

## City Administrator Report to Mayor & City Council

*September 30, 2016, Edition No. 239*

### WEEKLY UPDATE:

- Council Meeting: For the 10/6 City Council meeting, I understand that we will have three absences due to travel and health. We'll need four for a quorum, so please let me know if you will not be in attendance. Thanks!
- Goals: City Staff will be conducting a goal setting session for October 24th at 8:30am. We will need to be looking at potential dates for City Council's goal session. Potential dates could include 11/3, 11/8 and 11/10 at or around 5PM. In preparation, I have attached the adopted goals from 2015 for your review. A few related items or questions:
  - We have done this internally for several years and discussed previously the benefits of having someone from the outside that works with local governments come in from time to time and conduct a formal goal setting sessions with staff and then council. Is there a benefit in beginning this process in 2016? 2017?
  - Should our goal setting process be an annual or bi-annual process? Is there value in continuing or tweaking the goals from 2015?
  - Staff is preparing a status update on goals and accomplishments for the past year.
  - Please note, this is not intended to elicit discussion (other than the ministerial item of meeting dates), but to elicit some thought about our process.
- Annual Evaluation: It is that time of year again...I have attached the current evaluation form as well as a handbook in evaluations from ICMA. In addition to the current format, I have attached two additional samples (There are numerous others, but I pulled these two from the ICMA website that are used by other communities). Not sure if there is interest in keeping the current format or changing, but I thought I would throw this information out for your review. We will need to set a date for the CA review and two potential dates are 11/17 or 11/15. We have typically held evaluations at 5:30pm prior to council meetings.
- Port: We held a "kick-off" meeting with HDR, City Staff and Kent Corp yesterday on the port study. HDR has begun the work, but it was good to review the process and timelines for completion.
- Iowa League: Attached is a copy of the league's adopted priorities. These will be reformatted, but wanted to ensure you had a copy.
- HVAC: Please see the attached 2016-09-12 A&J Public Safety Building HVAC Additional Cooling Capacity Study for your information.
- IRD: Attached is a copy of the information prepared by the hotel and annually supplied to IEDA as part of the IRD grant.
- CDBG: Please find attached the Monthly Update Report on the CDBG Facade Construction Project provided by Randy Hill.
- Airport: Please find attached the September Monthly Project Report on the Airport Runway Reconstruction Project provided by Randy Hill.

**City of Muscatine**  
**Goals**  
**Adopted December 03, 2015**

**Long-Term Goals**

- Partner with local organizations and governments to combine services or cooperate where feasible and appropriate
- Position the City to address potential shortfalls in revenue due to state and federal mandates and work to leverage local funding with grants
- Work to retain Tax Increment Financing (TIF) as a municipal economic development tool
- Increase community awareness and engagement (Tell Muscatine's story)
- Attract employees that work in Muscatine, but do not live in Muscatine.

**Council and Management Agenda 2015-16**

**Community and Economic Development**

- Evaluate programs and opportunities for economic development
- Market economic development programs
  - Create signage (July 2016)
  - Work with local banks, real estate companies to promote plans and incentives (March 2016)
- Focus on "supply or value chain" business attraction/retentions
- Create an economic development strategic plan targeting key sectors and work with the University of Iowa and Iowa State University to attract business developed on campus.
  - Identify programs and opportunities March 2016
  - Create plan of action by August 2016
- Evaluate creation of port authority and municipal port:
  - Submitted LIFTS Grant: Award early 2016
  - Feasibility Study: Complete 2016
  - Grants 2016: USED/TIGER, USDOT, Others
  - Small Concept/Test Run/Trials 2016
  - Permits: 2016 and 2017
  - Engineering/Design: 2016/17
  - Tentative Construction: 2017/18

**Housing**

- Conduct a housing demand study (July 2016 start date)
- Focus on new housing development in key areas
- Mixed use, starter homes, single family, and downtown (high quality)
- Evaluate and promote opportunities and incentives for infill

## **Programs and Services**

- Complete the rewrite of the 1974 Zoning Ordinance (Adoption 2016)
- Continue to improve in-depth sessions to include departmental reviews

## **Marketing, Communication, and Engagement**

- Develop a marketing plan for the City of Muscatine in cooperation with the Greater Muscatine Chamber of Commerce and Industry (GMCCI), Muscatine School District, Muscatine Community College, Unity Point - Trinity Muscatine, Convention and Visitors Bureau (CVB), Community Improvement Action Team (CIAT), and local industry (Budget March 2016, Hire firm June 2016)
- Enhance the City's updated website and expand the use of social media tools for public communication
- Align technological resources to improve the services provided, information access, and convenience of citizens, organizations, and visitors
- Prepare a city communications plan (March 2016)

## **Continuous Service Improvement.**

- Improve organizational effectiveness and enhance interdepartmental cooperation
- Develop a plan to incorporate community sustainability principles of economic prosperity, environmental integrity and cultural vibrancy into all short and long term planning.
- Bring technology to the field (drive efficiency)
- Work with downtown businesses and residents to create a clean and inviting environment (Winter 2015-2016)

## **Projects, Programs and Placemaking**

- Implement CIP with focus on existing infrastructure
- Mississippi Drive (2016) and Grandview Avenue (2019)
  - Preliminary design and public meetings (2015-16)
  - Property acquisition (2016)
  - Bid (February or March 2017)
  - Construction (2017-18)
- Pearl III (CIAT, IISC, and placemaking projects) – develop and maintain local amenities for residents and that attract/retain a quality workforce
  - Develop marketing and funding plan (CIAT)
- Mulberry Avenue Construction (2016)
- CSO (Multiple phases through 2028), Update financial plan in 2016
- Airport Reconstruction of Primary Runway (2016)
- Art Center HVAC (Envelope and HVAC) (May 2016 Start Date)
- City Hall HVAC and building envelope plan
- Riverfront Master Plan
- WPCP Receiving Station and Waste to Energy Project
- Reforestation



**Very good**

**Average**

**Excellent**

**Poor**

**Good**



# Manager Evaluations

## HANDBOOK

**ICMA**



*Leaders at the Core of Better Communities*

ICMA advances professional local government worldwide. Its mission is to create excellence in local governance by developing and advancing professional management of local government. ICMA, the International City/County Management Association, provides member support; publications, data, and information; peer and results-oriented assistance; and training and professional development to more than 9,000 city, town, and county experts and other individuals and organizations throughout the world. The management decisions made by ICMA's members affect 185 million individuals living in thousands of communities, from small villages and towns to large metropolitan areas.

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## Definition of Terms

- The term *local government*, as used in this handbook, refers to a town, village, borough, township, city, county, or a legally constituted elected body of governments.
- The term *manager* refers to the chief executive officer (CEO) or chief administrative officer (CAO) of any local government who has been appointed by its elected body to oversee day-to-day operations.
- The terms *elected officials*, *elected body*, and *board* refer to any council, commission, or other locally elected body, including assemblies, boards of trustees, boards of selectmen, boards of supervisors, boards of directors, and so on.
- The term *manager evaluation* refers to the appraisal or assessment conducted by the elected body of the manager's performance in achieving organizational goals and implementing policy.

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# Preface

The evaluation of the manager is a key component of any well-run local government, yet the value of a quality evaluation process and the responsibility for that activity is often overlooked. Even in communities that are considered to be professionally governed, the performance evaluation of the local government manager can be an afterthought. The 2012–2013 Executive Board of the International City/County Management Association (ICMA), led by President Bonnie Svrcek, acknowledged the need for local government managers and their elected bodies to put more focus on the manager evaluation process.

Accordingly, it created a task force of managers from around the United States, representing over a dozen communities, to develop a *Manager Evaluations Handbook* that would assist managers and their boards in this critical task.

Managers are encouraged to review this handbook with an eye toward working with their elected bodies to develop formal, mutually agreed-upon processes for their own evaluations. This handbook, however, is also intended to highlight the value of a formal manager evaluation process and to assist local elected officials in the design of an effective evaluation tool.



# Executive Summary

**T**he periodic evaluation of the local government manager by the elected body is an important component of a high-performance organization. The evaluation should contain performance goals, objectives, and targets that are linked to the elected body's established strategic plans, goals, and priorities, and it should focus on the manager's degree of progress toward organizational outcomes. To be fair, it must be based on criteria that have been communicated to the manager in advance. Sample or generic evaluation forms, if used, should be customized to reflect these criteria.

The purpose of the evaluation process is to increase communication between the members of the elected body and the manager concerning the manager's performance in the accomplishment of assigned duties and responsibilities, and the establishment

of specific work-related goals and objectives for the coming year. Thus, all members of the elected body should participate in the process, both by individually completing the rating instrument and by discussing their ratings with the other board members in order to arrive at a consensus about performance expectations.

There is no one correct way to conduct a manager evaluation. The key is to ensure that the evaluation takes place in a regular, mutually agreed-upon manner and is viewed by all as an opportunity for communication between the elected officials and the manager.

It may be useful, particularly if the members of the elected body are inexperienced in the performance evaluation process, to use a consultant to help the elected body prepare for and conduct the manager's evaluation.

# Successful Evaluation Tips<sup>1</sup>

## **Performance evaluations will allow you to**

- A. Recognize the accomplishments of the manager and show appreciation for the unique contributions to the organization
- B. Clearly identify areas where the manager is doing well
- C. Clearly identify areas where the manager can improve his or her performance
- D. Specify definite actions that will allow the manager to make additional value-added contributions to the organization in the future.
- E. Obtain the manager's own opinions on progress and his or her individual contribution to collective actions and achievements.

## **Discussing tasks that the manager performs well**

- Gives the manager insight into self-awareness, interests, and motivation
- Gives the manager recognition and appreciation for achievements
- Creates a positive climate for the remainder of the review.

### **Reminders:**

- Listen intently.
- Reinforce the manager's performance.
- Emphasize facts; provide concrete examples and specific descriptions of actions, work, and results.
- Give only positive feedback during this part of the evaluation.
- Acknowledge improvements that the manager has made.
- Praise efforts if the manager has worked hard on something but failed because of circumstances beyond his or her control.
- Describe performance that you would like to see continued.

## **Discussing areas that need improvement**

- Gives insight into how the manager feels about change, improvement for growth
- Allows you to express any concerns you have about the manager's overall performance and performance in specific areas
- Lets you challenge the manager to higher levels of achievement.

### **Reminders:**

- Keep the discussion focused on performance.
- Describe actions and results that do not meet expectations.
- Describe areas where the manager can make a greater contribution.
- Describe any situation or performance observed that needs to be changed; be specific.
- Tell the manager what needs to be done if a specific change of behavior needs to take place.
- Focus on learning from the past and making plans for the future.
- Keep this part of the discussion as positive and encouraging as possible.

## **Do's and Don'ts**

### **DO:**

- Spend a few minutes warming up in which the agenda is laid out so everyone is reminded about what to expect. Give an overview.
- Always start with the positives. Be specific.
- Explain the ratings in all areas: Talk about how the consensus was arrived.
- Be honest. Tell it like it is.
- Be a coach, not a judge. Managing employees is a lot like being an athletic coach. Effective coaching involves a lot more than just score keeping. Simply providing the score at the end of the game doesn't improve performance.
- Discuss with the manager his or her reactions to the ratings, making clear that you are interested in his or her feelings and thoughts.
- If appropriate, develop an improvement plan that includes areas of deficiency, developmental needs.

### **DON'T:**

- Rate the manager without the facts. Ratings should be on actual results.
- Be too general.
- Sidestep problems. Document performance problems and clearly identify what needs improvement.
- Be vague or generalize the reasons for the performance scores. Clear and specific examples of results should be available.
- Ambush the manager by identifying deficiencies or problems that have never been addressed in informal discussions prior to the formal evaluation.
- Minimize the manager's concerns or discount his or her feelings.

## Introduction

There is some irony in the fact that managers' evaluations are often less formal and less structured than those of the managers' employees. While the manager may oversee the evaluation of hundreds of employees within an organization, his or her own performance evaluation becomes the task of elected leaders who are often not formally trained in the evaluation process or who have narrow or conflicting definitions of good performance. The fact that an elected body with numerous members is charged with the task of evaluating the manager makes the need for a clear and agreed-upon evaluation process even more important. And a thoughtful and structured evaluation process that is supported by all involved parties enhances the ongoing communication that is fundamental to effective board/manager relationships.

A manager's evaluation should contain performance goals, objectives, and targets that are linked to the elected body's established strategic plans, goals, and priorities and should focus on whether the manager has achieved the desired organizational outcomes.

Sometimes the tone of a performance review can be unduly influenced by the manager's last success or failure. Judging performance on the basis of a single incident or behavior is a common problem that can arise in any organization. But a single incident or behavior should not be the sole focus of a performance evaluation. That is not to discount the importance of how a manager handles high-stress, higher-profile issues, which is an important aspect of a manager's responsibility. However, day-to-day leadership, which is also a key responsibility of the manager, can sometimes go unnoticed even though it provides the foundation in which high-stress, high-profile issues are handled.

ICMA has developed a list of [18 Practices for Effective Local Government Management](#) that is recommended to members who are considering their own professional development needs and activities. The core areas represent much of what local government managers are responsible for on an everyday basis, and competency by the manager in these practices is central to an effective, high-performing, professionally managed local government. It is therefore the recommendation of ICMA's Task Force on Manager Evaluations that competency in the [ICMA Practices](#) also be considered in the manager's performance evaluation.

There is no one way, let alone one single correct way, to conduct an effective manager evaluation. This *Manager Evaluations Handbook* will present traditional

evaluation approaches that have proven to be successful, along with some alternative methods that may be good for your local government. Again, the key is to ensure that the evaluation takes place in a regular, mutually agreed-upon manner and is viewed by all as an opportunity for communication between the elected officials and the manager.

## The Purpose of Manager Evaluations

High-performance local governments embrace an ethos of continual improvement. Conducting regular appraisals of the manager's work performance is part of the continual improvement process.

The purpose of the evaluation process is to increase communication between the members of the elected body and the manager concerning the manager's performance in the accomplishment of his or her assigned duties and responsibilities and the establishment of specific work-related goals, objectives, and performance measures for the coming year. The evaluation process provides an opportunity for the elected body to have an honest dialogue with the manager about its expectations, to assess what is being accomplished, to recognize the manager's achievements and contributions, to identify where there may be performance gaps, to develop standards to measure future performance, and to identify the resources and actions necessary to achieve the agreed-upon standards. Keeping the focus on "big picture" strategic goals and behaviors rather than on minor issues or one-time mistakes/complaints leads to better outcomes.

Given that good relationships promote candor and constructive planning, the performance appraisal also provides a forum for both parties to discuss and strengthen the elected body-manager relationship, ensuring better alignment of goals while reducing misunderstandings and surprises. When elected bodies conduct regular performance appraisals of the manager, they are more likely to achieve their community's goals and objectives.

## Basic Process

Ideally, the performance appraisal process for a manager is the natural continuation of the hiring process.

## How to Initiate

Prior to the recruitment of candidates, the elected body typically develops the goals and objectives for

the position of manager. Then, during the selection process, the candidate and the hiring body meet to discuss these items along with the long- and short-term needs and issues of the community. Through these conversations, the basic tenets of the manager's performance evaluation are identified. At this point, the performance appraisal process just needs to be formalized. When the employment offer has been accepted, the employment agreement should include the requirement and schedule for the manager's evaluation.

(Excellent tools for preparing the employment agreement are contained in the [ICMA Recruitment Guidelines for Selecting a Local Government Administrator](#) and the [ICMA Model Employment Agreement](#).)

The employment agreement should stipulate that the performance evaluation will be a written document and that all parties will meet to discuss the contents in person. It should also identify the frequency with which evaluations will take place (e.g., annually, semi-annually). By including this information in the employment agreement, the hiring body ensures that communications between the manager and the elected body will be consistently scheduled, and that initiatives and objectives can be reviewed and updated on a regular basis.

