

Double click on the header above and enter the EA. The EA only needs to be entered on the first page.

# 2015

## Caltrans

### Excellence in Partnering Award

#### Application

August 2014 version

[www.CaltransPartnering.com](http://www.CaltransPartnering.com)



### Background

The Caltrans Excellence in Partnering Award is an annual statewide recognition of completed partnered contracts that best optimize principles of partnering.

The main purpose is to celebrate success, share lessons learned of best practices, and honor all contract stakeholders.

### Eligibility

Completed partnered construction contracts with approved PFE or Exceptions to the PFE dated between **January 1, 2014** and **December 31, 2014**.

### Recognition Levels

- |      |               |                                        |
|------|---------------|----------------------------------------|
| I.   | Nominee       | (0 – 74 points)                        |
| II.  | Bronze        | (75 – 79 points)                       |
| III. | Silver        | (80 – 89 points)                       |
| IV.  | Gold          | (90 – 100+ points)                     |
| V.   | Best in Class | ( highest Gold in each award category) |

### Criteria

Caltrans Excellence in Partnering Awards are judged on both objective and subjective criteria. Applications will be scored by a team composed of Caltrans construction managers and industry senior executives.

## **Directions**

1. Applications must be **TYPED** and completed fully. Fill out a separate application for each project nominated. Applications are available on the Caltrans Partnering website at [www.CaltransPartnering.com](http://www.CaltransPartnering.com).
2. **The text for all sections (I through VI) may have a combined total of no more than 2200 words.** The word count is to be filled in for each section as requested and the combined total supplied in the Total Word Count space. The “word count” feature in Microsoft Word (under the tools menu) may be used to count words. **Applications will be rejected if they exceed the 2200-word count maximum.** It is preferable that your input text be in color, such as **blue** or **red**. The word count limit applies only to the text you have added and NOT the existing application form text.
3. A maximum of five additional supporting pages (8 1/2 inches by 11 inches, **one side only**) beyond the specifically requested items may be attached to the application. Supporting pages can include text, charts, graphs or appropriate tables to highlight results. More than **five** additional pages will **NOT** be accepted. If greater than five pages are included, only the first five pages will be evaluated and the judges may deduct up to five points for supporting pages in excess of five. Entries become the property of Caltrans Division of Construction, and will not be returned. (The Partnering Charter, Dispute Resolution Ladder, photographs, and any other specifically requested items within this application are not counted toward the additional pages.)
4. **Nominations are to be submitted in color PDF format by email or CD. All Pages should be formatted to 8 1/2” x 11”.** Applicants are encouraged to retain the computer files for future use.
5. Email or submit on CD, the PDF file of each application plus attachments to the Caltrans District Construction Office in your area.
  - For CD’s, mail via U.S. Mail postmarked on or before **January 16, 2015** or
  - Email or hand deliver CD to District Construction Office on or before **5:00 p.m. on January 16, 2015.** (CD must be received and date stamped by District Construction Office).**No other form of delivery will be accepted (fax, internal mail, etc.).**
6. All applications must be signed by the Resident Engineer of the nominated project and the prime contractor equivalent in the “Nomination Submitted by” portion.
7. In order to give all contract applications the same opportunity, applications that do not follow the above rules and format, or are received after the deadline, will not be considered for awards.
8. All entries for contract recognition must be received by Headquarters Division of Construction by close of business on **January 23, 2015.** All applications must be submitted directly by the Deputy District Director of Construction of the nominated project’s district to:  
U.S. Mail    Partnering Program  
                  Division of Construction, MS 44  
                  Sacramento, CA 95814

email: [Partnering.Program@dot.ca.gov](mailto:Partnering.Program@dot.ca.gov)

## **Partnering Award Applicant Checklist**

This checklist is intended to assist you in providing complete and thorough applications. Please verify that your application includes the following and excludes extraneous materials:

