



## Construction Research to Practice [r2p] Partnership Toolkit



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# Introduction

## Construction r2p Partnership Toolkit

Construction is one of the most dangerous industries, with high rates of injuries and illnesses. Research-based safety and health work practices and equipment are making construction work safer. However, to further reduce the risk for injuries and illnesses, there needs to be broader acceptance and use of these safety and health solutions, as well as development of new ones.

In 2010, CPWR initiated a project to identify the barriers to using safer work practices and equipment, the steps needed to overcome these barriers, and ways to increase the use of solutions – in other words – move research to practice. We found that in addition to a lack of worker and contractor awareness of available research-based solutions, these solutions may not reflect industry priorities or fully incorporate workers’ and contractors’ knowledge and expertise.

An in-depth review of new and existing construction partnerships documented the critical role partnerships can play in addressing these barriers: raising awareness of effective solutions, increasing their use, as well as creating demand for high-quality safety and health research, information, tools, programs, and practices. As a result, CPWR’s research to practice initiative emphasizes the importance of using partnerships to involve “end users” – workers and contractors – at every stage, from identifying research needs to promoting action based on new findings.

### What is an r2p partnership?

A research to practice, or r2p, partnership is a collaborative effort among stakeholders to identify and solve safety and health problems by promoting the use of available research-based solutions and identifying new research needs. Such partnerships can be organized around solving a specific problem or improving the overall safety and health practices of a particular industry segment. The following are examples of collaborations that CPWR studied in an effort to learn what makes a successful r2p partnership:

**The Asphalt Paving Partnership** drastically reduced workers’ exposure to asphalt fumes through an innovative voluntary agreement between manufacturers, government, and industry stakeholders to install engineering controls on all new equipment. They continue to improve on their success by actively promoting the broad uptake of warm-mix asphalt to further reduce emissions at the source, and engaging in other safety and health efforts related to work-zone safety, silica in milling operations, and dermal exposures.

**The Masonry r2p Partnership**, established to help CPWR develop a model industry-wide partnership, demonstrates how such a partnership can leverage the influence of its core partners over industry practices across the country. A key finding from working with this partnership is the importance of having stakeholders establish safety and health priorities and identify practical solutions. The Partnership is working with researchers and other industry representatives on an array of initiatives. They have focused their attention on ergonomic solutions involving mast scaffolding and hand tools, preventing contact dermatitis, and developing and broadly disseminating education and communication products. To assess their progress in disseminating these solutions, the Partnership has also embarked on a nationwide evaluation, using worker and contractor surveys.

**The SafeBuild Alliance** (formerly the Greater Portland Construction Partnership) uses a regional approach to improve the industry's safety culture and achieve zero injuries. The Alliance holds quarterly meetings focusing on safety for its broad membership, which includes general contractors, subcontractors, owners, labor unions, designers, safety and health professionals, and other stakeholders. Their innovative Prequalification Assessment Certification Program helps to streamline the safety prequalification process by allowing general contractors to access information on the safety performance of participating subcontractors.

**The Massachusetts Floor Finishing Safety Task Force** was established as a statewide partnership in response to a specific hazard facing a vulnerable population within the state's construction industry. During 2004 and 2005, three Vietnamese immigrant workers died while using highly flammable lacquer-based sealants to finish floors. This partnership used a strategy of research, education, outreach, and advocacy to build support for the enactment of state legislation banning the sale of the types of products responsible for these deaths.

**The Electrical Transmission and Distribution Partnership**, formed as part of the Occupational Safety and Health Administration's (OSHA) Strategic Partnership Program, has consistently recorded injury and illness rates below the industry average. They have achieved these results through a combination of targeted data analysis, causal factor identification, and the development and dissemination of best practices for prevention. As part of their effort, the Partnership developed industry-specific OSHA 10-hour and 20-hour training programs, which in just one year reached over 30,000 workers and over 2,400 supervisors.

**The Roofing r2p Partnership** was established to explore the replicability of the partnership model, piloted in the masonry industry (see Masonry r2p Partnership above), with industry partners representing both union and non-union segments of the industry: the United Union of Roofers, Waterproofers and Allied Workers and the National Roofing Contractors Association, which represents union and non-union contractors in residential, commercial and industrial construction. This partnership provided important insights into how partners who may have different positions on some topics can work collaboratively to use their collective influence to raise awareness of safety and health hazards and promote use of interventions. The Partnership formed a coalition with other labor and management representatives in the construction industry to address an emerging hazard and works with researchers to address hazards specific to the roofing industry as well as ones with broad

application in the construction industry. It has focused attention on topics such as radio frequency (RF) radiation hazards, fall prevention, and mental health issues, and developed an ongoing coordinated national social media campaign -- #roofersafety365 to disseminate information on these issues.

**Latino Falls Prevention Partnerships:** UC Berkeley's Labor Occupational Health Program (LOHP) and the Philadelphia Area Project on Occupational Safety and Health (PhilaPOSH) each used local partnership models with labor, community, employer, government, and other partners to develop targeted strategies to prevent falls among Latino construction workers.

- ❖ **LOHP** used this partnership approach in Northern California to support the development of concepts and messages for a social marketing-based strategy to prevent falls from roofs. Working with the California state workers' compensation insurer, the Associated Roofing Contractors of the Bay Area, the United Union of Roofers, Waterproofers and Allied Workers, and state agencies, LOHP used focus groups to test and recommend fall prevention messages and materials.
- ❖ **PhilaPOSH** explored potential partnerships in the Philadelphia area to support training and education strategies that address falls among Latino workers in residential construction. By convening meetings and training sessions and providing technical assistance, the group developed connections with Latino workers, local Latino contractor associations, OSHA, and the Philadelphia Power and Electric Company.

**The OSHA•NIOSH•CPWR Interagency r2p Working Group** coordinates research to practice efforts among leading agencies in construction safety and health. The Working Group aims to learn about and improve the r2p process by conducting, documenting, and evaluating r2p efforts, comparing lessons learned, and compiling useful tools. Since its inception in 2010, the group has undertaken the following initiatives:

- ❖ the broad dissemination of nail gun safety information
- ❖ the creation of a database of industry contacts to facilitate the dissemination of construction safety and health solutions
- ❖ collaboration on a National Falls Campaign
- ❖ the development of a one-stop web resource on silica safety
- ❖ exploration of the best ways to reach residential contractors
- ❖ dissemination planning related to noise control resources
- ❖ a workshop and subsequent material development on technology transfer
- ❖ a workshop, and material and webpage development on the topics of safety culture and safety climate
- ❖ the development of a report on career technical education

## What is the purpose of the partnership toolkit?

Recognizing that partnerships play a pivotal role in moving research to practice, we designed this toolkit to help a range of audiences, from groups interested in establishing a new r2p partnership to those interested in strengthening an existing one.

The toolkit is organized into sections based on partnership best practices and includes lessons learned from successful collaborations, examples from case studies, partnership activities, ideas for how to move solutions from research to practice, as well as additional resources and background information. It is not necessary to go through each section in the order presented or to use every section and tool. Since each partnership is unique, this toolkit is designed so that your partnership can easily identify and find the topics and tools that are most appropriate and helpful.

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# 1 - IDENTIFY AND INVOLVE KEY R2P PARTNERS

Safety and health research to practice (r2p) partnerships are formed to reduce the number of job-related injuries and illnesses in the construction industry by advancing the development and use of safer equipment and work practices. Such partnerships may be initiated by an individual or group of organizations to address a specific hazard or to more broadly improve safety and health in a specific segment of the construction industry.

Members of effective r2p partnerships say that one of the keys to success is making sure the right stakeholders – the people and organizations most directly affected by or who have the ability to influence the issue(s) – are involved.

*It's the expertise of the people at the table. For example, if you sit around a table with five engineers; you're going to find an engineering answer. – Masonry r2p Partner*

Choosing the right partners is an important process; treat it like “dating.” Do not feel pressured to “get married” right away by forming a formal partnership if you are not ready. Take your time to identify and assess the partner or partners that best suit your effort and then start taking steps to develop a partnership.

This section focuses on what to consider when selecting partners for a new partnership or expanding an existing one. We begin by identifying the stakeholders, move to assessing the right mix of partners from the stakeholders, and then provide tips for structuring and ensuring full participation in the partnership.

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## 1.1 IDENTIFY STAKEHOLDERS AND POTENTIAL PARTNERS

When identifying potential partners, it is important to consider those individuals and organizations that have the greatest interest in and influence over the issue(s) you want to address and the outcome(s) you hope to achieve (the purpose of the partnership). **Tools 1-A** and **1-B** can help you think broadly about who these key stakeholders are, as well as which ones might be a priority to include in your partnership.

### TOOL 1-A: ISSUE(S) BULL'S EYE

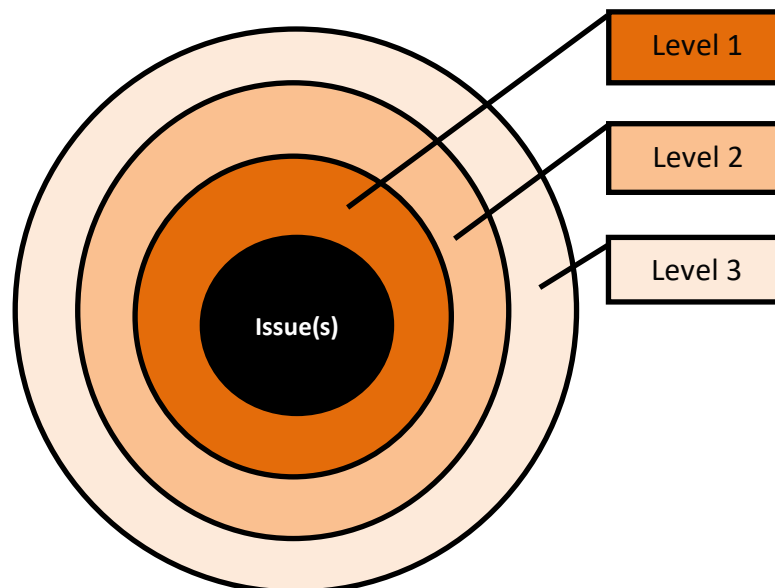
#### Instructions:

- Write the issue(s) and what you hope to accomplish through a partnership in the center of a piece of flip chart paper or a whiteboard; draw three rings around the issue(s); label the rings Level 1, Level 2, and Level 3 respectively. Each level refers to a type of stakeholder:
 

*Level 1:* Stakeholders who are actively engaged in or directly affected by the issue(s), are highly influential, and have critical perspectives to consider.

*Level 2:* Stakeholders who may be impacted by the issue(s) and are able to influence other stakeholders.

*Level 3:* Stakeholders who have the potential to be convinced about the importance of the issue(s) and could be helpful supporters.
- Brainstorm and write the names of the stakeholders (organizations or persons) that have an interest in or connection to the issue(s) on sticky notes; place the sticky notes in one of the rings based on your knowledge of how close or pivotal each is to the issue(s). *Tip: If you are doing this in a group, you may want to have each individual decide who the key stakeholders are on their own and place their sticky notes on the target. The group can then discuss the possibilities and move sticky notes around to reflect consensus.*



**TOOL 1-B: STAKEHOLDER PERSPECTIVES**

**Instructions:** The following list of common stakeholder perspectives in r2p partnerships can be used as a checklist or brainstorming tool for considering possible partners. The last column asks whether the stakeholder would likely be a “core partner” or an “additional resource” that could be involved on an as-needed basis (see **Tool 1-G: Models of Partnership** for further explanation).

<b>Interest, Roles &amp; Perspectives</b> <i>What interest does this person/organization have in the issue(s)? What role or perspective could this partner contribute? What decisions do they influence?</i>	<b>Name(s) of current or potential participants</b>	<b>Core Partner (C) or Additional Resource (R)</b>
<b>Workers/Labor</b> Interest, role, and/or perspective:		
<b>Contractors/Employers</b> Interest, role, and/or perspective:		
<b>Researchers</b> Interest, role, or perspective:		
<b>Government Agency Representatives &amp; Policy Makers</b> Interest, role, or perspective:		
<b>Tool or Equipment Manufacturers or Suppliers</b> Interest, role, or perspective:		
<b>Designers, Engineers, &amp; Architects</b> Interest, role, or perspective:		
<b>Others (see ideas below)</b> Interest, role, or perspective:		

Examples of types of collaborating stakeholders and organizations:

- Trade Associations
- Labor Unions
- Joint labor-management apprenticeship committees
- Joint labor-management, association, or employer safety and health committees
- Community colleges/other training providers
- Commercial training organizations
- Non-profit organizations (national, regional, or local community-based organizations)
- Equipment manufacturers
- Material suppliers
- Tool and equipment rental firms
- Owners (public or private sectors)
- Insurance associations
- Insurance companies
- State-based insurance providers
- Workers
- Federal Occupational Safety and Health Administration (OSHA)
- State OSHA
- Other federal government agencies (e.g., Consumer Product Safety Commission (CPSC), National Institute for Occupational Safety and Health (NIOSH))
- Local government agencies (e.g., local building inspectors, licensing and permitting offices)
- Research foundations
- Academic institutions/researchers
- Other research institutions
- Policymakers
- Public interest groups
- Contractors/employers
- Students

## 1.2 ASSESS POTENTIAL PARTNERS

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Researching potential partner organizations to determine if their issues and interests are compatible with the partnership's goals and to identify the resources, skills, and influence they could bring to the partnership is an important step. Explicitly identifying the benefits and the possible challenges of each potential partner may help you, the facilitator(s), or other partnership organizers anticipate opportunities as well as sensitive issues.

When assessing potential partners from the stakeholders identified in **Section 1.1**, there are a variety of factors and desired partner characteristics to consider, such as:

- ❖ Compatibility
- ❖ Historical relationships and trust issues
- ❖ Benefits of collaboration to the potential partner and the partnership as a whole
- ❖ Resources each potential partner can bring
- ❖ Level of interest in collaborating on the issue(s)
- ❖ Level of concern for the issue(s) and support for what the partnership hopes to accomplish

[Adapted from: National Institute of Environmental Health Sciences. (2012). *Partnerships for Environmental Public Health: Evaluation Metrics Manual*, Chapter 2, Activity 1: Identify Partners, [http://www.niehs.nih.gov/research/supported/assets/docs/j\\_q/peph\\_evaluation\\_metrics\\_manual\\_chapter\\_2\\_508.pdf](http://www.niehs.nih.gov/research/supported/assets/docs/j_q/peph_evaluation_metrics_manual_chapter_2_508.pdf).]

Meet your potential partners in person and take time to establish rapport and build trust as you work on assessment and outreach:

- a. Give a general overview of the partnership's issue(s).
- b. Explain the specific actions needed to address the issue(s) and why a partnership is needed.
- c. Ask about their organization and perspective.
- d. Ask about their organization's needs and discuss how the partnership might help meet those needs.
- e. Ask what resources their organization could contribute to the partnership.
- f. Make a clear and specific "ask" of those invited to partner.

The questions in **Tool 1-C** can be used as a guide as you begin to make decisions about which stakeholders to invite to be part of your partnership. **Tool 1-D** is a worksheet for recording your answers to the questions.

**TOOL 1-C: THINK IN DEPTH ABOUT POTENTIAL PARTNERS**Instructions:

The following list of questions can be used to consider the benefits and challenges of working with potential partners to address the issue(s) and what the partnership hopes to accomplish.

*Note – use only those questions that are relevant to your partnership.*

1. What potential partners have been identified? (see **Tools 1-A and 1-B**)
2. Which potential partners could help us better address our issue? (see **Tools 1-A and 1-B**)
3. Have we identified new and nontraditional partners? (see **Tool 1-A: The Issue Bull's Eye**)
4. Do the potential partners understand and support the partnership's priorities or have similar priorities?
5. Do the potential partners have a history of good relations with each other? Is there a shared respect for each partner's or potential partner's organization and work? If not, can the differences be overcome?
6. What are the potential drawbacks to partnering with each organization?
7. What specific resources will each potential partner bring to the partnership? Is there a particular strength or resource that will contribute to the success of the partnership?
8. What resources would be valuable? Who has those resources?
9. Could collaboration reduce costs or make reallocating funds possible?
10. Is there a person who could be a "champion" and would work to make sure the partnership happens? (see **Tool 1-E: Consider Facilitators and Champions**)

[Adapted from: CDC National Breast and Cervical Cancer Early Detection Program. (2011). *Engaging, Building, Expanding: An NBCCEDP Partnership Development Toolkit*, Introduction, [http://www.cdc.gov/cancer/nbccedp/pdf/toolkit/NBCCEDP\\_Toolkit.pdf](http://www.cdc.gov/cancer/nbccedp/pdf/toolkit/NBCCEDP_Toolkit.pdf); and the Labor Occupational Health Program. (2008). *Strategic Partnerships: Checklist*.]

**TOOL 1-D: POTENTIAL PARTNER ASSESSMENT**Instructions:

Use the following chart to keep track of the advantages and challenges of working with different potential partners based on the discussion generated from the questions in **Tool 1-C**. Use more than one copy of this chart if you want to consider more than three potential partners, or adapt the chart to best suit your needs.

What is the issue(s), and what do you hope to accomplish through the partnership?

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Potential Partners	[Partner A]	[Partner B]	[Partner C]
<b>Previous Experience</b> <ul style="list-style-type: none"> <li>History of good relations</li> <li>Shared respect</li> </ul>			
<b>Potential Benefits of Partner Involvement</b> <ul style="list-style-type: none"> <li>Support for priorities - understanding of issue(s) and support for what is hoped to be accomplished</li> <li>Similar work culture</li> <li>Specific strength or valuable perspective</li> <li>Specific resources partner can bring</li> <li>Community/Industry/Academic buy-in</li> <li>Experience working in a partnership</li> <li>Research or evaluation skills</li> </ul>			
<b>Potential Drawbacks or Challenges of Partner Involvement</b>			
<b>Potential benefit TO partner (what will they get out of it?)</b>			
<b>Potential challenges FOR partner (what concerns might they have?)</b>			
<b>Other Notes</b>			
<b>Next Steps</b> <ul style="list-style-type: none"> <li>Would potential partner be either a good core partner or a resource?</li> </ul>			

Once you have identified partners, **Tool 1-E** includes questions to consider when determining which of your partners can fill the two leadership roles that experienced partnerships have described as being pivotal to success: facilitators and champions.

- ❖ **Facilitators** help build trusting relationships between partners and help the partnership run smoothly. They lead the group process, making sure all voices are heard, and all partners are engaged. They take a leading role in driving the agenda, and often ensure that administrative and logistical needs of the partnership are fulfilled. Facilitators are often individuals who come into the partnership already well-respected and trusted by other partners. See **Section 2: Understand the Art of Facilitation** for more about this role including the differences between a “neutral facilitator” and a “facilitative leader.”
- ❖ **Champions** are often respected leaders in their fields who are firmly committed to the partnership and its goals. They use their credibility and influence to convince their colleagues to support the effort, creating early buy-in and momentum for the partnership.

### TOOL 1-E: CONSIDER FACILITATORS AND CHAMPIONS

This tool includes questions to consider when determining which of your partners can fill the two leadership roles that experienced partnerships have described as being pivotal to success: facilitators and champions.

Instructions:

The following chart can be used to list the people currently filling, or potentially able to fill, the facilitator or champion roles. While these roles may get filled organically over the life of the partnership, taking a moment to consider these roles may enable you to strategically target particular individuals for participation or leadership.

Roles and Perspectives	Name(s) of Current or Potential Participant
<p><b>Facilitators</b> – <i>Who can bring different people together? Who can effectively communicate with others? Who can make sure that all voices and perspectives get heard? Who is trusted to be neutral and not “take sides?”</i></p>	
<p><b>Champions</b> – <i>Who are the respected leaders in their fields? Who can provide access to different communities or target populations? Who has the influence to convince people within the industry to do the right thing? Who can help navigate choppy waters? Who knows and is willing to engage the government and regulatory world?</i></p>	

**Additional Resources**

For additional information on assessing key stakeholders, visit the following resources:

- ➔ **Characteristics of Effective Partners in Community-Based Participatory Research –**  
<http://depts.washington.edu/ccph/cbpr/u2/u21.php>
- ➔ **4 Levels of Engagement in Partnering - the CDC's Partnership Development Toolkit**  
**(pp. 3-4)** [http://www.cdc.gov/cancer/nbccedp/pdf/toolkit/NBCCEDP\\_Toolkit.pdf](http://www.cdc.gov/cancer/nbccedp/pdf/toolkit/NBCCEDP_Toolkit.pdf)

## 1.3 INVOLVE PARTNERS

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The partners you select will bring unique skills, experiences, and expertise to your r2p partnerships, allowing them to play different roles. While their level of participation may change and evolve over time, it is useful to consider the different roles individuals and organizations can take on and their unique capacities.

Examples of the roles partners played in two different partnerships are described in the following case studies of the Massachusetts Floor Finishing Safety Task Force and the Asphalt Paving Partnership.



### Case Study: Massachusetts Floor Finishing Safety Task Force

One partnership that illustrates the importance of having diverse collaborators who each bring their unique strengths and perspectives was the Massachusetts Floor Finishing Safety Task Force. The deaths of three Vietnamese immigrant floor finishers between 2004-2005 catalyzed key stakeholders to come together and take action to prevent further deaths and injuries.

The floor finishing industry in Massachusetts is small, which made the major stakeholders relatively easy to identify. The differing perspectives of the stakeholders presented challenges as well as benefits. Partners included a workers' advocacy organization, small floor finishing contractors and distributors, a Vietnamese community-based organization, university researchers, a community clinic, and government agencies. The diversity of the partnership ensured that the group's work was grounded in actual working conditions, the community context, and the floor finishing product market, and allowed the group to consider the range of differing perspectives needed to reach consensus and ultimately address the problem of highly-flammable lacquer sealer use in floor finishing.

All partners played critical roles, and each was credited by others with taking on important facilitating and coordinating roles:

**The Massachusetts Coalition for Occupational Safety and Health (MassCOSH)**, an advocacy and workers' rights organization, acted as the main facilitator and convener of the Task Force and led the work on creating and conducting survey research.

**VietAID**, a well-established community development organization serving the Vietnamese community, helped bridge the worlds of small business owners, the broader community, and other members of the Task Force in their work together. They conducted outreach via Vietnamese media and found a bilingual certified master floor finisher able to provide training to all the floor finishers. They were instrumental in conducting survey research as well.

Doctors at the **Dorchester Health Center** provided the professional credibility and evidence that helped to get the Vietnamese community on board with the idea that lacquer sealer should not be used.

A representative of the **University of Massachusetts Lowell** played a facilitating role as well, and took the lead in assembling reports and research supporting the partnership's work.

**Small business contractors and product distributors** provided information on floor finishing products and procedures and a way to directly involve the industry. "The core expertise from the business community was essential...we couldn't have made progress without them. They knew exactly what products were used, how they were used, what the challenges were for using other products, how they were sold, and who buys them....," one Task Force partner explained.

The **Department of Public Health, the Fire Marshal's Office, and Department of Labor Standards** were not official members of the Task Force, but served as advisors and resources on various health and legislative matters. The Fire Marshal's Office, for example, provided details on the types of fires that occur from floor finishing and details about fire response and regulations.

### Case Study: Stakeholder Roles in the Asphalt Paving Partnership

According to the Asphalt Paving Partnership, actively including all key stakeholders in an issue has been a key factor in their success, with each partner and partner organization making critical contributions. In their initial joint effort, which focused on the development of engineering controls for asphalt paving fumes, all of the collaborators created and promoted buy-in for partnership activities within their respective constituencies, made themselves fully available to other partners when needed, and contributed some level of time and financial resources. Partners also took on more specific roles:

The **National Asphalt Pavement Association** or NAPA was credited with providing leadership in initiating the group and in the administration and facilitation of the partnership. They actively invested in the functioning of the group, retaining a veteran labor lawyer with years of experience at high levels of government as the partnership's facilitator and contributing funding for research. NAPA's member contractors, engineers, and other professionals also provided practical and technical paving expertise.

**Labor** contributed technical and practical expertise on safety and health issues as well, and also brought critical worker protection perspectives to the partnership. Labor's guidance and participation has lent credibility to the group's, and especially industry's, role in worker protection efforts over the years. In the Work-Zone Safety Partnership the group formed later, the **Laborers International Union of North America** took the lead in convening stakeholders and organizing the work.

**Manufacturers** designed, developed, and tested controls for their paving machines, committed to implementation of the changes through the group's voluntary agreement, and also invested substantial resources in the research, development, and testing efforts.

**Government** partners provided a range of resources and skills. **NIOSH** contributed scientific research and evaluation expertise and helped shepherd the partnership's work through the agency's practice guidelines and hazard review processes. **OSHA** drafted the group's voluntary agreement, used their weight as a regulatory agency to bring partners together to sign it, and provided the critical legal cover against anti-trust claims that was necessary for all manufacturers to be involved. The **Federal Highway Administration** was credited with providing essential resources for the group's early work.

As demonstrated in the case studies, it is important to determine each partner's appropriate level of participation. An individual's or organization's role and the ability to meet expectations of support and involvement should be considered when selecting partners. The following three levels of participation provide a way to define a partner's role(s) and clarify expectations:

**Networking** - the partner is willing and able to use their connections, websites, publications, and social media to gather and share information to advance the partnership's work.

**Cooperating** - the partner is committed to the overall partnership's goals and provides resources and activities to the partnership in support of the goals.

**Collaborating** - the partner is formally committed to sustaining the partnership and reaching its goals.

Early in your partnership, you can use these three levels and **Tool 1-F** to guide a discussion about the level of engagement partners believe is required for the effort and what they are able to commit. Or, if you have an established partnership you may use this discussion to refine and communicate your vision of the partnership to new partners.

**TOOL 1-F: THREE LEVELS OF PARTICIPATION**Instructions:

1. Distribute a copy of the table to the partners. Using the issue(s) that brought the partners together, ask them to identify the level of support which they are willing and able to commit to the partnership.
2. Repeat this exercise if there is more than one issue.
3. Keep track of the discussion and summarize the results in a report to share with all of the partners.

Issue(s) \_\_\_\_\_

	<b>Networking</b>	<b>Cooperating</b>	<b>Collaborating</b>
<b>Level of Support Required:</b>	<b>Individual Partner</b>	<b>All Partners</b>	<b>Partner Organization</b>
<b>Purpose:</b>	Exchange information & periodically hold joint activities	Support a common goal	Share resources & achieve common goals and outcomes
<b>Coordination:</b>	Short-term or episodic, even if occurring at regular intervals	Mid- to long-term plans with activities occurring on a regular basis	Mid- to long-term plans with financial agreements and joint management needed
<b>Institutionalization of the Partnership:</b>	Informal	The mission of each partner organization supports the joint activities, and documentation of the partnership	Formal written partnership agreements for the duration of the partnership
<b>Responsibilities of Partnership Members:</b>	Only certain partners are involved	All partners are involved	All partners are involved

[Adapted from: Positioning Public Child Welfare Guidance. (2013). *Types and Levels of Partnership*, <http://www.ppcwg.org/strategicpartnerships-types.html>.]

## 1.4 PARTNERSHIP MODELS

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Selecting a partnership structure that will allow the partnership to meet its goals is also important. There are many different partnership models. The following are examples of two different ones that have worked successfully in the construction industry. While these models show many groups or members in a partnership, a partnership can involve as few as two different partners.

The first, **Labor-Management Partnership Core**, is an industry-wide model established to address the broad goal of improving safety and health in a segment of the construction industry. The core partners in this model include those organizations that have the same level of concern and interest in all safety and health issues facing the industry in which they work. When this core group identifies an issue, it brings in other partners with specific expertise, influence, or interest in the issue who will be able to help the partnership reach its intended outcome (e.g., greater use of a safer work practice, or a new type of equipment, etc.).

*You always need the three organizations [union, contractors' association, and joint labor-management entity] because if you don't, nothing will happen. If any one of these organizations says no to something, it won't happen. – Masonry r2p Partner*

The second partnership model, **All Partners Are Key Partners**, addresses a pre-defined issue and outcome. Although such a partnership may expand its scope at a future date, its initial focus is narrow. Those with the expertise and influence needed to achieve the intended outcome are brought in as partners from the start. All partners are key because without one or more of the partners the intended outcome could not be achieved.

*The core is still NAPA on the contractor side. The core is still the Operating Engineers and the Laborers on the labor side. The core is still NIOSH, OSHA, and the equipment manufacturers. But let's say the top five are still the top five. So it's the same group more or less that has been working on this. – Asphalt Partner*

The following case study demonstrates how a labor-management-training partnership brought in 'temporary' partners to address a specific issue and highlights the value of setting expectations for support and participation early in the process.