It is especially critical for the elected body to come to consensus on the initial expectations of the newly hired manager so that priorities can be assigned and progress measured. Those issues that were important during the hiring process will logically factor into the initial evaluation process. Then, in the succeeding years, the document can be revised to reflect the latest accomplishments and newest challenges.

Of course, priorities may shift during the year. If that happens, make it clear to the manager that new or changed priorities are being added into the evaluation process.

If, with the passage of time, elections have taken place and the board that is conducting the evaluation is not the same board that did the hiring, it is important that the newly elected officials immediately be introduced to the established performance goals, measures, and evaluation process. This can be done as part of the orientation process for new board members, included in the discussion of the form of government and the role of the manager. If a new member has no experience in conducting performance evaluations, he or she will need to receive training before participating in this process.

If performance evaluations were not discussed during the hiring process, either the manager or the

elected body may request that an evaluation process be instituted, and the specifics for conducting the evaluation can then be agreed upon outside of the provisions of the employment agreement. If the request is made by the elected body, it is important to emphasize that the purpose of the evaluation process is to serve as a tool for organizational improvement, not as a means of punishing the manager or setting the stage for termination. While elected officials, especially those newly elected, may sometimes wish for a change in management, the performance evaluation process should not be used to effect such a change.

## How to Proceed

A number of issues should be considered when preparing for the evaluation process, including how to develop the rating instrument (and whether to use an outside consultant), how to use the rating instrument, and whether the evaluation should be conducted in private or in public.

### ***Developing the Rating Instrument***

Unlike most employee performance evaluations, in which the employee is evaluated by a single executive or supervisor, the manager's evaluation is conducted by a group of individuals acting as a body. As each elected official likely has different expectations, the board members must first come to a consensus on measures and definitions to be used.

***Using a consultant.*** If the members of the elected body are inexperienced in the performance evaluation process, it might be helpful at this point to use an independent consultant to assist in preparing for and conducting the manager's evaluation. A consultant could be used in a variety of ways.

When designing the evaluation instrument, a consultant should solicit each elected official's full participation by asking for examples and details for each rating category. Whether this is accomplished by interviewing each official individually or by facilitating a group session, it is important to ensure that all voices are heard. Use of an independent consultant is especially helpful if there is a lack of cohesion among elected officials.

Once the consultant has collected the information, the elected body and manager should meet in person to discuss the findings. It is recommended that the in-person conversation with the manager to review the evaluation be conducted by the elected body with the assistance of the consultant but not by the consultant alone.

If funds are limited, a consultant could be used in a limited engagement to prepare an evaluation system and then train the elected officials on how to conduct an evaluation, which the officials may manage themselves after the first year.

If the elected body decides to use a consultant, the Society for Human Resource Management (SHRM) may be a source of referrals, as may be state municipal leagues or the local government's regular employment consulting firms. If a recruiter was used to assist with the hiring process, the recruiter's agreement could be extended to include the setup of the initial evaluation process.

It is recommended that the evaluation process NOT be facilitated by the local government's corporation counsel, municipal clerk, or human resources director because these individuals are not independent parties. In almost all cases, their positions have either a reporting or a cooperating relationship with the manager, so involving them in the manager's evaluation may damage relationships that are necessary for the effective and efficient operation of the local government.

***Proceeding without a consultant.*** If a consultant is not used to facilitate the development of the evaluation instrument, the elected body may wish to begin by reviewing the format and process used for the other local government employees and considering the same or a revised method. It is important to understand, however, that a manager is evaluated in additional ways. Because of this key difference, flexibility is needed to add any necessary components intended to assess varied goals and objectives and to facilitate a dialogue between the elected body and the manager.

To be fair, the evaluation must be outcome based, using criteria that have been previously communicated to the manager and that incorporate the elected body's priorities. The use of a prefabricated generic evaluation form (even the sample forms found at the end of this handbook) is not recommended without some customization to reflect these priorities.

### ***Measure observable behaviors and progress toward goals***

The manager's job is to achieve the organization's goals and implement the policies that have been determined by the elected body. Evaluating the manager's effectiveness in achieving the goals necessarily means that the elected body must have determined and communicated the goals to the manager in advance, ideally through a strategic planning process.

The manager's success in achieving the goals set by the elected body is related to his or her competencies and behaviors with respect to the specific functions identified as the responsibility of the manager. Defining the strengths of the manager and identifying areas for improvement are part of the evaluation process. ICMA has a list of 18 core areas critical for effective local government management. While this list, the [ICMA Practices for Effective Local Government Management](#), was developed for the purpose of ICMA's Voluntary Credentialing professional development program, the elected body might find it helpful for identifying the specific observable behaviors to be used in the manager evaluation. It is suggested that the elected body select what it believes to be the most important areas for achieving its goals and evaluate the manager's performance in these areas. The ICMA Practices are as follows ([click here](#) for descriptions):

1. Staff effectiveness
2. Policy facilitation
3. Functional and operational expertise and planning
4. Citizen service
5. Performance measurement/management and quality assurance
6. Initiative, risk taking, vision, creativity, and innovation
7. Technological literacy
8. Democratic advocacy and citizen participation
9. Diversity
10. Budgeting
11. Financial analysis
12. Human resources management
13. Strategic planning
14. Advocacy and interpersonal communication
15. Presentation skills
16. Media relations
17. Integrity<sup>2</sup>
18. Personal development

The members of the board must be in agreement about their expectations of the manager. Furthermore, both the manager and the board must understand what the expectations are.

The performance criteria established by the board for each of the prioritized functional areas need to be specific and observable by the members of the elected



body. If the criteria are quantifiable, they should be expressed in objective, measurable terms. For example, the manager saved 10% on the new project. If the criteria are qualitative and subjective, they can be expressed in terms of the desired outcome. For example, members of the community and employees frequently commented on the manager's fairness during this evaluation period.

### **Using the Rating Instrument**

The usefulness of any performance evaluation depends almost entirely upon the understanding, impartiality, and objectivity with which the ratings are made. In order to obtain a clear, fair, and accurate rating, an evaluator must clearly differentiate between the personality and performance of the manager being rated, making an objective and unbiased assessment on the basis of performance alone. Fairness requires the ability to identify both the strengths and weaknesses of the manager's performance and to explain these constructively to the manager.

When an evaluation is completed by a group of people, it is important that it reflect the consensus opinion of all members. All members of the elected body should participate in the manager evaluation process in order to arrive at a consensus. This consensus can be accomplished by having each member individually rate the manager, followed by a group discussion to arrive at a final consensus rating for each measure. Alternatively, if consensus cannot be reached, each member can individually complete the rating form, and then one member (or the consultant, if one is used) can collect the forms and compile the results and comments into one document, followed by group discussion. It is important that each member's ratings, whether positive or negative, be backed up with specific comments and examples so that the whole group understands the reasoning behind them.

If individual comments—those that do not necessarily represent the sentiments of the elected body as a whole—are to be included in the final document that will be discussed with the manager, the board should decide in advance whether those comments will be anonymous or attributed to the individuals making them.

It is important to keep in mind that performance evaluation is just one part of the communication toolbox between the manager and elected officials. It is intended to enhance that communication, not to result in a periodic written "report card" that is an end in itself. In addition, nothing in the evaluation ought ever

to be a surprise. Ongoing conversations should be held throughout the year (assuming that the evaluation is done annually) to help the manager understand if he or she is on course or if any midseason corrections are necessary. Ideally, the items in the evaluation will have already been touched on in these conversations, so the evaluation will serve as a written summary of them.

### **Public versus private evaluations**

When deciding whether to conduct the evaluation process in a public or an executive/closed session, the elected officials, manager, and legal counsel should review state law. When possible, it is recommended that the performance evaluation process occur in executive/closed session between the elected body and manager; however, many states have specific regulations about whether and when the public may be excluded from attending a meeting involving the elected body or from having access to certain records involving a public employee. Such "sunshine" laws were first created to increase public disclosure by governmental agencies. The purpose is to promote accountability and transparency by allowing the public to see how decisions are made and how money is allocated.

While all states have such laws, the exact provisions of those laws vary. For example, specific legislation may require that all government meetings be open to the public or that written records be released upon request. In many states, all local government records are available for review by the public, including evaluation documents and notes, unless they are specifically exempted or prohibited from disclosure by state statutes.

Regardless of whether the evaluation is conducted in a public or an executive/closed session, each state's statute will dictate certain procedures for meeting notification, recording of minutes, and disclosure of decisions made. These procedures should be reviewed by the elected officials, manager, and legal counsel and followed throughout the evaluation process.

However, all final decisions or actions related to the manager's performance (e.g., employment agreement changes, compensation) should be made in a public setting.

## **Frequency and Timing of Manager Evaluations**

As previously noted, the manager evaluation process, including the frequency and timing of the evaluations, will ideally have been discussed as part of the employ-

### Benefits of executive session/closed meeting to evaluate manager's performance

- Provides a venue for handling issues that are best discussed in private, and ensures confidentiality until a decision is made regarding the manager's performance
- Provides a forum that is not unduly influenced by outside sources
- Promotes a free-flowing discussion of comments by the elected body and manager
- Ensures the respect and privacy of personnel dealings between the elected body and manager
- Improves communication between the elected body and the manager
- Reduces opportunity to politicize the performance evaluation process
- Provides a forum for the elected body and the manager to talk openly about topics that warrant special attention, such as succession planning, senior staff performance, and executive compensation
- Enables elected officials to challenge the manager without fear of undermining his or her authority in the community

### Benefits of an open session/meeting to evaluate manager's performance

- Can build transparency and trust by enabling members of the public to view the process
- Can reduce claims of inappropriate agreements and "secrets"
- Can improve elected body, manager, and citizen relationships

### Benefits of providing a public summary once the process is completed

- Lets the public know how the elected body evaluates and views the manager
- Ensures transparency and public accountability
- Promotes the embodiment of ICMA's commitment to openness in government
- Provides the organization with another opportunity to earn the public's trust

ment agreement at the time of the manager's hiring. It is recommended that the initial formal evaluation not take place until the elected officials and the manager

have worked together for a year; however, short, less formal evaluations are recommended on a quarterly basis. After that, at least one formal evaluation (still with quarterly informal evaluations) should be conducted per year, as longer intervals create a higher likelihood of miscommunication and surprises.

It is further recommended that the formal evaluation be scheduled during the least busy time of year for both the manager and the elected officials, avoiding both the budget preparation season (particularly if the manager's compensation is tied to the evaluation) and the election season (lest the manager's evaluation become an election issue). The scheduling should also allow adequate time for newly elected members of the board to become familiar with the manager's performance.

### Relationship of Evaluation to Compensation

The primary purposes of a manager's performance evaluation are

1. To provide a tool for communication between the elected body and the manager
2. To provide an opportunity for the elected body to specifically indicate levels of satisfaction with the manager on mutually identified and defined performance priorities
3. To provide an opportunity for the manager to learn and improve
4. To allow for fair and equitable compensation adjustments based on a review of performance in achieving mutually identified priorities and on the elected body's level of satisfaction with the manager's overall performance.

Performance evaluations that are tied directly to compensation decisions are often distorted by those decisions and therefore result in less-than-honest communication between the elected body and the manager. This happens primarily because

1. Elected officials wishing to offer upward compensation adjustments may feel obliged to embellish the evaluation in a positive manner to justify the compensation decision to the public.
2. Elected officials not wishing to adjust compensation may feel obligated to justify their decision with negative comments about performance matters that actually are not a major concern to them.
3. The manager may be reluctant to seek full clarification on issues raised in the evaluation for fear it could result in a reconsideration of the compensation decision.

To avoid these distortions in communication, a balanced evaluation is necessary. That is, the evaluation should provide the opportunity for open communication and at the same time be used for compensation decisions related to identified performance achievement and corrective actions by the manager. To this end, a balanced evaluation would

1. Establish a clear set of performance expectations prior to the evaluation period.
2. Include a midterm evaluation without any consideration of compensation in order to focus on clarity of communication and performance to date. This evaluation would allow the manager to take steps to address areas of performance that were of concern to the elected body; it would also help to eliminate misunderstandings and miscommunication between the elected body and manager.
3. Use a full-term evaluation to evaluate the level of performance satisfaction for the entire performance period and thus provide the basis for a fair and equitable compensation decision.

Often, factors other than the performance evaluation form the basis of compensation decisions. These nonperformance considerations include

1. The economic climate of the community and region
2. The general status of compensation decisions in the private sector of the community
3. The compensation decisions for other employees of the local government
4. A general review of the competitive position of the local government in the local government's market area
5. A comparative salary review.

In summary, the performance evaluation of a professional manager can provide input into compensation decisions by the local elected body. However, the communication value of an evaluation is best served by a periodic evaluation not directly tied to compensation.

### **The Evaluation Results**

The evaluation serves as the written, formal record of the conversation between the manager and elected body and consists of two important sections. The first section is the elected body's appraisal of the manager's performance with respect to the previously agreed-upon goals for the period under review as well as the general performance of the organization. The second section contains an agreed-upon list of the

goals to be accomplished during the next appraisal period as well as any specific performance areas identified for improvement.

## **What Others Are Doing: Survey Results**

In developing this handbook, the task force surveyed a sample of local government managers within the United States to obtain information on current evaluation practices. The key findings of the survey suggest that the evaluation process is a problem for a sizeable number of managers. Fortunately, though, most respondents did not report problems with their evaluations and took the time to comment on key aspects of successful appraisals. These comments provide clues to the common pitfalls related to the evaluation process and, more importantly, suggestions for improving the process. This section of the handbook describes these survey findings.

The most common challenges managers and elected bodies face with the evaluation process revolve around four general areas: failure to undertake evaluations, lack of a credible appraisal process, lack of knowledge of the council-manager form of government, and lack of communication. Each of these topics is briefly discussed below.

### **Failure to Undertake Evaluations**

Employee appraisals are a standard feature of most workplaces. They serve as a means of enhancing employee performance as well as the overall effectiveness of the organization. Indeed, employee appraisals serve similar purposes as performance measures of programs and services. In both cases, we seek to identify opportunities for continual improvement. Yet people avoid completing performance appraisals, most likely because properly completed appraisals require time and effort. Other reasons for avoidance may include fear of criticism or the underlying stress associated with the appraisal process. Neglecting to undertake regular performance appraisals, however, can lead to underachievement. Worse yet, failing to complete appraisals on a regular basis can lead to unfounded assumptions that all is well when it is not. It is therefore important to establish a regular pattern of appraisals.

The survey responses identified two methods to help ensure that appraisals are conducted on a regular basis. The most common method is to place a requirement for an annual evaluation within the employment



contract. The requirement should also specify a time of year—often a time that is less busy than others. The other method is to establish an appraisal time at a regularly scheduled annual meeting, such as a board retreat. But while this method achieves the goal of a scheduled appraisal, it is a less satisfactory approach because it may easily dilute the focus necessary for a good appraisal.

## Lack of a Credible Evaluation Process

Another common challenge that survey respondents noted is the lack of a credible evaluation process. Problems include lack of structure, little to no preparation, and limited understanding of appraisals, both purpose and process. Process issues may be addressed through formal training of both the manager and council. Training can be accomplished through work sessions with human resource professionals. Another approach is to team up with CEOs and board members of locally-based institutions that have the same challenge and jointly sponsor training programs. Although not as effective as training, the use of standard evaluation forms, customized to a community's goals, is another way of ensuring a more structured process. Lastly, most managers who are satisfied with their appraisal processes noted that one member of the elected body, typically the mayor, provided active oversight of the process and kept discussions on point and on track.

