AS FINALLY APPROVED - SEPTEMBER 6, 2016

City of LeClaire, Iowa

EXECUTIVE SUMMARY

Key Findings and All Recommendations

for the

Citywide
Operational and Service Level Analysis

THE MERCER GROUP, INC.

1000 Whitlock Avenue
Suite 320-129
Marietta, Georgia 30064

770-425-1775 Phone
770-425-8561 Fax

www.mercergroupinc.com

August 15, 2016

The Mercer Group, Inc.

Consultants to Management

1000 Whitlock Avenue
Suite 320-129
Marietta, Georgia 30064
770-425-1775 Phone
www.mercergroupinc.com

August 15, 2016

Honorable Ray C. Allen, Mayor
Members of the City Council
Mr. Edwin N. Choate, City Administrator
City of LeClaire, Iowa
325 Wisconsin Street
LeClaire, Iowa 52753

Dear Mayor Allen, City Council Members, and Mr. Choate:

The **Mercer Group, Inc.** is pleased to present the **final Executive Summary** of Key Findings and All Recommendations for our **Citywide Operational and Service Level Analysis**. This report summarizes the most significant elements of our full **Technical Report**, which is provided in a separate document and includes all findings, analyses, tables, exhibits, and attachments. Some information was edited slightly in compressing to the summary format.

Overview of the Executive Summary

Our Technical Report and Executive Summary are based on our proposal of July 29, 2015. The Executive Summary includes this **Cover Letter** and the summarized findings and all recommendations in the following **six Chapters.**

	Pages
I. OVERVIEW OF THE PROJECT	**1**
II. CURRENT SITUATION	**2-6**
III. CITYWIDE FUNCTIONS	**7-13**
IV. CITY DEPARTMENTS	**14-34**
V. IMPLEMENTATION	**35-36**
VI. EXHIBITS AND ATTACHMENTS	**37**

Five Key Ideas for Guiding the Future of the City

When reviewing the draft reports with the Project Steering Committee and then the Mayor and City Council, Mercer emphasized the following key ideas when implementing recommendations in our report and guiding the future of the city:

- **Get High:** We shared two stories that explain the importance of getting high and out of the weeds. First, the exercise of experiencing the limits and horizons when belly-down on the floor and standing on a table. Second, the wide view a college football coach gained from watching practice from atop 2- to 3-story tower rather than standing down among the players and coaches. The same idea in both stories – Get High!

- **Intentionally Define the Future:** We encourage all city leaders to define what they and the community want the city to be in 20 or 30 years so there is a benchmark in place to measure progress. That intentional future is encompassed in the Comprehensive Plan, Strategic Plan, and a series of functional plans (economic development, parks & recreation, downtown/tourism, and more), several of which need to be updated or created.

- **Keep Your Eye on the Future:** We shared the story of a city that had a number of problems (low voter turnout, high turnover in school classrooms, high crime in some areas, and declining building conditions and property values). A "Blue Ribbon Commission" discovered that only about 40% of city homes were owner-occupied and the other 60% were occupied by renters and often owned by absentee landlords. The light bulb came on and the blinders off, and they saw that swopping that percentage was the key to future community development and cohesion. The CEO of a major US company said, "The best leaders have a strong sense of the future and are trying for more."

- **Invest Strategically:** You've used TIF projects to encourage new residential developments, improve downtown, and build new city facilities and infrastructure. You incurred a short-term cost with the diversion of incremental taxes to pay for the associated bonds, but the tables are turning and TIF-area taxes will accrue increasingly to general revenues through 2031, with FY 2019 the tipping point.

- **Be Bold:** The City of LeClaire has been bold in the past and should be in the future despite the stress of some lean years. We told of a developer in Atlanta who bought the old General Motors assembly plant that had been closed for 10 years. The plan for "The Assembly" will result in a $1.5 billion asset, but requires public investment for roads, water and sewer, and transit (a Tax Allocation District funding by TIF). One governmental entity, however, is unresponsive to the idea, wanting to continue to receive small annual increases on $300,000 in current property tax revenues rather than deferring those increases and seeing a ten-fold increase unfold over time.

Summary of Citywide Findings and Recommendations

The Mayor, City Council, City Administrator, and Department Heads should focus on the following **Key Citywide Topics** when implementing recommendations in the Report.

1. **Governance:** See Governance sections in Chapters III and IV.
    - Strengthen the role of City Council liaisons to boards, particularly the library, and to functions like strategic planning and economic development (new liaison).
    - Continue work on Mayor/City Council cohesiveness (progress 2015 to 2016).
2. **Strategic Direction:** See Strategic Direction sections in Chapters III and IV.
    - Be strategic in all planning processes to create a vision for LeClaire that looks out 20 to 30 years, not just 3 to 5 years. Hopefully, in the Comp Plan update.
    - Update the 2003 Strategic Plan to lay out a clear roadmap toward the vision and to define city and department missions, values, goals, and performance measures.
    - Develop plans for Parks & Recreation, Economic Development, and Downtown.
3. **Management Organization:** See Management and Organization & Staffing sections in Chapters III and IV.
    - The City Administrator wears too many hats, management & administrative, so add a Clerk-Finance Officer soon to oversee day-to-day financial operations.
    - Parks & Recreation Director is a key missing position that links to citizen service desires and the Code Enforcement function is too reactive for a tourist city.
4. **Budget and Finance:** See Resource Management sections in Chapters III and IV.
    - Budgeting is driven by numbers rather than strategy-driven investments.
    - Compared to five Iowa cities, your tax levy is high, but revenues per mill levied are low, showing the need for a more diverse tax base (mainly commercial).
    - But, General Fund revenues from TIF projects grow steadily through 2031 as TIF projects are paid off, with the breakthrough in FY 2019 ($300k).
    - Per capita operational costs for departments are close to the costs in the five cities.
    - The city is reviewing revenue enhancement and cost containment options.
    - The city lacks a consistent capital projects planning process, particularly for Fire.
5. **Resource Management:** See Resource Management sections in Chapter III and IV.
    - Succession Planning is imperative, particularly for the four City Hall positions.
    - Performance evaluations are not conducted, but approved in new union contracts.
    - Facility and equipment management is fragmented across departments.

Summary of Department Findings and Recommendations

The Mayor, City Council, City Administrator, and Department Heads should focus on the following **Key Department-Specific Topics** in implementing recommendations in the Report. A general need in each department is to review the results of interviews and employee surveys with department staff to understand their concerns and define actions to resolve them.

- **Administration:** See Section B in Chapter IV.
  - Develop a strategic business plan with goals and performance measures
  - Create a Clerk-Finance Officer to leverage the City Administrator
  - Develop a succession plan for the four city hall employees near retirement
  - Develop written policies and procedures for city hall services
- **Fire:** See Section C in Chapter IV.
  - Develop a strategic business plan that defines "optimal" fire services
  - Reassess the number of volunteers (now about 30, but may need 35-40)
  - Work with Police and Medic to assess the value of a Public Safety Complex
  - Complete the update to the SOG's then train staff on new elements
  - Keep the ladder truck per the detailed Ladder Truck Analysis
- **Police:** See Section D in Chapter IV.
  - Develop a strategic business plan with mission, goals, and performance measures
  - Maintain present police officer staffing per the detailed Staffing Analysis
  - Review shift schedules and time use for command officers
  - Maintain a six-vehicle police fleet
  - Complete the update to the SOPs
- **Library:** See Section E in Chapter IV.
  - Resolve lingering questions about library-city roles and relationship
  - Use the library strategic planning process to work on these questions
  - Be cautious about reducing library hours in a cost-savings effort
  - Update the city hall-library plaza to make it a more usable space
- **Public Works:** See Section F in Chapter IV.
  - Develop strategic business, operations/maintenance, utility, and capital plans
  - Consider selling the wastewater plant as fees are not covering full cost
  - Increase the city's investment in street and infrastructure maintenance
  - Move the Public Works Supervisor out of the union
  - Add more summer workers based on an analysis of need by the Supervisor

Implementation

Chapter V defines an Implementation Process, Implementation Issues and Challenges, and an Implementation Plan and Scorecard.

1. **Implementation Process:** The implementation process is based on a structure of Oversight and Management, Technical Actions and Coordination, and Monitoring and Reporting. The Mayor, as CEO, and City Administration should direct the process with assistance of department heads. They should submit monthly or quarterly progress reports to the City Council.

2. **Implementation Issues and Challenges:** Mercer defines a series of actions, issues, and challenges that the Mayor and City Council, City Administrator, and department heads must address to foster implementation of the recommendations in the report.

3. **Implementation Plan and Scorecard:** **Exhibit 6** provides a draft Implementation Plan and Scorecard that includes a short description of each recommendation, page number references, priority ranking, person(s) responsible for implementation, comments on implementation actions or challenges, and estimated costs, savings, and revenues. In the next thirty days, the Mayor, City Administrator, and department heads will review and prepare a final implementation plan.

* * * * *

Thank you for the opportunity to assist the city on this important project. We appreciate the help of elected officials, local stakeholders, the City Administrator, department heads, and city staff in meeting with our project team, completing surveys and questionnaires, and providing documents and other information.

If you have any questions or require additional information regarding our report, please contact Steve Egan, our project manager and lead consultant, at 770-425-1775 or at **segan@mercergroupinc.com**.

Very truly yours,

The Mercer Group, Inc.

THE MERCER GROUP, INC.
James L. Mercer, President and CEO
Stephen D. Egan, Jr., Senior Vice-President and Project Manager
Gary Goddard, Senior Vice-President

I. OVERVIEW OF THE PROJECT

The Operational and Service Level Analysis covers all departments and functions of the government of the City of LeClaire, as well as the role of city boards and commissions, local agencies, and regional partners in the delivery of city services.

As requested in pre-proposal meetings and onsite assessment interviews, Mercer reviewed and presented recommendations for the following **topics and questions raised by city officials and senior managers** as we reviewed citywide functions and departments.

- How can the City deal with its current debt load (TIF, Utilities, and Streets)?
- Is the City generally spending too much, particularly in comparison to similar area communities, such as Eldridge? Are there cost-saving opportunities?
- Is the City funding too many police officers and police cars?
- Is Fire too expensive, particularly related to equipment?
- What amenities (parks, athletic fields, recreation center, youth programs, and downtown area) does the community need to expand to improve the quality of life? Mercer Note: Also a comprehensive plan question (update of that plan in process).
- How is the health of downtown?

To fully understand the city and identify any other issues, we conducted a series of onsite and in-office fact finding and analytical tasks to support preparation of our report:

- Interviewed the Mayor, City Council members, Board chairs, City Administrator, department heads, employees (in one-on-one meetings), and selected stakeholders.
- Reviewed the City Code, budget and financial reports, Comprehensive and Strategic Plans, policies and procedures, department-specific data, and other information.
- Compiled the results of Mercer's interviews, employee surveys, and job questionnaires.
- Developed a Comparative Analysis of five Iowa cities similar to LeClaire.

To answer the above questions and more, Mercer compared information gathered during fact finding to topics in our analytical models for *Public Management in Lean Years*, *50 Management Issues for Organizational Improvement*, and *Strategic Planning in the Public Sector* (see **Exhibits 1, 2, and 3** in the text of the Technical Report).

The *50 Management Issues* cover all of the above city questions, as well as additional topics in each of six areas: Governance, Service Delivery Structure, Strategic and Functional Business Planning, Management Organization and Practices, Operations Management and Staffing, and Resource Management (Finance, Personnel, Facilities, Equipment, & Technology).

II. CURRENT SITUATION

This chapter of the summary report provides an Overview of the City, the Results of Interviews and Employee Surveys, and the results of the Comparative Analysis.

A. OVERVIEW OF THE CITY

The city is a small (4.2 square miles), but **fast-growing part of the Quad Cities area, with an estimated 2016 population of 4,200**, which is over 40% larger than the population in the 2000 U.S. Census. The population is expected to grow at a similar rate over the next decade. The city is an historic Mississippi River town that was incorporated in 1834 and is renowned as the birthplace of Buffalo Bill and the headquarters for TV show *American Pickers*. The city is known as the town "where the river pilots lived."

The city provides a **wide range of municipal services**, including administration, fire, library, parks & recreation, planning & zoning, police, public works, sewer utility, solid waste, and tourism.

The city is **governed by a Mayor, who serves as the city's CEO, and five-member City Council** with day-to-day management by the **City Administrator**, who oversees Administration, Fire, Library, Police (Mayor supervises the Chief), and Public Works. City boards, committees, and commissions are the Planning & Zoning Commission, Zoning Board of Adjustment; Parks and Recreation Commission; Library Board; and Tourism Board.

The **FY 2017 budget** anticipates $12,296,482 in revenues across all funds to support government activities and business/enterprise services. The total property tax levy is 14.29798, which is a bit lower than the prior three fiscal years, and the Regular General levy is consistently 8.10. Regular valuations have increased over 19% since FY 2014.

FY 2017 budgeted expenditures total $14,904,524, with over 92% for government activities (administration, fire, library, police, and non-utility public works activities). The budget funds twenty-one full-time and five part-time city employees in four departments: Administration (4 FT), Library (3 FT + 2 PT), Police (7 FT + 2 PT), and Public Works (7 FT + 1 PT). In addition, thirty-one volunteer firefighters are paid via a stipend (Chief) or on points-earned (Chief & Firefighters).

Table 1 in the Technical Report shows **financial data for fiscal years 2014 through 2017**, with data from the city's FY 2017 (2017, 2016, and 2015 data) and FY 2016 (2014 data) reports to the State of Iowa.

Most **city facilities**, particularly the city hall/library complex, public works yard, and wastewater treatment plant, have been replaced or upgraded over the past decade.

B. RESULTS OF INTERVIEWS (SWOT Assessment)

Key strengths, weaknesses, opportunities, and threats are compiled from interviews with the Mayor, City Council members, board/committee members, and the City Administrator. They represent their perspectives at the time of the interview. The Technical Report provides a complete list, with the most important comments in this summary.

Mercer Note: As in other Mercer studies, these perceptions may be fully accurate, once accurate but now out-of-date, or incorrect. The SWOT Assessment is used as a starting point for issues to be analyzed during the Mercer study process.

- **Strengths:**
  - Small town atmosphere (safe, easy to get around)
  - Community involvement and volunteerism
  - Tourism, downtown, American Pickers, events, excellent school system
  - Growth (helped by residential TIF) with higher levels of development
  - City facilities and staff
- **Weaknesses/Areas for Improvement:**
  - Council needs to be more cohesive, as well as more proactive
  - Council needs more activity/performance information from city departments
  - Is the city attentive enough to areas outside of downtown (appearance, streets)?
  - Strategic Plan aging and goals accomplished; no mission, vision, values
  - Impact of current debt level (due to TIF, wastewater, and streets)
  - Are we overspending (e.g., # police officers and vehicles, fire apparatus)?
  - Lack of a comprehensive, long-term capital improvement plan
  - Poor street conditions in some areas and limited parks and recreation programs
- **Opportunities/Challenges:**
  - Growth and Comprehensive Plan update in process (Bi-State Commission)
  - Be more visionary in city planning and zoning
  - Infill and redevelopment above Downtown
  - Create a Parks, Recreation, Open Space, and Paths Plan
  - Add a light industrial park (but a new interchange is a precursor)
  - TIF debt begins to roll off in 2018 through 2031
  - Improve the budget process to consider more than numbers
  - Challenge of replacing the very experienced city administrator
  - Sell the wastewater system to the water company
  - Expand use of electronic records and keep up with information technology
- **Threats:**
  - Financial stress or another recession
  - Lack of civility and respect
  - Competition from other nearby communities

C. RESULTS OF MERCER SURVEYS

Mercer asked employees in city departments **to complete five surveys** (Values, Organizational Climate, GRIPES/Management Practices, Resources, and Personnel Practices); a **Job Duty Questionnaire**; and a **Management Philosophy Profile** (supervisors only). **Attachment A** in the Technical Report presents the **master copy of the survey/questionnaire document**. To understand survey scores, it is helpful to have the survey document in hand.

Except for the Values Survey, the overall results of the employee surveys were positive with most department and individual factor scores meeting Mercer's Minimum Standards, but with some exceptions. Supervisors are slightly more positive than Non-Supervisors on the OCS, GRIPES, and Resources surveys, but less positive on Personnel Practices.

- **Values:** The surveys show that none of the five departments, or the city, has a Values Statement in place. However, all departments, but Public Works, state they live by a set of values and give 6 to 8 examples based on the sample values in the survey document.
- **Organizational Climate (OCS):** Generally, scores are positive, except for lower scores on two subscales: Career Opportunities (typical in a smaller government) and Compensation & Benefits (often low scores and likely Compensation rather than Benefits). Public Works' overall score, however, is below our Minimum Standard of 50% Agree, as are a few other individual factor scores:
  - **Administration:** Work Group Problem Solving (among managers) and Work Group Coordination & Cooperation (among employees).
  - **Fire:** Managerial Competence.
  - **Public Works:** Understanding Organizational Goals, Work Group Problem Solving (by managers), Receptivity to Changes, and Employee Involvement.
- **GRIPES/Management Practices:** Scores varied by department. Overall, Fire, Library, and Police are at or above Mercer's Minimum Standard of 3 out of 5, but Administration and Public Works are problematic (below 2.5). All departments scored above our Minimum Standard of 65% out of 100% on the Potential Applied question.
- **Resources:** Department scores were positive, with all exceeding our Minimum Standard of 3.0 out of 5. No factor scored lower than 2.5 (Problematic).
- **Personnel Practices:** Except Police, department overall scores were a bit below Mercer's Minimum standard of 3.0 out of 5, but only a few individual factors were problematic (below 2.5). Very low scores generally were for Training, Performance Evaluations, Career Ladders (see OCS), and Pay (See OCS). Public Works, however, also had low scores for Disciplinary Process and Morale.

D. RESULTS OF THE COMPARATIVE ANALYSIS

Mercer surveyed **five Iowa cities (Camanche, Carlisle, Dyersville, Eldridge, and West Liberty) to compare with LeClaire.** We collected data on demographics, community assets, government structures, planning, budget/finance for FY 2016 and earlier, economic development, downtown, fire staffing, police staffing, library, parks & recreation, and utilities. Data came from the US Census, State reports, city codes and websites, online research, and phone calls.

(a) KEY FINDINGS FOR COMMUNITY FEATURES & GOVERNMENT SERVICES

- **Community Assets:** Every city has unique features that draw visitors or residents, including attractions (e.g., "Field of Dreams), events, shopping, restaurants, museums, parks, and recreation. All express the idea of "small town" or "hometown" on websites.
- **Population:** Since 1970, Eldridge has experienced fast growth; LeClaire, Carlisle, and West Liberty moderate growth; Dyersville slow growth, and Camanche is up and down.
- **Mayor/City Council:** Per City Codes, Dyersville is the only city electing some members (3) from wards rather than at large. All city council members have four-year terms. Two cities give Mayors a four-year term. Two Mayors "supervise" departments (like LeClaire) and three "monitor" with the City Administrator supervising.
- **Administration:** Unique positions compared to LeClaire are City Manager, Assistant City Administrator, City Clerk, and Clerk/Treasurer (a/k/a Clerk-Finance Officer).
- **Building Inspection and Code Enforcement:** Camanche and Eldridge have building inspector positions. The Fire Department serves as the inspector in Camanche.
- **Economic Development/Downtown:** Most cities have a development organization, such as an Economic Development Corporation or an ED Advisory Board, and two have ED staff. No cities have a Downtown Improvement District, but Eldridge has a Downtown Plan and West Liberty has a Downtown Task Force.
- **Fire:** All cities have Fire Departments. In addition to a core of volunteers, Camanche, Carlisle, and West Liberty have a few full- or part-time Fire and EMS positions, often for daytime response coverage. Only Eldridge and LeClaire have ladder trucks.
- **Police:** All cities have Police Departments. Sworn staffing per 1000-residents in FY 2016 is 1.45 (Eldridge) to 1.73 (Carlisle), averaging 1.63. LeClaire is 1.79.
- **Library:** Four cities with city libraries are open an average of 46.5 hours a week respectively (LeClaire = 51 hours). Eldridge has a Scott County branch library.
- **Parks and Recreation:** Four cities have full- or part-time staff and two have Parks & Recreation Master Plans. Services include recreation centers, fitness centers, aquatic centers, nature centers, bike/walking trails, senior centers, and sports programs.
- **Utilities:** All cities manage Stormwater, but none operate a Stormwater Utility to fund maintenance of Stormwater infrastructure. LeClaire is the only community without a

water utility and one of three without an electric utility.

(b) KEY FINDINGS FOR FY 2016 BUDGETS

- **Valuations:** LeClaire ($92,230,556) has the **second lowest FY 2016 regular valuation** among the comparative cities. Eldridge's valuation is three times LeClaire's and Dyersville is over twice LeClaire's. This one piece of data encapsulates LeClaire's major challenge, which is to diversify the tax base by increasing commercial properties.

- **Tax Rates:** Because of the low valuation, **LeClaire is one of three cities**, along with Carlisle and West Liberty, **with total FY 2016 tax rates in the 14 to 15 range**. Eldridge and Dyersville, with those high valuations, have tax rates of 6.8 and 9.4 respectively.

- **Tax Revenues:** Because of a higher tax rate, **LeClaire is able to raise the revenues required to meet FY 2016 obligations.** However, LeClaire's total FY 2016 tax revenue for each mill levied ($95,742) is the second lowest of the six cities.

  The **city is turning the corner on TIF infrastructure expenses and TIF-generated property taxes will increasingly accrue to the General Fund** per data from the City Administrator ($322,946 in FY 2019 to over $1,000,000 in FY 2026 and beyond).

- **Government Activities Overview:** FY 2016 state budget reports show budgets and expenditures for Government Activities (Public Services, Debt Service, and Capital Projects), as well as for Business Activities (see below). Debt Service and Community/Economic Development programs drive LeClaire's Government Activities budget. Without these and Capital Projects (up-and-down annually), **LeClaire's budget per capita on net government activities is the highest in the sample, but close to three cities, with two others lower (the ones with high valuations and revenue/mill):**

• LeClaire:	$3,235,777	$770 per capita	
• West Liberty:	$2,843,622	$762 per capita	Electric City
• Carlisle:	$2,763,410	$734 per capita	Electric City
• Camanche:	$3,051,248	$700 per capita	
• Dyersville:	$2,713,973	$646 per capita	
• Eldridge:	$3,354,038	$524 per capita	Electric City

- **Business Activities Overview:** LeClaire has one business activity, Sewers. All five comparative cities have water and sewer utilities; three have electric utilities; and three account for garbage as a utility.

- **Department Budgets:** From FY 2016 state budget reports, however, we found **LeClaire's total and per capita budget for its five departments were similar to the other cities,** with a few outliers program-to-program:

	LeClaire	5-City Average	Low Outlier
• Administration:	$317,547 ($ 76)	$336,037 ($ 76)	West Liberty
• Fire (no equipment):	$167,720 ($ 40)	$165,579 ($ 37)	West Liberty
• Library:	$234,578 ($ 56)	$248,760 ($ 56)	Camanche
• Police:	$791,758 ($188)	$840,476 ($187)	Eldridge
• Public Works:	$541,089 ($129)	$521,339 ($116)	West Liberty

III. CITYWIDE FUNCTIONS

This chapter of the summary report presents recommendations for Governance, Strategic Direction, Service Delivery Structure, Management Organization, and Resource Management.

A. GOVERNANCE

C1: City-Governance

a) Legal Structure: Update the title page of the City Code (City Officials)

b) Mayor and City Council Operations:

1) **Cohesiveness:** Mayor-City Council cohesiveness grew during the study. However, the city may benefit from new member orientations, as well as facilitation of a teambuilding exercise by the Iowa Municipal League or Northern Iowa University. (Mayor, City Council, City Administrator)
2) **Goal-Setting:** Implement an annual retreat and goal-setting meeting that precedes the budget and capital projects process. Include review of major issues and needs into that process, along with adequate analysis and explanation. Hire a professional facilitator to ensure the meetings bears fruit. (Mayor, City Council, City Administrator)
3) **Agenda:** Develop a better protocol for adding items to the agenda to ensure they receive full analysis before being presented to the city council for a decision. Give council members plenty of time to review new and important topics, not just the few days from packet to meeting. (Mayor)
4) **Debt/TIF:** Ask the city's financial auditor, with the City Administrator, to brief the city council on the city's current debt, TIF, and finance situation. Schedule the briefing in a workshop setting, with at least two hours allotted to the meeting. Do this by September 30, 2016, as a precursor to developing a long-term financial plan. (Mayor and City Administrator)
5) **Department Reports:** Formalize monthly department status reports from each department and schedule rotating presentations at city council meetings twice a year for each department. (Mayor)

c) City Boards and Commissions:

1) **ED Committee**: Create a permanent Economic Development Committee, which may be a precursor to a Development Authority, to encourage diverse economic growth. Membership to include the Chamber of Commerce sub-committee and other community leaders. (City Officials)
2) **Plans:** Develop strategic plans for the Economic Development Committee, Parks & Recreation Commission, and Tourism Board with mission, vision, and specific goals and objectives for the next three years. (Board Chairs, City Administrator)
3) **Training:** Train members of all boards as needed. (Board Chairs)

B. STRATEGIC DIRECTION

C2: City-Strategic Direction

a) **Planning Model:** Expand the current model to incorporate more detailed plans where key to accomplishing the city's vision, such as Parks & Recreation; Economic Development; and Tourism. (Mayor, City Council, and city boards)

b) **Strategic Plan:** Update the Strategic Plan with the help of an outside facilitator, perhaps UNI, to include the following elements. (Mayor and City Council)

1) **Mission Statement**: A statement of purpose or reason for being. Mission words for LeClaire are "catalyst, preserve, grow, prudent, and quality."

   For example, *"the mission of our peaceful town is to meet the diverse needs of the community by providing planned growth and excellent services in a climate of friendly cooperation."*

   Or, *"The city will provide city residents, businesses, and visitors with congenial, direct, efficient, effective, and high quality services that are guided by the past yet focused on the future.*

2) **Vision Statement:** Presents a picture of the future desired in 20-30 years, or where we want to go and what we will look like when we get there. Vision words for LeClaire are "small town feel, tradition and progress, welcoming, community, attractions (downtown), families, river, and fun."

3) **Values Statement:** Enduring beliefs that help us work together to accomplish the mission and the vision. From the list of values in our report, compile citywide and department values statements.

4) **Goals:** A desired end result or outcome measured by whether or not the goal was accomplished (Yes/No). Timeframe is 3-5 years. First define strategic initiatives (e.g., Recreation) then develop goals for each.

5) **Objectives:** Define specific, measureable, assignable, realistic, and time-specific actions. Timeframe is a year or less.

c) **Comprehensive Plan:** We are pleased that the city has contracted with the Bi-State Regional Commission to update the Comp Plan. (Mayor, City Council, Planning Commission) We suggest:

1) A more specific roadmap for implementation (e.g., more specific definition of accountability, objectives, measures of success).

2) A strong focus on economic development to bolster city finances, tourism & downtown, and parks & recreation.

d) **Strategic Business Plans:** In Chapter IV, City Departments, we suggest that each department prepare a functional business plan that includes the elements from the citywide strategic plan. (Mayor, City Administrator, Department Heads)

C. SERVICE DELIVERY STRUCTURE

Service Delivery Structure is the strategy a city uses to organize and deliver services in-house, via contracts, or through partnerships. The city remains the provider of each service with overall responsibility, while internal and external parties are producers of services.

C3: City-Service Delivery Structure

The Resource Management section of this chapter and the Administration section of Chapter IV, City Departments, discuss professionalization of administrative and financial services, such as finance, human resources, and equipment management.

a) Code Enforcement: Create a working group of city officials, staff, and citizens to review past practices and determine a better process for LeClaire to deal with zoning and code enforcement issues to which the City Code devotes considerable space, including nuisance abatement, junk and junk vehicles, weed control and abatement, dangerous buildings, trees. (Mayor and City Council)

b) Economic Development: See Governance section recommendation to create a formal city board and develop a broad-scope economic development plan, with an emphasis on commercial development.

The city's past emphasis on more "roofs" adds to population, but new property taxes (when fully usable by the city after TIF expires) typically do not pay for resident service expectations, such as neighborhood/community parks and recreation services/facilities, per a Mercer associate expert in development and fiscal impact studies. (Mayor, City Council, ED Committee)

c) Parks & Recreation: See the Governance section recommendation to create a Parks & Recreation Master Plan, which would include open spaces and trails. And, if citizen hopes for expanded parks and recreation services are to happen, creating a position in Parks & Recreation is a critical first need, likely focused on the recreation side as Public Works can focus on the parks maintenance side. (Mayor, City Council, Parks & Recreation Commission)

d) Tourism: Update the city's Tourism Plan, including review of the value of expanding downtown's footprint in planned Phase II and the opportunity to reprogram the Police and Medic facilities currently downtown if they relocate to the current Fire Station property. (Mayor, City Council, Tourism Board)

D. MANAGEMENT ORGANIZATION

Management Organization reviews the management structure and leadership practices.

C4: City-Management Roles of Elected Officials (Mayor and City Council)

a) **Mayor:** The new Mayor should clearly communicate his management philosophy to the City Administrator and department heads, particularly the Police Chief. Mercer understands this process has started and is very positive about the way the new Mayor will supervise the city department heads and departments. The Mayor should ask department heads to prepare goals and objectives for the budget process, including equipment and facilities, and to develop short monthly activity reports on activities, initiatives, issues, and plans for the future month.

b) **City Council:** Review the roles of City Council liaisons, to ensure workload is reasonable and balanced. After the recent restructuring of assignments, only a few changes are necessary to ensure the Liaisons are working with a group of closely-related functions. Update the city's Personnel Policy to reflect these changes.

   1) **Strategic Direction:** Continue Finance and Economic Development. Add liaison to the Chamber of Commerce, if not already assigned; the Strategic and Comprehensive Plans: and the Information Technology Committee. This Liaison is now focused on the future of the city and most administrative services.
   2) **Community Infrastructure:** Continue P&Z, BOA, and Public Works. Add Streets and Utilities and delete the Library. This Liaison is now focused on the public and private physical infrastructure of the city.
   3) **Community Outreach:** Continue the Tourism Board and Civic Groups. Delete Utilities and add Downtown, if not in Civic Groups, and Schools. This Liaison is now focused on the heart of the city, downtown and tourism, as well as on all outside groups and agencies.
   4) **Community Services:** Continue the Parks and Recreation Commission. Add the Library and delete Streets. Schools could be in this group rather than Community Outreach. This Liaison now focuses on all of the parks, recreation, literacy, and cultural needs of the city, which is a major area of community interest.
   5) **Public Safety:** Continue Public Safety (Police, Fire/EMS, and Emergency Management) and delete Schools. This Liaison is now focused exclusively on Public Safety.

C5: City–Management Roles of Appointed Officials

See Service Delivery Structure in this chapter (Recreation) and Chapter IV, City Departments, for changes in the role of department heads.

a) **City Administrator:** With city growth and the not-so-distant retirement of the City Administrator, the city needs a plan to professionalize several functions. We suggest creating a Clerk-Finance Officer in a year or two. This position also can assist with human resource management. (Mayor and City Council)

E. RESOURCE MANAGEMENT

The Resource Management section provides recommendations for the management of Budget and Finance, Human Resources, Information Technology, Equipment, and Facilities.

C6: City-Budget and Finance

a) **Financial Planning** (Mayor, City Council, and City Administrator):

- **1)** Implement a 5-year planning window that includes revenue projections, new revenue sources (e.g., fees), use of TIF revenues as they accrue to the General Fund, asset sales, expenditure goals, and financial analyses.
- **2)** Be more missional and performance focused in financial planning. For example, what do you expect Police and Fire to do for funds allocated?
- **3)** Training the City Council on fund accounting and the state of debt and TIF, including how TIF revenues shift to general purposes over the next 10 to 15 years.
- **4)** Define reserve requirements (typically 1-2 months) and build up a reserve fund.

b) **Operating Budget** (Mayor, City Council, and City Administrator):

- **1)** Add a Mayor and City Council budget planning meeting in advance of budget preparation and in conjunction with an annual planning and goal-setting retreat.
- **2)** A citizen input process to hear their ideas on budget needs is important.
- **3)** Again, be more missional and performance focused in budgeting.

c) **Capital Budget** (City Administrator and Department Heads): Develop a long-term (20 years) equipment and facilities replacement plan. At first, do not create an internal service fund or "savings account," but perhaps in the future. Chapter IV, City Departments, provide a more in-depth discussion of needs and priorities.

d) **Budget and Financial Analysis** **(**Mayor, City Council, City Administrator, and Department Heads): Staff's revenue and cost containment ideas are positive. Mercer suggests initially focus on ideas with a larger ($10,000+) impact on city finances, and keep out of the weeds (the $1 pet tag) unless these ideas are an easy, quick fix.

e) **Budget Documents** (City Administrator): Define the cost AND the value of all budget initiatives. Add the elements to explain financial data, including any swings in revenues and expenditures. Use these elements to supplement the state financial report for local budget reporting (see Eldridge report). Look at GFOA budget formats as potential models for a more complete budget document. Post the budget on the city's web site.

f) **Financial Management** (City Administrator): The City Administrator, city hall staff, and Finance Chair appear on top of the financial management requirements in the City Code. We do suggest, however, in Chapter IV that city hall staff develop a formal financial policies and procedures manual over time.

C7: City-Human Resource Management (Mayor, City Council, City Administrator)

a) **Policies and Procedures:** Update the Personnel Manual every three years, with an immediate review in the near future.

b) **Job Descriptions:** Immediately review and update all job descriptions. Then review them every three years or whenever a major change occurs in job duties.

c) **Pay and Benefits:** At least for department heads, conduct a formal job duty analysis that includes a review of equity both internally (how the position's pay compares to other city positions) and externally (how the position's pay compares to the market).

d) **Labor-Management Relations:** Use a professional labor negotiator in future contract negotiations.

e) **Performance Evaluations:** Implement a performance evaluation process across all city departments as defined in the new labor agreements.

C8: City-Information Technology Management (Mayor, City Council, City Administrator, and Department Heads)

a) **IT Management:** Develop a citywide IT Strategic Plan that looks ahead at least five years. The plan should include technology items (hardware and software applications) in an IT section of the Capital Improvement Program discussed earlier. The plan should include both citywide (e.g., fiber optics) and department needs (e.g., financial system or library circulation).

   From the citywide SWOT Assessment, improve the city's website; WiFi system; Cable TV capabilities, including televising City Council meetings; and emergency communications to residents (for example, texts from Nixle).

b) **IT Committee:** Connect the IT Committee to the City Council Finance Liaison as a sub-committee. Involve the full committee in development of the Technology Plan. Ensure members of the IT Committee have a solid understanding of technology applications in municipal operations rather than just an IT understanding only from another context (e.g., retail or manufacturing).

C9: City-Equipment Management (Mayor, City Council, City Administrator and Department Heads)

a) **Replacement Plan:** Develop a vehicle replacement plan based on agreed upon replacement standards. In Chapter IV, we'll comment on standards for Fire, Police and Public Works vehicles and equipment.

b) **Maintenance Records:** With the *All Max* maintenance management system available in Public Works, consider shifting paper records to this system with Public Works going first as a test case. *All Max* also will help to define and schedule preventative maintenance services on vehicles and equipment.

C10: City-Facilities Management (Mayor, City Council, City Administrator, and Department Heads)

a) **City Hall/Library Plaza:** Review current uses and the condition of the plaza between city hall and the library, and determine future uses. See the Library section in Chapter IV for specific ideas.

b) **Public Safety Complex:** In the Fire section of Chapter IV, we discuss the opportunity to consolidate public safety agencies (fire, police, and Medic) at an expanded complex on the grounds of the current fire station.

c) **Facilities Management:** See prior sections on Capital Improvements planning as the foundation for creating a facilities needs assessment and the Public Works section in Chapter IV for facilities maintenance suggestions.

IV. CITY DEPARTMENTS

This chapter of the summary report describes our recommendations for the five City departments: Administration, Fire, Police, Library, and Public Works.

A. ADMINISTRATION

Administration includes the services provided by the City Administrator and three other city staff working in city hall, such as budgeting, financial management, city clerk, customer service, human resources, information technology, purchasing, and utility billing and collection.

In addition, lacking a **Community Development** Department, building inspections, code enforcement, community development, economic development, and urban renewal programs are reviewed in this chapter.

A1: Administration-Strategic Direction (City Administrator and City Hall Staff)

a) Mission and Values: Develop a mission and values statement for the administrative group, including functions performed by the City Administrator. Because administrative functions are so diverse city-to-city, we don't provide a sample mission statement.

b) Goals and Objectives: Develop formal goals and specific, measureable objectives for administrative services (some relate to the suggested IT Plan) for the next three years to include: strategic plan update. council meetings on Cable TV, website and technology upgrades including city Wi-Fi, credit card payments, and yard waste program

c) Performance Measures: See **Attachment C** in the Technical Report for sample performance measures in local government functions and departments.

d) Staff Enhancement: Define the possible need for staff enhancements as the city grows - particularly for the clerk, budget, and financial functions – and as current staff retires over the next five years. A Clerk-Finance Officer position is the first to be created.

A2: Administration-Service Delivery Structure:

a) Future: The current service delivery strategy is reasonable compared to other Mercer clients and industry best practices. Watch the evolution of the city with future growth and assess the need to bring outside services in-house or contract them out. See **Attachment B** in Chapter VI for *Mercer's Decision Criteria for Collaboration and Contracting*. (Mayor, City Council, City Administrator, Department Heads)

b) Bids: Ensure banking, accounting, technology, and other administrative and financial contracts are bid every 3 to 5 years. (City Administrator)

A3: Administration-Organization & Staffing (Mayor, City Council, and City Administrator)

a) **City Clerk and Finance Officer:** As part of succession planning and to provide an overlap with future retirees, create a new City Clerk and Finance Officer position in FY 2019 to be supervised by the City Administrator. This position would oversee all day-to-day operations for financial services and administrative functions, and supervise the two administrative support positions in city hall.

   The City Administrator, then, would focus on other support functions, including budgeting, capital projects planning, human resources management, and information technology.

   Task the Public Works Supervisor with a larger role in equipment and facilities management with oversight by the City Administrator.

b) **Succession Plan:** Develop a Succession Plan for each of the four Administration positions in conjunction with Strategic Direction and Service Delivery Structure assessment of needed City Hall positions and contractors.

A4: Administration-Operations Management (City Administrator and City Hall Staff, as well as Department Heads for Code Enforcement)

a) **Policies and Procedures:** In 2016 and 2017 compile administrative and financial policies and procedures into a formal manual that includes performance measures and a review of the need for blanket/annual purchase orders.

b) **Purchasing:** During the review above, ensure procedures provide for a periodic check to ensure departments follow purchasing procedures (e.g., 3 bids). Also, look for opportunities to expand blanket or annual purchases for common items to limit after-the-fact "confirming" purchase orders. One goal may be to provide pre-arranged ways to get needed items without using city credit cards.

c) **Code Enforcement: Small cities face a dilemma with code enforcement**, including the Life Safety Code (see Chapter IV, Fire). It's important, but they don't have funds for a dedicated code enforcement officer. So, everyone chips in, but in reality no one makes code enforcement a priority and the system is mostly reactive, like LeClaire. **Mercer sees code enforcement as a key contributor to a city's quality of life and its attractiveness to new residents and visitors, particularly if the city is a tourism destination.**

   1) **City Staff:** Many cities adopted a **formal team approach**, which LeClaire should adopt with the City Administrator directing. Use Fire, Police, and Public Works as the city's "eyes and ears." This task must be an important element of the job duties and performance evaluations of city employees and department heads, so it is important and an everyday activity.

2) **Residents:** Explain the value of code enforcement then encourage residents to report possible violations via an online reporting system or calls to City Hall. The city newsletter, website, and City Council meetings can be used to educate and encourage public support and participation.

3) **Neighborhoods:** The hill area above downtown is a critical focal point for code enforcement as this area has older structures, which may detract from the ambiance of visiting downtown and the levee. This area also seems to need improvements to public infrastructure, particularly streets and storm drainage. Citizens living in this area may need to be educated on the importance of property upkeep to maintaining property values and enticing visitors to the downtown and surrounding areas.

4) **Mayor and City Council:** Need to actively champion code enforcement or the process will fall apart with exemptions and special cases.

5) **City Administrator:** Needs to be consistent in applying the City Code and in ensuring due process for cited violators. He also needs to push code enforcement as a priority in department head meetings and each month inform the City Council of that month's actions and open cases.

A5: Administration-Resource Management (City Administrator)

a) **Job Descriptions:** Update employee job descriptions.

b) **Performance Evaluations:** Implement the newly negotiated performance evaluation program per city policy beginning with anniversary dates in calendar year 2017. In 2016, review options and finalize the performance evaluation system then train employees.

c) **Succession Plan:** Prepare the Succession Plan mentioned under Organization and Staffing.

C. FIRE DEPARTMENT

The **LeClaire Fire and Rescue Department (LFD)** was founded in 1906, operates as a volunteer department, and responds to over 400 calls per year, most for medical and emergency situations, not fires. The city has an ISO rating of 4.

The **31 volunteer firefighters** work out of **one station with six mainline fire apparatus** (a ladder truck, two engines, a rescue truck, and two boats). Ambulance services are provided by Medic Emergency Medical Services, which bases an ambulance in LeClaire.

F1: Fire-Strategic Direction (Fire Chief, Command Team, and Firefighters)

a) **Mission:** Rethink the mission statement to make it shorter, simpler, and pithier, while continuing to explain why LeClaire Fire is in business. For example: *"Provide industry-best and cost-effective fire prevention, fire protection, emergency medical, and other emergency services within the city and to surrounding areas."*

b) **Values:** Use the values listed by firefighters in the Mercer surveys to develop a formal Values Statement. Ensure firefighters have input in creating the statement.

c) **Strategic Business Plan:** By the end of 2016, develop core elements of a strategic business plan as defined in Findings, with the full plan completed by mid-2017. Use Mercer's our strategic planning model (see Chapter III) as a guide to developing the plan.

Regarding our questions in Findings in the Technical Report, Mercer believes:

1) **Framework:** To date, the city has not defined optimal fire protection or acceptable risk. Its sole focus has been on reasonable cost due to budget challenges. In our management model, reasonable cost decisions derive from optimal fire protection and acceptable risk decisions. The words in the current mission express a commitment to a high level of service ("excellent, aggressively, effectively, progressive").
2) **Structure:** The current automatic/mutual agreements may be the foundation for a district, regional force, or merged departments.
3) **Cadre:** Now is not the time for full-time firefighters, but enforcement of the life safety code, fire prevention services, and fire educations program is difficult under the volunteer system. Soon?
4) **Complex:** A consolidated Public Safety Complex makes senses, not just for operational reasons, but also to open up valuable downtown properties for redevelopment by tax-paying companies.

5) **Ladder Truck:** LeClaire needs a quick-responding ladder per our Fire Technical Specialist. LFD can respond to downtown in 10 minutes. Area departments do not meet the ISO distance criteria of 2.5 miles to any area with tall buildings. Mobilization + travel time to LeClaire is 17 to 27 minutes vs. an NFPA 1720 standard of 10 minutes. (See the Ladder Truck Analysis in the Technical Report.)

6) **Boats:** With such limited use, the Fire Department likely only needs one appropriately-designed boat in the future.

7) **Compliance:** The ISO, NFPA, and CFAI apply to all departments, including volunteer agencies. Rules like "two-in/two-out" and an adequate response (15 firefighters in about 8 minutes are important to operational effectiveness to and citizen and firefighter safety.

F2: Fire-Service Delivery Structure (Fire Chief and Command Team)

a) **Mutual/Automatic Aid:** The current service delivery structure makes good use of department and regional resources, and appears to be working well. LFD assistance to/from other department is relatively balanced. Mercer suggests no major changes.

b) **Coordination of Fire, Medical, and Police Services:** Medic is a key partner in providing emergency medical services in LeClaire. Based on our conversations with Fire, Police, and Medic representatives, we suggest the following collaborative actions. Once our report is issued to the Fire Department, the Chief should brief Medic on these ideas.

1) **Public Safety Complex:** Initiate conceptual discussions between the City, Fire, and Medic to explore the value and feasibility of Medic moving its station staff and equipment to an expanded city fire station up the hill. A key part of that discussion is a broader assessment of the reuse potential for Medic's current station downtown and the potential value of moving the Police Department up the hill as well to free up that property for redevelopment.

   In effect, with Phase II of the downtown plan longed for by many people, this initiative enhances downtown as Phase 2.5 in what appears a fairly affordable manner, assuming Medic reprograms proceeds from the sale of their downtown station into an expanded city fire station. (Action also required by Mayor, City Council, and City Administrator)

2) **Recruiting Volunteers:** Development of an education and marketing plan to get more community residents to volunteer as LeClaire FD firefighters and as Medic EMTs and drivers (see Organization and Staffing). Medic will put prospective volunteers through EMT training, likely at no cost to the participant or the city. (Action also required by the City Administrator)

3) **Service Coordination:** Regular discussions/meetings with City, Fire, and Medic officials to coordinate services, resources, and needs, as well as periodic presentations by the Fire Chief and Medic to the City Council. (Action also required by the Mayor and City Administrator)

F3: Fire-Organization and Staffing (Fire Chief and Command Team)

a) **Management Organization:** The Fire Chief is in a challenging leadership position being answerable to the membership and to the City Council. From information shared in our interviews, we encourage him to expand communication and relationship-enhancing efforts with both.

   (1) **Internally,** the update to the policies and procedures, supported by training, will offer communication and teambuilding opportunities. In addition, the Chief should go over the employee survey scores to figure out why respondents gave low scores on a few important factors, such as Management Competence in the OCS.

   (2) **Externally,** LFD employees want the Mayor and City Council to have a better understanding of fire services and needs, which may help to resolve issues leading to low employee survey scores on elected official Respect and Support questions. Visits by elected officials to the fire station are encouraged.

   Based on our interviews with all, but one, senior officer, the Fire management team seems well organized and fully committed to and engaged in performing their roles, considering all are volunteer positions.

b) **Staffing:** As well as the Fire Department performs, Mercer is concerned that only 30 to 40% of its thirty members are very active in responding to calls and that only a few members are consistently available for weekday calls.

   1) **Number of Volunteers:** We suggest the Fire Chief and the command team reconsider the 30 member standard and recruit additional members over the next few years who show stronger signs of being very active, as well as encourage/enforce a higher level of participation by less active members, perhaps through monthly bonuses for a (to be defined) number of response (Medic does this). But, all staff call outs, particularly for medical calls are not recommended.

   2) **Full-Time Firefighters:** Mercer is not prepared to recommend any full-time firefighter positions at this time. We believe that need lies five or more years in the future. Nevertheless, the department should begin to plan for a day when a small cadre of full-time firefighters, either weekdays or 24/48 shifts are needed, including station re-design to add a bunkroom.

F4: Fire-Operations Management (Fire Chief and Command Team)

a) **Policies and Procedures:** Complete the SOG update by the end of 2016 and coordinate personnel topics with the City Administrator to ensure Fire policies comply with the city's personnel policies. Allow all firefighters to review and comment on draft SOGs. Conduct follow-up training on the updated SOG with Fire personnel on regular training nights.

b) **<u>Shift Schedule</u>:** Mercer likes the three shifts. This approach focuses non-fire calls to only 1/3 of department personnel who are fit and ready to respond, rather than a general call out.

c) **<u>Dispatch</u>:** Review call-out/paging protocols to see if they can be limited to the shift on duty (except in a major incident).

d) **<u>Pre-Plans</u>:** Distribute pre-plans to each major piece of fire equipment and command car. Make sure they are reviewed and updated every 2-3 years. Look at opportunities to computerize the plans and supporting files, such as building layout diagrams and places where hazardous materials are stored.

e) **<u>Plan Reviews and Inspections</u>:** Coordinate discussions about enhancing code enforcement activities (See Administration) with enforcement of the related Life Safety Code. Determine the issues and needs in LeClaire and what commercial properties and rental units may need to be inspected annually and/or more frequently. Once the need, properties, inspection frequency, and workloads are defined, present it to the City Council for review and approval.

At the same time determine if Fire has the capabilities to perform these inspections. If not, the city may need to look for contractors in the private sector (like Planning and Engineering firms) to perform the inspections. (add the Mayor and City Administrator in the planning stage and the City Council to implement)

f) **<u>Fire Operations</u>:** No other recommendations.

<u>F5: Fire-Resource Management</u> (Mayor, City Council, City Administrator, Chief, and Command Team):

a) **<u>Finances</u>:** The Comparative Analysis, excluding equipment purchases, shows LFD's fire operating costs are close to the five cities surveyed. LeClaire's FY 2016 budget was $183,085 ($44 per capita), while five cities average $165,579 ($37). In FY 2015, LeClaire spent $132,109 on Fire ($35 per capita). So, it appears **the real cost question in Fire is equipment** (see below).

b) **<u>Personnel</u>:** Like other departments, Fire should implement a formal performance evaluation for LFD firefighters. Develop the system with firefighter input.

c) **<u>Facility</u>:** Fire should prepare a facility needs analysis for the future that includes the benefits, timing, size, and cost of expansions suggested under Findings and for a Public Safety Complex suggested under Strategic Direction.

d) **<u>IT</u>:** Improve the *Firehouse* to State Fire Marshal link to eliminate double entry of data, assess the value of *All Max*, and upgrade the printer to allow scanning.

e) **Equipment:** Mercer's Fire Technical Specialist (a retired chief) made these suggestions for developing and implementing a long-term equipment replacement plan.

1) LFD needs two engines and a ladder truck (or quick access to one) to meet response-time and adequate response goals.

The in-depth *Ladder Truck Analysis* in the Technical Report:

- ✓ Reviews the uses and value of a ladder truck
- ✓ Defines the types of ladder trucks
- ✓ Lists area ladder trucks and estimated response times to the Faithful Pilot
- ✓ Reviews three factors a community must consider in making fire and medical service decisions (adequacy of service, cost, and risk)
- ✓ Finds that only Eldridge of the five comparative cities has a ladder, with two of these communities served by a nearby neighbor (10 minute response) and two others by a more distant department (17 to 25 miles)
- ✓ Lists reasons for using an alternative ladder truck provider (primarily related to cost savings)
- ✓ Lists reasons for not using an alternative ladder truck provider (primarily related to adequacy of service and risk due to longer response times)

2) Define baseline specifications to support adequate protection needs (usage, when, where, situations) for all equipment. (Council to approve)

3) Define standards and a process for analyzing apparatus replacement using a broad set of criteria to measure vehicle condition, cost to operate, and trade value as described in the Findings. (Council to approve)

4) From #1 and #2, develop a vehicle replacement plan for all current fire apparatus. The goal is to spread out purchases to avoid having to buy or lease multiple pieces close together. (Council to approve)

5) Improve vehicle use and maintenance data, perhaps using *All Max* or other software, to support maintenance and keep/replace decisions.

6) When a vehicle is scheduled to be replaced, involve the Public Safety liaison and City Administrator at the beginning of the replacement analysis (may now occur) and the City Council in the fall before the budget request.

7) Define vendor base ("stock") unit specs and cost then justify all upgrades.

8) Leasing is a good option with fire apparatus.

9) Future need is a Chief's truck (now uses his personal vehicle).

D. POLICE DEPARTMENT

The **LeClaire Police Department (LPD)** is a full-time, full-service agency protecting citizens, business, and visitors in LeClaire. LPD provides patrol, traffic enforcement, and investigations services, with support from the Sheriff, State Police, and Police Departments in area cities.

LeClaire is a relatively safe city. 2014 FBI data (most recent report) shows LeClaire had 10.11 major crimes per 1000-residents compared to 11.33 in the five Iowa cities, 23.67 in all Iowa cities outside of metropolitan areas, and 27.72 in all US cities. See Table 6 in Technical Report.

Calls for Service averaged 8,367 incidents from 2013 to 2015, the highest number for Business/Residence Checks and Traffic Stops. The four reporting comparable cities were 3,600 (West Liberty), 4,000 (Carlisle), 6,300 (Camanche), and 10,000 (Eldridge).

LPD has 7.5 full-time equivalent sworn officers (Chief, Sergeant, five full-time & two part-time officers) plus a secretary. **Sworn officers represent 1.79 per 1000-residents compared to a five-city range of 1.45 (Eldridge) to 1.73 (Carlisle) and a 1.66 average**. LPD works out of a converted condominium and is equipped with six police-equipped vehicles (down from eight).

P1: Police-Strategic Direction (Police Chief)

a) **Mission:** Revisit the Mission Statement with employee input. One small Iowa department wants to *"promote public safety and enhance the quality of life in our city through innovative policing and community partnerships."*

b) **Values:** Develop a Values Statement with employee input

c) **Goals & Objectives:** Define three-year goals and next year objectives for the next budget cycle with employee input

d) **Performance Measures:** See Attachment C for sample performance measures. Specifically, neighborhood patrol (# circuits per shift), speed checks (when, where, objectives, frequency?), and business checks (frequency/timing each day).

P2: Police-Service Delivery Structure (Police Chief)

a) **Structure:** The current service delivery structure serves LeClaire well, particularly for backup and laboratory services, and the dispatch operation is improving per interviews.

b) **Contracting:** Mercer does NOT recommend contracting with the Sheriff for overnight patrol services in LeClaire due to a loss of control over staff assignments, scheduling, and degree of police presence.

c) **SRO:** Analyze the value to the city of city police officers serving as the School Resource Officer at one or more schools in LeClaire as this arrangement can facilitate the department's relationship with juveniles (and parents) if that group becomes more of a crime problem than apparent currently. If of value, discuss with the School Board and Sheriff. (Also City Officials and City Administrator)

P3: Police-Organization & Staffing (Mayor, City Administrator, Police Chief)

a) **Chief and Sergeant:** The Police Chief and Sergeant positions should continue as the department's senior management team, but the city should review how they spend their time (administration vs. policing) to ensure the Mayor and City Council's "working position" expectations are clearly defined and are met by both. Define these expectations. Provide monthly activity reports to the Mayor.

   Restructure shift assignments of the Chief and the Sergeant to provide Friday coverage. We expect the Sergeant will shift to a Tuesday-Friday schedule.

b) **Support:** One Administrative Police Services Coordinator position provides adequate support to Police staff. As a department-wide support position, the coordinator should report to the Police Chief, not the Sergeant.

c) **Roles:** Review work assignments to the Sergeant and the Senior Police Officer. Typically, a Sergeant, rather than a Senior Police Officer, would review officer call reports. Our immediate concern is the backlog of police reports due to the extended injury leave of the Senior Police Officer.

d) **Corporal:** Mercer is pleased that the city will create a Corporal position on July 1, 2016, as a result of labor negotiations. This position would work shifts that complement the Chief, Sergeant, and Senior Officer.

e) **Staffing:** Maintain the present level of sworn officers (seven plus two part-time officers), with one officer primarily assigned as an investigator. Even with expected population growth, Mercer thinks seven full-time plus two part-time is a good staffing level for the near future and up to a population of at least 5,000, at which time the city should reassess Police staffing needs.

f) **Shifts:** Keep the 10-hour shift, which have proven effective nationally. Review the Power Shift schedule to ensure extra staffing matches high calls periods.

g) **CFS Data:** Develop additional data on officer time devoted to calls for service to assist in defining the need for additional officers as the city grows. The key measurements needed are time devoted to:

   1) **Citizen-generated Calls:** Calls from Dispatch, such as auto accidents and break-ins. A tentative time-use goal is about 50% of shift time on these calls, with Days a bit more and Nights a bit less based on call data.
   2) **Chief- or Officer-initiated:** The department drives these important activities, such as neighborhood patrol, house and business checks, and speed checks. A tentative time use goal is about 50% of shift time, with Days a bit less and Nights a bit more based on call data.

P4: Police-Operations Management (Mayor, Police Chief and City Administrator)

a) **Police SOPs:** Update Police policies and procedures by the end of calendar year 2016. This update is important enough to consider hiring the Iowa consulting specialist (about $2,500) mentioned by the chief, and should be a 2016 primary performance measure for the Police Chief.

b) **Police Reports:** Accelerate preparation of the basic police report to one week for routine incidents and two days for major crimes.

c) **Information Systems:** Consider the benefits of automated case management software to manage investigations to replace a primary manual (paper) system used presently. The county dispatch and records system may have such a module.

d) **Internal Communications:** The Chief and the Sergeant should define a plan to improve internal communications, particularly to officers working evenings, nights, and weekends by the fall of 2016.

e) **Monthly Report:** Develop a one-page monthly Police Department report for the Mayor and City Council. The report would summarize monthly calls for service, crimes, events supported, and other department activities.

f) **Annual Report:** Develop an annual report for the department as a compilation of monthly reports. Go to the City of Carlisle's website for a sample annual police report. (Police Chief)

g) **Special Assignments:** Rotate special assignments every 12 to 24 months to give all officers experience in managing police assets and operations in order to prepare them for advancement. (Police Chief)

F5: Police-Resource Management (Mayor, City Council, City Administrator, and Police Chief)

a) **Equipment Replacement Plans:** Develop formal vehicle replacement standards for the Chief's car, the Sergeant's car, and patrol cars, with a 5-year replacement. Use a patrol standard of 5 years and 100,000 miles then adjust with experience. We expect the city will need to replace one patrol car each year.

   The useful life of a police patrol car depends on a number of factors, including age, miles, use (# high-speed pursuits), driving habits, local road condition, weather, and maintenance level. An additional factor is assignment. Is it used by a single officer for his 8- or 10-hour shift (like a take-home car) or shared across several shifts each and driven by several officers?

   The National Association of Fleet Administrators indicates the standard life of a patrol car is 5 years or 95,000 miles. However, actual replacement policies in specific cities and counties vary widely from a low of 75,000 miles and 3 years to a high of 100,000 to 125,000 miles and 5-6 years.

Here are some guidelines for LeClaire in developing the plan:

- Each city patrol car is driven about 20,000 miles per year on average and Squad 44 is approaching the end of its useful life.
- Chief and Sergeant's commuting car have much lower usage (under 6k).
- Local weather and roads are factors in vehicle condition, but officers seem to have few high-speed pursuits.
- Driving habits are unknown, but controllable in a small department.
- Maintenance records are manual, but costs can be compiled.

Replace in-car equipment when the vehicle is replaced. Develop a similar equipment replacement plan for all other equipment, gear, and weapons.

b) **Police Fleet:** Maintain a six vehicle police fleet at the current staffing level, with take home cars for the Chief and the Sergeant only.

c) **Officer and In-Car Technology:** Upgrade the in-car camera system to a system that automatically downloads data to a secure server or the cloud, rather than manually managing DVD's. Create a policy for use of police body cameras.

d) **Office Technology:** Get a computer for the investigator's office.

e) **Job Descriptions:** Develop a formal job description for the Chief of Police.

f) **Performance Evaluations:** Implement a performance evaluation system for all employees, including the administrative coordinator, perhaps with a self-evaluation. Use the system for goal-setting and employee development.

g) **Purchasing:** Develop an emergency purchasing policy for critical Police needs.

E. LIBRARY

The **LeClaire Community Library** is a stand-alone city library that is linked to other area libraries through the RiverShare Libraries consortium. The library was part of the Scott County library system until benefactors left the city $500,000 to create a city library and to construct a new library building. That new library opened on July 1, 2004, after the community voted unanimously in 1999 to support the idea of a city library and subsequently raised the matching funds required by the bequest.

The library is governed by a 7-member **Board of Trustees**, with members appointed by the Mayor and approved by the City Council. The role and duties of the board is defined in Chapter 21 of the City Code, as well as Board By-Laws that are being developed. The library is supported by the **Friends of the Library**, who raise funds and advocate for the library primarily through an annual book sale and the Green Tree Library Fund.

The library is open 51 hours per week, including Saturdays, and offers an extensive range of services for adults, teens, and children. Library staff includes the Library Director, Circulation Manager, Youth Service Coordinator, and two part-time Circulation Clerks.

L1: Library-Governance

a) **City-Library:** The city council and the library board need to continue to work on defining roles and relationship. The library would like the city council to show they value the library and are involved in using its resources. (City Officials and Library Board)

b) **Liaison:** The key to a great relationship is an effective council liaison, who can report back to the city council on library matters. (City Officials)

c) **Board:** We support the idea of Library Board By-Laws, just not by-laws based on the Carter System. Mercer will provide an example of good board bylaws from a prior client.

In this effort, the Board needs to recognize that their authority and actions are closely defined by the Iowa Code and City Ordinance #565. Train new board members.

d) **Reports:** The Library Director should development monthly, one-page performance reports to the library board that can be shared with the city council to facilitate their understanding of library activities and operations. (Library Director)

e) **Board Size and Terms:** The city council and library board should review the chair's idea of reducing the size of the board to five with shorter terms in order to encourage citizen participation as board members.

A 7-member board is a bit large in our opinion, but common in local government. A six-year term is very long compared to our experience in other cities. By comparison, members of the 7-member LeClaire Planning & Zoning Commission (also perhaps a bit large) serve five-year terms and members of the 9-member (due to the merger of three boards) Parks & Recreation Commission serve three-year terms. (City Officials)

L2: Library-Strategic Direction: Based on the Mercer Model for Strategic Planning (Table 3 in Chapter III of the Technical Report), Mercer suggests the following changes to the library's strategic and functional business planning process. The mission is a good one.

a) Alignment: As a first step, the Library Board and Director should meet with the Mayor, City Council, and City Administrator to understand their "dreams" for the library, as well as what may be practical under the current reality.

The City Council liaison to the Library should be involved in each step of the Library's strategic planning process.

The library should present a draft of the Strategic Plan to the Mayor, City Council, and City Administrator then meet with them to review their comments and ideas.

