ROLL CALL ORDER FOR MEETING OF
April 6, 2021

Buol, Cavanagh, Farber, Jones, Resnick, Roussell, Sprank

This meeting will be conducted as a virtual meeting.

Due to social distancing guidelines related to the COVID-19 pandemic, City Council members and City staff will participate by webinar and will not meet in person.

- **https://global.gotomeeting.com/join/253156229**
- **You can also dial in using your phone.**
  (For supported devices, tap a one-touch number below to join instantly.)
  United States: +1 (872) 240-3212
  - One-touch: tel:+18722403212,,253156229#
  Access Code: 253-156-229

Ways to communicate with the City Council:
- **Contact the City Council directly from the City's webpage**
  at www.cityofdubuque.org/councilcontacts
- **Contact the City Clerk's Office email at ctyclerk@cityofdubuque.org**

CITY OF DUBUQUE, IOWA
CITY COUNCIL MEETING
This meeting will be conducted virtually
Please see the information above for viewing and listening options.
April 6, 2021

Council meetings are video streamed live and archived at www.cityofdubuque.org/media and on Dubuque's CityChannel on the Mediacom cable system at cable channel 8 and digital 117.2

SPECIAL SESSION

5:00 PM

WORK SESSION

1.   **Governance Workshop**

    Facilitator Lyle Sumek will conduct a Governance Workshop with the City Council.

    This meeting will not be broadcast.

ADJOURNMENT

The agenda with supporting documents may be accessed at www.cityofdubuque.org or at the City Clerk's Office, 50 W. 13th Street, during regular business hours.

This notice is given pursuant to Chapter 21, Code of Iowa, and applicable local regulations of the City of Dubuque, Iowa and/or governmental body holding the meeting.

Written comments regarding the above items may be submitted to the City Clerk's Office, 50 W. 13th

St., Dubuque, IA 52001, before or at said time of meeting.

Individuals with limited English proficiency, vision, hearing or speech impairments or requiring special assistance should contact the City Clerk's Office at (563) 589-4100, TDD/TTY (563) 690-6678, ctyclerk@cityofdubuque.org as soon as feasible. Deaf or hard-of-hearing individuals can use Relay Iowa by dialing 711 or (800) 735-2942.

**City of Dubuque
Special Meeting**

Roll Call #

ITEM TITLE:

SUMMARY:

Buol, Cavanagh, Farber, Jones, Resnick, Roussell, Sprank

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**SUGGESTED
DISPOSITION:**

**City of Dubuque
Special Meeting**

Work Session - Bottom # 1.

ITEM TITLE: Governance Workshop

SUMMARY: Facilitator Lyle Sumek will conduct a Governance Workshop with the City
Council.

This meeting will not be broadcast.

**SUGGESTED
DISPOSITION:**

ATTACHMENTS:

Description	Type
City of Dubuque Code of Conduct and Civility Handout	Supporting Documentation
City of Dubuque Governance Guide Summary	Supporting Documentation
City of Dubuque Governance Guide	Supporting Documentation

**City of Dubuque House Rules:
Code of Conduct and Civility**

Dubuque
All-America City
NATIONAL CIVIC LEAGUE
2007★2012★2013
2017★2019

Respect others –
ideas, opinions, opposing viewpoints and comments

Communicate in an open, honest and direct manner

Be attentive –
actively listen before judging the comments of others

Agree to disagree –
vote, decide and move to the next issue;
criticize in the idea, not your colleague

Follow the "Golden Rule"

Obey and follow Council protocols, rules and the law

Respect the roles and responsibilities of others

Be honest and truthful

Assume good intentions

Respect meeting protocols and the Mayor
as the presiding officer

Respect staff time

Act within your role – a member of the Board of Directors

City of Dubuque: Governance Guide 2020 – 2021

Dubuque
All-America City
NATIONAL CIVIC LEAGUE
2007★2012★2013
2017★2019

CRITERIA FOR JUDGING MAYOR AND CITY COUNCIL SUCCESS CRITERIA

Mayor and City Council developed, followed and implemented the City vision, mission, and plans

Mayor and City Council achieved City Goals, completed annual work program and measured the results – benefits to the Dubuque community

Mayor and Council Members were advocates for community issues

Mayor and Council Members respected the City institution – laws roles, responsibilities, and processes

Mayor and City Council used data to make the best decision for the Dubuque community

Mayor and City Council were open and transparent

Mayor, City Council and the City of Dubuque have collaborative relations with Dubuque County and Dubuque Public Schools

Mayor and Council Members have positive personal relationships and direction

Mayor and Council Members supported the Council decisions and direction

Mayor and City Council have developed and used performance metrics to measure success and progress in making a better community
[e.g. trending to improve]

MAYOR AND CITY COUNCIL DESIRED IMAGE

Are guided by the City vision, mission and plans

Are respected by the community – residents and businesses

Are creating a "community of choice"

Acts in an open, transparent and accessible manner

Are above question – acting in an ethical manner

Have a vision for the future and are forward looking

Are welcoming to all

Act with the "best" interests of the Dubuque community in mind

Are responsible financial stewards – community get their money's worth from the City of Dubuque

Fight for all

Are a model for other city governments

Have civil interactions

HOUSE RULES: CODE OF CONDUCT AND CIVILITY

Respect others – ideas, opinions, opposing viewpoints and comments

Communicate in an open, honest and direct manner

Be attentive – actively listen before judging the comments of others

Agree to disagree – vote, decide and move to the next issue; criticize in the idea, not your colleague

Follow the "Golden Rule"

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Assume good intentions

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Respect staff time

Act within your role – a member of the Board of Directors

PROBLEM SOLVING AND DECISION MAKING KEYS TO SUCCESS

Take time to define the problem.

Take time to discuss desired outcomes.

Define key issues and topics to be explored.

Set parameters for research and investigation.

Research "best practices" and their application to Dubuque.

Identify and evaluate real options.

Establish goals/outcomes and develop a long-term plan.

Ask questions and provide direct response to each question.

Go into the field and "experience" the problems.

Develop a short-term implementation plan with criteria of success, milestones, deliverables and time frame.

Use Workshops/Work Sessions to discuss options and reports.

Provide an executive summary with back-up information.

Have brief presentations which allows time for discussion.

Make timely decisions – avoid over-analysis on minor issues.

Focus on the Policy level, avoid micro-managing the "how".

Take time to evaluate the implementation actions and the outcomes [six-months].

Adjust the plan and actions when needed [need proof before adjustments].

Learn from setbacks – take responsibility and Avoid placing blame.

Support the implementing actions.

Make time to celebrate successes with the community – emphasis on value to residents.

CONFLICT RESOLUTION AND NEGOTIATION KEYS TO SUCCESS

Take time to identify the sources/key issues.

Define your bottom line – an acceptable resolution.

Strive to understand the bottom line by listening attentively to the other party.

Assess your situation – are you prepared for negotiations mentally and with data to support your position.

Develop a negotiating strategy with options and key decision points.

Ask: is it the best time to pursue negotiations; is it our responsibility; is it a value-based conflict, and will the conflict go away if we do nothing.

Begin negotiations.

Identify areas of agreement first, and get closure by taking them off the negotiating table.

Identify resolution options.

Keep your focus on the issues and resolutions – avoid personal attacks or accusations.

First, look for win-win, creative options – new ideas.

Second, trade off to find an acceptable middle ground.

Take time during negotiations to summarize.

Test any resolution/closure with all parties.

Agree on the resolution – summarize one more time.

Support and own the resolution when you leave to the room.

If you cannot support the resolution, state your position before leaving the room.

Use Work/Study Session to negotiate – formal Council meetings are a difficult environment to negotiate.

Recognize that City staff can help by providing options during the negotiations.

Throughout keep the relationship in mind – the tone set during negotiations.

PROTOCOLS: SUMMARY

Simple Information Request

Research on a Topic

Citizen Service Request

Council Agenda

Communications

City Employee Contact

Email

Representative/Liaison

Information Technology

Council Meeting State Times

Table of Contents

SECTION 1

LEADERSHIP AND GOVERNANCE WORKSHOP 2020: OUTCOMES AND AGENDA

City of Dubuque
Leadership and Governance Workshop
January 2020

OUTCOMES

- To provide a framework for Mayor-City Council Effectiveness as the Governing "Board of Directors" for the City of Dubuque;
- To develop/enhance the working relationship among the Mayor-City Council and City Manager through better understanding of each other and the individual operating styles;
- To review/refine/commit to "House Rules" and "Operating Protocols" that guide the governance process and Mayor-Council Members-City Manager interactions;
- To address and provide direction to a variety of governance topics that refine how the new Mayor-City Council will operate
- To review the Strategic Plan 2020 – 2025 – 2035 and refine the Plan short term

AGENDA

1. Leadership and Governance Workshop: Overview
   a. Outcomes
   b. Agenda
2. City as a Team
   a. Mayor and City Council as the "Board of Directors"
   b. Governance-Management-Service Delivery Processes
   c. Successful Teams = G.R.E.A.T.
   d. Dubuque as a "Championship Team"
3. Leadership during Increasingly Turbulent Times
4. Understanding Our Team Members: Understanding and Appreciating Differences
   a. Problem Solving and Decision Making
   b. Negotiations and Conflict Resolution
   c. Keys to Effective Working Relations

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5. Mayor-City Council
   a. My Legacy...
   b. Success means…
   c. Desired Image…
6. House Rules: Code of Conduct and Civility
   a. Review
   b. Refinement
   c. Commitment
7. Council-Manager Protocols: Mayor/City Council and City Manager in Action
   a. Review
   b. Refinement
   c. Commitment
8. Roles and Responsibilities: Expectations and Actions
   a. Council Member
   b. Mayor
   c. City Manager
   d. City Attorney
9. Other Governance Topics
   a. Discussion
   b. Direction
10. Preparation for Strategic Planning
   a. Strategic Planning Model for the City of Dubuque: Review
   b. Key Elements
   c. Strategic Plan 2020 – 2025 – 2035: Overview
   d. Connecting the Elements – Process

SECTION 2

CITY AS A TEAM

Council – Manager Form of City Government

BASIC PREMISES

* **Power in the Council: Board of Directors**

* **Professional Management and Service Delivery**

* **City Manager as the Chief Executive Officer**

* **Focus on Community as a Whole**

* **Council Responsible for Policy**

* **Minimize <u>Personal</u> Political Influence**

* **Citizens Involved in Governance**

* **Nonpartisan**

* **Competency and Merit**

Council – Manager Model

Working Model

**Mayor/City Council
Boards/Task Forces**

GOVERNANCE
"WHAT"

Needs/Desires

Information

Expectation

Advocacy

Feedback

**City Manager
Department Managers
Division Heads
Supervisor**

MANAGEMENT
"HOW"

**Employees
Volunteers**

SERVICE
"ACTIONS"

Results

Impact
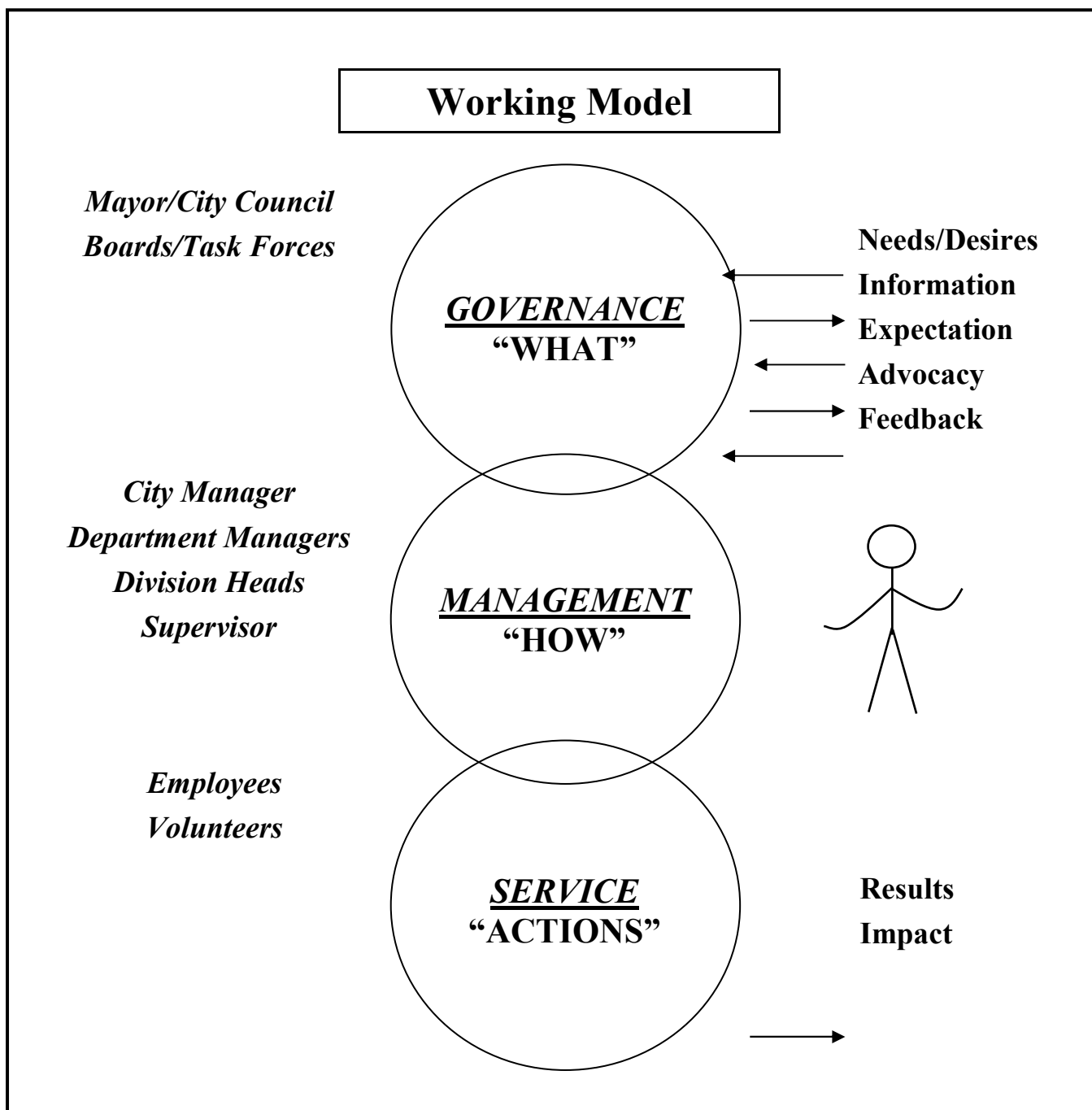
The City

GOVERNANCE means . . .

- Listening to the citizens
- Anticipating and focusing issues
- Determining vision and values
- Decision making on direction and resources
- Setting the "tone" for the city
- Monitoring staff performance
- Educating the citizenry
- Mobilizing support in the community

MANAGEMENT means . . .