## Lack of Knowledge of the Council-Manager Form of Government

Lack of knowledge about the community's form of government and/or the day-to-day work of the manager is another factor that was cited as hindering quality appraisals. In this case, providing information as early as possible to newly elected officials about the form of government is recommended. This can include meeting with those officials and discussing the manager's duties and responsibilities as well as taking them on field visits. Another approach is to partner with the statewide municipal league and/or municipal clerks association to provide seminars on the form of government. Managers can also use opportunities such as community functions to inform the general public about its form of government. Some jurisdictions use the "policy governance" model, whereby the explicit roles of the manager, elected body, and

other key staff such as attorney are clearly defined and documented. Removing misunderstandings and filling informational voids about the form of government can greatly improve appraisals because such efforts clarify the duties and responsibilities of both the manager and the board.

## Lack of Communication

Perhaps the most important ingredient for successful appraisals is effective means of communications between manager and elected officials. As in any human relationship, effective communication is key to understanding and removing faulty assumptions. Achieving superior levels of communication requires active listening and regularity. And the benefits of such attention are high. For instance, survey respondents noting the most satisfaction with the appraisal process use a wide variety of means to regularly communicate with their elected bodies. They meet with elected officials on an individual basis and talked with them regularly via telephone. These same managers provide regular written and verbal reports, typically at each board meeting, that discuss the progress on council goals and objectives, strategic plans, and prior evaluation topics, as well as on operational and special topic issues. More detailed reports are provided on a quarterly basis. In addition, many managers meet with their elected bodies more than once a year with a single-issue focus to discuss progress, redefinition, and resourcing of established goals and objectives, strategic plans and efforts, etc. These additional meetings provide time to focus on progress and reduce the probability of end-of-year surprises.

Creating an effective organization takes time and effort. It also requires regular evaluation of services and operations. Evaluating employee performance, especially the manager's, is a vital element of successful organizations. Objective appraisals can be achieved with an accurate understanding of the manager's and elected officials' duties and responsibilities. Communicating regularly and effectively through a variety of means is a vital element of successful organizations and employee appraisals.<sup>3</sup>

## Supplemental Approaches

The basic process for evaluations may be supplemented or expanded by using other tools, such as self-evaluations, periodic check-ins, 360-degree assessments, and conversation evaluations.

## Self-Evaluations

It is recommended that a self-evaluation component be included in whatever type of evaluation is used. The purpose of a self-evaluation is for the manager to reflect upon his or her level of performance in achieving the organizational objectives, including both internal and external accomplishments and challenges in handling specific tasks and taking organizational direction. In a public setting, process and perception can be as important as outcomes, and managers should include all three in a self-evaluation. Thus, a manager's self-evaluation should make clear to elected officials the process by which the manager pursued individual goals, and the perceptions of both the manager and stakeholders of the manager's success or failure in meeting those goals. A manager's self-evaluation should be customized to the needs of each governmental entity.

## Periodic Check-ins

There is a management philosophy that says there should be no surprises during an evaluation. Managers should be continually evaluating, assessing, measuring, and communicating with employees. Providing this type of continuous evaluation is a greater challenge, however, for elected boards because it requires the participation of all board members—since the manager reports to a group and not a single individual supervisor. If a process is in place for formal evaluations of the manager, such evaluations likely occur just once per year. The annual evaluation can be a stressful time for all involved, and it can also be a challenge to remember all that has occurred over the past year. Moreover, it is easy for annual assessments to skew toward recent events, challenges, and successes while deemphasizing activities that occurred nine or ten months ago. In reality, an elected body's perception of a manager's job performance is often viewed through lenses crafted by the “crisis of the day” or by how smoothly the last board meeting went. A more workable alternative is periodic check-ins.

Periodic check-ins, such as once per quarter, can help reduce the stress and minimize the surprises that can come when a manager's performance is evaluated only annually. A periodic review of a manager's work plan can help remind the elected body of the manager's long-term goals (as set by the organization) so that both parties can evaluate the manager's progress toward meeting those agreed-upon goals. If progress on the work plan has slowed down or other challenges have arisen along the way, a quarterly check-in offers the manager

an opportunity to self-reflect on his or her performance as well as a forum to explain delays. It can also provide the manager the opportunity to remind the board of the 18 core areas noted in the [ICMA Practices for Effective Local Government Management](#) that are critical and are part of operating effectively on a day-to-day basis.

A periodic check-in on the manager's work plan is also important when faces on the elected board change, such as after an election, resignation, or reassignment of committees. By apprising the new board members of the manager's work plan, the manager is making certain that the new officials understand and are supportive of the projects or goals that he or she is working on.

## 360-Degree Assessments

Another form of appraisal process is the 360-degree assessment, which is sometimes referred to as a “self-development” tool. Generally speaking, the 360-degree assessment consists of an employee obtaining feedback from supervisors, subordinates, and peers. In this case, the manager completes a self-evaluation as well, with a sample of the workforce providing the subordinate feedback. In some instances, feedback is also obtained from those outside the organization, such as citizens who have frequently worked with the manager and use the jurisdiction's services regularly.

Some jurisdictions include the 360-degree assessment as part of the manager's appraisal process. The ICMA Voluntary Credentialing Program also uses this method as part of maintaining the credential; however, ICMA's assessments ask only behavioral questions. They do not cover progress toward organizational goals.

In most cases a 360-degree assessment is conducted digitally via the Internet. Raters are provided evaluation forms that are returned to an independent third party via the Internet in order to ensure anonymity and confidentiality.

One of the chief benefits of the 360-degree assessment process is that it provides feedback on competencies that are not regularly seen and therefore are not discussed in the typical performance appraisals. For instance, line staff will see behaviors that elected officials do not see and vice versa. Thus, a manager's performance may be improved because it is evaluated from several different perspectives. However, if the 360-degree assessment is used as part of the appraisal process, caution should be taken so that the evaluation doesn't become a measure of the manager's popularity with staff or the public. The manager works for the elected officials and should be evaluated by them on the basis of their stated expectations.

## Conversation Evaluation System<sup>4</sup>

This version of an evaluation is a conversational session between the manager and the elected officials. For situations where there is tension among the elected officials or between the manager and the elected body, a facilitator can be used.

### **Step #1: Create Factors**

The elected officials divide themselves into subgroups—normally an equal number of officials in each. The number of groups should be small, so for a board with 7 members, there would be a group of 3 people and a group of 4 people. With larger boards—say a county board with 20 people—there might be more groups. Where the situation involves a mayor and other elected officials, the mayor can move between the two groups or can be part of one group. The manager makes up his or her own group.

The elected official groups are given a single question that they can respond to with a number of factors: “What should members of the elected body expect of the manager?” The groups place their answers on a flipchart page. The manager also gets a question: “What do you think the elected body ought to expect of the manager?” to which he or she can also respond with a number of factors listed on a flipchart page.

### **Step #2: Reach Consensus on the Factors**

The subgroups come back together and discuss each of the factors they listed. They work to combine their lists to arrive at between 10 and 15 factors.

### **Step #3: Assign Weight Values for the Factors**

The group divides again, and the subgroups assign points to each of the factors from Step #2. They are given a total of 300 points and may assign from 10 to 30 points to each factor, but each factor must be given an even number of points. More points are given to those items that are a higher priority.

### **Step #4: Reach Consensus on Weight Values for the Factors**

The subgroups come back together again with the point values they have from their discussions. During this conversation, the entire group tries to come to a consensus on how the point values from Step #3 should be allocated.

### **Step #5: Assign Rating to Each Factor for the Actual Performance of the Manager**

The elected officials distribute points to each of the factors on a 1–5 scale, on which 5 is far exceeds expectations, 4 is exceeds expectations, 3 is achieves

expectations, 2 is below expectations, and 1 is far below expectations. For example, a 30-point factor would have the following scale:

30–28	Far exceeds expectations (5)
28–26	Exceeds expectations (4)
26–24	Achieves expectations (3)
24–22	Below expectations (2)
22–20	Far below expectations (1)

These points are totaled, and then added to the points from the section below.

### **Step #6: Select Goals**

The board—collectively and in consultation with the manager—comes up with the list of goals for the manager. Together they then assign another 100 points to the goals for the year. So, for example, 50 points could be assigned to Goal #1, Goal #2 could get 20 points, and Goal #3 could get 20 points, leaving 10 points for Goal #4.

The points from the above 5 steps would be added to the 100 points possible from step number 6 and would be totaled for an overall score using the chart below:

400–360	Far exceeds expectations
359–320	Exceeds expectations
319–280	Meets expectations
279–240	Below expectations
239–200	Far below expectations

In summary, this is a conversational evaluation. The evaluators review the factors each year and everybody owns them. From year to year the factors are revised as necessary to reflect the feelings of the elected body, which can change each year.

## Data-gathering/Software Resources

Performance evaluation software can be an effective tool for the elected body to prepare manager evaluations. A wide variety of programs are available, enabling elected bodies to have as much or as little input into the rating categories as they wish. Some programs come with rating categories already provided for a variety of positions, some allow the customer to provide the categories, and some are a hybrid. This flexibility allows the elected officials to create a customized rating tool that works best for them.

Some evaluation software programs allow for multiple raters and some for a single rater. If the program only allows for a single rater, all elected officials convene to discuss each category, agree on the rating, and offer comments, while one elected official enters the rating and comments into the software program. In this case, there needs to be trust among the elected officials that all opinions are being heard and recorded. It is then important that all elected officials review the final draft and offer feedback before it is given to the manager.

If a multiple-rater system is used, elected officials will be completing the evaluation away from the rest of the elected body, so it is recommended that there be group discussion beforehand to ensure consistency in the meaning of the rating categories as in opinions about the manager's performance. The elected officials should also meet after they have entered their ratings because the evaluation *is* a group activity, not a multiple individual activity.

A word of warning regarding the multiple-rater system: It may be difficult to make sure that everyone fully participates in the process. Elected officials won't be informed by each other's comments, and consensus can be hard to achieve. Thus, if some elected officials provide more commentary than others, it could skew the overall evaluation.

Even with the use of performance evaluation software, an in-person conversation between the elected body and the manager is needed to review the evaluation and discuss the results.

As noted above, a wide variety of software programs are available, including

- Online survey tools such as Survey Monkey
- Performance evaluation software (SHRM can recommend)
- NeoGov online performance evaluation module

## Conclusion

Communication. That is the essential element to maintaining a good relationship between an elected board and the appointed manager. Communication comes in many forms, but the board's evaluation of the manager is a formalized method of communication that should not be overlooked.

The task force that was formed to develop this handbook compiled and considered the best practices for manager evaluations. The group shared numerous ideas and learned a great deal from each other. The final product demonstrates that just as each manager and board are unique, so too must be the evaluation process for each manager. While there are common

methods of evaluation, the tools and methods used to evaluate one manager in one community may not be appropriate for another manager in a neighboring community. To maximize legitimacy and effectiveness and to enhance communication, a manager's evaluation needs to be tailored to the issues and stated goals of the elected body.

That said, the task force also agreed that there are some standard elements—notably, the [ICMA Practices for Effective Local Government Management](#)—that would enhance any evaluation. These 18 core competencies are the framework for what a manager does on a day-to-day basis, and they warrant acknowledgment in the evaluation process.

Finally, while this handbook offers a variety of ideas on the manager evaluation process, the most important takeaway is that the evaluation must take place and that the process must be mutually agreed upon. There are many ways to get this done, but the manager and the board both deserve the structured communication that the evaluation provides.

## Sample Evaluation Forms for Local Government CAOs

- [Sample Appraisal of Performance](#)
- [Sample Manager Evaluation Form](#)
- [Sample Manager Performance Evaluation](#)
- [Sample County Administrator Performance Evaluation](#)

## Other Resources

- [ICMA Practices for Effective Local Government Management](#)
- [Recruitment Guidelines for Selecting a Local Government Administrator](#)
- [ICMA Model Employment Agreement](#)
- [ICMA Code of Ethics with Guidelines](#)





## Notes

- 1 Adapted from City Manager Performance Review, Successful Evaluation Tips, City of Mountlake Terrace, WA
- 2 Integrity is not simply concerned with whether the manager's behavior is legal; it also addresses the issue of personal and professional ethics: "Demonstrating fairness, honesty, and ethical and legal awareness in personal and professional relationships and activities." ICMA members agree to abide by the ICMA Code of Ethics.
- 3 Perkins, Jan. "Case Study: It's (Gulp) Evaluation Time." *PM*, July 2005. <http://icma.org/Documents/Document/Document/3602>
- 4 Adapted and used with permission from Lewis Bender, PhD, Professor Emeritus, Southern Illinois University, Edwardsville, [lewibender@aol.com](mailto:lewibender@aol.com)

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**PERFORMANCE EVALUATION  
MUNICIPAL CHIEF EXECUTIVE**

**PLANNING**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

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**ORGANIZING**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

---

**SUPERVISION**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

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**DELEGATION**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

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**TIMING, i.e., opportunist**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

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**FINANCIAL MANAGEMENT**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

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**FORGES COMPROMISES**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

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## **ANALYTICAL**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

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## **SENSITIVITY**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

---

## **COMMUNICATIONS WITH GOVERNING BODY**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

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## **COMMUNICATIONS WITH THE PUBLIC**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

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## **COMMUNICATIONS WITH EMPLOYEES**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

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## **CREATIVE**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

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## **HONEST/FAIR**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

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**ADAPTABLE**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

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**RESILIENT**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

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**HUMOR**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

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## **HIRING**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

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## **RISK MANAGEMENT**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

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## **LEADERSHIP**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

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## **ACCEPTS DIRECTION**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

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## **ETHICAL**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

---

## **JOB KNOWLEDGE**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

---

## **PROFESSIONAL DEVELOPMENT**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

---

## **SUCCESSFUL**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

---

## **OPERATIONAL EFFICIENCY**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

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## **CREDITS GOVERNING BODY**

Unacceptable  
Poor  
Marginally Acceptable  
Acceptable  
Good  
Very Good  
Excellent

Comments:

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**QUALITY OF MUNICIPAL SERVICES** – how well do the direct services provided meet the needs of the community?

	Unacceptable	Poor	Marginally Acceptable	Acceptable	Good	Very Good	Excellent
Street Maintenance							
Police Services							
Fire-EMS							
Parks							
Recreation							
Water and Sewer							
Land Use							
Animal Control							
Construction & Engineering							

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**NEW OBJECTIVES** – list new priorities you think should be emphasized.

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**AREAS IN NEED OF IMPROVEMENT.**

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**STRENGTHS** – list other strengths.

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Signature of Evaluator

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Evaluation Period

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Date

**CITY OF TEMPLE TERRACE****CITY MANAGER EVALUATION****Purpose of Performance Evaluation**

While a performance evaluation is meant to critique the City Manager's performance and what has been accomplished during a given period of time, it is also a communications tool and a learning process whereby the Mayor and City Council and the City Manager can learn more about each other's expectations and where strengths and weaknesses exist in the relationship. Annual evaluations should identify any major differences in direction, miscommunication, or problems before they become critical to the operations of the City of Temple Terrace.

**Form/Format**

There are no perfect evaluation forms or processes and many systems and approaches are used. A performance evaluation should be a thoughtful, effective, sensitive, and positive process.

This evaluation form consists of seven categories totaling 35 questions related to the City Manager's performance. Each question should receive a numerical score from 1 to 5, with a 1 being weak and a 5 being strong. A comment section is included after each category.

Upon completion, the evaluation should be forwarded to the Mayor for compilation and review with the City Manager.

