



City of Appleton

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

Meeting Agenda - Final Finance Committee

Tuesday, October 25, 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

[16-1545](#) September 13, 2016, September 21, 2016 and October 5, 2016 Finance Committee minutes

Attachments: [MeetingMinutes13-Sep-2016-12-32-46.pdf](#)

[MeetingMinutes21-Sep-2016-12-34-01.pdf](#)

[MeetingMinutes05-Oct-2016-12-01-23.pdf](#)

4. **Public Hearings/Apearances**

5. **Action Items**

[16-1548](#) CEA Review Committee Report for September 20, 2016

Attachments: [MeetingMinutes20-Sep-2016-12-46-03.pdf](#)

[16-1585](#) Request to approve request from Alderperson Siebers that special assessments for sanitary laterals, storm sewer and storm sewer laterals for properties on Fair Street that are zoned Commercial and R3 with single family residential use be assessed as Single Family.

Attachments: [Fair St Spec Assessment.pdf](#)

[16-1586](#)

Request to approve the following 2016 Budget adjustment:

HazMat Fund

Chemicals	+\$50,000
State Grants	+\$50,000

to record a Department of Homeland Security grant for the purchase of firefighting foam for crude oil response (2/3 vote required).

Attachments: [Fire Foam Grant 2016.pdf](#)

[16-1587](#)

Request to approve the following 2016 Budget adjustment:

HazMat Fund

Chemicals	+\$56,826
State Grants	+\$56,826

to record a Department of Homeland Security grant for the purchase of HazMat radiological detection equipment (2/3 vote required).

Attachments: [Fire Radiological Equipment Grant 2016.pdf](#)

[16-1620](#)

Request to award contract of materials testing services for the Fox Cities Exhibition Center to PSI for a time and materials contract not to exceed \$60,000, and approve the following 2016 Budget adjustment:

Exhibition Center Construction Project

Contractor Fees	+\$60,000
Room Tax/Proceeds of Debt	+\$60,000

to award materials testing services contract to PSI (2/3 vote required).

Attachments: [2016 Expo Center Testing Services.pdf](#)

[16-1621](#)

Request to enter into intergovernmental Agreement with Appleton Area School District to borrow short term cash in an amount not to exceed \$14,500,000 from time to time as needed. The note shall be dated as of date of issuance, shall bear interest at the rate of 2% above the average Federal Funds rate from its dated date until paid; and shall mature no later than June 30, 2017. Interest on the note shall be paid at maturity or redemption.

Attachments: [2016-2017 Master Note Agreement.pdf](#)

[AASD 2016-2017 Bond Council letter.pdf](#)

- [16-1626](#) Request from Mr. David Galow, 525 N. Division Street, for an exception to Section XI(A)(2) of the Special Assessment Policy stating that payment shall be in one installment if the assessment is \$1,000 or less. Mr. Galow's assessment for sanitary lateral is \$912.

Attachments: [Assessment Policy Section XI Method of Payment.pdf](#)

- [16-1646](#) Request to award the Appleton Memorial Park 2016 Park Sign and Message Board contract to TLC Sign in the amount of \$39,994.83.

Attachments: [AMP Park Sign and Message Center.pdf](#)

- [16-1647](#) Request to approve the Development Agreement between the City of Appleton and Kurey Ridge, LLC for the Glacier Valley Condominiums.

Attachments: [Development Agreement - Glacier Valley Condominiums.pdf](#)

- [16-1648](#) Request to approve a sole source purchase of 42" PCCP water main pipe and fittings from U.S. Pipe for the 2017 S. Oneida Street Water Main Relocation project.

Attachments: [Sole Source Purchase Request - US Pipe.pdf](#)

- [16-1672](#) Request to approve the following 2106 Budget adjustment:

Exhibition Center Construction Project

Consulting Services	+\$15,000
Room Tax/Proceeds of Debt	+\$15,000

to record cost of municipal advising services related to the financing of the Exhibition Center (2/3 vote required).

Attachments: [Speer Financial Muni Advisor.pdf](#)

- [16-1670](#) 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 Fox River Cleanup pursuant to §19.85(1)(g) and reconvene into open session.

6. Information Items

- [16-1546](#) Contract 37-16 was awarded to Fischer-Ulman Construction, Inc. for \$265,000 for Sidewalk Construction. Payments issued to date total \$183,933.99. Request final payment of \$57,228.70.

[16-1547](#) Contract 11-15 was awarded to Advance Construction Company for \$2,411,249.75 with a contingency of \$60,000 for WTP Storm Sewer Reconstruction. Payments issued to date total \$2,305,388.51. Request final payment of \$66,650.94.

[16-1557](#) Contract 40-16 was awarded to K&B Electric, LLC to replace the exterior lighting at Fire Stations #3 and #5 in the amount of \$38,110 with a contingency of \$3,811. One change order was issued in the amount of \$2,811. Payments issued to date total \$36,204.50. Request to issue the final contract payment of \$4,716.50.

Attachments: [2016 Fire Station #3 and #5 Exterior Lighting Final Payment.pdf](#)

[16-1558](#) Contract 31-16 was awarded to Weinert Roofing for pavilion roof replacements at Green Meadows, Peabody, and Union Springs Parks in the amount of \$37,244 with a contingency of \$3,724. One change order was issued in the amount of \$1,270. Payments issued to date total \$30,916.80. Request to issue the final contract payment of \$7,597.20.

Attachments: [2016 Park Pavilions Phase 1 Roof Replacement Final Payment.pdf](#)

[16-1590](#) The following 2016 Budget adjustments were approved by the Mayor and the Finance Director in accordance with Policy:

General Fund - Park & Recreation Department

Grants and Donations	+\$75
Landscape Supplies	+\$75

to record funds received from the Outagamie County Master Gardeners for the Scheig Center

General Fund & Facilities Management Fund

DPW Supplies	+\$3,500
Fire Department Supplies	+\$3,500
Facilities Supplies	+\$1,000
Miscellaneous Local Aids	+\$8,000

to record CVMIC safety grant

[16-1613](#) Contract 26-15 was awarded to Al Dix Concrete, Inc. for \$604,800 for Miscellaneous Concrete/Street Excavation Repair. Change orders were approved totaling \$133,226.11. Final contract amount is \$738,026.11. Payments issued to date total \$726,709.57. Request final payment of \$9,824.24.

[16-1614](#) Contract 25-16 was awarded to August Winter & Sons for \$139,471 with a contingency of \$10,600 for Scarlet Oak Lift Station. Change orders were approved totaling \$1,391. Final contract amount is \$140,862. Payments issued to date total \$133,342. Request final payment of \$7,520.

[16-1617](#) 2017 Facilities Management Department Budget and 2017 Capital Improvement Projects Fund

Attachments: [2017 Facilities Management Budget.pdf](#)
[2017 Facilities Capital Projects Fund.pdf](#)

[16-1654](#) 2017 Finance Budget

Attachments: [2017 Finance Budget.pdf](#)

[16-1655](#) 2017 Legal Services Budget

Attachments: [2017 Legal Services Budget.pdf](#)

[16-1656](#) 2017 Risk Management Budget

Attachments: [2017 Risk Management Budget.pdf](#)

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 regarding agenda, please contact Tony Saucerman at (920) 832-6440.



City of Appleton

100 North Appleton Street
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Meeting Minutes Finance Committee

Tuesday, September 13, 2016

4:30 PM

Council Chambers, 6th Floor

1. Call meeting to order

Meeting was called to order at 4:30 pm.

2. Roll call of membership

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

Excused: 1 - Alderperson Martin

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](#)

**Alderperson Dannecker moved, seconded by Alderperson Plank, that the
Minutes be approved. Roll Call. Motion carried by the following vote:**

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

Excused: 1 - Alderperson Martin

4. Public Hearings/Appealances

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](#)

**Alderperson Dannecker 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 Lobner and
Alderperson Siebers

Excused: 1 - Alderperson Martin

[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](#)

Alderperson Dannecker 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 Lobner and Alderperson Siebers

Excused: 1 - Alderperson Martin

[16-1402](#)

Award Unit O-16 Sanitary Sewer and Storm Sewer CIPP Lining to Insituform Technologies USA, LLC in the amount of \$121,131.50 with a 10% contingency of \$12,000 for a project total not to exceed \$133,131.50.

Attachments: [Insitute Form Award 2016.pdf](#)

Alderperson Dannecker 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 Lobner and Alderperson Siebers

Excused: 1 - Alderperson Martin

[16-1403](#)

Award Unit Z-16 Sewer and Water Main Reconstruction No. 3 to Carl Bowers & Sons Construction Co, Inc. in the amount of \$813,365 with a 4.2% contingency of \$34,000 for a project total not to exceed \$847,365.

Attachments: [Bowers Award 2016.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: 4 - Alderperson Plank, Alderperson Dannecker, Alderperson Lobner and Alderperson Siebers

Excused: 1 - Alderperson Martin

[16-1404](#)

Request to approve revisions to the Procurement Card Policy.

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

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

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

Excused: 1 - Alderson Martin

[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](#)

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

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

Excused: 1 - Alderson Martin

[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.

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

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

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

Excused: 1 - Alderson Martin

[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.

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

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

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

Excused: 1 - Alderson Martin

[16-1409](#)

Request to award the contract for 2016 Hardscape Repairs Project to MCC, Inc in the amount of \$118,723.72 with a contingency of \$3,800 for a project not to exceed \$122,523.72.

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

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

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

Excused: 1 - Alderson Martin

[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](#)

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

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

Excused: 1 - Alderperson Martin

[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](#)

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: 4 - Alderperson Plank, Alderperson Dannecker, Alderperson Lobner and Alderperson Siebers

Excused: 1 - Alderperson Martin

[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.

Alderperson Dannecker moved, seconded by Alderperson Lobner, to convene in Closed Session. Roll Call. Motion carried by the following vote:

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

Excused: 1 - Alderperson Martin

Alderperson Dannecker moved, seconded by Alderperson Lobner, to rise and report, returning into open session. Upon vote, motion carried unanimously.

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

Excused: 1 - Alderperson Martin

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](#)

This Presentation was received and filed

[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](#)

This Presentation was received and filed

[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 administered 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

This Presentation was received and filed

7. Adjournment

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

Aye: 4 - Aldersperson Plank, Aldersperson Dannecker, Aldersperson Lobner and Aldersperson Siebers

Excused: 1 - Aldersperson Martin



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Meeting Minutes Finance Committee

Wednesday, September 21, 2016

6:45 PM

Council Chambers, 6th Floor

SPECIAL

1. Call meeting to order

Meeting called to order at 7:05pm

2. Roll call of membership

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

5. **Action Items**

[16-1487](#)

Request to approve the following 2016 Budget adjustment:

Industrial Park Land Fund

Land	+\$610,000
Fund Balance	- \$610,000

to record funds for the purchase of 210 W Edgewood Drive.

Attachments: [Memo to CEDC & Finance on Purchase of 210 W Edgewood Dr.pdf](#)
[210EdgewoodAirPhoto.pdf](#)
[210EdgewoodMap.pdf](#)
[Future Land Use Revise6 16.pdf](#)
[210 W Edgewood Accepted Offer.pdf](#)

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

6. **Information Items**

None

7. Adjournment

A motion was made by Alderperson Lobner, seconded by Alderperson Dannecker, that this meeting be adjourned.. The motion carried by the following vote:

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



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Meeting Minutes Finance Committee

Wednesday, October 5, 2016

6:30 PM

Council Chambers, 6th Floor

SPECIAL

1. Call meeting to order

Meeting called to order at 6:30pm.

2. Roll call of membership

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

4. Public Hearings/Appealances

5. Action Items

[16-1523](#)

Request to award Unit CC-16 Milis Drive and Eisenhower Drive Sewer and Water to Kruczek Construction, Inc in the amount of \$255,555.55 with a 5% contingency of \$12,800 for a project total not to exceed \$268,355.55.

Attachments: [Award of Contract CC-16.pdf](#)

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

[16-1524](#)

Request to approve Bid Package #1 into the Guaranteed Maximum Price Amendment for the Fox Cities Exhibition Center construction project for a contract not to exceed \$3,595,039, and approve the related 2016 Budget adjustment:

Exhibition Center Construction Project

Building Construction	\$3,595,039
Room Tax Revenue/Proceeds of Debt	\$3,595,039

To award bid package #1 to Calnin & Goss for earthwork and earth retention.

Attachments: [Finance Committee FCEC Bid #1 Award.pdf](#)

Aldersperson Siebers moved, seconded by Aldersperson Martin, 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

None

7. Adjournment

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

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



City of Appleton

100 North Appleton Street
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Meeting Minutes CEA Review Committee

Tuesday, September 20, 2016

3:30 PM

Council Chambers, 6th Floor

1. Call meeting to order

2. Roll call of membership

Present: 4 - Vandehey, Saucerman, Alderperson Croatt and Alderperson Lobner

3. Approval of minutes from previous meeting

[16-1458](#)

Minutes from June 7, 2016

Attachments: [Minutes from June 7, 2016.pdf](#)

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

Aye: 4 - Vandehey, Saucerman, Alderperson Croatt and Alderperson Lobner

4. **Public Hearings/Appealances**

5. **Action Items**

[16-1459](#)

Request to purchase and add to the CEA Fleet in 2017, a passenger vehicle with an estimated cost of \$30,000, to be used as the Parking Utility Enforcement Vehicle.

Attachments: [Parking Utility Enforcement Vehicle.pdf](#)

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

Aye: 4 - Vandehey, Saucerman, Alderperson Croatt and Alderperson Lobner

[16-1460](#)

Request to add trailer liner as accessory to semi-trailer #50, with the cost of \$4,020 paid from the sanitation account.

Attachments: [Memo-semi trailer #50.pdf](#)

Alderson Croatt moved, seconded by Saucerman, that the Report Action Item be recommended for approval. Roll Call. Motion carried by the following vote:

Aye: 4 - Vandehey, Saucerman, Alderson Croatt and Alderson Lobner

6. Information Items

[16-1461](#)

2016 Equipment Purchase Log

7. Adjournment

A motion was made by Tony Saucerman, seconded by Alderson Chris Croatt, that this meeting be adjourned. The motion carried by the following vote:

Aye: 4 - Vandehey, Saucerman, Alderson Croatt and Alderson Lobner



MEMO

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

TO: Finance Committee

FROM: Paula Vandehey, Director of Public Works *PAV*

DATE: October 6, 2016

RE: Request from Alderperson Siebers that special assessments for sanitary laterals, storm sewer and storm sewer laterals for properties on Fair Street that are zoned Commercial and R3 with single family residential use be assessed as Single Family.

The Special Assessment Policy, adopted by the City Council annually, establishes assessment rates based on zoning, not usage. This philosophy has been debated many times over the 100 plus years of our Assessment Policy. The policy has continued to be based on zoning as it is an easily documented way to levy assessments versus use which could change without documentation (i.e. the City's parcel information includes a zoning category, but not a use category).

The properties being assessed as part of the Fair Street Project are as follows:

TAX ID	Owner's Name	Property Address	Mailing Address	Assessment	If Single family
5-1132	Stacey Staffeld	214 N. Fair Street	214 N. Fair Street	\$ 3,070.40	\$ 760.00
5-1134	Marc Daverveld	210 N. Fair Street	210 N. Fair Street	\$ 2,898.00	\$ 722.00
5-1136	Deanna Siewert	202 N. Fair Street	202 N. Fair Street	\$ 3,096.00	\$ 760.00
5-1143	Francine Rabideau	219 N. Fair Street	219 N. Fair Street	\$ 2,560.00	\$ 760.00
5-1145	Michael Weber	211 N. Fair Street	63 Bellaire Court	\$ 2,160.00	\$ 760.00
5-1146	James Christman ET AL	209 N. Fair Street	PO Box 2372	\$ 2,160.00	\$ 760.00
5-1149	Michael Laux	139 N. Fair Street	Mequon, WI	\$ 3,200.00	\$ 760.00
			TOTAL	\$ 19,144.40	\$ 5,282.00

Alderperson Siebers is requesting that the special assessments for sanitary laterals, storm sewer and storm sewer laterals for properties on Fair Street that are zoned Commercial and R3 with single family use be assessed as Single Family.

Attachment

July 4
September 5
November 24 & 25
December 23, 24, 25

Email Address * siebersw@yahoo.com
First Name: William
Last Name: Siebers
Address: 1109 N. Appleton Street
City: Appleton
State: Wisconsin
Zip Code: 54911
Phone Number 9207344204
Fax Number: Not answered

Comments/Questions

I have a situation in my district - 200 block of North Fair Street. Sewer and lateral work was done on the street. The block has a mix of zoning - mostly commercial - though all the usage is residential - and much is single family and on the low end of the value scale. Here is the problem, they got their assessment notices and at least two of them have stated that they feel the assessments are unfair when compared to assessments of areas nearby - because those properties are zoned residential. Is there any avenue these property owners can take in seeing if their assessments can be reduced? Alderperson William Siebers

Thank you,
Appleton, WI

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State of Wisconsin
Scott Walker, Governor



Department of Military Affairs
Donald P. Dunbar, Adjutant General

Office of the Adjutant General
2400 Wright Street · P.O. Box 14587 · Madison, WI 53708-0587

August 31, 2016

Ethan Kroll, Battalion Chief/Special Operations
Appleton Fire Department
700 North Drew Street
Appleton, WI 54911-5049

RE: Homeland Security/Firefighting Foam Cache for Crude Oil Response
DMA Grant Number: 2016-HSW-02A-10775

Dear Asst. Chief Kroll:

Congratulations! On behalf of General Dunbar, I have approved a grant award to City of Appleton in the amount of \$50,000. These funds are from DMA's Homeland Security Program available through the State of Wisconsin. This grant supports the City of Appleton Homeland Security/Firefighting Foam Cache for Crude Oil Response.

To accept this award, have the authorized official initial the bottom right corner of Attachments A and B, and sign the *Signatory Page*, *Certified Assurances*, and *OMB Standard Form 424B* (Attachment C). The Project Director should sign the *Acknowledgement Notice*. Two award packets are enclosed. Once signed, return one to WEM (attention: Deb Hughes) and keep the other for your records. Funds cannot be released until all signed documents are received.

As Project Director, you will be responsible for all reporting requirements outlined in the grant award and seeing that funds are administered according to the approved application materials and certifications enclosed. We look forward to a collaborative working relationship with you.

Sincerely,

Brian M. Satula, Administrator
Wisconsin Emergency Management



State of Wisconsin
Scott Walker, Governor



Department of Military Affairs
Donald P. Dunbar, Adjutant General

Office of the Adjutant General
2400 Wright Street · P.O. Box 14587 · Madison, WI 53708-0587

FY'16 HOMELAND SECURITY PROGRAM GRANT AWARD
Homeland Security/Firefighting Foam Cache for Crude Oil Response
2016-HSW-02A-10775

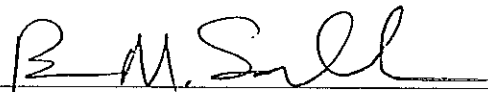
The Department of Military Affairs (DMA), hereby awards to **City of Appleton**, (hereinafter referred to as the **Recipient**), the amount of **\$50,000** for programs or projects pursuant to the federal Homeland Security Grant Program.

This grant may be used until **February 28, 2017** for the programs consistent with the budget and general conditions in Attachment A, subject to any limitations or conditions set forth in Attachments B and/or C, if included.

The Recipient shall administer the programs or projects for which this grant is awarded in accordance with the applicable rules, regulations, and conditions of the Department of Military Affairs. The submitted application is hereby incorporated as reference into this award.

This grant shall become effective, and funds may be obligated (unless otherwise specified in Attachments A and/or B) when the Recipient signs and returns one copy of this grant award to the Department of Military Affairs.

DONALD P. DUNBAR
Major General
Wisconsin National Guard
The Adjutant General

BY: 
BRIAN M. SATULA
Administrator
Wisconsin Emergency Management

8/31/2016

Date

The Recipient, **City of Appleton**, hereby signifies its acceptance of the above-described grant on the terms and conditions set forth above or incorporated by reference therein.

RECIPIENT: **City of Appleton**

BY: 
NAME: **Timothy Hanna**
TITLE: **Mayor**

9/13/16

Date

DEPARTMENT OF MILITARY AFFAIRS
ATTACHMENT A

APPROVED FY'16 HOMELAND SECURITY GRANT PROGRAM BUDGET

Recipient: City of Appleton

Project Title: Homeland Security/Firefighting Foam Cache for Crude Oil Response CFDA #97.067

Grant Period: From September 15, 2016 To February 28, 2017

Grant Number: 2016-HSW-02A-10775

APPROVED BUDGET

		<u>Federal & Match</u>
Personnel		
Employee Benefits		
Travel (Including Training)		
Equipment		\$50,000.00
Supplies & Operating Expenses		
Consultants		
Other		
FEDERAL TOTAL	<u>\$50,000.00</u>	
LOCAL CASH MATCH		
TOTAL APPROVED BUDGET	<u>\$50,000.00</u>	<u>\$50,000.00</u>

AWARD GENERAL CONDITIONS

1. Federal funds cannot be used to supplant local funds; they must increase the amount of funds that would otherwise be available from local resources.
2. To be allowable under a grant program, costs must be paid or obligated (purchase order issued) for services provided during the grant period. If obligated by the end of the grant period, payment must be made within 30 days of the grant period ending date.
3. Grant funds will be disbursed upon DMA receipt of copies of paid vendor invoices and requests for reimbursement (G-2) form. The G-2 form may be found at: <http://emergencymanagement.wi.gov/egrants/forms.asp>.
4. Recipients and subrecipients shall use their own procurement procedures and regulations, provided that the procurement conforms to applicable Federal law and the standards identified in the Procurement Standards Sections of 2 C.F.R. §§ 200.318-326.
5. Reimbursement for travel (i.e. mileage, meals, and lodging) is limited to applicable state rates and timeframes. DMA Grants staff are available to answer questions before costs are incurred.
6. All income generated as a direct result of a grant-funded project shall be deemed program income. Program income must be used for the purpose and under the conditions applicable to the award. Program income should be used as earned and must be expended within the grant performance period. If the cost is allowable under the Federal grant program, then the cost would be allowable using program income. All program income must be reported to DMA on the request for reimbursement (G-2) form.
7. The recipient agrees that all publications created with funding under this grant shall prominently contain the following statement: "This document was prepared under a grant from the U.S. Department of Homeland Security."
8. The recipient agrees that when practicable, any equipment purchased with grant funding shall be prominently marked as follows: "Purchased with funds provided by the U.S. Department of Homeland Security."
9. To be eligible to receive Federal preparedness funding assistance, applicants must meet NIMS compliance requirements. Information on achieving compliance is available through Wisconsin Emergency Management at <http://emergencymanagement.wi.gov/>
10. The recipient agrees that all allocations and use of funds under this grant will be in accordance with the Federal Fiscal Year (FY) 2016 Homeland Security Grant Program (HSGP) Notice of Funding Opportunity.
11. The recipient and any sub-recipients must comply with the Grant Announcement used to announce the funding opportunity.
12. The recipient and any sub-recipients must comply with the Grant Award Documents.
13. The recipient and any sub-recipients must cooperate with the Homeland Security Compliance Monitors.

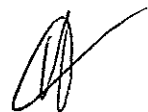


DEPARTMENT OF MILITARY AFFAIRS

ATTACHMENT B

Award Special Conditions

1. Agencies that accept funding are responsible for all sustainment cost.
2. Equipment shall be maintained and available to use as intended by the grant for the duration of its useful life. The sub-recipient is required to maintain proper equipment records. Sub-recipient seeking to dispose or transfer ownership of equipment must contact Wisconsin Emergency Management (WEM) Homeland Security Staff to obtain the Homeland Security Equipment Disposition Form, and further directions. If approved, the sub-recipient must maintain records of any equipment disposal or transfer of ownership. Any proceeds from the sale of equipment at or near the end of its useful life will be considered program revenue and must be reinvested into eligible homeland security expenses.
3. Municipalities receiving Class B foam for deployment under this project must sign a Memorandum of Understanding (MOU). Upload MOUs in Egrants within the monitoring section, under Project Document Attachment section.

A handwritten signature in black ink, consisting of a stylized, cursive 'A' followed by a horizontal line extending to the right.

WISCONSIN DEPARTMENT OF MILITARY AFFAIRS

ATTACHMENT C

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

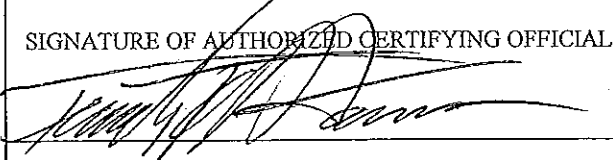
PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§ 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§ 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§ 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 		TITLE Mayor
APPLICANT ORGANIZATION City of Appleton		DATE SUBMITTED 9/13/16

ACKNOWLEDGEMENT NOTICE

Date: August 2016

Recipient: City of Appleton

Grant No. 2016-HSW-02A-10775

Project Title: Homeland Security/Firefighting Foam Cache for Crude Oil Response

The following regulations and obligations (referenced below) apply to your grant award.

☒ **PROGRESS REPORTS** must be submitted on a scheduled basis into the Egrants system. Narrative reports on the status of your project are due on:

10/12/2016

1/12/2017

3/30/2017 - Final

PROGRESS REPORTS
NOTE:

Quarterly Reports due 04/12 include January, February and March program activity.

Quarterly Reports due 07/12 include April, May and June program activity.

Quarterly Reports due 10/12 include July, August and September program activity.

Quarterly Reports due 01/12 include October, November and December program activity.

