



INDIANA
TRANSPORTATION TEAM

PARTNERING CONFERENCE

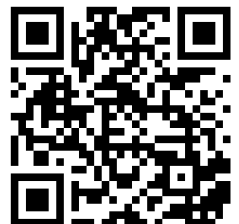
Jan. 18, 2023

**Indianapolis Convention Center
Sagamore Ballroom**

WiFi Code

**SSID: ITTShindig23
Password: 3-Legs!!**

**Visit the
ITT website**



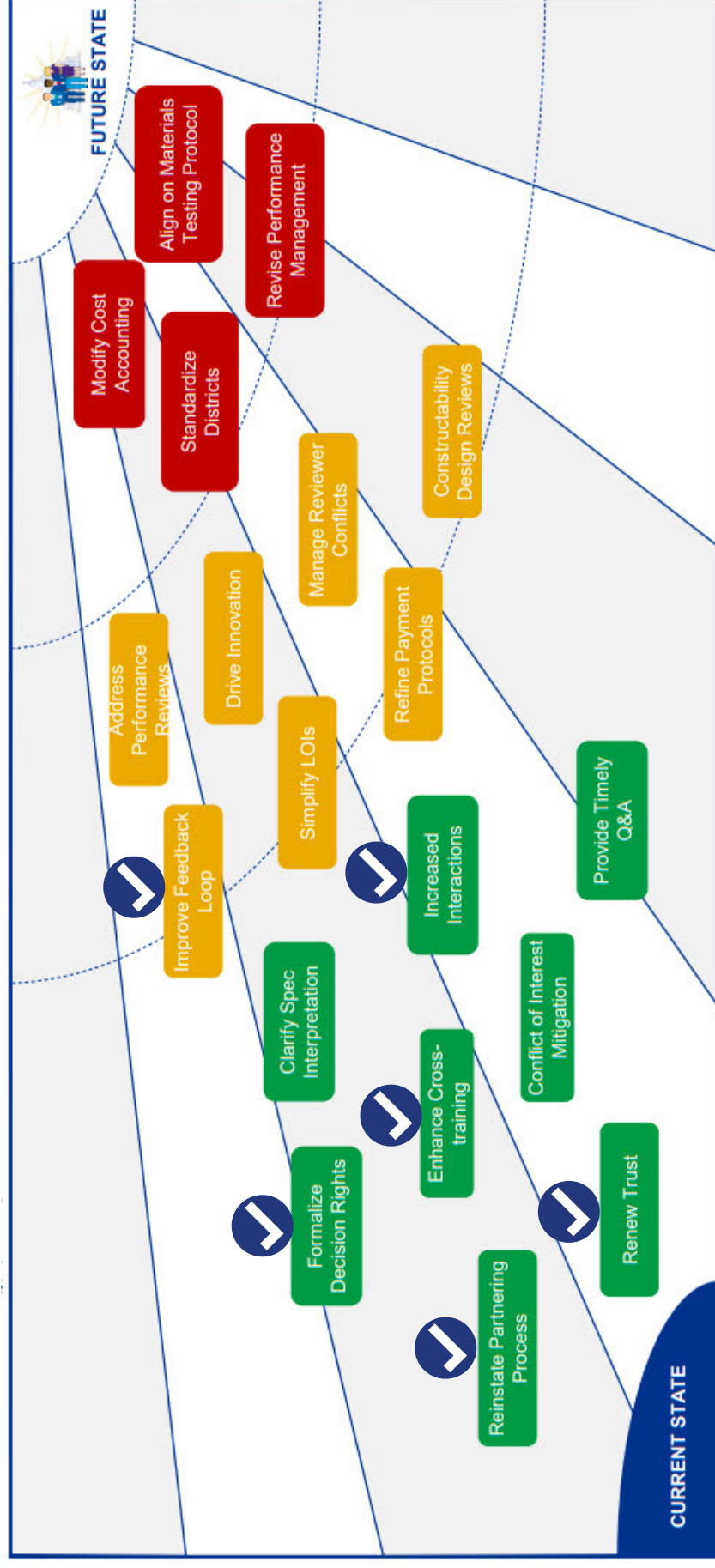
ITT PARTNERING CONFERENCE
January 18, 2023
Indianapolis Convention Center
100 S. Capitol Ave., Indianapolis, IN 46225

AGENDA

8:00	Registration & Networking	
9:00	Welcome/Speaker Intro	Richard Hedgecock, ICI
9:15	Keynote Speaker: Behavioral Chance to Improve Performance <i>Positive reinforcement has the power to change far more than numbers on performance reports and bottom lines. Discover the impact it has on real people and the impact it can have on you and your team. Connecting the dots between science and the real world, keynote speaker Bill Sims shows why positive reinforcement is the ONLY way to get our Indiana Transportation Team culture where it needs to be.</i>	Bill Sims Jr.
10:30	Break	
10:45	District Presentations Seymour: Cross Training & Soft Skills—Beyond the M&Ms Managing Conflict Fort Wayne: Modeling the Feedback Loop Vincennes: Pre-Construction Agenda and Meeting Best Practices	
11:45	Lunch in District Rooms—assigned on name badges Informal Networking District Leaders to Open Discussion on Future Topics for District Collaboration	
1:30	District Presentations Crawfordsville: Formalized Decision-Making Rights Greenfield: Progress Meeting Agenda LaPorte: Closeout & Construction After Action Review	
2:30	Break	
2:45	Insta-Polling on Next Topics for Districts	Beth Bauer, ACEC
3:00	Closing Keynote	Roland Fegan, INDOT
3:30	Happy Hour Opens-- 2nd Floor Serpentine Lobby <i>Drink tickets for the happy hour are in your name badge</i>	

THANK YOU TO OUR SPONSORS!





✓ Activities spearheaded in 2022 through District and Statewide meetings.

Crawfordsville

Formalized
Decision-Making
Rights

La Porte

Closeout

Fort Wayne

Modeling the
Feedback Loop

Central

Intercommunication
with Districts

Seymour

Cross Training
& Soft Skills

Greenfield

Progress
Meetings

Vincennes

Pre-con
Meetings



ITT Partnering Playbook

Table of Contents

1. Indiana Transportation Team Charter
2. Beyond the M&Ms: Managing Conflict: Do's and Don'ts
3. Modeling the Feedback Loop
4. Making the Donuts: Pre-Con Agenda and Meeting Best Practices
5. Formalize Decision-making Rights
6. Progress Meeting Agenda
7. Construction After Action Review



We, the members of the American Council of Engineering Companies of Indiana, Indiana Constructors Inc. and the Indiana Department of Transportation, through cooperation and collaboration, open and honest communication and trust, promise to strive for the safest, highest quality and best maintained transportation network in the country on behalf of all Hoosiers. In doing so, we promise to approach each and every problem as a teammate of the Indiana Transportation Team to foster and maintain a spirit of cooperation to serve Hoosiers and the traveling public.

