



City of Appleton

100 North Appleton Street
Appleton, WI 54911-4799
www.appleton.org

Meeting Agenda - Final Finance Committee

Tuesday, September 13, 2016

4:30 PM

Council Chambers, 6th Floor

1. Call meeting to order

2. Roll call of membership

3. Approval of minutes from previous meeting

[16-1311](#) August 9, 2016 and September 7, 2016 Finance Committee minutes

Attachments: [MeetingMinutes09-Aug-2016-10-13-09.pdf](#)

[MeetingMinutes07-Sep-2016-11-49-33.pdf](#)

4. **Public Hearings/Appearances**

5. **Action Items**

[16-1324](#) Request to reject awarding Water Garden Redevelopment Project at the Scheig Center in Memorial Park to Solutions 101, Inc. for a contract amount of \$164,608.66.

Attachments: [2016 Scheig Center Water Recommendation with Rettler Letter \(8-23-16\).pdf](#)

[16-1401](#) Approve Contract Amendment and Change Order No. 1 to contract 33-16 for Unit X-16 Sewer & Water Reconstruction No.2 for additional stone backfill material required on Glendale Avenue due to extremely unstable soil conditions encountered during construction in the amount of \$60,000 resulting in a decrease to contingency from \$46,000 to \$1,000. Overall contract increased from \$1,721,570 to 1,736,570.

Attachments: [Contract Amendment and Change Order No.1 Unit X-16.pdf](#)

[16-1402](#) Anticipated award of contract for Unit O-16 Sanitary Sewer and Storm Sewer Manhole to Manhole Liners (bids to be opened on Monday, September 12, 2016).

[16-1403](#) Anticipated award of contract for Unit Z-16 Sewer and Water Main Reconstruction No. 3 (bids to be opened on Monday, September 12, 2016).

[16-1404](#) Request to approve revisions to the Procurement Card Policy.

Attachments: [Procurement Card Policy Changes 2016.pdf](#)

[16-1425](#) Request to award contract for the 2016 Wastewater Hardscape Repairs project to MCC, Inc in the amount of \$118,030.62 with a contingency of \$17,000 for a project not to exceed \$135,030.62.

Attachments: [WW Hardscapes Project.pdf](#)

[16-1407](#) Request to award the contract for the 2016 D-Building Lab Remodel project at the Wastewater Treatment Plant to Cardinal Construction Co, Inc in the amount of \$104,765 with a contingency of \$5,000 for a contract total not to exceed \$109,765, and approve the following 2016 Budget adjustment:

Wastewater Utility Capital Projects

D-Building Lab Remodeling Project	+\$28,000
Belt Filter Press Electrical Improvement Project	- \$21,000
Plumbing Improvement Project	- \$7,000

to transfer positive budget variance from Belt Filter Press and Plumbing projects to the D-Building Lab Remodeling Project (2/3 vote required).

Attachments: [2016 WW D-Building Lab Remodel award.pdf](#)

[16-1408](#) Request to award contract for the 2016 Parks LED Lighting Upgrade project to Van Ert Electric Company, Inc in the amount of \$87,500 with a contingency of \$4,000 for a contract total not to exceed \$91,500, and approve the following 2016 Budget adjustment:

Facilities Capital Projects

Police Station Deck Repairs Project	- \$18,000
LED Lighting Upgrade Project	+\$18,000

to transfer positive budget variance from the Police Station Deck Repairs project to the LED Lighting Upgrade project (2/3 vote required).

Attachments: [2016 Parks LED Lighting award.pdf](#)

[16-1409](#) Request to award the contract for 2016 Hardscape Repairs Project to MCC, Inc in the amount if \$118,723.72 with a contingency of \$3,800 for a project not to exceed \$122,523.72.

Attachments: [2016 Hardscapes Project Award.pdf](#)

[16-1430](#) Request to award contract for 2016 Transit Center Roof Repairs project to Northern Metal and Roofing Co, Inc in the amount of \$31,545 with a contingency of \$5,000 for a project not to exceed \$36,545.

Attachments: [2016 Transit Center Roof Replacement.pdf](#)

[16-1433](#) Request to approve \$1,232,156 advance from the general fund to TIF 6 for 2016 capital costs.

Attachments: [TIF 6 Advance 2016.pdf](#)

[16-1412](#) The Finance Committee will go into closed session according to State Statute §19.85(1)(e) for the purpose of discussions of real estate negotiations regarding the railroad trestles and conferring with legal counsel regarding pending litigation concerning the Town of Harrison pursuant to §19.85(1)(g) and reconvene into open session.

6. Information Items

[16-1399](#) Change Orders #1, #2, and #3 to August Winter & Sons Inc. contract as part of the AWWTP Digester Improvements Project for contract extension, PLC equipment, and biogas cross-over pipe modification totaling \$14,294 resulting in a decrease in contingency from \$38,000 to \$23,706. No change to overall contract amount.

Attachments: [AWWTP Digester Improvements Change Order.pdf](#)

[16-1400](#) Change Orders #1, #2, and #3 to August Winter & Sons Inc. contract as part of the Scarlet Oak Lift Station Improvements Project for subsurface geotextile, contract extension, and PLC software modification totaling \$1,391 resulting in a decrease in contingency from \$10,460 to \$9,069. No change to overall contract amount.

Attachments: [Scarlet Oak Lift Station Improvements Change Order.pdf](#)

[16-1405](#)

The following 2016 Budget adjustments were approved by the Mayor and Finance Director in accordance with Policy:

General Fund - Library

Reimbursements - Friends of the Library	+\$25,612
Library Materials and Supplies	+\$15,612
Other Contracts/Obligations	+\$10,000

to record funds received from the Friends of the Appleton Public Library for materials, printing, and supplies for administration, children's services, and community partnership programs

Reimbursements - Friends of the Library/TheDACare	+\$520
Supplies - Children's Services	+\$520

to record donation received from TheDACare for supplies for the Get Ready to Read summer program

Other Reimbursements	+\$10,000
Library Materials	+\$10,000

to record funds received from patrons to replace lost library materials

General Fund - Police Department

Local Aids - Winnebago County	+\$3,000
Supplies	+\$3,000

to record the award of a grant from the Health Preparedness Fund administrated by Winnebago County to purchase equipment for the SWAT Team

Donations	+\$1,000
Supplies	+\$1,000

to record a donation from Wal-Mart for the Neighborhood Watch Program

7. Adjournment

Notice is hereby given that a quorum of the Common Council may be present during this meeting, although no Council action will be taken.

Reasonable Accommodations for Persons with Disabilities will be made upon Request and if Feasible.

For questions on this agenda, please contact Tony Saucerman at (920) 832-6440.



City of Appleton

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Meeting Minutes Finance Committee

Tuesday, August 9, 2016

4:30 PM

Council Chambers, 6th Floor

1. Call meeting to order

Meeting called to order at 4:30pm.

2. Roll call of membership

Present: 5 - Alderperson Plank, Alderperson Dannecker, Alderperson Lobner,
Alderperson Martin and Alderperson Siebers

3. Approval of minutes from previous meeting

[16-1241](#)

July 26, 2016 Finance Committee meeting minutes

Attachments: [MeetingMinutes26-Jul-2016-08-50-22.pdf](#)

Alderperson Martin moved, seconded by Alderperson Siebers, that the Minutes be approved. Roll Call. Motion carried by the following vote:

Aye: 5 - Alderperson Plank, Alderperson Dannecker, Alderperson Lobner,
Alderperson Martin and Alderperson Siebers

4. **Public Hearings/Appeances**

[16-1256](#)

Brad Viegut, Robert W. Baird and Company, on the 2016 General Obligation Notes, Water and Stormwater Revenue Refunding Bond issues.