Link the library's plan to the updates to the city's strategic and comprehensive plans and see if those plans have thoughts for better use of the City Hall-Library Plaza as a community gathering place. (Library Board and Director, City Officials)

b) Vision: Create a long-term vision for library services in LeClaire. Long-term meaning at least to 2025 and perhaps to 2035. (Library Board and Director)

c) Goals: With community input (planned by the Library Director), update the goals in three-year increments (to match the state planning period) and objectives in 1-2 year increments to move toward the vision. (Library Board and Director)

d) Performance Objectives: Continue to develop, monitor, and report performance measures for each objective and goal. (Library Board and Director)

e) Dreams: Incorporate the "Dreams for 2015" into the strategic planning process. (Library Board and Director)

f) Final Plan: Make the final plan document available to the City Council and to the public by posting it on the city's website.

L3: Library-Service Delivery Structure

a) Friends: The city council, library board, and Friends leadership should seek new blood for the Friends.

Although the Green Tree Fund is held by a community foundation, decisions on its goals and projects should be coordinated with the Library Board and the City Council. (City Council, Library Board, Friends, and Director)

b) Library Use: With the loss of Illinois libraries in the RiverShare consortium, the city and the library will limit use of the library by Illinois residents. Consider fee-based use. (City Officials, Library Board, and Library Director)

L4: Library-Organization and Staffing

a) **Assistant Director:** Review the job description of the Circulation Director in the role of the #2 position to back up the Library Director. This role does not have to be filled by an actual Assistant Director position, but as other duties assigned. The job description and compensation should reflect this assignment. (Library Board and Director)

b) **Staffing:** Maintain current staffing levels for the present time, which are comparable to other similar sized libraries in the state. Defer consideration of an additional part-time position for now. (City and Library Officials)

c) **Strategic Plan**: Soon, the library will update its strategic plan with additional elements and information suggested by the Mercer Model for Strategic Planning. In the planning process look at staffing needs under several future scenarios (Library, Board, Library Director, and Library Liaison):

1) Increased and decreased library hours (like 45 and 55)
2) Increased population (like 4,500 and 5,000)
3) Increased usage (circulation, visits, events)

L5: Library-Operations Management

a) **Hours:** Adjusting library hours is a common way of dealing with budget stresses. The financial impact, however, would be limited unless the city decided to match the lower level in the comparative libraries (about 40 hours).

We suggest the city defer any adjustment to library hours until the library has completed the recommended strategic planning exercise and redefined the library's strategic direction and service alternatives. If the city was to reduce hours, the obvious first option is fewer days with evening hours, perhaps two rather than four. (Library Direction, Library Board, and City Officials)

b) **Finance:** Work with the City Administrator and city hall staff to explore ways to simplify cash drawer operations with a goal of a single cash drawer for all transactions. (Library Director and Circulation Manager)

c) **Annual Report:** Develop an annual report on library activities for the Library Trustees, the Mayor and City Council, and library patrons. When completed and approved, post the report on the city's website. (Library Director)

L6: Library-Resource Management

a) **Financing the Library:** Depending on the results of the library strategic planning exercise, the Library Board and City Council may find the library important enough to warrant a special operating tax levy. Clear guidelines would need to set for the levy limit and uses. (City and Library Officials)

   Explore alternative sources of revenue for the library, specifically grants for special library needs and programs. (City and Library Officials)

b) **Facility Improvements:**

   1) **Plaza:** Develop a facility use plan for the plaza between city hall and the library, which appears to be infrequently used and needs repairs. (City and Library Officials)

   2) **Shelving**: Assess the condition and functionality of the current shelves and determine a price that reflects the actual need (likely somewhere between the library's $45,000 estimate and the city's $6,000). Library-specific shelving may not be a priority if most of the current shelves are functional. Perhaps the library's surplus is a good source of funding to expedite procurement, if needed. (Library Director and City Administrator then City and Library Officials)

c) **Human Resource Management:**

   1) **Performance Evaluations:** Implement a performance evaluation system for all library employees based on the system implemented through the union agreement. (City Administrator and Library Director)

   2) **Job Description:** Update the Circulation Manager's job description to eliminate references to work now performed by the Youth Services Coordinator. Incorporate a reference to the #2 role. (City Administrator and Library Director)

d) **Technology:** Develop a Technology Plan for the library to include a process for keeping up with the evolution of library-related technologies. (Library Director and City Administrator)

F. PUBLIC WORKS

Public Works provides a wide range of traditional public works and some utility services in-house with a staff of eight union positions. Services include equipment maintenance (Public Works vehicles only); facilities maintenance (Public Works and City sites); grounds maintenance (Public Works and City sites); streets, curb & gutter, and sidewalk maintenance; stormwater system maintenance; wastewater collection system maintenance, including locates and meters; and wastewater treatment plant and lift station operation and maintenance.

Several other services are provided by contractors or other agencies, including capital projects (construction services for major street repairs); engineering (contract engineers for specifications, designs, capital project planning, plan reviews/permits, and construction management), equipment maintenance (major repairs are contracted); facilities maintenance (technical and trades services are contracted); solid waste, recycling, and yard waste collection and disposal (Allied Waste Services contracted through December 2021); water supply, treatment, and distribution (sold to Iowa American Water in 2003); and wastewater oversight (operator-in-charge), sampling, and testing services (QC Analytical Services contract).

Comparing public works programs across cities is tricky because budgets may be structured differently (e.g., garbage costs may be in Government or Business Activities) or programs charged differently (see Snow and Traffic Control below). **Comparing the FY 2016 budgets for three core LeClaire Public Works programs shows:**

- **Roads, Bridges, Sidewalks:** LeClaire budgeted $265,963 ($63 per capita), while the five cities budgeted from $288,534 (West Liberty) to $762,694 (Eldridge), averaging $341,668 ($76).
- **Traffic Control & Safety:** LeClaire budgeted $118,777 ($28 per capita), while the five cities budgeted from $0 (Dyersville/West Liberty) to $22,400 (Eldridge), averaging $6,198 ($1). Cost accounting differences may explain why LeClaire is higher.
- **Snow Removal:** LeClaire budgeted $156,349 ($37 per capita), while the five cities budgeted $0 (Carlisle) to $57,488 (Camanche), averaging $35,190 ($8). Topography, icing, and local standards may explain cost differences. Eldridge budgeted $32,000 ($5), but is flat and has fewer Stormwater issues causing icing. Also, LeClaire likely has higher expectations for snow removal downtown than other cities.
- **All Above:** LeClaire budgeted $541,089 ($129 per capita) on Roads, Traffic, and Snow, while the five cities budgeted from $291,446 (West Liberty) to $817,094 (Eldridge), averaging $511,999 ($114), basically the same as LeClaire. Cost accounting practices and local circumstances likely explain the program differences (e.g., Traffic and Snow lower, but Roads higher than LeClaire).

The level of **Parks, Recreation, Museum, Community Center, Paths and Trails, and Other Recreation funding** is interesting across the cities. LeClaire budgeted $124,511 ($37 per capita) in FY 2016, while the five cities budgeted $94,594 (Camanche) to $534,264 (Dyersville), averaging $346,092 ($77), or three times LeClaire.

PW1: Public Works-Strategic Direction: As a small city, LeClaire naturally has a more

informal approach to strategic and functional business planning than larger cities. Current planning efforts in areas related to public works and utilities have some strong spots, but can be improved as follows. (Mayor, City Administrator, and DPW Supervisor)

a) **Functional Business Plan:** Over time, we recommend the Public Works Supervisor develop a simple functional business plan for general and wastewater operations. Elements of the plan would include:

1) **Mission Statement** (for example, "*Provide responsive, efficient, and cost-effective services in a manner that safeguards the public, accommodates ease of use, provides aesthetic enjoyment of public areas, maintains and protects public property, provides for existing and future infrastructure needs, and protects the environment.*")
2) **Values Statement** (see Values Section of the Technical Report)
3) **Service Delivery Structure** assessment (What does the PWD do and what is contracted or performed by another public agency?)
4) **Operational Goals** for the next three years (in each major service area)
5) **Operational Objectives** for the next year (in each major service area)
6) **Performance Measures** for key activities (see Attachment C)

b) **Operations Plan:** In addition, the Public Works Supervisor, with the assistance of PWD staff, should draw on existing activity and time data to identify all work performed by the department, including current backlogs (tree trimming) and work needed to be done, and lay out an annual maintenance and construction program, with man-hour (or contractor) requirements annually, seasonally, and monthly, as well as expected units of service. This activity takes advantage of existing activity/time data to use it to plan out operations and resource needs (e.g., "Managing the Numbers" under Operations that follows).

c) **Capital Planning (also see Chapter III, Finance):** The Public Works Supervisor, with the assistance of the DPW staff and the City Administrator, should develop a ten-year plan for major facility and equipment needs (additions, replacements, upgrades, and major maintenance), with funding options.

d) **Functional and Utility Planning:** Mercer believes the Comprehensive Planning process will be adequate for most public works and utility functions. However, Stormwater needs may require an enhanced study by an engineering firm.

PW2: Public Works-Service Delivery Structure: Mercer believes the current strategy for in-house vs. contracting service delivery is reasonable based on the current staffing level, skill and experience based, and other resources of the Public Works Department. (City Officials, City Administrator, DPW Supervisor and City Attorney)

a) **Contracting Decisions:** We have included Mercer's Decision Matrix for Contracting Services as Attachment B to the Technical Report. This tool is a step-by-step guide to measuring the feasibility and cost-effectiveness of contracting public services. It also can be used for collaborations and consolidations.

b) **Wastewater:** As discussed in Chapter III, Citywide Functions, Mercer is intrigued that the city sold its water system, but not its wastewater system, both for financial and operational reasons. With a small customer base, the city appears to be having difficulty recovering the full cost of wastewater services in the wastewater rates. A detailed review of the benefits and opportunities of selling the wastewater utility is needed. We understand Iowa American is moving into wastewater system operations contracting.

PW3: Public Works-Organization and Staffing (City Officials, City Administrator, and DPW Supervisor)

a) **DPS Organization Plan:**

1) **Supervisor:** The Public Works Supervisor NOT be a member of the union, but a member of management in order to avoid the situation where a union member supervises the work of other union members. The position should be reclassified and renamed as Public Works Manager.

2) **Assistant Supervisor:** The department should formalize a #2 position, likely a MT I or II whose primary job relates to general public works activities and not the wastewater plant and lift stations. The cost of a reclassified position should be minimal as this role is a limited scope activity.

b) **DPW Staffing:**

1) **Staffing Level:** Current staffing appears close to adequate to complete work assigned, but a number of preventative/ongoing maintenance programs have not been implemented or are only partially implemented (see Operations Management that follows), suggesting Public Works may be slightly understaffed.

2) **Seasonal Help:** From interviews, it appears that Public Works may need an additional person seasonally in the mowing season in order to keep up with other ongoing responsibilities.

3) **Work Planning:** As recommended under Strategic Direction, the Public Works Supervisor should use the existing activity and time data to catalog PWD's workload, including maintenance programs and activities not in place or partially in place, in order to accurately measure annual man-hour requirements.

4) **Operations Plan:** In addition, the recommendation for the Operations Plan will provide data on units of service to be provided annually.

PW4: Public Works-Operations Management

a) **Work Standards:** Review development and construction standards every three years, with a review in the near future to ensure the standards are appropriate for the kind of development coming in the city. (City Engineer)

   Over time, develop a set of brief maintenance standards that cover recurring maintenance activity and describe staffing, equipment, tools, and materials required, as well as time to complete and units of service. As appropriate, enter these standards in *All Max*.

   A starting point for these standards is a complete inventory of assets that DPW maintains. The list earlier in the chapter has a few gaps (e.g., sidewalks, signs, street trees). (Public Works Supervisor and PW Technicians I and II)

b) **Work Planning:** Over time, formalize annual, seasonal, and monthly work in an Operations Plan as described under Strategic Direction. Define times throughout the year when infrastructure inspections and preventative maintenance are performed and how much time is devoted to each activity to ensure these important tasks are completed. (Public Works Supervisor and PW Technicians I and II)

c) **Maintenance Programs:** Define maintenance programs to all ongoing activities and implement the programs and time and funds permit. Develop a list of maintenance program gaps for consideration in the budget process. (Public Works Supervisor)

   Mercer believes the city needs to expand the street maintenance program and to implement a formal equipment maintenance program (also see Resource Management that follows), perhaps using All Max, for all city vehicles.

d) **Operational Supervision:** With the Public Works Supervisor and PW Technicians I and II, supervisory resources are adequate.

   Based on interviews and limited observation, Mercer believes PWD staff uses the work day effectively based on a short, all staff briefing at 7 am, appropriate use of scheduled breaks and lunch, and brief close-down activities.

   Review the benefit of implementing an emergency call-out program that includes all employees.

e) **Operational Effectiveness:** As an extension of operational goals and objectives in the Functional Business Plan described under Strategic Direction, begin to develop performance standards for recurring activities. For example, mowing time at each site and overall.

PW5: Public Works-Resource Management

a) **Budgeting and Finance:** The city should conduct cost of service/rate studies for wastewater and garbage to ensure the cost of these enterprise-like functions are fully covered by fees and rates. The wastewater study is an important element in decision if operating a wastewater system is feasible for the city. (City)

   Based on our understanding of Stormwater issues and needs in the city, creation of a Stormwater Utility, with associated fees, would support the capital and operating needs for this system. If not determined in the update to the Comprehensive Plan, the city may need to conduct a needs assessment for the system that defines needed capital investments. (City)

b) **Facilities:** As noted earlier, each city facility needs a preventative maintenance plan. (Public Works Supervisor)

c) **Equipment:** Mercer supports replacing the loader/backhoe and the plow truck when funds are available.

   Although of interest to PWD staff, greater justification is required before buying a boom/bucket truck and wood chipper. We acknowledge, however, that trimming trees or working on signs while standing on a pickup truck or ladder can be problematic.

d) **Human Resource Management:** Update all job descriptions at least every three years and when job duties change significantly. Immediately review the job description of the person informally serving as #2 to the Public Works Supervisor. (Public Works Supervisor and City Administrator)

e) **Information Technology:** Continue to implement *All Max* with equipment management and public works programs as priority next steps.

f) **Materials Management:** Adequate. No recommendations.

V. IMPLEMENTATION

This chapter of the report presents an Implementation Process, Implementation Issues and Challenges, and Implementation Plan/Scorecard to support implementation of recommendations in the Mercer Report.

The **Implementation Process** began early in the project as the Mercer consultants met with public officials, the City Administrator, department heads, and staff during fact finding activities and the review of emerging issues. The process continued as we presented and reviewed the Draft Reports. The process to implement the Mercer recommendations is based on a structure of Oversight & Management, Technical Actions & Coordination, and Monitoring & Reporting.

The Mayor and the City Administrator are the natural persons to manage and oversee the implementation process, with support from department heads, and periodically report progress to the City Council. Their role would include general oversight of implementation actions; facilitation of meetings and reports; policy development, review, and decisions; contract and agreement review and approval; finance and budgeting; and communications and public relations.

With the Mayor and City Administrator, department heads should serve as the **Implementation Management Committee for the study**. This group would be responsible for development of detailed implementation plans; supplemental analyses that may be required; management and tracking of progress in implementing recommendations; development and implementation of new policies, organization and staffing plans, work processes, and business practices; interagency, interdivisional, and interdepartmental coordination; measurement and presentation of budgetary impacts and changes; and development of implementation activity and performance reports to the City Administrator.

Similarly, department heads, as needed, would organize **Technical Committees for Specific Recommendations within their areas of responsibility.** These committees would include supervisors and employees as required for each recommendation. These committees would have duties similar to the Implementation Management Committee.

The **Implementation Management Committee should receive progress reports from the Technical Committees then provide monthly or quarterly Status/Progress Reports to the City Council for review and action**. These reports would cover progress to date on the implementation of the citywide and department recommendations; issues, obstacles, and changing situations affecting implementation; and upcoming activities in the quarter to follow.

Exhibit 6, Implementation Plan and Scorecard, in Chapter VI, Exhibits and Attachments, of the Technical Report lists implementation actions for each Mercer recommendation. This exhibit is included at the end of the Summary Report.

Organized by chapter and section, the **draft Implementation Plan** provides the following information for each recommendation:

- The number and a short description of the recommendation.
- A reference to the page in the text where the recommendation is discussed.
- A priority Ranking (A, B, or C).
- An estimated completion date.
- The person(s) primarily leading implementation of each recommendation. In many cases, the City Administrator and department heads will do the technical work on the recommendation then review their progress or product with the Mayor and City Council for fine-tuning and approval.
- Comments relating to implementation issues and challenges.
- Mercer's estimate, where possible, of the fiscal impact of each recommendation (costs, savings, or new revenues).

The Implementation Management Committee (Mayor, City Administrator, and department heads) would review and fine-tune the draft plan over the next thirty days and issue a **final Implementation Plan** for City Council approval.

The plan would be used as an **Implementation Scorecard** in the Implementation Management Committee's periodic progress reports to the City Council.

VI. EXHIBITS AND ATTACHMENTS

This chapter of the Technical Report presents Exhibits and Attachments to support findings, analyses, and recommendations in the text of the report. All but one of these documents are found in the Technical Report; the Implementation Plan is included in the Executive Summary.

1.) Three exhibits are inserted in the body of the Technical Report:

1. Mercer's Public Management in Lean Times (Chapter I)
2. Mercer's 50 Management Issues (Chapter I)
3. Mercer's Model for Strategic Planning (Chapter III)

2.) Several other exhibits follow this page in the Technical Report:

Organizational Climate Survey
4a. OCS Results (All Employees)
4b. OCS Results (Supervisors)
4c. OCS Results (Non-Supervisors)
4d. OCS Results (Administration)
4e. OCS Results (Fire)
4f. OCS Results (Library)
4g. OCS Results (Police)
4h. OCS Results (Public Works)

Police Calls for Service (Graphs)
5a. 2015 Police Calls (By Time of Day)
5b. 2015 Police Calls (By Day of the Week)

Implementation Plan and Scorecard
6. Implementation Plan

3.) Three attachments follow the Exhibits in the Technical Report:

A. Master Mercer Employee Survey (Tab 7)

B. Mercer Decision Criteria for Contracting and Collaboration (Tab 8)

C. Performance Measures for Public Services (Tab 8)

City of LeClaire, Iowa

TECHNICAL REPORT

for a

CITYWIDE OPERATIONAL AND SERVICE LEVEL ANALYSIS

City of LeClaire, Iowa

TECHNICAL REPORT

for the

CITYWIDE OPERATIONAL AND SERVICE LEVEL ANALYSIS

THE MERCER GROUP, INC.

1000 Whitlock Avenue
Suite 320-129
Marietta, Georgia 30064

770-425-1775 Phone

www.mercergroupinc.com

August 15, 2016

The Mercer Group, Inc.
Consultants to Management

1000 Whitlock Avenue
Suite 320-129
Marietta, Georgia 30064
770-425-1775 Phone
www.mercergroupinc.com

August 15, 2016

Honorable Ray C. Allen, Mayor
Members of the City Council
Mr. Edwin N. Choate, City Administrator
City of LeClaire, Iowa
325 Wisconsin Street
LeClaire, Iowa 52753

Dear Mayor Allen, City Council Members, and Mr. Choate:

The **Mercer Group, Inc.** is pleased to present the **final Technical Report** for the **Citywide Operational and Service Level Analysis**. An **Executive Summary** of the Technical Report is provided in a separate document.

Overview of the Technical Report

Our Technical Report is based on our proposal of July 29, 2015, and includes this **Cover Letter** and the following **six Chapters.** A more detailed Table of Contents follows.

I. OVERVIEW OF THE PROJECT (with issues to be reviewed)

II. CURRENT SITUATION (with survey results and comparative analysis)

III. CITYWIDE FUNCTIONS (topics affecting all city departments and services)

IV. CITY DEPARTMENTS (Administration, Fire, Police, Library, & Public Works)

V. IMPLEMENTATION (process and plan/scorecard)

VI. SUPPLEMENTAL INFORMATION (exhibits and attachments)

Overview of the Project

The Operational and Service Level Analysis covers all departments and functions of the government of the City of LeClaire, as well as the role of city boards and commissions, local agencies, and regional partners in the delivery of city services.

As requested in pre-proposal meetings and onsite assessment interviews, Mercer reviewed and presented recommendations for the following **topics and questions raised by city officials and senior managers**. Some of these questions will be addressed in detail in the update to the Comprehensive Plan (#5 and #6).

1. Is the City generally spending too much, particularly in comparison to similar area communities, such as Eldridge? Are there cost-saving opportunities?
2. How can the City deal with its current debt load (TIF, Utilities, and Streets)?
3. Is Fire too expensive, particularly related to equipment?
4. Is the City funding too many police officers and police cars?
5. What amenities (parks, athletic fields, recreation center, youth programs, and downtown area) does the community need to expand to improve the quality of life?
6. How is the health of downtown?

To fully understand the city and identify any other issues, we conducted a series of onsite and in-office fact finding and analytical tasks to support preparation of our report:

- Interviewed the Mayor, City Council members, Board chairs, City Administrator, department heads, employees (in one-on-one meetings), and selected stakeholders.
- Reviewed State law, City Code, budget and financial reports, Comprehensive and Strategic Plans, policies & procedures, department-specific data, and other information.
- Compiled the results of Mercer's interviews, employee surveys, and job questionnaires.
- Developed a Comparative Analysis of five Iowa cities similar to LeClaire.

To answer the above questions and more, Mercer also compared information gathered during fact finding to principles in our analytical models for *Public Management in Lean Years*, *50 Management Issues for Organizational Effectiveness*, and *Strategic Planning in the Public Sector* (see **Exhibits 1, 2, and 3** in the text of the report).

The *50 Management Issues* address all city questions, as well as many additional topics in six areas: Governance, Strategic and Functional Business Planning, Service Delivery Structure, Management Organization and Practices, Operations Management and Staffing, and Resource Management (Finance, Personnel, Facilities, Equipment, & Technology).

Five Key Ideas for Guiding the Future of the City

When reviewing the draft and updated draft reports with the Project Steering Committee and then the Mayor and City Council, Mercer emphasized the following key ideas when implementing recommendations in our report and guiding the future of the city:

- **Get High:** We shared two stories that explain the importance of getting high and out of the weeds. First, the exercise of experiencing the limits and horizons when belly-down on the floor and standing on a table. Second, the wide view a college football coach gained from watching practice atop a 2- to 3-story tower rather than standing down among the players and coaches. The same idea in both stories – Get High!

- **Intentionally Define the Future:** We encourage all city leaders to define what they and the community want the city to be in 20 or 30 years so there is a benchmark in place to measure progress. That intentional future is encompassed in the Comprehensive Plan, Strategic Plan, and a series of functional plans (economic development, parks & recreation, downtown/tourism, and more), several of which need to be updated or created.

- **Keep Your Eye on the Future:** We shared the story of a city that had a number of problems (low voter turnout, high turnover in school classrooms, high crime in some areas, and declining building conditions and property values). A "Blue Ribbon Commission" discovered that only about 40% of city homes were owner-occupied and the other 60% were occupied by renters and often owned by absentee landlords. The light bulb came on and the blinders off, and they saw that swopping that percentage was the key to future community development and cohesion. The CEO of a major US company said, "The best leaders have a strong sense of the future and are trying for more."

- **Invest Strategically:** You've used TIF projects to encourage new residential developments, improve downtown, and build new city facilities and infrastructure. You incurred a short-term cost with the diversion of incremental taxes to pay for the associated bonds, but the tables are turning and TIF-area taxes will accrue increasingly to general revenues through 2031, with FY 2019 the tipping point.

- **Be Bold:** The City of LeClaire has been bold in the past and should be in the future despite the stress of some lean years. We told of a developer in Atlanta who bought the old General Motors assembly plant that had been closed for 10 years. The plan for "The Assembly" will result in a $1.5 billion asset, but requires public investment for roads, water and sewer, and transit (a Tax Allocation District funding by TIF). One governmental entity, however, is unresponsive to the idea, wanting to continue to receive small annual increases on $300,000 in current property tax revenues rather than deferring those increases and seeing a ten-fold increase unfold over time.

Summary of Citywide Findings and Recommendations

The Mayor, City Council, City Administrator, and Department Heads should focus on the following **Key Citywide Topics** when implementing recommendations in the Report.

- **Governance:** See Governance sections in Chapters III and IV.
  - Strengthen the role of City Council liaisons to boards, particularly the library, and to functions like strategic planning and economic development (new liaison).
  - Continue work on Mayor/City Council cohesiveness (progress 2015 to 2016).
- **Strategic Direction:** See Strategic Direction sections in Chapters III and IV.
  - Be strategic in all planning processes to create a vision for LeClaire that looks out 20 to 30 years, not just 3 to 5 years. Hopefully, in the Comp Plan update.
  - Update the 2003 Strategic Plan to lay out a clear roadmap toward the vision and to define city and department missions, values, goals, and performance measures.
  - Develop plans for Parks & Recreation, Economic Development, and Downtown.
- **Management Organization:** See Management and Organization & Staffing sections in Chapters III and IV.
  - The City Administrator wears too many hats, management & administrative, so add a Clerk-Finance Officer soon to oversee day-to-day financial operations.
  - Parks & Recreation Director is a key missing position that links to citizen service desires and the Code Enforcement function is too reactive for a tourist city.
- **Budget and Finance:** See Resource Management sections in Chapters III and IV.
  - Budgeting is driven by numbers rather than strategy-driven investments.
  - Compared to five Iowa cities, your tax levy is high, but revenues per mill levied are low, showing the need for a more diverse tax base (mainly commercial).
  - But, General Fund revenues from TIF projects grow steadily through 2031 as TIF projects are paid off, with the breakthrough in FY 2019 ($300k).
  - Per capita operational costs for departments are close to the costs in the five cities.
  - The city is reviewing revenue enhancement and cost containment options.
  - The city lacks a consistent capital projects planning process, particularly for Fire.
- **Resource Management:** See Resource Management sections in Chapter III and IV.
  - Succession Planning is imperative, particularly for the four City Hall positions.
  - Performance evaluations are not conducted, but approved in new union contracts.
  - Facility and equipment management is fragmented across departments.

Summary of Department Findings and Recommendations

The Mayor, City Council, City Administrator, and Department Heads should focus on the following **Key Department-Specific Topics** in implementing recommendations in the Report. A general need in each department is to review the results of interviews and employee surveys with department staff to understand their concerns and define actions to resolve them.

- **Administration:** See Section B in Chapter IV.
  - Develop a strategic business plan with goals and performance measures
  - Create a Clerk-Finance Officer to leverage the City Administrator
  - Develop a succession plan for the four city hall employees near retirement
  - Develop written policies and procedures for city hall services
- **Fire:** See Section C in Chapter IV.
  - Develop a strategic business plan that defines "optimal" fire services
  - Reassess the number of volunteers (now about 30, but may need 35-40)
  - Work with Police and Medic to assess the value of a Public Safety Complex
  - Complete the update to the SOG's then train staff on new elements
  - Keep the ladder truck per the detailed Ladder Truck Analysis
- **Police:** See Section D in Chapter IV.
  - Develop a strategic business plan with mission, goals, and performance measures
  - Maintain present police officer staffing per the detailed Staffing Analysis
  - Review shift schedules and time use for command officers
  - Maintain a six-vehicle police fleet
  - Complete the update to the SOP's
- **Library:** See Section E in Chapter IV.
  - Resolve lingering questions about library-city roles and relationship
  - Use the library strategic planning process to work on these questions
  - Be cautious about reducing library hours in a cost-savings effort
  - Update the city hall-library plaza to make it a more usable space
- **Public Works:** See Section F in Chapter IV.
  - Develop strategic business, operations/maintenance, utility, and capital plans
  - Consider selling the wastewater plant as fees are not covering full cost
  - Increase the city's investment in street and infrastructure maintenance
  - Move the Public Works Supervisor out of the union
  - Add more summer workers based on an analysis of need by the Supervisor

Implementation

Chapter V defines an Implementation Process, Implementation Issues and Challenges, and an Implementation Plan and Scorecard.

- **Implementation Process:** The implementation process is based on a structure of Oversight and Management, Technical Actions and Coordination, and Monitoring and Reporting. The Mayor, as CEO, and City Administration should direct the process with the assistance of department heads. They should submit monthly or quarterly progress reports to the City Council.
- **Implementation Issues and Challenges:** Mercer defines a series of actions, issues, and challenges that the Mayor and City Council, City Administrator, department heads, and (at times) city employees must address to foster implementation of the recommendations in the report.
- **Implementation Plan and Scorecard:** **Exhibit 6** provides a draft Implementation Plan and Scorecard that include a short description of each recommendation, page number references, priority ranking, person(s) responsible for implementation, comments on implementation actions or challenges, and estimated costs, savings, and revenues. In the next thirty day, the Mayor, City Administrator, and department heads will review and prepare a final implementation plan.

* * * * *

Thank you for the opportunity to assist the city on this important project. We appreciate the help of elected officials, local stakeholders, the City Administrator, department heads, and city staff in meeting with our project team, completing surveys and questionnaires, and providing documents and other information.

If you have any questions or require additional information regarding our report, please contact Steve Egan, our project manager and lead consultant, at 770-425-1775 or at segan@mercergroupinc.com.

Very truly yours,

The Mercer Group, Inc.

THE MERCER GROUP, INC.
James L. Mercer, President and CEO
Stephen D. Egan, Jr., Senior Vice-President and Project Manager
Gary Goddard, Senior Vice-President

TABLE OF CONTENTS

Report Chapter and Sections	Page #
I. OVERVIEW OF THE PROJECT	
A. SCOPE OF WORK	1
B. PROJECT ACTIVITIES	6
II. CURRENT SITUATION	
A. OVERVIEW OF THE CITY	7
B. RESULTS OF INTERVIEWS (SWOT ASSESSMENT)	9
C. RESULTS OF MERCER SURVEYS	11
D. RESULTS OF THE COMPARATIVE ANALYSIS	14
III. CITYWIDE FUNCTIONS	
A. GOVERNANCE	31
B. STRATEGIC DIRECTION	35
C. SERVICE DELIVERY STRUCTURE	44
D. MANAGEMENT ORGANIZATION	48
E. RESOURCE MANAGEMENT	51
IV. CITY DEPARTMENTS	
A. OVERVIEW	61
B. ADMINISTRATION	62
C. FIRE	74
D. POLICE	95
E. LIBRARY	113
F. PUBLIC WORKS	130
V. IMPLEMENTATION	
A. IMPLEMENTATION PROCESS	151
B. IMPLEMENTATION ISSUES/CHALLENGES	153
C. IMPLEMENTATION PLAN/SCORECARD	154

TABLE OF CONTENTS

Report Chapter and Sections		Page #
VI.	**SUPPLEMENTAL INFORMATION**	**155+**
A. EXHIBITS (in or follow the main text of the report)		
	Mercer Models for Managing in the Public Sector	
1	**Public Management in Lean Years**	**3**
2	**50 Management Issues for Organizational Improvement**	**4**
3	**Strategic Planning for Public Agencies**	**36**
	Organizational Climate Survey (OCS)	**155+**
4a	**OCS Results (All Employees)**	
4b	**OCS Results (Supervisors)**	
4c	**OCS Results (Non-Supervisors)**	
4d	**OCS Results (Administration)**	
4e	**OCS Results (Fire)**	
4f	**OCS Results (Library)**	
4g	**OCS Results (Police)**	
4h	**OCS Results (Public Works)**	
	Police Calls for Service	
5a.	**2015 Police Calls by Time of Day**	**155+**
5b.	**2015 Police Calls by Day of the Week**	
6.	**Implementation Plan**	**155+**
B. ATTACHMENTS (follow the main text of the report)		
A.	**Master Copy of the Mercer Surveys & Questionnaire**	**155+**
B.	**Decision Matrix for Contracting & Collaboration**	
C.	**Sample Performance Measures in Local Government**	
C. TABLES (in the text of the report)		
1	**LeClaire Financial Data, 2014-2017**	**8**
2	**Summary Results of the Employee Surveys**	**12**
3a/b	**Community Profiles for the Comparative Analysis**	**18-19**
3c/d	**2016 Budget Data for LeClaire and Five Other Cities**	**20-21**
3e/f	**2015 Actual Data for LeClaire and Five Other Cities**	**22-23**
4	**TIF Revenues to General Fund, FY 2017-2031**	**53**
5	**Fire Call Data, 2015 and 5-Year Average**	**74**
6	**FBI 2014 Crimes Rates, LeClaire and Others**	**95**
7	**2013, 2014, 2015 Police Calls for Service**	**103**
8	**Police Officer Schedules by Day and Time**	**105**

I. OVERVIEW OF THE PROJECT

This chapter of the report defines the Scope of Work as agreed upon in our proposal and contract with the City, and lists Project Activities.

A. SCOPE OF WORK

The **scope of work** calls for review, analysis, and recommendations citywide and for all city departments, agencies, and services to cover both City and Mercer study issues.

1.) City Issues

From our pre-proposal conversations with the City Administrator and a meeting with the management team, we understand **the city has "stretched its limits" and needs to assess current City services and operations in order to:**

- Keep up with population growth
- Better define service levels and expectations
- Review the strategic direction as expressed in the aging Strategic and Comprehensive Plans
- Optimize the current organization plan and staffing levels
- Improve efficiency and effectiveness
- Compare city operations to similar local governments
- Identify potential cost savings and investments

Issues to review within city departments include, but are not limited to:

- **Administration/Clerk:** Expand use and availability of electronic records and keep up with information technology needs and services.
- **Fire:** Staffing requirements, including the future need for a few full-time, paid positions; equipment needs; and the impact of call volumes.
- **Library:** Staffing requirements as usage increases and the functionality of the building, considering wear and tear.
- **Police:** Impact of call volumes, staffing needs, the number and specifications of vehicles, and the functionality of a building not designed for a Police Department.
- **Public Works:** Equipment rotation and replacement (fleet management) and staffing levels.

Assessment interviews with the Mayor and members of the City Council early in the project added the following issues and questions to the list of city-defined concerns:

- How can the City deal with its current debt load (TIF, Utilities, and Streets)?
- Is the City generally spending too much, particularly in comparison to similar area communities, such as Eldridge? Are their cost-saving opportunities?
- Is the City funding too many police officers and police cars?
- Is Fire too expensive, particularly related to equipment?
- What amenities (parks, athletic fields, recreation center, youth programs, and downtown area) does the community need to expand to improve the quality of life? Mercer Note: Also a comprehensive plan question. An update to that plan is in process.
- How is the health of downtown?

3.) Mercer Management Study Issues

In addition to these city-identified issues, Mercer reviewed our standard Management Study topics and issues that are presented in the following exhibits:

- **Exhibit 1:** *Public Management in Lean Years* lists six topics and issues that are covered in the assessment of citywide functions in Chapter III. This exhibit follows this page.
- **Exhibit 2:** *Fifty Management Issues for Organizational Improvement* apply both to citywide functions (e.g., issues in governance, planning, service delivery structure, management organization, and resource management) and to each city department (issues in all six of the topical areas). This exhibit follows Exhibit 1.
- **Exhibit 3:** *Strategic Planning in the Public Sector* is our baseline for comparing our preferred model to current planning processes and plan documents. This exhibit is provided in the Strategic Direction section of Chapter III, Citywide Functions.
- **Attachment A:** *Employee Surveys and Questionnaires* were issued to all city employees, with results reported in Chapter II, Current Situation, and Chapter IV, City Departments. Detailed Organizational Climate Survey results are shown in **Exhibits 4** and the master surveys and questionnaire in Attachment A in Chapter VI, Supplemental Information.

  Completed questionnaires were reviewed during individual interviews and department-wide findings (not individual answers) were incorporated into department Strengths, Weaknesses, Opportunities, and Threats (SWOT) Assessments and into organizational assessments in Chapter IV, City Departments.
- **Attachment B:** *Mercer's Decision Criteria for Contracting and Collaboration*, is provided in Chapter VI, Supplemental Information.
- **Attachment C:** *Sample Performance Measures in Local Governments*, also is provided in Chapter VI, Supplemental Information.

Exhibit 1

PUBLIC MANAGEMENT IN LEAN YEARS

Decades before the word "Lean" became an iconic representation of local governments' struggle to maintain services in economic hard times, **Jim Mercer wrote-the-book on how to cope with lean years** by applying cutback management techniques. Along with "*Strategic Planning for Public Managers,"* his 1991 book *Public Management in Lean Years: Operating in a Cutback Management Environment*" continues to provide the foundation for the 50 Management Principles that guide the consulting work of our Management and Organizational Services practice.

As our country struggles with perhaps the greatest economic crisis since the Depression of the 1930's, these **Cutback Management principles can help Mayors and City Councils meet local fiscal and service delivery challenges**. Here's how:

1.) Review Governmental or Functional Consolidation or Collaboration Options: These service delivery alternatives range from full consolidations (City-County or City-Town) to functional consolidations (Police or Fire) to collaboration on specific services (911 Center) to cooperation in funding social services or the arts. Sale of assets, such as a water system, is another option.

2.) Assess Strategic Planning Initiatives: Although many governments have "strategies, goals, and objectives," many lack a full-scope strategic plan based on the Mercer Model, and many more fail to carry down the government plan to department-level and program-level "strategic business plans." Often, therefore, the work of employees and organizational units is not aligned with the government's vision, strategies, and goals.

3.) Define Creative Budgetary Alternatives: Although it is hard to raise taxes, charges, and utility fees in economic hard times, local governments can implement performance-based and other budgetary processes to ensure departments and programs are accomplishing government-defined goals and objectives, operating efficiently and effectively, and giving a solid return on the investment in people, facilities, equipment, and other resources.

4.) Implement Operations and Productivity Improvement: The performance measurement movement is one of many ways to ensure local government operations are productive. But, in addition, governments need ways to assess and monitor the day-to-day and hour-to-hour operational efficiency of staff, units, and programs. We call this "*Managing the Numbers!*"

5.) Identify Needed Technology Investment: For years, utilities have invested in technology to limit staffing requirements in filtration/treatment plants and other facilities. Other local government programs have not necessarily followed that trend to apply Work Management Systems, GIS units on garbage trucks and other vehicles, and hand-held field data recorders.

6.) Improve People Management Processes: Key needs for every government are to retain good employees and develop lower performers. The structure and application of pay plans (including performance-based rewards), benefits packages, organizational development and training programs, performance evaluations, and the like can bring all employees to higher levels of performance and limit turnover with its attendant costs to hire, train, and retain the workforce.

Exhibit 2

FIFTY MANAGEMENT ISSUES

As we do in all our Management and Operations studies, we will review the following **Fifty Management Issues for Organizational Effectiveness** as the analytical foundation for findings and recommendations in our report.

Governance

1. Legal structure/form of government
2. Role of governing and advisory boards and committees
3. Staff support to these boards and committees
4. Policy making and decision making processes
5. Identification of and compliance with legal, regulatory, and policy requirements

Service Delivery Structure

6. Organizational location of services and activities both in and outside the city
7. Interdepartmental cooperation among city government departments
8. Intergovernmental cooperation across the region
9. Use of alternative service delivery opportunities, such as interlocal agreements, contracts, and privatization
10. Comparison with industry best practices, benchmarks, and Mercer's regional and national experience

Planning

11. Strategic planning process compared to the Mercer Model
12. Alignment of vision, values, missions, strategies, long-term goals, and short-term objectives
13. Capital projects planning process, current plans, and plan oversight
14. Financial planning and budgeting processes, documents, and oversight
15. Operational planning processes, current plans, and plan oversight

Management Organization and Practices

16. Senior management organization structure
17. Internal workings of the management team
18. Management reporting and communications
19. Documentation of policies and procedures
20. Customer and stakeholder relations and communications
21. Organizational culture and values
22. Management philosophy and labor-management relations

Operations Management

23. Work standards and specifications
24. Work planning and scheduling
25. Unit organization and staffing
26. Job classifications, roles, and duties
27. Adequacy of facilities, equipment, tools, technology, communications, and materials
28. Unit supervision
29. Unit operations, response times, unit response protocols, productivity, and cost-effectiveness
30. Technical support and administrative support operations
31. Activity and performance reporting and analysis
32. Fire, Rescue, and Emergency management plans and processes

Resource Management

33. Human resources management policies, practices, and processes
34. Training and career development program
35. Safety and risk management program
36. Employee and labor relations

37. Financial management and reporting
38. Financial transactions and processes
39. Project and activity cost accounting
40. Rates, fees, charges, and cost recovery practices
41. Internal service fund operations and charges

42. Information systems management and support services
43. Computer and technology applications (hardware and software)
44. Records management, including documents, mapping, and GIS

45. Purchasing and materials management
46. Warehouse and stores operations

47. Facilities management
48. Facility and grounds maintenance operations

49. Fleet and equipment management
50. Equipment specifications, procurement, and replacement

B. PROJECT ACTIVITIES

To meet the goals of the project and produce deliverables, we conducted the following activities:

- **Kickoff Meeting:** Mercer held kickoff meetings with the prior Mayor, City Administrator, and department heads to go over project issues, the project schedule, and the use and content of employee surveys and questionnaires.

- **Assessment Interviews:** We conducted individual interviews with the former Mayor, members of the City Council, chairs of city boards, and department heads, which included visits to city facilities and a tour of the city. The results of these interviews are compiled in the citywide SWOT Assessment in Chapter II, Current Situation.

- **Department Interviews:** We re-visited each department to interview each employee individually and to review their job analysis questionnaire. In Fire, we held a group meeting with all firefighters on a Training Night then conducted individual meetings with nine members of the Fire leadership team. The results of these interviews are provided in department SWOT and Organizational Assessments in Chapter IV, City Departments.

  We also met or called representatives of service partners, including the Bi-State Regional Commission, Medic Emergency Medical Services, Chamber of Commerce, the City Attorney, the outgoing consulting engineer, the contract operator-in-charge for the wastewater plant, and administrators and police chiefs in comparable cities.

- **Analysis:** We asked city employees and senior firefighters to complete Mercer Group employee surveys and questionnaires. Thirty-five responded. We also collected and compiled financial and operational data on five comparable cities. Results are reported in Chapter II, Current Situation, with selected data in Chapter IV, City Departments.

- **Progress/Status Reports:** We presented progress reports to the project steering committee monthly or at key project milestones, including a review of emerging issues in early February just before we started to write the draft report.

- **Draft Report:** We presented an electronic copy of the Draft Report to the members of the Project Steering Committee and the City Administrator for their review and comment. The purpose of this draft was to correct factual errors, ensure all important topics are adequately covered, and ensure findings and recommendations are presented clearly.

- **Updated Draft Report:** After meeting with the steering committee, we conducted supplemental analyses on comparative communities, updated the entire Technical Report based on committee comments, and prepared a separate Executive Summary. We then met with the City Council and departments to review the Updated Draft Report.

- **Final Report and Presentation:** After a few more updates, we issued the final Technical Report and Executive Summary, and made a Final Presentation.

II. CURRENT SITUATION

This chapter of the report provides an Overview of the City, summarizes the Results of Interviews and Employee Surveys, and presents the results of the Comparative Analysis.

A. OVERVIEW OF THE CITY

1.) City of Le Claire

The city is a small (4.2 square miles), but **fast-growing part of the Quad Cities area, with an estimated 2016 population of 4,200**, which is over 40% larger than the population in the 2000 U.S. Census. The population is expected to grow at a similar rate over the next decade. The city is an historic Mississippi River town that was incorporated in 1834 and is renowned as the birthplace of Buffalo Bill and the headquarters for TV show *American Pickers*. The city is known as the town "where the river pilots lived."

2.) City Government

The city provides a **wide range of municipal services**, including administration, fire, library, parks & recreation, planning & zoning, police, public works, sewer utility, solid waste, and tourism.

The city is **governed by a Mayor, who serves as the city's CEO, and five-member City Council** with day-to-day management by the **City Administrator**, who oversees Administration, Fire, Library, Police (Mayor supervises the Chief), and Public Works. City boards, committees, and commissions are the Planning & Zoning Commission, Zoning Board of Adjustment; Parks and Recreation Commission; Library Board; and Tourism Board.

The **FY 2017 budget** anticipates $12,296,482 in revenues across all funds to support government activities and business/enterprise services. The total property tax levy is 14.29798, which is a bit lower than the prior three fiscal years, and the Regular General levy is consistently 8.10. Regular valuations have increased over 19% since FY 2014.

FY 2017 budgeted expenditures total $14,904,524, with over 92% for government activities (administration, fire, library, police, and non-utility public works activities). The budget funds twenty-one full-time and five part-time city employees in four departments: Administration (4 FT), Library (3 FT + 2 PT), Police (7 FT + 2 PT), and Public Works (7 FT + 1 PT). In addition, thirty-one volunteer firefighters are paid via a stipend (Chief) or on points-earned (Chief & Firefighters).

Table 1 that follows shows **financial data for fiscal years 2014 through 2017**, with data from the city's FY 2017 (2017, 2016, and 2015 data) and FY 2016 (2014 data) reports to the State of Iowa.

Most **city facilities**, particularly the city hall/library complex, public works yard, and wastewater treatment plant, have been replaced or upgraded over the past decade.

Table 1

2014, 2015, 2016, and 2017 Financial Data for LeClaire

DATA ELEMENT	2017 BUDGET	2016 RE-ESTIMATED	2016 BUDGET	2015 ACTUAL	2014 ACTUAL
Regular Valuation	$99,935,041	$92,230,556	$92,230,556	$88,360,661	$84,550,303
Valuation Growth	8.35%	4.37%	4.37%	4.51%	.98%
Total Tax Rate	14.29798	14.29804	14.29804	14.47264	14.47264
Revenues/Mill Levied	$ 110,613	$ 95,892	$ 95,742	$ 90,037	$ 84,215
Revenues	***$12,296,482***	***$18,296,365***	***$12,472,301***	***$16,485,549***	***$21,104,128***
Net Property Taxes	1,581,547	1,370,339	1,368,925	1,306,379	1,220,915
TIF Revenues	4,553,692	4,244,378	4,244,272	3,790,417	3,670,713
Utility Excise/Franchise	91,330	93,364	93,364	110,041	65,969
Hotel/Motel	241,437	241,224	241,224	237,384	238,910
Other Local Option	560,000	551,840	560,000	553,419	536,467
License/Permits	11,825	11,869	13,900	13,589	13,656
Use of Money	198,717	164,009	66,936	77,187	90,547
Intergovernmental	593,916	557,047	524,171	525,955	434,176
Sewer	757,260	689,660	746,150	673,162	714,568
Garbage	290,220	290,220	290,250	286,732	277,603
Stormwater	17,500	23,727	20,085	27,967	0
Other/Miscellaneous	110,628	1,130,263	1,161,972	133,671	4,184,215
Operating Transfers In	651,784	931,806	779,145	779,576	814,356
TIF Transfers In	2,098,626	1,997,989	1,997,989	1,892,514	1,867,571
Debt Proceeds	490,000	5,940,000	1,355,000	6,055,000	6,910,000
Asset Sales	48,000	58,600	55,000	22,556	64,462
Total Expenditures	***$14,904,524***	***$11,443,859***	***$10,019,121***	***$ 9,260,347***	***$14,891,068***
Government Activities	***$13,779,629***	***$10,413,785***	***$ 9,082,282***	***$ 8,205,058***	***$13,694,283***
Public Safety	988,610	1,592,191	1,612,486	928,580	938,692
Public Works	991,361	1,889,394	948,655	877,576	4,802,222
Culture & Rec	413,868	359,366	359,089	331,529	342,544
Community/Econ. Dev.	2,644,895	2,343,274	2,332,908	2,043,072	2,182,323
General Government	311,148	337,869	317,547	300,276	271,933
Debt Service	8,042,497	3,238,057	2,887,697	2,893,989	4,409,261
Capital Projects	387,250	653,634	625,900	830,036	747,308
Business Activities	***$ 1,224,895***	***$ 1,030,074***	***$ 936,839***	***$ 1,055,289***	***$ 1,196,785***
Sewer	1,224,895	1,030,074	936,839	1,055,289	1,196,785
Garbage	Public Works	Public Works	Public Works	Public Works	Public Works
Stormwater	Public Works	Public Works	Public Works	Public Works	Public Works
Utility Debt/Capital	Government	Government	Government	Government	Government
Transfers Out	***$ 2,750,410***	***$ 2,929,795***	***$ 2,777,134***	***$ 2,672,090***	***$ 2,681,927***
Expend. + Transfers Out	***$17,654,934***	***$14,373,654***	***$12,796,255***	***$11,932,437***	***$17,572,995***
Change in Fund Balance	***$ (5,358,452)***	***$ 3,922,711***	***$ (323,954)***	***$ 4,553,112***	***$ 3,531,133***

B. RESULTS OF INTERVIEWS (SWOT Assessment)

Key strengths, weaknesses, opportunities, and threats are compiled from interviews with the Mayor, City Council members, board/committee members, and the City Administrator. They represent their perspectives at the time of the interview.

Mercer Note: As in other Mercer studies, these perceptions may be fully accurate, once accurate but now out-of-date, or incorrect. The SWOT Assessment is used as a starting point for issues to be analyzed during the Mercer study process.

- **Strengths:**
  - Small town atmosphere (safe, easy to get around)
  - Community involvement and volunteerism
  - Tourism, downtown, American Pickers, events, excellent school system
  - Growth (helped by residential TIF) with higher levels of development
  - Investment in city facilities (e.g., city hall, library, public works facility, wastewater treatment plant, streets, downtown streetscape)
  - City administrator, department heads, and staff
- **Weaknesses/Areas for Improvement:**
  - Council needs to be more cohesive, as well as more proactive
  - Council needs more activity/performance information from city departments
  - Should the police chief report to the Mayor or to the city administrator?
  - Is the city attentive enough to areas outside of downtown (appearance, streets)?
  - Strategic Plan aging and goals accomplished; no mission, vision, values
  - Because LeClaire is unique, it's hard to compare to other communities
  - Need resources closer, like hardware store, Farm & Fleet, Lowes
  - Impact of current debt level (due to TIF, wastewater, and streets)
  - Are we overspending (e.g., # police officers and vehicles, fire apparatus)?
  - Lack of a comprehensive, long-term capital improvement plan
  - Poor street conditions in some areas (lack streetlights, sidewalks, and good construction standards)
  - Limited parks facilities (e.g., ballfields, updated recreation center) and recreation programs, particularly for kids
  - Overly generous employee benefits, such as health care, and lack of performance evaluations (both are addressed in the most recent union agreements)

- **Opportunities/Challenges:**
  - Population growth
  - Comprehensive Plan update in process (Bi-State Commission), along with subdivision and zoning ordinances
  - Be more visionary in city planning and zoning
  - Infill and redevelopment above Downtown
  - Historic district and historic home ordinance
  - Create a Parks, Recreation, Open Space, and Paths Plan
  - Extend and enhance downtown
  - Boat between Port Byron, Princeton, and LeClaire
  - Improve the condition of the street network
  - Add a light industrial park (but a new interchange is a precursor)
  - Debt begins to roll off in 2018 through 2026
  - Improve the budget process to foster financial decision-making and to create a clear plan to work through financial issues (e.g., fees and rates, assessments for street improvements, tax rate goals, more grants)
  - Conduct a survey (e.g., ICMA's National Citizens Survey) to measure citizen assessment and expectations
  - Challenge of replacing the very experienced city administrator in the not too distant future, particularly as he plays many key roles in managing the city
  - Sell the wastewater system to the water company
  - Contract additional city services
  - Expand use of electronic records and keep up with information technology
- **Threats:**
  - Financial stress
  - Another recession
  - Lack of civility and respect
  - Competition from other nearby communities

C. RESULTS OF MERCER SURVEYS

Mercer asked employees in Administration, Fire, Library, Police, and Public Works to complete the following five surveys, a Job Duty Questionnaire, and a Management Philosophy Profile (supervisors only). **Attachment A** in Chapter VI shows the **master copy of the survey document**. **To understand survey scores, it is helpful to have the survey document in hand.**

- **Values:** Asks if a departmental Values Statement has been prepared, if employees had a role in its preparation, if it is posted, and if defined (or other) values are lived on a daily basis. Also, asks employees to list current values from a sample of other governments. **Mercer expects** "Yes" scores to be at least twice the number of "No" scores.

- **Organizational Climate (OCS):** Presents sixty statements relating to the health of the internal culture that employees score as Strongly Agree, Agree, Undecided, Disagree, or Strongly Disagree. Scores are compiled for 12 subscales: Career Opportunities, Compensation & Benefits, Employee Involvement, Information & Communications, Management Competence, Organizational Goals, Productivity & Service, Quality Emphasis, Receptivity to Change, Working Conditions, Problem Solving (by managers), and Work Group Coordination (among employees). **Mercer expects** minimum scores to be Over 50% Agree + Strongly Agree and Under 40% Disagree + Strongly Disagree.

  Exhibits 4 in Chapter VI show the detailed results of the Organizational Climate Survey (OCS) for all employees, all supervisors, all non-supervisors, and the five departments.

- **GRIPES/Management Practices:** Asks employees to rate 14 factors on a scale of 1=Poor to 5=Excellent in the areas of Growth, Respect, Information, Potential Tapped (rated as a percentage from 0 to 100%), Empowerment, and Support. **Mercer expects** minimum scores to be at or over 3.0=Adequate and at or over 60% Potential Tapped.

- **Resources:** Asks employees to rate nine factors on a scale of 1=Poor to 5=Excellent: Staffing, Facilities, Vehicles, Tools, Gear, Office Equipment, Computers, Materials, and Other Resources (e.g., training, contractual assistance). **Mercer expects** minimum scores to be at or over 3.0=Adequate.

- **Personnel Practices:** Asks employees to rate ten factors on a scale of 1=Poor to 5=Excellent: Hiring Process, Career Ladders, Training, Grievances, Discipline, Performance Evaluations, Pay, Benefits, Labor Relations, and Morale. **Mercer expects** minimum scores to be at or over 3.0=Adequate.

Overall results of the surveys are shown on Table 2 that follows, with an in-depth discussion of each department's scores provided in Chapter IV. Scores under Mercer's Minimum Standards (see last row on the table) are **bolded**. Note that although thirty-five employees completed the survey, not every employee completed every question on each survey.

Table 2

Summary of the Results of Employee Surveys

DEPARTMENT	Values	OCS	GRIPES	Resources	Personnel
Administration (4 surveys)	**5 Yes** **18 No** **1:3.6**	60.42% Agree 21.67% Disagree 12.14% Undecided	**2.33** 75.0%	4.23	**2.65**
Fire (9 surveys)	**8 Yes** **23 No** **1:2.9**	59.24% Agree 20.19% Disagree 20.27% Undecided	**2.96** 82.5%	3.29	**2.80**
Library (4 surveys)	**10 Yes** **8 No** **1:.8**	78.67% Agree 3.75% Disagree 17.58% Undecided	3.20 84.0%	3.21	**2.97**
Police (10 surveys)	**13 Yes** **24 No** **1:1.8**	69.75% Agree 12.50% Disagree 17.75% Undecided	3.27 82.5%	3.27	3.30
Public Works (8 surveys)	**2 Yes** **29 No** **1:14.5**	**45.21%** Agree **40.00%** Disagree 14.79% Undecided	**1.96** 65.7%	3.42	**2.81**
All Employees (35 surveys)	**38 Yes** **102 No** **1:2.7**	66.19% Agree 21.67% Disagree 12.14% Undecided	**2.78** 78.0%	3.42	**2.95**
Supervisors (7 surveys)	**7 Yes** **22 No** **1:3.1**	71.43% Agree 18.33% Disagree 10.24% Undecided	**2.8**7 76.7%	3.82	**2.74**
Non-Supervisors (28 surveys)	**31 Yes** **80 No** **1:2.6**	64.88% Agree 27.08% Disagree 12.62% Undecided	**2.76** 78.4%	3.28	3.02
MERCER STANDARDS **-Minimum**	Yes 2x No (2:1)	50% Agree and 40% Disagree	3.0 / 60%	3.0	3.0
-High Performance	Yes 4x No (4:1)	60% Agree and 30% Disagree	4.0 / 70%	4.0	4.0

Notes and Comments

(1) Scores below Mercer's Minimum Standards are **bolded**
(2) Numeric scores under 2.5 are deemed "Problematic"
(3) Percentage score on GRIPES is for "Potential Tapped," not Productivity
(4) Personnel Practices scores tend to be .5 to 1-point below Resources scores
(5) Supervisors typically have higher (more positive) scores than Non-Supervisors
(6) Public Works often has lower scores than other departments
(7) Compensation scores often are low and a recurring employee concern

Except for Values, the overall results of the employee surveys were positive, with some exceptions as noted below. Supervisors are slightly more positive than Non-Supervisors on the OCS, GRIPES, and Resources surveys, but less positive on Personnel Practices.

- **Values:** The surveys show that none of the five departments, or the city, has a Values Statement in place. However, all departments, but Public Works, state they live by a set of values and give 6 to 8 examples based on the sample values in the survey document.

- **Organizational Climate:** Scores are positive, except for lower scores on two subscales: Career Opportunities (typical in a smaller government) and Compensation & Benefits (often low scores and likely Compensation rather than Benefits). Detailed results are provided in **Exhibits 4a thru 4h** in Chapter VI. A few other scores are below our Minimum Standard of 50% Agree:
    - **Administration:** Work Group Problem Solving (among managers) and Work Group Coordination & Cooperation (among employees).
    - **Fire:** Managerial Competence.
    - **Public Works:** Understanding Organizational Goals, Work Group Problem Solving (by managers), Receptivity to Changes, and Employee Involvement.

- **GRIPES/Management Practices:** Scores varied by department. Fire (2.96), Library (3.20) and Police (3.27) are at or above Mercer's Minimum Standard of 3.0, but Administration (2.33) and Public Works (1.96) are problematic (below 2.5). All departments scored well above our Minimum Standard of 65% on the Potential question.

- **Resources:** Overall department scores were positive, except for a few factors:
    - **Fire:** Other Resources, likely training (2.66), Vehicles (2.77, but a new apparatus is coming soon), and Computers (2.88)
    - **Library:** Office Equipment (2.5), perhaps shelves, and Other Resources (2.66)
    - **Public Works:** Other Resources (2.7)

- **Personnel Practices:** Except Police, scores were a bit below Mercer's Minimum standard of 3.0, but none were problematic (below 2.5). Some scores were very low:
    - **Administration:** Training and Performance Evaluations (both 1.0) and Career Ladders and Pay (both 1.66)
    - **Fire:** Pay & Benefits (both 1.57) and Labor Relations (2.4)
    - **Library:** Pay (2.0), Career Ladders and Training (both 2.5), and Performance Evaluations (2.66)
    - **Police:** Pay (1.44) and Career Ladders (2.55)
    - **Public Works:** Training and Performance Evaluations (both 2.0), Discipline (2.375), and Morale (2.5)

D. RESULTS OF THE COMPARATIVE ANALYSIS

This section of the report summarizes our analysis of five comparable Iowa cities (Camanche, Carlisle, Dyersville, Eldridge, and West Liberty). Additional comparative information is provided in Chapter IV, City Departments, where applicable to specific findings, analyses, and recommendations (e.g., police staffing and library hours).

1.) Methodology for the Comparative Analysis

(a) SELECTION PROCESS

Our selection process for comparable cities included the following three steps:

1. **City Suggestions:** We received eight suggestions from the Mayor and members of the City Council in early-project and follow-up interviews (Adel, Cresco, Dewitt, Dyersville, Eldridge, Maquoketa, Polk City, and West Liberty). We eliminated Dewitt (5,322) and Maquoketa (6,141) because they are much larger than LeClaire.

   We also received suggestions from the city's management team in the form of a spreadsheet with a list of thirty-one (31) cities from 3,361-population (Galena) to 7,479-population (Silvis). The City Administrator and each department head identified their top four cities for inclusion in the comparative analysis. The seven cities with two or more votes were Asbury (2), Dyersville (2), Emmetsburg (2), Sergeant Bluff (3), Carter Lake (2), Eldridge (2), and Dewitt (2).

   Only three cities were suggested by both elected and appointed officials: Dewitt (too large), Dyersville (similar size), and Eldridge (larger but nearby).

2. **IML and ISU Research:** From data on the websites of the Iowa Municipal League and Iowa State University's *Iowa Community Indicators Program* (ICIP), we identified twenty-two (22) Iowa cities with populations between 3,500 and 4,500 as of the 2010 US Census and the 2014 US Census estimate. In alphabetical order, these cities are Adel, Albia, Asbury, Bondurant, Camanche, Carlisle, Carter Lake, Chariton, Cresco, Dyersville, Eagle Grove, Emmetsburg, Forest City, Hampton, Jefferson, LeClaire, Monticello, New Hampton, Osage, Sergeant Bluff, Waukon, and West Liberty.

3. **Website Research:** We conducted online research, including visiting city websites, for each of the above cities to review the key indicators of comparability to LeClaire from interviews with elected officials and the management team:
   - Location in the state (must be in eastern Iowa)
   - Distance to a larger city like Davenport (near but not touching)
   - Population change since 1990 (growing)
   - Tourism, visitor, and recreational center (a major community factor)
   - On or near a river or a lake (a less important factor)

(b) COMPARABLE CITIES

From our initial research, Mercer selected the five cities for the comparative analysis and included data for these cities in the draft report: Camanche, Carlisle, Carter Lake, Eldridge, and Sergeant Bluff.

After reviewing the draft report, the Project Steering Committee asked us to drop Carter Lake and Sergeant Bluff because both are located in far western Iowa and Carter Lake is too close to large cities (Omaha and Council Bluffs).

