

THE RULES AND REGULATIONS MANUAL FOR THE CITY OF SUN PRAIRIE

INTRODUCTION

The personnel policies, procedures, rules and regulations set forth in this Rules and Regulations Manual shall be applicable to all full-time and part-time employees including sworn and nonsworn personnel. This manual fully recognizes and supports federal and state guidelines concerning professional behavior and on-the-job conduct. Discrimination, harassment and unethical behavior shall not be tolerated in the work place at any time. The policies, procedures and rules set forth in this manual shall take precedent to any previously adopted work rules with the exception of any policy or procedures established in an existing Collective Bargaining agreement or an Employment Agreement. In such an event the language in the Collective Bargaining agreement or an Employment Agreement shall be considered binding.

Authority - Distribution

The authority to approve personnel policy is vested in the Mayor and City Council. It is the responsibility of the City Administrator to recommend changes to the Mayor and City Council as the need arises.

The overall authority and responsibility to administer these rules and regulations is vested in the City Administrator. As such, the City Administrator shall be responsible for the day-to-day administration of the personnel program with assistance from the Human Resources Department. In the City Administrator's absence, the Assistant City Administrator is charged with this duty.

The Rules and Regulations Manual shall be issued to all City employees upon hiring as a means of providing a very important personnel resource. In addition, the rules are posted on the City's Intranet (Staffnet).

Supplements to the Policy Manual

Procedures and policies in this manual are subject to change and modification based on changing conditions and in light of new experiences. This manual shall not be considered a contract but rather a statement of the City's policies and procedures which shall govern the employment of all City Employees. Each member of management can assist in keeping the City's personnel program up-to-date by notifying the City Administrator whenever problems are encountered or improvements can be made in the administration of these policies. The City Administrator will recommend changes to the Personnel Committee for consideration by the Mayor and City Council. Any procedural changes in this manual must be approved by the City Administrator. The City Administrator will determine what is policy requiring City Council review and what is administrative procedure matters.

From time to time, supplements to this manual will be issued. These supplements will update and/or revise present policy and practice whenever it is deemed necessary. All employees are responsible to study the revised supplements carefully prior to placing them in the manual. Each policy is provided separately to allow for these changes and additions. Please be sure to remove old policy statements and procedures when the revised sections are issued.

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**ACKNOWLEDGMENT OF RECEIPT
AND STATEMENT OF
EMPLOYEE UNDERSTANDING**

An electronic copy of the RULES AND REGULATIONS MANUAL has been provided to me.

My signature indicates that I have been provided with access to the Personnel Rules and Regulations Manual officially approved by the City Council, via the City's website. I understand that the rules, regulations and procedures set forth in this Manual will govern my employment with the City of Sun Prairie. I further acknowledge that it is my responsibility to thoroughly review this Manual and familiarize myself with its contents. This Personnel Rules and Regulation Manual is understood to form the parameters for my employment with the City of Sun Prairie and not intended to be a contract.

I agree to periodically review the electronic file for updates. Each policy's revision date is noted on the first pages. If I have questions, I understand that it is my responsibility to contact the Human Resources Department.

EMPLOYEE SIGNATURE

DATE

City of Sun Prairie Policy/Procedure

Title: American's with Disabilities Act Accommodations (Title I and II)	
Policy Source: City Administrator's Office	Creation Date: July 26, 1992
Application: All employees and program participants	Revision Date: November 11, 2016
Indexed as: ADA, Accommodations, Equal Opportunities	Total Pages: 6

1. General Policy

It is the policy of the City of Sun Prairie to ensure that all citizens have an equal opportunity to participate in and receive the benefits of the services, programs, activities or facilities of the City.

In addition, applicants for employment and employees of the City are afforded equal opportunity in employment, compensation and other benefits related to employment regardless of age; ancestry; arrest & conviction record; color; creed; disability; genetic testing; honesty testing; marital status; military service; national origin; pregnancy or childbirth; race; religion; sex; gender; sexual orientation; and use or nonuse of lawful products off the employer's premises during nonworking hours.

2. Background Information

The Americans with Disabilities Act (ADA) of 1990 is a comprehensive law that seeks to protect disabled individuals from discrimination in employment, public accommodations, public transportation, telecommunications and state and local government services. There are five titles under the ADA. Of these, the two that most affect local government are Title I, which prohibits employment discrimination, and Title II, which prohibits discrimination in the provision of public services. Both of these titles went into effect for state and local government on July 26, 1992.

3. Definitions

Disability	The ADA defines disability as: 1.) a permanent or temporary physical or mental impairment that substantially limits one or more major life activities (i.e. caring for oneself, performing manual tasks, walking, breathing, seeing, hearing, speaking, learning, and working); 2.) a record of such impairment (covers persons with a history of an impairment); or 3.) being regarded as having such an impairment, whether they have the impairment or not.
Physical or Mental Impairments	Physical impairments include: 1.) Physiological disorders; or 2.) Psychological conditions

Qualified Person with a Disability	A person with a disability who with or without reasonable accommodation to rules, policies, practices, the removal of architectural, communication, or transportation barriers, or the provision of auxiliary aids and services, meets the essential eligibility requirements for a specific program, service or activity. For employment purposes, the qualified individual with the disability means a disabled individual who can perform the essential functions of a job, with or without "reasonable accommodations."
Direct Threat	A significant risk to the health or safety of themselves or others that cannot be eliminated or reduced to an acceptable level by a public entity's modification of its policies, practices, or procedures, or by the provision of auxiliary aids or services. To determine if a direct threat exists, an individual assessment must be made based on the following factors: 1.) The nature, duration, and severity of the risk; 2.) The probability that the potential injury will actually occur; and, 3.) Whether reasonable modifications of policies, practices, or procedures will mitigate or eliminate the risk.
Essential Job Functions	Under the ADA a job function may be considered essential for one of the following reasons: 1.) The position exists to perform that function. 2.) There are only a limited number of employees available to perform the function. 3.) The function is so specialized that the incumbent is hired for his or her expertise or ability to perform that function.
Reasonable Accommodation	The modification of a public entity's policies, practices, or procedures, or the provision of auxiliary aids or services to allow a qualified individual with a disability to perform the essential job functions of a position or to enjoy the full benefits of a program or service. Reasonable accommodations may include: 1.) Providing physical access to public facilities. 2.) Job restructuring. 3.) Modifying work schedules. 4.) Modifying employment or program policies. 5.) Acquiring or modifying equipment or devices. 6.) Adjusting or modifying examinations or training materials. 7.) Providing leave when necessary. 8.) Assigning a person to assist the employee or program participant. The ADA does not require employers to provide primarily personal assistance devices such as hearing aids or eyeglasses.
Public Entity	Any state or local government or any department, agency, special purpose district or other instrumentality of state or local government.
Facility	Any or all portions of buildings, structures, sites, complexes, equipment, rolling stock or other conveyances, roads, walks, passageways and parking lots or other real or personal property.

Undue Hardship	In general, undue hardship refers to any accommodation that would be unduly costly, extensive, substantial, disruptive, or that would fundamentally alter the nature or operation of an organization. Factors considered in determining whether an accommodation causes undue hardship include: 1.) The nature and cost of the accommodation. 2.) The financial resources of the entity making the accommodation. 3.) The overall financial resources of the organization including the number, type, and location of its facilities and the number of employees. 4.) The type of operation of the organization, including the relationship of the facility to the organization. 5.) The impact of the accommodation upon the operation of the facility.
Medical Examinations	It is permissible to ask applicants with known disabilities how they would perform the essential functions of the job. However, all other medical inquiries and medical/physical/mental examinations will be conducted after an offer of employment has been made. Any information obtained that relates to medical history or disabilities must be treated as confidential medical records. This information is maintained separate from an employee's general personnel records. A supervisor or manager may be informed about necessary restrictions or accommodations, but not the actual test results or any diagnosed condition.
Alcohol and Illegal Drugs	Employers may prohibit the unlawful use, possession, distribution, dispensing, manufacture or reporting to work while under the influence of alcohol/illegal drugs. Addicted individuals who are currently using drugs and not in treatment are not covered under the ADA. The City of Sun Prairie conducts drug/alcohol testing under the DOT regulations and its own authority (see Drug Free Workplace Policy).

3. Public Notification

The City strives to make its communications with individuals with disabilities as effective as communications with others. When necessary, individuals with disabilities are provided with auxiliary aids and services that promote effective communication. These may include large print materials, audiotapes, Braille materials, sign language interpreters and telecommunication devices for deaf persons (TDD's).

The City of Sun Prairie provides information on the requirements of the ADA to applicants, participants, beneficiaries and other interested persons. This information explains the applicability to City services, programs, activities and facilities and is available in alternative formats and can be found in each service area or department.

4. Reasonable Accommodation

4.1 Service Delivery

If a reasonable accommodation is needed to participate in the services provided by the City of Sun Prairie, individuals should contact the Department Manager, the ADA Coordinator (City Administrator), or Sun Prairie Utilities Manager. Information will be gathered which includes the nature of the barrier and the individual's accommodation request.

The City will make every effort to reasonably accommodate an individual with a disability while not creating an undue hardship on the local taxpayers or ratepayers.

4.2 Recruitment Process

Requests for special accommodations during the hiring process should be made to the Human Resources Department. Applicants are not required to disclose information about physical or mental limitations that you believe will not interfere with their capability to do the job. On the other hand, if they want the City to consider special arrangements to accommodate a physical or mental impairment, they may identify that impairment on the application form, or contact the Human Resources Director or ADA Coordinator (City Administrator) and suggest the kind of accommodation that they believe would be appropriate.

4.3 Existing Employees

Requests for special accommodations for an existing employee who may have sustained an injury or illness should be made to the Human Resources Department.

5. Complaint Procedure

The City of Sun Prairie has adopted an internal procedure providing for prompt and equitable resolution of complaints alleging any action prohibited by the US Department of Justice regulations implementing Title II of the Americans with Disabilities Act (ADA). Title II states, in part, that "no otherwise qualified disabled individual shall, solely by reason of such disability, be excluded from the participation in, be denied the benefits of, or be subjected to discrimination" in programs or activities sponsored by a public entity.

The City Administrator, Sun Prairie Utilities Manager, and Director of Building Inspection have been designated to coordinate ADA compliance efforts for the City of Sun Prairie.

City of Sun Prairie
300 East Main Street
Sun Prairie, WI 53590
(608) 837-2511 (Voice)
(608) 837-9799 (TDD)

Sun Prairie Utilities
125 West Main Street
Sun Prairie, WI 53590
(608) 837-5500

STEP I

1. A complaint shall be filed in writing by the complainant, the complainant's representative, or with necessary assistance, within 10 working days after the complainant becomes aware of the alleged violation. Complainants are encouraged to provide as much detail as possible, including dates, times, witnesses, etc., in order to facilitate a prompt and thorough investigation. The complaint must present the facts and include recommendations to remedy the alleged discrimination to their satisfaction.
2. An investigation, as may be appropriate, shall follow a filing of complaint. The investigation shall be conducted by the respective department manager and the ADA coordinators.
3. A written determination as to the validity of the complaint and a description of the resolution, if any, shall be issued by the respective department manager and ADA coordinators. A copy will be forwarded to the complainant, by certified mail no later than 15 working days after its filing.
4. The ADA coordinators shall maintain the files and records of the City of Sun Prairie/ Sun Prairie Utilities relating to all complaints filed.

STEP II

1. The complainant can request a reconsideration of the case in the instances where he or she is dissatisfied with the resolution. The request for reconsideration should be made within 10 working days after receipt of the written determination to the Common Council's Committee of the Whole or utilities commission.
2. The Committee of the Whole or utilities commission will review the complaint within 30 days of receipt of the request for reconsideration.
3. Nothing in this procedure precludes any other remedies a complainant may have under the Americans with Disabilities Act.

Other Resources:

The Equal Rights Division, Department of Workforce Development, 201 East Washington Avenue, P.O. Box 8928, Madison, WI 53708, Telephone: (608)266-6860 or TDD: (608)264-8752 will accept formal complaints based on race, color, age (over 40 with no upper age limit), gender, disability, national origin or ancestry, and religious beliefs or convictions. This agency is the only one to accept complaints regarding different treatment based on sexual orientation, arrest or conviction record, marital status, political affiliation or military service. File within 300 days of the last violation.

The U.S. Equal Employment Opportunity Commission, 500 West Madison Street, Chicago, IL 60661, Telephone: (800) 669-4000 or TDD (800)669-6820 will accept complaints based on race, color, age (40-70), gender, disability, national origin or ancestry, religious beliefs or convictions. File within 300 days of the last violation.

6. Program Coordination and Training

The City Administrator or Sun Prairie Utilities Manager is responsible for the oversight of the program and utilizes the assistance of the Building Inspection and Human Resources Department. All supervisors are trained on the ADA and Wisconsin Fair Employment Laws and are expected to make recommendations regarding reasonable accommodations as necessary.

Final decisions regarding accommodations are the responsibility of the City Administrator, or the Sun Prairie Utilities Manager.

**CITY OF SUN PRAIRIE
AMERICANS WITH DISABILITIES ACT
GRIEVANCE PROCEDURE FORM
(Please print or write legibly)**

Name: _____
Address: _____

Home Phone: (____) _____
Work Phone: (____) _____

Incident Information
Date: _____
Time: _____
Place: _____
City Department: _____

DETAILS OF CONCERN/COMPLAINT

In the space below describe the circumstances of your complaint. Please present the facts of the concern. Provide as much detail as possible as well as names of any witnesses. (Attach additional sheets.)

Accommodation Requested: _____

I Certify that the above statements are true to the best of my knowledge

Signed: _____ Date: _____

Name of individual completing the form (if other than the complainant): _____

FOR OFFICE USE ONLY

Form Received: Date - _____ Time - _____
Method - ☐ Mail ☐ Personal ☐ Faxed
Attachments: ☐ Video/Audio Tapes ☐ Additional Pages ☐ Other _____
Type of Complaint: ☐ Personnel ☐ Physical Obstacle ☐ Program ☐ Maintenance
Recommendation/Actions Taken (Describe in detail):

Date Remedied: _____

Department Head
(REQUIRED)

ADA Coordinator-Administrator
(REQUIRED)

Building Inspector – if applicable

City of Sun Prairie Policy/Procedure

Title: Building Closure Procedure	
Policy Source: Human Resources Department	Creation Date: August 8, 2024
Application: All Employees	Revision Date:
Indexed as: Building Closures, Reporting to Work	Total Pages: 2

1. General Policy

The City of Sun Prairie is committed to the safety and welfare of the community. This policy addresses building closures and the delivery of city services due to building closures. This includes but is not limited to closures or evacuations as a result of inclement weather, chemical leaks, lack of heat, or other emergencies that threaten the health or safety of the public and staff.

Municipal services will continue to be provided to the maximum extent possible in the event of a building closure. Emergency services will not be closed under any circumstances. City buildings and non-emergency services will be closed only when concern for the safety of the public and staff overrides the value of continued work. The city's IT infrastructure and online platforms allow for remote capabilities and minimal service interruption for many city services.

2. Closings and Cancellations

The Mayor or the City Administrator has the authority to close city facilities and suspend city services in an emergency situation. Exceptions to this policy may be made by the City Administrator on a case-by-case basis. The appropriate staff will be consulted regarding any decision on a building closure.

When the decision is made to close city buildings to the public, all other city related in-person functions (recreation programming, city meetings, etc.) omitting the library will also be cancelled, unless the function may be transitioned to virtual. Meetings of the Committee of the Whole, Common Council, Boards, Commissions, and Committees will follow the City's Virtual Meetings policy. All library functions will be determined by library policies.

Impacted departments will be responsible for communicating with impacted employees about the closure. Official announcement of any closure will be made on the city's communication channels.

In the event city buildings are closed, all impacted regular part-time and full-time employees who can regularly perform some or all assigned duties at home or another location are expected to work remotely to ensure continuity of services.

3. Onsite Personnel and Emergency Services

Onsite services include but are not limited to city services that require regular part-time and full-time employees to report to work in person to carry out their duties during a building closure. This includes but is not limited to police, fire/EMS, dispatch, wastewater, and snow removal personnel. This list is non-exhaustive and may change due to operations that cannot be cancelled or delayed as determined by each Department Head.

4. Remote Personnel and Non-emergency Services

Remote services include but are not limited to city services that can be accessed remotely via phone or online. All regular part-time and full-time employees who can perform their duties at home or another location fall into this category.

5. Pay Status of Employees

The pay status of employees can be referenced in the nonunion personnel manual. Payroll and timekeeping procedures can be found in the attachments.

6. Severe Threat/Closing of City Services

In the event that the city experiences a severe threat to maintaining its city services (i.e. flood, tornado, building destruction, etc.), the Mayor or City Administrator may institute other means of staffing per appropriate policies and procedures.

7. Interpretation of Policy

Questions regarding the application and interpretation of this policy should be directed to the City Administrator's office or Human Resources Department.

Building Closure Procedure for Inclement Weather

This timeline serves as general guideline for inclement weather events and subsequent building closures.

Lead	Action
Public Services Director, Police Chief, Fire & EMS Chief	Public Services Director and Emergency Services Chiefs will monitor the weather with all relevant partners (i.e. National Weather Service, Dane County Emergency Management, Forecaster, etc.) <i>In the absence of the Public Services Director, the Public Works Operations Manager will take on the Public Service Director's duties.</i>
Public Services Director	Public Services Director receives final weather forecast and determines staffing schedule for snow removal operations or storm clean-up as needed.
Public Services Director	Public Services Director notifies Administrator of any weather advisory or safety concerns in effect or to go into effect. <i>In the absence of the City Administrator, the "acting Administrator" will take on the Administrator's duties.</i>
Public Services Director, Police Chief, Fire & EMS Chief, City Administrator, Department Managers	Should a decision be made to close city buildings, the following will take place: • City Administrator will notify department heads and the council. • Impacted departments will be responsible for communicating with impacted employees about the closure. • Communications & Diversity Strategist will update city communications via web, text messaging, and social media. • SPMC will update communications via SPMC channels. • Library Director will make the final determination for library building and programs per library policy. • Staff may be asked to report in person in the event of a building closure. Instances such as these should be communicated by the impacted department supervisor(s).

Payroll/Timekeeping procedures for Building Closures:

Supervisors are expected to manage the application of these policies and communicate with staff based on the above timeline. Employees will be paid as followed:

- A. All city employees are expected to report to work in person or remotely at scheduled starting times during a building closure and will be paid accordingly.
- B. Employees not scheduled to work or on approved leave during a building closure will be compensated consistent with the work schedule or approved leave without adjustment for the closure.
- C. Employees unable to report to work at their scheduled starting time are expected to notify their direct supervisor of their situation. The employee will not be paid for work missed, however, may use accumulated vacation time, personal holiday, or compensatory time to receive payment for the time missed. Failure to report to work without communicating to a supervisor will be recorded as an unexcused absence.
- D. Supervisors are expected to work with employees to determine alternative work assignments in the event an employee cannot perform some or all assigned duties due to a building closure to ensure no loss of pay for the employee. In some cases, this may include leave with pay.

Any questions regarding application should be directed to the Human Resources Department.

City of Sun Prairie Policy/Procedure

Title: CDL Operators' Drug & Alcohol Testing Policy	
Policy Source: Administration	Creation Date: January 1, 1996
Application: All CDL Operators	Revision Date: November 4, 2003, January 13, 2009, March 4, 2011, February 10, 2016, November 2, 2016, May 17, 2021
Indexed as: CDL, Drugs, Alcohol, Testing	Total Pages: 12

1. General Policy

The City of Sun Prairie and the Sun Prairie Utilities Commission (hereinafter referred to as the City of Sun Prairie) recognizes that the use and/or abuse of alcohol or controlled substances by drivers of commercial vehicles presents a serious threat to the safety and health of the driver and the general public. It is the policy of the City of Sun Prairie that its drivers should be free of drugs and alcohol. In order to further our goal of obtaining a drug-free and alcohol-free transportation system, and to comply with the Omnibus Transportation Employee Testing Act of 1991, the City of Sun Prairie maintains a drug and alcohol testing program which is designed to help reduce and avoid traffic accidents and injuries to our employees and the public, to discourage substance and alcohol abuse, and to reduce absenteeism, accidents, health care costs, and other drug and alcohol-related violations.

2. Purpose

The Department of Transportation (DOT) and the Federal Motor Carrier Safety Administration (FMCSA) have issued Federal Regulations (49 CFR Parts 40 and 382) implementing the provisions of the Federal Omnibus Transportation Employee Testing Act of 1991 which requires alcohol and controlled substance testing of drivers who are required to have a commercial driver's license. These Regulations include detailed procedures for urine drug testing and breath alcohol testing of employees in safety-sensitive positions. The purpose of this policy, then, is to maintain an alcohol and controlled substances testing program to help prevent accidents and injuries resulting from the misuse of these substances by drivers of commercial motor vehicles. Consequently, the City of Sun Prairie has established the following alcohol misuse prevention program and anti-drug program as well as the subsequent enforcement of violations for its employees conducting safety-sensitive job functions.

3. Coverage

For purposes of this policy, the City of Sun Prairie and the DOT strictly prohibit the use of alcohol and/or controlled substances by its employees who are regularly or occasionally operating a commercial motor vehicle, including mechanics and supervisors who are required to have a CDL license.

4. Prohibited Conduct

Federal Regulations prohibit employees from engaging in the following conduct:

- A. Under the City's authority and DOT regulations, reporting for duty or remaining on the job (requiring the performance of safety-sensitive functions) while having an alcohol concentration of 0.02 or greater;

- B. Being on duty or operating a commercial motor vehicle while possessing alcohol, or using alcohol while performing safety-sensitive functions;

Note: Federal Regulations include non-prescription and prescription medications containing alcohol in the substances banned from use or possession in the workplace. Therefore, employees should not report for duty while using or possessing prescription medication if such medication contains any measurable amount of alcohol.

- C. Performing safety-sensitive functions within four (4) hours after using alcohol;
- D. Using alcohol within eight (8) hours following an accident, if the employee was required to be tested, unless an earlier test results in a reading of less than 0.02;
- E. Reporting for duty or remaining on duty requiring the performance of safety-sensitive functions when using any controlled substance, unless the use is pursuant to the instructions of a physician who has advised the driver that the substance does not adversely affect the driver's ability to safely operate a commercial motor vehicle;
- F. Reporting for duty, remaining on duty or performing a safety-sensitive function if the employee tests positive for controlled substances;
- G. Deliberately misusing this Policy in regard to subordinates; and
- H. Providing false information in connection with a test, or who is suspected of falsifying test results through tampering, contamination, adulteration, or substitution.

A "safety-sensitive function" means any of the following on-duty functions:

1. All time waiting to be dispatched. This includes all regular scheduled work hours and scheduled or unscheduled overtime hours;
 2. All time inspecting, servicing, performing service or inspections of any commercial motor vehicle;
 3. All driving time, i.e., all time spent at the driving controls of a commercial motor vehicle in operation;
 4. All time, other than driving time, in or upon any commercial motor vehicle;
 5. All time loading or unloading a vehicle, supervising or assisting in the loading or unloading, attending a vehicle being loaded or unloaded, remaining in readiness to operate the vehicle, or in giving or receiving receipts for shipments loaded or unloaded;
 6. All time repairing, obtaining assistance, or remaining in attendance upon a disabled vehicle.
- I. Refusing to submit to any alcohol or drug testing required by this Policy;
 - a) Definition of refusing to submit to testing is:
 1. Fail to appear for any test (except a pre-employment test) within a reasonable time, as determined by the employer consistent with applicable DOT agency regulations, after being directed to do so by the employer;
 2. Fail to remain at the testing site until the testing process is complete, provided that an employee who leaves the testing before the testing process commences for a pre-employment test is not deemed to have refused to test;
 3. Fail to provide a urine specimen for any drug test required by this part or DOT agency regulations; provided, that an employee who does not provide a urine specimen because they

- have left the testing site before the testing process commences for a pre-employment test is not deemed to have refused to test;
4. In the case of a directly observed or monitored collection in a drug test, fail to permit the observation or monitoring of their provision of a specimen;
 5. Fail to provide a sufficient amount of urine when directed, and it has been determined, through a required medical evaluation, that there was no adequate medical explanation for the failure;
 6. Fail or decline to take an additional drug test the employer or collector has directed them to take;
 7. Fail to undergo a medical examination or evaluation as directed by the MRO as part of the verification process, or as directed by the DER. In the case of a pre-employment drug test, the employee is deemed to have refused to test on this basis only if the pre-employment test is conducted following a contingent offer of employment. If there was no contingent offer of employment, the MRO will cancel the test; or
 8. Fail to cooperate with any part of the testing process (e.g., refuse to empty pockets when directed by the collector, behave in a confrontational way that disrupts the collection process, fail to wash hands after being directed by the collector)
 9. For an observed collection, fail to follow the observer's instructions to raise their clothing above the waist, lower clothing and underpants, and to turn around to permit the observer to determine if they have any type of prosthetic or other device that could be used to interfere with the collection process;
 10. Possess or wear a prosthetic or other device that could be used to interfere with the collection process;
 11. Admit to the collector or MRO that you adulterated or substituted the specimen.
 - a) As an employee, if the MRO reports that they have a verified adulterated or substituted the specimen.
 - b) As an employee, if they refuse to take a drug test, they incur the consequences specified under DOT agency regulations for a violation of those DOT agency regulations.

5. Required Tests

Refusal to take a required test will result in removal of that employee from the employee's assignment(s), which in turn may result in discipline up to and including discharge.

Testing must be conducted in the following situations:

5.1 Pre-employment – Any individual not currently employed by the City who is applying for a safety-sensitive position shall be required to undergo a drug test after a conditional offer of employment has been made.

Prior to the first time an existing employee performs safety-sensitive functions for the department (i.e. new position, job transfer, promotion, new duties, etc.), the employee shall be required to undergo testing for controlled substances.

A positive test will result in a disqualification from further consideration for employment in that safety-sensitive position.

Any applicant or existing employee who refuses to undergo such drug testing will also be disqualified from further consideration for the current vacancy or eligibility list.

5.2 Reasonable Suspicion Testing – Reasonable suspicion means suspicion based on a specific, contemporaneous, articulable observation by a trained supervisor or other City of Sun Prairie representative concerning the appearance, behavior, speech or body odors of an employee, including indications of the chronic and withdrawal effects of controlled substances. The City will test for drugs and alcohol upon a trained supervisor's reasonable suspicion to believe that an employee is in violation of the policy.

1. In a situation where an employee is either acting in an impaired manner or the supervisor has reasonable suspicion to believe the employee is using or is under the influence of alcohol or drugs, the supervisor may order the employee to undergo a drug and alcohol test. The supervisor may, but need not, seek a corroborating opinion from another supervisor or manager prior to immediately removing the employee from the job and sending the employee for drug and alcohol testing.
2. Once the employee has been removed from the job, the supervisor is to contact the Human Resources Department. If contact cannot be made at the time, the supervisor is to proceed through the next step of this procedure and make contact with the Human Resources Department as soon thereafter as possible.
3. The supervisor is to then transport the employee to the collection site for drug and/or alcohol testing immediately, but no later than eight (8) hours for an alcohol test or twenty-four (24) hours for a drug test, of having determined that there is a reasonable suspicion to believe that the employee is using or is under the influence of alcohol or drugs. If the alcohol test is conducted more than two (2) hours, but less than eight (8) hours, after the supervisor makes such reasonable suspicion determination, the supervisor will complete a report explaining the reason for the delay in conducting the drug or alcohol test. The supervisor is to wait at the clinic with the employee until the breath test has been completed and the urine sample has been taken. If the alcohol test is not conducted within eight (8) hours after the supervisor makes such reasonable suspicion determination, or if the drug test is not conducted within twenty-four (24) hours after such determination, the supervisor will complete a report explaining the reasons why this test was not conducted.
4. Once the alcohol testing has been completed and a positive confirmatory test result has been received (0.02 percent or above), the employee will not be permitted to drive their own vehicle home at that time. The employee must make alternate transportation arrangements in order to leave the collection site or employment site.
5. In the case when results are not immediately known, the employee is to be advised not to report for work, as they will be placed on administrative leave with pay. The City will contact the employee once the test results are known (this may take 24-48 hours) and a decision has been made as to the employee's status.
6. The assigned Medical Review Officer reads the results and then the results of the drug or alcohol testing will be sent directly to the Human Resources Department. When the results are obtained, the employee's supervisor and department head will meet with Human Resources to determine the appropriate course of action to be taken. This is a confidential process. Test results will be held strictly confidential and are not to be discussed or shared with anyone who does not need to know. Likewise, a supervisor must not discuss the suspected reason for a referral or disciplinary action with anyone who does not need to know.
7. Once the test has been completed and the employee has been sent home, the supervisor must submit a written report to the Human Resources Director outlining, in detail, the event and the behavior

observed that led the supervisor to believe the employee was under the influence of alcohol and/or drugs. This report must be done within twenty-four (24) hours of the testing.

5.3 Random Testing – Random alcohol and drug testing will be conducted in conformance with DOT regulations. The employee will be randomly selected for testing from a “pool” of employees subject to testing. The testing dates and times are unannounced and will occur with unpredictable frequency throughout the year.

The minimum annual percentage rate for random alcohol testing shall be 10 percent and the minimum annual rate for random drug testing shall be 25 percent of the average number of employees in safety-sensitive positions. The City reserves the right to either increase or decrease the minimum annual percentage rate for random alcohol and drug testing based upon the reported violation rate for the entire industry as determined by the Federal Highway Administration and the Federal Regulations implementing drug and alcohol testing in the transportation industry.

The selection of employees for random testing shall be administered by an approved laboratory using a scientifically valid method. This method will be a random number table of a computer-based random number generator that is matched with employees’ social security numbers. Under this selection process, each employee will have an equal chance of being tested each time selections are made. As a result, some employees may be tested more than once each year, while other employees may not be tested at all.

In the event an employee tests positive for alcohol or controlled substances, the employee will be removed from the safety sensitive position until a confirmation test is received from the designated Medical Review Officer (MRO). If the confirmation test is deemed positive, the employee will be placed on administrative leave with pay until disciplinary action is decided. If not terminated, the employee must successfully complete all required evaluation, treatment and testing prior to returning to work. The written conditions of the employee’s return will determine their pay status (i.e. loss of CDL may result in reduction of wages).

5.4 Post-Accident Testing – As soon as practicable following an accident involving a commercial motor vehicle, the City of Sun Prairie shall test an employee driver for alcohol and controlled substances in the following situations:

1. The accident involved the loss of human life; or
2. The employee receives a citation under state or local law for a moving traffic violation arising from an accident and the accident resulted in a vehicle being inoperable (towed away) or involved bodily injury to a person who as a result of the injury required immediate medical treatment away from the scene of the accident.

The alcohol breath test must be administered as soon as possible, but no later than eight (8) hours following the accident, and the drug test must be administered within thirty-two (32) hours of the accident. If the alcohol test is not administered within two (2) hours of the accident, the supervisor will complete a report explaining the reasons for the delay in conducting the test. If the alcohol test is not administered within eight (8) hours of the accident or if the drug test is not administered within thirty-two (32) hours of the accident, the supervisor will complete a report explaining why the test was not conducted.

Driver Obligations

A driver who is subject to post-accident testing shall remain readily available and may not take any action to interfere with the testing or the results of the testing.

The driver shall notify their immediate supervisor as soon as possible if they are involved in an accident. After the initial call to the employer, the driver is required to remain in contact with their supervisor with any subsequent information pertinent to the accident, including contact by any law enforcement agency, issuance of a citation, etc.

The driver shall allow law enforcement to conduct their investigation. It is possible for a federal, state, or local law enforcement official to direct an employee, who is in the course of conducting City of Sun Prairie business, to submit to drug and/or alcohol testing. In this case, the employee shall provide the results of that testing to the employer as soon as they become available. These results may be used in lieu of or in addition to post-accident testing outlined in this section.

5.5 Return-to-Duty/Follow-Up Testing – The City of Sun Prairie will ensure that before an employee returns to duty requiring the performance of a safety-sensitive job function after engaging in conduct prohibited by Federal Regulations in Part IV above, the driver shall undergo a return-to-duty alcohol and/or controlled substance test with a result indicating an alcohol concentration of less than 0.02 and a verified negative result for controlled substance use. In any event, an employee will not be allowed to return to duty without first having been evaluated by the City of Sun Prairie SAP provider in order to determine the employee's fitness-for-duty. Such follow-up activity may be required if an employee has engaged in conduct prohibited by City Policy in Part IV above. DOT requires direct observation collections for all return-to-duty and follow-up drug tests.

Following a determination that an employee is in need of assistance in resolving problems associated with alcohol misuse and/or use of controlled substances, the City of Sun Prairie will ensure that the employee is subject to unannounced follow-up alcohol and/or controlled substances testing in consultation with a substance abuse professional. Consequently, the employee will be given at least six (6) random tests during the twelve (12) month period after returning to duty with the possibility of follow-up testing for up to sixty (60) months after the employee returns to duty.

6. Drug and Alcohol Clearinghouse Queries

The Clearinghouse is a secure online database that gives the employers, the Federal Motor Carrier Safety Administration (FMCSA), State Driver Licensing Agencies, and State Law Enforcement personnel real-time information about commercial driver's license (CDL) and commercial learner's permit (CLP) holders' drug and alcohol program violations.

In addition to the required pre-employment Clearinghouse full query, and effective January 6, 2020, City of Sun Prairie will also conduct a query of the Clearinghouse at least once per year for information for all employees subject to controlled substance and alcohol testing as defined in 49 CFR Part 382 to determine whether information exists in the Clearinghouse about those employees.

To conduct the annual query referenced above, the City of Sun Prairie will obtain the individual driver's consent and may conduct a "limited" query to satisfy the annual query requirement. The limited query will tell the city whether there is information about the individual driver in the Clearinghouse but will not release that information to the City. The individual driver may give consent to conduct limited queries that is effective for more than one year.

If the limited query shows that information exists in the Clearinghouse about the individual driver, the City must conduct a full query, within 24 hours of conducting the limited query. If the City fails to conduct a full query within 24 hours, the City must not allow the driver to continue to perform any safety-sensitive function until the City conducts the full query and the results confirm that the driver's Clearinghouse record contains no prohibitions as defined §382.701 (d).

6.1 Reporting to the Clearinghouse

City of Sun Prairie must report the following information about a driver to the Clearinghouse by the close of the third business day following the date on which they obtained that information:

- (i) An alcohol confirmation test result with an alcohol concentration of 0.04 or greater;
- (ii) A negative return-to-duty test result;
- (iii) A refusal to take an alcohol test;
- (iv) A refusal to test determination made in accordance with 49 CFR 40.191 and identified in I. (1-11) but in the case of a refusal to test under I. (1-11), the employer may report only those admissions made to the specimen collector; and
- (v) A report that the driver has successfully completed all follow-up tests as prescribed in the SAP report.

Employers must report the following violations by the close of the third business day following the date on which the employer obtains actual knowledge, as defined at §382.107, of:

- (i) On-duty alcohol use;
- (ii) Pre-duty alcohol use;
- (iii) Alcohol use following an accident;
- (iv) Controlled substance use.

Reporting Entities and Circumstances

Reporting entity	When information will be reported to clearinghouse
Prospective/Current Employer of CDL Driver	—An alcohol confirmation test with a concentration of 0.04 or higher. —Refusal to test (alcohol) as specified in 49 CFR 40.261.
	—Refusal to test (drug) not requiring a determination by the MRO as specified in 49 CFR 40.191.
	—Actual knowledge, as defined in 49 CFR 382.107, that a driver has used alcohol on duty, used alcohol within four hours of coming on duty, used alcohol prior to post-accident testing, or has used a controlled substance.
	—Negative return-to-duty test results (drug and alcohol testing, as applicable)
	—Completion of follow-up testing.
Service Agent acting on behalf of Current Employer of CDL Driver	—An alcohol confirmation test with a concentration of 0.04 or higher. —Refusal to test (alcohol) as specified in 49 CFR 40.261.
	—Refusal to test (drug) not requiring a determination by the MRO as specified in 49 CFR 40.191.
	—Actual knowledge, as defined in 49 CFR 382.107, that a driver has used alcohol on duty, used alcohol within four hours of coming on duty, used alcohol prior to post-accident testing, or has used a controlled substance.
	—Negative return-to-duty test results (drug and alcohol testing, as applicable)

	—Completion of follow-up testing.
MRO	—Verified positive, adulterated, or substituted drug test result.
	—Refusal to test (drug) requiring a determination by the MRO as specified in 49 CFR 40.191.
SAP	—Identification of driver and date the initial assessment was initiated.
	—Successful completion of treatment and/or education and the determination of eligibility for return-to-duty testing.

6.2 Driver Consent and Access to the Clearinghouse

City of Sun Prairie cannot query the Clearinghouse to determine whether a record exists for any particular driver without first obtaining driver consent. City must retain the consent for 3 years from the date of the last query. Written consent form for Multi-year general queries of the FMCSA-Drug and Alcohol Clearinghouse is attached to this policy.

Before the City may access information contained in the driver's Clearinghouse record, the driver must submit electronic consent through the Clearinghouse granting the City access to the following specific records:

- (1) A verified positive, adulterated, or substituted controlled substances test result;
- (2) An alcohol confirmation test with a concentration of 0.04 or higher;
- (3) A refusal to submit to a test;
- (4) An employer's report of actual knowledge of:
 - (i) On duty alcohol use;
 - (ii) Pre-duty alcohol use;
 - (iii) Alcohol use following an accident and
 - (iv) Controlled substance use;
- (5) A SAP report of the successful completion of the return-to-duty process;
- (6) A negative return-to-duty test; and
- (7) An employer's report of completion of follow-up testing.

City of Sun Prairie cannot permit a driver to perform a safety-sensitive function if the driver refuses to grant the consent required by the paragraphs of this section.

A driver granting consent must provide consent electronically to the Agency through the Clearinghouse prior to release of information to an employer.

A driver may review information in the Clearinghouse about themselves, except as otherwise restricted by law or regulation. A driver must register with the Clearinghouse before accessing his or her information.

6.3 Clearinghouse Recordkeeping

City of Sun Prairie must retain for 3 years a record of each query and all information received in response to each query made. As of January 6, 2023, an employer who maintains a valid registration with the Clearinghouse fulfills this requirement.

7. Testing Procedures

The City has entered into an alcohol and drug testing agreement with an approved laboratory and collection site. Testing may be done on both urine and breath. All drug and alcohol testing will be conducted in conformance with the procedures and rules established by the Federal Omnibus Transportation Employee Testing Act of 1991 and its implementing regulations. Specimen collection is not to be done anywhere but at a site authorized by the Human Resources Department.

7.1 Alcohol Testing – Employees will be required to submit to breath testing using an approved evidential breath-testing (EBT) device. A state-certified alcohol technician (BAT) will administer an initial screening test. If the employee tests positive for alcohol, then the BAT will conduct a confirmation test. All procedures and steps used in conducting both the initial and confirmation tests will be performed in conformance with the federal law and federal regulations.

1. ***Preparation for Breath Alcohol Testing*** – The following summarizes the procedures established by the Federal Highway Administration regulations implementing drug and alcohol testing under the federal law. These procedures are binding and are subject to change in the event the FMCSA or other government agency changes the regulations on drug and alcohol testing of employees in safety-sensitive positions.

- a. When the employee enters the collection site, the BAT will require him or her to provide positive identification (i.e. photo I.D., employer identification).
- b. The BAT will explain the test procedure.
- c. Employees will be required to complete and sign various forms used to document the testing process. Refusal to sign the test form(s) will be regarded as a refusal to take the test.
- d. Employees will be instructed to blow forcefully into the mouthpiece for at least six (6) seconds or until the EBT indicates that an adequate amount of breath has been obtained.
- e. If an employee tests positive during the screening test, the employee shall not eat, drink, put any object or substance in their mouth and, to the extent possible, not belch during the 20 minute waiting period before the confirmation test is conducted.
- f. Refusal by an employee to complete and sign the test form, to provide breath, to provide an adequate amount of breath, or other failure to cooperate with the testing process in a way that prevents the completion of the test will subject the employee to discipline, up to and including termination.

In the event of conflicting results between the initial test and the confirmation test, the confirmation test results will determine the outcome of the test.

2. ***Results of a Positive Test*** – Under the City's authority any employee who tests positive for alcohol concentrations of 0.02 or higher is subject to discipline, up to and including termination. Under DOT regulations, if a confirmation alcohol test measures 0.04 or greater, the City of Sun Prairie is required to:

- a. Remove the employee from the safety-sensitive position. If the confirmation test is deemed positive, the employee will be placed on administrative leave with pay until disciplinary action is decided.

- b. If not terminated from employment, before returning the employee to employment:
 - 1) Refer the employee to the City of Sun Prairie SAP for assessment of an alcohol problem and a determination of whether participation in a treatment program is necessary;
 - 2) Obtain a verification from a substance abuse professional that the employee has complied with any required rehabilitation or treatment program; and
 - 3) Re-test to verify that the employee's alcohol concentration is below 0.02.
- c. The employee will subsequently be given at least six (6) random tests during the next year with the possibility of follow-up testing for up to sixty (60) months.

If the confirmation test level is between 0.02 and 0.039 percent, the employee will be removed from the safety-sensitive position for a minimum of twenty-four (24) hours following the administration of the test.

7.2 Testing for Controlled Substances – The City of Sun Prairie established Personnel policies, which strictly prohibits the use of alcohol or a controlled substance in the workplace. Furthermore, any abnormal conduct that may create a reasonable suspicion that an employee is under the influence of a controlled substance is addressed in the “Reasonable Suspicion Testing” section described previously in this Policy.

For purposes of this Policy and the Federal Regulations, the City of Sun Prairie will utilize a five-panel drug screen consisting of the following drugs:

- a. Tetrahydrocannabinol (Marijuana drug)
- b. Cocaine
- c. Amphetamines, Methamphetamines, and Methylenedioxymethamphetamines
- d. Opiates (Heroin, Morphine, Codeine)
- e. Phencyclidine (PCP)

Drug testing is conducted by analyzing an employee's urine specimen (through a certified testing lab). This procedure will include use of a split specimen testing procedure. Each urine specimen is subdivided into two bottles labeled as a “primary” and a “split” specimen. Both bottles will be sent to a certified lab. Only the “primary” specimen bottle is opened and used for the urinalysis. The split specimen bottle will remain sealed and is stored at the lab. If the analysis of the primary specimen confirms the presence of illegal, controlled substances, the employee has seventy-two (72) hours to request the split specimen be re-tested at the same lab or be sent to another certified laboratory for analysis, at the employee's expense. An employee who fails to notify the Medical Review Officer (MRO) within seventy-two (72) hours of receiving the results of the positive test of the employee's desire to have the split specimen tested shall be deemed to have waived the employee's right to seek testing of the split specimen.

In some cases, the employee may be unable to provide a urine specimen. The employee will be requested to drink a minimum of 20 ounces of water. After a reasonable waiting period (not to exceed one hour), the supervisor may terminate the testing procedure. Failure to produce a suitable specimen may be considered grounds for disciplinary action, up to and including termination.

1. *Preparation for Drug Testing* – The following summarizes the procedures established by the Federal Highway Administration regulations implementing drug testing under the federal law. These procedures are subject to change in the event the FMCSA or other government agency changes the regulations on drug and alcohol testing of employees in safety-sensitive positions.

- a. When the employee enters the collection site, the employee will be required to provide positive identification (i.e. photo I.D. or employer identification).

- b. The employee will be instructed to provide a sufficient urine sample. This will be done in a specifically designated “donor” bathroom. The urine sample shall be divided into a primary specimen and a split specimen.
- c. If the sample is reported from the laboratory that the creatinine level is 2 mg/dL or above but less than or equal to 5 mg/dL, the employee must undergo an immediate recollection under direct observation.
- d. If the test result of the primary specimen is positive, the employee may request within seventy-two (72) hours of receiving the positive test result that the Medical Review Officer (MRO) direct that the split specimen be tested in the same or a different DHHS-certified laboratory for presence of the drug(s) for which a positive result was obtained in the test of the primary specimen.
- e. An employee will be removed from the safety-sensitive position pending the result of the test of the split specimen.
- f. If the result of the test of the split specimen fails to confirm the presence of the drug(s) or drug metabolite(s) found in the primary specimen, the MRO shall cancel the test.
- g. Employees will be required to complete and sign various forms used to document the testing and chain of custody process. Refusal to sign the test form(s) will be regarded as a refusal to take the test.
- h. Refusal by an employee to complete and sign the test and chain of custody forms, to provide an adequate amount of urine (to be decided on a case-by-case basis), or otherwise failure to cooperate with the testing process in a way that prevents the completion of the test may be considered grounds for disciplinary action, up to and including termination.

In the event of conflicting results between the initial test and the confirmation test, the confirmation test results will determine the outcome of the test.

2. *Results of a Positive Test* – Any employee who tests positive for controlled substances is subject to discipline, up to and including termination.

As with an alcohol misuse violation, the City of Sun Prairie is required to act upon a positive drug test result in the following manner:

- a. Remove the employee from the safety-sensitive position. This removal will only take place after the employee has been allowed to meet or speak with a Medical Review Officer (MRO) in order to determine that the positive drug test did not result from the authorized use of a controlled substance. If the confirmation test is deemed positive, the employee will be placed on administrative leave with pay until disciplinary action is decided.
- b. If not terminated from employment, refer the employee to the City of Sun Prairie SAP for assessment and subsequent compliance with recommended rehabilitation after a determination of a drug problem has been made.
- c. Employee must be evaluated by a substance abuse professional or MRO and determined to be fit to return to work prior to their release of the employee.

- d. Employee must have a negative result on a return-to-duty drug test. Follow-up testing to monitor the employee's continued abstinence from drug use will be required if the employee is determined as needing rehabilitation.

8. Self Admission of Alcohol and Drug Use

City of Sun Prairie strives to maintain a safe and drug free work environment. Alcohol and drug use on the job poses a serious threat to the safety of our employees and the general public. However, the organization also understands the addictive nature of alcohol and certain drugs. The organization greatly values and cares about all employees, and will make every effort to assist any employee who comes forward and admits the need for help or treatment.

- In the event of a voluntary self-admission, the organization is required to remove the employee from performing, and the employee will be prohibited from performing, or continuing to perform, any safety sensitive functions.
- Self-admitting employees will be given the opportunity to seek treatment (at the employee's expense). The organization shall ensure that the employee is provided sufficient opportunity to seek evaluation, education or treatment to establish control over their drug or alcohol problem;
- In order to be permitted to resume performing safety sensitive functions, the organization must be satisfied with the employee's treatment option/program.
- The employee must successfully complete the treatment program, and provide documentation/certification of completion (as determined by a drug and alcohol abuse evaluation expert, i.e., employee assistance professional, substance abuse professional, or qualified drug and alcohol counselor).
- Prior to the employee participating in a safety sensitive function, the employee shall undergo a return-to-duty test (at the employee's expense) with a result indicating an alcohol concentration of less than 0.02; and/or
- A return-to-duty controlled substance (at the employee's expense) test with a verified negative test result for controlled substances use; and
- The organization may incorporate employee monitoring and follow up testing based upon the substance abuse professional's recommendation.

Employees who admit to alcohol misuse or controlled substances use, are subject to the above procedures, but will not be subject to the referral, evaluation and treatment requirements set forth in 49 CFR Part 40, Subpart O, provided that:

- The driver does not self-identify in order to avoid testing under the requirements of this policy;
- The driver does not make the admission of alcohol misuse or controlled substances use prior to performing a safety-sensitive function (i.e., prior to reporting for duty); and
- The driver does not perform a safety-sensitive function until the City of Sun Prairie is satisfied that the employee has been evaluated and has successfully completed education or treatment requirements in accordance with the self-identification program guidelines.

9. Prescription Drugs

Before performing work-related duties, employees must notify their supervisor if they are taking any legally prescribed medication, therapeutic drug (to include the use of CBD Oils), or any non-prescription drug which contains any measurable amount of alcohol or which carries a warning label that indicates the

employee's mental functioning, motor skills, or judgment may be adversely affected by the use of this medication. A written report of this notification is to be filed by the supervisor with the Human Resources Department. It is the responsibility of the employee to inform their physician of the type of safety-sensitive function that the employee performs in order that the physician may determine if the prescribed substance could interfere with the safe and effective performance of the employee's duties or operation of City equipment. However, as required by the Federal Regulations, any employee who uses or possesses medication containing alcohol while on duty or who tests positive for alcohol will be removed from their position, and subject to the provisions of this Policy, even though the reason for the positive alcohol test is the fact that the employee's prescription medication contains alcohol. Depending upon the information disclosed, the supervisor will determine the appropriate work restrictions.

A legally prescribed drug is one where the employee has a prescription or other written approval from a physician for the use of the drug in the course of medical treatment. The prescription must include the patient's name, the name of the substance, quantity/amount to be taken, and the period of authorization. Employees do not need to disclose the purpose or the name of the medication being taken. Disclosure will be on a form prepared by Human Resources with the original going to the employee's medical file. The use or abuse of legal drugs while performing City business is prohibited by City Policy.

Special Note for Rx Opioids:

Historically, the DOT's regulation required the MRO to report employee medication use/medical information to a third party (e.g. your employer), if the MRO determines in their reasonable medical judgement that an employee may be medically unqualified according to DOT Agency regulations, or if an employee's continued performance is likely to pose a significant safety risk. The MRO may report this information even if the MRO verifies a drug test result as 'negative'.

As of January 1, 2018, prior to the MRO reporting information to a third party individuals will have up to five days to ensure their prescribing physician contacts the MRO. Under DOT rule, the driver is responsible for facilitating the contact between the MRO and the prescribing physician. The prescribing physician should be willing to state to the MRO that employee can safely perform their safety-sensitive functions while taking the medication(s), or consider changing the medication to one that does not make employee "medically unqualified" and/or does not pose a significant safety risk.

If the MRO and prescribing physician cannot agree on a resolution regarding the prescription and conclude the driver must remain "medically unqualified" the City of Sun Prairie will either place the driver on administrative leave, offer modified duty-not to include performance of any safety sensitive functions, and/or evaluate if the driver qualifies under FMLA as appropriate. During this time, as the driver is unable to perform safety sensitive functions and likely unable to perform all the essential functions of their job, an ADA interactive process may begin, as required, to help determine reasonable accommodations (if any) for the driver.

10. Confidentiality of Records

The City respects the confidentiality and privacy rights of all of its employees. Accordingly, the results of any test administered under this Policy and the identity of any employee participating in an assessment or treatment program will not be revealed by the City to anyone except as required by law. The City will release an employee's records as directed by the express written consent of the employee authorizing release to an identified person. In addition, the City will ensure that any lab or agency used to conduct testing under this Policy will maintain the confidentiality of employee test records. However, the lab or testing agency will disclose information related to a positive drug or alcohol test of an individual to the

Human Resource Director or their designee. The City may disclose this information to the employee or to the decision-maker in a lawsuit, grievance, or other proceeding by or on behalf of the individual which arises from any action taken in response to a positive drug or alcohol test; or as required by law, including court orders or subpoenas.

The Medical Review Officer (MRO) will not reveal individual test results to anyone except the Human Resource Director or their designee, unless the MRO has been presented with a written authorization from the tested employee. The MRO may reveal to the City of Sun Prairie relevant information as to whether the employee is qualified to perform safety-sensitive functions or whether the employee has tested positive for alcohol or a controlled substance. The City may disclose this information to the employee or to the decision-maker in a lawsuit, grievance or other proceeding on behalf of the individual which arises from any action taken in response to a positive drug or alcohol test; or as required by law, including court orders and subpoenas; or upon the tested employee's written authorization and consent.

All records related to drug and alcohol tests of individual employees will be confidentially maintained. Access will only be allowed to those City employees who have a legitimate need to review the records of a particular employee.

11. Costs

The employer shall pay all costs associated with the administration of alcohol and controlled substance testing except those costs for a "split specimen" test requested by an employee. The employee shall pay for the split specimen test. If the result of said test is negative, the City shall reimburse the employee for said test.

The City of Sun Prairie will pay for the Substance Abuse Professional's (SAP) initial assessment. The employee will pay all costs of rehabilitation not covered by their health insurance plan. An employee may utilize vacation, sick leave, or request a leave of absence to participate in a drug rehabilitation program. Time off may qualify under the State and Federal Family Medical Leave laws.

12. Positive Results

An employee with a positive drug test or breath alcohol test result of .04 or greater is subject to discipline up to and including termination. If the confirmation test is deemed positive, the employee will be placed on administrative leave with pay until disciplinary action is decided. If not terminated, the employee will be required to undergo evaluation by a qualified Substance Abuse Professional (SAP) to determine the need for treatment. If treatment is indicated, the employee will be expected to participate and comply with the recommended treatment and any after or follow-up treatment that may be recommended. The employee will also be required to authorize the City of Sun Prairie to communicate with the SAP to ensure that the employee is participating in the treatment and remaining drug-free. Failure to comply with these provisions and remain drug-free will result in disciplinary action, up to and including termination.

As required by DOT regulations, the City of Sun Prairie will provide employees with informational material and a community service hot-line telephone number on drug treatment services through our Employee Assistance Program (EAP).

13. Employee Training Program

The City of Sun Prairie as required by DOT regulations will provide supervisors education and training on alcohol misuse and controlled substance abuse. The training shall cover the physical, behavioral, speech and performance indicators of probable alcohol misuse and of controlled substances. All

supervisors will receive such training at the time of hire and will be scheduled to attend refresher training every 2-3 years.

The City of Sun Prairie will also provide each employee with a copy of the City Policy relating to drug and alcohol. Employees shall be given information concerning the effects of alcohol and controlled substance use on a person's health, work, and personal life; signs and symptoms of an alcohol or controlled substance problem; and available methods of intervening when an alcohol or controlled substance problem is suspected, including confrontation, referral to any employee assistance program and/or referral to management.

14. Questions

Any employee having questions with respect to the scope of this policy and its contents may contact the City Human Resources Department.

Positions Covered by this Policy Include

Parks/Public Works

Maintenance Workers
Maintenance Worker/Fleet Crewleaders
Traffic Control Technician
Fleet Maintenance Tech
Parks/Forestry Supervisor
Public Works Supervisor
Fleet/Contracts Supervisor

Utilities Commission

Inventory Control
Water Operator
Lead Water Operator
Apprentice Lineworker
Electrical Lineworker
Lead Electrical Lineworker
Electric Operations Supervisor

Wastewater Treatment Plant

Wastewater Operators in Training
Wastewater Operators
Wastewater Lead Worker
Wastewater Instrumentation Tech

RELEASE OF MEDICATION INFORMATION

Employee Name: _____

Dept. _____

Date _____

Per the CDL Drug & Alcohol Testing Policy and the Drug Free Workplace Policy,
I am providing information related to a medical condition where I am required to
take the following medications:

Medication Name: _____

Warning label information:

End date for taking this medication: _____

UPON COMPLETION OF THIS FORM – FORWARD TO HUMAN
RESOURCES FOR MEDICAL FILES.



Multi-Year General Consent for Drug & Alcohol Clearinghouse for the City of Sun Prairie

I, _____, hereby provide consent to the City of Sun Prairie to conduct a multi-year limited query of the FMCSA Commercial Driver's License Drug and Alcohol Clearinghouse to determine whether drug or alcohol violation information about me exists in the Clearinghouse.

Multi-year limited queries may be conducted quarterly in a calendar year for the duration of my employment.

I understand that if the limited query conducted by the City of Sun Prairie indicates that drug or alcohol violation information about me exists in the Clearinghouse, FMCSA will not disclose that information to the City of Sun Prairie without first obtaining additional specific consent from me.

I further understand that if I refuse to provide consent for the City of Sun Prairie to conduct a limited query of the Clearinghouse, City of Sun Prairie must prohibit me from performing safety-sensitive functions, including driving a commercial motor vehicle, as required by FMCSA's drug and alcohol program regulations.

PRINT

Driver/Applicant Signature

Date

City of Sun Prairie Policy/Procedure

Title: Code of Conduct	
Policy Source: City Administrator's Office	Creation Date: February 18, 1986
Application: All Employees	Revision Date: June 4, 2004, October 10, 2011, December 29, 2016
Indexed as: Appropriate Behavior, Discipline	Total Pages: 8

1. General Policy

The goal of the City of Sun Prairie is to provide valuable, responsive, and cost-effective services that enable community members to enjoy a high quality of life with services provided in a safe, reliable and low-cost manner.

To achieve this goal, the City's officials and employees are committed to creating a work environment based on dedication, honesty, integrity, and high moral standards. City officials and employees are encouraged to develop professionally to allow both themselves and the community to obtain a high quality of life. It is expected of everyone associated with the City to treat each person with respect and dignity.

"Supervisor" referenced in this policy is someone who conducts employee performance reviews and is involved in the employee disciplinary process.

2. Principles of Behavior

The activities of the various Departments and Divisions contribute toward the accomplishment of these goals and expectations. This requires teamwork, productivity and a harmonious workplace and the following general principles of behavior will guide the workplace conduct. It is an expectation that all employees value:

Communication - We listen to others; we treat others with dignity; we treat information as responsibility, not power; we keep each other informed; questions are asked and discussion is open; we respect confidential information; and we communicate in a way which ensures mutual understanding.

Quality of Work - We compensate fairly and expect diligent performance; we give direct feedback; we work as a team; we value the safety of our coworkers and citizens; we aim to provide the highest quality of service to our customers and fellow employees; we are open to change; and we contribute to each other's success.

Accountability - We do what we say we will do; we hold the public trust in highest regard; we follow policies and procedures; we take the time to do things right the first time; we encourage individual accountability and decision making; we behave in ways which support our values; and we are not afraid to fail.

In addition to these general principles of behavior, each work group will have its own set of work rules to guide employee conduct in each department.

3. Areas of Emphasis

3.1 Punctuality

Employees shall report promptly at the designated starting time at their assigned workstation, and shall devote their entire efforts during working hours to assigned duties.

3.2 Absenteeism and Tardiness

If an employee is unable to report to work at the scheduled time, he/she must notify or cause the notification of his/her supervisor. Each department shall communicate to their employees the expected minimum time notification for absences by establishing general work rules.

Any employee who fails to provide the foregoing notification shall not be compensated for that day unless the employee can show that circumstances beyond his/her control affected his/her ability to provide the proper notification. The supervisor shall review such circumstances and consult with the Human Resources Department to evaluate eligibility for Family Medical Leave.

Where an employee's attendance record is determined to be questionable or unacceptable, the employee will be so notified in writing. Absences that fall into a pattern or extend beyond available leave balances will be evaluated on an individual basis. Subsequently, the employee's attendance shall be monitored for the following six (6) month period.

Tardiness and poor punctuality shall not be excused except in cases where the supervisor judges the cause to be valid and unavoidable. All employees must be ready to work at the beginning of the shift or their assigned starting time and work up and until the scheduled shift is over.

3.3 On The Job Safety

The City of Sun Prairie has a sincere concern for ensuring the health and safety of its employees while they are engaged in their daily working operations. The efficiency of the City operations is directly related to the competence and well-being of all employees. The City acknowledges its obligation to provide the safest possible working conditions for employees, and, as a governmental unit, to provide a safe environment for the public that benefit from those services.

It is the intention of the City of Sun Prairie to develop, implement, and administer an all-encompassing Loss Prevention/Safety Program. To achieve this objective, it is essential that every City employee plan for and accomplish every job with the full recognition of the risks involved and by putting forth the best method for coping with those risks.

The placing of continual emphasis on safe working conditions, employee discipline, and a refinement of operational procedures will create an environment which will permit the City to virtually eliminate the major causes of employee injury and municipal loss.