Reimbursements and grant modifications will be held if there are late program reports.

☒ **FINANCIAL REPORTS (G-2)** The G-2 request for reimbursement form may be found on the WEM website at <http://emergencymanagement.wi.gov/egrants/forms.asp>. Requests may be submitted monthly but, at a minimum, are due to WEM on:

10/12/2016

1/12/2017

3/30/2017 - Final

☒ **INVENTORY REPORT** should reflect final inventory in your records. All equipment purchases must be received, paid for, installed, and deployed before submitting report. Report is due in Egrants on or before:

3/30/2017

☐ Complete and return a W-9 Taxpayer Identification Number Verification Form (enclosed).

☐ OTHER: _____

ACKNOWLEDGEMENT

The materials referenced above were received and reviewed by the appropriate members of this organization. I also acknowledge receipt of the Grant Award and any attached Special Conditions. I understand that this grant is awarded subject to our compliance with all Conditions, Regulations, and Obligations described in the above materials.

9/6/2016

Date

Ethan Kroll
Ethan Kroll

, Project Director

Agreement Articles for Federal Fiscal Year 2016 Homeland Security Awards

Article I – Summary Description of Award

The purpose of the FY 2016 HSGP is to support state and local efforts to prevent terrorism and other catastrophic events and to prepare the Nation for the threats and hazards that pose the greatest risk to the security of the United States. The HSGP provides funding to implement investments that build, sustain, and deliver the 32 core capabilities essential to achieving the National Preparedness Goal of a secure and resilient Nation. The building, sustainment, and delivery of these core capabilities are not exclusive to any single level of government, organization, or community, but rather, require the combined effort of the whole community. This HSGP award consists of State Homeland Security Program funding from Federal award # EMW-2016-SS-00037.

Article II – Acknowledgement of Federal Funding from DHS

All recipients must acknowledge their use of federal funding when issuing statements, press releases, requests for proposals, bid invitations, and other documents describing projects or programs funded in whole or in part with Federal funds.

Article III – Activities Conducted Abroad

All recipients must ensure that project activities carried on outside the United States are coordinated as necessary with appropriate government authorities and that appropriate licenses, permits, or approvals are obtained.

Article IV – Age Discrimination Act of 1975

All recipients must comply with the requirements of the Age Discrimination Act of 1965 (42 U.S.C. § 6101 *et seq.*), which prohibits discrimination on the basis of age in any program or activity receiving Federal financial assistance.

Article V – Americans with Disabilities Act of 1990

All recipients must comply with the requirements of Titles I, II, and III of the Americans with Disabilities Act, which prohibits recipients from discriminating on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities (42 U.S.C. §§ 12101-12213).

Article VI – Best Practices for Collection and Use of Personally Identifiable Information (PII)

DHS defines personally identifiable information (PII) as an information that permits the identity of an individual to be directly or indirectly inferred, including any information that is linked or linkable to that individual. All award recipients who collect PII are required to have a publically-available privacy policy that describes standards on the usage and maintenance of PII they collect.

Award recipients may find as a useful resource the DHS Privacy Impact Assessments:

http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_guidance_june2010.pdf and

http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_template.pdf, respectively.

Article VII – Civil Rights Act of 1964 - Title VI

All recipients must comply with the requirements of Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d *et seq.*), which provides that no person in the United States will, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. DHS implementing regulations for the Act are found at 6 C.F.R. Part 21 and 44 C.F.R. Part 7.

Article VIII – Civil Rights Act of 1968

All recipients must comply with Title VIII of the Civil Rights Act of 1968, which prohibits recipients from discriminating in the sale, rental, financing, and advertising of dwellings, or in the provision of services in connection therewith, on the basis of race, color, national origin, religion, disability, familial status, and sex (42 U.S.C. § 3601 *et seq.*), as implemented by the Department of Housing and Urban Development at 24 C.F.R. Part 100. The prohibition on disability discrimination includes the requirement that new multi-family housing with four or more dwelling units – i.e., the public and common use areas and individual apartment units (all units in buildings with elevators and ground-floor units in buildings without elevators) – be designed and constructed with certain accessible features (see 24 C.F.R. § 100.201).

Article IX – Copyright

All recipients must affix the applicable copyright notices of 17 U.S.C. § 401 or 402 and an acknowledgement of Government sponsorship (including award number) to any work first produced under Federal financial assistance awards.

Article X – Assurances, Administrative Requirements and Cost Principles

1. Assurances

Recipients of Federal financial assistance from the Department of Homeland Security (DHS) must complete OMB Standard Form 424B (Assurances – Non-Construction Programs), included herein as Attachment C.

2. Administrative Requirements and Cost Principles

Recipients of Federal financial assistance are required to follow the applicable provisions of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards located at 2 C.F.R. Part 200, and adopted by DHS at 2 C.F.R. Part 3002.

Article XI – Debarment and Suspension

All recipients are subject to the non-procurement debarment and suspension regulations implementing Executive Orders 12549 and 12689, and 2 C.F.R. Part 180. These regulations restrict awards, subawards, and contracts with certain parties that are debarred, suspended, or otherwise excluded from or ineligible for participation in federal assistance programs or activities.

Article XII – Drug-Free Workplace Regulations

All recipients must comply with the Drug-Free Workplace Act of 1988 (41 U.S.C. § 701 *et seq.*), which requires that all organizations receiving grants from any Federal agency agree to maintain a drug-free workplace. DHS has adopted the Act's implementing regulations at 2 C.F.R. Part 3001.

Article XIII – Duplication of Benefits

Any cost allocable to a particular Federal award provided for in 2 C.F.R. Part 200, Subpart E may not be charged to other Federal awards to overcome fund deficiencies; to avoid restrictions imposed by federal statutes, regulations, or terms and conditions of the Federal awards; or for other reasons.

Article XIV – Energy Policy and Conservation Act

All recipients must comply with the requirements of 42 U.S.C. § 6201), which contains policies relating to energy efficiency that are defined in the state energy conservation plan issued in compliance with this Act.

Article XV – False Claims Act and Program Fraud Civil Remedies

All recipients must comply with the requirements of 31 U.S.C. §§ 3729 - 3733, which prohibits the submission of false or fraudulent claims for payment. See also 38 U.S.C §§ 3801-3812, which details the administrative remedies for false claims and statements made.

Article XVI – Federal Debt Status

All recipients are required to be non-delinquent in their repayment of any Federal debt. Examples of relevant debt include delinquent payroll and other taxes, audit disallowances, and benefit overpayments. See OMB Circular A-129 for additional information.

Article XVII – Fly America Act of 1974

All recipients must comply with Preference for U.S. Flag Air Carriers (air carriers holding certificates under 49 U.S.C. § 41102) for international air transportation of people and property to the extent that such service is available, in accordance with the International Air Transportation Fair Competitive Practices Act of 1974 (49 U.S.C. § 40118) and the interpretive guidelines issued by the Comptroller General of the United States in the March 31, 1981, amendment to Comptroller General Decision B-138942.

Article XVIII – Hotel and Motel Fire Safety Act of 1990

In accordance with Section 6 of the Hotel and Motel Fire Safety Act of 1990, 15 U.S.C. § 2225a, all recipients must ensure that all conference, meeting, convention, or training space funded in whole or in part with Federal funds complies with the fire prevention and control guidelines of the Federal Fire Prevention and Control Act of 1974, as amended, 15 U.S.C § 2225.

Article XIX – Limited English Proficiency (Civil Rights Act of 1964, Title VI)

All recipients must comply with Title VI of the Civil Rights Act of 1964 (Title VI) prohibition against discrimination on the basis of national origin, which requires that recipients of federal financial assistance take reasonable steps to provide meaningful access to persons with limited English proficiency (LEP) to their programs and services. For additional assistance and guidance, please refer to the DHS Recipient Guidance <http://www.dhs.gov/guidance-published-help-department-supported-organizations-provide-meaningful-access-people-limited> and additional resources on <http://www.lep.gov>.

Article XX – Lobbying Provisions

All recipients must comply with 31 U.S.C. § 1352, which provides that none of the funds provided under an award may be expended by the recipient to pay any person to influence, or attempt to influence, an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any Federal action concerning the award or renewal.

Article XXI – Non-supplanting Requirement

All recipients must ensure that Federal funds do not replace (supplant) funds that have been budgeted for the same purpose through non-Federal sources.

Article XXII – Patents and Intellectual Property Rights

Unless otherwise provided by law, recipients are subject to the Bayh-Dole Act, PL 96-517, as amended, and codified in 35 U.S.C. § 200 *et. seq.* All recipients are subject to the specific requirements governing the development, reporting, and disposition of rights to inventions and patents resulting from financial assistance awards located at 37 C.F.R. Part 401 and the standard patent rights clause located at 37 C.F.R. § 401.14.

Article XXIII – Procurement of Recovered Materials

All recipients must comply with section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act. The requirements of section 6002 include procuring only items designated in guidelines of the Environmental Protection Agency (EPA) at 40 C.F.R. Part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition.

Article XXIV – Termination of Agreement

This grant award may be terminated in whole or in part as follows:

1. DMA/WEM may terminate this grant award at any time for cause by delivering thirty (30) days written notice to the Recipient. Upon termination, the awarding agency's liability will be limited to the pro rata cost of the services performed as of the date of termination plus expenses incurred with the prior written approval of the awarding agency.

2. DMA/WEM may terminate this grant award at will effective upon delivery of written notice to the Recipient, under any of the following conditions:

- a. If the awarding agency's funding from federal, state, or other sources is not obtained and/or continued at levels sufficient to allow for purchases of the indicated quantity of services, the grant may be modified to accommodate a reduction or increase in funds.
- b. If federal or state laws, rules, regulations, or guidelines are modified, changed, or interpreted in such a way that the services are no longer allowable or appropriate for purchase under this grant or are no longer eligible for the funding proposed for payments by this grant.
- c. If any license or certification required by law or regulation to be held by the Recipient to provide the services required by this grant award is for any reason denied, revoked, or not renewed.

Any termination of this grant award shall be without prejudice to any obligations or liabilities of either party already accrued prior to such termination.

Article XXV - SAFECOM

Recipients who receive awards made under programs that provide emergency communication equipment and its related activities must comply with the SAFECOM Guidance for Emergency Communication Grants, including provisions on technical standards that ensure and enhance interoperable communications.

Article XXVI – Terrorist Financing

All recipients must comply with the U.S. Executive Order 13224 and U.S. law that prohibit transactions with, and the provisions of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of recipients to ensure compliance with the Executive Order and laws.

Article XXVII – Title IX of the Education Amendments of 1972 (Equal Opportunity in Education Act)

All recipients must comply with the requirements of Title IX of the Education Amendments of 1972 (20 U.S.C. § 1681 *et seq.*), which provides that no person in the United States will, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any educational program or activity receiving Federal financial assistance. DHS implementing regulations are codified at 6 C.F.R. Part 17 and 44 C.F.R. Part 19.

Article XXVIII – Trafficking Victims Protection Act of 2000

All recipients must comply with the requirements of the government-wide award term which implements Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. § 7104). The award term is located at 2 C.F.R. § 175.15, the full text of which is incorporated here by reference in the terms and conditions of this award.

Article XXIX – Rehabilitation Act of 1973

All recipients must comply with the requirements of Section 504 of the Rehabilitation Act of 1973, 29 U.S.C. § 794, as amended, which provides that no otherwise qualified handicapped individual in the United States will, solely by reason of the handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.

Article XXX – USA Patriot Act of 2001

All recipients must comply with the requirements of the Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act (USA PATRIOT Act), which amends 18 U.S.C. §§ 175-175c.

Article XXXI – Use of DHS Seal, Logo and Flags

All recipients must obtain DHS's approval prior to using the DHS seal(s), logos, crests or reproductions of flags or likenesses of DHS agency officials, including use of the United States Coast Guard seal, logo, crests or reproductions of flags or likenesses of Coast Guard officials.

Article XXXI I – Whistleblower Protection Act

All recipients must comply with the statutory requirements for whistleblower protections (if applicable) at 10 U.S.C. §§ 2409, 41 U.S.C. 4712, and 10 U.S.C. § 2324, 41 U.S.C. §§ 4304 and 4310.

Article XXXIII – DHS Specific Acknowledgements and Assurances

All recipients must acknowledge and agree - and require any sub-recipients, contractors, successors, transferees, and assignees to acknowledge and agree - to comply with applicable provisions governing DHS access to records, accounts, documents, information, facilities, and staff.

- a. Recipients must cooperate with any compliance review or complaint investigation conducted by DHS.
- b. Recipients must give DHS access to and the right to examine and copy records, accounts, and other documents and sources of information related to the grant and permit access to facilities, personnel, and other individuals and information as may be necessary, as required by DHS regulations and other applicable laws or program guidance.
- c. Recipients must submit timely, complete, and accurate reports to the appropriate DHS officials and maintain appropriate backup documentation to support the reports.

- d. Recipients must comply with all other special reporting, data collection, and evaluation requirements, as prescribed by law or detailed in program guidance.
- e. If, during the past three years, the recipient has been accused of discrimination on the grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status, the recipient must provide a list of all such proceedings, pending or completed, including outcome and copies of settlement agreements to DMA.
- f. In the event that any court or administrative agency makes a finding of discrimination on grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status against the recipient, or the recipient settles a case or matter alleging such discrimination, recipients must forward a copy of the complaint and findings to DMA.

The United States has the right to seek judicial enforcement of these obligations.

Article XXXIV – Reporting of Matters Related to Recipient Integrity and Performance

If the total value of the recipient's currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this award, the recipient must comply with the requirements set forth in the government-wide Award Terms and Conditions for Recipient Integrity and Performance Matters located at 2 C.F.R. § 200, Appendix XII, the full text of which is incorporated herein by reference.

Article XXXV – Disposition of Equipment Acquired Under the Federal Award

When original or replacement equipment acquired under this award by the recipient or its sub-recipients is no longer needed for the original project or program or for other activities currently or previously supported by DHS/FEMA, the recipient must request instructions from DMA/WEM to make proper disposition of the equipment pursuant to 2 C.F.R. § 200.313.

Article XXXVI – Prior Approval for Modification of Approved Budget

Recipients must receive prior written approval from the awarding agency before making any changes to the approved budget or scope of the project funded under this award.

Article XXXVII – Acceptance of Post-Award Changes

In the event that FEMA determines that changes are necessary to the State's award after an award has been made, including changes to the period of performance or terms and conditions, recipients will be notified of the changes in writing. Once notification has been made, any subsequent request for funds will indicate recipient acceptance of the changes to the award.

Article XXXVIII – Texting While Driving

As described in Executive Order 13513, all recipients and their contractors are encouraged to adopt and enforce policies that ban text messaging while driving ban messaging while driving government-owned, company-owned, rented, or personally-owned vehicles while on official government business or while performing any work for or on behalf of the government.

As the duly authorized representative, I hereby certify that the recipient will comply with the above certifications and conditions.

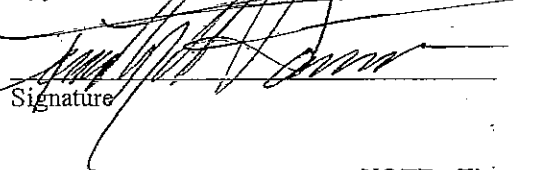
Recipient Name and Address: City of Appleton, 100 N. Appleton Street, Appleton, WI 54911

App # 10775 / Firefighting Foam Cache for Crude Oil Response

Application Number and Project Name

Timothy Hanna, Mayor

Typed Name of Authorized Representative


Signature

9/13/16
Date

NOTE: The original signature of the chief executive is required.
Substitute signing or stamping is not accepted.



State of Wisconsin
Scott Walker, Governor



Department of Military Affairs
Donald P. Dunbar, Adjutant General

Office of the Adjutant General
2400 Wright Street • P.O. Box 14587 • Madison, WI 53708-0587

March 25, 2016

Ethan Kroll, Battalion Chief/Special Operations
Appleton Fire Department
700 North Drew Street
Appleton, WI 54911

RE: Homeland Security/HS Hazmat Radiological Equipment FY14
DMA Grant Number: 2014-HSW-02A-10733

Dear Asst. Chief Kroll:

Congratulations! On behalf of General Dunbar, I have approved a grant award to City of Appleton in the amount of \$56,825.70. These funds are from DMA's Homeland Security Program available through the State of Wisconsin. This grant supports the City of Appleton Homeland Security/HS Hazmat Radiological Equipment FY14.

To accept this award, have the authorized official initial the bottom right corner of Attachments A and B, and sign the *Signatory Page*, *Certified Assurances*, and *OMB Standard Form 424B* (Attachment C). The Project Director should sign the *Acknowledgement Notice*. Two award packets are enclosed. Once signed, return one to WEM (attention: Deb Hughes) and keep the other for your records. Funds cannot be released until all signed documents are received.

As Project Director, you will be responsible for all reporting requirements outlined in the grant award and seeing that funds are administered according to the approved application materials and certifications enclosed. We look forward to a collaborative working relationship with you.

Sincerely,

Brian M. Satula, Administrator
Wisconsin Emergency Management



State of Wisconsin
Scott Walker, Governor



Department of Military Affairs
Donald P. Dunbar, Adjutant General

Office of the Adjutant General
2400 Wright Street · P.O. Box 14587 · Madison, WI 53708-0587

FY'14 HOMELAND SECURITY PROGRAM GRANT AWARD
Homeland Security/HS Hazmat Radiological Equipment FY14
2014-HSW-02A-10733

The Department of Military Affairs (DMA), hereby awards to **City of Appleton**, (hereinafter referred to as the **Grantee**), the amount of **\$56,825.70** for programs or projects pursuant to the federal Homeland Security Grant Program.

This grant may be used until **June 30, 2016** for the programs consistent with the budget and general conditions in Attachment A, subject to any limitations or conditions set forth in Attachments B and/or C, if included.

The Grantee shall administer the programs or projects for which this grant is awarded in accordance with the applicable rules, regulations, and conditions of the Department of Military Affairs. The submitted application is hereby incorporated as reference into this award.

This grant shall become effective, and funds may be obligated (unless otherwise specified in Attachments A and/or B) when the Grantee signs and returns one copy of this grant award to the Department of Military Affairs.

DONALD P. DUNBAR

Major General
Wisconsin National Guard
The Adjutant General

BY:

BRIAN M. SATULA

Administrator
Wisconsin Emergency Management

3/25/2016

Date

The Grantee, **City of Appleton**, hereby signifies its acceptance of the above-described grant on the terms and conditions set forth above or incorporated by reference therein.

GRANTEE: **City of Appleton**

BY:

NAME: **Timothy Hanna**

TITLE: **Mayor**

4/22/16
Date

Completion of this signed grant award within 30 days of the date of the award is required for release of federal funds.

DEPARTMENT OF MILITARY AFFAIRS
ATTACHMENT A

APPROVED FY'14 HOMELAND SECURITY GRANT PROGRAM BUDGET

Grantee: City of Appleton

Project Title: Homeland Security/HS Hazmat Radiological Equipment FY14 CFDA #97.067

Grant Period: From March 28, 2016 To June 30, 2016

Grant Number: 2014-HSW-02A-10733

APPROVED BUDGET

	<u>Federal & Match</u>
Personnel	
Employee Benefits	
Travel (Including Training)	
Equipment	\$56,825.70
Supplies & Operating Expenses	
Consultants	
Other	
FEDERAL TOTAL	<u>\$56,825.70</u>
LOCAL CASH MATCH	
TOTAL APPROVED BUDGET	<u>\$56,825.70</u> <u>\$56,825.70</u>

AWARD GENERAL CONDITIONS

1. Federal funds cannot be used to supplant local funds. They must increase the amount of funds that would otherwise be available from local resources.
2. To be allowable under a grant program, costs must be obligated (purchase order issued) or paid, for services provided during the grant performance period. If obligated by the end of the grant period, payment must be made within 30 days of the grant period ending date.
3. Budget changes require prior approval from DMA.
4. Grant funds will be disbursed upon DMA receipt of copies of paid vendor invoices and requests for reimbursement (G-2) form. The G-2 form may be found at: <http://emergencymanagement.wi.gov/egrants/forms.asp>.
5. Recipients and subrecipients shall use their own procurement procedures and regulations, provided that the procurement conforms to applicable Federal law and the standards identified in the Procurement Standards Sections of 28 CFR Parts 66 and 70.
6. Reimbursement for travel (i.e. mileage, meals, and lodging) is limited to applicable state rates and timeframes.
7. All income generated as a direct result of a grant-funded project shall be deemed program income. Program income must be used for the purpose and under the conditions applicable to the award. Program income should be used as earned and expended as soon as possible. If the cost is allowable under the Federal grant program, then the cost would be allowable using program income. All program income must be reported to DMA.
8. The recipient agrees that all publications created with funding under this grant shall prominently contain the following statement: "This document was prepared under a grant from the United States Department of Homeland Security (DHS). Points of view or opinions expressed in this document are those of the authors and do not necessarily represent the official position or policies of DHS."
9. The recipient agrees that when practicable, any equipment purchased with grant funding shall be prominently marked as follows: "Purchased with funds provided by the U.S. Department of Homeland Security."
10. Equipment shall be maintained and available for use as intended by the grant for the duration of its useful life. Disposal of equipment must follow all applicable state, federal, and local guidelines. The grantee must maintain records of any equipment disposal or transfer of ownership. Any proceeds from the sale of equipment at or near the end of its useful life will be considered program revenue and must be reinvested into eligible homeland security expenses.
11. To be eligible to receive Federal preparedness funding assistance, applicants must meet NIMS compliance requirements. Information on achieving compliance is available through the NIMS Integration Center (NIC) at <http://www.fema.gov/emergency/nims/> or through Wisconsin Emergency Management at <http://emergencymanagement.wi.gov/>
12. The recipient agrees that all allocations and use of funds under this grant will be in accordance with the Federal Fiscal Year (FY) 2014 Homeland Security Grant Program (HSGP) Funding Opportunity Announcement.



DEPARTMENT OF MILITARY AFFAIRS
ATTACHMENT B
Award Special Conditions

1. All personnel who utilize equipment purchased with funds from this grant must receive training either through the equipment vendor or other competent source specific to that piece of equipment.
2. Agencies that accept funding are responsible for all sustainment costs.
3. Due to the special and unique purpose of the equipment provided in this grant, and the importance to the Wisconsin Hazardous Materials Response System (WHMRS), any team that discontinues service to the WHMRS shall return the equipment to Wisconsin Emergency Management to be alternately deployed to the replacement team.

A handwritten signature, possibly reading "JD", is located in the bottom right corner of the page.

WISCONSIN DEPARTMENT OF MILITARY AFFAIRS

ATTACHMENT C

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

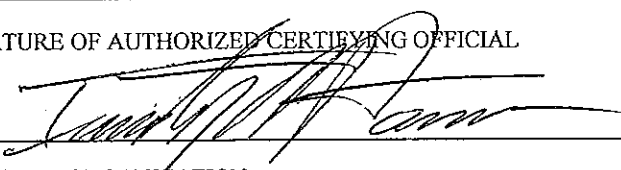
PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. § § 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. § § 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. § § 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) § § 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. § § 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. § § 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. § § 276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. § § 874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. § § 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. § § 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. § § 1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. § § 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. § § 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. § § 4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 	TITLE Mayor
APPLICANT ORGANIZATION City of Appleton	DATE SUBMITTED 4/22/16

ACKNOWLEDGEMENT NOTICE

Date: March 2016

Grantee: City of Appleton

Grant No. 2014-HSW-02A-10733

Project Title: Homeland Security/HS Hazmat Radiological Equipment FY14

The following regulations and obligations (referenced below) apply to your grant award.

☒ **PROGRESS REPORTS** must be submitted on a scheduled basis into the Egrants system. Narrative reports on the status of your project are due on:

7/30/2016 - Final

☒ **FINANCIAL REPORTS (G-2)** Reports may be submitted monthly but, at a minimum, are due on:

7/30/2016 - Final

PROGRESS REPORTS & FINANCIAL REPORTS NOTE:	Quarterly Reports due 04/12 include January, February and March program activity. Quarterly Reports due 07/12 include April, May and June program activity. Quarterly Reports due 10/12 include July, August and September program activity. Quarterly Reports due 01/12 include October, November and December program activity
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Reimbursements and grant modifications will be held if there are late program reports.

☒ **INVENTORY REPORT** should reflect final inventory in your records. All equipment purchases must be received, paid for, installed, and deployed before submitting report. Report is due in Egrants on or before:

7/30/2016

☐ Complete and return a W-9 *Taxpayer Identification Number Verification Form* (enclosed).

☐ OTHER: _____

ACKNOWLEDGEMENT

The materials referenced above were received and reviewed by the appropriate members of this organization. I also acknowledge receipt of the Grant Award and any attached Special Conditions. I understand that this grant is awarded subject to our compliance with all Conditions, Regulations, and Obligations described in the above materials.

04/22/16
Date

Ethan Kroll , Project Director
Ethan Kroll

Agreement Articles for Federal Fiscal Year 2014 Homeland Security Awards

Article I – Summary Description of Award

The FY 2014 HSGP plays an important role in the implementation of the National Preparedness System by supporting the building, sustainment, and delivery of core capabilities essential to achieving the National Preparedness Goal of a secure and resilient Nation. HSGP funds shall be used for statutorily eligible costs related to the planning, organization, equipment, training, and exercise needs that prevent, protect against, mitigate, respond to, and recover from acts of terrorism and other catastrophic events. This grant consists of State Homeland Security Program funding from Federal award # EMW-2014-SS-00071.