Attachments: [City of Appleton - GO, Water and Storm 08.09.16.pdf](#)

This Appearance was presented.

5. **Action Items**

[16-1257](#)

Request for Finance Director to sell \$19,625,000 General Obligation Notes.

Alderperson Lobner moved, seconded by Alderperson Dannecker, that the Report Action Item be recommended for approval. Roll Call. Motion carried by the following vote:

Aye: 5 - Alderperson Plank, Alderperson Dannecker, Alderperson Lobner, Alderperson Martin and Alderperson Siebers

[16-1259](#)

Request for Finance Director to sell \$24,190,000 Water Revenue Refunding Bonds.

Alderperson Martin moved, seconded by Alderperson Dannecker, that the Report Action Item be recommended for approval. Roll Call. Motion carried by the following vote:

Aye: 5 - Alderperson Plank, Alderperson Dannecker, Alderperson Lobner, Alderperson Martin and Alderperson Siebers

[16-1260](#)

Request for Finance Director to sell \$15,515,000 Stormwater Revenue Refunding Bonds.

Alderperson Dannecker moved, seconded by Alderperson Martin, that the Report Action Item be recommended for approval. Roll Call. Motion carried by the following vote:

Aye: 5 - Alderperson Plank, Alderperson Dannecker, Alderperson Lobner, Alderperson Martin and Alderperson Siebers

[16-1271](#)

Request to approve Finance Committee Report 5-P-16 for a Sanitary Sewer Lateral at 2619 N Richmond Street.

Attachments: [Report 5-P-16.pdf](#)

Alderperson Dannecker moved, seconded by Alderperson Plank, that the Report Action Item be recommended for approval. Roll Call. Motion carried by the following vote:

Aye: 5 - Alderperson Plank, Alderperson Dannecker, Alderperson Lobner, Alderperson Martin and Alderperson Siebers

[16-1272](#)

Request to approve contract amendment and Change Order No 1 to contract 18/16 for Unit W-16 Sewer and Water Reconstruction No. 1 for an additional 60 LF of steel casing pipe installation due to an unforeseen underground obstruction encountered during pipe boring in the amount of \$36,204 resulting in a decrease to the contingency from \$93,135 to \$73,428. Overall contract increased from \$2,640,946 to \$2,657,443.

Attachments: [Contract Amendment and Change Order No.1 Unit W-16.pdf](#)

Alderperson Siebers moved, seconded by Alderperson Martin, that the Report Action Item be recommended for approval. Roll Call. Motion carried by the following vote:

Aye: 5 - Alderperson Plank, Alderperson Dannecker, Alderperson Lobner, Alderperson Martin and Alderperson Siebers

[16-1242](#)

RIVERSIDE CEMETERY ASSOCIATION submitting a request for payment for maintenance of Veteran's graves.

Attachments: [Riverside Cemetery.pdf](#)

Aldersperson Martin moved, seconded by Aldersperson Dannecker, that the Report Action Item be recommended for approval. Roll Call. Motion carried by the following vote:

Aye: 5 - Aldersperson Plank, Aldersperson Dannecker, Aldersperson Lobner, Aldersperson Martin and Aldersperson Siebers

6. Information Items

[16-1243](#)

Director's Reports:

Finance
Legal Services

This Presentation was received and filed

[16-1249](#)

Mayor 2016 Mid-Year Report

Attachments: [Mayor 2016 Mid Year Review.pdf](#)

This Presentation was received and filed

[16-1263](#)

Contract 23-15 was awarded to Northern Electric, Inc for the Municipal Services Building emergency power upgrades in the amount of \$181,900 with a contingency of \$8,100. Four change orders were issued totaling \$4,076.61. Payments issued to date total \$176,677.77. Request to issue the final contract payment of \$9,298.84.

Attachments: [2016 MSB Emergency Power Upgrades- Final Payment.pdf](#)

This Presentation was received and filed

[16-1264](#)

Contract 36-16 was awarded to Pioneer Roofing, LLC for pavilion roof replacements at Colony Oaks, Alicia, Pierce, and Kiwanis Parks in the amount of \$35,356 with a contingency of \$3,556. No change orders were issued. Payments issued to date total \$33,548.20. Request to issue the final contract payment of \$1,767.80.

Attachments: [2016 Park Pavilions Phase 2 Roof Replacement Final Payment.pdf](#)

This Presentation was received and filed

[16-1303](#)

Change Order #1 to August Winter & Sons Inc. contract 34-16 as part of the AWTF Generator Emissions Control Project for generator coolant drain, thermostat replacement, and coolant refill in the amount of \$3,444 resulting in a decrease to contingency from \$3,500 to \$56. No change to overall contract amount.

Attachments: [AWTF Generator Emissions Project Change Order #1 \(002\).pdf](#)

This Presentation was received and filed

7. Adjournment

Alderson Lobner moved, seconded by Alderson Siebers, that the meeting be adjourned. Roll Call. Motion carried by the following vote:

Aye: 5 - Alderson Plank, Alderson Dannecker, Alderson Lobner, Alderson Martin and Alderson Siebers



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Appleton, WI 54911-4799
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Meeting Minutes Finance Committee

Wednesday, September 7, 2016

6:30 PM

Council Chambers, 6th Floor

Special

1. Call meeting to order

Meeting called to order at 6:30 pm.

2. Roll call of membership

Present: 4 - Alderperson Plank, Alderperson Dannecker, Alderperson Martin and Alderperson Siebers

Excused: 1 - Alderperson Lobner

4. **Public Hearings/Appealances**

[16-1349](#)

Brad Viegut, Robert W. Baird presentation on results of General Obligation Notes, Stormwater and Water Revenue Bond Sales.

This Appearance was presented

5. **Action Items**

[16-1350](#)

A Resolution authorizing and providing for the sale and issuance of \$19,625,000 General Obligation Promissory Notes, Series 2016, and all related details.

Attachments: [Award Resolution - Appleton 2016 G O Promissory Notes.pdf](#)
[Final Award Resolution - Appleton 2016 G O Promissory Notes \(002\).pdf](#)

Alderperson Martin moved, seconded by Alderperson Siebers, that the Report Action Item be recommended for approval. Roll Call. Motion carried by the following vote:

Aye: 4 - Alderperson Plank, Alderperson Dannecker, Alderperson Martin and Alderperson Siebers

Excused: 1 - Alderperson Lobner

[16-1351](#)

A Resolution authorizing and providing for the sale and issuance of ~~\$15,515,000~~ \$14,935,000 Storm Water System Revenue Bonds, Series 2016, and all related details.

Attachments: [Award Resolution - Appleton 2016 Storm Water System Rev Ref Bonds.pdf](#)
[Final Award Resolution - Appleton 2016 Storm Water System Rev Ref Bonds.pdf](#)

Alderson Dannecker moved, seconded by Alderson Martin, that the Report Action Item be recommended for approval as amended. Roll Call.

Motion carried by the following vote:

Aye: 4 - Alderson Plank, Alderson Dannecker, Alderson Martin and Alderson Siebers

Excused: 1 - Alderson Lobner

[16-1352](#)

A Resolution authorizing and providing for the sale and issuance of ~~\$24,190,000~~ \$23,830,00 Water System Revenue Bonds, Series 2016, and all related details.

Attachments: [Award Resolution - Appleton 2016 Water System Rev Ref Bonds.pdf](#)
[Final Award Resolution - Appleton 2016 Water System Rev Ref Bonds.pdf](#)

Alderson Dannecker moved, seconded by Alderson Siebers, that the Report Action Item be recommended for approval as amended. Roll Call.