### Case Study: The r2p Industry Partnership Model Applied in the Masonry Industry

Some partnerships are formed to address a specific hazard and then dissolved once their work is finished – a resource intensive undertaking. Rather than starting from scratch each time a hazard needs to be addressed or new research findings disseminated, the industry r2p model first used with the Masonry r2p Partnership [Partnership -see Introduction, page 3) focuses on bringing together organizations with a national influence willing to make an ongoing commitment to improving safety and health and tackle multiple issues at a time. Critical to the success of this model is involving a core group of national-level organizations representing labor, management, and training that have the expertise and access to the populations needed for research and the ability to broadly influence the use of research finding on job sites. Under this model, the core group of partners bring in ‘temporary’ partners as needed to advance their safety and health priorities.

One example of this model in action was the Partnership’s support for the CPWR funded Safety Voice for Ergonomics (SAVE) research project and resulting training program, which addressed one its priorities. The SAVE team, led by Dr. Dan Anton and Dr. Jennifer Hess, set out to create an ergonomics training program for apprentice bricklayers that included lessons on how to speak up about hazards on the job and could readily incorporated into existing apprenticeship training programs.

To develop such a program, the SAVE team needed support and input from employers and trainers and access to apprentices. The research team and the partnership connected at the proposal stage to ensure the project would meet an industry need and that the partnership would be willing to use and disseminate the anticipated output. Once the project started, the partnership met with the researchers to define expectations and assigned a point person to connect the researchers with the populations required for each phase of the project. For example, through the International Masonry Institute (IMI) and the International Union of Bricklayers and Allied Craftworkers (BAC), the researchers were given access to the trainers and apprentices needed to review and test the training approach and content. Similarly, another partner, the International Council of Employers (ICE), provided the researchers with access to employers, whose support would be critical once the apprentices were on the job. This iterative feedback and improvement process resulted in a [final training program](#) that could be readily incorporated into the existing training curriculum, delivered by the instructors, and reinforced by the contractors who want to create a safe work environment and a safety climate that encourages workers to voice safety concerns.

Benefits to researchers:

- Ensured the research proposed addressed an industry priority
- Helped the team conduct research more efficiently and effectively
- Generated buy-in from end users as the project progressed
- Ensured the research output would be put into practice and continue to be promoted nationally after the end of the formal research project.

Benefits to the partnership:

- Opportunity to provide input on research priorities, training materials, and delivery method
- An ergonomics training program tailored for their needs that easily be incorporated into the existing curriculum.

**Tool 1-G** provides a brief introduction to these two partnership models and questions to help you identify a model for your partnership.

### TOOL 1-G: MODELS OF PARTNERSHIP

Instructions:

1. Hand out copies of each model or draw each model on flip chart paper or a whiteboard.
2. Use the following questions to guide a discussion of which model (or a variation of the two) will work best for your effort(s).
  - Which model best reflects the structure you had in mind when selecting the partners?
  - What changes would you make to the model to make it a better fit?
  - What would be the advantages of this type of model for your group?
  - What disadvantages would there be?

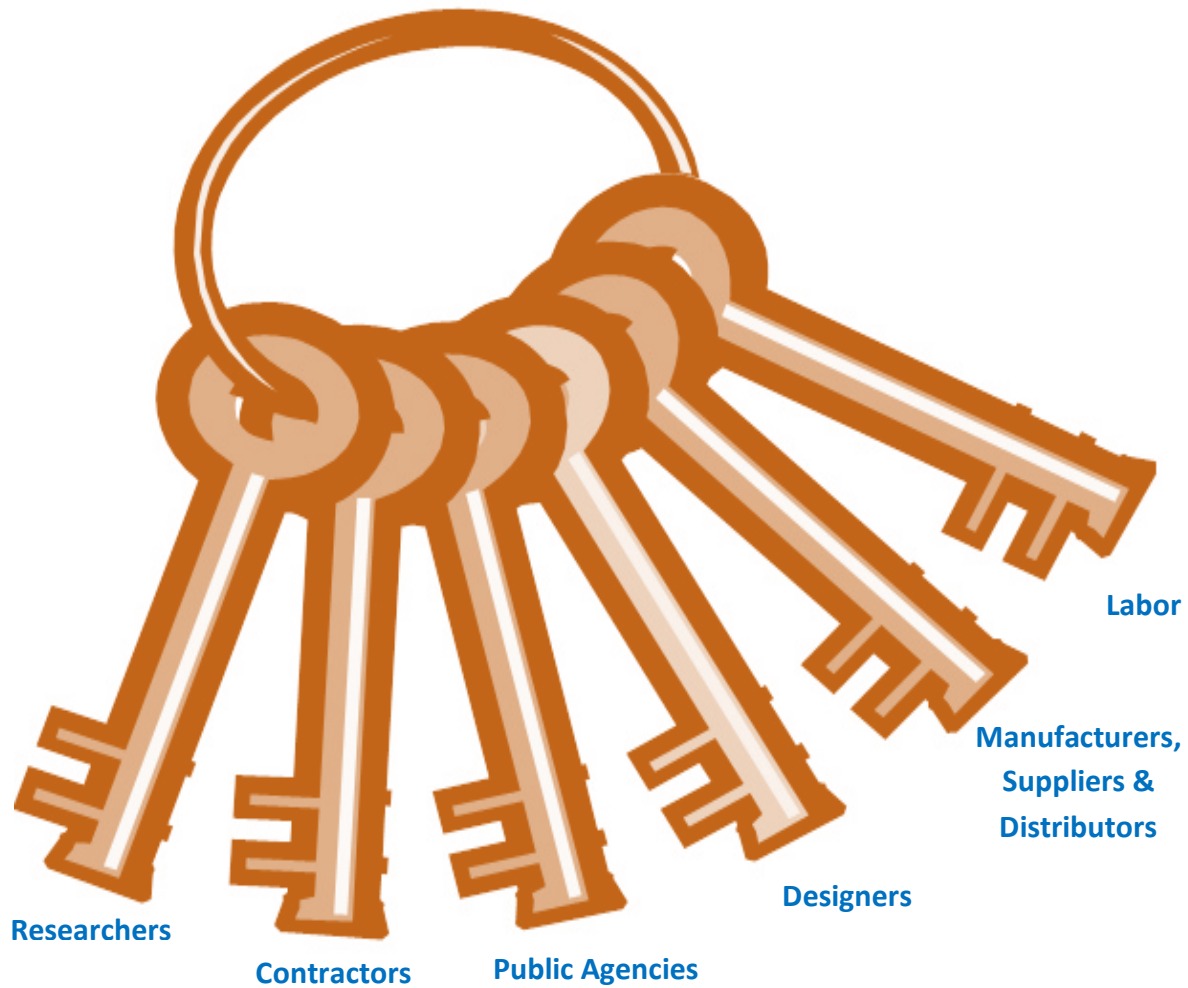
#### **Model 1. Labor-Management Partnership Core**

A partnership can be made up of a core group of labor and management partners who invite additional stakeholders, such as manufacturers or researchers, to participate as needed depending on the safety and health issue at hand.



**Model 2. All Partners Are Key Partners**

All partners are identified as key partners and are full participants in every aspect of the partnership.





## 2 - FACILITATE THE PARTNERSHIP PROCESS

Group facilitation is the art of helping a group of often diverse people identify common ground, build consensus, and come together to achieve their goals and objectives. Having a trusted facilitator is one of the keys to a successful partnership, and a facilitator's role often involves helping to bring different stakeholders to the table.

*It is a group of equals, but in any group you have somebody that wants to dominate the conversation and that can be a problem. You need a good moderator, that's for sure, in any of these group discussions. – Masonry Partner*

This section focuses on the role of the facilitator, includes information and tips on effective meeting facilitation, and offers advice for facilitating the first partnership meeting.

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## 2.1 DETERMINE THE ROLE OF THE FACILITATOR

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Research and experience have shown that a facilitator plays a critical role in a partnership's success. It is important at the start of a partnership to set clear expectations for the facilitator's role. If some partners expect the facilitator to provide direction and answer questions, while others expect the facilitator to nurture the process and allow the partnership to explore content, there could be contention about the effectiveness of the facilitator.

### What is the difference between a facilitator, a leader, and a facilitative leader?

The distinction between a facilitator and a leader can be blurry. In its purest form, facilitation involves remaining completely impartial from the partnership process and decision-making. In this case, a **facilitator's** job is to help ensure that all partners have a voice and partnership activities move along smoothly, while allowing the group to take the lead in making decisions and dictating partner responsibilities. In this facilitation model, the facilitator and the leader are different people.

The **leader**, if there is one, is a highly influential member of the partnership who helps to spearhead group efforts and guide decision-making using his/her knowledge and ability to provide direction.

A blended model of facilitation occurs when the facilitator and leader roles are intertwined – in other words, when there is a **facilitative leader**. This type of facilitator has expertise in both the content and facilitation skills, as well as the added benefit of understanding dynamics between partners and partner organizations. A person acting as a facilitative leader must be careful to balance their personal input and biases with those of the other partners to ensure that they do not overly influence decisions and the direction of the partnership.

A few potential pitfalls of facilitative leadership to avoid:

- ❖ Harboring bias, or being perceived as biased because of ties to a partner organization
- ❖ “Leading” conversations instead of allowing new ideas to happen naturally
- ❖ Highlighting some perspectives more than others

**Tool 2-A** can be used in two ways: 1) to assess whether you are acting as a facilitator or facilitative leader, and 2) to clarify the partnership's expectations for the facilitator's role.

**TOOL 2-A: FACILITATOR OR A FACILITATIVE LEADER – WHICH ONE ARE YOU?**Instructions:

1. Assess your role as the facilitator. Use the categories in the following table to determine which most closely reflects your role as a facilitator.
2. Assess the partnership's perceptions and expectations. Once you have done your own assessment, ask the rest of partnership to select the categories that reflect their perception of the facilitator's role.
3. Compare the results to your assessment, and if there are differences, use it as an opportunity to clarify your role as the facilitator.

Characteristics	Facilitator	Facilitative Leader
<b>Group Membership</b>	Third Party	Leader of Group
<b>Involvement in Substantive Issues</b>	Substantively Neutral	Deeply Involved
<b>Use of Expertise</b>	Process Expert	Content and Process Expert
<b>Decision-Making Authority</b>	No	Yes

[Adapted from *The Role of the Facilitator*, <http://www.virginia.edu/processsimplification/resources/Facilitator.pdf>.]

## 2.2 EXPLORE PARTNER PERCEPTIONS

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Successful facilitation requires understanding partners' perceptions of each other in order to create an environment of trust and confidence, as well as to effectively establish group norms, expectations, and collective responsibility.

Partners may have preconceived notions about other partners or the industry segments they represent, possibly based on previous experiences. It is best to identify those preconceptions early in the process to avoid problems later.

*It takes a long time and you have to develop a level of trust between the two parties. The labor side has to understand that management looks at them as a very important resource and a part of the industry. And management has to understand that labor wants to work with us and they want to make things more successful to create more job opportunities for people they represent. It can be a win-win situation if you approach it the right way.*  
– Masonry Partner

The following exercise is designed to help facilitators and partnerships recognize these perspectives, set expectations, and get ahead of conflict. The results of this exercise may be useful when developing a partnership agreement (see **Section 3.5: Create a Partnership Agreement**).

**TOOL 2-B: PARTNER DIVERSITY, EXPECTATIONS, AND CHALLENGES**Instructions:

1. Divide into groups by stakeholder organization or type of organization. If there is only one representative from a particular organization or sector, group him or her with a like-minded partner. If your group is not large enough to divide up, this exercise can be done with the group as a whole, but you will have to make sure that everyone feels comfortable. The idea is to create a friendly “safe space” to discuss concerns and hopes.
2. Provide each partner group with flip chart paper or whiteboard space. Each group will start by listing the things on flip chart paper that they hope each of the other partner groups will contribute to the partnership’s work. Group members should consider what they believe are the other groups’ skills, knowledge, backgrounds, and resources. If this is done as a whole, for each constituency represented (labor, management, etc.), ask the partners not in that constituency to respond. For example: put “Labor” on the flip chart and ask those who are not representing workers what they believe are the skills, etc. that the labor representative(s) and their respective organization(s) bring to the partnership.
3. Next, the groups will list on a separate sheet of flip chart paper the things they believe will be challenges in working with each of the other groups.
4. Bring the groups back together and ask each one to share their lists. Remind everyone that at this point, they can ask for clarification of the items on a group’s list but they cannot challenge or debate an item.
5. Each partner group will be asked to think about the contributions and challenges that the other partners thought they would bring to the table and come to the next meeting prepared to discuss: a) strategies they can use to increase the likelihood that their own group can offer the contributions listed; and b) decrease the likelihood that they present the challenges listed.
6. At the next meeting, all partner groups will present their strategies and the whole partnership will consider how to incorporate them into the work of the partnership and into any agreements the group develops.

[Adapted from “Strategies and Techniques for Effective Group Process in CBPR Partnerships,” (2012) Becker, Israel, & Allen. *Methods in Community-Based Participatory Research for Health*. (2<sup>nd</sup> ed.).]

## 2.3 USE FACILITATION STRATEGIES

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While the role of the facilitator may seem simple on paper – get the work done while supporting and building the partnership – in reality it is often dynamic and challenging.

At the “action” level, a facilitator’s job might include sharing information, managing time, clarifying concepts and goals, summarizing what has been accomplished, assisting with group process and decision-making, assigning tasks, outlining next steps, and building momentum. At the “interpersonal” level, it requires pulling together individuals who may have unequal organizational power and different agendas, motivations, experiences, and histories into a cohesive group that is willing to honor and respect disagreement while working together toward their common vision.

### What makes a good facilitator?

A good facilitator balances getting the work done with supporting individuals and strengthening the partnership, is perceived as unbiased, and is trusted by the partners.

#### Characteristics of an Effective Facilitator:

- ❖ "Asks" rather than "tells"
- ❖ Keeps things on task, but also spends time building relationships
- ❖ Initiates conversation rather than waiting for someone else to
- ❖ Asks for others’ opinions rather than always offering their own
- ❖ Negotiates rather than dictates decision-making
- ❖ Listens without interrupting
- ❖ Emotes but is restrained when the situation requires it
- ❖ Bases decisions upon intuitions as well as facts
- ❖ Has sufficient self-confidence that they can look someone in the eye when talking to them
- ❖ Persuasive and engaging
- ❖ Enthusiastic
- ❖ More outgoing than serious
- ❖ More like a counselor than a sergeant
- ❖ Can keep the big picture in mind while working on the nitty-gritty

[Adapted from *The Role of the Facilitator*, <http://www.virginia.edu/processsimplification/resources/Facilitator.pdf>.]

The following tip sheets provide suggestions and activities for use by your partnership’s facilitator. The tips are broken down into three key areas: active listening, equalizing participation, and asking good questions to support open communication.

### Tip Sheet #1: **Active Listening**

- ❖ Listen and look for what is not being said – non-verbal cues – tone of voice, body language, and facial expressions.
- ❖ Ask clarifying questions.
- ❖ Summarize key points.
- ❖ Communicate that you “hear” what is being said with facial expressions and body motions (e.g., nodding your head).
- ❖ Highlight points of agreement.
- ❖ Listen at three levels – listen for key points/ideas, feelings, and intentions/values.

### Tip Sheet #2: **Equalizing Participation**

- ❖ At the beginning, and as necessary, remind everyone that all input is valued.
- ❖ Challenge all partners to abide by “Step Up, Step Back” (those who typically tend to talk less should “step up” making an effort to provide more input, those who naturally tend to talk more should “step back” to allow more input from those who typically speak less).
- ❖ Encourage a variety of people to report back and to take different roles.
- ❖ Try to balance who is speaking – ask a more dominant person to hold their comments until others have spoken.
- ❖ Use small breakout groups to provide different environments for participation.
- ❖ Vary the seating arrangement.
- ❖ Refer to comments made by some of the quieter partners to encourage them to contribute.
- ❖ Keep the meeting interactive, provide nonverbal opportunities for communication (e.g., sticky note voting).
- ❖ Pay attention to logistics, breaks, and the “temperature” of the room – both literally (make sure the temperature in the room is comfortable) and figuratively (make sure tempers are not rising or people are not cooling or withdrawing from the discussion).
- ❖ Be prepared to change the pace, the activity, or the set up.
- ❖ Be prepared to diplomatically counter disrespectful talk and interruptions.
- ❖ Watch for power imbalances.
- ❖ Communicate openness and support in more than words using facial and body expressions.

### Tip Sheet #3: Asking Good Questions to Support Open Communication

- ❖ Don't ask questions that are really statements.
- ❖ Don't assume you know the answer.
- ❖ Try not to pre-judge what a person will say.
- ❖ Limit yes/no questions.
- ❖ Use open-ended questions.
- ❖ Don't put individuals on the spot.
- ❖ Pose questions that allow everyone to draw on his/her own experience.
- ❖ Don't fish for the "right answers." If you want partners to understand a particular point, highlight its importance.
- ❖ Be strategic about using open-ended questions. Ask real questions that will prompt discussions to help the partners work through issues (and expect real answers).
- ❖ Always record responses. As a facilitator, it is not up to you to decide what is meaningful or right. Recording points on a flip chart also sends the message that what people say is valued.
- ❖ Be aware of how you signal "the right answer" or "useful comments" through facial gestures and body language.
- ❖ Be ready for new ideas.

[Burke, B., Geronimo, J., Martin, D. A., Thomas, B., & Wall, C. (2002). *Education for Changing Unions* (Chapters 7 and 8). Toronto: Between the Lines.]

### More Facilitation Tools

Facilitators are responsible for managing meetings, including the energy in the room. This can often be challenging since partners may have many competing demands on their time. When energy wanes, here are a few strategies a facilitator can employ to keep partners engaged in the meeting:

- ❖ Use unscheduled breaks.
- ❖ Use an "icebreaker" (e.g., raise a non-controversial question related to your discussion and go around the room to ask each partner for their response).
- ❖ Break into small groups to discuss a topic, then regroup and have each group share their ideas.
- ❖ When trying to reach consensus, put the choices on a flip chart or whiteboard and have the partners use sticky notes or markers to "vote" or indicate their preference.
- ❖ Use active brainstorming.
  - Freewheeling -- Everyone contributes ideas spontaneously. The advantage of this method is that it encourages creativity as people build on each other's ideas. The disadvantage is that quiet partners may not speak up.
  - Round Robin -- Partners take turns presenting their ideas one at a time. The advantage of this method is that all participants get an equal chance to speak up and quiet partners are more likely to contribute. The disadvantage is that it can stifle spontaneity and sometimes members forget their ideas by the time their turn arrives.
  - Slip Method -- Everyone puts their ideas on a slip of paper (or sticky note) and gives it to the facilitator. The advantage to this method is that some people may be more candid



and creative with anonymity preserved. The disadvantage is not hearing other members' ideas ahead of time, which often triggers add-on creativity.

[Adapted from: Office of Quality Management. (2009). *Facilitator's Tool Kit*, <http://www.uspto.gov/web/offices/com/oqm-old/Facilitation.pdf>.]

### Additional Resources

For more tips and resources on group facilitation, visit the following resources:

- ➔ **Facilitator's Tool Kit** – <http://www.uspto.gov/web/offices/com/oqm-old/Facilitation.pdf>.
- ➔ **Facilitator's Guide to Participatory Decision-Making**  
Kaner, S., Lind, L., Toldi, C., Fisk, S., & Berger, D. (2007). *Facilitator's Guide to Participatory Decision-Making* (2nd ed.). San Francisco: Jossey-Bass.

## 2.4 PLAN THE FIRST PARTNERSHIP MEETING

The first meeting will set the tone for your partnership. The preparation leading up to the meeting will play a significant role in its success and can have an impact on the partnership's dynamics going forward.

### Choose a Meeting Date, Time, and Location:

- ❖ Three weeks before you would like to hold the first meeting (the lead time may vary depending on the members of your partnership), contact the members of the partnership with possible dates, times, and locations for the meeting. There are email and web-based tools that can help with this process, such as Doodle (<http://doodle.com/>) or, if all partners use Outlook, its “New Meeting Request” feature (click on your calendar and “Actions” on the toolbar).
- ❖ Select a date, time, and location that work well for all of the partners.
  - Since it is important for all partners to be present at the first meeting, you may have to reach out to the partners more than once. Since some partners may not be comfortable with technology solutions, follow up by phone if no response is made online. Be open to alternative meeting times (weekends, early mornings, evenings).
  - Find a meeting space that is easily accessible to the partners and where they will all be comfortable. In some instances this may mean meeting in a location not within the office or working space of any of the partners.
  - Make sure the meeting space has all of the features you'll need, such as adequate room setup, breakout rooms (if needed), ability to serve food, technology needs, etc.

### Once the meeting is scheduled:

Draft an agenda and circulate it for additions and comments in advance of the meeting. Make sure you allow adequate time (a minimum of a week) for partners to provide feedback on the draft.

Consider how you can use the agenda-making process as an opportunity to create a shared vision for the meeting, observe communication styles, and establish norms for interaction and buy-in before the meeting. The earlier you can get partners working jointly on activities, the sooner relationships will develop and members will take ownership of the partnership.

As the facilitator, you may be responsible for drafting the agenda alone and then sharing it with the partners to get input, or you may have a drafting team. Discuss who will create the draft agenda and who will review the next draft. You may consider sending an abridged agenda to share with the entire partnership to avoid overwhelming people.

**The meeting:**

**To ensure that your partnership gets off on the right track, at the first meeting make sure to:**

- ❖ Start the meeting on time and acknowledge at the start that you will try to keep the meeting on schedule.
- ❖ Make sure all parties agree with the proposed agenda and be flexible; the group should be allowed to add or delete items.
- ❖ If there are partners joining the meeting by phone or video conference make sure that connections are working before the meeting starts, and during the meeting make sure they are included in the discussions and given an opportunity to speak.
- ❖ Paraphrase participants' contributions strategically to ensure collective clarity and understanding.
- ❖ Track agreements and decisions as they are reached. It may be helpful to use a whiteboard or flip chart so that all partners have the same wording to refer back to.

**After the meeting:**

- ❖ Get feedback from the partnership to see if there are any suggestions for improving the productivity and efficiency of the meetings (see **Section 6: Evaluate Your Work Together** for more on assessing the partnership process).
- ❖ Distribute the meeting minutes in a timely way that encourages feedback.

### Sample Annotated r2p Partnership First Meeting Agenda

R2p Partnership First Meeting  
Thursday, Oct. 11th • 12:00pm – 3:00pm EST

1. Welcome & Introductions.....12:00 – 12:15  
*Discuss purpose of meeting – to discuss how the partnership will work and establish ground rules*
2. Partnership Overview.....12:15 – 12:30
3. Process, Structure, Governance.....12:30 – 2:45  
*Discussion topics:*
  - *Characteristics of our partnership (use **Tools 4-A and E**)*
  - *Decision-Making Strategy (use **Tool 4-C**)*
  - *Communication (use **Tool 4-G**)*
4. Next Steps.....2:45 – 3:00  
*Suggest meeting topic – develop the partnership’s vision, mission and goals; and schedule next meeting*

#### Additional Resources

For more information on planning meetings, visit the following resource:

##### ➡ **Facilitator’s Guide to Participatory Decision-Making**

Kaner, S., Lind, L., Toldi, C., Fisk, S., & Berger, D. (2007). *Facilitator's Guide to Participatory Decision-Making* (2nd ed.). San Francisco: Jossey-Bass.

# 3 - DEVELOP A SHARED VISION, MISSION, AND GOALS

When organizations or individuals decide to join forces and work as a partnership, they do so with a purpose in mind. While the individual partners may be motivated by different underlying reasons, to be successful they should all have a collective understanding of why the partnership is being formed and the scope of work that will be undertaken.

Determining a shared vision and mission statement can help your partnership reach this collective understanding and provide a foundation for establishing goals and objectives, strategies, and action plans. Your partnership's vision and mission statements also let other individuals and organizations understand what the partnership is about and what it wants to accomplish. Goals and objectives, partnership agreements, and other planning activities can also be used in evaluation efforts to capture progress and identify areas for improvement over time (see **Section 6: Evaluate Your Work Together**).

*You've got to have a common vision. Each of the players ought to be able to see themselves in the common vision... If this common vision is worthy and everybody does have a piece in it, I think you stand the chance of success.... You need to be prepared to adapt where you need to, but you can't forget what the common vision is. – Asphalt Partner*

This section focuses on examples of concepts and tools to help your partnership reach this collective understanding; starting with the big picture by developing vision and mission statements, then moving to more specific goals, objectives, and action plans:

- ❖ A **vision** is what your partnership hopes to see in the future or over the long-term.
- ❖ A **mission** is what your partnership plans on doing in the next one to five years as it moves toward its vision.
- ❖ **Goals** are the priorities your partnership will address and the broad outcomes it sets out to accomplish.
- ❖ **Objectives** are specific, measurable results that your partnership will set out to achieve to help meet its larger goals.
- ❖ An **action plan** lays out who will do what and when in carrying out your partnership's objectives.

While the information in this section is presented as a series of steps, it is not necessary to follow this order or use every tool. Every partnership is unique and only your partnership can decide which topics and tools are appropriate and helpful.

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## 3.1 DETERMINE THE PARTNERSHIP VISION

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A partnership's vision is a description of the ideal future that it will work to achieve over time and provides both guidance and inspiration to the group. It encompasses how things would look if the issues or problems that brought the partners together were successfully addressed. Successful partnerships have a shared vision.

When developing your partnership's vision statement make sure it is:

- ✓ Understood and shared by all partners
- ✓ Broad enough to include a variety of perspectives
- ✓ Inspiring and uplifting to everyone involved
- ✓ Concise and easy to communicate; often just a few words or a short phrase

An example of a vision statement might be: *"No deaths or injuries due to falls on construction sites."* Another is the shorter and simpler one used by the SafeBuild Alliance in the Portland, OR area:

*Zero incidents through collaboration.*

It is also important to consider the landscape of your industry (e.g., size, economic health, structure, etc.) and the issue(s) that initially brought your partnership together when developing the vision statement.

The following tool is designed to help your partnership address these and other considerations as it develops a shared vision statement.

**TOOL 3-A: DETERMINE A VISION STATEMENT**Instructions:

1. The following are possible questions to guide your partnership's vision statement discussion. You can discuss the questions with the partnership as a whole or you may want to break out into small groups first and then report back. Use a flip chart or whiteboard to keep track of responses and questions that are raised.
2. Based on the group's responses, ask the partners to describe in one sentence what the partnership's vision should be. Keep track of the suggested statements on the flip chart or whiteboard.
3. As a group, revise the suggested vision statements until you have one statement that reflects the group's ideas. Check the statement against the criteria listed earlier – is it understood and shared by all partners? Sufficiently broad? Inspiring and uplifting? Concise and easy to communicate?

*Tip: Consider setting aside time at two separate meetings in order for all of the partners to have an opportunity to reflect on and refine the vision.*

Vision Statement Discussion Questions (note: you do not have to use all of the questions; use those that will help get the discussion started):

1. What do you think should be the main purpose of this partnership?
2. What is important to your stakeholders? (*Note: You may have enough stakeholder representation in your partnership to answer this, or you may want to reach out to the industry/community via interviews, focus groups, or formal or informal surveys and conversations to get a better picture.*)
3. What would you like to see change?
4. What kind of industry or environment do you want to create?
5. What do you see as the major issue(s) or problem(s) facing the industry?
6. What do you see as the industry's major strengths and assets?
7. How could the issue(s) or problem(s) be addressed? How could the industry's strengths and assets help?
8. What would success look like?

In a few words or a brief sentence, write a draft of the overall vision of your partnership below.

**The Vision of the Partnership is**

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[Adapted from: The Community Tool Box. (2013). *Developing a Strategic Plan and Organizational Structure, Chapter 8, Section 2*, [http://ctb.ku.edu/en/tablecontents/sub\\_section\\_main\\_1086.aspx](http://ctb.ku.edu/en/tablecontents/sub_section_main_1086.aspx).]





Did developing a vision statement make you think more about who is at the table on this issue? Before moving forward with the partnership's mission, goals, and objectives, it may be a good time to reflect as a group on whether there are any other stakeholders to invite to the partnership (see **Section 1: Identify and Involve Key r2p Partners**).

Would it be helpful to first gather information through surveys or focus groups with partner organizations, the target audiences, or other stakeholders not yet represented in the partnership before moving forward? Taking time to clearly articulate the vision statement and the stakeholder participation needed to achieve this vision at this early stage will lead to greater partnership success, better utilization of resources, and the greatest potential for industry impact.



In discussing the vision statement, how did your partnership's decision-making process work? If you feel like the partnership could benefit from modifying how it makes important decisions see **Section 4.3: Determine Decision-Making Approaches** for ideas.

## 3.2 DEVELOP A PARTNERSHIP MISSION

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After coming up with a vision, the next step is to develop a mission statement. The mission should broadly and succinctly define the “who, what, how, and why” of your partnership.

