



1.02 PROFESSIONAL DEVELOPMENT AND TRAVEL POLICY
CITY COUNCIL
Enabling Legislation: M2019-045
Date Adopted: 4/2/2020
Revised: N/A 04/16/2420

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PURPOSE

The purpose of this policy is to establish guidelines for professional development activities of the City Council and for reimbursement of training, professional development, and meeting expenses incurred by the City Council when performing their official duties.

POLICY

The City Council is encouraged to participate in professional development and training activities and programs sponsored by organizations such as the National League of Cities (NLC), League of Minnesota Cities (LMC), Coalition of Greater MN Cities, and other groups that sponsor programs relevant to local government. These programs not only improve knowledge of local government and provide important networking opportunities, but enhance the City's reputation as a progressive community. This policy covers attendance by the City Council at in-state and out-of-state professional conferences, seminars, meetings, programs, events, training and related activities by the City Council performing their official duties on matters relevant to City business (hereinafter collectively referred to as "Events").

The City Council must set a maximum budget for professional development each year. The City Council is allocated budgeted dollars for attendance at Events. Guidelines for specific Event attendance will be discussed annually with the budgeting process. The City Council may attend in-state Events without prior approval of the City Council as long as an Event falls within the City Council's annual budget for professional development and is an Event relevant to matters of City business.

The provisions of this policy are applicable to all expenses for which the City Council are requesting reimbursement for attendance at Events. Except as otherwise provided herein, the City Council shall be entitled to reimbursement for their reasonable below-listed necessary expenses associated with attending Events in a manner and in the amounts set forth in this policy.

Authorized Event Expenses

The City Council must complete a [Training Request form](#) and submit to the City Clerk or designee.

Except as otherwise provided herein, the following types of Event expenses are approved for reimbursement, subject to the expenses meeting the above policy test of appropriateness, relevance and reasonableness.

Transportation

1. *Airline* – When possible, reservations should be made as early as possible to take advantage of any discounts offered by the airlines. Except where prior approval is granted by the City Council, air travel costs above the regular coach fare shall not be reimbursable.

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Should the individual choose a higher fare, the individual must pay the difference between the lowest priced reasonable fare and the higher fare.

2. *Personal Car* – The use of a personal car for travel on City business is permitted. For travel within the ~~S~~state by personal car, reimbursement shall be at the IRS rate. Mileage shall be submitted on the applicable City reimbursement form along with a Google Map showing miles traveled. When a personal car is used for out-of-~~S~~state travel, reimbursement will be based on the IRS rate, but not to exceed the cost of coach class airfare had airfare been used instead of travel by automobile.

Lodging

Hotel accommodations should be appropriate for the purpose of the trip. As such, unless there are unusual circumstances, reimbursement will be made for only standard double rooms. Receipts for lodging costs should be secured. If a family member accompanies the City Council, reimbursable lodging costs shall be that of a single room (if different from double-room rate). When attending Events, one of the designated Event hotels should be selected. The City Council will be reimbursed for hotel expenditures incurred for Events.

Meals

When registration includes one or more meals, the individual is expected to utilize the meal(s) supplied by the Event and not have additional meal expense unless dietary needs require that the Council ~~M~~member purchase a different meal and/or city-related business necessitates that the Council ~~M~~member miss the hosted meal.

The City Council shall be entitled to reimbursement for meals and associated gratuities in an amount up to the per diem rate. The per diem amount would be the maximum allowable under the IRS high-low substantiation method. Follow this link for Meals & Incidentals (M&IE) Breakdown <https://www.gsa.gov/travel/plan-book/per-diem-rates>.

Field Code Changed

The City Council shall be required to submit actual, detailed receipts documenting the expenses.

Expenses for meals, including gratuities, but excluding alcoholic beverages, will be reimbursed with receipts. Identify business purpose and names of people when claiming meal costs for more than the City Council member.

Eligibility for reimbursement of meal expenses is as follows:

- To be eligible for breakfast, the traveler must be in travel status by 6:00 AM.
- To be eligible for lunch, the traveler must be in travel status between 11:00 AM and 1:00 PM.
- To be eligible for dinner, the traveler must be required to remain in travel status until 8:00 PM.



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Local Transportation

Local transportation costs for attendance at Events outside the City, including taxi fare or other reasonable transportation (including tips) are reimbursable. Parking expenses for personal car or City car may also be included. Car rental costs are not reimbursable unless it can be reasonably demonstrated that it was necessary or less costly compared to other local transportation alternatives. Receipts must be provided for documentation of expenses.

Out of State Travel

For travel outside Minnesota, the IRS includes the continental United States. The purpose of the trip must be unquestionably professional in content and should only be considered if a similar Event cannot be found within the State. International travel, other than extreme situations as outlined in the IRS Code, is not deductible by the IRS as a business expense and will be considered a taxable benefit to the recipient.

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The City Council shall approve via motion all out-of-state travel requests for ~~the City Council, Board and Commission~~ members. Motion must include:

- Explanation of training relevant to the City ~~n~~Networking ~~/~~relevant to the City.
- Study facility or function relevant to the City ~~/~~Goodwill relevant to the City.
- Testify and/or meet with federal/state officials relevant to the City (Note: may not be sponsored by or affiliated with political parties).
- Budget expense.

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Registration

Fees for registration at any Event attended are reimbursable. A receipt for the registration fee is required. Registration shall be made as early as possible to take advantage of any discounts.

Tips

Expenses for tips should be included with meal expenses and are subject to per diem rates. All other City business-related expenses for which reimbursement is requested, for example, transportation to and from airport, local cab fare, baggage handling and other tips, should be itemized with documentation attached where practicable. Maximum gratuity of 20%.

Reimbursement Procedure

To apply for reimbursement, complete ~~a~~City Council ~~r~~Reimbursement ~~f~~Form with expenditures totaled, receipts attached and signature of the person requesting reimbursement should be submitted to the City Clerk or designee and approval by the City Administrator or designee within 60 days of the Event. All reimbursement requests must be submitted in the same fiscal year. Upon ~~his~~ ~~or her~~ approval, the voucher will then be submitted for processing and approval by the City Council.

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Approval by the City Council of professional development and expense reimbursement outlined in this policy is part of the normal disbursement approval process.

The City will require appropriate documentation and/or receipts for any expense reimbursement requested under this policy. Alcoholic beverages are excluded from reimbursement.

Limitations

Travel and training will not be paid for an individual that has announced their intention to not seek re-election. Newly elected/appointed officials, who have not yet taken office, may, with approval, attend training ~~beforehand~~ prior to officially taking office.

Miscellaneous

The City Council shall be entitled to reimbursement for miscellaneous expenses incurred in the performance of their duties and in the course and scope of their City Council activities and which are reasonably related to City business including:

- Actual cost of telecommunication charges when the City Council are away from City Hall.
- Other miscellaneous charges reasonably related and necessary to the activity, including gratuities, parking, shuttle and taxi charges.

Unauthorized Expenses

The following expenditures incurred by the City Council in the course and scope of their official duties attending events shall not be reimbursed without prior Council approval:

- The personal portion of any trip;
- Political contributions;
- Travel or air insurance premiums;
- Family expenses, including those of a partner when accompanying a Councilmember on official business, child or pet care;
- Entertainment expenses, including theater, shows, movies, sporting events, golf, spa treatments, etc.;
- ~~Non-mileage personal automobile expenses, including repairs, insurance, gasoline, traffic citations, etc.~~
- ~~Personal losses incurred while on City business.~~
- ~~Non-mileage personal automobile expenses including repairs, insurance, gasoline, traffic citations; and~~

- ~~Personal losses incurred while on City business.~~

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Board and Commission Member-s Travel

Any travel by board or commission members should follow the same requirements and procedures as the City Council policy. Board and commission members should only travel to Events if relevant staff deem it is necessary to the work of the board or commission.

All in-state travel for board and commission members must be approved by the relevant department director and the City Administrator.

Any out-of-state travel for board and commission members must be approved by relevant staff liaisons, the relevant department director and the City Administrator. City Council approval, following the above process, is also required.

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1.03 CITY ADMINISTRATOR PERFORMANCE REVIEW POLICY
CITY COUNCIL
Enabling Legislation: R2018-040
Date Adopted: 04/17/202018
Revised: 06/16/2020; M2020-076 04/16/242120

PURPOSE

The purpose of the City Administrator Performance Review Process policy is to establish clear guidelines and procedures for the City Administrator’s regular annual performance review. The performance review process is intended to establish and communicate performance expectations, goals and objectives for the City Administrator; identify the City Administrator’s strengths and areas for improvement in meeting these expectations; and foster the City Administrator’s professional development.

The Annual City Administrator Performance Review will provide helpful, real-time feedback from the Mayor and City Council and select direct reports. This process is an effective means to meet the objectives of a performance evaluation of establishing and communicating performance expectations, goals, and objectives; to provide recognition of accomplishments and to have a discussion regarding expectations and goals for the upcoming year. Identifying the City Administrator’s strengths and areas for improvement in meeting these expectations; and fostering the City Administrator’s professional development. When used for professional development, the review offers a number of benefits, including increased self-awareness, identification of potential problem areas and gaps in perception of professional development, and increased communication and openness among employees.

PROCESS

The Council Employment Policy Committee will work with the Communications and Human Resources Director to recommend to the City Council the City Administrator performance review timeline, review tool(s) to be used, and a possible third party to assist with the review process. Each year, the performance review process will be reviewed shortly after the evaluation is completed to finalize the process for the following year.

Approximately four weeks prior to City Administrator hire date anniversary, Communications and Human Resources Director submits the following to Mayor and City Council as governed by the State of Minnesota Government Data Practices Act:

- 1. A copy of prior year’s Performance Review Summary Report and the City Administrator’s update on goals from the current review period.
- 2. Electronic evaluation tools (surveys) for completion by the Mayor, each City Council member and City Administrator (self-assessment), which will include competency ratings/comments and narrative feedback in specific areas relevant to the City Administrator’s job and goals.

EVALUATION GUIDANCE FOR EVALUATORS

Much or most of the data collected, received and disclosed in the City Administrator’s performance evaluation process is not public data. Therefore, any individual collecting or receiving this data can only disclose or discuss the data as expressly authorized under the Minnesota Government Data Practices Act and/or Minnesota Open Meeting Law or successor laws, which provide that such data can only generally



1.03 CITY ADMINISTRATOR PERFORMANCE REVIEW POLICY

CITY COUNCIL

Enabling Legislation: R2018-040

Date Adopted: 04/17/2020

Revised: 06/16/2020; M2020-076 04/16/242120

be disclosed or discussed at a City Council or committee meeting as reasonably necessary to discuss the performance evaluation of the City Administrator.

1. Evaluate work performance for the entire period being evaluated. Evaluators should refrain from basing evaluations on recent events or isolated incidents only.
2. Disregard your personal impression of the employee and base the evaluation on one factor at a time.
3. Evaluate the employee on the basis of standards you expect to be met for the job considering the length of time in the job. Choose the rating which most accurately reflects the level of performance for the specific factor being evaluated using the rating scale in the evaluation tool.
4. Make sure feedback is provided in a confidential, non-threatening manner. If the participant feels threatened by getting feedback, they will be less open to receiving it.
5. Describe concrete examples to support your evaluation of each factor.
6. Communications and Human Resources Director notifies select direct reporting staff that Third Party will be interviewing them to gain mutual understanding of the City Administrator's contribution and developmental needs.
7. Third Party/Consultant interview Department Coordination Team members either by phone or in person.
8. Mayor and City Council members complete the performance evaluation through the electronic evaluation tool.
9. City Administrator completes Self-Assessment and goals for the current review period.
10. Communications and Human Resources Director will tabulate the evaluation results and provide the electronic aggregate and summary evaluation report to the Third Party/Consultant.
11. City Administrator meets with Third Party to review Self-Assessment and goals for the current review period.
12. Distribution of City Administrator Self-Assessment and progress of goals for the current review period to City Council.
13. Third Party prepares Performance Review Summary Report for facilitation.
14. Third Party provides City Council with Performance Review Summary Report.
15. At a properly noticed and scheduled regular or special City Council performance review meeting, the Mayor, City Council, and Communications and Human Resources Director, and/or third party will discuss with City Administrator the aggregate and summary evaluation report and the City Administrator's self-assessment and the intertwined issues of goals, application of the employment agreement, and salary change.
16. If the performance review meeting was closed, the Mayor and City Council will summarize its conclusions regarding the evaluation and take action on any salary change at its subsequent open meeting.
17. The Communications and Human Resources Director will prepare resolutions for consideration of compensation of the City Administrator in the open meeting. The following options will be included in the resolutions for consideration:
 - a. No change (0%) to salary if performance did not meet expectations. In this circumstance, similar to other employees, the City Administrator would continue to receive Council approved cost of living adjustments to the City's Base Pay Schedule at the current pay grade.
 - b. One step increase upon anniversary date if performance meets or exceeds expectations.



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- c. Other option – more than one step increase (such as two step increase or more) upon anniversary date if performance meets or exceeds expectations. If the City Council action directs another salary change concept, the Communications and Human Resources Director will add the appropriate language in the resolution(s) as directed by Council with the salary change that was proposed.
18. Third Party will prepare open and closed meeting statement summaries.



1.04 RECOGNITION POLICY
CITY COUNCIL
Enabling Legislation: M2020-080
Date Adopted: 06/16/2020
Revised: N/A 05/19/23 11/21/2023 04/16/24

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PURPOSE

The City Council recognizes ~~the~~ professional and dedicated service ~~performed by the Board and Commission Members of the City of Northfield~~ and has adopted a formal Recognition Program.

POLICY

The City Council believes that this policy serves a public purpose as we honor public service of our community members currently serving on Boards and Commissions and City Council, former Mayors, and former City Administrators.

Appreciation Programs

Mayor, Council Members, City Administrator and Department supervisors will ~~honor~~recognize individual participants and special department ~~achievements~~recognitions. The City will contact the media and take pictures of the program.

Flowers and Sympathy Card

~~In the event of a death of current Board and Commission Members, current City Council Members, former Mayors and City Council members and former City Administrators, the City will purchase a sympathy card and flowers with a value up to \$75, or a tree will be planted in memory of the departed. and a sympathy card in the event of a death of current Board and Commission Members, current City Council Members, former Mayors and City Council members and former City Administrators. In lieu of flowers, a tree will be planted in memory of the departed.~~

A sympathy card will be ~~made available~~available in the ~~Communication and Human Resources Office~~for City Council, Board and Commission Members, and ~~C~~city employees' signatures.

City staff member(s) will deliver the sympathy card.

Any purchase of flowers or monetary donation related to the death of former Board and Commission Members, and current or former staff members, or the spouse or immediate family member of any of the above listed will not be paid for with City funds.



1.06-05 EMERGENCY OPERATIONS PLAN POLICY

COUNCIL

Enabling Legislation: R2011-018

Date Adopted: 02/15/2011

Revised: ~~11/21/2023~~04/16/24

POLICY

The City has a priority to provide response to deal with situations of immediate emergency where there is a likely potential of serious injury or death to individuals if not dealt with. The City's infrastructure must be preserved and protected so the City can continue to function as needed. The function of Public Safety is to have a presence at the emergency to restrict access to areas, monitor the emergency and protect the public generally from the dangers of the event. Prediction and warning is a crucial effort of the City and Public Safety. The ability of the City to assist individual homeowners and private businesses with preservation becomes a resource issue; hence, private property ~~that~~ will be the responsibility of the ~~private individual~~ property owner. The City will provide private resource information as it relates to property preservation to its residents and businesses.

The priorities of the City will be the following:

1. Emergency response to situations that need immediate attention. These would be situations to preserve life and/or a threat of serious injury
2. Responder Safety
3. City-Owned Infrastructure and Services Preservation
4. Interoperability/Communications with emergency personnel and the community
5. Coordination of Volunteers
6. Business and Residential Property assistance (non-emergency, including preservation of property)
7. Cost Tracking
8. Recovery Efforts and Clean Up
9. Demobilization

Staff will ~~prepare~~ maintain an Emergency Operations Plan ~~flood preparedness plan to be used for community outreach based based~~ on the ~~adopted above~~ priorities.



2.01 COMMUNITY EVENTS POLICY
ADMINISTRATION
Enabling Legislation: M2014-021
Date Adopted: 02/18/2014
Revised: N/A 04/16/2420

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PURPOSE

The City of Northfield recognizes the value of community events in building a vibrant and healthy community. The City promotes regular and active use of public property and encourages a wide variety of community events.

POLICY

- The purpose of the Community Events Policy and permitting process is to provide guidance to event organizers to ensure a safe and successful event. The Policy was also created to ensure that:
- Decisions regarding in-kind grant support, and approval or denial for Community Events permit applications are considered using an open, inclusive and transparent method based on uniform criteria.
 - Insurances and licenses appropriate for Community Events are obtained, and the City's risk exposure is properly evaluated.
 - Adequate protection of public health, safety and welfare of citizens is provided for all Community Events.
 - Adequate staffing levels are in place to provide for Community Events.

- The criteria listed below will be used in evaluating in-kind grant support. Please note that not all criteria apply to every event.
- Event has wider community benefit beyond supporting organization.
 - Event is marketed beyond Northfield with the potential to attract visitors from a broader region that will contribute to the local economy.
 - Event is presented by proven organization and supported with sufficient volunteers.
 - Event will build/enhance community.
 - Grant encourages a new event which has potential to grow.
 - The event meets Public Purpose expenditure guidelines:
 - 1) promotes the health, safety, and welfare of the city, and
 - 2) does not have as its primary objective the benefit of a private interest.
 - Events that have previously received in-kind grant support will be required to provide a recap of the previous event to include estimated attendance, marketing and economic benefit.

Community Events can often exceed the City's capacity to provide usual City services. Regulations are necessary to ensure that such events are conducted with sufficient consideration given to public safety issues, including, among other considerations, the impact of such events on parking and vehicular traffic within the City, and expenditure of City funds. All events are subject to applicable local ordinances and state law requirements whether expressly stated in the policy or not.



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Definitions

For purposes of this policy, the following terms shall have the meaning given to them:

- a. "Person" is defined as a natural person, association, organization, club or group formed for a common purpose, partnership of any kind, Limited Liability Company, corporation or any other legal entity.
- b. "Community Events" is defined as an outdoor gathering of at least 25 individuals on public property, assembled with a common purpose. Community Events include, but are not limited to: concerts, fairs, carnivals, circuses, parades, flea markets, marathons, walkathons, festivals, races, bicycle events, celebrations or any other gathering or events of similar nature, or the use of any location in the City as a location for a commercial video or film production regardless of the number of individuals involved in the project. Community Events do not include non-commercial events that are:
 - Held on private property (Note: private events on private property requesting public services will be billed directly).
 - Private events held in public parks such as weddings, graduation parties or social parties.
 - Block parties.
 - Special Events sponsored and managed by the City of Northfield.
- c. "Small Event" is defined as an event where no City support is necessary and there are only low risk/exposure activities involved.
- d. "Large Event" is defined as an event where City support is necessary, in-kind grant support is requested, the event consists of multiple components, or the event has activities in the moderate or high risk/exposure categories as defined in the Insurance Section on page 3.
- e. "Vendor" is defined as someone who offers or sells goods or services.

Types of Events

- **Non-Profit Events:** The City may provide in-kind grant assistance to assist Community Events operated by non-profit organizations. These events must meet the other requirements of the Policy, and must reimburse the City for any City costs in excess of the support level.
- **For-Profit Events:** The City will allow other Community Events operated by for-profit sponsors who are beneficial to the City and the public. The organizers of these events will be required to pay 100% of all City costs related to the event. These events must meet the other requirements of the Policy.
- **Commercial Filming/Video Projects:** Organizations which request any location in the City as a location for a commercial video or film production shall be required to coordinate the production with the City Administrator's Office. The City Administrator's Office shall have the authority to grant permission for commercial video or film production in the City and to allow use of City facilities for this purpose. All commercial video or film productions shall be required to pay 100% of all costs. Further there shall be a 25% administrative fee placed on the final billing for such productions. In addition, rent may be charged for the use of public areas such as parks and streets. The rent shall be set by the City Administration based on the overall impact of the production on the public areas being used.



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Permit Required

A permit is required to hold a Community Event within the City. The event sponsor will be required to enter into a cooperative license agreement with the City. [The City of Northfield Community Event Application can be found on the City's website or obtained through the City Clerk.](#) ~~Click to obtain a City of Northfield Community Event Application.~~

Application for Permit/Fees

- A complete application must be submitted at least **45** days in advance of the event. Application forms are available at the City Clerk's office. [The fee schedule, including fees for community events, can be found on the City's website.](#) ~~The fee for a small event is \$20.00. The fee for a large event is \$100.00.~~ The fee must be submitted to the City with the completed application. A refundable damage deposit may be required. In addition to the fee and refundable damage deposit, the applicant shall pay all additional costs incurred by the City as a direct result of the ~~C~~community Event. Staff will provide estimated costs to the applicant. Failure to provide a complete application or to pay the fees is sufficient reason to deny the Community Event permit. Any waiver of costs and/or award of in-kind grant support must be approved by the City Council. The event must meet Public Purpose expenditure guidelines for any waiver of costs or in-kind grant support. These guidelines are as follows:
 - promotes the health, safety, and welfare of the City, and
 - does not have as its primary objective the benefit of a private interest.

Maintenance of Public Property

The applicant shall keep the premises in a sanitary condition, remove all trash during and after the event, and provide adequate portable toilets if needed. Applicant shall instruct all vendors about recycling requirements and shall provide receptacles for collection of recyclables. Applicant shall be responsible for repair of any damages.

Use of Alcohol

There shall be no sale, service or consumption of alcoholic beverages without obtaining a temporary liquor license. [Applications for a temporary liquor license is also](#) ~~are~~ available from the City Clerk. In addition to all other applicable state and local liquor regulations and laws, additional conditions and insurance requirements shall apply to events involving the use of alcohol. This information will be included with the temporary liquor license and license agreement.

Use of Electricity

If electricity is needed for an event, the State Electrical Inspector must be contacted prior to event set up to determine if an electrical inspection is needed. [The State Electrical Inspector for Northfield is Randy Edel. Phone number 507-334-3748. Call between 7:00 a.m. — 8:00 a.m. Monday Friday.](#)

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Costs

The applicant will be responsible for all costs related to the event. These include, but may not be limited to:

- Electricity
- Water
- Use of city equipment
- Staff time for: street closures, posting of no-parking signs, assistance with crowd control, delivery, set up and tear down of equipment, etc.
- Repair and restoration for any damage to city property
- Additional police and/or fire protection or other city services

Applicant will be provided with estimates of the costs related to the event. The City Council must approve any waiver of fees or associated costs including award of in-kind grant support.

Maintenance of Animals

Applicant will be permitted to allow cattle, horses and other animals on the premises for the purposes of regularly scheduled events for a reasonable period before and after the particular show or event. The animals shall be maintained in a humane and orderly fashion so as to not cause a disturbance to the public. Applicant shall clean up the premises of any animal waste or feed immediately after the conclusion of the event.

Insurance

Insurance for all vendors operating on public property is required. The City shall collect one insurance certificate from the event sponsor/licensee. A certificate of insurance shall be submitted with the application (or a minimum of 45 days prior to the event). Certificates shall name the City of Northfield as an additional insured. An example insurance certificate is attached.

The Event Sponsor/Licensee is responsible for requiring that all vendors, operators and/or participants have the appropriate insurance.

All events proposed by the event sponsor shall be covered events. If any event is not fully covered and/or excluded by the vendors' insurance policy, the City will require that event sponsor/licensee provide insurance for the event at limits greater ~~than~~ or equal ~~to~~ those required by the City. In addition, the licensee will indemnify and hold harmless the City for any and all events sponsored.

The City has established a risk/exposure control guide. The City reserves the right to require higher levels of insurance based on risk factors and past experience. The insurance coverage amounts required are dependent on the risk/exposure level of the activity as noted below. The Risk Manager will review each Community Event Application and assess the potential risk/exposure to the City of Northfield according to the following risk categories:



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Class I – Low risk/exposure: Involves no physical activity by participants and no severe exposure to spectators. Examples of events in this category include, but are not limited to: meetings, seminars, social gatherings, theatrical performances, community band performances, plant sales, etc. It shall be the policy of the City to not routinely require insurance coverage for events classified as Class I – Low Hazard. This waiver of the insurance requirements is meant to cover small gatherings or ceremonies, are limited to passive participation by the public, require no use of electricity, and require no City services. All other events are required to provide insurance as outlined in this policy.

Class II – Moderate risk/exposure: Involves moderate physical activity by participants and no severe exposure to spectators. Events in this category include, but are not limited to: amateur team sports, dances, marathons, races, political rallies, flea markets, art fairs, food vendors/food activities, and events that involve the use of electricity. It shall be the policy of the City to require insurance coverage amounts of at least \$1,000,000/occurrence and \$2,000,000/aggregate or the limits of the event sponsor/licensee policy, whichever is greater.

Class III – High risk/exposure: Involves major participation by participants and/or moderate/severe exposure to spectators. Events in this category include, but are not limited to: parades with floats, circus/carnivals, and semi-pro team sporting events, rock concerts, alcoholic beverage sales, vehicle races, demolition derbies, firework displays, carving events/competitions, professional sporting events, dunk tanks, tractor pulls, and rodeos. Events involving motor vehicle races, stunts, demolition derbies, mechanically operated amusement devices, rodeos, tractor pulls, dunk tanks, and fireworks displays require specialized insurance, indemnification, waivers, and/or inspection reports, thereby requiring special handling, review and authorization. It shall be the policy of the City to require insurance coverage amounts of at least \$2,000,000/occurrence and \$4,000,000/aggregate or the limits of the event sponsor/licensee policy, whichever is greater.

The insurance shall cover all losses related to the events in which the insured is involved, including set up and takedown.

The League of Minnesota Cities offers a program that provides private individuals and groups with access to low-cost liability coverage for special events held at city facilities. Information regarding this program [can be found here](#) is attached. This is for informational purposes only. There is no requirement to use this program.

Waivers

Applicant shall collect for all participants prior to each event signed participant waivers by the participants in runs, walks, bike rides, and any other events occurring on City property. No one shall be allowed to participate in such events without signing a waiver. Waivers must be retained by the event



2.01 COMMUNITY EVENTS POLICY
ADMINISTRATION
Enabling Legislation: M2014-021
Date Adopted: 02/18/2014
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sponsor/licensee at the end of the event. An example waiver/indemnification form is attached. In most instances, waivers will be required for Class II and III activities.

Issuance, Conditions License Agreement

Permit applications shall be submitted to the City Clerk. The City Clerk will forward applications received to applicable departments for review of the proposed event. Departments shall submit their reports, recommendations and estimated costs.

Certain Community Event permits will require City Council approval. These events include, but may not be limited to:

- Events involving extensive use of public property (may include more than one area and/or significantly limit use by the general public)
- Events that are held for more than one day
- Events involving the sale, consumption or service of alcohol
- Events where the applicant is requesting in-kind community grant support
- Events where staff has recommended denial if the applicant chooses to appeal the staff decision.

The City may attach such reasonable conditions to the permit as are deemed necessary to protect the public health, safety and welfare, including, but not limited to the following:

- Location and hours during which the event may be held
- Sanitation/availability of potable water
- Security/crowd management
- Parking and traffic issues
- Emergency and medical services
- Clean-up of premises and surrounding area/trash disposal
- Insurance
- Lighting
- Fire service/safety
- Temporary construction, barricades/fencing
- Removal of advertising/promotional materials
- Noise levels
- Alcohol consumption
- Notification of surrounding businesses/property owners regarding street closures and event related restrictions
- Any other conditions which the City deems necessary

A license agreement will be required between the event sponsor and the City of Northfield for all community events. This agreement must be signed by the applicant prior to Council approval. An example agreement is attached.



2.01 COMMUNITY EVENTS POLICY
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Exceptions to the Permit

The permit requirement contained in this policy does not apply to the following:

- Community Events sponsored and managed by the City of Northfield
- Funerals and funeral processions
- The grounds of any school, playground, place of worship, hotel conference center, stadium, athletic fields, arena, auditorium or similar permanent place of assembly when used for regularly-established assembly purposes
- ~~Block parties (complete a Block Party Permit application)~~
- Non-commercial events held on private property or in public parks such as weddings, graduation parties or other social parties (complete a [Picnic Shelter Reservation Permit](#) application or a [Park Event Reservation](#) form)

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Grounds for Denial or Revocation

Staff and/or Council shall have the discretion to consider, in granting, denying or revoking a permit, any reasonable facts or circumstances relating to public health, safety and welfare including, but not limited to, the following:

- The location of the Community Event would cause undue hardship for adjacent businesses or residents
- Another Community Event has already been approved at the same time requested by the applicant or so close in time as to cause undue traffic congestion, or to create a situation where the City is unable to meet the needs to provide for law enforcement and other City services for both community events
- The Community Event is of a size or nature that requires the diversion of too many law enforcement officers to properly police the event site and contiguous areas, and/or that allowing the community event would unreasonably deny law enforcement protection to the remainder of the city and its residents
- The time, route, hours, location or size of the Community Event could cause a threat to public safety, interference with normal traffic flow, congestion or inconvenience to the public
- The location of the Community Event will interfere with previously scheduled construction or maintenance work
- Failure to provide a completed application, fees, or providing false or misleading information
- The applicant fails to comply with the liability insurance requirements or the applicant's insurance lapses or is canceled
- The applicant fails to agree to abide or comply with all of the conditions and terms of the Community Event Permit
- The Community Event would seriously inconvenience the general public's use of public property, services or facilities
- The Community Event would create or constitute a public nuisance
- The Community Event could cause significant damage to public property or facilities
- The Community Event would engage in or encourage participants to engage in illegal acts



2.01 COMMUNITY EVENTS POLICY
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- The applicant is a minor at the time of the event
- The applicant hosted a previous event that violated the Community Events Policy
- The applicant has delinquent fees, charges or other outstanding financial claims with the City

Process for Denial or Revocation

Failure of any person to comply with any ~~of the~~ ordinance of the City or the laws of the state shall be grounds for denying or revoking a permit granted under this article. If a permit is denied or revoked by the City Council, the City will notify the applicant with the reason(s). The applicant will be allowed an opportunity to appeal a staff decision to deny an event to the City Council.

Any permit issued may be revoked by the Chief of Police or designee at any time when, by reason of violation of city code, state law, disaster, public calamity, riot or other emergency, the Chief of Police or designee determines that the safety of the public or property requires such revocation.



2.02 ENSURING THE SECURITY OF NOT -PUBLIC DATA POLICY
ADMINISTRATION
Enabling Legislation: M2014-187
Date Adopted: 10/7/202014
Revised: N/A 04/16/2420

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POLICY PROCEDURES

Data Inventory

Under the requirement in Minn. Stat. § 13.025, subd. 1, the City has prepared a Data Inventory, which identifies and describes all ~~not -~~public data on individuals maintained by the City. To comply with the requirement in Minn. Stat. § 13.05, subd. 5, the City will also include in its Data Inventory the position titles of the employees who have access to ~~not -~~public data.

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In the event of a temporary duty as assigned by a supervisor, an employee may access certain ~~not -~~public data, for as long as the work is assigned to the employee.

In addition to the employees listed in the City’s Data Inventory, the Responsible Authority, the Data Practices Compliance Official, the City Administrator, senior management employees, and the City Attorney may have access to all ~~not -~~public data maintained by the City if necessary for specified duties. Any access to ~~not -~~public data will be strictly limited to the data necessary to complete the work assignment.

Employee Position Descriptions

Position descriptions may contain provisions identifying any ~~not-public-not public~~ data accessible to the employee when a work assignment reasonably requires access.

Data Sharing with Authorized Entities or Individuals

State or federal law may authorize the sharing of ~~not-public not public~~ data in specific circumstances. ~~Not-publicNot public~~ data may be shared with another entity if a federal or state law allows or mandates it. Individuals will have notice of any sharing in applicable Tennessee warnings (see Minn. Stat. § 13.04) or the City will obtain the individual’s informed consent. Any sharing of ~~not-publicnot public~~ data will be strictly limited to the data necessary or required to comply with the applicable law.

Ensuring That ~~Not-PublicNot Public~~ Data Are Not Accessed Without a Work Assignment

Within the City, departments may assign tasks by employee or by job classification. If a department maintains ~~not-publicnot public~~ data that all employees within ~~saiduch~~ department do not have a work assignment allowing access to the data, the department will ensure that the ~~not-publicnot public~~ data are secure. This policy also applies to departments that share workspaces with other departments within the City where ~~not-publicnot public~~ data are maintained.

Recommended actions for ensuring appropriate access include:

- Assigning appropriate security roles, limiting access to appropriate shared network drives, and implementing password protections for ~~not-publicnot public~~ electronic data
- Password protecting employee computers and locking computers before leaving workstations
- Securing ~~not-publicnot public~~ data within locked work spaces and in locked file cabinets



2.02 ENSURING THE SECURITY OF NOT -PUBLIC DATA POLICY
ADMINISTRATION
Enabling Legislation: M2014-187
Date Adopted: 10/7/202014
Revised: N/A 04/16/2420

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- Shredding ~~not public~~not public documents before disposing of them

Penalties for Unlawfully Accessing ~~Not Public~~Not public Data

The City will utilize the penalties for unlawful access to ~~not public~~not public data as provided for in Minn. Stat. § 13.09, if necessary. Penalties include suspension, dismissal, or referring the matter to the appropriate prosecutorial authority, who may pursue a criminal misdemeanor charge. All City employees should also refer to the City’s employee handbook for specific policies related to data, security and related penalties.

Legal Requirement

The adoption of this policy by the City of Northfield (City) satisfies the requirement in Minn. Stat. § 13.05, subd. 5, to establish procedures ensuring appropriate access to ~~not public~~not public data. By incorporating employee access to ~~not public~~not public data into the City’s Data Inventory (required by Minn. Stat. § 13.025, subd. 1), in the individual employee’s position description, or both, the City’s policy limits access to ~~not public~~not public data to employees whose work assignment reasonably requires access.

Please direct all questions regarding this policy to the City’s Data Practices Compliance Official:

City Clerk
Phone: 507-645-3001
Fax: 507-645-3055
Northfield City Hall
801 Washington St.
Northfield, MN 55057



2.03 MEETING ROOM POLICY
ADMINISTRATION
Enabling Legislation: M2015-082
Date Adopted: 07/13/202015
Revised: N/A 04/16/2420

PURPOSE

The City of Northfield is a public entity with facilities that are available to all. The intent of this policy is to make the City's limited meeting room space available to the Northfield community on an equitable basis for educational, charitable, and cultural community meetings and programs.

Disclaimer: Use of the City's meeting room does not imply the endorsement or approval of the group using the meeting room, the meeting, or the ideas presented at the meeting. No publicity or promotion of the meeting should state or imply City department or City of Northfield endorsement or sponsorship of the event or the organization. Groups may not use any department within the City of Northfield's name or address as their address or headquarters location.

POLICY

Meeting Room Purpose and Use

The primary use for City meeting spaces is to support official City meetings, events and programs. Meeting rooms may be reserved for use by the City, official City ~~boards/-~~commissions and other government entities through each City ~~department-facility~~ with public meeting space. Priority will be given to these City meetings and events.

When City meeting rooms are not reserved for officially recognized entities, these spaces may be ~~reserved-requested~~ by local non-profit and other community organizations for meetings open or closed to the public.

Reserving the Meeting Room

- ~~City Hall~~ Meeting rooms may be reserved by filling out the City Hall Meeting Room Request form on the City's website or contacting the Administration department.
 - City Council Chambers in City Hall are primarily reserved for official City business, including City Council regular and work session meetings, official City board and commission meetings, internal City staff meetings and official City public events. Exceptions to this policy may be made by the City Administrator or their designee.
 - Library meeting rooms may be reserved by filling out the calendar request on the Library's website or contacting Library staff.
 - The Police Department meeting room can be reserved by contacting Police Department staff, contacting the specific department housing the requested space via telephone, email or in person. Bookings may be handled by designated City department staff; however, all questions regarding the booking may be referred to the department director.
- To reserve a City meeting room, the requester(s) must follow/meet the following criteria:

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2.03 MEETING ROOM POLICY
ADMINISTRATION
Enabling Legislation: M2015-082
Date Adopted: 07/13/202015
Revised: N/A 04/16/2420

- Meeting rooms may only be reserved during regular operating hours when these buildings are open to the public. ~~For hours of operation, see specific department information.~~ Hours of operation can be found on the City's website.
- Provide at least two weeks' notice in advance of the date of the meeting/event.
- Pay any fees associated with use of the meeting room. Applicable fees can be found in the fee schedule on the City's website.

OTHER CONSIDERATIONS

Exclusions/Request Denials~~EXCLUSIONS/REQUEST DENIALS~~

~~The~~City meeting rooms are not available for commercial purposes, fundraising or sale of items. The City also reserves~~holds~~ the rights to decline requests for the following reasons: The only exceptions to this will be:

- No meeting rooms are available due to scheduled or anticipated City meetings.
- Meeting request falls outside of regular building hours.
- Meetings that may interfere with the regular use of City department functions because of noise, activity, etc.
- Two weeks' notice, at minimum, was not provided to staff in advance of the date requested.
- Meeting needs will take too much staff time or City resources.
- Meeting are affiliated with a political party or organization.

Other Considerations~~OTHER CONSIDERATIONS~~

1. Programs or sales conducted by non-profit groups of which the proceeds or a percent thereof will go to the direct benefit to City-owned entities and b) sale of material directly related to a City-sponsored program which has had the prior approval of the department director.
- ~~2. Meetings that may interfere with the regular use of City department functions because of noise, activity, etc., will not be permitted.~~
- ~~3. City Council Chambers in City Hall are primarily reserved for official City business, including City Council regular and work session meetings, official City board and commission meetings, internal City staff meetings and official City public events. Exceptions to this policy may be made by the City Administrator or his designee.~~
- ~~4. Meeting rooms will be available during regular operating hours when buildings are open to the public.~~
 - 5. • The City assumes no responsibility for materials, equipment or any other article left by an organization, group or individual in City facility meeting spaces, and will not be liable for loss, theft or damage thereto.
 - 6. • Meeting Room use does not include the use of staff time other than to provide access to the facility. Staff assistance beyond this definition must be requested at the time of the application and is dependent on staff availability. Fees for staff assistance are outlined in the City's ~~f~~Fee ~~s~~Schedule, which can be found on the City's website.

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2.03 MEETING ROOM POLICY
ADMINISTRATION
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7. Hourly fees have been established for use by non-profit organizations that charge a fee or tuition, or for non-profit group use that is not open to the public ~~(see Fee Schedule).~~ Fees for hourly rates are outlined in the City's fee schedule, which can be found on the City's website.
8. Fees have also been set for additional room cleanup. Groups using the meeting room are expected to set the room up as they wish and to leave it as they found it. Please allow enough time prior to the start of the meeting for set up and after the meeting for clean-up. ~~clean-up.~~ Fees for custodial rates are outlined in the City's fee schedule, which can be found on the City's website.
9. Light refreshments are permitted in City meeting rooms. Access to kitchen facilities (if applicable) must be requested at the time of application. No alcoholic beverages are allowed in any City meeting room or on City premises. In the event that liquids are spilled, the contact person should notify ~~department~~ City staff so that the stain can be properly treated. Additional cleaning costs may be assessed to the booking organization. Users must supply all items such as paper products, food, coffee and other beverages.
10. No tobacco use or intoxicating cannabinoid or cannabis use is allowed anywhere in City buildings.
11. Any applicable Fees must be paid prior to the time of use.
12. ~~Each Department Director will review and approve meeting room applications pertaining to their building use will establish and publish regulations based on this adopted policy statement.~~

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2.04 DATA PRACTICES POLICY FOR MEMBERS OF THE PUBLIC
ADMINISTRATION
Enabling Legislation: 2014-146
Date Adopted: 12/9/2014
Revised: 02/02/21, R2021-013, 09/19/23 04/16/24 20

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RIGHT TO ACCESS PUBLIC DATA

The Government Data Practices Act (Minnesota Statutes, Chapter 13) presumes that all government data are public unless a state or federal law says the data are not public. Government data is a term that means all recorded information a government entity has including paper, email, DVDs, photographs, etc.

The Government Data Practices Act also provides that this government entity must keep all government data in a way that makes it easy for you, as a member of the public, to access public data. You have the right to look at (inspect), free of charge, all public data that we keep. You also have the right to get copies of public data. The Government Data Practices Act allows us to charge for copies. You have the right to look at data, free of charge, before deciding to request copies.

HOW TO MAKE A DATA REQUEST

To look at data or request copies of data that this government entity keeps, you must make a specific written request to the City identifying the data you seek. Make your request for data to the appropriate individual listed in the Data Practices Contacts on page 3. You may make your request for data by mail, fax, or email, using the [Data Request Form](#).

If you choose not to use the data request form, your request should include:

- that you, as a member of the public, are making a request for data under the Government Data Practices Act, Minnesota Statutes, Chapter 13;
- whether you would like to look at (inspect) the data, get copies of the data, or both; and
- a clear description of the data you would like to inspect or have copied.

This government entity cannot require you, as a member of the public, to identify yourself or explain the reason for your data request. However, if you would like information sent to you, the City may need basic contact information for you, such as email address or mailing address. ~~depending on how you want us to process your request (if, for example, you want us to mail you copies of data), we may need some information about you.~~ If you choose not to give us any identifying information, we will provide you with contact information so you may check on the status of your request. In addition, please keep in mind that if we do not understand your request and have no way to contact you, we will not be able to begin processing your request.



2.04 DATA PRACTICES POLICY FOR MEMBERS OF THE PUBLIC
ADMINISTRATION
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HOW WE RESPOND TO A DATA REQUEST

Upon receiving your request, we will work to process it.

- If we do not have the data, we will notify you in writing as soon as **is** reasonably possible.
- If we have the data, but the data are not public, we will notify you as soon as reasonably possible and state which specific law says the data are not public.
- If we have the data, and the data are public, we will respond to your request appropriately and promptly, within a reasonable amount of time by doing one of the following:
 - arrange a date, time, and place for you to inspect data, if your request is to look at the data, or
 - provide you with copies of the data as soon as **is** reasonably possible. You may choose to pick up your copies, or we will mail or fax them to you. If you want us to send you the copies, you will need to provide us with an address or fax number. We will provide electronic copies (such as email or ~~CD-ROM~~ USB drive) upon request if we keep the data in electronic format.

Information about copy charges is on page 4.

We also will arrange for you to pre-pay for the copies.

If you do not understand some of the data (technical terminology, abbreviations or acronyms), please let us know. We will give you an explanation if you ask.

The Government Data Practices Act does not require us to create or collect new data in response to a data request if we do not already have the data, or to provide data in a specific form or arrangement if we do not keep the data in that form or arrangement. (For example, if the data you request are on paper only, we are not required to create electronic documents to respond to your request.) If we agree to create data in response to your request, we will work with you on the details of your request, including cost and response time.

In addition, the Government Data Practices Act does not require us to answer questions that are not requests for data.

REQUESTS FOR SUMMARY DATA

Summary data are statistical records or reports that are prepared by removing all identifiers from private or confidential data on individuals. The preparation of summary data is not a means to gain access to private or confidential data. We will prepare summary data if you make your request in writing and pay for the cost of creating the data. Upon receiving your written request – you may use the [Data Request Form](#) – we will respond within ten business days with the data or details of when the data will be ready and how much we will charge.



2.04 DATA PRACTICES POLICY FOR MEMBERS OF THE PUBLIC
ADMINISTRATION
Enabling Legislation: 2014-146
Date Adopted: 12/9/2014
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DATA PRACTICES CONTACTS

Responsible Authority

City Clerk
City of Northfield
801 Washington Street
Northfield, MN 55057
Tel: 507-645-3001 Fax: 507-645-3055

Data Practices Compliance Official

City Clerk
801 Washington Street
Northfield, MN 55057
Tel: 507-645-3001 Fax: 507-645-3055

Data Practices Designee(s):

Law Enforcement Data
Police Records Specialist
Northfield Police Department
1615 Riverview Drive
Northfield, MN 55057
Tel: 507-645-4477 Fax: 507-663-9323

Personnel Data

Communications – Human Resources Director
City of Northfield
801 Washington Street
Northfield, MN 55057
Tel: 507-645-3012 Fax: 507-645-3055

Property Data (Building, Planning/Zoning, Rental)

Community Development Administrative Associate
City of Northfield
801 Washington Street
Northfield, MN 55057
Tel: 507-645-3036 Fax: 507-645-3055



2.04 DATA PRACTICES POLICY FOR MEMBERS OF THE PUBLIC
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COPY COSTS FOR MEMBERS OF THE PUBLIC

This government entity charges members of the public for copies of government data. These charges are authorized under Minn. Stat. § Minnesota Statutes, Section 13.03, subdivision subd. 3(c).

You must pay for the copies before we will give them to you.

For 100 or fewer paper copies

100 or fewer pages of black and white, letter or legal-size paper copies cost \$0.25 for a one-sided copy, or \$0.50 for a two-sided copy. Regardless of number of pages, color copies are \$1.00 per page (\$2.00 for a two-sided copy).

Most other types of copies – actual cost

The charge for most other types of copies, when a charge is not set by statute or rule, is the actual cost of searching for and retrieving the data, and making the copies or electronically transmitting the data (e.g. sending the data by email).

In determining the actual cost of making copies, we factor in employee time, the cost of the materials onto which we are copying the data (paper, CD, DVD, etc.), and mailing costs (if any). If your request is for copies of data that we cannot reproduce ourselves, such as photographs, we will charge you the actual cost we must pay an outside vendor for the copies.

The cost of employee time (hourly rate) to search for data, retrieve data and make copies will be calculated based on the wages/salary and benefits of the lowest-paid entity employee who could complete the task.

Notwithstanding the foregoing, if, because of the subject matter of your request, we find it necessary for a higher-paid employee to search for and retrieve the data, we will calculate the search and retrieval portion of the copy charge at the higher salary/wage.



2.05 DATA PRACTICES POLICY FOR DATA SUBJECTS
ADMINISTRATION
Enabling Legislation: 2014-146
Date Adopted: 12/9/2014
Revised: 02/02/2021; R2021-013, 11/21/202303/12/24

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POLICY

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This policy is required by Minnesota Statutes, Chapter 13, section 13.05, subdivision 8.

DATA ABOUT YOU

The Government Data Practices Act (Minnesota Statutes, Chapter 13) says that data subjects have certain rights related to a government entity collecting, creating, and keeping government data about them. You are the subject of data when you can be identified from the data. Government data is a term that means all recorded information a government entity has, including paper, email, DVDs, photographs, etc.

CLASSIFICATION OF DATA ABOUT YOU

The Government Data Practices Act presumes that all government data are public unless a state or federal law says that the data are not public. Data about you are classified by state law as public, private, or confidential. See below for some examples.

1. **Public data:** We must give public data to anyone who asks; it does not matter who is asking for the data or why.

The following is an example of public data about you:

The names of City government employees.

2. **Private data:** We cannot give private data to the general public, but you have access when the data are about you. We can share your private data with you, with someone who has your permission, with our government entity staff who need the data to do their work, and as permitted by law or court order.

The following is an example of private data about you:

Social Security numbers.

3. **Confidential data:** Confidential data have the most protection. Neither the public nor you can get access even when the confidential data are about you. We can share confidential data about you with our government entity staff who need the data to do their work and to others as permitted by law or court order. We cannot give you access to confidential data.

The following is an example of confidential data about you:



2.05 DATA PRACTICES POLICY FOR DATA SUBJECTS
ADMINISTRATION
Enabling Legislation: 2014-146
Date Adopted: 12/9/2014
Revised: 02/02/2021; R2021-013, 11/21/202303/12/24

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The identity of the subject of an active criminal investigation.

YOUR RIGHTS UNDER THE GOVERNMENT DATA PRACTICES ACT

This government entity must keep all government data in a way that makes it easy for you to access data about you. Also, we can collect and keep only those data about you that we need for administering and managing programs that are permitted by law. As a data subject, you have the following rights.

- **Access to Your Data**

You have the right to look at (inspect), free of charge, public and private data that we keep about you. You also have the right to get copies of public and private data about you. The Government Data Practices Act allows us to charge for copies. You have the right to look at data, free of charge, before deciding to request copies.

Also, if you ask, we will tell you whether we keep data about you and whether the data are public, private, or confidential.

As a parent, you have the right to look at and get copies of public and private data about your minor children (under the age of 18). As a legally appointed guardian, you have the right to look at and get copies of public and private data about an individual for whom you are appointed guardian.

Minors have the right to ask this government entity not to give data about them to their parent or guardian. If you are a minor, we will tell you that you have this right. We may ask you to put your request in writing and to include the reasons that we should deny your parents access to the data. We will make the final decision about your request based on your best interests. **Note:** Minors do not have this right if the data in question are educational data maintained by an educational agency or institution.

- **When We Collect Data from You**

When we ask you to provide data about yourself that are not public, we must give you a notice. The notice is sometimes called a Tennessen warning. The notice controls what we do with the data that we collect from you. Usually, we can use and release the data only in the ways described in the notice.

We will ask for your written permission if we need to use or release private data about you in a different way, or if you ask us to release the data to another person. This permission is called informed consent. If you want us to release data to another person, you may use the consent form we provide.



2.05 DATA PRACTICES POLICY FOR DATA SUBJECTS
ADMINISTRATION
Enabling Legislation: 2014-146
Date Adopted: 12/9/2014
Revised: 02/02/2021; R2021-013, 11/21/202303/12/24

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- **Protecting your Data**

The Government Data Practices Act requires us to protect your data. We have established appropriate safeguards to ensure that your data are safe.

- **When your Data are Inaccurate and/or Incomplete**

You have the right to challenge the accuracy and/or completeness of public and private data about you. You also have the right to appeal our decision. If you are a minor, your parent or guardian has the right to challenge data about you.

HOW TO MAKE A REQUEST FOR YOUR DATA

To look at data, or request copies of data that this government entity keeps about you, your minor children, or an individual for whom you have been appointed legal guardian, you must make a specific written request to the City identifying the data you seek. Make your request for data to the appropriate individual listed in the Data Practices Contacts on page 65. You may make your request for data by mail, fax, or email, using the data request form [on the City's website, attached as Exhibit A.](#)

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If you choose not to use the data request form, your request should include:

- that you are making a request, under the Government Data Practices Act (Minnesota Statutes, Chapter 13), as a data subject, for data about you;
- whether you would like to inspect the data, have copies of the data, or both;
- a clear description of the data you would like to inspect or have copied; and
- identifying information that proves you are the data subject, or data subject's parent/guardian.

This government entity requires proof of your identity before we can respond to your request for data. If you are requesting data about your minor child, you must show proof that you are the minor's parent. If you are a guardian, you must show legal documentation of your guardianship. Please see the Standards for Verifying Identity located on page 87.

HOW WE RESPOND TO A DATA REQUEST

Once you make your request, we will work to process your request. If it is not clear what data you are requesting, we will ask you for clarification.

- If we do not have the data, we will notify you in writing within 10 business days of your request.
- If we have the data, but the data are confidential or private data that are not about you, we will notify you within 10 business days and state which specific law says you cannot access the data.



2.05 DATA PRACTICES POLICY FOR DATA SUBJECTS
ADMINISTRATION
Enabling Legislation: 2014-146
Date Adopted: 12/9/2014
Revised: 02/02/2021; R2021-013, 11/21/202303/12/24

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- If we have the data, and the data are public or private data about you, we will respond to your request within 10 business days, by doing one of the following:
 - arrange a date, time, and place to inspect data, for free, if your request is to look at the data, or
 - provide you with copies of the data within 10 business days. You may choose to pick up your copies, or we will mail or fax them to you. We will provide electronic copies (such as email or CD-ROM) upon request if we keep the data in electronic format.

Information about copy charges is on page 6.

We also will arrange for you to prepay for the copies.

After we have provided you with access to data about you, we do not have to show you the data again for 6 months unless there is a dispute or we collect or create new data about you.

If you do not understand some of the data (technical terminology, abbreviations, or acronyms), please let us know. We will give you an explanation if you ask.

The Government Data Practices Act does not require us to create or collect new data in response to a data request if we do not already have the data, or to provide data in a specific form or arrangement if we do not keep the data in that form or arrangement. (For example, if the data you request are on paper only, we are not required to create electronic documents to respond to your request.) If we agree to create data in response to your request, we will work with you on the details of your request, including cost and response time.

In addition, we are not required under the Government Data Practices Act to respond to questions that are not specific requests for data.

DATA PRACTICES CONTACTS

Responsible Authority

City Clerk

City of Northfield

801 Washington Street

Northfield, MN 55057

Tel: 507-645-3001 Fax: 507-645-3055

Data Practices Compliance Official

City Clerk

801 Washington Street

Northfield, MN 55057



2.05 DATA PRACTICES POLICY FOR DATA SUBJECTS
ADMINISTRATION
Enabling Legislation: 2014-146
Date Adopted: 12/9/2014
Revised: 02/02/2021; R2021-013, 11/21/202303/12/24

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Tel: 507-645-3001 Fax: 507-645-3055

Data Practices Designee(s):

Law Enforcement Data

Police Records Specialist

Northfield Police Department

1615 Riverview Drive

Northfield, MN 55057

Tel: 507-645-4477 Fax: 507-663-9323

Personnel Data

Communications – Human Resources Director

City of Northfield

801 Washington Street

Northfield, MN 55057

Tel: 507-645-3012 Fax: 507-645-3055

Property Data (Building, Planning/Zoning, Rental)

Community Development Administrative Associate

City of Northfield

801 Washington Street

Northfield, MN 55057

Tel: 507-645-3036 Fax: 507-645-3055

COPY COSTS – DATA SUBJECTS

This government entity charges data subjects for copies of government data. These charges are authorized under Minnesota Statutes, section 13.04, subdivision 3. You must pay for the copies before we will give them to you.

Actual Cost of Making the Copies

In determining the actual cost of making copies, we factor in employee time, the cost of the materials onto which we are copying the data (paper, CD, DVD, etc.), and mailing costs (if any). If your request is



2.05 DATA PRACTICES POLICY FOR DATA SUBJECTS
ADMINISTRATION
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Date Adopted: 12/9/2014
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for copies of data that we cannot reproduce ourselves, such as photographs, we will charge you the actual cost we must pay an outside vendor for the copies.

The cost of employee time (hourly rate) to search for data, retrieve data, and make copies will be calculated based on the wages/salary and benefits of the lowest-paid entity employee who could complete the task.

Notwithstanding the foregoing, if, because of the subject matter of your request, we find it necessary for a higher-paid employee to search for and retrieve the data, we will calculate the search and retrieval portion of the copy charge at the higher salary/wage.