Reviewing our earlier research, Mercer eliminated the following cities:

- **Adel:** West of Des Moines, county seat, and limited tourism.
- **Asbury:** Commuter city, few local businesses, and small (2.7 square miles)
- **Bondurant:** Near Des Moines, larger (8.4 square miles), and limited tourism.
- **Cresco:** Low/no growth and nearest large city (Rochester) is 48 miles north.
- **Dewitt:** Rural, larger (5,322), and nearest city (Clinton) is smaller than Quad Cities.
- **Emmetsburg:** Northwest Iowa, county seat, and losing population.
- **Hampton:** Central Iowa (north of Waterloo), limited growth, and county seat.

We then identified **four prime candidates to replace Carter Lake and Sergeant Bluff**, and ranked them according to our interpretation of the selection criteria on the prior page:

1. **Dyersville:** Eastern Iowa, 22 miles west of Dubuque. Population of 4,058 and growing. Area of 5.64 square miles. Tourism from the "Field of Dreams," Farm Toy Museum, and Basilica of St. Francis Xavier. On the North Fork of the Maquoketa River.
2. **West Liberty:** Eastern Iowa, 17 miles east of Iowa City. 5 miles off I-80. Population of 3,736 and growing. Area of 1.74 square miles (smaller than LeClaire). Less tourism than LeClaire (County Fair and events). Strong economic development program.
3. **Mount Vernon:** Eastern Iowa near Lisbon. Population of 4,506 and growing. Area of 3.5 square miles. Cornell College may make it different than LeClaire. One of "America's Coolest Small Towns" (*Budget Travel Magazine*, October 2009)
4. **Polk City:** Although located in central Iowa (north of Des Moines and 10 miles from Ankeny) and a bit smaller population (3,418), the city is the same size as LeClaire (4.27 square miles), growing in population, and a tourist destination due to Saylorville Lake, Big Creek State Park, and an Arnold Palmer golf course.

The Project Steering Committee approved the addition of Dyersville and West Liberty to Camanche, Carlisle, and Eldridge for the updated draft report.

(c) DATA ELEMENTS

From FY 2016 state budget reports (available for all cities), city websites, and phone calls to the cities, Mercer collected the following information for the comparable cities:

- **Demographics:** The US Census Bureau provided data on population from 1970 to the 2014 estimate, and each city's size in square miles.

  Mercer Note: As LeClaire's population increased from 2014 to 2016 (3,923 to 4,200), Mercer estimated 2016 populations from each city's population growth from 2010 to the 2014 estimate, and used the 2016 estimate in calculating costs per capita on Table 3b.

- **Government and Community:** What is the form of government? What are the roles of the Mayor and City Administrator/Manager? What county are the cities in and what school district? What are major community assets (tourism and intangibles)? What do departments do and what resources are provided, with a focus on staffing?

- **Planning:** Have the cities developed Strategic and Comprehensive Plans? If so, when were they prepared?

- **Budget and Finance:** 2015 and 2016 valuations, tax rates, revenues, and expenditures are from the FY 2015 and FY 2016 reports to the State of Iowa (Form 635). Mercer then conducted several cost per capita calculations.

  Mercer Note: The City Administrator gave us the FY 2017 state report for LeClaire, which is included in Table 1. The FY 2017 reports for comparable cities have not yet been posted online by the Iowa Department of Management, so we used the FY 2015 and FY 2016 reports for the comparative analysis.

  Mercer Note: State reports show that revenues and expenditures, particularly for debt service and capital projects, change significantly year-to-year.

- **Economic Development and Downtown:** Economic Development programs, organizations, and revenue sources for the entire community and/or downtown.

- **Fire:** Full-time or volunteer/paid-on-call department. Number of firefighters. Annual Fire and EMS calls for service in 2014 and 2015.

- **Police:** Number of sworn police officers (from Internet research and calls) and personal and property crimes (from 2014 FBI data). Then Mercer calculated sworn officers per 1000-residents and crimes per 1000-residents. Annual calls for service in 2014 and 2015.

- **Library:** City or county service, hours open, and staffing (from State Library reports)

- **Recreation:** Major facilities, services, and staffing (from Internet research and calls).

- **Utilities:** What utilities do the cities operate? Have they implemented a formal Stormwater utility with fees?

2.) Profiles of the Comparable Cities

Profiles of the five communities are summarized below with Community Profiles in **Tables 3a/3b,** FY 2016 Budget Profiles in **Tables 3c/3d**, and Financial Profiles for FY 2015 Re-estimated Expenditures in **Tables 3e/3f**. Note that places where the comparative cities have unusual size, service, or financial characteristics in relation to LeClaire are **bolded** in the tables.

- **Camanche:** Located north of LeClaire in Clinton County on the Mississippi River. Camanche is only slightly larger in population (4,358), but twice the size in area (9.4 square miles). Up and down growth over 40 years. Strong ties to City of Clinton and its assets/services (6.5 miles away). Mayor-Council form of government with a city administrator. Distinguishing governmental features are building inspections, city clerk position, three FT firefighter/paramedics (weekdays), city library, and civil service board.

- **Carlisle:** Located in Warren and Polk Counties in southcentral Iowa and 26 miles southeast of Des Moines. Carlisle is slightly smaller in population (3,766) and slightly larger in area (5.6 square miles). Moderate growth over 40 years. Mayor-Council form of government with a city administrator. Distinguishing features are part-time firefighters for weekday medical response, part-time parks & recreation staff, aquatics center, soccer club, a nature park, and access to I35/I80 and the Des Moines airport.

- **Dyersville:** Located 22 miles west of Dubuque in Dubuque & Delaware Counties. The city is similar in population (4,149) and area (4.60 square miles). Slow growth over 40 years. Home to the "Field of Dreams," National Farm Toy Museum, and the Basilica of St. Frances Xavier. Mayor-Council form of government with a city administrator. Distinguishing features are a 2014 strategic plan, clerk-treasurer position, regional fire responsibilities with funding, aquatics center, Economic Development Corporation (with an executive director position), hospital, general aviation airport, and medical center.

- **Eldridge:** The city is located in Scott County above Davenport and Bettendorf, just off I-80. Eldridge is 18 miles from LeClaire. The city is much larger in both population (6.162) and area (9.5 square miles). Fast growth over 40 years. Mayor-Council form of government with a city administrator. Distinguishing governmental features are an assistant city administrator (who also may serve as the city clerk), electric utility, city library, and 2010 strategic plan.

- **West Liberty:** Located in Muscatine County in eastern Iowa with nearby (5 miles) access to I-80. West Liberty is slightly smaller in population (3,733 in 2014) and area (1.74 square miles). Moderate growth over 40 years. Home to the County Fairground, a train depot/museum, and elementary, middle, and high schools. Mayor-council form of government with a city manager. Electric utility and city library. Eight parks include a pool and sport complex with a Parks & Recreation Director position. Robust economic development program ("We Lead") in partnership with the Chamber of Commerce (executive director position).

Table 3a

Profiles of Population, Area, Governance, Tourism, and Assets

DATA ELEMENT	LECLAIRE	CAMANCHE	CARLISLE	DYERSVILLE	ELDRIDGE	W. LIBERTY
2016 Estimate	4,200	4,358	**3,766**	4,200	**6,400**	**3,733**
2014 Population	3,923	4,358	3,766	4,149	6,162	3,733
2010 Population	3,765	4,448	3,876	4,058	5,651	3,736
2000 Population	2,847	4,215	3,497	4,035	4,159	3,332
1990 Population	2,734	4,426	3,241	3,703	3,378	2,935
1980 Population	2,899	4,725	3,073	3,825	3,279	2,723
1970 Population	2,520	3,470	2,246	3,437	1,535	2,296
Growth Rate	Moderate	**Up/Down**	Moderate	**Slow**	**Fast**	Moderate
Area (Sq. Miles)	4.2	**9.43**	5.6	5.64	**9.5**	**1.74**
Density/Sq. Mile	934.0	**463.6**	**672.5**	**735.6**	**648.6**	**2,145.4**
Mayor	CEO Supervises 2-year term	CEO **Monitors** 2-year term	CEO Supervises **4-year term**	CEO Supervises 2-year term	CEO **Monitors** **4-year term**	CEO **Monitors** 2-year term
City Council	5 At Large 4-year term	5 At Large 4-year term	5 At Large 4-year term	**2 At Large** **3 Ward** 4-year term	5 At Large 4-year term	5 At Large 4-year term
Management	City Admin Administers	City Admin **Supervises**	City Admin Administers	City Admin Administers	City Admin **Supervises**	City Manager **Supervises**
County	Scott	Clinton	Warren & Polk	Dubuque & Delaware	Scott	Muscatine
Nearest Big City	Bettendorf 9 Miles	Clinton 6.5 Miles	Des Moines **26 Miles**	Dubuque **22 Miles**	Davenport Adjoins	Iowa City **17 Miles**
School District And Schools in the City	Regional District 2 EL & JH	Community District EL, MS, HS	Community District EL & HS	Regional District EL	Regional District EL, JH, HS	Community District E, MS, HS
Tourism	Downtown River City Am. Pickers Tugfest Levee	River City Museum Path/Trail	Des Moines Attractions	"Field of Dreams" Farm Toys Museum	Downtown Events	Downtown County Fair Museum RR Depot Movie House
Other Community Features And Assets	Small Town History Buffalo Bill I-80 Access	Small Town **Clinton assets are nearby**	Small Town Near I35/I80 Major Airport	Small Town **Hospital** GA Airport	Small Town **Low Taxes** **Valuation**	Small Town **Ind. Park** Turkey Plant 53% Latino
Strategic Plan	Yes (2007) No Mission	No No Mission	In Comp Plan Yes	Yes (2014) Yes	Yes (2010) Motto	Annual G&O No Mission
Comp Plan	2016 Update	Yes (2000)	Yes (2010)	Yes (2003)	Yes (2011)	2016 Update

Table 3b

Profiles of City Government Costs Per Capita and Services

DATA ELEMENT	LECLAIRE	CAMANCHE	CARLISLE	DYERSVILLE	ELDRIDGE	W. LIBERTY
2016 Population	4,200	4,358	3,766	4,200	**6,400**	3,733
2016 Cost/Capita	***$2,385***	***$1,212***	***$2,609***	***$1,380***	***$2,089***	***$3,013***
-Net Govt Ops	**770**	**700**	**734**	**646**	**524**	**762**
-Comm/Econ Dev	**555**	6	6	69	36	0
-Capital Projects	149	162	655	52	299	0
-Debt Service	**688**	110	299	146	102	129
-Business Services	223	234	**915**	467	**1,128**	**2,122**
Administration	Deputy City Clerk	**City Clerk**	Deputy City Clerk	**City Clerk-Treasurer**	**Asst. Adm. City Clerk**	**City Mgr City Clerk**
Downtown Imp. District	Merchants & Prop Owners	No real Downtown	No, but considering	No	**DT Plan (2012)**	**DT Task Force**
Economic Development	Chamber of Commerce Sub-Comm.	**Clinton Reg. Dev. Corp. (3 staff)**	**County ED Corp.**	**ED Corp. Ex. Director**	Chamber of Commerce **ED Ad Bd**	**Ind. Park "We Lead" Rev. Loans**
TIF	Yes	Limited (1)	Limited	Yes	Yes	Limited
Fire	Volunteer 31 FF	**3 FT (M-F)** +Volunteers	**4 PT (M-F)** +Volunteers	Volunteer 40 FF **Regional Svcs + $**	Volunteer 40 FF	Volunteer 25 FF FT EMS Coordinator
Police Sworn Officers	7.5 FTE 7 FT 2 PT	7.5 FTE 7 FT (8 past) 5 Reserve	6.5 FTE 6 FT 2 PT 2 Reserve	7.0 FTE 6 FT 3 PT 2 Summer	9.3 FTE 9 FT 1 PT	6.375 FTE 6 FT 4 PT 4 Reserve
Sworn/1000	1.79	1.72	1.73	1.67	1.45	1.71
2014 Crimes/1000	9.52	12.31	**17.12**	12.29	**4.73**	10.18
Library	City	City	**County**	City	**County**	City
Recreation	35.6 Acres 6 Parks No Staff Rec Center Ball Fields Skatepark	18 Acres 2 Big Parks No Staff Ball Fields **Clinton's HS Pool**	50 Acres 5 Parks **PT Staff** Rec Center **Aquatics** **Soccer Club**	100 Acres 4+ Parks **2 Staff** **Mast. Plan** **Aquatics** **Senior Ctr.**	184 Acres 8 Parks **Mast. Plan** **PT Staff** Comm. Ctr. **Fitness**	120 Acres 8 Parks+Trail **Director Aquatics** Skatepark Sports Comp.
Utilities	S/SW	**W**/S/SW	**E/W**/S/SW	**W**/S/SW	**E/W**/S/SW	**E/W**/S/SW
Stormwater Utility	No	No	No	No	No	No
Other Services		**Bld Permits**	**Police Rpt.**		**Bld. Insp.**	

Table 3c

Revenue Profiles for 2016 Budget

DATA ELEMENT	LECLAIRE	CAMANCHE	CARLISLE	DYERSVILLE	ELDRIDGE	W. LIBERTY
Reg. Valuation	**$92,230,556**	$161,315,557	$122,869,955	$215,680,622	**$294,262,555**	**$83,864,087**
Gen. Fund Levy	8.1000	8.1000	8.1000	8.07033	6.58770	8.10000
Non-Voted/Voted	.66986	0	.56869	0	.10263	.41257
Empl. Ben. Levy	**4.43054**	1.69440	1.57076	0	0	**4.46191**
Debt Svc. Levy	.82764	2.20269	4.40132	1.337728	.13784	2.05409
Cap. Proj. Levy	0	0	0	0	0	0
Total Tax Levy	14.29804	11.99709	**14.64077**	9.40761	**6.82817**	**15.29857**
Tax Revs/Mill	**$ 95,742**	$ 153,337	**$ 123,537**	$ 215,653	**$ 295,307**	**$ 83,750**
Revenues	***$12,472,301***	***$5,761,207***	***$ 10,366,648***	***$ 6,440,695***	***$15,238,999***	***$13,406,004***
Net Prop. Taxes	1,368,925	1,839,598	1,808,679	2,028,775	2,016,404	1,281,398
Delinquent Taxes	0	0	0	0	0	0
TIF Revenues	**4,224,272**	19,000	83,138	627,946	752,000	120,022
Mobile Home	0	0	8,500	0	0	0
Utilities	93,364	150,210	8,073	189,303	58,356	8,774
Hotel/Motel	**241,224**	0	0	84,000	24,000	0
Other Local Opt.	560,000	501,500	5,500	558,210	750,000	390,000
License/Permits	13,900	9,225	128,350	18,950	104,750	17,100
Use of Money	66,936	26,725	35,692	44,850	42,000	19,650
Intergovernmental	524,171	**1,084,451**	**1,554,622**	474,630	**1,429,514**	779,281
Water	0	261,400	530,000	695,338	964,000	654,000
Sewer	746,150	480,125	861,700	952,858	925,900	2,525,500
Electric	0	0	2,558,200	0	5,126,900	5,170,500
Landfill/Garbage	290,250	277,000	211,200	270,035	288,395	421,000
Stormwater	0	0	0	0	0	0
Other Fees/Chgs.	20,085	102,000	199,260	211,800	580,967	175,700
Spec. Assessment	315	0	66,039	10,000	0	0
Miscellaneous	115,575	78,405	63,200	54,700	186,360	149,600
Oper. Transfers In	779,145	931,568	1,232,195	218,300	1,281,133	1,573,457
TIF Loan/Transfer	**1,997,989**	0	59,100	0	708,320	120,022
Debt Proceeds	**1,355,000**	0	958,700	0	0	0
Asset Sales	55,000	0	0	1,000	0	0
Beginning Fund Balance	***$17,774,590***	***$1,971,939***	***$ 4,312,763***	***$ 2,002,674***	***$ 9,338,725***	***$ 4,616,868***
Revenue + Beginning Fund Balance	***$30,246,891***	***$7,733,146***	***$14,679,411***	***$ 8,443,369***	***$24,577,724***	***$18,022,872***

Table 3d

Expenditure Profiles for 2016 Budget

DATA ELEMENT	LECLAIRE	CAMANCHE	CARLISLE	DYERSVILLE	ELDRIDGE	W. LIBERTY
Government Activities	***$ 9,082,282***	***$ 4,259,424***	***$ 6,376,893***	***$ 3,833,873***	***$ 6,152,334***	***$ 3,325,870***
Public Safety	1,612,486	1,702,121	1,164,009	902,077	1,124,015	1,583,591
Public Works	948,655	622,232	648,626	569,546	1,229,024	359,596
Health/Soc Svcs	0	1,375	2,500	1,300	0	0
Culture & Rec	359,089	309,594	508,002	920,872	627,827	769,799
Comm/Econ Dev	**2,332,908**	24,000	21,540	288,900	233,425	0
General Govt.	317,547	415,916	440,273	320,189	373,172	130,636
Debt Service	**2,887,697**	477,186	1,125,743	612,700	649,690	482,248
Capital Projects	625,900	707,000	2,466,200	218,300	1,915,181	0
Business Activities	***$ 936,839***	***$ 1,020,646***	***$ 3,447,637***	***$ 1,960,167***	***$ 7,217,532***	***$ 7,922,737***
Water	**0**	261,730	743,497	466,748	744,740	446,827
Sewer	936,839	447,254	467,994	386,730	868,700	**2,014,617**
Electric	**0**	0	**2,236,146**	0	**4,482,041**	**4,245,682**
Garbage	Public Works	311,662	Public Works	302,420	Public Works	318,875
Stormwater	Public Works	Public Works	Public Works	0	Public Works	0
Other Business	0	0	0	0	273,132	0
Utility Debt	Government	Government	Government	804,269	352,110	896,736
Utility Capital	Government	Government	Government	0	496,809	0
All Activities	***$10,019,121***	***$ 5,280,070***	***$ 9,824,530***	***$ 5,794,040***	***$13,369,866***	***$11,248,607***
Transfers Out	***$ 2,777,134***	***$ 931,568***	***$ 1,291,295***	***$ 218,300***	***$ 1,989,453***	***$ 1,693,479***
Regular	779,145	931,568	1,232,195	218,300	1,281,133	1,573,457
TIF	1,997,989	0	59,100	0	708,320	120,022
All Activities + Transfers Out	***$12,796,255***	***$ 5,950,396***	***$11,115,825***	***$6,012,340***	***$15,359,319***	***$12,942,086***
Ending Fund Balance	***$17,450,636***	***\$ 1,521,508***	***$ 3,563,586***	***$ 2,431,029***	***$ 9,218,405***	***$ 5,080,786***
Beginning Fund Balance	***$17,774,590***	***$ 1,971,939***	***$ 4,312,763***	***$ 2,002,674***	***$ 9,338,725***	***$ 4,616,868***
Change in Fund Balance	***$ (323,954)***	***$ (450,431)***	***$ (749,177)***	***$ 428,355***	***$ (120,320)***	***$ 463,918***

Table 3e

Revenue Profiles for 2015 Re-Estimated

DATA ELEMENT	LECLAIRE	CAMANCHE	CARLISLE	DYERSVILLE	ELDRIDGE	W. LIBERTY
Reg. Valuation	**$88,360,661**	$160,801,632	$122,810,315	$213,624,436	**$289,369,258**	$82,551,742
Gen. Fund Levy	8.10000	8.10000	8.10000	8.07033	6.52281	8.1000
Non-Voted/Voted	.69315	0	.45497	0	0	.59077
Empl. Ben. Levy	4.68785	1.63376	.98424	0	0	3.95939
Debt Svc. Levy	.72164	2.26018	4,60536	1.78688	.12725	2.11600
Cap. Proj. Levy	0	0	0	0	0	0
Total Tax Rate	**14.47264**	11.99394	14.14457	9.85721	**6.75442**	**15.03615**
Tax Revs/Mill	**$ 90,228**	$ 153,632	$ 122,874	$ 213,398	**$ 290,448**	**$ 82,458**
Revenues	**$11,599,313**	**$ 5,627,511**	**$ 9,363,780**	***$ 6,164,185***	***$14,578,183***	***$11,299,339***
Net Prop. Taxes	1,305,841	1,842,648	1,737,999	2,103,508	1,961,810	1,239,855
Delinquent Taxes	1,850	0	0	0	0	0
TIF Revenues	**3,889,424**	10,700	30,331	510,779	628,000	123,219
Utilities	95,692	158,054	8,058	186,917	52,140	9,059
Mobile Homes	0	7,000	11,000	0	0	0
Hotel/Motel	**236,326**	0	0	84,000	23,722	0
Other Local Opt.	553,419	510,000	16,573	543,000	745,000	378,300
Lic. & Permits	13,345	10,820	61,350	18,867	111,330	16,350
Use of Money	72,611	82,605	38,142	43,508	42,000	19,620
Intergovernmental	496,381	805,732	**2,339,733**	462,561	581,004	426,251
Water	0	285,000	545,500	695,338	939,050	689,000
Sewer	722,650	480,000	895,220	823,659	913,219	**2,425,000**
Electric	0	0	**2,426,700**	0	**5,311,344**	**4,797,800**
Garbage	285,250	278,000	211,200	270,448	282,310	362,600
Stormwater	0	0	0	0	0	0
Other Fees	20,580	102,000	218,770	210,800	559,875	148,950
Spec. Assessment	315	0	130,005	50,000	0	0
Miscellaneous	112,597	58,750	192,725	59,800	216,103	159,800
Oper. Transfers In	800,339	996,202	493,629	100,000	1,215,956	380,316
TIF Loan/Trans	**1,892,870**	0	23,418	0	605,320	123,219
Debt Proceeds	**1,015,000**	0	0	0	390,000	0
Asset Sales	84,823	0	0	1,000	0	0
Beginning Fund Balance	***$18,077,985***	***$ 2,294,824***	***$ 3,724,907***	***$ 1,556,314***	***$ 9,138,985***	***$ 4,052,202***
Revenues + Beginning Fund Balance	***$29,677,298***	***$ 7,922,335***	***$13,088,687***	***$ 7,720,499***	***$23,717,168***	***$15,351,541***

Table 3f

Expenditure Profiles for 2015 Re-Estimated

DATA ELEMENT	LECLAIRE	CAMANCHE	CARLISLE	DYERSVILLE	ELDRIDGE	W. LIBERTY
Government Activities	***$ 8,521,276***	***$ 3,874,194***	***$ 4,398,362***	***$ 3,739,164***	***$ 5,781,840***	***$ 2,510,655***
Public Safety	1,058,703	1,442,536	1,105,841	819,438	1,028,297	877,533
Public Works	953,766	732,208	659,851	517,020	1,203,246	295,288
Health/Soc Svcs	0	1,375	2,500	1,450	0	0
Culture & Rec	406,269	284,186	509,525	876,734	632,353	713,864
Comm/Econ Dev	**2,161,304**	12,700	35,640	165,443	227,625	0
General Govt	309,499	419,491	134,960	293,995	437,873	137,266
Debt Service	**2,791,844**	482,491	741,545	715,094	644,456	486,704
Capital Projects	839,891	499,248	1,208,500	350,000	**1,607,990**	0
Business Activities	***$ 688,223***	***$ 1,080,000***	***$ 3,860,515***	***$ 1,878,661***	***$ 6,775,327***	***$ 7,720,483***
Water	0	268,000	661,388	445,448	548,667	567,467
Sewer	688,223	510,000	503,003	382,196	681,844	1,963,476
Electric	0	302,000	2,306,749	0	4,312,458	4,053,574
Garbage	0	0	0	260,966	0	223,842
Stormwater	0	0	0	0	0	0
Other Business	0	0	0	0	260,817	0
Debt	0	0	389,375	790,051	351,541	912,124
Capital	0	0	0	0	600,000	0
All Activities	***$ 9,209,499***	***$ 4,954,194***	***$ 8,258,877***	***$ 5,617,825***	***$12,557,167***	***$10,231,138***
Transfers Out	***$ 2,693,209***	***$ 996,202***	***$ 517,047***	***$ 100,000***	***$ 1,821,276***	***$ 503,535***
Regular	800,339	996,202	$ 493,629	100,000	1,215,956	380,316
TIF Loan/Trans	1,892,870	0	$ 23,418	0	605,320	123,219
All Activities + Transfers Out	***$11,902,708***	***$ 5,950,396***	***$ 8,775,924***	***$ 5,717,825***	***$14,378,443***	***$10,734,673***
Ending Fund Balance	***$17,774,590***	***$ 1,521,508***	***$ 4,312,763***	***$ 2,002,674***	***$ 9,338,725***	***$ 4,616,868***
Beginning Fund Balance	***$18,077,985***	***$ 1,971,939***	***$ 3,724,907***	***$ 1,555,314***	***$ 9,138,985***	***$ 4,052,202***
Change in Fund Balance	***$ (303,395)***	***$ (450,431)***	***$ 587,856***	***$ 447,360***	***$ 199,740***	***$ 564,666***

3.) Community and Government Services Insights (Tables 3a/3b)

- **Community Assets:** Every city has features that draw visitors or residents. All express the idea of "small town" or "hometown" on websites. Unique characteristics are:
  - **Camanche** is close enough to Clinton to piggyback on its events, restaurants, shopping, parks, and recreation programs. The city's downtown is limited, but Clinton is nearby. The high school pool is open for public use at times. The city participates in the Clinton Regional Development Corporation (3 staff).
  - **Carlisle** is close enough to Des Moines to piggyback on their attractions and some facilities (major airport). The city has part-time staff for recreation programs, recreation and aquatics centers, and a youth soccer club (through U19). The county has an Economic Development Corporation.
  - **Dyersville** has the "Field of Dreams" (privately-owned, no fee, 500,000 visitors), a Farm Toys Museum, a hospital, and general aviation airport. The city has a Parks Master Plan, over 100 acres of parkland, and two Parks & Recreation staff. Facilities include an Aquatics Center and Senior Center. The Fire Department is said to be a regional service provider with some regional funding. The city has an Economic Development Corporation with an Executive Director.
  - **Eldridge** is about 50% larger than the other cities. The website emphasizes its downtown and community events as attractions. The City has a Parks Master Plan, 184 acres of parkland, some part-time Recreation staff, a Community Center, and a Fitness Center. The city has an Economic Development Advisory Board. By far, the city has the highest valuation and lowest tax rate.
  - **West Liberty** is home to the Muscatine County fairgrounds, a museum, and a movie theater. The city has a downtown task force, industrial park, and the "We Lead" economic development program with a revolving loan fund. The city has 120 acres of parkland, a Parks and Recreation Director, and an Aquatics Center, Skate park, and Sports Complex.
- **Population:** Since 1970, Eldridge has experienced fast growth; LeClaire, Carlisle, and West Liberty moderate growth; Dyersville slow growth, and Camanche is up and down.
- **City Council:** Per City Codes, Dyersville is the only city electing some members (3) from wards rather than at large. All city council members have four-year terms.
- **Mayor's Role:** Per City Codes, Carlisle and Eldridge give Mayors a four-year term. Two Mayors supervise departments/employees (like LeClaire) and three "monitor," with the City Administrator/Manager supervising.
- **Administration:** Eldridge has an Assistant City Administrator and West Liberty has a City Manager (formerly the Police Chief). Camanche, Eldridge, and West Liberty have City Clerk positions and Dyersville has a Clerk/Treasurer (a/k/a Clerk-Finance Officer).

- **Building Inspection and Code Enforcement:** Camanche and Eldridge have building inspector positions to issue building permits, conduct building inspections, and enforce city codes. The Fire Department serves as the inspector in Camanche, who have three full-time firefighter/paramedics positions.

- **Downtown (or Other) Improvement Districts:** No cities have such a district, but Camanche is considering creating one. Eldridge has a Downtown Plan and West Liberty has a Downtown Task Force.

- **Economic Development:** Most cities have a formal development organization to market the city, such as an Economic Development Corporation (city, county, or regional) or an ED Advisory Board. At least two cities have ED staff.

- **TIF:** TIFs are an important tool in Dyersville and Eldridge, but used less in other cities.

- **Fire:** All cities have volunteer Fire Departments. Camanche has three full-time firefighter/paramedics for weekdays and operates an ambulance service; Carlisle has four part-time firefighters for weekdays; and West Liberty has an EMS Coordinator position. Only LeClaire and Eldridge have ladder trucks; other cities rely on trucks in neighboring communities.

  Mercer Note: Adequate response (timeliness and people) to weekday calls is a growing issue for volunteer fire departments.

- **Police:** All cities have Police Departments. As shown on Table 3b and reviewed further in the Police Department section of Chapter IV, sworn staffing per 1000-residents in FY 2016 ranges from 1.45 in Eldridge to 1.73 in Carlisle, with LeClaire at 1.79.

  Mercer Note: City-Data.com indicates the State of Iowa average is 1.71, but the source of this data was not explained or whether it applies to all Iowa cities or to cities between 1,000 and 6,000-population like LeClaire.

- **Library:** Per state reports or websites, Camanche, Carlisle, Dyersville, and West Liberty have full-service city libraries that are open 44, 40, 60, and 42 hours a week respectively (LeClaire = 51 hours). Eldridge houses the main Scott County library.

- **Parks and Recreation:** Carlisle, Dyersville, Eldridge, and West Liberty have full- or part-time recreation positions. Dyersville and Eldridge have Parks and Recreation Master Plans. Comparative cities have a mix of recreation/community centers, fitness centers, aquatic centers, nature centers/parks, bike and walking trails, senior centers, soccer clubs, and sports programs. Camanche residents can use the high school pool at times.

- **Stormwater:** All cities manage Stormwater, but none operate a Stormwater Utility. Public Works Department maintain Stormwater infrastructure.

- **Utilities:** LeClaire is the only community without a water utility and one of three without an electric utility.

4.) Government Finance Insights (Tables 3c and 3d)

- **Valuations: LeClaire ($92,230,556) has the second lowest FY 2016 regular valuation** among the comparative cities per state budget reports. Only West Liberty ($83,864,087) has a lower valuation. By comparison, Eldridge's valuation is three times LeClaire's and Dyersville is over twice LeClaire's.

  This one piece of data encapsulates LeClaire's major challenge, which is to diversify the tax base by increasing the number of commercial properties. Building roofs was a good idea in its time, but now is the time for some serious, broad-scope economic development that is in full alignment with LeClaire's character and long-term vision.

  Per our colleagues at Tischler-Bise, an economic and fiscal consulting firm, new residences do little for a city's bottom line. Typically, the taxes raised may not cover the full cost of services required. Commercial and industrial properties, however, are strong contributors to that bottom line.

- **Tax Rates: Because of the low valuation, LeClaire is one of three cities, along with Carlisle and West Liberty, with total FY 2016 tax rates in the 14 to 15 range.** Eldridge and Dyersville, with those high valuations, have tax rates of 6.8 and 9.4 respectively.

  This data points to a strong limit on increasing general property taxes in LeClaire and the need to improve the tax digest to increase revenues with similar future tax rates.

- **Tax Revenues: Because of a higher tax rate, LeClaire is able to raise the revenues required to meet FY 2016 obligations.** Note that Net Property Tax revenues, again, are the second lowest and TIF revenues account for 1/3 of total revenues (Table 3c).

  However, LeClaire's total FY 2016 tax revenue for each mill levied ($95,742) is the second lowest of the six cities. Only West Liberty ($83,750) is lower. None of the other four cities raise under $100,000 per mill levied. In alignment with the valuations above, Eldridge will raise $295,307 per mill and Dyersville $215,653. The other three cities range from $83,750 to $123,537 per mill levied.

  This data supports current efforts to review all current and potential revenue sources to maximize revenue production. As an example, LeClaire's $1 dog tag is the lowest Mercer has seen in decades. Most cities charge $10 to $25 for this license.

  Significantly, the city is about to turn the corner on the level of TIF infrastructure expenses and TIF-generated property taxes will increasingly accrue to the General Fund per data supplied by the City Administrator. Table 4 in Section F, Resource Management, of Chapter IV lists new TIF revenues accruing to the General Fund from FY 2016 through FY 2031, with these key data points:

  - FY 2019: $ 322,946 The break though year
  - FY 2023: $ 757,732
  - FY 2026: $1,133,776 First year these revenues exceed $1 million
  - FY 2031: $1,867,830

- **<u>Government Activities Overview</u>:** State budget reports for FY 2016 show 2014 actual, 2015 re-estimated, and 2016 budget data for Government Activities (e.g., Culture & Recreation) and programs within each activity (e.g., Library, Parks, and Recreation), as well as for Debt Service, Capital Projects, and Total Costs.

  Data in Tables 3c/d and Mercer's detailed analysis of program-level costs for FY 2014-2016 (in our working papers) show that **Debt Service and Community/Economic Development (CD/ED) programs drive the Government Activities budget in LeClaire.** Other communities, with one exception where 2015 debt service was $4.6 million, budget and spend much less on these two programs. In addition, **Capital Projects tend to go up and down over the three budget years.**

  Taking out Debt Service, CD/ED programs, and Capital Projects from each city's FY 2016 budget shows **net expenditures on core government operations are similar, with Eldridge and Dyersville the outliers.** Core activities include Public Safety, Public Works, Health and Social Services (very limited expenditures by only three of six cities), Culture and Recreation, and General Government:

  - **<u>LeClaire</u>:** $3,235,777 $770 per capita
  - **<u>Camanche</u>:** $3,051,248 $700 per capita
  - **<u>Carlisle</u>:** $2,763,410 $734 per capita Electric City
  - **<u>Dyersville</u>:** $2,713,973 $646 per capita
  - **<u>Eldridge</u>:** $3,354,038 $524 per capita Electric City
  - **<u>West Liberty</u>:** $2,843,622 $762 per capita Electric City

  Note that **the three cities with lower valuation levels** (West Liberty, LeClaire, and Carlisle in low to high order) **spend almost the same amount per capita on these core activities** ($734, $762, and $770 respectively).

  And, in **cities with electric utilities**, it is possible that a larger portion of Government Activities for Administration and Public Works may be charged to these Business Activities and netted out of the Government Activities budget.

- **<u>Business Activities Overview</u>:** LeClaire has one business activity, Sewers, which is budgeted at $936,839 in FY 2016 (re-estimated to $1,020,074) and cost $1,055,289 in FY 2015 and $1,196,785 in FY 2014. Except for West Liberty's sewer budget ($2,014,617), spending on Sewers has two clusters (LeClaire and Eldridge at $868,700 to $936,839 and Camanche and Dyersville at $386,730 to $467,994).

  All five comparative cities have water and sewer utilities; three have electric utilities; and three account for garbage as a utility. The five city's business activity costs range from a low of $936,839 in LeClaire to $7,922,737 in West Liberty (water, sewer, electric, and garbage). Only three cities budget utility debt and capital projects under Business Activities and, again, these expenses go up and down year-to-year.

- **Department Budgets:** Mercer's working papers include a detailed analysis of 2014, 2015, and 2016 data from the FY 2016 State budget reports. We focused on **LeClaire's core Governmental Activities programs**: Fire (without Ambulance); Police; Public Works (Roads, Bridges, Sidewalks, Snow Removal, and Traffic Control); and Library.

(1) LeClaire's FY 2016 budgets for core departments are similar to other cities with a few outliers, as shown in the 2016 budgets (less the cost of fire apparatus) and per capita costs below.

	LeClaire	5-City Average	Low Outlier
Administration:	$317,547 ($ 76)	$336,037 ($ 76)	West Liberty
Fire (no equipment):	$167,720 ($ 40)	$165,579 ($ 37)	West Liberty
Library:	$234,578 ($ 56)	$248,760 ($ 56)	Camanche
Police:	$791,758 ($188)	$840,476 ($187)	Eldridge
Public Works:	$541,089 ($129)	$521,339 ($116)	West Liberty

(2) FY 2016 budget analyses of each of the five functions follow.

- **Administration (a/k/a General Government):** Administration includes the Mayor, Council, and City Manager; Clerk, Treasurer, and Financial Administration; Elections; Legal Services and City Attorney; City Hall and General Buildings; Tort Liability; and Other General Government.

  LeClaire budgeted $317,547 ($76 per capita), which is 9.8% of the net General Activities budget (total less Community/Economic Development, Debt Service and Capital Projects).

  The **average for the five comparable cities** is $336,037 ($76 per capita and 10.2%).

  - ✓ Camanche: $415,916 (13.6%) $ 95 per capita
  - ✓ Carlisle: $440,273 (15.0%) $117 per capita
  - ✓ Dyersville: $320,189 (11.8%) $ 76 per capita
  - ✓ Eldridge: $373,172 (6.1%) $ 58 per capita
  - ✓ West Liberty: $130,636 (4.5%) $ 35 per capita

- **Fire: LeClaire** budgeted $817,720 in FY 2016 ($194 per capita), including a new $650,000 fire apparatus, which is 25.3% of the net Government Activities budget.

  Without the cost of the fire apparatus, the FY 2016 operating budget is $167,720 ($40 per capita) and, from the FY 2017 budget, we see that 2016 re-estimated spending is $142,222 ($34 per capita). In FY 2015 LeClaire spent $150,204 ($37) and in FY 2014 $132,109 ($33).

  The average four-year budget or expenditures for FY 2014 through FY 2017, without the cost of the fire apparatus and using 2016 re-estimated, is $140,261 ($34.50 per capita).

The **average for the five comparable cities** is $165,579 ($37 per capita and 5.5%) using 2015 costs in two cities.

- ✓ Camanche 2016: $536,878 (12.6%) $123 per capita (3 FT)
- ✓ Camanche 2015: $329,000 (7.7%) $ 76 per capita (3 FT)
- ✓ Carlisle: $182,572 (12.0%) $ 48 per capita (4 PT)
- ✓ Dyersville: $ 97,620 (3.6%) $ 23 per capita
- ✓ Eldridge: $169,000 (2.7%) $ 27 per capita
- ✓ West Liberty 2016: $626,760 (22.0%) $168 per capita (1 FT)
- ✓ West Liberty 2015: $ 49,701 (1.7%) $ 13 per capita (1 FT)

Three cities have separate **Ambulance budgets** in addition to Fire:

- ✓ Camanche ($193,130) has three full-time firefighter/paramedics
- ✓ Carlisle ($165,982) has four part-time firefighters
- ✓ West Liberty ($236,365) has a full-time EMS Coordinator.

- **Library: LeClaire** budgeted $234,578 ($56 per capita), which is 7.2% of the net Government Activities Budget.

  The **average for the five comparable cities** is $248,760 ($56 per capita and 8.6%).

  - ✓ Camanche: $151,810 (4.9%) $ 35 per capita
  - ✓ Carlisle: $187,659 (6.8%) $ 50 per capita
  - ✓ Dyersville: $386,608 (14.2%) $ 92 per capita
  - ✓ Eldridge: $209,292 (6.2%) $ 33 per capita
  - ✓ West Liberty: $308,340 (10.8%) $102 per capita

- **Police: LeClaire** budgeted $791,758 ($188 per capita), which is 24.5% of the net General Activities budget.

  The **average for the five comparable cities** is $840,476 ($187 per capita and 28.7%).

  - ✓ Camanche: $968,459 (31.7%) $222 per capita
  - ✓ Carlisle: $767,455 (28.2%) $204 per capita
  - ✓ Dyersville: $895,325 (33.0%) $213 per capita
  - ✓ Eldridge: $896,805 (26.7%) $140 per capita
  - ✓ West Liberty: $674,334 (23.7%) $181 per capita

- **Public Works:** To compare Public Works services, Mercer summed the following three program budgets and excluded Street Sweeping (West Liberty only) as a Stormwater program.
  - ✓ Roads, Bridges, and Sidewalks
  - ✓ Traffic Control (Note: LeClaire's FY 2016 budget is $100,000 higher than 2014-2015 and much higher than the other cities)
  - ✓ Snow Removal (Note: LeClaire is much higher than the other cities).

  LeClaire budgeted $541,089 ($129 per capita), which is 16.7% of the net General Activities budget. The **average for the five comparable cities** is $521,339 ($116 per capita and 17.7%).

  - ✓ Camanche: $467,882 (15.3%) $107 per capita
  - ✓ Carlisle: $434,026 (15.7%) $115 per capita
  - ✓ Dyersville: $569,546 (21.0%) $136 per capita
  - ✓ Eldridge: $817,094 (24.4%) $128 per capita
  - ✓ West Liberty: $318,146 (11.9%) $ 85 per capita

(3) LeClaire, however, spends only a limited amount compared to other cities on two important governmental functions.

- **Building Inspection: LeClaire** budgeted $0, as did Camanche and Dyersville. Scott County provides these services for the city of LeClaire.

  Carlisle, Eldridge, and West Liberty budgeted from $40,000 (Carlisle) to $50,200 (Eldridge), averaging $43,535 across the three cities ($9.40 per capita and 1.5% of the net Government Activities budget).

  Note: Some or all cities may cover building permits, inspections, and code enforcement costs in the Fire Department budget, so the above budgets may not reveal the full cost of Building Inspections.

- **Parks & Recreation:** Mercer combined the FY 2016 budgets for the four Culture and Recreation programs (Parks, Recreation, Community Center, and Other Culture/Recreation) to compare LeClaire to the five cities.

  LeClaire budgeted $124,511 ($30 per capita and 3.8% of the net Government Activities budget) for these Parks & Recreation programs.

  The other **five comparable cities** budgeted from $94,594 (Camanche) to $534,264 (Dyersville), averaging $346,092 ($77 per capita and 11.3%).

  All five cities budgeted for the Parks and Recreation lines, two for Community Center line, and three for Other Culture and Recreation line.

III. CITYWIDE FUNCTIONS

This chapter of the report presents findings and recommendations for Governance, Strategic Direction, Service Delivery Structure, Management Organization, and Resource Management.

A. GOVERNANCE

Governance topics reviewed in the study include the city's legal structure and code; Mayor and City Council operations; and the role of city board, committees, and commissions.

1.) Findings

- **Legal Structure:** Per Chapter 2, Charter, of the 2002 Code of Ordinances, the form of government of the City of LeClaire is the Mayor-Council form. The 2016 Iowa Code in Section 371.4 defines the Mayor-Council form, which stipulates:
  - The city shall have a mayor and five council members elected at large
  - The city council may increase or decrease the number of members by ordinance
  - The city council may provide for a city manager
  - The mayor shall appoint a council member as mayor pro-tem
  - The mayor shall appoint and dismiss the Chief of Police with city council approval (4 of 5 votes specified in the code's Public Safety chapter)
  - The mayor is not a voting member of the city council

  From interviews and the City Code, Mercer has the following insights, questions, and issues:

  - Although up-to-date, the City Code's title page (dated 2002) needs to be updated.
  - By City Code (Chapter 15), the Mayor is the CEO (15.02) and supervises the City Administrator and all departments of the city (not just the Police Chief). He serves as the presiding officer at regular and special City Council meetings and has a veto over City Council actions. He appoints the mayor pro tem, council committee chairs, members of the library board, and others.
  - By City Code (Chapter 17), the City Council appoints the City Administrator, City Clerk, City Attorney, and members of the Planning & Zoning Commission, Board of Adjustment, Parks & Recreation Commission, and Tourism Board.
  - By City Code (Chapter 18), an at-will City Administrator is appointed by and responsible to the City Council, but supervised by the Mayor. He is charged with a variety of functions and duties, and supervises city department (except Police).

- **<u>Mayor and City Council Operations</u>:** The roles and responsibilities of the Mayor and City Council are defined in Chapters 5, 15, 16, and 17 of the 2002 Code of Ordinances. Key features are:
    - The **Mayor,** in addition to his role as CEO (see Management Organization section that follows), presides at city council meetings, prepares the city council agenda, can call a special city council meeting, has a veto, and prepares reports and recommendations to the council.
    - The **City Council** has authority over finances, public improvement, contracts, employees, records, and compensation of elected officials. Two new members joined the City Council in early 2016. Mercer attended two City Council meetings and listened to a recording of parts of another meeting.

  Mercer has the following insights, questions, and issues in this area:

    - All elected officials appear to have the highest level of commitment to and concern for the City of LeClaire and its residents, businesses, and visitors.
    - Elected officials and city employees agree that the Mayor and Council need to operate with greater cohesiveness. We understand the Iowa Municipal League has provided training in the past on "How to be an Effective Council Member."
    - With two new council members, an orientation program, including existing members, may be helpful in fostering understanding of the council's role and building cohesiveness. Cohesiveness appears higher in 2016 than in 2015.
    - The Mayor and Council plan and set goals through periodic Strategic/Comp Plan updates (10-year+ cycle), the annual budget process, and specific decisions (e.g., new fire truck) that may not have much lead time to review.
    - However, they do not hold an annual planning/goal-setting retreat to support priority-setting.
    - Per the issues stated to Mercer in interviews, the Mayor and Council (old and current members) seem to focus on narrow, more understandable questions (e.g., replacement cycle of a police car, department cost comparisons to Eldridge), which likely present small financial benefits rather than larger, harder to understand questions (e.g., reducing the debt burden, the budget process, capital improvement planning), which may present larger financial benefits.
    - Some city council members say they do not completely understand the city's debt, TIF, and financial position. Mercer got a variety of answers to our question about the city's total debt load. The outside financial auditor just presented a *Performeter* financial statement analysis for FY 2015 that might be helpful, with more context and explanation.
    - Departments do not set annual performance goals and objective and do not prepare formal monthly reports on activities, but the Fire Chief, Police Chief, and Library Director attend city council meetings to answer questions.

- **City Boards and Commissions:** The City Code establishes several board, committees, and commissions. Chapter IV, City Departments, covers the Library Board.
    - **Planning and Zoning Commission (Chapter 22)**: Comprehensive Plan and amendments; reviews public improvements, subdivision plats, and street and park improvements; and the zoning code. Mercer met with the chair.
    - **Board of Zoning Adjustment (See Zoning Ordinance)**: Responsible for reviewing and approve/disapprove variances. Mercer met with the chair.
    - **Park and Recreation Commission (Chapter 23)**: The city recently consolidated three boards into one to better coordinate work on parks, recreation and the levee. Role is to advise and recommend to the city council, prepare a long range plan, oversee and expend funds, and more. Mercer met with the chair.
    - **Tourism Board of Directors (Chapter 26)**: Representatives of civic groups, lodging industry, non-profits, Chamber of Commerce, festivals, restaurants, retailers, and the Buffalo Bill Museum. Tourism Manager. Authority to expend money, primarily from the Hotel/Motel Tax.

From interviews with city officials, board chairs, and the Chamber of Commerce President, Mercer identified the following insights, questions, and issues:

- **Administration:** Support by city staff to these boards appears adequate.
- **Economic Development:** Not a city board, but a subcommittee of the Chamber of Commerce. New City Council liaison. Monthly meetings. City lacks an ED strategic plan (as does the Chamber). The industrial park is full. Need I-80 access for commercial development. Self-supporting Municipal Improvement District considered 5-6 years ago, but revenues deemed inadequate. Revisit today?
- **Planning and Zoning:** Shapes city project-by-project, plus by Comprehensive Plan and by subdivision and zoning ordinances. Application review process works well. City Administrator reviews applications. Improved construction specifications. No good spot for a light industrial park. No formal plan or group to encourage economic development (like a Development Authority).
- **Board of Zoning Adjustment:** Few variances each year. City Administrator reviews applications. City Council can ask for a review of a variance approval, but can't disapprove. Limited zoning and code enforcement (rely on Police). Need historical home ordinance. Board needs training (Iowa State).
- **Parks & Recreation:** Good idea to merge parks, recreation, and levee as leisure services, particularly for kids, is a major citizen concern in LeClaire. Do the Parks and Tourism boards have a good sense of direction? The city does not have a Parks & Recreation Master Plan or a Parks Foundation.
- **Tourism:** An informal LeClaire Marketing Alliance of downtown shopkeepers and property owners contributes $25,000 to supplement $75,000 from the Hotel-Motel Tax. Members overlap with the Tourism Board, but don't meet jointly.

2.) Recommendations

➢ C1: City-Governance:

a) Legal Structure:

1) **City Code:** Update the title page of the City Code (City Officials)

b) Mayor and City Council Operations:

1) **Cohesiveness:** The cohesiveness of the Mayor and City Council grew during the study. However, the city may benefit from new member orientation sessions, as well as more advanced training and facilitation of a teambuilding exercise by the Iowa Municipal League or Northern Iowa University. (Mayor, City Council, and City Administrator)
2) **Goal-Setting:** Implement an annual retreat and goal-setting meeting that precedes the budget and capital projects process. Include review of major issues and needs into that process, along with adequate analysis and explanation. Hire a professional facilitator to ensure the meetings bears fruit. (Mayor, City Council, and City Administrator)
3) **Agenda:** Develop a better protocol for adding items to the agenda to ensure they receive full analysis before being presented to the city council for a decision. Give council members plenty of time to review new and important topics, not just the few days from packet to meeting. (Mayor)
4) **Debt/TIF:** Ask the city's financial auditor, with the City Administrator, to brief the city council on the city's current debt, TIF, and finance situation. Schedule the briefing in a workshop setting, with at least two hours allotted to the meeting. Do this by September 30, 2016, as a precursor to developing a long-term financial plan. (Mayor and City Administrator)
5) **Department Reports:** Formalize monthly department status reports from each department and schedule rotating presentations at city council meetings twice a year for each department. (Mayor)

c) City Boards and Commissions:

1) **ED Committee**: Create a permanent Economic Development Committee, which may be a precursor to a Development Authority, to encourage diverse economic growth. Membership to include the Chamber of Commerce sub-committee and other community leaders. (City Officials)
2) **Plans:** Develop strategic plans for the Economic Development Committee, Parks & Recreation Commission, and Tourism Board with mission, vision, and specific goals and objectives for the next three years. (Board Chairs and City Administrator)
3) **Training:** Train members of all boards as needed. (Board Chairs)

B. STRATEGIC DIRECTION

Strategic Direction involves activities and plans that define how the city will grow over ten to twenty years, or longer, including a strategic plan, comprehensive plan, and functional business plans for departments and programs (e.g., wastewater or transportation).

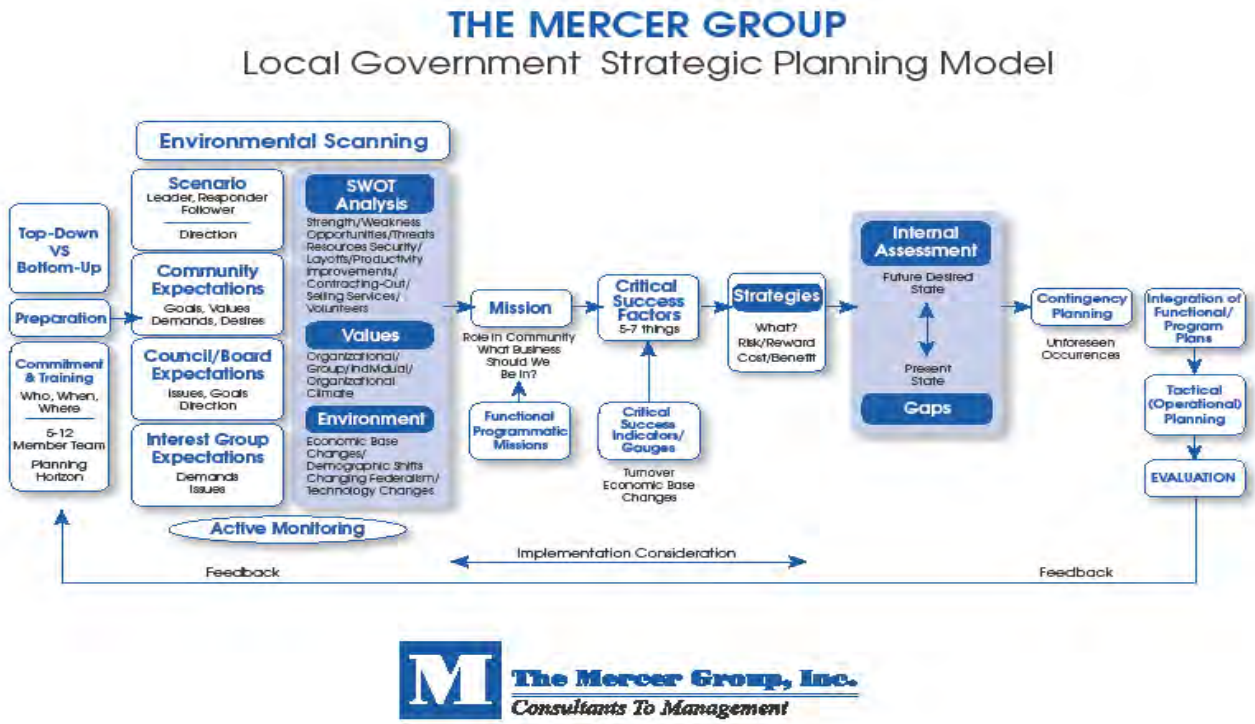
1.) The Mercer Model for Strategic Planning in the Public Sector

Exhibit 3 on the following page shows the **Mercer Model for Strategic Planning in the Public Sector**, which is based on our experience on over 50 strategic and functional business planning projects and on Jim Mercer's 1991 book, Strategic Planning for Public Managers.

Our model includes these key steps and activities, which apply to both city-wide strategic planning and functional business planning for departments:

- **Preparation:** Define an Approach to planning (Top-Down or Bottom-Up?), Commitment and Training, form a Steering Committee, and define the Planning Horizon.
- **Environmental Scanning:** Compile community, city official and staff, and stakeholder expectations; prepare a SWOT Analysis; identify Shared Values; analyze the Organizational Climate; and define Environmental Factors affecting operations.
- **Missions:** Define missions (why we exist, what businesses to be in, and what to accomplish) at the Governmental (a city), Functional (public safety), Department (fire), and Programmatic (fire prevention) levels.
- **Critical Success Factors:** Identify 5 to 7 things that define success.
- **Critical Success Indicators/Gauges:** Measure indicators of positive changes, improved efficiency, reduced turnover, and enhanced citizen satisfaction.
- **Strategies:** Decide what to do, risks and rewards, costs and benefits, goals and objectives.
- **Internal and Gap Assessments**: Define a future state and compare it to the present to identify what is missing to accomplish the desired future.
- **Contingency Planning:** Provide options and plans to respond to unforeseen occurrences.
- **Integration of Functional & Tactical Plans:** Align departments, divisions, programs, and the like to overall community expectations, vision, values, mission, and strategies.
- **Evaluation and Feedback:** Close the loop so the strategic plan can be updated and improved periodically based on the experience of all parties involved.

Exhibit 3



A **key challenge in creating or updating Strategic and Functional Business Plans** is the extent to which several planning initiatives are in place and are aligned:

- **Mission Statements** (citywide and for departments).
- **Vision Statements** looking out to a place to be in 10 to 20 years.
- **Values Statements** with Guiding Principles, (citywide and for departments).
- **Citywide and department strategies** based on Environmental Scanning, the SWOT Assessment, and community expectations.
- **Operational and Tactical plans** (for departments, divisions/sections, units/crews, and employees), which includes contingency planning.
- **Financial plans** (including long-term financial and capital improvement plans, the annual budget, and enterprise plans) that foster implementation of the vision and goals.
- **Functional, program, and/or process plans** (often cross-departmental as for the development review process, for example).

2.) Overview of Current City Plans

Mercer collected and reviewed the 2002 Comprehensive Plan and the 2003-2007 Strategic Plan. Our key findings regarding these plans are presented in this section of the report.

(a) COMPREHENSIVE PLAN

The city hired the Bi-State Regional Commission in 2001 to prepare a Comprehensive Plan with a complete plan submitted in November of 2002. The planning process included public input through a citizen survey and public meeting, and the new plan covered:

- Vision, Goals, and Objectives
- Land Use
- Water System
- Sewerage System
- Transportation System
- Recreational Facilities and Programs
- Public Infrastructure, Services, Finance, Intergovernmental Relations, and Image
- Telecommunications System
- Plan Implementation (key contacts and implementation activities by goal)

From the **community visioning process**, LeClaire was *"envisioned to be a unique, regional attraction noted for its scenic, historical setting on the Mississippi. Throughout this vision the community prides itself on community safety, pedestrian friendly sidewalks, a variety of small business opportunities, quality municipal services, friendly neighborhoods, a range of housing choices, connections to advanced telecommunications technology, progressive and responsible development with sensitivity to the environment, and a solid and diversified tax base."*

The plan defines **goals and objectives** for land use, growth, economy, housing, recreation, leadership and investment, cooperation and coordination, and community image, including:

- Comprehensive Land Use Plan with updated ordinance
- Assessment of the condition and adequacy of public infrastructure
- Five-year Capital Improvement Program
- Historic Preservation Districts
- Downtown Master Plan
- Adequate public infrastructure to support commercial and industrial land uses
- High quality parks based on a Parks Conceptual Master Plan
- City Parks and Recreation Commission
- Partnership with the school district
- Emergency Response Plan
- Code Enforcement

Comp Plan goals and expectations related to city infrastructure and services are listed below. The status of each goal is shown in parentheses.

- A new interchange on I-80 at or near 35th Avenue. (Not accomplished)
- Expansion of recreation and open space from 38 acres in 2001 to 688 acres to include the Davenport Country Club, expanded riverfront areas, and linear corridors of green space. (Pebble Creek Golf Course)
- Water system improvements based on a 2000 engineering study that resulted in a city connection to Iowa American Water (who purchased LeClaire's water system in 2003)
- Sewerage system improvements including infiltration and inflow reduction, sewer rehabilitation work, sewer line extensions, and wastewater plant improvements. (Significant progress, including an upgraded wastewater plant)
- Community education, erosion control ordinance, and improvements to curbs, gutters, and storm sewers based on a storm water study. (No funds available. Implement fees?)
- An improved sidewalk system to allow access to the Cody Trail (to Eldridge) and the Upper Mississippi Trail. (design study completed in 2014-2015)
- Road improvements to enhance traffic flow, including new roadways. (several completed)
- Community desires for better park equipment and more youth activities, such as a sports complex, swimming facility, and skate park. (Not accomplished)
- Progress on the Riverfront Park Plan and expansion of Huckleberry Park. (No)
- Improvements to city facilities, including a new city hall, new public works facility near the wastewater treatment plant, and new library (all completed).
- Resident concerns about infrastructure problems, growth issues, municipal financing, and code enforcement for litter, weeds, disabled vehicles, parking, signs, and landscaping (some progress).
- Creation of a single Parks and Recreation Commission to oversee city parks, recreation facilities, and programs, along with the creation of a seasonal director position to facilitate programming. This position may increase to a year-round position. (Single commission created in 2015, but no director position created)
- Establish a Public Works Committee to oversee the capital improvement program, with projects initiated as funds become available perhaps through grants listed in the plan. (Mayor is the liaison to the Public Works Department)
- Notes the Urban Revitalization Plan of 1983 encouraged public-private partnerships through tax exemptions and industrial revenue bonds for Urban Redevelopment Areas (URAs) and Tax Increment Financing (TIF) Districts. (78 projects using TIF)
- Defined implementation mechanisms, including development controls, zoning ordinance, subdivision regulations, official map, building code, and utility specifications. (Done)

(b) STRATEGIC PLAN

The city hired the University of Northern Iowa's Institute for Decision Making to prepare the city's 2001-2005 Strategic Plan and the updated 2003-2007 Strategic Plan. The city appointed a 14-member Strategic Planning Committee to work with the consultant. The process sought to "manage change and create the best possible future in a systematic way, which was a creative process for identifying and accomplishing the most important actions in terms of strengths and weaknesses, threats, and opportunities." (ICMA's 1985 *Practice of Local Planning*)

The strategic plan includes a vision for five years and beyond, with these key elements. Ideas needing more work at the present time are *italicized*.

- LeClaire was growing and changing, but needed *directional focus and clearer priorities*.
- LeClaire created a unique and positive image, appearance, and recognizable identify that blends its future with traditions from its historic past.
- LeClaire is an attractive community that values and needs its citizens, is historic yet progressive, and has an extraordinary high quality of life.
- LeClaire is a leader and a model of planned growth and improvement, with well-balanced growth, improved residential and *commercial tax base*, and carefully planned land uses.
- The strategy is to start as a bedroom community, and then *grow to offer more amenities*.
- LeClaire has developed as a historic and specialty-shop center, along with growing neighborhoods filled with young families.
- While preserving a small town atmosphere and strengthening current businesses, LeClaire built on its historic past by strengthening tourism, adding new attractions, and *promoting redevelopment*.
- Because tourism is central to LeClaire's economy, the community targeted and marketed to specific audiences who value river-based history, recreation, and specialty-shopping. LeClaire is said to be a "Little Galena" or a "Nantucket on the Mississippi."
- LeClaire provides a variety of *year-round and affordable whole-family recreational opportunities*, specifically for youth and young adults.
- LeClaire has a *year-round youth program* that emphasizes moral, intellectual, and athletic activities open to all, along with high-quality schools, churches, and library.
- Individuals have choices in housing, considering both price and type.
- A well-thought out *infrastructure plan* is being implemented to improve civic buildings, streets, utilities, and communications, along with an improved downtown.
- The public safety system is safe, modern, and ever vigilant, as well as affordable and responsive.

- LeClaire is a place to live, work, and play.
- The city is unified with mutual respect and shared direction with goals, pride in the community, and ownership in the community's successes. Citizens and business leaders have long agreed on a common progressive vision for the future, and it is happening.
- Community image issues, however, include the need for:
    - Maintenance and renovation of older buildings and homes in town,
    - Upgrading the downtown and riverfront areas,
    - Parking and pedestrian crossing lights downtown,
    - Expanded commercial base,
    - Infrastructure improvements, and
    - New community facilities and youth recreation programming.