Make sure your partnership’s mission statement is:

- ❖ Concise, generally getting the point across in three sentences or less
- ❖ Outcome-oriented, explaining the fundamental outcomes your partnership is working to achieve, but usually over a shorter time frame than the vision statement
- ❖ Inclusive, with broad statements about your partnership's key goals

An example of a mission statement might be: *“To decrease the number of injuries and fatalities related to falls in the construction industry by engaging employers and employees in identifying hazards and solutions, and providing employers and workers with access to current safety and health information and best practices.”*

Another is SafeBuild Alliance’s shorter and simpler mission statement:

*Provide support for and encourage highly collaborative and innovative cultures to achieve incident-free workplaces.*

**Tool 3-B** is designed to help your partnership collectively develop its mission statement.

**TOOL 3-B: DEVELOP A MISSION STATEMENT**Instructions:

1. Discuss the following questions as a group or break out into small groups first and then report back. Use a flip chart or whiteboard to keep track of responses and questions that are raised.
2. Based on your partnership's vision statement and responses to the discussion questions, ask the partners to suggest in three sentences or less what its mission should be. Keep track of the partner's suggestions on a flip chart or whiteboard.
3. As a group, edit the suggested mission statements until you have one that reflects all of the partners' input. Check the statement against the criteria listed earlier – is it concise, outcome-oriented, and inclusive?

*Tip: Consider setting aside time at two separate meetings in order for partners to have an opportunity to reflect on and refine the mission and ensure that all have input.*

Mission Statement Discussion Questions:

1. What can our partnership do – what do we want to achieve?
2. How can we do it?
3. Whom do we do it for?
4. What value are we bringing?

In three sentences or less, write a draft of the overall mission of your partnership below.

**The Mission of the Partnership is to**

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[Adapted from: Forbes. (2013). *Answer 4 Questions to Get a Great Mission Statement*, <http://www.forbes.com/sites/patrickhull/2013/01/10/answer-4-questions-to-get-a-great-mission-statement/>.]

### 3.3 DEVELOP PARTNERSHIP GOALS AND OBJECTIVES

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Reaching consensus on the vision and mission helps a partnership further define its common concerns, goals, and objectives. Although the words “goal” and “objective” are sometimes used interchangeably, there are important distinctions.

**Goals** are your partnership’s purpose or intentions. They tend to be overarching, generic actions or outcomes that your partnership will strive to achieve.

**Objectives** are specific milestones or steps that your partnership will take to achieve each goal. They are concrete actions, tend to be shorter-term, and should be measurable and tangible.

For example:

*Goal: Prevent hand injuries among workers.*

*Objectives:*

- *Provide training materials on the need for and use of gloves to all the partnership’s training centers by March 2015.*
- *Use the training materials with all apprentices by December 2016.*
- *Require the use of task-material appropriate gloves in all hands-on training (ongoing).*
- *Increase the number of workers reporting that they use gloves by 5% by March 2017.*

*Goal: Reduce nail gun injuries by increasing the use of nail guns with sequential triggers.*

*Objectives:*

- *In March 2015, contact CPWR-The Center for Construction Research and Training to identify and obtain educational materials and research on nail guns.*
- *Between March and December, 2015, conduct 5 presentations at regional contractor meetings and 5 workshops at regional training facilities to raise awareness of the hazard and prevalence of nail gun injuries, and the availability of nail guns with sequential triggers.*

Goals and objectives allow your partnership to get more specific about how it will carry out its mission and achieve its vision. As part of this process your partnership should think about how it will gauge its progress, including what questions should be asked to adequately capture accomplishments, provide useful feedback on what did or did not work as well as the partners had hoped, or identify what could be changed or improved (see **Section 6: Evaluate Your Work Together**).

**Tools 3-C** and **3-D** are two approaches to help your partnership further define the issue(s) that brought it together, and help you establish goals for each issue. If your partnership plans to address more than one issue, you may want to complete a separate checklist or map for each.

**TOOL 3-C: DEFINE THE ISSUE CHECKLIST**Instructions:

1. As a group, broadly identify the issue to discuss.
2. Give partners copies of the questions below. As a group, select which questions are most appropriate for the issue under consideration.
3. Give partners 5-10 minutes to individually write down responses to the selected questions. Then have partners report back and discuss each of the dimensions: scope, interest, and feasibility.
4. Use this information to define or refine the issue(s) your partnership will address and develop your goal(s). Write each issue that your partnership decides to address across the top of a flip chart or whiteboard. Ask the partners what outcome – the goal – they hope to achieve by addressing the issue.
5. Record all of the goals identified by the partners on the flip chart or white board. Discuss and refine those listed until you have one (or more if needed) that all the partners agree on.
6. If there are multiple issues to discuss, repeat this process.

**Issue:** \_\_\_\_\_

**What is the scope?**

- ❖ How many workers are potentially affected by the issue?
- ❖ How many workers have been injured or made ill, or are at risk?
- ❖ Are there data on the issue (e.g., test results; government tracking)?
- ❖ Are there any regulations, laws, or industry standards that are currently addressing the issue?

**Is there interest?**

- ❖ Why are the partner organizations concerned about the issue?
- ❖ How strongly do the partner organizations feel about the issue?
- ❖ What do the respective organizational leaders and constituents think?

**What is the feasibility of addressing this problem or issue now?**

- ❖ How can the issue be solved or addressed? Are there research-based solutions readily available? (e.g., engineering controls, alternative work practices, etc.)
- ❖ What improvements will result from addressing the issue?
- ❖ How will success be defined? How will it be measured?
- ❖ Is there a downside to working on this issue now? Is there a reason to wait?
- ❖ Can it be resolved in the short term? If not, are there clear mechanisms to have short-term gains on the way to long-term change?
- ❖ Does your partnership have the resources needed to move the necessary research and solutions forward?

**What is the outcome we hope to achieve by addressing this issue? What is our goal?**

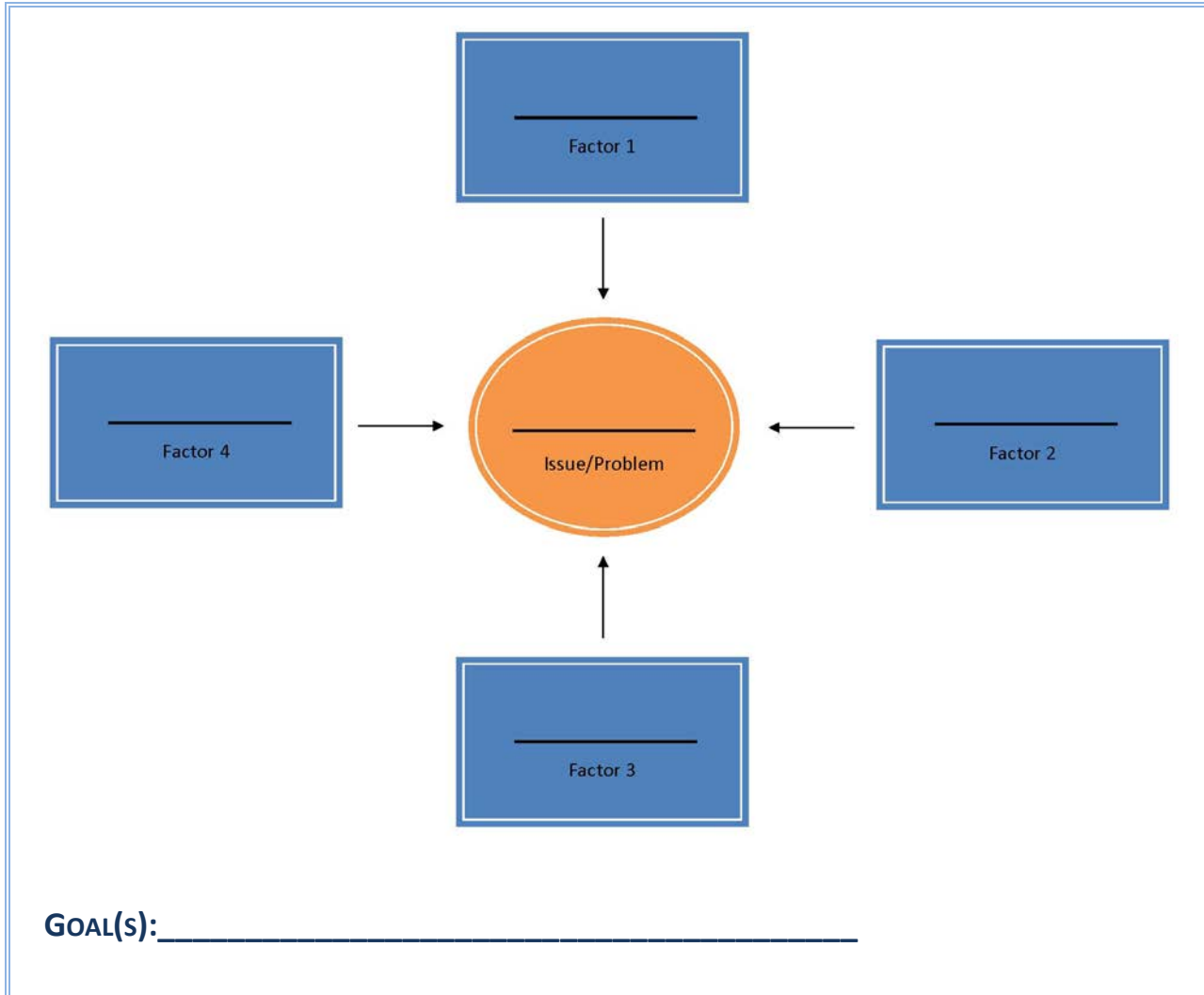
- ❖ Is it consistent with the partnership's mission?

Mapping the issue is a helpful way to think through your issue(s) and start setting goals. Use this tool to help the partners understand the factors, processes, and pathways that influence the issue(s). It may be that the key to addressing an issue is to tackle the underlying factors. Use the expert knowledge in the room as well as available research to identify these factors.

### TOOL 3-D: MAP THE ISSUE TO SET GOALS

#### Instructions:

1. You may either do this as a group activity or divide partners into small groups.
  - a. If you do it as a group activity, draw the diagram below on a flip chart or white board that all participants can see.
  - b. If dividing up into groups, provide a copy of the diagram below to each group.
2. Write one issue identified by your partnership in the center circle of the diagram. *Note: each group would write the issue on their copy.*
3. Either as a group or within the small groups, identify the factors that influence the issue (e.g., policies, resources, values, etc.), and write one factor in each box. Add as many boxes as necessary and include any influential factors raised by the partners without a judgment on whether they are having a positive or negative impact on the issue. Create the most complete picture of the issue possible.
4. Discuss which factors are most important for the partnership to address and when to address them.  
*Note: If this is done within small groups, ask them to report back to the full group and share the factors and goals they considered most important.*
5. Ask the partners what outcome – the goal – they hope to achieve by addressing the issue identified. You may want to use the discussion questions in **Tool 3-C** to help you set your goal(s) based on these factors.
6. Record the goal(s) identified by the partners on the flip chart or whiteboard. Discuss and refine those listed until you have one (or more if needed) that all the partners agree on.
7. If your partnership plans to address more than one issue, create a new map for each.



Once your partnership has established its goals, **Tool 3-E** can help the partners set “SMART” objectives. SMART objectives are:

**S**pecific – concrete, identifies what will change for whom

**M**easurable – able to count or otherwise measure activity or results; or conceptualize if using qualitative methods

**A**ttainable/Achievable – reasonable and feasible with given resources

**R**elevant – relates to the overall goals of the program.

**T**imely – can be achieved within a specified period of time

The following is an example of a SMART objective:

*By September 29, 2015 (Timely), increase the number of train-the-trainer sessions provided to residential construction workers (Specific & Relevant) from 5 to 10 (Measurable & Attainable).*

**TOOL 3-E: SMART OBJECTIVE TEMPLATE**

The following is a template that your partnership can use to think through its SMART objectives for its goals.

Goal: \_\_\_\_\_

Objective(s): \_\_\_\_\_

Who \_\_\_\_\_

Will do What \_\_\_\_\_

By When \_\_\_\_\_

[Adapted from: CDC Division for Heart Disease and Stroke Prevention. *Evaluation Guide: Writing SMART Objectives*, [http://www.cdc.gov/dhdsp/programs/nhdsp\\_program/evaluation\\_guides/smart\\_objectives.htm](http://www.cdc.gov/dhdsp/programs/nhdsp_program/evaluation_guides/smart_objectives.htm).]

**Additional Resources**

For more information on SMART objectives, visit the following resource:

➔ **Writing Smart Objectives** - <http://www.cdc.gov/healthyouth/evaluation/pdf/brief3b.pdf>

Once your partnership has developed a list of goals and objectives for each issue that it plans to address, it is helpful to step back and consider how feasible and attainable the goals and objectives are and make any necessary adjustments. **Tool 3-F**, a SWOT (Strengths, Weaknesses, Opportunities, & Threats) Analysis, is one tool used to make this assessment and help partnerships further refine and set achievable goals and objectives.



**TOOL 3-F: SWOT ANALYSIS TO REFINE GOALS AND OBJECTIVES****Instructions:**

1. Draw the diagram below on a flip chart or whiteboard. The questions included in the boxes are examples, but you may want to come up with your own depending on the issue.
2. For each goal and related objective(s), raise the question(s) in each category with the partners and keep track of their comments. Allow the discussion to continue until the partners feel they have a complete picture of the category.
  - ❖ **Strengths** are the characteristics of the partnership that give it an advantage in meeting the goal or objective.
  - ❖ **Weaknesses** are characteristics that place the partnership or project at a disadvantage – barriers or roadblocks that will have to be addressed to meet the goal or objective.
  - ❖ **Opportunities** are elements that the partnership could use to its advantage.
  - ❖ **Threats** are factors that could jeopardize the partnership’s efforts.

Goal: \_\_\_\_\_

Objective: \_\_\_\_\_

	Helpful to Achieving Goal & Objective	Harmful to Achieving Goal & Objective
Internal Origin (organizational)	<p style="text-align: center;"><b>Strengths</b></p> <p>What is each individual organization <i>already</i> doing to meet this goal/objective? What assets do we bring to the table?</p>	<p style="text-align: center;"><b>Weaknesses</b></p> <p>What are our biggest roadblocks to meeting this goal and implementing this objective?</p>
External Origin (environmental)	<p style="text-align: center;"><b>Opportunities</b></p> <p>Are there other campaigns or efforts that we can “piggy-back” on? Are there regulatory actions or economic drivers to support efforts in a particular direction?</p>	<p style="text-align: center;"><b>Threats</b></p> <p>How much resistance is there to the adoption of or meeting our goal and implementing our objective on the part of the employers or workers? Are there economic or political threats?</p>

[The Work Group for Community Health and Development at the University of Kansas. *SWOT Analysis: Strengths, Weaknesses, Opportunities, and Threats*. Community Toolbox, Chapter 3, Section 14, <http://ctb.ku.edu/en/table-of-contents/assessment/assessing-community-needs-and-resources/swot-analysis/main.>]

The results of this SWOT Analysis can have different outcomes for specific goals and objectives. First, your helpful categories (Strength/Opportunities) could significantly outweigh the harmful categories (Weaknesses/Threats). This is the best case scenario and indicates that you should plan on moving forward with this goal and objective. Discuss as a group what you can do to take advantage of your strengths and opportunities and how you can address any weaknesses and threats that came up.

Alternatively, you may find that the weaknesses and threats to a goal and objective greatly outweigh the strengths and opportunities. In the event that this occurs, your partnership may choose to focus on a different goal and/or objective or redefine one or both. It may be that adjusting the goal and/or objective slightly makes it more achievable. For example, if your partnership's goal was to reach both residential and commercial workers on a safety issue, but the partnership decides, based on this analysis, that it cannot support that level of effort with available resources, you may want to start with only commercial workers rather than give up on the goal/objective altogether.

If the helpful and harmful categories are essentially even, your partnership will have to decide whether to move forward with this overall goal or specific objective. Consider questions such as:

- ❖ Is this a high-priority goal/objective that should be moved forward regardless of challenges?
- ❖ Is there any opportunity to partner with additional stakeholders to improve strengths and opportunities?
- ❖ Is there an approach we have not considered that would put our partnership in a better position to carry out the goal or specific objective?
- ❖ Is there one weakness or threat in particular that cannot be overcome? If yes, how much impact could it have on the partnership's success in implementing the objective and/or reaching its goal?

When the partnership reaches agreement on a list of goals and objectives, you may want to list them in a Partnership Agreement (see **Section 3.5: Create a Partnership Agreement**).

The following case study describes a partnership that used its shared vision and mission to create a foundation for establishing goals and objectives, strategies, and action plans.

### Case Study: Roofing r2p Partnership – Using a Shared Vision and Mission to Establish Goals and Objectives

The roofing industry is highly decentralized and dominated by small, privately held companies. In the fall of 2014, the two primary industry organizations, the United Union of Roofers, Waterproofers and Allied Workers (UURWAW) and the National Roofing Contractors Association (NRCA), which represents union and non-union contractors, established a research to practice partnership to advance their shared vision of a safer roofing industry and their mission to reduce injuries and illnesses.

From the start, the partners shared their organizations' safety and health priorities and agreed to identify ones of mutual concern to address through the partnership. In an article to its members announcing the partnership, "Roofing Industry Joins Forces to Advance Safety" (December 2014 Newsletter), the UURWAW laid out the goals and objectives agreed to:

- "Identifying and addressing the most pressing safety and health issues facing our industry;
- Translating safety and health research findings into practical solutions that can be readily implemented on job sites;
- Establishing stakeholder driven safety and health research priorities for our industry; and
- Creating a sustainable partnership with a shared goal of ensuring that every roofer "returns home safe and healthy at the end of their workday."

As a first step, the partnership decided to focus on radio frequency (RF) radiation, an emerging hazard of concern to both organizations, and simultaneously conducted surveys to learn about their members' safety and health concerns. The survey results identified areas of mutual concern, including exposure to rf radiation, falls, and strain and sprain injuries, which informed future partnership projects and outreach efforts.

For their first initiative, the partners issued a joint press release stating: "The National Roofing Contractors Association (NRCA) and United Union of Roofers, Waterproofers and Allied Workers (UURWAW) are issuing this Safety Alert to increase awareness among roofing workers of possible radiofrequency (RF) hazards." Under the partnership's leadership, representatives from other segments of the construction industry at risk of exposure were brought together as a labor-management, multi-trade RF Radiation Work Group. With assistance from CPWR, this Work Group produced the [RF Radiation Awareness Program for the Construction Industry](#). This free program is widely used in the construction industry and has been promoted through OSHA outreach articles, trade associations and unions, webinars, presentations, and training programs. Other examples of issues of mutual concern that the partnership focused on were [ladder safety](#), improving the [safety climate of small employers](#), and [suicide prevention](#). On this latter topic, at the request of the partnership CPWR created a series of materials for use with workers to raise awareness of the risks and how to start a conversation and get help to prevent suicides in construction, and co-branded them with the Construction Industry Alliance for Suicide Prevention. The outputs from their work benefited their members as well as others in the construction industry. To aid in the dissemination of safety and health information, the partners initiated a social media campaign - #roofersafety365.

## 3.4 CREATE ACTION PLAN TO MEET GOALS & OBJECTIVES

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Once your partnership has established achievable goals and objectives, it is time to create a plan to meet them. An action plan details the actual steps your partnership will take toward meeting its goals and objectives. When developing this plan it is important to consider the resources available, the actions that will be undertaken, and the timetable. It is also a good time to start thinking about how your partnership will measure and evaluate its efforts (see **Section 6: Evaluate Your Work Together**).

The following tools are designed to help partnerships in this planning process. Defining the four “R”s (**Tool 3-G**) for each partner organization: resources, relationships, roles, and responsibilities in relation to an identified goal and objective is a good place to start. This exercise can help your partnership further flesh out and visualize how each partner organization and individual partner will help you carry out more specific efforts.

**Tool 3-H: Creating an Action Plan** will help your partnership summarize the steps and discussions undertaken in establishing its goals and objectives. If **Tool 3-E** was used to establish SMART Objectives or **Tool 3-F** was used to conduct a SWOT Analysis, your partnership may have some of this information readily available.

**Tool 3-I** is an Action Plan Worksheet to help your partnership set a realistic timeline for each goal and objective and track its work as a whole, including: What needs to be done? When does it need to be done? By whom?

**TOOL 3-G: THE FOUR “R”s – RESOURCES, RELATIONSHIPS, ROLES, AND RESPONSIBILITIES**Instructions:

1. Write “Resources,” “Relationships,” “Roles,” and “Responsibilities” at the top of four separate pieces of flip chart paper, or as column headings on a whiteboard.
2. Ask the partners to think about each of the Four “R”s in terms of the human, financial, technical, or other dimensions their organization could contribute to the effort (e.g., industry or local knowledge, staffing, stakeholder time, physical property, or access to people, and money, etc.).
3. Have partners write their ideas on sticky notes and place them on the appropriate flip chart or column on the whiteboard.
4. Allow partners time to look at all the sticky notes posted and discuss:
  - ❖ What roles and responsibilities have partners already taken on with regard to this issue?
  - ❖ What resources and relationships does each partner bring to the table to help with this issue?
  - ❖ Are there any other resources or contributions that have not yet been noted?
5. Next, assess the partnership’s resource needs:
  - ❖ Will additional staff support be needed to help with this goal or objective?
  - ❖ Will outside help be needed (e.g., technical resources, safety and health research or dissemination expertise, etc.)?
  - ❖ What financial resources are required? If external funds are needed, where will they come from and what steps are involved in obtaining the funds?
  - ❖ What other resources are necessary to effectively reach the partnership’s goals and objectives?

[Adapted from: CDC Comprehensive Cancer Control. *Partnership Tool Kit: Program Version*, <http://cancercontrolplanet.cancer.gov/CDCPartnershipToolkit.pdf>.]

**TOOL 3-H: CREATING AN ACTION PLAN**Instructions:

1. Ask the partnership to discuss the following questions (or other questions appropriate to the partnership's goals and objectives). Choose one goal and related objective(s) and fill out the action plan form below.
2. Repeat this process with each of your partnerships goals and objectives. You may find that it is more efficient to have individual partners or a subcommittee develop a draft action plan for one or more goals and objectives, and present their ideas back to the group at a later time for discussion, refinement, and approval.

**Our Goal**

The goal our partnership plans to work on is: \_\_\_\_\_

\_\_\_\_\_

We chose this goal because: \_\_\_\_\_

\_\_\_\_\_

**Our Objective(s):** \_\_\_\_\_

\_\_\_\_\_

**What will help us?**

We have the following things working in our favor that will help us reach our goal:

\_\_\_\_\_

\_\_\_\_\_

We plan to build on this support by: \_\_\_\_\_

\_\_\_\_\_

**Obstacles We May Face**

The obstacles or challenges we may face as we try to accomplish our goal are:

\_\_\_\_\_

\_\_\_\_\_

We plan to do the following to overcome these obstacles: \_\_\_\_\_

\_\_\_\_\_

**Information We Need**

We need the following information in order to begin: \_\_\_\_\_

\_\_\_\_\_

We plan to get this information from: \_\_\_\_\_

\_\_\_\_\_

[Adapted from: Labor Occupational Health Program (under contract to the Commission on Health and Safety and Workers Compensation). (2009). *Worker Occupational Safety and Health Specialist Training Course Manual*.]

**TOOL 3-I: ACTION PLAN WORKSHEET**Instructions:

1. In the appropriate columns, list each goal and related objectives. The facilitator, another partner, or a subcommittee can fill in the tasks, responsible parties, and timeline for each objective
2. Once the partners have agreed on the plan, provide copies to all partners or make it readily accessible in an online format (e.g., Dropbox ([www.dropbox.com](http://www.dropbox.com)) or Google Drive (<https://drive.google.com/>)). For multiple goals and objectives and larger more complex efforts, you may even want to invest in a project management system such as Base Camp (<https://basecamp.com/>) or Gantter (<http://www.gantter.com/>).
3. Set aside time at each meeting periodically to revisit and, if needed, revise your action plan to help the group stay focused and organized, and assess progress.

**R2p Partnership Action Plan Worksheet**

Goal	Objective	Action/Task	Partner(s) Responsible	Start	Due	Status	Further Action (if needed)
<i>Enter goal</i>	<i>Enter each objective for the goal on a separate line</i>	<i>Enter actions/tasks needed to achieve objective on separate lines</i>	<i>Identify who will be responsible for each action/task</i>	<i>Enter the date the action/task will be undertaken</i>	<i>Enter the date the action/task should be completed</i>	<i>Enter completion date or other information if the deadline is not yet met</i>	<i>Describe any further action on the specific objective</i>



## 3.5 CREATE A PARTNERSHIP AGREEMENT

Working in a partnership is rewarding, but ensuring that all of the partners have the same expectations and understanding about the partnership's work can be challenging. Regardless of whether your partnership is made up of individuals or groups with long-standing relationships, or if it is just coming together for the first time, there is potential for misunderstandings and conflicts.

One way to avoid unnecessary conflicts and misunderstandings and help the partnership run smoothly is to agree on and document the partnership's purpose, how it will function, the division of responsibilities, and rules for making decisions. (See **Section 4.3: Determine Decision-Making Approaches.**)

For some partnerships, documenting and sharing this information through meeting minutes may be sufficient. For others, a more formal approach such as developing a partnership agreement may be more appropriate. A more formal partnership agreement can be developed gradually as your partnership decides on its purpose and how it will work (e.g., developing its vision, mission, and decision-making strategies), or at the start of its work in order to anticipate and avoid potential tensions that may arise.

The following case study describes a partnership that opted to take this more formal approach and how it has benefited them.

### **Case Study: The Electrical Transmission & Distribution Industry Formalizes a Safety & Health Partnership**

The Electrical Transmission and Distribution Partnership is a formal collaboration of industry stakeholders, working together to improve safety for power and distribution line workers. It is one of only a few national partnerships between employers and the Occupational Safety and Health Administration (OSHA). The partnership began in August 2004 with six members and grew to 12 members by 2011, representing nearly 80% of the workers in this segment of the construction industry. The existence of a formal partnership agreement brokered by OSHA encouraged the transparency and cooperation that have been key to the partnership's work together. The Partnership between labor, industry, and OSHA makes explicit the partners' agreed upon operating guidelines, and sharing it online demonstrates their commitment to an open and collaborative relationship. Partnering with OSHA also helped the partnership increase its visibility in the industry.

The original partnership agreement, as well as subsequent agreements renewing the partnership can be viewed in full at <https://www.osha.gov/dcsp/partnerships/national/power/power.html>. Among other provisions, their agreement identifies all partners involved, lays out the commitment they are all making, highlights goals, objectives, roles and responsibilities, and describes the way in which partners will cooperate with each other. This last point is of particular importance given the fact that the group includes 10 different contractors, both union and non-union employers, as well as organized labor and government partners who have multiple, and at times competing, interests related to the work. It

states that,

*The specific impetus behind this Partnership is to provide a safer and more healthful work environment for union and non-union contractor workers in the Industry. To that end, the Industry Partners undertake this Partnership pursuant to a non-competition, non-admission and non-aggression agreement by which all Industry Partners agree to mutual cooperation and to put aside differences in whatever form they may take (union vs. management; company vs. company; non-union vs. union), in order to focus on the reduction of injuries and fatalities in the Industry as a whole.*

Based on the mutual commitment to health and safety, the partners are able to put aside areas of potential conflict or resistance to share information in order to address a common challenge. As one member reflected, “there were challenges, but I think all of that was kind of put to rest when we said we’re not here to decide collective bargaining agreements, we’re not here to decide on business practices, we’re here to decide how we’re going to protect our work force and continue to advance our industry to the next century.” The formal partnership agreement reinforces this mutual understanding and serves as a concrete reminder to each member of their commitment to improving safety and health in the industry with the understanding that “whatever we agree we’re going to do, everybody has to do it.”

**Tool 3-J: Partnership Agreement Outline and Steps** lists the key items that partnerships typically need to reach agreement on to function successfully, and the steps that a partnership could follow to develop a formal written agreement.

### **TOOL 3-J: PARTNERSHIP AGREEMENT OUTLINE AND STEPS**

#### Instructions:

A partnership agreement can be developed at one meeting or over the course of several meetings. If you are using meeting minutes to document and reach agreement on how your partnership will function, you may find it useful to reference the “Key Elements” in the table below as prompts for the partners’ discussion. If your partnership wants to develop a more formal agreement, use the “Key Elements” and the following “Steps in Developing a Partnership Agreement” to guide the process.