STANDARDS FOR VERIFYING IDENTITY

The following constitute proof of identity.

- An **adult individual** must provide a valid photo ID, such as
 - a state driver's license
 - a military ID
 - a passport
 - a Minnesota ID
 - a Minnesota tribal ID
- A **minor individual** must provide a valid photo ID, such as
 - a state driver's license
 - a military ID
 - a passport
 - a Minnesota ID
 - a Minnesota Tribal ID
 - a Minnesota school ID
- The **parent or guardian of a minor** must provide a valid photo ID *and either*
 - a certified copy of the minor's birth certificate *or*
 - a certified copy of documents that establish the parent or guardian's relationship to the child, such as
 - a court order relating to divorce, separation, custody, foster care
 - a foster care contract
 - an affidavit of parentage
- The **legal guardian for an individual** must provide a valid photo ID *and* a certified copy of appropriate documentation of formal or informal appointment as guardian, such as
 - court order(s)
 - valid power of attorney



2.05 DATA PRACTICES POLICY FOR DATA SUBJECTS
ADMINISTRATION
Enabling Legislation: 2014-146
Date Adopted: 12/9/2014
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Note: Individuals who do not exercise their data practices rights in person must provide *either* notarized or certified copies of the documents that are required *or* an affidavit of ID.



2.05 ELECTRONIC SIGNATURE POLICY
ADMINISTRATION
Enabling Legislation: R2021-088
Date Adopted: 09/21/2021
Revised: 11/21/2023 04/16/24

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PURPOSE

The purpose of the Electronic Signature Policy is to establish when an electronic signature may replace a paper document in official City of Northfield (the “City”) business. This policy has been adopted to implement Minn. Stat. § 325L.01, which authorizes municipalities to develop and implement policies regarding the use of electronic signatures.

SCOPE

To the fullest extent permitted by law, the City may utilize electronic digital signatures as legally binding and equivalent to handwritten signatures whenever feasible, prudent and efficient. This policy hereby adopts the definitions and requirements contained in the Minnesota’s Uniform Electronic Transactions Act (Minn. Stat. § 325L.01, et. seq.).

This policy applies to, and City staff and elected officials are authorized to use electronic signatures for such documents, including but not limited to the following: City resolutions, ordinances, minutes, building permits, business licenses, grant agreements, service agreements, purchase orders, inventory, receiving, accounting entries, payment records, timesheets, expense reports, credit card logs, time off requests, permitting/licensing applications, and other customary and routine documents that are electronically generated.

This policy does not apply to:

1. certain documents and transactions governed by the Uniform Commercial Code; and
2. certain documents and transactions governed by Minn. Stat. § 507.24 relating to requirements for recording any conveyance or other instrument affecting real estate.

POLICY

1. Approved Electronic Signature Method. A legible and acceptable electronic signature must comply with the following:
 - a. The electronic signature is capable of verification;
 - b. The electronic signature is under the sole control of the person using it;
 - c. The electronic signature is linked to the data in such a manner that it is readily ascertainable if the data is changed after the signature is applied;
 - d. The name of the signer can be applied in a manner to execute or validate the document;
 - e. The typed or printed name of the signer must appear below or adjacent to the signature;
 - f. The signer’s corporate, managerial or partnership title must appear as part of or adjacent to the digital signature when the signer is signing on behalf of an organization or legal entity;
 - g. When required or applicable, evidence of authentication of the signer’s identity such as the text “digitally signed by” along with the software provider’s seal/watermark, date and time of execution; or have an authentication code or key identifying the software provider;



2.05 ELECTRONIC SIGNATURE POLICY
ADMINISTRATION
Enabling Legislation: R2021-088
Date Adopted: 09/21/2021
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- h. All documents submitted for electronic signature must be in PDF format or another acceptable electronic format authorized by the City Administrator; and
- i. A font, size and color density that is clearly legible and reproducible when reviewed, copied and scanned into a black-on-white format.

2. Use and Acceptance of Signatures:

- a. Where law or policy of the City requires that a record have the signature of a responsible person(s), that requirement is met when the electronic record has associated with it an electronic signature of the responsible person(s) using an approved electronic signature method.
- b. Where law or policy of the City requires a written document, that requirement is met when an electronic record has associated with it an electronic signature of the responsible person(s) using an approved electronic signature method.

3. Other Technologies:

The City Administrator may approve specific technologies and vendors under this policy consistent with industry best practices to ensure the security and integrity of the data and the electronic signature.

4. Use and Acceptance of e-Notarization:

Where law or policy of the City requires that a record be notarized, that requirement is met when the electronic record is e-Notarized in compliance with Minn. Stat. § 358 and Minn. Stat. § 359.

OTHER REQUIREMENTS

- 1. Subject to the requirements of this policy, all legally binding electronic documents and agreements shall be executed in accordance with the Uniform Electronic Transactions Act ("UETA").
- 2. City staff and elected officials may utilize third party certification methods to authenticate electronic or digital signatures with vendors, contractors, or other government departments and agencies whenever prudent or at the direction of the City Administrator or City Attorney.
- 3. City staff are authorized to electronically sign documents provided by other entities so long as the document is accessed through a secure portal or email and if the system provides a date and time stamp for the electronic signature.
- 4. All electronic signatures on behalf of the City must be in accordance with this policy.
- 5. The City reserves the right to refuse to use or accept an electronic or digital signature that does not comply with this policy, the UETA, other applicable Minnesota Statutes, or other federal laws such as E-Sign and HIPAA.
- 6. The City shall retain a copy of all electronically signed documents and agreements in accordance with the City's Record Retention Policy and Minn. Stat. § 15.17 and Minn. Stat. § 138.17.



3.013-01 LIMITED ENGLISH PROFICIENCY (LEP) POLICY
CITY COUNCIL
Enabling Legislation: M2021-126
Date Adopted: 10/05/2021
Revised: N/A 04/16/24

PURPOSE

The purpose of this plan is to ensure that all City of Northfield (City) staff communicate effectively with limited English proficient (LEP) individuals so that ~~the~~ community members have meaningful access to all programs, information and services. We aim to ensure that no individual is denied or restricted access due to limited proficiency in English or any disability which may limit communication abilities.

POLICY

The City of Northfield is committed to the LEP plan as a timely and appropriate response to meeting the needs of our community members.

Authorities and definitions

- **Title VI of the Civil Rights Act of 1964** prohibits discrimination based on race, color and national origin in programs and activities receiving federal financial assistance.
- **Executive Order 13166 of 2000**, *Improving Access to Services for Persons with Limited English Proficiency* directs agencies to improve and provide meaningful access to federally conducted and assisted programs and activities for persons who, as a result of national origin, are limited in their English proficiency (LEP).
- **Department of Justice (DOJ)** – Under DOJ regulations implementing Title VI of the Civil Rights Act of 1964, 42 U.S.C. 2000d, et seq. (Title VI), recipients of federal financial assistance have a responsibility to ensure meaningful access to their programs and activities by persons with LEP. See 28 CFR 42.104(b)(2). For details, go to:
<https://www.ojp.gov/program/civil-rights/limited-english-proficient-lep>
- **The Minnesota Human Rights Act, Minnesota Statutes Chapter 363A** prohibits discrimination based on race or national origin.
- **Effective communication** – Effective communication occurs when the City or City partners have taken the necessary steps to make sure that a person with LEP is given adequate information to understand the services and benefits available and receives the benefits for which they are eligible. Effective communication also means that a person with limited English proficiency is able to communicate the relevant circumstances of their situation to the provider.
- **Interpretation** – Interpretation is the oral or spoken transfer of a message from one language into another language while retaining the same meaning.
- **Limited English Proficiency (LEP)** – Designates individuals whose primary language is not English and who have a limited ability to read, write, speak or understand English. LEP individuals may be competent in certain types of communication (e.g., speaking or understanding), but still be LEP for other purposes (e.g., reading or writing). Similarly, LEP designations are context-specific: an individual may possess sufficient English language skills to function in one setting, but these skills may be insufficient in other situations.
- **Translation** – The replacement of written text from one language into an equivalent written text.



3.013-01 LIMITED ENGLISH PROFICIENCY (LEP) POLICY
CITY COUNCIL
Enabling Legislation: M2021-126
Date Adopted: 10/05/2021
Revised: N/A 04/16/24

NEEDS ASSESSMENT

The City is proud to be called “home” to diverse populations in terms of race, ethnicity, country of origin and languages spoken. According to the 2020-2021 Northfield School District K-12 demographic breakdown, approximately 12.8% of residents speak a language other than English at home. According to Healthy Community Initiative’s Growing Up Healthy website, between March 1, 2020 – June 30, 2021, 33% language interpretation barriers/challenges count in about 33% of conversations for Latinx families in the City of Northfield.

City staff have access to Language Line telephone and virtual interpretation services. The languages that were most accessed in 2020 and 2021 were Spanish and American Sign Language.

Meaningful Access Policy

This plan aims to ensure that no person will be denied meaningful access to any City program, activity or service because they/he/she does not speak English or because they-or-she communicates in English on a limited basis. The City will aim to foster effective communication between its staff and LEP individuals by making appropriate language assistance services available when needed.

This plan covers all City programs, services and activities. City staff will initiate an offer for language assistance to individuals who have difficulty communicating in English. When language assistance is requested, City staff will offer free interpretation and/or translation services in a language the requesting individual understands, in a way that preserves confidentiality, and in a timely manner. Whenever possible, staff is encouraged to follow the requestor’s preferences.

Interpreter Services

City staff will inform all LEP customers of the availability of timely and complimentary interpreter services.

Staff should use language service providers in the following priority to provide the best customer service and reduce costs:

1. **City bilingual staff:** The City will use its best efforts to assign customers with LEP to a bilingual staff member within that respective Department/Division who can competently communicate with the customer in the customer’s own language.
2. **Contracted interpreter services:** The City contracts with Language Line, which provides telephone and virtual interpretation in over 200 languages, 24 hours a day, seven days a week. Staff should use Language Line when bilingual staff are not available, when the language is one not commonly encountered by City staff, or when staff is not sure what language a customer speaks. Users of this interpreter service are charged on a per-minute basis. City staff will be regularly trained in the use of Language Line and resources that are available on the employee intranet (Inside Track).

Commented [NM1]: These data are no longer available / accurate on the GUH website. And this part of the sentence doesn’t make sense.

Commented [NM2]: Is this line for benefit of city staff (because the customer is not being charged, correct), so that the staff recognizes that it is costing the City by the minute?



3.013-01 LIMITED ENGLISH PROFICIENCY (LEP) POLICY
CITY COUNCIL
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Date Adopted: 10/05/2021
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Maintain a list of bilingual staff

The City Communications and Human Resources Department will work with departments to maintain a list of bilingual staff. Interpreting is voluntary for staff unless it is listed in a job description. Bilingual staff who are willing to interpret may provide interpretation services in circumstances such as general inquiries or information related to their department and/or area of expertise.

Language chart

City staff will display and use this chart to offer interpretation services and determine the customers' primary language.

Notification of right of service

City staff must ensure that customers with LEP know that they have the right to free, timely language services by including an accessibility block.

Example accessibility block: "If you need an interpreter, translation or other accommodations to access this service, activity or program, please call (507) 645-8833."

Example accessibility block: Accessibility: "For reasonable accommodations or alternative formats, please call (507) 645-8833."

How the accessibility block should be used:

1. On official meeting notices such as City Council, boards and commissions.
2. When publicizing information regarding a City decision-making process.
3. Information about programs or services receiving federal funding.
4. In notices about critical or urgent information regarding services (e.g., snow emergency, emergency management, etc.).
5. In notices that have financial implications (e.g., fees, fines, license applications, property tax assessment).
6. For issues that include a significant number or percentage of the LEP population in the service area (e.g., frequency and volume of contact and participation in a program or service, road construction).
7. When possible, important notices should direct customers to City staff who speak the City's primary languages.

PROCEDURES FOR LEP INTERPRETATION

When in person:

1. Ensure the Language Line language chart is displayed at the counter or front desk.
2. If staff is unable to speak in English with a customer, point to the Language Chart and ask: "What language do you speak?"



3.013-01 LIMITED ENGLISH PROFICIENCY (LEP) POLICY
CITY COUNCIL
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3. Once they indicate a language, check and see if a staff person who speaks the indicated language is available and ask for assistance.
4. In the event you cannot reach anyone or no one speaks the appropriate language, connect with Language Line.

When receiving incoming phone calls:

1. Ask if the caller speaks any English. Try to determine the client's primary language. If possible, say "please hold" in that language and check if there is a qualified bilingual staff person available who speaks the indicated language.
2. If no one is available, or no one speaks the appropriate language, take the call off hold and connect with Language Line.

When at meetings or events:

If the City receives a request for interpretation at a meeting or event, arrangements will be made with a qualified staff member or contracted professional interpreter.

TRANSLATION SERVICES

Level of language ability

Some LEP clients may not have the ability to read and understand written materials; therefore, oral interpretation of written material may be necessary. Interpreters should be aware of variances within a language and should be able to communicate with clients using the appropriate colloquial speech.

City staff will assist LEP individuals who cannot read their preferred language to the same extent as they would assist English-speaking customers who cannot read English.

Contract translation services

The City Communications and Human Resources Department maintains a list of vendors of translation services. The vendors offer document translation, audio and video production services, and other translation-related services. Services, rates and turnaround time vary by vendor and the urgency of the request.

DATA PRIVACY PROTECTION

City employees and agents, including its contractors and partners, may, on occasion, as part of job-related responsibilities, obtain, use or disclose private or confidential data, including protected health information (referred to below, collectively, as "protected information").

Minimum necessary access to data

The City and its contractors must comply with the "minimum necessary" access and disclosure standards set forth in the Minnesota Government Data Practices Act. The dissemination of protected information



3.013-01 LIMITED ENGLISH PROFICIENCY (LEP) POLICY
CITY COUNCIL
Enabling Legislation: M2021-126
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Revised: N/A 04/16/24

is limited to “which is necessary for the administration and management of programs specifically authorized by the legislature or local governing body or mandated by the federal government.” See [Minnesota Statutes Sec. 13.05, subd. 3.](#)

Using family members or friends

When customers wish to use family members or friends as an interpreter, staff should follow these instructions using bilingual staff, Language Line Services staff or contractors to obtain the required verifications:

- Verify the identity of the customer.
- Read and explain to the customer the purpose of consent for Release of Information form.
- Inform the customer of their right to have City staff, Language Line Services staff or a contractor (when available) ~~to~~ interpret for the customer, if they desire.
- Assure the customer that family or friends can provide support rather than interpretation if that is the customer’s preference.

CITY OF NORTHFIELD STAFF TRAINING

~~The~~ City will distribute the LEP plan electronically and provide training and education so all staff are aware of LEP policies and procedures.

The LEP plan information is incorporated into the City new employee orientation program, and LEP training will include information on the following topics:

- The City’s commitment to providing language assistance.
- The substance of the City’s LEP plan, including its policies and procedures for accessing language assistant services.

All staff with regular contact with the public will be provided more in-depth training that includes best practices and tips on working with in-person and telephone interpreters, including over-the-phone and iPad interpreter services.

LEP PLAN DISTRIBUTION AND PUBLIC POSTING

Upon completion and endorsement by the City of Northfield management, the LEP plan (LEP Plan) will be:

- Distributed to all City staff.
- Accessible on the City’s employee intranet “Inside Track.”
- Posted for public review, although the text will be in English, the title, “Limited English Proficiency Plan,” will be posted in customers’ ~~s~~ primary languages.



3.013-01 LIMITED ENGLISH PROFICIENCY (LEP) POLICY
CITY COUNCIL
Enabling Legislation: M2021-126
Date Adopted: 10/05/2021
Revised: N/A 04/16/24

Bilingual staff or interpreters will read the plan to customers upon request. Partner organizations can download the translations of the LEP Plan from the City's website.

EVALUATING THE PROGRAM

The City will conduct an evaluation of its LEP Plan to determine its overall effectiveness. The City Communications and Human Resources Department will lead the evaluation. The evaluation will include:

- Current LEP populations in service delivery area.
- Frequency of encounters with LEP language groups.
- Whether existing assistance is meeting the needs of LEP persons.
- Whether staff members know and understand the LEP plan and how to implement it.
- Whether currently identified sources for assistance are still available and viable.
- Assessment of available resources, including technological advances and sources of additional resources, and the cost imposed.

REFERRING AGENCIES

Individuals who have a concern about alleged discrimination will be referred to the appropriate agency, and they also may make contact directly.

Minnesota Department of Human Rights, Freeman Building, 625 Robert Street North, Saint Paul, MN 55155 (651) 539-1100 (~~V~~oice) MN Relay 711 or 1-800-627-3529
<https://mn.gov/mdhr/>

The U.S. Department of Labor Civil Rights Center, Frances Perkins Building, 200 Constitution Ave. NW, Washington, DC 20210 (866) 4-USA-DOL (Voice) 1-866-487-2365 (TTY) [CRC | U.S. Department of Labor \(dol.gov\)](https://www.dol.gov/easam/programs/crc)<http://www.dol.gov/easam/programs/crc>

The U.S. Department of Justice Civil Rights Division Coordination & Review Section – NRB 950 Pennsylvania Avenue NW, Washington, DC 20530-0001 (888) 848-5306 (~~V~~oice and TTY) <https://www.justice.gov/crt/fcs/>



3.023-02 PERSONAL PRONOUN SHARING POLICY

CITY COUNCIL

Enabling Legislation: M2021-125

Date Adopted: 10/05/2021

Revised: ~~N/A~~ 04/16/24

PURPOSE

The purpose of this policy is to establish a voluntary personal pronoun sharing policy for City of Northfield (City) employees. The use of pronouns, phrases that signal one's gender identification and they way one wishes to be referred to, have become increasingly common in email signature blocks and on workplace business cards and name tags. The goal is to provide permission to share one's personal pronouns as part of an employee's "business footprint" and to provide guidance on personal pronoun usage. Sharing and using one's personal pronouns creates a welcoming space for others to share theirs, as some may initially be reluctant to do so for fear of lack of acceptance. It makes it easier for transgender and nonbinary people to share the pronouns they want others to use when referring to them. Transgender and nonbinary people have historically been the subject of marginalization and intentional misgendering.

POLICY

Any employee is welcome to include their personal pronouns within their work email signature blocks ~~and~~ on their business cards, and ID Badges. Additionally, employees are encouraged to verbally share their personal pronouns when meeting new employees or community members for the first time. This is a voluntary policy.

DEFINITIONS

The following definitions are intended to assist in implementing this Personal Pronoun Sharing Policy.

Pronoun

A pronoun is a word (such as *I*, *she*, *he*, *you* or *they*) that is used to refer to humans either in the first-person or as substitutes for using a person's name or a group of people's names.

Gender

An individual's social characteristics and behaviors (such as appearance, mannerisms or social interactions) that may be perceived as masculine, feminine or androgynous (e.g., ambiguous as to gender or connoting aspects of both masculinity and femininity).

Gender Identity

An individual's deeply-felt sense of being a man, woman or neither.

Misgendering

Referring, whether intentionally or unintentionally, to a person with pronouns that don't match the person's gender identity. Being misgendered is hurtful to many individuals.



3.023-02 PERSONAL PRONOUN SHARING POLICY

CITY COUNCIL

Enabling Legislation: M2021-125

Date Adopted: 10/05/2021

Revised: ~~N/A~~ 04/16/24

Nonbinary

Identifying neither as a man nor a woman, but somewhere in between on the gender spectrum.

Sex

A biological term independent of gender identity: male, female or intersexed. Intersexed individuals may have ambiguous genitalia or only be identifiable by a test at the chromosome level, and may or may not be aware that they are intersexed.

Transgender

Identifying as a gender other than the one most commonly associated with the sex one was assigned at birth.

PROCEDURE

~~A~~Effective immediately, any employee may modify their work email signature block to include their personal pronouns. For example:

First Name Last Name
Job Title
Telephone number
[she, her, hers]

Similarly, employees may request new business cards, and ID badges that include their personal pronouns by contacting the City's Communications Specialist.

Employees with questions about this voluntary policy may contact the Communications & Human Resources Director for more information.

APPLICABILITY

This voluntary policy applies to all City employees. While employees are encouraged to use and share their personal pronouns, they are not required to. Employees who opt not to participate in this policy will not be penalized.



4.0116 PURCHASING POLICY-AMENDMENTS
FINANCE
Enabling Legislation: M2019-139
Date Adopted: 10/15/2019
Revised: 04/16/24

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PURPOSE

To comply with the Uniform Municipal Contracting Law ("UMCL"), Minnesota Statutes, Section 471.345, and to establish specific guidelines for contracting and the purchase of goods and services by the City of Northfield ("City").

POLICY

It is the policy of the City to acquire goods and services through a competitive process whenever practical that results in materials, equipment and supply arrangements at the most effective net cost, in the correct quantities, of the appropriate quality, and from the most responsive and responsible source. Purchasing and supply management functions at the City are delegated to the Department Directors, requiring diligent attention to the governing laws and rules.

Purchasing goods and services using a purchasing card is covered under the Purchasing Card Administrative Policy 4.0256.

Legal Authority

This purchasing policy is established by the City Council ("Council") pursuant to City Charter, City Code and State Statute. City funds may only be spent for purposes that are expressly or implicitly authorized by State Statutes or by the City's Charter and must be for a public purpose. The following legal authority governs this policy:

1. Uniform Municipal Contracting Law ("UMCL"), Minnesota Statutes, Section 471.345
2. City Charter, Sections 7.3, 8.1 and 9.7:
 - a. Section 7.3 – Powers and Duties of the Administrator
 - i. Subd. 1. The administrator shall administer the City in accordance with state law, this Charter, City ordinances and council policies.
 - ii. Subd. 7. The administrator shall supervise the purchase of all materials and equipment. The administrator may establish purchasing procedures subject to the approval of the council.
 - b. Section 8.1 – Contracts. All contracts entered into on behalf of the City shall comply with provisions of the Minnesota Uniform [Municipal] Contracting Law [Min. Stat. § 471.345], where applicable.
 - c. Section 9.7 – Enforcement of the Budget. The administrator shall strictly enforce the provisions of the budget. The administrator shall not authorize any payment or the incurring of any obligation by the City unless an appropriation has been made in the budget resolution and there are sufficient unexpended funds left after deducting the total past expenditures and encumbrances against the appropriation.

No officer or employee of the City shall place any order to make any purchase except for a purpose and to the amount authorized in the budget resolution. No check shall be



4.0116 PURCHASING POLICY-AMENDMENTS
FINANCE
Enabling Legislation: M2019-139
Date Adopted: 10/15/2019
Revised: 04/16/24

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issued or transfer made to any account other than one owned by the City until the claim to which it relates has been supported by an itemized bill, payroll or time-sheet or other document approved and signed by the responsible city officer who vouches for its correctness and reasonableness.

3. City Code, Section 2-161. Duties and responsibilities.
 - a. The administrator shall prepare the budget annually and submit it to the mayor, who shall submit the recommended budget to the City council. The budget shall be submitted with supporting material showing the important features of the budget. The administrator shall keep the mayor and council advised of the City's present financial condition and future needs and make recommendations as the administrator may deem desirable. The administrator shall supervise the purchase of all material and equipment for which funds are provided in the budget and as directed by the council.
 - b. The administrator may issue such rules governing purchasing procedure within the administrative organizations as the council shall approve.

Budget

Under State statute and City Charter, the annual adoption of the budget shall constitute ~~City~~ Council appropriations for the year at the "fund" level. Budgetary control shall be exercised on the ~~"department"~~department and fund levels. The City Administrator shall identify Department Heads or other staff who shall be responsible for each fund or department in the annual budget. These individuals shall be responsible for compliance with the annual budget and for all expenditures for their departments and funds. The City Administrator, in consultation with the Finance Director, must approve total expenditures above those budgeted at the department level, subject to the annual budget and ~~City~~ Council alteration thereto pursuant to City Charter, Section 9.8, as applicable.

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Statement of Values

1. Support of Local Firms and Merchants.

It is the policy of the City to support local firms and merchants. Acknowledging, based on the type of contract and contract price, that different legal requirements apply, to facilitate this policy, when products or services can reasonably be supplied by local merchants or firms, requests for bids, proposals or quotations, as applicable to the type of contract, may be solicited by phone, mail or facsimile and/or advertisement in the official City newspaper and/or trade journals as required by law to attempt to provide an opportunity for local merchants to participate in the solicitation process. For contracts required to be competitively bid pursuant to Minnesota Statutes, Section 471.345, advertisements for bids shall be published in



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accordance with the state law. For projects to be competitively bid, award of bids shall be made in accordance with state law to the lowest responsible bidder.

2. Sustainability and Equity.

It is the policy of the City to support sustainable and environmentally friendly purchasing practices to support a diverse, equitable and vibrant community and economy.

Decentralized Purchasing

The majority of City purchases are decentralized, meaning that each department handles procurement of materials, supplies, equipment and services needed for their own operation. The responsibility lies with each department to obtain bids, proposals, quotes or purchase on the open market, meeting the requirements of applicable law, maintain records of the same, place actual orders, receive deliveries and approve invoices for payment.

To be uniform and save time and money in quantity purchases, the City Administrator may assign a department to centrally purchase some products. An example of this would be office supplies.

Types of Contracts and Purchase

The following are some of the types of contracts and purchases made by the City:

1. Uniform Municipal Contracting Law. It shall be the policy of the City that the UMCL shall govern all contracts and purchases to which it applies. Changes to the UMCL shall automatically become the policy of the City. UMCL covered contracts are any contracts entered into by the City for the sale or purchase of supplies, materials, equipment or the rental thereof, or the construction, alteration, repair or maintenance of real or personal property. The categories and requirements of the UMCL are discussed further below under the Uniform Municipal Contracting Law Requirements section. Records of quotes and bids, as applicable under the UMCL, shall be retained for at least one year after the completion of the contract or purchase or until the annual audit for the year of the purchase is completed, whichever is longer.
2. Professional Services Contracts.
 - a. Applicability. This procedure applies to all advisory, auditing, engineering, financial, legal, personnel, technical, training, or other services.
 - b. Competency. Contracts shall be made only with responsible consultants who have the capability to successfully fulfill the contractual requirements. Consideration shall be given to their past performance and experience, their financial capacity to complete the project, the availability of personnel, and other appropriate criteria.

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~~c.~~ Solicitation. The nature of the professional service shall be illustrated in either a request for proposals for services of greater magnitude, or in a description of work for services of lesser magnitude. This shall be advertised or otherwise distributed to likely and potential service providers commensurate with the value of the contract.

~~d.~~ Selection. Professional service providers shall be selected so as to provide the best value to the City, considering the difficulty of the work proposed, its value to the City, the expertise and capacity of the consultant and cost.

3. ~~Emergency Purchases~~**EMERGENCY PURCHASES**. Occasions arise where an immediate purchase is necessary to protect the life, health, safety, or convenience of the citizens or to preserve the property of the City or its citizens. To the greatest extent possible, normal purchasing procedures shall be followed. However, when expediency is required to rectify an emergency situation, any or all of these procedures may be waived pursuant to Minnesota Statutes, Sections 12.29 and 12.37. If possible, the City Administrator shall be contacted to approve the purchase. In the absence of the City Administrator, a Department Head shall approve the purchase and report to the City Administrator at the earliest opportunity. A report to the ~~City~~ Council shall be made at the next regular ~~City~~ Council meeting.

4. ~~COOPERATIVE PURCHASING AGREEMENTS~~*Cooperative Purchasing Agreements*. When possible, every effort should be used to take advantage of cooperative purchasing agreements as a cost savings measure. The City shall maintain its membership with the State Cooperative Purchasing Venture (~~CPV~~) Program. By using the State's plan, bidding requirements are already fulfilled.

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Pursuant to Minnesota Statutes, Section 471.345, subd. 15, for a contract estimated to exceed \$25,000, a municipality must consider the availability, price and quality of supplies, materials, or equipment available through the state's ~~cooperative purchasing venture~~**CPV** before purchasing through another source.

Alternatively, as provided in Minnesota Statutes, section 471.345, subd. 15(b), if the City does not utilize the state's ~~CPV~~*cooperative purchasing venture*, the City may contract for the purchase of supplies, materials, or equipment without regard to the competitive bidding requirements of state law if the purchase is through a national municipal association's purchasing alliance or cooperative created by a joint powers agreement that purchase items from more than one source on the basis of competitive bids or competitive quotations.

Under any of the foregoing, the ~~City~~ Council or City Administrator, as applicable, must be notified and approve the contract/purchase as defined in and in accordance with this policy.

5. ~~ROUTINE PAYMENTS~~*Routine Payments*. The City Administrator or the Finance Director may authorize certain routine payments subject to the requirements of this policy. These may include, but are not limited to the following: partial or progress payments on contracts or bids previously awarded by the ~~City~~ Council; payments to federal, state, or other local governments under a cooperative agreement previously approved by ~~City~~ Council or as required by law;

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payment of employee payroll withholdings, taxes, and benefits; and payment of ongoing monthly utility services to City buildings and properties. At a minimum, these costs shall be reviewed during the annual budget preparation.



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Uniform Municipal Contracting Law Requirements

If the City desires to enter into certain contracts governed by the UMCL and defined therein as those agreements for the sale or purchase of supplies, materials, equipment or the rental thereof, or the construction, alteration, repair or maintenance of real or personal property, the City must abide by the requirements of the UMCL relating to contracting and bidding based upon the estimated contract cost categories listed below. The UMCL was established to place respective dollar limit categories upon cities for those contracts as defined above that shall or may be entered into on the basis of competitive bids, quotations or purchase or sale in the open market.

The UMCL establishes the following categories and basic requirements for those City contracts covered by the UMCL (based upon estimated contract amount):

- 1. UMCL Contracts over \$175,000.** For contracts covered by the UMCL where the estimated contract price is estimated by the City to exceed \$175,000 – sealed bids shall be required and solicited by public notice in the manner and subject to the particular requirements of the eCity. The sealed competitive bids shall be solicited by public notice and be kept on file. The City Council shall approve all contracts under this category.
- 2. UMCL Contracts exceeding \$25,000 but not \$175,000.** For contracts covered by the UMCL where the estimated contract prices is estimated by the City to exceed \$25,000 but not to exceed \$175,000 – the contract may be made either upon sealed bids or by direct negotiation. If the contract is made based upon direct negotiation, City staff shall obtain two or more quotations for the purchase or sale when possible, and without advertising for bids or otherwise complying with the requirements of competitive bidding. All quotations obtained shall be kept on file for a period of at least one year after receipt thereof. These contracts will be approved either by City staff or City Council, as applicable based on the categories defined in the Purchases Categories Section below.

In accordance with Minnesota Statutes, Section 471.345 subd. 15, for a contract estimated to exceed \$25,000, the city must consider the availability, price and quality of supplies, materials, or equipment available through the state's cooperative purchasing venture CPV before purchasing through another source.

- 3. UMCL Contracts of \$25,000 or less.** For contracts covered by UMCL where the contract price is estimated by the City to be \$25,000 or less – the contract may be made either upon quotation or in the open market, in the discretion of the City. If the contract is made upon quotation, it shall be based, so far as practicable, on at least two quotations, which shall be kept on file for a period of at least one year after their receipt. These contracts will be approved, as applicable, based on the categories defined in the Purchases Categories Section below.



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Extra care should be exercised when using sole source vendors to ensure that legal requirements establishing a vendor as a sole source have been satisfied. The City Administrator and Finance Director must approve such purchases in advance and the same must meet the requirements of the UMCL for those contracts for which the UMCL is applicable.

Purchasing categories

Table 1. Except as otherwise provided below, the following purchasing categories and approvals shall apply to all contracts and purchases:

ESTIMATED VALUE OF PURCHASE OR CONTRACT	SOLICITATION METHODS ALLOWED	APPROVALS REQUIRED
UMCL covered contracts over \$175,000	<ul style="list-style-type: none"> Sealed competitive bids State cooperative purchasing venture National municipal or joint powers purchasing alliance 	City Council
Other contracts over \$175,000 (not covered by UMCL, such as professional services)*	<ul style="list-style-type: none"> Sealed competitive bids RFPs Proposals Quotes Open market Direct negotiation 	City Council
UMCL covered contracts exceeding \$25,000 but not over \$175,000	<ul style="list-style-type: none"> Sealed competitive bids Direct negotiation with at least two quotes State cooperative purchasing venture National municipal or joint powers purchasing alliance 	City Council if unbudgeted at fund level City Administrator, City Clerk if unbudgeted at the department level City Administrator, City Clerk if budgeted
Other contracts exceeding \$25,000 but not over \$175,000 (not covered by UMCL, such as professional services)*	<ul style="list-style-type: none"> Sealed competitive bids RFPs Proposals Quotes Open market Direct negotiation 	City Council if unbudgeted at fund level City Administrator, City Clerk if unbudgeted at the department level Department Head, City Clerk if budgeted



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UMCL covered contracts exceeding \$10,000 but not over \$25,000	<ul style="list-style-type: none"> Sealed competitive bids Direct negotiations with at least two quotes Open market 	<p>City Council if unbudgeted at fund level</p> <p>City Administrator, City Clerk if unbudgeted at the department level</p> <p>Department Head, City Clerk if budgeted</p>
UMCL covered contracts of \$10,000 or less	<ul style="list-style-type: none"> Sealed competitive bids Direct negotiations with at least two quotes Open market 	<p>City Council if unbudgeted at fund level</p> <p>City Administrator, City Clerk if unbudgeted at the department level</p> <p>Department Head, if budgeted</p>
Other contracts exceeding \$10,000 but not over \$25,000 (not covered by UMCL, such as professional services)*	<ul style="list-style-type: none"> Sealed competitive bids RFPs Proposals Quotes Open market Direct negotiation 	<p>City Council if unbudgeted at fund level</p> <p>City Administrator, City Clerk if unbudgeted at the department level</p> <p>Department Head, City Clerk if budgeted</p>
Other contracts of \$10,000 or less (not covered by UMCL, such as professional services)*	<ul style="list-style-type: none"> Sealed competitive bids RFPs Proposals Quotes Open market Direct negotiation 	<p>City Council if unbudgeted at fund level</p> <p>City Administrator, City Clerk if unbudgeted at the department level</p> <p>Department Head, if budgeted</p>

* Notwithstanding any provision of this policy, the following services contracts shall require City Council approval and execution by the Mayor and City Clerk:

1. All advisory, auditing, engineering, financial, legal, personnel, technical, training, or other professional services contracts that exceed \$75,000.
2. Civil City attorney contract.
3. Prosecuting attorney contract.

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- 4. Auditing firm contract.
- 5. All related contracts that are funded under Mayor and Council Department budget in Programs and Public Service and Partnership Programs.
- 6. Any other contracts upon which the City Administrator desires City Council consideration.

EDA / HRA

This policy shall apply to the EDA and HRA, except that where there are references herein to the City or City Council, the EDA or HRA, as applicable, or the respective governing board of the EDA or HRA, as applicable, shall be inserted instead. This policy as applicable to the EDA and HRA is now and shall remain subject to the governing law contained in Minnesota Statutes, Chapter 469, as amended, as well as any provisions that may otherwise apply through their respective enabling resolutions as amended.

Execution of Contracts

All City contracts shall be executed by those individuals who have the respective authority as defined in this policy under Table 1 above, which policy has been approved by the Mayor and City Council delegating such authority pursuant to applicable law and Charter. The City Attorney shall review and advise on all contracts prior to execution for which such review is requested.

Every contract that requires City Council approval as summarized in Table 1 shall be executed on behalf of the City by the Mayor and City Clerk, with the corporate seal affixed, and only pursuant to authority from the City Council, unless otherwise specified in the authorizing City Council resolution approving a contract.

All staff authorized for approvals as summarized in Table 1 shall ~~be execute contracts~~ on behalf of the City ~~by the individuals who fill that role~~, with the corporate seal affixed.

~~Every contract that requires City Council approval as outlined in this policy shall be executed on behalf of the City by the Mayor and Clerk, with the corporate seal affixed, and only pursuant to authority from the City Council.~~

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Department Head / Director / Manager Responsibilities

For purposes of this policy, Department Heads include the City Administrator, Police Chief, Library Director, and Information Technology Director, Community Development Director, and Public Works Director / City Engineer.



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Department Heads / Directors / Managers and other persons authorized to purchase under this policy are responsible for certain functions related to purchasing and payment for goods and services received. The responsibilities include but are not limited to the following:

- Purchasing done on a competitive basis and consistent with the approved annual budget.
- Control of purchased goods and services to ensure only authorized use.
- No reimbursement for use of personal gift cards.
- No reimbursement for use of store rebates.
- All terms and conditions (including pricing) of the purchase as specified in the purchase order and applicable contract are attained prior to the payment of the claim.
- Providing the Finance Department with approved invoices in a timely manner.
- Immediate notification to the Finance Department of any circumstances affecting acceptability, performance, or any other reason which may lead to withholding of payment.
- Cooperation with the Finance Department in resolving disputes with vendors regarding terms, quantity, or any questions of performance.
- Designating budget coding of all invoices.

Finance Department Responsibilities

- Assistance in seeking vendors to provide the best price availability.
- Reasonable audit tests to determine fund availability, legality, and validity of obligations for payment.
- Pay authorized bills that meet procedural requirements.

Expense Vouchers

Expense vouchers must have the following:

- Explanation justifying request.
- Tabulation of quotes / bids where appropriate.
- Account number including business unit and object code.
- Budget appropriation for item or service requisitioned.
- Department Director / Manager approval.
- Date ordered and approximate date to be received.
- Full vendor name / address – no abbreviations.
- All items purchased must be listed separately with respective costs.
- All packing slips shall be signed and dated and have the appropriate department / division indicated on them and forwarded to the Finance Department.



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Additional Provisions / Resources

The provisions noted in this policy are not intended to be an exhaustive list of Minnesota laws.
Additional resources on purchasing include:

- [Handbook for Minnesota Cities](#), published by the League of Minnesota Cities, Chapter 22: Expenditures, Purchasing and Contracts. Available online at [Expenditures, Purchasing, and Contracts \(lmc.org\)](#)
- League of Minnesota Cities Information Memo: Competitive Bidding Requirements in Cities. Available online at [Competitive Bidding Requirements in Cities \(lmc.org\)](#)
- League of Minnesota Cities Information Memo: Public Purpose Expenditures. Available at [Public Purpose Expenditures \(lmc.org\)](#)
- Contact the City of Northfield Finance Director for policy questions and clarifications.

Violations

Employees who violate this policy will be subject to discipline up to and including discharge.



4.024 PURCHASING CARD POLICY
CITY COUNCIL
Enabling Legislation: M2020-102
Date Adopted: 08/04/2020
Revised: N/A 04/16/24

PURPOSE

The purpose of the City of Northfield Purchasing Card Program is to establish an efficient, cost-effective method for purchasing and paying for small dollar-value transactions. The Purchasing Card is a tool that reduces transaction costs, facilitates timely acquisition of materials and supplies, automates data flow for accounting purposes, and offers flexibility control to help ensure proper usage. The Program is designed to replace most purchases and payments including petty cash, payment authorizations and purchase order requisitions.

POLICY

Employees who have been issued a Purchasing Card may initiate transactions by purchasing goods for the City of Northfield only. It is the employee's responsibility to make sure that goods have been received.

The City restricts the use of the Purchasing Card for certain merchant categories and certain types of commodities and services, which are described in this policy and may otherwise be established or modified by the City Finance Department.

The Purchasing Card Program is not intended to avoid or bypass appropriate approval requirements and/or payment procedures. Responsibility for a Purchasing Card should not be taken lightly. City of Northfield funds are being committed each time that a Purchasing Card is utilized. Therefore, cardholders are held accountable for all transactions made to their card(s).

OBTAINING A PURCHASING CARD

To obtain a Purchasing Card, you must first complete a Purchasing Card Application Form. Applications may be obtained by contacting the Finance Department.

Complete the application and have the prospective cardholder, the immediate supervisor, Department Director, Finance Director and City Administrator sign the application. Submit the application to the Finance Department for approval and processing.

AUTHORIZATION AND LIMITS

The Purchasing Card Program is to be used as the primary purchasing method for delegated small dollar purchases.

- Purchases shall not be made from non-contract suppliers when a State Contract Price supplier exists for similar commodities.
- It is the responsibility of each cardholder to verify that budgetary funds are available for all purchases made on the purchasing card.



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- Monthly dollar limits and allowable merchant categories, commodities and services are established by the Finance Department in consultation with the Department Director.
- \$5,000 is the limit for management cardholders.
- \$2,000 is the limit for all non-management cardholders.

EXCEPTIONS

Notify the Finance Department if there is a short-term need to increase daily limit. Exceptions to the authorizations and limits may be made if the requestor and their supervisor provide adequate justification and documentation to the Finance Department for review and consideration.

PERSONAL USE OF PURCHASING CARD

Use of the Purchasing Card for personal use is strictly prohibited. If the Purchasing Card is inadvertently used for a personal purchase, call the Finance Director and your supervisor immediately. The employee who made the purchase is personally liable for and must pay the City for the amount of purchase unless the amount of the purchase is cancelled or refunded to the City. In addition, the employee may be disciplined, up to and including discharge, for such use.

SHARING PURCHASING CARD

The only person entitled to use a Purchasing Card is the person whose name appears on the face of the card. Do not lend the Purchasing Card to another person. Providing the card to anyone other than the cardholder is prohibited.

SUPPLIERS

The Purchasing Card is a Visa Card product. Any supplier or merchant who accepts Visa Cards can accept the Purchasing Card.

GUIDELINES FOR SALES TAX

The City of Northfield is required to pay Minnesota State Sales Tax. It is the responsibility of the cardholder to know if the purchase is tax exempt. If uncertain, contact the Finance Department for clarification.

MAKING A PURCHASE

It is policy to seek competitive pricing and the best value within the parameters of quality and delivery. Accordingly, when making a Purchasing Card purchase, it is recommended that the Cardholder check as many sources as reasonable if a contract does not exist to ensure optimal price, quality and delivery.



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Make sure complete shipping instructions are given when placing orders. Along with the cardholder name and credit card number, confirm with the merchant that the department name and delivery location must also appear on all shipping documents.

RECEIVING AN ORDER

When you receive an order:

- Verify that the supplier filled the order correctly. Check the contents of the package or verify that all the items you ordered were delivered.
- Make sure that the supplier charged you correctly. If there is an error, contact the supplier directly.
- Sign and date the packing slip or receipt. If the charge amount is not listed, write the total cost that you were quoted on the packing slip or receipt.
- Keep the packing slip, original sales receipt, or printed copy of online order acknowledgement from every delivery or purchase. You will need these receipts to attach to your monthly cardholder statement.

REFUSAL OF CARD OR ACCOUNT (DECLINED TRANSACTION)

If the card becomes defective and will not “read” at the point of sale, contact the Finance Department. Should you be declined at the point of sale for any reason, you may contact the Finance Department.

All reports of denied transactions must be reported within ten days, otherwise the transaction cannot be researched. Every effort will be made to determine why the transactions was declined.

RECEIPTS FOR MEMBERSHIPS, DUES, SUBSCRIPTIONS AND PHONE OR FAXED ORDERS

For purchases in which a receipt is not normally given, such as those above, use a copy of the completed application or order form as the receipt. If an application or order form is not used, request the company to issue a confirmation via fax to be used as your receipt. All documents should clearly indicate payment was made using the Purchasing Card.

PAYMENT OF CHARGES

All transactions processed during a monthly billing cycle will be indicated on a monthly statement of account, similar to your personal credit card statement. Each cardholder will receive a copy of their statement of account at the end of the monthly billing cycle. The statement will be mailed to the Cardholder and then forwarded to the Department Manager for review and payment approval. During the cycle, cardholders are responsible for retaining the original copy of their transaction receipts.



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Cardholders are to review each monthly statement of account for accuracy, including transactions and amounts. Original receipts must be taped to a blank 8½ x 11" sheet of paper. No staples should be used, except the one to hold the entire document together. Multiple receipts can be put on a single sheet of paper. The sheets should then be attached to the statement of account form on the front. Attach a completed expense voucher form, which must total the statement amount. The statement of account form and attached receipts should then be submitted for proper departmental signature(s) and forwarded to Finance within seven (7) calendar days from the date on the statement.

Keep a record (duplicate copies) of all receipts, statements and forms submitted for payment consistent with the City's records retention schedule. Each cardholder is responsible for the record keeping and payment processing of charges made on their card. In the absence of the cardholder, the supervisor is responsible for processing payment. Each supervisor must know the location of and have access to all receipts for the cardholders under their supervision.

INCORRECT BILLING

Do not remove or correct an item on the statement or delay processing payment because of credits or disputes. If you have a problem with a billing, try to reach a resolution with the merchant that provided the item. Your receipt will be the key document. The merchant should issue credit for a billing correction. This credit may appear on the next monthly statement.

If an agreement cannot be reached with the merchant, contact the Finance Department and contact the Card Services in writing at the address shown on the billing statement for the account within ~~60~~sixty days of the date that the card company sent the first statement showing the charge. Notice to the card company must be in writing (a telephone call will not be sufficient) and include the following information: cardholder name and account number, the dollar amount of any suspected error, a description of the error, and an explanation, if possible, of why there is an error.

LOST RECEIPTS

If a receipt is lost, contact the credit card company. The credit card company will supply receipts.

TELEPHONE ORDERS

Orders may be made by telephone with an itemized receipt requested from the merchant. A telephone log should be used to document or record telephone Purchasing Card orders. The log should be held until the monthly billing statement is received and reconciled. The log should then be included with the expense voucher and forwarded to Finance for payment.



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LOST OR STOLEN CARDS

Keep the Purchasing Card in a secure location. It needs to be accessible only to the cardholder. If the Purchasing Card is lost or stolen, notify Customer Service immediately at the 24-hour telephone number (1-800-393-3526), and call the Finance Department. The card will be closed and monitored. A new card will be issued if necessary.

CARDHOLDER LEAVES CITY EMPLOYMENT

The cardholder must turn the Purchasing Card into the Human Resources Department during the exit interview. The Purchasing Card will be cancelled.

RETURNING PURCHASES

If a purchased item is to be returned, follow the merchant's return procedures or, if this is not possible, contact the Finance Department for shipping assistance.

AFFECT ON PERSONAL CREDIT RATING

Use of the Purchasing Card will not have any impact on the cardholder's personal credit rating.

UNAUTHORIZED TRANSACTIONS

Cards may not be used for excluded categories of good and services* or purchases split to remain under the single transaction dollar amount. The Card Services provides the City of Northfield with detailed transaction reports of exceptions by cardholders.

*Finance will provide a list of excluded categories at the time of application.

LOSS OF PRIVILEGES

Failure to comply with the requirements of this policy will result in immediate revocation of Purchasing Card privileges if any of the following occur:

- Splitting of charges to avoid the single purchase dollar limit.
- Lending the card to another employee for use.
- Failure to submit charges for payment.
- The second time an inadvertent personal purchase occurs.
- The second time the monthly payment request is received by Finance seven (7) days after the monthly statement date.



4.021 PURCHASING CARD POLICY
CITY COUNCIL
Enabling Legislation: M2020-102
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CARD RENEWAL

New cards are issued for a three-year period. Upon expiration, they are automatically renewed except for cards with a default grant account.

PURCHASES NOT ALLOWED

Purchasing Card shall not be used for the following transactions:

Alcoholic beverages	Holiday decorations
Any 1099 reportable services	Insurance premiums and bonds
Appliances	Jewelers
Automotive gasoline (personal)	Lease purchases
Bottled water	Legal services
Capital equipment (over \$2,500)	Medical services
Cash advances	Personal purchases
Consulting services	Pictures, artwork, décor
Contributions	Prescription drugs
Controlled substances	Salaries and wages
Decorations for office	Temporary services
Financial institutions	Tobacco products
Flowers except sympathy*	Gifts of any kind
Greeting cards except sympathy*	

*See [Employee Handbook policy 3.41](#) for guidance on purchase of flowers and greeting cards for certain instances.

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HOTEL / MOTEL CHARGES

No room charges such as games, movies, room service, telephone charges, internet charges, valet parking, etc., are allowed.

GASOLINE

Automotive gasoline may be allowed on the Purchasing Card if a City vehicle or rental vehicle is being used. The cardholder must obtain permission from Finance prior to the trip and have the card opened to allow for gasoline purchases. Receipts for both the rental and gas purchases must be kept together and filed.



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FOOD / RESTAURANT

Employees can use their City-issued Purchasing Card for restaurant and food purchases only for a City business necessity with proper itemized documentation. See [Employee Handbook section 4.57 Travel & Training Expenses, Meals](#), page ~~54~~ of ~~76~~.

PRINTING, COPYING / DUPLICATING SERVICES

This category is not allowed. The City Administrator or designee can only grant exception based on business necessity.

MANDATORY REPORTING

Under Minn. Stat. § 609.465, subd. 1, whenever a public employee or public officer of the City discovers evidence of theft, embezzlement, unlawful use of public funds or property, or misuse of public funds by a charter commission or any person authorized to expend public funds, the employee or officer shall promptly report to law enforcement and shall promptly report in writing to the state auditor a detailed description of the alleged incident or incidents.

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4.035 POST-ISSUANCE DEBT COMPLIANCE POLICY
FINANCE
Enabling Legislation: Resolution 2012-070
Date Adopted: 08/21/2012
Revised: 04/16/24

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POLICY

The City Council (the “Council”) of the City of Northfield, Minnesota (the “City”) has chosen, by policy, to take steps to help ensure that all obligations will be in compliance with all applicable federal regulations. This policy may be amended, as necessary, in the future.

BACKGROUND

The Internal Revenue Service (IRS) is responsible for enforcing compliance with the Internal Revenue Code (the “Code”) and regulations promulgated thereunder (“Treasury Regulations”) governing certain obligations (for example: tax-exempt obligations, Build America Bonds, Recovery Zone Development Bonds and various “Tax Credit” Bonds). The IRS encourages issuers and beneficiaries of these obligations to adopt and implement a post-issuance debt compliance policy and procedures to safeguard against post-issuance violations.

POST-ISSUANCE DEBT COMPLIANCE POLICY OBJECTIVE

The City desires to monitor these obligations to ensure compliance with the Code and Treasury Regulations. To help ensure compliance, the City has developed the following policy (the “Post-Issuance Debt Compliance Policy”). The Post-Issuance Debt Compliance Policy shall apply to the obligations mentioned above, including bonds, notes, loans, lease purchase contracts, lines of credit, commercial paper or any other form of debt that is subject to compliance.

POST-ISSUANCE DEBT COMPLIANCE POLICY

The Finance Director of the City is designated as the City’s agent who is responsible for post-issuance compliance of these obligations.

The Finance Director shall assemble all relevant documentation, records and activities required to ensure post-issuance debt compliance as further detailed in corresponding procedures (the “Post-Issuance Debt Compliance Procedures”). At a minimum, the Post-Issuance Debt Compliance Procedures for each qualifying obligation will address the following:

1. General post-issuance compliance;
2. Proper and timely use of obligation proceeds and obligation-financed property;
3. Arbitrage yield restriction and rebate;
4. Timely filings and other general requirements;
5. Additional undertakings or activities that support the four points 1 through 4 above;
6. Maintenance of proper records related to the obligations and the investment of proceeds of obligations;

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7. Other requirements that become necessary in the future.

The Finance Director shall apply the Post-Issuance Debt Compliance Procedures to each qualifying obligation and maintain a record of the results. Further, the Finance Director will ensure that the Post-Issuance Debt Compliance Policy and Procedures are updated on a regular and as needed basis.

The Finance Director or any other individuals responsible for assisting the Finance Director in maintaining records needed to ensure post-issuance debt compliance, are authorized to expend funds as needed to attend training or secure use of other educational resources for ensuring compliance such as consulting, publications, and compliance assistance.

Most of the provisions of this Post-Issuance Debt Compliance Policy are not applicable to taxable governmental obligations unless there is a reasonable possibility that the City may refund their taxable governmental obligation, in whole or in part, with the proceeds of a tax-exempt governmental obligation. If this refunding possibility exists, then the Finance Director shall treat the taxable governmental obligations as if such issue were an issue of tax-exempt governmental obligations and comply with the requirements of this Post-Issuance Debt Compliance Policy.

PRIVATE ACTIVITY BONDS~~Private Activity Bonds~~

The City may issue tax-exempt obligations that are “private activity” bonds because either (1) the bonds finance a facility that is owned by the City but used by one or more qualified 501(c)(3) organizations, or (2) the bonds are so-called “conduit bonds”, where the proceeds are loaned to a qualified 501(c)(3) organization or another private entity that finances activities eligible for tax-exempt financing under federal law (such as certain manufacturing projects and certain affordable housing projects). Prior to the issuance of either of these types of bonds, the Finance Director shall take steps necessary to ensure that such obligations will remain in compliance with the requirements of this Post-Issuance Debt Compliance Policy.

In a case where compliance activities are reasonably within the control of a private party (i.e. a 501(c)(3) organization or conduit borrower), the Finance Director may determine that all or some portion of compliance responsibilities described in this Post-Issuance Debt Compliance Policy shall be assigned to the relevant party. In the case of conduit bonds, the conduit borrower will be assigned all compliance responsibilities other than those required to be undertaken by the City under federal law. In a case where the Finance Director is concerned about the compliance ability of a private party, the Finance Director may require that a trustee or other independent third party be retained to assist with record keeping for the obligation and/or that the trustee or such third party be responsible for all or some portion of the compliance responsibilities.

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The Finance Director is additionally authorized to seek the advice, as necessary, of bond counsel and/or its financial advisor to ensure the City is in compliance with this Post-Issuance Debt Compliance Policy.

POST-ISSUANCE DEBT COMPLIANCE PROCEDURES

The ~~City Council (the “Council”)~~ of the ~~City of Northfield, Minnesota (the “City”)~~ has adopted the attached Post-Issuance Debt Compliance Policy dated 08/21/12. The Post-Issuance Debt Compliance Policy applies to qualifying debt obligations issued by the City. As directed by the adoption of the Post-Issuance Debt Compliance Policy, the Finance Director of the City will perform the following Post-Issuance Debt Compliance Procedures for all of the City’s outstanding debt.

1. General Post-Issuance Compliance

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- a. Ensure written procedures and/or guidelines have been put in place for individuals to follow when more than one person is responsible for ensuring compliance with Post-Issuance Debt Compliance Procedures.
- b. Ensure training and/or educational resources for post-issuance compliance have been approved and obtained.
- c. The Finance Director understands that there are options for voluntarily correcting failures to comply with post-issuance compliance requirements (such as remedial actions under Section 1.141-12 of the Treasury Regulations and the ability to enter into a closing agreement under the Tax-Exempt Bonds Voluntary Agreement Program described in Notice 2008-31 (the “VCAP Program”)).