We will continue to earn trust in each other while maintaining our membership on the Indiana Transportation Team by adhering to the following principles:

- Remembering our compensation always comes from the taxpayer.
- Endeavoring to make the most appropriate decisions while considering safety, constructability and general public welfare first and foremost.
- Believing that each problem has three teammates working towards a solution.
- Striving to make decisions at the lowest levels possible.
- Respecting the chain of command and elevating all disputes together in a transparent manner.
- Keeping in mind that INDOT, the State of Indiana and all Hoosiers are our customers.
- Enjoying professional relationships and having fun.



INDIANA TRANSPORTATION TEAM CHARTER

WHAT IS PARTNERING?

Partnering is simply a way of conducting business in which two or more organizations make long-term commitments to achieve mutual goals. This sometimes requires changing traditional adversarial relationships into team-based relationships. Partnering promotes open communication, trust, understanding, and teamwork among participants.

The principles of Partnering are simple: participants must believe that each team member is honest and has intentions of doing a good job and that an effective team begins with respect and results in win-win relationships.

Partnering Communication Tips:

Seek to understand the problem – Ask probing questions to try to flush out all aspects of the problem, no matter how angry or hostile the other parties seem. Don't become defensive; you are trying to understand the problem and the assumptions of the other stakeholders. This will give you a clearer picture of what the real issues are.

Don't make it personal – Take an objective point of view – don't become engaged in the battle. Take the role of negotiator or fact finder. Remember, it's a project issue, and your success will depend on your ability to not take things personally.

Don't seek to blame – Instead of blame, seek solutions and understanding. People generally act logically. Your job is to find the logic behind their actions. No project problem was ever solved by blaming someone. Remember, you are all in the project together – you will succeed or fail together.

Agree on the problem – Work to gain agreement on what the problem is before you attempt to find solutions. If you don't agree on what the problem is, you can not agree on a solution.

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PARTNERING for Small and Medium Sized Contracts

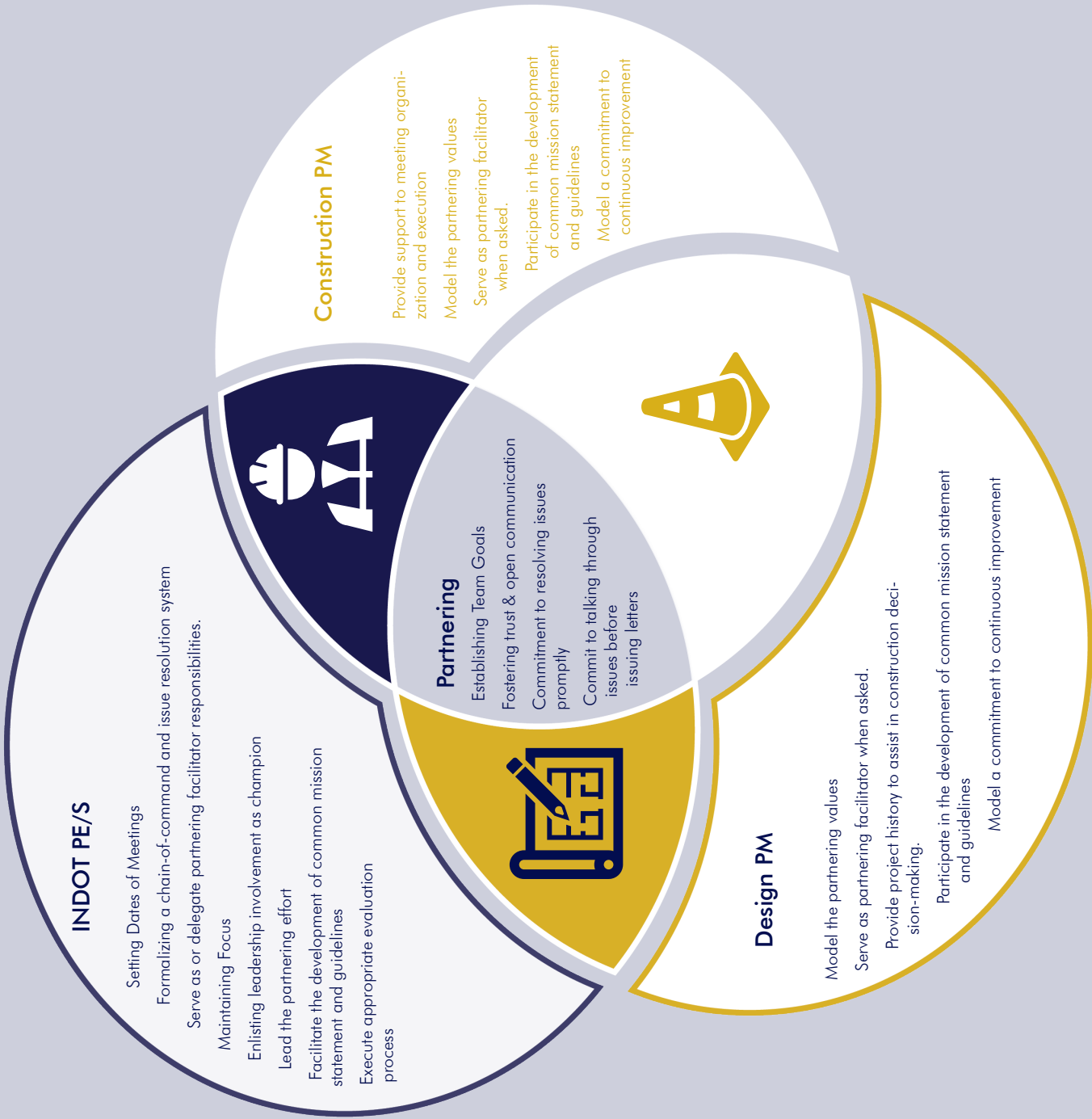


TOP 10 STEPS FOR EFFECTIVE COMMUNICATION

- 01 COMMUNICATE.** Schedule specific times for discussing job issues to assure that regular communication is taking place.
- 02 TRUST YOUR PARTNERS.** Trust that others will meet their responsibilities in a quality way.
- 03 EXPECT QUALITY.** Clearly communicate your quality expectations and be prepared to talk with your partners if expectations aren't being met.
- 04 DETERMINE AN ISSUE RESOLUTION CHAIN-OF-COMMAND.** Define the process, giving each participant in the process time to seek resolution and advance the issue to the next level if not resolved.
- 05 SEEK WIN-WIN SOLUTIONS.** Each partner must work hard to understand the perspective of others and seek solutions that are fair for all.
- 06 LISTEN AND QUESTION.** The key to understanding other partners' perspectives is to listen closely and ask questions.
- 07 INVOLVE ALL KEY PARTNERS.** Different matters may require the involvement of different partners. All of those significantly impacted by a matter should be part of the solution identification process.
- 08 TAKE OWNERSHIP IN THE TEAM'S GOALS.** Be willing to help your partners achieve their goals.
- 09 SEEK HELP.** Contractor personnel should look to the home office for help.
- 10 REFERENCE THE PARTNERING HANDBOOK OFTEN.** Further tips on effective partnering relationships can be found in the handbook.