Specific aims and goals (in parenthesis) were developed in nine areas. Goals needing more work at the present time are *italicized*:

1. **Image:** Preserve the historical character of the community (restore buildings, annual historical reenactment, and *historic preservation districts*).
2. **Land Use/Economic Development:** Expand the commercial/manufacturing tax base (*update the Comp Plan by 2007, implement proactive economic development strategies*, and communicate the benefits of increased tax revenue from commercial development)
3. **Tourism:** Enhance the economic impact of tourism (More downtown parking, *marketing plan for tourism*, directional signage, enhance existing festivals, and add new ones).
4. **Recreation:** Provide a variety of year-round and affordable recreational opportunities (coordinate planning and implementation, provide a recreation-specific survey to identify unmet needs, create *new recreational opportunities*, hire a *Parks & Recreation Director*, *upgrade the Recreation Center*, and *improve Huckleberry Park*).
5. **Youth:** Involve and integrate youth in all aspects of the community (get youth involved and develop youth programming),
6. **Housing:** Provide affordable housing (communicate housing needs and identify development resource requirements, and promote restoration of older homes).
7. **Infrastructure:** Improve civic buildings, streets, utilities, and telecommunications (five-year CIP, new library, consolidate phone services, and city-wide fiber optic system).
8. **Public Safety:** Adequately meet assessed community public safety needs (improve railroad-crossing safety, prioritize public safety capital needs in the CIP, develop an Emergency Response Plan, and install a stoplight at Eagle Ridge Road and Cody Road).
9. **Communication:** Develop the attitude that "we're all in this together (improve coordination among community organizations and citizens, and monitor implementation of the Strategic Plan).

3.)Assessment of Current Plans and Planning Processes

Mercer reviewed the city's Planning Model, Supplemental Plans (beyond the Comp and Strategic Plans), Planning Participants, and Planning Process and Documents.

- **Planning Model:** The city's model for future planning involves two relatively independent, but related, processes that produce two key strategic-level plans:
  - Strategic Plan (last plan was 2003-2007)
  - Comprehensive Land Use Plan (last plan was 2002, but update in process)

  These two plans cover all aspects of the city and city government, including land use, economic development, tourism, transportation, recreation, infrastructure, and more.

  Many of the plan segments for these functional areas, however, are not reviewed or reported in great detail in order to lay out a step-by-step process for implementing identified improvements and changes. Instead, the plans produce "aims" (goals) and high-level objectives, but not necessarily detailed actions and steps.

  Neither plan is that strategic, with a primary focus on five or so years. True strategic planning lays out a vision to be achieved over 20 or more years, with plans having titles like "LeClaire 2035."

  While larger cities may expand the planning focus to include more detailed functional, small area, downtown, and other plans, LeClaire's strategic community planning basically has merged functional planning (like Parks & Recreation) into the above two processes, with an occasional special plan (the 2000 Water System Study).

- **Supplemental Plans:** Despite reliance on the above two planning processing, the city also engages in planning in other ways to support aims and goals in the Strategic and Comprehensive Plans:
  - **Functional:** Of city departments, only the Library regularly develops and updates full functional business plans as required by the state on a three-year cycle.

    The 2002 Comprehensive Plan mentions a 2000 study of the city's water system and studies of wastewater issues, such as infiltration and inflow.

    The city lacks Tourism, Economic Development, and Parks & Recreation Plans.
  - **Financial:** The annual budget serves as the city's financial plan, but it only covers the upcoming year. The city does not appear to have a long-range financial planning process other than for developments (TIF) and some capital items.
  - **Capital:** Capital planning has folded into the annual budget process. The city lacks a formal long-term Capital Improvement Plan, but had one in the past.

➢ Planning Participants:

- The Mayor, City Council, and City Administrator are the primary visionaries considering the future of the city.
- The Planning and Zoning Commission, Board of Zoning Adjustment, Parks & Recreation Commission, Tourism Board, and Economic Development sub-committee of the Chamber of Commerce influence long-range planning within their scope of work and interest.
- These elected and appointed officials tend to work fairly independently of each other and of the community as a whole, although residents may attend meetings or give one-on-one thoughts to members. When a planning process starts, like the Bi-State Regional Commissions update to the city's 2002 Comprehensive Plan, citizens and stakeholders are drawn into the planning process.
- The Comprehensive Plan update engages citizens in the planning process through meetings and a survey.
- The city does not use a recurring citizen survey, such as the National Citizen Survey from the International City-County Management Association (ICMA).

➢ Planning Process and Documents:

- The city tends to rely on periodic plan updates rather than continuous planning.
- Outside of the annual budget process, the Mayor and Council do not engage in a formal planning process, such as an annual goal-setting retreat to create and update long-term goals and define short-term, annual objectives and projects.
- The Strategic and Comprehensive Plan are aging, but the Comprehensive Plan is being updated by the Bi-State Commission.
- The city appears to need formal plans for Parks & Recreation, Transportation, Downtown, Tourism, and Economic Development to supplement the Comprehensive Plan and associated aims and objectives in the Strategic Plan.
- Current plans tend not to be specific enough in terms of responsibility assignments, completion dates, and measurement of success (no scorecard).
- The Strategic Plan does not include some key elements of the Mercer Model for Strategic Planning, including:
    - ✓ SWOT Assessment (although the seven-page narrative before the aims and objectives touches on strengths, weaknesses, opportunities, and threats)
    - ✓ Environmental scan (what if the military base or plant closes)
    - ✓ Mission, vision, and values
    - ✓ Critical success factors
    - ✓ Internal assessment and gap analysis

4.) Recommendations

- **C2: City-Strategic Direction:**

  a) **Planning Model:** Expand the current model to incorporate more detailed plans where key to accomplishing the city's vision, such as Parks & Recreation; Economic Development; and Tourism. (Mayor, City Council, and city boards)

  b) **Strategic Plan:** Update the Strategic Plan with the help of an outside facilitator, perhaps UNI, to include the following elements. (Mayor and City Council)

  1) **Mission Statement**: A statement of purpose or reason for being. Mission words for LeClaire are "catalyst, preserve, grow, prudent, and quality."

  For example, *"the mission of our peaceful town is to meet the diverse needs of the community by providing planned growth and excellent services in a climate of friendly cooperation."*

  Or, *"The city will provide city residents, businesses, and visitors with congenial, direct, efficient, effective, and high quality services that are guided by the past yet focused on the future.*

  2) **Vision Statement:** Presents a picture of the future desired in 20-30 years, or where we want to go and what we will look like when we get there. Vision words for LeClaire are "small town feel, tradition and progress, welcoming, community, attractions (downtown), families, river, and fun."

  3) **Values Statement:** Enduring beliefs that help us work together to accomplish the mission and the vision. From the list of values in our report, compile citywide and department values statements.

  4) **Goals:** A desired end result or outcome measured by whether or not the goal was accomplished (Yes/No). Timeframe is 3-5 years. First define strategic initiatives (e.g., Recreation) then develop goals for each.

  5) **Objectives:** Define specific, measureable, assignable, realistic, and time-specific actions. Timeframe is a year or less.

  c) **Comprehensive Plan:** We are pleased that the city has contracted with the Bi-State Regional Commission to update the Comp Plan. (Mayor, City Council, Planning Commission) We suggest:

  1) A more specific roadmap for implementation (e.g., more specific definition of accountability, objectives, measures of success).

  2) A strong focus on economic development to bolster city finances, tourism & downtown, and parks & recreation.

  d) **Strategic Business Plans:** In Chapter IV, City Departments, we suggest that each department prepare a functional business plan that includes the elements from the citywide strategic plan. (Mayor, City Administrator, Department Heads)

C. SERVICE DELIVERY STRUCTURE

Service Delivery Structure is the **strategy a city uses to organize and deliver services in-house, via contracts, or through partnerships**. The city remains the provider of each service with overall responsibility, while internal and external parties are producer of services. In a small city like LeClaire, public services typically are managed and delivered in several ways:

- By City employees,
- As an additional duty (e.g., Human Resources by the City Administrator),
- By a city-created board (e.g., Tourism or Parks & Recreation),
- By volunteers in the community (e.g., baseball league, arts classes),
- By a regional agency (e.g., the Sheriff for Dispatch), or
- By a private company (e.g., garbage and water).

The overall goal is to define a service delivery structure that optimizes the use of city resources, is efficient and effective, and fosters customer service. **Attachment B**, *Decision Criteria for Contracting and Collaboration*, is a tool to review service delivery options and select the best producer. The example given is consolidation of public safety services.

1.) Findings

- **In-House Services:** Many core city services are provided in-house by city staff:
  - Accounting and financial management, including utility billing
  - City Clerk (records management, customer support)
  - Fire and emergency response (but not ambulance)
  - Library (a city run and funded library)
  - Police (patrol, traffic enforcement, and investigations)
  - Public works, Stormwater, and wastewater (but not water)
- **Outsourced Functions:** Major outsourced services are:
  - Ambulance service (Medic EMS)
  - Building Inspections (County)
  - Dispatch (County Sheriff)
  - Garbage pickup (Allied Waste Services)
  - Technology maintenance and support (private contractor)
  - Water (Iowa American Water)
  - Wastewater operator-in-charge, sampling, and testing (QC Analytical Services)

- **<u>Missing or Limited Scope Functions</u>:** Several services either are missing or limited in scope compared to other cities and best practices. Some fall to the City Administrator or a department head as an extra duty; others are the responsibility of a city board. In a larger city or at a later stage in LeClaire's growth, these services would be professionalized, meaning the city would hire a trained functional manager, such as a Finance Director or Parks & Recreation Director.

  Examples of major functions that are missing or limited in scope as described above (and who currently is responsible) are:

  - Code Enforcement (city administrator, public works, and police)
  - Economic Development (mayor and city council, city administrator, chamber of commerce sub-committee)
  - Parks, Recreation, and Levee (city board, public works, and volunteers)

  Examples of administrative and technical support functions that are missing or limited in scope are:

  - Equipment and Facility Management (city administrator, public works, and city departments)
  - Financial Management (city administrator and city hall staff)
  - Human Resource Management (city administrator and departments)
  - Information Technology Management (city administrator and departments)
  - Labor negotiation (mayor and city administrator)
  - Materials Management/Purchasing (city administrator and departments)
  - Records Management (city administrator and deputy city clerk)
  - Tourism and marketing (city board, marketing alliance, chamber of commerce)

2.) Issues and Analyses

Mercer identified the following insights, questions, and issues in service delivery structure:

- **Code Enforcement:** Weak and inconsistent zoning and code enforcement and inspection services with little accountability for results. Police play a role in identifying issues, with the City Administrator or Mayor and City Council left to sort them out. Citizens complain in planning processes and at public meetings. We presume the county's building inspector inspects places of assembly (schools, churches, apartments).
- **Economic Development:** The only formal economic development organization is a sub-committee of the Chamber of Commerce. The city has used the TIF program as an economic development tool, but the program is on hold. The city lacks an overall economic development plan, particularly for commercial development.
- **Parks & Recreation:** Citizens express a continued demand (going back to the 2002 Comprehensive Plan and the 2003-2007 Strategic Plan) for a higher level of parks and recreation services. The 2002 Comprehensive Plan suggested creation of a Parks & Recreation Plan and a P&R Director position. The chair of the Parks & Recreation Board suggested this position is needed due to residents' continued expression of need for better facilities and programs, which was confirmed at January's Comprehensive Plan community meeting.
- **Tourism:** The Tourism Board and the Marketing Alliance are serious and committed to marketing the city and encouraging people to visit. The focus is on businesses and activities downtown. The city seems to lack an overall tourism plan.

3.) Recommendations

- **C3: City-Service Delivery Structure:** The Resource Management section of this chapter and the Administration section of Chapter IV, City Departments, discuss professionalization of administrative and financial services, such as finance, human resources, and equipment management.

  a) Code Enforcement: Create a working group of city officials, staff, and citizens to review past practices and determine a better process for LeClaire to deal with zoning and code enforcement issues to which the City Code devotes considerable space, including nuisance abatement, junk and junk vehicles, weed control and abatement, dangerous buildings, trees. (Mayor and City Council)

  b) Economic Development: See Governance section recommendation to create a formal city committee and develop a broad-scope economic development plan, with an emphasis on commercial development.

  The city's past emphasis on more "roofs" adds to population, but new property taxes (when fully usable by the city after TIF expires) typically do not pay for resident service expectations, such as neighborhood/community parks and recreation services/facilities, per a Mercer associate expert in development and fiscal impact studies. (Mayor, City Council, ED Committee)

  c) Parks & Recreation: See the Governance section recommendation to create a Parks & Recreation Master Plan, which would include open spaces and trails. If citizen hopes for expanded parks and recreation services are to happen, creating a position in Parks & Recreation is a critical first need, likely focused on the recreation side as Public Works can focus on the parks maintenance side. (Mayor, City Council, Parks & Recreation Commission)

  d) Tourism: Update the city's Tourism Plan, including review of the value of expanding downtown's footprint in planned Phase II and the opportunity to reprogram the Police and Medic facilities currently downtown if they relocate to the current Fire Station property. (Mayor, City Council, Tourism Board)

D. MANAGEMENT ORGANIZATION

Management Organization reviews the structure of city departments and leadership practices at the city and department level.

1.) Management Roles of Elected Officials

(a) FINDINGS

- **Mayor:** Per the City Code, the Mayor is the city's CEO and the supervisor of the City Administrator and city department heads (not just the Police Chief).

  The city's Personnel Policies say the Mayor is the "chief elected official of the city" with responsibility for "overseeing the overall operations of the city and for the coordination of city departments and of city council members and their respective individual duties and responsibilities."

  As CEO, the Mayor supervises and gives direction to city departments, and has the power to examine all functions. The former Mayor had a well-defined and detailed approach to supervising the Police Chief. The new Mayor is working out his management philosophy. Early indications are his approach will be a positive one.

- **City Council:** City council liaisons currently are assigned to the following functions, boards, city departments, and community organizations.

  1) Finance & Economic Development
  2) Library, P&Z and BOA, and Public Works
  3) Utilities, Tourism Board, & Civic Groups
  4) Parks & Recreation Commission & Streets
  5) Public Safety and Schools

  The City Code indicates these chairs are appointed by the Mayor, but does not indicate if there is an associated committee or define the role and authority they have. The Personnel Policy includes job descriptions for each of these roles, but they might not accurately match up with current assignments.

(b) RECOMMENDATIONS

- **C4: City-Management Roles of Elected Officials:** (Mayor and City Council)

  a) Mayor: The new Mayor should clearly communicate his management philosophy to the City Administrator and department heads, particularly the Police Chief. Mercer understands this process has started and is very positive about the way the new Mayor will supervise the city department heads and departments.

  The Mayor also should ask department heads to prepare goals and objectives for the budget process, including equipment and facilities, and to develop short monthly activity reports on activities, initiatives, events, incidents, issues, and plans for the future month.

  b) City Council: Review the roles of the City Council liaisons and ensure associated workload is reasonable and balanced. After the recent restructuring of assignments, only a few changes are necessary to ensure the Liaisons are working with a group of closely-related functions.

  Update the city's Personnel Policy to reflect these recommended restructured assignments.

  1) **Strategic Direction:** Continue Finance and Economic Development. Add liaison to the Chamber of Commerce, if not already assigned; the Strategic and Comprehensive Plans: and the Information Technology Committee. This Liaison is now focused on the future of the city and most administrative services.
  2) **Community Infrastructure:** Continue P&Z, BOA, and Public Works. Add Streets and Utilities and delete the Library. This Liaison is now focused on the public and private physical infrastructure of the city.
  3) **Community Outreach:** Continue the Tourism Board and Civic Groups. Delete Utilities and add Downtown, if not in Civic Groups, and Schools. This Liaison is now focused on the heart of the city, downtown and tourism, as well as on all outside groups and agencies.
  4) **Community Services:** Continue the Parks and Recreation Commission. Add the Library and delete Streets. Schools could be in this group rather than Community Outreach. This Liaison now focuses on all of the parks, recreation, literacy, and cultural needs of the city, which is a major area of community interest.
  5) **Public Safety:** Continue Public Safety (Police, Fire/EMS, and Emergency Management) and delete Schools. This Liaison is now focused exclusively on Public Safety.

2.) Management Role of Appointed Officials

(a) FINDINGS

- **City Administrator:** A City Administrator is created in Chapter 17 of the City Code. In the code, he is tasked with 37 specific activities, including budget and finance officer, city clerk, human resources/personnel director, city engineer, information technology manager, and more. In the Comparative Analysis in Chapter II, we learned that some similar-sized cities have an Assistant City Administrator, City Clerks or Clerk-Treasurer.

- **Department Heads:** Department heads responsible for management, operational effectiveness, and overall performance of their departments. Each department heads has certain structural elements to their role:

  - **Administration:** The City Administrator directs administrative, financial, and city clerk services in city hall, and serves as the City Clerk.
  - **Fire Chief:** Elected by member firefighters (with Council approval) and appoints his management team, including deputy chiefs, captains, and lieutenants. Answerable to the Mayor and City Council and coordinates with the City Administrator on administrative matters.
  - **Library Director:** Appointed by the Library Board per the City Code, but also is answerable to the Mayor and City Council and coordinates with the City Administrator on administrative matters.
  - **Police Chief:** Appointed by and reports to the Mayor (with Council approval) per the City Code, but coordinates with the City Administrator on administrative matters. Supported by a Police Sergeant, who is a member of the union.
  - **Public Works Supervisor:** Appointed by the City Administrator and is a member of the union. The City Administrator serves as the City Engineer, with the support of consulting engineering firms.

  The Library Board; Parks & Recreation Commission; Planning & Zoning Commission; Zoning Board of Adjustment; and Tourism Board assist in service delivery management.

(b) RECOMMENDATIONS

- **C5: City–Management Roles of Appointed Officials:** See Service Delivery Structure in this chapter (regarding Recreation) and Chapter IV, City Departments, for changes in the role of department heads.

  a) **City Administrator:** With city growth and the not-so-distant retirement of the City Administrator, the city needs a plan to professionalize several functions. We suggest creating a Clerk-Finance Officer in a year or two. This position also can assist with human resource management. (Mayor and City Council)

E. RESOURCE MANAGEMENT

This section covers Budget and Finance, Human Resources, Information Technology, Equipment, and Facilities. See Chapter IV, Administration, for Materials Management.

1.) Budget and Finance

Budget and Finance, along with Governance and Strategic Planning, is fundamental to the future success of the city and of city government. City Code Chapter 7 covers finances.

(a) FINDINGS

- **Financial Planning:** The city's financial planning activities appear limited to big things that come up (TIF, a new fire truck) and the annual budget process. Capital improvement planning is mostly an annual exercise (what to replace this year), with some exceptions like the annual street repair program. Some members of the City Council do not appear to have a solid understanding of municipal fund accounting.

- **Operating Budget Process:** Section 7.03 of the City Code describes Operating Budget Preparation and Administration, and references the Iowa Code. Steps are:
  1) Department/board budget requests to the City Administrator
  2) Budget proposal preparation by the City Administrator (late January)
  3) Mayor and Council review and approval
  4) Official budget document preparation (July) and report to the state
  5) Ongoing review and monitoring, including amendments.

  The process in the City Code does not define the need for Mayor and City Council budget planning and instructions (e.g., No tax increase) prior to development of budget requests.

- **Capital Budget Process:** Section 7.05 of the City Code describes Capital Improvement Budget Preparation and Administration. This section defines major capital projects as "expensive, not annual, and a fixed asset" as shown below, but does not require a capital improvement plan:
  - Costs $5,000 to $15,000 and a life expectancy of at least 10 years
  - Costs at least $15,000 and a life expectancy of at least 5 years
  - Costs at least $1,000,000 where any portion is a city match
  - Project for an abatement of a public nuisance or to protect health and welfare
  - Permanent, public infrastructure improvements for community development or economic development enhancement (but not utility projects)

- **Budget and Financial Analysis:** The city uses both traditional (e.g., property taxes) and other means (TIF and bond proceeds) to fund its annual budget, including major equipment (fire apparatus and street improvements). Table 1 in the Overview of the City and Tables 3 in the Comparative Analysis, both in Chapter II, as well as the city's annual State budget reports and annual audit provide details on city finances.

  The City Administrator and department heads brainstormed a list of **revenue enhancement and cost containment ideas**, which are being considered by the Mayor and City Council. For example:

  - **Policies:** Reduce/eliminate fee waivers, reduce downtown street lighting, change payroll timing, reduce overtime, and conduct a citywide energy audit.
  - **Revenues:** Increase or add new fees for sewer and garbage (to recover all city costs), development reviews, use of public property, towing/impounds, false fire alarms, event permits, downtown parking meters, business licenses, gas and electric franchise fees, and code enforcement and inspections.
  - **Services:** Sell assets (parks, wastewater, library), special assessments for infrastructure repairs, up the $8.10 levy limit with state OK, seasonal workers for mowing, fewer library hours, Library special support tax levy, and Capital Improvements special support levy.

TIF Revenues: The **city's TIF program started in 1991** with Urban Renewal Area #1 and Pebble Creek started in 2003. Under a TIF program, new property tax revenues as TIF projects unfold and are assessed by the County initially are applied to pay for the cost of associated infrastructure improvements per TIF agreements. In the short term, the city provides services (e.g., snow plowing, library, and police patrol) to these growing TIF areas and their residents using funds from the pre-TIF valuations and revenue stream, which have increased about 3% per year in the recent past.

The **TIF Program is said to be the primary driver of population increases and infrastructure improvements. But, opinions differ on the budgetary impact of the TIF program.** Some city officials and staff expressed concern about "limits" on general revenues due to the cost of past TIF projects with resulting restrictions on funding for department services; others say that services to TIF developments and their residents have not caused departments to lack money year-to-year to meet community needs for city services. One official asked, "How has this growth increased service costs? No police officers were added in 10-15 years and the General Fund doesn't fund street work."

As expressed in Mercer meetings and the community meeting for the Comprehensive Plan update, public interest in people-oriented services and facilities (e.g., more parks, recreation classes, sports for kids, and an aquatics center) is very high, but financial resources have been lacking (e.g., Huckleberry Park).

However, **as TIF-associated infrastructure financing is paid off, TIF area property taxes accrue to the General Fund**. Per the City Administrator, TIF obligations decline progressively from just under $4,500,000 in FY 2017 to just under $500,000 in FY 2030.

Associated data shows that $48,674 in TIF revenues accrue to the General Fund in FY 2017 and increasingly add to general revenues through at least 2031. **FY 2019 is a breakthrough year with $322,946 in TIF revenues accruing to the General Fund.** Thereafter, the value of annual TIF contributions increases through FY 2031.

Table 5 (with data from the City Administrator) **analyzes the growth of general revenues** through FY 2031 as TIF projects are paid off, **with these assumptions**:

- Property assessments and property tax revenues, including prior year TIF accruals, will increase 3% per year on average as in the recent past. (Column b)
- Year-by-year, more TIF revenues (Column c) accrue to the General Fund thereby increasing the prior year's tax revenues beyond the expected 3% growth alone.
- The FY 2017 General Fund tax rate of 8.10 mills is unchanged through FY 2031.

Table 4

Impact of TIF Revenues on the General Fund (FY 2017 through FY 2031)

(a) Fiscal Year Ending	(b) Base General Fund Tax Revenues (+ 3% only) (No TIF)	(c) Maximum Annual TIF Area Revenues to General Fund	(d) Total General Fund Tax Revenues (+3%) (+TIF)	(e) Yearly Impact of Added TIF Revenues on the General Fund
Math	Prior Year (d) + 3%	From City Administrator	(b) + (c)	(c) / (b)
2017	$ 728,887	$ 48,674	$ 777,561	6.68%
2018	$ 800,888	$ 55,797	$ 856,685	6.97%
2019	$ 882,385	**$ 322,946**	$ 1,205,331	36.60%
2020	$ 1,241,491	$ 395,254	$ 1,636,745	31.84%
2021	$ 1,685,848	$ 517,254	$ 2,203,102	30.68%
2022	$ 2,269,195	$ 627,375	$ 2,896,570	27.65%
2023	$ 2,983,467	$ 757,732	$ 3,741,199	25.40%
2024	$ 3,953,435	$ 809,035	$ 4,762,470	20.46%
2025	$ 4,802,344	$ 886,628	$ 5,688,972	18.46%
2026	$ 5,859,641	$1,133,776	$ 6,993,417	19.35%
2027	$ 7,203,220	$1,289,097	$ 8,492,317	17.90%
2028	$ 8,747,086	$1,535,562	$10,282,648	17.56%
2029	$10,591,127	$1,639,880	$12,231,007	15.48%
2030	$12,597,938	$1,693,192	$14,291,130	13.44%
2031	$14,719,864	$1,867,830	$16,587,694	12.69%

- **<u>Budget Document</u>:** Current budget documents are state-defined reports and outputs from the financial management information system. The city does not produce a budget document in Government Finance Officers Association (GFOA) format, thereby lacking:
    - A budget message from the Mayor or City Administrator
    - Long-term budget perspective, including a capital improvement plan
    - City and department mission statements, last year results, future goals and objectives, and performance measures
    - Impact of any capital projects on the operating budget

- **<u>Financial Management</u>:** The city administrator serves as the city's chief financial officer. Although not unusual in smaller local governments, the city clerk may serve as treasurer/finance officer as well. The City Code defines policies and procedures for:
    - Budgeted funds and expenditures (up to $10,000 w/o Council OK)
    - Bidding and RFPs (up to $2,500 w/o Council OK)
    - Cash controls and investments
    - Financial reporting and record keeping (local and state funds)
    - Property identification, control, and inventory
    - Disposal of city property
    - Competing with private enterprise
    - Fees established

  Per interviews and Chapter 7, the Finance Chair primarily focuses on day-to-day financial administration (review bills), as well as some financial analyses.

  Outside of the City Code, the city appears to lack a formal set of financial policies and procedures except as city hall staff keep checklists and memos to define processes.

(b) RECOMMENDATIONS

- **C6: City-Budget and Finance:**

a) **Financial Planning** (Mayor, City Council, and City Administrator):

1) Implement a 5-year planning window that includes revenue projections, new revenue sources (e.g., fees), use of TIF revenues as they accrue to the General Fund, asset sales, expenditure goals, and financial analyses.

2) Be more missional and performance focused in financial planning. For example, what do you expect Police and Fire to do for funds allocated?

3) Provide training to the City Council on fund accounting and the state of debt and TIF, including how TIF revenues will shift to general purposes over the next ten to fifteen years and might be used in the future.

4) Define reserve requirements (typically 1-2 months of expenditures) and build up a formal reserve fund.

b) **Operating Budget** (Mayor, City Council, and City Administrator):

1) Add a Mayor and City Council budget planning meeting in advance of budget preparation and likely in conjunction with an annual planning and goal-setting retreat recommended in Governance.

2) A citizen input process to hear their ideas on budget needs is important.

3) Again, be more missional and performance focused in budgeting.

c) **Capital Budget** (City Administrator and Department Heads): Develop a long-term (20 years) equipment and facilities replacement plan. At first, do not create an internal service fund or "savings account," but perhaps in the future. Note, it is tempting to tap this fund's balance for future needs when the budget gets tight.

The Equipment and Facilities Management sections in this chapter and Chapter IV, City Departments, provide a more in-depth discussion of needs and priorities.

d) **Budget and Financial Analysis (**Mayor, City Council, City Administrator, and Department Heads): Staff's revenue and cost containment ideas are positive ideas. Mercer suggests the city initially focus on ideas with a larger ($10,000+) impact on the city's finances, such as asset sales and franchise fees, and keep out of the weeds (the $1 pet tag) unless these ideas are an easy, quick fix.

e) **Budget Documents** (City Administrator): Define the cost AND the value of all budget initiatives. Add the elements listed in Findings to explain financial data, including an explanation of swings in revenues and expenditures. At first, use these elements to supplement the state financial report for local budget reporting (see Eldridge report). Later, look at GFOA budget formats as potential models for a more comprehensive budget document. Post the budget on the city's web site.

f) **Financial Management** (City Administrator): The City Administrator, city hall staff, and Finance Chair appear on top of the financial management requirements in the City Code. We do suggest, however, in Chapter IV that city hall staff develop a formal financial policies and procedures manual over time.

2.) Human Resources

(a) FINDINGS

- **Human Resource Management:** As noted earlier, the City Administrator, per the Personnel Policy, serves as the city's human resources/personnel director. This situation is not unusual in a small local government.

- **Policies and Procedures:** Personnel policies and procedures are defined in two documents:
  - Personnel Manual (policies developed between 2008 and 20ll)
  - Union agreements with the ASFSME and Teamsters unions (just re-negotiated)

  Sections in the personnel policies reference the labor agreements if these agreements are the defining authority on a topic.

  Employee scores on Mercer's Personnel Practices survey, except Pay, and comments in interviews generally were positive.

- **Job Descriptions:** The Personnel Manual describes major responsibilities for the:
  - Mayor
  - Finance Chair, Utilities Chair, Streets Chair, Parks & Recreation Chair, and Ordinances & Policies Chair (assignments for city council members)
  - City Administrator (references the city code)
  - Police Chief (includes a reference to the city code plus other information)
  - Other Police personnel (refers to Police policies and procedures)
  - City Clerk (references the city code)
  - Public Works Director (reserved for future use)
  - Fire Chief (references the city code)
  - Library Director (not described)
  - All other City Employees (references the appendix)

  Mercer obtained copies of employee job descriptions from the City Administrator, department heads, or employees. We noted that many were aging.

- **Pay and Benefits:** Except for the City Administrator and three department heads (Fire, Library, and Police), the union agreements set pay and benefit levels for city employees. Compensation is not determined by a formal job duty analysis that includes internal and external equity considerations.

  The city's employee benefits package was highly rated in employee surveys and interviews. Some city officials say the benefits package is too robust and the city proposed adjustments in the labor negotiations.

- **Labor-Management Relations:** The current relationship between the Mayor and City Council, City Administrator, and department heads and the members of labor unions generally appears positive.

  As Mercer was writing the draft report, the city and the unions were in the process of renegotiating the labor agreements, which is now completed. The City does not use a labor lawyer or negotiating firm to assist in the negotiations.

- **Performance Evaluations:** Section 9.25 of the Personnel Policies defines a process for Employee Appraisal and Review. The review periods are:
  - **New Employees:** At 30, 60, and 90 days; 6 months; and one year.
  - **Existing Employees:** 90 days after promotion to a higher classification and annually otherwise.

  Current no city department are conducting performance evaluations and there is no connection between performance and compensation. The new labor agreements, however, implement a performance evaluation process.

(b) RECOMMENDATIONS

- **C7: City-Human Resource Management:** (Mayor, City Council, and City Administrator)
  - **a) Policies and Procedures:** Update the Personnel Manual every three years, with an immediate review in the near future.
  - **b) Job Descriptions:** Immediately review and update all job descriptions. Then review them every three years or whenever a major change occurs in job duties.
  - **c) Pay and Benefits:** At least for department heads, conduct a formal job duty analysis that includes a review of equity both internally (how the position's pay compares to other city positions) and externally (how the position's pay compares to the market).
  - **d) Labor-Management Relations:** Use a professional labor negotiator in future contract negotiations.
  - **e) Performance Evaluations:** Implement a performance evaluation process across all city departments as defined in the new labor agreements.

3.) Information Technology

(a) FINDINGS

- **IT Management:** The City Administrator serves as the overall information systems manager for the city, with the assistance of an outside IT consultant for technical support.

  Departments tend to manage their specialized technology applications (e.g., radios, in-car devices, library's circulation system, wastewater's control system, and public works time reporting system).

  The city does not have a formal Information Technology Plan, although technology is a component of the Library's Three-Year Plan.

- **Technology Application:** The city has invested well in information systems technology, hardware and software, with a few exceptions as noted in Chapter IV, City Departments.

- **IT Purchasing Control:** An IT Committee (two city council members and two citizens) review department requests to purchase software and hardware, provide advice on IT options, and make recommendations to the Mayor and City Council.

(b) RECOMMENDATIONS

- **C8: City-Information Technology Management:** (Mayor, City Council, City Administrator, and Department Heads)

  a) **IT Management:** Develop a citywide IT Strategic Plan that looks ahead at least five years. The plan should include technology items (hardware and software applications) in an IT section of the Capital Improvement Program discussed earlier. The plan should include both citywide (e.g., fiber optics) and department needs (e.g., financial system or library circulation).

  From the citywide SWOT Assessment, improve the city's website; WiFi system; Cable TV capabilities, including televising City Council meetings; and emergency communications to residents (for example, texts from Nixle).

  b) **IT Committee:** Connect the IT Committee to the City Council Finance Liaison as a sub-committee. Involve the full committee in development of the Technology Plan. Ensure members of the IT Committee have a solid understanding of technology applications in municipal operations rather than just an IT understanding only from another context (e.g., retail or manufacturing).

4.) Equipment Management

(a) FINDINGS

- **Equipment Inventory:** With the City Administrator converted to a car allowance, the city's inventory of rolling stock and major equipment items now includes forty-six (46) items assigned to three city departments:

  - Fire: 12 Rescues (3), Engines (2), Ladder (1), Other (6)
  - Police: 9 Police Cars (7 now, 6 soon), Other (2)
  - Public Works: 25 Car (1), Light Truck (3), Heavy Truck (8), Construction (5), Other (8)

  Mercer reviews the adequacy of assigned equipment and replacement standards for Fire, Police, and Public Works in Chapter IV, City Departments.

- **Equipment Management:** Management of city vehicles and equipment is decentralized across departments. Each department manages the maintenance needs for its fleet, typically using outside vendors to perform most maintenance. Public Works, however, performs some minor maintenance in house.

  Preventative maintenance programs and records are inconsistent across departments and typically consist of paper records in file folders. From these records it is difficult to perform a condition analysis when the vehicle is approaching the end of its life cycle.

- **Equipment/Vehicle Replacement Plan:** The city and its departments lack a long-term vehicle replacement plan with a reliable funding source, as exemplified by the recent difficulty in deciding when and if to replace a fire engine. Typically, city departments identify vehicles nearing the end of their useful life and request replacements through the annual budget process. Fire, Police, and Public Works have replacement standards, but these are not necessarily supported by the Mayor and City Council due to cost issues.

(b) RECOMMENDATIONS

- **C9: City-Equipment Management:** (Mayor, City Council, City Administrator and Department Heads)

  a) **Replacement Plan:** Develop a vehicle replacement plan based on agreed upon replacement standards. In Chapter IV, we'll comment on standards for Fire, Police and Public Works vehicles and equipment.

  b) **Maintenance Records:** With the *All Max* maintenance management system available in Public Works, consider shifting paper records to this system with Public Works going first as a test case. *All Max* also will help to define and schedule preventative maintenance services on vehicles and equipment.

5.) Facilities Management

(a) FINDINGS

- **Facilities Inventory:** City facilities include six major building (city hall down to public works on the list below) and six parks or activity sites (downtown down to levee):
  - City Hall (1.3 acres and 7,400 square feet)
  - Library (part of city hall acreage and 9,800 square feet)
  - Police Station (about .5 acres and 9,000 square feet)
  - Fire stations (about 2.0 acres and 11,500 square feet)
  - Recreation Center/Vets Plex (5.4 acres and 5,600 square feet)
  - Public Works/WWTP (5.2 acres and PWD offices/garage and plant buildings)
  - Downtown streetscape (2.5 acres)
  - Scout & Hollyhock Parks (6 acres)
  - Greenspaces/Rights-of-Way (17.2 acres/17.2 acres mowing)
  - Huckleberry Park (15 acres)
  - Levee (4 acres and 1,200 square foot pavilion)

- **Facilities Management:** At present, planning for the construction, replacement, and rehabilitation of city buildings and facilities, including parks, is somewhat informal. The 2003-2007 Strategic Plan identified facility needs that were acted upon (e.g., city hall and library, public works yard, wastewater plant, and downtown streetscape). The 2002 Comprehensive Plan listed parks and recreational facilities as a need in the community. Our interviews and the recent Comp Plan community meeting confirm these needs.

  The city administrator and the public works supervisor oversee the management and maintenance of city buildings and facilities. Public Works crews maintain city facilities, including scheduled mowing; snow removal in drives, parking lots and walkways; and minor interior maintenance based on service requests.

(b) RECOMMENDATIONS

- **C10: City-Facilities Management:** (Mayor, City Council, City Administrator, and Department Heads)
  - **a) City Hall/Library Plaza:** Review current uses and the condition of the plaza between city hall and the library, and determine future uses. See the Library section in Chapter IV for specific ideas.
  - **b) Public Safety Complex:** In the Fire section of Chapter IV, we discuss the opportunity to consolidate public safety agencies (fire, police, and Medic) at an expanded complex on the grounds of the current fire station.
  - **c) Facilities Management:** See prior sections on Capital Improvements planning as the foundation for creating a facilities needs assessment and the Public Works section in Chapter IV for facilities maintenance suggestions.

IV. CITY DEPARTMENTS

This chapter of the report describes our findings, including comparative data and operational analyses, and recommendations for the five City departments: Administration, Fire, Police, Library, and Public Works. Citywide issues that impact all city departments are covered in Chapter III, Citywide Functions, except where a topic or issue has a unique twist or application in a specific department.

A. OVERVIEW OF THE DEPARTMENT ASSESSMENTS

Each department section covers the following seven topics:

- **Overview of the Department:** Provides a short summary of responsibilities and services, budget, staffing, and other resources.
- **Results of Interviews and Surveys:** Reports interview findings in the form of a SWOT Assessment (strengths, weaknesses, opportunities, and threat) and summarizes the results of the Mercer employee surveys (Values, GRIPES/Management Practices, Organization Climate, Resources, and Personnel Practices).
- **Strategic Direction:** Assesses the degree to which each department has defined a clear future direction through a functional business plan that includes mission, values, goals and objectives, and performance measures. This assessment draws on principles in Mercer's Model for Strategic Planning in the Public Sector (Exhibit 3 in Chapter III).
- **Service Delivery Structure:** Assesses how services are structured, both in-house and through contracts and partnerships, and whether the current service delivery strategy adequately supports core services and makes sense in terms of efficiency, effectiveness, customer service, and staff/contractor management.
- **Organization and Staffing:** Assesses each department's organization and staffing plan, including the management practices, the number of positions to deliver core services (in-house, contract, and partnership), organization of units and crews, definition of jobs, internal communications, and accountability.
- **Operations Management:** Assesses how each department manages day-to-day operations, including work standards, work planning and scheduling, supervision, technical and administrative support, and activity and performance reporting.
- **Resources Management:** Assesses the adequacy of resources and whether these resources are effectively applied and managed, including budget & finances, equipment, facilities, personnel, technology, and materials.

B. ADMINISTRATION

Administration includes the services provided by the City Administrator and three other city employees working out of city hall. Lacking a separate Planning and Community Development, we include building inspections, code enforcement, community development, economic development, and urban renewal and housing programs in Administration.

1.) Overview of the Department

- **Services:** Staff in city hall perform a wide variety of administrative and financial functions, including, but not limited to:
  - **Budget:** Development, monitoring, and reporting.
  - **Building Inspections:** Scott County reviews plans, processes applications for building permits, and inspects construction.
  - **City Administrator:** Support to the Mayor and City Council, overall management and administration of city departments, liaison to other governmental agencies.
  - **City Clerk:** City Council agendas and minutes, management of official city records, contract management, licenses and permits, building usage, copies of city records, support to city boards/commissions, Freedom of Information act requests.
  - **Code Enforcement:** The City Administrator acts as the city's code enforcement officer.
  - **Community and Economic Development:** City Council liaisons, the City Administrator, and City Hall Staff support the work of the Planning and Zoning Commission, Board of Zoning Adjustment, Parks and Recreation Commission, Tourism Board, and the Chamber of Commerce sub-committee on Economic Development.
  - **Customer Service:** Reception, phone calls, payments, announcements/postings.
  - **Economic Development:** Jointly provided by the city and a sub-committee of the Chamber of Commerce.
  - **Finance:** Accounts payable, accounts receivable, banking, accounting, and financial reporting.
  - **Human Resource Management:** Personnel administration, payroll, employee benefits administration.
  - **Information Technology Management:** Citywide technology (hardware and software), coordination of technical support.
  - **Materials Management and Purchasing:** Purchasing, city hall supplies.
  - **Utility Billing and Collection:** Analysis and recommendations for wastewater fees, customer billing, payment collection, deposits.

- **Budget: Table 1** in Chapter II compiles the city's budgets and expenditures from FY 2014 through FY 2017**. Tables 3c/d/e/f** in Chapter II summarize the FY 2016 budget and FY 2015 re-estimated expenses for LeClaire and the five comparable cities. **Our primary focus in the activities and programs that follow is the FY 2016 budget.**

  (1) Administration: The **FY 2017 budget allocates $311,148 ($74 per capita) to General Government** functions in the four programs shown below, which is **11.5% of the net Government Activities budget** (total less Community/Economic Development, Debt Service, and Capital Projects). The city budgeted $317,547 in FY 2016 ($76 per capita and 9.8%) and spent $300,276 in FY 2015 ($74 per capita) on these functions.

  - Mayor, Council, & City Manager: $ 18,302
  - Clerk, Treasurer, & Financial Administration: $212,784
  - City Hall & General Buildings: $ 21,362
  - Other General Government: $ 58,700

  FY 2016 State budget reports show the **five cities in the comparative analysis** budgeted from $130,636 (West Liberty) to $440,273 (Carlisle) in FY 2016 for General Government activities, averaging $336,037 ($76 per capita). Compared to the net Government Activities budget, these budgets range from 4.5% (West Liberty) to 15.0% (Carlisle), averaging 10.2%.

  (2) Community and Economic Development: LeClaire budgeted $2,644,895 in FY 2017 ($630 per capita) and $2,332,908 in FY 2016 ($555 per capita), and spent $2,043,072 in FY 2015 ($503 per capita). This activity is **19.2% of LeClaire's total Government Activities budget in FY 2017** and 25.7% in FY 2016**.**

  Almost all funds from FY 2015 thru FY 2017 ($2.0 to $2.6 million) were expended in the Other Economic Development line on the State budget report. The other four lines (with the FY 2017 budget and comments) are:

  - Community Beautification: $34,979, but about $3,000 in FY 2016 and FY 2015
  - Economic Redevelopment: $0, but $216 in FY 2016 and $11,988 FY 2015
  - Housing and Urban Renewal: $0, but $1,170 in FY 2016 and $6,680 in FY 2015
  - Planning and Zoning: $18,000, but $9,550 and $12,500 in FY 2015 and FY 2016.

  FY 2016 State budget reports show **four of the five cities, excluding Dyersville, in the comparative analysis** budgeted or spent from $118,000 to $300,000 on the above four Community and Economic Development programs from FY 2014 to FY 2016. Dyersville, the high outlier, budgeted or spent up to $537,397 in these years and West Liberty, the low outlier, budgeted or spent $0 in these years. Eldridge is the only city budgeting for the Other Economic Development program ($140,000 per year on average).

  In FY 2016, the overall cost per capita is $25, which is 2.4% of the total Government Activities budget for these five cities compared to 25.7% for LeClaire in FY 2016.

(3) Debt Service: The **city budgeted $8,042,497 in FY 2017 ($1,915 per capita)** and $2,887,697 in FY 2106 ($688 per capita) and $2,893,989 in FY 2015. Debt Service is **58.4% of the total Government Activities budget in FY 2017** and 31.8% in FY 2016.

State budget reports show the **five comparative cities** budgeted from $477,186 (Camanche) to $1,125,743 (Carlisle) in FY 2016, averaging $609,515 ($138 per capita). In these cities, Debt Service as a percentage of the total Government Activities budget ranges from 8.1% (Carlisle) to 14.5% (West Liberty) with a 5-city average of 12.7%.

Capital Projects: The **city budgeted $387,250 ($92 per capita) in FY 2017** (Debt Service way up) and $625,900 in FY 2016 ($149 per capita), and spent $830,036 in FY 2015 and $747,308 in FY 2014. Capital Projects represent **2.8% of the total Governmental Activities budget** in FY 2017 budget and 6.9% in FY 2016.

State budget reports show the **five comparative cities** budgeted from $0 (West Liberty) to $2,466,200 (Carlisle) in FY 2016. Excluding West Liberty, Capital Projects budgets average $1,326,670 ($283 per capita) and represent from 5.77% (Dyersville) to 38.7% (Carlisle) of the total Government Activities budgets, averaging 22.2%.

- **Staff:** Administrative staff in city hall totals four full-time positions.
  - **C**ity Administrator
  - Deputy City Clerk
  - Administrative Support Services Coordinator
  - Secretary/Receptionist
- **Facilities and Equipment:** Administration is based in the 2005 city hall and uses a standard list of office equipment and computers, all of which appear adequate to accomplish their assigned duties. Their office space includes:
  - Service counter and large shared office for support staff
  - Private offices (6), including the City Administrator, Deputy City Clerk, Outside Auditor, Mayor, and City Council members
  - Mid-sized conference room
  - Work room
  - Kitchen/break room
  - City Council chambers
  - Large storage area

2.) Results of Interviews and Surveys

This section compiles findings from Administration interviews, questionnaires, and surveys. SWOT Assessment findings represent perspectives at the time of the interviews. Items mentioned by several employees are **bolded.**

Mercer Note: These perceptions may be fully accurate, once accurate but now out-of-date, or incorrect. We use them as a starting point for issues to be analyzed during the study.

Implementation: Once the study report is shared with the department, the City Administrator should meet with staff to review the results of interviews and surveys in order to seek a better understanding of and solutions to weaknesses, opportunities, and low survey scores.

(a) SWOT ASSESSMENT

- **Strengths:**
  - **City facilities, including city hall, and infrastructure**
  - **Excellent staff and customer service**
  - IT system, including fiber optic network, and accounting system
  - Public records
- **Weaknesses:**
  - **Politics, factions, lack of cohesiveness, negativity, not enough transparency**
  - **Communications from city hall to citizens (see Opportunities)**
  - Improve condition of city streets and expand recreational facilities and programs
  - Update strategic and comprehensive plans
  - Low fees and charges (Pet Tag = $1), waiving fees
- **Opportunities/Challenges:**
  - Increase the city's general tax base and expand/diversify the commercial tax base
  - Increase revenues and control costs
  - Improve website for public information and city business (e.g., service requests)
  - Broadcast city council meetings on cable TV and improve city Wi-Fi
  - Comprehensive Plan update in process
  - Downtown (Phase II)
  - Accept credit card payments
  - Include yard waste pickup in the Allied contract rather than an extra cost
  - Develop a parks and recreation master plan (aquatics center)
- **Threats:**
  - Lack of civility, respect, cohesion among city officials
  - Budget cuts and layoffs

(b) EMPLOYEE SURVEYS

- **Values:** By a factor of 7:1 staff indicates a Values Statement is not in place, posted, developed with staff help, or related to a citywide statement. But, 3 of 4 employees say a known set of values is lived out every day, which are:
  - Integrity, honesty
  - Optimal service delivery, pride in work
  - Flexible, accommodating, tolerant, TEAM
  - Fair, honest, cooperative, open communications, respect
  - Responsible, innovative, problem-solving

- **Organizational Climate:** The overall OCS score is positive (60.42% Agree, 21.67% Disagree, and 12.14% Undecided). These scores meet our High Performance standards. See **Exhibit 4d** in Chapter VI for detailed results. Three subscales, however, have low Agree or high Disagree scores:
  - Career Opportunities: 30% Agree/50% Disagree (common in small organizations)
  - Work Group Problem Solving (Among Managers): 35% Agree/45% Disagree
  - Work Group Cooperation (Among All Staff): 35% Agree/35% Disagree
  - Compensation & Benefits: 55% Agree/35% Disagree

- **GRIPES/Management Practices:** The overall score of 2.33 out of 5 is well below our Minimum Standard of 3.0=Adequate. Potential Tapped, but with one lower score, is a positive 75% overall. 7 of 12 factors have very low scores:
  - Elected Official Respect: 1.00 Poor
  - City Support for Training: 1.00 Poor
  - Rewards: 1.00 Poor
  - Training Hours: 1.25 Poor
  - Other Department Respect: 2.25 Fair
  - Empowerment: 2.25 Fair
  - Elected Official Support: 2.33 Fair

- **Resources:** The overall score is a very positive 4.23 out of 5. Many factors, however, are rated only by one, two, or three staff members. None of the nine individual factor scores is lower than 3.5 and six are above 4.0, our High Performance standard.

- **Personnel Practices:** The overall score is a bit low at 2.65 out of 5. Personnel scores tend to be .5 to 1 point below the Resources scores. Four scores are very low:
  - Training: 1.00 Poor
  - Performance Evaluations: 1.00 Poor (not used)
  - Pay and Career Ladders: 1.66 Poor to Fair (also see OCS)

3.) Strategic Direction

(a) FINDINGS

- **City Planner:** The City Administrator is the staff person primarily responsible for development of the city's Strategic Plan and Comprehensive Plan. Consultants, like the Bi-State Commission or Iowa State, do the actual work to gather information and prepare the plan documents. Both these plans, as well as functional plans, are covered in the Strategic Direction section of Chapter III, Citywide Functions.
- **Administrative Services Planning:** Mercer learned that the department:
  - Lacks a Mission Statement.
  - Lacks a Values Statement.
  - Has only limited formal goals, objectives, or performance measures (beyond deadlines, like the bi-weekly payroll and periodic state reports).

(b) RECOMMENDATIONS

- **A1: Administration-Strategic Direction:** (City Administrator and City Hall Staff)

  a) **Mission and Values:** Develop a mission and values statement for the administrative group, including administrative and technical functions performed by the City Administrator. Because administrative functions are so diverse city-to-city, we don't provide a sample mission statement.

  b) **Goals and Objectives:** Develop formal goals and specific, measureable objectives (next year) for improvements in administrative services (some relate to the suggested IT Plan) for the next three years to include:

  1) Strategic plan update
  2) Council meetings on Cable TV
  3) Website and Technology upgrades including city Wi-Fi
  4) Credit card payments
  5) Yard waste program

  c) **Performance Measures:** See **Attachment C** for sample performance measures in local government functions and departments.

  d) **Staff Enhancement:** Define the possible need for staff enhancements as the city grows - particularly for the clerk, budget, and financial functions – and as current staff retires over the next five years. We suggest a Clerk-Finance Officer position be the first created. (See Succession Planning in the Human Resources section)

4.) Service Delivery Structure

(a) FINDINGS

- **In-House Services:** Most administrative and financial functions are conducted in-house, with these exceptions that are commonly found in local governments:
  - Deposit and security services are provided by local banks based on a three-year bid cycle with an annual review based on which the City Council decides to extend or rebid.
  - Support for city hardware is provided by a contractor and for software by vendors.
  - Investments are handled by outside parties based on guidance by the City Administrator and Deputy City Clerk.
- **Public Works Assistance:** In addition, the Public Works Department provides several services in support of city hall functions, with the cost of their services charged back to Administration:
  - Facility maintenance
  - Grounds maintenance
  - Wastewater meter reading

(b) RECOMMENDATIONS

- **A2: Administration-Service Delivery Structure:** The current service delivery strategy is reasonable compared to other Mercer clients and industry best practices. Watch the evolution of the city with future growth and assess the need to bring outside services in-house or contract them out. See **Attachment B** in Chapter VI for *Mercer's Decision Criteria for Collaboration and Contracting*. Ensure banking, accounting, technology, and other administrative and financial contracts are bid every 3 to 5 years. (City Administrator)

5.) Organization and Staffing

(a) FINDINGS

- **City Administrator:** The City Administrator, who reports to the Mayor and to City Council, oversees the city's administrative and financial services and staff. As described in more detail under Management Organization in Chapter III, he also serves as the City Clerk and City Engineer, as well as directs several functions (budget and finance, equipment, facilities, human resources, labor relations, information technology, and more) with support from outside specialists as needed.
- **Deputy City Clerk:**
  - Primary duties are accounts payable, purchase orders, cash receipts, banking, financial reporting, general ledger, audit support.
  - Secondary duties are city council agendas and minutes (from the city administrator's notes and meeting recordings), city records, investment coordination (with the city administrator, and debt administration (limited).
- **Administrative Support Services Coordinator:**
  - Primary duties are utility billing and payroll preparation
  - Secondary duties are city records and customer service (phone and counter)
- **Secretary/Receptionist:**
  - Primary duties are licenses and permits and customer service (phone and counter)
  - Secondary duties are building permit assistance and secretary to the Planning & Zoning Commission and Board of Zoning Adjustment
  - Tertiary duties are public notices, sanitary sewer applications, city ordinances, mail processing, and bank deposits.

Mercer identified the following organization and staffing issues:

- **City Administrator:** As the city grows, the City Administrator will come to a point where he is wearing too many managerial hats to be fully effective in each area.
- **Financial Manager:** A new position may be required soon to supervise financial operations (e.g., City Clerk-Finance Officer). Dyersville has such a position.
- **Deputy City Clerk:** The Deputy City Clerk would like to serve as the City Clerk, a position filled in the distant past (up to 1988), in order to have full authority to manage the work of the two administrative support positions.
- **Succession Planning:** All four Administrative positions will be eligible to retire between 2019 and 2021. The city does not appear to have a succession plan for these important positions.

(b) RECOMMENDATIONS

- **A3: Administration-Organization and Staffing:** (Mayor, City Council, and City Administrator)

  a) City Clerk and Finance Officer: As part of succession planning and to provide an overlap with future retirees, create a new City Clerk and Finance Officer position in FY 2019 to be supervised by the City Administrator. This position would oversee all day-to-day operations for financial services and administrative functions, and supervise the two administrative support positions in city hall.

  The City Administrator, then, would focus on other support functions, including budgeting, capital projects planning, human resources management, and information technology.

  Task the Public Works Supervisor with a larger role in equipment and facilities management with oversight by the City Administrator.

  b) Succession Plan: Develop a Succession Plan for each of the four Administration positions in conjunction with Strategic Direction and Service Delivery Structure assessment of needed City Hall positions and contractors.

6.) Operations Management

(a) FINDINGS

- **City Hall Role:** The City Administrator and city hall staff are the central providers and controllers of administrative and financial functions for city hall and city departments.

- **Administrative Policies:** Administration lacks a formal Policies and Procedures manual, relying instead on the City Code, Personnel Policies, and staff check lists, which may not be up-to-date. Written policies and procedures are important with the not so distant retirement of three key employees. Administrative functions do not have formal performance measures, just deadlines.

- **Technology:** Administrative technology, including the accounting system from Data Tech, appears to be working well in support of administrative and financial functions. An outside vendor services IT equipment with good reviews and vendors support applications also with good reviews.

- **Purchasing:** The City Administrator acts as the city's purchasing agent. Individual city departments are responsible for purchasing, storing, and managing inventories of materials and supplies.

  The City Code sets a $10,000 limit on purchases for budgeted items before City Council approval is required (City Administrator and department heads). The Personnel Policies set limits for the five city credit cards ($5,000 for the City Administrator and $1,000 for the Police Chief, Fire Chief, Library Director, and Public Works Supervisor).

  Some department heads indicate these limits are low compared to other local governments, but Mercer thinks they are reasonable compared to other clients.

  Many purchase orders are created after the fact, which suggest the need for more blanket or annual purchase orders.

- **Code Enforcement:** The **City Code** includes sections on Nuisances and Animal Control (e.g., Junk and Junk Vehicles, Weed Control and Abatement, and Animal Control); Traffic and Vehicles (e.g., Abandoned Vehicles); and Building and Property Regulations (e.g., Dangerous Building, Trees, Satellite or Dish Antenna, and Signs). **To be effective, these ordinance need to be enforced** through driving the streets, observing properties for possible violations, inspection of these situations, citation of violations, collection of fines, and, if needed, adjudication.

  The City Administrator explained that **code enforcement in LeClaire is reactive, with little proactive observation and inspection.** Police, Public Works, and Fire are asked to "keep an eye open" for code issues as they work in the city, which may not be a high priority (not uncommon in local government). When complaints are filed (e.g., building a garage without a permit, misplaced fence, or junk cars), the City Administrator investigates, interacts with the identified party, and writes a "fix this" letter if appropriate.

Police officers write tickets for municipal infractions as a last recourse.

(b) RECOMMENDATIONS

- **A4: Administration-Operations Management:** (City Administrator and City Hall Staff, as well as Department Heads for Code Enforcement)

  a) **Policies and Procedures:** In 2016 and 2017 compile administrative and financial policies and procedures into a formal manual that includes performance measures and a review of the need for blanket/annual purchase orders.

  b) **Purchasing:** During the review above, ensure procedures provide for a periodic check to ensure departments follow purchasing procedures (e.g., 3 bids). Also, look for opportunities to expand blanket or annual purchases for common items to limit after-the-fact "confirming" purchase orders. One goal may be to provide pre-arranged ways to get needed items without using city credit cards.

  c) **Code Enforcement: Small cities face a dilemma with code enforcement**, including the Life Safety Code (see Fire in Chapter IV). It's important, but they don't have funds for a dedicated code enforcement officer. So, everyone chips in, but in reality no one makes code enforcement a priority and the system becomes mostly reactive, like LeClaire. **Mercer, however, sees code enforcement as a key contributor to a city's quality of life and its attractiveness to new residents and visitors, particularly if the city is a tourism destination.**

     1) **City Staff:** Many cities adopted a **formal team approach**, which LeClaire should adopt with the City Administrator directing. Use Fire, Police, and Public Works as the city's "eyes and ears." This task must be an important element of the job duties and performance evaluations of city employees and department heads, so it is important and an everyday activity.

     2) **Residents:** Explain the value of code enforcement then encourage residents to report possible violations via an online reporting system or calls to City Hall. The city newsletter, website, and City Council meetings can be used to educate and encourage public support and participation.

     3) **Neighborhoods:** The hill area above downtown is a critical focal point for code enforcement as this area has older structures, which may detract from the ambiance of visiting downtown and the levee. This area also seems to need improvements to public infrastructure, particularly streets and storm drainage. Citizens living in this area may need to be educated on the importance of property upkeep to maintaining property values and enticing visitors to the downtown and surrounding areas.

     4) **Mayor and City Council:** Need to actively champion code enforcement or the process will fall apart with exemptions and special cases.

     5) **City Administrator:** Needs to be consistent in applying the City Code and in ensuring due process for cited violators. He also needs to push code enforcement as a priority in department head meetings and each month inform the City Council of that month's actions and open cases.

7.) Resource Management

(a) FINDINGS

- **Budget and Finance:** Administration is well-provided for. See the Comparative Analysis in Chapter II and Resource Management section of Chapter III.
- **Equipment and Facilities:** Administration is well provided for, including technology.
- **Human Resources:** Job descriptions for some city hall positions are aging and need to be undated. Like most other city departments, Administration does not use performance evaluations.

(b) RECOMMENDATIONS

- **A5: Administration-Resource Management:** (City Administrator)
  - **a) Job Descriptions:** Update employee job descriptions.
  - **b) Performance Evaluations:** Implement the newly negotiated performance evaluation program per city policy beginning with anniversary dates in calendar year 2017. In 2016, review options and finalize the performance evaluation system then train employees.
  - **c) Succession Plan:** Prepare the Succession Plan mentioned under Organization and Staffing.

C. FIRE DEPARTMENT

The LeClaire Fire and Rescue Department (LFD) was founded in 1906 and operates as a volunteer Fire Department, with most funding from the city and some from the First Fire District.

1.) Overview of the Department

- **Services:** LFD responds to fire, emergency, service, and medical calls in the city of LeClaire, in Scott County, outside the county, and on the Mississippi River. The current **Insurance Services Office (ISO) rating is 4** out of 10. The department responded to **421 calls for service in 2015**, or an average of 1.15 calls per calendar day, as shown on Table 5. The **five-year average is 400 calls per year**, with a similar allocation of calls across calls types as in 2015. **Over 95% of calls for service do not involve an actual fire**, but relate to medical and other situations.

Table 5

Fire Department Calls for Service

DATA ELEMENT	2015 CALLS (%)	5-YEAR AVE (%)
By Type of Call		
Fire (structure, car, grass)	19 (4.5%)	19.2 (4.8%)
False Alarm	18 (4.3%)	16.0 (4.0%)
Special Incident	3 (.7%)	1.4 (.4%)
Service Call (People assist)	27 (6.4%)	24.2 (6.1%)
Rescue/EMS (Medical)	254 (60.3%)	264.4 (66.2%)
Hazardous Condition	20 (4.8%)	20.6 (5.2%)
Good Intent	80 (19.0%)	53.8 (13.5%)
By Location of Call		
In City Limit	357 (84.8%)	324.0 (81.2%)
County (1st Fire District)	49 (11.7%)	56.4 (14.1%)
Out of County/District	9 (2.1%)	9.4 (2.4%)
River	6 (1.4%)	9.0 (2.3%)

Definitions: Special Incidents are dispatched then canceled, wrong location, or not a fire. The three in 2015 were miscoded. Good Intent calls include a neighbor calling when a smoke detector goes off and a misidentified hazard or situation (a body in the river turns out to be a log and a so-call jumper on a bridge is someone taking pictures). Hazardous Condition calls are fuel, anti-freeze, anhydrous ammonia, or other spills.

Annual fire and emergency medical calls in comparative cities in 2014 and 2015 ranged from a low of about 100 in Dyersville (the low outlier) and 471 in Eldridge to a high approaching 600 in Camanche and Carlisle. These fire departments also had a very high level of medical calls (70% or more of total calls). So, LFC annual calls (400+) are below levels in four of the other five cities.

- **Budget:** The **FY 2017 Fire budget is $136,509 ($33 per capita) with no fire apparatus**. 87% of the budget comes from General Revenues and 13% from Special Revenues. The 1st Fire District provides slightly over $50,000 per year for mutual aid responses. Fire is 1.0% of total Government Activities funding and 13.8% of Public Safety. **Mercer believes Fire has adequate resources to effectively respond to calls.**

  Fire expenditures for the three prior years are $792,222 in FY 2016 Re-estimated (with a $650,000 apparatus) for a net of $142,222 ($34 per capita) for operations; $150,204 in FY 2015 ($37 per capita); and $132,109 in FY 2014 ($34 per capita). The FY 2014 thru 2017 budget/spending average is $140,261 ($34.50 per capita).

