DEPARTMENT OF THE NAVY
NAVAL FACILITIES ENGINEERING COMMAND
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NAVFACINST 11013.40B
CI
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NAVFAC INSTRUCTION 11013.40B

From: Commander, Naval Facilities Engineering Command

Subj: PROJECT PARTNERING ON FACILITIES CONSTRUCTION PROJECTS

Encl: (1) NAVFAC Project Partnering Implementation Guide (version 1.0)

1. Purpose. To improve the use of Partnering on Naval Facilities Engineering Command (NAVFAC) projects.

2. Cancellation. NAVFACINST 11013.40A.

3. Background. Partnering is a proactive project management process to achieve common project goals through improved communications, problem solving, and commitment to project success. Since 1991, NAVFAC has formally implemented project partnering focused on the post-award workshop with the construction contractor. As a result, we have recorded improvements in cost, schedule, quality, and safety performance on construction contracts.

As our nation faces the Great Power Competition, Navy projects have become more complex and tighter control of cost and schedule is necessary. Therefore, NAVFAC is broadening the partnering process to encompass the entire facilities acquisition life-cycle, from planning to disposal, incorporating best practices from multiple echelons and various business sectors.

4. Policy. Partnering shall be implemented as detailed in enclosure (1) to improve efficiency, communication, trust, and teamwork. Furthermore, partnering success will be measured by our performance with respect to Supported Commander operational requirements (scope), financial constraints (cost), time constraints (schedule), facility needs (quality), and operational risk management (safety).

5. Action. Echelon 3 Commanders and echelon 4 Commanding Officers shall ensure that partnering is fully implemented with the commitment and involvement of key stakeholders during all phases of NAVFAC administered construction projects. The project manager (during pre-award) and the Facilities Engineering and Acquisition Director (during post-award) have responsibility and accountability in partnering implementation and, ultimately, in the success of all assigned projects.

6. Records Management.

a. Records created as a result of this instruction, regardless of format or media, must be maintained and dispositioned per the records disposition schedules located on the Department

of the Navy/Assistant for Administration (DON/AA), Directives and Records Management Division (DRMD) portal page at https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/Records-and-Information-Management/Approved%20Records%20Schedules/Forms/AllItems.aspx.

b. For questions concerning the management of records related to this instruction [notice, change transmittal] or the records disposition schedules, please contact the local records manager or the DON/AA DRMD program office.

7. Review and Effective Date. Per Office of the Chief of Naval Operations Instruction (OPNAVINST) 5215.17A, the Capital Improvements Business Line will review this instruction annually around the anniversary of its issuance date to ensure applicability, currency, and consistency with Federal, Department of Defense, Secretary of the Navy, and Navy policy and statutory authority using OPNAV 5215/40 Review of Instruction. This instruction will be in effect for 10 years, unless revised or cancelled in the interim, and will be reissued by the 10-year anniversary date if it is still required, unless it meets one of the exceptions in OPNAVINST 5215.17A, paragraph nine. Otherwise, if the instruction is no longer required, it will be processed for cancellation as soon as the need for cancellation is known following the guidance in OPNAV Manual 5215.1 of May 2016.

J. W. KORKA

Releasability and distribution:
This instruction is cleared for public release and is available electronically only via the NAVFAC Portal Library.

NAVAL FACILITIES ENGINEERING COMMAND

PROJECT PARTNERING IMPLEMENTATION GUIDE

Version 1.0 – 10/26/2020

Enclosure (1)

Contents

CHAPTER 1. Background

1-1 **What is Partnering?**

1. Partnering is a *proactive management approach* that establishes collaboration and commitment between two or more organizations for the purpose of achieving specific business objectives by maximizing the effectiveness of each participant's resources.

2. Partnering consists of a mindset, a commitment, and a process for successfully delivering the project in accordance with team goals—which are commonly identified in terms of *scope, cost, schedule, quality, safety,* and *compliance* effectiveness.

a. Partnering normally requires *EACH* project member to focus on the *TEAM's* collective expectations and success.

b. Partnering does not replace the terms and conditions of the contract.

3. Successful partnering requires individual "soft skills" (i.e. organization, communication, and problem-solving). To maximize partnering success, senior management in all organizations must assign the most appropriate and experienced personnel with these crucial skills and the proper level of authority to the largest, most-complex, most-difficult, and highest-visibility projects.

1-2 **Purpose of Partnering**.

1. According to the Construction Industry Institute® (CII), there are two distinct types of partnering relationships, which are used for different purposes, i.e.

a. Strategic alliances (typically formed by upper management at the headquarters levels—but may also occur at divisional and regional levels) are focused on the *long-term* relationship goals to sustain maximum benefits among the agreeing organizations.

b. Project-specific partnering (typically formed by the requirements owner or their representative) is generally focused on *short-term* single-project success.

2. This implementation guide is intended to address project-specific partnering.

1-3 **Benefits of Partnering**

1. According to CII, the expected benefits of project partnering include improved communication, efficiency and cost effectiveness, increased opportunity for innovation, and the continuous improvement of quality products and services. Additional or related benefits may also include:

a. Focus on Core Business

b. Increased Productivity

c. Maximized Effectiveness of Resources

d. Long-Term Process Improvements

e. Innovations

f. High Quality of Work

g. Improved Technology

h. Highly Cooperative Relationships

i. Contribution to Community

2. To realize these benefits, partnering should be applied to all projects.

1-4 **Partnering Throughout the Facilities Life-Cycle**

1. NAVFAC's previous partnering instruction (NAVFACINST 11013.40A) focused on partnering during the post-award construction phase (e.g. partnering workshops, charters, etc. between the Government and the construction contractor). However, according to CII, project partnering is actually a five-phase process, which includes steps before the post-award construction phase (see Figure 1).

2. To align with the CII model, partnering should occur during the "pre-award" planning and design phases where the *owner's internal alignment* and *partner selection* occur.

3. In addition, the Assistant Secretary of the Navy (Energy, Installations and Environment) identifies expectations for meeting environmental planning timelines through enhanced communication and collaboration (i.e. partnering) from all affected entities[1]. Further, according to the U.S. Army Corps of Engineers (USACE)[2], partnering occurs "during contract performance or *at any other time when working with others*." Therefore, partnering must involve ALL KEY TEAM MEMBERS (e.g. Government and Contractor) and address ALL PHASES OF THE PROJECT.

4. In addition to the post-award construction phase, this implementation guide will add a new focus on partnering roles and responsibilities during the pre-award (planning and design) phases and will address the operation & maintenance (O&M) and disposal phases (from a planning and budgeting perspective).

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[1] ASN(EI&E) Memorandum of 16 April 2019, Implementation of ASN(EI&E) Environmental Planning Timelines Memorandum

[2]USACE Pamphlet # 4 "PARTNERING: A Tool for USACE, Engineering, Construction, and Operations" December 1991, revised May 2010

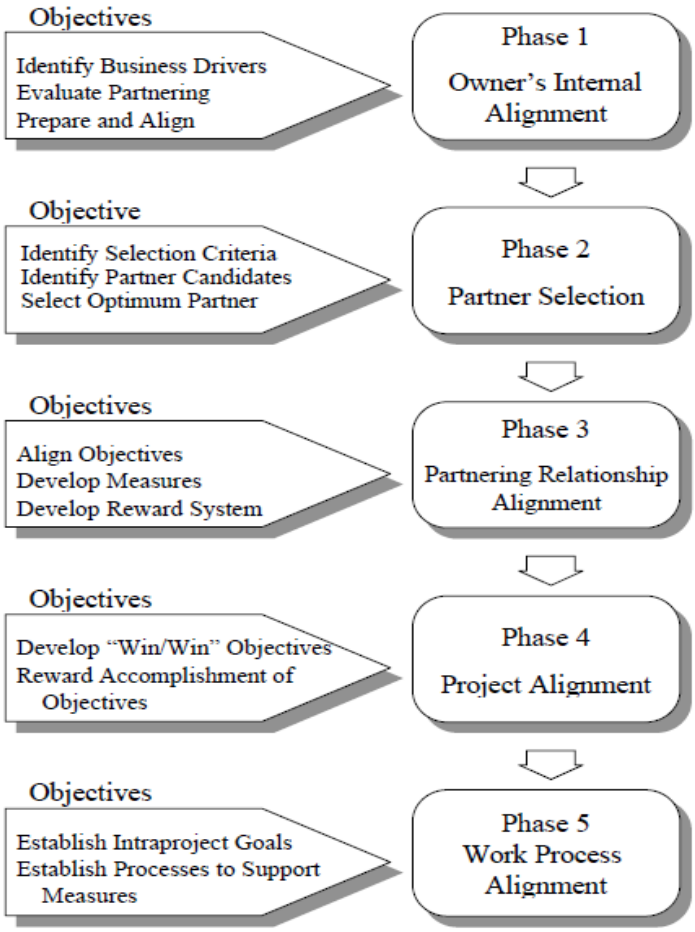

Figure 1. Five Phases of the Partnering Process. From *Partnering Toolkit*. Copyright 1996 by Construction Industry Institute®. Reprinted with permission.

