



City Council Agenda

Monday, March 12, 2012

6:00 p.m.

City Council Chambers

(Times are Approximate)

- 6:00 p.m. **1. Roll Call**
Voting & Seating Order for March: Willmus, Pust, McGehee, Johnson, Roe
- 6:02 p.m. **2. Approve Agenda**
Commission Interviews
- | Applicant | Commission |
|--------------------|-------------------|
| Nancy O'Brien | Ethics |
| Nicholas Boulton | P&R |
| Nolan Wall | P&R |
| Austin Anderson | P&R and Planning |
| Shannon Cunningham | Planning |
| Robert Murphy | Planning |
| Gerald Olsen | Planning |
| David Pitt | Planning |
- 8:05 p.m. **3. Public Comment**
- 8:10 p.m. **4. Council Communications, Reports and Announcements**
- 5. Recognitions, Donations and Communications**
- 6. Approve Minutes**
- 8:15 p.m. a. Approve Minutes of February 27, 2012 Meeting
- 8:20 p.m. **7. Approve Consent Agenda**
- a. Approve Payments
 - b. Approve Business & Other Licenses
 - c. Approve General Purchases and Sale of Surplus items in excess of \$5000
 - d. Award Contract for Engineering Services for an update to the City's Comprehensive Surface Water Management Plan

- e. Certify Unpaid Utility and Other Charges to the Property Tax Rolls
- f. Receive Authorization to Apply for COPS Hiring Program (CHP) Grant
- g. Authorize to Send Environmental Remediation Fund Letter of Support
- 8:35 p.m. **8. Consider Items Removed from Consent**
- 9. General Ordinances for Adoption**
- 8:40 p.m. **10. Presentations**
 - a. League of Minnesota Cities Insurance Trust
- 11. Public Hearings**
- 12. Business Items (Action Items)**
- 13. Business Items – Presentations/Discussions**
- 9:10 p.m. a. Discuss Annual Disclosure Filings
- 9:20 p.m. b. Discuss Performance Management Program
- 9:50 p.m. **14. City Manager Future Agenda Review**
- 9:55 p.m. **15. Councilmember Initiated Items for Future Meetings**
- 10:00 p.m. **16. Adjourn**

Some Upcoming Public Meetings.....

Thursday	Mar 15	4:00 p.m.	Grass Lake Water Management Organization
Monday	Mar 19	6:00 p.m.	City Council Meeting
Tuesday	Mar 20	6:00 p.m.	Housing & Redevelopment Authority
Wednesday	Mar 21	6:30 p.m.	Human Rights Commission
Monday	Mar 26	6:00 p.m.	City Council Meeting
Tuesday	Mar 27	6:30 p.m.	Public Works, Environment & Transportation Commission
April			
Tuesday	Apr 3	6:30 p.m.	Parks & Recreation Commission
Wednesday	Apr 4	6:30 p.m.	Planning Commission
Monday	Apr 9	6:00 p.m.	City Council Meeting

All meetings at Roseville City Hall, 2660 Civic Center Drive, Roseville, MN unless otherwise noted.

REQUEST FOR COUNCIL ACTION

Date: March 12, 2012
Item No.: 2.a

Department Approval

City Manager Approval



Item Description: Discussion of Advisory Commission Appointment Process

BACKGROUND

The City has six standing commissions. The Council annually appoints citizens to serve on the commissions. Commissions advise the Council on specific actions and offer citizens a way to provide input on issues of interest.

Three commissions, Ethics, Parks and Recreation and Police Civil Services have one vacancy each, and the Planning Commission has two vacancies for the three-year appointment. Terms run from April 1, 2012 to March 31, 2015.

The Council will have interviewed eight applicants three applicants for Ethics, three applicants for Parks and Recreation, five applicants for Planning and one applicant for Police Civil Service. (Several applicants are interested in one or more commission.) Commission Chairs were invited to participate in the interview process and offer their comments. Those comments are non-public data.

The Council will appoint applicants at the March 19, 2012 meeting.

No applicant applied for the Police Civil Service Commission; although, Gerald Olsen said he would like to be considered for either the Ethics or Police Civil Service Commissions if not selected for the Planning Commission.

In accordance with city policy, if fewer applications are received than twice the number of openings, the City Council may establish a new application deadline.

Staff contacted the applicants for the Parks and Recreation and the Planning Commissions, asking if they would be interested in being considered for either the Ethics or the Police Civil Service Commission.

Nick Boulton said he would like to be considered for the Ethics Commissions if not selected for the Parks and Recreation Commission.

David Pitt and Robert Murphy are only interested in the Planning Commission. Nolan Wall is only interested in the Parks and Recreation Commission. The other applicants did not respond to the inquiry.

37 City staff advertized in the Roseville Review, posted information on the website and channel 16,
38 included an article in the Roseville City News, distributed press releases and sent several emails
39 and notices to current and former commissioners and recent commission applicants. The Mayor
40 announced information about commission vacancies and the application process before several
41 City Council meetings. In addition, staff used several informal networking opportunities to
42 spread the word about volunteering on commissions.

43 **REQUESTED COUNCIL ACTION**

44 Determine whether to reopen the application period for the Police Civil Service Commissions.

45 If the council determines to re-advertize for the Police Civil Service Commission, set application
46 deadline to April 4, 2012, with interviewed scheduled for April 9, 2012 and appointment on
47 April 16, 2012.

48

49 **Prepared by: Bill Malinen, City Manager**

50 Attachments: A: Applications

Carolyn Curti

Full Name: Nancy O'Brien
Last Name: O'Brien
First Name: Nancy

Home Address:
 Roseville, MN 55113

Home:

E-mail:
E-mail Display As:

The following form was submitted via your website: Commission Application

Please check commission applying for: Ethics Commission

If other, please list name:

This application is for:: New Term

If this is a student application, please list your grade:

Name:: Nancy O'Brien

Address::

City, State, Zip: Roseville, MN 55113

Phone Number::

Email address::

How many years have you lived in Roseville?: 26 years

Work Experience (especially as it relates to the Commission/Board for which you are applying): I am currently retired, but worked for 33 years at the Minneapolis VA Medical Center. I am a social worker by training. I worked in the mental health field for most of my career, but spent the final 5 years at the VA working as the Compliance and Business Integrity Officer to ensure that the medical center was observing all legal and ethical policies. I also served on the medical center Ethics Committee for over 20 years and was the person responsible for instituting the Organizational Ethics Program at the Minneapolis VA. I currently serve on the Ethics Educational Committee of the National Association of Social Workers - Minnesota Chapter.

Education:: Masters of Social Work Degree, University of Michigan Bachelors Degree, Indiana University

Civic and Volunteer Activities (Past and Present):: Citizens Advisory Team for the Master Plan of the Roseville Park and Rec Commission Sept 2009 - Nov 2010 Citizens Implementation Team (Natural Resources sub-committee) of the Roseville Park and Rec Commission March 2011- current

Please state your reasons for wanting to serve on the Commission/Board:: I have a long-standing interest in organizational ethics, as well as considerable training in this area. I enjoy consulting about ethical issues as

well as training staff in ethics. In addition, I have found my work on the Park and Rec Advisory and Implementation Teams to be very interesting and challenging and wish to find another area in which to be involved in my community.

What is your view of the role of this Commission/ Board?: The Commission serves as a citizen group to advise the city on ethical issues and to train staff and other Commission/Board members on ethical principles. The Ethics Commission members should have sufficient training themselves to be knowledgeable in the area of ethics.

Any further information you would like the City Council to consider or that you feel is relevant to the appointment or reappointment you are seeking.:

I understand that information provided in this application may be distributed by the City to the public including, but not limited to, being posted on the City of Roseville website. I agree to waive any and all claims under the Minnesota Government Data Practices Act, or any other applicable state and federal law, that in any way related to the dissemination to the public of information contained in this application that would be classified as private under such laws. I understand that I may contact the responsible authority for the City of Roseville if I have any questions regarding the public or private nature of the information provided.: Yes

Occasionally City staff gets requests from the media or from the public for ways to contact Commission members. The Commission roster is periodically made available. Please indicate which information the City may release to someone who requests it or that may be included on the Commission roster. Under MN Statute §12.601. subd. 3(b), either a telephone or electronic mail address (or both) where you can be reached must be made available to the public. Please indicate at least one phone number or one email address to be available to the public, and fill in the corresponding information in the below.: Preferred Email Address

Home Phone :

Work Phone :

Cell Phone:

Preferred Email Address:

I have read and understand the statements on this form, and I hereby swear or affirm that the statements on this form are true. : Yes

Additional Information:

Form submitted on: 1/16/2012 10:48:08 AM

Carolyn Curti

Full Name: Nicholas Boulton
Last Name: Boulton
First Name: Nicholas

Home Address:
Roseville, MN 55113

Mobile:

E-mail:
E-mail Display As:

Sorry, must have missed that field.

Roseville
55113

The following form was submitted via your website: Commission Application

Please check commission applying for: Parks and Recreation Commission

If other, please list name:

This application is for:: New Term

If this is a student application, please list your grade:

Name:: Nicholas
Address:: Boulton
City, State, Zip: Roseville, MN 55113
Phone Number::
Email address::

How many years have you lived in Roseville?: 7

Work Experience (especially as it relates to the Commission/Board for which you are applying): I currently work for Target Property Development in the Electrical Engineering department. I design and project manage the construction of Target Stores throughout the US and Canada.

Education:: AAS Electrical Construction
BA Business Management
Dunwoody College

Civic and Volunteer Activities (Past and Present):: Work with various organizations through my employer. Hearts and Hammers, Second Harvest and Feed My Starving Children are some examples. I have also worked with a group called Bikes for Kids that repairs used bikes for kids in need.

Please state your reasons for wanting to serve on the Commission/Board:: I would like to be on the board to take part in the further upkeep and development of the Roseville park system. I enjoy using the parks system and would like to help out with maintaining the high quality of the parks/trails.
I would also like to see more activities added to diversify the types of amenities available at the parks.

What is your view of the role of this Commission/ Board?: My view of this role would be to provide insight and direction to the future of the parks in Roseville and what they will look like. This role should also think about what value the parks system will do to provide to the community.

Any further information you would like the City Council to consider or that you feel is relevant to the appointment or reappointment you are seeking.:

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Home Phone :

Work Phone :

Cell Phone:

Preferred Email Address:

I have read and understand the statements on this form, and I hereby swear or affirm that the statements on this form are true. : Yes

Additional Information:

Form submitted on: 2/29/2012 10:20:09 PM

Carolyn Curti

Full Name: Nolan Wall
Last Name: Wall
First Name: Nolan

Home Address:
Roseville, MN 55113

Mobile:

E-mail:
E-mail Display As:

The following form was submitted via your website: Commission Application

Please check commission applying for: Parks and Recreation Commission

If other, please list name:

This application is for:: New Term

If this is a student application, please list your grade:

Name:: Nolan Wall

Address::

City, State, Zip: Roseville, MN 55113

Phone Number::

Email address:

How many years have you lived in Roseville?: 20

Work Experience (especially as it relates to the Commission/Board for which you are applying): I've been employed as a city planning consultant for 4 years. Prior to full-time employment in the private sector, I worked as an intern in the City of Vadnais Heights Planning/Community Development Department.

My consulting work includes a variety of planning-related projects. My experience includes: comprehensive planning; park planning; development review; ordinance drafting and administration; grant writing and administration; GIS mapping; and capital improvements planning. While working at the City of Vadnais Heights, I assisted the department in updating the Parks and Open Space Plan which included service area mapping/analysis and a facilities inventory.

In addition, I'm a Certified Planner (AICP) with the American Planning Association and a member of the Minnesota and Wisconsin chapters.

Education:: I have a Bachelor's degree in Political Science from St. John's University (MN) and a Master's Degree in Urban and Regional Planning from the University of Minnesota.

Civic and Volunteer Activities (Past and Present):: I have not had the privilege of serving on any civic/volunteer boards or commissions. My wife and I recently purchased our first home, so I've been waiting to establish residency in a community before seeking out civic/volunteer activities.

Please state your reasons for wanting to serve on the Commission/Board:: I value public service. I've worked with numerous commissions and have always respected their willingness to serve their community. I grew up in Roseville and appreciate the existing park and recreation system and want to see it continue to be an asset to the City's residents.

What is your view of the role of this Commission/ Board?: I believe the role of the Parks and Recreation Commission is to serve as a voice for the community on various parks and recreation issues. This includes reviewing existing facilities/programs, recommending appropriate improvements to the system, and working with Staff on future planning and implementation initiatives.

Any further information you would like the City Council to consider or that you feel is relevant to the appointment or reappointment you are seeking.: I grew-up next to Villa Park and spent my youth participating in the City's recreation programs. I recently purchased a home next to Maplevue Park.

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Home Phone :

Work Phone :

Cell Phone:

Preferred Email Address:

I have read and understand the statements on this form, and I hereby swear or affirm that the statements on this form are true. : Yes

Additional Information:

Form submitted on: 2/6/2012 1:54:18 PM

Carolyn Curti

Full Name: Austin Anderson
Last Name: Anderson
First Name: Austin

Home Address:
Roseville, MN 55113

Home:

E-mail:
E-mail Display As:

The following form was submitted via your website: Commission Application

Please check commission applying for: Parks and Recreation Commission, Planning Commission

If other, please list name:

This application is for:: New Term

If this is a student application, please list your grade:

Name:: Austin Anderson
Address::
City, State, Zip: Roseville, MN 55113
Phone Number:
Email address:

How many years have you lived in Roseville?: 1

Work Experience (especially as it relates to the Commission/Board for which you are applying): I don't have any work experience related to working on the Commission Board but I'm applying so I can gain some work experience in that field. I have a strong interest and passion in city government especially as it relates to urban planning, development, and parks and recreation.

Education:: I received a bachelor of arts degree from Hamline University in 2008. I double majored in political science and history with a minor in religion. In 2009 I enrolled in Hamline School of Business and received my masters in public administration in 2011.

Civic and Volunteer Activities (Past and Present):: I have been attending city commission meetings in order to learn how the city commission works and to obtain an understanding of the issues facing the city of Roseville.

Please state your reasons for wanting to serve on the Commission/Board:: My desire to serve on the Commission Board dates back to my childhood. Growing up in Montana I loved to play soccer. However my town was the only major city that lacked a soccer complex. Since leaving Montana, efforts have prevailed in creating this complex. Observing the results the park has had on the community is astounding. Parks and recreation are connected to this because their efforts are ever present in connecting a community together.

What is your view of the role of this Commission/ Board?: The Park and Recreation Commission has the responsibility of recommending certain recreational policies for the city of Roseville. Other duties also include

being charged with advising the City Council on matters related to City programs and facilities dedicated to recreation. These programs enable and encourage citizens to participate in the community. The Parks and Recreation board is also responsible to protecting open space and parklands. This will allow the community to unite and flourish.

Any further information you would like the City Council to consider or that you feel is relevant to the appointment or reappointment you are seeking.:

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Home Phone :

Work Phone :

Cell Phone:

Preferred Email Address:

I have read and understand the statements on this form, and I hereby swear or affirm that the statements on this form are true. : Yes

Additional Information:

Form submitted on: 2/28/2012 7:44:00 PM

Carolyn Curti

Full Name: Shannon M. Cunningham
Last Name: Cunningham
First Name: Shannon

Home Address:
Roseville, MN 55113

Mobile:

E-mail:
E-mail Display As:

The following form was submitted via your website: Commission Application

Please check commission applying for: Planning Commission

If other, please list name:

This application is for:: New Term

If this is a student application, please list your grade:

Name:: Shannon M. Cunningham

Address::

City, State, Zip: Roseville, MN 55113

Phone Number::

Email address:

How many years have you lived in Roseville?: 3 + years

Work Experience (especially as it relates to the Commission/Board for which you are applying): 2011 to Present, Minnesota Nurses Association, Public Policy and Government Relations Specialist

- Meet with state, county and local elected officials to discuss issues affecting nurses across the state
- Testify before the legislature, county commissions and city councils on health care facility locations, proposals and other issues affecting nurses
- Educate nurses about issues affecting them at the legislature and local governments

2006 - 2011, Minnesota Senate, Committee Administrator for the Health and Human Services Budget Division

- Research policies affecting Health and Human Services and the city of Minneapolis
- Educate and advise legislators on proposals made to the committee
- Educate and advice the public on decisions made by the legislature

2003-2006, Greater Twin Cities United Way, Donor Services Associate

- Spoke publicly about the needs of United Way initiatives -Developed and maintained relationships with high level executives, fundraising campaign managers and donors
- Led six member team and acted as liaison to internal departments

Education:: 2007 - 2011

University of Minnesota- Duluth

Masters Degree, Advocacy and Political Leadership

Emphasis: Local Politics

1999 - 2003

Bemidji State University

Bachelor of Arts Degree, Political Science

Emphasis: United States Politics

Civic and Volunteer Activities (Past and Present):: Present:

- City of Roseville Civic Engagement Taskforce
- Greater Twin Cities United Way Emerging Leaders Program
- MAPL Alumni Association
- Midwest Animal Rescue Placement Coordinator

Past:

- Bemidji State University Foundation board member
- Bemidji State University Alumni Association board member
- Hostelling International Minnesota board member
- Minnesota State University Student Association board member

Please state your reasons for wanting to serve on the Commission/Board:: As a transplant from northern Minnesota, I have chosen Roseville as my home. I own a home here, shop at our local stores and plan to raise my children in this city. Although I wasn't born here, Roseville has become my home. Because of this, I think it is important to be a part of our city's future. At a time where our population is aging and economy is struggling, I am hoping to help guide the city towards a successful and sustainable future.

What is your view of the role of this Commission/ Board?: I believe that the City of Roseville Planning Commission plays an important part in identifying and addressing issues related to city planning. The Commission's role is to provide businesses, developers and the citizens of Roseville an opportunity to share their concerns and suggestions around city planning proposals. When all sides have had an opportunity to explain their views, it is the job of the Planning Commission to make a final recommendation to the City Council.

Any further information you would like the City Council to consider or that you feel is relevant to the appointment or reappointment you are seeking.: I have extensive experience working with state and local officials, constituents and the general public. In addition, I have studied city planning in both my undergraduate and graduate coursework. I believe my experience and dedication to the city of Roseville will make me an asset to the Roseville Planning Commission.

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Home Phone :

Work Phone :

Cell Phone:

Preferred Email Address

I have read and understand the statements on this form, and I hereby swear or affirm that the statements on this form are true. : Yes

Additional Information:

Form submitted on: 2/14/2012 6:21:51 PM

Carolyn Curti

Full Name: Robert Murphy
Last Name: Murphy
First Name: Robert

Home Address:
Roseville, MN 55113

E-mail:
E-mail Display As:

The following form was submitted via your website: Commission Application

Please check commission applying for: Planning Commission

If other, please list name:

This application is for:: New Term

If this is a student application, please list your grade:

Name:: Robert Murphy

Address::

City, State, Zip: Roseville, MN 55113

Phone Number::

Email address:

How many years have you lived in Roseville?: 36

Work Experience (especially as it relates to the Commission/Board for which you are applying): Software Engineer - 38 years including serving as a Company representative to national standards organizations - develop, revise, and interpret software standards.

US Army Reserve Officer - 30 years commissioned service.

Education:: BS - Computer Science, Purdue University MS - Computer Science, Purdue University

Civic and Volunteer Activities (Past and Present):: Roseville Fire Dept. - 21 years Ombudsman - Employer Support of Guard and Reserve - present Guardian Ad Litem - MN 2nd Judicial District - present

Please state your reasons for wanting to serve on the Commission/Board:: During my 36 years in Roseville I have seen tremendous development activity in Roseville. As Roseville continues the "redevelopment process" I would like to contribute to that process.

What is your view of the role of this Commission/ Board?: An important role of the Commission is to provide a forum where citizens can express their thoughts and concerns about policies and development applications. At the end of the day the Commission must recommend final action on planning cases to the City Council.

Any further information you would like the City Council to consider or that you feel is relevant to the appointment or reappointment you are seeking.:

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Home Phone :

Work Phone :

Cell Phone:

Preferred Email Address

I have read and understand the statements on this form, and I hereby swear or affirm that the statements on this form are true. : Yes

Additional Information:

Form submitted on: 2/28/2012 10:56:36 PM

Carolyn Curti

Full Name: Gerald J. Olsen
Last Name: Olsen
First Name: Gerald

Home Address:
Roseville, MN 55113

Business: (
Mobile:

E-mail:
E-mail Display As:

The following form was submitted via your website: Commission Application

Please check commission applying for: Planning Commission

If other, please list name:

This application is for:: New Term

If this is a student application, please list your grade:

Name:: Gerald J. Olsen

Address::

City, State, Zip: Roseville, MN 55113

Phone Number:

Email address::

How many years have you lived in Roseville?: 1/2 year

Work Experience (especially as it relates to the Commission/Board for which you are applying): Current - Vice President for Development, United Theological Seminary Recent Past (2008-11) - Funding Consultant and Co-Founder, St. Paul Parks Conservancy (Bob Bierscheid was city liaison) Other Past (1979-84)- Executive Director, Minnesota State Arts Board

Education:: B.A. - Macalester College, 1968 M.A. - St. Cloud State University, 1971 Doctoral Studies - Indiana University, 1972-78

Civic and Volunteer Activities (Past and Present):: Present Board of Trustees - Oak Hill Montessori School Advisory Board - American Museum of Asmat Art at the University of St. Thomas Past President - Minnesota Humane Society Board Chair - Arts Midwest (formerly the Affiliated State Arts Agencies of the Upper Midwest) Vice Chair - Governor's Residence Council Founder and Chair - American Museum of Asmat Art

Please state your reasons for wanting to serve on the Commission/Board:: I love the community and want to contribute back in a meaningful and productive fashion.

Careful and productive planning has been basic to every endeavor I have successfully pursued. I believe that my background in public service, both professional and volunteer, provides me with insights that could prove valuable to planning a vibrant future for the community.

What is your view of the role of this Commission/ Board?: A planning commission plays a vital role in advising city leaders on matters related to community enhancement and development needs and opportunities. It is a group that needs to be sensitive to diverse views of citizens while remaining bold and decisive in its decisions and recommendations. Ideally the citizens of the community will feel that their voice is heard and that tough and just decisions are made that consider the complexities of life.

Any further information you would like the City Council to consider or that you feel is relevant to the appointment or reappointment you are seeking.: My wife Carolyn and I, while new residents in the Roseville community, have lived just a few blocks south of the city (in the Como neighborhood) for many years. We have, as a result, enjoyed Roseville's many amenities ranging from fabulous parks and healthy retail to exceptional city services. Our two sons attended Roseville Area High School, and we are no strangers to activities and opportunities throughout the community.

I have the time and would enjoy the honor of serving on the planning commission.

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Home Phone :

Work Phone :

Cell Phone:

Preferred Email Address

I have read and understand the statements on this form, and I hereby swear or affirm that the statements on this form are true. : Yes

Additional Information:

Form submitted on: 2/29/2012 1:09:03 PM



www.ci.roseville.mn.us

City of Roseville • 2660 Civic Center Drive • Roseville MN 55113

Phone: 651.792.7001 • Fax: 651.792.7030

Commission Application

Application for Citizen Commission/Board

Please check commission applying for*

- | | |
|---|--|
| ☐ Ethics Commission | ☒ Planning Commission |
| ☐ Grass Lake Water Management Organization | ☐ Police Civil Service Commission |
| ☐ Housing and Redevelopment Authority | ☐ Public Works, Environment and Transportation Commission |
| ☐ Human Rights Commission | ☐ Other |
| ☐ Parks and Recreation Commission | |

If other, please list name

This application is for:*

- | | |
|--|---------------------------------------|
| ☒ New Term | ☐ Student Term |
| ☐ Reappointment | |

If this is a student application, please list your grade

Under state statute, Commissioner's names, addresses and either a phone number or an electronic address where you can be reached are public information. All other personal information is private data and cannot be released to the public unless the Commissioner gives permission for the City to release it. Information relating to a student representative is private data and will not be released.

Name:*

David G. Pitt

Address:*

City, State, Zip*

Phone Number:

Email address:

How many years have you lived in Roseville?

25

Work Experience (especially as it relates to the Commission/Board for which you are applying)

Professor of Landscape Architecture. UMN, 1987-2012
Adjunct Professor of Urban and Regional Planning. UMN, 1988-2012
Adjunct Professor of Forest Resources, UMN, 1989-2012
FAICP (to be inducted April 2012)
AICP (since 1977) Extension Specialist in Regional Development

Education:

BA Geography Syracuse U. Maryland Cooperative Extension Service
MLA Landscape Planning U. Massachusetts 1974-1986
PhD Renewable Natural Resources U. of Arizona

Civic and Volunteer Activities (Past and Present):

None

Please state your reasons for wanting to serve on the Commission/Board:

Apply my understandings of Urban and Regional planning to assisting Planning Staff and City Council in formulating (on continuing basis) future vision for city.
Enhance environmental planning throughout city.
Provide (apply) my expertise to the needs of the city.

Teach courses in Environmentally and Landscape Planning and Regional Planning and Urban and Regional Planning as well as Landscape Architecture.
Design to graduate students in Urban and Regional Planning as well as Landscape Architecture.

What is your view of the role of this Commission/ Board?

Advisory to Planning Staff and City Council on matters pertaining to formulation and administration of comprehensive city plan.
Provide advisory opinion and site plan review process for matters pertaining to development of city.
~~provide advisory opinion on matters pertaining to development of~~
human and natural capital of city.
Balancing environmental and ecological planning issues with economic and social development of the community.

Any further information you would like the City Council to consider or that you feel is relevant to the appointment or reappointment you are seeking.

I understand that information provided in this application may be distributed by the City to the public including, but not limited to, being posted on the City of Roseville website. I agree to waive any and all claims under the Minnesota Government Data Practices Act, or any other applicable state and federal law, that in any way related to the dissemination to the public of information contained in this application that would be classified as private under such laws. I understand that I may contact the responsible authority for the City of Roseville if I have any questions regarding the public or private nature of the information provided.*

☒ Yes

Occasionally City staff gets requests from the media or from the public for ways to contact Commission members. The Commission roster is periodically made available. Please indicate which information the City may release to someone who requests it or that may be included on the Commission roster. Under MN Statute §12.601, subd. 3(b), either a telephone or electronic mail address (or both) where you can be reached must be made available to the public. Please indicate at least one phone number or one email address to be available to the public, and fill in the corresponding information in the below.*

☐ Home Phone Number

☐ Cell Phone Number

☒ Work Phone Number

☒ Preferred Email Address

Home Phone

Work Phone

Cell Phone

Preferred Email Address

651-792-7030

Tennessee Warning: Some or all of the information that you are asked to provide is classified by State law as either private or confidential. Private data is information that generally cannot be given to the public, but can be given to the subject of the data. Confidential data is information that generally cannot be given to either the public or the subject of the data.

The City of Roseville is collecting the information to determine qualifications to serve on a Commission/Board. You are not legally required to provide this information. However, if you do not supply the information, you may not serve on a Commission/Board.

Other persons or entities authorized by law to receive this information are City Council members, staff, residents of Roseville and interested others.

Any additional information may be emailed to info@ci.roseville.mn.us or delivered to Administration Department, City of Roseville, 2660 Civic Center Drive, Roseville, MN 55113 or faxed to 651-792-7030.

I have read and understand the statements on this form, and I hereby swear or affirm that the statements on this form are true.*

☒ Yes

Date: March 12, 2012

Item: 6.a

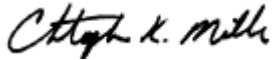
Approve February 27, 2012
Minutes

No Attachment

REQUEST FOR COUNCIL ACTION

Date: 3/12/2012
Item No.: 7.a

Department Approval



City Manager Approval



Item Description: Approval of Payments

BACKGROUND

State Statute requires the City Council to approve all payment of claims. The following summary of claims has been submitted to the City for payment.

Check Series #	Amount
ACH Payments	\$683,380.57
65544-65661	\$542,452.94
Total	\$1,180,833.51

A detailed report of the claims is attached. City Staff has reviewed the claims and considers them to be appropriate for the goods and services received.

POLICY OBJECTIVE

Under Mn State Statute, all claims are required to be paid within 35 days of receipt.

FINANCIAL IMPACTS

All expenditures listed above have been funded by the current budget, from donated monies, or from cash reserves.

STAFF RECOMMENDATION

Staff recommends approval of all payment of claims.

REQUESTED COUNCIL ACTION

Motion to approve the payment of claims as submitted

Prepared by: Chris Miller, Finance Director

Attachments: A: Checks For Approval

Accounts Payable

Checks for Approval

User: mary.jenson
Printed: 3/6/2012 - 12:10 PM

Check Number	Check Date	Fund Name	Account Name	Vendor Name	Invoice Desc.	Amount
0	02/21/2012	Recreation Fund	Office Supplies	Staples-ACH	Office Supplies	95.03
0	02/21/2012	Recreation Fund	Operating Supplies	Sports Authority-ACH	Basketball Nets	25.67
0	02/21/2012	Information Technology	Contract Maintenance	Local Link, Inc.-ACH	DNS Hosting fee	107.50
0	02/21/2012	Housing & Redevelopment Agency	Professional Services	Vroman Systems-ACH	Living Smarter Online Registration	19.95
0	02/21/2012	General Fund	Training	SOTA-ACH	Special Ops Conference Registration	520.00
0	02/21/2012	Community Development	Office Supplies	S & T Office Products-ACH	Office Supplies	53.10
0	02/21/2012	General Fund	Operating Supplies	Suburban Ace Hardware-ACH	Supplies	30.00
0	02/21/2012	P & R Contract Maintenance	Operating Supplies	North Hgts Hardware Hank-ACH	Paint	9.72
0	02/21/2012	General Fund	Operating Supplies	Amazon.com- ACH	Law Enforcement Books	76.76
0	02/21/2012	General Fund	209001 - Use Tax Payable	Amazon.com- ACH	Sales/Use Tax	-4.94
0	02/21/2012	Sanitary Sewer	Operating Supplies	Home Depot- ACH	Bulbs	11.75
0	02/21/2012	Recreation Fund	Operating Supplies	Party City-ACH	New Years Eve Supplies	102.84
0	02/21/2012	Recreation Fund	Professional Services	Mn Recreation & Park-ACH	Workshop	59.00
0	02/21/2012	Recreation Fund	Operating Supplies	Advisors Marketing Group-ACH	T-Shirts	1,258.30
0	02/21/2012	Information Technology	Contract Maintenance	Dameware Development-ACH	Maintenance Upgrade	654.80
0	02/21/2012	Recreation Fund	Operating Supplies	North Hgts Hardware Hank-ACH	Hanging Kit	7.62
0	02/21/2012	Sanitary Sewer	Operating Supplies	Home Depot- ACH	Bulbs	23.50
0	02/21/2012	Recreation Fund	Operating Supplies	Wolff Fording Inc- ACH	Ice Show Costumes	1,486.65
0	02/21/2012	Sanitary Sewer	Operating Supplies	Marathon Oil-ACH	Fuel	10.46
0	02/21/2012	General Fund	Operating Supplies	S & T Office Products-ACH	Office Supplies	223.59
0	02/21/2012	General Fund	Operating Supplies	Vista Print-ACH	New Station Design Pictures	43.97
0	02/21/2012	General Fund	209001 - Use Tax Payable	Vista Print-ACH	Sales/Use Tax	-2.83
0	02/21/2012	P & R Contract Maintenance	Miscellaneous	LTG Power Equipment-ACH	No Receipt-Jim Tschida	170.95
0	02/21/2012	General Fund	Operating Supplies	Suburban Ace Hardware-ACH	Chain Sharpening	32.02
0	02/21/2012	General Fund	Operating Supplies	North Hgts Hardware Hank-ACH	Station Supplies	5.01
0	02/21/2012	General Fund	Clothing	Lynn Card Company-ACH	Business Cards	252.42
0	02/21/2012	General Fund	209001 - Use Tax Payable	Lynn Card Company-ACH	Sales/Use Tax	-16.24
0	02/21/2012	General Fund	Operating Supplies	Suburban Ace Hardware-ACH	Station Supplies	64.51
0	02/21/2012	General Fund	Training	Professional Law Enforc Trng-ACH	South Metro Training Facility	375.00
0	02/21/2012	Community Development	Operating Supplies	Midway Ford-ACH	Vehicle Supplies	14.76
0	02/21/2012	Pathway Maintenance Fund	Operating Supplies	Brock White -ACH	Hook	27.88
0	02/21/2012	P & R Contract Maintenance	Operating Supplies	MPLS Parking-ACH	Green Expo Parking	21.75
0	02/21/2012	License Center	Memberships & Subscriptions	Secretary of State-ACH	Notary Commission-Theisen	120.00
0	02/21/2012	General Fund	Conferences	Govttrngsvc-ACH	Homeland Security Conference-Brosr	300.00

Check Number	Check Date	Fund Name	Account Name	Vendor Name	Invoice Desc.	Amount
0	02/21/2012	Storm Drainage	Operating Supplies	Metal Supermarkets-ACH	Tubing	141.73
0	02/21/2012	Information Technology	Operating Supplies	Batteries Plus-ACH	Batteries	182.01
0	02/21/2012	General Fund	Operating Supplies	Sears Roebuck-ACH	Station Supplies-Tools	78.16
0	02/21/2012	General Fund	Operating Supplies	Home Depot- ACH	Station Supplies-Lighting	36.14
0	02/21/2012	License Center	Office Supplies	Target- ACH	Office Supplies	39.06
0	02/21/2012	General Fund	Operating Supplies	Target- ACH	Interview Room VHS Tapes	22.49
0	02/21/2012	General Fund	Clothing	Macys-ACH	Honor Guard Supplies	192.00
0	02/21/2012	General Fund	Telephone	Sprint-ACH	Cell Phones	195.00
0	02/21/2012	Information Technology	Telephone	Sprint-ACH	Cell Phones	191.83
0	02/21/2012	Recreation Fund	Telephone	Sprint-ACH	Cell Phones	230.41
0	02/21/2012	P & R Contract Maintenance	Telephone	Sprint-ACH	Cell Phones	47.16
0	02/21/2012	Golf Course	Telephone	Sprint-ACH	Cell Phones	92.24
0	02/21/2012	General Fund	Telephone	Sprint-ACH	Cell Phones	59.39
0	02/21/2012	General Fund	Telephone	Sprint-ACH	Cell Phones	385.25
0	02/21/2012	General Fund	Telephone	Sprint-ACH	Cell Phones	193.44
0	02/21/2012	Telecommunications	Telephone	Sprint-ACH	Cell Phones	48.75
0	02/21/2012	Water Fund	Telephone	Sprint-ACH	Cell Phones	47.16
0	02/21/2012	P & R Contract Maintenance	Training	MPLS Parking-ACH	Green Expo Parking	9.00
0	02/21/2012	Sanitary Sewer	Operating Supplies	O'Reilly Automotive-ACH	Socket	6.42
0	02/21/2012	Housing & Redevelopment Agency	Operating Supplies	Presenta Plaque-ACH	Case Kits	242.45
0	02/21/2012	Housing & Redevelopment Agency	Sales Tax Payable	Presenta Plaque-ACH	Sales/Use Tax	-15.60
0	02/21/2012	Info Tech/Contract Cities	North St. Paul Computer Equip	mp3Car-ACH	ATX Kit	462.51
0	02/21/2012	Info Tech/Contract Cities	Use Tax Payable	mp3Car-ACH	Sales/Use Tax	-29.75
0	02/21/2012	Water Fund	Water Meters	Menards-ACH	Lathe	41.20
0	02/21/2012	Recreation Fund	Operating Supplies	Suburban Ace Hardware-ACH	Bulb	3.20
0	02/21/2012	General Fund	Operating Supplies	Best Buy- ACH	Computer Supplies	217.44
0	02/21/2012	P & R Contract Maintenance	Temporary Employees	Sprint-ACH	Cell Phones	80.25
0	02/21/2012	Storm Drainage	Telephone	Sprint-ACH	Cell Phones	54.25
0	02/21/2012	General Fund	Operating Supplies	Sprint-ACH	Cell Phones	624.00
0	02/21/2012	Information Technology	Telephone	Sprint-ACH	Cell Phones	82.50
0	02/21/2012	Recreation Fund	Professional Services	Sprint-ACH	Cell Phones	26.00
0	02/21/2012	Recreation Fund	Operating Supplies	North Hgts Hardware Hank-ACH	Cooling Tower	6.40
0	02/21/2012	Recreation Fund	Operating Supplies	Walmart-ACH	Boiler Log	6.40
0	02/21/2012	Recreation Fund	Contract Maintenance	Anoco Metal-ACH	Skate Sharpener	120.00
0	02/21/2012	Pathway Maintenance Fund	Operating Supplies	Acme Tools-ACH	Dust Shroud Kit	106.19
0	02/21/2012	Recreation Fund	Operating Supplies	PetSmart-ACH	HANC Animal Food	94.18
0	02/21/2012	Golf Course	Memberships & Subscriptions	MN Dept of Agriculture-ACH	License Renewal-McDonagh	15.30
0	02/21/2012	General Fund	Vehicle Supplies	MN State Patrol-ACH	Inspection Program Decal	44.50
0	02/21/2012	General Fund	Operating Supplies	Survey Monkey.com-ACH	Subscription	24.00
0	02/21/2012	Recreation Fund	Operating Supplies	Joe's Sporting Goods-ACH	HANC Animal Food	11.53
0	02/21/2012	Golf Course	Vehicle Supplies	Suburban Ace Hardware-ACH	Equipment Supplies	6.20
0	02/21/2012	General Fund	Operating Supplies	S & T Office Products-ACH	Office Supplies	112.96
0	02/21/2012	Community Development	Conferences	APA Online-ACH	Conference Registration Paschke	880.00
0	02/21/2012	General Fund	Dispatching Services	RadioShack-ACH	Office Phone Handset	24.63

Check Number	Check Date	Fund Name	Account Name	Vendor Name	Invoice Desc.	Amount
0	02/21/2012	General Fund	Vehicle Supplies	PTS Tool Supply-ACH	Tools	76.15
0	02/21/2012	P & R Contract Maintenance	Operating Supplies	North Hgts Hardware Hank-ACH	Graffiti Remover	26.96
0	02/21/2012	Recreation Fund	Operating Supplies	Home Depot- ACH	Cleaning Supplies	130.14
0	02/21/2012	Recreation Fund	Operating Supplies	Target- ACH	Senior and Gym Supplies	25.95
0	02/21/2012	Recreation Fund	Operating Supplies	Target- ACH	Senior and Gym Supplies	29.47
0	02/21/2012	Recreation Fund	Operating Supplies	Target- ACH	Senior and Gym Supplies	8.97
0	02/21/2012	General Fund Donations	K-9 Supplies	Ray Allen Mfg Co- ACH	K9 Supplies	434.29
0	02/21/2012	General Fund Donations	Use Tax Payable	Ray Allen Mfg Co- ACH	Sales/Use Tax	-27.94
0	02/21/2012	General Fund	Other Improvements	Fed Ex Kinko's-ACH	Shipping for Rifle Repair	29.49
0	02/21/2012	General Fund	Contract Maintenance Vehicles	Mister Car Wash- ACH	Police Vehicle Washes	107.12
0	02/21/2012	License Center	Office Supplies	S & T Office Products-ACH	Office Supplies	89.26
0	02/21/2012	Info Tech/Contract Cities	Arden Hills Computer Equipment	Amazon.com- ACH	Wireless Keymasters	138.71
0	02/21/2012	Info Tech/Contract Cities	Use Tax Payable	Amazon.com- ACH	Sales/Use Tax	-8.92
0	02/21/2012	General Fund	Employee Recognition	EngravingAwardsgifts.com-ACH	Employee Recognition Awards	822.94
0	02/21/2012	General Fund	209001 - Use Tax Payable	EngravingAwardsgifts.com-ACH	Sales/Use Tax	-52.94
0	02/21/2012	P & R Contract Maintenance	Memberships & Subscriptions	MN State Horticulture-ACH	Membership Dues-	57.00
Check Total:						13,505.53
0	02/22/2012	Recreation Fund	Operating Supplies	R & R Specialties of Wisconsin, Inc	Brushes, Impeller	176.45
0	02/22/2012	TIF District #17-Twin Lakes	Professional Services	Ratwik, Roszak & Maloney, PA	Twin Lakes Condemnation Services	2,511.44
0	02/22/2012	Recreation Fund	Professional Services	Joe Tricola	CPR Class	200.00
0	02/22/2012	General Fund Donations	Operating Supplies	Tim O'Neill	Recognition Dinner Supplies Reimbu	150.00
0	02/22/2012	General Fund	211403 - Flex Spend Day Care		Dependent Care Reimbursement	192.31
0	02/22/2012	General Fund	211402 - Flex Spending Health		Flexible Benefit Reimbursement	373.12
0	02/22/2012	General Fund	211403 - Flex Spend Day Care		Dependent Care Reimbursement	403.86
0	02/22/2012	General Fund	211402 - Flex Spending Health		Flexible Benefit Reimbursement	413.53
0	02/22/2012	General Fund	211403 - Flex Spend Day Care		Dependent Care Reimbursement	272.00
0	02/22/2012	General Fund	211402 - Flex Spending Health		Flexible Benefit Reimbursement	105.22
0	02/22/2012	General Fund	211402 - Flex Spending Health		Flexible Benefit Reimbursement	3,000.00
0	02/22/2012	Workers Compensation	Professional Services	SFM Risk Solutions	Work Comp Administration	3,910.00
0	02/22/2012	General Fund	Contract Maintenance	City of St. Paul	Radio Service	140.26
0	02/22/2012	General Fund	Operating Supplies	City of St. Paul	Paper	425.36
0	02/22/2012	General Fund	209001 - Use Tax Payable	City of St. Paul	Sales/Use Tax	-27.36
0	02/22/2012	Telecommunications	Memberships & Subscriptions	North Suburban Access Corp	4th Quarter Webstreaming	900.00
0	02/22/2012	Recreation Fund	Operating Supplies	Stitchin Post	Shirts	46.00
0	02/22/2012	General Fund	Contract Maint. H.V.A.C.	Yale Mechanical, LLC	Maintenance Service	895.00
0	02/22/2012	General Fund	Contract Maint. H.V.A.C.	Yale Mechanical, LLC	Maintenance Service	895.00
0	02/22/2012	General Fund	Vehicle Supplies	Napa Auto Parts	Supplies	72.46
0	02/22/2012	General Fund	209001 - Use Tax Payable	Napa Auto Parts	Sales/Use Tax	-4.66
0	02/22/2012	General Fund	Vehicle Supplies	Napa Auto Parts	Credit	-8.46
0	02/22/2012	General Fund	Vehicle Supplies	Napa Auto Parts	Washer Fluid	127.61
0	02/22/2012	General Fund	209001 - Use Tax Payable	Napa Auto Parts	Sales/Use Tax	-8.21
0	02/22/2012	General Fund	Vehicle Supplies	Napa Auto Parts	Motor	61.11

Check Number	Check Date	Fund Name	Account Name	Vendor Name	Invoice Desc.	Amount
0	02/22/2012	General Fund	209001 - Use Tax Payable	Napa Auto Parts	Sales/Use Tax	-3.93
0	02/22/2012	General Fund	Vehicle Supplies	Napa Auto Parts	2012 Blanket PO for Vehicle Repairs	56.42
0	02/22/2012	General Fund	209001 - Use Tax Payable	Napa Auto Parts	Sales/Use Tax	-3.63
0	02/22/2012	License Center	Office Supplies	St. Paul Stamp Works, Inc.	Self Inking Die Plate Dater	105.25
0	02/22/2012	Golf Course	Contract Maintenance	Prowire, Inc.	Annual Security Monitoring-2012	513.00
0	02/22/2012	General Fund	Contract Maintenance	Metro Fire	Slow Test, Service Work	473.08
0	02/22/2012	General Fund	209001 - Use Tax Payable	Metro Fire	Sales/Use Tax	-28.02
0	02/22/2012	General Fund	Contract Maintenance Vehicles	Metro Fire	Carbide Chain	248.90
0	02/22/2012	General Fund	209001 - Use Tax Payable	Metro Fire	Sales/Use Tax	-16.01
0	02/22/2012	General Fund	Utilities - Old City Hall	Xcel Energy	Historical Society	1,623.17
0	02/22/2012	General Fund	Utilities - City Hall	Xcel Energy	City Hall Building	4,641.94
0	02/22/2012	General Fund	Utilities - City Garage	Xcel Energy	Garage/PW Building	5,089.94
0	02/22/2012	Recreation Fund	Utilities	Xcel Energy	Nature Center	673.38
0	02/22/2012	Recreation Fund	Utilities	Xcel Energy	Skating	32,233.49
0	02/22/2012	Water Fund	Utilities	Xcel Energy	Water Tower	7,547.55
0	02/22/2012	License Center	Utilities	Xcel Energy	Motor Vehicle	417.86
0	02/22/2012	General Fund	Utilities	Xcel Energy	Street Lights	60.32
0	02/22/2012	General Fund	Utilities	Xcel Energy	Street Lights	84.36
0	02/22/2012	P & R Contract Maintenance	Operating Supplies	Prowire, Inc.	Security System Labor	140.00
0	02/22/2012	P & R Contract Maintenance	Operating Supplies	Certified Laboratories, Inc.	Grenadier Plus	267.34
0	02/22/2012	P & R Contract Maintenance	Operating Supplies	Certified Laboratories, Inc.	Towels, Gloves	137.52
0	02/22/2012	P & R Contract Maintenance	Operating Supplies	Menards	Paint Supplies	17.30
0	02/22/2012	P & R Contract Maintenance	Operating Supplies	Total Tool	C&H Inspections	133.59
0	02/22/2012	Solid Waste Recycle	Professional Services	Eureka Recycling	Curbside Recycling	39,515.28
0	02/22/2012	Recreation Fund	Operating Supplies	Grainger Inc	Lamp	25.65
0	02/22/2012	General Fund	Operating Supplies	Streicher's	New Officer Badge	112.20
0	02/22/2012	General Fund	Professional Services	Erickson, Bell, Beckman & Quinn P.A.	General Civil Matters Legal Service	13,261.00
0	02/22/2012	Recreation Fund	Operating Supplies	Fastenal Company Inc.	Supplies	17.43
0	02/22/2012	Recreation Fund	Operating Supplies	Fastenal Company Inc.	Supplies	9.21
0	02/22/2012	General Fund	Operating Supplies	Fastenal Company Inc.	Supplies	207.46
0	02/22/2012	Storm Drainage	Operating Supplies	Fastenal Company Inc.	Supplies	208.43
0	02/22/2012	General Fund	Clothing	North Image Apparel, Inc.	Credit Memo	-210.00
0	02/22/2012	Sanitary Sewer	Memberships & Subscriptions	North Image Apparel, Inc.	Clothing	383.75
0	02/22/2012	Water Fund	Clothing	North Image Apparel, Inc.	Clothing	159.25
0	02/22/2012	General Fund	Clothing	North Image Apparel, Inc.	Clothing	320.00
0	02/22/2012	P & R Contract Maintenance	Clothing	North Image Apparel, Inc.	Clothing	146.00
0	02/22/2012	Storm Drainage	Contract Maintenance	Infratech, Inc.	Concrete Joints Repair	11,483.08
0	02/22/2012	P & R Contract Maintenance	Operating Supplies	Turfwerks	Service Labor	171.89
Check Total:						135,445.49
0	02/28/2012	Sanitary Sewer	Postage	Ecoenvelopes, LLC	Utility Billing Section 2	431.80
0	02/28/2012	Water Fund	Postage	Ecoenvelopes, LLC	Utility Billing Section 2	431.80
0	02/28/2012	Storm Drainage	Postage	Ecoenvelopes, LLC	Utility Billing Section 2	431.80

Check Number	Check Date	Fund Name	Account Name	Vendor Name	Invoice Desc.	Amount
Check Total:						1,295.40
0	03/01/2012	Sanitary Sewer	Metro Waste Control Board	Metropolitan Council	Waste Water Services	216,212.95
0	03/01/2012	General Fund	Capital Outlay	MES, Inc.	Structural Boots	9,285.00
0	03/01/2012	General Fund	Capital Outlay	MES, Inc.	Pants	39,766.40
0	03/01/2012	General Fund	Vehicle Supplies	MES, Inc.	Guide Bar, D8 Kit	587.77
0	03/01/2012	Sanitary Sewer	Professional Services	City of Maplewood	Engineering Costs-JPA	5,992.82
0	03/01/2012	Water Fund	Professional Services	City of Maplewood	Engineering Costs-JPA	5,992.82
0	03/01/2012	Storm Drainage	Professional Services	City of Maplewood	Engineering Costs-JPA	5,992.82
0	03/01/2012	Water Fund	Operating Supplies	Bryan Rock Products, Inc.	CL 5	1,057.62
0	03/01/2012	Water Fund	Operating Supplies	Bryan Rock Products, Inc.	CL 5	1,057.62
0	03/01/2012	General Fund	211000 - Deferered Comp.	ICMA Retirement Trust 457-300227	Payroll Deduction for 2/21 Payroll	4,779.05
0	03/01/2012	General Fund	210501 - PERA Life Ins. Ded.	NCPERS Life Ins#7258500	Payroll Deduction for Feb 21 Payroll	32.00
0	03/01/2012	General Fund	210700 - Minnesota Benefit Ded	MN Benefit Association	Payroll Deduction for 2/21 Payroll	1,316.01
0	03/01/2012	Municipal Jazz Band	Professional Services	Glen Newton	Big Band Director-Feb 2012	250.00
0	03/01/2012	General Fund	211403 - Flex Spend Day Care		Dependent Care Reimbursement	217.39
0	03/01/2012	General Fund	211402 - Flex Spending Health		Flexible Benefit Reimbursement	177.48
0	03/01/2012	General Fund	211402 - Flex Spending Health		Flexible Benefit Reimbursement	500.00
0	03/01/2012	Recreation Fund	Professional Services	Valene Downing	Fitness Instruction	147.00
0	03/01/2012	Housing & Redevelopment Agency	Miscellaneous	Jeanne Kelsey	Supplies Reimbursment	83.48
0	03/01/2012	Recreation Fund	Operating Supplies	Laura Linder	Supplies Reimbursement	49.98
0	03/01/2012	License Center	Transportation	Mary Dracy	Mileage Reimbursement	118.77
0	03/01/2012	Water Fund	Water Meters	Goodin Corp.	Flanges	1,657.50
0	03/01/2012	Water Fund	Water Meters	Goodin Corp.	Flanges	1,138.47
0	03/01/2012	Water Fund	Water Meters	Goodin Corp.	Galvanized Steel	35.44
0	03/01/2012	Water Fund	Water Meters	Goodin Corp.	Rectorseal	45.36
0	03/01/2012	Sanitary Sewer	Operating Supplies	Goodin Corp.	PVC Pipe, Coupling	40.89
0	03/01/2012	TIF District #17-Twin Lakes	Professional Services	SRF Consulting Group, Inc.	Twin Lakes Pkwy Professional Servic	452.90
0	03/01/2012	Contracted Engineering Svcs	Deposits	SRF Consulting Group, Inc.	Twin Lakes Walmart Traffic Study	2,488.29
0	03/01/2012	Telecommunications	Printing	Greenhaven Printing	Newsletter Printing	5,640.00
0	03/01/2012	General Fund	Vehicle Supplies	Rigid Hitch Incorporated	2012 Blanket PO for Vehicle Repairs	26.19
0	03/01/2012	Recreation Fund	Operating Supplies	Metro Athletic Supply, Inc.	Softballs	1,536.86
0	03/01/2012	General Fund	Vehicle Supplies	Factory Motor Parts, Co.	2012 Blanket PO For Vehicle Repairs	72.66
0	03/01/2012	General Fund	Vehicle Supplies	Catco Parts & Service Inc	2012 Blanket PO For Vehicle Repairs	41.72
0	03/01/2012	General Fund	Vehicle Supplies	Catco Parts & Service Inc	2012 Blanket PO For Vehicle Repairs	208.43
0	03/01/2012	Sanitary Sewer	Operating Supplies	Flexible Pipe Tool Company	Sewer Hose	1,923.75
0	03/01/2012	General Fund	Vehicle Supplies	Cushman Motor Co Inc	2012 Blanket PO for Vehicle Repairs	1,081.68
0	03/01/2012	General Fund	Vehicle Supplies	McMaster-Carr Supply Co	2012 Blanket PO for Vehicle Repairs	52.89
0	03/01/2012	General Fund	209001 - Use Tax Payable	McMaster-Carr Supply Co	Sales/Use Tax	-3.40
0	03/01/2012	General Fund	Vehicle Supplies	Able Hose & Rubber Inc	Fire Hose, Clamp	57.78
0	03/01/2012	Sanitary Sewer	Operating Supplies	MacQueen Equipment	Blades	284.82
0	03/01/2012	Sanitary Sewer	Operating Supplies	MacQueen Equipment	Seal, Ball Socket	192.87
0	03/01/2012	General Fund	Vehicle Supplies	Napa Auto Parts	2012 Blanket PO for Vehicle Repairs	109.34

Check Number	Check Date	Fund Name	Account Name	Vendor Name	Invoice Desc.	Amount
0	03/01/2012	General Fund	209001 - Use Tax Payable	Napa Auto Parts	Sales/Use Tax	-7.03
0	03/01/2012	General Fund	Vehicle Supplies	Napa Auto Parts	2012 Blanket PO for Vehicle Repairs	6.21
0	03/01/2012	General Fund	209001 - Use Tax Payable	Napa Auto Parts	Sales/Use Tax	-0.40
0	03/01/2012	General Fund	Vehicle Supplies	Napa Auto Parts	2012 Blanket PO for Vehicle Repairs	68.14
0	03/01/2012	General Fund	209001 - Use Tax Payable	Napa Auto Parts	Sales/Use Tax	-4.38
0	03/01/2012	General Fund	Vehicle Supplies	Napa Auto Parts	2012 Blanket PO for Vehicle Repairs	8.82
0	03/01/2012	General Fund	209001 - Use Tax Payable	Napa Auto Parts	Sales/Use Tax	-0.57
0	03/01/2012	Sanitary Sewer	Professional Services	Jeff's S.O.S. Drain Cleaning, Corp.	Sewer Line Video Inspection	395.00
0	03/01/2012	General Fund	Contract Maintenance	Ancom Communications, Inc.	SWAT Team Radio Optimizing	765.00
0	03/01/2012	Water Fund	Operating Supplies	Viking Industrial Center	Body Harness	142.54
0	03/01/2012	Recreation Fund	Professional Services	Metro Volleyball Officials	Volleyball Officiating	1,182.50
0	03/01/2012	General Fund	Professional Services	Erickson, Bell, Beckman & Quinn P.A.	Legal Service-Prosecution	12,063.00
0	03/01/2012	Recreation Fund	Operating Supplies	Fikes, Inc.	Roll Towes, Can Liners	346.28
0	03/01/2012	General Fund	Motor Fuel	Yocum Oil	2012 Blanket PO for Fuel - State cont	12,712.61
0	03/01/2012	Recreation Fund	Memberships & Subscriptions	DMX Music, Inc.	Skating Center Music	151.38
0	03/01/2012	General Fund	Utilities	Xcel Energy	Civil Defense	64.59
0	03/01/2012	Golf Course	Utilities	Xcel Energy	Golf	381.52
0	03/01/2012	General Fund	Utilities	Xcel Energy	Fire Stations	2,320.61
0	03/01/2012	P & R Contract Maintenance	Utilities	Xcel Energy	P&R	2,374.41
0	03/01/2012	Sanitary Sewer	Utilities	Xcel Energy	Sewer	84.72
0	03/01/2012	Recreation Fund	Utilities	Xcel Energy	Skating	19,138.41
0	03/01/2012	General Fund	Utilities	Xcel Energy	Traffic Signal & Street Lights	3,140.75
0	03/01/2012	Storm Drainage	Utilities	Xcel Energy	Storm Water	-3.98
0	03/01/2012	General Fund	Utilities	Xcel Energy	Street Light	12,522.90
0	03/01/2012	General Fund	Shop Supplies	Safety Kleen Systems, Inc.	Cleaning Supplies	288.97
0	03/01/2012	Recreation Fund	Operating Supplies	Sherwin Williams	Paint Supplies	57.52
0	03/01/2012	General Fund	Vehicle Supplies	Gopher Bearing. Corp.	Mounted Units	81.14
0	03/01/2012	Recreation Fund	Operating Supplies	Gopher Bearing. Corp.	Chain Parts, Tools	76.91
0	03/01/2012	General Fund	Vehicle Supplies	Gopher Bearing. Corp.	Mounted Units	147.96
0	03/01/2012	Information Technology	Operating Supplies	Newegg Computers, Inc.	Computer Supplies	135.20
0	03/01/2012	Information Technology	Use Tax Payable	Newegg Computers, Inc.	Sales/Use Tax	-8.70
0	03/01/2012	General Fund	Vehicle Supplies	L-Z Truck Equipment Co Inc	2012 Blanket PO for Vehicle Repairs	156.60
0	03/01/2012	Sanitary Sewer	Operating Supplies	General Industrial Supply Co.	Work Gloves	163.51
0	03/01/2012	Sanitary Sewer	Operating Supplies	General Industrial Supply Co.	Cutter Head	127.43
0	03/01/2012	Sanitary Sewer	Operating Supplies	General Industrial Supply Co.	Supplies	122.18
0	03/01/2012	Water Fund	Operating Supplies	General Industrial Supply Co.	Rope Cable	243.73
0	03/01/2012	Recreation Fund	Operating Supplies	Grainger Inc	Wire Connector, Ballasts	72.19
0	03/01/2012	Recreation Fund	Operating Supplies	Grainger Inc	Batteries	72.70
0	03/01/2012	Recreation Fund	Operating Supplies	Grainger Inc	Air Filters	26.03
0	03/01/2012	Recreation Fund	Operating Supplies	Grainger Inc	Air Filters, Lamps	71.57
0	03/01/2012	Recreation Fund	Operating Supplies	Grainger Inc	Ballasts, Lamps	84.13
0	03/01/2012	Recreation Fund	Operating Supplies	Grainger Inc	Coupler Inserts	17.34
0	03/01/2012	General Fund	Employee Recognition	Grainger Inc	Multitools	536.89
0	03/01/2012	Recreation Fund	Operating Supplies	Grainger Inc	Sprayers, Brushes	53.94