## Relationship With Mayor and City Council

- \_\_\_\_\_ 1. Maintains effective communications, verbal and written, to keep Councilmembers informed of items and events they want and need to be aware of to effectively represent the City.
- \_\_\_\_\_ 2. Provides information to all Councilmembers on an equal basis.
- \_\_\_\_\_ 3. Maintains personal availability to Councilmembers.
- \_\_\_\_\_ 4. Maintains reporting system to Councilmembers of the administration's and staff's current and planned activities.
- \_\_\_\_\_ 5. Plans, organizes, and presents materials for consideration in a clear, comprehensive, and timely manner to enable Councilmembers to make sound decisions.
- \_\_\_\_\_ 6. Effectively communicates with Councilmembers about their concerns and delegates, or follows through, to see that City departments implement appropriate actions.

Comments: \_\_\_\_\_

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## Relationship With Employees

1. Maintains positive employee-employer relations and guides people so they work toward common objectives.
2. Effectively selects, trains, and organizes employees.
3. Addresses personnel problems and takes appropriate action when warranted.
4. Maintains an atmosphere in which employees enjoy working for the City.

Comments:

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## Public Relations

- \_\_\_\_\_ 1. Ensures that City employees who have public contact demonstrate a perception, attitude, and feeling of helpfulness, courtesy, and sensitivity.
- \_\_\_\_\_ 2. Maintains to the public a City image that represents service, vitality, and professionalism.
- \_\_\_\_\_ 3. Effectively handles citizen disputes or complaints.
- \_\_\_\_\_ 4. Maintains sufficient visibility, identity, and availability in the community.
- \_\_\_\_\_ 5. Effectively represents the City Council's positions and policies giving sufficient credit to Councilmembers and assisting in promoting Councilmembers' visibility in the community.

Comments: \_\_\_\_\_

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## Intergovernmental Relations

\_\_\_\_\_ 1. Positively and effectively represents the City and its interests with other governmental jurisdictions or agencies.

\_\_\_\_\_ 2. Maintains effective communications and relationships with other governmental jurisdictions.

\_\_\_\_\_ 3. Keeps Councilmembers advised of new and pending legislation and development.

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## Financial Management

- \_\_\_\_\_ 1. Plans, organizes, prepares, and presents the annual budget with adequate documentation and support information to enable Councilmembers to make informed fiscal policy decisions.
- \_\_\_\_\_ 2. Controls costs by economically using manpower, materials, and equipment.
- \_\_\_\_\_ 3. Provides a system of reports to Councilmembers with sufficient information on the City's current financial status.
- \_\_\_\_\_ 4. Plans, organizes, and administers the adopted budget within approved revenues and expenditures.

Comments: \_\_\_\_\_

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\_\_\_\_\_

**Organizational Management  
Program Development and Follow-Through**

- \_\_\_\_\_ 1. Plans and organizes on-going service delivery systems to assure efficient and effective services to citizens.
- \_\_\_\_\_ 2. Plans, organizes, and follows through on work assigned by the City Council so that it is completed with dispatch and efficiency.
- \_\_\_\_\_ 3. Plans and organizes work involved in researching City Council's program suggestions and reporting the results of the analyses.
- \_\_\_\_\_ 4. Maintains knowledge of current and innovative trends, technologies, and systems provided by local government and incorporates that knowledge into program research and recommendations.
- \_\_\_\_\_ 5. Plans and organizes responses to public requests and complaints or areas of concern that are brought to the Manager's attention.
- \_\_\_\_\_ 6. Anticipates and recognizes future needs and problems and plans accordingly.
- \_\_\_\_\_ 7. Plans and organizes for maximum utilization and maintenance of City-owned facilities and equipment.

Comments: \_\_\_\_\_

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\_\_\_\_\_

## Personal Characteristics

\_\_\_\_\_ 1. IMAGINATION: Does the Manager show initiative, creativity in dealing with issues or problems and create effective solutions?

\_\_\_\_\_ 2. OBJECTIVITY: Is the Manager open to City Council's new ideas and suggestions for change with a rational, impersonal viewpoint based on facts and qualified opinions?

\_\_\_\_\_ 3. DRIVE: Is the Manager energetic and willing to spend the time necessary to do a good job and get the job done?

\_\_\_\_\_ 4. DECISIVENESS: Is the Manager able to reach timely decisions and initiate action without being compulsive?

\_\_\_\_\_ 5. ATTITUDE: Is the Manager enthusiastic, cooperative, interested, and flexible when it comes to performing duties?

\_\_\_\_\_ 6. FIRMNESS: Does the Manager have courage of convictions, being firm when convinced but not stubborn?

\_\_\_\_\_ 7. COMMUNICATIONS: Does the Manager exhibit the proper skills to be easy to talk to; listen to what is being said; respond in a thoughtful, clear, and pointed manner?

Comments: \_\_\_\_\_

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## Summary

Overall

Comments:

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## Suggestions for New Performance Goals and Objectives

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4. 

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\_\_\_\_\_  
Date

\_\_\_\_\_  
Councilmember Signature

City Manager Performance Evaluation

City of \_\_\_\_\_

Evaluation period: \_\_\_\_\_ to \_\_\_\_\_

\_\_\_\_\_  
Governing Body Member's Name

Each member of the governing body should complete this evaluation form, sign it in the space below, and return it to \_\_\_\_\_. The deadline for submitting this performance evaluation is \_\_\_\_\_. Evaluations will be summarized and included on the agenda for discussion at the work session on \_\_\_\_\_.

\_\_\_\_\_  
Mayor's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Governing Body Member's Signature

\_\_\_\_\_  
Date Submitted



## INSTRUCTIONS

This evaluation form contains ten categories of evaluation criteria. Each category contains a statement to describe a behavior standard in that category. For each statement, use the following scale to indicate your rating of the city manager's performance.

**5 = Excellent** (almost always exceeds the performance standard)

**4 = Above average** (generally exceeds the performance standard)

**3 = Average** (generally meets the performance standard)

**2 = Below average** (usually does not meet the performance standard)

**1 = Poor** (rarely meets the performance standard)

Any item left blank will be interpreted as a score of "3 = Average"

This evaluation form also contains a provision for entering narrative comments, including an opportunity to enter responses to specific questions and an opportunity to list any comments you believe appropriate and pertinent to the rating period. Please write legibly.

Leave all pages of this evaluation form attached. Initial each page. Sign and date the cover page. On the date space of the cover page, enter the date the evaluation form was submitted. All evaluations presented prior to the deadline identified on the cover page will be summarized into a performance evaluation to be presented by the governing body to the city manager as part of the agenda for the meeting indicated on the cover page.

## PERFORMANCE CATEGORY SCORING

### 1. INDIVIDUAL CHARACTERISTICS

\_\_\_\_\_ Diligent and thorough in the discharge of duties, "self-starter"

\_\_\_\_\_ Exercises good judgment

\_\_\_\_\_ Displays enthusiasm, cooperation, and will to adapt

\_\_\_\_\_ Mental and physical stamina appropriate for the position

\_\_\_\_\_ Exhibits composure, appearance and attitude appropriate for executive position

Add the values from above and enter the subtotal \_\_\_\_\_ ÷ 5 = \_\_\_\_\_ score for this category

## 2. PROFESSIONAL SKILLS AND STATUS

- \_\_\_\_\_ Maintains knowledge of current developments affecting the practice of local government management
- \_\_\_\_\_ Demonstrates a capacity for innovation and creativity
- \_\_\_\_\_ Anticipates and analyzes problems to develop effective approaches for solving them
- \_\_\_\_\_ Willing to try new ideas proposed by governing body members and/or staff
- \_\_\_\_\_ Sets a professional example by handling affairs of the public office in a fair and impartial manner

Add the values from above and enter the subtotal \_\_\_\_\_  $\div 5 =$  \_\_\_\_\_ score for this category

## 3. RELATIONS WITH ELECTED MEMBERS OF THE GOVERNING BODY

- \_\_\_\_\_ Carries out directives of the body as a whole as opposed to those of any one member or minority group
- \_\_\_\_\_ Sets meeting agendas that reflect the guidance of the governing body and avoids unnecessary involvement in administrative actions
- \_\_\_\_\_ Disseminates complete and accurate information equally to all members in a timely manner
- \_\_\_\_\_ Assists by facilitating decision making without usurping authority
- \_\_\_\_\_ Responds well to requests, advice, and constructive criticism

Add the values from above and enter the subtotal \_\_\_\_\_  $\div 5 =$  \_\_\_\_\_ score for this category

## 4. POLICY EXECUTION

- \_\_\_\_\_ Implements governing body actions in accordance with the intent of council
- \_\_\_\_\_ Supports the actions of the governing body after a decision has been reached, both inside and outside the organization
- \_\_\_\_\_ Understands, supports, and enforces local government's laws, policies, and ordinances
- \_\_\_\_\_ Reviews ordinance and policy procedures periodically to suggest improvements to their effectiveness
- \_\_\_\_\_ Offers workable alternatives to the governing body for changes in law or policy when an existing policy or ordinance is no longer practical

Add the values from above and enter the subtotal \_\_\_\_\_  $\div 5 =$  \_\_\_\_\_ score for this category

## 5. REPORTING

- \_\_\_\_\_ Provides regular information and reports to the governing body concerning matters of importance to the local government, using the city charter as guide
- \_\_\_\_\_ Responds in a timely manner to requests from the governing body for special reports
- \_\_\_\_\_ Takes the initiative to provide information, advice, and recommendations to the governing body on matters that are non-routine and not administrative in nature
- \_\_\_\_\_ Reports produced by the manager are accurate, comprehensive, concise and written to their intended audience
- \_\_\_\_\_ Produces and handles reports in a way to convey the message that affairs of the organization are open to public scrutiny

Add the values from above and enter the subtotal \_\_\_\_\_  $\div 5 =$  \_\_\_\_\_ score for this category

## 6. CITIZEN RELATIONS

- \_\_\_\_\_ Responsive to requests from citizens
- \_\_\_\_\_ Demonstrates a dedication to service to the community and its citizens
- \_\_\_\_\_ Maintains a nonpartisan approach in dealing with the news media
- \_\_\_\_\_ Meets with and listens to members of the community to discuss their concerns and strives to understand their interests
- \_\_\_\_\_ Gives an appropriate effort to maintain citizen satisfaction with city services

Add the values from above and enter the subtotal \_\_\_\_\_  $\div 5 =$  \_\_\_\_\_ score for this category

## 7. STAFFING

- \_\_\_\_\_ Recruits and retains competent personnel for staff positions
- \_\_\_\_\_ Applies an appropriate level of supervision to improve any areas of substandard performance
- \_\_\_\_\_ Stays accurately informed and appropriately concerned about employee relations
- \_\_\_\_\_ Professionally manages the compensation and benefits plan
- \_\_\_\_\_ Promotes training and development opportunities for employees at all levels of the organization

Add the values from above and enter the subtotal \_\_\_\_\_  $\div 5 =$  \_\_\_\_\_ score for this category

## 8. SUPERVISION

- \_\_\_\_\_ Encourages heads of departments to make decisions within their jurisdictions with minimal city manager involvement, yet maintains general control of operations by providing the right amount of communication to the staff
- \_\_\_\_\_ Instills confidence and promotes initiative in subordinates through supportive rather than restrictive controls for their programs while still monitoring operations at the department level
- \_\_\_\_\_ Develops and maintains a friendly and informal relationship with the staff and work force in general, yet maintains the professional dignity of the city manager's office
- \_\_\_\_\_ Sustains or improves staff performance by evaluating the performance of staff members at least annually, setting goals and objectives for them, periodically assessing their progress, and providing appropriate feedback
- \_\_\_\_\_ Encourages teamwork, innovation, and effective problem-solving among the staff members

Add the values from above and enter the subtotal \_\_\_\_\_  $\div 5 =$  \_\_\_\_\_ score for this category

## 9. FISCAL MANAGEMENT

- \_\_\_\_\_ Prepares a balanced budget to provide services at a level directed by council
- \_\_\_\_\_ Makes the best possible use of available funds, conscious of the need to operate the local government efficiently and effectively
- \_\_\_\_\_ Prepares a budget and budgetary recommendations in an intelligent and accessible format
- \_\_\_\_\_ Ensures actions and decisions reflect an appropriate level of responsibility for financial planning and accountability
- \_\_\_\_\_ Appropriately monitors and manages fiscal activities of the organization

Add the values from above and enter the subtotal \_\_\_\_\_  $\div 5 =$  \_\_\_\_\_ score for this category

## 10. COMMUNITY

- \_\_\_\_\_ Shares responsibility for addressing the difficult issues facing the city
- \_\_\_\_\_ Avoids unnecessary controversy
- \_\_\_\_\_ Cooperates with neighboring communities and the county
- \_\_\_\_\_ Helps the council address future needs and develop adequate plans to address long term trends
- \_\_\_\_\_ Cooperates with other regional, state and federal government agencies

Add the values from above and enter the subtotal \_\_\_\_\_  $\div 5 =$  \_\_\_\_\_ score for this category

## NARRATIVE EVALUATION

What would you identify as the manager's strength(s), expressed in terms of the principle results achieved during the rating period? \_\_\_\_\_

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What performance area(s) would you identify as most critical for improvement? \_\_\_\_\_

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What constructive suggestions or assistance can you offer the manager to enhance performance? \_\_\_\_\_

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What other comments do you have for the manager; e.g., priorities, expectations, goals or objectives for the new rating period? \_\_\_\_\_

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## RECOMMENDED 2017 PRIORITIES

**Priorities:** Delegates are asked to approve the policy language below, and this language will be placed in materials to convey the League's broad policy goals for the 2017 Legislative Session. The 2017 Priorities proposed by the League's Legislative Policy Committee were ratified by the League's Executive Board on August 18, 2016 but are not final until approved by League members.

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### **Economic Development**

Increase funding levels for quality of life initiatives and economic development programs such as nuisance abatement, CAT, RECAT, and the derelict building grant program; preserve economic development policies, such as tax increment finance, as flexible tools for economic growth in cities of all sizes; and provide programs and policies that further develop our local workforce to attract economic development to both rural and urban areas and help close the skills gap.

### **Financial Sustainability**

Eliminate unfunded mandates; diversify revenue options available to local governments and protect existing revenue options and the services they support for the taxpayer; and continue to ensure the commercial and industrial property tax backfill.

### **Water and Wastewater Infrastructure**

Advocate for additional funding sources and flexible policies related to water, wastewater, and storm water infrastructure development to meet the demands of increased environmental regulation for cities of all sizes and support a clean water supply and the protection of public health and the environment, including the development of opportunities for partnership with the agricultural community and environmental groups to meet these requirements.

### **Home Rule**

Promote cities as innovation centers and the incubators of ideas; advocate for and sustain Home Rule and its flexibility to make decisions at the local level – where decisions are made closest to the people they impact and can be tailored to fit local conditions, needs, and concerns in order to better serve taxpayers.

### **Public Safety**

Ensure cities have the adequate resources to provide and fund public safety services, including addressing costs under the Municipal Fire and Police Retirement System of Iowa (MFPRS).