- Analyzing issues
- Developing professional recommendation
- Decision making on programs and resources
- Setting the "tone" for the organization
- Developing programs and systems
- Determine implementation plans and strategies
- Educating and developing employees
- Evaluating and adjusting performance

SERVICE DELIVERY means . . .

- Developing operational plans and tactics
- Organizing the work unit
- Implementing decisions and programs
- Responding to citizen problems
- Maintaining equipment and facilities
- Providing quality services and products
- Developing work unit and employees
- Evaluating services and citizen impact

Board of Directors Responsibilities

OVERVIEW

1. **Determine Your Core Businesses**

2. **Define Goals for 5 Years**

3. **Develop Strategies**

4. **Establish Annual Agenda – "To Do" List**

5. **Make Policy Decisions**

6. **Listen to Community – the Stakeholders**

7. **Be an Advocate**

8. **Delegate to City Staff**

9. **Monitor Performance and Results**

10. **Set the "Corporate" Tone**

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11. **Hire/Fire Chief Executive Officer**

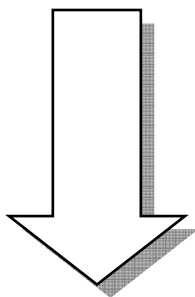| Responsibility 1 | Determine Our Businesses – The Responsibility of City Government |

Community Needs

Basic Services/Products

Service Levels

Services that Enhance Quality of Life

Resources to Support Services

CORE BUSINESSES THAT
HAVE VALUE FOR
STAKEHOLDERS

Responsibility 2	Define Goals for 5 Years – Our City's Destination

Desire for Your City's Future

Community Uniqueness

Community Assets: Worth Preserving

Characteristics of Our Community – Today, in the Future

Dreams, Visions, Hopes
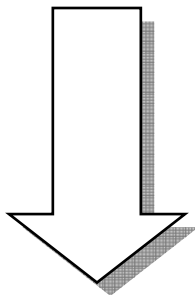
**OUTCOME BASED GOALS
THAT CAN GUIDE DECISIONS
AND ACTIONS**

Responsibility 3	Develop Strategies – Strategic Investments and Action

Analysis of Gaps

Forces Shaping the Future – Ability to Influence

Legal Framework and Regulations

Opportunities Today and On the Horizon

Critical Needs – Short-Term
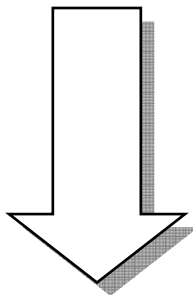
STRATEGY FOR ACHIEVING GOALS THAT OUTLINES ACTIONS, INVESTMENT AND TIMELINE

Responsibility 4	Establish Annual Agenda – "To Do" List of Targeted Actions

In Progress

Policy Voids and Needs

Major Projects

New Programs

Resources
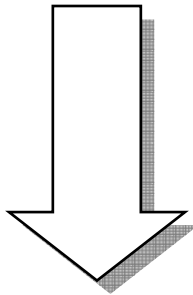
AGENDA OF TARGETS FOR COUNCIL ACTION THAT IS AN ANNUAL "TO DO" LIST

Responsibility 5	Make Policy Decision – Direction on Key Issues

Specific Outcomes and Performance Expectations

Policy Statement/Position

City's Role and Responsibility

Framework for Action

Resources
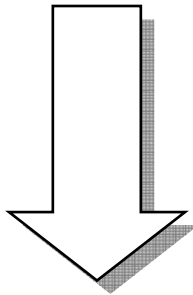
**DECISIONS PROVIDING CLEAR
DIRECTION TO CITY STAFF
AND COMMUNITY**

Responsibility 6	Listen to Community – Messages from Stakeholders

Beyond the Vocal 20% . . .

Desires for the Future

Needs: Short-Term and Long-Term

Concerns

Expectations

Partnering and Involvement
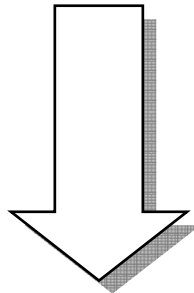
MESSAGE FOCUSING ON MAJOR THEMES THAT RELATE TO CITY'S RESPONSIBILITIES

Responsibility 7	Be an Advocate – Education and Support of Stakeholders

Understanding City Government – "Civics 101"

Responsibilities of Citizenship

Representation of City: Policies and Corporate Body

Cheerleading and Inspiration

Celebration
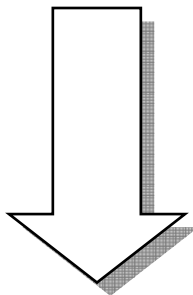
REPRESENTING CITY AS ADVOCATE DIRECTION TO CITY STAFF AND COMMUNITY STAKEHOLDERS

Responsibility 8	Delegate to City Staff – Clear Directions and Parameters

Closure on Issue

Directions

Parameters: Guidelines and Resource

Expectations: Outcomes and Process

Criteria for Measuring Success or Completion
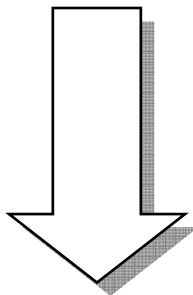
DELEGATING BY SETTING DIRECTION AND INSPIRING OTHERS TO FOLLOW THROUGH

Responsibility 9	**Monitor Performance and Results – Clear Feedback to Staff**

Progress Reports

Adjustments: Direction

Refinement: Actions

Problem Solving

Accountability for Results and Impact
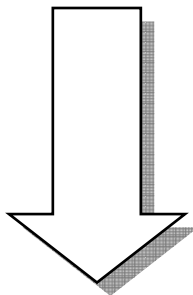
PERFORMANCE MONITORING THAT ADJUSTS THE COURSE OF ACTIONS TO "BEST" ACHIEVE OUR GOALS

Responsibility 10	Set the "Corporate Tone" – Guiding Values and Principles

Behavior at Council Table

Comments in the Community

Treatment of City Staff

Respect for Stakeholders

Impact of Process – "How" Things Are Done
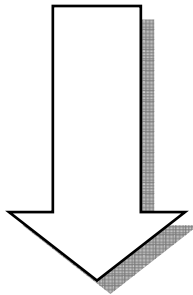
CORPORATE TONE REFLECTS VALUES THAT GUIDE MANAGERS AND EMPLOYEE ACTIONS ON A DAILY BASIS

Responsibility 11	Hire Chief Executive Officer – Manager

Responsibilities

Selection

Supervision

Feedback

Performance Standards and Evaluation
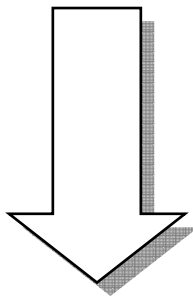
CITY MANAGER (CEO) THAT "FITS" OUR COMMUNITY, OUR CITY AND CAN HELP US ACHIEVE OUR GOALS

Effective Teams
Model

Effective TEAMS Are:

Goals

"Unifying Purpose and Goals"
- **Goals – Outcomes**
- **Work Programs – Game Plan**
- **Strategy – Action Steps**

Roles

"Individual Contribution"
- **Valuing Individuality**
- **Responsibilities Defined**
- **Practicing Teamwork**

Execute

"Produce Results through Actions"
- **Analyze ⟶ Decide**
- **Act ⟶ Impact**
- **Evaluate ⟶ Adjust**

Attitude

"Willingness to Work Together"
- **Respect for Each Other**
- **Cooperation and Openness**
- **Celebrating Success: Momentum**

Trust

"Commitments Becomes Reality"
- **Learning from Setbacks**
- **Guidelines**
- **Support Each Other**

Winning Teams

LOSER

Conflict   Turmoil

No Hope for Future

Internal Fighting

Personal

COMPETITIVE

Okay

Short Term

Compete, but Do Not Win

SUSTAINING

WINNER

Achieve a Goal

Claim Success

A Leader

Game Plan

Guided by Achievement

CHAMPION

Refocus Direction and Goals

Share Successes

Many Leaders

Strategy

Guided by Outcomes
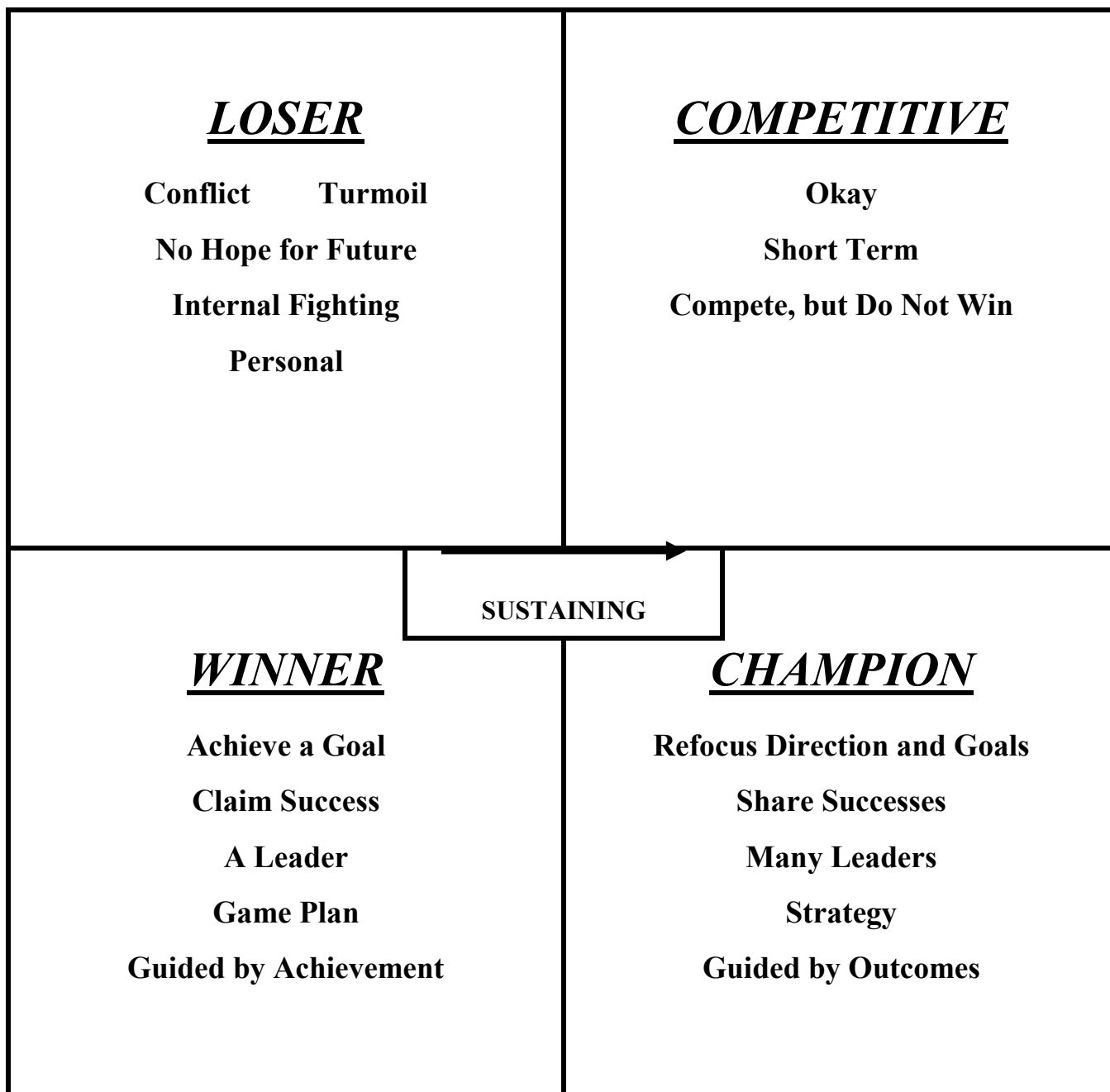
Winners Versus
True Champions
Comparison

Winners	Champions
Keep the Focus	Refine Goals
Share Responsibility as Leaders	Look For and Develop Leaders
Use a Game Plan	Prepare for New Challenges
Build Teams	Develop Teams
Listen to Citizens	Reach Out to Citizens
Have Agendas	Take on a New Project
Celebrate Successes	Market Success

Today many cities can be characterized as "Winners." Few cities can be characterized as "True Champions." This true model provides insights distinguishing "Winners" from "Champions" and laying a foundation for championship action. The message to Mayors and Council is to look at: Are we a winning team? What do we need to do to become a champion team? The responsibility is yours as city leaders.

The Champion

Now let's turn to the "True Champion."

The "champion" not only wins for the season, it also wins over time. Champions do not rest on their laurels but accept their victory as a foundation for building a better future. The champion sees a winning season as an opportunity to work harder for our next season in order to sustain excellence over time. "True Champions" have the following seven characteristics.

1. **Refine Goals**
   Champions take the goals from their winning season and refine them for the future. It means evaluating their benchmarks of success and refocusing on new opportunities for the future. For city government, Mayors and Councils define more specific goals that have more focus of purpose. The benchmarks are monitored to evaluate the impact of the actions in achieving the defined goals. With an eye on the horizon, opportunities are anticipated. Champions are always looking at ways of refining their goals.

2. **Look for and Develop Future Leaders**
   Champions are always looking for fellow champions in their community. These are individuals who have the potential for effective contribution and leadership within the city. On championship teams the leaders look for future leaders. They identify these individuals and encourage them to participate in the process. They serve as a coach and mentor, expanding their knowledge and developing specific skills of leadership. Champions do not see future leaders as a threat, but partners in expanding the city's resources and accomplishments. Champions are always looking for future champions.

3. **Prepared for Next Challenge**
   Championship teams refine the process and continue to have an eye on the horizon. They avoid worrying that 'what ifs' may happen. They focus on what they have an ability to control or influence. Champions continue to give. They spend less time worrying about their setbacks and more on improving the process for the future. In cities it means that Mayors and City Councils look to their process – how they govern the city; how they relate to the city staff. Champions believe that if the processes are in place, the next challenge can quickly become an opportunity.

4. **Develop Teams**

   Champions continue to learn and to grow. Champions see the importance of taking time for meaningful evaluation. They seek feedback on their performance and listen to others' perspectives. They recognize that championship teams who are not developing, die. When that happens, the team gets in a defensive posture focusing on surviving as a team rather than developing for the future. On championship teams, individuals grow and provide new contributions to the team based upon their own personal growth. A "champion" recognizes that individual growth will enhance team effectiveness for the future and continue pursuit of learning. In cities, Mayors and City Councils look to developing their team and the city team that they lead. Champions avoid stereotyping individuals on their contributions to the team effort.