Article II – Assurances, Administrative Requirements and Cost Principles

1. Assurances

Recipients of Federal financial assistance from the Department of Homeland Security (DHS) must complete OMB Standard Form 424B (Assurances – Non-Construction Programs), included herein as Attachment C.

2. Administrative Requirements

The administrative requirements that apply to DHS award recipients originate from two sources:

- OMB Circular A-102, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (also known as the "A-102 Common Rule"). These A-102 requirements are also located within DHS regulations at Title 44, Code of Federal Regulations (CFR) Part 13.
- OMB Circular A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations, relocated to 2 CFR Part 215.

3. Cost Principles

The cost principles that apply to DHS award recipients through a grant or cooperative agreement originate from one of the following sources:

- OMB Circular A-21, Cost Principles for Educational Institutions, relocated to 2 CFR Part 220.
- OMB Circular A-87, Cost Principles for State, Local, and Indian Tribal Governments, relocated to 2 CFR Part 225.
- OMB Circular A-122, Cost Principles for Non-Profit Organizations, relocated to 2 CFR Part 230.

The audit requirements for State, Local and Tribal recipients of DHS awards originate from: OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organizations.

Article III – Acknowledgement of Federal Funding from DHS

All recipients must acknowledge their use of federal funding when issuing statements, press releases, requests for proposals, bid invitations, and other documents describing projects or programs funded in whole or in part with Federal funds.

Article IV – Activities Conducted Abroad

All recipients must ensure that project activities carried on outside the United States are coordinated as necessary with appropriate government authorities and that appropriate licenses, permits, or approvals are obtained.

Article V – Best Practices for Collection and Use of Personally Identifiable Information (PII)

All award recipients who collect PII are required to have a publically-available privacy policy that describes what PII they collect, how they use the PII, whether they share PII with third parties, and how individuals may have their PII corrected where appropriate.

Award recipients may also find as a useful resource the DHS Privacy Impact Assessments:

http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_guidance_june2010.pdf and

http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_template.pdf, respectively.

Article VI – Copyright

All recipients must affix the applicable copyright notices of 17 U.S.C. § 401 or 402 and an acknowledgement of Government sponsorship (including award number) to any work first produced under Federal financial assistance awards, unless the work includes any information that is otherwise controlled by the Government (e.g., classified information or other information subject to national security or export control laws or regulations).

Article VII – Debarment and Suspension

All recipients must comply with Executive Orders 12549 and 12689, which provide protection against waste, fraud and abuse by debarring or suspending those persons deemed irresponsible in their dealings with the Federal Government.

Article VIII – Drug-Free Workplace Regulations

All recipients must comply with the Drug-Free Workplace Act of 1988 (41 U.S.C. § 701 et seq.), which requires that all organizations receiving grants from any Federal agency agree to maintain a drug-free workplace. These regulations are codified at 2 CFR 3001.

Article IX – Duplication of Benefits

State, Local, and Tribal recipients must comply with 2 CFR Part 225, Appendix A, paragraph (C)(3)(c), which provides that any cost allocable to a particular Federal award or cost objective under the principles provided for in this authority may not be charged to other Federal awards to overcome fund deficiencies.

Article X – False Claims Act and Program Fraud Civil Remedies

All recipients must comply with the requirements of 31 U.S.C. § 3729, which sets forth that no recipient of Federal payments shall submit a false claim for payment. See also 38 U.S.C. § 3801-3812, which details the administrative remedies for false claims and statements made.

Article XI – Federal Debt Status

All recipients are required to be non-delinquent in their repayment of any Federal debt. Examples of relevant debt include delinquent payroll and other taxes, audit disallowances, and benefit overpayments. See OMB Circular A-129 and form SF-424B, item number 17, for additional information and guidance.

Article XII – Fly America Act of 1974

All recipients must comply with Preference for U.S. Flag Air Carriers (air carriers holding certificates under 49 U.S.C. § 41102) for international air transportation of people and property to the extent that such service is available, in accordance with the International Air Transportation Fair Competitive Practices Act of 1974 (49 U.S.C. § 40118) and the interpretive guidelines issued by the Comptroller General of the United States in the March 31, 1981, amendment to Comptroller General Decision B138942.

Article XIII – Hotel and Motel Fire Safety Act of 1990

In accordance with Section 6 of the Hotel and Motel Fire Safety Act of 1990, 15 U.S.C. §2225(a), all recipients must ensure that all conference, meeting, convention, or training space funded in whole or in part with Federal funds complies with the fire prevention and control guidelines of the Federal Fire Prevention and Control Act of 1990, 15 U.S.C. §2225.

Article XIV– Lobbying Provisions

All recipients must comply with 31 U.S.C. §1352, which provides that none of the funds provided under an award may be expended by the recipient to pay any person to influence, or attempt to influence, an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any Federal action concerning the award or renewal.

Article XV – Non-supplanting Requirement

All recipients must ensure that Federal funds do not replace (supplant) funds that have been budgeted for the same purpose through non-Federal sources. Applicants and award recipients may be required to demonstrate and document that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.

Article XVI – Trafficking Victims Protection Act of 2000

All recipients must comply with the requirements of the government-wide award term which implements Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. § 7104), located at 2 CFR Part 175. This is implemented in accordance with OMB Interim Final Guidance, Federal Register, Volume 72, No. 218, November 13, 2007. In accordance with the statutory requirement, each agency award under which funding is provided to a private entity, Section 106(g) of the TVPA, as amended, requires the agency to include a condition that authorizes the agency to terminate the award, without penalty, if the recipient or a subrecipient: 1) Engages in severe forms of trafficking in persons during the period of time that the award is in effect; 2) Procures a commercial sex act during the period of time that the award is in effect; or 3) Uses forced labor in the performance of the award or subawards under the award. Full text of the award term is provided at 2 CFR § 175.15.

Article XVII – USA Patriot Act of 2001

All recipients must comply with the requirements of the Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act (USA PATRIOT Act), which amends 18 U.S.C. §§ 175-175c. Among other things, the USA PATRIOT Act prescribes criminal penalties for possession of any biological agent, toxin, or delivery system of a type or in a quantity that is not reasonably justified by a prophylactic, protective, bona fide research, or other peaceful purpose.

Article XVIII – Use of DHS Seal, Logo and Flags

All recipients must obtain DHS's approval prior to using the DHS seal(s), logos, crests or reproductions of flags or likenesses of DHS agency officials, including use of the United States Coast Guard seal, logo, crests or reproductions of flags or likenesses of Coast Guard officials.

Article XIX – DHS Specific Acknowledgements and Assurances

All recipients must acknowledge and agree - and require any sub-recipients, contractors, successors, transferees, and assignees acknowledge and agree - to comply with applicable provisions governing DHS access to records, accounts, documents, information, facilities, and staff.

- a. Recipients must cooperate with any compliance review or complaint investigation conducted by DHS.
- b. Recipients must give DHS access to and the right to examine and copy records, accounts, and other documents and sources of information related to the grant and permit access to facilities, personnel, and other individuals and information as may be necessary, as required by DHS regulations and other applicable laws or program guidance.
- c. Recipients must submit timely, complete, and accurate reports to the appropriate DHS officials and maintain appropriate backup documentation to support the reports.
- d. Recipients must comply with all other special reporting, data collection, and evaluation requirements, as prescribed by law or detailed in program guidance.
- e. If, during the past three years, the recipient has been accused of discrimination on the grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status, the recipient must provide a list of all such proceedings, pending or completed, including outcome and copies of settlement agreements to the DHS awarding office and the DHS Office of Civil Rights and Civil Liberties.
- f. In the event that any court or administrative agency makes a finding of discrimination on grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status against the recipient, or the recipient settles a case or matter alleging such discrimination, recipients must forward a copy of the complaint and findings to the DHS Component and/or awarding office.

The United States has the right to seek judicial enforcement of these obligations.

Article XX – Incorporation by Reference of Funding Opportunity Announcement (FOA)

The FOA for this program is hereby incorporated into this award agreement by reference. By accepting this award, the recipient agrees that all allocations and use of funds under this grant will be in accordance with the requirements contained in the FOA.

Article XXI – Acceptance of Post-Award Changes

In the event that FEMA determines that changes are necessary to the State's award after an award has been made, including changes to the period of performance or terms and conditions, grant recipients will be notified of the changes in writing. Once notification has been made, any subsequent request for funds will indicate recipient acceptance of the changes to the award.

Article XXII – Age Discrimination Act of 1975

All recipients must comply with the requirements of the Age Discrimination Act of 1965 (42 U.S.C. § 6101 et seq.), which prohibits discrimination on the basis of age in any program or activity receiving Federal financial assistance.

Article XXIII – Americans with Disabilities Act of 1990

All recipients must comply with the requirements of Titles I, II, and III of the Americans with Disabilities Act, which prohibits recipients from discriminating on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities (42 U.S.C. §§ 12101-12213).

Article XXIV – Title VI of the Civil Rights Act of 1964

All recipients must comply with the requirements of Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d et seq.) codified at 6 CFR Part 21 and 44 CFR Part 7, which provides that no person in the United States will, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.

Article XXV – Civil Rights Act of 1968

All recipients must comply with Title VIII of the Civil Rights Act of 1968, which prohibits recipients from discriminating in the sale, rental, financing, and advertising of dwellings, or in the provision of services in connection therewith, on the basis of race, color, national origin, religion, disability, familial status, and sex (42 U.S.C. § 3601 et seq.), as implemented by the Department of Housing and Urban Development at 24 CFR Part 100. The prohibition on disability discrimination includes the requirement that new multi-family housing with four or more dwelling units – i.e., the public and common use areas and individual apartment units (all units in buildings with elevators and ground-floor units in buildings without elevators) – be designed and constructed with certain accessible features (see 24 CFR § 100.201).

Article XXVI – Limited English Proficiency (Civil Rights Act of 1964, Title VI)

All recipients must comply with Title VI of the Civil Rights Act of 1964 (Title VI) prohibition against discrimination on the basis of national origin, which requires that recipients of federal financial assistance take reasonable steps to provide meaningful access to persons with limited English proficiency (LEP) to their programs and services. Providing meaningful access for persons with LEP may entail providing language assistance services, including oral interpretation and written translation. In order to facilitate compliance with Title VI, recipients are encouraged to consider the need for language services for LEP persons served or encountered in developing program budgets. Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency (August 11, 2000), requires federal agencies to issue guidance to recipients, assisting such organizations and entities in understanding their language access obligations. DHS published the required recipient guidance in April 2011, DHS Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficiency Persons, 76 Fed. Reg. 21755-21768 (April 18, 2011). The Guidance provides helpful information such as how a recipient can determine the extent of its obligation to provide language services; selecting language services; and elements of an effective plan on language assistance for LEP persons. For additional assistance and guidance, please refer to the DHS Recipient Guidance <http://www.dhs.gov/guidance-published-help-department-supported-organizations-provide-meaningful-access-people-limited> and additional resources on <http://www.lep.gov>.

Article XXVII – SAFECOM

Recipients who receive awards made under programs that provide emergency communication equipment and its related activities must comply with the SAFECOM Guidance for Emergency Communication Grants, including provisions on technical standards that ensure and enhance interoperable communications. For additional information, refer to <http://www.safecomprogram.gov>.

Article XXVIII – Title IX of the Education Amendments of 1975 (Equal Opportunity in Education Act)

All recipients must comply with the requirements of Title IX of the Education Amendments of 1972 (20 U.S.C. § 1681 et seq.), which provides that no person in the United States will, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any educational program or activity receiving Federal financial assistance. These regulations are codified at 6 CFR Part 17 and 44 CFR Part 19.

Article XXIX – Rehabilitation Act of 1973

All recipients must comply with the requirements of Section 504 of the Rehabilitation Act of 1973, 29 U.S.C. § 794, as amended, which provides that no otherwise qualified handicapped individual in the United States will, solely by reason of the handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. These requirements pertain to the provision of services as well as to employment.

Article XXX – DMA Conditions

1. The grantee and any sub-grantee must comply with the Grant Announcement used to announce the funding opportunity.
2. The grantee and any sub-grantee must comply with the Grant Award Documents.
3. The grantee and sub-grantees must cooperate with the Homeland Security Compliance Monitors.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications and conditions.

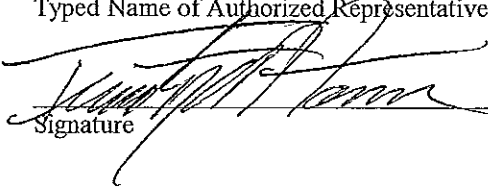
Grantee Name and Address: City of Appleton, 100 N. Appleton Street, Appleton, WI 54911

App # 10733 / HS Hazmat Radiological Equipment FY14

Application Number and Project Name

Timothy Hanna, Mayor

Typed Name of Authorized Representative


Signature

4-22-14
Date

NOTE: The original signature of the chief executive is required.
Substitute signing or stamping is not accepted.



"...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, Director of Parks, Recreation and Facilities Management

DATE: 10/25/2016

RE: Action Item: Award contract to PSI for materials testing services for the Fox Cities Exhibition Center for a time and materials contract not to exceed \$60,000.

On October 4, 2016, Request for Proposals were received from three materials testing companies for the Exhibition Center project. The scope of work includes testing for earth retention, earthwork and utility backfill, vibration monitoring, concrete and masonry, structural steel, fire protection and pre and post inspections of neighboring facilities as needed.

Request for proposals were evaluated for relevant experience, project success, project team, project understanding/study methodology, project schedule and cost. It was important that the firm clearly demonstrated experience in the services required.

Because the number of tests are unknown and only can be estimated at this time, we looked at the amount of hours projected, individual costs of tests, hourly costs for staff and other fees.

After careful review, our team recommends awarding a contract to PSI for a time and material contract not to exceed \$60,000.

Please feel free to contact me at 832-5572 with any questions, or by email at dean.gazza@appleton.org.

EXHIBIT A-1

UNITED STATES OF AMERICA
STATE OF WISCONSIN
CALUMET, OUTAGAMIE, WINNEBAGO COUNTIES
SCHOOL DISTRICT OF APPLETON AREA

TAXABLE TAX AND REVENUE ANTICIPATION PROMISSORY NOTE

DATED October 10, 2016

MASTER NOTE

For value received, the School District of Appleton, Wisconsin (the "District") hereby acknowledges itself to owe and promises to pay in lawful money of the United States of America to the City of Appleton, Wisconsin, or registered assigns (the "Purchaser"), on or before June 30, 2017, the sum of not to exceed FOURTEEN MILLION FIVE HUNDRED THOUSAND DOLLARS (\$14,500,000) (but only so much as shall have been advanced and outstanding) together with interest on the unpaid principal balance from the respective dates the outstanding principal amounts were advanced at the rate of 2% above the average federal funds rate from its dated date until paid; and shall mature no later than June 30, 2017. Disbursements of the proceeds of this Note shall be made by the Purchaser to the District within two (2) business days after the receipt of one or more Disbursement Notes in the form attached hereto as Exhibit B-1. The Purchaser shall record such format shown on the attached Exhibit C-1.

The principal and interest on this Note will be paid by the District Clerk or District Treasurer at the City office: 100 N. Appleton Street, Appleton, Wisconsin 54911. Interest shall be paid on a 30/360 day basis at maturity.

This Note is prepayable by the District at any time.

This Note is issued pursuant to Section 67.12(8)(a)1, Wisconsin Statutes, for the public purpose of paying the immediate expenses of operating and maintaining the public instruction in the District during the current school year; does not exceed one half of the estimate receipts for the operation and maintenance of the District for the current school year and shall not extend beyond June 30, 2017 of the next school year as authorized by a resolution of the governing body of the District duly adopted at a lawful open meeting held on October 24, 2016. Said resolution is recorded in the official minutes of said governing body for said date.

It is hereby certified and recited that all conditions, things and acts required by law to exist or to be done prior to and in connection with the issuance of this Note have been done, have existed and have been performed in due form and time; that the aggregate indebtedness of the District, including this Note and others issued simultaneously herewith, does not exceed any limitation imposed by law or the Constitution of the State of Wisconsin; and that the District has irrevocably pledged taxes heretofore levied and other revenues, including state aids, sufficient to pay this Note, together with interest thereon, when and as payable.

IN WITNESS WHEREOF, the District, by its governing body, has caused this Note to be executed by its duly qualified officers and to be sealed with its official or corporate seal, if any, as of the day and year first above written.

By: Sharon M. Fenlon
Sharon M. Fenlon
District President

(SEAL)

And: Diane S. Barkmeier
Diane S. Barkmeier
District Clerk



LEGAL SERVICES DEPARTMENT

Office of the City Attorney

100 North Appleton Street

Appleton, WI 54911-4799

Phone: 920/832-6423

Fax: 920/832-5962

October 18, 2016

Re: Appleton Area School District
Calumet, Outagamie and Winnebago Counties, Wisconsin ("Issuer")
\$14,500,000 Taxable Tax and Revenue Anticipation Promissory Note,
dated October 10, 2016 ("Note")

We have acted as bond counsel to the Issuer in connection with the issuance of the Note. In such capacity, we have examined such law and other certified proceedings, certifications, and other documents as we have deemed necessary to render this opinion.

Regarding questions of fact material to our opinion, we have relied on the certified proceedings and other certifications of public officials and others furnished to us without undertaking to certify the same by independent investigation.

We certify that we have examined a sample of the Note and find the same to be in proper form.

Based upon our examination, it is our opinion under existing law that:

1. The Note has been duly authorized by the Issuer and, when issued, would be a valid and binding special obligation of the Issuer.
2. The interest on the Note is included for federal income tax purposes in the gross income of the owners of the Note.

We express no opinion regarding the accuracy, adequacy, or completeness of any other offering material relating to the Note. Further, we express no opinion regarding tax consequences arising with respect to the Note other than as expressly set forth herein.

This opinion is not intended to be used, and cannot be used, to avoid federal tax penalties.

The rights of the owners of the Note and the enforceability thereof may be subject to bankruptcy, insolvency, reorganization, moratorium and similar laws affecting creditors' rights and may be subject to the exercise of judicial discretion in accordance with general principles of equity, whether considered at law or in equity.

This opinion is given as of the date hereof, and we assume no obligation to revise or supplement this opinion to reflect any facts or circumstances that may hereafter come to our attention, or any changes in law that may hereafter occur.

B. Calculation Guidelines – New subdivisions

1. The City does not provide funding for New Subdivisions platted between January 1, 2004 and December 31, 2014 except as indicated in the chart above. Escrow accounts or irrevocable lines of credit will be required of developers for all items administered or installed by the City.
2. For subdivisions platted prior to 1/1/04 or after 12/31/14, assessments for concrete pavement shall be levied in accordance with Section I.A. of this policy.
3. Engineering fees for new subdivision developments shall be included in assessments. Included shall be preparation of plans and specifications, consultant fees, material testing fees, field survey, inspection and assessment preparation.
4. Individual lots within but not part of a new development when funded by the city shall be assessed at the current city interest rate.
5. Extraordinary sanitary sewer construction costs not to be assessed include pipes larger than 12" and depths greater than 16' when project funded by the city.
6. Typical residential street lighting will consist of 100-watt sodium vapor lamps on a wooden pole, mounted 30 feet high, spaced 250 to 300 feet apart.
7. The effective date for interest to begin accumulating on new subdivision developments will be the date of invoice. This includes all city utilities and street work.
8. Storm sewer area assessment for regional facilities built prior to 3-1-2006 shall be based on the cost of storm sewer needed to serve the subdivision and the share of downstream trunk main.

X. SPECIAL CHARGES

A. General definition

1. Special charges shall accrue interest starting 30 days following the invoice date. Interest shall accrue at the same rate as for special assessments. (Board of Public Works, June 6, 1990).

XI. METHOD OF PAYMENT

A. General Definition

1. Lump sum payment to be paid at due date.
2. One installment if the assessment is \$1000 or less.
3. Five equal annual installments if the assessment is greater than \$1000.
4. Deferred payments will bear an interest at the rate of prime plus 3% per annum on the unpaid balance.
5. Separate current year special assessment bills may be combined to establish eligibility for the \$1000 limit for installment payment options. Finance Department must be notified prior to November 1.



"...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: 10-25-2016

RE: Action: Award the Appleton Memorial Park "2016 Park Sign and Message Board" contract to TLC Sign in the amount of \$39,994.83.

The 2016 Capital Improvement Plan includes \$40,000 for the construction of a new park sign and LED message center at Appleton Memorial Park.

The bids were received as follows:

TLC Sign (low bid)	\$39,994.83
Appleton Sign	\$42,724.00
United Sign	\$43,995.00
Fox Cities Sign	\$49,899.37
Colortech	\$50,085.00
Golden Rule Sign	\$53,489.60
Sign Country	\$57,961.50
Graphic House, Inc.	Did Not Meet Specifications

The new message center will allow for promotion of recreation activities and special events, cancellation notices and registration information. Staff time will also be reduced by eliminating the set up and take down of portable signs that advertise events and registrations. Other benefits include improved park aesthetics, enhanced location awareness, and inform patrons of park amenities and partner user groups i.e. Appleton Family Ice Center, Fox Cities Adult Athletics, Mircle League Field, Scheig Center, Archery Range, and Universal Playground.

The Parks, Recreation, and Facilities Management Department recommends awarding the contract to TLC Sign in the amount of \$39,994.83.

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

GLACIER VALLEY CONDOMINIUMS DEVELOPMENT AGREEMENT

THIS AGREEMENT, made by and between the **City of Appleton** by its City Council, a body politic and municipal corporation with a mailing address of 100 North Appleton Street, Appleton, WI 54911, ("City") and, **Kurey Ridge, LLC**, a limited liability corporation with a business address of _____, the owner and developer ("Developer") of property lying within the City of Appleton:

WHEREAS, Section 17-3 of the Appleton Municipal Code provides for the installation of required improvements in new subdivisions; and

WHEREAS, the Developer has proposed to develop the Glacier Valley Condominiums, a residential subdivision on property within the corporate limits of the City ("Proposed Development"), described in *Exhibit 1* (Legal Description provided by Developer) attached hereto; and

WHEREAS, a Certified Survey Map of the Glacier Valley Condominiums, shown in *Exhibit 2* (provided by Developer) attached hereto, has been conditionally approved by the City with conditions remaining to be satisfied; and

WHEREAS, a series of meetings and negotiations have taken place between the City and the Developer to determine various development and financial responsibilities as between the City and the Developer for on-site and off-site public improvements and fees in connection with the proposed subdivision; and

WHEREAS, the City and the Developer, for their mutual benefit, have mutually agreed as to development and financial responsibilities for public improvements and fees in connection with the Proposed Development;

NOW THEREFORE, it is mutually agreed as follows:

1. The Developer shall be responsible for the installation of the following in the Proposed Development, to the standards set forth by the City and pursuant to paragraph 4 below:
 - a. Sanitary sewer mains, manholes and laterals
 - b. Water mains, valves, hydrants, hydrant leads, fittings, and services
 - c. Storm sewer mains, manholes, catch basins, inlet leads, overland flow paths, yard drains and associated piping and laterals
 - d. Street excavation and graveling, terrace seeding, lot filling, grading and seeding and all associated construction site erosion control measures
 - e. Street Lights
 - f. All other infrastructure required for development not specifically set forth in this agreement
2. The Developer shall provide the City an estimate for items 1a – 1f prior to the installation of the items.

3. The Developer shall provide a fully executed and signed *Waiver of Special Assessment Notices and Hearing*, shown in ***Exhibit 3***, acknowledging consent to pay Special Assessments levied by the City for the following items to be furnished and/or installed by the City:

- a. City Administration Fees
- b. Sanitary Sewer Area Assessment
- c. Televising of sanitary and storm sewer lines
- d. Street Name Signs
- e. Traffic Control Signs
- f. Temporary Asphalt Surface
- g. Concrete Pavement
- h. Sidewalks installed at time of Concrete Paving

An estimate of up-front City costs and associated special assessments to be paid by the Developer for items 3a – 3h is attached hereto as ***Exhibit 4***. The actual final costs for items 3a-3h will be used as the basis for the amount of the special assessments billed to the Developer.

4. The Developer shall provide the City with copies of all final costs, invoices, labor costs, the contract documents and specifications, design documentation, all contract administration supporting documentation, an itemized list of all expenses for the installation of sanitary sewer, storm sewer, water main, street excavation and graveling and street lights for the Proposed Development. Said information provided by Developer shall meet City's Infrastructure Adjustment Form requirements. The Developer's design engineer shall perform the construction staking and the City shall inspect the same.

5. The Developer's contractor shall perform the testing of the water main, sanitary sewer, storm sewer and compaction of fill material placed in future roadway areas in the Proposed Development under the supervision of City of Appleton inspectors.

6. The Developer shall provide lien waivers to the City from prime contractor, subcontractors, suppliers and consultants within 60 days of the installation of the items in paragraph 1.

7. The Developer agrees to convey by deed or dedication to the City all the streets, roads, courts, avenues, drives, public ways, and storm water facilities in the Proposed Development. Developer further agrees to convey any public access ways by dedication or easement to the City. All public improvements contemplated in the final plat shall be constructed within areas to be dedicated to the City either by deed, dedication or easement as contemplated in the Proposed Development and this agreement.

8. The Developer shall establish a level loop on the hydrant(s) in the Proposed Development and a copy of all benchmarks shall be provided to the City.

9. The City agrees to accept the dedication of all the Public Improvements in the Proposed Development, whether by deed, dedication or easement subject to the City's Acceptance of the Public Improvements in accordance with and subject to the terms of the City's Subdivision Ordinance.

10. The Developer shall repair or replace, as directed by the City and to the City's satisfaction, at its own cost, any damage caused to City property by the installation of the improvements in the Proposed

Development, which shall be completed within six (6) months notification by the City to the Developer of the need to repair or replace such damage.