PARTNERING ROLES AND RESPONSIBILITIES

Partnering exists on every project, whether formalized or not, but regardless of the contract arrangement, these roles and responsibilities should be modeled by project leadership on every job.





INDIANA
TRANSPORTATION TEAM

BEYOND THE M & M'S SEYMOUR DISTRICT

BEYOND THE M&Ms

Defining the Mutual Success Mindset:
Driving Win-Win Outcomes



A win-win solution is where both parties get all or most of what they need, and their interests have been satisfied.

When seeking win-win solutions, all parties strive for mutual success over solutions that favor one side.

This starts with each party becoming aware of the needs and concerns of the other parties. A party does not take any action without considering **who** is affected and **how** they are affected. Any action that may have a detrimental effect on another party is reconsidered and discussed with them before proceeding. **In fact, value is placed on assisting the other party in achieving their objectives.**

In addition, this means that all parties seek win-win solutions for the **lifetime of the relationship** – even when the resolution of a single problem may not appear to be win-win.

It should be noted, as well, that all parties must understand that no one benefits from the exploitation of the other party. The short-term gains from taking advantage of the other party are more than lost when the benefits of a healthy long-term relationship are considered.



VIDEO:
**“Why Win-Win Negotiations
Are Good For Business”**



Discussion Questions



1. What are some examples of win-win outcomes you’ve experienced in your own work?
2. If you have experienced win-win solutions in your work:
 - a. How did coming to a win-win solution affect your working relationship?
 - b. What impact did it have on the project experience?
 - c. How did it affect the project’s outcomes?

BEYOND THE M&Ms

Managing Conflict: Do's and Don'ts



Do's

- **Proactively determine an issue-resolution chain of command.** Before a conflict has the opportunity to emerge, define the process for issue elevation, giving each participant in the process time to seek resolution and advance the issue to the next level if not resolved.
- **Agree on the problem.** Work to come to agreement on what the problem is before you attempt to find solutions. If you cannot come to an agreement on the issue at hand, you cannot agree on a solution.
- **Seek to understand.** Ask questions to seek understanding of all aspects of the problem, no matter how angry or hostile the other parties seem. Don't become defensive; you are trying to understand the problem and the assumptions of the other stakeholders. This will give you a clearer picture of what the real issues are.

Don'ts

- **Don't make it personal.** Take an objective point of view – don't become engaged in the battle. Take on the role of negotiator or fact-finder. Remember, it's a project issue, and your success will depend on your ability not to take things personally.
- **Don't seek to blame.** Instead of blame, seek solutions and understanding. People generally act logically. Your job is to find the logic behind their actions. No project problem was ever solved by blaming someone.
- **Don't forget: You're all in this together.** Remember, you are all in the project together – you will succeed or fail together.



VIDEO: "How miscommunication happens (and how to avoid it)"



Discussion Questions



1. How have the do's and don'ts outlined above factored into your work previously?
2. If you have encountered colleagues or partners exhibiting the don'ts outlined above:
 - a. How did it affect your working relationship?
 - b. What impact did it have on the project experience?
 - c. How did it affect the project's outcomes?
3. How might you try to incorporate these do's and don'ts into your work going forward?



INDIANA
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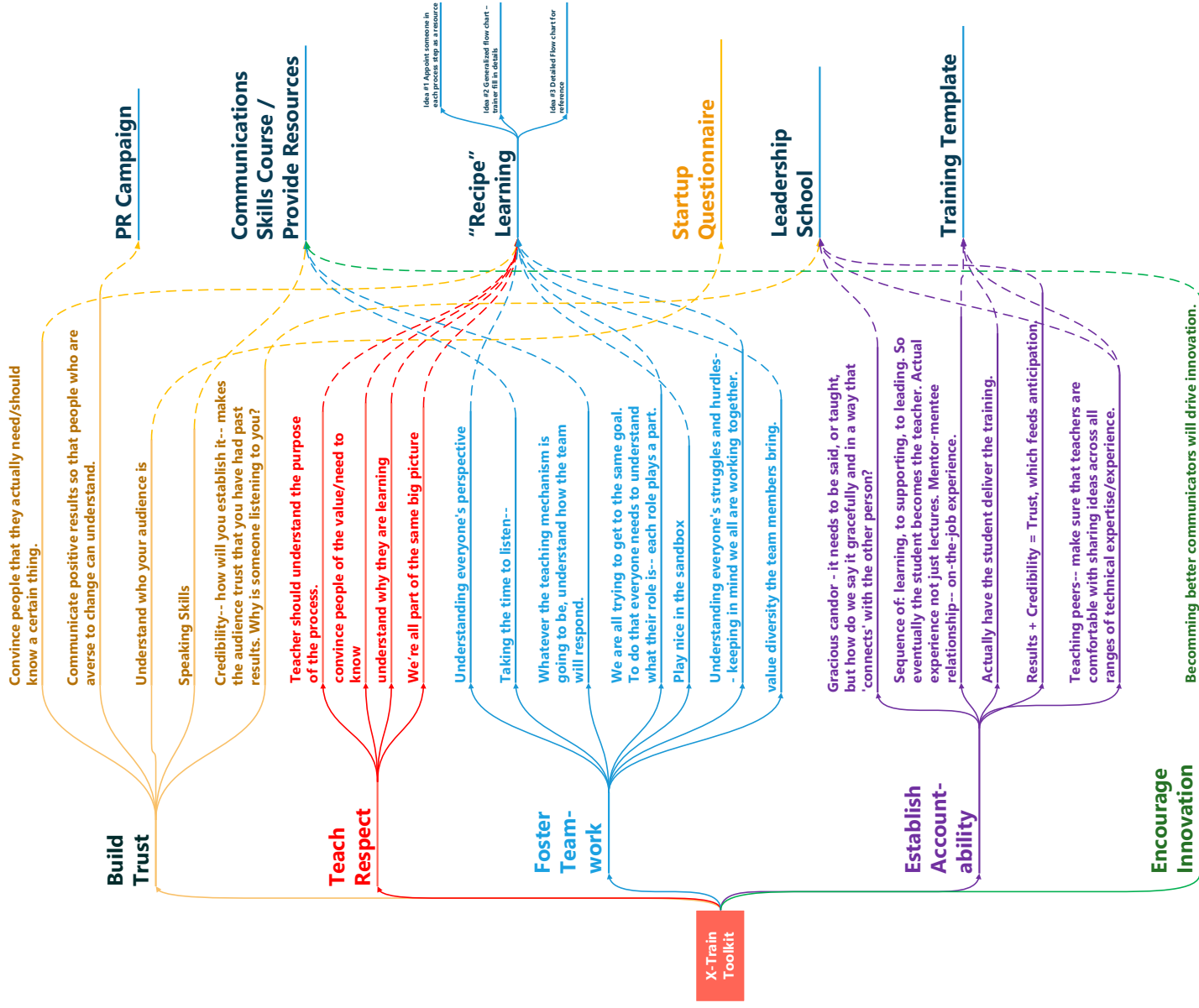
**MODELING THE FEEDBACK
LOOP
FT. WAYNE DISTRICT**