Motion carried by the following vote:

Aye: 4 - Alderson Plank, Alderson Dannecker, Alderson Martin and Alderson Siebers

Excused: 1 - Alderson Lobner

6. Information Items

None

7. Adjournment

Alderson Dannecker moved, seconded by Alderson Siebers, that the meeting be adjourned. Roll Call. Motion carried by the following vote:

Aye: 4 - Alderson Plank, Alderson Dannecker, Alderson Martin and Alderson Siebers

Excused: 1 - Alderson Lobner



"...meeting community needs...enhancing quality of life."

**PARKS, RECREATION & FACILITIES
MANAGEMENT**

Dean R. Gazza, Director

1819 East Witzke Boulevard
Appleton, Wisconsin 54911-8401
(920) 832-5572 FAX (920) 993-3103
Email - dean.gazza@appleton.org

TO: Finance Committee

FROM: Dean R. Gazza

DATE: August 23, 2016

RE: Action Item: Reject awarding Water Garden Redevelopment Project at the Scheig Center in Memorial Park to Solutions 101, Inc. for a contract amount of \$164,608.66.

The 2016 Parks, Recreation and Facilities Management Department Capital Projects Fund includes \$65,000 for the removal of the boardwalk and reconstruction of the water feature at the Scheig Center in Memorial Park. Upon completing design a balance of \$58,550 remains for construction. The bids received were significantly higher than the amount budgeted. Attached is a memo from our engineer outlining potential reasons for such high bids.

A summary of the bids for the Scheig Center in Memorial Park water garden project is listed below:

<u>Company</u>	<u>Base Bid Price</u>
Solutions 101, Inc.	\$164,608.66
Advance Construction	\$274,989.00
Milbach Construction	Bid did not meet specifications

Solutions 101, Inc. was determined to be the low qualified bidder with a base bid of \$164,608.66. Total cost of the project with engineering will be \$171,058.66 plus contingency. It is the recommendation of the Parks, Recreation and Facilities Management Department to reject awarding a contract to Solutions 101, Inc. in the amount of \$164,608.66 for the redevelopment of the water garden at the Scheig Center in Memorial Park.

The Parks, Recreation and Facilities Management Department will proceed with the project by sub-contracting various functions to complete as much work as possible with the monies available.

Please contact me at 832-5572 or dean.gazza@appleton.org. with any questions.

PROJECT: Memorial Park – Scheig Center Water Garden Redevelopment Project

FROM: John Kneer, RLA, ASLA
TO: Mr. Dean Gazza, Mr. Tom Flick
City of Appleton PR&FMD
DATE: August 3, 2016
RE: Bid Results – Memorial Park – Scheig Center Water Garden
Redevelopment Project

Mr. Gazza, and Mr. Flick;

The Memorial Park – Scheig Center Water Garden Redevelopment Project, was bid on August 2, 2016. There was one (1) contract with two (2) alternates, included in the project.

Bids for General Site Construction, Contract A: Base Bid were received from three (3) contractors, one with "No Bid" entered on the form. We recommend collectively rejecting all bids be rejected, as all bids are over the project budget.

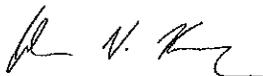
Discussions with the bidders note the timing of the project and time for construction are factors in the bid results. Based on those discussions, we feel with the current the bids were severely marked up with premium cost to pay labor overtime, as the contractors are booked through to freeze up.

The budget we produced for this project was developed using 2015 / 2016 unit cost bids, of similar construction, from projects in the Appleton and Green Bay area. We feel the bids are significantly inflated for this project.

Rettler Corporation will continue to work with the City of Appleton to recommend and design a scope of work within the budget.

Please contact us if you have questions concerning the bid results.

Sincerely,



Rettler Corporation
John Kneer, RLA, ASLA
Landscape Architect, Project Manager

CONTRACT CHANGE ORDER & CONTRACT AMENDMENT

Change Order No. ONE

Date 08/30/16

Contract No. 33-16 for the following public work: Unit X-16 Sewer & Water Reconstruction #2

between Van Straten Construction Co., Inc. and the City of Appleton dated 05/03/16 is hereby changed in the following particular wit:

Item No.	Account No.	Current		C.O. Amount (+/-)	Contingency (+/-)		New Contract Total	New Contingency Total
		Contract Amount	Contingency		Contingency	Contingency		
1	5371.6809.5	\$770,790.00	\$20,000.00	\$20,000.00	-\$20,000.00	\$790,790.00	\$0.00	
2	5431.6809.3	\$300,430.00	\$5,000.00	\$20,000.00	-\$5,000.00	\$320,430.00	\$0.00	
3	5230.6809.4	\$597,350.00	\$20,000.00	\$20,000.00	-\$20,000.00	\$617,350.00	\$0.00	
4	5220.6809.	\$7,000.00	\$1,000.00	\$0.00	\$0.00	\$7,000.00	\$1,000.00	
5						\$0.00	\$0.00	
6						\$0.00	\$0.00	
7						\$0.00	\$0.00	
8						\$0.00	\$0.00	
9						\$0.00	\$0.00	
10						\$0.00	\$0.00	
	Total	\$1,675,570.00	\$46,000.00	\$60,000.00	-\$45,000.00	\$1,735,570.00	\$1,000.00	

Reason for Change: #5371 - Additional stone backfill & loss of production of new main due to clear stone used for previous mechanical joint repairs on W. Glendale Ave.

#5431 - Additional stone backfill and trucking due to poor soil conditions on Glendale Ave., Linwood Ave to Birchwood Avenue.

#5230 - Additional stone backfill and trucking due to poor soil conditions on Glendale Ave., Linwood Ave to Birchwood Avenue

The Contract Time will be (increased /decreased /unchanged) by this Change Order: 10 Days

The Date of Completion as of the date of this Change Order therefore is: 130 days