  Per State budget reports, the **five cities in the comparative analysis** budgeted from $97,620 (Dyersville) to $626,760 (West Liberty) for Fire services in FY 2016, averaging $322,566 ($72 per capita). Camanche, Carlisle, and West Liberty fund a few full-time or part-time firefighters in their budgets to provide coverage on week days.

  However, Camanche's FY 2016 budget is over $200,000 higher than FY 2015 spending and West Liberty spent $550,000 less in prior years. Evening out the data to "normal" spending levels, the FY 2016 average is $165,579 ($37 per capita).

  Camanche, Carlisle, and West Liberty also budget for Ambulance Services. FY 2016 costs range from $165,982 (Carlisle) to $236,365 (West Liberty), averaging $198,492 ($46 per capita).

- **Staff:** The department is directed by the Fire Chief and staffed by a total of 31 active members (28 regular and three probationary). Three firefighters recently left the department, two due to time obligations and one to age.

  Medical certifications are EMT-B (9), First Responder (1), and Emergency Medical Responder (8). Paramedics and ambulance services are provided by Medic Emergency Medical Service, which operates a station in downtown LeClaire that also serves Princeton. A few LeClaire firefighters work for Medic as paid-on-call EMTs.

  LFD personnel are supplemented by mutual/automatic aid partners from area volunteer and full-time fire departments, as well as a Haz-Mat unit from the city of Bettendorf.

- **Facility: LFD operates out of a single station** at the corner of 15th and Jones Streets, which opened in 2001. The old station is used by Medic Ambulance Service. Interviews with Fire, Police, and Medic show an interest in a combined Public Safety Complex at the current fire station. The LFD station has the following features and capabilities:
  - Eight bays for fire apparatus and equipment
  - Museum/History Center
  - Two offices for command staff, Radio Room, and Day Room (could put in bunks)
  - Training/conference room and community room and kitchen (rent out both)
  - Staff and visitor parking (in front)
  - Apparatus pad and supplemental parking (in back)
  - A large area of unused, grass land on the East and North sides of the station

- **<u>Equipment</u>: Six major pieces of fire equipment currently are assigned to LFD**. The Chief uses his personal pickup-truck as a support vehicle. In addition, each firefighter is assigned personal turnout gear, including an air pack.

<u>Mainline fire equipment (in order of response)</u>:

1. **<u>Engine 2</u> (2016):** New Rescue-Pumper now is First-out on residential structure fires. (Miles=580 and Engine Hours=Minimal)
2. **<u>Ladder Truck 1</u> (2006):** First-out on business/multifamily fires and Second-out on other structure fires. Ten responses in 2015. (Miles=11,294, Engine Hours=667, and Ladder Hours=296)
3. **<u>Engine 1</u> (1991):** A reserve unit now and formerly first-out on residential structure fires. (Miles=16,538 and Engine Hours=2,046)

<u>Rescue equipment</u>:

4. **<u>Rescue 2</u> (1995):** This truck is first-out on grass fire and pulls one boat trailer (Miles=11,786)
5. **<u>Rescue 3</u>:** A 16' flat bottom boat with side-scan sonar.
6. **<u>Rescue 4</u>:** A 20' V-boat with a drop down front bow for loading victims from the water and for loading and unloading divers, equipment, and personal gear. 200 gallon per minute fire pump and 360 degree sonar unit. Dry stored at Green Gables Marine during the boating season.

   Two boats were acquired through grants. Princeton, Bettendorf, Port Byron, and Hampton also have rescue boats.

   The Rescue Boats were used seven times in 2014 on five different days; five times in 2015 on five different days; and twice so far in 2016.

   <u>Historical Note</u>: Per the City Administrator, the Fire Department has always had a boat due to the city's proximity to the river. Over-the-years, that single boat grew in size and complexity from a simple "John Boat" to Rescue 4 today. In the 1990s, the department acquired a 21' Boston Whaler via a donation via another city project. Then in 2012 the city received a 100% Department of Homeland Security grant for $175,000 to acquire a second fire boat at which time the Boston Whaler was sold to the City of Princeton.

A new rescue-pumper was purchased in 2016 (delivered in May) with two other vehicles traded in:

- **Rescue 1 (2003):** Traded in 2016 with $55,000 trade-in value
- **Engine 5 (1980):** Traded in 2016 with $5,000 trade-in value

2.) Results of Interviews and Surveys

This section compiles the results of Fire Department interviews, questionnaires, and surveys. Findings represent perspectives at the time of the interviews. Items mentioned by several employees are **bolded.**

Mercer Note: These perceptions may be fully accurate, once accurate but now out-of-date, or incorrect. We use them as a starting point for issues to be analyzed during the study.

Implementation: Once the study report is shared with the department, the Fire Chief should meet with staff to review the results of interviews and surveys to seek a better understanding of and solutions to weaknesses, opportunities, and low survey scores.

(a) SWOT ASSESSMENT

- **Strengths:**
  - **Investment in fire station, apparatus, and gear (good for 3-5 years)**
  - **Firefighters are loyal to the community (active in events like Tugfest)**
  - **Department works well as a team (self-governing, on scene, with police)**
  - **Fire staff's experience, knowledge, and skills (know the city)**
  - Water supply is great in town and Dispatch services are good
  - Safe city in which to operate
- **Weaknesses:**
  - Lack the funding to be a great department
  - Fire "bad-mouthed" by city officials (e.g., equipment requests)
  - Respond to more mutual aid calls than they receive help on (but see call data)
  - No vehicle/equipment replacement plan (e.g., all air packs replaced at one time)
  - Difficult to maintain the goal of 30 volunteers
  - Pre-plans are on paper and not well organized
  - Fire leadership not pushing Fire forward/up (e.g., inconsistent application of policies and procedures, no performance evaluations)
  - All firefighters paged out, including at nights (but on call shift only on medical)
  - No tanker, but Princeton and Eldridge have several
- **Opportunities:**
  - Need to help city council become more informed about the department
  - With growth, the department will need some full-time firefighters at some point
  - Put fire apparatus on a 20-year replacement cycle
  - Update the policies and procedures (in process)
  - Need a part-time secretary and more training funds for outside courses
- **Threats:**
  - Reduction in the number of volunteer firefighters
  - Lack of support from the city council

(b) EMPLOYEE SURVEYS

- **Values:** Fire Department employees by a ratio of 5 to 1 say the department lacks a formal Values Statement that is posted, developed with employee input, and related to an overall city statement. 67% of respondents, however, say that a set of values are lived with the following being the primary values stated in the surveys:
  - Flexible, accommodating, helpful, tolerant, a TEAM!
  - Integrity, honor, trust, compassion
  - Optimal service delivery, pride in work, professional

- **Organizational Climate:** OCS scores generally are very positive with an overall Agree score of 59.24% (at our High Performance Standard of 60% Agree) and ten of twelve subscale scores above 60% Agree. See **Exhibit 4e** in Chapter VI for detailed results. Two scores, however, are below Mercer's Minimum Standard of 50% Agree:
  - Compensation and Benefits (24% Agree, 40% Disagree, and 36% Undecided)
  - Management Competence (49% Agree, 20% Undecided, and 31% Disagree)

- **GRIPES/Management Practices:** The overall score of 2.96 out of 5 is close to Mercer's Minimum Standard of 3.0. Respect by Elected Officials (1.88), Support from Elected Officials (1.66), and Rewards (1.22) are very low.

  Potential Tapped has an overall score of 82.5%, which is excellent.

- **Resources:** The overall score of 3.29 out of 5 exceeds Mercer's Minimum Standard of 3.0. Only Other Resources (2.66), Vehicles (2.77), and Computers (2.88) are below that standard. With a new fire apparatus coming in the spring of 2016, Mercer expects the Vehicles score would improve significantly if the surveys were taken again.

  The scores for the Facility (4.25) and Gear (4.11) exceed our High Performance Standard of 4.0.

- **Personnel Practices:** The overall score of 2.80 out of 5 is slightly below Mercer's Minimum Standard of 3.0. Note that scores on this survey tends to be .5 to one-point lower than the Resources Survey.

  The low Pay (1.57) and Benefits (1.57) score concur with the low OCS score for Compensation and Benefits and low GRIPES score for Rewards.

  The low Labor Relations (2.4) score may connect to the somewhat low OCS score for Management Competence.

3.) Strategic Direction

(a) FINDINGS

- **Mission Statement:** Per the department's Standard Operating Guidelines, the **mission of the LeClaire Fire Department** *"is to provide excellent life and property safety to the community by aggressively enforcing modern fire prevention codes and laws: effectively educating the public of its role in fire safety; safely and efficiently extinguishing fires; and providing emergency medical and rescue services consistent with the role of a progressive fire department."*

  The department's motto is *"Whatever it takes…"*

- **Values:** The department has not created and disseminated a Values Statement, but firefighters say they live a set of mutually-understood values as defined in the surveys.
  - Flexible, accommodating, helpful, tolerant, a TEAM!
  - Integrity, honor, trust, compassion
  - Optimal service delivery, pride in work, professional

- **Strategic Business Plan:** The department has not developed a strategic business plan with a long-term (at least ten year) focus. The technical Standard Operating Guidelines (SOGs) are not a substitute for a strategic business plan.

  The Fire Strategic Business Plan, in addition to mission, vision, values, goals and objectives, and performance measures, would assess the pros, cons, implications, and cost benefits of new ideas and innovative approaches:

  - **Framework:** What is the city's conceptual framework for Fire, meaning its definitions of "optimal" fire protection, "reasonable" costs, and "acceptable" risk?
  - **Structure:** Are there alternative approaches to fire services (e.g., regional fire district or merger of nearby city departments) that improve services and cut costs?
  - **Cadre:** Are a few full-time firefighters needed for weekday response, enforcement of the life safety code, and fire prevention and education programs?
  - **Complex:** Would a consolidated Public Safety Complex co-locating Fire, Police, and Medic make operational and financial sense?
  - **Ladder Truck:** Is there an alternative approach to providing ladder truck services (e.g., Bettendorf, fire district, merged department) that continues to meet community response standards for this key piece of equipment?
  - **Boats (both grant-funded):** A River City needs a boat. But, one or two, and with what specifications, to adequately respond to 5 to 7 calls each year?
  - **Compliance:** What does Fire need to continue to meet the guidelines and rules of ISO, the National Fire Protection Association (NFPA), and the Commission on Fire Accreditation International (CFAI)?

(b) RECOMMENDATIONS

- **F1: Fire-Strategic Direction:** (Fire Chief, Command Team, and Firefighters)

  a) Mission: Rethink the mission statement to make it shorter, simpler, and pithier, while continuing to explain why LeClaire Fire is in business. For example: *"Provide industry-best and cost-effective fire prevention, fire protection, emergency medical, and other emergency services within the city and to surrounding areas."*

  b) Values: Use the values listed by firefighters in the Mercer surveys to develop a formal Values Statement. Ensure firefighters have input in creating the statement.

  c) Strategic Business Plan: By the end of 2016, develop core elements of a strategic business plan as defined in Findings, with the full plan completed by mid-2017. Use Mercer's our strategic planning model (see Chapter III) as a guide to developing the plan. Regarding the questions in Findings, Mercer believes:

  - **Framework:** To date, the city has not defined optimal fire protection or acceptable risk. Its sole focus has been on reasonable cost due to budget challenges. In our management model, reasonable cost decisions derive from optimal fire protection and acceptable risk decisions. The words in the current mission express a commitment to a high level of service ("excellent, aggressively, effectively, progressive").
  - **Structure:** The current automatic/mutual agreements may be the foundation for a district, regional force, or merged departments.
  - **Cadre:** Now is not the time for full-time firefighters, but enforcement of the life safety code, fire prevention services, and fire educations program is difficult under the volunteer system. Soon?
  - **Complex:** A consolidated Public Safety Complex makes senses, not just for operational reasons, but also to open up valuable downtown properties for redevelopment by tax-paying companies.
  - **Ladder Truck:** LeClaire needs a "quick-responding ladder truck" per our Fire Specialist based on structures in the city. The location of area ladder trucks does not meet the ISO criteria of 2.5 road miles to any area with tall buildings. Mobilization of full-time or volunteer firefighters + travel time to LeClaire is 17 to 27 minutes vs. a NFPA 1720 standard of 10 minutes. See Section 7, Resource Management, for greater detail.
  - **Boats:** With such limited use, the Fire Department may only need one appropriately-designed boat in the future.
  - **Compliance:** ISO, NFPA, and CFAI criteria apply to all departments, including volunteer agencies. Rules like "two-in/two-out" and an adequate response force are important to operational effectiveness to and citizen and firefighter safety.

4.) Service Delivery Structure

(a) FINDINGS

- **In-House Services:** The Fire department provides traditional fire prevention, fire protection, rescue, and medical first responder services within the city of LeClaire and outside the city as a mutual/automatic aid responder.
- **Mutual/Automatic Aid:** Primary mutual/automatic aid providers in the area include the following agencies. In 2015, LFD received mutual/automatic aid five times and provided it six times…basically a wash.
  - **1st Fire District:** General response
  - **Davenport:** General response and Haz-Mat
  - **Eldridge:** General response and tankers
  - **Port Byron:** General response and tankers
  - **Princeton:** General response and tankers, plus joint training at Princeton's burn house. Automatic aid agreement.
  - **Volunteer Departments:** Other volunteer departments
- **Other Service Partners:** Three other partners support the work of LFD:
  - **Medic Emergency Medical Services:** Provides accredited paramedic ambulance service with a station in downtown LeClaire since 2001 or 2002. The sale of the old fire station to Medic helped built the current fire station on the hill.

    Per the Medic Executive Director and a Paramedic-on-duty, LFD and Medic have a strong, positive relationship and work well as a team. Medic expects the LeClaire station to remain in the city. She raised some interesting points in our conversation:
    - ✓ The importance of volunteer, paid-on-call EMTs from the community to support the paramedic ambulance service and keep personnel costs down
    - ✓ Although pleased with the current station, a joint Fire-Medic station at the current LFD station would better position Medic ambulances, while freeing up a downtown property
    - ✓ The Medic station has living quarters so a joint LFD-Medic station with living quarters may support the city's long-term need for some full-time firefighters if extra bunks are built
  - **Scott County:** Dispatch services, building inspections, and financial support for rural area ambulance services based in LeClaire, Eldridge, and Blue Grass.
  - **Fire Apparatus Dealers:** Preventative maintenance and repairs for fire apparatus.

(b) RECOMMENDATIONS

- **F2: Fire-Service Delivery Structure:** (Fire Chief and Command Team)

  a) **Mutual/Automatic Aid:** The current service delivery structure makes good use of department and regional resources, and appears to be working well. LFD assistance to/from other department is relatively balanced. Mercer suggests no major changes.

  b) **Coordination of Fire, Medical, and Police Services:** Medic is a key partner in providing emergency medical services in LeClaire. Based on our conversations with Fire, Police, and Medic representatives, we suggest the following collaborative actions. Once our report is issued to the Fire Department, the Chief should brief Medic on these ideas.

     1) **Public Safety Complex:** Initiate conceptual discussions between the City, Fire, and Medic to explore the value and feasibility of Medic moving its station staff and equipment to an expanded city fire station up the hill. A key part of that discussion is a broader assessment of the reuse potential for Medic's current station downtown and the potential value of moving the Police Department up the hill as well to free up that property for redevelopment.

        In effect, with Phase II of the downtown plan longed for by many people, this initiative enhances downtown as Phase 2.5 in what appears a fairly affordable manner, assuming Medic reprograms proceeds from the sale of their downtown station into an expanded city fire station. (Action also required by Mayor, City Council, and City Administrator)

     2) **Recruiting Volunteers:** Development of an education and marketing plan to get more community residents to volunteer as LeClaire FD firefighters and as Medic EMTs and drivers (see Organization and Staffing). Medic will put prospective volunteers through EMT training, likely at no cost to the participant or the city. (Action also required by the City Administrator)

     3) **Service Coordination:** Regular discussions/meetings with City, Fire, and Medic officials to coordinate services, resources, and needs, as well as periodic presentations by the Fire Chief and Medic to the City Council. (Action also required by the Mayor and City Administrator)

5.) Organization and Staffing

(a) FINDINGS

- **Management Organization:** Chapter 35 of the **City Code** establishes a Volunteer Fire and Rescue Department. The ordinance also:
  - Limits the department to 40 members (31 now)
  - Empowers the City Council to set compensation for members
  - Permits members to elect the Fire Chief, with their selection a recommendation to the City Council for final approval and appointment
  - Defines the Fire Chief as an at-will employee
  - Defines the duties of the Fire Chief
  - Requires the department to develop, adopt, and periodically review policies and guidelines, with review by the City Administrator before approval by a majority of members
  - Authorizes the department and the Fire Chief to expend all appropriated moneys and to use and expend all gifts, donations, or payments
  - Authorizes the department to charge for services

  The duly elected **Fire Chief** then appoints deputy chiefs, captains, lieutenants, driver/ operators, and other lead positions.

  The Fire Department's nine-person **management team** includes:

  - Fire Chief
  - Assistant Chief (one for Emergency Medical Services and one for Fire Prevention and Medical Supplies)
  - Captain (three who direct the three weekly training sessions each month, as well as EMS coordination by one of the captains)
  - Lieutenant (three who assist with training and mentor new firefighters)

- **Staffing:** The **City Code** permits up to 40 "members" (firefighters), but the department has settled on thirty (nine of those officers) as a reasonable number to meet current responsibilities. However, it appears from interviews that only about 10-15 members are very active in responding to calls.

  Total staffing per the 2015 annual report is **thirty-one firefighters** (includes the officers above), three of whom are probationary. Three firefighters recently resigned, two due to the time commitment and one due to age.

  Nine firefighters are certified EMT-B, eight are certified Emergency Medical Responder, and one is a First Responder. Emergency Medical Responder and First Responder certifications are equivalent. No firefighter is certified as a paramedic.

  Before being approved for **Firefighter/EMT training**, a candidate must commit three years to the department because firefighters first are hired then trained. Potential candidates are voted into membership by current members.

  Several people raised the **future prospect of a small cadre of full-time firefighters** on duty during weekdays to ensure adequate and timely responses to calls for service. At present only one to three firefighters respond to weekday calls. A few firefighters working night shifts at their companies are home on weekdays and available to help the LeClaire Fire Department respond to calls. Camanche has three full-time firefighters for weekday duty; Carlisle has a few part-time firefighters for the same purpose; and West Liberty has a full-time EMS Coordinator.

  Daytime response is a common problem with volunteer departments as people now work farther from home and their assigned fire department. To ensure adequate weekday response, a Mercer client of about 30,000-population near to St. Paul, Minnesota made this three-step transition from volunteer to a hybrid department:

  - Negotiated the merger of three independent fire associations, with five stations, into a single city Fire Department.
  - Hired a Chief, Deputy Chief, and Fire Marshal, plus a Secretary, to work 8-hour, weekday shifts to guarantee staffing for emergency calls. All three senior officers were kept quite busy responding to calls at first.
  - A few years later, expanded staffing to 12 full-time firefighters on 24/48 shifts to form a stronger cadre of first responders. This freed up the Chief, Deputy Chief for fire management activities and fire prevention, education, and inspections work. The city still maintained a large cadre of volunteers for evening and weekend response.

(b) RECOMMENDATIONS

- **F3: Fire-Organization and Staffing:** (Fire Chief and Command Team)

  a) Management Organization: The Fire Chief is in a challenging leadership position being answerable to the membership and to the City Council. From information shared in our interviews, we encourage him to expand communication and relationship-enhancing efforts with both.

  1) **Internally,** the update to the policies and procedures, supported by training, will offer communication and teambuilding opportunities. In addition, the Chief should go over the employee survey scores to figure out why respondents gave low scores on a few important factors, such as Management Competence in the OCS.

  2) **Externally,** LFD employees want the Mayor and City Council to have a better understanding of fire services and needs, which may help to resolve issues leading to low employee survey scores on elected official Respect and Support questions. Visits by elected officials to the fire station are encouraged.

  Based on our interviews with all, but one, senior officer, the Fire management team seems well organized and fully committed to and engaged in performing their roles, considering all are volunteer positions.

  b) Staffing: As well as the Fire Department performs, Mercer is concerned that only 30 to 40% of its thirty members are very active in responding to calls and that only a few members are consistently available for weekday calls.

  1) **Number of Volunteers:** We suggest the Fire Chief and the command team reconsider the 30 member standard and recruit additional members over the next few years who show stronger signs of being very active, as well as encourage/enforce a higher level of participation by less active members, perhaps through monthly bonuses for a (to be defined) number of response (Medic does this). But, all staff call outs, particularly for medical calls are not recommended.

  2) **Full-Time Firefighters:** Mercer is not prepared to recommend any full-time firefighter positions at this time. We believe that need lies five or more years in the future. Nevertheless, the department should begin to plan for a day when a small cadre of full-time firefighters, either weekdays or 24/48 shifts are needed, including station re-design to add a bunkroom.

6.) Operations Management

(a) FINDINGS

- **Policies and Procedures:** The Fire Chief is updating the Standard Operating Guidelines (SOG). Current SOG's were developed 3 to 6 years ago and approved by the former chief. The Membership chapter covers topics in the city's Personnel Manual (e.g., hiring, probationary period, missed duties, leave of absence, retirement), as well as technical fire topics (e.g., training, incident command system, mutual aid).

- **Calls for Service:** As shown earlier on **Table 5**, the department reported 421 calls in 2015 and a five-year average of just under 400 calls. Of the five-year average:
  - **Type:** 66.2% are Rescue/EMS, 6.1% Service Calls, 4.8% Fire, and 5.2% Hazardous Condition. Good Intent calls are 13.5% and False Alarms are 4.0%.
  - **Location:** 81.2% are city, 14.1% county, and 4.7% out-of-district or up river.

- **Shift Schedule:** Fire has created three shifts to ensure coverage at night, and these shift are "on duty" from 10 PM to 6 AM. Shifts are staffed by the Chief or Assistant Chief, a Captain, a Lieutenant, and about 7 Firefighters. The department has identified a small number of daytime on-call firefighters for building or fire inspections and basic maintenance on vehicles and the station.

- **Dispatch:** The Sheriff's Dispatch Center is said to be doing a good job. All LFD firefighters have pagers and/or get texts on cell phones, and are paged or texted out on every call, including medical calls. "All calls" are a common practice in volunteer fire departments. Fire radios are said to be up-to-date.

- **Pre-Plans:** Response plans for major businesses and structures are written documents, not electronic, and not available in all fire apparatus and vehicles.

- **Plan Reviews and Inspections:** We understand that Scott County does not perform Life Safety Code compliance inspections and the city has not adopted the Life Safety Code. The State Fire Marshal annually inspects schools and hotels. Restaurants and rental units are not inspected for code compliance (a major issue in other cities). An LFD firefighter serves as the city's Fire Marshal and may conduct reactive inspections.

- **Fire Operations:** Fire appears to have a good incident command system in place and works well with other departments and Medic. A formal debriefing process is described in the SOG's and used for major incidents.

  Water services are said to be great in town, but tankers are required upriver and to the west due to a lack of fire hydrants. These tankers are provided by Princeton, Eldridge, and Port Byron, not LeClaire. LFD apparatus have enough water to start fire operations.

(b) RECOMMENDATIONS

- **F4: Fire-Operations Management:** (Fire Chief and Command Team)

  a) Policies and Procedures: Complete the SOG update by the end of 2016 and coordinate personnel topics with the City Administrator to ensure Fire policies comply with the city's personnel policies. Allow all firefighters to review and comment on draft SOGs. Conduct follow-up training on the updated SOG with Fire personnel on regular training nights.

  b) Shift Schedule: Mercer likes the three shifts. This approach focuses non-fire calls to only 1/3 of department personnel who are fit and ready to respond, rather than a general call out.

  c) Dispatch: Review call-out/paging protocols to see if they can be limited to the shift on duty (except in a major incident), which likely would require new pagers. Keep an eye on planning for system upgrades that might have a fiscal impact.

  d) Pre-Plans: Distribute pre-plans to each major piece of fire equipment and command car. Make sure they are reviewed and updated every 2-3 years. Look at opportunities to computerize the plans and supporting files, such as building layout diagrams and places where hazardous materials are stored.

  e) Plan Reviews and Inspections: Coordinate discussions about enhancing general code enforcement activities (See Administration) with enforcement of the Life Safety Code, which the city should adopt once resources are in place for administration and enforcement.

  In the meantime, Fire should measure the needs and risks in LeClaire and determine which commercial properties, rental units, and gathering places may need to be inspected biannually, annually, or more frequently. Once the need, risk, properties, inspection frequency, and workload are defined, present the program to the City Council for review and approval once the Life Safety Code is adopted.

  Fire also should determine if the department has the resources and skills to perform these inspections. If not, the city may need to look to the County or to contractors in the private sector (like Planning and Engineering firms) to perform the inspections. (Add the Mayor and City Administrator in the planning stage and the City Council to implement)

  f) Fire Operations: No other recommendations.

7.) Resource Management

(a) FINDINGS

- **Finances:** The City Council sets **Fire's annual budget**, as well as approves purchases of major equipment. The council feels it is being generous to Fire compared to other communities, but the department says it needs more funding (not just equipment) to be a great department. Firefighters say council members do not understand the department and seldom visit or express interest in learning what the department does and needs.

  The City Council sets the firefighter compensation budget and the Fire Chief's annual stipend as he is considered a city employee. The Chief, however, may choose another pay option within the stipend program approved by the city. Fire then defines how firefighters earn credits for the annual stipend. Average yearly pay is $200 to $250.

  The **Firefighters Association** raises funds each year with $1,000 to $3,000 a year, per an association officer, managed by the association, not the city. The Chief says these funds are used for items above and beyond the city's budget, such as gift cards for injured or sick firefighters or their family members, and contends the association operates independently of the city. A City Council member suggested this money should go to the city. Mercer talked with the City Attorney who states the city and the Firefighters Association have a symbiotic relationship. He indicated that discussions between the city and the association on this issue and others are ongoing with a goal of ensuring effective stewardship of these funds as defined in formal policies, procedures, and internal controls. The Firefighters Association is not a part of the city's annual financial audit.

  The City Administrator says **1st Fire District tax revenues** are divided equally among LeClaire, Bettendorf, and Princeton, not based on levels of assistance (e.g., calls).

- **Personnel:** The **SOGs** define most fire personnel practices, including hiring, training, and discipline. Staff says personnel administration weaknesses are the lack of a formal performance evaluation process and limits to outside training due to budget restrictions

- **Facility:** The **fire station is managed by the Fire Department**, including minor maintenance. The facility is adequate for current equipment and staff. Fire has a plan to add two bays to the north with growth and an exercise room. In a few years, Fire thinks the station may need a bunkroom (the day room can accommodate a few bunks) and in the distant future, annexation may justify a second fire station.

- **Materials:** The Fire Chief says he has authority to spend up to $1,000, but the City Administrator can approve a higher amount up to $10,000. The Assistant Fire Chiefs help keep the department stocked with supplies for EMS and fire needs. Mercer did not hear firefighters complain about the adequacy of materials.

- **Information Technology:** The department uses *Firehouse* for reporting. Manual run reports are entered into the system then reported to the State Fire Marshal. A better printer would help with processing, particularly scanning capabilities. Fire may use the new County records system when available.

- **<u>Equipment</u>:** Fire personnel perform minor **maintenance on fire equipment**, with an area fire apparatus vendor performing scheduled maintenance and major repairs. Paper maintenance records are maintained.

  Mercer learned that **the cost of replacing fire equipment is a major concern of city elected officials** and a major budget challenge when a replacement is requested (e.g., a rescue-pumper can cost $700,000 and a ladder truck even more). **Mercer observed:**

  - Fire lacks a **Strategic Business Plan** that defines mission, responsibilities, values, goals, objectives, and performance standards. Also, the city has not defined "adequate protection, acceptable risk, and reasonable cost."
  - Fire, like other city departments, lacks a formal, long-term **Vehicle Replacement Plan**. Apparatus replacement was on a twenty-year cycle in the past. A 20-year cycle is a good start, but **industry best practices** also consider usage, mileage, engine hours (due to idling time), ladder hours (idling time), maintenance patterns and costs, and obsolescence (behind on key capabilities). Lacking a replacement plan, purchases can compress in nearby budget years rather than having a 5-8 years spread, and lacking base standards cost tends to creep up.
  - **When a replacement apparatus is requested in the budget**, it is hard to fund due to its high cost and recent limits in city revenues. The Engine 2 request went through an up-and-down review over 2 to 3 years and eventually was re-presented to the City Council with little lead time on December 8, 2015. After a lengthy and lively discussion, it was approved at the next meeting and delivered in May 2016.
  - Former mainline equipment, like Engine 1, typically shifts to a **reserve line** (if more than one piece) and reserve units must be equally reliable as mainline units.
  - Complete **vehicle use and maintenance records** are critical to ensure equipment is adequate maintained and to support keep/replace decisions. LFD can compile this information, but via paper records, which is time-consuming.
  - Fire has not formally defined the **core specifications** for its fire/rescue equipment based on what is needed for LeClaire's unique environment and pattern of calls, as well as the availability of the assets of area mutual aid partners. These specifications have not been presented to or approved by the City Council.
  - Some city officials ask if LeClaire could **collaborate with nearby departments** (e.g., Bettendorf) on a ladder truck. Our analysis is provided on the next page.
  - The **City Council seems ill-equipped at present to determine if there is a need to replace a piece of fire equipment** and what should be purchased as the replacement (features, capabilities, and cost) due to the lack of a replacement plan, adequate protection definition, pre-defined apparatus specs, and alternatives.
  - The **increasing accrual of TIF taxes to the General Fund** may change the city's ability to deal with the purchase of fire apparatus.

The Mayor and City Council, requested that Mercer analyze the City's need for a ladder truck. We stated earlier (in short) that LeClaire needs a "quick-responding ladder truck;" other area ladder trucks do not meet the ISO criteria of 2.5 road miles to LeClaire; and mobilization of their firefighters + travel time to LeClaire just under 20 minutes.

A ladder truck is a valuable firefighting, rescue, and clean-up tool:

- **Value of a Ladder**: Ladder trucks provide elevated water streams above the fire rather than attacking it only from the ground or inside taller buildings (e.g., your downtown); carry ground ladders and other tools (i.e., "hooks"); ventilate roofs; rescue people in buildings greater than two stories; carry clean-up equipment for "salvage and overhaul" after the fire; and contribute to firefighter safety.

  Ladders also provide access to structures with deep setbacks or long, narrow driveways not easily accessible by fire apparatus, as well as across obstacles such as railroad tracks, ditches, hills, or a major highway.

  A ladder company adds firefighters to help create an "effective response force" for residential fires (Commission on Fire Accreditation International).

- **Response Times:** The NFPA 1720 response time objective in a suburban setting is 10 minutes for a multiple alarm fire 80% of the time with a minimum of ten firefighters. A Fire Chief in suburban Atlanta aims for six minutes or less. ISO focuses on road miles to built-up areas with tall buildings (2.5 mile at most for a ladder or about a 5-minute response time).

Types of ladder trucks and their features are briefly described below. Fire Chiefs and firefighters hold strong preferences for ladder types and features.

- **Straight Stick (a/k/a Aerial):** "Straight Sticks" extend straight out/up to about 100 feet and swivel 360 degrees. Rear or mid-mounted. Less expensive than a Platform. Quick to set up and use. Lighter and shorter, so good in tight spaces.
- **Platform (a/k/a /Tower):** "Platforms" are similar to "Sticks" in extending out/up to about 100 feet and swivel. Also, rear or mid-mounted. Differences are higher water flows and a bucket at the end of the ladder, as well as greater stability due to stronger construction, but heavier and longer. More expensive.
- **Quint:** Carries out five functions (hence the name "Quint"), notably as both a ladder AND a pump (like an engine/pumper). "Squirts" have a much shorter ladder than a "Quint" (about 100 feet). An alternative to a Stick or a Platform.
- **Articulating Snorkel:** Articulating boom allows the upper portion of the boom to bend like an elbow. Reach up to 130 feet. *Bronto Skylift* is an example. Very expensive (over $1 million). Limited market penetration to date.
- **Tiller:** Font and rear steering devices and drivers, which makes it maneuverable. The ladder can be up to 110 feet.

Eight ladder trucks are stationed relatively close to LeClaire per the LFD Chief. Princeton does not have a ladder truck.

These stations are organized below from "quickest to slowest" total response time from page-out to arrival at the Faithful Pilot restaurant. Google Map provides distances and drive times, assuming the ladder is in the station and ready to respond. Mercer estimates **mobilization times** (page-out to leaving the station) of 1-minute for full-time firefighters and 5- to 10-minutes for volunteers. Ladder specifications and staffing are from city or department web sites and the LFD Chief.

- **LeClaire:** A volunteer department. The station at 201 N. 15th Street houses a 104-foot "Platform." Per Google Map, the station is 1.2 miles and a 5-minute drive, plus 5-minute mobilization time, from the Faithful Pilot on Cody Road in downtown LeClaire. **Estimated Response Time from Page-Out is 10 minutes**.

- **Riverdale:** A volunteer department. Two ladders are based at 110 Manor Drive across from Alcoa on Highway 67 (an 80- to 100-foot "Platform" and a 75-foot "Stick"). The station is 7.9 miles and 12 minutes, plus 5-minute mobilization time, from the Faithful Pilot. **Estimated Response Time is 17 minutes**.

- **Bettendorf:** A combination department with full-time and volunteer firefighters. The department serves 47,500 people over 45 square miles from four stations, two with full-time staff (Stations 1 and 2), and responded to 3,723 calls in 2015 (2,650 or 72% EMS/Rescue and 33 Structure Fires).

  Station 2 at 1933 Spruce Hills Drive has a minimum of three full-time firefighters 24/7/365 and houses an 85-foot "heavy duty ladder." The station is 14 miles and 17 minutes, plus 1-minute mobilization time, from the Faithful Pilot. **Estimated Response Time is 18 minutes**.

- **Davenport:** A full-time department serving 385,000+ people and 65 square miles, responding from 6 stations, and answering 17,500 calls per year. Accredited by CFAI. Three stations each house 70- to 100-foot "Platforms," which responded to a total of 2,000 calls (400 to 800 each) in 2010 (per the web site).

  Station 4 at 1805 E. Locust Street is 15.9 miles and 20 minutes, plus 1-minute mobilization time, from the Faithful Pilot. **Estimated Response Time is 21 minutes.**

  The **Central Station** at 226 W. 4th Street is 14.3 miles and 23 minutes, plus 1-minute mobilization time. **Estimated Response Time is 24 minutes**.

  Station 6 at 1735 W. Pleasant Street is 19.8 miles and 26 minutes, plus 1-minute mobilization time, from the Faithful Pilot. **Estimated Response Time is 27 minutes**.

- **Rock Island Arsenal:** A full-time department operating out of one station at 2932 Rodman Avenue. The station has an 85-foot "Platform." The station is 14.3 miles and 24 minutes, plus 1-minute mobilization time, from the Faithful Pilot. **Estimated Response Time is 25 minutes**.

- **Eldridge:** A volunteer department operating out of one station at 120 N. 2nd Street. The stations houses an older 80-85' "Stick" with maintenance issues per the LFD Chief. The station is 18.1 miles and 22 minutes, plus 5-minute mobilization time, from the Faithful Pilot. **Estimated Response Time is 27 minutes**.

From the analysis, Mercer finds that **area fire departments offer three levels of ladder response times to the Faithful Pilot:**

- **Quickest Response:** Assuming a 5-minute mobilization time and 5-minute drive by LeClaire firefighters, none of the area ladder trucks can respond to the Faithful Pilot quicker than the LeClaire Fire Department (10 minutes, which meets the NFPA 1720 time objective).

- **Slightly Longer Response:** Three area stations can respond in 17 to 21 minutes (7 to 11 minutes longer than LFD), assuming no other incidents are in progress.
  - ✓ Riverdale with volunteer fighters and two ladders (17 minutes)
  - ✓ Bettendorf-Station 2 with full-time firefighters (18 minutes)
  - ✓ Davenport-Station 4 with full-time firefighters (21 minutes)

- **Longer Response:** Three other stations have significantly longer response times than LFD (24 to 27 minutes), assuming no other incidents are in progress.
  - ✓ Davenport-Central Station with full-time firefighters (24 minutes)
  - ✓ Rock Island Arsenal Station with full-time firefighters (25 minutes)
  - ✓ Davenport-Station 6 with full-time firefighters (27 minutes)
  - ✓ Eldridge with volunteer firefighters (27 minutes)

A community's analysis of the need for fire and emergency medical services must be conducted in the context of three key factors, with each community reaching a unique decision. As we said earlier, LeClaire has not answered these questions.

1.) **Adequacy:** What is the "optimal" (rather than "minimal" or "maximum") level of protection that meets community needs, expectations, and resources?

2.) **Cost:** What is a "reasonable" cost for these services, including a consideration of the cost of mandated fire protection systems (sprinklers) and potential fire losses incurred by businesses and residents?

3.) **Risk:** What is an "acceptable level of risk" or losses because resources are not unlimited?

Only Eldridge of the five comparative cities has a ladder truck.

- ✓ Camanche relies on the Clinton Fire Department, which is a short distance away
- ✓ Carlisle relies on Des Moines' Station #10 (four miles and about 10 minutes)
- ✓ Dyersville relies on Manchester (17 miles) or Dubuque (25 miles)
- ✓ West Liberty relies on Iowa City (17 miles) or Muscatine (19 miles)

Reasons to use alternative ladder trucks rather than LFD ladder tend to focus on "Cost" considerations:

- ✓ City will gain one-time revenue if the current ladder is sold.
- ✓ Cost savings on ladder operation and maintenance cost without a ladder.
- ✓ Cost saving on the purchase of a future ladder truck in about 10 years.

Reasons NOT to use alternative ladder trucks but instead have a LFD ladder tend to focus on "Adequacy" or "Risk" considerations, but not exclusively:

- ✓ Travel times of 17+ minutes (compared to 10 minutes for LFD) may not provide "optimal" protection and may present an unacceptable risk, particularly to a defining community asset – downtown. Our Fire Specialist commented that a fast-moving downtown fire could be "devastating" to the city. A quick-arriving ladder, among other things, can be used to stop the forward progress of the fire.
- ✓ Bettendorf is a busy department (3,723 calls in 2015) serving a larger population and area, and may not have a ladder ready to respond if LeClaire has a fire call, thereby increasing their estimated response time.
- ✓ Similarly, Davenport is a very busy department (17,500 calls in 2015) serving a much larger population and area, and also may not have a ladder ready (or the closest ladder ready) to respond if LeClaire has a fire call, thereby increasing their estimated response time.
- ✓ If the city sells or decides not to replace the current ladder, the cost of fire insurance for businesses and residents will increase because ISO almost certainly will adjust your rating upward. Shifting from the current "Platform" to a "Stick" or a "Quint" also could affect the ISO rating and the cost of fire insurance.
- ✓ If the LeClaire eliminates the ladder, neighboring fire departments, particularly Bettendorf and Davenport, may charge LeClaire for responses by their ladder trucks thereby reducing cost savings above. In effect, the relationship would change from one founded on "mutual aid" (all departments have ladders) to one based on the larger departments providing "protection" to LeClaire.

In conclusion, our Fire Specialist asked a pointed question and offered a probable response: *"If LeClaire were to lose a hotel or burn down a section of downtown, what impact would that have on the city's economy? If the answer is a big impact, then a ladder truck is simply good insurance."*

(b) RECOMMENDATIONS

- **F5: Fire-Resource Management:** (Mayor, City Council, City Administrator, Chief, and Command Team):

  a) Finances: The Comparative Analysis, excluding equipment purchases, shows LFD's fire operating costs are close to the five cities surveyed. LeClaire's FY 2016 budget was $183,085 ($44 per capita), while five cities average $165,579 ($37). In FY 2015, LeClaire spent $132,109 on Fire ($35 per capita). So, it appears **the real cost question in Fire is equipment** (see below).

  b) Personnel: Like other departments, Fire should implement a formal performance evaluation for LFD firefighters. Develop the system with firefighter input.

  c) Facility: Fire should prepare a facility needs analysis for the future that includes the benefits, timing, size, and cost of expansions suggested under Findings and for a Public Safety Complex suggested under Strategic Direction.

  d) IT: Improve the *Firehouse* to State Fire Marshal link to eliminate double entry of data, assess the value of *All Max*, and upgrade the printer to allow scanning.

  e) Equipment: Mercer's Fire Specialist (a retired fire chief) made these suggestions for developing and implementing a long-term equipment replacement plan.

  1) LFD needs two engines and a ladder truck to meet response-time and adequate response goals. The analysis on the prior pages leads Mercer to recommend retaining the current ladder truck.

  2) Define baseline specifications to support adequate protection needs (usage, when, where, situations) for all equipment. (Council to approve)

  3) Define standards and a process for analyzing apparatus replacement using a broad set of criteria to measure vehicle condition, cost to operate, and trade value as described in the Findings. (Council to approve)

  4) From #1 and #2, develop a vehicle replacement plan for all current fire apparatus. The goal is to spread out purchases to avoid having to buy or lease multiple pieces close together. (Council to approve)

  5) Improve vehicle use and maintenance data, perhaps using *All Max* or other software, to support maintenance and keep/replace decisions.

  6) When a vehicle is scheduled to be replaced, involve the Public Safety liaison and City Administrator at the beginning of the replacement analysis and the City Council in the fall before the budget request.

  7) Define vendor base ("stock") unit specs and cost then justify all upgrades based on community needs.

  8) Lease/Purchasing is a good option with fire apparatus.

  9) Future need is a Chief's truck (now uses his personal vehicle).

D. POLICE DEPARTMENT

The LeClaire Police Department (LPD) is a full-time, full-service agency protecting citizens, business, and visitors in LeClaire

1.) Overview of the Department

LeClaire is relatively safe city compared to FBI data for five other small cities, the State of Iowa, and the United States (see Table 6 below).

Table 6

2014 Crime Rates for Violent and Property Crimes (per FBI Uniform Crime Reports)

DESCRIPTION OF THE DATA SETS	2014 ESTIMATED POPULATION (US CENSUS)	CRIMES PER 1000-RESIDENTS	TOTAL PART I CRIMES	PERSON CRIMES (1)	PROPERTY CRIMES (2)
LeClaire (2014)	3,955	10.11	40	8	32
LeClaire (4) (2012-2014 Average)	3,925	9.94	39	11	28
Five Cities (5) (2014 Average)	4,461	11.33	49	9	40
State of Iowa (6) (Cities Outside Metro Areas)	601,521	28.20	16,964	1,980	14,984
Iowa (Total)	3,107,126	23.67	73,553	8,497	65,056
United States (6) (Cities Outside Metro Areas)	19,117,450	40.88	699,750	71,887	627,863
United States (Total)	318,857,056	27.72	9,475,816	1,197,987	8,277,829

Notes

(1) "Crimes Against Persons" (murder, rape, robbery, and aggravated assault)

(2) "Crimes Against Property" (burglary, larceny theft, and motor vehicle theft without arsons)

(3) Part I crimes include both 1 and 2 above

(4) LeClaire 2012-2014 average shifts 7/1 Census population to 12/31 to match FBI data period

(5) Comparable cities are Camanche, Carlisle, Dyersville, Eldridge, and West Liberty

(6) Higher number of property crimes in these areas drives up Crimes per 1000-Residents

- **Services: LPD offers patrol, traffic enforcement, and investigation services**.

  LPD is supported by the Sheriff's Department, which operates the regional dispatch center, offers backup patrol, provides School Resource Officers, and books/holds arrestees in the county jail. The State Police laboratory runs DNA and other tests. Bettendorf and Davenport provide some technical assistance as well.

- **Budget: The FY 2017 budget for the Police Department totals $849,125** ($202 per capita), which is 6.2% of the city's total Government Activities budget and 85.8% of the Public Safety budget. $654,463 (77.0%) of the Police budget in FY 2017 comes from general revenues of the city and $184,662 (23.0%) from special revenues.

  The city budgeted $791,758 In FY 2016 ($189 per capita) and spent $796,816 in FY 2016 re-estimated ($190 per capita), $774,892 in FY 2015, and $801,769 in FY 2014.

  Per FY 2016 State budget reports, the five comparative cities budgeted from $674,334 (West Liberty) to $968,459 (Camanche), averaging $840,476 ($187 per capita).

- **Personnel:** The department is directed by the Police Chief, who is appointed and supervised by the Mayor, the city's CEO (per the city charter). Including the chief, the department is staffed by **eight full-time and two part-time positions**.

  - Police Chief
  - Sergeant
  - Corporal (new union agreement)
  - Full-time Police Officers (4)
  - Part-time Police Officers (2 = .5 FTE)
  - Secretary

- **Facilities:** The department works out of a former condominium at 306 S. Cody Road that has been converted to Police Department offices. The building offers:

  - A secure front counter
  - Individual offices for most officers
  - Evidence and reports storage
  - Two garages for vehicles and equipment
  - Two large kitchen/conference areas

  Although functional, the building is unusual for a police department. In addition, several persons interviewed asked if Police should be located on prime downtown real estate.

- **Equipment:** The department and staff are fully equipped with six vehicles, computers (office and in-car), weapons, gear (including body and in-car cameras), and other equipment items like bicycles.

2.) Results of Interviews and Surveys

This section of the report identifies the result of Police Department interviews, questionnaires, and employee surveys. Findings represent perspectives at the time of the interviews. Items mentioned by several employees are **bolded.**

Mercer Note: These perceptions may be fully accurate, once accurate but now out-of-date, or incorrect. We use them as a starting point for issues to be analyzed during the study.

Implementation: Once the study report is shared with the department, the Police Chief should meet with staff to review the results of interviews and surveys to seek a better understanding of and solutions to weaknesses, opportunities, and low survey scores.

(a) SWOT ASSESSMENT

- **Strengths:**
  - Small town feel and atmosphere with diversity of calls and services
  - Close to optimal staffing level (if all personnel are at work)
  - Regional support (Sheriff, State Police lab, and area Police Departments)
- **Weaknesses/Areas to Improve:**
  - **Same number of officers since 2003 (need one more per some officers)**
  - **Not competitive with other agencies on wages (Eldridge = $2.50/hour more)**
  - **Policies and procedures need to be updated (need outside help?)**
  - **Mission and Values are not clear**
  - **Facility is better suited to a business or apartment, not police**
  - **Internal communications need to be improved**
  - Need a vehicle replacement plan (formerly one per year; now as needed)
  - Aging in-car technology (Panasonic *Toughbooks*)
  - No case management system for investigations (use paper files)
  - No license plate reader and officers says they need four rifles
- **Opportunities/Challenges:**
  - Should the police chief be appointed by and report to the mayor?
  - Dispatch operations are improving
  - Expand training and internal capabilities
  - Add a Corporal position for career advancement and supervision
  - Have the Police Department be School Resource Officers instead of the Sheriff
  - Seek grants (e.g., casinos)
  - Rotate assignments (e.g., videos, squads, body cams) to broaden experience
- **Threats:**
  - Pay falling behind area departments (loss of personnel)
  - Divided city council and lack of their support

(b) EMPLOYEE SURVEYS

- **Values:** By a factor of 5:1 employees say the department lacks a formal Values Statement that is posted, developed with employee input, and related to an overall city Values Statement. 67% of respondents, however, say that a set of values are lived with the following being the primary values stated in the surveys:
  - Fair, respectful, honest, cooperative, open communications, courteous
  - Integrity, honesty, trust, compassion, optimistic, understanding, loyal
  - Flexible, accommodating, helpful, tolerant, dedicated, TEAM
  - Optimal service delivery, pride in work, professional, selfless
- **Organizational Climate:** Police have very positive overall scores of 69.75% Agree, 12.50% Disagree, and 17.75% Disagree, which meet our High Performance standard. Only one subscale score is low (Compensation & Benefits at 38% Agree, 36% Disagree, and 25% Undecided). See **Exhibit 4g** in Chapter VI for detailed results.
- **GRIPES/Management Practices:** The overall score of 3.27 out of 5 meets our Minimum Standard of 3.0=Adequate. Several factor scores, however, are low:
  - Rewards: 1.3 See OCS and Personnel survey
  - Other Department Respect: 2.2
  - Central Administration Support: 2.4
  - Elected Officials Support: 2.5
  - Elected Officials Respect: 2.6

  The Potential Tapped score of 82.5% meets our High performance standard of 70%.
- **Resources:** The overall score of 3.27 out of 5 meets our Minimum Standard. All factor scores are above 3.0, including Staffing (3.11) with a few lower scoring dissenters.
- **Personnel Practices:** The overall score of 3.30 out of 5 meets our Minimum Standard. Only two factors have low scores:
  - Pay: 1.44 See the SWOT Assessment
  - Career Ladders: 2.55 Not unusual in a small department

  Other factor scores range from 3.0 to 4.3, with three factor scores above our High Performance Standard of 4.0=Good (Hiring process, Benefits, and Morale).

3.) Strategic Direction

(a) FINDINGS

- **Mission:** Per the City Code, the Police Department *"provides for the preservation of peace and enforcement of law and ordinances within the corporate limits of the city."* (30.01) Three employees identified the mission as "Serve and Protect Citizens," a generic police motto; most others said the department lacked a mission statement.

- **Values:** Values need to be created per Mercer's Values survey. Ideas in the surveys are:
    - Fair, respectful, honest, cooperative, open communications, courteous
    - Integrity, honesty, trust, compassion, optimistic, understanding, loyal
    - Flexible, accommodating, helpful, tolerant, dedicated, TEAM
    - Optimal service delivery, pride in work, professional, selfless

- **Goals and Objectives:** Goals and objectives are not formally defined. Informally, department goals expressed in interviews and questionnaires include:
    - Keep up with growth
    - Add one more police officer
    - Develop a formal vehicle replacement program
    - Update policies and procedures
    - Ensure salaries are competitive with regional agencies to reduce turnover and encourage applicants when there are openings
    - More training
    - Improve public relations (e.g., Twitter, Nixle)
    - Keep up with technology and upgrade in-car computers as cars are replaced

- **Performance Measures:** No formal performance measures have been defined.

(b) RECOMMENDATIONS

- **P1: Police-Strategic Direction:** (Police Chief)

    a) **Mission:** Revisit the Mission Statement with employee input. One small Iowa department wants to *"promote public safety and enhance the quality of life in our city through innovative policing and community partnerships."*

    b) **Values:** Develop a Values Statement with employee input

    c) **Goals & Objectives:** Define three-year goals and next year objectives for the next budget cycle with employee input

    d) **Performance Measures:** See Attachment C for sample performance measures. Specifically, neighborhood patrol (# circuits per shift), speed checks (when, where, objectives, frequency?), and business checks (frequency/timing each day).

4.) Service Delivery Structure

(a) FINDINGS

Most traditional patrol, traffic, and investigative services are provided by Police Department staff. However, several services are provided by other public safety agencies:

- **Sheriff:** The Sheriff's Department provides several services:
  - **Dispatch:** The Sheriff runs the consolidated dispatch center that serves LeClaire, the county, Davenport, Bettendorf, and other cities. The center was consolidated 4-5 years ago and services are said to be improving. LeClaire PD received updated communications/computer equipment with the consolidation.
  - **Investigations:** On request, the Sheriff will support crime scene processing
  - **Jail:** LeClaire prisoners are transported booked into the County Jail in Davenport by city officers (15-20 miles away).
  - **Patrol:** Sheriff's deputies provide patrol backup.
  - **School Resource Officers:** Are provided to area schools by the Sheriff.
- **Bettendorf and Davenport:** Have some high-tech equipment that LeClaire can use (e.g., fingerprints). Bettendorf runs a Citizens Police Academy that is open to a limited number of residents of the city of LeClaire, but with limited participation.
- **Mutual Aid:** The Sheriff (mostly) and the State Patrol (some) are available to support LeClaire police officers as needed.
- **State Laboratory:** Provides technical laboratory assistance (e.g., DNA, narcotics, and finger print identification).

(b) RECOMMENDATIONS

- **P2: Police-Service Delivery Structure:** (Police Chief)
  - **a) Structure:** The current service delivery structure serves LeClaire well, particularly for backup and laboratory services, and the dispatch operation is improving per interviews.
  - **b) Contracting:** Mercer does NOT recommend contracting with the Sheriff for overnight patrol services in LeClaire due to a loss of control over staff assignments, scheduling, and degree of police presence.
  - **c) SRO:** Analyze the value to the city of city police officers serving as the School Resource Officer at the Junior High School in LeClaire as this arrangement can facilitate the department's relationship with juveniles (and parents) if that group becomes more of a crime problem than apparent currently. If of value, discuss with the School Board and Sheriff. (Also City Officials and City Administrator)

5.) Organization and Staffing

(a) FINDINGS

- **Police Management Team:** Per the City Code, the Police Chief is both appointed by the Mayor (City Code Sections 15.03 and 30.07) and supervised by the Mayor, who is the city's CEO (15.01). The Mayor, however, does not directly supervise Police Department employees. It is interesting that the Police Chief is the only city employee listed as a Mayoral appointee in the City Code.

  The Mayor and City Council expect the Police Chief to be a working police officer, meaning he should spend a significant amount of his time on patrol, investigations, and other policing activities, and not solely or mostly on management and administration. A similar expectation was expressed for the Police Sergeant, who supervises patrol officers, the officer serving as an investigator, and the administrative coordinator. "Working Chief and Working Sergeant" do not appear to be clearly defined.

  The Police Department will add a Corporal position (between the Sergeant and Senior Officer) as of July 1, 2016, as a result of labor negotiations and also has a Senior Officer (or Officer First Class) position that "may, on occasion, supervise subordinate (less senior) police officers as assigned by the Police Chief or Sergeant of Operations" (per the job description). To be considered for promotion to Senior Officer, a police officer must have four years of experience.

- **Police Department Staffing:** The Police Chief indicates the city has employed seven sworn officers since 2003 when the city's population was about half of the current population. Mercer Note: About 3,123 residents in 2003 adjusting up from 2,847 in the 2000 US Census.

  The city now has an equivalent of 7.5 full-time sworn police officers, including:

  - Police Chief (expected to be a working officer)
  - Sergeant (also expected to be a working officer)
  - Senior Police Officer (a/k/a Officer 1st Class who works on shift)
  - Police Officers (four full-time officers who work on shifts)
  - Police Officers (two part-time officers who fill in an average of one, ten-hour shift per week under normal circumstances and amount to .5 FTE)

  In addition, the department employs one civilian employee, an Administrative Police Services Coordinator.

  One Police Department officer serves primarily as an investigator, but also has patrol responsibilities.

(b) MERCER STAFFING ANALYSES

(1) Data and Explanation

Sworn officers to 1000-residents ratio is a common benchmark for communities in reviewing police staffing. However, **the ratio approach is fairly simplistic and misses what drives police staffing needs…calls for service and officer-initiated activities** like traffic enforcement, neighborhood patrols, investigations, events and community activity, and building checks.

Mercer has identified NO national staffing standard expressed as a certain number of sworn officers per 1000-resident, just a multitude of analyses and averages that provide a starting point for a deeper staffing analysis based on workload. Consequently, Mercer reviews both sworn staffing per 1000-resident and police workload below.

Staffing Per 1000-Residents

All cities provide **24/7/365 police protection** to their residents, businesses, and visitors. In the simplest model (one officer on duty at all times), it takes five sworn officers working 40-hour shifts to provide 24/7/365 coverage, allowing for leave. With a Chief and an Investigator, staffing increases to seven sworn officers. Small communities often contract with the Sheriff's Office to cover all shifts or overnight only instead of hiring their own officers. These officers should be included in a sworn officer count analysis (FTEs), but often are missed.

2014 FBI Police Employees data is reported on Table 71. The national average (9,792 cities) is 2.3 sworn officers per 1000-inhabitants and the average for communities under 10,000-population (6,815 cities) is 3.7 per 1000-inhabitants (the South drives up the average). The Midwest average, however, is 2.8 per 1000, with West North Central states averaging 3.0.

With a 4,200-population, **LeClaire now has 1.79 sworn officers per 1000-residents**. Adding an officer increases the ratio to 2.02 and eliminating one officer decreases the ratio to 1.55.

The **five comparative cities** have 2016 sworn staffing levels per 1000-residents from 1.45 (Eldridge) to 1.73 (Carlisle), averaging 1.66, slightly below LeClaire. Full-time equivalent officers average 7.34, close to LeClaire. The 4-City Average excludes Eldridge, a larger city.

➢ Camanche:	1.72	7.50 FTE officers	4,358	(2016 population)
➢ Carlisle:	1.73	6.50 FTE officers	3,766	(2016 population)
➢ Dyersville:	1.67	8.00 FTE officers	4,200	(2016 population)
➢ Eldridge:	1.45	9.30 FTE officers	6,400	(2016 population)
➢ West Liberty:	1.71	6.38 FTE officers	3,733	(2016 population)
➢ **5-City Average:**	**1.66**	**7.34 FTE officers**	**4,491**	(2016 population)
➢ **4-City Average:**	**1,71**	**7.10 FTE officer**	**4,014**	(2016 population)
➢ **LeClaire**	**1.79**	**7.50 FTE officers**	**4,200**	(2016 population)

LeClaire Police Workload

The Police Chief provided **calls for service data for the past three calendar years**, which are summarized on Table 7 (see notes below the table). LPD's three-year average of 8,367 actual incidents compares to reported annual calls of 6,300 in Camanche, 4,000 in Carlisle, 10,000 in Eldridge, and 3,600 in West Liberty. Dyersville did not response to our request for data.

Table 7

2013, 2014, and 2015 Calls for Service

Type of Call for Service	**2013**	**2014**	**2015**	**3-Year Average**
Business/Residence Checks	2,343	4,263	3,727	3,444
Traffic Stops	1,406	1,568	2,289	1,754
Traffic Violations/Hazards	565	613	651	610
Public Service	481	580	607	556
Suspicious/Wanted Person	291	310	247	283
Animal Issue	143	154	176	158
Other Types of Calls	940	929	899	922
Total Calls (1)	**6,169**	**8,417**	**8,596**	**7,727**
Calls Per 10-Hour Period	7.0	9.6	9.8	8.8
Change from Prior Year	N/A	2,248 (4) 36.4%	179 2.1%	N/A
Actual Incidents (2)	**7,579**	**8,714**	**8,808**	**8,367**
Incidents Per 10-Hour Period (3)	8.7	9.9	10.1	9.6
Change from Prior Year	N/A	1,135 15.0%	94 1.1%	615 Average

Notes and Comments

(1) **Officer-initiated activities:** Business/Residence Checks, some Traffic, and some Suspicious Person. Not the result of a call to Dispatch.

(2) **Reactive Activities:** Citizen/business calls to Dispatch requesting a police officer.

(3) **Public Service:** A catch-all, including lost motorist, locked out, medical assist.

(4) **Other Types of Calls:** Alarms, burglaries, assaults, public meetings, and assist other agencies.

(5) **Actual Incidents:** Includes calls not attributable to a specific address by the Dispatch system. This number represents the true number of service calls by city police officers.

(6) **Calls Per 10-Hour Period (a typical shift):** Based on 876 shifts (365 x 24 /10).

(7) **2013 to 2014 Increase:** Explained by the Chief's request to officers to increase business and house checks and to ensure these activities are reported to Dispatch as incidents.

Exhibits 5a and 5b in Chapter VI, Exhibits and Attachments, display **2015 "alarms" (calls for service) by time of day and day of the week**. The exhibits show that the department's busiest times are 3 pm to 9 pm and Wednesdays, with overnight and Thursdays the least busy.

In addition, **Mercer asked sworn police officers to describe how they spend on-shift time**. From limited responses on our questionnaires and through interviews, we saw this pattern:

- **Administration:** Mercer found relatively high percentages of administrative time for the Chief and Sergeant compared to what we expected for a "Working Chief" and "Working Sergeant" (more Administration than Patrol), but data is incomplete. The city's meaning of the term "working" regarding specific time allocations is not clear.

  Administrative time is about 10-20% for police officers (including equipment checks and reports), which is similar to what Mercer finds in other police departments.

- **Patrol/Calls/Traffic:** Relatively low percentage for the Chief and Sergeant (30%), but about 80-90% for police officers.

  During Days, calls drive a higher percentage of police work (about 60%) with less time for officer-initiated work (about 40%). At Night, the percentages flip, allowing more time overnight for business and resident checks.

- **Investigations:** One police officer spends 80-90% of his time on investigations.

LeClaire Police Shift Schedules

Full-time police officers have worked four, ten-hour shifts per week for "years" (per the Chief), using a varied schedule to cover 24/7, with part-time officers filling in as needed. National research indicates police officers prefer shifts with a longer work day and shorter work week than the traditional 8-hour, 5-day shift. 10- and 12-hour shifts tend to reduce overtime.

Shift assignments for each position are:

- **Police Chief:** Monday (11am-9pm), Tuesday (9am-7pm), and Wednesday-Thursday (7am-5pm). Works into the evening on Monday to attend the City Council meeting.
- **Sergeant:** Monday-Thursday (7am-5pm). Works Monday to do the payroll.
- **Senior Officer:** Wednesday-Saturday (5pm-3am).
- **Officer 1:** Friday-Sunday (7am-5pm) and Monday (11am-9pm).
- **Officer 2 (the Investigator):** Tuesday-Thursday (8am-6pm) and Friday (11am-9pm), who also adjusts work time as needed to facilitate investigations.
- **Officer 3:** Sunday (11am-9pm) and Monday-Wednesday (9pm-7am).
- **Officer 4:** Thursday-Sunday (9pm-7am).
- **Part-Time Officers (2):** Average one, ten-hour shift per week to fill in.