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### LEGISLATIVE POLICY COMMITTEE MEMBERS

Andy Lent City Administrator/Clerk   Carlisle	Ann Campbell Mayor   Ames
David Jones City Manager   Ankeny	Donny Hobbs Mayor   Lohrville
Gordon Canfield Mayor   Grinnell	Gregg Mandsager City Administrator/Clerk   Muscatine
Hans Trousil Mayor   West Burlington	Jeffrey Lester City Attorney   Des Moines
Jim Erb (Chair) Mayor   Charles City	Jim Ferneau City Manager   Burlington
John Drury Mayor   Swaledale	John Lundell Mayor   Coralville
Kim Downs City Administrator   Hiawatha	Kris Gulick Council Member   Cedar Rapids
Luke Nelson City Administrator   Norwalk	Matt Walsh Mayor   Council Bluffs
Michael Hansen Mayor   Newton	Michael McCoy Council Member   Clive
Pam Thiele Mayor   Dysart	Scott Peterson City Administrator/Clerk   Lake View
Teri Goodmann Assistant City Manager   Dubuque	Tom Cope Council Member   Johnston



# **City of Muscatine**

**312 E. Fifth Street  
Muscatine, Iowa**

## **Public Safety Building HVAC Additional Cooling Capacity Study**

**A&J #201644.00  
September 12<sup>th</sup>, 2016**

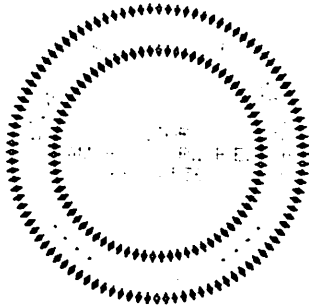
**A&J Associates PC  
365 Beaver Creek Centre, Suite B  
North Liberty, IA 52317  
Phone: (319) 626-4719  
Fax: (319) 626-4941  
vic@ajengineers.net**



City of Muscatine Public Safety Building  
Muscatine, Iowa

**HVAC Additional Cooling Capacity Study**  
A&J #201644.00

I hereby certify that the portion of this technical submission described below was prepared by me or under my direct supervision and responsible charge. I am a duly Licensed Professional Engineer under the laws of the State of Iowa.



Printed or typed name  
Victor Amoroso Jr.  
Discipline - Mechanical Engineer  
Reg. No. 10536 IA

Victor Amoroso Jr.  
Signature

My license renewal date is December 31, 2017.

Pages or sheets covered by this seal:  
Mechanical Portions

Date issued: 9/12/2016



**HVAC Additional Cooling Capacity Study**  
A&J #201644.00

**Executive Summary**

The existing geothermal field for the City of Muscatine Public Safety Building has a calculated 44.5 tons of cooling capacity. The geothermal field has less calculated heat absorption capacity than the heat rejection from heat pumps in the cooling mode. The heat rejection is listed as 49.1 tons. Due to the building's 24 hour operation year round, the Public Safety Building geothermal field HVAC system cannot take advantage of occupancy schedules to allow the geothermal field to "catch up" and dissipate the heat during off hours when the building cooling load is reduced. This results in geothermal field temperatures slowly rising during peak cooling demand until the loop temperature exceeds the upper limits of the water to water heat pumps operating range. This "high" loop temperature reduces heat pump functionality over a longer period of continuous hot and humid weather.

There is no available real estate nearby the Public Safety Building to expand the geothermal field. The field was initially installed under the parking lot using all available locations for the city geothermal field. Since no more wells can be added, measures should be taken to reduce the cooling load on the geothermal field.

Measures should include the following:

- a. Reduce the cooling provided by the existing chilled water cooling coil in the air handling unit. This will reduce the cooling demand on geothermal water to water heat pumps.
  - b. Reduce the total cooling demand on the heat pumps to reduce the heat rejection to the geothermal loop.
- I. A&J has explored the following options:
- A. Installing a slipstream air cooled chiller on the return chilled water side to reduce the temperature of the return chilled water to the heat pumps. This option removes cooling demand from the geothermal loop and prevents the geothermal field from overheating.



**HVAC Additional Cooling Capacity Study**  
A&J #201644.00

- B. Installing mini-split ductless air conditioning systems in selected areas to replace cooling capacity provided by the air handling unit. This will reduce the load on the geothermal loop and also the air handling unit.
  - C. Installing a combination of mini-split systems and an air cooled chiller. This is a “hybrid” geothermal/conventional HVAC system.
  - D. Switching a few water to air heat pumps to the return chilled water from the geothermal loop for heat rejection/absorption.
  - E. Change piping and controls to use the geothermal loop to generate hot domestic water as the primary source, not the backup source.
- II. The following is a listing of the benefits and disadvantages for each option.
- A. Installing slipstream air cooled chiller (regardless of capacity)
    - 1. Advantages
      - a) Installing a slipstream air cooled chiller will take load off of the geothermal field by reducing cooling load on the existing heat pump modules (Multistack units).
      - b) This option will add a bit of redundancy to the existing heat pump system should the water to water heat pump experience equipment failure that results in reduced heat rejection capacity. The amount of redundancy depends on the cooling capacity of the slipstream chiller installed.
      - c) A&J estimates that a 20 ton chiller will provide enough redundancy to replace “lost” cooling should one (1) water to water heat pump module fail.
    - 2. Disadvantages
      - a) The slipstream air cooled chiller still relies on the single air handling unit to deliver the cooling. Loss of a fan motor or fan variable frequency drive will result in total loss of cooling capability provided by the air handling unit.
      - b) The slipstream air cooled chiller does not reduce the cooling load on the air side of the air handling unit.



## HVAC Additional Cooling Capacity Study

A&J #201644.00

### B. Installing ductless mini-split air conditioning systems.

#### 1. Advantages

- a) Mini-split systems can be placed in critical areas such as the sleeping/recreational areas and areas of high cooling demand.
- b) Equipment space required is relatively low compared to a ducted air handling system.
- c) The de-centralized nature of the mini-split systems makes it a good method for adding redundancy as it does not rely on the central air handling unit, ducted system, water to water heat pump, or the geothermal loop heat exchanger to function.

#### 2. Disadvantages

- a) Due to the compartmentalized nature of the building, the existing air distribution system, and the lack of large open areas, even strategically placed mini-split systems will only reduce the cooling load on the air handling unit by approximately 10-15%. This is not enough cooling load relief, in our opinion to bring the geothermal loop field capacity into equilibrium with the building cooling demand.
- b) The mini-split systems alone will not completely solve the problem of the geothermal field cooling overloading because not enough cooling demand is removed from the geothermal loop.
- c) As a result of these significant shortcomings, A&J is not investigating options involving only mini-split systems any further.

### C. Installing a combination of mini-split systems and an air cooled chiller (hybrid system)

#### 1. Advantages

- a) Mini-split systems add cooling and heating redundancy in case of the centralized air handling unit fails. There is no reliance on the single air handling unit or the heat pump system to provide all of the building heating or cooling.
- b) The mini-split systems add additional capacity in spaces with additional cooling demand.



## HVAC Additional Cooling Capacity Study

A&J #201644.00

- c) The slipstream air cooled chiller provides additional cooling capacity and is primarily responsible for reducing the cooling demand on the existing heat pumps and the geothermal field.
    - d) The slipstream air cooled chiller provides redundancy in case of a water to water heat pump module failure. The amount of redundancy depends on the cooling capacity of the slipstream chiller.
  - 2. Disadvantages
    - a) Neither the air cooled chiller or the mini-split systems will provide sufficient capacity to maintain all building temperature set points should there be a major HVAC malfunction such as an air handling unit fan or a total heat pump failure (affecting all modules). However, it was never the design intent to provide completely redundant cooling capacity.
- D. Switching water to air heat pumps to the return chilled water for heat rejection/absorption from the geothermal loop.
- 1. The existing water to air heat pumps are connected directly to the geothermal loop and rely on the geothermal loop to be within the operating temperature range of the heat pumps in order for them to function. The geothermal field loop temperature has exceeded the operating temperature limit of the heat pumps numerous times causing the heat pumps to shut down.
  - 2. The return chilled water will provide more stable temperatures within the water to air heat pumps operating range. The return water temperature can also be more easily controlled to be within the heat pump operating range.
  - 3. This modification should be made regardless of which option is taken to reduce cooling load on the geothermal loop.
- E. Make the geothermal water to water heat pumps the primary supplier of domestic hot water.



**HVAC Additional Cooling Capacity Study**  
A&J #201644.00

III. Estimate probable construction costs

A. Installing a 20 ton water cooled slipstream chiller.

1. A&J estimates that the total project cost for installing a 20 ton cooling capacity chiller to be between \$28,545 and \$47,575. Refer to cost estimate attached for detailed cost breakdown.

B. Installing a 10 ton capacity air cooled chiller with remote heat exchanger, and three (3) 3 ton capacity ductless mini-split system ductless heat pumps (9 tons heat pump cooling capacity).

1. A&J estimates that the total project cost for installing a hybrid system consisting of an air cooled chiller at 10 tons and three (3) mini-split systems at 9 tons to be between \$70,540 and \$117,560. Refer to cost estimate attached for detailed cost breakdown.

C. Installing a 20 ton capacity water cooled chiller and three (3) 3 ton capacity ductless mini-split systems. This is a hybrid system with a larger chiller that will provide enough redundancy to cover one water to water heat pump module failure.

1. A&J estimates that the total project cost for installing a hybrid system with the 20 ton water cooled chiller would cost between \$66,290 and \$110,480. Refer to cost estimate attached for detailed cost breakdown.

IV. Recommendations

A. Based on the 24/7 operation of parts of the public safety building and the apparent need for some component redundancy, A&J recommends Option C above.

1. One nominal 20 ton slipstream water cooled chiller.
2. Three 3 ton ductless mini-split heat pumps that are air cooled.

Estimate of Probable Mechanical and Electrical Construction Cost				A&J #201644.00
City of Muscatine Public Safety Building				
12-Sep-16				
Item	Quantity	Unit	Unit Price	Total
<b>Option A - Air Cooled Chiller Only</b>				
<b>Mechanical Items</b>				
Trane 20 ton Air Cooled Chiller W/ Remote HX	1	EA	\$22,800	\$22,800
Air Cooled Chiller Installation	40	HR	\$50	\$2,000
Crane Lifting	1	LUMP	\$1,500	\$1,500
Demolish existing glycol feed tank	1	EA	\$300	\$300
Disconnect existing heat pumps from geothermal loop	1	LUMP	\$500	\$500
Connect existing heat pumps to chilled water return	1	LUMP	\$700	\$700
Test and Balancing	1	LUMP	\$6,000	\$2,000
Sub-Total Mechanical				\$29,800
<b>Electrical Items</b>				
Air Cooled Chiller, 208/3/60. Includes disconnect switch at chiller, motor connection, and feeder to chiller from panel in Third Floor Mechanical Room.	1	EACH	\$1,800	\$1,800
Outdoor Unit -208/3/60. Includes NEMA 3R disconnect switch at heat pump, motor connection, and feeder to heat pump from panel in Third Floor Mechanical Room.	1	EACH	\$2,100	\$2,100
Disconnect power connection for Glycol Feed Tank	1	EACH	\$150	\$150
Disconnect power connection for Existing Heat Pump	1	EACH	\$150	\$150
Reconnect Existing Heat Pump, extend existing feeder to new location	1	EACH	\$600	\$600
Sub-Total Electrical				\$4,800
<b>Option A Total</b>				<b>\$34,600</b>



<b>Option B - Combination 10 ton Air Cooled Chiller w/ Remote Heat Exchanger and Heat Pumps</b>				
<b>Mechanical Items</b>				
<b>Item</b>	<b>Quantity</b>	<b>Unit</b>	<b>Unit Price</b>	<b>Total</b>
Mitsubishi P Series 3 ton Indoor Ceiling Cassette PLA-A42BA6	3	EA		
Mitsubishi P Series Single Zone 3 ton Outdoor Unit PUZ-A42NHA6	3	EA		
MPLS385812T-100 Refrigerant Line Set	3	EA		
MHK1 Backlit Wireless Remote Controller	3	EA		
Mitsubishi Equipment Package				\$23,100
Heat Pump Installation	75	HR	\$50	\$3,750
Crane Lifting	1	LUMP	\$2,000	\$2,000
Trane TTA180 Air Cooled Chiller w/ remote heat exchanger (10 ton capacity)	1	EA	\$30,250	\$30,250
Air Cooled Chiller Installation	30	HR	\$50	\$1,500
Demolish existing glycol feed tank	1	LUMP	\$200	\$200
Disconnect existing heat pumps from geothermal loop	1	EA	\$500	\$500
Connect existing heat pumps to chilled water return	1	LUMP	\$700	\$700
Test and Balancing	1	LUMP	\$4,500	\$4,500
Sub-Total Mechanical				\$66,500
<b>Electrical Items</b>				
Air Cooled Chiller, 208/3/60. Includes NEMA 3R disconnect switch at chiller, motor connection, and feeder to chiller from panel in Third Floor Mechanical Room.	1	EACH	\$2,100	\$2,100
Outdoor Unit -208/3/60. Includes NEMA 3R disconnect switch at heat pump, motor connection, and feeder to heat pump from panel in Third Floor Mechanical Room.	3	EACH	\$2,100	\$6,300
Indoor terminal unit - 208/230, 1 phase, 60 Hz, feed from associated heat pump. Includes motor connection, disconnect switch at unit and feeder to associated heat pump.	6	EACH	\$750	\$4,500
Disconnect power connection for Glycol Feed Tank	1	EACH	\$150	\$150
Disconnect power connection for Existing Heat Pump	1	EACH	\$150	\$150
Reconnect Existing Heat Pump, extend existng feeder to new location	1	EACH	\$600	\$600
Install new circuit breaker panel in Third Floor Mechanical Room for power feeders to new heat pumps. Includes new circuit breaker at electrical service in Basement and panel feeder from Basement to new panel in Third Floor Mechanical Room.	1	EACH	\$5,200	\$5,200
Sub-Total Electrical				\$19,000
<b>Option B Total</b>				<b>\$85,500</b>

<b>Option C - Combination 20 ton Air Cooled Chiller and Heat Pumps</b>				
<b>Mechanical Items</b>				
<b>Item</b>	<b>Quantity</b>	<b>Unit</b>	<b>Unit Price</b>	<b>Total</b>
Mitsubishi P Series 3 ton Indoor Ceiling Cassette PLA-A42BA6	3	EA		
Mitsubishi P Series Single Zone 3 ton Outdoor Unit PUZ-A42NHA6	3	EA		
MPLS385812T-100 Refrigerant Line Set	3	EA		
MHK1 Backlit Wireless Remote Controller	3	EA		
Mitsubishi Equipment Package				\$23,100
Heat Pump Installation	75	HR	\$50	\$3,750
Trane 20 ton Air Cooled Chiller W/ Remote HX	1	EA	\$22,800	\$22,800
Crane Lifting	1	LUMP	\$2,000	\$2,000
Air Cooled Chiller Installation	40	HR	\$50	\$2,000
Demolish existing glycol feed tank	1	LUMP	\$200	\$200
Disconnect existing heat pumps from geothermal loop	1	EA	\$500	\$500
Connect existing heat pumps to chilled water return	1	LUMP	\$700	\$700
Test and Balancing	1	LUMP	\$4,500	\$4,500
Sub-Total Mechanical				\$59,550
<b>Electrical Items</b>				
Air Cooled Chiller, 208/3/60. Includes disconnect switch at chiller, motor connection, and feeder to chiller from panel in Third Floor Mechanical Room.	1	EACH	\$1,800	\$1,800
Outdoor Unit -208/3/60. Includes NEMA 3R disconnect switch at heat pump, motor connection, and feeder to heat pump from panel in Third Floor Mechanical Room.	4	EACH	\$2,100	\$8,400
Indoor terminal unit - 208/230, 1 phase, 60 Hz, feed from associated heat pump. Includes motor connection, disconnect switch at unit and feeder to associated heat pump.	6	EACH	\$750	\$4,500
Disconnect power connection for Glycol Feed Tank	1	EACH	\$150	\$150
Disconnect power connection for Existing Heat Pump	1	EACH	\$150	\$150
Reconnect Existing Heat Pump, extend existing feeder to new location	1	EACH	\$600	\$600
Install new circuit breaker panel in Third Floor Mechanical Room for power feeders to new heat pumps. Includes new circuit breaker at electrical service in Basement and panel feeder from Basement to new panel in Third Floor Mechanical Room.	1	EACH	\$5,200	\$5,200
Sub-Total Electrical				\$20,800
<b>Option C Total</b>				<b>\$80,350</b>

Estimate of Probable Project Cost

City of Muscatine  
Public Safety Building  
#201644.00

Option	Low Construction Cost (2)	Mean Construction Cost	High Construction Cost (3)	Low Soft Costs (1)	Mean Soft Costs (1)	High Soft Costs (1)	Low Project Costs	Mean Project Costs	High Project Costs
Option A	\$25,950.00	\$34,600	\$43,250.00	\$2,595.00	\$3,460.0	\$4,325.00	\$28,545.00	\$38,060.00	\$47,575.00
Option B	\$64,125.00	\$85,500	\$106,875.00	\$6,412.50	\$8,550.0	\$10,687.50	\$70,537.50	\$94,050.00	\$117,562.50
Option C	\$60,262.50	\$80,350	\$100,437.50	\$6,026.25	\$8,035.0	\$10,043.75	\$66,288.75	\$88,385.00	\$110,481.25

Option A 20 tons Air Cooled Chiller Only

Option B 10 tons Air Cooled Chiller + 9 tons of Heat Pumps

Option C 20 tons Air Cooled Chiller + 9 tons of Heat Pumps

1. Soft Costs include cost of permit, contractor's insurance, and engineering design fees.
2. Low construction costs is mean construction cost -25% to account for unforeseen changes to design (less demolition, reuse equipment, easier way to accomplish goal)
3. High construction cost is mean construction cost +25% to account for unforeseen changes to design (more demolition, inflation, difficult working conditions)

NOTE: USDA loan was reduced to \$20M from \$21M. However, USDA released the TIF and IRD rebates allowing these funds to be used to obtain the additional \$1M. USDA has recently released these funds and we are beginning the process of working with the local area banks to acquire the additional \$1M loan.

e. The amount of bonds issued or other indebtedness incurred for each project described in paragraph "a", including information related to the rate of interest, length of term, costs of issuance, and net proceeds. The report shall also include the amounts and types of moneys to be used for payment of such bonds or indebtedness.