✓	Item	Application Location/Reference
	Application Form, Signed by Caltrans and the Contractor	Page 3
	Word Count completed for sections I through IV, confirm that total does not exceed 2200 words.	Page 2, Item 2
	Additional Supporting Pages (maximum 5 single sided, letter pages)	Page 2, Item 3
	Partnering Charter, signed copy*	Section IV, Item A
	Monthly Partnering Evaluation Survey and Results (maximum 3 sample reports, preferably including the final one)*	Section IV, Item B
	Testimonial Letters regarding stakeholder relationships (maximum 5 letters)*	Section V, Item C
	6 Project Photos, in jpg or tif format (include a couple with team members in the photo)	Page 2, Item 3

\*Not counted towards additional support pages.

If your email system cannot send the PDF application because it is too large, use the following process to email the file. First make sure your file name has the following format:

“xx-xxxxxx Excellence in Partnering application 2014”.

xx-xxxxxx is the contract number ex. 03-3A2204

Email it from <https://www.hightail.com/>.

1. In your internet browser type in <https://www.hightail.com/> in the URL field.
2. Once at the HIGHTAIL site, click on the “Log in” button on the top right.
3. In the login email field, type in – [ken\\_solak@dot.ca.gov](mailto:ken_solak@dot.ca.gov). underscore between ken and solak
4. In the password field type in – “caltrans partnering” space between caltrans and partnering and then click on the login button.
5. Once you’re logged in, click on the “Send” tab on the top of the page.
6. In the “To” field enter the email address of your Caltrans district partnering coordinator. For current partnering coordinator email addresses, see the following link:  
[http://www.dot.ca.gov/hq/construc/partnering/documents/CT\\_Partnering\\_Contacts.pdf](http://www.dot.ca.gov/hq/construc/partnering/documents/CT_Partnering_Contacts.pdf)
7. In the subject line enter the contract number (xx-xxxxxx)
8. To select your pdf file for uploading, click on the Upload From Desktop button and browse for your file.
9. Scroll down and click on the “Send It” Button.
10. You are done.

**Note:** The judges look carefully at the responses to questions. Direct, pointed answers to questions without rhetoric are desired. Supporting facts and documents are very helpful. Please do not leave out requested information as it affects the overall score. To help the judges give you maximum credit, please reference any related attachments in each response, and label each attachment with the question(s)/section(s) it supports.

## CONTRACT INFORMATION

<b>Project Name:</b>	Exactly the way you want it on the Award.
<b>Project Description:</b>	(Describe the scope of work)
<b>Location:</b>	
<b>District-EA:</b>	
<b>Brief Description of Job Site:</b>	(Describe location and unique characteristics of the contract site) Maximum 75 words
<b>Award Category</b>	<\$10m <input type="checkbox"/> \$10m -\$50m <input type="checkbox"/> > \$50m <input type="checkbox"/>
<b>Nomination Submitted By:</b> The undersigned nominate this project for consideration of the Caltrans Excellence in Partnering Award.	
Caltrans signature _____ Prime contractor signature _____  <NAME>, _____ <NAME> _____ Caltrans, Resident Engineer      Date      <Organization and Title>      Date	
<b>Caltrans:</b>	Caltrans Project Partnering Lead on this project (Name and Title): Address: Office Phone Number: Cell Phone Number: Email Address:
<b>Prime Contractor:</b>	Contractor Project Partnering Lead on this project (Name, Title, and Company): Address: Office Phone Number: Cell Phone Number: Email Address:
<b>List any stakeholders, including subs/ vendors/ funding agencies etc that significantly contributed to the partnering effort. They will be invited to the award ceremony and receive an award certificate. Include an additional page if you need to add more.</b>	Name and Title: Address Phone Number: Email Address:
	Name and Title: Address Phone Number: Email Address:
	Name and Title: Address Phone Number: Email Address:

**I. Partnering Initiation and Process (10 Points)**

- A) Was partnering performed on this contract?  Yes or  No ( If No, skip to Sec II)
- B) Kick-off Workshop was:  Self Directed ( **1 Point**) or  Professionally Facilitated (**5 Points**)  
Partnering Facilitator name and company, if applicable:  
\_\_\_\_\_
- C) Was Partnering Skills Development Training held for the project team?  
 Yes ( **1 Point**) or  No ( **0 Points**)  
If yes, what topics were covered? (1 to 4 allowed per spec.)  
1. \_\_\_\_\_ 2. \_\_\_\_\_  
3. \_\_\_\_\_ 4. \_\_\_\_\_  
If yes, how many team members attended? \_\_\_\_\_  
If yes, Instructor name and company: \_\_\_\_\_
- D) Total number of Quarterly Partnering Sessions held during contract:  
Self Directed: \_\_\_\_\_ ( **1 Point**)  
Professionally Facilitated: \_\_\_\_\_ ( **3 Points**)  
What was the contract duration ( years/months): \_\_\_\_\_
- E) Was a Partnering Close-out / Lessons Learned session held?  
 Yes ( **1 Point**) or  No ( **0 Points**)

**II. LIST ALL STAKEHOLDERS (5 Points)**

*(Identify entity, involvement or scope of work and note whether they attended partnering sessions):*

**Section II Word Count:** \_\_\_\_\_

Entity	Involvement	Participated in Partnering Sessions (yes/No)
--------	-------------	----------------------------------------------

**III. WHY THIS CONTRACT? (27 Points)**

Describe why this contract should receive a Caltrans Excellence in Partnering Award. Focus on challenges or obstacles overcome, awards, and special efforts. Mention joint problem-solving examples and partnering best practices used including risk management, value engineering, dispute resolution ladders and the inclusion of Caltrans designers, third parties and stakeholders in the process. Explain how the project partnering process was instrumental to the successful completion of the project. *(Answer in 500 words or less. Note that the national Marvin M. Black award application limits this section to 250 words.)*

**Section III Word Count:** \_\_\_\_\_

# CONTRACT RESULTS

## **IV. OBJECTIVE CRITERIA (34 Points)**

Section IV Word Count: \_\_\_\_\_

**Explain each item in no more than one or two short paragraphs.**

A) Was a Partnering Charter prepared? Include a signed copy including goals, dispute resolution ladder and maintenance plan. **(5 Points, 0 if Charter not attached)**  
*(Describe the process used to prepare the Charter.)*

B) How were the goals of the charter evaluated or measured? Were they realized? **(6 Points)**  
*(Describe the partnering evaluation process on this contract. Include one sample copy of monthly partnering evaluation survey with a trend line showing how the scores changed over time)*

C) What was the safety record for all jobsite employers? **(2 Points)**  
*(Include OSHA recordable rate (OSHA recordables/ 1000 man hours))*

D) Did the contract cost come in at or under the original Contract allotment? **(3 Points)**  
*(Provide original contract allotment (State Furnish Material; Bid Items; Supplemental Work, Contingency) vs. actual cost ( PFE + State Furnish Material))*

Original Contract Allotment \$ \_\_\_\_\_ vs. Actual Cost \$ \_\_\_\_\_.

E) Did the contract come in on or ahead of schedule? **(3 Points)** Start Date: \_\_\_\_\_ Finish Date: \_\_\_\_\_  
*(Provide contract working days + additional CCO working days vs. actual working days in the contract)*

Contract working days \_\_\_\_\_ + CCO days \_\_\_\_\_ = \_\_\_\_\_.  
 Actual working days = \_\_\_\_\_.