All supervisors are directed to make safety a matter of primary concern, equal in importance to all other operational considerations. It will be their responsibility to cooperate with and assist in the implementation of the policies of this program and to develop and administer an effective departmental safety program. Their responsibility includes the adoption of work standards and procedures designed to create a work environment, which is totally free from injury and property damaging hazards.

Every employee is charged with the responsibility of supporting and cooperating with the loss prevention program. All employees are expected, as a condition of employment, to adopt the concept that the safe way to perform a task is the most efficient and the only acceptable way to perform it. Safety adherence and performance will be considered an important measure of supervisor and employee performance.

3.4 Employee Only Areas

Entrances and areas designated as "Employee Entrance", "Employee Only" or "Authorized Personnel Only" shall be considered off limits to everyone except for authorized personnel. For purposes of this section, authorized individuals shall include employees; elected and appointed officials and invited guests who have received authorization from a supervisor or the Department Manager. In the event that a non-authorized individual enters an "Employee Only" area, he/she must first sign in and sign out at either the front counter or another designated area. If an unauthorized entrance is made, the individual(s) shall be immediately escorted to a public area in a courteous and helpful manner. Under no circumstances will a non-authorized individual be allowed to stay in any of these designated areas.

Employees are expected to treat building security as important by keeping secured doors closed and not entering facilities outside of regular work hours unless approved by their supervisor. In addition, employees are not allowed to enter other employees' work areas during regular work hours unless they have business to conduct.

4. Work-Related Searches of Employee Workspaces

All City employees are clearly informed of the extent to which they should expect privacy in workplace areas within the department and under what circumstances searches or inspections will be conducted.

The City has a heightened need for employee integrity and credibility which necessitates that management have the authority to inspect workplace areas and items contained therein for evidence of employee wrongdoing or for other legitimate work-related reasons.

Security considerations in workspaces requires a policy that affords employees a limited right of privacy consistent with legitimate managerial prerogatives.

All workspace areas in municipal buildings, including offices, desks, file cabinets, lockers, and items contained therein, are subject to search for legitimate work-related reasons including:

1. A reasonable suspicion that the search will reveal evidence of employee misconduct (including criminal violations or a breach of security).
2. The need to retrieve a file or other department documents reasonably suspected to be in the area searched.
3. The need to secure City property reasonably suspected to be in the area searched.
4. Routine inspections or inventories of department property.

Searches or inspections under this policy will be conducted at the direction of the City Administrator, Utility Manager, and/or Chief of Police.

Only authorized employees have the ability to conduct such searches. Individuals who conduct searches without proper authority will be subject to discipline.

5. Misconduct - Unacceptable Performance

The continued employment of City employees shall be contingent upon acceptable conduct, satisfactory job performance and compliance with the Personnel Rules and Regulations. Failure to display acceptable job performance or the violation of the personnel policies, rules, and regulations shall be cause for disciplinary action including reprimands, suspension without pay, or dismissal. The exact form of discipline shall depend on the seriousness of the offense committed. An employee shall be considered to have engaged in misconduct if he/she violates any of the following listed reasons. Such list is not to be

considered all-inclusive, but gives a represented sample of the types of incidents that may result in discipline or termination depending upon the severity of the event.

1. The employee falsified City records or assisted in concealing the fact that another employee had falsified City records or official documents (e.g. timesheet). This will also include an employee's deliberate concealment of a coworker's serious misconduct.
2. The employee failed to report promptly or provide an absence/tardiness notification, demonstrated poor attendance, or hindered department operations because of unauthorized absenteeism/tardiness. This includes an employee taking unauthorized and/or excessive time for breaks or lunch.
3. The employee has misused the paid leave benefits by fraudulently using his/her sick or funeral leave benefits.
4. The employee has directly or indirectly participated in a local political campaign during working hours.
5. The employee has engaged in outside employment that conflicts with his/her work at the City.
6. The employee has taken for personal use, a fee, gift, or other item of significant value in the course of work or connection with employment with the City.
7. The employee has used City or SPU-owned equipment, supplies, uniforms or vehicle for personal use without receiving proper authorization.
8. The employee has engaged in solicitation, selling, peddling or distribution of information.
9. The employee has endangered his/her personal safety and/or others' safety through carelessness in work performance and/or non-compliance to established safety procedures.
10. The employee is incompetent, negligent or inefficient in the performance of his/her duties.
11. The employee has demonstrated abusive attitude, language, or conduct in dealing with fellow employees, the public or public property.
12. The employee has violated lawful regulations, rules, orders, company policies, or failed to obey any lawful and reasonable direction given them by their supervisor.
13. The employee has been convicted of a criminal offense, if substantially related to the circumstances of their job.
14. The employee, through culpable negligence or willful misconduct, has caused or failed to report damage to public property or waste of public supplies.
15. The employee has been absent without leave, or has failed to report upon the expiration of an approved Leave of Absence.
16. The employee is found to have knowingly made a false statement in his/her application for

employment or in any of the preliminary employment forms.

17. The employee has failed to submit to a physical examination as directed by the supervisor in accordance with personnel policies and procedures.
18. The employee, while on duty, has been drinking intoxicating beverages, using illegal drugs, or has reported for duty in an impaired condition.
19. The employee has been involved in an avoidable accident, the employee was involved in an accident while performing his/her job duties and did not immediately notify the Police and supervisor, or the employee moved the vehicles before Police arrival (unless this creates a traffic hazard for others).
20. The employee has operated City or Utility vehicles in an unlawful or hazardous manner.
21. The employee has misappropriated funds or property, appropriated funds or property for personal use, or illegally disposed of property.
22. The employee has demonstrated conduct unbecoming an employee of the City while on or off duty.
23. The employee engaged in gambling on duty.
24. The employee used the City telephone or electronic equipment for personal use without receiving proper authorization. See Information Technology and Cell Phone Use policies for further guidance.
25. The employee used the City's postage machines, and/or office supplies for a personal purpose.
26. The employee has failed to show proof of possession and/or maintenance of a valid license and/or certificate that is required in the performance of their assigned position.
27. The employee has provided incorrect or fraudulent information pertaining to an injury.
28. The employee failed to fulfill his/her job obligations while on Stand-by status or reports to work in a condition which does not allow him/her to perform the job as described by the employee's classification.
29. The supervisor failed to perform the role as a supervisor and/or failed to fulfill the responsibilities of a supervisor as defined in the Employer-Employee Relations Policy.
30. The employee failed to provide information or has provided incorrect or fraudulent information while reporting medical and/or dental information, thereby, resulting in the employee receiving greater benefit than he/she would have been eligible for under the City health plans or benefit programs.
31. The employee took action beyond assigned duties or scope of authority pursuant to position description without approval or authorization from the employee's supervisor.
32. The employee identified him/herself as a City employee to influence or in a way to provide

personal benefit, gain, or prestige to the employee.

33. The employee was not courteous at all times in dealing with the public. Or the employee did not, when necessary, listen carefully to complaints and refer them to the proper supervisor for action.

Whenever an employee violates any of the rules and regulations outlined in this section and/or in the entire Personnel Rules and Regulations manual, the supervisor shall begin disciplinary action in any of the steps listed below, depending on the seriousness of the offense committed.

While it is impossible to list all types of unacceptable conduct, the City believes certain acts of misconduct, standing alone, warrant serious discipline up to and including discharge, such as the following:

- Dishonest, misleading, or deceptive behavior.
- Theft or misappropriating employer's property or the property of others. This includes but is not limited to: the theft of work time, use of excessive time at break periods, misuse of sick or other designated leave, misrepresentation of work time, or failure to accurately record work time.
- Leaving the job without permission.
- Causing or working unauthorized overtime.
- Failing to cooperate with others.
- Engaging in conduct that creates an unsafe work environment.
- Fighting, threats, intimidation or harassment of others.
- Providing a substandard quality/quantity of work, including deliberately reducing output.
- Discourteous treatment of others/treating others with substandard customer-service.
- Using profanity or conducting oneself in a disrespectful manner.
- Failing to fully comply with policies.
- Failing to comply with expectations of conduct communicated to an employee.
- Failing to report a possible violation of the rules or policy through the proper chain of command.

6. Investigation

Employees suspected of violating a City rule or procedure will be warranted a fair and impartial investigation of the matter. The immediate supervisor in consultation with the Human Resources Department will talk to witnesses, any complainant as well as the employee prior to making a decision. In matters involving criminal activity or where there is a risk of harm to the employee or others, the employee may be required to leave the work premises or turn in access keys until the investigation is complete.

7. Reprimands

- A. Oral: For minor offenses the employee should be given a verbal warning. A written statement of the oral warning will be placed in the employee's personnel file.
- B. Written: When the seriousness of the offense committed is such that the warning should be in writing, it shall include the nature of the offense and extent of the warning. The employee shall acknowledge receipt of the warning by signing and dating the notice of written reprimand. A copy of the reprimand shall be forwarded within twenty-four (24) hours of the action taken for placement in the employee's file.

8. Discipline and Suspensions

- A. Any action on the part of any employee which is in violation of the orders of his/her supervisor or contrary to the policies or rules of the employer, but not serious enough to warrant dismissal, may be disciplined by Suspension Without Pay. This authority is to be exercised by the Department Manager, under the recommendation for such action by the employee's supervisor.
- B. When a suspension of a City Department Manager is implemented (position whose appointment was confirmed by the Council), the City Administrator shall notify the Personnel Committee and a special meeting shall be scheduled. In the case of a Utility supervisor's suspension, the Sun Prairie Utilities Commission will be notified and a special meeting shall be scheduled.

9. Dismissals

- A. General Personnel
 - 1. The Department Manager, may dismiss any subordinate employee for serious rule violations, including those listed in this policy. The notice of dismissal shall be in writing and shall state the specific charges with such clarity and distinction that the employee will understand the charges made against him/her and will be able to appeal them if they so desire.
 - 2. Department Managers may be dismissed for serious rule violations, including those listed in the policy. The City Administrator shall provide a notice of dismissal in writing and shall state the specific charges with such clarity and distinction that the Manager will understand the charges made against him/her and will be able to appeal them if they so desire.
 - 3. Subject to the general control and supervision of the Common Council, the Sun Prairie Utilities Commission takes entire charge and management of the water and electric utilities, and Telecommunications of the city. The Commission appoints a Utility Manager who holds this office until removed for cause.
- B. Sworn Personnel

Sworn members of the Police and Fire Departments are subject to the provisions of Wisconsin State Statute 62.13 and any additional rules as may be established by the Board of Police and Fire Commissioners for the administration of this subsection.

It should be emphasized again that supervisors are not required to go through each of the steps involved in this disciplinary procedure. Discipline may begin at any step in the procedure depending on the seriousness of the offense committed. Any discipline administered by a supervisor should be commensurate with the offense committed. In addition, the Department Manager may repeat any of the first three steps of this procedure (oral, written, suspension) when he/she feels it is necessary, so long as the discipline is commensurate with the offense committed. If there is any doubt what step to begin with, the Human Resources Director should be consulted.

10. Appeal of Disciplinary Action

- A. General Personnel

City of Sun Prairie employees may avail themselves to the separate Grievance Procedure for issues concerning discipline, termination, and workplace safety (as defined in that policy).

B. Sworn Personnel

1. No sworn member of the Fire or Police Department shall be suspended, reduced in rank, or discharged for disciplinary actions except for cause, upon written charges and after an opportunity to be heard in his/her own defense.
2. Any sworn personnel may appeal the order to Circuit Court.
3. Thereafter the Police and Fire Commission shall certify to the Clerk of Circuit Court the record of the proceedings, including all documents, testimony and minutes. The Court shall upon application of the accused fix a date of trial. The Court's decision is final.

11. Policy Interpretation

All interpretations of this policy shall be made by the Department Manager in consultation with the City Administrator, Human Resources Department, Utility Manager, and/or City Attorney.

City of Sun Prairie Policy/Procedure

Title: Conflicts of Interest	
Policy Source: City Administrator's Office	Creation Date: February 18, 1986
Application: All Employees	Revision Date: December 28, 2016
Indexed as: Ethics, Conflicts	Total Pages: 8

1. General Policy

The proper operation of City government requires that employees be independent, impartial, and responsible to the public and that the public have confidence in the integrity of the government and its employees. It is the policy of the City of Sun Prairie to prevent actual or apparent conflict of interest between a City employee's activities and the unbiased performance of his/her public duties.

Nothing in this policy shall deny any individual rights guaranteed by the United States Constitution, the Constitution of the State of Wisconsin, or by labor agreements negotiated with certified employee bargaining units.

This policy is in harmony with Section 2.20 of the City Ordinances, Code of Ethics, a copy of which is attached.

2. Gifts and Gratuities

City employees shall not accept any gift from any entity or person which does business with the City. However, it should be noted that City departments may accept certain type of donations from individuals and/or organizations which have no direct benefit to City employees but will assist in the delivery of services to the community. For example, a donation to a City program is acceptable since the donation provides benefit to the City and its residents and not to any specific City employees. In addition, City departments may accept gifts of insignificant monetary value (under \$25) which can be consumed or expire in a short time period, as long as that item is placed in an area where all employees or the general public may use it (i.e. a platter of cheese and crackers).

It is realized that minor gifts of insignificant value and of a business nature such as calendars, company-logo shirts and pens will be sent direct to the operating departments. Such gifts should not be encouraged but may be used for business purposes or placed in public areas for their use. If a gift of value (\$25 or over) is received, it should be returned with a brief letter of thanks noting that the gift cannot be accepted due to State Law and City Procedures.

Honorariums paid to employees for their presence at speaking or leadership engagements that they have secured through their employment with the City may be accepted as a "donation" to the City and placed in the department's revenue account. In no case may an individual accept such gifts personally.

If cash or cash equivalent (such as a gift card) is presented to the City, the gift must be recorded as revenue. A record of the expense that the cash or cash equivalent was used for must also be kept, and receipts for any transactions using the gift must be submitted.

2.1 Meals for City Employees

The conducting of City business during lunch is considered to be acceptable and should be allowed to continue. Meals may be accepted only when the value is less than \$25 and when an existing relationship already exists between the City and vendor/individual. In no case may City employees accept any meals from any prospective vendor, business or individual. To remove any claims of favoritism or undue advantage, City employees must inform the prospective vendor(s), etc. that the cost of the employee's meal must be paid for by the City as set forth in this directive.

Except for City functions, meals provided for spouses or other family members must be declined.

2.2 Meals and Drinks Provided at Conference or Training Sessions

In general, if a City employee is provided with a meal or token items (such as pencils or pens, etc.) with a value of less than \$25 by the sponsors of a Conference in which the City has paid a registration fee, the employee may accept these items. Employees may attend these sessions to gather information which may be helpful to the City but they should decline anything of value (greater than \$25) that may be offered to them.

Professional luncheons (Rotary, Chamber of Commerce, Optimists Club, etc) and meals scheduled as part of a business conference or convention will be reimbursed by the City at actual cost, if one price is charged to all participants.

Meals provided outside of this policy may be considered "income" under IRS rules and will be subject to payroll taxes to be reflected on the employee's year-end wage and earning statement as other taxable income.

2.3 Travel and Lodging

The same requirements apply to travel and lodging as applies to meals. In general City employees should not accept any paid travel and/or lodging unless it is paid for by the City through a registration fee or some type of reimbursement.

2.4 Recognition Gifts Submitted by Thankful Residents

During the year, especially around the Holidays, City departments receive small recognition gifts such as homemade cookies and candy from residents who wish to show their appreciation to the City or a specific City department. It is not the intent of this Directive to antagonize these residents by refusing their generosity. Therefore, if a City Department is given a gift by a resident in recognition of their appreciation to the Department the gift may be accepted. However, the gift should not have a value greater than \$25.00 and it must be an item which is non-alcoholic. The Department may accept such a gift on behalf of the entire Department and City. The gift should immediately be placed in an area where the general public has direct access and the public and City employees may enjoy the gift until it is gone.

NOTE - Such small recognition gifts may be accepted from individuals, businesses, and vendors who wish to show their appreciation as long as they have no financial incentive, and the gift is valued under \$25.

2.5 Miscellaneous

City employees shall not accept any type of entertainment offering such as sports tickets, golf outings and similar items from any business or vendor. If the employee wishes to partake in the entertainment, then he/she must fully reimburse the host for the cost.

3. Use of City Equipment

3.1 Use of City Telephone

- A. Employees shall observe the rules of telephone courtesy in receiving or placing calls.
- B. Employees are permitted to use City telephones for personal reasons only in case of absolute necessity. This is a privilege and not a right and may be withdrawn by the Department Manager if abused through excessive use or if telephoning causes interference with work duties.
- C. Toll and extra unit calls for personal reasons may be made only with the prior approval of the Department Manager and at the employee's expense.
- D. Employees shall discourage persons from telephoning them at work.

3.2 Use of City Vehicles, Equipment, Supplies, Tools, and Uniforms

- A. Under no circumstances should an employee conduct any kind of personal business while they are using a City vehicle. In using the City's vehicular equipment, employees must keep in mind the fact that they are representatives of the City government and that their conduct in adhering to the rules of safety and courtesy on the road is a reflection, for good or bad, on the City. Thus, it is imperative that such employees abide by these rules and customs with the highest degree of professionalism. Any fines incurred by an employee while operating a City vehicle due to traffic or parking violations shall be the responsibility of the employee and all fines or monies shall be paid by the employee.
- B. City vehicles, equipment, supplies tools, and uniforms shall not be used for private or unauthorized purposes.
- C. Employees shall be responsible for the proper care and use of City vehicles, equipment, supplies, tools and uniforms, and shall report promptly any accidents, breakdowns or the malfunction of any equipment so that the repairs may be made.
 - 1. City employees (non-sworn personnel) are not authorized to take City vehicles home any time during their assigned work hours without authorization from their Department Manager.
 - 2. City employees (sworn personnel) are not authorized to take City vehicles home any time during their assigned work hours unless they receive approval from their Shift Sergeant Division Commander. Such approval shall be limited to employees residing in the City authorized to take a lunch break at their residence in full conformance with current Police Departmental guidelines.
- D. Eligible employees shall be assigned uniforms by the City. Said uniforms shall be considered City property and shall be used only for work related activities. Employees will be responsible for keeping the uniform neat, clean and in good repair. Uniforms provided for the employees shall be worn only during work hours, or for conducting official City business outside working hours.

4. Outside Employment

No full time, part-time or temporary employee shall be employed in outside employment without the approval of the Department Manager. This applies to any form of non-City work activity, including self-employment, whether occasional, part-time, temporary, or permanent for which the employee receives money, goods, services or other forms of benefits or income. Employees wishing to hold outside jobs shall apply in writing to the Department Manager. In granting or withholding such requests, the Department Manager shall consider the following criterion in making a decision:

- 1. Impairment of Efficiency - The outside job shall not interfere with an employee's effectiveness in his/her City position. Special attention shall be given to the number of hours at the location of the job, and the nature of the duties performed.

2. Physical Well-being - The outside work shall not leave the employee tired, therefore, more subject to injury and his/her City job. In addition, the outside work must not create a physical drain on the employee's health so that the employee is more prone to illness, thereby, requiring the employee to absent himself/herself from work at the City.
 3. Conflict of Interest - No outside work will be approved if that job places the employee in a compromising position of performing duties or responsibilities that conflict or appear to conflict in ethics or purpose with his/her City position.
 4. Public Relations - The public relations of outside jobs shall be considered with particular attention to employment that is acceptable in the community.
- A. Any City employee interested in securing outside employment must furnish a full disclosure of the outside employment including the employer's name and address, the nature of work to be performed and the hours per week that the employee will engage in outside employment. Outside employment request forms are available in the Human Resources Department.
 - B. Full-time employees are reminded that the City is their primary employer and at no time can outside employment activities violate the criteria established above. Likewise, part-time and/or temporary employees who engage in outside employment activities, (whether it is for their primary employer) must also comply with the criteria established above. If a Department Manager believes that one or more of the criteria is being violated by an employee engaging in an approved outside employment activity, he/she shall review the situation and may revoke the employee's approval to engage in outside employment.
 - C. If an employee suffers an injury during or resulting from an outside employment activity, the City will not be responsible for any Worker's Compensation benefits. In addition, the outside employer is responsible for any lost wages and medical expenses related to that injury.
 - D. An employee who is placed on temporary job related disability due to an on-the-job injury is strictly prohibited from engaging in any outside employment that may violate the physical restrictions established by a medical provider. The City reserves the right to revoke any outside employment agreement when there is a conflict between written physical restrictions and activities engaged in during outside employment.
 - E. If the employee uses sick leave, he/she shall not engage in any outside employment during the twenty-four (24) hour period immediately following his/her scheduled work day.
 - F. City uniforms, vehicles, equipment and supplies shall not be used in connection with outside employment positions.
 - G. Violations of any of the above restrictions, including non-disclosure of outside employment and dishonesty will be grounds for discipline.

5. Employment of Relatives

Relatives may be employed within the same department whether on a regular or temporary basis, with the written approval of the Department Manager in the case of sworn personnel, as appointed by the Police and Fire Commission. However, immediate family members are not allowed to work in a supervisor/subordinate relationship, unless prior approval is granted by the personnel committee (or Sun Prairie Utilities Commission for Utility employees).

This approval shall be obtained prior to extending an offer of employment. In addition, through the City's 'Equal Opportunity Employer' statement, we do not have a preference for nor disqualification of employing relatives of employees, elected officials, and/or appointed committee and Board members.

No employee may attempt to interfere in an employment decision involving a relative. This includes, but is not limited to, lobbying on behalf of a relative who is an applicant for a position or under consideration for a promotion, and questioning or arguing over the discipline or discharge of a relative.

6. Political Activity

To serve the best interests of the employee, taxpayers, and City government, it is the policy of the City of Sun Prairie that all municipal employees serve without political bias and without regard to their political opinions or affiliations. This policy has been developed not to restrict one's constitutional rights but to protect the neutrality of public service personnel.

- A. Therefore, employees are prohibited from:
 - 1. Using their official authority or influence for the purpose of interfering with or affecting the result of an election or a nomination for office; or
 - 2. Directly or indirectly coerce, attempt to coerce, command, or advise a State or local officer or employee to pay, lend, or contribute anything of value to a party, committee organization, agency or person for political purposes.
- B. Employees on their own time shall be permitted to:
 - 1. Express their opinions on political subjects and candidates;
 - 2. Take an active part in political management and political campaigns;
 - 3. Campaign for a candidate in a partisan election by making speeches, writing on behalf of the candidate, or soliciting voters to support or oppose a candidate;
 - 4. Attend political rallies or partisan campaign meetings;
 - 5. Transport voters to the polls for their convenience;
 - 6. Make voluntary contributions to a political party or organization; and
 - 7. Become a candidate for any elective governmental office.
- C. If the running for political office creates a conflict with the hours of employment or the quality of work, the employee may request a leave of absence. Such leave will be treated the same as a personal leave of absence with equivalent reinstatement rights. Candidates should consult their appropriate bargaining contract or personnel policies.
- D. An active employee elected to a City of Sun Prairie City Council or Mayor position will be required to resign from employment prior to taking office in accordance to State Statutes.

Determination of a potential conflict of interest shall be made by the Department Manager, in consultation with the City Attorney.

7. Voting - General Election

If an employee finds that due to circumstances beyond his/her control, he/she cannot reach the assigned polling place, either before or after scheduled work hours, he/she will be permitted to be absent from work for a period not to exceed 3 hours per State Statute. This time, however, will be unpaid.

The City of Sun Prairie will allow up to 30 minutes of paid time to vote, if the employee cannot reach their assigned polling place due to their hours of work assigned by the City. The employee must receive prior authorization from the Department Manager who will review operational requirements. Under this

rule, the time the employee is away from work shall only be used to vote in the election.

8. Solicitation, Selling and Peddling Among Employees

Unless authorized by the Department Manager, all solicitation, distribution of literature, selling of tickets, chances, magazines or merchandise and all collections for any purpose are hereby prohibited on City property. This restriction applies to all solicitations, selling or peddling of every nature for charitable or any other purpose whether by City employees or non-employees.

The Department Manager may authorize solicitations and/or distribution of literature if such is considered to be in the best interest of the City. Persons wishing to solicit or distribute literature must submit a written request to the Department Manager, who shall review each request and send a decision within five (5) working days.

9. Personal Mail

Employees shall not use the addresses of the City municipal buildings or offices for receipt of personal mail and other deliveries nor shall they use City postage machines and stationery

10. Policy Interpretation and Training

All interpretations of this policy shall be made by the Mayor, Utilities Manager, or City Administrator in consultation with the City Attorney and the State Ethics Board. The decisions of the Mayor, Utilities Manager, or Administrator shall be final and binding.

Employees receive this policy upon hire and periodic refresher training as deemed necessary.

CITY OF SUN PRAIRIE CODE OF GENERAL ORDINANCES**2.20.010 Ethical standards of public officials--Declaration of policy.**

The proper operation of democratic government requires that public officials and employees be independent, impartial and responsible to the people; that government decisions and policy be made in proper channels of the governmental structure; that public office not be used for personal gain; and that the public have confidence in the integrity of the government. In recognition of these goals, there is established a code of ethics for all city officials and employees, whether elected or appointed, paid or unpaid, including members of boards, committees and commissions of the city. The purpose of this chapter is to establish guidelines for ethical standards of conduct for all such officials and employees by setting forth those acts or actions that are incompatible with the best interests of the city and by directing disclosure by such officials and employees of private financial or other interests in matters affecting the city. The provisions and purpose of this chapter and such rules and regulations as may be established are declared to be in the best interests of the city.

(Prior code § 2-5-1)

2.20.020 Responsibilities of public office.

A. Public officials and employees are bound to observe in their official acts the highest standards of morality and to discharge faithfully the duties of their office regardless of personal considerations, recognizing that the public interest must be their primary concern. Their conduct in both their official and private affairs shall be above reproach.

B. Public officials are bound to uphold the Constitution of the United States and the constitution of the state and to carry out impartially the law of the nation, state and municipality.

(Prior code § 2-5-2)

2.20.030 Dedicated service.

A. All officials and employees of the city should be loyal to the objectives expressed by the electorate and the programs developed to attain these objectives. Appointive officials and employees should adhere to the rules of work and performance established as the standard for their positions by the appropriate authority.

B. Public officials and employees shall not exceed their authority or breach law or ask others to do so, and they shall work in full cooperation with other public officials and employees unless prohibited from doing so by law or by officially recognized confidentiality of their work.

(Prior code § 2-5-3)

2.20.040 Use of public property--Obligations of citizens.

A. Use of Public Property. No public official or employee shall request, use or permit the use of city-owned vehicles, equipment, materials or property for personal convenience or profit, except when authorized by the city's personnel policies.

B. Obligation of Citizen. No public official or employee shall grant any special consideration, treatment or advantage to any citizen beyond that which is available to every other citizen.

(Prior code § 2-5-4)

2.20.050 Conflict of interest.

No official or employee, whether paid or unpaid, shall engage in any business or transaction or shall have a financial or other personal interest, direct or indirect, which is incompatible with the proper discharge of his or her official duties in the public judgment or will tend to impair his or her independence or judgment or action, in the performance of his or her official duties.

(Prior code § 2-5-5)

2.20.060 Specific conflict of interest.

Specific conflicts of interest are enumerated below for the guidance of officials. The following list is illustrative merely and not exclusive:

- A. Incompatible Employment. No alderperson or other public official or employee shall engage in or accept private employment or render services for private interests when such employment or service is incompatible with the proper discharge of his or her official duties or tends to impair his or her independence of judgement or action in the performance of his or her official duties. In the event an alderperson, official or employee possesses a financial or personal interest in any business or transaction, any presumption of conflict of interest with his or her public duties shall be removed by his disclosure of the nature and extent of such investment to the common council for the records of that authority.
- B. Disclosure of Confidential Information. No alderperson, other public official or employee, shall, without proper legal authorization, disclose confidential information concerning the property, government or affairs of the city, nor shall he or she use such information to advance the financial or other private interest of himself or herself or others.
- C. Gifts and Favors. No alderperson or other public official or employee shall accept any gift, whether in the form of service, loan, thing or promise, from any person who to his knowledge is interested directly or indirectly in any manner whatsoever in business dealings with the city, except as permitted by the city's personnel policies.
- D. Representing Private Interests Before City Agencies or Courts. No alderperson or other public official or employee whose salary is paid in whole or in part by the city shall appear in behalf of private interests before any agency of the city. He or she shall not represent private interests in any action or proceeding against the interest of the city in any proceedings to which the city is a party.
- E. Contracts with the City. No city employee, officer or other public official who in his or her capacity as such officer, employee or public official shall participate in the making of a contract in which he or she has a private pecuniary interest, direct or indirect, or perform in regard to that contract some function requiring the exercise of discretion on his or her part, shall enter into any contract with the city unless within the exceptions contained in Section 946.13(2), Wisconsin Statutes. The provisions of this section shall not apply to the designation of a public depository of public funds, nor to contracts in any one year under five thousand dollars (\$5,000.00).
- F. Use of Office for Personal Gain. An elected official shall not use his or her elected office or title to develop any personal financial gain.
- G. Disclosure of Interest in Legislation.
 - 1. An alderperson who has a financial or other private interest in any legislation shall disclose on the records of the council the nature and extent of such interest. This provision shall not apply if the alderperson disqualified himself or herself from voting and council discussion of the matter.
 - 2. Any other appointed or elected public official or employee, including citizen members of boards and commissions, who has a financial or other private interest, and who participates in discussion with or gives an official opinion to the council shall disclose on the record of the council the nature and extent of such interest.

(Ord. 327, § 1, 8-21-2007; Ord. 496 § 1, 2000; prior code § 2-5-6)

2.20.070 Advisory opinion.

Any questions as to the interpretation of any provisions of the code of ethics chapter shall be referred to the city attorney for an advisory opinion and such opinion shall be given to the common council for its action, if any.

(Prior code § 2-5-7)

2.20.080 Sanctions.

Violation of any provision of this section should raise conscientious questions for the alderpersons or any other official or employee concerned as to whether voluntary resignation or other action is indicated to promote the best interest of the city. Violation may constitute a cause for suspension, removal from office or employment, or other disciplinary action.

(Prior code § 2-5-8)

City of Sun Prairie Policy/Procedure

Title: Employee donation of Sick Leave	
Policy Source: City Administrator's Office	Creation Date: December 1, 1994
Application: Donation of Sick Time	Revision Date: October 29, 2002, September 1, 2009, January 12, 2016, May 22, 2024
Indexed as: Sick Leave, Donation	Total Pages: 3

1. General Policy

The City is a service organization with one of its most important resources being the employees who directly provide the services to the community. Therefore, the City's employees are of utmost importance and concern to the Mayor and Council as well as to the City Administrator and all managerial/supervisory personnel employed by the City. During times of great crisis, such as a life-threatening illness of an employee; or a life-threatening illness of a spouse, child or parent of the employee, the City strives to provide support to the recovery program with an emphasis on employee retention.

Therefore, from time to time the City Administrator may authorize the donation of sick time for the purpose of extending pay during a prolonged absence of the employee from work due to an employee or family member's debilitating, long-term or life-threatening illness. This process should not be viewed as an entitlement, but is allowed only under rare circumstances where the employee needs to be off work for a significant amount of time and has exhausted all of their own accrued leave (sick, vacation, holiday, compensatory time, etc.).

For situations involving family members, the intent is that the use of donated time is for the employee to provide essential care to the family member for their daily living activities. This might involve the "end of life" care, hospice care, or for a debilitating condition where there is no other practical alternative or community support available. This policy is not intended to be used for vacation purposes with family members.

This donation is available during FMLA-covered period of time (or equivalent period of time for new hires) and limited to 30 calendar days (or its equivalent if used intermittently) for each situation. However, extenuating circumstances may warrant the need for an additional donation event.

2. Eligibility Issues to be Considered

The Human Resources Department will administer the policy with final decision to approve or deny the donation of sick leave to be determined by the City Administrator. In making that decision, the following items will be considered:

- A. Employee's length of service with the City of Sun Prairie.
- B. Employee's existing schedule and employment status.
- C. Any previous disciplines for abuse of sick time.
- D. Nature and anticipated duration of the life-threatening illness.
- E. Whether absences will be intermittent.
- F. Number of hours currently in the employee's sick leave bank.
- G. Employee's authorization to allow donation of time.

To be eligible, the employee must provide information from a health care provider regarding the nature of the employee or family member's illness, type of care required, and the expected prognosis.

3. Confidentiality of Process

Every effort will be made to maintain confidentiality of employee or family member's medical information. The process of requesting employee donation will only be done with the prior approval of the affected employee. Memos of request will be written to only release medical information that the employee or family member has indicated as appropriate. Where additional inquiries are made, the questions will be referred to the employee.

4. Types of Leave Allowed for Donation

Only sick leave hours may be donated for the purpose of this policy. Donation of vacation, holiday, administrative leave or compensatory time is prohibited.

Only employees with more than 12 days accumulated in their sick leave bank are allowed to donate time. No employee may donate hours that results in a balance of less than 12 days in his or her own sick leave bank. In setting these limits on the donation of time, the City hopes to ensure that employees are not jeopardizing their own sick leave balances.

Under no condition may an employee donate sick time if they have already submitted in writing their intent to leave employment (resignation or retirement). Employees who are currently suspended (with or without pay) or employees who are on family medical leave are prohibited from donating time.

Donated hours should be in increments of four (4) hours. Additional limits on the maximum number of hours each employee is allowed to donate may be set.

Time donated will be calculated on an hour for hour basis regardless of the difference in pay or work status. Example: Four (4) hours of sick leave from someone making \$10.00/hour will be donated as four (4) hours of sick leave to the part-time employee making \$15.00/hour.

5. Tracking of Donated Leave

Any employee may request to initiate the process of donating sick time to another employee. All requests should be forwarded to the Human Resources Department and a decision regarding approval or denial will be made as quickly as possible. The City Administrator shall have the final decision on whether to approve or deny requests for donation of time. The Human Resources Department will coordinate such an effort and maintain all appropriate records.

Those persons interested in donating their sick leave should do so in writing, which may include email correspondence, to the Human Resources Department before the designated deadline.

All hours designated for donation will be removed from the employee's sick leave bank on the date of the deadline. The employee donating the time should have no expectation for reinstatement of the time, even if the employee does not use the time.

All sick leave hours donated will be placed in a bank, which will be available to the employee for any absence related to the approved situation. The employee does not have access to this bank of sick time for any purpose other than absences related to the treatment of their life-threatening illness, or to provide essential care to the family member for their daily living activities.

The employee has access to this bank of hours until it is exhausted. Under no conditions will the donated hours be paid out or rolled into the Health Reimbursement Arrangement (HRA).

If the employee is unable to use all of the donated time, the remaining hours will be held in a “donation account” which can be then be used by other employees in future requests for donation of time.

6. Additional Requests for Leave of Absences

Employees requesting additional unpaid leaves of absence should consult the appropriate union contract or personnel policies.

In addition, employees should consult the City’s Family Medical Leave Policy for requests of medical leaves of absence regardless of pay status.

All questions and requests for information should be directed to the Human Resources Department.

7. Policy Approval and Interpretation

Questions regarding the application and interpretation of this policy will be directed to the Human Resources Department with final approval or denial of conation of time to be determined by the City Administrator.

City of Sun Prairie Policy/Procedure

Title: Dress Code Policy	
Policy Source: Human Resources Department	Creation Date: September 3, 1998
Application: All Employees	Revision Date: August 3, 2004, April 2, 2019
Indexed as: Appropriate Attire	Total Pages: 3

1. General Policy

The City of Sun Prairie employees represent the City to the community, and are expected to promote a positive image to residents, business owners, and the media. It is important to maintain a professional appearance while engaged in work for the City of Sun Prairie. Therefore, all City employees shall be well-groomed, neat, and dressed appropriately for their job function.

2. General Guidelines

While the City of Sun Prairie has adopted a casual business dress code, there may be situations requiring more formal attire. When departments are sponsoring, conducting, or attending professional meetings, seminars or roundtables employees are expected to represent the City in a professional manner and dress appropriately for conducting such business.

Managers shall communicate dress code expectations to employees. Such expectations will depend upon job duties, level of position within the organization, and amount of customer contact. Where an employee's clothing is questionable, the supervisor will meet with the employee to clarify the issue.

General Dress Code

- Clothing shall be neat and clean and shall not be torn, frayed, stained, excessively faded, or sheer to the skin.
- Clothing must cover the midriff and back.
- Clothing shall not be excessively loose or tight fitting and must not impede work or pose safety hazards when people are doing the work required.
- Clothing, buttons, badges, or pins shall not have political or potentially offensive words, terms, logos, pictures, cartoons, or slogans.
- Undergarments shall not be visible.
- Employees potentially engaged in field work shall not wear sandals, open toed shoes, or open backed shoes.
- Strapless, halter, spaghetti strap, and low-cut shirts or dresses shall not be worn unless worn under another blouse, shirt, jacket, or dress.
- Tank tops or muscle shirts shall not be worn unless worn under another shirt.
- Beach-style flip-flops, bedroom slippers, and other shoes that are not professional in appearance shall not be worn.
- Sweatpants, bib overalls, lounge pants, and athletic pants are not acceptable attire while working in the office environment.

These guidelines are not intended to be all-inclusive, but to set general parameters and allow employees to use good judgment when dressing for the office. If you are unsure if something is acceptable, ask your department manager or choose something else.

3. Uniforms

Eligible employees shall be assigned uniforms or uniform allowances by the City. Said uniforms shall be considered City property and shall be used only for work related activities. Employees will be responsible for keeping the uniform neat, clean and in good repair. Uniforms shall be worn only during work hours, or for conducting official City business outside working hours.

4. Safety

The City wishes to provide a work environment that is free of safety hazards, offensive behavior, and harassment of any kind. Therefore, employees are expected to dress in a manner consistent with the work that they do. Employees are expected to abide by all safety rules regarding the wearing of personal protective equipment.

The City will provide steel-toed work boots for employees required to work outside in conditions requiring work boots.

The City shall supply to all employees who do not receive a uniform allowance and who have to work outside during inclement weather -- rain, snow, sleet, freezing temperatures or extreme heat -- rain gear (pants and coat), gloves (waterproof), hats, face masks and sweat bands.

Employees will be expected to remove or cover body piercing while working in positions where the jewelry may cause bodily injury to the employee or others.

Any tattoos that are or may be interpreted as offensive (profanity, weapons, violence, nudity, blood, etc.) are to be covered by clothing or a bandage.

Seasonal Employees

To recognize the importance of safety for our summer maintenance employees, the following clothing and equipment requirements will be in effect:

- ANSI rated C/75, I/75 steel toe safety boots in a 6" or 8" style worn at all times (employee provided)
- Long pants in good condition without holes or loose strings worn at all times
- City provided "T-shirt" in clean condition worn at all times
- Eye protection (i.e., glasses or shields) when operating or near persons operating mowing/trimming equipment, power tools, grinding, cutting or sawing equipment and impact hammers
- Hearing protection when operating or near persons operating trimming/mowing equipment, impact equipment or when working around heavy equipment emitting continuous high decibel noise
- Gloves when working with paving equipment, handling saws, brush, metal, appliances, concrete or asphalt
- Hats - (baseball and hard hats). City issued baseball hats will be worn if employees desire to wear this type of hat. Hats are known to provide relief from the hot sun and help reduce glare providing for clear vision. They are recommended for employee use. Hard hats must be worn when pruning trees or working on repairs or maintenance of facilities greater than 14 feet up.

- Safety vests - Employees working on or near street right of ways must wear an ANSI rated 107-1099 traffic vest.

All clothing or safety equipment must be worn as indicated, and in addition as the supervisor determines appropriate. These requirements will be effective for all seasonal employees who perform physical manual labor work in the Public Works Department, the Parks, Recreation and Forestry Department, and the Wastewater Treatment Plant.

5. Inappropriate Attire

Employees reporting to work in violation of general dress code guidelines will be sent home to change and will not be paid for that time off. Further infractions will subject the employee to disciplinary action, up to and including termination.

6. Policy Adoption and Interpretation

Questions regarding the application and interpretation of this policy should be directed to the Human Resources Department or the immediate supervisor.

City of Sun Prairie Policy/Procedure

Title: Drug Free Workplace	
Policy Source: City Administrator's Office	Creation Date: January 1, 1999
Application: All Employees	Revision Date: October 15, 2004, November 29, 2007, March 4, 2011, November 13, 2014, January 16, 2017 May 17, 2021
Indexed as: Drugs, Alcohol	Total Pages: 5

1. General Policy

It is the policy of the City of Sun Prairie to maintain a drug free work place for all of its employees. Drug use both on and off the job can have a significant impact on an employee's job performance and can threaten an employee's own personal well being and safety as well as the safety of other employees and the general public.

Employees are expected to report to work free from any substances that could inhibit their ability to perform their duties. The unlawful use, possession, distribution, dispensing or manufacture of an illegal drug while on duty, on or off City property, is absolutely prohibited.

In addition, employees are not permitted to consume alcoholic beverages immediately before or during the workday. This includes breaks and lunch periods. Consumption of alcohol, even in moderate amounts, impedes performance, causes safety risks and projects a poor image of city employees to the community.

Failure to comply with this policy will lead to disciplinary action up to and including discharge.

2. Reporting of Drug Conviction

Pursuant to the Drug-Free Workplace Act of 1988, any employee who is convicted of any violation of a criminal drug statute occurring while on duty must notify the City Human Resources Director no later than five days after such conviction.

3. Prevention and Rehabilitation

The goals of this policy are prevention and rehabilitation whenever possible, rather than discipline and termination. The City of Sun Prairie encourages employees who have alcohol or other drug problems to seek help to deal with their problem. Employees are encouraged to use the services of the City's Employee Assistance Program (EAP). Information about the EAP is posted on the City's Intranet. Additional information is available from the Human Resources Division.

4. Self Admission

City of Sun Prairie strives to maintain a safe and drug free work environment. Alcohol and drug use on the job poses a serious threat to the safety of our employees and the general public. However, the organization also understands the addictive nature of alcohol and certain drugs. The organization greatly values and cares about all employees, and will make every effort to assist any employee who comes forward and admits the need for help or treatment.

- In the event of a voluntary self-admission, the organization is required to remove the employee from performing, and the employee will be prohibited from performing, or continuing to perform, any safety sensitive functions.
- Self-admitting employees will be given the opportunity to seek treatment (at the employee's expense). The organization shall ensure that the employee is provided sufficient opportunity to seek evaluation, education or treatment to establish control over their drug or alcohol problem;
- In order to be permitted to resume performing safety sensitive functions, the organization must be satisfied with the employee's treatment option/program.
- The employee must successfully complete the treatment program, and provide documentation/certification of completion (as determined by a drug and alcohol abuse evaluation expert, i.e., employee assistance professional, substance abuse professional, or qualified drug and alcohol counselor).
- The organization may incorporate employee monitoring and follow up testing based upon the substance abuse professional's recommendation.

5. Prescription Drugs

Employees taking medication with a side affects that may interfere with the safe and effective performance of their duties or operation of equipment, should disclose this to their immediate supervisor. The name of the prescription does not need to be revealed, only the hazardous side affect(s) and length of time the employee will be affected. Such information may be requested at any time by the supervisor.

6. Drug Testing

Positions requiring a Commercial Drivers License will undergo pre-employment, post accident, random, reasonable suspicion, and return to duty drug screening per Department of Transportation (DOT) regulations. *See City of Sun Prairie CDL Drug/Alcohol Testing Policy.*

6.1 Pre-employment Drug Testing

Positions engaged in safety sensitive tasks, positions with access to controlled substances and those carrying firearms and may use deadly force will undergo pre-employment drug screening per the City's own authority. Applicants will be required to submit to urinalysis testing which provides such results to the City of Sun Prairie. The City will not discriminate against applicants because of past illegal drug use. It is the current use of illegal drugs that will prevent a prospective employee from being considered for employment. Drug screening will be conducted by a qualified medical laboratory and subject to review by a designated Medical Review Officer (MRO). Results deemed "positive" by the MRO will disqualify candidates from further consideration for that opening.

Where drug testing results are inconclusive (i.e.; dilute sample), the applicant will be contacted by the Medical Review Officer and may be requested to return for another test. In the event that a second result is inconclusive, the applicant will no longer be considered for employment and the offer of employment will be rescinded.

The Human Resources Division shall be responsible for the maintenance of the official recruitment files for all positions and the disclosure of such information. All information will be kept confidential to the extent permitted by law.

6.2 Reasonable Cause/Suspicion Testing

Current employees will be required to submit to a drug and/or alcohol test if reasonable cause

exists to suggest that the employee's health or ability to perform expected job duties is impaired.

When an employee is acting in an abnormal manner or appears unfit to perform his/her duties in a safe manner, and a supervisor has probable suspicion to believe the employee is using or is under the influence of alcohol or other drugs, the employee shall be taken to a properly authorized testing facility for alcohol or drug testing. Probable suspicion means suspicion based on specific personal observations that the supervisor can describe concerning the appearance, behavior, speech or breath odor of the employee.

When requiring an employee to submit to a reasonable cause/suspicion testing, the supervisor must submit a written report to the Human Resources Director outlining, in detail, the event and the behavior observed that led the supervisor to believe the employee was under the influence of alcohol and/or drugs. This report must be done within twenty-four (24) hours of the testing.

6.3 Random Testing

Staff provided with unrestricted access to Police Departmental property and evidence storage areas that contain controlled substances will be subject to random testing as outlined in this policy.

1. The employee will be randomly selected for testing from a "pool" of employees subject to testing. The testing dates and times are unannounced and will occur with unpredictable frequency throughout the year.
2. The minimum annual percentage rate for random alcohol testing shall be 10 percent and the minimum annual rate for random drug testing shall be 25 percent of the average number of employees. The City reserves the right to either increase or decrease the minimum annual percentage rate for random alcohol and drug testing based upon the reported violation rate for the entire pool as determined by the consortium service agency.
3. The selection of employees for random testing shall be administered by a third party consortium service agency using a scientifically valid method. This method will be a random number table of a computer-based random number generator that is matched with employees' social security numbers. Under this selection process, each employee will have an equal chance of being tested each time selections are made. As a result, some employees may be tested more than once each year, while other employees may not be tested at all.

7. TESTING PROCEDURES (DRUGS)

All drug tests will be conducted using a urine specimen collected at a qualified collection site. The collection site will take necessary steps to avoid any dilution or adulteration of the specimen. The test will be conducted in a professional and sanitary manner with regard for the individual's privacy, dignity and confidentiality.

The specimen will be analyzed using applicable Federal guidelines, by a U.S. Department of Health and Human Services (DHHS)/Substance Abuse and Mental Health Services Administration (SAMHSA) certified, professional laboratory for the following substances:

Tetrahydrocannabinol(Marijuana)	Opiates (Codeine, Morphine, and Heroin)
Phencyclidine (PCP)	Cocaine metabolites
Amphetamines, Methamphetamines and Methylenedioxymethamphetamines	

Threshold levels for a positive test result will be established by the laboratory and revisions to such thresholds adopted by the DOT will be used under the City's own authority.

In the case of a positive test result, it will be referred to a Medical Review Officer for review. The review

process is to allow the opportunity to determine if the legal use of prescription drugs or other substances has resulted in a positive test result. All employees have the right, upon request, to see the results of their own test(s).

8. TESTING PROCEDURES (ALCOHOL)

All alcohol tests will be conducted using an approved evidential breath-testing (EBT) device. The test will be conducted in a professional and sanitary manner with regard for the individual's privacy, dignity and confidentiality. If the tests confirm a positive result, the employee may be subject to disciplinary action, up to and including termination. For purposes of this policy a BAC rating of 0.08 (state standard) shall be considered to constitute a positive test result. Those employees covered under the Commercial Driver's License (CDL) must consult that policy for appropriate standards.

Alcohol test results will be reported directly to the City of Sun Prairie contact. All employees have the right, upon request, to see the results of their own test(s).

9. RIGHT TO PRIVACY

All drug and alcohol test results are reported to the City of Sun Prairie Human Resources Director or designee and will remain confidential. Results will only be disclosed within the City on a need-to-know basis and will be retained in a secure location with controlled access. The release of an individual's drug and alcohol test result will only be provided in accordance with an individual's written authorization or as otherwise required by applicable federal or state law. However, the results may be disclosed in a lawsuit, grievance or other proceeding initiated by, or on behalf of the employee.

10. COSTS

The employer shall pay all costs associated with the administration of alcohol and controlled substance testing.

11. DISCIPLINARY ACTIONS

Failure to comply with the Drug Free Workplace policy will lead to disciplinary action up to and including discharge.

A "verified" positive drug test result and/or a "confirmed" positive alcohol test is grounds for disciplinary action up to and including termination. Each action will be decided on a case-by-case basis. An individual's work record will be reviewed when making the disciplinary decision.

Refusal to comply with alcohol or drug testing will constitute a presumption of impairment and the employee will be subject to discipline, up to and including immediate discharge.

All supervisors at the City of Sun Prairie are provided education and training on alcohol misuse and controlled substance abuse. The training shall cover the physical, behavioral, speech and performance indicators of probable alcohol misuse and of controlled substances. Supervisors who deliberately misuse this policy in regard to subordinates will receive appropriate discipline, up to and including termination.

11. Policy Adoption and Interpretation

Questions regarding the application and interpretation of this policy should be directed to the Human Resources Department.

RELEASE OF MEDICATION INFORMATION

Employee Name: _____

Dept. _____

Date _____

Per the Drug and Alcohol Testing Policy and the Drug Free Workplace Policy, I am providing information related to a medical condition where I am required to take the following medications:

Medication Name (optional): _____

Warning label information: _____

End date for taking this medication: _____

Is medication taken “regularly” or “as needed”? _____

UPON COMPLETION OF THIS FORM – FORWARD TO HUMAN
RESOURCES FOR MEDICAL FILES.

City of Sun Prairie Policy/Procedure

Title: Employee Assistance Program	
Policy Source: Human Resources Department	Creation Date: January 1, 2004
Application: Regular full-time & part-time employees	Revision Date: January 1, 2004, October 21, 2016
Indexed as: EAP, Counseling, Referrals	Total Pages: 3

1. General Policy

The overall objective of an Employee Assistance Program (EAP) is to reduce problems in the workforce and to retain valued employees. We recognize that problems of a personal nature can have an adverse effect on an employee's job performance. It is also recognized that most personal problems can be dealt with successfully when identified early and referred to appropriate care. The program is designed to assist employees in maintaining healthy levels of emotional and physical well-being, and to limit the effect of personal problems on job performance. The EAP is designed to provide short-term counseling and referral services to employees, their spouses and dependent children who may be experiencing physical, emotional, financial, drug, alcohol, marital, legal or family problems.

2. Eligibility

Employee is defined for purposes of the Employee Assistance Program as all regular part-time and full-time employees, alderpersons, and mayor. Because of the temporary nature of employment, seasonal and temporary employees are excluded from the program.

Family members eligible to utilize EAP services separately will include: spouses and minor (and/or dependent) children of the employee or spouse. It is the employee's choice whether to have another person, relative or not, attend any of their sessions with them each year.

Example: If an adult child is having concerns about their marriage, the employee may use their counseling sessions by having the child/family member attend with them.

3. Service Provider

The EAP provides confidential assessment, short-term counseling, and referral services at no cost to employees and immediate family members through a contracted provider staffed by experienced mental health and social service professionals. The agency will be a professionally certified facility with licensed counselors to provide family counseling and mental health services.

Use of the Employee Assistance Program is voluntary and occurs off-site. The intent is to ensure that employees have access to assistance when they need it, and hopefully prior to problems appearing in the workplace. However, when problems do appear at work, the EAP helps supervisors, managers, and employees engage constructively to support employees as they address problems, seek and receive counseling or treatment, and return to work.

4. Procedures to Use Services

The Human Resources Department is responsible for the administration of the program and staff training. All supervisors are trained in the Employee Assistance Program and are expected to make recommendations regarding effective referral options.

4.1 Cost of Program. All employees of the City of Sun Prairie and their immediate family members are eligible for confidential, short-term counseling sessions. The City of Sun Prairie incurs the cost of the EAP benefit, separate from health care coverage. Any ongoing counseling or other services pursued by the employee outside of the EAP will be their responsibility. Individuals should consult their health insurance coverage for counseling beyond short-term needs.

The City encourages the utilization of the EAP program through informal or self-referral by employees or their family members. Employees will receive contact information and an informative brochure about the EAP program upon hire and periodically throughout the City's contract with the provider. Employees and family members are encouraged to contact Human Resources if they do not have this information to confidentially obtain the telephone number of the provider. An employee's job security or future career advancement will not be jeopardized as a result of their participation in the Employee Assistance Program.

4.2 Scheduling Appointments. Appointments with an EAP Counselor can be made by contacting the provider directly. A clinician will be available 24 hours, 7 days a week. Employees are encouraged to schedule appointments outside of work hours to minimize work interruption and guarantee confidentiality. When this cannot be accomplished, employees will be allowed to use their accumulated leave when appropriate.

4.3 Confidential Process. The EAP is a confidential service. No information about the client will be shared with the City without a signed consent form. However, Federal and/or State regulations do not protect participants from disclosure of information related to suspected child abuse and neglect, a situation deemed potentially life threatening, or commission of a crime against property or personnel.

4.4 Work Performance Referral Process. When an employee is experiencing work performance problems, the supervisor, following established procedures, should work with the employee in an effort to re-establish acceptable levels of performance.

If it appears that the sub-standard performance is or may be due to problems or impairment, the supervisor may formally refer the employee to EAP as part of a performance improvement plan. The referral to EAP in no way lessens the expectation that work performance be improved and will not be used in lieu of appropriate disciplinary procedures.

A formal referral may be initiated as an alternative to discipline or as part of a last chance agreement where the employee is agreeing to assessment, referral and subsequent treatment as a method to retain their job with the City. Formal referrals and last chance agreements must be coordinated through Human Resources.

4.5 Expectation of Neutrality. It is appropriate and encouraged for a supervisor to consult with an EAP counselor regarding employee concerns. However, the EAP counselor must maintain employee confidentiality and will maintain a position of neutrality regarding workplace conflict.

5. Other Services

The EAP provider, in addition to counseling, assessment and referral services offers the following services:

1. Financial Counseling including debt management assistance, house purchasing/homeowners education, and access to an online Financial Resource Center.
2. Legal Services, including free consultation with a local Attorney, discounted legal services rate, and an online Legal Resource Center and Legal Document Libraries.
3. On-site employee training (i.e. harassment, workplace violence, substance abuse).
4. Webinars and education on the EAP website and written materials on a range of issues.

6. Requests for Medical Leave

If requested, medical leave may be granted for treatment on the same basis as it is granted for other health utilization. This policy does not alter or replace existing personnel policies, but serves to encourage participation in counseling services.

7. Policy Interpretation

Questions regarding the application and interpretation of this policy should be directed to the Human Resources department.

City of Sun Prairie Policy/Procedure

Title: Employee Grievance Procedure	
Policy Source: City Administrator's Office	Creation Date: September 20, 2011
Application: Regular PT/FT Employees not covered by a grievance procedure in a collective bargaining unit contract	Revision Date: October 20, 2016, August 13, 2021
Indexed as: Grievance, Appeal	Total Pages: 4

1. General Policy

City of Sun Prairie employees may avail themselves to the following employee grievance procedure for issues concerning discipline, termination, and workplace safety (as defined below). However, an employee subject to a contractual grievance procedure or statutory dispute resolution procedure shall follow those procedures when applicable.

The City expects an employee and management to exercise reasonable efforts to resolve any questions, problems, or misunderstandings prior to utilizing this grievance procedure.

The City of Sun Prairie reserves all rights and this grievance procedure does not create a legally binding employment contract.

In the case of the Sun Prairie Utilities, where there is reference to the City Administrator and City Council in the appeal process, refer to the Utility Manager and Utilities Commission respectively.

In the case of the Sun Prairie Public Library, where there is reference to the City Council in the appeal process, refer to the Library Board.

2. Definitions

For purposes of this policy, the following definitions apply:

“Employee” shall not include employees subject to a collective bargaining or individual employment agreement addressing employee discipline, termination and workplace safety; temporary or seasonal employees with a limited term employment, statutorily appointed individuals identified specifically in statute as serving at the pleasure of an appointing authority, elected officials, those employees or officials whose employment status is regulated by the charter ordinance and independent contracts.

“Employee discipline” means an employment action that results in disciplinary suspension, with or without pay, disciplinary reduction in pay or other benefits, or disciplinary demotion. “Employee discipline” does not include oral reprimands or warnings, written reprimands or warnings, performance improvement plans, performance evaluations or reviews, documentation of employee acts or omissions, administrative leave, non-disciplinary wage, benefit or salary adjustments, changes in assignments, action taken pursuant to an ordinance created under s. 19.59(1m), or other non-material employment action.

“Termination” means a separation from employment by the employer for disciplinary, quality of performance, or other acts of misconduct reasons. “Termination” does not include layoff, furlough or reduction in workforce, job transfer, non-disciplinary demotion, reduction or position elimination,

resignation, abandonment, retirement, nonrenewal of contract, death, separation as a result of disability, action taken pursuant to an ordinance created under s. 19.59(1m), or the end or completion of temporary employment, seasonal employment, contract employment, or assignment.

“Workplace safety” shall be narrowly construed and not include basic conditions of employment unrelated to physical health and safety. “Workplace safety” means the conditions of employment related to physical health and safety of employees, as long as such conditions are enforceable under federal or state law, and includes safety of the physical work environment, the safe operation of workplace equipment and tools, provision of protective equipment, training and warning requirements, workplace violence and accident risk. “Workplace safety” does not include conditions of employment unrelated to physical health and safety matters, including, but not limited to hours, overtime, sick, family or medical leave, work schedules, breaks, termination, vacation, performance reviews, and compensation.

3. Timelines and Grievance Format

Step 1: The initial step of the appeal process will be made to the Department Manager. The employee must put their grievance in writing to the Department Manager within fifteen (15) calendar days from the date the termination, employee discipline, or actual or reasonable knowledge of the workplace safety issue. The grievance shall contain a clear and concise statement of the pertinent facts, the dates the incidents occurred, the identities of the persons involved, documentation related to the Grievance in possession of the Grievant, the steps taken to informally resolve the dispute and the results of those discussions, all reasons why the actions of the supervisor should be overturned, if applicable, and the remedy that should be issued. A Grievance alleging workplace safety issues shall also identify the workplace rules allegedly violated, if applicable.

In cases where the grievant is a Department Manager the requirements listed above apply; however, the initial step shall begin with the City Administrator and proceed according to the remaining steps identified in this policy.

The Department Manager shall meet with the Grievant within fifteen (15) calendar days of the receipt of the written Grievance to discuss voluntary resolution of the Grievance. If those discussions do not resolve the Grievance, then the Manager will provide a written response to the Grievance within five (5) calendar days of the meeting whether to sustain or deny the Grievance.

Grievance meetings will normally be held during working hours, therefore an employee will not be reimbursed for time spent processing grievances outside regular hours of employment. In addition, an employee will not be compensated for any expenses incurred in processing a grievance.

Step 2: If the issue is not resolved, the grievant may appeal to the City Administrator within five (5) calendar days from the date he/she receives the Department Manager’s decision or the date such response was due. The appeal shall be in writing and include the initial grievance and the Department Manager’s decision. The City Administrator shall meet with the Grievant and Department Manager within fifteen (15) calendar days of the receipt of the written Grievance appeal. The City Administrator will provide a written response to the Grievance within fifteen (15) calendar days of the meeting. The written response shall contain a summary of the issues presented and the decision to sustain or deny the Grievance.