Daily police officer coverage is shown by day of the week and time of day on Table 8 (times with two regular police officers on duty are **bolded**):

Table 8

Police Officer Schedule by Day and Time of the Week

Day of Week	7am-11am	11am-5pm	5pm-9pm	9pm-7am
Monday	Sergeant	Chief Sergeant PO 1	Chief PO 1	PO 3
Tuesday	Chief (9am) Sergeant PO 2 (8am)	Chief Sergeant PO 2	Chief (7pm) PO 2 (6 PM)	PO 3
Wednesday	Chief Sergeant PO 2 (8am)	Chief Sergeant PO 2	**Senior PO** **PO 2 (6pm)**	**Senior PO (3am)** **PO 3**
Thursday	Chief Sergeant PO 2 (8am)	Chief Sergeant PO 2	**Senior PO** **PO 2 (6pm)**	**Senior PO (3am)** **PO 4**
Friday	PO 1	**PO 1** **PO 2**	**Senior PO** **PO 2**	**Senior PO (3am)** **PO 4**
Saturday	PO 1	PO 1	Senior PO	**Senior PO (3am)** **PO 4**
Sunday	PO 1	**PO 1** **PO 3**	PO 3	PO 4

Notes and Comments

(1) **Shift Start/End Times:** Shown in parentheses when different than the ranges in the column headings.

(2) **Adjustments:** The shift schedule adjusts week-to-week to cover leave and voluntary officer shift swops.

(2) Overall Conclusions

- **Management:** The **Chief and Sergeant** work similar days and times of day, and neither is on duty on Friday, Saturday, or Sunday (but the Chief lives in town for emergency response as needed). Both spend a significant amount of time on administrative duties and general supervision of department employees (up to 70%).

  The **Senior Police Officer**, who has supervisory authority per the job description, covers 5pm to 3am Wednesday through Saturday.

  Only **regular police officers** are on duty on Sundays.

- **Calls Per Shift:** Officers on duty (sometimes two or more with the Chief and Sergeant) respond to about 10 calls per 10-hour shift, or one per hour. Assuming an average of 30 minutes per call (the range is 10 minutes to an hour or more), about ½ of the shift is for calls and about ½ at officer discretion. Days have more calls than Nights.

- **Shifts:** A 10-hour police officer shift is a common practice. LPD officers like it. Research shows departments are moving toward "compressed work weeks," meaning 9-, 10-, and 12-hours shifts, with 2009 data showing over 50% of small departments using 10- or 12-hour shifts. Benefits of 10-hours shifts are significant in the research.

  LPD effectively has a "power shift" from 5-6 pm to 3 am on Wednesday, Thursday, and Friday, and from 9 pm to 3 am on Saturdays. Per officer interviews, at these times the city is at its busiest, but call data shows Thursday the least busy day and Friday average.

- **Vacancies:** A vacancy, extended leave, or turnover may impact coverage and increase overtime costs. A major threat to police operations identified by officers is an extended vacancy or multiple vacancies at the same time.

- **Impact of a Reduction in Sworn Staff:** Mercer asked the Police Chief to describe the impact of a reduction of one full-time police officer position, from seven to six positions in total. The Chief's comments (with the Administrators response) are:
  - The union contract (Article V, Section 1) would require layoff of the two part-time officers, as well as one full-time officer.
  - The loss of part-time officers would inhibit coverage of city events, which would add to the overtime budget for full-time officers. (City could charge events)
  - Most shifts with two-person coverage would be eliminated, which may affect response times, crime rates, and officer safety.
  - The investigator position would be shifted primarily to patrol duty, with investigations becoming a part of each officer's job. (Effect?)
  - Proactive patrol and building/residence checks would be reduced as officer time on calls increases and time on officer-initiated activities declines. (Effect?)
  - Traffic enforcement would be reduced, as would traffic fine revenues. (Effect?)
  - The impact of a position vacancy would be amplified (i.e., extra shifts, overtime).

(c) RECOMMENDATIONS

- **P3: Police-Organization & Staffing:** (Mayor, City Administrator, Police Chief)

  a) Chief and Sergeant: The Police Chief and Sergeant should continue as the department's senior management team. The city, however, should review how they use their time (administration vs. policing) to ensure the Mayor and City Council's "working position" expectations are met. Define these expectations (in other police departments, working often means 50% or more on policing). Provide monthly activity and time use reports to the Mayor.

  Restructure shift assignments of the Chief and the Sergeant to provide Friday coverage. We expect the Sergeant would shift to a Tuesday-Friday schedule.

  b) Support: One Administrative Police Services Coordinator position provides adequate support to Police staff. As a department-wide support position, the coordinator should report to the Police Chief, not the Sergeant.

  c) Roles: Review work assignments for the Sergeant and the Senior Police Officer. Typically, a Sergeant, rather than a Senior Police Officer, would review officer call reports. Our immediate concern is the backlog of police reports due to the extended injury leave of the Senior Police Officer.

  d) Corporal: Mercer is pleased that the city created a Corporal position on July 1, 2016, as a result of labor negotiations. This position would work shifts that complement the Chief, Sergeant, and Senior Officer.

  e) Staffing: Maintain the present level of sworn officers (seven plus two part-time officers), with one officer primarily assigned as an investigator. Even with expected population growth, Mercer thinks seven full-time plus two part-time is a good staffing level for the near future and up to a population of at least 5,000, at which time the city should reassess Police staffing needs.

  f) Shifts: Keep the 10-hour shift, which have proven effective nationally. Review the Power Shift schedule to ensure extra staffing matches high calls periods.

  g) CFS Data: Develop additional data on officer time devoted to calls for service to assist in defining the need for additional officers as the city grows. The key measurements needed are time devoted to:

  1) **Citizen-generated Calls:** Calls from Dispatch, such as auto accidents and break-ins. A tentative time-use goal is about 50% of shift time on these calls, with Days a bit more and Nights a bit less based on call data.
  2) **Chief- or Officer-initiated:** The department drives these important activities, such as neighborhood patrol, house and business checks, and speed checks. A tentative time use goal is about 50% of shift time, with Days a bit less and Nights a bit more based on call data.

6.) Operations Management

(a) FINDINGS

- **Policies and Procedures:** The City Code (30.09) says the Police Chief shall establish rules for the department in seven areas: Rules of Conduct, Uniforms, Weapons, Communications, Training, Emergencies, and Other.

  We understand from interviews with the Police Chief and others that the current policies document is aging and under review. A significant portion of the current document is directives from prior police chiefs and policies dating back to the 1970s and 1980s.

  The Chief proposed hiring a consultant to develop Iowa-specific policies and procedures at a cost of about $2,000 to $3,000, and perhaps with an annual update fee.

  Department policy states that a police report must be completed within two weeks, but must be completed quicker if the incident is a major crime. Two weeks is longer than Mercer sees in most client police departments.

- **Investigations:** One Police Officer serves primarily as an investigator. Two other police officers are certified evidence technicians. The roles of the investigator and patrol officers appear clear and well-coordinated.

  Evidence and police documents appear to be securely managed and controlled.

  Investigations are managed manually. Police reports, however, are available through the county's computer-aided dispatch and records system.

- **Communications and Reports:** Interviews indicate **internal communications** up and down the chain of command need to be improved, starting with communication of policies, procedures, and directives to/from the Sergeant as supervisor of operations.

  LPD does not prepare a formal **Monthly Police Report** for the Mayor and City Council, or an annual report to the community. These are standard reports for police agencies. We understand the former Mayor preferred an informal, oral approach to reporting. The current Mayor would like reports, but they have not been defined yet.

  Mercer finds that Police Chiefs tend to prepare short monthly reports (1-2 pages) of call and crime statistics for the month and year-to-date, with comparison to the prior year; a short description of major crimes and incidents; and a list of other Police activities and accomplishments. We found several of these report on the web sites of comparable cities.

- **Special Assignments:** The Chief assigns special duties, such as management of squad cars, in-car videos, and body cameras to various officers. From interviews, we understand these assignments are infrequently rotated.

(b) RECOMMENDATIONS

- **P4: Police-Operations Management**: (Mayor, Police Chief and City Administrator)
  - **a) Police SOPs:** Update Police policies and procedures by the end of calendar year 2016. This update is important enough to hire the Iowa consulting specialist (about $2,500) mentioned by the chief, and should be a 2016 primary performance measure for the Police Chief.
  - **b) Police Reports:** Accelerate preparation of the basic police report to one week for most incidents and two days for automobile accidents.
  - **c) Information Systems:** Consider the benefits of automated case management software to manage investigations to replace a primary manual (paper) system used presently. The county dispatch and records system may have such a module.
  - **d) Internal Communications:** The Chief and the Sergeant should define a plan to improve internal communications, particularly to officers working evenings, nights, and weekends by the fall of 2016.
  - **e) Monthly Report:** Develop a one- or two-page monthly Police Department report for the Mayor and City Council with the contents similar to those suggested by Mercer in Findings. The report would focus on what is important to elected officials - calls for service, crimes, arrests, major incidents, events supported, and interagency support. (Police Chief primarily)
  - **f) Annual Report:** Develop an annual report for the department as a compilation of monthly reports. Go to the City of Carlisle's website for a sample annual police report. (Police Chief primarily)
  - **g) Special Assignments:** Rotate special assignments every 12 to 24 months to give all officers experience in managing police assets and operations in order to prepare them for advancement. (Police Chief primarily)

7.) Resource Management

(a) FINDINGS

- **Equipment:** The **Police Department is well equipped in most ways**, including personal gear (weapons, vests, body cameras, uniforms, etc.). All these equipment items, as well as vehicles, had high scores on the Mercer Resources survey.

  With trades as explained below, Police Department vehicles are:

  1. **Chief:** Unit 43. Unmarked 2010 Crown Vic (32,000 miles)
  2. **Sergeant:** Unit 37. Unmarked 2005 Crown Vic (100,000+ miles) (Commute only)
  3. **Squad 44:** 2012 Crown Vic (90,000 miles) (Shared by Night Shift)
  4. **Squad 45:** 2013 Ford Interceptor (60,000 miles) (Sergeant for city patrol)
  5. **Squad 46:** 2014 Ford Interceptor (47,000 miles) (Two officers share)
  6. **Squad 47:** 2014 Fore Interceptor (16,000 miles) (Two officers share)

  The Chief plans to trade a Mustang (traffic car) and a patrol car for one new patrol car, with a resulting reduction in vehicles from seven to six (Chief, Sergeant, traffic, and three squads). With two officers working on some shifts and to provide reserves when vehicle go to the shop, **six vehicles is adequate to support present staffing**.

  Mercer asked the Chief to identify the **impact of reducing the fleet further from six to five** vehicles. His key impacts are:

  - Only two marked cars (Chief, Sergeant, and Traffic cars are unmarked)
  - Commonly has two squad cars in the shop at once, which makes shift-available squad cars short on two-person shifts
  - Fewer cars available if off-shift personnel are called in for events or emergencies
  - Squad cars would be running "non-stop" and accumulate miles at a more rapid rate thereby reducing useful lives
  - Maintenance costs per vehicle would increase

  Take-home cars are assigned to the Chief (by City Policy) and the Sergeant (per Article VII, Section 9 of the union agreement).

  Police vehicles are serviced by a local garage with a Level A service at 3,000 miles (lube, oil, filter, rotate tires, comprehensive check) and Level B per the manufacturer**.**

  Interviews identified a few equipment concerns, however:

  - The department lacks a formal vehicle replacement plan, although the City seems to have done a good job of providing funds for replacement vehicles.
  - A six-vehicle fleet needs a consistent replacement plan and preventative maintenance plan as many vehicles will accumulate more miles per year.
  - Cameras in cars use aging DVD technology that requires manual handling.
  - A few officers say they need four new rifles (need not explained).

- **<u>Facilities</u>:** The current Police facility gets a high score on the Mercer's Resources survey completed by employees. However, **interviews identified some facility issues, which contradict the survey results**:
  - The facility sits on a prime commercial site at the edge of downtown
  - The facility is too big for the needs of the Police Department
  - The facility is broken up and disconnected (e.g., two sets of garages, office, and conference areas due to conversion from condominiums)
  - The public waiting area in front is relatively small, but visitors are few
  - A growing maintenance list (e.g., carpeting, flooring, plumbing, decking)
  - Inefficient utilities (three furnaces)

- **<u>Human Resources</u>:** Hiring, Training, Grievances, Discipline, Benefits, Labor Relations, and Morale get high scores on the Mercer Personnel Practices survey. Two factors, however, received low scores:
  - Career Ladders, which is normal for a small department
  - Pay is said to be behind the area, but turnover in recent years has been low

  Police officer pay is determined through negotiations with the Teamsters Union, with limited analysis of comparable pay and benefit levels in area departments. The new 5-year contract increases officer pay 3% this year and 2.3% to 2.5% in later years. Officer contributions to employee benefits, however, will increase.

  City police officers may be hired prior to attending the police academy and completing field officer training. The city pays for this training and supervision before an officer is available for normal patrol duties. Some officers, however, came from Scott County.

  Mercer did not find a job description for the Police Chief, but his major duties are defined in the City Code. Job descriptions for police officers (1999) and the administrative coordinator (2004) are aging. Typically, we recommend updating job descriptions every three years or earlier if duties change significantly.

  The department, like other city departments, does not use performance evaluations after field training is completed. An evaluation process is negotiable per the union contract and approved in the 2016 contract update.

- **<u>Information Technology</u>:** Creation of a consolidated dispatch center provided a wave of new technology to the department, including in-car radios, video cameras, and computers. Computers received a good overall score on Mercer's Resources survey. In-car Panasonic *Toughbooks* are said to be functional, but aging. The investigator lacks a computer in his office.

- **<u>Materials Management/Purchasing</u>:** By city policy, the Police Chief has purchasing authority up to $10,000 if included in the budget. In practice, major purchases are reviewed by the Committee of the Whole and approved by the City Council. A process for emergency purchases is not in place per the Chief.

(b) RECOMMENDATIONS

- **F5: Police-Resource Management:** (Mayor, City Council, City Administrator, and Police Chief)

  a) Equipment Replacement Plans: Develop formal vehicle replacement standards for the Chief's car, the Sergeant's car, and patrol cars, with a 5-year replacement. Use a patrol standard of 5 years and 100,000 miles then adjust with experience. We expect the city will need to replace one patrol car each year.

  The useful life of a police patrol car depends on a number of factors, including age, miles, use (# high-speed pursuits), driving habits, local road condition, weather, and maintenance level. An additional factor is assignment. Is it used by a single officer for his 8- or 10-hour shift (like a take-home car) or shared across several shifts each and driven by several officers?

  The National Association of Fleet Administrators indicates the standard life of a patrol car is 5 years or 95,000 miles. However, actual replacement policies in specific cities and counties vary widely from a low of 75,000 miles and 3 years to a high of 100,000 to 125,000 miles and 5-6 years.

  Here are some guidelines for LeClaire in developing the plan:

  - Each city patrol car is driven about 20,000 miles per year on average and Squad 44 is approaching the end of its useful life.
  - Chief and Sergeant's commuting car have much lower usage (under 6k).
  - Local weather and roads are factors in vehicle condition, but officers seem to have few high-speed pursuits.
  - Driving habits are unknown, but controllable in a small department.
  - Maintenance records are manual, but costs can be compiled.

  Replace in-car equipment when the vehicle is replaced. Develop a similar equipment replacement plan for all other equipment, gear, and weapons.

  b) Police Fleet: Maintain a six vehicle police fleet at the current staffing level, with take home cars for the Chief and the Sergeant only.

  c) Officer and In-Car Technology: Upgrade the in-car camera system to a system that automatically downloads data to a secure server or the cloud, rather than manually managing DVD's. Create a policy for use of police body cameras.

  d) Office Technology: Get a computer for the investigator's office.

  e) Job Descriptions: Develop a formal job description for the Chief of Police.

  f) Performance Evaluations: Implement a performance evaluation system for all employees, including the administrative coordinator, perhaps with a self-evaluation. Use the system for goal-setting and employee development.

  g) Purchasing: Develop an emergency purchasing policy for critical Police needs.

E. LIBRARY

The LeClaire Community Library is a city library that is accredited by the State of Iowa and a member of a regional library consortium.

1.) Overview of the Department

- **Legal Structure:** The **LeClaire Community Library** is a stand-alone city library that is linked to other area libraries through the RiverShare Libraries consortium.

  The library was part of the Scott County library system until benefactors left the city $500,000 to create a city library and to construct a new library building. That new library opened on July 1, 2004, after the community voted unanimously in 1999 to support the idea of a city library and subsequently raised the matching funds required by the bequest.

  The library is governed by a 7-member **Board of Trustees**, with members appointed by the Mayor and approved by the City Council. The role and duties of the board is defined in Chapter 21 of the City Code, as well as By-Laws that are being developed.

  The Board is supported by the **Friends of the Library**, who support and advocate for the library primarily through an annual book sale and the Green Tree Library Fund.

- **Mission and Services:** The **mission of the library** is "*to enhance the intellectual, social, and cultural strength of our community" with a strong focus on life-long learning*. All staff members know the mission.

  The library is open 51 hours per week, including Saturdays, and offers an extensive range of **services** for adults, teens, and children.

- **Resources:** **Library staff** includes the Library Director, Circulation Manager, Youth Service Coordinator, and two part-time Circulation Clerks.

  The **library's FY 2017 budget is $248,130** ($59 per capita and 1.8% of the total Government Activities budget), with 86% from general city revenues. The FY 2016 budget was $234,578 ($56 per capita). Spending was $251,881 in FY 2015 and $204,177 in FY 2014.

  The **five cities in the comparative analysis** budgeted from $151,810 (Camanche) to $386,608 (Dyersville) in FY 2016 for library services, averaging $248,760 ($56 per capita).

2.) Results of Interviews and Surveys

This section compiles the results of interviews with the Library Board and library staff, and of employee questionnaires and surveys. SWOT findings represent perspectives at the time of the interviews and items mentioned by several people are **bolded.**

Mercer Note: These perceptions may be fully accurate, once accurate but now out-of-date, or incorrect. We use them as a starting point for issues to be analyzed during the study.

Implementation: Once the study report is shared with the department, the Library Director should meet with staff to review the results of interviews and surveys to seek a better understanding of and solutions to weaknesses, opportunities, and low survey scores.

(a) SWOT ASSESSMENT

- **Strengths:**
  - **Community support, the Board, the Friends, and library staff**
  - **Being a city library instead of a county branch**
  - $50,000 surplus
  - Good relationships with the schools
  - 3-Year plan in place with community input
- **Weaknesses:**
  - **Does the City Council believe in the library? How many city officials use it?**
  - **Council Liaison could be more active.**
  - **Need to update the long-term plan (What does the library mean to LeClaire? What adult programs are needed? Technology needs?)**
  - **Budget restrictions due to the impact of TIF obligations**
  - **Library shelves need to be repaired or replaced**
  - The City Hall-Library Plaza is little used and needs repairs
  - Community Room is too small for some programs (have used Fire Station)
  - Past staff turnover (and two recently)
  - No pay increase if staff gets an advanced degree (a union contract issue)
  - Complex cash drawer procedures (go to one bin)
- **Opportunities:**
  - **Encourage life-long learning**
  - Library Board is working on an update to the bylaws
  - Renewal of state accreditation (coming)
  - New revenue sources (dedicated library levy, grants, donations, endowment)
  - Growth, generally and in number of patrons using the library
- **Threats:**
  - Breakdown in city-library relations
  - Future of RiverShare (and the coordination of Iowa libraries)

(b) EMPLOYEE SURVEYS

- **Overall:** Library scores were positive with a few exceptions (Values, Compensation and Benefits, Respect and Support, three Resources, and four Personnel practices). As with most clients, the Library Director was a bit more positive than staff.

- **Values:** Library staff is split 2-2 on whether there is a Values Statement that is posted, developed with employee input, and related to a citywide statement. All employees, however, state the library lives these values on a daily basis:

  - Participatory, professional, pride in work
  - Optimal service delivery, continuous improvement
  - Fair, respectful, honest, cooperative, open communications, courteous
  - Humor, fun, creative
  - Flexible, accommodating, helpful, tolerant, TEAM

- **Organizational Climate:** The overall scores are 78.67% Agree, 3.75% Disagree, and 17.58% Undecided. Except for Compensation and Benefits (40% Agree, 50% Undecided, 10% Disagree), every OCS score exceeds our High Performance Standard of 60% Agree and nine of two exceed 80% Agree. See **Exhibit 4f** in Chapter VI for detailed OCS results.

- **GRIPES/Management Practices:** The overall score of 3.20 out of 5 exceeds our Minimum Standard of 3.0 and the overall Potential score of 84% exceeds our High Performance standard of 70%. Three factors, however, had lower scores: Respect and Support-Elected Officials (both 1.5) and Respect-Other City Departments (2.0)

  Mercer believes these lower scores relate to lower than hoped for budgetary support and the lack of involvement of city officials in the library, particularly the liaison.

- **Resources:** The overall score of 3.21 exceeds our Minimum Standard of 3.0. Three factors, however, had lower scores: Office Equipment (2.5), Other Resources (2.66), and Staffing (2.75).

  Mercer believes these lower scores relate to overall budgetary limitations, as well as the desire to expand programs, which would require an additional part-time employee.

- **Personnel Practices:** The overall score of 2.97 is close to our Minimum Standard of 3.0. Four factors, however, had lower scores: Pay (2.0), which confirms the OCS score; Career Ladders and Training (both 2.5); and Performance Evaluations (2.66).

  The Pay score is recurring across city departments and often is scored low by staff at Mercer clients. Low scores for Career Ladders are common in smaller organizations. The library, and the city, does not use a formal Performance Evaluation system.

3.) Governance

(a) FINDINGS

- **Library-City Roles and Relationship: City Ordinance #565 of January 17, 2000**, established a municipal library and provided for a Board of Trustees to aid in the management and operations of the library. These board responsibilities include:
    - Have charge, control, and supervision of the Library, its appurtenances, fixtures, and rooms.
    - Direct and control all affairs of the Library.
    - Employ a librarian and authorize the librarian to employ such assistants and employees as may be necessary… and fix their compensation…
    - Remove by a two-thirds vote of the Board the librarian…and assistants or employees…
    - Authorize the librarian to select and make purchases of books, etc.
    - Authorize the use of the Library by nonresidents and to fix charges.
    - Make and adopt, amend, modify, or repeal rules and regulations, not inconsistent with ordinances and the law…
    - Have exclusive control of the expenditure of funds allocated for library purposes by the Council, and of all moneys available by gift or otherwise for erection of library buildings, and all other monies, including fines and rentals collected…
    - Accept gifts or real, personal, or mixed property, and devises and bequests…to take title to said property in the name of the Library…and expend funds received…from such gifts…
    - Present an annual budget request to the City Council for the ensuing year…

  Due to some confusion over city and library board roles and responsibilities (e.g., purchasing authority, disposal of public property, budgeting procedures, invoice processing, meeting notices/agendas, and the status of library employees), the city in 2009 asked **Dorsey & Whitney LLP**, attorneys at law, to look into the legal underpinnings of the city-library relationship. Key findings of that review are:

    - The Iowa code on "Library boards" applies to libraries created prior to 1972.
    - The "Library agency" created by the City Council is not governed by state law.
    - The "Library agency" is subject to city ordinances as any other agency.
    - The city council has full authority to define library administrative rules.
    - The Dorsey & Whitney findings agree with those of the Iowa Municipal League.

Nevertheless, like library boards at other clients, the board chafes a bit at city-defined limits, rules, and requirements, feeling the City Council may not have enough belief in the library and does not see the library as an asset. **The Library Director and a Board member shared their perspective on city-library roles and relationship:**

- **State Law: Mercer was referred to Chapter 392 of the Iowa code**, which covers City Administrative Agencies, including ones created by ordinance (392.1) and for special purposes, such as a Library Board (392.5):
  - ✓ By Ordinance: A city ordinance should "indicate the title, powers, and duties of the agency; method of appointment or election; qualifications, compensation, and term of members; and other appropriate matters." The city council, however, "may not delegate powers and authority under Chapter 384, City Finance," such as Fiscal Year, City Finance Committee, City Budget, Budget Amendment, Annual Report, and many more.
  - ✓ Library Board: "The board may accept and control the expenditure of all gifts, devices, and bequests…Voters must vote to change the library board's charge, composition, or manner of selection…or shift to an Administrative Agency…."
- **City Ordinance #565:** The ordinance creating the library and library board was said to be based on libraries their size under the pre-1972 state law and didn't include language to control the library (see a summary of library board responsibilities on the prior page). In practice, the LeClaire Library Board is said to operate closer to the language in Iowa 392.5 than in 392.1.
- **Dorsey & Whitney Review:** Mercer was told the library board wrote to the State Attorney General regarding draft city changes to the library ordinance limiting the board's authority and role without the board's agreement to dissolve and without a citizen vote. The board may not have received a response from the AG. The City, concerned about the poor city-library relationship and perhaps seeking a new direction, commissioned the Dorsey & Whitney study (see study results on prior page). A Library Director hired post-2010 seems to have patched things up between the Mayor-City Council and the Library Bboard.
- **Library Authority**: The Library Board should have the core authority to hire, fire, and evaluate performance of employees and manage finances. The Friends of the Library should have the authority to raise and spend funds. The Green Tree Fund intentionally was set up through the community foundation.

  The ***Iowa Library Trustee's Handbook*** (2014) that the library provided to Mercer states that the five primary roles of Public Library Boards are:
  - ✓ Advocate for the library in the community and for the community.
  - ✓ Plan for the future of the library.
  - ✓ Monitor and evaluate the overall effectiveness of the library.
  - ✓ Adopt library policies.
  - ✓ Hire and evaluate the library director.

A table in the handbook describes the roles and responsibilities of the Director, Board, City Council, Mayor, and City Administrator. The **Library Board** should:

- ✓ Stay informed about library activities, needs, and concerns.
- ✓ Review the draft budget request, including line items.
- ✓ Approve the final budget request based on board-approved priorities.
- ✓ Support and advocate for the budget request when presented to the city.
- ✓ Approve monthly expenditures (the board is ultimately and legally responsible for how funds are spent).
- ✓ Review monthly financial reports and prioritize needs to match available funding (the board has authority to shift funds from one line item to another as needed).
- ✓ Informs the city council, mayor, and city staff about library activities, needs, and concerns.

- **City Authority:** The handbook then states the **Mayor** is to appoint library board members with City Council approval and the **City Council** appropriates bottom line funding for the library. The **City Administrator** is to pay expenditures approved by the Library Board and provide the library a monthly report showing paid expenditures and the status of the budget. All city officials are to stay informed about library activities, needs, and concerns.

  The trustee's handbook notes that cities are responsible Under Iowa Code 384.20 for financial accounting, payments, budget reporting, and the like. Library boards "typically have a great deal of power over the library budget." Most library ordinances "include the authority to approve expenditures and move funds from one line item to another."

- **City Council Liaison:** A key way to ensure the city council and library board work cohesively is an effective city council liaison. The Governance section in Chapter III, Citywide Functions, provides findings and recommendations for the structure of city council committees and liaisons. Over the past few years, some liaisons have been actively involved in board and library operations; others have not.

- **Library Board:** The board has seven members who serve six year terms. The board meets monthly. Recently the board lost two members due to the time commitment, but two new members recently joined the board and a new chair was elected.

  The prior chair suggests limiting the board to five members with shorter terms. Per Iowa Code 392.5, voter approval is needed to change the board from seven to five members and to adjust their terms.

  The board is developing a set of board policies. The chair shared draft "Governance Process Policies," based on the Carver Model. Mercer's consultant shared a negative experience with this model in his hometown and suggested caution.

(b) RECOMMENDATIONS

➢ L1: Library-Governance:

a) City-Library Roles and Relationship: The city council and the library board need to work harder to strengthen their relationship, specifically to reach final agreement on each body's governance roles and responsibilities.

A part of that relationship-building exercise should be a discussion of what Iowa law and City Ordinance #565 mean in terms of the board's authority. A review of the 2009 Whitney & Dorsey study may not be helpful in this process. The Iowa Municipal League and/or the State Library could facilitate this discussion.

Mercer believes that the primary issue to be resolved is management of the library budget, including the authority to move funds between line items, as well as management of the funds raised by the Friends of the Library.

We encourage all members of the city council, not just the liaison, to reach out to the library board and staff to show they value the library as a community asset and to use the library's resources. (City Officials and Library Board)

The key to a great relationship is an effective city council liaison that reports back to the city council on library matters and shares the library director's monthly report. (City Council Liaison)

b) Library Board: We support the idea of Library Board By-Laws, just not by-laws based on the Carter System. Mercer will provide an example of good board bylaws from a prior client. (Library Board)

In this effort, the Board needs to recognize that their authority and actions are closely defined by the Iowa Code and City Ordinance #565. New library board members should receive training on the board's legal authority. (City Officials and Library Board)

c) Board Size and Terms: The city council and library board should review the former chair's idea of reducing the size of the board to five members with shorter terms in order to encourage citizen service as board members, with confirmation of any change by a vote of city residents.

A 7-member library board is a bit large in our opinion and a six-year term is very long compared to our experience in other cities.

By comparison, members of the 7-member LeClaire Planning & Zoning Commission (also perhaps a bit large) serve five-year terms and members of the 9-member (due to the merger of three boards) Parks & Recreation Commission serve three-year terms. (City Officials and Library Board)

(4.) Strategic Direction

(a) FINDINGS

As required by the State Library, the LeClaire Community library has developed a **three-year plan**. The plan (per the 2014 Report Card) has **three service priorities and a total of nine goals**, as well as objectives, prior and planned activities, and measurable outcomes for each goal:

1. **Create Young Readers:**
    a. Preschoolers and early elementary school-aged children will develop the habit of reading for pleasure.
    b. Parents/caregivers support in developing the love of reading in their children.
    c. Youth of 12 years of age and younger will acquire and sustain lifelong literacy practices.
2. **Connect to the Online World:**
    a. Teen access to services and support in utilizing the library virtual programming.
    b. Patrons will receive assistance and training with technology to assist them as 21st century citizens.
    c. Patrons will have the ability to access and utilize technology resources throughout the library facility.
3. **Stimulate Imagination/Express Creativity:**
    a. Teen access to programs and services that support and encourage creativity.
    b. Patrons will enjoy a varied selection of "gender neutral" programming.
    c. Patrons of all ages will have access to a varied collection of materials that support an interest in popular materials.

We understand the **City plays no role in development of the Library Plan** and may not have seen the document. However, the library says it invited the city to participate, with some involvement by the City Council liaison. The plan is posted on the city's web site. The library is concerned that the Bi-State Commission did not ask citizens about the library on their survey about city services and facilities.

When Mercer asked a broad, long-range question about the **future of the city library**, members of the Board of Trustees were a bit stumped at first, then suggested that the library encourages life-long learning and develop young readers (Age 1 to Teens). **"Dreams for 2025"** are:

- Better use of the City Hall-Library "Plaza."
- More space for gatherings (200+ people) for events, book sales, summer reading.
- More outreach to people who can't come to the library facility (but no branch).
- More adult and technology-based programs.
- Green roof, gardens, greenhouses.
- Sunday hours.

(b) RECOMMENDATIONS

- **L2: Library-Strategic Direction:** Based on the Mercer Model for Strategic Planning (Table 3 in Chapter III), Mercer suggests the following changes to the library's strategic and functional business planning process. The mission is a good one.

  a) Alignment: As a first step, the Library Board and Director should meet with the Mayor, City Council, and City Administrator to understand their "dreams" for the library, as well as what may be practical under the current reality.

  The City Council liaison to the Library should be involved in each step of the Library's strategic planning process.

  The library should present a draft of the Strategic Plan to the Mayor, City Council, and City Administrator then meet with them to review their comments and ideas.

  Link the library's plan to the updates to the city's strategic and comprehensive plans and see if those plans have thoughts for better use of the City Hall-Library Plaza as a community gathering place. (Library Board and Director, City Officials)

  b) Vision: Create a long-term vision for library services in LeClaire. Long-term meaning at least to 2025 and perhaps to 2035. (Library Board and Director)

  c) Goals: With community input (planned by the Library Director), update the goals in three-year increments (to match the state planning period) and objectives in 1-2 year increments to move toward the vision. (Library Board and Director)

  d) Performance Objectives: Continue to develop, monitor, and report performance measures for each objective and goal. (Library Board and Director)

  e) Dreams: Incorporate the "Dreams for 2015" into the strategic planning process. (Library Board and Director)

  f) Final Plan: Make the final plan document available to the City Council and to the public by posting it on the city's website.

4.) Service Delivery Structure

(a) FINDINGS

- **Friends of the Library:** A "Friends" group is a common support group for libraries. The group in LeClaire focuses on book sales (two a year) and other fund-raising activities, such as the Green Tree Fund. Like many Friends groups, the same people have served for years and new blood may be beneficial per some interviews.

  The **Green Tree Library Fund** was established by the Friends to be a "permanent endowment planted for the long-term benefit of the library and our community" in order to "enhance the library experience and respond to growing community needs." The library has a brochure explaining the fund, which reviews the fund's history and goals.

  The fund began in 2004 after the successful funding-raising campaign to build a city library. A $10,000 anonymous challenge grant was received to build a permanent library endowment at the **Community Foundation of the Great River Bend**. By 2007, the community had raised twice the original goal and the Friends upped the goal to $100,000 to provide "seed money for future improvements." Contributions and accumulated assets are held by the Community Foundation. Broadly-stated goals of the fund cover children and teen services, technology, library improvements, and adult programs and services.

  Like the Firefighter's Association, some City Council members ask if the city should have greater control over use of assets from the Green Tree Fund. The library says it submits financial activities of the Friends, Green Tree, and the library to the city for audit. The Friends is a "blended component" of the city's annual financial audit and report.

- **RiverShare Library Consortium:** The bi-state consortium is breaking apart as Illinois libraries withdraw. In the past, the consortium had twenty participating libraries. Even with the withdrawal of Illinois libraries, it appears that the consortium will continue to provide library technology and inter-library loans only for Iowa libraries.

(b) RECOMMENDATIONS

- **L3: Library-Service Delivery Structure:**

  a) Friends: The city council, library board, and Friends leadership should seek new blood for the Friends.

  Although the Green Tree Fund is held by a community foundation, decisions on its goals and projects should be coordinated with the Library Board and the City Council. (City Council, Library Board, Friends, and Director)

  b) Library Use: With the loss of Illinois libraries in the RiverShare consortium, the city and the library will limit use of the city library by Illinois residents. Consider fee-based use. (City Officials, Library Board, and Library Director)

5.) Organization and Staffing

(a) FINDINGS

- **Organization:** The Library Director, who reports to the Library Board of Trustees, runs the library and supervisors library staff. The Director gets high marks from board members, but just moved on to the Dewitt Library.

- **Library Director:** The library has had four Library Directors in its 15-year history. The position tends to be a stepping stone to a higher paying position in a larger library system, like Bettendorf, or with greater challenges, like Dewitt.

- **Assistant Director:** The library lacks a formal Assistant Director, but the Circulation Manager is designated as the backup to the director. Mercer was told the city requested creation of an Assistant Director position in the last union negotiation, but that is incorrect per the City Administrator.

- **Staffing:** In addition to the Library Director, the library has three staff positions for a total of **3.75 full-time equivalent positions**:

  - **Youth Services Coordinator**: A full-time position focusing on programming for children and youth from birth to 12th grade, the teen volunteer program, outreach, promotional activities, circulation, and the collection.
  - **Circulation Manager**: A full-time position focusing on in-processing new materials, cataloging, inter-library loans, collection development, magazines, social media, reporting, and adult programs.
  - **Circulation Clerk**: A 32-hour position focusing on customer service at the circulation desk, which is now filled by two part-time positions.

  Library staff advocates for adding a 20-hour position to work the front desk.

  Like any small organization, the library suffers when there is a vacancy in any of the budgeted library positions. When short-staffed, the remaining library staff has less time for shelving, processing inter-library loans, responding to patron requests,

  The Director shared **2013-2014 State comparative staffing data for D-size libraries**.

  - **Under 4,000-Population:** Eight libraries ranged from 2.65 positions (Carter Lake) to 4.19 (Adel), averaging 3.29 positions. Hours of operations range from 38 to 58, averaging 46 hours, compared to 51 in LeClaire.
  - **Over 4,000-Population:** Eight libraries ranged from 2.11 positions (Spirit Lake), which is a low outlier, to 6.43 (Dyersville), averaging 4.0 positions. The staffing data has two clusters, three libraries from 2.11 to 2.93 positions and five libraries from 4.13 to 6.43 positions. Library hours range from 38 hours (Tama) to 58 hours (Osage), averaging 46 hours, again compared to 51 in LeClaire.

(b) RECOMMENDATIONS

- **L4: Library-Organization and Staffing:**

  a) **Assistant Director:** Review the job description of the Circulation Director in the role of the #2 position to back up the Library Director. This role does not have to be filled by an actual Assistant Director position, but as other duties assigned. The job description and compensation should reflect this assignment. (Library Board and Director)

  b) **Staffing:** Maintain current staffing levels for the present time, which are comparable to other similar sized libraries in the state. Defer consideration of an additional part-time position for now. (City and Library Officials)

  c) **Strategic Plan**: Soon, the library will update its strategic plan, hopefully with additional elements and information suggested by the Mercer Model for Strategic Planning. In the planning process look at staffing needs under several future scenarios (Library, Board, Library Director, and Library Liaison):

    1) Increased and decreased library hours (like 45 and 55)

    2) Increased population (like 4,500 and 5,000)

    3) Increased usage (circulation, visits, events)

6.) Operations Management

The review of the library includes comparisons to eight similar-sized Iowa cities (Adel, Bondurant, Carter Lake, Clarion, Emmetsburg, Osage, Tama, and Williamsburg) with populations from 2,850 to 3,904 **and to eight slightly larger cities** (Camanche, Dyersville, Forest City, Hampton, Humboldt, Jefferson, Osceola, and Spirit Lake) with populations from 4,151 to 4,929. Data comes from annual library surveys compiled by the State of Iowa.

(a) FINDINGS

- **Library Hours:** The **LeClaire Library is open 51 hours per week**, as follows:
  - Monday-Thursday (10 am to 8 pm)
  - Friday (10 am to 5 pm)
  - Saturday (10 am to 2 pm)
  - Sunday (Closed)

  Per State data, eight D-Size Iowa libraries in cities under 4,000-population are open 38 to 52 hours per week, with an average of 46 hours. The hours for eight libraries in cities over 4,000-population range from 38 to 58 hours, again averaging 46 hours.

- **Services:** The Library Board and Director seem tuned in to the community's interest in and need for library services. Staff experiments with new programs and catalog items. Current services include:
  - Materials in print, CD, DVD, puzzles, and video games
  - Electronic resources such as EBSCOHost and TumbleBooks
  - Children/Adult programs (e.g., Storytime, Teen Group, Adult Book Group)
  - Reference, fax, and copier
  - Public access computers and WiFi
  - Monthly newsletter; proctoring services
  - Homebound delivery services

- **Circulation: Circulation in FY 2015 was 45,369 items** and in FY 2014 was 40,559 items. From 2010 to 2015, LeClaire circulation averaged 43,050 items per year.

  The **2013-2014 State comparative circulation data for D-size libraries shows:**
  - **Under 4,000-Population:** Ranged from 22,246 (Carter Lake) to 129,200 (Adel), averaging 51,514. Without Adel, the high outlier, the average is 40,415.
  - **Over 4,000-Population**: Ranged from 21,840 (Osceola) to 144,924 (Dyersville), averaging 47,986. Without Dyersville, the high outlier, the average is 37,350.

  Per the Library Director, patrons in LeClaire tend to prefer books rather than new forms of library media.

- **Accreditation:** The library was first accredited in 2006. The renewal application was filed with the State Library in the spring of 2016.
- **Self-Check:** All materials are checked out by staff at the front desk. The library does not use a computerized Self-Check system. Self-check likely is not needed.
- **Security:** Two people open and close. Lighting around the library is good and staff feels safe closing at night. Very seldom do homeless people just hang out.
- **Cash Drawer:** The current cash drawer procedures segregate revenues into four categories (book/DVD fines, copies, printing, and faxes), which staff working the front desk calls "a burden," particularly when making change. Staff suggests one cash drawer.
- **Library Reports:** The Library Director gives the Library Board a report once or twice a year, but does not prepare a written monthly report to the board or the city council. The director attends city council meetings. Section 21.10 of the City Code requires an annual library report.

(b) RECOMMENDATIONS

- **L5: Library-Operations Management:**

  a) Hours: Adjusting library hours is a common way of dealing with budget stresses. The financial impact, however, would be limited unless the city decided to match the lower level in the comparative libraries (about 40 hours).

  We suggest the city defer any adjustment to library hours until the library has completed the recommended strategic planning exercise and redefined the library's strategic direction and service alternatives. If the city was to reduce hours, the obvious first option is fewer days with evening hours, perhaps two rather than four. (Library Direction, Library Board, and City Officials)

  b) Finance: Work with the City Administrator and city hall staff to explore ways to simplify cash drawer operations with a goal of a single cash drawer for all transactions. (Library Director and Circulation Manager)

  c) Annual Report: Based on monthly reports, develop an annual report on library activities for the Library Trustees, the Mayor and City Council, and library patrons. When completed and approved, post the report on the city's website. (Library Director)

7.) Resource Management

(a) FINDINGS

- **Finances:**
  - **Budget:** Budget information early in this section shows the LeClaire library's budget is comparable to other similar-population communities in Iowa.
  - **Library Tax:** Library officials suggest creation of a dedicated library tax levy.
  - **Grants:** Grants are a source of additional library revenue, but the library has had little success in winning grants in the past.
  - **Green Tree:** The Green Tree Fund aims to raise $50,000 to $100,000 to serve as an endowment for the library.
  - **Reserves:** The library has a $50,000 surplus at present.
- **Facility:** The current library facility appears adequate in overall space, but there are some limitations and needs:
  - **Plaza:** The City Hall-Library Plaza seldom is used for city or library events and needs repair and a new vision. The City Administrator says the city is seeking funds for an upgrade to the plaza.
  - **Meetings:** Meeting space limits participants to about 50 people in a city without a true community center (the fire station has a larger room, however).
  - **Shelving:** The current shelfing was donated when the library opened, is aging, not library-specific, inefficient for storing library materials, limits the size of the collection on display, wobbles when items are re-shelved, and said to be a hazard. The director has a quote for new shelving that is about $45,000.

    City officials looked at the shelves and say most are 'OK" and the real need may be more like $6,000.
  - **Maintenance:** Staff says the heating, cooling, and plumbing systems have issues and the walls need paint.

➢ Human Resources:

- **Performance Evaluations:** At present, only the Library Director gets a performance evaluation (by the board). The most recent board evaluation recommended a raise above that for employees in the new union agreement.

  The new union agreement provides implements a performance evaluation system for employees.

- **Compensation:** Library staff does not get a pay boost if they earn an MLS, which is a common benefit in other city and county libraries (assuming the job description calls for an MLS).
- **Job Descriptions:** Job descriptions are up-to-date (1-3 years old), but the Circulation Director's job description may overlap with the Youth Services Coordinator. As stated earlier, the Assistant Director/#2 role should be worked into the job descriptions.
- **Benefits:** City benefits are not granted until someone works 40 hours. If the Circulation Clerk position was filled by one person, he/she would not be eligible for benefits as it is a 32-hour position.

➢ Technology:

- **Library Technology:** Staff notes the need to keep up with library technology (a general challenge for libraries), including upgrading older computers.
- **Technology Education:** Staff indicates technology-related programming is needed, including technology education for patrons.
- **Social Media:** Staff indicates there are opportunities for the library to expand social media services and communications.

(b) RECOMMENDATIONS

➢ L6: Library-Resource Management:

a) Financing the Library: Depending on the results of the library strategic planning exercise, the Library Board and City Council may find the library important enough to warrant a special operating tax levy. Clear guidelines would need to set for the levy limit and uses.

Also, explore alternative sources of revenue for the library, specifically grants for special library needs and programs. (City and Library Officials)

b) Facility Improvements:

1) **Plaza:** Develop a facility use plan for the plaza between city hall and the library, which appears to be infrequently used and needs repairs. (City and Library Officials)

2) **Shelving**: Assess the condition and functionality of the current shelves and determine a price that reflects the actual need (likely somewhere between the library's $45,000 estimate and the city's $6,000). Library-specific shelving may not be a priority if most of the current shelves are functional. Perhaps the library's surplus is a good source of funding to expedite procurement, if needed. (Library Director and City Administrator then City and Library Officials)

c) Human Resource Management:

1) **Performance Evaluations:** Implement a performance evaluation system for all library employees based on the system implemented through the union agreement. Coordinate this system with the one the board uses to evaluate the Library Director. (City Administrator, Library Director, and Library Board)

2) **Job Description:** Update the Circulation Manager's job description to eliminate references to work now performed by the Youth Services Coordinator. Incorporate a reference to the #2 role. (City Administrator and Library Director)

d) Technology: Develop a Technology Plan for the library to include a process for keeping up with the evolution of library-related technologies. (Library Director and City Administrator)

F. PUBLIC WORKS

The Department of Public Works is provides a range of planning, management, operation, and maintenance services for city infrastructure and facilities.

1.) Overview of the Department

- **Services:** The Public Works Department provides services both in-house using city employees and through contractors or associated agencies.

  In-house services include:

  - Equipment maintenance (Public Works vehicles only)
  - Facilities maintenance (Public Works and City sites)
  - Grounds maintenance (Public Works and City sites)
  - Streets, curb & gutter, and sidewalk maintenance
  - Stormwater system maintenance
  - Wastewater collection system maintenance, including locates and meters
  - Wastewater treatment plant operation and lift station maintenance

  Several provided by outside contractors or other agencies include:

  - Construction (major street and infrastructure projects)
  - Engineering (contract engineers for specifications, designs, capital project planning, plan reviews/permits, and construction management)
  - Equipment maintenance (major repairs are contracted)
  - Facilities maintenance (technical and trades services are contracted)
  - Solid waste, recycling, and yard waste collection and disposal (Allied Waste Services contracted through December 2021)
  - Water supply, treatment, and distribution (sold to Iowa American Water in 2003)
  - Wastewater oversight (operator-in-charge), sampling, and testing services (QC Analytical Services contract)

Infrastructure responsibilities include:

- **Facilities-Outside:** External maintenance, mowing, and landscaping for:
  - ✓ City Hall/Library (1.3 total acres/.5 mowing & landscaping)
  - ✓ Downtown streetscape (2.5 total acres/NO mowing & landscaping)
  - ✓ Police/Fire stations (2.5 total acres/1.75 mowing & landscaping)
  - ✓ Scout & Hollyhock Parks (6 total acres/5.6 acres mowing & landscaping)
  - ✓ Greenspaces/Rights-of-Way (17.2 total acres/17.2 acres mowing)
  - ✓ Huckleberry Park (3 total acres/3 acres mowing)
  - ✓ Levee (4 total acres/2.2 acres mowing & landscaping)
  - ✓ Recreation Center/Vets Plex (5.4 total acres/3.5 acres mowing)
- **Facilities-Inside:** Internal maintenance and janitorial service for:
  - ✓ City Hall (7,400 square feet…all work)
  - ✓ Library (9,800 square feet…as requested, no janitorial)
  - ✓ Police Station (9.000 square feet…as requested, no janitorial
  - ✓ Fire Station (11,500 square feet…as requested, no janitorial)
  - ✓ Levee Pavilion (1,200 square feet…all work)
  - ✓ Recreation Center (5,600 square feet…as requested, no janitorial)
  - ✓ Public Works yard (all work)
  - ✓ WWTP (all work)
- **Sewer Collection System:** 33 miles of sewers, 793 manholes, and 7 lift stations
- **Sidewalks:** Miles of sidewalk not available
- **Signs:** Number of signs not available
- **Streets:** 72 lane miles
- **Street Lights:** Downtown along Cody Road and around the Levee
- **Street Trees:** 63 (downtown)
- **Stormwater System:** 3 miles and 364 intakes
- **Traffic Signals:** Three sets

- **Budget:** The **FY 2017 budget** is $991,361 ($236 per capita) for **general Public Works services**, or is 7.2% of the city**'s** total budget for Government Activities. Programs are:

• Roads, Bridges, & Sidewalks:	$293,779	
• Street Lighting:	$ 54,450	
• Traffic Control & Safety:	$ 21,282	
• Snow Removal:	$145,858	
• Garbage:	$309,418	$290,220 in revenue
• Other Public Works:	$166,574	

Budget accounts for other departments, like the Library or Police, may be charged for the cost of public works services, such as building repairs and mowing. Of 16,224 PWD man-hours planned for FY 2016, about 5% will be charged to other city departments.

General public works costs were $1,889,394 ($450 per capita) in FY 2016 Re-estimated; $877,576 in FY 2015 ($216); and $4,802,222 in FY 2014 ($1,224).

Sewer, the city's only Business Activity is funded at $1,124,895 in FY 2017, with $757,260 in user charges, representing a 67.3% recovery rate of operating costs. Depreciation of about $350,000 per year is not recovered by the rates.

Public Works revenues include $455,565 in Road Use Taxes and part of the $327,250 in the Capital Projects fund, which support street overlays, concrete panel replacement, crack seal, wastewater infiltration and inflow (I&I); major infrastructure repair projects (e.g., Wisconsin Street improvements); and equipment replacement.

Comparing public works programs across cities is tricky because budgets may be structured differently (e.g., garbage costs may be in Government or Business Activities) or programs charged differently (see Snow and Traffic Control). **Comparing the FY 2016 budgets** for three Public Works programs shows:

- **Roads, Bridges, Sidewalks:** LeClaire budgeted $265,963 ($63 per capita), while the five cities budgeted from $288,534 (West Liberty) to $762,694 (Eldridge), averaging $341,668 ($76).
- **Traffic Control & Safety:** LeClaire budgeted $118,777 ($28 per capita), while the five cities budgeted from $0 (Dyersville/West Liberty) to $22,400 (Eldridge), averaging $6,198 ($1). Accounting issues may explain why LeClaire is higher.
- **Snow Removal:** LeClaire budgeted $156,349 ($37 per capita), while the five cities budgeted $0 (Carlisle) to $57,488 (Camanche), averaging $35,190 ($8). Topography, icing, and local standards may explain cost differences. Eldridge budgeted $32,000 ($5), but is flat and has fewer Stormwater issues causing icing. Also, LeClaire likely has higher expectations for snow removal downtown.
- **All Above:** LeClaire budgeted $541,089 ($129 per capita) on Roads, Traffic, and Snow, while the five cities budgeted from $291,446 (West Liberty) to $817,094 (Eldridge), averaging $511,999 ($114), basically the same as LeClaire. Cost accounting practices and local circumstances likely explain the program differences (e.g., Traffic and Snow lower, but Roads higher than LeClaire).

The level of **Parks, Recreation, Museum, Community Center, and Other Recreation funding** is interesting across the cities. LeClaire budgeted $124,511 ($37 per capita) in FY 2016, while the five cities budgeted $94,594 (Camanche) to $534,264 (Dyersville), averaging $346,092 ($77), or three times LeClaire.

- **Staff:** DPW is allocated the following eight positions, all in the AFSCME union:
  - Public Works Supervisor
  - Maintenance Technician I (a Wastewater Operator II)
  - Maintenance Technician II (a Wastewater Operator II)
  - Maintenance Technician II (2)
  - Maintenance Technician III (2)
  - Laborer (30 hours per week from April into November and winter as needed)

  In addition, the city contracts with QC Analytics for the services of a Grade III Wastewater Operator to meet state and federal oversight requirements, who works 1-2 hours per weekend and is a regular employee of the city of Eldridge.

- **Facilities:** Public Works operates out of a fenced-in, gated yard that includes:
  - Supervisor's office
  - Lunch/break room
  - Inside storage area with 10 equipment storage and maintenance bays
  - Employee parking area and outside vehicle storage
  - Sand/salt barn
  - Wastewater treatment plant

- **Equipment:** Public Works is assigned 26 major items of equipment:

• Car:	1	
• Light Trucks:	3	Two 250 and one 350
• Heavy Dumps:	5	7-ton and 10 cubic yards for snow removal
• Light Dumps:	2	1-ton and 3 cubic yards for general use
• Construction:	5	Backhoe, Tractor, Loader, Jet-Vac
• Mowers:	2	John Deere
• Trailers:	3	
• Generators:	3	
• Pumps	2	6" pull-behind and 4"

  The major rolling stock items are allocated to several funds and activities as follows:

• Sewer:	5.55
• Streets:	5.05
• Snow Removal:	3.90
• Parks:	1.13
• Veterans:	.67
• Levee:	.20

2.) Results of Interviews and Surveys

This section of the report compiles the results of Public Works interviews, questionnaires, and surveys. Findings represent perspectives at the time of the interviews. Items mentioned by several employees are **bolded.**

Mercer Note: These perceptions may be fully accurate, once accurate but now out-of-date, or incorrect. We use them as a starting point for issues to be analyzed during the study.

Implementation: Once the study report is shared with the department, the Public Works Supervisor should meet with staff to review the results of interviews and surveys to seek a better understanding of and solutions to weaknesses, opportunities, and low survey scores.

(a) SWOT ASSESSMENT

- **Strengths:**
  - Awesome employees
  - Clean city
  - Maintenance programs started for some activities
  - Snow removal program
  - Equipment (mostly) and tools
  - Facility (DPW and wastewater plant upgrade)
  - Activity and time reporting system (by activity and employee) with many years of data available

- **Weaknesses/Areas to Improve:**
  - **No clear mission, vision, values, goals, and objectives**
  - **Internal day-to-day communications need to improve (e.g., weekly/monthly/year schedule, few staffing meetings)**
  - **Some internal friction that disrupts teamwork (wastewater-public works)**
  - **No recurring, year-to-year budget for street improvements (e.g., overlays, concrete panels)**
  - **Need more summer help**
  - Limited career opportunities
  - No formal #2 (informal #2 lacks appropriate title)
  - No performance evaluations
  - Need more preventative maintenance programs (e.g., jet sewer regularly)
  - Limited fleet management program (e.g., no work orders, operator check lists)
  - Some backlogs (e.g., tree trimming)
  - Lack formal grease trap program

- **Weaknesses/Areas to Improve (continued):**
  - Need a boom truck for tree trimming and downtown lights
  - Need a wood chipper to repurpose (sell chips) and limit waste
  - Debris pile next to the water tower
  - Have someone else do parks and city lots
  - Low ($5) fee for obstructing snow plowing downtown (increase in process)
  - Reports of test results from QC Analytics can be slow
- **Opportunities/Challenges:**
  - Sell the wastewater plant and collection system like the water system was sold to Iowa American Water in the recent past (some agree; some don't)
  - Create a Stormwater utility with fees to improve management of storm water
  - Fully implement the "All Max" maintenance management system (expand to general public works and equipment maintenance)
  - Dealing with growth and more traffic
- **Threats:**
  - Loss of funding (city or state)
  - Sale of the wastewater utility (some agree; some don't)

(b) EMPLOYEE SURVEYS

- **Values:** Almost unanimously (7 of 8), employees say the department lacks a Values Statement that was developed with employee input, is posted, and relates to a citywide Values Statement. In addition, most employee (5 of 6 responding to this question), do NOT affirm that the department lives out a set of informal values on a day-to-day basis. Nevertheless, employees identified the following potential values in their surveys:
  - Integrity, honesty, trust, compassion, optimistic, understanding, loyalty
  - Fair, respect, honest, cooperative, open communication, courtesy
  - Participatory, continuous improvement, quality of work, value diversity
  - Optimal service delivery, pride in work, professional, wise use of resources, safe

- **Organizational Climate:** The overall OCS scores are less than satisfactory (45.21% Agree, 40.00% Disagree, and 14.79% Undecided). Detailed results are provided in **Exhibit 4h** in Chapter VI.

  Only one subscale (Productivity and Customer Service at 75% Agree) has a great score that meets our High Performance standard. The following six scores out of 12 are below our Minimum Standard of 50% Agree with five other scores between 50% and 60%:

  - Receptivity to Change: 27.5% Agree 55.0% Disagree
  - Understanding Organizational Goals: 32.5% Agree 55.0% Disagree
  - Compensation & Benefits: 35.0% Agree 30.0% Disagree
    35.0% Undecided (very high)
  - Career Opportunities: 37.5% Agree 55.0% Disagree
  - Employee Involvement: 40.0% Agree 55.0% Disagree
  - Work Group Problem Solving: 42.5% Agree 42.5% Disagree

  Receptivity to Change is interesting as the department, at least on the general Public Works side, is implementing several changes (e.g., maintenance programs, new equipment, and implementation of an automated maintenance management system).

  Understanding Organizational Goals, which can mean citywide or department goals, points both to a lack of goals and to a lack of communication and Employee Involvement (few staff meetings, low scores on GRIPES survey for Information, Empowerment).

  Career Opportunities often is scored low in small agencies. Compensation & Benefits often scores low in maintenance operations. From interviews and the Personnel Practices survey, the issue is not benefits. But, Pay scores 3.13 (Adequate) on that survey.

  Work Group Problem Solving (By Managers) may point toward the Receptivity and Understanding Goals issues above or to the dissonance between the Utilities and Public Works sides of the department, which is an important cultural issue to resolve.

- **<u>GRIPES/Management Practices</u>:** The overall score of 1.96 out of 5 is WELL below our Minimum Standard of 3.0=Adequate. Only one of 12 scores exceeds 3.0 (Respect from the DPW Supervisor). Scores below 2.5=Problematic are:

  - Elected Officials Support: 1.13
  - Rewards: 1.13
  - Elected Officials Respect: 1.37
  - Other Department Support: 1.62
  - Central Administrative Support: 1.75
  - City Support for Training: 1.88
  - Information-Policies & Procedures: 2.13
  - Department Support: 2.25
  - Empowerment: 2.50

  Potential Tapped is 65.7%, which is close to our High Performance standard of 70%.

- **<u>Resources</u>:** The overall score of 3.42 is positive and exceeds our Minimum Standard. Two scores (Facility and Office Equipment) exceed our High Performance Standard of 4.0=Good.

  Only one score (Other Resources at 2.71) is below 3.0. This score likely links to lower scores on Training in the GRIPES survey.

- **<u>Personnel Practices</u>:** The overall score of 2.81 is slightly below our Minimum Standard. This survey often scores .5 to 1 point lower than the Resources survey. One factor (Benefits at 4.25) exceeds our High Performance Standard.

  Five of ten factor scores are well below 3.0:

  - Training: 2.00
  - Performance Evaluations: 2.00
  - Disciplinary Process: 2.38
  - Morale: 2.50
  - Career Ladders: 2.63

  As in other city departments, DPW does not use **Performance Evaluations**.

  Mercer does not have a clear picture from interviews why the **Disciplinary Process** score is so low, but the array of individual scores includes several 1's and several 4's, so DPW staff seems to be of two-minds.

  Mercer believes from interviews that the low score on **Morale** is partly the result of ongoing dissonance between the Utilities and Public Works sides of the department.

  A low score on **Career Ladders** is expected in a small agency. On a positive note, the city and the union have created several steps in the PW Technician classification (I-IV).

3.) Strategic Direction

(a) FINDINGS

In support of citywide strategic and comprehensive plans (as well as functional and area plans), a Public Works Department typically prepares functional plans in four areas:

- **Functional Business Plan:** A Public Works Department should prepare a functional business plan that describes its mission, values, goals, and objectives. This functional plan has many of the same elements of a strategic plan (see Exhibit 3 in Chapter III) and is described in more detail in the Operations Management section that follows.

  The LeClaire Public Works Department:

  - **Mission/Values:** Lacks formal mission statement and values statements. Responses to the questionnaire and surveys confirm this, but identify some elements of the mission (take care of day-to-day operations, maintain infrastructure, and ensure health and safety), as well as several values.
  - **Goal/Objectives:** Has an informal set of goals and objectives, focused on some, but not all, annual maintenance programs (street overlays, manholes, crack sealing, sewer cleaning, and sewer I&I) and equipment replacement.
  - **Business Plan:** Has not prepared a formal functional business plan. In smaller organizations, the business plan tends to be less developed, but the key elements described above (mission, values, goals, and objectives) must be defined and align with the city's strategic plan.

- **Operations Planning:** A Public Works Department also should develop an Operations Plan (or Manual) that defines construction and maintenance standards; annual, seasonal, and monthly maintenance programs; and procedures for operational work tasks (e.g., setting a wastewater meter, snow plowing).

  The LeClaire Public Works Department:

  - **Routine Operations:** Lacks a formal, written Operations Plan, but has developed some building blocks of the plan (e.g., annual maintenance programs, activity and time reporting).
  - **Annual Programs:** Has implemented, with funding by the city, several annual maintenance programs, but these programs are just a start to a robust maintenance management system.
  - **Maintenance Standards:** Have defined construction standards for major projects, but standards for maintenance activities are less developed, except for the wastewater plant. Nevertheless, we learned in interviews that PWD staff seems to have a solid understanding of the requirements of the various maintenance tasks assigned.

- **Activity Reporting:** Does a very good job of tracking work performed and man-power applied, with data back to 1993. Detailed data is kept for almost 40 activities and for each DPW employee. The maintenance management system, *All Max*, will help plan, manage, and report work, with a start in the wastewater plant and lift stations. The activity/time reporting system, however, does not track units of work (e.g., manholes repaired), an important element of a performance reporting system. The city does have good data on traffic flows.
- **Performance Standards:** Have not developed performance standards or cost of service benchmarks, although contracting decisions appear to consider cost.

➢ **Capital Improvements Plan:** A CIP should cover all infrastructure and equipment, and plan out at least five year and preferably longer (up to 20 years to include Fire apparatus). A CIP plan typically covers facilities, equipment, infrastructure, and funding.