Finance Committee Agenda Date: 09/14/16

Date approved by Council: 09/21/16



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FINANCE DEPARTMENT
100 N. APPLETON STREET
APPLETON, WI 54911

MEMO

To: Alderperson Kathy Plank and Members of the Finance Committee

From: Jeff Fait, Purchasing Manager

Date: 8/23/2016

Re: Request to Approve Revisions to the Procurement Card Policy

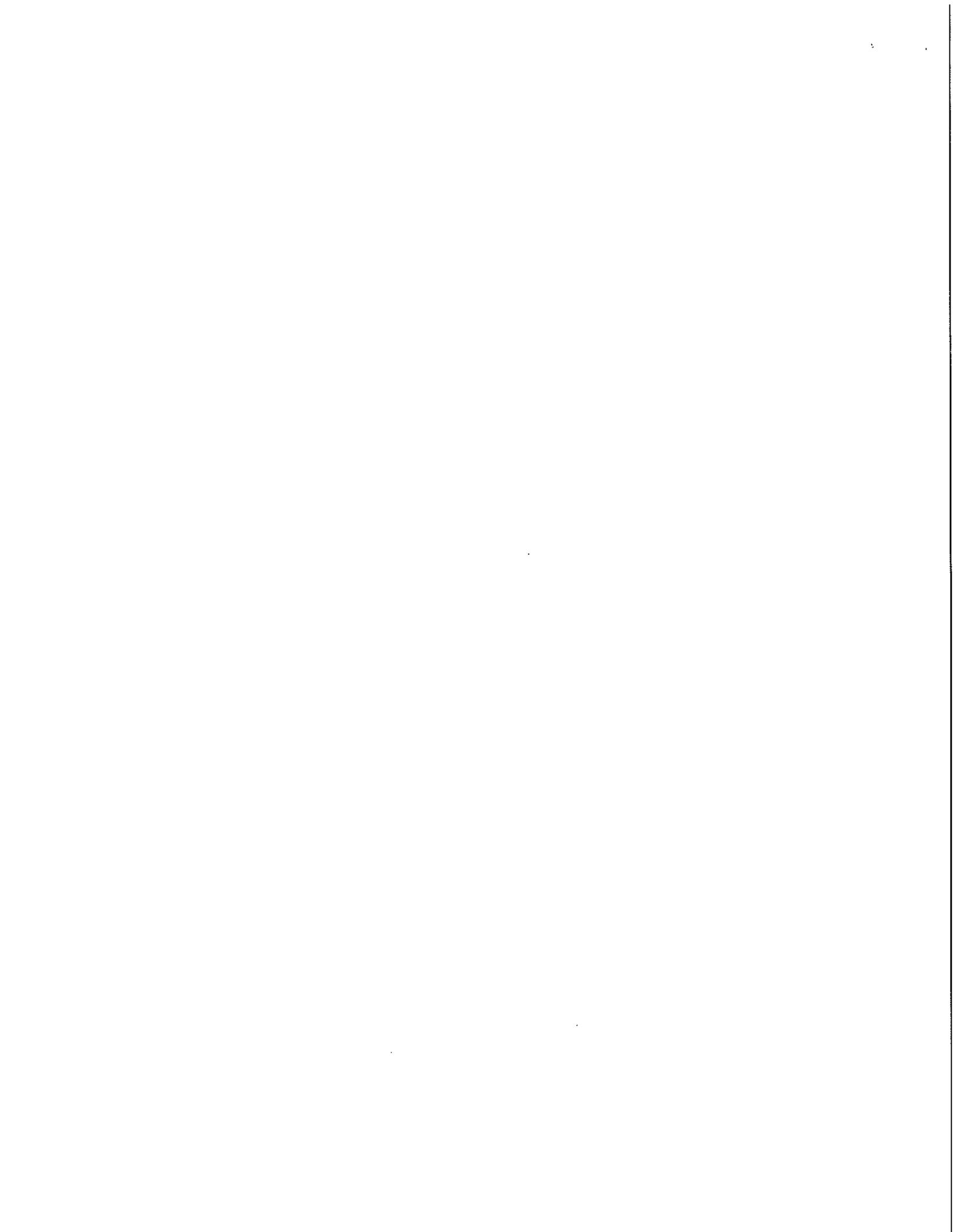
The attached “strike and bold” version of the City’s Procurement Card Policy contains proposed changes for your review and approval. The main policy changes are in the threshold levels of the Quote Policies and Procedures. These thresholds now line up with the Procurement and Contract Management Policy updated in October 2015. The balance of the revision consists of administrative clarifications and language cleanup.

Thank you for your consideration of these proposed changes. Please feel free to contact me should you have any questions.

I would also like to take this opportunity to provide some information about the Procurement Card program:

P-Card Rebate by Year (program year ends on Feb. 28)

<u>Year</u>	<u>Total Spend</u>	<u>Active Cards</u>	<u>Rebate %</u>	<u>Rebate \$</u>
2009	\$1,319,090	307	0.83%	\$10,948
2010	\$1,720,951	295	0.90%	\$15,489
2011	\$1,653,724	284	0.92%	\$15,214
2012	\$2,117,879	277	1.22%	\$25,444
2013	\$2,839,848	292	1.60%	\$45,438
2014	\$2,220,665	310	1.63%	\$36,197
2015	\$2,296,303	305	1.69%	\$38,808
2016	\$2,731,638	299	1.70%	\$46,438



CITY OF APPLETON POLICY		TITLE: PROCUREMENT CARD PROGRAM	
ISSUE DATE: 2/2/00	LAST UPDATE: 1/18/12	SECTION:	TEXT NAME:
POLICY SOURCE: Finance Department			TOTAL PAGES: 10
Reviewed by Attorney's Office Date: 11/30/11	Finance Committee Approval Date: 1/11/12		Council Approval Date: 1/18/12

I. PURPOSE

To establish a methodology, and to define the limits for use, of City issued procurement cards provided to certain City employees to make purchases of goods and/or services.

II. ATTACHMENTS

1. Procurement Card Quick Reference (Sample)
2. Employee Agreement (Sample)
3. Procurement Card Application form (Sample)

III. DEFINITIONS

Account Statement: The monthly listing of all transactions posted to the cardholder's account, issued by the Procurement Card vendor directly to the cardholder.

Approving Supervisor: The individual responsible for reviewing and approving a cardholder's monthly statement of account.

Cardholder: Personnel who have been issued procurement cards and who are authorized to make purchases in accordance with these procedures.

Department Coordinator: The individual assigned to perform administrative tasks associated with the program on behalf of their department and its cardholders.

PCPS: Procurement Card Purchasing System.

Purchasing Manager: The person responsible for overall program administration, including cardholder account maintenance, contract administration, final monthly account reconciliation, and departmental auditing.

Rebate: Money paid back to the City by the procurement card vendor based upon spending volume and other criteria, as provided for in the master contract.

Single Purchase Transaction Limit: A dollar amount limitation of purchasing authority delegated to a cardholder for each individual transaction. This dollar limit may vary from cardholder to cardholder, as agreed between the Purchasing Manager and the Department Director or Approving Supervisor.

Vendor or Merchant: A company from which a cardholder is purchasing materials and/or equipment or services under the provisions of these procedures.

IV. PROCEDURES

INTRODUCTION

This program is being established in order to simplify the procurement and payment processes, and to reduce paperwork and handling costs, primarily for small purchases. By using the Procurement Card Purchasing System (PCPS), the traditional requisition process (establishing need, inquiring on prices, placing the order, delivery of goods, receipt of invoice, reconciling invoice to purchase order, paying vendor) is greatly reduced. Employees who are issued procurement cards may initiate transactions in person, by telephone or through the internet within the limits of these procedures, and receive goods or services. The Finance Department will make monthly settlements with the procurement card vendor.

When using a procurement card, cardholders shall adhere to all provisions of the City Procurement and Contract Management Policy.

RECEIVING A PROCUREMENT CARD

Department directors or approving supervisors may request their personnel be issued cards by contacting the Purchasing Manager.

The proposed cardholder will be issued a summary of these procedures and shall be required to complete and sign a Procurement Card Application form (Attachment 3) and an Employee Agreement (Attachment 2). The agreement indicates that the cardholder understands these procedures and the responsibilities of a PCPS cardholder.

The Purchasing Manager shall maintain all records of procurement card requests, limits, ~~cardholder transfers and lost/stolen~~ card information, fraud and dispute resolutions, and monthly signature/approval sheets.

AUTHORIZED PROCUREMENT CARD USE

The unique procurement card that the cardholder receives has his/her name embossed on it and shall **ONLY** be used by the cardholder. **NO OTHER PERSON IS AUTHORIZED** to use that card. The cardholder may make transactions on behalf of others in their department (example: training

registrations); however, the cardholder is responsible for the use of his/her card.

Use of the procurement card shall be limited as follows:

- a) The total value of a transaction shall not exceed a cardholder's single transaction limit. Preset electronic controls will cause a transaction to be declined when a cardholder's authorized single transaction (or other) limit is being exceeded.
- b) Payment for a purchase **SHALL NOT** be split into multiple transactions to stay within the single transaction limit. Contact the Purchasing Manager for limit increases to accommodate larger transactions.
- c) All items purchased "over the counter" should be immediately available at the time of procurement card use. No backordering of merchandise is allowed. Orders for future delivery may be placed, but vendors must not charge a card prior to shipment or delivery.
- d) Only authorized commodities or services may be purchased with a procurement card. See the next section for a listing of unauthorized uses.