Step 3: The decision of the City Administrator shall be final unless the Grievant files a written appeal requesting a hearing before an Impartial Hearing Officer. The written appeal shall be filed with the City Administrator within five (5) calendar days of the receipt of the City Administrator’s response and include copies of the initial grievance and the Department Manager’s and City Administrator’s decisions.

Selection of the Impartial Hearing Officer. Following receipt of the appeal requesting a hearing before an Impartial Hearing Officer, the City shall select an Impartial Hearing Officer who shall not be a City employee or have any involvement in the issues relevant to the grievance.

Failure to process a grievance by the grievant within the time limit, or agreed upon extensions, shall constitute termination of the grievance. Failure of a management representative to meet the time limits shall cause the grievance to be denied. Time limits may be extended by agreement in writing of the parties at any step of the procedure.

4. Hearing Procedures

Pre-Hearing Conference and Timelines. The Administration, Grievant and Impartial Hearing Officer shall conduct a pre-hearing conference and select a date for hearing not more than forty-five (45) calendar days from the date of the appeal. The Impartial Hearing Officer shall assign dates for preliminary matters that may arise prior to the hearing. Not less than ten (10) days prior to the hearing, the Grievant and the Administration shall exchange lists of witnesses and documentary evidence that they intend to introduce at the proceedings.

Conciliation. Prior to the Hearing, the parties and the Impartial Hearing Officer may engage in conciliation meetings to resolve the dispute. In cases involving allegations of workplace safety, the conciliation meeting shall be mandatory and shall occur not more than ten (10) calendar days after assignment to the Impartial Hearing Officer. The Impartial Hearing Officer's involvement in any conciliation process shall not disqualify the Impartial Hearing Officer from hearing the merits of any Grievance unless all parties agree to replace the Impartial Hearing Officer.

Representation. The Grievant shall have the right to representation during the Grievance Procedure at the Grievant's expense. The representative shall not be a material witness to the dispute.

Record of Proceedings. The Impartial Hearing Officer shall conduct the proceedings and make a record of the proceedings. Following the issuance of the decision, the Hearing Officer shall make copies available to the City Administration and Grievant. Following the issuance of the decision, the record shall be provided to the City Clerk for preservation for a period of at least seven (7) years. The record shall consist of the Grievance, the City's written responses, a recording (written or audio) of any testimony or statements from the parties and witnesses, and any documents received into the record by the Impartial Hearing Examiner

Cost of the Proceedings. The City shall be responsible for the cost of the Impartial Hearing Officer and proceedings. The Impartial Hearing Officer does not have the authority to accrue expenses on behalf of the City or Grievant. The City is not responsible for any costs incurred by the Grievant for representation or consultation and production of evidence at the Impartial Hearing (including fees to compel witnesses and photocopying expenses).

Nature of the Hearing The Impartial Hearing Examiner will determine the scope of the hearing based upon the nature of the Grievance so as to provide the Grievant with an appropriate level of process. Thus:

- a. The hearing may consist of testimony (not under oath) from witnesses with the opportunity for questioning by all parties and the Impartial Hearing Examiner, informal presentation by the City and the Grievant, or submission on paper

record. The Impartial Hearing Examiner shall advise the parties of the manner in which the hearing will be held within seven (7) calendar days of appointment;

- b. The Grievant shall have the burden of proof on all issues;
- c. The hearing shall not be subject to the rules of evidence; however, depending on the nature of the hearing, a material fact may not be supported solely by hearsay evidence;
- d. The parties are not entitled to discovery; and,
- e. The Impartial Hearing Examiner may compel witnesses as permitted under §788.06(2), Stats.

Response of the Impartial Hearing Officer.

Written Decision. After receiving the evidence and closing the hearing, the Impartial Hearing Officer shall issue a written decision within ten (10) calendar days. The Impartial Hearing Officer may request oral or written arguments and replies. The decision shall contain findings of fact, analysis and a recommendation. The Impartial Hearing Office shall uphold the City Administrator's Decision unless the Grievant has proven by a preponderance of evidence that the City Administrator's Decision was arbitrary or capricious, which means an action which is so unreasonable as to be without rational basis.

Powers of the Hearing Officer. The Impartial Hearing Officer shall have the power to sustain or deny the Grievance as well as the power to dismiss the grievance on procedural grounds. The Impartial Hearing Officer shall have the power to order a reasonable remedy, which may only include reduction or withdrawal of the discipline, reinstatement to original position from demoted position, reinstatement to employment status with or without some or all back pay.

5. Appeal to Governmental Body

Within ten (10) calendar days of receiving the Impartial Hearing Officer's decision, either party may appeal the decision in writing to the City Council. The Notice of Appeal shall be in writing and contain a statement explaining the reasons for the appeal and a copy of the Grievance, the City's responses to the Grievance, the record of the hearing as defined above, and the Impartial Hearing Officer's Written Decision. The Notice of Appeal may not include information that was not presented at the hearing. The request shall be filed with the City Administrator and delivered to the other party.

The City Council shall review the record and may request written and/or oral arguments at its discretion, which shall not include any facts not included in the record. The City Council shall not conduct a de novo hearing.

Any review by the City Council shall be subject to Wisconsin's Open Meetings Law, in particular its review and deliberation shall be in closed session pursuant to Wis. Stat. § 19.85(1)(a). The City Council vote on the grievance shall be in open session if requested by the Grievant pursuant to Wis. Stat. § 19.85(1)(b).

The Impartial Hearing Officer's decision may be reversed or modified if the decision was:

- 1. In excess of the City's statutory authority or jurisdiction;

2. Based upon improper application or interpretation of City policies or handbook provisions;
3. Unsupported by relevant evidence to support the conclusion or is otherwise erroneous;
4. Arbitrary and capricious;
5. The result of an inappropriate application of the standard of review by the Impartial Hearing Officer; or,
6. In contravention of public policy considerations.

In the event the City Council sustains the Grievance, the City Council shall determine an appropriate remedy for the Grievant.

In the event the City Council does not sustain the Impartial Hearing Officer's decision, the City Council may render a new decision and remedy, or request the Impartial Hearing Officer to take further evidence and issue a revised decision and recommendation.

All decisions of the governing body involving the Grievance shall be by simple majority vote of the membership present. The City Council's decision is final and is not subject to appeal. The decision shall be in writing and contain findings of fact, analysis and conclusion. A copy of the final decision shall be delivered to the Grievant and the Administration, and filed with the City Clerk within thirty (30) calendar days of the City Council's decision.

6. Policy Interpretation and Adoption

This policy was created on September 20, 2011 and adopted by the City Council. This policy was revised on August 13, 2021 and adopted by the City Council. Questions regarding the application and interpretation of this policy should be directed to the Human Resources Department.

City of Sun Prairie Policy/Procedure

Title: Employee Milestone and Recognition Program	
Policy Source: City Administrator's Office	Creation Date: February 18, 1986
Application: All Employees	Revision Date: March 22, 1999, November 16, 2004, December 11, 2007, January 1, 2015, May 22, 2024
Indexed as: Service Awards, Recognition	Total Pages: 2

1. General Policy

The City of Sun Prairie strongly believes in the importance of giving meaningful employee recognition and fostering a culture of employee satisfaction and engagement. The overall City strategy to make recognition a part of the organization is to keep it at the forefront and embed recognition within the organization by providing organization -wide formal recognition; department specific informal recognition; and everyday spontaneous recognition.

2. Organization-wide Formal Recognition**2.1 Annual Milestone Awards - Employees**

To recognize employees for their years of hard work and dedication to the City of Sun Prairie, the City Council has set up gifts of incremental value at the following levels: 5, 10, 15, 20, 25, 30, 35, and 40 years of service. The cost of such gifts will be budgeted each year in the Mayor's proposed budget and shall not exceed \$500 to any single recipient. The Human Resources Department will administer the program.

Seasonal and Limited-Term employees will also be recognized at a Council meeting and receive a certificate for their years of service upon completion of 20 years and every 5 years thereafter. Seasonal and Limited-Term employee who leave employment after 15 years of service will also be recognized in this same manner.

2.2 Recognition - Volunteers

Departments which utilize volunteers also recognize their efforts and continued service. Each department will budget for and administer their own specific program which may consist of awards/certificates and organized events/celebrations.

2.3 Employee Retirement

Retiring employees who have completed a minimum of fifteen (15) years of continuous full time service, shall receive a retirement award in recognition of their length of faithful, productive service. Such ceremonies will be conducted by the Mayor and the City Council.

2.4 Annual Recognition of "Living out our Organizational Values"

Throughout the year, staff are invited to nominate others for demonstrating our organizational values (below). These submissions will be reviewed by the Employee Experience Committee and finalists will be recommended for the annual recognition event. The city is committed to celebrating the stories of how our staff live out our Organizational Values.

SUN PRAIRIE'S VALUES

SHOW UP/STEP UP - Immerse yourself in the city, and be all in for our community, excited to serve. Take pride and make an impact.

FIND A WAY - Bring energy and curiosity. Demonstrate commitment as you embrace change. Nothing is impossible - run with it.

COLLABORATIVE HEART - Love the team environment you create. Listen, Lead, and nurture connection. Back each other up and address challenges as a team.

GUIDE AND GROW - Be an expert and a coach. Let competence inspire confidence. Grow as an individual alongside the city.

SHINE - Be true to yourself. Show respect and compassion for all. Speak and act authentically, and laugh often.

Unless specifically excluded, all applicable taxes for compensation and the fair market value of fringe benefits will be withheld in accordance with IRS regulations.

3. Departmental Specific Informal Recognition Programs

Each department is encouraged to recognize exceptional employee performance. Recognition programs must be measurable and successful for continued funding. They should focus on improving morale, belonging, commitment, satisfaction and retention by using face-to-face, written and electronic forms of communication. New or expanded program requests will be submitted through the annual budgetary process.

4. Everyday Spontaneous Recognition

Everyday recognition acknowledges everyday contributions on the job and acts as reinforcement of the importance of formal recognition programs. Everyday recognition validates the attitude of caring and appreciation and gives support, credibility and meaning to a majority of employees. Discretionary funds for spontaneous recognition giving are limited but available with the City Administrator's approval.

Supervisors are expected to provide on-going communication with employees on job performance and communicate appreciation for hard work, commitment and exceptional accomplishments.

5. Policy Interpretation

Questions regarding the application and interpretation of this policy should be directed to the City Administrator's Office or Human Resources Department.

City of Sun Prairie Policy/Procedure

Title: Employer - Employee Relations	
Policy Source: City Administrator's Office	Creation Date: February 18, 1986
Application: All Employees	Revision Date: February 16, 2002, September 20, 2011, August 8, 2017
Indexed as: Expectations, Evaluations, Supervisory Responsibilities, Labor Relations	Total Pages: 3

1. General Policy

The City is a service organization with one of its most important resources being the employees who directly provide the services to the community. Therefore, the City's employees are of utmost importance and concern to the governing body as well as to the City Administrator/Utility Manager and all managerial/supervisory personnel employed by the City. The City's policy on employee relations shall be based on fairness and internal consistency among all employees. The City's policy shall be to deliver services to the community members at the highest rate of efficiency and at the lowest possible cost while insuring that the City's workforce is treated in a fair and equitable manner.

2. The Role of the Supervisor

A supervisor shall be defined as a manager to whom authority has been given to direct and control the work of others, and who is responsible for other employee's work output. Each supervisor has the responsibility to recommend promotion, transfer, demotion, discipline or dismissal of any employee he/she supervises. Every supervisor is considered part of the City's management team and therefore is directly responsible and obligated to carry out the policies and administrative procedures of the City.

2.1 Responsibilities of the Supervisor

A supervisor is essential to the management of municipal affairs. He/she is responsible for carrying out the Policies of the City; for applying the Personnel Policies; for directing, controlling, training and developing his/her subordinates; for conserving public funds, and for delivering public services in the City in an efficient, responsive and ethical manner. He/she is directly responsible for his/her subordinates. It is necessary to delegate responsibility to supervisors along with the authority to carry out these policies to assure achievement of the overall goals of this organization in the best interests of the community members and City employees. Every supervisor is expected to motivate and develop his/her subordinates in such a manner that they accomplish in their work the maximum productivity, usefulness and greatest personal satisfaction.

2.2 Supervisor's Responsibility to Administration and governing Boards/Commissions

As an integral part of the management team, the supervisor's responsibilities shall include the following:

- A. All supervisors are required to read and understand city policies in their entirety. Supervisors shall be acquainted with all of the policies and procedures of the City.
- B. It shall be considered the Supervisor's responsibility to enforce and carry out all of the City's policies and procedures in a fair and equitable manner, thereby reinforcing the City's basic employer-employee relations philosophy.
- C. Supervisors shall make all decisions based on objectivity and sound judgment.

- D. It is the responsibility of the supervisor to settle grievances at their earliest stages. If there seems to be some job-related problem existing within the department, the supervisor should pay special attention to resolving the problem. Supervisors must listen to the grievance, show the employee that their coming forth is recognized and then negotiate a workable solution. If the nature of the problem cannot be resolved immediately, then check with the Human Resources Department for any written policy or procedure that pertains. If this should not settle the question-at-hand, then the supervisor should counsel with his/her immediate supervisor.
- E. Supervisory personnel shall maintain the strictest confidence on any personnel related matter which is considered private and not available for public disclosure.
- F. Employee performance appraisal is a supervisory responsibility. For the individual employee, job performance appraisals provide the basis for sound coaching and counseling on how and where to improve job performance. Every incumbent is encouraged to determine the criteria by which their performance achievement is to be measured, to establish special objectives for themselves, and to identify their individual developmental needs.
- G. Supervisors should notify the appropriate personnel of any payroll or personnel change at the earliest possible time. This information is to be provided in writing and forwarded for processing. Such action is necessary in case of sickness, Family Medical Leave, promotion, transfer, demotion, termination, suspension, etc.

2.3 Supervisor's Responsibilities to Their Subordinates

The City's supervisory employees should be effective leaders who set a good example for others to follow. City supervisors shall be concerned with the safety, welfare and overall productivity of their employees. All City supervisory personnel shall be responsible to the employees they supervise as follows:

- Value all employees and treat them with dignity and respect.
- Accurately present employee concerns to upper management.
- Interpret and explain City policies.
- Be a positive example to all employees.
- Acknowledge good employee performance.
- Let each employee have opportunity to develop and improve their skills within available educational guidelines.
- Always evaluate the employee carefully and objectively. Judge them honestly. Never permit individual personalities or prejudices to sway an objective opinion of any employee.
- Be considerate, firm and fair with individual dealings with your employees.
- Make assignments according to his/her present skill level or ability to improve skill level.
- Assume responsibility for actions taken and jobs performed by your employees.
- Take time to give proper and adequate instruction to new employees. Make them feel comfortable through proper orientation. Train employees according to the City Risk Management policies and procedures.
- Supervisors shall encourage their employees to pursue continuing education and professional development. The cost of these may be paid or supplemented by the City, pending the availability of adequate financial resources. Employees shall be qualified for the positions they hold and shall be urged to acquaint themselves with the responsibilities of their supervisor. Training will be available to enable higher efficiencies in the performance of any job duty.

3. Employee Responsibilities/Work Rules

The activities of the various City Departments and Divisions contribute toward the accomplishment of City goals and the fulfillment of the City's mission statement. This requires teamwork, productivity and a harmonious workplace and the following general principles of behavior will guide the workplace conduct.

It is an expectation that all employees will:

- Listen to others; treat others with dignity; treat information as responsibility, not power; keep each other informed; ask questions and discuss issues openly; respect confidential information; and communicate in a way which ensures mutual understanding.
- Be a diligent performer; give direct feedback; work as a team; value the safety of our coworkers and citizens; aim to provide the highest quality of service to our customers and fellow employees; be open to change; and contribute to each other's success.
- Hold the public trust in highest regard; follow policies and procedures; take the time to do things right the first time; encourage individual accountability and decision making; and behave in ways which support our values.

In addition to these general values, each work group will have its own set of work rules to guide employee conduct in each department.

4. Labor/Management Communications

The key to workplace success is good communications. As City employees, we will strive to listen to others; treat others with dignity; keep each other informed; ask questions and allow open discussion; respect confidential information; and communicate in a way which ensures mutual understanding.

4.1 Employee Performance Evaluations

The purpose of the Employee Performance Review Process is to provide status reports to employees on their work progress. Supervisors and employees will meet annually to plan, review and evaluate work performance. Our system is designed to enhance communications, promote better job understanding and establish a regular feedback system between supervisors and employees on job performance.

4.2 Problem Resolution Procedures

The procedure is designed to provide employees with an ability to have a response to their question, concern and/or problem. If an employee has reason to seek information or to resolve a problem pertaining to his/her employment with the City, he/she should follow the proper chain of command and informally discuss the question/problem with his/her immediate supervisor. The supervisor shall listen to the employee question/problem and provide a response within a reasonable time.

Employees, supervisors and Department Heads are reminded that the above Communication Procedure is designed to insure that every employee has the ability to receive prompt information and/or a response to any problem provided the question or problem is relevant to his/her employment with the City.

5. Information Dissemination and Posting

Each department will provide the proper dissemination and posting of information. Bulletin boards and electronic communication (email, Intranet, etc.) are tools which shall be used to keep all employees advised about useful information pertaining to various aspects of employment. Only approved items shall be posted on city-owned media. Employees may request permission to post non-work related information. Requests should be made to the department manager. If the material is determined to be germane to employment with the employee population, the department manager may authorize the posting of the material.

6. Policy Interpretation and Problem Resolution

Questions regarding the application and interpretation of this policy should be directed to the Human Resources Department. Additional appeal procedures may be available under the appropriate bargaining unit contract or City Grievance Procedure.

City of Sun Prairie Policy/Procedure

Title: Equal Employment Opportunity Plan	
Policy Source: Human Resources Department	Creation Date: February 1, 2001
Application: All employees, Service Recipients	Revision Date: January 10, 2017
Indexed as: Equal Opportunity, Discrimination	Total Pages: 3

1. General Policy

The City of Sun Prairie is in compliance with the Civil Rights Policy and all applicable State and Federal statutes relating to nondiscrimination in employment. The City of Sun Prairie affords equal opportunity in employment, compensation and other benefits related to employment regardless of age; ancestry; arrest & conviction record; color; creed; disability; genetic testing; honesty testing; marital status; military service; national origin; pregnancy or childbirth; race; religion; sex; gender; sexual orientation; and use or nonuse of lawful products off the employer's premises during nonworking hours. All employees are expected to support our goals and programmatic activities relating to nondiscrimination.

2. Identification of Program Responsibilities

The City of Sun Prairie Human Resources Director has overall responsibility for implementation of the Equal Employment Opportunity Program.

2.1 EEO Coordinator's Responsibilities

1. Preparation and presentation of the Equal Employment Program;
2. Developing policy statements and recommending policies and programs to execute the program;
3. Dissemination of equal opportunity information to agency staff, grantees/vendors, beneficiaries and interested parties;
4. Resolving complaints of discrimination;
5. Identifying problems and assisting management in problem resolution;
6. Implementing all audit and reporting systems designed to measure the effectiveness of the program and reviewing program results with management (i.e., work force analysis);
7. Serving as liaison between the organization and compliance agencies and other relevant community organization as necessary;
8. Keeping management informed of the latest developments in equal employment opportunity;
9. Ensuring that all technical phases of compliance are met.

2.2 Management Responsibilities

The responsibilities of management include assisting in the development and implementation of the Equal Employment Opportunity Program in order to meet the program's goals and objectives. Managers are responsible for ensuring that all selection decisions and the application of personnel policies and practices are consistent with the equal employment opportunity policy.

Supervisors understand that they are to implement the objectives of the Equal Employment Opportunity Program and prohibit the harassment of any employee placed through affirmative action efforts.

- The Human Resources Department will work closely with recruiting contacts which include

minority organizations to identify and secure a representative mix of applicants for all positions. Assistance will also be sought from organizations which serve persons with disabilities.

- Further, the Human Resources Department will maintain all relevant personnel data necessary to monitor the Equal Employment Opportunity Program including but not limited to applicant flow (external and internal), offers, hires, promotions, transfers, demotions, training program participation, terminations, layoffs and recalls.
- The Human Resources Department will review all existing job descriptions and specifications for job-relatedness and consistency with the applicable EEO regulations.

3. Dissemination of the Equal Employment Opportunity Plan

The City of Sun Prairie disseminates its Equal Employment Opportunity Policy by the following means:

3.1 Internal Dissemination

1. The policy is included in our operating policy manual and permanently posted on major bulletin boards where it may be viewed by both employees and applicants.
2. Periodically, the policy is reviewed with executive, managerial and supervisory personnel along with instruction on the laws and regulations concerning equal employment opportunity.
3. New employees are informed of the policy as part of our orientation program.
4. The "Equal Opportunity is the Law" posters are permanently and prominently displayed.
5. The Wisconsin Fair Employment Act poster is permanently and prominently displayed.

3.2 External

1. Other potential recruiting sources such as minority organizations, community agencies, community leaders, secondary schools and colleges are, or will be, notified in writing of our policy when these are used.
2. Prospective employees are made aware of the existence of our Equal Employment Opportunity Program and Policy on visual displays located throughout city facilities.
3. All employment advertising contains the phrase "EOE," which means that the City of Sun Prairie is an Equal Opportunity Employer.

4. Workforce Analysis and Utilization

The City of Sun Prairie will regularly conduct a Workforce Analysis of all part-time and seasonal employees according to directions outlined in this Civil Rights Seven-Step Guide. Census data will be used to determine Community Labor Statistics for Dane County.

A Utilization Analysis will identify areas where the City of Sun Prairie can improve its Equal Employment Opportunity efforts. Job categories with the underutilization of women and minorities will be reviewed closely and additional recruitment efforts will be made where possible.

5. Equal Employment Opportunity Policies

All Personnel Policies will include Equal Opportunity statements and auditing/reporting structures.

Recruitment – The City of Sun Prairie will hire the best-qualified candidate for the position and will continue to expand our recruitment sources. The Human Resources Department has identified additional professional recruitment contacts as well as several minority media contacts and organizations. It is our goal to continue to review this area to ensure an equal opportunity for all applicants.

Applications – The City continues to track the source of applications as well as the ethnic breakdown of applicants. We have created an optional tear-sheet that is collected at the point of application. This optional form identifies each applicant's race and ethnic background. The form is not part of the application and is used for research and reporting purposes only. The form is removed prior to supervisory review. Additionally, the City receives unsolicited applications on an ongoing basis and retains them in an active file for twelve months.

Testing – All pre-employment testing procedures have been reviewed. Each position has been inventoried for specific competencies through a job analysis and procedures have been put into place to ensure equal administration of these tests.

According to City policies - Any tests to be required of applicants must be job related and must be approved in advance by the Human Resources Department. Federal Uniform Guidelines on Employee Selection, The Americans with Disabilities Act, the Civil Rights Act of 1991 and other applicable State and Federal laws which may impact a testing process must be strictly observed. Ordinarily, tests will be administered by the Human Resources Department to avoid claims of bias in test administration and results are forwarded to the supervisor(s).

Terminations/Disciplinary Actions – The Human Resources Department has become a resource for Departments when faced with disciplinary actions. A comprehensive review is made of each situation with consideration of all pertinent employment laws.

Promotions/Training – An annual training plan is created by the Human Resources Department to continually strive to improve promotional opportunities within our organization and ensure equal opportunity for all.

6. Policy Adoption and Interpretation

Questions regarding the application and interpretation of this policy should be directed to the Human Resources Department.

City of Sun Prairie Policy/Procedure

Title: Family Medical Leave	
Policy Source: Human Resources	Creation Date: January, 1994
Application: All Employees	Revision Date: December 3, 2002, February 7, 2008, February 2, 2009, August 30, 2009, January 1, 2012, August 8, 2017
Indexed as: FMLA, Leave	Total Pages: 11

1. General Purpose and Policy

It is the policy of the City of Sun Prairie to comply with all applicable State and Federal laws concerning family or medical leave. These laws are referred to as the Family and Medical Leave Acts (FMLA). This City policy attempts to combine the State and Federal laws as much as possible while still recognizing the differences between the two. When both laws apply, the employee is entitled to whichever leave is more generous. Leave that qualifies under both laws will run concurrently. Any FMLA leave that overlaps with leave available under a collective bargaining agreement or a personnel policy will also run concurrently.

Employees covered include persons employed a minimum of 12 months and who have worked at least 1,250 hours (1,000 hours during 52 weeks for Wisconsin Law). A returning service member would be entitled to leave if the hours he/she would have worked for the City during the period of active military service would have met the eligibility threshold.

Eligible employees will be allowed up to twelve (12) work weeks of leave each year as a result of a birth or placement of a child for adoption or foster care, or when a serious health condition is suffered by a child, spouse, domestic partner, or parent. The 12-month period of the City of Sun Prairie for FMLA is the calendar year. Any portion of this period may be unpaid leave as described below.

The taking of leave under this policy will not be used against an employee in any employment decision, including in the determination of raises or discipline. However, an employee taking family and/or medical leave must give the City reasonable advance notice of such leave and must schedule the leave so that it does not unduly disrupt the City's operation.

2. Amount of Leave Available and Substitution

Under the Federal Family and Medical Leave Act, the employee has a right to take leave for up to 12 work weeks of leave during a calendar year for the following. (Spouses employed by the same employer are jointly entitled to a combined total of 12 work-weeks of family leave for the birth and care of the newborn child, for placement of a child for adoption or foster care, and to care for a parent who has a serious health condition.)

1. Birth or Placement for Adoption or Foster Care of a Son or Daughter.

Under the State FMLA, an employee is allowed 6 weeks of leave for the birth or adoption of a child. The City reserves the right to require certification for the birth or adoption.

2. Serious Health condition of a Son or Daughter, Parent or Spouse.

Under the State FMLA, the employee is allowed 2 weeks to care for a sick family member with a serious health condition, including the child, spouse, domestic partner, or parent.

Medical leave may be taken all at once or in smaller increments as medically necessary. The employee must provide the City with a Family and Medical leave Certification Form signed by a Health Care Provider which states that the individual has a serious health condition and that the employee is needed to care for the person.

3. Serious Health Condition of Employee.

Under the State FMLA, employees are allowed 2 weeks for their own medical leave for a serious health condition.

Medical leave may be taken all at once or in smaller increments as medically necessary. The employee must provide the City with a Family and Medical Leave Certification Form signed by a Health Care Provider, which states that the employee has a serious health condition.

4. Because of any qualifying exigency arising out of the fact that the spouse, son, daughter, or parent of the employee on active duty (or has been notified of an impending call or order to active duty) in the Armed Forces in support of a contingency operation.

Under the Federal Family and Medical Leave Act, employees may be allowed a total of 26 work-weeks of family leave to care for their spouse, son, daughter, parent or next of kin who is a military service member and has incurred an injury or illness in the line of active duty in the Armed Forces that renders them medically unfit to perform the duties of their office, grade, rank, or rating.

3. Intermittent Leave

The City reserves the right to transfer the employee temporarily to a position with equivalent pay and benefits if the new position better accommodates the recurring leave.

4. Substitution of Accrued Paid Leave

Under State law, the employee may substitute accrued paid leave for the absence or use unpaid time. Accrued paid leave available includes vacation, personal holidays, compensatory time, and accrued sick leave from a sick leave bank. The employee may combine all of these leaves to reach "full pay" if allowed by law. Under city policy, sick leave may be substituted for FMLA-qualifying absences. In addition, the City of Sun Prairie allows for substitution of unpaid leave for the duration of the qualifying leave.

Additional unpaid leaves of absence beyond FMLA may be granted according to the relevant Union agreement or Personnel Manual. The employee may apply through his/her Department Head for a leave of absence. The City reserves the right to request a doctor's certificate prior to granting the leave.

5. Notification of Need for Family or Medical Leave

In the event an employee needs to take family or medical leave, the City must be notified, in writing, at least thirty (30) days before the date on which the leave is to begin. If foreseeable, the employee must make a reasonable effort not to unduly disrupt the operations of the employer. In an emergency, the notice must be given as soon as practicable.

Request forms and Health Care Provider Certification forms are available from the Human Resources Department. Upon receipt of the required forms, the Human Resources Department will respond to the employee as to whether leave is eligible and approved as requested.

The City reserves the right to require a second medical opinion, or if the first two opinions differ, a third opinion, at City expense from a Health Care Provider or Providers of its choice.

The City requires certification related to "active duty" or "call to duty" be submitted in a timely manner.

6. Health Insurance

The employee's group health/dental insurance will be maintained during the period of a leave required by the Wisconsin and Federal Family and Medical Leave Acts and according to applicable terms of the Health Plan Document.

Employees who normally pay a portion of the premiums for health/dental insurance and/or additional amounts for life and disability insurance will continue during the period of FMLA leave. Those employees on unpaid leave must submit payment by the fifteenth (15) of the previous month. A 30-day grace period is allowed; however, if payment has not been made timely, group health/dental insurance may be cancelled, provided the City notifies the employee in writing at least 14 days before the date that the health/dental coverage will lapse; or at the City's option, the City may pay the employee's share of the premiums during FMLA leave, and recover the payments upon their return to work.

7. Return to Work at the End of Leave

Upon return to employment from family and/or medical leave, the employee will be returned to his/her former position or placed in an equivalent position if the position has been filled. If an employee wants to return to work before his/her leave is to end, and work is available, the employee must notify the City two (2) days prior to the desired return date. If the reason for leave was due to the serious health condition of the employee, a medical release must be provided to the City before the employee returns to work. If a medical release is not received, the employee's return to work will be delayed until it is received.

8. Failure to Meet Policy Requirements

If the employee fails to meet the requirements of this Policy for family or medical leave, the request for leave may be delayed until the requirements are met.

FAMILY & MEDICAL LEAVE REQUEST FORM

NAME: _____ POSITION: _____

DATE OF REQUEST: _____ DEPARTMENT: _____

I am requesting leave of absence under the Family and Medical Leave Act (Federal and, where applicable, State).

The leave of absence is requested for the following reason (*check the appropriate box*):

- ☐ The birth of my son or daughter and to care for such child.
- ☐ The placement of a child for adoption or foster care.
- ☐ The serious health condition for myself.
- ☐ To care for my ☐ spouse, ☐ domestic partner, ☐ child, ☐ parent, who has a serious health condition for which I am needed to provide care.
- ☐ My ☐ spouse, ☐ son/daughter, ☐ parent, is called to active duty (or has been notified of an impending call or order to active duty) in the Armed Forces in support of a contingency operation.
- ☐ To care for my ☐ spouse, ☐ son/daughter, ☐ parent, ☐ next of kin, who is a military service member and has incurred an injury or illness in the line of active duty in the Armed Forces that renders them medically unfit to perform the duties of their office, grade, rank, or rating.

PLEASE NOTE: If you check box 1, 3, 4 or 6, a Health Care Provider Certification Form must be completed within 15 calendar days and sent to the Human Resources Department. If you checked box 5, a certification related to the "active duty" or "call to duty" must be submitted in a timely manner.

Anticipated start of leave: _____ Anticipated return date: _____

Detail on type of leave: _____

(vacation, sick leave, comp time, holidays, caregiver leave, unpaid)

Employee's	Supervisor's
Signature _____	Signature _____
Date _____	Date _____



OFFICE USE ONLY

To be completed by the Human Resources Department.

Below is amount of available accrued hours as of _____ (request date) in the following categories:

Sick Leave _____	Compensatory Time _____	Caregiver Leave _____
Vacation _____	Personal Holidays _____	

**Certification of Health Care Provider for
Employee's Serious Health Condition
under the Family and Medical Leave Act**

**U.S. Department of Labor
Wage and Hour Division**



City Fax #:608-834-4302

**DO NOT SEND COMPLETED FORM TO THE DEPARTMENT OF LABOR.
RETURN TO THE PATIENT.**

OMB Control Number: 1235-0003
Expires: 6/30/2023

The Family and Medical Leave Act (FMLA) provides that an employer may require an employee seeking FMLA protections because of a need for leave due to a serious health condition to submit a medical certification issued by the employee's health care provider. 29 U.S.C. §§ 2613, 2614(c)(3); 29 C.F.R. § 825.305. The employer must give the employee **at least 15 calendar days** to provide the certification. If the employee fails to provide complete and sufficient medical certification, his or her FMLA leave request may be denied. 29 C.F.R. § 825.313. Information about the FMLA may be found [on the WHD website at www.dol.gov/agencies/whd/fmla](http://www.dol.gov/agencies/whd/fmla).

SECTION I – EMPLOYER

Either the employee or the employer may complete Section I. While use of this form is optional, this form asks the health care provider for the information necessary for a complete and sufficient medical certification, which is set out at 29 C.F.R. § 825.306. **You may not ask the employee to provide more information than allowed under the FMLA regulations, 29 C.F.R. §§ 825.306-825.308.** Additionally, you **may not** request a certification for FMLA leave to bond with a healthy newborn child or a child placed for adoption or foster care.

Employers must generally maintain records and documents relating to medical information, medical certifications, recertifications, or medical histories of employees created for FMLA purposes as confidential medical records in separate files/records from the usual personnel files and in accordance with 29 C.F.R. § 1630.14(c)(1), if the Americans with Disabilities Act applies, and in accordance with 29 C.F.R. § 1635.9, if the Genetic Information Nondiscrimination Act applies.

- (1) Employee name: _____
First Middle Last
- (2) Employer name: _____ Date: _____ (mm/dd/yyyy)
(List date certification requested)
- (3) The medical certification must be returned by _____ (mm/dd/yyyy)
(Must allow at least 15 calendar days from the date requested, unless it is not feasible despite the employee's diligent, good faith efforts.)
- (4) Employee's job title: _____ Job description (☐ is / ☐ is not) attached.
Employee's regular work schedule: _____
Statement of the employee's essential job functions: _____

(The essential functions of the employee's position are determined with reference to the position the employee held at the time the employee notified the employer of the need for leave or the leave started, whichever is earlier.)

SECTION II - HEALTH CARE PROVIDER

Please provide your contact information, complete all relevant parts of this Section, and sign the form. Your patient has requested leave under the FMLA. The FMLA allows an employer to require that the employee submit a timely, complete, and sufficient medical certification to support a request for FMLA leave due to the serious health condition of the employee. For FMLA purposes, a "serious health condition" means an illness, injury, impairment, or physical or mental condition that involves *inpatient care* or *continuing treatment by a health care provider*. For more information about the definitions of a serious health condition under the FMLA, see the chart on page 4.

You may, but are **not required** to, provide other appropriate medical facts including symptoms, diagnosis, or any regimen of continuing treatment such as the use of specialized equipment. Please note that some state or local laws may not allow disclosure of private medical information about the patient's serious health condition, such as providing the diagnosis and/or course of treatment.

Employee Name: _____

Health Care Provider's name: (Print) _____

Health Care Provider's business address: _____

Type of practice / Medical specialty: _____

Telephone: (____) _____ Fax: (____) _____ E-mail: _____

PART A: Medical Information

Limit your response to the medical condition(s) for which the employee is seeking FMLA leave. Your answers should be your **best estimate** based upon your medical knowledge, experience, and examination of the patient. **After completing Part A, complete Part B to provide information about the amount of leave needed.** Note: For FMLA purposes, "incapacity" means the inability to work, attend school, or perform regular daily activities due to the condition, treatment of the condition, or recovery from the condition. Do not provide information about genetic tests, as defined in 29 C.F.R. § 1635.3(f), genetic services, as defined in 29 C.F.R. § 1635.3(e), or the manifestation of disease or disorder in the employee's family members, 29 C.F.R. § 1635.3(b).

(1) State the approximate date the condition started or will start: _____ (mm/dd/yyyy)

(2) Provide your **best estimate** of how long the condition lasted or will last: _____

(3) Check the box(es) for the questions below, as applicable. For all box(es) checked, the amount of leave needed must be provided in Part B.

☐ **Inpatient Care:** The patient (☐ has been / ☐ is expected to be) admitted for an overnight stay in a hospital, hospice, or residential medical care facility on the following date(s): _____

☐ **Incapacity plus Treatment:** (e.g. outpatient surgery, strep throat)

Due to the condition, the patient (☐ has been / ☐ is expected to be) incapacitated for *more than* three consecutive, full calendar days from _____ (mm/dd/yyyy) to _____ (mm/dd/yyyy).

The patient (☐ was / ☐ will be) seen on the following date(s): _____

The condition (☐ has / ☐ has not) also resulted in a course of continuing treatment under the supervision of a health care provider (e.g. prescription medication (other than over-the-counter) or therapy requiring special equipment)

☐ **Pregnancy:** The condition is pregnancy. List the expected delivery date: _____ (mm/dd/yyyy).

☐ **Chronic Conditions:** (e.g. asthma, migraine headaches) Due to the condition, it is medically necessary for the patient to have treatment visits at least twice per year.

☐ **Permanent or Long Term Conditions:** (e.g. Alzheimer's, terminal stages of cancer) Due to the condition, incapacity is permanent or long term and requires the continuing supervision of a health care provider (even if active treatment is not being provided).

☐ **Conditions requiring Multiple Treatments:** (e.g. chemotherapy treatments, restorative surgery) Due to the condition, it is medically necessary for the patient to receive multiple treatments.

☐ **None of the above:** If none of the above condition(s) were checked, (i.e., inpatient care, pregnancy) no additional information is needed. Go to page 4 to sign and date the form.

Employee Name: _____

- (4) If needed, briefly describe other appropriate medical facts related to the condition(s) for which the employee seeks FMLA leave. (e.g., use of nebulizer, dialysis) _____

PART B: Amount of Leave Needed

For the medical condition(s) checked in Part A, complete all that apply. Several questions seek a response as to the frequency or duration of a condition, treatment, etc. Your answer should be your **best estimate** based upon your medical knowledge, experience, and examination of the patient. Be as specific as you can; terms such as “lifetime,” “unknown,” or “indeterminate” may not be sufficient to determine FMLA coverage.

- (5) Due to the condition, the patient (☐ had / ☐ will have) **planned medical treatment(s)** (scheduled medical visits) (e.g. psychotherapy, prenatal appointments) on the following date(s): _____

- (6) Due to the condition, the patient (☐ was / ☐ will be) **referred to other health care provider(s)** for evaluation or treatment(s).

State the nature of such treatments: (e.g. cardiologist, physical therapy) _____

Provide your **best estimate** of the beginning date _____ (mm/dd/yyyy) and end date _____ (mm/dd/yyyy) for the treatment(s).

Provide your **best estimate** of the duration of the treatment(s), including any period(s) of recovery (e.g. 3 days/week) _____

- (7) Due to the condition, it is medically necessary for the employee to work a **reduced schedule**.

Provide your **best estimate** of the reduced schedule the employee is able to work. From _____ (mm/dd/yyyy) to _____ (mm/dd/yyyy) the employee is able to work: (e.g., 5 hours/day, up to 25 hours a week)

- (8) Due to the condition, the patient (☐ was / ☐ will be) **incapacitated for a continuous period of time**, including any time for treatment(s) and/or recovery.

Provide your **best estimate** of the beginning date _____ (mm/dd/yyyy) and end date _____ (mm/dd/yyyy) for the period of incapacity.

- (9) Due to the condition, it (☐ was / ☐ is / ☐ will be) medically necessary for the employee to be absent from work on an **intermittent basis** (periodically), including for any episodes of incapacity i.e., episodic flare-ups. Provide your **best estimate** of how often (frequency) and how long (duration) the episodes of incapacity will likely last.

Over the next 6 months, episodes of incapacity are estimated to occur _____ times per (☐ day / ☐ week / ☐ month) and are likely to last approximately _____ (☐ hours / ☐ days) per episode.

Employee Name: _____

PART C: Essential Job Functions

If provided, the information in Section I question #4 may be used to answer this question. If the employer fails to provide a statement of the employee's essential functions or a job description, answer these questions based upon the employee's own description of the essential job functions. An employee who must be absent from work to receive medical treatment(s), such as scheduled medical visits, for a serious health condition is considered to be *not able* to perform the essential job functions of the position during the absence for treatment(s).

- (10) Due to the condition, the employee (☐ was not able / ☐ is not able / ☐ will not be able) to perform *one or more* of the essential job function(s). Identify at least one essential job function the employee is not able to perform:

Signature of
Health Care Provider _____ Date _____ (mm/dd/yyyy)

Definitions of a Serious Health Condition (See 29 C.F.R. §§ 825.113-.115)
Inpatient Care
• An overnight stay in a hospital, hospice, or residential medical care facility. • Inpatient care includes any period of incapacity or any subsequent treatment in connection with the overnight stay.
Continuing Treatment by a Health Care Provider (any one or more of the following)
<u>Incapacity Plus Treatment:</u> A period of incapacity of more than three consecutive, full calendar days, and any subsequent treatment or period of incapacity relating to the same condition, that also involves either: ○ Two or more in-person visits to a health care provider for treatment within 30 days of the first day of incapacity unless extenuating circumstances exist. The first visit must be within seven days of the first day of incapacity; or, ○ At least one in-person visit to a health care provider for treatment within seven days of the first day of incapacity, which results in a regimen of continuing treatment under the supervision of the health care provider. For example, the health provider might prescribe a course of prescription medication or therapy requiring special equipment.
<u>Pregnancy:</u> Any period of incapacity due to pregnancy or for prenatal care.
<u>Chronic Conditions:</u> Any period of incapacity due to or treatment for a chronic serious health condition, such as diabetes, asthma, migraine headaches. A chronic serious health condition is one which requires visits to a health care provider (or nurse supervised by the provider) at least twice a year and recurs over an extended period of time. A chronic condition may cause episodic rather than a continuing period of incapacity.
<u>Permanent or Long-term Conditions:</u> A period of incapacity which is permanent or long-term due to a condition for which treatment may not be effective, but which requires the continuing supervision of a health care provider, such as Alzheimer's disease or the terminal stages of cancer.
<u>Conditions Requiring Multiple Treatments:</u> Restorative surgery after an accident or other injury; or, a condition that would likely result in a period of incapacity of more than three consecutive, full calendar days if the patient did not receive the treatment.

PAPERWORK REDUCTION ACT NOTICE AND PUBLIC BURDEN STATEMENT

If submitted, it is mandatory for employers to retain a copy of this disclosure in their records for three years. 29 U.S.C. § 2616; 29 C.F.R. § 825.500. Persons are not required to respond to this collection of information unless it displays a currently valid OMB control number. The Department of Labor estimates that it will take an average of 15 minutes for respondents to complete this collection of information, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. If you have any comments regarding this burden estimate or any other aspect of this collection information, including suggestions for reducing this burden, send them to the Administrator, Wage and Hour Division, U.S. Department of Labor, Room S-3502, 200 Constitution Avenue, N.W., Washington, D.C. 20210.

DO NOT SEND COMPLETED FORM TO THE DEPARTMENT OF LABOR. RETURN TO THE PATIENT.

**Certification of Health Care Provider for
Family Member's Serious Health Condition
under the Family and Medical Leave Act**

U.S. Department of Labor
Wage Hour Division
City Fax#: 608-834-4302



**DO NOT SEND COMPLETED FORM TO THE DEPARTMENT OF LABOR.
RETURN TO THE PATIENT.**

OMB Control Number: 1235-0003
Expires: 6/30/2023

The Family and Medical Leave Act (FMLA) provides that an employer may require an employee seeking FMLA leave to care for a family member with a serious health condition to submit a medical certification issued by the family member's health care provider. 29 U.S.C. §§ 2613, 2614(c)(3); 29 C.F.R. § 825.305. The employer must give the employee **at least 15 calendar days** to provide the certification. If the employee fails to provide complete and sufficient medical certification, his or her FMLA leave request may be denied. 29 C.F.R. § 825.313. Information about the FMLA may be found [on the WHD website at www.dol.gov/agencies/whd/fmla](http://www.dol.gov/agencies/whd/fmla).

SECTION I - EMPLOYER

Either the employee or the employer may complete Section I. While use of this form is optional, this form asks the health care provider for the information necessary for a complete and sufficient medical certification, which is set out at 29 C.F.R. § 825.306. **You may not ask the employee to provide more information than allowed under the FMLA regulations, 29 C.F.R. §§ 825.306-825.308.** Additionally, you **may not** request a certification for FMLA leave to bond with a healthy newborn child or a child placed for adoption or foster care.

Employers must generally maintain records and documents relating to medical information, medical certifications, recertifications, or medical histories of employees or employees' family members created for FMLA purposes as confidential medical records in separate files/records from the usual personnel files and in accordance with 29 C.F.R. § 1630.14(c)(1), if the Americans with Disabilities Act applies, and in accordance with 29 C.F.R. § 1635.9, if the Genetic Information Nondiscrimination Act applies.

- (1) Employee name: _____
First Middle Last
- (2) Employer name: _____ Date: _____ (mm/dd/yyyy)
(List date certification requested)
- (3) The medical certification must be returned by _____ (mm/dd/yyyy)
(Must allow at least 15 calendar days from the date requested, unless it is not feasible despite the employee's diligent, good faith efforts.)

SECTION II - EMPLOYEE

Please complete and sign Section II before providing this form to your family member or your family member's health care provider. The FMLA allows an employer to require that you submit a timely, complete, and sufficient medical certification to support a request for FMLA leave due to the serious health condition of your family member. If requested by your employer, your response is required to obtain or retain the benefit of the FMLA protections. 29 U.S.C. §§ 2613, 2614(c)(3). **You are responsible for making sure the medical certification is provided to your employer within the time frame requested, which must be at least 15 calendar days.** 29 C.F.R. §§ 825.305-825.306. Failure to provide a complete and sufficient medical certification may result in a denial of your FMLA leave request. 29 C.F.R. § 825.313.

- (1) Name of the family member for whom you will provide care: _____
- (2) Select the relationship of the family member to you. The family member is your:
- ☐ Spouse ☐ Parent ☐ Child, under age 18
☐ Child, age 18 or older and incapable of self-care because of a mental or physical disability

Spouse means a husband or wife as defined or recognized in the state where the individual was married, including in a common law marriage or same-sex marriage. The terms "child" and "parent" include *in loco parentis* relationships in which a person assumes the obligations of a parent to a child. An employee may take FMLA leave to care for an individual who assumed the obligations of a parent to the employee when the employee was a child. An employee may also take FMLA leave to care for a child for whom the employee has assumed the obligations of a parent. No legal or biological relationship is necessary.

Employee Name: _____

(3) Briefly describe the care you will provide to your family member: *(Check all that apply)*

- ☐ Assistance with basic medical, hygienic, nutritional, or safety needs ☐ Transportation
☐ Physical Care ☐ Psychological Comfort ☐ Other: _____

(4) Give your **best estimate** of the amount of leave needed to provide the care described: _____

(5) If a **reduced work schedule** is necessary to provide the care described, give your **best estimate** of the reduced schedule you are able to work. From _____ (mm/dd/yyyy) to _____ (mm/dd/yyyy), I am able to work _____ (hours per day) _____ (days per week).

Employee

Signature _____ Date _____ (mm/dd/yyyy)

SECTION III - HEALTH CARE PROVIDER

Please provide your contact information, complete all relevant parts of this Section, and sign the form below. A family member of your patient has requested leave under the FMLA to care for your patient. The FMLA allows an employer to require that the employee submit a timely, complete, and sufficient medical certification to support a request for FMLA leave to care for a family member with a serious health condition. For FMLA purposes, a “serious health condition” means an illness, injury, impairment, or physical or mental condition that *involves inpatient care or continuing treatment by a health care provider*. For more information about the definitions of a serious health condition under the FMLA, see the chart at the end of the form.

You also may, but are **not required** to, provide other appropriate medical facts including symptoms, diagnosis, or any regimen of continuing treatment such as the use of specialized equipment. Please note that some state or local laws may not allow disclosure of private medical information about the patient’s serious health condition, such as providing the diagnosis and/or course of treatment.

Health Care Provider’s name: *(Print)* _____

Health Care Provider’s business address: _____

Type of practice / Medical specialty: _____

Telephone: (____) _____ Fax: (____) _____ E-mail: _____

PART A: Medical Information

Limit your response to the medical condition for which the employee is seeking FMLA leave. Your answers should be your **best estimate** based upon your medical knowledge, experience, and examination of the patient. **After completing Part A, complete Part B to provide information about the amount of leave needed.** Note: For FMLA purposes, “incapacity” means the inability to work, attend school, or perform regular daily activities due to the condition, treatment of the condition, or recovery from the condition. Do not provide information about genetic tests, as defined in 29 C.F.R. § 1635.3(f), genetic services, as defined in 29 C.F.R. § 1635.3(e), or the manifestation of disease or disorder in the employee’s family members, 29 C.F.R. § 1635.3(b).

(1) Patient’s Name: _____

(2) State the approximate date the condition started or will start: _____ (mm/dd/yyyy)

(3) Provide your **best estimate** of how long the condition lasted or will last: _____

(4) For FMLA to apply, care of the patient must be medically necessary. Briefly describe the type of care needed by the patient *(e.g., assistance with basic medical, hygienic, nutritional, safety, transportation needs, physical care, or psychological comfort)*.

Employee Name: _____

(5) Check the box(es) for the questions below, as applicable. For all box(es) checked, the amount of leave needed must be provided in Part B.

☐ **Inpatient Care:** The patient (☐ has been / ☐ is expected to be) admitted for an overnight stay in a hospital, hospice, or residential medical care facility on the following date(s): _____

☐ **Incapacity plus Treatment:** (e.g. outpatient surgery, strep throat)

Due to the condition, the patient (☐ has been / ☐ is expected to be) incapacitated for *more than* three consecutive, full calendar days from _____ (mm/dd/yyyy) to _____ (mm/dd/yyyy).

The patient (☐ was / ☐ will be) seen on the following date(s): _____

The condition (☐ has / ☐ has not) also resulted in a course of continuing treatment under the supervision of a health care provider (e.g. prescription medication (other than over-the-counter) or therapy requiring special equipment)

☐ **Pregnancy:** The condition is pregnancy. List the expected delivery date: _____ (mm/dd/yyyy).

☐ **Chronic Conditions:** (e.g. asthma, migraine headaches) Due to the condition, it is medically necessary for the patient to have treatment visits at least twice per year.

☐ **Permanent or Long Term Conditions:** (e.g. Alzheimer's, terminal stages of cancer) Due to the condition, incapacity is permanent or long term and requires the continuing supervision of a health care provider (even if active treatment is not being provided).

☐ **Conditions requiring Multiple Treatments:** (e.g. chemotherapy treatments, restorative surgery) Due to the condition, it is medically necessary for the patient to receive multiple treatments.

☐ **None of the above:** If none of the above condition(s) were checked, (i.e., inpatient care, pregnancy) no additional information is needed. Go to page 4 to sign and date the form.

(6) If needed, briefly describe other appropriate medical facts related to the condition(s) for which the employee seeks FMLA leave. (e.g., use of nebulizer, dialysis) _____

PART B: Amount of Leave Needed

For the medical condition(s) checked in Part A, complete all that apply. Several questions seek a response as to the frequency or duration of a condition, treatment, etc. Your answer should be your **best estimate** based upon your medical knowledge, experience, and examination of the patient. Be as specific as you can; terms such as "lifetime," "unknown," or "indeterminate" may not be sufficient to determine if the benefits and protections of the FMLA apply.

(7) Due to the condition, the patient (☐ had / ☐ will have) **planned medical treatment(s)** (scheduled medical visits) (e.g. psychotherapy, prenatal appointments) on the following date(s): _____

(8) Due to the condition, the patient (☐ was / ☐ will be) **referred to other health care provider(s)** for evaluation or treatment(s).

State the nature of such treatments: (e.g. cardiologist, physical therapy) _____

Provide your **best estimate** of the beginning date _____ (mm/dd/yyyy) and end date _____ (mm/dd/yyyy) for the treatment(s).

Provide your **best estimate** of the duration of the treatment(s), including any period(s) of recovery

_____ (e.g. 3 days/week)

Employee Name: _____

- (9) Due to the condition, the patient (☐ was / ☐ will be) **incapacitated for a continuous period of time**, including any time for treatment(s) and/or recovery.

Provide your **best estimate** of the beginning date: _____ (mm/dd/yyyy) and end date _____ (mm/dd/yyyy) for the period of incapacity.

- (10) Due to the condition it, (☐ was / ☐ is / ☐ will be) medically necessary for the employee to be absent from work to provide care for the patient on an **intermittent basis** (periodically), including for any episodes of incapacity i.e., episodic flare-ups. Provide your **best estimate** of how often (frequency) and how long (duration) the episodes of incapacity will likely last.

Over the next 6 months, episodes of incapacity are estimated to occur _____ times per (☐ day / ☐ week / ☐ month) and are likely to last approximately _____ (☐ hours / ☐ days) per episode.

Signature of
Health Care Provider _____ Date _____ (mm/dd/yyyy)

Definitions of a Serious Health Condition (See 29 C.F.R. §§ 825.113-.115)

Inpatient Care

- An overnight stay in a hospital, hospice, or residential medical care facility.
- Inpatient care includes any period of incapacity or any subsequent treatment in connection with the overnight stay.

Continuing Treatment by a Health Care Provider (any one or more of the following)

Incapacity Plus Treatment: A period of incapacity of more than three consecutive, full calendar days, and any subsequent treatment or period of incapacity relating to the same condition, that also involves either:

- Two or more in-person visits to a health care provider for treatment within 30 days of the first day of incapacity unless extenuating circumstances exist. The first visit must be within seven days of the first day of incapacity; or,
- At least one in-person visit to a health care provider for treatment within seven days of the first day of incapacity, which results in a regimen of continuing treatment under the supervision of the health care provider. For example, the health provider might prescribe a course of prescription medication or therapy requiring special equipment.

Pregnancy: Any period of incapacity due to pregnancy or for prenatal care.

Chronic Conditions: Any period of incapacity due to or treatment for a chronic serious health condition, such as diabetes, asthma, migraine headaches. A chronic serious health condition is one which requires visits to a health care provider (or nurse supervised by the provider) at least twice a year and recurs over an extended period of time. A chronic condition may cause episodic rather than a continuing period of incapacity.

Permanent or Long-term Conditions: A period of incapacity which is permanent or long-term due to a condition for which treatment may not be effective, but which requires the continuing supervision of a health care provider, such as Alzheimer's disease or the terminal stages of cancer.

Conditions Requiring Multiple Treatments: Restorative surgery after an accident or other injury; or, a condition that would likely result in a period of incapacity of more than three consecutive, full calendar days if the patient did not receive the treatment.

PAPERWORK REDUCTION ACT NOTICE AND PUBLIC BURDEN STATEMENT

If submitted, it is mandatory for employers to retain a copy of this disclosure in their records for three years. 29 U.S.C. § 2616; 29 C.F.R. § 825.500. Persons are not required to respond to this collection of information unless it displays a currently valid OMB control number. The Department of Labor estimates that it will take an average of 15 minutes for respondents to complete this collection of information, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. If you have any comments regarding this burden estimate or any other aspect of this collection information, including suggestions for reducing this burden, send them to the Administrator, Wage and Hour Division, U.S. Department of Labor, Room S-3502, 200 Constitution Avenue, N.W., Washington, D.C. 20210.

DO NOT SEND COMPLETED FORM TO THE DEPARTMENT OF LABOR. RETURN TO THE PATIENT.

City of Sun Prairie Policy/Procedure

Title: Transgender/Gender Identity Rights Policy	
Policy Source: Human Resources	Creation Date: April 15, 2019
Application: All Employees	Revision Date:
Indexed as: Transgender, gender non-conforming, gender transitioning	Total Pages: 4

1. General Purpose and Policy

This policy reaffirms the city's commitment to providing a welcoming, safe, and inclusive environment for all employees. This policy supports the city's Equal Employment Opportunity policy which prohibits discrimination on the basis of certain protected characteristics such as sex, sexual orientation, gender identity, or gender expression.

This policy provides guidance to address the issues that arise pertaining to transgender, transitioning and gender non-conforming employees and clarifies how the law should be implemented where questions may arise about how to protect the legal rights or safety of such employees. This policy does not anticipate every situation that might occur with respect to transgender, transitioning, or gender non-conforming employees, therefore, the needs of each employee must be assessed on a case-by-case basis. In all cases, the goal is to ensure the safety, comfort, and healthy development of all employees.

2. Definitions

The definitions provided here are not intended to label employees but rather to assist in understanding this policy. Employees may or may not use these terms to describe themselves.

- Gender identity: A person's internal, deeply-felt sense of being male, female, or something other or in-between, regardless of the sex they were assigned at birth. Everyone has a gender identity.
- Gender expression: An individual's characteristics and behaviors (such as appearance, dress, mannerisms, speech patterns, and social interactions) that may be perceived as masculine or feminine.
- Transgender: An umbrella term that can be used to describe people whose gender identity and/or expression is different from their sex assigned at birth.
 - A person whose sex assigned at birth was female but who identifies as male is a transgender man (also known as female-to-male transgender person, or FTM).
 - A person whose sex assigned at birth was male but who identifies as female is a transgender woman (also known as male-to-female transgender person, or MTF).
 - Some people described by this definition don't consider themselves transgender – they may use other words, or may identify simply as a man or woman. A person does not need to identify as transgender in order for the city's nondiscrimination policies to apply to them.
- Gender non-conforming: This term describes people who have, or are perceived to have, gender characteristics and/or behaviors that do not conform to traditional or societal expectations. Keep in mind that these expectations can vary across cultures and have changed over time.

- **Transition:** The process of changing one's gender from the sex assigned at birth to one's gender identity. There are many different ways to transition. For some people, it is a complex process that takes place over a long period of time, while for others it is a one- or two-step process that happens more quickly. Transition may include but is not limited to "coming out" (telling family, friends, and coworkers); changing the name and/or sex on legal documents; changing pronoun and restroom facility usage to correspond with the gender with which they identify; and, for many transgender people, undergoing hormone therapy, surgeries, or other medical procedures.
- **Sexual orientation:** A person's physical or emotional attraction to people of the same and/or other gender. Straight, gay, and bisexual are some ways to describe sexual orientation. It is important to note that sexual orientation is distinct from gender identity and expression. Transgender people can be gay, lesbian, bisexual, or straight, just like non-transgender people.
- **LGBTQ:** A common abbreviation that refers to the lesbian, gay, bisexual, transgender and queer or questioning communities.

EVERYONE HAS A...

Sex Assigned at Birth
Gender Identity
Gender Expression
Sexual Orientation

3. Privacy

All employees should respect each other's privacy regarding any medical, health, or personal information. Other than information needed to ensure a smooth transition (such as confirming the employee's decision and effective dates regarding the transition and process, the gender/pronoun/name with which the employee identifies, facility usage, etc.), managers, supervisors, and employees should refrain from making inquiries of a personal nature regarding the individual's medical, health, or other personal matters. If a transgender or transitioning employee shares information of a personal or private nature (other than that needed to ensure a smooth transition) indicating a need for more personal support, the supervisor or manager should refer the employee to appropriate resources for assistance.

4. Names/Pronouns

A transgender employee should be addressed by the name and pronoun that correspond to the employee's gender identity, upon request. A court-ordered name or gender change is not required. The intentional or persistent refusal to respect an employee's gender identity (for example, intentionally referring to the employee by a name or pronoun that does not correspond to the employee's gender identity) can lead to a potential violation of the city's EEO policy. If you are unsure what pronoun a transitioning employee might prefer, you can politely ask the employee how they would like to be addressed.

5. Personnel Records

The City of Sun Prairie will change certain personnel records to reflect a change in name or gender upon request from the employee. However, certain types of records, like those relating to payroll, benefits, and retirement accounts, may require a legal name change before the person's name can be changed. Most records, however, can be changed to reflect a person's preferred name without proof of a legal name change.

As quickly as possible, we will make every effort to update any photographs at the transitioning employee's workplace so the transitioning employee's gender identity and expression are represented accurately.

