1.0 Policy
Informal Partnering will be adopted for WSIP projects with construction values under $2 million at the request of either the City or the Contractor, and for projects with construction values up to $20 million if Formal Partnering is not included in the Contract Specifications, or requested after award. The partnering process is not intended to have any legal significance or to be construed as denoting a legal relationship of agency, partnership, or joint venture between the City and Contractor.

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

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

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

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

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

4.0 **Responsibilities**

4.1 **Project Construction Manager (Project CM)**

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

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

4.2 **Contractor**

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

5.0 **Implementation**

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

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

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

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

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

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

6.0 Other Procedural Requirements

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

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

6.2.1 Standard hourly rates have been established. Discuss with the responsible Regional Construction Manager (RCM).
6.3 **Surveys and Reporting**

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

7.0 **References**

7.1 **Technical Specifications**

No. 00823/FP/TPA  
Formal Partnering Facilitator Three Party Agreement

No. 00823  
Formal Partnering Specification

No. 00824  
Informal Partnering Specification

No. 00841  
Informal Partnering Specification

7.2 **CM Procedures**

No. 005  
Meeting Minutes

No. 008  
Pre-Construction Conference

No. 019  
Dispute Review Board.

No. 031  
Dispute Resolution Advisor.

7.3 **Others:**

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

*City and County of San Francisco Partnering Program Guidelines*


8.0 **Attachments**

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

(Date)

(Contractor)

RE: Informal Partnering Workshop

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

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

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

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

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

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

(Use A or B)

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

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

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

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

Sincerely,

WSIP PROJECT CONSTRUCTION MANAGER
Attachment 041 - 2
Pre-Construction Conference / Informal Partnering
Questionnaire - Sample

Project Name and Contract No.: 

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

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

2. Scheduling concerns:
   ___________________________________________________________________
   ___________________________________________________________________
   ________________________________________________________________

3. Construction phasing and/or construction staging concerns:
   ___________________________________________________________________
   ___________________________________________________________________
   ________________________________________________________________

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

5. Traffic control concerns:
   ___________________________________________________________________
   ___________________________________________________________________
   ________________________________________________________________

6. QC/QA:
   ___________________________________________________________________
   ___________________________________________________________________
   ________________________________________________________________

7. Potential CRIPs/value engineering:
   ___________________________________________________________________
   ___________________________________________________________________
   ________________________________________________________________

8. Other issues:
   ___________________________________________________________________

Contractor’s Signature                Date
PROJECT: __________________________

INFORMAL PARTNERING WORKSHOP
Date: __________
Time: __________
Location: __________

11:30 am – 12:00 pm  Welcome & Introductions
                      Session Overview & Objectives

12:00 – 1:30 pm  Concerns Analysis in context of Schedule
                  (Reference Matrix & Attachments)

1:30 – 2:00 pm  Decisions / Agreements / Next Step
PROJECT NAME: ______________________________

Big & Medium Contractor

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

** Notes: **

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

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

*** Dispute Hearing and Finding
**ISSUE / CHANGE ORDER REQUEST RESOLUTION LADDER** *

**PROJECT NAME:** ______________________________

**Small Contractor**

<table>
<thead>
<tr>
<th>Level</th>
<th>Contractor</th>
<th>SFPUC</th>
<th>Time Goal **</th>
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<td>PM / Superintendent</td>
<td>PCM / Asst RPM (WSIP) / PM</td>
<td>30 calendar days</td>
</tr>
<tr>
<td>III.</td>
<td>Owner</td>
<td>RCM / RPM (WSIP) / PM</td>
<td>15 calendar days</td>
</tr>
<tr>
<td>IV.</td>
<td>Owner</td>
<td>AGM / WSIP Director /</td>
<td>15 calendar days</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Deputy Director – CMB Bur Mgr</td>
<td></td>
</tr>
</tbody>
</table>

**Notes:**

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

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

*** Dispute Hearing and Finding
## Attachment 041 – 5
### Revision Control Log

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