UNAUTHORIZED PROCUREMENT CARD USE

The procurement card **SHALL NOT BE USED** for the following:

- a) Personal purchases or identification.
- b) Meals for travel when the per diem method of reimbursement is used.
- c) Cash advances.
- d) Fuel, unless necessary during authorized travel with a City vehicle outside the area, or during an emergency within the area.
- e) Telephone calls.
- f) Alcohol or any other purchases or expenditures prohibited by City policy.
- g) Charges for goods or services not immediately available.
- g)h) Individual departments may impose further restrictions at the discretion of the Director.

A cardholder who makes unauthorized purchases or carelessly uses the procurement card may lose the privilege of future card use and will be liable for the total dollar amount of such unauthorized purchases plus any administrative fees charged by the procurement card vendor in connection with the misuse. The cardholder may also be subject to disciplinary action, up to and including termination.

MAKING A PURCHASE

Procurement procedures permit a purchase of goods and services (if their value is \$~~1,000~~2,000 or less) to be made from a "Vendor of Choice." This implies the possibility of not comparing sources or competition between vendors. However, it is also policy to seek competition and the lowest prices within parameters of quality and delivery whenever practical. Accordingly, the cardholder is encouraged to check as many sources of supply as reasonable to assure best price and delivery. Where feasible, the Purchasing Manager will establish pricing agreements and identify preferred suppliers.

Cardholders will utilize the following "checklist" when making a purchase:

- a) Ensure that the purchase is being made from a preferred supplier, if one has been -designated by the Purchasing Manager, or that competitive quotes have been obtained if required by policy.
- b) Once a vendor is identified and that vendor confirms that the goods or services are available, meet the specification, delivery and any other requirements, the following steps shall be taken:
 1. Confirm that the vendor agrees to accept the procurement card.
 2. Advise the vendor of the City's tax exempt status.
 3. Direct the vendor to include the following information on the shipping label and/or packing list:
 - a) Cardholder's name;
 - b) Complete delivery address;
 - c) The words "Procurement Card Purchase" or similar indication; and
 - d) ~~The vendor's order number.~~Complete description of the goods shipped.
 4. It is very important that all purchases be shipped or delivered to the attention of the cardholder ordering the merchandise as this will ensure that the documents necessary for recordkeeping are readily available to the cardholder.
 5. If necessary, the individual who receives merchandise in the cardholder's department should be advised of the vendor's name and order number, anticipated delivery date, number of boxes expected, carrier (UPS, Fed Ex, or other). That individual should notify the cardholder when delivery is made.

CARDHOLDER AND DEPARTMENTAL RECORD KEEPING

Whenever a procurement card purchase is made, either in-person, over the counter, by telephone or through the internet, documentation shall be retained as proof of

the purchase. Such documentation will be used to verify the purchases listed on the cardholder's monthly account statement.

When the purchase is made over the counter, the cardholder shall retain the invoice and "customer copy" of the receipt. Prior to signing or accepting this receipt, the cardholder is responsible for making sure that the vendor lists the quantity and fully describes the item(s) purchased, the receipt indicates payment by procurement card, and no sales tax has been charged. -When the goods are received as a result of placing a telephone or internet order, all order confirmation and shipping documentation is to be retained.

Each City department shall maintain its own internal procedure for matching and verification of receipt documentation against individual cardholder account statements. Cardholders may forward their statement with all documentation attached to the Department Coordinator once per month, or forward transaction receipts to the Department Coordinator as received throughout the month, as dictated by internal procedure. In either case, the cardholder shall be ultimately responsible for complete documentation of all charges and credits on their individual statements. If the cardholder does not have documentation of a transaction listed on the monthly statement, he/she shall attach an explanation that includes a description of the item(s) purchased, date of purchase, vendor's name and a reason for the lack of supporting documentation. This data attachment is critical to enable audit substantiation. **IF THIS ROUTINE IS NOT ADHERED TO, THE AUTHORIZATION TO USE THE PROCUREMENT CARD WILL MAY BE REVOKED.** The careful matching of complete support documents to the account statement is vital to the success of this program.

Departments shall be responsible for entry of all transaction data (basic description and general ledger account number) into the procurement card vendor's online system. A department summary sheet signed by the department Director or Approving Supervisor shall be forwarded, electronically or in hard copy, to the Purchasing Manager, and shall serve as authorization and approval of all departmental purchases and charges. Both tasks shall be completed no later than the 15th of the month following the end of each billing cycle.

All cardholder statements, reports and supporting documentation shall be retained at the department level, referenced by month and year, for a minimum of seven (7) years.

OTHER ITEMS

Tax Exemption: The cardholder shall inform the vendor of the City's tax exempt status. The tax exemption information is printed on the front of the card as a reminder. The cardholder shall be responsible to make reasonable efforts, relative to the amount of tax charged, to recover sales tax charged by a vendor.

Such efforts should be documented in the monthly file.

Purchasing Card Returns: If an item is not satisfactory (such as, received wrong, damaged and/or defective, or duplicate order), the cardholder should make contact with the vendor to explain the problem and inquire about return policies. If an item has been returned and a credit voucher received, the cardholder shall verify that this credit is reflected on the monthly statement.

If purchased items or credits are not listed on the monthly statement, the appropriate transaction documentation shall be **RETAINED** by the cardholder until the next monthly statement. If the purchase or credit does not appear on the statement within sixty (60) days after the date of purchase, the cardholder or approving supervisor shall notify the Purchasing Manager to expedite the credit or file a dispute.

CARD SECURITY

It is the cardholder's responsibility to safeguard the procurement card and account number to the same degree that a cardholder safeguards his/her personal credit information. The cardholder must not allow anyone to use his/her account number. A violation of this trust will result in the cardholder having his/her card withdrawn and the initiation of disciplinary action. Any unauthorized or suspicious charges appearing on a cardholder's account shall be immediately reported to the Purchasing Manager.

If the card is lost or stolen, the cardholder shall immediately notify the Procurement Card vendor, and shall notify the Purchasing Manager by the next working day. A new card shall be promptly issued to the cardholder after the reported loss or theft. A card that is subsequently found by the cardholder after being lost shall be destroyed.

CARDHOLDER SEPARATION

Prior to separation from the City, the cardholder shall surrender the procurement card and any current period documentation to his/her approving supervisor. Upon receipt, the approving supervisor will review the current charges for appropriateness, advise the Purchasing Manager of the employee's separation and destroy the card.

AUDITING

The Purchasing Manager shall, on a quarterly basis, examine one month's procurement card records of selected departments, on a schedule that ensures each department receives an audit annually. Audit criteria shall verify that:

- a) Hard copy receipts are on file for all transactions, including credits;
- b) All receipts are from valid suppliers and contain adequate information;
- c) Proper quotes are attached or noted if required for the dollar amount of the transaction; and
- d) All transactions comply with this and other City policies (i.e. Travel Policy).

The audited department shall receive a report upon completion of the audit, with any discrepancies noted. Within 30 days, the department shall report in writing to the Finance Department the action(s) taken to correct the discrep(ies) and prevent recurrence.