11. The Developer shall pay the cost of all items listed under Paragraph 1 above. Concrete Paving will be assessed to the abutting property owners and the Developer will be assessed for only the cost of those lots owned by the Developer. Concrete streets shall be installed only after 75% of the lots in the Proposed Development have been issued building permits or after a 7-year period from the date of official street opening, whichever comes first.

12. The schedule for the Proposed Development shall be as follows:

A. Infrastructure installation may commence after City approval of the Certified Survey Map, Drainage Plan, Established Grades, Storm Water Management Plan, Construction Plans, Construction Specifications and procurement of all necessary City and Regulatory Agency permits.

B. Building Permits may be issued upon City approval and acceptance of all infrastructure. Streets must be officially opened to the public by the City Engineer prior to the issuance of Building Permits.

13. The City agrees to waive any parkland fees pursuant to Chapter 17 of the Appleton Municipal Code, in exchange for parkland dedications and conveyances previously completed as part of the original Glacier Ridge Development along with future planned phases of the Proposed Development.

14. The City represents that this Agreement and the terms and conditions contained herein are consistent with adopted ordinances and resolutions on the subject matter.

15. The Developer shall pay the entire cost associated with installation of underground gas, electric, telephone and cable TV utilities and street lights in the Proposed Development. The City shall review the proposed locations and have approval authority over any utilities proposed within the public right-of-way, prior to installation. The City standard for street lights is wooden poles. The street lighting plan shall be designed by WE Energies and approved by the City. The City shall pay WE Energies the monthly electrical charge for street lighting. If the Developer desires decorative streetlights, then the Developer shall be responsible for all costs associated with the decorative streetlights. The Developer shall be responsible for requesting said decorative lights from WE Energies. The Developer must also sign a Waiver of Special Assessments document for the annual assessments associated with decorative lighting.

16. The City represents and warrants to Developer that it has the power, authority and legal right to enter into all of the transactions and to perform all of the covenants and obligations required to be entered into or performed by the City under this Agreement.

a. The City represents and warrants to Developer that it is empowered and authorized to execute and deliver this Agreement and other agreements and documents, if any, required hereunder to be executed and delivered by the City. This Agreement has been, and each such document at the time it is executed and delivered, will be duly executed and delivered on behalf of the City.

b. When executed and delivered to Developer, all such agreements shall constitute a legal, valid and binding obligation of the City, enforceable in accordance with its terms.

17. The Developer represents and warrants to the City that Developer is a Limited Liability Corporation, duly organized and existing under the laws of the State of Wisconsin, and that all proceedings of Developer necessary to authorize the negotiation and execution of this Agreement and the consummation of the transaction contemplated by this Agreement have been taken in accordance with applicable law.

a. The Developer represents and warrants to the City that the execution and delivery of this Agreement, the consummation of the transactions contemplated in this Agreement and the execution and delivery of the documents required to be executed, delivered or acknowledged by Developer at the closing will not violate any provision of Developer's limited liability corporation bylaws or agreements or any applicable statute, rule, regulation, judgment, order or decree of the State of Wisconsin or a court having jurisdiction over Developer or its properties.

18. The Agreement shall be effective as of the date of execution thereof and remain in effect until the earliest of: (a) the Developer notifies the City that the Proposed Development has been terminated, (b) upon the mutual agreement of the Parties to terminate the Agreement, or (c) if one (1) year after the date of execution the Developer not take any further action on the Proposed Development.

19. This Agreement, along with *Exhibits 1, 2, 3, and 4*, sets forth the entire understanding of the parties relative to its subject matter and supersedes and merges any and all prior communications, negotiations and agreements, oral or written.

20. It is understood and agreed that the provisions of this Agreement shall be deemed severable and the invalidity or unenforceability of any one or more of the provisions contained herein shall not affect the validity and enforceability of the other provisions contained herein.

21. This Agreement may not be modified or amended, except when placed in writing, with the written consent of both the City and the Developer.

[SIGNATURE PAGE TO FOLLOW]

KUREY RIDGE, LLC

By:

Printed Name:

Title: _____

By:

Printed Name:

Title:

STATE OF WISCONSIN)
 : ss.
_____ COUNTY)

Personally came before me on this ____ day of _____, 2016, the above-named persons,
_____ and _____, to me known to be the persons who
executed the foregoing instrument and acknowledge the same.

Notary Public, State of Wisconsin

My commission is/expires: _____

CITY OF APPLETON

By: _____
Timothy M. Hanna, Mayor

By: _____
Kami Lynch, City Clerk

STATE OF WISCONSIN)

: ss.

OUTAGAMIE COUNTY)

Personally came before me on this _____ day of _____, 2016, the above-named Timothy M. Hanna and Kami Lunch, to me known to be the persons who executed the foregoing instrument and acknowledge the same.

Notary Public, State of Wisconsin
My commission is/expires: _____

Provision has been made to pay the liability
that will accrue under this contract.

Approved as to Form:

Tony Saucerman, Director of Finance

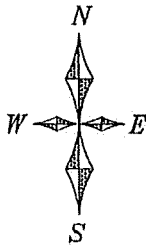
James P. Walsh, City Attorney

This instrument was drafted by:
James P. Walsh, Appleton City Attorney

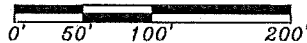
H:\Word\Projects\2016\Glacier Valley Condominiums - Development Agreement - For Committee Approval.docx
October 2016

EXHIBIT 2

BEARINGS ARE REFERENCED TO THE
WISCONSIN COUNTY COORDINATE
SYSTEM FOR OUTAGAMIE COUNTY
NORTH LINE OF SE 1/ 4 SECTION
36 T22N, R17E BEARS S89°36'25"E

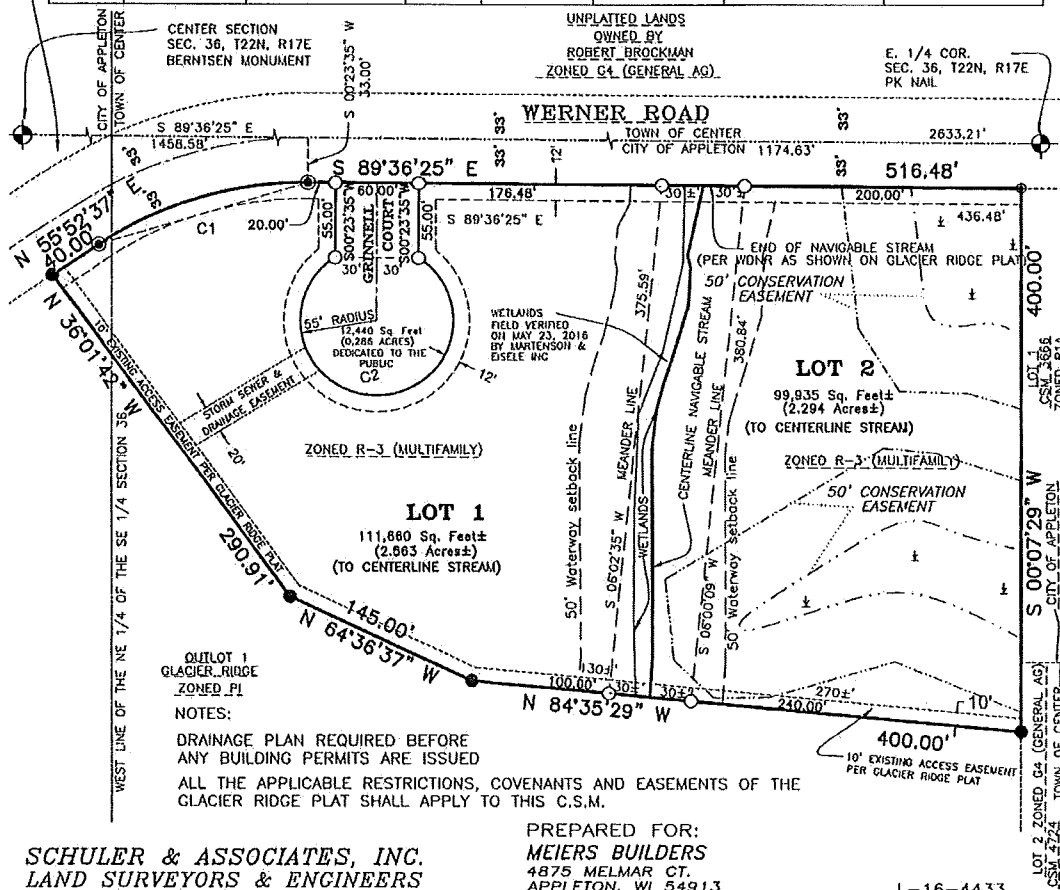


SCALE IN FEET



- = 3/4" DIA. ROUND STEEL REBAR FOUND
- = 1-5/16" O.D. IRON PIPE FOUND
- = 1-5/16" O.D. DIA. x 24" LONG IRON PIPE SET
WEIGHING 1.13 LBS./LIN. FOOT SET
- ⊙ = 1 1/4" DIA. ROUND STEEL REBAR FOUND
- = 10' EXISTING ACCESS EASEMENT
PER GLACIER RIDGE PLAT
- = 12' UTILITY EASEMENT PER THIS CSM
- = WETLAND PER GLACIER RIDGE PLAT

NUMBER	DELTA ANGLE	CHORD DIRECTION	RADIUS	ARC LENGTH	CHORD LENGTH	TANGENT IN	TANGENT OUT
C1	34°30'58"	S73°08'06"W	267.00'	160.85'	158.42'	N55°52'37" E	S 89°36'25"E
C2	293°53'18"	S89°36'25"E	55.00'	282.11'	60.00'	S 56°33'04"E	N57°20'14" E



SCHULER & ASSOCIATES, INC.
LAND SURVEYORS & ENGINEERS
2711 N. MASON ST., SUITE F, APPLETON, WI 54914

PREPARED FOR:
MEIERS BUILDERS
4875 MELMAR CT.
APPLETON, WI 54913

L-16-4433
SHEET 1 OF 4

The undersigned owner(s) of property benefited by the following proposed public improvement to be made by the City of Appleton, Outagamie-Calumet-Winnebago County, Wisconsin, to wit:

In accordance with S. 66.0703 (7) of the Wisconsin Statutes, I/we hereby waive all special assessment notices and hearings required by S. 66.0703 (7), and I /we hereby further agree and admit that my (our) property is specially benefited by the above described municipal work or improvement as contemplated by Sec. 66.0703(7) Wisconsin Statutes.

Street Address _____ Signature of Owner _____ Date _____

////////////////////////////////////

FIELD NOTES:

Unit No. _____ Inspector/Surveyor Name _____
Date sidewalk/apron marked _____

Total amount of sidewalk to be replaced _____

Of that total, what amount is due to tree damage _____

Apron: Type of existing surface _____ Size of existing apron _____

Date given to Field Supervisor _____

Date returned to office _____

Glacier Valley Condominiums

Plarmigan Court - Werner Road to CDS -165' south (~9,100 SF pavement)

Number of Lots: 2 (By Certified Survey Map)

Number of Units: 2

Developer: Meiers Builders

Unit No.: IL-07

Project Engineer: Pete Neuburger

Work Order No. 214436

Exhibit 4

September 27, 2016

DESCRIPTION	TOTAL PROJECT COSTS	Developer Financed Construction (Private Contracts)	Up-Front City Costs	Special Assessments (2017) (ESTIMATED)	Special Assessments (2022) (ESTIMATED)	Account to be Credited	NOTES / COMMENTS
City Administrative Fees (estimated cost)	\$7,500.00	\$0.00	\$7,500.00	\$2,475.00	\$5,025.00	4010	
Sanitary Sewer Area Assessment	\$295.58	\$0.00	\$295.58	\$295.58	\$0.00	5431	(\$25.35/1000 s.f.)*(11,660 s.f.)
Sewer Televising	\$280.00	\$0.00	\$280.00	\$280.00	\$0.00	5427 5222	(400 Lin Ft.) x (\$0.70 / Lin. Ft.)
Street Name / Traffic Control Signs (estimated cost)	\$750.00	\$0.00	\$750.00	\$750.00	\$0.00	4010	
Temporary Asphalt (estimated cost)	\$15,165.00	\$0.00	\$15,165.00	\$15,165.00	\$0.00	4010	(1,011 s.y.) x (\$15.00/s.y.)
Concrete Pavement (estimated cost)	\$33,000.00	\$0.00	\$33,000.00	\$0.00	\$24,750.00	4010	(165 LF) x (\$200.00/LF)
Sidewalks - with Concrete Pavement (estimated cost)	\$4,000.00	\$0.00	\$4,000.00	\$0.00	\$3,300.00	4010	(1,000 s.f.) x (\$4.00/s.f.)
Sanitary Sewer	\$10,000.00	\$10,000.00	\$0.00			5431	Private Contractor hired by Developer
Storm Sewer / Erosion Control	\$14,500.00	\$14,500.00	\$0.00			5230	Private Contractor hired by Developer
Water Main	\$16,000.00	\$16,000.00	\$0.00			5371	Private Contractor hired by Developer
Sanitary Laterals	\$6,000.00	\$6,000.00	\$0.00			-	Private Contractor hired by Developer
Storm Laterals	\$6,500.00	\$6,500.00	\$0.00			-	Private Contractor hired by Developer
Water Services	\$7,500.00	\$7,500.00	\$0.00			-	Private Contractor hired by Developer
Grading & Graveling	\$31,000.00	\$31,000.00	\$0.00			4010	Private Contractor hired by Developer
Street Lights	\$5,300.00	\$5,300.00	\$0.00			4010	Private Contractor hired by Developer
TOTALS	\$157,790.58	\$96,800.00	\$60,990.58	\$18,965.58	\$33,075.00		



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

DEPARTMENT OF PUBLIC WORKS - Engineering Division

MEMO

TO: Members of the Finance and Utilities Committees

FROM: Ross Buetow, Deputy Director of Public Works

SUBJECT: Sole source purchase of 42" water main pipe materials – South Oneida Street

DATE: October 19, 2016

The Department of Public Works is working with the Wisconsin Department of Transportation (WisDOT) on the design and reconstruction of South Oneida Street, planned to occur during 2017 and 2018. As part of the design process, WisDOT has informed the City that our existing 42" diameter water transmission line will need to be lowered at three locations to avoid future conflicts with their proposed storm system design. WisDOT is paying 90% of the cost, but the City is responsible for designing and bidding these water main relocations.

We have researched our records from the original pipe installation (1969) and were able to identify the original pipe manufacturer, US Pipe (aka Cretex), who is still in business today. We have reached out to this vendor to gather information on the logistics of the required pipe relocations. Under normal circumstances, the City would complete the design and require the contractor to purchase and install the main as part of their bid. However, due to the complexity of relocating this type of infrastructure and the extensive lead time to manufacture and deliver this type of pipe, there is not sufficient time between the design/bidding phase and the start date of construction to allow the contractor to purchase the pipe and still meet WisDOT's required schedule.

Therefore, we are requesting permission for the Department of Public Works to obtain sole source pricing and purchase all water main piping and associated fittings from the original pipe vendor (US Pipe) as needed to complete this project. In this circumstance, the sole source purchase of these pipe materials offers the following critical advantages to the City:

- The pipe material (PCCP) is a hybrid design primarily used for large transmission mains. PCCP consists of a concrete core, a thin steel cylinder, high tensile pre-stressing wires and a mortar coating. Our South Oneida Street transmission main and raw water line are the only locations in Appleton where this pipe has been used.
- US Pipe has in-depth knowledge of the existing pipe material and still maintains accurate records of the original 1969 installation, which will be invaluable in assisting the City during the design process.
- By using the original vendor, we have added assurance of consistency in materials between the original pipe materials and those we will be installing as part of this project.

- US Pipe is the only Midwest (Illinois) manufacturer of this type of pipe. The only other vendors are located in New Jersey, California or Ontario Canada. This will greatly reduce shipping costs and delivery times.
- US Pipe has design and support staff within driving distance of Appleton to assist us during the design and installation phases, which is not possible for the other vendors.

Please do not hesitate to contact me if you have any questions. Thank you for your consideration of our request.

KEVIN
McCANNA
Chairman

DANIEL
FORBES
President

DAVID
PHILLIPS
Executive VP

RAPHALIATA
McKENZIE
Senior VP

MAGGIE
BURGER
Senior VP

ANTHONY
MICELI
Senior VP

LARRY
BURGER
Vice President

BARBARA
CHEVALIER
Vice President

MARK
JERETINA
Vice President

October 20, 2016

Mayor Timothy Hanna
Anthony Saucerman, Director of Finance
Karen Harkness, Director of Community & Economic Development
City of Appleton
100 N. Appleton Street
Appleton, WI 54911

Attn: Karen Harkness

Dear Mayor Hanna:

Enclosed is our proposal to consult with the City on its hotel tax funded exhibition center project. We understand that the City is considering several methods of financing to fund the project. These include:

- Placement of the debt with a bank or banks who would act as direct lenders
- Placement of the debt to one or more accredited investors through the services of a private placement agent
- Sale of the debt in the general market

Our role is to consult with the City on reviewing and discussing the terms of any offer. We are not acting in any broker-dealer role.

Specifically, we will review the documents prepared by bond counsel and other City consultants and any termsheet offered by the City's financing group or banks. We will offer comments and suggestions based on our expertise and knowledge.

We will review the terms presented, including rates, early redemption provisions, payment terms, credit items including reserves, and cash flow provisions including funding of the loan as well as repayment.

Upon request, we can be available for meetings with City representatives, hotel personnel and others.

Our base fee shall be \$10,000, which covers all services related to review and editing of the offering memorandum, review of legal and planning documents, phone conversations with potential lenders, and financial modeling. In the event that there is a private placement of the debt to local banks our transaction fee shall be \$2,500 and if to non-bank investors, our fee shall be \$5,000. For a public marketing, the transaction fee shall be at a rate of \$150 per hour. Incidental out of pocket expenses will be billed at cost.

We look forward to working with you on this project.

Sincerely,

Kevin

Kevin W. McCanna
Chairman

KWM/mj

FINANCIAL SERVICES AGREEMENT

THIS FINANCIAL SERVICES AGREEMENT (the "Agreement") between The City of Appleton, Wisconsin ("Client") and Speer Financial, Inc. Chicago, Illinois ("Speer") is entered into as of the date of execution (the "Effective Date").

WHEREAS, Speer is a consulting firm specializing in municipal finance related matters (the "Business");

WHEREAS, Client desires to retain the services of Speer to provide certain services relative to the Business and Speer wishes to provide such services to Client;

WHEREAS, Client is a Municipal Entity and Speer is a Municipal Advisor as such terms are defined within the Securities Exchange Act of 1934, as amended; and

NOW THEREFOR, the parties agree as follows:

1. Services.

(a) Municipal Advisor Services. Speer agrees to provide certain services to Client as a Municipal Advisor ("Municipal Advisor Services") upon receipt of a request from Client for such services ("Project Request"). Speer may provide any or all of the Municipal Advisor Services set forth on Exhibit A hereto, or as otherwise may be requested by Client from time to time. Upon the receipt of a Project Request for Municipal Advisor Services, Speer and Client shall determine a mutually agreed upon scope of Speer's engagement to provide such services ("Municipal Advisor Engagement"). Any agreement related to the Municipal Advisor Engagement shall be memorialized by way of an engagement letter issued by Speer to Client ("Engagement Letter"). Any such Engagement Letter shall contain a description of the subject matter of the financing to be completed (the "Project") as well as the list of Municipal Advisor Services to be provided by Speer in connection with such Project to the extent that the Municipal Advisor Services to be provided by Speer in connection with the Project shall differ from those contained with Exhibit A hereto. Client agrees and acknowledges that in no event shall this Agreement be construed as having authorized Speer to commence a Municipal Advisor Engagement absent the parties' acknowledgement of a corresponding Engagement Letter.

(b) Authorization. Client hereby authorizes its Mayor, Economic Development Director to discuss with Speer the terms of any Engagement Letter, and authorizes the Mayor, Economic Development Director to acknowledge any such Engagement Letter on behalf of Client, as well as any additional disclosures of Speer that may be contained therein.

2. Term and Termination.

(a) The Agreement. This Agreement shall be effective as of the Effective Date and shall remain in effect until terminated by either party upon thirty (30) days written notice to the other party. Notwithstanding anything to the contrary contained herein, termination of this Agreement shall automatically terminate any Municipal Advisor Engagement then in effect.

(b) The Municipal Advisor Engagement. Once effective, a Municipal Advisor Engagement shall remain in effect until the earlier of (i) the Project is completed and Speer has received compensation for its services, or (ii) the Municipal Advisor Engagement is terminated by either party upon (30) days prior written notice to the other party. In the event that any Municipal Advisor Engagement is terminated prior to the completion of the Project, Speer reserves the right to assess fees for any work performed pursuant to any then outstanding Engagement Letter based upon the actual hours spent on the Project by Speer.

10. **Counterparts.** This Agreement may be executed in any number of counterparts via facsimile or other electronic transmission, each of which will be deemed an original, and all of which together will constitute one and the same instrument.

11. **Headings.** All headings or captions used herein are for the convenience of reference only and shall not affect the meaning, construction or interpretation of this Agreement.

IN WITNESS WHEREOF, the parties hereto have caused this Agreement to be duly executed by their respective representatives as of the date first written above.

CITY OF APPLETON WISCONSIN

SPEER FINANCIAL, INC.

By: _____

By: _____

Name: _____

Name: _____

Title: _____

Title: _____

Date: _____

Date: _____

B. Competitive Sale Services

To facilitate the competitive sale of the Client's securities issuance, Speer's services may include any or all of the following:

- (1) **Authorizing Resolutions/Ordinances.** Assist our Client's attorney and/or bond counsel with regard to the financial provisions to be included within the Client's authorizing resolutions/ordinances relative to the securities issuance.
- (2) **Credit Rating and/or Insurance.** When applying for a credit rating and/or bond issuance, Speer will submit the necessary data and documents to the appropriate entities, and arrange for the presentation of materials to the selected credit rating agency and/or insurance company(ies).
- (3) **Official Statement, Notice of Sale and Bid Form.**
 - a. **Preparation of Documents.** Prepare a preliminary Official Statement, Term Sheet, Statement of Facts or Limited Offering Memorandum (each a, "Disclosure Document"), Notice of Sale and Bid Form. Following the award of the securities, Speer shall prepare the final Disclosure Document corresponding to the Project. The Disclosure Document will describe the securities being issued and will contain detailed information provided by the Client and bond counsel as is necessary to permit prospective purchasers to make intelligent judgments.
 - b. **Notice of Sale Publication.** Notify prospective purchasers of the sale without cost to the Client and prepare, as necessary, a Notice of Sale.
 - c. **Encouragement to Bidders.** Circulate the preliminary Disclosure Document to our appropriate list of potential purchasers, including, investment institutions, banks and underwriters, to solicit bids from such firms for the Clients' securities. Make contact with underwriters to induce formation of bidding groups and, generally, undertake these activities in order to generate bids. Provide copies of the preliminary Disclosure Document and Official Bid Forms, as applicable, for each sale to our Clients for distribution to local banks and elected officials.
 - d. **Bid Opening, Analysis and Recommendations.** Conduct each sale, examine the bids submitted for completeness and compliance with the applicable bidding requirements, evaluate the bids for accuracy, and recommend a proposed course of action relative thereto.
- (4) **Preparation, Registration and Delivery of Securities.** Conduct all necessary undertakings in order to complete the financing, including, monitoring the preparation, registration and delivery of the securities being issued.
- (5) **Debt Service Schedule.** Provide the Client with a final debt service schedule and other materials pertinent to the securities sale.

- b. Proposal Analysis and Recommendations. Review and examine the proposals submitted for completeness and compliance with the applicable RFP/RFQ requirements, evaluate the proposals for accuracy, and recommend a proposed course of action relative to the proposals received.
- (3) **Advise on Financing Terms.** Advise the Client on the terms of the financing including the interest rate offered and the covenants required by the intended purchaser.
- (4) **Preparation, Registration and Delivery of Securities.** Conduct all necessary undertakings in order to complete the financing, including, monitoring the preparation, registration and delivery of the securities being issued.
- (5) **Debt Service Schedule.** Provide the Client with a final debt service schedule and other materials pertinent to the securities sale.

Speer will always serve as municipal advisor to the Client and as such will not specifically identify investors/purchasers in a securities offering or negotiate specific terms with the investor/purchaser of the Client's securities. Speer will not negotiate terms to directly place an issuance of securities with an investor. Any investors contacted or solicited will be identified by the Client and contacted on behalf of the Client.

POST-ISSUANCE AND NON-ISSUANCE RELATED SERVICES

A. Continuing Disclosure Services

Following most securities issuances, municipal entities will have certain continuing disclosure obligations, which require issuers to prepare and file an "Annual Financial Update". Information contained in any such Annual Financial Update shall be the type required in subsection (b)(5)(i)(A) of Securities and Exchange Commission Rule 15c2-12 (Rule 15c2-12). In connection with any such Annual Financial Update, Speer is available to provide any or all of the following services:

- (1) **Annual Financial Update.** Compile necessary information relative to and from the Client and, thereafter, prepare the Annual Financial Update for filing with the Municipal Securities Rulemaking Board's Electronic Municipal Market Access (EMMA) data repository.
- (2) **Dissemination Agent.** File with EMMA the Annual Financial Update on behalf of our Clients.
- (3) **Material Events Notice.** Upon receiving notice and direction from Client with respect to any events that may be considered a material event for purposes of Rule 15c2-12, prepare and file with EMMA a Material Events Notice.
- (4) **Disclosure Review.** Review prior disclosures to ensure compliance with any then applicable rules and regulations. Following any such review in which potential disclosure violations are discovered, Speer will provide the Client with a recommendation relative to remedying any such violations, and, upon request of the Client, prepare and file any necessary supplementary disclosures with EMMA in order to remedy any such violation.