If a new or transitioning employee has questions about company records or ID documents, the employee should contact the Benefits Coordinator or Human Resources Director.

6. Transitioning on the Job

Employees who transition on the job can expect the support of management and Human Resources staff. The employee's supervisor or manager (or another manager, if appropriate) is responsible for working with each transitioning employee, with guidance from Human Resources, to assist the employee with their transition and prepare a Workplace Transition Plan in order to ensure a smooth and successful workplace transition.

The Workplace Transition Plan is tailored to address the individual's needs and should follow the general outline below, and may require updating:

- Any employee who would like to transition in the workplace should inform their supervisor, manager, or Human Resources of their decision and for assistance with the process. Supervisors and managers should support the employee, although the decision of whether or not to transition in the workplace and the readiness or timeframe to begin the transition process at the city should be the employee's alone.
- Once a transgender or transitioning employee makes the decision to go through the process of transitioning at the city, including changing records, name, gender, ID badge, etc., the employee should send an e-mail to the Director of Human Resources confirming that they would like to transition, the new gender with which they wish to identify, new name (if any), preferred pronouns, approximate desired date of the transition, and authorizing Human Resources to update their records once the effective date has been confirmed. The employee will also meet with the Benefits Coordinator to review the benefits available to them.
- The employee should address the process and manner in which co-workers, other employees, clients and/or customers would be notified regarding the changes, and whether to notify others in stages. This will include timeframes and effective dates regarding notifications, record changes, facility usage, etc.

7. Restroom Accessibility

Employees shall have access to the restroom corresponding to their gender identity. Restroom access must be handled with sensitivity for all employees, including consideration of privacy concerns for all employees. Any employee who has a need or desire for increased privacy, regardless of the underlying reason, will be provided access to a single-stall restroom, if and when available. No employee, however, shall be required to use such a restroom. All employees have a right to safe and appropriate restroom facilities, including the right to use a restroom that corresponds to the employee's gender identity, regardless of the employee's sex assigned at birth. That is, transgender women must be permitted to use the women's restroom, and transgender men must be permitted to use the men's restroom.

Some employees – transgender or non-transgender – may desire additional privacy. Where possible, the city will make available a unisex single-stall restroom that can be used by any employee who does not want to share a multi-person restroom and has a need for increased privacy, regardless of the underlying reason, if available.

8. Locker Room Accessibility

All employees have the right to use the locker room that corresponds with their gender identity. Any employee who has a need or desire for increased privacy, regardless of the underlying reason, may be provided with a reasonable alternative changing area such as the use of a private area, or using the locker room that corresponds to their gender identity before or after other employees if and when possible.

9. Dress Code

The city does not have dress codes that restrict employees' clothing or appearance on a basis of gender. Transgender and gender non-conforming employees have the right to comply with company dress codes in a manner consistent with their gender identity or gender expression.

10. Discrimination/Harassment

This policy supports the city's Equal Employment Opportunity (EEO) Policy which prohibits discrimination or harassment on the basis of certain protected characteristics such as sex, sexual orientation, gender identity, or gender expression.

The city is committed to creating a safe, inclusive, and productive work environment for all employees. Any individual who believes that they are being subjected to improper conduct or potential discrimination or harassment because of their gender identity or expression or any other basis covered under the EEO Policy should notify their supervisor, manager, or Human Resources so that the concerns can be reviewed, investigated or addressed as appropriated. Please refer to the city's EEO Policy for further information.

11. Policy Application and Interpretation

Questions on the application and interpretation of this policy should be directed to the Human Resources Department.

City of Sun Prairie Policy/Procedure

Title: Harassment in the Workplace Policy	
Policy Source: Human Resources	Creation Date: March 18, 1992
Application: All Employees	Revision Date: August 15, 2000, November 16, 2004, November 2, 2016
Indexed as: Harassment, Anti-Harassment, Violence in the Workplace	Total Pages: 3

1. General Purpose and Policy

It is the policy of the City of Sun Prairie to afford equal opportunity in employment, compensation and other benefits related to employment regardless of age; ancestry; arrest & conviction record; color; creed; disability; genetic testing; honesty testing; marital status; military status; national origin; pregnancy or childbirth; race; religion; sex; gender; sexual orientation; and use or nonuse of lawful products off the employer's premises during nonworking hours. The City will maintain and ensure a working environment free from any form of employee harassment, including sexual harassment and intimidation. Harassment is a form of discrimination and violates Title VII of the Civil Rights Act of 1964, the Wisconsin Fair Employment Act, and the City of Sun Prairie's policies and procedures. Harassing behavior shall not be tolerated under any circumstances.

Harassment consists of unwelcome conduct, whether verbal, physical, or visual, that is based on a person's protected status, such as sex, color, race, ancestry, religion, national origin, age, physical handicap, mental condition, disability, marital status, veteran status, citizenship status, sexual orientation, arrest and/or conviction record, the use of lawful products off of the employer's premises during non-working hours, or other protected group status. The City will not tolerate any form of harassing conduct that unreasonably interferes with an individual's work performance, or that creates an intimidating, hostile or offensive working environment.

Harassment may include, but is not limited to: verbal harassment, including epithets, derogatory comments or slurs, ethnic jokes, physical harassment, physical interference with movement or work, or visual harassment such as derogatory cartoons, drawings, or posters.

2. Harassment

2.1 Sexual Harassment

Sexual harassment deserves special mention. Harassment on the basis of sex is a violation of both state and federal law. Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitutes sexual harassment when:

Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment;

1. Submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual; or
2. Such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive work environment.

The victim, as well as the harasser, may be a male or female and may include others affected by the offending conduct, even if not directly harassed. The harasser can be the victim's supervisor, an agent of the City of Sun Prairie, a supervisor from another area, a co-worker or a non-employee who comes to the work site with permission.

2.2 Types of Sexual Harassment

- Verbal: Sexual propositions; sexual innuendoes; foul, obscene, suggestive or insulting comments or language; or humor and jokes about sex or gender-specific traits.
- Non-verbal: Whistling; leering; foul, obscene, suggestive or insulting gestures, printed/visual materials or sounds.
- Physical: Touching; pinching; brushing the body; coerced sexual relations; assault; or foul, obscene, suggestive or insulting physical contact.

The City requests that all employees be sensitive to the impact of their conduct on those around them and avoid all behaviors, in addition to those listed above, which may be offensive and unwelcome.

3. Confidentiality

A report of harassment and the subsequent investigation will be handled confidentially, to the extent possible. Throughout the investigation, information will only be disclosed to those individuals necessary to the investigation and resolution of the matter and as otherwise required by law. Furthermore, no individual shall be threatened, coerced, intimidated or discriminated against for filing an accurate complaint, furnishing information or participating in an investigation or hearing regarding harassment.

4. Complaint and Investigation Procedures

1. If an employee feels that they are being harassed, they should react to the offensive behavior in a professional manner. Communicate to the alleged harasser that the behavior is unwelcome and that it must stop immediately. If this does not resolve the matter, or the employee does not feel comfortable doing so, the employee should report the harassment immediately to his/her immediate supervisor or Department Head or to the Human Resources Director.
2. Supervisors and managers who receive initial harassment complaints shall immediately bring them to the attention of the Human Resources Director or, in the case of a conflict, the City Administrator, City Attorney or Sun Prairie Utilities Manager.
3. Complaints will be investigated carefully by the Human Resources Director or, in the case of a conflict, the City Administrator, City Attorney, or Sun Prairie Utilities Manager. The City may use such assistance, as they deem necessary for a complete investigation. Interviews will be held with the complaining employee, accused employee and any witnesses. Findings will be documented and appropriate records maintained by the Human Resources Department. Such records will not become part of a personnel file unless discipline is administered.
4. The confidentiality of complaints will be respected as much as possible. Interviews will be conducted in private and participating employees will be directed to keep such information in confidence.
5. The complaining employee will be advised of the investigation findings and any action to be taken.
6. The appropriate manager shall take whatever corrective action is deemed necessary and appropriate to remedy complaints, up to and including discharge.

Additional complaint procedures are available to the employee through:

The Equal Rights Division, Department of Workforce Development, 201 East Washington Avenue, P.O. Box 8928, Madison, WI 53708, Telephone: (608)266-6860 or TDD: (608)264-8752 will accept formal complaints based on race, color, age (over 40 with no upper age limit), gender, disability, national origin or ancestry, and religious beliefs or convictions. This agency is the only one to accept complaints regarding different treatment based on sexual orientation, arrest or conviction record, marital status, political affiliation or military service. File within 300 days of the last violation.

The U.S. Equal Employment Opportunity Commission, 310 West Wisconsin Avenue, Suite 800, Milwaukee, WI 53203, Telephone: (414) 297-1111 or TDD (414)297-1115 will accept complaints based on race, color, age (40-70), gender, disability, national origin or ancestry, religious beliefs or convictions. File within 300 days of the last violation.

5. Anti-Retaliation

No employee will be subject to any form of retaliation or discipline for pursuing a harassment complaint, except that employees who knowingly make false claims of harassment may be subject to discipline, up to and including discharge.

6. Discipline

All workers, including supervisors and managers, will be subject to severe discipline, up to and including discharge, for any act of harassment. Records of such activity and corresponding discipline shall become part of the employee's personnel file.

7. Policy Interpretation

Questions regarding the application and interpretation of this policy should be directed to the City Human Resources department.

City of Sun Prairie Policy/Procedure

Title: Light Duty Assignments	
Policy Source: Human Resources Department	Creation Date: February 18, 1986
Application: All Employees	Revision Date: June 11, 2004, August 8, 2017
Indexed as: Injury, Temporary Disability	Total Pages: 4

1. General Policy

It is in the best interest of the City and its employees to have injured or ill employees return to work as soon as they are physically capable. Therefore, following the occurrence of either an on-the-job injury/illness or an off-the-job injury/illness, an employee who is determined to be capable of working at some level and capacity other than his/her normal capacity may be assigned such work and conditions as may be beneficial to the City.

Every effort will be made to bring an employee back to work early under a light/modified duty status in a worker's compensation claim. However, non-duty related disabilities will be closer scrutinized due to the possible liability issues if the employee were to injure/re-injure themselves at work during the modified assignment.

2. Request Process

An employee who, because of a temporary disability, is unable to perform his/her regular job duties, may be assigned to light duty status. Light duty may consist of a change in job assignment, modification of job duties, change in scheduled hours or a combination of any of these changes.

The City may assign the employee to such duties, if in the opinion of the City, such assignment is consistent with the efficient performance of available work and will not result in a hardship to the City. The City shall consult with the employee and such medical and/or professional personnel as may be appropriate, and shall give the employee advance written notice of any such assignment and the terms.

All requests for Light Duty shall be submitted to the employee's immediate supervisor in writing at least 24 hours before the expected start of Light Duty. Such requests shall be supported by a written medical opinion from a licensed physician clearly identifying all temporary job restrictions and the duration of such restrictions. Said physician's statement shall clearly identify the job duties that cannot be performed by the employee as the result of the temporary disability. The physician shall use the City's position description as a basis for identifying the job duties. Failure to submit the required information may result in a delay of starting the Light Duty assignment. The City shall not be liable for lost wages during this delay in off-the-job injury cases.

After carefully reviewing the circumstances of each case, the Department Manager shall make a decision, in consultation with the Human Resources department, whether the employee should be classified in a Light Duty Work Status. The employee may be directed to any medical authority (at City expense) for a medical examination when it is considered appropriate.

An employee who is authorized and assigned a Light Duty Work Status shall continue in his/her status as an employee of the City with the same wage and benefits that were assigned to his/her permanent position as long as the employee is able to perform a majority of job duties. For off-duty injuries, the City reserves the right to modify an employee's pay during any light duty assignment to be commensurate with the work performed. Failure to report for or to carry out the assignments of the Light Duty Status shall be

considered misconduct. An employee may use accrued sick leave, vacation or compensatory time to supplement a part-time schedule while on approved light duty status.

It shall be the employee's responsibility to furnish timely medical information regarding their continued need for Light Duty or any changes in their condition. Failure to provide such information may result in termination of the Light Duty status.

When applicable, time away from work will be designated as Family Medical Leave or worker's compensation leave.

3. Temporary in Nature

Nothing in this policy shall constitute a guarantee of work or pay in lieu of work during the period of the temporary disability. Light duty assignments shall be based upon existing work, which meets the employee's job restrictions, and does not interfere with the Department's normal operation.

It is the intent of this light duty policy to help an employee return to the role of a productive worker during a period of temporary disability. In no case, will a light duty assignment become a permanent position.

If an employee is deemed to be permanently disabled as a result of an off-the-job injury or sickness, the employee will be allowed to exhaust all of their accrued benefits and/or request an accommodation under the American's with Disabilities Act (ADA). A medical leave of absence may also be requested as outlined in the personnel manual or relevant union contract. Appropriate time limits under these documents will be applied. An employee on a medical leave of absence will be permitted to continue their coverage under the group health insurance and/or life insurance at their own expense.

4. Open and Clear Communication

Open and clear communication provides the foundation for the supervisor and employee, in cooperation with the treating physician, to develop a customized light duty assignment for the injured individual.

- Doctors need to be aware of the physical requirements and skills needed for the type of work the employee performs. Employees are expected to provide copies of the job description to each treating physician.
- The Human Resources Department is the primary contact with the Worker's Compensation insurance carrier and treating physicians. This is established to ensure confidentiality of medical information.
- The Supervisor is the primary contact with the employee. Supervisor follow-up with the injured employee throughout the disability period is appropriate. The supervisor should make necessary contact to determine tentative return dates and appropriate work assignments for any light duty assignment. Such work assignments must adhere to the physical restrictions to avoid reinjuring or aggravating the condition.
- Employees are required to report any and all restrictions identified as well as educate the treating physician on the type of work he/she is expected to perform. Employees will collect Doctor slips each time they visit a medical professional and provide those slips to the supervisor in a timely manner. Employees are expected to follow the light duty restrictions as outlined by their physician and make the supervisor aware of any job duties that conflict with those restrictions.

5. Confidentiality

Any information obtained that relates to medical history or disabilities must be treated as confidential medical records. This information is maintained separate from an employee's general personnel records. A supervisor or manager may be informed about necessary restrictions or accommodations, but not the actual test results or any diagnosed condition.

6. Policy Interpretation

Questions regarding the application and interpretation of this policy should be directed to the Human Resources Department.

REQUEST FOR LIGHT DUTY STATUS FORM

Employee's Name

Position

Department

Date

Please describe the request for Light Duty Status.

To be completed by Supervisor:

Is a temporary Light Duty Status being recommended for the employee?

☐ Yes ☐ No
Other duty work will be considered: _____

If approved, the City reserves the right to rescind or alter the agreed upon

schedule or duties of this light duty arrangement at any time based upon cost,

efficiency, or the general operational needs of the department.

Department Head Signature

Date

Submit to Human Resources

Department prior to start of

Light Duty Status.

City of Sun Prairie Policy/Procedure

Title: Media Relations Policy	
Policy Source: City Administrator's Office	Creation Date: February 19, 2008
Application: All Employees	Revision Date: May 17, 2010
Indexed as: Release of Information, Press Release, Free Speech	Total Pages: 6

1. GENERAL POLICY

A well informed public is essential to the effective operation of any municipality. This policy is intended to create a spirit of cooperation between the City of Sun Prairie and all forms of the media to facilitate an accurate dissemination of information to the public. This policy is written to establish a cooperative City staff/press relationship, to ensure that dissemination of accurate, factual information.

It is also the City's policy to provide continual internal communications to assure the elected officials and City department spokespersons are informed of events that will be in the media (prior to release, if possible). Note: Police matters will be handled by the designated Public Information Officer.

City staff must understand that the media has a responsibility to collect as much information about an incident of public interest as quickly as possible. Inquiries from the news media are given a high priority by the City of Sun Prairie and should be responded to as quickly and efficiently as possible. Every effort should be made to meet media deadlines and to ensure that all information released is accurate. As long as the journalist does not violate the law, or interfere with an investigation, City staff should not impede the media.

This policy is not intended to be procedures used in emergency situations. In emergencies, the City will operate under the Incident Command System (ICS) in accordance with federal guidelines.

2. MEDIA INQUIRIES

City staff should immediately refer any media inquiries to their Supervisor. An appropriate response to the media would be to advise them that further requests for information should be directed to the Department Manager. Employees should then advise their supervisor that an inquiry was made with any details of the reporters name, phone number, topic of story and deadline if known.

Spokespeople should make every effort to respond to media inquiries in a timely manner.

It is the responsibility of Department Managers to immediately notify the City Administrator of events and activities regarding sensitive or controversial topics which are likely to make the news. This will allow the City Administrator to inform elected officials and appropriate staff.

3. LITIGATION, PERSONNEL AND ELECTION ISSUES

Generally, the business conducted by the City of Sun Prairie is public information. Inquiries regarding pending litigation, matters involving a significant exposure to litigation and certain personnel-related information are exceptions.

Inquiries regarding pending litigation or exposure to litigation should be referred to the City Attorney's Office. Inquiries regarding personnel-related information should be referred to the Human Resources Department.

Inquiries regarding election and campaign issues as well as access to voting facilities should be referred to the City Clerk. The City Clerk will contact additional staff as appropriate.

4. PUBLIC SAFETY/EMERGENCY MANAGEMENT ISSUES

Because the Police, Fire and EMS Departments operate on a continuous basis and their work generates a high volume of media calls, those departments have designated personnel as media spokespersons and follow specific guidelines when releasing information.

Any media calls to other City staff regarding a Police, Fire or EMS issue should be referred immediately to the Police, Fire or EMS Department, as appropriate.

All information released to the media by the Police, Fire and EMS Departments regarding sensitive or controversial topics should be provided to the City Administrator when deemed appropriate. This will allow the City Administrator to inform elected officials and appropriate staff.

5. COMMUNICATIONS COORDINATION

Under the direction of the City Administrator, all Departments will identify issues affecting the City and its employees in regard to public education and communication. This includes budget issues, community issues and matters of public education. The City Administrator will set communication strategy and implementing communications techniques to support that strategy. Department Managers will coordinate with Administration to provide routine information about the City, its services or its personnel on an on-going basis, including information such as general events, current happenings, status of citywide projects or general community and Common Council business.

6. CITY SPOKESPERSONS

For routine matters and general department information, the Department Manager is designated as the City's spokesperson.

For any major incident or issue, the City Administrator will designate a spokesperson to respond to media inquiries. This action will comply with the policies established by the Incident Command System. The spokesperson should keep the City Administrator, Mayor, and Council informed and apprised of the matter and what was previously shared with the media. The City Administrator will assist with drafting additional releases and disseminating information.

City spokespersons shall not make judgmental comments on the incident or individuals involved but will distribute accurate and factual information in a timely manner.

7. MEDIA AT THE INCIDENT SCENE

When media are present, either on their own initiative, or by being granted access to an area under the authority of the Incident Commander, staff should not attempt to restrict any of their actions unless they are violating the law or clearly interfering with operations or an on-going investigation.

The media should not be denied access to an area on the basis of public safety. In those circumstances where the general public has been denied access to a hazardous area, the media may be granted access to the area after first being cautioned of the risks and acknowledgment that the journalist understands the risk. The decision to assume the risk of danger remains with the media.

City staff should not restrict the media from taking pictures even though the individual disagrees with the nature of the pictures. It is the media's responsibility to determine which photographs and information will be publicized.

8. STATEMENTS TO THE MEDIA IN AN EMERGENCY

In the event of an emergency, the City will operate under the Incident Command System in accordance with federal guidelines. The Incident Commander will inform appropriate staff and designate a public information officer.

9. PERSONAL POINTS OF VIEW

It is recognized that all employees have the right to their personal points of view regarding any issue. However, personal points of view may conflict with the City's official policy. Therefore, City employees who write letters to the editor of any newspaper may not use official City stationery. If an employee chooses to identify himself or herself as a City employee in any

personal letter or email to the editor, he or she must include language which states the views set forth in the letter do not represent the views of the City, but rather, are the employee's personally held opinions. The same should apply if an employee addresses a public meeting, participates in a radio talk show, or is interviewed for a radio or television program unless the employee is officially representing the City.

The First Amendment protects a public employee's right to speak as a citizen on matters of public concern where free and open debate is necessary to informed decision-making.

10. NEWS RELEASES AND PRESS CONFERENCES

1. Departments may send out releases publicizing specific city events or routine activities without submitting these releases for review.
2. Non-routine news releases should be routed to the City Administrator for review. This helps maintain a consistent format, and helps keep the City Administrator, Mayor and Council better informed of newsworthy activities in all departments.
3. Department Managers should contact the City Administrator to discuss the appropriate vehicle for making announcements that have a significant impact internally or externally. News releases containing controversial or sensitive matters and/or matters relating to public safety shall be distributed to elected officials and staff in a timely manner.
4. Police investigation procedures should be followed in accordance with Police Department Policy and media information releases and such instances will be organized and disseminated through the Chief of Police, assigned designee, or an assigned Public Information Officer. The dissemination of such information will be made in such a manner that is cognizant of the investigation at hand. Whenever possible these briefing will be made at a time and place that is both timely and convenient to both the media and the Police Department.

From time to time, certain information must be withheld from the news media in order to protect the Constitutional Rights of city employees, to avoid interference with a police department investigation, or because it is legally privileged. Therefore, only authorized personnel are able to distribute news releases.

No employee shall release information without first consulting the appropriate authority. A seemingly innocent comment to a member of the media or the divulgence of the slightest piece of information may compromise the City's position for liability.

11. REPORTING CONCERNS

If a staff member has problems with a member of the media, the incident should be reported immediately to their Supervisor. Every effort will be made to resolve any misunderstandings with media representatives.

12. OPEN RECORDS

All employees who handle media requests must be familiar with the Wisconsin Open Records Act. The City's Retention and Release of Records policy shall be followed as guidelines to departments in determining confidentiality, release and retention of city records. Contact the City Attorney's office for an up-to-date policy regarding your responsibilities in handling open records requests.

Attached is the list of Public Records Custodians for the City of Sun Prairie.

City of Sun Prairie Policy/Procedure

Title: Paid Parental & Caregiver Leave	
Policy Source: Human Resources Division	Creation Date: August 28, 2018
Application: All Departments	Revision Dates: January 24, 2020, February 17, 2022, July 25, 2023
Indexed as: Maternity, Paternity, Birth, Adoption, Family Medical Leave, Compassionate Leave	Total Pages: 4

1. General Policy

The City of Sun Prairie recognizes that employees must balance work obligations with providing care for their families. To assist in this effort, the City provides their employees with paid time for Parental Leave and Caregiver Leave beyond leave required under the State and Federal Family Medical Leave Acts.

Specifically, this policy provides paid time in addition to accumulated time off (sick, vacation, compensatory time, etc.), extends eligibility to newly hired employees, allows time off for foster care placement, and expands the definition of immediate family member. This policy is not intended to extend time away from work beyond absences outlined under the Federal Family Medical Leave Act.

PARENTAL LEAVE: Employees who meet the eligibility criteria and have a qualifying event, shall receive **240 hours** (prorated for less than 1.0 FTE) of Paid Parental Leave once per year, or 80 hrs for Compassionate Leave.

CAREGIVER LEAVE: Effective February 4, 2020, all employees who meet the eligibility criteria shall receive 80 hours (prorated for less than 1.0 FTE) of Paid Caregiver Leave per year.

2. Definitions

1. Child(ren) – Parental Leave shall apply to all children under the age of 18. Caregiver leave shall apply to all minor or adult children of the employee. For the purposes of this policy, the child's parent must be an employee of the City of Sun Prairie.
2. Immediate Family Members include - employee's spouse/domestic partner, child, or parent of the employee.
3. Paid Parent Leave – is defined as 240 hours of paid leave to enable an employee to care for and to bond with their newborn, or a newly foster-placed or adopted child.
4. Paid Caregiver Leave – is defined as 80 hours of paid leave to provide care and support to immediate family members with a serious health condition.
5. Parent – is defined as a person identified on a child(ren)'s birth certificate, adoption certificate, certified copy of a foreign adoption order that has been registered with the State of Wisconsin, or other legal document certifying an adoption.
6. Qualifying event
 - a. Parental Leave: A qualifying event is defined as the live birth or adoption of a child on or after September 4, 2018. For foreign adoptions the qualifying event is the date the child enters the United States.
 - b. Paid Parental Leave-Compassionate Leave may be taken in the event of fetal loss that occurs at or beyond 24 weeks gestation. In such event, a maximum of 80 hrs for a block of time, not intermittently (prorated for less than 1.0 FTE) of Paid Parental Leave may be used and appropriate medical documentation is required.

- c. Caregiver Leave: A qualifying event may be defined as transporting family member to and/or from health/medical appointments related to a serious illness or injury as defined under the State/Federal FML Acts; facilitating communication with health provider helping to understand treatment, coordinate health care treatment and follow-up; monitoring and/or administering treatments, therapies or medicine; providing direct care to a family member to help meet personal needs that cannot be met during non-work hours. This can also apply to caring for a family member with a serious chronic condition.
 - d. Foster care placements are included; however, foster child placement is limited to one occurrence per year, independent of the number of children placed.
 - e. Additional limitations:
 - i. Sperm donors do not incur a qualifying event under this policy.
 - f. Surrogacy clarified: Employees receiving a child from a surrogate incur a qualifying event under this policy. An employee serving as a surrogate does not incur a qualifying event under this policy.
 - g. Multiples: In the case of multiple births (twins, triplets, etc.), all children are treated as one qualifying event. In the case of multiple children being adopted, all children are treated as one qualifying event.
 - h. One qualifying event per year. In the case of multiple qualifying events by an employee in the same year, the eligible employee will be entitled to only one instance of paid parental leave.
7. Eligible employee – is defined as an employee of the City of Sun Prairie who is entitled to accrue leave balances has and experiences a qualifying event. Limited term and Seasonal employees are excluded from this policy.

3. General Provisions

- 1. Paid Parental/Caregiver Leave may be used with other forms of leave. Paid Leave may be used consecutively with sick leave, vacation leave, unpaid leave, and other forms of leave available to the employee.
- 2. Paid Parental /Caregiver Leave shall run concurrently with leave provided under the Family Medical Leave Act, if an employee is eligible for FMLA.. Employees not eligible for FMLA may apply for this leave.
- 3. Eligible Employees must use all of their Paid Parental Leave within twelve months of the qualifying event. Any portion of the Paid Parental Leave remaining twelve months after the qualifying event is forfeited. The start date of an employee's Paid Parental Leave is at the employee's discretion, as long as the employee's Paid Parental Leave balance has not yet been forfeited.
- 4. Paid Caregiver Leave is limited to two weeks each calendar year. Unused hours are not eligible for carryover into the next year.
- 4. Employees may use Paid Parental /Caregiver Leave intermittently, with the approval of their supervisor.
- 5. Employees on paid parental/caregiver leave will continue to receive fringe benefits (dental insurance, health insurance, disability insurance, sick leave accrual, vacation accrual) provided under the Personnel Manual or union contract on the same basis as if working. Employees on Paid Parental/Caregiver Leave will also continue to receive compensation for holidays on the same basis as if working
- 6. Employees may only be approved for Paid Parental/Caregiver Leave once during a year.
- 7. If both parents of a qualifying event are city employees, each employee receives a Paid Parental/Caregiver Leave benefit.
- 8. Employees must provide documentation in a timely manner. At the time of application,

employees must provide documentation of the upcoming event. Eight weeks after the event, the employee must provide documentation that names the employee as a parent or foster care assignment.

4. Procedures

1. Employees who are eligible and anticipate experiencing a qualifying event must fill out and complete the Request for Paid Parental /Caregiver Leave form. This request form must be completed at least 30 days in advance from the anticipated date of the qualifying event. The Paid Parental/Caregiver Leave Request form must include the employee's expected start and end date of the employee's leave of absence.
2. Eligible employees must provide timely documentation of the upcoming qualifying event. Forms of documentation may include: a health care certification from a medical doctor, a certified copy of an adoption order listing the eligible employee as a parent, a certified copy of a foreign adoption order, or verification of foster care placement.
3. Employees must sign the request form acknowledging that they understand the policy, accepting that they intend to return to work and agreeing to provide proper documentation.
4. Human Resources will review the request and determine if the individual is eligible. If the request qualifies for Paid Parental or Caregiver Leave, Human Resources will approve the request and notify the employee and department.
5. Human Resources will credit the appropriate amount of time into a parent or Caregiver leave bank available to the employee after the qualifying event.
6. Full-time employees who qualify will receive 240 hours of Paid Parental Leave or 80 hours of Caregiver Leave. Part-time employees who qualify will have their benefit time prorated (e.g. Employee working an average of 20 hours/week may receive 120 hours of Paid Parent Leave and 40 hours of Caregiver Leave).
7. Employees are only able to use this time after the qualifying event.
8. If the date of the qualifying event is different from the anticipated date submitted on the application, it is the responsibility of the employee to notify Human Resources.
9. For Parental Leave, no later than eight weeks after the qualifying event, the employee shall provide a certified copy of a birth certificate, adoption certificate, certified copy of a foreign adoption order, verification of foster care placement, or other legal document that names the employee as a parent to Human Resources.
10. If an official city holiday occurs while the individual is on an approved Paid Parental /Caregiver Leave, the employee will receive holiday pay. (Official city holidays do not count against an approved Paid Parental/Caregiver Leave).
11. If an employee has any unused Paid Parental/Caregiver Leave twelve months after the qualifying event, that amount of Paid Parental Leave shall be forfeited.

5. Policy Interpretation

Questions regarding the application and interpretation of this policy should be directed to the Human Resources Department.

Request for Paid Parental or Caregiver Leave

Employee's Name: _____

If Caregiver Leave***name of family member & relation:*** _____**Reason for Leave:** _____

Employee's Department: _____

Expected date of qualifying event: _____

First Day of Parent / ***Caregiver*** Leave: _____Last Day of Parent / ***Caregiver*** Leave: _____**Acknowledgements:**

1. I understand that if I am eligible for FML, then I must submit an application for FML. Further, I understand that I must provide appropriate documentation of the upcoming event with the Leave of Absence request.
2. I understand that eight weeks after the qualifying event I must provide proper documentation to Human Resources. Copies of documentation include: a copy of the child(ren)'s birth certificate, adoption certificate, verification of foster care placement, certified copy of a foreign adoption order, or other legal document certifying an adoption.
3. I understand that to be eligible for Caregiver leave, I must provide proper documentation to Human Resources. Copies of documentation include health certification form from doctor providing services to family member whose care is needed.
4. I understand that I have up to twelve months from the date of the event to use the time provided by the Paid Parental Leave benefit and any time not used after this date will be forfeited.
5. I understand that I may use Paid Parental/Caregiver Leave intermittently I understand that any remaining amounts of Paid Parental /Caregiver Leave will be forfeited.

Employee's Signature: _____

Date: _____

Supervisor's Signature: _____

Date: _____

City of Sun Prairie Policy/Procedure

Title: Payroll and Benefits Coordination	
Policy Source: Human Resources Department	Creation Date: February 18, 1986
Application: All Employees	Revision Date: June 11, 2004, May 26, 2006, March 26, 2008, December 7, 2010, October 14, 2014, January 4, 2022, February 4, 2025, July 27, 2026
Indexed as: Benefits, Timesheets, Payroll	Total Pages: 6

1. General Policy

Employee compensation and benefits has the greatest impact upon the total operating cost of the City. Thus, direct and indirect wages must be accurately planned and intelligently controlled. The following programs have been implemented to provide a comprehensive benefit program to employees and are administered in the most cost effective manner.

Definitions:

1. Regular, full-time personnel are employees who consistently work the minimum workweek of 40 hours.
2. Regular, part-time personnel are employees who consistently work a schedule less than the minimum workweek (above), but not less than an average of 20 hours per week with an expectation of continued employment.
3. Limited Term personnel are employees who are hired for a specific period of time or for the duration of a specific project or groups of assignments, or employees who work less than 1200 hours each year.
4. Seasonal employees are those who work for a specific period of time (season) to complement the regular workforce.

2. Payroll

2.1 Payroll Periods and Designated Workweeks

The payroll period shall be two weeks in duration. Payment for wages will be made on the appropriated payday, except when the payday is an official City holiday. In such cases, the payment will be made the day before the holiday. For purposes of calculating employees' paychecks the following policies will be followed:

- A. Police Officers who work variable shifts shall have their biweekly paycheck computed based upon language of the contract. This provides for a consistently equal paycheck rather than fluctuating pay. Employees who begin and end employment within the pay period will be deducted an amount equal to the days not worked.
- B. The standard workweek for the City of Sun Prairie is Saturday-Friday. Exceptions to this rule include:
Fire/EMS, and PD (except Dispatchers) is Monday-Sunday
PRF Seasonals, including

Aquatics Center employees but excluding Parks Maintenance Seasonals workweek is Wednesday-Tuesday

Additional exceptions to the standard workweek may be established with City Administrator approval.

- C. Eligible employees will be compensated at a rate of time and one-half for authorized hours worked beyond 40 hours in their established workweek. Additional overtime provisions may exist. Employees should consult Union Contracts or nonunion Personnel Manual to determine eligibility.

2.2 Employee Time Entry Recordkeeping

All hourly employees will record hours worked for each biweekly pay period. Departments may collect this information through time clocks, timesheets, and electronic scheduling software. Any alterations to submitted data will be noted in the payroll process and employees will be notified. All payroll data will be submitted to the Finance Department by 10:00 a.m. of the Monday following the end of the pay period.

1. Time entry must be approved by the employee and supervisor. Payroll Summary pages must be completed and signed by the supervisor. .
2. All scheduled hours must be accounted for in the payroll processing detail. Time off will be scheduled in advance with supervisor approval. Balances of accrued time available are posted on the employee's pay advice and made available to all employees and supervisors. Employees are only allowed to borrow on their vacation time with prior supervisor approval.
3. Leave-with-Pay and Leave-without-Pay are used where the employee has been excused from scheduled work hours but not required to use their accrued paid time off balances.
4. Reason codes should be added to record time used for special circumstances such as Family Medical Leave, Bereavement Leave, Jury Duty, Workers Compensation, Furlough, etc.
5. All hours lost due to an on-the-job injury (including therapy and doctor appointments relating to the injury that could not be scheduled outside of the regular workday) should be recorded on the timesheet as Leave-with-Pay, reason: Workers Compensation. Please note that not all employees are eligible for full income continuation by the City during time away from work under the Worker's Compensation policy (e.g. seasonal employees).
6. Part time employees shall receive prorated Holiday time. Example: PT employee averaging 20 hours/week will receive 4 hours/day for each holiday even though they would have normally worked more/less hours on that day. Department Managers may provide paid holiday hours based upon each individual's scheduled work days, however in no case will employees receive more or less than the prorated total amount of paid holiday hours.
7. Employees may be eligible to receive a pay premium to work on certain holidays. Employees should consult their Union Contract or Nonunion Personnel Manual.
8. Requests for Time Off must be submitted in advance and approved by the Supervisor prior to taking the time off. Minimum notification periods vary among departments.
9. Generally, employees will not be allowed to be absent from work without sufficient accrued leave balances available. Special requests for Leave-without-Pay may be made under the Family Medical Leave Act or with the Department Manager's approval.
10. Time entry detail may only be changed with Supervisor approval. Corrected time entry detail must be submitted to Human Resources.
11. Employees must provide military orders and proof of pay rates to Finance prior to being paid for military leave hours in payroll.
12. All employees are expected to accurately report time worked and time off. Inaccurate payroll entries could be considered theft of time and employees willfully violating city policy will be subject to discipline up to and including termination.

2.3 Payroll and Special Check/Deduction Processing

The City will process an accurate bi-weekly payroll based upon the information submitted by the appropriate deadlines. Automatic payroll deductions shall be made for Federal taxes, State taxes, Social Security/Medicare (FICA) Taxes, and any other Court authorized deduction. The Sun Prairie City Council will determine any additional voluntary deduction programs such as: United Way, Deferred Compensation Programs, etc.

The Finance Department will determine if a special payroll run will be conducted when a processing error was made by a payroll clerk and the error creates a hardship for the employee. When the payroll error was made by the employees, the City will process the payroll based upon their regularly scheduled hours and corrections will be processed on the next regular payroll.

Special payouts (vacation, comp, holiday) will be taxed according to IRS rules (e.g. supplemental tax rates) regardless of whether it is included in the biweekly check or on a separate check.

The City may make deductions from employee wages for loss, theft, damage, faulty workmanship, or payroll errors. Any deductions made for the purposes listed must not decrease the employee's pay to such a degree that the paycheck is less than the Wisconsin minimum wage per hour, per DWD Administrative Code 272.03 Minimum Rates (1). Human Resources will contact the employee prior to initiating such deductions. The City will work with the employee to set up an acceptable re-payment plan that will minimize the impact on the employee's bi-weekly income.

Employees are charged the appropriate Clerk of Court (child support) and garnishment processing fees each pay period for court ordered deductions, per section 812.42 of the Wisconsin State Statutes.

2.4 FLSA Safe Harbor Policy

Under the Fair Labor Standards Act (FLSA), some employees are classified as exempt employees as they are exempt from the minimum wage and overtime requirements of the FLSA and are paid on a salary basis. Employees paid on a "salary basis" will regularly receive a predetermined amount of compensation each pay period and this predetermined amount cannot be reduced because of variations in the quality or quantity of the employee's work.

Subject to exceptions listed below, an exempt employee must receive the full salary for any workweek in which the employee performs any work, regardless of the number of days or hours worked. Exempt employees do not need to be paid for any workweek in which they perform no work. If the employer makes deductions from an employee's predetermined salary, (i.e., because of the operating requirements of the business), that employee is not an employee paid on a "salary basis." If the employee is ready, willing and able to work, deductions may not be made for time when work is not available.

Deductions from Pay are permissible under the following circumstances:

1. When an exempt employee is absent from work for one or more full days for:
 - personal reasons other than sickness or disability;
 - absences of one or more full days due to sickness or disability if the deduction is made in accordance with a bona fide plan, policy or practice of providing compensation for salary lost due to illness; to offset amounts employees receive as jury or witness fees, or for military pay; or
 - unpaid disciplinary suspensions of one or more full days imposed in good faith for workplace conduct rule infractions.
2. During the initial or terminal week of employment;
3. When penalties are imposed in good faith for infractions of safety rules of major significance, or
4. During weeks in which an exempt employee takes unpaid leave under the Family and Medical Leave Act.

In these circumstances, either partial day or full day deductions may be made.

The City of Sun Prairie prohibits supervisors from making any improper deductions from the salaries of exempt employees. The city wants its employees to be aware of this policy and to know that the city does not allow deductions that violate the FLSA. If an employee believes that an improper deduction has been made to their salary, they should immediately report this information to their direct supervisor or to the Director of Human Resources.

Reports of improper deductions will be promptly investigated. If it is determined that an improper deduction has occurred, the employee will be promptly reimbursed for any improper deduction.

2.5 Flexible Spending Accounts

Flexible Spending Accounts, also referred to as “Employee Reimbursement Accounts”, are authorized under Section 125 of the Internal Revenue Code.

The Section 125 Plan is designed to give the employee the opportunity to increase their take-home pay by using pre-tax compensation to meet their benefit needs. The Plan has three different parts:

- Automatic Premium Conversion, the pre-tax treatment of your payroll deduction premiums for group health and group life insurance (excluding spouse and dependent life insurance costs); and dental and excess medical insurance plans.
- A tax-free Medical Expense Reimbursement Account
- A tax-free Dependent Care Reimbursement Account.

For more information on this program, see the *Section 125 Plan* policy available in Human Resources.

2.5 Early Release of Payroll Checks

The regular payday is every other Friday. When the payday falls on a banking holiday, check dates and deposits will be made on the prior business day.

2.6 Direct Deposit

The City mandates that all employees participate in the direct deposit program. Employees must notify Human Resources by completing an authorization form with account numbers and bank transit routing numbers. The employee will receive a direct deposit advice showing the rate of pay, hours worked and the amount and reason for all deductions via an email address provided.

Once an employee is signed up for direct deposit, it is their responsibility to provide sufficient notice to Human Resources if they wish to change accounts. Inaccurate account information will delay the deposit. For more information, contact Human Resources.

3. Benefits Coordination

The City of Sun Prairie provides multiple benefits programs. Such benefits are coordinated to provide maximum coverage but will not provide for a duplication of payment to the benefit of the employee. If an employee submits a reimbursement request for qualified expenses, the same expense is not eligible for reimbursement under a separate plan.

3.1 Prorated Benefits

Newly hired employees are eligible for prorated annual benefits according to their respective union contracts or personnel manual.

- Employees who begin employment after July 1 and prior to October 1 shall be entitled to use one-half of a personal day and those who are hired after October 1 are not entitled to a personal holiday for that year.

It is a policy of the City to review the proration of benefits (sick leave, vacation, holiday and insurance premiums) of part-time employees annually. Part-time workers whose hours fluctuate are given every benefit provided by the City.

3.2 Health Insurance Coordination for City employees married to City employees

City of Sun Prairie employees who are eligible for insurance coverage and marry other city employees will be allowed to continue two separate insurance plans when the premium cost to the City does not exceed one (1) family plan coverage.

3.3 COBRA

Human Resources manages all health benefit enrollment/change processes; an annual dual choice program; and the COBRA (Consolidated Omnibus Budget Reconciliation Act) administration for all members of City of Sun Prairie health plans.

Employees are required to contact Human Resources with Family Status Changes that require a change in insurance coverage. Appropriate notification is given to plan participants, spouses and/or dependents regarding insurance coverage. Employees may be liable for additional expenses if they fail to make contact in a timely manner.

3.4 Vacation Carry-Over

It is the intent of this policy to encourage all employees to utilize their vacation for the purpose of being away from work. The City feels this is an important part of the overall well being of the employee.

1. Employees are limited to a carry-over of two weeks of unused vacation [twelve (12) days for sworn officers working a 6-3 work shift, and 96 hours for Fire Battalion Chiefs].
2. Please refer to appropriate union contracts for additional parameters to vacation carryover.

3.5 Disability/Bereavement – Reinstatement of Vacation Days

Employees are able to have a part or all of their scheduled vacation time reinstated if they have sustained a disability or death in the immediate family during their scheduled vacation period under the following guidelines:

1. If during an approved vacation period, an employee submits a written medical verification that he/she sustained an injury or sickness that disables them, the Department Manager may reinstate the vacation day(s) that occurred during the disability. The employee may be permitted to use Family Medical Leave or accumulated sick leave benefits instead of the vacation benefit for these days that the disability existed. The employee must request the reinstatement of vacation time IMMEDIATELY upon returning to work. Disability for purposes of this procedure shall be defined as the employee being incapacitated to a point where he/she cannot perform routine functions. (i.e. confined to a hospital, wheelchair, etc.)
2. If during an approved vacation period, an employee submits a verification that someone in his/her immediate family died, the employee will have his/her vacation days reinstated so that the employee will be provided the number of bereavement days as defined in the City Collective Bargaining Agreements or Personnel Policies. Those days not covered by the respective Bereavement Policy shall be charged against the employee's vacation.

Each respective case must be reviewed by the Department Manager to insure that the verification is acceptable. The verification should be a medical statement submitted by a qualified source (doctor) indicating the employee's disability and the dates that the employee was affected by the disability. Only when all of these requirements are fulfilled, should the Department Manager reinstate the employee's vacation days(s) by forwarding all information to Human Resources.

Attendance and Eligible Benefits

Employees must work the day before and the day after their scheduled vacation. Employees who are absent from work the day before and/or the day after their scheduled vacation shall not be eligible for Sick Leave compensation for the absence(s) unless the absence(s) is approved by the immediate supervisor.

To be eligible for holiday compensation, employees must be on active pay status or on approved Family Medical Leave the workday immediately before and immediately after the holiday. Employees who are absent from work the scheduled workday before and/or the scheduled workday after the holiday, shall not be eligible for holiday compensation unless the absence is approved by the Supervisor.

When scheduled to work on a paid holiday, if the employee is unable to report to work, he/she shall not be eligible for the holiday compensation. Under no circumstances will an employee be compensated with both holiday pay and sick leave pay when the employee is unable to report to work on a scheduled holiday.

Sick leave shall not be utilized by any City employee because of the unavailability of daycare/baby-sitting services.

Regular part-time and full-time employees who are called to serve on a jury and causes the loss of regularly scheduled work, shall receive full pay for such time lost. To be eligible for full pay the employee shall turn over to the Finance or Human Resources Department all fees paid to him/her by the court, excluding parking fees or mileage reimbursements.

3.6 Bone Marrow Donation

An employee may receive up to ten (10) days of paid leave each year to donate bone marrow. This time may be used for travel, donation, and recovery from the procedure and is in addition to accumulated vacation and sick leave available. The employee must request use of this time through their Department Manager with sufficient notice, and receive final approval from the City Administrator. Although the City encourages this donation, this should not be considered a guaranteed benefit. Approval of time off will depend upon the needs of the department.

4. Policy Adoption and Interpretation

Questions regarding the application and interpretation of this policy should be directed to the Finance office or Human Resources.

City of Sun Prairie Purchasing Policy

Title: Purchasing Policy	
Policy Source: Finance Committee	Creation Date: 10/15/02
Application: Financial Management	Revision Date: 8/4/15, 2/6/18, 12/5/23
Indexed as: Purchasing Policy	Total Pages: 9

1. General Policy and Purpose

The purchase of goods and services is a central function of the City of Sun Prairie. A fair, efficient and accountable purchasing process is vital to providing quality services and maximizing the value obtained for taxpayer dollars. It is the responsibility of all City employees and elected officials to ensure that purchases are made in the best interest of the City. The procedures outlined in this policy are intended to provide an effective and efficient means of meeting this goal.

2. Definitions

Sole Source – An item shall be considered sole source if there is only one vendor that supplies the item and there is no equivalent substitute. Items that are made by one manufacturer but sold through multiple vendors are not to be considered sole source.

- The item or service is only available from a single source;
- After competitive procurement solicitations, competition is determined to be inadequate;
- An alternate product or manufacturer would not be compatible with current products resulting in additional operating or maintenance costs;
- Standardization of a specific product or manufacturer will result in more efficient and economical operations;
- The purchase is from another governmental body;
- The item is being purchased through a cooperative purchasing arrangement such as the V.A.L.U.E. group, State bid list, or State of Wisconsin VendorNet.

Informal Quote – An informal quote may be obtained verbally or by examining published prices. When soliciting an informal quote, the department should maintain documentation of who provided the quote and when it was obtained.

Formal Quote – A formal quote must be supplied in writing. Formal quotes may be received by letter, fax or email. Documentation of the quote should be maintained throughout the purchasing process.

Formal Bid – A formal bid process requires that vendors provide sealed bids prepared in response to specifications provided by the City. The bids should be opened publicly and the documentation should be maintained throughout the purchasing process.

Surplus Property - City property may be declared surplus when it is no longer necessary, practical, or economical to be retained by the City.

3. Objectives

- To create a competitive, fair and ethical purchasing process that will ensure that the maximum value is obtained for every dollar expended;
- To allow the City to obtain quality goods and services that will allow for the provision of programs in a timely and effective manner;
- To establish a standardized purchasing process that will promote equity and efficiency;
- To provide adequate budgetary and cost controls;
- To conduct all purchasing in a manner which ensures equal opportunity and non-discrimination;
- To ensure that the entire purchasing process meets the highest ethical standard without conflict of interest or the appearance of impropriety.

4. Roles

- City Council – Approves the City budget, which allocates funds for all purchases. Council approval is required to change budget levels, authorize borrowing, acquire property, or to approve new programs.
- Mayor – Annually presents a balanced budget to the Council. If all the steps required by section 6 of this policy or state statute section 62.15 have been completed for the purchase of a good or service and a written contract is required to make that purchase, the Mayor is authorized to cosign contracts on the City's behalf. See resolution 18/XXX.
- Public Works Committee/Parks, Recreation, and Forestry Commission – According to state statute 62.15(1), "All public construction, the estimated cost of which exceeds \$25,000, shall be let by contract to the lowest responsible bidder; all other public construction shall be let as the council may direct." The Public Works Committee and Parks, Recreation, and Forestry Commission oversee the process of approving the award of public construction contracts in accordance with this statute. Public construction includes capital improvements such as street reconstruction, stormwater facilities, park improvements, and municipal buildings.
- City Administrator – Approves purchases of materials, equipment and services in excess of \$50,000. This authority may be delegated to the Director of Administrative Services or Finance Director. The City Administrator may approve budget adjustments within departments. If all the steps required by section 6 of this policy or state statute section 62.15 have been completed for the purchase of a good or service and a written contract is required to make that purchase, the City Administrator is authorized to cosign contracts of up to \$50,000 on the City's behalf. See resolution 23/XXX
- Finance Department – Oversees all City purchasing and monitors compliance with the City purchasing policy. Approves purchase orders for items in excess of \$5,000 and less than \$50,000 or as delegated by the City Administrator. Monitors expenditures in comparison to budgeted levels. If all the steps required by section 6 of this policy or state statute section 62.15 have been completed for the purchase of a good or service and a written contract is required to make the purchase, the Director of Administrative Services is authorized to cosign contracts of up to \$50,000 on the City's behalf. See resolution 23/XXX.
- Department Heads – Department Heads or their designees are responsible for making necessary purchases for their departments within the confines of the City purchasing policy and approved budget. They are also responsible for receiving items and verifying that the terms of the purchase have been completed. Department Heads are also responsible for administering replacement plans within their area of authority.

- **City Employees** – Make purchases and receive items with the approval of their Department Head. All employees who are authorized to make purchases are responsible for following the City's purchasing policy and ensuring that purchases are made under the highest ethical standard.

5. Competitive Purchasing

In general, the City can obtain the highest quality goods and services at the lowest price by following a competitive purchasing process. It is City policy to obtain at least three price quotations from different suppliers prior to making a purchase. Exceptions to this requirement are allowed for in this policy only when it is in the best interest of the City. Potential exceptions include:

- Purchases for which there is only one (or two) supplier(s) [sole source products]
- Emergency purchases
- Purchases under \$10,000 from a supplier that has offered the best price and quality for a category of items based on periodic bids/proposals solicited by the City at least annually. The Finance Department will take the lead in researching and soliciting proposals for items that are used by multiple departments.
- Purchases made from the state bid list.
- Certain professional services where the City Administrator has waived the competitive bid requirement due to the quality of the firm and the service to be provided. Quotes from various vendors should be obtained periodically and should be one of the factors in selecting the vendor to perform the service.

6. Purchasing Requirements

The process for making purchases varies depending on the total cost of the purchase. The staggering of purchases or dividing purchases to intentionally evade this policy is strictly prohibited.

Purchase Cost	Authority Required	Purchasing Process	Competitive Requirement
Less than \$10,000	Department Director or Designee	Purchase Order/Procurement Card	Periodic quotes or 2 informal quotes
Over \$10,000 and less than \$50,000	Finance Department	Purchase Order/Procurement Card	3 formal quotes
Over \$50,000	City Administrator	Purchase Order/Procurement Card	Formal Bid Process

6.1 Purchases Under \$10,000

Purchases under \$10,000 may be made with the approval of City Department Heads or their designees. Whenever possible, at least two informal (verbal) price quotations must be obtained prior to making the purchase. Quotations are not required for items purchased from a vendor that has offered the best price and quality on a category of items based on periodic bids/proposals solicited by the City at least annually. Department Heads are responsible for monitoring all purchases made using this procedure to ensure that the City is receiving a high value for its expenditures. For items that are purchased regularly or by multiple departments, departments are encouraged to explore the possibility of cooperative purchasing or purchasing in bulk in order to reduce City costs.

6.2 Purchases of at least \$10,000 and under \$50,000

Purchases of at least \$10,000 and less than \$50,000 require the prior approval of the Finance Department. Department Heads or their designees are responsible for obtaining and documenting at least three formal (written) price quotations for the proposed purchase. This information is provided to the Finance Department along with a Request for Purchase Order. The request should also include a description of the item, the account number where it was budgeted and the vendor selected. If the selected vendor does not offer the lowest price, the request should include an explanation of why another vendor is recommended.

The Finance Department reviews the request to determine compliance with the City's budget and purchasing policy. If approved, the Finance Department will issue a purchase order to the department. This purchase order should be used when making the purchase and the purchase order number must be written on the invoice when it is submitted for payment.

Equipment in excess of \$5,000 per unit is considered a major capital item and should be budgeted as part of a budget initiative or replacement plan. When purchased, the department should code the payment to the account number where the item was budgeted.

6.3 Purchases of \$50,000 and over

All other purchases of materials, equipment and services in excess of \$50,000 require the approval of the City Administrator prior to completing the purchase or signing the contract. In general the City requires an RFP process with at least three proposals for purchases of this size. The City Administrator may waive the bid or RFP requirement for professional services if he or she determines that it is the City's best interest.

Public construction projects with an estimated cost greater than \$25,000 require approval of the Public Works Committee and must be let by contract to the lowest responsible bidder as required in Wisconsin State Statute 62.15(1). Also per statute 62.15 the City Council may by a three-fourths vote

provide by ordinance that any class of public construction project may be done directly by the city without submitting the project for bids.

Department Heads or their designees work in conjunction with the Finance Department to conduct the public bid or RFP process. If a contract is required, the department will work with the Finance Department and the City Attorney to draft a contract for signature by the Mayor or City Administrator. The contract will then be presented to the Common Council for approval. Then the department will prepare a Request for Purchase Order. The request should also include a description of the item, the account number where it was budgeted and the vendor selected. If the selected vendor does not offer the lowest price, the request should include an explanation of why another vendor was chosen.

7. Purchasing Issues

7.1 Discounts and Master Purchase Agreements

It is the City's policy to take advantage of vendor discounts for prompt payment whenever possible in order to minimize the cost of a purchase. Department Heads are responsible for determining if

discounts are available and for working with the Finance Department to obtain the lowest price. Some vendors offer discounts for prompt payment. When possible, Departments can aid the City by approving invoices and submitting them for payment on the same day that the materials or services are provided.

Often, significant discounts are available to the City through master purchasing agreements. Under these agreements, vendors negotiate discounted prices with a municipality or organization and agree to offer the same prices to other municipalities. The Finance Department will seek to identify discount agreements and periodically review them to determine which vendors offer the best overall value for the City. Finance will then work with other departments to obtain the discounted pricing.

7.2 Collective Purchasing

Cooperative purchasing arrangements can result in significant savings by pooling purchasing power. It is the City's policy to utilize collective purchasing between City departments or with other units of government when savings can be obtained without sacrificing the quality or availability of the product or service.

The Finance Department shall have the authority to analyze the desirability of cooperative purchasing arrangements and make recommendations to Administration. The City Council encourages cooperative purchasing, but maintains the right to reject any such arrangements with other units of government.

7.3 Shipping and Freight Charges

It is the policy of the City to avoid paying shipping charges whenever possible. If the City is to pay shipping charges, it must be billed at the time of invoicing. Department Heads, when obtaining price quotations should inquire into applicable freight charges. Any charges to be paid by the City will be regarded as part of the price quotation when selecting the successful bidder. Unless otherwise stated

in the "notice of call for bids", all formal bid proposals shall include freight and delivery charges, if any.

7.4 Receiving and Inspecting Items

Department Heads, or their designees, are responsible for receiving and inspecting all deliveries to their departments to ensure that items received conform to the specifications and quantities set forth in the purchase order. All deliveries should be thoroughly inspected to ensure that materials are received in satisfactory condition. If there are any discrepancies, the Department Head or designee should contact the vendor and resolve the issue before submitting the invoice for payment. When items are sent in multiple shipments, the department should clearly indicate which items have been received and accepted when approving the invoice for payment.

ent in multiple shipments, the department should clearly indicate which items have been received and accepted when approving the invoice for payment.

7.5 Submitting Items for Payment

Once the purchasing department has verified that the purchased items have been received in a satisfactory condition, the original invoice should be submitted to the Finance Department for payment. It is the City's policy to not pay from statements or photocopies of invoices. If it is not

possible to obtain an original invoice, a faxed copy may be used if the Department Head verifies that the vendor has not already been paid for the item.

When submitting an invoice for payment, the Department Head or designee should indicate the amount to be paid, the account number it should be charged to, and initial and date the invoice. If it is not possible to obtain an invoice, a Check Requisition Form should be completed with the same information. In addition, the Department Head or designee should include a description of the item purchased and attach any supporting documentation. This form must be signed by the requesting employee, the Department Head and the Finance Department.

The Finance Department processes checks and issues payments to vendors to be approved as a warrant by the City Council. At each regular City Council meeting, a list will be provided of all payments included in that payment cycle, identifying those that were issued by manual check and/or released for payment prior to Council meeting.

Whenever possible, invoices should be submitted to the Finance Department prior to the cut-off date for these warrants. The schedule of the warrants and cut-off dates will be provided by the Finance Department. Manual checks will be issued in between warrants only when it is not possible to include payment in the next warrant. Contractor payments will not be issued between warrants unless required by the terms on the contract. All final retainage payments will be held until they have been presented to the City Council.

If a Council Member has concerns regarding payments to a particular vendor or class of vendors, he or she may request to review pending payments. Information would then be sent to all Council Members for a specified period to provide comments. If no comments are received during this period, the item may be released for payment. However, if an objection is raised during the comment period, the payment in question shall be held until the next regular City Council meeting.

7.6 Credit Card Purchases

The City maintains credit card accounts that may be used when it is impractical or inefficient to follow the normal payment process. The Finance Department maintains City credit cards that may be temporarily issued to City employees with the approval of their Department Head. Additional credit cards may be issued to City employees with the approval of the Department Head or Finance Director.

Purchases made with credit cards must follow the normal purchasing guidelines and require the same approval process. After making a credit card purchase the Department Head or designee should code and initial the receipt and turn it into the Finance Department as soon as possible and prior to the next statement date. The Finance Department will verify the purchases and issue a check to the credit card company prior to the statement due date. City credit cards should not be used for personal purchases. It is City policy to avoid paying any credit card finance charges. It is City policy to avoid paying any credit card finance charges.

7.7 Internet Purchases

City employees may use the Internet to make purchases if they follow normal purchasing guidelines and the same approval process. Internet purchases are not permissible in situations where a sealed bid

is required. Employees should only make purchases from vendors that they are familiar with and where there are appropriate safeguards to protect the City's interests. Whenever possible, Internet purchases should be charged to a City account and invoiced for payment. City credit cards may be used for Internet purchases when necessary, if the transaction is conducted through a secure connection. Any concerns regarding the security of the information should be directed to the Information Technology Department. The IT Director will have the final authority to determine if an Internet transaction provides sufficient security.

7.8 Petty Cash Account

The City maintains a petty cash account to expedite miscellaneous purchases and the payments of small bills when it is not practical to follow the City's normal payment procedures. Any City employee, with approval of his or her Department Head, may use the petty cash fund within the guidelines listed below. The petty cash fund should not be used as a means to circumvent the normal purchasing process or to pay for personal services. The Finance Department is responsible for administering the petty cash funds and shall determine what is an appropriate use of the fund. and shall determine what is an appropriate use of the fund.

To be eligible for using the petty cash fund, the following requirements must be met:

- The item purchased must not be regularly stocked
- The purchase must not be from a vendor where the City maintains an active account
- The purchase price must not exceed \$25 (The Finance Department may waive this dollar amount in certain situations)

Petty Cash Procedure

Finance staff may take funds from the petty cash box and issue them to an approved employee. The employee must complete and sign a petty cash voucher indicating the amount withdrawn, the date, and the intended purchase. Once the purchase has been made, the employee must turn in the receipt and any change to the Finance staff. The petty cash voucher will be completed by listing the purchase price, change returned and the account number to code the purchase. The Finance staff initials the completed voucher.