Check Number	Check Date	Fund Name	Account Name	Vendor Name	Invoice Desc.	Amount
0	03/01/2012	General Fund	Training	Eagle Clan, Inc	Roll Towels	80.16
0	03/01/2012	General Fund	Operating Supplies City Garage	Eagle Clan, Inc	Roll Towels, Toilet Tissue	248.90
0	03/01/2012	General Fund	Vehicle Supplies	Emergency Automotive Tech Inc	2012 Blanket PO for Vehicle Repairs	243.89
0	03/01/2012	General Fund	Vehicle Supplies	Larson Companies	2012 Blanket PO for Vehicle Repairs	41.17
0	03/01/2012	General Fund	Vehicle Supplies	Larson Companies	2012 Blanket PO for Vehicle Repairs	41.17
0	03/01/2012	Recreation Fund	Contract Maintenance	Green View Inc.	Ice Arena Cleaning	3,687.63
0	03/01/2012	General Fund	Vehicle Supplies	Fastenal Company Inc.	Supplies	390.91
0	03/01/2012	Water Fund	Operating Supplies	Fastenal Company Inc.	Supplies	117.68
0	03/01/2012	Storm Drainage	Operating Supplies	Ramy Turf Products	Futerra Netless	91.59
0	03/01/2012	General Fund	Office Supplies	Innovative Office Solutions	Office Supplies	6.03
0	03/01/2012	General Fund	Office Supplies	Innovative Office Solutions	Office Supplies	15.80
0	03/01/2012	Sanitary Sewer	Office Supplies	Innovative Office Solutions	Office Supplies	15.80
0	03/01/2012	Storm Drainage	Office Supplies	Innovative Office Solutions	Office Supplies	15.80
0	03/01/2012	Community Development	Office Supplies	Innovative Office Solutions	Office Supplies	124.76
0	03/01/2012	Storm Drainage	Contract Maintenance	Infratech, Inc.	Storm Sewer Repair	770.00
0	03/01/2012	Water Fund	Operating Supplies	Ferguson Waterworks	Qty 130 1-1/2 " T10 Meter Gal E-Coc	463.44
0	03/01/2012	Water Fund	Operating Supplies	Ferguson Waterworks	Qty 130 1-1/2 " T10 Meter Gal E-Coc	374.06
0	03/01/2012	Water Fund	Other Improvements	Ferguson Waterworks	Qty 400 R450 wall Miu Assy w/25' P	34,760.00
0	03/01/2012	Water Fund	Other Improvements	Ferguson Waterworks	Qty 5 R450 High Gain Assy	616.25
0	03/01/2012	Water Fund	Other Improvements	Ferguson Waterworks	Meters	2,529.32
0	03/01/2012	Water Fund	Water Meters	Ferguson Waterworks	Qty 130 1-1/2 " T10 Meter Gal E-Coc	42,902.68
0	03/01/2012	Water Fund	Water Meters	Ferguson Waterworks	Qty 130 1-1/2 " T10 Meter Gal E-Coc	1,068.75
0	03/01/2012	Water Fund	Water Meters	Ferguson Waterworks	Qty 130 1-1/2 " T10 Meter Gal E-Coc	15,043.99
0	03/01/2012	Water Fund	Water Meters	Ferguson Waterworks	Qty 130 1-1/2 " T10 Meter Gal E-Coc	406.66
0	03/01/2012	Water Fund	Water Meters	Ferguson Waterworks	Qty 130 1-1/2 " T10 Meter Gal E-Coc	1,745.17
0	03/01/2012	Water Fund	Professional Services	Ferguson Waterworks	Qty 130 1-1/2 " T10 Meter Gal E-Coc	1,800.00
0	03/01/2012	General Fund	Vehicle Supplies	MacQueen Equipment	2012 Blanket PO for Vehicle Repairs	163.39
0	03/01/2012	General Fund	Vehicle Supplies	MacQueen Equipment	2012 Blanket PO for Vehicle Repairs	582.86
Check Total:						489,429.55
65544	02/22/2012	Recreation Fund	Professional Services	AARP	AARP Driving Class	366.00
Check Total:						366.00
65545	02/22/2012	Recreation Fund	Professional Services	AARP	AARP Driving Class	136.00
Check Total:						136.00
65546	02/22/2012	General Fund	Contract Maintenance	Advanced Waterjet Technologies, LLC	Reflective Sheeting Removal	707.27
Check Total:						707.27
65547	02/22/2012	General Fund	Memberships & Subscriptions	AMEM	Annual Dues	100.00
Check Total:						100.00

Check Number	Check Date	Fund Name	Account Name	Vendor Name	Invoice Desc.	Amount
65548	02/22/2012	Recreation Fund	Professional Services	Madeline Bean	Assistant Dance Instructor	42.00
					Check Total:	42.00
65549	02/22/2012	License Center	Contract Maintenance	Brite-Way Window Cleaning Sv	License Center Window Cleaning	29.00
					Check Total:	29.00
65550	02/22/2012	General Fund	Operating Supplies City Garage	C L Bensen Company, Inc.	DP40 Pleated	103.17
					Check Total:	103.17
65551	02/22/2012	Recreation Fund	Professional Services	Champion Youth	Safety Awareness/ Self Defense Instru	2,020.20
					Check Total:	2,020.20
65552	02/22/2012	General Fund	Clothing	Cintas Corporation #470	Uniform Cleaning	30.60
65552	02/22/2012	P & R Contract Maintenance	Clothing	Cintas Corporation #470	Uniform Cleaning	8.60
65552	02/22/2012	P & R Contract Maintenance	Clothing	Cintas Corporation #470	Uniform Cleaning	8.60
65552	02/22/2012	General Fund	Clothing	Cintas Corporation #470	Uniform Cleaning	30.60
					Check Total:	78.40
65553	02/22/2012	Information Technology	Telephone	Comcast Cable	High Speed Internet, Cable TV	147.14
					Check Total:	147.14
65554	02/22/2012	Charitable Gambling	Professional Services - Bingo	Cornell Kahler Shidell & Mair	Midwest Speedskating-January Bingc	2,245.32
					Check Total:	2,245.32
65555	02/22/2012	General Fund	Conferences	Donald Salverda & Associates	Effective Management Class-Malinen	600.00
					Check Total:	600.00
65556	02/22/2012	Recreation Fund	Professional Services	Sharon Eaton	Preschool Contract	150.00
65556	02/22/2012	Recreation Fund	Professional Services	Sharon Eaton	Preschool Contract	180.00
					Check Total:	330.00
65557	02/22/2012	General Fund	Clothing	Maia Gardner	Supplies Reimbursement	132.00
					Check Total:	132.00
65558	02/22/2012	Recreation Fund	Operating Supplies	Douglas Hefti	Cribbage Leage Prizes	30.00
					Check Total:	30.00
65559	02/22/2012	Recreation Fund	Operating Supplies	Houghton Chemical Corporation	Wintrex	483.84
					Check Total:	483.84
65560	02/22/2012	Recreation Fund	Advertising	It's Time Publications, LLC	HANC Advertising	190.00

Check Number	Check Date	Fund Name	Account Name	Vendor Name	Invoice Desc.	Amount
65560	02/22/2012	Recreation Fund	Professional Services	It's Time Publications, LLC	Theatre, Sports, Summer Spec. Adver	95.00
65560	02/22/2012	Recreation Fund	Professional Services	It's Time Publications, LLC	Theatre, Sports, Summer Spec. Adver	95.00
65560	02/22/2012	Recreation Fund	Professional Services	It's Time Publications, LLC	Theatre, Sports, Summer Spec. Adver	95.00
65561	02/22/2012	Risk Management	Training	League of MN Cities	Check Total: Regional Safety Groups Training	475.00 600.00
65562	02/22/2012	Community Development	Development Escrow	Lexington Properties, LLC	Check Total: Partial Landscape Guarantee Reimbui	600.00 12,687.50
65563	02/22/2012	General Fund	211403 - Flex Spend Day Care		Check Total: Dependent Care Reimbursement	12,687.50 300.00
65564	02/22/2012	General Fund	Memberships & Subscriptions	MCPA	Check Total: 2012 Membership Dues-Mahmud	300.00 45.00
65565	02/22/2012	Recreation Fund	Memberships & Subscriptions	MN Dept of Public Safety	Check Total: Annual Tier II Reporting	45.00 100.00
65566	02/22/2012	HRA Property Abatement Program	Payments to Contractors	Mr. Handyman, LLC	Check Total: Safety Fence Repair-1770 Stanbridge	100.00 115.00
65567	02/22/2012	Special "10" Fund	Professional Service	No Suburban Community Foundati	Check Total: Remit Proceeds	115.00 16,000.00
65568	02/22/2012	Telecommunications	Memberships & Subscriptions	North Suburban Comm Commission	Check Total: 2012 City Contributions	16,000.00 92,421.06
65569	02/22/2012	Recreation Fund	Advertising	Pioneer Press	Check Total: Craft Fair Advertising	92,421.06 84.00
65570	02/22/2012	Recreation Fund	Postage	Postmaster	Check Total: Brochure Postage-Acct 2437	84.00 4,900.00
65571	02/22/2012	General Fund	211400 - Medical Ins Employee	Katherine Salverda	Check Total: Cobra Over Payment Refund	4,900.00 5.36
65572	02/22/2012	Golf Course	Operating Supplies	Sam's Club	Check Total: Annual Membership-Golf Course Sta	5.36 70.00

Check Number	Check Date	Fund Name	Account Name	Vendor Name	Invoice Desc.	Amount
65573	02/22/2012	Recreation Fund	Professional Services	Melissa Schuler	Check Total:	70.00
					Assistant Dance Instructor	66.50
65574	02/22/2012	General Fund	Employee Recognition	Louis Sorrell	Check Total:	66.50
					Recognition Dinner Entertainment	500.00
65575	02/22/2012	Recreation Fund	Operating Supplies	Stanley Security Solutions, Inc.	Check Total:	500.00
					Supplies	12.27
65576	02/22/2012	Housing & Redevelopment Agency	Operating Supplies	Patrick Trudgeon	Check Total:	12.27
					Home & Garden Fair Posters Reimbu	38.52
65577	02/22/2012	Police - DWI Enforcement	Professional Services	Twin Cities Transport & Recove	Check Total:	38.52
					Towing Service	90.84
65577	02/22/2012	Police - DWI Enforcement	Professional Services	Twin Cities Transport & Recove	Towing Service	267.60
65578	02/22/2012	Community Development	Deposits	United Properties	Check Total:	358.44
					Construction Deposit Refund-3008 Cl	5,000.00
65578	02/22/2012	Community Development	Deposits	United Properties	Construction Deposit Refund-3010 Cl	5,000.00
65579	02/22/2012	Recreation Fund	Contract Maintenance	US Environmental Resources	Check Total:	10,000.00
					Consulting Service	350.00
65580	02/22/2012	Recreation Fund	Professional Services	Kristina Van Deusen	Check Total:	350.00
					Assistant Dance Instructor	24.00
65581	02/24/2012	Grass Lake Water Mgmt. Org.	Professional Services	Tom Petersen	Check Total:	24.00
						1,732.50
65582	03/01/2012	General Fund	Clothing	Aspen Mills Inc.	Check Total:	1,732.50
					Boots	109.99
65583	03/01/2012	General Fund	Vehicle Supplies	Auto Plus	Check Total:	109.99
					Permatex Rubber	20.43
65584	03/01/2012	Water Fund	Operating Supplies	Barton Sand & Gravel Co.	Check Total:	20.43
					Samd	2,715.18
					Check Total:	2,715.18

Check Number	Check Date	Fund Name	Account Name	Vendor Name	Invoice Desc.	Amount
65585	03/01/2012	Information Technology	Operating Supplies	CDW Government, Inc.	Cisco Direct CP-BATT	58.39
65585	03/01/2012	Information Technology	Operating Supplies	CDW Government, Inc.	Cisco Direct	414.81
65585	03/01/2012	Information Technology	Operating Supplies	CDW Government, Inc.	Acer Computer Supplies	648.12
Check Total:						1,121.32
65586	03/01/2012	Telephone	PSTN-PRI Access/DID Allocation	CenturyLink	Telephone	39.18
65586	03/01/2012	Telephone	PSTN-PRI Access/DID Allocation	CenturyLink	Telephone	101.98
Check Total:						141.16
65587	03/01/2012	Telephone	PSTN-PRI Access/DID Allocation	CenturyLink	Telephone	9.49
Check Total:						9.49
65588	03/01/2012	Sanitary Sewer	Metro Waste Control Board	City of Lauderdale	1st Quarter Payment-PACAL	522.72
Check Total:						522.72
65589	03/01/2012	General Fund	Miscellaneous	City of Shoreview	Elderly Abuse Forum	50.00
Check Total:						50.00
65590	03/01/2012	Community Development	Development Escrow	CSM Investors, Inc.	Escrow Balance Reimbursement	489.88
Check Total:						489.88
65591	03/01/2012	Recreation Fund	Professional Services	Sara Daily	Assistant Dance Instructor	19.50
Check Total:						19.50
65592	03/01/2012	Information Technology	Contract Maintenance	DC Group, Inc	Quote 98884 - Replacement of UPS C	3,489.01
Check Total:						3,489.01
65593	03/01/2012	Information Technology	Financial Support	Diversified Collection Services, Inc.		210.24
Check Total:						210.24
65594	03/01/2012	General Fund	209001 - Use Tax Payable	Ear Phone	Quick Disconnect Adapter	521.02
65594	03/01/2012	General Fund	209001 - Use Tax Payable	Ear Phone	Sales/Use Tax	-33.52
Check Total:						487.50
65595	03/01/2012	General Fund	211402 - Flex Spending Health		Flexible Benefit Reimbursement	448.92
Check Total:						448.92
65596	03/01/2012	Recreation Fund	Professional Services	Rachel Elias	Assistant Dance Instructor	24.00
Check Total:						24.00
65597	03/01/2012	Police Grants	e-Citation Implementation	ELSAG North America	e-Citation Supplies/Support	22,633.75

Check Number	Check Date	Fund Name	Account Name	Vendor Name	Invoice Desc.	Amount
Check Total:						22,633.75
65598	03/01/2012	General Fund	Professional Services	ESRI, Inc.	ArcView Licenses	371.54
65598	03/01/2012	Storm Drainage	Professional Services	ESRI, Inc.	ArcView Licenses	333.48
65598	03/01/2012	Sanitary Sewer	Professional Services	ESRI, Inc.	ArcView Licenses	333.48
65598	03/01/2012	Community Development	Memberships & Subscriptions	ESRI, Inc.	ArcView Licenses	698.11
65598	03/01/2012	Recreation Improvements	Auto Cad Upgrades	ESRI, Inc.	ArcView Licenses	340.40
Check Total:						2,077.01
65599	03/01/2012	Sanitary Sewer	Josephine Lift Station	Foth Infrastructure & Environmental, LLC	Professional Services	4,474.02
Check Total:						4,474.02
65600	03/01/2012	Water Fund	Operating Supplies	Fra-Dor Inc.	Dirt	135.00
Check Total:						135.00
65601	03/01/2012	General Fund	Operating Supplies	Joe Friedrichs	Supplies Reimbursement	34.24
Check Total:						34.24
65602	03/01/2012	General Fund	Operating Supplies	Grafix Shoppe, Inc.	Non-Reflective Shields	578.33
65602	03/01/2012	General Fund	209001 - Use Tax Payable	Grafix Shoppe, Inc.	Sales/Use Tax	-37.20
Check Total:						541.13
65603	03/01/2012	Information Technology	Operating Supplies	Graybar, Inc.	Fiber Patch Cables	45.26
65603	03/01/2012	Information Technology	Operating Supplies	Graybar, Inc.	Transition Networks	323.94
65603	03/01/2012	Information Technology	Operating Supplies	Graybar, Inc.	Credit Memo	-213.75
Check Total:						155.45
65604	03/01/2012	Housing & Redevelopment Agency	Professional Services	Greater Metropolitan Housing Corp.	Housing Resource Center Services	15,000.00
65604	03/01/2012	Housing & Redevelopment Agency	Professional Services	Greater Metropolitan Housing Corp.	Loan Fees Payment	950.00
Check Total:						15,950.00
65605	03/01/2012	Water Fund	Hydrant Meter Deposits	Gresser Companies, Inc.	Hydrant Meter Refund	700.00
65605	03/01/2012	Water Fund	Water - Roseville	Gresser Companies, Inc.	Hydrant Meter Refund	-35.10
65605	03/01/2012	Water Fund	State Sales Tax Payable	Gresser Companies, Inc.	Hydrant Meter Refund	-2.50
65605	03/01/2012	Water Fund	Miscellaneous Revenue	Gresser Companies, Inc.	Hydrant Meter Refund	-40.00
Check Total:						622.40
65606	03/01/2012	General Fund	Office Supplies	GS Direct, Inc.	Office Supplies	54.36
Check Total:						54.36
65607	03/01/2012	Information Technology	Operating Supplies	Hewlett-Packard Company	LCD Monitor	406.13

Check Number	Check Date	Fund Name	Account Name	Vendor Name	Invoice Desc.	Amount
65607	03/01/2012	Information Technology	Operating Supplies	Hewlett-Packard Company	Computer Equipment	1,908.06
					Check Total:	2,314.19
65608	03/01/2012	Recreation Fund	Operating Supplies	Hillyard, Inc.-Minneapolis	Squeegee Blade	33.62
					Check Total:	33.62
65609	03/01/2012	Singles Program	Operating Supplies	Jean Hoffman	Singles Supplies Reimbursement	52.21
					Check Total:	52.21
65610	03/01/2012	Sanitary Sewer	Accounts Payable	GORDON HOVEY	Refund Check	1.77
					Check Total:	1.77
65611	03/01/2012	General Fund	Vehicle Supplies	HSBC Business Solutions	5000 Watt Power Inver	767.41
					Check Total:	767.41
65612	03/01/2012	Recreation Fund	Memberships & Subscriptions	Ice Skating Institute	Membership Renewal	375.00
					Check Total:	375.00
65613	03/01/2012	General Fund	211600 - PERA Employers Share	ICMA Retirement Trust 401-109956	Payroll Deduction for 2/21 Payroll	542.54
					Check Total:	542.54
65614	03/01/2012	Telephone	PSTN-PRI Access/DID Allocation	Integra Telecom	Telephone	311.12
					Check Total:	311.12
65615	03/01/2012	General Fund	Employee Recognition	Jostens	Tooling	49.00
65615	03/01/2012	General Fund	Employee Recognition	Jostens	Tooling	49.00
					Check Total:	98.00
65616	03/01/2012	Water Fund	Accounts Payable	MARY & CHARLES JUNGSMANN	Refund Check	50.04
					Check Total:	50.04
65617	03/01/2012	General Fund	Police Explorer Program	Keeps Inc	Shirt	6.41
					Check Total:	6.41
65618	03/01/2012	General Fund	Op Supplies - City Hall	Linn Building Maintenance	Cleaning Supplies	122.00
					Check Total:	122.00
65619	03/01/2012	General Fund	Training	MGIA	Conference Registration-Adams	70.00
					Check Total:	70.00

Check Number	Check Date	Fund Name	Account Name	Vendor Name	Invoice Desc.	Amount
65620	03/01/2012	TIF #19 Applewood Point II	Professional Services	MN Dept of Health-Well Mgmt Section	Twin Lakes Well Monitoring	250.00
Check Total:						250.00
65621	03/01/2012	TIF District #17-Twin Lakes	Professional Services	MN Pollution Control	Staff Meeting With Edward Olson	62.50
65621	03/01/2012	TIF District #17-Twin Lakes	Professional Services	MN Pollution Control	Staff Meeting With Edward Olson	62.50
Check Total:						125.00
65622	03/01/2012	Recreation Fund	Operating Supplies	Motion Industries Inc	Supplies	71.86
Check Total:						71.86
65623	03/01/2012	Water Fund	Accounts Payable	MARILYN MUELLNER	Refund Check	5.73
65623	03/01/2012	Sanitary Sewer	Accounts Payable	MARILYN MUELLNER	Refund Check	20.43
Check Total:						26.16
65624	03/01/2012	Water Fund	Accounts Payable	DAVE NECHREBECKI	Refund Check	51.02
Check Total:						51.02
65625	03/01/2012	Sanitary Sewer	Professional Services	Networkfleet, Inc.	Monthly Service-Feb 2012	89.85
Check Total:						89.85
65626	03/01/2012	General Fund	Contract Maint. - City Garage	Overhead Door Co of the Northland	Garage Door Repair	135.40
65626	03/01/2012	General Fund	Contract Maint. - City Hall	Overhead Door Co of the Northland	Garage Door Repair	131.95
65626	03/01/2012	General Fund	Contract Maint. - City Garage	Overhead Door Co of the Northland	Garage Door Repair	191.64
65626	03/01/2012	General Fund	Contract Maint.- Old City Hall	Overhead Door Co of the Northland	Garage Door Repair	381.90
Check Total:						840.89
65627	03/01/2012	General Fund	Training	Greg Peterson	Training Expenses Reimbursement	135.15
Check Total:						135.15
65628	03/01/2012	General Fund	Street Patching	Pipeline Industries	Street Patching Permit Refund	600.00
Check Total:						600.00
65629	03/01/2012	General Fund	Contract Maintenance Vehicles	Pirtek Midway	Vehicle Repair	309.63
Check Total:						309.63
65630	03/01/2012	General Fund	HSA Employee	Premier Bank	HSA	1,407.65
65630	03/01/2012	Contracted Engineering Svcs	HSA Employee	Premier Bank	HSA	20.00
65630	03/01/2012	Recreation Fund	HSA Employee	Premier Bank	HSA	404.22
65630	03/01/2012	P & R Contract Maintenance	HSA Employee	Premier Bank	HSA	230.76
65630	03/01/2012	Community Development	HSA Employee	Premier Bank	HSA	79.61
65630	03/01/2012	License Center	HSA Employee	Premier Bank	HSA	38.46

Check Number	Check Date	Fund Name	Account Name	Vendor Name	Invoice Desc.	Amount
65631	03/01/2012	Recreation Fund	Professional Services	Bill Pringle	Check Total:	2,180.70
					Broomball Officiating	744.00
65632	03/01/2012	Solid Waste Recycle	Memberships	Product Stewardship Institute	Check Total:	744.00
					Partnership Renewal	50.00
65633	03/01/2012	General Fund	Op Supplies - City Hall	Ramsey County	Check Total:	50.00
					Fleet Support Fee-January 2012	15.60
					Fleet Support Fee-February 2012	215.28
					Emergency Vehicle Pre-Emption	2,135.64
65634	03/01/2012	General Fund	Operating Supplies City Garage	Ramsey County	Check Total:	2,366.52
					Hazardous Waste Generator License	153.26
65634	03/01/2012	Golf Course	Contract Maintenance	Ramsey County	Hazardous Waste Generator License	77.25
65635	03/01/2012	General Fund	Professional Services	Ramsey County Prop Rec & Rev	Check Total:	230.51
					Recording Fee	46.00
65636	03/01/2012	Storm Drainage	Professional Services	Rice Creek Watershed District	Check Total:	46.00
					Stormwater Thief Video Production	500.00
65637	03/01/2012	Recreation Fund	Overpayment of Program Fees	Roseville Area Schools	Check Total:	500.00
					Overpayment Refund	18.00
65638	03/01/2012	Golf Course	Operating Supplies	Sam's Club	Check Total:	18.00
					Operational Supplies	500.00
65638	03/01/2012	Golf Course	Merchandise For Sale	Sam's Club	Operational Supplies	1,000.00
65639	03/01/2012	Recreation Fund	Professional Services	Reed Schillenman	Check Total:	1,500.00
					Volunteer Appreciation Entertainment	200.00
65640	03/01/2012	Recreation Fund	Professional Services	Melissa Schuler	Check Total:	200.00
					Assistant Dance Instructor	80.50
65641	03/01/2012	Sanitary Sewer	CIPP Sewer Lining	SGC Horizon, LLC	Check Total:	80.50
					2012 Sanitary Sewer Main	148.75
65642	03/01/2012	Recreation Fund	Professional Services	George Sigstad	Check Total:	148.75
					Broomball Officiating	744.00

Check Number	Check Date	Fund Name	Account Name	Vendor Name	Invoice Desc.	Amount
Check Total:						744.00
65643	03/01/2012	Water Fund	Accounts Payable	DANIEL SPANGLE	Refund Check	26.10
65643	03/01/2012	Sanitary Sewer	Accounts Payable	DANIEL SPANGLE	Refund Check	12.72
Check Total:						38.82
65644	03/01/2012	Central Svcs Equip Revolving	Other Improvements	Springbrook Software, Inc.	Contract Payment	11,652.50
65644	03/01/2012	Central Svcs Equip Revolving	Other Improvements	Springbrook Software, Inc.	Credit Memo	-2,000.00
65644	03/01/2012	Central Svcs Equip Revolving	Other Improvements	Springbrook Software, Inc.	Credit Memo	-3,525.00
Check Total:						6,127.50
65645	03/01/2012	General Fund	Telephone	Sprint	Cell Phones	254.04
65645	03/01/2012	Storm Drainage	Telephone	Sprint	Cell Phones	249.99
65645	03/01/2012	General Fund	Telephone	Sprint	Cell Phones	50.38
65645	03/01/2012	Sanitary Sewer	Telephone	Sprint	Cell Phones	192.89
65645	03/01/2012	Recreation Fund	Telephone	Sprint	Cell Phones	121.81
65645	03/01/2012	Recreation Fund	Telephone	Sprint	Cell Phones	24.37
65645	03/01/2012	P & R Contract Maintenance	Telephone	Sprint	Cell Phones	219.70
65645	03/01/2012	Community Development	Telephone	Sprint	Cell Phones	149.41
65645	03/01/2012	General Fund	Telephone	Sprint	Cell Phones	24.37
65645	03/01/2012	General Fund	Telephone	Sprint	Cell Phones	24.37
65645	03/01/2012	General Fund	Telephone	Sprint	Cell Phones	683.08
65645	03/01/2012	General Fund	Telephone	Sprint	Cell Phones	73.07
Check Total:						2,067.48
65646	03/01/2012	Water Fund	St. Paul Water	St. Paul Regional Water Services	Water	304,190.60
Check Total:						304,190.60
65647	03/01/2012	Information Technology	Office Supplies	Staples Business Advantage, Inc.	Office Supplies	109.15
Check Total:						109.15
65648	03/01/2012	P & R Contract Maintenance	Financial Support	Steward, Zlimen & Jungers, LTD	Case #: 09-06243-0	68.90
Check Total:						68.90
65649	03/01/2012	Housing & Redevelopment Agency	Professional Services	Sheila Stowell	HRA Meeting Minutes	195.50
65649	03/01/2012	Housing & Redevelopment Agency	Professional Services	Sheila Stowell	Mileage Reimbursment	4.83
Check Total:						200.33
65650	03/01/2012	General Fund	Vehicle Supplies	Suburban Tire Wholesale, Inc.	2012 Blanket PO For Vehicle Repairs	471.53
Check Total:						471.53

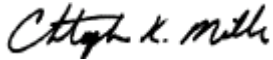
Check Number	Check Date	Fund Name	Account Name	Vendor Name	Invoice Desc.	Amount
65651	03/01/2012	Recreation Fund	Professional Services	Rachel Tadsen	Assistant Dance Instructor	45.00
					Check Total:	45.00
65652	03/01/2012	General Fund Donations	Operating Supplies	Don Thomalla	Recognition Awards Reimbursement	13.52
65652	03/01/2012	General Fund	Employee Recognition	Don Thomalla	Supplies Reimbursement	67.98
					Check Total:	81.50
65653	03/01/2012	Recreation Fund	Transportation		Mileage Reimbursement	8.21
65653	03/01/2012	General Fund	211402 - Flex Spending Health		Flexible Benefit Reimbursement	734.40
					Check Total:	742.61
65654	03/01/2012	Police Forfeiture Fund	Professional Services	Twin Cities Transport & Recove	Towing Charge	90.84
					Check Total:	90.84
65655	03/01/2012	Water Fund	Professional Services	Twin City Water Clinic, Inc.	Coliform Bacteria-Jan 2012	360.00
					Check Total:	360.00
65656	03/01/2012	General Fund	Clothing	Uniforms Unlimited, Inc.	Name Bar	7.47
					Check Total:	7.47
65657	03/01/2012	General Fund Donations	K-9 Supplies	University of Minnesota-VMC	K9 Supplies	63.54
					Check Total:	63.54
65658	03/01/2012	General Fund	Contract Maintenance	Verizon Wireless	Cell Phones	206.20
					Check Total:	206.20
65659	03/01/2012	General Fund	Vehicle Supplies	Vermeer Sales and Service, Corp.	2012 Blanket PO for Vehicle Repairs	1,451.06
65659	03/01/2012	General Fund	Vehicle Supplies	Vermeer Sales and Service, Corp.	2012 Blanket PO for Vehicle Repairs	1,453.98
					Check Total:	2,905.04
65660	03/01/2012	Recreation Donations	Operating Supplies	Walbridge Property Services	Photo Displays	720.00
					Check Total:	720.00
65661	03/01/2012	Water Fund	Professional Services	Water Conservation Service, Inc.	Water Leak Locating	1,635.99
					Check Total:	1,635.99
					Report Total:	1,180,833.51

REQUEST FOR COUNCIL ACTION

Date: 03/12/2012

Item No.: 7.b

Department Approval



City Manager Approval



Item Description: Approval of 2012/2013 Business and Other Licenses

BACKGROUND

Chapter 301 of the City Code requires all applications for business licenses to be submitted to the City Council for approval. The following application(s) is (are) submitted for consideration

Massage Therapist License

Jimari Paige Brown at Massage Envy Roseville
2480 Fairview Ave, Suite 120
Roseville, MN 55113

Massage Therapy Establishment License

LA Sisters LLS
Har Mar Mall
2100 N. Snelling Ave
Roseville, MN 55113

Massage Therapist License

Chun Liu, Jie Swanson at LA Sisters LLS
Har Mar Mall
2100 N. Snelling Ave
Roseville, MN 55113

POLICY OBJECTIVE

Required by City Code

FINANCIAL IMPACTS

The correct fees were paid to the City at the time the application(s) were made.

STAFF RECOMMENDATION

Staff has reviewed the applications and has determined that the applicant(s) meet all City requirements. Staff recommends approval of the license(s).

REQUESTED COUNCIL ACTION

Motion to approve the business license application(s) as submitted.

Prepared by: Chris Miller, Finance Director
Attachments: A: Applications

Massage Therapist License

Massage Envy
2480 Fairview Ave Suite 120
Roseville, MN 55113
Phone: 651-636-4020



Finance Department, License Division
2660 Civic Center Drive, Roseville, MN 55113
(651) 792-7036

Massage Therapy Establishment License Application

Business Name LA SISTERS LLC

Business Address 2100 N. Snelling Ave.
Roseville, MN 55113

Business Phone _____

Email Address lasistersmassage@yahoo.com

Person to Contact in Regard to Business License:

Legal Name _____

Address _____

Phone _____ Date of Birth _____

Drivers License Number _____

I hereby apply for the following license(s) for the term of one year, beginning July 1, 2011, and ending June 31, 2012, in the City of Roseville, County of Ramsey, and State of Minnesota.

License Required

Fee

Massage Therapy Establishment \$300.00

\$150.00 Background Check (new license only)

The undersigned applicant makes this application pursuant to all the laws of the State of Minnesota and regulation as the Council of the City of Roseville may from time to time prescribe, including Minnesota Statue #176.182. In addition, the applicant acknowledges that they are responsible for reviewing the background and work history of their employees, including those that have received a massage therapist license from the City.

I have attached a certificate indicating Workers Compensation coverage, and the appropriate fee(s).

Signature CHUN L LU

Date 2-28-2012

If completed license should be mailed somewhere other than the business address, please advise.



Finance Department, License Division
2660 Civic Center Drive, Roseville, MN 55113
(651) 792-7036

Massage Therapist License

New License X Renewal _____

For License year ending June 30 2012

1. Legal Name CHUN LIU

2. Home Address _____

3. Home Telephone _____

4. Date of Birth _____

5. Drivers License Number _____

6. Email Address _____

7. Have you ever used or been known by any name other than the legal name given in number 1 above?

Yes Yes _____ No X If yes, list each name along with dates and places where used.
Jie Li _____

8. Name and address of the licensed Massage Therapy Establishment that you expect to be employed by.

HAR MAR MALL, 2100 North Snelling Ave Roseville, MN 55113
LA SISTERS LLC

9. Attach a certified copy of a diploma or certificate of graduation from a school of massage therapy including a minimum of 600 hours in successfully completed course work as described in Roseville Ordinance 116, massage Therapy Establishments.

10. Have you had any previous massage therapist license that was revoked, suspended, or not renewed?

Yes _____ No X If yes explain in detail.

License fee is 100.00

Make checks payable to City of Roseville



Finance Department, License Division
2660 Civic Center Drive, Roseville, MN 55113
(651) 792-7036

Massage Therapist License

New License X Renewal _____

For License year ending June 30 2012

1. Legal Name Jill Swanson
2. Home Address _____
3. Home Telephone _____
4. Date of Birth _____
5. Drivers License Number _____
6. Email Address _____
7. Have you ever used or been known by any name other than the legal name given in number 1 above?
Yes _____ No X If yes, list each name along with dates and places where used.

8. Name and address of the licensed Massage Therapy Establishment that you expect to be employed by.
LA Sisters LLS 2100 N. Snelling Ave. Roseville, MN 55113

9. Attach a certified copy of a diploma or certificate of graduation from a school of massage therapy including a minimum of 600 hours in successfully completed course work as described in Roseville Ordinance 116, massage Therapy Establishments.

10. Have you had any previous massage therapist license that was revoked, suspended, or not renewed?
Yes _____ No X If yes explain in detail.

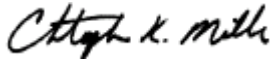
License fee is 100.00

Make checks payable to City of Roseville

REQUEST FOR COUNCIL ACTION

Date: 3/12/2012
Item No.: 7.c

Department Approval



City Manager Approval



Item Description: Approve General Purchases or Sale of Surplus Items Exceeding \$5,000

BACKGROUND

City Code section 103.05 establishes the requirement that all general purchases and/or contracts in excess of \$5,000 be approved by the Council. In addition, State Statutes require that the Council authorize the sale of surplus vehicles and equipment.

General Purchases or Contracts

City Staff have submitted the following items for Council review and approval:

Department	Vendor	Description	Amount
Storm Sewer	Ess Brothers & Sons, Inc.	Blanket P.O. for catch basins and manholes (a)	\$25,000.00
Streets	AAA Striping	2012 Centerline Painting (b)	11,769.38

Comments/Description:

- a) To replace existing manholes and catch basins in accordance with the City's Pavement Maintenance Program. Budget amount is to purchase mortar mix and manhole structures.
- b) Contractual painting of sealcoat and miscellaneous areas for annual street maintenance

Sale of Surplus Vehicles or Equipment

City Staff have identified surplus vehicles and equipment that have been replaced and/or are no longer needed to deliver City programs and services. These surplus items will either be traded in on replacement items or will be sold in a public auction or bid process. The items include the following:

Department	Item / Description

POLICY OBJECTIVE

Required under City Code 103.05.

FINANCIAL IMPACTS

Funding for all items is provided for in the current operating or capital budget.

STAFF RECOMMENDATION

Staff recommends the City Council approve the submitted purchases or contracts for service and, if applicable, authorize the trade-in/sale of surplus items.

26 **REQUESTED COUNCIL ACTION**

27 Motion to approve the submitted list of general purchases, contracts for services, and if applicable the
28 trade-in/sale of surplus equipment.

29

30

Prepared by: Chris Miller, Finance Director

Attachments: A: None

31

REQUEST FOR COUNCIL ACTION

Date: 3/12/2012

Item No.: 7.d

Department Approval



City Manager Approval



Item Description: Award Contract for Engineering Services for an update to the City's Comprehensive Surface Water Management Plan

BACKGROUND

The City of Roseville is required by State Statute to have a local water management plan, capital improvement program, and official controls as necessary to bring local water management into conformance with the watershed district plans. The City's first Comprehensive Surface Water Management Plan (CSWMP) was adopted in 1990 with an update in 2003. The City boundaries are within three watersheds; Rice Creek Watershed, Capitol Region Watershed, and Grass Lake WMO. All three of these organizations have recently updated their watershed district plans. The City is required to prepare amendments to our CSWMP within 2 years of the watersheds updating their plans. The schedule we propose will allow us to have an updated plan by the end of 2012.

To accomplish this, staff developed a scope of work for the engineering services needed to develop the City's Third Generation Comprehensive Surface Water Management Plan. The request for proposals was developed using the Best Value process to evaluate the individual proposals. In February, we solicited proposals from six consultants. We received 4 proposals for this work and have reviewed and scored them utilizing the evaluation areas and their respective possible points as show in the table below.

Evaluation Criteria	Possible Points
Fees Proposal	40
Project Scope Understanding	30
Background and Qualifications	20
Past Performance Survey	10
Total possible points	100

The following are the proposals received and the average staff scores:

Consultant Name	Average Score	Cost
SEH, Inc.	91	\$69,950
EOR, Inc.	85	\$73,713
Foth Infrastructure & Engineering, LLC	63	\$79,176

TKDA	62	\$83,100
------	----	----------

Copies of each proposal are available in the Public Works Department. Staff has checked references and is recommending award of contract to SEH, Inc. as the best value firm for this work.

As a part of their proposal, SEH identified some value added services that staff would like to include in the scope of services for this project. These are summarized in a memo attached to Exhibit B of the agreement.

The first service is additional public involvement. We had initially identified 3 public meetings and 3 technical advisory meetings during the course of plan development. SEH suggested that we have additional meetings with the lake homeowners associations and the Park and Recreation Commission in order to receive feedback from them on the plan. This would also be critical for successful coordination of our proposed capital improvement plan with the parks master plan implementation. Additional cost: \$2,000

The second is for assistance with developing a web presence on the city's website. This would include developing the pages for posting updates during the planning process, posting the final product online, providing a resource for residents and businesses regarding protecting our water resources. Additional cost: \$1,000.

POLICY OBJECTIVE

Staff seeks to find the most cost effective purchasing opportunities to meet budgetary and operational objectives.

FINANCIAL IMPLICATIONS

We are anticipating that the city's cost for this improvement will be funded by the Storm Utility fund. The total not to exceed amount for this contract is \$74,555. This cost includes estimated reimbursable expenses and the additional work described above. The budgeted amount for the plan update is \$100,000.

STAFF RECOMMENDATION

Staff recommends approval of a contract with the best value engineering firm.

REQUESTED COUNCIL ACTION

Motion awarding an engineering services contract to SEH, Inc. in the not to exceed amount of \$72,950 for engineering services for the Comprehensive Surface Water Management Plan Update.

Prepared by: Debra Bloom, City Engineer
Attachments: A: Contract

Standard Agreement for Professional Services Comprehensive Surface Water Management Plan

This Agreement ("Agreement") is made on the _____ day of _____, _____, between the City of Roseville, a municipal corporation (hereinafter "City"), and Short Elliot Hendrickson, Inc, a _____ (hereinafter "Consultant").

Preliminary Statement

The City has adopted a policy regarding the selection and hiring of consultants to provide a variety of professional services for City projects. That policy requires that persons, firms or corporations providing such services enter into written agreements with the City. The purpose of this Agreement is to set forth the terms and conditions for the performance of professional services by the Consultant.

The City and Consultant agree as follows:

1. **Scope of Work Proposal.** The Consultant agrees to provide the professional services shown in Exhibit "A" attached hereto ("Work") in consideration for the compensation set forth in Provision 3 below. The terms of this Agreement shall take precedence over and supersede any provisions and/or conditions in any proposal submitted by the Consultant.
2. **Term.** The term of this Agreement shall be from March 12, 2012, through March 12, 2013, the date of signature by the parties notwithstanding.
3. **Compensation for Services.** The City agrees to pay the Consultant the compensation described in Exhibit B attached hereto for the Work, subject to the following:
 - A. Any changes in the Work which may result in an increase to the compensation due the Consultant shall require prior written approval of the City. The City will not pay additional compensation for Work that does not have such prior written approval.
 - B. Third party independent contractors and/or subcontractors may be retained by the Consultant when required by the complex or specialized nature of the Work when authorized in writing by the City. The Consultant shall be responsible for and shall pay all costs and expenses payable to such third party contractors unless otherwise agreed to by the parties in writing.
4. **City Representative and Special Requirements:**
 - A. Debra Bloom shall act as the City's representative with respect to the Work to be performed under this Agreement. Such representative shall have authority to transmit instructions, receive information and interpret and define the City's policies and decisions with respect to the Work to be performed under this Agreement, but shall not have the right to enter into contracts or make binding agreements on behalf of the City with respect to the Work or this Agreement. The City may change the City's representative at any time by notifying the Consultant of such change in writing.
 - B. In the event that the City requires any special conditions or requirements relating to the Work and/or this Agreement, such special conditions and requirements are stated in Exhibit C attached hereto. The parties agree that such special conditions and requirements are incorporated into and made a binding part of this Agreement and the Consultant agrees to

perform the Work in accordance with, and that this Agreement shall be subject to, the conditions and requirements set forth in Exhibit C.

5. **Method of Payment.** The Consultant shall submit to the City, on a monthly basis, an itemized invoice for Work performed under this Agreement. Invoices submitted shall be paid in the same manner as other claims made to the City. Invoices shall contain the following:

- A. For Work reimbursed on an hourly basis, the Consultant shall indicate for each employee, his or her name, job title, the number of hours worked, rate of pay for each employee, a computation of amounts due for each employee, and the total amount due for each project task. For all other Work, the Consultant shall provide a description of the Work performed and the period to which the invoice applies. For reimbursable expenses, if provided for in Exhibit A, the Consultant shall provide an itemized listing and such documentation of such expenses as is reasonably required by the City. In addition to the foregoing, all invoices shall contain, if requested by the City, the City's project number, a progress summary showing the original (or amended) amount of the Agreement, the current billing, past payments, the unexpended balance due under the Agreement, and such other information as the City may from time to time reasonably require.
- B. To receive any payment pursuant to this Agreement, the invoice must include the following statement dated and signed by the Consultant: "I declare under penalty of perjury that this account, claim, or demand is just and correct and that no part of it has been paid."

The payment of invoices shall be subject to the following provisions:

- A. The City shall have the right to suspend the Work to be performed by the Consultant under this Agreement when it deems necessary to protect the City, residents of the City or others who are affected by the Work. If any Work to be performed by the Consultant is suspended in whole or in part by the City, the Consultant shall be paid for any services performed prior to the delivery upon the Consultant of the written notice from the City of such suspension.
- B. The Consultant shall be reimbursed for services performed by any third party independent contractors and/or subcontractors only if the City has authorized the retention of and has agreed to pay such persons or entities pursuant to Section 3B above.

6. **Project Manager and Staffing.** The Consultant has designated Mark Lobermeier and Ron Leaf ("Project Contacts") to perform and/or supervise the Work, and as the persons for the City to contact and communicate with regarding the performance of the Work. The Project Contacts shall be assisted by other employees of the Consultant as necessary to facilitate the completion of the Work in accordance with the terms and conditions of this Agreement. The Consultant may not remove or replace the Project Contacts without the prior approval of the City.
7. **Standard of Care.** All Work performed by the Consultant under this Agreement shall be in accordance with the normal standard of care in Ramsey County, Minnesota, for professional services of like kind.
8. **Audit Disclosure.** Any reports, information, data and other written documents given to, or prepared or assembled by the Consultant under this Agreement which the City requests to be kept confidential shall not be made available by the Consultant to any individual or organization without the City's prior written approval. The books, records, documents and accounting procedures and practices of the Consultant or other parties relevant to this Agreement are subject to examination by the City and either the Legislative Auditor or the State Auditor for a period of six (6) years after the effective date of this Agreement. The Consultant shall at all times abide by Minn. Stat. § 13.01 et seq. and the

Minnesota Government Data Practices Act, to the extent the Act is applicable to data, documents, and other information in the possession of the Consultant.

9. **Termination.** This Agreement may be terminated at any time by the City, with or without cause, by delivering to the Consultant at the address of the Consultant set forth in Provision 26 below, a written notice at least ten (10) days prior to the date of such termination. The date of termination shall be stated in the notice. Upon termination the Consultant shall be paid for services rendered (and reimbursable expenses incurred if required to be paid by the City under this Agreement) by the Consultant through and until the date of termination so long as the Consultant is not in default under this Agreement. If the City terminates this Agreement because the Consultant is in default of its obligations under this Agreement, no further payment shall be payable or due to the Consultant following the delivery of the termination notice, and the City may, in addition to any other rights or remedies it may have at law or in equity, retain another consultant to undertake or complete the Work to be performed hereunder.
10. **Subcontractor.** The Consultant shall not enter into subcontracts for services provided under this Agreement without the express written consent of the City. The Consultant shall promptly pay any subcontractor involved in the performance of this Agreement as required by the State Prompt Payment Act.
11. **Independent Consultant.** At all times and for all purposes herein, the Consultant is an independent contractor and not an employee of the City. No statement herein shall be construed so as to find the Consultant an employee of the City.
12. **Non-Discrimination.** During the performance of this Agreement, the Consultant shall not discriminate against any person, contractor, vendor, employee or applicant for employment because of race, color, creed, religion, national origin, sex, marital status, status with regard to public assistance, disability, sexual orientation or age. The Consultant shall post in places available to employees and applicants for employment, notices setting forth the provision of this non-discrimination clause and stating that all qualified applicants will receive consideration for employment. The Consultant shall incorporate the foregoing requirements of this Provision 12 in all of its subcontracts for Work done under this Agreement, and will require all of its subcontractors performing such Work to incorporate such requirements in all subcontracts for the performance of the Work. The Consultant further agrees to comply with all aspects of the Minnesota Human Rights Act, Minnesota Statutes 363.01, et. seq., Title VI of the Civil Rights Act of 1964, and the Americans with Disabilities Act.
13. **Assignment.** The Consultant shall not assign this Agreement, nor its rights and/or obligations hereunder, without the prior written consent of the City.
14. **Services Not Provided For.** No claim for services furnished by the Consultant not specifically provided for herein shall be paid by the City.
15. **Compliance with Laws and Regulations.** The Consultant shall abide with all federal, state and local laws, statutes, ordinances, rules and regulations in the performance of the Work. The Consultant and City, together with their respective agents and employees, agree to abide by the provisions of the Minnesota Data Practices Act, Minnesota Statutes Section 13, as amended, and Minnesota Rules promulgated pursuant to Chapter 13. Any violation by the Consultant of statutes, ordinances, rules and regulations pertaining to the Work to be performed shall constitute a material breach of this Agreement and entitle the City to immediately terminate this Agreement.

16. **Waiver.** Any waiver by either party of a breach of any provisions of this Agreement shall not affect, in any respect, the validity of the remainder of this Agreement or either parties ability to enforce a subsequent breach.
17. **Indemnification.** The Consultant agrees to defend, indemnify and hold the City, and its mayor, council members, officers, agents, employees and representatives harmless from and against all liability, claims, damages, costs, judgments, losses and expenses, including but not limited to reasonable attorney's fees, arising out of or resulting from any act or omission of the Consultant, its officers, agents, employees, contractors and/or subcontractors pertaining to the execution, performance or failure to adequately perform the Work and/or its obligations under this Agreement.
18. **Insurance.**
- A. General Liability. Prior to starting the Work and during the full term of this Agreement, the Consultant shall procure, maintain and pay for such insurance as will protect against claims for bodily injury or death, and for damage to property, including loss of use, which may arise out of operations by the Consultant or by any subcontractor of the Consultant, or by anyone employed by any of them, or by anyone for whose acts any of them may be liable. Such insurance shall include, but not be limited to, minimum coverages and limits of liability specified in this Provision 18 or such greater coverages and amounts as are required by law. Except as otherwise stated below, the policies shall name the City as an additional insured for the Work provided under this Agreement and shall provide that the Consultant's coverage shall be primary and noncontributory in the event of a loss.
- B. The Consultant shall procure and maintain the following minimum insurance coverages and limits of liability with respect to the Work:
- | | |
|-------------------------------------|---|
| Worker's Compensation: | Statutory Limits |
| Commercial General Liability: | \$1,000,000 per occurrence
\$1,000,000 general aggregate
\$1,000,000 products – completed operations aggregate
\$5,000 medical expense |
| Comprehensive Automobile Liability: | \$1,000,000 combined single limit (shall include coverage for all owned, hired and non-owned vehicles. |
- C. The Commercial General Liability policy(ies) shall be equivalent in coverage to ISO form CG 0001, and shall include the following:
- (i) Personal injury with Employment Exclusion (if any) deleted;
 - (ii) Broad Form Contractual Liability coverage; and
 - (iii) Broad Form Property Damage coverage, including Completed Operations.
- D. During the entire term of this Agreement, and for such period of time thereafter as is necessary to provide coverage until all relevant statutes of limitations pertaining to the Work have expired, the Consultant shall procure, maintain and pay for professional liability insurance, satisfactory to the City, which insures the payment of damages for liability arising out of the performance of professional services for the City, in the insured's capacity as the Consultant, if such liability is caused by an error, omission, or negligent act of the insured or

any person or organization for whom the insured is liable. Said policy shall provide an aggregate limit of at least \$2,000,000.00.

E. The Consultant shall maintain in effect all insurance coverages required under this Provision 18 at Consultant's sole expense and with insurance companies licensed to do business in the state in Minnesota and having a current A.M. Best rating of no less than A-, unless otherwise agreed to by the City in writing. In addition to the requirements stated above, the following applies to the insurance policies required under this Provision:

- (i) All policies, except the Professional Liability Insurance Policy, shall be written on an "occurrence" form ("claims made" and "modified occurrence" forms are not acceptable);
- (ii) All policies, except the Professional Liability Insurance Policy and the Worker's Compensation Policy, shall name "the City of Roseville" as an additional insured;
- (iii) All policies, except the Professional Liability Insurance Policy and the Worker's Compensation Policy, shall insure the defense and indemnify obligations assumed by Consultant under this Agreement; and
- (iv) All policies shall contain a provision that coverages afforded thereunder shall not be canceled or non-renewed or restrictive modifications added, without thirty (30) days prior written notice to the City.

A copy of: (i) a certification of insurance satisfactory to the City, and (ii) if requested, the Consultant's insurance declaration page, riders and/or endorsements, as applicable, which evidences the compliance with this Paragraph 18, must be filed with the City prior to the start of Consultant's Work. Such documents evidencing insurance shall be in a form acceptable to the City and shall provide satisfactory evidence that the Consultant has complied with all insurance requirements. Renewal certificates shall be provided to the City prior to the expiration date of any of the required policies. The City will not be obligated, however, to review such declaration page, riders, endorsements or certificates or other evidence of insurance, or to advise Consultant of any deficiencies in such documents, and receipt thereof shall not relieve the Consultant from, nor be deemed a waiver of, the City's right to enforce the terms of the Consultant's obligations hereunder. The City reserves the right to examine any policy provided for under this Provision 18.

19. **Ownership of Documents.** All plans, diagrams, analysis, reports and information generated in connection with the performance of this Agreement ("Information") shall become the property of the City, but the Consultant may retain copies of such documents as records of the services provided. The City may use the Information for any reasons it deems appropriate without being liable to the Consultant for such use. The Consultant shall not use or disclose the Information for purposes other than performing the Work contemplated by this Agreement without the prior consent of the City.

20. **Dispute Resolution/Mediation.** Each dispute, claim or controversy arising from or related to this Agreement or the relationships which result from this Agreement shall be subject to mediation as a condition precedent to initiating arbitration or legal or equitable actions by either party. Unless the parties agree otherwise, the mediation shall be in accordance with the Commercial Mediation Procedures of the American Arbitration Association then currently in effect. A request for mediation shall be filed in writing with the American Arbitration Association and the other party. No arbitration or legal or equitable action may be instituted for a period of 90 days from the filing of the request for mediation unless a longer period of time is provided by agreement of the parties. The cost of mediation shall be shared equally between the parties. Mediation shall be held in the City of

Roseville unless another location is mutually agreed upon by the parties. The parties shall memorialize any agreement resulting from the mediation in a Mediated Settlement Agreement, which Agreement shall be enforceable as a settlement in any court having jurisdiction thereof.

21. **Annual Review.** Prior to January 1 of each year of this Agreement, the City shall have the right to conduct a review of the performance of the Work performed by the Consultant under this Agreement. The Consultant agrees to cooperate in such review and to provide such information as the City may reasonably request. Following each performance review the parties shall, if requested by the City, meet and discuss the performance of the Consultant relative to the remaining Work to be performed by the Consultant under this Agreement.
22. **Conflicts.** No salaried officer or employee of the City and no member of the City Council of the City shall have a financial interest, direct or indirect, in this Agreement. The violation of this provision shall render this Agreement void.
23. **Governing Law.** This Agreement shall be controlled by the laws of the State of Minnesota.
24. **Counterparts.** This Agreement may be executed in multiple counterparts, each of which shall be considered an original.
25. **Severability.** The provisions of this Agreement are severable. If any portion hereof is, for any reason, held by a court of competent jurisdiction to be contrary to law, such decision shall not affect the remaining provisions of this Agreement.
26. **Notices.** Any notice to be given by either party upon the other under this Agreement shall be properly given: a) if delivered personally to the City Manager if such notice is to be given to the City, or if delivered personally to an officer of the Consultant if such notice is to be given to the Consultant, b) if mailed to the other party by United States registered or certified mail, return receipt requested, postage prepaid, addressed in the manner set forth below, or c) if given to a nationally, recognized, reputable overnight courier for overnight delivery to the other party addressed as follows:

If to City:

City of Roseville
Roseville City Hall
2660 Civic Center Drive
Roseville, MN 55113
Attn: City Manager

If to Consultant:

Short Elliot Hendrickson, Inc.
3535 Vadnais Center Drive
St. Paul, Minnesota 55110-5196
Attn: Mark Lobermeier

Notices shall be deemed effective on the date of receipt if given personally, on the date of deposit in the U.S. mails if mailed, or on the date of delivery to an overnight courier if so delivered; provided, however, if notice is given by deposit in the U.S. mails or delivery to an overnight courier, the time for response to any notice by the other party shall commence to run one business day after the date of mailing or delivery to the courier. Any party may change its address for the service of notice by giving written notice of such change to the other party, in any manner above specified, 10 days prior to the effective date of such change.

27. **Entire Agreement.** Unless stated otherwise in this Provision 27, the entire agreement of the parties is contained in this Agreement. This Agreement supersedes all prior oral agreements and negotiations between the parties relating to the subject matter hereof as well as any previous agreements presently in effect between the parties relating to the subject matter hereof. Any alterations, amendments, deletions, or waivers of the provisions of this Agreement shall be valid only when expressed in writing and duly signed by the parties, unless otherwise provided herein. The following agreements supplement and are a part of this Agreement:

DRAFT

IN WITNESS WHEREOF, the undersigned parties have entered into this Agreement as of the date set forth above.

CITY OF ROSEVILLE

By: _____
Mayor

By: _____
City Manager

Short Elliot Hendrickson, Inc.

By: _____

Its: _____

DRAFT



REQUEST FOR PROPOSAL

Engineering Services
For
Comprehensive Surface Water Management Plan Update

January 2012

City of Roseville
REQUEST FOR PROPOSAL
Engineering Services For
Comprehensive Surface Water Management Plan Update
Overview

A. INTRODUCTION

The City of Roseville seeks a qualified, knowledgeable and experienced consultant to perform an update to the City's Comprehensive Surface Water Management Plan (CSWMP).

B. REQUIRED PRE-PROPOSAL MEETING

Respondents are required to attend a Pre-proposal Meeting on **Wednesday, January 18, 2012 at 11:00 a.m.** in the Council Chambers of Roseville City Hall, 2660 Civic Center Drive, Roseville, Minnesota. The purpose of the Pre-proposal Meeting is to review the RFP process and will include a question and answer session.

C. INQUIRIES

The person designated below shall be the only contact for all inquiries regarding any aspect of this process and its requirements. Questions will be accepted until the date specified in the Tentative Schedule of Events. All questions or inquiries should be sent via email. Do not contact any other employee or representative regarding this RFP unless specifically indicated or instructed to do so in writing by the person designated below:

Debra Bloom, City Engineer
deb.bloom@ci.roseville.mn.us

D. SUBMITTAL GUIDELINES

Email an Adobe Acrobat *.pdf format of the Proposal to: deb.bloom@ci.roseville.mn.us

Subject line of email: "Proposal for Engineering Services for Roseville Comprehensive Surface Water Management Plan Update"

Note - proposal shall include:

- ☐ **Signed** Respondent Offer - Signature and Certification Form (Attachment A)
- ☐ Respondent Proposal (Attachment B)
- ☐ Survey Questionnaire (Attachment C— see guide to preparation)
- ☐ Reference List (Attachment D— see guide to preparation)
- ☐ Firm Background and Qualifications (Attachment E)

Do not submit copies to any other person or location - late proposals will NOT be considered.

Maximum size for email attachments is 20MB.

PROPOSALS MUST BE RECEIVED BY EMAIL

3:30 p.m. CST – Friday, February 3, 2012

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Attachment D: Reference List	15
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I.

**OVERVIEW OF PROCESS
AND GENERAL INSTRUCTIONS**

Carefully read the information contained in this RFP and email a complete response to all requirements, specifications and directions.

A. QUESTIONS AND INQUIRIES

Questions submitted by email to the designated contact for the RFP will be answered until the date noted in the Tentative Schedule of Events. Responses to written questions which involve an interpretation or change to this RFP will be issued in writing by addendum and e-mailed to all parties recorded by the City as having received a copy of this RFP. All such addenda issued by the City prior to the time that proposals are received shall be considered part of the RFP.

Only additional information provided by formal written addenda shall be binding. Oral and other interpretations or clarifications will be without legal effect.

B. TENTATIVE SCHEDULE OF EVENTS

Be advised that these dates are subject to change as the City deems necessary.

RFP Issue Date:	January 6, 2012
Pre Proposal Meeting	11:00 a.m., January 18, 2012
Questions accepted about the RFP until:	11:00 a.m., February 1, 2012
<u>Proposals Due:</u>	<u>3:30 p.m., February 3, 2012</u>
Council Meeting Date of Award:	February 27, 2012

C. EVALUATION CRITERIA

The Consultant selected for an award will be the firm whose proposal is responsive, responsible and the most advantageous to the City, as determined by the City in its sole discretion. The City intends to award a contract, subject to the terms of this RFP, to the best overall valued firm. Firms will be prioritized based on fees, past performance, current performance capability, and other criteria as outlined in this document. The City anticipates that all firms will have a fair and reasonable opportunity to provide service.

Evaluation criteria will be weighed according to the following categories:

CATEGORY	WEIGHT	CRITERIA
Fees	40%	Proposal (Attachment B)
Project Scope Understanding	30%	Proposal (Attachment B)
Background and Qualifications	20%	Background/Qualifications (Attachment E)
Past Performance Survey	10%	Survey Questionnaire (Attachment C)

The City reserves the right to add/delete/modify criteria or times, via an addendum, if it is in the City's best interest, as determined by the City in its sole discretion.

D. ISSUANCE OF RFP AND AWARD PROCESS

Issuance of this RFP does not compel the City to award a contract. The City reserves the right to reject any or all proposals wholly or in part and to waive any technicalities, informalities, or irregularities in any proposal at its sole option and discretion. The City reserves the right to

request clarification or additional information. The City reserves the right to award a contract or to re-solicit proposals or to temporarily or permanently abandon the procurement.

E. PROPOSAL SUBMISSION REQUIREMENTS

- **DESCRIPTION OF SUBMITTAL:** Email an Adobe Acrobat *.pdf format of the Proposal to: deb.bloom@ci.roseville.mn.us.

Subject line of email: "Proposal for Engineering Services for Roseville Comprehensive Surface Water Management Plan Update"

Note - proposal will include:

- ☐ **Signed** Respondent Offer - Signature and Certification Form (Attachment A)
 - ☐ Respondent Proposal (Attachment B)
 - ☐ Survey Questionnaire (Attachment C– see guide to preparation)
 - ☐ Reference List (Attachment D– see guide to preparation)
 - ☐ Firm Background and Qualifications (Attachment E)
- **LATE SUBMISSION:** Late submissions will not be considered.
 - **UNSIGNED SUBMISSIONS:** The Respondent's Offer Signature and Certification Form (Attachment A) must be signed by an authorized representative of your company. Unsigned submissions WILL NOT be considered.
 - **ATTACHMENT SIZE:** Maximum size for email attachments is 20MB.

F. OWNERSHIP OF PROPOSAL

All materials submitted in response to this request become the property of the City and may become a part of any resulting contract. Award or rejection of a proposal does not affect this right.

G. RELEASE OF CLAIMS, LIABILITY, AND PREPARATION EXPENSES

Under no circumstances shall the City be responsible for any proposal preparation expenses, submission costs, or any other expenses, costs, or damages of whatever nature incurred as the result of a Respondent's participation in this RFP process. The Respondent understands and agrees that it submits its proposal at its own risk and expense, and releases the City from any claim or damages or other liability arising out of the RFP and award process.

H. DURATION OF RESPONDENT'S OFFER

The proposal constitutes an offer by the Respondent that shall remain open and irrevocable for the period specified on the Respondent's Offer – Signature and Certification Form (Attachment A).

I. ERRORS IN PROPOSALS

The City shall not be liable for any errors in the Respondent's proposal. No modifications to the proposal shall be accepted from the Respondent after the Submittal Date and Time. The Respondent is responsible for careful review of its entire proposal to ensure that all information is correct and complete. Respondents are responsible for all errors or omissions contained in their proposals.