EXHIBIT B
FEE SCHEDULE

Services

The base fee shall be \$10,000 and include reviewing and editing of the offering circular, review of planning documents, review of legal documents, phone conferences with potential lenders and production of financing models.

In the event that there is a purchase of debt by local banks the transaction fee shall be \$2,500.

In the event that there is a private placement through a placement agent, the transaction fee shall be \$5,000.

In the event that there is a public sale of debt through a securities firm, the transaction fee shall be based on the following hourly rates:

Municipal Advisor Personnel: \$150/hour

Administrative Personnel: \$50/hour

At the beginning of the project financing, it is expected that the financing will be undertaken on a dual track of private placement and public sale, to facilitate the efficient completion of the financing.

Notwithstanding anything to the contrary contained in this Exhibit B, fees for any services provided pursuant to this Agreement shall not include out-of-pocket expenditures as described more fully under Section 3 of this Agreement.

Fee paid under a retainer agreement. Under a retainer agreement, fees are paid to a municipal advisor periodically (e.g., monthly) and are not contingent upon the completion of a financing or other transaction. Fees paid under a retainer agreement may be calculated on a fixed fee basis (e.g., a fixed fee per month regardless of the number of hours worked) or an hourly basis (e.g., a minimum monthly payment, with additional amounts payable if a certain number of hours worked is exceeded). A retainer agreement does not present the conflicts associated with a contingent fee arrangement (described above).

Fee based upon principal or notional amount and term of transaction. Under this form of compensation, the municipal advisor's fee is based upon a percentage of the principal amount of an issue of securities (e.g., bonds) or, in the case of a derivative, the present value of or notional amount and term of the derivative. This form of compensation presents a conflict of interest because the advisor may have an incentive to advise the Client to increase the size of the securities issue or modify the derivative for the purpose of increasing the advisor's compensation.

B. Other Material Conflicts of Interest

The MSRB requires us, as your municipal advisor, to provide written disclosure to you about material conflicts of interest. The following represent Speer material conflicts of interest known to Speer as of the date of this Representation Letter.

As of the date of this Municipal Advisory Relationship, Speer is unaware of any material conflicts of interest.

2. DISCLOSURE OF LEGAL EVENTS AND DISCIPLINARY ACTION

The MSRB requires us, as your municipal advisor, to provide written disclosure to you of any legal or disciplinary events material to your evaluation of Speer or the integrity of Speer's management or advisory personnel.

Material Legal or Disciplinary Event. There are no legal or disciplinary events that are material to the Client's evaluation of Speer or the integrity of Speer's management or advisory personnel disclosed, or that should be disclosed, on any Form MA or Form MA-I filed with the SEC.

How to Access Form MA and Form MA-I Filings. Speer's most recent form MA and each most recent Form MA-I filed with the SEC are available on the SEC's EDGAR system at:

<http://www.sec.gov/cgi-bin/browse-edgar?action=getcompany&CIK=0001606944>

Most Recent Change in Legal or Disciplinary Event Disclosure. Speer has not made any material legal or disciplinary event disclosures on Form MA or any form MA-I filed with the SEC.

3. Future Disclosures

As required by MSRB Rule G-42, the Required Disclosures found in this Exhibit B may be supplemented or amended, from time to time as needed, to reflect changed circumstances resulting in new conflicts of interest or changes in conflicts of interest described above, or to provide updated information with regard to any legal or disciplinary events of Speer. Speer will provide the Client with any such supplemental or amended information as it becomes available through the term of the Municipal Advisory Relationship.



"...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, Director of Parks, Recreation and Facilities Management

Date: October 11, 2016

Re: Informational: Contract 40-16 was awarded to K & B Electric, LLC to replace the exterior lighting at Fire Stations #3 and #5 in the amount of \$38,110 with a contingency of \$3,811. One change order was issued in the amount of \$2,811. Payments issued to date total \$36,204.50. Request to issue the final contract payment of \$4,716.50.

The 2016 Capital Improvement Budget includes funding for exterior lighting upgrades at Fire Stations #3 and #5. Construction contract 40-16 was issued to K & B Electric, LLC in the amount of \$38,110. The project has been completed. One change order was issued for installation of a maintenance bypass cabinet at each Fire Station. The change order was in the amount of \$2,811. The new contract total including the change order is \$40,921 with a remaining project contingency of \$1,000. This contract is now complete as all punchlist items were completed.

The Parks, Recreation and Facilities Management Department recommends issuing the final contract payment to K & B Electric, LLC in the amount of \$4,716.50.

Please feel free to contact me at 832-5572 with any questions, or by email at dean.gazza@appleton.org.



"...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, Director of Parks, Recreation and Facilities Management

Date: October 11, 2016

Re: Informational: Contract 31-16 was awarded to Weinert Roofing for pavilion roof replacements at Green Meadows, Peabody, and Union Springs Parks in the amount of \$37,244 with a contingency of \$3,724. One change order was issued in the amount of \$1,270. Payments issued to date total \$30,916.80. Request to issue the final contract payment of \$7,597.20.

The 2016 Capital Improvement Budget includes funding for the pavilion roof replacements at Green Meadows, Peabody, and Union Springs Parks. Construction contract 31-16 was issued to Weinert Roofing in the amount of \$37,244. The project has been completed. One change order was issued for replacement of deteriorated roof deck. The change order was in the amount of \$1,270. The new contract total including the change order is \$38,514 with a remaining project contingency of \$2,454. This contract is now complete as all punchlist items were completed.

The Parks, Recreation and Facilities Management Department recommends issuing the final contract payment to Weinert Roofing, LLC in the amount of \$7,597.20.

Please feel free to contact me at 832-5572 with any questions, or by email at dean.gazza@appleton.org.

CITY OF APPLETON 2017 BUDGET

**FACILITIES AND
CONSTRUCTION MANAGEMENT**

**Director of Parks, Recreation & Facilities Management:
Dean R. Gazza, CFM, PMP, LEED-AP**

**Deputy Director of Parks, Recreation & Facilities Management:
Thomas R. Flick**

CITY OF APPLETON 2017 BUDGET

FACILITIES AND CONSTRUCTION MANAGEMENT

MISSION STATEMENT

Building communities and enriching lives where we live, work and play.

DISCUSSION OF SIGNIFICANT 2016 EVENTS

The Facilities Management Division provided operation and maintenance services for more than 1.2 million square feet of municipal buildings including, but not limited to, offices, park pavilions, municipal aquatic centers, vehicle garages, police and fire stations, a golf course and water and wastewater plants. The services provided included maintaining and inspecting all building systems, such as HVAC, electrical, plumbing, structural and fire systems and general services such as janitorial services, pest control and elevator maintenance. Additionally, support was provided in areas directly impacting City departmental missions such as fuel systems, vehicle exhaust systems, appliances, air compressors, UPS's and vehicle wash bays.

The focus continued on being proactive and providing a high quality of customer service. As a customer service department, it is essential that we meet the needs of our customers by improving the systems' reliability, reducing maintenance costs, ensuring safety, and providing productive environments to allow our customers to deliver City services at a high level. We do this through a robust preventive maintenance program and by getting to the root cause of system failures to improve reliability.

Our tradesmen continued to improve their skills and knowledge by maintaining their professional licenses, attending training and seeking ways to find new approaches, such as lean and predictive maintenance. Benchmark costs for maintenance and janitorial services is \$3.02 per square foot, as published by FM Benchmarking, compared to our cost of \$1.91. Expenses are controlled by employing in-house trades people to perform higher-cost skilled work while contracting out work requiring a lesser degree of skill which can generally be procured at a lower cost.

Construction management and planning services were performed for the renovation of Erb Pool and Park and the construction of the downtown Exhibition Center. In addition, various facilities audits to identify required capital improvements at several facilities were performed.

Capital improvement projects completed in 2016 included roof replacements at the Municipal Services Building and various park shelters; HVAC upgrades at the Municipal Services Building, Wastewater Treatment Plant and Water Plant; renovation of the Information Technology department which included new furniture and carpeting; lighting upgrades at Fire Station 3 and 5 and at City and Telulah Parks; replacement of the UPS system in Information Technology, and a laboratory remodel at the Wastewater Plant. Additionally, we continued to draw closer to our goal of ensuring our facilities are asbestos free. This year, we replaced asbestos flooring at the Wastewater Plant in conjunction with the laboratory renovation. Numerous other general projects were also completed to preserve and extend the useful life of the facilities. These type of projects include door replacements, flooring replacements, large-scale painting and various HVAC, plumbing and electrical upgrades.

Finally, the department remained diligent in its continued implementation of energy conservation and sustainability plans. The department considers sustainability when procuring products including the use of LED fixtures and the purchase of products utilizing recyclable materials when feasible. Since 2005, electrical usage has been reduced by over 30.3 million kWh's and natural gas usage reduced by over 1.2 million therms resulting in an approximately \$3.3 million in energy savings. We are proud of the fact that the City is far exceeding the initial goal of a 10% reduction established in 2005.

CITY OF APPLETON 2017 BUDGET

FACILITIES AND CONSTRUCTION MANAGEMENT

MAJOR 2017 OBJECTIVES

Provide planning and project management services including construction oversight and representation related to new facilities (Erb Park and Pool and the Fox Cities Exhibition Center) and remodeling projects outlined in the capital improvement plan. Ensure all major facility maintenance projects meet project objectives and are completed on time and within budget.

Train staff to operate the new pools and aquatic features at Erb Park. The staff will require additional education, certification and training to operate the new systems efficiently and safely.

Maintain the roof management program including a complete roof inventory and condition analysis, long-term replacement and recondition plans, and an annual preventive and predictive inspection plan. Although the initial inspection and inventory of all roofs is complete, the goal now is to review each roof on a two year cycle. Severe weather and personnel access can cause unexpected damage. It is especially important to inspect the roofs that are nearing the end of their expected life span.

Emphasize maintenance activities while systematically reducing alterations, improvements, remodeling, and other non-maintenance activities. Simultaneously upgrade current facilities' conditions.

Implementation of corrective maintenance plan findings from facility audits performed in 2016. Continue performing audits on remaining facilities in 2017.

Continue to inventory, consolidate and, where necessary, create or obtain necessary facility documentation to better manage the facilities. Documentation includes site, architectural, structural, electrical, mechanical, plumbing, fire protection and furniture drawings.

Continue implementation of energy management and sustainability plans for facilities. Initiate program to install LED lighting in City parks and facilities where feasible.

Maintain a cost per square foot for maintenance and housekeeping under \$2.00 per square foot. Our current square foot benchmark is \$1.91, which is far below the industry's benchmark of \$3.02 as published by FM Benchmarking.

Continue to provide a high level of customer service by meeting or exceeding our customers' expectations for quality, timeliness and professionalism.

DEPARTMENT BUDGET SUMMARY							
Programs		Actual		Budget			% Change *
Unit	Title	2014	2015	Adopted 2016	Amended 2016	2017	
Program Revenues		\$ 2,510,216	\$ 2,687,372	\$ 2,706,656	\$ 2,706,656	\$ 2,735,528	1.07%
Program Expenses							
6330	Administration	284,759	295,504	323,889	326,173	342,809	5.84%
6331	Facilities Maintenance	2,226,041	2,325,454	2,382,767	2,391,690	2,402,219	0.82%
Total Program Expenses		\$ 2,510,800	\$ 2,620,958	\$ 2,706,656	\$ 2,717,863	\$ 2,745,028	1.42%
Expenses Comprised Of:							
Personnel		825,368	825,201	939,640	950,847	903,586	-3.84%
Administrative Expense		671,195	696,963	717,612	717,612	753,122	4.95%
Supplies & Materials		79,149	69,855	43,120	43,120	42,500	-1.44%
Purchased Services		22,134	23,520	27,194	27,194	29,604	8.86%
Utilities		58,438	55,446	67,772	67,772	59,377	-12.39%
Repair & Maintenance		854,516	949,973	911,318	911,318	956,839	5.00%
Capital Expenditures		-	-	-	-	-	N/A
Full Time Equivalent Staff:							
Personnel allocated to programs		10.23	10.25	10.25	10.25	10.25	

CITY OF APPLETON 2017 BUDGET

FACILITIES AND CONSTRUCTION MANAGEMENT

Administration

Business Unit 6330

PROGRAM MISSION

To provide a safe and productive physical environment which supports the departments and community in a safe, accessible, sustainable and cost effective manner.

PROGRAM NARRATIVE

Link to City Goals:

Implements Key Strategy # 1: "Determine City-wide priorities and budget accordingly", # 2: "Proactively pursue collaborative and cooperative agreements to meet the needs of the community", and # 5: "Encourage sustainability".

Objectives:

Provide quality cost-effective administrative management to support the internal and external services provided by the Facilities Management Division, including:

Strategic facilities planning	Major renovation project management
Office space and layout planning	New construction project management
ADA analysis	Move coordination

As well as performing a range of planning services, including:

Building assessment	Environmental programs
Preventive maintenance programs	Facility documentation
Energy programs	Space allocation records

Monitor the timeliness, professionalism and efficiency of staff, and the overall satisfaction with our services as perceived by our internal customers. Also, provide education and training opportunities for our employees to promote personal and professional growth and to meet federal, State and local guidelines.

Major changes in Revenue, Expenditures, or Programs:

The \$9,500 transfer out to the Capital Projects fund represents a contribution to the CEA replacement fund for the upgrade of the van for the Facilities Controls Technician. The current van is a Chevrolet Astro Van and that model is no longer available. In addition, this vehicle was originally part of Central Building Maintenance, which was given to the Facilities Management Department HVAC Controls Technician in 2007. The van did not meet the needs for carrying parts, did not have the necessary weight carrying ability, etc. The new vehicle will meet the needs of this position moving forward.

PERFORMANCE INDICATORS

	<u>Actual 2014</u>	<u>Actual 2015</u>	<u>Target 2016</u>	<u>Projected 2016</u>	<u>Target 2017</u>
Client Benefits/Impacts					
Timely and organized support of departments					
% of customers who were satisfied with the services provided	95%	98%	100%	100%	100%
Strategic Outcomes					
Facilities projects/plans/studies completed in year scheduled	94%	95%	100%	100%	100%
Work Process Output					
# of capital projects completed	55	48	50	50	50

CITY OF APPLETON 2017 BUDGET

FACILITIES AND CONSTRUCTION MANAGEMENT

Administration

Business Unit 6330

PROGRAM BUDGET SUMMARY

Description	Actual		Budget		
	2014	2015	Adopted 2016	Amended 2016	2017
Revenues					
4710 Interest on Investments	\$ 12	\$ (52)	\$ -	\$ -	\$ -
4801 Charges for Services	2,505,371	2,681,821	2,702,156	2,702,156	2,731,028
5005 Sale of City Prop - Tax	221	376	-	-	-
5020 Donations & Memorials	-	-	-	-	-
5030 Damage to City Property	-	-	-	-	-
5035 Other Reimbursements	4,612	5,227	4,500	4,500	4,500
5082 Insurance Proceeds	-	-	-	-	-
Total Revenue	<u>\$ 2,510,216</u>	<u>\$ 2,687,372</u>	<u>\$ 2,706,656</u>	<u>\$ 2,706,656</u>	<u>\$ 2,735,528</u>
Expenses					
6101 Regular Salaries	\$ 133,768	\$ 137,430	\$ 142,935	\$ 145,219	\$ 139,187
6104 Call Time	-	114	-	-	-
6105 Overtime	2,670	5,145	2,500	2,500	2,263
6150 Fringes	42,620	40,393	47,356	47,356	58,353
6201 Training\Conferences	5,860	8,333	9,000	9,000	10,000
6206 Parking Permits	396	396	792	792	840
6301 Office Supplies	1,591	2,061	2,060	2,060	2,060
6302 Subscriptions	130	530	125	125	125
6303 Memberships & Licenses	814	996	1,000	1,000	1,000
6304 Postage\Freight	2,573	2,621	2,620	2,620	2,620
6305 Awards & Recognition	156	111	165	165	180
6307 Food & Provisions	205	116	220	220	240
6309 Shop Supplies & Tools	-	282	-	-	-
6315 Books & Library Material	825	1,631	1,000	1,000	1,500
6320 Printing & Reproduction	2,897	2,479	4,120	4,120	3,000
6321 Clothing	830	479	1,000	1,000	1,000
6323 Safety Supplies	2,799	1,100	2,000	2,000	2,000
6401 Accounting/Audit	1,804	1,886	2,530	2,530	2,000
6404 Consulting Services	4,837	6,733	6,500	6,500	6,500
6407 Collection Services	1,064	1,396	875	875	1,200
6412 Advertising	2,939	2,838	-	-	3,000
6413 Utilities	55,252	51,562	67,772	67,772	59,377
6501 Insurance	19,040	12,235	25,530	25,530	31,460
6599 Other Contracts/Obligations	1,689	1,637	3,789	3,789	5,404
7914 Trans Out - Cap Projects	-	13,000	-	-	9,500
Total Expense	<u>\$ 284,759</u>	<u>\$ 295,504</u>	<u>\$ 323,889</u>	<u>\$ 326,173</u>	<u>\$ 342,809</u>

DETAILED SUMMARY OF 2017 PROPOSED EXPENDITURES > \$15,000

None

CITY OF APPLETON 2017 BUDGET

FACILITIES AND CONSTRUCTION MANAGEMENT

Facilities Maintenance

Business Unit 6331

PROGRAM MISSION

Provide proactive, cost effective and quality facilities maintenance services that preserve and extend the useful life of the City's facility assets and to ensure reliable and dependable service for our internal and external customers.

PROGRAM NARRATIVE

Link to City Goals:

Implements Key Strategy # 1: "Determine City-wide priorities and budget accordingly", # 2: "Proactively pursue collaborative and cooperative agreements to meet the needs of the community", and # 5: "Encourage sustainability".

Objectives:

Maintain mechanical, electrical and architectural systems including:

Carpentry	Fire protection	Locksmith	Roofing
Custodial services	Furniture	Pest control	Security
Electrical	HVAC	Plumbing	Structural
Elevator maintenance	Lighting maintenance	Refuse program	Windows

Develop and implement maintenance standards and schedules for buildings, building systems and installed equipment.

Major changes in Revenue, Expenditures, or Programs:

The decrease in part-time wages (\$25,900) is due to transferring summer help wages associated with cleaning and maintaining park shelters and pavilions to the Parks and Recreation general fund budget. In the past, workers tracked their time between maintaining the grounds (mowing, weed cutting, debris pickup, etc.) which was charged directly to the Parks budget, and maintaining/cleaning buildings within the parks, which was charged to this budget (and ultimately charged back to the Parks budget). In order to eliminate this administrative burden, a decision was made to charge all time spent maintaining/cleaning parks directly to the Parks general fund budget.

PERFORMANCE INDICATORS

	<u>Actual 2014</u>	<u>Actual 2015</u>	<u>Target 2016</u>	<u>Projected 2016</u>	<u>Target 2017</u>
Client Benefits/Impacts					
Provide a proactive maintenance program					
% of satisfied customers	99%	99%	100%	100%	100%
Strategic Outcomes					
% of services performed as scheduled:					
Cost per sq. ft. - maint. and janitorial	\$1.74	\$1.81	\$1.90	\$1.88	\$1.91
Work completed in time scheduled	97%	98%	100%	100%	100%
Quantity of code, safety, etc. citations	0	0	0	0	0
Work Process Outputs					
Service Performed					
Square feet of facilities maintained	1,266,848	1,266,848	1,266,848	1,266,848	1,266,848
# of pavilions maintained	22	22	22	22	22
# of pools maintained	2	2	2	2	2

CITY OF APPLETON 2017 BUDGET

FACILITIES AND CONSTRUCTION MANAGEMENT

Facilities Maintenance

Business Unit 6331

PROGRAM BUDGET SUMMARY

Description	Actual		Budget		
	2014	2015	Adopted 2016	Amended 2016	2017
Expenses					
6101 Regular Salaries	\$ 444,286	\$ 432,555	\$ 497,608	\$ 506,531	\$ 489,927
6104 Call Time	1,977	1,885	3,500	3,500	3,570
6105 Overtime	12,280	8,944	15,000	15,000	12,000
6108 Part-Time	25,292	24,304	34,245	34,245	9,547
6150 Fringes	162,475	174,431	196,496	196,496	188,739
6303 Memberships & Licenses	74	-	-	-	-
6306 Building Maint./Janitorial	328,888	328,800	339,953	339,953	348,591
6307 Food & Provisions	-	64	-	-	-
6309 Shop Supplies & Tools	9,728	9,328	10,000	10,000	10,000
6323 Safety Supplies	22	37	-	-	-
6327 Miscellaneous Equipment	62,048	54,519	25,000	25,000	25,000
6405 Engineering Services	6,333	5,886	7,500	7,500	7,500
6407 Collection Services	3,397	3,144	5,000	5,000	4,000
6409 Inspection Fees	-	-	1,000	1,000	-
6413 Utilities	3,187	3,883	-	-	-
6414 Janitorial Service	347,631	362,379	368,596	368,596	381,433
6416 Building Repairs & Maint.	460,443	547,696	500,296	500,296	532,585
6418 Equip Repairs & Maint	1,662	1,904	3,500	3,500	3,500
6425 CEA	44,780	37,994	38,926	38,926	39,321
6502 Leases	311,468	327,701	335,897	335,897	346,256
6503 Equipment Rental	-	-	250	250	250
6599 Other Contracts/Obligations	70	-	-	-	-
Total Expense	\$ 2,226,041	\$ 2,325,454	\$ 2,382,767	\$ 2,391,690	\$ 2,402,219

DETAILED SUMMARY OF 2017 PROPOSED EXPENDITURES > \$15,000

Building Maint./Janitorial Supplies

Building interior	\$ 30,480
Electrical	30,480
Elevator	20,320
Fire/Safety	30,480
HVAC	71,120
Janitorial supplies	38,711
Painting	30,480
Plumbing	30,480
Security	25,400
Structural/windows/ext. doors	40,640
	<u>\$ 348,591</u>

Miscellaneous Equipment

City furniture/general	\$ 25,000
	<u>\$ 25,000</u>

Building Repairs & Maintenance Services

Electrical	\$ 30,625
Elevator	40,333
Fire/safety	43,137
HVAC	191,726
Plumbing	21,968
Security	17,028
Structural/roof	11,250
Overhead & passage doors	69,123
Painting & pavilion staining	42,775
Flooring	8,250
Other: pest control, locksmith, room set-ups, landfill, etc.	26,370

Projects

Wastewater door replacements	30,000
	<u>\$ 532,585</u>

Leases

City Hall condo agreement	\$ 331,447
First floor conference room	14,809
	<u>\$ 346,256</u>

Janitorial Service

Contracted janitorial service	\$ 381,433
	<u>\$ 381,433</u>

Description	2014 Actual	2015 Actual	2016 YTD Actual	2016 Adopted Budget	2016 Amended Budget	2017 Requested Budget	2017 Adopted Budget
REVENUES							
Intergovernmental Revenues	0	.00	1,000	0	0	0	0
Interest Income	12	52.14-	290	0	0	0	0
Charges for Services	2,505,372	2,681,821.18	1,416,789	2,702,156	2,702,156	0	2,731,028
Other Revenues	4,833	5,602.98	3,892	4,500	4,500	4,500-	4,500
TOTAL REVENUES	2,510,217	2,687,372.02	1,421,971	2,706,656	2,706,656	4,500-	2,735,528
EXPENSES BY LINE ITEM							
Regular Salaries	203,177	196,921.09	130,399	639,283	641,567	629,114	629,114
Labor Pool Allocations	307,498	346,295.65	240,423	0	8,923	0	0
Call Time	1,977	1,999.36	1,548	3,500	3,500	3,570	3,570
Overtime	14,949	14,089.07	7,021	17,500	17,500	17,559	14,263
Part-Time	25,292	24,303.94	26,407	34,245	34,245	35,447	9,547
Other Compensation	1,910	1,713.70	648	1,260	1,260	0	0
Sick Pay	18,883	22,120.08-	24,221	0	0	0	0
Vacation Pay	46,587	47,174.22	30,952	0	0	0	0
Fringes	205,096	219,785.47	149,896	243,852	243,852	247,497	247,092
Pension Expense / Revenue	0	4,961.00-	0	0	0	0	0
Salaries & Fringe Benefits	825,369	825,201.42	611,515	939,640	950,847	933,187	903,586
Training & Conferences	5,860	8,333.10	2,762	9,000	9,000	10,000	10,000
Parking Permits	396	396.00	816	792	792	840	840
Office Supplies	1,591	2,061.27	1,980	2,060	2,060	2,060	2,060
Subscriptions	130	529.97	11	125	125	125	125
Memberships & Licenses	889	996.00	1,671	1,000	1,000	1,000	1,000
Postage & Freight	2,573	2,620.92	1,861	2,620	2,620	2,620	2,620
Awards & Recognition	156	110.53	97	165	165	180	180
Building Maintenance/Janitor.	328,888	328,799.82	199,611	339,953	339,953	348,591	348,591
Food & Provisions	205	179.39	18	220	220	240	240
Insurance	19,040	12,235.00	19,116	25,530	25,530	25,530	31,460
Leases	311,468	327,700.72	221,047	335,897	335,897	346,256	346,256
Rent	0	.00	0	250	250	250	250
Trans Out - Capital Projects	0	13,000.00	0	0	0	9,500	9,500
Administrative Expense	671,196	696,962.72	448,990	717,612	717,612	747,192	753,122
Shop Supplies & Tools	9,728	9,609.76	2,823	10,000	10,000	10,000	10,000
Books & Library Materials	825	1,630.90	670	1,000	1,000	1,500	1,500
Printing & Reproduction	2,897	2,479.07	2,361	4,120	4,120	3,000	3,000
Clothing	830	479.44	198	1,000	1,000	1,000	1,000
Safety Supplies	2,821	1,137.22	355	2,000	2,000	2,000	2,000
Miscellaneous Equipment	62,048	54,518.56	26,988	25,000	25,000	25,000	25,000
Supplies & Materials	79,149	69,854.95	33,395	43,120	43,120	42,500	42,500
Accounting/Audit	1,804	1,886.23	2,228	2,530	2,530	2,000	2,000
Consulting Services	4,837	6,732.85	804	6,500	6,500	6,500	6,500
Engineering Fees	6,333	5,886.35	2,040	7,500	7,500	7,500	7,500
Collection Services	4,462	4,539.82	1,883	5,875	5,875	5,200	5,200
Inspection Fees	0	.00	61	1,000	1,000	0	0
Advertising	2,939	2,837.56	1,153	0	0	3,000	3,000
Other Contracts/Obligations	1,759	1,637.00	977	3,789	3,789	5,404	5,404
Purchased Services	22,134	23,519.81	9,146	27,194	27,194	29,604	29,604
Electric	19,692	19,738.43	12,573	22,010	22,010	21,792	21,792
Gas	13,701	9,031.13	4,957	14,280	14,280	9,302	9,302
Water	2,432	3,203.03	2,072	4,284	4,284	3,299	3,299
Waste Disposal/Collection	700	612.33	656	1,236	1,236	631	631
Stormwater	15,122	15,372.14	11,373	17,545	17,545	15,833	15,833
Telephone	3,087	2,932.23	2,235	3,700	3,700	3,020	3,020
Cellular Telephone	3,704	4,556.53	3,404	4,717	4,717	5,500	5,500
Utilities	58,438	55,445.82	37,270	67,772	67,772	59,377	59,377
Janitorial Service	347,631	362,379.46	303,900	368,596	368,596	381,433	381,433
Building Repair & Maintenance	460,443	547,696.27	327,644	500,296	500,296	532,585	532,585
Equipment Repair & Maintenan	1,662	1,904.00	1,855	3,500	3,500	3,500	3,500
CEA Equipment Rental	44,780	37,993.88	25,168	38,926	38,926	38,926	39,321