ITT Value

**MIND
MAP**

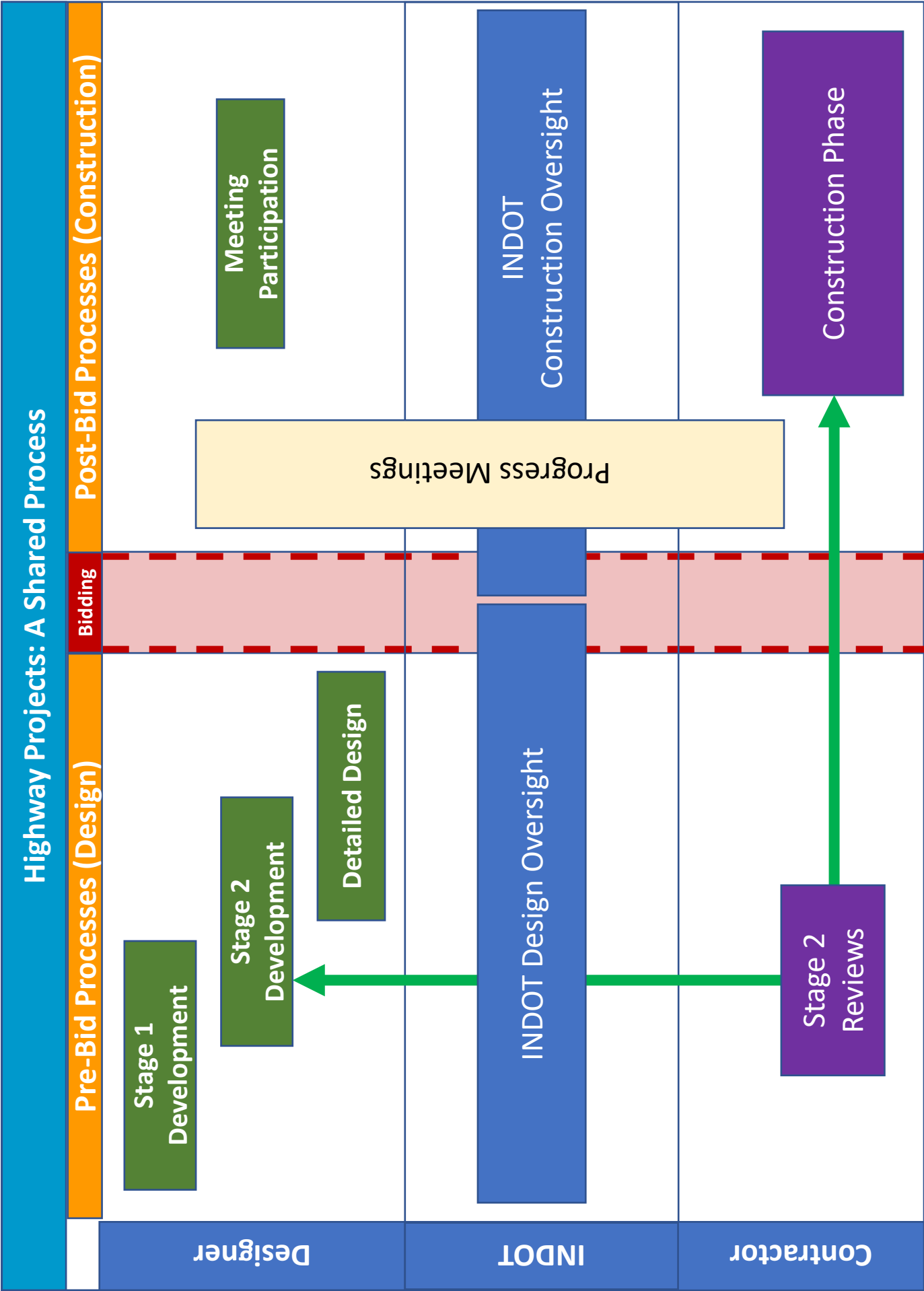
**State a Real World
Example of that
Value**

**What can make
that real world
situation a reality?**



MIND MAP







INDIANA
TRANSPORTATION TEAM

MAKING THE DONUTS VINCENNES DISTRICT



INDIANA DEPARTMENT OF TRANSPORTATION

Eric Holcomb, Governor
Michael Smith, Commissioner



Pre-Construction Conference

CONTRACT
DATE - TIME
LOCATION

Item No.	Topic
1 - Welcome	
1.1	Contract Number – Contract Location <ul style="list-style-type: none">Project Description – Describe bundled projects here
1.2	Contract Awarded to: Contractor <ul style="list-style-type: none">Contract Amount
1.3	Contract Dates <ul style="list-style-type: none">Letting Date –Road Closure Time (if applicable) –Intermediate Completion Date (if applicable) –Calendar Completion Date –
2 – Introductions/Sign-In Sheet	
2.1	<ul style="list-style-type: none">Introductions of meeting attendees – Name, Company, Job TitleSign in Sheet – Name, Company, Email, Phone
3 - Utilities	
3.1	General Utility Information <ul style="list-style-type: none">Describe primary utilities listed in CIB and relocation datesRemind everyone that relocation plans should be on the letting websiteAscertain schedule and needed progress meetings if they haven't already relocatedObtain contact information for chain of command and for emergency situations
3.2	Utility Locates <ul style="list-style-type: none">Reminder to contractor to get locates prior to digging or placing construction signsINDOT signals – contact INDOT District Traffic for locates
4 – Railroad – Coordinator	
4.1	Railroad section required if there is a provision in the CIB <ul style="list-style-type: none">Review all railroad requirements that must be met prior to and during work within their right of way (from CIB)Discuss turnaround time for submittals (usually shown in the CIB)If railroad representative is present, make sure to address their specific needs/requirements