2. General Recordkeeping

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- a. Retain records and documents for the obligation and all obligations issued to refund the obligation for a period of at least seven years following the final payment of the obligation (or if such obligation is refunded, the final payment of the refunding bond) unless otherwise directed by the City’s bond counsel.
- b. Retain both paper and electronic versions of records and documents for the obligation.
- c. General records and documentation to be assembled and retained
 - i. Description of the purpose of the obligation (referred to as the project) and the state statute authorizing the project.
 - ii. Record of tax-exempt status or revocation of tax-exempt status, if applicable.
 - iii. Any correspondence between the City and the IRS.
 - iv. Audited financial statements.
 - v. Bond transcripts, official statements and other offering documents of the obligation.
 - vi. Minutes and resolutions authorizing the issuance of the obligation.
 - vii. Certifications of the issue price of the obligation.

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- ~~vii.~~ ~~Certifications of the issue price of the obligation.~~
- ~~viii.~~ ~~o Any formal elections for the obligation (i.e. election to employ an accounting methodology other than the specific tracing method).~~
- ~~ix.~~ ~~o Appraisals, demand surveys, or feasibility studies for property financed by the obligation.~~
- ~~x.~~ ~~o Documents related to governmental grants, associated with construction, renovation or purchase of property financed with the obligation.~~
- ~~xi.~~ ~~o Reports of any prior IRS examinations of the City or the City's obligation.~~

3. Arbitrage Yield Restriction and Rebate Recordkeeping

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a. Investment and arbitrage documentation to be assembled and retained

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- ~~i.~~ ~~o An accounting of all deposits, expenditures, interest income and asset balances associated with each fund established in connection with the obligation. This includes an accounting of all monies deposited to the Debt Service Account to make debt service payments on the obligation, regardless of the source derived. Accounting for expenditures and assets is described in further detail in the next section, Expenditure and Asset Documentation to be Assembled and RetainedSection 4.~~
- ~~ii.~~ ~~o Statements prepared by Trustee or Investment Provider.~~
- ~~iii.~~ ~~o Documentation of at least quarterly allocations of investments and investment earnings to each obligation (i.e. uncommingling analysis).~~
- ~~iv.~~ ~~o Documentation for investments made with obligation proceeds such as:
 - ~~1.)~~ ~~Investment contracts (i.e. guaranteed investment contracts).~~
 - ~~2.)~~ ~~Credit enhancement transactions (i.e. bond insurance contracts).~~
 - ~~3.)~~ ~~Financial derivatives (swaps, caps, etc.).~~
 - ~~4.)~~ ~~Bidding of financial products.~~
 - ~~o Investments acquired with obligation proceeds are purchased at fair market value (i.e. three bids for open market securities needed in advance refunding escrows).~~~~

b. Computations of the arbitrage yield.

c. Computations of yield restriction and rebate amounts including but not limited to:

- ~~i.~~ ~~o Compliance in meeting the "Temporary Period from Yield Restriction Exception" and limiting the investment of funds after the temporary period expires.~~
- ~~ii.~~ ~~o Compliance in meeting the "Rebate Exception".
 - ~~1.)~~ ~~Qualifying for the "Small Issuer Exception"~~
 - ~~2.)~~ ~~Qualifying for a "Spending Exception"~~
 - ~~o 6 Month Spending Exception~~
 - ~~o 18 Month Spending Exception~~
 - ~~o 24 Month Spending Exception~~
 - ~~3.)~~ ~~Qualifying for the "Bona Fide Debt Service Fund Exception"~~~~

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4) Quantifying arbitrage on all funds established in connection with the obligation in lieu of satisfying arbitrage exceptions (including Reserve Funds and Debt Service Funds)

- Computations of yield restriction and rebate payments.
- Timely Tax Form 8038-T filing, if applicable.
 - Remit any arbitrage liability associated with the obligation to the IRS at each five year anniversary date of the obligation, and the date at which the obligation is no longer outstanding (redemption or maturity date), whichever comes sooner, within 60 days of said date.
- Timely Tax Form 8038-R filing, if applicable.
- Procedures or guidelines for monitoring instances where compliance with applicable yield restriction requirements depends on subsequent reinvestment of obligation proceeds in lower yielding investments (for example: reinvestment in zero coupon SLGS).

4. Expenditure and Asset Documentation to be Assembled and Retained

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• Documentation of allocations of obligation proceeds to expenditures (i.e. allocation of proceeds to expenditures for the construction, renovation or purchase of facilities owned and used in the performance of exempt purposes).

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• Such allocation will be done not later than the earlier of:
Eighteen (18) months after the later of the date the expenditure is paid, or the date the project, if any, that is financed by the tax-exempt bond issue is placed in service; or

The date sixty (60) days after the earlier of the fifth anniversary of the issue date of the tax-exempt bond issue, or the date sixty (60) days after the retirement of the tax-exempt bond issue.

- Documentation of allocations of obligation proceeds to issuance costs.
- Copies of requisitions, draw schedules, draw requests, invoices, bills and cancelled checks related to obligation proceed expenditures during the construction period.
- Copies of all contracts entered into for the construction, renovation or purchase of facilities financed with obligation proceeds.
- Records of expenditure reimbursements incurred prior to issuing bonds for facilities financed with obligation proceeds (Declaration of Official Intent/Reimbursement Resolutions including all modifications).
- List of all facilities and equipment financed with obligation proceeds.
- Depreciation schedules for depreciable property financed with obligation proceeds.
- Documentation that tracks the purchase and sale of assets financed with obligation proceeds.
- Documentation of timely payment of principal and interest payments on the obligation.
- Tracking of all issue proceeds and the transfer of proceeds into the debt service fund as appropriate.

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- Documentation that excess earnings from a Reserve Fund is transferred to the Debt Service Fund on an annual basis. Excess earnings are balances in a Reserve Fund that exceed the Reserve Fund requirement.

5. Miscellaneous Documentation to be Assembled and Retained

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- Ensure that the project, while the obligation is outstanding, will avoid IRS private activity concerns.

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- The Finance Director shall monitor the use of all obligation-financed facilities in order to:

- Determine whether private business uses of obligation-financed facilities have exceeded the *de minimus* limits set forth in Section 141(b) of the Code as a result of sale of the facilities (including sale of capacity rights, leases and subleases of facilities (including easements or use arrangements for areas outside the four walls, e.g., hosting of cell phone towers), leasehold improvement contracts, licenses, management contracts (in which the City authorizes a third party to operate a facility, e.g. cafeteria), research contracts, preference arrangements (in which the City permits a third party preference, such as parking in a public parking lot), joint ventures, limited liability companies or partnership arrangements, output contracts or other contract-s for use of utility facilities (including contracts with large utility users), development agreements which provide for guaranteed payments or property values from a developer, grants or loans made to private entities (including special assessment agreements), naming rights agreements, or other arrangements that provide special legal entitlements to nongovernmental persons; and
- Determine whether private security or payments that exceed the *de minimus* limits set forth in Section 141(b) of the Code have been provided by nongovernmental persons with respect to such obligation-financed facilities.

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- The Finance Director shall provide training and educational resources to any City staff that have the primary responsibility for the operation, maintenance, or inspection of obligation-financed facilities with regard to the limitations on the private security or payments with respect to obligation-financed facilities.

- The Finance Director shall undertake the following with respect to the obligations:

- an annual review of the books and records maintained by the City with respect to such obligations; and
- an annual physical inspection of the facilities financed with the proceeds of such obligations, conducted by the Finance Director with the assistance of any City staff who have the primary responsibility for the operation, maintenance, or inspection of such obligation-financed facilities.

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- Changes in the project that impact the terms or commitments of the obligation are properly documented and necessary certificates or opinions are on file.

6. Additional Undertakings and Activities that Support the Above Sections 1 through 5 above:

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- The Finance Director will notify the City's bond counsel, financial advisor and arbitrage provider of any survey or inquiry by the IRS immediately upon receipt. (Usually responses to IRS inquiries are due within 21 days of receipt. Such IRS responses require the review of the above mentioned data and must be in writing. As much time as possible is helpful in preparing the response.)
- The Finance Director will consult with the City's bond counsel, financial advisor and arbitrage provider before engaging in post-issuance credit enhancement transactions (i.e. bond insurance, letter of credit, or hedging transactions (i.e. interest rate swap, cap)).
- The Finance Director will monitor all "qualified tax-exempt debt obligations" within the first calendar year to determine if the limit is exceeded, and if exceeded, will address accordingly. For tax-exempt debt obligations issued during years 2009 and 2010, the limit is \$30,000,000. (The limit was \$10,000,000 prior to 2009. In 2011 and thereafter it will remain at \$10,000,000 unless changed by Congress.) During this period, the limit also applies to pooled financings of the governing body and provides a separate \$30,000,000 for each 501(c)(3) conduit borrower.
- Comply with Continuing Disclosure Requirements.
 - If applicable, the timely filing of annual information agreed to in the Continuing Disclosure Certificate.
 - Give notice of any Material Event.
- Identify any post-issuance change to terms of bonds which could be treated as a current refunding of "old" bonds by "new" bonds, often referred to as a "reissuance".
- The Finance Director will consult with the City's bond counsel prior to any sale, transfer, change in use or change in users of obligation-financed property which may require "remedial action" under applicable Treasury Regulations or resolution pursuant to the VCAP Program.

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A remedial action has the effect of curing a deliberate action taken by the City which results in satisfaction of the private business test or private loan test. Remedial actions under Section 1.141-12(d)(e) and (f) include the redemption of non-qualified bonds and alternative uses of proceeds or the facility (i.e. use for a qualified purpose instead).

- The Finance Director will ensure that the appropriate tax form for federal subsidy payments is prepared and filed in a timely fashion for applicable obligations (i.e. Build America Bonds).

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6. Compliance with Future Requirements



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Take measures to comply with any future requirements issued beyond the date of these Post-Issuance Debt Compliance Procedures which are essential to ensuring compliance with the applicable state and federal regulations.

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4.043 CITY INVESTMENT POLICY
FINANCE
Enabling Legislation: M2014-087
Date Adopted: 05/20/2014
Revised: N/A 03/12/24

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INTRODUCTION

The intent of the Investment Policy of the City of Northfield ("City") is to define the parameters within which funds are to be managed. In methods, procedures and practices, the policy formalizes the framework for the City's investment activities that must be exercised to ensure effective and judicious fiscal and investment management of the City's funds. The guidelines are intended to be broad enough to allow the investment officer to function properly within the parameters of responsibility and authority, yet specific enough to adequately safeguard the investment assets.

GOVERNING AUTHORITY

The investment program shall be operated in conformance with federal, state, and other legal requirements, including Minnesota Statute 118A, which governs the investment of public funds.

SCOPE

This policy applies to activities of the City with regard to investing the financial assets of all funds. In addition, funds held by trustees or fiscal agents are excluded from these rules; however, all funds are subject to regulations established by the state of Minnesota. The covered funds, and any new funds created by the City, unless specifically exempted by the oversight board and this policy, are defined in the City's Comprehensive Annual Financial Report.

Note that any excluded funds, such as employee retirement funds, proceeds from certain bond issues and foundation or endowment assets are covered by separate policies.

Except for funds in certain restricted and special funds, the City can commingle its funds to maximize investment earnings and to increase efficiencies with regard to investment pricing, safekeeping and administration. Investment income will be allocated to the various funds based on their respective participation and in accordance with generally accepted accounting principles.

GENERAL OBJECTIVES

The primary objectives, in priority order, of investment activities shall be:

1. *Safety*

Safety of principal is the foremost objective of the investment program. Investments shall be undertaken in a manner that seeks to ensure the preservation of capital in the overall portfolio. The goal will be to mitigate credit risk and interest rate risk.

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2. *Liquidity*

The investment portfolio shall remain sufficiently liquid to meet all operating requirements that may be reasonably anticipated.

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3. Return

The investment portfolio shall be designed with the objective of attaining a market rate of return throughout budgetary and economic cycles, taking into account the investment risk constraints of safety and liquidity needs.

STANDARDS OF CARE

1. Prejudice

The standard of prudence to be used by investment officials shall be the “prudent person” standard and shall be applied in the context of managing an overall portfolio. Investment officers acting in accordance with written procedures and this investment policy and exercising due diligence shall be relieved of personal liability for an individual security’s credit risk or market price changes, provided deviations from expectations are reported in a timely fashion and appropriate action is taken to control adverse developments. The “prudent person” standard states that:

“Investments shall be made with judgment and care, under circumstances then prevailing, which persons of prudence, discretion and intelligence exercise in the management of their own affairs, not for speculation, but for investment, considering the probable safety of their capital as well as the probable income to be derived.”

2. Ethics and Conflicts of Interest

Officers and employees involved in the investment process shall refrain from personal activity that could conflict with the proper execution and management of the investment program, or that could impair their ability to make impartial investment decisions. Employees and investment officials shall disclose any material interests in financial institutions with which they conduct business. Disclosure shall be made to the governing body. They shall further disclose any personal financial/investment positions that could be related to the performance of the investment portfolio. Employees and officers shall refrain from undertaking any personal investment transactions with the same individual with whom business is conducted on behalf of the City.

3. Delegation of Authority and Responsibilities

Governing Body

The City of Northfield will retain ultimate fiduciary responsibility for the portfolios. The governing body will receive monthly reports, designate investment officers and annually review the investment policy making any changes necessary by adoption.



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Investment Officers

Authority to manage the investment program is granted to the Finance Director ("Investment Officer") as designated by the City of Northfield, City Council.

Responsibility for the operation of the investment program is hereby delegated to the Investment Officer who shall act in accordance with established written procedures and internal controls for the operation of the investment program consistent with this Investment Policy. Officers will prepare monthly investment reports and other special reports as may be deemed necessary.

All participants in the investment process shall seek to act responsibly as custodians of the public trust. No officer or designee may engage in an investment transaction except as provided under the terms of this policy and supporting procedures.

Investment Adviser

The City may engage the services of one or more external investment managers to assist in the management of the City's investment portfolio in a manner consistent with the entity's objectives. Such external managers may be granted discretion to purchase and sell investment securities in accordance with this Investment Policy. Such managers must be registered under the Investment Advisers Act of 1940.

AUTHORIZED FINANCIAL INSTITUTIONS, DEPOSITORIES, AND BROKER/DEALERS

1. Authorized Financial Institutions, Depositories and Broker/Dealers

A list will be maintained of financial institutions and depositories authorized to provide investment services. In addition, a list will be maintained of approved security broker/dealers selected by conducting a process of due diligence. For the purpose of this section, the term "broker" means a broker-dealer, broker, or agent of a government entity, who transfers, purchases, sells, or obtains securities for, or on behalf of, a government entity. These may include primary dealers or regional dealers that qualify under Securities and Exchange Commission (SEC) Rule 15C3-1 (uniform net capital rule).

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b. The investment officer shall determine which financial institutions are authorized to provide investment services to the City. Institutions eligible to transact investment business with the City may include:

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- 1.*** Primary government dealers as designated by the Federal Reserve Bank;
- 2.*** Nationally or state-chartered banks;
- 3.*** The Federal Reserve Bank; and
- 4.*** Direct issuers of securities eligible for purchase.



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- e. Selection of financial institutions and broker/dealers authorized to engage in transactions with the City shall be at the sole discretion of the City of Northfield.
- d. All broker/dealers who desire to become qualified for investment transactions must supply the following (as appropriate):
 - 1. Audited financial statements demonstrating compliance with state and federal capital adequacy guidelines
 - 2. Proof of FINRA certification
 - 3. Evidence of adequate insurance coverage
 - 4. Prior to completing an initial transaction with a broker, a government entity shall provide annually to the broker a written statement of investment restrictions which shall include a provision that all future investments are to be made in accordance with Minnesota Statutes governing the investment of public funds.
 - 5. A broker must acknowledge annually receipt of the statement of investment restrictions in writing and agree to handle the government entity's account in accordance with these restrictions. A government entity may not enter into a transaction with a broker until the broker has provided this written agreement to the government entity.
- e. All financial institutions who desire to become depositories must supply the following (as appropriate):
 - 1. Audited financial statements demonstrating compliance with state and federal capital adequacy guidelines
 - 2. Proof of state registration
 - 3. Evidence of adequate insurance coverage
- f. A periodic review of the financial condition and registration of all qualified financial institutions and broker/dealers will be conducted by the investment officer.
- g. If the City hires an investment adviser to provide investment management services, and the investment adviser maintains a list of approved Broker/Dealers that is adhered to for investment transactions, the City may adopt that investment adviser's list as it may be amended periodically. The investment manager must provide evidence of a formalized process for approval and ongoing monitoring of its approved Broker/Dealers; a process that at a minimum is equally as rigorous as the requirements detailed in this section.

- *2. Minority, Emerging and Community Financial Institutions*

From time to time, the investment officer may choose to invest in instruments offered by minority, emerging and community financial institutions. All terms and relationships will be fully disclosed prior to purchase and will be reported to the appropriate entity on a consistent basis and should be consistent with state or local law.

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- *3. Competitive Transactions*
 - a. The Investment Officer shall obtain competitive bid information on all purchases of investment instruments purchased on the secondary market. A competitive bid can be

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executed through a bidding process involving at least three separate brokers/financial institutions or through the use of a nationally recognized trading platform.

- ~~b-o~~ If the Entity is offered a security for which there is no readily available competitive offering on the same specific issue, then the Investment Officer shall document quotations for comparable or alternative securities. When purchasing original issue instrumentality securities, no competitive offerings will be required as all dealers in the selling group offer those securities at the same original issue price.
- ~~e-o~~ If the City hires an investment adviser to provide investment management services, the adviser must provide documentation of competitive pricing execution on each transaction. The investment adviser will retain documentation and provide upon request.

SAFEKEEPING AND CUSTODY

- ~~1-~~ *Delivery vs. Payment*

All trades of marketable securities will be executed (cleared and settled) on a delivery vs. payment (DVP) basis to ensure that securities are deposited in the City's safekeeping institution prior to the release of funds.

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- ~~2-~~ *Third-Party Safekeeping*

Securities will be held by an independent third-party safekeeping institution selected by the City. All securities will be evidenced by safekeeping receipts in the City's name. The safekeeping institution shall annually provide a copy of its most recent report on internal controls – Service Organization Control Reports (formerly 70, or SAS 70) prepared in accordance with the Statement on Standards for Attestation Engagements (SSAE) No. 16 (effective June 15, 2011).

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- ~~3-~~ *Internal Controls*

Management shall establish a system of internal controls, which shall be documented in writing. The internal controls shall be reviewed by the investment committee, where present, and with the independent auditor. The controls shall be designed to prevent the loss of public funds arising from fraud, employee error, and misrepresentation by third parties, unanticipated changes in financial markets, or imprudent actions by employees and officers of the City.

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SUITABLE AND AUTHORIZED INVESTMENTS

- ~~1-~~ *Investment Types and Credit Guidelines*

The City will be permitted by this policy to invest public funds in those security types that are permitted by Minnesota Statute 118A.04 which include, but are not limited to:

- Government Bonds, notes, bills, mortgages and other securities, which are direct obligations or are guaranteed or insured issues of the United States, its agencies, its instrumentalities, or organizations created by an act of Congress; excluded from this section are "high-risk mortgage backed securities" which are defined by statute as:

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a. interest-only or principal-only mortgage backed securities; and

b. any mortgage derivative security that:

1. has an expected average life greater than ten years;

2. has an expected average life that:

i. will extend by more than four years as the result of an immediate and sustained parallel shift in the yield curve of plus 300 basis points; or

ii. will shorten by more than six years as the result of an immediate and sustained parallel shift in the yield curve of minus 300 basis points; or

3. will have an estimated change in price of more than 17 percent as the result of an immediate and sustained parallel shift in the yield curve of plus or minus 300 basis points

Any security which is a general obligation of any state or local government with taxing powers which is rated in the three highest ratings categories (generally referred to as "A or better") by a Nationally Recognized Statistical Rating Organization ("NRSRO"), or any security which is a revenue obligation of any state or local government with taxing powers which is rated in the two highest ratings categories (generally referred to as "AA or better") by a NRSRO

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General Obligations of the Minnesota housing agency which is a moral obligation of the state of Minnesota and is rated in the three highest ratings categories by a NRSRO

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Commercial Paper issued by United States corporations or their Canadian subsidiaries that is rated in the highest ratings category by two NRSROs and matures in 270 days or less

Time deposits that are fully insured by the Federal Deposit Insurance Corporation or bankers acceptances of United States banks

~~Time deposits that are fully insured by the Federal Deposit Insurance Corporation or bankers acceptances of United States banks~~

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General obligation temporary bonds of the same government entity issued under section 429.091, subdivision 7, 469.178, subdivision 5, or 475.61, subdivision 6 of Minnesota Statutes

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SEC registered money market mutual funds; and

Local government investment pools.

2. Debt Service Funds

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Funds held in a debt service fund may be used to purchase any obligation, whether general or special, of an issue which is payable from the funds, at such price, which may include a premium, as shall be agreed to by the holder, or may be used to redeem any obligation of such an issue prior to maturity in accordance with its terms. The securities representing any such investment may be sold by the governmental entity at any time, but the money so received remains part of the fund until used for the purpose for which the fund was created. Any obligations held in a debt service fund from which it is payable at any time unless otherwise provided in a resolution or other instrument securing obligations payable from the fund.

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4.043 CITY INVESTMENT POLICY
FINANCE
Enabling Legislation: M2014-087
Date Adopted: 05/20/2014
Revised: N/A03/12/24

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IMPORTANT NOTE: If the credit rating of a security is subsequently downgraded below the minimum rating level for a new investment of that security, the Investment Officer shall evaluate the downgrade on a case-by-case basis in order to determine if the security should be held or sold. The Investment Officer will apply the general objectives of safety, liquidity, yield and legality to make the decision.

• *2. Collateralization*

Where allowed or required by state law, full collateralization will be required on all demand deposit accounts, including checking accounts and negotiable (as authorized by respective state statutes) and non-negotiable certificates of deposit.

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Authorized Collateral

Acceptable collateral for bank deposits and repurchase agreements shall include only:

- Obligations of the U.S. Government, its agencies and GSEs, including mortgage backed securities
- Obligations of any state, city, county or authority rated at least AA by two nationally recognized statistical rating organizations.

INVESTMENT PARAMETERS

2. Mitigating Credit Risk in the Portfolio

Credit risk is the risk that a security or a portfolio will lose some or all of its value due to a real or perceived change in the ability of the issuer to repay its debt. The City shall mitigate risk by adopting the following:

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Diversification

It is the policy of the City to diversify its investment portfolios. To minimize risk of loss resulting from the over-concentration of assets in a specific maturity, issuer, or class of securities, assets in all City funds shall be diversified by maturity, issuer, and class of security. Diversification strategies shall be determined and revised periodically by the Investment Officer for all funds.

Sector	Maximum %	Issuer Max %	Minimum Credit	Maximum Maturity ¹
U.S. Treasury Obligations	100%	100%	N/A	10 Years
Federal Agencies	100%	50%	N/A	10 Years
Federal Instrumentalities	75%	50%	Highest two rating categories	10 Years
Federal Agency MBS	40%	50%	N/A	10 Years ²
Commercial Paper	30%	5%	Highest rating category	270 Days
Municipal Obligations	30%	5%	Highest three rating categories	10 Years
SEC Money Market Funds	100%	50%	N/A	N/A



4.043 CITY INVESTMENT POLICY
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LGIP	100%	50%	N/A	N/A
¹ Maturity restrictions may not apply to Project Funds or Debt Service Funds as such investments should be made to coincide as nearly as practicable with the expected use of funds				
² As calculated using Weighted Average Life (WAL)				

• ~~2.~~ *Mitigating Market Risk in the Portfolio*

Market risk is the risk that the portfolio value will fluctuate due to changes in the general level of interest rates. The City recognizes that, over time, longer-term/core portfolios have the potential to achieve higher returns. On the other hand, longer-term portfolios have higher volatility of return. The City shall mitigate market risk by providing adequate liquidity for short-term cash needs, and by making longer-term investments only with funds that are not needed for current cash flow purposes. The City further recognizes that certain types of securities, including variable rate securities, securities with principal paydowns prior to maturity, and securities with embedded options, will affect the market risk profile of the portfolio differently in different interest rate environments. The City, therefore, adopts the following strategies to control and mitigate its exposure to market risk:

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- ~~a.-o~~ The City shall maintain a minimum of three months of budgeted operating expenditures in short term investments to provide sufficient liquidity for expected disbursements;
- ~~b.-o~~ The maximum percent of callable securities in the portfolio shall be 15%;
- ~~c.-o~~ Longer term/Core funds will be defined as the funds in excess of liquidity requirements;
- ~~d.-o~~ The duration of the portfolio shall at all times be approximately equal to the duration (plus or minus 20%) of a Market Benchmark(s) Index selected by the City based on its investment objectives, constraints and risk tolerances. The City's current Benchmark(s) are documented in Section X of this Investment Policy.

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Due to fluctuations in the aggregate surplus funds balance, parameters outlined in this section may be exceeded at a point in time subsequent to the purchase of a particular investment type. Securities need not be liquidated to realign the portfolio; however, consideration should be given to this matter when future purchases are made to ensure that appropriate diversification is maintained.

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PERFORMANCE STANDARDS / EVALUATION

The investment portfolio will be managed in accordance with the parameters specified within this policy. The portfolio should achieve a total return (which considers both income and market appreciation/depreciation) during a market/economic period (generally considered five years) that exceeds that of the BofA Merrill Lynch 1-3yr U.S. Treasury Index. The BofA Merrill Lynch 1-3yr U.S. Treasury Index represents U.S. Treasury securities maturing over one year, but less than three years and is an appropriate benchmark based on the objectives of the City.

REPORTING / DISCLOSURE



4.043 CITY INVESTMENT POLICY
FINANCE
Enabling Legislation: M2014-087
Date Adopted: 05/20/2014
Revised: N/A03/12/24

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• 1. Methods

The investment officer shall prepare an investment report at least quarterly, including a management summary that provides an analysis of the status of the current investment portfolio and the individual transactions executed over the last quarter. This management summary will be prepared in a manner which will allow the City to ascertain whether investment activities during the reporting period have conformed to the investment policy. The report should be provided to the entity's chief administrative officer, and the legislative body. The report will include, at a minimum, the following:

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- a-o An asset listing showing par value, cost and accurate and complete market value of each security, type of investment, issuer, and interest rate;
- b-o Average maturity of the portfolio and modified duration of the portfolio;
- c-o Maturity distribution of the portfolio;
- d-o Average portfolio credit quality; and,
- e-o Time-weighted total rate of return for the portfolio for the prior one month, three months, twelve months, year to date, and since inception compared to the Benchmark Index returns for the same periods;
- f-o Average weighted yield to maturity of portfolio on investments as compared to applicable benchmarks;
- g-o Distribution by type of investment

4. • Annual Reports

- a-o The investment policy shall be reviewed at least annually within 120 days of the end of the fiscal year to ensure its consistency with the overall objectives of preservation of principal, liquidity and return, and its relevance to current law and financial and economic trends.
- b-o A comprehensive annual report shall be presented in conjunction with the investment policy review. This report shall include comparisons of City's return to the Benchmark Index return, shall suggest policies and improvements that might enhance the investment program, and shall include an investment plan for the coming year.

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POLICY CONSIDERATIONS

• 1. Exemption

Any investment currently held that does not meet the guidelines of this policy shall be exempted from the requirements of this policy. At maturity or liquidation, such monies shall be reinvested only as provided by this policy.

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• 2. Amendments

This policy shall be reviewed on an annual basis. Any changes must be approved by the investment officer and any other appropriate authority, as well as the individuals charged with maintaining internal controls.

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4.0 43 CITY INVESTMENT POLICY
FINANCE
Enabling Legislation: M2014-087
Date Adopted: 05/20/2014
Revised: N/A 03/12/24

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APPROVAL OF INVESTMENT POLICY

The investment policy and any modifications to that policy shall be formally approved and adopted by the governing body of the City.



4.057 FINANCIAL CONTROL POLICY
FINANCE
Enabling Legislation: M2015-020
Date Adopted: 11/17/2015
Revised: N/A04/16/24

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POLICY Budgetary and Financial Control Policy –

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A. General budgetary and financial control is to be centralized in the Finance Department, whose functions shall include, but not necessarily limited to the following:

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1. Budget compilation
2. Budget monitoring
3. Central purchasing (see Purchasing Policy and P-Card Policy Purchasing Card Policy 4.02)
4. Income and expenditure projections
5. Capital improvement financing
6. Risk management (see Risk Management Policy and Self-Insurance Reserve Policy)
7. Screening of Conduit Debt applications (see Conduit Debt Policy 4.06)
8. Cash and Investment management
9. Monitoring financial data for warning signals or trends
10. Preparation of financial summary reports for key funds at least quarterly
11. Maintain a detailed inventory listing of all material fixed assets so as to adequately ensure proper accounting of assets
12. “Project Financial Analysis” to be presented as part of any proposal to the Council in connection with any new or expanded operating or capital improvement programs and other projects. The objective of the financial analysis is to provide the best possible estimate of expenditures, revenues, and staffing impacts of a proposed project. The financial analysis should be factual, informative, and concise, which should enable the Council to make intelligent and informed decisions.
13. Payroll
14. Accounts Receivable
15. Receipts, Collections, and Customer Billing
16. Accounts Payable

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B. The City will maintain a program for the investment of funds consistent with the City's Investment Policy 4.03.

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C. The City will strive to maintain an undesignated and unreserved General Fund Balance of 50% of the General Fund portion of the tax levy for the following year. If the City has more than the required level, such excess shall not be reduced by 50% in any one year for operating budget purposes.

D. The City will also review, and update, the schedule of fund balances, reserves, and working capital in all other operating funds of the City and determine adequacy of those money balances, using specified guidelines and criteria in conjunction with the budgets set annually.

4.057 FUND BALANCE YEAR-END CLASSIFICATION POLICY **~~FINANCIAL~~ FINANCIAL CONTROL POLICY**



4.057 FINANCIAL CONTROL POLICY
FINANCE
Enabling Legislation: M2015-020
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Department Directors will be responsible for administration of their respective Department Budgets and are to submit requests for any required budget adjustments, such as supplemental appropriations, to the City Administrator or Finance Director before the program incurs cost overruns for the annual budget period.

Primary responsibility in the management of budgeted funds lies with the Department Directors. Such management includes, but is not limited to, reviewing expenditures before authorization, reviewing monthly financial reports to detect errors and assess progress, and staying within expenditure budget authorization. All costs incurred must be reasonable and necessary. Department Directors shall be responsible for contacting the City Administrator or Finance Director should there be any questions regarding financial management or if the issue or concern is related to internal controls. The Finance Director will monitor overall budget operating progress routinely throughout the year.

The City will not use short-term borrowing, internal or external, to balance the operating budget for any fund.

The City will not sell assets or use one-time accounting principle changes to balance the budget for any fund.

The City will develop two-year budgets. Each year the City will certify only the following year's budget and levy to Rice and Dakota Counties.

✚ The City will provide ample time and opportunity for public input into its ~~b~~Budget-setting deliberations each year.

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The City will establish and maintain the highest standard of accounting practices, in conformity with Generally Accepted Accounting Principles (GAAP) and with recommended best practices as promulgated by the Government Finance Officers Association (GFOA).

✚ The City will arrange for an annual audit of all funds and account types by independent ~~C~~ertified ~~P~~ublic ~~A~~ccountants qualified and licensed to issue such reports.

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The City will strive to obtain each year the annual GFOA Certificate of Achievement for Excellence in Financial Reporting. The GFOA Excellence in Financial Reporting is a program that encourages and assists state and local governments to go beyond the minimum requirement of ~~generally-accepted-accounting-principles~~GAAP to prepare comprehensive annual financial reports that evidence the spirit of transparency and full disclosure. The goal of the program is not to assess the financial health of participating governments, but rather to ensure that users of their financial statement have the information they need to do so themselves.



4.057 FINANCIAL CONTROL POLICY
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Regular quarterly reports to council will present a summary of financial activity by major type of funds as compared to budget. Department Directors will review monthly reports comparing actual revenues and expenditures to the budgeted amounts. Any negative variance in any revenue or spending category for their department as a whole projected to exceed \$100,000 by year end will be reported in writing to the Finance Director and the City Administrator.

The City will strive to obtain each year the GFOA Distinguished Budget Award. This GFOA program was created to encourage and assist state and local governments to prepare budget documents of the very highest quality that reflect both the guidelines established by the National Advisory Council on State and Local Budgeting and the GFOA's best practices on budgeting.

The City integrates performance measurement and productivity indicators to measure operational performance where practical. Performance data for individual departments are included on the budget document. Performance data should be directly related to the stated goals and objectives of the unit and focus on results and accomplishments rather than inputs. Performance measures should provide a meaningful way to assess the effectiveness and efficiency of each operational unit.



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Enabling Legislation: M2015-020
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Revised: N/A04/16/24

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FUND-BALANCE-YEAR-END-CLASSIFICATION POLICY

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(Per GASB-54)

PURPOSE:

The purpose of this policy is to establish specific guidelines the City of Northfield will use to maintain an adequate level of fund balance to provide for cash flow requirements and contingency needs because major revenues, including property taxes and other government aids are received in the second half of the City's fiscal year.

The purpose of this policy is to also establish specific guidelines the City of Northfield will use to classify fund balances into categories based primarily on the extent to which the City is bound to honor constraints on the specific purposes for which amounts in these funds can be spent.

1. Nonspendable

- This category includes fund balance that cannot be spent because it is either (i) not in spendable form or (ii) is legally or contractually required to be maintained intact. Examples include inventories and prepaid amounts.

2. Restricted

- Fund balance should be reported as restricted when constraints placed on those resources are either (i) externally imposed by creditors, grantors, contributors, or laws or regulations of other governments or (ii) imposed by law through constitutional provisions or enabling legislation.

3. Committed

- Fund balance that can only be used for specific purposes pursuant to constraints imposed by formal action of the government's highest level of decision-making authority. The committed amounts cannot be used for any other purpose unless the government removes or changes the specified use by taking the same type of action it employed to commit those amounts.
- The City's highest level of decision-making authority (City Council) will annually or as deemed necessary commit specific revenue sources for specified purposes by resolution. This formal action must occur prior to the end of the reporting period, however, the amount to be subject to the constraint, may be determined in the subsequent period.
- To remove the constraint on specified use of committed resources the City Council shall pass a resolution.

4.057 FUND-BALANCE-YEAR-END-CLASSIFICATION POLICY

FINANCIAL FINANCIAL CONTROL POLICY



4.057 FINANCIAL CONTROL POLICY
FINANCE
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4. ~~Assigned~~

- Amounts that are constrained by the government's intent to use for specified purposes, but are neither restricted nor committed. Assigned fund balance in the General fund includes amounts that are intended to be used for specific purposes.

5. ~~Unassigned~~

- Unassigned fund balance represents the residual classification for the General fund. Includes amounts that have not been assigned to other funds and that have not been restricted, committed, or assigned to specific purposes within the General Fund. The General Fund should be the only fund that reports a positive unassigned fund balance amount.



4.057 FINANCIAL CONTROL POLICY
FINANCE
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Date Adopted: 11/17/2015
Revised: N/A 04/16/24

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The City will maintain a minimum unassigned fund balance in the General Fund of an amount not less than 40% of the subsequent year's budgeted expenditures of the General Fund. This will assist in maintaining an adequate level of fund balance to provide for cash flow requirements because major revenues, including property taxes and other government aids are received in the second half of the City's fiscal year.

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i. Unrestricted fund balance in excess of the minimum of 40% specified above may be "spent down" if a budgetary shortfall occurs in the General Fund and is approved by a 2/3 majority vote of the Council.

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ii. Unrestricted fund balance in excess of 50% of the subsequent year's budgeted expenditures of the General Fund may be spent on projects or other non-General Fund related operations when deemed necessary and is approved through separate resolution by the Council.

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iii. If spending unrestricted fund balance in designated circumstances has reduced unrestricted fund the replenishment will be funded through future budget surpluses or other funding sources within a time period established by the City Council. The Council will consider the amount of the replenishment and its impact on future budgets and cash flow.

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The City Administrator and Finance Director shall annually prepare the status of fund balances in relating to this policy and present to the City Council for approval prior to the publishing of the annual financial statements and in conjunction with the development of the annual budget.

When both restricted and unrestricted resources are available for use, it is the City's policy to first use restricted resources, and then use unrestricted resources as they are needed.

When committed, assigned or unassigned resources are available for use, it is the City's policy to use resources in the following order: 1) committed 2) assigned and 3) unassigned.

A negative residual amount may not be reported for restricted, committed, or assigned fund balances in the General Fund.



4.057 FINANCIAL CONTROL POLICY

FINANCE

Enabling Legislation: M2015-020

Date Adopted: 11/17/2015

Revised: ~~N/A~~ 04/16/24

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COMMITMENT OF SPECIAL REVENUE FUNDS' FUND BALANCES

The specific revenue sources of each special revenue fund and the specific purpose for which they are restricted or committed are as follows:

Fund#	Fund Name	Two Major Revenue Source(s)	Restricted/ Committed/Assigned	Purpose
211	Community Resource Center Fund	Intergovernmental/Charges for Services	Restricted/Committed	Community Services
215	Motor Vehicle Fund	Charges for Services, interest	Committed/Assigned	Licensing
229	Communication Fund	Franchise fees, PEG fees	Restricted/Assigned	Communications
240	Library Gift Fund	Donations, interest	Restricted	Library
241	GW Bunday Gift Fund	Donations, interest	Restricted	Library
242	Scriver Memorial Fund	Donations, interest	Restricted	Library
243	LJ Gustafson Fund	Donations, interest	Restricted	Library
244	M. Houston Trust Fund	Donations, interest	Restricted	Library
245	CC Cloherty Endowed Fund	Donations, interest	Restricted	Library
250	CDBG Fund	Intergovernmental	Restricted	Housing/public services
250	Transit Grant/St. Maintenance Fund	Grants, bond proceeds	Restricted/Committed	Transit/Streets
270	Municipal District #4	Tax increment, interest	Restricted/Committed	Redevelopment
271	Jefferson Square Townhomes Fund	Tax increment, interest	Restricted/Committed	Housing

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Debt Service Funds

Debt service fund balances are considered restricted; they are resources that are being accumulated for payments of principal and interest maturing in current and future years. All of the City of Northfield debt service funds are considered restricted.

Capital Project Funds

Capital project fund balances are considered restricted or committed; they are resources that are being accumulated for current and future projects. Capital project funds are used to account for and report financial resources that are restricted, committed, or assigned to expenditure for capital outlays, including the acquisition or construction of capital facilities and other capital assets. In Northfield, capital project funds are split into three categories:

1. **Capital Projects**—this category has balances that are considered both restricted and committed.

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4.057 FUND BALANCE YEAR-END CLASSIFICATION POLICY

FINANCIAL FINANCIAL CONTROL POLICY



4.057 FINANCIAL CONTROL POLICY
FINANCE
Enabling Legislation: M2015-020
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Revised: N/A 04/16/24

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Improvement Construction —these funds are considered restricted either through bond covenants or enabling legislation.

3. **State Aid Construction** —these funds are considered restricted by Minnesota Department of Transportation agreements.

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Enterprise Funds

The Enterprise Funds shall maintain a minimum cash balance in an amount equal to at least 3 months of the anticipated operating expense, and next year's debt service at the end of the fiscal year.

Order of Fund Balance Spend-down

When both restricted and unrestricted resources are available for use, it is the City's policy to first use restricted resources, and then use unrestricted resources as they are needed. When unrestricted resources are available for use, it is the City's policy to use resources in the following order: (1) committed, (2) assigned, and (3) unassigned.

Carryovers and Encumbrances

For each year end, the City Council approves contracted encumbrances and budget carryovers. Both the encumbrances and the budget carryovers will be considered committed fund balances upon approval by the City Council.

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4.0610 CONDUIT DEBT POLICY
FINANCE
Enabling Legislation: M2016-155
Date Adopted: 12/06/2016
Revised: 04/16/24

POLICY

Under the Minnesota Municipal Industrial Development Act, Minnesota Statutes, Sections 469.152 to 496.165 (the "Industrial Development Act"), the City of Northfield ("City") has authority to issue industrial, commercial, health care and non-permanent housing (e.g., college dormitory) revenue bonds or notes to attract or promote economically sound industry and commerce to the City and the surrounding areas in the State of Minnesota.

Under Minnesota Statutes, Chapter 462C (the "-Housing Act"), the City is authorized to issue housing revenue bonds to finance multi-family residential housing projects for low- and moderate-income persons and elderly persons. Projects must be consistent with the City's Housing Plan and must be embodied in a Housing Program as these terms are defined in the Housing Act.

The Council is aware that such financing may be of benefit to the City and will consider requests for tax-exempt financing subject to the e followingese Guidelines. The Council considers tax-exempt financing to be a privilege, not a right.

It is the judgment of the Council that tax-exempt financing is to be used on a selective basis to encourage certain development and services that benefit the City and the surrounding areas in the State of Minnesota as a whole, including significant employment, economic, healthcare, educational and housing opportunities. It is the applicant's responsibility to demonstrate the benefit to the City, both in writing and at the required public hearing. The applicant should understand that although approval may have been granted by the City for the issuance of financing for a similar project or a similar debt structure, it is not a basis upon which approval would be granted. Each application will be judged on the merits of the project as it relates to the public purposes of the Housing Act and the Industrial Development Act and the benefit to the City and its residents at the time the request for financing is being considered.

Guidelines

1. The Council will consider tax-exempt financing for commercial, industrial, health care and non-permanent housing projects under the Industrial Development Act and housing projects under the Housing Act. An applicant for tax-exempt financing pursuant to the Industrial Development Act must submit to the City the application contained in Part IV of these Guidelines. An applicant for tax-exempt financing, pursuant to the Housing Act, must submit to the City the application contained in Part V of these Guidelines.

3-2 Projects must be compatible with the overall development plans and objectives of the City and comply with the zoning and land use regulations of the City.

5-3 An application will not be considered by the Council until tentative City Code findings and requirements have been made with respect to zoning, building plans, platting, streets, and

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4.0610 CONDUIT DEBT POLICY
FINANCE
Enabling Legislation: M2016-155
Date Adopted: 12/06/2016
Revised: 04/16/24

utility services. The application must be accompanied by the addendum contained in Part VI of these Guidelines and must provide information as to the project's need for municipal services including, but not limited to, street improvements, water and sewer services, and police and fire protection.

Commented [NM3]: There is no "addendum Part VI" in this document. Please advise.

7-4. The project must be a positive benefit to the City and its residents. The project must be of the type of business or services that the City wishes to attract or provide, or if an existing business, one which the City wishes to assist to expand within the City or the surrounding area, considering employment opportunities, incentive for further development, impact on City services, and support for the industrial, commercial or health care operations currently located in the City. A housing project must provide significant housing opportunities for low- and moderate-income persons or the elderly.

9-5. The Council will, if requested, grant an applicant a pre-application review. The purpose of the pre-application review is to inform applicants of the possibility of rejection or the possible bases for such rejection. The fact that the project is not rejected at the pre-application stage is not to be construed as approval of the project or as an indication that the project will be approved upon formal request to the Council. The City may reject requests for tax-exempt financing whether or not the project was submitted to a pre-application review and regardless of the outcome or recommendation of that pre-application review.

A request for pre-application review must be in writing, addressed to the City Finance Director, and set forth the name of the project, the type of project intended and the name, address and telephone number of the person who will be representing the applicant at the pre-application review, together with such additional information as the applicant desires to submit.

10-6. The applicant must select a qualified financial adviser or underwriter to assist the applicant in preparing all necessary application documents and materials. The financial adviser will submit a letter that establishes the financial feasibility of the project. Applications may, in the alternative, include a signed letter from a responsible financial institution indicating that the project is economically feasible and viable and stating that bonds can be successfully sold for the project or that an individual or institution intends to purchase all of the bonds.

The applicant must receive approval from the appropriate state agencies, secure financing and commence construction within one year of the date of the resolution giving preliminary approval to the project or the housing program. Upon application, the Council may approve an extension of the preliminary approval.

The City will appoint bond counsel for the bond issue, which will normally be the City's regularly retained bond counsel.



4.0610 CONDUIT DEBT POLICY
FINANCE
Enabling Legislation: M2016-155
Date Adopted: 12/06/2016
Revised: 04/16/24

11-7. Pursuant to the Industrial Development Act and the Housing Act, consideration of an application for tax-exempt financing must be done at a public hearing held by the Council. Modifications to the project after the public hearing and preliminary approval must be consistent with the scope of the project as proposed at the time of preliminary approval.

13-8. The City is to be reimbursed and held harmless for and from any out-of-pocket expenses related to the tax-exempt financing including, but not limited to, legal fees, financial analyst fees, bond counsel fees, the City staff's expenses in connection with the application, and any deposits or application fees required under state law in order to secure allocation of bonding authority. The applicant must execute a letter to the City undertaking to pay all such expenses. A form of the required letter is set forth as Part VII of these Guidelines. A non-refundable application fee in the amount of \$2,500 must be included with the submission of the application. The Application Fee will be used to offset the out-of-pocket expenses of the City.

Commented [NM4]: There is no Part VII of these guidelines. Please advise.

15-9. Prior to closing and delivery of the bonds for the project, the applicant must pay, or commit to pay, an annual administrative fee in the amount of 1/8th of 1% (..125%) of the outstanding principal balance of the bonds. The administrative fee will be paid in a lump sum (discounted by the bond yield) at closing on the bonds. The administrative fees required by this paragraph will be adjusted at or paid prior to delivery of the bonds if necessary to ensure compliance with the Internal Revenue Code and regulations.

17-10. Applications for financing must be made on the forms attached to these Guidelines. In addition, the applicant must furnish a description of the project, a plot plan, elevation of proposed buildings, landscape, lighting, and site preparation, together with a brief description of applicant and the proposed financing in such form as required at the time of application.

Commented [NM5]: There are no forms attached to these guidelines. Please advise.

19-11. The Council may, in its sole discretion, impose conditions exceeding those required under the City building code in respect to exterior building materials, landscaping, signage lighting, and such other aspects as the Council may consider appropriate on a case-by-case basis.

21-12. The Council may, in its sole discretion, withdraw its preliminary approval of a project at any time if in its judgment the purposes of the Acts will not be served by going forward with the project and its financing.

MISCELLANEOUS MATTERS

Ratings

The City will give its most favorable consideration to proposed tax-exempt bond issues that have the same rating as the City's obligations by Moody's Investment Service or Standard & Poor's Corporation. Issues carrying lower ratings or non-rated issues may be sold only to institutional or other investors on a private placement basis and must be in denominations of at least \$100,000. The Council may depart



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from this guideline when in its judgment the project is of a level of merit and public purpose to justify the departure; and in case of such a departure, the Council must state its reasons therefor in the resolution awarding the sale of the bonds.

Refundings

The Council will normally approve the refunding of a tax-exempt issue, but only upon a showing by the applicant of (i) substantial debt service savings, (ii) the removal of bond covenants significantly impairing the financial feasibility of the project, or (iii) both (i) and (ii). In the case of refunding of bonds for which the administrative fee listed in paragraph 9 of [Part II: the Guidelines above](#) have been paid in full, no new administrative fees are required, but the non-refundable application fee must be paid together with all City expenses in excess of that fee.

Subsequent Proceedings

Where changes to the underlying documents or credit facilities of outstanding bond issues are to be made and require Council action (including changes that are a "-deemed reissuance" under Internal Revenue Service regulations), no administrative fee is charged, but a non-refundable fee of \$2,500 must be deposited with the City to cover administrative costs. No formal application form is required.

Issues by or For Another Political Subdivision

The City will consider requests for tax-exempt financing of projects in the City by other political subdivisions or by the City for projects in other political subdivisions. In these cases, the non-refundable application fee must be paid and all procedures through the approval of the preliminary resolution followed. No administrative fee is charged unless the City, including the EDA and HRA, is the issuer.

City Contact

Initial contacts about tax-exempt financing are made by contacting:

Finance Director
City of Northfield
801 Washington Street
Northfield, MN 55007

Deadlines

The Council conducts all tax-exempt financing matters at regularly-scheduled Council meetings ~~held on the first and third Monday of each month~~. Documents for Council consideration must be at the City office on the Monday preceding the next regular Council meeting at which the matter is to be considered. In the case of a publicly offered bond, issue the documents, when submitted, may specify a maximum price and maximum effective interest rate if prices and rates have not yet been established.

Commented [NM6]: I think this is now Tuesday. May want to just delete reference to when the meetings are, and just say, "...at regularly-scheduled Council meetings."

Commented [NM7]: This does not make sense as written. Should it be without the comma after "bond"?



4.0741 FUND BALANCE POLICY (per GASB 54)
FINANCE
Enabling Legislation: M2016-155
Date Adopted: 12/06/2016
Revised: 04/16/24

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PURPOSE

The purpose of this policy is to establish specific guidelines the City of Northfield ("City") will use to maintain an adequate level of fund balance to provide for cash flow requirements and contingency needs because major revenues, including property taxes and other government aids, are received in the second half of the City's fiscal year.

The purpose of this policy is to also establish specific guidelines the City of Northfield will use to classify fund balances into categories based primarily on the extent to which the City is bound to honor constraints on the specific purposes for which amounts in these funds can be spent.

FUND CATEGORIES

Nonspendable

This category includes fund balance that cannot be spent because it is either (i) not in spendable form or (ii) is legally or contractually required to be maintained intact. Examples include inventories and prepaid amounts.

Restricted

Fund balance should be reported as restricted when constraints placed on those resources are either (i) externally imposed by creditors, grantors, contributors, or laws or regulations of other governments or (ii) imposed by law through constitutional provisions or enabling legislation.

Committed

Fund balance that can only be used for specific purposes pursuant to constraints imposed by formal action of the government's highest level of decision-making authority. The committed amounts cannot be used for any other purpose unless the government removes or changes the specified use by taking the same type of action it employed to commit those amounts.

The City's highest level of decision-making authority (City Council) will annually, or as deemed necessary, commit specific revenue sources for specified purposes by resolution. This formal action must occur prior to the end of the reporting period; however, the amount to be subject to the constraint, may be determined in the subsequent period.

To remove the constraint on specified use of committed resources, the City Council shall pass a resolution.

Assigned

Amounts that are constrained by the government's intent to use for specified purposes, but are neither restricted nor committed. Assigned fund balance in the General Fund includes amounts that are intended to be used for specific purposes.



4.0741 FUND BALANCE POLICY (per GASB 54)
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Unassigned

Unassigned fund balance represents the residual classification for the General Fund. Includes amounts that have not been assigned to other funds and that have not been restricted, committed, or assigned to specific purposes within the General Fund. The General Fund should be the only fund that reports a positive unassigned fund balance amount.

The City will maintain a minimum unassigned fund balance in the General Fund of an amount not less than 50% of the subsequent year's budgeted expenditures of the General Fund. This will assist in maintaining an adequate level of fund balance to provide for cash flow requirements because major revenues, including property taxes and other government aids are received in the second half of the City's fiscal year.

The City will maintain an unassigned fund balance for emergency or unanticipated expenditures in the General Fund of an amount not less than 1-month of the next year's budgeted expenditures of the General Fund.

1. Unrestricted fund balance in excess of the minimum of 50% specified above may be "spent down" if a budgetary shortfall occurs in the General Fund and is approved by a 2/3 majority vote of the Northfield City Council ("Council").
2. Unrestricted fund balance in excess of 50% of the subsequent year's budgeted expenditures of the General Fund may be spent on projects or other non-General Fund-related operations when deemed necessary and is approved through separate resolution by the Council.
3. If spending unrestricted fund balance in designated circumstances has reduced unrestricted fund balance to a point below the minimum targeted level, as noted above, the replenishment will be funded by revenue and/or expenditure adjustments within the next year's budgeting process. The Council will consider the amount of the replenishment and its impact on future budgets and cash flow.
4. Unrestricted fund balance in excess of the 50% plus one month of the next year's budgeted expense, ~~in excess of this dollar amount~~, will be reviewed after the audit has been presented. Council will direct the excess dollars into a capital project fund, or another fund of their choice.

The City Administrator and Finance Director shall annually prepare the status of fund balances ~~in relating per to~~ this policy and present to the ~~City~~ Council for approval prior to the publishing of the annual financial statements and in conjunction with the development of the annual budget.

When both restricted and unrestricted resources are available for use, it is the City's policy to first use restricted resources, and then use unrestricted resources as they are needed.

When committed, assigned or unassigned resources are available for use, it is the City's policy to use resources in the following order: 1) committed 2) assigned) and 3) unassigned.

A negative residual amount may not be reported for restricted, committed, or assigned fund balances in the General Fund.



4.0711 FUND BALANCE POLICY (per GASB 54)
FINANCE
Enabling Legislation: M2016-155
Date Adopted: 12/06/2016
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COMMITMENT OF SPECIAL REVENUE FUNDS' FUND BALANCES

The specific revenue sources of each special revenue fund and the specific purpose for which they are restricted or committed are as follows:

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FUND #	FUND NAME	TWO MAJOR REVENUE SOURCE(S)	RESTRICTED / COMMITTED / ASSIGNED	PURPOSE
211	Community Resource Center Fund	Intergovernmental / Charges for Services	Restricted / Committed in 2012	Community Services
215	Motor Vehicle Fund	Charges for Services / interest	Committed / Assigned	Licensing
229	Communication Fund	Franchise fees / PEG fees	Restricted / Assigned	Communication
240	Library Gift Fund	Donation	Restricted	Library
241	GW Bunday Gift Fund	Donation	Restricted	Library
242	Scriver Memorial Fund	Donation	Restricted	Library
243	LJ Gustafson Fund	Donation	Restricted	Library
244	M Houston Trust Fund	Donation	Restricted	Library
245	CC Cloherty Endowed Fund	Donation	Restricted	Library
250	CDBG Fund	Intergovernmental	Restricted	Housing / Public Services
250	Transit Grant / Street Maintenance Fund	Grants, bond proceeds	Restricted / Committed	Transit / Streets
270	Municipal District #4	Tax increment, interest	Restricted / Committed	Redevelopment
271	Jefferson Square Townhomes Fund	Tax increment, interest	Restricted / Committed	Housing

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Debt Service Funds

Debt service fund balances are considered restricted; they are resources that are being accumulated for payments of principal and interest maturing in current and future years. All of the City's of Northfield debt service funds are considered restricted.

