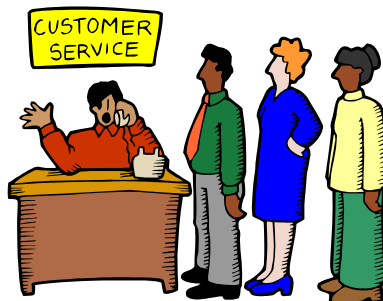
Adam Merritt - D1 Snow Hill Shop

Bryan Evans - D1 Snow Hill Shop

Rick Shown - D4

Philip "Soldier" Burch - D5

Cheryl Stambaugh - Office of Communications





Champions of Customer Service

Steve Sankuhler - Office of Materials Technology

Vicki Stewart - Office of Materials Technology

Eric Hertzfelt - Office of Administration

Dr. C. Edwin Becraft, Jr. - Office of Administration

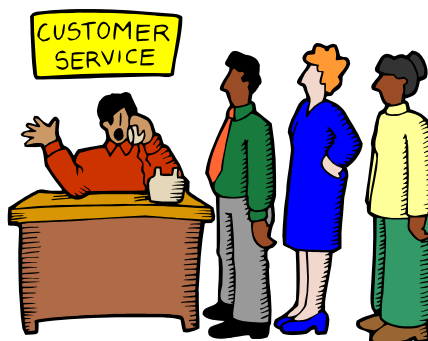
Ellen Blummer - Office of Administration

Patsy Wallis - Office of Administration

Rudie Weeks - Office of Administration

Sharon Somerville - Office of Administration

Benjamin Supan - Office of Finance



The PETC Committee would like to say.....

*Thank
you*

Lisa Alford
Glenda Barrow
Lessie Burkins
Valerie Burnette-Edgar
Theresa Fountain
Vanessa Howard
Tim Hyman
Kelly Massey
Darryl Mobley
District 3
Sid Mohan
Scot Morrell
Robbie Newton
Joe O'Hagan
Print Shop (Baltimore)
James Quade
Adam Rippeon & Dudley
Romi Shah
Cheryl Stambaugh
Joan Stark
Gail Tutko
Rudie Weeks
Carole Zentz

Appendix F

[Quarterly Report](#) [Summary Report](#)

[Skip Navigation Links](#)

Â Safety Â Mobility Â System Preservation Â Organizational Effectiveness Â Environmental Stewardship Â Customer Satisfaction Â My Listing

KPA: ORGANIZATIONAL EFFECTIVENESS

Co-Chairs: Normetha Goodrum, Betty Conners

Coordinators:Â **Lorraine Moore**

Objective: 4.12 Process Improvements

Annually, demonstrate measurable improvements in 25 SHA processes.

Owner: Cathy Rice **Objective Lead:** Becky Burk **Proxy Objective Lead:** Sid Mohan

[<<](#) | [2006](#) | [2007](#) | [2008](#) | [2009](#) | **2010** | [2011](#) | [2012](#) | [>>](#)

[Skip Navigation Links](#)

[Objective Evaluation](#) [Performance Measures](#) [Strategies](#)

Click here to see Performance Measure Profile	Click here to see details	4.12.10 D5 - Develop line-striping schedule by 7/30/2007. (Strategy Lead: Sandy Hansen)
Click here to see Performance Measure Profile	Click here to see details	4.12.20 OMT - Improve IMS process by 12/31/2007. (Strategy Lead: Denise Hunter)
Click here to see Performance Measure Profile	Click here to see details	4.12.100 this is a test. (Strategy Lead: Alex Kamamia)
Click here to see Performance Measure Profile	Click here to see details	4.12.30 CHART - Improve communication and lower monthly cost of cellular bill in order to reduce costs. (Strategy Lead: Egua Igbinosun)
Click here to see Performance Measure Profile	Click here to see details	4.12.40 OOM - Switch from current phone system to a VoIP in over to save toll charges. (Strategy Lead: Victoria Miller)
Click here to see Performance Measure Profile	Click here to see details	4.12.50 D4 - Terminate copier leases and establish new leases in order to reduce costs. (Strategy Lead: Jill Myers)
Click here to see Performance Measure Profile	Click here to see details	4.12.1 Provide process improvement workshops to offices/districts on an as-needed basis and during Baldrige self-assessment. (Strategy Lead: Becky Burk)
Click here to see Performance Measure Profile	Click here to see details	4.12.11 D6 - Reduce vacancy rate on ongoing basis. (Strategy Lead: Carol Helmstetter)
Click here to see Performance Measure Profile	Click here to see details	4.12.21 OOA - Revamp performance appraisal process by 06/30/2008. (Strategy Lead: Annette Roberts)
Click here to see Performance Measure Profile	Click here to see details	4.12.31 OA - change emphasis from large-sized firms to mid-sized firms in order to recover costs. (Strategy Lead: Kathy Renzi)
Click here to see Performance Measure Profile	Click here to see details	4.12.41 OOS - Build more concrete-only bridges in outlying areas in order to reduce costs by 06/30/2010. (Strategy Lead: Monica Pats)