INDIANA DEPARTMENT OF TRANSPORTATION

Eric Holcomb, Governor
Michael Smith, Commissioner

Item No.	Topic
5 – EEO Officer	
5.1	General Requirements <ul style="list-style-type: none"> • Certified Payrolls required to be submitted electronically thru ITAP • Subcontractors must be submitted via SiteXchange and approved prior to work • Bulletin board & Field Office locations • DBE Change in Utilization Form Policy
5.2	Contract Goals <ul style="list-style-type: none"> • DBE % - XX
5.3	Miscellaneous EEO Comments & Questions
6 - Safety	
6.1	PPE/General Safety <ul style="list-style-type: none"> • INDOT personnel & consultant inspectors are required to wear appropriate Class III PPE • All contractor personnel required to meet all OSHA requirements and, per MUTCD, all personnel are required to wear a minimum of a class 2 safety vest while within the work zone. • Equipment and materials will not be placed or parked within the clear zone
6.2	Accidents/Safety Incidents <ul style="list-style-type: none"> • Accidents within the jobsite limits should be documented fully in the SiteManager diary AND contractor work zone traffic supervisor's daily - recommend taking photographs • Inform accident investigation to AE, District Safety and contractor's safety officer immediately
6.3	ISP or LEO hours <ul style="list-style-type: none"> • Coordination will occur thru INDOT PE/PS/CPM • If used, PE/PS/CPM to add hours worked in diary
6.4	Emergency Contacts <ul style="list-style-type: none"> • Contractor required to provide at least 2 contacts, available 24/7 for the prime contractor and 1 for the sign and barricade company – place name and number of contacts on bulletin board
6.5	Emergency Services <ul style="list-style-type: none"> • Closures, restrictions, rerouting of traffic requires communication to all emergency services
6.6	Safety Concerns/Comments?
7 – Traffic & Traffic Control	
7.1	Signals <ul style="list-style-type: none"> • Do timing of any signals need to be adjusted during construction? Phasing changes needed? • PE/PS/CPM will reach out to District Communications 2 weeks prior to MOT changes
7.2	Traffic Control Supervisor and Reports <ul style="list-style-type: none"> • Contractor to provide Work Zone Traffic Supervisor forms to the PE/PS/CPM for prime, sign sub, and any other person performing lane restrictions • Weekly sign and barricade reports required – deficiencies and repairs noted – within 24 hours • PE/PS/CPM to perform periodic checks of traffic control devices, including night check
7.3	Maintenance during Construction <ul style="list-style-type: none"> • Work to be maintained until the contract is accepted • Once construction begins, Contractor to repair areas as needed within project limits



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Item No.	Topic
7.4	Unofficial Detour/Local Haul Routes <ul style="list-style-type: none"> Is there an unofficial detour? If so, what is it? Does it need to be recorded? Local haul route requirements? Discuss repairs and responsibilities
7.5	Access Concerns <ul style="list-style-type: none"> Contractor required to maintain pedestrian, driveway, & mailbox access at all times
8 – Public Information/Customer Service	
8.1	Public Information Officer <ul style="list-style-type: none"> Insert Contact Information – District Public Information Officer PE/PS/CPM required to be notified of all phase changes, restrictions, closures with as much notice as possible – preferably 14+ days of notice
8.2	Customer Service <ul style="list-style-type: none"> For customer inquiries – all should be referred to the INDOT phone number 1-855-INDOT-4-U or website: www.indot4u.com
9 – Environmental/Stormwater Management	
9.1	Storm Water Quality Control Plan (SWQCP) <ul style="list-style-type: none"> SWQCP required? Erosion Control Level? X Stormwater Budget Amount? Contractor Storm Water Quality Manager (SWQM)? Is a pre-disturbance meeting required for this contract? Anticipated date? Contracts without a Stormwater Budget require a written site plan – refer to CIB for contents
9.2	Erosion and Sediment Control (ESC) Inspections <ul style="list-style-type: none"> Only required on projects with environmental permits (no permits = no ESC inspections) Projects with Rule 5 permits AND waterway permit(s): Contractor required to perform ESC inspections within 24 hours of a ½ inch or greater rain / once per week (every 7 days) Projects with waterway permits ONLY: Contractor required to perform ESC inspections once per week (every 7 days) All general deficiencies are required to be corrected within 48 hours, emergency deficiencies are required to be corrected within 24 hours (includes weekends and holidays). ESC inspections submitted via ITAP Insert Contact Information - District Erosion & Sediment Control Specialist
9.3	Permits <ul style="list-style-type: none"> Army Corps of Engineers 404 – Individual Permit? Yes/No Army Corps of Engineers 404 – Regional General? Yes/No IDEM 401 Water Quality Certification? Yes/No DNR Construction in a Floodway? Yes/No Rule 5 Permit? Yes/No Other?
9.4	Commitments <ul style="list-style-type: none"> Review commitments provided
10 – Testing/Materials – Testing Engineer	
10.1	Contractor Requirements <ul style="list-style-type: none"> Buy America certifications required on all steel materials – must be signed by the Prime Asphalt and concrete mix designs submitted and approved prior to use



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Michael Smith, Commissioner

Item No.	Topic
	<ul style="list-style-type: none"> Provide material certifications prior to incorporating into work Provide material source list to the PE/PS/CPM Submit QC plans in accordance with the CIB, specifications, GIFE, ITM 803 Review USPs for special testing procedures
11 – Contractor Submittals	
11.1	Schedule <ul style="list-style-type: none"> Planned start date? Work hours? Contractor to update schedule when requested per the specifications
11.2	Coordination with Adjacent Projects <ul style="list-style-type: none"> List Adjacent Projects & Prime Contractors
11.3	Required Submittals not already discussed <ul style="list-style-type: none"> Pile Hammer(s), Cofferdam/Causeway (if applicable) Category 1 & 2 temporary traffic device report Shop drawings/working drawings as outlined in the CIB and specifications List of Subcontractor Point of Contacts
12 – Surveying/Construction Engineering	
12.1	Miscellaneous <ul style="list-style-type: none"> Coordinate with County Surveyor prior to setting section corners or applicable monuments Stationing and construction limit staking must be in place before work begins
13 – Change Orders/Contract Authority	
13.1	Chain of Authority <ul style="list-style-type: none"> INDOT PE/PS/CPM – X INDOT Construction Support/Section Engineer – X (if applicable) INDOT Area Engineer – X INDOT District Construction Director – X Contractor Site Superintendent? Contractor Project Manager?
13.2	Change Orders/Time Extensions/Claims <ul style="list-style-type: none"> Timely submittals expected from the Contractor and timely review expected from INDOT Contractor required to utilize the Change Order Request Form available on the INDOT website PE/PS/CPM to notify the AE and PM immediately upon discovery of the need for a change order
13.3	Weekly Reports <ul style="list-style-type: none"> IC 124 – Weekly Report of Controlling Operation will be sent to the Contractor Contractor has 7 days to review and comment per the specifications (Who will sign?)
14 – Contractor Payment	
14.1	Pay Estimates <ul style="list-style-type: none"> Two estimates per month during ongoing work operations Who will sign estimates on behalf of the Prime Contractor?
14.2	Payment Quantities <ul style="list-style-type: none"> When possible, agree to quantities with the Contractor daily Contractor to provide all tickets to justify payment



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Item No.	Topic
15 – Field Office/Progress Meetings	
15.1	Field Office <ul style="list-style-type: none"> Has one been located by the Contractor yet? Anticipated move in time frame?
15.2	Progress Meetings <ul style="list-style-type: none"> Will be held at agreed upon interval as work is scheduled
16 – Final Closeout	
16.1	Final Closeout <ul style="list-style-type: none"> PE/PS/CPM to notify AE & Candi Williams that the project is ready for a Pre-Final Inspection Stress early submittal of all material record information to help speed up the FCR process The Final Review Officer will send the final IC 642 to the Contractor for review – Contractor then has 30 days for review, questions, signature, and return
17 – Contract Documents	
17.1	Unique Special Provisions & Pay Items <ul style="list-style-type: none"> List/Review
17.2	Pre-letting Revisions <ul style="list-style-type: none"> List/Review
17.3	Construction Changes <ul style="list-style-type: none"> Per memo 13-12, the Contractor should designate a person whom construction change notification will be sent to – PE to send Contractor/PE/AE information to Scott Teal List/Review
17.4	Contractor Questions and Answers <ul style="list-style-type: none"> List/Review
18 – Meeting Wrap Up	
18.1	Question/Comments from any attendees? PE/PS/CPM to distribute minutes to attendees list