5. **Reach Out to Citizens**

   Champions recognize the need to continually go back to their roots – what has made them successful. Champions keep going back to the basics. They avoid the sense of arrogance and complacency by reaching out to their fans. For Mayor and Council it means reaching out to the community. They can identify a new group to go visit – a new part of the community to talk to, to look at, to get out of their cars and to walk and to look. Communities are dynamic and championship communities recognize the dynamic nature and respond accordingly. Champions recognize that you may not agree with the other person's perspective, but for them the perspective is real. A champion builds new fans who can be partners in future success. Therefore, if we are going to continue to be champions we must have an ability to address their perceptions. Champions reach out beyond the political supporter and 'safe' group to their emerging communities.

6. **Search for a New Project**

   Champions always need a new project. New projects bring on a sense of opportunity and a sense of excitement. It is an opportunity to recharge the batteries and renew the team spirit. A new project is one that provides a new challenge for the championship team as a whole and the individual members of the team. In cities, it is a challenge for Mayors and City Councils to find a visible project that can have a timely impact on the community. On a championship team, everyone supports the new project. A word of caution: the new project should not take away from the completion of the old agenda.

7. **Market Successes**

   Championship teams share their successes with their fans. They recognize that "fans" are partners in the success. Championship cities share their successes with their partners who have helped them to achieve their goals, with the interest groups that support the city government, and the citizens to whom there is a sense of stewardship. Mayors and City Councils have been entrusted with significant responsibilities with public resources. The marketing of the success and letting citizens and partners know of the accomplishments will lead stakeholders to feel that they have gotten their money's worth and that the effort of the city was worthwhile. In today's world, the media coverage of government is predominately 'negative.' The failure of government, the imperfection of politicians. Even champions lose games, but they do not let them detract from future success. The importance for marketing is paramount to successful championship cities. Marketing is sharing the good news, helping individuals understand the direction and accomplishments, and mobilizing the support for the team. Success builds a momentum for future "championships."

Champions continually work to be champions. They do not rest on their laurels, but seek ways of enhancing their performance. Champions get better over time.

Pitfalls for Winners

Arrogance – Feeling that We are Better than Others

Attitude of Complacency

Assuming Goals and Focus

Taking Relationships for Granted

On Top of Big Issues

Worrying about the Crisis

Wrap Up Mentality

Personal Prominence

Pitfalls for Winners
Sowing the Seeds of Failure

After a team wins the Super Bowl, the World Series, the NBA Championship, there is always the potential to get wrapped up in the "winning season". The winning season then provides significant challenges for leaders who want to be champions.

The pitfalls for "winners" are:

- **Arrogance – A Feeling that We Are Better than Others**
  In applying the concept of arrogance to cities, it means that Mayors and City Council lose their feeling for the true, total community. The focus becomes special interest groups that have shared in the success and who have a comfortable relationship with Council. They are predictable and supportive. Input becomes selective, relying on these few, rather than reaching out to others in the communities. The Council gets a feeling that "we know what is best" and begins to view citizen input through a "tinted lens." Sometimes they retrench into their political shells. The assumption is the citizens will recognize our winning efforts for the community.

- **Attitude on Complacency**
  The feeling "we are fine, we are now here" challenges winners. However, as you take the words "now here," it can easily become "no where." In cities, complacency occurs when the Council assumes the winning efforts will continue with minimal effort. Less time is spent on issues; less time is spent on process – how we govern our cities. It is assumed that certain issues will be handled in a quick and timely manner. Council members become impatient and minimize critical feedback. Councils worry more about getting out of the meeting in a quick and deliberate manner, rather than whether the issue has been thoroughly discussed and analyzed.

- **Assuming Goals and Focus**
  Winners have goals. Winners accomplish goals. Winners get distracted from their goals. They may see no need for a goal-setting workshop and cancel it. The challenge for Mayors and City Councils is to continually review and refine their goals from year to year. This becomes the focus of their energies – focusing on what is more important for the community. As events occur and times change, there is always a need in the city to refine the goals and redirect energies. This keeps the focus on the future rather than becoming consumed with today.

- **Taking Relationships for Granted**
  Winners succeed because of the willingness to work together to get and sustain major votes. The working together is based upon the development of positive work relationships over time. It is an understanding and appreciation of individual contributions. It is an understanding of what roles each member plays. It is an understanding of how others will behave and react in different situations. However, as in any relationship, we assume that it will continue with minimal work on our parts. In marriages, this assumption many times leads to divorce. With Mayors and Councils, it leads to a break down in the governance process and the election at the polls. Focusing on petty irritants in the relationship challenges winners. Teamwork gradually begins to disappear. As a result, over time, winners can find a relationship on a dysfunctional slide, which results in increased interpersonal conflict and tension.

- **On Top of Big Issues**
  Winner's success comes from getting on top of big issues. In cities, winning Mayors and City Councils have defined future goals and developed an action plan to accomplish those goals. For winners the feeling of success on big issues leads to a feeling of freedom to pursue individual agendas. With Mayors and City Councils the big issues have been addressed, so what is on the next agenda? The next agenda becomes filled with individual action items, most of which are not of major significance. As the individual items begin to consume more and more staff time, the city staff can become confused and question the true direction for the city and the individual motivations of Council Members. The city begins to lose its focus with resources being diverted to these individual agendas and issues.

- **Worrying about the Crisis**
  After a winning season, winners begin to worry can we repeat. If the tension builds and concerns about winning become predominant, the goal is winning rather than addressing the issues and being successful. We lose the focus on what brought us the success of winning. We wonder what the next issue on the horizon is that will become our crisis, the next major political challenge for us as city leaders. Like with any team, when any individual players become tense the performance deteriorates. Winners find themselves losing the game and losing on issues. You start to look for crises and, in many cases, begin to generate the crisis. For Mayors and Councils it is an easy issue that can be handled quickly that becomes a major crisis because of over-analysis and over-concern.

- **Wrap Up Mentality**
  Winners become challenged by the mentality that all we need to do is sustain our effort for the next season. For cities, it means all we need to do is to complete our projects and wrap up our reports. The wrap up mentality shortens the horizons from focusing on the future to focusing on today. The focus of the goals becomes lost as we wrap up the issues. Life becomes boring because of no future challenges. We get impatient in our desire to wrap up issues in a timely manner. As a result, little problems can become major impediments to future success.

- **Personal Prominence**
  With the success of being a winner, individuals gain prominence. Winners let the prominence, at times, go to their heads and forget the team effort that was needed to produce that winning season. Individuals get a glorified sense of their own importance. For Mayors and Councils it is the media focusing on individual contributions and accomplishments, rather than successes of the city. We forget that there is no "I" in "Team." Our focus is on ourselves individually, rather than our city's future. For some Mayors and Councils, personal prominence is perceived as being important for future political success. Individuals begin to claim credit for the policy or action and are less likely to share credit with the team.

- **Getting Away from the Game Plan**
  Winners feel they have got a successful game plan. The game plan worked for the last season. We need to communicate less and spend less time talking with each other. We need to spend less time with the process because the process is embraced. There is no need to fine-tune our game plan. There is no need to understand each other. I already know where they are coming from. In cities, Mayors and Councils take less time in work sessions and in their formal meetings. There is less discussion of individual ideas and perspective on issues. There is less discussion of future horizons. There is growing impatience with drawn out processes and at times with each other. Individuals may self-censor their comments, figuring that others are not interested or think they have heard that once before.

These are the pitfalls that challenge winners and the response to these challenges distinguishes "Winners" from "True Champions."

12 Points of an Effective Mayor and City Council

1. **Focus on and Use Vision, Goals and Priority**
   - Define the city's preferred future
   - Establish outcome-based goals
   - Think about value to the community
   - Use to allocate resources, to develop plans and policies, to invest in the future

2. **Make Timely and Courageous Decisions**
   - Use vision, goals and priorities to use decisions
   - Seek and use input from community and city staff
   - Evaluate options through committees and work sessions
   - Decide on what is "best for the city"

3. **Provide Clear Direction and Expectations**
   - Obtain clear closure
   - Define outcomes, measures of success and time frames
   - Delegate assignments to Boards and Councils, and to city staff
   - Make sure to summarize and test closure to make sure that everyone has the same understanding

4. **Negotiate**
   - Know your own bottom line
   - Look for common ground and areas of agreement first
   - Use work session and committees to negotiate
   - Win with grace, lose with grace

5. **Treat Others with Respect**
   - Be courteous, polite and trustworthy – avoid personal attacks
   - Deliver on your commitments
   - Act within your defined roles
   - Value the contributions of others

6. **Have Open Communications**
   - Communicate using direct, open messages
   - Keep everyone informed and avoid surprises or hidden agendas
   - Listen and understand before judging
   - Use simple and focused messages that people can remember

7. **Monitor Performance**
   - Obtain regular progress updates/status reports
   - Meet quarterly to review and refine direction
   - Evaluate the outcome and actions, and make modifications
   - Take responsibility for the actions and be accountable for the results.

8. **Have a Community Presence**
   - Be accessible to the citizens and community
   - Go into the community beyond your political supporters
   - Take time to develop effective working relationships with community partners
   - Be a positive advocate for the city

9. **Act as a Board of Directors**
   - Know your community – view it as the "market place"
   - Focus on providing policy direction
   - Delegate clear responsibility to the city Manager as the C.E.O.
   - Avoid micromanaging and the daily operations

10. **Think Strategically**
    - Institutionalize the goal setting process
    - Identify key partners who can bring resources to the table
    - Define alternative routes and steps to destination – the vision
    - Keep the "big" picture in mind

11. **Align the City Organization**
    - Appoint individuals to Boards and Councils who share your passion for the city and the vision for the future
    - Define the core values to guide "how the city should operate and be managed"
    - Employ the "right" city Manager for your city
    - Hold other accountable for their behaviors, actions and the results

12. **Share Success and Celebrate**
    - Communicate "Our City Success" in terms that the average citizen will understand
    - Use celebrations that create a positive memory – value that the city has added to people's lives
    - Recognize others who have contributed to the city's success
    - Remember people want to be associated with "winners"

Governance
The Responsibility of Mayor and Council

The Mayor and City Council Govern by . . .

- **Listening to Citizens: Dreams, Ideas, Concerns**

- **Informing Citizens: City Government, Goals, Policies, Programs**

- **Mobilizing Supportive Partners for Cooperative Efforts**

- **Developing Goals for City's Future**

- **Setting the Tone and the Image – By How Business is Conducted**

- **Making Decisions: Direction, Policy, Goals, Programs, Resources**

- **Monitoring Performance and Seeking Feedback on Impact/Results**

- **Making Adjustments – Keeping the Goal in Mind**

- **Learning About the Community, City Operations**

- **Being Responsible for Decisions and Actions**

- **Being Community Leaders**

Governance Grid
Conflicting Approaches

Future

DREAMER

- Belief in the "Cause"
- City – Save the World
- Personal Agenda
- Philosophical Orientation
- Spend Money
- Staff – Take Care of Details

LEADER

- Clear Vision
- Work Program
- Clear Rules & Responsibilities
- Big Picture Outlook
- Mobilize Support
- Trust
- Work on Little Successes

*Horizon
for
Planning*

CRISIS MANAGER

- Goal Change Daily
- Respond to "Crisis"
- "Monday Morning QB"
- Focus Now
- Personal Data Based on
   Experiences
- No Ground Rules

PROBLEM SOLVER

- Business-Like Approach
- Look to Bottom Line
- Detail Oriented
- Desire Flexibility
- Recycle Complex Problems
- Directive Approach to Staff
- Timely Action

Near

Narrow   *Wide*

Scope of Decision Making

Challenge – Become a Leader

Life Cycle of City Council

Phase/ Component	Infancy (0-3 Months)*	Action (0-18 Months)*	Survival (2-9 Months)*	Legacy (0-2 Months)*
Aim	• Lay foundation	• Action toward goals	• Re-election or leave gracefully	• Leave with action • Pass time
Characteristics	• Exposure • Gaining knowledge • Clarifying relationships • Exchanging information	• Realistic expectations • Trust • Citywide view • Evaluation with corrective action • Ownership • Analysis of issues	• Avoidance of issue • Concern for election • Less Trust • Focus on visible issues or minutiae	• "Wait and see" attitude • Confrontation of tough issues
Behavior	• Avoidance of conflict • Dependency • Reaction to pressures • Decision without analysis	• Collaboration with staff • Sharing responsibility • Mobilization of support	• Personal attacks • Posturing • Dropping out • Seeking out pressure group	• Dropping out • Collaboration with staff
Implications	• Decision recycling • Unfulfilled expectations • Inconsistency	• Action on issues • Separation of city and citizens	• Unpredictability • Tunnel vision • Reactive to pressure	• No significant action

Length of time depends on the community and tradition

Community-Based City Government

CITIZENS

Neighborhoods

Community Organizations

Task Forces

Boards

**City
Council**

City Community

City Organization

**City
Manager**

**Department
Directors**

Department Managers

Supervisors

EMPLOYEES
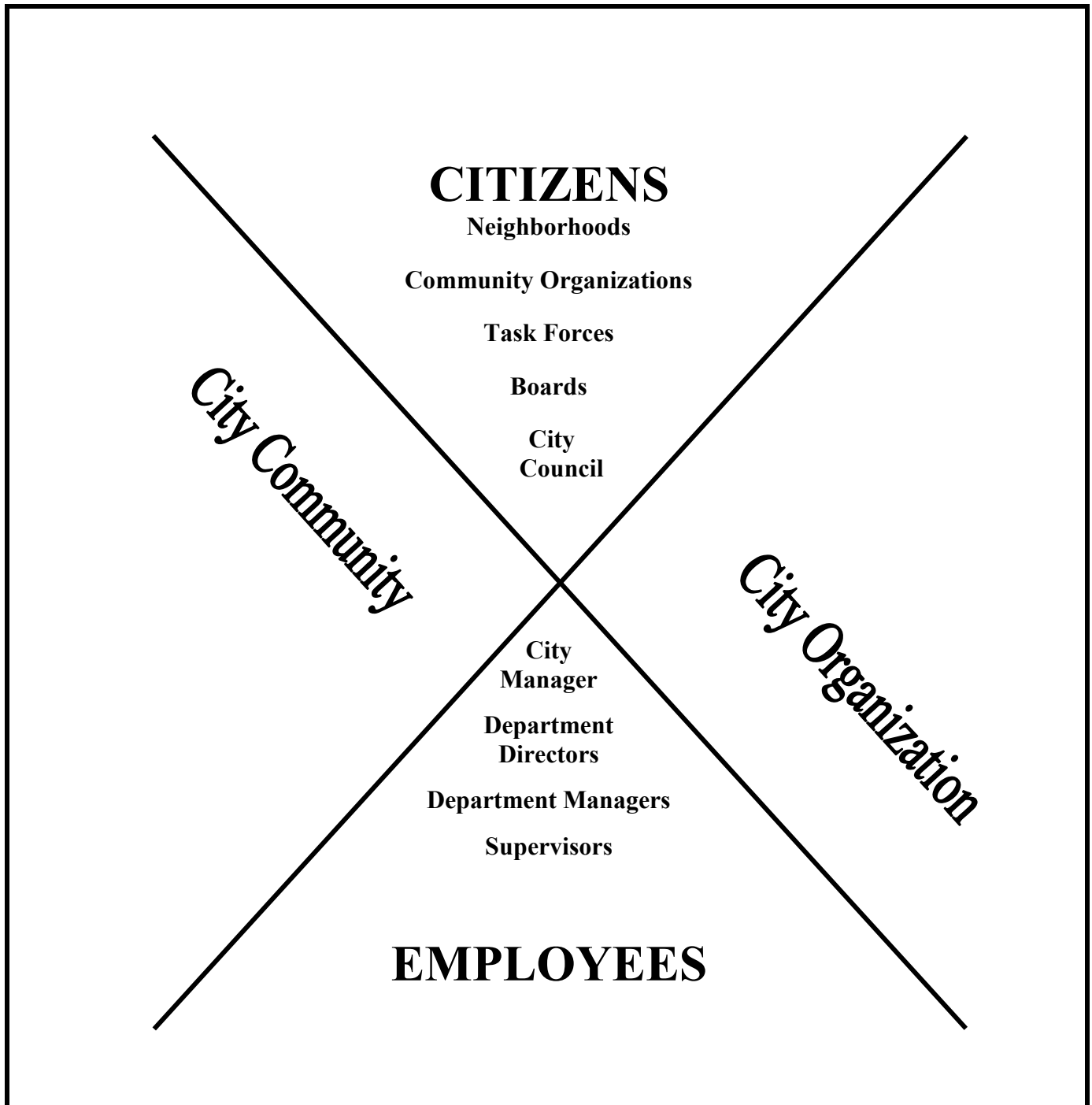
SECTION 3

LEADERSHIP DURING INCREASINGLY TURBULENT TIMES

Governance Vs. Politics: a Simple View

Governance is serving the community;
Politics is getting elected or re-elected.