Key Elements	Section Description and Key Questions
<b>Name of Partnership</b>	It may seem obvious, but naming your partnership is necessary in order to promote its work. <i>What is your partnership's name?</i>
<b>Name of Partnership Partners/Organizations</b>	List the names of the organizations and their representative(s) in your partnership. <i>Who is in the partnership?</i>
<b>Background, Purpose, &amp; Introduction</b>	Know and own your partnership's history and purpose. <i>How did the partnership get started? What is its purpose?</i>
<b>Partner Roles</b>	List the roles each partner organization will take on. For example: <i>Will a representative from each partnership be required to serve on every subcommittee? Will one organization be responsible for acting as liaison to a specific stakeholder group or the population you are trying to reach? Who will do what? (See <b>Tool 3-F: The Four "R"s – Resources, Relationships, Roles, &amp; Responsibilities.</b>)</i>
<b>Vision and Mission</b>	For the partners as well as the broader community, it is important to have a clear vision and mission. <i>Why was your partnership formed? What will your partnership work to achieve over time? What is the purpose of your partnership now? (See <b>Tools 3-A: Determine a Vision Statement</b> and <b>3-B: Determine a Partnership Mission.</b>)</i>
<b>Goals and Objectives</b>	Detail the goals and objectives that the partnership has identified. (See <b>Section 3.3: Develop Partnership Goals and Objectives.</b> )
<b>Decision-Making Processes</b>	As a partnership it is important to establish norms and expectations in working together, particularly in making decisions that reflect the group's consensus. <i>How will decisions be made? How will disagreements be handled? (See <b>Section 4.2: Determine Decision-Making Processes.</b>)</i>
<b>Organizational Structure</b>	Describe how the partnership will be organized. <i>Will there be a Steering Committee or Board? Who will facilitate and/or chair meetings? What are the expectations for membership in these groups?</i>
<b>Oversight/Accountability</b>	Oversight can mean many things to different people. <i>How will members within your partnership hold each other accountable to partnership goals and tasks?</i>
<b>Resources &amp; Financial Administration</b>	Your partnership should think about the resources needed to meet its goals and objectives. Some partners may have resources (funds or staff) that they can contribute to the partnership's work, while others may not. Describe how the partnership will handle applying for, administering, and using funds and resources.
<b>Use of Research &amp; Data</b>	Partnerships often conduct research and therefore collectively "own" the data or findings. The use of data can be sensitive and you will want to set parameters. <i>How will data be used? If there are outside requests for data, who must be involved in approving its use? What concerns or priorities do partners have about how research is disseminated and to whom? What concerns do partners have about the timing of when research is released?</i>

[Adapted from: Labor Occupational Health Program. (2008). *Strategic Partnerships: Checklist*; and the Collaboration Roundtable, 2001, *The Partnership Toolkit: Tools for Building and Sustaining Partnerships.*]

### Steps in Developing a Partnership Agreement

1. Ask the partners to select which elements in the table “Key Elements of a Partnership Agreement” to discuss or include in the partnership agreement. Your partnership may not want to include all of the elements listed, or it may want to add new elements. For the agreement elements selected:
  - ❖ Identify which, if any, the partners have already reached consensus on (e.g., partnership name, vision, mission, etc.) and list what was agreed to on flip chart paper or a whiteboard.
  - ❖ For those elements that have not yet been discussed, list them on individual flip charts and ask every partner to go to each sheet and add their thoughts on what should be covered or agreed to by the partnership as a whole.
2. Depending on how many elements need to be covered, either discuss as a large group or break into small groups of two or more partners and assign each group one or more element. Each group should come up with suggestions on what should be included in the partnership agreement.
  - ❖ If descriptions are drafted by small groups, time will need to be spent reviewing and editing each description until all partners are satisfied. If time is limited during an in-person meeting, you may suggest conducting the rest of the activity via email.
  - ❖ If an element is particularly contentious or you are having a difficult time reaching consensus, you may need to stop and plan a follow-up meeting, or add the discussion to the next regularly scheduled meeting to allow partners time to consider all sides.
3. After agreement is reached on the elements to include and the description for each element, compile and distribute the completed agreement to all partners for review.
4. At the next partnership meeting, ask the partners to approve the content. Include both the final agreement and partnership’s approval in the meeting minutes and make the document available to all partners. Consider also making the agreement publicly available if your partnership has its own website.

## 5 - IDENTIFY AND DISSEMINATE SOLUTIONS

Safety and health researchers study hazards and develop solutions in the form of safer work practices and equipment. However, those researchers often do not have a direct line to the contractors and workers who could benefit from their findings and new solutions.

Construction safety and health partnerships can play an important role in bridging the worlds of research and practice to reduce work-related injuries, illnesses, and deaths. Through their knowledge of the industry and relationships with key stakeholders, partnerships can increase contractors' and workers' awareness and use of research-based solutions, help identify hazards that need more attention, and ensure that the research conducted is relevant and in line with the demands of the construction industry.

This section focuses on ways that partnerships can identify and disseminate research-based solutions that will help them meet their goals and objectives.

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## 5.1 IDENTIFY RESEARCH-BASED SOLUTIONS AND RESEARCH NEEDS

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Once your partnership has identified its key issues and set goals (see **Section 3: Develop a Shared Vision, Mission, and Goals**), it is important to find out if a research-based solution is available that the industry will adopt or if more research is needed to find a solution. Depending on the characteristics of your partnership's stakeholders (e.g., contractor size, industry segment), more than one type of solution may be needed to address a single hazard and meet the partnership's goals and objectives.

Every partnership will have access to individuals and organizations with different knowledge, skills, and resources to call on for help (see **Section 1: Identify and Involve Key Stakeholders**). Depending on the scope of the partnership's work and range of expertise, partners may already be aware of whether or not viable solutions exist to address a specific hazard or alternatively, where there are research gaps.

This section describes how your partnership can:

- ❖ Systematically find research-based safety and health solutions ready for use on a construction site (to move from **research to practice** or **r2p**),
- ❖ Take steps when no solution is available and a research need is identified (to move from **practice to research** or **p2r**)
- ❖ Set priorities for solutions and **dissemination**, and follow-up with end-users or those who you hope will use the solution to ensure they are being put into **practice** on construction sites.

### Resources for Research to Practice (r2p) and Practice to Research (p2r)

**Research to practice (r2p)** is a process by which research on safe work practices and equipment is translated into easy-to-use materials and tools and then disseminated for adoption by workers and contractors.

There are several resources available to help your partnership find information about research-based solutions for hazards facing construction workers, including:

- ❖ [CPWR's Construction Solutions \(http://www.cpwrconstructionsolutions.org/\)](http://www.cpwrconstructionsolutions.org/), offers information on solutions for a broad range of hazards by type of work (e.g., electrical, painting, residential construction).
- ❖ [Work Safely with Silica \(www.silica-safe.org\)](http://www.silica-safe.org), developed with support from government, manufacturers, labor and management, provides commercially available equipment control options for a broad range of silica-generating tasks, as well as detailed information on the hazard, the risk, and regulatory efforts.
- ❖ [eLCOSH \(www.elcosh.org\)](http://www.elcosh.org), CPWR's electronic library of safety and health research, is searchable by hazard, trade and jobsite and allows a user to easily narrow their search to find research reports, articles, and more.

- ❖ The [Choose Hand Safety website \(www.choosehandsafety.org\)](http://www.choosehandsafety.org), developed under the guidance of the Masonry r2p Partnership, focuses on hand injuries and skin disorders and preventive measures.
- ❖ The [Nail Gun Safety website \(http://nailgunfacts.org/\)](http://nailgunfacts.org/) includes information about nail gun injuries, related research, and solutions.
- ❖ The [Publications section](http://www.cpwr.com/publications/publications) of [CPWR's](http://www.cpwr.com) website ([www.cpwr.com/publications/publications](http://www.cpwr.com/publications/publications)) has information on CPWR's research to practice initiatives, and reports, key findings, and peer-reviewed journal articles on the safety and health research conducted by CPWR researchers and Research Consortium members.
- ❖ The [National Institute for Occupational Safety and Health's website \(http://www.cdc.gov/niosh/\)](http://www.cdc.gov/niosh/) includes information and research findings on a broad range of hazards, including extensive information on noise hazards and solutions among other topics.
- ❖ [The US National Library of Medicine and National Institutes of Health's \(http://www.ncbi.nlm.nih.gov/pubmed/\)](http://www.ncbi.nlm.nih.gov/pubmed/) provides access to abstracts of peer-reviewed journal articles on safety and health research.
- ❖ Trade journals and publications such as [Engineering News Record \(http://enr.construction.com/\)](http://enr.construction.com/) frequently showcase new equipment and materials that may address safety and health hazards.

**Practice to research (p2r)** involves initiating new research that originates with – and responds to – the safety and health concerns and priorities of workers, employers, and other key stakeholders represented by your partnership. If your partnership identifies a hazard that lacks a viable solution, your partnership may need to pursue its own research agenda and enlist the help of safety and health researchers and other stakeholders, such as manufacturers, to develop a solution.

CPWR, NIOSH, and OSHA have programs that may help your partnership connect with researchers and safety experts who can develop or identify a solution:

- ❖ CPWR – The Center for Construction Research and Training provides access to safety and health researchers through its [Research Consortium \(http://www.cpwr.com/sites/default/files/ResearchConsortium\\_1.pdf\)](http://www.cpwr.com/sites/default/files/ResearchConsortium_1.pdf), and has funds available to conduct research through its [Small Studies Program \(http://www.cpwr.com/research/small-studies-program\)](http://www.cpwr.com/research/small-studies-program).
- ❖ The National Institute for Occupational Safety and Health (NIOSH), through its website <http://www.cdc.gov/niosh/hhe/>, will assess exposures and employee health, and based on the findings, recommend ways to reduce hazards and prevent work-related illnesses. The evaluation is done at no cost to the employees, employee representatives, or employers.
- ❖ The Occupational Safety and Health Administration (OSHA) offers a free, confidential on-site consultation (<https://www.osha.gov/dcsp/smallbusiness/consult.html>) to help small- and medium-sized businesses identify and address hazards.



Local or state universities are also good places to find researchers who may be interested in working with your partnership to develop a solution.

The original Asphalt Paving Partnership is an example of a partnership established to conduct new research and develop and test a solution to address a hazard that had no existing solution, bringing the experience from practice to research (p2r).

### **Case Study: Getting Ahead of the Issue in the Asphalt Paving Partnership**

The Asphalt Paving Partnership was created at a time when concerns about the health effects of asphalt fumes were gaining momentum – in particular, their potential to cause cancer among asphalt paving workers. A series of events came together to bring heightened attention to the issue. Government and labor groups were researching the possible harmful effects of asphalt fumes, Congress had recently passed legislation with a requirement to add crumb rubber from scrap tires to asphalt paving mix which raised additional health concerns, and pressure was intensifying from communities and activists to examine the impact of fumes on public health and the environment.

From the National Asphalt Paving Association (NAPA) and the industry perspective, a possible classification of asphalt fumes as an occupational carcinogen was a serious concern. In addition to adverse health consequences for workers, the carcinogen label carried potential implications for regulation, legal liability, and public perception. Initially NAPA and other industry representatives responded to government and labor concerns by investing substantial sums to conduct their own research, but then a breakthrough occurred within the organization.

The chairperson, a prominent paving contractor, emerged as a champion for a new approach. He recalled thinking, “We’re crazy to fight this. Why don’t we just get away from exposing our people to these fumes, and then the issue goes away whether they’re bad or good.” The contractor leveraged his relationships to convince a core group of contractors and manufacturers to investigate the possibility of reducing worker exposures. Manufacturers developed prototype control packages, and initial tests suggested that fairly simple ventilation systems could significantly reduce the level of fumes near workers.

The partnership between industry, labor, and government agencies was formed around the promise that these early engineering controls would be a “win-win” solution for all involved – to reduce worker exposures to asphalt fumes without having to wait for conclusive evidence on health effects to emerge.

Each manufacturer partner of paving machines subsequently designed controls tailored to their specific paving machines while union, contractor, and government researcher members of the partnership worked together to rigorously test the solutions for effectiveness.



## Identify Opportunities to Intervene

Before deciding on a solution to disseminate or reaching out to researchers to conduct new research, your partnership may want to conduct its own assessment of opportunities to intervene. The following tools offer two different approaches for helping partners identify these opportunities and the types of solutions needed.

**Tool 5-A: Identify Opportunities for Intervention Using the Source-Exposure Pathway** offers an approach to thinking about how to address a hazard by looking at the **source**, the **exposure**, and the **health effect** of the hazard. The **source** is where the hazard originates; the **exposure** is the way workers encounter the hazard; and the **health effect** is an injury or illness resulting from the hazard. In prevention, making a change at the source of a hazard is generally preferable to changing the exposure, and changing the exposure is preferable to having to wait to treat the health effect after it happens. The following are two examples of ways this approach could be used to identify opportunities for solutions or new research.

**Example 1:** There has been an increase in the incidence of asthma reported in workers while working with chemical x.

**Pathway:**

*Source -- Hazardous chemical X → Exposure -- Inhalation of hazardous chemical X → Health Effect -- Asthma*

**Possible Solutions:**

1. Change the **Source**: replace hazardous chemical X with a less hazardous alternative.
2. Change the **Exposure**: use an engineering control to capture the hazard at the source.

**Example 2:** Workers are dying or sustaining serious injuries from falls from working at heights on scaffolds.

**Pathway:**

*Source -- Working on a scaffold at height → Exposure -- Lack of fall protection → Health Effect -- Injury or death from falling*

**Possible Solution:**

1. Change the **Exposure**: provide safety harnesses for workers on scaffolds.

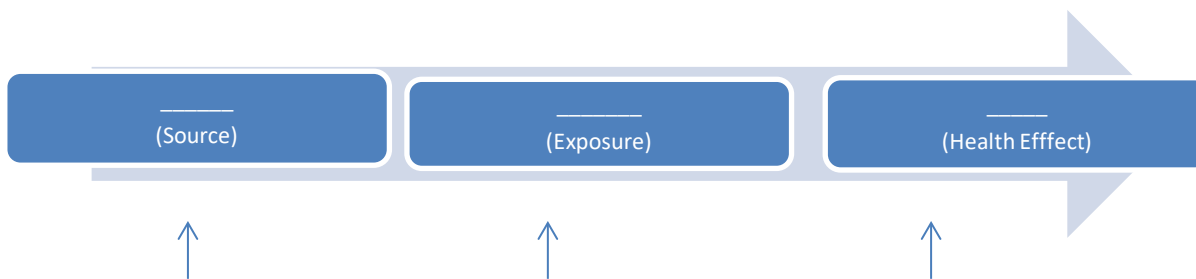
**TOOL 5-A: IDENTIFY OPPORTUNITIES FOR INTERVENTION USING THE SOURCE-EXPOSURE PATHWAY**Instructions:

1. Draw the diagram below on a flip chart or whiteboard.
2. Write the hazard that your partnership wants to address across the top.
3. As a group, identify possible solutions by recreating the pathway for the hazard or issue you plan to address. Discuss the main source and point(s) of exposure, and identify the best point at which to intervene (shown with arrows below) given the available solutions. Write the possible solution(s) under the pathway.

*Note – Keep in mind that making a change at the source of a hazard is generally preferable to changing the exposure, and changing the exposure is preferable to having to wait to treat the health effect after it happens.*

4. You can repeat this exercise for each of the hazards your partnership would like to address.

**Hazard:** \_\_\_\_\_



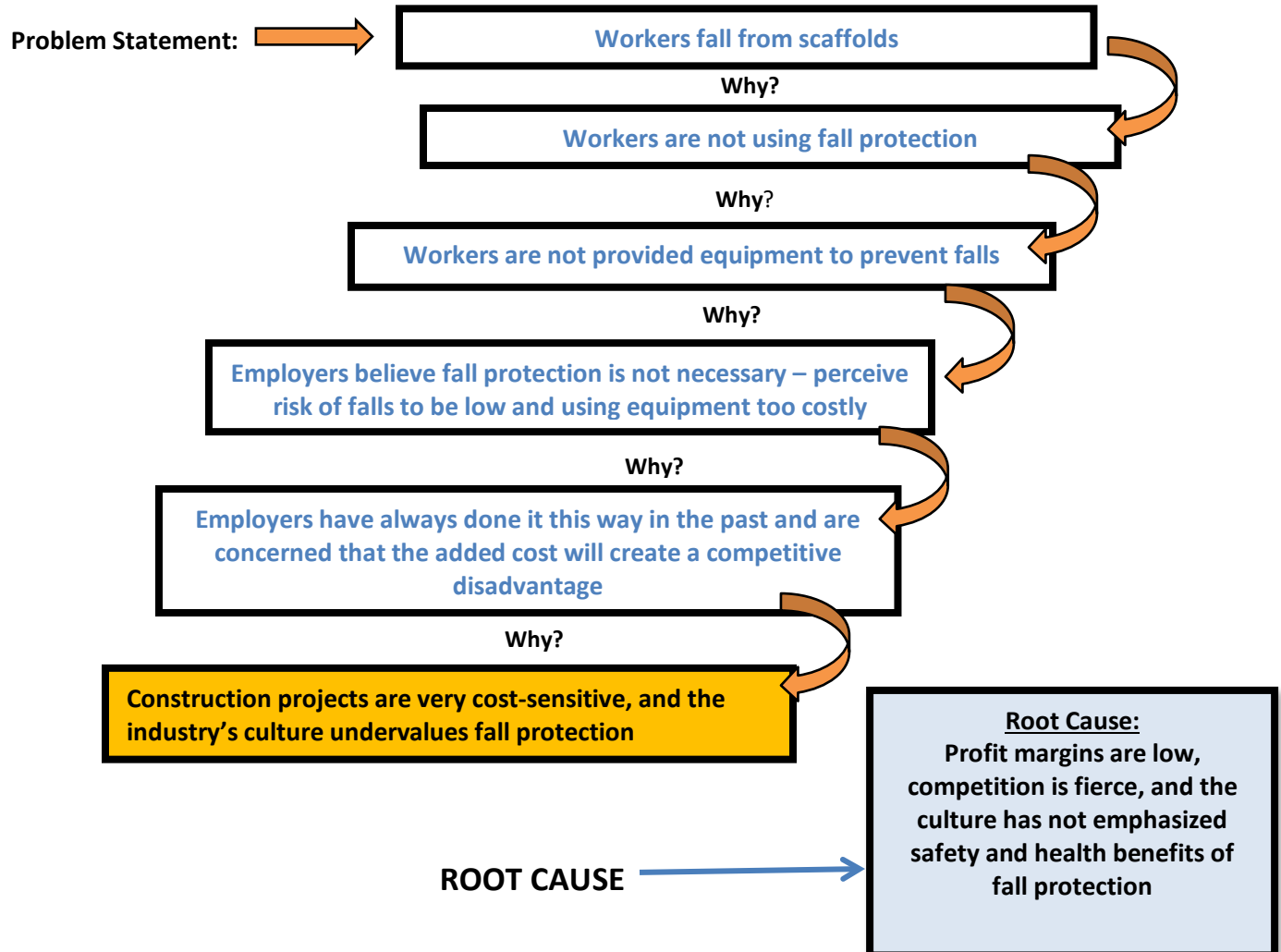
**Based on the identified pathway, what are possible opportunities to intervene?**

**Possible Solution(s):** \_\_\_\_\_

**Tool 5-B: Root Cause Analysis** offers another approach. While this type of analysis is typically done as part of an accident or near-miss investigation, there may be instances when such an approach could help your partnership better understand the underlying contributors to a type of injury or illness, as well as identify the factors that, if changed, would eliminate or minimize the hazard. Such an analysis may provide the partnership with insight into what type of solution(s) will best address the hazard. (If you completed **Tool 3-D: Map the Issue**, you may have already gained some insights.)

The following is an example of how this tool could be used to identify solutions or opportunities for new research.

## EXAMPLE: ROOT CAUSE ANALYSIS TOOL



If you removed this root cause, (e.g., by modifying the work practice, having different equipment in place, etc.) would the injury or exposure be prevented? **Yes**

What type of solution or research is needed to remove the root cause?

1. Provide fall protection and training on its use to workers
2. Social marketing research on changing industry norms to encourage the use of fall protection
3. Cost-benefit analysis demonstrating the business case for using fall protection

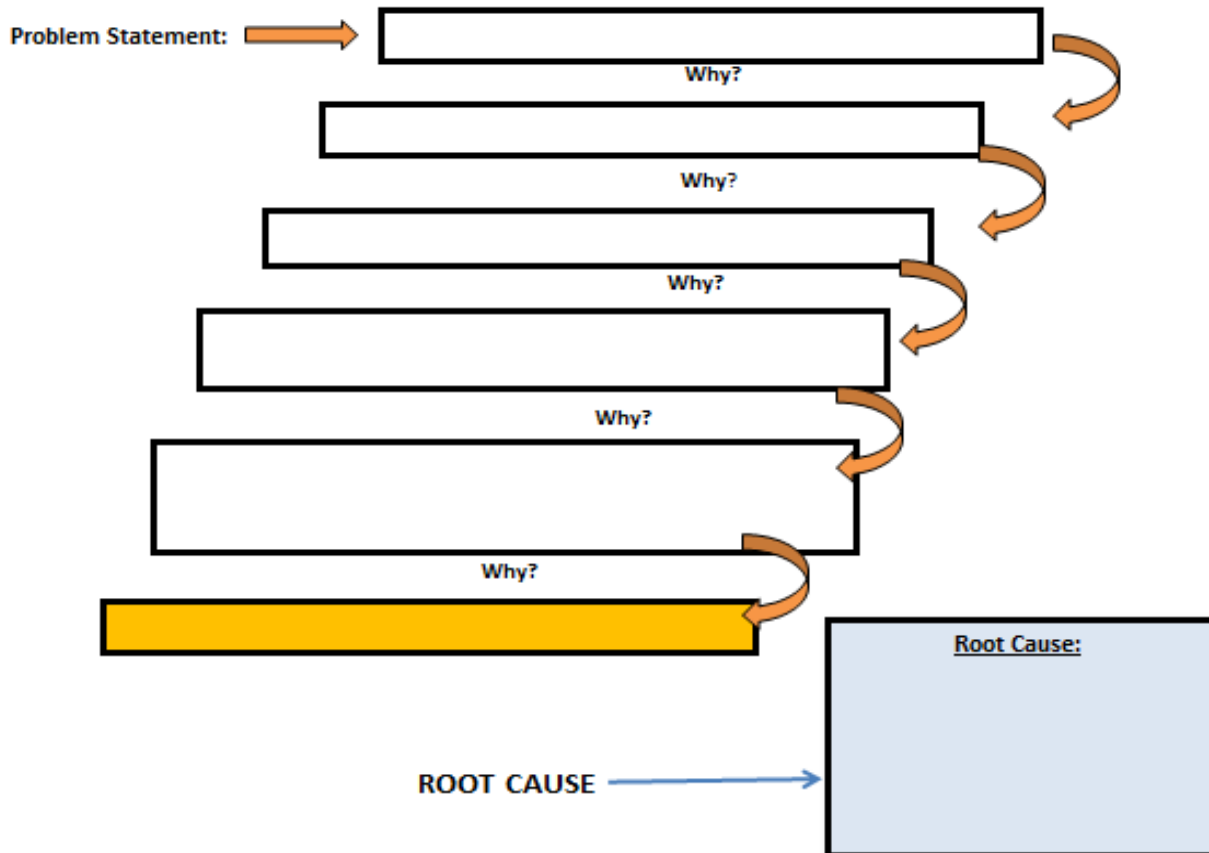
## TOOL 5-B: ROOT CAUSE ANALYSIS

### Instructions:

1. This exercise can be done with the entire partnership or in small groups. If done in small groups, provide each group with the same problem statement, a copy of the following diagram, and flip charts or whiteboards to keep track of their discussion. Ask each group to report back and then compile all the comments on one flip chart or whiteboard for further discussion.
2. Define the problem. Write a succinct description of the hazard or issue you need to address. You may have already completed this in **Section 3: Develop a Shared Vision, Mission, and Goals**. If so, simply transfer that information to this tool.
3. Ask the group why the hazard exists, or why the exposure or injury occurs. For example, if the hazard is “falls from scaffolds,” a response might be, “workers fall from scaffolds because they are not tied off,” followed by “why aren’t workers tied off?”
4. Continue this train of thought and keep asking “why” until you think you have hit the root cause. Then ask the questions “If you removed this root cause (e.g., by modifying the work practice, having different equipment in place, etc.), would the injury or exposure be prevented?” Then ask, “What type of solution or research is needed to remove the root cause?”

*Tip: In addition to your partners, consider asking other stakeholders and experts for information to help you complete the following diagram. Your partnership may also want to identify a specific jobsite where the potential for this hazard is present or where an injury or exposure has occurred and use it for this analysis.*

## EXAMPLE: ROOT CAUSE ANALYSIS TOOL



If you removed this root cause, (by modifying the work practice, having different equipment in place, etc.) would the injury or exposure be prevented?

What type of solution or research is needed to remove the root cause?

[Adapted from: Minnesota Department of Public Health. *Root Cause Analysis Toolkit*, <http://www.health.state.mn.us/patientsafety/toolkit/5whystool.pdf>.]

### Additional Resources

For more on root cause analysis, visit the resources below:

- **Final Solution Via Root Cause Analysis (with a Template)** - <http://www.isixsigma.com/tools-templates/cause-effect/final-solution-root-cause-analysis-template/>
- **Finding the Root Causes of Accidents, EHS Today** - [http://ehstoday.com/news/ehs\\_imp\\_32824](http://ehstoday.com/news/ehs_imp_32824)
- **CAF Construction Site Safety Certificate Program PowerPoint presentation** - [http://www.powershow.com/view4/47faeb-MTRmM/CAF\\_Construction\\_Site\\_Safety\\_Certificate\\_Program\\_powerpoint\\_ppt\\_presentation](http://www.powershow.com/view4/47faeb-MTRmM/CAF_Construction_Site_Safety_Certificate_Program_powerpoint_ppt_presentation)

### Prioritize and Track Solutions and New Research

A partnership with a mission and vision that encompasses more than one hazard and potential solution (see **Section 3: Develop a Shared Vision, Mission, and Goals**) may need to do more upfront work to compile information on solutions for the hazards it wants to address. This work can be useful in setting priorities, as well as identifying when a hazard lacks any available solutions.

How information on solutions is gathered and compiled will depend on your partnership's resources and how it plans to use this information. One of the partner organizations may have staff available to complete this task, or the partnership may decide to designate a subcommittee to compile a document or database summarizing various solutions for each hazard. Working with university students to help with background research can be an effective means and can help build relationships with potential faculty research partners. One place to start is to see if there is a [NIOSH Educational Resource Center \(ERC\)](http://niosh-erc.org) (<http://niosh-erc.org>) in your area. ERCs are funded to train occupational health professionals and conduct interdisciplinary research in occupational safety and health.

The Masonry r2p Partnership is an example of a partnership that established a broad mission and vision and developed a comprehensive database of safety and health hazards affecting the industry, available solutions, and gaps in solutions. The partnership used this database to solicit stakeholder input to help the partners set priorities.

### Case Study: Taking an Industry-Wide Approach in the Masonry r2p Partnership

The goal of the Masonry r2p Partnership is to increase awareness and use of tools, materials, and work practices that have been found to reduce workers' risk of injury or illness in the masonry industry.

As a first step, the partnership developed a comprehensive database of work-related hazards potentially facing workers in each of the masonry crafts (e.g. brick, tile, stone, cement, etc.) and identified the risks, related research-based solutions, and types of solution based on the **hierarchy of controls**. The partnership used existing resources and information, such as CPWR's Construction Solutions Database (<http://www.cpwrconstructionsolutions.org/>) published research studies, and their own experiences to identify and select solutions. This information was then used to create discussion guides and tables of hazards and related solutions specific to each masonry craft and presented to the International Union of Bricklayers and Allied Craftworkers' Labor-Management Craft Committees.

More than 100 contractor and labor members of the six Craft Committees reviewed and discussed the materials for their specific craft segment. Each committee used the list to identify the topmost hazards of concern and the related research-based solutions with the greatest potential to be widely accepted and used on job sites.

Based on their feedback, several safety and health areas surfaced as priorities for the Partnership's work including:

- Ergonomics hazards such as back or hand injuries
- Noise hazards and hearing loss
- Silica and dust exposures
- Skin related conditions such as contact dermatitis

Two new issues were identified as needing additional research:

- Alternatives to using 7 1/4" circular saws for stone work
- Radiation exposures from working near cell towers

[Adapted from CPWR's *Masonry r2p Partnership*: <http://www.cpwr.com/research/masonry-research-practice-partnership>.]

**Tool 5-C** offers an approach for compiling information on hazards and solutions, identifying needs for further research, and establishing priorities for dissemination.