Capital Project Funds

Capital project fund balances are considered restricted or committed; they are resources that are being accumulated for current and future projects. Capital project funds are used to account for and report financial resources that are restricted, committed, or assigned to expenditure for capital outlays, including the acquisition or construction of capital facilities and other capital assets. In Northfield, capital project funds are split into three categories:



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1. Capital Projects— this category has balances that are considered both restricted and committed.
2. Improvement Construction - these funds are considered restricted either through bond covenants or enabling legislation.
3. State Aid Construction - these funds are considered restricted by Minnesota Department of Transportation agreements.

Enterprise Fund

The City will maintain an unrestricted net asset balance in ~~the~~ Enterprise funds of an amount not less than 40% of the next year's budgeted expenditures, and the amount of the debt payment the next year, for each individual Enterprise fund. For the Liquor fund, this does not include the cost of goods sold, or inventory figures.

Order of Fund Balance Spend-down

When both restricted and unrestricted resources are available for use, it is the City's policy to first use restricted resources, and then use unrestricted resources as they are needed. When unrestricted resources are available for use, it is the City's policy to use resources in the following order: (1) committed, (2) assigned, and (3) unassigned.

Carryovers and Encumbrances

For each year end, the ~~City~~ Council approves contracted encumbrances and budget carryovers. Both the encumbrances and the budget carryovers will be considered committed fund balances upon approval by the ~~City~~ Council.



4.0812 UTILITY COLLECTION POLICY

FINANCE

Enabling Legislation: M2016-155

Date Adopted: 12/06/2016

Revised: 04/16/24

POLICY

The City of Northfield uses special assessments as the primary form of delinquent utility bill collection. The collection action will be accomplished by certification to Rice and Dakota Counties of the charges against the property for collection in the manner of a tax or assessment. Nonetheless, the City reserves the right to discontinue or disconnect water service to properties for non-payment of the utility bill under this policy and the Northfield Minnesota City Code, Part II - Northfield Code, Chapter 82, Article III, Sec. 82- 109. - Accounting, billing and collecting of rates, Sub- Section(c) Delinquent accounts.

Instances where water discontinuance or disconnection may be utilized:

- Vacant properties, properties that have been discontinued or disconnected from gas or electric during the cold weather rule months, properties where the owners have failed to respond to maintenance requests, and properties presenting the potential of a backflow condition that will introduce contaminants into the public water system, thus jeopardizing the health of the Public.
- Properties presenting an emergency, (for example, where a broken pipe is causing significant damage to property), water will be immediately discontinued or disconnected to preserve the property until the owners are contacted and the problem is resolved.

If a property is deemed "uninhabitable" by City staff, and the meter is removed by the City Water Department, the property will no longer incur water, sewer, or garbage charges. Storm water drainage charges will still be billed.

If a property is deemed "uninhabitable" by City staff, but the meter remains intact, the utility charges will be decided on a case-by-case basis. Example: house fire, meter removal by a third party.

Any company licensed to do business in the City of Northfield that also has a delinquent utility bill, may be subject to water shut off. In addition, the above-mentioned company may become ineligible for renewal of their City license under Northfield City Code Article II, Licenses and Permits, and may be subject to license revocation.

The City of Northfield does not "reconnect" utility services. In the event utility services have been disconnected by the City, or a private individual, it is the responsibility of the property owner to reconnect service. Upon reconnection, the Water Division must inspect the service and meters.



4.0913 ROLES AND RESPONSIBILITIES OF COUNCIL FINANCE POLICY SUBCOMMITTEE
FINANCE
Enabling Legislation: Resolution 2016-102
Date Adopted: 10/04/2016
Revised: 04/16/24

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POLICY

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The Council Finance Policy Subcommittee shall consider matters relating to the finances of the City of Northfield and such other related financial matters as they may be referred by the City Council. The Council Finance Policy Subcommittee shall only be advisory to the City Council. The matters shall include, but are not limited to, the following:

1. Review of new or amended financial management policies; and
2. Review of budget performance monitoring and forecasting, including any related potential recommendations on budget amendments to Council; and
3. Review debt issuance recommendations and reports prior to City Council action; and
4. Review utility rate studies in advance of City Council review; and
5. Provide recommendations to the City Council related to review processes for establishing long-term capital and long-term financial plan goals and objectives.

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4.1014 DEBT POLICY
FINANCE
Enabling Legislation: Resolution 2017-104
Date Adopted: 11/14/2017
Revised: 04/16/24

PURPOSE

The purpose of this policy is to establish parameters that guide the issuance and management of direct long-term debt to ensure the ongoing financial health and stability of the City.

Debt is a mechanism that allows capital improvements to proceed when needed, in advance of when it would otherwise be possible. Debt can reduce long-term costs due to inflation and stabilize fluctuations in levy and reserve levels. Debt also equalizes the costs of improvements to present and future constituencies in that the beneficiaries of a project are the same generation that carries its cost.

This policy is intended to be a guideline for City staff and the City Council when considering debt but it does not limit the Council's ability to approve debt outside the parameters of this policy by vote of the Council in accordance with applicable law.

This policy does not apply to conduit revenue bonds of the City or its related entities or tax increment revenue pay-as-you-go or interfund loan financing.

DEBT LIMITS

- A. The City will comply with all applicable federal, state, and local legal requirements for issuing debt.
- B. Before issuing debt, the City will consider the life of the bond-financed property and available cash resources.
- C. The City will not use long-term debt for current operations.
- D. The City will maintain appropriate communications with bond rating agencies about its financial condition and will comply with its continuing undertaking disclosure. The City will comply with Securities Exchange Commission (SEC) reporting requirements.
- E. If the repayment period of an Interfund loan is expected to be greater than one year, the City Council will determine a reasonable payment schedule and legal and appropriate interest charges to compensate the applicable fund for the use of its financial resources.

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DEBT STRUCTURING PRACTICES

- A. Redemption features (calls) are to be included when reasonable and prudent to afford the City the option of early retirement or to refinance in favorable market conditions.
- B. Whenever reasonable, prudent and authorized by law, bonds issued by the City will be designated as general obligation bonds (i.e., backed by the full faith and credit of the City). In addition, when possible and as appropriate for the specific bond issue, special assessments or other revenue streams may be pledged in support of the bonds.

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4.1014 DEBT POLICY
FINANCE
Enabling Legislation: Resolution 2017-104
Date Adopted: 11/14/2017
Revised: 04/16/24

DEBT ISSUANCE PRACTICES

- A. The City will engage a municipal advisor to assist with determining the appropriate method of sale for each bond issue. Unless special circumstances or market conditions warrant otherwise, bonds will be marketed on a competitive bid basis.
- B. Whenever reasonable and prudent, the City will engage a major credit rating agency to provide rating services in advance of the sale of bonds.
- C. The City will engage bond counsel to advise on the legal issues related to the issue and sale of bonds.
- D. The City will engage a municipal advisor to review from time to time opportunities for the City to refund (refinance) existing debt by way of current or advance refunding.
- E. Under Federal law, cities who issue less than \$10 million of tax-exempt debt annually may designate tax-exempt debt that qualifies for specific bank tax deductions. The effect of issuing "bank qualified" debt is generally lower rates and better marketability of the bonds. The City will strive to use bank qualified debt for each financing and will prioritize use of its annual limit of bank-qualified debt for its own primary purposes; tax-exempt financing for other eligible organizations will be of lower priority.

DEBT LEVEL MANAGEMENT BEST PRACTICE

When making decisions regarding debt, including without limitation considering whether or not to utilize debt to finance an expenditure, whether or not to refinance or restructure existing debt, how to structure new debt, timing of incurring new debt and other similar matters, the City will endeavor to manage its portfolio of general obligations bonds so that approximately 65% of the outstanding principal of such bonds is scheduled to mature within a 10-year period following each such decision.



4.1145 GRANT MANAGEMENT POLICY
FINANCE
Enabling Legislation: M2019-121
Date Adopted: 09/03/2019
Revised: 04/16/24

PURPOSE

Grant funds from state, federal, or other agencies and organizations are an important revenue source that can aid the City of Northfield ("City") in providing quality services to citizens and customers. The City Council ("Council"), Advisory Boards and Commissions, general public and staff are encouraged to identify opportunities for grants that will help the City achieve its goals that are consistent with adopted plans and policies of the City.

Staff are encouraged to solicit grants - especially where a grant will help achieve the City's Strategic Plan, City adopted plans, enhance or support the City's services, or address any other City priority - while trying not to incur a high level of overhead on small grants that do not greatly influence the City's strategy.

Prior to seeking grant funding, staff should consider the following in determining to pursue solicitation of a grant:

- Will the grant be used to address a City strategy or other priority?
- Would the grant funding be used for a previously-identified need of the City for which no other source of funding is available?
- If the program being funded by the grant is needed to accomplish a City priority or achieve the City mission, should it be supported instead by City funds to ensure that adequate resources are made available?
- Will the grant provide only short-term financing for a long-term commitment on the part of the City?
- Would the grant compete with other non-profits or governmental entities, and how is that considered in pursuing the grant?

This policy provides guidance on the process to be used by the City Administrator and staff in pursuing grants, and establishes a centralized means of identifying which grants are being sought, thereby promoting a systems approach to the use of grant funds.

DEFINITIONS

Grant

Funding awarded to the City by another level of government or by an outside agency or organization, and which generally meets the following requirements:

- The funding supports a public purpose.
- The funding is for a specified period of time.
- An application process is required to obtain the funds.
- Acquiring the funds is generally the result of a competitive process or funds are distributed on a formula basis.
- Periodic reports are required to be submitted to the granting agency.
- The grant is subject to audit by the granting agency.

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Annual Grant

A grant that is awarded annually, regardless of the specific grant period (e.g., City fiscal year, federal fiscal year, or calendar year).

Multi-Year Grant

A grant that affects the appropriation of funding beyond one (1) fiscal year.

Appropriation

Legal authorization from Council to make expenditures and incur financial obligations on behalf of the City. Appropriations for grant programs can be included in and approved by Council in the City budget or adopted Capital Improvement Program or may require subsequent action by Council outside of the budgetary process.

Council

Refers to the Mayor and City Councilors.

Council Approval

Refers to

1. the need for City Council to accept and appropriate a grant to provide departments the authority to spend grant funding; or
2. the requirement by the grantor that Council formally endorse or accept a grant, whether before the application is submitted or after the grant is awarded. Guidance for when legislative approval is not required to provide spending authority is provided below in **Requirements for City Council Approval, section 2** of this policy.

Agenda Request

A formal request to be placed on the Council agenda. The agenda request is required to allow the Council to vote to appropriate the grant funding. Grant funding that has not been appropriated may not be spent.

Ordinance

An ordinance, or an amendment to an ordinance, is a formal and binding type of Council legislation. A roll call of the Council records the Council's action on all ordinances.

Resolution

A resolution is a formal type of Council legislation. Passage of a resolution indicates the Council's policy on a certain matter, or it may direct a certain type of action to occur. It requires only one reading. This is a statement of intent by the Council to participate in the grant program. Resolutions may be required for grants prior to award or after the grant has been awarded. This does not constitute an appropriation or a formal acceptance of grant funding, but only an agreement in principle. Before grant funding can be spent, it must be appropriated. Because the budget is a legal document, any expenditures that are not included in the budget document must be ratified by Council as a separate resolution. The resolution appropriates grant funds for the department to spend.



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Supplanting

Substituting one source of funding to augment reductions in funding by another agency. The City's policy of not supplanting federal, state or private funding reductions with local funding applies to grants. Match requirements for grants are not considered supplanting. Grants are increasingly requiring that the City certify that federal, state or private funding are not supplanting local funds intended for the same purpose as well.

PROCESS

All grants must comply with all City policies and procedures, including ~~the purchasing policy~~ 4.01 Purchasing Policy. All grant applications requiring City Council approval must be signed by the Mayor and City Clerk, unless otherwise designated by City Council action. All other grant applications must be signed by the City Administrator or their designee prior to submission to the granting agency. All grant expenditures must be appropriated through the budgetary process, or if funding is not available through combination of grant and budgeted funds, a pre-approved Council authorization.

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Commented [NM1]: Which policy specifically? We don't have a Purchasing Policy listed as part of the group, except the Purchasing Card Administrative Policy and the Purchasing Policy Amendments (which I have not yet gone through). Now 4.01



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Revised: 04/16/24

Any grant that includes personnel costs must comply with all City personnel policies. The request shall include language indicating that the position is authorized only for the duration of the grant period, unless continued employment is required by the grantor and approved by the City Council prior to accepting the grant funding. The employee will be notified in writing upon hire that the position is subject to the continuation of grant funding and expiration of the grant will result in elimination of the position.

2- Annual Council Budget Preparation Review

Each year, as part of the budget development process, City staff and the City Council will proactively identify grant resources that will be sought according to the City Council "Grant Management Policy" purpose statement above. This review does not prohibit separate exploration of grants in accordance with this policy, but rather is an intentional step to be proactive in planning in coordination with budgeting.

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Grant Application Phase

The procedure for completing and submitting grant applications as follows:

- ~~A-1.~~ Department identifies a need for services, equipment or programs.
- ~~B-2.~~ Department seeks grant programs that support services related to the identified need.
- ~~C-3.~~ Department Director requests Finance Director and City Administrator approval of intent to apply for grant funding.
- ~~D-4.~~ City Administrator authorizes department to proceed with application development; if there is a concern regarding the request, the City Administrator may inquire for request additional information of the Department Director.
- ~~E-5.~~ Department prepares grant application and, routes it to other affected departments for review. The Department may have City Advisory Board or Commission members or community volunteers assist in applying for grants, either by soliciting them directly or responding to offers. The Department shall clearly identify roles and expectations of this assistance while maintaining adherence to all provisions of this policy.
- ~~F-6.~~ Department Director submits final grant application to the City Administrator, or their designee, for final authorizations and signatures.
- ~~G-7.~~ Once application is approved and signed, Department submits grant to grantor agency.

Grant Management Phase

The procedure for appropriating and managing grants is as follows:

- ~~A-1.~~ Department notifies Finance Director that grant was approved and drafts an agenda request to accept the grant and appropriate funding. If additional paperwork, such as a formal acceptance is required, the Department will forward this to City Clerk's office to obtain signature from the responsible party. City Clerk will work with the City Administrator to determine if City Council authority is needed to be included on a future Council agenda.
- ~~B-2.~~ The City Attorney should be included in the material review for the Council agenda.



4.1145 GRANT MANAGEMENT POLICY
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- ~~C-3.~~ Department representative may be requested by the City Administrator to present the agenda item.
- ~~D-4.~~ Once Council appropriates the grant, the City Clerk will direct Department representative to place in appropriate files. In the event that ~~City~~ Council declines the grant, the submitting department is responsible for notifying the grantor in writing that the City will not be accepting the grant.
- ~~E-5.~~ Department begins managing the grant in accordance with the grant application and guidelines. Department must coordinate with Finance to determine responsibility for financial reporting. If the ~~d~~Department submits financial reports, copies of each ~~report~~ must be forwarded to the Finance Director. The ~~D~~epartment managing the grant is responsible for maintaining all grant-related records and ensuring reporting requirements are met.
- ~~F-6.~~ When the grant period is completed, the ~~d~~Department shall contact Finance to coordinate closing the grant.

Grant Review and Authorization

- ~~A-1.~~ Any City department or agency that intends to apply for a grant shall provide a copy of the full grant application and all required forms to the City Administrator at least ten (10) business days prior to the date the grant application is due to the granting agency.
- ~~B-2.~~ It is necessary to allow the City Administrator at least ten (10) business days ~~for review~~ to ensure that it is adequately reviewed.
- ~~C-3.~~ The City Administrator or designee will work with departments on a case-by-case basis for exceptions to the ten (10) day notice due to exceptional circumstances that do not allow for the time period. However, this does not exempt any grant from review by the City Administrator.

Requirements for Completing and Submitting Online Grants:

If a grant is completed in an online database, a hard copy should be provided to the City Administrator to complete the required review and to maintain for central filing.

~~7-~~ Requirements for City Council Approval

- ~~A-1.~~ While all grants are subject to review by Finance Director and require authorization by the City Administrator, some grants may require independent Council action. Certain grants can be appropriated through the use of operating budgets.
- ~~B-2.~~ Grants meeting the following criteria do not require ~~City~~ Council action, provided there is ample funding in the operating budgets or revenue offsets with the grant to accommodate the appropriation.
 - ~~1)A.~~ The grant does not establish ~~new costs and/or services~~ beyond the grant years to the community.
 - ~~2)B.~~ The grant in total is \$25,000 or less (amount from grantor, including any associated match) and not included in the City budget. For items included in the budget, the ~~City~~ Purchasing Policy ~~(4.01)~~ shall apply related to ~~City~~ Council approvals.

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Commented [NM2]: Missing a word here. "...new products and/or..." or "...new expenses and/or...". Not sure what word is needed.

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4.1145 GRANT MANAGEMENT POLICY
FINANCE
Enabling Legislation: M2019-121
Date Adopted: 09/03/2019
Revised: 04/16/24

- 3)C. The grant does not authorize additional full-time, permanent part-time FTEs, or temporary employees that exceed six months of employment.
- 4)D. Grantor requirements do not mandate acceptance by legislative body (e.g., City Council).
- 5)E. For any other reason as deemed appropriate by the City Administrator.

B-a. The City Administrator may authorize a grant in advance of City Council authorization due to exceptional circumstances that do not allow for scheduling City Council approval in advance of submitting the grant. In these cases, the City Administrator shall notify the City Council prior to submission and shall bring it to the City Council for subsequent approval at the next regularly-scheduled City Council meeting.

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Requirements for Grants with Technology Components

The submitting department is responsible for routing grants that have technology components associated with them to the Information Technology (IT) Manager during the application phase. The department is responsible for coordinating all technology equipment and infrastructure needs with IT staff after submission of the grant.

City Council Reporting Requirements

The City Council shall receive an update summary of all grants applied for at least twice a year as provided by the City Administrator. The summary shall include at least a short description, summary of proposed sources and uses of funds, and status of the grant (i.e. funded, unfunded, pending).

RESPONSIBILITY & AUTHORITY

- Before a grant can be submitted, the individual that is preparing the application must be authorized by the City Administrator to submit the grant.

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City departments are responsible for the following:

- 1. Seeking grant funding for identified needs that are not otherwise funded.
- 2. Obtaining all required signatures pertaining to the grant application and grant acceptance.
- 3. Completing applications for identified grants in accordance with guidelines prescribed by the granting agency.
- 4. Collaborating with other departments as needed to ensure that grant funding provides the greatest possible benefit.
- 5. Submitting the full grant application package and completed grant forms to the City Administrator; ten (10) business days prior to the grantor's due date.
- Initiating the agenda request process to acquire City Council acceptance of the grant and appropriation of grant funds once written approval notice is received from the grantor agency, if applicable.

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Developing agenda requests for resolutions as required by granting agencies.
Administering the grant-funded program and ensuring that all City policies are followed and all grant requirements are met.
Ensuring that grant expenditures are within the awarded grant funding.



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GRANT REQUESTS BY BOARDS AND COMMISSIONS

A. Individual members of advisory boards and commissions may refer opportunities to their respective assigned staff for awareness to consider grants.

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If individual members of advisory boards and commissions are advocating for a particular grant to be pursued they shall bring it to the attention of the staff person to review and advise on adding to an upcoming agenda of the respective advisory board. Any grant recommended by an advisory board or commission shall require City Council consideration of approval in advance of the application submission. City staff shall request the agenda item and prepare the information in consultation with the City Administrator.

GRANT REQUESTS BY INDIVIDUAL CITY COUNCIL MEMBERS

Individual members of the City Council may refer grant opportunities to the City Administrator for consideration of exploration.

If individual members of the City Council are advocating for a particular grant to be pursued they shall bring to the attention of the City Administrator and Mayor with a request to be added to an upcoming agenda as established by the Northfield City Council Rules of Business & Meeting Rules. The City Administrator will work with the member of the City Council who is making the request to prepare information for consideration before the full City Council who shall determine whether to pursue or not.

Grant requests that align with advisory board and commission work areas shall be reviewed by the appropriate board or commission prior to being placed on the City Council agenda. Any exceptions to this process shall be considered by the City Administrator and Mayor when determining the agenda and as otherwise established by the Northfield City Council Rules of Business & Meeting Rules.

DEFINITIONS

Grant

~~Funding awarded to the City by another level of government or by an outside agency or organization, and which generally meets the following requirements:~~

- ~~1. The funding supports a public purpose.~~
- ~~2. The funding is for a specified period of time.~~
- ~~3. An application process is required to obtain the funds.~~
- ~~4. Acquiring the funds is generally the result of a competitive process or funds are distributed on a formulary basis.~~
- ~~5. Periodic reports are required to be submitted to the granting agency.~~
- ~~6. The grant is subject to audit by the granting agency.~~



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Annual Grant

A grant that is awarded annually, regardless of the specific grant period (e.g., City fiscal year, federal fiscal year, or calendar year).

Multi-Year Grant

A grant that affects the appropriation of funding beyond one (1) fiscal year.

Appropriation

Legal authorization from City Council to make expenditures and incur financial obligations on behalf of the City. Appropriations for grant programs can be included in and approved by City Council in the City budget or adopted Capital Improvement Program or may require subsequent action by City Council outside of the budgetary process.

City Council

Refers to the Mayor and City Councilors.

City Council Approval

Refers to

1. the need for City Council to accept and appropriate a grant to provide departments the authority to spend grant funding; or
2. the requirement by the grantor that City Council formally endorse or accept a grant, whether before the application is submitted or after the grant is awarded. Guidance for when legislative approval is not required to provide spending authority is provided in Section II.6 of this policy.

Agenda Request

A formal request to be placed on the City Council agenda. The agenda request is required to allow the Council to vote to appropriate the grant funding. Grant funding that has not been appropriated may not be spent.

Ordinance

An ordinance, or an amendment to an ordinance, is a formal and binding type of Council legislation. A roll call of the Council records the Council's action on all ordinances.

Resolution

A resolution is a formal type of Council legislation. Passage of a resolution indicates the Council's policy on a certain matter, or it may direct a certain type of action to occur. It requires only one reading. This is a statement of intent by the City Council to participate in the grant program. Resolutions may be required for grants prior to award or after the grant has been awarded. This does not constitute an appropriation or a formal acceptance of grant funding, but only an agreement in principle. Before grant funding can be spent it must be appropriated. Because the budget is a legal document, any expenditures



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that are not included in the budget document must be ratified by Council as a separate resolution. The resolution appropriates grant funds for the department to spend.

Supplanting

Substituting one source of funding to augment reductions in funding by another agency. The City's policy of not supplanting federal, state or private funding reductions with local funding applies to grants. Match requirements for grants are not considered supplanting. Grants are increasingly requiring that the City certify that federal, state or private funding are not supplanting local funds intended for the same purpose as well.



4.127 CARBON REDUCTION FUND POLICY
FINANCE
Enabling Legislation: NEED-ENABLING-LEGISLATION M2021-118
Date Adopted: 09/07/2021
Revised: 04/16/24

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PURPOSE

The purpose of this policy is to define parameters for the collection of revenue for the Carbon Reduction Fund and the allowable expenditures from the Fund. Expenditures must support the actions and goals of the City of Northfield ("City") Climate Action Plan.

ADMINISTRATION OF FUNDS

The City of Northfield's Purchasing Policy will guide use of funds spent on programs, projects, or activities that relate to City property. Recommended usage of the funds will be included in the annual budget request. The Environmental Quality Commission will give input on the annual budget recommendations. All fund expenditures will comply with the public purpose requirement.

An annual report will be provided to City Council describing the actual income and expenditures no later than March of the year following the report.

DEPOSITS TO ACCOUNTS

The City's Finance Director has established a special fund, known as the Carbon Reduction Fund, designated for projects to help the City meet the goals of the Climate Action Plan (adopted November 5, 2019). Revenue may be deposited to the Carbon Reduction Fund: (1) by direct budget appropriations in the City annual budget, (2) from the Franchise Fee collected from Xcel Energy (nNo more than 8% of the annual revenues collected, up to a cumulative annual \$100,000 collected) (per Ordinances 1017 and 1018 passed December 2, 2020), or (3) through contributions from individuals, businesses, institutions, or foundations.

EXPENDITURES

Expenditure amounts may vary annually based on program priorities and funding availability. Funds not expended in a calendar year will remain in the fund for use in future years. Funds will be primarily directed to use in the community to assist with reduction of greenhouse gas emissions and building climate resilience. The City reserves the right and authority to direct funds for expenditures needed for City expenses related to implementation of the Climate Action Plan for which other budget allocations are not available. Equity in the expenditure of funds must be considered in developing programs under this policy so that funds will be directed to a broad a range of community needs, including, those of under-resourced sectors.

The programs, projects, and activities must relate to the City's Climate Action Plan. All expenditures must meet statutory requirements for use of public funds.



4.1327 CARBON REDUCTION FUND COLLEGE VOLUNTARY DONATION POLICY
FINANCE
Enabling Legislation: NEED ENABLING LEGISLATION M2022-1211-118
Date Adopted: 12/06/2022 09/07/21
Revised: 04/16/24

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PURPOSE

The purpose of this

The purpose of this policy is to define parameters for the collection of revenue for the Carbon Reduction Fund and the allowable expenditures from the Fund. Expenditures must support the actions and goals of the City of Northfield (~~"City"~~) Climate Action Plan.

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Policy is to define parameters for the collection of voluntary annual donations, otherwise commonly referred to as a voluntary Payment in Lieu of Taxes (PILOT), from Carleton College and St. Olaf College.

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GENERAL OBJECTIVES

The Northfield City Council has identified an interest to designate these PILOT funds to assist in the capital maintenance and improvements of the City park system.

DEPOSIT TO ACCOUNTS

The Finance Director shall deposit the annual PILOT directly to the Parks Capital Fund.

BUDGETED EXPENDITURES

The annual contribution is determined and made annually in the same operating budget year. Therefore, the City Council shall not include any revenue receivable for the PILOT in the annually adopted City Budget.

ADMINISTRATION OF FUNDS
The City of Northfield's Purchasing Policy will guide use of funds spent on programs, projects, or activities that relate to City property. Recommended usage of the funds will be included in the annual budget request. The Environmental Quality Commission will give input on the annual budget recommendations. All fund expenditures will comply with the public purpose requirement.

An annual report will be provided to City Council describing the actual income and expenditures no later than March of the year following the report.

DEPOSITS TO ACCOUNTS

The City's Finance Director has established a special fund, known as the Carbon Reduction Fund, designated for projects to help the City meet the goals of the Climate Action Plan (adopted November 5, 2019). Revenue may be deposited to the Carbon Reduction Fund: (1) by direct budget appropriations in the City annual budget, (2) from the Franchise Fee collected from Xcel Energy (nNo more than 8% of the annual revenues collected, up to a cumulative annual \$100,000 collected) (per Ordinances 1017 and 1018 passed December 2, 2020), or (3) through contributions from individuals, businesses, institutions, or foundations.



4.1327 CARBON REDUCTION FUNDCOLLEGE VOLUNTARY DONATION POLICY
FINANCE
Enabling Legislation: NEED ENABLING LEGISLATION <u>M2022-1211-118</u>
Date Adopted: 12/06/2022 <u>09/07/21</u>
Revised: <u>04/16/24</u>

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EXPENDITURES

Expenditure amounts may vary annually based on program priorities and funding availability. Funds not expended in a calendar year will remain in the fund for use in future years. Funds will be primarily directed to use in the community to assist with reduction of greenhouse gas emissions and building climate resilience. The City reserves the right and authority to direct funds for expenditures needed for City expenses related to implementation of the Climate Action Plan for which other budget allocations are not available. Equity in the expenditure of funds must be considered in developing programs under this policy so that funds will be directed to a broad a range of community needs, including, those of under-resourced sectors.

The programs, projects, and activities must relate to the City’s Climate Action Plan. All expenditures must meet statutory requirements for use of public funds.——



5.01 CHANGE ORDER POLICY
PUBLIC WORKS – ENGINEERING
Enabling Legislation: R1994-110
Date Adopted: 004/18/1994
Revised: N/A04/16/24

PURPOSE

To establish a working policy on change orders.

A change order is an order given to a contractor to expand on work set forth in the original contract. In a majority of the contracts issued by the City, there will be change orders. There will be contracts with a high degree of planning that will not cover unanticipated aspects of the project.

PROCESS

A change order cannot be approved which amounts to more than 25% of the total cost of a Minnesota Statutes Chapter 429 (MS 429) ordered project. The City Improvement Policy for 429 projects states the “financial information shall be submitted to the City Council when partial payments are made and when change orders are requested exceeding the contract amount by at least 10%”.

Staff shall not approve a change order over \$25,000 on any project without Council approval on MS 429 contracts.

On Non MS 429 contracts, staff may approve change orders up to 10% of the total cost; however staff shall not approve a change order over \$25,000 without Council approval.~~on non MS 429 contracts under \$100,000.~~

The City staff who is responsible for the administration of the project shall determine if the work is needed. After making the determination of need, staff shall determine the cost of the change order, the percent of the change order on the total cost of the project and follow through with the administration of the work as per this policy.

Change orders shall be submitted to the City Council as soon as practical. Change orders, if possible, shall be approved prior to authorization of the work. In almost all cases, the contractor is in the middle of construction when the need for a change in the project occurs. If the contractor stops or needs to come back to do the work, the City will generally have to pay more for the work that needs to be done. In cases when it is not feasible to stop the work of the contractor, the work shall be ordered by the appropriate staff person if the amount does not exceed as identified above. The contractor shall not be held up unduly while waiting for an approval of a change order by the City Council.

Staff shall inform the Council of pending change orders. In many cases, cost estimates rather than final costs will be the only available data at the time the Council is informed. Staff shall identify a revenue source for all change orders. Staff shall order work on a contract when it is imperative to get the work done ~~is an orderly~~ in a timely manner.



5.023 ORGANIC PEST MANAGEMENT POLICY
PUBLIC WORKS
Enabling Legislation: M2007-042
Date Adopted: 03/19/2007
Revised: 11/7/202304/16/24N/A

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STATEMENT OF INTENT

The City of Northfield recognizes that a balanced and healthy ecosystem is vital to the health, safety, security and environment of the City and its citizens. The City of Northfield further acknowledges the potential health risks associated with exposure to pesticides and is committed to phasing out the use of pesticides on City-owned land through the implementation of an Organic Pest Management Policy for Turf & Non-Aquatic Landscape.

Organic Pest Management (OPM) is a problem-solving strategy that prioritizes a natural, organic approach to turf grass and landscape management without the use of toxic pesticides. It mandates the use of natural, organic cultural practices that promote healthy soil and plant life as a preventative measure against the onset of turf and landscape pest problems. OPM responds to site-specific conditions by integrating cultural, biological and mechanical practices that foster cycling of resources and promote ecological balance and conserve biodiversity.

Implementation of the OPM Policy is intended to augment and guide the existing turf and landscape management practices on property under the City's control and to set an example for residents of environmentally sustainable turf and landscape practices.

STATEMENT OF ACTION

The City of Northfield hereby adopts an Organic Pest Management Policy, which mandates the following:

- The ~~Public Services~~ **Works** Department shall incorporate the following components into a formal Turf and Landscape Management Plan as appropriate for each of the four landscape maintenance levels of City-owned property.¹
- ~~The use and application of synthetic toxic chemical pesticides either by City of Northfield employees or by private contractors is to be phased out over a 6-year period and eventually eliminated on all City-owned lands.~~
- Natural, organic turf and landscape cultural practices and maintenance shall be the method of choice to understand, prevent, and control potential pest problems. The Management Plan shall contain measurable goals and action steps to move toward OPM practices.
- The Public ~~Services~~ **Works** Department shall present annual information regarding the Department's Turf Management plan to a joint committee comprised of Environmental Quality Commission and Park and Recreation Advisory Board members, including an account of chemical and non-chemical control methods, the specific substances applied and their amount and dates of application;

Commented [NM1]: On the City website, the department is called "Public Works". The department is named Public Services in five different places. Should it be changed?

Commented [DB2R1]: Yes change to public works

Commented [NM3]: Has the 6-year term expired? Should this be past tense? (e.g. "The use and application of synthetic toxic chemical pesticides on all City-owned lands was phased out as of 20xx.")

Commented [DB4R3]: Yes lets delete this

¹ The four turf maintenance categories currently identified by the Northfield Department of Public ~~Works~~ **Service** are: 1. "special" (athletic and high traffic/visibility); 2. "community" (play areas and parks); 3. "neighborhood" (play areas and parks); and 4. "nature areas/open space."



5.023 ORGANIC PEST MANAGEMENT POLICY
PUBLIC WORKS
Enabling Legislation: M2007-042
Date Adopted: 03/19/2007
Revised: 11/7/202304/16/24N/A

observed results; and extraneous variables such as climate conditions that significantly impacted turf management.

The Environmental Quality Commission will develop an action plan to foster public awareness of this OPM Policy, including public education regarding the use of herbicides/pesticides, issues of public health, environmental quality and safety, and state-of-the-art turf and landscape management practices.

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Commented [SE6]: Is there currently an action plan?

DEFINITIONS

Many of the terms required to articulate an OPM Policy have broad meanings and can be easily misused and/or misconstrued. For the purposes of the OPM Policy, these terms are assigned the specific definitions given below:

Pests

Pests are undesirable plants, insects, fungi, bacteria, and rodents, birds and other animals that are found to interfere with human activity. Common examples in turf grass and landscape can be, but are not limited to, crabgrass, knotweed, poison ivy, chinch bugs, grubs and a variety of plant pathogens.

Pesticide

A pesticide is generally defined as any substance or mixture of substances intended for preventing, destroying, repelling, attracting or mitigating any insects, rodents, nematodes, fungi, weeds or other forms of plant or animal life and/or bacteria and viruses, except bacteria or viruses on or in living humans or other animals, which is determined to be a pest. A pesticide may be synthetic or organic (defined below). A pesticide may also mean any substance or mixture of substances intended for use as a plant regulator, defoliant or desiccant.

Synthetic

Occurring and existing via artificial means. Synthetic chemicals are compounds formulated or manufactured via human-controlled processes utilizing chemical reactions that alter a substance extracted from naturally-occurring plant, animal or mineral sources. The term "synthetic" does not apply to substances created by naturally occurring biological processes.

Organic

Naturally occurring via biological processes, without human control or alteration.

Synthetic pesticide

A pesticide that meets both of the following criteria: a) it is formulated or manufactured via human-controlled chemical processes; and b) it does not normally occur as a byproduct of natural processes, and exists only through intentional production utilizing human-controlled processes.



5.023 ORGANIC PEST MANAGEMENT POLICY
PUBLIC WORKS
Enabling Legislation: M2007-042
Date Adopted: 03/19/2007
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Organic pesticide

A pesticide that meets any one of the following criteria:

1. it occurs naturally;
2. it is a byproduct of naturally occurring processes; or
3. it is an otherwise naturally-occurring product that is produced via human-controlled processes.

Specific Practice Recommendations

OPM practices include but are not limited to:

- Selection of plantings using criteria of hardiness, suitability to native conditions, drought, disease and pest resistance and ease of maintenance;
- Regular soil testing;
- Addition of non-toxic soil amendments as necessitated by soil testing results;
- Modification of outdoor management practices to comply with organic horticultural science, including scouting, monitoring, watering, mowing, pruning, proper spacing and mulching.
- The use of physical controls, including hand weeding and overseeding.
- The use of biological controls, including the introduction of natural predators and enhancement of the environment of a pest's natural enemies.
- Annual review of turf management practices at a joint meeting of the Environmental Quality Commission (EQC) and the Parks and Recreational Advisory Board (PRAB) (as specified above in Statement of Action).
- The Department of Public Works will require a cooperative turf management agreement with all outside groups who use or maintain City-owned properties to ensure the safe management of City-owned lands as called for in the OPM.
- The members of the EQC and the PRAB shall conduct a joint meeting in 2013 to review the annual reports of this policy, and to formulate a policy recommendation to the City Council regarding the modification and/or continuation of organic landscape management practices.

Commented [NM7]: 2013 – did this happen? Are there now regularly-scheduled joint meetings, and if so, how frequently (or when)?

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EXEMPTIONS

All outdoor pest management activities taking place on City of Northfield-owned land shall be subject to this policy, except as follows:

1. Pesticides otherwise used for the purpose of maintaining a safe drinking water supply at drinking water treatment plants and at wastewater treatment plants and related collection, distribution and treatment facilities;
2. Pesticides contained in bait traps for the purpose of rodent control;
3. Pesticides classified by the United States Environmental Protection Agency as exempt materials under 40CFR152.25, or those pesticides of a character not requiring Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA) regulation;



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4. Pesticides deemed necessary for the control of common and glossy buckthorn (*Rhamnus cathartica* and *Rhamnus frangula*) provided that these pesticides are used only in direct-contact application to surfaces of the target plant species;
5. Pesticides deemed necessary for the control **or eradication** of any pests that are designated by the State of Minnesota or Rice County as Prohibited Noxious Weeds², and;
6. Chemicals used for the purpose of maintaining health and safety standards for the operation of the municipal pool water. This exemption applies only to the use of **chemicals** (such as disinfectants and germicides) used for the pool water supply, and does not apply to the surrounding municipal pool grounds.
7. That portion of City-owned right-of-way along City streets that is not maintained by the City but by property owners (as required by City Ordinance) shall be exempt from this policy, as they are maintained at the discretion of the property owners.
8. This OPM Policy will allow the City of Northfield Public **Services-Works** Director to identify specific locations where the use of synthetic pesticides may be warranted. However, these exemptions are to be specific in the location, timing and duration of synthetic pesticide applications. Moreover, the Public **Services-Works** Director or designee shall keep a detailed record of each exemption made, and will include a detailed account of each exemption as part of the annual report to EQC and PRAB members.

Any waiver granting the use of pesticides on City property shall require the use of an Integrated Pest Management approach that emphasizes use of the least toxic material and the minimum degree of exposure for any given application.

² See page 4.

2 –

The State of Minnesota currently designates 32 plant species as Prohibited Noxious Weeds; 16 are on the eradicate list and 16 are on the control list.

The 16 State Prohibited-Eradicate Noxious Weeds:

Black Swallow-wort, Brown Knapweed, Common Teasel, Dalmatian Toadflax, Diffuse Knapweed, Giant Hogweed, Grecian Foxglove, Japanese Honeysuckle, Japanese Hops, Johnson Grass, Pale Swallow-wort, Palmer Amaranth, Red Hailstone, Tree of Heaven, and Yellow Starthistle.

The 16 State Prohibited-Control Noxious Weeds:

Bohemian Knotweed, Canada Thistle, Common Barberry, Common Tansy, Giant Knotweed, Japanese Knotweed, Leafy Spurge, Meadow Knapweed, Narrowleaf Bittercress, Non-native Phragmites, Plumeless Thistle, Poison Hemlock, Purple Loosestrife, Round Leaf Bittersweet, Spotted Knapweed, and Wild Parsnip.



5.023 ORGANIC PEST MANAGEMENT POLICY
PUBLIC WORKS
Enabling Legislation: M2007-042
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2- ~~The State of Minnesota currently designates 11 plants as State Prohibited Noxious Weeds: Hemp, Bull Thistle, Musk Thistle, Plumeless Thistle, Canada Thistle, Perennial Sowthistle, Field Bindweed, Leafy Spurge, Poison Ivy, Purple Loosestrife, and Garlic Mustard).~~ Control and/or eradication of these on City-owned properties is required by MN Statute 18.78.

~~In addition to State Prohibited Noxious Weeds, five additional pests are currently designated as Prohibited Noxious Weeds by Rice County: Jimson Weed, Cocklebur, Wild Sunflower, Velvetleaf, and Yellow Nutsedge.~~

Where populations of State-Prohibited Noxious Weeds are small enough to be effectively controlled via hand weeding and/or mechanical removal, these methods will take precedence over application of synthetic pesticides. Where application of synthetic pesticides on State-Prohibited Noxious Weeds is warranted by population size, the application will use the least volume of pesticide required to effectively control the population, and where practicable will utilize direct application to the target plants rather than broadcast spraying of the affected area.

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Commented [SE9]: The State of Minnesota currently designates 32 plant species as Prohibited Noxious Weeds. 16 are on the eradicate list and 16 are on the control list. The 16 State Prohibited-Eradicate Noxious Weeds are Black swallow-wort, Brown knapweed, Common teasel, Dalmatian toadflax, Diffuse knapweed, Giant Hogweed, Grecian foxglove, Japanese Honeysuckle, Japanese Hops, Johnson Grass, Pale swallow-wort, Palmer amaranth, Red Hailstone, Tree of heaven, and Yellow starthistle. The 16 State Prohibited-Control Noxious Weeds are Bohemian knotweed, Canada thistle, Common barberry, Common tansy, Giant knotweed, Japanese knotweed, Leafy spurge, Meadow knapweed, Narrowleaf bittercress, Non-native phragmites, Plumeless thistle, Poison hemlock, Purple Loosestrife, Round leaf bittersweet, Spotted knapweed, and Wild parsnip.

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Commented [SE10]: There are currently not any additional prohibited noxious weeds designated by Rice County.



5.034 INFRASTRUCTURE TREE REPLACEMENT POLICY
PUBLIC WORKS
Enabling Legislation: M2011-068
Date Adopted: 04/19/2011
Revised: N/A05/16/24

POLICY

The City of Northfield has a variety of tree species in its urban forest. Some of those trees are of considerable age, size and historical significance. Routine pruning, removal and replacement of the trees within the boulevard are a responsibility of the City.

As the City performs infrastructure projects, there are normally trees that need to be removed due to their proximity to the construction. These trees are removed as part of the project by a tree removal contractor, and the costs for the removals are paid for as part of the project.

To maintain the health of the urban forest, any tree that is over 8 inches in diameter will be replaced with the project at a 2:1 ratio on infrastructure projects. For example, if 50 trees are removed for the project, 100 trees will be planted in the project area if space is available. If space isn't available, the City ~~Forester~~ shall identify locations where trees can be placed in other areas of the City. There are also trees that may be damaged during the project. These trees are either further from the construction and/or smaller and as a result it is possible that they appear to survive the construction. However, in the future that tree may become stressed and die. Removal of those individual trees is more expensive due to the contractor mobilization costs for a single tree. In addition, this removal is charged to the general fund budget since the final costs have already been charged to the project.

Commented [NM1]: Current staff title is "Horticulturalist" vs "Forester" so I changed it here.

To reduce the impact to the general fund budget as well as attempt to save a larger number of trees, the infrastructure tree replacement program is established to pay for the removal and possible replacement of trees noted in above. This fund will be used for removal of trees that have been significantly stressed or died within five (5) years of the completion of an infrastructure project. The program will be funded from revenues used to finance the ongoing street reconstruction projects.

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Trees that will be given consideration to be saved must meet the following criteria:

- The proposed tree must be of a desired species as listed in the Northfield Land Development Code.
- The proposed tree must be inspected by either the City Forester or licensed arborist to determine the tree's health.
- The proposed tree must be in good health and free of hazards.
- No ash trees will be saved due to the possibility of the Emerald Ash Borer entering the Northfield area.

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If the decision is made to save the tree, the Public Works Department will record the address and tree species. During the infrastructure project efforts will be made to maintain the tree's root structure. At a minimum, this means disturbance in the area of the root ball be kept to a minimum. After the infrastructure project is completed, the five-year timeframe for the use of funds from this program will

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5.034 INFRASTRUCTURE TREE REPLACEMENT POLICY
PUBLIC WORKS
Enabling Legislation: M2011-068
Date Adopted: 04/19/2011
Revised: N/A05/16/24

begin. Staff will ensure that trees planned for removal due to hazard are checked to see if they are in this program.

Due to the small number of City staff the owner of the tree should be sure to report failing health of the tree to the Public Works Department at 507-645-3050.

If the tree needs to be removed during the five year timeframe, the tree may be replaced with a tree from the City's desired tree list.



5.054 COMPLETE STREETS STRATEGYPOLICY
PUBLIC WORKS – ENGINEERING
Enabling Legislation: R2012-064
Date Adopted: 07/17/2012
Revised: N/A 04/16/24

VISION

Pedestrians, bicyclists, transit, motorists, freight carriers, and emergency responders must be able to safely move along and across Northfield’s street network. The City of Northfield Complete Streets Policy intends to ensure all streets within the City are planned, funded, designed, constructed, operated and maintained to safely accommodate users of all ages and abilities.

PURPOSE

The purpose of this Policy is to guide the design of surface transportation corridors that balance the needs of all users while implementing the principles of the Comprehensive Plan. The Comprehensive Plan highlights of enhancing Northfield’s sense of place and creating a highly connected multi-modal transportation network. As part of developing pedestrian and bicycle infrastructure through the implementation of this Complete Streets Policy, Northfield intends and expects to realize long-term cost savings in improved public health, better environmental stewardship, reduced fuel consumption, and reduced demand for motor vehicle infrastructure through the implementation of this Complete Streets Policy. Complete Streets also contributes to walkable neighborhoods, which can foster interaction, create a sense of community pride and improve quality of life.

GOALS

1. Incorporate the vision, purpose, and goals of this Policy into all aspects of the project development process for surface transportation projects within the City of Northfield.
2. Create a balanced, highly interconnected and attractive surface transportation network which is consistent with the Comprehensive Plan, and Transportation Plan, and other relevant policies of the City.
3. Manage stormwater and improve Cannon River water quality by reducing impervious surfaces, narrowing street widths where suitable to the context, planting street trees, and where appropriate, increasing stormwater infiltration best management practices along streets through the design of the public right-of-way.
4. Promote the use of the latest and best “complete streets” design standards, principles, policies, and guidelines within the context of the community.

DIRECTIVES

The City of Northfield’s surface transportation network shall balance the needs of all current and future users. Project identification, planning, scoping, and design for new construction, reconstruction, resurfacing, rehabilitation, repair, and maintenance within the public right-of-way shall adhere to the following:



5.054 COMPLETE STREETS STRATEGYPOLICY
PUBLIC WORKS – ENGINEERING
Enabling Legislation: R2012-064
Date Adopted: 07/17/2012
Revised: N/A04/16/24

1. Accommodations for all users of the surface transportation network shall be balanced in accordance with the latest and best “complete streets” standards, principles, policies, and guidelines, **except** under one (1) or more of the following conditions:
 - a. Where the cost of providing such accommodations would be disproportionate, given the need or probability of use, or
 - b. Where severe topographic or natural resource constraints prohibit such accommodations, or
 - c. Where conditions or restrictions outside the purview of the City of Northfield prohibit such actions.

In cases where one or more restrictions occur, the City Administrator and professional staff will evaluate the project and make a recommendation to the City Council for their decision.

2. Where segregated facilities cannot be provided for pedestrians and cyclists, the constructed roadway shall reflect the character of shared space, with appropriate mechanisms to calm vehicular traffic and provide a safe, reliable, integrated, and interconnected surface transportation network.
3. Where projects involve other jurisdictions, the City will work with those jurisdictions to ensure compliance with this policy to the fullest extent. Prior to seeking bids, the City Administrator or designee shall report to the City Council on the detail of how the project does or does not comply with this Policy.
4. Roadways, sidewalks, shared-use paths, street crossings, pedestrian signals, signs, street furniture, transit stops and facilities, and all connecting pathways shall be designed, constructed, and operated to limit maintenance, and maintained so that all users of the surface transportation network can travel safely, reliably and independently.
5. The implementation of this Policy shall reflect the context and character of the surrounding built and natural environments, and enhance the appearance of such.
6. The City will implement this policy by evaluating and revising relevant City plans, rules, regulations, and programs as appropriate to incorporate this Policy by reference and to utilize the most current and most effective design guidelines and other tools when designing projects.
7. A system of performance measurements shall be established to gauge the success of this Policy with regards to the stated Goals above.
- ~~8. This Policy shall be reviewed at least every five years to determine its success and make any needed revisions.~~



5.0567 SMALL WIRELESS FACILITY DESIGN & REVIEW GUIDELINE POLICY
PUBLIC WORKS - (ENGINEERING DIVISION)
Enabling Legislation: M2018-134
Date Adopted: 10/2016/2018
Revised: 04/16/24

PURPOSE AND COMPLIANCE

In implementing Article IV of Chapter 70 of Northfield City Code, the City Council of the City of Northfield (the "City") finds that ~~in order to protect the public health, safety and welfare of its citizens and to reasonably manage and protect the public rights-of-way (the "ROW") and its uses in the City,~~ it is in the best interest of the City and its residents and businesses to establish Small Wireless Facility Design and Review Guidelines (the "Guidelines"). ~~These Guidelines are designed to protect the public health, safety and welfare of its citizens and to reasonably manage and protect the public rights-of-way (the "ROW"). The Guidelines support City to provide with~~ the aesthetic requirements and other specifications and reasonable conditions that small wireless facilities installed within the public ROW must meet prior to installation and following installation within the City. Although small wireless facilities installed outside of the ROW are not bound by these Guidelines, they may be used to inform their installations.

The objective of these Guidelines is to strike a balance between preserving and protecting the character of the City through careful design, siting, and camouflaging techniques to blend these facilities into their surrounding environment and provide other reasonable conditions upon such placement and use of the ROW, while enhancing the ability of small wireless facilities carriers to deploy ~~small wireless~~ such facilities in the City effectively and efficiently so that residents, businesses, and visitors benefit from ubiquitous and robust wireless service availability.

These Guidelines apply to requests to locate small wireless facilities in the ROW and ongoing use of the ROW for such purposes. These Guidelines are established pursuant to Chapter 70 of Northfield City Code and applicable law. These Guidelines are administered through the permitting process contained therein as conducted by the City Department of Public Works/Engineering.

Placement or modification of a small wireless facilities and/or wireless support structures shall comply with these Guidelines at the time the permit for installation or modification is approved and as amended from time to time. Wireless service providers and permittees are required to comply with Chapter 70 of Northfield City Code.

AESTHETIC REQUIREMENTS

Photo Simulations - For all applications to locate small wireless facilities in the ROW, photo simulations from at least three reasonable line-of-site locations near the proposed project site are required. The photo simulations must be taken from the viewpoints of the greatest pedestrian or vehicular traffic. Angle of photo simulation separation must be ~~at least~~ 90 degrees or greater and provide a full profile depiction. Photo simulations must be included in the application packet.

Small Wireless Facility Antennas



5.0567 SMALL WIRELESS FACILITY DESIGN & REVIEW GUIDELINE POLICY
PUBLIC WORKS - (ENGINEERING DIVISION)
Enabling Legislation: M2018-134
Date Adopted: 10/2016/2018
Revised: 04/16/24

1. Each small wireless facility antenna ("antenna") shall be located entirely within a shroud or canister-type enclosure.
2. The diameter of the antenna or antenna enclosure should not exceed the diameter of the top of the wireless support structure pole, and to the maximum extent practical, should appear as a seamless vertical extension of the pole. In no case shall the maximum diameter of the shroud be wider than one- and one-half (1½) times the diameter of the top of the pole. Where maximum shroud diameter exceeds diameter of the top of the pole, the shroud shall be tapered to meet the top of the pole. The enclosure shall not exceed six cubic feet in volume.
3. Mounting Location - all antennas shall be mounted to the top of the wireless support structure pole, aligned with the centerline of the wireless support structure.
4. Tree "topping" or the improper pruning of trees is prohibited. Any proposed pruning or removal of trees, shrubs or other landscaping already existing in the ROW must be noted in the application and must be approved by the City.

Cables and Wires - All cables, wires and connectors related to the small wireless facility must be fully concealed on the wireless support structure and shall match the color of the wireless support structure. There shall be no external cables and wires related to the small wireless facility hanging off or otherwise exposed on the wireless support structure.

Colors - All colors shall match the background of any wireless support structure that the facilities are located upon. In the case of existing wood poles, finishes of conduit shall be zinc, aluminum or stainless steel, or colored to match those metal finishes. ~~and~~ equipment cabinets shall be the color of brushed aluminum. Ground-mounted equipment cabinets shall be the color of brushed aluminum.

Equipment Enclosures -/Concealment

1. Equipment enclosures, including electric meters, shall be as small as possible. Ground-mounted equipment shall incorporate concealment elements into the proposed design, matching color and materials of the wireless support structure unless other materials or colors are approved by the City. Concealment may include, but shall not be limited to, landscaping, strategic placement in less obtrusive locations and placement within existing or replacement street furniture.
2. Radio equipment shall be fully enclosed within an equipment cabinet or concealed within the antenna shroud enclosure, matching color and materials of the wireless support structure unless other materials or colors are approved by the City.



5.0 567 SMALL WIRELESS FACILITY DESIGN & REVIEW GUIDELINE POLICY
PUBLIC WORKS - (ENGINEERING DIVISION)
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3. Landscape screening should be provided and maintained around exterior equipment enclosures unless otherwise approved by the City. The planting quantity and size should be such that 100% screening is achieved within two years of installation.



5.0567 SMALL WIRELESS FACILITY DESIGN & REVIEW GUIDELINE POLICY
PUBLIC WORKS - (ENGINEERING DIVISION)
Enabling Legislation: M2018-134
Date Adopted: 10/2016/2018
Revised: 04/16/24

Signage ~~/Logos~~ / Lights / Logos & Decals ~~/Cooling Fans~~

1. Signage: The small wireless facility operator/permittee shall post its name, location identifying information, and emergency telephone number in an area on the cabinet of the small cell facility that is visible to the public. Signage required under this section shall not exceed 4 inches x 6 inches, unless otherwise required by law (e.g. RF ground notification signs) or the City. If no cabinet exists, the signage shall be placed at the base of the pole.
2. Lights: New small wireless facilities and wireless support structures shall not be illuminated, except in accordance with state or federal regulations, or unless illumination is integral to the camouflaging strategy such as design intended to look like a street light pole.
3. Logos and Decals: The small wireless facility operator/permittee shall remove or paint over unnecessary equipment manufacturer decals. The color shall match or shall be as approved by the City. Small wireless facilities and wireless support structures shall not include advertisements and may only display information required by a federal, state or local agency. The small wireless facility operator/permittee shall utilize the smallest and lowest visibility radio-frequency (RF) warning sticker required by government or electric utility regulations. Placement of the RF sticker shall be as close to the antenna as possible.
4. Cooling Fans: In residential areas, the small wireless facility operator/permittee shall use a passive cooling system. In the event that a fan is needed, the small wireless facility operator/permittee shall use a cooling fan with a low noise profile.