Governance is being guided by vision, goals and value to the community;
Politics is being guided by ideology, a cause or philosophical principle.

Governance is shaping the community's future for the long term;
Politics is responding to the moment and current "crisis".

Governance is taking responsibility;
Politics is making promises.

Governance is exercising an ability to influence others;
Politics is the use of power.

Governance is finding pragmatic solutions to problems through collaboration;
Politics is starting with solutions in mind.

Governance is being data driven;
Politics is playing to people's emotions.

Governance is negotiating by trading off to find a workable compromise;
Politics is demanding and advocacy to win.

Governance is educating and mobilizing support;
Politics is rallying supporters and creating zealots.

Governance is creating community benefits and value;
Politics is taking personal credit and receiving personal recognition.

TODAY'S CRISIS: Politics trumping Governance

Governance:
Framework for Effectiveness

GOVERNANCE REALITY

1. **You are "The City" – you are now "Them."**

2. **Legal frameworks (Federal, State and City laws, city charter/codes) define operating parameters for the City's governance process and the Mayor and City Council.**

3. **There is No choice of who are your team members – the electorate identify them.**

4. **Council members may be elected At Large or by Ward/District, and all are responsible for the City.**

5. **Mayor and City Council is the Employer of the City Manager – the Chief Executive Officer.**

6. **Mayor and Council members are 24/7 to the community – hard for the community to separate you as an individual and you as a City representative.**

7. **Every decision that is made by the Mayor and City Council create the community's future.**

8. **Mayor and Council member behaviors and comments set the tone of governance for the City and define civility in City governance.**

9. **On controversial issues, the best decisions require collaboration amongst the Mayor and Council members to arrive at a compromise – everyone has a feeling of a "win".**

10. **A vote of "3" decides.**

11. **Mayor and Council members are the leaders of the City government – a community institution.**

BOTTOM LINE: Mayor and City Council are the "Board of Directors" for the City – a major corporation.

GOVERNANCE EFFECTIVENESS QUESTIONS

MAYOR AND CITY COUNCIL EFFECTIVENESS

1. **Do we make policy decisions focusing on WHAT?**

2. **Do we make decisions based upon what is Best for the Community as a whole?**

3. **Are the Mayor and City Council policy deliberations based upon open communications, negotiations to resolve difference and collaborative problem solving?**

4. **Do we make decisions that are guided by our Vision, Goals and Mission?**

5. **Do we make decisions that balance data driven staff recommendations and input from the community?**

6. **Do our decisions delegate responsibility and authority to the City Manager?**

7. **Do our decisions provide clear direction – our desired outcomes and performance expectation?**

8. **Are our decisions consistently supported by Mayor and City Council action as a governing body and as an individual?**

9. **Do we take time to evaluate our decisions during implementation and make adjustments based upon data based feedback?**

GOVERNANCE EFFECTIVENESS QUESTIONS

INDIVIDUAL EFFECTIVENESS

1. **Do I behave in a respectful manner and act with integrity?**

2. **Do I act in an ethical manner – above question?**

3. **Do I work with Mayor – City Council – City Manager team as a whole?**

4. **Do I know and use our Vision, Goals, Mission and Policies to guide my actions?**

5. **Do I negotiate with others to work through differences, and to find a common ground, compromise or consensus?**

6. **When I make a decision/cast my vote, do I balance the data presented, recommendations from City staff and what I think is best for our City and Community?**

7. **Do I represent and support the City Institution – responsibilities, policies and decision?**

8. **When I listen to a resident/business about a problem or concern, do I avoid making commitments or agreements before checking with the City management or staff?**

9. **Do I listen with an open mind to understand before drawing a conclusion?**

10. **Do my actions and comments support the adopted Policies and Decisions?**

11. **Do I bring forward problems with policies and decision implementation to the City Manager and the Mayor and City Council?**

12. **Do I avoid directing City staff on an individual basis?**

Policy Leadership:
Avoiding the Implementation Gap

POLICY DEVELOPMENT – Responsibility of Mayor and City Council

1. **Define the issue(s)**

2. **Define the desired outcomes for the community**

3. **Seek and listen to input from the community**

4. **Review existing City plans, policies and practices**

5. **Receive a complete, data based report with options [City Manager's responsibility]**

6. **Deliberate to resolve issues and develop specific policy framework**

7. **Determine performance expectations**

8. **Decide policy guided by Vision and outcome-based Goals**

9. **Provide a clear direction to City Manager**

10. **Provide the resources for implementation**

11. **Receive reports on the effectiveness and community outcomes [City Manager responsibility]**

12. **Support consistently the policy until policy changes**

13. **Provide feedback to the City Manager: observations, feedback and problems/concerns**

14. **Decide to modify policy [when the policy is not working – achieving the desired community outcomes]**

POLICY IMPLEMENTATION – Responsibility of City Manager

1. **Create an energized organizational culture based on best practice, innovation and creativity**

2. **Link policy implementation to City plans and other policies**

3. **Define the implementation process, responsibilities and parameters/guidelines**

4. **Delegate to departments for follow through**

5. **Encourage interdepartmental collaboration and teamwork**

6. **Monitor performance and implementation by departments**

7. **Evaluate community outcomes: policy outcomes vs. actual experiences**

8. **Provide data based update reports to Mayor – City Council**

9. **Provide revised policy options/alternatives when needed**

10. **Celebrate City achievements and recognize performance**

POLICY PITFALLS

1. **Starting with solutions in mind**

2. **Over analysis**

3. **Lack of meaningful options and alternatives**

4. **Little/excessive community input**

5. **Vague directions which are open to multiple interpretations**

6. **Mixed and inconsistent messages from Mayor and City Council during implementation**

7. **Making individuals "happy" at the expense of community benefits**

8. **Ineffective negotiations and deliberations**

9. **Reluctance to have an open discussion of the issue**

10. **City staff directing the Mayor – City Council**

11. **Personal agenda/discussion dominate over community benefits and value**

12. **Continuously modifying policies especially individual exceptions**

Community Leaders and Community Stewards...
Dying Breeds

When elected, Community Leader/Community Stewards focus on creating a better community – a legacy of a better life for current and future residents.

The Community Leader…

1. Once elected, move to providing leadership for the community

2. Is respected in the community, other elected officials and City professional staff

3. Respects others – all

4. Respects the laws, legal framework, City policies and City processes

5. Acts for the best interests of the community

6. Has "political" roots in the community – working relationships with power brokers, community organizations and other community institutions

7. Values an ongoing strategic planning process

8. Has a vision for the community's future

9. Collaborates with Council and City Manager to plan for the future and resolve issues/problems

10. Strive for everyone to have a sense of a "win" – they got something

11. **Is a positive representative for the City and community**

12. **Is a strong advocate for the City and community**

13. **Communicates with all Council Members**

14. **Steps forward to facilitate the resolution conflicts – among Council, Council and City Manager**

15. **Facilitate effective Council meetings**

16. **Defines performance standards and holds other accountable**

17. **Works with and develops a special relationship with the City Manager**

18. **Works to align the Mayor and City Council as the governing body with the professional organization**

19. **Instill confidence in City government with others**

20. **Is recognized as the leader of the Council**

The Community Stewards...

1. **Once elected, move in governing for community benefit**

2. **Recognize the Mayor and Council as a "Board of Directors" and not a Legislature**

3. **Views the community as the primary "customer", not each individual**

4. **Balance personal agendas with community agenda**

5. **Value the establishment of an on-going strategic planning process**

6. **Are able to look to the longer term...beyond today**

7. **Are respectful of their colleagues, residents and City staff**

8. **Seek guidance from the City Manager**

9. **Define performance expectations**

10. **Support and defend City staff**

11. **Provide feedback and advice in private**

12. **Seek to engage the entire community**

13. **Are strong advocates for a few specific issues**

14. **Have limited presence in the community**

15. **Defer to others for broader "community leadership"**

16. **Are uncomfortable dealing with the "Politicians" or "bullies" with personal agendas**

17. **Define outcomes**

18. **Seek compromises that best serve the community**

19. **Solve problems and resolve issue working with and through staff**

20. **Support the decisions of Mayor and City Council – support the majority action**

21. **Are "quiet" voice for reason and the community**

Politician Vs. Statesperson: Basic Definitions

Politician – person who:

- **holds public office who is more concerned about winning favor or retaining power than about maintaining principles**

- **is skilled in political government**

- **seeks to gain power within an organization in ways to further their personal or political interests**

- **acts in a manipulative and devious way for personal or political gain**

- **has no interest in setting common goals**

- **uses personal power to dominate public development**

- **makes promises**

- **thinks about the election**

- **tells you what you want to hear**

- **start with solutions in mind**

- **frequently uses social media to promote self**

- **promotes the interests of campaign contributors**

- **attacks others to make self look good**

- **thinks about self interests in the constituents' service**

Statesperson – a person who:

- **is experienced in the art of government or government affairs**

- **exhibits great wisdom and ability in directing the affairs of government or in dealing with important public issues**

- **is an experienced, respected political leader**

- **believes in setting goals for the future**

- **shares their wisdom on public policy issues**

- **shapes public policy by working with others**

- **stands by his/her ideas and principles and does everything in his power to do what he believes is right for the people and community**

- **thinks about the future and next generation**

- **builds bridges with different points of view**

- **distinguishes between party politics and community service**

- **tells what is true even if it is unpopular or unpleasant**

- **is an advocate for the community**

- **thinks about the community**

- **Let's the best interests of the community guide his/her decisions**

Politics Is a "Good Fight": Lessons for Statesmen

Politics is a "Good Fight" grounded in the following "Rules of Engagement":

- **Respect your opponent.**

- **Act with honesty and integrity.**

- **Focus on the issues, never make it personal.**

- **Be guided by your core principles and beliefs.**

- **Argue your position and desired outcome on the issue.**

- **Reach out to your opponents.**

- **Look for areas of compromise.**

- **When compromise is not possible, decide and move on.**

- **Recognize that in every "victory" there are seeds of failure.**

- **Be willing to take a difficult position.**

- **Maintain your sense of humor.**

- **Avoid destroying the personal relationship.**

- **Do what you think is right for the community.**

- **Put the community above self.**

When Politicians "Fight": Basic Rules for Managers

1. **Respect others**

2. **Stay neutral and be nice**

3. **Remember: the politician's perspective: "if not with us, you must be with them"**

4. **Be patient, persistent and sincerely believe that you will make a difference**

5. **Be prepared – know and understand each politician – their operating styles and personalities**

6. **Establish a personal rapport with each politician – find a personal area for building working relations**

7. **Define the "core" areas of conflict**

8. **Frame the critical policy questions that need focus and direction**

9. **Provide data based reports with options**

10. **Present your "best" professional recommendations and opinions**

11. **Help statesmen to focus on the "big picture" and the desired outcomes for the community**

12. **Suggest options for consideration – a potential compromise**

13. **Help each politician to understand the other politician's information and point of view**

*14. **Be an advocate for factual information***

*15. **Summarize key points***

*16. **If directions are unclear, restate and test closure with the statesmen***

*17. **Present a positive attitude with the staff – avoid negative or cynical comments***

*18. **Serve the community and others above self***

When Politicians Win...
the Community Loses

1. **More politicians get elected**

2. **City responds to personal agendas**

3. **Community stewards are lost and confused**

4. **Minority rule through intimidation and manipulation – loss of majority rule**

5. **Strategic planning is stopped – no longer guided by Vision, Goals or performance accountability**

6. **Momentum on major projects is stopped**

7. **Agendas are reactive**

8. **Crises become common place**

9. **Decisions focus on short term**

10. **City staff attention is on survival and minimizing damage**

11. **City Managers leave or retire or become Politicians themselves**

12. **Other professionals leaving**

Leadership:
Turbulent Forces Impacting Cities

▶ **COMMUNITY FORCES**

C/1 – POLITICAL PARTY INVOLVEMENT IN NON-PARTISAN ELECTIONS
  a. **Increasing Pressure/Involvement from Political Parties**
  b. **Partisan Funding with Expectations**
  c. **Party Leaders Visibly Supporting Candidates**
  d. **Formal/Informal Political Group Advising Mayor and Council members**
  e. **Increasing Costs for Running for Office – Campaigns**
  f. **Making Community Issues Political**
  g. **Changing Approach to Tradition Campaigning – Rise of Social Media**

C/2 – ANTI-GOVERNMENT 5%
  a. **Personal Attacks and Accusations**
  b. **Opposition to Public – Private Partnership**
  c. **False Financial Information**
  d. **Charges of "Illegal" Actions and Activities**
  e. **Call for Transparency**
  f. **Pressure for "Resident Engagement"**
  g. **Distrust Government, including Elected and Appointed Officials**
  h. **Never Will Be "Satisfied"**
  i. **Reality: Never Will Support Government**