1-5 NAVFAC Partnering Policy

1. All facilities construction projects shall implement the processes in this guide to the maximum extent practicable (including as outlined for the planning and design phases).

2. For other contracts, such as Facility Support Contracts (FSC), Real Estate Contracts, Enhanced Use Leases (EUL), Public-Private Ventures (PPV), Environmental Contracts, etc., please refer to guidance from the respective NAVFAC Business Line Communities.

3. Note, if required, Facilities Engineering Command (FEC) Operations Division (OPS) may approve requests for full or partial exemptions to the implementation of project partnering, for example, where the Government and Contractor key stakeholders have already successfully participated in previous formal partnering session(s) with each other.

CHAPTER 2. Project Partnering Implementation

2-1 Project Life Cycle

1. Project partnering over the entire project life cycle provides continuous improvement to the delivery of NAVFAC products and services. The project and development life cycle consist of multiple phases, where each phase is a collection of logically related project activities as depicted in Figure 2. During each phase, the project includes various key stakeholders and project team members—each with unique responsibilities and deliverables that facilitate communications to support partnering and, ultimately, project success.

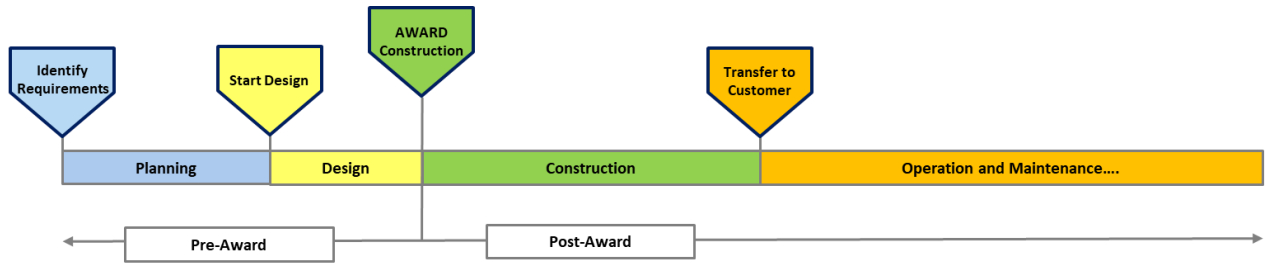

Figure 2. Project Life Cycle

Occasionally, some phases may overlap. For example, for Design-Build Projects, the design typically extends into the construction phase and is completed by the construction contractor. Phases before the award of the construction contract are typically referred to as "pre-award," and phases after the award of the construction contract are typically referred to as "post-award."

2. **Pre-Award Implementation**. The person who is assigned to the project manager role is accountable and responsible for implementing the pre-award planning and design partnering effort, as required by this implementation guide. For larger, more complex projects, this person is typically designated as a Project Manager (PM). For smaller, less complex (and typically local) projects, this person may be the Design Manager who is performing the PM duties. In either case, this project lead must be assigned to the project as early as possible, and must ensure communication of the project requirements, preparation of the project deliverables, and resolution of project issues (and/or coordination of mitigation strategies with the Supported Commander representative and the Facilities Engineering and Acquisition Division Director).

3. **Post-Award Implementation**. The Facilities Engineering and Acquisition Division (FEAD) Director has a vested interest in the success of every project at the installation. Therefore, the FEAD Director is accountable and responsible for implementing the post-award construction partnering effort, as required by this implementation guide. The FEAD Director must be actively engaged on the projects that require "Formal Partnering" (see page 12) and must provide guidance and direction to the field staff in resolving the project issues and coordinating mitigation strategies with the project manager and/or the installation-level representative of the Supported Commander.

2-2 Conduct Partnering During the Planning Phase

1. The project planning phase typically involves the owner and the planner (in coordination with others) in the preparation of the planning documents. Decisions made by the team members during this phase have a significant impact on the remaining steps and phases. For example, in addition to the delivery of the facility, the operation and maintenance (O&M) and disposal (e.g. demolition and/or repurposing) must be part of the economic analysis in order to be planned and budgeted accordingly. Although a formal partnering workshop is not required during this phase, the normal responsibilities and deliverables identified below are described herein to emphasize the alignment with the partnering framework, especially regarding collaboration and communication of requirements.

2. **Supported Commander Partnering Responsibilities.** Project success begins with the SC. The SC owns the mission requirements (e.g. business drivers, functions, and goals) and is therefore responsible for establishing the overall project or facility requirements with the Design and Construction Agent (DCA) and/or the installation/shore integrator (e.g. CNIC or MCICOM) to ensure success. Typically, an Installation-Level SC Representative (i.e. the tenant or facility manager) is assigned to engage with the Public Works Department (PWD) to begin the planning for a new facility. To minimize future project disruptions, the SC representative must perform partnering-related (communication and collaboration) functions, which include:

a. Identify and provide well-defined requirements (business drivers, Mission Need Date [MND], functions, goals, fund source, etc.) to the facilities planner,

b. Plan, budget, and coordinate all land acquisition, demolition, environmental, equipment-outfitting, utility, special-security, facility O&M, disposal, and other necessary facilities-related costs and inter-organizational agreements,

c. Engage with both the SC chain of command and the installation chain of command to ensure higher level alignment and to ensure future sponsorship of the project,

d. Minimize the introduction of high-level risks (e.g. late program additions, late project changes, etc.) and ensure any necessary mitigations are in place, and

e. Validate project requirements established in the planning documents.

3. **Facility Planner Partnering Responsibilities.** The facility planner is the focal point for the SC in establishing the facility and project requirements. The facility planner, with information provided by the SC, must perform partnering-related (communication and collaboration) functions, which include:

a. Direct, manage, and ensure the preparation and communication of the **planning phase partnering deliverables** with all project stakeholders**, as applicable, e.g.**:

(1) Basic Facility Requirements (BFR), including MND, aligned with installation master plan

(2) Facility Planning Document (FPD)

(3) "Installation-level" (a.k.a. "PWD-level") DD Form 1391

(4) Class 5 project budget estimate

(5) Feasibility study or Business Case Analysis (BCA)

(6) Environmental planning checklists to identify, plan, and complete all permits, approvals, mitigations, and/or authorizations, such as National Environmental Protection Act (NEPA), Overseas Environmental Planning, Cultural Resources (CR), National Historical Preservation Act (NHPA), Natural Resources, Environmental Site Assessments, Marine Mammal Protection Act (MMPA), Clean Water Act, etc. under the direction of the Environmental Business Line (EVBL) throughout the project life cycle.

(7) Site approvals (e.g. explosives safety),

b. Engage with PWD leadership to ensure awareness, staffing, resourcing, and support of the project,

c. Develop the initial Key Stakeholder list,

d. Develop the initial Risk Register, ensuring project risks are captured and communicated with the SC as well as ensuring these risks are captured in the Class 5 project budget estimate,

e. Document SC acceptance of the project scope and requirements, establishing the scope baseline, so that requirements and project changes can be managed effectively as the project moves forward,

f. Convey the owner's requirements and deliverables to the Project Manager (PM)—or the Design Manager (DM), if applicable (e.g. for local projects).

2-3 Conduct Partnering During the Design Phase

1. During the design phase, the Project Design Team (PDT) continues to progressively elaborate the owner's requirements (via the DM). While there are many milestones during the design phase of a project, two key milestones after Preliminary Design Authority[3], (PDA) are: Final Design Authority (FDA) and Design Release (DR). Each milestone has specific deliverables that must be communicated to ensure effective project partnering. The development of these documents must begin soon after PDA (or project initiation) and the project's high visibility level, partnering level, and MND must be clearly identified by the FDA milestone (or by the time design funds are received, e.g. for non-MCON). Although a **formal** partnering workshop is not required during this phase, the normal responsibilities and deliverables are described herein to

[3] Or equivalent term or process for non-MCON projects

emphasize the alignment with the partnering framework, especially regarding collaboration and communication of requirements.