Description	2014 Actual	2015 Actual	2016 YTD Actual	2016 Adopted Budget	2016 Amended Budget	2017 Requested Budget	2017 Adopted Budget
Repair & Maintenance	854,516	949,973.61	658,567	911,318	911,318	956,444	956,839
Capital Expenditures	0	.00	0	0	0	0	0
TOTAL EXPENSES	2,510,802	2,620,958.33	1,798,883	2,706,656	2,717,863	2,768,304	2,745,028

CITY OF APPLETON 2017 BUDGET
FACILITIES, GROUNDS AND CONSTRUCTION MANAGEMENT
STATEMENT OF REVENUES, EXPENSES AND CHANGES IN FUND NET ASSETS

	2014 Actual	2015 Actual	2016 Budget	2016 Projected	2017 Budget
Revenues					
Charges for Services	\$ 2,505,372	\$ 2,681,821	\$ 2,702,156	\$ 2,645,416	\$ 2,731,028
Other	-	-	-	-	-
Total Revenues	<u>2,505,372</u>	<u>2,681,821</u>	<u>2,702,156</u>	<u>2,645,416</u>	<u>2,731,028</u>
Expenses					
Operating Expenses	2,510,801	2,607,958	2,706,656	2,649,916	2,735,528
Depreciation	-	-	-	-	-
Total Expenses	<u>2,510,801</u>	<u>2,607,958</u>	<u>2,706,656</u>	<u>2,649,916</u>	<u>2,735,528</u>
Operating Loss	(5,429)	73,863	(4,500)	(4,500)	(4,500)
Non-Operating Revenues (Expenses)					
Investment Income (Loss)	11	(52)	-	-	-
Other Income	4,833	5,603	4,500	4,500	4,500
Total Non-Operating	<u>4,844</u>	<u>5,551</u>	<u>4,500</u>	<u>4,500</u>	<u>4,500</u>
Income (Loss) before Contributions and Transfers	(585)	79,414	-	-	-
Contributions and Transfers In (Out)					
Transfer Out - Capital Projects	-	(13,000)	-	-	(9,500)
Change in Net Assets	(585)	66,414	-	-	(9,500)
Net Assets - Beginning	<u>1,309</u>	<u>178,155 *</u>	<u>244,569</u>	<u>244,569</u>	<u>244,569</u>
Net Assets - Ending	<u>\$ 724</u>	<u>\$ 244,569</u>	<u>\$ 244,569</u>	<u>\$ 244,569</u>	<u>\$ 235,069</u>

* as restated for new pension standards

SCHEDULE OF CASH FLOWS

Cash - Beginning of Year	\$ 126,925	\$ 126,925
+ Change in Net Assets	-	(9,500)
Working Cash - End of Year	<u>\$ 126,925</u>	<u>\$ 117,425</u>

**CITY OF APPLETON 2017 BUDGET
CAPITAL PROJECTS FUNDS**

NOTES

CITY OF APPLETON 2017 BUDGET

CAPITAL PROJECTS FUNDS

Facilities and Construction Management

Business Unit 4350

PROGRAM MISSION

This program accounts for funding sources and expenditures related to capital improvements of City facilities.

PROGRAM NARRATIVE

Link to Strategy:

Implements Key Strategies # 4: "Continually assess trends affecting the community and proactively respond", and # 6: "Create opportunities and learn from successes and failures".

Objectives:

This budget, under oversight of the Parks, Recreation and Facilities Management Director, accounts for the expenditures related to City facility construction and major facilities improvements not accounted for separately in the City's enterprise funds. The projects anticipated for the upcoming year include the following:

Project	Subledger	Amount	Page
Downtown Development	2100/3414/3430	\$ 2,075,000	Projects, Pg. 601
Electrical	1915	25,000	Projects, Pg. 604
Facility Renovations	2107/2112	70,000	Projects, Pg. 606
Grounds Improvements	4150/4180/4190/4350/4480	175,000	Projects, Pg. 607
Hardscape Infrastructure	1917/4158/4160/4188/4390/4480	360,000	Projects, Pg. 608
HVAC Systems	2106	240,000	Projects, Pg. 609
Interior Finishes and Furniture	1905/1913/2100/2107	132,500	Projects, Pg. 610
Lighting Upgrades	2101/4190	175,000	Projects, Pg. 611
Parking Deck Repairs	1905	250,000	Projects, Pg. 614
Roof Replacement	1915/1917/2101	400,000	Projects, Pg. 615
Safety and Security	1905/2100/2101/4160	230,000	Projects, Pg. 616
AMP Athletic Fields	4120	75,000	Projects, Pg. 655
Park ADA Improvements	2106	50,000	Projects, Pg. 656
Park Development	4330/4420/4710	1,600,000	Projects, Pg. 658
Playground Equipment	4342	75,000	Projects, Pg. 660
Scheig Center	4169	100,000	Projects, Pg. 662
SE Community Park	4700	1,500,000	Projects, Pg. 663
Statue and Monument Restoration	4235	25,000	Projects, Pg. 664
Telulah Park Improvements	4458	85,000	Projects, Pg. 665
Tennis Courts	4357	25,000	Projects, Pg. 666
Trails and Trail Connections	4145	475,000	Projects, Pg. 667
		<u>\$ 8,142,500</u>	

Major changes in Revenue, Expenditures, or Programs:

The budget for this capital projects fund varies from year to year based on the investment needs of City facilities.

PERFORMANCE INDICATORS

Actual 2014 Actual 2015 Target 2016 Projected 2016 Target 2017

Note: Since this program exists solely to account for funding sources and expenditures for various facility improvements, there are no continuing performance measures.

DEPARTMENT BUDGET SUMMARY

Programs		Actual		Budget		% Change *
Unit	Title	2014	2015	Adopted 2016	Amended 2016	
Program Revenues		\$ 14,311	\$ 65,491	\$ -	\$ -	\$ 300,000
Program Expenses		\$ 2,187,477	\$ 2,274,114	\$ 13,373,353	\$ 13,823,871	\$ 8,342,390
Expenses Comprised Of:						
Personnel		54,511	56,687	168,586	169,027	199,890
Administrative Expense		-	-	-	-	-
Supplies & Materials		-	1,336	335,000	335,000	152,500
Purchased Services		398,773	263,664	1,051,922	1,139,212	810,000
Utilities		-	-	-	-	-
Capital Expenditures		1,734,193	1,952,427	11,817,845	12,180,632	7,180,000

CITY OF APPLETON 2017 BUDGET

CAPITAL PROJECTS FUNDS

Facilities and Construction Management

Business Unit 4350

PROGRAM BUDGET SUMMARY

Description	Actual		Budget		
	2014	2015	Adopted 2016	Amended 2016	2017
Revenues					
4230 Miscellaneous Local Aids	\$ -	\$ 1,492	\$ -	\$ -	\$ -
4710 Interest on Investments	8,327	1,337	-	-	-
5020 Donations & Memorials	5,984	62,662	-	-	-
5910 Proceeds of Long-term Debt	3,028,547	2,336,466	13,373,794	13,373,794	8,042,390
5922 Trans In - Special Revenue	-	-	-	-	300,000
Total Revenue	\$ 3,042,858	\$ 2,401,957	\$ 13,373,794	\$ 13,373,794	\$ 8,342,390
Expenses					
6101 Regular Salaries	\$ 42,696	\$ 44,191	\$ 127,521	\$ 127,962	\$ 149,832
6150 Fringes	11,815	12,496	41,065	41,065	50,058
6327 Miscellaneous Equipment	-	1,336	295,000	295,000	152,500
6328 Signs	-	-	40,000	40,000	-
6404 Consulting	384,988	248,049	150,000	237,290	135,000
6406 Architect Fees	13,785	15,615	834,655	834,655	675,000
6407 Collection Services	-	-	20,000	20,000	-
6408 Contractor Fees	-	-	47,267	47,267	-
6801 Land	51,650	76,762	-	-	1,500,000
6802 Land Improvements	-	35,172	1,153,563	1,258,913	1,825,000
6803 Buildings	777,844	577,480	761,250	740,014	695,000
6804 Machinery & Equipment	322,296	653,642	592,500	718,213	505,000
6809 Infrastructure Construction	582,403	609,371	9,310,532	9,463,492	2,655,000
Total Expense	\$ 2,187,477	\$ 2,274,114	\$ 13,373,353	\$ 13,823,871	\$ 8,342,390

DETAILED SUMMARY OF 2017 PROPOSED EXPENDITURES > \$15,000

<u>Miscellaneous Equipment</u>		<u>Buildings</u>	
Library - new workstations	\$ 30,000	MSB roof replacement	\$ 250,000
Police Station - cube reconfiguration	22,500	FS 3 & 5 electrical upgrades	25,000
City Clerk - workstation replacement	25,000	FS 3 & 5 roof replacement	150,000
Playground equipment - Kiwanis Park	75,000	MSB fire protection upgrades	125,000
	<u>\$ 152,500</u>	City Hall remodeling	50,000
		Fire Station 1 flooring	25,000
<u>Consulting</u>		Library flooring	30,000
City-wide hardscape audit	\$ 65,000	Library security upgrades	40,000
Parks CORP plan	25,000		<u>\$ 695,000</u>
Ellen Kort Park concepts	25,000		
Bridge tender stations	20,000	<u>Machinery & Equipment</u>	
	<u>\$ 135,000</u>	PRFMD HVAC upgrade	\$ 240,000
		Police Station UPS upgrade	35,000
<u>Architect Fees</u>		Park security upgrades	30,000
AMP Jones Building	\$ 75,000	MSB lighting upgrades	75,000
Trolley Square Trestle Trail	100,000	Lighting upgrades - parks	100,000
Library design	500,000	Monuments repairs	25,000
	<u>\$ 675,000</u>		<u>\$ 505,000</u>
<u>Land</u>		<u>Infrastructure Construction</u>	
SE Community Park	\$ 1,500,000	FS 3 & 5 parking lots	\$ 90,000
	<u>\$ 1,500,000</u>	Vulcan Park - walkways	65,000
		Woodland Park - roadways	35,000
<u>Land Improvements</u>		Arbutus Park trail	60,000
Arbutus Park - retaining wall	\$ 65,000	Alicia Park trail	45,000
Alicia Park hillside stabilization	70,000	Police Station parking deck	250,000
Park fencing	15,000	Park ADA improvements	50,000
Tree replacement	25,000	Lutz/AYC trail construction	375,000
Scheig Center	100,000	Linwood tennis courts	25,000
Jones Park	1,550,000	Blue ramp demolition	250,000
	<u>\$ 1,825,000</u>	New parking ramp	1,325,000
		Telulah Skate Park improv.	85,000
			<u>\$ 2,655,000</u>

CITY OF APPLETON 2017 BUDGET
FACILITIES AND CONSTRUCTION MANAGEMENT
Schedule of Revenues, Expenditures and Changes in Fund Balance (Deficit)

Revenues	2014 Actual	2015 Actual	2016 Budget	2016 Projected	2017 Budget
Intergovernmental Revenues	\$ -	\$ -	\$ -	\$ -	\$ -
Interest Income	8,327	1,337	-	-	-
Other	5,984	64,154	-	-	-
Total Revenues	<u>14,311</u>	<u>65,491</u>	<u>-</u>	<u>-</u>	<u>-</u>
Expenses					
Program Costs	2,187,478	2,274,114	13,373,353	13,823,871	8,342,390
Total Expenses	<u>2,187,478</u>	<u>2,274,114</u>	<u>13,373,353</u>	<u>13,823,871</u>	<u>8,342,390</u>
Revenues over (under) Expenses	(2,173,167)	(2,208,623)	(13,373,353)	(13,823,871)	(8,342,390)
Other Financing Sources (Uses)					
Proceeds of G.O. Debt	3,028,547	2,336,466	13,373,353	12,972,446	8,042,390
Operating Transfers In - General Fund	-	-	-	-	-
Operating Transfers In - Capital Proj	-	-	-	-	-
Operating Transfers In - Special Rev	-	-	-	-	300,000
Total Other Financing Sources (Uses)	<u>3,028,547</u>	<u>2,336,466</u>	<u>13,373,353</u>	<u>12,972,446</u>	<u>8,342,390</u>
Net Change in Equity	855,380	127,843	-	(851,425)	-
Fund Balance - Beginning	<u>(131,798)</u>	<u>723,582</u>	<u>851,425</u>	<u>851,425</u>	<u>-</u>
Fund Balance - Ending	<u>\$ 723,582</u>	<u>\$ 851,425</u>	<u>\$ 851,425</u>	<u>\$ -</u>	<u>\$ -</u>

CITY OF APPLETON 2017 BUDGET

FINANCE DEPARTMENT

Finance Director: Anthony D. Saucerman, CPA

Deputy Finance Director: Stephanie R. Rogers, CPA

CITY OF APPLETON 2017 BUDGET FINANCE DEPARTMENT

MISSION STATEMENT

For the benefit of all City departments, the Common Council, and the Mayor, in order to assist them in meeting program delivery objectives, assure compliance with government policies, and safeguard the assets of the City, we will provide financial management, billing, and collection services.

DISCUSSION OF SIGNIFICANT 2016 EVENTS

Completed 2015 financial audit receiving an unqualified audit opinion

Began the 2017 City budget development process

Earned a rebate of \$46,438 for the contract year ended 2/29/16 from the City's procurement card program, an increase of approximately \$7,600 from the prior year reflecting continuing efforts to maximize the City's use of procurement cards

Continued to work with the IT Department on Water Utility customer billing and with DPW on the ongoing installation and testing of new meters; meter installation in all properties is expected to be completed in 2017

Issued \$24.19 million of Water Utility and \$3.5 million of Stormwater Utility Revenue Bonds, and \$19.625 million of General Obligation Notes for 2016 capital projects and to refund prior revenue issues

Completed transitioning credit card receipts to a new third party provider and began accepting credit card payments in all parking ramps and on-line for utility invoices, in addition to real estate taxes and parking citations

Continued to work with the IT Department on the Enterprise Resource Planning (ERP) project. This project will replace all of the department's I-Series-based automated systems with ERP solutions. This project includes the replacement of the following Finance Department systems: general ledger, accounts payable, accounts receivable, payroll, budgeting, purchasing, property tax billing, special assessment billing, parking ticket, utility billing, and cash receipting.

Primary Concentration for Remainder of Year:

Complete the 2017 City budget process culminating with the adoption of the budget by Council in November

Continue work on the ERP project with the goal of beginning installation of the Enterprise Resource Planning (ERP) system software by October, 2016

Transition grants administration to the City's Community Development Specialist from contracted grants administration firm and work collaboratively with our non-profit agencies to maximize the services they provide to the community

Continue to work with the Community Development Director, City Attorney, Public Works Director, Mayor and Council in analyzing the financial aspects of development projects throughout the City

Continue to work with the Department of Public Works and the Information Technology Department to ensure customers are billed accurately and timely during the installation of the new Sensus water meters

Work with consultant, financial advisor and City staff in developing and implementing a financing plan for the new exhibition center

Issue RFP for annual audit services and award contract

Issue RFP for investment and banking services and award contract by June, 2017

CITY OF APPLETON 2017 BUDGET

FINANCE DEPARTMENT

MAJOR 2017 OBJECTIVES

Maintain a sound credit rating in the financial community assuring taxpayers that the City is well managed by using prudent financial management practices and maintaining a sound fiscal condition

Accurately record financial transactions and provide centralized accounting services to City departments in order to verify their public purpose and compliance with the various sections of the ordinances and budget

Provide knowledgeable, courteous customer service to all individuals who contact the department with questions and/or concerns. Continue to coordinate changes to the customer service area on the first floor insuring adequate training and staff involvement. Proactively offer solutions to challenges that arise keeping customer service the primary focus

Continue development of electronic payment options for City services in conjunction with new ERP system

Continue performance based budgeting incorporating continuous improvements and provide education and support for departments

Train staff and continue to focus on technology improvements that will allow the department to meet the demands of a growing City as efficiently as possible

Promote a department working environment conducive to employee productivity, growth and retention

Provide opportunities for staff to cross-train in various positions in the department

Improve communication of budget procedures, monitoring of budget to actual results for the current year and education of future implications for the City

Continue to work with the Community Development Specialist to ensure compliance with grant covenants and single audit requirements

Develop a plan to address long-term funding issues in the CEA Replacement Fund as well as other long-term capital planning

Begin testing and implementation of new ERP system

Award investment and banking services contract

DEPARTMENT BUDGET SUMMARY

		Actual		Budget			%
Unit	Title	2014	2015	Adopted 2016	Amended 2016	2017	Change *
Program Revenues		\$ 4,235	\$ 3,761	\$ 4,100	\$ 4,100	\$ 4,000	-2.44%
Program Expenses							
11510	Administration	177,503	155,825	145,148	145,148	154,166	6.21%
11520	Billing & Collection Svc	92,386	71,542	99,888	102,197	103,293	3.41%
11530	Support Services	491,919	581,553	602,796	610,887	613,766	1.82%
TOTAL		\$ 761,808	\$ 808,920	\$ 847,832	\$ 858,232	\$ 871,225	2.76%
Expenses Comprised Of:							
Personnel		653,634	688,166	719,647	730,047	737,320	2.46%
Administrative Expense		25,876	28,222	28,705	28,705	36,875	28.46%
Supplies & Materials		6,763	7,575	9,870	9,870	9,870	0.00%
Purchased Services		72,313	81,458	86,050	86,050	83,500	-2.96%
Utilities		1,190	1,226	1,260	1,260	1,260	0.00%
Repair & Maintenance		2,032	2,273	2,300	2,300	2,400	4.35%
Capital Expenditures		-	-	-	-	-	N/A
Full Time Equivalent Staff:							
Personnel allocated to programs		8.85	8.85	8.20	8.20	8.20	

CITY OF APPLETON 2017 BUDGET

FINANCE DEPARTMENT

Administration

Business Unit 11510

PROGRAM MISSION

We will provide training and supervision to the Finance Department in order to provide for the overall direction, coordination and support of the activities of Finance staff.

PROGRAM NARRATIVE

Link to City Strategic Plan:

Implements Key Strategies # 3: "Recognize and grow everyone's talents" and # 4: "Continually assess trends affecting the community and proactively respond".

Objectives:

- Provide cost-effective administrative management to support the activities of the Finance Department
- Provide education and training opportunities for our employees to promote personal and professional growth and development
- Initiate systematic changes by examining existing procedures and technological needs
- Provide support to department staff and ensure staff performance is evaluated accurately and fairly

Major changes in Revenue, Expenditures, or Programs:

The 2017 budget adds tuition reimbursement per City policy for 3 staff members in pursuit of accounting degrees.

PERFORMANCE INDICATORS

	Actual 2014	Actual 2015	Target 2016	Projected 2016	Target 2017
Client Benefits/Impacts					
Trained staff					
% of staff adequately trained	66%	89%	100%	100%	100%
Strategic Outcomes					
Improved program performance					
# of recommendations implemented	5	4	10	5	10
Work Process Outputs					
Training conducted					
Hours of training per employee	22	14	20	20	20
Procedures manuals updated					
% of manuals rated current	67%	74%	85%	81%	85%

CITY OF APPLETON 2017 BUDGET

FINANCE DEPARTMENT

Administration

Business Unit 11510

PROGRAM BUDGET SUMMARY

Description	Actual		Budget		
	2014	2015	Adopted 2016	Amended 2016	2017
Revenues					
4705 General Interest	\$ 6	\$ -	\$ -	\$ -	\$ -
4801 Charges for Serv.- Nontax	4,172	4,340	4,000	4,000	4,000
5010 Misc Revenue - Nontax	60	15	100	100	-
5085 Cash Short or Over	(3)	(594)	-	-	-
Total Revenue	<u>\$ 4,235</u>	<u>\$ 3,761</u>	<u>\$ 4,100</u>	<u>\$ 4,100</u>	<u>\$ 4,000</u>
Expenditures					
6101 Regular Salaries	\$ 136,088	\$ 110,781	\$ 100,726	\$ 100,726	\$ 101,016
6150 Fringes	29,586	30,820	29,691	29,691	31,185
6201 Training\Conferences	3,978	6,134	6,500	6,500	6,500
6204 Tuition Fees	-	-	-	-	7,200
6206 Parking Permits	83	414	466	466	500
6301 Office Supplies	1,958	1,740	2,000	2,000	2,000
6303 Memberships & Licenses	1,880	2,616	2,700	2,700	2,700
6304 Postage\Freight	232	220	225	225	225
6305 Awards & Recognition	177	144	210	210	210
6320 Printing & Reproduction	1,792	1,168	1,370	1,370	1,370
6412 Advertising	539	562	-	-	-
6413 Utilities	1,190	1,226	1,260	1,260	1,260
Total Expense	<u>\$ 177,503</u>	<u>\$ 155,825</u>	<u>\$ 145,148</u>	<u>\$ 145,148</u>	<u>\$ 154,166</u>

DETAILED SUMMARY OF 2017 PROPOSED EXPENDITURES > \$15,000

None

CITY OF APPLETON 2017 BUDGET

FINANCE DEPARTMENT

Billing & Collection Services

Business Unit 11520

PROGRAM MISSION

For the benefit of all City departments and various other government entities, in order to collect all revenues authorized by policy in support of program delivery objectives, we will provide centralized billing, collection, and information services.

PROGRAM NARRATIVE

Link to City Strategic Plan:

Implements Key Strategies # 2: "Encourage active community participation and involvement" and # 4: "Continually assess trends affecting the community and proactively respond".

Objectives:

Provide an efficient, centralized collection location for convenient payment of all City-generated billings via mail, drive through, night deposit, or walk-ins by:

- Improving cash receipting speed and accuracy with formalized procedures and improved systems
- Investigating debit, credit card and internet payment options when financially feasible

Provide a favorable impression of the City since we are a primary contact for the general public by:

- Maintaining a working knowledge of all City departments
- Updating the internal general information guide used to direct and inform customers

Provide professional and courteous service

Maintain parking ticket records and issue reminder and state suspension notices to ensure the proper amount is collected

Major changes in Revenue, Expenditures, or Programs:

No major changes.