7.9 Employee Reimbursements

Generally, employees should avoid making City purchases with their own funds. If the need arises to purchase an item for the City with personal funds, the employee must submit the receipt and an Expense Reimbursement Form to the Finance Department. This form should include a detailed listing of the items purchased and must be signed by the employee to be reimbursed, his or her Department Head and the Finance Department. Once approved, a reimbursement will be made through the next payroll process. It is the responsibility of the employee making the purchase to ensure that any available discounts are applied and that sales tax is not included.

7.10 Equal Opportunity/Non-Discrimination

The City of Sun Prairie endorses and actively supports equal opportunity and a nondiscrimination policy. Therefore, it shall be a City requirement that all potential bidders be provided with equal opportunity to submit bids and to compete on an equal basis for City business.

All purchase orders and contracts to which the City of Sun Prairie is a party, shall contain a nondiscrimination in employment cause which provides:

“The vendor agrees that in performing under this purchase order with the contracting municipality, he/she shall not discriminate against any worker, employee or applicant, or any member of the public because of race, creed, color, national origin, handicap or sex. The vendor further agrees that this clause will be incorporated in all contracts entered into with suppliers of materials or services who may perform any such labor or services in connection with this contract.”

8. Exceptions to Routine Purchasing Procedures

8.1 Emergency Purchases

Emergency purchasing procedures should be used only when normal purchasing channels are not available. Emergency purchases may be made:

- When there is need for immediate delivery of items.
- To prevent delays in work or construction schedules.
- When there is an immediate threat to public health or safety, or
- To meet emergencies rising from unforeseen causes.

For emergency purchases under \$10,000, the normal purchasing procedures should be followed. However, for emergency purchases over \$10,000, the Department Head should take the following steps:

- If an emergency purchase is needed during regular working hours, notify the City Administrator and obtain approval prior to making the purchase.
- If an emergency purchase is needed after regular working hours or on a holiday, Department Heads (or their authorized designees) may authorize the purchase.
- A purchase requisition form together with a written explanation of the emergency must be prepared and forwarded to the Finance Department within two (2) working days after making the purchase.

8.2 Blanket Purchase Orders

Blanket purchase orders are used for those vendors from whom many repetitive purchases are made as supplies are required. Rather than issue a purchase order form for each purchase, one order is issued for a specified period (e.g., month) to cover all purchases made during that period. Blanket purchase orders will be limited to a term of one year.

Materials and services for which blanket purchase orders are used will be determined by each Department Head and approved by the Finance Department. (NOTE: If it is found that the same small items are frequently purchased under blanket purchase orders, the Department Head shall be responsible for exploring the possibility of purchasing and stocking of these items).

When requesting the issuance of a blanket purchase order, the Department Head should obtain price quotations on representative items from at least three vendors. The Department Head should then prepare a written request for the Finance Department that includes:

- The need for blanket purchase order
- The suggested vendor

- The suggested term of blanket order (e.g., 1 month, 6 months)
- The maximum amount of purchases to be made under the blanket order
- The total amount budgeted for such purchases.

The Finance Department will review the request and check the budget to verify that adequate funds are budgeted and available. Based on this information, the Finance Department shall indicate approval or denial of the request. If the request is approved, the Finance Department will issue a purchase order number that should be used when ordering any items under the blanket purchase order. The Department Head should include this number when the invoices are submitted for payment. Before a new blanket purchase order is issued, the Department Head should obtain competitive price quotations from alternate vendors.

9. Surplus Property Policy

City property is declared surplus when it is no longer necessary, practical, or economical to be retained by the City. Department Heads are responsible for identifying surplus items in their departments and arranging for their sale or disposal. Items may be sold prior to end of their useful life if it is determined that it is in the City's best interest to take advantage of the current salvage value of the item. If an item is sold or donated, City employees should not receive preferential access compared to the general public. The City Administrator has the authority to approve or deny the proposed use or sale of surplus property.

Once a Department Head has identified surplus property, he or she should determine if the item is of use to another department. If the surplus property has no further economic use to the City, the Department Head should determine the best disposal method and forward a recommendation to the City Administrator. Upon the City Administrator's approval, the Department Head should proceed with the disposal and provide the Finance Department with a description of the item, the quantity disposed of, and the sale price. This policy does not apply to the disposal of abandoned property acquired through police or statutory action.

City of Sun Prairie Change Order Policy

Title: Change Order Policy	
Policy Source: City Finance Office	Creation Date:
Application: All Employees	Revision Date: June 16, 2004 April 4, 2019, December 5, 2023
Indexed as: Purchasing, Change Orders	Total Pages: 4

I. Purpose

The purpose of this policy is to define how change orders are to be completed and to what extent levels of authority are derived for authorization of change orders. This policy is intended to work with the existing Purchasing Policy and applicable State Statutes. Use of the Change Order Policy to avoid compliance with either the City Purchasing Policy or State Statutes is forbidden.

II. Scope and Authority

This policy applies to all City contracts including capital roadway/street projects, construction projects, utility projects, consultant contracts, and other professional services. The committee approving the original contract or agreement has authority over change orders for that contract – the Public Works Committee has authority over all public works contract change orders and the Committee of the Whole has authority over change orders in other areas.

III. Project Procedure

- A) Project Budget – At the time a contract is awarded, the authorizing committee shall also establish a project budget including the base contract amount, any anticipated contract options, non-contract costs, and an appropriate contingency. The committee shall identify the cumulative allowed change order limit per section IV of this policy and may specify any modifications to this policy that will apply to the contract due to an unusual scope or circumstances. For projects with multiple contracts or components, the project budget should be established in conjunction with the largest, or primary contract.
- B) Project Updates – Prior to each regularly scheduled meeting of the authorizing committee, the project manager shall inform the committee chair of any significant issues regarding open contracts and of any change orders that have been approved since the last meeting. The project manager and committee chair shall determine if a discussion of approved change orders shall be added to the meeting agenda. .
- C) Consideration of Change Orders – Change orders shall be considered by the committee approving the initial contract. Once a committee approves any change order, it will be included in the total amended contract cost. All change orders shall be approved by the appropriate committee prior to final payment on the contract.
- D) Project Review – Prior to making the final payment on a contract, the project manager shall provide a review of the project's status to the committee. This review should include the project budget and any amendments, a recap of contract change orders, the final expenditures for the contract, other project costs incurred or anticipated, and the projected final project cost.

This report can be provided at a committee meeting or by memo at the discretion of the committee chair.

IV. Change Order Procedure

- A) Cumulative Change Order Limits – Contracts shall be subject to a cumulative limit for all positive change orders. This limit shall be set at 10% of the total cost of the contract. Change orders may be approved up to these limits according to the guidelines in part (B) of this section. Once the authorizing committee has approved a change order, it will be included in the total contract cost and will no longer count toward these limits. Subsequent change orders will be calculated on the amended contract amount. Negative change orders will adjust the total contract cost, but are not included when applying the cumulative change order limit. However, in no case may the cumulative change orders exceed the statutory limit of 15% higher or lower than the original contract for public construction.

- B) Individual Change Order Thresholds

Up to \$2,500

Project Managers may approve change orders for contract adjustments up to \$2,500. This authorization may be given verbally with written documentation of the change order to be completed within two business days.

Over \$2,500 to \$25,000

Change orders for contract adjustments over \$2,500 up to \$25,000 must be approved by the City Administrator, Director of Public Services, or Director of Administrative Services.

Over \$25,000

Change orders for contract adjustments over \$25,000 must be authorized by the City Administrator, Director of Public Services, or the Director of Administrative Services and the authorizing committee chair. Change orders in excess of the 10% must be approved by the authorizing committee. If none of these individuals can be contacted, the change order may be authorized provided that notification is sent within 24 hours. The authorizing committee shall review the temporary change order at its next regular meeting.

- C) Negative Change Orders

Change orders that result in a reduction in the total contract cost without changing the scope or quality of the project, may be approved by the City Administrator, Director of Public Services, or Director of Administrative Services. Negative change orders shall be presented to the authorizing committee at the next regular meeting and once accepted by the committee will adjust the total contract cost. Negative change orders do not apply when determining cumulative change order limits. Cumulative negative changes may not exceed the statutory limit of 15% of the original contract for public construction.

D) Notification

Written documentation of any approved change order shall be provided to the Project Manager, City Administrator, and Director of Administrative Services within two business days of its approval. Regular project updates and a final project review shall be provided to the authorizing committee as outlined in section III.

CHANGE ORDER FORM

Project:

Amended Contract Cost:

Date:

Cumulative Change Order Limit:

Change Order Number:

Current Change Orders:

Describe proposed change: _____

List changes in quantities:

Item (line number)

+/- quantities

+/- costs

Total

City of Sun Prairie

General Contractor/Consultants

Authorized by:

Authorized by:

its:

its:

City of Sun Prairie

City of Sun Prairie

Authorized by:

Authorized by:

its:

its:

Copies to: Director of Administrative Services
Project File

City of Sun Prairie Policy/Procedure

Title: Employer – Grant Application Process	
Policy Source: City Administrator's Office	Creation Date: August 2, 2011
Application: All Departments	Revision Date: April 18, 2023, December 5, 2023
Indexed as: Grants	Total Pages: 3

1. General Policy Purpose and Goal

- A. It is the goal of every City department, commission, and board (City entity) to seek out additional funding sources for our operations. These revenues can be from a variety of sources including federal, state, local and non-governmental grants.
- B. The goal behind this policy is to establish the approval process for making an application. While all City entities should always be looking for grants, the long-term need and costs associated with the grant must be considered.

2. Grant Application Procedures

- A. The Department/Division Head (or a designee) and the Grants/Contracts Coordinator will review the current grants available and determine if any grant will provide the following benefits:
 - Additional funding for a project
 - Funding for a new employee
 - Funding for current projects and/or, equipment, or property
 - Funding that would establish a new or expanded program for the City

Prior to completion of the grant application, the Department/Division Manager and the Grants/Contracts Coordinator will discuss the grant with the City Administrator (or a designee) and Finance Director.

- B. As part of the application process, the Department/Division Head and the Grants/Contracts Coordinator will verify funding requirements, sources of funds, and the long-term costs to the City with the Finance Department. The Department/Division Head must determine whether an expenditure of City funds, either direct or indirect, is associated with or required by the grant. If no additional expenditure is needed, or if the department/division's approved annual budget can support any additional expenditures associated with the grant, then the Department/Division Head shall utilize the standards outlined in part C of this policy. Grants that require unbudgeted expenditures because of its acceptance must be approved by the Committee of the Whole prior to application submission. Should the grant be awarded to the City, the Department/Division Head and the Grants/Contracts Coordinator will bring forward a budget amendment to Council for approval.

C.

Grants valued at \$9,999 or less and that do not require additional expenditures that exceed the department/division's approved budget may be approved by the Department/Division Head.

Grants valued between \$10,000 - \$49,999 that do not require additional expenditures that exceed the department/division's approved budget may be approved by the City Administrator.

Grants valued at \$50,000 or more must be approved by the Committee of the Whole.

As stated in part B of this policy, regardless of the grant's value, a grant that will require unbudgeted expenditures as a result of its acceptance must be approved by the Committee of the Whole prior to application submission.

3. Acceptance of the Grant

- A. Upon notification by the Grantor of its determination, the City entity will submit the notification to the City Administrator. The City Administrator will notify the Council of the results of the application. If approved in part or in full, the item will then be placed on a future Committee of the Whole agenda for final consideration.
- B. Upon approval by the Committee of the Whole, formal Council action will only be taken if required by the grant application.

CITY OF SUN PRAIRIE
GRANT APPLICATION REVIEW FORM

Requesting Department _____

Estimated Grant Amount _____

City Match Requirements _____

Funding Source for Match _____

Granting Agency _____

Program Name _____

Grant Application Deadline _____

Estimated Grant Period _____

Description of grant:

Please attach the following documents, as appropriate:

- Granting agency description of the grant program
- Grant application form(s)
- Grant application abstract
- Documentation to be included with grant application

Department Head Signature

Date

Finance Director Review: _____ Recommend Approval _____ Recommend Denial

Comments: _____

Finance Director Signature

Date

City Administrator Review: _____ Recommend Approval _____ Recommend Denial

Comments: _____

City Administrator Signature

Date

City of Sun Prairie Policy/Procedure

Title: Recruitment and Selection	
Policy Source: Human Resources Division	Creation Date: May 15, 2000
Application: All Departments	Revision Dates: October 30, 2002, January 24, 2005, May 2, 2006, March 7, 2014, March 27, 2018, August 26, 2022
Indexed as: Hiring, Recruitment, Testing	Total Pages: 6

1. General Policy

The City of Sun Prairie desires to make it known that all people are welcome in our community and has therefore undertaken aggressive efforts to locate, recruit, and hire qualified candidates that will diversify the City's workforce. The Human Resources Division along with all staff and managers recognize that a diverse workforce will result in the introduction of innovative ideas and provide varying and unique perspectives.

As the City of Sun Prairie recruits and selects qualified persons for positions with the City, including full-time, part-time, seasonal and limited term appointments, such recruitment and selection shall be conducted in a manner to ensure open competition and provide equal opportunity to persons without regard to actual or perceived race, color, creed, religion, national origin, ancestry, age, sex/gender, disability, arrest/conviction record, marital status, sexual orientation, gender identity and/or gender expression, political affiliation, results of genetic testing, honesty testing, pregnancy or childbirth, military service, disabled veteran or covered veteran status, service in the U.S. Armed Force, the State Defense force, National Guard of any state, or any reserve component of the United States or State military forces, use or nonuse of lawful products off the employer's premises during nonworking hours, or an individual's affiliation with or perceived affiliation with any of these protected categories.

2. General Procedures

Recruitment and selection of candidates for positions, including promotions and transfers as well as new hires, are cooperative efforts between City Departments and the Human Resources Division. Selection of candidates shall be made by the Department in which the vacancy exists. The Human Resources Director will not overrule the Department's selection except to raise affirmative action issues, in which case the City Administrator or Utility Manager will resolve any conflicts.

The Human Resources Division is responsible for ensuring that City policies and procedures and State and Federal Laws are carefully complied with throughout the hiring process. Therefore, no recruitment and selection process may begin without the notification of the Human Resources Division and no offer of employment may be made without the approval of the City Administrator, Utility Manager or Human Resources Division.

Recruitment and selection of sworn police officers and Library employees are governed by the additional rules and regulations of the Police and Fire Commission and Library Board respectively.

Procedures for the recruitment and selection of seasonal and limited term employees may vary slightly from this policy due to the limited nature of the work assignment.

3. Recruitment

The first step in the recruitment process is providing notice to the Human Resources Division. No hiring process will commence without proper approval. Part of the recruitment process is a review of the job description for the position to be filled. No hiring process will commence without an approved job description for the position. Such job description will identify minimum qualifications required of the successful applicant(s) and outline equivalent knowledge and experience in lieu of a formal degree where possible.

Recruitment is tailored to the position to be filled and is directed at sources most likely to yield qualified candidates, including qualified minorities and diverse candidates. Each recruitment process will be outlined by the supervisor and Human Resources Director prior to advertising and may include any or all of the following steps:

3.1 Job posting.

When job posting is required by labor agreement, job openings are posted at all work locations. In addition, notices of vacancies in nonunion positions will be made and run concurrent to the external advertisements. Each interested employee may be asked to complete an application or provide a letter of interest outlining their qualifications. The Human Resources Division will assist departments with all job postings.

3.2 Review of applications on file

The online application system will allow interested persons to sign up for notification of position openings for which they have an interest. Prior applicants may be encouraged to apply to future job postings which fit their work experience and interest.

When a position becomes available, the department manager will select Subject Matter Experts (SME's) to screen applications and participate in interviews. SME's may include individuals from outside the organization and will include representatives from minority groups when possible. The advantage of having a larger number of SMEs reviewing applicant qualification is that it not only ensures you are capturing all of the key requirements of the job, but it also provides multiple points-of-view regarding the applicant's competencies. Human Resources staff will monitor the process and may assist with interviews and testing.

3.3 Advertising/Targeted Recruitment

If the Human Resources Division determines there is not a sufficient number of applications that include qualified and diverse candidates, the position(s) will be advertised. All positions will be posted on the City's Web Site, local Cable Channel, and referred to Job Service. When local coverage will not provide a reasonable number of qualified applicants, area and regional sources are used.

The Human Resources Division conducts a diversity-focused recruitment outreach program which involves regular notification of all job openings to community and diversity outreach partners. These outreach partners receive job postings for positions that match criteria they specifically request and share the postings with the appropriate members of their organizations: minorities, women, people with disabilities, veterans, diversity organizations, universities and colleges, state workforce agencies, construction/skilled trades, professional/technical groups, and business professionals.

Advertisements will generally be composed by the Human Resources Division with review and final

approval by the Department. Submission for publication will be done by the Human Resources Department.

4. Screening

All applications and resumes that meet the minimum qualifications of the position will be identified by the Department Manager or his/her designee for screening. The Human Resources Division will monitor the screening process to ensure compliance with equal opportunity and State and Federal law. Applications will be screened by more than one SME to insure an unbiased process and reduce the risk for error. Screening will be based upon the job description and essential functions of the position.

In an effort to stop "unconscious bias" against potential recruits from age, racial, ethnic and gender minority backgrounds, the city will remove personally identifiable information from the online application forms during the SME's initial review.

Additionally, all questions regarding criminal convictions will be removed from the application forms. Wisconsin labor laws prohibit discrimination on the basis of conviction record, unless substantially related to the position. Such analysis will be made by the confidential Human Resources representative prior to making an offer of employment. Protected juvenile records are not shared with Human Resources. See section 7.1 for more detail.

5. Testing

Any tests to be required of applicants must be job related and must be approved in advance by the Human Resources Division. Federal Uniform Guidelines on Employee Selection, The Americans with Disabilities Act, the Civil Rights Act of 1991 and other applicable State and Federal laws which may impact a testing process must be strictly observed. When general aptitude tests are administered in house, they will be done by the Human Resources Division to avoid claims of bias in test administration. Tests of a specialized or technical nature may be administered by the Department or outside vendor but answer keys must be submitted to Human Resources in advance of scoring. Those applicants with test results meeting the minimum requirements will move forward in the process.

6. Interviews

Managers will include interview panel members from a variety of cultural, racial, and ethnic backgrounds when available. This may include a representative from Human Resources and/or individuals from outside of the organization.

Initial Interviews - Where appropriate, initial interviews will be used to further screen applicants. These interviews will be conducted by the Department, with participation by the Human Resources Division when possible. All initial interview questions must be reviewed in advance by the Human Resources Division. Interviews will be administered by more than one person to ensure an unbiased process and reduce the risk for error. All interview notes must be turned over to the Human Resources Department after the process is completed.

Assessment Centers - Assessment Centers have been created for key positions within the administration in an effort to determine or predict successful job performance in the future. The Human Resources Division will assist the Department manager or designee in performing a comprehensive job analysis of the vacant position to determine appropriate exercises to include in the Assessment Center. Assessors and role players will be trained and selected to participate. The Human Resources Division will administer the Assessment Center and maintain all records. A summary of test results will then be forwarded to the appropriate personnel.

Further Interviews - Further interviews will be conducted with finalists for the position. Except in extremely rare circumstances, more than one candidate must be interviewed. The Human Resources Division must review all interview questions and participate in the interviews whenever possible to monitor the compliance with City policies and State and Federal Law. Interviews will be administered by more than one person to ensure an unbiased process and reduce the risk for error. All interview notes must be turned over to the Human Resources Division after the process is completed.

Outside Interview Panels - At times, the department may invite the opinion of an outside interview panel. In these situations, the panel will be trained on appropriate interview questions and techniques. All notes of the interview will be turned into the City upon completion of the process and the panel members will be asked to keep information gathered during process confidential.

Interview Expenses - Applicants who are called to interview for managerial or professional positions may be reimbursed for all or part of reasonable expenses incurred in conjunction with the interview including travel, meals and overnight accommodations. Each department will determine the type of reimbursement available and inform candidates. Such requests for expense reimbursement shall be made to the Human Resources Division.

Every applicant for a public position may indicate in writing that they do not wish to have their identity revealed. However, the names of those deemed as “final candidates” are subject to public release per State Statute 19.36(7).

7. Selection

The qualified person who best fits the vacant position will be selected. Selection will be made by the Department manager or his/her designee, and based upon the best qualified applicant who fits the needs of the position. Managers are expected to aggressively hire qualified candidates that will diversify the city's workforce and include different backgrounds, races, gender, sexual orientation, ages, ethnicities and disabilities.

7.1 Background checks

Checks of references will generally be done by the Department including questions approved by the Human Resources Division (see sample form). Reference check notes must be turned in to the Human Resources Division. Verification of driver's license, criminal checks, verification of degrees and credit checks will be coordinated by the Human Resources Division (except for Police hires which are conducted by the Police Department). All necessary verifications/checks will be completed prior to extending an offer of employment. The same checks will be conducted for volunteers and seasonal employees annually, especially positions that work directly with children without close parental or staff supervision, as well as positions that supervise minors.

7.2 Salary

In the case of Union positions, salary is determined by contract or memorandum of understanding. In the case of non-union positions, salaries are established within ranges. Starting salaries above the minimum of the range will be based on market conditions or the experience of the candidate and will be discussed between the Department and the Human Resources Division, which has responsibility for maintaining consistent wage and salary administration. The City Administrator or Utility Manager, or their designee, will determine the salary to be offered.

7.3 Offer of employment

Recommendations for hire will be approved by Human Resources and the City Administrator, or Utility Manager. The official offer of employment letter must come from the Human Resources Division, City

Administrator's office, or Utility Manager. A copy of the offer letter will be forwarded to the Department manager and Supervisor. This letter must contain the following information: title of position, starting wage, tentative start date (when available), a summary of fringe benefits, any contingent issues such as a pre-employment physical and drug screen, conditional requirements like obtaining licensures within a specific period, any training repayment obligations, and information regarding the initial evaluation period.

7.4 Pre-employment medical exams and drug screens

Job descriptions are reviewed and job analysis are conducted to identify any physical requirements of a position, such as the ability to lift a certain number of pounds. Candidates must submit to appropriate examinations to measure these physical requirements and ability to do the job safely. Police Officer and key positions within the organization will also require the completion of a psychological evaluation. The offer of employment will be made contingent on the successful completion of the appropriate examinations. Human Resources maintains a list of positions requiring medical examinations and job-related testing cut-offs.

Positions requiring a Commercial Drivers License will undergo pre-employment drug screening per Department of Transportation (DOT) regulations. *See City of Sun Prairie CDL Drug/Alcohol Testing Policy.* The offer of employment will be made contingent on the successful completion of this drug screen. Candidates will be required to provide permission for Human Resources to conduct required DOT Clearinghouse inquiries regarding any prior positive test results.

Positions engaged in safety sensitive tasks, positions with access to controlled substances and those carrying firearms and may use deadly force will undergo pre-employment drug screening per the City's own authority. Applicants will be required to submit to urinalysis testing which provides such results to the City of Sun Prairie. The City will not discriminate against applicants because of past illegal drug use. It is the current use of illegal drugs that will prevent a prospective employee from being considered for employment. Drug screening will be conducted by a qualified medical laboratory and subject to review by a designated Medical Review Officer (MRO). The offer of employment will be made contingent on the successful completion of this drug screen. Results deemed "positive" by the MRO will disqualify candidates from further consideration for that opening. Any applicant who refuses to undergo such drug testing will be disqualified from further consideration for the vacancy or eligibility list.

Scheduling of examinations and the handling of results will be coordinated by the Human Resources Division. See the city's Drug Free Workplace policy for more information.

7.5 Moving expenses

The City may pay for the moving of household goods for the executive/management candidates who come from outside the City of Sun Prairie. This may be extended to professional or other specialized positions with the approval of the City Administrator or Utility Manager. Each department will determine whether moving expenses will be made available and inform the candidate(s).

7.6 Notification of unsuccessful candidates

Because the city recognized the value of ensuring candidates have a good experience in the application process, all unsuccessful candidates will be notified of the status of their applications. The Human Resources Division will assist the Department as appropriate.

7.7 Onboarding new employees

There are several steps involved in onboarding new employees. It shall be the joint responsibility of the Human Resources Division and the Department hiring a new employee to see that all forms and tasks are

completed in a timely manner. No employee shall begin working for the City until all appropriate steps in the onboarding process have been completed. In the case of employment of minors who require a work permit under State Statutes, no minor is allowed to start work until a work permit is on file in the Human Resources Division.

8. Internal Transfers and Promotions

When a position is filled by an existing City employee, the manager of the department the employee is entering should consult with the manager of the department the employee is leaving to arrive at a mutually satisfactory date for the transfer to occur (normally a two week notice from the date of acceptance). In the event that the two departments cannot agree, the City Administrator or Utility Manager will determine the transfer date.

9. Limited Term/Temporary Employees

Temporary employees are used to fill in for vacation and illness, to bridge the gap when positions turn over, and to complete short term projects when appropriate. Departments needing temporary employees should contact the Human Resources Division which will make arrangements with a temporary service agency, or begin recruitment to hire a limited term employee (LTE). In no case may Departments employ temporary employees without Human Resources' authorization. Funding for temporary employees will come from the department's budget.

Seasonal recruitment and selection processes will be coordinated by the Human Resources Division. All applicants must complete a city employment application. Driver's License checks will be completed for those required to drive and applicants must meet the standards set forth in the City's Vehicle Use Policy. Criminal checks will be conducted per section 7.1.

10. Records Maintained in Confidence

The Human Resources Division shall be responsible for the maintenance of the official recruitment files for all positions and the disclosure of such information. All information will be kept confidential to the extent permitted by law.

Recruitment files located in the Human Resources Division shall contain the complete recruitment process of each position. The files shall consist of, but not be limited to: job descriptions, copies of advertisements and other recruitment sources, names of applicants and summary of qualifications, test results, interview notes, reference forms, results of criminal/local/drivers license checks, offer letter, and other related documents.

Department managers and supervisors are responsible for ensuring that all recruitment documents (as defined above) are promptly submitted to the Human Resources Division. All records are stored in a secure location. All pre-employment medical documents will be kept in conformance with the Americans with Disabilities Act (ADA).

11. Policy Adoption and Interpretation

The Recruitment and Selection policy was adopted to ensure equal opportunity and provide guidance to departments in filling vacant positions. Questions of interpretation will be directed to the Human Resources Division.

City of Sun Prairie Policy/Procedure

Title: Retention and Release of Records Policy	
Policy Source: City Attorney's Office	Creation Date: May 20, 2002
Application: All Employees	Revision Date: May 20, 2002, May 12, 2009, November 21, 2023
Indexed as: Records, Retention, Open Records	Total Pages: 13

1. General Policy

The City of Sun Prairie and its employees are expected to maintain the highest standards of ethical behavior and confidentiality to avoid actual or apparent conflicts of interest. However, according to Section 19.31 of the Wisconsin State Statutes, it is public policy that all persons are entitled to the greatest possible information regarding the affairs of government and the official acts of those officers and employees who represent them. Further, providing persons with such information is declared to be an essential function of representative government and an integral part of the routine duties of officers and employees whose responsibility it is to provide such information. In general, anyone requesting access to, or a copy of records held by the City will have that request granted except as provided by law.

There is a balancing test which will be performed on all requests for information which must balance the public's right of inspection versus the public's interest in nondisclosure. Requests for information will be directed to the designated legal custodian or if no one is designated, then the highest-ranking officer, the City Administrator. The choice to fill or deny a request for records will be acted on as soon as practicable and without delay. If the custodian is to deny the request, the denial must be accompanied by a written statement, which outlines the specific public policy reasons for denial.

The following information should act as guidelines to departments in determining confidentiality, release, and retention of city records.

2. Disclosure of Confidential Information

No official or employee shall, without proper legal authorization, disclose confidential information concerning the property, government, or affairs of the City, nor shall such information be used to advance the financial or other private interest of the official, employee or others. Questions regarding the status of information under public records laws will be addressed to the City Attorney or any of the following legal custodians.

3. Legal Custodians of City Records

<u>TYPES OF RECORDS</u>	<u>JOB TITLE</u>
Personal and Property assessment records	City Assessor
All legal proceedings	City Attorney
Election records, licenses, council action	City Clerk
All engineering records	City Engineer
Building permits and records of violations	Director of Building Inspection
City development and zoning	Director of Planning/Economic Dev.
Public Works projects	Director of Public Works

<u>TYPES OF RECORDS</u>	<u>JOB TITLE</u>
All finance records and tax information	Finance Director
Personnel files, safety policies, training files	Human Resources Director
All police records including status of police investigations, press releases and Municipal Court records	Police Chief or designee
Police and Fire Commission records	President, Police and Fire Commission
Public Library Records	Library Director
Water and Light Utilities	Office Manager, Water and Light Commission
Wastewater Treatment Plant Records	Superintendent of Wastewater Treatment
City negotiations, general press releases and all other city business	City Administrator

Requests for information will be directed to the designated legal custodian as identified above. Requests for records will be acted on as soon as practicable and without delay. If the custodian is to deny the request, the denial must be accompanied by a written statement, which outlines the specific public policy reasons for denial.

City record retention requirements are as outlined in Chapter 2.92 of the Sun Prairie Code of Ordinances and the attached schedules.

4. Electronic Files

Electronic messaging includes, but is not limited to: email, text messaging, and recorded voice messages.

4.1 Official Records

Prior to establishing retention requirements to an electronic message, it first must be determined if the message is a public record, and if it is, what type of public record. The following criteria needs to be considered, and will determine if the message is a public record:

- **Definition:** “Any writing containing information relating to the conduct of the public’s business... prepared, owned, used, or retained by a public body regardless of physical form or characteristics.” Convenience/duplicate copies are not public record. Information created or received by an electronic system is a record if it meets this definition.
- **Content and Function:** This needs to be determined for each electronic message. Content and function will determine record type. Additional criteria, as listed below, provides for the value of the message to the user/agency. Audit and federal requirements also need to be looked at. In some cases, this may change the required minimum retention, or provide added value to the user/agency.
- **Administrative Value:** means the usefulness of records in conducting an agency’s current business.
- **Fiscal Value:** means the usefulness of records in documenting an agency’s fiscal transactions and obligations.
- **Legal Value:** means the usefulness of records in documenting legally enforceable rights or obligations, both those of the City and those of persons directly affected by an agency’s action.
- **Audit:** if the record is of a fiscal nature, an audit period will be required.
- **Federal:** if the record is part of a federally funded program, federal retentions will apply. If in doubt, assume electronic message is a public record.

4.2 Transitory records – are materials of only short-term interest with no evidential, programmatic, or policy value. Some examples are:

- Extra copies of information for distribution purposes, notices regarding holidays or special events circulated to all staff or posted in shared folders
- Messages distributing the minutes of a committee meeting
- Listserv notifications
- Messages informing the department of a meeting
- E-mail messages directing an employee to process an employment candidate for hire
- E-mail discussions of versions/corrections to reports
- Routine messages used for communication, but not for documentation, of a specific agency transaction
- Internal meeting notices
- E-mail message directing an employee to process a procurement order (the purchase requisition and purchase order are the record)
- E-mail transmittals that add nothing of substance to the enclosures

4.3 Retention Application and Management Responsibility

Once an electronic message has been determined to be an official record, and not a transitory record, a retention schedule needs to be applied. A wide variety of information can be transmitted by electronic messaging; therefore, the retention periods for the records created will vary according to their content and function.

Electronic records which pertain to a program or function should be filed with other records related to the program or function. The message then has the same retention as the rest of the file.

Attached records need to be filed according to their function and content, and they will assume the retention of the records they are filed with. Messages must be stored with a copy of the attachment in its original form. Message transmission and receipt data must be stored along with the message. If it has been determined that the electronic record has an audit requirement, the record retention must take this into consideration. Additionally, if it has been determined that the record is part of a federally funded program, the retention requirements must meet the Code of Federal Regulations retention.

Basically, if the department/division's paper and electronic records have been scheduled, this same schedule will apply to the e-mail and electronic messaging records. Records must be maintained for the full retention period. Note: if a hardcopy (paper) of the electronic record is generated, the electronic record can be discarded, and the retention applied to the hardcopy.

4.4 Records Management Responsibility

To provide for consistent record retention and management of an e-mail record, the following will apply:

- Originator: has the responsibility of identifying the record copy, and therefore applying a retention, and subsequently, managing the record copy.
- Recipient(s), internal sources: staff receiving copies will know that their convenience copies can be deleted as soon as the copies are no longer needed for personal reference purposes. For example, if an e-mail message is sent within the City and six employees are copied, the six identical copies of the message do not have to be maintained for the full retention period required for the record as long as the originating record is retained by the originator.

- Recipient(s), external sources: has the responsibility of identifying the record copy, and therefore applying a retention, and subsequently managing the record copy. For example, if an e-mail message is received from outside the City, and the message contains information relating to the conduct of the public's business and is owned, used, or retained by the City, then the information falls within the scope of the Public Records Law.

Departments and divisions should establish their own procedures for record disposition. Responsibility for the retention and maintenance of records can be determined within each department and/or division. Information Technology can provide procedures and guidance.

Additionally, procedures should be established, where applicable, for providing public access and inspection. Departments and divisions should monitor compliance with City policy and procedures.

4.5 File Management

Files should periodically be reviewed for possible archiving on other media, such as paper, or possible deletion. Review can be accomplished by scanning directory listings and looking for file creation dates that are old and therefore probably unused and no longer needed on-line; file names that indicate the records are no longer active can be deleted or archived; and large files, which obviously take up a large amount of space, should be considered for archiving.

4.6 Public Access and Inspection (Non-Exempt Records)

Throughout the required retention period, it is in the interest of all concerned that electronic records be reasonably accessible. It is the duty of the "custodian" of public records to make available for inspection and copying nonexempt public records. Record requests must be honored just as with any other information.

A custodian of public records is required to provide "proper and reasonable opportunities for inspection and examination of the records in the office of the custodian." The law directs public bodies to take reasonable steps to accommodate the public while inspecting public records. The custodian will, if the public record is maintained in a machine-readable or electronic form, provide copies of the public record in the form requested, but if not available, will provide in the form maintained.

4.7 Confidential Records (Exempt Records)

As stated under Definitions, confidential records are exempt from disclosure. The Public Records Law identifies exempt records. As stated in the policy, confidential records need to be identified and protected. Until this can be done, there will be no confidential records/messages sent on the e-mail system. This not only applies to the actual e-mail messages, but to any attachments enclosed.

4.8 Records Disposal

Since electronic messages are a public record, it can be discarded upon meeting its retention requirements. This will provide for more effective management of the messaging system. Electronic messages, if it is a public record, can be deleted or otherwise destroyed only if the record has been scheduled. Scheduling authorizes deletion. The retention of the electronic record must satisfy the retention period established or be generated onto hardcopy (paper). Non-record electronic messages can be discarded at any time. It is recommended that these messages be discarded after they have no value to the user/agency.

5. Police Records

It will be the policy of the Sun Prairie Police Department to allow public access to records and to furnish records to the public under state statute 19.35. There are, however, statutory exceptions to this. These exceptions are:

- A. This department will not allow access to any record of an ongoing investigative matter. This exception comes for state statute 19.36(2), limitations on access of law enforcement records. It is our policy to carefully consider the potential detrimental effects that may result from an improper or untimely release of information that could put a person in jeopardy or compromise a case in court.
- B. This department will not provide any record the release of which would do any of the following:
 - A. Endanger an individual's life or safety
 - B. Identify a confidential informant
 - C. Endanger the security of any state correctional institution

The above exceptions are per state statute 19.35 (1)(am).

"Informant" means an individual who has requested confidentiality from a law enforcement agency, or pursuant to an express promise of confidentiality by a law enforcement agency, or under circumstances in which a promise of confidentiality would be reasonably implied, provides information to a law enforcement agency, per state statute 19.36(8).

- C. It will be the policy of this department to release juvenile records within the guidelines of state statute and department policy. Members of this department should be familiar with department policy pertaining to juveniles, as well as state statute 938.396.
- D. All health care records shall remain confidential. This exception is per state statute 146.82(1). This includes records obtained by this agency from any health care facility in the investigation of any case. It further includes information obtained by members of the department or the Emergency Medical Services from the completion of an EMS medical ambulance sheet.
- E. All personnel records within the police department are the custody of the office of city administrator, and any requests for access by a non-employee will be directed to the city administrator and city legal counsel.
- F. Records release will be in conformance with department policy.

6. Personnel Files

Personnel records are not automatically exempt from disclosure under the open records law; requests for personnel records are subject to the balancing test. The Human Resources Department shall be responsible for the maintenance of the official personnel files for all employees and the disclosure of such information. All information will be kept confidential to the extent permitted by law. If the City of Sun Prairie determines it must release personnel records pursuant to a request under the public records laws, copies of such documents will be presented to the employee. The employee may have a right to the circuit court review of the City's decision to release the records due to the privacy interests and/or reputation concerns of the employee. The employee must notify the City within 10 days of their intent to appeal to the courts.

Personnel files located in the Human Resources Department shall contain the complete employment history of each employee during employment with the City. The personnel files shall consist of, but not be limited to: employment application and offer letter, commendations, reprimands, performance evaluations, wage data, promotions, education/special training received, and other related personnel documents.

Department Heads and supervisors are responsible for ~~insuring~~ ensuring that all personnel documents (as defined above), are promptly submitted to the Human Resources Department. All personnel records are stored in

a secure and locked location. All medical documents will be kept in a separate locked file cabinet in conformance with the Americans with Disabilities Act (ADA).

Any written evaluation of an employee's work performance or any written report of disciplinary action or reprimand must be presented to the employee being evaluated, disciplined, or reprimanded before such written evaluation or report is placed in the employee's personnel file. If an employee disagrees with certain items in his/her file, such as disciplinary action, the employee may submit a concise statement of disagreement for inclusion; however, no document or other information shall be removed from the personnel file without the authorization from the City Administrator.

Employees are permitted to examine and copy any material, which is contained in their personnel file, upon written request to the Human Resources Director. Viewing of one's personnel file will be limited totwice a year.

7. Limitations on Disclosure of Information and Records Involving City Employees

- A. Custodians are responsible for complying with the Wisconsin Statutes placing limitations on disclosure of information pertaining to city employees and officials.
- B. Employee Personnel Records, Access Prohibited. Unless access is specifically authorized or required by statute, a custodian shall not provide access to records containing the following information (except to an employee or the employee's representative to the extent required under Wis. Stat. §103.13 or to a recognized or certified collective bargaining representative to the extent required to fulfill a duty to bargain under Wis. Stat. ch. 111 or pursuant to a collective bargaining agreement under ch. 111):
 - (i) Information maintained, prepared, or provided by the city concerning the home address, home electronic mail address, home telephone number, or social security number of an employee, unless the employee authorizes granting access to such information.
 - (ii) Information relating to the current investigation of a possible criminal offense or possible misconduct connected with employment by an employee prior to disposition of the investigation.
 - (iii) Information pertaining to an employee's employment examination provided, however, that access to the examination score may be permitted if access to that score is not otherwise prohibited.
 - (iv) Information relating to one or more specific employees that is used by the city for staff management planning, including performance evaluations, judgments, or recommendations concerning future salary adjustments or other wage treatments, management bonus plans, promotions, job assignments, letters of reference, or other comments or ratings relating to employees.
 - (v) Employee names/personally identifiable information of a contractor required to pay prevailing wage rate unless otherwise authorized by the specific employee or by state statutes. A custodian may, however, release an employee's work

classification, hours, wages, and benefits while working on such a project.

C. Employee Records Requiring Notice and Review Opportunity.

(i) Under Wis. Stat. §19.356(2), a custodian making a determination to release the following records must give written notice to the subject employee by personal service or certified mail within three (3) days of making that determination:

(a) A record containing information relating to an employee that is created or kept by the city and results from an investigation into a disciplinary matter involving the employee or possible employment related violation by the employee of a statute, ordinance, rule, regulation, or policy of the city.

(b) A record obtained by use of a subpoena or search warrant.

(c) A record prepared by an employer other than the city if that record contains information relating to an employee of that employer, unless the employee authorizes the city to provide access to that information.

(ii) The written notice must describe the record and explain the employee's rights under Wis. Stat. §§19.356(3) and (4). Employees receiving such notice have five (5) days within which to give the city notice of intent to seek judicial review of the custodian's decision to disclose the record and ten (10) days within which to initiate an action to block release of the record by the city. No disclosure of the record may be made pending the employee's response. If an action is commenced, no record may be disclosed unless the court makes a determination permitting disclosure.

8. Electronic Records and Imaging Policy and Procedures

8.1 Purpose

The records covered by this policy are in the custody of City of Sun Prairie and are maintained for the benefit of department use in delivering services and in documenting agency operations. This electronic records policy reflects guidelines approved by the Public Records Board *Electronic Records Management: Guidance on ADM 12*. Complying with this policy will increase the reliability and accuracy of records stored in information technology systems and will ensure that they remain accessible over time. Exhibiting compliance with this policy will enhance records' admissibility and acceptance by the judicial system as being trustworthy.

All public records as defined by Wisconsin Statute § 9.21 are covered by this policy. This includes permanent and non-permanent records, including both confidential and non-confidential records. These classifications may warrant different treatments when processing the records. This policy serves as basic documentation of the procedures followed by the department in imaging, indexing, auditing, backing up, and purging electronic records in accordance with the disposition schedule (Record Retention Schedule), and in handling the original paper records, if applicable.

This policy also serves to protect those records digitized by the city's in-house and contracted imaging system, which reduces required storage space for original documents as the city transitions to a "more paperless" digital system and provides instant and simultaneous access to documents as needed.

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This policy will be reevaluated at a minimum of every five years, or upon the implementation of a new information technology system, and will be updated as required. A copy of the policy will remain on file with the Public Records Board (PRB).

8.2 Responsible Parties

- Department Supervisor/Division Director or their Designee
- IT Department
- City Clerk's Office
- OnBase Users

Department Supervisor/Division Director or their Designee

Responsibilities include:

1. Appointing Chief Records Officer.
2. Determining access rights to the system.
3. Approving system as configured by IT.
4. Ensuring training of records creators.
5. Periodically auditing imaged records for accuracy, readability, and reproduction capabilities before the original documents are destroyed.
6. Assuring that public records are kept in secure but accessible places.

IT Department

Responsibilities include:

1. Installing and maintaining equipment and software.
2. Configuring the system according to city needs, including creating and testing applications and indexes.
3. Controlling permission rights to the system.
4. Maintaining documentation of system hardware and software.
5. Establishing audit trails that document actions taken on records stored by the information technology system.
6. Providing backups for system records and recovering deleted imaged records when necessary.
7. Completing a disaster recovery backup at least twice a year.
8. Conducting any necessary batch conversions or batch renaming of imaged records.

City Clerk's Office

Responsibilities include:

1. Establishing training on equipment and software, documenting such training, and providing remedial training as needed. Such training includes, but is not limited to, training on the imaging system.
2. Creating and updating detailed Standard Operating Procedures (SOP) describing the imaging process and equipment in accordance with ADM 12, Electronic Records Management – Standards and Requirements.
3. Coordinating all departmental requests for records assistance, training, and other offered consultative services.
4. Coordinating interactions between the City and the Public Records Board in preparing an inclusive inventory of and schedule for records in city custody and in establishing a time period for the retention and disposal of each records series.

5. Overseeing the design and implementation of electronic records initiatives.

OnBase Users

Responsibilities include:

1. Attending and signing off on training conducted by City Clerk's staff.
2. Creating passwords for computers that comply with standards set by the IT Department.
3. Creating and managing electronic records in their purview in accordance with the policies and procedures and other guidance issued by the IT Department or Clerk's Office, complying with all IT security procedures, and in accordance with ADM 12, Electronic Records Management – Standards and Requirements.
4. Reviewing system records annually and purging records in accordance with the retention schedule.
5. Guaranteeing that records, regardless of format, be retained for the period of time required by the records retention schedule.
6. Carrying out day-to-day processes associated with the in-house and contracted imaging system, including:
 - a. Designating records to be entered into the imaging system.
 - b. Noting confidential information or otherwise protected records and fields.
 - c. Removing transitory records from the scanning queue.
 - d. Completing indexing and keywording for each record being scanned.
 - e. Reviewing images, indexing, and keywording for quality assurance.
 - f. Naming and storing the scanned images in designated areas.
 - g. Once approved, destroying or otherwise disposing of original records in accordance with guidance issued by the IT Department or Clerk's Office, complying with all IT security procedures, and in accordance with ADM 12, Electronic Records Management – Standards and Requirements.

8.3 Maintenance of Trustworthy Electronic Records

All public records stored exclusively in electronic format shall comply with the requirements of Wisconsin Administrative Code Chapter Adm 12. To that end, the content of electronic records shall remain accessible, accurate, authentic, reliable, legible, and readable throughout the record life cycle. The requirements of Chapter Adm 12 apply to any record in electronic format stored in any location, provided that the record is "stored exclusively in electronic format."

The following list shall be used as best practices to help all departments fulfill the requirements of Chapter Adm 12.

- Inspect:
 - Inspect records using a Quality Control (QC) process to ensure that the digitized files are adequate representations of the paper documents and readable over time.
 - Test documents that have been digitized with an Optical Character Recognition (OCR) layer. OCR can be applied to the documents during the digitization process to make them searchable. While not all characters may translate perfectly, documents should be tested to see if internal searches can be performed on them.
 - Verify that documents are legible if they need to be reproduced. Documents

should be scanned at a high enough resolution that they will be legible when printed out. A selection of documents should be printed out to verify that they are clear and readable on paper as well.

- At the “Inspect” step, the resulting scanned copies shall comply with the following requirements of Chapter Adm 12:
 - § Adm 12.05(1): Maintain electronic public records that are accessible, accurate, authentic, reliable, legible, and readable throughout the record life cycle.
 - § Adm 12.05(4): Utilize information systems that accurately reproduce the records they create and maintain.
 - § Adm 12.05(9): Utilize information systems that produce records that continue to reflect their meaning throughout the record life cycle.
- Identify:
 - All covered records can be found on the City of Sun Prairie’s Records Retention Schedule.
 - At the “Identify” step, the in-house imaging system shall comply with the following provisions of Chapter Adm 12:
 - § Adm 12.05(2): “Document policies, assign responsibilities, and develop appropriate formal mechanisms for creating and maintaining electronic public records throughout the record life cycle.”
 - § Adm 12.05(5): “Describe and document public records created by information systems.”
- Organize:
 - At the “Organize” step, the in-house imaging system shall comply with the following provisions of Chapter Adm 12:
 - § Adm 12.05(1): “Maintain electronic public records that are accessible, accurate, authentic, reliable, legible, and readable throughout the record life cycle.”
 - Adm 12.05(4): “Utilize information systems that accurately reproduce the records they create and maintain.”
 - § Adm 12.05(9): “Utilize information systems that produce records that continue to reflect their meaning throughout the record life cycle.”
- Provide Access:
 - All covered records shall be protected to ensure that they remain accessible, accurate, authentic, reliable, legible, and readable throughout their entire retention period.
 - The in-house imaging system access rights shall be managed by the IT Department and are assigned by a supervising authority to prevent unauthorized access to documents.
 - At the “Provide Access” step, the in-house imaging system shall comply with the following provisions of Chapter Adm 12:
 - § Adm 12.05(3): “Maintain confidentiality or restricted access to records or records series maintained in electronic format, limiting access only to those persons authorized by law, administrative rule or established agency policy.”

- § Adm 12.05(6): “Document authorization for the creation and modification of electronic public records and, where required, ensure that only authorized persons create or modify the records.”
- § Adm 12.05(13): “Utilize information systems that allow records to be masked to exclude confidential or exempt information.”
- Storage:
 - At the “Storage” step, the in-house imaging system shall comply with the following provisions of Chapter Adm 12:
 - § Adm 12.05(8): “Develop and maintain information systems that maintain accurate linkages, electronically or by other means, to transactions supporting the records created where these linkages are essential to the meaning of the record.
 - § Adm 12.05(9): “Utilize information systems that produce records that continue to reflect their meaning throughout the record life cycle.
- Protect:
 - At the “Protect” step, the in-house imaging system shall comply with the following provisions of Chapter Adm 12:
 - § Adm 12.05(1): “Maintain electronic public records that are accessible, accurate, authentic, reliable, legible, and readable throughout the record life cycle.”
 - § Adm 12.05(3): “Maintain confidentiality or restricted access to records or records series maintained in electronic format, limiting access to those persons authorized by law, administrative rule or established agency policy.”
 - § Adm 12.05(6): “Document authorization for the creation and modification of electronic public records and, where required, ensure that only authorized persons create or modify the records.”
 - § Adm 12.05(10): “Utilize information systems that can delete or purge electronic records created in accordance with the approved retention schedule.”
 - § Adm 12.05(11): “Utilize information systems that can export records that require retention to other systems without loss of meaning.”
 - § Adm 12.05(12): “Utilize information systems that can output record content, structure and context.”
 - § Adm 12.05(13): “Utilize information systems that allow records to be masked to exclude confidential or exempt information.”
- Manage:
 - All covered records shall be managed to ensure they remain unchanged and accessible throughout their retention schedule.
 - The in-house imaging system shall have the capability to remove – delete, purge, and/or transfer – records as the requirements of the retention schedule demands.
 - The in-house imaging system shall maintain audit trails.
 - The in-house imaging system shall have audits enabled and active for all

records.

- At the “Manage” step, the in-house imaging system shall comply with the following provisions of Chapter Adm 12:
 - § Adm 12.05(2): “Document policies, assign responsibilities, and develop appropriate formal mechanisms for creating and maintaining electronic public records throughout the record life cycle.”
 - § Adm 12.05(5): “Describe and document public records created by information systems.”
 - § Adm 12.05(10): “Utilize information systems that can delete or purge electronic records created in accordance with the approved retention schedule.”
- Maintain:
 - The in-house imaging system data shall be audited and assessed annually. If there is evidence of file corruption, data should be migrated to new media.
 - At the “Maintain” step, the in-house imaging system shall comply with the following provisions of Chapter Adm 12:
 - § Adm 12.05(1): “Maintain electronic public records that are accessible, accurate, authentic, reliable, legible, and readable throughout the record life cycle.”
 - § Adm 12.05(2): “Document policies, assign responsibilities, and develop appropriate formal mechanisms for creating and maintaining electronic public records throughout the record life cycle.”
 - § Adm 12.05(4): “Utilize information systems that accurately reproduce the records they create and maintain.”
 - § Adm 12.05(7): “Design and maintain new information systems so that these systems can provide an official record copy for those business functions accomplished by the system.”
 - § Adm 12.05(8): “Develop and maintain information systems that maintain accurate linkages, electronically or by other means, to transactions supporting the records created where these linkages are essential to the meaning of the record.”
 - § Adm 12.05(9): “Utilize information systems that produce records that continue to reflect their meaning throughout the record life cycle.”
- Export:
 - The in-house imaging system shall provide a means of exporting the records so that a person accessing the records will be presented with the identified content, structure, and context, from when the record was originally created.
 - At the “Export” step, the in-house imaging system shall comply with the following provisions of Chapter Adm 12:
 - § Adm 12.05(11): “Utilize information systems that can export records that require retention to other systems without loss of meaning.”
 - § Adm 12.05(12): “Utilize information systems that can output record content, structure and context.”

9. Disposal of Records

As wisely stated in the Wisconsin Municipal Records Manual, “The records of a local government are a valuable asset to its officers and employee and to its citizens. Just keeping records, however, is not enough. Records must be disposed of systematically. Otherwise, municipal records are a burden to the community as they may impede efficient business, occupy valuable office space, fill expensive storage equipment and use tax monies of unproductive labor.”

The City of Sun Prairie has adopted a system of records retention and disposal that follows the Wisconsin Municipal Records Manual. Included in this policy is a detailed list of the City’s records retention and destruction schedule as approved by the State Historical Society of Wisconsin.

Prior to the destruction of these records, the appropriate department will notify the State Historical Society of its intent to destroy according to the following rules:

- Notification must be made in writing at least sixty days prior to destruction.
- The letter should indicate the titles, dates and quantities of records to be destroyed.

See the detailed *Records Retention Schedule*.

10. Policy Approval and Interpretation

Approved by the Wisconsin Public Records Board. Approved by the Sun Prairie City Council on June 1, 2004. Revision approved by the City Council on May 19, 2009. Questions regarding the application and interpretation of this policy will be directed to the City Attorney.

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Administrator					
	Correspondence (General Staff)	Business-related correspondence (paper and electronic) of non-appointed general staff.	Event+6 months; Event = Creation or receipt (Note: Correspondence that relates specifically to a program or project may need to be retained per that particular schedule)	No	Waived
	Correspondence (Senior Level or Elected Official)	Business-related correspondence (paper and electronic) of senior level staff and elected officials.	Event+2 years; Event = Separation from position/end of term (Note: Correspondence that relates specifically to a program or project may need to be retained per that particular schedule)	No	Notify
	Grants	Records relating to grant-funded projects where the agency is the grant recipient or issuer, including the application process, the receipt and expenditure of grant funds, or denial.	E+4 years; Event = Date of final report or notification of denial	No	Waived
	Housing Program Files	Correspondence, breakdown of projects, HUD regulations, and supporting files.	Event+7 years; Event = Audit	No	Notify
	Organizational Chart	Repository of the official organizational structure of offices.	Event; Event = Superseded	No	Waived
	Organizational Planning	Includes strategic business plan and operational policies	Event+7 years; Event = Completion of plan	No	Waived
	Petitions	Petitions submitted to the City of Sun Prairie for improvements or changes to existing municipal services/structures.	Event+7 years; Event = Petition approved or denied	No	Waived

Records Retention Schedule

Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Administrator					
	Press/News Releases	Information for the general public about City of Sun Prairie.	Creation+3 years; Creation = Creation of Press/News releases	No	Waived
	Public Program Files	Outreach programs for municipality sponsored programs.	Event+7 years; Event = Superseded or end of program, whichever comes first	No	Waived
	Reports (Annual)	Annual reports produced by all departments and programs.	Event+7 years; Event = Date of issue	No	Notify
	Reports (Monthly)	Monthly reports of divisions/committees.	Creation+3 years	No	Waived

Emergency Planning - No specific statutes restrict the records in this series. However, the balancing test per Wis. Stat. § 19.35(1)(a) should be applied prior to release.