2. **Supported Commander Responsibilities.** By funding the project as it transitions from the planning phase to the design phase, the SC at the Region-Level has inherently committed support for the project and should be involved in the project development. At the conclusion of planning/programming phase, the stakeholder must agree to and sign-off on the project scope via a Stakeholder Agreement. In order to support the partnering process, the installation-level and region-level SC must perform partnering-related communication and collaboration functions, which include:

a. Ensure all land acquisition, demolition, environmental, equipment-outfitting, utility, special-security, facility O&M, disposal, and other necessary facilities-related functions and inter-organizational agreements are properly coordinated and included in the Program Objective Memorandum (POM) and/or Future Years Defense Program (FYDP),

b. Continue to engage with the Regional Commander and engage with Resource Sponsor (e.g. OPNAV N4, or MCICOM, or other) to ensure awareness, staffing, resourcing, and support of the project, and

c. Actively participate in the design review meetings, validate scope and design development, and minimize customer-requested changes.

3. **Project Manager Partnering Responsibilities.** As the project team leader, the PM works closely with the DM to integrate the design product and service into the project to achieve the project objectives. For smaller projects, of lower complexity, especially at PWDs, project management is a function performed by the DM. The PM is responsible for creating and managing the *key project management documents* that support partnering (e.g. Project Charter, Project Management Plan, Risk Register, Escalation Matrix, etc.) and that will be updated throughout the life of the project. The completed risk register and escalation matrix are incorporated into the Project Management Plan. To facilitate the generation of these documents, an informal partnering workshop (e.g. PM Plan meeting) should be conducted with the key stakeholders (see APPENDIX A. Partnering Workshop AttendeesAPPENDIX A. Partnering Workshop Attendees). To ensure project partnering (communication and collaboration), the PM must be assigned and engaged as early as possible and must perform partnering-related (communication and collaboration) functions, which include[4]:

a. Continue to identify and/or establish (in coordination with the Planning & Operations Division [OPS]):

(1) Key stakeholders and decision-makers (note, this is a validation and refinement of the Stakeholder list developed by the Facility Planner)

[4] For detailed PM functions, please refer to the latest NAVFAC PM Manual.

(2) High visibility level[5] and Complexity Determination of the project

(3) Partnering level[6],

b. Convey the owner's requirements to the design team,

c. Engage with the field office leadership to ensure awareness, staffing, resourcing, and support (e.g. work induction, constructability review, etc.) for the project,

d. In coordination with appropriate OPS, ACQ, and business line leadership, consider implementing innovative facilities management delivery methods, such as Design-Build-Operate-Maintain (DBOM) or Build-Operate-Transfer (BOT), especially for technically complex facilities, where utilizing the same contractor for operations and maintenance as for construction is the most advantageous life-cycle approach for the customer,

e. In coordination with appropriate OPS, ACQ, and business line leadership, consider implementing innovative management processes, such as Early Contractor Involvement (ECI), Collaborative Bid-Build (CBB) [7], and qualification-based selections[8] to improve the partner selection process[9], especially for projects with significant schedule limitations (leveraging fast-tracking), technical-complexity, and high-visibility,

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[5] NAVFAC policy establishes reporting tiers or "high-visibility levels" (see KPI Implementation Policy).

[6] Unified Facilities Guide Specification Section (UFGS) 01 30 00 outlines two partnering levels. Generally, Formal Partnering is a collaboration workshop led by an external or professional facilitator (e.g. contractor 3rd party), while Informal Partnering is a collaboration workshop led by an internal or Government team member (e.g. FEAD/ROICC personnel).

[7] ECI (normally used for Design-Bid-Build) and CBB (normally used for Design-Build):

- Provide a more proactive and collaborative environment that establishes a partnership with the entire project team (Contractor, Designer, and Owner).
- Utilize the preconstruction period that includes the Contractor, Designers, Owner Representatives, and other Key Stakeholders to plan for and mitigate project risk in advance.
- Provide a period prior to bid to pre-qualify subcontractors to ensure they are financially stable and capable of completing the project. This will reduce issues on projects, reducing and typically eliminating unwanted claims that could lead to litigation.
- Utilize the preconstruction period to create a more accurate overall project schedule. This results in fewer project delays overall.
- Allow the contractor to provide feedback on the design during the preconstruction period to help control cost. When done properly there will be a more accurate overall project budget prior to bid resulting in less rebids.

[8] Due to the challenges in selecting the "optimal" partner on DoD contracts, a focus on Contractor qualifications is necessary, especially on high-risk, technically-complex projects.

[9] "Partner Selection" is Phase 2 of the CII Partnering Model.

f. Lead all key stakeholders and coordinate and communicate the **design phase project partnering documents[10], required before or at FDA, as applicable, e.g.**:

(1) Project Charter

(2) Project Management Plan (PMP), including Risk Register and Escalation Matrix (AKA Issues Resolution Ladder)

(3) Updated MND, coordinated with OPS, and any necessary mitigations

(4) "Region-level" (a.k.a. "Budget-Ready") DD 1391

(5) Cost and schedule estimate for budget authorization and project solicitation

(6) Progress plans and specifications,

g. Lead all key stakeholders and coordinate and communicate the **design phase project partnering documents, required before or at DR, as applicable, e.g.**:

(1) Updated MND, coordinated with OPS, and any necessary mitigations

(2) Updated project management documents

(3) Cost and schedule estimate for bid (Class 1 for DBB or Class 3 for DB)

(4) Final plans and specifications (100% level), and

h. Ensure all planning and environmental documentation and requirements have been completed prior to contract award.

4. **Design Manager Responsibilities.** The DM is responsible for translating the facilities functions and owner's goals into constructible and biddable engineering drawings and specifications. To ensure project partnering (communication and collaboration), the DM must be engaged with the PM as early as possible and must perform partnering-related (communication and collaboration) functions, which include:

a. Lead the Design Charrette (or Functional and Conceptual Design Meeting) with all key stakeholders immediately after PDA and/or FDA or as soon as possible,

b. Convey the owner's requirements via plans and specifications to the field office construction oversight team and ensure a constructability review and a review of the estimated construction duration has been performed,

[10] Note, because the construction contract is normally not awarded at this point, none of the design phase deliverables will normally have an agreement from the Construction Contractor.

c. Ensure a Value Engineering Study has been performed, if applicable,

d. Incorporate the appropriate section for partnering in the project specifications package (UFGS 01 30 00 or design-build template),

e. Determine and coordinate Post Construction Award Services required and appropriate cost estimate, and

f. Ensure design changes and requirements are coordinated with key stakeholders to minimize impact to timelines (e.g. project-specific environmental requirements, such as UFGS 01 57 19, UFGS 01 57 20, etc., must be properly incorporated).

5. **Construction Contracting Officer's Representative (COR), Construction Engineer (CE), or Construction Manager (CM) responsibilities.** To ensure project partnering (communication and collaboration), the Construction COR, CE, or CM must be assigned and engaged on the project as early as possible during the design phase. During pre-final design stage, the Construction COR, CE, or CM must review the plans and specification for Design-Bid-Build (DBB) or the Request for Proposal (RFP) for Design-Build (DB) to ensure constructability, including the front-end Division 01 specifications to address any special contractual requirements, e.g. delayed start, necessary phasing, lay down areas, utilities tie-ins, duration, environmental mitigations, etc.

2-4 Conduct Partnering During the Construction Phase

1. The post-award partnering level is established by the PM in coordination with OPS by incorporating (during the design phases) the applicable UFGS 01 30 00.

a. **"Formal Partnering"** (i.e. team workshop led by an external or professional facilitator) shall be conducted on all Command designated high-visibility contracts greater than one million dollars (>$1M). Note,

(1) For "Echelon II" and "Echelon III" high visibility projects, the COR must coordinate with the professional facilitator to follow APPENDIX B. Formal Partnering Plan and APPENDIX C. Formal Partnering Charter,

(2) For "Echelon IV" high visibility projects, the professional facilitator may use any acceptable formal partnering format, and

(3) Follow-on partnering workshops should occur at quarterly interval, key meetings (e.g. Initial Design Kickoff, Pre-construction kickoff, etc.), and/or at key accomplishment events, e.g. Topping-Out, Pre-Closeout, etc.

b. **"Informal Partnering"** (i.e. team workshop led by an internal or Government facilitator) shall be conducted, as provided in NAVFAC Informal Partnering Portfolio, on all other facilities construction contracts.