**TOOL 5-C: COMPILE HAZARD-SOLUTION INFORMATION AND SET PRIORITIES**Instructions:

1. Assign a partner or subcommittee to identify and compile a list of the hazards your partnership wants to address and available research-based solutions. Use a spreadsheet, database, or paper copies of the table below to compile the information. Since there may be more than one solution available per hazard, complete a new row in the table for each solution. Keep track of solutions that may address several hazards (if a solution has the potential to have a broad impact, the partners may want to make it a priority).
2. Once the first two columns are filled in, as a group ask the partners to consider the following and keep track of their responses:
  - Level of Priority (Short-Term; Long-Term; Not a Priority) – Should the hazard-solution combination be a short or long-term priority for dissemination or a low priority?
  - Barriers to Use on Job Site – Are there barriers to using the solution? If yes, what are they?
  - More Research Needed – Is more research needed to understand the effectiveness of the solution before it can be promoted for use, to address the hazard, or to overcome barriers to use?
  - Additional Concerns/Comments – Are there any other concerns or questions regarding the listed solution?
3. Before completing this exercise, take one final look through the list of solutions and ask the partners:
  - Are there any important hazards or solutions missing from the list?
  - Which do you consider the two highest priorities?
  - How will we know if our partnership is succeeding in getting the solution into use?  
*Remember to come back to this information as you plan your evaluation efforts (see Section 6: Evaluate Your Work Together).*

Hazard	Solution(s)	Level of Priority:			Barriers to Use on Job Sites?	More Research Needed?	Concerns/Comments
		Short-Term	Long-Term	Not a priority			



## 5.2 DISSEMINATE RESEARCH-BASED SOLUTIONS

Once your partnership has identified the solution(s) to promote, a plan for dissemination should be created. **Dissemination** refers to the targeted distribution of information and intervention materials to a specific public health or clinical practice audience. In the case of construction, this audience could be workers, contractors, a specific segment of the industry or some combination (e.g., residential workers and contractors, etc.). Given the different types of audiences, more than one dissemination method may be needed. For example, different methods might be needed to reach contractors vs. workers or large vs. small contractors.

The following case study on the Electrical Transmission & Distribution Partnership demonstrates how a partnership's structure and specific efforts can both be influenced by and serve to carry out their dissemination goals.

### Case Study: R2p in Action: Electrical Transmission & Distribution Partnership Identifies & Disseminates Best Practices

The Electrical Transmission and Distribution Partnership (ET&D) was created to improve the safety culture of the industry by ensuring that sound safety practices are used. Their approach involves many of the steps needed to move research to practice, including conducting research and data analysis, developing materials, and active dissemination. The partnership uses a committee-based structure, that includes an executive committee, a steering committee, and four mission-related task teams – each created to meet a specific goal related to identifying and disseminating research-based information that will lead to the improvement of safety and health in the industry. The specific goals of the partnership are to (1) analyze accident and incident data to identify common causes for fatalities, injuries and illnesses suffered by linemen, apprentices and other appropriate job classifications; (2) develop recommended best practices for each identified cause; (3) develop implementation strategies for each best practice and promote these strategies among the partners; and (4) identify training criteria for foremen, general foremen, supervisors, linemen and apprentices, including training to create a change in industry culture to place value on safety and health.

The corresponding task teams include:

- (1) Data Analysis
- (2) Training
- (3) Best Practices
- (4) Communications

Through these teams, information is gathered and disseminated in a variety of ways. The Data Analysis task team provides needs assessment information by researching available industry data in order to recommend areas of concern for the partnership to focus on as well as ways to improve them. The

Training task team develops safety training courses and videos for workers and supervisors in the electric line construction industry, including OSHA 10 and OSHA 20 hour courses on OSHA safety regulations, as well as a supervisory leadership outreach skills course. Disseminating new and better information through training like this is only one of the step in improving the safety and health knowledge of workers. The Best Practices and Communications task teams help create fast, efficient ways to disseminate industry practices that serve to protect the workforce. The purpose of ET&D's best practices is to educate the industry on properly executing Insulate and Isolate (I&I) techniques that allow a line worker to safely work on and around energized equipment and conductors. A best practice consists of multiple dynamic comprehensive facets that include but are not limited to consistent training, auditing, discipline, job safety analysis, and I&I field criteria that may show specific insulating goods application. By identifying, publishing, and promoting best practices, the partnership is able to get protective measures into the field sooner rather than later. Communications helps with this by ensuring the best practices information gets beyond the partners and into the industry as a whole.

Working in combination with each other, these four task teams have managed to consistently refresh their methods, keep in touch with the needs of the industry and identify new ways to meet them, and work to get those innovations and information into the hands of both supervisors and workers in the field.

While your partnership may not be equipped to conduct the full r2p process from start to finish, the following tools are designed to help your partnership refine its priorities based on available resources and decide how best to disseminate information and promote the use of a research-based solution once it is available.

**Tool 5-D** asks a set of questions to help your partnership focus attention on the resources that will be needed for dissemination of a solution, potential benefits and costs, how the solution will actually be used, and who will use it.

The table in **Tool 5-E** includes questions to help your partnership identify methods and strategies for disseminating safety and health solutions and a format for keeping track of the methods, resources required, and responsibilities.

**TOOL 5-D: SOLUTION ASSESSMENT CHART**Instructions:

1. Distribute a list of solutions that your partnership has decided to promote with workers and contractors. This list should also include the partnership's goals and objectives that will be advanced with the increased awareness and use of the solutions.
2. On a flipchart or whiteboard, select one solution to discuss and use the categories in the following table to assess whether or not the solution should be a priority. For example, if current use of a solution in the industry is low, but there is a large target audience and a high likelihood of adoption based on benefits and cost, your partnership might want to push that solution forward. On the other hand, if your partnership listed a research-based solution that is unlikely to be adopted due to factors like low support and high cost, it may not be the time to promote it.

Solution Assessment Chart	
<b>Research-Based Solution</b>	
<b>Who Will Use It?</b>	
<b>Support Needed for Adoption</b> (e.g., training, marketing)	
<b>Funding Support</b>	
<b>*Use in Industry Today</b> (High, Medium, Low)	
<b>Benefits</b> (e.g., cost savings)	
<b>Costs</b> (e.g., purchasing, leasing, training)	

3. Repeat this process for all of the solutions under consideration.

*\*Tip: If it is difficult to determine how widespread use of a solution is in the industry, your partnership may want to consider conducting focus groups or surveys to fill the information gap. The Masonry r2p Partnership, for example, conducted a baseline telephone survey of workers and contractors to find out their awareness of the hazards, use of solutions, and barriers to use.*

**TOOL 5-E: SELECT DISSEMINATION METHODS**Instructions:

1. Provide copies of the chart to all members of the partnership. As a group, review the different dissemination methods and discuss which are best for each solution. Your partnership should consider the following questions:
  - ❖ Who is the target audience? Who has to decide to make, accept, or use the new solution (e.g., contractors, workers, owners)? Is there more than one target audience?
  - ❖ What is the best way to get information to them? These may be different for different audiences.
  - ❖ What resources will be needed to develop materials and tools to reach the audience?
  - ❖ Who is the best messenger or point person for that audience?
  - ❖ Are there additional stakeholders or new partners who might be able to help reach the audience?
  - ❖ Are there any factors that might hinder dissemination?
2. Using a flip chart and the format in the table below, keep track of the discussion and the partner(s) assigned to serve as the “responsible partner(s)” for different methods and audiences.
3. Following the meeting, type up the information for each solution and distribute it with the meeting notes to all participants so that they can refer back to it and use it to keep track of who is responsible for which tasks.

Dissemination Methods Chart	
Method	Description
<b>Education/Training</b>	Integration of solution into apprenticeship or upgrade training, professional training, tailgate/toolbox training, supervisor training, educational materials, peer training, etc.
<b>Outreach/Marketing</b>	Social marketing campaign, targeted diffusion effort, health & safety communications program, media advocacy, educational entertainment, etc.
<b>Policy Development</b>	Regulations, voluntary standards, building codes, collective bargaining agreements, licensing exam changes, etc.
<b>Technology Transfer</b>	Licensing, manufacturing, and marketing approaches
<b>Coalition-building</b>	Multi-partner effort to promote solutions at the industry or trade level; building alliances with other constituencies
<b>Communication Products</b>	Press releases, materials for lay audience, web posting/links, mailings, new/social media, etc.

Solution: _____				
Dissemination Method	Target Audience	Resource(s) Needed	Responsible Partner(s)	Additional Partners/ Stakeholders Involved
1.				
2.				
3.				
4.				

[Adapted from: CPWR. Triage tool for intervention ready research, <http://www.cpwr.com/sites/default/files/research/TriageToolInterventionStage.pdf>.]

Deciding on dissemination methods and who will be responsible is only part of the process. Partnerships should also consider developing more detailed plans for how the dissemination methods will be implemented. Such a detailed planning and tracking system will help your partnership work efficiently.

**Tool 5-F** contains instructions for using the planning and tracking tool outlined in **Appendix 3**. This tool was developed by the NIOSH, OSHA, and the CPWR r2p Working Group to help partnerships and other groups develop plans for getting solutions into use and for tracking their progress.

**TOOL 5-F: DISSEMINATION, PLANNING, AND TRACKING TOOL**Instructions:

1. Complete a dissemination plan using the outline in **Appendix 2** for each solution or group of solutions identified to address a hazard. If your partnership used **Tool 5-E**, you may have already developed some of this information.
2. If your partnership has already identified dissemination methods and the point person for each, ask those individuals to take the lead in developing the related plan.
3. If your partnership has not yet assigned dissemination responsibilities, discuss with the partnership how the dissemination plans will be completed. Depending on the number of solutions to disseminate, the partnership may decide to do this as a whole group or in subcommittees.
4. Establish a deadline for completing the dissemination plan(s) and a meeting schedule to review and refine the plan(s). Distribute the completed dissemination plan(s) ahead of time to make the meeting as effective as possible.

*Note – As you review the plan(s), keep in mind the resources available and timing of activities to ensure the partnership does not become overburdened or run into conflicts.*

The final plans will serve as a guide and checkpoint for the partnership's work moving forward, with progress reports given at each meeting. You may want to update and revise the plans as you learn more about your audiences and partners or as circumstances change.

A second case study on the Masonry r2p Partnership below provides an example of how dissemination fits into the larger r2p-p2r cycle.

## **Case Study: Masonry r2p Partnership -- Soliciting Feedback, Disseminating Resources, and Tracking Results**

In the years since the Craft Committees first provided input on the Partnership's priorities, the partners have reported back to them annually on their efforts and asked for additional feedback to make sure they are on the right track.

The Masonry r2p Partnership uses annual labor-management Craft Committee meetings to report on progress, solicit input on priorities and support for new initiatives, gauge awareness and use of solutions, and disseminate new safety and health research findings and resources. (See the Case Study: Taking an Industry-Wide Approach in the Masonry r2p Partnership for more detail – page 88.) In addition, the Partnership conducts periodic surveys of Committee members and workers (BAC members) to help set priorities and track progress.

### ***Using the Craft Committees for Feedback & Dissemination***

Each year, as part of the individual craft committee breakout sessions, Partnership representatives present on the status of current research projects and dissemination efforts related to the industry priorities and to discuss emerging safety and health issues. Each member also receives a more detailed written status report via email. These presentations and status reports serve two purposes: 1) they are a way to make contractor and labor representatives aware of new findings, resources, and solutions that they can then make other stakeholders aware of; and 2) they provide a way to keep the stakeholders engaged by showing Committee members how they have influenced the Partnership's work and safety and health research, and helped to advance the use of safety interventions.

### ***Soliciting Input & Gauging Progress***

In addition to disseminating information, the meetings provide an avenue for these industry stakeholders to provide input on the efforts of the Partnership and what direction it should take. After each meeting, Committee members are sent a short online anonymous survey to solicit additional input on the Partnership's work and safety and health priorities. These surveys have also been used to find out how best to communicate with contractors and workers, the types of products and materials that are most effective for conveying safety and health information and use of technologies and solutions on the jobsite.

The Partnership also conducts periodic surveys of BAC members and contractors to gain additional insights into the industry's safety and health concerns to use when establishing priorities, and to gauge progress in advancing the use of selected interventions to address those priorities already established.

As shown in the following table, the Partnership's efforts to advance the use of selected

interventions to protect masonry workers (BAC members) from exposure to silica, noise and dermal hazards have been successful. Between 2011 and 2019, the percentage of BAC members surveyed who said they “Always” use the silica, noise, and dermal interventions promoted by the Partnership to prevent exposure increased.

**Workers’ Use of Selected Engineering Controls and PPE Promoted by Partnership**

ALWAYS use the following to prevent exposure to:	2011	2019
Silica – Water /LEV	19%	<b>69%</b>
Noise – Hearing Protection	30%	<b>60%</b>
Chemicals (dermal exposure) – Gloves	35%	62%

**Additional Resources**

For more information on dissemination, visit the following resources:

- **Theory at a Glance A Guide for Health Promotion Practice (2005).** DHHS, NIH, NCI - <http://www.sbccimplementationkits.org/demandrmnch//wp-content/uploads/2014/02/Theory-at-a-Glance-%E2%80%93-A-Guide-For-Health-Promotion-Practice.pdf>
- **Making Health Communication Programs Work,** National Cancer Institute - <http://www.cancer.gov/cancertopics/cancerlibrary/pinkbook/pink-book.pdf>



## 4 - ACTIVELY INVEST IN GROUP DYNAMICS

Partnership development and innovation take time. Effective communication, trusting relationships, awareness of team dynamics and stages, and keeping partners engaged are essential to sustaining partnerships over the long-term.

*It takes a long time and you have to develop a level of trust between the two parties. The labor side has to understand that management looks at them as a very important resource and a part of the industry. And management has to understand that labor wants to work with us and they want to make things more successful to create more job opportunities for people they represent. It can be a win-win situation if you approach it the right way.*

*– Masonry r2p Partner*

Successful partnerships are often characterized by:

- Trust, openness, and mutual concern
- Patience, flexibility, and adaptability
- Understanding and respect for the mission of each partner's organization
- Recognition of and respect for what each partner does well
- Respect for the autonomy of each partner
- Willingness to share resources for the benefit of all
- Willingness to make decisions

[Adapted from: National Institute of Environmental Health Sciences. (2012). Partnerships for Environmental Public Health: Evaluations Metrics Manual, Chapter 2, Activity 1: Identify Partners, [http://www.niehs.nih.gov/research/supported/dert/programs/peph/.](http://www.niehs.nih.gov/research/supported/dert/programs/peph/)]

These characteristics have been described as the “glue” that keeps partnerships together.

This section focuses on the types of activities partnerships can undertake to strengthen their group dynamics and ensure that partners remain engaged and are prepared to address and overcome potential conflicts.

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## 4.1 DEFINE THE PARTNERSHIP'S STYLE

Anyone who has collaborated on a project, committee, or partnership can describe characteristics of group interactions that did or did not work well. Having a clear understanding of what the partners believe contribute to positive group dynamics will help your partnership set ground rules for making decisions, working as a team, and communicating effectively.

*If all that we do is focus on tasks and objectives, you might eventually get there, but you won't get there as fast and you won't get there as effectively....[It's about] how partners work together, how they listen to each other, how they collaborate. – Asphalt Partner*

**Tool 4-A** can help partners identify and build off of both positive and negative experiences they have had in other collaborations as they begin to establish ground rules for their work together.

**TOOL 4-A: PARTNERSHIP STYLE – WHAT WORKS AND WHAT DOESN'T**Instructions:

1. Depending on the group's size, this activity can be done with the partnership as a whole or by breaking the partners out into two groups.

Use the following activities to identify what the partners feel were the strengths and weaknesses of past collaborations. If using two groups, ask Group 1 to do Activity A and ask Group 2 to do Activity B.

Activity A – Ask the group to think about experiences with partnerships or groups that they have been a part of that were successful or that they enjoyed participating in.

- a. Have each person in the group individually write out a list of partnership characteristics that they believe contributed to a positive experience.
- b. One at a time, ask each person to share one characteristic from their list with the rest of the group.
- c. Record each one on flip chart paper or a whiteboard. As each characteristic is listed, ask if anyone else has it on their list, and keep a tally next to the characteristic.
- d. The process continues around the group, without discussion, until all individuals' lists have been exhausted.

Activity B – Ask the group to think about less successful groups or partnerships that they found challenging to be a part of.

- a. Have each person in the group individually write out a list of partnership characteristics that s/he believes contributed to a negative experience.
  - b. Go through the same process described in Activity A.
2. If the partners were working in groups, bring the groups back together and ask each group to report on the characteristics they identified. Discuss or clarify ones on the list with the option to collapse very similar characteristics into one. Be careful not to lose unique ones just to reduce the number of responses.
  3. On a new flip chart or whiteboard create two columns. In the first column write "Our Style" at the top. Using the lists of positive and negative characteristics, brainstorm core characteristics for your partnership and write those in the first column.
  4. Discuss how you might achieve those characteristics within your partnership. Write these ideas in the second column. Some examples of ways partnerships may achieve these characteristics might include: establishing an approach for dealing with sensitive issues that arise, regular communication, and collecting (anonymous) feedback on the partnership's process at specific intervals.
  5. Keep a record of these characteristics and revisit them periodically. You may want to include them in your partnership evaluation effort (see **Section 6: Evaluate Your Work Together**).

[Parts adapted from: Becker, A. B., Israel, B. A., & Allen, A. J. (2005). Strategies and Techniques for Effective Group Process in CBPR Partnerships. In B. A. Israel, E. Eng, A. J. Schulz & E. A. Parker (Eds.), *Methods in Community-Based Participatory Research for Health* (pp. 52-72). San Francisco: Jossey-Bass.]

## 4.2 WORK EFFECTIVELY AS A TEAM

Partnerships are about being able to work effectively as a team. Teams go through different phases over time and, as with any collaboration, there may be points of potential uncertainty or conflict. Typical stages of a partnership include: *Forming*, *Storming*, *Norming*, and *Performing*.

Stages of Group Development	
<b>Forming</b>	Partners are getting to know each other. Roles and responsibilities are not clear. Shared purpose has not yet been realized.
<b>Storming</b>	Partners experience conflict and competition. The partnership's rules, structure, and authority may be questioned. Patience, tolerance, and the ability to listen will help a partnership push through this phase.
<b>Norming</b>	Partners are engaged and value each other's contributions, and the group has started to figure out how to work together. Partners are willing to change their preconceived ideas and are open to and interested in what each other have to contribute. Partnership morale is high and the group is able to function productively.
<b>Performing</b>	The partnership shows cohesion and interdependence, whether working independently, in subgroups, or as an entire partnership. <i>Not all partnerships reach this stage.</i>

[Adapted from: Tuckman, B. & Jensen, M. (1977). *Stages of Small Group Development*. *Group and Organizational Studies*, 2, 419-427.]

Even though a stage such as *Storming* might seem unproductive or better to avoid, each stage has value, and going through it can contribute to a partnership's strength and ability to achieve its goals.

## Forming Stage – Partners are getting to know each other.

At this stage, partners may be just getting to know each other or be working together for the first time on safety and health issues. Creating a group resume (**Tool 4-B**) is one way to help your partners become better acquainted and aware of the knowledge, skills, and experience each partner brings to the partnership. This activity can be especially effective if the information gathered for the resume is focused on the reason your partnership is being formed.

### TOOL 4-B: FORMING – PARTNERSHIP RESUME

#### Instructions:

1. Introduce this exercise by telling the partners that they represent an incredible array of talents and experiences. Explain that this exercise is intended to identify the partnership's collective knowledge, skills, and resources that they are bringing to bear on the issue(s) the group is addressing.
2. Depending on the size of your partnership, you may want to divide the group up into pairs or small groups. Using a flip chart or a whiteboard to keep track of responses, ask each group (or the group as a whole) to list the items that would be included in their collective resume. Explain that a resume can include the following types of information, as well as any other relevant categories the partners come up with:
  - ❖ Work experience
  - ❖ Educational background
  - ❖ Knowledge each partner brings to the table related to the partnership's issue(s) and/or goal(s) (the purpose of the partnership)
  - ❖ Positions held
  - ❖ Professional skills
  - ❖ Major accomplishments
  - ❖ Professional organizations
  - ❖ Other
3. Bring everyone back together and ask each small group to present its resume to the entire team. If the partners did this as one group, skip this step.
4. Acknowledge the total resources contained within the entire partnership.
5. After the meeting, assemble the notes into one collective resume for the partnership and distribute a copy to all partners. This document may come in useful as a quick reminder of the skills and resources available as your partnership's work progresses.

[Adapted from: UC Berkeley Center for Organizational and Workplace Effectiveness. Team Building Toolkit: KEYS - Keys to Enhance Your Supervisory Success, <http://hrweb.berkeley.edu/files/attachments/Team-Building-Toolkit-KEYS.pdf>.]

## Storming Stage – Partners experience conflict and competition

At this stage your partnership is up and running but the partners are figuring out how to make decisions and establishing and understanding each other's roles (**Section 4.3**). Since this also often coincides with the stage when partnerships begin to set plans and timelines, it is a time when conflicts may arise about the scope, goals, and next steps. Even partners who share the same values and goals may not always agree on how to move forward.

Although the word “conflict” sounds negative, conflicts are natural and can be healthy. Partnerships that learn to work through differences often end up with better ideas and outcomes, as well as stronger working relationships.

“The first time I heard about the ‘storming’ stage, I was hoping we’d be able to skip that part. But I found that it’s important to go through, and now I think you should be happy when you get to ‘storming’ because that shows you’re making progress.” – *SafeBuild Alliance Partner*

During the storming stage partners may become competitive. There may be a question of who is in charge, personal differences may arise, or conflicting views may surface. Since everyone is human, this is often the point where a person's best and worst personality traits may surface. It only takes one partner being uncooperative or disruptive to slow down or jeopardize the partnership's work and ability to work together.

**Tool 2-B: Partner Diversity, Expectations, and Challenges** can be a useful exercise in surfacing and addressing underlying tensions and concerns that partners have about working together. Findings from the ongoing partnership evaluation can also help identify issues with group dynamics (see **Section 6: Evaluate Your Work Together**). Later in this section, **4.6: Recognize and Address Conflict** includes tips for facilitators on how to work through areas of conflict in proactive and positive ways.

The following chart, “Identifying and Addressing Dysfunctional Behavior,” lists the types of behavior that people may exhibit during the Storming stage (or other stages) and actions the facilitator can take in response. It is designed to help the facilitator identify and address problem behavior before it interferes with the partnership's work.

## Identify and Address Dysfunctional Behavior

Behavior	Description	Facilitator Action
<b>Backbiting</b>	Partners complaining and finding fault with one another, then talking with outsiders about this instead of the partnership as a whole	Be aware of partnership dynamics; establish ground rules around direct communication; conduct a general group discussion about the issue without blame
<b>Blaming</b>	Not taking personal responsibility; pointing the finger at others/situations for a problem that has arisen	Address the problem as a group problem and an opportunity to learn; conduct a debrief session outlining all contributing factors and ways to do things differently next time
<b>Bullying</b>	Being inconsiderate of other partners; attacking and intimidating behavior	Begin with a separate conversation with the person; monitor behavior; if behavior continues or escalates seek help from either another partner or someone outside the partnership who is in a position to get the person's attention and deal with the behavior
<b>Discounting</b>	Interrupting others; ignoring comments or suggestions; putting down partner contributions as irrelevant	Establish or revisit ground rules on active listening; establish a way to capture comments and suggestions that have not received air time; ask the group how they want to handle those items
<b>Distracting</b>	Digressing, getting on tangents, conducting side conversations	Refer back to prepared agenda; active facilitation; revisit ground rules; "parking lot" (create a separate list on a flip chart or whiteboard) of tangent items for a future agenda
<b>Dominating</b>	Pushing own (not group) agenda; excessive talking, interrupting others, criticizing, speaking for others; arguing too much on a point and rejecting expressed ideas without consideration	Paraphrase using some of the speaker's own words to indicate understanding; use direct questions to draw out other partners and gather other opinions; have a separate conversation with the person to address the behavior
<b>Excluding</b>	Forming cliques or factions that result in partners distrusting and suspecting one another	In an effort to integrate the partnership, assign quick win projects (attainable in the short-term) to partners who may not know each other or do not usually work together, and/or plan a team building activity
<b>Feuding</b>	Bringing baggage/issues from other situations and creating an uncomfortable environment; partners openly complain about and find fault with one another	Conduct an offline conversation with the person(s) involved in the disruption; monitor the situation, and if problem escalates seek outside intervention
<b>Joking</b>	Excessive playing around, telling jokes, mimicking other partners	Return to the agenda and timeline; if behavior continues conduct a general group discussion about the issue without blame
<b>Labeling</b>	Using labels that have an emotional charge or negative connotation to attack self-esteem rather than addressing the problem	Check for understanding and ask for clarification; if behavior is chronic, conduct a separate conversation with person
<b>Nay-saying</b>	Chronic attention paid to what is wrong rather than what is right or finding fault without providing alternatives	Immediately use a countering statement to refocus team on solutions
<b>Non-participating</b>	Acting with indifference; not contributing to discussions and activities; holding back opinions and ideas; not taking initiative; arriving late or leaving early	General group discussion about the issue without blame; break out into pairs or small groups; increase accountability by initiating project plans, agendas, minutes and action items, timelines, milestones

[Adapted from: *Team Building Toolkit: KEYS - Keys to Enhance Your Supervisory Success*. UC Berkeley Center for Organizational and Workplace Effectiveness, <http://hrweb.berkeley.edu/files/attachments/Team-Building-Toolkit-KEYS.pdf>.]

### Norming Stage - Partners are engaged and value each other's contributions:

Partnerships that reach the Norming stage have learned to work through differences in the Storming stage. At this point your partnership may be starting to implement its plan and work toward its goals (see **Section 5: Identify and Disseminate Solutions**). Work during this stage may take time, so it is important for partnerships to take steps to keep all of the partners engaged and informed.

Your partnership may want to consider setting milestones during the planning process to recognize the partnership's accomplishments. This recognition can be something as formal as a press release or articles in the partners' publications, or something as simple as taking a moment at the beginning of your next meeting to acknowledge the success and thank all the partners for their hard work.

Acknowledging success can lead to more success. Recognition and celebration can give partners that extra boost of energy or confidence to keep things going when the going gets tough. When partners feel good, their good feelings reverberate into other interactions.

### Performing Stage - The partnership shows cohesion:

Partnerships at the performing stage are working effectively as a team. That does not mean the partnership should be on autopilot. At this stage it is important for the partners to continue to pay attention to group dynamics, review lessons learned, successes, and goals, and make changes, if needed, to reflect internal (e.g., the partners, their organizations) and external (e.g., economy, industry) factors that could impact the partnership's work. This may be the stage to expand the partnership's scope or establish new goals.

## 4.3 DETERMINE DECISION-MAKING APPROACHES

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How a partnership makes decisions has a direct impact on partnership dynamics and outcomes. For these reasons, it is important to decide early in the developmental stage of your partnership how decisions will be made and who will make what type of decisions.

### Dynamics of Decision-Making

Being able to reach consensus and make group decisions is central to a partnership's work, but doing so is often challenging. As partners introduce new and different ideas and grapple with sensitive issues, there is the potential for the discussions to lose focus or for misunderstandings to occur. Agreeing upfront how decisions will be made can help your partnership avoid such difficult dynamics.



### How will decisions be made?

All partners should be involved in determining the best decision-making approaches for your partnership. While using Roberts Rules of Order (<http://www.robertsrules.com/>) can be advantageous in terms of efficiency and structure, some partners might find that such an approach stifles participation and may prefer a more informal approach with shared leadership or consensus decision-making.

Your partnership should discuss and agree on guidelines for reaching decisions: Will decisions be made by consensus? Will there be a leadership structure that makes decisions, such as a steering committee? Which decisions can be made by subcommittees vs. the whole group? Will there be different decision-making approaches for “high stakes” or time-sensitive decisions than for “low stakes” or non-urgent decisions?

A decision-making approach geared toward keeping all partners informed and providing them with the opportunity to participate in making decisions tends to lead to the greatest ownership of the decisions and their outcomes, but productivity may be enhanced when individual or small groups of partners are empowered to make certain types of decisions. By choosing appropriate approaches for different types of decisions, a partnership can achieve balance of ownership and productivity.

There may be times when an issue comes up and all of the partners agree on an outcome without debate. This type of spontaneous agreement makes everyone happy and unites the partners – “we’re all on the same page.” When this type of spontaneous agreement does not occur, there are other approaches your partnership can use for different types of decisions.

### Decision Making Approaches

- ❖ **Consensus building** involves raising all aspects of an issue and providing all of the partners with an opportunity to express their opinions and offer solutions or recommendations. Once all of the partners understand the issue and are aware of each other’s concerns and recommendations, the group discusses and refines how to deal with the issue until they come up with a solution that all of the partners believe is “workable” and they can “live with.” This collaborative approach is time consuming, but it can help to unite the partners and builds a sense of commitment to the outcome and the partnership.
- ❖ **A negotiated approach or compromise** may work best if an issue is very controversial and the solutions are at opposite ends of the spectrum. Through this approach each side works toward a middle position – everyone wins and loses some points from their original position. To avoid dividing the partnership, when this approach becomes too adversarial, the partnership should consider tabling the issue and asking each side to come to the next meeting with alternative solutions.
- ❖ **Multi-voting** is a technique used when a variety of options that all have merit have been presented during a discussion or brainstorming session. Through this approach, each partner is given a number of votes and asked to vote for the item(s) he or she views as the best option(s). A new list of options is then created that reflects the ones that received the most votes. This

process continues until the partners have narrowed it down to the option they feel is best. This approach involves less discussion than consensus building or negotiations, but for certain decisions where there are many viable, non-controversial options this non-competitive approach may work best. (*The Facilitator's Tool Kit*, referenced in Additional Resources later in this section, has more details on how to carry out Multi-Voting Decision-Making.)