F) Describe your issue resolution procedure and show evidence. **(5 Points, 0 if no evidence)**  
*(Cite examples where dispute resolution procedures, i.e. dispute ladder / Facilitated Dispute Resolution worked effectively)*

G) How were potential claims resolved before contract acceptance? **(6 Points)**  
*(Provide brief descriptions and dollar values of resolved potential claims.)*

H) How many claims were filed on the contract after Proposed Final Estimate (PFE)? **(2 Points)**  
*(Provide brief descriptions of the claims, dollar values and what was done to mitigate the claims)*

I) Partnering Expense Analysis **(2 points)**  
 Total Cost of Project Partnering Expense (facilitator, lunch, meeting space, scorecards): \_\_\_\_\_  
 Final Project Cost: \_\_\_\_\_  
 Partnering Expense as a percent of Project Budget: \_\_\_\_\_  
 Estimated Project Savings : \_\_\_\_\_  
 Estimated Savings per dollar of partnering cost (e.g. \$90/\$1): \_\_\_\_\_

**V. SUBJECTIVE CRITERIA****(24 Points)**

Section V Word Count: \_\_\_\_\_

**Explain each item in no more than one or two short paragraphs.**

- A) Were trade/craft foremen and workers involved in the project partnering process? How? (**4 Points**)
- B) Were subcontractors involved in the project partnering process? How? Provide the % of listed subcontractors that attended the kickoff partnering session. (**4 Points**)
- C) How did Partnering improve relationships between the owner, the contractor and key stakeholders during and after the project (**3 Points**)  
(Supply testimonial letters if possible.)
- D) Identify any innovative ideas that evolved through the project partnering process. (**6 Points**)  
(Examples may relate to cost savings, value engineering, improved productivity, quality, etc.)
- E) How did partnering allow your team to improve the projects quality beyond what was specified in the contract? (**4 Points**)
- F) List any teambuilding activities. Describe any unique motivational activities employed. (**3 Points**)



**VI. BONUS POINTS****(Up to 4 Points maximum)****Section VI Word Count:** \_\_\_\_\_

- A) Explain any special adaptations or refinements that were actually made to improve the project partnering process to fit this particular contract.  
*(This may relate to the frequency and type of meetings; specific process implementation methods; how the facilitator, field staff, subcontractors, executives, and other stakeholders were involved; evaluation methods; techniques used to keep team members engaged, etc.) (2 Points)*
- B) Offer your ideas of how the project partnering process could be improved, which would have benefited this project and may benefit future partnered projects.  
*(This may include ways to improve the whole partnering process, ways to optimize process implementation, lessons learned to date (good and bad), and actions you will take in future projects.) (2 Points)*
- C) What is the average participation level of your project's Monthly Partnering Evaluation Survey throughout the life of the project?  
*(This is the monthly average number of team members that completed the survey compared to the monthly average number of team members invited to take the survey. Show both numbers and the percentage. If your project partnering has been professionally-facilitated, then your partnering facilitator should be able to provide this info.) (2 Points)*

**Total Application Word Count:** \_\_\_\_\_ (Sum of Sections I through VI)

Please include four pictures of the team while working on the project. Pictures should be in .jpg format.

# Caltrans Excellence in Partnering Award

## Applicant Survey

The Statewide Partnering Recognition Team is committed to continuous improvement. Your feedback as our customer is extremely important. Please take a moment to complete this survey, and **return it with your award application**. The information you provide will be used to improve next year's Contract Partnering Recognition.

Please indicate your reaction to each of the following:

	Strongly Agree	Agree	No Comment	Disagree	Strongly Disagree
Partnering is making a difference in my district.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The Caltrans Excellence in Partnering Award Application was easy to understand.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The Application 2200-word count limit was enough space to explain the contract's Partnering process.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Our contract team was given enough time to provide the requested information.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Partnering in my District/Division/Region is well advertised.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please add any additional comments you feel are appropriate to help us improve:

---

---

---

Please offer your ideas for improving the Caltrans Partnering Program overall. This may include suggestions regarding joint or individual training, guidance material, tools, awards and recognition, etc.

---

---

---

---

Optional:

Name: \_\_\_\_\_ Organization: \_\_\_\_\_ Phone: \_\_\_\_\_

**Please enclose this survey with Partnering Award Application.**