Example: Acceptable vs. Unacceptable Small Cell Installation on Light Poles

Unacceptable



Acceptable





5.0567 SMALL WIRELESS FACILITY DESIGN & REVIEW GUIDELINE POLICY
PUBLIC WORKS - (ENGINEERING DIVISION)
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Date Adopted: 10/2016/2018
Revised: 04/16/24

LOCATION REQUIREMENTS

Most Preferable Locations

The following are the most preferred areas for new small wireless facilities in the order of preference (1 being most preferable):

1. *Industrial District* if not adjacent to a park, residential district or historic district.
2. *Highway Rights-of-Way* if not adjacent to a park, residential district or historic district.
3. *Retail and Commercial Districts* if not adjacent to a park, residential district or historic district.

Collocation Preference

It is the City's strong preference that whenever an applicant proposes to place a new small wireless facility that the applicant collocate the same on existing wireless support structures.

Least Preferable Locations

The following are the least preferred areas for new small wireless facilities in the order of preference (3 being the least preferable).

1. *Residential Districts*
2. *Parks*
3. *Historic Districts*

Consideration of Alternate Locations

The City reserves the right to propose an alternate location for a small wireless facility and/or wireless support structure to the one proposed in the application. The alternate location shall be within one hundred feet of the facility-proposed location or within a distance that is equivalent to the width of the ROW in or on which the small wireless facility and/or wireless support structure is proposed, whichever is greater. ~~which the~~ The facility operator shall use if it has the right to use the alternate location if it has the right to use it on reasonable terms and conditions and the alternate location does not impose technical limits or additional costs.

Guidelines on Placement

The City desires to promote cleanly organized and streamlined facilities using the smallest and least intrusive means available to provide wireless services to the community. Generally, a small wireless facility and/or wireless support structure shall match and be consistent with the materials and finish of the wireless support structure, adjacent City poles, and of the surrounding area adjacent to their location. In the absence of adjacent City poles, the wireless support structure shall match the materials and finish of the adjacent utility poles.



5.0567 SMALL WIRELESS FACILITY DESIGN & REVIEW GUIDELINE POLICY
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All proposed small wireless facilities located within residential districts and historic districts shall apply for a special land use permit ~~(see Appendix A for map)~~. In addition, small wireless facilities are strongly discouraged from locating within the historic downtown district and more specifically Division Street, Bridge Square, and Water Street. ~~(See Appendix B for map)~~.

The following additional guidelines on placement shall apply:

1. Small wireless facilities and wireless support structures shall be located no closer than 250 feet away, radially, from another small wireless facility and wireless support structure.
2. A combination wireless support structure and streetlight pole should only be located where an existing pole (usually Xcel Energy) can be removed and replaced, or at a new location where it has been identified that a streetlight is necessary.
3. Small wireless facilities and wireless support structures shall be placed
 - ~~3.~~ in a manner that does not impede, obstruct, or hinder usual public pedestrian or vehicular travel or public safety on a ROW.
 - ~~a.~~
 - ~~4.~~ in a manner that does not obstruct the legal use of a ROW by a utility provider.
 - ~~b.~~
 - ~~5.~~ in a manner that does not violate or conflict with the City's ROW Code, Chapter 70 or these Guidelines.
 - ~~6-c.~~ In a manner that does not violate the federal Americans with Disabilities Act.
 - ~~7-d.~~ in a manner that does not negatively impact the structural integrity of the associated wireless support structure.
 - ~~e.~~ in alignment with existing trees, utility poles, and streetlights.
 - ~~8.~~ With appropriate clearance from existing utilities.
 - ~~f.~~
 - ~~g.~~ so as not to be located along the frontage of a Historic building, deemed historic on a federal, state, or local level.
 - ~~h.~~ not within sight triangles at street intersections.
- ~~9.~~ Equal distance between trees should be left when possible, with a minimum of 15 feet separation such that no proposed disturbance shall occur within the critical root zone of any tree.
- ~~4.~~
 - ~~10.~~ With appropriate clearance from existing utilities.
 - ~~11.~~ So as not to be located along the frontage of a Historic building, deemed historic on a federal, state, or local level.
 - ~~12.~~ Not within sight triangles at street intersections.

Example of Acceptable Location Between Residential Homes

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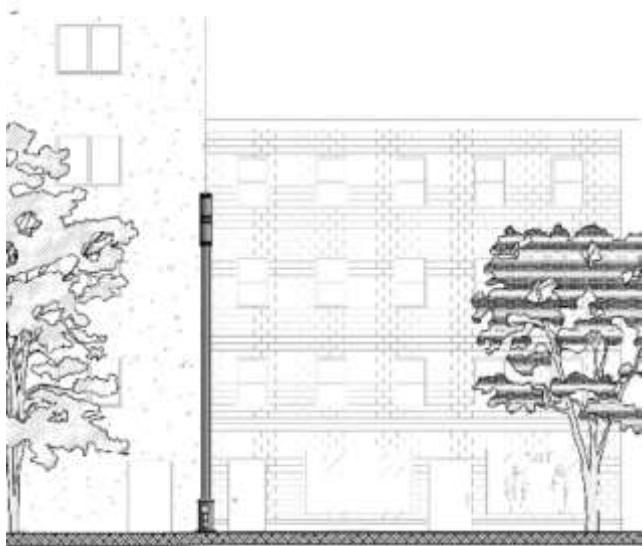
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5.0567 SMALL WIRELESS FACILITY DESIGN & REVIEW GUIDELINE POLICY
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Example of Acceptable Location Between Commercial Buildings



LIMITATIONS

While the City fully intends to have small cell facilities meet these guidelines established in this policy, there may be times when not every specific guideline may be met. In these cases, City Staff will use these guidelines in approval of small cell wireless permit applications.



5.0 567 SMALL WIRELESS FACILITY DESIGN & REVIEW GUIDELINE POLICY
PUBLIC WORKS - (ENGINEERING DIVISION)
Enabling Legislation: M2018-134
Date Adopted: 10/ 2016 /2018
Revised: <u>04/16/24</u>

EFFECTIVE DATE OF POLICY

This Policy will be effective as of November 20, 2018. Modifications of the Policy will be effective on the date said modifications are approved by the City Council.



5.067 ALCOHOL, CANNABINOID, AND CANNABIS USE IN CITY FACILITIES
PUBLIC WORKS
Enabling Legislation: M2010-0024
Date Adopted: 02/09/2010
Revised: 11/19/2023 04/16/24

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PURPOSE

The City of Northfield owns and manages a wide range of facilities, from the Northfield ~~Area~~-Community Resource Center (NCRC) to the Northfield Public Library to multiple parks, ~~and~~ which organizations and residents may want to use for recreational gatherings. This policy outlines the City's policy for use of alcohol and intoxicating cannabinoid and cannabis at City facilities.

POLICY

Use of Alcohol and Intoxicating Cannabinoid/Cannabis Products in City-Owned Buildings~~SE-OF ALCOHOL & INTOXICATING CANNABINOID/CANNABIS PRODUCTS IN CITY OWNED BUILDINGS~~

• The City prohibits the use of alcohol and intoxicating cannabinoid and cannabis products in all City-owned buildings, without exception. The reasons for prohibiting such use include (but are not limited to):

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• For various reasons, including those listed below, the City prohibits the use of alcohol and intoxicating cannabinoid and cannabis products at City-owned buildings:

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- Most facilities are mixed-use facilities. Many individuals who use the facilities are below the legal age for alcohol, intoxicating cannabinoid and/or cannabis use.
- Allow~~ing use~~~~ance~~ of alcohol and intoxicating cannabinoid and cannabis products at City facilities would increase liability for the City.
- Allow~~ing use~~~~ance~~ of alcohol and intoxicating cannabinoid and cannabis products at City facilities would be in direct competition with other private businesses in town that have facilities specifically for these types of events.
- Such use could potentially increase future costs for facility maintenance and repair.

This policy applies to all City buildings. ~~Case-by-case ex~~~~ception~~~~emptions~~ will not be considered due to subjectivity and the time involved in individual exemption requests.

Use of Alcohol and Intoxicating Cannabinoid/Cannabis Products in All City-Owned Parks and Other Common Spaces~~SE-OF ALCOHOL AND INTOXICATING CANNABINOID/CANNABIS PRODUCTS IN ALL CITY OWNED PARKS AND OTHER COMMON SPACES~~

The City prohibits the use of alcohol in all City-owned parks, unless permission is granted through the community events process. All requests for the use of alcohol must follow the requirements set forward by 2.01 Community Events Policy.

The City prohibits the use of intoxicating cannabinoid and cannabis products in all City-owned parks, without exception.



5.0 67 ALCOHOL, CANNABINOID, AND CANNABIS USE IN CITY FACILITIES
PUBLIC WORKS
Enabling Legislation: M2010-0024
Date Adopted: 02/09/2010
Revised: 11/19/2023 04/16/24

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5.07 SURFACE WATER MANAGEMENT – FLOOD CONTROL POLICY1 CHANGE ORDER POLICY
PUBLIC WORKS – ENGINEERING
Enabling Legislation: R1994-110
Date Adopted: 4/18/1994
Revised: N/A 04/16/24

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3.03 — SURFACE WATER MANAGEMENT — FLOOD CONTROL

A- PURPOSE

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This policy is intended to guide effective and efficient use and management of the City of Northfield's ("City") surface water and stormwater conveyance infrastructure (the "Surface Water Management System") in regard to flooding from surface runoff and to guide decision makers in determining the City's role in addressing flood control issues.

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This policy ~~is are~~ intended to promote the creation and maintenance of resilient public infrastructure in accordance with current standards and regulatory requirements. This policy takes into consideration public health and safety, environmental factors, technical feasibility, and cost of implementation regarding the City's public Surface Water Management System and City involvement in flood control issues.

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This policy is not prescriptive with respect to City action to address flooding issues. The City will determine its role in addressing flooding issues on a case-by-case basis with consideration for the information provided herein and other applicable regulatory and guidance documents.

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B- MANAGEMENT OF SURFACE WATER MANAGEMENT SYSTEM

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Surface water runoff occurs when rainfall rates exceed the evaporation rate and infiltration capacity of existing soil and other ground cover. Impervious surfaces such as roadways, driveways, and buildings increase surface water runoff. Cities build and maintain surface water management systems within publicly owned right-of-way to collect and route surface water to receiving water bodies.

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The City's Surface Water Management System consists of ditches, pipes catch basins, ponds and other best management practices (BMPs) used to collect, convey, and detain/retain stormwater runoff from rainfall events. The elements of the Surface Water Management System are designed to current standards at the time of design. Current design standards can be viewed in City Policy 3.02 – Engineering Guidelines.

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The City operates and maintains its Surface Water Management System to keep it functioning as intended. Operation and maintenance activities include routine and complaint-based cleaning of storm sewer, large capital improvement plan projects including road reconstructions and pond dredging projects, and evaluation and updating of the City's Surface Water Model. The City has several different policies, plans, and ordinances to guide staff in the management of stormwater runoff. They include:

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- Municipal Separate Storm Sewer System (MS4) Permit
- City Ordinance, Chapter 22 Article VI – Surface Water Management

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5.07 SURFACE WATER MANAGEMENT – FLOOD CONTROL POLICY1-CHANGE ORDER-POLICY
PUBLIC WORKS – ENGINEERING
Enabling Legislation: R1994-110
Date Adopted: 4/18/1994
Revised: N/A04/16/24

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- City Policy 3.02 – Engineering Guidelines
- 2007 Comprehensive Surface Water Management Plan
- 2008 Comprehensive Plan, Chapter 5 – Environmental Resources and Chapter 6 Sewer and Water Resources
- Climate Action Plan
- 2016 Spring Creek Watershed Model
- 2020 Comprehensive Surface Water Model

Updates to the City’s Surface Water Model may identify issues within the City’s local or regional drainage system resulting in changes in system performance and levels of service. The City’s Surface Water Model currently incorporates City-owned main trunks of the storm sewer network, low points in roadways and associated overflow routes, open channel conveyances, and storage nodes (stormwater ponds, wetlands, culverts to culvert swales, ponded areas in open fields, etc.). Smaller localized storm sewer pipes are not included in the current model due to the added complexity and cost of that type of assessment. Localized storm sewer networks are modeled and reviewed on a case-by-case scenario, as needed.

Flood Risk – One goal for operation of the City’s Surface Water Management System is to minimize flood risk to people and property. Flood risk may be considered a function of three primary factors:

- Climate and physical setting - Short term (weather), mid-term (seasonal), and long term (climate) determining the amount of precipitation a surface water system must accommodate. Rainfall varies over time and space. Land use, soils, and topography matter all affect how much precipitation becomes runoff.
- Exposure to flooding - The degree to which property, homes, buildings, infrastructure, and other assets come into contact with flood water.
- Vulnerability to flooding – The degree to which exposed assets, both public and private, are unable to resist flooding and are damaged by floods.

Opportunities to mitigate flood risk may address any of these factors.

INDIVIDUAL PROPERTY DRAINAGE

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The City’s Surface Water Management System collects, manages, and directs the flow of surface water to the extent practicable based on applicable surface water management standards through City-owned infrastructure, drainage easements, and utility easements.

Property owners are responsible for mitigating localized flooding issues on their property. The City is not obligated to operate, manage, maintain, repair, replace, or correct localized flooding issues on private property (outside of City-owned drainage and utility easements) that are unrelated to the City’s Surface Water Management System. Potential flood problems and mitigation measures for property owners include:



5.07 SURFACE WATER MANAGEMENT – FLOOD CONTROL POLICY1 CHANGE ORDER POLICY
PUBLIC WORKS – ENGINEERING
Enabling Legislation: R1994-110
Date Adopted: 4/18/1994
Revised: N/A04/16/24

- ~~1.~~ Grading or Drain Tile – Property owners are responsible for maintaining adequate slopes for efficient site drainage. A minimum 2% ground slope is recommended to convey surface water over a turf grass or vegetated area. Areas that do not meet the minimum 2% slope may require drain tile.
- ~~2.~~ Roof Gutters – Property owners are responsible for proper installation of roof gutters and downspout. Improper installation or lack of roof gutters and downspouts can lead to intrusion of surface water through low openings, cracked foundations, or by other means.
- ~~3.~~ Foundation Leaks/Groundwater – Property owners are responsible for ensuring the impermeability of their structure foundation. Seasonally high groundwater tables and hydrostatic pressure may cause minor flooding by seepage through cracks in the foundation or by other means. The City does not monitor groundwater levels on a regular basis citywide and is not responsible for mitigating or controlling groundwater intrusion of a structure or dwelling.
- ~~4.~~ Sump Pump Discharge or Failure – Property owners are responsible for operating and maintaining their on-site sump pump(s). Sump pumps that discharge too close to the foundation, failure of foundation tile, or failure of sump pump(s) can cause interior flooding issues. The City will permit sump pump discharge to connect to the City storm sewer system as provided and in compliance with applicable City Code. This action is permitted by application through the City right-of-way (ROW) process.
- ~~5.~~ Nuisance Water – Property owners are responsible for managing nuisance water ponding (water that pools for extended periods due to poorly drained soils, poor grading, frozen ground conditions, or snow impoundments and does not pose a risk of flooding to adjacent principal structures). Property owners are allowed to place a pump in nuisance water collection areas and pump the water out to the street or other storm structures.

The above examples are not an exhaustive list of potential flooding scenarios, nor is such listing an admission of fault, responsibility or liability for the City regarding any other flooding scenarios that may occur.

D. REGIONAL SYSTEM – OFFSITE DRAINAGE IMPACTING PROPERTY/PUBLIC HEALTH & WELFARE

The City may, in-at the discretion of the City Council and based on available funding sources and in accordance with the City's Surface Water Management Plan, choose to participate in or initiate public projects that help mitigate local flooding issues. When considering modifications to the Surface Water Management System, the City will assess the impacts of the proposed modifications on the flood risk for upstream and downstream areas.

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5.07 SURFACE WATER MANAGEMENT – FLOOD CONTROL POLICY1-CHANGE ORDER-POLICY
PUBLIC WORKS – ENGINEERING
Enabling Legislation: R1994-110
Date Adopted: 4/18/1994
Revised: N/A04/16/24

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Individual properties with flooding issues caused by off-site drainage that runs onto the property may be eligible for financial assistance. Eligibility for financial assistance depends on location, circumstances, applicable laws and rules, funding availability, and potentially other factors.

If rainfall events continue to increase in depth and intensity in the coming decades, more storage and volume reduction throughout the watershed area may be necessary to maintain existing levels of storm water system performance. The City may consider constructing new regional BMPs. Regional BMPs can be difficult to construct in developed areas. Other options for volume control within a watershed are retrofitting existing stormwater BMPs and requiring private volume control BMPs for new development and redeveloped sites.

Mitigation strategies may include, but are not limited to, rate control, volume control, and stormwater routing.

~~1-~~ *Rate Control* – Rate control is the regulation of how fast stormwater runoff leaves a site as measured as volume per time (e.g., gallons per minute). Typically, the objective is to detain stormwater runoff on site and release it slowly, so it does not overwhelm the capacity of the downstream system.

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~~2-~~ *Volume Control* – Volume control is the permanent retention of stormwater runoff that would otherwise leave the site. Volume control can be achieved by maximizing pervious areas on a site, disconnecting impervious areas so runoff must pass over pervious areas and has a chance to infiltrate, and collecting runoff so it has time to infiltrate, evaporate, or be reused.

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~~3-~~ *Stormwater Routing* – During large storm events, runoff from one property may flood an adjacent property. Stormwater routing problems can sometimes be addressed by adding conveyance capacity and constructing berms to divert water away from structures. The City may consider participating in stormwater routing mitigation projects to address regional drainage issues.

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Other strategies that may be used to mitigate flooding issues include, but are not limited to, property acquisition and flood proofing of structures.

- ~~4-~~ *Acquisitions* – Acquisition of properties and removing structures that are frequently damaged by floods is the surest way to eliminate structural flood risk for that property. The City may consider acquisitions through negotiation or eminent domain to remove an at-risk structure from a flood prone area.

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Following acquisition, the City may choose to rebuild a structure that is protected from flood events, modify the structure so that the structure is protected from flood events, not rebuild the structure and designate the land as open space, or construct a drainage improvement on the property and put the land into a perpetual drainage and utility easement, among other possible options. The City has no obligation or duty to undertake any of the above options, and pursuit of such options is entirely at the discretion of the City



5.07 SURFACE WATER MANAGEMENT – FLOOD CONTROL POLICY1 CHANGE ORDER POLICY
PUBLIC WORKS – ENGINEERING
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Revised: N/A 04/16/24

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Council based on available funding sources, determination of public purpose, and applicable law.

5. Flood proofing – Flood proofing involves modifications to structures to make them less susceptible to damage during a flood. Basement flooding is an issue for some property owners. The City may choose to modify the basement (if applicable) to protect the property from future flooding events. Possible modifications include converting a walk-out to a look-out, a walk-out to a full basement, and a look-out to a full basement.

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The City's willingness and ability to provide assistance depends on the feasibility of the improvement and funding availability.

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CLIMATE ADAPTATION AND RESILIENCY

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The City Council passed a resolution on January 18, 2022 declaring a Climate Emergency, recognizing the crisis humanity is facing on a global scale. Regional hydrologic changes due to climate change could exacerbate flood risk for the community. On a local scale, climate projections show Northfield and surrounding communities in southeastern Minnesota becoming warmer and experiencing more precipitation and higher intensity/more extreme storm events.

The City can become more resilient to extreme precipitation events through strategic investments the City's Surface Water Management System. Some strategies for a more resilient Surface Water Management System are listed below and can be adopted through policy and or capital improvement projects in the City Council's judgment and discretion.

- Green Infrastructure/Low Impact Development (LID) is an approach to managing urban wet weather impacts that mimics, restores, or maintains natural hydrology. Green infrastructure includes a wide array of practices, including but not limited to reducing or disconnecting impervious area, infiltrating, evapotranspiring, or collecting and reusing stormwater.
- On a regional scale, green infrastructure may consist of the preservation or restoration of natural landscape features, such as forests, floodplains, and wetlands. At the local scale, green infrastructure may consist of site and neighborhood-specific practices, such as bioretention, increased tree canopy, green roofs, permeable pavements, and cisterns. Regional and local practices are coupled with policies governing infill development and redevelopment that reduce overall imperviousness in a watershed. Success of the total community system necessitates both public investment in infrastructure and also private property owners to undertake stormwater management measures on private property at private property owner expense.



5.07 SURFACE WATER MANAGEMENT – FLOOD CONTROL POLICY1-CHANGE ORDER-POLICY
PUBLIC WORKS – ENGINEERING
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Benefits of LID include distributed management of storm-water runoff, water capture and conservation, groundwater recharge, flood risk reduction, storm-surge protection, and accommodation of natural hazards (e.g., relocating out of floodplains).

LID and green infrastructure techniques should be considered during a planning and development phase with new development and redevelopment projects.



6.01 BANNER POLICY
PUBLIC WORKS – STREETS & PARKS
Enabling Legislation: M2018-111
Date Adopted: 10/02/2018
Revised: 05/02/23, 11/21/202304/16/24

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PURPOSE

The purpose of this policy is to have uniform criteria related to the creation, placement, artistic design and costs related to the installation of the City's Banners. At present, banners exist on City owned light poles with the Public Right-of-Way; this policy may also apply to future banner installations on City-owned light or utility poles. Banners are temporary displays, and not intended to introduce or promote a particular branding element in Northfield. It is not the purpose of this policy to allow for changes to City logos or City-identified branding through this policy.

The objective for the Banner Policy in Northfield is to add color and excitement to the City streetscape, promote activities happening within the City, and to create a sense of place. The banners will be used to accentuate the aesthetic appeal, especially as it relates to the qualities of hospitality and welcome in Northfield. Banners are to be used for noncommercial and nonpolitical purposes only.

SCHEDULE OF BANNERS

This policy establishes the schedule for existing banners in Northfield. The categories of banners include Holiday, Standard, St. Olaf, Carleton, ~~and~~ Defeat of Jesse James Days (DJJD), and Hispanic Heritage. No other banners shall be installed unless outlined in the schedule below.

Holiday Banners

- Installed second week of November
- Removed first week of February

Standard Northfield Banners

- Installed second week of February
- Removed last week of April

St. Olaf Banners

- Installed last week of April
- Removed last week of May

Carleton Banners

- Installed last week of May
- Removed first week of July

DJJD Banners

- Installed first week of July
- Removed second week of September



6.01 BANNER POLICY
PUBLIC WORKS – STREETS & PARKS
Enabling Legislation: M2018-111
Date Adopted: 10/02/2018
Revised: 05/02/23, 11/21/2023 04/16/24

Hispanic Heritage

- Installed second week of September
- Removed second week of November

~~These banners will stay in place year-round~~

Artistic Gateway Banner

- These banners will stay in place year-round

COST OF THE BANNER CHANGE OUT AND BANNER REPLACEMENT COSTS

Holiday Banners

- City of Northfield covers the cost of putting up and taking down the banners and the cost of replacing damaged or worn banners.

Standard Northfield Banners

- City of Northfield covers the cost of putting up and taking down the banners and the cost of replacing damaged or worn banners.

St. Olaf Banners

- St. Olaf College is charged City staff time and equipment charges for installing their banners.
- St. Olaf College is responsible for the replacement costs of the banners.

Carleton Banners

- Carleton College is charged City staff time and equipment charges for installing their banners.
- Carleton College is responsible for the replacement costs of the banners.

DJJD Banners

- City of Northfield covers the cost of putting up and taking down the banners and the cost of replacing damaged or worn banners as an in-kind contribution towards DJJD.

Hispanic Heritage Banners

- City of Northfield covers the cost of putting up and taking down the banners and the cost of replacing damaged or worn banners.

Artistic Gateway Banners

- City of Northfield covers the cost of putting up and taking down the banners and the cost of replacing damaged or worn banners.

REPLACEMENT OF EXISTING BANNERS & NEW ARTISTIC BANNERS

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6.01 BANNER POLICY
PUBLIC WORKS – STREETS & PARKS
Enabling Legislation: M2018-111
Date Adopted: 10/02/2018
Revised: 05/02/23, 11/21/202304/16/24

The City has established an “Art in Public Places Policy”, adopted per City Council Resolution 2017-073 on September 19, 2017. While banners may not be considered public art, the "Art in Public Places Policy" provides a framework and process for makingdeciding banner decisions, and the Arts and Culture Commission (ACC) provides a sustainable city entity to facilitate the process. Any proposed changes or modifications to the existing banners, and any new banners, need to comply with the following:

1. Process Approval

- Proposed new designs of the banners shall be reviewed by a Public Art Review Committee (PARC) selected for the purpose of banner approvals.
- A member of the Historic Preservation Commission (HPC) will be invited to serve on the PARC for any banners under consideration in the Historic district of downtown Northfield
- The PARC shall advise the ACC on recommendations for a new or modified banner. ACC shall make the final decision of the design of the new or modified banners, based on the recommendations of the PARC group.
- After ACC approval, there will be a period of 2 weeks for public comment through the City website and City social media outlets.

2. Artistic Standards

- In the case of a significant modification to the design of the Holiday, Standard, Defeat of Jesse James Days, St. Olaf and Carleton College banners, The PARC Group will determine through the PARC process the scope parameters, including, for instance, design guidelines, materials used, and size of banners, for instance. These parameters will be documented through the PARC process, and are not included as Policy in this document.

3. Approval of Additional Banners

- The addition of hanging banners beyond the sixfive existing banner types (including Standard, Holiday, Defeat of Jesse James Days, Hispanic Heritage, St. Olaf and Carleton Colleges) shall be approved by the Northfield City Council.

4. Sponsorship of Banners

- It is not the intent of this Policy to allow for the sponsorship or branding of existing or new banners by a commercial, political or non-profit entity beyond the St. Olaf and Carleton Banners. Any exceptions must be approved by the Northfield City Council.

REVIEW AND MODIFICATION OF THE POLICY

The Policy will be reviewed periodically. Any review will consider comments and complaints since the last review and any factors affecting the Policy or its implementation. City Council may modify the Policy at any time.

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6.01 BANNER POLICY
PUBLIC WORKS – STREETS & PARKS
Enabling Legislation: M2018-111
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LIMITATIONS

While the City fully intends to meet the guidelines established in this policy, there may be times when this is not feasible. Issues including, but not limited to, budget constraints, critical equipment failure, weather, or other emergencies may prevent the City from meeting the guidelines established herein.



6.01 BANNER POLICY
PUBLIC WORKS – STREETS & PARKS
Enabling Legislation: M2018-111
Date Adopted: 10/02/2018
Revised: 05/02/23, 11/21/2023 04/16/24

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EFFECTIVE DATE OF POLICY

This Policy will be effective as of October 2, 2018. Modifications of the Policy will be effective on the date said modifications are approved by the City Council.



6.02 POTHOLE REPAIR POLICY
PUBLIC WORKS – STREETS & PARKS
Enabling Legislation: M2018-098
Date Adopted: 09/18/2018
Revised: 11/21/202304/16/24

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PURPOSE

The City of Northfield is located in a climate region that experiences freeze-thaw cycles throughout the spring months, causing streets to deteriorate. The City finds it is important to outline when streets need to be repaired and finds that it is in the best interest of the residents for the City to do the maintenance of its City streets. An important part of street maintenance is the repair of potholes. The City will repair potholes in a safe and cost-effective manner, keeping in mind safety, budget, personnel and environmental concerns. The City will use City employees, equipment and/or private contractors to provide this service. Pothole repair is part of the City's overall pavement management program.

APPLICATION

This policy applies to City streets. It does not apply to other governmental agency roads that go through the City unless there is a specific agreement between the City and the agency, and that private roadways are the responsibility of the private ownership of the property.

POTHOLE MAINTENANCE

The Streets and Parks Manager or ~~their~~his/her designated employee will decide when to conduct pothole repairs. Repairs will consist of two elements:

- Street staff will be assigned an area to inspect. They will repair any potholes they find in that area. Each street will be inspected at a minimum of once every three years depending on available resources and factors such as weather. The timing for the repairs will also be based upon resources and weather.
- Street staff will be sent out to inspect any street when the City receives a complaint or notice of a pothole.

CRITERIA FOR POTHOLE REPAIR

Not every imperfection in a street surface is necessarily considered to be a pothole in need of repair. The general criteria for repair will be a pothole that is two (2) inches or more deep and over five (5) inches in diameter. The Streets and Parks Manager or ~~their~~his/her designated employee will have discretion to decide if a pavement distress is a pothole in need of repair.

POTHOLE REPAIR

Potholes will be repaired temporarily during cold weather with a cold asphalt mix or other means. During cold weather, the repairs will be limited to those determined to be hazardous for motor vehicles. In warmer weather and when hot asphalt mix is available, potholes will be filled with the hot asphalt mix or other means for a more permanent repair.



6.02 POTHOLE REPAIR POLICY
PUBLIC WORKS – STREETS & PARKS
Enabling Legislation: M2018-098
Date Adopted: 09/18/2018
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PRIORITIES AND SCHEDULE OF REPAIRS

~~Potholes will be repaired temporarily during cold weather with a cold asphalt mix or other means. During cold weather, the repairs will be limited to those determined to be hazardous for motor vehicles. In warmer weather and when hot asphalt mix is available, potholes will be filled with the hot asphalt mix or other means for a more permanent repair.~~ The City will prioritize repair of potholes as follows:

- First Priority – Arterial and Collector Streets
- Second Priority – Commercial Streets
- Third Priority – Residential Streets
- Fourth Priority – Cul-de-sacs and Parking Lots

WEATHER CONDITIONS

Pothole repairs will be conducted only when weather conditions do not limit the ability to perform the work or when such work would not endanger the safety of City staff and equipment. Factors that may delay repairs are cold temperatures, rain, snow, and ice conditions.

LIMITATIONS

While the City fully intends to meet the guidelines established in this policy, there may be times when this is not feasible. Issues including, but not limited to, budget constraints, critical equipment failure, weather, or other emergencies may prevent the City from meeting the guidelines established herein.

EFFECTIVE DATE OF POLICY

This Policy will be effective as of September 18, 2018. Modifications of the Policy will be effective on the date said modifications are approved by the City Council.



6.03 SIDEWALK AND TRAIL INSPECTION AND MAINTENANCE POLICY
PUBLIC WORKS – STREETS & PARKS
Enabling Legislation: M2018-098
Date Adopted: 09/18/2018
Revised: 11/21/2023 04/16/24

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PURPOSE

The City of Northfield finds that it is in the best interest of the City to do the maintenance of the public sidewalks and trails. Public sidewalks and trails vary in age and in quality of condition. Not every irregularity in the surface of a sidewalk and trail rises to the level of a defect. The City recognizes that some conditions create unreasonable hazards for ~~the~~ pedestrians, whether it's rollability for wheelchairs, walking aids, ~~or~~ and strollers. The goal is to try to minimize these defects within the City.

SIDEWALK & TRAIL INSPECTION PROCEDURES

With staff and resources available, the City intends to inspect sidewalks as shown in the schedule below.

1. Downtown sidewalks survey completed annually due to the volume and use by pedestrians.
2. 1/4 of the City's public sidewalks and trail surveyed annually. Sidewalks and trails will be inspected every four years.

Criteria for determining whether the condition of a sidewalk or trail requires replacement or repair will include, but not necessarily ~~be~~ limited to:

- Sidewalk having a crack or joint with a deviation or difference in elevation of one inch (1") or more, ~~ee~~ Either vertical separation or horizontal separation.
- Sidewalk having a crack or joint with an opening width of one inch (1") or more.
- Sidewalk that is broken or missing in a continuous sidewalk location.
- Sidewalk ~~and~~ trails that have settled, causing drainage issues.
- Sidewalk that has severe pitting or scaling at least 1 inch in depth.
- ~~Trail having a horizontal separation, either horizontal or vertical, of one inch (1") or more.~~
- ~~Either horizontal or vertical.~~

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SIDEWALK AND TRAIL REPLACEMENT AND REPAIR

Upon completion of the annual sidewalk survey, the Street and Parks Manager or ~~his/her~~ their designated employee shall establish a replacement and repair schedule.

The replacement and repair schedule will take into consideration:

- Sidewalk and ~~t~~ trail location and amount of pedestrian traffic.
- Proximity of sidewalk and trail identified as needing replacement or repair to other sidewalk and trail also needing replacement or repair.
- The City's budget for replacement or repairs.
- The nature and severity of the sidewalk and trail needing replacement or repair.
- Public Safety – ~~h~~ History of prior accidents or complaints.

How the sidewalk and trail is replaced or repaired:



6.03 SIDEWALK AND TRAIL INSPECTION AND MAINTENANCE POLICY
PUBLIC WORKS – STREETS & PARKS
Enabling Legislation: M2018-098
Date Adopted: 09/18/2018
Revised: 11/21/2023 04/16/24

- City staff will make repairs to offset joints and cracks by means of grinding or patching with asphalt to remove tripping hazard.
- The City will use City employees, equipment and/or private contractors to replace sidewalk panels or grind sidewalk to remove trip hazards when warranted.
- The City will use cold mix patch in cold weather if ~~it is~~ a severe public hazard exists; otherwise, trail maintenance will occur during warmer weather with hot mix asphalt.

SIDEWALK AND TRAIL TREE TRIMMING

The City will follow schedule and criteria for trimming trees as outlined Policy ~~4.07~~ Boulevard Tree Maintenance Policy. The Streets and Parks goal is to trim 1/10 of the City Boulevard trees yearly. The City will be broken into ten (10) areas for trimming; if sidewalk and trail fall within those areas, trimming will be provided over the trail or sidewalk.

LIMITATIONS

While the City fully intends to meet the guidelines established in this policy, there may be times when this is not feasible. Issues including, but not limited to, budget constraints, critical equipment failure, weather, or other emergencies may prevent the City from meeting the guidelines established herein.

EFFECTIVE DATE OF POLICY

This Policy will be effective as of September 18, 2018. Modifications of the Policy will be effective on the date said modifications are approved by the City Council.

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6.04 SIGN RETRO-REFLECTIVITY MAINTENANCE POLICY
PUBLIC WORKS – STREETS & PARKS
Enabling Legislation: M2018-098
Date Adopted: 09/18/2018
Revised: 11/21/202304/16/24

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PURPOSE

The City of Northfield finds that it is in the best interest of the residents for the City to establish uniform procedures for implementing a management method to meet the minimum sign retro-reflectivity requirements in the Minnesota Manual on Uniform Traffic Control Devices (MN MUTCD). The City is responsible for management of traffic signs located within public right-of-way and easements along roadways under the jurisdiction of the City of Northfield.

Substantial conformance with the MN MUTCD is achieved by having a method in place to maintain minimum retro-reflectivity levels. Conformance does not require or guarantee that every individual sign in the City will meet or exceed the minimum retro-reflective levels at every point in time.

The goal of this policy is to improve public safety on the City's streets and roads and prioritize the city's limited resources to replace signs.

APPLICABLE SIGNS

This policy applies to all regulatory, warning, and guide signs as set forth in the MN MUTCD. Pursuant to Section 2A.8 of the MN MUTCD, the City excludes the following signs from the retro-reflectivity maintenance guidelines:

- ~~Parking, Standing, and Stopping signs (R7 and R8 series)~~
- ~~Pedestrian Crossing signs (R9 series, R10-1 through R10-4b)~~
- ~~Acknowledgement signs, including Memorial signs~~
- ~~Street identification signs~~
- ~~Bikeway signs that are intended for exclusive use by bicycles or pedestrians~~
- Parking, Standing, and Stopping signs (R7 and R8 series)
- Walking/Hitchhiking/Crossing signs (R9 series, R10-1 through R10-4b)
- Acknowledgment signs, including Memorial signs
- All signs with blue or brown backgrounds
- Bikeway signs that are intended for exclusive use by bicyclists or pedestrians

SIGN INVENTORY

To meet the City's goal of maintaining sign retro-reflectivity above certain levels, the City will maintain a sign inventory of all new or replacement signs installed. The inventory shall indicate the type of sign, the location of the sign, the date of installation or replacement, the type of sheeting material used on the sign face, the expected life of the sign, and maintenance performed on the sign.

For existing signs, the City will perform an inventory of all signs covered by this policy. The City recognizes this process will occur over time subject to budget and personnel considerations.

REMOVAL OF SIGNS



6.04 SIGN RETRO-REFLECTIVITY MAINTENANCE POLICY
PUBLIC WORKS – STREETS & PARKS
Enabling Legislation: M2018-098
Date Adopted: 09/18/2018
Revised: 11/21/202304/16/24

Excess road signs have been shown to reduce the effectiveness of signage as well as impose an unnecessary financial burden on road authorities. It is the City's policy to remove signs determined to be unnecessary for safety purposes and those which are not required to comply with an applicable state or federal statute or regulation. The removal of signs shall be based on inspection, review of applicability and conformance with the MN MUTCD, and approval from the City Engineer.

RETRO-REFLECTIVITY EVALUATION METHOD

The City will use a blanket replacement method combined with an expected service life method to evaluate and maintain the retro-reflectivity of traffic signs on its roads. All signs in a specific area or corridor, or of a given type, are slated for replacement at the same time, when the effective 15-year service life is reached. If sign sheeting materials improve over time, effective service life of the signs of that material type maybe extended. The City will be divided into ~~ten~~ zones for conducting sign replacement.

LIMITATIONS

While the City fully intends to meet the guidelines established in this policy, there may be times when this is not feasible. Issues including, but not limited to, budget constraints, critical equipment failure, weather, or other emergencies may prevent the City from meeting the guidelines established herein.

EFFECTIVE DATE OF POLICY

This Policy will be effective as of September 18, 2018. Modifications of the Policy will be effective on the date said modifications are approved by the City Council.

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6.05 SNOW AND ICE CONTROL POLICY
PUBLIC WORKS – STREETS & PARKS
Enabling Legislation: M2018-098
Date Adopted: 09/18/2018
Revised: 04/16/24

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PURPOSE

The City of Northfield finds that it is in the best interest of the City to assume basic responsibility for control of snow and ice on City streets.

Reasonable snow and ice control is necessary for the traveling public, movement of goods and services, and emergency services. The City will provide such control in a safe and cost-effective manner, keeping in mind public safety, budget, personnel and environmental concerns. The City will use City employees and equipment and/or private contractors to provide this service.

The City asks that the general public also assume a certain responsibility for themselves and others when walking or operating a motor vehicle in less-than-ideal conditions. Plowing and chemical treatment of the streets and sidewalks/trails does not remove every hazardous condition related to winter travel.

PROCEDURE

The City of Northfield performs snow plowing, snow removal, ice control and associated winter maintenance on the local City streets (7.84 centerline-lane miles), portions of MnDOT TH 19, TH 3 and TH 246 (7.35 center-lane-lane miles), portions of CSAH 28 and CSAH 43 (5.35 center-lane-lane miles), sidewalks adjacent to City property, bituminous trails (31.3 miles) and municipal parking lots.

Under normal conditions, the goal is to have all City streets plowed curb-to-curb approximately 12 hours after cessation of a snow event. The actual completion of plowing may exceed the 12 hours based on the timing, amount of snowfall, blowing and drifting, and/or equipment breakdown.

Snow removal in the Downtown area is performed within 24 hours after the completion of the plowing operation.

Initial trail clearing focuses on areas near schools and City facilities. Remaining trails are cleared within 48 to 72 hours after the cessation of snowfall. The City does not clear all sidewalks/trails to bare pavement.

During normal work hours (Monday – Friday, 7:00 AM – 3:30 PM), the Streets and Parks Supervisor shall be responsible for monitoring streets, sidewalks and weather conditions. The initiation of snow and ice control and removal shall begin as directed by the Supervisor.

After hours, weekends or holidays, the Streets and Parks Supervisor shall work in conjunction with the Police Department to keep abreast of road and/or weather conditions, which would require commencement of snow and ice control. Only the Streets and Parks Supervisor, the Streets and Parks Manager or the Public Works Director is authorized to call out staff for snow and ice control operations.

- Police Department personnel is authorized to call out staff for minor deicing or other minor maintenance issues.



6.05 SNOW AND ICE CONTROL POLICY
PUBLIC WORKS – STREETS & PARKS
Enabling Legislation: M2018-098
Date Adopted: 09/18/2018
Revised: 04/16/24

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OPERATIONS

The City is equally broken down into ~~four~~ five snow plowing districts. Snow and ice control operations for each district are prioritized based on street classification as indicated below.

- First Priority – Arterial and Collector Streets
- Second Priority – Commercial Streets/Downtown Streets
- Third Priority – Residential Streets
- Fourth Priority – Cul-de-sacs and Parking Lots

The City does not clear all streets to bare pavement.

Plowing will not normally begin until a minimum of two inches of snow has accumulated on the streets. Plowing may begin earlier; however, that decision is made based on the severity of the winter event. The timing of plowing depends on the severity of weather, cessation of snowfall and personnel.

Snowplow operations require multiple passes in order to clear the snow from the streets. As a result, residents can expect plows to pass in front of each home at least twice. The first pass will be to move the snow from the center of the road toward the edges. The second pass will move the snow off the street and onto the boulevard.

Snow plowing on State and County roads within the city limits of Northfield is performed by a combination of City and State/County resources. The extent of plowing is detailed in the maintenance agreements between MNDOT and Rice County.

The City will try to accelerate Downtown snow removal in the peak parking demand areas the first overnight of snow removal. These areas include Division Street – 2nd to 7th Street, 4th Street – Division to Washington and Fifth Street – Hwy 3 to Washington St.

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The remainder of Downtown (defined as the area encompassing 2nd Street to 7th Street and Water Street to Washington Street) snow removal will occur the second overnight. (defined as the area encompassing 2nd Street to 7th Street and Water Street to Washington Street) snow removal is normally performed the first morning after all streets have been plowed. For example, if plowing is completed by 11:00 Wednesday morning, downtown snow removal will begin late Wednesday evening/early Thursday morning. Areas of snow removal include sidewalks, roads, and public parking lots. Downtown property owners are not authorized to push their parking lot snow into the street. All downtown snow removal is performed late evening and early morning to reduce the impact to businesses and the citizens living and working downtown.

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Example Snow Events and Downtown Plowing

Example 1: Snow begins in the morning and ends at 10pm



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Crews plow throughout the workday until about 6pm. Roads that were plowed early in the day are snow covered again. Crews return to plow at 3am and plow all streets curb to curb (10-12 hours). Four staff return at midnight to complete first overnight downtown snow removal. 4 staff return at midnight to complete first overnight downtown snow removal.

Example 2: Snow begins 10pm and ends 9am

Two staff in around 4am plowing mains, full plow 9am to 9pm, no staff available to do downtown snow removal at midnight, staff would be in the following midnight to remove downtown snow.

SNOW EMERGENCY

A snow emergency may be declared when at least two inches of snow has fallen. The emergency exists because of snow or other winter related conditions creating a hazardous road condition or impedes the movement of fire, health, police, emergency or other vehicle traffic.

The goal of the announcement is to clear vehicles from streets to allow the safe and effective removal of snow and ice. Additionally, the snow emergency restricts parking in city-owned lots in the downtown area. The snow emergency remains in effect for 72 hours.

No parking is allowed on City streets until the snow emergency has expired or the street has been plowed curb to curb, even if the precipitation has stopped.

Vehicles parked in violation of a snow emergency will be tagged and towed at the owner's expense.

City-issued winter parking permits do not allow parking on the street during a snow emergency.

The City of Northfield publicizes the declaration of a snow emergency in multiple locations.

- City of Northfield website, www.ci.northfield.mn.us
- City of Northfield snow emergency hotline – 507-645-3080
- City of Northfield Facebook Page
- The Northfield News, www.southernminn.com/northfield_news
- KYMN radio, 1080 AM, 95.1 FM, <http://kymnradio.net>
- Sign-up for Snow Emergency Alerts on the City of Northfield website, www.northfieldmn.gov www.ci.northfield.mn.us

RESIDENT INFORMATION

The City of Northfield responds to snow removal issues on a complaint driven basis. Residents having concerns about snow plowing/removal or ice control should contact the Streets and Parks Department at 507-645-3050. The Supervisor will respond to complaints within 48 hours.

The City of Northfield reminds all residents and snow removal operators that it is unlawful, under Minnesota Statute 160.2715, to deposit snow onto public roadways. This includes snow left on the



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roadway as a plow or snow blower enters or leaves a driveway. Piles of snow deposited onto public roadways may re-freeze and create a significant hazard to the travelling public and future snow removal operations. Other hazards created by improper placement of snow on or near a public roadway include drainage problems, drifting, sight obstruction and safe accessibility. Violations are considered a misdemeanor, and civil penalties may apply if the placement of snow creates a hazard that contributes to a motor vehicle crash and or pedestrian injury. The civil liability can extend to both the property owner and the person who places the snow.

Sod damaged during snow plowing operations will be repaired the following spring. The Streets and Parks Department will repair the damage using black dirt and grass seed.

The City of Northfield accepts no responsibility for items placed or damaged on the City right-of-way. These items might be plantings, fences, landscape boulders, timbers, stakes, sprinkler systems, posts, improperly placed mailboxes, and miscellaneous loose items.

The City of Northfield will plow as close as possible to the curb to allow for mail delivery. It shall be the responsibility of the property owner to keep snow away from mailboxes so mail can be delivered.

- If damage occurs to a mailbox, the Streets and Parks Supervisor shall investigate such damage. If it is determined that that weight of the snow caused the damage, the City of Northfield will not assume responsibility for repair of the mailbox. If evidence shows that there was physical contact with the snowplow, the City of Northfield shall provide a \$65.00 payment to the property owner to replace the mailbox. A limited number of temporary mailboxes are available; however, residents should make every effort to replace their mailboxes as soon as possible.
- Mailboxes that do not comply with MN Statute 169.072, MN Rule 8818 and the United States Postal Service (USPS) specifications will relieve the City from any liability.

Damage caused to driveway aprons from snow plowing will be investigated by the City to determine if the damage was caused by plowing operations.

By City Ordinance (Ch. 70 Article I, §70-2), property owners are responsible for removing snow and ice from the sidewalks adjacent to their property within 12 hours after snow or ice precipitation has stopped. If snow and ice are not removed, authorized City personnel may remove it, and the costs for snow removal will be assessed against the property. Residents may report snow/ice covered sidewalks to the Community Development Department (507-645-3044).

Efficient snow plowing requires that garbage and recycling containers not be placed on the street. The containers shall be placed off the street to allow for snow plowing and snow removal operations. The containers may have to be placed at the end of the driveway or in the yard to meet these requirements. It is the property owner's responsibility to see that the containers are accessible for pickup but not in the way for snow plowing operations.

Fire hydrants are critical to minimize the potential loss caused from fire. After snow plowing operations or major buildup of snow around the hydrant, citizens are encouraged to clear a 5-foot area around the hydrant to allow the Fire Department access.



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The City of Northfield implements a winter parking ban on all City streets between the hours of 2:00AM and 6:00AM (Municipal Code Ch. 78, Article IV, § 78-102). The parking ban is in effect from November 15 to March 15. Any vehicles parked on the street at any time of day during a declared Snow Emergency may be towed (Municipal Code Ch. 78, Article IV, § 78-101).

The City offers Parking Permits during the Winter Parking Ban to residents. These winter parking permits do not allow on-street parking during a Snow Emergency. Interested parties must apply for the permit each year and the application must be approved by the ~~Chief of Police~~ Streets and Parks ~~Manager~~ ~~or Manager~~ or designated representative. Permit applications can be obtained from the City of Northfield website or the Engineering Office at City Hall. It is important that applicants provide a detailed explanation of the circumstances that justify a hardship for a permit to be issued. Permits fall into one of three categories explained below.

Commented [CF2]: Still accurate? Change to “Streets and Parks Manager”

- Downtown parking permits are limited to downtown apartments that do not have off-street parking. The downtown winter parking permit allows those residents to park in certain eCity parking lots during a declared snow emergency. It does not exempt downtown residents from normal eCity parking regulations. Property owners are responsible for getting permits and parking instructions to their tenants. Downtown residents have an obligation to be knowledgeable of parking regulations and cognizant of announced snow removal operations, which may require the relocation of their vehicle.
- On-street parking permits allow residents to park on the street during the Winter Parking Ban as long as a snow emergency has not been declared. Applications must be submitted to the City for approval each year. These permits are intended to cover extenuating circumstances for residential properties that do not have adequate off-street parking. Holders of on-street permits must remove vehicles from the streets during a declared snow emergency.
- Temporary on-street parking permits allow on-street parking for short periods (up to two weeks) to accommodate visitors, construction projects, etc. These permits will have a specific start and end date. Holders of temporary on-street permits must remove vehicles from the street during a declared snow emergency. Residents may call the Police Department (507-645-4477) if they will have a visitor for two nights or less.

LIMITATIONS

While the City fully intends to meet the guidelines established in this policy, there may be times when this is not feasible. Issues including, but not limited to, budget constraints, critical equipment failure, weather, or other emergencies may prevent the City from meeting the guidelines established herein.

EFFECTIVE DATE OF POLICY

This Policy will be effective as of September 18, 2018. Modifications of the Policy will be effective on the date said modifications are approved by the City Council.



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6.06 – STREET SWEEPING POLICY
PUBLIC WORKS – STREETS & PARKS
Enabling Legislation: M2018-098
Date Adopted: 09/18/2018
Revised: 11/21/2023 04/16/24

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PURPOSE

The City of Northfield finds that sweeping streets is an important part of street maintenance. Sweeping is necessary for vehicle and pedestrian safety, water quality issues and environmental concerns. The City will provide such service in a safe and cost-effective manner, keeping in mind safety, budget, personnel and environmental concerns. The City will use City employees, equipment and/or private contractors to provide this service.

APPLICATION

This policy applies to City streets. It does not apply to other governmental unit's roads that go through the City (such as County and State roadways) or privately-owned roads within the City, unless there is a specific agreement between the City and that other entity or under emergency conditions.

STREET SWEEPING OPERATIONS

The Streets and Parks ~~Manager~~Supervisor is responsible for coordinating street sweeping operations for the City's street system. The Streets and Parks ~~Manager~~Supervisor will track the progress and the amount of debris that is swept.

First round (Spring) sweeping usually begins late March or early April when streets are generally clear of snow and ice and weather forecasts do not include significant snowfall. The first round of sweeping is typically completed by May, depending on weather.

City streets are swept a second time after all streets have been swept once to sweep up any debris that was missed the first time through. Second sweeping takes less time than the first sweeping.

Fall sweeping will commence mid-October and continue until weather causes operation to cease, such as snow or consistent below-freezing temperatures. Areas with extensive foliage will be swept after most of the leaves have fallen.

The downtown area (2nd St to 7th St and Washington St to Water St) is swept every other week from April ~~through~~ October. This sweeping is done Fridays from 2AM to 7AM.

Citizen requests for sweeping will be evaluated by the Streets and Parks Manager based on safety, environment, personnel and equipment.

Erosion/siltation dirt and debris cleanup from construction projects is the responsibility of the developer, contractor, or property owner. Except in cases of emergency, the streets shall be cleaned and swept by the responsible party within one day of notification. If streets are not swept within the specified time allowed, or in the case of emergency, the City may sweep the street and the responsible party will reimburse the City for all associated costs.



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WEATHER CONDITIONS

Sweeping operations will be conducted as weather conditions permit. Factors that may delay sweeping operations include, but are not limited to:

- Temperatures below freezing
- Wind
- Rain
- Snow
- Frozen gutter lines

WORK SCHEDULE

Sweeping operations are performed in conjunction with and can be impacted by other maintenance operations. Sweeping operations will normally be conducted during a normal work week schedule. Extended workdays and shift changes may be utilized for spring cleanup or emergency sweeping to provide maximum efficiency.

QUANTITY

The City will keep track of how many ton of debris are swept up, along with documenting what streets have been swept.

SIDEWALKS AND TRAILS

The City will sweep trails and sidewalks adjacent to City streets to remove sand and aggregate from the past winter as needed, ~~typically focusing on sidewalks closer adjacent to the roadway and high pedestrian and bicycle use paths. that get debris for winter plowing operations.~~

LIMITATIONS

While the City fully intends to meet the guidelines established in this policy, there may be times when this is not feasible. Issues including, but not limited to, budget constraints, critical equipment failure, weather, or other emergencies may prevent the City from meeting the guidelines established herein.

EFFECTIVE DATE OF POLICY

This Policy will be effective as of September 18, 2018. Modifications of the Policy will be effective on the date said modifications are approved by the City Council.



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6.07 BOULEVARD TREE MAINTENANCE POLICY
PUBLIC WORKS – STREETS & PARKS
Enabling Legislation: M2018-098
Date Adopted: 09/18/2018
Revised: 04/16/24

PURPOSE

The City of Northfield finds that it is in the best interest of the residents for the City to establish and maintain uniform criteria for tree removal, replacement, and maintenance operations. City Code, Chapter 86, Article II, Shade Trees, provides authority and direction for tree removal, replacement, and maintenance.

This policy applies to trees within the public street right-of-way under the jurisdiction of the City. It does not apply to trees entirely on private property or within right-of-way under the jurisdiction of another government agency.

The City will provide such service in a safe and cost-effective manner, keeping in mind safety, budget, personnel and environmental concerns. The City will use City employees, equipment and/or private contractors to provide this service.

SCHEDULE

The Streets and Parks Department maintains a goal to trim 1/10 of the City's boulevard trees yearly. Routine trimming of boulevard trees will typically occur from July 15 through September 30 and from November 1 through April 15. From April 16 through July 14 and during the month October, trimming will generally be limited to the removal of hazardous, broken, or dead limbs to avoid damaging trees. The Streets and Parks Manager may modify tree maintenance schedules as necessary based on weather, available resources, field conditions, tree disease outbreak, hazardous or emergency conditions, or other factors.

TREE MAINTENANCE

Boulevard trees that are dead, diseased, or present a hazard or a public nuisance **will be removed**. Removal of a boulevard tree shall include grinding the stump and restoring the boulevard using topsoil and seed.

All limbs of trees or portions of limbs that overhang public streets, sidewalks or paths and are less than 10 feet above the surface of any public sidewalk or path or are less than 13 feet above the surface of any public street constitute a nuisance. Limbs that overhang a sidewalk or street shall be trimmed to gain proper clearance.

Tree maintenance standards stated above are critical to minimize damage to the tree and maintenance vehicles. These standards are also intended to provide adequate head room for pedestrians and bicyclists.

TREE REPLACEMENT

The City does not replace boulevard trees that are removed because of maintenance activities, severe weather, traffic/safety issues, or diseased trees unless authorized by another policy. The City has an



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annual tree sale for residents to purchase trees or residents may purchase approved boulevard trees from a private vendor. Property owner is responsible for replacement costs related purchasing and installing a new boulevard tree.

LIMITATIONS

While the City fully intends to meet the guidelines established in this policy, there may be times when this is not feasible. Issues including, but not limited to, budget constraints, critical equipment failure, weather, or other emergencies may prevent the City from meeting the guidelines established herein.