- ❖ **Majority Voting** is systematic, objective, democratic, and may be a useful approach for issues where there may be differences of opinion, but the differences are not divisive. Once the partnership has thoroughly discussed an issue, asking the partners to vote through a show of hands, a ballot, or some other mechanism may be a reasonable and efficient decision-making approach.
- ❖ **Allocating authority** to one or more partners to make specific types of decisions, such as ones that are time-sensitive, can help keep the partnership's work on track. This approach also helps to involve different partners and build commitment. It should not be used for decisions that could have a significant impact on the partnership's work, alters the goals and objectives, or could end in results that some partners "can't live with." If this approach is used, it is important to make sure the partner given the authority has the option of bringing the decision back to the full partnership if s/he feels it warrants further discussion.
- ❖ A decision continuum, such as the **Gradients of Agreement**, is another way to think about consensus-based decisions and gauge the specific level of each partner's support or opposition to an idea or action. This approach allows individuals to register specific responses to a proposal – both before and after discussions – and helps the partnership clarify what partners actually mean when they say "yes" or "no" when asked whether or not they support or "buy into" a particular decision. Is someone who says "yes" enthusiastically supporting the decision or simply hoping that the meeting will end soon? Are participants who say "no" trying to communicate that they cannot live with the decision or would minor adjustments help them become more enthusiastic supporters? This approach can also help the facilitator determine if there is enough support (rather than unanimous support) to move forward with a proposal. **Tool 4-C** walks you through how to use this decision-making approach, and **Tool 4-D** raises discussion questions to help your partnership develop an overall strategy or framework for when to use different decision-making approaches, such as those described in this section.

[Adapted from: Leading Space. (2009). *The Six Decision-Making Processes*, <http://leadingspace.wordpress.com/2009/02/28/the-six-decision-making-processes/>, and The Office of Quality Management. (2000). *Facilitators Tool Kit*, <http://www.uspto.gov/web/offices/com/ogm-old/Facilitation.pdf>.]

**TOOL 4-C: GRADIENTS OF AGREEMENT**Instructions:

1. Draw the gradients of agreement scale (below) on a flip chart or whiteboard so the whole group can see it. Review the four levels.

*Tips:*

- Explain the decision approach before discussing the idea, goal, or issue.
- Let the group know that after sufficient discussion a proposal will be developed and everyone will use the scale to register their level of support for the proposal.

<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
<b>I fully support this proposal</b>	<b>I support this proposal with minor changes</b>	<b>I support this proposal with major changes</b>	<b>I do not support this proposal</b>

2. Discuss the proposed idea, goal, or issue. After determining that there has been sufficient discussion, the facilitator or another partner can ask for or suggest a short proposal (one to two sentences) describing the partnership's intended response to the issue being discussed. The proposal can be modified so that it reflects the partnership's thinking. Write the proposal for everyone to see.

3. Ask each partner to use the scale to indicate his/her level of support for the proposal. The facilitator should restate the proposal, and then go around the table so that each individual can indicate his/her level of agreement with the proposal.

*Tip: Making a check mark in the appropriate box to record each person's level of support helps the entire group see the distribution of responses. The group can then determine if there is enough support for the proposal to move forward.*

4. Ask those who indicated a "2" or "3" on the scale to describe their reservations and what change(s) could help move them up one level (sometimes these are easy changes to make).

5. Determine if there is sufficient support to move forward. Decide:
  - ✓ There is enough agreement to formalize the decision (a majority of "3" and "4" responses to the proposal), or
  - ✓ There is not enough agreement to make a decision and the team should continue to discuss the issue (a majority of "1" and "2" responses).

*Tip: To save time, if you sense general agreement before a topic is even discussed, suggest a straw poll using the Gradients of Agreement. If everyone is a 3 or 4, the group can often move on to the next agenda item without an extended discussion.*

[Adapted from: UC Berkeley Center for Organizational and Workplace Effectiveness. *Team Building Toolkit: KEYS - Keys to Enhance Your Supervisory Success*, <http://hrweb.berkeley.edu/files/attachments/Team-Building-Toolkit-KEYS.pdf>.]

**TOOL 4-D: DEVELOP A DECISION-MAKING STRATEGY**Instructions:

Raise the following questions with the whole partnership. If you have not already done so, you may want to present the decision-making approaches described in this section and the gradients of agreement in **Tool 4-B** to aid in the discussion. Use the last question to formally decide on the appropriate decision-making strategy for the partnership.

**Decision-Making Questions for Discussion**

1. Does everyone always need to be at the table when decisions are made? Is there a difference depending on the type of decision to be made? If there are differences, what types of decisions should involve all of the partners and what types could be deferred to an individual partner or a sub-group?
2. Who gets the final say? Who must be involved on which issues (e.g., setting priorities, budgets, solutions)?
3. Should decision-making responsibilities be rotated over time? How?
4. How will the group balance process (e.g., allowing enough discussion on a topic) and action (e.g., making a decision and implementing it)?
5. How long should it take to make a decision? Remind partners that decision-making is challenging and that it is natural for groups to have to work through misunderstandings to arrive at a satisfactory outcome.
6. Which decision-making approaches will work best in which circumstances (e.g., **Consensus** – everyone must agree to pass an effort? **Majority Voting** – percentage of votes passes an effort?)

[Adapted from: Greene-Moton, E., Palermo, A.G., Flicker, S., Travers, R. (2006). Unit 4 Section 4.4 Making Decisions and Communicating Effectively, *The Examining Community-Institutional Partnerships for Prevention Research Group. Developing and Sustaining Community-Based Participatory Research Partnerships: A Skill-Building Curriculum*, <http://depts.washington.edu/ccph/cbpr/u4/u44.php>.]

**Additional Resources**

For more tips and resources on decision-making, visit the following resources:

- ➡ **Facilitator's Toolkit** – <http://www.uspto.gov/web/offices/com/oqm-old/Facilitation.pdf>
- ➡ **Facilitator's Guide to Participatory Decision-Making** - Kaner, S., Lind, L., Toldi, C., Fisk, S., & Berger, D. (2007). *Facilitator's Guide to Participatory Decision-Making* (2nd ed.). San Francisco: Jossey-Bass.

## 4.4 COMMUNICATE EFFECTIVELY

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At every stage, ongoing and effective communication among partners is needed to build and maintain trust. Communication must occur both inside and outside of meetings, and is needed for your partnership's work to progress.

**What are the best ways to communicate?** Communication methods should reflect the preferences and needs of your partnership. While face-to-face meetings, phone calls, and email are primary mechanisms for communicating, other options are available that can offer unique advantages. Instant messaging can be effective at communicating quick and short pieces of information. A Facebook or other social media account can also be set up to facilitate conversations between partners, provide a central space to find meeting dates and locations, and create a place where partner organizations and constituents can visit to stay informed about the partnership's work and learn about upcoming opportunities to help with this work. Online resources, such as Google Groups (<https://groups.google.com/forum/#!overview>) and Dropbox ([www.dropbox.com](http://www.dropbox.com)), also provide free options for efficiently sharing materials. The options you choose will depend on the comfort level of the various partners with the different methods.

**Communication check-ins:** A regular communication check-in is a great way to identify and address problems early on and keep partners engaged. Use check-ins to discuss the status of your partnership's work as well as an opportunity to gauge how well your communications methods and system are working.

Consider the following questions:

1. Are communication methods (e.g., meetings, emails, etc.) engaging all partners equally in decision-making?
2. Are there adequate opportunities for input outside of meetings?
3. How well do communications contribute to high levels of trust, engagement, and morale?
4. Are communications being effectively used to manage or address problems?
5. How well are communications encouraging participation outside of meetings?
6. How well are communications facilitating greater involvement in meetings?
7. How well do current communications methods allow participants to respond to change quickly?
8. Are the current levels and forms of communication sustainable?

[Adapted from: Kaiser Labor Management Partnership. *Path to Performance Toolkit: High Functioning Teams Materials*, <http://www.lmpartnership.org/tools/path-to-performance/sponsorship/level-5.>]

### Communication Tips:

- ❖ Make sure all communications are respectful, open, honest, and speak directly to issues or concerns.
- ❖ Identify an optimal frequency for communications; you may want to set a regular schedule for touching base.

- ❖ Since some terms may mean different things to different groups, avoid slang, spell out terms, and make sure everyone feels comfortable asking for clarification.
- ❖ Ask for volunteers to assist with communications or rotate responsibility among the partners (e.g., a monthly volunteer to take and send out meeting minutes).
- ❖ Use technology to save time. Set up a Dropbox ([www.dropbox.com](http://www.dropbox.com)) or internet-based space to store materials, and online tools such as Doodle ([www.doodle.com](http://www.doodle.com)) to schedule meetings.
- ❖ Avoid communication overload. Identify who should be contacted for specific purposes or activities.
- ❖ Identify which partner will be the main point of contact for researchers and others reaching out to the partnership.
- ❖ Maintain a list of the best ways to reach partners. For each partner, collect the information listed in **Tool 4-E: Creating a Partnership Directory** in an Excel spreadsheet, Word document, or database, share it with all partners, and update it regularly.

#### TOOL 4-E: CREATE A PARTNERSHIP DIRECTORY

##### Instructions:

1. Depending on the number of partners or other stakeholders associated with the partnership, you may decide to create a simple Word document or, for a larger partnership, a spreadsheet or database to store everyone's contact information.
2. At the initial meeting, ask everyone to fill out an index card with the information below. For those who are not at the meeting, or for new partners joining later, be sure to send an email collecting this information. Compile the information, share it with the group, and make sure to update it regularly.

<b>Organization</b>	
<b>Partner Name</b>	
<b>Position</b>	
<b>Areas of Expertise</b>	
<b>Preferred Email</b>	
<b>Preferred Phone</b>	
<b>Best Time to Contact</b>	

##### **Additional Resource:**

For more tips on effective communication, visit the following resource:

- ➡ **Making Decisions and Communicating Effectively** – <http://www.cbprcurriculum.info/>

## 4.5 MAINTAIN PARTNER ENGAGEMENT

Keeping all partners engaged is a challenge for all partnerships at every stage of development. In addition to facilitating effective meetings (see **Section 2: Facilitate the Partnership Process**), and promoting communication (see **4.4: Communicate Effectively**), engagement can be fostered through networking, holding small working groups, and involvement in partner organizations' events and programs.

As mentioned in the discussion of a partnership's "Norming" phase, celebrating the partnership's work and success is a way to promote further success and keep momentum going. Continued relationship building also helps because as relationships develop, partners are more likely to be willing to help and hold each other accountable.

*That's the beauty of a partnership... although you certainly work on tasks, it's really relationship-based...just like in any other type of healthy relationship, there's that, "Hey, my partner has an idea. I want to listen to that. I want to see if there's a way that we can create a win-win scenario here." – Asphalt Partner*

A partnership can make relationship building a priority by setting up opportunities for unstructured communication and networking. This can be as easy as providing lunch and some free time to eat and chat during a regularly scheduled meeting or going to happy hour as a group afterward.

*We start [our quarterly meeting] at 4:00 in the afternoon and people have the opportunity to stay until 7, 7:30, 8:00 if they want. And the venue where we have it provides an opportunity for them to go to another area and continue their evening if they want to do more networking or have dinner or more beverages.... So we really structured it so that it would enhance networking opportunities. – SafeBuild Alliance Partner*

Partners can also show interest and support by attending or participating in each other's non-partnership events. Creating a partner events calendar, either web-based or hard-copy, separate from partnership activities is one way to ensure such information is available to all partners. Each partner should provide the name and time of upcoming events that would be appropriate for other partners to attend as guests or participants, or support in some way. For each event include the type of participation that would be appropriate (e.g., giving a presentation, just attending, running a booth), and the type of support that would be helpful (e.g., placing an announcement in a newsletter). These detailed dates and explanations should be completed by each partner organization and updated on a regular basis.

## 4.6 RECOGNIZE AND ADDRESS CONFLICT

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In the real world conflicts happen. While conflicts can create challenges, they can also be opportunities to work out important problems and strengthen relationships.

To help your partnership succeed, it is important to be able to set outside issues aside and focus on the safety and health issues that brought you together. Remember that despite possible differences in the partners' organizational motivators, missions, and cultures, there is common ground – concern about safety and health.

Acknowledging and respecting these differences is the first step in developing ways to discuss disagreements and avoid conflicts. This process starts with the first partnership meeting and continues through all stages. Activities such as developing a partnership agreement, (see **Tool 3-J: Partnership Agreement Outline and Steps**), providing opportunities for input on meeting agendas, planning, and actively working together to build collaboration and cooperation help to address and limit conflict.

The following case study from the Massachusetts Floor Finishing Safety Task Force shows how identifying an area that had little chance for agreement among all the partners (in this case, the need for a regulation to address the hazard) and being willing to find alternatives ended up moving the process forward. The potential issue of conflict that could have jeopardized the partnership in its “Storming” stage ended with broad-based support that developed organically.



### Case Study: Meeting Challenges Head-On in the Floor Finisher's Safety Task Force

Between 2004 and 2005, two separate fires killed three floor finishers from Dorchester, MA when the chemicals they were using ignited. While this was not the first case of a fire in the industry, the tragic deaths quickly drew the Dorchester community's attention to the hazards associated with floor finishing. The Massachusetts Coalition for Occupational Safety and Health (MassCOSH), the Vietnamese American Initiative for Development (VietAID), the University of Massachusetts, Lowell, the Dorchester Health Center, and additional stakeholders such as government advisors, small business contractors, and product distributors came together as a statewide Floor Finishing Safety Task Force to try to make the industry safer. They quickly identified the use of lacquer sealer as the main hazard to be addressed, but agreeing on how to address it took longer.

With so many different people at the table, initially there was some difference of opinion on what measures should be taken to address the safety hazard of lacquer sealer. Specifically, there was resistance to any regulatory solutions from partners who were business owners and product distributors. Acknowledging the crucial role these groups would play in addressing any change within the industry, the other partners agreed to focus on educational efforts and voluntary discontinuance of selling or using lacquer sealer.

This approach met with some initial success as all product distributors in the area agreed to take lacquer sealer off the shelves. However, when one of the distributors later backed out, it left the others at a serious competitive disadvantage. Those who were initially against regulatory options began to agree that it was the only way to guarantee a level playing field. The partnership took steps to make a policy level change, which resulted in the Massachusetts legislature banning the commercial use of the sealers for floor finishing. Consensus on this regulatory solution was able to emerge because of the partners' trust in each other, understanding of the issue, and willingness to try different alternatives.

The following Tip Sheets may help create an environment where potential conflicts are identified, dealt with, and prevented from undermining the partnership's work. They are designed to help a facilitator navigate the diverse personal reactions and issues that the partnership may encounter. Along with the table in **Section 4.2: Identify and Address Dysfunctional Behavior**, these tips can serve as useful resources to deal with conflict when it arises.

**Tip Sheet #1: “Baggage Handling”**

- ❖ Everyone comes with “baggage” – encourage partners to “check it at the door”
- ❖ Work to form common ground. Make efforts to regularly remind the group of shared values and interests
- ❖ Arrange the room and breakouts to ensure interaction
- ❖ Don’t allow underhanded or coded comments or jokes. One way to accomplish this is to ask the person to explain what they just said
- ❖ Validate important fights and history
- ❖ Help the group stick to the issue at hand

**Tip Sheet #2: Inviting Participation**

- ❖ Directly solicit input from a partner who is not participating
- ❖ Give partners the time and space to pause, reflect, and think critically
- ❖ Validate different forms of participation
- ❖ Don’t let one person take over or sabotage the conversation
- ❖ Don’t create unnecessary divisions

**Tip Sheet #3: Interrupting Power Plays**

- ❖ Look out for conflict in the room. Be particularly cognizant of individuals retreating because they felt attacked and/or disrespected
- ❖ If there is conflict from a power imbalance in the room, be careful not to step in too harshly. You may want to shift the topic and create the space to review group norms and ground rules and recreate equilibrium
- ❖ Call a break to lower tension
- ❖ Use tension as an opportunity to learn

[Burke, B., Geronimo, J., Martin, D. A., Thomas, B., & Wall, C. (2002). *Education for Changing Unions* (Chapters 7 and 8). Toronto: Between the Lines.]

## 6 - EVALUATE YOUR WORK TOGETHER

Partnerships can benefit from periodically reviewing their processes, achievements, and challenges. This review of lessons learned is often referred to as an evaluation. Evaluating your partnership will allow the partners to identify and address issues that could get in the way of their ability to work together, and to find out if their efforts to identify, test, or disseminate solutions are resulting in increased awareness and use of safer work practices and equipment.

Your partnership evaluation can be formal or informal, small or large in scope. It all depends on what your partnership wants to get out of the evaluation and available resources.

*Most groups don't do 'evaluation.' What happens instead is that each individual does their own intrinsic evaluation. They're asking, 'are we producing?' If not, they drop out.  
– r2p Interagency Working Group member*

This section discusses the purpose and importance of evaluation and focuses on two key areas of evaluation: **partnership evaluation (how well is the partnership operating)** and **r2p evaluation (how effectively is it promoting change)**. It also contains tools to help your partnership with this process.

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## 6.1 READY YOUR EVALUATION

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Evaluation is important for partnership sustainability and growth, for gauging whether goals are being met, and for determining whether r2p solutions are working. There are four key reasons why your partnership should consider engaging in evaluation activities:

1. To improve how the partnership works together.
2. To measure the partnership's effectiveness in reaching its r2p goals – greater awareness and use of safer work practices, equipment, or materials.
3. To ensure the effective use of resources.
4. To establish accountability.

[Adapted from: The Pennsylvania Workforce Investment Board. (2009). *The Strategic Industry Partnership Toolkit: A Toolkit for Effective Partnership Management.*]

### When should your partnership start thinking about evaluation?

The evaluation process works best when it is an integrated part of your partnership's goal-setting and planning process (see **Section 3: Develop a Shared Vision, Mission, and Goals**). Thinking early on about what and how your partnership will evaluate and how to gauge success or progress will actually help create more specific and realistic objectives for your work.

Incorporating evaluation into your partnership's planning process will help ensure that as work progresses you are collecting the information that will be needed to determine what's working and what needs improvement. It will also allow you to take into account the time and resources your partnership has to devote to evaluation and what the appropriate scope should be.

### Evaluation Scope

Your partnership's evaluation efforts can look very different depending on its goals and available resources. Some evaluation efforts are very scientific and require a lot of time and resources, while some are less resource intensive. Even if your partnership has limited resources and evaluation capabilities, it is important to conduct some level of evaluation.

As a first step, your partnership must make some choices about what is most important to find out and the resources it can allocate to the evaluation process. The scope of your evaluation will help determine whether your partnership will conduct a more comprehensive or scientific evaluation or focus on one particular area. Different areas for evaluation your partnership might consider include:

1. **Partnership Evaluation** – this type of evaluation focuses on how well your partnership is functioning (e.g., how well the partners are working together – see **Section 4: Actively Invest in Group Dynamics**). A well-functioning partnership will be more successful in finding and disseminating solutions and eliciting change in the industry than a partnership that needs a lot of internal improvement. Since you already have access to all partners and additional stakeholders, this type of evaluation may be the easiest to accomplish.
2. **r2p Evaluation** – this type of evaluation focuses on how well your partnership is accomplishing its objectives and whether or not your efforts are having an impact. It can be divided into two sub-types:
  - a. **Process Evaluation** – this measures your success in implementing your partnership’s planned r2p activities. For example, if your partnership planned on conducting outreach to 1,000 workers through presentations, newsletters, and trainings, your process evaluation would track whether or not this was actually completed. Frequently, this is the most accessible information for partnerships to gather and provides critical information on whether or not the partnership is meeting its goals and objectives.
  - b. **Outcome Evaluation** – this type of evaluation measures whether or not your efforts are having an impact on the intended audience: Is there a change in practice, in beliefs, attitudes, or skills, or in injuries and illnesses? When using this approach, it is best to have a “baseline” measure to compare your evaluation to, “control groups” if possible, and indicators of success that are identifiable and measurable. Outcome evaluation can be complex and costly. If highly scientific designs are called for, your partnerships may need to contract with a professional evaluator.

The scope of your partnership’s evaluation efforts and the level of investment will depend on:

1. What the partners would like to know about its efforts
2. How important it is to use strong scientific methods to evaluate its efforts
3. How much information or data the partners will be able to collect, analyze and use
4. The partnership’s available capacity and resources for evaluation

As your partnership evolves, it is important to revisit and, if needed, change the scope of its evaluation efforts.

Tool **6-A** gives an overview of the evaluation planning process and key questions to ask and answer at each step.

**TOOL 6-A: STEPS IN PLANNING AN EVALUATION**

**Step 1:** Identify what your partnership wants to evaluate, such as:

1. Your partnership's ability to work together (**Partnership Evaluation**)
2. How well your partnership has met the goals it set (**r2p Process & Outcome Evaluation**)
3. The effectiveness of the partnership's dissemination efforts (**r2p Outcome Evaluation**)

**Step 2:** Identify why your partnership wants to evaluate the items identified in Step 1. Consider:

1. Who will be using the evaluation results or learning from them?
2. What do the partners hope to learn from the process? (e.g., How to work together better? Whether or not changes are occurring in construction practices because of the partnership's work?)
3. What will your partnership do with the evaluation findings, conclusions, and recommendations? (e.g., use them to improve dissemination efforts? To improve a solution or decide if it's working at all? To identify areas of partnership conflict? To document the process and inspire others? To plan for future efforts?)

**Step 3:** Identify who you want to be involved with the evaluation:

1. Will you use an outside evaluator or will you have someone within the partnership lead the evaluation?
2. Will you have a committee within the partnership focus on the evaluation or do it as a group activity?

**Step 4:** Determine what questions you want the evaluation to answer. These questions should be: SMART – Specific, Measurable, Achievable, Relevant, and Timely (see **Tool 3-E: SMART Objective Template**).

**Step 5:** Develop a detailed evaluation plan as part of the partnership's overall plan, which describes how the evaluation will be done and when each stage will be started and completed. The evaluation plan should identify:

1. What will be examined
2. Whose views/experiences will be gathered
3. How information will be gathered
4. How the information will be analyzed
5. How the findings will be reported
6. Who will have access to the evaluation results
7. How next steps and recommendations will be determined
8. What reports or publications will be produced and, if appropriate, who will be considered an author and in what order credit will be given
9. Overall timeline for evaluation activities

**Step 6:** Carry out the Evaluation. Collect data, both qualitative (numerical) and quantitative (descriptive).

**Step 7:** Analyze and interpret the results.

**Step 8:** Use the Evaluation results to strengthen your partnership and ensure goals and objectives are met.

[Adapted from: The Collaboration Roundtable. (2001). *The Partnership Toolkit: Tools for Building and Sustaining Partnership*, and the International Development Resource Center. (2011). *The Knowledge Translation Toolkit: Bridging the Know-Do Gap: A Resource for Researchers*.]

## Deciding on an internal vs. external evaluation

Deciding whether the evaluation will be conducted internally or externally is an early step to take. There are benefits and challenges to both approaches.

### Internal Evaluations

Internal evaluations are conducted by a person or people from within the partnership.

#### Benefits

- ❖ May have the trust and cooperation of the partners
- ❖ May more completely understand the thinking behind the partnership's activities, the priorities set, and strategies used
- ❖ May have an appreciation for challenges that arise
- ❖ May not require the same financial outlays associated with hiring a professional evaluator

#### Challenges

- ❖ May have difficulty making critical statements
- ❖ May be limited in suggesting new solutions to identified problems
- ❖ May hesitate to involve partners in more work, because they are aware of the amount of work already put in and other demands on the partners' time
- ❖ May be limited in specific evaluation skills needed for more technical evaluations
- ❖ May be seen as lacking neutrality

### External Evaluations

External evaluations are conducted by a third party, or someone not directly involved in the partnership.

#### Benefits

- ❖ May be more objective
- ❖ May be able to offer new perspective
- ❖ May offer technical expertise in evaluation design and methods for more complex evaluations

#### Challenges

- ❖ May not fully appreciate the thinking behind the partnership's activities, the priorities set, and strategies used
- ❖ Evaluator(s) may lack an understanding of project-related decisions
- ❖ May be perceived as having different values by partners or out of touch with the realities of the industry or audience the partnership is dealing with
- ❖ May not be accessible due to cost

### Additional Resources

For more information on choosing between an outside evaluator or doing your own evaluation, visit the following resources:

- **Community Toolbox, Evaluating Community Programs and Initiatives, Chapter 36, Section 4: Choosing Evaluators** - [http://ctb.ku.edu/en/tablecontents/sub\\_section\\_main\\_1351.aspx](http://ctb.ku.edu/en/tablecontents/sub_section_main_1351.aspx)
- **The Pell Institute Evaluation Toolkit** - <http://toolkit.pellinstitute.org/evaluation-guide/plan-budget/select-an-evaluator/>
- **Evaluation Brief: Selecting an Evaluation Consultant** - <http://www.cdc.gov/healthyyouth/evaluation/pdf/brief1.pdf>
- **American Evaluation Association Website** - Find an evaluator by state tool - <http://www.eval.org/p/cm/ld/fid=108>

### Evaluation Data and Methods

Data are pieces of information collected for your partnership’s evaluation activities. They are analyzed for patterns that suggest how things are working. Data can be **quantitative**, or based on numbers and statistics, such as the percentage of workers who say on a survey that they have used hearing protection in the previous year. Quantitative data answer questions of “what,” “how many,” or “who.”

Data can also be **qualitative**, or based on verbal descriptions, such as partner comments during interviews that demonstrate a commitment to a shared vision and goals. Qualitative data answer questions of “how” and “why.”

A variety of methods can be used to collect different kinds of data, including:

- ❖ Observations of partnership meetings and partner interactions or changes in what’s happening on construction sites as they relate to the partnership’s work
- ❖ Surveys (written, online, or phone)
- ❖ Interviews (in person or over the phone)
- ❖ Focus groups

You can also use data that have already been collected by other people or organizations, or for other reasons, such as:

- ❖ Meeting minutes (e.g., records of attendance, participation, decisions made)
- ❖ Government data (e.g., changes in illness or injury rates over time)

[Adapted from: CDC Heart Disease and Stroke Prevention. (2008). *Evaluation Guide: Fundamentals of Evaluating Partnerships*, [http://www.cdc.gov/dhdsp/programs/nhdsp\\_program/evaluation\\_guides/docs/partnership\\_guide.pdf](http://www.cdc.gov/dhdsp/programs/nhdsp_program/evaluation_guides/docs/partnership_guide.pdf).]

The following table provides information to help your partnership think about the options available to collect data for your evaluation.



<b>Data Collection Source</b>	Who/what are you collecting data from?
<b>Data Collection Methods</b>	Will you use quantitative or qualitative data methods, or a combination? ❖ Qualitative methods such as in-depth interviews or focus groups are used to obtain more detailed descriptions of examples, feelings, opinions, etc. ❖ Quantitative methods such as analyzing government data or conducting surveys are used to obtain statistics, numbers, percentages, etc.
<b>Data Collection Procedures</b>	What process will you use to collect data? How systematic or consistent can you make the process (e.g., collecting data from all participants in the same time period; using standard evaluation tools; using the same interviewers)
<b>Data Analysis</b>	Who will analyze the data and how? How much time will you have to analyze data?
<b>Data Use</b>	How will the data be used? With whom will it be shared? Who “owns” the data and decides how it may be used or shared? The whole partnership? A subset of partners? The evaluator?
<b>Data Presentation</b>	Will data be presented in a report and/or presentation? How much time will the partners have to review the information? How will this review be done? Are all partners comfortable with or prepared to look at data or will it need to be presented in a format readily understandable for everyone?

### Developing an Evaluation Plan

After you have considered the various components of your evaluation, it is important to compile the information and include it as part of the partnership’s overall plan (see **Sections 3.4: Action Plan to Meet Goals & Objectives and 3.5: Create a Partnership Agreement**). An evaluation plan should cover:

Writing an Evaluation Plan	
<b>What are you evaluating?</b> (e.g., your partnership process, effectiveness of a solution, effectiveness of a dissemination effort)	
<b>What information or data will be collected and reviewed?</b> (e.g., meeting minutes, reports, survey results, research findings)	
<b>Whose views will be gathered?</b> (e.g., individual partners, individuals who worked with the partnership, those that should be benefiting from the partnership’s work)	
<b>How will those views be gathered?</b> (e.g., focus group meetings, personal interviews, written questionnaires, a combination of methods)	
<b>How will the information be assessed and reported?</b>	
<b>What opportunities will the partners have to comment on the findings, conclusions, and recommendations before they are finalized?</b>	
<b>When will each of the evaluation activities be completed and how will the final results be presented and used?</b>	

[Adapted from: The Collaboration Roundtable. (2001). *The Partnership Toolkit: Tools for Building and Sustaining Partnership*.]