J. WITHDRAWING PROPOSALS

Respondents may withdraw their proposal at any time prior to the Submittal deadline by submitting a written request to the Contact for RFP Inquiries indicated on the Submittal Guidelines Page (Page 2). The written request must be signed by an authorized representative of the Respondent. The respondent may submit another proposal at any time prior to the Submittal deadline. No proposal may be withdrawn after the Submittal Date and Time without approval by the City. Such approval shall be based on the Respondent's submittal, in writing, of a reason acceptable to the City in its sole discretion.

K. ADDENDA

The City reserves the right to issue an addendum to the RFP at any time for any reason. If any addenda are issued such addenda shall be issued by the City prior to the time that proposals are received and shall be considered part of the RFP.

L. INTERVIEW

Finalist(s) may be required to participate in an interview and/ or presentation. Each Respondent should be prepared to discuss and substantiate any area of its proposal, its own proposals for the services required and any other area of interest relevant to its proposal.

M. RESPONSIBLE PROPOSERS (RESPONDENTS)

The City reserves the right to award project contracts only to the responsible respondents. Responsible respondents are defined as firms that meet the requirements of this RFP and demonstrate the financial ability, resources, skills, capability, willingness, and business integrity necessary to perform the contract. The City's determination of whether a Respondent is a responsible respondent is at the City's sole discretion.

N. NOTIFICATION OF AWARD

If the City makes an award as a result of this RFP process, the City will deliver to the selected Respondent a notice of selection. The engineering services contract shall consist of (but not limited to):

- a. The terms, conditions, specifications, and requirements of this RFP and its attachments;
- b. Any addenda issued by the City pursuant to this RFP;
- c. All representations (including, but not limited to, representations as to performance, and financial terms) made by the Respondent in its proposal and during any interview(s) or meeting(s) with the City;
- d. Any mutually agreed upon written modifications to the terms, conditions, specifications, and requirements to this RFP or to the proposal; and
- e. Performance evaluation criteria.

II.

BACKGROUND/SCOPE OF WORK

PROJECT NAME: Roseville Comprehensive Surface Water Management Plan Update

A. INTRODUCTION

The City of Roseville seeks a qualified, knowledgeable and experienced consultant to perform an update to the City's Comprehensive Surface Water Management Plan (CSWMP) that meets its current vision for managing its current storm and surface water drainage system.

B. BACKGROUND

The City of Roseville, Minnesota is a northern, first-ring suburb of both St. Paul and Minneapolis with an approximate population of 34,000 as of the 2010 Census. The City is fully developed with areas of sporadic infill development of smaller lots. The City is also experiencing redevelopment in areas such as the Twin Lakes Business Area near I-35W and County Road C.

The City's trunk drainage system is built-out. A number of urban flooding and water quality issues have begun to develop throughout the City. Resources to upgrade existing trunk storm sewer infrastructure are very limited. Hence, the City is taking a two-pronged incremental approach to stormwater management in order to reduce overloading on its existing hydraulic infrastructure and mitigate waterbody impairments by:

- Introducing small-scale storm water Best Management Practices (BMPs) into its residential street projects.
- Establishing engineering standards that include volume control, rate control and pollutant mitigation requirements for development and redevelopment.

The basis for the City's current approach to storm water management is laid out in City Code Title 10, Section 1017.26B(2), which authorizes the City Engineer to review all proposed storm water facilities for conformance to the City's surface water management plan (SWMP). The City conducted its first CSWMP in 1990, complete with city-wide modeling. The plan was subsequently updated in 2003 and is available for review upon request.

The City feels that it is necessary to overhaul the existing CSWMP: To effectively manage its existing storm water infrastructure while complying with stricter storm water regulations AND providing excellent customer service to its residents and businesses.

C. SCOPE OF SERVICES

The City of Roseville seeks a qualified consultant to provide the following scope of services summarized in each major category. :

1. Coordination with City Staff and Reviewing Agencies
 - Schedule kick-off meeting with city staff to determine priorities, clarify tasks, project schedule and deliverables.
 - Provide for meetings with City staff to strategize the establishment of goals and policies and to identify problems, priorities and impairments.

- Schedule meeting(s) with representatives of the Rice Creek Watershed District, Grass Lake Water Management Organization, Capitol Region Watershed District, and Metropolitan Council.
 - Identify and evaluate requirements and guidelines of reviewing agencies and incorporate them into the plan.
 - Identify and evaluate any other agency requirements and include coordination time with those agencies.
 - Address and incorporate comments from reviewing agencies into the plan.
 - Provide copies of the draft and final plan to reviewing agencies.
2. Understand the City's Current Surface Water Management Plan
- Compile, review and evaluate all relevant mapping data from various data sources including City, Watershed, State and Federal agencies.
 - Compile, review and evaluate all relevant reports and studies conducted by various agencies since the issuing of the 1990 Roseville CSWMP.
 - Meet with City staff, watershed district staff, and other knowledgeable parties to identify current surface water management and drainage system issues.
 - Evaluate and incorporate existing modeling data:
 - i. Confirm validity of past HydroCAD and XPStorm modeling completed as part of the 1990 CSWMP and 2003 CSWMP Update.
 - ii. Evaluate the efficacy of existing modeling when compared to identified problems and impairments (i.e. does the current modeling accurately reflect the field conditions).
 - iii. Confirm and update existing subwatershed boundaries.
 - iv. Identify deficiencies in modeling and provide recommendations to city staff for updating modeling to accurately reflect current conditions, problems and impairments.
 - Confirm and update existing subwatershed boundaries, pond and lake elevations as compared to Watershed or FEMA data.
3. Facilitation of an Effective and Meaningful Public Involvement Process
- Assume a fully consultant-facilitated public involvement process. Provide strategy for public involvement and approvals by various elected and appointed bodies within the City of Roseville. Provide specifics as follows:
 - i. Assessment of issues and concerns
 - ii. Management of meetings.
 - iii. Translation to specific goals and policies
 - iv. Implementation and Financing
 - Assume the formation and facilitation of a Technical Advisory Panel (TAP) comprised of City staff, Watershed District technical staff, and other agency technical staff relevant to the preparation of the CSWMP. Assume a maximum of three (3) meetings of the TAP including preparation.

- Provide for the preparation and facilitation of a maximum of three (3) meetings with the City's Public Works, Environment and Transportation Commission (PWETC). Assume that the interface with the public at-large is through the PWETC meetings.
4. Goal Setting, Policies, Implementation Plan and Priorities
 - Facilitate the establishment of implementation goals and policies based on public involvement, agency and city staff input. Integrate the results of the data collection process.
 - Identify and prioritize drainage system issues.
 - Provide recommendations and potential concept solutions to mitigate issues.
 - Include any potential projects as a specific implementation activity.
 - Develop specific implementation activities corresponding with established plan goals.
 - Establish performance measures for implementation activities.
 - Provide estimated costs as well as resources available.
 - Provide proposed financing mechanisms and resources needed to meet implementation activities.
 5. Development of Draft and Final Plan Document Deliverables
 - Develop document into a desk reference format that meets the needs of City staff with the goal of providing efficient customer service to developers, residents and business owners.
 - Utilize custom format for the narrative that does not reflect the existing CSWMP and subsequent update formats.
 - Efficiently and effectively utilize page space while providing a legible and readable deliverable.
 - Represent data as clear and concise maps/graphics wherever possible. Data such as vicinity maps, governmental boundaries (i.e. watersheds), existing and future land use, soils conditions, lakes, impaired waters, flood-prone areas, wetland classifications, drainage areas and other relevant data related to the CSWMP preparation should be included.
 - Provide and compile data for ease in accessibility. Tables compiled for pond high-water levels and lake impairments are examples.
 - Provide glossary and clear definitions on technical terms developed within the CSWMP. Compile any terms within a glossary that are defined within the document.
 - Include at least one progress draft at the end of the public involvement process.
 - Include the distribution of draft documents to reviewing agencies for mandated agency review time periods.
 - Include distribution of copies of the final draft based on agency requirements.
 - Provide compact mode of electronic distribution of final product for posting on City website.
 6. Follow-Through on Approvals
 - Compile and address inter-agency review comments.
 - Compile comments from City commissions and advisory groups.

- Include attendance at three (3) Watershed District board meetings and attendance at one (1) City Council meeting.
- Incorporate responses to review comments in the final report.
- Provide submittals to all agencies responsible for approval of the plan including all Watersheds within City boundaries.
- Obtain all final approvals with all reviewing agencies and the Roseville City Council.

D. SCHEDULE

The following schedule is anticipated for the overall project:

Issue Request for Engineering Services	January 6, 2012
Receive Proposals	February 3, 2012
Select Consultant	February 27, 2012
Progress Draft	May 2012
City Council Adopts Plan	October 2012

Consultant is responsible for building out details of CSWMP Update timeline within the above anticipated timeframe for completion.

RESPONDENT OFFER – SIGNATURE AND CERTIFICATION FORM

The undersigned has carefully examined all instructions, requirements, specifications, terms and conditions of this RFP; understands all instructions, requirements, specifications, terms and conditions of this RFP; and hereby offers and proposes to furnish the services described herein at the prices quoted in the Respondent's Proposal, and in accordance with the requirements, specifications, terms and conditions of this RFP.

The Respondent also certifies:

1. Its proposal is a valid and irrevocable offer for the City's acceptance for a minimum of 90 days from the proposal deadline shown in the Submittal Guidelines (Page 2) of this RFP to allow time for evaluation, negotiation, selection, and any unforeseen delays, and that its proposal, if accepted, shall remain valid for the life of the contract.
2. It is a reputable firm engaged in providing engineering services necessary to meet the requirements, specifications, and terms and conditions of this RFP.
3. It has the necessary experience, knowledge, abilities, skills, and resources to satisfactorily perform the requirements, specifications, and accepts all terms and conditions of this RFP.
4. It is aware of, is fully informed about, and is in full compliance with all applicable federal, state, and local laws, rules, regulations, and ordinances.
5. All statements, information, and representations prepared and submitted in response to this RFP are current, complete, true, and accurate. The Respondent acknowledges that the City will rely on such statements, information, and representations in selecting the successful Respondent.
6. It shall be bound by all statements, representations, and guarantees made in its proposal including, but not limited to, representations as to performance and financial terms.
7. Submission of a proposal indicates the Respondent's recognition that some subjective judgments may be made by the City as part of the evaluation.

Shaded area will be redacted and replaced with a Respondent identification code prior to evaluation.

Authorized Signature: X

Name (type or print):

Title (type or print):

Date:

RESPONDENT PROPOSAL

The City of Roseville will review and evaluate each proposal, and selection will be made based on the items listed below. The firms submitting proposals shall include statements on the following items as a part of their proposal:

Project Scope Understanding:

Describe the approach that will be used to complete each of the tasks listed in RFP section IIC. Scope of Services. List all assumptions, City Responsibilities, Consultant Responsibilities, and Consultant Deliverables. (3 pages)

Fees:

Based on the scope of services shown in section IIC of this RFP and assuming a 9 month duration, provide the total estimated fees in the following table format. (Please attach fee schedule)

Labor costs shall be proposed on an hourly basis. Labor costs and expenses shall be identified and subtotaled for each Major category. Total costs shall be proposed on a not-to-exceed basis.

Scope of Services Major Categories <i>Show all individual tasks broken out under each category.</i>	Position responsible <i>(add columns as needed)</i>	Total Hours	Total Fee
Coordination with City Staff and Reviewing Agencies			
Understand the City's Current Surface Water Management Plan			
Effective and Meaningful Public Involvement Process			
Goal Setting, Policies, Implementation Plan and Priorities			
Development of Draft & Final Plan			
Follow-Through on Approvals			
Total Not to Exceed Cost:	NA	NA	
Reimbursable expenses:	NA	NA	

Schedule:

Provide schedule for completion of CSWMP

GUIDE TO PREPARING
SURVEY QUESTIONNAIRE FORM (ATTACHMENT C)
And
REFERENCE LIST (ATTACHMENT D)

OVERVIEW

The City of Roseville is implementing a process for Request for Proposals that collects past performance evaluations of firms and their key personnel. This information will be used to assist the City in selecting the best overall valued firm for Services as specified within the scope of service.

To assist the City in identifying the past performance of a firm, the following process will be used:

1. The firm will prepare a list of clients that will be sent a survey. The general form of the reference list is shown on Attachment D.
2. The firm will prepare surveys forms and send to their past and present clients. Use Attachment C for the survey form. (4 minimum- 10 maximum)
3. The clients will complete the surveys and send back to the firm.
4. The firm will compile and submit all of the surveys and reference list with their RFP.
5. The ratings will then be averaged together to obtain a firm's past performance rating.

Attachment C
SURVEY QUESTIONNAIRE
CITY OF ROSEVILLE

Survey ID _____

To: _____

(Name of person completing survey)

Phone: _____ Fax: _____

Subject: Past Performance Survey of: _____

(Name of Company)

(Name of Individuals)

The City of Roseville is implementing a process that collects past performance information on firms and their key personnel. The firm/individual listed above has listed you as a client for which they have previously performed work. We would appreciate your taking the time to complete this survey. Rate each of the criteria on a scale of 1 to 10, with 10 representing that you were very satisfied (and would hire the firm/individual again) and 1 representing that you were very unsatisfied (and would never hire the firm/individual again). Please rate each of the criteria to the best of your knowledge. If you do not have sufficient knowledge of past performance in a particular area, leave it blank.

Client _____ Date _____
Project _____

NO	CRITERIA	UNIT	
1	Ability to manage the project cost (minimize change orders)	(1-10)	
2	Ability to maintain project schedule (complete on-time or early)	(1-10)	
3	Quality of workmanship	(1-10)	
4	Professionalism and ability to manage (includes responses and prompt payment to suppliers and subcontractors)	(1-10)	
5	Close out process (no punch list upon turnover, warranties, as-builts, operating manuals, tax clearance, etc. submitted promptly)	(1-10)	
6	Communication, explanation of risk, and documentation	(1-10)	
7	Ability to follow the users rules, regulations, and requirements (housekeeping, safety, etc...)	(1-10)	
8	Overall customer satisfaction and comfort level in hiring vendor/individual again	(1-10)	

Thank you for your time and effort in assisting the City of Roseville in this important endeavor.
Please fax the completed survey to: _____ at Fax # (____) _____ or email a scanned copy to _____

Printed Name (of Evaluator) _____

Signature (of Evaluator) _____

Attachment D
REFERENCE LIST

SURVEY ID CODE City Assigned	CLIENT NAME	MAILING ADDRESS	CONTACT NAME	PHONE NUMBER	EMAIL ADDRESS

Attachment E

FIRM BACKGROUND AND QUALIFICATIONS

The City of Roseville will review and evaluate each proposal, and selection will be made on the basis of the criteria listed below. The firms submitting proposals shall include with their proposal statements on the following:

- A. Proven management skills and technical competence including specialized experience in comprehensive surface water management plan (CSWMP) development. Demonstrated performance in providing well organized, accurate, and fully coordinated documents; and projects delivered on time and within budget. (5 pages maximum)

Management Skills and Technical Expertise include as a minimum:

- List of CSWMPs completed including description, scope, project cost, and owner's contact information. Provide access to an example report completed by the firm via the internet.
- Information on delivery of projects on time and within budget. Provide design time (contract/actual); cost of plan (estimated/actual); problems encountered and solutions devised. Minimum 2, maximum 4 similar projects.

- B. Credentials of project team, including: project manager's related projects; history of the proposed team working together on past projects, particularly as related to prior work with ~~in-confined site plan~~ CSWMP projects. (1 page each)

Include as a minimum:

1. Identification of project manager and project team.
2. Project manager's resume and portfolio of related projects.
3. Resumes of key project staff members.

Attachment F

CONTRACT TERMS and CONDITIONS

The selected Respondent will enter into the following contract with the City of Roseville. The contract shall be effective from the date it is entered into until December 31, 2012. Firms should clearly identify any proposed deviations from the contract terms and conditions in their proposal response.

Example contract

Standard Agreement for Professional Services

This Agreement ("Agreement") is made on the _____ day of _____, _____, between the City of Roseville, a municipal corporation (hereinafter "City"), and _____, a _____ (hereinafter "Consultant").

Preliminary Statement

The City has adopted a policy regarding the selection and hiring of consultants to provide a variety of professional services for City projects. That policy requires that persons, firms or corporations providing such services enter into written agreements with the City. The purpose of this Agreement is to set forth the terms and conditions for the performance of professional services by the Consultant.

The City and Consultant agree as follows:

1. **Scope of Work Proposal.** The Consultant agrees to provide the professional services shown in Exhibit "A" attached hereto ("Work") in consideration for the compensation set forth in Provision 3 below. The terms of this Agreement shall take precedence over and supersede any provisions and/or conditions in any proposal submitted by the Consultant.
2. **Term.** The term of this Agreement shall be from _____, through _____, the date of signature by the parties notwithstanding.
3. **Compensation for Services.** The City agrees to pay the Consultant the compensation described in Exhibit B attached hereto for the Work, subject to the following:
 - A. Any changes in the Work which may result in an increase to the compensation due the Consultant shall require prior written approval of the City. The City will not pay additional compensation for Work that does not have such prior written approval.
 - B. Third party independent contractors and/or subcontractors may be retained by the Consultant when required by the complex or specialized nature of the Work when authorized in writing by the City. The Consultant shall be responsible for and shall pay all costs and expenses payable to such third party contractors unless otherwise agreed to by the parties in writing.
4. **City Representative and Special Requirements:**
 - A. _____ shall act as the City's representative with respect to the Work to be performed under this Agreement. Such representative shall have authority to transmit instructions, receive information and interpret and define the City's policies and decisions with respect to the Work to be performed under this Agreement, but shall not have the right to enter into contracts or make binding agreements on behalf of the City with

respect to the Work or this Agreement. The City may change the City's representative at any time by notifying the Consultant of such change in writing.

- B. In the event that the City requires any special conditions or requirements relating to the Work and/or this Agreement, such special conditions and requirements are stated in Exhibit C attached hereto. The parties agree that such special conditions and requirements are incorporated into and made a binding part of this Agreement and the Consultant agrees to perform the Work in accordance with, and that this Agreement shall be subject to, the conditions and requirements set forth in Exhibit C.

5. **Method of Payment.** The Consultant shall submit to the City, on a monthly basis, an itemized invoice for Work performed under this Agreement. Invoices submitted shall be paid in the same manner as other claims made to the City. Invoices shall contain the following:

- A. For Work reimbursed on an hourly basis, the Consultant shall indicate for each employee, his or her name, job title, the number of hours worked, rate of pay for each employee, a computation of amounts due for each employee, and the total amount due for each project task. For all other Work, the Consultant shall provide a description of the Work performed and the period to which the invoice applies. For reimbursable expenses, if provided for in Exhibit A, the Consultant shall provide an itemized listing and such documentation of such expenses as is reasonably required by the City. In addition to the foregoing, all invoices shall contain, if requested by the City, the City's project number, a progress summary showing the original (or amended) amount of the Agreement, the current billing, past payments, the unexpended balance due under the Agreement, and such other information as the City may from time to time reasonably require.
- B. To receive any payment pursuant to this Agreement, the invoice must include the following statement dated and signed by the Consultant: "I declare under penalty of perjury that this account, claim, or demand is just and correct and that no part of it has been paid."

The payment of invoices shall be subject to the following provisions:

- A. The City shall have the right to suspend the Work to be performed by the Consultant under this Agreement when it deems necessary to protect the City, residents of the City or others who are affected by the Work. If any Work to be performed by the Consultant is suspended in whole or in part by the City, the Consultant shall be paid for any services performed prior to the delivery upon the Consultant of the written notice from the City of such suspension.
- B. The Consultant shall be reimbursed for services performed by any third party independent contractors and/or subcontractors only if the City has authorized the retention of and has agreed to pay such persons or entities pursuant to Section 3B above.

6. **Project Manager and Staffing.** The Consultant has designated _____ and _____ ("Project Contacts") to perform and/or supervise the Work, and as the persons for the City to contact and communicate with regarding the performance of the Work. The Project Contacts shall be assisted by other employees of the Consultant as necessary to facilitate the completion of the Work in accordance with the terms and conditions of this Agreement. The Consultant may not remove or replace the Project Contacts without the prior approval of the City.

7. **Standard of Care.** All Work performed by the Consultant under this Agreement shall be in accordance with the normal standard of care in Ramsey County, Minnesota, for professional services of like kind.

8. **Audit Disclosure.** Any reports, information, data and other written documents given to, or prepared or assembled by the Consultant under this Agreement which the City requests to be kept confidential shall not be made available by the Consultant to any individual or organization without the City's prior written approval. The books, records, documents and accounting procedures and practices of the Consultant or other parties relevant to this Agreement are subject to examination by the City and either the Legislative Auditor or the State Auditor for a period of six (6) years after the effective date of this Agreement. The Consultant shall at all times abide by Minn. Stat. § 13.01 et seq. and the Minnesota Government Data Practices Act, to the extent the Act is applicable to data, documents, and other information in the possession of the Consultant.
9. **Termination.** This Agreement may be terminated at any time by the City, with or without cause, by delivering to the Consultant at the address of the Consultant set forth in Provision 26 below, a written notice at least ten (10) days prior to the date of such termination. The date of termination shall be stated in the notice. Upon termination the Consultant shall be paid for services rendered (and reimbursable expenses incurred if required to be paid by the City under this Agreement) by the Consultant through and until the date of termination so long as the Consultant is not in default under this Agreement. If the City terminates this Agreement because the Consultant is in default of its obligations under this Agreement, no further payment shall be payable or due to the Consultant following the delivery of the termination notice, and the City may, in addition to any other rights or remedies it may have at law or in equity, retain another consultant to undertake or complete the Work to be performed hereunder.
10. **Subcontractor.** The Consultant shall not enter into subcontracts for services provided under this Agreement without the express written consent of the City. The Consultant shall promptly pay any subcontractor involved in the performance of this Agreement as required by the State Prompt Payment Act.
11. **Independent Consultant.** At all times and for all purposes herein, the Consultant is an independent contractor and not an employee of the City. No statement herein shall be construed so as to find the Consultant an employee of the City.
12. **Non-Discrimination.** During the performance of this Agreement, the Consultant shall not discriminate against any person, contractor, vendor, employee or applicant for employment because of race, color, creed, religion, national origin, sex, marital status, status with regard to public assistance, disability, sexual orientation or age. The Consultant shall post in places available to employees and applicants for employment, notices setting forth the provision of this non-discrimination clause and stating that all qualified applicants will receive consideration for employment. The Consultant shall incorporate the foregoing requirements of this Provision 12 in all of its subcontracts for Work done under this Agreement, and will require all of its subcontractors performing such Work to incorporate such requirements in all subcontracts for the performance of the Work. The Consultant further agrees to comply with all aspects of the Minnesota Human Rights Act, Minnesota Statutes 363.01, et. seq., Title VI of the Civil Rights Act of 1964, and the Americans with Disabilities Act.
13. **Assignment.** The Consultant shall not assign this Agreement, nor its rights and/or obligations hereunder, without the prior written consent of the City.
14. **Services Not Provided For.** No claim for services furnished by the Consultant not specifically provided for herein shall be paid by the City.

15. **Compliance with Laws and Regulations.** The Consultant shall abide with all federal, state and local laws, statutes, ordinances, rules and regulations in the performance of the Work. The Consultant and City, together with their respective agents and employees, agree to abide by the provisions of the Minnesota Data Practices Act, Minnesota Statutes Section 13, as amended, and Minnesota Rules promulgated pursuant to Chapter 13. Any violation by the Consultant of statutes, ordinances, rules and regulations pertaining to the Work to be performed shall constitute a material breach of this Agreement and entitle the City to immediately terminate this Agreement.

16. **Waiver.** Any waiver by either party of a breach of any provisions of this Agreement shall not affect, in any respect, the validity of the remainder of this Agreement or either parties ability to enforce a subsequent breach.

17. **Indemnification.** The Consultant agrees to defend, indemnify and hold the City, and its mayor, council members, officers, agents, employees and representatives harmless from and against all liability, claims, damages, costs, judgments, losses and expenses, including but not limited to reasonable attorney's fees, arising out of or resulting from any act or omission of the Consultant, its officers, agents, employees, contractors and/or subcontractors pertaining to the execution, performance or failure to adequately perform the Work and/or its obligations under this Agreement.

18. **Insurance.**

A. General Liability. Prior to starting the Work and during the full term of this Agreement, the Consultant shall procure, maintain and pay for such insurance as will protect against claims for bodily injury or death, and for damage to property, including loss of use, which may arise out of operations by the Consultant or by any subcontractor of the Consultant, or by anyone employed by any of them, or by anyone for whose acts any of them may be liable. Such insurance shall include, but not be limited to, minimum coverages and limits of liability specified in this Provision 18 or such greater coverages and amounts as are required by law. Except as otherwise stated below, the policies shall name the City as an additional insured for the Work provided under this Agreement and shall provide that the Consultant's coverage shall be primary and noncontributory in the event of a loss.

B. The Consultant shall procure and maintain the following minimum insurance coverages and limits of liability with respect to the Work:

Worker's Compensation:	Statutory Limits
Commercial General Liability:	\$1,000,000 per occurrence \$1,000,000 general aggregate \$1,000,000 products – completed operations aggregate \$5,000 medical expense
Comprehensive Automobile Liability:	\$1,000,000 combined single limit (shall include coverage for all owned, hired and non-owned vehicles.

C. The Commercial General Liability policy(ies) shall be equivalent in coverage to ISO form CG 0001, and shall include the following:

- (i) Personal injury with Employment Exclusion (if any) deleted;
- (ii) Broad Form Contractual Liability coverage; and

(iii) Broad Form Property Damage coverage, including Completed Operations.

- D. During the entire term of this Agreement, and for such period of time thereafter as is necessary to provide coverage until all relevant statutes of limitations pertaining to the Work have expired, the Consultant shall procure, maintain and pay for professional liability insurance, satisfactory to the City, which insures the payment of damages for liability arising out of the performance of professional services for the City, in the insured's capacity as the Consultant, if such liability is caused by an error, omission, or negligent act of the insured or any person or organization for whom the insured is liable. Said policy shall provide an aggregate limit of at least \$2,000,000.00.
- E. The Consultant shall maintain in effect all insurance coverages required under this Provision 18 at Consultant's sole expense and with insurance companies licensed to do business in the state in Minnesota and having a current A.M. Best rating of no less than A-, unless otherwise agreed to by the City in writing. In addition to the requirements stated above, the following applies to the insurance policies required under this Provision:
- (i) All policies, except the Professional Liability Insurance Policy, shall be written on an "occurrence" form ("claims made" and "modified occurrence" forms are not acceptable);
 - (ii) All policies, except the Professional Liability Insurance Policy and the Worker's Compensation Policy, shall name "the City of Roseville" as an additional insured;
 - (iii) All policies, except the Professional Liability Insurance Policy and the Worker's Compensation Policy, shall insure the defense and indemnify obligations assumed by Consultant under this Agreement; and
 - (iv) All policies shall contain a provision that coverages afforded thereunder shall not be canceled or non-renewed or restrictive modifications added, without thirty (30) days prior written notice to the City.

A copy of: (i) a certification of insurance satisfactory to the City, and (ii) if requested, the Consultant's insurance declaration page, riders and/or endorsements, as applicable, which evidences the compliance with this Paragraph 18, must be filed with the City prior to the start of Consultant's Work. Such documents evidencing insurance shall be in a form acceptable to the City and shall provide satisfactory evidence that the Consultant has complied with all insurance requirements. Renewal certificates shall be provided to the City prior to the expiration date of any of the required policies. The City will not be obligated, however, to review such declaration page, riders, endorsements or certificates or other evidence of insurance, or to advise Consultant of any deficiencies in such documents, and receipt thereof shall not relieve the Consultant from, nor be deemed a waiver of, the City's right to enforce the terms of the Consultant's obligations hereunder. The City reserves the right to examine any policy provided for under this Provision 18.

19. Ownership of Documents. All plans, diagrams, analysis, reports and information generated in connection with the performance of this Agreement ("Information") shall become the property of the City, but the Consultant may retain copies of such documents as records of the services provided. The City may use the Information for any reasons it deems appropriate without being liable to the Consultant for such use. The Consultant shall not use or disclose the Information for purposes other than performing the Work contemplated by this Agreement without the prior consent of the City.

20. Dispute Resolution/Mediation. Each dispute, claim or controversy arising from or related to this Agreement or the relationships which result from this Agreement shall be subject to mediation as a

condition precedent to initiating arbitration or legal or equitable actions by either party. Unless the parties agree otherwise, the mediation shall be in accordance with the Commercial Mediation Procedures of the American Arbitration Association then currently in effect. A request for mediation shall be filed in writing with the American Arbitration Association and the other party. No arbitration or legal or equitable action may be instituted for a period of 90 days from the filing of the request for mediation unless a longer period of time is provided by agreement of the parties. The cost of mediation shall be shared equally between the parties. Mediation shall be held in the City of Roseville unless another location is mutually agreed upon by the parties. The parties shall memorialize any agreement resulting from the mediation in a Mediated Settlement Agreement, which Agreement shall be enforceable as a settlement in any court having jurisdiction thereof.

21. **Annual Review.** Prior to _____ of each year of this Agreement, the City shall have the right to conduct a review of the performance of the Work performed by the Consultant under this Agreement. The Consultant agrees to cooperate in such review and to provide such information as the City may reasonably request. Following each performance review the parties shall, if requested by the City, meet and discuss the performance of the Consultant relative to the remaining Work to be performed by the Consultant under this Agreement.
22. **Conflicts.** No salaried officer or employee of the City and no member of the City Council of the City shall have a financial interest, direct or indirect, in this Agreement. The violation of this provision shall render this Agreement void.
23. **Governing Law.** This Agreement shall be controlled by the laws of the State of Minnesota.
24. **Counterparts.** This Agreement may be executed in multiple counterparts, each of which shall be considered an original.
25. **Severability.** The provisions of this Agreement are severable. If any portion hereof is, for any reason, held by a court of competent jurisdiction to be contrary to law, such decision shall not affect the remaining provisions of this Agreement.
26. **Notices.** Any notice to be given by either party upon the other under this Agreement shall be properly given: a) if delivered personally to the City Manager if such notice is to be given to the City, or if delivered personally to an officer of the Consultant if such notice is to be given to the Consultant, b) if mailed to the other party by United States registered or certified mail, return receipt requested, postage prepaid, addressed in the manner set forth below, or c) if given to a nationally, recognized, reputable overnight courier for overnight delivery to the other party addressed as follows:

If to City: City of Roseville
 Roseville City Hall
 2660 Civic Center Drive
 Roseville, MN 55113
 Attn: City Manager

If to Consultant: _____

 Attn: _____

Notices shall be deemed effective on the date of receipt if given personally, on the date of deposit in the U.S. mails if mailed, or on the date of delivery to an overnight courier if so delivered; provided, however, if notice is given by deposit in the U.S. mails or delivery to an overnight courier, the time for response to any notice by the other party shall commence to run one business day after the date of mailing or delivery to the courier. Any party may change its address for the service of notice by giving written notice of such change to the other party, in any manner above specified, 10 days prior to the effective date of such change.

27. **Entire Agreement.** Unless stated otherwise in this Provision 27, the entire agreement of the parties is contained in this Agreement. This Agreement supersedes all prior oral agreements and negotiations between the parties relating to the subject matter hereof as well as any previous agreements presently in effect between the parties relating to the subject matter hereof. Any alterations, amendments, deletions, or waivers of the provisions of this Agreement shall be valid only when expressed in writing and duly signed by the parties, unless otherwise provided herein. The following agreements supplement and are a part of this Agreement:

IN WITNESS WHEREOF, the undersigned parties have entered into this Agreement as of the date set forth above.

CITY OF ROSEVILLE

By: _____
Mayor

By: _____
City Manager

(NAME OF CONSULTANT)

By: _____

Its: _____

*Proposal for Engineering
Services*

**Comprehensive Surface water
Management Plan Update**



February 3, 2012



February 3, 2012

RE: City of Roseville, Minnesota
Comprehensive Surface Water
Management Plan Update
SEH No. P-ROSEV 118545

Debra Bloom, City Engineer
City of Roseville
2660 Civic Center Drive
Roseville, MN 55113

Dear Ms. Bloom:

By recommending SEH for the Comprehensive Surface Water Management Plan (CSWMP) Update, Roseville will achieve full community support for implementation of the CSWMP.

Six major factors contribute to achieving full support for plan implementation:

1. The project approach provides the City with "Best Value."
2. The modeling assessment and development strategy systematically resolves priority problem areas.
3. Public involvement throughout the planning process will improve customer service.
4. A realistic strategy for implementation results in attainment of plan goals.
5. Plan deliverables that will increase staff efficiencies.
6. Technology improves long-term regulatory responsiveness.

Our proposal outlines how these benefits will be realized as a result of the SEH approach. We have assembled a very experienced, multi-disciplined team to address all aspects of the plan in-house, streamlining plan preparation and coordination efforts of City staff.

Our project team, working closely with City staff and the community at-large will achieve full support for the plan and for effective plan implementation.

Respectfully submitted,

A handwritten signature in black ink, reading "Mark L. Lobermeier".

Mark L. Lobermeier, PE
Client Service Manager

A handwritten signature in black ink, reading "Ron Leaf".

Ron Leaf, PE
Project Manager

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The information contained in this Proposal was prepared specifically for you and contains proprietary information. We would appreciate your discretion in its reproduction and distribution. This information has been tailored to your specific project based on our understanding of your needs. Its aim is to demonstrate our ideas and approach to your project compared to our competition. We respectfully request that distribution be limited to individuals involved in your selection process.

SEH is a registered trademark of Short Elliott Hendrickson Inc.



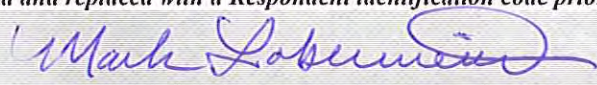
RESPONDENT OFFER – SIGNATURE AND CERTIFICATION FORM

The undersigned has carefully examined all instructions, requirements, specifications, terms and conditions of this RFP; understands all instructions, requirements, specifications, terms and conditions of this RFP; and hereby offers and proposes to furnish the services described herein at the prices quoted in the Respondent's Proposal, and in accordance with the requirements, specifications, terms and conditions of this RFP.

The Respondent also certifies:

1. Its proposal is a valid and irrevocable offer for the City's acceptance for a minimum of 90 days from the proposal deadline shown in the Submittal Guidelines (Page 2) of this RFP to allow time for evaluation, negotiation, selection, and any unforeseen delays, and that its proposal, if accepted, shall remain valid for the life of the contract.
2. It is a reputable firm engaged in providing engineering services necessary to meet the requirements, specifications, and terms and conditions of this RFP.
3. It has the necessary experience, knowledge, abilities, skills, and resources to satisfactorily perform the requirements, specifications, and accepts all terms and conditions of this RFP.
4. It is aware of, is fully informed about, and is in full compliance with all applicable federal, state, and local laws, rules, regulations, and ordinances.
5. All statements, information, and representations prepared and submitted in response to this RFP are current, complete, true, and accurate. The Respondent acknowledges that the City will rely on such statements, information, and representations in selecting the successful Respondent.
6. It shall be bound by all statements, representations, and guarantees made in its proposal including, but not limited to, representations as to performance and financial terms.
7. Submission of a proposal indicates the Respondent's recognition that some subjective judgments may be made by the City as part of the evaluation.

Shaded area will be redacted and replaced with a Respondent identification code prior to evaluation.

Authorized Signature:	X 
Name (type or print):	Mark Lobermeier, PE
Title (type or print):	Principal
Date:	2/3/2012

The SEH project approach will achieve full support for implementation

**Major Task No. 1:
Coordination with City
Staff and Reviewing
Agencies**

**Assumptions and
Responsibilities:**

SEH will participate, set-up, facilitate and document all meetings. City staff will participate in all meetings, and will amend the scope, schedule and budget as applicable.

Deliverables:

Agency MOA regarding requirements for plan approval. Final scope, schedule, and budget.

Ultimately, Best Value is delivered through City controlled scope and schedule



Respondent Proposal

Project Understanding and Approach

Roseville has proposed a two-pronged incremental approach to updating the comprehensive stormwater management plan:

- Reduce the hydraulic overloading of the existing stormwater infrastructure
- Mitigate waterbody impairment

The City's strategy includes:

- Introducing small scale BMPs into future street restoration programs
- Developing engineering standards for volume control, rate control, pollutant mitigation requirements for development and redevelopment

Project Approach Provides the City with “Best Value.” The key to keeping a planning project on time and within budget is to seek agency input and involvement from the outset. Our experience in local comprehensive surface water management plans has been that there is frequently a difference between the written requirements of the review agencies and the “actual” requirements communicated during formal plan review. Our approach to involving the agencies is to gain upfront clarity and commitment to the requirements that will be used to approve the City's plan. Next, we'll work with City staff to establish a process to establish goals and policies and identify problem areas, priorities and impairments. This effort will also include finalizing the strategy for public involvement and participation. Public involvement throughout the planning process will build community support for plan implementation. At the onset of the project, SEH will work with you to fine-tune the details of the public involvement approach – audiences, messages, venues, tools, and schedule. We share in your recognition of the importance of community involvement and will bring this structured approach to the project.

Ultimately, “Best Value” is delivered through City-controlled scope and schedule. After completion of these important first steps, the scope, schedule and budget will be revisited to consider any necessary amendments based on agency, staff and public input. One issue with meeting the schedule in the Request for Proposal (RFP) relates to the dissolution of the Grass Lake WMO. Roseville may be unable to obtain an approval for the Grass Lake area until the watershed organization is combined with an adjacent watershed organization – which could take up to 12 months or more.

The modeling assessment and development strategy systematically resolves priority problem areas. SEH will be able to hit the ground running based on our recent planning experience, knowledge gained in the development of the 1990 CSWMP, along with our previous work for the Grass Lake WMO, including field survey data and model calibration efforts. Our efforts will focus heavily on the extensive body of work that has occurred since the 2003 CSWMP was completed, including reports

Major Task No. 2: Understand the City's Current Surface Water Management Plan

Assumptions and Responsibilities:

City is responsible for all hands-on modeling and providing access to all available reports, studies, plans, mapping and GIS.

SEH will review and document available information, and collaborate with City modeling staff.

Deliverables:

Documentation of available information, recommendations to resolve existing problem areas.

Major Task No. 3: Effective and Meaningful Public Involvement Process

Assumptions and Responsibilities:

SEH will take the lead on all conducting and documenting all public involvement efforts

Deliverables:

Documentation of public input, concerns, objectives and priorities.

like the Lake Owasso Use Attainability Analysis and Lake McCarron's water quality improvement strategies. We understand there is a long list of problem areas as a result of July 2011 rain events. Similar to the effort that we undertook to support the City of Maplewood staff in response to last July's localized flooding, we will assist staff in fully evaluating alternatives for each of the major problem areas identified. Our ultimate goal is to help balance cost of trunk line improvements versus acquisition of impacted property.

Our modeling strategy is to not model, but rather involves reviewing the existing modeling results against the reported flooding areas and recommending modeling approaches for City staff. If modeling is required, we propose to mentor City staff as they develop the models and the expertise to keep those models up to date in the future. We have done this previously in Plymouth and Chanhassen. The modeling in the 1990 plan focused on flood routing, moving the runoff resulting from a 100-year rainfall event through the City's extensive network of ponds, lakes, and wetlands. Therefore greater efforts in modeling the performance of the storm sewer system itself will likely be needed in problem areas (i.e. XPSWMM) and/or future street improvement areas to evaluate potential enhancements. Over time, the City will develop a real-time model of the major storm drainage system.

Public involvement throughout the planning process will improve

customer service. There are multiple audiences for the CSWMP including agencies, businesses, citizens, commissions, council, developers, Ramsey County, and the Technical Advisory Panel. The RFP indicates that the interface with the public-at-large should be assumed to occur through up to three planned meetings with the Public Works, Environment and Transportation Commission (PWETC). The public meetings with PWETC are a good idea; however, additional effort will be required to achieve effective and meaningful public involvement.

Traditional public involvement utilized public open house meetings and comment cards. However, while many people are too busy to attend single-agenda meetings, their input is still vital. We propose to follow the "meetings in a box" approach utilized by the City during the development of the Parks Master Plan. We propose to attend the existing meetings of numerous commissions, boards, committees etc. to allow for a broader and more effective exchange of ideas, concerns, goals, objectives, and priorities and to implement the following:

- Develop a web presence to provide project information and solicit project input (City website or Project website)
- Capitalize on *Roseville Listens* web page to capture comments
- Use the *City News* newsletter to publish project information
- Develop an information postcard that educates residents and businesses about where and how to provide input: website, public meetings, or social media venues
- Determine how social media approach can be used disseminate information and gather input



Major Task No. 4: Goal Setting, Policies, Implementation Plan and Priorities

Assumptions and Responsibilities:

*SEH will prepare drafts. City
will provide prompt reviews.*

Deliverables:

*Mission statement, goals and
policies, implementation plan,
engineering standards and
developer guidelines*

Major Task No. 5: Development of Draft and Final Plan

Assumptions and Responsibilities:

*City will prompt feedback
on format*

Deliverables:

*Format for map-based final
plan, agency review documents*

Major Task No. 6: Follow-through on Approvals

Assumptions and Responsibilities:

*City will schedule with all
commissions and Council. SEH
will make presentations.*

Deliverables:

*Response to comments
document, final map-based
plan, first year subscription to
PermiTrack MS4 and training*
[http://mynpdespermit.com/
docs/ms4/SFHC016a.pdf](http://mynpdespermit.com/docs/ms4/SFHC016a.pdf)

A realistic strategy for implementation results in attainment of plan goals. Goals and policies established in CSWMPs are typically developed in accordance alignment with Minnesota Rules 8410 and the specific requirements of the Metropolitan Council and the three watershed organizations. Before adopting the often generic and non-community – specific goals and policies that will ultimately yield an implementation plan, we will work staff, agencies and citizens to establish an overall guiding mission statement for the plan. With a mission statement in place, the identified plan objectives will be established in a cause-and-effect manner that supports the overall mission. Each of the major plan objectives will have leading and lagging performance measures that will be used to report plan implementation and results.

The most cost-effective approach for plan implementation is to integrate BMPs with future street program improvements and re-development. *We also recommend integration with Parks Master Plan implementation* and other public/private partnerships. One of the critical deliverables will be engineering standards and developer guidelines that will ensure consistency in BMP implementation and stream line City staff involvement while improving customer service.

Plan deliverables will increase staff efficiencies. CSWMPs often consist of a land and water resource inventory, specific goals and policies, a description of problem areas and an implementation program. Most plans are delivered today as an electronic document that is posted on the city's web site. This type of plan may be traditional but not likely responsive to the post-planning needs of City staff or the public. We propose to develop a map-based, customized plan format that can receive agency approval, serve as a quick reference to city staff, provide consistent and clear direction relative to development standards, clarify the roles and responsibilities of multiple water resource management entities, and deliver transparency for the general public. As the City continues to explore options for asset management, we will evaluate options for using GIS as a base for the plan and how the plan can most effectively integrate with future asset management methods.

Technology improves long-term regulatory responsiveness. Short term responsiveness involves developing a plan that delivers the specific goals of the community while meeting the regulatory requirements of the Metropolitan Council and the three watersheds that overlay the City. There are no special tools or approaches for the short term aspect of plan approval. We will assemble all comments, develop a response to comments document, amend the plan as necessary to receive approval and then produce the final planning document. Longer-term responsiveness relates to plan implementation as well as the City's MS4 Storm water permitting reporting in accordance with MPCA and the US EPA. In the long-term, SEH proposes that the City use SEH online tools including PermiTrack MS4 – to improve the effectiveness and efficiency of annual MS4 reporting, and PermiTrack ESC – project tracking with partner accessibility and community transparency (<http://mynpdespermit.com/>).



Project Fees

 Project Tasks		Principal	Project Manager	Public Relations Specialist	Project Engineer	Project Scientist / Aquatic Specialist	Mapping/GIS Specialist	Environmental Designer/Landscape Architect	Administrative	Total Hours	Total Labor	Reimbursables	Total Fee
Task 1 - Coordination with City Staff and Review Agencies										74	\$9,564	\$50	\$9,614
	1.1 Project Kickoff Meeting	2	2							4			
	1.2 Two meetings with City Staff regarding goals, policies, problem areas and priorities	4	4							8			
	1.3 Conduct meetings with three watersheds and Metropolitan Council	3	3		10					16			
	1.4 Identify and evaluate review agency requirements				8					8			
	1.5 Identify and evaluate review other agency requirements				8					8			
	1.6 Incorporate comments of agencies into project scope				20					20			
	1.7 Finalize plan for public involvement	2	2	4						8			
	1.8 Finalize scope, schedule, and budget (as necessary) and provide to review agencies	1	2	1					2	6			
Task 2 - Understand City's Current Surface Water Management Plan										80	\$8,176	\$80	\$8,256
	2.1 Compile, review and evaluate relevant mapping data		2		4		8			14			
	2.2 Compile, review and evaluate relevant reports since 1990 CSWMP				20					20			
	2.3 Meet with City staff, watershed staff, etc to identify current problem areas		4		4					8			
	2.4 Evaluate and incorporate existing modeling data		4		20					24			
	2.4.1 Confirm validity of existing modeling efforts									0			
	2.4.2 Evaluate efficacy of existing models compared to problems and impairment									0			
	2.4.3 Confirm and update existing subwatershed boundaries						4			4			
	2.4.4 Identify deficiencies in modeling and provide recommendations to update models									0			
	2.5 Confirm and update existing subwatershed boundaries, pond and lake elevations				8		2			10			
Task 3 - Facilitation of an Effective and Meaningful Public Involvement Process										90	\$12,110	\$225	\$12,335
	3.1 Provide a strategy for public involvement and approvals by Council and Commissions	6	10	16	28					60			
	3.1.1 Assessment of issues and concerns									0			
	3.1.2 Management of meetings									0			
	3.1.3 Translation of input to goals/policies									0			
	3.1.5 Implementation Plan and Financing									0			
	3.2 Formation and facilitation of three TAP meetings		4		2					6			
	3.3 Facilitation of three meetings of the PWETC		12		12					24			
Task 4 - Goal Setting, Policies, Implementation Plan and Priorities										146	\$15,757	\$100	\$15,857
	4.1 Facilitate the establishment of goals and policies based on staff, agency and public input	2	6		8					16			
	4.2 Identify and prioritize drainage system issues				16					16			
	4.3 Provide recommendations and potential concept solutions to mitigate issues	2	4		24		8	8		46			
	4.4 Include potential projects as specific implementation activities		4		4					12			
	4.5 Develop specific implementation activities corresponding with established goals		2					4		6			
	4.6 Establish performance measures for implementation activities	2	2		4					8			
	4.7 Provide estimated costs as well as available resources				24		4			28			
	4.8 Provide proposed financing mechanisms and resources necessary to implement plan	2			8		4			14			
Task 5 - Development of Draft and Final Plan Deliverables										166	\$16,404	\$600	\$17,004
	5.1 Develop document into a desk-reference format		2	4	12				24	42			
	5.2 Utilize custom format for narrative			4	4					8			
	5.3 Prepare clear and concise maps and graphics		2			24				26			
	5.4 Prepare data summary tables for water levels and impairments				12								
	5.5 Prepare glossary of terms				4					4			
	5.6 Compile and deliver progress draft at the end of public involvement			4	20				12	36			
	5.7 Distribute draft to review agencies for 45/60 day review period				4				4	8			
	5.8 Distribute final plan copy to review agencies				16					16			
	5.9 Prepare electronic plan version for posting online and for final distribution		2		4	4			16	26			
Task 6 - Follow-through on Approvals										66	\$6,334	\$550	\$6,884
	6.1 Compile and address inter-agency review comments		2							2			
	6.2 Compile comments from City Commissions and advisory groups		2		2					4			
	6.3 Attend Watershed Board meetings and one City Council meeting				12					12			
	6.4 Incorporate review comments into the final plan				12	4	8	2	12	38			
	6.5 Provide submittals to all agencies responsible for approval				2				4	6			
	6.6 Obtain final approvals with review agencies and City Council.		4							4			
	6.7 Provide one -year subscription to PermiTrack MS4 including training (no cost)												
Total Not to Exceed Cost (including reimbursables)													\$69,950
Reimbursable Expenses													\$1,605
Total Hours													638

The estimated fees are based on the scope of work included in the City RFP. All planning projects have unknowns that can impact budget and schedule. It is recommended that the City consider establishing allowances in the over all budget to account for those unknowns. If selected for the work, SEH will contract for the not to exceed figure shown in the table. The recommended allowances include \$10,000 for additional modeling support, \$10,000 for additional public involvement and \$5,000 for plan approval due to potential delays following the dissolution of the GLWMO. If required, the City could authorize additional work within an authorized budget based on the not to exceed figure and the recommended allowances.

SEH Hourly Billable Rate Range

Classification Billable Rate⁽¹⁾

Office Staff

Principal	\$135.00 - \$199.00
Project Manager	\$100.00 - \$199.00
Project Engineer	\$97.00 - \$134.00
Staff Engineer	\$68.00 - \$109.00
Project Architect	\$100.00 - \$116.00
Staff Architect	\$67.00 - \$96.00
Senior Project Scientist	\$106.00 - \$133.00
Project Scientist	\$73.00 - \$93.00
Staff Scientist	\$60.00 - \$80.00
Project Planner	\$80.00 - \$107.00
Staff Planner	\$75.00 - \$85.00
Project GIS Analyst	\$80.00 - \$120.00
Word Processor	\$55.00 - \$90.00
General Clerical	\$55.00 - \$90.00
Graphic Designers	\$80.00 - \$98.00

Field Staff

Licensed Land Surveyor	\$94.00 - \$117.00
Survey Crew Chief	\$70.00 - \$110.00
Survey Instrument Operator	\$55.00 - \$65.00

⁽¹⁾ The actual rate charged is dependent upon the hourly rate of the employee assigned to the project. The rates shown are subject to change.

Effective: January 1, 2012

Expires: December 31, 2012



Project Schedule

	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Coordination with City Staff and Reviewing Agencies										
<i>Kick off Meeting</i>	12th									
Understand the City's Current Surface Water Management Plan										
<i>Model Review</i>										
<i>City Modeling Efforts</i>										
Effective and Meaningful Public Involvement Process										
<i>PWETC Meetings</i>		24th		26th	24th					
Goal Setting, Policies, Implementation Plan and Priorities										
Development of Draft and Final Plan										
<i>Progress Draft</i>			31st							
<i>60 day Agency Review</i>										
Follow-through on Approvals										
<i>Response to comments</i>										
<i>*Watershed Board Approval</i>										
<i>*City Council Approval</i>										10th

* The ultimate adoption date by the City Council is difficult to predict after the dissolution of the Grass Lake Watershed.

References

City of Maplewood

1830 County Road B East
Maplewood, MN 55109
DuWayne Konewko
651.249.2330
duwayne.konewko@ci.maplewood.mn.us

City of Maplewood

1902 County Road B East
Maplewood, MN 55109
Michael Thompson
651.249.2403
michael.thompson@ci.maplewood.mn.us

City of Vadnais Heights

800 East County Road E
Vadnais Heights, MN 55127
Mark Graham
651.204.6050
mark.graham@cityvadnaisheights.com

City of Shoreview

4600 Victoria St N
Shoreview, MN 55126
Mark Maloney
651.490.4651
mmaloney@shoreviewmn.gov

City of Burnsville

100 Civic Center Pkwy
Burnsville, MN 55337
Ryan Peterson
651.895.4459
ryan.peterson@ci.burnsville.mn.us

City of Burnsville

13713 Frontier Court
Burnsville, MN 55337
Terry Schultz
952.895.4505
terry.schultz@ci.burnsville.mn.us

City of Oakdale

1584 Hadley Avenue North
Oakdale, MN 55128
Brian Bachmeier
651.730.2730
brian.bachmeier@ci.oakdale.mn.us

Six Cities WMO

c/o Coon Rapids Public Works
1831 111th Ave
Coon Rapids MN 55433
Steve Gatlin
763-767-6479
sgatlin@coonrapidsmn.gov

Attachment C
SURVEY QUESTIONNAIRE
CITY OF ROSEVILLE

Survey ID

To: DuWayne Konewko
(Name of person completing survey)

Phone: 651.249.2330

Fax: 651.249.2319

Subject: Past Performance Survey of: Short Elliott Hendrickson Inc. (SEH)

(Name of Company)

Ron Leaf

(Name of Individuals)

The City of Roseville is implementing a process that collects past performance information on firms and their key personnel. The firm/individual listed above has listed you as a client for which they have previously performed work. We would appreciate your taking the time to complete this survey. Rate each of the criteria on a scale of 1 to 10, with 10 representing that you were very satisfied (and would hire the firm/individual again) and 1 representing that you were very unsatisfied (and would never hire the firm/individual again). Please rate each of the criteria to the best of your knowledge. If you do not have sufficient knowledge of past performance in a particular area, leave it blank.

Client City of Maplewood
Project Surface Water Plan Update, NonDeg Plan

Date

1/17/12

NO	CRITERIA	UNIT	
1	Ability to manage the project cost (minimize change orders)	(1-10)	8
2	Ability to maintain project schedule (complete on-time or early)	(1-10)	9
3	Quality of workmanship	(1-10)	10
4	Professionalism and ability to manage (includes responses and prompt payment to suppliers and subcontractors)	(1-10)	10
5	Close out process (no punch list upon turnover, warranties, as-builts, operating manuals, tax clearance, etc. submitted promptly)	(1-10)	9
6	Communication, explanation of risk, and documentation	(1-10)	9
7	Ability to follow the Users rules, regulations, and requirements (housekeeping, safety, etc...)	(1-10)	10
8	Overall customer satisfaction and comfort level in hiring vendor/individual again	(1-10)	10

Thank you for your time and effort in assisting the City of Roseville in this important endeavor.
Please fax the completed survey to: Barb Miller at Fax # (651) 490.2150 or email a scanned copy to bmiller@sehinc.com

Printed Name (of Evaluator)

Signature (of Evaluator)

Attachment C
SURVEY QUESTIONNAIRE
CITY OF ROSEVILLE

Survey ID _____

To: Michael Thompson

(Name of person completing survey)

Phone: 651.249.2403

Fax: 651.249.2409

Subject: Past Performance Survey of: Short Elliott Hendrickson Inc. (SEH)

(Name of Company)

Ron Leaf

(Name of Individuals)

The City of Roseville is implementing a process that collects past performance information on firms and their key personnel. The firm/individual listed above has listed you as a client for which they have previously performed work. We would appreciate your taking the time to complete this survey. Rate each of the criteria on a scale of 1 to 10, with 10 representing that you were very satisfied (and would hire the firm/individual again) and 1 representing that you were very unsatisfied (and would never hire the firm/individual again). Please rate each of the criteria to the best of your knowledge. If you do not have sufficient knowledge of past performance in a particular area, leave it blank.

Client City of Maplewood Date _____
Project Surface Water Plan Update, Gladstone, Water Resources Consultant

NO	CRITERIA	UNIT	
1	Ability to manage the project cost (minimize change orders)	(1-10)	9
2	Ability to maintain project schedule (complete on-time or early)	(1-10)	10
3	Quality of workmanship	(1-10)	10
4	Professionalism and ability to manage (includes responses and prompt payment to suppliers and subcontractors)	(1-10)	10
5	Close out process (no punch list upon turnover, warranties, as-builts, operating manuals, tax clearance, etc. submitted promptly)	(1-10)	9
6	Communication, explanation of risk, and documentation	(1-10)	9
7	Ability to follow the users rules, regulations, and requirements (housekeeping, safety, etc...)	(1-10)	9
8	Overall customer satisfaction and comfort level in hiring vendor/individual again	(1-10)	10

Thank you for your time and effort in assisting the City of Roseville in this important endeavor.
Please fax the completed survey to: Barb Miller at Fax # (651) 490.2150 or email a scanned copy to bmiller@sehinc.com

Michael Thompson
Printed Name (of Evaluator)
Maplewood City Engineer

[Signature]
Signature (of Evaluator)

1/13/12

Attachment C
SURVEY QUESTIONNAIRE
CITY OF ROSEVILLE

Survey ID

To: Mark Graham
(Name of person completing survey)

Phone: 651.204.6050

Fax: 651.204.6100

Subject: Past Performance Survey of: Short Elliott Hendrickson Inc. (SEH)

(Name of Company)

Ron Leaf, staff

(Name of Individuals)

The City of Roseville is implementing a process that collects past performance information on firms and their key personnel. The firm/individual listed above has listed you as a client for which they have previously performed work. We would appreciate your taking the time to complete this survey. Rate each of the criteria on a scale of 1 to 10, with 10 representing that you were very satisfied (and would hire the firm/individual again) and 1 representing that you were very unsatisfied (and would never hire the firm/individual again). Please rate each of the criteria to the best of your knowledge. If you do not have sufficient knowledge of past performance in a particular area, leave it blank.

Client City of Vadnais Heights Date 1/13/12
Project Surface Water Plan Update

NO	CRITERIA	UNIT	
1	Ability to manage the project cost (minimize change orders)	(1-10)	10
2	Ability to maintain project schedule (complete on-time or early)	(1-10)	10
3	Quality of workmanship	(1-10)	10
4	Professionalism and ability to manage (includes responses and prompt payment to suppliers and subcontractors)	(1-10)	10
5	Close out process (no punch list upon turnover, warranties, as-builts, operating manuals, tax clearance, etc. submitted promptly)	(1-10)	10
6	Communication, explanation of risk, and documentation	(1-10)	10
7	Ability to follow the users rules, regulations, and requirements (housekeeping, safety, etc...)	(1-10)	10
8	Overall customer satisfaction and comfort level in hiring vendor/individual again	(1-10)	10+

Thank you for your time and effort in assisting the City of Roseville in this important endeavor.
Please fax the completed survey to: Barb Miller at Fax # (651) 490.2150 or email a scanned copy to bmiller@sehinc.com

Mark Graham, P.E.

Printed Name (of Evaluator)

Vadnais Heights
City Engineer

Mark Graham

Signature (of Evaluator)

Page 14

I give S.E.H. my
absolute highest
recommendation.

Attachment C
SURVEY QUESTIONNAIRE
CITY OF ROSEVILLE

Survey ID

To:

Mark Maloney

(Name of person completing survey)

Phone: 651.490.4651

Fax: 651.490.4699

Subject: Past Performance Survey of:

Short Elliott Hendrickson Inc. (SEH)

(Name of Company)

Ron Leaf, Mark Lobermeier

(Name of Individuals)

The City of Roseville is implementing a process that collects past performance information on firms and their key personnel. The firm/individual listed above has listed you as a client for which they have previously performed work. We would appreciate your taking the time to complete this survey. Rate each of the criteria on a scale of 1 to 10, with 10 representing that you were very satisfied (and would hire the firm/individual again) and 1 representing that you were very unsatisfied (and would never hire the firm/individual again). Please rate each of the criteria to the best of your knowledge. If you do not have sufficient knowledge of past performance in a particular area, leave it blank.