▶ **COMMUNITY FORCES**

C/3 – PEOPLE ARE "MEAN"
   a. **Abusive Language from Residents**
   b. **Personal Attacks and Accusations, including Family Members**
   c. **Intimidating Behavior Getting Results**
   d. **Violent Actions toward Public Leaders and Employees**
   e. **Balancing Workplace Security and Great Customer Service**
   f. **Individuals Avoiding Responsibility**
   g. **"Nasty" Social Media Personal Attacks**
   h. **Use of Reference to Support from Elected Officials**

C/4 – FALSE FACTS AND INTENTIONAL MISINFORMATION
   a. **Some People "Lie"**
   b. **Making Up "Facts" to Support Point of View**
   c. **City's Reluctance to Respond or Correct**
   d. **Misinformation Stands, Spreads and Expansion**
   e. **Impacts on Social Media**
   f. **Funding for Strategic/Tactical Communications**
   g. **Use of "Public Comment" at Council Meetings**
   h. **Questioning City Professional**
   i. **Denial and Rejection of Science and Data**

C/5 – DECISIONS TO MAKE PEOPLE "HAPPY"
   a. **Loss of Data Driven Decision Making**
   b. **Residents Start with Methods/Solutions and Not Outcomes**
   c. **Rejecting City Staff Expertise and Report**
   d. **Resident Happiness Does Not Solve the Problem**
   e. **Everyone is an Expert on Municipal Government**
   f. **Waivers of City Policies and Processes.**

► **GOVERNMENTAL FORCES**

G/1 – INCREASING COSTS OF GOVERNMENT
   a. **Cost of Employee Salaries and Benefits**
   b. **Retirement Costs**
   c. **Cost of Equipment**
   d. **Cost of Supplies and Materials**
   e. **Increasing Cost of Borrowing with Higher Interest Rates**
   f. **Higher Bids on Contracts**
   g. **Funding for Response to Regulatory Mandates and Decrees**
   h. **Taking over Responsibility of Other Governments – Highway Maintenance**

G/2 – HOW TO PAY FOR MUNICIPAL SERVICE
   a. **Pressures to Reduce Tax Rate – No Tax Environment**
   b. **Revenue Restrictions by State Government**
   c. **Restriction on Increasing Tax Rates**
   d. **Limited Additional Capacity within the City Organization**
   e. **Decreasing Outside Funding Sources**
   f. **Growing Service Demands**

G/3 – MAJOR COMMUNITY INCIDENT
   a. **Increasing Number and Severity of Natural Disaster/Weather Events**
   b. **Shooting Events**
   c. **Concern for School Safety and Security**
   d. **National Media Coverage**
   e. **Potential Misinformation**
   f. **Individuals Seeing Political Opportunities**
   g. **Preparation for, Response to and Lengthy Recovery**
   h. **Could Happen Anywhere**

► **GOVERNMENTAL FORCES**

G/4 – FAILING OR DETERIORATING CITY INFRASTRUCTURE
a.   Deferred City Facilities and Infrastructure
b.   Competition for Contractors
c. Private Developments Looking for Cities to Increase Contributions
d. Higher Bids on Projects
e. Impacts of Tariffs
f. Private Contractors at Capacity

G/5 – DIFFICULTY IN FINDING THE NEXT GENERATION OF PUBLIC EMPLOYEES AND MANAGERS
a. Upcoming Retirements: Managers and Employees
b. Less Interest in and Commitment to Public Service
c. Retaining Quality Employees
d. Expectations of Millennial Workforce
e. Fewer Applications for City Jobs
f. Lack of Educational Programs on Civics and Local Government

G/6 – CITY MISSION CREEP
a. Residents Turning to the City to Address Community Problems
b. Support for Schools – Facilities, Infrastructure and Educational Programs
c. Support for Arts, Culture and Educational Programs
d. Solving Residents Problems – Make "Happy"
e. Support for Community Events and Festivals
f. Support for Community Organizations and Institutions
g. Responding to Mental Health Issues Plus Demands for Services and Programs

▶ **GOVERNMENTAL FORCES**

G/7 – STATE LEGISLATURES
      a. **Reducing Revenue Options**
      b. **Restricting Powers of Home Rule**
      c. **Adding Service Responsibilities**
      d. **Adding Regulations**
      e. **Directing City Public Policies**
      f. **Limited Effectiveness of Lobbying – Local Delegation Voting Against the Interests of Cities**
      g. **Governance Restrictions**
      h. **Restricted Ability to Regulate**

► **SOCIETAL FORCES**

ST/1 – UNCERTAIN FUTURE OF RETAIL DEVELOPMENT
   a. **More Shopping Online**
   b. **Collections of Sales Tax by Online Retailers**
   c. **State and Federal Government Regulations**
   d. **Closing and Redesign of Retail Store**
   e. **Decline in "Major Malls"**
   f. **Retailers Closing Stores or Declaring Bankruptcy**
   g. **Abundance of Land Zoned for Retail**
   h. **Flat or Declining Sales Tax Revenues for Cities**

ST/2 – EMERGING MOBILITY OPTIONS
   a. **Desire for Trails**
   b. **Car Subscription: Now Available**
   c. **Autonomous Vehicles: Pilot Programs**
   d. **Accommodating "Electric Vehicles" Parking Preference, Charging Stations**
   e. **Uber/Lyft: Strong Demand, Degree of City Regulations**
   f. **Deteriorating Highways, Bridges and Sidewalks**
   g. **Public Transportation Funding and Use by Choice**

ST/3 – CHANGING HOUSING PATTERNS
   a. **Short Term Rental Impacting Neighborhoods**
   b. **Decreasing Homeownership 64%**
   c. **Limited Rental Housing with High Prices**
   d. ** Lack of Workforce/Affordable Housing**
   e. **Resistance to "MF" – Multi-family**
   f. **Deteriorating Older Housing Stock**
   g. **Baby Boomer Grand Parenting Moving Near Grandchildren – Looking for No Maintenance, Dense Housing Options**
   h. **Mixed Use Developments with Housing Options**

▶ **SOCIETAL FORCES**

ST/4 – COMMUNITY MENTAL HEALTH
   a. **Increasing Homelessness**
   b. **Lack of Mental Health Services**
   c. **Individuals with Mental Issues Clogging the Criminal Justice System**
   d. **Defining the Role of Government**
   e. **Services and Funding**
   f. **Working with Community Partners**

ST/5 – LEISURE AND RECREATION
   a. **Rise of "Professional" Amateur Youth Sports**
   b. **New Emerging "Sports" – Pickle Ball, Lacrosse**
   c. **Strong Demand for Specialty Parks/Park Venues – Dog Parks, Splash Pads, Skate Parks, etc.**
   d. **Active, Healthy Lifestyles with Emphasis on Personal Wellness**
   e. **Demands for Large/Massive Tournament Sports Facilities**
   f. **Strong Interest/Support for Community Events**
   g. **Conflicts among Seniors with Different Expectations – Super Senior [80+] and Baby Boomers**
   h. **Defining "Aquatic" Facilities**
   i. **Re-purposing Current Parks**

BOTTOM LINE:
LEADERS PROVIDE HOPE FOR A BETTER
FUTURE FOR THE COMMUNITY
AND THE RESIDENTS DURING INCREASING
TURBULENT TIMES!!!

SECTION 4

BUILDING OUR MAYOR – CITY COUNCIL TEAM: AND UNDERSTANDING OUR TEAM AND TEAM MEMBERS

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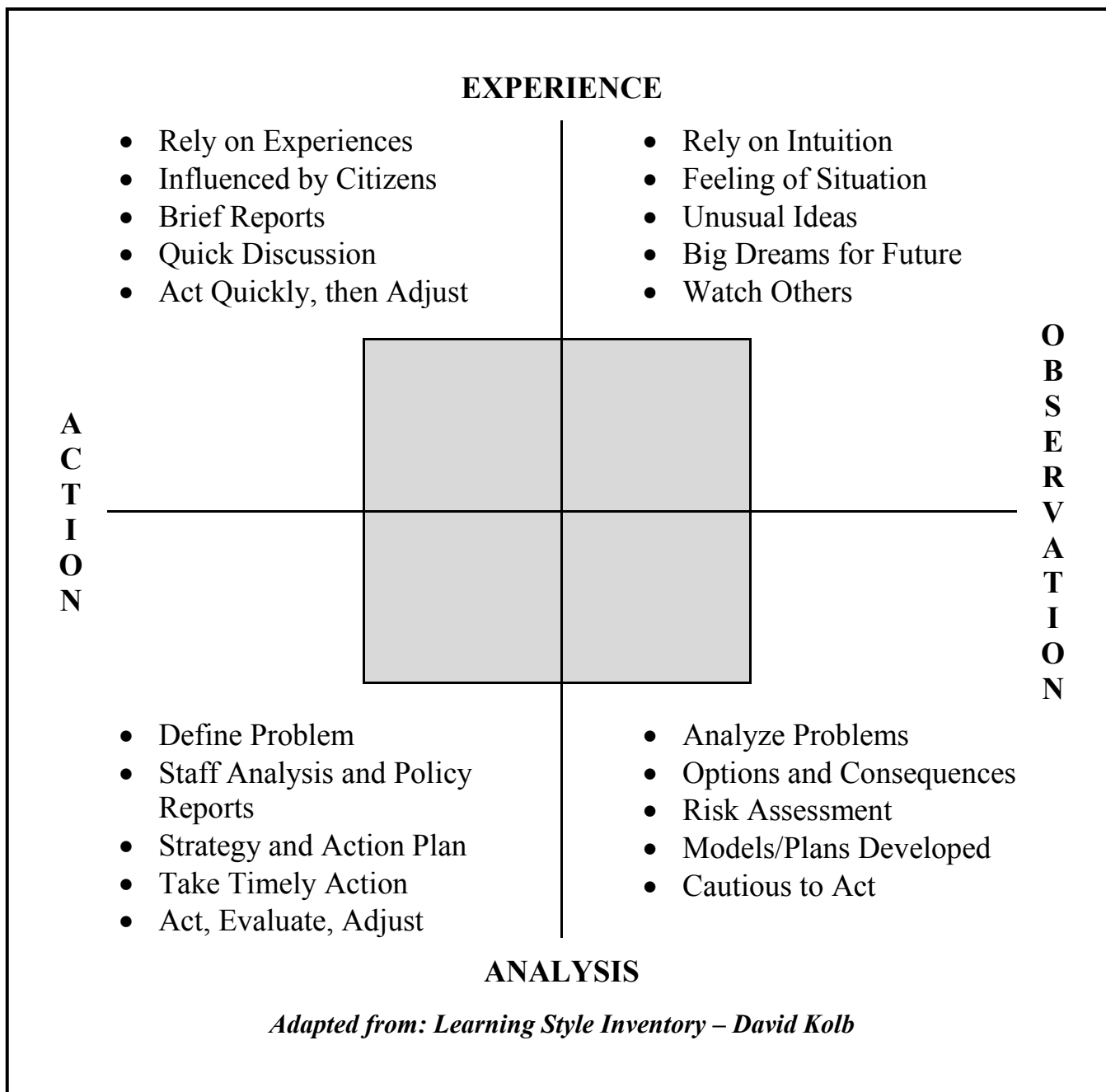| A	**Problem Solving and Decision Making**

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Problem Solving and Decision Making

In order to govern or manage a team and deal with policy issues, it is critical that managers have effective problem solving and decision making skills. A <u>common</u> assumption is made that individuals have these skills when they assume a position on the team. However, the context of municipal problem solving and decision-making is unique in terms of the forces and pressures, which affect the process.

Each person has a unique style in problem solving and decision-making. To gain a perspective on each individual's style, the session participants completed Kolb's Learning Styles Inventory. The purpose of this inventory was to assess the individual styles, their implications for effective problem solving and teamwork, and the strengths and weaknesses associated with each style. It is assumed that there is no one best style, but rather each person has a unique set of strengths and weaknesses.

There are four primary elements in problem solving:

- **Concrete Experiences:** We tend to rely heavily on our concrete experiences until there is a failure. We then recognize that a problem exists. We continue to experience that problem until it reaches a critical level. We may utilize our past experiences to try to alleviate the situation.

- **Reflective Observations:** Once a problem has been identified, we may observe others who have experienced similar problems. The purpose is to learn from others' experiences in handling similar, if not identical, problems. We may also reflect on past experiences or the experiences of others.

- **Abstract Conceptualization:** We may study the problem area through the exploration of alternatives and the identification of which alternative is most likely to solve the problem with minimal risk. Abstract conceptualization involves detailed analysis of the problem, including examination of alternative approaches to problem solving.

- **Active Experimentation:** We experiment with different alternatives to identify the most workable solution. This process involves willingness to adjust to the situation as the alternative is implemented. In addition, securing feedback is necessary to ensure the problem is effectively addressed.

Problem Solving and Decision Making

EXPERIENCE

- Rely on Experiences
- Influenced by Citizens
- Brief Reports
- Quick Discussion
- Act Quickly, then Adjust

- Rely on Intuition
- Feeling of Situation
- Unusual Ideas
- Big Dreams for Future
- Watch Others

A C T I O N

O B S E R V A T I O N

- Define Problem
- Staff Analysis and Policy Reports
- Strategy and Action Plan
- Take Timely Action
- Act, Evaluate, Adjust

- Analyze Problems
- Options and Consequences
- Risk Assessment
- Models/Plans Developed
- Cautious to Act

ANALYSIS

Adapted from: Learning Style Inventory – David Kolb

Problem Solving and Decision Making

—

EXPERIENCE

A C T I O N

O B S E R V A T I O N

• (-6, 13)
Mike Van Milligen

Teri Goodmann
• (1, 3)

•• (4, 14) Maureen Quann

• (5, 11) Susan Farber

•(6,5) David Resnick

• (5, 8) Roy Buol

• (6, 8) Cori Burbach

• (16, 8) Laura Roussell

• (8, 6) Kevin Firnstahl

• (10, 11) Ric Jones

• (10, 4) Danny Sprank

• (11, 9) Brad Cavanagh

ANALYSIS

• (16, 12) Crenna Brummell

+

Problem Solving and Decision Making

▶ **Characteristics**

1. Team takes an analytic and logical approach to problem solving.
2. Team uses data-driven approach to make a decision.
3. Team expects complete research.
4. Team identifies "best practices" and evaluates the application to Dubuque.
5. Team identifies and evaluates options, including an assessment of the strengths and weaknesses.
6. Team focuses on the long-term outcomes.
7. Team links long term strategic plans to short term tactical actions.
8. Team expects reports to be thorough, complete with presentation of options and a clear recommendation based upon the data.
9. Team expects a direct and complete answer to a question. If the individual does not know, they should state it and get back at a later time with a complete answer.
10. Once the Team decides, the Team takes implementing actions following the plan.
11. Team needs information and proof to modify the plan.
12. At times, others may see the Team as rigid and inflexible as they follow their plan.
13. At times, the Team could overly analyze a minor issue.
14. Team expects others to support the decision, the plan and implementing the actions.