### Reminders and Additional Tips for a Successful Evaluation:

- ❖ Evaluation is an ongoing process in the improvement of your partnership’s work.
- ❖ Establish an evaluation plan during your r2p partnership planning.
- ❖ Start small, be creative and flexible.
- ❖ Engage partners and staff in the evaluation planning and implementation process.
- ❖ Allow time and allocate resources (budget and cost considerations) for evaluation.
- ❖ Match evaluation methods to evaluation questions.
- ❖ Use and adapt existing tools.
- ❖ Report results clearly and often.
- ❖ Be sensitive to partners’ time and needs.

[Adapted from: CDC Heart Disease and Stroke Prevention. (2008). *Evaluation Guide: Fundamentals of Evaluating Partnerships*, [http://www.cdc.gov/dhdsp/programs/nhdsp\\_program/evaluation\\_guides/docs/partnership\\_guide.pdf](http://www.cdc.gov/dhdsp/programs/nhdsp_program/evaluation_guides/docs/partnership_guide.pdf).]

### Additional Resources

For more evaluation tools, visit the following resource:

- ➔ **The American Evaluation Association e-library -**  
<http://comm.eval.org/communities/resources/libraryview/?LibraryKey=1eff4fd7-afa0-42e1-b275-f65881b7489b>

## 6.2 CONDUCT YOUR PARTNERSHIP EVALUATION

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Conducting some form of partnership evaluation is an important way to identify problems and maintain healthy collaborative relationships. Evaluation results can be used to celebrate your partnership's successes and can provide regular opportunities to identify and address challenges before it is too late.

Setting a specific schedule for when the partnership will step back and consider where it has been and where it is going can be helpful. Consider conducting evaluations at regular intervals, such as annually or at the beginning, middle, and end of a partnership stage.

### Fundamental Partnership Evaluation Questions:

1. Rationale – why did we decide to work as partners?
2. Impact – what has happened as a result of our work together as partners?
3. Goals – did we achieve what we expected to achieve or are we making progress toward achieving our goals?
4. Facilitators – what factors have helped us collaborate or progress in our work together?
5. Barriers – what challenges have we experienced in our partnership and with implementing solutions?
6. Value – is the outcome so far worth the expenditure of effort and other resources?
7. Alternatives – are there better ways of working together?
8. Next Steps – how will we use the evaluation findings?

The following tools provide questions your partnership can draw from and adapt as you develop the actual instruments to use in your evaluation. **Tool 6-C: Meeting Effectiveness Survey** focuses specifically on the effectiveness of the partnership meetings, and both **Tools 6-D: Partnership Assessment Questionnaire** and **6-E: Partnership Annual General Satisfaction Survey** can help your partnership identify areas of collaboration that could be strengthened.

**TOOL 6-C: MEETING EFFECTIVENESS SURVEY**

It is important to assess partnership meetings when conducting an evaluation since partner perceptions of the extent to which meetings are worthwhile, well-run, and organized will affect whether they continue to participate. The following tool can be used to quickly gather feedback on partnership meetings. This can be built into regular partnership evaluation efforts (similar questions are included in **Tools 6-D** and **6-E**) or conducted as a stand-alone activity.

Instructions:

1. The partners, your partnership evaluator, or the evaluation committee should identify the questions to include by selecting from among the listed questions, developing new questions of their own, or doing a combination of both.
2. Print out the survey and distribute it at a partnership meeting or create an online survey and distribute electronically (online tools such as Survey Monkey ([www.surveymonkey.com](http://www.surveymonkey.com)) or Qualtrics (<http://www.qualtrics.com>) can be useful resources in developing online surveys).
3. Ask each partner to complete the survey by a given date. Making it anonymous may make partners feel they can respond more freely.
4. Be sure to compile and share the results with the entire partnership. Involve the facilitator to help think about the best ways to present the information to the larger group and to brainstorm ideas for how to address any problems that may surface.
5. Conduct this evaluation periodically to track progress and to make sure the meetings are effective.

Meeting Effectiveness Survey				
	Strongly Disagree	Disagree	Agree	Strongly Agree
The goals of the meeting were clear to me.				
My level of participation was comfortable for me.				
Most attendees participated in meeting discussion.				
The facilitator during the meeting provided clear direction.				
Meeting participants worked well together.				
Discussion at the meeting was productive.				
The meeting was well organized.				
The meeting was a productive use of my time.				
The presentations enhanced my ability to participate in the meeting.				
Decisions were made by only a few people.				
Decisions were made in accordance with the established rules.				
The meeting objectives were met.				

[Adapted from: CDC Heart Disease and Stroke Prevention. (2008). *Evaluation Guide: Fundamentals of Evaluating Partnerships*, [http://www.cdc.gov/dhdsp/programs/nhdsp\\_program/evaluation\\_guides/docs/partnership\\_guide.pdf](http://www.cdc.gov/dhdsp/programs/nhdsp_program/evaluation_guides/docs/partnership_guide.pdf).]

**TOOL 6-D: PARTNERSHIP ASSESSMENT QUESTIONNAIRE**Instructions:

1. Make a copy of the following questionnaire for each partner.
2. Have each partner respond individually to the questions.
3. In advance of this activity or once it has been completed, create a tally sheet numbered 1-40 on a flipchart or whiteboard. *Note: Do not let the group see this tally sheet until the questionnaires have been completed and turned in.*
4. Collect the completed questionnaires and tally the responses. The questions are divided into nine topic areas that reflect items covered in other sections of this toolkit. You can tally the responses then list the total number of “Yes” and “No” responses on the chart, or put an X by the number for each “NO” response. The point is for the partners to see how they collectively responded.  
*Note: This can be done in front of all the partners or it can be done outside of a meeting if you believe that it is important to try to keep individual responses confidential.*
5. After you have tallied the results, let the partners know which questions apply to which key partnership areas (see bolded titles below).
  - ❖ Questions 1–4 pertain to partner **involvement**.  
(See **Section 1: Identify and Involve Key Stakeholders**)
  - ❖ Questions 5–9 pertain to **trust** within the partnership.  
(See **Section 4: Actively Invest in Group Dynamics**)
  - ❖ Questions 10–12 address **shared vision**.  
(See **Section 3: Develop a Shared Vision, Mission, and Goals**)
  - ❖ Questions 13–15 consider the **expertise** within the partnership.  
(See **Section 3: Develop a Shared Vision, Mission, and Goals**)
  - ❖ Questions 16–20 address issues of **teamwork**, as defined by joint decision-making, joint responsibility, and sharing power.  
(See **Section 4: Actively Invest in Group Dynamics**)
  - ❖ Questions 21–23 look at open **communication** among the partners.  
(See **Section 4: Actively Invest in Group Dynamics**)
  - ❖ Questions 24–27 address **motivating** the partnership to keep it energized.  
(See **Section 4: Actively Invest in Group Dynamics**)
  - ❖ Questions 28 and 29 consider availability of **resources** to do the work of the partnership.  
(See **Section 1: Identify and Involve Key Stakeholders**)
  - ❖ Questions 30–33 pertain to whether the partnership has designed a **plan** of action to guide their work.  
(See **Section 5: Implementing and Disseminating Solutions**)
  - ❖ Questions 36-40 ask about the **next phase** for the partnership  
(See **Section 7 – Allow Your Partnership to Evolve**)

If the “NO” responses are clustered in one of these areas, this indicates that your partnership needs to work on that particular area. If the “NO” answers are scattered throughout the nine areas, further discussion with the partnership will be needed to identify particular issues. Areas that appear to be relatively strong, with few “NO” answers should also be acknowledged, but do not require further discussion at this time.

As you review the results with your partnership, remind the partners that identifying and working together to tackle issues can make the partnership stronger. Identifying problem areas is not necessarily a bad sign, and partners are more likely to stick with the partnership if it is clear that there is a commitment to facing and addressing them.

**Partnership Assessment Questionnaire**

(Circle “Yes” or “No” for each question – do not skip any)

- |     |    |   |
|-----|----|---|
| Yes | No | 1. Is there a strong core of committed partners?  |
| Yes | No | 2. Are all partners affected by the problem/issue they have set out to address?   |
| Yes | No | 3. Is the team open to reaching out to include new people?  |
| Yes | No | 4. Are there opportunities for meaningful involvement from all interested partners?   |
| Yes | No | 5. Have partnership norms been developed?   |
| Yes | No | 6. Do partners demonstrate a willingness to share resources?  |
| Yes | No | 7. Is time provided for partners to get to know each other?   |
| Yes | No | 8. Have organizational and/or interpersonal relationships deepened as a result of the partners working together?  |
| Yes | No | 9. Do you trust other partners to move beyond personal agendas?   |
| Yes | No | 10. Are all partners clear about the purpose of the partnership?  |
| Yes | No | 11. When new partners have joined or others have been brought in to work with the partnership, is it easy to explain to them what the partnership is about?               |
| Yes | No | 12. Are all partners in agreement on the purpose of the partnership?  |
| Yes | No | 13. Do you know what skills other partners have?  |
| Yes | No | 14. Do you know what skills/expertise the partnership needs to achieve its goals?   |
| Yes | No | 15. If you have a task that requires expertise unavailable within the partnership, do you know where to access that expertise so implementation of the plan can continue? |
| Yes | No | 16. Are meetings well run and organized?  |
| Yes | No | 17. Do partners volunteer freely to work on projects?   |
| Yes | No | 18. Do partners share responsibility for completing tasks?  |
| Yes | No | 19. Do leadership responsibilities shift with a shift in tasks?   |
| Yes | No | 20. Do all partners feel free to speak at meetings?   |
| Yes | No | 21. Are decisions and information communicated to all partners in a planned and organized fashion?  |
| Yes | No | 22. Is there a regular time to provide feedback on the partnership’s efforts to the project?  |
| Yes | No | 23. Do you feel that your opinions are heard and respected?   |
| Yes | No | 24. Is it satisfying working with this partnership?   |
| Yes | No | 25. Is the partnership making steady progress in working toward the goal?   |
| Yes | No | 26. If the partnership is open to including new partners as time goes on, do those appropriate people want to join and stay with the project?                             |
| Yes | No | 27. Do other stakeholders, such as researchers or manufacturers want to work with the partnership in support of their goals?  |
| Yes | No | 28. Are there enough people involved in the partnership to do the work needed in a realistic timeframe?   |
| Yes | No | 29. Do you have the financial resources to do what the partnership wants to accomplish?   |

- |     |    |   |
|-----|----|---|
| Yes | No | 30. Is it clear what strategies your partnership is using to achieve its goals?   |
| Yes | No | 31. Are partners clear about what is expected of them?  |
| Yes | No | 32. Do partners follow through on what they say they will do?   |
| Yes | No | 33. Do the partners seem to stay on track in addressing issues?   |
| Yes | No | 34. Does the partnership seem to be at a transition point?  |
| Yes | No | 35. Are there issues partners can work together on that had not previously been planned?  |
| Yes | No | 36. Has the partnership gained recognition and influence within the industry?   |
| Yes | No | 37. Is the partnership in a position to move on to address issues that were previously considered out of reach?                                   |
| Yes | No | 38. Once you accomplish your goal, is there any continued need for the partnership?   |
| Yes | No | 39. Is the partnership sustainable long-term? (Does it have funding, resources, and a high level of commitment from all partners moving forward?) |
| Yes | No | 40. If there is more to be done, does the partnership need to bring in new partners for a specific project or to accomplish its overall goals?    |

**TOOL 6-E: PARTNERSHIP ANNUAL GENERAL SATISFACTION SURVEY**

Partners' general satisfaction with the partnership can be assessed by asking some or all of the following questions, as well as any that are particularly relevant to issues your partnership is facing. You may also want to add space for comments after each question or group of questions for partners to explain their answers or provide additional input.

**Instructions:**

1. The partners, your partnership evaluator, or the evaluation committee should identify the questions to include by selecting from among the listed questions, developing new questions of their own, or doing a combination of both. If you have developed a partnership agreement (see **Section 3: Develop a Shared Vision, Mission, and Goals**), you may want to include specific questions about how well different parts of the agreement are holding up.
2. Print out the survey and distribute it at a partnership meeting or create an online survey and distribute electronically (online tools such as Survey Monkey ([www.surveymonkey.com](http://www.surveymonkey.com)) or Qualtrics (<http://www.qualtrics.com>) can be useful resources in developing online surveys).
3. Ask each partner to complete the survey by a given date. Making it anonymous may make partners feel they can respond more freely, however collecting some relevant information can also be useful for identifying whether certain groups are experiencing challenges more than others (e.g., partner institutions or affiliations – labor, management, community).
4. Be sure to compile and share the results with the entire partnership. Involve the facilitator to help think about the best ways to present the information to the larger group and to brainstorm ideas for how to address any problems that may surface.
5. Conduct this evaluation periodically to track your progress. This can be done at regular intervals, such as annually or at key stages in the partnership (See **Section 7: Allow Your Partnership to Evolve**).



	Strongly Disagree	Disagree	Agree	Strongly Agree
<b>General Satisfaction</b>				
1. I am generally satisfied with the activities and progress of the partnership during the past ( <i>fill in time period</i> ).				
2. I have a sense of ownership in what the partnership does and accomplishes.				
3. I am satisfied with the types of projects that the partnership has undertaken.				
4. I am satisfied with the priorities that the partnership has set and the strategies used.				
5. I frequently think of having my organization sever its affiliation with the partnership.				
6. I have adequate knowledge of the partnership resources, and how resources are allocated.				
7. Thus far, the partnership has distributed available resources in a fair and equitable manner.				
8. I would like to have more input regarding the allocation of partnership resources.				
9. The partnership has been effective in achieving its goals.				
10. The partnership can have a positive effect in the construction industry.				
11. Participation in the partnership has increased my knowledge and understanding of the other organizations represented.				
<b>Impact</b>				
12. I have increased my knowledge of construction safety and health issues during the past ( <i>fill in time period</i> ).				
13. Participation in the partnership has increased my organization's capacity to participate in construction safety and health research.				
14. My organization uses knowledge generated by the partnership.				
15. I believe that other non-partner organizations know about the partnership and its initiatives.				
16. I believe that other non-partner organizations use knowledge generated by the partnership.				

17.	The partnership has been effective in informing regulators about the partnership and its initiatives.				
18.	It is important that regulators are informed about the partnership and its initiatives.				
<b>Trust</b>					
19.	Relationships go beyond the individual partners at the table to include partner organizations.				
20.	I am comfortable requesting assistance from other partners when I feel that their input can be of value.				
21.	I can talk openly and honestly in partnership meetings.				
22.	I am comfortable expressing my point of view at partnership meetings.				
23.	I am comfortable bringing up new ideas at partnership meetings.				
24.	Partners respect each other's points of view even if they might disagree.				
25.	My opinion is listened to and considered by other partners.				
26.	Over the past ( <i>fill in time period</i> ), my willingness to speak and express my opinions at partnership meetings has increased.				
27.	Over the past ( <i>fill in time period</i> ), the amount of trust between partners has increased.				
28.	Over the past ( <i>fill in time period</i> ), partners' capacity to work well together has increased.				
<b>Partnership Decisions</b>					
29.	I am satisfied with the way in which the partnership makes decisions.				
30.	All partners have a voice in decisions made by the partnership.				
31.	It often takes the partnership too long to reach a decision.				
32.	Decisions about partnership resources are made in a fair manner.				
33.	Partners work well together to solve problems.				
<b>Organization and Structure of Meetings</b>					
34.	I find partnership meetings useful.				
35.	Partnership meetings are well organized.				

36. We discuss important issues at partnership meetings.				
37. I wish we spent more time at meetings hearing about and discussing specific partnership efforts.				
38. Partnership meetings are held too frequently.				
39. We do not accomplish very much at partnership meetings.				
40. I believe that we adequately address all of the agenda items at partnership meetings.				
41. When I want to place something on the meeting agenda, I am comfortable with the process.				
42. I would like more voice in determining agenda items for the partnership meetings.				
43. When the decisions are made, appropriate follow-up action is taken by the partners assigned.				
44. Certain individuals' opinions get weighed more than they should.				
45. One person or group dominates the partnership meetings.				
46. Meetings are held in locations that are convenient to all partners.				
47. Partners who must call into meetings by phone (or through the use of other technology) are able to fully and actively participate.				
<b>Equitable Participation</b>				
48. Partners share tasks and responsibilities equally.				
49. All partners are committed to carrying out their tasks and responsibilities.				
50. All partners put in the time necessary to complete tasks and progress on the project.				

[Adapted from: Israel, B., Eng, E., Schulz, A., Parker, E. (2012). Methods in Community Based Participatory Research for Health. *Closed-Ended Survey Questionnaire for Board of Evaluation, 1997-2002.*]

### Additional Resources

For more information on evaluation techniques, visit the following resource:

- **PARTNER (Program to Analyze, Record, and Track Networks to Enhance Relationships)**- This program was designed to evaluate partnerships using a social network analysis approach. The PARTNER Tool is a free open source tool supported by funding from Robert Wood Johnson Foundation - <http://www.partnertool.net/>.

## 6.3 CONDUCT YOUR R2P EVALUATION

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It is important to evaluate your r2p efforts to gauge how effective you have been in increasing awareness and use of the research-based solutions identified by your partnership as priorities. Are your dissemination efforts working? Has there been any measureable change in the industry to reflect this? Have new research gaps or needs for new solutions been identified?

As mentioned in **Section 6.1**, it can be helpful to think of an r2p evaluation as having two elements: *process* and *outcome*.

### Process Evaluation

Process evaluation looks at the way in which your partnership's r2p activities are conducted and implemented. The process evaluation can help your partnership stay focused, track its progress, and make any adjustments that are necessary. It can provide insight into factors that positively or negatively impacted your r2p efforts. Frequently, this is the best opportunity for a partnership to determine whether or not they have disseminated information into the hands of the intended audience.

Potential Questions Answered by a Process Evaluation:

- ❖ Was each activity to promote a solution completed as planned?
- ❖ Was enough information provided to contractors and workers to allow them to a) make an informed decision about using the solution, and/or b) begin using the solution?
- ❖ Did the information on the solution reach the target audiences? How many workers and/or contractors received information?
- ❖ How was the information shared? How many program announcements/materials were distributed?
- ❖ What were workers' and contractors' perceptions of the solution(s)?
- ❖ What were the strengths of the way the solution was promoted?
- ❖ What were the difficulties, barriers, or challenges to promoting the solution?
- ❖ Were the resources needed to promote the solution available?

[Adapted from: The Pennsylvania Workforce Investment Board. (2009). *The Strategic Industry Partnership Toolkit: A Toolkit for Effective Partnership Management.*]

Refer back to your evaluation plan (see **Developing an Evaluation Plan at the beginning of this section**) and add any process evaluation questions that are not already reflected.

### Outcome Evaluation

Outcome evaluation looks at the end results or the effects of the partnership's efforts to increase use of a safer work practice or piece of equipment. It provides a concrete measure of change.

It may not be possible to capture the ultimate end outcomes you are trying to affect, such as improvements in long-term safety and health. However, there are usually **intermediary outcomes** or indications that change is headed in the right direction, and these are important measures of success to identify for your partnership's goals and objectives (see **Section 3: Develop a Shared Vision, Mission, and Goals**).

The design and implementation of a strong outcome evaluation can be complex and may require specific technical skills. You may want to use the resources at the end of this section, or seek consultation from a professional evaluator, or university-based researcher, if having scientific evidence demonstrating results is important to your partnership's work.

The following are r2p evaluation dimensions your partnership may want to include in your outcome evaluation efforts:

- ❖ **Effectiveness:** The extent to which a solution reduced or eliminated the hazard
- ❖ **Impact:** The totality of the effects of a solution, positive and negative, intended and unintended
- ❖ **Relevance:** The extent to which a solution met contractors' and workers' needs
- ❖ **Sustainability:** The continuation or longevity of benefits from a solution
- ❖ **Efficiency:** The extent to which the cost of a solution can be justified by its results (Use CPWR's ROI Calculator ([www.safecalc.org](http://www.safecalc.org)) to calculate the return on investment from using a solution.)

[Adapted from: Molund .S, Schill G. (2004). *Looking Back and Moving Forward: Sida Evaluation Manual*. Stockholm: Sida, <http://www.alnap.org/resource/7902>.]

Potential Questions Answered by an Outcome Evaluation:

- ❖ Was there increased use of the solution by members of the target audience?
- ❖ Was there a change in awareness, knowledge, attitudes, skills, or behaviors among stakeholders?
- ❖ Did increased use of the solution reduce injuries or illnesses? How?
- ❖ Did contractors or workers report any significant problems (decrease in productivity? resistance to use? difficulty finding the solution?)

[Adapted from: The Pennsylvania Workforce Investment Board. (2009). *The Strategic Industry Partnership Toolkit: A Toolkit for Effective Partnership Management*.]

The following tool will help you keep track of your goals, objectives, the data collected, and how it will be used in the evaluation.

### TOOL 6-F: GOALS & OBJECTIVES METRICS CHART

#### Instructions:

1. Write a partnership goal at the top of the table. Use a separate table for each of your goals.
2. As a partnership or with your evaluation team, list all of the SMART objectives (see **Section 3.3: Develop Partnership Goals and Objectives**) associated with the goal in the first row. An example has been included in the table below.
3. Fill in each section for all objectives, taking into consideration the following:
  - a. Which methods and tools are best suited to capture change for the objective?
  - b. Is there an appropriate mix of qualitative and quantitative data gathering tools? (Qualitative data answer “why” and “how” questions, while quantitative data answer “what,” “how many,” and “who” questions.)
  - c. Do we have the resources, time, and expertise to collect and analyze the data using these tools?

Goals & Objectives Metrics Chart		
<b>Goal 1:</b> <i>(Example) Increase fall protection planning among residential contractors</i>		
<b>Objectives</b>	<b>Objective 1:</b> <i>In the next two years, increase reported awareness of need to plan for fall protection among area contractors by 35%.</i>	<b>Objective 2:</b>
<b>Measures</b>	<i>Percent change in contractors surveyed reporting awareness of need for fall protection planning</i>	
<b>Data Sources</b>	<i>50 area residential roofing contractors</i>	
<b>Data Collection</b>	<i>Closed-ended, in-person surveys of 50 residential contractors conducted at baseline and follow-up after two years.  Administered by evaluation committee &amp; student workers from local college.</i>	
<b>Time Frame</b>	<i>July 2013 – July 2015</i>	
<b>Data Analysis</b>	<i>Partner A will conduct data analysis using excel spreadsheet.</i>	
<b>Communication of Results</b>	<i>Results will be shared with partnership and discussed. Results will also be written up in a summary report. Presentations will be made to residential contractors, at union and worker center meetings, and to OSHA staff.</i>	
<b>Person(s) Responsible</b>	<i>Partner A will lead survey efforts</i>	

[Parts adapted from: *The Collaborative Practices and Partnership Toolkit* - Copyright © 2013 Crown in Right of the Province of Alberta, as represented by the Minister of Education.]

### RE-AIM Framework for Understanding r2p Impact

The RE-AIM Framework uses a combination of factors to evaluate the r2p impact of a dissemination effort. RE-AIM stands for:

**R – Reach:** Is information on the solution reaching the target audiences – workers and/or contractors?

**E – Effectiveness:** How do you know if the solution is achieving the desired objectives (e.g., reducing or eliminating a hazard and improving safety and health)?

**A – Adoption:** How do you develop support from partnership constituents to deliver information on a solution? What percent of companies are now aware of your solution?

**I – Implementation:** How do you ensure the solution is being used properly? Are there barriers to use?

**M – Maintenance:** How does your partnership plan to continue promoting adoption of the solution over time?

The following is a planning tool using the RE-AIM Framework which can help your partnership come up with evaluation questions focused on both the process and the impact of your dissemination effort.

#### TOOL 6-G: RE-AIM PLANNING TOOL

##### PLANNING CHECKLIST Questions to Improve REACH

1. Do you hope to reach all members of your target population? If yes, provide a number or estimate for your target population. If no (due to large size of the target population or budget constraints), provide the proportion of the target population that you want to reach ideally, given constraints.

2. What is the breakdown of the demographics of your target population in terms of race/ethnicity, gender, age, and socioeconomic status?

3. How confident are you that your program will successfully attract all members of your target population regardless of age, race/ethnicity, gender, socioeconomic status, and other important characteristics, such as health literacy?

1 2 3 4 5 6 7 8 9 10

(where 1 = not at all confident, 5 = somewhat confident, and 10 = completely confident)

4. What are the barriers you foresee that will limit your ability to successfully reach your intended target population?

5. How do you hope to overcome these barriers?

6. Rate how confident you are that you can overcome these barriers.

1 2 3 4 5 6 7 8 9 10

(where 1 = not at all confident, 5 = somewhat confident, and 10 = completely confident)

[Virginia Tech. *What is RE-AIM?*, [http://www.re-aim.org/resources\\_and\\_tools/measures/planningtool.pdf](http://www.re-aim.org/resources_and_tools/measures/planningtool.pdf).]

#### Additional Resources

For more information on conducting an evaluation, visit the following resources:

➔ **Evaluation Toolkit by the Pell Institute** - <http://toolkit.pellinstitute.org>

➔ **CDC Evaluation Guides** -

[http://www.cdc.gov/dhbsp/programs/nhdsp\\_program/evaluation\\_guides/index.htm](http://www.cdc.gov/dhbsp/programs/nhdsp_program/evaluation_guides/index.htm)

- ➔ **Planning a Program Evaluation from the University of Wisconsin Cooperative Extension -**  
<http://learningstore.uwex.edu/assets/pdfs/G3658-1.PDF>
- ➔ **The Community Toolbox – Chapter 36 – Evaluation -**  
[http://ctb.ku.edu/en/tablecontents/chapter\\_1036.aspx](http://ctb.ku.edu/en/tablecontents/chapter_1036.aspx)



## 7- ALLOW YOUR PARTNERSHIP TO EVOLVE

Partnerships are not static. As they grow and develop, partnerships evolve and typically go through stages of “forming, storming, norming, and performing,” (see **Section 4: Actively Invest in Group Dynamics**).

In the longer term, some partnerships become institutionalized with partners making an ongoing commitment to continue and expand their work, while others eventually come to a close. A partnership focused on a single hazard may end once a solution has been found and broadly implemented, or it may move on to tackle a new issue. A partnership focused on improving overall safety and health in an industry segment may go on indefinitely.

The lifecycle of a partnership is driven by its vision, mission, goals, and objectives (see **Section 3: Develop a Shared Vision, Mission, and Goals**), and influenced by the experiences and adjustments it makes to the initial plan or group norms along the way.

This section focuses on concepts and tools to help partners reflect on where their partnership is in its evolution, changes that may need to be made, and next steps.

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## 7.1 PLAN FOR SUSTAINABILITY

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Partnerships evolve over time as important industry issues arise and players change. As your partnership moves from a new partnership to an established one, it is important to periodically revisit your partnership's vision, mission, goals, and processes, and confirm or reset your course. Planning for sustainability is an important step for partnerships to take, and it is best to start early, before funding runs out or the partnership's current r2p effort ends.

The following case study showcases the SafeBuild Alliance, a partnership that adapted its goals, scope, and activities over the last 20 years as it grew and evolved, shifting from a single-owner mandated safety effort to a self-organized non-profit organization focused on using a regional approach to improving construction safety culture with over 100 members.

### Case Study: SafeBuild Alliance

Construction is one of the largest job markets in the Portland, Oregon area. In the 1990s, Intel was the state's largest private employer and the source of a significant amount of ongoing construction. As a world-class leader in the high-tech industry and primary user of construction services in the area, Intel strove to lead in the area of safety and health in construction and create injury-free work environments. They also recognized they were in a position to advance worksite safety culture on a large scale.

They began with a goal to shift the paradigm from "construction is inherently dangerous," to "all injuries are preventable." They started insisting that any contractors and subcontractors who wanted to work with Intel had to get on board with the new safety culture and way of thinking. Intel took steps to ensure that safer equipment and work practices were used and instituted safety and training standards that every contractor and worker had to comply with in order to access one of their jobsites. Over time, the approach to changing safety culture became less Intel-driven, but the language and the cultural shift Intel had initiated had already taken hold. A committed group of contractors, subcontractors, labor representatives, and other stakeholders decided to continue the momentum and effort started by Intel and created the Portland Injury-Free Consortium in 2002. The group became a nonprofit called the Greater Portland Construction Partnership in 2006, and then the SafeBuild Alliance in 2013. The partnership's mission was to take a regional approach to transform workplace cultures to achieve incident-free construction projects. SafeBuild has provided regular forums for safety and health professionals and those in the construction industry interested in safety culture to network. They have also provided education and informational resources on best practices in safety and health, and a safety-oriented Prequalification Assessment Certification Program for general contractors and subcontractors. Its latest initiative is a new mentor-mentee partnership program that gives contractors the opportunity to learn about and improve safety on the jobsite from others who have exceptional records of their own.

This non-profit partnership, which began with a volunteer board with six members and a small number

of organizations who joined as partners, now supports an Executive Director, has an expanded board with 15 members, and over 100 partner organizations and individual members of the larger partnership.