Client City of Shoreview

Date 2005-present

Project Surface Water Management Plan, Turtle Lake Augmentation

NO	CRITERIA	UNIT	
1	Ability to manage the project cost (minimize change orders)	(1-10)	10
2	Ability to maintain project schedule (complete on-time or early)	(1-10)	10
3	Quality of workmanship	(1-10)	10
4	Professionalism and ability to manage (includes responses and prompt payment to suppliers and subcontractors)	(1-10)	10
5	Close out process (no punch list upon turnover, warranties, as-builts, operating manuals, tax clearance, etc. submitted promptly)	(1-10)	10
6	Communication, explanation of risk, and documentation	(1-10)	10
7	Ability to follow the users rules, regulations, and requirements (housekeeping, safety, etc...)	(1-10)	10
8	Overall customer satisfaction and comfort level in hiring vendor/individual again	(1-10)	10

Thank you for your time and effort in assisting the City of Roseville in this important endeavor.
Please fax the completed survey to: Barb Miller at Fax # (651) 490.2150 or email a scanned copy to bmiller@sehinc.com

MARK MALONEY, Dir. of Public Works
Printed Name (of Evaluator)

[Signature]
Signature (of Evaluator)

Attachment C
SURVEY QUESTIONNAIRE
CITY OF ROSEVILLE

Survey ID

To: Ryan Peterson
(Name of person completing survey)

Phone: 952.895.4459 Fax: 952.895.4404

Subject: Past Performance Survey of: Short Elliott Hendrickson Inc. (SEH)
(Name of Company)
Ron Leaf, Staff
(Name of Individuals)

The City of Roseville is implementing a process that collects past performance information on firms and their key personnel. The firm/individual listed above has listed you as a client for which they have previously performed work. We would appreciate your taking the time to complete this survey. Rate each of the criteria on a scale of 1 to 10, with 10 representing that you were very satisfied (and would hire the firm/individual again) and 1 representing that you were very unsatisfied (and would never hire the firm/individual again). Please rate each of the criteria to the best of your knowledge. If you do not have sufficient knowledge of past performance in a particular area, leave it blank.

Client City of Burnsville Date 1/13/12
Project Surface Water Plan Update, Water Resources Consultant, Standards/Ordinances

NO	CRITERIA	UNIT	
1	Ability to manage the project cost (minimize change orders)	(1-10)	10
2	Ability to maintain project schedule (complete on-time or early)	(1-10)	10
3	Quality of workmanship	(1-10)	10
4	Professionalism and ability to manage (includes responses and prompt payment to suppliers and subcontractors)	(1-10)	10
5	Close out process (no punch list upon turnover, warranties, as-builts, operating manuals, tax clearance, etc. submitted promptly)	(1-10)	10
6	Communication, explanation of risk, and documentation	(1-10)	10
7	Ability to follow the users rules, regulations, and requirements (housekeeping, safety, etc...)	(1-10)	10
8	Overall customer satisfaction and comfort level in hiring vendor/individual again	(1-10)	10

Thank you for your time and effort in assisting the City of Roseville in this important endeavor.
Please fax the completed survey to: Barb Miller at Fax # (651) 490.2150 or email a scanned copy to bmiller@sehinc.com

Ryan Peterson
Printed Name (of Evaluator)


Signature (of Evaluator)

Attachment C
SURVEY QUESTIONNAIRE
CITY OF ROSEVILLE

Survey ID

To: Terry Schultz
(Name of person completing survey)

Phone: 952.895.4505 Fax: 952.895.4531

Subject: Past Performance Survey of: Short Elliott Hendrickson Inc. (SEH)
(Name of Company)
Ron Leaf, Mark Lobermeier
(Name of Individuals)

The City of Roseville is implementing a process that collects past performance information on firms and their key personnel. The firm/individual listed above has listed you as a client for which they have previously performed work. We would appreciate your taking the time to complete this survey. Rate each of the criteria on a scale of 1 to 10, with 10 representing that you were very satisfied (and would hire the firm/individual again) and 1 representing that you were very unsatisfied (and would never hire the firm/individual again). Please rate each of the criteria to the best of your knowledge. If you do not have sufficient knowledge of past performance in a particular area, leave it blank.

Client City of Burnsville Date 1/23/12
Project Surface Water Plan Update, Water Resources Consultant, Heart of the City

NO	CRITERIA	UNIT	
1	Ability to manage the project cost (minimize change orders)	(1-10)	10
2	Ability to maintain project schedule (complete on-time or early)	(1-10)	9
3	Quality of workmanship	(1-10)	10
4	Professionalism and ability to manage (includes responses and prompt payment to suppliers and subcontractors)	(1-10)	10
5	Close out process (no punch list upon turnover, warranties, as-builts, operating manuals, tax clearance, etc. submitted promptly)	(1-10)	10
6	Communication, explanation of risk, and documentation	(1-10)	10
7	Ability to follow the users rules, regulations, and requirements (housekeeping, safety, etc...)	(1-10)	10
8	Overall customer satisfaction and comfort level in hiring vendor/individual again	(1-10)	10

Thank you for your time and effort in assisting the City of Roseville in this important endeavor.
Please fax the completed survey to: Barb Miller at Fax # (651) 490.2150 or email a scanned copy to bmiller@sehinc.com

Terry Schultz
Printed Name (of Evaluator)

Terry I. Schultz
Signature (of Evaluator)

Attachment C
SURVEY QUESTIONNAIRE
CITY OF ROSEVILLE

Survey ID _____

To: Brian Bachmeier
(Name of person completing survey)

Phone: 651.730.2730 Fax: 651.730.2820

Subject: Past Performance Survey of: Short Elliott Hendrickson Inc. (SEH)
(Name of Company)

Ron Leaf, staff
(Name of Individuals)

The City of Roseville is implementing a process that collects past performance information on firms and their key personnel. The firm/individual listed above has listed you as a client for which they have previously performed work. We would appreciate your taking the time to complete this survey. Rate each of the criteria on a scale of 1 to 10, with 10 representing that you were very satisfied (and would hire the firm/individual again) and 1 representing that you were very unsatisfied (and would never hire the firm/individual again). Please rate each of the criteria to the best of your knowledge. If you do not have sufficient knowledge of past performance in a particular area, leave it blank.

Client City of Oakdale Date _____
Project Surface Water Plan Update

NO	CRITERIA	UNIT	
1	Ability to manage the project cost (minimize change orders)	(1-10)	10
2	Ability to maintain project schedule (complete on-time or early)	(1-10)	10
3	Quality of workmanship	(1-10)	10
4	Professionalism and ability to manage (includes responses and prompt payment to suppliers and subcontractors)	(1-10)	10
5	Close out process (no punch list upon turnover, warranties, as-builts, operating manuals, tax clearance, etc. submitted promptly)	(1-10)	10
6	Communication, explanation of risk, and documentation	(1-10)	10
7	Ability to follow the users rules, regulations, and requirements (housekeeping, safety, etc...)	(1-10)	10
8	Overall customer satisfaction and comfort level in hiring vendor/individual again	(1-10)	10

Thank you for your time and effort in assisting the City of Roseville in this important endeavor.
Please fax the completed survey to: Barb Miller at Fax # (651) 490.2150 or email a scanned copy to bmiller@sehinc.com

Brian Bachmeier
Printed Name (of Evaluator)

[Signature]
Signature (of Evaluator)

Attachment C
SURVEY QUESTIONNAIRE
CITY OF ROSEVILLE

Survey ID

To: Steve Gatlin
(Name of person completing survey)Phone: 763.767.6479 Fax: 763.767.6573Subject: Past Performance Survey of: Short Elliott Hendrickson Inc. (SEH)

(Name of Company)

Mark Lobermeier

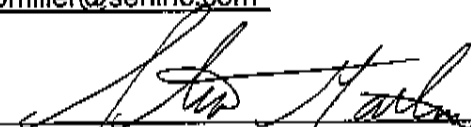
(Name of Individuals)

The City of Roseville is implementing a process that collects past performance information on firms and their key personnel. The firm/individual listed above has listed you as a client for which they have previously performed work. We would appreciate your taking the time to complete this survey. Rate each of the criteria on a scale of 1 to 10, with 10 representing that you were very satisfied (and would hire the firm/individual again) and 1 representing that you were very unsatisfied (and would never hire the firm/individual again). Please rate each of the criteria to the best of your knowledge. If you do not have sufficient knowledge of past performance in a particular area, leave it blank.

Client Six Cities WMO
Project Watershed EngineerDate 1/18/12

NO	CRITERIA	UNIT	
1	Ability to manage the project cost (minimize change orders)	(1-10)	8
2	Ability to maintain project schedule (complete on-time or early)	(1-10)	9
3	Quality of workmanship	(1-10)	10
4	Professionalism and ability to manage (includes responses and prompt payment to suppliers and subcontractors)	(1-10)	9
5	Close out process (no punch list upon turnover, warranties, as-builts, operating manuals, tax clearance, etc. submitted promptly)	(1-10)	8
6	Communication, explanation of risk, and documentation	(1-10)	10
7	Ability to follow the users rules, regulations, and requirements (housekeeping, safety, etc...)	(1-10)	9
8	Overall customer satisfaction and comfort level in hiring vendor/individual again	(1-10)	9

Thank you for your time and effort in assisting the City of Roseville in this important endeavor.
Please fax the completed survey to: Barb Miller at Fax # (651) 490.2150 or email a scanned copy to bmiller@sehinc.com

Steve Gatlin
Printed Name (of Evaluator)
Signature (of Evaluator)

SEH is uniquely qualified to meet the complex and ever-changing requirements that the City faces

The best measure of our performance can be found in the client surveys in the preceding pages of this proposal.



Firm Background and Qualifications

Roseville has a demonstrated history of being on the front edge of stormwater management. Roseville developed a comprehensive storm sewer plan in the 1970s. In the mid 1980's, Roseville developed a comprehensive surface water management plan including complete flood routing of more than 100 ponds and wetlands, in response to local requirements of the Watershed Management Act of 1982. Roseville implemented the state's first stormwater utility in the early 1980s, and developed a joint powers agreement with Shoreview to manage stormwater in the Grass Lake Watershed.

A multitude of plans and models have been developed since the City's 1990 plan. A new watershed district – Capital Region - was formed; Wetland rules and regulations were developed and adopted in accordance the wetland Conservation Act and the Federal Clean Water Act. MS4 storm water permit rules and total maximum daily load (TMDL) studies were developed, followed by identification of impaired waters. Best Management Practices (BMPs) are targeted at infiltration and volume control, versus detention and rate control.

SEH is uniquely qualified to meet the complex and ever-changing requirement that the City faces. Our long work history in Roseville is unmatched. Our recent local planning experience demonstrates our ability to help our clients keep pace with the myriad of requirements and ever-changing federal, state and regional regulations. Our extensive portfolio of BMP implementation projects demonstrates flexibility, creativity, and cost-effective integration of stormwater elements with street projects, private develop and park restoration.

Demonstrated Performance

The following summarizes our history of water resources management in the metropolitan area and our continuous service to numerous clients.

- **1980 - 1990:** Comprehensive Surface Water Management Planning for Roseville, Shoreview, Vadnais Heights, North St. Paul, Oakdale and Mounds View
- **1990 - 2000:** Comprehensive Surface Water Plans –Vadnais Heights (update), Lino Lakes, River Falls, Plymouth; Technical Consultant Grass Lake WMO; 2nd Generation WMO Plan – Six Cities, Lower Rum; Storm Water Utilities – Chanhassen, Eden Prairie, Shoreview, Vadnais Heights, Mounds View.
- **2000 - 2010:** Comprehensive Surface Water Plan Updates – Arden Hills, Chanhassen, Hopkins, Shoreview, Vadnais Heights, Burnsville, Maplewood, Long Lake, Oakdale; 3rd Generation WMO Plan – Six Cities; Storm Water Utilities – Maplewood, Minneapolis; Development of PermiTrack.
- **2010 – Present:** University of Minnesota St. Paul Campus GIS-based stormwater plan; Sweeney Lake TMDL, Minneapolis urban BMP implementation; Stormwater Utilities – Little Calumet River Commission, Mankato, Shorewood Village (Milwaukee).

Planning Experience

Surface Water Management Plan Update – Oakdale, Minn. Key deliverables for this project included an update to the City-wide hydrologic model and incorporating the volume control requirements of the three watershed districts -RWMWD, VBWD and SWWD.

Surface Water Management Plan Update and Non-Degradation Analysis – Maplewood, Minn. Established volume control requirements and incorporated recommendations of Non-degradation Analysis. Included coordination with three watershed districts - RWMWD, CRWD, and VBWD.

Surface Water Management Plan Update – Chanhassen, Minn. Included city-wide hydrologic model update; completion of MnRAM wetland assessments and GIS-mapping for more than 385 wetlands, 85 ponds and several lake and stream corridor features. Included field survey of storm sewer structures, creation of GIS-based database; updating lake management and development of goals and policies through the City's Task Force.

Surface Water Management Plan Update – Shoreview, Minn. Update focused on NPDES Phase II program requirements, hydrologic modeling, updating wetland inventory and addressing the goals and policies of two local Watershed Management Organizations. Another key aspect of the project was creating an "chapterized" web-based version of the plan as the primary format.

Second Generation Water Resources Management Plan – Burnsville, Minn. Included update of the City-wide hydrologic model and provides consistency with the City's Comprehensive Plan. Established a 15-year, \$25 million CIP for addressing goals and activities of more than 24 implementation topics. The Plan fulfills much of MPCA's NPDES Phase II permit program requirements.

Kinnickinnic River Watershed Management Plan - River Falls, Wis. Comprehensive water quality and hydrologic study of 64-square miles tributary area to the Kinnickinnic River – one of Midwest's highest quality trout waters. Addressed the impacts of urban runoff. Included thermal monitoring, water quality monitoring, modeling of urban runoff and ground water assessment. Implementation plan designed to accommodate development while protecting the cold-water resource from the thermal and total suspended solids influence of runoff. Engineering standards and developer guidelines focused on mimicking 12% impervious through land use controls and infiltration practices.



Best Management Practices and Special Studies

Heart of the City, Stormwater Low-Impact Development Plan and Guide Manual – Burnsville, Minn. Prepared stormwater plan and guide manual for the Heart of the City redevelopment project, providing a more in-depth look at HOC requirements, advantages/disadvantages of LID practices, specific BMP recommendations for the HOC, design information, and a worksheet process to evaluate if LID practices will meet the HOC requirements. Also prepared cost estimates and a MEP Grant Application for which the City was awarded \$75,000 by the Metropolitan Council. The second phase of the project includes reviewing development plans, developing construction specifications and maintenance agreements, and assisting the City with administration of the MEP Grant cost-share program.

Sweeney Lake TMDL Study – Bassett Creek Watershed Management Commission. SEH lead this TMDL study in cooperation with, City of Golden Valley, the MPCA, and local residents to assess the loading contributions for this urban lake. The lake is impaired for nutrients.

Marquette and 2nd Avenues Transitway – Minneapolis, Minn. BMP design to reduce stormwater run-off and protect the Mississippi River as well as increase the growth of healthy trees. Pervious pavers were used along with Silva-cells to provide a water quality treatment filter and room for root growth.

XP-SWMM Storm Sewer System Modeling – Minneapolis, Minn. Hydrologic and hydraulic analysis of complex storm sewer systems comprised of multiple pipes, pumps and holding areas. All projects were summarized in separate reports to the City that discussed flooding areas, storm sewer problem areas, and recommendations for improvements with costs estimates, charts and maps. Included a transient wave analysis by Dr. Charles Song that was incorporated into the XP-SWMM modeling simulations.

Chatsworth and Pierce Butler Site BMPs – St. Paul, Minn. Redevelopment project located on a highly urbanized and impervious site. Involved soil remediation, site grading, utilities, and parking lot/street reconstruction as well as stormwater BMPs to meet the standards of the MPCA, CRWD, and City. The design included three parking lot island rain gardens for treatment and a dry pond for rate control. Due to concerns regarding pervious soil contamination, the rain gardens were designed as filtration practices by underlating them with an impervious geomembrane filter.

Geranium Street Park Porous Pavement – Maplewood, Minn. Design of several rainwater gardens, an infiltration basin with a porous dam and a porous pavement parking lot in the adjacent park.

Storm Water Management Ordinance – River Falls, Wis. One of a kind ordinance that combined erosion control and storm water management elements to minimize impacts to the Kinnickinnic River. The ordinance proposes a minimum level of impervious cover of 12% with providing mitigation. The impervious cover restrictions are designed to minimize thermal pollution to the cold-water river.



Example Deliverables

The links below provide access to the finished plans for three SEH clients:

<http://www.ci.chanhassen.mn.us/serv/cip/swmp/index.html>

<http://www.shoreviewmn.gov/pdfs/documents/surface-water-management-plan.pdf>

<http://www.ci.burnsville.mn.us/DocumentView.aspx?DID=1520>

SEH will work with City staff to develop a custom format based on how you use the plan.

Our initial concept is to use GIS to develop a map-based deliverable with data link to provide for a more interactive experience.

Once posted to project website(s), plan accessibility can be impacted by website upgrades.

For example, the chapterized accessibility of the Shoreview plan is no longer available in the online version of the plan.

Local Experience

TH 36/Rice Street (CSAH 49) Interchange – Ramsey County, Minn.

Preliminary and final storm system design efforts and related coordination with regulatory agencies. Coordinated drainage and stormwater treatment with the project partners: Ramsey County, MnDOT, Maplewood, Little Canada, Roseville, and the review agencies including CRWD and RWMWD.

County Road C Storm System Analysis and Design – Ramsey County, Minn.

XP-SWMM storm sewer modeling and design of proposed stormwater ponding areas along the road corridor. The project incorporated water quality treatment and flood storage capacity beyond the needs of the County Road C requirements to help address goals of the City of Roseville.

Water Quality Rulemaking Study – Capitol Region Watershed District.

Evaluation of storm water treatment options for three hypothetical sites within the highly-urban area of the CRWD. SEH was one of four teams looking at the feasibility of meeting various standards that were being considered by the watershed. The study supported the District's volume control standards.

Ladyslipper Park Improvements – Roseville, Minn. Evaluated several alternatives to provide stormwater treatment for the adjacent street and residential area. Analyzed options for improving channel conditions for canoe access, evaluating the maintenance and permitting needs and wetland impacts and mitigation needs.

Lake Survey Project - Grass Lake Water Management Organization.

Developed bathymetric mapping of portions of Lake Owasso and Lake Wabasso in Roseville and Shoreview. Used the P-8 Urban Catchment Model to evaluate the use of urban Best Management Practices to reduce sediment loading to the lakes.

Lake Owasso Outlet Modifications - Grass Lake Water Management Organization.

Prepared plans and specifications for lake outlet modification to minimize the long-term effects of high water elevations. The design included a sensitivity analysis of the watershed area to minimize downstream impacts. The outlet resulted in a 50% reduction in draw down time without replacing the existing culvert.

Operational Manual - Grass Lake Water Management Organization.

Prepared manual to familiarize WMO board, staff, member cities and citizens with the operational procedures of the WMO. The manual describes the day to day functions of the WMO, a hazardous spill response plan and a lake level control plan for the watershed.



Problems Encountered and Solutions Devised

Ultimately, “Best Value” is delivered through City-controlled scope and schedule.

The table to the right summarizes four surface water management planning projects, three of which are included in our client surveys. As the table illustrates, projects routinely exceed budget and/or schedule. The discussion that follows provides an explanation for the overruns. In all cases, the client approved the changes in scope and schedule.

Even with delays in plan adoption, one of the important early deliverables is the implementation plan. This tool provides value in advance of formal plan adoption by the Council.

Project budgets can be best managed by completing separate special studies as independent projects, rather than amending the planning contract as is often the case.

History of Project Delivery

Project	Design Time (months)		Budget	
	Contract	Actual	Contract	Actual
Burnsville Comprehensive Surface Water Management Plan Update	13	32	\$75,900	\$293,638
Chanhassen Surface Water Management Plan Update	24	24	\$300,300	\$343,100
Vadnais Heights Surface Water Management Plan Update	7	28	\$43,500	\$43,594
Six Cities WMO 3 rd Generation Plan	14	18	\$60,000	\$78,000

Burnsville Comprehensive Surface Water Management Plan Update

The Burnsville contract was amended seven times based on requests for additional information and analysis. Modeling was not part of the original scope but modeling was found to be necessary once the project was underway. Similarly, the City saw value in completing water quality monitoring to characterize storm water quality. The project addressed localized flooding in the northeast part of the City during the planning process – which almost doubled the size of the contract. Staff changes played a part in the schedule, impacting staff responsiveness and introducing new ideas and philosophies after the project was underway. The number of meetings with the public and Council increased significantly from the original scope.

Chanhassen Surface Water Management Plan Update

The Chanhassen project had a very detailed scope and a significant amount of field work. The initial budget reflected the effort required. The project was finished on schedule. The increase in project budget was due primarily to several special studies being requested during the planning process.

Vadnais Heights Surface Water Management Plan Update

The Vadnais Heights project came in on budget. However, plan adoption was delayed 21 months. Staff was unavailable during plan review due to illness. When staff was available, the plan adoption was a low priority as they were able to proceed with implementation without adoption. Plan adoption was delayed to coordinate with the City’s Comprehensive Plan update. Adoption was further delayed by 3rd Generation Planning efforts by the two watersheds in the City.

Six Cities WMO 3rd Generation Plan

The project was delayed in order to gain review agency involvement and to incorporate a Technical Advisory Panel, which was not in the scope. BWSR required a Citizen Advisory Committee, but the member cities had a difficult time in getting public interest and participation. The plan review and response to comments was not delayed despite the review agencies asking for information goals, policies and implementation items that had not been previously communicated.



Ron Leaf will be the project manager for the Roseville plan update.

Ron's recent planning experience includes plan updates for Maplewood, Chanhassen, Shoreview, Vadnais Heights, and Oakdale.

Mark Lobermeier adds a unique historical perspective, as well as planning at the local and region level.

In-house expertise streamlines coordination.



Project Team

We have assembled a very experienced team to address all aspects of the Plan update project. All elements of the project will be addressed with in-house staff, which will streamline project management efforts and coordination with City staff. Individual members of the team have a history of working together on previous projects. The majority of the project team is located in our Vadnais Heights office – literally minutes from Roseville.

Project Manager: Ron Leaf

We have assigned Ron Leaf to serve as Project Manager for the plan update. Ron has extensive experience in planning projects *and* implementation of BMPs in a variety of urban settings. He recently assisted City of Maplewood staff in addressing numerous local flooding problems resulting from July 2011 rainfall events. His understanding of stormwater modeling and an eye for practical project implementation will help Roseville address the problem areas. Perhaps more important than his resume are the client survey ratings included in our proposal. Ron's technical expertise and excellent customer service are the reasons behind the extended periods of water resources consulting that SEH has enjoyed in communities like Shoreview (25 years), Vadnais Heights (25 years), Burnsville (16 years) and Maplewood (11 years).

Principal: Mark Lobermeier

Mark Lobermeier will be actively involved in the project, bring a historical connection and big picture view of the plan deliverables and ultimate implementation. Mark authored the City's 1990 plan, including personally field-documenting of all City ponds in wetlands. He has extensive local and regional planning experience including several years as the Grass Lake WMO engineer. He has worked with 19 different communities to implement storm water utilities, including two current projects. He has presented locally and national regarding the use and function of wetlands in an urban setting and the implementation of Low Impact Development (LID) practices. Mark works regularly together with Ron to meet water resource needs of numerous clients.

Additional Team Members

Name	Discipline	Role on Project
Veronica Anderson	Environmental Designer	BMP Integration
Joel Asp	Natural Resource Scientist	Wetland and Natural Resources Inventory
David Blumer	Scientist/Limnologist	Lake and shoreland management
Deric Deuschle	Aquatic Ecologist	Wetlands and lake management
Anna Nelson	Sr. Landscape Architect	BMP Integration
Rebecca Nestigen	Project Engineer	Plan Preparation
Dawn Williams	Marketing/Communications	Public Involvement

Education

*Master of Science
Agricultural Engineering
(Minor - Civil Engineering)
University of Minnesota (1994)*

*Bachelor of Science
Agricultural Engineering
University of Minnesota (1992)*

Continuing Education

*Annual Water Resources
Conference (2001-2009)*

*Fox-Wolf Watershed Alliance
Annual Conference (2005-2007)*

*Watershed Planning in the Digital
Age (2002)*

*Designing and Evaluating Low
Impact Developments Workshop
(2001)*

*Metropolitan Council
Environmental Services – Urban
Small Sites BMP Manual Seminar
(2001)*

Minnesota Water (2000)

Professional Registration

*Professional Engineer in
Minnesota*

Professional Associations

*American Public Works Association
(APWA)*

*Association of State Flood Plain
Managers*

*American Society of Agricultural
Engineers – Minnesota Chapter
Vice-Chair (2000-present)*

*Water Resources Conference
Planning Committee (2003-2009),
Chair 2005*

*Alpha Epsilon, Honor Society of
Agricultural Engineering*

*Minnesota Erosion Control
Association (2005-present)*

Ronald B. Leaf, PE

Project Manager

General Background

Ron is responsible for managing a variety of water resources projects and has extensive experience on stormwater pond and storm sewer system design, comprehensive surface water management planning, flood studies and mapping, stormwater ordinances, NPDES permitting, stormwater low-impact development practices, and infiltration practices. Ron previously worked for the Minnesota Pollution Control Agency (MPCA), responsible for coordinating revisions to the State's water quality rules, providing legislative testimony on implementation of water quality programs, and developing engineering standards for storage structures and treatment systems. Ron is also experienced in managing projects that require coordinating the goals and efforts of multiple public, private, and government interests.

Experience

Surface Water Management Plans for:

- Oakdale, Minn.
- Maplewood, Minn.
- Chanhassen, Minn.
- Shoreview, Minn.
- Burnsville, Minn.

Marquette and 2nd Avenues Transitway – Minneapolis, Minn. Served as the senior water resources engineer on the design to reduce stormwater run-off and protect the Mississippi River as well as increase the growth of healthy trees. Pervious pavers were used along with Silva-cells to provide a water quality treatment filter and room for root growth.

Chatsworth and Pierce Butler Site BMPs – St. Paul, Minn. Ron served as the senior water resources engineer on this redevelopment project, located on a highly urbanized and impervious site. His work involved soil remediation, site grading, utilities, and parking lot/street reconstruction as well as stormwater BMPs to meet the standards of the MPCA, CRWD, and City. The design included three parking lot island rain gardens for treatment and a dry pond for rate control. Due to concerns regarding pervious soil contamination, the rain gardens were designed as filtration practices by underlain with an impervious geomembrane filter.

Ladyslipper Park Improvements – Roseville, Minn. Ron was the lead water resources engineer working on this project that evaluated several alternatives to provide stormwater treatment for the adjacent street and residential area. Our analysis looked at options for improving channel conditions for canoe access, evaluating the maintenance and permitting needs and wetland impacts and mitigation needs. Ron led the stormwater hydraulic modeling and treatment system analysis to determine the level of pollutant removal for the various options.



XP-SWMM Storm Sewer System Modeling – Minneapolis, Minn.

Served as the Senior QA/QC reviewer for four separate projects that involved hydrologic and hydraulic analysis on large areas of the City of roughly 300-400 acres. The complex storm sewer systems included multiple pipes, pumps and holding areas. All projects were summarized in separate reports to the City that discussed flooding areas, storm sewer problem areas, and recommendations for improvements with costs estimates, charts and maps. One of the areas included a transient wave analysis by Dr. Charles Song that was incorporated into the XP-SWMM modeling simulations.

Geranium Street Park Porous Pavement – Maplewood, Minn. Lead water resource engineer responsible for designing several rainwater gardens, an infiltration basin with a porous dam and a porous pavement parking lot in the adjacent park.

Twin Lakes Outlet Improvements – Burnsville, Minn. The project involved updating and analyzing HydroCAD and XP-SWMM models of the study area storm sewer system to evaluate potential improvements in the outlet structure that could improve lake draw down time and reduce peak flood elevations. The refined models showed only limited improvements would be realized by structure modifications. Therefore, only a stop log system and weir/skimmer structure were designed to help reduce outlet plugging and improve overall performance of the existing outlet structure.

Storm Sewer Hydrologic/Hydraulic Analyses – Burnsville, Minn. Provided quality control/quality assurance review of XP-SWMM modeling completed to analyze storm sewer system response and the feasibility of potential improvements in areas of the City (e.g., 125th Street area, South River Hills).

County Road C Storm System Analysis and Design – Ramsey County, Minn. Lead water resources engineer responsible for providing quality assurance/quality control review for XP-SWMM storm sewer modeling and design of proposed stormwater ponding areas along the road corridor. The project incorporated water quality treatment and flood storage capacity beyond the needs of the County Road C requirements to help address goals of the City of Roseville.

NPDES Phase II MS4 and Industrial Permit Applications – Shoreview, Minn. Assisted the City in preparation of their Stormwater Pollution Prevention Plan (SWPPP) and Notice of Intent for the MS4 General Permit and completion of their Industrial SWPP and permit application for the public works facility. BMPs established in the City's MS4 SWPPP were selected to meet and exceed the requirements of the six minimum control measures and address the key issues identified in the process of updating the City's Surface Water Management Plan.



Education
*Bachelor of Science
Civil Engineering
University of Wisconsin
Platteville (1983)*

Continuing Education
*University of Minnesota Carlson
School of Management
Executive Development Center
Minnesota Executive Program (1998)*
*Planning, Implementing and Financing
Storm Water Management Programs
University of Wisconsin (1996)*
*System Development Changes for
Water, Wastewater, and Storm Water
Facilities Georgia Institute of
Technology (1995)*
*Wilson Learning Supervisory
Leadership Series (1992-93)*
*Dale Carnegie Management Seminar
(1991)*

Professional Registrations
*Professional Engineer in Minnesota
and Wisconsin*

Professional Associations
American Society of Civil Engineers
*National Society of Professional
Engineers*
*Minnesota Society of Professional
Engineers*
*Chi Epsilon, National Civil
Engineering Honor Society*



Mark L. Lobermeier, PE

Principal

General Background

Mark's project experience includes nearly 30 years of watershed management, comprehensive storm water management planning, storm sewer system analysis, detention basin design, open channel design, hydraulic and hydrologic studies, flood routing and protection, commercial and residential site development, wetland management and ordinance preparation. Presentations include water resources design and planning and wetland management topics at local and national levels.

Experience

Selected Comprehensive Storm Water Management Plans

- Burnsville, Minn.
- Plymouth, Minn.
- River Falls, Wis.
- Roseville, Minn.

Surface Water Management Utility Establishment – Municipalities. Mark has personally assisted 19 communities in analyzing and implementing storm water utilities including fee calculations, public information programs and ordinance development/evaluation.

Lake Augmentation - Shoreview, Minn. Qualitative and Quantitative analysis to address the long-term management alternatives to extended low water for Turtle Lake and Snail Lake. Implementation included the construction of a 2,500-gpm Snail Lake pumping station, including retrofit for zebra mussel screens. The Turtle Lake project was turned down by the Lake Association for the second time in 2011.

American Legion Park Water Quality Pond – Roseville, Minn. Retrofit of existing mono-culture wetland with wildlife dugout-style excavation to trap sediment and nutrients prior to discharge into Lake Owasso. Included XP SWMM modeling of loadings and P8 modeling to evaluate removals.

Kraemer Nature Preserve – Burnsville, Minn. Design of multi-cell offline treatment from 6,500-acre tributary area prior to 25-acre wetland restoration site that forms the centerpiece of a nature preserve in northwestern Burnsville. The project included the design of a floating boardwalk system as part of the nature preserve trail system.

Six Cities Watershed Management Organization - Blaine, Coon Rapids, Hilltop, Columbia Heights, Fridley, and Spring Lake Park, Minn. Preparation of 2nd and 3rd generation Watershed Plans conforming to Minnesota Surface Water Management Act (8410). 1994 – 2011 (JPA dissolved 2011).

Education

*Masters of Landscape Architecture
University of Minnesota
Minneapolis (1994)*

*Bachelor of Arts, Psychology
University of Minnesota
Minneapolis (1989)*

Professional Associations

*American Institute of Certified
Planners*

*American Society of Landscape
Architects, Associate Member
(ASLA)*

*American Planning Association
International Society of Landscape
Ecology*

*Sigma Lambda Alpha National
Honorary Society*

Awards

*ASLA (MN Chapter)
2001, Merit Award for Public
Planning
1994 Merit Award for
Outstanding Achievement*

*Educational
Phelps Fellowship, University of
Minnesota
Scholarship Award, Landscape
Architecture Foundation*

Community Involvement

*Member, Design Review
Committee for the St. Croix River
Bridge, Stillwater, Minnesota*

*Member, St. Croix County Board
Supervisor*

*Member, St. Croix County Parks,
Planning and Zoning Committee*

*Member, Conservation Design
Ordinance Sub-Committee – Town
of Saint Joseph, Wisconsin*

Military

*United States Army Reserve,
Sgt. E-5 (1982-88)*

Veronica Anderson, AICP

Environmental Designer

General Background

Veronica frequently serves as the landscape designer for recreation and transportation improvement projects. Veronica's has extensive experience working in riparian environments and in developing alternative storm water treatment/ponding systems. Working in the public realm and serving in County government has provided Veronica with valuable public facilitation and design workshop experience.

Experience

Park System Plan – Golden Valley Minn. Project Manager and lead park planner for the development of a mature community park system plan. Plan was also part of the City's 2008 Comprehensive Plan Update. Responsible for park site evaluation, trends analysis, needs assessment, recommendations, implementation plan, client communication, public meetings and text development of plan.

Park System Plan – Waite Park, Minn. Project Manager and lead park planner for the development of a growing community park system plan. Responsible for site evaluation, trends analyses, needs assessment, recommendations, implementation and client communication. Included in this plan was the master planning of the City's major 45-acre park, which included multiple ball fields, disc golf, trail system, senior exercise course, splash pad and dog park.

Park and Trail System Plan – St. Joseph, Minn. Project Manager and lead park planner for development of park and trail system plan. Included in this plan was the development of a park and trail citizen survey, a series of concepts for each of the parks within the system and a sustainable maintenance plan.

Minnaqua Pond – Golden Valley, Minn. She teamed with civil engineers and wetland biologists to develop a native seeding and planting plan and construction documents for an urban stormwater pond. She developed pro-typical planting and maintenance plans for residents adjacent to the pond.

Tyrol Hills Pond – Golden Valley, Minn. She developed a native seeding and planting plan for a stormwater pond located in an established residential neighborhood. The site incorporated both native and cultivated perennials to respond to the site's challenging soils conditions. Boulders provide informal seating areas around the pond.

Brookview Park Improvements – Golden Valley, Minn. Veronica teamed with engineers and architects to produce a feasibility report to determine improvements to park structures, landscaping and amenities. Her master planting plan included native seeding and planting of four stormwater ponds. She also teamed with a graphic artist to develop interpretive signage for pond areas.



Education
*Bachelor Degree
Biology with Emphasis in Wildlife
Management
St. Cloud State University (1993)*

Professional Associations
*Minnesota Wetland Professionals
Association (2007)
Minnesota Seeding Contractors
Association (2007)*

Professional Certification
*Minnesota Commercial Turf and
Grounds (A & E) Herbicide
Applicators License*

Joel D. Asp Restoration Ecologist/Natural Resource Scientist

General Background

Joel is a Natural Resource Scientist specializing in natural resource management. Joel is experienced in restoration ecology and land management techniques including managing remnant and native prairie planting. Natural habitats Joel has managed include prairies, rainwater gardens, and the removal of buckthorn from woodlands. At SEH, Joel is primarily responsible for providing wetland services, threatened and endangered species surveys, and completion of a variety of environmental documents.

Experience prior to joining SEH

Minnetonka Parks System – Minnetonka, Minn. Prepared and implemented the woodland management plan for 200+ acres of buckthorn removal and long term maintenance of buckthorn seedlings and garlic mustard. In addition to the woodland management, the project also required the management of approximately 15 acres of upland and wetland prairies scattered throughout the City.

Edina Parks System – Edina, Minn. Prepared a management plan and cost estimate for the removal of buckthorn from 1,000+ acres within 26 different city parks. The plan calls for the removal of buckthorn, control methods for buckthorn seedling, and garlic mustard control over a five-year period.

Minneapolis Park System – Minneapolis, Minn. Established and implemented appropriate land management techniques for the maintenance of the shoreline restoration at Lake Nokomis, the flood basins at East 43rd and man-made waterways and retention ponds at Heritage Park.

Golden Valley Park System – Golden Valley, Minn. Lead maintenance crew activities including prescribed burns, spot treatment with herbicide, and complete site mows for a variety of upland, wetland, and stream corridor habitats throughout the City.

Bluff Creek Prairie – Chanhassen, Minn. Responsible for the land management practices on the creek re-meandering and associated native plant restoration. Land management practices included weed identification, herbicide application, prescribed burning and spot mowing.



SEH Office Location

Rice Lake, Wisconsin

Education

*Master of Science
Water Resources
University of Minnesota (2007)*

*Bachelor of Science
Education
University of Wisconsin (1989)*

Professional Registrations and Certifications

*Certified Public Participation
Coordinator from the
International Association of
Public Participation*

*Certified "Clean Boats, Clean
Waters" Trainer from the
UW-Extension Lakes Program*

*Certified "Citizen Lake
Monitoring Network" Trainer from
the UW-Extension Lakes Program*

David L. Blumer

Lead Scientist

David has extensive experience in lake management, aquatic plant management, and invasive species management. His early career was spent with WDNR in northwestern Wisconsin as a Lakes Management team member and project leader. He has extensive experience with lake planning and aquatic invasive species (AIS) grant programs and monitoring programs in Wisconsin, aquatic plant management (APM) and lake management planning, and water quality assessments. Dave has trained hundreds of volunteers in basic water quality monitoring methodologies. Dave has completed many hours of lake and stream monitoring including water clarity, water chemistry, dissolved oxygen, temperature, turbidity, stream flow, core sampling, aquatic plants, habitat assessments, and shoreline inventories. He has presented water quality information to hundreds of lake groups and other organizations.

Related Experience

Rice Lake Protection and Rehabilitation District – Barron County, Wis.

Lake management recommendations focused on reducing nutrient loading from a large agricultural watershed, highly disturbed near shore area, excessive curly-leaf pondweed growth, and internal loading in a 940 acre flowage. Recommendations also include an education plan to improve lake user and general public understanding of the management efforts being made. Aquatic plant management is focused on controlling 200-acres of curly-leaf pondweed and excessive late-season, native plant growth in a 940-acre flowage. Fostering strong relationships with the City of Rice Lake, Rice Lake Area School District, and local service organizations is a large part of the work being done by the Lake District. Dave works closely with the Lake District Board, guiding them through their management operations.

Long Lake Preservation Association – Washburn County, Wis. Located at the headwaters of the Brill River in northwest Wisconsin, Long Lake is a unique and important natural resource. Covering 3,290 acres and surrounded by nearly 40 miles of shoreline, Long Lake is the largest lake in Washburn County. Long Lake is listed as an outstanding water resource in Wisconsin. This project includes Long and Mud Lakes and five other waterbodies within in its watershed that cover ground in three different Townships. While none of these lakes currently have Eurasian water milfoil the threat of introduction is huge, and several other aquatic invasive species are present. Dave began working with the Long Lake Preservation Association in 2010 to help them develop an aquatic plant management plan aimed at monitoring the system for new introductions of aquatic invasive species, preventing the spread of existing AIS, and providing advanced planning in the event a new AIS is discovered. Additional planning and implementation efforts include an education and information campaign aimed at making lake users and riparian owners willing and knowledgeable participants in these efforts. Dave is providing project oversight and guidance, as well as completing management plans that will provide future direction for the LLPA.



Education

*Master of Science-Biology
University of Wisconsin
La Crosse (2001)*

*Bachelor of Science-Biology
Winona State University (1996)*

Professional Associations

*Chairman, Open Space
Commission - City of Andover,
Minnesota (2007)*

*Vice Chairman Elm Creek
Watershed Commission
(2002 2007)*

*Wetland Professionals Association
(2001)*

*North American Benthological
Society (1997)*

*Mississippi River Research
Consortium (1996)*

Professional Certifications

*Minnesota Certified Wetland
Delineator (2005)*

*40-Hour OSHA HAZWOPER
Training*

*8-Hour HAZWOPER Refresher
Training*

*Burlington Northern Railroad
Safety Training*

*Minnesota Asbestos Inspector
(2011)*

Continuing Education/ Training

MnDOT Hydinfra (2005, 2007)

*Wisconsin DNR Karner Blue
Butterfly HCP Monitoring (2008)*

Deric R. Deuschle, CWD

Scientist/Aquatic Ecologist

General Background

Deric primarily provides wetland services, such as delineations, permitting, mitigation siting and design, and monitoring. He also provides experience in environmental documents including EAs, EAWs, and EISs, threatened and endangered species surveys, tree inventories, water quality analysis, aquatic invertebrate ecology, aquatic invertebrate taxonomy, stream and large river ecology, fish and wildlife studies, nutrient loading analysis, Geographic Information Systems (GIS), and Global Positioning Systems (GPS).

Recent Project Examples

Burnsville Wetland Management Plan Update – Burnsville, Minn. Lead staff responsible for updating of plan, including verification of functions and values assessment, digitizing of wetland boundaries on recent high resolution area photographs, incorporation of current standards and policies, drafting of ordinance language, and ensuring consistency with updated Lake and Surface Water Management Plans. The plan was currently accepted by the Board of Water and Soil Resources and adopted into local ordinance.

Adeline Park Boardwalk – Golden Valley, Minn. Completed wetland delineations and de minimis exemption permitting for extension of trail and boardwalk to the south side of Lake Sweeney through Adeline Park.

Cleary Lake Park Trail Reconstruction – Three Rivers Park District. Collected soil samples for nutrient analysis for proposed trail expansion. Compared analytical results to document soil fertility and potential to re-use existing soils for new seeding areas.

Sweeney Lake Lakeshore Habitat Restoration – Minneapolis Neurology Clinic and Golden Valley, Minn. Drafted grant application and was awarded funding from MNDNR to restore 300 feet of Sweeney Lake shoreline from existing turf to emergent, wetland, and native prairie species. Worked with contractor to design specific site requirements and maintenance plan.

Twin Lake Aquatic Vegetation Assessment – Roberts, Wis. Completed comprehensive survey of submerged and emergent aquatic macrophytes as part of an evaluation of impacts from continued wastewater treatment plant discharge. Data was collected electronically using a sub-meter Global Positioning System loaded with a custom aquatic macrophyte survey data dictionary. Data was processed and evaluated using ArcView software, which was also used to determine changes in the macrophyte distributions from 1992 to 2005. Assessments on potential future impacts due to fluctuating water elevations and the overall health of the Twin lakes system were also completed, as were evaluations on the use of the lake by wildlife and the status of the lakes as a recreational fishery.



SEH Office Location

Minnetonka, Minnesota

Education

*Masters of Landscape Architecture
University of Minnesota (2000)*

*Bachelor of Architecture
I.T.E.S.M. Campus Sonora Norte
Mexico (1996)*

Professional Registrations

*Registered Landscape Architect in
Minnesota*

Registered Architect in Mexico

Certifications

*MnDOT Certified Landscape
Specialist*

Professional Associations

*American Society of Landscape
Architects*

Awards

*2007 MASLA Merit Award
Chevalle – A Country Estate:
Conservation Subdivision Design
City of Chaska, Minnesota*

*2002 MASLA Merit Award
Downtown Streetscape Project
City of Farmington, Minnesota*

Ana Nelson, ASLA **Sr. Landscape Architect**

Ana has a strong creative design background bridging landscape architecture and architecture. Ana is detailed oriented with a collaborative design approach with clients, team members, stakeholders, and communities. She takes pride in sustainable practices to achieve efficient implementation solutions.

Experience prior to joining SEH

Twin Lakes Parkway Public Improvements – City of Roseville, Minn.

Designed and administered streetscape improvements from schematic design through construction observation. The complete street design approach incorporates bike/pedestrian trail connections, sustainable design practices including stormwater planters and rainwater gardens, and the use of an underground cistern for stormwater run-off treatment and irrigation purposes.

Athletic Park Master Plan – City of Chaska, Minn.

Lead designer responsible for preparing the vision for Athletic Park with the primary goal to preserve and strengthen the character of the ballpark and to promote a more diversified and inviting park experience.

Springbrook Nature Center Master Plan – City of Fridley, Minn.

Project Manager and lead designer for developing the master plan to enhance the nature center as a learning center destination and to preserve the site's natural habitats. The project focuses on expanding environmental education and exhibit space and demonstrating sustainable, high performance building and site design techniques. Ana lead a Design Committee to conduct a LEED™ project checklist, provide detailed cost estimates, develop phasing and implementation strategies, and produce effective graphic communication tools for fund raising.

Town Center Design Guidelines – City of Eden Prairie, Minn.

Ana worked and assisted in the preparation of implementation tools needed to guide and regulate redevelopment in the designated Town Center area, including a Town Center Zoning District and Town Center Design Guidelines.



Education
*Master of Science
Civil Engineering
University of Minnesota (2007)*
*Bachelor of Science
Environmental Engineering
University of Wisconsin-Platteville
(2005)*

Professional Registration
*Professional Engineer in
Minnesota*

Rebecca S. Nestingen, PE

Water Resource Engineer

General Background

Rebecca is experienced in hydrology, hydraulics, and water/wastewater treatment. Her master's work focused on assessing the infiltration characteristics of rain gardens in various settings. Rebecca was also a contributor to the Minnesota BMP assessment manual.

Experience

Surface Water Management Plans for:

- Worthington, Minn.
- Long Lake, Minn.
- Maplewood, Minn.
- Vadnais Heights, Minn.

Storm Water Master Plan Area B1 Study – Worthington, Minn. Developed a hydrological and hydraulic model using XP-SWMM to evaluate MnDOT's concept drainage plan for Area B1 in Worthington's SWMP. Compared MnDOT's concept plan to the City's SWMP concept and suggested alternatives for drainage outlets taking into consideration potential development of the study area.

Gladstone Phase 1 Improvements – Maplewood, Minn. Preliminary and final hydrologic and hydraulic design of bioretention basins to treat stormwater from area street improvements. Preparation of plans, SWPPP, and specifications for construction.

Baker Park Campground Rain Gardens – Three Rivers Park District. Design of three large rain gardens and channel stabilization measures in order to reduce flow rates, pollutant loading, and gully erosion. Preparation of plans, SWPPP, and specifications for construction.

Welcome Park XP-SWMM Model – Crystal, Minn. Completed detailed hydrologic and hydraulic analysis of an existing storm sewer system for a State Aid reconstruction project using XP-SWMM. Collected as-builts and other data necessary for the analysis including land use area summaries using GIS. Provided a technical report to the City that discussed results of the analysis.

Sweeney Lake TMDL Study – Bassett Creek Watershed Management Organization, Minn. Rebecca is currently working on the TMDL for Sweeney Lake which involves analyzing in-lake water quality data and the lake water quality response to nutrient load scenarios using BATHTUB model.



Dawn M. Williams

Principal/Marketing Communications Director

General Background

Dawn Williams is a marketing communications professional with 19 years experience directing and managing comprehensive branding and strategic communications programs. Prior to SEH, Dawn served in a public information/communication leadership capacity at the City of Minneapolis, MnDOT and the City of Elgin, Ill.

A substantial component of her responsibilities included outreach to citizens to gain input, support, consensus and to build overall awareness. Outreach programs have included media relations, direct mails, events, social media, advertising, and other public relations. In her work with the public sector, she worked daily with government officials to provide accurate and timely information, and provided counsel on handling sensitive issues.

Experience

Intelligent Transportation Systems (ITS) Marketing Communications Plan – MnDOT.

Dawn led the development of a Marketing Communications Plan to create more awareness and improve integration of ITS in Minnesota. Development of the plan included identifying goals, conducting a situational analysis/research, identifying audiences and analyzing them to develop sound messaging. Following the development of these key components, the team developed strategies, tactics, a budget and implementation plan.

International Falls Airport Marketing Plan – International Falls, Minn.

Dawn led the development of a Marketing Plan to attract more leisure and business travelers to use the airport. This involved an overall assessment of the airport's current marketing program with initial recommendations to improve messaging and reach targeted audiences. Following this initial assessment, SEH led a survey to determine user needs, created a new brand (logo), including the collateral, developed an advertising campaign; and developed an overall marketing brochure, and created a website.

Tower Master Plan Groundbreaking – Tower, Minn. As part of a master planning process for the development of a marina, mixed-use development, design of a new bridge and roadway/intersection, the City of Tower asked SEH to launch a public awareness initiative to create more awareness of the development. Dawn coordinated a major groundbreaking event and community celebration, which included event planning and coordination; media relations with local and statewide television, newspaper and radio; developed a website and video; created marketing materials to support the event and future information requests; and generated speeches for local officials.

Education

*Master of Business
Communication
University of St. Thomas (2000)*

*Bachelor of Arts
Public Relations
Metropolitan State University
(1994)*

Professional Associations

*Member of Society of Marketing
Professional Services*

*Former National Board Member of
3CMA (City County
Communications Marketing
Association)*

*Presenter at a variety of
conferences, including: National
Association of Housing and
Redevelopment Organizations,
and the National City County
Communications Marketing
Association*



City of Roseville, MN
Short Elliott Hendrickson Inc.
CSWMP – Confirmation of Scope
March 5, 2012

1. Public Process Allowance.

- a. The current scope of work as requested in the RFP includes preparation for and attendance at the three PWETC Meetings. The first meeting is scheduled for April 24. Our scope includes up to two SEH staff attending each of these meetings along with preparation time for meeting agendas, graphics used to capture input on issue areas and documents use to present and discuss standards and the watershed jurisdictional change (for example), and preparation minutes or meeting summaries. Our current scope also includes time for our public relations specialist to work with City staff to develop a more broad-based public input process.
- b. The additional scope, for which we recommended a \$3,000 allowance, was to implement that broader public input process. Depending on the details of the broader public input process, the following general tasks may be requested by the City:
 - i. Attend a regularly scheduled Lake Association Meeting, or other local group meetings \$500 per meeting (assume 4 additional)
 - ii. Develop a web presence on the City website \$1,000

2. Grass Lake Dissolution:

- a. As we discussed on March 5th, if the plan for the area currently under the jurisdiction of GLWMO moves through the process smoothly and ultimately becomes part of Ramsey-Washington-Metro WD (RWMWD) at or about the time the plan is being completed, then additional effort will not be needed. We will include RWMWD in the early meetings and move ahead with the assumption that RWMWD will be the approval entity for that portion of the City.
- b. If there is some additional work required as part of the dissolution and transfer process, this work will need to be added to the scope. Additional review and approval process would change the plan contents, add additional review steps, and require additional time.

3. Plan Review / QA Process.

- a. Our plan is to compile a complete report for City staff review, instead of submitting sections separately. We typically provide both a pdf file of text and figures and an MS Word document of the text only to allow edits/comments to be made electronically. Depending on the size of the file(s) we will email the drafts to City staff, create an ftp site, or can create a project website. Given the accelerated schedule, the first draft may be more of an outline in the late April-early May timeframe and the first true content draft (Progress Draft/City Review Draft) being delivered in late May to early June. The outline draft will include a summary of the key items each Watershed needs to have in the plan and identify what sections of the plan are cut/paste from the current plan content versus sections that will need additional information. The Progress draft will be "90%" Plan that will be ready for discussion and review at the 2nd and 3rd PWETC meetings and will have some gaps and/or policy questions that need to be resolved

during the PWETC review process. We anticipate a meeting or two with City staff following staff review of the Progress Draft to discuss more critical issues before making edits.

4. Online Tools.

- a. We will be providing a stand-alone CSWMP deliverable that allows for effective implementation. The online PermiTrack tools were not required, but we believe they would enhance implementation of your surface water management program. As we discussed on March 5th, we believe the City should at least try the tools to see if there is value in using the tools towards managing your NPDES MS4 program. Because the CSWMP and MS4 program activities are related, the City may see some benefit in using one or more of the tools longer term. We will be in better position to help you see where the tool could help as we learn more about your current program activities and where you want the plan to guide you in the future.

5. Modeling Allowance.

- a. If additional modeling is needed, we will address these as standalone projects.

6. Map-Based Deliverable.

- a. Our approach is to add attributes to GIS based mapping to improve the usability of the plan and accessibility of the plan data. We recognize that the planning process will be occurring in parallel to City efforts to begin implementation of asset management software. Map-based deliverable(s) will be developed in concert with staff's vision for future asset management tools to the greatest extent practical, including the potential to shift some more detailed map development efforts into the implementation plan.

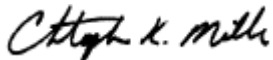
7. Project History.

- a. We discussed the Chanhassen budget change related to the increase of structure surveys from the estimated 4500 to more than 6000. A second change on the project was the additional of several individual drainage areas models and preliminary design memorandums completed and included in the appendix of the Plan.

REQUEST FOR COUNCIL ACTION

Date: 3/12/12
Item No.: 7.e

Department Approval



City Manager Approval



Item Description: Certify Unpaid Utility and Other Charges to the Property Tax Rolls

BACKGROUND

As authorized by City Code, Sections 506, 801, 802, and 906, the City annually certifies to the County Auditor any unpaid false alarm, water, sewer, and other charges that are in excess of 90 days past due, for collection on the following year's property taxes. Affected property owners are provided a hearing to dispute any charges against their property.

Beginning in 2010, the City Council began approving certifications for delinquent utilities on a quarterly basis. This ensures that any unpaid utilities are brought to the attention of new property owners in a more timely fashion. It will also allow the City to record a lien against the property in the event that a property goes into foreclosure and/or is being prepared for sale for other reasons.

Attached is the current list of delinquent charges. Payments (along with accrued interest) received in the Finance Office prior to December 14th, 2012 will be accepted and not levied on the 2013 property taxes.

POLICY OBJECTIVE

Certifying delinquent charges are required under City Code.

FINANCIAL IMPACTS

Not applicable.

STAFF RECOMMENDATION

Staff recommends approval of the attached resolution levying unpaid utility and other charges for collection on the property taxes.

REQUESTED COUNCIL ACTION

Motion adopting the resolution approving the certification of unpaid utility and other charges to the County Auditor for collection on the property taxes.

Prepared by: Chris Miller, Finance Director

Attachments: A: Resolution approving the certification of unpaid utility and other charges to Ramsey County

B: List of Delinquent Accounts

**EXTRACT OF MINUTES OF MEETING OF THE
CITY COUNCIL OF THE CITY OF ROSEVILLE**

* * * * *

Pursuant to due call and notice thereof, a regular meeting of the City Council of the City of Roseville, County of Ramsey, Minnesota was duly held on the 12th day of March, 2012 at 6:00 p.m.

The following members were present:
and the following were absent:

Member introduced the following resolution and moved its adoption:

RESOLUTION _____

**RESOLUTION DIRECTING THE COUNTY AUDITOR TO
LEVY UNPAID WATER, SEWER AND OTHER CITY CHARGES FOR PAYABLE 2013 or
BEYOND**

WHEREAS, the City Code of the City of Roseville, Sections 506, 801, 802, and 906 provides that the City may certify to the County Auditor the amounts of unpaid sewer, water, and other charges to be entered as part of the tax levy on said premises:

NOW, THEREFORE, BE IT RESOLVED, by the City Council of the City of Roseville, Minnesota, as follows:

1. Exhibit "A" attached hereto and made a part thereof by reference is a list of parcels of real property lying within the City limits which are served by the City of Roseville, and on which there are unpaid city water, sewer, and other charges as shown on the attached Exhibit "A".

2. The Council hereby certifies said list and requests the Ramsey County Auditor to include in the real estate taxes due the amount set forth in Schedule A.

The motion for the adoption of the foregoing resolution was duly seconded by member and upon a vote being taken thereon, the following voted in favor thereof:

and the following voted against the same:

WHEREUPON, said resolution was declared duly passed and adopted.