▶ **Keys to Effectiveness**

1. Take time to define the problem.
2. Take time to discuss desired outcomes.
3. Define key issues and topics to be explored.
4. Set parameters for research and investigation.
5. Research "best practices" and their application to Dubuque.
6. Identify and evaluate real options.
7. Establish goals/outcomes and develop a long-term plan.
8. Ask questions and provide direct response to each question.
9. Go into the field and "experience" the problems.
10. Develop a short-term implementation plan with criteria of success, milestones, deliverables and time frame.
11. Use Workshops/Work Sessions to discuss options and reports.
12. Provide an executive summary with back-up information.
13. Have brief presentations, which allows time for discussion.
14. Make timely decisions – avoid over-analysis on minor issues.
15. Focus on the Policy level; avoid micro-managing the "how".
16. Take time to evaluate the implementation actions and the outcomes [six month].
17. Adjust the plan and actions when needed [need proof before adjustments].
18. Learn from setbacks – take responsibility and avoid placing blame.
19. Support the implementing actions.
20. Make time to celebrate successes with the community – emphasis on value to residents.

B

Conflict Management
and Negotiations

Conflict Resolution and Negotiations

Conflict is an inherent part of being a policy leader or manager within a team. Conflict can be defined as any time one person wants something different from another person.

As part of the activities during the session, the participants completed the Thomas-Kilmann Conflict Mode Instrument. This instrument is designed to assess an individual's behavior in conflict situations. Conflict situations are those in which the concerns of two or more people appear to be incompatible. In such situations, we can describe a person's behavior along two basic dimensions:

1. **Assertiveness** –
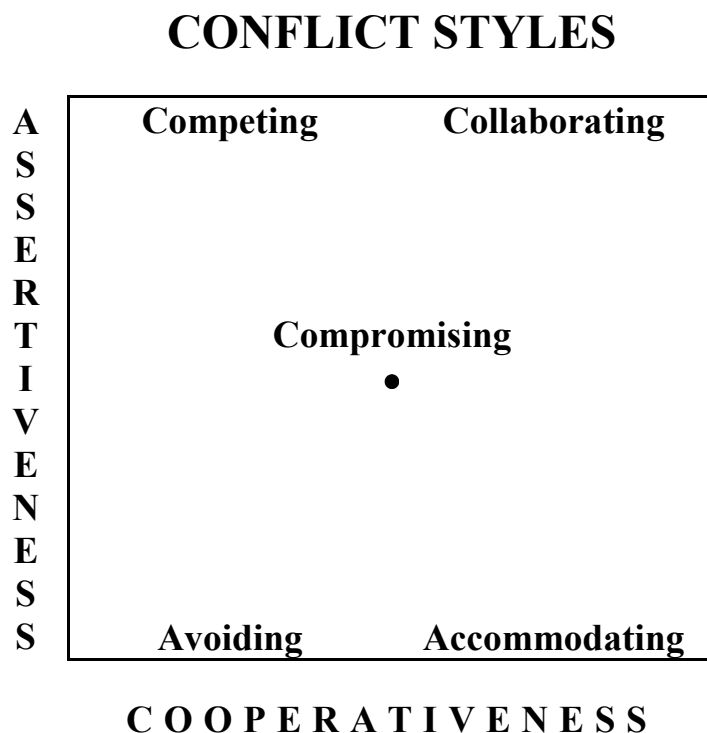   ● The extent to which individuals attempt to satisfy their own concerns.

2. **Cooperativeness** –
    ● The extent to which individuals attempt to satisfy other people's concerns

The two dimensions are best illustrated below:

CONFLICT STYLES

A S S E R T I V E N E S S	Competing	Collaborating
	Compromising ●	
	Avoiding	Accommodating

C O O P E R A T I V E N E S S

The two basic dimensions (assertiveness and cooperativeness) can be used to define specific methods of dealing with conflict situations. The five "conflict-handling modes" are explained below.

COMPETING is assertive and uncooperative. Individuals pursue their own concerns at other people's expense. This is a power-oriented mode in which one uses whatever power seems appropriate to win an argument. Competing might mean standing up for rights, defending a position, or simply trying to win.

ACCOMMODATING is unassertive and cooperative, the opposite of competing. Individuals who accommodate neglect their own concerns to satisfy the concerns of others. There is an element of self-sacrifice in this mode. Accommodating might take the form of selfless generosity or charity, obeying another person's order when one would prefer not to, or yielding to another's point of view.

AVOIDING is unassertive and uncooperative. The individual does not immediately pursue personal concerns or those of others – the conflict is not addressed. Avoiding might take the form of diplomatically sidestepping an issue, postponing an issue until a better time or simply withdrawing from a threatening situation.

COLLABORATING is both assertive and cooperative, the opposite of avoiding. Collaboration involves working with others to identify the underlying concerns of an issue and finding an alternative, which is acceptable to all. Collaboration might take the form of exploring a disagreement to learn from each other's insights. The result of the disagreement might be to confront and try to find a creative solution to an interpersonal problem. It might also be to resolve some condition, which would otherwise result in competition for resources.

COMPROMISING is an intermediary behavior and can be both assertive and cooperative. The objective in compromising is to find an expedient, mutually acceptable solution, which partially satisfies both parties. It falls in a middle ground between competing and accommodating. Likewise, it addresses an issue more directly than avoiding, but does not explore it in as much depth as collaborating. Compromising might mean splitting the difference, exchanging concessions, or seeking a quick middle-ground position.

Conflict Resolution and Negotiations

CONFLICT STYLES

Compete   **Collaborate**

High

ASSERT   **Compromise**

Low

Low   **High**

Avoid   **Accommodate**

COOPERATE
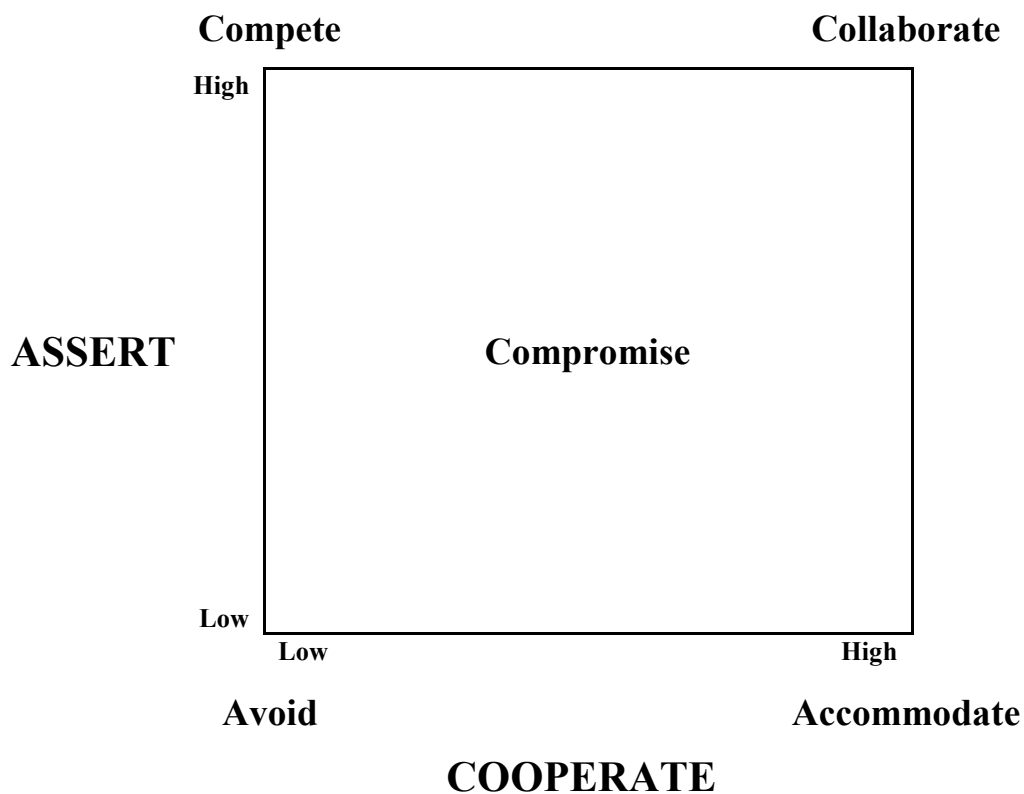
Conflict Resolution and Negotiations

	NEGOTIATIONS				
	Compete	Collaborate	Compromise	Avoid	Accommodate
Roy Buol	5	7	8	4	6
Ric Jones	4	7	8	4	7
David Resnick	6	8	8	4	5
Laura Rousell	2	10	7	5	6
Susan Farber	3	11	10	0	6
Danny Sprank	3	9	7	7	4
Brad Cavanagh	0	6	10	3	5
Mike Van Milligen	7	6	9	3	5
Crenna Brummell	3	6	11	7	3
Kevin Firnstahl	3	8	7	8	4
Maureen Quann	2	8	9	7	4
Cori Burbach	2	2	10	8	8
Teri Goodmann	4	9	8	5	3

Conflict Resolution and Negotiations

▶ **Characteristics**

1. Team desires to negotiate, to negotiate and to negotiate.
2. Team compromises by taking off to find an acceptable middle ground.
3. Team collaborates by working with others to find a win-win resolution that will be supported by all.
4. Team is sensitive to the timing – when to begin negotiations.
5. Team needs a forum for negotiations – work sessions or study sessions.
6. Team rarely avoids the source of the conflict, and at times could bring the conflict when others are not prepared or others wish the conflict would go away.
7. Team members are selective when they compete with others by pushing their points without sensitivity to how it may impact working relations among Team members.
8. When threatened directly or indirectly, team shifts to competing with others.
9. Team may try to negotiate on value-based conflicts, which are difficult or impossible to negotiate.
10. Team expects reports to provide realistic options that allow and support negotiations.
11. Team is frustrated with other parties who are unwilling to negotiate or who try to manipulate the situation.
12. Team expects all parties to support the resolution when they leave the room.

▶ **Keys to Effectiveness**

1. Take time to identify the sources/key issues.
2. Define your bottom line – an acceptable resolution.
3. Strive to understand the bottom line by listening attentively to the other party.
4. Assess your situation – are you prepared for negotiations mentally and with data to support your position.
5. Develop a negotiating strategy with options and key decision points.
6. Ask: is it the best time to pursue negotiations; is it our responsibility; is it a value-based conflict and will the conflict go away if we do nothing.
7. Begin negotiations.
8. Identify areas of agreement first, and get closure by taking them off the negotiating table.
9. Identify resolution options.
10. Keep your focus on the issues and resolutions – avoid personal attacks or accusations.
11. First, look for win-win, creative options – new ideas.
12. Second, trade off to find an acceptable middle ground.
13. Take time during negotiations to summarize.
14. Test any resolution/closure with all parties.
15. Agree on the resolution – summarize one more time.
16. Support and own the resolution when you leave to the room.
17. If you cannot support the resolution, state your position before leaving the room.
18. Use Work/Study Session to negotiate – formal Council meetings are a difficult environment to negotiate.
19. Recognize that City staff can help by providing options during the negotiations.
20. Throughout keep the relationship in mind – the tone set during negotiations.

Conflict
A Process to be Managed

Consider These Assumptions:

- Conflict is an inevitable and important human process.

- Conflicts are likely to increase in times of change.

- Conflicts can lead to creative or destructive results.

- Those who understand the processes and dynamics of conflict are better able to manage this important process, increasing the chances of creative outcomes and minimizing destructive results.

In recent years, these considerations have led a growing number of managers and scholars, leaders, and social scientists to study conflict more carefully. The cost of un-managed conflict can be high but the gains from using differences effectively can also be great.

The purpose of this "basic idea" essay is to help you think about conflict in a systematic way to – <u>unpack</u> this important process so its component parts can be better understood.

A Definition

"Conflict" is one of those words that can be used in different ways. We have found the following definition helpful:

> Conflict occurs when two or more parties believe that what
> each wants is incompatible with what the other wants.

The "parties" can be individuals, groups, organizations, or nations. Their wants may range from having an idea accepted to gaining control of a limited resource.

The definition specifies that conflict is a condition that exists when these seemingly incompatible concerns or drives exist. It may be very temporary or of long duration. It may be a condition that results in vigorous activity or an internal ferment that reveals itself only indirectly. Fighting is only one way of dealing with conflict. There are often more productive ways.

The Positive and Negative Potential of Conflict

Like any other important human process, conflict can produce both desirable and undesirable results. When we asked groups of managers and leaders of organizations to reflect on recent conflicts they had observed and to identify the results, the following common themes emerged:

A Partial List of Positive Results of Conflict:

- People were forced to search for new approaches
- Long-standing problems surfaced and were dealt with
- People were forced to clarify points of view
- The tension of conflict stimulated interest and activity
- People had a chance to test their capabilities
- Better ideas were produced

Properly managed, conflict can help to maintain an organization of vigorous, resilient, and creative people.

### A Partial List of Negative Results of Conflict:

- Some people may feel defeated, demeaned
- The distance between people may be increased
- A climate of distrust, anxiety and suspicion may develop
- Turbulence may cause some good people to leave their jobs
- People or departments that ought to cooperate may become concerned only with their narrow interests
- Various kinds of active or passive resistance may develop where teamwork is needed

The goal of understanding and managing conflict is to reduce the likelihood that such negatives will occur or become excessive.

Unpacking the Conflict Process

Obviously, the positive or negative consequences of a conflict depend upon how well the conflict is managed. In turn, the ability to manage a conflict requires that one understand what goes on during a conflict.