The LeClaire Public Works Department:

- **CIP:** In 2014, initiated a capital improvements planning process for DPW, with an initial focus on key annual programs and some critical infrastructure needs.
- **Equipment Replacement:** Lack a formal equipment replacement plan, citywide and for DPW, but equipment needs are considered in the annual budget process.
- **CIP Funding:** Have not set in place solid, recurring funding levels for key infrastructure, facility, and equipment needs (e.g., annual overlay funding level), typically relying on bonds for major projects and equipment.

➢ **Functional and Utility Plans:** Transportation, Stormwater, Water, and Wastewater, programs often are required by state and federal agencies to prepare operational and infrastructure plans to receive funding and to comply with various regulations, including water quality and customer reporting. The City uses the Comprehensive Plan, plus targeted studies (e.g., a 2000 water system study is mentioned in the 2002 Comp Plan), to plan for these programs. Mercer's review of that plan showed the plan focus more on community expectation (from surveys) than a technical review of community needs.

The LeClaire Public Works Department:

- **Water:** Sold the utility to Iowa American Water in 2003, which now has responsibility water system planning.
- **Wastewater:** MS IV permit required by the State of Iowa. Needs for plant, pump stations, sewers, and manholes likely will be reviewed in the update to the Comprehensive Plan. The recent update to the WWTP and lift stations has shifted planning needs more to system maintenance.
- **Stormwater:** System needs also likely to be reviewed in the Comp Plan update. From interviews and riding through the city, Stormwater improvements are a major infrastructure need, particularly on the hill above downtown.
- **Transportation:** Also likely to be reviewed in the Comp Plan update.

(b) RECOMMENDATIONS

- **PW1: Public Works-Strategic Direction:** As a small city, LeClaire naturally has a more informal approach to strategic and functional business planning than larger cities. Current planning efforts in areas related to public works and utilities have some strong spots as noted above, but can be improved as follows. (Mayor, City Administrator, and DPW Supervisor)

  a) Functional Business Plan: Over time, we recommend the Public Works Supervisor develop a simple functional business plan for general and wastewater operations. Elements of the plan would include:

  1) **Mission Statement** (for example, "*Provide responsive, efficient, and cost-effective services in a manner that safeguards the public, accommodates ease of use, provides aesthetic enjoyment of public areas, maintains and protects public property, provides for existing and future infrastructure needs, and protects the environment.*")
  2) **Values Statement** (see Values Section)
  3) **Service Delivery Structure** assessment (What does the PWD do and what is contracted or performed by another public agency?)
  4) **Operational Goals** for the next three years (in each major service area)
  5) **Operational Objectives** for the next year (in each major service area)
  6) **Performance Measures** for key activities (see Attachment C)

  b) Operations Plan: In addition, the Public Works Supervisor, with the assistance of PWD staff, should draw on existing activity and time data to identify all work performed by the department, including current backlogs (tree trimming) and work needed to be done, and lay out an annual maintenance and construction program, with man-hour (or contractor) requirements annually, seasonally, and monthly, as well as expected units of service. This activity takes advantage of existing activity/time data to use it to plan out operations and resource needs (e.g., "Managing the Numbers" under Operations that follows).

  c) Capital Planning (also see Chapter III, Finance): The Public Works Supervisor, with the assistance of the DPW staff and the City Administrator, should develop a ten-year plan for major facility and equipment needs (additions, replacements, upgrades, and major maintenance), with funding options.

  d) Functional and Utility Planning: Mercer believes the Comprehensive Planning process will be adequate for most public works and utility functions. However, Stormwater needs may require an enhanced study by an engineering firm.

4.) Service Delivery Structure

An efficient and effective public works operation develops a service delivery strategy based on answering these questions:

- What is our mission?
- What are our core and non-core services?
- Where do we have skilled and experience staff with the appropriate equipment to do a great, cost-effective job in providing maintenance and construction services?
- What is our limit in providing construction services (e.g., over 100 feet of sidewalk replacement or trimming trees where a bucket truck is required)?
- What core services do we need help in providing?
- Should another organization deliver non-core services?

(a) FINDINGS

Public Works is a department of the City of LeClaire and the Public Works Supervisor reports to the City Administrator, who also serves as the City Engineer. Most public works maintenance services are provided in-house by city employees, with outside help in the following areas:

- **Engineering:** A contract engineer provides on-call professional engineering services, including specifications, design, plan reviews/permits (drainage, erosion control), capital improvements planning/pricing, and construction management. This is a common arrangement for a small community.

  In addition, the city hires consulting engineers for specific projects, such as the wastewater treatment plant and lift station upgrades, design of an infiltration and inflow prevention program, and major street redesigns.

- **Equipment Maintenance**: Major maintenance and repairs to public works vehicles and equipment, including major equipment in the wastewater plant and public works facility, are contracted. Outsourcing decisions are made on a case-by-case basis and the types of outsourced repairs seem reasonable compared to other public work operations.

- **Garbage:** Solid waste, recycling, and yard waste collection and disposal are provided by Allied Waste Services on a contract basis through December 2021. The City went through a formal procurement process to outsource these services, which often are provided by a private company in communities small and large. Customers call the contractor if problems (e.g., missed pickup, mess around the emptied cans), but may call city hall as well.

- **Infrastructure Maintenance:** Major repair and rehabilitation projects are the responsibility of contractors (e.g., concrete panel replacements, crack seal streets) on a bid basis.
- **Water:** Water supply, treatment, and distribution are provided by Iowa American Water, which bought the City's water system in 2003.
- **Wastewater:** Wastewater treatment plant oversight, sampling, and testing are provided through a contract with QC Analytical Services, which includes the services of a Grade III Wastewater Operator. Smaller water and wastewater agencies often contract with a high-level operator to provide oversight of plant operations and certification of reports to state and federal agencies. Similarly, outside sampling and testing is common.

(b) RECOMMENDATIONS

- **PW2: Public Works-Service Delivery Structure:** Mercer believes the current strategy for in-house vs. contracting service delivery is reasonable based on the current staffing level, skill and experience based, and other resources of the Public Works Department. (City Officials, City Administrator, DPW Supervisor and City Attorney)

  a) Contracting Decisions: We have included Mercer's Decision Matrix for Contracting Services as Attachment B to the report. This tool is a step-by-step guide to measuring the feasibility and cost-effectiveness of contracting public services. It also can be used for collaborations and consolidations.

  b) Wastewater: As discussed in a similar section in Chapter III, Citywide Functions, Mercer is intrigued that the city sold its water system, but not its wastewater system, both for financial and operational reasons. With a small customer base, the city appears to be having difficulty recovering the full cost of wastewater services in the wastewater rates.

  A detailed review of the benefits and opportunities of selling the wastewater utility is needed. We understand Iowa American is moving into wastewater system operations contracting.

5.) Organization and Staffing

(a) FINDINGS

Public Works is a small department with eight employees, one of which is the Public Works Supervisor. All PWD employees are members of the union, including the supervisor. Staffing includes:

- Public Works Supervisor
- Maintenance Technician I (Wastewater plant, lift stations, sanitary sewer lines)
- Maintenance Technician II (Wastewater plant, lift stations, sanitary sewer lines)
- Maintenance Technician II (Streets and alleys, sanitary sewer manholes and lines, Stormwater lines and inlets, equipment operation, crew leader, informal #2 to the Public Works Supervisor)
- Maintenance Technician II (Streets and alleys, sanitary sewer lines, stormwater lines and inlets, equipment operation, crew leader)
- Maintenance Technician III (Streets, sanitary sewer lines, stormwater lines and inlets)
- Maintenance Technician III (Streets, sanitary sewer lines, stormwater lines and inlets)
- Laborer (30 hours per week from April into November and in the winter, as needed, with duties as the MT II and III)

Mercer identified the following Organization and Staffing issues in the department:

- The City Administrator serves as the city engineer, with support from contract engineering firms. Also see the Administration section of this chapter.
- The Public Works Supervisor is a member of the union.
- The department lacks a formal #2 position, but one of the Maintenance Technician II positions serves informally as a back-up to the Public Works Supervisor.
- The two utility staff tend to work almost exclusively on wastewater plant and lift station matters (except snow plowing); while the five general public works employees extensively support the sewer utility, particularly the sewer lines and manholes.
- Staff indicates additional summer employees would help due to the commitment to mowing (two employees are fully committed during the mowing season).
- Sale of the wastewater utility would significantly reduce the workload and staffing requirements of the Public Works Department.

(b) RECOMMENDATIONS

- **PW3: Public Works-Organization and Staffing:** (City Officials, City Administrator, and DPW Supervisor)

  a) **DPS Organization Plan:**

     1) **Supervisor:** The Public Works Supervisor should NOT be a member of the union, but a member of management in order to avoid the situation where a union member supervises the work of other union members. The position should be reclassified and renamed as Public Works Manager.

     2) **Assistant Supervisor:** The department should formalize a #2 position, likely a MT I or II whose primary job relates to general public works activities and not the wastewater plant and lift stations. The cost of a reclassified position should be minimal as this role is a limited scope activity.

  b) **DPW Staffing:**

     1) **Staffing Level:** Current staffing appears close to adequate to complete work assigned, but a number of preventative/ongoing maintenance programs have not been implemented or are only partially implemented (see Operations Management that follows), suggesting Public Works may be slightly understaffed.

     2) **Seasonal Help:** From interviews, it appears that Public Works may need an additional person seasonally in the mowing season in order to keep up with other ongoing responsibilities.

     3) **Work Planning:** As recommended under Strategic Direction, the Public Works Supervisor should use the existing activity and time data to catalog PWD's workload, including maintenance programs and activities not in place or partially in place, in order to accurately measure annual man-hour requirements.

     4) **Operations Plan:** In addition, the recommendation for the Operations Plan will provide data on units of service to be provided annually.

6.) Operations Management

Mercer strongly believes in the value of **"Managing the Numbers"** in city departments, but most especially in construction and maintenance operations where productivity is most measurable. Although smaller public works agencies tend to operate somewhat informally, most have a solid foundation of experience and technical skills on which to plan and manage work and resources. **Elements of an effective Operations Management program are:**

- **Operational Plans:** In conjunction with the priorities of city officials as expressed in government-wide Strategic and Comprehensive Plans, budgets, and capital programs, departments should develop Functional Business Plans that define:
  - Assets inventories and condition assessments for public infrastructure
  - Strategies, detailed goals and objectives, and a list of core work activities
  - Schedules for projects, preventative programs, recurring work, and (from prior experience) allowances for anticipated emergencies
  - Resource requirements (people, equipment, facilities, materials) and planned utilization of these resources
  - Funding needs in operating and capital budgets to carry out the plan
  - Management plan and programs to foster performance and accountability
- **Standards, Guidelines, Policies, and Procedures:** Based on the Business Plan, departments should define technical, efficiency, cost, productivity, and performance standards, both internally and for contractors. Standards should include responsiveness and performance objectives for service requests, complaints, emergencies, and routine work. At an operational level, policies, standing orders, and procedures should be defined for all responsibilities, activities, and tasks to meet these standards.
- **Work Scheduling and Management:** Ongoing and emergency work (based on prior experience) should be programmed into yearly, monthly, weekly, and daily schedules, and work coordinated across crews to accomplish all work assignments. Supervisors should ensure work is on schedule and all materials and equipment supplied, as well as coordinate with other crews and senior management. The department director should meet with supervisors weekly and with the entire staff monthly.
- **Time, Workload, and Cost Data:** Departments should collect and compile time data for people and equipment by pre-defined activities and projects, as well as data on work performed and materials used. They then should develop fully-loaded (including supervision, non-productive time, benefits, and central support services) project and activity costs to allow comparisons to cost standards and alternative service providers.
- **Activity and Cost Reporting:** Departments should compile and compare work performed to work standards, goals, and objectives, and plans in order to report monthly to City management and elected officials on recent activities, planned activities, new issues and challenges, and the status of the Functional Business Plan.

(a) FINDINGS

The Public Works Department is given good grades by elected officials and senior management on its operational performance, responsiveness, and commitment to the city's infrastructure.

In addition, the department has implemented some elements of an effective maintenance management system, but more can be done to improve operational efficiency and effectiveness.

- **Work Standards:** While the city has developed construction standards, maintenance standards outside of the wastewater plant appear to be relatively informal. The department does not have a formal set of policies and procedures for operational work.

  Nevertheless, how to perform various work activities appears to be clearly understood by staff based on experience with the city and with other employers.

- **Work Planning:** The department has a good knowledge of monthly work requirements from the time reporting system, but does not translate this data into formal monthly, seasonal, and annual maintenance plans that are shared with staff. These plans are important to measure annual workload, as well as identify staffing gaps when there is more work that existing staff can reasonable complete without sacrificing quality.

  Department staff rides the roads and visually inspects infrastructure conditions to develop a list of major capital needs.

- **Maintenance Programs:** The department has initiated several annual maintenance programs, but has not developed programs for all maintenance responsibilities (e.g., facilities work, tree trimming, and pothole repairs appear to be complaint-driven), particularly preventative maintenance. As noted earlier, funding levels for major infrastructure seem to go up and down budget-to-budget.

  - **Streets:** City streets have an annual overlay, concrete panel repair, and crack sealing program with funding of at least $150,000, as well as major maintenance programs that are funded separately. The city uses the "Paver' road maintenance program to assess street conditions.

    With 73 lane miles of streets, the city likely should be performing overlays or major maintenance on about 3 lane miles per year (a 25-year cycle).

  - **Snow & Ice:** The snow and ice control program is well-defined with a clear standard in place for departmental mobilization (2") and prioritization (cleanup within 24 hours). Public Works has three main snow routes and a utility crew for downtown, city facilities, and cul-de-sacs.

    Downtown is said to be a challenge, primarily due to the streetscape and sidewalks, and to the high expectations of business owners and city officials, which is typical in a tourism-driven community.

- **Equipment:** PWD equipment and vehicles are informally managed, as are vehicles assigned to other city departments. Public Works vehicles are serviced at 3,000 mile increments by PWD staff, but daily vehicle checks and life cycle maintenance records are NOT maintained on each vehicle. *All Max* may help with work orders and maintenance tracking.
- **WWTP:** The upgraded plant has a set of preventative maintenance programs, including sampling and testing to meet state and federal regulations. We understand the plant has no violations of state/federal standards since it opened.
- **Sewers:** The system has a manhole inspection/repair program and an Infiltration & Inflow program. The system, however, has a limited (3-5 years) cleaning and televising program. Many communities use a two-year clean/inspect cycle.
- **Grease Traps:** The city does not have a grease trap ordinance or compliance program, but grease issues have been limited until recently.

➢ **Operational Supervision:** PWD staff work out of a single yard, work the same hours, and report to and leave from the same place. The Public Works Supervisor meets with staff each morning to go over daily assignments, with check-in supervision during the day. PW Technicans I and II also have targeted supervisory roles on work sites.

Formal staff meetings are said to be infrequent, but information is shared at the daily crew briefing.

The use of the work day appears reasonable (e.g., how quickly staff gets out of the yard in the morning, duration of breaks and lunch, and close-down time at the end of the day).

The Public Works Supervisor handles emergency call-outs and makes the calls. Employees are not required to respond to a call-out and some don't respond to calls.

➢ **Operational Effectiveness:** Interviews with members of the city council and the city administrator indicate a high level of satisfaction with public works operations and services. The department and staff are said to be responsive and deliver quality work.

➢ **Activity and Performance Reporting:** The department excels in time reporting with data back to 1993. Use of the *All Max* system for non-utility activities, including fleet management, will build on a solid base.

(b) RECOMMENDATIONS

➢ PW4: Public Works-Operations Management:

a) Work Standards: Review development and construction standards every three years, with a review in the near future to ensure the standards are appropriate for the kind of development coming in the city. (City Engineer)

Over time, develop a set of brief maintenance standards that cover recurring maintenance activity and describe staffing, equipment, tools, and materials required, as well as time to complete and units of service. As appropriate, enter these standards in *All Max*.

A starting point for these standards is a complete inventory of assets that DPW maintains. The list earlier in the chapter has a few gaps (e.g., sidewalks, signs, street trees). (Public Works Supervisor and PW Technicians I and II)

b) Work Planning: Over time, formalize annual, seasonal, and monthly work in an Operations Plan as described under Strategic Direction. Define times throughout the year when infrastructure inspections and preventative maintenance are performed and how much time is devoted to each activity to ensure these important tasks are completed. (Public Works Supervisor and PW Technicians I and II)

c) Maintenance Programs: Define maintenance programs to all ongoing activities and implement the programs and time and funds permit. Develop a list of maintenance program gaps for consideration in the budget process. (Public Works Supervisor)

Mercer believes the city needs to expand the street maintenance program and to implement a formal equipment maintenance program (also see Resource Management that follows), perhaps using All Max, for all city vehicles.

d) Operational Supervision: With the Public Works Supervisor and PW Technicians I and II, supervisory resources are adequate.

Based on interviews and limited observation, Mercer believes PWD staff uses the work day effectively based on a short, all staff briefing at 7 am, appropriate use of scheduled breaks and lunch, and brief close-down activities.

Review the benefit of implementing an emergency call-out program that includes all employees.

e) Operational Effectiveness: As an extension of operational goals and objectives in the Functional Business Plan described under Strategic Direction, begin to develop performance standards for recurring activities. For example, mowing time at each site and overall.

7.) Resource Management

(A) FINDINGS

- **Budgeting and Finance:**
  - **Sewer fees** in the 2017 budget do not produce enough revenue to cover all costs, (direct operations, debt/depreciation, and city support). FY 2017 budgeted revenues are $757,260 and expenses $1,124,895, a 67.3% recovery rate, and FY 2016 budgeted revenues were $746,150 and expenses $936,839, a 79.5% recovery rate. Annual depreciation is estimated at $350,000.
  - **Garbage fees** also do not appear to cover the full cost of service, which includes direct contractor costs and city support costs. Revenues are $290,250 and expenditures are $303,657.
  - The city has not created a **Stormwater utility**, with associated fees, to support drainage improvements and repairs, which appear to be a significant need in the older sections of the city, particularly on the hill above downtown.
- **Equipment:** Generally, PWD equipment is adequate, in good shape, and positively rated in Mercer surveys. Replacements are programmed into the annual city budget. PWD staff identified four needs:
  - Loader/backhoe for yard and salt barn (replace 2001)
  - Plow truck (replace 1991)
  - Boom/bucket truck (for trimming trees and signs)
  - Wood chipper
- **Facilities:** Public works and utility facilities are relatively new and quite functional.
  - The Public Works yard is of adequate size and in good shape. Traffic flows well and there is adequate covered storage for vehicles and equipment.
  - The wastewater plan and associated lift stations are recently upgraded and operate well per the contract operator-in-charge.
  - Tree trimmings and yard waste are temporarily stored by the water tower, which is not a secure site.
- **Human Resource Management:** Some job descriptions have not been updated in many years (2004 for a couple with some not dated). Job classifications (e.g., Maintenance Technician I, II, III, and IV) allow room for some advancement. In practice, most employees are at Levels II and III.
- **Information Technology:** PWD is implementing the *All Max* maintenance management system, first in the wastewater plant and lift stations.
- **Materials Management:** Public Works appears to have adequate levels of materials to do their work.

(b) RECOMMENDATIONS

➢ PW5: Public Works-Resource Management:

a) Budgeting and Finance: The city should conduct cost of service/rate studies for wastewater and garbage to ensure the cost of these enterprise-like functions are fully covered by fees and rates. The wastewater study is an important element in decision if operating a wastewater system is feasible for the city. (City)

Based on our understanding of Stormwater issues and needs in the city, creation of a Stormwater Utility, with associated fees, would support the capital and operating needs for this system. If not determined in the update to the Comprehensive Plan, the city may need to conduct a needs assessment for the system that defines needed capital investments. (City)

b) Facilities: As noted earlier, each city facility needs a preventative maintenance plan. (Public Works Supervisor)

c) Equipment: Mercer supports replacing the loader/backhoe (budgeted in FY 2017) and the plow truck when funds are available.

Although of interest to PWD staff, greater justification is required before buying a boom/bucket truck and wood chipper. We acknowledge, however, that trimming trees or working on signs while standing on a pickup truck or ladder can be problematic.

d) Human Resource Management: Update all job descriptions at least every three years and when job duties change significantly. Immediately review the job description of the person informally serving as #2 to the Public Works Supervisor. (Public Works Supervisor and City Administrator)

e) Information Technology: Continue to implement *All Max* with equipment management and public works programs as priority next steps.

f) Materials Management: Adequate. No recommendations.

V. IMPLEMENTATION

This chapter of the report presents an **Implementation Process**, **Implementation Issues and Challenges**, and **Implementation Plan/Scorecard** to support implementation of recommendations in the Mercer Report.

A. IMPLEMENTATION PROCESS

The Implementation Process began early in the project as the Mercer consultants met with public officials, the city administrator, and department heads, and staff during fact finding activities and the review of preliminary ideas. The process continued as we presented and reviewed the Draft Reports.

The process to implement the Mercer recommendations is based on a structure of:

- Oversight and Management,
- Technical Actions and Coordination, and
- Monitoring and Reporting.

Oversight and Management

The Mayor, as the city's CEO, and the City Administrator are the natural persons to manage and oversee the implementation process, with support from department heads, and periodically report progress to the City Council. Their role should include:

- Leaders of the Implementation Management Committee.
- General oversight of implementation actions.
- Facilitation of meetings and reports.
- Policy development, review, and decisions.
- Contract and agreement review and approval.
- Finance and budgeting.
- Communications and public relations.

Technical Actions and Coordination

The Mayor, City Administrator, and department heads should serve on the **Implementation Management Committee for the study**. This group would be responsible for:

- Development of detailed implementation plans.
- Supplemental analyses that may be required.
- Management and tracking of progress in implementing recommendations.
- Development and implementation of new policies, organization and staffing plans, work processes, business practices, etc.
- Interagency, interdivisional, and interdepartmental coordination.
- Measurement and presentation of budgetary impacts and changes.
- Development of implementation activity and performance reports to the City Administrator.

Department heads, as needed, would organize **Technical Committees for Specific Recommendations within their areas of responsibility.** These committees would include supervisors and employees as required for each recommendation. These committees would have duties similar to the Implementation Management Committee.

Reporting and Monitoring

The Implementation Management Committee would receive milestone reports from the Technical Committees.

The City Administrator then would compile citywide monthly (at first) or quarterly (later) Status/Progress Reports, including an updated Implementation Scorecard (Exhibit 5), and send the report after the Mayor's review to the City Council.

These **Quarterly Reports and the Scorecard** should cover:

- Progress to date on the implementation of the Mercer recommendations.
- Issues, obstacles, and changing situations affecting implementation.
- Services delivered and performance against agreed upon standards and specifications.
- Upcoming activities in the quarter to follow.

These monthly/quarterly reports would continue until all recommendations are implemented.

B. IMPLEMENTATION CHALLENGES

The following **implementation actions, issues, and challenges** need to be addressed to ensure the city and each department is fully committed to implementing Mercer recommendations.

Mayor and City Council

- Commit to implementing the recommendations in the Mercer report by accepting and adopting the report by resolution as a city policy document.
- Identify roles for the mayor, city council members, board members, and citizen volunteers in implementing specific Mercer recommendations (e.g., people with a personal interest in parks, library, youth, and downtown) to supplement a limited city staff.
- Add city council cohesiveness training to the goal-setting retreat in early 2017 to foster agreement on city priorities and implementation actions and timelines.
- Monitor implementation progress reports from the mayor and city administrator to ensure that implementation is on schedule…or the schedule is modified with council approval.

City Administrator

- Organize the Implementation Management Committee then monitor and report progress monthly or quarterly to the mayor and city council.
- Review the draft Implementation Plan (Exhibit 5) and update/enhance as needed to foster implementation of recommendations. If needed, review options and alternatives with department heads and Mercer's project manager to adjust for changing conditions.
- Work with department heads to implement recommendations for city-wide functions, such as budget and finance, human resources, and information technology.
- Enhance monthly reporting to the city council by department heads, particularly for ongoing activities statistics, events and incidents, and capital projects.

City Department Heads

- Organize Technical Committees for department-specific recommendations then monitor and report progress to the city administrator.
- Meeting with employees to review the SWOT Assessment and employee surveys to gain an understanding of underlying issues and needed corrective actions.
- With the city administrator, review the Implementation Plan and update/enhance as needed to foster full implementation of recommendations.
- Update department-level policies and procedures as needed based on implementation of Mercer recommendations.

C. IMPLEMENTATION PLAN AND SCORECARD

Implementation Plan

Major implementation actions are identified on Exhibit 6, Implementation Plan and Scorecard, that follows in Chapter VI, Exhibits and Attachments.

The Implementation Plan/Scorecard is prepared using an Excel Spreadsheet that groups recommendations by citywide functions and departments in sequential order paralleling the text of the Technical Report. **The columns on the Implementation Plan provide:**

1. The number and a short description of the recommendation.
2. A reference to the page in the text where the recommendation is discussed.
3. A priority ranking (A, B, or C).
4. An estimated completion date.
5. The person(s) primarily leading implementation of each recommendation. In many cases, the City Administrator and/or department heads will do the technical work on the recommendation then review their progress or product with the Mayor and City Council for fine-tuning and approval.
6. Comments relating to implementation issues and challenges.
7. Mercer's estimate, where possible, of the fiscal impact of each recommendations (costs, savings, or new revenues).

The Implementation Plan/Scorecard presented in the final report is a draft that the Mayor, City Administrator, and department heads should fine-tune and perfect then share with the City Council for approval.

VI. EXHIBITS AND ATTACHMENTS

This chapter of the report presents Exhibits and Attachments to support finding, analyses, and recommendations in the text of the report.

1.) The following three exhibits are inserted in the body of the report:

1. Mercer's Model for Public Management in Lean Times (Chapter I)
2. Mercer's 50 Management Issues (Chapter I)
3. Mercer's Model for Strategic Planning (Chapter III)

2.) Several other exhibits follow this page:

Results of the Organizational Climate Survey
4a. OCS Results (All Employees)
4b. OCS Results (Supervisors)
4c. OCS Results (Non-Supervisors)
4d. OCS Results (Administration)
4e. OCS Results (Fire)
4f. OCS Results (Library)
4g. OCS Results (Police)
4h. OCS Results (Public Works)

Timing of Police Calls for Service (Graphs)
5a. 2015 Police Calls (By Time of Day)
5b. 2015 Police Calls (By Day of the Week)

Implementation Plan and Scorecard
6. Implementation Plan

3.) Three attachments follow the Exhibits:

A. Master Mercer Employee Survey (Tab 7)

B. Mercer Decision Criteria for Contracting and Collaboration (Tab 8)

C. Performance Measures for Public Services (Tab 8)

Exhibit 4a

THE MERCER GROUP, INC.
ORGANIZATIONAL CLIMATE SURVEY REPORT
CITY OF LECLAIRE, IOWA
1/27/2016

ORGANIZATIONAL CATEGORY	**ALL**	**ALL CITY DEPARTMENTS**
EMPLOYEE TYPE	**All**	**Supervisors + Non-Supervisors**
Number of Employees	35	
Employee Questions per Subscale	5	
Total Answers per Subscale	175	

OCS SUB-SCALES	**RESULTS**		
UNDERSTANDING OF CITY AND DEPARTMENT GOALS	121	69.14%	Agree + Strong Agree
	15	8.57%	Undecided
	39	22.29%	Disagree + Strong Disagree
WORK GROUP PROBLEM SOLVING (Among Managers)	113	64.57%	
	20	11.43%	
	42	24.00%	
INFORMATION AND COMMUNICATIONS	132	75.43%	
	12	6.86%	
	31	17.71%	
PRODUCTIVITY/CUSTOMDER SERVICE	148	84.57%	
	12	6.86%	
	15	8.57%	
WORK GROUP COORDINATION AND COOPERATION (Among employees)	129	73.71%	
	14	8.00%	
	32	18.29%	
RECEPTIVITY TO CHANGE	109	62.29%	
	21	12.00%	
	45	25.71%	
WORKING CONDITIONS	121	69.14%	
	20	11.43%	
	34	19.43%	
EMPLOYEE INVOLVEMENT	120	68.57%	
	14	8.00%	
	41	23.43%	
CAREER OPPORTUNITIES	92	**52.57%**	
	25	14.29%	
	58	**33.14%**	
QUALITY EMPHASIS	132	75.43%	
	21	12.00%	
	22	12.57%	
MANAGERIAL COMPETENCE	110	62.86%	
	24	13.71%	
	41	23.43%	
COMPENSATION AND BENEFITS	63	**36.00%**	
	57	**32.57%**	
	55	**31.43%**	

Exhibit 4b

THE MERCER GROUP, INC.
ORGANIZATIONAL CLIMATE SURVEY REPORT
CITY OF LECLAIRE, IOWA
1/27/2016

ORGANIZATIONAL CATEGORY	ALL	ALL CITY DEPARTMENTS
EMPLOYEE TYPE	001	Supervisors Only
Number of Employees	7	
Employee Questions per Subscale	5	
Total Answers per Subscale	35	

OCS SUB-SCALES	RESULTS		
UNDERSTANDING OF CITY AND DEPARTMENT GOALS	27	77.14%	Agree + Strong Agree
	2	5.71%	Undecided
	6	17.14%	Disagree + Strong Disagree
WORK GROUP PROBLEM SOLVING (Among Managers)	26	74.29%	
	4	11.43%	
	5	14.29%	
INFORMATION AND COMMUNICATIONS	31	88.57%	
	1	2.86%	
	3	8.57%	
PRODUCTIVITY/CUSTOMER SERVICE	32	91.43%	
	1	2.86%	
	2	5.71%	
WORK GROUP COORDINATION AND COOPERATION (Among Employees)	30	85.71%	
	2	5.71%	
	3	8.57%	
RECEPTIVITY TO CHANGE	26	74.29%	
	6	17.14%	
	3	8.57%	
WORKING CONDITIONS	21	60.00%	
	7	20.00%	
	7	20.00%	
EMPLOYEE INVOLVEMENT	29	82.86%	
	1	2.86%	
	5	14.29%	
CAREER OPPORTUNITIES	16	**45.71%**	
	5	14.29%	
	14	**40.00%**	
QUALITY EMPHASIS	28	80.00%	
	2	5.71%	
	5	14.29%	
MANAGERIAL COMPETENCE	22	62.86%	
	6	17.14%	
	7	20.00%	
COMPENSATION AND BENEFITS	12	**34.29%**	
	6	17.14%	
	17	**48.57%**	

Exhibit 4c

THE MERCER GROUP, INC.
ORGANIZATIONAL CLIMATE SURVEY REPORT
CITY OF LECLAIRE, IOWA
1/27/2016

ORGANIATIONAL CATEGORY	ALL	ALL CITY DEPARTMENTS
EMPLOYEE TYPE	002	Non-Supervisors Only
Number of Employees	28	
Employee Questions per Subscale	5	
Total Answers per Subscale	140	

OCS SUB-SCALES	RESULTS		
UNDERSTANDING OF CITY AND DEPARTMENT GOALS	94	67.14%	Agree + Strong Agree
	13	9.29%	Undecided
	33	23.57%	Disagree + Strong Disagree
WORK GROUP PROBLEM SOLVING (Among Managers)	87	62.14%	
	16	11.43%	
	37	26.43%	
INFORMATION AND COMMUNICATIONS	101	72.14%	
	11	7.86%	
	28	20.00%	
PRODUCTIVITY/CUSTOMER SERVICE	116	82.86%	
	11	7.86%	
	13	9.29%	
WORK GROUP COORDINATION AND COOPERATION (Among Employees)	99	70.71%	
	12	8.57%	
	29	20.71%	
RECEPTIVITY TO CHANGE	83	59.29%	
	15	10.71%	
	42	**30.00%**	
WORKING CONDITIONS	100	71.43%	
	13	9.29%	
	27	19.29%	
EMPLOYEE INVOLVEMENT	91	65.00%	
	13	9.29%	
	36	25.71%	
CAREER OPPORTUNITIES	76	**54.29%**	
	20	14.29%	
	44	**31.43%**	
QUALITY EMPHASIS	104	74.29%	
	19	13.57%	
	17	12.14%	
MANAGERIAL COMPETENCE	88	62.86%	
	18	12.86%	
	34	24.29%	
COMPENSATION AND BENEFITS	51	**36.43%**	
	51	**36.43%**	
	38	**27.14%**	

Exhibit 4d

THE MERCER GROUP, INC.
ORGANIZATIONAL CLIMATE SURVEY REPORT
CITY OF LECLAIRE, IOWA
1/27/16

ORGANIZATIONAL CATEGORY	100	ADMINISTRATION
EMPLOYEE TYPE	ALL	Supervisors + Non-Supervisors
Number of Employees	4	
Employee Questions per Subscale	5	
Total Answers per Subscale	20	

OCS SUB-SCALE	RESULTS		
UNDERSTANDING OF CITY AND DEPARTMENT GOALS	15	75.00%	Agree + Strong Agree
	1	5.00%	Undecided
	4	20.00%	Disagree + Strong Disagree
WORK GROUP PROBLEM SOLVING (Among Managers)	7	**35.00%**	
	3	15.00%	
	10	**50.00%**	
INFORMATION AND COMMUNICATIONS	13	65.00%	
	1	5.00%	
	6	**30.00%**	
PRODUCTIVITY/CUSTOMER SERVICE	16	80.00%	
	3	15.00%	
	1	5.00%	
WORK GROUP COORDINATION AND COOPERATION (Among Employees)	7	**35.00%**	
	4	20.00%	
	9	**45.00%**	
RECEPTIVITY TO CHANGE	13	65.00%	
	3	15.00%	
	4	20.00%	
WORKING CONDITIONS	15	75.00%	
	2	10.00%	
	3	15.00%	
EMPLOYEE INVOLVEMENT	14	70.00%	
	1	5.00%	
	5	25.00%	
CAREER OPPORTUNITIES	6	**30.00%**	
	4	20.00%	
	10	**50.00%**	
QUALITY EMPHASIS	17	85.00%	
	2	10.00%	
	1	5.00%	
MANAGERIAL COMPETENCE	11	55.00%	
	4	20.00%	
	5	25.00%	
COMPENSATION AND BENEFITS	11	55.00%	
	2	10.00%	
	7	**35.00%**	

Exhibit 4e

THE MERCER GROUP, INC.
ORGANIZATIONAL CLIMATE SURVEY REPORT
CITY OF LECLAIRE, IOWA
1/27/2016

ORGANIZATIONAL CATEGORY	**200**	**FIRE**
EMPLOYEE TYPE	**ALL**	**Supervisors + Non-Supervisors**
Number of Employees	9	
Employee Questions per Subscale	5	
Total Answers per Subscale	45	

OCS SUB-SCALE	**RESULTS**		
UNDERSTANDING OF CITY AND DEPARTMENT GOALS	32	71.11%	Agree + Strong Agree
	5	11.11%	Undecided
	8	17.78%	Disagree + Strong Disagree
WORK GROUP PROBLEM SOLVING (Among Managers)	27	60.00%	
	8	17.78%	
	10	22.22%	
INFORMATION AND COMMUNICATIONS	36	80.00%	
	3	6.67%	
	6	13.33%	
PRODUCTIVITY/CUSTOMER SERVICE	38	84.44%	
	3	6.67%	
	4	8.89%	
WORK GROUP COORDINATION AND COOPERATION (Among Employees)	33	73.33%	
	5	11.11%	
	7	15.56%	
RECEPTIVITY TO CHANGE	30	66.67%	
	4	8.89%	
	11	24.44%	
WORKING CONDITIONS	30	66.67%	
	5	11.11%	
	10	22.22%	
EMPLOYEE INVOLVEMENT	30	66.67%	
	5	11.11%	
	10	22.22%	
CAREER OPPORTUNITIES	29	64.44%	
	6	13.33%	
	10	22.22%	
QUALITY EMPHASIS	35	77.78%	
	7	15.56%	
	3	6.67%	
MANAGERIAL COMPETENCE	22	**48.89%**	
	9	20.00%	
	14	**31.11%**	
COMPENSATION AND BENEFITS	11	**24.44%**	
	18	**40.00%**	
	16	**35.56%**	

Exhibit 4f

THE MERCER GROUP, INC.
ORGANIZATIONAL CLIMATE SURVEY REPORT
1/27/2016

ORGANIZATIONAL CATEGORY	**300**	**LIBRARY**
EMPLOYEE TYPE	**ALL**	**Supervisors + Non-Supervisors**
Number of Employees	4	
Employee Questions per Subscale	5	
Total Answers per Subscale	20	

OCS SUB-SCALE	**RESULTS**		
UNDERSTANDING OF CITY AND DEPARTMENT GOALS	20	100.00%	Agree + Strong Agree
	0	0.00%	Undecided
	0	0.00%	Disagree + Strong Disagree
WORK GROUP PROBLEM SOLVING (Among Managers)	20	100.00%	
	0	0.00%	
	0	0.00%	
INFORMATION AND COMMUNICATIONS	18	90.00%	
	2	10.00%	
	0	0.00%	
PRODUCTIVITY/CUSTOMER SERVICE	18	90.00%	
	2	10.00%	
	0	0.00%	
WORK GROUP COORDINATION AND COOPERATION (Among Employees)	20	100.00%	
	0	0.00%	
	0	0.00%	
RECEPTIVITY TO CHANGE	17	85.00%	
	2	10.00%	
	1	5.00%	
WORKING CONDITIONS	15	75.00%	
	5	25.00%	
	0	0.00%	
EMPLOYEE INVOLVEMENT	18	90.00%	
	1	5.00%	
	1	5.00%	
CAREER OPPORTUNITIES	12	60.00%	
	3	15.00%	
	5	25.00%	
QUALITY EMPHASIS	20	100.00%	
	0	0.00%	
	0	0.00%	
MANAGERIAL COMPETENCE	19	95.00%	
	1	5.00%	
	0	0.00%	
COMPENSATION AND BENEFITS	8	40.00%	
	10	50.00%	
	2	10.00%	

Exhibit 4g

THE MERCER GROUP, INC.
ORGANIZATIONAL CLIMATE SURVEY REPORT
CITY OF LECLAIRE, IOWA
1/27/2016

ORGANIZATIONAL CATEGORY	**400**	**POLICE**
EMPLOYEE TYPE	**ALL**	**Supervisors + Non-Supervisors**
Number of Employees	10	
Employee Questions per Subscale	5	
Total Answers per Subscale	50	

OCS SUB-SCALE	**RESULTS**		
UNDERSTANDING OF CITY AND DEPARTMENT GOALS	41	82.00%	Agree + Strong Agree
	4	8.00%	Undecided
	5	10.00%	Disagree + Strong Disagree
WORK GROUP PROBLEM SOLVING (Among Managers)	42	84.00%	
	3	6.00%	
	5	10.00%	
INFORMATION AND COMMUNICATION	42	84.00%	
	4	8.00%	
	4	8.00%	
PRODUCTIVITY/CUSTOMER SERVICE	46	92.00%	
	0	0.00%	
	4	8.00%	
WORK GROUP COORDINATION AND COOPERATION (Among Employees)	48	96.00%	
	0	0.00%	
	2	4.00%	
RECEPTIVITY TO CHANGE	38	76.00%	
	5	10.00%	
	7	14.00%	
WORKING CONDITIONS	38	76.00%	
	5	10.00%	
	7	14.00%	
EMPLOYEE INVOLVEMENT	42	84.00%	
	5	10.00%	
	3	6.00%	
CAREER OPPORTUNITIES	30	60.00%	
	9	18.00%	
	11	22.00%	
QUALITY EMPHASIS	37	74.00%	
	5	10.00%	
	8	16.00%	
MANAGERIAL COMPETENCE	37	74.00%	
	7	14.00%	
	6	12.00%	
COMPENSATION AND BENEFITS	19	**38.00%**	
	13	**26.00%**	
	18	**36.00%**	

Exhibit 4h

THE MERCER GROUP, INC.
OANIZATIONAL CLIMATE SURVEY REPORT
CITY OF LECLAIRE, IOWA
1/27/2016

ORGANIZATIONAL CATEGORY	500	PUBLIC WORKS
EMPLOYEE TYPE	ALL	Supervisors + Non-Supervisors
Number of Employees	8	
Employee Questions per Subscale	5	
Total Answers per Subscale	40	

OCS SUB-SCALE	RESULTS		
UNDERSTANDING OF CITY AND DEPARTMENT GOALS	13	32.50%	Agree + Strong Agree
	5	12.50%	Undecided
	22	55.00%	Disagree + Strong Disagree
WORK GROUP PROBLEM SOLVING (Among Managers)	17	42.50%	
	6	15.00%	
	17	42.50%	
INFORMATION AND COMMUNICATIONS	23	57.50%	
	2	5.00%	
	15	37.50%	
PRODUCTIVITY/CUSTOMER SERVICE	30	75.00%	
	4	10.00%	
	6	15.00%	
WORK GROUP COORDINATION AND COOPERATION (Among Employees)	21	52.50%	
	5	12.50%	
	14	35.00%	
RECEPTIVITY TO CHANGE	11	27.50%	
	7	17.50%	
	22	55.00%	
WORKING CONDITIONS	23	57.50%	
	3	7.50%	
	14	35.00%	
EMPLOYEE INVOLVEMENT	16	40.00%	
	2	5.00%	
	22	55.00%	
CAREER OPPORTUNITIES	15	37.50%	
	3	7.50%	
	22	55.00%	
QUALITY EMPHASIS	23	57.50%	
	7	17.50%	
	10	25.00%	
MANAGERIAL COMPETENCE	21	52.50%	
	3	7.50%	
	16	40.00%	
COMPENSATION AND BENEFITS	14	35.00%	
	14	35.00%	
	12	30.00%	

Exhibit 5a

Count of Incidents by Alarm Hour

Alarm Date Between {01/01/2015} And {12/31/2015}

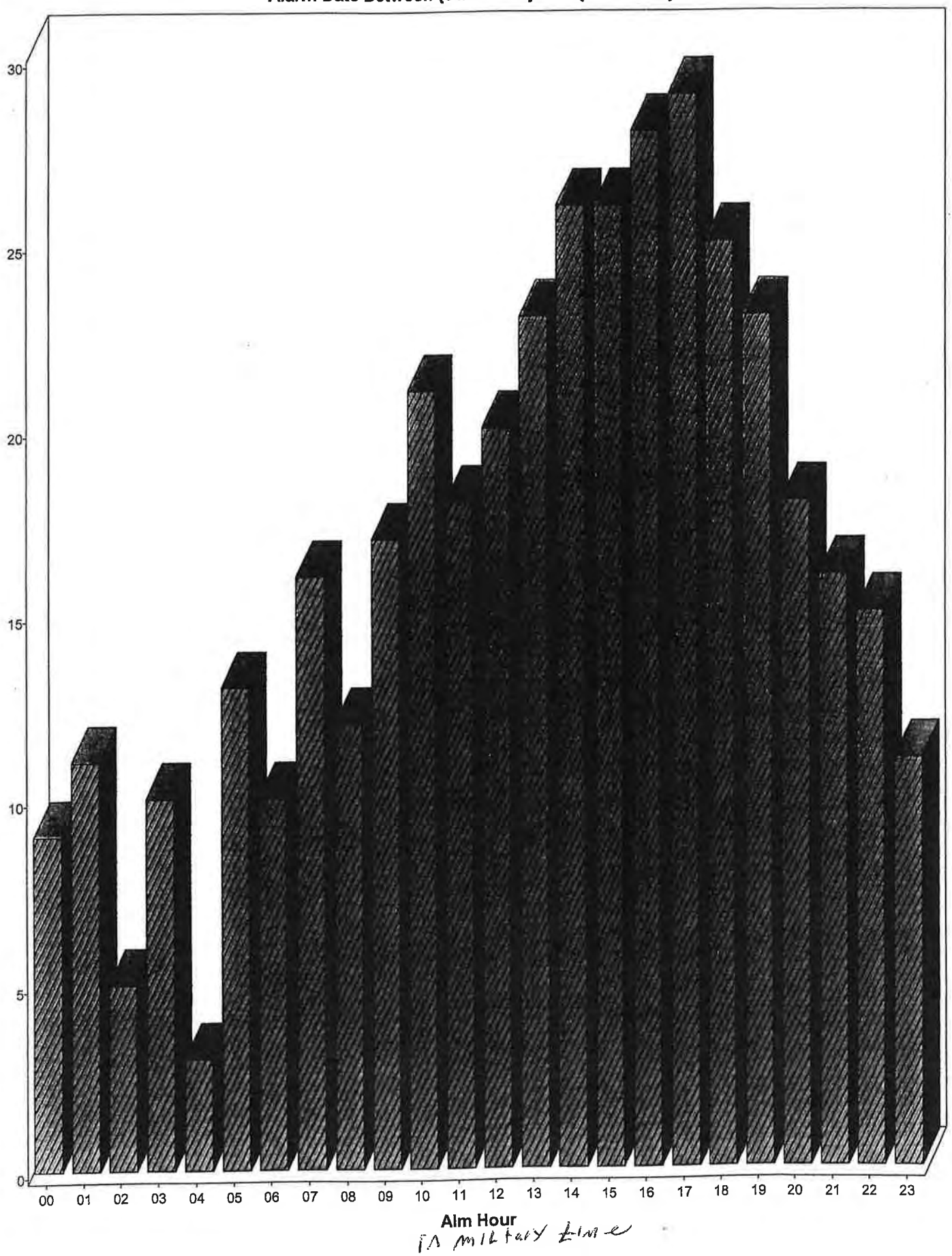
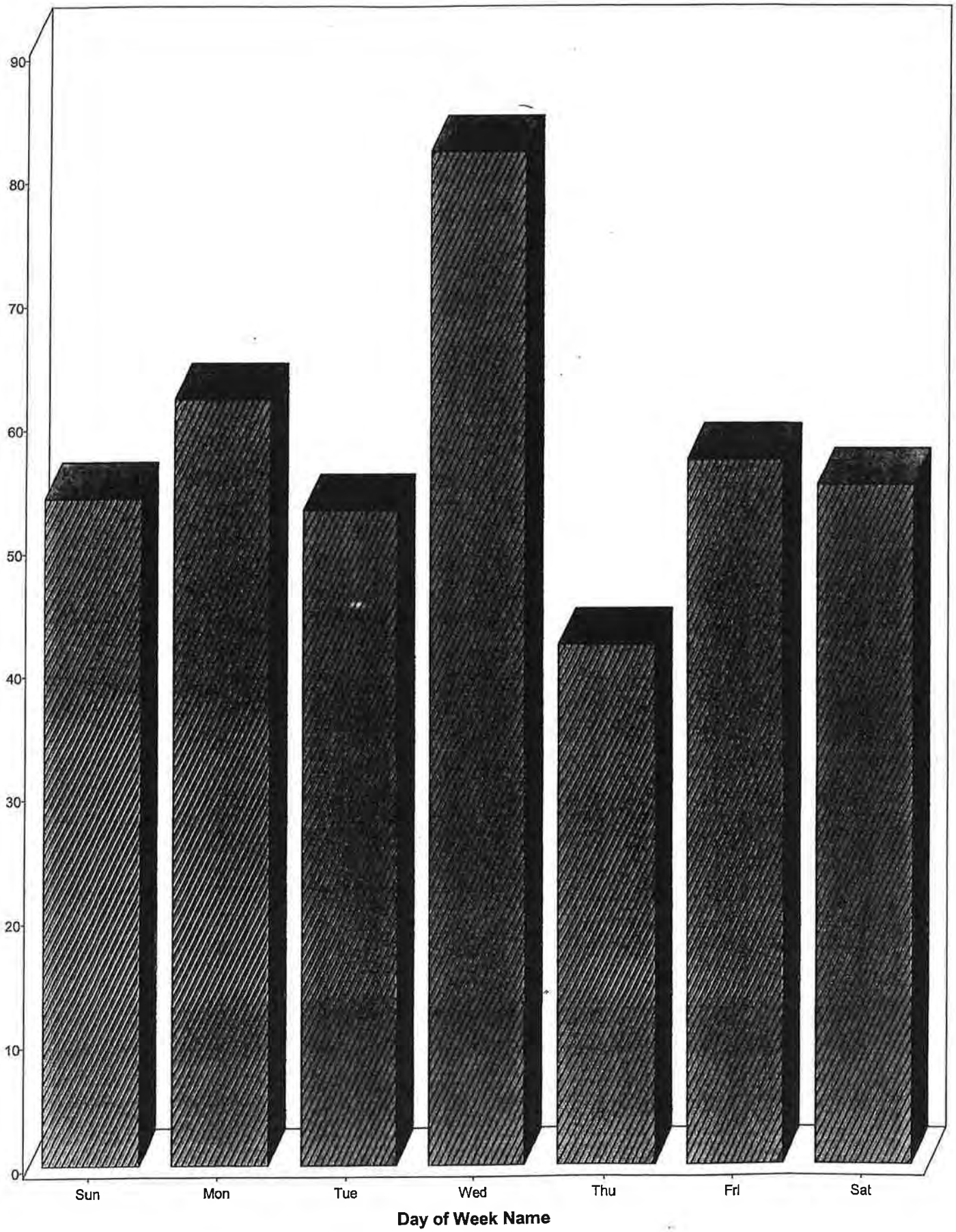


Exhibit 5 6

Incident Responses by Day of Week

Alarm Date Between {01/01/2015} And {12/31/2015}



Attachment A

THE MERCR GROUP INC.

Employee Surveys for the Management Study

The **City of LeClaire recently selected The Mercer Group, Inc. to conduct an Operational and Service Level Analysis for the city and its departments.**

The **purpose of the study** is to assess where the city is at present and where it needs to be in the future to effectively serve its residents, businesses, and visitors. During the study, Mercer wants to gain an understanding of:

- What services are currently provided and who provides them (internal and external),
- What resources are provided (people, facilities, equipment, technology)
- How departments and units are organized and staffed,
- How operations and resources are managed, and
- How the organizational culture impacts performance and effectiveness.

Mercer recently was onsite to kick off the project and to conduct assessment interviews with elected officials, the city administrator, and department heads. In the near future, Mercer will return to interview all employees to solicit your ideas and thoughts related to the study.

The **Mercer Group** (www.mercergroupinc.com) is a management consulting firm with eighteen offices around the country. Mercer works almost exclusively with public sector organizations on planning, management, organization and operations, and human resource management studies. They have worked with state governments, counties, cities, towns, villages, regional agencies, special districts, school boards, colleges & universities, and non-profit agencies across the country.

Steve Egan, a Mercer Senior Vice-President, will be the project manager and lead consultant. Steve worked in county government in Georgia before becoming a management consultant. He also served as an interim public works director for a Michigan city. He has consulted on over 165 projects just like this one over the last 30 years.

The project uses **surveys and questionnaires** so employees can express their ideas on a number of issues, including organizational culture, management practices, resources, operations, and job duties. The Mercer surveys and questionnaires follow, along with instructions.

Please turn in the first four employee surveys to your department head by Thursday, November 5, 2015. All surveys will be collected by the City Administrator and sent to the Mercer Group in unopened, sealed envelopes!

Hold on to your Job Analysis Questionnaire and Management Philosophy Profile, and give them to the Mercer consultant at your interview in mid-November.

Thank you for your cooperation on this important project. If you have any questions, please feel free to contact your agency head or Steve Egan at 770-425-1775 or **segan@mercergroupinc.com**.

CITY OF LECLAIRE, IOWA

Instructions for Completing the Mercer Employee Surveys

Purpose: The Purpose of these surveys is to allow you to express your views about working for the City and for your department.

Codes, Not Names: Your name is not listed on the Employee Survey documents. Instead, it is coded by the following Organizational Categories and Employee Types. If not already marked, please circle the Organizational Category and Employee Type that apply to you.

ORGANIZATIONAL CATEGORIES:

100 – Administration and Clerk
200 – Fire Department
300 – Library
400 – Police Department
500 - Public Works Department

EMPLOYEE TYPES:

001 – Department Heads and Managers (in Police)
002 – Non-supervising employees

Your name, however, is listed on the Management Philosophy Profile (for department heads and senior managers in Police) and the **Job Analysis Questionnaire**, both of which will be reviewed during employee interviews in mid-November 2015.

Survey Elements: The surveys and questionnaires have five parts that all employees will complete, plus a sixth part for department heads and managers:

1. **ORGANIZATIONAL CLIMATE SURVEY (OCS): Exhibit A** presents a list of sixty questions designed to measure the health of the culture of the city and each department based on twelve cultural factors (five questions for each factor). An overview of the OCS, instructions, questions, and space for your comments are provided. This survey should take about 20 minutes to complete.

2. **VALUES SURVEY:** What are your agency's current Key Values? **Exhibit B** shows sample values in the public sector that may help your frame your response, and provides a sheet for you to list the values in place in your agency and how they were created and communicated. This survey should take about 10 minutes to complete.

CITY OF LECLAIRE, IOWA

Instructions for Completing the Mercer Employee Surveys

3. **GRIPES SURVEY:** Please complete the "Do You Have GRIPES?" worksheet (**Exhibit C**) to help us better understand key management practices in each department. Don't feel negative about the title of the survey as it was first developed to structure employee comments and issues during a team building and organizational development process. GRIPES will give a quick indicator of management practices that complements and expands on information in the OCS. This survey should take about 20 minutes to complete.

4. **RESOURCES MANAGEMENT SURVEY: Exhibit D** presents a series of Resource Management topics and activities to be rated, with space provided for explanations of your ratings. The survey covers the adequacy of Resources and the effectiveness of Personnel Practices. This survey should take about 20 minutes to complete.

   Return these four surveys to your department head in a sealed envelope!

5. **MANAGEMENT PHILOSOPHY PROFILE (For Supervisors Only): Exhibit E** asks department heads and managers (in Police) only to define their current and targeted management philosophies based on 12 criteria. For this study, managers include the City Administrator, five /department heads, and division supervisors in Police.

   Feedback on individual supervisors will NOT be included in the final, written report, but shared privately with each supervisor. We will, however, provide general comments on the management philosophies of supervisors as a group in the report. The MPP should take about 20 minutes to complete.

   Give the MPP to the Mercer consultant at your interview.

6. **JOB ANALYSIS QUESTIONNAIRE: Exhibit F** provides an opportunity for employees to describe their job history and goals; assess the strengths, weaknesses, opportunities/challenges, and threats of the organization; present your ideas about the future of the organization; define your job duties and working relationships; and identify operations improvements needed. The JAQ should take about 20 minutes to complete.

   Give this questionnaire to the Mercer consultant at your interview.

CITY OF LECLAIRE, IOWA

Instructions for Completing the Mercer Employee Surveys

Tips on Completing the Surveys: Fill out each survey and questionnaire as best you can. In some cases, except for the Organizational Climate Survey (OCS), a question may not apply. If so, please mark that question "N/A," for Not Applicable, and move on. Please answer all questions and statements in the OCS.

Usually, the first idea that comes to mind is the best answer. So, move along and don't get bogged down with a lot of analysis and deep thought.

As needed you can provide supplemental information on extra sheets if your written answer runs over the space in the surveys and questionnaires.

Use of the Survey Information: These surveys, questionnaires, and personal or group interviews are your primary inputs to the Mercer Group's study.

Your response will be held in the strictest confidence by the consultants and shared only among the consulting team! For our report, we will compile issues and data across the organization in a way that will not compromise your position, job security, or working relationships.

Questions: If you have any questions, please contact **Steve Egan**, Mercer's project manager, by phone at 770-425-1775 or by e-mail at **segan@mercergroupinc.com**. Thank you for your cooperation and commitment to the project.

Exhibit A
ORGANIZATIONAL CLIMATE SURVEY

I. INTRODUCTION

We are interested in your opinion regarding the quality of your work life, including relationships and communications with supervisors, among employees, and with other agencies and departments; the adequacy of resources; and the effectiveness of management systems. Remember:

This is not a test - There are no *right* or *wrong* answers. Just mark the answer that you think best describes the current situation.

Individual responses are confidential - No one will know how you marked your survey. Only the Mercer Group consultants will see your survey response, and it will include Organizational Category and Employee Type codes only, NO NAMES! This same protocol is used with the other three employee surveys in Exhibits B, C, and D.

Scores will be reported by the Organizational Categories and Employee Types listed earlier in the instructions.

You will receive feedback on the overall results of the survey - We will compile the results of the survey by the organizational categories and employee types described below and recorded on the cover page of your survey form, then report back the results of the surveys in our written report and presentations on the project.

If you have any questions or concerns about the coding of your survey or collection procedures, please talk with your department head.

If you have questions about the completing the surveys or the meaning of questions or statements, contact Steve Egan of the Mercer Group at segan@mercergroupinc.com or at 770-425-1775.

Structure of the OCS: The Mercer Group's Organizational Climate Survey (OCS) is a tool to measure employee views on sixty questions that are compiled in the OCS report into the following twelve subscales:

- **Career Opportunities:** The degree to which employees feel that career advancement is readily available to those who are qualified and seek it.
- **Compensation and Benefits:** The degree to which employees feel that the compensation package provided by the organization is fair and equitable.
- **Employee Involvement:** The degree to which employees feel that the organization considers their viewpoint important.
- **Information and Communications:** The extent to which employees feel that they receive important and useful information from their supervisors, managers, top management, and/or other departments.
- **Management and Supervisory Competence:** The extent to which employees have confidence in the knowledge and ability of their supervisors, and feel productive working relationships are easily established.
- **Organization and Department Goals:** The extent to which employees understand the goals of the organization and see the relationship between organizational goals and the goals of their agency, department, or division.
- **Productivity and Service:** The extent to which employees believe that the organization has a strong commitment to service and maintaining an efficient organization.
- **Quality Emphasis:** The degree to which employees feel the organization is committed to maintaining high standards of quality for service.
- **Receptivity to Change:** The extent to which employees perceive the organization as open and receptive to change.
- **Working Conditions:** The degree to which employees feel that the amount of work expected of them is fair and equitable, and the tools, facilities, and equipment are adequate to do the job.
- **Work Group Problem Solving:** The extent to which employees feel that managers and supervisors are interested in identifying and solving problems rather than avoiding them or pretending they don't exist.
- **Work Group Coordination and Cooperation:** The extent to which employees feel that the people in their work group work together as a team.

II. INSTRUCTIONS

Please respond to the following sixty statements according to these instructions:

1. **Preparation: Check that the codes entered on cover page of the survey are correct.**

   The **Organizational Categories** are based on City departments.

   The **Employees Types** related to your classification as a Department Head or Police Department Manager (001) or as a Non-Supervising Employee (002)

   If you think the codes on your form are wrong, please check with your department head before completing the survey. This is CRITICAL for us to process the surveys properly!