67 State of Minnesota)
68) SS
69 County of Ramsey)
70

71 I, undersigned, being the duly qualified City Manager of the City of Roseville, County of Ramsey, State of
72 Minnesota, do hereby certify that I have carefully compared the attached and foregoing extract of minutes
73 of a regular meeting of said City Council held on the 12th day of March, 2012 with the original thereof on
74 file in my office.
75

76 WITNESS MY HAND officially as such Manager this 12th day of March, 2012.
77
78

79 _____
80 William J. Malinen
81 City Manager
82

83 Seal
84

March 7th 2012

Delinquent Accounts for 1st Qtr 2012
Property Tax Year 2013

Attachment B
City of Roseville, MN

<u>PIN</u>	<u>Service Address</u>	<u>Amount to Certify</u>
012923120024	301 S OWASSO BLVD	\$ 75.06
012923120026	303 OWASSO BLVD	\$ 127.36
012923130041	299 CO RD C2	\$ 104.93
012923130047	349 CO RD C2	\$ 146.92
012923130074	2958 FARRINGTON ST	\$ 61.17
012923140006	2941 RICE ST	\$ 119.31
012923140081	208 MAPLE LN	\$ 146.05
012923140082	216 MAPLE LN	\$ 128.56
012923140085	240 MAPLE LN	\$ 160.45
012923230034	609 OWASSO BLVD	\$ 116.13
012923230057	523 OWASSO HILLS DR	\$ 112.46
012923240091	2987 HIGHPOINT CURVE	\$ 89.94
012923240132	472 OWASSO BLVD	\$ 183.44
012923310020	406 CENTENNIAL DR	\$ 11.09
012923310051	476 TERRACE DR	\$ 112.39
012923310078	468 JUDITH AVE	\$ 89.94
012923320025	531 OWASSO HILLS DR	\$ 116.12
012923330003	528 IONA LN	\$ 181.46
012923330017	537 WOODHILL DR	\$ 6.51
012923330025	2757 KENT ST	\$ 165.96
012923330445	2684 MACKUBIN ST	\$ 58.74
012923330456	2662 MACKUBIN ST	\$ 107.95
012923330462	2650 MACKUBIN ST	\$ 140.33
012923340156	445 CO RD C	\$ 141.76
012923410004	2871 WOODBRIDGE ST	\$ 242.74
012923410006	2857 WOODBRIDGE ST	\$ 153.52
012923410036	2841 MARION ST	\$ 103.54
012923410042	2795 MARION ST	\$ 127.34
012923420104	2779 VIRGINIA AVE	\$ 188.56
012923420108	2788 WESTERN AVE	\$ 93.75
012923430010	2687 GALTIER ST	\$ 131.08
012923430045	2665 MATILDA ST	\$ 116.13
012923440009	2713 WOODBRIDGE ST	\$ 93.68
012923440044	2663 MARION ST	\$ 81.03
022923120044	3105 AVON ST	\$ 149.79
022923120074	3088 VICTORIA ST	\$ 43.11
022923130030	822 MILLWOOD AVE	\$ 164.75
022923130047	2992 VICTORIA ST	\$ 133.40
022923220014	1045 WOODLYNN AVE	\$ 95.28
022923240027	981 LYDIA DR.	\$ 89.94
022923240056	885 CO RD C2	\$ 86.21
022923240060	923 CO RD C2	\$ 179.21
022923320002	2851 LAKEVIEW AVE	\$ 75.06
022923320053	2854 OXFORD ST	\$ 99.74
022923330024	2737 OXFORD ST	\$ 222.26
022923330034	2750 CHURCHILL ST	\$ 7.16

<u>PIN</u>	<u>Service Address</u>	<u>Amount to Certify</u>
022923330057	990 WOODHILL DR	\$ 23.06
022923410029	700 HEINEL DR	\$ 142.38
022923430033	795 TERRACE DR	\$ 97.42
022923430049	759 CO RD C	\$ 14.71
022923440052	738 WHEATON AVE	\$ 98.65
022923440060	675 CO RD C	\$ 9.75
022923440063	649 CO RD C	\$ 108.96
022923440078	636 IONA LN	\$ 47.13
032923130021	2925 MERRILL ST	\$ 101.17
032923130069	2900 HAMLINE AVE	\$ 93.50
032923210056	1401 BRENNER AVE	\$ 140.66
032923210082	3001 ALBERT ST	\$ 95.86
032923220003	1493 WOODLYNN AVE	\$ 105.22
032923220038	3014 ARONA ST	\$ 158.71
032923220056	1520 BRENNER AVE	\$ 129.77
032923220060	3017 ASBURY ST	\$ 110.03
032923220065	3018 SNELLING AVE	\$ 71.62
032923230017	2936 SIMPSON ST	\$ 339.04
032923230028	2951 SIMPSON ST	\$ 131.42
032923230071	2938 ASBURY ST	\$ 209.00
032923230072	2944 ASBURY ST	\$ 145.32
032923240062	2895 ALBERT ST	\$ 98.80
032923240066	2904 PASCAL ST	\$ 71.50
032923240069	2924 PASCAL ST	\$ 97.96
032923310022	1423 JUDITH AVE	\$ 133.40
032923320020	2827 ASBURY ST	\$ 114.15
032923320045	1491 APPLEWOOD COURT	\$ 149.23
032923340002	1354 JUDITH AVE	\$ 75.06
032923340025	2750 SHELTON ST	\$ 108.65
032923340027	1390 JUDITH AVE	\$ 116.12
032923340032	1424 JUDITH AVE	\$ 112.24
032923340047	1434 RAMBLER RD	\$ 131.08
032923340048	1440 RAMBLER RD	\$ 104.98
032923340059	1392 RAMBLER RD	\$ 73.32
032923410046	2761 GRIGGS ST	\$ 134.24
032923420054	2806 DELLWOOD ST	\$ 95.99
032923420062	2835 DELLWOOD ST	\$ 159.03
032923420067	2866 HURON ST	\$ 27.37
032923430004	2725 FERNWOOD ST	\$ 10.04
042923120065	3017 SHOREWOOD LN	\$ 139.45
042923130040	1771 MILLWOOD AVE	\$ 124.11
042923140025	1645 STANBRIDGE ST	\$ 118.23
042923140060	1650 MILLWOOD AVE	\$ 112.37
042923210011	3090 ARTHUR ST	\$ 87.90
042923210011	3090 ARTHUR ST	\$ 3.81
042923210055	3021 FAIRVIEW AVE	\$ 77.69

<u>PIN</u>	<u>Service Address</u>	<u>Amount to Certify</u>
042923220057	1990 BRENNER AVE	\$ 174.01
042923220100	3099 EVELYN ST	\$ 139.49
042923240023	1889 W CO RD C2	\$ 184.83
042923240044	2903 FAIRVIEW AVE	\$ 184.88
042923310023	2785 FAIRVIEW AVE	\$ 2,816.40
042923340002	2690 PRIOR AVE	\$ 391.23
042923340002	2690 PRIOR AVE	\$ 493.49
042923340002	2690 PRIOR AVE	\$ 391.23
042923420026	1798 CENTENNIAL DR	\$ 89.81
052923210071	3020 OLD HWY 8	\$ 950.72
052923210073	3006 OLD HWY 8	\$ 146.72
052923210102	2403 BRENNER CT	\$ 150.24
052923220084	3082 HIGHCREST RD	\$ 199.41
052923230029	2529 MAPLE LN	\$ 155.84
052923230044	2968 OLD HWY 8	\$ 4.71
052923230056	2936 OLD HWY 8	\$ 142.06
052923230072	2896 OLD HWY 8	\$ 92.91
052923320001	3261 OLD HWY 8	\$ 97.36
082923340019	2266 ST CROIX ST	\$ 85.18
082923440028	2255 CLEVELAND AVE	\$ 129.18
092923110020	2598 ALDINE ST	\$ 116.07
092923110027	2550 ALDINE ST	\$ 92.82
092923120020	2586 FAIRVIEW AVE	\$ 92.84
092923120032	2544 FAIRVIEW AVE	\$ 68.24
092923120069	2585 HERSCHEL AVE	\$ 120.44
092923120078	2598 HERSCHEL AVE	\$ 111.20
092923120110	1782 OAKCREST AVE	\$ 74.11
102923110012	1149 OAKCREST AVE	\$ 124.49
102923110019	2561 DUNLAP ST	\$ 107.64
102923110027	1106 OAKCREST AVE	\$ 90.82
102923110041	1206 OAKCREST AVE	\$ 77.14
102923120054	2566 HAMLINE AVE	\$ 101.16
102923140046	2423 LEXINGTON AVE	\$ 131.09
102923140051	1150 SEXTANT AVE	\$ 125.92
102923210062	2589 HAMLINE AVE STE A	\$ 110.78
102923210083	2579 HAMLINE AVE-STE D	\$ 110.78
102923220017	2545 PASCAL ST	\$ 164.30
102923240002	1449 BROOKS AVE	\$ 108.64
102923240009	1401 BROOKS AVE	\$ 161.68
102923240014	1363 BROOKS AVE	\$ 89.94
102923240021	2471 HAMLINE AVE	\$ 112.46
102923240044	2436 ALBERT ST	\$ 10.82
102923340017	1397 SANDHURST DR	\$ 154.04
102923430015	2211 FERNWOOD AVE	\$ 108.51
102923430054	2226 DELLWOOD AVE	\$ 157.34
102923430055	2234 DELLWOOD AVE	\$ 138.64

<u>PIN</u>	<u>Service Address</u>	<u>Amount to Certify</u>
102923440026	2237 LEXINGTON AVE	\$ 56.80
102923440099	1125 SANDHURST DR W	\$ 79.13
112923120040	2545 FISK ST	\$ 163.32
112923120072	2570 GROTTA ST	\$ 116.13
112923130040	757 W CO RD B2	\$ 1.99
112923140011	715 SEXTANT AVE	\$ 101.17
112923140033	701 W CO RD B2	\$ 144.95
112923230008	1035 BROOKS AVE	\$ 153.85
112923230017	2444 LEXINGTON AVE	\$ 97.50
112923230081	1016 TRANSIT AVE	\$ 93.69
112923230106	1065 W CO RD B2	\$ 75.00
112923240010	949 BROOKS AVE	\$ 93.14
112923240036	924 TRANSIT AVE	\$ 195.01
112923310031	2360 NANCY PL	\$ 131.16
112923310051	907 LOVELL AVE	\$ 134.90
112923320088	1079 LOVELL LN N	\$ 101.24
112923330049	2176 OXFORD ST	\$ 129.73
112923330051	1003 W CO RD B	\$ 134.90
112923340007	936 HWY 36	\$ 136.66
112923340013	900 HWY 36	\$ 50.02
112923340023	974 SHERREN ST	\$ 138.64
112923340052	2219 NANCY PL	\$ 104.98
112923340054	2207 NANCY PL	\$ 77.37
112923340080	2203 VICTORIA ST	\$ 140.95
112923340085	2214 MILTON ST	\$ 123.68
112923340089	2210 MILTON ST	\$ 114.77
112923410015	711 GRANDVIEW AVE	\$ 90.02
112923410067	703 COPE AVE	\$ 90.02
112923420003	838 W CO RD B2	\$ 134.90
112923420010	790 W CO RD B2	\$ 100.27
112923420012	772 W CO RD B2	\$ 128.80
112923420058	777 LOVELL AVE	\$ 9.54
112923420086	795 COPE AVE	\$ 93.76
112923420091	755 COPE AVE	\$ 10.00
112923430010	741 SHERREN ST	\$ 149.31
112923430052	835 W CO RD B	\$ 94.64
112923440009	2237 DALE ST	\$ 75.06
122923110022	2587 RICE ST	\$ 7.43
122923110061	2611 RICE ST	\$ 165.69
122923130077	2435 VIRGINIA CR	\$ 8.02
122923130093	333 W CO RD B2	\$ 74.98
122923140020	2501 WOODBRIDGE ST	\$ 99.92
122923140028	2477 WOODBRIDGE ST	\$ 74.98
122923140033	2486 MARION ST	\$ 178.28
122923140059	2434 GALTIER CR	\$ 112.38
122923140075	170 TRANSIT AVE	\$ 124.48

<u>PIN</u>	<u>Service Address</u>	<u>Amount to Certify</u>
122923210031	422 CO RD C	\$ 292.74
122923240005	421 BROOKS AVE	\$ 203.85
122923240006	429 BROOKS AVE	\$ 77.20
122923240014	404 BROOKS AVE	\$ 104.91
122923240038	2417 WESTERN AVE	\$ 123.61
122923310011	2390 COHANSEY ST	\$ 122.25
122923310037	464 LOVELL AVE	\$ 120.82
122923310046	2306 SOUTHHILL DR	\$ 133.47
122923310048	405 MINNESOTA AVE	\$ 78.80
122923330003	590 HWY 36	\$ 92.33
122923340010	432 MINNESOTA AVE	\$ 23.79
122923340015	404 SANDHURST CIR	\$ 144.14
122923340021	415 W CO RD B	\$ 123.68
122923340028	2211 IRENE ST	\$ 137.21
122923340034	2170 BOSSARD DR	\$ 75.74
122923340043	2233 BOSSARD DR	\$ 156.79
122923340049	2199 COHANSEY BLVD	\$ 131.16
122923340069	398 MINNESOTA AVE	\$ 142.38
122923420011	346 W CO RD B2	\$ 123.68
122923420049	265 MINNESOTA AVE	\$ 138.64
122923440007	204 MINNESOTA AVE	\$ 148.43
122923440009	226 MINNESOTA AVE	\$ 172.59
122923440011	2244 MARION ST	\$ 102.42
132923110002	158 W CO RD B	\$ 112.46
132923120016	311 BURKE AVE	\$ 147.88
132923120021	2077 WILLIAM ST	\$ 91.16
132923120025	2051 WILLIAM ST	\$ 109.60
132923120036	2071 GIESMAN ST	\$ 78.25
132923120064	2059 HAND AVE	\$ 106.19
132923120084	320 W CO RD B	\$ 249.17
132923140007	249 ELMER ST	\$ 166.36
132923210015	2122 COHANSEY BLVD	\$ 142.38
132923230021	540 SHRYER AVE	\$ 114.77
132923230034	554 RYAN AVE	\$ 179.78
132923230055	578 RYAN AVE	\$ 93.21
132923230058	577 ROSELAWN AVE	\$ 75.94
132923230080	515 ROSELAWN AVE	\$ 158.22
132923240005	2006 COHANSEY BLVD	\$ 97.50
132923310026	453 S MCCARRONS BLVD	\$ 97.50
132923310029	483 S MCCARRONS BLVD	\$ 162.84
132923310030	493 S MCCARRONS BLVD	\$ 122.25
132923310042	1818 WOODRUFF AVE	\$ 76.30
132923310089	491 GLENWOOD AVE	\$ 337.93
132923310098	462 HILLTOP AVE	\$ 136.11
132923320007	511 HILLTOP AVE	\$ 119.17
132923420026	330 MCCARRONS BLVD	\$ 119.39

<u>PIN</u>	<u>Service Address</u>	<u>Amount to Certify</u>
132923420027	326 S MCCARRONS BLVD	\$ 118.51
132923430017	295 DIONNE ST	\$ 101.24
132923430029	284 DIONNE ST	\$ 164.82
132923440005	182 MCCARRONS BLVD S	\$ 112.46
142923110005	724 W CO RD B	\$ 128.08
142923110025	637 SKILLMAN AVE	\$ 127.42
142923110054	640 ELDRIDGE AVE	\$ 75.00
142923110054	640 ELDRIDGE AVE	\$ 100.34
142923120021	817 PARKER AVE	\$ 148.43
142923210061	2111 VICTORIA ST	\$ 13.86
142923220002	990 W CO RD B	\$ 84.85
142923220065	2062 LEXINGTON AVE	\$ 132.37
142923230011	2030 LEXINGTON AVE	\$ 85.88
142923230011	2030 LEXINGTON AVE	\$ 145.50
142923230020	1030 SHRYER AVE	\$ 103.55
142923230056	1941 CHATSWORTH ST	\$ 72.55
142923240010	2036 CHATSWORTH ST	\$ 146.12
142923310028	974 ROSELAWN AVE	\$ 61.84
142923320010	1849 CHATSWORTH ST	\$ 114.77
142923320016	1806 AGLN ST	\$ 119.94
142923320068	1866 LEXINGTON AVE	\$ 126.32
142923330033	1067 DIONNE ST	\$ 159.98
142923330060	1764 AGLN ST	\$ 74.75
142923340002	1789 VICTORIA ST	\$ 140.95
142923410044	625 PINEVIEW CT	\$ 75.01
142923440027	1755 ALAMEDA ST	\$ 145.24
142923440041	1729 ALTA VISTA DR	\$ 11.14
142923440059	1765 DALE ST	\$ 131.26
152923110010	1164 W CO RD B	\$ 135.78
152923110022	1192 BURKE AVE	\$ 179.78
152923110069	1157 SKILLMAN AVE	\$ 149.86
152923120001	2147 FERNWOOD AVE	\$ 149.31
152923120002	1244 W CO RD B	\$ 125.44
152923130026	1317 SHRYER AVE	\$ 99.81
152923130034	1306 SHRYER AVE	\$ 123.68
152923130070	1252 RYAN AVE	\$ 135.78
152923130096	1293 DRAPER AVE	\$ 75.06
152923130128	1233 ROSELAWN AVE	\$ 157.07
152923130139	1236 DRAPER AVE	\$ 123.13
152923140001	2033 LEXINGTON AVE	\$ 0.50
152923140084	1129 ROSELAWN AVE	\$ 97.50
152923210004	1378 W CO RD B	\$ 133.47
152923210038	1398 BURKE AVE	\$ 10.98
152923210079	1447 BELMONT LN	\$ 157.34
152923210108	1454 BELMONT LN	\$ 75.06
152923230007	1994 ASBURY ST	\$ 69.40

<u>PIN</u>	<u>Service Address</u>	<u>Amount to Certify</u>
152923230023	2030 SNELLING AVE	\$ 12.33
152923230051	1970 ARONA ST	\$ 75.00
152923230051	1970 ARONA ST	\$ 82.46
152923240043	1446 SHRYER AVE	\$ 116.20
152923240086	1379 ROSELAWN AVE	\$ 136.90
152923240090	1935 HAMLINE AVE	\$ 112.46
152923410005	1140 ROSELAWN AVE	\$ 105.31
152923410063	1847 LEXINGTON AVE	\$ 156.79
152923410075	1194 SUMMER ST	\$ 108.72
152923410116	1161 GARDEN AVE	\$ 104.98
152923420052	1911 HURON AVE	\$ 140.97
152923420057	1890 HURON AVE	\$ 78.80
152923420061	1858 HURON AVE	\$ 115.43
152923420078	1866 DELLWOOD AVE	\$ 135.78
152923420125	1844 HAMLINE AVE	\$ 212.60
152923430027	1272 ROMA AVE	\$ 179.78
152923440040	1200 GARDEN AVE	\$ 90.02
162923110013	2064 FRY ST	\$ 53.94
162923120035	1781 SKILLMAN AVE	\$ 124.66
162923120042	1719 SKILLMAN AVE	\$ 67.56
162923130013	1803 SHRYER AVE	\$ 94.02
162923130039	1988 WHEELER ST	\$ 86.91
162923130058	1742 RYAN AVE	\$ 107.67
162923130078	1745 ROSELAWN AVE	\$ 149.13
162923140013	1681 RIDGEWOOD LN NO	\$ 79.75
162923140021	1630 RIDGEWOOD LN NO	\$ 105.32
162923140042	1624 RIDGEWOOD LN SO	\$ 74.25
162923140046	1999 SNELLING AVE	\$ 125.38
162923220032	2001 ELDRIDGE AVE	\$ 86.20
162923240037	1906 SHRYER AVE	\$ 11.12
162923240070	1827 DRAPER DR	\$ 74.97
162923240090	1932 TATUM ST	\$ 92.12
172923130032	2211 DRAPER AVE	\$ 82.88
172923130035	2231 DRAPER AVE	\$ 152.37
172923130043	2186 DRAPER AVE	\$ 161.45
172923140034	2175 SO ROSEWOOD LN	\$ 109.32
172923140044	2145 DRAPER AVE	\$ 144.10
172923140075	2080 SO ROSEWOOD LN	\$ 87.45
172923210001	2322 W CO RD B	\$ 125.64
172923210008	2096 FAIRWAYS LN	\$ 161.41
182922220002	2158 RICE ST	\$ 215.92
182922220019	2020 RICE ST	\$ 292.15
<u>Total</u>		\$ 40,742.52

REQUEST FOR COUNCIL ACTION

Date: March 12, 2012
Item No.: 7.f

Department Approval



City Manager Approval



Item Description:	Receive Authorization to Apply for COPS Hiring Program (CHP) Grant
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BACKGROUND

The Office of Community Oriented Policing Services (COPS) has announced they will be accepting grant applications for Fiscal Year (FY) 2012 COPS Hiring Program (CHP). Subject to funding availability, approximately \$111 million may be available under FY 2012 CHP for the hiring and rehiring of additional career law enforcement officers.

The FY 2012 CHP solicitation opened on March 1, 2012. The application deadline will be March 22, 2012, at 7:59 PM, EDT. CHP is a competitive grant program that provides funding directly to law enforcement agencies having primary law enforcement authority to impact community policing capacity and problem solving efforts. CHP grants provide up to 75 percent funding for approved entry-level salaries and benefits for 3 years (36 months) for newly-hired, full-time sworn officer positions (including filling existing unfunded vacancies) or for rehired officers who have been laid off, or are scheduled to be laid off on a specific future date, as a result of local budget cuts. This round of CHP requires a minimum 25% salary match for local governments and a maximum federal share of \$125,000 per officer position over the same three-year grant term. Grant funding will be based on the agency's current entry-level salary and benefits packages. Any additional costs for higher than entry-level salaries and fringe benefits will be the responsibility of the grantee agency. At the conclusion of federal funding, grantees must retain all sworn officer positions awarded under the CHP grant for a minimum of one year (12 months). The retained CHP-funded position(s) should be added to the grantee's law enforcement budget with state and/or local funds, over and above the number of locally-funded positions that would have existed in the absence of the grant.

The FY 2012 CHP requires agencies hiring new officers must hire a "military veteran who served on active duty for a period of at least 180 days, any part of which occurred beginning on or after September 11, 2001, to the present, and who has been discharged or released from active duty in the armed forces under honorable conditions."

Roseville Human Resources Manager Dona Bacon has concluded that City hiring practices would support a hiring process consisting of only veterans.

Last year the Police Department applied for funding under the FY 2011 CHP under a 100 percent funding plan but did not receive funding.

Since 2002, the Roseville Police Department has requested funding to add commercial patrol officers to its roster; however, due to budget and staffing constraints, the department has not been able to obtain the resources to fill the positions. Through available grant funding, the department now has the opportunity to add two new positions of full-time commercial patrol officer at a reduced cost to the City for the first three years of the

34 officer's employment.

35 **POLICY OBJECTIVE**

36

37 The City of Roseville is home to a large number of shopping areas--the largest center being Rosedale (the second
38 largest mall in Minnesota with over 12,000,000 visitors annually).

39

40 Even though the City is dominated by the retail industry, the police department does not have dedicated officers
41 to work retail. Officers respond to calls for service and deal with retail crimes after they have been committed.

42

43 There are not enough officers to be dedicated to the City's mall areas for proactive commercial patrol activities
44 due to the current number of calls for services in relationship to the current number of patrol officers—36 patrol
45 officers, 38,000 plus calls for service annually.

46

47 The economic vitality of Rosedale, other mall areas, and the City of Roseville are directly related. Although there
48 are many factors that contribute to the vitality of mall areas and the City, the level of crime in mall areas and
49 citizens' feeling of safety are very important. If the mall areas become places where individuals do not feel safe
50 or comfortable and people choose not to patronize them, retailers will suffer.

51

52 The Department is requesting the addition of one officer to provide increased focus on public safety in the retail;
53 therefore, the police department is requesting approval to apply for CHP funding to add one new position of full-
54 time commercial patrol officer to its roster.

55 **BUDGET IMPLICATIONS**

56 Up to approximately \$38,000 per year- depending on the starting salary of the officer. The grant would
57 fund \$125,000 for the first three years. The grant mandates the retention of the officer position for the
58 fourth year.

59 **STAFF RECOMMENDATION**

60 The police department is recommending that it be allowed to apply for funding through the Office of Community
61 Oriented Policing Services (COPS Office) under the COPS Hiring Program (CHP) to add one new position of
62 full-time commercial patrol officer to its roster.

63 **REQUESTED COUNCIL ACTION**

64 The police department is requesting authorization to apply for funding through the Office of Community
65 Oriented Policing Services (COPS Office) under the COPS Hiring Program (CHP) to add one new position of
66 full-time commercial patrol officer to its roster.

67

Prepared by: Chief Rick Mathwig
Attachments: A: Grant Announcement

68 #



U.S. DEPARTMENT OF JUSTICE
OFFICE OF COMMUNITY ORIENTED POLICING SERVICES
145 N Street, NE, Washington, D.C. 20530

COPS

February 22, 2012

Chief of Police Mathwig
Roseville Police Department
2660 Civic Center Drive
Roseville, MN 55113

ORI Number: MN06208

RE: 2012 COPS Hiring Program (CHP) Funding -- Application Update Period Beginning March 1st

Dear Chief of Police Mathwig:

The Office of Community Oriented Policing Services (COPS Office) is pleased to announce that it will soon open the application update period for the 2012 COPS Hiring Program (CHP). Approximately \$111 million will be available under fiscal year (FY) 2012 CHP for the award of grant funding directly to state, local, and tribal law enforcement agencies that have primary law enforcement authority to increase their community policing capacity, problem solving and crime prevention efforts through the hiring and rehiring of full-time sworn law enforcement officers.

Due to the limited funding that is available this year, only those applicants that submitted applications for funding under 2011 CHP will be considered for funding under 2012 CHP. Your agency submitted an application last year under 2011 CHP, but did not receive funding. Your application was placed in a "pending" status, and carried forward into FY 2012 in anticipation of additional hiring funds being made available. Next month, your agency will be invited to submit targeted updates to your application so that your funding request can be evaluated in FY 2012 based on current data. Additional instructions about updating and submitting your application will be provided at that time.

Several important changes have been made to CHP this fiscal year. 2012 CHP grants will cover up to 75 percent of the approved entry-level salary and benefits for three years (36 months) for newly hired, full-time sworn officer positions (including filling existing unfunded vacancies) or for rehired officers who have been laid off, or are scheduled to be laid off on a specific future date, as a result of local budget cuts. A minimum 25 percent local cash match is therefore required this year. Under 2012 CHP, there is also a maximum federal contribution of \$125,000 per position over the three-year grant period. Another important change this year is that if your agency is awarded funding for a new hire, the newly hired officer must be a military veteran who served on active duty for a period of at least 180 days, any part of which occurred on or after September 11, 2001. Additional information about these changes and about updating your application are included with this letter.

In addition to the above-referenced changes, applicants must retain all sworn officer positions awarded under the CHP grant with state and/or local funds for a minimum of 12 months following the conclusion of the three-year grant period. Applicants must also use awarded CHP funding to supplement (increase) state, local, and/or Bureau of Indian Affairs funds that otherwise would have been dedicated to sworn officer positions in the absence of the grant.

The application update period will open at **9:00 AM EST on Thursday, March 1, 2012**, and you will have until **7:59 PM EDT on Thursday, March 22, 2012**, to submit your application updates. Your agency must submit an updated application by the deadline or it will be eliminated from consideration for 2012 CHP funding. We strongly encourage your agency to carefully review the program changes prior to updating your application. If your agency does not wish to be considered for FY 2012 CHP funding, you will be provided instructions on how to withdraw from consideration. Please

note that 2012 CHP funding will be extremely competitive because of limited funding, and providing updates to your 2011 CHP application does not guarantee funding.

If you have any questions about updating your application, please contact the COPS Office Response Center at 1.800.421.6770, or by e-mail at CHP@usdoj.gov. The COPS Office may also contact your agency by e-mail, letter or telephone for additional information or clarification as necessary. It is anticipated that CHP awards will be made by September 30, 2012. We look forward to working with your agency during the CHP application process.

Sincerely,



Bernard K. Melekian
Director

Important Changes to the 2012 COPS Hiring Program

Maximum Federal Share and Local Match Requirement

Last fiscal year, the COPS Office's appropriations bill provided for 100% funding of approved entry-level salary and fringe benefit costs per officer position over a three-year period. There was no local match requirement and no cap on the amount of federal funding that could be requested per officer position.

In contrast, this fiscal year the COPS Office's appropriations bill established a local match requirement and a cap on the federal share. Under 2012 CHP, grantees may receive up to 75 percent of the approved entry-level salary and fringe benefit costs, with a minimum 25 percent local cash match requirement and maximum federal share of \$125,000 per officer position over the same three-year grant term. This requirement applies regardless of whether your agency is requesting funding for new, full-time sworn officer positions, to rehire officers who have been laid off, or to rehire officers who are scheduled to be laid off on a specific future date as a result of local budget cuts. As in the past, CHP requires that each position awarded be retained with local funds for a minimum of 12 months at the conclusion of 36 months of federal funding for each position.

Your agency will have an opportunity during the application update process to request a waiver of the local match requirement based on documented severe fiscal distress. Funding for 2012 CHP is limited, and requests for local match waivers will be evaluated on a case-by-case basis.

Military Veterans

The COPS Office is committed to supporting military veterans. Please be advised that if your agency is awarded funding under the new hire category, your agency must hire a "military veteran who served on active duty for a period of at least 180 days, any part of which occurred beginning on or after September 11, 2001, to the present, and who has been discharged or released from active duty in the armed forces under honorable conditions." This new military veteran requirement only applies to officer positions awarded under the new hire category of 2012 CHP.

Additional details about these changes and other 2012 CHP requirements can be found in the program's Application Guide (instructions), which will be available to your agency on March 1st.

Preparing to Update your Application

The COPS Office wants to ensure that your agency has sufficient time to complete your CHP application once the solicitation opens. We strongly recommend that your agency begin preparations for your application at this time. To minimize delays in submitting your application, please take some time now to address the following:

- Visit the “Account Access” portion of the COPS web site at www.cops.usdoj.gov to determine if your agency currently has an active online account and/or how to create one. Please note that the COPS Agency Portal (“Account Access”) has recently been modified. Answers to frequently asked questions regarding the COPS Agency Portal can be found at: <http://www.cops.usdoj.gov/Default.asp?Item=2566> or by contacting the COPS Response Center at 1.800.421.6770.
- If you do not remember your password or user name and need assistance with creating an account and/or system access, or you would like to verify your agency’s correct ORI number, call 1.800.421.6770 between 9:00 AM and 5:00 PM EST, or e-mail askcopsrsrc@usdoj.gov.
- Once logged into “Account Access,” your agency will be able to add additional user accounts and also update your agency contact and address information. Please take this time to ensure that your agency’s Law Enforcement Executive, Government Executive, and point of contact information are current with our office.
- Prepare to identify one community policing problem your agency will address with the requested funding. Consider your current and planned community policing efforts and how they build community partnerships, complement other community initiatives, and lead to organizational transformation.
- Gather information necessary to update any budgetary items that may have changed since your application was submitted last year, such as current and projected entry-level officer salary and benefits.
- Prepare to update several categories of data that your agency provided in the application section devoted to the need for federal assistance, including layoff and furlough information, and unemployment rates.
- Determine if your agency can meet the local cash match and federal share requirements, or whether a waiver will be requested based on severe fiscal distress.
- Reference the CHP Application Guide. The guide will be available on the COPS website at <http://www.cops.usdoj.gov/Default.asp?Item=2367> and frequently asked questions are now available and can be found at <http://www.cops.usdoj.gov/Default.asp?Item=2367>.
- A Data Universal Numbering System (DUNS) number is required to submit applications for COPS funding. A DUNS number is a unique nine or thirteen-digit sequence recognized as the universal standard for identifying and keeping track of entities receiving federal funds. Please note that obtaining a DUNS number may take one to two business days. Visit www.dnb.com/us to obtain or verify your number.
- In addition to the DUNS number requirement, all applicants for federal financial assistance must be registered in the Central Contractor Registration (CCR) database **prior** to submitting an application. The CCR database is the repository for standard information about federal financial assistance applicants, recipients, and sub-recipients. Applicants must maintain an active CCR registration with current information at all times during the grant application process and, if awarded, the grant award period. If you have an active CCR registration that is set to expire before September 30, 2012, you must renew your CCR registration before completing the application. Please note that the CCR verification process may take up to two weeks to complete. To register or to verify that your CCR registration has not expired, please visit www.ccr.gov.

- You will be required to provide the unique Geographic Names Information System (GNIS) identification number assigned to your agency. The GNIS database is maintained by the U.S. Geological Survey, U.S. Department of the Interior. To look up your GNIS Feature ID, please visit their website at: <http://geonames.usgs.gov/domestic/index.html>.
- Applicants should note that all recipients of awards of \$25,000 or more under this solicitation, consistent with the Federal Funding Accountability and Transparency Act (FFATA), will be required to report award information on any first-tier subawards totaling \$25,000 or more, and, in certain cases, to report information on the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients. If applicable, the FFATA Subaward Reporting System (FSRS), accessible via the Internet at www.fsrs.gov, is the reporting tool recipients under this solicitation will use to capture and report subaward information and any executive compensation data required by FFATA. The subaward information entered in FSRS will then be displayed on www.USASpending.gov associated with the prime award, furthering Federal spending transparency.
- All applicants should note that all recipients, as a condition of receipt of federal assistance, must acknowledge and agree that they will not, on the ground of race, color, religion, national origin (which includes limited English proficiency), gender, disability or age, unlawfully exclude any person from participation in, deny the benefits of or employment to any person, or subject any person to discrimination in connection with any programs or activities funded in whole or in part with federal funds. These civil rights requirements are found in the non-discrimination provisions of the Omnibus Crime Control and Safe Streets Act of 1968, as amended (42 U.S.C. § 3789d); Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000d); the Indian Civil Rights Act (25 U.S.C. §§ 1301-1303); Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794); Title II, Subtitle A of the Americans with Disabilities Act (ADA) (42 U.S.C. § 12101, et seq.); the Age Discrimination Act of 1975 (42 U.S.C. § 6101, et seq.); and Department of Justice Non-Discrimination Regulations contained in Title 28, Parts 35 and 42 (subparts C, D, E, G, and I) of the Code of Federal Regulations.

Each applicant entity must ensure that it has the necessary processes and systems in place to comply with the applicable reporting requirements should it receive funding.

REQUEST FOR COUNCIL ACTION

Date: 3/12/12

Item No.: 7.g

Department Approval



City Manager Approval



Item Description: Authorize to Send Letter of Support for Ramsey County Environmental Response Fund

BACKGROUND

The Ramsey County Environmental Response Fund (ERF) provides financial assistance of last resort to clean-up contaminated properties where redevelopment is not independently financially feasible. Clean-up funding is used to assist projects that result in new jobs at decent wages, new housing units for working families, urban green space and tax base revitalization.

Funding for ERF is generated by a .004% mortgage registration and deed fee at the time property transactions occur. ERF is Ramsey County's primary source of funding for brownfields clean-up and redevelopment. The City of Roseville has received funding from ERF in the past, most recently about \$265,000 to assist in the Twin Lakes Infrastructure Improvements.

Under the enabling legislation, the ability for Ramsey County to collect the mortgage and deed fee for the ERF is set to sunset at the end of 2012. House File 1113/Senate File 772 has been introduced at the state legislature. The proposed bills would eliminate the sunset provision and would make the .004% mortgage and deed fee permanent.

The City has been asked to send a letter of support to our legislators urging their support of the legislation. Staff has prepared a draft letter for Council consideration.

POLICY OBJECTIVE

The Environmental Response Fund has been a great tool in providing gap financing for the brownfield redevelopment activities within Roseville. Continuation of the program will be beneficial for Roseville and all of Ramsey County. The ERF program is consistent with the goals and policies identified in Imagine Roseville 2025 and the Comprehensive Plan and will provide the City another "tool in the toolbox" for economic development purposes.

BUDGET IMPLICATIONS

None

STAFF RECOMMENDATION

Authorize staff to send a letter signed by the City Council to Roseville's legislative delegation to urge their support for the continuation of the ERF Program with the passage of House File 1113/Senate File 772.

29 **REQUESTED COUNCIL ACTION**

30 MOTION to send a letter signed by the City Council to Roseville's legislative delegation to urge
31 their support for the continuation of the ERF Program with the passage of House File 113/Senate
32 File 772.

33

Prepared by: Patrick Trudgeon, Community Development Director, (651) 702-7071
Attachments: A: Background Material on the Environmental Response Fund
B: Draft letter to area Legislators



Ramsey County Environmental Response Fund
For additional information, please contact:
651-266-8000



Ramsey County Environmental Response Fund



Birch Lake Park, White Bear Township (\$71,951 - 2009)

Despite its promising redevelopment potential, uncertainty regarding clean-up costs had prevented new investment. Using ERF gap financing allowed the city to revitalize the site with two new business center office facilities. Upon completion the Commerce Park development is expected to retain 45 jobs and add 18 new jobs in the community.



Twin Lakes Redevelopment, Roseville (\$265,000 - 2009)

The first phase of improvements was completed in December, 2009 with the opening of a new Metro Transit Park and Ride structured parking facility. In 2010, the City continued with the second phase of infrastructure improvements - construction of utilities and roadways from the first roundabout on Twin Lakes Parkway to Prior Avenue. The second phase was completed in Spring, 2011.



North St. Paul Reflex Medical (\$191,987 - 2010)

Using Ramsey County ERF Funds, in 2008 the City of North St. Paul was able to assist the relocation of a small business to North St. Paul. The grant dollars were used to clean a contaminated site that was once the location of a fueling station. The new injection mold operation retained 11 jobs and created 5 new jobs at an average wage of \$35,000/year.



Total Tool Supply, Inc., St. Paul (\$40,000 - 2010)

Total Tool Supply, Inc., outgrew its St. Paul distribution center, and was considering leaving the state to expand. Funding to help clean-up contaminated soil on the adjacent properties allowed Total Tool to remain in St. Paul, retaining 47 jobs and adding 22 jobs to the tax base through facility expansion and enhancing higher market value.

RAMSEY COUNTY’S ENVIRONMENTAL RESPONSE FUND
A Small Investment but a Huge Impact

- Removes unsafe and unhealthy property
- Converts environmentally unsound sites to productive use
- Attracts business and creates jobs
- Increases tax base with new higher value property investment
- Leverages private re-investment



ENVIRONMENTAL RESPONSE FUND - In a Nutshell

Total Funds Collected	\$6,371,293.94
Total Funds Awarded	\$5,591,873.57 to 27 projects (52% urban, 48% suburban)
Total Permanent Jobs Created	4,370
Total New Housing Units	1,154 of those, 34% are workforce affordable
Land Cleaned Up	222.14 acres
Funds for Administration	Less than 1%

<u>2005 Receipts</u>	<u>2006 Receipts</u>	<u>2007 Receipts</u>	<u>2008 Receipts</u>	<u>2009 Receipts</u>	<u>2010 Receipts</u>	<u>2011 Receipts</u>
\$991,685.43	\$908,446.19	\$734,001.17	\$265,963.00	\$518,963.00	\$441,332.25	\$408,015.64
Monthly Average 2005	Monthly Average 2006	Monthly Average 2007	Monthly Average 2008	Monthly Average 2009	Monthly Average 2010	Monthly Average 2011
\$82,640.45	\$75,703.85	\$61,166.76	\$37,091.34	\$43,244.31	\$36,777.69	\$34,001.30

Reviving the urban/first-ring suburban core is crucial to the viability of the Twin Cities Metropolitan Area. The ability to generate revenue through property transactions demonstrates visible results of public investment in reclamation and environmental protection, including jobs and increased tax base.

Ramsey County Commissioner Janice Rettman, Chair
Ramsey County Housing and Redevelopment Authority



Ramsey County is fully developed and the most densely populated Minnesota county. It also has some of the most polluted property. Environmental Response Funds captioned below, leveraged an investment of \$42,405,491 in clean-up costs. Total proposed development costs of \$790,850,738 are expected to result in an increased market value of \$363,765,387. Without the ERF, projects such as those described below would not be possible. Ramsey County could not achieve this level of success without authorization from its forward-looking legislature.



Great Northern Business Center, St. Paul (\$1,007,000 - 2004)

Located in an impoverished and ethnically diverse Saint Paul neighborhood, reclamation of the Dale Street shops site cleaned 10.7 acres of petroleum and other contaminants. The new business park houses a variety of new businesses that are creating more than 100 new jobs paying at least \$10.50/hour plus benefits.

New Brighton Exchange (\$725,000 - 2006)

This former asphalt plant, trucking facility, rendering operation and dump with high concentrations of methane and fill too unstable for building construction has had MCPA-approved clean-ups. The city has installed much of the infrastructure. Several companies now call the 100-acre redeveloped site home, including the APi Group, Inc., Data Sciences International (DSI) and Shavlik Technologies, creating/retaining 2800 jobs. A 100+ unit market rate rental property, The View, is under construction.



Carleton Place Lofts, St. Paul (\$235,000 - 2005)

Formerly home to Johnson Brothers Liquor warehouses, this 5.87 acre site was plagued with lead, asbestos and petroleum. Four underground tanks required removal. The site has been cleaned up and 170 new housing units have been created from this historic landmark, which fronts the Central Corridor Light Rail Transit.

Sholom East Campus, St. Paul (\$147,000 - 2007)

The former Koch Fuels/Flint Hills fuel distribution center is now home to a 92-bed facility offering long-term care, short-term rehabilitation and a memory unit. It retained 1,225 positions and created an additional 26 positions with more being added. Rental units are for seniors at or below 30% of the area median income; the nursing home has Medical Assistance beds; and the Johnson Hospice Center is a rare example of hospice available to those on Medical Assistance.



Village at Little Canada (\$46,725 - 2005)

A gas/service station for more than 50 years, this 1/2 acre site faced serious petroleum contamination despite tank removal and prior clean-up efforts. The redeveloped 26,000 sq. ft. center houses a variety of new businesses and 50 new jobs.

NE Quadrant, Vadnais Heights (\$500,000 - 2007 - 2009)

Development opportunities in the NE quadrant of the intersection of 35E and County Rd E in Vadnais Heights have lagged due to buried materials from the demolition of Anker Hospital. ERF funding is helping identify contaminants and containment options in advance of development.



Traverse Business Center, Arden Hills (\$50,000 - 2006)

The demolition and remediation for Traverse Business Center has been completed. One of the last bits of undeveloped land along the I-694/494 loop will be home to 500,000 square feet of new office space.

Globe/Beacon Bluff, St. Paul (\$350,000 - 2007)

The former Globe Building Materials site was cleaned up in 2009 and became part of the Port Authority's Beacon Bluff Business Center, which is currently being marketed internationally as a site for business expansion.





March 13, 2012

Same letter will be sent to Rep.
Greiling and Rep. Scalze

Senator John Marty
100 Rev. Dr. Martin Luther King Jr. Blvd.
State Office Building, Room 119
St. Paul, MN 55155-1206

Dear Senator Marty:

We are writing this letter to urge that you support the passage of House File 1113/Senate File 772 which would remove the sunset date on the ability of Ramsey County to collect a small fee on every mortgage and deed filing to fund the Ramsey County's Environmental Response Fund.

Ramsey County's Environmental Response Fund (ERF) provides financial assistance of last resort to clean-up environmentally contaminated properties. As a fully built-out county, the ERF program is a needed tool to help foster redevelopment of brownfield sites.

The fund is especially important for suburban communities such as Roseville that is now experiencing brownfield redevelopment. In fact, the City of Roseville has utilized \$265,000 from ERF to assist in cleaning up properties that led to the building of roads and infrastructure within the Twin Lakes area. Not only did the use of the ERF funds create construction jobs and assist in cleaning up the property, it has made the Twin Lakes redevelopment area "open for business".

Once again, we urge your support of House File 1113/Senate File 772. Passage of the legislation will maintain a proven and successful economic development tool for Ramsey County and all of its municipalities.

Respectfully,

CITY COUNCIL
CITY OF ROSEVILLE

Daniel Roe, Mayor

Tammy Pust, City Councilor

Jeff Johnson, City Councilor

Robert Willmus, City Council

Tammy McGehee, City Councilor

Date: March 12, 2012

Item: 10.a

League of Minnesota

Cities Insurance Trust

Presentation Materials

Dan Greensweig is the Assistant Administrator of the League of Minnesota Cities Insurance Trust. He has also served as the Director of Operations and General Counsel for the Minnesota Association of Townships Insurance Trust, as an Assistant State Auditor and Director of that office's Tax Increment, Investment, and Finance Division, and as a shareholder at the Minneapolis law firm of Kennedy & Graven where his practice focused on municipal law and public finance. He was formerly a member of the Circle Pines city council and park board and chair of the city's planning commission.



CONNECTING & INNOVATING
SINCE 1913

LEAGUE OF MINNESOTA CITIES INSURANCE TRUST *MORE THAN JUST INSURANCE FOR LOCAL GOVERNMENTS*

The League of Minnesota Cities Insurance Trust (LMCIT) is a cooperative joint powers organization formed by Minnesota cities during 1980 – one of the first municipal self-insurance pools in the country. LMCIT provides property, liability, workers' compensation, employee benefit coverages and risk management needs to Minnesota cities. Members contribute premiums to a jointly-owned fund rather than paying premiums to buy insurance from a private insurance company. The funds are used to pay for members' claims, losses and expenses. LMCIT participation varies by program:

- The property/casualty program has more than 1,100 members.
- The workers' compensation program has more than 900 members.
- LMCIT sponsors life, disability and long-term care programs for members.

Long-Term Stability and Reasonable Rates

The private insurance market runs in cycles. Sometimes insurance is relatively cheap and easy to get. At other times, as in the late 1970s and again in the mid- and late-1980s, insurance became very expensive and hard to obtain.

In a “hard” cycle, if insurance companies view cities as undesirable or unpredictable risks, cities may not be able to find insurance at all. This happened during the late 1980s to cities throughout the country. Because LMCIT exists, Minnesota cities know they have a stable source of insurance coverage, regardless of private insurance industry cycles.

Members can count on competitive rates and may also receive dividends when there are extra funds that aren't needed for member losses, expenses or reserves. If LMCIT's income from premiums and investments is more than what is needed for losses and expenses, the extra funds go back to member cities. Since 1987, LMCIT has returned \$221 million in dividends to cities.

Cities also rely on LMCIT for its strength and superior member service. To ensure that LMCIT is able to meet its responsibility to pay cities' claims, the Board of Trustees work to ensure the organization is strong and financially stable. A conservative approach to rates and reserves, a solid reinsurance program with some of the strongest reinsurers in the world, and regular actuarial reviews all help ensure that LMCIT will remain sound. By conventional insurance industry measures, LMCIT is stronger financially than most insurance companies.

The following LMCIT Board members are member city officials appointed by the League Board to govern the activities of LMCIT.

- Todd Prafke, City Administrator, City of Saint Peter
- Del Haag, Councilmember, City of Buffalo
- Joel Hanson, City Administrator, City of Little Canada
- Mark Karnowski, City Administrator, City of Princeton
- Jim Miller, Executive Director, League of Minnesota Cities
- Desyl Peterson, City Attorney, City of Minnetonka
- Rhonda Pownell, Councilmember, City of Northfield

Unique Coverages and Features

Cities have unique needs that private insurance carriers don't address very well. LMCIT's coverages are specifically designed for cities and are broader than any type of coverage offered by private insurance carriers. As new needs or problems develop, LMCIT modifies coverage or develops new programs to meet those needs through coverages, training, and services.

LMCIT's basic coverages are very broad and are complemented with an array of innovative coverages like extraordinary expense coverage, accident coverage for volunteers, coverage for emergency response personnel affected by posttraumatic stress disorder, coverage for dredging and excavation claims and so on.

When members experience a claim, LMCIT's claim unit is there to provide coverage and indemnity against members' losses. This unit is a quality claim servicing group, with expertise in municipal liability, property, auto and workers' compensation claims. The workers' compensation unit is located at LMCIT. The property/casualty unit has six offices spread across Minnesota:

- North unit in Virginia and Moorhead.
- South unit in Mankato, Willmar and Rochester.
- Metro-east and metro-west at LMCIT.
- Small claims handling and specialty claim unit at LMCIT.

The property/casualty claims unit handles municipal liability, property, and auto claims. The unit also has a set of claims adjusters to handle specialty claims: small property, first party property, employment, police and land use. This department is well versed in addressing complex issues such as coverage issues, settlement terms, oversight and investigation, and litigation management. They work to develop strategies for case management and to determine the best and most logical method to bring a claim file to its conclusion.

The workers' compensation unit works with all parties to ensure the goal of the Workers' Compensation Statute is met. The claim adjusters investigate claims, regularly communicate with the city, employee and all parties involved, determine compensability, calculate and pay lost time benefits, and ensure appropriate medical care. The goal of this department is to assist an injured employee in obtaining appropriate medical care quickly to help the employee return as close as possible to his or her pre-injury condition.

Member-Focused Risk Management Assistance

The money LMCIT uses to pay claims belongs to the cities themselves - and every loss that is avoided saves money. That's why LMCIT places such a high priority in helping cities minimize risks and reduce losses. LMCIT has implemented a number of initiatives to help cities in this endeavor:

Training and Workshops

LMCIT offers general and customized training on land use, and for special job classes such as peace officers. Training is meant to deliver timely and important information to help cities mitigate risks.

- **Land Use.** LMCIT's land use attorneys provide a range of training services to assist cities with the unique concerns involved in land use decision making.
- **Police Accredited Training OnLine (PATROL).** This web-based learning tool for Minnesota law enforcement officers provides extensive web-based courses on current legal issues, and research on important developments affecting Minnesota law enforcement.
- **Safety Assistance Programs.** Minnesota cities have a range of state and federal OSHA mandates with which they must comply. LMCIT has developed the Regional Safety Groups initiative, which provides an array of subsidized services to participating cities, including hands-on and web-based safety training, safety audits, and one-on-one consulting. Cities enrolled in this program also have access to FirstNet Learning, a web-based training program endorsed by the National Safety Council. The program includes written information, questions and answers, scoring, and a supervisory tool to track your employees' progress.
- **Safety & Loss Control Workshops.** Each Spring, LMCIT holds a series of one-day workshops at locations throughout the state. These sessions focus on providing practical information for cities to help avoid losses and reduce the costs of losses that may occur. Several tracks are offered for various staff, including public works, fire, peace officers, administration, elected officials, and parks and recreation. These workshops are inexpensive and registration fees include informational materials from all the sessions.
- **Specialized Loss Control Workshops.** Half-day workshops are offered at various locations annually in the Fall on topics such as confined space entry; street, snow-plowing, and sewer maintenance policies; trenching; and chainsaw usage. Depending upon the topic, participants will participate in hands-on simulations, learn about OSHA standards and requirements, and receive sample policies and models, and more.

Contract Review Service

LMCIT's Contract Review Service program is a free service that helps guard member cities against common contract liability exposures by identifying defense and indemnification language that may be problematic. Advice and recommendations on insurance coverage also are provided to help ensure contracted activities fall within the scope of LMCIT coverages.

HR & Benefits

Member cities can access a variety of Human Resource materials and services designed to help cities mitigate employment claims. Resources include:

- Flexible benefit plan services
- Model union contracts
- Salary & benefits survey
- GASB OPEB services
- City workforce planning
- Web-based training for leaders and supervisors
- HR Reference Manual
- Life, disability and long-term care insurance
- HR training program

Joint Powers

Minnesota cities continuously seek efficient ways to use limited resources, exploring opportunities to cooperate with other entities. These partnerships can provide efficiencies, but also can create unique liability issues. LMCIT provides a number of coverages, informational resources, and staff available to assist members with these agreements.

Land Use

More than 20 percent of all members' liability costs are the result of land use claims. Because these costs are significant, LMCIT's team of land use attorneys works with members to provide customized information and training, and acts as a resource to elected and appointed city officials and to city attorneys. LMCIT also has a land use incentive program, which rewards members that take a web-based training course focused on land use decision making.

Loss Control Advice

LMCIT attorneys, staff, and loss control consultants provide loss control advice to member cities as a supplement to city attorney's services. All are available to answer questions on legal loss control issues; the implications of employment-related decisions; review mutual-aid agreements, contracts, and more. Loss control consultants provide on-site assistance to improve safety programs and reduce employee injuries.

Minnesota Safety Council Membership

All LMCIT members automatically get access to the Minnesota Safety Council. This free membership allows cities to access:

- Discounts on safety training, on-site consultation and training tools on occupational safety and health training, First Aid/CPR/AED training and driver training/fleet safety/DOT compliance.
- An expansive video library featuring more than 700 industry-specific videos and DVDs.
- Free phone and e-mail consultation to help answer questions about workplace safety and health, traffic and fleet safety, first aid and off-the-job safety.
- Weekly e-newsletters for every staff person in your city who registers. These newsletters keep your crew up-to-date on regulatory changes and resources to support your safety programs.
- Off-the-job safety products, programs and materials to help cities support job safety.

Police & Fire

Minnesotans benefit from the emergency services delivered by cities. Sometimes fire and police services are provided directly to residents, other times cities collaborate for emergency services. Each of these services, though, presents a unique set of management and liability issues. LMCIT has developed materials and training to help members navigate these issues.

Safe Patient Handling

Minnesota cities that operate health care facilities face a high rate of injury among employees responsible for patient lifting. In an effort to demonstrate a means of reducing employee injuries and controlling Workers' Compensation loss costs, LMCIT partnered with Field Crest Care Center, a nursing home in Hayfield, to install no-lift technology and promote safe patient handling, and is using this project to educate and encourage other municipal health care facilities to find ways to reduce the physical burden on caregivers and decrease injuries to employees and patients, while maintaining a compassionate care environment.

Safety Loan Program

The Safety Loan Program is an affordable, reliable program that provides funding for safety improvements. Your city can make improvements in one year, and spread the costs across several budget years for personal protective equipment, fire suppression/detection equipment, job site safety equipment, and ergonomic equipment.

Sewers

Minnesota cities need to exercise reasonable care for sewer systems to avoid sewer back-up liability. This means cities must establish an inspection and maintenance program and emergency procedures. LMCIT has assembled a task force to develop recommendations and tools to help cities develop a sanitary sewer program.



RISK MANAGEMENT INFORMATION **OPTIONAL “NO-FAULT” SEWER BACKUP COVERAGE**

The League of Minnesota Cities Insurance Trust (LMCIT) offers property/casualty member cities “no-fault” sewer backup coverage. This optional coverage will reimburse a property owner for clean-up costs and damages resulting from a city sewer backup or from a city water main break, irrespective of whether the backup was caused by city negligence.

The “no-fault” sewer backup coverage option is intended to:

- Reduce health hazards by encouraging property owners to clean-up backups as quickly as possible.
- Reduce the frequency and severity of sewer backup lawsuits (i.e. property owners may be less inclined to sue if they receive conciliatory treatment at the time of the backup).
- Give cities a way to address the sticky political problems that can arise when a property owner learns the city and LMCIT won’t reimburse for sewer backup damages because the city wasn’t negligent and therefore not legally liable.

Many cities and their citizens may find this coverage option to be a helpful tool. However, it’s also important to realize it’s not a complete solution to sewer backup problems, and not every possible backup will be covered.

Which sewer backups are covered?

The “no-fault” coverage would reimburse the property owner for sewer backup damages or water main breaks, regardless of whether the city was legally liable, if the following conditions are met:

- The backup must have resulted from a condition in the city’s sewer system or lines. A backup caused by a clog or other problem in the property owner’s own line would not be covered.
- It’s not a situation that is specifically excluded in the coverage.
- The coverage limit has not been exceeded.

Which situations are excluded?

The “no-fault” coverage will not apply in several “catastrophic” type situations. Specifically, these are:

This material is provided as general information and is not a substitute for legal advice.
Consult your attorney for advice concerning specific situations.

- Any event, weather-related or otherwise, for which FEMA assistance is available;
- Any interruption in the electric power supply to the city's sewer system or to any city sewer lift station which continues for more than 72 hours; or
- Rainfall or precipitation that exceeds the amount determined by the National Weather Service to constitute a 100-year storm event.

What costs would be covered?

The coverage would reimburse the property owner for the cost of cleaning up the backup, and for any damage to the property, up to the coverage limit. For purposes of the city's deductibles, claims under the no-fault coverage are treated as liability claims, so the same per-occurrence and/or annual deductibles will apply.

However, there are certain costs that would not be reimbursed under the no-fault coverage:

- Any costs which have been or are eligible to be covered under the property owner's own homeowner's or other property insurance; and
- Any costs that would be eligible to be reimbursed under an NFIP flood insurance policy, whether or not the property owner actually has NFIP coverage.

What is the coverage limit?

The basic limit is \$10,000 per building per year. The city also has options to purchase additional limits of \$25,000 or \$40,000 per building. For purposes of the limit, a structure or group of structures that is served by a single connection to the city's sewer system will be considered a single building.

Only true "no-fault" claims are counted toward the limit. Claims for damages caused by city negligence, for which the city would be legally liable in any case, are not charged against that limit.

What does it cost?

The premium charge is a percentage of the city's municipal liability premium:

- 8.5% for the \$10,000 limit;
- 10.0% for the \$25,000 limit; or
- 12.5% for the \$40,000 limit.

Because the LMCIT Board's intent is that this coverage be self-supporting, charges will be continually monitored and, if necessary, adjusted in the future.

Is every city automatically eligible?

No. To be eligible, the city must meet these underwriting criteria:

- The city must have a policy and practice of inspecting and cleaning its sewer lines on a reasonable schedule.
- If there are any existing problems in the city’s system which have caused backups in the past or are likely to cause backups, the city must have and be implementing a plan to address those problems.
- The city must have a system and the ability to respond promptly to backups or other sewer problems at any time of the day or week.
- The city must have in place an appropriate program to minimize stormwater inflow and infiltration.
- The city must have in place a system to maintain records of routine sewer cleaning and maintenance, and of any reported problems and responses.

When establishing these criteria, the goal of LMCIT was to focus on reasonableness rather than on creating specific standards. The intent isn’t to set an arbitrary requirement that sewers be inspected and cleaned every six months, every three years, every five years, etc. What makes sense in one city with some older and sometimes sagging clay lines probably wouldn’t make sense in a city with newer plastic lines, and vice versa. From the underwriting standpoint, the real concern is that the city has considered its own situation and developed policies, practices, and schedules that make sense for its own situation.

More Information

For assistance in developing sewer policies, practices, and schedules, please see the [Sewer Toolkit](#).

How would the “no-fault” coverage work if a sewer backup was caused by city negligence, and where the city was legally liable for the resulting damages?

If the situation isn’t one where the “no-fault” coverage applies, the city’s LMCIT liability coverage would respond just as it does now. That is, LMCIT would investigate and if necessary defend the claim on the city’s behalf, and would pay the resulting damages if in fact the city is legally liable for those damages.

The same would be true for damages that exceed the \$10,000 no-fault limit, or for a subrogation claim against the city by the homeowner’s insurance company. The city’s existing LMCIT liability would respond just as it does now.

What’s the legal basis for this coverage? Wouldn’t it be a gift of public funds to pay for damages the city isn’t legally liable for?

First, as noted earlier, one goal is to help reduce health hazards by encouraging prompt clean-ups. That’s clearly a public purpose and in the public interest.

Second, the law and facts surrounding most sewer backup claims are rarely so clear that the liability issue is entirely black and white. There’s virtually always a way that a claimant’s attorney can make some type of argument for city liability. Having this coverage in place should help eliminate the need to spend public funds on litigation costs in many of these cases.

Finally, part of the process for putting the coverage in place is for the city council to pass a formal resolution that makes this no-fault sewer backup protection part of the agreement between the city and the sewer customer. The idea is that by paying their sewer bill, the sewer user is purchasing not just sewer services but also the right to be reimbursed for certain specified sewer backup costs and damages. In other words, the basis for the no-fault payments to the property owner would be the contract between the city and the sewer user.

How do we put coverage in place?

Contact your LMCIT underwriter for an application. If the city qualifies for coverage, we'll send the city a formal quote, along with a model resolution. To put coverage in place, the city council must formally pass that resolution, and send a copy to LMCIT.

If the city decides to add this coverage, it will also be important to make sure citizens know about it. LMCIT can also provide models for a press release, newsletter article, utility bill insert, etc.

Your League Resource

Contact your LMCIT underwriter at 651-281-1200 or 800-925-1122 for more information about the "no-fault" sewer backup coverage.

What if we decide to discontinue the coverage sometime in the future?

Make sure your agent notifies your LMCIT underwriter. In addition, it's important to let your citizens know if and when the coverage is discontinued. The council should formally rescind the resolution that made the no-fault sewer backup protection part of the agreement between the city and the sewer customer.

Pete Tritz 07/11

COMPREHENSIVE MUNICIPAL COVERAGE

No-Fault Sewer Back-up and Water Main Break Coverage Endorsement (\$10,000 Limit)

Section I, Coverage A, Municipal Liability Coverage, is amended to include no-fault sewer back-up and water main break coverage as outlined below.

1. No-fault sewer back-up coverage

- a. If all of the following four conditions are met, *LMCIT* will pay for claims presented by the *city* for *sewer back-up damage* to property of others which was not caused by *city* negligence:
 - (1) The sewer back-up resulted from a condition in the *city's* sewer system;
 - (2) The sewer back-up was not the result of an obstruction or other condition in sewer pipes or lines which are not part of the *city's* sewer system or which are not owned or maintained by the *city*; and
 - (3) The sewer back-up was not caused by or related to a *catastrophic incident*.
 - (4) The date of the *occurrence* giving rise to the claim for *damages* must be on or after the retroactive date shown on this endorsement.
- b. However, *LMCIT* will not pay for any *damages* or expenses:
 - (1) Which are or would be covered under a National Flood Insurance Program flood insurance policy, whether or not such insurance is in effect; or
 - (2) For which the property owner has been reimbursed or is eligible to be reimbursed by any homeowners' or other property insurance.

2. No-fault water main break coverage.

LMCIT will pay for claims presented by the *city* for *water main break damage* to property of others which was not caused by *city* negligence. But *LMCIT* will not pay for any *damages* or expenses for which the property owner has been or is eligible to be reimbursed by any homeowners' or other property insurance.

3. Definitions

For purposes of this endorsement, the following definitions apply.

- a. *Catastrophic incident* means any of the following:
 - (1) Any weather-related or other event for which FEMA (Federal Emergency Management Administration) assistance is available;

- (2) Any interruption in the electric power supply to the *city's* sewer system or to any *city* sewer lift station which continues for more than 72 hours; or
- (3) Rainfall of precipitation which exceeds the amount determined by the National Weather Service to constitute a 100-year storm event.
- b. *Sewer back-up damage* means damage to property, including removal and clean-up costs, resulting from a sewer back-up.
- c. *Water main break damage* means damage to property, including removal and clean-up costs, resulting from the rupture of a *city* water main, line, or pipe.

4. Limits

- a. *LMCIT* will not pay more than \$10,000 for *sewer back-up damage* to any building under this endorsement, regardless of the number of *occurrences* or the number of claimants. For purposes of this limit
 - (1) A structure or group of structures served by a single connection to the *city's* sewer system is considered a single building.
 - (2) If a single structure is served by more than one connection to the *city's* sewer system, the portion of the structure served by each respective connection is considered a separate building.
- b. *LMCIT* will not pay more than \$10,000 for *water main break damage* to any claimant, regardless of the number of *occurrences* or the number of properties affected.
- c. *LMCIT* will not pay more than \$250,000 for *water main break damage* resulting from any single occurrence. All *water main break damage* which occurs during any period of 72 consecutive hours is deemed to result from a single *occurrence*.

If the total *water main break damage* for all claimants in a single *occurrence* exceeds \$250,000, the reimbursement to each claimant will be calculated as follows:

- (1) A preliminary reimbursement figure is established for each claimant, equal to the lesser of the claimant's actual *damages* or \$10,000.
- (2) The sum of the preliminary reimbursement figures for all claimants will be calculated.
- (3) Each claimant will be paid a percentage of his or her preliminary reimbursement figure, equal to the percentage calculated by dividing \$250,000 by the sum of all claimants' preliminary reimbursement figures.

5. Deductibles

The amount *LMCIT* pays for *sewer back-up damages* or *water main break damage* under this endorsement is subject to the Municipal Liability Deductible shown in the Municipal Liability Declarations or the General Annual Aggregate Deductible if any shown in the Common Coverage Declarations.

For purposes of the Municipal Liability Deductible, all claims for *sewer back-up damages* which are covered under this endorsement, which occur within a 72 hour period, and which result from or are related to the same condition or conditions in the *city's* sewer system are deemed to be a single *occurrence*; and *water main break damage* which is covered under this endorsement and which occurs during any period of 72 consecutive hours is deemed to be a single *occurrence*.