2. During the construction phase, the owner's requirements should have already been clearly established, and environmental approvals, permits, consultations, and authorizations should have already been completed to minimize project disruptions. Partnering, at least in the form of open communication and coordination, should have been implemented during the planning and design phases to minimize the number of post-award Requests for Information (RFIs) and proposed changes (PCs) during construction.

3. **Design Manager Responsibilities.** To ensure project, the DM must be engaged with the post-award COR as early as possible and must perform partnering-related (communication and collaboration) functions, which include:

a. Convey the owner's requirements, including environmental compliance requirements (e.g. biological or archeological monitoring, light/noise/time restrictions, etc. that result from completed consultations), via plans and specifications to the field office construction oversight team, and

b. Prioritize Post Construction Award Services (PCAS) and/or Post Award Design Support (PADS) to reduce response times for contractor RFIs, submittals, issues, PCs, and contract modifications, and

c. Focus on problem-solving and reasonable consideration of alternate solutions when presented by designers or contractors, including determining whether an upward or downward adjustment in price is necessary.

4. **Construction COR responsibilities.** The Construction COR (typically a CE or CM) is the focal point during the construction phase. During the construction phase, several partnering documents (such as the risk register, project charter, and escalation matrix) must be updated. To facilitate the update of these documents, a partnering workshop must be conducted with the key stakeholders. The COR must be assigned and be engaged as early as possible and must perform partnering-related (communication and collaboration) functions, which include:

a. Coordinate with key stakeholders to participate in the initial and follow-on partnering workshop with the construction contractor (see APPENDIX A. Partnering Workshop Attendees).

b. Coordinate all changes with key stakeholders and decision-makers to provide timely responses to RFIs, submittals, modifications, payments, and other issues so as to not impact the construction critical path and to not impact the contractor's ability to finance the construction operations, and

c. Ensure the partnering facilitator provides to the PM (for incorporation into the PMP) the following **construction-phase partnering deliverables, as applicable, e.g.**:

(1) Risk Register

(2) Partnering Agreement/Project Charter (updated with the KTR's information)

(3) Escalation Matrix (updated with the KTR's information)

(4) Team Health Survey

(5) Note, the above guidance supersedes the partnering information contained in the KPI Implementation guide issued under Kilo-Gram 20-02. The NAVFAC Informal Partnering Portfolio hereby remains a useful reference for INFORMAL partnering

c. Ensure that, after the facility has been turned over to the customer, the **construction *completion* deliverables** covering facility operations and maintenance (O&M) and real property inventory accounting are delivered to:

(1) Public Works Department (e.g. as-built drawings, O&M support information, etc.) and

(2) Asset Management (e.g. DD Form 1354 Transfer of Real Property).

5. **Project Manager Partnering Responsibilities.** The PM is responsible for updating the *final* key deliverables that support partnering (e.g. Project Management Plan, Project Charter, Risk Register, Escalation Matrix, etc.).

2-5 Assess and Improve the Implementation of Project Partnering

1. Programmatically, the success of partnering is measured through NAVFAC's established Key Performance Indicators (KPIs). These KPIs are also measured at the project level during the active pre-award phase, and, as identified in APPENDIX B. Formal Partnering Plan, KPIs are also measured at the contract level during the active post-award phase. KPIs and other metrics are continuously analyzed by NAVFAC to assess how well NAVFAC is achieving its corporate goals of improving *cost, schedule, quality, safety,* and *compliance* effectiveness. Accordingly, NAVFAC will continue to adjust its partnering processes to align with necessary changes, technological advances, and other industry best practices.

2. At the completion of the project, the key stakeholders should conduct a final partnering session to assess how well the project team actually achieved the partnering goals outlined in the project's Partnering Charter. The project team should answer the following four (4) basic questions pertaining to the various facets and phases of the partnering process:

1. What worked well?	**2. What didn't work well?**
4. What should stay the same?	**3. What should change?**

3. The responses to these questions should be communicated through the Chain of Command to the Capital Improvements Business Line so that NAVFAC's partnering process and future project performance will continue to improve. Project partnering-related documents and information should be uploaded into eProjects, eContracts, eCMS, or other designated electronic system.

APPENDIX A. Partnering Workshop Attendees

1. Table 1 provides the required attendees at the partnering workshop meeting. Participation is necessary to establish the required deliverables that address the improvement of trust, communication, and commitment within the project team.

Visibility	NAVFAC	Contractor	Client	Designer of Record
All	FEAD/ROICC PMEB SGE CE (mil/civ) CM (civ/KSP) ET PCO/ACO/CSM PM Client Liaison EV Rep	Ktr PM Superintendent QC Manager SSHO SubKtr Reps KTR's AE/Consultant	Client/Tenant Reps Facility Manager FEAD Director PWO/DPWO Safety Reps Specialty Reps EV SMEs/Reps AM/RPAO	DM AIC/EIC Consultant's Reps

Table 1. Required Attendees at Partnering Workshop Meetings

2. In addition, Table 2 provides the upper management stakeholders (at the designated levels) who should attend the kick-off session of each partnering workshop or meeting to provide strategic guidance to the project team. Note, the visibility level of a project may change, as directed by OPS, based on incident, funding, or key stakeholder interest.

Visibility	NAVFAC	Contractor	Client	Designer of Record
Ech 2 or higher	LANT/PAC COM LANT/PAC OPS	Corp Pres/Owner/CEO	TYCOM – Flag	Corp Pres/Owner/CEO
Ech 3 or higher	FEC/OICC CO FEC OPS	Exec/Regional VP/COO	TYCOM – 06	Exec/ Reg'l VP/COO
Ech 4 or higher	FEC OPS	Senior/Exec/Reg'l VP	Bill Payer/User CO	Senior/Exec/Reg'l VP

Table 2. Upper Management Participants at Partnering Workshop Meetings

3. Note, personnel added to the team after the initial and follow-on workshops must be familiar with and should sign the partnering agreement.

APPENDIX B. Formal Partnering Plan

Partnering Agreement, Construction Phase

[PROJECT TITLE]
[PROJECT LOCATION]

Section I. Partnering Agreement

As required by the construction contract, this partnering agreement is established for the construction phase of project titled [PROJECT TITLE] at [PROJECT LOCATION].

The Partnering Agreement (Agreement) complements the Project Management Plan (PMP) between [SUPPORTED COMMANDER ORGANIZATION] and Naval Facilities Engineering Command (NAVFAC) [signed on (DATE)]. The Agreement outlines the purpose, benefits, participating stakeholders, governance structure, expectations, frequency of partnering engagement, and identifies the collective commitments of all the project participants to meet the definitions of success outlined in this agreement.

Section II: Stakeholder Leadership Commitment

[SUPPORTED COMMANDER ORG]	Name/Signature	Date
	Name/Signature	Date
[OTHER KEY STAKE HOLDER ORG]	Name/Signature	Date
	Name/Signature	Date
NAVFAC [COMPONENT]	Name/Signature	Date
	Name/Signature	Date
	Name/Signature	Date
[DESIGNER OF RECORD]	Name/Signature	Date
	Name/Signature	Date
[CONTRACTOR]	Name/Signature	Date
	Name/Signature	Date
[SUB-CONTRACTOR/CONSULTANT]	Name/Signature	Date
	Name/Signature	Date

Section III. Partnering

This structured Partnering Agreement establishes the composition and processes for a collaborative, successful outcome-focused team with shared interests to achieve project success with mutual benefits to all. This Partnering Agreement **does not replace the terms and conditions of the contract** but will empower team members to identify risks and solve problems at the lowest possible organizational level. All stakeholders in this Agreement are committed to a successful partnering arrangement with the following attributes:

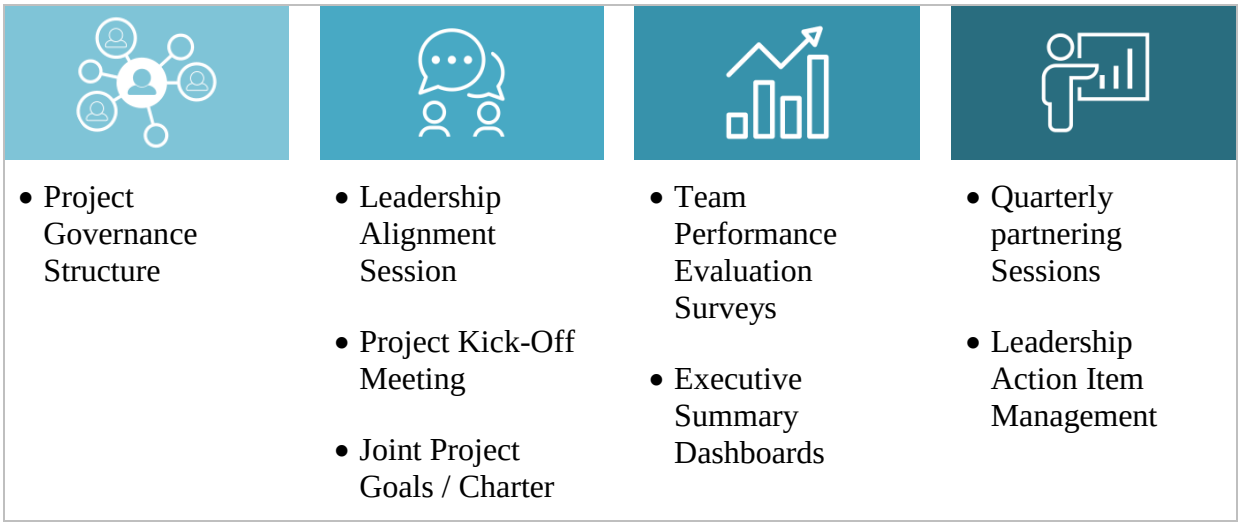
- Active participation of key stakeholders;
- Alignment of common goals, objectives and agreement team performance
- Shared accountability for project outcomes;
- Collaboration on risk mitigation strategies identified by all stakeholders
- Open communication and active listening, especially on challenges to progress;
- Acceptance by all parties to maintain and improve the partnering process;
- A personal commitment by every team member;
- An expedited process for issue identification and resolution.

Section IV. Key Project Stakeholders

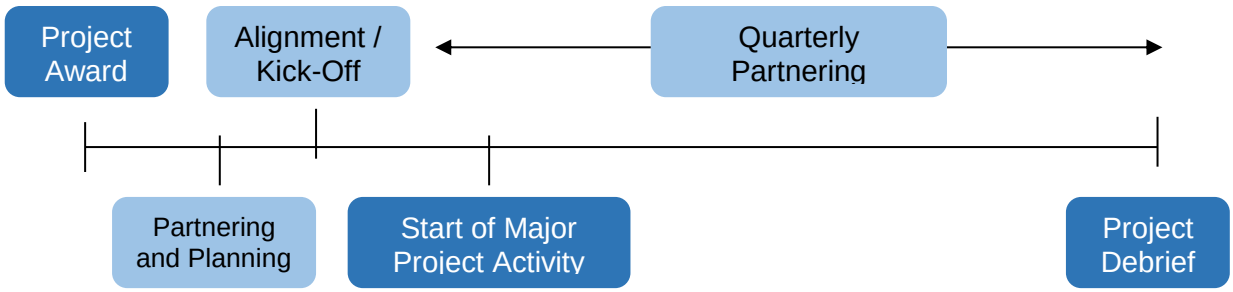
The following stakeholders have significant responsibilities in project success during the construction phase and will participate actively in construction-phase partnering:

- [SUPPORTED COMMANDER ORGANIZATION]
- [KEY STAKE HOLDER ORGANIZATION]
- NAVFAC [COMPONENT]
- [DESIGNER/ARCHITECT-ENGINEER]
- [CONTRACTOR]

Section V. Partnering Process Elements



All stakeholders agree, throughout the life of the project to participate in facilitated partnering sessions to identify critical issues. The following graphic and table represent a simplified illustration of the process and meeting frequency.



Regularly Scheduled Partnering Meetings

Partnering Session	Frequency
Partnering Planning Session(s)	Once / Additional Meetings As Needed
Stakeholder Leadership Alignment / Kick-Off	Once
Team Performance Evaluations	Quarterly
Big Room Partnering Discussion with End-User Entities	Semi-Annually
Specific Construction Based Partnering Session (e.g. Commissioning)	As Needed
Project Debrief	Once

Section VI. Project Governance Structure

All stakeholders that are signatory to this construction phase partnering agreement establish a five-tiered governance structure to provide effective communication, accountability, visibility and transparency, understanding, timely decision-making, and issue identification and resolution at the appropriate levels. The governance tiers will identify and resolve issues quickly at the lowest appropriate level. When an issue cannot be resolved in a timely fashion, it will quickly be escalated up to the next leadership level for resolution with no or minimal impact to the project. Out of cycle ELT and SLT meetings will be organized to discuss and resolve topics that are time-sensitive and need immediate attention.

The following are the leadership tiers:

1. Senior Leadership Review Group (SERG) — Composed of senior leaders of [SUPPORTED COMMANDER ORGANIZATION], NAVFAC [COMPONENT], and other Government entities. Provides program and project oversight during design and construction.

2. Senior Advisory Group (SAG) — Composed of senior leaders of the [SUPPORTED COMMANDER ORGANIZATION], NAVFAC [COMPONENT], and other Government entities. Provides program and project oversight during design and construction.

3. Senior Leadership Team (SLT) — Composed of senior executive leaders and principals from all stakeholders. This team is responsible to address and solve significant issues that cannot be solved by the lower governance teams.

4. Executive Leadership Team (ELT) — Composed of stakeholder senior leaders. This team is responsible and accountable to make decisions and apply resources to solve problems that rise above the typical day-to-day management of the project. To ensure continuity of communication and briefing details, one individual from each stakeholder team will be a member of both the ELT and the SLT.

5. Project Leadership Teams (PLT) — The working level teams assigned to each major project component. This is the level where the typical day-to-day project management and construction efforts are performed. To ensure continuity of communication and briefing details, one individual from each stakeholder team will be a member of both the PLT and ELT.

Governance Teams Roles and Responsibilities:

Governance Level	Members	Role in the Governance Level	Meeting Frequency
SERG	Government	• Provides sponsor level decision-making and resources	Monthly
SAG	Government	• Provides program level decision-making and resources	Quarterly
SLT	Government / Business Leadership	• Resolve major issues • Forward looking to anticipate and plan for potential issues • Participation on the SAG and SERG for [SUPPORTED COMMANDER ORG] and NAVFAC [COMPONENT]	Quarterly
ELT	Project Principals / Executive Leadership	• Resolve escalated issues • Ensure project is managed appropriately through KPI's, performance, risk registers, etc.	Monthly

		• Develop efficient processes and incentivize stakeholders to make continuous improvements • Seek opportunities to better the project and identify cost and schedule impacts • SAG and SERG participation as requested for status briefings	
PLT	Project Leaders	• Manage project • Identify and resolve critical issues	Weekly

Tier participants, as identified by ELT leadership, are listed in an annex to this agreement. All stakeholders agree to ensure individuals are actively participating in the SLT, ELT and PLT for a successful project outcome. The ELT will also facilitate the development of stakeholder responsibilities, layered decision-making and timeliness/response times needed for each tier to operate in the most effective manner.

All stakeholder entities are responsible to ensure they have properly staffed their teams. The PLT will openly discuss staffing needs and shortcomings at their weekly meetings. If the necessary adjustments cannot be made by the PLT, then staffing concerns will be elevated to the ELT for resolution. NAVFAC agrees to a dedicated team comprised of the following disciplines [AS APPLICABLE]:

- Construction Managers ([# ON-SITE, offsite])
- Construction Engineers ([# ON-SITE, offsite])
- Engineering Technicians ([# ON-SITE, offsite])
- Schedulers ([# ON-SITE, offsite])
- Design Managers ([# ON-SITE, offsite])
- Cost-Schedule-Risk Analysts/Engineers ([# ON-SITE, offsite])
- Other ([# ON-SITE, offsite])

Post-award contracting (1102) support is provided by the contract specialists at NAVFAC [COMPONENT] with reach back capabilities to NAVFAC [COMPONENT] Acquisition Core as needed to resolve/expedite proposed changes and contract modifications that may impact the critical path. AE assets will be available [ON-SITE vs. REMOTELY] to facilitate RFI/submittal reviews as well as support periodic site visits and commissioning requirements.

All stakeholders will strive to limit turnover of key personnel to maintain project history, knowledge, and consistency in team membership.

The escalation matrix, also known as an “issues resolution ladder,” is a chart that clearly identifies key Government and Contractor decision makers and counterparts (by name), and durations at all Echelons. Project success is largely dependent on the team’s ability to make timely decisions. The matrix will be created to ensure difficult issues are adjudicated in a timely fashion and at the proper levels. Issues that can not be resolved are “escalated” to higher level decision makers.