Conflict occurs in episodes. Within any episode there tends to be a common sequence of events, as diagramed on the following page:

Conflict Episode #1   **Conflict Episode #2**
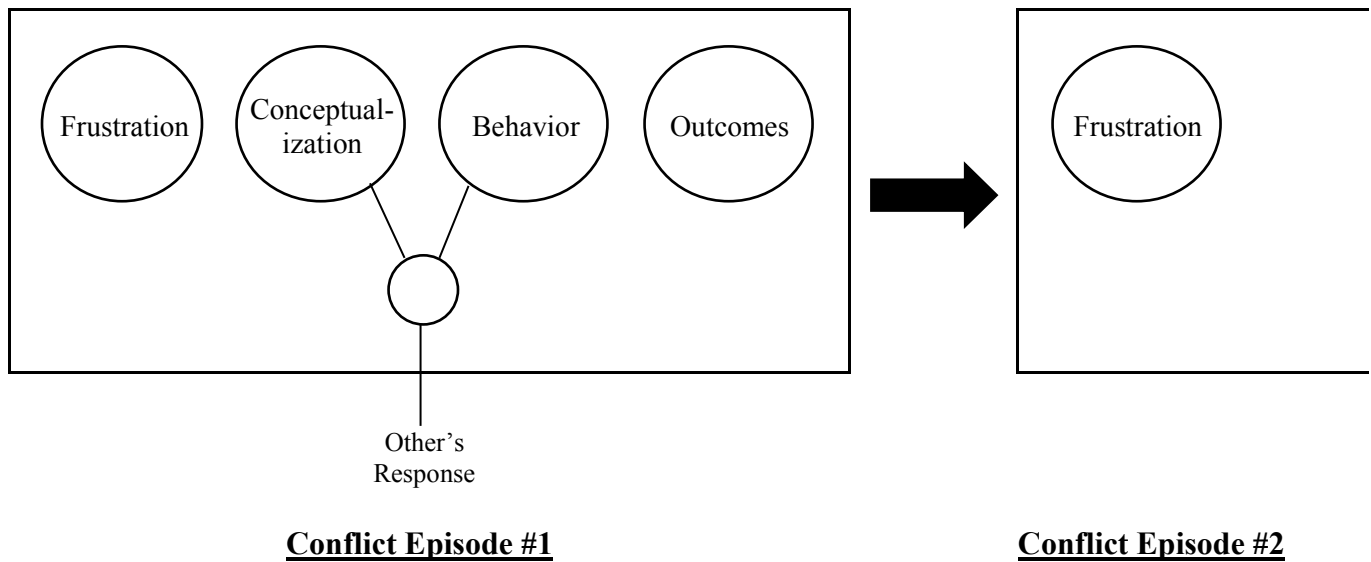
Looking at these events:

Frustration:

Occurs when a person or group feels blocked from satisfying a goal-directed activity or concern. The concern may be clear or only vaguely defined; it may be of casual or critical importance. However, there is a clear feeling that someone or some group is getting in the way of movement toward a desired objective.

 Examples:

- You may frustrate me when you do not agree with my ideas
- You may frustrate me when you prevent me from getting the information, the money or the time I need to accomplish something I want to do
- You may frustrate me when you undermine my power or influence with someone else

Conceptualize:

Involves answering the questions, "What's going on here?" – "Is it good or bad?" – "What's the problem?" – What issues are at stake?" – "What are the causes?" This conceptualization may be almost instantaneous, or it may develop from considerable thought; it may be very sharp and clear, or fairly fuzzy. Regardless of its accuracy or clarity, however, <u>the conceptualization forms the basis of one's reaction to frustration.</u>

- You may conceptualize a disagreement with another person as being the result of "ignorance" (on his part, of course) or "willful deceit" or you can stereotype: "that kind of person always takes that stand."

- A labor dispute with management can be conceptualized as "deciding who is really going to run this plant" or "showing workers who can do the most for them" or simply "determining what a fair share of profits is for the workers."

- A dispute between a marketing department and a production department can be conceptualized as determining whether "customers are more important than a production schedule," or whether "sales people should be expected to adhere to realistic company policies."

Obviously, the way the parties define the problem has a great deal of influence over the chances for a constructive outcome and the kinds of feelings that will be mobilized during the confrontation.

Behaviors:

Behaviors and intentions flow out of conceptualization and strategizing and set in motion a pattern of interaction between the parties involved. During this process of action-reaction-reaction, the way each party conceptualizes the conflict may change or may become further entrenched. The longer the pattern continues, of course, the actions of the participants themselves may create new frustrations, reasons for hostility, and continued resistance.

Outcome:

Outcome is defined as the state of affairs that exists at the end of the episode, including decisions or actions taken and the feelings of the parties involved. Residual frustration from conflict episodes can start new conflict episodes. Some people have found it helpful to assess the outcome of a conflict episode along three dimensions:

1. The quality of decision or action that results. (How creative, realistic and practical?)
2. The condition of the conflicting parties at the end of the conflict. (How psychologically and physically healthy; how good do the parties feel about themselves?)
3. The quality of the relationship between the conflicting parties. (How much mutual respect, understanding, willingness to work together versus hostility, determination to hurt, etc.?)

Some Guidelines for Diagnosing a Conflict

The manner in which a conflict is conceptualized is often the key to a group's ability to manage conflict constructively, i.e., to arrive at positive outcomes. The parties are not likely to reach an outcome which truly resolves the conflict and leaves them satisfied unless they have a clear understanding of the differences between the concerns of the two parties and the sources of those differences. Thus, before responding to a frustrating situation, it is useful to pause and ask two questions:

1. What is the *nature* of the differences between us?
2. What might be the *reasons* for our differences?

The Nature of the Differences

People may differ on the following four aspects of an issue:

- We may differ over **FACTS** (the present situation, the present problem, etc.)
- We may differ over **GOALS** (how things ought to be, future conditions we want)

- We may differ over **METHODS** to reach goals (the best, the easiest, the most economical, and the most ethical route to follow)

- We may differ over **VALUES** (the long-range beliefs about the priorities which should be observed in choosing goals and methods)

Differences over facts are usually easier to manage than differences over values, which are the most difficult. The latter come much closer to the fundamental beliefs of the parties and are thus much more threatening. Disagreements that begin over facts sometimes persist until they appear to be conflicts over goals or values and become almost impossible to reconcile.

The implication is that it pays to identify the area of disagreement as quickly as possible. The chances for managing conflict effectively increase if you can say something like: "We seem to agree on what the problem is and what we'd like to achieve, but we disagree over the best way to reach that goals."

The Reasons for the Differences

As part of the conceptualizing process, it is useful not only to identify the nature of the difference, but to seek the reasons for it as well. Among the most common reasons are these:

Informational – The two parties have been exposed to different information – and thus have arrived at a different understanding of what the problem or issue is and what course of action makes the most sense.

Perceptual – Sometimes people have been exposed to the same data but their past experience causes them to interpret in different ways. Two witnesses may view the same event, but experience it in two different ways, since the past of each causes them to attend to different aspects of the same situation or to arrive at different meaning.

Role – Sometimes the different roles (e.g., boss, mother, volunteer) of people cause them to take different positions. The representatives of labor are expected to look at things differently, advocating different positions and priorities than the representatives of management. The roles of each cause them to attend to different data and to perceive it differently, as well as to advocate different goals and values.

Practical Values of This Analysis

What is the practical value of going through this kind of diagnostic process? Like solving any problem, the conflict problem-solver is likely to do a more effective job if he knows the parameters of the situation with which he is dealing. A key process in conflict is that of influence – the effort of each party to get the other to understand, appreciate, and accept the validity of its own particular points of view or sets of objectives. If parties want to influence each other, obviously it helps if they have a clear picture of where they stand and how they got there.

- If the two parties realize that they have probably been exposed to different data, they may view the job to be done as one of mutual education, rather than conflict. The task is to increase the pool of information to which both are privy.

- If the parties determine that their informational base is very similar but they have just perceived it differently because of differing past experiences, these perceptions need to be reexamined. Then the question becomes: "Why is it that we view the same information in such different ways?"

- If the parties suspect that the principle reason for different views grows out of their different roles, they can often take a less personalized view of the conflict. If each can say, "If I were in his place, I would probably be advocating the same point of view," they will deal with the other party in a somewhat different and more understanding way. The task then takes on an added dimension, e.g., "How can I help a person in that role better understand and appreciate my concern and what does he need from me?" By recognizing the constraints within which the other party must operate, you can be more realistic in knowing what to expect and what posture makes the most sense.

As soon as you are finished, reflect on the key issues, which seem important to you and be prepared to discuss them with the group

SECTION 5

MAYOR AND CITY COUNCIL LEGACY

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City of Dubuque
My Legacy…

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Roy Buol:
1. **Working together to create an equitable community**
2. **Opportunities for all**
3. **Honest and fair**

Ric Jones:
1. **Bringing science in Fire Service**
2. **Equity for all**
3. **Progress and useful for citizens**

David Resnick:
1. **Constant improvement – benefit of community**
2. **Civil and intelligent interaction**
3. **Tough actions with "happy" ending**

Laura Roussell:
1. **Open, honest and access to Council – best decision**
2. **Poverty reduction**
3. **Protecting environment for the future – engaging**

Susan Farber:
1.

Danny Sprank:
1. **Productive Mayor – City Council**
2. **Central Avenue project becoming realty**
3. **"Shinning Image on the Hill" – Welcoming**
4. **Address generational poverty**

Brad Cavanagh:
1. **Community recognizes success in the future – vision and goals**
2. **Sense of unity – community and City: come together as a community**
3. **Actions to benefit the entire community**

| B | **City of Dubuque**
My Legacy: Interview Summary |

1. Better future for Dubuque residents

2. City trusted by the community

3. Ethical leadership

4. Respect for confidentiality of information

5. City connected with the entire Dubuque community

6. Advocacy for human rights

7. Safe community for all

8. Quality City infrastructure – well planned, well maintained and prepared for the future

9. Dubuque continuing to move forward

10. Respect for all

11. Responsible City leadership

12. Leading for what is best for all citizens

13. Visionary leadership and decision making

14. Community-minded leadership

15. Value in serving the community

16. Fair treatment for all

17. Explaining decisions and actions

18. Used data in making the best decision for the community – community stewardship

19. Asked great questions

20. Growing Dubuque population

21. Retained college graduates

22. Increased wages/salaries for Dubuque residents

23. Become a truly inclusive and equitable community

24. Be the "shining star on the hill"

25. Attracted young population

26. Have affordable housing options for all

27. Vibrant Central Avenue corridor

28. Grocery store in the northend

29. Respect for City government

30. Great place to work – progressive Human Resource policies and processes

31. Greater economic prosperity with poverty reduction throughout the Dubuque community

32. Resilient and sustainable City government and community

33. Protection of the natural environment

34. Involved community in the governance process

35. Mayor and City Council working for the benefit of the entire Dubuque community

36. Policy reflecting the will of the community

37. Effective community outreach through town hall meetings, input to staff on major projects or policies, and other methods

38. Professional performance standards developed and used in evaluating City managers and employees performance

SECTION 6

MAYOR AND CITY COUNCIL:
CRITERIA FOR JUDGING SUCCESS

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Success Criteria: Summary

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▶ **Success Criteria**

1. Mayor and City Council developed, followed and implemented the City vision, mission and plans.

2. Mayor and City Council achieved City goals, completed annual work program and measured the results – benefits to the Dubuque community.

3. Mayor and Council Members were advocates for community issues.

4. Mayor and Council Members respected the City institution – laws, roles, responsibilities, and processes.

5. Mayor and City Council used data to make the best decision for the Dubuque community.

6. Mayor and City Council were open and transparent.

7. Mayor, City Council and the City of Dubuque have collaborative relations with Dubuque County and Dubuque Public Schools.

8. Mayor and Council Members have positive personal relationships with each other.

9. Mayor and Council Members supported the Council decisions and direction.

10. Mayor and City Council have developed and used performance metrics to measure success and progress in making a better community [e.g. trending to improve].

B	**Success Criteria: Working Document**

▶ **Success Criteria: Characteristics**	PRIORITY
1. Mayor and City Council developed, followed and implemented the City vision, mission and plans.	6
2. Mayor and Council Members were advocates for community issues.	5
3. Mayor and Council Members respected the City institution - laws, roles and responsibilities, and processes.	5
4. Mayor and City Council used data to make the best decision for the Dubuque community.	5
5. Mayor and City Council and the City of Dubuque have collaborative relations with Dubuque County and Dubuque Public Schools.	5
6. Mayor and City Council have developed and used performance metrics to measure success and progress in making a better community [e.g. trending to improve].	5
7. Mayor and City Council achieved City goals, completed annual work program and measured the results - benefits to the Dubuque community.	4
8. Mayor and City Council were open and transparent.	4
9. Mayor and Council Members have positive personal relationships with each other.	4
10. Mayor and Council Members supported the Council decisions and direction.	4
11. Mayor and City Council used the vision and kept the "big picture" in mind.	3
12. Mayor and City Council Members were positive representatives for the City of Dubuque.	3
13. Mayor and City Council were able to make tough and bold decisions.	3
14. Mayor and City Council had open and honest communications.	3
15. City surveyed the community and sought input and feedback from the community.	3
16. Mayor and Council Members involved in national and state organizations and seeking training and development opportunities.	3
17. Mayor and City Council implemented Imagine Dubuque Plan and annual Action Agenda.	2

▶ **Success Criteria: Working Document** *(Continued)*	**PRIORITY**
18. The City - Mayor-City Council, City Management, City Employees and Community acted cohesively.	2
19. Mayor and City Council had the respect and confidence of the Dubuque community.	2
20. Mayor and Council Members worked together as a team.	1
21. The City was moving Dubuque forward.	1
22. Mayor and City Council were the policy makers - the "Board of Directors" for the City.	1
23. Mayor and Council Members are served as the face of the City institution.	1
24. Mayor and Council Members provided sensitive feedback in private.	1
25. Mayor and Council Members were prepared.	0
26. Mayor and City Council blended individual ideas and found common themes.	0

SECTION 7

MAYOR AND CITY COUNCIL: DESIRED COMMUNITY IMAGE

A   Desired Community Image…

Roy Buol:
1. **Fair and balanced**
2. **Building for the future**
3. **Approachable**
4. **Understand the community needs**

Ric Jones:
1. **Money's worth**
2. **Looking out for family**
3. **Makes City work**
4. **Makes a place fun to live**

David Resnick:
1. **Constant improvement**
2. **Civil interaction**
3. **Tried and true**

Laura Roussell:
1. **Open, accessible – listen**
2. **Professional manner**
3. **Trusted**
4. **Forward thinking**
5. **Model for other cities**

Susan Farber:
1.