6. Retroactive Date

The retroactive date for this endorsement is _____.

All other terms and conditions remain unchanged.

COMPREHENSIVE MUNICIPAL COVERAGE

No-Fault Sewer Back-up and Water Main Break Coverage Endorsement (\$25,000 Limit)

Section I, Coverage A, Municipal Liability Coverage, is amended to include no-fault sewer back-up and water main break coverage as outlined below.

1. No-fault sewer back-up coverage

- a. If all of the following four conditions are met, *LMCIT* will pay for claims presented by the *city* for *sewer back-up damage* to property of others which was not caused by *city* negligence:
 - (1) The sewer back-up resulted from a condition in the *city's* sewer system;
 - (2) The sewer back-up was not the result of an obstruction or other condition in sewer pipes or lines which are not part of the *city's* sewer system or which are not owned or maintained by the *city*; and
 - (3) The sewer back-up was not caused by or related to a *catastrophic incident*.
 - (4) The date of the *occurrence* giving rise to the claim for *damages* must be on or after the retroactive date shown on this endorsement.
- b. However, *LMCIT* will not pay for any *damages* or expenses:
 - (1) Which are or would be covered under a National Flood Insurance Program flood insurance policy, whether or not such insurance is in effect; or
 - (2) For which the property owner has been reimbursed or is eligible to be reimbursed by any homeowners' or other property insurance.

2. No-fault water main break coverage.

LMCIT will pay for claims presented by the *city* for *water main break damage* to property of others which was not caused by *city* negligence. But *LMCIT* will not pay for any *damages* or expenses for which the property owner has been or is eligible to be reimbursed by any homeowners' or other property insurance.

3. Definitions

For purposes of this endorsement, the following definitions apply.

- a. *Catastrophic incident* means any of the following:
 - (1) Any weather-related or other event for which FEMA (Federal Emergency Management Administration) assistance is available;

- (2) Any interruption in the electric power supply to the *city's* sewer system or to any *city* sewer lift station which continues for more than 72 hours; or
- (3) Rainfall of precipitation which exceeds the amount determined by the National Weather Service to constitute a 100-year storm event.
- b. *Sewer back-up damage* means damage to property, including removal and clean-up costs, resulting from a sewer back-up.
- c. *Water main break damage* means damage to property, including removal and clean-up costs, resulting from the rupture of a *city* water main, line, or pipe.

4. Limits

- a. *LMCIT* will not pay more than \$25,000. for *sewer back-up damage* to any building under this endorsement, regardless of the number of *occurrences* or the number of claimants. For purposes of this limit
 - (1) A structure or group of structures served by a single connection to the *city's* sewer system is considered a single building.
 - (2) If a single structure is served by more than one connection to the *city's* sewer system, the portion of the structure served by each respective connection is considered a separate building.
- b. *LMCIT* will not pay more than \$25,000 for *water main break damage* to any claimant, regardless of the number of *occurrences* or the number of properties affected.
- c. *LMCIT* will not pay more than \$250,000 for *water main break damage* resulting from any single occurrence. All *water main break damage* which occurs during any period of 72 consecutive hours is deemed to result from a single *occurrence*.

If the total *water main break damage* for all claimants in a single *occurrence* exceeds \$250,000, the reimbursement to each claimant will be calculated as follows:

- (1) A preliminary reimbursement figure is established for each claimant, equal to the lesser of the claimant's actual *damages* or \$25,000.
- (2) The sum of the preliminary reimbursement figures for all claimants will be calculated.
- (3) Each claimant will be paid a percentage of his or her preliminary reimbursement figure, equal to the percentage calculated by dividing \$250,000 by the sum of all claimants' preliminary reimbursement figures.

5. Deductibles

The amount *LMCIT* pays for *sewer back-up damages* or *water main break damage* under this endorsement is subject to the Municipal Liability Deductible shown in the Municipal Liability Declarations or the General Annual Aggregate Deductible if any shown in the Common Coverage Declarations.

For purposes of the Municipal Liability Deductible, all claims for *sewer back-up damages* which are covered under this endorsement, which occur within a 72 hour period, and which result from or are related to the same condition or conditions in the *city's* sewer system are deemed to be a single *occurrence*; and *water main break damage* which is covered under this endorsement and which occurs during any period of 72 consecutive hours is deemed to be a single *occurrence*.

6. Retroactive Date

The retroactive date for this endorsement is _____.

All other terms and conditions remain unchanged.

COMPREHENSIVE MUNICIPAL COVERAGE

No-Fault Sewer Back-up and Water Main Break Coverage Endorsement (\$40,000 Limit)

Section I, Coverage A, Municipal Liability Coverage, is amended to include no-fault sewer back-up and water main break coverage as outlined below.

1. No-fault sewer back-up coverage

- a. If all of the following four conditions are met, *LMCIT* will pay for claims presented by the *city* for *sewer back-up damage* to property of others which was not caused by *city* negligence:
 - (1) The sewer back-up resulted from a condition in the *city's* sewer system;
 - (2) The sewer back-up was not the result of an obstruction or other condition in sewer pipes or lines which are not part of the *city's* sewer system or which are not owned or maintained by the *city*; and
 - (3) The sewer back-up was not caused by or related to a *catastrophic incident*.
 - (4) The date of the *occurrence* giving rise to the claim for *damages* must be on or after the retroactive date shown on this endorsement.
- b. However, *LMCIT* will not pay for any *damages* or expenses:
 - (1) Which are or would be covered under a National Flood Insurance Program flood insurance policy, whether or not such insurance is in effect; or
 - (2) For which the property owner has been reimbursed or is eligible to be reimbursed by any homeowners' or other property insurance.

2. No-fault water main break coverage.

LMCIT will pay for claims presented by the *city* for *water main break damage* to property of others which was not caused by *city* negligence. But *LMCIT* will not pay for any *damages* or expenses for which the property owner has been or is eligible to be reimbursed by any homeowners' or other property insurance.

3. Definitions

For purposes of this endorsement, the following definitions apply.

- a. *Catastrophic incident* means any of the following:
 - (1) Any weather-related or other event for which FEMA (Federal Emergency Management Administration) assistance is available;

- (2) Any interruption in the electric power supply to the *city's* sewer system or to any *city* sewer lift station which continues for more than 72 hours; or
- (3) Rainfall of precipitation which exceeds the amount determined by the National Weather Service to constitute a 100-year storm event.
- b. *Sewer back-up damage* means damage to property, including removal and clean-up costs, resulting from a sewer back-up.
- c. *Water main break damage* means damage to property, including removal and clean-up costs, resulting from the rupture of a *city* water main, line, or pipe.

4. Limits

- a. *LMCIT* will not pay more than \$40,000. for *sewer back-up damage* to any building under this endorsement, regardless of the number of *occurrences* or the number of claimants. For purposes of this limit
 - (1) A structure or group of structures served by a single connection to the *city's* sewer system is considered a single building.
 - (2) If a single structure is served by more than one connection to the *city's* sewer system, the portion of the structure served by each respective connection is considered a separate building.
- b. *LMCIT* will not pay more than \$40,000 for *water main break damage* to any claimant, regardless of the number of *occurrences* or the number of properties affected.
- c. *LMCIT* will not pay more than \$250,000 for *water main break damage* resulting from any single occurrence. All *water main break damage* which occurs during any period of 72 consecutive hours is deemed to result from a single *occurrence*.

If the total *water main break damage* for all claimants in a single *occurrence* exceeds \$250,000, the reimbursement to each claimant will be calculated as follows:

- (1) A preliminary reimbursement figure is established for each claimant, equal to the lesser of the claimant's actual *damages* or \$40,000.
- (2) The sum of the preliminary reimbursement figures for all claimants will be calculated.
- (3) Each claimant will be paid a percentage of his or her preliminary reimbursement figure, equal to the percentage calculated by dividing \$250,000 by the sum of all claimants' preliminary reimbursement figures.

5. Deductibles

The amount *LMCIT* pays for *sewer back-up damages* or *water main break damage* under this endorsement is subject to the Municipal Liability Deductible shown in the Municipal Liability Declarations or the General Annual Aggregate Deductible if any shown in the Common Coverage Declarations.

For purposes of the Municipal Liability Deductible, all claims for *sewer back-up damages* which are covered under this endorsement, which occur within a 72 hour period, and which result from or are related to the same condition or conditions in the *city's* sewer system are deemed to be a single *occurrence*; and *water main break damage* which is covered under this endorsement and which occurs during any period of 72 consecutive hours is deemed to be a single *occurrence*.

6. Retroactive Date

The retroactive date for this endorsement is _____.

All other terms and conditions remain unchanged.



RISK MANAGEMENT INFORMATION
**TORTS, IMMUNITIES & DAMAGES
UNDER THE MUNICIPAL TORT CLAIMS ACT**

This memo discusses the required elements of a negligence claim against a city and the unique defenses available to the city, including statutory and common law immunity defenses. We'll also cover the application of the tort damage caps under the Municipal Tort Claims Act as well as the relevant case law.

When reviewing this information, cities should be aware effective July 1, 2009, the statutory tort liability limits will increase to \$500,000 per claimant and \$1.5 million per occurrence for claims occurring after this date.

Cities, like other non-governmental defendants, are generally subject to liability for their torts and those of their officers, employees and agents acting within the scope of their employment or duties. However, cities have specific statutory and common law immunities afforded to them in addition to other general affirmative tort defenses under the law.

Additionally, cities have specific statutory caps on damages for these torts, which limit their liability in huge damage claims. The purpose behind both the immunity defenses and the tort damage caps are to protect and preserve limited public resources.

Elements of a Negligence Claim

Under Minnesota law, in order to prevail on a negligence claim, a plaintiff must establish all of these four elements: Duty of care, breach of duty of care, proximate cause, and damage or injury.

Duty of Care

Did the city owe the plaintiff a duty of care? Duty is a crucial element because if the city can establish no duty owed to plaintiff = no negligent cause of action = no lawsuit. This issue oftentimes comes down to whether the city owns, maintains or controls property where plaintiff was injured. This can be determined by reviewing deeds, contracts, or other documents.

Definition

Under the Municipal Tort Claims Act (Minn. Stat. §466.01-15), cities are vicariously liable for the torts of their employees or agents acting on the city's behalf.

Definition

A **tort** is a civil wrong or injury which arises out of a violation (breach) of a duty owed by the city to an injured or damaged plaintiff.

Public Duty Doctrine

The public duty doctrine precludes a negligence claim against a city. It states that the city does not owe a duty to an individual citizen when performing certain municipal functions, but to the public as a whole. Under this doctrine, even if the city may have done something that constitutes a breach of duty of care, there is no negligent claim available to the plaintiff against the city. Cracraft v. City of St. Louis Park, 279 N.W.2d 801 (Minn. 1979). This doctrine has been applied to such activities as fire fighting and building inspections.

Breach of Duty of Care

In order to show a breach of duty, one must show that the city had **notice**.

Proximate Cause

Was the city's negligence the cause or substantial factor in the Plaintiff's injuries or damages?

Damage or Injury

To establish the damage element, plaintiff must prove actual loss or injury. Plaintiff cannot simply speculate or surmise as to his/her loss or injury.

Municipal Immunities

Cities have a variety of statutory immunities available to them under the Municipal Tort Claims Act, Minn. Stat. §466.01-15. Cities also have common law official and vicarious official immunity available to them as a bar to suit. These immunities bar a lawsuit, even if city is potentially negligent.

Statutory Immunities

The statutory immunities are set forth within the Municipal Tort Claims Act, at Minn. Stat. §466.03. The most common statutory immunities are:

- Snow and Ice Immunity, Minn. Stat. §466.03, Subd. 4
- Statutory Discretionary Immunity, Minn. Stat. §466.03, Subd. 6
- Parks and Recreation Immunity, Minn. Stat. §466.03, Subd. 6e
- Municipal Authorizations Standard Immunity (Permit), Minn. Stat. §466.03, Subd. 10
- Road or Highway Right-of-Way Immunity, Minn. Stat. §466.03, Subd. 22

Snow and Ice Immunity, Minn. Stat. §466.03, Subd. 4

This immunity is most often applied in slip and falls and automobile accidents where the presence of snow and ice was a contributing factor to the accident. The claim must be based on snow and ice conditions on public highway or sidewalk, which does not about the publicly owned building or parking lot is necessary for this immunity to apply.

Definitions

Actual Notice is when a city is aware of dangerous or defective conditions through complaints; the area has been recommended for repair or replacement; or other accidents, injuries, or preexisting city created conditions.

Constructive Notice is established through evidence that the dangerous or defective condition was present for such a period of time that it constitutes notice. This exists if it can be proven that if the city was exercising reasonable care, it should have known of the dangerous condition.

What are the issues to consider when dealing with a snow and ice condition?

- Duration (how long was condition present)
- Characteristics of condition (glare ice, black ice, bumps, ridges)
- Causation (was the condition a causal factor or did it contribute to the accident and injury).

Was the condition caused or created by city?

- Look to city plowing/snow removal policy/procedure.
- What actually caused condition, i.e. drainage issues, freeze/refreeze?
- Was the condition naturally caused or artificially (i.e. awnings, overhangs, drain pipes)?

Remember: The highway/sidewalk cannot abut a publicly owned building or parking lot in order to assert the snow/ice immunity. Also, check the ownership of adjacent properties.

Statutory Discretionary Immunity Minn. Stat. § 466.03, (Subd. 6)

Cities are immune from “any claim based upon the performance or failure to exercise or perform a discretionary function or duty, whether or not the discretion is abused.” This immunity is to protect policy or planning level decisions made by the city, not day-to-day or “operational” decisions. This policy or planning level decision must be based upon social, economic and political factors. The reviewing court analyzes the following factors to determine if immunity applies:

- Budget
- Personnel
- Safety
- Priority of other projects

These factors are often present in policies (i.e., snow plowing, sidewalk, sewer inspection or maintenance), city council or planning minutes, memorandums, contracts that the city has in its records. Use model policies available from LMCIT for your client cities.

Generally, the actual implementation of the policy/plan may be deemed “operational” and may not be protected by immunity. However, if the claim involves an “attack” upon the policy/plan itself, the Minnesota appellate courts have refused to separate or set forth a “bright line rule” and have afforded statutory immunity for the enactment as well as the implementation of the policy/plan. See, Zank v. Larson, 552 N.W.2d 719 (Minn. 1996).

Definition

The ***Mere Slipperiness Doctrine*** is a common law or case law rule whereby the Minnesota appellate courts have held, “A city is not liable for the mere slipperiness resulting from the natural accumulation of ice and snow on streets and sidewalks. However, the rule has its exceptions and does not protect the city in the case where the accumulation of ice and snow is negligently permitted to remain for such a period of time as to cause the formation of ‘slippery and dangerous ridges, hummocks, depressions, and other irregularities that develop there.”

Refer to Doyle v. City of Roseville, 524 N.W.2d 461 (Minn. 1994).

Something to Think About

Self-serving conclusory affidavits from city employees have been rejected by the Minnesota appellate courts. See Conlin v. City of St. Paul, 1999 WL 2096045 (Minn. App. 1999).

Park and Recreational Use Immunity (Subd. 6e)

If the property is owned or leased by city and is intended or designated for use as a “recreational facility”, and the plaintiff is injured while using the facility, the actual use by plaintiff is irrelevant.

Examples include:

- Stiele v. City of Crystal, 646 N.W.2d 251 (Minn. App. 2002). (young child climbing tennis fence in park who fell and was injured).
- Doyle v. City of Roseville, 524 N.W.2d 461 (Minn. 1994) (plaintiff slipped and fell while walking in parking lot of public ice rink).
- Habeck v. Quversen, 699 N.W.2d 907 (Minn. App. 2003) (plaintiff injured while being transported by a hay wagon from parking lot to fairgrounds).
- Hinnenkamp v. City of Columbia Heights, 2002 WL 233824 (Minn. App. 2002) (plaintiff injured when coffee pot in community center tipped over).

Requirements of Trespassers Standard of Care

The plaintiff must meet all requirements in order to survive the immunity. This must be a condition created or maintained by city and it must be likely to cause death or serious bodily harm (i.e., high voltage lines, razor wire, bodies of water, excavations, etc.). Also, the city must have actual notice that the condition in question is likely to cause death or serious bodily harm (i.e., prior accidents, injuries, or complaints). Upon a brief inspection, the condition must be visible. This doesn’t mean the plaintiff didn’t see the condition, it just confirms it was visible upon a quick inspection.

Something to Think About

City is immune unless the plaintiff can meet trespasser standard of care set forth in Restatement of Torts 2d §335. Only in rare circumstances will child trespass standard set forth in §339 be used.

LMCIT has been able to successfully defend these cases at both the trial and appellate court level so that the current law is very favorable toward municipalities.

Official Immunity and Vicarious Official Immunity

Overview of Official Immunity Doctrine

The common law doctrine of official immunity protects government officials from suit for their discretionary actions taken in the course of their official duties. Official immunity applies when the official’s conduct involves the exercise of judgment or discretion, but malicious conduct is not immunized. Official immunity is designed to protect public officials from the fear of personal liability that might deter independent action and impair effective performance of their duties.

Definitions

A **discretionary act** requires the exercise of individual judgment in carrying out the official’s duties.

A **ministerial act** is an absolute, certain, and imperative, involving merely execution of a specific duty arising from fixed and designated facts.

In the absence of malice, the critical issue in a claim of official immunity is whether the public official's conduct is discretionary or ministerial. Discretion has a much broader meaning in the context of official immunity than it does under the state and municipal tort claims statutes. Whether discretion was involved and official immunity applies turns on the facts of each case.

Courts focus on the discretion exercised by the city official when making a decision.

Application of Official Immunity

- Police/Pursuit/Emergency Response: Pletan v. Gaines, 494 N.W.2d 38 (Minn. 1992).
- Fire & Ambulance: Kari v. Maplewood, 582 N.W.2d 921 (Minn. 1998); Bailey v. City of St. Paul, 678 N.W.2d 697 (Minn. App. 2004); Nisbet v. Hennepin County, 548 N.W.2d 314 (Minn. App. 1996); Woehrle v. City of Mankato, 647 N.W.2d 549 (Minn. App. 2002).
- Snowplowing Decision-making: In re: Alexandria Accident of Feb. 8, 1994, 561 N.W.2d 543 (Minn. App. 1997)
- Traffic Engineering Decision-making: Ireland v. Crow's Nest Yachts, Inc., 552 N.W.2d 269 (Minn. App. 1996)
- Employment Decision-making: Rico v. State, 472 N.W.2d 100 (Minn. 1991).

Learn More

For further information on specific cases, please refer to:

Janklow v. Minnesota Bd. of Examiners for Nursing Home Adm'rs, 552 N.W.2d 711 (Minn. 1996). (This is a discretionary act)

-And-

Elwood v. Rice County, 423 N.W.2d 671 (Minn. 1988).

Official Immunity and Vicarious Immunity

Vicarious official immunity protects the governmental employer from liability when its public official is entitled to official immunity. The rationale behind extending immunity to the governmental employer is that the threat of liability against the employer would influence the governmental employee and hinder them from exercising independent judgment and discretion. It is very rare for a court to find official immunity but to deny the government employer vicarious official immunity.

Learn More

For more information on Official versus Vicarious immunity, please refer to: Pletan v. Gaines, 494 N.W.2d 38 (Minn. 1992).

Municipal Tort Caps

Minnesota Statutes §466.04 addresses the tort liability of municipalities, limiting the financial liability of any municipality to \$500,000 to any one claimant, and up to \$1,500,000 for all claimants per incident. No award for damages on any tort claim shall include punitive damages. The damages awarded are limited to compensatory damages.

Learn More

For more information on municipal tort caps, please refer to: Minn. Stat. §466.04, subd. 1(a)(1)(2)(3).

What claims are covered by the cap?

Any tort liability claims.

- Wrongful death.
- Personal injury.
- Negligence.
- Dram shop.
- Nuisance.
- Trespass.

Indemnification

Subject to the tort cap limits in Minn. Stat. §466.04, a city must defend and indemnify any employee or official whether elected or appointed, for damages claimed against the employee or official, provided that the employee or official was:

- Acting in the performance or scope of the duties of the position.
- Not guilty of malfeasance, willful neglect of duty, or bad faith.

City employees or officials are often personally named as defendants in lawsuits, as well as the city. Subject to the above limitations, the city must indemnify and defend the employee or official.

Which Claims are Not Covered by the Cap?

Non-tort claims

- Breach of contract.
- Eminent domain/condemnation.
- Constitutional claims.
- Any federal claims based upon federal statute or the constitution (e.g. Section 1983, ADA).

Liability Insurance and Waiver of Statutory Cap

Procurement of Liability Insurance

Excess coverage. The governing body of any municipality may procure insurance against liability of the municipality and its officers, employees, and agents for damages . . . resulting from it torts . . . The insurance may provide protection in excess of the limit of liability imposed by Section 466.04 . . . The procurement of such insurance constitutes a waiver of the limits of governmental liability under Section 466.04 only to the extent that valid and collectible insurance . . . exceeds those limits and covers the claim. Procurement of commercial insurance, participation in a self-insurance pool pursuant to Minn. Stat. §471.981, or provision for an individual self-insurance plan . . . shall not constitute a waiver of any governmental immunities or exclusions. Minn. Stat. §466.04.

Membership in Self-Insurance Pool and Waiver of Tort Cap

Minn. Stat. §471.981, subd. 1. specifically provides a [city] may, by ordinance or resolution of its governing body,

Highlight

Minn. Stat. §471.981 allows for cities to by ordinance or resolution to self-insure or join a self-insurance pool such as LMCIT to provide insurance coverage for damages resulting from its torts.

extend the coverage of its self insurance to afford protection in excess of any limitations on liability established to law. Unless expressly provided in the ordinance or resolution extending the coverage, the statutory limitation on liability shall not be deemed to have been waived.

The Minnesota Federal District Court has held even if cities do not enact an ordinance or resolution indicating that they are self-insured or members of a self-insurance pool, if the evidence establishes membership in LMCIT or other self-insurance pool, then the statutory tort caps are applicable unless expressly waived by the city.

The LMCIT policy documents specifically state that although the city may have elected to purchase coverage in excess of the statutory limits [to cover non-tort or federal claims], the city has opted to not waive the tort cap limits. Thus, unless city expressly waives tort cap liability limits, purchase of excess or additional coverage will not affect the statutory tort cap limit. Please refer to the attachment entitled “LMCIT Liability Coverage Options, Liability Limits, Coverage Limits and Waiver” for complete discussion on these issues.

Learn More

See Reimer v. City of Crookston and Crookston Public School District #593, 2003 WL 22703218 (D. Minn. 2003) for more information.

Multiple Claimants and the Municipal Tort Caps

35 W Bridge Collapse

On August 1, 2007, the I35W Bridge spanning the Mississippi River near downtown Minneapolis collapsed, resulting in the death of 13 people and injuring over 100 others.

The Minnesota Legislature deemed, “the collapse was a catastrophe of historic proportions...No other structure owned by the state has ever fallen with such devastating physical and psychological impact on so many.”

Since the state owned and maintained the I35W Bridge, it was the primary target defendant. However, the state was protected by an individual tort cap of \$300,000 per individual claimant as well as a \$1 million per occurrence cap. There was simply no way to adequately compensate the 179 claimants from that tort cap pool.

To avoid a potential constitutional challenge to the tort cap limits and to attempt to provide compensation for the victims of the I35W Bridge collapse, the Minnesota Legislature enacted special legislation to deal with this tragedy.

Learn More

See McCarty, et. al. v. City of Minneapolis, et. al., 654 N.W.2d 353 (Minn. App. 2002) for more information.

Learn More

See *Minn. Stat. 3.7391-7394* signed by Governor Pawlenty on May 8, 2008.

The essential terms of the bridge fund are as follows:

- Non-liability based fund determined claimants didn’t need to establish fault.
- State individual tort cap retroactively adjusted to \$400,000 effective August 1, 2007.

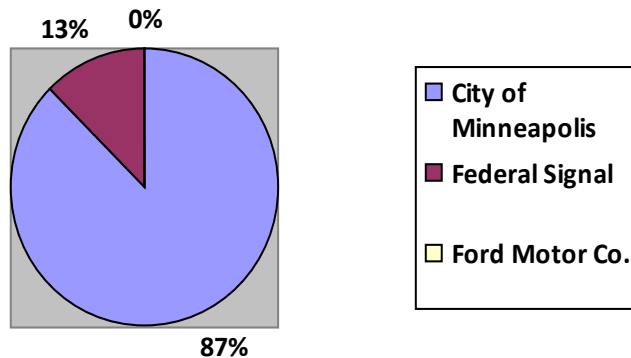
- State waived per occurrence tort cap for this specific incident.
- State appropriated \$36.5 million for fund to compensate victims. A three person panel was created to determine compensation.
- Victims who accepted the offer of compensation had to sign a release to the State of Minnesota.
- All 179 claimants accepted settlement offers.

The Holidazzle Case

On December 4, 1998, at the Holidazzle parade in downtown Minneapolis, Minneapolis Police Officer, Thomas Sawina accidentally depressed the accelerator rather than the brake pedal on a police van. The van lurched into a crowd of parade goers, causing two deaths and numerous serious injuries. One girl, age seven, was severely injured, which required the amputation of her right arm at the elbow.

The injured girl's family brought suit against the city, Ford Motor Co. (the manufacturer of the van) and Federal Signal Corp. (the manufacturer of a flasher system installed on the van which failed to properly work when Officer Sawina accidentally pressed the accelerator rather than the brake).

The Hennepin County jury apportioned liability as follows:



The jury awarded damages to the injured girl of \$3.815 million, \$30,000 to her injured brother, and \$172,455.06 to her father.

The district court limited the city's liability under the municipal tort cap statute (Minn. Stat. §466.04) to \$750,000 for all claimants in a single occurrence. Thus, the district court awarded the injured girl \$300,000 (limit for a single plaintiff) and her brother \$7,522 and her father \$14,185.

As to Federal Signal, the district court apportioned liability to it pursuant to the existing joint and several liability statute, (Minn. Stat. §604.02) to 50% of the total verdict amount under the "15 x 4" rule, Federal Signal's 12.5% liability (12.5% x 4).

Appeal by Plaintiffs

Plaintiffs appealed the district court's apportionment, but the Court of Appeals affirmed the district court's decision. In their holding, the Court of Appeals specifically held that the "liability cap on municipal liability is rationally related to the legitimate government objective of insuring fiscal stability to meet and carry out the manifold responsibilities of government." Thus, the tort cap is constitutional.

The St. Paul Gas Explosion Case (In Re: Maria Avenue Natural Gas Explosion, 1999 WL 417345) (Minn. App. 1999)

On July 22, 1993, a City of St. Paul public works crew was working at the corner of Third and Maria Avenue and struck a gas line. The city notified the gas company and began evacuating residents. Approximately 20 minutes later, an explosion occurred and three people were killed and several others were seriously injured. Additionally, several buildings were destroyed.

The Plaintiff sued the city and argued that the statutory tort caps were unconstitutional. The city moved for summary judgment, which was granted by the district court.

The Minnesota Court of Appeals affirmed the district court's grant of summary judgment to the city. The court held that the application of the "rational basis" test to the tort liability limits has a legitimate purpose of maintaining a municipality's fiscal integrity and that the legislature could have reasonably believed that the enactment of the liability caps would promote this legitimate purpose. The court also rejected Plaintiff's argument that the statutory tort limits were unconstitutional because the legislature had prospectively raised the caps during the course of the litigation. The court held that, "By simply adjusting the tort limits, the legislature has continued to examine the opposing policies of making victims of municipal torts whole while balancing the municipal fiscal integrity."

Conclusion

Notwithstanding these unique defenses (immunities) and tort damage caps available to cities, every city should attempt to actively prevent and limit potential lawsuits by utilizing loss control and risk management methods, and should vigorously investigate and be prepared to defend these cases when they arise.

Your League Resource

Questions regarding this information? Contact Brian Gaviglio, Litigation Management Attorney at (651) 281-1200 or (800) 925-1122.

Brian Gaviglio 03/10



CONNECTING & INNOVATING
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RISK MANAGEMENT INFORMATION WHEN LMCIT DENIES A LIABILITY CLAIM

When the League of Minnesota Cities Insurance Trust (LMCIT) denies a liability claim, it is usually not an issue of coverage – i.e. whether or not the city's LMCIT liability coverage covers the claim. Rather, the issue is liability; that is, is the city legally liable for the damages of each particular claim?

A scenario

A water main breaks and your city's sewer system backs up into several homes causing major damage; or someone falls and is injured on a city sidewalk; or a tree falls in a windstorm and damages a car. A citizen has a loss and is looking to the city to pay for it. Your city has liability coverage through LMCIT, so you report the claim to LMCIT – and the claim is denied. City officials quickly hear from angry citizens demanding to know why LMCIT won't pay for such losses and what the city is going to do about it.

LMCIT Background

LMCIT provides liability coverage to over 800 Minnesota cities. LMCIT is not an insurance company – it is a cooperative self-insurance organization of cities. The idea behind LMCIT is that rather than paying premiums to an insurance company, the cities pool those funds and use them to cover claims. Any funds LMCIT collects from its members that are not needed to cover losses or expenses are returned to member cities as dividends. LMCIT has returned over \$210 million in dividends to its member cities since 1987.

About liability

When a third party makes a claim against the city and the city submits that claim to LMCIT, the key issue is liability. It's important to remember the city isn't automatically liable simply because the injury occurred on city property, or because city equipment or personnel were involved.

It's very much an over-simplification, but, in general, for the city to be liable for someone else's damages, three conditions must be met:

1. The city must have been *negligent*. That is, the city must have done something it shouldn't have done, or failed to do something it should have done.
2. The damages must have been *caused* by the city's negligence.

Something to Think About

In order for the city to be liable for someone else's damages:

1. The city must have been negligent.
2. The damages must have been caused by the city's negligence.
3. It must not be one of the areas in which the city is immune from liability.

3. It must not be one of the areas in which the city is *immune* from liability.

When the city reports a liability claim to LMCIT then, the key issue for LMCIT's claims staff is whether the city is legally liable for the damages that are being claimed. Sometimes it's very clear from the facts the city is liable. In such cases, the adjuster's job is to pay the claimant a fair settlement of the damages as quickly as possible. In other cases, it may be very clear the city is not liable, in which case the adjuster will deny liability and decline to offer any settlement.

In many cases though, it may not be obvious whether the city is liable. The facts may be unclear or disputed; it may be debatable whether or not the city acted negligently; other parties' negligence (including the claimant's) may be involved; there may be questions about what really caused the damages; and so on. It's harder to generalize about these cases. Depending on the particular facts and circumstances and how likely it seems the city will ultimately be held liable, LMCIT's claims staff may or may not attempt to negotiate a compromise settlement in these kinds of cases.

Ultimately, of course, evaluating and deciding on liability is what the court system is for. If a claimant disagrees with LMCIT's denial of a claim, the claimant can bring the issue to the courts. If that happens, it's LMCIT's responsibility to pay for the cost of defense and to pay the damages the court awards against the city.

Legally, the burden is on the person making the claim to prove the defendant is liable. In other words, it's the claimant's responsibility to show the city is liable – not the city's responsibility to show the city *isn't* liable. That doesn't mean LMCIT's adjusters will simply sit back and do nothing, waiting for the claimant to assemble and present the evidence. The LMCIT adjuster's job is to investigate the claim, collect the relevant facts and information, and make a reasonable evaluation of whether the city is liable. It does mean, though, that if the investigation doesn't produce good evidence to show the city is liable, LMCIT's position will be to deny city liability. Keep in mind too that when LMCIT denies liability on a claim, it shouldn't necessarily be interpreted as saying the damage is the claimant's own fault.

Why does LMCIT stick to a legal liability standard in deciding whether or not to pay a liability claim?

No one – neither city officials, nor LMCIT staff – enjoys telling a citizen the city is not responsible for their damages because their problem was not caused by city negligence. But if we apply the standard of legal liability, sometimes that's exactly what we have to say.

Sometimes that means city officials will hear complaints from an angry citizen. The reaction is very understandable: I've been injured, and it was the city's tree (or sidewalk or sewer or whatever) and I didn't do anything wrong. From a political standpoint, it would sometimes be a lot easier to simply make a payment to the damaged party, even though legally the city isn't liable for that payment. However, there are at least three good reasons why it wouldn't be appropriate for LMCIT to do so:

- First, the funds LMCIT uses to pay claims are *public* funds that are really the joint property of LMCIT's member cities. Because we are dealing with public funds held by LMCIT in trust,

we have a duty to ensure those funds are paid out only when legally owed. To do otherwise would amount to making a gift of those public funds to a private individual.

- Second, the funds LMCIT uses to pay claims really belong jointly to all LMCIT member cities. LMCIT is simply holding the money in trust for these members. Each member city has the right to expect that LMCIT will pay those funds out only if the money is in fact legally owed.
- Finally, we have to be concerned about setting a precedent. If LMCIT were to make a payment on one such claim to one person in one city, LMCIT would have to be prepared to do so for every claimant in every member city that faces a similar situation.

What if we disagree with the LMCIT adjuster's determination?

There's often a good deal of judgment involved in evaluating liability, and it's certainly possible that city officials may disagree or have questions about the LMCIT adjuster's evaluation and conclusions. Those disagreements can be in either direction; it could be a case where you think a claim LMCIT has denied should be paid, or a case where you think a claim LMCIT plans to pay should be denied.

The first thing to do is to talk with the adjuster. If there are facts or information the adjuster isn't aware of, or if there are issues that s/he hasn't investigated which you feel should be, give the adjuster a call. It's not the adjuster's job to do everything possible to either deny or to pay a claim; the adjuster's job is to try to get it right.

In some cases, you may still have concerns or questions after talking with the adjuster. If so, please call Doug Gronli, LMCIT Claims Manager, at (651) 281-1279, or Pete Tritz at (651) 281-1265. We'll be glad to review the claim to make sure we're comfortable with the position the adjuster has taken on LMCIT's behalf, or to modify that position if it's appropriate.

If LMCIT has denied liability on a claim, and the city believes it should be paid, can the city pay the claim itself, using the city's own funds?

City officials may feel it's appropriate to pay a claim denied by LMCIT out of city funds. They may feel it is the city's responsibility to take care of its citizens, regardless of legal liability, or they may simply and understandably feel sympathy for the claimant's situation. Obviously, the city council is responsible for the city's funds and has the power to decide when and how those funds should be spent. But while it's clearly the council's call, the city also needs to think about some of the same issues that LMCIT has to consider.

One important question, of course, is whether this is an appropriate and authorized use of city funds. We'd suggest cities discuss this with the city attorney before making a payment in these kinds of circumstances.

Another important issue is the precedent the city would set by making a voluntary payment in a particular case. Once the city has made a payment in one circumstance, it would be very difficult not to do so again for the next citizen who's in a similar circumstance. Depending on the size and number of such future claims, the total cost to the city could be much greater than the amount in question on this one claim.

While it is, of course, up to the council to decide what to do, in many cases a better solution may be to focus on solving the problems that have resulted in claims against the city, and to provide citizens with the information they need to protect themselves from loss.

LMCIT is here to help

If you receive questions from citizens or the press, or if you have questions regarding your city's coverage, your city's liability, LMCIT's investigation of the claim, or any related area of concern, please call the LMCIT staff. We'll do everything we can to answer your questions, to get you the information you need, and, if necessary, to correct any mistakes or problems there may be.

Pete Tritz 12/09

Your LMC Resource

Dealing with a denied claim can be a difficult process, especially in times of community hardship. If you have any questions about the information contained in this article, or any other concerns related to LMCIT, please call Pete Tritz, Doug Gronli, or Laura Honeck at 651-281-1200 or 800-925-1122.

REQUEST FOR COUNCIL ACTION

Date: March 12, 2012
Item No.:13.a

Department Approval

City Manager Approval



Item Description: Discuss Failure to File Annual Disclosure of Financial Interest

BACKGROUND

Section 6 of the City Code of Ethics requires all Public Officials to submit an Annual Disclosure of Financial Interest by January 30 each year. Section 6 of the City Code of Ethics also requires the City Manager to report the names of commissioners who have failed to file a Disclosure of Financial Interest to the City Council. A list of commissioners who have not returned disclosures will be reported at the meeting.

POLICY OBJECTIVE

To ensure City of Roseville Public Officials are in compliance with the City Code of Ethics adopted by the City Council on June 12, 2006.

BUDGET IMPLICATIONS

None.

STAFF RECOMMENDATION

Discuss appropriate next steps for commissioners who have failed to file.

REQUESTED COUNCIL ACTION

Discuss appropriate next steps for commissioners who have failed to file.

Prepared by: William J. Malinen, City Manager
Attachments: A: City Code of Ethics

**EXTRACT OF MINUTES OF MEETING OF THE
CITY COUNCIL OF THE CITY OF ROSEVILLE**

Pursuant to due call and notice thereof, a regular meeting of the City Council of the City of Roseville, County of Ramsey, Minnesota, was held on the 12th day of June, 2006, at 6:00 p.m.

The following members were present: Mayor Klausing, and Council Members Ihlan, Kough, Maschka, and Pust.

Council Member Klausing introduced the following resolution and moved its adoption:

RESOLUTION NO. 10408

A RESOLUTION ADOPTING A CODE OF ETHICS

WHEREAS, it is the Council's desire to create and maintain ethical standards that guide Public Officials in the transaction of public business; and

WHEREAS, the Council has determined the most effective way to do so is to adopt and enforce a Code of Ethics that guides the conduct of Public Officials:

NOW THEREFORE BE IT RESOLVED, by the Roseville City Council, that the following Code of Ethics is hereby adopted:

**CODE OF ETHICS FOR PUBLIC OFFICIALS IN THE CITY OF
ROSEVILLE**

Purpose

Officials in the public service must maintain the highest possible standards of ethical conduct in their transactions of public business. Such standards must be clearly defined and known to the public as well as to the Public Officials. Violations of the ethical standards in this ordinance are punishable by the City Council and are not to be deemed criminal misdemeanors of any other type of crime except as those behaviors or activities may separately be determined to be criminal under state or federal law.

Section 1. Declaration of Policy

The proper operation of democratic government requires that Public Officials be independent, impartial and responsible to the people; that government decisions and policy be made in the proper channels of the government structure; that public office not

be used for personal gain; and that the public have confidence in the integrity of its government.

In recognition of these goals, there is hereby established a Code of Ethics for all Public Officials of the City of Roseville. The purpose of this Code is to establish ethical standards of conduct for all such officials by setting forth those acts or actions that are incompatible with the best interests of the City, and by directing disclosure by such officials of private financial or other interests in matters affecting the City. The provisions and purpose of this Code and such rules and regulations as may be established are in the best interests of the City of Roseville.

Recognizing that education on ethics in government is the key to having good government, this code requires that yearly seminars be held to discuss the meaning of this code with new Public Officials, and in addition such seminars shall involve trained experts on government ethics that are outside of the Roseville government itself. The City Manager shall be the coordinator for these seminars. These seminars will keep the subject of ethics in government fresh in everyone's mind.

To increase the awareness and understanding of the importance of ethical considerations and behavior among the public as well as government employees, communication of the role of the ethics commission and this Code must occur at least annually in local newspapers and the Roseville website as determined by the City Manager. Additionally, this Code of Ethics shall be reviewed annually to determine if modifications are appropriate.

Section 2. Definitions of Terms

Public Official

Any person that has been elected to office, appointed to a City board or commission, or hired by the City to serve as a department head or assistant department head.

Public Officials include the following:

- a. Members of the City Council and Mayor;
- b. The department head and assistant department head of each City department;
- c. Any person that has been appointed by the Roseville City Council. This would include City commission, board, and task force members; and
- d. The City Manager.

Anything of Value

Money, real or personal property, a permit or license, a favor, a service, forgiveness of a loan or promise of future employment. The term "Anything of Value" shall not be deemed to include:

- (1) Services to assist an official in the performance of official duties, including but not limited to providing advice, consultation, information, and communication in connection with legislation, and services to constituents;
- (2) Services of insignificant monetary value;
- (3) A plaque or similar memento recognizing individual services in a field of specialty or to a charitable cause;
- (4) A trinket or memento costing \$5 or less;
- (5) Informational material of unexceptional value;
- (6) Food or a beverage given at a reception, meal, or meeting away from the recipient's place of work by an organization before whom the recipient appears to make a speech or answer questions as part of a program; or
- (7) A contribution as defined in Minn. Stat. § 211A.01, subd. 5.

Compensation

A payment of Anything of Value to an individual in return for that individual's services of any kind.

Association

A business entity of any kind, a labor union, a club or any other group of two or more persons other than the immediate family.

Immediate Family

A reporting individual, spouse, minor children, minor stepchildren or other person residing in the same household.

Gift

The payment or receipt of Anything of Value unless consideration of greater or equal value is provided in return.

City Manager

The person that heads up the administration of the operating government of Roseville.

Section 3. Ethical Considerations

Public Officials are to serve all persons fairly and equitably without regard to their personal or financial benefit. The credibility of Roseville government hinges on the proper discharge of duties in the public interest. Public Officials must assure that the independence of their judgment and actions, without any consideration for personal gain, is preserved.

Specific ethical violations are enumerated below for the guidance of Public Officials, but these do not necessarily encompass all the possible ethical considerations that might arise.

- A. Other Offices or Employment. An elected Public Official shall not hold another incompatible office, as that term has been interpreted from time to time by statute, the courts, and by the Attorney General. Employed Public Officials shall not hold such incompatible office nor shall they engage in any regular outside employment without notice to and approval by the City Council, in the case of the City Manager, and the City Manager in the case of other employed Public Officials.

Elected and appointed Public Officials shall not hold other office or employment which compromises the performance of their elected or appointed duties without disclosure of said office or employment and self disqualification from any particular action which might be compromised by such office or employment.

- B. Use of Confidential Information. No Public Official shall use information gained as a Public Official which is not generally made available to and/or is not known to the public, to directly or indirectly gain anything of value.
- C. Solicitation of or Receipt of Anything of Value. A Public Official shall not solicit or receive anything of value from any person or association, directly or indirectly, in consideration of some action to be taken or not to be taken in the performance of the Public Official's duties.
- D. Holding Investments. No Public Official shall hold any investment which might compromise the performance of the Public Official's duties without disclosure of said investment and self disqualification from any particular action which might be compromised by such investment, except as permitted by statute, such as Minnesota Statute 471.88.
- E. Representation of Others. A Public Official shall not represent persons or associations in dealings with the City where the persons or associations have paid or promised to pay compensation to the Public Official.

- F. Financial Interest. Where a Public Official or a member of the Public Official's immediate family has a financial interest in any matter being considered by the Public Official, such interest, if known to the Public Official, shall be disclosed by the Public Official. If the Public Official has such a financial interest or if the minor child of a Public Official has such a financial interest, the Public Official shall be disqualified from further participation in the matter.
- G. City Property. No Public Official shall use City-owned property such as vehicles, equipment, or supplies for personal convenience or profit except when such property is available to the public generally, or where such property is provided by specific City policy in the conduct of official City business.
- H. Special consideration. No Public Official shall grant any special consideration, treatment, or advantage to any citizen beyond that which is available to every other citizen.
- I. Giving Anything of Value. No elected Public Official shall give anything of value to potential voters in return for their votes, promises, or financial considerations which would be prohibited by the State Minnesota Fair Campaign Practices statute.
- J. Public Funds, etc. No Public Official shall use public funds, personnel, facilities, or equipment for private gain or political campaign activities, except as may be authorized by law.
- K. Expenses. Public Officials shall provide complete documentation to support requests for expense reimbursement. Expense reimbursement shall be made in accordance with City policy.
- L. Donations. No Public Official shall take an official action which will benefit any person or entity because of a donation of Anything of Value to the City by such person or entity.
- M. Official Action. No Public Official shall take an official action which will benefit any person or entity where such Public Official would not have otherwise have taken such action but for the Public Official's family relationship, friendship, or business relationship with such person or entity.
- N. Compliance with Laws. Public Officials shall comply with all local ordinances and State and Federal Statutes including, but not limited to, the Criminal Code, Fair

Campaign Practices Act, and laws governing the functioning of municipalities, their elected and appointed officials, and employees.

- O. Cooperation with Ethics Committee Investigations. Public Officials shall cooperate with ethics investigations and shall respond in good faith to reasonable requests for information.
- P. Resolution of Ethics Complaints. The Ethics Commission, City Attorney, or City Manager, as the case may be, shall promptly attend to all ethics complaints in the manner provided in this Code. It is expected that most complaints will be investigated as necessary and presented to the City Council for consideration within 45 days of submission of the complaint.

Section 4. Special Considerations

Situations can arise where a member of a commission, a board, or the City Council abstains from voting because of a conflict of interest, but his or her abstention becomes a vote either for or against the matter because a majority are required to pass or reject that matter. This can happen where four-fifths vote is needed to pass an issue, or the vote has to be a clear majority and a split vote does not pass or reject.

When this happens, the City Attorney must be consulted and the final vote should carry a public notice explaining what took place, and how it was resolved.

Section 5. Handling Alleged Violations of Code of Ethics

- A. Complaints alleging ethical violations by Public Officials must be submitted in written form to the City Attorney. Complaints alleging ethical violations by City employee Public Officials shall be submitted in written form to the City Manager.
- B. The City Attorney shall investigate all ethics complaints pertaining to non-employee Public Officials unless the City Attorney has a conflict, in which case outside counsel will be assigned the complaint. The City Manager will investigate complaints pertaining to employee Public Officials.
- C. If the City Attorney or City Manager determines that the subject of the complaint may have committed a crime, the City Attorney and City Manager shall refer the matter to the appropriate criminal authority.
- D. If the criminal proceeding ends with a sentencing, said sentencing shall be considered to be the final disposition of the complaint.
- E. If there has been no violation of a criminal law, the City Attorney or City Manager, as the case may be, shall issue a report that documents the results of the City Attorney's or City Manager's investigation(s).

1. The report shall be sent directly to the City Council if the complaint involves an Ethics Commission member. The Council shall have the authority to dismiss any Ethics Commission member found to have violated the Ethics Code.
 2. The report shall be sent to the Ethics Commission if the complaint involves other Public Officials. The Ethics Commission shall have the authority to convene and issue it's own report and recommendation to the City Council. Thereafter, the City Council shall take action as the Council deems appropriate.
- F. The standard for decisions regarding allegations of ethical violations covered by Section 3 of this code shall be "clear and convincing evidence." The term "clear and convincing evidence" shall mean that burden of proof as defined by Minnesota State law.
- G. In processing complaints, the City Attorney, City Manager, Ethics Commission and City Council shall process and maintain data in a manner consistent with Minn. Stat. Ch. 13, the Minnesota Data Practices Act.

Section 6. Disclosure of Financial Interests

Not later than ninety (90) days after the date of approval of this Code, each Public Official of the City shall file as a public record, in the office of the City Manager, a statement containing the following:

1. A list naming all business enterprises known by the Public Official to be licensed by or to be doing business with the City in which the Public Official or any member of the Public Official's immediate family is connected as an employee, officer, owner, investor, creditor of, director, trustee, partner, advisor, or consultant; and
2. A list of the Public Officials and members of the Public Officials' immediate family's interests in real property located in the City or which may be competing with the interests of the City located elsewhere, other than property occupied as a personal residence.

Each person who enters upon duty after the date of this code in an office or position as to which a statement is required by this Code shall file such a statement on forms to be provided by the City not less than thirty (30) days after the date of his/her entrance on duty.

Each person who made an initial filing shall file a new Statement by January 30 of each year thereafter giving the information called for above as of the time of the new statement. If a change in financial interest or property ownership occurs between filings, a new filing shall be made within thirty (30) days of the change.

The interest of any member of the immediate family shall be considered to be an interest of a person required to file a statement by or pursuant to this Code.

This Code shall not be construed to require the filing of any information relating to any person's connection with or interest in any professional society or any charitable, religious, social, fraternal, educational, recreational, public service, civil, or political organization, or any similar organization not conducted as a business enterprise and which is not engaged in the ownership or conduct of a business enterprise.

However, if any of such organizations seeking any action or benefit come before a Roseville commission or the Council, then membership in the organization shall be a potential conflict of interest and must be reported as such to the City Manager by the Public Official in an amended disclosure statement. The other stipulations of this Code then apply.

The City Manager shall inform each person who is required to file of the time and place for filing. The City Manager shall inform the Council whenever a person who is required to file a statement fails to do so.

The motion for the adoption of the foregoing resolution was duly seconded by Council Member Pust and upon vote being taken thereon, the following voted in favor:
Klausing, Maschka, and Pust.

and the following voted against: Ihlan and Kough

WHEREUPON said resolution was declared duly passed and adopted.

STATE OF MINNESOTA)
) ss
COUNTY OF RAMSEY)

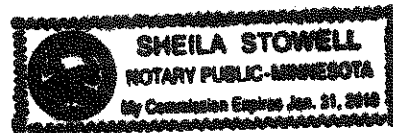
I, the undersigned, being the duly qualified City Manager of the City of Roseville, County of Ramsey, State of Minnesota, do hereby certify that I have carefully compared the attached and foregoing extract of minutes of a regular meeting of said City Council held on the 12th day of June, 2006, with the original thereof on file in my office.

WITNESS MY HAND officially as such Manager this 12th day of June, 2006.

Neal J. Beets
Neal J. Beets, City Manager

State of Minnesota - County of Ramsey
Signed or Attested before me on this

13th day of June, 2006



by: Neal J. Beets

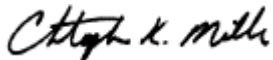
Sheila Stowell
Notary Public

RRM: #91474/sern

REQUEST FOR COUNCIL ACTION

Date: 03/12/12
Item No.: 13.b

Department Approval



City Manager Approval



Item Description: Consider Establishing a Comprehensive Performance Management Program

BACKGROUND

Over the past several years, the City Council has undertaken a number of new initiatives in an effort to improve the effectiveness and sustainability of day-to-day operations and ensure the City's long-term goals are met. These initiatives included a 20-year visioning process, strategic planning, citizen survey, performance measurement, and a number of long-term financial and non-financial planning exercises.

These initiatives are consistent with governmental best practices and have widely been categorized by other cities into a broader Performance Management Program. The Council is asked to consider establishing a formal and comprehensive Performance Management Program like other cities have. By formally establishing this Program, the Council will commit to an on-going process and operational cycle that ensures that the allocation of resources is aligned with desired outcomes.

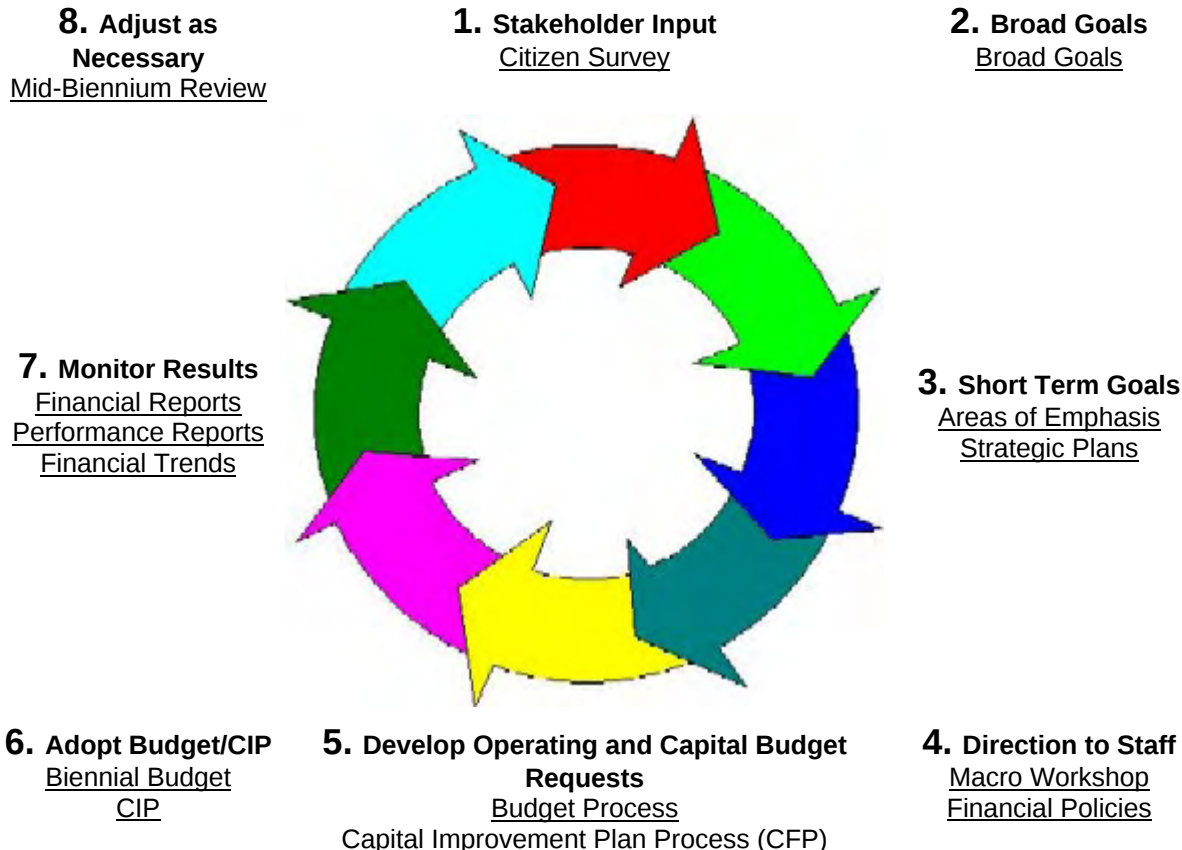
Recently, a joint effort of 11 leading state and local public interest associations led to the formation of the National Performance Management Advisory Commission. The Commission includes industry-leading organizations including the International City/County Management Association (ICMA), Government Finance Officers Association (GFOA), National League of Cities, and others.

In 2010, the Commission developed a framework that identifies a number of performance management principles and describes how incorporating these principles into governmental processes and decision making can lead to systematic improvements, enhanced accountability, and better results. A copy of the Commission's Report is included in *Attachment A*.

The Report (excluding appendices) is just under 50 pages long, and is somewhat technical. The Council is invited to read the full report, but a quasi-executive summary can be found beginning with the Foreword and continuing to the page 10. There are also a number of graphical depictions that give a brief snapshot of some of the main concepts behind Performance Management. They are included on pages 13 and 21.

Again, it should be noted that the City should not necessarily design its Performance Management Program based solely on information contained in this Report. The Report simply serves as an outline of why the City might consider having a Program and how it might be structured.

For additional context, a depiction of a Performance Management Program that has been included in prior Council discussions is shown below.



The Performance Management Program cycles depicted above and on Page 21 of Attachment A, can serve as examples of how the City's Program might be structured. However, not all portions of the cycle are necessarily done each year. There may be some practical limitations or other requirements that need to be factored in.

For discussion purposes, the Council is asked to consider the following components of a Performance Management Program, including a suggested frequency for each.

- ❖ Solicit Citizen Input
 - a) Community Survey (biennial)
 - b) Community Visioning Process (every 10+ years)
- ❖ Conduct Strategic Planning Sessions
 - a) Goals and Objectives to achieve Community Vision (every 2+ years)
 - b) Capital Asset Replacement Needs (every 2+ years)
- ❖ Establish Budget Priorities (biennial)
- ❖ Adopt 2-year Budget and Capital Improvement Plan (biennial)
- ❖ Monitor Results
 - a) Financial Reporting (annual or semi-annual)
 - b) Performance measurement (annual)
- ❖ Make Adjustments

59 Using this general outline, a tentative Performance Management Program calendar for the next couple of
60 years could be as follows:

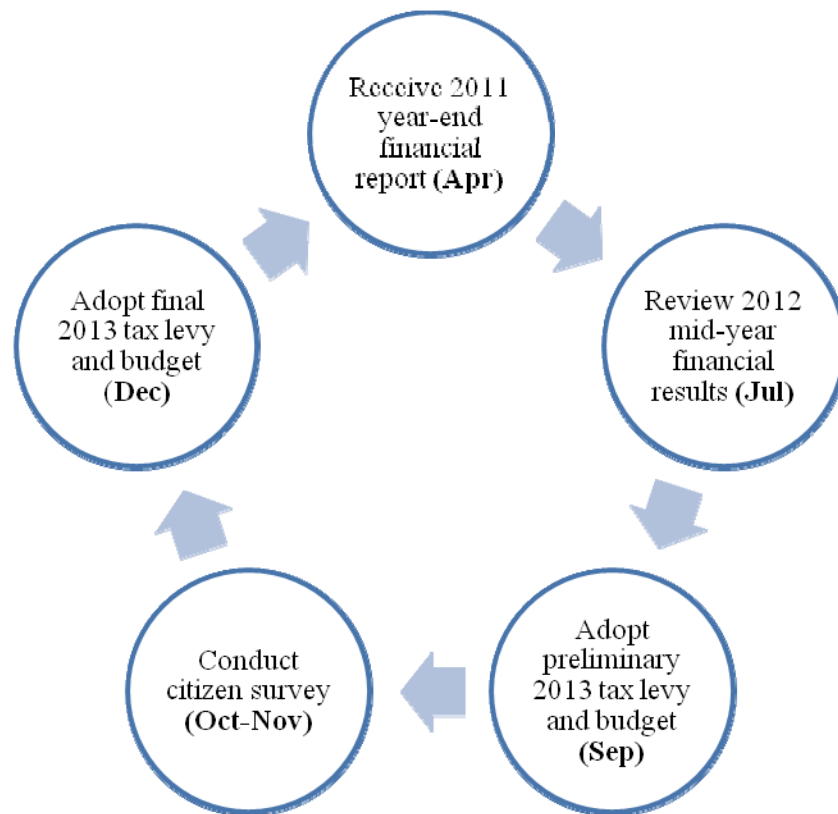
61		
62	<u>Date</u>	<u>Performance Management Program Step</u>
63	Apr, 2012	Receive 2011 year-end financial report
64	Jul, 2012	Review 2012 mid-year financial results
65	Sep, 2012	Adopt Preliminary 2013 Tax Levy and Budget (revise if necessary)
66	Oct-Nov, 2012	Conduct citizen survey
67	Dec, 2012	Adopt Final 2013 Tax Levy and Budget (revise if necessary)
68		
69	Jan, 2013	Receive citizen survey results
70	Feb-Mar, 2013	Conduct strategic planning sessions
71	Mar, 2013	Receive 2012 performance measurement results
72	Mar-Apr, 2013	Evaluate capital asset replacement needs
73	Apr, 2013	Establish budget priorities and policies
74	Apr, 2013	Receive 2012 year-end financial report
75	May-Aug, 2013	Develop the 2014-2015 Budget and CIP
76	Jul, 2013	Review 2013 mid-year financial results
77	Sep, 2013	Adopt Preliminary 2014-2015 Budget and CIP
78	Dec, 2013	Adopt Final 2014-2015 Budget and CIP
79		
80	Mar, 2014	Receive 2013 performance measurement results
81	Apr, 2014	Receive 2013 year-end financial report
82	Jul, 2014	Review 2014 mid-year financial results
83	Sep, 2014	Adopt Preliminary 2015 Tax Levy and Budget (revise if necessary)
84	Oct-Nov, 2014	Conduct citizen survey
85	Dec, 2014	Adopt Final 2015 Tax Levy and Budget (revise if necessary)
86		

87 Under this proposed Performance Management Program calendar, even numbered years would focus
88 primarily on program and performance evaluation, and citizen input. Odd numbered years would focus
89 primarily on long-term planning and budgeting.