PERFORMANCE INDICATORS

	Actual 2014	Actual 2015	Target 2016	Projected 2016	Target 2017
Client Benefits/Impacts					
Accurate, understandable statements					
Billing adjustments required	1,030	760	1,100	800	900
Strategic Outcomes					
Asset safeguarding					
Receivables/Receivables Aging					
% current	63%	62%	60%	62%	60%
Service turnoffs	15	58	20	60	40
Work Process Outputs					
Financial transaction processing					
Receipts posted	204,650	207,133	210,000	210,000	210,000
Automated receipts, % of total	19.0%	19.0%	20.0%	20.0%	20.0%
Information response					
% staff trained in customer svc.	89%	99%	100%	100%	100%

**CITY OF APPLETON 2017 BUDGET
FINANCE DEPARTMENT**

Billing & Collection Services

Business Unit 11520

PROGRAM BUDGET SUMMARY

Description	Actual		Budget		
	2014	2015	Adopted 2016	Amended 2016	2017
Expenditures					
6101 Regular Salaries	\$ 54,095	\$ 33,035	\$ 58,567	\$ 60,876	\$ 58,102
6105 Overtime	217	221	1,000	1,000	1,000
6150 Fringes	20,271	18,482	21,019	21,019	23,601
6206 Parking Permits	1,152	1,240	1,152	1,152	1,440
6301 Office Supplies	-	279	-	-	-
6304 Postage\Freight	12,797	12,782	12,800	12,800	12,800
6320 Printing & Reproduction	3,709	4,389	5,000	5,000	5,000
6328 Miscellaneous Equipment	145	-	-	-	-
6411 Temporary Help	-	933	-	-	1,000
6418 Equip Repairs & Maint	-	181	300	300	300
6431 Interpreter Services	-	-	50	50	50
Total Expense	<u>\$ 92,386</u>	<u>\$ 71,542</u>	<u>\$ 99,888</u>	<u>\$ 102,197</u>	<u>\$ 103,293</u>

DETAILED SUMMARY OF 2017 PROPOSED EXPENDITURES > \$15,000

None

CITY OF APPLETON 2017 BUDGET

FINANCE DEPARTMENT

Support Services

Business Unit 11530

PROGRAM MISSION

We will provide financial services and support to all City departments in order to assist them in meeting program delivery objectives, assure compliance with government policies, and safeguard the assets of the City.

PROGRAM NARRATIVE

Link to City Strategic Plan:

Implements Key Strategies # 1: "Responsibly deliver excellent services" and # 4: "Continually assess trends affecting the community and proactively respond".

Objectives:

Serve as the collection point for all payroll data and process the City's payroll and complete related reports to ensure compliance with the City personnel policy and government regulations

Produce timely payments to employees and vendors to maintain a high level of credibility

Continue to expand the use of credit card payments to suppliers in order to maximize annual rebates and streamline the vendor payment process

Account for real and personal property taxes in a timely and efficient manner

Provide administration of the City's accounts receivable and collection functions (NSF, collection agency, special assessments)

Provide accurate service invoices for the City and produce reminder notices for delinquent accounts

Provide financial reporting and coordinate the annual City audit

Actively identify and pursue local and regional cooperative purchasing opportunities

Provide departmental assistance in evaluating the financial implications of projects

Major changes in Revenue, Expenditures, or Programs:

No major changes.

PERFORMANCE INDICATORS

	Actual 2014	Actual 2015	Target 2016	Projected 2016	Target 2017
Client Benefits/Impacts					
Accurate and timely financial statements					
% months closed within 10 work days	92%	50%	92%	67%	92%
# of items received after cutoff	25	63	10	30	10
Strategic Outcomes					
Financial integrity of programs maintained					
# of auditor's compliance issues	1	0	0	0	0
Asset/resource safeguarding					
Bond rating	Aa1	Aa1	Aa1	Aa1	Aa1
Work Process Outputs					
Financial transaction processing					
Avg. # journal entries made monthly	306	289	400	300	300
Avg. # of A/P checks issued monthly	682	623	675	600	600

CITY OF APPLETON 2017 BUDGET

FINANCE DEPARTMENT

Support Services

Business Unit 11530

PROGRAM BUDGET SUMMARY

Description	Actual		Budget		
	2014	2015	Adopted 2016	Amended 2016	2017
Expenditures					
6101 Regular Salaries	\$ 305,750	\$ 365,546	\$ 373,925	\$ 382,016	\$ 370,959
6105 Overtime	1,984	5,657	1,500	1,500	1,500
6150 Fringes	105,641	123,625	133,219	133,219	149,957
6201 Training\Conferences	835	-	-	-	-
6206 Parking Permits	2,785	2,652	2,652	2,652	3,300
6316 Miscellaneous Supplies	217	132	500	500	500
6320 Printing & Reproduction	901	1,888	3,000	3,000	3,000
6401 Accounting/Audit	13,273	21,836	26,000	26,000	24,000
6403 Bank Services	55,507	56,888	57,000	57,000	57,000
6412 Advertising	1,953	687	1,980	1,980	700
6418 Equip Repairs & Maint	2,032	2,092	2,000	2,000	2,100
6599 Other Contracts/Obligations	1,041	550	1,020	1,020	750
Total Expense	\$ 491,919	\$ 581,553	\$ 602,796	\$ 610,887	\$ 613,766

DETAILED SUMMARY OF 2017 PROPOSED EXPENDITURES > \$15,000

Accounting/Audit

Annual financial audit	\$ 20,500
OPEB actuarial study	3,500
	<u>\$ 24,000</u>

Bank Services

Banking fees	\$ 31,000
Investment fees	26,000
	<u>\$ 57,000</u>

CITY OF APPLETON 2017 BUDGET

LEGAL SERVICES

City Attorney: James P. Walsh

Deputy City Attorney: Christopher R. Behrens

City Clerk: Kami L. Lynch

CITY OF APPLETON 2017 BUDGET LEGAL SERVICES

MISSION STATEMENT

The mission of the office of Legal Services encompasses three general areas: (1) representing the City in civil and quasi-criminal proceedings; (2) serving as legal advisor to the City, its agencies, officials and, in some instances, its employees. More specifically, these missions include: prosecuting and defending claims and lawsuits for and against the City, its officials, and its employees according to law; prosecuting ordinance and traffic violations in Outagamie County Circuit Court; providing legal services to City-owned utilities; and providing in-house counsel for the Police Department; and (3) City Clerk responsibilities including maintaining and providing accurate information, and providing quality service and assistance to the public, elected officials and City departments relative to the functions of City government.

DISCUSSION OF SIGNIFICANT 2016 EVENTS

City Attorney's Office:

- * The Fox River clean up litigation is still in process. Currently, the City is defending a request by Appvion for contribution for sums they have paid for that clean up. We continue to work with outside counsel to defend the City's interest in that case.
- * Worked with the Department of Public Works and the Parks, Recreation and Facilities Management Department regarding railroad trestles and trails near the Fox River. That is a long process and we are making progress on obtaining those facilities in the future.
- * Represented the City in traffic and ordinance related matters in 2015 including 6,607 scheduled initial court appearances, 133 scheduled jury and court trials and 3,601 scheduled pre-trials/jury trial conferences or motion hearings. Through June 4, 2016, staff has represented the City in 2,637 scheduled initial court appearances, 40 scheduled jury and court trials and 1,597 scheduled pre-trials/jury trial conferences or motion hearings.
- * Represented the City in truancy court both at the courthouse and by travelling to each of the high schools and middle schools multiple times each month.
- * Actively engaged in other litigation including the defense in a variety of lawsuits. Staff resolved a number of matters through mediation or dispositive motions.
- * Continues to work with outside counsel on a worker's compensation claim for retraining benefits.
- * Continues to work closely with various departments and the Appleton Area School District regarding establishing a joint employee health clinic.
- * Assisted the Parks, Recreation and Facilities Management Department with a performance bond claim.
- * Continues to assist outside counsel and monitor work of outside counsel in matters pending in Federal Court.
- * Continues to work with the Finance and Utilities Departments on customer issues such as theft of water and collection.
- * Worked closely with various departments regarding employee discipline and discharge matters.
- * Provided training regarding HIPPA issues.
- * Worked with the Department of Public Works on the Appleton East High School stormwater project. We worked with the contractor who would do the inspections of the structure and reworked the contract so it was acceptable to both sides.
- * Worked with the Department of Public Works and the WisDOT on preliminary tasks relating to the land acquisitions for the Richmond Street/CTH OO roundabout project. We anticipate this project going through the balance of this year and into next year with land acquisitions.
- * Filed a second claim against the Village of Harrison and Town of Harrison over the attempted annexation of property in the City's growth area. The case has just begun and we anticipate there being significant activity over the next several months.
- * Worked with the Department of Public Works, completing an update to the Stormwater Management and Erosion Control ordinances.

City Clerk's Office:

- * Successfully conducted four elections including a presidential election.
- * Learned and utilized the new State WisVote system for election administration for all four elections.
- * As a result of the Spring Election held on April 5th, the Clerk's Office processed 4,811 voter registrations.
- * Administered nine weeks of early in-person absentee voting with a very high volume of early voters and registrations.
- * Implemented new laws regarding voter photo ID, absentee ballots, early voting, residency requirements, and campaign finance.
- * At the time of liquor license renewals, 194 beer/liquor licenses were issued.
- * Attended various training including the Municipal Clerk's Institute, liquor licensing updates, election law changes and classes at the Wisconsin Municipal Clerk's Association Annual Conference.
- * The general policy for alcohol licensing was revised to reflect changes in legislation such as the issuance of Class "A" cider only licenses and to remove the economic development grant program for Reserve "Class B" licenses.
- * Worked with the special events staff committee and reviewed and updated the Special Events Policy.
- * The Board of Review proceeding was completed at the beginning of June.

CITY OF APPLETON 2017 BUDGET

LEGAL SERVICES

MAJOR 2017 OBJECTIVES

- * Work with the Department of Public Works and our outside consultants to ensure that all necessary acquisitions and paperwork for the Oneida Street construction project are completed.
- * Work with the Department of Public Works and property owners to assure acquisition of any property needed for stormwater detention ponds.
- * Continue working with insurance counsel to make sure as much of the remaining invoices for the Fox River litigation are appropriately paid to the City.
- * Continue to work with outside counsel as appropriate, for the excessive assessments lawsuits currently pending.
- * Continue to assist, guide and advise City staff as well as elected officials on legal matters in a timely fashion.
- * Continue to work with other departments to ensure that City tasks are timely completed and projects are not delayed and items such as land acquisitions and negotiated agreements be completed pursuant to the department's requested deadline, whenever possible.
- * Continue working cooperatively with the Finance Department and the Appleton Public Library in collections efforts and making sure all materials are returned as required.
- * Represent and defend the City in future lawsuits brought against it or its employees or officials except when particular expertise of outside counsel is required or outside counsel is mandated by the insurance carrier.
- * With a yearly average of over 2,000 initial appearances, 150 scheduled jury and court trials and an average of 3,200 pretrials/jury conferences and motion hearings, continue to prosecute City citations.
- * Continue to work with the court and school district on truancy court matters, spending an average of fifteen days per year strictly on truancy court appearances in various schools in addition to meetings with school officials and other required court appearances.
- * Effectively conduct two regularly scheduled elections including the spring primary in February and the spring election in April.
- * Learn the State's new online voter registration system and work to make voters aware of the new online registration option.
- * Continue to examine how to advance election processes through new devices and software.
- * Streamline and effectively perform records management duties through the use of electronic records management.
- * Continue to evaluate and improve the administration of licenses and permits.
- * Work with Department of Public Works for the development of the Leona Street stormwater pond.
- * Obtain and implement a document management system with assistance from Information Technology.
- * Work with other City departments for a successful exhibition center construction process.

DEPARTMENT BUDGET SUMMARY

Programs		Actual		Budget			%
Unit	Title	2014	2015	Adopted 2016	Amended 2016	2017	Change *
Program Revenues		\$ 299,299	\$ 252,151	\$ 291,240	\$ 291,240	\$ 259,200	-11.00%
Program Expenses							
14510	Administration	291,563	256,959	330,085	334,884	326,318	-1.14%
14521	Litigation	399,957	329,166	242,143	246,657	257,860	6.49%
11020	Recordkeeping	104,267	73,905	107,635	107,635	104,924	-2.52%
11030	Licensing	59,237	73,732	64,830	66,016	66,471	2.53%
11040	Elections	300,390	134,496	333,478	333,956	194,520	-41.67%
11050	Mail / Copy Center	164,112	160,379	193,030	194,340	179,715	-6.90%
TOTAL		\$ 1,319,526	\$ 1,028,637	\$ 1,271,201	\$ 1,283,488	\$ 1,129,808	-11.12%
Expenses Comprised Of:							
Personnel		779,894	705,773	851,164	860,295	798,902	-6.14%
Administrative Expense		129,232	126,986	161,427	164,583	141,391	-12.41%
Supplies & Materials		122,365	35,472	112,200	112,200	48,900	-56.42%
Purchased Services		269,600	145,838	131,940	131,940	125,315	-5.02%
Utilities		755	756	1,070	1,070	900	-15.89%
Repair & Maintenance		17,680	13,812	13,400	13,400	14,400	7.46%
Capital Expenditures		-	-	-	-	-	N/A
Full Time Equivalent Staff:							
Personnel allocated to programs		8.67	8.67	8.67	8.67	8.67	

CITY OF APPLETON 2017 BUDGET

LEGAL SERVICES

Administration

Business Unit 14510

PROGRAM MISSION

We will provide legal services to City staff and Alderpersons in an efficient manner to assist them in making fully informed decisions. We will provide guidance, training and development of our department's employees keeping them well informed while increasing their potential and job satisfaction.

PROGRAM NARRATIVE

Link to City Goals:

Implements Key Strategies # 1: " Prompt delivery of excellent services", #3: "Recognize and grow everyone's talents", #4: "Continually assess trends affecting the community and proactively respond", #6: "Create opportunities and learn from successes and failures" and # 7: "Communicate our success through stories and testimonials."

Objectives:

- * Prepare contracts and legal opinions in a timely fashion and provide counsel and legal advice to departments and officials.
- * Attend all meetings of the Common Council's committees, boards and commissions and provide legal advice, including parliamentary procedure guidance, as requested by members and respond to requests for information.
- * Administer cost effective management of department activities.
- * Encourage employees to attend training in personal and professional development.
- * Continue to review all department functions and strive for maximum efficiency utilizing current technologies.
- * Review all existing policies and processes, develop and implement new procedures when deemed necessary.
- * Administer the Board of Review.
- * Continue involvement with State and national organizations associated with the professionalism of the Municipal Clerk.
- * Provide customer service to both internal and external customers at a level of acceptable or higher.
- * Continue involvement in the real estate aspect of the City's business to ensure that appropriate steps are taken to protect the City's interest and to ensure that there are no irregularities on the titles of City real estate.

Major Changes in Revenue, Expenditures or Programs:

No major changes.

PERFORMANCE INDICATORS

	Actual 2014	Actual 2015	Target 2016	Projected 2016	Target 2017
Client Benefits/Impacts					
Timely legal information is provided upon which Alderpersons and staff members can make decisions					
Meet time-frame of requestor	100%	100%	100%	100%	100%
Contracts are reviewed in a timely manner to allow performances to proceed					
# of performances delayed due to review not being completed	0	0	0	0	0
Strategic Outcomes					
Prompt service					
% of external customers surveyed rating service acceptable or better	100%	100%	100%	100%	100%
# of surveys returned	40	26	75	75	40
Work Process Outputs					
Written opinions issued	7	3	<20	<20	<20
Ordinances reviewed	104	106	104	90	100
Staff training - hours of training	193.5	56	120	120	120
# of real estate transactions	15	21	13	30	70

CITY OF APPLETON 2017 BUDGET

LEGAL SERVICES

Administration

Business Unit 14510

PROGRAM BUDGET SUMMARY

Description	Actual		Budget		
	2014	2015	Adopted 2016	Amended 2016	2017
Revenues					
4801 Charges for Serv. - Nontax	\$ 182	\$ 50	\$ 200	\$ 200	\$ 100
4802 Charges for Serv. - Tax	412	177	200	200	200
5035 Other Reimbursements	100	-	-	-	-
5085 Cash Short or Over	4	(7)	-	-	-
Total Revenue	<u>\$ 698</u>	<u>\$ 220</u>	<u>\$ 400</u>	<u>\$ 400</u>	<u>\$ 300</u>
Expenses					
6101 Regular Salaries	\$ 207,451	\$ 175,754	\$ 228,552	\$ 230,195	\$ 232,117
6105 Overtime	125	883	-	-	-
6150 Fringes	57,518	52,371	73,255	73,255	63,643
6201 Training\Conferences	8,536	10,844	9,500	12,656	11,000
6206 Parking Permits	2,559	2,667	3,158	3,158	3,158
6301 Office Supplies	398	1,723	950	950	800
6302 Subscriptions	6,879	7,101	8,000	8,000	9,000
6303 Memberships & Licenses	2,687	3,363	3,200	3,200	4,000
6320 Printing & Reproduction	1,656	1,341	2,200	2,200	1,500
6404 Consulting	2,875	-	-	-	-
6413 Utilities	755	756	1,070	1,070	900
6418 Equip Repairs & Maint	124	156	200	200	200
Total Expense	<u>\$ 291,563</u>	<u>\$ 256,959</u>	<u>\$ 330,085</u>	<u>\$ 334,884</u>	<u>\$ 326,318</u>

DETAILED SUMMARY OF 2017 PROPOSED EXPENDITURES > \$15,000

None

CITY OF APPLETON 2017 BUDGET

LEGAL SERVICES

Litigation

Business Unit 14521

PROGRAM MISSION

We will continue to represent the City of Appleton and its employees in pending litigation and advise the departments concerning such matters in an effort to minimize claims against the City.

PROGRAM NARRATIVE

Link to City Goals:

Implements Key Strategies # 1: "Prompt delivery of excellent services", #4: "Continually assess trends affecting the community and proactively respond" and #6: "Create opportunity and learn from successes and failures."

Objectives:

The City of Appleton, by its very nature, is involved in a multitude of circumstances which could result in litigation. We are engaged in the continuous process of employment activity and such things as law enforcement, real estate acquisitions and numerous other activities. The City has potential exposure in all of these areas if a step is missed or an inappropriate action is taken. This office has maintained an active and aggressive stance in representing the interests of the City. We will continue this procedure in an attempt to minimize legal exposure for the citizens and employees of the City of Appleton.

Major Changes in Revenue, Expenditures or Programs:

The legal fees account is used for payment of outside counsel for the excess assessment litigation and for the recording of documents. We anticipate the court of appeals decision this Fall. If the City prevails, legal fees would be decreased. Recording fees include such things as deeds and documents generated by land acquisition for street purposes.

PERFORMANCE INDICATORS

	Actual 2014	Actual 2015	Target 2016	Projected 2016	Target 2017
Client Benefits/Impacts					
Active participation by this office will minimize the number of claims against the City					
# of claims filed against City	66	66	<100	<100	<100
Strategic Outcomes					
Minimize cost of settlements					
\$ value of settlements and judgments	\$39,977	\$19,644	<\$50,000	<\$50,000	<\$50,000
Acquisitions are made in a manner acceptable to both the property owner and to the City					
% of contested condemnation cases	0	0	0	0	0
Work Process Outcomes					
Most cases handled by this office will be handled by the City Attorney staff					
% of cases handled by staff *	78%	78%	100%	100%	100%
Dispute avoidance					
# of suits filed against City	9	12	2	0	0

* This measure does not include legal cases in the Risk Management Fund (PCBs) or any other cases specific to an Enterprise Fund (General Fund only).

CITY OF APPLETON 2017 BUDGET

LEGAL SERVICES

Litigation

Business Unit 14521

PROGRAM BUDGET SUMMARY

Description	Actual		Budget		
	2014	2015	Adopted 2016	Amended 2016	2017
Expenses					
6101 Regular Salaries	\$ 118,122	\$ 169,408	\$ 137,460	\$ 141,974	\$ 141,585
6150 Fringes	34,501	45,537	36,793	36,793	38,385
6301 Office Supplies	222	-	-	-	-
6402 Legal Fees	127,625	96,890	50,000	50,000	60,000
6404 Consulting Services	107,303	9,441	10,000	10,000	10,000
6625 Disability Payments	12,184	7,890	7,890	7,890	7,890
Total Expense	<u>\$ 399,957</u>	<u>\$ 329,166</u>	<u>\$ 242,143</u>	<u>\$ 246,657</u>	<u>\$ 257,860</u>

DETAILED SUMMARY OF 2017 PROPOSED EXPENDITURES > \$15,000

Legal Fees

Outside counsel	\$ 50,000
Recording/filing fees	10,000
	<u>\$ 60,000</u>

CITY OF APPLETON 2017 BUDGET

LEGAL SERVICES

Recordkeeping

Business Unit 11020

PROGRAM MISSION

In order to meet legal requirements and to provide a history of the City to the Common Council, City departments and the public, we will provide timely filing, maintenance and retrieval of all official City documents and provide support services.

PROGRAM NARRATIVE

Link to City Goals:

Implements Key Strategies # 1: "Prompt delivery of excellent services", # 4: "Continually assess trends affecting the community and proactively respond", #6: "Create opportunities and learn from successes and failures" and # 7: "Communicate our success through stories and testimonials."

Objectives:

- * Effectively respond to all document requests and public inquiries.
- * Timely organize City meeting information for City officials, staff and public.
- * Appropriately organize and retain City records as required by State law.
- * Continue and improve coordination of electronic records through new electronic records management software.
- * Organize vault files in a logical and accessible manner.
- * Monitor Granicus system for potential improvements and training opportunities for City staff.

Major Changes in Revenue, Expenditures or Programs:

The number of hours of maintaining records is expected to increase due to reorganization of duties along with working with Information Technology to implement a new electronic records management system.

PERFORMANCE INDICATORS

	Actual 2014	Actual 2015	Target 2016	Projected 2016	Target 2017
Client Benefits/Impacts					
Retrieval of information					
% same day responses	95%	95%	95%	90%	95%
1 week retrieval for detailed requests	5%	5%	5%	10%	5%
Strategic Outcomes					
Legal requirements are met					
# of legal challenges sustained	0	0	0	0	0
Work Process Outputs					
# hrs. maintaining records	261	480	500	960	1,200
# of requests for information	208	78	250	140	200
# of publication notices	184	498	300	500	500
# of ordinances adopted/amended	77	106	200	95	165

CITY OF APPLETON 2017 BUDGET

LEGAL SERVICES

Recordkeeping

Business Unit 11020

PROGRAM BUDGET SUMMARY

Description	Actual		Budget		
	2014	2015	Adopted 2016	Amended 2016	2017
Expenses					
6101 Regular Salaries	\$ 42,652	\$ 25,228	\$ 43,950	\$ 43,950	\$ 47,840
6105 Overtime	3,804	336	600	600	600
6150 Fringes	21,189	11,538	22,585	22,585	14,359
6301 Office Supplies	769	434	1,500	1,500	850
6320 Printing & Reproduction	2,617	-	2,600	2,600	2,500
6402 Legal Fees	-	150	600	600	400
6408 Contractor Fees	200	150	800	800	375
6412 Advertising	33,036	36,069	35,000	35,000	38,000
Total Expense	<u>\$ 104,267</u>	<u>\$ 73,905</u>	<u>\$ 107,635</u>	<u>\$ 107,635</u>	<u>\$ 104,924</u>

DETAILED SUMMARY OF 2017 PROPOSED EXPENDITURES > \$15,000

Advertising

Required legal publications \$ 38,000

CITY OF APPLETON 2017 BUDGET

LEGAL SERVICES

Licensing

Business Unit 11030

PROGRAM MISSION

In order to ensure a safe, healthy and accepting environment for our community, we will process all applications and issue all approved licenses and permits in a timely manner to individuals and organizations.

PROGRAM NARRATIVE

Link to City Goals:

Implements Key Strategies # 1: "Prompt delivery of excellent services", # 4: "Continually assess trends affecting the community and proactively respond" and # 6: "Create opportunities and learn from successes and failures".

Objectives:

- * Efficiently service license inquiries, issues and applicants.
- * Continue to provide prompt turnaround time from initial application.
- * Accurately maintain data files.
- * Work with other departments to ensure timely processing of licenses.
- * Assist applicants/organizations for special events through the permitting process.

Major Changes in Revenue, Expenditures or Programs:

Liquor license revenue is increasing due to reserve licenses no longer being reimbursable for the economic development grant.

PERFORMANCE INDICATORS

	Actual 2014	Actual 2015	Target 2016	Projected 2016	Target 2017
Client Benefits/Impacts					
Prompt application processing					
% processed on same day	100%	100%	100%	100%	100%
% issued within 90 days of application	100%	100%	100%	100%	100%
Strategic Outcomes					
Statutory and ordinance compliance of all licenses issued					
# of legal challenges	0	0	0	0	0
Work Process Outputs					
License applications processed					
# of beer/liquor licenses issued	215	222	225	194	205
# of operator licenses issued	615	1,159	1,200	400	1,200
# of general licenses issued	368	556	500	540	600

CITY OF APPLETON 2017 BUDGET

LEGAL SERVICES

Licensing

Business Unit 11030

PROGRAM BUDGET SUMMARY

Description	Actual		Budget		
	2014	2015	Adopted 2016	Amended 2016	2017
Revenues					
4301 Amusements	\$ 7,940	\$ 8,080	\$ 7,800	\$ 7,800	\$ 7,500
4303 Cigarette	5,395	5,700	5,600	5,600	5,700
4306 Liquor	114,424	83,942	79,900	79,900	92,000
4307 Operators	46,256	85,374	80,000	80,000	80,000
4309 Miscellaneous	5,430	5,322	4,400	4,400	4,800
4313 Special Events	20,550	21,464	20,000	20,000	20,000
4316 Second Hand/Pawnbroker	2,130	2,280	1,000	1,000	1,200
4317 Commercial Solicitation	4,055	4,955	4,300	4,300	4,200
4318 Christmas Tree	405	405	400	400	400
4320 Taxi Cab/Limousine	2,622	1,690	1,300	1,300	1,000
4321 Taxi Driver	3,980	4,000	2,000	2,000	2,000
4322 Special "B" Beer License	820	865	500	500	600
4411 Alarm Permits	1,920	2,095	1,640	1,640	1,500
5010 Misc. Revenue - Nontax	6,080	6,026	6,000	6,000	6,000
Total Revenue	\$ 222,007	\$ 232,198	\$ 214,840	\$ 214,840	\$ 226,900
Expenses					
6101 Regular Salaries	\$ 37,074	\$ 39,380	\$ 38,896	\$ 40,082	\$ 40,664
6105 Overtime	1,260	295	375	375	375
6150 Fringes	20,213	21,254	21,819	21,819	22,692
6301 Office Supplies	690	2,011	3,200	3,200	2,800
6320 Printing & Reproduction	-	-	600	600	-
6429 Interfund Allocation	-	(430)	(60)	(60)	(60)
6599 Other Contracts / Obligations	-	11,222	-	-	-
Total Expense	\$ 59,237	\$ 73,732	\$ 64,830	\$ 66,016	\$ 66,471

DETAILED SUMMARY OF 2017 PROPOSED EXPENDITURES > \$15,000

None

CITY OF APPLETON 2017 BUDGET

LEGAL SERVICES

Elections

Business Unit 11040

PROGRAM MISSION

For the benefit of the community, in order to ensure effective democratic decision-making, to maintain all election data and to respond to information requests, we will administer elections as required.