2. **Response: Read each statement carefully then decide how you feel about it.**

   Circle the response that best expresses your opinion (only one response per question!). Answer ALL questions! Provide comments after the last question or on additional sheets of paper. Possible responses:

SA	=	**Strongly Agree**
A	=	**Agree**
U	=	**Undecided (It's OK to be unsure, but try to give an opinion)**
D	=	**Disagree**
SD	=	**Strongly Disagree**

3. **Definitions: Some terms used in the survey are defined below.**

Organization:	City of LeClaire
Department:	Clerk, Fire, Library, Police, and Public Works
Division/Section:	Major organizational units within a department (e.g., Patrol and Detectives in Police)
Work Group:	The group of people with whom you work most frequently, which typically is staff in your department
Supervisor:	The person to whom you directly report
Work Area:	The location of your office, station, or primary work site

III. ORGANIZATIONAL CLIMATE SURVEY

SA - Strongly Agree **A – Agree** **U – Undecided**
D – Disagree **SD - Strongly Disagree**

1.	Most people understand the goals of our department.	SA A U D SD
2.	We have regular meetings in our department where everyone is encouraged to discuss work-related problems.	SA A U D SD
3.	My supervisor lets people know what is going on, which helps everyone do a better job.	SA A U D SD
4.	There are many ways we could be more productive and efficient, but very few people in the department seem to care.	SA A U D SD
5.	The people in my work group are encouraged to work together as a team.	SA A U D SD
6.	Changes in procedures and work methods are easy to get approved in this department.	SA A U D SD
7.	Quite often, people in our department have to do more than is necessary because the work has not been planned properly.	SA A U D SD
8.	My supervisor believes that the ideas of the people who do the work are important to long-range plans.	SA A U D SD
9.	In order for me to advance in my career, I'll have to seek opportunities in another department, city, or company.	SA A U D SD
10.	Most employees in this department know what they are expected to do and produce quality work, even if it takes a little more time.	SA A U D SD
11.	If my supervisor would only stop looking over my shoulder, I could get a lot more work done.	SA A U D SD
12.	In comparison with other people I know who do similar work, I'm not paid nearly enough.	SA A U D SD

13.	The people in my work group understand how the goals of our group fit into the goals of the department.	SA A U D SD
14.	In our department, we have good ways for dealing with little problems before they become big ones.	SA A U D SD
15.	The information and/or direction we get from other departments is often incorrect, causing us to have to do the work over or correct it.	SA A U D SD
16.	My supervisor encourages us to find ways to do things better.	SA A U D SD
17.	It seems that many of the people that I work with are more concerned about getting recognition for themselves than working together as a group.	SA A U D SD
18.	My supervisor actively seeks out new ideas and approaches for doing things.	SA A U D SD
19.	As a general rule, the equipment, tools, and supplies that are needed to do our work are available when we need them.	SA A U D SD
20.	Lots of times, my supervisor isn't included in important decisions, and he/she finds out about changes after the decision has already been made.	SA A U D SD
21.	In our department, promotions are usually given to the people who deserve them, regardless of how long they've been here.	SA A U D SD
22.	Most employees in this department take a lot of pride in what they do and usually try a little harder to produce quality.	SA A U D SD
23.	My supervisor is someone I can go to when I need help or have a problem.	SA A U D SD
24.	It seems that some people in this department get paid more than they deserve, while others get paid less.	SA A U D SD

25.	Sometimes it seems like one group is going in one direction, and the other groups in the opposite direction.	SA A U D SD
26.	In our work group, we don't hide our problems, we get them out in the open and solve them.	SA A U D SD
27.	The information I need to do my job is readily available in my department through my supervisor.	SA A U D SD
28.	As long as my job gets done, nobody seems to care how much it costs.	SA A U D SD
29.	The people in this department are willing to help each other out when the need arises without worrying about what job they're assigned to or what group they work for.	SA A U D SD
30.	When the need for change is obvious, my supervisor responds quickly and implements the required change.	SA A U D SD
31.	Generally speaking, the department gets a good day's work from everyone.	SA A U D SD
32.	My supervisor often makes and implements decisions without first discussing them with the people who have to carry them out.	SA A U D SD
33.	It seems like we're always bringing in outsiders to fill positions when we have plenty of qualified people right in the department.	SA A U D SD
34.	We spend a lot of time trying to improve our services	SA A U D SD
35.	My supervisor evaluates people fairly and on the basis of their performance, rather than "playing favorites."	SA A U D SD
36.	Most people in this department believe that our benefit package is fair and better than plans in comparable communities.	SA A U D SD

37.	The goals of the department have very little to do with the work that I and others in my group do every day.	SA A U D SD
38.	My supervisor doesn't want to hear about problems. He/she pretends they don't exist.	SA A U D SD
39.	The people with whom I work are familiar with the department's policies and procedures.	SA A U D SD
40.	We are often striving to improve service in this department.	SA A U D SD
41.	There is a lot of jealousy and bickering among people in my work group.	SA A U D SD
42.	The department has established ways of doing things, and any suggestions on how to do things differently are usually rejected.	SA A U D SD
43.	The equipment and/or tools that we have in our group make the job easier and the department more efficient.	SA A U D SD
44.	When new procedures or policies are being developed, my supervisor often asks for input from employees.	SA A U D SD
45.	Our department plans for the future by preparing people for future positions through training and education.	SA A U D SD
46.	In our department, the emphasis is on quantity, not quality.	SA A U D SD
47.	My supervisor tries to be "one of the guys/girls" instead of maintaining the distance necessary to effectively lead employees.	SA A U D SD
48.	Most people in the department would agree that our system for determining pay grades is fair and equitable.	SA A U D SD

49.	The goals of our work group and our department are periodically reviewed and discussed with all employees.	SA A U D SD
50.	Many times, we have to create a crisis in order to get anyone to pay attention to our problems.	SA A U D SD
51.	Most of the information I get about what the department is doing comes from the "grapevine."	SA A U D SD
52.	Everyone in my work group understands the importance of providing good service.	SA A U D SD
53.	When conflicts arise in our work group or between our group and another, they are usually handled in a timely and constructive way.	SA A U D SD
54.	It's too hard to get things changed in this department, most people have just learned to accept things the way they are.	SA A U D SD
55.	Some people in the department have to work harder than others because some people don't have enough work assigned to them.	SA A U D SD
56.	In our department, employees are encouraged to be open about their opinions and feelings about work-related problems.	SA A U D SD
57.	Getting ahead in our department is based more on your performance than who you know.	SA A U D SD
58.	There is not enough emphasis in our department on quality.	SA A U D SD
59.	Most people in the department would agree that consideration is given to a person's ability to manage people before they are promoted.	SA A U D SD
60.	I would prefer to be compensated based on my performance rather than getting the same pay increases as everyone else.	SA A U D SD

IV. COMMENTS RELATING TO OCS QUESTIONS

Exhibit B
ORGANIZATIONAL VALUES SURVEY

I. Values In Your Organization

1. **Current Values:** Based on the **Sample Values on the following page**, please tell the values that are in place in your department. If there is no formal Values Statement, tell us what values are informally in place, positive or negative!

   (a) _____

   (b) _____

   (c) _____

   (d) _____

   (e) _____

   (f) _____

   (g) _____

   (h) _____

2. **Structure of Values:** Are your department's Values:

a.	Documented in a formal Values Statement?	☐ **Yes**	☐ **No**
b.	Given to employees and posted in work sites?	☐ **Yes**	☐ **No**
c.	Created and updated with employee input?	☐ **Yes**	☐ **No**
d.	Related to a City-wide Values Statement?	☐ **Yes**	☐ **No**
e.	Lived, even if informal, on a daily basis?	☐ **Yes**	☐ **No**

II. *Sample Values In State And Local Governments*

STATE AGENCY	COUNTY GOVERNMENT	PUBLIC WORKS DEPARTMENT	WATER UTILITY
Open communication Flexible, accommodating, And tolerant Fair, honest, cooperative **Integrity** Responsible and innovative problem solving **Humor** **Empowerment of employees** Teamwork and recognition **Courtesy and respect** Personal growth **Pride** in our work Responsiveness	The best service delivery possible to all we serve The planned, programmed acquisition, and **wise use of our resources** Our people are our most important resource Exhibit the highest standards of honesty, trust, and integrity Find and reward new and innovative ways to **serve the customer better** and become more efficient **Equal opportunity** for every citizen and employee based on their merits	**Build trust** Act with honesty and integrity Open two-way communications Encourage involvement and listening at all levels Shared visions and common goals Encourage personal growth Treat all people with respect **Reward the right behavior and coach positive behavior** **Value diversity** **Encourage fun** Continuous improvement	Open communications based on honesty, listening, and appropriate feedback **Flexibility to be creative and innovative** **Optimistic** Respect **Loyalty (to and from the utility)** Helpfulness Openness Participatory **Appreciative** Excellence Integrity Humaneness, sensitivity, and compassion

Exhibit C
DO YOU HAVE ANY *G-R-I-P-E-S*?

I. GRIPES Worksheet

G ROWTH

Are you growing, learning, and expanding your personal skills and expertise with the encouragement and help of the organization?

No	Sometimes	Often	Mostly	Always

How many annual Training hours have you averaged the past three years?

Very Few	8 or Less	9 to 16	17 to 24	Over 24

R ESPECT

Is your work respected, supported, and recognized by your supervisor?

No	Sometimes	Often	Mostly	Always

By the City Administrator and employees in other departments?

No	Sometimes	Often	Mostly	Always

By elected officials?

No	Sometimes	Often	Mostly	Always

Are you rewarded for high-performance through pay raises, bonuses, or other non-monetary rewards? Please explain non-monetary rewards on the Comments page.

No	Sometimes	Often	Mostly	Always

I NFORMATION

Do you have the information, access to help, and communications technology to do your job efficiently and effectively...

No	Sometimes	Often	Mostly	Always

and to understand the bases for policies and business decisions that affect your work and operation?

None	Sometimes	Often	Mostly	Always

P OTENTIAL

Are you allowed and encouraged to work at **100%** of your potential? If not, what percentage of your potential are you allowed to apply right now? By Potential, we mean the skills, experience, and talents you have gained in a lifetime of working and learning. To what degree does the organization tap these skills?

0%	**20%**	**40%**	**60%**	**80%**

E MPOWERED

Are you given adequate authority to make decisions (or at least influence decisions) and direct your subordinates (if you have any) in order to do your job and accomplish your work objectives?

No	**Sometimes**	**Often**	**Mostly**	**Always**

S UPPORT

Do you get the support (i.e., services, resources, and encouragement) you need from people in your Department?

No	**Sometimes**	**Often**	**Mostly**	**Always**

From your department head?

No	**Sometimes**	**Often**	**Mostly**	**Always**

From the City Administrator and central support staff?

No	**Sometimes**	**Often**	**Mostly**	**Always**

From elected officials?

No	**Sometimes**	**Often**	**Mostly**	**Always**

Please provide any explanations for your responses to the GRIPES survey on the next page.

II. GRIPES Comments

GROWTH: _____

_____

_____

RESPECT: _____

_____

_____

INFO: _____

_____

_____

POTENTIAL: _____

_____

_____

EMPOWER: _____

_____

_____

SUPPORT: _____

_____

_____

Exhibit D
RESOURCE MANAGEMENT SURVEY

I. Adequacy of Resources

Please provide a rating (**P**=Poor, **F**=Fair, **A**=Average or Adequate, **G**=Good, **E**=Excellent) of the adequacy of the following resources, and provide explanations of the reasons for your ratings.

STAFFING: Number of full-time, contract, temporary, and seasonal people; skill and experience mix; number of supervisors vs. workers; number of support positions; etc.

Rating: ___ _____

_____

_____

FACILITY: Location, size, layout, traffic flow, environmental conditions, parking, etc.

Rating: ___ _____

_____

_____

VEHICLES: Number and mix of vehicles, features/specifications, availability, maintenance, etc. Includes automobiles, trucks, construction equipment, other rolling stock, and the like.

Rating: ___ _____

_____

_____

TOOLS: Number and mix of tools, features/specifications, availability, maintenance, etc. Includes saws, drills, hand tools, shop tools, testing and measurement, analysis, and the like.

Rating: ___ _____

_____

_____

GEAR: Number and mix of tools, features/specifications, availability, maintenance, etc. Includes uniforms, weapons, hardhats, shoes, vests, breathing apparatus, and the like.

Rating: ___ _____

_____

_____

OFFICE EQUIPMENT: Number and mix, features/specifications, availability, maintenance, etc. Includes copiers, fax, telephones, desks, chairs, bookcases, and the like.

Rating: ___ _____

_____

_____

COMPUTERS: Number and mix, features/specifications, hardware, software, support services, training, etc. Includes agency- or county-wide network, desktops, notebooks, handheld devices, GIS, survey equipment, CAD, office automation systems, and the like.

Rating: ___ _____

_____

_____

MATERIALS: Office, maintenance, construction, training, etc.

Rating: ___ _____

_____

_____

OTHER RESOURCES: Contracts and leases, technical support services, capital projects funding, fees and charges for services, operating budget, etc.

Rating: ___ _____

_____

_____

II. Personnel Administration

Please provide a rating (**P**=Poor, **F**=Fair, **A**=Average or Adequate, **G**=Good, **E**=Excellent) for the following topics, and provide explanations of the reasons for your ratings.

HIRING PROCESS: Advertising, tests, interviews, hiring decisions, notifications, etc.

Rating: ___ _____

_____

_____

CAREER LADDERS: Job classifications, promotions within and across departments, etc.

Rating: ___ _____

_____

_____

TRAINING: Funds and time for work-related seminars, workshops, conferences, etc.

Rating: ___ _____

_____

_____

GRIEVANCES: Process, administration, timeliness, fairness, communications, etc.

Rating: ___ _____

_____

_____

DISCIPLINE: Process, administration, timeliness, fairness, communication, etc.

Rating: ___ _____

_____

_____

PERFORMANCE EVALUATIONS: Process, criteria and standards, forms, frequency, meetings with supervisors to review the evaluation, connection to pay increases, etc.

Rating: ___ _____

_____

_____

PAY: Compared to other city jobs; compared to other governments and private employers in the area; rewards for performance, skills, and certifications; etc.

Rating: ___ _____

_____

_____

BENEFITS: Compared to other governments and private companies in the area, mix of benefit programs, flexibility, administration, etc.

Rating: ___ _____

_____

_____

LABOR RELATIONS: Agency-union relationship, tone of contract negotiations, timely renewal of contracts, adequacy of representation in dealings with the agency, etc.

Rating: ___ _____

_____

_____

MORALE: Current level of morale, relationships with supervisors and other employees, etc.

Rating: ___ _____

_____

_____

Exhibit E

MANAGEMENT PHILOSOPHY PROFILE

Name _____ **Department** _____

I. Overview Of And Scorecard For The MPP

A supervisor's Management Philosophy is a combination of his/her personality, approach to work, and relationships with subordinates and other employees. After reviewing the twelve criteria on Pages E-2 and E-3, complete the work sheet on Page E-4 then enter your scores below:

- **Today's score** for each of the Criteria.
- The **Target score** you think you should be striving for in the future in order to maximize your benefit to the organization and achieve your long-term work goals
- The Mercer Group will insert a **Mercer suggested score** based on our experience with comparable positions and discuss it with you in a private interview.

This exercise will take about 15 minutes and will be used to prompt thought on how your work life can be more satisfying, productive, and goal-fulfilling. There are no right answers, only insights that hopefully will result in your personal and professional growth as a supervisor.

CATEGORY	CRITERIA	TODAY	TARGET	MERCER
PERSONALITY	*Type*			
	Risk-taking			
	Initiative			
	Solutions			
WORK FOCUS	*People*			
	Work			
	Resources			
	Time			
RELATIONSHIPS	*Status*			
	Delegation			
	Decisions			
	Communication			

II. Instructions For Completing The MPP

Your Management Philosophy, and those of your peers and supervisors, has a direct impact on the effectiveness of communications, employee relations, service quality, and organizational performance - in effect the organization's ability to accomplish its mission. These philosophies, in conjunction with agency-wide values, philosophies, and practices, are the building blocks of your organization's culture.

Described below are three major categories (Personality, Work Focus, and Relationships) and twelve factors that determine the Management Philosophy of supervisors at all levels in the organization (department heads, division managers, unit supervisors, foremen, crew leaders, and technicians). Each individual falls at or between the two alternatives listed below for each factor. Please read each of the twelve factors and rate yourself on Page E-4 of the analysis.

PERSONALITY

Type:

INTROVERTED with attention to internal operation; much time spent in your office analyzing operations and/or writing memos; and infrequent interaction with customers, staff, officials, contractors, and stakeholders, or

EXTROVERTED with attention to the external environment and frequent contact with staff and frequent interaction with customers, staff, officials, contractors, and stakeholders.

Risk-taking:

LIMITED with conservative and/or tradition-based actions, or

EXTENSIVE with innovative actions and decisions, and testing new ideas that break the mold.

Initiative:

REACTIVE to the external environment and problems, or

PROACTIVE to environmental needs and ahead of problems.

Solutions:

FEELINGS and intuition drive most decisions, or

ANALYSIS and thinking.

WORK FOCUS

People:

INTERNAL with a focus on managing and controlling operations and personnel (inputs and efficiency), or

EXTERNAL with a focus on customer relations and stakeholders (outcomes and effectiveness).

Work:

You focus on **DETAILS,** such as workflow, procedures, systems, and operations, or on

Broad, **MACRO** issues, visions, goals, and the "Big Picture."

Resources:

You focus on **THINGS,** equipment, materials, tools, computers, reports, or on

PEOPLE, relationships, communications.

Time:

You focus on **PAST** events, issues, and problems, or on

FUTURE events, issues, and opportunities.

RELATIONSHIPS

Status:

You are the **BOSS** (or the Expert), or

You share power by **EMPOWERING** and enabling your subordinates, co-workers, and/or customers.

Delegation:

Authority and work effort resides **CENTRALLY** in you and/or key subordinates or co-workers, or

Authority and work effort is delegated **BROADLY** to supervisors, staff, and/or co-workers.

Decisions:

A **CLOSED** process, involving yourself and key advisors, or

An **OPEN** process, with many employees and stakeholders involved.

Communications:

INFORMAL, oral, multidirectional (up and down), nonhierarchical and flexible communication systems are used, or

FORMAL, written, one directional (downward), hierarchical, and inflexible systems are used.

III. Management Philosophy Worksheet					
PERSONALITY	1	2	3	4	5
Type	Mostly Introvert	Slight Introvert	Middle of the Road	Slight Extrovert	Mostly Extrovert
Risk-taking	No Risks	Few Risks	Middle of the Road	More Risks	Lots of Risks
Initiative	Very Reactive	Slightly Reactive	Middle of the Road	Slightly Proactive	Very Proactive
Solutions	Mostly Feeling	Slightly Feeling	Feeling & Analysis	Slightly Analysis	Mostly Analysis
WORK FOCUS	1	2	3	4	5
People	Very Internal	Slightly Internal	Internal & External	Slightly External	Very External
Work	Mostly Details	Slightly Details	Details & Macro	Slightly Macro	Mostly Macro
Resources	Mostly Things	Slightly Things	Things & People	Slightly People	Mostly People
Time	All in the Past	Past to Today	Past to Week +	Past to Month +	Past to Year +
RELATIONSHIPS	1	2	3	4	5
Status	Mostly A Boss	Slightly A Boss	Middle of the Road	Slightly Empower	Mostly Empower
Delegation	Very Central	Slightly Central	Middle of the Road	Slightly Broad	Mostly Broad
Decisions	Mostly Closed	Slightly Closed	Middle of the Road	Slightly Open	Mostly Open
Communications	Very Formal	Slightly Formal	Middle of the Road	Slight Informal	Very Informal

Exhibit F
JOB ANALYSIS QUESTIONNAIRE

Name: _____ **Title:** _____

Department: _____ **Division:** _____

Location: _____ **Phone:** _____

The purpose of this questionnaire is to allow you to express your views about your department; your job skills, responsibilities, workload, and reporting relationships; and needed improvements in department operations. Please answer each question in terms of your department when the questionnaire asks about your organizational unit!

This questionnaire, employee surveys (a separate document), and your interview are your primary inputs to the Mercer Study. **The questionnaire will be held in the strictest confidence by the consultants and shared only among the consulting team! For our report, we will compile issues and data across the organization in a way that will not compromise your position, job security, or working relationships.**

Please complete the questionnaire personally and do not ask others for help in answering questions or developing data. Rely on your own knowledge and readily available data and materials. It should take no more than one hour to complete the questionnaire.

Answer each question to the best of your ability. Your answers should be complete, but need not be in great detail. If a question does not apply to you, mark it "Not Applicable" or "N/A." If you need more space or wish to provide added information, please insert this material immediately behind the page it relates to and number it the same as the question being answered.

If you have any questions, please contact Steve Egan, the Mercer Group's project manager, by phone at 770-425-1775 or by e-mail at steveegan@aol.com.

Once completed, please hang on to your questionnaire until your interview with Steve Egan or Gary Goddard of the Mercer Group. Interviews tentatively are scheduled for November 17 to 20. Thank you for your cooperation and commitment to the project.

I. YOUR WORK BACKGROUND

1. **Job History: What is our personal work history?** Please list your education and training, prior work experience, and employment history with the organization, including when you first were hired. A personal resume can be provided to answer this question.

_____

_____

_____

_____

_____

_____

_____

_____

2. **Future Goals: What are your future work and career goals?**

(a) _____

(b) _____

(c) _____

(d) _____

3. **Special Training/Skills: What special training, skills, experience, or talents do you have that might be of value to the organization?** For example, one of our clients needed someone to oversee training activities. We found a Maintenance Worker who coordinated training for the regional Boys Scouts Council and fit the job perfectly.

(a) _____

(b) _____

(c) _____

(d) _____

II. STRATEGIC DIRECTION

4. **Mission: What is your department's current Mission Statement (i.e., its purpose)?**

_____

_____

_____

Does this mission need to be better defined or communicated? Yes No

Does this mission need to be better defined or communicated? Yes No

8. **Vision: What is the current Vision for where your department is going? What would the department be and do in 10 or 20 years?**

_____

_____

_____

Does the Vision need to be better defined or communicated? Yes No

9. **Goals: What should the department's major Goals be over the next three years?**

(a) _____

(b) _____

(c) _____

10. **Values: What key Organizational Values or Guiding Principles drive the work of your department, as well as customer, labor-management, and employee relations?**

(a) _____ (d) _____

(b) _____ (e) _____

(c) _____ (f) _____

Are these values codified in a formal Values Statement? Yes No

Is the Values Statement posted for all to see? Yes No

Were these values developed with Employee Input? Yes No

11. Strengths: What are the major strengths and accomplishments of the organization? What are you proud of? What needs to be preserved and protected?

(a) _____

(b) _____

(c) _____

(d) _____

9. Weaknesses: What need to be improved to achieve the mission and vision?

(a) _____

(b) _____

(c) _____

(d) _____

10. Opportunities: What future opportunities and challenges are evident? What would you add, expand, modify, or enhance if you were in charge?

(a) _____

(b) _____

(c) _____

11. Threats: What events or circumstances would prevent the organization from accomplishing its mission? What would make the wheels fall off?

(a) _____

(b) _____

(c) _____

III. ORGANIZATION AND STAFFING

11. Your Position:

Do you work full-time, part-time, or seasonal/temporary? **FT** **PT** **S/T**

Who do you report to? _____

How many hours do your work each week? _____

If seasonal, what months do you work? _____

12. Job Description: Note: Mercer will collect a copy of your latest job description.

What year was your job description last updated? _____

How current and accurate is it? 100% 75% 50% 25% 0%

List below major duties added (A), changed (C), or deleted (D) since the last update.

(a) _____ **A** **C** **D**
(b) _____ **A** **C** **D**
(c) _____ **A** **C** **D**
(d) _____ **A** **C** **D**

14. Backlog: Do you have a backlog of work on any of your activities? If so, list the activity and time (in hours, days, or months) to work down the backlog.

(a) _____ Time _____
(b) _____ Time _____
(c) _____ Time _____
(d) _____ Time _____

15. Transfers To: Would any of your duties be better performed by another staff member or by another unit or department? If so, which ones and to whom?

(a) _____ To Whom _____
(b) _____ To Whom _____
(c) _____ To Whom _____

16. Transfers From: Would you better perform duties now assigned to another staff member or by another unit or department? If so, which ones and from whom?

(a) _____ From Whom _____
(b) _____ From Whom _____
(c) _____ From Whom _____

17. Job Duty Analysis: Please complete the Job Duty Analysis (Exhibit A that follows) to provide us a profile of how you allocate time to your duties, each duty's contribution to the mission, each duty's mandate, and units of service.

The **Job Duty Analysis** provides data on the major activities that you perform on a daily, weekly, monthly, or annual basis. We will compile and analyze the data in order to identify work misplaced in the organization or assigned to the wrong person, excessive fragmentation of work among several people, low priority activities that could be reassigned or eliminated, and other issues.

Please complete the **Job Duty Analysis Form** on the next page as follows:

- **# and Short Description:** From your job description, list each of your major job duties (most employees will have 6 to10). If you have more than twelve major activities, continue on a second form. If a major duty is not shown on the job description, please list it on the form and note it is an addition to the list.

  Minor or infrequent duties should be grouped on one line ("Other Duties"). We expect that these Other Duties in total will represent a very small percentage (under 10%) of your total work hours.

- **% Time:** Estimate the percentage of time you spend on each duty when you are working. Ignore vacation, sick, and other non-productive time. The total of all duties should equal 100%!

- **Priority:** Rank each duty's priority to completing the mission of your unit:

  (A) Highest priority in supporting the mission
  (B) Lower priority in supporting the mission
  (C) Lowest priority in supporting the mission

- **Authority:** Identify the authorization or source of each duty by the following codes:

  (D) Department or division policy
  (C) Citywide policy or requirement
  (F/S) State or Federal law, regulation, or mandate

- **Units:** Provide annual units of work produced for each activity, if known (e.g. number of permits, applications processed, hearings, or transactions). Some activities will be ongoing throughout the year (e.g. management) and the unit of work will be "1."

Exhibit A
JOB DUTY ANALYSIS

NAME _____ **DEPARTMENT** _____

#	Short Description of Duty	% Time	Priority	Authority	Units
	Other Duties				
		100%			

IV. OPERATIONS MANAGEMENT

18. **Operations Improvement:** Are there any operations, policies, procedures, systems, forms, reports, or management/financial controls that impede efficient and effective service delivery, customer/stakeholder satisfaction, and your job performance? If so, please identify each area below and provide a brief statement of the problem. The consultants will follow-up on each problem statement through interviews.

(a) _____

_____

_____

(b) _____

_____

_____

(c) _____

_____

_____

(d) _____

_____

_____

(e) _____

_____

_____

Attachment B

THE MERCER GROUP'S DECISION CRITERIA FOR COLLABORATION AND CONTRACTING

Our criteria for collaboration and contracting decision is based on our thirty years of work and consulting experience in the public sector; research including ideas in books like "Reinventing Government;" and the lessons learned from assessment of collaboration and contracting opportunities for our consulting clients.

Criteria from "Reinventing Government"

In "Reinventing Government," Osborn and Gaebler identify the following **criteria to examine the strengths and weaknesses of specific collaboration and contracting opportunities**:

- **Service Specificity:** How specifically can a service be defined so governments (the providers) can tell producers what it wants?
- **Availability of Producers:** Are there enough qualified producers to ensure competition?
- **Efficiency and Effectiveness:** Can producers provide the service efficiently and effectively?
- **Scale of the Service:** How large an organization is needed to produce the service?
- **Relating Benefits and Costs:** To what degree do users pay directly for the benefits?
- **Responsiveness to Customers:** Is the provider customer friendly and responsive?
- **Economic Equity:** Can the service be provided equitably to all customers?
- **Equity for Minorities:** Will minorities receive adequate benefits from the service or product?
- **Responsiveness to Government Direction:** Will the producer adequately follow the government policy and specifications in delivering the service or product?
- **Size of the Government:** Is the providing government big enough (and sophisticated enough) to enable it to provide effective oversight of another producer?

Mercer Group's Decision Criteria

Based on our experience and supporting research, the Mercer Group has developed a set of **sixteen decision criteria** to evaluate the feasibility of cooperative approaches to the delivery of services. Some of these factors can be measured and quantified, while others must be assessed on more intangible factors.

➢ Governance:

- **Legal Authority:** Do the governments have the legal authority to collaborate?
- **Policy Compliance:** Does the approach to collaboration meet policy and regulatory requirements of each community?
- **Political Culture:** Is the collaborative approach compatible with the political cultures, visions, and values of each community?
- **Community Support:** Do citizens, the business community, major stakeholders, and elected officials support collaboration in general and the specific proposal for service collaboration that is on the table?

➢ Management:

- **Management Culture:** Are the government's managers and department heads ready for a collaborative approach?
- **Management Skills:** Do these managers have the skills and experience to effectively deliver the services under a collaborative model.
- **Administration:** Are policies, procedures, systems, and controls in place, or easily developable, to administer collaborative approaches, including communication and financial systems?

  Are financial, human resources, and other administrative policies, systems, and controls compatible, or easily made compatible, including pay plans and union agreements?
- **Performance Measurement:** Are performance measures, output and outcome data collection processes, and reporting processes in place to establish, track, and report performance?

➢ Assets and Resources:

- **Facilities and Infrastructure:** Are facilities and other infrastructure adequate to support the collaborative model? If not, can they be acquired at s reasonable cost that does not undermine the financial model?

- **Technology:** Are equipment and technology adequate to support the collaborative model? If not, can they be acquired at a reasonable cost that does not undermine the financial model?

- **Fiscal Capacity:** Do the governments have the fiscal capacity to implement the collaborative model? This question includes the adequacy and reasonableness of tax revenues, user fees and charges, assessments, and contract fees to support the collaborative model.

- **People:** Are the number and quality of service-providing staff adequate to implement the collaborative model? Are supervisors adequately skilled to manage assigned staff? If not, can they be acquired and/or trained at a reasonable cost that does not upset the financial model?

➢ Services:

- **Service Level Expectations:** Will the quantity of services produced match customer and stakeholder expectations (not too low in particular)?

- **Service Quality Expectations:** Will the quality of services produced match customer and stakeholder expectations (not too low in particular)?

- **Operational Effectiveness:** Can operational challenges be resolved to justify implementing the collaborative approach? These challenges include different organizational and operational models; policies, procedures, and techniques; physical locations; organization and staffing plans; job responsibilities and job descriptions; union agreements; and equipment, markings, and gear specifications.

- **Fiscal Effectiveness:** Does the collaborative approach make financial and economic sense for each government in terms of immediate cost savings, future cost avoidance, potential gains in efficiency, affordability of apportioned shares or contract fees, and potential reductions in tax burdens?

Application of the Decision Criteria

Preliminary research and fact finding is required to identify general and opportunity-specific factors that influence application of the Decision Criteria and, therefore, the feasibility of collaboration or contracting:

- **Strengths, Weaknesses, Opportunities, and Threats:** A SWOT Assessment provides a general understanding of the collaboration and contracting opportunity, and the degree to which organizational and operational improvements are needed.
- **Organizational Culture and Management Philosophy:** A cultural analysis indicates how well the collaborating/contracting organizations "fit" together in terms of culture and management philosophy.
- **Enablers and Inhibitors:** These factors indicate the feasibility of collaboration and contracting in terms of governance, management, service delivery, and administrative support issues.

Exhibits 1 that follows presents a **Decision Criteria Evaluation Form** for a sample consolidation of Public Safety services:

- Exhibit 1a compiles the pros and cons based on Enablers and Inhibitors (bolded items are most important!).
- Exhibit 1b presenting ratings for each of the 16 decision criteria, comments, and an overall feasibility rating. Note that some criteria are rated 4 by highlighting both 5=Feasible and 3=Possible or two by highlighting 3=Possible and 1=Unlikely.

Exhibit 1a

Pros and Cons for Consolidation of All Public Safety Agencies

MAJOR ENABLERS/BENEFITS	MAJOR INHIBITORS/DRAWBACKS
Creation of a joint governing board **Some cost savings are possible with fewer senior management staff and possibly patrol officers and firefighters (more of a financial benefit to the City)** Unified services to cover both City and Town to ensure crime migration is dealt with effectively **Better coordination of services in emergencies and disasters** **Better coordination of Police, Fire, and EMS personnel on a daily basis** **Higher levels of investigative and, possibly, patrol resources** More opportunities for advancement and specialization, particularly for Town officers Less migration of officers to other jurisdictions due to pay and shift limitations Possibly fewer building and less equipment to manage	**Some loss of political control and oversight**, but mitigated by a joint Public Safety Committee serving as a governing board **Differences in current Fire and EMS models (department structure and full-time vs. paid-on-call firefighters** May lack an adequate Public Safety HQ facility unless some positions can be based at the proposed Regional Training Center or other City/Town facilities Potential difficulty in determining cost allocation methods (not a major problem) **Ambulance service revenue sharing or shifting may be difficult to accomplish**, particularly with fee revenues booked to the City's General Fund and per capita fess to the Town's General Fund. But costs will be avoided as personnel and equipment shift to a unified department Conversion of union agreements in Police and Fire/EMS (likely merged) Conversion to common specifications for equipment, vehicles, markings, tools, and gear

Table 1b

Rating of Full Public Safety Consolidation

GOVERNANCE	FAVORABLE	POSSIBLE	UNLIKELY
Legal Authority	**5 – Favorable**		
Policy Compliance		**3 – Possible**	
Political Culture		**3 – Possible**	**1 – Unlikely**
Community Support		**3 – Possible**	**1 – Unlikely**
MANAGEMENT			
Management Culture		**3 – Possible**	
Management Skills	**5 – Favorable**	**3 – Possible**	
Administration		**3 – Possible**	
Performance Measures	**5 – Favorable**		
RESOURCES			
Facilities/Infrastructure		**3 – Possible**	
Technology		**3 – Possible**	
Fiscal Capacity	**5 – Favorable**		
People	**5 – Favorable**	**3 – Possible**	
SERVICES			
Service Level Expectations	**5 – Favorable**		
Service Quality Expectation	**5 – Favorable**		
Operational Effectiveness	**5 – Favorable**	**3 – Possible**	
Fiscal Effectiveness	**5 – Favorable**	**3 – Possible**	
CATEGORY RECAP			
Governance	5	7	Two scored 2
Management	5	10	One scored 4
Resources	5	10	One scored 4
Services	10	8	Two scored 4
Total Score: 60	**25**	**35**	

COMMENTS	Political Culture and Community Support rated low (2) as this option may not be supported by elected officials and citizens. Management Skills and People scores likely would rise to 5 if a Public Safety Director is hired. Management Skills and Operational/Fiscal Effectiveness rated 4 as the City and Town don't have experience with this model.
FEASIBILITY RATING	**GOOD**

Attachment C

THE MERCER GROUP, INC.

Performance Measures in Public Services

The following performance measures are based on research by and the consulting experience of The Mercer Group, Inc. Professional associations, such as the International City-County Management Association (ICMA) and the Government Finance Officers Association (GFA), provide resources and training on performance improvement. A leading book is David N. Ammons' Municipal Benchmarks: Assessing Local Performance and Establishing Community Standards (Sage Publications, 1996 and later).

Mercer reviews the application of these measures in our **Management and Organizational Improvement Studies** in the public sector and makes recommendations for expanding performance measurement. These measures are a key element in Mercer's *50 Management Issues for Organizational Improvement*, which we use to assess the organizational performance of management functions, such as governance, planning, service delivery structure, management organization and staffing, operations, and resource management.

Performance measures may relate to inputs, outputs, and outcomes, and, where possible, present a measurable standard (absolute value or range of values). Model performance measures and standards are provided below for a variety of functions and programs.

A. ADMINISTRATION AND FINANCE

1. Citizen Satisfaction with public services at a high level from an annual survey (likely a Village-wide exercise such as the National Citizen Survey).
2. Boards and Commission membership full with new blood as needed.
3. Community Foundation in place to raise funds for special projects or needs.
4. "Clean" annual financial audit.
5. Operating and Capital budgets delivered on time and fully meet local standards.
6. Fees, rates, and charges reviewed and updated every three years.
7. Monthly and Annual Reports delivered on time and fully meet local standards.
8. City has developed and maintains a process for *Managing the Numbers* (utilization of people, equipment, and supplies and cost of service for major activities).
9. Website design and content up-to-date per local standards.
10. Event and emergency notification system active (web, texts, emails).
11. Records retention standards in place and in compliance with state law.
12. Purchasing policy in place and all agencies in compliance.
13. Human Resources policy in place and all agencies in compliance.
14. Information Technology plan in plan and funded to achieve goals and objectives.

B. FIRE AND EMS

1. Citizen satisfaction with the Fire Department from the Citizen Survey.
2. The department has a functional business plan to align operations to mission, values, goals, and objectives.
3. Life Safety Code is adopted and enforced through annual inspections of commercial properties and facilities with public gatherings.
4. Development plan reviews are completed in a timely manner as determined by local standards.
5. Station location and equipment analysis is conducted when needed to balance resources with growth.
6. Fire Department complies with Insurance Service Office (ISO), National Fire Protection Association (NFPA), the Center for Public Safety Excellence (CPSE), and Commission of Fire Accreditation International (CFAI) standards for equipment, unit staffing, response times, and other issues as applicable to the local situation to measure:
   a) Adequacy of protection from fire and emergency situations,
   b) Reasonableness of costs for department operations, fire protection systems (sprinklers), and community losses, and
   c) Acceptable level of risk and the losses it will accept because resources are not unlimited.
7. ISO Fire Rating (1-10) meets community objectives.
8. Fire response plans in place for major buildings and facilities and available to responding units when on the scene.
9. Automatic and mutual aid agreements in place and reviewed every 3 to 5 years. Mutual aid partners training together regularly. Mutual aid is balanced across partners.
10. Dispatch operations are well-resourced (including technology), efficient in operation, provide constant connections, and meet both local and fire standards. Mutual aid partners on the same dispatch system and frequencies.
11. Company availability and response reliability meet community standards for response times and resources on the scene. Station/Company response areas are balance with few overlaps. False alarm responses are minimized.
12. Fire response times meet local standards. For example (for a paid department):
    a) Under 4 minutes for first units with four people ("two in-two out")
    b) Under 6 minutes for the full response of units and personal (15 people)
    c) Add volunteer mobilization times to above
13. Ambulance response times meet local standards (typically 4 to 6 minutes with first responders also called out).
14. Ambulance Unit Hour Utilization rate (UHU) meets community standards (typically a .15 to .25 to allow for training, equipment work, etc. when not on calls).
15. Call patterns aligned with resources available and location.
16. Firefighter, EMT, and paramedic training meets state standards. Records are kept to ensure required training is accomplished.
17. Equipment replacement and maintenance plans in place and followed.

C. POLICE

1. Citizen attitudes toward the Police Department and the police force through the Citizen Survey.
2. The department has a functional business plan to align operations to mission, values, goals, and objectives.
3. FBI crime data is collected, reported, and tracked over time so the community can develop a standard for public safety and clear expectations for the police department.
4. Crime prevention activities are in place and an important priority of the department, including School Resource Officers, Officer Friendly, community education (Active Shooter, Gun Safety).
5. The need for sworn officers is measured by both population (officers per 1000-residents) and through a detailed utilization analysis.
6. Officers per 1000-Residents statistics have less authority than the utilization data, particularly in smaller communities, but are valuable as easy starting points. No national standard or guideline for officers per 1000-residents.
7. Utilization goals vary by the size, location, and demographics of each community:
   a) Up to 60% of time on calls for service
   b) At least 40% of time on officer-directed activities
   c) Office, administrative, and reporting time is limited (under 10%)
8. Response times meet community standards (typically 4 minutes or less).
9. Officer attendance at court sessions is well-organized and schedule to ensure officers meet judicial standards and limit wasted time.
10. Officer-directed time meet community standards for frequency of neighborhood patrols, school zone checks, speed checks, house and business checks,
11. Investigators have adequate resources to support their activities, including case management software.
12. Number/% of investigated crimes cleared by "good" arrests or "exception."
13. 25 to 40% of stolen property recovered.
14. Probation officer should have a caseload of about 100 (varies by local situation).
15. Evidence is adequately inventoried and secured to meet state standards.
16. Certified laboratories process samples and report results in a timely manner.
17. Sworn officers meet state training and certification requirements. Department keeps adequate records to ensure these training requirements are met.
18. Internal Affairs unit or process established and effective.
19. Office and in-car equipment and technology is modern, adequately maintained, and functional very close to 100% of the time.
20. Equipment replacement and maintenance plans in place and followed. Patrol units typically are replaced or shifted to non-patrol units at 90,000 to 100,000 miles based on local conditions (topography, size of the city),

D. CULTURE AND RECREATION

1.) Parks and Recreation

1. Parks and Recreation Master Plan in place and updated every five to seven years to cover number and features of parks, recreational programs and facilities, athletic programs and facilities, trails and hiking paths, bike paths, nature areas and centers, special facilities (aquatics, fitness, seniors, special needs), cultural amenities (museums, performing arts venues, theaters), and more.
2. Parks Foundation in place to raise supplemental funds for special needs (like a new park or facility.
3. The National Recreation and Parks Association (NRPA) has standards in place for park acreage, ball fields, tennis courts, and the like, but is shifting to standards based more on community-defined needs. NRPA is the best source for parks and recreation standards.
4. Parks and Recreation Department has a strategic business plan to align operations to mission, values, goals, and objectives.
5. Staff has appropriate training and certifications.

2.) Library

1. Library Strategic Plan in place and updated every three to five years.
2. Library Foundation in place to raise supplemental funds for special needs (like a new library).
3. Friends of the Library group in place, active, and effective in raising money through book sales and other means.
4. Staff has adequate training and certifications (at least one MLS in small libraries and one in Adult and Children Department as well in larger libraries).
5. Library hours defined to meet community standards and needs.
6. School and city/county libraries coordinate their services (e.g., city library has books on the high school reading list).
7. Circulation and patron visits tracked and reported.

E. PUBLIC WORKS AND UTILITIES

1.) Engineering

1. GIS in place to identify and map all assets.
2. Cost of architectural and engineering services as a percentage of each capital project. (Goal = <6%)
3. Time required to process engineering permits and reviews. (Goals = Immediately to 5 work days for minor permits and less than 3 weeks for major permits/reviews)
4. On time with documents supporting projects bid (timing set by Purchasing).
5. Online permit application and tracking available on the website (same with Community Development Department).

2.) Facilities

1. Condition rating completed and updated annually for each building per a regular inspection program with more detailed inspection conducted every 3-5 years by consulting A& E firm.
2. Preventative Maintenance schedule in place and adhered to.
3. Time required to make repairs (Goals = 1 to 3 days for minor repairs and 2 weeks for major repairs, unless bid out).
4. HVAC systems work basically all the time.
5. Cleaning/janitorial service daily based on detailed standards.
6. Internal and external security system in place, with controlled access, lighting, and cameras.

3.) Fleet

1. Equipment Replacement Plan in place and adhered to (with minor modifications based on annual reviews of equipment condition by Fleet Operations staff).
2. Preventative Maintenance schedule in place and adhered to.
3. 95+% of vehicles and equipment available for use on a daily basis with some equipment (e.g., garbage trucks) available to meet scheduled services.
4. Adequate backups to meet scheduled services.
5. Time required to make repairs (Goals = Immediate for very minor repairs, 1 day for routine services like an oil change, 1 to 3 days for minor repairs, and 2 weeks for major repairs, unless bid out).
6. Major repairs assessed for in-house vs. contract delivery based on in-house capabilities, cost, and garage work demand.
7. Fleet operated as a self-sufficient Internal Service Fund.
8. Mechanic billing rates based on full cost of service, not just salaries and benefits.
9. Parts inventory turns over 4 to 6 times per year.
10. Obsolete parts reviewed during annual inventory and culled out.
11. Parts markup under 15% of cost of the part.

4.) Forestry

1. Tree inventory completed and up-to-date.
2. Pruning program in place and up-to-date.
3. Emergency pruning or tree removal tasks completed in 4 to 24 hours of notice, if an emergency situation, and 48 hours if not.

5.) Lights and Signals

1. Asset inventory completed and up-to-date.
2. Asset management system in place with routine maintenance program.
3. Street light outages repaired within 36 hours.
4. Traffic signal problems repaired within 4 to 8 hours.

6.) Parks Maintenance

1. Parks asset inventory completed and up-to-date.
2. Asset Condition Assessment conducted annually, with a focus on playgrounds, bleachers, and equipment that people regularly use.
3. Parks maintenance plan in place and implemented, including mowing, pruning, bathrooms, picnic pavilions, and recreation centers.

7.) Streets

1. Streets asset inventory completed and up-to-date to include streets, curbs and gutters, swales (if no curbs), sidewalks, etc.
2. Street Condition Assessment conducted on a regular basis (Goal = Annual to three-year cycle).
3. Street Condition standard developed and approved, such as an average 80 rating.
4. Capital Improvements program in place and funded to meet Street Condition Standard and Assessment. Key Indicator is number of miles of streets rebuild annually compared to the total miles of streets (Goal = About 5% per year or 20-year cycle for residential streets and a bit higher/longer for arterials/collectors).
5. Street repairs completed in a timely manner (varies from 8 hours to inclusion in the next CIP program).

8.) Transit

1. On time performance.
2. Number of riders and passenger miles annually.
3. Bus Condition assessed daily and repairs made quickly.
4. Bus stops, if used, are cleaned up daily.
5. Rider satisfaction from regular sampling and annual survey.

9.) Sewers

1. Sewer operations meet state and federal water quality rules and regulations.
2. Sewer operates as a self-sufficient Enterprise Fund.
3. Sewer asset inventory completed and up-to-date to include sanitary and storm sewers, grates, manholes, lift stations, drainage structures, etc.
4. Sewer Condition Assessment via televising and inspection is completed on a regular basis.
5. Preventative Maintenance Plan defined and fully implemented.
6. Grease-Oil mitigation program in place.
7. Sewer cleaning conducting for at least 1/3 of the system annually.
8. Sewer repairs completed in a timely manner (varies from 8 hours to inclusion in next CIP program).

10.) Water Plant

1. Plant meets state and federal water quality standards, rules, and regulations.
2. Asset inventory completed and up-to-date.
3. Condition Assessment conducted or a regular basis (Goals = In-house inspection annually and an in-depth analysis by consulting engineer every 3-5 years).
4. Preventative Maintenance Plan defined and fully implemented.
5. Operations Manual developed and updated every year, with staff fully trained.
6. Water operates as a self-sufficient Enterprise Fund.
7. Rates based on full cost of service from rate study every 2-3 years.

11.) Water Distribution

1. Distribution system meets state and federal water quality rules and regulations.
2. Asset inventory completed and up-to-date.
3. Condition Assessment conducted or a regular basis.
4. Preventative Maintenance Plan defined and fully implemented, including valve exercise and hydrant flushing programs over no more than a two-year cycle.
5. Operations Manual developed and updated every year, with staff fully trained.
6. Main breaks are repaired within 8 hours of notice (12" and under) and larger mains within 24 hours.
7. Dead-end mains flushed as needed to maintain water quality in houses and businesses.
8. Hydrants are inspected annually, painted, and repaired as needed (Goal = No more than a handful of hydrants out-of-service at any given time).
9. Water pressure meets water supply and fire flow pressure standards.
10. Water operates as a self-sufficient Enterprise Fund.
11. Rates based on full cost of service from rate study every 2-3 years.

Exhibit 6

CITY OF LECLAIRE, IOWA

Draft Implementation Plan for Mercer Operational and Service Level Study

MERCER RECOMMENDATIONS		TEXT PAGE	RANK	COMPLETE BY DATE	IMPLEMENTATION LEADERS	COMMENTS	FISCAL IMPACT
Governance							
C1a	Update City Code Title Page	34	C	12/31/2016	Mayor, City Council, City Administrator	Minor change	None
C1b	Continue to Improve Mayor & City Council Operations	34	B+	Ongoing	Mayor, City Council	Strong progress from 2015 to 2016	Possible retreat facilitator
C1c	Create an Economic Development Committee, develop strategic plans for all boards/committees, and enhance member training	34	A+	12/31/2016	Mayor, City Council, ED Committee, Board Chairs, City Administrator	Committee to include business and downtown stakeholders	Staff time
Planning							
C2a	Expand the current strategic planning model to include several functional plans	43	B+	12/31/2017	Mayor, City Council, City Administrator	See the Mercer Model in Exhibit 3	Staff time
C2b	Update the aging Strategic Plan	43	A	12/31/2017	Mayor, City Council, City Administrator, Department Heads	See the Mercer Model in Exhibit 3	$25,000 if use consultant
C2c	Fine-tune the content of the Comprehensive Plan	43	A	This Planning Cycle	Mayor, City Administrator, Bi-State staff	Coordinate with the Bi-State Commission staff	Staff time
C2d	Prepare Strategic Business Plans in each city department	43	B+	12/31/2017	Mayor, City Administrator, Department Heads	Start with mission, values, goals, objectives, performance measures	Staff time
Service Delivery Structure							
C3a	Improve the Code Enforcement process with citizen input	47	B+	12/31/2017	Mayor, City Council, ED Committee, P&Z/BZA, City Attorney, City Administrator	Focus on areas adjoining downtown	Staff time
C3b	Create an Economic Development Plan, focusing on expansion of commercial properties	47	A+	6/30/2017	Mayor, City Council, ED Committee, P&Z/BZA, City Administrator	May need a planning and economic development consultant	Consultant contract
C3c	Create a manager position for Parks and Recreation services	47	A	FY 2018	Mayor, City Council, City Administrator	Likely a Recreation Coordinator as the first position	$70,000
C3d	Update the city's Tourism Plan	47	B	12/31/2018	Mayor, City Council, Marketing Alliance, City Administrator	Do the ED Plan first	Consultant contract

CITY OF LECLAIRE, IOWA

***Draft* Implementation Plan for Mercer Operational and Service Level Study**

MERCER RECOMMENDATIONS		TEXT PAGE	RANK	COMPLETE BY DATE	IMPLEMENTATION LEADERS	COMMENTS	FISCAL IMPACT
Management Organization							
C4a	The Mayor should clearly communicate his management philophy to the management team and ask them to prepare goals and objectives	49	A	ASAP	Mayor, City Administrator, Department Heads	Goals and objectives are a part of C2b, Department Strategic Business Plans	Staff time
C4b	Update the Personnel Policy to restructure City Council Liaison roles	49	A	12/31/2016	Mayor, City Council, City Administrator	See other recommendations for changes to Personnel Policies	Staff time
C5	Create a Clerk-Finance Officer position to leverage the City Administrator	50	A+	FY 2018	Mayor, City Council, City Administrator	A senior management position with strong technical training and experience	$90,000
Resource Management							
C6	Improve financial planning, the budget process, capital budgeting, financial analysis, the budget document, and documentation of financial procedures	55	A+	Ongoing	Mayor, City Council, City Administrator	Government Finance Officers Association has training and reports that will help	Staff time
C7	Update HR policies, procedures, and job descriptions and implement performance reviews	57	B+	6/30/2017	Mayor, City Council, City Administrator	Also see department reviews in Chapter IV	Staff time
C8	Develop an IT Plan and link the IT Committee to the City Council Finance Liaison	58	B+	12/31/2017	Mayor, City Council, IT Committee, City Administrator, Department Heads	May need an IT consultant to assist. Also see department reviews in Chapter IV.	Staff time and consultant contract
C9	Develop an Equipment Replacement Plan and automate equipment maintenance records	59	B+	12/31/2017	Mayor, City Council, City Administrator, Department Heads	Also see department reviews in Chapter IV	Staff time
C10	Assess the City Hall/Library Plaza, Public Safety Complex, and facilities needs generally	60	B	12/31/2017	Mayor, City Council, City Administrator, Department Heads	Also see department reviews in Chapter IV	Staff time and consultant contract

CITY OF LECLAIRE, IOWA

***Draft* Implementation Plan for Mercer Operational and Service Level Study**

MERCER RECOMMENDATIONS		TEXT PAGE	RANK	COMPLETE BY DATE	IMPLEMENTATION LEADERS	COMMENTS	FISCAL IMPACT
Administration							
A1	Create a Strategic Business Plan starting with mission, values, goals, objectives, performance measures, and future staffing	67	A-	6/30/2017	City Administrator and City Hall staff (Mayor assists)	Start on basic issues listed at the left and expand once the citywide Strategic Plan is created	Staff time
A2	Continue the current structure of administrative services	68	B	Ongoing	Mayor, City Administrator		Staff time
A3	Develop a Succession Plan for administrative positions, with a new Clerk-Finance Officer	70	A+	6/30/2017	Mayor, City Council, City Administrator	Links to Recommendation C5a	See C5a
A4a/b	Create a policies and procedures manual for administrative and financial services, with a process for checking department compliance with purchasing rules	72	B	12/31/2017	Mayor, City Administrator, City Hall Staff, Department Heads	Have the City's financial auditor review the document before it is finalized	Staff time
A4c	Enhance the Code Enforcement process	72	B+	12/31/2017	Mayor, City Council, ED Committee, P&Z/BZA, City Administrator	Links to Recommendation C3a	Staff time
A5	Update job descriptions and implement performance evaluations	73	B+	12/31/2016	Mayor, City Administrator, City Hall Staff	Performance evaluations approved in latest union agreements	Staff time

CITY OF LECLAIRE, IOWA

***Draft* Implementation Plan for Mercer Operational and Service Level Study**

MERCER RECOMMENDATIONS		TEXT PAGE	RANK	COMPLETE BY DATE	IMPLEMENTATION LEADERS	COMMENTS	FISCAL IMPACT
Fire Department							
F1	Create a Strategic Business Plan starting with mission, values, goals, objectives, performance measures, and future staffing and apparatus needs	80	A-	6/30/2017	Fire Chief, Fire Command team, and Firefighters (Mayor and City Administrator assist)	Start on basic issues listed at the left and expand once the citywide Strategic Plan is created	Staff time
F2a	No change in the current mutual/automatic aid system	82	B	Ongoing	Fire Chief, Fire Command Team	See the Ladder Truck analysis and Recommendation F5e	None
F2b	Work with Medic and Police to assess the feasibility of a Public Safety Complex, recruit more volunteers, and coordinate services and resources	82	B+	12/31/2017	Mayor, City Council, City Administrator, Fire Chief, Fire Command Team, Police Chief, Medic Manager	Coordination of services and resources in an onging process that Mercer suggests be more formal	Staff time (facility cost uncertain)
F3a	Although well-organized, review and redefine, as needed, communication protocols and	85	A	12/31/2016	Fire Chief, Fire Command Team, and Firefighters	A culture issue	Staff time
F3b	Review goals for number of active volunteers, but hold on full-time firefighters for at least five years	85	B+	Ongoing	Mayor, City Council, City Administrator, Fire Chief	Goals for # of volunteer firefighters are in the City Code	Staff time
F4a+	Update SOGs, review page-out options, put pre-plans in all vehicles	87	B	12/31/2016	Fire Chief, Fire Command Team	Recommendations F4a, b, c, d. Targeted page-outs are limited by current technology.	Staff time
F4e	Coordinate improvement in general code enforcement with Life Safety Code enforcement	87	B+	12/31/2017	Fire Chief, Command Team (with the Mayor, City Council, City Attorney, City Administrator)	See Recommendation C3a	Staff time
F5a/b	Implement performance evaluations	94	B+	12/31/2016	Fire Chief, Command Team (City Administrator assists)	Links to other recommendations above	Staff time
F5c	Develop a Facility Needs Analysis with Police and Medic	94				See Recommendation F2b	Staff time (facility cost uncertain)
F5d	Improve Firehouse's link to the State Fire Marshal	94	B	12/31/2016	Fire Chief, Command Team (City Administrator assists)	To make it easier to enter and report fire statistics	Staff time
F5e	Develop and implement a long-term equipment replacement plan	94	A+	Ongoing	Mayor, City Council, City Administrator, Fire Chief, Command Team, Firefighters	See the Equipment findings and Ladder Truck Analysis on pp. 89-93	Staff time (equipment costs uncertain)

CITY OF LECLAIRE, IOWA

***Draft* Implementation Plan for Mercer Operational and Service Level Study**

MERCER RECOMMENDATIONS		TEXT PAGE	RANK	COMPLETE BY DATE	IMPLEMENTATION LEADERS	COMMENTS	FISCAL IMPACT
Police Department							
P1	Create a Strategic Business Plan starting with mission, values, goals, objectives, performance measures, and future staffing	99	A-	6/30/2017	Police Chief, Sergeant, Corporal, Officers (Mayor and City Administrator assist)	Start on basic issues listed at the left and expand once the citywide Strategic Plan is created	Staff time
P2	Retain service delivery structure, but analyze value of city SROs	100	B	Ongoing	Mayor, City Council, City Administrator, Police Chief	City SRO links the Police Department to the city's teens	1/2 cost of a Police Officer
P3a	Review the "working" time use for the Chief and Sergeant	107	B+	3/31/2017	Mayor, Police Chief, Sergeant (City Administrator assists)	See the Staffing Analysis on pp. 101-106	Staff time
P3b	Maintain one administrative support positions	107	B	Ongoing	Mayor, City Council, Police Chief	The position should report to the Police Chief	None
P3c/d	Review roles of Sergeant, Corporal, and Senior PO	107	B+	3/31/2017	Mayor, Police Chief, Sergeant, Corporal, Senior Police Officer	Work assignments and shift days/times	Staff time
P3e	Maintain 7.5 sworn FTE until the city has 5,000 people, then review	107	A	Ongoing	Mayor, City Council, Police Chief	Comparative/workload data show LPD close to optimal staffing	To be determined
P3f	Keep the 10-hour shift	107	A	Ongoing	Mayor, City Administrator, Police Chief	Research supports the benefits and officers like it	None
P3g	Develop added data on officer time use on dispatched calls and self-directed work	107	B+	Ongoing	Mayor, Police Chief	Data helps determine required staffing levels. Will need the help of Dispatch.	Staff time
P4a	Update Police policies and procedures	109	A+	12/31/2016	Police Chief		Staff time
P4b/c	Accelerate preparation of police reports and consider a case management system	109	B+	12/31/2017	Police Chief, Sergeant, Corporal, Senior Police Officer	The case management system would support investigations (County might have one)	Staff time and possible computer software
P4d+	Improve internal communications and external reporting	109	A+	3/31/2017	Mayor, Police Chief (City Administrator assists)	Recommendations P4d, e, f	Staff time
P4g	Rotate special assignments	109	B+	3/31/2017	Mayor, Police Chief	For career development	Staff time
P5a	Develop a formal equipment replacement plan	112	B+	6/30/2017	Mayor, City Administrator, Police Chief	See Equipment Analysis on pp. 110 and 112	Staff time
P5b/c	Maintain a 6-car fleet, but update in-car technology	112	B+	Ongoing	Mayor, City Administrator, Police Chief	See Equipment Analysis on pp. 110 and 112	Staff time
P5d+	Update IT, HR, and Purchasing policies and procedures	112	B	6/30/2017	Mayor, City Administrator, Police Chief	Recommendations 5d, e, f, g. Computer for the Investigator	$1,000

CITY OF LECLAIRE, IOWA

***Draft* Implementation Plan for Mercer Operational and Service Level Study**

MERCER RECOMMENDATIONS		TEXT PAGE	RANK	COMPLETE BY DATE	IMPLEMENTATION LEADERS	COMMENTS	FISCAL IMPACT
Library							
L1a	Strengthen the city-library relationship and clarify roles	119	A+	ASAP	Mayor, City Council, Library Board (City Administrator and Library Director assist)	An initial focus is budgetary controls and procedures	Staff time
L1b	Create Library Board by-laws within the context of Iowa law	119	A	6/30/2017	Mayor, City Council, Library Board (City Administrator and Library Director assist)	By-laws are the foundation for training new members	Staff time
L1c	Consider reducing the Board's size and length of terms	119	A	12/31/2018	Mayor, City Council, Library Board (City Administrator and Library Director assist)		
L2	Expand the library's Strategic Plan starting with vision, values, goals, performance objectives, and "dreams" of the board and staff	121	A-	6/30/2017	Library Board, Director, & Staff (in collaboration with city officials)	Align the plan with the city's updated Strategic Plan in consultation with city officials	Staff time
L3a	Strengthen the Friends and coordinate their work with the city	122	A	6/30/2017	Mayor, City Council, Library Board, Library Director		Staff time
L3b	Adjust library use policies as Illinois libraries leave RiverShare	122	B	ASAP	Library Board, Library Director		Staff time
L4	Maintain current staffing, but consider future needs during strategic planning	124	B+	Ongoing	Mayor, City Council, City Administrator, Library Board, Library Director	Increased/decreased hours, population growth, increased usage affects staffing needs	To be determined in future budgets
L5a	Reviews services and hours in strategy work above	126	A-	6/30/2017	Mayor, City Council, City Administrator, Library Board, Library Director	See Recommendations C2b and L2	Staff time
L5b	Work with the City Administrator on cash handling practices	126	B	12/31/2016	Library Director, City Administrator		Staff time
L5c	Develop an annual report	126	B+	Early 2017	Library Director	Monthly board reports now	Staff time
L6a	Explore alternative revenues, including a library tax levy	129	B+	6/30/2017	Mayor, City Council, City Administrator, Library Board, Library Director	A levy would require voter approval	Staff time
L6c	Assess opportunities for City Hall-Library Plaza improvements and other library facility needs	129	A+	6/30/2017	Mayor, City Council, City Administrator, Library Board, Library Director	New library-type shelving may cost up to $40,000 per library staff	To be determined
L6d	Implement performance evaluations and update job	129	B+	12/31/2017	Library Director (City Administrator assists)	Focus on back-up to director role in Circulation Manager JD	Staff time
L6e	Create a Technology Plan for the library	129	B+	12/31/2017	Library Director (City Administrator assists)	With Recommendations C8 abd L2	IT Consultant

CITY OF LECLAIRE, IOWA

***Draft* Implementation Plan for Mercer Operational and Service Level Study**

MERCER RECOMMENDATIONS		TEXT PAGE	RANK	COMPLETE BY DATE	IMPLEMENTATION LEADERS	COMMENTS	FISCAL IMPACT
Public Works							
PW1a	Create a Strategic Business Plan starting with mission, values, goals, objectives, performance measures, and future staffing	140	A-	6/30/2017	PW Supervisor & Staff (Mayor & City Administrator assist)	Start on basic issues listed at the left and expand once the citywide Strategic Plan is created	Staff time
PW1b+	Create plans for Operations, Capital Projects, and Functions	140	A-	Ongoing	PW Supervisor & Staff (Mayor & City Administrator assist)	Recommendations 1b, c, d. Initial Operations Plan by late 2017	Staff time and possible consultant
PW2	Review the benefits and opportunities of sale of the wastewater utility	142	A+	12/31/2017	Mayor, City Administrator, PW Supervisor & Staff	Attachment B is Mercer's *Decision Matrix for Contracting Services*	Staff time and possible consultant
PW3a	Rework the DPW organization to remove the PW Supervisor from the union and create a #2	144	B+	12/31/2016	Mayor, City Administrator, PW Supervisor	No change in salary	Staff time
PW3b	Maintain present staff but consider more seasonal help	144	B	Ongoing	Mayor, City Council, City Administrator, PW Supervisor	Use existing activity/time data to define Public Works' workload	Salaries for seasonal workers
PW4a/b	Formalize work plans, inventory all assets, and create maintenance & construction standards	148	B+	12/31/2017 and ongoing	Mayor, City Administrator, PW Supervisor	Work Plans = daily, weekly, monthly, annual work	To be determined
PW4c	Expand maintenance programs to all responsbilities	148	A+	12/31/2017 and ongoing	Mayor, City Council, City Administrator, PW Supervisor	Part of Work Plan above. Facilitated by All Max system.	To be determined
PW4d	Revise the call-out program to include all employees	148	B	9/30/2016	Mayor, City Administrator, PW Supervisor		Staff time
PW4e	Develop performance standards for recurring activities	148	B+	12/31/2017 and ongoing	Mayor, City Administrator, PW Supervisor	With PW1	To be determined
PW5a	Conduct cost of service/rate studies for wastewater and garbage services, and assess the benefits of a Stormwater Utility	150	A+	6/30/2017	Mayor, City Council, City Administrator, PW Supervisor	Studies will define rates to recover the full cost of service and fund stormwater projects	Staff time and possible consultant
PW5b/c	Develop a preventative maintenance plan for facilities and replace some equipment	150	B+	6/30/2017 and ongoing	Mayor, City Council, City Administrator, PW Supervisor	Loader/backhoe budgeted in FY 2017	Staff time
PW5d	Update all Public Works job descriptions	150	B	3/30/2017	Mayor, City Council, City Administrator, PW Supervisor	Focus on #2 role for one employee	Staff time
PW5e	Continue to implement All Max software	150	B+	Ongoing	Mayor, City Administrator, PW Supervisor	Equipment management and public work maintenance programs	Staff time