EFFECTIVE DATE OF POLICY

This Policy will be effective as of September 18, 2018. Modifications of the Policy will be effective on the date said modifications are approved by the City Council.



7.01 WATER DISTRIBUTION SYSTEM INSPECTION AND MAINTENANCE POLICY
PUBLIC WORKS - UTILITIES
Enabling Legislation: M2018-098
Date Adopted: 09/18/2018
Revised: 04/16/24

PURPOSE

This policy is intended to guide effective and efficient maintenance of the City's public water distribution system. Procedures identified in this policy are intended to maintain the water supply system to provide safe and reliable water service to customers. This policy takes into consideration public safety, the City's budget and personnel, environmental factors, and the cost of implementation. The Public Works Department is responsible for managing the construction, operation and maintenance of the public water distribution system.

SYSTEMS MAPPING AND INVENTORY DATA

The City Public Works Department operates approximately 92 miles of public water mains, 5 water supply wells, 2,119 gate valves and 3 water storage reservoirs within the public water distribution system. The City maintains an official water distribution system map within the City's geographic information system (GIS). The GIS Technician is responsible for annual updates to the system map based on water system construction and replacement work that occurs during the preceding year.

SYSTEM INSPECTION AND MAINTENANCE

Watermains

Water leak detection is performed on approximately 1/5 of the City's watermains each year. This work is conducted to locate and repair leaks in the system. Watermain breaks and leaks occur within public water distribution systems from time to time. Watermain breaks are typically repaired on the day they occur. If a watermain leak occurs in the evening, on a holiday or weekend, the Utilities Division will determine if the repair can be conducted on the following business day during daylight hours.

Due to the time sensitive nature and disruption associated with watermain repairs, the City uses a primary utility repair contractor to repair watermain breaks and leaks on a time-and-expense basis. The Utilities Division will notify residents of main break repairs and will operate the valves to turn the water on and off during repair work. For watermain breaks in the winter months, the final repair of street pavement, curb and boulevard turf may be delayed until the following summer construction season. Boulevard turf repair is typically completed using seed and mulch.

Water Hydrants

Water hydrants are flushed annually to purge discolored (manganese and oxidized iron material) water from the distribution system. This process provides for the inspection of each hydrant to identify repair needs. Any defects or operational issues are documented. Hydrant repairs are completed on a routine basis by City Utilities Division personnel or by contractors. A notice of planned hydrant flushing is placed on the City website and in the monthly utility bill. Some residents may receive rusty water during hydrant flushing, which could stain laundry. The above



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notices include a request that residents check the water before doing laundry during flushing operations.

Control Valves

Inventory data pertaining to water distribution system control valves are stored on the City's GIS system. This inventory data includes the location of all control valves, unique identification number, and any special operational or maintenance issues. All control valves located throughout the water distribution system are inspected and exercised on a four-year cycle. Any defects or operational issues are documented in the water valve database. Non-emergency valve repairs are typically completed in conjunction with annual street improvement projects.

Municipal Supply Wells

Water supply wells that are being used within the active operation matrix are inspected each workday. These well inspections include operation of the well, chemical usage at each well site, monitoring of noise and vibration, review of well run times, general check of programmable logic controller, alarm system checks, general housekeeping and security/lockup of well building or enclosure structure. Annual well inspections are also performed by the Minnesota Department of Health. Active supply wells are continually monitored using the City's Supervisory Control and Data Acquisition (SCADA) system.

Well rehabilitation work is performed on a routine basis to minimize the occurrence of malfunctions. Water supply wells are rehabilitated on an 8-year rotating cycle. Well rehabilitation projects include the removal of the motor, vertical shaft and pump for visual inspection by a licensed well contractor. Defective or deteriorated parts are replaced prior to reinstallation. Pump motors are inspected and repaired by a qualified contractor. The Utilities Division Manager will determine if accumulated sediment needs to be removed from the well cavity (often referred to as "bailing") prior to reinstallation of the well. The cost of this rehabilitation work is included in the annual Water Utility operating budget.

Water Storage Reservoirs

Annual condition inspections are performed on water storage reservoirs by Utilities Division staff. Annual Inspections include the following items:

- Water surface and overflow intake are visually inspected (from top hatch only).
- Access hatches are secured and locked.
- Manways and ladder cages are secured and locked.
- Top vent screens are clean and secure.
- Electrical boxes and components are secure and locked.
- Visible defects of paint coating systems are documented.
- Vegetation and weeds are clear from tank base.



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- Climbing and safety devices are secure.
- Security lighting (where applicable) is operational.

Detailed inspections of the exterior and interior of water storage tanks are performed on a 5-year cycle by an engineering consultant. The purpose of these detailed inspections is to document structural and paint coating defects. Routine maintenance on water storage reservoirs typically occurs based upon the engineering consultant's recommendations.

RECORDS AND DOCUMENTATION

Inspection and maintenance records for the water distribution system are recorded and documented on the electronic recordkeeping system using geographic information system software. The Utilities Division Manager is responsible for supervising the records and documentation for the water distribution system.

LIMITATIONS

While the City fully intends to meet the guidelines established in this policy, there may be times when this is not feasible. Issues including, but not limited to, budget constraints, critical equipment failure, or weather and other emergencies may prevent the City from meeting the guidelines established herein. The Utilities Manager may override provisions established within this policy.

EFFECTIVE DATE OF POLICY

This Policy will be effective as of September 18, 2018. Modifications of the Policy will be effective on the date said modifications are approved by the City Council.



7.02 SANITARY SEWER SYSTEM INSPECTION AND MAINTENANCE POLICY
PUBLIC WORKS - UTILITIES
Enabling Legislation: M2018-098
Date Adopted: 09/18/2018
Revised: 04/16/24

PURPOSE

This policy is intended to guide effective and efficient maintenance of the City’s public sanitary sewer system. Procedures identified in this policy are intended to maintain the sanitary sewer system to prevent sewer backups and to extend the life of the system. This policy takes into consideration public safety, the City’s budget and personnel, environmental factors, and the cost of implementation. The Public Works Department is responsible for managing the construction, operation and maintenance of the public sanitary sewer system.

SYSTEMS MAPPING AND INVENTORY DATA

The City operates approximately 81 miles of public sanitary sewer mains, 1821 manhole structures and one sanitary sewer lift station within its public sanitary sewer system. The City maintains an official sanitary sewer system map within the City’s geographic information system (GIS). The GIS Technician is responsible for annual updates to the system map based on sanitary sewer construction and replacement work that occurs during the preceding year.

SYSTEM INSPECTION AND MAINTENANCE

Components of the sanitary sewer system are inspected and maintained on a routine basis to provide proper operation and conveyance capacity. The Utilities Division Manager is responsible for supervising inspection and maintenance activities for the sanitary sewer system.

Sewer Main Pipes

The City inspects the sanitary sewer mains by television camera. Television inspection is done to determine the condition of the sanitary sewer mains and identify defects including cracks, fractures, separation, or broken segments. Sanitary sewer mains located on a street where a street maintenance project is planned will be inspected before and after such a project. Television inspection may also be used to inspect the system where there are possible problems, including areas containing vitrified clay pipe (VCP) sewer pipes. Approximately 1/6 of the sanitary sewer system mains are televised each year. Sanitary sewer sections identified with significant structural defects or inflow/infiltration are scheduled for rehabilitation. The City uses Cured-in-Place Pipe (CIPP) rehabilitation and excavation/replacement methods for repairing sanitary sewers based on specific site conditions. Sanitary sewer mains in a new development must be televised before said mains are turned over to the City.

The City performs routine maintenance on approximately 1/3 of sanitary sewer mains each year. Routine maintenance includes sewer cleaning and root cutting. Sewer cleaning is performed to remove debris, sediment, and roots that can accumulate within the sanitary sewer system. When roots are identified in the sanitary sewer mains, they are cut. Routine sewer cleaning is scheduled on a rotational cycle, with special emphasis on identified fat/oil/grease (FOG) areas and areas with a



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history of partial blockage as determined by the Utilities Division Manager. Work is typically completed using City-owned sewer jetting and vacuum equipment.

Manholes

The City inspects manhole structures during television inspections and sewer cleaning operations. Maintenance personnel check the following items during maintenance operations: casting condition, adjustment rings for condition and infiltration, structure walls for cracks and infiltration, debris on benches, and debris or blockage of inverts. Manhole structures identified with defects are cleaned or repaired as necessary to prevent inflow, infiltration, or corrosion.

Lift Stations

The City performs regular inspections of its lift station, alarm system, and electrical components. Weekly lift station inspections include manual operation of each pump, monitoring of noise and vibration, review of pump run times, general check of programmable logic controller, and security/lockup of station control panel. Monthly inspections include weekly check items plus visual inspection of wet wells, cleaning and testing of transducers/flight balls, review of set points, and testing of alarm systems. Annual inspections include maintenance on the check valves and inspection of pumps by an outside vendor. The interior of wet wells are cleaned on a routine cycle based on the land use within the service area.

Lift station operations are continuously monitored through the City's Supervisory Control and Data Acquisition (SCADA) system. The SCADA system includes alarm protocols that notify Utility Division personnel by automated telephone contact. Repairs and maintenance of the SCADA system is provided by the City's system integration consultant. The system integration company is available on-call to respond to controller and data communication problems 24 hours per day.

RECORDS AND DOCUMENTATION

Sanitary sewer television inspections, sewer cleaning maintenance activities, and manhole structure repairs are recorded and documented on the City's electronic sanitary sewer record keeping system using GIS software. This program allows for efficient electronic retrieval of maintenance records by Utilities Division personnel. Lift station inspections and maintenance records are stored within the Utilities Supervisor's office and Laserfiche. The Utilities Division Manager oversees the records and documentation for the sanitary sewer system.

LIMITATIONS

While the City fully intends to meet the guidelines established in this policy, there may be times when this is not feasible. Issues including, but not limited to, budget constraints, critical equipment failure, or weather and other emergencies may prevent the City from meeting the guidelines established herein.



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The Public Works Director or Utilities Division Manager may override provisions established within this policy.

EFFECTIVE DATE OF POLICY

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7.03 WATER AND SANITARY SEWER SERVICE MAINTENANCE AND REPAIR POLICY
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PUBLIC WORKS - UTILITIES

Enabling Legislation: M2018-098
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Date Adopted: 09/18/2018

Revised: 04/16/24

PURPOSE

The purpose of this policy is to establish and maintain uniform procedures concerning maintenance and repair of sanitary sewer services and water services within the City of Northfield. Regulations pertaining to water and sewer services are provided in the City Code of Ordinances, Section 82.

DEFINITIONS

The following definitions are hereby established specifically for the purposes of this policy.

Curb Stop. The underground valve located along the water service that is used to terminate water supply to a property or premises.

Curb Stop Box. The port, riser and associated assembly used for access to the underground Curb Stop from the ground surface.

Public Street Right-of-Way. That portion of the surface, air space above the surface, and the area below the surface of any public street, highway, avenue, sidewalk or trail within the City that is owned by, or under control of, the City, or dedicated or otherwise conveyed to the City for general public use by pedestrian or vehicular traffic. The boundary of public street right-of-way is delineated in recorded subdivision plats or legally described in recorded public street easements.

Sanitary Sewer Service and Sewer Line. The segment of sanitary sewer pipe that conveys wastewater from a building structure to the public sanitary sewer main.

Sewer Service Lead. That portion of a sanitary sewer service located within public street right-of-way.

Street Main. Public water distribution infrastructure pipelines and sanitary sewer conveyance infrastructure pipelines (hereinafter *Public Water Main* and *Public Sanitary Sewer Main* respectively) meeting the following criteria: installed pursuant to an agreement with the City; owned and operated by the City; serving or intending to serve more than one property; and located within public street right-of-way or public utility easement.

Water Service and Water Service Line. The segment of water pipe that conveys potable water from a public water main to a building structure.

Water Service Lead. That portion of a water service located within public street right-of-way.



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Revised: 04/16/24

SANITARY SEWER SERVICE MAINTENANCE

Sanitary sewer services require routine monitoring, inspection and maintenance to maintain proper conveyance capacity and prevent sewer obstructions. Common causes of sewer service obstructions include, but are not limited to, root intrusion, debris entering the service, pipe sags, pipe joint failure, pipe fractures, grease and oil accumulation, sediment accumulation and flushing of over-sized objects. The City does not have sufficient access to the interior of private properties to conduct routine maintenance, inspection and monitoring of sanitary sewer services. The property owner, occupant or user of the premises served is responsible to conduct routine inspection, maintenance and monitoring, including root cutting and cleaning, of the sanitary sewer service extending from the premises to the public sewer main. The property owner, occupant or user of the premises served is also responsible for promptly notifying the Public Works Department-Utilities Division if they are experiencing any sanitary sewer backups.

SANITARY SEWER SERVICE REPAIRS

Services Within the Public Street Right-of-Way

The following practices are established for sanitary sewer services connecting directly to public sanitary sewer mains located within the public street right-of-way. After the initial connection has been made to the sewer lead, the property owner, occupant, or user of the premises served shall be liable for all repairs required to any sanitary sewer service necessary for connection of the premises to the sewer lead. For repairs involving excavation of the sanitary sewer service, the City shall conduct repairs to the portion of sanitary sewer service located within the public street right-of-way. The property owner is liable for damage to the sanitary sewer service within the public street right-of-way that is a direct result of conducting cleaning or root cutting of the sanitary sewer service.

Services Outside of the Public Street Right-of-Way

The following practices are established for sanitary sewer services connecting directly to public sanitary sewer mains located within public easement but outside of public street right-of-way. The property owner, occupant, or user of the premises served shall be liable for all repairs required to any sanitary sewer service necessary for connection of the premises to the public sanitary sewer main including repairs to the clean out and service connection fitting, and restoration of streets and ground surfaces.

WATER SERVICE MAINTENANCE AND REPAIR

Services Within the Public Street Right-of-Way

The following practices are established for water services connecting directly to public water mains located within the public street right-of-way. After the initial connection has been made to the water service lead, the property owner, occupant, or user of the premises served shall be



7.03 WATER AND SANITARY SEWER SERVICE MAINTENANCE AND REPAIR POLICY
PUBLIC WORKS - UTILITIES
Enabling Legislation: M2018-098
Date Adopted: 09/18/2018
Revised: 04/16/24

liable for all repairs required to any water service line necessary for connection of the premises to one foot on the street side of the curb stop, including the curb stop. For repairs involving excavation of the water service, the City shall conduct repairs to the portion of water service located within the public street right-of-way.

Services Outside of the Public Street Right-of-Way

The following practices are established for water services connecting directly to water mains located within public easement but outside of public street right-of-way. The property owner, occupant or user of the premises served shall be liable for all repairs required to any water service necessary for connection of the premises to the public water main including repairs to the curb stop, curb stop box, and service connection fitting, corporation stop and restoration of streets and ground surfaces.

EFFECTIVE DATE OF POLICY

This Policy will be effective as of September 18, 2018. Modifications of the Policy will be effective on the date said modifications are approved by the City Council.



7.04 WATER METER INSTALLATION AND REPAIR POLICY
PUBLIC WORKS - UTILITIES
Enabling Legislation: M2018-098
Date Adopted: 09/18/2018
Revised: 04/16/24

PURPOSE

The purpose of this policy is to maintain uniform definitions and procedures concerning installation and repair of water meters within the City of Northfield. Regulations pertaining to water meters in the City of Northfield are provided in the City Code of Ordinances, Section 82.

FURNISHING WATER METERS

Water meters installed on the City’s public water supply system are furnished by the City. Water meters for new installations (i.e., new homes or buildings) are purchased from the City. Replacement meters are furnished at no additional cost, except that whenever a meter has been damaged due to negligence on the part of persons other than the employees of the City, the customer shall reimburse the City for the expense of repairing or replacing the meter.

WATER METER TYPE

The City uses specific models of water meters to provide uniformity and interoperability for water meter reading operations and provide for an efficient data management process. The City furnishes water meters that are equipped with automated meter reading data transmitting capability for commercial, industrial and institutional properties as well as residential properties located within new subdivisions under development. Water meters with exterior registers maybe used for replacement meters on residential properties. Specifications for new water meters are maintained by the Utilities Manager.

WATER METER INSTALLATION

All water meter installations shall conform to the requirements of the Minnesota State Plumbing Code, the City of Northfield Code of Ordinances, and the meter manufacturer's specifications. The following additional installation standards shall apply to water meter installations:

1. The water meter shall be placed at least 12 inches above the floor slab and rigidly supported to prevent vibration.
2. The water meter shall be placed in a location allowing access to and removal of the water meter by Public Works staff.
3. The radio transmitter shall be installed in accordance with the manufacturer’s recommendations and standards established by the Utilities Division Manager.
4. Outside registers or exterior data transmitters shall be easily accessible to meter reading personnel. Outside register or exterior data transmitters shall be at a height of at least 36 inches and no more than 60 inches above the finished grade of the ground surface. The connection wire shall be provided with its own hole when passing through any exterior wall, interior wall, or floor joist of the building.



7.04 WATER METER INSTALLATION AND REPAIR POLICY
PUBLIC WORKS - UTILITIES
Enabling Legislation: M2018-098
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5. The installation of a water meter bypass assembly shall require specific written authorization by the Utilities Division Manager prior to installation. A water meter bypass assembly will not be allowed for most standard service installations. Exceptions may include, but are not limited to, hospitals, nursing homes, large school facilities or medical care facilities in continual operation 24 hours per day.

WATER METER REPAIR

The City Code of Ordinances Section 82 establishes the requirements for the operation and repair of water meters. Most water meters function for many years without the need for repair. In some cases, water meters may stop functioning properly or data communication problems arise that prevent water consumption data from being collected for billing purposes.

The City provides for repair of water meters at no additional cost to customers subject to the conditions described in City Code of Ordinances Section 82. When notified of the need to repair a water meter, most customers cooperate and schedule an appointment to allow Public Works staff to access the property and repair the meter. In some cases, a customer may not respond to the City's request to access the property to repair the meter. The following procedure is followed to respond to water meter repairs:

1. A water meter repair door hanger will be left at the premises of the customer. The door hanger shall provide clear direction that the customer must contact the City to schedule an appointment for the meter repair.
2. If the customer does not contact the City within 10 days following ~~mailing~~ placement of the first door hanger, a second notice shall be left at the premises of the customer. The second door hanger shall contain similar information contained in the first door hanger.
3. If the customer does not contact the City within 10 days following the second door hanger ~~described above~~ placement, a third notice shall be mailed to the customer. The third notice shall include a specified date when the water service may be terminated to the property if the water meter is not repaired. The Utilities Manager shall establish a water service termination date.
4. The Utilities Manager may proceed with water service termination based on professional judgment of the situation if the customer does not respond to the third notice to schedule repair of the water meter by the established deadline. The Utilities Manager shall notify the Public Works Director, City Administrator and City Council prior to proceeding with water service termination under this policy.

The procedures outlined above do not apply to water service terminations in response to emergency situations, delinquent utility payments or other processes related to vacant properties. While the City fully intends to meet the guidelines established in this policy, the Public Works Director or Utilities Manager may authorize immediate water service terminations that may reasonably be determined necessary to protect the integrity of the public water distribution system or sanitary sewer system.



7.04 WATER METER INSTALLATION AND REPAIR POLICY
PUBLIC WORKS - UTILITIES
Enabling Legislation: M2018-098
Date Adopted: 09/18/2018
Revised: <u>04/16/24</u>



7.04 WATER METER INSTALLATION AND REPAIR POLICY
PUBLIC WORKS - UTILITIES
Enabling Legislation: M2018-098
Date Adopted: 09/18/2018
Revised: <u>04/16/24</u>

EFFECTIVE DATE OF POLICY

This Policy will be effective as of September 18, 2018. Modifications of the Policy will be effective on the date said modifications are approved by the City Council.



8.01 DOWNTOWN PRESERVATION DESIGN GUIDELINES POLICY
COMMUNITY DEVELOPMENT
Enabling Legislation: need-enabling legislation N/A
Date Adopted: 10/16/September 16, 2004
Revised: 04/16/24

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PURPOSE

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The purpose of this policy is to provide building preservation and rehabilitation information for property owners within the downtown Northfield Historic District.

GUIDELINES DOCUMENT

The City of Northfield Downtown Preservation Design Guidelines can be found on the City's website.

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IMPLEMENTATION

The written guidelines and visual examples within the ~~document~~is manual are meant to aid those desiring to reuse or rehabilitate a historic property. The illustrations, comprehensive in nature, represent the ideal. At times, because of financial constraints, a property owner may incorporate only part of the plan or undertake long-term phasing of the plan.

This guide is part of a continuing effort to encourage downtown building improvements. It provides information on programs designed to encourage the rehabilitation and preservation of Northfield's commercial architecture.

OPERATIONS

The Historic Preservation Commission uses these guidelines when managing requests for signs and other exterior improvements made to buildings in the Downtown Historic District.

EFFECTIVE DATE OF POLICY

Adopted by the Heritage Preservation Commission on September 16, 2004.

GUIDELINES DOCUMENT

The City of Northfield Downtown Preservation Design Guidelines can be found on the City's website.

HISTORIC DISTRICT BOUNDARIES

The Downtown Preservation Design Guidelines includes an outdated version of the boundary of the local historic district. For the most current boundaries, please see the official [Zoning Map](#).



8.02 ASSIGNING ROADWAY NAMES AND ADDRESSES POLICY
COMMUNITY DEVELOPMENT
Enabling Legislation: M2005-107
Date Adopted: 12/05/2005
Revised: N/A 04/16/24

PURPOSE

The purpose of this Administrative Program for Assigning Roadway Names and Addresses is to establish standards for naming roadways and assigning numbers to all dwellings, principal buildings, businesses and industries; and to assist emergency service agencies, the United Postal Service and the public in the timely and efficient provision of services to residents and businesses of Northfield, Minnesota.

GOALS AND OBJECTIVES

The primary goal of the policy is to provide a complete set of addresses for a timely and efficient response for emergency vehicles and service agencies so citizens and victims can be located in time of an emergency.

Secondary goals include:

1. To improve the quality of life for residents of Northfield through easier delivery of mail and services
2. To make it easier to locate various facilities and businesses of Northfield
3. To provide an accurate address in a timely manner.

The objective is to provide and maintain a consistent and accurate roadway naming and addressing system.

LEGAL AUTHORITY

The Community Development Director, or designee, is hereby authorized and required to assign addresses to all addressable parcels and buildings in the City of Northfield, based on the requirements hereof.

GUIDELINES DOCUMENT

[The Administrative Program for Assigning Roadway Names and Addresses](#) can be found on the City's website.



8.03 AMES PARK TEMPORARY SIGN POLICY
COMMUNITY DEVELOPMENT
Enabling Legislation: NONE Land Development Code 6.11
Date Adopted: 10/01/2018
Revised: N/A 04/16/24

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PURPOSE

The purpose of this policy is to have uniform criteria related to the placement and timeline of banners posted at Ames Park. The objective for the policy is to provide a space for non-profits, event-based activities, or charities to promote activities or events happening within the City of Northfield. Banners are to be used for noncommercial and nonpolitical purposes only.

SCHEDULING OF BANNER SPACE

1. A time-line for the display will be given and must be followed. Failure to do so will result in the loss of future use of the area for display.
2. Signs may not be posted longer than 14 days prior to the event and must be removed by 12:00 AM on the last day approved for display. If the sign is not removed on time, the next group may remove the previous banner to hang their own.
3. The sign is allowed for a maximum of 28 days within any single 12-month period.
4. Applications are not accepted more than three months prior to the date of the event.
5. Defeat of Jesse James Days is the City of Northfield's annual celebration – the Ames Park Banner will be reserved for this event the week before Labor Day and throughout the event.

COST

No fee is required.

OTHER REQUIREMENTS

1. Applicant must **submit The Ames Park Temporary Sign Permit** ~~submit an application with and include~~ a rendering or picture of the proposed sign ~~on the Planning & Zoning City website page to the Community Development Department.~~
2. All signs must be either for a non-profit, event-based activity or for charity within the City of Northfield.
3. Signs must be attached to and not damaging the existing posts. The size of the sign must fit within the parameters of the City installed posts that are 6 ft. tall and 12 ft. apart.
4. Sign may not be installed until ~~written~~ approval is received from the Community Development Department.
5. Submittal of the application and sign rendering may be dropped off at City Hall, mailed in or electronically submitted to **Administrative Associate, Kari Bonde at kari.bonde@northfieldmn.gov. Mikayla Schmidt at Mikayla.schmidt@ci.northfield.mn.us**

OPERATIONS



8.03 AMES PARK TEMPORARY SIGN POLICY
COMMUNITY DEVELOPMENT
Enabling Legislation: NONE Land Development Code 6.11
Date Adopted: 10/01/2018
Revised: N/A 04/16/24

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The Community Development Department manages the requests to hang signs at Ames Park. [The Ames Park Temporary Sign Permit can be found on the City's website.](#) ~~Currently, Mikayla Schmidt~~[Community Development Administrative Associate takes in the applications and schedules the requests accordingly.](#)



8.03 AMES PARK TEMPORARY SIGN POLICY
COMMUNITY DEVELOPMENT
Enabling Legislation: NONE Land Development Code 6.11
Date Adopted: 10/01/2018
Revised: N/A 04/16/24

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EFFECTIVE DATE OF POLICY

There is no effective date of this policy. This is an internal policy, based off language in the Land Development Code, used ~~byte-be~~ staff in the Community Development Department to implement the use of the Ames Park banner location.

ATTACHMENT

~~The Ames Park Temporary Sign Permit can be found on the City's website.~~



8.04 PROMOTIONAL TEMPORARY SIGN PERMIT POLICY
COMMUNITY DEVELOPMENT
Enabling Legislation: <u>Land Development Code 6.11</u> NONE
Date Adopted: 01/16/2019
Revised: N/A <u>04/16/24</u>

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PURPOSE

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The purpose of this policy is to have uniform criteria related to the placement and timeline of banners posted on private property outside of the right-of-way. The objective for the policy is to provide a space for non-profits, event-based activities, or charities to promote activities or events happening within the City of Northfield. Banners are to be used for noncommercial and nonpolitical purposes only.

This option to post banners on private property is a productive alternative to Ames Park location. The Ames Park banner space is often reserved three months in advance ~~of~~to the date of the event. This makes it difficult for all community organizations to utilize the space because some events overlap. Property owners are receptive and willing to accommodate these groups to promote their event. A signature must be obtained from the property owner to ensure the organization has requested and been granted permission to post their sign/banner.

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SCHEDULING OF BANNER SPACE

1. A time-line for the display will be given and must be followed. Failure to do so will result in the loss of future use of the area for display.
2. Signs may not be posted longer than 14 days prior to the event and must be removed on the last day approved for display.
3. The sign is allowed for a maximum of 28 days within any single 12-month period.
4. Applications are not accepted more than three months prior to the date of the event.

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COST

No fee is required.

OTHER REQUIREMENTS

1. Applicant must submit an application and include with a rendering or picture of the proposed sign to the Community Development Department. The Promotional Temporary Sign Permit application can be found on the City's website.
- ~~2. All signs must be either for a non-profit, event based activity or for charity within the City of Northfield.~~
- ~~3.~~2. Sign may not be installed until written approval is received from the Community Development Department.
- ~~4.~~3. Sign must be posted on private property, outside of the right-of-way, and not impede visibility for vehicles or walkways for pedestrians.
- ~~5.~~4. Submittal of the application and sign rendering may be dropped off at City Hall, mailed in or electronically submitted to the Community Development Administrative Associate.

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8.04 PROMOTIONAL TEMPORARY SIGN PERMIT POLICY
COMMUNITY DEVELOPMENT
Enabling Legislation: <u>Land Development Code 6.11</u> NONE
Date Adopted: 01/16/2019
Revised: N/A <u>04/16/24</u>

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8.04 PROMOTIONAL TEMPORARY SIGN PERMIT POLICY
COMMUNITY DEVELOPMENT
Enabling Legislation: <u>Land Development Code 6.11</u> NONE
Date Adopted: 01/16/2019
Revised: N/A <u>04/16/24</u>

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OPERATIONS

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The Community Development Department manages the requests to post signs on private property to promote events. The Community Development Administrative Associate takes in the applications ~~and schedules the requests accordingly.~~

EFFECTIVE DATE OF POLICY

There is no effective date of this policy. This is an internal policy, based off language in the Land Development Code, used ~~to~~ by staff in the Community Development Department to implement the use of posting ~~banners~~ temporary signs on private property.

ATTACHMENT

~~The Promotional Temporary Sign Permit application can be found on the City's website. (NOTE: the policy and the Permit application are currently together on this link; you have to scroll down to find the application.)~~

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8.05 MAIN STREET POLICY
COMMUNITY DEVELOPMENT
Enabling Legislation: M2022-125
Date Adopted: 10/04/2022
Revised: 04/16/24

PURPOSE

The goal of this policy is to coordinate the administration of Northfield’s Main Street accreditation program with the Friends of Downtown Northfield (an assumed business name of the Northfield Downtown Development Corporation). The Friends of Downtown Northfield (“FODN”) became a Main Street designated program in 2018 and achieved national accreditation in 2021. In 2022, the City of Northfield (“City”) restructured its relationship with FODN and took on additional responsibility in administering the local main street program in collaboration with FODN.

The City’s vision is, “Northfield is an open, safe, and welcoming community, recognized for its world-class colleges and historic riverfront downtown, and is dedicated to sustainably enhancing and preserving its vibrant culture, celebrated arts, strong economy, and an excellent quality of life where all can thrive.” FODN’s mission is, “It is the mission of the Friends of Downtown Northfield to ensure a vibrant and vital downtown by amplifying the voice of downtown business owners, building owners and other stakeholders.” Together, both the City and FODN have a mutual mission of maintaining Main Street accreditation and to utilize the proven Main Street Four-Point Approach® to organize for success, improve the design of and promote the historic district, and enhance the economic base of the local district.

The objective of this Main Street policy is for the City and FODN to collaboratively advance shared prosperity, create a resilient economy, and improve quality of life through place-based economic development and community preservation in downtown Northfield. Both the City and FODN have a shared interest in advancing the downtown and to take on shared responsibility.

DEFINITIONS

For the purposes of this policy, the following words and phrases shall have the following meanings:

1. “Downtown Northfield” is defined as the Downtown (C-1) Zoning District.
2. “FODN” stands for Friends of Downtown Northfield, also known as the Northfield Downtown Development Corporation, a 501(c)(3) nonprofit organization.
3. “Rethos” is a 501(c)(3) nonprofit that is designated by the National Main Street Center, Inc. as Minnesota Main Streets’ coordinating program.



8.05 MAIN STREET POLICY
COMMUNITY DEVELOPMENT
Enabling Legislation: M2022-125
Date Adopted: 10/04/2022
Revised: 04/16/24

MAIN STREET PROGRAM BACKGROUND

Main Street America (“Main Street”) is a program of the nonprofit National Main Street Center, Inc., a subsidiary of the National Trust for Historic Preservation. Rethos, formerly the Preservation Alliance of Minnesota, is a 501(c)(3) nonprofit corporation and is a Main Street America™ Coordinating Program.

The Main Street Approach is centered around Transformation Strategies. A Transformation Strategy articulates a focused, deliberate path to revitalizing or strengthening a downtown or commercial district’s economy. A program’s work on Transformation Strategies should be organized around the Four Points: Economic Vitality, Design, Promotion, and Organization. A revitalization program’s work – and its Transformation Strategies – need to be informed by a solid understanding of local and regional market data, and sustained and inclusive community engagement.¹

The Main Street America Four Points are described as follows:

- *Economic Vitality* focuses on capital, incentives, and other economic and financial tools to assist new and existing businesses, catalyze property development, and create a supportive environment for entrepreneurs and innovators that drive local economies.
- *Design* supports a community’s transformation by enhancing the physical and visual assets that set the commercial district apart.
- *Promotion* positions the downtown or commercial district as the center of the community and hub of economic activity, while creating a positive image that showcases a community’s unique characteristics.
- *Organization* involves creating a strong foundation for a sustainable revitalization effort, including cultivating partnerships, community involvement, and resources for the district.¹

Broadly, the Main Street Four-Point Approach® is split between the City and FODN, where the City takes lead responsibility for the Economic Vitality and Design points and FODN takes lead responsibility for the Promotion and Organization points.

~~Administration of Main Street Program~~ **ADMINISTRATION OF MAIN STREET PROGRAM**

The City and FODN will collaborate to efficiently use resources and coordinate Northfield’s Main Street program. The City and FODN will each independently take on the following responsibilities.

¹ <https://www.mainstreet.org/mainstreetamerica/theapproach>



8.05 MAIN STREET POLICY
COMMUNITY DEVELOPMENT
Enabling Legislation: M2022-125
Date Adopted: 10/04/2022
Revised: 04/16/24

All Main Street America™ Accredited programs meet a set of National Accreditation Standards of Performance as outlined by the National Main Street Center. The baseline requirements for accreditation include:

- A Board of Directors formed by a representative base of the district stakeholders and community members, dedicated to leading the district’s Main Street program.
- Communities over 5,000 in population must employ a FTE program director. Communities under 5,000 in population must employ a 20-hour minimum per week program director.
- Identified Transformation Strategy to direct the work of the program, based on community input and market understanding.
- Detailed work plans aligned with the selected Transformation Strategy that outline programming across the Main Street Four Points. Work plans include: the project, expected (measurable) outcomes, specific tasks needed to accomplish the project, assignments of those tasks showing volunteer and staff responsibilities, timelines, and budgets.
- A dedicated budget for the district’s revitalization programming and the Main Street program’s operations.
- Demonstrated support from municipality for the Main Street program. This can include leadership participation, funding, in-kind, and/or philosophical support.
- Reinvestment statistics reported as required by Coordinating program (monthly, quarterly, or annually.)
- Be a member in good standing with Main Street America and use the Main Street America logo on its webpage and/or social media as well as the coordinating program logo.

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In addition to the baseline requirements, there are additional standards used to annually review designations and accreditation. Main Street America is currently updating the standards and those changes are anticipated to be integrated by the end of 2023. Rethos, as Minnesota’s Main Street Coordinating program, also has the authority to request additional information to determine Main Street eligibility.

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City Responsibilities (within budgetary restrictions as set annually by the City Council)

1. The City will staff a full-time equivalent staff person ("Main Street Director") to administer the Main Street program.
2. The City will work with FODN to develop work plans to maximize and coordinate the work of both the City and FODN on the Main Street Program.
3. The Main Street Director will provide the quarterly and annual reporting to Rethos, the Minnesota Main Street Coordinating program.
4. The Main Street Director will attend the monthly Minnesota Main Street conference calls.
5. The Main Street Director, and/or a FODN board member, will attend any required trainings or conferences.

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8.05 MAIN STREET POLICY
COMMUNITY DEVELOPMENT
Enabling Legislation: M2022-125
Date Adopted: 10/04/2022
Revised: 04/16/24

6. The Main Street Director will serve as a non-voting liaison to the FODN Board of Directors, attending FODN Board meetings and will make regular monthly reports to the FODN Board.
7. The Mayor may, with Council approval, appoint a Council member to serve as serve as a non-voting liaison to the FODN Board of Directors, and in such capacity the same may attend FODN Board meetings.
8. The City will pay for the annual membership to Rethos and Main Street America with the City being a member of such Main Street America Program receiving services, resources and advice through such membership for the betterment of downtown Northfield and the Historic District.
9. Any other duties as required to maintain accreditation or as directed by the City Council.

FODN Responsibilities

1. FODN will recruit and train volunteers and maintain an active Board of Directors.
2. FODN will assist the Main Street Director in carrying out the annual work plan, reporting statistics, and any other requirements to maintain accreditation.
3. FODN will fundraise for and maintain a budget to implement the annual work plan. FODN may apply for grants to support downtown development and programming.
4. FODN will employ volunteers to coordinate communication between downtown stakeholders and the City.
5. FODN will include an online presence with information dedicated to the Main Street Program, including any logo licensing requirements specified by Main Street America and Rethos. FODN will use their online presence in the promotion of downtown events and information relevant to downtown visitors and stakeholders.
6. FODN will provide regular updates to the Main Street Director and City Council liaison and will annually in the month of February provide a report of its activities to the City Council and the community at large.
7. Any other duties as required to maintain accreditation.

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CONTACTS~~Contacts~~

For the City, the main point of contact is the Assistant City Planner/Main Street Director. For FODN, the main point of contact is the Board President. If there are any questions about the Main Street Policy, please contact:

Assistant City Planner
City of Northfield
801 Washington St.
Northfield, MN 55057

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8.05 MAIN STREET POLICY
COMMUNITY DEVELOPMENT
Enabling Legislation: M2022-125
Date Adopted: 10/04/ <u>2022</u>
Revised: <u>04/16/24</u>

Phone: 507-645-3041

Email: cdv@ci.northfield.mn.us

Friends of Downtown Northfield

PO Box 403

Northfield, MN 55057

Email: info@nddc.org

Website: <https://downtownnorthfield.org/>

II. REVIEW AND MODIFICATION OF THE POLICY~~Review and Modification of the Policy~~

The Policy will be reviewed periodically. Any review will consider the input from the FODN and any changes to the Main Street Program. The City Council may modify, amend or terminate this Policy at any time in the City Council's sole discretion.

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III. LIMITATIONS~~Limitations~~

While the City fully intends to meet the guidelines established in this policy, there may be times when this is not feasible. Issues including, but not limited to, budget constraints or emergencies may prevent the City from meeting the guidelines established herein.

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IV. Definitions

For the purposes of this policy, the following words and phrases shall have the following meanings:

1. "Downtown Northfield" is defined as the Downtown (C-1) Zoning District.
2. "FODN" stands for Friends of Downtown Northfield, also known as the Northfield Downtown Development Corporation, a 501(c)(3) nonprofit organization.
3. "Rethos" is a 501(c)(3) nonprofit that is designated by the National Main Street Center, Inc. as Minnesota Main Streets' coordinating program.

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1.058.06 SUSTAINABLE BUILDING POLICY
COMMUNITY DEVELOPMENT – PLANNING
Enabling Legislation: R2022-001
Date Adopted: 01/04/2022
Revised: 06/20/2023 04/16/24

VISION AND PURPOSE

The Northfield community is dedicated to building a sustainable environment where current and future generations benefit from climate and community resiliency, as reflected in the City's Climate Action Plan. In particular, the City recognizes the risks of climate change and has set a goal of being a carbon free city by 2040. Since the built environment is a significant contributor to Northfield's carbon footprint, it is important that new developments are built to minimize emissions and environmental impact during construction as well as the operation of buildings. For developments that seek City funding incentives, it is reasonable that they meet set sustainability requirements in service to those goals. As such, the City of Northfield adopts the following Sustainable Building Policy.

DEFINITIONS

FOR THE PURPOSES OF THIS POLICY, the following words and phrases shall have the following meanings:

Coordinator means the Sustainability Coordinator or their designee.

Developer means the entity, whether public or private, that undertakes New Construction or Major Renovation projects, and to whom the provisions of this policy apply.

Facilities means physical buildings or structures, either conditioned or non-conditioned, including but not limited to offices, retail stores, parking garages, maintenance buildings, warehouses, apartments, townhomes, single family homes, schools, and park recreational buildings.

Financial Assistance means funds provided for New Construction or Major Renovations projects provided by agreement from the City of Northfield, Northfield Economic Development Authority (EDA), and/or the Northfield Housing and Redevelopment Authority (HRA), including:

- a. Tax Increment Financing (TIF)
- b. HRA Funds
- c. EDA grants and forgivable loans
- d. Land write downs
- e. Bonds
- f. Tax abatement
- g. Low-income housing tax credit
- h. MIF
- i. Conduit financing
- j. Other funds requiring approval by the City of Northfield, Northfield EDA and Northfield HRA



1.058.06 SUSTAINABLE BUILDING POLICY
COMMUNITY DEVELOPMENT – PLANNING
Enabling Legislation: R2022-001
Date Adopted: 01/04/2022
Revised: 06/20/2023 04/16/24

Notwithstanding the above, Financial Assistance does not include environmental remediation funds, including but not limited to, Department of Employment and Economic Development (DEED) Cleanup and Investigation Grants.

Financial Tier 1 means any combination of Financial Assistance totaling between \$150,000 and \$300,000.

Financial Tier 2 means any combination of Financial Assistance totaling more than \$300,000.

Major Renovation Project means renovation work performed on an existing building or portion thereof consisting of at least 10,000 square feet for non-municipal buildings and 2,500 square feet for municipal buildings, and requiring installation of new mechanical, ventilation, or cooling systems, or the replacement of such systems.

New Construction Project means the planning, design, construction and commissioning of a new building, or an addition of at least 10,000 square feet to an existing building if such addition requires installation of new mechanical, ventilation, or cooling systems.

Sustainable Building Rating System means any of the following:

1. LEED – minimum of Silver
2. State of Minnesota B3 Guidelines; Certified Compliant
3. Green Communities; Certified
4. MN Green Communities, if receiving MN Housing funds
5. Parksmart – minimum Silver Certified
6. Equivalent substitute standards may be utilized at the discretion of the Coordinator

Northfield Green Requirements (NGR) means specific measurable standards that New Construction and Major Renovations must meet regardless of sustainable rating system, and which are to be communicated by the Coordinator to the applicant. The NGR includes the following and cannot be altered without Council approval:

1. Predicted greenhouse gas emissions - calculated based on predicted energy use, as ascertained through the sustainability rating system modeling, using utility emissions factors and reported to the City in metric tons of CO₂e
2. Energy efficiency standard
 - a. For residential New Construction and Major Renovation projects:
 - I. US Department of Energy Zero Energy Ready Homes or higher within the US Department of Energy's family of standards, or
 - II. Passive House Institute US (PHIUS), or
 - III. Passive House standard for all other residential and commercial New Construction and Major Renovation projects: Sustainable Buildings 2030



1.058.06 SUSTAINABLE BUILDING POLICY
COMMUNITY DEVELOPMENT – PLANNING
Enabling Legislation: R2022-001
Date Adopted: 01/04/2022
Revised: 06/20/2023 04/16/24

b. For all commercial New Construction and Major Renovation projects:

I. Sustainable Buildings 2030 standard through design and operation with a payback period of 15 years, or

II. Demonstrate an improvement of 50% in the proposed building performance rating compared with the baseline building performance rating. Calculate the baseline building performance according to ANSI/ASHRAE/IESNA Standard 90.1–2010, Appendix G using a simulation model.

III.

a. Renewable energy standard

3.

b-a. Conduct economic and technical evaluation of providing 2% of building energy load with on-site renewables

c-b. Install, if cost-effective, using the B3 Levelized Cost of Energy Analysis

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DIRECTIVES

This policy applies to all of the following new construction and major renovation projects:

1. Facilities owned or operated by the City of Northfield or the HRA.
2. Facilities of which the City or HRA are, or will become, the sole tenant.
3. Facilities within the City of Northfield receiving Financial Assistance given the following:
 - a. Financial Tier 1 – must comply with the policy, unless the applicant can prove that it is not feasible to comply. Facilities must approach design in a good faith attempt to comply with the policy and complete pro forma to prove when not feasible to comply.
 - b. Financial Tier 2 – must comply with the policy.

This policy applies to projects with development applications received after the policy adoption date.

THE POLICY

New Construction or Major Renovations to which this Policy applies are required to be certified under an eligible Sustainable Building Rating System at the listed rating level and must meet the standards set forth in the NGR. Applicable versions of Sustainable Rating Systems and NGR standards include the most recent or current iteration of a rating system in existence at the time of Financial Assistance application.

For any projects to which this Policy applies, compliance must be a condition of receipt of Financial Assistance.

Buildings will not advance to the next stage of construction or operation, including necessary permit issuance or certificates of occupancy, without demonstrated, ongoing compliance with this Policy.



4.059.01 TAX INCREMENT POLICY

ECONOMIC DEVELOPMENT AUTHORITY

Enabling Legislation: M1987-436

Date Adopted: 12/21/87

Revised: 04/19/22; 02/06/2404/16/24

PURPOSE

The purpose of this policy is to establish the City's position as it relates to the use of tax increment financing for private and public development. This policy shall be used as a guide in processing and reviewing applications requesting tax increment assistance.

The fundamental purpose of tax increment in Northfield is to encourage desirable development or redevelopment that would not otherwise occur *but for* the assistance provided. The City shall have the option of amending or waiving sections of this policy when appropriate.

STATUTORY LIMITATIONS

In accordance with the tax increment policy, tax increment financing requests must comply with applicable state statutes. The City is governed by the limitations established in the Minnesota Tax Increment Financing Act (M.S. § 4.69.174-496.1791, as amended) for all districts created after August 1, 1979.

DEFINITIONS

The following definitions are used in the Minnesota Tax Increment Financing Act (M.S. § 4.69.174-496.1791, as amended). They are defined here for tax increment project discussion purposes.

Tax Increment financing (TIF) is a financing tool meant to support local economic development, redevelopment, and housing development that would not otherwise occur without assistance. As its name suggests, TIF uses the incremental property taxes, or "tax increments," generated by the increased taxable value of a new development to help finance qualifying costs. TIF is not a tax reduction; taxes are paid on the full taxable value. The original taxable value continues to be part of the tax base that supports the tax levies of the city, county, school district, and other taxing jurisdictions. The new, additional value from development activity is "captured" from the tax base for the duration of the TIF district. After the TIF district is terminated, or "decertified," the captured value becomes part of the tax base.

Redevelopment area means a depressed area within the territorial boundaries of any municipality or group of municipalities of the state reasonably defined by the local or area redevelopment agency wherein critical conditions of unemployment, underdevelopment, economic depression, depletion of natural resources, or widespread reliance on public assistance are found to exist by the municipality or municipalities.

Redevelopment projects includes the acquisition of land, stabilizing unstable soils when infill is required, demolition, infrastructure improvements and ponds or other environmental infrastructure.



4.059.01 TAX INCREMENT POLICY

ECONOMIC DEVELOPMENT AUTHORITY

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Tax increment financing district means a contiguous or noncontiguous geographic area within a project delineated in the in the tax increment financing plan, as provided by section 469.175, subdivision I, for the purpose of financing redevelopment, housing or economic development in municipalities through the use of tax increment generated from the captured net tax capacity in the tax increment financing district.

Economic development district means a type of tax increment financing district that consists of any project, or portions of a project, which the authority finds to be in the public interest because:

1. it will discourage commerce, industry, or manufacturing from moving their operations to another state or municipality; or
2. it will result in increased employment in the state; or
3. it will result in preservation and enhancement of the tax base of the state.

Redevelopment districts are intended to correct negative land value where the costs of acquisition, demolition, infrastructure and environment cleanup exceed the value of the land. Redevelopment districts are limited to “blighted” areas. Minnesota law specifies criteria for blight determination: 70% of the parcels in the district must be occupied by buildings, streets, utilities or improvement and more than 50% of the buildings, not including outbuildings, are structurally substandard to a degree requiring substantial renovation or clearance.

Renewal and renovation district means a type of tax increment financing district consisting of a project, or portions of a project, within which the authority finds by resolution that:

1. 70 percent of the area of the district must be occupied by buildings, streets, utilities, or other improvements;
2. 20% of the buildings are structurally substandard; and
3. 30% of the other buildings require substantial renovation or clearance.

Housing district means a type of tax increment financing district which consists of a project intended for occupancy, in part, by persons or families of low and moderate income, as defined in chapter 462A, Title II of the National Housing Act of 1934, the National Housing Act of 1959, the United States Housing Act of 1937, as amended, Title V of the Housing Act of 1949, as amended, any other similar present or future federal, state, or municipal legislation, or the regulations promulgated under any of those acts.

Soils condition district means a type of tax increment financing district consisting of a project, or portions of a project, within which the authority finds by resolution that the following conditions exist:

1. The presence of hazardous substances, pollution, or contaminants requires removal or remedial action for use;
2. The estimated cost of the proposed removal and remedial action exceeds the fair market value of the land before completion of the preparation.



4.059.01 TAX INCREMENT POLICY

ECONOMIC DEVELOPMENT AUTHORITY

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Increment is the increase or difference between the property tax on a parcel of land prior to development and the property taxes after development is complete. By State law increment is also considered as “tax increment revenues,” “revenue derived from tax increment,” and other similar terms for a district also include:

1. Taxes paid by the captured net tax capacity, but excluding any excess taxes, as computed under section 469.177;
2. The proceeds from the sale or lease of property, tangible or intangible, purchased by the authority with tax increments;
3. Repayments of loans or other advances made by the authority with tax increments; and
4. Interest or other investment earnings on or from tax increments.

ELIGIBLE USES FOR TAX INCREMENT FINANCING

Due to limited resources, high priority will be given to priority development or redevelopment sites. As a matter of adopted policy, the City will consider using tax increment financing to assist private and public developments only in those circumstances in which the proposed private projects meet one or more of the following uses:

1. To redevelop blighted or under-utilized areas of the community;
2. To accelerate the development or redevelopment on sites which would not be developed without this assistance on blighted or under-utilized property; or
3. To meet the following housing-related uses:
 - a. To provide a diversity of housing adjacent to the downtown area;
 - b. To provide a variety of housing ownership alternatives and housing choices within the City;
 - c. To promote affordable housing for low-or-moderate-income individuals within the City, generally 80% of the Dakota County median income as adjusted for family size and pursuant to State statute; or
 - d. To promote neighborhood stabilization and revitalization by the removal of blight and the upgrading in existing housing stock in residential areas.
4. To remove blight and encourage redevelopment in the commercial and industrial areas of the City in order to encourage high levels of property maintenance and private reinvestment in those areas;
5. To increase the commercial/industrial tax base of the City in order to ensure the City’s long-term ability to provide adequate services for its residents while lessening the reliance on residential property tax;
6. To retain local jobs, increase the local job base, and provide diversity in the job base (See 9.03 Business Subsidy Policy);
7. To increase the local business and job opportunities;



4.059.01 TAX INCREMENT POLICY
ECONOMIC DEVELOPMENT AUTHORITY
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8. To provide adequate short-term business and shopper parking, and resident parking;
9. To encourage additional unsubsidized private development in the area, either directly or through secondary “spin-off” development;
10. To promote the potential future usage of a public transit system light/commuter rail line through maximizing the development potential of parcels adjacent to the system stations;
11. To offset increased costs of redevelopment, over the above those costs that a developer would incur in normal urban and suburban development such as brownfield development or increased costs for blight removal and demolition;
12. To meet other uses of public policy, as adopted by the Council from time to time, including promotion of quality urban design, quality architectural design, energy conservation.

TAX INCREMENT PROJECT APPROVAL CRITERIA

All new projects approved by the City shall meet the following minimum approval criteria. However, it should not be presumed that a project meeting these criteria will automatically be approved. Meeting these criteria creates no contractual rights on the part of any potential developer.

1. The tax increment financing assistance shall be provided within applicable state legislative restrictions, debt limit guidelines, and other appropriate financial requirements and policies.
2. The project should meet one or more of the above adopted tax increment eligible uses as stated above in Section 4, “Eligible Uses for Tax Increment Financing”.
3. The project must be in accordance with the Comprehensive Plan and Zoning Ordinances, or required changes to the Plan and Ordinances must be able to be approved by the City subsequent to the tax increment approval. Tax increment approval will be subject to the approval of the necessary land use approvals.
4. Tax increment financing assistance will not be provided to projects that have the financial feasibility to proceed without the benefit of tax increment financing. The developer shall provide the City with a project financial pro-forma and a development budget at the time of application. In effect, tax increment financing assistance will not be provided solely to broaden a developer’s profit margins on a project.
5. Prior to approval of a tax increment financing plan, the developer shall provide any required market and financial feasibility studies, appraisals, soil boring information for the project, and other information or data that the City or its financial consultants may require in order to proceed with an independent underwriting.
6. To ensure cash flows are adequate, projects receiving tax increment financing assistance should normally have a 1.2:1 debt service coverage ratio (a ratio of funds projected to be available to funds required for debt service).
7. The developer should provide adequate financial guarantees to ensure the repayment of the tax increment financing subsidy. These may include, but are not limited to, assessment agreements, letters of credit, etc.



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8. Any developer requesting tax increment financing assistance should be able to demonstrate past successful general development capability as well as specific capability in the type and size of development proposed. The developer shall submit a list of qualifications and references.
9. The developer should retain ownership of the project at least long enough to complete the project, to stabilize its occupancy, to establish the project management, and to insure repayment of the tax increment financing.
10. The level of tax increment financing funding should be reduced to the lowest possible level by maximizing the use of private debt and equity financing first, and then using other funding sources or income-producing vehicles that can be structured into the project financing, prior to using additional tax increment financing funding.
11. Tax increment assistance will be provided upon receipt of taxes by the City, otherwise referred to as the pay-as-you-go method whenever possible. Requests for upfront financing will be discouraged.

The applicant, the proposed project, and its application process shall comply with State Statutes, 469.175, regarding the use of tax increment financing. All consultants representing the applicant shall be separate and independent from the City. All materials and applications supplied by the applicant or its consultants shall become the property of the City. No assurances of approvals are implied or possible through the application or review process.

The City shall be reimbursed by the applicant for all costs incurred by the City in the preparation and review of the proposal. The applicant shall deposit with the City a non-refundable administrative/application fee as requested by the City Council. Prior to final approval of the tax subsidy, the City Finance Director shall certify any additional costs not covered by the administrative or application fees, which shall be paid to the City prior to final approvals by the City. No construction shall be done prior to final approval of the tax increment subsidy plan.

The City reserves the right to deny any application for financing at any stage of the tax increment review or hearings prior to the adoption of the final approval authorizing the issuance of the loan. The City reserves the right to select a third party to assist in the management of the tax subsidy process.

Proposals shall include a description of all direct and indirect service and improvement costs to the City, School District and County caused by this project.

TAX INCREMENT PROJECT EVALUATION CRITERIA

The fact that a given proposal meets the Approval Criteria in Section 5, "Tax Increment Project Approval Criteria", does not mean that it is entitled to funding under this policy, but rather that the City is in a position to proceed with evaluations of various tax increment financing proposals, using uniform standards whenever possible.

The following are the evaluation criteria that will be used by the City:



4.059.01 TAX INCREMENT POLICY

ECONOMIC DEVELOPMENT AUTHORITY

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1. All tax increment financing proposals should optimize the private development potential of a site within site plan review criteria.
2. The developer shall demonstrate that the project is not financially feasible *but for* the tax increment financing provided.
3. All tax increment financing proposals should obtain the highest possible private-to-public financial investment ratio. The Council establishes a benchmark ratio of a minimum of 4 parts private and other funding to 1 part tax increment funding for industrial and commercial projects. Housing, redevelopment and mixed-use projects shall be reviewed on an individual basis.
4. All City assisted projects will follow the Northfield Business Subsidy Policy (9.03) as required by the State of Minnesota Statutes, Sections 1 16J.993 through 1 16J.995 and as established by Northfield City Council.
5. Housing Projects will target a portion of increment to create housing for families at or below 80% of the area median income level as determined by HUD and as defined in the Northfield Community Development Block Grant Program.