ESCALATION LEVELS					
BASELINE	**NAVFAC Decision Support**	**NAVFAC**	**CONTRACTOR**	**CUSTOMER**	**RISK**
Typical Engagement Level		LANT/PAC COM	**Corp Pres/Owner/CEO**	**TYCOM - Flag**	Extreme
		LANT/PAC OPS	**Exec/Regional VP/COO**	**TYCOM - O6**	Very High
		FEC OPS or CO	**Senior/Exec/Regional VP**	**Bill Payer/User CO**	High
		PWO/DPWO/FMD	**Senior VP**	**ICO/Local User OIC**	Moderate
	Supv. CS/KO	PMEB/FEAD	**Senior PM/GM**	**User PM**	Moderate
	DM, PM, CS, Planner	CM	**PM**	**User POC**	Low
		ET	**QC Manager/Superintendent**	**User POC**	Low
	(pre-award)	DM	**AE DM**	**User POC**	Low
	(pre-award)	PLANNER		**Use POC**	Low

The team agrees to conduct executive partnering sessions [MONTHLY vs. QUARTERLY vs. AS NEEDED] to track and ensure resolution of issues.

Section VII. Alignment of Project Goals

Stakeholder goals and objectives are intended to involve each stakeholder entity into the process to identify needs and concerns, and goals and objectives. Stakeholder goals and objectives may change during the life cycle of the project and should be reassessed regularly.

The initial stakeholder leadership alignment session reviewed organizational priorities, key risks/concerns, “hidden forces”, expectations, and key issues/critical focus areas. As a result, and as determined by the PLT and ELT the goals for this project and the measures of success will be:

- To deliver all construction activities called forth in the project within the budgeted amounts provided
- To achieve beneficial occupancy for portions of the new facilities at or before the operational need dates provide by the [SUPPORTED COMMANDER ORGANIZATION] and included in the critical path chart attached to this agreement
- To support the installation of security equipment and other government activities within the critical path time schedule attached to this agreement
- To achieve the Eight Guiding Principles Working as “One Team” as identified in the Charter attached to this agreement
- To ensure Environmental compliance and stewardship requirements are met.

Section VIII. Charter

The Charter (attached) establishes project stakeholders' commitment to work together as a team for a successful outcome by defining the project mission, establishing what success “Looks Like”, outlining joint project goals, and setting targets. The charter does not change the terms of the project participants’ contractual obligations and is not a contract in itself.

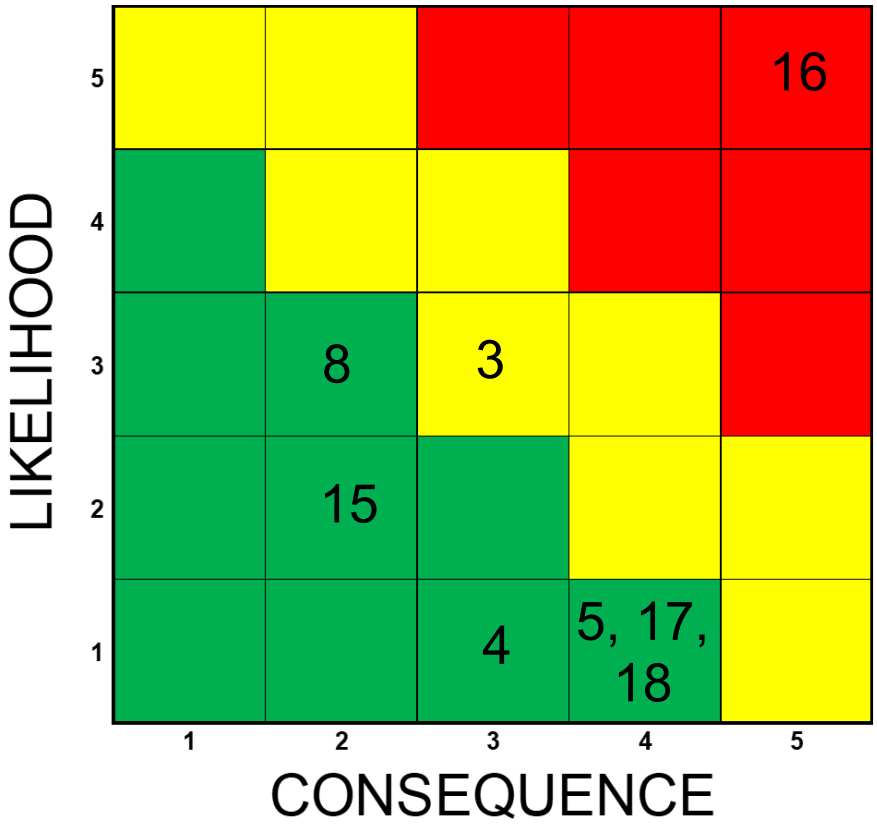
Each stakeholder entity and individual member by signing this agreement has committed to the partnering process and working together as "One Team" for success. The charter will be

reviewed regularly to identify any problem areas with the goal of maintaining all parties' commitment to the partnering process and to ensure a collaborative stakeholder relationship.

Section IX. Risk Assessment

The stakeholders have developed a Consolidated Risk Register to identify project risks encompassing all stakeholders - not just issues - and includes consideration of direct and indirect risks, immediate and long-term risks, organizational and personnel risks, funding and approving risks, regulatory compliance, etc.

To best mitigate risks that have the potential to negatively impact intended outcomes, stakeholders will develop mitigation plans and assign responsible stakeholder(s), with the intent to review and manage risk regularly. Current known and anticipated risks are categorized below on an initial risk matrix which will be utilized across Leadership Teams. Mitigation strategies and identification of responsible stakeholders will be updated accordingly. The ELT shall regularly review, manage, and update the provided risk register based upon input from the PLT and SLT. A briefing to include the addition and reduction of risks will be prepared for the SLT and reviewed during follow-on partnering meetings.



RED = High Likelihood, High Impact;

YELLOW = Medium Likelihood, Medium Impact;

GREEN = Low Likelihood, Low Impact

Corresponding Risk Register: **Known Risks to Date**

No.	Risk	Risk Level Impact Score	Mitigation	Responsible Stakeholder
3	Surcharge Wait Period	Yellow (9)	Additional Data / Early Analysis	[ORGANIZATION]
4	Outfitting Schedule	Green (4)		
5	MDE Fuel System Changes	Green (4)		
8	Unsuitable Soils (Apron)	Green (4)		
15	Cybersecurity ATO	Green (4)		
16	FY20 NDAA AFFF	Red	Investigate Alternatives	[ORGANIZATION]
17	Admin Envelope Critical Milestone Date	Green (4)		
18	Hangar Envelope Critical Date	Green (4)		

Section X. Risk Mitigation

In order to meet the goals outlined above and to address specific risks, the stakeholders have identified the following processes (Issues and Commitments) to focus the attention of the Governance Board on risk mitigation efforts.

1. Integrated Master Schedule – To Include Activities, Access, Certifications, etc. Prior to Beneficial Occupancy

Issue	The attached comprehensive construction schedule will allow for a review of support contractor activities/operations and government/other stakeholder related activities to include submittal reviews, inspections/tests, certifications, permit approvals, and utility outages. The schedule will also facilitate advanced planning/recurring review to ensure all critical activities (for the project, not just construction) are accounted for and proceeding as scheduled. Known special inspections include structural steel/bolting, welding, steel framing, concrete, masonry, site/soil foundations, fire resistant penetrations/joints, and smoke control. Critical path acceptance/performance verification tests include TABS, mechanical, electrical, fire protection/alarm, and communication systems.
Commitment	The approved Baseline (and subsequent progress updates of the) Network Analysis Schedule incorporates all procurement, Construction Quality Management (CQM), construction, HVAC/DALT/TAB/PVT, commissioning,

	government, and turnover/closeout activities (including NAVFAC Red Zone Facility Turnover Meeting – listed as Activity ID: MILE108). The three week look ahead schedule provided at the weekly Quality Control/Production meetings shall be reviewed by the respective PLT members and subsequent updates will ensure upcoming outages, closures, tests, and critical path activities are tracking and communicated to a higher level if not. Monthly ELT agenda will include a schedule status review and take into consideration any follow-on outfitting and operation/maintenance needs post-BOD so that those may be coordinated accordingly.