Currently the project's only debt incurred is the \$350,000 MMRLF.  
USDA loan is expected to be enacted around Q1 2017.  
Final \$1M will be enacted around Q3 2017.

Information provided should be the most recent that is available.

**CERTIFICATION OF ACCURACY:**

I hereby certify that the information presented to the Iowa Economic Development Authority on the date indicated below is fully complete, true, and correct. I understand that it is a criminal violation under Iowa law to engage in deception and knowingly make, or cause to be made, directly or indirectly, a false statement in writing for the purpose of procuring economic development assistance from a state agency or subdivision, as provided in Iowa Code section 15A.3 and other applicable law.

I further depose that the signature below is my own proper signature and that I have the authority to submit this information on behalf of the Recipient.

**Prepared By:**

Name: Rebecca Haxe Phone # 770-630-8414  
Title: President, Riverview Hotel Development  
Signature: [Signature] Date 9/27/16  
E-Mail Address rhaxe@riverviewhotelden.com

**Authorized Signatory:**

Name: Gregg Mandsaga  
Title: City Administrator  
Signature: [Signature] Date 9/29/16

## Reinvestment District 2016 Annual Report

**Recipient: Merrill Hotel & Conference Center**

Please provide the following:

The status of each project undertaken within the district in the previous twelve months, including whether construction has begun on any project in the district or when the start of construction is anticipated and a summary of developer spending on projects within the district.

The Merrill Project is current in the construction phase of the project. (See Exhibit A – Project Timeline). Construction timelines to date have been met. Complete turnover of building is expected on Dec 1 2017. However through some efficiency management it is our expectation to at least be partially open by Sept 15, 2017. This partial opening, if necessary, will require a TCO (temporary certificate of occupancy) and be fully operational from a fire and safety standpoint. At this time, the project is currently 3 weeks ahead of schedule. The project remains within budget.

- a. An itemized list of expenditures from the municipality's reinvestment project fund in the previous twelve months that have been made related to each project being undertaken within the district.

See exhibit B – IRD Detail Budget

- b. The amount of the total project cost remaining for each project being undertaken within the district as of the date the report is submitted.

Total amount of this project cost of this project remains at \$41,550,000.

- c. The amounts, types, and sources of funding used for each project described in paragraph "a".

Current sources of funding include:

Equity:

HIF	\$12,000,000
Friendship Windows	\$ 4,000,000
MHI Fund	\$ 2,000,000
Kent Corp	\$ 2,000,000

Grant

HNI	\$ 200,000
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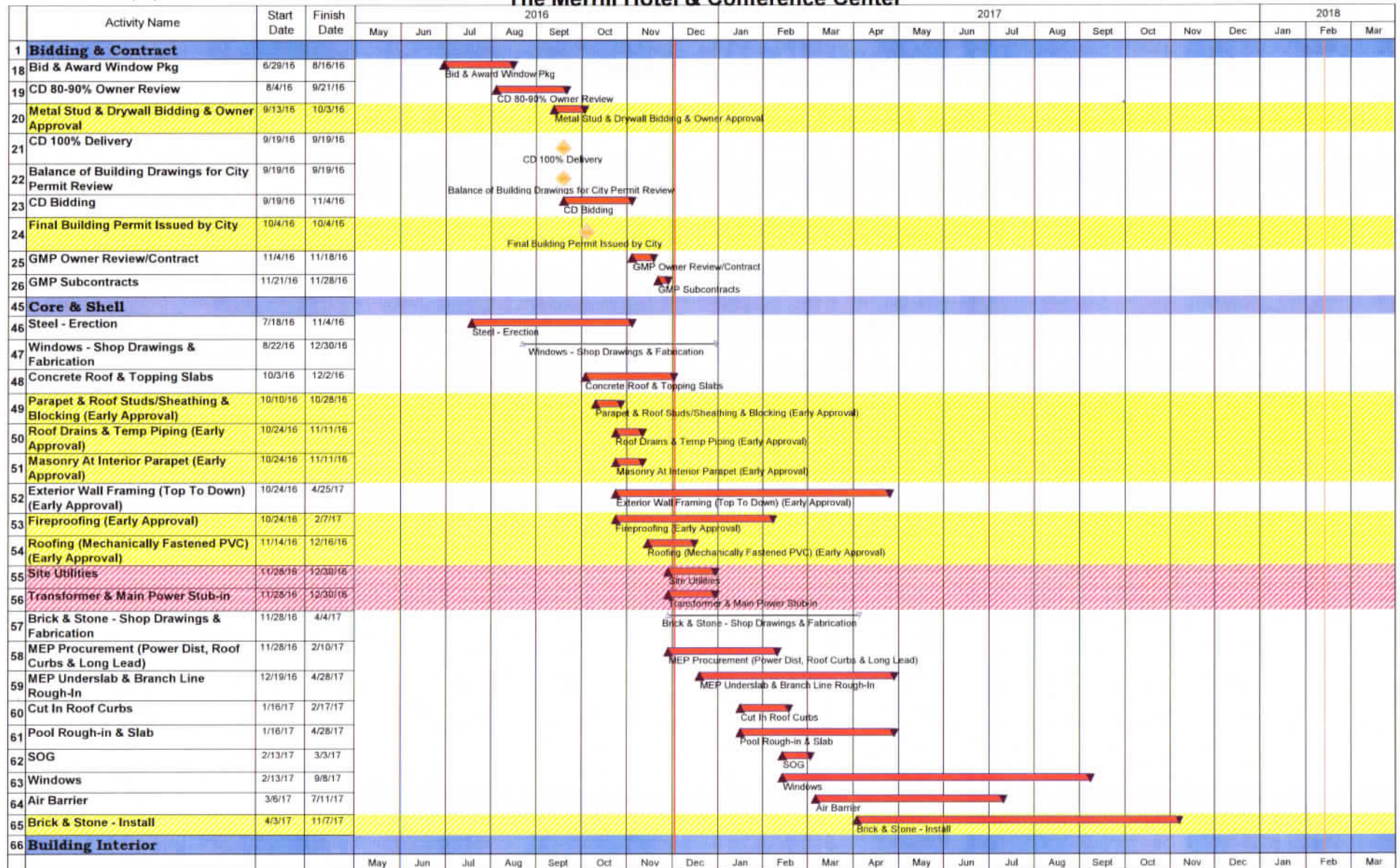
Debt

USDA Loan	\$20,000,000
TIF/IRD Backed Loan	\$ 1,000,000
MMRLF	\$ 350,000

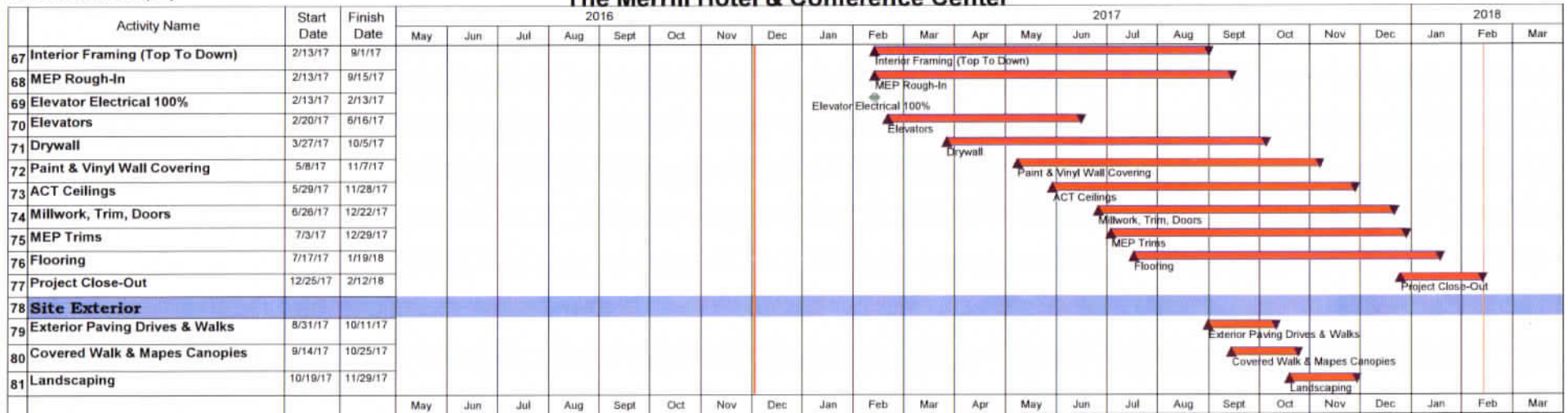
**Total Funding: \$41,550,000**



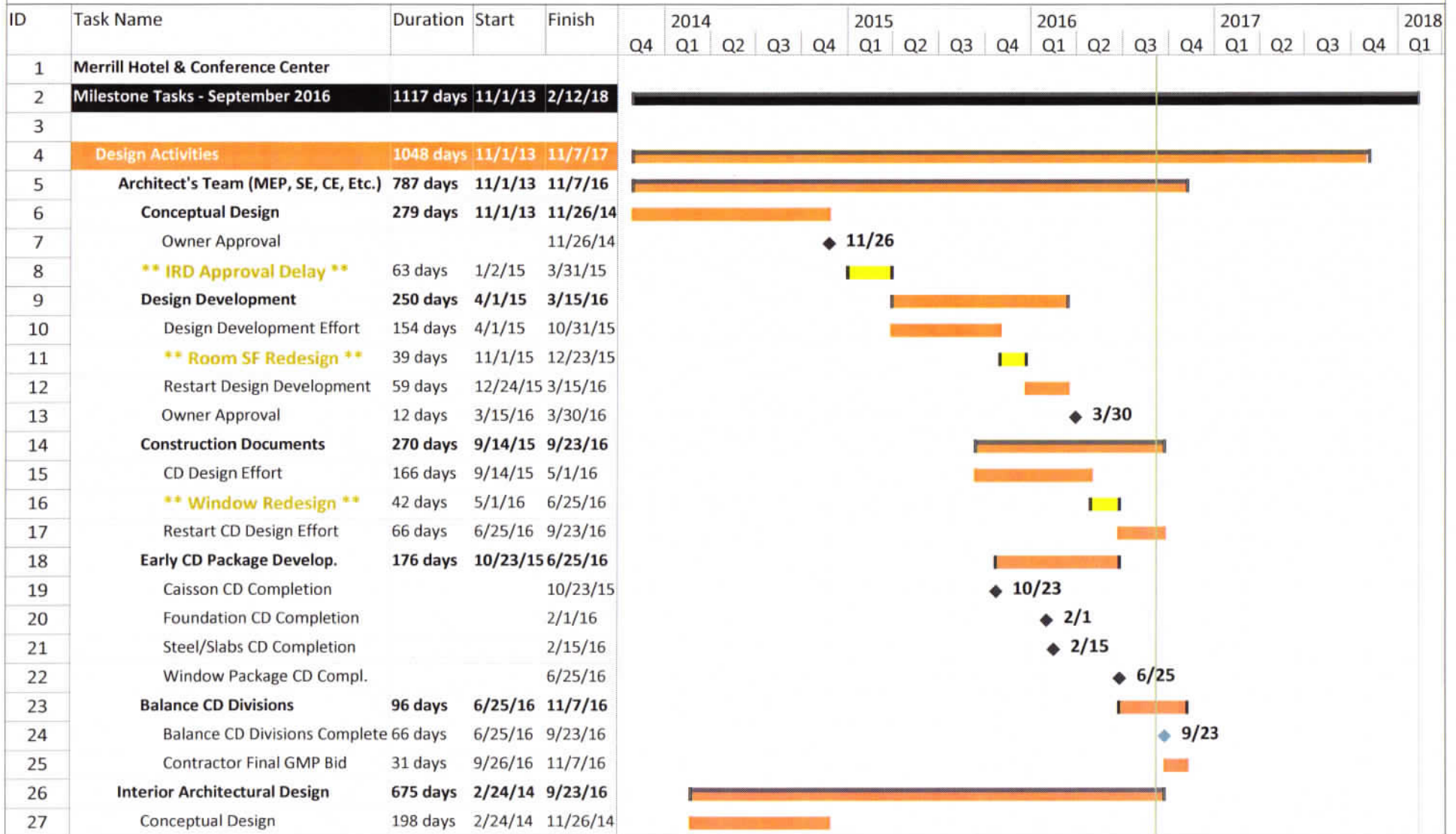
## The Merrill Hotel & Conference Center