Throughout its history, the SafeBuild Alliance maintained its mission of zero incidents through collaboration. Today, the non-profit's membership represents a range of players in the construction industry including general contractors, subcontractors, owners, public and private entities, design professionals, architects, engineers, construction affiliated organizations and companies, building and construction trade associations, industry vendors, and insurers.

Today's SafeBuild Alliance continues to evolve and look forward as it grows its membership, efforts, and reach to promote safety culture in construction.

When considering sustainability, it may be helpful to revisit and discuss findings from your partnership evaluation to come up with a shared understanding of what sustainability means for your partnership and to begin planning for the longer term.

### **TOOL 7-A: WHAT DOES SUSTAINABILITY MEAN TO YOUR PARTNERSHIP?**

It is important for partners to come to a common understanding of what sustainability means for their partnership and what criteria will be used to decide if the partnership or its components can or should be sustained.

#### Instructions:

1. Discuss these questions about sustainability in small groups, or with the partnership as a whole:
  - ❖ Has the partnership gained recognition and influence within the industry for its work to advance safety and health?
  - ❖ Once your partnership accomplishes its goal(s), is there a continued need for the partnership?
  - ❖ Are there outstanding issues that the partnership still needs to work on or new ones that had not been previously identified?
  - ❖ Is the partnership in a position to move on to address new issues that may have previously been considered out of reach?
  - ❖ What does the partnership need to continue its work in the long-term (e.g., funding, resources, a high level of commitment from the partners, etc.)?
  - ❖ Is there a need to bring in new partners?
  
2. Ask each small group to briefly report back on highlights of the discussion.

[Adapted from: Examining Community-Institutional Partnerships for Prevention Research Group. (2006). *Developing and Sustaining Community-Based Participatory Research Partnerships: A Skill-Building Curriculum*. [www.cbprcurriculum.info](http://www.cbprcurriculum.info).]

The following case study describes a partnership that started as a pilot project CPWR would learn from and evolved into an ongoing research to practice focused partnership.

### **Case Study: Planning for Sustainability with the Masonry r2p Partnership**

The Masonry r2p Partnership was originally established to help CPWR develop a model industry-wide partnership focused on research to practice and to understand how such a partnership could leverage the influence of its core partners over industry practices on a broad scale and be sustained. Unlike other safety and health partnerships that relied on individual champions to keep the partnership going, this new model focused on obtaining the organizational buy-in and commitment upfront from all participating organizations to ensure the partnership could be sustained when individual participants leave an organization. Since the Partnership's formation in 2010, CPWR's r2p staff has maintained a close working relationship with it and documented the transition from a pilot model partnership to an established and sustainable entity.

From 2010 – 2014, the CPWR r2p staff member responsible for developing the industry r2p partnership model played an integral role in shaping, supporting, and facilitating the Partnership, including:

1. Bringing together and obtaining a commitment from the leader of each organization to establish an industry r2p partnership and allow CPWR to learn from their efforts.
2. Providing guidance to the Partnership on how to identify priorities, select research to support, disseminate results, and track progress.
3. Engaging researchers and identifying others – temporary partners -- from government and manufacturing, for example, to support the Partnership's work.

By 2014, the Partnership was meeting regularly, had made progress on key priorities, was actively engaged in disseminating research findings, and was positioned to support new research initiatives. At this juncture, the question was whether the Partnership could sustain itself if the level of support from r2p staff was reduced. Discussions were held with the partner organizations leaders and they agreed to continue the Partnership and to appoint an internal facilitator. This internal facilitator would be responsible for continuing to build relationships with researchers and other safety and health professionals and keeping research and dissemination efforts moving forward. The internal facilitator selected possessed strong organizational skills and was well known and respected by the three partner organizations.

For the next five years (through 2019), the r2p staff followed the Partnership's work to understand what was needed to have a sustainable r2p focused industry partnership. The following were found to contribute to the Partnership's sustainability:

1. Having the partner organizations' commitment, rather than relying on individual champions from those organizations, contributes to a partnership's sustainability. Between 2010 and 2019, several individuals assigned to represent the partner organizations retired or left. These changes had little to no impact on the Partnership's efforts.

2. Appointing a facilitator or point-person that has an established and positive working relationship with all partner organizations and the authority to make decisions to keep work on priorities moving forward
3. Engaging in regular communication on the Partnership's priorities with researchers and to stakeholders to set expectations and maintain focus and momentum. (See Case Study p. 22).
4. Becoming a self-sustaining partnership does not require severing ties with or no longer receiving support from other organizations. While in the beginning CPWR was devoting time and resources to the Partnership's development, the Partnership is now supporting CPWR and NIOSH research projects on existing and emerging hazards (e.g., exoskeletons, and nanomaterials), providing access to target audiences for research, dissemination and evaluation, and initiating the development of practical tools and translational products for use by a broad cross section of the construction industry (e.g., a COVID-19 Planning Tool).

The Masonry r2p Partnership is now a widely recognized and ongoing entity, which supports safety and health research and dissemination across the construction industry.

## 7.2 FOCUS ON A NEW ISSUE

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Once you have assessed your partnership and have a better idea of the partnership's current status and sustainability, you will be better able to consider "what's next?" Will the partnership continue its existing work? Will it take on new issues?

In considering next steps, it may be helpful for the partners to revisit what issues are important to its members and the constituencies represented. (See **Section 3.3 – Develop Partnership Goals and Objectives**).

The Asphalt Paving Partnership, as described in the following case study, is an example of a partnership that was formed to address one issue, but, as a result of its success, decided to take on new issues and continue to work as a partnership.

### Case Study: Asphalt Paving Partnership Spin-off Projects

As described in other sections of this toolkit, the Asphalt Paving Partnership was initially created to address workers' exposure to asphalt fumes. The result of their initial effort was the creation of a voluntary agreement that led to the universal adoption of effective engineering controls on highway-class pavers in the United States. This experience of working together laid a foundation for their continued collaboration in two main ways.

First, it proved that a cooperative approach could work and gave them an important success on which to build. The group's efforts garnered recognition including awards for partnership and innovation from the National Occupational Research Agenda and Harvard University's Kennedy School of Government.

Second, the partners developed an infrastructure for future work together, including: the establishment of cooperative, trusting relationships between the diverse partners, shared norms and principles for working together, and a collective identity as an open, innovative, and forward-looking group actively seeking to protect the safety and health of workers.

The partnership chose to build on its success by creating successive "spin-off" collaborations focused on other safety and health issues:

- ❖ *Warm-mix*: Promotion of a lower-temperature "warm-mix" asphalt that releases fewer asphalt fumes. This new form of asphalt also requires less energy to prepare, providing environmental and economic benefits as well.
- ❖ *Silica/Milling*: Testing and development of engineering controls to suppress silica dust on asphalt milling machines.
- ❖ *Work-zone safety*: The development of training and educational materials to improve roadway work-zone safety.
- ❖ *Dermal exposures*: Research to assess and characterize workers' dermal exposures to asphalt in the paving industry.

## 7.3 END YOUR PARTNERSHIP

Some partnerships continue indefinitely. Others reach a point where the partners determined that there is no longer the need for or commitment to sustain the partnership. Some partnerships decide to dissolve after they meet their goals and objectives, some conclude when funding for the partnership ends, and others when the partners are no longer effectively working together.

It is important to remember that while the formal partnership may be coming to an end, it is often the case that some or all of the partners may continue to work together in some capacity or work together in the future. Ending a partnership amicably often requires acknowledging the partnership's accomplishments and setting a foundation for working together in the future.

### Sustaining the Issue When the Partnership Ends

One important question partners will have when the partnership ends is: How will the issue that brought us together and the resulting solution be sustained and remain in use? Since the partners have invested time and energy into the partnership's efforts, there will likely be a strong interest in ensuring that attention to the issue does not end with the partnership. Before ending the partnership, it may be advantageous to take inventory of any partner organizations, outside organizations, or governmental agencies that are willing to continue to work on the issue.

#### TOOL 7-B: STEPS OF PARTNERSHIP DISSOLUTION

As the partnership's work winds down, use the remaining meetings to discuss and document the following for the final partnership meeting record:

Steps of Partnership Dissolution	
1	Identify the partnership's major accomplishments and acknowledge those people and organizations who contributed to these accomplishments
2	Determine how to inform people – both inside and outside the partnership – of the decision to dissolve
3	Document the partnership's history and the lessons which can be drawn from its operations (e.g., peer-reviewed papers, on your website, in the newspaper)
4	Recommend an appropriate alternative contact organization or resource for the issue
5	Select a time, place, and event to celebrate what has been accomplished and to move on

[Adapted from: The Collaboration Roundtable. (2001). *The Partnership Toolkit: Tools for Building and Sustaining Partnership*.]

# APPENDIX

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## APPENDIX 1: PARTNERSHIP CASE STUDIES

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- ❖ Asphalt Paving Partnership (See **Section 1.3: Involve Partners**, **Section 5.1: Identify Research-Based Solutions and Research Needs**, and **Section 7.2: Focus on a New Issue**)
  - Asphalt Paving Partnership Success Story (<http://www.cpwr.com/sites/default/files/research/AsphaltPavingPartnershipSuccessStory.pdf>)
  - CPWR Asphalt Paving Partnership Case Study Summary (<http://www.cpwr.com/sites/default/files/research/AsphaltCaseStudy.pdf>)
  
- ❖ Electrical Transmission & Distribution Partnership (See **Section 3.5: Create a Partnership Agreement** and **Section 5.2: Disseminate Research-Based Solutions**)
  
- ❖ Massachusetts Floor Finishing Task Force (See **Section 1.3: Involve Partners**, and **Section 4.6: Recognize and Address Conflict**)
  
- ❖ Masonry r2p Partnership (See **Section 1.4: Partnership Models**; **5.1: Identify Research-Based Solutions and Research Needs**; and **7.1: Plan for Sustainability**)
  
- ❖ Roofing r2p Partnership (See **Section 3.3: Develop Partnership Goals and Objectives**)
  
- ❖ SafeBuild Alliance (See **Section 7.1: Planning for Sustainability**)

## APPENDIX 2: DISSEMINATION PLANNING AND TRACKING TOOL

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### Dissemination Planning and Tracking Tool (Developed by the OSHA-NIOSH-CPWR r2p Working Group)

#### Step 1: Dissemination Overview

##### A. The solution(s) for dissemination

List the solution(s) that are the focus of your dissemination effort

##### B. Dissemination Goal

What is the health and safety outcome you are trying to achieve or move towards? For example: a reduction in injury or illness rates.

##### C. Key Message or Finding

What is the key message of this dissemination effort? In other words: What do people or organizations need to DO or KNOW that will help them work towards achieving the dissemination goal? State it simply.

##### D. Target Audience

Many different types of individuals or groups may benefit from or be instrumental **intermediaries** for disseminating a solution. Identify the target audiences for your dissemination effort. The following are types of audiences to consider. Check those that are the highest priority.

- |   |  |
|---|--|
| <input type="checkbox"/> Employers  | <input type="checkbox"/> State-based insurance providers   |
| <input type="checkbox"/> Workers (union)  | <input type="checkbox"/> Construction professionals associations (e.g., architects, engineers)                         |
| <input type="checkbox"/> Workers (non-union)  | <input type="checkbox"/> Safety and health professional associations   |
| <input type="checkbox"/> Trade associations   | <input type="checkbox"/> Consensus standard groups   |
| <input type="checkbox"/> Labor unions   | <input type="checkbox"/> Safety and health professionals (individually)  |
| <input type="checkbox"/> Joint labor-management apprenticeship programs                 | <input type="checkbox"/> Federal OSHA  |
| <input type="checkbox"/> Community colleges/other training providers                    | <input type="checkbox"/> State OSHA  |
| <input type="checkbox"/> Commercial training organizations                              | <input type="checkbox"/> Other federal government agencies - CPSC  |
| <input type="checkbox"/> National non-profit organizations                              | <input type="checkbox"/> Local government agencies (e.g., local building inspectors, licensing and permitting offices) |
| <input type="checkbox"/> Regional non-profit organizations                              | <input type="checkbox"/> Research foundations  |
| <input type="checkbox"/> Local non-profit organizations (community-based organizations) | <input type="checkbox"/> Other research institutions   |
| <input type="checkbox"/> Equipment manufacturers  | <input type="checkbox"/> Academic institutions/researchers in academia   |
| <input type="checkbox"/> Material suppliers   | <input type="checkbox"/> Trainers/Educators  |
| <input type="checkbox"/> Tool and equipment rental firms                                | <input type="checkbox"/> Policymakers  |
| <input type="checkbox"/> Owners (individually—public and private sectors)               | <input type="checkbox"/> Public interest groups  |
| <input type="checkbox"/> Insurance associations   |  |
| <input type="checkbox"/> Insurance companies  |  |

**Step 2: Key Audiences Detail** – For each of the key audiences identified in Step 1, complete the following.

**Audience #** \_\_\_\_\_

**A. Organizations of Interest**

*Thinking about the key audience, what specific organizations and/or contact people at those organizations are part of the audience group that you need to reach? Remember to think across all construction sectors or trades that might be affected.*

Organization Name & Contact Info	Contact Person	What Type of Change do You Hope to Achieve? [Awareness, Knowledge, Attitudes, Behavior (work methods/tools), Policy]
1.		
2.		
3.		
4.		
5.		

**B. Strategies & Methods**

*For each key audience, what strategies and methods do you think will be the most effective to reach the individuals and organizations? Examples of types of strategies and outputs are listed below. For each strategy/method you select, sketch an outline of your action plan in the table below. Complete this table for each method selected.*

Examples of Strategies

- Education/training
- Communication outreach/marketing
- Policy development
- Technology transfer
- Coalition-building

Examples of Outputs

- Press releases
- Educational materials
- Training materials
- Promotional/marketing materials
- Web postings/pages/links
- Mailings
- New media (blogs, YouTube, Podcast) and social media (Tweets, Facebook, Instagram) engagement

<b>Solution</b> List individually if the audience, strategy, outputs and timeline will be different.	<b>Target Audience (s)</b> <i>Who are you trying to reach?</i>	<b>Strategy</b> <i>How will you reach the target audience? (e.g., education, communication, etc.)</i>	<b>Output</b> <i>What will you produce or use to implement your strategy? (e.g. training program, articles, etc.)</i>	<b>Resources Required</b> <i>Who/what is necessary for you to implement the type of strategy &amp; output(s) you selected?</i>	<b>Timeline</b> <i>List MAJOR outputs as milestones with target dates</i>

### Step 3: Evaluation

Communication and behavior change theories can provide a useful framework for planning and evaluating dissemination efforts. Different theories are appropriate for different topics (key messages), types of efforts (societal level vs. individual level), and audiences. Your partnership may find it beneficial to consult with a social or behavioral scientist or a communication or r2p expert to help you think about applying theory to the planning and evaluation of your dissemination effort. At a minimum, the additional resources listed below can be a useful primer on theory and dissemination planning to get you started.

*Think back to the dissemination goal you articulated in Step 1A, the change objective you determined in Step 2A, and the outputs you listed in Step 2B. How will you measure the success at achieving your goal? Your change objectives? The completion and impacts of your outputs?*

Some measures could be:

A change in policy	Reach of your outputs
Documented adoption of a practice on a small or large scale	# orders for products or outputs
Creation of a voluntary or binding standard	# responses/conversations generated through new media use
Change in exposures	# requests for additional information, web hits, downloads
Change in injury/illness rates	

### Additional Resources

- **National Cancer Institute [2005]. Theory at a Glance A Guide for Health Promotion Practice (Second Edition).** DHHS, NIH, NCI - <http://www.sbccimplementationkits.org/demandrnmch/wp-content/uploads/2014/02/Theory-at-a-Glance-%E2%80%93-A-Guide-For-Health-Promotion-Practice.pdf>
- **National Cancer Institute. Making Health Communication Programs Work-** <http://www.cancer.gov/cancertopics/cancerlibrary/pinkbook/pink-book.pdf>

## APPENDIX 3: GLOSSARY

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### ACTIVE LISTENING:

- ❖ A method of communication where the listener attempts to attentively listen, understand the meaning of the message, and be mindful of the intent of the speaker. It often requires the listener to feed back what they hear to the speaker by re-stating or paraphrasing what they have heard in their own words to confirm the understanding of both parties.

### CHAMPION:

- ❖ Often a respected leader in their field, a partner or other stakeholder, who is firmly committed to the partnership and its goals. A champion uses his/her credibility and influence to convince colleagues to support the partnership and its efforts which helps to create buy-in and momentum for the work.

### CPWR:

- ❖ CPWR-The Center for Construction Research and Training. CPWR is an organization dedicated to reducing occupational injuries, illnesses, and fatalities in the construction industry. Through its research, training, and service programs, CPWR serves the industry in cooperation with key federal and construction industry partners nationwide.

### DISSEMINATION:

- ❖ The targeted distribution of information and intervention materials to a specific public health or clinical practice audience. The intent is to spread knowledge and the associated research-based interventions. (*Source: National Institutes of Health*)

### END USER:

- ❖ The people ultimately intended to use and benefit from a particular solution that is being disseminated, such as contractors or workers. A product may first pass through several intermediaries, such as manufacturers, suppliers, and distributors before reaching the end user.

### EVALUATION:

- ❖ The systematic assessment of the quality, value, success, or progress of a project, intervention, or dissemination effort. (See also *process evaluation* and *outcome evaluation*)

### EXTERNAL EVALUATION:

- ❖ Evaluation conducted by someone outside the partnership, often professional evaluators or researchers, to assess the quality, standards, performance, progress, and/or outcomes of the partnership and its efforts.

### FACILITATION:

- ❖ The art of helping a group, often of diverse people, identify common ground, build consensus, and come together to achieve their goals and objectives.

### FACILITATOR:

- ❖ An individual who enables groups and organizations to work more effectively together; to collaborate and achieve synergy. In the purest form, the facilitator is a completely neutral party who does not take part in decision-making. Facilitators ensure that all partners are engaged and

have a voice, build trust amongst partners, and allow the group to take the lead in decision-making and dictating partner responsibilities. Other models of facilitation include that of the *facilitative leader*. Facilitators are often individuals who come into the partnership already well-respected and trusted by other partners.

#### **FACILITATIVE LEADERSHIP:**

- ❖ A blended model of facilitation where the facilitator and leader roles are intertwined and the facilitator has expertise in both the content and facilitation skills as well as the added benefit of understanding dynamics between partner organizations. Facilitative leaders must be careful to balance their personal input and biases with those of the other partners to ensure that they do not overly influence decisions and the direction of the partnership.

#### **FACILITATIVE LEADER:**

- ❖ An individual who both leads the group and facilitates their discussions and processes. A good facilitative leader will bring expertise and knowledge of the issue and affected industry to the table, as well as the ability to withhold input and opinions as needed in order to assist the other partners in working together effectively.

#### **FORMING:**

- ❖ An early stage of partnership development in which partners are just trying to get to know each other and individual or organizational roles and responsibilities are not yet clear.

#### **FREEWHEELING:**

- ❖ A facilitation method where everyone is invited to contribute ideas spontaneously. One advantage of this method is that it encourages creativity as people build on each other's ideas; a disadvantage is that quiet partners may not speak up.

#### **GOALS:**

- ❖ The purpose or intentions toward which your endeavor is directed. They tend to be generic actions or outcomes that your partnership will strive to achieve, meaning they are general, not inherently measurable.

#### **GRADIENTS OF AGREEMENT:**

- ❖ A decision-making strategy that allows a group to gauge each individual's level of support or opposition. Partners vote using a scale with clearly defined points to indicate where they stand on a proposal.

#### **INTERNAL EVALUATION:**

- ❖ Evaluation conducted by the partnership or an individual or group within the partnership to assess the quality, standards, performance, progress, and/or outcomes of the partnership and its efforts.

#### **INTERVENTIONS:**

- ❖ Any strategies, products, or programs created and used to address a health and safety problem. Used interchangeably with *solutions*.

**LEADER:**

- ❖ The leader is a highly influential member of the partnership who helps to spearhead group efforts and guide decision-making using his/her knowledge and ability to provide direction.

**MISSION STATEMENT:**

- ❖ A statement that broadly and succinctly defines the partnership's purpose – the “who, what, how, and why” of the partnership. Mission statements are concise and outcome-oriented.

**NIOSH:**

- ❖ National Institute for Occupational Safety and Health. As part of the Center for Disease Control (CDC), NIOSH is responsible for conducting research and making recommendations for the prevention of work-related illnesses and injuries.

**NORMING:**

- ❖ A stage of group development in which partners are engaged and value each other's contributions, and the group has started to figure out how to work together. Partners are willing to change their preconceived ideas and are open to and interested in what each has to contribute in this stage; partnership morale is high and the group is able to function productively.

**OBJECTIVES:**

- ❖ Specific milestones, usually concrete, tangible, measurable, and short-term actions that support the attainment of a goal. Objectives should be SMART – Specific, Measurable, Attainable/Achievable, Relevant, and Timely.

**OSHA:**

- ❖ Occupational Safety and Health Administration. OSHA is the main federal agency charged with the enforcement of safety and health legislation.

**OUTCOME EVALUATION:**

- ❖ An assessment of the impact of a partnership's efforts on the intended audience.

**PARTNERSHIP AGREEMENT:**

- ❖ An agreement made by all partners that defines the purpose and vision of the partnership, along with the roles and responsibilities of everyone involved. It should include documentation of the partnership's vision, mission, partner roles, decision-making processes, or other important arrangements the partnership deems important to include.

**PARTNERSHIP EVALUATION:**

- ❖ An assessment of how well a partnership is functioning. This type of evaluation focuses on the processes of the partnership and the extent to which it is adhering with its own agreements and values.

**PERFORMING:**

- ❖ A stage of group development in which the partnership shows cohesion and interdependence, whether working independently, in subgroups, or as an entire partnership. Not all partnerships reach this stage.



### **PRACTICE TO RESEARCH (P2R):**

- ❖ A part of the research to practice (r2p) process in which the safety and health concerns and priorities of workers, employers, and other key stakeholders in the field are used to identify research gaps and guide new research efforts.

### **PROCESS EVALUATION:**

- ❖ An assessment of a partnership's success in conducting and implementing planned r2p activities.

### **R2P EVALUATION:**

- ❖ Evaluation that focuses on a partnership's research and dissemination activities which can be divided into two sub-types: process evaluation and outcome evaluation.

### **R2P PARTNERSHIP:**

- ❖ A collaborative effort among stakeholders to identify and solve safety and health problems by promoting the use of available research-based solutions or identifying new research needs. Such partnerships can be organized around solving a specific problem or improving the safety and health practices of a construction industry sector.

### **RESEARCH TO PRACTICE (R2P):**

- ❖ A process focused on the transfer of knowledge and interventions into effective safety and health practices or products that are adopted into the workplace. A way of conducting research that is relevant to stakeholders and ensures that the results of that research are shared with them. Related terms include dissemination, diffusion, implementation, knowledge transfer, research translation, and *practice to research (p2r)*.

### **RESEARCH-BASED SOLUTIONS:**

- ❖ Interventions, technologies, equipment, trainings, programs, and other approaches that promote safety and health that previous research has shown to be efficient or effective. Related terms include evidence-based practices, best practices, or research-based interventions.

### **ROOT CAUSE ANALYSIS:**

- ❖ Typically done as part of an accident or near-miss investigation, a root cause analysis requires one to track back through the series of events or actions leading up to the accident until the underlying or root cause is identified. Such an analysis may provide the partnership and the researcher with insight into the type of solutions that will best address a hazard.

### **ROUND ROBIN:**

- ❖ A facilitation method in which partners take turns presenting their ideas. One advantage of this method is that all participants get an equal chance to speak up and quiet partners are more likely to contribute, while a disadvantage is that it stifles spontaneity and sometimes members forget their idea by the time their turn arrives.

### **SLIP METHOD:**

- ❖ A facilitation method in which everyone puts ideas on a slip of paper (or sticky note) and passes it in to the facilitator. One advantage to this method is that some people may be more candid

and creative with anonymity preserved; a disadvantage is not hearing other member's ideas, which can trigger additional creative discussion.

**SOLUTIONS:**

- ❖ Any strategies, products, or programs created and used to address a safety and health problem. Used interchangeably with *interventions*.

**STAKEHOLDERS:**

- ❖ Individuals or groups that have an interest in or are affected by the operations and actions of the partnership or the issue in which they are engaged.

**STORMING:**

- ❖ A stage of group development in which partners experience conflict and competition. Partnership rules, structure, and authority may be questioned. Patience, tolerance and the ability to listen will help partnerships push through this phase.

**TARGET POPULATION:**

- ❖ End users or audience for a particular research-based solution that a partnership tries to reach, change, or affect in its dissemination efforts.

**VISION STATEMENT:**

- ❖ The ideal future that a partnership will work to achieve over time that provides both guidance and inspiration; it encompasses how things would look if the issue(s) or problem(s) that brought the partners together were completely addressed. A vision statement should be clear, concise, and easy to communicate; often just a few words or a short phrase.

## APPENDIX 4: ADDITIONAL RESOURCES

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- American Evaluation Association Website – A tool to find an evaluator by state (<http://www.eval.org/p/cm/ld/fid=108>)
- American Evaluation Association e-library (<http://comm.eval.org/communities/resources/libraryview/?LibraryKey=1eff4fd7-afa0-42e1-b275-f65881b7489b>)
- Building Collaborative Partnerships, North Central Educational Laboratory, Learning Point Associates (<http://www.ncrel.org/sdrs/areas/issues/envrnmnt/css/ppt/chap1.htm>)
- CDC Evaluation Guides ([http://www.cdc.gov/dhdsp/programs/nhdsp\\_program/evaluation\\_guides/index.htm](http://www.cdc.gov/dhdsp/programs/nhdsp_program/evaluation_guides/index.htm))
- Characteristics of Effective Partners in Community-Based Participatory Research (<http://depts.washington.edu/ccph/cbpr/u2/u21.php>)
- CPWR r2p and Partnership Research (<http://www.cpwr.com/research/r2p-bridging-gap-between-research-and-practice>)
- Community Toolbox – Chapter 36 – Evaluation ([http://ctb.ku.edu/en/tablecontents/chapter\\_1036.aspx](http://ctb.ku.edu/en/tablecontents/chapter_1036.aspx))
- Community Toolbox, Evaluating Community Programs and Initiatives, Chapter 36, Section 4: Choosing Evaluators ([http://ctb.ku.edu/en/tablecontents/sub\\_section\\_main\\_1351.aspx](http://ctb.ku.edu/en/tablecontents/sub_section_main_1351.aspx))
- Evaluation Brief: Selecting an Evaluation Consultant (<http://www.cdc.gov/healthyyouth/evaluation/pdf/brief1.pdf>)
- Evaluation Toolkit by the Pell Institute (<http://toolkit.pellinstitute.org>)
- Facilitator’s Toolkit, Office of Quality Management (<http://www.uspto.gov/web/offices/com/oqm-old/Facilitation.pdf>)
- Facilitator’s Guide to Participatory Decision-Making (Kaner, S., Lind, L., Toldi, C., Fisk, S., & Berger, D. (2007). *Facilitator's Guide to Participatory Decision-Making* (2nd ed.). San Francisco: Jossey-Bass.)
- Four Levels of Engagement in Partnering - the CDC’s Partnership Development Toolkit (pp. 3-4)([http://www.cdc.gov/cancer/nbccedp/pdf/toolkit/NBCCEDP\\_Toolkit.pdf](http://www.cdc.gov/cancer/nbccedp/pdf/toolkit/NBCCEDP_Toolkit.pdf))
- Making Decisions and Communicating Effectively (<http://www.cbprcurriculum.info/>)
- OSHA Alliance Program (<https://www.osha.gov/dcsp/alliances/whatis.html>)
- PARTNER (Program to Analyze, Record, and Track Networks to Enhance Relationships) tool, Robert Wood Johnson Foundation (<http://www.partnertool.net/>)
- The Partnership Handbook, Minister of Public Works and Government Services Canada (<http://publications.gc.ca/collections/Collection/MP43-373-1-2000E.pdf>)
- Partnership Toolkit, Comprehensive Cancer Control, Centers for Disease Control (<http://www.healthmys.com/msdhsite/index.cfm/43,2766,292,410,pdf/PartnershipToolsforPrograms.pdf>)
- Planning a Program Evaluation from the University of Wisconsin Cooperative Extension

- (<http://learningstore.uwex.edu/assets/pdfs/G3658-1.PDF>)
- Pocket Guide to Building Partnerships, World Health Organization ([http://www.stoptb.org/assets/documents/countries/partnerships/building\\_partnerships\\_guide.pdf](http://www.stoptb.org/assets/documents/countries/partnerships/building_partnerships_guide.pdf))
- A Short Guide to Partnerships, David Wilcox (<http://www.partnerships.org.uk/part/partguide1.doc>)
- Writing SMART Objectives (<http://www.cdc.gov/healthyyouth/evaluation/pdf/brief3b.pdf>)

## APPENDIX 5: ACKNOWLEDGEMENTS

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