APPLICATION PROCESS FOR TAX INCREMENT FINANCING

1. Complete application submitted with all application fees. Fees will include:
 - A non-refundable application fee of \$250.00, and
 - A refundable processing fee of one percent (1%) of request amount will be prorated to cover staff or consultant time if the application is denied by the City or withdrawn by the applicant. The actual cost of searches, credit reports, filing fees and legal fees will be paid directly by the applicant. Fees will be waived if the City of Northfield or City agency serves as the developer.
2. All applicants must demonstrate, through financial projections, that the cash flow of the project is sufficient to cover the proposed debt service. (An independent financial analysis may be conducted for the Economic Development Authority (EDA)/Housing and Redevelopment Authority (HRA).)
3. The EDA/HRA will determine if the financing gap between project revenues and expenditures will be based on the applicant's stated needs and financial condition.
4. City staff reviews the application.
5. Results are submitted to the EDA and/or the HRA for preliminary approval or denial of the proposal.
6. The EDA/HRA must determine that the proposed use of funds meets the appropriate test(s) for eligibility.
7. The EDA and/or HRA will forward a recommendation to the City Council.
8. If preliminary approval is granted by the EDA or the HRA, all necessary notices, resolutions and certificates will be prepared by City staff.
9. The City Council will act on a resolution that identifies conditions upon which an application is approved or findings upon which an application is denied.
10. Public hearing(s) on the proposed project will be held.
11. The City Council grants final approval or denial of the proposal.



4.059.01 TAX INCREMENT POLICY

ECONOMIC DEVELOPMENT AUTHORITY

Enabling Legislation: M1987-436

Date Adopted: 12/21/87

Revised: ~~04/19/22; 02/06/24~~ 04/16/24

STEPS NECESSARY FOR TAX INCREMENT PROCESS

The Tax Increment process is mandated by law. Project schedules will be estimated for the developer by City staff.

- | | |
|--------|---|
| Step 1 | Application received, Staff reviews for completeness |
| Step 2 | Staff preparation of analysis |
| Step 3 | EDA/HRA review and recommendation |
| Step 4 | City Council approval to call public hearing for housing districts, for all other districts |
| Step 5 | Public hearing held at City Council meeting |
| Step 6 | Council approves or denies TIF request |

TAX INCREMENT PROJECT COMPLETION REPORTING

At the time of completion of the TIF project, or soon thereafter, staff shall present a report to City Council that demonstrates that the terms and requirements of the TIF Assistance Agreement have been achieved. The City Council's intent with this reporting requirement by staff is to improve transparency and provide City Council the opportunity to recognize that the terms of the assistance have been met. This reporting policy shall not restrict the execution and delivery of financial assistance pledged within the TIF Assistance Agreement for the intended party.

DEFINITIONS

~~The following definitions are used in the Minnesota Tax Increment Financing Act (M.S. § 4.69.174 469.1791, as amended). They are defined here for tax increment project discussion purposes.~~

~~**Tax increment financing (TIF)** is a financing tool meant to support local economic development, redevelopment, and housing development that would not otherwise occur without assistance. As its name suggests, TIF uses the incremental property taxes, or "tax increments," generated by the increased taxable value of a new development to help finance qualifying costs. TIF is not a tax reduction; taxes are paid on the full taxable value. The original taxable value continues to be part of the tax base that supports the tax levies of the city, county, school district, and other taxing jurisdictions. The new, additional value from development activity is "captured" from the tax base for the duration of the TIF~~



4.059.01 TAX INCREMENT POLICY
ECONOMIC DEVELOPMENT AUTHORITY
Enabling Legislation: M1987-436
Date Adopted: 12/21/87
Revised: 04/19/22; 02/06/2404/16/24

~~district. After the TIF district is terminated, or “decertified,” the captured value becomes part of the tax base.~~

~~**Redevelopment area** means a depressed area within the territorial boundaries of any municipality or group of municipalities of the state reasonably defined by the local or area redevelopment agency wherein critical conditions of unemployment, underdevelopment, economic depression, depletion of natural resources, or widespread reliance on public assistance are found to exist by the municipality or municipalities.~~

~~**Redevelopment projects** includes the acquisition of land, stabilizing unstable soils when infill is required, demolition, infrastructure improvements and ponds or other environmental infrastructure.~~

~~**Tax increment financing district** means a contiguous or noncontiguous geographic area within a project delineated in the in the tax increment financing plan, as provided by section 469.175, subdivision I, for the purpose of financing redevelopment, housing or economic development in municipalities through the use of tax increment generated from the captured net tax capacity in the tax increment financing district.~~

~~**Economic development district** means a type of tax increment financing district that consists of any project, or portions of a project, which the authority finds to be in the public interest because:~~

- ~~1. it will discourage commerce, industry, or manufacturing from moving their operations to another state or municipality; or~~
- ~~2.1. it will result in increased employment in the state; or~~
- ~~3.1. it will result in preservation and enhancement of the tax base of the state.~~

~~**Redevelopment districts** are intended to correct negative land value where the costs of acquisition, demolition, infrastructure and environment cleanup exceed the value of the land. Redevelopment districts are limited to “blighted” areas. Minnesota law specifies criteria for blight determination: 70% of the parcels in the district must be occupied by buildings, streets, utilities or improvement and more than 50% of the buildings, not including outbuildings, are structurally substandard to a degree requiring substantial renovation or clearance.~~

~~**Renewal and renovation district** means a type of tax increment financing district consisting of a project, or portions of a project, within which the authority finds by resolution that:~~

- ~~1. 70 percent of the area of the district must be occupied by buildings, streets, utilities, or other improvements;~~
- ~~2.1. 20% of the buildings are structurally substandard; and~~
- ~~3.1. 30% of the other buildings require substantial renovation or clearance.~~



4.059.01 TAX INCREMENT POLICY

ECONOMIC DEVELOPMENT AUTHORITY

Enabling Legislation: M1987-436

Date Adopted: 12/21/87

Revised: 04/19/22; 02/06/2404/16/24

~~**Housing district** means a type of tax increment financing district which consists of a project intended for occupancy, in part, by persons or families of low and moderate income, as defined in chapter 462A, Title II of the National Housing Act of 1934, the National Housing Act of 1959, the United States Housing Act of 1937, as amended, Title V of the Housing Act of 1949, as amended, any other similar present or future federal, state, or municipal legislation, or the regulations promulgated under any of those acts.~~

~~**Soils condition district** means a type of tax increment financing district consisting of a project, or portions of a project, within which the authority finds by resolution that the following conditions exist:~~

- ~~1. The presence of hazardous substances, pollution, or contaminants requires removal or remedial action for use;~~
- ~~2.1. The estimated cost of the proposed removal and remedial action exceeds the fair market value of the land before completion of the preparation.~~

~~**Increment** is the increase or difference between the property tax on a parcel of land prior to development and the property taxes after development is complete. By State law increment is also considered as "tax increment revenues," "revenue derived from tax increment," and other similar terms for a district also include:~~

- ~~1. Taxes paid by the captured net tax capacity, but excluding any excess taxes, as computed under section 469.177;~~
- ~~2.1. The proceeds from the sale or lease of property, tangible or intangible, purchased by the authority with tax increments;~~
- ~~3.1. Repayments of loans or other advances made by the authority with tax increments; and~~
- ~~4.1. Interest or other investment earnings on or from tax increments.~~



4.069.02 TAX ABATEMENT POLICY
ECONOMIC DEVELOPMENT AUTHORITY
Enabling Legislation: R2002-048
Date Adopted: 02/04/02
Revised: <u>04/19/22; 02/06/24</u>04/16/24

PURPOSE

The purpose of this policy is to establish the City of Northfield's, hereafter referred to as the City, guide for the processing and review of applications requesting tax abatement. The fundamental purpose of tax abatement in Northfield is to encourage desirable development, redevelopment, or public improvements which clearly demonstrate a need for assistance and a public benefit. The City is granted the power to utilize tax abatement financing by the Minnesota Tax Abatement Act (*Minnesota Statutes, Section 469.1812 to 469.1815, as amended*). Tax abatement in this context is a rebate of taxes, rather than an exemption from paying property taxes. It is the intent of the City to provide the minimum tax abatement, as well as other incentives, at the shortest term required for the project on a case-by-case basis, taking into consideration established policies, project criteria, and demand on City services in relation to the potential benefits from the project. Meeting policy criteria does not guarantee the award of tax abatement to the project. Approval or denial of one project is not intended to set precedent for approval or denial of another project.

OBJECTIVES FOR USE OF TAX ABATEMENTS

As a matter of adopted policy, the City will consider using tax abatement financing to assist private development projects and public improvements to achieve one or more of the following objectives:

- To enhance and diversify the City of Northfield's economic base.
- To encourage additional unsubsidized private development in the area, either directly or indirectly through "spin off" development.
- To facilitate the development process and to achieve development on sites which would not be developed without assistance or would not be developed at a level of quality acceptable to the Council and the Community.
- To encourage redevelopment of commercial and industrial areas in the City that result in high quality redevelopment and private reinvestment.
- To encourage the removal of blight or the rehabilitation of a high profile or priority site.
- To offset increased costs of redevelopment (i.e. contaminated site clean-up, demolition expenses, etc.) over and above the costs normally incurred in development.
- To increase the tax base.
- To create affordable housing opportunities.
- To retain local jobs or increase the number and diversity of jobs that offer stable employment and/or attractive wages and benefits.
- To finance the costs associated with public infrastructure and public facilities.
- To contribute to the implementation of other public policies as adopted by the City, such as the promotion of quality architectural design, enhanced recreational opportunities, and decreasing capital and/or operating costs of local government.



4.069.02 TAX ABATEMENT POLICY
ECONOMIC DEVELOPMENT AUTHORITY
Enabling Legislation: R2002-048
Date Adopted: 02/04/02
Revised: <u>04/19/22; 02/06/24</u> <u>04/16/24</u>

EVALUATION CRITERIA

The project shall comply with all provisions set forth in Minnesota’s Tax Abatement Law, (Minnesota Statutes 469.1812 to 469.1815) as amended. The term of any tax abatement may not exceed 15 years if all three taxing jurisdictions participate or 20 years if one or two jurisdictions participate. Priority will be given to tax abatement proposals that secure another taxing jurisdiction’s participation. The applicant is responsible for requesting tax abatement from either the County or the School District.

When abatement is being utilized to finance public facility and infrastructure projects, as opposed to those benefitting private business and development objectives, the Economic Development Authority (EDA) and/or the Housing and Redevelopment Authority (HRA) will recommend the preliminary use of tax abatement financing for a particular facility/infrastructure project. A formal application, deposit agreement, and application worksheet will not be required. The decision to use tax abatement for a project will be based on the following criteria:

- The project shall meet at least one objective set forth to further the public interest, as defined above in Section 2, “Objectives for Use of Tax Abatements”.
- The use of tax abatement will be limited to:
 - Industrial development, expansion, redevelopment, or rehabilitation;
 - Commercial redevelopment or rehabilitation;
 - Office or research facilities;
 - Housing and infrastructure; or
 - Public infrastructure.
- The demonstration, to be provided by the developer, of the project’s benefits and that the project is not financially feasible without the tax abatement financing provided.
- The project must be consistent with the City’s Comprehensive Plan and Zoning Ordinances.
- Tax abatement assistance will be provided to private developers upon receipt of taxes by the City, otherwise referred to as the *pay-as-you-go* method. Requests for upfront financing will be considered but are generally discouraged.
- The demonstration of market demand for the proposed project, to be provided by the developer.
- The adequacy of the developer’s financial guarantees to ensure completion of the project including, but not limited to: assessment agreements, letters of credit, personal guaranties, or additional documentation as necessary.
- The demonstration, to the City’s sole satisfaction, of the developer’s ability to complete the proposed project based on past development experience, general reputation, and credit history, among other factors, including experience with the size and scope of the proposed project.
- In an effort to support local business, extra consideration will be given to existing businesses seeking to expand and grow within the City.
- Priority will be given to services not already provided in the City.



4.069.02 TAX ABATEMENT POLICY
ECONOMIC DEVELOPMENT AUTHORITY
Enabling Legislation: R2002-048
Date Adopted: 02/04/02
Revised: <u>04/19/22; 02/06/24</u> <u>04/16/24</u>

- Additional consideration will be given based upon the level of private financial investment into the project.
- In any given calendar year, the total amount of property taxes abated by the City may not exceed ten percent (10%) of the net tax capacity of the City or other applicable limitations existing in current law.
- Tax abatement cannot be granted for any period while the property is located in a tax increment financing district.

APPLICATION

A written application form from a private business or developer, available from the EDA or the HRA of the City, shall be submitted for all projects seeking tax abatement from the City.

Applications must include:

- A letter formally requesting tax abatement from the City.
- A completed application for tax abatement with all supporting material attached.
- A non-refundable application fee of \$250.
- A refundable processing fee of one percent (1%) of the requested amount of abatement. Refunding will be prorated to corresponding staff time if the application is denied by the City or removed by the applicant. The actual cost of searches, credit reports, filing fees, and legal fees will be paid directly by the applicant. Fees will be waived if the City serves as developer.
- Financial projections. An independent financial analysis may be requested. For the purposes of underwriting the proposal, the developer shall provide any requested market, financial, environmental, or other data requested by the City or its consultants.

APPROVAL PROCESS

The approval process for a private or public proposal may take anywhere from three weeks to three months, including any required public hearings.

- City staff reviews the application.
- Proposals are submitted to the EDA or the HRA, as applicable, for preliminary approval or denial.
- The EDA/HRA must determine that the proposed use of funds meets the appropriate test(s) for eligibility.
- The EDA/HRA will determine if the financing gap exists between project funding sources and uses.
- The EDA/HRA will recommend a specific amount of abatement, if any, to the City Council.
- The City Council will hold a public hearing. The City Council will act on a resolution that identifies conditions upon which an application is approved or findings upon which an application is denied. The City Council will grant final approval or denial of the project.



4.069.02 TAX ABATEMENT POLICY
ECONOMIC DEVELOPMENT AUTHORITY
Enabling Legislation: R2002-048
Date Adopted: 02/04/02
Revised: 04/19/22; 02/06/24 04/16/24

SUBSIDY AGREEMENT AND ANNUAL REPORTING REQUIREMENTS

All projects granted tax abatement that meet the requirements of Minnesota Statutes, Section 116J (Business Subsidy Statute) will be required to enter into a subsidy agreement and be subject to annual reporting requirements.

- The subsidy agreement with the City shall clearly identify: the reason for the subsidy, the public purpose served by the subsidy, and the goals for the subsidy, as well as other criteria set forth by the Business Subsidy Statute.
- The developer/business shall file a report annually for two years after the date the benefit is received or until all goals set forth in the application and business subsidy agreement have been met, whichever is later. Reports shall be completed using the format drafted by the State of Minnesota and shall be filed with the City of Northfield no later than March 1 of each year for the previous calendar year. Businesses fulfilling job creation requirements must file a report to that effect with the City within 30 calendar days of meeting the requirements.
- The developer/business owner shall maintain and operate its facility at the site where the tax abatement and/or other assistance is used for a period of five years after the benefit is received.
- In addition to attaining or exceeding the jobs and wages goals set forth in the subsidy agreement, the borrower shall achieve at least one of the objectives furthering the public interest as set forth above in Section 2, "Objectives for Use of Tax Abatements".
- Developers/businesses failing to comply with the above provisions will be subject to fines and repayment requirements, as well as deemed ineligible by the State to receive any loans or grants from public entities for a period of five years. See the City's Business Subsidy Policy (9.03) for additional information.

RECAPTURE OF ABATEMENT

Imposition of any recapture is at the sole discretion of the City and shall be considered on a case-by-case basis.

Recapture considerations may include but are not limited to the:

- Sale, refinance or closure of the facility and departure of the company from the jurisdiction.
- Significant change in the use of the facility and/or the business activities of the company.
- Significant employment reductions not reflective of the company's (normal) business cycle and/or local and national economic conditions.
- Failure to achieve the minimum number of net new jobs and wage levels as specified in the abatement policy, application, and City Business Subsidy Policy.
- Failure to comply with annual reporting requirements.



4.069.02 TAX ABATEMENT POLICY
ECONOMIC DEVELOPMENT AUTHORITY
Enabling Legislation: R2002-048
Date Adopted: 02/04/02
Revised: <u>04/19/22; 02/06/24</u>04/16/24

TAX ABATEMENT PROJECT COMPLETION REPORTING

At the time of completion of the project, or soon thereafter, staff shall present a report to City Council that demonstrates that the terms and requirements of the Tax Abatement Assistance Agreement have been achieved. The City Council's intent with this reporting requirement by staff is to improve transparency and provide City Council the opportunity to recognize that the terms of the assistance have been met. This reporting policy shall not restrict the execution and delivery of financial assistance pledged within the Assistance Agreement for the intended party.



4.079.03 BUSINESS SUBSIDY POLICY
ECONOMIC DEVELOPMENT AUTHORITY
Enabling Legislation: M2000-09
Date Adopted: 01/03/00
Revised: <u>12/05/17, 02/06/24</u> 04/16/24

PURPOSE, AUTHORITY AND LIMITATIONS

This policy is adopted for purposes of the Business Subsidies Act (the “Act”), Minnesota Statutes, Sections 116J.993 through 116J.995. Terms used in this Policy are intended to have the same meanings as if used in the Act, and this Policy shall apply only with respect to “subsidies” as defined by the Act if and to the extent required thereby. The City has adopted this policy and these criteria after a public hearing in accordance with the governing statutes. A copy of this Policy shall be submitted to the Department of Employment and Economic Development (DEED) along with the first annual Business Subsidy report.

For the purposes of this policy document, the term “City” includes the Northfield City Council, City employees, consultants and agents, the Northfield Economic Development Authority (EDA), the Northfield Housing and Redevelopment Authority (HRA), and other City advisory boards and commissions.

The City reserves the right to approve or reject projects on a case-by-case basis, taking into consideration established policies, project criteria, and demand on City services in relation to the potential benefits from the project. Meeting all or any portion of the policy criteria contained herein does not mean or guarantee the award of business assistance by the City to any project. Approval or denial of one project is also not intended to set precedence for approval or denial of another project. The City reserves the right, in its sole judgment and discretion, to approve or deny business assistance to a project based on the merits of the project and the overall benefit of the project to the community, using this policy and the criteria contained herein as the means of measuring overall benefit.

Any applicant who is not in good standing with the City, with regard to any licenses, fees, property taxes, or other specific City charges, will not be considered for business subsidies. All requests for business assistance must comply with the Act and applicable law. Any amendments or modifications to the Act shall amend or modify the terms and definitions of this policy and criteria without any further actions of the City.

BUSINESS SUBSIDY PUBLIC PURPOSE, PRIORITIES, GOALS AND OBJECTIVES

The City and the EDA maintain several policy documents which speak to the general goals and objectives for the provision of public assistance for private development or redevelopment activities. These documents include, but are not limited to, the current Strategic Plan for Economic Development and the Comprehensive Land Use Plan.

The purposes, priorities, goals and objectives in providing a business subsidy to assist private development under this policy include, but are limited to, achieving the following:

- To redevelop blighted or under-utilized areas of the City.
- To create additional job opportunities within the City.



4.079.03 BUSINESS SUBSIDY POLICY
ECONOMIC DEVELOPMENT AUTHORITY
Enabling Legislation: M2000-09
Date Adopted: 01/03/00
Revised: <u>12/05/17, 02/06/24</u> 04/16/24

- To retain local jobs in the City, where job loss is specific and demonstrable.
- To enhance the economic diversity of the City and to provide essential products and services within the City.
- To enhance economic growth and opportunity in the City.
- To increase the City's tax base.
- To create opportunities for affordable and workforce housing and/or a diversification of housing stock available within the City.
- To target assistance to businesses that demonstrate a clear and ongoing commitment to the community.

Because projects vary greatly in structure and public benefit derived, each project will be considered on its own merits. Subject to the clause below regarding governing body discretion, consideration will be given to projects providing public benefits in one or more of the following categories:

- The creation of new jobs/increase in total payroll. In the case of new job creation, new jobs must pay a wage that total at least the rate of 150-percent of the current Federal poverty level for a family of four. Preference will be given to higher paying jobs that also provide benefits such as health care coverage.
- Redevelopment projects that result in the stabilization of business districts or neighborhoods by elimination of blighting conditions.
- Projects that result in the development of affordable senior or workforce housing.
- Projects that provide opportunities for cross-sector synergy to occur.
- Projects that enhance the Northfield workforce by retaining graduates of the Northfield Public School system, St. Olaf College, and Carleton College.
- Projects that result in greater building efficiencies.
- Quality of Life based on business/projects. Those businesses/entities that provide a desirable good or service and address an unmet demand in the community will be considered. New job wage requirements will apply to any new jobs created.

If a particular project does not involve the creation of jobs, but is nonetheless found to meet another public purpose of the City, it may be considered without any specific job wage goals, as permitted by Minnesota Statutes. This public purpose has to be something other than an increase to the City's tax base. Other measurable, specific and tangible goals must be established.

The governing body must retain the right in its discretion to approve projects and subsidies, which may vary from the principles and criteria of this Policy. The burden will be on the applicant to demonstrate, to the satisfaction of the City, that the public benefit justifies the requested subsidy and deviation from this Policy. The Act permits the City to deviate from this Policy by documenting in writing the reason(s) for the deviation and attaching a copy of the document to the City's next annual report to DEED.



4.079.03 BUSINESS SUBSIDY POLICY
ECONOMIC DEVELOPMENT AUTHORITY
Enabling Legislation: M2000-09
Date Adopted: 01/03/00
Revised: 12/05/17, 02/06/24 04/16/24

BUSINESS SUBSIDY CONSIDERATION AND AGREEMENT

A business must submit a written request/application to the City for a Business Subsidy or other financial assistance. If the requested assistance is not tax increment financing or tax abatement, which have their own specific application process, the business must submit information as found in the [Business Subsidy Application](#) for any request for financial assistance from the City. The City may request additional financial information as the City deems appropriate or necessary in its discretion to process the application.

A Business Subsidy of \$150,000 or more requires a public hearing with at least 10 days' notice in the local newspaper. A public hearing for another purpose such as tax increment financing or abatement may be combined with the Business Subsidy hearing. A copy of the draft Business Subsidy agreement must be on file with the City.

In all cases of Business Subsidy, where the subsidy is equal to or greater than the threshold prescribed in Minnesota Statutes, a subsidy agreement will be entered into between the City and the recipient. This agreement will comply with the requirements of Minn. Stat. § 116J.994, subd. 3, and delineate, among other required provisions, the subsidy structure and amount, as well as the expected public benefit. The agreement will include provisions for repayment and other resolution options if the expected public benefit is not achieved. Upon completion of the project, the actual costs of the elements of the project eligible for the business subsidy will be verified. All business subsidies will be subject to the criteria outlined in Minnesota Statutes, Sections 116J.933 through 116J.955, except those subsidies as exempted by the same.

Business Subsidies in the form of grants must be structured as forgivable loans. For other types of Business Subsidies, the agreement must state the fair market value of the subsidy to the recipient, including the value of conveying property at less than a fair market price, or other in-kind benefits to the recipient.

The City shall monitor the progress by the recipient in achieving the goals contained in the business subsidy agreement, and the recipient shall cooperate in all respects in meeting the reporting requirements contained in Minn. Stat. § 116J.994, subd. 7.



10.01 FIRST TIME HOME BUYERS POLICY
HOUSING & REDEVELOPMENT AUTHORITY
Enabling Legislation: R1991-79
Date Adopted: 04/01/91
Revised: 02/20, 01/09/24 <u>04/16/24</u>

OBJECTIVE

The Northfield Housing & Redevelopment Authority (HRA), in conjunction with Dakota County Community Development Agency (CDA) is committed to assisting low and moderate-income households achieve the goal of home ownership. The City provides Down Payment Assistance (DPA) to bridge the affordability gap experienced by many low- and moderate-income households for the down payment and/or closing costs associated with the purchase of a home.

Down payment assistance of up to ~~\$15,000~~ \$25,000, in the form of a zero-percent interest, deferred loan, may be provided to assist with required down payment and/or closing costs incurred by a low to moderate income homebuyers. The loan would be repaid in the future when the home is sold, refinanced, or is no longer the primary residence of the applicants. The funds are available on a first-come, first-served basis.

ELIGIBILITY

Buyer's Income:

The Buyer's annual gross income, adjusted for family size, cannot exceed 80% of median income, as defined in the Section 8 regulations and determined by HUD for the [Minneapolis/St. Paul Metropolitan Statistical Area](#).

The income of the Buyer, as well as all other adults over the age of 18 that will occupy the property, is verified according to the Part 5 definition of Annual Income. The verification process is completed by City Staff.

Verification of income shall be valid for 90 days. If more than 90 days has elapsed between verification date and loan closing, then the information must be updated by resubmitting all income sources.

Buyer's Tenure:

The buyer must qualify as a first-time homebuyer, defined as not having an ownership interest in a property within three years prior to the buyer's application for assistance.

Homebuyer Education:

Buyers wishing to receive down payment assistance must satisfactorily complete a Home Stretch homebuyer education course prior to purchase. A list of area classes will be provided upon request. In the case of joint tenancy, it is preferable that both individuals complete the class. Regardless, the primary borrower(s) must complete the class prior to purchase.



10.01 FIRST TIME HOME BUYERS POLICY
HOUSING & REDEVELOPMENT AUTHORITY
Enabling Legislation: R1991-79
Date Adopted: 04/01/91
Revised: 02/20, 01/09/24 04/16/24

Purchase Price Limit of Property:

There is no maximum purchase price for this program. The following terms apply:

- Maximum Housing Ratio of 38%
House payment cannot exceed more than 38% of gross monthly income
- Maximum debt-to-income ratio of 43%
Total monthly debt cannot exceed 43% of monthly income
- Maximum combined loan to value of 100%
Amount of all loans cannot exceed more than 100% of appraised value of the home
- Adjustable-Rate Mortgages (ARM) will only be accepted if the maximum rate still meets the above qualifications.
- Buyer must be able to obtain independent financing (i.e., a co-signer or guarantor on the loan who is not intending to live in the unit is not acceptable)
- Contract for Deed is not an approved purchase for these funds.

Inspection Requirements:

Due to the hazards of lead based paint, all pre-1978 properties must be inspected prior to application approval by City staff to check for lead based paint hazards. Any unit that fails the Housing Quality Standards inspection due to deteriorated paint will not be eligible to receive down payment assistance.

Federal Housing Administration (FHA) Inspection. If DPA is provided in connection with an FHA loan, the City may accept an approved FHA appraisal demonstrating the property meets minimum FHA housing standards in lieu of a City inspection. If the property is not subject to an FHA inspection, the property must pass an inspection conducted by the City.

Property Eligibility:

Eligible properties include existing single-family homes, condominiums, townhomes, or such properties that are already under construction. Manufactured or modular housing qualifies only if the unit is situated on a permanent foundation, is connected to permanent utility hook-ups, is located on land that is held in a fee-simple title, land trust, or long-term ground lease with a term at least equal to that of the appropriate affordability period. The Buyer must occupy the property. Multi-unit properties such as duplexes, tri-plexes, and four-plexes are not eligible, regardless if the Buyer occupies one of the units.

Due to tenant displacement costs, rental properties (including condo-conversions) that are occupied by renters (unless the renter is the proposed Buyer) any time during the 3-month period immediately preceding the date of the purchase agreement are not eligible for purchase with the assistance of DPA.



10.01 FIRST TIME HOME BUYERS POLICY
HOUSING & REDEVELOPMENT AUTHORITY
Enabling Legislation: R1991-79
Date Adopted: 04/01/91
Revised: 02/20, 01/09/24 04/16/24

Miscellaneous Requirements:

- Buyer(s) must not be receiving or have received assistance from the City of Northfield Housing Assistance Program within the past three (3) years.
- Buyer(s) must not own an interest in any other residential property other than the property subject to this program, including residential property being used for rental purposes.
- Buyer(s) must meet the financial institution's loan criteria to participate in the program.

FORMS OF ASSISTANCE

Minimum-Maximum DPA:

The Dakota County CDA First Time Home Buyers Program offers down payment and closing cost assistance of up to ~~\$15,000~~ **\$25,000** if household income is at or below 80% of area median income. A Buyer using DPA cannot receive cash back at closing. If the Buyer receives cash back at closing, the CDA DPA will be adjusted accordingly.

Repayment of Assistance:

The Buyer is required to execute a Note and Mortgage in order to use the DPA. The DPA is in the form of an interest free (0%) loan secured with a Mortgage, which is fully payable upon transfer of the property or at such time as the first mortgage is refinanced or paid in full. The Mortgage is not assumable and becomes due if the Buyer no longer occupies the property as their principal place of residence.

Repayments received are program income for the purposes of the Community Development Block Grant Program (CDBG), and upon receipt shall be credited to this Program. Repayment of this loan shall occur when:

- Any default or breach of the promises, terms and conditions stated in the program policies and procedures, and/or mortgage instrument. Upon any of these occurrences, the full amount of the financial assistance provided through this program shall become immediately due and payable.
- Refinancing of the original mortgage to the financial institution(s), or the extension of future advances under the original mortgage. Upon any of these occurrences, the full amount of financial assistance provided through this program shall become immediately due and payable, or alternatively, the Program Administrator shall have sole discretion to subordinate the mortgage.

If proceeds from a sale are not enough to cover full repayment of the down payment assistance, the recaptured amount will not exceed net proceeds. The City will use the recaptured funds to continue affordable housing activities unless the assistance is funded by a source requiring a return of recaptured amounts. In those instances, any loan repayments will be refunded to the entity that provided the assistance.



10.01 FIRST TIME HOME BUYERS POLICY
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Date Adopted: 04/01/91
Revised: 02/20, 01/09/24 <u>04/16/24</u>

If a DPA borrower is working with a lender to sell the property during an actual or pending foreclosure (a “Short Sale”), the City may negotiate a pay-off less than the full pay-off value of the DPA loan. The City will attempt to get as much repaid as possible in order for the sale to proceed based on a review including, but not limited to:

- A history of the property’s time on the market and asking prices, if applicable;
- A review of recent home sale prices in the surrounding neighborhood; and
- An analysis of the potential gain vs. loss of its loan funds due to a partial pay-off in comparison to a pending foreclosure.

All partial pay-offs must be approved by the Program Administrator. If a partial pay-off is approved, then no further action will be taken by the City to collect the remaining portion of the DPA loan balance (i.e., filing a Revenue Recapture Claim).

Refinancing: Use of these funds to refinance an existing mortgage is not eligible.

POLICY MODIFICATIONS

The Northfield HRA and the Dakota County CDA have the authority to make modifications to this policy as deemed necessary for the continued implementation of same, including, but not limited to: (1) policy revisions necessary due to a change in design of the first-time homebuyer programs; and (2) policy revisions necessary due to changes in the rules and regulations of the CDBG Program. These two entities have the right to amend this policy and/or discontinue the DPA programs at any time.

APPLICATION PROCESS

1. Obtaining an Application

Applications shall be available from and returned to the City of Northfield Community Development Department, Attn: Housing Dept. Applications can also be found online at <http://www.ci.northfield.mn.us/DocumentCenter/View/56>

Completed applications shall be reviewed and evaluated for approval in the order in which they are received.

2. Completing the Application

- Applicant(s) shall be required to review and consent to the terms and conditions outlined in the Housing Assistance Program Guidelines.
- Applicant(s) shall be required to complete the Housing Assistance Application form.
- Applicant(s) and all other adult persons age 18 or older intending to reside in the residence shall be required to provide copies of their last two (2) years income tax returns, including tax schedules, along with an income verification form or pay stubs for the last 12 weeks.



10.01 FIRST TIME HOME BUYERS POLICY
HOUSING & REDEVELOPMENT AUTHORITY
Enabling Legislation: R1991-79
Date Adopted: 04/01/91
Revised: 02/20, 01/09/24 04/16/24

- Applicant(s) and all other adult persons intending to reside in the residence may be required to submit copies of marriage licenses (if applicable), driver's licenses, birth certificates, divorce decrees or separation decrees (if applicable).
- No application fees are required of the applicant(s). A fee for drawing up closing documents will be assessed as part of the closing costs.
- The Program Administrator shall review all applications and supporting documentation for compliance. A commitment letter shall be written to the applicant(s) if eligibility is met and funds are available for assistance. A notice shall be issued if eligibility is not met explaining the reasons why, or if funds are no longer available for assistance.

Letters of commitment shall expire 90 days from the date of issuance unless, prior to said expiration date, an executed purchase agreement and letter of commitment for financing has been received by the Program Administrator, or a building permit has been obtained by the applicant. The City shall place any reapplication on the list of other applications in the order of receipt.

CLOSING PROCEDURES

1. Prior to closing, the financial institution(s) shall provide to the City a copy of the title opinion that has been prepared on behalf of the buyer.
2. Loan proceeds shall be transferred to the financial institution(s) upon receipt of the proposed Housing and Urban Development Settlement Statement (or completion of the appraisal under the limited circumstances when building a home). The check shall be made co-payable to the grant recipient(s) and the financial institution(s).
3. The financial institution(s) shall be responsible for disbursing the grant proceeds toward the eligible closing costs and down payments.
4. The financial institution(s) shall be responsible for obtaining properly executed promissory notes and affidavits of income and returning the originals to the Program Administrator. Copies shall be provided to the grant recipient(s).
5. The financial institution(s) shall be responsible for obtaining a properly executed second mortgage in favor of the City and filing the original at the County Recorder's office immediately following the filing of the financial institution's first mortgage. A copy of the executed mortgage in favor of the City shall be immediately provided to the Program Administrator and the grant recipient(s). The original shall be returned to the Program Administrator upon its proper recording.
6. It shall be understood by the financial institution(s) that the mortgage in favor of the City shall be subordinate to the purchase money mortgage of the financial institution(s). After closing, no changes may be made to the first mortgage without the City's lien coming due.

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10.02 HOME MATTERS RESIDENTIAL REHABILITATION POLICY
ADMINISTRATION
Enabling Legislation: M2014-187
Date Adopted: 10/7/2014
Revised: N/A 04/16/24

OBJECTIVE

The Northfield Housing & Redevelopment Authority (HRA) and Dakota County Community Development Agency (CDA) sponsor this program. The Home Matters Program provides up to \$20,000 in assistance to income qualified homeowners for certain home repairs. The Community Development Block Grant Funds are in the form of ~~zero~~ 0 percent (0%) interest, deferred loans which are repaid when the property is sold or refinanced. After 10 years of continued occupancy of the property, \$10,000 of the loan is forgiven.

Qualified improvements or repairs include:

- Roof & Gutter Replacement
- Foundation repairs
- Sidewalks & driveways
- HVAC systems
- Electrical
- Plumbing
-

ELIGIBILITY

Homeowner's Income:

The Homeowner's annual gross income, adjusted for family size, cannot exceed 80% of median income, as defined in the Section 8 regulations and determined by HUD for the Minneapolis/St. Paul Metropolitan Statistical Area ~~Minneapolis/St. Paul Metropolitan Statistical Area (see Exhibit A).~~

The income of the Homeowner, as well as all other adults over the age of 18 that will occupy the property, is verified according to the Part 5 definition of Annual Income. The verification process is completed by City Staff.

Verification of income shall be valid for 90 days. If more than 90 days has elapsed between verification date and loan closing, then the information must be updated by resubmitting all income sources.

All borrowers must be below the following household income guidelines:

Household Size	Annual Income (gross)
1	\$66,300
2	\$75,750
3	\$85,200
4	\$94,650
5	\$102,250
6	\$109,800
7	\$117,400

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10.02 HOME MATTERS RESIDENTIAL REHABILITATION POLICY
ADMINISTRATION
Enabling Legislation: M2014-187
Date Adopted: 10/7/2014
Revised: N/A <u>A04/16/24</u>

8	\$124,950
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10.02 HOME MATTERS RESIDENTIAL REHABILITATION POLICY
ADMINISTRATION
Enabling Legislation: M2014-187
Date Adopted: 10/7/2014
Revised: N/A 04/16/24

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Verification of income shall be valid for 90 days. If more than 90 days has elapsed between verification date and loan closing, then the information must be updated by resubmitting all income sources.

Financial Soundness

Applicants for the Neighborhood Improvement Project must verify that they are:

- Current on their property tax payments
- Current on their mortgage payments

Note that funds are limited and will be provided on a first-come, first-served basis to applicants who meet ALL program requirements.

FUNDING AMOUNT & TERMS

Forgivable Loan:

Eligible homeowners can receive up to \$20,000 in a no interest, deferred loan. Up to \$10,000 of the loan may be forgiven, if the applicant maintains ownership of the property as their primary residence. The maximum grant/loan is \$20,000.

Loan terms:

- Loan funds, made available to the homeowner for eligible uses, must be repaid in full when property changes ownership or is no longer used as the primary residence of the applicant within 10 years of the loan being disbursed. After 10 years of the loan being disbursed, if applicant has maintained ownership of the property as their primary residence, \$10,000 of the loan will be forgiven.
- No matching funds from the homeowner are required, except for non-eligible repairs or improvements.
- Funds will be held by the City of Northfield for disbursement for approved home improvements.
- Homeowners **are not** allowed to receive any cash back from the funds.

PROCEDURE

1. Check the [City of Northfield](#) website to find out if applications are being accepted.
2. Complete [Home Matters Application](#). All members of the household must be represented on the form. All owners must sign the forms.
3. Submit the following additional documents:
 - Proof of home ownership (~~—~~Copy of the Deed and current property tax statements).
 - Copy of Divorce Decree showing property settlement (if applicable).
 - Income verification for all household members ages 18 years and older will be required (as applicable):



10.02 HOME MATTERS RESIDENTIAL REHABILITATION POLICY
ADMINISTRATION
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Revised: N/A <u>04/16/24</u>

- Wages: copies of two most recent consecutive pay stubs.
- Last 2 years income tax statements including schedules.
- Social Security: most recent Social Security benefit letter.
- Child Support/Spousal Maintenance: statement showing last 12 months support received.
- Self-Employment/Miscellaneous Income: ~~p~~lease call for instructions.
- Mortgage Verification. Copy of most recent mortgage statement showing that your mortgage payments are current.
- Homeowner's Insurance. Copy of your current homeowner's insurance declaration page and the name and contact information of your insurance agent.

Submit completed application to:

Housing Coordinator
Community Development Department
City of Northfield
801 Washington St S
Northfield, MN 55057
[507-645-3047](tel:507-645-3047)

All applications will be processed in the order they are received.



11.01 DATA PRIVACY POLICY

LIBRARY

Enabling Legislation: Resolution 2012-070

Date Adopted: 09/17/1996

Revised: ~~11/09/2011~~04/16/24

PURPOSE

This policy will provide the guidelines and framework for library staff members to appropriately protect patron privacy and handle requests for public data. All City of Northfield policies and procedures related to government data also apply at the library. However, this additional policy is necessary to address data practices that are unique to the library.

The purpose of the first section of this policy is to state clearly how the Minnesota Government Data Practices law affects library operations and to set forth other policies relating to data which is collected by the library. (For the full text of the law, go to this link:

<https://www.house.mn.gov/hrd/pubs/dataprac.pdf>)

The policy will define private and public data and will detail the procedures to be followed for releasing both private and public data. The policy will also include a system for allowing library users to restrict their cards to their own personal use. The purpose of the second section of this policy is to set forth policies, procedures and resources for responding to requests for information based on the USA Patriot Act. (For the full act, see: <https://www.govinfo.gov/content/pkg/PLAW-107publ56/pdf/PLAW-107publ56.pdf>)

SECTION I: Minnesota Government Data Practices

13.40 LIBRARY AND HISTORICAL DATA.

Subdivision 1. Records subject to this chapter.

- a) For purposes of this section, "historical records repository" means an archives or manuscript repository operated by a government entity whose purpose is to collect and maintain data to further the history of a geographic or subject area. The term does not include the state archives as defined in section [138.17, subdivision 1, clause \(5\)](#).
- b) Data collected, maintained, used, or disseminated by a library or historical records repository operated by a government entity shall be administered in accordance with the provisions of this chapter.
- a) Subdivision 2. **Private data; library borrowers.** Except as provided in paragraph (b), the following data maintained by a library are private data on individuals and may not be disclosed for other than library purposes except pursuant to a court order:
 1. data that link a library patron's name with materials requested or borrowed by the patron or that link a patron's name with a specific subject about which the patron has requested information or materials; or
 2. data in applications for borrower cards, other than the name of the borrower.



11.01 DATA PRIVACY POLICY
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- b) A library may release reserved materials to a family member or other person who resides with a library patron and who is picking up the material on behalf of the patron. A patron may request that reserved materials be released only to the patron.

Subdivision 3. Nongovernmental data.

Data held in the custody of a historical records repository that were not originally created, received, maintained, or disseminated by a government entity are not government data. These data are accessible to the public unless:

- a) the data are contributed by private persons under an agreement that restricts access, to the extent of any lawful limitation; or
- b) access would significantly endanger the physical or organizational integrity of the data.

History:

[1980 c 603 s 21; 1981 c 311 s 39; 1982 c 545 s 6,24; 1991 c 319 s 3; 1992 c 499 art 10 s 1; 1996 c 440 art 1 s 7; 2007 c 129 s 20,21](#)

IMPORTANT SECTIONS OF THE LAW AND DEFINITIONS

13.01 GOVERNMENT DATA.

Subdivision 1. Applicability.

All government entities shall be governed by this chapter.

Subdivision 2. Citation.

This chapter may be cited as the "Minnesota Government Data Practices Act."

Subdivision 3. Scope.

This chapter regulates the collection, creation, storage, maintenance, dissemination, and access to government data in government entities. It establishes a presumption that government data are public and are accessible by the public for both inspection and copying unless there is federal law, a state statute, or a temporary classification of data that provides that certain data are not public.

Subdivision 4. Headnotes.

The headnotes printed in boldface type before paragraphs in this chapter are mere catchwords to indicate the content of a paragraph and are not part of the statute.

Subdivision 5. Provisions coded in other chapters.



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1. The sections referenced in this chapter that are codified outside this chapter classify government data as other than public, place restrictions on access to government data, or involve data sharing.
2. Those sections are governed by the definitions and general provisions in sections 13.01 to 13.07 and the remedies and penalties provided in sections 13.08 and 13.09, except:
 - a. for records of the judiciary, as provided in section 13.90; or
 - b. as specifically provided otherwise by law.

13.03 ACCESS TO GOVERNMENT DATA.

Subdivision 1. **Public data.**

All government data collected, created, received, maintained or disseminated by a government entity shall be public unless classified by statute, or temporary classification pursuant to section 13.06, or federal law, as nonpublic or protected nonpublic, or with respect to data on individuals, as private or confidential. The responsible authority in every government entity shall keep records containing government data in such an arrangement and condition as to make them easily accessible for convenient use. Photographic, photostatic, microphotographic, or microfilmed records shall be considered as accessible for convenient use regardless of the size of such records.

Section 1. Minnesota Statutes 2006, section 13.02, subdivision 8 **Individual**. "Individual" means a natural person. In the case of a minor or a incapacitated person as defined in section 524.5-102, subdivision 6, "individual" includes a parent or guardian or an individual acting as a parent or guardian in the absence of a parent or guardian, except that the responsible authority shall withhold data from parents or guardians, or individuals acting as parents or guardians in the absence of parents or guardians, upon request by the minor if the responsible authority determines that withholding the data would be in the best interest of the minor.



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13.04 RIGHTS OF SUBJECTS OF DATA.

Subdivision 1. **Type of data.** The rights of individuals on whom the data is stored or to be stored shall be as set forth in this section.

Subdivision 2. **Tennessen warning.**

An individual asked to supply private or confidential data concerning the individual shall be informed of: (a) the purpose and intended use of the requested data within the collecting government entity; (b) whether the individual may refuse or is legally required to supply the requested data; (c) any known consequence arising from supplying or refusing to supply private or confidential data; and (d) the identity of other persons or entities authorized by state or federal law to receive the data. This requirement shall not apply when an individual is asked to supply investigative data, pursuant to section 13.82, subdivision 7, to a law enforcement officer.

Subdivision 3. **Access to data by individual.**

Upon request to a responsible authority or designee, an individual shall be informed whether the individual is the subject of stored data on individuals, and whether it is classified as public, private, or confidential. Upon further request, an individual who is the subject of stored private or public data on individuals shall be shown the data without any charge and, if desired, shall be informed of the content and meaning of that data. After an individual has been shown the private data and informed of its meaning, the data need not be disclosed to that individual for six months thereafter unless a dispute or action pursuant to this section is pending or additional data on the individual has been collected or created. The responsible authority or designee shall provide copies of the private or public data upon request by the individual subject of the data. The responsible authority or designee may require the requesting person to pay the actual costs of making and certifying the copies.

The responsible authority or designee shall comply immediately, if possible, with any request made pursuant to this subdivision, or within ten days of the date of the request, excluding Saturdays, Sundays and legal holidays, if immediate compliance is not possible.



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SECTION II: USA Patriot Act

Under the USA PATRIOT Act, information about a person's library account and usage can be obtained by Federal Agents using a court order. The act prohibits library staff from informing the patron if such an order or search has been undertaken by means of a gag order. The FBI can retrieve any information about the patron that the library has. Information from the library may include, but is not limited to, books and other materials checked out; searches done on library computers, including places visited on the Internet; materials borrowed through interlibrary loan, use of library meeting rooms, and notes taken by librarians when assisting with questions. Although state privacy laws regarding privacy in libraries are still in force, including laws protecting the confidentiality of library records, as federal laws the provisions of the Foreign Intelligence Surveillance Act (FISA), the Electronic Communications Privacy Act (ECPA), and the statute authorizing National Security Letters can supersede state privacy laws. It is important to remember, however, that state and local law enforcement agencies remain subject to state library confidentiality laws and other laws protecting privacy, and that even the FBI is still required to present a form of judicial process (court order or subpoena) before information can be turned over to the agency. Libraries should consult with their legal counsel to determine precisely under what circumstances their state's library confidentiality law permits the release of user information. All requests for information under the USA Patriot Act will be referred to the Library Director. No discussion of these requests is allowed with anyone else.

ADOPTED BY THE NORTHFIELD CARNEGIE LIBRARY BOARD

September 17, 1996

Revised and reaffirmed by the Northfield Public Library Board

November 9, 2011



11.02 INTERLIBRARY LOAN POLICY
LIBRARY
Enabling Legislation: NEED ENABLING LEGISLATION – minutes on Laserfiche only go back to 2011 Not Available
Date Adopted: 10/21/2003
Revised: 08/10/2011 04/16/24

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POLICY AND STATEMENT OF PURPOSE

Interlibrary loan – the exchange of materials between libraries - provides access to materials not owned in the Northfield Public Library. Interlibrary loan is an important aspect of resource sharing. Our goal is to share materials as much as possible with other libraries, both within SELCO (Southeastern Libraries Cooperating) and beyond, in order to fill the needs of the patron. Interlibrary loan allows patrons to have access to materials outside the local library without traveling to other libraries. Community libraries buy materials that best meet the needs of local patrons and access less widely used materials from other libraries through interlibrary loan.

The first section of this policy addresses requests made by Northfield patrons. The final section outlines this library's policies regarding loans to other libraries.

Interlibrary loans are provided by three major groups:

SELCO (Southeastern Libraries Cooperating), MnLink, Minitex and the local colleges, and out-of-state institutions.

SELCO: The largest number of interlibrary loans will come from SELCO, of which the Northfield Public Library is a member. Requests placed online in the Horizon Integrated Library system may eventually be filled with items from the Northfield Public Library's collection or from any library in SELCO. With this system, these interlibrary loans can be placed directly by the patron without mediation from a librarian. Requests can be placed on items that are owned in the Northfield Public Library but unavailable because the item is 1) checked out 2) missing or damaged or 3) non-circulating.

MNLINK OR MINITEX, ST. OLAF OR CARLETON (REQUESTS FOR ITEMS NOT LISTED IN THE SELCO SHARED CATALOG): If the item is not available within SELCO, the librarian will check MnLink, the statewide, shared catalog. A request can be placed by the librarian or by the patron directly. Some popular and new items are not available from MnLink, and librarians and patrons should check the "items in constant demand" list before placing a request for these items. If the item is not listed in MnLink, the librarian should check the colleges (see below) and MINITEX (a program of the Minnesota Higher Education Services Office at the University of Minnesota). The MINITEX borrowing region includes Minnesota, Wisconsin and North and South Dakota. If a librarian places the request for the patron, the librarian will alert the patron that items coming from outside of SELCO can take 1-4 weeks (or longer) to arrive. Since patrons may place requests on MnLink themselves, they may not always realize that such requests can take longer.

The St. Olaf and Carleton Libraries' catalog, the Bridge, is not part of MnLink as of this writing and must be searched separately. If the item is available through the college libraries, the librarian will encourage patrons to borrow the item directly as there is currently no provision for direct



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interlibrary loan with the college libraries. (Area residents can obtain a library card at either library that enables them to check materials out from that library.)

OUT OF STATE - REQUESTS FOR MATERIALS NOT AVAILABLE THROUGH SELCO, MNLINK OR

MINITEX: Occasionally, we are unable to fill requests through SELCO or Minitex. We will place these requests directly with the holding library either by email or regular mail. Librarians will verify titles using standard sources such as MnLink, OCLC and the holding library's online catalog. Loan policies, availability and costs will be determined before placing requests. Patrons will pay any charges for requests made to libraries outside of SELCO and the MINITEX borrowing area.

Limits on placing requests: Both SELCO and MnLink place some limits on requests but these vary by format and library.

Copyright: Librarians should inform patrons requesting photocopies about the copyright law of the United States – Title 17, U.S. Code. This law specifies the conditions under which libraries and archives are authorized to furnish a photocopy or other reproduction. One of these specified conditions is that the photocopy or reproduction is not to be "used for any purpose other than private study, scholarship, or research." If a user makes a request for and later uses a photocopy or reproduction for purposes in excess of "fair use," that user may be liable for copyright infringement.

Colleges: College students may place requests on the SELCO shared catalog just as any other Northfield Public Library patron does. However, Carleton and St. Olaf students will be advised to check the interlibrary loan departments at their college libraries to obtain other materials needed. This policy is established at the request of the college libraries. In addition, neither college library will process interlibrary loan requests for local residents who are unaffiliated with the institutions.

School Libraries: Library staff or patrons may place requests on items owned in school libraries whose holdings are included in the SELCO system. Requests may be placed during the school year, usually September through May 1.

Requests for New Items: Library staff may place purchase requests for new items not owned in our library. Items not purchased by the Northfield Public Library may be requested from MnLink or Minitex if available. Purchase requests are appropriate for new or popular materials that the librarian feels would be used.

Renewals: Individual SELCO member libraries set renewal limits on their own items. Generally items can be renewed up to two times. Although renewals for items not owned in SELCO are more difficult, we can request a renewal if needed.

NORTHFIELD PUBLIC LIBRARY POLICIES FOR LOANING:

11.02 INTERLIBRARY LOAN POLICY



11.02 INTERLIBRARY LOAN POLICY
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Enabling Legislation: NEED ENABLING LEGISLATION – minutes on Laserfiche only go back to 2011 Not Available
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Local request status: The SELCO Integrated Library System allows member libraries to set aside items for request for pick-up at their libraries only. The Northfield Public Library will loan most materials, even new materials, to other libraries unless there is a lengthy waiting list on item here. When we do use local request, that status will be in place for a maximum of two months.

Out of state: Staff will fill requests received via email or mail on an ALA form as appropriate and will ask that the borrowing library pay return postage.

Exceptions: Although it is our goal to satisfy the needs of the library user, we reserve the right to hold some items for in-library use only. We do not loan reference materials, Pye Room materials (largely local and Minnesota history materials), story time kits, or book packs.

Holiday Items: The Northfield Public Library will loan holiday items for limited three-week loan period with no renewals. Library staff or patrons may place requests for holiday items not owned here.

*See the SELCO/SELS website for updated policies and procedures for handling SELCO and MnLink interlibrary loans.

Approved and Adopted by the Board of the Northfield Public Library
October 21, 2003

Revised and Reaffirmed by the Board of the Northfield Public Library
August 10, 2011



11.03 COLLECTION DEVELOPMENT & MANAGEMENT POLICY
LIBRARY
Enabling Legislation: NEED ENABLING LEGISLATION Not Available
Date Adopted: 02/1986
Revised: 01/12/202204/16/24

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PURPOSE

Collection development is the ongoing process of assessing materials available for purchase or licensing and making decisions about the inclusion and retention of materials. This policy provides guidance, within budgetary and space limitations, for the selection and evaluation of materials to meet the needs and interests of the Northfield Public Library service area.

SCOPE OF COLLECTION

The collection provides a broad array of circulating print and non-print materials that are selected to appeal to a diversity of tastes, interests, reading levels, and languages. The library collects materials appealing to the general public, with little duplication of college-held materials.

COLLECTION DEVELOPMENT AND MANAGEMENT CRITERIA

To build a collection of merit, materials are evaluated according to one or more of the following criteria. An item need not meet all of these criteria in order to be acceptable.

General criteria:

- relevance to community needs
- contribution to the diversity and scope of the collection
- content created by and representative of marginalized and under-represented groups
- physical format that meets the needs of library users, including those with disabilities
- suitability of subject and style for intended audience
- cost
- contemporary significance
- relation to the existing collection
- relation to other material on the subject
- published evaluations, reviews, and awards
- requests by the public
- materials of local interest and/or written by local authors

Special considerations for electronic information sources:

- ease of use
- availability of the information to multiple, concurrent users
- technical requirements to provide access to the information
- technical support and training
- quantity and quality of titles available on the platform



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Date Adopted: 02/1986
Revised: 01/12/202204/16/24

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COLLECTION RESPONSIBILITIES

Staff responsibility for the collection rests with the Library Director, who operates within the framework of the Northfield Public Library's collection development and management policy. The director delegates to staff members the authority to interpret and apply this policy.

The community has a role in shaping library collections by participating in the collection development process through suggestions, feedback, and use.

INTELLECTUAL FREEDOM

The public library has an integral role in supporting an informed populace. To that end, the library provides an environment in which individuals can access information representing many different points of view on a variety of topics. The [American Library Association's Library Bill of Rights](#), [Freedom to Read](#) and [Freedom to View](#) statements guide the acquisition and management of collections and can be accessed through the library's website.