REBATES AND LARGE TRANSACTIONS

As stated, the PCPS is established primarily to reduce paperwork and handling costs for small purchases (under \$1,000). However, the City's contract with the procurement card vendor provides for a cash rebate to be paid back to the City based on total spend, ~~average transaction size~~ and other program measures. Therefore, departments and cardholders are encouraged to identify opportunities to use procurement cards as a payment method for larger transactions whenever possible. When used for high dollar purchases, the procurement card is simply considered a payment method in lieu of a bank check. Cardholders should contact the Purchasing Manager to adjust card limits to accommodate these transactions.

This program is being established to provide rapid turnaround of purchases of low-dollar value goods, and to reduce paperwork and handling costs. Employees who are issued procurement cards may initiate transactions in-person, by telephone or online, within the limits of these procedures, and receive goods or services.

The procurement card that the cardholder receives has his/her name embossed on it and shall **ONLY** be used by the cardholder. **NO OTHER PERSON IS AUTHORIZED** to use that card. The cardholder may make transactions on behalf of others in their department. However, the Cardholder is responsible for all use of his/her card.

Use of the procurement card shall be limited as follows:

- The total value of a transaction shall not exceed a cardholder's single purchase transaction limit. Payment for a purchase **SHALL NOT** be split into multiple transactions to stay within the single purchase transaction limit. Single transaction limits can be adjusted by request.
- All items purchased "over the counter" must be immediately available at the time of procurement card use. **No backordering of merchandise is allowed.**
- ~~Assigned spending limit must be followed, without exception.~~
- The cardholder shall inform the vendor of the City's tax exempt status.

The procurement card **SHALL NOT BE USED** for the following:

- Personal purchases or identification
- Cash advances
- Telephone calls
- Meals for travel when the per diem method of reimbursement is used
- Goods or services that are not immediately available
- Alcohol or other expenditures restricted by City policy

Quote Policies and Procedures

Less than \$1,000 - Departments may purchase from the vendor of their choice, but encouraged to seek competition

\$1,000 - \$4,999 - Two price quotes (verbal or written)

\$5,000 - over - Three price quotes (written)

Whenever a procurement card purchase is made, documentation shall be retained in the department as proof of the purchase. The cardholder is responsible for making sure that the vendor lists the quantity and fully describes the item(s). Such documentation will be used to verify the purchases listed on the cardholder's monthly account statement and for internal and/or external auditing.

**CITY OF APPLETON
Employee Agreement**

I, _____, hereby request a procurement card. As a cardholder I agree to comply with the following terms and conditions regarding my use of the card.

- I understand that I am being entrusted with a valuable tool - a **procurement card** - and will be making financial commitments on behalf of the City of Appleton. I will strive to obtain the best value for the City by using "preferred suppliers" if identified by the City's Purchasing Manager.
- I understand that the City of Appleton is liable to the procurement card vendor for all charges made on the card.
- I agree to use this card for approved purchases only and agree not to charge personal purchases. I understand the Finance Department will audit the use of this card and report and take appropriate action on any discrepancies.
- I will follow established procedures for the use of the card. Failure to do so may result in revocation and/or other disciplinary action.
- I have been given a copy of the purchasing card administrative rules including the "quick reference information" and understand the requirements and limitations for the card's use.
- I agree to return the card immediately upon request or upon termination of employment, including retirement.
- If the card is lost or stolen, I agree to notify the procurement card vendor immediately, and the Purchasing Manager by the next working day.
- I understand that if personal purchases are discovered on the card, I will be held personally responsible for payment of such charges and will be subject to disciplinary actions up to and including discharge.

Employee Signature

Social Security Number

Department

Date



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**PARKS, RECREATION & FACILITIES
MANAGEMENT**

Dean R. Gazza, Director

1819 East Witzke Boulevard
Appleton, Wisconsin 54911-8401
(920) 832-5572 FAX (920) 993-3103
Email - dean.gazza@appleton.org

TO: Finance Committee

FROM: Dean R. Gazza

DATE: 9/13/2016

RE: Action: Award the City of Appleton "2016 Wastewater Hardscape Repairs Project" contract to MCC, Inc. in the amount of \$118,030.62 with contingency of \$17,000.00 for a project not to exceed \$135,030.62.

The 2016 Capital Improvement Plan includes \$150,000.00 for repairing hardscapes at the Wastewater Treatment Facility. Of that amount, \$14,271.25 has been utilized on design, leaving a balance of \$135,728.75 for construction. The project includes replacing sections of failing asphalt and concrete at the Wastewater Treatment Facility. The locations were determined by our consulting engineer after a hardscape audit was completed at the site.

The bids were received as follows:

MCC, Inc. (low bid)	\$118,030.62
Northeast Asphalt, Inc.	\$159,660.00

The Parks, Recreation, and Facilities Management Department, upon review from our consulting engineer, recommends awarding the contract to MCC, Inc. in the amount of \$118,030.62 plus a contingency of \$17,000 only to be utilized as needed.

Please contact me at 832-5572 or at dean.gazza@appleton.org with any questions.



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**PARKS, RECREATION & FACILITIES
MANAGEMENT**

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(920) 832-5572 FAX (920) 993-3103
Email - dean.gazza@appleton.org

TO: Finance Committee

FROM: Dean R. Gazza

DATE: 09-13-2016

RE: Action: Award the City of Appleton's Wastewater Treatment Facility "2016 D-Building Lab Remodel" contract to Cardinal Construction Co, Inc. in the amount of \$104,765 with a contingency of \$5,000 for a contract total not to exceed \$109,765.

Action: Approve budget transfer of \$7,000 from the "Plumbing Improvement Project" and \$21,000 from "Belt Filter Press Electrical Improvements Project to "Wastewater D-Building Lab Remodeling Project."

The 2016 Capital Improvement Plan includes \$100,000 for remodeling the D-Building Lab at the Wastewater Treatment Facility. The project includes abating all the asbestos floor tiles, installing new lab grade cabinets/countertops, new epoxy floor, and painting. The existing lab has asbestos floor tiles throughout the entire building. In order to abate the asbestos we will need to demo the entire lab and install new furnishings.

The bids were received as follows:

Cardinal Construction Co.	\$104,765
Howard Immel, Inc.	\$109,772
RJM Construction, LLC	\$114,815

During the design/bidding phase it was determined that the cost and quantity of asbestos abatement was more than originally estimated, thus raising the anticipated cost of this project. We are requesting to transfer budget from the Plumbing Improvement Project that had bid below the estimate and from the Belt Filter Press Electrical Improvement Project that has had been delayed and may have a change in scope.

Our consulting engineer has written the City of Appleton a formal letter of recommendation to award the contract to Cardinal Construction, Co. Therefore, the Parks, Recreation, and Facilities Management Department recommends awarding the contract to Cardinal Construction, Co. in the amount of \$104,765 plus a contingency of \$5,000 only to be utilized as needed.

Please contact me at 832-5572 or at dean.gazza@appleton.org with any questions.



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**PARKS, RECREATION & FACILITIES
MANAGEMENT**

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Email - dean.gazza@appleton.org

TO: Finance Committee

FROM: Dean R. Gazza

DATE: 09-13-2016

RE: Action: Award the City of Appleton “2016 Parks LED Lighting Upgrade Project” contract to Van Ert Electric Company, Inc. in the amount of \$87,500 with a contingency of \$4,000 for a contract total not to exceed \$91,500.

Action: Approve positive balance transfer of \$18,000 from the “Police Station Deck Repairs Project” to “2016 Parks LED Lighting Upgrade Project.”

The 2016 Capital Improvement Plan includes \$100,000 for upgrading the lighting to LED at various parks throughout the city. Of that amount, \$24,494 has been utilized on design leaving a balance of \$75,506 for construction. The project includes replacing all the light poles and underground wiring at City Park. The existing light poles and wiring are antiquated and are in need of replacement. This project will benefit all the events in City Park by upgrading the wiring and adding in future power locations.