	Continuity of Government Operational Plan and Documentation	Agency official plan and documentation of the Continuity of Operations Plan/Continuity of government plan.	Event; Event = Superseded by revised plan	No	Waived
	Critical Incident Management Plans	Critical incident management plans, local site security plans, local emergency action plans, life safety, and other similar documents.	Event+3 years; Event = Superseded by revised plan	No	Waived
	Disaster Recovery Records	Records created during the disaster recovery process.	Event+3 years; Event = Date recovery effort is complete. Retention is 3 yeears from the date of the final Financial Services Report when Federal Grant money is involved.	No	Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Assessor					
	Assessor's Final Report	Documents yearly changes to master property record and personal property returns. Final report is filed with the DOR.	Event+7 years; Event = Final report filed with DOR	No	Waived
	Assessor's Personal Property Summary Worksheet	PA-003 - Statement of Personal Property Form	Creation+7 years	No	Waived
	Cadastral Maps	Includes an plats, assessor's plats, certified surveys, or aerial photographs used in determining taxable boundaries.	Permanent	No	N/A
	Final Assessment Rolls	Borth real and personal property rolls	Creation+15 years	No	Notify
	Low Income Property Owner's Certification of Occupancy (PR-231)	Form used to determine property tax exemption as low-income housing, as defined by Wis. Stat. § 70.11(4a)	Event+5 Years; Event = Form submitted to local assessor	No	Waived
	Master Property Records	Details the appraisal of real property, based on the field inspections of the assessor. Use this schedule for any Master Property Record Cards (PA-500), Agricultural Work Cards (PA-703), or Residential Record Card Inserts.	Event+7 years; Event = Life of structure	No	Notify
	Mobile Home Value Sheets		Creation+5 years	No	Waived
	Municipal Assessment Report	Reports a taxation district's annual assessed values. It is a summary of all the Real Estate and Personal Property assessed values for a taxation district as of the close of January 1.	Event+5 years; Event = Final report filed with DOR	No	Waived
	Notice of Increased Assessment (PR-301)	Notices sent to property owners informing them of change in valuation from the previous year for any real property. Also includes Notice of Personal Property Assessment (PR-299) and Agricultural Land Conversion Change (PR-298	Creation+7 years	No	Waived
	Occupational Tax Forms (PA-002; PA-006; PA-014)	Forms submitted by property owner/agent regarding iron ore concentrates, coal, and petroleum, to the local assessor.	Event+5 years; Event = Date submitted to assessor	No	Waived
	Property Tax Exemption Request (PR-230)	Form used for requesting exemption from property taxes; real and personal property.	Event+6 months; Event = Submission of Taxation District Summary Report to DOR	No	Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Assessor					
	Request to View Property Notice (PR-300)	Notifies property owner of their rights, options, and responsibilities with regard to view property for assessment.	Event+5 years; Event = Date of assessment	No	Waived
	Special Assessment Calculations	Calculations of Special Assessments	Creation+2 years	No	Waived
	Statement of Assessment (PA-521) (PA-521C)	Report of the aggregate assessed value of all personal and real property.	Permanent	No	N/A
	Statement of Personal Property (PA-003)	Statements filed with local assessor declaring taxable personal property.	Creation+5 years	Yes Confidential per Wis. Stat. § 70.35(3)	Waived
	Tax Exemption Reports (PC-220)	Reports filed by individuals who own property exempt from personal property tax under Wis. Stat. § 70.11. The reports are submitted to the municipal clerk. Use this schedule for Multi-Parcel Tax Exemption Reports (PC-220A).	Event+6 months; Event = Submission of Taxation District Exemption Summary Report to DOR	No	Waived
	Taxation District Exemption Summary Reports (PC-226)	Reports the total number of exempt properties by purpose and value. Compiled from Tax Exemption and Multi-Parcel Tax Exemption Reports.	Event+2 years; Event = Report submitted to DOR	No	Waived
	TID Final Reports (Real Estate)	TID final reports for real property.	Creation+5 years	No	Waived
	TID Final Reports (Personal Property)	TID final reports for personal property.	Creation+5 years	No	Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Attorney					
Forfeiture Actions					
	Reports, stipulations, dispositions	For collections - Finance Department will have these records. For stipulation/dispositions - Municipal Court will have these records.	Event + 7 years; Event = Pre-trial conference	No	Waived
Civil Actions					
	Pleadings, motions, judgments, findings	Legal actions against the City	Event+years; Event = Close of Case	* Records may contain material protected by Attorney-Client Privilege Wis. Stat. § 905.04	Waived
Other Records					
	Case Files	Files include, but are not limited to, pleadings and legal arguments, evidence, research, orders, legal summons and subpoenas issued. Records may contain the client file with information pertaining to expenses, attorney notes, medical records, government agency filings, discovery such as requests for production of documents, deposition transcripts, and evidence.	Event+7 years; Event = Close of case	* Records may contain material protected by Attorney-Client Privilege Wis. Stat. § 905.04	Notify on historically significant cases only
	Claim	Any claims against the City.	Permanent	No	Waived
	Development Agreements	Any Development Agreements with the City	Permanent	No	Waived
	Land Titles, Conveyances and Easements	Documentation for municipal owned land. Also includes any legal rights granted to others that relate to municipal owned land.	Permanent	No	N/A
	Real Estate Purchases	Appraisals and deeds	Permanent	No	Waived
	Road Project Easements	Easements	Creation + 7 years; Creation = year of the road project	No	Waived
	Sales of Facilities and/or Land (Case Files)	Includes appraisals and related valuations. Projects where a municipality plans or actually sells either facilities and/or land assets.	Event+6 years; Event = Date of the completion of the transaction	No	Waived
Legal Opinions					

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Attorney					
	Attorney Opinions	Municipal attorney opinions given to answer specific questions regarding the interpretation and application of statutes and ordinances, or other legal matters	Permanent	* Records may contain material protected by Attorney-Client Privilege Wis. Stat. § 905.03	Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Building Inspection					
Building Plans, Permits, & Inspections					
	Building Inspection Records	Summary of inspection history of a particular property. Records include original building permit, site plans, certificate of occupancy, conditional use documents, comprehensive design reviews, permit fee receipts, and violations for both residential and commercial structures. Also includes inspection of plumbing, electrical, ventilation, heating, and air conditioning.	Event+1 year; Event = Life of building	No	Waived
	Building Inspection: Residential 1 and 2 Family Dwellings	Application forms, correction orders, correspondence and inspection records. Authority provided by Wis. Admin. Code SPS 320.10(6)(a)3.	Event+1 year; Event = Life of building	No	Waived
	Building Plan Review and Inspection Public Buildings and Places of Employment	Conditionally approved building plans, calculations, and correspondence. Authority provided by Wis. Admin. Code SPS 361.60(5)(f)1.b. NOTE: Applies to certified municipalities only (see Wis. Admin. Code SPS 361.60(s))	Event+1 year; Event = Life of building	No	Waived
	Building Plans: Residential 1 and 2 Family Dwellings	Includes architectural, design specs, structural and utility plans submitted for inspection review. Authority provided by Wis. Admin. Code SPS 320.10(6)(a)2.	Event+1 year; Event = Life of building	No	Waived
Code Enforcement					
	Code Compliance Inspection Records & Supporting Documents	Reports completed during field investigations to determine if buildings and system installations comply with the specifications of appropriate codes.	Permanent	No	N/A
Addressing					
	House Number and Address Change Files	Provides official control and reference source for city addresses.	Permanent	No	N/A

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Building Maintenance					
	American with Disabilities Act (ADA) Facility Reviews	Records cover ADA inspections, investigations, complaint investigations, facility logs and reports regarding ADA compliance relating to facilities and structures.	Event+6 years; Event = Close of review or audit	No	Waived
	Asbestos and Hazardous Material and Environmental Remediation Case File	Project files on asbestos abatement and hazardous materials and environmental remediation projects at state owned buildngs.	Event+30 years; Event = Completion of the project	Patient health care records in this series are confidential per Wis. Stat. §146.82.	Waived
	Building Maintenance: Equipment Repair and Service Records	Documents the installation, maintenance, service and history of equipment commonly used to maintain facilities.	Event+1 month; Event = Removal and disposal of equipment	No	Waived
	Physical Plant Monitoring and Inspection Reports	Records documenting the operation of all facets of facilities: HVAC; plumbing, mechanical, electrical, structural as well as special monitoring of building components.	Creation+6 years	No	Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Economic Development					
	TIF Creation Materials	Blight studies or other necessary documentation for the creation of TIF	Life of the TIF	No	Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Clerk					
Administrative Records					
	Affidavits of Publication	Records providing proof of publication for legal notices as required by law. (Note: See Wis. Stat. § 985.12 for more information on proof of publication).	Event + 7 years; Event = Date of publication	No	Waived
	Complaints (External)	File related to complaints regarding issues not related to a specific program. Complaints that are not otherwise regulated by state or federal requirements.	E+2 years; Event = Complaint resolution, dismissal, or end of litigation	No	Waived
	Contracts and Agreements	Any contracts or agreements to which the municipality is a party. These can include but are not limited to can include things such as Reimbursement Agreements, Annexation Agreements, Subdivision Master Agreements, Public Infrastructure Agreements, Financial Assistance Agreements, Real Estate Agreements, Fee Agreements, Recapture Agreements, Intergovernmental Agreements (Land Use, Development), Intergovernmental Boundary Agreements, Intergovernmental Cooperative Plans, Use and Maintenance Agreements, Dumpster Agreements, Operational Agreements, etc.	Permanent	No	N/A
	Leases		Event+7 years; Event = Termination date/End of lease	No	Waived
	Memorandums of Understanding (MOU) , Memorandums of Agreement (MOA), & Service Level Agreements (SLA)	Agreements between government units. Sometimes define agreements between a large government unit's separate divisions or bureaus.	Permanent	No	N/A
	Oath of Office	Elected or appointed municipal officers may be required to take, and file in writing, an official oath within ten days after receiving notice of election or appointment.	Event + 5 years; Event = End of term	No	Waived
	Open Records Requests and Responses	Records relating to regular and reformulated, repetitious, systematic or continuing requests by individuals, groups, or organizations for access to general information. Wis. Stat. § 19.35-19.37 These are kept in an electronic record.	E+3 years; Event = Response provided	No	Waived
	Ordinances with Affidavits of Publication	Official ordinances and any ordinance books kept by municipalities.	Permanent	No	N/A
	Proclamations	Proclamations issued by the mayor on behalf of the City of Sun Prairie.	Event+1 year; Event = Date of proclamation	No	Waived
	Resolutions	Official records pertaining to resolutions passed by municipalities.	Permanent	No	N/A
Board of Review					
	Board of Review Support Materials	Includes notes taken by clerk, written objections and all other materials submitted to the board of review, audio recordings, and any transcripts of board of review proceedings. Authority provided by Wis. Stat. § 70.47(8)(f).	Event+7 years; Event=Final action of Board of Review or completion of appeal	No	Waived
	Form of Objection/Objection to Property Assessment	Objections submitted by taxpayers. Includes written objections and all other material submitted to the board of review. Authority provided by Wis. Stat. § 70.47(8)(f)	Event+7 years; Event = Final action of Board of Review or completion of appeal	No	Waived
	Minutes of the Board of Review Proceedings	Record of all proceedings of the board of review. Also includes the Summary of Board of Review Proceedings (PA-800) Authority provided by Wis. Stat. § 70.47(5).	Permanent	No	N/A
	Notice of Determination	Final decisions sent to property owners. Authority provided by Wis. Stat. § 70.47(12).	Event+7 years; Event = Final action of Board of Review or completion of appeal	No	Waived
Committee/Commission/Board Records					

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Clerk					
	Affidavits of Publication	Records providing proof of publication for legal notices as required by law. (Note: See Wis. Stat. § 985.12 for more information on proof of publication).	Permanent	No	N/A
	Agendas and Agenda Packets	Official agenda and agenda packets of committees, boards, and commissions, including the Common Council. (Except for Board of Review and Zoning Board of Appeals)	Permanent	No	Waived
	Minutes	Official minutes of committees, boards, and commissions, including the Common Council. (Except for Board of Review and Zoning Board of Appeals)	Permanent	No	N/A
	Appointment Files	Materials documenting appointments and nominations to boards, task forces, councils, or other bodies. May include applications; cover sheets, letters of recommendation, resumes, and correspondence.	Event+2 years; Event = End of term	No	Notify
	Appointment Files (not selected)	Unsuccessful appointments and nominations to boards, task forces, councils, or other bodies.	Event+1 year; Event = Position filled	No	Waived
Elections					
	Voter Registration Forms (Active)	Voter registration forms for all active voters.	As long as current	No	Waived
	Voter Registration Forms (Cancel/Deceased)	Voter registration forms for all cancelled or deceased voters.	E+4; Event = Date of cancellation or death	No	Waived
Ballots and Equipment					
	Applications for Absentee Ballots (Federal Elections)	Includes copies of proof of identification when submitted with application. Authority provided by Wis. Stat. 7.23(1)(f).	Event+22 months; Event = Date of Election - All materials and documentation associated with a federal election must be retained at least 22 months after the election. Federal elections include those for the office of President of the U.S., U.S. Senator, and U.S. House of Representatives (Wis. Stat. § 7.23(1)(f)).	No	Waived
	Applications for Absentee Ballots (State, County, Local Elections)	Includes copies of proof of identification when submitted with application. Authority provided by Wis. Stat. 7.23(1)(k).	Event+90 days; Event = Date of Election	No	Waived
	Ballots (Federal Elections)	Federal election ballots. Authority provided by Wis. Stat. 7.23(1)(f).	Event+22 months; Event = Date of Election	No	Waived
	Ballots (State, County, Local Elections)	State, county, local offices. Authority provided by Wis. Stat. 7.23(1)(h).	Event+30 days; Event = Date of Election	No	Waived
	Ballots (Unused and related Materials)	Only applies to unused ballots and materials. Authority provided by Wis. Stat. 7.23(1)(a).	Event+3 business days; Event = Completion of all election canvasses - Materials must be retained in event a petition for recount has been filed.	No	Waived
	Detachable Recording Units	Data storage devices used in electronic voting equipment. Authority provided by Wis. Stat. 7.23(1)(g). Devices are returned to the County Clerk after each election.	Event+21 days; Event = Date of Election	No	Waived
	Detachable Recording Units (Primary Elections)	Data storage devices used in electronic voting equipment. Authority provided by Wis. Stat. 7.23(1)(g). Devices are returned to the County Clerk after each election.	Event+14 days; Event = Date of Election	No	Waived
	Voter Ticket Numbers (Federal Elections)	Individual voter ticket numbers issued election day.	Event+22 months; Event = Date of Election	No	Waived
	Voter Ticket Numbers (State, County, Local Elections)	Individual voter ticket numbers issued election day.	Event+90 days; Event = Date of Election	No	Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Clerk					
Campaign					
	Campaign Finance Reports	Financial disclosure reports filed by candidates during election campaigns. Authority provided by Wis. Stat. 7.23(1)(d).	Event+6 years; Event = date of receipt	No	Waived
	Campaign Registration Statements	Statements filed by candidates for public office. Includes Notification of Non-candidacy for reelection forms. Authority provided by Wis. Stat. 7.23(1)(d).	Event+6 years; Event = termination issued by the registrant	No	Waived
	Nomination Papers (Local Elections)	Nomination papers filed by candidates for public office.	Event+6 years; Event = termination issued by the registrant	No	Waived
Reports and Lists					
	Election Notices	Includes proofs of publication and correspondence filed in connection with such notices. Authority provided by Wis. Stat. 7.23(1)(j)	Event+1 year; Event = Date of election	No	Waived
	Election Notices (Federal Elections)	Includes proofs of publication and correspondence filed in connection with such notices. Authority provided by Wis. Stat. 7.23(1)(j)	Event+22 months; Event = Date of Election	No	Waived
	Election Voting and Registration Statistics Reports	Reports filed by municipal clerks on registration, voting, and absentee voting. This is tracked in statewide voter registration system. Authority provided by Wis. Stat. 6.275-6.276.	Event+22 months; Event = Date of Election	No	Waived
	Ineligible Elector Registrations	Elector registrations deemed ineligible for voting. Status and reasons for ineligibility should be noted. Authority provided by Wis. Stat. 7.23(1)©.	Event+4 years; Event = When deemed ineligible	No	Waived
	Inspectors' Statements (Federal Elections)	EL-104s	Event+22 months; Event = Date of Election	No	Waived
	Inspectors' Statements (State, County, Local Elections)	EL-104s	Event+30 days; Event = Date of Election	No	Waived
	Tally Sheets (Federal Elections)	EL-105	Event+22 months; Event = Date of Election	No	Waived
	Tally Sheets (State, County, Local Elections)	EL-105	Event+30 days; Event = Date of Election	No	Waived
	Official Canvassers Statements	Prepared statement showing the results of each election. Authority provided by Wis. Stat. 7.23(1)(i).	Permanent	No	N/A
	Poll (Voter) Lists	List compiled by election officials on election day showing the names and addresses of electors who actually cast votes in an election defined in Wis. Stat. 5.02(4). Authority provided by Wis. Stat. 7.23(1)€. This information is kept electronically.	Event+22 months; Event = Date of Election	No	Waived
Licenses and Permits					
	Correspondence	Correspondence sent on behalf of a committee, commission, or board regarding a decision made by the body.	Creation + 5 years	No	Waived
	Liquor and Beer Licenses/Alcohol Licenses	Includes license applications (approved and unapproved) and license stubs. Includes all alcohol related licenses including, but not limited to, Class A, Class B, Class C, Operator, Temp B, Cider Authority provided by Wis. Stat. § 125.04(3)(i).	Creation + 5 years	No	Waived
	License Applications	Includes license applications (approved and unapproved) and license stubs. Includes all non-alcohol related licenses including, but not limited to, pet, animals, cigarette, nightclub, secondhand dealer, taxi operator, and vending.	Creation + 5 years	No	Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Clerk					
	Permit Applications	Includes permit applications (approved and unapproved) and permit stubs. Includes alcohol and non-alcohol related permits including, but not limited to, picnic beer, blasting, street use, fireworks, mobile food cart, mobile food vendor, solicitor, and special event permits.	Creation + 5 years		Waived
	Permits	Permits for public space usage. Includes, but not limited to, burning, street usage, and parking permits. NOTE: See Building Inspection Section for retention of building permits.	Creation+5 years	No	Waived
	Permits (septic tanks)	Permit for a septic tank. The permit records the location and ownership of the tank.	Permanent	No	N/A
	Reports for license fees	Annual reports including but not limited to, DOR alcohol and tobacco reports	Creation + 5 years		Waived
Special Assessments					
	Preliminary Resolutions	Issued by municipal district describing the purpose of the project, calculations, limits of assessment district, and number of installments to be paid.Authority provided by Wis. Stat. § 66.0703(4).	Permanent	No	N/A
	Final Resolutions	Final authorization of special assessments. Authority provided by Wis. Stat. § 66.0703(8)(d).	Permanent	No	N/A

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Engineering					
Engineering Documents					
	Annual Report		Permanent	No	N/A
	City Survey Files		Permanent	No	N/A
	Construction Plans: Final As-Built Projects	Final as-built plans and original drawings for public for buildings, streets, sewers, sidewalks, etc.	Event; Event = Life of structure	No	Waived
	Construction Plans: Final As-Built Projects (Historically Significant)	Use for historically significant projects.	Event; Event = Life of structure	No	Notify
	Environmental Assessment & Impact Statements	Official copies of environmental assessments, impact statements and related documentation related to municipal construction projects. May include: environmental assessment reports and drafts, environmental impact statement (draft and final), legal notices, comments from the public, DN and others, related correspondence and supporting materials.	Event+6 years; Event = Termination of municipal ownership of the land	No	Notify
	Excavation Plans of Private Utilities	Plans submitted by utilities needing to excavate to develop, expand, or repair utility lines.	Permanent	No	N/A
	Field Notes		Permanent	No	N/A
	Historic Survey Files		Permanent		N/A
	Maps: Construction and Topographical	May include maps covering environmental impact/changes, development of specific areas, and the impact on public infrastructure (utilities, roads, sidewalks)	Permanent	No	N/A
	Municipal Construction Plans: Final As-Built Projects (Historically Significant)	Use for historically significant projects. (Typically large-scale projects. May include construction of a major municipal facility, as well as projects involving facilities significant to the State of WI or United States history; buildings on the State or National Register of Historic Places.)	Event; Event = life of structure	No	Notify
	Municipal Construction Plans: Final As-Built Projects	Final as-built plans and original drawings for public for buildings, streets, sewers, sidewalks, etc.	Event; Event = life of structure	No	Waived
	Municipal Project Records	All documents pertaining to a project including, design and construction contracts, proposed and approved amendments to all contracts, bidding plans and specifications, details on materials used on each project, and all other related project materials. Use for buildings, streets, sewers, sidewalks, etc.	Event+10 years; Event = Date project is completed	No	Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Engineering					
	Municipal Project Records (Historically Significant)	Use for historically significant projects. (Projects are typically large-scale and may include new construction of a major municipal facility, as well as projects involving facilities significant to the State of WI or United States history; buildings on the State or National Register of Historic Places.)	Event; Event = Life of structure	No	Notify
	Permit Applications (i.e. excavation of streets by private utilities)	Includes permits for the excavation of streets by private utility companies.	Creation + 3 years	No	Waived
	Petitions for Street & Sewer Systems		Event+2 year; Event = Project completion date.	No	Waived
	Profile & Grade books	Documentation of landscape and features.	Permanent	No	N/A
	Section Corner Monument Logs		Permanent	No	N/A
	Sewer Inspection Records	Indicates problems such as cracked or broken pipes, improper alignment, or loose lateral connections.	Event; Event = Superseded	No	Waived
	Special Assessment Calculations		Creation+2 years	No	Waived
	State Highway Aids Program Records	Records of state aid pertaining to road maintenance.	Creation+7 years	No	Waived
	Street Vacations & Dedications (copies)		Permanent	No	N/A
	Structure Plans for Municipal Bldgs. & Bridges		Life of structure	No	Waived
	TV Sewer Inspection Records		Until superseded	No	Waived
Public Works Projects/Contracts					
	As-built tracings		Life of Project	No	Waived
	Blueprints		Until superseded	No	Waived
	Building Lease Files	Files on leased facilities.	Event+7 years; Event = End of lease	No	Waived
	Certified Checks		Until contract signed	No	Waived
	Master Projects		Event+20 years; Event = Life of structure	No	Waived
	Notice to contractors		Event+7 years; Event = Project Completion	No	Waived
	Project Records	All documents pertaining to a project including, design and constructions contracts, proposed and approved amendments to all contracts, bidding plans and specifications, details on materials used on each project, and all other related project materials. Use for buildings, streets, sewers, sidewalks, etc.	Event+10 years; Event = Date project is completed	No	Waived
	Project Records (Historically Significant)	Use for historically significant projects.	Event; Event = Life of structure	No	Notify
Street & Highway					

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Engineering					
	Engineer Records in connection with construction projects		Event (until record is superseded or 6 years after plant is retired, provided mortality data are retained.)	No	Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
EMS					
Ambulance Reports					
	Ambulance Run Reports	Incident report, patient treatment record	Creation+7 years	Yes*	Waived
Operational Records					
	Attendance records	Base schedule, days and hours worked, overtime shifts worked, special event, paid training	Termination of employee	Yes*	Waived
	Controlled Substance custody	Chain of custody from placing order, product receipt, product storage, product disbursement, product administration, product waste	Fiscal+7 years; Fiscal = Fiscal year in which it occurred	No	Waived
	Training records	Course completion certificates, attendance rosters, credentials	Event + 2 years; Event = Date of Occurance	Yes*	Waived
Personnel					
	Personnel files	Disciplinary actions, personal information i.e., licensures	Permanent	Yes*	N/A
* May be subject to public records inquiry					

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Finance					
Accounts Payable					
	Auditing services for successful bids		Event+7 years; Event = End of bid process.	No	Waived
	Auditing services for unsuccessful bids		Event+7 years; Event = End of bid process.	No	Waived
	Check Register		Fiscal+7 years; Fiscal = End of fiscal year.	No	Waived
	Check Stubs		Fiscal+7 years; Fiscal = End of fiscal year.	No	Waived
	Details Listings - List of Claims		Fiscal+7 years; Fiscal = End of fiscal year.	No	Waived
	Employee Reimbursement (Benefit Bank)		Fiscal+7 years; Fiscal = End of fiscal year.	No	Waived
	Fixed Assets, equipment		Life of equipment	No	Waived
	Fixed Assets, property		Permanent	No	N/A
	Invoices		Fiscal+7 years; Fiscal = End of fiscal year.	No	Waived
	Vendor Listing		Fiscal+7 years; Fiscal = End of fiscal year.	No	Waived
	Vouchers		Fiscal+7 years; Fiscal = End of fiscal year.	No	Waived
Accounts Receivable					
	Appropriation Journal		Fiscal+15 years; Fiscal = End of fiscal year.	No	Waived
	Appropriation Journal Voucher		Fiscal+15 years; Fiscal = End of fiscal year.	No	Waived
	General Journal** **=Bound in same ledger		Fiscal+15 years; Fiscal = End of fiscal year.	No	Waived
	General Ledger** **=Bound in same ledger		Fiscal+15 years; Fiscal = End of fiscal year.	No	Waived
	Invoices		Fiscal+7 years; Fiscal = End of fiscal year.	No	Waived
	Journal/voucher		Fiscal+15 years; Fiscal = End of fiscal year.	No	Waived
	Receipts		Fiscal+7 years; Fiscal = End of fiscal year.	No	Waived
	Receipts Journal** **=Bound in same Ledger		Fiscal+15 years; Fiscal = End of fiscal year.	No	Waived
	Trial Balance** **=Bound in same ledger		Fiscal+1 year; Fiscal = End of fiscal year.	No	Waived
	Voucher/order register		Fiscal+15 years; Fiscal = End of fiscal year.	No	Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Finance					
Budgets & Audits					
	Approved Annual Operating Budget	Records related to establishing the base level agency annual operating budget each fiscal year.	Fiscal+6 years	No	Waived
	Audit Reports	Reports that evaluate the financial holdings of the municipality.	Event+7 years; Event = Final report issued	No	Waived
	Budget Documents/Development	Records include final budget requests (forms or their equivalents), justifications/analysis, policy papers, related correspondence, and requests for information.	Fiscal+6 years	No	Waived
	Final Budget	The final budget document for the municipality.	Permanent	No	N/A
Treasurer's Records					
	Bank credit/debit notices		Fiscal+7 years; Fiscal = End of fiscal year.	No	Waived
	Bank Statements/Reconciliations	Statements received from institutions holding the municipality's funds.	Creation + 7 years	No	Waived
	Canceled order checks		Fiscal+7 years; Fiscal = End of fiscal year.	No	Waived
	Cash drawer reconciliation		Fiscal+1 year; Fiscal = End of fiscal year.	No	Waived
	Cashbook	Overall record accounting for receipts and disbursements, usually for fiscal or calendar years.	Event+7 years; Event = Transaction date	No	Waived
	Collection & Disbursement Reports	Reports showing the amounts collected, amounts retained by county/local government, and portion sent to state.	Event+3 years; Event = Transaction date	No	Waived
	Credit Card Receipts or Information Received from Sales	Credit card receipts and related documentation associated with credit card transactions.	Event+3 years; Event = Transaction date	No	Waived
	Duplicate deposit tickets		Fiscal+1 year; Fiscal = End of fiscal year.	No	Waived
	Financial support records	Records used in reconciling bank statements and verifying expenditures. Includes, but is not limited to, credit/debit notices, cash reconciliations, and deposit stubs.	Event+1 year; Event = Audit	No	Waived
	Investment records		Fiscal+7 years; Fiscal = End of fiscal year.	No	Waived
	Issued Checks	Checks issued by the municipality that are outstanding or have been cleared by the bank.	Creation + 7 years	No	Waived
	Lists of outstanding checks		Fiscal+7 years; Fiscal = End of fiscal year.	No	Waived
	Municipal Tax Rolls/Final Tax Rolls	Real and Personal Property Rolls. Calculated from assessment rolls to include total taxes and charges to be collected. Combined record of calculations used to set final taxes.	Creation+15 years	No	N
	Receipts and other receipt books - electronic		Fiscal+7 years; Fiscal = End of fiscal year.	No	Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Finance					
Fidelity Bonds					
	Fidelity bonds		E+5 after expires; Event = Expiration of bond.	No	Waived
	Fidelity bond book		E+5 years; Event = Expiration of bond.	No	Waived
Municipal Borrowing					
	Bond Records	All records associated with municipal bonds. Also includes the bond register, bond payment register, and any certificates of destruction when the bond agent has been authorized to destroy cancelled bonds, coupons, and promissory notes.	Event+7 years; Event = Bond issue expires or following payment of all outstanding matured bonds/notes/coupons, whichever is later	No	Waived
	Cancelled bonds, coupons, & Promissary notes		Until Audited	No	Waived
Payroll					
	Annual Report of Fed Income Tax withheld (W-3)		Fiscal+5 years; Fiscal = End of fiscal year.	No	Waived
	Bi-weekly time sheets		Fiscal+2 years; Fiscal = End of fiscal year.	No	Waived
	Cancelled Checks		Fiscal+5 years; Fiscal = End of fiscal year.	No	Waived
	Check Register		Fiscal+5 years; Fiscal = End of fiscal year.	No	Waived
	Deferred comp. Payment records		E+5 years; Event = End of service date	No	Waived
	Employee Leave and Overtime Requests	Employee leave and overtime requests. May include, but not limited to, initial request, approval, denial, or change and related correspondence.	Event+5 year and destroy confidential; Event = Date of last correspondence related to leave or overtime request.	Yes*	Waived
	Employee Payroll and Benefit Records	Documents maintained throughout the employee's term of employment such as withholding agreements and voluntary insurance records. May include, but not limited to, federal and state withholding, earned income credit, and ERA records.	Event+8 years and destroy confidential; Event = Date of termination.	Yes*	Waived
	Employer's Annual Reconciliation of WI Tax withheld (Wt-7)		Fiscal+5 years; Fiscal = End of fiscal year.	No	Waived
	Enrollment & Waiver Cards* *In Personnel File		E+2 years; Event=Superseded or Terminated	No	Waived
	Federal Deposit Tax Stubs (IRS-501)		Fiscal+5 years; Fiscal = End of fiscal year.	No	Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Finance					
	Financial Institution Accounting Records	Reports and correspondence related to transfers of payroll funds to financial institutions. Documents issues and concerns related to transfers of funds to banks for payroll, reports that total deduction totals and related records. May include, but not limited to, electronic deposit correspondence and ACH cancellation notices.	Fiscal+4 years and destroy confidential;Fiscal = End of fiscal year.	Yes*	Waived
	Leave Accounting Records	Records used to process transactions for current leave usage, sabbatical and other longterm leave and includes the ending balance for the pay period.	Event+15 years and destroy confidential; Event = Date of Last Pay Period	Yes*	Waived
	Levy and Garnishment Records	Employee wage actions for state or federal court ordered wage assignments or earning garnishments, federal IRS levies and Wis. Dept. of Revenue liens.	Event+3 years and destroy confidential; Event = Date levy or garnishment is terminated.	Yes*	Waived
	Master Pay Period Record	Detailed histories of payroll and leave transactions. Records capture payroll and leave data. May include, but not limited to, timesheet, or equivalent, information, benefits statement, wage and tax statement (W2) documents.	Event+15 years and destroy confidential; Event = End of calendar year.	Yes*	Waived
	Monthly and Quarterly Payroll Reports	Includes, but is not limited to, quarterly report of federal income tax withheld; quarterly report, payroll summary; state's quarterly report of wages paid, and monthly memorandum report.	Event+5 years; Event = Report Issued (provided record has been audited)	No	Waived
	Paycheck Detail Records	Records are final payroll results of the payroll processing functions for each employee. May include, but not limited to, calculations to arrive at gross and net check amounts.	Event+15 years; Event = Date of Last Pay Period	Yes*	Waived
	Payroll Administrative Reports	Reports generated to administer the payroll system. May include, but not limited to, ERA deduction totals and deferred compensation information.	Event+2 years and destroy confidential; Event = Date report is generated.	Yes*	Waived
	Payroll and Benefits Reports	Source documents and output reports. May include, but not limited to, leave request and associated approval or denial, overtime documentation, Limited Term Employee (LTE) tracking, fringe benefit tracking and reports, Wisconsin Retirement System (WRS) remittance and lookback, and unemployment compensation gross earnings and taxable wage report.	Event+5years and destroy confidential; Event = Date report is generated.	Yes*	Waived
	Payroll Adjustments	Adjustments made to the payroll and supporting documentation. May include, but not limited to, retroactive adjustments to hours worked, lump-sum pay adjustments, benefit adjustments, and gross salary adjustments.	Event+5years; Event = Last date of pay period.	No	Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Finance					
	Payrolls and Payroll Registers	Payroll listings showing gross and net pay, as well as deductions for employees. Also includes payroll voucher signature pages. Referred to on questions of back pay and income taxes.	Creation+4 years	No	Waived
	Premium due notice		Fiscal+5 years; Fiscal = End of fiscal year.	No	Waived
	Quarterly Report of Fed Income Tax Withheld (IRA-94E)		Fiscal+5 years; Fiscal = End of fiscal year.	No	Waived
	State Quarterly Report of Wages Paid OAR-S3		Fiscal+5 years; Fiscal = End of fiscal year.	No	Waived
	Support Records (Worksheets, Journals)		Fiscal+2 years; Fiscal = End of fiscal year.	No	Waived
	Time Off Records		Fiscal+2 years; Fiscal = End of fiscal year.	No	Waived
	Unemployment Compensation Records	Requests and action associated with staff requesting unemployment compensation. May include, but not limited to, requests to employer for wage and separation information, notice of determination or redetermination, check stubs, and earnings history report and supporting documentation.	Event+5 years and destroy confidential; Event = Date of receipt or response.	Yes*	Waived
	W-2's & 1099's		Fiscal+5 years; Fiscal = End of fiscal year.	No	Waived
	Wage & Tax Statement (W-2)		Fiscal+5 years; Fiscal = End of fiscal year.	No	Waived
	Wage & Tax Statement (WT-9)		Fiscal+5 years; Fiscal = End of fiscal year.	No	Waived
	WI Income Tax Withheld (WT-6)		Fiscal+5 years; Fiscal = End of fiscal year.	No	Waived
	WI Withholding Exempt Cert* *In Personnel File		E+5 years; Event=Superseded	No	Waived
	Withholding Allow Cert (W-F)* *In Personnel File		E+5 after superseded	No	Waived
Pension					
	Documents relating to contributions		Permanent	No	N/A
Purchasing/Contracts					
	Bid Bond		E+7 years; Event = When project is done.	No	Waived
	Bid tabulations		E+7 years; Event = When project is done.	No	Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Finance					
	Bids/Proposals, Successful	Records pertaining to the procurement of all commodities and services which may require a contract. This includes successful bids. Some information may qualify for Trade Secret protection per Wis. Stat. 19.36(5).	Event+6 years; Event = Contract expiration date.	No	Waived
	Bids/Proposals, Unsuccessful	Records pertaining to the procurement of all commodities and services which may require a contract. This includes unsuccessful bids. Some information may qualify for Trade Secret protection per Wis. Stat. 19.36(5).	Event+6 years; Event = End of date of resulting contract or cancellation date of contract or bid/proposal	No	Waived
	Insurance Records		Permanent	No	N/A
	Performance Bonds		E+7 years; Event = When project is done.	No	Waived
	Purchase orders		Fiscal+7 years; Fiscal = End of fiscal year.	No	Waived
	Purchase requisition		Fiscal+7 years; Fiscal = End of fiscal year.	No	Waived
	Receiving report(attached to voucher)		Fiscal+7 years; Fiscal = End of fiscal year.	No	Waived
	Vendor Performance Files	Documentation of vendors and contractors who fail to meet the terms and specifications of purchasing contracts.	Event+6 years; Event = End of contract	No	Waived
Treasurer					
	Daily Cash drawer reconciliations		Event+1 year; Event = Audit completion.	No	Waived
	Pet licenses & receipts		Creation+3 years	No	Waived
Taxes					
	Certificates of Apportionment		Fiscal+5 years; Fiscal = End of fiscal year.	No	Waived
	Collection Receipts		Fiscal+7years; Fiscal = End of fiscal year. (electronic)	No	Waived
	Levy Worksheets		Fiscal+5 years; Fiscal = End of fiscal year.	No	Waived
	Receipt Stub Book		Fiscal+7years; Fiscal = End of fiscal year. (electronic)	No	Waived
	Shared Revenue Notices		Fiscal+6 years; Fiscal = End of fiscal year.	No	Waived
	Statement of Taxes	Combined record of calculations used to set final taxes.	Permanent	No	N/A
	Tax Calculation Support Records	Any record used to calculate municipal taxes. These include any certificates, evaluations, levies, estimates, payments, and credits used to determine real and personal property tax rolls.	Event+7 years; Event = Audit	No	Waived
	Tax Levy Certifications		Fiscal+5 years; Fiscal = End of fiscal year.	No	Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Finance					
	Tax Receipts	Receipts issued by treasurer upon payment of taxes. Includes any supporting documents associated with issuing and recording receipts of payments.	Event+7 years; Event = Audit of records by outside accounting firm	No	Waived
	Tax Settlement Receipt		Fiscal+7years; Fiscal = End of fiscal year.	No	Waived
	Treasurer's Settlement/Tax Settlements	Used to verify tax collections compared to the taxes levied in the municipal records.	Event+7 years; Event = Audit	No	Waived
	Unpaid Tax Statements	List of postponed real property, delinquent real property, and delinquent personal property taxes.	Creation +15 years (Retain with tax roll)	No	Waived
Special Assessments					
	Certified special assessment roll		Retain until collected or 7 years, whichever is longer	No	Waived
	Payment Register	Record of the receipt of scheduled payments - Keeping track of payments made	Event+7 years; Event = Final collection of payments	No	Waived
	Report of Special Assessment	Report of a project that includes plans, specifications, cost estimates, and property affected. See Wis. Stat. 66.0703(5) for more information. Authority provided by Wis. Stat. 66.0703(5).	Creation + 2 years (provided report is on file with public works project record)	No	Waived
	Statement of new special assessments		Creation+5 years	No	Waived
Insurance					
	Claims - Auto and Property Claims		Event+7 years; Event = Date of claim.	No	Waived
Miscellaneous					
	Annual Dog License Report	Annual report to Dane County.	Creation+3 years	No	Waived
	Bankruptcies Court Notices		Event+7 years; Event = Date of bankruptcy	No	Waived
	Title Documentation	Records documenting the title of land owned by the municipality including the abstract and certificate of title, opinions of title, and title insurance policies.	Permanent	No	N/A
* May be subject to public records inquiry					

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Human Resources					
	Advertisements	Advertised openings	Event+3 years; Event = Job hire date	No	Waived
	Applications (Hired)	Applications * (Hired) * In Personnel file	Permanent	Yes*	N/A
	Applications (Not Hired)	Applications (Those Not Hired)	Event+1 year; Event = Job hire date	Yes*	Waived
	Background Investigations	Files from police dept/FBI source or reference checking documents	Event+3 years; Event = Job hire date	Yes*	Waived
	Discipline Records	Memos, electronic messages, etc relating to employee discipline	Permanent	Yes*	N/A
	Drug Screen Results	DOT and non-DOT Drug Screens	Event+7 years; Event = Termination of employment	Yes*	Waived
	EAP Records	Counseling for individual as condition of emp.	Event+30 years; Event = Termination of employment	Yes*	Waived
	EEO Forms & EEO-4 Report	EEO forms for each applicant	Creation + 3 years	Yes*	Waived
	Employee Files	Individual employee personnel files.	Permanent	Yes*	N/A
	Exposure Records	Environmental monitor/measure of toxic substance or harmful agents	Event+30 years; Event = Termination of employment	Yes*	Waived
		Correspondence relating to DSPS inspections and citations	Creation + 5 years	No	Waived
	Exit Interviews	Any exit interview forms or notes relating to employment termination	Event+6 years; Event = Termination of employment	Yes*	Waived
	FMLA or other Leave Records	FMLA notification, dates requested/used, correspondences	Event+3 years; Event = Termination of employment	Yes*	Waived
	Grievances, Mediation & arbitration records	Records of grievance, union contracts negotiations, mediations, and arbitrations	Permanent	Yes*	Waived
	I-9 Forms	I-9 forms completed by all new hires	Event+3 years; Event = Termination of employment	Yes	Waived
	Insurance/Pension	Contracts	Permanent	No	N/A
	Internal Policies and Procedures, Directives, & Policy Manuals	Established departmental policies and procedures. (Note: May also be called administrative practices or directives or executive directives)	Event+7 years; Event = Date the policy/ procedure is superseded or made obsolete	No	Waived
	Job Descriptions	Obsolete job descriptions	Event+3 years; Event = Date it becomes obsolete	No	Waived
	Medical Records	Pre-employment physicals, drug screenings,etc	Permanent	Yes	N/A
		Applicants not hired	Event+5 years; Event = Termination of employment	Yes*	Waived
	MSDS sheets	Material Safety Data Sheets	30 yrs after end of use	No	Waived
	Other Records	Records pertaining to promotion, demotion, transfer, layoff, or termination	Event+3 years; Event = Termination of employment	No	Waived
	Other Records - Hiring	Terms of compensation, selection of training, etc.	Event+3 years; Event = Job hire date	Yes*	Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Human Resources					
	Performance Evaluations	Documents, written or electronic relating to employee performance	Permanent	Yes*	N/A
	Reasonable accommodation Requests	Requests, complaints, correspondences	Event+1 year; Event = Date of request	Yes	Waived
	Requests for Verification of Employment	Any written request for verification for salary info	Event+3 years; Event = Request date	Yes*	Waived
	Risk Management	OSHA 200/300 logs	5 years following that year	No	Waived
		Obsolete Safety Policies	3 years after expiration/change	No	Waived
	Tests	Test used during the application or recruiting process	Event+3 years; Event = Job hire date	Yes*	Waived
	Training records	Record of training attendees, outline of training provided, dates, etc.	Until outdated	No	Waived
	Tuition Reimbursement	Any educational assistance/tuition reimb.	Event+6 years; Event = Termination of employment	No	Waived
	Unemployment	Request for verification of payroll record, claims, correspondence	Event+1 year; Event = Date of notice	Yes*	Waived
	Union Contracts	Bargaining unit contracts	Permanent	No	N/A
		Beneficiary Info., Enrollments and payment	Permanent	Yes	N/A
	Worker's Compensation	Claims	Event+30 years; Event = Termination of employment	Yes*	Waived
		Reports of Injury, accident reports & settlements	Event+30 years; Event = Termination of employment	Yes*	Waived
* May be subject to public records inquiry					

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Information Technology					
Purchasing					
	Project and Equipment Bids	Requests for proposals, bid specifications, and any related documentation	Event + 7; Event = When project done	No	Waived
	Software Licenses	License keys and certificates	Event + 2; Event = Activation Date	No	Waived
	Vendor Contracts	IT-related vendor contracts	Event + 7; Event = When project done	No	Waived
Electronic Correspondence					
	General Staff	Business-related correspondence (paper and electronic) of non-appointed general staff.	Event + 2 years; Event = Creation or receipt Note: Correspondence that relates specifically to a program or project may need to be retained per that particular schedule	No	Waived
	Senior Level or Elected Official	Business-related correspondence (paper and and electronic) of senior level staff and elected officials.	Event + 6 months; Event = Separation from position/end of term Note: Correspondence that relates specifically to a program or project may need to be retained per that particular schedule	No	Notify
Security					
	Surveillance Recordings	Monitoring and surveillance recordings for public buildings, street cameras, and public transportation. This does not apply to footage recorded by police body cameras, patrol dashboard cameras, or any similar police recording device.	Event + 120 days; Event = Date of recording. (120 days is the time within which a claim may be filed against a governmental body as defined in Wis. Stats. § 893.80). Surveillance recordings that are required for any legal or programming purpose (such as open records requests, claims, case file, or litigation holds) must be retained in accordance with any applicable records schedules and/or have completed their legal or programming requirements.	No	Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Library					
The Sun Prairie Public Library will be fully adopting the General Records Schedule for Wisconsin's Public Libraries and Public Library Systems and Related Records					

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Maps & GIS					
Hardcopy Mapping (pdf's)					
	General City Maps	General city map, facilities, parking, subdivisions, etc.	Permanent	No	N/A
	Other Maps	Series may documents road locations or surfaces, zoning information, parks, flood plains, soils, or parcel boundaries. This record series may also include indexes to maps.	Permanent		N/A
	Planning and Zoning	Landuse, zoning, parks, bike routes, etc.	Permanent	No	N/A
	Public Safety	EMS map book, EOC, police districts, etc.	Permanent	No	N/A
	Public Works	Refuse and recycling, plow routes, official transportation, etc.	Permanent	No	N/A
	Stormwater Collection System	Stormwater map book, facilities, etc.	Permanent	No	N/A
	Voting	Voting wards, district, etc	Permanent	No	N/A
	Wastewater Colleciton System	Wastewater map book, wall map, etc.	Permanent	No	N/A
GIS Data (tif's)					
	Aerial Photographs	Fly Dane Orthophotography	Permanent	No	N/A
GIS Data (File Geodatabase)					
	Address	Address points and recycling	Permanent	No	N/A
	Administrative Areas	Corporate limits, annexations, school districts, etc.	Permanent	No	N/A
	Capital Planning	Capital project	Permanent	No	N/A
	Election Administration	District, early voting locations, wards, etc.	Permanent	No	N/A
	Facility Streets	Bike paths, crossing guards, roads, street signs, traffic signals, etc.	Permanent	No	N/A
	Fire Service Operations	EMS incidents, EMS stations, Fire Stations, etc.	Permanent	No	N/A
	Forestry	Trees	Permanent	No	N/A
	Law Enforcement	Police districts, stations, etc.	Permanent	No	N/A
	Parcels	Parcels, row, etc.	Permanent	No	N/A
	Parks and Recreation	Parks, shelters, facilities, etc.	Permanent	No	N/A
	Planning	Land use, future land use, zoning, etc.	Permanent	No	N/A
	Pulbic Safety	Child safety zones, city cameras, etc.	Permanent	No	N/A

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Maps & GIS					
	Reference Data	Places of interest, school sites, cell towers, etc.	Permanent	No	N/A
	Stormwater	Gravity mains, manholes, ponds, weirs, etc.	Permanent	No	N/A
	Wastewater	Gravity mains, manholes, laterals, etc.	Permanent	No	N/A

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Media Center					
	Board of Review Recordings	Recordings of Board of Review meetings. May be audio only or may video and audio.	Creation + 7 years; Creation = Date of Meeting	No	Waived
	Meeting Recordings	Recording of all city meetings used to produce minutes. Authority provided by Wis. Stat. 19.21(7).	Event + 1 year; Event = Date of Meeting	No	Waived
	Program Files	Records relating to programs, events, and activities.	Creation+3 years	No	Waived
Personnel					
	Volunteer Records	Volunteer waiver forms and hour logs	E+7 years; Event = End of service	No	Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Museum					
Accessions					
	Accession Records	Detailed log of items in the permanent collection including when donated, what was donated, who donated, and where it is currently stored	Permanent	No	N/A
	Deed of Gift Form	Form from an individual stating that they own an object and they are giving it to Museum with no strings attached; contains signature of donor and their contact information	Permanent	No	N/A
Personnel					
	Volunteer Records	Volunteer waiver forms and hour logs	E+7 years; Event = End of service	No	Waived
Operations					
	Item on Loan Contract	Contract of items being loaned to the Museum and of items being loaned from the Museum	Event+7 years; Event = End of contract	No	Waived
	Organizational Planning	Includes strategic business plan and operational policies	Event+7 years; Event=Completion of plan	No	Waived
	Professional Service Contract	Professional service contracts, proposals, and invoices	Event+7 years; Event = End of contract	No	Waived
	Visitor Log	Total number of visitors	Permanent	No	N/A

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Parks, Recreation, and Forestry					
Forestry					
	Tree planting, inspection, pruning & removal	GIS asset management will keep all tree-related records	Creation+25 years	No	Waived
Development					
	Master Park Plan	Master plans for parks and park systems. May include maps, drawings, photographs, and reports.	Permanent	No	N/A
	Park Construction Bids, Successful	Park project construction contracts	E+7 years; Event = Date contract expires.	No	Waived
	Park Construction Bids, Unsuccessful	Unsuccessful bid forms	Event+1 year; Event = Audit	No	Waived
	Project Development Records	Project blueprints, final project plans, project as-builts	Permanent	No	N/A
Registration and Reservations					
	Financial assistance applications	Applications	Creation + 3 years	No	Waived
	Program registration documents	Release of liability and waiver forms, program registration, concussion acknowledgment, customer activity history, customer payment history	Creation + 3 years	No	Waived
	Reservation Requests, Rental Agreements, Use Permits, and Contracts	Permits, agreements, and contracts for the use of parks, shelters, and facilities.	Creation+3 years	No	Waived
Park Legals					
	Lease Agreements	Lease agreements with non-City organizations	Event+7 years; Event = Date of lease expiration.	No	Waived
	Memorandum of Understanding	MOUs with non-City organizations	Permanent	No	N/A
	Professional Services Contracts	Contracts and agreements with outside vendors	E+7 years; Event = Date of event	No	Waived
Programs					
	Monthly Navigator activity reports	County 711 Reports	Creation + 3 years	No	Waived
	Program Files	Records relating to programs, events, and activities.	Creation+3 years	No	Waived
Personnel					

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Parks, Recreation, and Forestry					
	Required Trainings	Agendas and sign-in sheets for seasonal staff trainings, lifeguard certification trainings, CPR trainings, safety and hazard related training	Event + 1 year		Waived
	Seasonal Employee Manual Sign-off	Sign-off for seasonal employee manual	Event + 7 years		Waived
	Seasonal Interview Notes		Creation + 1 year	No specific statutes restrict this type of record. However, the balancing test per Wis. Stat. § 19.35(1)(a) should be applied prior to releasing this type of record. Personnel files may contain patient health records which may be protected by Wis. Stat. § 146.82 and/or the Health Insurance Portability and Accountability Act (HIPAA).	Waived
	Volunteer Hour Logs		Fiscal Year + 3 years		Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Planning					
Planning Records					
	Aerial Photographs	Aerial photographs used for planning and map creation.	Until superseded	No	Waived
	Annexation Plats		Permanent	No	N/A
	Annexation Records	Incorporation records such as petitions, hearing testimony and exhibits, court orders, notices, resolutions, ordinances, and related correspondence.	Permanent	No	N/A
	Annual Housing Fee and Affordability Reports	Details regarding fees that are being charged by local governments related to the development and construction of new housing. The second must discuss housing affordability in the community, including the identification of lands that are currently zoned for residential development, and lands that are not yet zoned but are suitable for residential development and redevelopment.	Permanent	No	N/A
	Assessor's Plats	Used to simplify descriptions, for purposes of assessment, taxation, or conveyance, of parcels that otherwise could be described only by metes and bounds.	Permanent	No	N/A
	Assessor's Plats		Permanent	No	N/A
	Block Grant Applications and Grant Admin		Creation+7 years	No	Waived
	Certified Survey Maps	Map showing divisions of land resulting in four (4) or fewer lots.	Permanent	No	N/A
	Comprehensive/Master Plan	Provides general goals, objectives, policies and implementation recommendations to guide the future growth and development of the city.	Event+14 years; Event = Superseded by new plan	No	Notify
	Conditional Use Permits	Applications and related documents for a conditional use permit. Applications include site plan, applicate statement, and evidence/documentation. This series may also include public hearing notice, reports, public hearing documentation, and decision.	Permanent	No	Waived
	Economic Development files		Creation+7 years	No	Waived
	Final Plats	A map showing the divisions of a piece of land, this series includes vacation or alterations of plats, annexation plats, and final subdivision plats.	Permanent	No	N/A
	Housing Rehab-Block Grants		Creation+7 years	No	Waived
	Preliminary Plats	Created during the development of subdivisions.	Permanent	No	Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Planning					
	Planned Development, General Development Plans, Precise Implementation Plans	All approved documents associated with planned development (PD) zoning.	Permanent	No	N/A
	Site Plans	Plan of a site (includes structures, pavement, landscaping, etc)	Permanent	No	N/A
	Street vacancies and dedications	Street dedications may come at time of CSM or platting.	Permanent	No	N/A
	Structure Plans for Municipal buildings		Life of structure	No	Waived
	Zoning and Subdivision Text Ordinance (includes text amendments)	The text of the zoning or subdivision ordinance spells out uniform rules that apply to land division regulations and each zoning district including: uses of the land (permitted, conditional and prohibited uses), dimensional standards (lot size, frontage, setbacks, building height, bulk, floor area), and the density of development. Also includes ordinances and materials related to rezonings. Authority provided by Wis. Stat. § 60.61.	Permanent	No	N/A
	Zoning Map Amendment, Rezoning Files	May include, but is not limited to, maps, rezoning application, written local description of the proposed zoning boundaries, and drawings of the boundaries. Also includes public hearing records.	Permanent	No	N/A
	Zoning Variance Files	Records related to area and use variances. Documentation submitted by landowners to secure a variance to the zoning ordinance.	Permanent	No	N/A
Zoning Board of Appeals					
	Affidavits of Publication	Records providing proof of publication for legal notices as required by law. (Note: See Wis. Stat. § 985.12 for more information on proof of publication).	Event + 7 years; Event = Date of publication	No	N/A
	Zoning Appeals, Approved	Material submitted to appeal a zoning decision. May include maps, rezoning application, written local description of the proposed zoning boundaries, and drawings of the boundaries. Also includes public hearing records.	Permanent	No	N/A

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Planning					
	Zoning Appeals, Unapproved	Material submitted to appeal a zoning decision. May include maps, rezoning application, written local description of the proposed zoning boundaries, and drawings of the boundaries. Also includes public hearing records.	Permanent	No	N/A
	Zoning Board and Zoning Board of Appeals Meeting Material	Agendas, minutes, reports, plans, and other material submitted to the Zoning Board, and/or Zoning Board of Appeals	Permanent	No	N/A
Miscellaneous					
	Accessible Boarding Reports	Reports documenting the accessibility of vehicles.	Creation + 5 years	No	Waived
	Bus Route Schedules and Timetables	Documentation of transit schedules, timetables, routes, and route history.	Event+3 years; Event = Superseded	No	Waived
	Operation Reports	Daily, Weekly, or other periodic reports summarizing transit system operations and ridership.	Creation + 3 years	No	Waived
	Property Survey Records	Includes field notes, benchmark books, and section corner monument logs.	Permanent	No	N/A
Real Property Records					
	Abstracts, opinions, Cert of titles		Permanent	No	N/A
	Deeds(warranty,quit claim, etc)		Permanent	No	N/A
	Easements	Grants of easements to the municipality.	Permanent	No	N/A
	Leases building or land (city owned)		Event+7 years; Event = End of lease	No	Waived
	License Applications	Permits for the excavation of streets by private utility companies.	Creation+3 years	No	Waived
	Zoning Permits	Permit that affirms all conditions of approval associated with given development have been met.	Permanent	No	N/A

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Police Department					
Records					
	Dispatch Operations	All incoming/outgoing Police telephone lines in the Dispatch Center as well as all digitally captured police radio traffic	Creation+120 Days; Creation = When call is received		Waived
	Police Records	Field Reports, Incident Reports, Non-Traffic Citations, Parking Tickets, Uniform Traffic Citations, and Warnings	Permanent		Waived
Municipal Court					
	Court Operations	Municipal court, traffic, juvenile or ordinance violation case files	Event+5 years		Waived
		Municipal court audio recordings	Event+10 years		Waived
Arbitrator Audio and Visual					
	Digital Files	Non-Evidentiary	Event+120 Days		Waived
		Traffic Signal Camera Recording	Event+5 Calendar Days		Waived
		All other offenses (MOC UTC Warnings)	Event+1 year		Waived
		Misdemeanor crimes	Event+3 years		Waived
		All other felony crimes	Event+7 years		Waived
		Robbery, Rape/Sex Assault, Homicide/Suicide/Death	Permanent		Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Public Works					
	Complaint Ledger		Creation+2 years	No	Waived
	Composting Regulations	Docuemnts pertianing to the disposal of year waste.	Event+7 years; Event = Superseded	No	Waived
	Curbside Recycling Program	Documentation of the curbside recycling program including policies, procedures, and administration of the program.	Event+7 years; Event = Superseded	No	Waived
	Drop-Off Site/Recycling Yard Waste	Site operation files and records.	Creation + 7 years	No	Waived
	Fuel Usage Reports		Creation+3 years		Waived
	Household Hazardous Waste Collection Center	Records related to the collection and disposal of paints, corrosives, flammables, toxics, used motor oil, and car/truck batteries.	Creation + 30 years	No	Waived
	Landfill/Garbage Dump Sites	Location of any fill, records of materials deposited, cover materials used, reports of leachate and methane leakage and treatment, source of fill materials, (household, commercial) source of cover materials, and inspection reports.	Permanent	No	N/A
	Motor Vehicle and Heavy Equipment Maintenance Records	Records documenting service and repair orders to motor vehicles. These records normally include maintenance orders, logs, fiscal documents, such as requisitionsof purchase orders for parts or services, vehicle warranties, operation and repair manuals and parts lists.	Event+1 year; Event = Date the vehicle is disposed	No	Waived
	Motor Vehicle Control and Assignment Records	Documentation of agency motor vehicle assignments to employees. Includes but is not limited to completed documentation on reservations for pool cars, individual trips, driver profiles, check-in and check-out logs, vehicle maintenance histories, vehicle expense reports, and vehicle useage reports.	Event+1 year; Event = Date the vehicle is disposed	No	Waived
	Monthly Reports		Creation+3 years	No	Waived
	Purchasing Records		Creation+7 years	No	Waived
	Stock control		Creation+2 years		Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Public Works					
	Street and Sidewalk Operations File	Documentation of the performance of tasks related to street and sidewalk maintenance. This may include solid waste management, street cleaning, repairs, snow removal, and garbage collection.	Creation+7 years	No	Waived
	Street Operations		Creation+2 years		Waived
	Street & sidewalk maintenance & repair		Creation+25 years		Waived
	Vehicle Inspection Reports	Inspections of municipal vehicles.	Event+1 year; Event = Date the vehicle is disposed	No	Waived
	Vehicle Use Agreements	Agreements between individuals and municipalities required before driving a municipal owned vehicle.	Event+1 year; Event = Date the vehicle is disposed	No	Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Public Transportation					
	Accessible Boarding Reports	Reports documenting the accessibility of vehicles.	Creation=5 years	No	Waived
	Americans with Disabilities Act (ADA) Customer Eligibility Files	Files determining the eligibility of customers for ADA transit programs.	Event+6 years; Event=Termination of service or participation by customer	Yes (Patient health information may be protected by Wis. Stat. § 146.82)	Waived
	Bus Route Schedules and Timetables	Documentation of transit schedules, timetables, routes, and route history.	Event+3 years; Event=Superseded	No	Waived
	Dispatch Files	Boarding and alighting, extra board weekly projections and assignments, daily work schedules, and bid mark-ups.	Creation+7 years	No	Waived
	Fare Information Files	Research, background, studies, and other materials used to determine fares.	Creation+7 years	No	Waived
	Operation Reports	Daily, weekly, or other periodic reports summarizing transit system operations and ridership and lost and found reports.	Creation+3 years	No	Waived
	Operator Assignment Records	Documentation of assignment of individual operators to routes and shifts.	Creation+3 years	No	Waived
	Title VI		Creation+7 years	No	Waived
	Title VI Complaints		Creation+7 years	No	Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Tourism & BID					
Tourism					
	Agreements	Including but not limited to grant and sponsorship agreements	Event + 1; Event = Payout has occurred	No	Waived
BID					
	Annual Operation Plan	Annual plan and strategy document for the year, includes the budget	Event + 3 years; Event = Approved by Common Council	No	Waived
	Financial Statement Review	Annual budget review	Event+3 years; Event = Final report issued	No	Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Utilities (Water and Light)					
	All records retention controlled by the PSC				
	All other utility records		C+6 yrs	PCS Schedule	Waived
	Collection reports, summaries, bill stubs, bill copies, customer account adjustments, high bill complaints		3 yrs	PCS Schedule	Waived
	Customer applications, contracts, deposit records, interest receipts		6 yrs	PCS Schedule	Waived
	Customer ledgers, bill summaries, trial balances, account index		50 yrs	PCS Schedule	Waived
	Maps showing location of utility plant		E+ until map is superseded	PCS Schedule	Waived
	Meter reading records		6 yrs	PCS Schedule	Waived
	Receipts of current billings		F+6 yrs	PCS Schedule	Waived
	Revenue summaries		6 yrs	PCS Schedule	Waived
	Uncollectible acct & customer credit records		3 yrs	PCS Schedule	Waived
	Water stubs		F+2 yrs	PCS Schedule	Waived
	Water quality lab tests		E+5 (if information has been transferred to a permanent test site location file	PCS Schedule	Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Water Pollution Control Facility					
Wastewater Treatment					
	Abandoned Mains and Services As-Built	Records may include final designs and location maps. Includes plans of private sewer and water systems.	Permanent	No	N/A
	All Documents Used to Support WPDES Permit	Wastewater Discharge Monitoring and Compliance	Life of Permit	No	Waived
	Annual Land Application Report (Form 3400-055)	Identification of landowners and amount of biosolids applied per acre to farm fields	Creation + 5 years	No	Waived
	Biosolids Nutrient Budget Worksheet	Worksheet calculating loading rates for individual fields	Creation + 5 years	No	Waived
	Compliance Maintenance Annual Report	Annual report of wastewater operations, finances, and staffing	Creation + 3 years	No	Waived
	Daily Biosolids Hauling Worksheet/Land Application Log	Daily log of biosolids volumes hauled to fields	Creation + 5 years	No	Waived
	Daily Plant Report	Operational data related wastewater treatment	Creation + 3 years	No	Waived
	DNR Laboratory Audit Report	Laboratory Audit Report performed by WDNR	Creation + 5 years	No	Waived
	DNR Plant Evaluation Report	Wisconsin Department of Natural Resources evaluation of the treatment facility	Creation + 5 years	No	Waived
	Excavation Plans of Private Utilities	Plans submitted by utilities needing to excavate to develop, expand, or repair utility lines.	Permanent	No	N/A
	Flow Meter Calibration Reports	Influent and effluent flow meter calibration reports	Creation + 3 years	No	Waived
	Inspections	Records documenting the inspection of water and sewer lines.	Permanent	No	N/A
	Laboratory Bench Sheets	Laboratory Test Results for Wastewater Analyses	Creation + 3 years	No	Waived
	Laboratory QA/QC Documents	Verification of accuracy of lab procedures and lab equipment performance	Creation + 3 years	No	Waived
	Monthly Discharge Monitoring Reports (DMR)	Regulated wastewater test results and plant data submitted to DNR as per WPDES permit	Creation + 3 years	No	Waived
	Plant Capacity Reports	Plant Capacity Reports	Creation + 7 years	No	Waived
	Plant Daily Log Book	Electronically stored data of plant operations	Creation + 7 years	No	Waived
	Plant Process and Building "As-Built" Tracings	Final drawings incorporating all field changes	Until revised	No	Waived
	Plant Process and Building Blueprints	Engineering drawings of treatment plant processes and tankage	Until revised	No	Waived
	Rate and Connection Fee Reviews	Rate and Connection Fee Reviews	Creation + 7 years	No	Waived

Records Retention Schedule					
Record Category	Record Series Title	Brief Record Description	Retention Period	Confidential	WHS Notification
Water Pollution Control Facility					
	Sewer Backup Complaint Forms	Documented reponse to sewer backup complaints	Creation + 7 years	No	Waived
	Sewer Inspection Records	Indicates problems such as cracked or broken pipes, improper alignment, or loose lateral connections.	Event; Event = Superseded	No	Waived
	Sewer TV Inspection Reports (includes videos)	Sewer TV Inspection Reports (includes videos)	Until superseded	No	Waived
	Special Discharge Agreements	Special agreements with entities discharging to the City's sanitary sewer system	Life of agreement	No	Waived
	Waste Characteristics Reporting Form (Form 3400-49)	Laboratory Test Results for Biosolids characteristics	Creation + 5 years	No	Waived
	Wastewater Facility and Collection System Maintenance Records	Documented maintenace activities (Wastewater Facility and Collection System)	Life of equipment/process	No	Waived
	Water and Sewer Main Break Records	A record documenting the history of breaks in water and sewer main lines.	Permanent	No	N/A
	Water, Storm, and Sanitary Sewer Main Maps	Maps providing the location of water, storm, and sanitary sewer mains. Also provides information about the depth, slope, size and composition of these features.	Permanent	No	N/A
	Wisconsin Pollutant Discharge Elimination System Permit	Wastewater Discharge Monitoring and Compliance	Life of Permit	No	Waived
Capital Projects/Contracts					
	As-built tracings		Until revised	No	Waived
	Blueprints		Until revised	No	Waived
	Certified Checks		Until contract signed	No	Waived
	Notice to contractors		Event+7 years; Event = When project is done.	No	Waived

City of Sun Prairie Policy/Procedure

Title: Retirement and Resignation	
Policy Source: Human Resources Division	Creation Date: February 18, 1986
Application: All Employees	Revision Date: July 22, 2004, December 14, 2007, February 23, 2016, August 23, 2023
Indexed as: COBRA, Retirement	Total Pages: 4

1. General Policy

The City is a service organization with one of its most important resources being the employees who directly provide the services to the community. Even when the employee is leaving us we strive to provide a positive experience and seek their input on improving the work environment. Exiting employees are given the same courtesy as current employees and any benefits available to them will be outlined by the Human Resources Division.