Danny Sprank:
1. **United**
2. **Visionary**
3. **Helping neighbors in need**
4. **Healing with wounds from the past**

Brad Cavanagh:
1. **Visionary**
2. **Trustworthy**
3. **Fair and equitable**
4. **Honest**
5. **Respectful and professional**

B	**Desired Community Image: Interview Summary**

▶ **Desired Community Image: Summary**

1. Are guided by the City vision, mission and plans

2. Are respected by the community – residents and businesses

3. Are creating a "community of choice"

4. Acts in an open, transparent and accessible manner

5. Are above question – acting in an ethical manner

6. Have a vision for the future and are forward looking

7. Are welcoming to all

8. Act with the "best" interests of the Dubuque community in mind

9. Are responsible financial stewards – community get their money's worth from the City of Dubuque

10. Fight for all

11. Are a model for other city governments

12. Have civil interactions

<table>
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Working Document</h1></td></tr>
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▶ **Desired Community Image: Characteristics**	**PRIORITY**
1. Acts in an open, transparent and accessible manner.	7
2. Have a vision for the future and are forward looking.	6
3. Act with the "best" interests of the Dubuque community in mind.	6
4. Are responsible financial stewards – community get their money's worth from the City of Dubuque.	5
5. Have civil interactions.	5
6. Are guided by the City vision, mission and plans.	4
7. Are respected by the community – residents and businesses.	4
8. Are creating a "community of choice".	4
9. Are above question – acting in an ethical manner.	4
10. Are welcoming to all.	4
11. Fight for all.	4
12. Are a model for other city governments.	4
13. Listens and is open to new and different ideas.	3
14. Respects roles and responsibilities under the Council-Manager form of City government.	3
15. Emphasize We over I – no personal agendas or glory.	3
16. Are honest.	3
17. Vote independently – vote your conscience.	3
18. Are fair and balanced.	3
19. Agrees to disagree – nothing personal.	2
20. Are trustworthy – trust in City government.	2
21. Support each other and the City of Dubuque.	2
22. Provide accurate and truthful information.	2
23. Act in a trustworthy manner.	2
24. Act in a respectful manner.	2
25. Have a sense of optimism about Dubuque's future.	2
26. Are involved in a variety of community activities.	2

► **Desired Community Image: Characteristics** *(Continued)*

	PRIORITY
27. Are challenging each other and questioning each other.	2
28. Are constantly improving the Dubuque community.	2
29. Focuses on the long term.	1
30. Represents the City in a positive manner.	1
31. Is visible and present in the Dubuque community.	1
32. Are community minded and focused.	1
33. Are acting in a professional manner.	1
34. Are healing the wound of the past.	1
35. Works together.	0
36. Are sharing different ideas and different perspectives.	0
37. Have a sense of unity.	0

SECTION 8

HOUSE RULES:
CODE OF CONDUCT AND CIVILITY

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A	**House Rules** **Our Code of Conduct and Civility**

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1. Respect others – ideas, opinions, opposing viewpoints and comments

2. Communicate in an open, honest and direct manner

3. Be attentive – actively listen before judging the comments of others

4. Agree to disagree – vote, decide and move to the next issue; criticize in the idea, not your colleague

5. Follow the "Golden Rule"

6. Obey and follow Council protocols, rules and the law

7. Respect the roles and responsibilities of others

8. Be honest and truthful

9. Assume good intentions

10. Respect meeting protocols and the Mayor as the presiding officer

11. Respect staff time

12. Act within your role – a member of the Board of Directors

[Signed by the Mayor and Council Members – 1/26/20]

B	# How do you want to be treated by Mayor and other Council Members

▶ **How do you want to be treated**	**PRIORITY**
1. Obey and follow Council protocols, rules and the law.	7
2. Respect others – ideas, opinions, opposing viewpoints and comments.	6
3. Communicate in an open, honest and direct manner.	6
4. Assume good intentions.	6
5. Agree to disagree – vote, decide and move to the next issue; criticize the idea, not your colleague.	5
6. Respect staff time.	5
7. Follow the "Golden Rule".	4
8. Respect the roles and responsibilities of others.	4
9. Be honest and truthful.	4
10. Respect meeting protocols and the Mayor as the presiding officer.	4
11. Act within your role – a member of the Board of Directors.	4
12. Keep confidential information confidential.	3
13. Act in an ethical and legal manner.	3
14. Come prepared – do your homework.	3
15. Focus on the issues – avoid personal accusations or attacks.	2
16. Be attentive – actively listen before judging the comments of others.	2
17. Represent the City in a positive manner.	2
18. Focus on governing – avoid playing politics.	2
19. Act in a professional manner.	2
20. Invite conversations.	2
21. Be patient.	2
22. Give staff time to prepare.	2
23. Provide feedback in private.	1
24. Work as a team.	1
25. Have open conversations.	1
26. Have an open mind.	1
27. Be a model of your aspirations.	1
28. Allow everyone to have a turn.	1
29. Communicate with all – avoid surprises.	1

▶ **How do you want to be treated** *(Continued)*	**PRIORITY**
30. Be kind and look from the other's point of view.	1
31. Support the majority decision even if you voted against it.	0
32. Follow through on commitments.	0
33. Participate in open discussions.	0

SECTION 9

MAYOR – CITY COUNCIL – CITY MANAGER PROTOCOLS

Mayor and City Council Protocols: Operating Guidelines

Protocol 1	Simple Information Requests

1. Contact the City Manager - email or phone.
2. If the City Manager is unavailable, contact the Assistant City Manager.
3. Share your request and the method of response - memo, report, and phone call.
4. Define your sense of "urgency" or time frame.

Protocol 2	Research on a Topic

1. Contact the City Manager.
2. Discuss with the City Manager the nature of your request and level of analysis or research.
3. If the City Manager sees that the request will require a significant amount of time, Council Member may take it to the Mayor-Council for discussion and direction.
4. Bring the request up during "Council Reports" for Mayor-Council direction to the City Manager.
5. Individual Councilmembers may conduct their own research especially exploring other points of view.
6. Councilmembers may share the information with Mayor-Council through emails or through the City Attorney - other Councilmembers and the Mayor should NOT reply or discuss with other Councilmembers or the Mayor.

Protocol 3	Citizen Service Request

A. First Contact
1. Refer the individual to the appropriate City department.
2. Refer the citizen to the City website and complete the service request.
3. Contact the City Manager and share the nature of the requests, your expectations on follow up information and time frame.

B. Unsatisfactory Experience
1. Contact the City Manager.
2. Share information from the citizen contact.
3. Share your expectations for information and follow up.

Protocol 3	Citizen Service Request *(Continued)*

4. City Standard: The City Department will call back acknowledging the request and outlining the actions with a general time frame.
5. Use "Let me check into the matter and I will get back to you".

Protocol 4	Council Agenda

A. Placing an Item on the Agenda
1. The Mayor sets the final Council agenda.
2. Contact the City Clerk or Attorney with topic and background, who will share with Mayor.
3. Bring up the request during "Council Reports" for a future agenda.

B. Question on Item
1. Contact the City Manager or Assistant City Manager in advance.
2. Response to questions will be provided before the meeting or incorporated in the staff presentation.

Protocol 5	Communications

A. Mayor-City Council
1. Avoid deliberation and "Rely All".
2. Share information without discussion or reply.
3. On some specific, minor information requests, the information may go only to the individual making the request.
4. If you have a personal issue with another Councilmember, go to the other Councilmember directly and first.
5. Closed Session information is CONFIDENTIAL; the sessions are officially recorded by the City Clerk per State requirement and may be released under court order.

B. Council-City Management/Staff
1. General Rule: All communication from the City Manager and staff will go to all - Mayor and City Council at the same time.
2. Small group meetings will be used to share information and to ask questions.
3. Confidential information should be kept CONFIDENTIAL.

Protocol 6	City Employee Contact

A. Employee Initiated
  1. Refer the employee to the City Manager or Personnel Manager.
  2. If information is about the City Manager, City Attorney or City Clerk, contact the Mayor and discuss the issue and direction.
  3. Avoid discussion or indicating agreement.

B. Mayor-Council Initiated
  1. Should be avoided.
  2. Keep the interaction social.
  3. If you are a member of a work team, participate as a member of the team.

Protocol 7	Email

  1. Share information.
  2. Avoid reply or "Reply All".
  3. REMEMBER: All emails regarding City business are public.
  4. Write the email, let it sit for 24 hours, and then send or DELETE.

Protocol 8	Representative/Liaison

  1. Represent the City position.
  2. Report on major issues, directions, discussion points and activities.
  3. Share City information to the other body.
  4. Bring back key issues for Mayor-Council discussion and direction.
  5. Attend meetings in person/virtual attendance, as is appropriate for the board or commission.

Protocol 9	Information Technology Problem

  1. Contact Information Services staff at 563 589-4280 directly for assistance with City information technology needs

Protocol 10	Council Meeting State Times

  1. Regular City Council meeting start times will be changed to 6:30 pm
     Every effort will be made to place work sessions at 5:30 pm, prior to regularly-scheduled meetings

SECTION 10

EXPECTATIONS: ROLES/RESPONSIBILITIES AND SUGGESTIONS FOR ENHANCED EFFECTIVENESS

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Mayor
Expectations and Actions

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▶ **Expectations – Roles and Responsibilities**

1. Serve a the City's leader
2. Facilitate and manage Council meetings
3. Serve as a spokesperson for the City and the Mayor-City Council
4. Keep everyone informed
5. Share insights and historical perspective
6. Keep the Council focused on the Vision, Mission and Plans
7. Allow for open, fair discussion on issues
8. Build the Council team
9. Represent the Council to the City Manager
10. Be the "gatekeeper" on the Council agenda
11. Represent the City in the community
12. Represent the City at the state and national levels
13. Set a positive tone for the Council
14. Serve as the face of the City
15. Work closely with the City Manager on critical issues and strategies
16. Seek and support professional training and development opportunities
17. Be an advocate for sustainability/resiliency
18. Identify emerging issues and trends
19. Act as a member of the City Council
20. Be a positive "cheerleader" and advocate for the City
21. Share experiences and serve as a mentor to Council Members
22. Serve as the head of City government
23. Set the example and tone for City Council

▶ **Suggestions to Enhance Effectiveness**

1. Show independence from the City Manager
2. Continue presence in the community
3. Serve as a mentor
4. Be open to different potential agenda topics
5. Promote open and full discussions of topics and agenda items

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B **City Council Member Expectations and Actions**

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▶ **Expectations – Roles and Responsibilities**

1. Make policy decisions
2. Provide direction on issues
3. Act as a responsible fiscal steward of the public's resources
4. Represent the community
5. Listen to the community
6. Have a visible presence in the community
7. Work as a team and be a team player
8. Make decisions that are in the best interests for the Dubuque community
9. Be attentive at meetings
10. Come prepared and ready to work
11. Keep confidential information confidential
12. Act as a corporate "Board of Directors"
13. Represent the policy and direction of the City and Mayor-City Council
14. Attend meetings when you represent the City as a liaison or representative
15. Ask questions
16. Follow adopted protocols and policies
17. Work through the City Manager – avoid directing City employees
18. Listen to City staff and experts
19. Bring up issues and residents' service and informational requests
20. Share differing points of view
21. Build personal relationships among Mayor and Council Members
22. Be a positive advocate and cheerleader for the City and the Dubuque community
23. Keep the vision and big picture in mind
24. Avoid individual social media presence
25. Listen to different perspective on issues

▶ **Suggestions to Enhance Effectiveness**

1. Come prepared for meetings
2. Attend meetings when representing the City
3. Keep confidential information confidential
4. Go to City Manager with questions or information requests
5. Follow guidelines for social media
6. Act in an ethical manner – follow the Code of Ethics
7. Pursue training and professional development opportunities – NLC, Iowa League, etc.
8. Develop personal relationships as members of the governing team
9. Focus on the future and things that we can control
10. Work together as a team
11. Show up for events in the community
12. Have no social media presence – individually
13. Be visible in the community – attend community events
14. Respect City staff – if you have a problem, go to the City Manager
15. Help, support and mentor each other – we all have something to learn
16. Develop performance standards for Council appointees and use in the performance evaluation process
17. Second a topic to facilitate Council discussion
18. Follow the open meetings laws
19. Share ideas and have open, thorough discussions

| C | **City Manager Expectations and Actions** |

▶ **Expectations – Roles and Responsibilities**

1. Act as the City's "Chief Executive Officer"
2. Provide leadership for the City organization
3. Implement the Mayor and City Council policies, directions and annual work program
4. Communicate in a open, direct and complete manner
5. Listen to others – Mayor, Council Members, and residents
6. Monitor City performance
7. Define performance standards and goals and hold key managers accountable for their decisions, actions, behavior, and results
8. Work with the Mayor-City Council to develop and update the Strategic Plan and annual Action Agenda
9. Pursue professional and personal development opportunities
10. Support the professional development of City managers and employees
11. Follow the ICMA Code of Conduct and Standards
12. Anticipate and identify emerging issues and trends
13. Be visible and present in the Dubuque community
14. Serve as the City spokesperson
15. Build relations with Mayor-City Council based upon mutual trust and respect
16. Provide professional recommendations
17. Provide complete staff work and reports
18. Have an open mind
19. Share personal experiences and insights
20. Be an advocate for an equitable and sustainable community for all
21. Keep Mayor and City Council informed
22. Instill an inclusive corporate culture in the City organization

▶ **Suggestions to Enhance Effectiveness**

1. Succession Planning for Management
2. Team building for Management Team
3. Sensitivity Training for all managers
4. Public information on Manager actions
5. Openness to opposing points of view
6. Allow Council Members to contact departments with simple information requests
7. Develop a 360 performance evaluation system

| D | **City Attorney**
Expectations and Actions |

▶ **Expectations – Roles and Responsibilities**

1. Act as the City's attorney
2. Provide legal advise and counsel
3. Complete legal research and share with Mayor-Council in an understandable manner
4. Pursue professional development opportunities
5. Represent the City on legal matters and litigation
6. Develop complex agreements that protect the interests of the City and the Dubuque community
7. Respond to Mayor and Council Members questions
8. Represent the City
9. Provide legal advice on policy issues

▶ **Suggestions to Enhance Effectiveness**

1. Provide time research on a topic

SECTION 11

GOVERNANCE REFINEMENTS: MAYOR AND CITY COUNCIL IN ACTION

Mayor and City Council
Governance Refinements
City of Dubuque

1. Meeting Time: 6:30 pm

2. Work Session: 5:30 pm

3. Council Reports: Guidelines
   a. Bring up a new topic for Mayor and City Council consideration, discussion or future agenda
   b. Report on a meeting attended by the Council Member
   c. Inform the community/Mayor-City Council of an event
   d. Recognize individuals in the community

4. No Electronic Use during Executive/Closed Sessions

5. Council Meetings – electronic devises may be used to look up information or do research; available for an emergency call; but to avoid social media postings or community input outside the public realm

6. Op-Ed Piece on Open Meetings/Closed Meeting/Work Sessions – from the Mayor to the Community

7. Council Discussion – allow more time for discussion among Mayor and City Council

8. Representation to Other Agencies/Organizations – attend the meetings and report back to Mayor and City Council, preferably in person but teleconference if approved by the other agency or organization

9. Code of Ethics – The Mayor and City Council directed the City Attorney and City Clerk to research "best practices", and to prepare a report with options and recommendations for Mayor and City Council consideration and direction.

SECTION 12

MAYOR AND CITY COUNCIL: SHORT-TERM TOPICS

Mayor and City Council
Short-Term Topics
City of Dubuque

1. Poverty in the Dubuque

2. Community Food Insecurity

3. Five Flags: Direction

4. City Infrastructure: Avoid Failures and Crises

5. Comiskey Redevelopment Project

6. H & W Building: Direction

7. Central Avenue Corridor Project: Next Steps

8. Grocery Store Attraction – Northend: Direction and City Actions

9. Bee Branch Project: Next Steps

10. Senior Activities Expanded and Senior Center

11. Pet Friendly Community/Dogs in Parks/Dog Park: Direction

12. Mobile Home Parks

13. Safe Rental Housing and Inspections

14. Discussion on Budget Improvement Packages

SECTION 13

STRATEGIC PLANNING
FOR THE CITY OF DUBUQUE

A Strategic Plan 2019 – 2024 – 2035