## The Merrill Hotel & Conference Center



Merrill 90% CD Milestone Project Schedule  
September 2016  
\*\*\*DRAFT\*\*\*

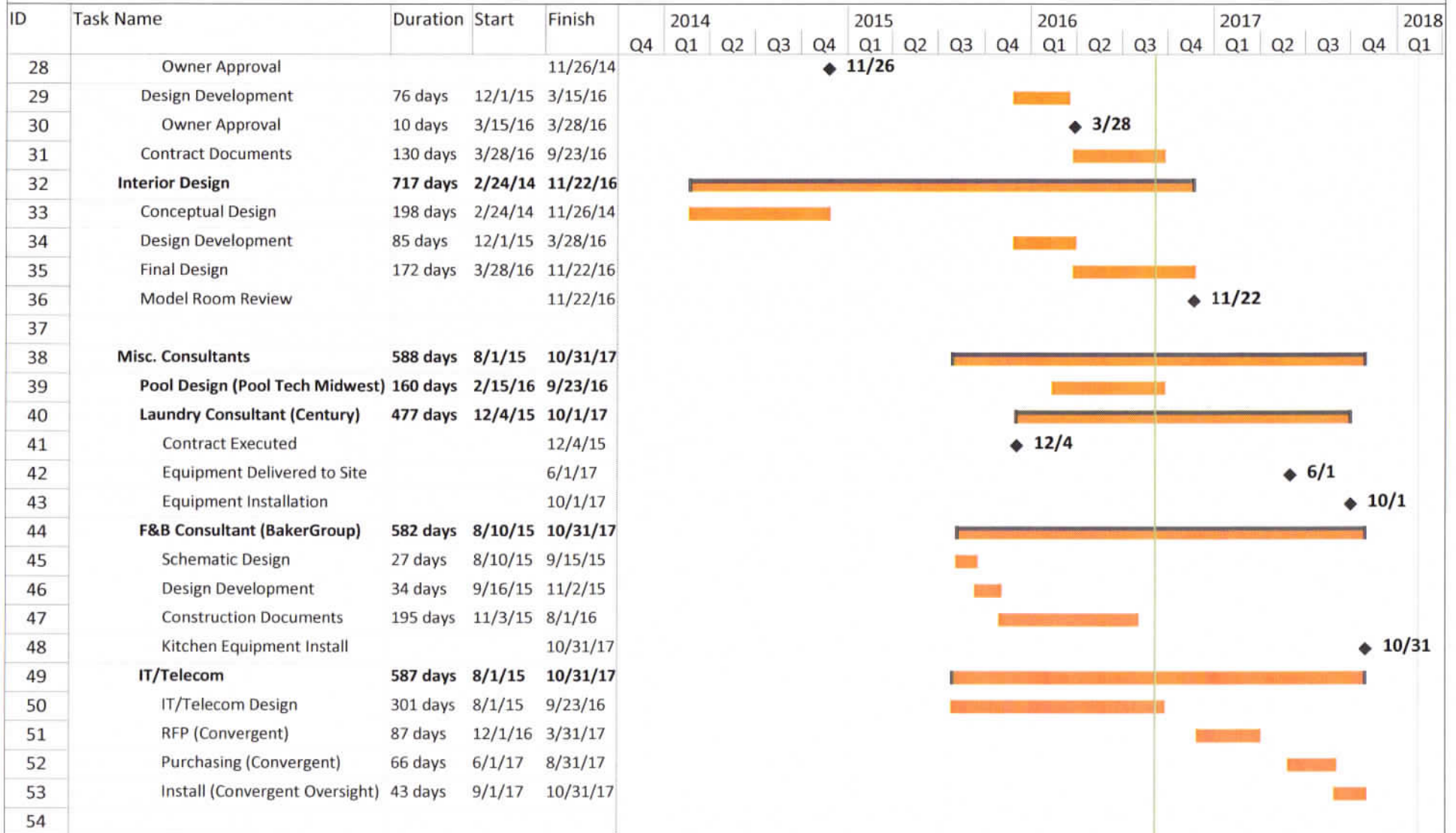


Durations Above are Working Days  
(\*) See 8/31/16 Merit Detail Schedule



# Merrill 90% CD Milestone Project Schedule September 2016

\*\*\*DRAFT\*\*\*

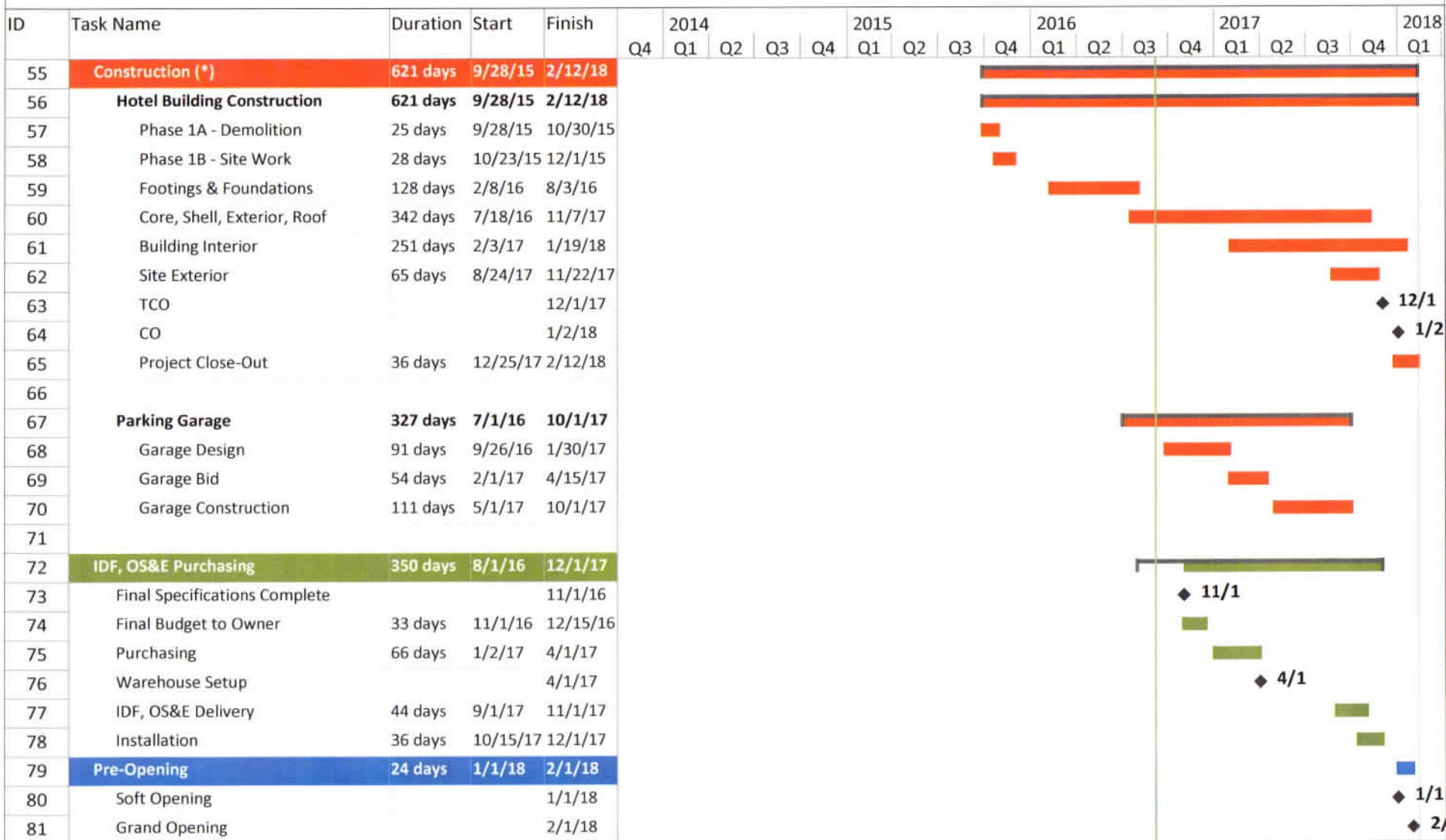


Durations Above are Working Days  
(\*) See 8/31/16 Merit Detail Schedule

# Merrill 90% CD Milestone Project Schedule

September 2016

\*\*\*DRAFT\*\*\*



Durations Above are Working Days  
 (\*) See 8/31/16 Merit Detail Schedule

	A	B	C	D	E	F	G
1	<b>IRD Budget</b> <b>Through 3rd Quarter 2016</b>						
2							
3							
4	<b>LAND ACQUISITION</b>			<b>\$/Quarter</b>	<b>\$/To Date</b>	<b>Total Budget</b>	<b>% Budget Spent</b>
5	Q1 2014			\$0.00			
6	Q2 2014			\$0.00			
7	Q3 2014			\$0.00			
8	Q4 2014			\$0.00			
9	Q1 2015			\$0.00			
10	Q2 2015			\$0.00			
11	Q3 2015			\$1,174,000.00			
12		Button Factory Lot	\$794,000.00				
13		Hotel Parcel	\$380,000.00				
14	Q4 2015			\$300,000.00			
15		Miller Harris Lot	\$300,000.00				
16	Q1 2016			\$0.00			
17	Q2 2016			\$0.00			
18	Q3 2016			\$108,561.00			
19		Greenspace/ADA Parking	\$108,561.00				
20	Land Acquisition Summary				\$1,582,561.00	\$1,690,000.00	93.64%
21	<b>ARCHITECTURAL DESIGN</b>			<b>\$/Quarter</b>	<b>\$/To Date</b>	<b>Total Budget</b>	<b>% Budget Spent</b>
22	Q1 2014			\$0.00			
23	Q2 2014			\$0.00			
24	Q3 2014			\$0.00			
25	Q4 2014			\$120,566.00			
26		Solum Lang	\$120,566.00				
27	Q1 2015			\$8,179.00			
28		Solum Lang	\$8,179.00				
29	Q2 2015			\$0.00			
30	Q3 2015			\$41,608.00			
31		Solum Lang	\$41,608.00				
32	Q4 2015			\$127,437.00			
33		Solum Lang	\$127,437.00				

	A	B	C	D	E	F	G
34	Q1 2016			\$64,574.00			
35		Solum Lang	\$64,574.00				
36	Q2 2016			\$37,284.00			
37		Solum Lang	\$37,284.00				
38	Q3 2016			\$190,648.00			
39		Solum Lang	\$190,648.00				
40	Architectural Deisgn Summary			\$590,296.00	\$795,251.00	74.23%	
41	<b>ENGINEERING DESIGN</b>			<b>\$/Quarter</b>	<b>\$/To Date</b>	<b>Total Budget</b>	<b>% Budget Spent</b>
42	Q1 2014			\$0.00			
43	Q2 2014			\$0.00			
44	Q3 2014			\$0.00			
45	Q4 2014			\$143,879.00			
46		Carl Walker	\$2,500.00				
47		Solum Lang	\$107,629.00				
48		Terracon	\$33,750.00				
49	Q1 2015			\$7,301.00			
50		Solum Lang	\$7,301.00				
51	Q2 2015			\$9,781.61			
52		Downtown Investors	\$1,450.00				
53		Terracon	\$8,331.61				
54	Q3 2015			\$46,127.00			
55		Solum Lang	\$37,142.00				
56		Terracon	\$8,985.00				
57	Q4 2015			\$139,666.00			
58		Martin Whitacre	\$13,078.00				
59		Baker Group	\$10,800.00				
60		Yerges	\$2,025.00				
61		Solum Lang	\$113,763.00				
62	Q1 2016			\$70,016.00			
63		Baker Group	\$1,890.00				
64		Yerges	\$3,900.00				
65		Solum Lang	\$57,646.00				
66		Martin Whitacre	\$6,580.00				

	A	B	C	D	E	F	G
67	Q2 2016			\$44,763.18			
68		Baker Group	\$2,160.00				
69		SpectraTech	\$9,319.18				
70		Solum Lang	\$33,284.00				
71	Q3 2016			\$175,602.00			
72		SpectraTech	\$1,410.00				
73		Solum Lang	\$170,192.00				
74		Convergent Services	\$4,000.00				
75	Engineering Design Summary			\$637,135.79	\$709,922.00	89.75%	
76	INTERIOR DESIGN			\$/Quarter	\$/To Date	Total Budget	% Budget Spent
77	Q1 2014			\$0.00			
78	Q2 2014			\$0.00			
79	Q3 2014			\$0.00			
80	Q4 2014			\$18,000.00			
81		CLO	\$18,000.00				
82	Q1 2015			\$4,500.00			
83		CLO	\$4,500.00				
84	Q2 2015			\$0.00			
85		CLO	\$0.00				
86	Q3 2015			\$15,360.00			
87		CLO	\$15,360.00				
88	Q4 2015			\$9,600.00			
89		CLO	\$9,600.00				
90	Q1 2016			\$9,600.00			
91		CLO	\$9,600.00				
92	Q2 2016			\$7,840.00			
93		CLO	\$7,840.00				
94	Q3 2016			\$34,160.00			
95		CLO	\$34,160.00				
96	Interior Design Summary			\$99,060.00	\$286,050.00	34.63%	
97	SITE PREP			\$/Quarter	\$/To Date	Total Budget	% Budget Spent
98	Q1 2014			\$0.00			
99	Q2 2014			\$0.00			

	A	B	C	D	E	F	G
100	Q3 2014			\$0.00			
101	Q4 2014			\$33,750.00			
102		Terracon	\$33,750.00				
103	Q1 2015			\$0.00			
104	Q2 2015			\$0.00			
105	Q3 2015			\$0.00			
106	Q4 2015			\$148,409.00			
107		Merit	\$144,909.00				
108		Stanley Consultants	\$3,500.00				
109	Q1 2016			\$134,784.00			
110		Merit	\$134,784.00				
111	Q2 2016			\$204,280.00			
112		Heritage Landscape	\$935.00				
113		Merit	\$203,345.00				
114	Q3 2016			\$301,661.00			
115		Merit	\$301,661.00				
116	Site Prep Summary			\$822,884.00	\$1,244,115.00	66.14%	
117	<b>CONSTRUCTION ADMIN</b>			<b>\$/Quarter</b>	<b>\$/To Date</b>	<b>Total Budget</b>	<b>% Budget Spent</b>
118	Q1 2014			\$0.00			
119	Q2 2014			\$0.00			
120	Q3 2014			\$33,568.97			
121		Scottford	\$26,448.18				
122		Salary	\$7,120.79				
123	Q4 2014			\$212,713.50			
124		Scottford	\$180,000.00				
125		Salary	\$30,605.49				
126		Payroll Taxes	\$1,946.01				
127		Payroll Services	\$162.00				
128	Q1 2015			\$122,594.58			
129		Scottford	\$90,000.00				
130		Salary	\$30,662.07				
131		Payroll Taxes	\$1,689.51				
132		Payroll Services	\$243.00				

	A	B	C	D	E	F	G
133	Q2 2015			\$167,794.50			
134		Scottford	\$135,000.00				
135		Salary	\$30,605.49				
136		Payroll Taxes	\$1,946.01				
137		Payroll Services	\$243.00				
138				\$167,538.00			
139	Q3 2015	Scottford	\$135,000.00				
140		Salary	\$30,605.49				
141		Payroll Taxes	\$1,689.51				
142		Payroll Services	\$243.00				
143	Q4 2015			\$220,750.34			
144		Scottford	\$180,000.00				
145		Salary	\$30,900.00				
146		Payroll Taxes	\$2,363.85				
147		Payroll Services	\$243.00				
148		Contractor Gern, Conditions, O	\$7,243.49				
149	Q1 2016			\$175,335.21			
150		Scottford	\$135,000.00				
151		Salary	\$30,900.00				
152		Payroll Taxes	\$2,363.85				
153		Payroll Services	\$333.00				
154		Contractor Gern, Conditions, O	\$6,738.36				
155	Q2 2016			\$248,106.97			
156		John Axel Consult	\$10,000.01				
157		Scottford	\$135,000.00				
158		Salary	\$30,900.00				
159		Payroll Taxes	\$2,363.85				
160		Payroll Services	\$333.00				
161		Contractor Gern, Conditions, O	\$69,510.11				
162	Q3 2016			\$298,653.55			
163		John Axel Consult	\$3,977.27				
164		Scottford	\$135,000.00				
165		Salary	\$30,900.00				