Click here to see Performance Measure Profile	Click here to see details	4.12.51 D6 - Utilize videoconferencing in order to reduce travel expenses by 09/01/2010. (Strategy Lead: Bobbi Mihailovich)
Click here to see Performance Measure Profile	Click here to see details	4.12.2 Develop process matrices in line with SHA-wide and local business plans. (Strategy Lead: Becky Burk)
Click here to see Performance Measure Profile	Click here to see details	4.12.12 D7 - Improve procurement process by 10/31/2007. (Strategy Lead: Dave Coyne)
Click here to see Performance Measure Profile	Click here to see details	4.12.22 OOC- Process 95% of contractors monthly estimate payments within 10 days of receipt by 12/31/2007. (Strategy Lead: Dave Piasecki)
Click here to see Performance Measure Profile	Click here to see details	4.12.32 OC - Put an indefinite hold on Maryland Roads in order to reduce costs. (Strategy Lead: Michael Klugh)
Click here to see Performance Measure Profile	Click here to see details	4.12.42 OOTS - Switch from paper to electronic distribution of permits and invoices in order to reduce costs by 06/30/2010. (Strategy Lead: Charlie Martin)
Click here to see Performance Measure Profile	Click here to see details	4.12.52 D7 - Improve the process of obtaining copies of as-built drawings in order to reduce time and costs. (Strategy Lead: Donna Smith)
Click here to see Performance Measure Profile	Click here to see details	4.12.52 ICC - Include utility companies in the ICC contract to reduce delays and costs. (Strategy Lead: Abhay Nigam)
Click here to see Performance Measure Profile	Click here to see details	4.12.3 On a quarterly basis, the Process Improvement and Management VIP team will share, collect and disseminate best practices. (Strategy Lead: Becky Burk)
Click here to see Performance Measure Profile	Click here to see details	4.12.13 OA - Develop a fraud awareness program and manual by 12/31/2007. (Strategy Lead: Sheri Sanford)
Click here to see Performance Measure Profile	Click here to see details	4.12.23 OOF - Implement ICC billing module by 12/31/2007. (Strategy Lead: Ben Supan)
Click here to see Performance Measure Profile	Click here to see details	4.12.33 OED - Improve invoice processing/contract management flow to include MBE by 08/30/2009. (Strategy Lead: Sonal Sanghavi)
Click here to see Performance Measure Profile	Click here to see details	4.12.43 OPC - Automate the distribution of Requests for Technical Proposals and Requests for Price Proposals 12/31/2010. (Strategy Lead: Bob Gay)
Click here to see Performance Measure Profile	Click here to see details	4.12.53 D5 - Eliminate the district janitorial contract in order to reduce costs. (Strategy Lead: Sandy Hansen)
Click here to see Performance Measure Profile	Click here to see details	4.12.4 Annually, the Performance Excellence Training Conference will focus on and demonstrate statewide process improvements. (Strategy Lead: Becky Burk)