2. Change Orders / REA Reviews

Issue	The stakeholders agree that untimely resolution of proposed changes can impact performance of critical path activities, environmental compliance, and ultimately the planned completion date.
Commitment	Government will strive towards a processing time of [PROCESSING TIME] calendar days from ["date Government is notified in writing of potential changed condition" vs. "receipt of valid contractor proposal"] to execution / issuance of typical contract modification(s). Modifications that potentially impact the critical path (and identified as such) will be expedited to the fullest extent possible with the minimal amount of environmental impact. Technical support will be leveraged by the NAVFAC DM (either in-house or via the AE) to provide on-site support (where possible) in validating the proposed change/scope and providing an independent Government estimate. If funding approval (internal to the Government) is causing a delay to proceed with negotiations, the issue will be elevated immediately to the respective Leadership Team member(s) for resolution. Collectively, all team members will strive towards a goal of zero requests for equitable adjustment (REAs) or claims.

3. RFI's and submittal reviews

Issue	The stakeholders have agreed that RFI and submittal review times will impact the performance of critical path activities particularly as it relates to procurement and installation. Standard contractual review periods may be sufficient for non-critical activities, but prolonged reviews/resubmittals can quickly create a backlog and/or consume available float on previously non-critical activities. Not every RFI or submittal should be treated as high priority – critical path, but for the ones that are, special attention needs to be provided to turn around as soon as possible.
Commitment	RFIs and submittals will be treated as either "typical" or "high priority – critical path" and annotated as such on the respective form. Typical RFI and submittal review times will be in accordance with the contract (with the intent to still target an earlier review time whenever possible), while high priority – critical path

	review times will have a turnaround goal of no more than seven calendar days (or sooner if necessary). Clear, direct communication will be provided from the contractor's Project Manager/QC Manager to the Government CM (and/or AE) on those RFIs/submittals that require special handling and/or considered the most urgent. Status of critical RFI/submittals will be reviewed at weekly contractor QC meetings with Government staff. Regardless of the criticality of the submittal, Govt/AE (with facilitation from NAVFAC DM as necessary) will strive to resolve missing or incorrect information with the contractor via phone or other collaborative means to reduce the number of resubmittals (and restarting the clock). Contractor will ensure appropriate QC of technical submittals is performed prior to submitting for review with a goal of less than 10% of submittals requiring resubmission.

4. Critical Path (Including Any Government Furnished Equipment and Long Lead Time Equipment Approval/Delivery)

Issue	Clear identification and constant awareness of the critical path for the project is paramount in realizing impacts of potential delays and coordination of related activities.
Commitment	The stakeholders agree that if the critical path (identified in the approved baseline schedule) changes, Contractor will immediately communicate status to the Government. This includes any anticipated delays associated with long lead time equipment/materials (such as to structural steel, wall panels, decking, hangar door assembly, switchgear, transformer, generators, and bridge crane). Additionally, if any proposed changes as well as any Contractor caused delays have a potential to impact the planned completion date, notice will be provided to the PLT and subsequently elevated to the ELT and SLT for awareness and burn-down strategies. As mentioned previously, schedule review will be included as a monthly ELT agenda topic

5. Security and Installation / Site Access

Issue	Due to the [SECURITY ISSUE], coordinated contractor access and site security are paramount to the success of planned construction and airfield operations.
Commitment	Stakeholders will develop a formal security plan to be attached to this agreement. Subsequent (security) coordination meetings to reconfirm mutual understanding and/or address deficiencies in the plan or procedures may be requested by any party to ensure all security protocols (and impacted activities) are corrected as needed. Conflicts in site security that cannot be resolved at the PLT level will be

	escalated as appropriate to ensure timely resolution. In the event Base threatcon levels are elevated unexpectedly, Base Security Forces will meet with the contractor team and NAVFAC as soon as practical to reduce impacts to contractor access to the extent possible.

6. Red Zone

Issue	While NAVFAC Red Zone is typically accomplished at approximately 75% completion or within six months of anticipated BOD, whichever comes first, the stakeholders note that this may not be soon enough given the criticality of the completion date.
Commitment	The stakeholders agree that the Facility Turnover Planning Meeting will occur in accordance with the integrated master schedule once all checklist activities are identified and linked to construction activities to ensure expeditious closure and turnover including demobilization and delivery of as-builts/training/eOMSI information. NAVFAC will provide a copy of the NRZ Checklist template and collaborate with the contractor and other stakeholders to support finalization of the checklist as soon as practical (with a goal of not later than December 2020). Contractor superintendent will lead regular NRZ meetings upon Government acceptance of the NRZ checklist to discuss POAMs, critical activities, and any activities requiring Government involvement until BOD is established. As necessary, elements of the NRZ checklist requiring higher-level awareness/engagement will be discussed at quarterly Partnering follow-on sessions (or at the ELT whichever is more appropriate).

Section XI. Metrics and Communication

Key Performance Indicators (KPI)
The stakeholders have agreed to use post award Key Performance Indicators to assess project performance during the construction phase with an end goal of avoiding impacts to mission requirements. The stakeholders agree to adopt related standard NAVFAC KPIs for the following items to be displayed on a high-level project metric dashboard for the monthly ELT meeting:

- RFI/submittal processing time,
- modification processing time,
- number of outstanding non-compliance notices,
- partnering team health surveys, and
- on-time index (via schedule variance control diagrams)

The project stakeholder team will utilize metrics to communicate KPIs and risk and use this information to discuss status, areas that need stakeholder support, and seek opportunities to better the project. ELT members will be responsible to determine the KPI's most helpful to achieve successful delivery within 60 days of construction award and updated quarterly.

The stakeholders agree to review the list of KPIs at ELT meetings and to add or subtract KPIs based on emerging risks and concerns during construction.

Executive Summary Dashboard

Should the ELT direct, a high-level project metric dashboard will be developed to communicate project metrics on a monthly basis to include:

- Key Milestone Dates
- Critical Path, Long-Lead Items, and Government Furnished Equipment
- Major Equipment
- Safety Statistics
- Non-Compliance Notices
- Earned Value Reports Illustrated through Schedule Variance Control Diagram (actual vs planned)
- Manpower Trend Reports
- Request for Information (RFI) and Submittals Processing Time
- Modification Processing Time
- Small Business Progress
- Consolidated Risk Register
- Team Health Survey Results

Contractor Evaluation of NAVFAC Project Delivery Team ("Reverse CPARS" or "Team Health Survey")

The "Reverse CPARS" is tool for contractors to informally assess NAVFAC performance at the initial and follow-on partnering sessions. This form may also be used jointly for the team performance evaluation.

	Contractor Evaluation of NAVFAC Project Delivery Team					
	Legend	Score				
	Exceptional	5				
	Very Good	4				
	Satisfactory	3				
	Marginal	2				
	Unsatisfactory	1				
	N/A					
			EVAL 1 DATE	EVAL 2 DATE	TREND	TEAM COMMENTS
	STANDARD FACTORS		Select Score	Select Score		
	Quality					
	Timely review of Contractor's Quality Control (QC) Plan and/or Design Quality Control (QC) Plan					
	Timely review of Contractor's Technical Submittals and Shop Drawings					
	Timely review of Contractor's Technical Submittals and Shop Drawings					
	Schedule					
	Timely review of Contractor's proposed construction schedule					
	Mitigates changes (e.g. customer-requested changes) that impact Contractor's construction schedule					
	Cost Control (N/A for Firm-Fixed Price Contracts)					
	Mitigates changes (e.g. customer-requested changes) that impact Contractor's construction cost					
	Management					
	Timely review of Contractor's Requests for Information (RFIs)					
	Professional conduct of NAVFAC personnel					
	Timely processing of Contractor's invoices					
	Utilization of Small Business					
	NAVFAC is engaged and provdies timely input and feedback with Small Business Plan implmentation					
	Regulatory Compliance					
	Timely review of certified payrolls (Davis Bacon Wages)					
	OTHER FACTORS					
	Safety					
	Timely review of Contractor's Safety Plan					
	Engagement with Contractor's Safety Program					
	Design Performance (Design Build)					
	Collaboration of Contractor's designs, plans, and specifications					
	Timely reviews of Contractor's designs, plans, and specifications					

Section XII: Identify Issues and Take Action

Quarterly Partnering Sessions

The following are key components of the quarterly partnering sessions:

- Project status update
- "Thanks and Kudos" to recognize good work done to-date
- Identify critical issues to address
- Team Performance Evaluation results review
- Review + Update Action Items from previous sessions
- Develop Leadership Action Items

Leadership Action Item Management

The Path Forward Action Items list of critical issues will be discussed at each partnering session to review action items identified at the prior meeting to close as completed, determine additional steps needed to resolve the issue, or escalate it to a higher level. Elements of the NAVFAC Red Zone checklist, as applicable, will be integrated into the action items particularly as it relates to special inspections/acceptance tests, any extensive or intricate coordination efforts including outfitting, and performance verification/building commissioning requirements to facilitate comprehensive and expeditious turnover and closeout of the project. The following information will be captured on the Path Forward Action Items List:

- Capture actions that work to resolve critical issues
- Assign point person
- Set resolution date

Within a week after the Quarterly Partnering Meeting, the Facilitator will update and distribute the action items generated during the session to the team for completion.