Any feedback or suggestions regarding this Pre-Construction Conference Template may be sent to
INDOT Construction Management – cmsupport@indot.in.gov

www.in.gov/dot/
An Equal Opportunity Employer





STARTING AND RUNNING MEETINGS

- Start application at least 15 minutes prior to meeting. Last minute distractions can delay starting the video.
- Suggest participants mute their microphone when not speaking to prevent distracting background noises.
- Suggest participants have cameras operating. This helps to identify those that may want to comment or ask a question more quickly than the "raise hand" feature or people texting on the side. If the video connection lags, you may have to ask attendees to turn their cameras off to help with bandwidth issues.
- If introductions are warranted, have in-person people introduce themselves while raising their hand. If there are a large number of on-line participants, consider reading the attendance list.
- Monitor participants, or have someone assist in monitoring participants to recognize those

- potentially wanting to comment or ask questions.
- Politely ask for participants cooperation if a technical issue arises such as a unmuted microphone or other issues that are distracting.
- Depending on the meeting and the attendees, speakers may need to announce their name prior to speaking to warrant identification of comments and questions.
- Suggest two note takers to assist with meeting documentation.
- The person running the meeting should avoid being a note taker if possible. This inevitably slows things down.

SUB-COMMITTEE MEMBERS

Greg Ellis – RQAW
 Andrew Pinkstaff – INDOT
 Jared Peterson – INDOT
 Rob Agee – E&B Paving
 Spencer McDowell – Deig Bros.
 Mark Berry – United Consulting



INDIANA TRANSPORTATION TEAM

ITT STATEWIDE UPDATE

Video Conferencing Best Practices

With video conferencing becoming the new norm it can be beneficial to understand video conferencing etiquette. The following is a quick and simple guide on how to prepare and lead virtual meetings with little to no issues.



PREPARATION

- Become familiar with your video conferencing application. Ensure you know how to open the meeting, admit attendees, answer chat questions, log participants attendance, share screens, and record the meeting.
- Before beginning, exit out of all unnecessary computer applications to reduce the risk of interference.
- Be considerate of your location and what your webcam is picking up, seek professionally appropriate options with minimal distractions.
- Run a trial with a co-worker on two separate computers.
- Know what your audience sees.
- Practice sharing documents and controlling the audio and video.
- Review the attendee list so you can see who all is on the meeting.
- Discuss critical items with stakeholders that are connected with a particular agenda item. Do not assume participants will speak when expected. Be ready to prompt attendees on cue.
- Generate and distribute the agenda prior to the meeting.

DOCUMENTS

Agenda

- Include location of meeting if there is an in-person option and link the location of your video option.
- Have an electronic copy open in another window

and only display the agenda if necessary.

Enclosures

- Combine multiple enclosures when possible to decrease down time.
- Send copies prior to meeting along with the agenda.
- Label each enclosure at the top with the meeting, date, and page number.

Links - Open links in a separate window so you can access them quickly versus trying to open them in real time.

MEETING SET UP

Video Only

- It is always a good idea to have a backup computer available if problems arise.

- Do not forget to run a trial to eliminate video and sound issues.

Video with In-Person Meeting Combined

- Utilize two people if possible. One to run app and one to present and moderate.
- Consider sound and video.
 - **Video:**
 - If one camera, try to get all possible participants in screen.
 - If multiple cameras, need professional switching device.
 - **Sound:**
 - When utilizing microphones, space them throughout room.



As a part of the Southwest Indiana Transportation Team, a small working sub-committee was formed to evaluate items for implementation regarding improvement of pre-construction conferences and the use of technology in the pre-construction process.

The following items are offered as an individual deliverable and furthermore, best practices for INDOT construction contract management.



PRE-CON AGENDA

An editable, working Pre-Construction Meeting Agenda was created from INDOT's formal pre-con agenda list and converted into a Microsoft word document which is 4.5 pages in length. This agenda is created with the idea that the PE/S can utilize it for a very project specific agenda as well as providing a convenient platform for creating meeting minutes. This file provides a consistent tool for INDOT pre-construction management that can live as a working document leading up to the pre-con.

MICROSOFT TEAMS

In addition to the pre-con agenda, utilization of Microsoft Teams provides extensive opportunities for contract stakeholders to hold remote meetings with interactive video and sharing capabilities for each meeting attendee. In addition, Microsoft Teams can be used to share files within the group that is set up for a particular meeting. This could be used to share files like signature affidavits, SWQCP's, shop drawings and other critical contract documents. One shortfall is the security side of the INDOT IOT firewall. INDOT can not share files with outside entities at this time. Contractors and consultants, however, may share files with the entire group. A consistent file sharing platform is being evaluated at this time. Contractors and consultants may also propose utilization of their own FTP sites as well as products like Dropbox or One Drive.

PREPARATORY MEETING

The PE/S and Contractor's project manager are encouraged to engage informally ahead of the pre-con in a pre-activity meeting to help prepare both sides for a productive pre-construction conference. They may choose to review submittals, mutual expectations at the meeting, planning and general discussion topics specific to the contract. This activity

can yield a more productive pre-construction conference and even shorten the meeting by addressing issues ahead of time that may not be applicable to the entire pre-con crowd. Setting expectations for who needs to be prepared to discuss what information is very productive and assists everyone in gaining as much as possible from the meeting.





CONTRACTOR ENGAGEMENT

INDOT pre-construction conferences are often very heavily geared toward the PE/S or AE speaking about INDOT expectations and administrative requirements. Contractors are heavily encouraged to be more active in the pre-con process and be represented equal meeting moderators speaking about the project in depth regarding phasing, schedules, means and methods, and other noteworthy topics. Ensuring that the contractor is viewed as a mutual stakeholder sets very positive expectations early in the project.

COMMUNICATION OPPORTUNITIES

Utilizing Microsoft Teams as informal field communication could also be a useful tool for sharing videos, chats, submittal review comments, and other items requiring mutual interaction.

VIRTUAL MEETINGS

Holding pre-cons with remote capabilities, even post-covid, makes a lot of sense for a lot of people. It can reduce time, driving, and improve communication particularly with attendees that have limited participation (utilities, EEO, testing, etc.). Utilizing remote capabilities provides a platform for project stakeholders to attend that may not otherwise take the time to participate in person due to location, schedule, or work load.

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INDIANA TRANSPORTATION TEAM

SOUTHWEST



**FORMALIZE DECISION-MAKING
RIGHTS
CRAWFORDSVILLE DISTRICT**

Decision Rights Matrix

		Field Level			Field Management Level			Area Management Level			Executive Construction Level			Executive Management Level			External Resources												
		50,000			CO cost Authority			CO time Authority			CO cost Authority			CO time Authority															
					10 Calendar days			\$50,000			50 Calendar days			\$250,000			\$750,000			\$2,000,000 +									
		0-1 days			1-5 days			5-10 days			100 Calendar days			100 Calendar days			100 Calendar days			100 Calendar days									
</																													



ITT- Crawfordsville District- Formalized Decision Rights

The ITT subcommittee held meetings during the month of October to discuss the development of a framework/matrix to help expedite the decision-making process for field level personnel on INDOT or LPA project. The subcommittee came away with 3 recommendations for consideration that are described below.