Collection development and management decisions are based on the merit of the work as it relates to the library's mission and its ability to meet the expressed or anticipated needs and interests of the community. Decisions are not made on the basis of any anticipated approval or disapproval of the material. The inclusion of an item in the library collection in no way represents an endorsement of its contents. Library materials are not marked or identified to show approval or disapproval of the contents, nor are materials sequestered except for the purpose of protecting them from damage or theft.

The library recognizes that many materials may be controversial and that any given item may offend some people. Only individuals can determine what is most appropriate for their needs and can define what material or information is consistent with their values. Individuals can apply those values to the use of library materials only for themselves. Parents and legal guardians are responsible for their children's use of library materials.

INDEPENDENTLY PUBLISHED MATERIAL

The Northfield Public Library often receives requests to include items in its collection that are written and/or published independently. NPL looks for material with local connections and collection relevance that will appeal to a wide audience. The best way to bring an item to the library's attention is through professional reviews.

Suggestions for Purchase

The Northfield Public Library encourages input from the service area concerning its collection. A [suggestion for purchase](#) enables community members to request that a particular item or information about a certain subject be purchased by NPL. All suggestions for purchase are subject to the same selection criteria as other materials and are not automatically added to the collection.

RECONSIDERATION OF LIBRARY MATERIALS



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LIBRARY
Enabling Legislation: NEED ENABLING LEGISLATION Not Available
Date Adopted: 02/1986
Revised: 01/12/202204/16/24

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Individuals may request reconsideration of a selection decision of library material by filling out a written "Statement of Concern" form, available [online](#) or at the Reference desk. The library director will respond in writing to an individual's written request.

The Northfield Public Library Board, upon request, will hear appeals of the Library Director's written response. Appeals must be presented in writing to the library board at least ten days in advance of the next regularly scheduled meeting of the board. Decisions on appeals are based on careful review of the objection, the material, and NPL policies, including: this policy, the Library Bill of Rights, the Right to Read and the Right to View, and the American Library Association's guidelines on intellectual freedom. The final decision on appeals rests with the Northfield Public Library Board.

COLLECTION MAINTENANCE

Space is a consideration and new books are continually added to the collection, so it is important to remove items that have become worn, obsolete, or infrequently used. Library staff evaluate the collection on an ongoing basis to remove or replace materials. Northfield Public Library reserves the right to determine when and how materials are removed, as well as what is done with the materials after removal.



11.04 BULLETIN BOARD POLICY
LIBRARY
Enabling Legislation: NEED ENABLING LEGISLATION Not Available
Date Adopted: 06/19/1995
Revised: 08/08/2012; 3/8/2023, <u>04/16/24</u>

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PURPOSE

The bulletin board at the Northfield Public Library is intended to provide a space for the posting of community-oriented information.

To ensure that the board is used effectively, the following guidelines are established:

- Materials must be submitted to library staff for approval before being posted. The library reserves the right to refuse any material that is deemed inappropriate or not in compliance with the policy.
- Materials may be posted for a maximum of two weeks. After that time, postings will be removed.
- Only postings for free events are permitted, unless the events are offered by nonprofit organizations, in which case they may charge a fee. No postings for commercial purposes or personal gain will be allowed.
- The bulletin board is for community-oriented events and announcements only. Materials promoting items for sale, political candidates, or for-profit businesses are not allowed.
- Postings should not exceed the maximum size of 8.5" x 11".
- The library staff will remove any material that is outdated, posted without approval, or no longer relevant.
- Library staff are not responsible for any damage or loss of materials posted on the bulletin board.

By using the bulletin board, individuals and organizations agree to abide by the policies outlined above.



11.057-04 DISPLAY / GIVEAWAY POLICY
LIBRARY
Enabling Legislation: NEED ENABLING LEGISLATION Not Available
Date Adopted: 06/19/1995
Revised: 08/08/2012 04/16/24

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POLICY

The Northfield Public Library should be a forum for the exchange of ideas, and the library's collection should represent many different points of view. Pamphlets or informational brochures from publicly supported and non-profit agencies may be distributed at the library.

Library staff may accept single issues of newspapers or newsletters from particular groups according to the library's standards for collection development (see 11.03 Collection Development Policy) and make them available for public use in an appropriate location. The library will ask for multiple copies of any publication for which sufficient requests from the public are received. Current examples of this include items such as the Community Services schedule of classes and programs, the *Minnesota Explorer*, and the *Northfield Entertainment Guide*.

Posters and brochures for advertising events sponsored by educational or non-profit groups may be posted on the bulletin board or in a designated area with the approval of library staff (see 11.04 Bulletin Board Policy). No posters for sales or private enterprises will be displayed and any items posted without approval will be removed and disposed of.

Adopted by the Library Board

June 19, 1995

Revised and reaffirmed by the Northfield Public Library Board

August 8, 2012



11.06 INTERNET AND WIRELESS POLICY
LIBRARY
Enabling Legislation: Not Available
Date Adopted: 08/17/2016
Revised: 04/16/24

POLICY

It is the policy of the Northfield Public Library to provide Internet access to the public consistent with the mission of the Library and in keeping with the State and Federal laws noted below.

FILTERING POLICY

In accordance with State and Federal laws, Internet access from public library computers and library public WIFI are filtered to screen out sexually explicit web sites. Use of the Library’s computers to access sites that are pornographic or which contain material that is harmful to minors is illegal. (See appendix 1, Minnesota Statutes, 134.50.)

ACCESS POLICIES FOR COMPUTER USE

- A valid SELCO library card in good standing is required to access all library Internet computers and devices.

Good standing is defined as a library card
 - With fines and fees of less than \$100.00
 - With current library contact information for the card holder.
 - That has not expired. Library cards are issued for three years after which they must be renewed.
- Library cards and their associated use are not transferrable; accessing the Internet using library computers requires the user’s own library card or guest card. Violations of this policy may result in the revocation of Internet access privileges on library computers. Patrons whose library Internet computer access has been revoked may not use library Internet computers.
- All area residents eligible to receive a library card must apply for one to use Library Internet computers.
- At the discretion of Adult Services staff, a patron with a SELCO library card may be granted the use of a visitor pass if they have a library account in good standing. This pass is good for use on a one-time basis.
- At the discretion of Adult Services staff, visitors to the area without a valid SELCO library card may use a visitor guest pass to access Internet computers. This pass is good for use on a one-time basis.
- Area residents and visitors may use a Library Internet computer for 2 hours within a 24-hour period.
- At the discretion of Adult Services staff, residents and visitors are able to extend this two-hour time allotment.
- Parents and guardians are responsible for monitoring Internet access for their children if they are under 18 years of age.
- A maximum of two people may use one Internet computer at a time.
- Residents and visitors are prohibited from attempting to modify, degrade, or disrupt equipment, resources or system performance.

NORTHFIELD PUBLIC LIBRARY WIRELESS ACCESS POLICIES



11.06 INTERNET AND WIRELESS POLICY
LIBRARY
Enabling Legislation: Not Available
Date Adopted: 08/17/2016
Revised: 04/16/24

It is the policy of The Northfield Public Library to provide free wireless Internet access to the public who use their wireless enabled electronic devices.

Wireless networks by their nature are not secure environments. Caution must be used when accessing private data on the library wireless network. Printing capability is not available through the wireless network.

*Adopted by the
Northfield Public Library Board
August 17, 2016*



11.078 LIBRARY PATRON CONDUCT POLICY
LIBRARY
Enabling Legislation: NEED ENABLING LEGISLATION Not Available
Date Adopted: 08/17/2016
Revised: 7/13/2022, 04/16/24

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POLICY

Northfield Public Library provides equal and open access to its facilities and resources. Each library patron has a personal responsibility to ensure that the library is a welcoming public library environment for all to use. While everyone has an equal right to the library, no person may interfere with the ability of others to use and enjoy library resources, services and facilities. Library staff have the right to provide library services without fear of abuse or threatening behavior from people using the library or library grounds.

In order to ensure a welcoming environment, library patrons will:

- Behave in a manner that is courteous and respectful of other people using the library building and grounds, allowing everyone to enjoy library resources, services, events and facilities;
- Stay in public areas unless expressly authorized by library staff to enter a non-public area;
- Allow library employees to perform their duties without unreasonable interference with or obstruction of library staff undertaking their respective duties within the scope of their employment;
- Safeguard personal items;
- Respect the personal and physical boundaries of library staff, volunteers, and other patrons;
- Wear shoes, shirt and other clothing appropriate for a public building; and
- Comply with all federal, state and local laws.

Library patrons will not engage in the following conduct within the library or on library grounds:

- Illegal activities or behaviors, including but not limited to the misuse of library computers and the City network;
- Intentionally damaging library property, including but not limited to library equipment, facilities, books, building or grounds;
- Harassing, violent, discriminatory, or offensive behaviors or activities that unreasonably interfere with other patrons, volunteers, or library staff
 - Harassing behavior may involve, but is not limited to, individual or repeated incidents of intrusive or unwanted acts, words, or gestures that have an adverse effect or are intended to have an adverse effect on the safety, security, or privacy of another.
 - Incidents that may be deemed harassing on an individual or repeated basis may involve prohibited behavior exemplified below as violent, discriminatory, or offensive;
 - Violent behavior may include the use of physical force, harassment, bullying or intimidation;
 - Discriminatory behavior may include inappropriate remarks about or conduct related to a person's race, color, creed, religion, national origin, disability, sex, marital status, age,



11.078 LIBRARY PATRON CONDUCT POLICY
LIBRARY
Enabling Legislation: NEED ENABLING LEGISLATION Not Available
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sexual orientation, familial status, or status with regard to public assistance, veteran status, membership on a local human rights commission, pregnancy, childbirth, or related medication conditions, reserve or National Guard status, military service, citizenship, or any other basis protected by law;

- Offensive behavior may include rudeness, angry outbursts, inappropriate humor, vulgar obscenities, name-calling, disparaging language, or any other behavior regarded as offensive to a reasonable person based upon violent or discriminatory behavior as listed above. It is not possible to anticipate every example of offensive behavior;
- Using profane, discriminatory or abusive language, or speaking in an unreasonably loud or disruptive manner, including but not limited to personal phone calls;
- Fighting or other threatening behaviors;
- Possessing weapons, except as otherwise provided by law;
- Consuming or otherwise using alcohol, tobacco, tobacco related products, e-cigarettes, illegal drugs or controlled substances, or being under the influence of the foregoing and acting in a manner that causes a public disturbance;
- Soliciting business in the library or on library property;
- Sleeping in the library or on library property;
- Leaving unattended a vulnerable adult or a child under 8 years of age; or
- Eating in the library, except in designated areas.

In applying this Policy, Library staff may:

- Weigh the degree of conduct that violates this Policy with the onsite conditions at the time and exercise their best judgment in determining the correct course of action;
- Explain and/or provide copies of this Policy to patrons and request that patrons conduct themselves in compliance with this Policy to maintain a welcoming public library environment;
- Ask patrons to leave the library for conduct in violation of this Policy based on the circumstances presented;
- Seek assistance from library supervisors to resolve ongoing or escalating patron conduct issues; and/or
- Request that the Library Director suspend one or more of a patron's library privileges for up to one year for severe or repeated violations of this policy.

Enforcement:

- Any person who violates this Patron Conduct Policy may be suspended from the library premises for up to one year. The length of suspension is at the discretion of the Library Director and shall be appropriate to the violation, taking into consideration the circumstances presented and the history of past violations, if any. The Notice of Suspension shall be in writing and either hand delivered or mailed to the suspended person at the mailing address that the library has in its records for the suspended person.



11.07⁸ LIBRARY PATRON CONDUCT POLICY
LIBRARY
Enabling Legislation: NEED ENABLING LEGISLATION Not Available
Date Adopted: 08/17/2016
Revised: 7/13/2022, 04/16/24

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- The person suspended shall be provided with a copy of this Patron Conduct Policy along with the Library Director's written Notice of Suspension.
- The person suspended may appeal to the City Administrator in writing within 10 days of the date of the Notice of Suspension from the Library Director. In an appeal, the person suspended shall have the opportunity to present evidence that may support retraction of the suspension.
- The City Administrator may affirm, modify or deny the appeal and the City Administrator's decision shall be final.
- All persons violating this Policy shall comply with a lawful directive made by Library staff or law enforcement. If a person suspended from the Library returns to the Library before the defined period of suspension has expired, or if the person refuses to leave the library when asked to do so by Library staff, staff may contact law enforcement to intervene to have the person removed from the Library. Such conduct may be referred to the proper prosecuting authorities for legal action in accordance with Minnesota Statutes.



11.089 GIFT FUND POLICY
LIBRARY
Enabling Legislation: <u>Not Available</u>
Date Adopted: <u>03/11/2015</u>
Revised: <u>03/10/2017</u> , <u>04/10/24</u>

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POLICY

It is the policy that all gift monies donated to the Northfield Public Library will be deposited into gift fund accounts managed by the City. These funds may not be expended without the prior permission of the Library Board.

At the time of the donation, each gift will be identified as falling within one of four categories, which will distinguish how the gift shall be used.

Designated

Donations and grants with a specific purpose (i.e. audiovisual materials, Adult programming, Children's literature etc.) shall be classified as Designated and will be deposited in the Designated account of the Library Gift Fund for the stated purpose. Designated funds should be expended within the year of the donation unless the donor stipulates the establishment of an ongoing Designated Gift Fund. In this case, a specific named fund will be established within the Library Gift Funds budget.

Undesignated

Donations and grants with no specified purpose other than general support of the library shall be classified Undesignated and will be deposited in the Undesignated account of the Library Gift Fund. During the first quarter of the fiscal year, the Board will review staff budget requests for the expenditure of Undesignated Gift Funds and recommend distribution of these funds.

Capital Fund

Donations and grants with the specified purpose of library expansion, major remodeling or other non-operating expenditures shall be classified Capital Fund and will be deposited in an established Capital Fund account. The Capital Fund will be preserved for library expansion, major remodeling or other expenditures outside the regular scope of the operating budget. Library expansion could include: costs related to feasibility studies, architectural fees and other preliminary expenses to a building project, and furnishings and equipment that may be needed to make the new or remodeled space function as intended.

Endowed Fund

The Library recognizes the importance of planned gifts in enhancing the library's programs, facilities and collections in establishing the Endowment Fund. These gifts are considered true Endowment funds; for the purposes of this Policy, Endowment Funds are gifts placed into a permanent fund, the principle of which may not be withdrawn. Gifts of over \$5,000 may be used to set up a named, true endowment.



11.089 GIFT FUND POLICY
LIBRARY
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Date Adopted: <u>03/11/2015</u>
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Gift Fund Regulations

- Upon the recommendation of the Library Board, the City Council of Northfield makes the final decision on acceptance of monetary gifts. The City of Northfield retains ownership of Library Gift funds, but these funds can only be expended at the direction of the Library Board.
- Checks shall be made payable to the Northfield Public Library. In no event shall a check be made payable to an individual who represents the library in any capacity.
- Gifts to the library, a governmental unit, may qualify as a tax deduction; donors will have to consider their particular circumstances for the specific effect and should consult with their tax advisor.

Endowment Fund Regulations

- The Endowment Fund is part of the Northfield Public Library's assets. Investment funds shall be managed by the City's Finance Department. The Library Board shall receive quarterly reports from the Finance Department.
- The library may accept a wide variety of Endowment Fund gifts such as:
 - Readily marketable securities, such as those traded on a stock exchange
 - Closely held securities
 - Real estate
 - Life insurance
- Planned giving can be bequests or other deferred giving through estate planning or outright gifts.
- The library encourages deferred gifts in its favor through any of a variety of vehicles such as:
 - Charitable or deferred gift annuity
 - Pooled income fund
 - Charitable remainder trust
 - Charitable lead trust
 - Bequest
 - Retained life estate
- The library or its agent shall not act as a personal representative or executor for a donor's estate or as a trustee of a charitable remainder trust.
- An Endowment Fund gift may be any vehicle by which assets are transferred to the Northfield Public Library directly by the donor or by the donor's agent upon the death of the donor. The assets may be in any form, such as cash, securities, personal property, or real property and should identify the Northfield Public Library as the beneficiary.

Donor Recognition for all Gifts

- The library will provide written acknowledgment to the donor of Designated, Undesignated, Capital Fund or Endowed Funds which clearly describes the nature of the gift.
- Unless anonymity is specifically requested and with full respect for donor privacy, donors to the Northfield Public Library or the Friend and Foundation of the Northfield Public Library will be recognized.



11.089 GIFT FUND POLICY
LIBRARY
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Responsibilities of the Library Board

- Review and approve staff requests for Gift Fund expenditures
- Report to the Northfield City Council on the status of assets, expenditures and plans for Gift Funds on an annual basis.

*Adopted by
The Northfield Public Library Board
March 11, 2015*

Revised and Adopted by
The Northfield Public Board
May 10, 2017



11.0910 GIFT POLICY
LIBRARY
Enabling Legislation: <u>N/A/N/A</u>
Date Adopted: <u>03/11/2015</u>
Revised: <u>03/10/2017</u> , <u>04/16/24</u>

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POLICY

It is the policy that gifts are important to the library. Not only do donations of books and other library materials improve the library's collection, but other kinds of gifts can also enhance library services in many different ways. This policy is designed to establish how gifts of various types will be accepted and handled by library staff.

Books and Library Materials

All donations of library materials will be accepted on the condition that the library has the authority to add them to the collection, to sell them or to do whatever seems most advantageous for the library. Special collections of books will not be accepted with binding conditions, e.g. that the collection must be shelved as a collection or that it can never be deaccessioned. Memorial donations of library materials will be accepted if they meet the criteria which library staff would apply to materials selected for the library's collection; gifts of money to be used to purchase memorial materials will be accepted and library staff will choose materials within suggested parameters, provided these suggestions fit the library collection. Once added to the collection, all gifts of library materials are subject to the same criteria for weeding as are any other materials.

Gifts of personal property, art objects, antiques and other items of monetary value

Gifts of this type may be accepted if they are specifically related to library objectives. Since space for display of art is limited, gifts of art and antiques should be encouraged only as they meet the needs of the library collection. It is the responsibility of the donor to appraise non-cash donations. These donations will be considered on an individual basis by the Library Board, and will be accepted upon such terms and conditions as the Board may seem appropriate. These gifts will be recognized as a part of the annual acceptance of gifts by the City Council in January or February of the year following the gift.

Gifts of money, real property or stocks

Gifts of this type will be accepted upon such terms and conditions as may seem appropriate to the Library Board, and are delineated in the Northfield Public Library Gift Fund Policy (11.08).

Responsibilities of the Library Board regarding the Gift Fund

The Library Board responsibilities include:

- Approving the expenditure of undesignated gift funds.
- Ascertaining that the gift funds designated for particular purposes are spent appropriately.
- The selection of art works and antiques to be purchased by the library.
- The screening of art works and antiques to be donated to the library.
- Other related duties as they become apparent.



11.0910 GIFT POLICY
LIBRARY
Enabling Legislation: <u>N/A/N/A</u>
Date Adopted: <u>03/11/2015</u>
Revised: <u>03/10/2017</u> , <u>04/16/24</u>

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The Library Board may consult with art experts in the community if they wish to do so.

Responsibilities of the City Council regarding gifts

By ordinance, all gifts to City departments must be accepted by the City Council. The Library Director will compile an annual list of all monetary gifts donated to the library. This list will be submitted to the City Council at a meeting in January or February of the following year. Monetary gifts or gifts of art, real property or stocks valued by the donor in excess of \$5,000 should be submitted to the City Council for acceptance at the time of donation. These larger donations accepted by the City Council at the time of their donation will not be submitted as a part of the annual compilation and reporting to City Council, as they have already been accepted and recorded.

Responsibilities of the Library Director

The Library Director will promptly acknowledge all gifts to the library with appropriate notes of thanks. Money designated for specific purposes should be spent as promptly as possible. The Library Director may designate another staff member to handle the selection of library materials.

Adopted by
Northfield Carnegie Library board
December 16, 1986

Revised and adopted by the
Northfield Public Library Board
May 10, 2017



11.101 CIRCULATION POLICY
LIBRARY
Enabling Legislation: N/A Not Available
Date Adopted: 12/15/1998
Revised: 09/08/2021, 04/16/24

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POLICY

It is the policy of the Northfield Public Library (Library) to facilitate the borrowing of Library materials, except for those judged irreplaceable or needed in the collection for basic informational services.

Circulation Policy Goals

The goals of the Library Circulation Policy are:

- To allow patrons to borrow materials in an accessible, efficient, and confidential manner.
- To allow patrons to reserve materials, including those not immediately available for borrowing.
- To protect patron confidentiality in borrowing of material.
- To provide accurate and reliable information about the materials collection.
- To maintain confidential accurate records of patrons registered for Library cards.
- To ensure all Library materials are available to the patrons for use at the Library.
- To maintain reasonable restrictions on use for materials that are fragile or too valuable for use, including some archival materials.

BORROWER REGISTRATION

Registration is the process of giving a library user a card with a barcode and entering the necessary information into the library database. Each borrower's individual record includes personal information that identifies and locates the borrower and lists of materials which are currently on loan to the borrower. According to Minnesota Data Practices (see Data Privacy Policy 11.01)), all information, except the names of borrowers, is private. Library staff is expected to protect this privacy and to use the information for library purposes only. This information is only available to Library staff who need to access it in the performance of their job, and not available or accessible to other City staff, elected officials, advisory board members, with the exception of City staff to recover borrowed materials.

Eligibility

All residents within the corporate city limits of Northfield, including those portions of Northfield in Dakota County are eligible for a Library card. Additionally, all residents of the 11-county South Eastern Libraries Cooperating (SELCO) region are eligible to receive cards at the Northfield Public Library. Each patron should have only one library card, with the exception of students who have cards in those school libraries that use the SELCO automation system.

Borrowing Privileges

The Northfield Public Library card entitles the carrier to check out materials at all eligible SELCO libraries, including the Northfield Public Library. The Northfield Public Library card also entitles the card holder to borrow materials at all libraries in the State of Minnesota who belong to the Minnesota Borrower's Compact.



11.101 CIRCULATION POLICY
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Suspension or Loss of Privileges

Suspension of borrowing privileges occurs upon the following:

- A patron has fees exceeding \$10.00
- A patron has more than 60 items checked out

Borrowing privileges resume when fees are paid down below the \$10.00 threshold.

Welcome cards

People who are not Minnesota residents but who are living in Northfield for a period of less than six months may apply for a temporary card. A deposit is required to obtain the temporary card. The deposit is returned to the borrower when all borrowed materials are returned, fines or fees paid for, and the temporary card is relinquished.

Non-resident cards

Non-resident cards are available to library patrons who live outside of the State of Minnesota. A non-resident card has an annual fee which is set by the SELCO Regional System and subject to change on a yearly basis.

Juvenile and Teen Library cards

There are no age restrictions for obtaining a library card. Parents or guardians for juveniles under the age of 16 are required to sign the library card application that specifies responsibility for all library fees and fines incurred by their minor children. Cards for students 16 years of age and older will be issued without a parent or guardian's signature with proper picture ID.

College Student cards

Patrons who attend St. Olaf or Carleton Colleges may obtain a College Student card. Patron needs to provide student ID card. College Student cards expire after one year.

Identification

Patrons must provide identification with name and current address. The preferred form of identification is a valid Minnesota driver's license with a current address, a City of Northfield City ID, or a Minnesota ID card. In the case of minor children under 16, the driver's license of one parent or guardian is required. If the above identification is not available, library staff may accept a utility billing sent to the current address or a checkbook with preprinted address, a tax receipt or other forms of printed ID in combination with a picture ID. Cards provided with this form of identification offer full borrowing privileges.



11.101 CIRCULATION POLICY
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Date Adopted: 12/15/1998
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Individuals who are unable to provide current verification of name and address will be issued a library card which restricts borrowing privileges ("Welcome card"). Once verification of name and current address are provided, a regular library card will be issued.

Lost or stolen cards

There is no fee for stolen cards; for lost cards, a fee will be charged.

Expiration

The standard "expiration" date for a Northfield Public Library Card is 1095 days or three years. College student cards expire after one year. Welcome cards expire after three months.

LOANING MATERIALS

Library cards

All borrowers must be registered in the SELCO database. A valid library card or proper photo ID will be required in order to borrow materials without restrictions.

Privacy

To ensure the privacy of our patrons, Library staff will verify the identity of the borrower by requesting the library card number of the patron before providing information over the telephone or email. If the patron is unable to provide their card number, staff will ask the patron to verify their address and birth date.

Standard loan periods

All Northfield Library materials can be checked out for 21 days, with the exception of new DVDs, Vinyl Records, and Video Games, which can be checked out for 7 days.

Overdue Notices and Fees

Each patron has the right to be fully informed of all materials, overdue materials and fines on the patron's record at each check out and via their online Library Account. The SELCO computer system will generate overdue notices and replacement (lost item) bills on a schedule determined by our library. It is the responsibility of the patron to ensure that Library staff has their current email, phone, and address to ensure prompt notification of overdue materials and bills. Failure to pay fees, return late material or pay replacement bills will result in a suspension of library lending privileges.

Overdue Fines



11.101 CIRCULATION POLICY
LIBRARY
Enabling Legislation: N/A Not Available
Date Adopted: 12/15/1998
Revised: 09/08/2021, 04/16/24

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Effective January 1, 2022, the Northfield Public Library will not charge fines on Northfield Public Library materials that are overdue. Fines incurred prior to January 1, 2022 will be removed from patron accounts. This does ***not*** apply to lost or damaged items, or items loaned from other libraries. Other libraries in SELCO may still charge fines for material returned or renewed after the due date.

*Adopted by
Northfield Carnegie Library Board
Date: December 15, 1998*

*Revised and reaffirmed by
Northfield Public Library Board
Date: February 15, 2005
Date: October 10, 2015
Date: March 11, 2015
Date: September 11, 2019
Date: September 8, 2021*



11.113 LIBRARY PROGRAMMING POLICY
LIBRARY
Enabling Legislation: N/A
Date Adopted: 06/08/2022
Revised: 07/12/202304/16/24

PURPOSE

The purpose of this policy is to address programming, including book displays and exhibits (1) developed and sponsored by the library and (2) developed by members of the community and co-sponsored by the Library. The Northfield Public Library is a core community service providing free and open access to services, resources, and programs that foster literacy, cultural appreciation, enrichment, resilience, and a connected community. Library programs extend and promote the role of the library as a community resource; enhance the information found in library collections; offer a way for people to obtain information; encourage participation in civic life; and serve the cultural and leisure-related interests of the community.

LIBRARY PROGRAMMING

Library-initiated programs include, but are not limited to, lectures, displays, exhibits, community forums, performing and visual arts, participatory workshops, technology programming, creative learning programming, wellness programs, story times, continuing education, fairs and conventions, book clubs, discussion groups, demonstrations, and presentations for social, cultural, educational, or entertainment purposes. Library-initiated programs may take place onsite at the library, off-site at other locations, or online, and may be provided by library workers, volunteers, or partners. Libraries may also choose to promote their programs, services, and resources through displays and digital signs.

Library-initiated programs support the mission of the library by providing users with additional opportunities for accessing information, education, and recreation. Article I of the [Library Bill of Rights](#) states, "Books and other library resources should be provided for the interest, information, and enlightenment of all people of the community the library serves." Library displays increase awareness of programs, resources, and services.

Library staff may use, but are not limited to, the following criteria in program planning:

- Relation to equity, diversity, and inclusion goals
- Relation to library mission and service goals
- Community needs and interest
- Historical, cultural, or educational significance
- Presentation quality and treatment of content for intended audience
- Presenter background/qualifications/reputation
- Availability of program space
- Budget and staffing considerations
- Connection to other community or national programs, exhibitions, or events
- Relation to library collections, resources, exhibits, and programs.

Requests from individuals to present library programs are considered using the above criteria.



11.113 LIBRARY PROGRAMMING POLICY
LIBRARY
Enabling Legislation: N/A
Date Adopted: 06/08/2022
Revised: <u>07/12/2023</u>04/16/24

The purpose of programs may not be purely commercial or for the solicitation of business. The presenter may leave business cards for participants to pick up after the program should anyone be interested in purchasing items or services from the presenter.

Every attempt will be made to accommodate all who wish to attend a program. However, when safety or the success of a program requires it, attendance may be limited. When limits must be established, attendance will be determined on a first come, first served basis, either with advanced registration or at the door.

Programs will be developed with consideration for the principles of accessibility and equity. These include, but are not limited to, access for people with disabilities, and times and locations that maximize convenience and encourage attendance by the target audience. The Library staff has the discretion to cancel programs, to be rescheduled or not.

In some cases, the nature and success of a program may require that attendance is limited based on age, especially programs intended for children and teens that are geared to their interests and developmental needs. In no case will attendance at a program be limited because the content of the program may be deemed controversial by some. However, the Library cannot accommodate events that are expected to exceed our room capacity. The maximum capacity of the Bunday Room is 65.

All Library programs must be open to the public and offered free of charge. However, recognizing that program attendees may wish to purchase items like books written by speakers or recordings made by performers, the Library may permit the sale of such items in conjunction with a Library-sponsored program. All plans to sell such items must be arranged in advance and approved by the Library staff responsible for the program. The Library reserves the right to use video or photographs taken of program participants for internal use, publication, and use in library promotional outlets, and for evaluation purposes.

The Library will strive to include a wide spectrum of opinions and viewpoints in Library-initiated displays and exhibits, as well as offer displays and exhibits that appeal to a range of ages, interests, and information needs. Library-initiated displays and exhibits should not exclude topics, books, media, and other resources solely because they may be considered to be controversial.

CO-SPONSORED PROGRAMS

The Library may partner or co-sponsor programs with other agencies, organizations, and businesses provided the programs are compatible with the Library's mission and vision. The Library will generate joint programming and invite partners to co-sponsor or collaborate. Co-sponsored programs must include involvement by Library staff in the planning of program content. Professional performers and presenters who offer specialized or unique expertise may be hired for Library programs. Library sponsorship of a program does not constitute an endorsement of the program content or the views



11.113 LIBRARY PROGRAMMING POLICY
LIBRARY
Enabling Legislation: N/A
Date Adopted: 06/08/2022
Revised: 07/12/202304/16/24

expressed by the participants or speakers.

This program policy does not apply to:

- events that are developed only for special purposes such as donor recognition, fund-raising, or media conferences
- programs offered by other organizations on library premises where space is provided under the terms and conditions of the of the Meeting Room Policy (2.07).

As an institution which promotes the free exchange of information and ideas, Northfield Public Library welcomes the opportunity to collaborate with individuals and organizations who wish to host a display, exhibit, or table in the Library. The Library can offer limited public space in its buildings for such displays.

Organizations exhibiting or tabling in the Library must be non-commercial unless they are pursuant to a partnership with the Library. The Library reserves the right to cancel an exhibit or table, should conditions warrant such an action.

STATEMENT OF CONCERN ABOUT LIBRARY PROGRAMS, BOOK DISPLAYS AND/OR EXHIBITS

Concerns, questions, or complaints about Library-initiated programs and displays are handled according to the same written policy and procedures that govern reconsiderations of other Library resources. These policies are applied equally to all people, including, but not limited to, Library users, staff, elected officials, and members of the governing body.

Individuals may request reconsideration of a selection decision of Library material, displays, or programs by filling out a written "Statement of Concern" form, available [online](#) or at the Reference desk. The Library Director will respond in writing to an individual's written request. The Northfield Public Library Board, upon request, will hear appeals of the Library Director's written response. Appeals must be presented in writing to the Library board at least ten days in advance of the next regularly scheduled meeting of the board. Decisions on appeals are based on careful review of the objection, the material, and NPL policies, including: this policy, the Library Bill of Rights, the Right to Read and the Right to View, and the American Library Association's guidelines on intellectual freedom. The final decision on appeals rests with the Northfield Public Library Board.



11.142 TEEN SPACE USAGE POLICY
LIBRARY
Enabling Legislation: N/A
Date Adopted: 07/13/2022
Revised: N/A04/16/24

PURPOSE

Northfield Public Library is committed to providing inviting and safe spaces for teen patrons (ages 12 through 18) to engage in individual and group activities, and to support the unique developmental, recreational, educational, and social needs of teenage patrons. Our teen space is a dedicated area designed and intended exclusively for teen patrons. Teens can socialize, hang out, attend programs, and use Library resources in a welcoming and teen friendly environment.

POLICY

- Food and drink are permitted within the teen space. Patrons are expected to clean up after themselves.
- Parents and caregivers are responsible for determining the suitability of materials for their teen(s). Materials in the teen collection are selected for teen patrons. The collection should meet the needs of this entire age group; however, materials provided for an 18-year-old may not be appropriate for a 12-year-old.
- Teen spaces are intended exclusively for patrons ages 12 through 18 years old.
- Adults (including, but not limited to parents, caregivers, tutors, or legal advocates) may stay in teen spaces with their teens only if they are actively assisting with material selection, homework, or other one-on-one help. Adults and children are welcome to browse and check out materials from the teen collection for use outside of the teen space.
- Equipment and furniture in the teen space is designated for use in the space only and is not to be removed.
- Teen patrons are expected to follow Northfield Public Library's Patron Conduct Policy (11.07).



12.012.01 ART IN PUBLIC PLACES POLICY
COUNCIL ARTS AND CULTURE
Enabling Legislation: R2017-073
Date Adopted: 09/18/17
Revised: 04/16/24

PURPOSE

The purpose of this policy is to guide public and private development and the installation of public art within the City of Northfield.

The Northfield Arts and Culture Commission (ACC) is designated to develop and advocate for art and design standards for city facilities, public areas and private development that will present a coherent image of Northfield as a place of unique aesthetic, architectural, and cultural identity.

ARTS AND CULTURE COMMISSION

OBJECTIVES

The Northfield Arts and Culture Commission (ACC) advocates for public support of the arts and promotes art that demonstrates the following objectives:

- Enhances the aesthetic environment of public places such as buildings, roads, paths, sidewalks and landscapes through high-quality public art, including permanent and temporary art installations.
- Contributes to community identity and place by, for instance:
 - Building awareness of and celebrating the community's diverse history, identity, cultures and geography; and
 - Inviting community response to proposed installations of public art; and
 - Involving a broad range of groups, neighborhoods and organizations in the planning or creation of public artworks.
- Adds to community vitality by, for instance:
 - Promoting Northfield as a nationally and internationally recognized arts city and tourist destination;
 - Building the capacity of and cooperation between the private and public sectors, artists and community members; and
 - Encouraging civic dialogue about the role of art in civic life and Northfield development.
- Involves artists in the creation and development of art by encouraging a variety of creative opportunities for artists with a range of experiences.
- Provides opportunities for public, private, or public/private support of the creation, acquisition and installation of art works by, for instance:
 - Integrating artwork into City building projects by involving artists in the planning process; and
 - Identifying grant, municipal and other funding sources.

ARTS AND CULTURE COMMISSION

The City of Northfield has established an Arts and Culture Commission to advise the City Council on the development of arts and cultural activities, organizations and facilities in Northfield (Ord. No. 855, 1-8-2007).

PURPOSE (Ord. No. 855, 1-8-2007)



12.012.01 ART IN PUBLIC PLACES POLICY

COUNCIL ARTS AND CULTURE

Enabling Legislation: R2017-073

Date Adopted: 09/18/17

Revised: 04/16/24

The purpose of the Commission shall be to assist Northfield in becoming a community in which arts and cultural activities:

- Are recognized as vital components of community life that are worthy of investment and support from the public, private and non-profit sectors;
- Are valued and promoted for their economic benefits and development potential, especially in the downtown;
- Include new ethnic groups in Northfield's identity and sense of community;
- Represent an integral part of Northfield's educational mission and programs for young people;
- Engage the talents and involvement of retirees and senior citizens;
- Develop a wider array of opportunities for collaboration between faculty and student artists at the two colleges and community artists; and
- Cooperate to enhance the public perception of Northfield's identity and quality of life in the community itself, the surrounding region, and beyond.

RESPONSIBILITIES (Ord. No. 855, 1-8-2007)

The commission shall be advisory to the City Council and its responsibilities shall include the following:

- Develop, update and recommend to the Council a City mission, public agenda and strategic plan for arts and culture in Northfield;
- Provide leadership for completing the comprehensive plan sections regarding civic arts and culture goals and planning, and providing input for plan revisions;
- Leverage individual, corporate, foundation and City funding for arts and cultural activities;
- Facilitate collaboration and joint planning among public and private agencies involved with related issues such as economic development, tourism and arts education;
- Provide support in the planning, acquisition and/or development of land and facilities by the City as needed to support Northfield's arts and cultural activities and organizations, and the development of affordable studio space and housing for individual artists;
- Upon request of the City Council, develop and advocate design standards for City facilities, public areas and private development, which represent a coherent image of Northfield as a place of unique aesthetic, architectural and cultural identity;
- Plan and advocate funding for the installation of public art in Northfield that enhances the City's appearance and artistic appeal; and
- Foster inclusive and cross-cultural activities to help build community as Northfield continues to become more diverse.

MEMBERSHIP (Ord. No. 855, 1-8-2007; Ord. No. 943, 2-19-2013; Ord. No. 961, § 2, 9-16-2014)

- The commission shall initially consist of seven volunteer members, who shall serve without financial compensation. The commission may be expanded to up to nine members at any time by resolution of the Council. In addition to the seven regular commission members, there shall be one youth voting member and one youth ex-officio non-voting member on the commission.
- Members shall be appointed by the Mayor, with the approval of the City Council. Members may be removed at the discretion of the Mayor and Council.
- Members shall be appointed from each of the following sectors of the community, if possible:



12.012.01 ART IN PUBLIC PLACES POLICY

COUNCIL ARTS AND CULTURE

Enabling Legislation: R2017-073

Date Adopted: 09/18/17

Revised: 04/16/24

- Arts and cultural organizations.
 - Carleton and St. Olaf Colleges.
 - Local schools.
 - Business community.
 - Independent artists.
 - Community at large.
- Members shall serve for three-year terms, except as otherwise provided herein with respect to youth members. Terms shall begin on January 1 and end on December 31, provided that a member shall continue to serve until a successor is appointed. An appointment to fill a mid-term vacancy shall be made by the Mayor for the duration of the term. The youth commission members shall be high-school aged, grades nine through twelve. The youth commission members shall be appointed for one-year terms in the same manner as other members of the commission. Youth commission member terms shall commence June 1 and expire the following May 31.
- Members who serve three consecutive terms, not including a partial term due to appointment to fill a vacancy, shall be ineligible for reappointment for one year following the completion of their third term.

OFFICERS AND THEIR DUTIES (Ord. No. 855, 1-8-2007)

1. At the first meeting of each year, the members of the commission shall select by majority vote a chair, vice chair and secretary to serve until the end of that year and until a successor is chosen.
2. The chair shall:
 - Set the agenda and preside at meetings of the commission.
 - Call additional meetings as needed.
 - Assign duties to commission members.
 - Arrange meetings with other commissions, boards, and organizations from the public, private and non-profit sectors as needed.
 - Communicate with the City Council and staff as needed.
 - Provide overall leadership to the commission in carrying out its purposes and responsibilities.
3. In the absence of or at the request of the chair, the duties of the chair shall be performed by the vice chair, and in the absence of both the chair and vice chair, by the secretary.
4. The secretary shall keep minutes and maintain permanent records of every meeting of the commission, and shall submit minutes for approval at each successive meeting. The secretary shall serve as correspondent for the commission. Copies of the minutes of all meetings shall be filed with the City Clerk.

MEETINGS (Ord. No. 855, 1-8-2007)

The commission shall meet at least monthly and as otherwise determined by the chair. A regular meeting may be cancelled by the chair or a majority of the commission.

QUORUM (Ord. No. 855, 1-8-2007)

For the transaction of business at any meeting of the commission, a quorum consisting of at least one-half of all members shall be required.



12.012.01 ART IN PUBLIC PLACES POLICY

COUNCIL ARTS AND CULTURE

Enabling Legislation: R2017-073

Date Adopted: 09/18/17

Revised: 04/16/24

STAFF SUPPORT (Ord. No. 855, 1-8-2007)

A City staff member shall act as liaison to the commission, provide staff support, and help get recommendations of the commission on the agenda for consideration by the City Council when necessary.

PUBLIC ART REVIEW COMMITTEE (PARC): PURPOSE, MEMBERSHIP, PROCESSES

To carry out its public art responsibilities per Sec. 2-358(f), the ACC proposes to establish and maintain a Public Arts Review Committee, which will have the following five responsibilities:

- Advise the ACC regarding commissioning, installation, maintenance and decommissioning of publicly funded art to ensure positive impact on civic quality of life and aesthetic environment.
- Reserves the right, on behalf of the ACC and the City, to approve art and may reject any art that it deems offensive to any race, age, creed, religion, gender or disability.
- Update and advise the ACC regarding all public art that will be installed in the historic downtown district.
- Approve the design, installation, maintenance and decommissioning of privately or publicly funded two- or three-dimensional art, sculpture or garden-art decoration or installations on City-owned property.
- Where the parties agree to a cooperative effort, advise private and non-profit projects that will be installing art in locations that will be accessible to and frequented by the public (e.g., the Depot).

MEMBERSHIP IN PARC

- A committee of up to nine members shall be appointed by the ACC and approved by the City Administrator.
- The panel will include two ACC members, a City staff liaison, a Public Works staff member, and panelists appropriate to the genre of artwork, and to the location and project under consideration.
- Panel members may include artists, arts faculty members, architects and department staff related to the project, arts administrators, and two or more at-large community representatives, including representatives of diverse groups. ACC will convene PARC on an ad-hoc basis when the need arises.

SCOPE OF WORK

- ACC/PARC will facilitate communication among City staff coordinating public art projects, artists and public arts stakeholders.
- ACC/PARC will work closely with the representatives of public arts sites to advance outcomes, goals, and the interests of Northfield residents, businesses, and property owners.

REVIEW CRITERIA

PARC review of publicly funded commissions, purchases or installations shall consider, but not be bound by any one of, the following review criteria in choosing works to recommend to the ACC and the City.

- Artistic excellence



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- Does the project represent workmanship of the highest quality; and
 - Does the project satisfy the parameters of the request for proposals, if applicable; and
 - Does the project represent a cohesive, unified theme or idea; and
 - Is the project original, compelling and creative work?
- Public involvement
 - Does the project's development and review include participation by residents, users, community organizations and institutions, businesses, cultural communities, advocacy groups, and students and youth, as appropriate; and
 - Does the project facilitate public involvement via community meetings, community survey, and requests for proposals?
- Enhancement of community identity and place
 - Does the site, surrounding area or project provide an opportunity to reflect on the community and its characteristics, including history, identity, geography and cultures; and
 - Is the project appropriate for public display; and
 - Is the project acceptable to current community standards; and
 - Are there opportunities within the project to integrate artwork into the design or function of structures?
- Community vitality
 - Will the site and project be visible to visitors and residents; and
 - Will the project appeal to a broad range of people; and
 - Is the project making an effort to build capacity and cooperation between the private and public sectors, artists, arts organizations and community members; and
 - Does the project encourage civic dialogue about art and civic issues?
- Safety and maintenance of public art
 - What is the plan for maintenance and repair?
 - Is the piece safe for public interaction?

STATEMENT OF NON-DISCRIMINATION

Recommendations about public art decisions will be made without regard to an individual's or the perception of an individual's race, color, creed, religion, sex, domestic relationship status, parent status, familial status, sexual orientation, national origin, gender identity, age or disability, or the use of a trained dog guide by a blind, deaf or otherwise physically disabled person.

Each call for artists will be posted on the City and the Arts and Culture Commission websites.

~~ARTS AND CULTURE COMMISSION~~

~~The City of Northfield has established an Arts and Culture Commission to advise the City Council on the development of arts and cultural activities, organizations and facilities in Northfield (Ord. No. 855, 1-8-2007).~~

~~PURPOSE (Ord. No. 855, 1-8-2007)~~



12.012.01 ART IN PUBLIC PLACES POLICY

COUNCIL ARTS AND CULTURE

Enabling Legislation: R2017-073

Date Adopted: 09/18/17

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The purpose of the Commission shall be to assist Northfield in becoming a community in which arts and cultural activities:

- Are recognized as vital components of community life that are worthy of investment and support from the public, private and non-profit sectors;
- Are valued and promoted for their economic benefits and development potential, especially in the downtown;
- Include new ethnic groups in Northfield's identity and sense of community;
- Represent an integral part of Northfield's educational mission and programs for young people;
- Engage the talents and involvement of retirees and senior citizens;
- Develop a wider array of opportunities for collaboration between faculty and student artists at the two colleges and community artists; and
- Cooperate to enhance the public perception of Northfield's identity and quality of life in the community itself, the surrounding region, and beyond.

RESPONSIBILITIES (Ord. No. 855, 1-8-2007)

The commission shall be advisory to the City Council and its responsibilities shall include the following:

- Develop, update and recommend to the Council a City mission, public agenda and strategic plan for arts and culture in Northfield;
- Provide leadership for completing the comprehensive plan sections regarding civic arts and culture goals and planning, and providing input for plan revisions;
- Leverage individual, corporate, foundation and City funding for arts and cultural activities;
- Facilitate collaboration and joint planning among public and private agencies involved with related issues such as economic development, tourism and arts education;
- Provide support in the planning, acquisition and/or development of land and facilities by the City as needed to support Northfield's arts and cultural activities and organizations, and the development of affordable studio space and housing for individual artists;
- Upon request of the City Council, develop and advocate design standards for City facilities, public areas and private development, which represent a coherent image of Northfield as a place of unique aesthetic, architectural and cultural identity;
- Plan and advocate funding for the installation of public art in Northfield that enhances the City's appearance and artistic appeal; and
- Foster inclusive and cross-cultural activities to help build community as Northfield continues to become more diverse.

MEMBERSHIP (Ord. No. 855, 1-8-2007; Ord. No. 943, 2-19-2013; Ord. No. 961, § 2, 9-16-2014)

- The commission shall initially consist of seven volunteer members, who shall serve without financial compensation. The commission may be expanded to up to nine members at any time by resolution of the Council. In addition to the seven regular commission members, there shall be one youth voting member and one youth ex-officio non-voting member on the commission.
- Members shall be appointed by the Mayor, with the approval of the City Council. Members may be removed at the discretion of the Mayor and Council.
- Members shall be appointed from each of the following sectors of the community, if possible:



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COUNCIL ARTS AND CULTURE

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- ~~○ Arts and cultural organizations.~~
- ~~○ Carleton and St. Olaf Colleges.~~
- ~~○ Local schools.~~
- ~~○ Business community.~~
- ~~○ Independent artists.~~
- ~~○ Community at large.~~
- ~~● Members shall serve for three year terms, except as otherwise provided herein with respect to youth members. Terms shall begin on January 1 and end on December 31, provided that a member shall continue to serve until a successor is appointed. An appointment to fill a mid term vacancy shall be made by the Mayor for the duration of the term. The youth commission members shall be high school aged, grades nine through twelve. The youth commission members shall be appointed for one year terms in the same manner as other members of the commission. Youth commission member terms shall commence June 1 and expire the following May 31.~~
- ~~● Members who serve three consecutive terms, not including a partial term due to appointment to fill a vacancy, shall be ineligible for reappointment for one year following the completion of their third term.~~

~~OFFICERS AND THEIR DUTIES (Ord. No. 855, 1-8-2007)~~

- ~~1. At the first meeting of each year, the members of the commission shall select by majority vote a chair, vice chair and secretary to serve until the end of that year and until a successor is chosen.~~
- ~~2.1. The chair shall:~~
 - ~~● Set the agenda and preside at meetings of the commission.~~
 - ~~● Call additional meetings as needed.~~
 - ~~● Assign duties to commission members.~~
 - ~~● Arrange meetings with other commissions, boards, and organizations from the public, private and non-profit sectors as needed.~~
 - ~~● Communicate with the City Council and staff as needed.~~
 - ~~● Provide overall leadership to the commission in carrying out its purposes and responsibilities.~~
- ~~3.1. In the absence of or at the request of the chair, the duties of the chair shall be performed by the vice chair, and in the absence of both the chair and vice chair, by the secretary.~~
- ~~4.1. The secretary shall keep minutes and maintain permanent records of every meeting of the commission, and shall submit minutes for approval at each successive meeting. The secretary shall serve as correspondent for the commission. Copies of the minutes of all meetings shall be filed with the City Clerk.~~

~~MEETINGS (Ord. No. 855, 1-8-2007)~~

~~The commission shall meet at least monthly and as otherwise determined by the chair. A regular meeting may be cancelled by the chair or a majority of the commission.~~

~~QUORUM (Ord. No. 855, 1-8-2007)~~

~~For the transaction of business at any meeting of the commission, a quorum consisting of at least one-half of all members shall be required.~~



<u>12.012.01</u> ART IN PUBLIC PLACES POLICY
<u>COUNCIL ARTS AND CULTURE</u>
Enabling Legislation: R2017-073
Date Adopted: 09/18/17
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~~**STAFF SUPPORT** (Ord. No. 855, 1-8-2007)~~

~~A City staff member shall act as liaison to the commission, provide staff support, and help get recommendations of the commission on the agenda for consideration by the City Council when necessary.~~



1.0913.01 PROCESS FOR CHARTER COMMISSION MEMBER RECRUITMENT/ APPOINTMENT

ADMINISTRATION CHARTER COMMISSION

Enabling Legislation: R2018-017

Date Adopted: 02/20/18

Revised: <u>02/06/24</u> 04/16/24
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PURPOSE

To provide for an orderly and fair Charter Commission appointment process

PROCESS

The City Clerk or their Designated Representative (DR) will be responsible for the administration of the appointment process in consultation with the Charter Commission Chairperson. The City of Northfield will accept board/commission applications at any time for the Charter Commission during the designated times below. The timelines/processes below outline the annual recruitment and vacancy process.

1. **October** - The City Clerk will consult with the Chairperson of the Charter Commission to discuss whose term will expire at the end of the year; review eligibility for reappointment, etc. The Chairperson and/or the City Clerk will notify the respective board member(s) of the need to fill vacancies and the necessity of filling out applications for members wishing reappointment.
2. **October** - The Chairperson and City Clerk will review and update ~~respective board/commission the~~ Charter Commission web pages to ensure up-to-date and accurate information related to the ~~group commission~~. The web page should contain an accurate description of the mission of the ~~group commission~~, links to guiding documents (relevant sections of City Code, State law, etc.), and membership requirements (i.e. meeting dates, residency requirements, number of members, etc.).
3. **November** – The City Clerk prepares a draft letter for the review by the Mayor and Charter Commission Chairperson to be sent to those with expiring terms. The letter will notify them of the application process for members wishing to be considered for reappointment. ~~The City Clerk will prepare a draft thank you letter for review by the Mayor and Charter Commission Chairperson to be sent to those that have reached term limits.~~
4. **November** – The City Clerk will publicize vacancies beginning on November 1 by sending out notification of vacancies to KYMN Radio, the Northfield News, Northfield.org, posting on the City website and social media. Charter Commission recruitment will be included with other boards/commissions.

The announcement will provide instructions for candidates who wish to reapply or make an initial application to ~~a board of commission~~ the Charter Commission. Applicants will be directed to the City website for online applications and additional information on ~~each board/commission~~ the Charter Commission. Applications may also be obtained in the Administration Office at City Hall or at the Northfield Public Library.



1.0913.01 PROCESS FOR CHARTER COMMISSION MEMBER RECRUITMENT/ APPOINTMENT

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The application deadline is the first business day of December of each year for applicants wishing to be considered for January appointment.

5. **Mid November** - The City Clerk will send out a reminder via social media and a press release.
6. **December** - The deadline for applicants wishing to be considered for January appointment shall be the first business day of December. Completed applications will be kept on file in the Administration Office.

ADDITIONAL STEPS

1. The City Clerk will send a response (via email when possible) when applications are received notifying the applicant that the application was received, next steps and the proposed timeline if possible.
- 1.2. The City Clerk will draft a thank you letter for review by the Mayor and Charter Commission Chairperson to be sent to any existing members who have chosen not to reapply for appointment on the Charter Commission.
- 2.3. Copies of applications will be emailed to the Charter Commission Chairperson when received. Copies will also be e-mailed to the Mayor.
- 3.4. The City Clerk will verify eligibility (applicant is a registered voter) and notify the Charter Commission Chairperson.
- 4.5. The City Clerk will prepare a letter for the Charter Commission Chairperson to sign that will be sent with the applications to the Chief Judge of the Third Judicial District. The applications shall be transmitted-sent to the Chief Judge of the Third Judicial District within two weeks of the application deadline.
- 5.6. The City Clerk works with the Charter Commission Chairperson to notify applicants (via email, when possible) when their applications have been forwarded on to the Chief Judge.
- 6.7. The City Clerk shall forward the Chief Judge's Order Appointing Charter Commission Members to the Charter Commission Members, new appointee, and Mayor and City Council.
- 7.8. The City Clerk will prepare and administer the acceptance and oath of office to the appointees. The City Clerk will return the acceptance and oath of office to the Chief Judge and Court Administrator within 30 days of appointment. The City Clerk will forward the completed acceptance and oath of office to the Charter Commission Members, and Mayor and City Council.



1.0913.01 PROCESS FOR CHARTER COMMISSION MEMBER RECRUITMENT/ APPOINTMENT
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ADMINISTRATIONCHARTER COMMISSION
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Enabling Legislation: R2018-017
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Date Adopted: 02/20/18

Revised: 02/06/2404/16/24

8.9. The City Clerk will ensure that the appointees complete the City of Northfield Ethics Disclosure form.

9.10. The City Clerk and City Administrator will work with the Charter Commission Chairperson regarding contacting new members to provide information on the commission meeting schedule and other orientation materials needed.

10.11. In consultation with the Mayor and Charter Commission Chairperson, the City Clerk prepares letters for those who have not been selected, thanking them for their interest. This notice will let them know that their application will be kept on file for one year, in case of vacancies or for consideration for appointment to other groups, special committees or task forces.

11.12. If a vacancy occurs during the year, the City Clerk shall consult with the Charter Commission Chairperson. The City Clerk will prepare a letter for the Charter Commission Chairperson to notify the Chief Judge of the Third Judicial District regarding the vacancy. Resignation letters shall be sent to the Charter Commission Chairperson, Mayor and copied to the City Clerk.

12.13. The process for announcing vacancies will begin as noted above, except two weeks will be allowed for submission of applications. The applications shall be transmitted to the Chief Judge of the Third Judicial District within two weeks of the application deadline.