2. Resignation**2.1 Resignation Procedures**

An employee shall file a written letter of resignation to their supervisor stating the reason(s) and the effective date of the resignation. Employees shall provide written notice a minimum of 10 working days prior to their last day of work. Upon notice of resignation, only employees who are retirement-eligible, will be allowed to use vacation time to extend their last day if it results in another month of health/dental insurance coverage.

Retirement-eligible is defined by the nonunion personnel manual and bargaining unit contracts as:

- Nonunion/IAFF – when an employee reaches the age of fifty (50) or older and has fifteen (15) or more years of service. For every additional full year of service to the City above fifteen (15) years, the age requirement shall be decreased by one year.
- WPPA – 20 years of service with the city

The last 10 workdays shall exclude vacation and holidays and any other paid time off, unless approved by the supervisor. Failure to provide the proper notice of resignation as identified in this section shall cause the employee's personnel record to indicate that the employee did not leave the City in good standing. The City Administrator retains the right to waive the resignation notice requirement if it is in the best interest of the City to do so.

The Department Manager shall immediately route the letter of resignation to the Human Resources Division whereby, it shall become part of the employee's personnel file. Resignation notices cannot be rescinded without approval from the City Administrator.

2.2 Computation of Final Paycheck

Any employee who either retires or resigns from the City shall be paid for all hours worked up to and including their last day of employment including regular and overtime compensation.

Regular full-time and regular part-time employees shall receive compensation of all unused and accrued vacation allowances at the employee's current rate of pay provided the employee resigns in good standing. To resign in good standing, an employee must provide two (2) weeks written notice of such intention, unless waived by Human Resources. If the required written resignation notice is not given, nor waived as provided herein, the employee shall not be considered to have resigned in good standing and will not be eligible to receive payment for accrued benefits which may otherwise be payable under separation. Specifically excluded from this are all new employees who terminate their employment prior to completion of their first year.

As outlined in the nonunion personnel manual and bargaining unit contracts, there are limits to the payout of any unused vacation time carried into the following year. See those documents for further detail.

2.3 Disposition of Final Paycheck

The final paycheck shall be computed and provided in the next regular payroll process. The final paycheck shall not be processed until:

- A. All City employees leaving the service of the City shall be responsible for returning any City property that he/she may have their possession. Upon termination of service, any such property must be returned to the Department from which the employee was assigned. Failure to return City property will result in the final paycheck being reduced by the amount of the outstanding property. For sworn personnel, all uniforms and equipment owned by the City must be returned before the final paycheck will be issued.
- B. The Human Resources Division has contacted the employee regarding initiating deductions for all amounts owned by the employee to the City. Any deductions made must not decrease the employee's pay to such a degree that the paycheck is less than the Wisconsin minimum wage per hour, per DWD Administrative Code 272.03 Minimum Rates (1).

2.4 Separation Checklist

The Department Manager shall be responsible for the collection of all City owned uniforms, equipment, keys, identification, etc. from employees separated for any reason. This includes purchase/credit cards issued through the Finance Department.

3. Retirement Benefits

Employees eligible for retirement under the parameters of the nonunion personnel manual or applicable bargaining unit contract will be allowed to use vacation time to extend their last day of employment, which could result in the extension of health/dental insurance.

3.1 Conversion of Sick Time

An employee is eligible for "retirement" with the City when they meet the appropriate age and years of service criteria as listed in their bargaining unit contract or personnel manual. Retiring employees under these stipulations are able to convert their accumulated sick leave into their HRA (Health Retirement Account).

3.2 Extension of Insurance to Retiring Employees

The City shall permit retired employees to continue the City's Group Health/Dental Insurance at the retired employee's expense, per the terms and conditions of the plan documents. Any subsequent changes to the Health/Dental Insurance policy shall be effective for retired employees.

3.3 Requesting Funds of Retirement Benefits

Employees eligible for requesting retirement fund withdrawals will be provided the appropriate information through the Human Resources Division.

3.4 Death of an Employee

Regular part-time employees without life insurance coverage through the City that are still in active pay status when they die, shall receive a payout of their sick leave accrual (up to a maximum of 4 weeks). This sick leave will be paid at the employee's regular rate of pay and cannot include any donated time.

5. COBRA Administration

The Human Resources Division manages all health benefit enrollment/change processes; an annual open enrollment program; and the COBRA (Consolidated Omnibus Budget Reconciliation Act) administration for all members of City of Sun Prairie health plans.

Employees are required to contact Human Resources with Family Status Changes that require a change in your insurance coverage. Appropriate notification is given to plan participants, spouses and/or dependents regarding insurance coverage. Employees may be liable for additional expenses if they fail to make contact in a timely manner.

5.1 Terminating employees

The Human Resources Division will meet with all terminating employees with coverage prior to their last day of employment to review COBRA requirements.

Decisions regarding coverage must be conveyed to the Human Resources Division or may result in loss of eligibility for COBRA coverage. Decisions must be in writing by the terminating employee. Every effort will be made to contact the employee.

5.2 Retirees

The Human Resources Division will meet with all retiring employees with coverage prior to their last day of employment to review health coverage options.

Decisions regarding coverage must be conveyed to the Human Resources Division or may result in loss of coverage. Decisions must be in writing by the retiring employee. Every effort will be made to contact the employee.

Human Resources will track individual balances in HRA (Health Reimbursement Accounts) to ensure retiring employees are informed of their eligibility for COBRA.

6. Exit Interview Process

The City of Sun Prairie is committed to improving our employee relations and exit interview responses are used to help fulfill that commitment. Regular part-time and full-time employees leaving the City's employment are asked to provide honest responses to wage, benefit, performance, management, teamwork, and communication questions. An exit interview is used to gain insight into the reasons for leaving employment with the City, to help measure the effectiveness of City personnel and managerial practices, to determine where personnel policies and practices may need review and to determine if supervisory or managerial practices need modification or improvement. Responses are held in the

strictest of confidence. Employees are also given the opportunity to meet with the Human Resources staff individually regarding their concerns.

Exiting employees may allow the release of their employment records to any individual/agency by completing an "Authorization for Relation of Information" form. Without such an authorization on file in the Human Resources Division, only information subject to the Wisconsin Open Records Law will be released.

7. Return of City Equipment

Departments will collect all equipment/tools/keys/access tags from the exiting employee. When items are not returned, the employee will be expected to reimburse the City for such expenses. City issued photo ID card must also be turned in upon leaving.

Repayment arrangements will be made if the individual has been reimbursed more money than the amount contributed to their flexible spending account (medical reimbursement program). The Human Resources Division will work with the employee to create a re-payment plan that best fits the individual's and City's needs.

Employees will also be required to repay the City for any recent tuition reimbursement per City policy, or specialized training program per any re-payment agreement. The Human Resources Division will work with the employee to create a re-payment plan that best fits the individual's and City's needs.

8. Policy Adoption and Interpretation

Questions regarding the application and interpretation of this policy should be directed to the Human Resources Division.

City of Sun Prairie Policy/Procedure

Title: Risk Management Policy	
Policy Source: City Administrator's Office	Creation Date: November 6, 2001
Application: All Employees	Revision Date: April 1, 2010
Indexed as: Risk, Safety, Loss Prevention	Total Pages: 2

1. General Policy

This policy establishes a program to manage risk exposure and uniform procedures for handling the City of Sun Prairie's liability, property and fidelity exposures.

It is the City's policy to manage all risks which could result in financial loss in the most effective and economical way possible. The City Administrator's Office shall be responsible for the development and administration of a Risk Management Program, which will identify, evaluate and control exposures of loss to employees, citizens and property of the City. Catastrophic loss could be devastating to the City's financial well being and service capabilities and must be avoided through sound risk management.

2. Responsibilities

The Finance Director is responsible for correlating, recording and reporting risk management data and coordinating the purchase of all City insurances, as well as formulating and implementing programs and procedures that will minimize the City's property, revenue and personnel losses. This is accomplished by:

- a. Identifying and evaluating all types of losses to which the City may be exposed, as well as analyzing loss history trends;
- b. Analysis of alternate risk management techniques to treat loss exposures;
- c. Selection and implementation of the most viable risk management techniques;
- d. Developing and maintaining a system for timely and accurate recording of losses, claims, insurance premiums and other related costs; and
- e. Monitoring the risk management program to ensure the techniques selected to deal with the City's loss exposures are still the most viable ones.

The Human Resources Director is responsible for establishing, implementing and monitoring the City-wide safety program.

Each department manager is responsible for keeping the Finance Department informed on conditions within their Department which may impact on the City's Risk Management Program. Changes in department activities or operations, new contracts and leases, the purchase or sale of property and equipment or a change in the value of equipment, buildings or property should be reported to the Finance Department as soon as possible.

Managers, supervisors and employees are responsible for assisting the Finance Department in collecting information, preparing risk identification and analysis, and managing the implementation of the risk management process.

3. Insurance Coverage

One element of the City's Risk Management Program is the utilization of various types of insurance to protect the City against financial loss from certain exposures. All insurance for the City shall be purchased through the Finance Director from any source deemed in the best interest of the City when potential loss exposure exceeds the retention level and when such insurance is available on a fiscally sound basis. This insurance shall be reviewed by the Finance Department on an annual basis to ensure that all aspects of the coverage are appropriate and that the levels are adequate to cover the exposures.

Risk Transfer - The City shall transfer risk to persons using municipal facilities or performing any operations for or on behalf of the City whenever possible. All contracts entered into by the City shall be reviewed by the City Attorney to identify and reduce any contractual liability being assumed by the City. Such liability shall be transferred to the contracting party when possible.

Documentation/Records - The Finance Department shall develop and maintain an effective risk management record keeping system. The purpose of the system is to reduce the chances of unplanned assumption of risk and to enhance the overall efficiency of treating risks. A system shall also be established to enable the Finance Department an opportunity to review contracts, hold harmless agreements, certificates of insurance, bid and insurance specification, etc., to ensure conformance to the City's Risk Management standards. Original insurance policies, certificates of insurance, contracts, etc., shall be kept in the Finance Department.

4. Loss Control Program

The Human Resources Department shall establish and maintain a loss control program focusing on the short term (1-3 years), the purpose of which is the prevention or at least reduction of the chance of loss. This program will be coordinated with the City's Safety Program and will encompass all areas of risk management.

City of Sun Prairie Policy/Procedure

Title: Policy for Information Technology Use	
Policy Source: Information Technology	Creation Date: 6/17/2002
Application: All Users of City Technologies	Revision Date: 6/1/2010, 1/17/2013, February 26, 2014, May 6, 2015, December 2,2017
Indexed as: Computer Security, Email, Internet	Total Pages: 17

1. General Policy

The City of Sun Prairie provides a variety of information technology resources to a number of users in an effort to allow them to be more efficient and productive; and have information that is necessary for them to carry out their responsibilities. Users are expected and required to use these information technology resources in a manner consistent with their position and work responsibilities with the City. This means that many users have access to one or more forms of electronic media and services, including computers, e-mail, telephones, cellular telephones, voice mail, fax machines, external electronic forums, wire services, on-line services, and the Internet. These resources are the **property of the City of Sun Prairie** and therefore all data, communications and usage are subject to inspection and review. Users should have **no expectation of privacy** with respect to their use of City-provided resources. If issued City devices, users must use these devices rather than their own personal devices to conduct City business.

This policy cannot define rules to cover every possible situation. The purpose of this policy is to express the City's philosophy and set forth general guidelines for the use of electronic media and services. By adopting this policy, it is the City's intent to ensure the information technology systems are used to their maximum potential for business purposes and not used in a way that is disruptive, offensive to others, or contrary to the best interest of the City. Inappropriate use of the City's technology resources may result in discipline up to and including discharge of employment and may also result in legal action.

The following procedures, standards and policies apply to all electronic media and services that are:

- ▶ Accessed on or from City premises.
- ▶ Accessed using City computer equipment or via City-paid access methods.
- ▶ Used in a manner that identifies the individual with the City.
- ▶ Hosted and/or provisioned by the City
- ▶ Exception - The Sun Prairie Public Library uses City computers to access the South Central Library System (SCLS) LINK network. Some employees have access to only the LINK network while others have access to both the City and LINK networks. When accessing the LINK network, employees will be bound by SCLS and Sun Prairie Public Library Acceptable Use Policies. This exception covers all subsequent sections of this policy. Library users are still bound by the following policies when using networks, accounts, services, or technology provided by the City.
- ▶ In the case of Sun Prairie Utilities, unless otherwise stated, the Utilities Manager is responsible for implementation and oversight of this policy and may designate an IT Professional to carry out duties as required.

2. Definitions *(All definitions listed are within the scope of this policy)*

- A. User - All regular full-time, regular part-time, limited term employees, seasonal employees, temporary employees, and employees from other agencies working within the City government, volunteers, appointed and elected officials and their agents and assignees who have been granted access to and use of the City of Sun Prairie's Information Technology Resources.
- B. Information Technology Resources - For the purpose of this policy, the City of Sun Prairie will define Information Technology Resources as any equipment, hardware, service or software that is assigned and available for employees to use in the course of their work.
- C. Hardware - Physical equipment used for processing or data communications.
- D. Software - Programs, programming languages, instructions, or routines that are used to perform work on a computer.
- E. Data - Information such as records, images, e-mail, or other textual material stored on or accessible through a computer whether that data resides on City computers or is accessible through the Internet or other on-line services through the use of City computers or accounts.

3. Hardware and Software**3.1. Software Use**

Only work-related software is to be used on City computers. No software is to be installed on, or utilized on, any equipment owned by the City or connected to City network systems without prior approval. Anyone desiring to have software installed must first submit a written request to the IT professional authorized to make the determination if the software is allowable, perform virus control checks, and be responsible for installation. No user is to install or uninstall any software on their own. Anyone found utilizing or having unauthorized software on their systems will be subject to disciplinary action in accordance with the Personnel Rules and Regulations. This provision also covers software provided over the internet by a third party, commonly referred to as "cloud services" or Software as a Service "SaaS"

The definition of software includes:

- ▶ Software applications and programs
- ▶ Application enhancements or service packs
- ▶ Screen savers
- ▶ Internet Access
- ▶ Messaging systems
- ▶ File sharing or similar software
- ▶ Hardware and software drivers
- ▶ Any other executable file(s)
- ▶ Any applications or executables downloaded or retrieved from the Internet
- ▶ Cloud services / SaaS (Software as a Service)

3.2. Copying & Software Duplication

The copying of software for any reason is expressly prohibited. Any software in use on any City Computer must be a legally licensed copy or be freely available as open source. The terms and conditions that are found in most commercial software packages prohibit copying their product. The operating license of each commercial software package will establish the final guidelines as to the legality of the copying activity in the event a question arises.

Anyone who knowingly or unknowingly duplicates copyrighted software material is subjecting the City of Sun Prairie and themselves to substantial penalties under the law.

The City's software licensing contracts occasionally allow home use of applications by city staff. Please consult the IT Knowledgebase for details of currently available applications.

3.3. Backup

IT will backup network data on a daily basis for disaster recovery purposes. Users are strongly encouraged to store data in the appropriate network folders that are on the city servers. The IT Department will not be able to assist users who lose data as a result of such data not being stored on the City Servers. Information stored on local C drives or other media is not secure from unauthorized access and cannot be restored in the event of a local disk failure. Local disk drives are to be used for program files and applications only. In the event of a drive failure, these programs and applications can be re-installed from system disks.

3.4. Removable media

Users requiring media to store or transfer files and data may obtain said media from the IT department. Costs for media will be charged to the requesting department. Personal media from users' home computers or other sources may not be used in City Computer systems. With the approval of the Department Head, Media supplied by the City may be used to transfer work related documents and data back and forth from home computers to City computers.

3.5. Acquisition and Use of Technology

The City of Sun Prairie recognizes technology as a productivity tool with potentially unlimited capabilities. Individual departments, however, may experience differing degrees of improvement or return on investment resulting from automation. Justification of need, therefore, is essential. Justifiable uses for technology within the City operation are those uses that effectively solve a customer service problem involving productivity or information availability.

The following uses for technology are recommended and promoted by IT:

- A. to increase productivity;
- B. to improve an existing service;
- C. to offer a new service;
- D. to reduce costs;
- E. to provide for the utilization of more efficient and cost effective techniques, procedures, and methodologies; and
- F. to ensure that current, accurate information is available to enhance the decision making process.

The general criteria used to determine whether technology will be approved for a user location are outlined below:

- A. There must be one or more application need(s) and the resulting service improvement(s) must be identifiable. Technology will not be placed on the premise of unspecified or uncertain benefits.
- B. The application must be capable of being technically supported by the software vendor through a written support contract. IT will work with the department to evaluate the specific need to determine the most appropriate software solution for the user - whether it is a prepackaged application purchased from an outside source or expansion of an existing City system.

- C. Applications requiring large files or City-wide use may not be appropriate for personal computers. Any such applications should be carefully evaluated since some other form(s) of processing may better serve the user department's needs.
- D. Budget requests for new or additional hardware and software should be included in individual departmental budget requests. Although the request is presented in the departmental budget, IT must also be notified of the request. The IT Department will assist departments in identifying specific hardware and software requirements and can also provide cost estimates for budgetary purposes. Computers specified for use at the Public Library may be configured to support connections to both the City and LINK networks. The actual purchase of approved hardware and software must be done through the IT Department. Budgeting for and replacement of all existing technology related items will be undertaken by the IT Department, with the exception of department specific applications, whose replacement will be the responsibility of the individual department. This does not apply to Sun Prairie Utilities where a separate operating budget is adopted.

3.6 Care and Maintenance

Users must insure that their assigned technology is not unnecessarily exposed to extremes of heat or cold, dust, smoke, or other potential contaminants. Drinks and food should be kept away from the equipment and storage media. IT shall be promptly advised of any malfunctions arising with the equipment. Technology located at the Public Library shall be covered by applicable Library and SCLS policies.

3.7 Power Protection

The IT Department will supply suitable surge protectors for all computers and peripherals. When necessary, uninterruptible power supplies (UPS) will also be provided by IT. Surge protectors and UPS units supplied by IT are to be used for computers and peripherals only. Users shall not connect any other electrical devices, i.e. fans, lights, radios, etc. to the power protection devices.

4.1 Computer Security

The Director of Information Technology, or his/her designee is the Chief Information Security Officer (CISO) for the City. The National Institute of Standards and Technology (NIST) Cybersecurity Framework is used as a guide for securing City systems. Sun Prairie Utilities will designate an IT staff professional to work closely with the Director of Information Technology on security issues.

- A. User Accounts - IT employees will be responsible for the creation of new user accounts on the system. Department Heads must promptly report, in writing all significant changes in end-user duties or employment status to the IT department. Each authorized user will be assigned a user identification login name. The login name shall adhere to the following format, first letter of first name and entire last name.
- B. Passwords - Upon initial login, the user will be required to choose a password. Passwords must be a minimum of eight characters in length. The length of passwords will always be checked automatically at the time that users construct them. All computer users must choose passwords that are not easily guessed. This means that passwords must NOT be related to the user's job or personal life. For example, a car license plate number, a spouse or child's name, or an address must not be used. Passwords must not be written down and left in a place where unauthorized persons might discover them. Passwords must be changed every 90 days. The network will remind users when their passwords need to be

changed. The network will deny a password if it does not meet the set criteria. The criteria have been selected to protect the integrity of the City Information System. After three unsuccessful logon attempts, the user will be automatically locked out of the system. The user will have to contact IT to reset their password and unlock the account. Regardless of circumstances, passwords must never be shared or revealed to anyone else besides the authorized user. To do so exposes the authorized user to responsibility for actions that the other party takes with the password. The sharing of passwords is subject to disciplinary action in accordance with the Personnel Policies.

- C. Department Specific Software Security – Several department-specific software applications include their own security settings. The settings may include an administrator login, user logins and passwords or other measures. When these security settings are activated, the Department Head is responsible for providing to the IT Director, in a sealed envelope, the administrator login and password, and any other security settings that have been implemented. The sealed envelope will be placed in a lockbox to be located in the computer room. The IT Director and City Administrator will hold keys for the lockbox. Should any changes be made to the logins, passwords or other settings, the Department Head shall immediately provide the updated information to the IT Director. The sealed information will only be accessed on the authority of the City Administrator.

At Sun Prairie Utilities, a similar security measure has been adopted. The designated IT Professional will hold the administrator logins, passwords, and other security settings in a sealed envelope in a lockbox located in the server room. Only the IT Professional and Utilities Manager will hold the keys for the lockbox and have access authority.

- D. Access by Software Vendors – Occasionally, software vendors may need remote access to City computers. When such access is necessary, IT will provide a secure method for the vendor to gain access to the network.
- E. Software Security – The City of Sun Prairie computer system will include sufficient automated tools to assist in verifying the security status of the system. These tools will include mechanisms for the correction of security problems.
- F. Unattended Computers -To protect the City network, all users shall lock their computer when they are away from their computer for any length of time. The User shall be held accountable for any other person using their computer under their user name and password. For security reasons, IT sets computers to lock after 15 minutes of inactivity. Exceptions to the 15-minute lock policy may be granted by the authorized IT Professional after review of a written request with adequate and substantial justification. Convenience is not an appropriate justification for a lock policy exemption.
- G. Users may not seek to gain unauthorized access to information resources.
- H. Users may not obtain copies of files, or modify files of other users of the City of Sun Prairie without user or Department Head authorization.
- I. Users may not seek information on data or passwords belonging to other users, or misrepresent other users of the City of Sun Prairie.
- J. Users must respect the confidentiality of other individuals' electronic communications.

- K. Users are prohibited from engaging in, or attempting to engage in:
 - a. Monitoring or intercepting the files or electronic communications of other users or third parties.
 - b. Hacking or obtaining access to systems or accounts they are not authorized to use.
 - c. Using another person's login and password information.
 - d. Breaching, testing, or monitoring computer or network security measures.
- L. No e-mail or other electronic communications can be sent that attempt to hide the identity of the sender or represent the sender as someone else.
- M. Electronic media and services should not be used in a manner that is likely to cause network congestion or significantly hamper the ability of other people to access and use the system.
- N. Anyone obtaining electronic access to other organizations', businesses, companies', municipalities', or individuals' materials must respect all copyrights and cannot copy, retrieve, modify, or forward copyrighted material except those that are permitted by the copyrighted owner.
- O. Anyone receiving electronic communications in error shall notify the sender immediately. The communication may be privileged, confidential, and/or exempt from disclosure under applicable law. Such privilege and confidentiality shall be respected.
- P. All logins and significant activity, including system administration, will be logged electronically.
- Q. Prior to being released to third parties, all documentation which describes the City of Sun Prairie system or systems procedures must be reviewed by an IT Professional to ensure that confidential information is not being inadvertently disclosed.
- R. Users should be aware that use of personal devices for City work may result in some personal liability. Should an open records request or other legal action be presented, related to the work done on the personal device, the data and/or device itself may be seized. Users should ensure that their personal devices have adequate virus protection present and that application versions are compatible with those used on City devices.
- S. TIME/NCIC Computer Access - The Sun Prairie Police Department is responsible for the operation and security of the TIME System and accessed information.
 - 1. The TIME system will be used to send authorized and official messages only.
 - 2. The TIME System information will be restricted to authorized law enforcement agencies.
 - 3. No TIME System data will be released for personal or monetary gain purposes.
 - 4. All computer site(s) and/or terminal areas will have adequate physical security to protect against any unauthorized personnel gaining access to the computer equipment or to any of the stored data.
 - 5. Visitors to these areas will be accompanied by authorized personnel at all times and will have prior authorization from the officer in charge before admittance.
 - 6. National Law Enforcement Telecommunications System (NLETS) restrictions:

- A. Only authorized criminal justice agencies/personnel can access Criminal History Record Info (CHRI).
- B. The TIME System operator will comply with the policies and procedures for the access, response, interstate exchange, and legitimacy of CHRI information, set forth in the TIME System manual and the US Department of Justice Rule and Regulations.
- 7. Security Incident
 - A. A security incident is a violation or possible violation of policy that threatens the confidentiality, integrity, or availability of TIME/NCIC information.
 - B. Indicators of a security incident may include system crashes without a clear reason, new files with novel or strange names appearing, changes in file lengths or modification dates, unexplained poor system performance, etc.
 - C. Any suspected security incidents must be immediately reported to the duty supervisor and the Director of Information Technology.
 - D. Employees are instructed to do the following if a security breach is suspected:
 - 1. If possible, close all programs.
 - 2. Immediately shut down affected computer.
 - 3. Tag the affected computer "out of service."
 - 4. Affected computer will remain out of service until authorized by Information Technology Department personnel.
 - E. Reporting to Crime Information Bureau
 - 1. The Information Technology Department will be responsible for documenting and promptly reporting incident(s) to the Crime Information Bureau.
 - 2. Evidence of the security incident may need to be collected and retained to conform to the rules of evidence in case of legal action (either civil or criminal).
- T. Storage of Personal Files – Users may not store any personal files on City network drives, local drives or City provided removable media or cloud storage locations. When discovered, personal files will be documented for potential disciplinary action by the Department Head. Said files will then be deleted with no warning provided to the employee.
- U. Virus Protection/Security Threats – The City provides a robust system for protecting our technology against viruses, malware and other threats. Ultimately though, our first line of defense is our users. Users should be constantly vigilant for any computer activity that seems out of the ordinary. Should users experience any unusual activity, pop-up warning messages or other indications of a virus or security threat, they are to stop what they're doing and immediately contact the IT Department. Do not click on anything on your screen or attempt to fix the problem yourself, unless directed to do so by the IT Department. Should an incident occur after normal business hours, please contact the Police Dispatch Center at 837-7336 and they will connect you with IT Department Staff. In the event that you are unable to contact the IT Department for assistance, please power your computer down and mark it out of service until the IT Department can check it out. Sun Prairie Utilities employees should contact their IT department.
- V. Cloud Storage – Users may not store documents in unapproved locations including, but not limited to cloud storage locations. Receiving data from known and trusted third parties via cloud providers is permissible.

- W. Servers – Departments may not operate servers independently of the Information Technology department unless written permission is obtained. Departments operating those own servers must comply with all City security policies and practices and submit for regular security audits.

4.2 Confidential Information

Standard procedures for protecting confidential information shall be followed. If a document is sensitive in nature, it should be moved to a secure network drive, depending on the Department and particular security requirements. If the nature of the work is such that the user frequently deals with confidential information, the Department Head may approve the use of a password to limit access to the machine or the use of a password to limit access to the document: In such a situation, the Department Head shall be made aware of the password.

The IT Department will take all steps to maintain the confidentiality and security of the Data stored in the Network Servers. The steps include physical security, Network password access, file, and folder security.

All users are expected and required to protect the City's confidential information. Users shall not transmit or forward confidential information to outside individuals or companies without the permission of their supervisor. Release of information relating to network systems or security must be approved by the individual responsible for IT services.

The City also requires its users to use e-mail in a way that respects the confidential and proprietary information of others. Users are prohibited from copying or distributing copyrighted material, for example, software, database files, documentation, or articles using the e-mail system.

4.3. Encryption

City mobile computing devices and data storage devices will be encrypted by IT for security reasons. Communication between City web servers and clients will be encrypted. Encryption methodologies used by IT will be industry standard and updated as needed to maintain standards and best practices. Users should not personally encrypt City devices, documents, data, emails, or services. IT must be consulted regarding encryption. In the event of document encryption, IT must have a means of decryption.

5.1 Internet

Users are encouraged to use the Internet and the resources found therein for research and information gathering for Official City Business. The City of Sun Prairie is providing Internet access as a privilege and not a right.

The network hardware and software possessed by the City has the capability to monitor Internet activity by user and by device. The network can be configured to prevent users from visiting sites that are primarily for personal use and unlikely to be helpful in conducting City business. The IT Department intends to conduct random audits of all Internet activity of City users with the intent of insuring that such activity conforms to City guidelines.

All access to the Internet using the City Network should be for conducting City business. Accessing Internet sites for personal business is allowed before and after normal work hours, during breaks and lunch periods. Such use is allowed as long as it complies with all other policies, doesn't interfere with work assignments, does not deter other user's access to computers and would not embarrass the City if made public. All Internet activity of individual users is logged and

may be reported to the employee's supervisor by IT per section 6.1 of this policy. The supervisor will determine if this activity is appropriate and falls within the City's guidelines. Supervisors may request an internet usage report for any of their users at any time. Request should be made in writing to the individual responsible for IT services. Users engaging in inappropriate use of the Internet may be subject to sanctions.

Under no circumstance shall a user, unless directly related to their work, visit any Internet site that is of an inappropriate nature. These sites include and are not limited to:

- ▶ Pornographic Sites
- ▶ Sites with Nudity
- ▶ Sites pertaining to Child Pornography
- ▶ Sites that deal with illegal activity

5.2. Social Media

Social media sites refer to a collection of online services such as, but not limited to, Facebook, LinkedIn, Myspace, Flickr and Twitter. Social media provides opportunities to engage residents through information sharing, customer service, and community building.

The following are examples of legitimate City usage of public social networks:

- Post registration deadlines & reminders that a deadline is approaching
- Post program cancellations/weather issues
- Post changes to existing programs
- Post reminders about upcoming programs and events
- Place to display pictures from events, programs and facilities
- It is not a two-way communication device, but is used to provide updated information as an alternative to using group emails.

Use of Facebook by City employees shall be restricted to Pages where people join and receive updates about City programs and announcements. If persons need to have two way communications, they should be encouraged to do this via another method of communication such as phone or email.

- A. Users should be aware that any items posted to social media sites are considered public records.
- B. All requests for use of social media shall be submitted to the Director of Information Technology and shall include an explanation of the intended use of social media, the method by which the records created will be retained, the rules/expectations of the site to be publicly posted, and which employees will need access to specific websites and applications. The Director of Information Technology shall review such requests and in consultation with Administration make a determination on whether or not the request is approved and what level of access will be provided. Use of social media sites is a privilege and not a right. The City may adjust or remove access to social media sites at its discretion. The Utility Manager of Sun Prairie Utilities will be responsible for Social Media approval, oversight, and records retention.
- C. City accounts shall be established for the use of social media by City users and shall use valid City e-mail addresses. Users should limit their use of personal social media from City computers and networks to before/after work hours, lunches, and breaks.

- D. Users using social media for City purposes shall clearly identify that it is a City of Sun Prairie site and identify themselves as a City employee or elected official. Users are encouraged to use user names that include their position title or department.
- E. Departments are responsible for establishing, updating, and monitoring the content of their social media sites. Appropriate business decorum shall be used in all communications on social media sites. Users of social media are responsible for complying with applicable federal, state, and City laws, regulations and policies. Users shall not post material that is illegal, sexually explicit, obscene, defamatory, harassing, discriminatory, retaliatory, derogatory, related to alcohol or drug use, or in violation of copyright laws. It is also prohibited to post confidential information such as personnel records. Users violating these standards are subject to discipline and may be held personally liable for their comments.
- F. Access to City social media sites shall be controlled by a secure username and password. Departments shall maintain login information with at least one back-up in the City. It is the responsibility of all users to ensure that unauthorized persons are not allowed to make changes to official City social media sites.
- G. Policy for social media usage and access granted to users may be modified as necessary. Violations of the standards in this policy may result in the removal of department pages from social media sites, limitations on employee access to social media, and disciplinary action as deemed necessary.

BEST PRACTICES

These four recommendations provide a roadmap for constructive, respectful, and productive use of social networking sites:

- **Be Respectful:** Respect your audience and your co-workers. Take care not to engage in any conduct that would not be acceptable in the workplace. All City staff can be viewed as representatives of the City of Sun Prairie, which can add significance to your public reflections on the organization (whether you intend to or not).
- **Get Your Facts Straight:** To ensure you are not misrepresenting the City or its work or positions, consider reaching out to the respective Department Director or their designee, or if needed to an IT Professional before posting material, especially if you are not sure of how it will appear.
- **Be Mindful of Your Public Image:** Consider the image you want to portray to the public. Be mindful that what you post may be viewed by residents, parents, students, administrators and various community members and will stay public for a long time.
- **Use Your Best Judgment:** Remember there may be consequences to what you post. Consider your content very carefully prior to posting. If you are about to post something that makes you the slightest bit uncomfortable, review these guidelines and think about whether to post the material.

5.3 E-mail

Email is the property of the City of Sun Prairie and is provided to users to assist them in conducting City business. Electronic Mail may not be used for personal business.

All messages composed, sent or received on Email are and remain the property of the City of Sun Prairie.

The City of Sun Prairie has the right to monitor and audit e-mail in order to ensure that the City's policies are being followed. The City of Sun Prairie also has the right to monitor e-mail to access information in an employee e-mail system when that employee is not available.

Users do not have a personal privacy right in any matter created, stored in or sent from the City's Email system.

The guidelines below will apply to all e-mail records (incoming and outgoing) in order to comply with current state statutes and public record laws.

- A. E-mail is NOT secure! If the content of the mail is sensitive, consider using other forms of delivery.
- B. The Department Head of each department is considered the custodian of all information pertaining to their individual department. The IT Department will not release any information to the public with the exception of information pertaining to the IT Department. All requests for public record information will be forwarded to the appropriate department for action.
- C. Treat official e-mail like you would treat paper mail, per the City's records retention and open records policies.
- D. If the e-mail you send/receive falls within the realm of official business and public record as defined by state statute, it must be retained for the specified time period before being destroyed per City records retention policy, or a minimum of 120 days, whichever is longer.
- E. Because many departments and their staff have individual access to e-mail facilities:
 - a. It is the responsibility of the user who uses e-mail to be aware of the retention requirements for public records.
 - b. For internally generated messages, it is the responsibility of the sender and/or recipient of e-mail to determine whether the e-mail contains official business of the City of Sun Prairie. It is also their responsibility to determine whether it is subject to retention according to public record law, and if so, to determine the required length of retention as specified by the law.
- F. The City reserves the right to discard incoming mass mailings ("spam") without notifying the sender or intended recipient.
- G. For its own protection, the City reserves the right to block all Internet communications from sites that are involved in extensive spamming or other disruptive practices, even though this may leave City Computer users unable to communicate with those sites.

5.4 Prohibited Activities - E-mail

Users are prohibited from sending e-mail or otherwise using the email system in connection with any (but not limited to) of the following activities:

- A. Engaging in illegal, fraudulent, or malicious activities.
- B. Engaging in the unlawful use of the e-mail system as set forth in Section 947.0125 of the Wisconsin Statutes (*Unlawful use of computerized communication systems – With intent to frighten, intimidate, threaten, abuse or harass another person, sends a message to the person on an electronic mail or other computerized communication system and in that*

message threatens to inflict injury or physical harm to any person or the property of any person).

- C. Sending or storing offensive, discriminatory, disruptive, obscene, or defamatory material.
- D. Annoying or harassing other individuals.
- E. Using another individual's account or identity without explicit authorization.
- F. Attempting to test, circumvent, or defeat security or auditing systems without prior authorization.
- G. Accessing, retrieving or reading e-mail messages sent to other individuals without prior authorization.
- H. Permitting any unauthorized individuals to access the City's e-mail system.
- I. Sending out mass Email with the intent of disrupting the Email system (SPAM).
- J. Sending non-work related attachments (like pictures, graphics, music, video etc.)

E-mail is not secure and can be traced to the sender without much difficulty. Each e-mail message, by default, shows who the sender is, where the message originated, times of origination and receipt, and what route it took to get to its final destination. The City of Sun Prairie will comply fully with requests from law enforcement to minimize and eliminate malicious email perpetrators.

5.5 Files and Attachments

Attachments are documents and programs that are "attached" to an Email message that is being sent to a recipient. Unfortunately, attachments are the most popular mode for the propagation of viruses. With the objective of safeguarding the City's network, no executable files (.com, .exe, .vba, .bat, .pif, etc.) will be permitted to pass through the City Email system. Large files, such as video, are best shared using the City's approved cloud storage service and should not be sent via email.

5.6 City Cellular Equipment

City cellular equipment is provided to employees who by the nature of their job have a routine and continuing business need for use on official city business. Equipment usage accounts are expected to be at a minimum level that fulfills the business need. The city expects appropriate and responsible use of the doesn't interfere with work assignments, does not deter other users access, and would not embarrass the City if made public. Personal calls must be kept to a minimum; must be brief (5 minutes or less); and not subject to any roaming charges.

5.6.1 Practical Use of equipment

City cellular equipment usage accounts are provided for official city business. The City expects appropriate and responsible use. Employees are expected to use cellular equipment to report any emergency situations that they witness to the proper authorities.

The following are unauthorized uses of City cellular equipment:

- a. Any call which could reasonably be made from a standard telephone or other electronic communication that is available at a lesser cost.
- b. Any call made in relation to an employee's personal business enterprise.
- c. Any call for the purpose of personal entertainment, such as 900 numbers or movie links.
- d. Any personal call of unreasonable duration and/or frequency.
- e. Streaming television shows, movies, music, or other media over a cellular connection

5.6.2 Responsibilities

Employees are responsible for understanding and following all policies and reimbursing the City for any personal calls outside of the general usage guidelines.

Supervisors are responsible for confirming that employees comply with the intent of this policy. Upon receipt of the account bills, department managers will promptly take the following action.

- a. Review the bills to verify conformance by the employee with this policy and validity of the amount being billed, and to assure that adequate funds are available in the designated budget to pay the bill.
- b. Determine whether the monthly charge exceeds the expected department usage and take steps to calculate, notify the employee of and collect any reimbursement for personal use, which may be required pursuant to this policy.

5.6.3 Text messaging

Cell phone text messaging presents a records retention requirement. The use of City-owned or personal cell phones to send text messages to conduct City business is prohibited without prior approval of Department Managers. Such approval will only be considered when the benefit of texting outweighs the burden and risks of texting. IT contracts with a service to archive all text messages (SMS and MMS) sent and received. Use of other messaging systems such as iMessage, Facebook messenger, WhatsApp, Snapchat, Kik, etc. are prohibited. Circumvention of message archiving is prohibited.

5.7 Use of Personal Cellular Equipment during work time

Use of a personal cell phone for personal calls or text messaging during working hours should only be used for brief personal calls (5 minutes or less) that are urgent or extremely difficult to schedule outside work hours. Calls shall not interfere with the productivity of the employee or his/her co-workers. An employee may use a personal cell phone during breaks or lunch periods. The supervisor will determine if use of personal cell phones during work time is appropriate and falls within the City's guidelines.

Text messaging from personal devices for City business is strictly prohibited as it cannot be reasonably archived for records purposes. City email may be accessed from personal devices with prior approval and only using an approved email client. Personal email and City email should not use the same mail client on a device. Users must take care to send messages from the appropriate account. Personal devices and/or email accounts may need to be made accessible to City staff for records purposes. Using a personal device for City business foregoes any expectation of privacy on the device and with any connected accounts.

Users may not circumvent the security measures placed on a device by IT when connecting to City email. IT may remotely wipe the device if the device is reported stolen or lost or to otherwise protect City data. This will destroy all data on the device, including personal data.

The City will not reimburse for use of personal cell phones for City business.

5.8 Cellular Device Safety Issues

Cell phones should not be used in a manner that places the employee's safety at risk. Therefore, cell phones can only be used when driving vehicles when the use of "Hands Free" devices or accessories are available. In the absence of such devices, employees shall place cell phones in "roll-over to voicemail" state, or pull over and stop to take these communications. In areas of high traffic, employees should let the caller know of their location and attempt to call back at a better time. When more than one employee is in a vehicle, the passenger should be the one to talk on the phone or radio rather than the driver. In no case should the driver take notes or look up information while driving. This policy does recognize the need for exception in the rare case of responding to emergency situations.

IT may activate technologies desired to discourage the use of Cellular devices while driving.

No radio/stereo headphones or earphones shall be worn when operating any vehicle or equipment. Headphones may be used in the office environment for purposes of dictation and/or as deemed appropriate by supervisors.

5.9 Expectation of Privacy

Taking pictures with a cellular phone in the workplace may violate the privacy rights of coworkers, vendors and customers, and may also be used to convey confidential information or undermine the city's operations. Taking pictures with a cellular phone or other recording of visual images are prohibited in locker rooms, restrooms, any other area where members of the public or coworkers would enjoy a reasonable expectation of privacy, or in any areas in which sensitive or closely guarded municipal records are used or housed.

6.1 Compliance

Any technology that belongs to the City may be subject to random audits for content and activity by:

- ▶ Department Head.
- ▶ Authorized personnel of the IT Department.

Reports and documents of such audits shall be maintained in the IT Department and a copy of each audit done shall be sent to the Department Head.

These documents may have the potential of becoming a part of the public record and if deemed so by the City Attorney, may be released to the public on proper request.

The audit may include but may not be limited to the following:

- A. The presence of unauthorized passwords.
- B. Report of deviation from standard settings.
- C. The presence of personal software.
- D. The presence of personal documents.
- E. A summary of the contents of the hard drive.
- F. The presence of unauthorized documents and software.
- G. Content of email as found in the inbox, sent mail deleted mail and other mail folders.
- H. The presence of games and unauthorized software.

The Department Head shall evaluate the contents of the report and decide a course of action. The IT Department will offer any assistance or resources that are requested by the Department Head.

6.2. Accessing City Technology During Non-working Hours

Non-exempt employees will not be compensated for time spent checking city-owned technology and devices during non-working hours unless authorized by their supervisor. Any infrequent and insignificant period of time beyond the scheduled working hours is not compensable.

6.3 Violations & Disciplinary Action

Violations of the above guidelines have the potential of exposing the City to substantial risks including legal liability. Violations of the guidelines herein may result in disciplinary action up to and including discharge.

The Department Head together with an IT Professional will investigate reported violations to determine if any action is justified. The HR Director and/or Attorney may be consulted when determining appropriate disciplinary action.

6.4 Reporting Violations

Abuses of City technology resources should be brought to the attention of the appropriate departmental manager. If this is not possible, report such abuses to City Administration. In case of Sun Prairie Utilities, report such abuses to the Utilities Manager

The City may elect to take steps under its disciplinary process (in accordance with the Personnel Policy, City Ordinance and State Law) or other appropriate remedies. Any referral may be accompanied by a temporary suspension of computing privileges awaiting the outcome of the disciplinary process or investigation.

In addition, Wisconsin law contains specific criminal statutes with respect to improper use of computers. Therefore, inappropriate use of City resources may be subject to criminal or civil legal action in addition to City disciplinary action.

7. Changes

This document may be subject to change at any time to reflect changes in technology, changes in City policy, changes in strategic direction, changes in the law and any other changes if deemed necessary by City Administration, City Council, or Utility Commission.

Any and all changes to this document shall be posted for all users to review. Standard City policy for changes/addenda to existing policies will prevail.

8. Errors & Omissions

This document is designed to enable employees to be able to maximize their use of the resources available to them. The IT Department firmly believes that knowing the bounds of activity protects both the individual user and the City from potential disciplinary and liability issues.

While this document is not all encompassing, IT believes that each user would apply their own standards of professional, moral and ethical conduct when using the IT resource. This does not mean that any item/event/activity NOT mentioned in this document is a condoned act.

Any items not mentioned in this document that relates to inappropriate behavior, actions with respect to the IT system will be addressed on a case-by-case basis. It should be kept in mind that prevailing City policies are still in effect and are applicable to potential Information Technology issues. This document is subject to errors and omissions. Such omissions should be brought to the notice of the IT Department.

City of Sun Prairie and Sun Prairie Utilities –Information Technology Acceptable Use Agreement

Equipment and Data

All equipment and software provided by the City is the property of the City of Sun Prairie. The City may review data or information created, stored or transmitted on City equipment at any time. There should be no expectation of privacy with respect to any data or information created, stored or transmitted on the City computer system. If issued city devices, employees and elected officials must use these devices rather than their own personal devices to conduct city business. All devices and accounts must be returned upon separation from the City of Sun Prairie. Users will be responsible for up to the full replacement cost of unreturned devices.

Passwords

Passwords are issued for several of these systems. Because information processed or accessed through your password is your responsibility, you need to maintain the confidentiality of your password. Do not share your password with anyone. If you ever have a reason to believe someone else knows your password, notify your supervisor and IT immediately so your password can be changed. To further protect information processed under your password, you should always lock your computer if you will be away from it.

Expectation of Confidentiality

Although users have individual passwords for communication tools, these systems and their content are the sole property of City of Sun Prairie. The Information Technology Department of the City of Sun Prairie reserves the right to, at any time, monitor any aspect of communication tool usage and inspect messages or files on City systems. Even deleted information can be retrieved. Therefore, you should not expect any of the information communicated on these systems to be confidential. In case of Sun Prairie Utilities, the Utilities Manager and IT Professional have this authority.

Access to Information

Users should not retrieve or view any information from the electronic communication systems unless authorized to do so. Only the intended recipient should access information. For example, you should not read faxes intended for someone else or view another employee's e-mail messages.

Harassment

These systems shall not be used to create any offensive, harassing, discriminatory, retaliatory, or disruptive messages. Among those which are considered offensive, are any message which contains sexual implications, racial slurs, gender-specific comments, or any other comment that offensively addresses someone's age, sexual orientation, religious or political beliefs, national origin, or disability.

Copying/Downloading

City of Sun Prairie licenses the use of computer software from a variety of outside sources. City of Sun Prairie does not own this software or its related documentation, and unless authorized by the software developer, does not have the right to reproduce it. Any duplication of copyrighted software is a violation of the Federal Copyright Law and will not be tolerated.

Unauthorized copying or otherwise importing or installing of software by any method is strictly prohibited. This includes copying software for personal use. All software installed on any City of Sun Prairie computers must be pre-approved by the authorized IT professional.

Security

It is important to remember most Internet communications are not secure. The Internet should not be used for communications that require confidentiality or involve financial transactions without ensuring the security of the communication.

Conduct

Use of the Internet and e-mail systems also requires conformance to certain etiquette. When using the Internet, users are to conduct themselves as "ambassadors" of City of Sun Prairie and must show consideration and respect to others. It is the responsibility of each user using the Internet to ensure that use of it is done responsibly and economically, and that access to the Internet does not adversely affect his/her productivity.

Internet Access

In having access to the Internet I agree to follow the guidelines listed herein and understand the limitations on personal use of the Internet as well as prohibited sites.

Email

I understand that use of the City's equipment for email does create an official public record and is not private. Per State Statutes, these records will be retained according to the City's records retention policy, or a minimum of 120 days, whichever is longer.

Virus Protection

All computers with Internet access will have virus protection software installed prior to the connection being established. Even though this software will detect many viruses, it will not detect all of them. Therefore, it is very important not to access e-mail or e-mail attachments from unfamiliar individuals. Unsolicited file attachments from known individuals should also be treated with suspicion. Simply opening a file can cause a virus to invade the network. Virus protection software updates will be coordinated through the IT Department.

Accessing City Technology During Non-working Hours

Non-exempt employees will not be compensated for time spent checking City-owned technology and devices during non-working hours unless authorized by their supervisor. Any infrequent and insignificant period of time beyond the scheduled working hours is not compensable.

File/Data Storage

City Files / Data are to be saved only in approved locations, such as network folders, City servers, and City authorized cloud services. Storing files/data in other locations and use of unapproved cloud services is prohibited.

Cellular Equipment

Cellular equipment is provided for work purposes and should not be used for streaming media. Messaging and archival technologies in place should not be circumvented. Text messaging from personal devices for City business is prohibited. Personal devices used for City business are subject to records searches. Reimbursement is not provided for use of personal devices.

If you have any questions on this policy, please contact your supervisor, the IT or HR Department. By signing below, you acknowledge you have received, reviewed and agree to be bound by the Information Technology Use policy and Information Technology Acceptable Use Agreement.

User Name (Printed): _____

Signature _____ Date _____

City of Sun Prairie Policy/Procedure

Title: Telecommuting	
Policy Source: Human Resources	Creation Date: June 13, 2003
Application: All Employees	Revision Date: June 13, 2003, April 12, 2019, August 2, 2021
Indexed as: Working from Home, Remote Work	Total Pages: 4

1. General Purpose and Policy

The City of Sun Prairie and Sun Prairie Utilities Commission recognizes the value of telecommuting for both employee and employer. Telecommuting is a cooperative arrangement based on the needs of the job, the department, and the city. Telecommuting is a voluntary work alternative where supervisors agree to allow an employee to regularly perform some or all assigned duties at home or another location. This may involve the use of telecommunications (cellular phones, faxes, calling cards, internet access, pages, etc.) or computer technologies.

Telecommuting is a viable, flexible option when both the employee and the job are suited to such an arrangement. Telecommuting is authorized under this policy to benefit the productivity of the employee and their department, and to ensure services to the public are not reduced or limited.

Throughout this policy, any reference to “the city” or “city-provided” equipment, “supervisor”, etc. will apply to the Sun Prairie Utilities Commission as the employer. Any specific variations to this policy may be authorized by the Utilities Manager, or designee.

2. Guidelines

2.1 Determining Eligibility

Union and non-union employees, exempt and non-exempt employees, part-time and full-time employees may apply for telecommuting, so long as personal and job related criteria are met and the arrangement remains cost effective.

Determination of whether any particular position is a good “fit” for a telecommuting arrangement is up to the sole discretion of the City. Telecommuting is a voluntary program and should not be construed as an entitlement of any employee. Such arrangements will be approved on a case-by-case basis consistent with the goals and objectives of the department and/or city.

Employee Selection Criteria and Conditions

The Supervisor and Department Manager will review the telecommuting request taking into account the factors listed below:

- Needs of the department/division
- Needs of the employee
- Employee’s work duties and the ability to measure or assess work performed
- Availability and costs of needed equipment

- Employee's current and past job performance and job knowledge, as documented in performance evaluations, includes time management, organizational skills, self motivation, and the ability to work independently
- Effect on service
- Effect on the rest of the work group
- Measurable objectives and results mutually agreed to by the employee and the supervisor
- It will not reduce or limit services to the public
- Other items deemed necessary and appropriate

2.2 Compensation and Benefits

Telecommuting is a management tool allowing for flexibility in work options. It does not change the basic terms and conditions of employment. It does not lower, increase or change the amount of time an employee is expected to work. Compensation and benefits will be set forth in the Personnel Manual or union contract, whichever applies. The telecommuter's salary, job responsibilities, and city benefits do not change as a result of telecommuting.

Employees who work remotely must abide by the city's employment policies, including its Anti-Harassment policy, timekeeping policy, use of employer property policy, confidentiality and security policies, and all other policies contained in the Rules and Regulations Manual. Failure to do so may result in discipline, up to and including termination.

2.3 Work Schedules and Communication Expectations

The work schedule of the telecommuting employee will adhere to regular business hours unless approved by the supervisor and department manager, and documented in the employee's personnel file. While telecommuting, employees are expected to continue reporting time consistent with their department's established policy. Any overtime must be approved in advance. Employees must follow all applicable procedures for requesting and using time off from work (including but not limited to vacation, sick leave, bereavement, holiday, FMLA).

Once the city has approved a remote working arrangement, the remote working employee is responsible for maintaining regular contact with their manager to keep the manager apprised of all necessary events or information. Management must be able to verify the hours worked by the employee.

The employee must maintain a normal workload and keep an accurate accounting of what they work on while telecommuting. Remote working employees must respond as soon as possible, but no later than during the same workday, to any communications from their supervisor unless circumstances make it physically impossible to respond.

Remote working is not a replacement for appropriate childcare or an opportunity to do activities other than city work during regular working hours. Unless authorized by the Department Manager, employees may not perform remote work on a flex schedule. City employees who are remote working are expected to be working and available during all scheduled work hours.

2.4 Work Location

Any remote workspace is considered an extension of the city's workspace; therefore, the employee is governed by the provision of workers compensation. The employee must maintain a safe, secure, and ergonomic work environment. If the employee has a job-related accident during the remote work hours, they must report it to their supervisor or Human Resources as soon as possible in no case more than 24 hours after an accident.

If an employee experiences technical difficulties which impact the performance of their work and the problem cannot be immediately resolved, the employee must report in person to work or seek approval to use paid time off. Technical difficulties must be reported to their supervisor and the employee must reach out to the Help Desk. Diagnosis and support of home networking issues will not be provided by IT.

An employee may, at the discretion of their supervisor, be called to work at their worksite on their regular telecommute day, during their regular work hours to meet workload requirements or demands.

2.5 Equipment and Information Security

- Equipment supplied by the city must be used for city work-related purposes only. Only the city employee to whom equipment is assigned, and who is performing the remote work may access and use such equipment. Employees are prohibited from allowing family members, or any other individuals, to access or use city property that is being used for remote work. City-provided equipment at home is not an entitlement of telecommuting employees. Depending on the job, equipment needs for telecommuters will vary and are determined by the department manager, supervisor, or designee.
- Telecommuting employees must abide by the city's Information Technology Use policy. Employees must also abide by the city's policies covering information security, software licensing and data privacy. Employees shall ensure confidentiality of their work product.
- The employee must protect city-owned equipment from any hazards and dangers that could affect the equipment or themselves.
- Telecommuting employees must abide by the city Purchasing and Accounting policies for all purchases and expenditures incurred for telecommuting equipment and services. Supplies provided by the city include general office necessities including paper, envelopes, pens, etc. The city will not reimburse for toner for any personally-owned printer.
- In the event of equipment malfunction, the employee must notify the supervisor as soon as practical. If the malfunction precludes the employee from working on the assignment, they may be assigned other work and/or location.
- Maintenance on city-owned equipment will only be performed by the city authorized technicians. The employee will be responsible for bringing the equipment to the employer-designated repair location. Necessary maintenance and repairs on city-owned equipment will be performed at the city's expense.
- Maintenance and repair of employee-owned equipment is the responsibility of the employee. The city is not liable for such equipment even if the employee is engaged in city work at the time of malfunction.
- Upon termination of the telecommuting agreement or employment, the employee must return all city-owned equipment to the city within three (3) days. The employee must reimburse the city for any equipment, software, products, supplies, document and data not returned.

3. Non-reimbursable/Non-payable Expenses

Employees are responsible for providing space, telephone, printing, networking and /or internet capabilities at the telecommute location and shall not be reimbursed by the city for these or related expenses. Internet access must be via DSL, Cable Modem, or an equivalent bandwidth network.

Expenses that have not received prior approval from the supervisor and/or department manager are the employee's responsibility.

- All costs related to remodeling and/or furnishing the workspace shall be non-reimbursable/non-payable by the city.
- Normal household expenses such as heating and electricity shall be non-reimbursable/non-payable by the city.

- Maintenance and repair of all personally owned equipment shall be non-reimbursable/non-payable by the city.

Employees are responsible for any tax consequences, if any, and for conformance to any local zoning regulations.

4. Telecommuting Agreement

When telecommuting is part of the employee's regular schedule or provided on a rotational basis, a completed Telecommuting Agreement is required and must be signed by the supervisor and telecommuter. Copies shall be kept in the employee's personnel file. This agreement should be reviewed and updated annually or as the specifics or equipment/services are modified. Supervisors are encouraged to review this agreement during the employee's annual performance evaluation.

A Telecommuting Agreement is not required if the employee is provided with a special circumstance and does not regularly work remotely (e.g. need to work remotely for a home service or repair appointment).

If a newly hired employee is granted the ability to work remotely, such arrangement shall also be approved by the Department Manager and clearly outlined during the onboarding process. A Telecommuting Agreement will be completed. Performance expectations will be communicated and measured during the 6-month and 12-month evaluation period, and annually thereafter.

Any concerns regarding the telecommuting arrangement, raised by either the employee or supervisor, shall be resolved through discussions to the satisfaction of both, or the agreement will be rescinded with appropriate notice.

5. Work Performance/Expectations

Eligibility for and continued involvement in the telecommuting program will depend heavily on the employee's work performance. Employees must meet all pre-determined work expectations and deadlines. Communication with the employee and supervisor/Department Manager will be proactive and constant. Supervisors will periodically review the employee's performance with them and indicate any future action required. They may recommend modifying work schedules and/or activities as necessary. The City may at any time terminate the telecommuting program with or without reason. In such cases, the employee will be expected to return to their regular work location and schedule.

Any software, products, documents, reports or data created as a result of employees' work related activities are owned by the city.

5. Policy adoption and interpretation

Questions on the application and interpretation of this policy should be directed to the City Administrator's Office or Human Resources Department; or the Sun Prairie Utilities Manager, when applicable.

Employee Telecommuting Agreement



Employee Name:
Job Title/Department:
Effective/Review Date:
Work Location:
Scheduled work days/times:

Supervisor and Department Manager have reviewed the telecommuting request and it meets the following Criteria and Conditions:

- ☐ Fits the needs of the department/division
- ☐ Fits the needs of the employee
- ☐ Employee's work duties and the ability to measure or assess work performed
- ☐ Availability and costs of needed equipment
- ☐ Employee's current and past job performance and job knowledge, as documented in performance evaluations, includes time management, organizational skills, selfmotivation, and the ability to work independently
- ☐ Effect on service
- ☐ Effect on the rest of the work group
- ☐ Measurable objectives and results mutually agreed to by the employee and the supervisor
- ☐ It will not reduce or limit services to the public

Telecommuting is a management tool allowing for flexibility in work options and does not change the basic terms and conditions of employment. Any software, products, documents, reports or data created as a result of employees' work related activities are owned by the city.

City Property Loaned:

Detailed description of Equipment (model, serial number, etc.)	Replacement Value

- ✓ Employees must abide by the city's policies covering hours of work, approval of time off, information security, software licensing and data privacy.
- ✓ Equipment supplied by the city must be used for work-related purposes only. Employees are prohibited from allowing others to access or use city property.
- ✓ Employee must protect city-owned equipment from any hazards and dangers that could affect the equipment or themselves. Employees must report any incidents of loss, damage, or unauthorized access at the earliest reasonable opportunity.
- ✓ Maintenance on city-owned equipment will only be performed by the city-authorized technicians.

Non-reimbursable/Non-payable Expenses

Employees are responsible for providing space, telephone, printing, networking and /or internet capabilities at the telecommute location and shall not be reimbursed by the city for these or related expenses. Internet access must be via DSL, Cable Modem, or an equivalent bandwidth network.

Work Performance/Expectations

Eligibility for and continued involvement in the telecommuting program will depend heavily on the employee's work performance. Supervisors will annually review the employee's performance with them and indicate any future action required by completing a new agreement form.

Approval/Acknowledgements

Employee Agreement:

I have read and understand the contents of this telecommuting agreement and the city's Telecommuting policy; and agree to abide by all of the requirements.

Employee's Signature

Date

Supervisor Approval:

The above-named employee has met all of the terms and conditions of the City of Sun Prairie's Telecommuting policy and approval is granted.

Supervisor's Signature of Approval

Date

***Original copy must be placed in the employee's personnel file.**

Summary of city IT Equipment Available for Remote Work

October 13, 2023

The city will provide one of the following equipment options for work at home use if the employee is working remotely a majority of their time. The option offered will be determined by IT and the employee's supervisor:

Option One:

1. A smart remote terminal (fixed, not portable)
2. Extra monitor if needed
3. Keyboard and mouse

Option Two:

1. A laptop
2. One or two monitors as needed
3. A docking station
4. Keyboard and mouse
5. Webcam
6. Sound bar

Printers and scanners will not be provided for work at home. Employee home printers and scanners will not be supported by IT.