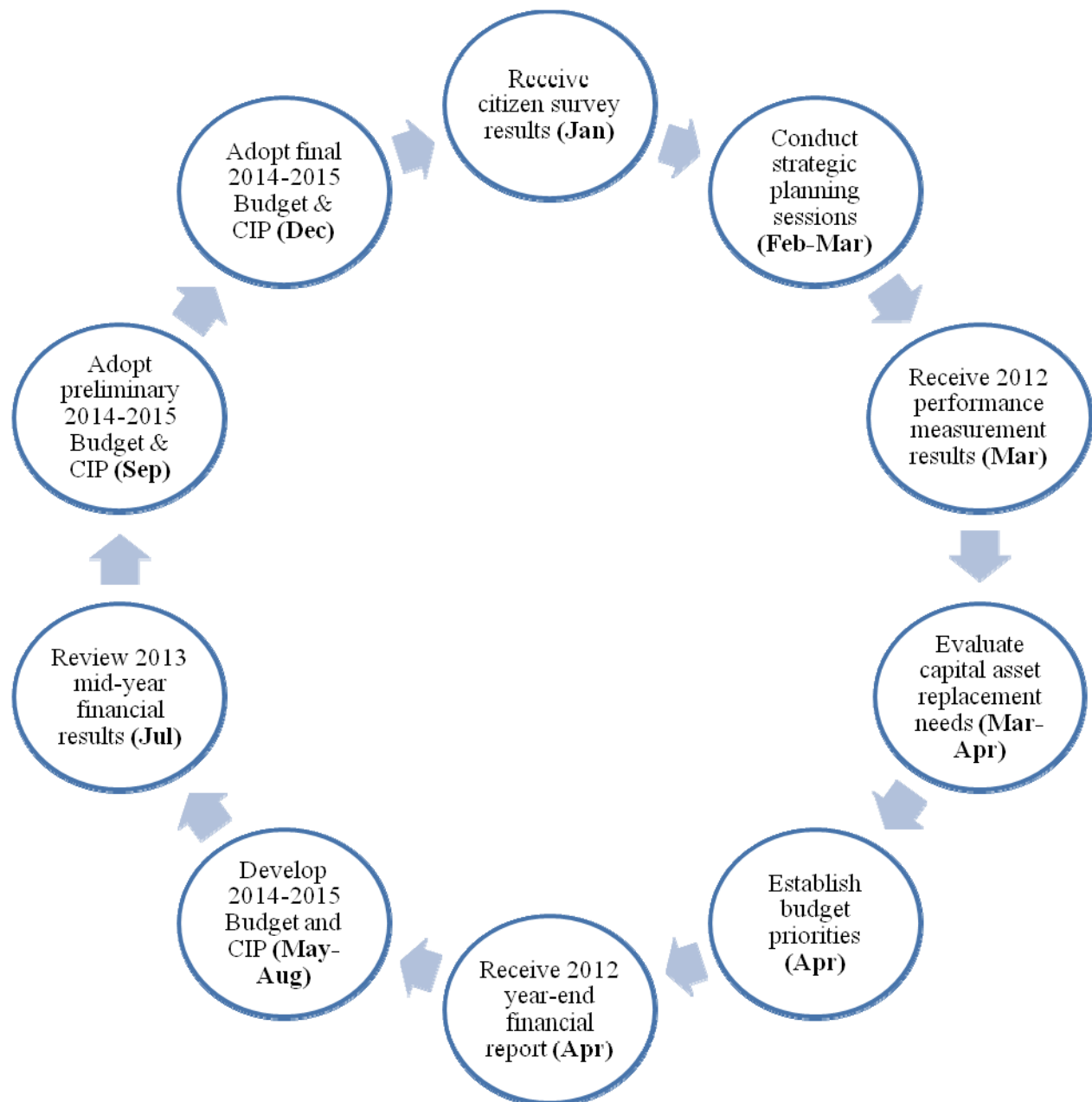
90
91 This calendar is depicted graphically below.

92
93

2012 Performance Management Program Calendar



2013 Performance Management Program Calendar



102 **POLICY OBJECTIVE**
103 Establishing a Performance Management Program demonstrates a commitment to effective decision-
104 making and ensuring that the allocation of resources is aligned with desired outcomes.

105 **FINANCIAL IMPACTS**
106 Not applicable.

107 **STAFF RECOMMENDATION**
108 Staff recommends that the Council consider establishing a Performance Management Program.

109 **REQUESTED COUNCIL ACTION**
110 For discussion purposes only. No formal action is required.

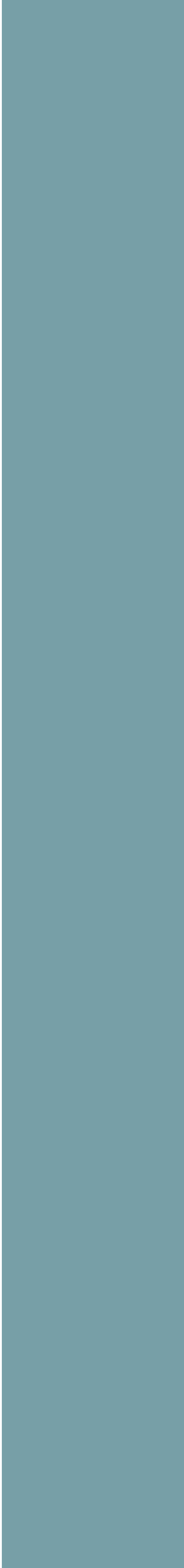
111
Prepared by: Chris Miller, Finance Director
Attachments: A: Performance Management Program Framework

A Performance Management Framework for State and Local Government:

From Measurement and Reporting to
Management and Improving

National Performance Management Advisory Commission





A Performance Management Framework for State and Local Government:

From Measurement and Reporting to
Management and Improving

National Performance Management Advisory Commission

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Members of the National Performance Management Advisory Commission

Sponsoring Organizations

Association of School Business Officials International (ASBO)
National Association of State Budget Officers (NASBO)
The Council of State Governments (CSG)
Government Finance Officers Association (GFOA)
International City/County Management Association (ICMA)
National Association of Counties (NACo)
National Association of State Auditors, Comptrollers, and Treasurers (NASACT)
National Center for State Courts (NCSC)
National Conference of State Legislatures (NCSL)
National League of Cities (NLC)
United States Conference of Mayors (USCM)

Commission Members

M. Jacqueline Nytes, Chair (NLC), Councillor, City of Indianapolis and Marion County, Indiana
Richard Devlin, Vice Chair (NCSL), Senate Majority Leader, State of Oregon

David Ammons, Professor, University of North Carolina at Chapel Hill
Daniel Becker (NCSC), State Court Administrator, State of Utah
Rod Bockenfeld (NACo), Commissioner, Arapahoe County, Colorado
Michael F. Brown (ICMA), Chief Executive Officer, County of Santa Barbara, California
Barbara Cohn Berman, Director, Center on Government Performance at the Fund for the City of New York and National Center for Civic Innovation
Sharon Daboin (NASBO), Deputy Secretary for Performance Improvement, Governor's Budget Office, State of Pennsylvania
Peter Franchot (NASACT), Comptroller, State of Maryland Comptroller's Office
Larry Jones (USCM), Assistant Executive Director, United States Conference of Mayors
John Kenney (NASACT), State of Maryland, Comptroller's Office
Lee V. Legutko (ASBO), Chief Business Officer for multiple school districts in Florida (retired)
Kenneth L. Rust (GFOA), Chief Administrative Officer, City of Portland, Oregon
William C. Vickrey (CSG), Administrative Director of the Courts, State of California

Sponsoring Organization Representatives

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A Performance Management Framework for State and Local Government:

From Measurement and Reporting to Management and Improving

At no time in modern history have state, local, and provincial governments been under greater pressure to provide results that matter to the public, often within severe resource constraints. At the same time, government officials and managers are challenged to overcome the public's lack of trust in government at all levels.

We have developed this Performance Management Framework for State and Local Government to help public-sector organizations address these challenges.

The primary motive driving the commission and public-sector performance management in general is the conviction that governments must improve their focus on producing results that benefit the public, and also give the public confidence that government has produced those results. The emphasis on process and compliance that has typified traditional public-sector management has not been sufficient to make this happen. Therefore, governments must change their approach. Public-sector management must become synonymous with performance management.

Now is the time for governmental leaders to ensure that the organizations they lead are taking responsibility for achieving results that matter to the public – by practicing performance management.

Accomplishing this will require more than a conceptual framework. It will require public-sector leaders at all levels, both elected and appointed, not only to set high expectations for performance but also to make a commitment to improving performance. Leaders must instill a sense of urgency about improving performance in their governments, build performance-based organizational cultures and management structures, continuously commu-

nicate the necessity of listening to the public, and provide resources to assure that a performance-based culture and related practices are initiated and sustained. We believe that seeking out, understanding, and applying performance management principles and practices is not only a critical responsibility of public officials and managers, but that it is an ethical obligation.

To practice performance management, officials and managers must have accurate, timely, and relevant information for decision making, along with the skills and knowledge to analyze results and design improvements when needed. These are the learning and improving aspects of performance management.

Democratic governments are also obligated to be accountable to their owners – the citizenry. Performance management principles and practices give governments the ability to provide easily understood and timely information to the public so citizens can assess the results their government is producing and fulfill their role as collective owners of their governments.

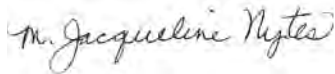
The feedback we have received during the process of creating this framework has reinforced our view that governments want better information and practices that will help them improve results. This means providing better ways to:

- understand public needs;
- identify and implement programs and services that will meet those needs;
- assure that policies, strategies, and services are in alignment;
- collect and analyze performance information;
- apply information to continuously improve results and become more efficient;
- use data more effectively to inform policy decisions;
- support accountability, both within the organization and to the public;
- provide understandable information on performance to the public; and
- encourage citizens to provide feedback and get involved in the government's decision-making processes.

We know that the creation of the framework is only the first step. We will continue, as members of the commission, to advocate that governments implement performance management initiatives and that the public-sector associations we represent provide tools, techniques, and training for their members to support the adoption and continuous enhancement of public-sector performance management.

We urge public-sector officials, managers, and all others who have a stake in improving the performance of governments to review this framework and make the commitment to apply the principles and practices contained in it for the benefit of their jurisdictions.

The members of the National Performance Management Advisory Commission:



M. Jacqueline Nytes, Chair (NLC), Councillor
City of Indianapolis and
Marion County, Indiana



Richard Devlin, Vice Chair (NCSL), Senate Majority Leader
State of Oregon



David Ammons, Professor
University of North Carolina at Chapel Hill



Daniel Becker (NCSC), State Court Administrator
State of Utah



Rod Bockenfeld (NACo), Commissioner
Arapahoe County, Colorado



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County of Santa Barbara, California



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Center on Government Performance at the Fund
for the City of New York and
National Center for Civic Innovation



Sharon Daboin (NASBO),
Deputy Secretary for Performance Improvement
Governor's Budget Office
State of Pennsylvania



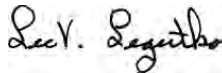
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United States Conference of Mayors



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William C. Vickrey (CSG), Administrative Director of the Courts
State of California

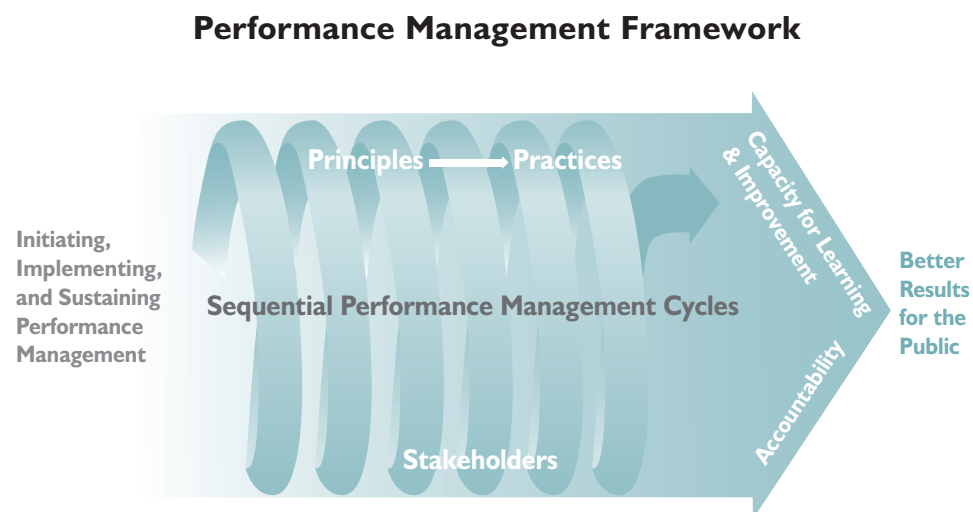
Introduction to the Framework

The National Performance Management Advisory Commission developed the performance management framework to help governments move beyond measuring and reporting those measures to managing performance toward improved results.

The framework is conceptual; even though this report provides useful information for governments for learning about and implementing performance management initiatives, the framework was not intended to be a how-to guide. For governments that currently have performance measures, the framework offers information on how they can use them to get better results. For governments that have not yet developed performance measures, the framework provides a starting point for creating a performance management system. The framework is intentionally flexible and high-level so it can be used by all state, provincial, and local entities – agencies, cities, counties, school districts, the judiciary, and special districts.

In developing the framework, the commission identified many audiences that are served by performance management, both internal to the government (e.g., elected officials, executives, managers, departmental supervisors, and staff) and external (e.g., the public, neighborhood and special interest groups, businesses, non-profit organizations, the media, and other governments). The commission believes that the framework will be useful for all these audiences. *However, the commission created the framework expressly for public managers and public officials, who must provide leadership for initiating and sustaining performance management because they have primary responsibility for achieving results.*

The framework illustrated below shows the dynamic nature of performance management. Ideally, when performance management principles are incorporated into traditional governmental processes – planning, budgeting, operational management, and evaluation, for



example – these processes are transformed into a single, well-aligned structure for producing value for the public in the form of better services, effective programs, focused policies, and, ultimately, improved community condition. Performance improves through successive management cycles as the organization’s capacity for learning and improving increases.

The desired result of performance management is shown in the previous illustration as “better results for the public.” This raises the question of who decides what these results will be. In this framework, the government uses public needs and expectations to identify desired results. More information on how governments identify these needs and expectations is provided in the Performance Management Practices section.

Simply superimposing a performance management process onto a traditionally managed organization may sound good, but in practice, it is not likely to make any difference. To make real improvements, organizational culture must also be addressed.

In addition, it is important to keep in mind that the framework is a means to an end, not an end in itself. Simply superimposing a performance management process onto a traditionally managed organization may sound good, but in practice, it is not likely to make any difference. To make real improvements, organizational culture must also be addressed.

Finally, while benefits do accrue from the beginning, those benefits increase over the years, as performance management principles and practices become embedded in the organization’s culture. Consequently, organizations that sustain performance management reap the greatest benefit.

Examples of governmental performance management practices from many types and sizes of governments are provided throughout this report. As these examples will show, there are many approaches to performance management. Because each government has its own unique characteristics and history, approaches that work well for one may not be appropriate for another. However, all good performance management systems incorporate the principles described in the framework.

What Is Performance Management?

Performance management in the public sector is an ongoing, systematic approach to improving results through evidence-based decision making, continuous organizational learning, and a focus on accountability for performance. Performance management is integrated into all aspects of an organization's management and policy-making processes, transforming an organization's practices so it is focused on achieving improved results for the public.

Performance management comprises the concerted actions an organization takes to apply objective information to management and policy making in order to improve results.¹ Performance management uses evidence from measurement to support governmental planning, funding, and operations. Better information enables elected officials and managers to recognize success, identify problem areas, and respond with appropriate actions – to learn from experience and apply that knowledge to better serve the public.

Performance measurement and performance management are often used interchangeably; however, they are distinctly different. For decades, some governmental entities have measured outputs and inputs, and, less commonly, efficiency and effectiveness. Performance measurement helps governments monitor performance. Many governments have tracked and reported key statistics at regular intervals and communicated them to stakeholders. Although measurement is a critical component of performance management, measuring and reporting alone have rarely led to organizational learning and improved outcomes. Performance management, on the other hand, encompasses an array of practices designed to improve performance. Performance management systematically uses measurement and data analysis as well as other tools to facilitate learning and improvement and strengthen a focus on results.

¹ David N. Ammons, ed., *Leading Performance Management in Local Government* (Washington, DC: ICMA Press, 2008), v, ix.

Why Performance Management?

Performance Management and the Evolution of Public Management

Performance management can be viewed in historical context as the most recent stage in the evolution of public-sector management. Early governments in the United States were plagued by spoils and corruption. Then, as a reform, a bureaucratic, merit-based system was instituted, focusing on processes to eliminate financial improprieties and nepotism and promote fair access to government contracts.² Performance management, while continuing to assure appropriate controls through effective processes, has expanded the meaning of accountability and protecting the public interest to encompass achieving results that benefit the public. While bureaucratic processes focus on preventing bad things from happening, performance management adds a focus on assuring that government actually produces positive results. Performance management is becoming the new standard for public-sector management. Underlying this transition is the recognition that:

- Rationality is the underlying force of performance management. Public managers at all levels are able to make better decisions when the process is informed by relevant data.
- A process approach to accountability is not sufficient. Officials, managers, and employees at all levels must be accountable not just for following processes but for producing results the public needs.
- Performance management is not only a professional expectation for public officials and employees but also an ethical expectation.
- While politics will always be an important force in the governmental environment, there must also be a place for accurate, timely, and unbiased information for high-level decision making as well as for day-to-day management.

Addressing Challenges

Performance management has the potential to help governments address the performance challenges they face. Some of the most important are listed below.

The need to focus the organization on results that are important for stakeholders. Performance management begins with setting objectives and targets that are relevant to stakeholders' needs and expectations. It focuses the organization's resources and efforts toward achieving results that will provide the greatest benefit to the jurisdiction and its stakeholders. Managers and staff also need to gain expertise in understanding and incorporating the public's needs into decisions by engaging with citizens about what they want and need.

² For further discussion of this evolution, refer to "Challenges to Implementing Performance Management," a Performance Management Advisory Management Commission issue paper by Michael F. Brown, Chief Executive Officer, Santa Barbara County. The paper is available at <http://pmcommission.org>.

The need to improve results within resource constraints. Governments are constantly challenged to provide high-quality services and improved outcomes within limited resources. Performance management addresses this challenge by promoting the use of evidence about effective and efficient approaches and by fostering a culture of continuous improvement in pursuit of the best results for the least amount of money.

The need to engage all public employees, not just top officials and managers, in finding ways to better serve the public in an era of complexity and rapid changes in the environment. “Business as usual” is an inadequate guide for governing in the current environment. Narrow expertise or basic skills in planning and budgeting will not insulate the manager from the need to know how to do more with less. Managers and employees must gain expertise in analysis and process improvement, performance measurement, and the application of technology to solve business problems.

The need to gain and keep the public’s trust and confidence. Performance management improves accountability and supports confidence in government not only by enhancing governments’ ability to communicate performance information but also by giving governments the right tools for improving results.

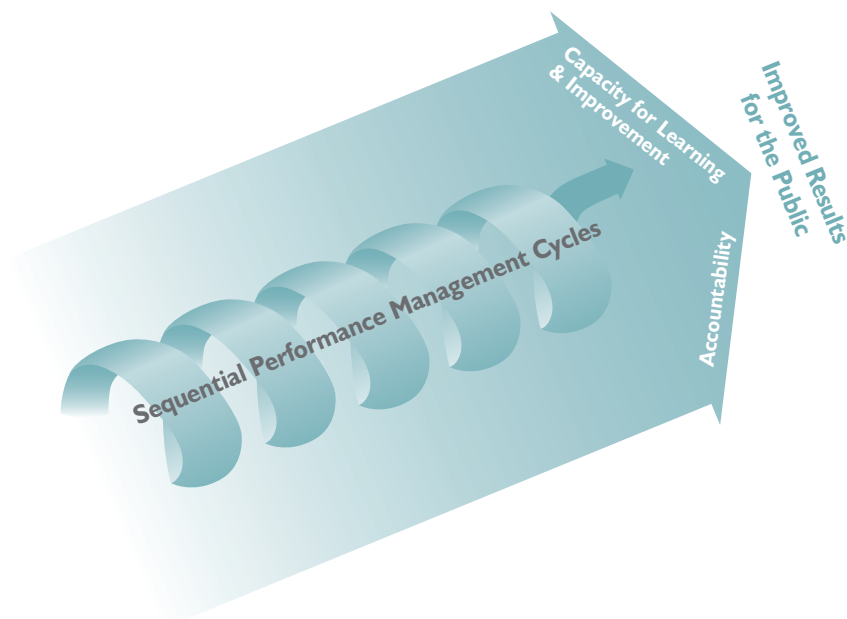
Moving from Measuring and Reporting to Managing and Improving Results

Early practitioners of performance measurement who relied on rudimentary measures of inputs and outputs were often frustrated that their investments did not yield the benefits they expected. Moving from measuring to approaches that use measurement as a component of improving performance can help close that gap. What benefit can governments and the public expect? The fundamental benefit is that performance management enables governments to produce better results for the public. Through continuous cycles of evidence-based planning, resource allocation, program or policy execution, and evaluation, organizations are able to use performance information to identify what works and what does not.

The fundamental benefit of performance management is that it enables governments to produce better results for the public.

Staff that has been well trained in performance management principles and practices is equipped to learn from the evidence provided by past experience and from the experience of other organizations to modify old strategies or fashion new strategies for improved results. Public officials and managers sometimes hesitate to make the move to performance management because they fear that new costs will accompany the change. This fails to recognize the heavy costs often borne by governments that provide suboptimum services and make poor decisions without the benefit of data and analysis. The costs inherent in performance management are simply the costs of good management.

Benefits of Performance Management



The highest goal and expectation of performance management is improved results for the public. Governmental organizations have used performance management practices to achieve cost savings and improve both performance against targets and customer satisfaction. While much more research is needed to document this connection, practitioners who have applied performance management principles and practices see it happening.

Organizational Commitment to Improving Performance

Some government officials have hoped that simply developing and reporting performance measures would produce better results and have refrained from pursuing performance management. Often, these governments have experienced only modest success from their limited focus on measurement and reporting, and their minimal investment in management infrastructure, training and data collection, storage, and analytic tools that would allow performance measures to be applied to learning and improvement. The Metropolitan Government of Nashville and Davidson County example on the following page illustrates how a transition to performance management from measurement can work.

Performance management is not a mechanical process that can be set in motion and left to run on auto-pilot. Benefits are not realized without engaged leadership and a strong organizational commitment to changing inadequate decision-making processes, structures, and a culture of complacency. Practitioners of performance management have learned that achieving better results through the principles and practices of performance management requires a sound technical approach, strong leadership, ever-improving expertise, and a culture that constantly reinforces a focus on results.

Case Study

The Metropolitan Government of Nashville and Davidson County

The Metropolitan Government of Nashville and Davidson County (Nashville) found that its initial investments in performance measurement did not yield the results it expected. Reported measures were not linked to business or strategic objectives, and they were not making a significant impact on organizational culture. A study by the Nashville Office of Management and Budget found that more than half of the government's departments did not use performance measurement information from the system for monitoring and management purposes, and nearly half collected data only so it could be published in the annual budget book. Through its Results Matter initiative, Nashville transformed its performance measurement process into one that is linked to budgeting and strategic planning. The program's goal is to successfully bring about a cultural shift in the organization and to implement a systematic focus on achieving results. Results Matter has helped change the nature of budget discussions in the City Council, putting more focus on desired and actual results. While it had not been uncommon for debate to center on line-item expenses, now council members more often discuss the outcomes that are being pursued and their relative importance. Results Matter also included a citywide effort to manage operations based on performance information. With increased reliance on performance data for decision making, the city has been able to reduce backlogs in functional areas and streamline processes.

Performance Management Principles

The framework described in this report is established on a foundation of seven principles, which are described below. These principles help transform and unite governmental processes such as planning, budgeting, management, and evaluation into a single, well-aligned system for improving results. Applying these principles to management and policy making creates public value in the form of better policies, services, and programs, and, ultimately, improved community condition.

7 Principles of Performance Management

1. A results focus permeates strategies, processes, the organizational culture, and decisions.
2. Information, measures, goals, priorities, and activities are relevant to the priorities and well-being of the government and the community.
3. Information related to performance, decisions, regulations, and processes is transparent — easy to access, use, and understand.
4. Goals, programs, activities, and resources are aligned with priorities and desired results.
5. Decisions and processes are driven by timely, accurate, and meaningful data.
6. Practices are sustainable over time and across organizational changes.
7. Performance management transforms the organization, its management, and the policy-making process.

1. A Results Focus Permeates Strategies, Processes, the Organizational Culture, and Decisions

A results focus is central and essential to performance management. Community-wide plans, long-term and annual budgets, customer service strategies, and individual efforts all revolve around articulating and producing desired results.

Traditional government processes and practices have too often emphasized a process-compliance definition of results rather than an outcome-based definition. Compliance with prescribed processes may help to assure fairness, fiscal probity, or adherence to the law, but it often results in less emphasis on achieving actual substantive benefits for the public.

Performance management principles and practices work to assure that the organization's strategies, processes, and the culture itself are aligned with the results the organization

aims to achieve, while still insuring fairness, proper stewardship, and adherence to the law.

2. Information, Measures, Goals, Priorities, and Activities Are Relevant to the Priorities and Well-Being of the Government and the Community

The principle of relevancy requires that an organization establish goals and performance targets that are important and meaningful to intended audiences. Some goals and targets may be technical, such as those related to complying with technical environmental protection laws for drinking water. These are relevant to staff members who are responsible for maintaining compliance and assuring the safety of drinking water, for example. Many residents, however, just want to know that they can drink the water that comes from the tap and that it will be available when they want it. Thus, a government might need to set both technical and resident-friendly goals and provide plain-language interpretations of water drinkability and availability. Relevancy requires that policymakers, executives, managers, and staff clearly understand how to use performance management tools and practices so appropriate goals and targets can be developed and resources can be devoted to achieving them.

3. Information Related to Performance, Decisions, Regulations, and Processes Is Transparent — Easy to Access, Use, and Understand

The principle of transparency means that information is not only easy to access, but also that it is complete, well organized, easy to use, and easy to understand. Information that is known only by a small group or an individual does little to foster evidence-based planning, budgeting, and decision making. Making performance information widely available can encourage dialog about how to improve performance, thus offering the potential for improved resource management, better policy making, and an enhanced ability for the public to participate in their government.

In addition, performance management practices have the potential to change long-established processes and service levels as performance information is used to evaluate performance and perhaps to reallocate resources to better match priorities. Stakeholders will want to know how such decisions are made.

4. Goals, Programs, Activities, and Resources Are Aligned with Priorities and Desired Results

Effective performance management systems help ensure that goals, programs, activities, and resources are aligned with priorities and desired results. Alignment must be both vertical (from the top to the bottom of the organization structure and also from organization-wide to individual goals) and horizontal (across organizational units and, optimally, across governments serving the same population). A lack of alignment creates two significant impediments to success: 1) The organization will act like multiple organizations rather than a single one, potentially compromising efficiency and effectiveness; and 2) Components of the organization will compete for resources rather than developing ways to cooperate.

5. Decisions and Processes Are Driven by Timely, Accurate, and Meaningful Data

Collecting performance data, storing it in useable form, and applying it to managing and decision making are essential to performance management. Policy makers, executives, managers, and staff must have performance data in order to track and understand results. Data-informed decision making allows the organization to learn from experience, replicate successful strategies, and improve on efforts that fail to meet expectations.

6. Practices Are Sustainable Over Time and Across Organizational Changes

To be successful, performance management must be a sustained organizational improvement effort. Performance management is not an event, a program, or a quick fix intended to address only current issues. A performance management system must be sufficiently flexible to adapt to inevitable changes that occur over time such as leadership changes, changes in organizational structure, or unanticipated events. The benefits of performance management increase over time as it becomes the standard approach to management and decision making. Performance management requires that leaders make a significant commitment to provide resources, develop expertise, and enlist employee involvement. Performance management becomes a sustained effort when the organization uses performance management practices routinely, believes in performance management as the preferred mechanism for managing resources, and, finally, develops the expectation that decisions will be based on performance information.

7. Performance Management Transforms the Organization, Its Management, and the Policy-Making Process

The preceding six principles contribute to this final principle, that of transformation. For performance management, the term “transformation” means a shift from focusing primarily on process and on inputs and outputs to emphasizing results organization-wide. A transformed organization uses evidence-based planning and management and objective goal setting, and works to align its structure, systems, and resources toward achieving results. Transformation also means going from a bureaucratic model toward a more flexible model of results-based management and decision making. Finally, transformation changes organizational culture to one that values evidence, learning, and accountability for results as well as accountability for complying with laws and regulations.

Initiating, Implementing, and Sustaining Performance Management

Systematic, ongoing performance management requires a sustained effort. Organizations that have implemented and institutionalized large-scale performance management know that it is a constantly evolving process, not something that works perfectly on day one. First, someone takes the lead to initiate performance management. Assuming that authorization and resources follow, the initiative is implemented. Then, if the full benefits of performance management are to be achieved, the effort must continually grow and become a regular part of doing business, which requires active management and sustained focus.

It is also important to keep in mind that in cases where an organization-wide performance management initiative is not possible, limited efforts initiated by a single division or department can yield benefits. These limited efforts can also serve as examples to the entire government and build expertise for a later large-scale effort. However, it is difficult to initiate performance management in an organization where the leadership of the organization is not driven by a desire to deliver quality services at a reasonable cost.

Initiating Performance Management

As with any large-scale change, someone is compelled to break out of the status quo. A performance management champion, motivated to make the change, gathers support for the effort. The three driving forces discussed below are typical.

Desire to improve. Public officials may decide that performance management would be an effective tool for improving services, responding to community needs, addressing citizen preferences, or enhancing the government's reputation. Performance management practices, coupled with better information for better decisions, can lead to improved performance.

Performance management is a constantly evolving process, not something that works perfectly on day one.

Increased demands and expectations. Governments face myriad demands and expectations – from citizens, businesses, other governments, government workers and supervisors, labor unions, neighborhood groups, and special-interest organizations. Once governments have identified stakeholders' needs and expectations, they can use performance management practices to accomplish outcomes stakeholders will value.

A response to fiscal stress. Officials and managers need better information for allocating scarce resources and countering non-sustainable budget-balancing methods such as across-the-board cuts or use of reserves. A performance approach, based on performance informa-

tion and data analysis, can help officials and managers make better decisions about setting priorities and using limited funds.

Implementing Performance Management

It can take years for an organization to make performance management the standard way of doing business. But the initial implementation of key elements such as performance-driven planning, changing the budgeting process, and training managers and employees on using data to improve programs and services can be accomplished relatively quickly.

It can take years for an organization to make performance management the standard way of doing business.

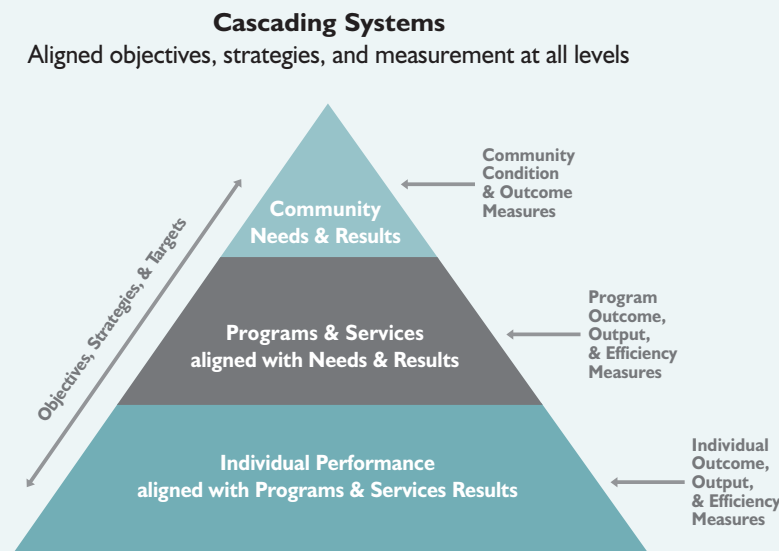
Implementation Steps

Although specific implementation steps will vary by government, the following steps are representative.

- Present the case for performance management to the appropriate decision makers to enlist support, obtain authorization, and secure resources. While organization-wide implementation is optimal, individual sub-units – agencies, departments, or bureaus, for example – may decide to implement performance management independently. Regardless of the organization's size, scale, or purpose, support from organizational or sub-unit leaders is essential. Without such support, efforts to implement and sustain the effort are not likely to succeed.
- Identify key purposes and objectives of initiating performance management. Governments usually have more than one reason for implementing performance management. Clarifying and communicating key purposes and establishing specific objectives at the beginning will help to determine process design and enlist support.
- Define the performance management process. There are several performance management systems that many governments are using, including a strategic planning-based cascading system of objectives, strategies, and measures (see the illustration on the following page); the "balanced scorecard" approach popularized by Robert S. Kaplan and David P. Norton; and the Stat system approach (e.g., CompStat and CitiStat). Governments can adopt one of these approaches fully or partially, or select elements from several to create their own unique system. The Baldrige Management Model, the framework used in the Malcolm Baldrige National Quality Award program, is a system that focuses on leadership, strategic planning, customer focus, measurement, staff, process management, and improving results. This model recommends a structured

A Strategic Cascading Performance Management System

Ideally, a cascading system of performance management establishes alignment all the way from community needs to individual performance. Overarching priorities and objectives are set through a planning process, along with high-level performance measures and targets. Strategies for achieving the objectives are then set through a strategic planning or budgeting processes. Program, service, or organizational unit objectives and measures are also developed that align with overarching objectives and strategies. Individual performance objectives, strategies, and measures may also be part of a cascading system, as illustrated below.



approach to management based on criteria set up for receiving the Baldrige Award. While the Baldrige criteria have been used mainly in the private sector, both the City of Coral Springs, Florida, and the Jenks Public School District, Oklahoma, are Baldrige Award winners.

Regardless of the specific approach, performance management typically includes the following elements:³

- 1) A planning process that defines the organizational mission and sets organizational priorities that will drive performance. This is the planning phase of the performance

³ *The Performance-Based Management Handbook, Volume 1, Establishing and Maintaining a Performance-Based Management Program*, U.S. Department of Energy Performance-Based Management Special Interest Group (September 2001), www.ornl.gov/pbm. Each of these elements is listed in the DOE handbook; however, they have been revised for the purposes of this framework.

management cycle. Once strategic priorities are established that are consistent with the mission, long-term objectives, annual targets, and strategies can be set.

- 2) A process for engaging the public and identifying community needs. Without such a process, it is difficult or impossible to fulfill the promise of performance management to produce results the public needs. When establishing the process, government should identify the purpose for engaging the public, points in the process where the public will be involved, how and when information gained from the public will be used in the performance management system, and the specific public involvement methods that will be used.

The organization needs the capacity to analyze data, not just collect and report it.

- 3) A budget process that allocates resources according to priorities. A complete performance management system must include a performance approach to budgeting. Rather than developing budgets from the previous year's expenditures, funding is allocated according to priorities and information about what actions are effective in reaching desired results.
- 4) A measurement process that supports the entire performance management system. A key challenge in this step is integrating measures both horizontally (across organizational processes and boundaries) and vertically (from a community condition level all the way down to the work of departments and individual employees in support of improved conditions).
- 5) Accountability mechanisms. Accountability refers to the obligation a person, group, or organization assumes for the execution of authority and/or the fulfillment of responsibility. "This obligation includes: answering – providing an explanation or justification – for the execution of that authority and/or fulfillment of that responsibility; reporting on the results of that execution and/or fulfillment; and assuming responsibility for those results."⁴
- 6) A mechanism for collecting, validating, organizing, and storing data. This process assures data reliability and availability.
- 7) A process for analyzing and reporting performance data. The organization needs the capacity to analyze data, not just collect and report it, so that data can be interpreted and useful information provided to management, policy makers, and the public.

⁴ Ibid, p. 21.

- 8) A process for using performance information to drive improvement. At this stage, information is used as evidence to help the organization make decisions on whether to continue programs or activities, prompt and test new strategies, use data to set up improvement incentives, or try something else. The capacity for using performance information to drive improvement includes being able to compare current performance to past performance, established standards, or the performance of other organizations.
- Communicate the plan to gain understanding, enlist support, and assure that stakeholders have the facts. Communication is a critical component of any change effort. Setting up a multifaceted communication effort will help all parties gain understanding and build and maintain support. By not just providing information but inviting feedback and questions, a good communication process can counter inaccurate information by rapidly identifying inaccuracies and making sure that accurate and relevant information is provided.
 - Build organizational capacity through training, hiring, or developing in-house technical and other expertise; providing performance management tools; and building common terminology. While training is generally part of initial implementation, it should not be viewed as a one-time event. Existing staff benefit from recurring training, and new hires need proper introduction to the way the organization practices performance management. The organization's efficiency and effectiveness will benefit from deeper staff understanding of performance management practices and principles.
 - Monitor the implementation process and make adjustments as necessary. Just as monitoring and adjusting are part of the performance management cycle, the performance management initiative itself must be continually monitored and changes must be made to assure that it is becoming ingrained in the organization and that benefits are being achieved.

Any major organizational change requires both a sound technical approach and a workable approach to change itself.

Managing the Change

Any major organizational change, including implementation of performance management, requires both a sound technical approach and a workable approach for the particular organization involved. Organizational change management is indispensable to assuring that performance management will become the organization's ongoing way of doing business. At its heart, performance management is an organizational improvement process that hinges on aligning employee interests with the organization's objectives. Achieving this alignment requires that the organization pay attention to key issues that employees have during the transition.

There are many challenges to implementing performance management. It cannot be promised as a quick fix, although benefits usually begin early. It takes time, and those who would typically have responsibility for implementation have other tasks they must accomplish simultaneously. It may also be a reputational risk for those who undertake it. There are no guarantees of success. While many practitioners have had successes, there are as yet no systematic studies that rigorously quantify the direct or indirect benefits of performance management efforts.

Organizational and structural issues often have the potential to affect the success of a change effort, so strategies to address those issues should commence before performance management implementation begins.

Organizational and structural issues often have the potential to affect the success of a change effort, so strategies to address those issues should commence before performance management implementation begins. Initiators of performance management should consider the culture of their organizations and identify potential barriers as they develop their implementation strategies. The earlier change management efforts begin, the stronger the foundation becomes to support a sustained performance management initiative. While a comprehensive description of change management is beyond the scope of this document, a sound change management process includes, at minimum, the following steps:

- Assess the organization's capacity for change. Review how the organization has responded to changes in the past, what the key barriers have been, and how they have (or have not) been overcome.
- Assess implementation risks. A risk assessment identifies environmental threats (e.g., people, events, finances, and cultural factors) that may impede progress or even stop the initiative. Doing such an assessment in the beginning enables planners to consider how to respond to these threats should they occur and also to decide on the timing of the initiative.
- Create a change management component. Give responsibility to an individual or a group for addressing change management issues separate from the technical components of performance management implementation.
- Establish a process for communication. As mentioned earlier in the implementation section, communication should be systematic and frequent. A communication plan that identifies key audiences, key messages, and appropriate communication channels, and then provides timely communications, is an essential part of managing the transition.

- Provide coaching and individual attention to participants. Provide coaching and feedback so individuals in the organization are able to use performance management and understand not only why it is good for the organization, but also how each person fits into a performance management approach.
- Manage resistance. No matter how well justified the initiative may be, acceptance levels will vary. Some individuals will enthusiastically adopt, some will adopt because it is expected, and others will drag their feet or simply refuse to get on board. Managing resistance is a multi-faceted activity that involves identifying the specific sources of resistance and developing responses that are appropriate in scale and intensity.
- Celebrate success. Although we have emphasized that performance management is an evolutionary process, successes occur at every stage. In the beginning, gaining resources for an implementation plan is an early success. Creating key organizational priorities is another. It is important to announce successes and involve employees as a way of nurturing the message that performance management is not itself a program or owned by a single group of people, but rather the organization's new way of doing business.

Key Factors in Sustaining Performance Management

Although this section presents initiating, implementing, and sustaining performance management as a three-part sequence, in fact, the ability to sustain a performance management initiative begins in the two earlier stages. Assuring that the performance management initiative becomes an ongoing effort integrated into the organization's practices and culture begins with the steps taken in establishing the initiative. The following factors are important to a sustained effort. In the initiating stage, it is important to analyze the extent to which the following factors are present. At that point, if deficiencies exist, there is time to remedy them or create work-around strategies.

Supportive leaders. Performance management initiatives cannot achieve optimum success without energetic and sustained support from an organization's top managers. Leaders need to articulate a vision for performance management that tells stakeholders how they will benefit and encourages involvement. Leadership must also make clear that performance management is not an experiment and is in fact how business will be conducted.

Elected officials may need to be convinced of the value of implementing and sustaining performance management. Some officials are concerned that instituting a process driven by high-level outcomes and numerical targets may interfere with their authority to set goals and make decisions. Elected officials need to be very involved in their role as policy makers, in the planning stages, where goals are set, and also in later stages, where their oversight responsibilities should be exercised. There are many ways in which elected officials can benefit from performance management, including the following examples:

- A good performance management system has the potential to improve results, explain or defend the distribution of resources, and, through good management, increase benefits to the entire community. These are positive factors for elected officials.
- The information provided by performance management systems can be used in dealing

with powerful organized interests. Officials can use survey data, information on public preferences and priorities, and performance information to counter such interests.

- Performance management systems provide elected officials with objective information they can share with constituents when they discuss the rationale for decisions or votes they have made.
- Good data from performance management systems may help elected officials reach agreement on priorities faster, and with a higher comfort level that they have made the right decision.

It is also important that a full explanation and a context be provided when information is made public. Elected officials are likely to be much more comfortable with having performance data be made public if comparative data from the region or similar governments is included, along with an explanation of the context. For example, if a certain type of crime has increased (or decreased), providers of information may report whether this is part of a regional or national trend driven by demographics, and how the government's performance compares to that of surrounding governments.

Internal champions. A small number of internal champions committed to success and to putting in the time it will take to create a sustained effort can make performance management happen. Champions are committed to implementing performance management and are willing to use their time, talents, and resources to help develop, improve, and get others committed to the effort. This includes finding the time to do research, organize meetings, assign staff to projects, and develop fact-based arguments for countering resistance.

Sufficient financial resources. Performance management results in greater efficiency and more effective use of resources in the long run, but it requires an upfront investment of

Case Study

The City of Columbus, Ohio

The City of Columbus, Ohio, views performance management as a critical tool in developing the accountability necessary to achieve the mayor's goals and objectives. When the city implemented its system, the first step was to hire an experienced leader and create an office of performance management within its financial management division. The office of performance management was given the mission of "ensuring that city leaders and departments have the information they need to track performance, document successes, and identify opportunities for improvement in city services." The city also identified "internal champions" to staff the office – individuals who could act as internal consultants to departments, provide support, and continue to advocate for performance management.

resources for implementation. People, expertise, technology, and money are necessary to establish and maintain tools and practices for revising processes, developing measures, and collecting and storing data.

Performance management expertise. Developing a successful performance management system requires much more than creating new forms and developing new measures. Performance management systems represent a fundamental change in organizational culture. Accessing outside expertise from individuals who have previously implemented performance management allows governments to take advantage of lessons learned and avoid common problems. Sometimes this expertise is already on hand. Identifying and enlisting the support of individuals within the organization who are knowledgeable about the various elements of performance management, preferably those with previous experience, is a good strategy.

External champions. External champions such as good-government organizations, citizen groups, or businesses that have adopted performance management practices can be valuable in gaining and keeping support from both the public and within the government. External champions can advocate on behalf of a results-driven approach to government leaders and the media. While it can be beneficial to have the support of such groups, performance management initiatives can succeed even where this advocacy does not exist.

Professional organizations and other educational and research groups. Many of the organizations that have sponsored the creation of this framework, as well as academic institutions and non-profits across the United States and Canada, provide a multitude of resources governments can use to help them sustain their performance management initiatives.

The ability to demonstrate improvement. One of the best ways to sustain the effort is to demonstrate improvements resulting from performance management. To do so, it is important to maintain data, conduct reviews, and communicate success.

Performance Management Without a Formal System

Performance management thrives where managers and supervisors take responsibility for influencing results and favor facts over intuition in decision making. One reading of this framework might imply that an organization – a city, an agency, or school district – can only implement performance management practices when they are integrated into multiple dimensions of an organization's management system. Undoubtedly, those who operate in governments where performance management is the norm and where organization-wide systems are in place to support this norm are in a better position to make data-driven decisions than are their counterparts operating without such systems and support. Nevertheless, many managers and supervisors operating without formal organization-wide systems and without major executive or legislative encouragement can

and do engage in performance management regularly. Without much fanfare, program directors and middle managers commit random acts of performance management that benefit the citizens they serve. These “random acts” refer to programs, processes, or activities that use performance data within a limited scope to improve their operations. While it is important to encourage formal, organization-wide systems of performance management, it is also important to neither forget nor fail to encourage isolated and individual efforts at using performance data to achieve better results.

Many of the fundamentals that are essential elements of comprehensive performance management systems also apply to individual practitioners attempting to make data-driven decisions on their own. Establishing performance goals, defining metrics to measure progress, setting targets, regularly monitoring progress, and motivating managers and employees to improve results are the essential elements of performance management, and whether the organization has a comprehensive system or not, the individual practitioner can put these elements in place at the program level to aid the decision processes there.

Performance management is the responsibility of all professional managers throughout an organization. Executive support and comprehensive systems can propel the volume and value of data-driven decisions in an organization and can create an environment or culture that demands performance management, but individuals who are committed to performance management in their corner of an organization that is lacking such a culture can still boost performance. These efforts should be recognized and encouraged.

While organization-wide systems to facilitate performance management are noteworthy and deserving of emulation, isolated instances of data-driven or data-influenced decisions are undoubtedly more numerous and similarly deserving of encouragement.

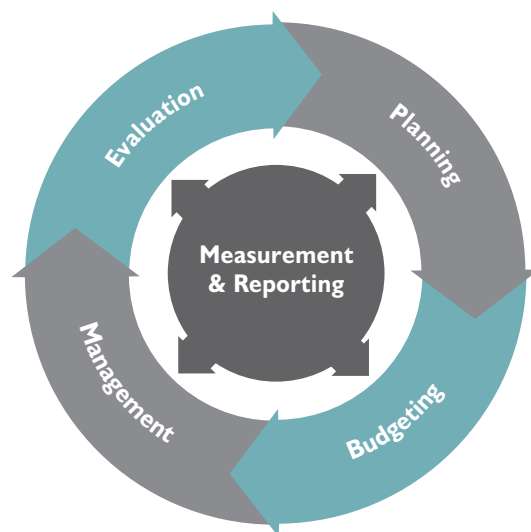
For example, in 2008, an ambitious fiscal manager at the County of Los Angeles Department of Parks and Recreation implemented a system to track the percentage of times the department successfully earned a vendor discount, with a goal of 100 percent. Within four weeks, the department’s success in securing vendor discounts climbed from 55 percent to 97 percent.

Or consider the success achieved by the County of Los Angeles Department of Beaches and Harbor. The department had been frustrated by multiple efforts to implement performance management systems. In 2009, it employed performance management practices to tackle a constant concern about its operations – how clean are the restrooms? Beaches and Harbor implemented a simple charting system to track which facilities were cleaned at what time of day and to rate the cleanliness. The tracking system allowed the department to reassign staff and justify hiring additional employees to address cleanliness at the busiest beach facilities during the busiest times of day.

Performance Management Practices

Practices represent performance management principles in action – the way that performance management is applied to the ongoing operations of government. Traditional management practices become performance-driven when they incorporate the principles described previously. This section first describes the key performance management characteristics of the four processes that comprise the performance management cycle (illustrated below) – planning, budgeting, management, and evaluation. Then it describes two cross-cutting practices – measurement and reporting – that are used in all four processes.

The Performance Management Cycle



While the processes shown above constitute a cycle, each process typically operates on a different timeline. Planning may be long term or medium term (two, three, five, or more years). Budgeting is usually short term, either one or two years. Operational management is day to day. So even though each process informs the next, the reality is that the decision timeframe for the next process is shorter than the last, and evaluation informs each of the other processes.⁵

There are several implications. First, managers must recognize these differences and decide how to address the challenges they present (for example, have a flexible five-year plan that

⁵ This material on the different performance timelines of performance management cycle processes was provided by Michael Jacobson, Manager, Performance Management Section, King County Washington Office of Strategic Planning and Performance Management.

is updated annually based on the government's experience in the most recent fiscal year). Second, assuring that the processes in the cycle stay aligned requires constant attention. Third, different measures, targets, and feedback/analysis frequencies are required for each process, with operational management needing the most frequent feedback and analysis. Stat systems such as Baltimore's acclaimed CitiStat system are intended to provide this rapid feedback and analysis, so management can change operational strategies quickly as conditions change.

Because it is not possible to identify and describe all existing performance management practices here, we provide examples within each process. The examples come from the experience of cities, provinces, states, counties, schools, and special districts that have adopted performance management. While the commission encourages the adoption of performance management throughout the organization, individual departments or program managers can improve results by instituting these and other performance management practices, even if the entire organization has not implemented performance management.

Planning: Defining the Results to Be Achieved

Strategic Planning

Strategic planning should systematically address an organization's purpose, internal and external environment, and value to stakeholders, and it should be used to set an organization's long-term course. In addition to setting direction, performance-driven strategic planning enables a government to evaluate performance in relation to objectives so information on past performance can inform and help improve future performance.

The Government Finance Officers Association's best practice on strategic planning states that "... all governmental entities should use some form of strategic planning to provide a long-term perspective on service delivery and budgeting, thus establishing logical links between authorized spending and broad organizational goals."⁶

The Government Performance and Results Act says that strategic planning is "an opportunity to unify the management, employees, stakeholders, and customers through a common understanding of where the organization is going, how everyone involved can work to that common purpose, and how we will measure our progress and levels of success."⁷

Planning in a performance management context includes articulating the organization's vision and mission, establishing measureable organization-wide objectives or priorities, and identifying strategies for achieving the objectives. Although these elements may be developed without conducting a formal strategic planning process, a formal process helps assure that key stakeholders are appropriately consulted or involved and that the resulting objectives and strategies are recognized as the accepted future direction of the organization.

⁶ The GFOA's Recommended Budget Practice on the Establishment of Strategic Plans (2005) is available at <http://www.gfoa.org/downloads/budgetStrategicPlanning.pdf>.

⁷ "Serving the American Public: Best Practices in Customer-Driven Strategic Planning," Federal Benchmarking Consortium Study Report (February 1997), <http://govinfo.library.unt.edu/npr/library/papers/benchmrk/customer.html>.

Setting priorities in a political environment is challenging. It can be particularly challenging at the state level and in local governments where partisan politics is a factor. The broader principle of performance management calls for decisions to be informed by data, but good strategic planning cannot take the politics out of government, nor should it. Good strategic planning can, however, provide an unbiased assessment of the environment, identify critical issues, and suggest effective strategies for addressing these issues that can have power even in the most politically charged environment. The following practices are part of a performance-driven planning process.

Vision and mission identification. Essential to the planning process is the definition of a vision and mission for the organization. A vision provides a focus on a future state and provides a context for creating measures that reflect progress toward that future state. A vision statement is often inspirational, and it helps answer the question, “Where do we need to go?” A mission statement is more concrete. Public-sector organizations cannot be all things to all stakeholders; a clearly defined mission statement says what the purpose of the organization is and also helps readers understand what is outside the purpose. It therefore helps the organization identify what it needs to accomplish, establish priorities, and set expectations.

Environmental scan and analysis. This practice enables the organization to understand the internal and external forces that are likely to affect its ability to achieve desired results. Organizations need to put together a full picture of the challenges and opportunities the environment presents. From this information, assumptions can be made to guide the remainder of the planning process.

Setting priorities in a political environment is challenging. It can be particularly challenging at the state level and in local governments where partisan politics is a factor.

Stakeholder perspectives on priorities and performance. Performance management begins with the premise that governments need to produce results their constituents need and want. Consequently, while other factors such as economic and demographic trends are important to understand, stakeholder priorities and expectations are crucial in setting objectives and determining strategies for achieving the organization’s mission. Collecting information in a variety of ways from a wide sampling of constituents helps ensure that diverse views are factored in, not just those of the most active interests.

Public involvement and a true understanding of public priorities are crucial to performance management systems. They span planning, budgeting, management, and evaluation of results. However, public involvement is used most heavily in the planning phase because

planning drives these other components. Community meetings, citizen surveys, focus groups, and other information-gathering techniques are most frequently used in planning processes. In the budget, feedback mechanisms such as hearings or Web-based budget choice “voting” systems may be useful. In management processes, point of service surveys, focus groups organized around specific services or service areas, or newsletters are some of the methods for helping service managers identify citizen preferences, expectations, and problems.

Key objectives and strategies. Well-articulated and measureable objectives provide a basis for setting annual targets and for assessing the extent to which the organization is meeting its goals. Strategies describe how objectives will be accomplished. Strategies can be used to develop programs and activities that enable the organization to pursue the objectives.

Creating Organizational Objectives and Strategies

Setting objectives begins with considering the future that leaders and stakeholders are describing. What should the community look like in five years? What should be expected in ten or more years? The main elements of a desired future state can be incorporated into a relatively small number of objectives that are clearly articulated, specific, measureable, and relevant to stakeholders. Strategies are logically linked to critical issues and describe how objectives will be achieved. For example, if the public is very dissatisfied because roadways are congested, then what condition is desirable? What is the public’s view of a reasonable travel time to get to work? A measureable objective might be established around the public’s expectation and around transportation experts’ knowledge of how quickly a jurisdiction can move from the current travel time to a time that better meets the public’s expectation. Strategies are interrelated with setting targets because strategies help determine what can be achieved over a specific timeframe. In this example, a community might consider improved roadways or decreasing the number of traffic interruptions due to accidents, or alternatives to automobile travel such as light rail systems or improved bus service — or all of these strategies.

Operational Planning

Operational plans (often called business plans or action plans) translate high-level objectives into policies, programs, services, and activities aimed at achieving these objectives. Operational plans need to clearly explain the connection between activity and results, and provide specific measures so progress can be evaluated. Operational plans typically cover a two- or three-year period and are updated annually. Governments such as the City of Charlotte, North Carolina, have merged their budgets and operational plans to help keep the spotlight on performance. Others, including the City of Minneapolis, Minnesota, require each department to develop a business plan.

Case Study

The City of Minneapolis, Minnesota

In 2005, the City of Minneapolis, Minnesota, started a new strategic planning process that identified six city goals and 31 strategic objectives. Each department prepares a business plan that says what it will do to support the six city goals and 31 strategic objectives. A departmental business plan includes the department's organizational chart, mission statement, and a brief description of primary business lines, department goals and objectives. It also identifies the department's alignment with city goals and performance measures. The link among city's goals and departmental objectives is clearly designated in table format. Plans are updated every five years, and yearly progress reports are provided.

Linking Strategic Planning and Long-Range Financial Planning

A strategic plan and the objectives and strategies that emerge must be grounded in fiscal reality. Otherwise, it can create citizen, political, and staff expectations that may not be realistic or attainable. It is therefore important that a long-range financial plan be developed concurrently and in association with the strategic plan.

Performance Budgeting: Achieving Results through Good Resource Allocation

Performance budgeting begins where the strategic plan and/or operational plan ends, using the objectives and strategies from the planning process as the basis for developing a spending plan. The primary purpose of performance budgeting is to allocate funds to activities, programs, and services in a manner most likely to achieve desired results. A performance approach to budgeting emphasizes accountability for outcomes (that is, what constituents need and expect from their government), whereas line-item budgeting focuses on accountability for spending from legally authorized accounts. (Spending from appropriate accounts is, of course, also important in performance budgeting, but it does not drive the process.) There are many valid approaches to performance budgeting. What they all share is the goal of assuring that funding is directly linked to achieving high-priority results. Performance budgeting has three essential elements: 1) desired results must be articulated; 2) strategies for achieving results must be developed; and 3) the budget must explain how an activity will help accomplish the desired result. Including performance measures in a line-item budget does not constitute performance budgeting. Performance budgeting requires a new approach that includes:

- A shift of emphasis from budgetary inputs to outcomes. Inputs – dollars, people, supplies, equipment – are justified based on how they are expected to contribute to the achieve-

ment of desired results.

- The integration of budgeting and strategic planning and an associated focus on long-term results. Performance budgets are developed within the context of long-term objectives and strategies established in strategic plans. Traditional budgeting focuses much more on tactical approaches and a short time horizon.
- Greater attention to the needs of residents and businesses. Traditional budgeting, due to its focus on inputs and its tactical nature, tends to look inward, on the priorities of departments and agencies. Performance budgeting practices, by emphasizing the relationship between spending and results, causes more attention to be focused outward, on what is relevant to the community.

While a basic tenet of performance budgeting is that spending should be aligned with an organization's key objectives and strategies, a significant limitation to doing so in most budgeting processes – even performance budgeting processes – is that budget requests are prepared by individual departments. At this point in the process, the link between spending and the achievement of key organizational objectives is often weak. Budgeting for Outcomes (BFO), described in David Osborne and Peter Hutchinson's *The Price of Government*,⁸ offers a way around the department-by-department barrier to make a more direct link between funded activities and outcomes.

Beyond Department-by-Department Budgeting: BFO

Budgeting for Outcomes (BFO) is a performance budgeting process that is based on articulating high-level priorities, identifying strategies that will enable the organization to achieve priority outcomes, and directly tying spending to those results. At the beginning of the budgeting process, BFO directly assigns all estimated available funding to high-level priorities. Departments, rather than preparing departmental budget requests, prepare individual program or service proposals specifically related to helping the jurisdiction achieve one or more of its overall priorities. Through a prioritization process, these proposals are reviewed and ranked. Proposals are funded according to their rankings within each priority, until no more funds are available. Once decision makers have reached agreement on a final set of programs and activities to be funded, the spending plan is organized into departmental budgets for financial monitoring and accounting purposes. The BFO approach has been used by states, cities, counties, and school districts in the United States, including: Dallas, Texas; Fort Collins, Colorado; Jefferson County Schools, Colorado; Mesa County, Colorado; Multnomah County, Oregon; Oregon Department of Education; Polk County, Florida; the Quinault Indian Nation; Redmond, Washington; Savannah, Georgia; Snohomish County, Washington; and the state of Washington.

⁸ David Osborne and Peter Hutchinson, *The Price of Government: Getting the Results We Need in an Age of Permanent Fiscal Crisis* (Cambridge, MA: Basic Books, 2004).

Management Practices: Aligning Operations with Outcomes

Management practices constitute an organization's operational strategies for achieving results manifested in its work processes, staff, and external partners and contractors. Performance management practices are focused on results. As previously noted, there are currently no definitive sources of information on the effectiveness of performance management practices. Nevertheless, governments can learn from each other based on evidence from their experience with performance management.

In theory, using performance data to make operational decisions is a common-sense, logical approach. In practice, it may run counter to an organization's ingrained decision-making processes, which are often based more on hierarchical position, perceived professional expertise, or tradition than on evidence. "Evidence-based management entails a distinct mind-set that clashes with the way many managers and companies operate. It features a willingness to put aside belief and conventional wisdom – the dangerous half-truths that many embrace – and replace these with an unrelenting commitment to gather the necessary facts to make more informed and intelligent decisions."⁹

The practices below illustrate a sampling of sound performance management approaches. They are organized in three categories:

- Managing processes. Managing operational processes.
- Managing staff. Managing staff through human resource practices.
- Managing relationships. Managing external relationships, primarily partners and contractors that help organizations achieve results.

Managing Operational Processes

This category relates to approaches that drive performance through continuously measuring and analyzing performance compared to targets or the results achieved by similar operations. A key component of each of these practices is a process that enables managers and staff to analyze and discuss performance information, and reach conclusions that lead to changes intended to improve results.

Business process management. Business process management – also known as business process improvement or business process reengineering – has been used both as an overall approach to managing performance as well as a specific management practice. The Vermont Agency of Transportation uses its business process management system to link day-to-day operations with strategic objectives, for example. Other governments (including the City of Redmond, Washington; the City of Chicago, Illinois; the City of Cape Coral, Florida; and the City of Conroe, Texas) have used business process management methodologies to improve the efficiency and effectiveness of specific processes.