The first recommendation the subcommittee made was to develop a matrix that defines the project specific personnel involved on the project and the most effective means of communication with those individuals. The matrix would help to clarify the levels of decision rights and the appropriate timing for escalating issues to the next level. The subcommittee felt it would be more effective to hold formal introductions of key personnel immediately following the pre-construction conference so less experienced PE/PS's could put a name with a face. The current process for relaying this information is to have pre-construction participants sign in upon entry to the conference, the sign-in sheet is then given to the PE/PS for distribution to all participants involved.

The second recommendation the subcommittee suggested is to implement a timeline for escalation of issues. The recommended timeframes were agreed upon by INDOT, Consultant, and Contractor representatives that participated in the weekly subcommittee meetings. These decision timeframes would represent the maximum timeframe acceptable before consulting the next level of the matrix. It was determined in our discussions that these are not timeframes for final decisions to be made but merely to escalate issues and include other participants when needed.

The final recommendation the subcommittee proposed was a revised limit for field personnel to process change orders. It was suggested that in the current bidding environment the majority of project change order's fall outside of the PE/PS's authority. A recommendation was brought forward to utilize a "special scale" for change order authority based on the experience level of the PE/PS. The subcommittee stated this change would be best utilized on large, complex projects that utilize highly experienced personnel, to alleviate some of the pressure currently placed on the area engineers. The suggestion was made that the district engineer and area engineer have final input on the project specific change order authority if a "special scale" is applied.



INDIANA
TRANSPORTATION TEAM

**PROGRESS MEETING
AGENDA TEMPLATE
GREENFIELD DISTRICT**



Progress Meeting Agenda

Utilize the Progress Meeting Agenda as a template for maintaining consistent discussion for progress meetings.

1. Progress meeting welcome

2. Record: Approval of previous meeting minutes, Contract, Location, Date, Time, and the Person keeping the minutes of the meeting *(Set requirements for when minutes are to be done by, and reviewed by all attendees)*

3. Attendees:

Name	Company	Present	Name	Company	Present
		X			

4. Safety

- ☐ Toolbox talk or safety moment
- ☐ Contract safety concerns
- ☐ Motorist safety concerns *(Discuss any accidents that have occurred prior to the meeting (vehicular or worksite personnel) and what could be added or changed to prevent future accidents. Have an open discussion on potential MOT additions that could further enhance the safety of the work zone)*
- ☐ Pedestrian safety concerns
- ☐ Property owner safety concerns
- ☐ Public information
- ☐ Emergency services *(first responder coordination)*

5. Maintenance of Traffic (MOT) and Work Zones

- ☐ Traffic control and its correctness for current work process, including pedestrian MOT *(discuss the following: Traffic Management Plan (TMP) compliance and/or updates, MOT for utility relocations, etc.)*
- ☐ Condition of signs, barricades, barrels, temp pavement markings, and other devices *(confirm sign and barricade reports are being submitted)*
- ☐ Interstate Highways Closure Policy (IHCP) compliance (if applicable)
- ☐ ISP and/or LEO patrol hours, status, and coordination with contract conditions *(consider keeping track of cumulative hours from week to week)*
- ☐ Upcoming changes *(discuss the following: need for any upcoming 2-week pre-notifications to INDOT, PIO, and stakeholders (see below) for restrictions/closures, is CARS updated to reflect current MOT, ingress/egress of worksite/properties, special/local events, any special circumstances)*



Progress Meeting Agenda

6. Schedule

Note: Record Critical/Milestone Dates (Notice to Proceed, Intermediate Completion Dates, Contract Completion Date) for original contract and revised as per the example below:

<i>Date description</i>	<i>Original Contract Date</i>	<i>Revised Date</i>
	03/15/2019	N/A

- ☐ Baseline schedule review (*keep at a high level, i.e., is project ahead/on/behind schedule to meet INDOT construction contract milestones; if behind, hold independent schedule meeting as needed to discuss severity, reasons, responsibility, and potential mitigation. In addition, include subcontractor coordination in the discussion*)
- ☐ Critical path review (*may be better served in any as needed schedule meetings*)
- ☐ 3-week look ahead (*primary schedule related topic of discussion for progress meetings; require Contractor to provide copy of updated schedule and detailed information on planned daily major activities*)
- ☐ Weekly IC-124 review

(Note: Optional discussion items: threats to maintaining schedule, recovery strategy, inclement weather effects on schedule, pre-installation, and material testing schedule)

7. Utilities and Railroads

- ☐ Utility update (*keep at a relatively high level; hold independent utility meetings as needed*)
- ☐ Utility relocation coordination issues (*discuss the following: responsibility of relocation issues (INDOT, Contractor, Utility Company), electrical service point coordination where applicable*)
- ☐ Railroad and flagger coordination and submittal update
- ☐ High priority utility or railroad conflicts

8. Contract Progress

- ☐ Partnering and conflict resolution. Decision tree and time frames for those decisions (*Refer back to pre-construction meeting minutes where team goals have been established; continue to foster trust and open communication; commit to resolving issues promptly; and commit to talking through issues before issuing letters. Open communication includes notifying all effected parties, including subcontractors and subconsultants*)
- ☐ Submittals summary:
 - ☐ Payrolls
 - ☐ Erosion control inspections (*Ensure the SWQCP is up to date. If not, this could serve as a reminder to update frequently as BMP's are added*)
 - ☐ Other (*longer lead time materials testing (e.g., SIPs, threaded tie bars, high strength bolts/nuts/washers, trial batches, etc.), and QC plans*)
- ☐ RFI/Shop Drawings submittal status and updates:
 - ☐ Review and discussion of RFI log (*For submittals/RFI's that have not been resolved, discuss time frame from the responsible party on when it will be resolved/approved*)
 - ☐ Identify action items and current responsible person/department for advancing RFI to resolution
 - ☐ Shop Drawings (*include log with review and release/approval status*)



Progress Meeting Agenda

- ☐ Stormwater BMP implementation and NOT preparation
- ☐ EEO issues/concerns since last meeting.