The employee must provide stable broadband internet service at their expense. Diagnosis and support of home networking issues will not be provided by IT.

If an employee does not work remotely at least 60% of each week, the City will not provide any remote working IT equipment at this time.

Summary of Sun Prairie Utilities IT Equipment Available for Remote Work

To be determined by Utilities Manager.

City of Sun Prairie Policy/Procedure

Title: Travel Policy	
Policy Source: Finance Department	Creation Date: March 5, 1985
Application: All Employees	Revision Date: October 7, 1997, December 9, 2014, May 4, 2015, June 4, 2024
Indexed as: Travel, Meals, Reimbursement	Total Pages: 5

1. General Policy

The purpose of this policy is to set forth the rules governing travel expenses and to describe certain procedural matters concerning travel authorization, documentation and accounting. The City's objectives are to allow travel arrangements that (1) conserve funds, (2) provide uniform treatment and (3) allow travel in a manner that is dignified and reflects credit on the City of Sun Prairie. This policy is applicable for all travel expenses incurred on behalf of the City by employees, elected officials, and Board and Commission members.

Funding for training and conferences is determined as part of the annual budget process. All travel expenses must be approved by the Department Manager by submittal of a Travel Authorization Form. All out of state travel requests by elected officials must be approved by the Committee of the Whole.

There is no objection to a spouse and/or other family members traveling on an official trip, but no expenses attributable to them will be reimbursed by the City.

2. Travel Advances

Within one week after returning from a trip, an Expense Reimbursement Form shall be forwarded to the Finance Department. Required itemized receipts, as well as a copy of the meeting/conference brochure and agenda shall be attached to the Expense Reimbursement form when submitted.

3. Transportation

Commercial carrier fares shall be limited to "coach" or "economy" fares when such services are available. Travel to and from hotels, train stations and airports may be by bus, hotel limousine, taxi, or private vehicle (for which mileage will be paid), whichever is less costly. When possible, travel arrangements should be billed directly to the City. Receipts for transportation costs are required.

It is preferred that City vehicles, if available, be used for travel when distances, time requirements or other justification warrants it. Prior approval must be obtained from the Department Manager. Gasoline, repairs and other expenses attributable to the City vehicles are reimbursable and paid receipts must be submitted. Tolls, parking and garage charges are also reimbursable, but care should be exercised to select a parking facility that charges economical rates. Receipts must be submitted for reimbursement.

Use of City vehicles is encouraged for business travel. Private vehicles may be used for travel on City business when City vehicles are not available. Authorization by the employee's department manager must

be obtained. The Vehicle Use Policy must be obeyed when traveling for City business. Reimbursement shall be limited to the lower of:

- a. The mileage reimbursement as permitted by the Internal Revenue Code as of January 1 of the year plus tolls, parking and garage charges, or
- b. The cost of air travel when two or more people travel in the same private vehicle, reimbursement shall be paid to the owner of the vehicle. Mileage determinations will be set according to the Rand-McNally Road Atlas, Wisconsin Official Highway Map, and MapQuest.

Employees should not drive to meetings and conferences when the travel time en route to the destination requires more than one day, unless the employee is utilizing holiday or vacation time. In such instances, no reimbursement will be made for any lodging, meals, or other expense incurred en route.

4. Lodging

Hotel or motel reservations are expected to be made well in advance to ensure that lodging is secured at moderate rates. Employees are expected to stay at mid-priced and economy hotels and motels unless a conference or seminar discount is available at the higher priced facilities. Receipts for lodging are required. Personal telephone calls, internet access, movie rentals, and other similar charges will not be reimbursed.

City employees are exempt from paying sales tax in Wisconsin on lodging and should avoid such by furnishing retailers with written documentation stating they are traveling on government business. It is the employee's responsibility to present the City's tax-exempt status when required.

Reimbursement of lodging shall be limited to the minimum number of nights required to conduct the assigned City business. If a conference, for example, opens on Sunday evening and closes Thursday noon, reimbursement for Sunday through Wednesday night would be allowed. If the traveler chooses to arrive earlier or stay later, the additional lodging and other expenses related to this decision are personal expenses and will not be reimbursed.

If a spouse and/or other family member travel on an official trip, reimbursement shall be limited to the single rate for the room occupied. In the absence of accounting on the travel expense report, the City will determine the single room rate and deduct the difference between the rates on the bill for lodging submitted as a receipt.

No lodging expense shall be reimbursed for meetings or conferences held within 45 miles of the City of Sun Prairie.

5. Meals and Miscellaneous Expenses

For meetings and conferences requiring an overnight stay, employees will be reimbursed for their actual reasonable, and necessary expenses including meals and tips. Itemized receipts will be required to support the expenditure of this money and for reimbursement. The City of Sun Prairie will utilize rates established by the US General Services Administration. When traveling, please check the appropriate rate for your area of travel, less incidentals. The most recent rates can be found at www.gsa.gov.

Reimbursement for meals will be allowed in accordance with the following time requirements: breakfast, provided the employee is on work status before 6:00am; lunch, provided the employee leaves the City office before 10:30am and returns after 2:30pm; and dinner, provided the employee leaves directly from work and returns home after 7:00pm. Even if the time requirements are satisfied, the reimbursement will NOT be allowable if the employee is attending training within Dane County, or when meals are included within the training or conference fees. Employees are required to attach a copy of the conference or

training brochure to the reimbursement form. When an employee is entitled to two or more consecutive meals in a day, the cost may be divided between meals as desired, as long as the maximum is not exceeded.

Please Note: All day trips (travel not requiring an overnight stay) which are eligible for meal reimbursement are considered “income” by the IRS and as such will be subject to payroll taxes, and will be reflected on your year-end wage and earning statement as other taxable income. If you choose, you do not have to request reimbursement for these meals.

Professional luncheon meetings and meals scheduled as part of a business conference or convention will be reimbursed at actual cost if one price is charged to all participants. In addition, meals may occasionally be provided to employees at the City’s expense when they are provided on the employer’s premise for the City’s convenience. Examples include:

- Recreational expenses primarily for employees who are not highly compensated, such as the staff holiday party or picnic.
- Meals provided to a large group of employees for the convenience of the employer, meaning meals provided to employees to keep them working late or on weekends for the employer’s convenience; or the annual staff summit and staff training events like the new employee orientation day.
- Meal expenses (or goods, services, and facilities) also made available to the public.
- Meals for which the City is reimbursed for the expense.

Business meals are meals (local or away) taken with non-City of Sun Prairie employees during which specific business discussions take place. Such meals may take place locally or while traveling on City business. A reimbursement form must be completed for this type of expense. The city employee portion of expenses related to business meals are considered “income” by the IRS and will be subject to payroll taxes, and will be reflected on the employee’s year-end wage and earning statement as other taxable income. Meals taken between two or more City employees during whom routine business issues are discussed are generally not reimbursable.

Reimbursement for alcoholic beverages is not permitted. Employees are permitted to consume these beverages with their evening meal, at their own personal cost.

6. Hours Worked

Employees covered by the Fair Labor Standards Act will be compensated for all hours worked during travel and attendance at training programs when:

- Attendance is during the employee’s regular working hours;
- Attendance is mandatory;
- The lecture or training is directly related to the employee’s job; and
- The employee is performing productive work while attending the lecture or participating in the training program.

Out-of-town travel time is covered by two sets of rules, depending on whether the assignment is for one day or requires an overnight stay.

1. Travel time to a one-day program in another city – all hours spent traveling is considered as hours worked.
2. Travel time to a program involving an overnight stay – time spent traveling is counted as hours worked if it coincides with the employee’s regular work hours. This is true even if it falls on a

day that is normally a non-working day for the employee. (For example, travel time on a Sunday during regular work hours will be counted as hours worked).

7. Code of Conduct

While traveling, City employees are expected to adhere to the City's Code of Conduct Policy. They are representing the City of Sun Prairie and are expected to promote a positive image to instructors, business persons, and the general public. Even during personal free time where the employee chooses to wear City-identifying clothing or badges, they will conduct themselves in an appropriate business manner.

8. Credit Card Use

The credit card shall be the physical property and responsibility of the Finance Director or designee and the respective Department Managers who are issued City credit cards.

The Department Manager may use or authorize the use of the credit card by other employees under their supervision. Each time a City credit card is to be used the Department Manager must approve the employee being a signer/user of the card. All credit cards shall be held in the Finance Department and shall be issued upon receipt of the properly executed form. Each employee must have a signed agreement on file with the Finance Department prior to use of the card. The Department Manager must approve who is authorized to use the card and for what time period. For example; Employee X is authorized to use a City credit card for the period of March 4, 2004 to March 11, 2004.

The credit card is limited to expenses allowed under this policy, including any of the following:

- A. Authorized meals while traveling for City of Sun Prairie employees or representatives only
- B. Authorized overnight lodging for City of Sun Prairie employees or representatives only
- C. Purchase of fuel or transportation (including emergency repair for City owned vehicles)

Total monthly purchases would be limited to \$3,000.00. The credit card shall NOT be used for identification purposes. Use of the credit card will be in full compliance with the approved travel policy and purchasing policy.

The employee must sign and date all purchase forms. These forms must be submitted to the appropriate Department Manager for approval. All receipts must be forwarded to the Finance Office within three (3) working days.

The City will make monthly payments of the entire charge amount to avoid any interest charges. Any interest charge incurred by the City due to an employee's failure to adhere to the approved procedure will be the personal responsibility of the employee. As per the agreement to use the card, any finance charges incurred by the City will be deducted from the employee's wages to satisfy the charge.

Failure to comply with this procedure will be considered misconduct and may result in disciplinary action including termination.

9. Registration Fees

Registration and tuition fees for professional and technical meetings and conferences are reimbursable. Receipts are required.

10. Required Receipts

Itemized receipts are required for the following expenses in order to receive reimbursement:

- Commercial carrier travel cost
- Gas, repairs and vehicle expense

Tolls, parking and garage charges
Lodging
Registration and tuition fees
Meals
Extraordinary expenses not covered by these policies

Credit card receipts that do not itemize purchases will not be accepted. Fraudulent claims for reimbursement shall be grounds for discipline, up to and including discharge.

11. Policy Adoption and Interpretation

This policy was created on February 18, 1986 and updated October 7, 1997; December 9, 2014; May 4, 2015; and June 4, 2024. Questions regarding the application and interpretation of this policy should be directed to the Finance Department.

City of Sun Prairie Policy/Procedure

Title: Vehicle Allowance	
Policy Source: Human Resources Department	Creation Date: April 16, 2004
Application: Department Heads/City Administrator	Revision Date: April 16, 2004, April 17, 2006, October 20, 2021, August 25, 2022
Indexed as: Mileage, Expenses	Total Pages: 2

1. General Policy

The purpose of the vehicle allowance is to provide a standard system for administering vehicle use and compensation for specific exempt positions. As part of the compensation for these positions, a vehicle allowance will be given in lieu of being provided a City owned motor vehicle. This allowance applies to offset the cost of purchase and/or lease and operation of the employee's personal vehicle used in the conduct of official City business.

The vehicle used for City business shall be appropriate for the intended business use, and shall be approved by the City Administrator. Said vehicle shall be maintained in a safe mechanical condition and be clean and presentable at all times when made available for City business. The employee shall provide and use their own personal motor vehicle for City related business and activities including out-of-City travel.

2. Covered Positions and Compensation

To be covered by this policy, an employee must be in a management level position that requires them to either have 24 hour emergency "on-call" response duties on a regular basis or drive a significant amount of miles in the conduct of official City business.

This policy is applicable to individuals who meet the criteria above, at the City Administrator's discretion, not to exceed \$300/month. The amount provided to the City Administrator will be identified in their employment contract.

3. Method of Payment

The payments will be processed through payroll. Portions of this allowance may constitute Federal and/or State taxable income, in which event the employee, and not the City of Sun Prairie, shall be solely liable. This allowance is part of an employee's total compensation and will be added on to the individual's W-2 at the end of the year.

The above payments are intended to compensate the individual for travel in and around the City of Sun Prairie as well as the wear and tear on the personally owned vehicle. Expenses due to vandalism or accidents will not be reimbursed by the City in whole or in part.

4. Insurance Requirements

An employee receiving an allowance shall acquire and maintain, for said personal motor vehicle, liability insurance which covers all damages and injuries arising from his/her personal and City

use and travel in accordance with the city's vehicle use policy.

Minimum acceptable liability insurance limits are as follows:

Bodily Injury (per person)	\$100,000
Bodily Injury (per occurrence)	\$300,000
Property Damage	\$100,000
Uninsured Motorist	Statutory minimum (\$25,000 per person/\$50,000 per occurrence)

It is also recommended, but not required, that the individual using their personal vehicle for business purposes obtain liability coverage for under-insured motorists and carry a blanket waiver, also known as an umbrella, for \$1,000,000 to provide additional personal coverage and protection.

City of Sun Prairie Policy/Procedure

Title: Vehicle Use Policy	
Policy Source: Administration	Creation Date: February 18, 1986
Application: All City/Utility Drivers	Revision Date: April 10, 2006, September 19, 2014, January 24, 2017, February 4, 2025
Indexed as: City/Utility Vehicles, Personal Vehicles	Total Pages: 11

1. General Policy and Purpose

This policy applies to all employees, volunteers and drivers of the City of Sun Prairie and Sun Prairie Utilities. In addition to the provisions of this document, drivers are required to be thoroughly familiar and comply with all State, Federal, and local traffic laws and/or regulations and city/Departmental Safety and Work Rules.

This policy is established to create a uniform standard governing the privilege of operating vehicles and/or equipment within the scope of city/utility services. In addition, it is intended to establish and maintain a high level of professionalism and awareness of safety among its drivers and operators. Emergency response personnel must abide by their department's own Emergency Response Policy for operations and safety considerations.

The reference to city-owned vehicles/equipment includes Sun Prairie Utilities Commission-owned items.

2. Use of City-Owned Vehicles

All drivers must use a city-owned vehicle to conduct business when one is available. In order to operate a city-owned vehicle of any type, a driver must comply with the following:

- 2.1 **License:** At all times, maintain an approved and valid Wisconsin DOT-MV Driver's License with the appropriate classification and endorsements for the type of vehicle to be operated. A non-occupational license is insufficient. Any loss or restriction of driving privileges and citations received must be immediately reported to your immediate supervisor. Failure to immediately inform your supervisor of any citations, restriction, suspension or revocation of driving privileges may result in disciplinary action up to and including termination of employment. This includes all citations whether cited during work or non-work hours. Any driver whose license is suspended will not be allowed to operate a city-owned vehicle until the license has been reinstated.

Drivers who hold probationary licenses may be allowed to drive with supervisor approval, but are required to adhere to all restrictions imposed.

The manager will randomly conduct a physical check of a driver's license to verify that drivers are carrying a WI DOT-MV driver's license while driving on duty, and that the license has not expired.

2.2 Driving Record: The City of Sun Prairie will obtain motor vehicle records and conduct a review and evaluation under the following conditions:

- Before authorizing prospective drivers who will be operating a city vehicle or equipment and/or operating their personal vehicle for business purposes.
- Annually for all drivers identified above.
- Post accident when the accident involved bodily injury to the driver, another passenger, or a third party; or when there was significant physical damage to the vehicle or property.

All drivers who are required to operate a city vehicle or equipment and/or operate their personal vehicle for business purposes as part of their job functions must maintain an acceptable driving record. Drivers must report all driving citations (including pending actions) to their immediate supervisor in a timely manner. This includes all citations whether cited during work or non-work hours. The supervisor will take into consideration how recent the violation was, the seriousness of such offense (as listed under major and minor convictions list below), the number of violations, and the work that the candidate/employee is to perform. Any driving restrictions imposed are weighed against the job duties of the position to determine action to be taken under management's rights (e.g. reassignment of job tasks).

Major Convictions

- Driving under the influence of alcohol or drugs
- Driving while impaired
- Failure to stop and report an accident (hit and run) or leaving the scene of an accident
- Homicide, manslaughter or assault arising out of the operation of a motor vehicle.
- Driving while license is suspended or revoked
- Possession of an open container of an alcoholic beverage while driving
- Reckless driving
- Speed contest, drag or highway racing
- Attempting to elude a police officer
- Failure to yield to Emergency Vehicles
- Aggravated unlicensed operations, 2nd degree misdemeanor
- Passing a stopped school bus
- Disobeying a traffic device
- Excessive speeding

Minor Convictions

Any other traffic conviction other than a major conviction including but not limited to the following:

- Motor vehicle equipment, load or size requirement violation
- Improper display or failure to display license plates
- Failure to sign or display registration card
- Failure to have a driver's license in possession, provided a valid license exists
- Failure to use a seat belt
- Operating towing unregistered vehicle
- Use of hand-held phone while driving, texting while driving, and/or using a device that provides entertainment through visual means
- Seat belt
- Child/youth restraint not used properly
- Improper Starting
- Driver's view obstructed
- Careless driving

- 2.3 Use of Vehicle:** Except where reasonably necessary to accommodate the driver's meals, other physical needs, and approved breaks; the city vehicles may not be used for personal business even though that personal business may not result in additional cost to the employer. Use of city vehicles during designated breaks and meal periods will follow general work rules established in each department. In using the city's vehicular equipment, drivers must keep in mind the fact that they are representatives of the city government and that their conduct in adhering to the rules of safety and courtesy on the road is a reflection, for good or bad, on the city.

Only authorized drivers are allowed to operate city owned vehicles. Authorization is based upon manager approval, business necessity, and the individual's good driving record. Only in rare instances will volunteers and contractors be allowed to either drive or ride in city owned vehicles.

Each occupant of a motor vehicle must wear seat belts and shoulder harness as required by Wisconsin Statutes. Inoperative or missing seat belts/harnesses must immediately be reported to the Department Manager. The vehicle or equipment will not be operated until the repairs have been made.

City drivers (non-sworn personnel) are not authorized to take vehicles home at any time unless they receive prior authorization from their department manager. In the case of Department Managers, such authorization shall be provided by the City Administrator (or Sun Prairie Utilities Commission in the case of the Utility Manager). Such authorization may be granted on a limited basis if the authorization will facilitate the efficient performance of city business. In no event will such authorization be granted on a routine/regular basis.

City drivers (sworn personnel) are not authorized to take city vehicles home any time during their assigned work hours unless they receive approval from a supervisor. City employees (sworn personnel) are not required to gain supervisory approval for lunch breaks taken at home if they live within city boundaries.

Usage Exceptions:

- Volunteers with the City's Sun Prairie Media Center or Fire/EMS Department are able to operate city-owned vehicles and equipment.
- Employees who are issued vehicles equipped and maintained by the city to be used as an emergency vehicle equipped with emergency lighting will be authorized to use the vehicle to commute to and from assigned work areas on a daily basis. They are permitted to use the vehicle to attend functions as they apply to their position with the city. They are permitted to use the vehicle for non-work related matters within a 45-minute radius at no financial charge. If they elect to use the vehicle outside of the 45-minute radius for personal reasons, they are required to pay the city all miles utilized. The mileage rate will be equal to the most current reimbursement rates per city policy. They are required to maintain a mileage log for their personal usage and need to reconcile this account with the Finance Department on a quarterly basis.
- If personnel are authorized to take non-emergency equipped vehicles home on a regular basis use is limited to incidental use by the employee such as meals, physical needs, or approved breaks. Personal use beyond the incidental level they are required to pay the city all miles utilized. The mileage rate will be equal to the most current reimbursement rates per city policy. They are required to maintain a mileage log for their personal usage and need to reconcile this account with the Finance Department on a quarterly basis.
- Staff may use a city vehicle to attend a meeting if a vehicle is available. In the case of an evening meeting, the vehicle may be driven home by an employee and then driven to the meeting location if authorized by the supervisor. However, to be eligible for use of a city vehicle in this manner, the

employee must reside within the city's corporate limits, and the vehicle must be returned to the appropriate location immediately after usage.

2.4 Riding on the Outside of Vehicles: No person shall ride on the outside of any vehicle unless there are proper safety measures taken to protect the rider. This may include participation in parades. In no instance will a person ride on the back of a vehicle while the vehicle is backing.

2.5 Maintenance and Care – Driver Responsibility: Drivers will be responsible for the proper care and use of city/utility vehicles. Special pre-trip inspections must be made for CDL vehicles (see separate procedures). Drivers of non-CDL vehicles are responsible for the following prior to each day's use:

- Keeping the windshield and windows as clean and clear as possible.
- Checking and ensuring that lights, turn signals, emergency flashers, windshield wipers, and horn are in proper working order.
- The daily inspection of the vehicles they use and completing required forms – checking warning lights and fuel level each time he/she operates a vehicle.
- Periodically checking emergency equipment: a jack, spare tire, working flashlight, ice scraper, emergency warning devices, and first aid kit.
- Ensuring that the interior of the vehicle is clean and free of trash, dirt, mud, papers or any other debris at the end of each day.
- If a driver is unfamiliar with the operation or maintenance of a vehicle, it is their responsibility to request instruction on proper procedure from a Supervisor.
- Promptly reporting any problems that could affect the safe or proper operation of any vehicle or equipment.
- To ensure compliance, the fleet maintenance personnel will inspect vehicles on a periodic basis.

2.6 Other Passengers: Only authorized drivers are allowed to operate, ride in or on any city vehicle unless the transporting of another rider is related to the performance of business or done in conjunction with business. For purposes of this requirement, designated department "Ride Along" program and student teaching programs shall be considered as conducting city business provided that the necessary supervisor authorization is obtained. Other passengers may be authorized by the Department Manager on a case-by-case basis.

2.7 Fines and Violations: Any fines incurred by a driver while operating a city-owned vehicle due to traffic or parking violations will be the responsibility of the driver and all fines or monies will be paid by the driver.

The city shall pay the full amount of any forfeiture or fine, court costs and penalty assessed against a driver pursuant to a citation issued due to the poor or unsafe condition of a vehicle (brakes, tires, exhaust, etc.), improper equipment, missing or non-functioning safety features, or an overloaded vehicle (dump truck or sewer jetter).

2.8 Long-distance Travel: Gasoline, repairs, and other expenses attributable to the vehicle are reimbursable and paid receipts must be submitted. Tolls, parking and garage charges are also reimbursable, but care should be exercised to select a parking facility that charges economical rates. Receipts must be submitted for reimbursement. See the city's Travel Policy for more detail.

3. Use of Personal Vehicles on City Business

Private vehicles may be used for travel on business when city vehicles are not available. It is the

driver's choice whether they wish to receive reimbursement for such use. If no reimbursement is sought, the driver is still responsible for any injury or damage if involved in an accident. Use of personal vehicles must comply with the following:

3.1 Authorization: Requires prior authorization by the driver's department manager and compliance with all requirements. This authorization may be withdrawn at the discretion of the manager. Only passengers authorized by the Department Manager may accompany the driver, with the understanding of their personal liability.

3.2 Proof of Insurance: Minimum acceptable liability insurance limits are as follows:

Bodily Injury (per person)	\$250,000
Bodily Injury (per occurrence)	\$300,000
Property Damage	\$250,000
Uninsured Motorist	Statutory minimum (\$25,000 per person/\$50,000 per occurrence)

It is also recommended, but not required, that the individual using their personal vehicle for business purposes obtain liability coverage for under-insured motorists and carry a blanket waiver, also known as an umbrella, for \$1,000,000 to provide additional personal coverage and protection.

Acceptable proof of insurance must be provided to the Human Resources Department within fourteen (14) days of any request. The driver's insurance will be considered primary.

3.3 Insurance Coverage: It is the driver's responsibility to inform their insurer of the circumstances under which the vehicle is operated (business use).

3.4 Reimbursement: Drivers required to use a personal vehicle for work (other than transportation to and from work) will be reimbursed on a per mile basis as permitted by the Internal Revenue Code. Reimbursable expenses include: tolls, parking, and garage charges. All maintenance, operating, insurance and other expenses (insurance deductibles in the event of an accident) are the responsibility of the driver. It is the driver's responsibility to maintain their vehicle in such a manner as to ensure safe operation.

Drivers are required to submit a mileage reimbursement form at the end of travel or monthly if applicable. Employees will be reimbursed for actual miles driven but in no case may this exceed the distance between the normal work location and the final destination. These forms must provide appropriate supporting material and are subject to audit.

3.5 Permitted Vehicles: Motorcycles and/or mopeds are not acceptable and cannot be used, under any circumstances, to conduct city business and are not eligible for mileage reimbursement.

3.6 Driver Responsibility: It is the responsibility of a driver to immediately inform their supervisor of any restriction, loss of insurance coverage, citations, suspension or revocation of driving privileges that would affect their ability to operate a vehicle for business purposes. Failure to comply with this requirement may result in disciplinary action up to and including termination.

3.7 Fines and Violations: Any fines incurred by a driver while operating their personal vehicle on for business purposes will be the responsibility of the driver and the driver will pay all fines or monies.

3.8 Compliance: Failure to comply with this policy, loss of driving privileges, or fraudulent reporting

of vehicle use may result in disciplinary action and/or loss of the privilege to operate a vehicle for business purposes. The city will, on an annual basis, review the driving records of all drivers that are required to drive in the course of their work.

4. Pre-employment Driving Standards

Prior to an offer of employment, the following standards will apply based upon the requirements of each position. The HR Department will obtain a copy of the candidate's driving record for review.

Driving Standards: In order to meet the minimum requirements for employment for a position which requires the operation of a motor vehicle to perform the essential functions of the job, the following standards will apply:

- Candidates must possess a valid and appropriate Wisconsin Driver's License before an offer of employment can be made. In the case of an out-of-state applicant, the offer can be made contingent upon obtaining the appropriate Wisconsin Driver's License prior to starting employment. All exceptions to this requirement must be based upon a review of job duties and responsibilities and alternate work available.
- Candidates for certain positions shall possess valid Wisconsin Commercial Driver's License (CDL) within 6 months of hire. An extension of an additional 6 months may be made by the supervisor due to the delay of providing driver training activities.
- Candidate driving records will be reviewed according to the standards listed in section 2.2. Failure to meet these standards may result in the rejection of the candidate.

5. Special Equipment Operator's Orientation Checklist

The supervisor is responsible for ensuring that new and existing employees are familiar with the proper use and operation of specific vehicles and equipment (i.e. skid-steer, street sweeper, end-loader, etc.). Any newly acquired special vehicle or equipment (other than a car, van or pickup) will be reviewed with the driver prior to operation.

The following items shall be covered thoroughly during the driver's orientation on that special equipment. This orientation/training should be documented prior to the driver being allowed to independently operate the equipment.

5.1 Special Vehicle Operation - Before using any special equipment, a driver must be:

- Instructed in proper use of the equipment (i.e., windows, turn signals, wipers, headlights, controls, attachments, etc.).
- Instructed in the procedures for operating the equipment on the roadway (operating characteristics, blind spots, maintenance requirements, braking, etc.).
- Instructed on backing procedures.
- Instructed in policy regarding the prohibition regarding unauthorized passengers.

5.2 Operation Test for Drivers with a Primary Responsibility of Operation

Following the orientation, the Supervisor or a designated competent person will conduct an operation test for the purpose of verifying the driver's ability to operate special equipment in a safe and proper manner. This test shall include a review of the driver's ability to operate all controls, levers, transmissions, air brakes, power takeoff units, etc.

6. Vehicle Instructions

Drivers required to operate any vehicle are expected to be familiar with and understand the following general instructions:

- Approved uses of vehicles.
- Instruction as to procedures to be followed when involved in a vehicle accident or damage.
- Procedures to be followed to report equipment defects.
- Procedures to be followed in the event of vehicle/equipment breakdown.
- Instruction as to the proper care and responsibility for vehicle and equipment maintenance.

7. Accident Monitoring and Review Policy and Procedure

Drivers must promptly report accidents, damage, breakdowns or malfunction of any city-owned vehicle so that the repairs may be made. If towing is required, the employee should attempt to contact the city's fleet maintenance division. If they are not available, the city-designated towing company should be contacted to tow the city vehicle to the Fleet Maintenance Building. If the vehicle is out of town and needs towing, the driver should make arrangements to have the vehicle towed to the closest repair facility capable of performing repairs on that type of vehicle, preferably a dealership of that make of vehicle. Instruct the repair shop to contact the fleet maintenance division on the next business day to coordinate repairs.

7.1 Accident and Damage Reporting: All accidents and damage involving city-owned vehicles or equipment must be reported in the following manner:

- Contact the Police department in the jurisdiction where the accident took place and advise that it involves city equipment. Provide all information requested by Police. Request medical assistance, if necessary.
- Report the accident or vehicle damage to the immediate supervisor at once. The supervisor will contact the Director of Administrative Services by telephone or email no later than the next working day to initiate necessary insurance claims processing. This verbal report will be followed by an initial Police Report and any supplemental information requested.
- Provide the other driver with their name and address.
- DO NOT discuss the accident with anyone other than a representative of the city or the police.
- DO NOT admit liability or indicate that the city will take responsibility or will pay any bills. If a citizen wishes to file a claim against the city, they should be referred to the Finance Office.

7.2 Department Accident and Damage Review: The Department Manager or their designee will review all vehicle accidents and damage involving vehicles and/or personnel under their supervision. This review shall be in accordance with the review procedure and criteria identified in this policy to determine preventable or non-preventable accidents. In the absence of extenuating circumstances such as a major accident or where an outside agency is investigating the matter, this process should be accomplished expeditiously and without delay.

7.3 Accident and Damage Review

The Manager, or designated committee, will make a final determination within 14 days of the date of the Department's findings regarding an accident or damage as preventable or non-preventable. This is done to ensure consistency regarding the application of review criteria.

7.4 Review Procedure and Corrective Action

It is the goal of the city that all available information be considered in the review process. At a minimum, this will include:

- The police report

- Any witness reports
- Any supplemental reports requested
- A narrative statement provided by the driver
- A visual rendering of the scene and collision point

All determinations will be shared to the driver and will indicate if the accident was preventable or non-preventable, based upon the definitions and criteria developed by the National Safety Council and described below.

The Department Manager will consult with Human Resources when determining the appropriate coaching or disciplinary action. Such consideration will be made based upon the driver's work history, circumstances of the accident, and similarly situated actions.

7.5 Review Criteria

The below expanded National Safety Council guide, while it is designed to assist in determining the preventability of accidents, does not list every factor that may be involved in a given accident. It does cover the most common aspects of the principal causes of accidents, and as such it can serve as a general guide when reviewing accidents.

VEHICLE ACCIDENT CAUSAL FACTORS

A. ***Struck in Rear by Other Vehicle***

Non-Preventable if:

- Driver's vehicle was legally and properly parked.
- Driver was proceeding in own lane of traffic at a safe and lawful speed.
- Driver was stopped in traffic due to existing conditions or was stopped in compliance with traffic sign or signal or the directions of a police officer or other person.
- Driver was in proper lane, stopped and waiting to make turn.

Preventable if:

- Driver was passing slower traffic near an intersection and had to make sudden stop.
- Driver made sudden stop to park, load or unload.
- Driver's vehicle was improperly parked.
- Driver rolled back into vehicle behind.

B. ***Struck While Parked***

Non-Preventable if:

- Driver was properly parked in a location where parking was permitted.
- Vehicle was protected by emergency warning devices as required by federal and state regulations, or if driver was in process of setting out or retrieving signals.

C. ***Accidents at Intersection***

A driver has the responsibility to approach, enter and cross intersections prepared to avoid accidents that might occur through the action of other motorists. Failure to take precautionary measures prior to entering the intersection are factors to be studied in making a decision.

Preventable if:

- Driver failed to control speed so that he could stop within available sight distance.
- Driver failed to check cross-traffic and wait for it to clear before entering intersection.
- Driver pulled out from side street in the face of oncoming traffic.
- Driver, going straight through an intersection, collided with another vehicle making

a turn.

D. ***Striking Other Vehicle in Rear***

Regardless of the abrupt or unexpected stop for the vehicle ahead, the driver can prevent front-end collisions by maintaining a safe following distance at all times. This includes being prepared for possible obstructions on the highway or streets.

Preventable if:

- Driver failed to maintain safe following distance and have vehicle under control.
- Driver failed to keep alert to traffic conditions and note slow-down.
- Driver failed to ascertain whether vehicle ahead was moving slowly, stopped or slowing down for any reason.
- Driver misjudged rate of overtaking.
- Driver came too close before pulling out to pass.
- Driver failed to wait for car ahead to move into the clear before starting up.
- Driver failed to leave sufficient room for passing vehicle to get safely back in line.

E. ***Sideswipe and Head-On Collisions***

Collisions with fixed objects may be preventable. They usually involve failure to check or properly judge clearances. Unfamiliar streets or new traffic situations on regularly traveled routes are not, in themselves, valid reasons for excusing a driver from being involved in an accident. The driver must be constantly on the lookout for such conditions and make the necessary allowances.

Preventable if:

- Driver was not entirely in the proper lane of travel.
- Driver did not pull to the right and slow down and stop for vehicle encroaching on own lane of travel when such action could have been taken without additional danger.

F. ***Squeeze Plays and Shutouts***

Preventable if:

- Driver failed to yield right of way to avoid an accident.

G. ***Backing Accident***

Practically all backing accidents are preventable. A driver is not relieved of their responsibility to back safely when a “spotter” is available for the backing maneuver.

Preventable if:

- Driver backed vehicle, causing accident, when such backing could have been avoided.
- Driver failed to get out of vehicle and check proposed path of backward travel.
- Driver failed to use a “spotter” if driver was in a position where the mirrors failed to show the hazard.

H. ***Accidents Involving Grade Crossings***

Collisions with trains occurring at grade crossing in traffic, or on private property are the responsibility of the driver to prevent.

Preventable if:

- Driver attempted to cross tracks directly ahead of train.
- Driver ran into side of train.
- Driver stopped on or parked too close to tracks.

I. ***Accidents While Passing***

Failure to pass safely indicates faulty judgment and the possible failure to consider one or more

of the important factors a driver must observe before attempting the passing maneuver.

Preventable if:

- Driver passed when view of road ahead was obstructed by hill, curve, vegetation, traffic, adverse weather condition, etc.
- Driver attempted to pass in the face of closely approaching traffic.
- Driver failed to signal change of lanes.
- Driver pulled out in front of other traffic.
- Driver cut-in short returning to right lane.

J. ***Accidents While Being Passed***

Preventable if:

- Driver failed to stay in own lane, or hold or reduce speed to permit safe passing.

K. ***Accidents While Entering Traffic Stream***

Accidents involving traffic originating from alleys, driveways, street entrances, and other special intersection locations should be carefully analyzed to determine what measures the driver might have taken to avoid the occurrence.

Preventable if:

- Driver failed to signal when pulling out from curb.
- Driver failed to check traffic before pulling out from curb.
- Driver failed to look back to check traffic if driver was in position where mirrors did not show traffic conditions.
- Driver attempted to pull out in a manner that forces other vehicle(s) to change speed or direction.
- Driver failed to make full stop before entering from side street, alley or driveway.
- Driver failed to make full stop before crossing sidewalk.
- Driver failed to yield right of way to approaching traffic.

L. ***Pedestrian Accidents***

Preventable if:

- Driver did not reduce speed in area of heavy pedestrian traffic.
- Driver was not prepared to stop.
- Driver failed to yield right of way to pedestrian.

M. ***Mechanical Defects Accident***

Preventable if:

- Defect was of a type that the driver should have detected in making pre-trip or en route inspection of the vehicle.
- Defect was a type that the driver should have detected during the normal operation of the vehicle.

N. ***All Types of Accidents***

Preventable if:

- Driver was not operating at a speed consistent with existing conditions of the road, weather, and traffic.
- Driver failed to control speed to be able to stop within assured clear distance.
- Driver misjudged available clearance.
- Driver failed to yield right of way to avoid accident.
- Driver failed to accurately observe existing conditions and drive in accordance with those conditions.

- Driver was in violation of operating rules or special instructions, the regulations of any federal or state regulatory agency, or any applicable traffic laws or ordinances.

8. Policy Compliance

Failure to comply with this policy, loss of driving privileges, or fraudulent report of vehicle use may result in disciplinary action and/or loss of the ability to operate a vehicle for business purposes. Loss of driving privileges will be reviewed on a case-by-case basis. The city enrolls all drivers that are required to drive in the course of their work in the Wisconsin Department of Transportation's (WisDOT) Employer Notification System. This system will send notifications to the employer when there are charges to an employee's driving record.

9. Policy Adoption and Interpretation

Questions regarding the application and interpretation of this policy should be directed to the Human Resources Department.

City of Sun Prairie Policy/Procedure

Title: Volunteer Participation in Community Service Organizations	
Policy Source: City Administration	Creation Date: August 29, 1985
Application: All employees	Revision Date: January 13, 1990 and May 5, 2004, April 4, 2022
Indexed as: Volunteer Work,	Total Pages: 2

1. General Policy

The City of Sun Prairie recognizes that our area non-profits provide important services for our community. The City actively supports these organization by encouraging our employees to volunteer their time. Therefore, the City will allow regular full-time and part-time in good standing to use up to two paid half-days or one paid full day for this work to volunteer with a community service organization with a connection to Sun Prairie.

2. Purpose

The purpose of this policy is to provide for and encourage the participation of City employees in community volunteer services, and allow some work to be done during the employee's regular work hours. The City recognizes that the commitment of an organization to volunteer services is based upon an employer's willingness to allow employees to leave their regular work duties during the work day. The City also recognizes the substantial cost savings to the public through the use of volunteer services.

3. Time Permitted

City employees will be permitted to use up to eight (8) hours per year from their regular work duties to participate in volunteer service organization – provided the employee is in good standing and is not engaged in a departmental emergency situation or in official standby status at the time. Departmental emergencies shall include, but not be limited to, emergencies directly related to the department operations (i.e., snow emergencies, power outages, severe storms, etc.), periods when the department is critically understaffed due to illness, vacation, etc. or when the employee is participating in an after-hours callout. This time will pro-rated for part-time employees.

Sworn Police Officers, EMT's/Paramedics, and dispatcher personnel are specifically excluded from leaving their work assignments to volunteer during work time due to the nature of their work.

4. Eligible Volunteer Organizations

Organizations recognized as being a charitable organization must be an approved tax-exempt organization under Internal Revenue Code Section 501(c) and have a connection to the Sun Prairie area. In addition, the activities must be for the benefit of the Sun Prairie community residents and not involve political advocacy or attempts to convert or persuade others of religious doctrines.

5. Request for Volunteer Time

The manager shall be notified of an employee's request to participate in a volunteer service organization. Upon determining that the employee is in a position which is able to participate, the manager will authorize such activity. The manager may deny the request if the employee's job performance is considered marginal or unacceptable.

The employee shall follow their department's normal request for time off process, and request in advance

to the manager or their immediate supervisor each day(s) that they would like to be scheduled to be volunteering. The employee shall notify their immediate supervisor (or the appropriate department personnel) prior to leaving their regular duties during the day to participate in the volunteer service for half-day events. Employees will be expected to only be away from their job duties for such time that the volunteer activity requires (e.g. if a specific event only takes 2 hours, the employee is expected to return to their job duties; and they may request to volunteer for one more half-day).

6. Hours and Wages

The employee shall continue to receive their normal wage while volunteering, provided it is during their normal workday. Hours of volunteer service shall be recorded on the individual's timesheet as "Leave with Pay" with reason code "Volunteer Time". Volunteer hours are counted as hours worked for the computation of overtime pay, if eligible.

7. Liability

City staff are expected to follow all safety rules and work in a safe manner when exposed to worksite hazards to be covered by the city's worker's compensation insurance. However, some injuries may not be compensable due to the particular facts surrounding the injury. Although an employer might be responsible for the negligent acts of its employee if the employee was acting within the course of employment, an employer is not responsible for the intentional acts of its employee. The city shall not be held liable for damages to or loss of personal property during time spent volunteering for other service organizations.

8. Policy Interpretation

All interpretations of this policy shall be made by the Human Resources Department in consultation with the City Administrator and City Attorney.

City of Sun Prairie Policy/Procedure

Title: Whistle-Blower Protection Policy	
Policy Source: City Administrator's Office	Creation Date: September 9, 2015
Application: All Employees	Revision Date: November 2, 2016
Indexed as: Fraud, Dishonest Conduct	Total Pages: 3

1. General Policy

The City of Sun Prairie is committed to maintaining the highest standards of conduct and ethical behavior and promotes a working environment that values respect, fairness and integrity. All employees, officers, elected officials and volunteers shall act with honesty, integrity and openness in all their dealings as representatives for the organization. The City will investigate any suspected fraudulent or dishonest use or misuse of City resources or property.

This policy is intended to encourage and enable employees, officers, elected officials, committee/ commission members, consultants and volunteers to report suspected fraudulent or dishonest conduct (i.e. to act as a "whistle-blower," as defined below), pursuant to the procedures set forth below. Failure to follow these standards will result in disciplinary action, including possible termination of employment, dismissal from one's volunteer duties and possible civil or criminal prosecution.

2. Definitions

Baseless Allegations: Allegations made with reckless disregard for their truth or falsity. People making such allegations may be subject to disciplinary action and/or legal claims by individuals accused of such conduct.

Fraudulent or Dishonest Conduct: A deliberate act or failure to act in a manner that violates the law or breaches one's duty of loyalty to the City of Sun Prairie and the community, with the intention of obtaining an unauthorized benefit (whether that benefit is tangible or intangible). Examples of such conduct include, but are not limited to:

- forgery or alteration of documents;
- unauthorized alteration or manipulation of computer files;
- fraudulent financial reporting;
- pursuit of a benefit or advantage in violation of the City's Conflict of Interest policy;
- misappropriation or misuse of City resources, such as funds, supplies, or other assets;
- authorizing or receiving compensation for goods not received or services not performed; or
- authorizing or receiving compensation for hours not worked

Whistle-Blower: An employee, officer, elected official, consultant or volunteer who informs a supervisor, Human Resources Director, Director of Administrative Services, City Attorney, Sun Prairie Utilities Manager, or the City Administrator about an activity which that person reasonably believes to be fraudulent or dishonest.

3. Rights and Responsibilities

It is the responsibility of all employees, officers, elected officials, consultants and volunteers to comply with this policy and to report violations or suspected violations in accordance with this policy.

3.1 Reporting

A person's concerns about possible fraudulent or dishonest use or misuse of resources or property should be reported to his or her supervisor. If, for any reason, a person finds it difficult to report his or her concerns to a supervisor, the person may report the concerns directly to the Human Resources Director, Director of Administrative Services, City Attorney, or Sun Prairie Utilities Manager. Alternately, to facilitate reporting of suspected violations where the reporter wishes to remain anonymous, a written statement may be submitted to one of the individuals listed above. The City cannot guarantee that a reporter's identity will remain anonymous, but will protect the confidentiality of all communications to the extent that it can do so consistent with the integrity of its investigation (including but not limited to the rights of the person accused) as well as its legal and ethical obligations.

3.2 Investigation

Any employee in a supervisory or management position is required to immediately report suspected fraudulent or dishonest conduct as defined in section 2 to the Human Resources Director, Director of Administrative Services, City Attorney, Sun Prairie Utilities Manager, or City Administrator. All relevant matters, including suspected but unproved matters, will be reviewed and analyzed. Appropriate corrective action will be taken. Certain matters may warrant investigation by an independent person such as auditors and/or attorneys. The City will comply with all legal and ethical obligations requiring disclosure of suspected wrongdoing to third parties.

- Due to the important yet sensitive nature of the suspected violations, effective professional follow-up is critical. Supervisors, while appropriately concerned about "getting to the bottom" of such issues, should therefore immediately refer matters brought to their attention to one of the individuals named in the prior paragraph of this policy rather than conducting an independent investigation on their own or contacting the individual who is suspected of wrongdoing. Consistent with our Media Relations policy, questions from third parties, including the media, should be directed to the City Administrator or Sun Prairie Utilities Manager.

4. Whistle-Blower Protection

The City of Sun Prairie will protect whistle-blowers as defined below.

- The City will use its best efforts to protect whistle-blowers against retaliation. Whistle-blowing complaints will be handled with sensitivity, discretion and confidentiality to the extent allowed by the circumstances and by applicable law. Generally, this means that whistle-blower complaints will only be shared with those who have a need to know so that the City can conduct an effective investigation, determine what action to take based on the results of any such investigation, and, in appropriate cases, consult with law enforcement personnel. Should disciplinary or legal action be taken against a person or persons as a result of a whistle-blower complaint, such persons may also have a right to know the identity of the whistle-blower.
- Employees, consultants and volunteers of the City may not retaliate against a whistle-blower for informing management of activity which that person believes, with a good faith basis for believing, is fraudulent or dishonest. Retaliation includes activity undertaken with the intent of

adversely affecting the terms or conditions of the whistle-blower's employment, including but not limited to threats of physical harm, loss of job, punitive work assignments, or impact on salary or fees. Whistle-blowers who believe that they have been retaliated against may file a written complaint with the Human Resources Director, Director of Administrative Services, City Attorney, or Sun Prairie Utilities Manager.

Any complaint of retaliation will be promptly investigated and appropriate corrective measures taken, up to and including termination of employment if allegations of retaliation are substantiated. This protection from retaliation is not intended to prohibit supervisors from taking action, including disciplinary action, in the usual scope of their duties and based on valid performance-related factors.

- Whistle-blowers making baseless allegations (as described earlier in the definitions section of this policy) will themselves be subject to potential discipline, up to and including termination.

5. Policy Interpretation

All interpretations of this policy shall be made by the Human Resources Director in consultation with the City Attorney, Sun Prairie Utilities Manager, and/or City Administrator.

City of Sun Prairie Policy/Procedure

Title: Worker's Compensation Insurance	
Policy Source: Human Resources Department	Creation Date: December 1987
Application: All Employees	Revision Date: October 5, 2000, August 8, 2017
Indexed as: Injury, Liability	Total Pages: 4

1. General Policy

City employees are covered under the Wisconsin Worker's Compensation Law, Chapter 102 of the State Statutes. Supplementary benefits are granted under the City's collective bargaining agreements and Personnel Policies. The City administers these benefits in a fair, equitable and timely manner.

The purpose of this policy is to assign administrative responsibility for various aspects of the Worker's Compensation program.

2. Responsibilities of Each Department

1. Awareness and training. The managers in each department are expected to be aware of all on duty injuries, and to be sure that employees know it is their responsibility to report accidents and injuries at once. It is also the responsibility of each Department Manager to be sure that supervisors understand their responsibility to investigate injury claims, to participate in the early return to work program, and to address safety concerns promptly.
2. Report of Minor Injuries. Each department or facility maintains an injury log sheet for minor on-the-job injuries. This log is used when the employee experiences a minor injury and does not result in any lost time, modified duty or professional medical care. These log sheets are the official record of that injury. If the employee experiences further problems or seeks professional medical care after-the-fact, the employee must complete the Employer's First Report of Injury or Disease form; however, the injury is already deemed "reported" by our worker's compensation insurance carrier because of the log sheet.
3. Report of Injuries involving lost time and medical care. It is the responsibility of each Department to fill out an Employer's First Report of Injury or Disease form and send it to the Human Resources Department within twenty-four (24) hours of injury/illness.
4. Investigation. Supervisors must investigate all accidents and injuries and document the findings. Results of the investigation can be documented on the Department Accident Report form and sent to the Human Resources Department as soon as possible. This report should be supplemented by the injured worker's own account of the injury/illness as well as that of any witnesses.
5. Bills and other paperwork. It is the responsibility of supervisors and/or the departmental lead person to see that all bills, doctor's slips, etc., relating to an on-duty injury are forwarded to the Human Resources Department as soon as possible.
6. Report of Lost Work Time and Modified Duty Time. The Department must report weekly to the Human Resources Department all time lost due to a Worker's Compensation claim and all time spent in a modified (light duty) assignment. Employees are encouraged to schedule doctor visits outside of normal work hours whenever possible to avoid disruption of regular work shift.

7. Early return to work program. In cooperation with the Human Resources Director, it is the responsibility of the Supervisor to work with the employee's physician to return the employee to work, on modified duty if necessary, at the earliest possible date.

3. Responsibilities of the Human Resources Department

1. Overall coordination and records retention. The City's Human Resources Department will coordinate the worker's compensation claims process and maintain all records related to the injury/illness.
2. Interaction with the Insurance Carrier. The Human Resources Department will coordinate all correspondence and other contact with the City's Worker's Compensation insurance carrier.
3. Follow-up investigation. The Human Resources Director will monitor and coordinate the investigation of significant claims as required. The department manager may request a follow up investigation based upon knowledge of the claim or continuance of lost time.
4. Early return to work program. The HR Director will work with the employee's physician as well as the supervisor in accomplishing return to work, under modified duty if necessary.
5. Manuals, procedures. All manuals, procedures, etc., related to safety and worker's compensation will be maintained in the Human Resources Department.
6. Human Resources will process annual reporting and posting of claims as required.
7. Human Resources, with the assistance of the worker's compensation insurance carrier and the city's Safety & Wellness Committee, will summarize common injuries and identify training needs and individual claim trends on a regular basis.

4. Pay Status of Employees

The City will follow relevant bargaining unit contracts and personnel manual in regards to providing full compensation while the employee is unable to return to work. Seasonal and temporary employees are only eligible to receive wage payments through the insurance carrier. The City will not provide full pay for seasonal or temporary employees during these absences.

5. Employee's Rights and Responsibilities

5.1 Employee Rights

Employees in the State of Wisconsin have the right to receive workers compensation benefits regardless of who caused or helped cause the injury. However, an injured worker does not have a right to benefits if:

- The worker injured himself/herself intentionally; or
- The worker was injured while voluntarily participating in an off-duty activity; or
- The injury occurred during horseplay or fighting initiated by the injured worker.

Employees may also receive reduced benefits if the injury is caused by the failure to use safety devices that are provided, adequately maintained and reasonable enforced by the employer.

An injured worker has the right to receive the medical care reasonable and necessary to treat a work-related injury or illness.

- An injured worker has the right to a first and second choice of doctors.
- An injured worker has the right to confidentiality. Only people who are parties to a claim or agents of these parties, have the right to medical information.

5.2 Employee Responsibilities

In order to receive the appropriate compensation and paid medical benefits, injured employees must adhere to the following responsibilities:

- An injured worker must tell their supervisor about a work-related injury or illness immediately after or as soon as possible after the worker first knew the injury/illness might be work-related.

- An injured worker has the responsibility to submit to reasonable medical or surgical treatment. However, an employee may refuse surgery that might endanger life or limb.
- An injured worker has the responsibility to tell the doctors how the injury occurred and if the worker believes the injury may be work-related. If possible, the injured worker should tell the doctor before the doctor provides treatment.
- An injured worker has the responsibility to obtain doctor's notes each time they visit a treating physician. These notes should include: date treated, detail on any physical restrictions, duration of restrictions, and date of next appointment. They must turn in such documents to the Supervisor/Human Resources Department without delay.
- An injured worker has the responsibility to tell the insurance carrier and supervisor how to contact him/her when necessary.

7. Light Duty

An employee who, because of a temporary disability, is unable to perform his/her regular job duties, may be assigned to light duty status. Light duty may consist of a change in job assignment, modification of job duties, change in scheduled hours or a combination of any of these changes.

Employees are required to report any and all restrictions identified as well as educate the treating physician on the type of work he/she is expected to perform. Doctor slips will be turned in to the supervisor each time the employee visits a medical professional. During a light duty assignment it is the employee's responsibility to adhere to all restrictions.

If there is need for additional time off during the light duty assignment, the employee will obtain a note from a medical professional indicating this need or the time will be charged to the employee's personal leave (sick time, vacation, etc.).

Employees may choose to use Family Medical Leave (if they are eligible and qualify) in lieu of a light duty assignment, but in doing so may lose rights to worker's compensation pay if the injury occurred on-the-job. See the City's *Light Duty Policy* for more information.

8. Fraudulent Claims

An employee who provides incorrect or fraudulent information while filing a worker's compensation claim will be subject to discipline up to and including termination. The Human Resources Department will coordinate investigations into such matters and if verified will provide the final report to the insurance carrier and State Worker's Compensation Division.

9. Disputed Claims

If there is a dispute over a worker's compensation claim between the employee and the insurance carrier that cannot be settled by talking it over, the employee may file an appeal with the State of Wisconsin, Department of Workforce Development, Workers Compensation Division.

Employees may request the form to apply for a hearing by contacting the local Division office. The employee will receive additional written information explaining the hearing process.

Madison Office:
201 E. Washington Avenue
P.O. Box 7901
Madison, WI 53707-7901
Phone: (608)266-1340 Fax: (608)267-0394
www.dwd@wisconsin.gov

10. Interpretation of Policy

Questions regarding the application and interpretation of this policy should be directed to the Human Resources Department.

City of Sun Prairie Policy/Procedure

Title: Workplace Violence Policy	
Policy Source: Human Resources	Creation Date: September 22, 1998
Application: All Employees	Revision Date: April 14, 2003, November 1, 2011; November 2, 2016, August 18, 2020
Indexed as: Violence, Harassment	Total Pages: 4

1. General Purpose

The City of Sun Prairie is committed to providing a safe and healthy work environment free from any threats of acts of violence. The City recognizes that workplace violence is a growing concern nationally that needs to be addressed by all employers. Employees should be provided with a work environment which is safe. While the City must allow public access to City facilities and services, the City may regulate and direct the conduct of its employees and the public to eliminate any risk of workplace violence.

This policy applies to members of the public, all employees, volunteers, and elected and/or appointed officials, who will collectively be referred to as “individuals” unless otherwise specified.

2. Policy**A. Prohibited Behavior**

The City prohibits individuals from engaging in behavior that:

- Is violent;
- Threatens violence;
- Harasses or intimidates others;
- Interferes with an individual’s legal rights of movement or expression;
- Violates Section 2(b), below, or involves conduct which openly discusses or makes comments regarding carrying, possessing, or transporting firearms or other deadly weapons which can be interpreted as threats or acts of intimidation, regardless of whether the employee is licensed to carry a weapon; and
- Disrupts the workplace or the City’s ability to provide service to the public.

Violent or threatening behavior includes, but is not limited to: physical acts, oral or written statements, harassing mail or electronic messages, harassing telephone calls, gestures and expressions, or behaviors such as stalking.

Violence in the workplace includes relationship violence that intrudes into the workplace, endangering a person in the relationship or others in the workplace. Relationship violence is physically, sexually, and/or psychologically abusive behavior that a household member or dating partner uses to establish and maintain control over another person.

Workplace violence does not include the use of reasonable force in the defense of oneself or others.

B. Weapons

All employees are prohibited from possessing or carrying weapons, whether open or concealed, at all times on City premises and during the course of their employment. For purposes of this policy, the City premises means all City buildings and structures, City vehicles (not personal vehicles), and parking lots.

The prohibition from possessing or carrying weapons also applies:

- During all hours of work, whether on City premises or off the premises while performing services on behalf of or as a representative of the City;
- At any time while occupying or operating a City vehicle; and
- At any place during any time while participating in City-related social functions.

The policy does not apply to an employee conducting work for the City at home or law enforcement officers who are required to possess a weapon in the course of their duties.

For purposes of this policy, “weapons” include firearms, guns of any type, including air and gas-powered guns (whether loaded or unloaded), knives (except as authorized for work), razors, with unguarded blades, clubs, electric weapons, metallic knuckles, martial arts weapons, ammunition, crossbow, bow, explosives, any “look-a-like” item meant to appear as a weapon, or any other item manufactured or manipulated for the purpose of causing bodily harm, regardless of use. It does not include “weapons” under the control of law enforcement personnel while on duty, or qualified former law enforcement officers, off duty law enforcement officers, or out-of-state law enforcement officers;

3. Reporting

An individual who is the victim of violence, believes he/she has been threatened with violence, or witnesses an act or threat of violence towards anyone else in violation of this policy shall take the following steps:

1. If an emergency exists and the situation is one of immediate danger, the employee shall contact the local law enforcement by dialing 9-1-1, and may take whatever emergency steps are available and appropriate to protect him/her from immediate harm, such as leaving the area.
2. If the situation is not one of immediate danger, the employee shall report in writing, the incident to the appropriate supervisor or his/her designee as soon as possible.

In addition:

- Individuals shall notify their supervisor of any workplace violence which they have witnessed, experienced, become aware of or in any way have knowledge of. If an employee is not comfortable reporting incidents of workplace violence to their supervisor, the employee may instead report it to their department manager, a supervisory employee in any other City department including the Police Department, or to a member of the Human Resources professional staff.
- Supervisors receiving employee reports of workplace violence, or that have knowledge of information of an internal or non-emergency situation which may affect the security of the City of Sun Prairie and its assets, shall report such incidents to their department managers.

- The department shall notify the Human Resources Director, City Administrator, or Sun Prairie Utilities Manager, whichever is appropriate. Such report should include:
 - Description in detail of what happened, where it happened, and when it happened.
 - Identity of persons committing the threat or violent behavior.
 - Identity of persons against whom the threat was made or violent behavior directed.
 - Identity of persons reporting or witnessing the threat or violent behavior.
 - Observations that would make you believe that the individual intends to follow through on a threat.
 - How the matter was resolved or suggestions for minimizing the risk of a violent act based on the information available.
- Should it appear that the incident requires immediate attention an immediate report shall be made to the Police Chief and followed up with a confidential report to the Human Resources Director. Although every effort will be made to keep reports and records that are made and kept pursuant to this policy confidential, the reports and records may be subject to public disclosure under Wisconsin's Public Records Law.
- For those cases where it appears that criminal activity may be involved, department managers/managers/supervisors should not take any action that would jeopardize the outcome of any investigation, including not change anything at the scene of a violent incident until properly documented by those in authority.
- Human Resources will receive, evaluate, intervene, and respond to reports of workplace violence with the assistance of a Threat Management Team as appropriate. Threat Management Team members may include personnel from the Police Department, City Attorney's Office, Administration, and the Supervisor of the affected department as well as any outside agencies that may provide assistance to the City on the matter.
- Privacy rights will be observed in the event of the need to investigate workplace violence incidents. Only those individuals with a clear need to know of the potential risk will be notified in cases where a person is perceived to be a threat to others. Anonymity of employees reporting violence or threats of violence will be maintained during the investigation to the greatest extent possible. However, there is no right to or guarantee of anonymity since it is often necessary to make the employee or customer against whom the allegation has been made aware of the complaint in order to ascertain the facts.

4. Restraining Orders

Employees who are seeking or have obtained restraining orders or injunctions against abusive persons are encouraged to notify their supervisor so that appropriate measures can be taken to facilitate prudent safety measures within the workplace. When a protective or restraining order lists City workplaces as being protected areas, employees must provide their supervisor with a copy of the petition and declarations used to seek the order, a copy of any temporary protective or restraining order which is granted, and a copy of any protective or restraining order which is made permanent.

5. Consequences

Any employee engaging in behavior in violation of this policy may be subject to discipline up to, and including termination. A mandatory referral to the Employee Assistance Program may also be a condition of an employee's action plan. An employee violating this policy may also be subject to criminal prosecution.

A member of the public who violates this policy may be removed from and/or banned from City premises and/or referred for criminal prosecution.

Retaliation and/or reprisal against an employee who genuinely reports threats of workplace violence in good faith is in violation of this policy. Anyone who engages in or assists in such retaliatory actions will be subject to disciplinary action up to and including termination of employment. However, employees intentionally making false reports will be subject to discipline up to and including termination.

Crisis counseling to employees and their families victimized by workplace violence may be provided.

6. Policy and Interpretation

Questions regarding the application and interpretation of this policy should be directed to the Human Resources department.