The bids were received as follows:

Van Ert Electric Company, Inc.	\$87,500
VOE Power and Systems, LLC	\$147,476
K & B Electric, LLC	\$158,290

During the design/bidding phase it was determined that adding extra conduits and wiring into the electrical duct banks are needed as part of the project for future events and programming at City Park, thus raising the anticipated cost of this project. We are requesting to utilize the positive variances from the Police Station Deck Repairs Project that has been completed below the estimated project cost.

The Parks, Recreation, and Facilities Management Department, upon review from our consulting engineer, recommends awarding the contract to Van Ert Electric Company, Inc. in the amount of \$87,500 plus a contingency of \$4,000 only to be utilized as needed.

Please contact me at 832-5572 or at dean.gazza@appleton.org with any questions.



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(920) 832-5572 FAX (920) 993-3103
Email - dean.gazza@appleton.org

TO: Finance Committee

FROM: Dean R. Gazza

DATE: 9/13/2016

RE: Action: Award the City of Appleton “2016 Hardscape Repairs Project” contract to MCC, Inc. in the amount of \$118,723.72 with contingency of \$3,800.00 for a project not to exceed \$122,523.72.

The 2016 Capital Improvement Plan includes \$140,000 for repairing hardscapes at Pierce Park, Schaefer Park, Kiwanis Park, and Fire Station #3. Of that amount, \$17,377 has been utilized on design leaving a balance of \$122,623 for construction. The project includes replacing sections of failing asphalt and concrete at the above locations. The locations were determined by our consulting engineer after a hardscape audit was completed at each site.

The bids were received as follows:

MCC, Inc. (low bid)	\$118,723.72
Northeast Asphalt, Inc.	\$190,027.00

The Parks, Recreation, and Facilities Management Department, upon review from our consulting engineer, recommends awarding the contract to MCC, Inc. in the amount of \$118,723.72 plus a contingency of \$3,800 only to be utilized as needed.

Please contact me at 832-5572 or at dean.gazza@appleton.org with any questions.



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**PARKS, RECREATION & FACILITIES
MANAGEMENT**

Dean R. Gazza, Director

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(920) 832-5572 FAX (920) 993-3103
Email - dean.gazza@appleton.org

TO: Finance Committee

FROM: Dean R. Gazza

DATE: 9/13/2016

RE: Action: Award the City of Appleton "2016 Transit Center Roof Repairs Project" contract to Northern Metal and Roofing Co., Inc. in the amount of \$31,545 with contingency of \$5,000 for a project not to exceed \$36,545.

Valley Transit has filed for a 80/20 federal grant in the amount of \$110,305 for replacing the roof at the Transit Center and replacing the heaters in the Bus Garage. (\$88,244 Federal/\$22,061 local match). Of that amount, \$45,000 has been allocated to the roof replacement at the Transit Center. Of the \$45,000 we have allocated \$4,600 for design and the remaining \$40,400 for construction. The roof at the Transit Center has reached the end of its useful life and needs to be replaced.

The bids were received as follows:

Northern Metal and Roofing, Inc. (low bid)	\$31,545
H.I.S Corporation	\$36,929
Weinert Roofing	\$44,250
Walsdorf Roofing Company, Inc.	\$49,100

The Parks, Recreation, and Facilities Management Department, upon review from our consulting engineer, recommends awarding the contract to Northern Metal and Roofing Co., Inc. in the amount of \$31,545 plus a contingency of \$5,000 only to be utilized as needed.

Please contact me at 832-5572 or at dean.gazza@appleton.org with any questions.



TO: Finance Committee

FROM: Tony Saucerman, Finance Director *TS*

DATE: September 8, 2016

RE: Request to approve \$1,232,156 advance from the general fund to TIF 6 for 2016 capital costs

The 2016 Budget included \$1,232,156 in road construction costs in the City's TIF 6 (page 581). These costs were identified to be funded by long-term debt (bond issue). However, I am requesting this funding instead come from an advance (loan) from the general fund. Reasons for my recommendations are as follows:

- TIF 6 is required to close in 2023. This leaves the TIF only 7 years to repay any debt issued. Since City G.O. debt usually involves 10 year payback schedules, it would be difficult to carve out a 7 year amortization for this particular amount. A separate issue may be necessary which would be cost-prohibitive due to the additional issuance costs that would be incurred.
- An advance from the general fund allows more flexibility with repayments. TIF 6 is experiencing a great deal of activity, the latest being the Encapsys development, and is expected to experience more. City control of the repayments to the general fund allow more flexibility in terms of cash flow within the TIF when analyzing potential developments.
- By policy, the interest rate paid back to the general fund is 5%. This is a very competitive rate and keeps the funds "in-house" versus paying external bond-holders.
- The general fund has the excess fund balance to make the advance to TIF 6 due to repayments of advances made to other TIF's in past years.
- Reduces the amount G.O. debt outstanding.

As always, feel free to contact me with questions or concerns. Thank you for your consideration.

**CITY OF APPLETON 2016 BUDGET
DEPARTMENT OF PUBLIC WORKS
CONCRETE PAVEMENT CAPITAL IMPROVEMENT PROGRAM**

2016	Street	From	To	General Fund	DPW Capital Projects	TIF # 6	Industrial Park Land Fund	Sub-division Fund	Total Cost
Labor Pool				156,887	116,632	13,657	2,223	122,913	412,212
CEA				8,900	8,600	3,500	-	9,450	30,450
Land	Edgewood Dr (CTH JJ)	Ballard Rd	Lightning Dr	60,000					60,000
	Lightning Dr, new roundabout at Edgewood Dr (CTH JJ)			50,000					50,000
	Misc Land acquisition for street projects			75,000					75,000
	Oneida St	Hoover Ave	Skyline Bridge	525,000					525,000
	Richmond St	CTH OO (land)	HSIP funds	75,000					75,000
	S Island St - BRIDGE	over power canal	land acq	10,000					10,000
	Subtotal			795,000	-	-	-	-	795,000
Design	CTH KK	at 441	design study	40,000					40,000
	Material Testing							5,000	5,000
	Material Testing			10,000					10,000
	Oneida St	Hoover Ave	Skyline Bridge	125,000					125,000
	Subtotal			175,000	-	-	-	5,000	180,000
New Concrete (New Subdivisions Escrowed)	Subtotal			-	-	-	-	-	-
New Concrete (New Subdivisions non escrowed)	Aurora Dr	Forest St	cds					133,939	133,939
	Barton Ct	Highpond Tr	cds					52,590	52,590
	Highpond Tr	Smoketree Pass	Purdy Pkwy					189,306	189,306
	Lourdes Dr	Kensington Dr	Aurora Dr	-				226,283	226,283
	Ravenswood Ct	Ballard Rd	cds					54,645	54,645
	Smoketree Ps	Applehill Blvd	cds					349,020	349,020
	Subtotal			-	-	-	-	1,005,783	1,005,783
New Concrete (Not in New Subdivisions)	Endeavor Dr	Lakeland Dr	Eisenhower Dr			224,612			224,612
	Lakeland Dr	Endeavor Dr	Vantage Dr			198,599			198,599
	Lakeland Dr	Plank Rd	Endeavor Dr			185,592			185,592
	Plank Rd	Lake Park Rd	Lakeland Dr			606,196			606,196
	Subtotal			-	-	1,214,999	-	-	1,214,999
Reconstruction	Alley n/o Amelia St	Woodmere St	Ballard Rd	110,840					110,840
	Alley s/o College Ave	Badger Ave	Locust St	50,389					50,389
	Alley w/o Appleton St	Commercial St	Spring St	27,783					27,783
	Alley w/o Appleton St	Spring St	Summer St	27,783					27,783
	John St (CTH KK)	Walden Ave	Matthias Ave	-	2,256,468				2,256,468
	Calumet St (CHT KK)	Kensington Dr	to 441	35,000					35,000
	Midway Rd	Hemlock Ln	ped crossing	141,556	-				141,556
	Midway Rd	Kernan Ave	ped crossing	141,556	-				141,556
	Midway Rd	Whip-Poor-Will	ped crossing	30,707	-				30,707
	South River St	Kernan Ave	John St.	54,196	-				54,196
	Eighth St	Elm St	Elm St, 210' e/o)		65,959				65,959
	Eighth St	Walnut St	Elm St		167,786				167,786
	Elm St	Eighth St	Lawrence St		193,686				193,686
	Elm St	Sixth St	Seventh St		49,300				49,300
	Lawrence St	Elm St	Superior St		363,950				363,950
	Walnut St	Seventh St	Eighth St		122,500				122,500
	Subtotal			619,810	3,219,649	-	-	-	3,839,459
Total Concrete Paving				\$ 1,755,597	\$ 3,344,781	\$ 1,232,156	\$ 2,223	\$ 1,143,146	\$ 7,477,903