As performance management transforms the organization to meet strategic objectives and

⁹ Jeffrey Pfeffer and Robert I. Sutton, "Evidence-Based Management," *Harvard Business Review* (January 2006).

ensure strategic alignment, business process management focuses on people, processes, and systems to achieve process improvement. Process improvement, accompanied by performance management, provides efficient and effective processes that deliver outcomes valued by the public.

As a process discipline, an organization's employees need to understand the process, not only as it relates to their specific areas of control, but also from the perspective of understanding the process from end to end. A thorough understanding of the end-to-end process creates a process-oriented view throughout the organization instead of the functional departmental views commonly known as silos. When the entire process is understood, it can be improved upon. In addition, business process management includes effective management of the organization's information technology resources (systems). As more reliance is placed on information technologies, it is important that these investments meet the strategic business objectives that support those critical business processes. Alignment of people, process, and systems coupled with performance management creates value for all stakeholders.

A number of organizations have used business process management methodologies to improve the efficiency and effectiveness of specific processes.

Stat systems. The term Stat refers to a operational performance management system based on the New York City CompStat initiative (short for computer statistics or comparative statistics model) that was later adapted by the City of Baltimore as CitiStat. Broadly, it can be defined as:

A series of regular, periodic meetings during which the leadership and/or leadership top aides use data to discuss, examine, and analyze with the individual directors of different agencies past performance, future performance objectives, and overall performance strategies.¹⁰

Since 2000, this model has been replicated and expanded by numerous governments as a way to track and evaluate results against targets in an open, transparent, and problem-solving way. Stat meetings are typically held at least quarterly.

Four key elements have been associated with successful efforts at managing operational processes and testing operational strategies:¹¹

¹⁰ Robert D. Behn, "The Varieties of CitiStat," *Public Administration Review* (May/June 2006), 332.

¹¹ Based on the work of Jack Maple (1991) and Bratton (1998) as noted in the chapter, "The Core Drivers of CitiStat," Robert Behn, *Leading Performance Management*, ed. David Ammons (Washington, DC: ICMA Press, 2008).

- Accurate and timely data shared by everyone at the same time. Performance data anchor discussions. Data are displayed against agreed-upon targets in graphical and table format to facilitate understanding of actual performance against plan. Meetings are generally widely attended by all those who have an active role in contributing to positive performance. This may include administrative support functions such as human resources, contracting, and information technology as well direct operations and/or program staff.

Stat meetings are used to track and evaluate results against targets in an open, transparent, and problem-solving way.

- Regular and frequent meetings to accelerate learning. Meetings are held on a regular schedule to reinforce the commitment to results and to monitor how agreed-upon corrective actions are effecting results. The meetings provide the forum in which alternative performance strategies are explored, discussed, and prioritized.
- Relentless follow-up and assessment. A common component of meetings is the generation of commitments – specific actions that the agency, department, or unit will commit to undertaking before the next performance review meeting to improve results. Future meetings are then used to continuously compare actual results against planned results and determine whether further corrective strategies are warranted.
- A problem-solving model that works for the organization. The emergence of operational review approaches such as Stat systems as a performance management strategy might imply that it is a uniform approach. While the core tenets as identified are common, how they unfold reflects the culture of the organization and its leadership. Each organization must adapt standard approaches to work within its culture and structure.

Benchmarking. Benchmarking is one of the ways to understand organizational performance. It works by comparing an organization's performance to that of organizations having similar missions, scope, and responsibilities.

Efforts such as those supported by the International City/County Management Association (ICMA) Comparative Performance Measurement Program assist cities and counties in the United States and Canada with collecting, analyzing, and applying operational performance information. This program gives member governments the ability to engage in interagency benchmarking as well as making internal comparisons.¹²

When considering benchmarking, it is important to keep in mind that this approach is not as simple as conducting a survey of several jurisdictions or taking information from budg-

¹² See ICMA Center for Performance Measurement project information available at www.icma.org. The center assists more than 220 cities and counties with populations ranging from less than 10,000 to more than one million.

ets or actual reports and comparing it. Good benchmarking includes due diligence to assure that data are comparable. Even then, however, it is often difficult to make true comparisons, so conclusions reached through benchmarking must be carefully considered, and there should be full disclosure of methods used.

Broad comparisons are useful among organizations where information sharing is the norm and services are similar. They may also be more useful in comparing some services than other services. For example, benchmarking retirement systems has been useful because public retirement systems typically comply with standards set by the Governmental Accounting Standards Board (GASB) when reporting financial information, so comparisons are relatively easy to do. The National Association of State Auditors, Comptrollers, and Treasurers collects information on back-office functions, which may be more amenable to comparison than direct citizen services. Conversely, benchmarking human service activities has been difficult because of the varying populations, approaches, and regulations involved.

Good benchmarking includes due diligence to assure that data are comparable. Even then, it is often difficult to make true comparisons, so conclusions must be carefully considered.

There has been some success in cases where several jurisdictions in a region join together to develop and use standard measures, and a formal process exists for collecting, validating, and sharing data. Ensuring comparable data requires uniform guidelines for data gathering (e.g., whether or not to include overhead costs in calculating operating costs) and a comprehensive data-cleaning effort. State-wide and regional benchmarking consortiums such as the Florida Benchmarking Consortium, the North Carolina Benchmarking Project, the Ontario Municipal Benchmarking Initiative, and the Michigan Local Government Benchmarking Consortium are good examples.

While the most visible benefit of participating in a comparative benchmarking project is being able to assess an organization's performance against that of its peers, the underlying and perhaps most important benefit occurs for organizations that exchange information on practices and effective strategies after comparing data. The City of Toronto has also found that providing side-by-side comparisons of its performance information with that of other cities has added to the credibility of its performance information. Toronto also provides multi-year internal trends in its performance reporting. By including both perspectives (internal historical comparisons as well as city-to-city comparisons), Toronto believes residents get a more complete view. For example, while internal trends might show year-to-year improvement, an interagency comparison may show that the government is actually in the bottom quartile when compared to others, thus providing information on how much improvement is possible.

The North Carolina Benchmarking Project

The North Carolina Benchmarking Project was initiated by the University of North Carolina and participating municipalities in 1995 and currently assists 17 communities, including the Town of Cary, the Town of Carrboro, the City of Salisbury, and the City of Raleigh, all in North Carolina.* The project provides a comparative basis for local governments to assess service delivery and costs. It allows participating units to make comparisons among themselves and with their own internal operations over time. The benchmarking process includes compiling service and cost information, cleaning the data for accuracy, calculating the selected performance measures, and comparing the results. The project has achieved some overall goals and produced valuable lessons regarding performance measurement, benchmarking, and cost accounting, in addition to specific results for the participating municipalities.

What the project has achieved:

1. The project's methodology, consisting of service profiles, performance measures, cost accounting, and explanation of results, provides a comprehensive source of information to compare service delivery and cost between jurisdictions. The project's accounting model is especially effective in capturing the full cost of service delivery.
2. The performance data have been used in numerous jurisdictions for service improvement, especially in the areas of residential refuse collection and household recycling.
3. The project's success is directly related to consensus on service definitions and measurement statistics, involving numerous local government officials from the participating municipalities.

What we have learned:

1. Local governments can produce accurate, reliable, and comparable performance and cost data, which can be used for service improvement.
2. Specific service definitions are vital to performance measurement and benchmarking, including explanatory information.
3. Data availability and data quality are very important to performance measurement.
4. Auditing or verifying the accuracy of performance data is a necessary component of performance measurement and benchmarking.
5. Performance measurement and cost accounting are time consuming. However, performance measures provide valuable information in the quest to provide quality services at reasonable cost.

* This information about the North Carolina Benchmarking Project was taken from the project's Web site, at <http://www.sog.unc.edu/programs/perfmeas/>.

Managing Staff

Performance-driven human resources practices are focused on engaging and motivating employees to actively support achievement of results, often by tactics designed to help align individual objectives with organizational objectives. An organization creates a culture that motivates increasing levels of performance by using a system of rewards, financial and non-financial, and recognition. Some practices that can accomplish these ends are mentioned below. Their effectiveness and practicality depend on the particular culture and circumstances of each government.

An organization creates a culture that motivates increasing levels of performance by using a system of rewards, financial and non-financial, and recognition.

Pay-for-performance. Pay-for-performance is a broad name for practices that relate to rewarding individuals or teams for achieving performance targets. The fundamental points are motivating employees to achieve targets and specifying a reward for achieving the result. Target-based systems are especially reliant on credible data. This practice has not been adopted widely for several reasons. First, civil service rules, union contracts, and regulations and agreements make it difficult to provide different rewards for performance. Second, there are no best practices for establishing measures and setting reasonable targets that governments can apply. Third, in the past, many governments did not have well-established organizational performance systems that could be linked to individual performance, although that is a goal that many government performance management systems aspire to. Finally, it is difficult to reward (or sanction) staff for achieving specific targets when so many external factors influence results. It is obviously easier to reward specific production targets, which the government has greater control over, than to reward changes in community condition such as the infant mortality rate.

Another perspective is that individual performance evaluations should be less focused on meeting specific numerical targets and more focused on the extent to which individuals understand and use the organization's performance management system and practices. For managers, this includes assuring that other staff also understand and use performance management practices. Specific numeric targets may be part of the mix, but it is also important that individuals, especially managers, use data for decision making, are able to understand why targets were or were not achieved, and are empowered to develop alternatives when current approaches are not working.¹³

¹³ See Shelley H. Metzenbaum, *Performance Accountability: The Five Building Blocks and Six Essential Practices* (Washington, D.C.: The IBM Center for the Business of Government, 2006).

Task systems. Common in meter reading and solid waste collection, task systems encourage the diligent completion of the day's tasks – the tasks that have been determined to be a fair day's work. Upon completion, the employee or crew is free to leave for the day, providing service quality has been maintained. Task systems have been credited with improving efficiency and route completion and reducing overtime.

Gainsharing. In the most common form of gainsharing, an organization awards bonuses to employees or employee groups who achieve key departmental or organizational objectives at lower-than-budgeted costs. The bonuses, then, are paid from a portion of the savings. In other cases, the practice extends to revenue-generating and quality-enhancing performance, as well. Three characteristics of ideal gainsharing programs are:

- They focus on opportunities to reduce costs or increase revenue. This thus allows gain-sharing programs to be self-funded.
- They feature meaningful employee participation. Gainsharing programs should not comprise just submitting suggestions but also collaborating with other workers and management in brainstorming and decision making.
- Employees earn financial bonuses. Bonuses should be based on group success in securing desired gains.¹⁴

Recognition may take many forms. The specific recognition mechanism should be developed based on its perceived effectiveness and practicality in each government's culture and circumstances.

- Non-financial recognition. Recognition may take many forms, from receiving immediate feedback from supervisors or managers, to informal celebrations of success, to formal awards programs and award ceremonies. The specific recognition mechanism should be developed based on its perceived effectiveness and practicality in each government's culture and circumstances.

Managing External Relationships: Contractors and Partners

For services where the government does not have the necessary capacity or expertise, or where the private sector can provide services in a more cost-effective manner, governments are increasingly relying on private and non-profit vendors to assist in providing services

¹⁴ David N. Ammons, ed., *Leading Performance Management in Local Government*, David Ammons and William C. Rivenbank, "Gainsharing in Local Government (Washington, D.C.: ICMA Press, 2008), 130.

directly to the public. As with standard government-provided services, opportunities exist to institute performance management practices that drive improved results.

Performance-based contracting. Outcome-based or performance-based contracting represents a shift from contracting for the delivery of specified *services* to contracting for the delivery of *results*. Performance contracting agreements are typically silent on the methods the contractor will use to achieve agreed-on results, thus creating incentives for developing innovative solutions to achieve the desired results. (There are obvious limitations to that discretion, such as regulatory or legal requirements.) Performance-based agreements, although complex in development, share the following elements:

With contracted services, as with standard government-provided services, opportunities exist to institute performance management practices that drive improved results.

- Service objectives are prioritized. The intended results of the services to be provided should be identified. This requires organizations to prioritize the most important objectives for the service and to be explicit when elements of service delivery may be competing for resources. Organizations need to ask themselves what the target level of quality should be, and what the cost limitations are likely to be.
- A data collection and reporting system is established. A key implementation issue in any performance-based model is collecting and managing performance data. Data collection and management can be broken down into three activities: 1) defining the specific metrics to be collected; 2) defining a format for reporting intervals and deadlines; and 3) defining the recipient of the information to be submitted.
- Provisions are set for meeting, exceeding, or not meeting performance. In general, there are three basic forms of monetary incentives: 1) payments for achieving pre-established results or milestones; 2) liquidated damages for failing to achieve agreed-upon results or milestones; and 3) bonus incentives for high achievement of key contractual results or goals. While monetary incentives represent the most traditional form of performance-based contracting, they are not the exclusive method. Will contractor incentives for meeting or exceeding targets be used? Will there be penalties for falling short? Generally, the incentive is linked to achieving milestones that are related to performance, not to activities. For example, the state of Tennessee Department of Children's Services has successfully used performance-based contracts that pay providers based on children achieving increasing levels of safety and permanency.

Reasonable targets should be established, based on past experience, evidence of what can be achieved in the specific environment where the contract applies, and discussion between the government and the provider. Setting unattainable or unreasonable targets

for political or other purposes is a misuse of performance contracting and is not consistent with performance management principles.

- Future procurement decisions are linked to contractor performance. Three types of procurement incentives reach beyond the current contract term: giving preferential treatment in future procurement processes to contractors that perform well; determining whether to extend a contractual option period based on performance; and precluding unsuccessful contractors from participating in the next procurement cycle or terminating their contracts.
- The final agreement reflects the provisions outlined above as well as the process for regular performance monitoring. Regular feedback on performance should be incorporated into all performance agreements.

Evaluation: Assessing and Understanding Results

Evaluation is the systematic appraisal used to determine the value of something. Evaluation must be a component of performance management because understanding the relationship between the activities government carries out and the results it achieves is necessary to learning, improvement, and accountability. It is the follow-up step whereby the results of programs and expenditures can be assessed according to expected results. Evaluations rely on developing objectives that results can be measured against, and the availability of data on results. A basic performance evaluation includes the following phases:

- Defining the question.
- Establishing a data collection strategy.
- Collecting data.
- Analyzing and reporting conclusions.

Evaluation must be a component of performance management because understanding the relationship between the activities government carries out and the results it achieves is necessary to learning, improvement, and accountability.

Data validation is an important component of evaluation, and a performance management system will not function well without it. Government personnel must be trained in both the importance of having reliable data and how to test for it. If data validation is not addressed, performance management systems could create and communicate inaccurate pictures of actual performance.

Case Study

The Ramsey County, Minnesota, Human Services Department

The Ramsey County, Minnesota, Human Services Department has created an information infrastructure that continually provides information to get at the “what works” question from different angles, rather than simply conducting a set number of program evaluations each year. The department has had an evaluation unit in place since 1981. Initially, the unit focused on outcome information from its contracted agencies. Through technology improvements, the unit has been able to integrate in-house and contracted services information for evaluation purposes. While staff occasionally conducts special studies, the overall focus is on producing ongoing outcome information for use in monitoring, decision making, and service improvement.

The Virginia Housing Development Authority makes a distinction between evaluations that examine the economy and efficiency of a strategy and evaluations that assess the impact or outcomes of a strategy:¹⁵

Economy and efficiency evaluations determine: 1) whether implementing a strategy involved the economic and efficient acquisition, protection, and use of resources; and 2) the causes of inefficiencies or uneconomical practices. For example, when considering whether a strategy was implemented economically and efficiently, an organization might consider whether it:

- Followed sound procurement practices.
- Acquired the appropriate type, quality, and amount of resources at an appropriate cost.
- Avoided duplication of effort by its employees and avoided work that didn’t add value.
- Had an adequate management control system for measuring reporting and monitoring a strategy’s economy and efficiency.

Evaluating the impact or outcomes of the strategy includes assessing the extent to which the organization identified whether goals and objectives are being achieved, and the actual impact or result of the strategy. Evaluations may:

- Assess whether the strategic goals and objectives were proper, suitable, or relevant.
- Determine the extent to which the strategy achieved the objectives.

¹⁵ This material was provided by Herbert Hill, Managing Director of Policy, Planning and Communications, Virginia Housing Development Authority.

- Identify factors inhibiting satisfactory performance and ways of making the strategy work better.
- Determine whether management considered alternatives that might have achieved the objectives at lower costs.
- Determine whether management has reported outcome measures that are relevant, valid, and reliable.

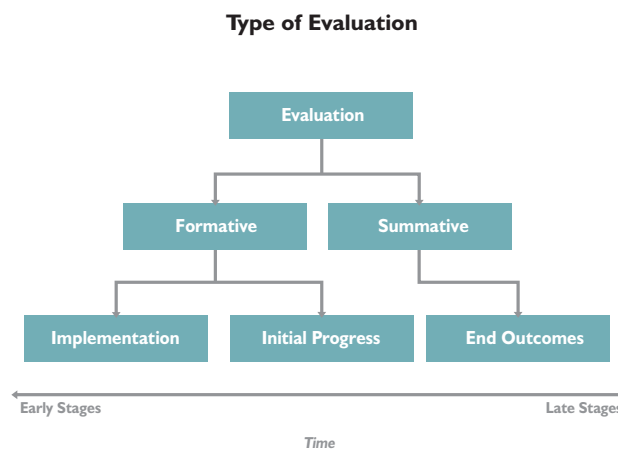
Types of Evaluation: Formative vs. Summative

Evaluation as a discipline distinguishes between approaches that focus on improvement and ones that focus on accountability, and the evaluation literature discusses formative or summative evaluation as two different approaches.* Much of the performance measurement literature fails to distinguish between these two important objectives.

Formative evaluation is intended to assist programs in understanding what is working, how a program is working, and how results differ among individuals. The purpose is to provide a feedback loop to program staff to identify successes and problems, with the goal of making appropriate adjustments. Summative evaluation is an approach that focuses on whether or not a program was successful. Did the program achieve the goals it was supposed to? In this approach, the intention is to make a decision about whether the program should continue as is, or if it should be modified or terminated.

Evaluators should recognize that these are two different functions and that the method of data collection, and the information collected, are frequently quite different. In addition, formative evaluation is frequently seen as something that is done as a program or service is becoming established. Summative evaluation is done much later and after the program is established.

* This material is a summary of "Evaluation and Performance Management: Making Data Useful" by Laurie Hestness, from *The State and Local Government Performance Management Sourcebook*, edited by Anne Spray Kinney and Michael J. Mucha (Chicago: Government Finance Officers Association, 2010).



Other performance management practitioners distinguish between evaluations aimed at accountability and those intended for learning and improvement. Accountability evaluations (often called audits) say what occurred (see text box on the previous page). For learning and improvement, evaluations must provide “how” and “why” information. Simply knowing that an intervention worked or did not work is insufficient. Making decisions about what actions to take requires information about how the program was implemented, and under what circumstances (e.g., the specific features of a community). Organizations also need to identify unintended consequences of a program or an intervention. This can help the organization understand connections between strategies and programs and can also lead to innovation.

Some performance management practitioners distinguish between evaluations aimed at accountability and those intended for learning and improvement.

Learning and improvement is a continuous cycle, not a once-a-year event. To support continuous improvement, organizations need the capability to regularly review program performance and provide information so corrective actions can be taken. However, few governments have appropriated sufficient resources to conduct full-scale formal evaluations. Governments can use good operational action research, which links outcomes to planning through clearly defined targets or milestones and approaches, without spending additional dollars for evaluation. This basic approach to evaluation can be built into program design.

Cross-Cutting Practices: Measurement and Reporting

Planning, budgeting, management, and evaluation rely on two cross-cutting practices that are essential to all organizations engaged in performance management:

- **Measurement.** Practices used to develop, collect, store, analyze, and understand performance, including indicators of workload or activity, effectiveness, efficiency, and actual results or improvements.
- **Reporting.** Practices used to communicate performance measurement information to audiences including internal staff such as employees, management, and executives, along with elected officials, other organizations such as community interest groups and rating agencies, and the public.

Measurement

Performance measures provide factual information used in making decisions for the planning, budgeting, management, and evaluation of government services. Measures can

inform decision makers on a wide variety of topics, including quantity, efficiency, quality, effectiveness, and impact. Credible, timely performance data is essential to having an effective performance management system and to accomplishing much of what is described in this report. Organizations should also ensure that the measures they are developing are:

- **Informative.** Measurement information must add value to the discussion. The focus of performance management systems is on using performance information to make decisions, so it is critical that managers and decision makers have confidence in the information, and that it can be used to make well-informed decisions.
- **Well understood.** Measurement definitions must be transparent so data collectors, managers, and policy makers are clear on the data's meaning and are able to use the information appropriately.
- **Relevant.** Measurement information must be appropriate for the audience for which it is intended – department managers, budget directors, elected officials, or citizens. Often, what is useful to one group may not be useful to or understood by another. If measures are not relevant to the situation and meaningful to the audience, they will not be used. Measures serve multiple audiences: management and staff, who need information to improve performance; policy makers, who need data to make good decisions; and constituents, who require current information on community services and conditions important to them. To accommodate this diversity of interests, many governments have developed measures that serve multiple stakeholder groups.

Performance measures provide factual information used in making decisions for the planning, budgeting, management, and evaluation of government services. Measures can inform decision makers on a wide variety of topics.

When developing measures, it is best to keep things simple.¹⁶ There is no advantage to tracking hundreds of performance measures that are never used. It is important, however, to collect the right measures. While some service areas are a more natural fit for measurement, the commonly used excuse that “you can’t measure what we do” is simply not true. All service areas can measure performance in a way that helps staff, managers, elected officials, or citizens either make decisions or evaluate the effectiveness of provided services. A

¹⁶ Many organizations have resources available to assist with developing measures. For example, the GASB has defined different types of measures in its Proposed Guidelines for Voluntary Reporting. In addition, the ICMA Center for Performance Management and other benchmarking groups have identified common measures to facilitate information sharing. Governments can also look to peer jurisdictions for ideas on what measures to use.

good set of measures provides a complete picture of an organization's performance.¹⁷

It is impossible to overstate the importance of measurement in the operations of government. While reporting to the public is an important element of accountability, it would be impossible to fulfill the promise of performance management for improving results without the existence of measures needed for internal use. Such measures must be relevant to specific processes, programs, or policies; collected with sufficient frequency to enable the government to monitor and make adjustments; and easy to access, not only for managers but for all employees involved in a particular process or program.

It is impossible to overstate the importance of measurement in the operations of government. It would be impossible to fulfill the promise of performance management for improving results without the existence of measures needed for internal use.

Reporting: Communicating Performance Information

Collecting performance data will not yield results unless the information provided is communicated effectively. Effective communication requires that the target audience has access to and understands the message or information contained in the data, which requires more than distributing reports. Providing this information is essential to engaging managers, policy makers, and staff in improving results and in keeping stakeholders informed and actively interested in their government. The creation and distribution of performance information can provide the vehicle for understanding results and trigger discussion and debate on how to improve results.

To be effective at communicating performance information, governments must understand the diverse audiences the information will serve. Citizen-focused measures that generally provide high-level information on broad community outcomes will allow the public to evaluate the overall effectiveness of public services.¹⁸ The National Center for Civic Innovation found that people often use different measures and ways of judging government performance than the typical measures developed by governments alone.¹⁹ Keeping

¹⁷ David Ammons, "The Basics of Performance Measurement," *Leading Performance Management*, ed. David Ammons (Washington, DC: ICMA Press, 2008), 3.

¹⁸ The Association of Government Accountants has produced guidelines for preparing "citizen-centric" reports (available at <http://www.agacgm.org/citizen>) that are intended to foster innovative, clear, and understandable means of communication between governments and their citizenry.

¹⁹ The National Center for Civic Innovation's Trailblazer Program has worked with 67 governments that have consulted with their constituents and produced new types of reports that reflect the public's point of view (see www.civicinnovation.org). Further information on this topic is available in *Listening to the Public: Adding the Voices of the People to Government Performance Measurement and Reporting*, by Barbara Cohn Berman (New York: Fund for the City of New York, 2005).

this in mind, the performance information should be presented in a brief, clear format that is free of jargon or complex data that would not be understood by the public. But this information, while very informative for the public, is likely to be insufficient for supervisors, who need greater detail. Regardless of the level of detail, governments should provide audience-specific performance information that is:

- Accessible. Technology can make up-to-date information accessible to a wide audience of both internal (employees and supervisors) and external (the public) recipients. Web and database technology allows large amounts of relevant data to be readily available just about anywhere. In addition, dashboards (software applications that track business activity, similar to the way an automobile dashboard displays essential information to drivers) or other performance measurement analytic tools can help create graphs and charts to more easily interpret the data, improving communication. Ultimately, an established culture of performance will generate the expectation for performance information. Along with newer technologies, performance information can also be incorporated into various existing channels of communication, such as the budget document, newsletters, dedicated status reports, television programming, or other printed or electronic media.

To be effective at communicating performance information, governments must understand the diverse audiences the information will serve. Regardless of the level of detail, governments should provide audience-specific information.

- Reliable and unbiased. Reporting on performance should be done to communicate facts, not promote an agenda. Performance measurement information that is used strictly as a public relations campaign will ultimately be viewed as unreliable and biased, and therefore it will not be used to inform decision making. In addition, information that is viewed as old is also unreliable, as it may not represent the current situation. The goal of providing information is to empower officials to improve results. Inaccurate, old, or distrusted information will not contribute to improving services.

Case Study

State of Washington Transportation Improvement Board

The Washington State Transportation Improvement Board (TIB) is an independent state agency that makes and manages street construction and maintenance grants to 320 cities and urban counties throughout Washington. TIB uses a performance management dashboard (<http://www.tib.wa.gov/performance/Dashboard/>) to track its business processes and projects and to establish an accurate overview of the agency's performance. TIB built its performance management dashboard in 2003 and has consistently improved business processes and grant project performance ever since. The dashboard provides the public with the same view the executive director has in managing the agency's \$200 million in revenues, which are generated from a portion of the state gas tax. Focusing on dashboard indicators has decreased the length of time it takes for a local government to receive payment from five months in 2001 to just 17 days. Delayed projects dropped by 70 percent, saving millions in public funds due to construction cost inflation. Grant projects from TIB's safety program averaged 19 percent fewer accidents and 30 percent less injuries two years after construction.

Conclusion

This framework was developed in response to the demand from governments for more information about performance management practices, the benefits of implementing performance management systems, and what constitutes performance management. The framework was created to focus attention on performance management as a way of addressing the critical challenges confronting governments today, as described in the foreword to this document, and to persuade government leaders to adopt performance management to deal with these challenges.

Public-sector performance management is constantly evolving. While there is no single, authoritative source for best practices in performance management, there are many examples, some of which appear in this report, of how performance management has helped governments perform better.

This leads us to next steps. First, the commission will support efforts by the organizations that sponsored and contributed to the commission to increase their provision of training, tools, and examples, and practical advice for implementing performance management systems and practices for their members.

Second, in the spirit of the principles articulated in the framework, the commission urges research organizations as well as governments to analyze performance management initiatives and provide evidence of what works in getting better results for the public.

Third, we call on government leaders to use the framework contained in this report to implement or improve their performance management practices, require that performance information be provided to them, and ensure that their governments' managers and staff have the training and resources they need for improving performance.

Glossry of Performance Management Terms

Balanced Scorecard

The balanced scorecard is a management tool originally developed by Robert Kaplan and David Norton. It translates an organization's mission and strategy into a comprehensive set of goals and performance measures organized into four distinct perspectives (categories) that are vital to a healthy and successful organization over the long term. The standard scorecard, measures organizational performance across four perspectives: financial, customers, internal business processes, and learning and growth.

Benchmark

A benchmark is a level of achievement against which organizations can measure their own progress. Benchmarks may be used for comparisons of organizational processes or results against an internal or external standard.

Cascading System

The cascading system of performance measurement represents a formal approach to linking individual and departmental objectives and strategies with organization-wide goals and priorities. Performance measures are linked to goals and objectives in a strategic plan or to key priorities. Goals (and associated measures) may cascade downward, from overarching goals to the goals and objectives of subsidiary units (e.g., departments, divisions, or other subsets), or directly from overarching goals to program goals.

Change Management

Change management is a planned approach for guiding the people in an organization through a business transformation. Most change management approaches focus on preparing for change, managing the change event itself, and reinforcing change. Most change management efforts attempt to avoid resistance to change through understanding causes of resistance and then developing a strategy of communication, education, and motivation methods to create a more successful transition for the organization.

Dashboard

A performance measurement dashboard approach provides timely data to relevant decision makers throughout the organization. The defining characteristic of dashboard systems is that information is simplified and filtered to provide only the most relevant data. Many dashboards convert performance data into charts and graphs or other forms of analysis such as a stop-light analysis.

Evaluation

While performance measurement and reporting provide data to explain what happened, performance evaluation activities attempt to provide answers to questions such as: Why did it happen? How did it happen? Was this the most efficient use of resources? How effective was the intervention? How can we improve on the result?

Gainsharing

With gainsharing, an organization awards bonuses to employees or employee groups that achieve key departmental or organizational objectives at lower-than-budgeted costs. The bonuses are then paid from a portion of the savings. In other cases, the practice extends to revenue-generating and quality-enhancing performance, too.

Goal

A goal is a statement of direction, purpose, or intent that describes the future state of a condition or result to be achieved. Operationally, a goal is a broad statement of what the organization expects to achieve at some point in the future. Although a goal is usually considered to be more broadly defined than an objective, the terms “goal” and “objective” are sometimes used interchangeably in practice.

Indicator

An indicator is a value, characteristic, or metric used to track the performance of a program, service, or organization, or to gauge a condition. Synonymous with the term “measure.”

Managing for Results

Managing for Results is a comprehensive and integrated management system that relies on planning, budgeting, employee management, performance measurement and data collection, and evaluation and reporting to achieve desired results. Managing for Results is another term used to describe the performance management system.

Measure

A measure is a value, characteristic, or metric used to track the performance of a program, service, or organization, or to gauge a condition. Synonymous with “indicator.”

Mission

An organization’s mission will help guide its actions and strategies by identifying the organization’s purpose or core reason for existing.

Outcome

An outcome is the result of a program, service, set of activities, or strategy. It should be used to describe the impact of the service, set of activities, or strategy, not to describe what was done. Outcomes are often identified as immediate, intermediate, and long term. Synonymous with “result.”

Output

An output is unit of a product or service produced through activities and programs (e.g., clients served, lunches served, tons of waste removed, and applications processed).

Pay for Performance

Pay for performance is a broad name for practices that relate to rewarding and/or compen-

sating individuals or teams of employees for achieving performance targets.

Results

A result is the outcome of a program, service, set of activities, or strategy. The term should be used to describe the impact of the service, set of activities, or strategy, not to describe what was done. Results are often identified as immediate, intermediate, and long term. Synonymous with “outcome.”

Stakeholders

Stakeholders could include anyone with direct or indirect involvement in the performance management system and anyone who uses performance information or is affected by the results produced by a government. In this report, stakeholders would most often include employees, supervisors, executives, elected officials, peer organizations, and the public.

Stat System

A Stat system is a performance management technique that includes the regular review of operational data; discussions on whether programs, services, and strategies are performing as expected; and rapid decisions to correct problems.

Strategic Planning

Strategic planning systematically addresses an organization’s purpose, internal and external environment, value to stakeholders, and current and future plans for action.

Target

A desired number or level related to a performance measure. Targets are the performance objectives an organization is striving to reach.

Task System

Task systems encourage the diligent completion of the day’s tasks, given a quality standard, determined to be a fair day’s work. Employees are required to complete the day’s task rather than work a set number of hours. Task systems have been credited with improving efficiency and route completion and reducing overtime.

Vision

An organization’s vision identifies what the organization strives to be. It concentrates on the future, describing its ideal state of existence if all goals and objectives are met.

Appendix: Examples of Performance Management Initiatives

State Performance Measurement Initiatives

State of Florida – Florida Performs

www.floridaperforms.com

On his first day in office, Governor Charlie Crist signed an executive order signaling his commitment to open government in Florida. Part of that commitment was creating an Office of Open Government and developing a Web site to display how government was performing by reporting results of key measures within executive branch agencies. With limited state dollars available, Florida took successful concepts from other states and municipalities while using available personnel and technology to create Florida Performs.

Governor Crist publicly launched this site in November 2007 to provide a window into state government performance with a user-friendly, easy-to-navigate design. The Florida Performs Web site provides a running scorecard of a broad range of measures reflecting trends in key areas deemed important to Florida citizens and policy makers. The site also provides access to any outcome measured by the agencies and links to individual agency performance measurement strategies.

State of Idaho – The Office of Performance Evaluations

www.legislature.idaho.gov/ope/

The Office of Performance Evaluations (OPE), created in 1994, is a nonpartisan, independent office that serves the state Legislature's information needs by conducting performance evaluations of state agencies and programs. The OPE's mission is to promote confidence and accountability in state government through these evaluations. The Legislature uses evaluation findings, conclusions, and recommendations to make policy and appropriation decisions, and agencies use them to improve performance.

Performance evaluations assess whether agencies or programs are complying with applicable laws and legislative intent, and whether services are provided efficiently and in a cost-effective manner, and they determine whether programs and services are achieving intended results. OPE works under the direction of the bipartisan Joint Legislative Oversight Committee (JLOC) and is authorized by statute, which identifies four core functions:

- Conduct performance evaluations and report each evaluation to the JLOC.
- Identify cost savings and opportunities to avoid unnecessary future costs.
- Provide useful recommendations to assist the Legislature in making policy and budget decisions.
- Respond to the Legislature's information needs.

State of Maryland – Maryland StateStat

www.statestat.maryland.gov

StateStat is a performance measurement and management tool, implemented by Maryland Governor Martin O'Malley, that is designed to make state government more accountable and more efficient. The governor modeled StateStat after a successful program called CitiStat that he created while he was mayor of Baltimore. At biweekly meetings, state managers meet with the governor and his executive staff to report and answer questions on agency performance and priority initiatives. Each week, a comprehensive executive briefing that highlights areas of concern is prepared for each agency. Briefings are based on key performance indicators from the customized data templates that participating agencies submit to the StateStat office biweekly. Data is analyzed, performance trends are closely monitored, and strategies for achieving improved performance are developed.

Each week, a comprehensive executive briefing that highlights areas of concern is prepared for each agency.

Maryland was the first state to use a statewide performance measurement system for collecting and displaying information to the public and to policy makers on the Web. The initiative's Web site displays performance data for key public safety, health care, and social services agencies as well as for critical services agencies such as the Maryland Department of State Police; the Department of General Services; the Department of Labor, Licensing, and Regulation; and the Department of Housing and Community Development.

State of Oregon – Oregon Progress Board

www.oregon.gov/DAS/OPB

The Oregon Progress Board is an independent board created by the state Legislature in 1990 to monitor Oregon's 20-year strategic vision, Oregon Shines, and keep it current. The 12-member panel is chaired by the governor and made up of citizen leaders. It is designed to reflect the state's social, ethnic, and political diversity. The primary goals and objectives for the initiative are:

- Help administer and refine the state's performance measure system.
- Regularly assess Oregon's quality of life in ways that policy makers and all Oregonians can trust, understand, and use.
- Prepare to update Oregon's quality-of-life strategic vision in a collaborative way.
- Provide information that will help policy makers strategically align resources toward achieving Oregon's quality-of-life goals.

- Provide excellent customer service to the governor's office, the Legislature, state agencies, and the general public.

Important Note: Due to budgetary difficulties, the Progress Board was not funded for the 2009-11 biennium. However, statutes authorize a separate Progress Board Fund and the Board to enter into an operating agreement with other organizations. The state dashboard is currently housed in and managed by the Department of Administrative Services, and it continues to maintain key components of the initiative and online content, including the online benchmark report generator, the Oregon Population Survey, county data, and the linkages between state agencies' key performance measures and benchmark data.

Commonwealth of Virginia – Virginia Performs

www.vaperforms.virginia.gov

The commonwealth of Virginia's performance measurement program, Virginia Performs, is managed by the Council on Virginia's Future. The initiative tracks the key performance measures of state agencies and provides critical analysis, including state regional comparisons, historical trend analysis, and comparison to national averages. Virginia state government agencies develop and implement strategic and service area plans to help them achieve their long-term objectives and fulfill their missions and mandates.

Agencies measure their performance in four ways: key measures related to their core missions, productivity measures related to the costs associated with core business functions, administrative measures related to critical management and compliance categories, and other measures related to performance and service-area functions. The Web site provides comprehensive access to performance measures and an easy-to-interpret scorecard for each of seven key areas: economy, education, health and family, public safety, transportation, natural resources, and government and citizens.

Executive Office of Health and Human Services (Massachusetts) – EHS Results

<http://www.mass.gov/>

In October 2007, the Executive Office of Health and Human Services for the commonwealth of Massachusetts (EOHHS) began an innovative initiative to build its performance management capabilities as part of a program called EHSResults. The vision of EHSResults is to move the EOHHS toward a performance management culture by identifying cross-agency strategic goals, reporting goal-associated outcome measures, fostering collaborations across agencies, identifying policy opportunities, and encouraging accountability and transparency. To that end, EOHHS built the foundation for performance management using a strategic planning-based cascading system of goals, sub-goals, and outcome measures. It aimed to improve results for Massachusetts residents in four key ways:

- Strategy maps crafted by cross-agency leadership define and internally communicate the most important components necessary to achieve EOHHS goals.
- Performance dashboards track and report progress toward the office's strategic goals by reporting historical and current performance, targets, and explanatory comments.

- Associated performance management activities help embed performance management into other areas of the organization. These activities include fiscal-year strategic planning and tying annual manager performance objectives to strategic goals.
- Public awareness of strategic goals and performance will promote the EOHHS performance management work through its Web site, which is being developed.

The goal structure and outcome data were promoted to users and enthusiastically endorsed by leadership when the reporting dashboard first became available to executive staff. Users were required to log into a shared portal, navigate to results through the goal hierarchy structure, and drill into the underlying data. The EHSResults approach largely relied on the “if you build it, they will come” approach. EOHHS soon realized that some managers resisted this approach and would have preferred to get information in different ways, so it adapted and made the following additions:

- Static, point-in-time summary reports were developed and “pushed” to all users via monthly e-mails.
- Multiple ways of viewing the data were developed so users could see it by both goal hierarchy and agency-specific or unit-specific measures.
- Discussion around the goals and measures was a mandatory agenda item for regularly scheduled executive-level meetings.

The EHSResults experience demonstrates the need to tailor performance information to the targeted audience and to embed performance data into regularly scheduled, day-to-day meetings, not just periodic meetings that address only performance data.

The goal structure and outcome data were promoted to users and enthusiastically endorsed by leadership when the reporting dashboard first became available.

State of Washington – Government Management Accountability and Performance
www.accountability.wa.gov

The state of Washington is a leader in performance measurement and management initiatives. Washington’s Government Management Accountability and Performance program, which won the Council of State Government’s 2008 Governance Transformation Award, works with agencies to develop performance-based reports for the governor. The data included in these reports are used to support focused management decisions in a way that is open and accountable to the public. The governor and her leadership team hold regular public meetings where agency directors report on the most important management and policy challenges they face in achieving results. The meetings are organized around the

governor's highest priorities – including public safety, economic vitality, and protecting vulnerable children – to hold the leaders of multiple agencies accountable for their agencies' results and for initiatives that require the collaboration of multiple organizations.

Local Government Initiatives

City of Columbus, Ohio

www.ci.columbus.oh.us/

The City of Columbus, Ohio, created its Office of Performance Management to give city leaders access to information that would enable them to track performance, document successes, and identify opportunities for improving city services. The program was linked to the Columbus Covenant 2000, the newly elected mayor's strategic plan for achieving his vision of the City of Columbus as the best city in the nation in which to live, work, and raise a family. The cornerstone of the performance measurement initiative is Columbus*Stat, launched in January 2006.

The first step in implementing Columbus*Stat was creating the Office of Performance Management (part of the financial management division) and hiring a chief of staff with performance measurement experience to be the internal champion for the initiative. Office staff comprises a performance management coordinator and three performance management analysts, each of whom consults with an assigned group of departments.

Columbus*Stat was originally modeled after the City of Baltimore's efforts with CitiStat, but it continues to evolve and align itself more closely with the city's culture and needs. Key characteristics of the program include:

- Departments meet regularly in a designated Columbus*Stat room – large departments meet every six weeks, and smaller departments meet every 10 weeks.
- The performance management analyst responsible for each department develops an advance brief so staff members can prepare for the session.
- The Columbus*Stat panel – which includes the mayor, his chief of staff, his director of policy, the financial management division administrator (who supervises the Performance Management Office), and the directors of the finance, human resources, and information technology departments – receive the same briefing documents as staff members.
- Columbus*Stat meetings are seen as problem-solving sessions and a forum for policy discussions based on data reported by departments. Analysts are meant to serve as liaisons with their assigned departments, helping prepare them for the Columbus*Stat meeting. The agenda for the meeting follows the brief closely to avoid surprises, and additional issues that surface are typically tabled for the next meeting to give the department time to prepare.
- The department can also make a presentation on new initiatives, so the meeting has an educational component in addition to its focus on accountability.

Soon after the program was implemented, the city saw noticeable and important cultural changes. Departments and staff are much more aware that they will be held accountable, and as a result, noticeably fewer projects are being left to languish. Cross-departmental projects also appear to be running more smoothly, as they are often discussed in the Columbus* Stat meetings. Departments are increasingly looking at their own performance data for managerial purposes beyond the Columbus*Stat meetings. The process has become crucial, providing the mayor and his staff with an effective tool for gauging departmental performance, tracking effectiveness, and determining which programs present opportunities for improvement or replication. In short, Columbus*Stat has provided the city's leadership with the knowledge it needs to celebrate achievements and address shortcomings.

Performance management in Sarasota County underwent many transformations before reaching its current model.

Sarasota County, Florida

www.scgov.net/

Sarasota County's performance management system underwent many transformations before reaching its current format. The government began with a vision and a mission. Over time, the organization developed strategies and objectives, and key performance measures and targets were aligned to those strategies, which were identified and refined as the model became more sophisticated. These components established the foundation from which the organization produces its business plans and plans its specific business activities.

The county's use of the balanced scorecard approach is reinforced through the county's software, GovMax, which integrates performance management and capital and operating expenses with strategic operations. Like many public-sector organizations, Sarasota County initially struggled to implement private-sector strategic planning (three- to five-year outcome horizon), business planning (12- to 18-month outcome horizon), and performance-based budgeting (12- to 18-month outcome horizon). Initially, the county got bogged down in an exercise of spreadsheet and PowerPoint formats and struggled to stay focused on achieving the progress it wanted. To move forward, the organization chose to reinforce the change by using a new Web-based technology that effectively linked budgets – something everyone valued and was familiar with – to specific strategic, business, performance, and financial outcomes.

The huge cultural changes that resulted from the new performance management system were met with some resistance within pockets of the organization. Some departments found it easier to adopt a new set of tools, a new way of thinking, and the need to learn new skills than others, but it became easier as performance management became engrained in the organization's culture over time. Sarasota County addressed these challenges by applying a variety of human change practices. It developed communication programs, pre-

sentations, and management workshops that highlighted its successes. It also created a multi-level management and leadership development program, transitioned staff members who would not or could not embrace the concepts, and recruited staff members who were well versed in leading business practices. Finally, Sarasota County's leadership was persistent, patient, and committed over a long period of time. Of the many changes, the county has been most successful at staying strategically focused; defining government's core services; determining accurate and reliable costs for services; and aligning those services to meet the public's needs. In addition, the county created a positive relationship with citizens. Operationally, the county is able to more effectively manage time, capital projects, inventory, fleet, work and materials, and service delivery; increase efficiencies; and transparently share information.

City of Minneapolis, Minnesota – Results Minneapolis

www.ci.minneapolis.mn.us/results-oriented-minneapolis

Results Minneapolis, the system of performance management for the City of Minneapolis, is aligned with the city's strategic plan, which includes its long-term vision (Minneapolis 2020), five-year goals and strategic directions, and departmental business plans. The system involves weekly discussions between city leaders and one of the operational departments, focusing on that department's progress and using its key performance measures to guide the discussion. Business planning began in 2003, and each department has produced an annual business plan since 2004. Performance measures are tied to the business plans, which are then aligned with the city's goals and looked at during the Results Minneapolis discussions.

Performance measurement guides good resource allocation decisions, informs citizens, and results in enhanced governance, city management, and relationships with citizens. Through its performance measurement system, the city has demonstrated a focus on outcomes. One example of this is the reconfiguration of department business plans, which now focus on what each department wants to achieve, rather than what they do.

Marathon County's performance management system focuses on logic models and outcome measurement reports.

Marathon County, Wisconsin

www.co.marathon.wi.us/

Marathon County, Wisconsin, continuously evaluates its programs and services against the goal of creating a learning organization that promotes improved quality of services and more efficient service delivery. The county's performance management system focuses on logic models and outcome measurement reports. In addition, the county has developed a mission, vision, and set of core values that all county activities must reflect.

The county did not switch its focus to outcomes, measurement, and improvement all at once. It developed its outcome measurement performance management system slowly, over multiple years. Starting in 2003 and through most of 2004, the county's outcome measurement team, along with all other county departments, received training on developing outcomes and identifying indicators and data measurement tools. In addition, county departments were introduced to the idea of logic models. In 2006, the county began collecting data and established baselines for many county programs and services. Beginning with the 2007 budget, these baselines were incorporated into the budget document and used to measure the success of programs and services. The budget document uses the logic model format to easily explain the relationship between inputs and outcomes.

Marathon County's complex management structure presented a challenge similar to that faced by other complex jurisdictions looking at performance management. Changes were implemented slowly, in an organized and managed process over a number of years, with improvements in later years building on initial successes. In addition, the system relies on having a knowledgeable staff that actively promotes the focus on outcomes. Marathon County identified this as one of its core strategies and places an emphasis on training staff and developing the governance skills of elected officials.

The county developed its system slowly, over multiple years.

To provide leadership from across the county for outcome measurement, the county established an outcome team comprising members of the county's largest departments, representatives from other departments, and members of the finance office. In forming the team, the county realized that while this is an important responsibility for team members, everyone has responsibilities in their home department, as well. To set resource expectations, the county expects team members to dedicate four hours per month to their outcome measurement responsibilities. To support organizational learning and push the county to improve its services, this team has the following tasks:

- Continue education on the principles and benefits of outcome measurement.
- Coordinate training and formulate goals.
- Provide guidance and serve as a resource for other departments.
- Create a problem-solving environment.
- Help create an infrastructure to collect, track, and use data.
- Provide feedback and support for improvements.

Despite the county's small size, limited amount of available resources, and complex political and management structure, performance management has been a huge success. Using a

carefully thought-out implementation schedule and a focus on change management and training, the county was able to change the focus of managers and elected officials to outcomes rather than outputs. In doing so, the county has established a leadership philosophy that aligns the organization with the county's mission, vision, core values, strategy, structure, leadership, and culture.

Metropolitan Government of Nashville and Davidson County, Tennessee

www.nashville.gov/finance/strategicmgt/about_sppm.asp

Beginning in 2003, the Metropolitan Government of Nashville and Davidson County (Nashville) undertook Phase I of its managing for results program. Departments created strategic business plans that were linked to performance budgets. The result was a list of programs and services provided by each department, all linking inputs to results.

Nashville now uses the structure of programs developed in the strategic business plan for the accounting and budgeting system. Selected performance measures included in the budget create a program-structured, performance-informed budget. All budget requests must be accompanied by a statement that addresses the impact of the proposed funding change on the results articulated in the program. This focuses the budget process on the results that are most important for the city to invest its limited resources in.

Nashville also implemented an employee performance management system that integrates employee performance with the operational performance measures identified in their department's strategic business plan. The system allows employees to align their daily duties to the results articulated at the operational and strategic levels of the organization, including the mission of the department.

Maricopa County, Arizona – Managing for Results

www.maricopa.gov/mfr/

In 2000, the Maricopa County Board of Supervisors adopted its Managing for Results policy, which integrates planning, budgeting, reporting, evaluation, and decision making for all county departments. Each department developed a results-oriented strategic plan that provided clear strategic direction and achievable results for the department as a whole and for individual employees. Along with each result is a set of performance measures that gauge the overall success of the plan. The Managing for Results management system allows all Maricopa County employees to make the following statements:

- What we are doing today contributes to our strategic direction.
- We know that what we have done in the past is effective.
- We know how much it costs to deliver our programs effectively and efficiently.

From here, county and departmental leadership can compare organizational and individual performance against set targets. They can then use this information to determine the need for improvement and set any necessary policy changes.

City of Rock Hill, South Carolina

www.ci.rock-hill.sc.us/

www.ci.rock-hill.sc.us/dashboard.html

The City of Rock Hill began featuring performance measures in its annual budget document in 1995. In 2002, the city council began an annual strategic planning program, leading off each calendar year with a retreat to plan the year's priorities. Each third year, the strategic plan is rewritten to address the results of the National Citizen Survey (a uniform survey conducted by National Research Center to help local jurisdictions assess resident satisfaction with community amenities and the provision of government services). Performance measures are then synchronized with the strategic plan to ensure that each individual's efforts are aligned with the overarching organizational initiatives determined by the city's legislative body. Recent revisions to the strategic plan have added reporting elements including a performance dashboard that will be available on the city's Web site to keep all stakeholders aware of Rock Hill's goals and informed about the city's progress. This transparency allows for greater accountability.

The city has learned the importance of alignment. Performance measurement permeates department and divisional goals.

Through this effort, the city has learned the importance of alignment. Performance measurement permeates department and divisional goals. Each divisional goal can be traced back to an organizational strategic initiative, and each goal is relevant to the success of the initiative. Resources are also aligned such that initiatives compete for funding during the budgeting process, and those decisions turn on an initiative's relevance to particular tasks of the plan.

The over-arching organizational initiatives must first be defined and embraced by the leadership of the organization – the elected officials in Rock Hill. The initiatives can then serve as a starting point for all goal setting, measurement, and reporting efforts. These initiatives should cascade down through each department goal, all the way to each employee's performance appraisal and individual goal setting.

City of Redmond, Washington – Budgeting by Priorities

www.redmond.gov/

After years of frustration on all levels (citizens, council, city leadership, and staff), the Redmond City Council insisted on a new budget approach, defined by the city as Budgeting by Priorities. While the incumbent mayor was not supportive, a member of the city council ran for the office of mayor, was elected, and immediately launched the Budgeting by Priorities effort.

Results-oriented measures were part of each budget request.

The stated goals of the effort were to align the budget with citizen priorities, measure progress toward priorities, get the best value, foster continuous learning, and build regional cooperation. To accomplish these goals, the city needed to transform government culture into a unified organization striving to deliver verifiable value to its citizens on the things that mattered to them most.

The city connected each budget request to public priorities using a roadmap developed by teams that spanned the organization and also included a citizen volunteer. Staff interacted with the teams to understand and exchange ideas about how best to structure their budget requests to represent the most value for the dollar being requested.

Results-oriented measures were incorporated into each budget request. These measures were no longer workload indicators, but rather standards of performance, targets, and goals associated with each request. This was a new way to include performance measurement in the city budget.

Out of this process and these discussions came the concept of the value proposition – what is the value to be delivered (relative to the citizen priority) in exchange for the resources being requested? This phrase became a way of describing the focus of Budgeting by Priorities. The value is always to be captured in the outcome measures for each request.

When the budget was presented to the city council, the concept of “value proposition” dominated the workshops. The city council was diligent about making sure the city was pursuing the right results to be achieved, that the measure best captured the purpose of the request, and asking how the data captured for the measure was going to become a resource in the city’s process improvement efforts.

Children’s Services Council of Palm Beach County, Florida
www.cscphc.org/

The Children’s Services Council of Palm Beach County, Florida, is a special taxing district that invests its resources to help children in the county begin life healthy, remain free from abuse and neglect, enter school eager and ready to learn, and thrive in quality after-school activities. In 1986, the citizens of Palm Beach County voted through referendum to impose this special property-based tax to address the widening gap between the growing needs of children and their families and the limited resources available to meet those needs. Eight years later, in 1994, the council took a major step in shifting its funding strategies from problems such as child abuse to positive outcomes, setting itself on a path of disciplined funding decisions to address measurable conditions. The approach focuses on addressing “sentinel outcomes” associated with specific population-level measures. These measures are linked to measurable conditions that demonstrate progress. Based on this approach, the council provides funding for specific practices that are proven to improve the measurable

conditions. For example, a sentinel outcome is healthy birth outcomes. The measure for this is babies born at or above healthy weight, and the outcome is linked to improving early and sustained prenatal care. The council then funds programs proven to have a positive effect, such as home visitation.

This disciplined funding and decision-making model is beginning to turn the tides in Palm Beach County. For example, more mothers are receiving prenatal care earlier, compared to prior years, and outcomes for mothers who participate in Children's Service Council programs are having better outcomes than the countywide average. Moreover, as the organization has been better able to convey what it is funding and why, it has increased its visibility and accountability to county taxpayers.

The Jenks Public School District, Oklahoma *www.jenksps.org/*

The Jenks Public School District received the 2005 Malcolm Baldrige National Quality Award for its performance management efforts. All district-level administrators and principals develop department or site goals and action plans that support the district's goals, key measures (strategic objectives), pillars, core values, mission, and motto (vision). Site and department goals exceed those of the previous year. Continuous improvement is inherent in the systematic approach as a result of developing goals, implementing action plans, reviewing results, and subsequent cycle refinements. The district's continuous improvement system is based on the PDSA Process (plan, do, study, act), which is used to improve performance for teaching, learning, ensuring student achievement, maintaining student and faculty well-being, and supporting process efficiency and effectiveness. By reviewing data related to key measures and strategic objectives, administrators are able to see trends and make any necessary modifications in their respective action plans. In the event of an unanticipated change, the Superintendent meets with the cabinet and other designated administrators to plan processes and strategies that address the situation. In addition, periodic patron and staff surveys are conducted to determine how the district is meeting and/or exceeding the stakeholders' expectations. Administrators ensure evaluation and improvement of processes as well as deployment.

All district-level administrators and principals develop department or site goals and action plans that support the district's goals, key measures, pillars, core values, mission, and vision.

The performance measurement system ties improvement efforts together and links strategic objectives developed in the strategic planning process to the action plans that guide daily operations at the district, building, and classroom levels. Overall, the Jenks Public School

District has used this system to achieve high levels of excellence in its academic programs, extra-curricular activities, staff support, and management of processes.

City of Albuquerque, New Mexico

www.cabq.gov/

The 1973 city charter included language that mandated a link between the annual operating budget and the city's longer-term goals, but no process was established to do so for the first 20 years. Early efforts began in 1994, when the mayor and city council approved a set of community goals and began creating additional ways to link budgets with long-term goals. But as important as it was to establish the city's desired future through goal setting, it was also important to understand current community conditions as measured by specific indicators.

Because the cycle of goal setting, budget alignment, and performance measurement is embodied in law through the city's budget ordinance, the process is sustainable over time and across organizational and leadership changes.

City staff members published the first Albuquerque Progress Report in 1996, based on community indicators of desired conditions. The Indicators Progress Commission (IPC), a citizen volunteer group appointed by the mayor, with approval by the city council, was created in 1998 to strengthen citizen involvement and create a more systematic, repeatable process for developing and measuring city goals and desired conditions. The IPC has published subsequent Albuquerque Progress Reports every four years since 2000.

Community indicators and performance measurements were fully integrated in 2001, when the city's budget ordinance was revised to formally incorporate the citizens' goal development and measurement processes with the city's annual budget and performance measurement processes. Each desired condition measured in the progress report is assessed in three dimensions: the local trend, a comparison with regional and national benchmarks, if available, and whether the citizens' perception of the condition matches the indicator data. The progress report focuses on the state of community conditions, as measured by specific indicators, not what any government or other entity has done to affect a community condition.

The IPC distributes the Albuquerque Progress Report to individuals, businesses, organizations, and other government and nongovernment entities that have a stake and interest in the city's future. The progress report then serves as a starting point for the next cycle. Albuquerque's key stakeholders – its citizens – not only determine what results are desired and needed, but also help measure the community's progress toward achieving the desired

future. Because this cycle of goal setting, budget alignment, and performance measurement is embodied in law through the city's budget ordinance, the process is sustainable over time and across organizational and leadership changes. With this knowledge, city government, with the input of citizens, can efficiently and effectively allocate resources in ways that are important to the citizens and to the future of the community.

Along with the budget, the city aligns individual employee work plans, department program strategies, and annual budgets to a set of citizen-developed goals describing the city's desired future. Managers use the goal statements, desired community conditions, program strategies, service activities, and performance measures as key elements of individual work plans for each employee. Employees understand their personal role in the organization and how their daily efforts contribute to the progress their work group, their department, and the City of Albuquerque is making toward achieving the community's goals.

The ultimate outcome of the project was to institutionalize sustainable mechanisms of citizen-initiated performance assessment into the budgetary and managerial process.

City of Des Moines, Iowa
www.dmgov.org/Pages/default.aspx

The City of Des Moines's history with performance management can be traced back to 1959, when performance measures were used in the city's annual report. More recently, performance measures have been found throughout the budget, but they were largely disregarded because the measures did not provide information about what the public cared about and did not relate to strategic goals. In 1995, the city commissioned a strategic plan based on citizen input and appointed 29 people to a strategic planning committee. Within a year of completing the plan, the city began overhauling the measures in the budget document to report efficiency and productivity measures rather than only workload measures. Despite departmental resistance, the city moved ahead with its performance management plan and began mailing citizens newsletters that included performance data. This allowed for more informed feedback, which led the city to make real changes to its services, including street maintenance.

In 2001, the city created citizen performance teams and participated in a citizen-initiated performance assessment project, funded by the Alfred P. Sloan Foundation, to ensure that performance measures are citizen-based, politically credible, and used by policymakers in decision making. For this effort, the City of Des Moines used technology to complement more traditional methods of gathering feedback, including citizen committees, focus groups, and town meetings, designed to bridge the governance gap between citizens and city officials. The ultimate outcome of the project was to institutionalize sustainable mecha-

nisms of citizen-initiated performance assessment into the budgetary and managerial process of city governments.

Brevard Public Schools, Florida

www.brevard.k12.fl.us

www.brevard.k12.fl.us/ScoreCard/main.html

Brevard Public Schools (BPS) won the 2007 Governor's Sterling Award for its high-level student achievement and excellence in management and operations. For Brevard Public Schools, the key to measurement lies in the strategic planning process. Through strategic planning, BPS creates clearly defined objectives based on the review of data. BPS leadership, along with stakeholders (who were involved via written and verbal submissions, community leader meetings, school board meetings, and other public forums designed to gather input), identify performance measures that align with the organization's mission. When developing measures, BPS uses the following steps:

- **Select.** The organization selects key types of data, based on performance measures that are critical to its mission, and it looks to other high-performing districts to establish benchmarks for success. Parents and other stakeholders give input through written and verbal communication.
- **Collect.** Data and information are gathered through state assessment reporting mechanisms, and through local means, using surveys and formalized reporting processes.
- **Align.** The strategic plan is the organizational plan to which all other plans must align. Individual school improvement plans, the five-year facilities plan, the technology plan, and the other plans developed throughout the organization reflect the goals of the BPS strategic plan.
- **Compare.** The BPS goals and strategic objective measures are benchmarked to peer group and national role models for performance targets to set high expectations for all areas.
- **Execute.** Strategic action plans, projects, and process control systems are implemented and managed to achieve targets.
- **Review.** Those who are responsible for the action steps, senior staff goalkeepers, and the superintendent review the strategic plan action steps and projects quarterly to ensure progress toward meeting the targets.
- **Refine.** Evaluate by comparing performance to outcome targets. Adjust outcomes to raise expectations where goals were achieved or surpassed. If the target was not reached, review action steps to see if the correct root cause was identified. Make adjustments to ensure it continues to meet BPS strategic goals.

Results from BPS's Brevard's performance measurement system are made available to the public through the BPS's data dashboard and scorecard available from the BPS Web site at <http://www.brevard.k12.fl.us>.