Opportunities for Improved Performance

Throughout the project, all stakeholders - entities and individuals - are encouraged to identify areas of improvement to processes, communication, safety, teamwork, moral, etc. The One Team is also incentivized to seek opportunities to improve the project schedule to lessen the impact on follow-on work after construction delivery. These proposals should be discussed within the ELT and SLT leadership and include cost and schedule impacts.

Section XIII. Measure Stakeholder Team Performance & Feedback

Team Performance Evaluations

The stakeholders agree to use Team Performance Evaluation to periodically review how the team is functioning. The stakeholders agree that a successful TPE deployment will include:

- Administration by the Partnering Facilitator;
- Confidentiality to allow participants freedom to communicate issues and concerns without fear of recourse;
- Honest assessment of the other stakeholder entities (stakeholders cannot evaluate themselves);
- Commitment by stakeholders to actively participate in completing the TPE and participating in the TPE discussion meeting;
- Transparency for all scores and comments will be provided for review and discussion.

The stakeholders agree that TPEs will occur every quarter for early identification of critical issues and relationship difficulties between stakeholders before they become significant challenges.

The TPE questionnaire is developed and agreed upon by the stakeholder team based on the charter, goals, and objectives. Once finalized, the same TPE template will be used for all subsequent sessions. The TPE will be issued by the Partnering Facilitation team 2-3 weeks ahead of the TPE review meeting. The week prior to the TPE review meeting, the Partnering Facilitation Team will collect and prepare a packet for the facilitated discussion to include:

- High-level summary
- Compiled scores for each section and sub-question
- All comments collected

A 2-3 hour facilitated discussion will focus on the areas where the TPE has indicated concerns and capture Path Forward Action Items with issue leads, assisting team members, and dates for completion. A Path Forward Action Items Report will be distributed to the stakeholder group within five (5) business days. Future TPE Review Meetings will include a review of the previous Path Forward Action Items to capture updates and issue closure.

The TPE process and review meetings are a stand-alone function separate from PLT, ELT, SLT and regular project meetings. Diluting this effective tool will result is subpar results.

TPE Quarterly Check-In

1. Team Performance Evaluation
   - Questions are agreed upon by stakeholders and created from charter, goals, hidden issues, etc.
2. Advance Planning (2 weeks prior to session)
   - Meeting attendee list, venue & logistics finalized
   - TPE survey distributed to recipients
3. Session Preparation (in week prior to session)
   - Reminder sent to recipients
   - Survey results compiled and report developed
4. Quarterly Partnering Session
   - TPE results reviewed in Quarterly Check-in
   - Action Items developed to respond
   - TPE adjusted as necessary
5. Follow-up (week following session)
   - Action items generated in session are distributed to the team for completion

Section XIV: Project Debrief Session

At the conclusion of the project, the Partnering Facilitator will lead a project debrief discussion. Topics discussed are:

- Review project performance
- Analyze decisions and outcomes
- Self-identification of top areas of improvement
- Constructive feedback round-robin
- Identification of top areas for future situational improvement

APPENDIX C. Formal Partnering Charter Template

[IF DESIRED, ADJUST TO PAPER SIZE 11X17 OR OTHER SIZE. GUIDING PRINCIPLES OR GOALS SHOULD BE TAILORED TO THE PROJECT]

[PROJECT TITLE]

Project Team Mission and Partnering Charter

Project Mission

The **[PROJECT TITLE]** project is intended **[PROJECT SCOPE]**. **[FACILITY]** and is mission critical to the command and control capabilities in the defense of our Nation by providing a modern and secure facility and infrastructure for effective and efficient operation, maintenance and support functionality.

We will Achieve these Eight Guiding Principles Working as "One Team":

Mission-Oriented	**Mission First, Always.** • Put the requirements of the Mission first before the goals and requirements of any one organization or individual. • Keep the evolving requirements of the Mission and stakeholders in focus, including both current operational needs as well as future mission requirements.
Safety and Security	**Complete Security and Safety for the Mission, Stakeholders, Workers and Staff.** • Strive for No Lost -Time Incidents. • Achieve DART Goals: Strive for an injury and accident-free performance, with a target DART of [DART GOAL]. • Meet all environmental compliance requirements – i.e. no unauthorized environmental impacts or non-compliance notices. • Ensure Security by developing and approving a written, formal Security Plan protecting the Mission, stakeholders, workers and site.
Financial	**Project Delivered within Authorized Funding** • Strive to minimize end-user requested changes to keep the project on budget and schedule. • Ensure timely funding and issuance of modifications to maintain availability of contractor capital for sub-contractor and construction activities
Quality	**Highest Levels of Functionality, Reliability, and Quality.** • Encourage and respond to Value Engineering proposals to ensure active and continuous evaluation of the quality of work. • Reliability: Plan and execute a strong Commissioning program to ensure full system performance.
Timeliness	**Operational Readiness and Speed-to-Mission.** • Enhance the Schedule: Assess and propose opportunities within 60 days of construction start to improve the project schedule to achieve on-time, or better, BOD and avoid negative impacts. • Identify "High Priority – Critical Path" Items within 30 days of construction start. Critical items are defined as any issue that has the potential to cause negative impact to the schedule. RFI's, submittals, risks, change orders, etc. deemed critical will be clearly categorized as such. • Efficient and Timely Submissions and Reviews: Implement a sound, efficient, effective, and timely process. For critical RFI's, submittals, and key decisions, the "One Team" will strive for a seven (7) calendar day turn-around. The PLT will ensure the appropriate subject matter experts are assembled to discuss and resolve concerns. • Escalation Ladder: If the PLT is not able to reach a resolution between regularly scheduled meetings, the issue will be elevated to the ELT and discussed at the monthly meeting. Any concern that is within 30 calendar days of impacting the critical path will be immediately elevated to the SLT for resolution within a targeted seven (7) calendar days.
Decision Making and Problem Solving	• Drive Efficient Decision Making: a tiered and focused governance structure will push decision-making and problem solving to the lowest levels. There will be five (5) tiers consisting of a Project Leadership Team (PLT), Executive Leadership Team (ELT), Senior Leadership Team (SLT), SAG and SERG. These working tiers will meet regularly: PLT: every two (2) weeks; ELT: monthly; and SLT: quarterly. Out-of-sequence meetings will convene to discuss and resolve critical issues that may negatively impact the schedule or budget. • Aggressive Risk Identification and Mitigation: One (1) risk matrix will be used by the PLT, ELT and SLT for consistency in reporting and mitigation plan development. Risks will be identified at all levels with the expectation the PLT will develop and implement a mitigation plan. The PLT, ELT, and SLT will review the risk matrix at every meeting and propose the deletion, addition or change in status of each risk item.
Relationships, Communication, and Trust	**One Team Integration and Exceptional Teamwork.** • Be Engaged: Be prepared, on time, present, and focused. Listen actively. • Be Accountable: Take full ownership, honor commitments, and be disciplined about follow-through. • Maximize the Collective Expertise: Foster creative ideas by listening to each other and fully leveraging the strengths and talents of all team members.
Pride and Satisfaction	**Recognition as a Highly Functioning Project Delivery Team.** • Great Team Experience: Make the project experience so positive, rewarding, successful and fun that our respective entities will be enthusiastic about working together again. • Celebrate Success: Recognize and appreciate the efforts and accomplishments of teammates and the team overall. Take time to celebrate success. • Professional Growth: Support the professional growth and development of all team members, making the project a singular and truly formative professional experience for all. • Exceptional Performance: Achieve "Exceptional" CPARS ratings for the Designer and Builder and, rewards and recognition for the government entities. • National Partnering Award: Win the Associated General Contractors' Marvin M. Black Excellence in Partnering Award.

APPENDIX D. Index