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Department of Utilities
Wastewater Treatment Plant
2006 E Newberry Street
Appleton, WI 54915-3128
920-832-5945 tel.
920-832-5949 fax

To: Chairperson Kathy Plank and Members of the Finance Committee

From: Utilities Deputy Director, Chris Stempa

cc: Utilities Director Chris Shaw;
Kelli Rindt, Enterprise Fund Accounting Manager

Date: September 7, 2016

Re: **Informational Item: *Change Orders #1, #2, and #3 to August Winter & Sons Inc. contract as part of the AWWTP Digester Improvements Project for contract extension, PLC equipment, and biogas cross-over pipe modification totaling \$14,294 resulting in a decrease in contingency from \$38,000 to \$23,706. No change to overall contract amount.***

Explanation:

On February 3, 2016 Common Council approved contract for the Appleton Wastewater Treatment Plant (AWWTP) Digester Improvements Project to August Winter and Sons, Inc. for \$380,008 with a contingency of \$38,000 for a project total not to exceed \$418,008. The project improvements optimize the existing biogas (e.g. methane) mixing system, provide better measurement of modern gas metering technology, and introduce process instruments and SCADA improvements for improved process control.

- **Change Order #1 (\$0) – Extend Substantial & Final Completion Dates:** The original contract with August Winter & Sons Inc. included an aggressive project schedule predicated on the August 1, 2016 Focus on Energy incentive program deadline (\$22,695 incentive). The contract document formally described a substantial completion date of May 15, 2016 and final completion date of June 15, 2016. However, equipment lead-times were longer than anticipated for pressure transmitters, gas condensate tanks, and additional programmable logic controller (PLC) equipment. Therefore, the contract substantial completion date was extended to July 31, 2016 and final completion to September 30, 2016 to compensate for not only the additional lead-time but equipment installation and startup. It should be noted that all equipment designed as part of the Digester Improvements Project was successfully installed and started in advance of the Focus on Energy incentive deadline.

- **Change Order #2 (\$9,933) – Additional PLC Equipment:** This change order includes costs for additional PLC equipment including associated input modules and digital relays required to automate the biogas mixing system as designed. It was discovered during construction that an existing control module intended to support the new equipment installation had failed. It was also discovered that the existing electrical control panel did not have sufficient isolation relays and digital input modules required to fully automate the gas mixing system and provide feedback to the wastewater SCADA computer system.
- **Change Order #3 (\$4,361) – Biogas Cross-Over Pipe:** The original design intent of the 1990's biogas system was that each primary anaerobic digester have a dedicated gas mix compressor assigned to it. A cross-over pipe was installed as part of original construction to facilitate contingent gas mixing operation if one of the two compressors failed or was placed offline for maintenance by way of manually opening and closing specific valves. However, the original cross-over pipe location in relation to a new biogas condensate removal tank (Condensate Tank #2) does not allow biogas to be directed through it while operating Gas Mix Compressor #2. Instead the biogas short-circuits without pretreatment directly to Gas Mix Compressor #2. Change Order #3 includes costs to install an 8-inch diameter gas suction cross-over pipe with an isolation butterfly valve. The new cross-over pipe will allow pretreatment of all biogas prior to entering either online gas mix compressor. It also provides expanded operational versatility for gas system piping isolation during maintenance events.

If you have any questions regarding the project or change orders please contact Chris Stempa at 832-2353.



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Department of Utilities
Wastewater Treatment Plant
2006 E Newberry Street
Appleton, WI 54915-3128
920-832-5945 tel.
920-832-5949 fax

To: Chairperson Kathy Plank and Members of the Finance Committee

From: Utilities Deputy Director, Chris Stempa

cc: Utilities Director Chris Shaw;
Kelli Rindt, Enterprise Fund Accounting Manager

Date: September 7, 2016

Re: **Informational Item: *Change Orders #1, #2, and #3 to August Winter & Sons Inc. contract as part of the Scarlet Oak Lift Station Improvements Project for subsurface geotextile, contract extension, and PLC software modification totaling \$1,391 resulting in a decrease in contingency from \$10,460 to \$9,069. No change to overall contract amount.***

Explanation:

On April 6, 2016 Common Council approved contract for the Scarlet Oak Lift Station Improvements Project to August Winter and Sons, Inc. for \$139,471 with contingency of \$10,460 for a project total not to exceed \$149,931. The lift station is located on the east side of the 3300 block of South Scarlet Oak Lane and was originally constructed in 1995. Escalating occurrences of electrical system failure, sewage pump blockages, and various wetwell component deterioration increased the potential for sanitary sewer bypasses and basement backups. The project improvements identified to restore lift station system reliability include new high efficiency pumps pump rail system replacement, wholesale electrical system replacement, and improvements to site access.

Change orders #1, #2, and #3 are described below. Each change order was authorized according to the guidelines outlined within the Appleton Procurement and Contract Management Policy.

- **Change Order #1 (\$889) – Site Access Geotextile:** This change order includes costs for the addition of geotextile fabric. Geotextile fabric was placed over excavated subbase soils prior to the engineered base and Geoblock® porous media being installed. The geotextile fabric was determined necessary to prevent deflection of underlying soft soils when heavy equipment utilize the improved access drive for maintenance related activities.

- **Change Order #2 (\$0) – Extend Substantial & Final Completion Dates:** The original contract with August Winter & Sons Inc. described a substantial completion date of June 15, 2016 and final completion date of July 29, 2016. All lift station equipment was installed and operational before the June 15, 2016 substantial completion date. However, delays with site access improvements (described in Change Order #1) and PLC software modifications (described in Change Order #3) necessitated a contract extension to facilitate completion of outstanding punch list items. Therefore, the contract substantial completion date was extended to July 31, 2016 and final completion to September 12, 2016.
- **Change Order #3 (\$502) – PLC Software Modifications:** The new pump control panel with programmable logic controller (PLC) and operator interface terminal (OIT) did not facilitate the segregation of setpoints desired for high level and lag pump start. This configuration is a more recent lift station standardization preference by the Utility which was not defined when the project bidding documents were formulated. The change order costs include necessary parts and labor to incorporate the aforementioned preference.

If you have any questions regarding the project or change orders please contact Chris Stempa at 832-2353.