Profile		
Click here to see Performance Measure Profile	Click here to see details	4.12.14 OOS - Update policies and procedures manual by 12/31/2007. (Strategy Lead: Monica Pats)
Click here to see Performance Measure Profile	Click here to see details	4.12.24 OOM - Improve procurement process for commodities by 10/31/2007. (Strategy Lead: Janice Harris)
Click here to see Performance Measure Profile	Click here to see details	4.12.34 OHD - Switch to electronic bids in order to realize a cost savings from prining, reduced storage by 06/30/2010. (Strategy Lead: Lisa Choplin)
Click here to see Performance Measure Profile	Click here to see details	4.12.44 OPPE - Automate correspondence, leave approval, tourbook distribution and eliminate a plotter 06/30/2010. (Strategy Lead: Mary Davidson)
Click here to see Performance Measure Profile	Click here to see details	4.12.54 Implement a new fund 24 tracking system. (Strategy Lead: Sonal Sanghavi)
Click here to see Performance Measure Profile	Click here to see details	4.12.5 Annually, the Baldrige self-assessment offices will develop at least one opportunity for improvement (OFI) based on Category 6, Process Improvement and Management. (Strategy Lead: Becky Burk)
Click here to see Performance Measure Profile	Click here to see details	4.12.15 OC - Database tracking assignments (internal) by 06/08/2008. (Strategy Lead: Cheryl Stambaugh)
Click here to see Performance Measure Profile	Click here to see details	4.12.25 OOTS - Implement electronic Design Request document by 12/31/2007. (Strategy Lead: Charlie Martin)
Click here to see Performance Measure Profile	Click here to see details	4.12.35 OIT - Use Wake on Lan technology to turn off PC's at night in order to save electricity charges. (Strategy Lead: Glenn Donithan)
Click here to see Performance Measure Profile	Click here to see details	4.12.45 OPR - Changed NCHRP from hard copy to electronic copy in order to save costs. (Strategy Lead: Eleanor Huber)
Click here to see Performance Measure Profile	Click here to see details	4.12.6 D1 - 100% compliance on ADA accessibility on all capital and maintenance projects on ongoing basis. (Strategy Lead: Ravi Ganvir)
Click here to see Performance Measure Profile	Click here to see details	4.12.16 OED - Improve sound barrier decision-making process by 08/07/2008. (Strategy Lead: Sonal Sanghavi)
Click here to see Performance Measure Profile	Click here to see details	4.12.26 OPC - Reduce turnaround time on undesignated subcontractor approval process on ongoing basis. (Strategy Lead: Bob Gay)
Click here to see Performance Measure Profile	Click here to see details	4.12.36 OMT - Negotiate with cell phone company to obtain a lower rate for the existing plan. (Strategy Lead: Woody Hood)
Click here to see Performance Measure Profile	Click here to see details	4.12.46 ORE - Develop a process to charge developer for Right of Way requests in order to recover costs by 01/01/2010. (Strategy Lead: Rhonda Collins)

Measure Profile	details	
Click here to see Performance Measure Profile	Click here to see details	4.12.7 D2 -Reduce hours of service at Bay Country rest area in order to reduce costs. (Strategy Lead: Karen Russo)
Click here to see Performance Measure Profile	Click here to see details	4.12.17 OEO - Improve compliance review process by 10/01/2007. (Strategy Lead: Karen Shipley)
Click here to see Performance Measure Profile	Click here to see details	4.12.27 OPPE - Improve agreements process by 10/31/2007. (Strategy Lead: Greg Slater)
Click here to see Performance Measure Profile	Click here to see details	4.12.37 OOA - Reduce supply orders approximately 37% in order to reduce costs. (Strategy Lead: Jeff Qualey)
Click here to see Performance Measure Profile	Click here to see details	4.12.47 OEO - Utilize use of e-training for Sexual Harrassment Prevention training in order to reduce costs. (Strategy Lead: Karen Shipley)
Click here to see Performance Measure Profile	Click here to see details	4.12.8 D3 - Improve delivery of work orders from Traffic to Maintenance by 12/31/2007. (Strategy Lead: Jeffrey Wentz)
Click here to see Performance Measure Profile	Click here to see details	4.12.18 OHD - Improve electronic bidding process by 06/30/2008. (Strategy Lead: Norie Calvert)
Click here to see Performance Measure Profile	Click here to see details	4.12.28 OPR - Develop evaluation tool for requests by 09/30/2007. (Strategy Lead: Eleanor Huber)
Click here to see Performance Measure Profile	Click here to see details	4.12.38 OOC - Decentralize D5 and D7's CID inspection staff in order to reduce travel expenses by 06/30/2010. (Strategy Lead: Joan Stark)
Click here to see Performance Measure Profile	Click here to see details	4.12.48 D1 - Utilize videoconferencing in order to reduce travel expenses 06/30/2010. (Strategy Lead: Tracy Patey)
Click here to see Performance Measure Profile	Click here to see details	4.12.9 D4 - Reduce number of adjustments to inventory by 6/30/2008. (Strategy Lead: Gary Cuno)
Click here to see Performance Measure Profile	Click here to see details	4.12.19 OIT - Develop on-line customer survey by 06/30/2008. (Strategy Lead: Jim Yarsky)
Click here to see Performance Measure Profile	Click here to see details	4.12.29 ORE - Develop uniform process for cost estimates by 12/31/2007. (Strategy Lead: Joe Miklochik)
Click here to see Performance Measure Profile	Click here to see details	4.12.39 OOF - Reduce the number of inactive projects as brought to our attention by FHWA. (Strategy Lead: Ben Supan)

Click here to see Performance Measure Profile	Click here to see details	4.12.49 D3 - Implement a recycling program in order to reduce disposal costs by 06/30/2010. (Strategy Lead: Jeffrey Wentz)
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