	A	B	C	D	E	F	G
166		Payroll Taxes	\$2,363.85				
167		Payroll Services	\$333.00				
168		Contractor Gern, Conditions, O	\$126,079.43				
169	Construction Admin Summary				\$1,647,055.62	\$3,471,103.00	47.45%
170	<b>BUILDING CONSTRUCTION COSTS</b>			<b>\$/Quarter</b>	<b>\$/To Date</b>	<b>Total Budget</b>	<b>% Budget Spent</b>
171	Q1 2014			\$0.00			
172	Q2 2014			\$0.00			
173	Q3 2014			\$0.00			
174	Q4 2014			\$0.00			
175	Q1 2015			\$0.00			
176	Q2 2015			\$0.00			
177	Q3 2015			\$0.00			
178	Q4 2015			\$7,243.49			
179		Merit	\$7,243.49				
180	Q1 2016			\$6,739.36			
181		Merit	\$6,739.36				
182	Q2 2016			\$439,810.31			
183		Merit	\$439,810.31				
184	Q3 2016			\$1,671,589.30			
185		Merit	\$1,671,589.30				
186	Building Construction Costs Summary				\$2,125,382.46	\$20,548,115.00	10.34%
187	<b>FF&amp;E</b>			<b>\$/Quarter</b>	<b>\$/To Date</b>	<b>Total Budget</b>	<b>% Budget Spent</b>
188	Q1 2014			\$0.00			
189	Q2 2014			\$0.00			
190	Q3 2014			\$0.00			
191	Q4 2014			\$0.00			
192	Q1 2015			\$0.00			
193	Q2 2015			\$0.00			
194	Q3 2015			\$0.00			
195	Q4 2015			\$0.00			
196	Q1 2016			\$0.00			
197	Q2 2016			\$0.00			
198	Q3 2016			\$22,515.00			



	A	B	C	D	E	F	G
199	CLO IDF		\$22,515.00				
200	FF&E Summary				\$22,515.00	\$1,764,534.00	1.28%
201	<b>OS&amp;E</b>			<b>\$/Quarter</b>	<b>\$/To Date</b>	<b>Total Budget</b>	<b>% Budget Spent</b>
202	Q1 2014			\$0.00			
203	Q2 2014			\$0.00			
204	Q3 2014			\$0.00			
205	Q4 2014			\$0.00			
206	Q1 2015			\$0.00			
207	Q2 2015			\$0.00			
208	Q3 2015			\$0.00			
209	Q4 2015			\$0.00			
210	Q1 2016			\$0.00			
211	Q2 2016			\$0.00			
212	Q3 2016			\$4,734.00			
213	CLO		\$4,734.00				
214	OS&E Summary				\$4,734.00	\$1,622,668.00	0.29%
215	<b>PRE-OPENING COSTS</b>			<b>\$/Quarter</b>	<b>\$/To Date</b>	<b>Total Budget</b>	<b>% Budget Spent</b>
216	Q1 2014			\$0.00			
217	Q2 2014			\$0.00			
218	Q3 2014			\$0.00			
219	Q4 2014			\$0.00			
220	Q1 2015			\$0.00			
221	Q2 2015			\$0.00			
222	Q3 2015			\$0.00			
223	Q4 2015			\$0.00			
224	Q1 2016			\$0.00			
225	Q2 2016			\$0.00			
226	Q3 2016			\$1,400.00			
227	Excite		\$1,400.00				
228	Pre-Opening Costs Summary				\$1,400.00	\$1,729,505.00	0.00%
229	<b>OTHER</b>			<b>\$/Quarter</b>	<b>\$/To Date</b>	<b>Total Budget</b>	<b>% Budget Spent</b>
230	Q1 2014			\$0.00			
231	Q2 2014			\$0.00			




	A	B	C	D	E	F	G
232	Q3 2014			\$11,544.94			
233		Alliant Energy	\$1,310.00				
234		Ann Meeker	\$234.94				
235		PKF	\$10,000.00				
236	Q4 2014			\$79,013.90			
237		AquaBlue	\$1,860.00				
238		Berkley Photography	\$1,520.00				
239		Belin McCormick	\$32,153.24				
240		Central State Bank	\$1,000.00				
241		First National Bank	\$600.00				
242		Koestner	\$2,000.00				
243		Lester & Associates	\$24,778.50				
244		PKF	\$11,000.00				
245		Scottford Expenses	\$4,102.16				
246	Q1 2015			\$62,174.83			
247		Ann Meeker	\$700.01				
248		Belin McCormick	\$7,505.00				
249		Bi-State Regional	\$4,956.67				
250		Cedar Rapids Bank and Trust	\$16,000.00				
251		First National Bank	\$2,400.00				
252		Gross Collins	\$12,903.00				
253		Hindermeister Law	\$2,425.50				
254		Lee Cohen	\$6,500.00				
255		Lester & Associates	\$2,826.40				
256		Online Business Suite	\$20.00				
257		Thomas Reid	\$3,275.00				
258		Reimbursables-CLO	\$72.74				
259		Reimbursables-SL	\$1,075.83				
260		Scottford Expenses	\$1,514.68				
261	Q2 2015			\$119,848.63			
262		AquaBlue	\$639.76				
263		Cedar Rapids Bank and Trust	\$7,500.00				
264		Bi-State Regional	\$18,622.20				



	A	B	C	D	E	F	G
265		First National Bank	\$600.00				
266		Lester & Associates	\$2,475.00				
267		PKF	\$11,392.29				
268		Geneva Country Club	\$6,208.76				
269		Nartdello & Co	\$8,146.08				
270		Online Business Suite	\$30.00				
271		Three	\$37,000.00				
272		Reimbursables - SL	\$2,327.73				
273		Reimbursables - CLO	\$1,479.81				
274		B-State Regional Loan Repaym	\$9,602.22				
275		Scottford Expenses	\$13,824.78				
276	Q3 2015			\$51,071.61			
277		Gross Collins	\$760.00				
278		Belin McCormick	\$26,564.76				
279		Online Business Suite	\$30.00				
280		West Bend Mutual	\$1,889.00				
281		SLA Reimbursables	\$0.00				
282		CLO - Reimbursables	\$2,607.82				
283		B-State Regional Loan Repaym	\$13,956.65				
284		Sc ottford Expenses	\$5,263.38				
285	Q4 2015			\$116,535.68			
286		Allient Energy	\$103.10				
287		Belin McCormick	\$21,433.77				
288		Bi-State REgional	\$23,910.65				
289		Cedar Rapids Bank and Trust	\$83.50				
290		Geneva Country Club	\$5,582.07				
291		Georgia Department of Labor	\$40.00				
292		Gross Collins	\$3,834.00				
293		Lee Enterprises	\$213.97				
294		Muscatine Power and Water	\$1,397.60				
295		Three	\$25,500.00				
296		Reimbursables-CLO	\$253.13				
297		Reimbursables - SL	\$175.00				

	A	B	C	D	E	F	G
298		Bi-State Regional Loan Repaym	\$23,910.65				
299		Scottford Expenses	\$7,098.24				
300		Albert Heard Consulting	\$3,000.00				
301	Q1 2016			\$79,574.28			
302		Muscatine Power and Water	\$2,039.73				
303		Gross Collins	\$1,850.00				
304		Snellings Walters Insurance	\$19,605.00				
305		City of Muscatine - Legal	\$6,000.00				
306		Belin McCormick	\$5,908.50				
307		Scottford Expenses	\$9,230.03				
308		Allient Energy	\$1,159.82				
309		Selective Insurance	\$18,578.00				
310		Geneva Country Club	\$179.92				
311		Koestner	\$800.00				
312		Three	\$4,500.00				
313		Reimbursables - SL	\$412.18				
314		Bi-State Regional Loan Repaym	\$9,311.10				
315		Scottford Expenses	\$9,230.04				
316	Q2 2016			\$33,922.58			
317		Alliant Energy	\$384.28				
318		Muscatine Power and Water	\$723.10				
319		Cedar Rapids Bank and Trust	\$8,500.00				
320		Belin McCormick	\$1,083.00				
321		Scottford Expenses	\$2,761.81				
322		Gross Collins	\$6,200.00				
323		Rebecca Howe Exp	\$1,247.13				
324		Reimbursables - SL	\$3,732.16				
325		Bi-State Regional Loan Repaym	\$9,291.10				
326	Q3 2016			\$61,243.52			
327		Alliant Energy	\$105.16				
328		Muscatine Power and Water	\$339.23				
329		CBRE	\$2,000.00				
330		James Howe Exp	\$2,374.92				

[illegible]



-  Reconstruction Project Area
-  Rehabilitated/New Perimeter Access Road
-  Future New Perimeter Access Road

-  Location of Additional Crush Concrete Fill
-  T-Hangar Project Location

## **RUNWAY 6/24 RECONSTRUCTION AND ASSOCIATED TAXIWAYS**

### **I. Project Contract Award**

- A. Contractor: Manatts, Inc.
- B. Contract Amount: \$3,985,699.84
- C. City Council Award: October 15, 2015
- D. Notice To Proceed: March 2016
- E. Funding Sources
  - (1) FAA Discretionary Funding
  - (2) FAA Entitlement Funding
  - (3) General Obligation Bonds
- F. This Project is a 90% - 10% split with Federal Funds

### **II. Schedule**

- A. Completion Date: April 20, 2017
- B. Manatts, Inc. has been paid for 97.18% of the contract amount for completed
- C. Manatts, Inc. is ahead of schedule considerably
  - (1) August 18, 2016: Landscape subcontractor, Enright, placed seed along runway
  - (2) August 19, 2016: Advance Traffic Control (subcontractor) painted runway and removed barricades and all traffic control on runway
  - (3) August 19, 2016: FAA (Cedar Rapids) activated their facilities/infrastructure and completed their walkthrough and punch list
  - (4) August 19, 2016: Runway was opened to air traffic without the use of the ILS
  - (5) August 22, 2016: FAA finished a final check and activated the ILS
- D. September 1, 2016:
  - (1) Substantial Completion
  - (2) Beneficial Occupancy of Runway 6/24
  - (3) Pre-Final Pay Application
- E. September 15, 2016: Reduction of Retainage
- F. Final Pay Application: April 2017
- G. Final Closeout: Spring 2017 (once seeding is completed, silt fence removed, inlet soil stabilization and material removed from the site)

### **III. Job Performance**

- A. Communication among the entire construction team, consultant, construction administration and Carver Aero has been excellent.

- B. Weekly project meetings with contractor, consultant and subcontractors were held on Friday afternoons.

IV. Budget

- A. Final payout for this project is expected to be UNDER the contract amount by 3%. This includes the only change order for \$137,482.83.
- B. Change Order #1: \$137,482.83
  - (1) This Change Order resulted in the contractor processing the broken concrete (modified subbase) and asphalt millings (special backfill) in accordance with IDOT standards. The product was given to the Airport to be used for other access roads and future T Hanger base material as well as other project needs.
  - (2) Since this project is a 90/10 split, the actual cost to the city is \$13,748.
- C. Value Engineering Opportunities
  - (1) The number of subdrains was reduced resulting in a savings of approximately \$10,000.
  - (2) The use of the processed material (concrete & asphalt) at other locations at the Airport significantly saves money for the upgrade and development of access roads and the sub base for the future T-Hanger project. (See B[1] above and the site map provided)
  - (3) The City use Project Managers, Bill Haag and Steve Dalbey, as well as city staff, Adam Thompson and Jim Edgmond, to assist Anderson-Bogart (engineering consultant) to reduce construction administration costs. This effort has resulted in a savings of \$115,000. It is a good reflection of the benefits of a City Project/Construction Team vs. Consultant Construction Administration whose rates are three (3) times greater.

V. Comments

- A. Throughout this project the FBO, Carver Aero, has been very supportive and appreciative of the benefits of a new runway.
- B. The City's Public Works Department – Roadway Maintenance Division – has hauled material to various locations in preparation for future projects. They have been instrumental in constructing the additional access roads.
- C. Culvert inlet protection is still under construction and expected to be completed this fall





## CDBG FAÇADE CONSTRUCTION PROJECT: CEDAR ST. to IOWA AVE.

### I. Project Contract Award

#### A. Contractor

- (1) Façade: Woodruff Construction
- (2) BioCell: Triple B Construction

#### B. Contract Amount

- (1) Woodruff (Façade): \$319,800
- (2) Triple B (BioCell): \$69,558

#### C. City Council Award:

- (1) Woodruff (Façade): March 17, 2016
- (2) Triple B (BioCell): April 21, 2016

#### D. Notice to Proceed:

- (1) Woodruff (Façade): August 1, 2016
- (2) Triple B (BioCell): June 8, 2016

#### E. Funding Sources:

##### (1) Woodruff (Façade)

- a. CDBG Grant
- b. Private Contributions
- c. Utility Companies
  - i. Muscatine Power & Water (\$120,000 - \$150,000)
- d. Road Use Tax Funds (\$30,000)
- e. Downtown TIF Project Balance

##### (2) Triple B (BioCell)

- a. CDBG Grant

#### F. The Project was awarded \$500,000 in a Community Development Block Grant

### II. Muscatine Power and Water

#### A. Completed in September 2016

#### B. Scope of Services:

- (1) All electrical and communication lines have been installed underground
- (2) Reconnected underground service to all buildings
- (3) MPW dug trenches in R-O-W for main line as well as customer services
- (4) Removed all overhead wires
- (5) Currently removing all remaining poles

- C. Further discussion for one alley/security light is underway

III. City of Muscatine: Public Works

- A. Public Works staff has been working with MPW on signage, concrete sawing and removal, material replacement, sidewalk installation and a manhole riser
- B. Overlay of the alley is scheduled:
  - (1) Milling – October 24th
  - (2) Overlay – Week of October 31st

IV. Woodruff Construction

- A. Subcontractors:
  - (1) Ottobaum – Masonry
  - (2) Jerry Raush Painting
- B. Façade work began August 22, 2016
- C. Scope of Services:
  - (1) Tuckpointing
  - (2) Painting
  - (3) Minor Construction (handrails, doors, decks)
- D. On Schedule to meet **OCTOBER 31, 2016 COMPLETION DATE**
- E. Change Orders:
  - (1) CO #1: Completion date changed from July 31, 2016 to October 31, 2016
  - (2) CO #2: \$33,988
    - i. \$28,000 is property owner's contribution
    - ii. \$5,988 is for additional construction work
- F. Job Performance and Conflicts:
  - (1) Chimney at 106/108 E. 2<sup>nd</sup> had to be removed because of safety issues (at owner's expense)
  - (2) Chimney will be replaced by owner:
    - i. Brick Chimney (\$25,000)
    - ii. Metal Chimney (\$20,000)
    - iii. Decision to be made by October 1, 2016
  - (3) The City will reallocate \$20,000 to other tuckpointing, painting and/or construction needs of the building
  - (4) Potential Schedule Issues:
    - i. If Woodruff is contracted to replace the chimney, an additional 1-2 weeks will be needed.

- ii. The deck area behind Missipi Brewing Company will be removed and reconstructed. Possible obstructions could result in a delay.
- (5) Communication between the contractor, subcontractors, MPW and the City has been very good.
- (6) Weekly Project Progress meetings are conducted on Thursday mornings.
- G. Value Engineering Opportunities:  
The City reduced the façade work originally specified in order to stay within the budget.
- H. Citizen Comments:  
A complaint was received regarding the dust caused by tuckpointing at the Medical Arts Building.

V. Triple B Construction

- A. BioCell construction began on September 5, 2016 and was completed on September 15, 2016
- B. Change Orders:
  - (1) CO #1: Reduced price from \$69,558 to \$33,682.50
  - (2) CO #2: Additional curb work and excavation required. Estimated cost is \$2,000
- C. Work to be Completed:
  - (1) Additional mulch is needed
  - (2) Plants to be installed by city staff
  - (3) Plant costs: \$2,700
- D. Job Performance and Conflicts:
  - (1) Very Satisfactory
  - (2) Triple B's schedule was very flexible enabling better coordination with other construction entities (i.e. MPW & Woodruff)
- E. Value Engineering Opportunities:  
The city reduced the BioCell work originally specified in order to stay within budget.

VI. Other

- A. It is estimated this project will cost approximately \$393,000 in construction
- B. \$97,000 is allocated for soft costs (i.e. design)
- C. \$10,000 is reserved for in-house construction administration
- D. Total: \$500,000 (Grant Award)