PROGRAM NARRATIVE

Link to City Goals:

Implements Key Strategies # 1: "Prompt deliver of excellent services", # 2, "Encourage active community participation and involvement", # 3: "Recognize and grow everyone's talents", # 4: "Continually assess trends affecting the community and proactively respond", # 6: "Create opportunities and learn from successes and failures" and # 7: "Communicate our success through stories and testimonials."

Objectives:

- * Educate voters of the online voter registration system.
- * Utilize the City's website to post municipal election night results.
- * Provide effective training for all election inspectors.
- * Streamline polling place procedures and materials.
- * Effectively assist local candidates and maintain campaign finance reports.
- * Continue education on WisVote system to learn more functionalities as they become available.

Major Changes in Revenue, Expenditures or Programs:

The State is to launch a new online voter registration system by the February election. This would allow voters to register to vote or update their registration through an online system, as long as they have a Wisconsin driver's license or ID card as the system would communicate with the Department of Motor Vehicles system for address verification.

The decrease in intergovernmental charges revenue is due to two elections in 2017 vs. four in 2016.

Increase in salaries for hiring four additional pollworkers to assist where needed for the elections. A \$5 per day increase in the chief election inspector wages was also added.

PERFORMANCE INDICATORS

	Actual 2014	Actual 2015	Target 2016	Projected 2016	Target 2017
Client Benefits/Impacts					
Accurate election roll					
# changes, add and deletes	6,164	2,775	6,000	11,000	2,250
# of voter registrations processed	4,475	378	8,500	9,100	400
# of absentee ballots issued	7,023	945	8,500	8,800	1,050
Strategic Outcomes					
Fair and accurate election process					
# of legal challenges	0	0	0	0	0
Work Process Outputs					
# of election votes cast	47,660	8,620	90,000	82,000	9,680
Avg. # of registered voters per election	41,000	41,900	45,000	44,000	43,000
# of elections administered	4	2	4	4	2
% of staff trained at each election	98%	98%	100%	100%	100%

CITY OF APPLETON 2017 BUDGET

LEGAL SERVICES

Elections

Business Unit 11040

PROGRAM BUDGET SUMMARY

Description	Actual		Budget		
	2014	2015	Adopted 2016	Amended 2016	2017
Revenues					
4908 Misc. Intergov. Charges	\$ 76,594	\$ 19,733	\$ 76,000	\$ 76,000	\$ 32,000
Total Revenue	<u>\$ 76,594</u>	<u>\$ 19,733</u>	<u>\$ 76,000</u>	<u>\$ 76,000</u>	<u>\$ 32,000</u>
Expenses					
6101 Regular Salaries	\$ 139,678	\$ 73,514	\$ 151,891	\$ 152,369	\$ 100,423
6105 Overtime	2,222	778	2,987	2,987	1,976
6108 Part Time	4,396	-	-	-	-
6150 Fringes	26,079	23,791	26,100	26,100	25,471
6201 Training\Conferences	-	-	400	400	400
6202 Local Auto Expense	54	211	600	600	400
6206 Parking Permits	658	57	300	300	100
6301 Office Supplies	1,736	422	13,500	13,500	650
6316 Miscellaneous Supplies	2,466	621	5,000	5,000	500
6320 Printing & Reproduction	101,740	21,837	82,000	82,000	35,000
6328 Signs	-	-	500	500	-
6412 Advertising	3,161	1,454	3,600	3,600	1,600
6418 Equip Repairs & Maint	10,665	10,861	11,000	11,000	11,200
6503 Rent	3,360	900	3,600	3,600	1,800
6599 Other Contracts/Obligations	4,175	50	32,000	32,000	15,000
Total Expense	<u>\$ 300,390</u>	<u>\$ 134,496</u>	<u>\$ 333,478</u>	<u>\$ 333,956</u>	<u>\$ 194,520</u>

DETAILED SUMMARY OF 2017 PROPOSED EXPENDITURES > \$15,000

Printing & Reproduction

Election material	\$ 3,800
Election ballots	19,800
Other supplies	11,400
	<u>\$ 35,000</u>

Other Contracts/Obligations

Ballot layout	\$ 4,000
Ballot coding memory cards for tabulators	11,000
	<u>\$ 15,000</u>

CITY OF APPLETON 2017 BUDGET

LEGAL SERVICES

Mail/Copy Services

Business Unit 11050

PROGRAM MISSION

In order to insure mail, photocopy and package handling services to all City departments in the most timely and cost effective manner, we will provide prompt service and education to all users of our services.

PROGRAM NARRATIVE

Link to City Goals:

Implements Key Strategies # 1: "Prompt delivery of excellent services", # 4: "Continually assess trends affecting the community and proactively respond", # 6: "Create opportunities and learn from successes and failures" and # 7: "Communicate our success through stories and testimonials."

Objectives:

- * Timely processing of photocopy requests, processing and sorting of mail.
- * Continue to collaborate with other departments to reduce mailing costs.
- * Maintain log of postage and UPS items.
- * Educate City departments on mail/copy service procedures.

Major Changes in Revenue, Expenditures or Programs:

No major changes

PERFORMANCE INDICATORS

	Actual 2014	Actual 2015	Target 2016	Projected 2016	Target 2017
Client Benefits/Impacts					
Accurate photocopy services					
Remake of request	0%	0%	1%	0%	0%
# of copies made in mail center	887,812	682,072	1,000,000	875,000	925,000
Work Process Outputs					
# of pieces of outgoing mail	142,658	144,429	160,000	140,000	135,000
# of packages handled	337	298	400	250	375

CITY OF APPLETON 2017 BUDGET

LEGAL SERVICES

Mail/Copy Services

Business Unit 11050

PROGRAM BUDGET SUMMARY

Description	Actual		Budget		
	2014	2015	Adopted 2016	Amended 2016	2017
Expenses					
6101 Regular Salaries	\$ 41,459	\$ 43,737	\$ 43,098	\$ 44,408	\$ 45,053
6105 Overtime	1,295	205	375	375	375
6150 Fringes	20,855	21,764	22,428	22,428	23,344
6301 Office Supplies	200	4,655	1,600	1,600	6,000
6304 Postage\Freight	68,393	71,273	85,000	85,000	79,000
6316 Miscellaneous Supplies	11,379	5,291	12,500	12,500	5,600
6320 Printing & Reproduction	2,510	6,381	3,900	3,900	3,800
6327 Miscellaneous Equipment	-	-	2,900	2,900	-
6418 Equip Repairs & Maint	6,890	2,796	2,200	2,200	3,000
6503 Rent	11,131	4,277	19,029	19,029	13,543
Total Expense	\$ 164,112	\$ 160,379	\$ 193,030	\$ 194,340	\$ 179,715

DETAILED SUMMARY OF 2017 PROPOSED EXPENDITURES > \$15,000

Postage/Freight

United Mailing Service	\$ 12,000
UPS	3,000
US Postal Service	64,000
	<u>\$ 79,000</u>

Rent

Color copier rental	\$ 4,960
Back copier rental	9,380
Front copier rental	2,203
Additional copies	5,000
Charges to departments	(8,000)
	<u>\$ 13,543</u>

CITY OF APPLETON 2017 BUDGET

RISK MANAGEMENT

Human Resources Director: Sandra A. Behnke

Deputy Director of Human Resources: Debra M. Van Den Bogart

CITY OF APPLETON 2017 BUDGET RISK MANAGEMENT

MISSION STATEMENT

To establish and maintain a successful risk management program and to provide on-going support and training to all City Departments and staff as well as prompt and fair service to the public.

DISCUSSION OF SIGNIFICANT 2016 EVENTS

The Risk Management staff continued to manage organizational liability through a variety of efforts. The Risk Management staff started off the year analyzing our current coverages and completed our annual insurance renewals for 2017. The staff reviewed all insurance policies to continue premiums at the lowest cost and maintain proper levels of coverage for the City's liability needs. We reviewed risk and provided adequate insurance coverage for sixty-three special events and twelve new special events. Multiple reviews were completed on the Railroad Trestle contract for the City to obtain ownership of three bridges and connect to the walking trails, the new FICA alternative agreement, the lease for the employee health clinic and new contract for builders risk for automated access and revenue control systems for three parking ramps. We assisted the Fire department with a drone policy and insurance coverage. Contract review was completed on design and construction of the new Erb Park recreation facility including two pools and buildings within the park. We completed several contract reviews for the design, construction, and management of the City's new exhibition center.

We continued to manage the Central Safety Committee and worked with departments' safety committees to review current safety practices and make improvements as needed. The Executive Safety Committee worked to present City programs to CVMIC for a newly created grant program that will award \$10,000 to the City to be used for safety/risk programs.

We also continued to proactively promote safe work practices by conducting required training for all supervisors, employees and volunteers on risk management topics. To help generate interest and keep our employees engaged in safety training, we created large table top kerplunk game to help reinforce safety topics for seasonal participants. We also created/provided first aid kits for all field vehicles. In addition, we worked with CVMIC to offer a confined space entry training for twenty-five employees.

Worked to complete Safety Data Sheets (SDS) audit and applicable updates.

The staff continues to analyze worker's compensation statistics to find ways to proactively mitigate injuries in the future. Based on the analysis, we followed up with departments to provide suggestions for ways to improve safety for employees.

Staff completed our annual training requirements including the respirator medical surveillance program and respirator fit testing for all employees who are required to wear respirators. Annual hearing tests were completed in the fall to ensure we are compliant with the hearing conservation program.

Regarding the ongoing Fox River cleanup litigation, in 2014 the City submitted a consent decree previously agreed to among several of the parties to the US District Court. The consent decree capped the City's liability for cleanup at \$5.2 million, removed the City from further litigation and was approved by the court. The \$5.2 million settlement amount was deposited with the court and reimbursed by the insurance companies that provided coverage. Following approval of the consent decree, another of the litigants in the case brought suit for reimbursement of expenses related to the cleanup. The City Attorney continues to work with outside counsel to defend the City's interest.

CITY OF APPLETON 2017 BUDGET RISK MANAGEMENT

MAJOR 2017 OBJECTIVES

For the key objective of ensuring that the City has sufficient insurance coverage and reserves for any type of claim, and to handle all claims and potential claims involving the City, our focus will be on the development of new policies and revision of existing policies as deemed necessary. In terms of insurance coverage and claims handling, we will continue to:

Investigate and resolve all claim issues filed against the City

Work with the Legal Services Office on workers' compensation claims and other unresolved claims

Review all property, liability and workers' compensation insurance coverages

Evaluate funding source adequacy, including charges for service for workers' compensation and recovery of claims/ legal defense fees paid out but not recovered on the Fox River clean-up

Conduct an audit of our insurance fund to make sure adequate funding is available for potential litigation claims

Continue to review certifications of insurance requirements to make sure risk of liability is reduced in case of any claims against the City

Work with vendor annually to assess city buildings to make sure the value of our property is adequately covered for insurance purposes

Continue to provide all applicable staff training in the safety/loss prevention areas

Monitor OSHA 300 log entries (listing of work related injuries and illnesses) and send mandatory reports to the State

Analyze workers' compensation statistics and work with departments to develop appropriate courses of action

Work with vendors such as CVMIC to make sure all safety related education is available to our employees

Due to unusually high workers compensation claims in 2015 and 2016, expenses in this fund have significantly exceeded revenues in those years resulting in a negative fund balance. As a result, additional departmental charges will be made beginning in 2017 and will continue until the deficit is erased. The 2017 Budget will include an additional \$100,000 of departmental charges in support of this goal.

DEPARTMENT BUDGET SUMMARY							
Programs		Actual		Budget		% Change *	
Unit	Title	2014	2015	Adopted 2016	Amended 2016	2017	
Program Revenues		\$ 6,714,469	\$ 2,044,345	\$ 1,659,369	\$ 1,659,369	\$ 2,150,938	29.62%
Program Expenses							
6210	Property & Liability Mgt.	6,466,843	2,148,590	1,510,009	1,510,009	1,895,139	25.51%
6220	Loss Control	139,269	147,967	149,360	150,816	155,799	4.31%
Total Program Expenses		\$ 6,606,112	\$ 2,296,557	\$ 1,659,369	\$ 1,660,825	\$ 2,050,938	23.60%
Expenses Comprised Of:							
Personnel		316,466	324,753	332,576	334,032	342,071	2.85%
Administrative Expense		1,068,466	1,938,529	1,301,653	1,301,653	1,675,482	28.72%
Supplies & Materials		1,910	2,236	1,950	1,950	2,200	12.82%
Purchased Services		5,219,167	30,936	22,990	22,990	30,985	34.78%
Utilities		103	103	200	200	200	0.00%
Repair & Maintenance		-	-	-	-	-	N/A
Capital Expenditures		-	-	-	-	-	N/A
Full Time Equivalent Staff:							
Personnel allocated to programs		2.98	2.98	2.98	2.98	2.98	

CITY OF APPLETON 2017 BUDGET

RISK MANAGEMENT

Property & Liability Management

Business Unit 6210

PROGRAM MISSION

For the financial benefit of our citizens, we will proactively administer and manage a fiscally responsible risk management program.

PROGRAM NARRATIVE

Link to City Goals:

Implements Key Strategy #1: "Prompt delivery of excellent services", #2: "Encourage active community participation and involvement", and #4: "Continually assess trends affecting the community and proactively respond."

Objectives:

- Review all lines of insurance coverage for alternatives and cost reduction
- Analyze statistical data and develop programs to reduce exposures
- Proactively train and educate employees regarding risk management
- Review discounting opportunities for workers' compensation claims

Major changes in Revenue, Expenditures, or Programs:

The Uninsured Losses - WC is an estimate based on a seven-year history of workers' compensation claims paid and on an analysis of current claims on which we expect further expense in 2017. We continue to work with departments on safety training and equipment usage in an effort to reduce the number and severity of claims but many of the current claims are the result of unforeseeable accidents.

The 2017 budget for consulting services includes the cost of an actuarial study, which is required every other year.

The Fox River clean-up continues to be a source of potential liability for the City. The City has been working with the other agencies involved and in early 2014 submitted a consent decree to U.S. District Court capping the City's liability at \$5.2 million and removing the City from further litigation. That consent decree was approved by the court and the City deposited the \$5.2 million settlement with the court and was reimbursed by the various insurance carriers providing coverage. As had been expected, one of the paper companies involved in the case appealed for reimbursement of expenses related to the cleanup and the City continues to incur legal fees to defend against that appeal. The majority of the litigation costs have been reimbursed by insurance carriers and we expect that to continue. The 2017 budget includes an estimate of \$500,000 for legal fees (\$400,000 for litigation of the appeal, and \$100,000 for representing the City on claims against the insurance carriers and obtaining reimbursement under the policies) and a projected reimbursement of \$380,000.

PERFORMANCE INDICATORS

	Actual 2014	Actual 2015	Target 2016	Projected 2016	Target 2017
Client Benefits/Impacts					
Insurance Costs					
Average workers' compensation costs per claim*	\$ 8,625	\$ 8,196	\$ 6,000	\$ 6,000	\$ 9,000
Avg cost per general liability claim*	\$ 700	\$ 111	\$ 400	\$ 600	\$ 400
Avg cost per auto liability claim*	\$ 492	\$ 387	\$ 500	\$ 550	\$ 500
Strategic Outcomes					
Minimize claims expense					
\$ value of claims paid*	\$ 601,148	\$ 482,334	\$ 250,000	\$ 250,000	\$ 500,000
\$ value of subrogation recovery*	\$ 12,519	\$ 43,300	\$ 15,000	\$ 15,000	\$ 15,000
Work Process Outputs					
Insurance Coverage Maintenance					
# of insurance policy renewals	10	10	10	10	10
# of new insurance policies purchased	1	2	0	0	1
Number of claims filed					
General liability	36	39	50	50	40
Auto liability	30	28	25	25	30
Workers' comp - lost time	15	8	10	10	10
Workers' comp - medical only	50	49	50	50	50

* Initial claims in year presented only

CITY OF APPLETON 2017 BUDGET

RISK MANAGEMENT

Property & Liability Management

Business Unit 6210

PROGRAM BUDGET SUMMARY

Description	Actual		Budget		
	2014	2015	Adopted 2016	Amended 2016	2017
Revenues					
4710 Interest Income	\$ 248	\$ 82	\$ -	\$ -	\$ -
4801 Charges for Serv.- Nontax	1,207,766	1,287,059	1,355,650	1,355,650	1,711,040
5004 Sales of City Property	490	-	-	-	-
5035 Other Reimbursements	78,498	66,663	63,719	63,719	59,898
5082 Insurance Proceeds	5,427,467	690,541	240,000	240,000	380,000
Total Revenue	\$ 6,714,469	\$ 2,044,345	\$ 1,659,369	\$ 1,659,369	\$ 2,150,938
Expenses					
6101 Regular Salaries	\$ 150,635	\$ 153,637	\$ 156,122	\$ 156,122	\$ 160,364
6105 Overtime	2	50	-	-	-
6150 Fringes	46,784	47,615	51,037	51,037	52,586
6206 Parking Permits	1,188	1,188	1,188	1,188	1,260
6301 Office Supplies	761	772	1,200	1,200	1,200
6327 Miscellaneous Equipment	500	-	300	300	300
6401 Accounting/Audit	1,804	1,886	2,440	2,440	2,000
6403 Bank Services	19	1	-	-	-
6404 Consulting Services	4,300	13,183	5,000	5,000	12,500
6501 Insurance	425,194	462,709	468,722	468,722	471,429
6599 Other Contracts / Obligations	5,200,000	134	-	-	-
6623 Uncollectible Accounts	27,318	-	-	-	-
6626 Uninsured Losses	277,213	874,294	349,000	349,000	593,500
6627 Uninsured Losses - WC	331,125	593,121	475,000	475,000	600,000
Total Expense	\$ 6,466,843	\$ 2,148,590	\$ 1,510,009	\$ 1,510,009	\$ 1,895,139

DETAILED SUMMARY OF 2017 PROPOSED EXPENDITURES > \$15,000

Insurance

Liability	\$ 99,900
Excess liability	10,000
Employment practice	35,000
Automobile	13,130
Package property	227,059
Excess workers' compensation	86,340
	<u>\$ 471,429</u>

Uninsured Losses

General liability	\$ 50,000
Automobile	43,500
Fox River litigation attorney fees	400,000
Fox River insurance carrier - legal fees	100,000
	<u>\$ 593,500</u>

Uninsured Losses - WC

Medical payments	\$ 499,500
Comp-lost time	90,000
Other administrative expenses	10,500
	<u>\$ 600,000</u>

CITY OF APPLETON 2017 BUDGET

RISK MANAGEMENT

Safety/Loss Prevention

Business Unit 6220

PROGRAM MISSION

For the benefit of City employees, we will identify, educate and promote loss prevention programs in order to provide a safe and healthy work environment.

PROGRAM NARRATIVE

Link to City Goals:

Implements Key Strategy #1: "Prompt delivery of excellent services", #3: "Recognize and grow everyone's talents."

Objectives:

- Continue training employees on usage of the automated external defibrillators (AED), CPR and first aid
- Facilitate new employee orientation and new supervisor orientation classes
- Conduct training with volunteers, seasonal and part-time employees in the areas of harassment and discrimination, right to know, workplace violence, blood borne pathogens, and drug-free workplace policies
- Continue to offer required training to all general employees and supervisors
- Continue with safety day presentations to cover required safety policies and updates
- Conduct blood borne pathogen training for supervisors and new employees
- Attend departmental safety committee meetings
- Respond to and document ergonomic concerns and implement solutions
- Conduct annual hearing tests on required personnel
- Review and develop programs to promote safety, reduce injuries and reduce claims
- Conduct annual lead testing
- Conduct respirator fit testing and obtain proper medical clearance for respirator usage
- Conduct confined space entry training
- Conduct trenching and excavation training
- Provide training on the use of Safety Data Sheets (SDS) labeling system

Major changes in Revenue, Expenditures, or Programs:

The training budget is increasing due to modifying how we may offer some of our required annual training for all regular and seasonal employees. In addition to the in-person classes, we plan to research and hopefully offer online training for existing and new employees. The increase will help cover the costs of developing and offering these courses.

The increase in consulting services is based on notification that ThedaCare anticipates a 5% increase in costs for next year.

PERFORMANCE INDICATORS

	<u>Actual 2014</u>	<u>Actual 2015</u>	<u>Target 2016</u>	<u>Projected 2016</u>	<u>Target 2017</u>
Client Benefits/Impacts					
Safety and loss prevention knowledge					
# of people who attended safety training classes	151	188	150	150	190
Strategic Outcomes					
Convenient, understandable safety policies & procedures					
# of safety inspections conducted	129	132	130	130	130
# of safety problems	204	139	200	200	150
# of safety corrections	196	124	200	200	150
Work Process Outputs					
Employees Educated					
# of topics covered during each safety class	21	16	15	15	15
Avg employees per session	22	26	28	28	26

CITY OF APPLETON 2017 BUDGET RISK MANAGEMENT

Safety/Loss Prevention

Business Unit 6220

PROGRAM BUDGET SUMMARY

Description	Actual		Budget		
	2014	2015	Adopted 2016	Amended 2016	2017
Expenses					
6101 Regular Salaries	\$ 88,274	\$ 91,146	\$ 91,949	\$ 93,405	\$ 94,377
6105 Overtime	10	10	-	-	-
6150 Fringes	30,762	32,294	33,468	33,468	34,744
6201 Training\Conferences	4,145	4,963	5,000	5,000	6,500
6303 Memberships & Licenses	160	150	150	150	200
6305 Awards & Recognition	221	233	140	140	140
6307 Food & Provisions	1,141	1,098	1,253	1,253	1,253
6315 Books & Library Materials	20	154	100	100	150
6320 Printing & Reproduction	1,043	1,683	1,200	1,200	1,400
6323 Safety Supplies	106	400	100	100	100
6327 Miscellaneous Equipment	241	-	250	250	250
6404 Consulting Services	13,043	14,133	13,900	13,900	14,835
6413 Utilities	103	103	200	200	200
6599 Other Contracts / Obligations	-	1,600	1,650	1,650	1,650
Total Expense	\$ 139,269	\$ 147,967	\$ 149,360	\$ 150,816	\$ 155,799

DETAILED SUMMARY OF 2017 PROPOSED EXPENDITURES > \$15,000

None

CITY OF APPLETON 2017 BUDGET
RISK MANAGEMENT FUND
STATEMENT OF REVENUES, EXPENSES AND CHANGES IN FUND NET ASSETS

	2014 Actual	2015 Actual	2016 Budget	2016 Projected	2017 Budget
Revenues					
Charges for Services	\$ 1,207,766	\$ 1,287,059	\$ 1,355,650	\$ 1,355,650	\$ 1,711,040
Other	180,449	88,371	63,719	63,848	59,898
Total Revenues	<u>1,388,215</u>	<u>1,375,430</u>	<u>1,419,369</u>	<u>1,419,498</u>	<u>1,770,938</u>
Expenses					
Litigation Fees	116,163	603,067	250,000	470,000	400,000
Fox River Settlement	5,200,000	-	-	-	-
Other Operating Expenses	1,289,949	1,693,490	1,409,369	1,745,369	1,650,938
Total Expenses	<u>6,606,112</u>	<u>2,296,557</u>	<u>1,659,369</u>	<u>2,215,369</u>	<u>2,050,938</u>
Operating Income (Loss)	(5,217,897)	(921,127)	(240,000)	(795,871)	(280,000)
Non-Operating Revenues (Expenses)					
Investment Income	248	82	-	-	-
Other Non-Operating Income	490	-	-	-	-
Insurance Proceeds - Fox River	5,325,515	668,833	240,000	455,000	380,000
Total Non-Operating	<u>5,326,253</u>	<u>668,915</u>	<u>240,000</u>	<u>455,000</u>	<u>380,000</u>
Change in Net Assets	108,356	(252,212)	-	(340,871)	100,000
Fund Balance - Beginning	<u>145,450</u>	<u>330,299 *</u>	<u>78,087</u>	<u>78,087</u>	<u>(262,784)</u>
Fund Balance - Ending	<u>\$ 253,806</u>	<u>\$ 78,087</u>	<u>\$ 78,087</u>	<u>\$ (262,784)</u>	<u>\$ (162,784)</u>

* as restated per new pension standards

SCHEDULE OF CASH FLOWS

Cash - Beginning of Year	\$ (108,788)	\$ (449,659)
+ Change in Net Assets	<u>(340,871)</u>	<u>100,000</u>
Working Cash - End of Year	<u>\$ (449,659)</u>	<u>\$ (349,659)</u>

**CITY OF APPLETON 2017 BUDGET
RISK MANAGEMENT**

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