9. Quantity and Estimate Payments

- ☐ Quantity estimates for the pay period
- ☐ Status of disputes over previous quantity estimates
- ☐ Expectations for look-ahead schedule quantity estimates (*add date for when next pay estimate is anticipated to be generated*)
- ☐ Budget “to-date” discussion (update on PO amount(s))
- ☐ LD and QA status and accrual

10. Change Orders

- ☐ Status of change orders/claims (*discuss both current and potential change orders/claims*)
- ☐ Outstanding change orders (*determine why outstanding; assign responsibilities for advancement to full approval*)
- ☐ Responsible person for action and timeline
- ☐ Review change order log

11. Quality/Materials and Testing

- ☐ Material record and certification submittals
- ☐ Quality Control/Quality Assurance items for discussion
- ☐ Status of failed material, appeals

12. General Business Topics

- ☐ Review previous action items outside the below specific topics (*specifically review progress made on action items from last meeting to better develop strong accountability for resolving action items timely*)
- ☐ Hot topics that may need further attention outside of the progress meeting (*includes risk register topics*)
- ☐ Locals/Public/Stakeholder information and concerns
- ☐ Contractor concerns
- ☐ Department concerns

13. New Action Items

- ☐ Review new action items from the meeting (*specifically review items and responsible parties, timeframe of completion of those items, and ask if there are any new action items to discuss*)

14. Open Forum

- ☐ Open discussion items (*discuss lessons learned, best practices, other topics, etc.*)



Progress Meeting Agenda

Next Progress Meeting date/time

List of documents to be provided before the next meeting.



INDIANA
TRANSPORTATION TEAM

**CONSTRUCTION AFTER
ACTION REVIEW INITIATIVE
LAPORTE DISTRICT**



After Action Review Initiative

Under the current process of construction completion, there is generally no formal review or recap of how the project went during construction. No assessment of the challenges that were faced, changed conditions encountered, minimal feedback to the designer, and no review to confirm that the intended purpose and need of the project itself was addressed. Without a construction review discussion, valuable project information that could be used on future projects is lost. The need is for post-construction discussion between the owner (INDOT), contractor, and designer, including lessons learned and what can be done differently.

The purpose is to facilitate a timely and well-organized after-action review/lesson learned opportunity, where all stakeholders can meet in person to discuss the results of the completed construction project.

What: An After-Action Review (AAR) is proposed to facilitate open dialogue, focusing on initiative and innovation to find better and more effective ways to achieve results. Project challenges, lessons learned and differences to execute with future projects will be documented in writing and distributed to participants.

An outline has been developed to help guide the discussion and is attached for reference. The main discussion points include:

1. Constructed Project (End Result)
2. Construction Challenges
3. Lessons Learned
4. Differences for Next Time

It is important for the key stakeholders, INDOT, contractor, and the designer, to participate and approach the meeting as a teammate rather than adversary, understanding that the intent is to review the project and identify how the product and process can be improved for future projects. The AAR is not intended to assign blame, but rather to be used as an opportunity for communication between the three project stakeholders.

Who: The intended participants for the AAR should include personnel from INDOT, the contractor, and designer. INDOT would generally be represented by the on-site representatives during construction, area engineer, project manager, and staff from the asset management, maintenance, project scoping groups. The contractor may consider including representatives from subcontractors having larger roles in the project or that may have been involved in challenging elements. The designer would be represented by the consultant project manager and key staff involved in the design of the project.

When: It is important to be respectful of everyone's time and the burden of adding more meetings, however it is also important to acknowledge the value of the information that can come from post-construction discussions. The pre-final meeting is already established as a requirement as projects near completion, therefore it is recommended that the AAR be completed at or after the pre-final meeting. Generally, the AAR should be considered a separate meeting from the pre-final, but for convenience, the timing is recommended to be at the time of the pre-final meeting, when possible.

Projects have varying scope and complexity. It is expected that an AAR should be completed on all projects except general maintenance projects.

Where: The AAR should be held at the field office. In situations where the field office is not available or practical, a separate meeting space can be identified and agreed upon by INDOT, the contractor, and designer.

Why: The ultimate client for transportation projects is the taxpayer and traveling public. INDOT has an obligation to be prudent stewards of transportation funding and maintain a safe and effective roadway network. By extension, the contractor and designer both share in this responsibility as well. Each project provides an opportunity to assess whether the project meets the intended purpose and need, and what can be improved for future projects.

Implementation of the AAR will need to begin with direction from INDOT to incorporate it into the construction completion process. As with most changes in policy and process, it is important that support and buy-in be provided at all levels of INDOT, the contractors, and designers.

The AAR meeting is anticipated to be led by the PS/PE or their designee, and the resulting documentation would be in the form of a text document to summarize the topics of discussion. Following the meeting, documentation would be distributed to the attendees in the form of meeting minutes. A sample template is included with the attached AAR Meeting outline. A draft copy of the meeting documentation is to be sent to all attendees for a 7-day review/comment period. Following this comment period, the document is to be finalized and distributed to all attendees.

In the future, there may be an opportunity for a centralized database to compile the documentation coming from the AAR meetings. Analysis of this documentation, looking for recurring themes, could yield helpful practice pointers to be distributed industry wide. At this time, however, it is recommended that the AAR documentation be kept on a project level basis.



After Action Review Outline

Constructed Project (End Result)

- a. Fulfill initial purpose and need / Design criteria
- b. Expect asset life expectancy or extension
- c. Budget at inception and completion
- d. Design successes and deficiencies
- e. Strengths / Weaknesses
- f. Innovation
- g. Was quality achieved?
- h. Public feedback

2. Construction Challenges

- a. Communication
 - i. Response time
 - ii. Line of communication between contractor and designer
- b. Change Order log review
 - i. Errors and Omissions
 - ii. Quantity Issues
 - iii. Differing site conditions
- c. Constructability
 - i. Utilities / RR / Local authorities
 - ii. MOT Phasing / Duration(s)
 - iii. Construction Details
 - iv. Working room (Barriers and or R/W)
 - v. Adjacent projects
 - vi. Environmental Commitments
- d. Construction time
- e. Labor/Equipment
- f. Material
- g. Safety Issues
 - i. MOT Issues
 - ii. Job site accidents
 - iii. Worker injuries
 - iv. Public Safety
- h. Responsiveness of Utilities, RR, & Local Authorities

3. Lessons Learned

- a. Items to sustain

- b. Decision making/judgement
 - i. Designer responsiveness
 - ii. Shop drawings / submittals
 - iii. RFIs
 - iv. Construction changes / directives
 - v. Timeliness
- c. Key lessons (what does the group want to share with others)
 - i. What went right?
 - ii. What went wrong?
 - iii. Alternatives
- 4. Differences For Next Project
 - a. Feedback Loop items
 - i. Asset Management
 - ii. Scoping
 - iii. Capital Program Management
 - iv. Construction
 - b. Process Improvements / Follow up tasks
 - c. Action items
 - i. Owner agent
 - ii. Deliverable date
 - iii. Practice pointer items (broader audience)
- 5. Closing Comments



After Action Review Meeting Memorandum

Date: <<Date>>

Project: <<Project Name, Des Number, & Contract Number>>

Contractor: <<Name of Contractor>>

Designer: <<Name of Designer>>

Attendees: <<Attendees>>

Written By: <<Name of Author>>

A draft copy of the memorandum is to be sent to all attendees for a 7-day review/comment period. Following the comment period, a final version is to be distributed to all attendees.

Discussion Topics:

1. Constructed Project (End Result):

2. Construction Challenges:

3. Lessons Learned:

4. Differences for Next Project:

5. Closing Comments: