



City of Appleton

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

Meeting Agenda - Final

Human Resources & Information Technology Committee

Wednesday, October 14, 2020

6:30 PM

Council Chambers, 6th Floor

1. Call meeting to order
2. Roll call of membership
3. Approval of minutes from previous meeting

[20-1335](#) Minutes from 8-12-20

Attachments: [Minutes 8-12-20.pdf](#)

4. Public Hearings/Apearances

5. Action Items

6. Information Items

[20-1340](#) 2021 Information Technology budget

Attachments: [2021 IT Budget.pdf](#)

[20-1339](#) 2021 Human Resources budget

Attachments: [2021 HR Budget.pdf](#)

[20-1337](#) Changes to the Bloodborne Pathogen Exposures policy

Attachments: [Bloodborne Pathogens Exposure Policy 2020.pdf](#)

[20-1338](#) Changes to the Performance Management policy

Attachments: [Performance Management Policy 2020.pdf](#)

[20-1341](#) Discussion on Teamster negotiation status and process for committee.

[20-1336](#) Recruitment Status Report 10-8-20

Attachments: [RSR thru 10-8-20.pdf](#)

7. Adjournment

Notice is hereby given that a quorum of the Common Council may be present during this meeting, although no Council action will be taken.

Reasonable Accommodations for Persons with Disabilities will be made upon Request and if Feasible.

Questions on agenda contact Director Matz at 920-832-6426.



City of Appleton

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

Meeting Minutes Human Resources & Information Technology Committee

Wednesday, August 12, 2020

6:30 PM

Council Chambers, 6th Floor

1. Call meeting to order

2. Roll call of membership

Present: 3 - Thao, Fenton and Firkus

Excused: 2 - Martin and Van Zeeland

3. Approval of minutes from previous meeting

[20-1012](#)

Minutes 7-8-20

Attachments: [Minutes 7-8-20.pdf](#)

Fenton moved, seconded by Firkus, that the minutes be approved. Roll Call.
Motion carried by the following vote:

Aye: 3 - Thao, Fenton and Firkus

Excused: 2 - Martin and Van Zeeland

4. Public Hearings/Apearances

5. Action Items

6. Information Items

[20-1047](#)

2020 Mid Year I.T. Budget Report

Attachments: [2020 Information Technology Department Mid-Year Report.pdf](#)

This Report was presented

[20-1016](#)

2020 Mid Year Human Resources Budget Report

Attachments: [2020 Mid Year HR Budget Report.pdf](#)

This Report was presented

[20-1017](#)

Status of Glance Chart

Attachments: [2020 Glance chart.pdf](#)

This Document was discussed

[20-1014](#)

Recruitment Status Report 8/6/2020

Attachments: [RSR thru 8-6-20.pdf](#)

This Report was presented

7. Adjournment

**Fenton moved, seconded by Firkus, that the meeting be adjourned. Roll Call.
Motion carried by the following vote:**

Aye: 3 - Thao, Fenton and Firkus

Absent: 2 - Martin and Van Zeeland

CITY OF APPLETON 2021 BUDGET

INFORMATION TECHNOLOGY

Information Technology Director: Dean J. Fox

CITY OF APPLETON 2021 BUDGET INFORMATION TECHNOLOGY

MISSION STATEMENT

The Information Technology Department serves to provide all City departments with reliable, timely and accurate computer applications, as well as planning and implementation of technology related hardware and services that are both cost effective and responsive to departmental needs.

DISCUSSION OF SIGNIFICANT 2020 EVENTS

As the City's Information Technology (IT) Department remains ever vigilant of the technology needs of our departments, our increasing dependence on technology and the ability to manage it continues to be a priority. Essential functions of the IT Department are: providing services such as monitoring network and operating systems; ensuring the performance of backups; maintaining security procedures and protocols; and providing hardware and software technical support for all technology infrastructure components to ensure that technology resources are accessible to City staff. Plans and strategies to improve technology systems as we move forward will continue to be evaluated. Our goal is, and always has been, to be as close to 100% uptime as possible. As the department continues to evolve with technology, we will focus on understanding how the IT role is changing, look at IT as a critical part of making the City departments technically successful, driving new business initiatives and becoming a strategic partner with each department for the benefit of the City. Our goal is for the IT Department to be a seamless partner with other City Departments, allowing the technology to work for them behind the scenes.

The following summarizes significant events in 2020:

Completed our upgrade of the core network infrastructure

Continued the migration of our workstations to Microsoft Windows 10 from Windows 7

Continued to add additional components to our security assessment

Replaced one-third of the MDC's at APD with new tablets

Upgraded the fiber optic network in City Hall

Upgraded the Audio / Visual equipment in Council Chambers as well as all Fire Stations and the Police Department

Upgraded our disaster recovery footprint by relocating a number of our essential servers' backups to Microsoft Azure Cloud Services

Continued work on the disaster recovery phase, improving the processes and procedures

Played an integral part in the City's Covid-19 response by quickly configuring our system to allow over 100 employees to work from home and still maintain our service performance

Continued to replace and upgrade PCs and laptops to stay as close to a four-year replacement cycle as financially feasible

Continued with the project to replace the iSeries mainframe and related software with a networked enterprise resource planning (ERP) System; in 2020 we continued the payroll system implementation which began in 2019 and will be upgrading to the latest version of the ERP software and continuing the implementation of the property tax collection module

Performed significant programming work in converting and migrating the data on the iSeries to the ERP program along with SQL programming to transition ERP projects

Made programming changes as needed to enhance the intranet applications used by various departments

CITY OF APPLETON 2021 BUDGET INFORMATION TECHNOLOGY

MAJOR 2021 OBJECTIVES

Proactively find opportunities to streamline processes and improve communications. Collaborative efforts with the Appleton School District, Fox Valley Technical College and Outagamie County on potential shared costs will always be explored when feasible. Included in the collaborative efforts will be working with other agencies in the growth of the Appleton Area Metropolitan Fiber Optic Network (AAMFON) and continued updating and increasing of its utilization and bandwidth. This will become even more important since the need for additional stable bandwidth is ever-increasing.

Continue toward completion of the ERP system and further implementation of the selected modules

Continue to upgrade the necessary PC's, laptops, MDC's and tablets to maximize efficiency and minimize the cost of maintaining older equipment, including all MDC's in the squad cars

Review and analyze existing technical and system operations to improve effectiveness and keep pace with the technological landscape. With continuous improvement and enhancement, our goal is to achieve 99.999% uptime of our systems

Work with individual departments to become a closer business partner and help identify departmental technology needs and advancements

Continue the re-design of the Intranet for internal communication

Continue a migration, where both financially and technically feasible, toward cloud use and applications, including moving to Microsoft Teams and Active Directory in the cloud

Continue the standard projects of upgrading our virtual Microsoft network to the latest version of Microsoft Servers including expanding our presence in Microsoft Azure Cloud services for disaster recovery

Look at ways to improve network security by researching and potentially implementing a dual authentication system for network access

Replace our firewalls

DEPARTMENT BUDGET SUMMARY

| Programs | | Actual | | Budget | | | % Change * |
|------------------------------------|----------------|---------------------|---------------------|---------------------|---------------------|---------------------|---------------|
| Unit | Title | 2018 | 2019 | Adopted 2020 | Amended 2020 | 2021 | |
| Program Revenues | | \$ - | \$ - | \$ - | \$ - | \$ - | N/A |
| Program Expenses | | | | | | | |
| 13010 | Administration | 206,383 | 183,661 | 202,260 | 202,260 | 201,854 | -0.20% |
| 13020 | Mainframe | 383,936 | 340,482 | 280,561 | 280,561 | 281,636 | 0.38% |
| 13030 | Network | 1,212,155 | 1,400,333 | 1,509,028 | 1,522,422 | 1,682,101 | 11.47% |
| TOTAL | | \$ 1,802,474 | \$ 1,924,476 | \$ 1,991,849 | \$ 2,005,243 | \$ 2,165,591 | 8.72% |
| Expenses Comprised Of: | | | | | | | |
| Personnel | | 973,802 | 998,028 | 955,369 | 955,369 | 984,747 | 3.08% |
| Training & Travel | | 30,107 | 25,221 | 36,780 | 36,780 | 31,780 | -13.59% |
| Supplies & Materials | | 179,832 | 127,429 | 170,750 | 170,750 | 169,700 | -0.61% |
| Purchased Services | | 618,733 | 773,798 | 828,950 | 842,344 | 979,364 | 18.15% |
| Full Time Equivalent Staff: | | | | | | | |
| Personnel allocated to programs | | 11.00 | 11.00 | 10.00 | 10.00 | 10.00 | |

CITY OF APPLETON 2021 BUDGET INFORMATION TECHNOLOGY

Administration

Business Unit 13010

PROGRAM MISSION

To ensure that staff within the Information Technology Department can perform their duties in an effective manner while working in a pleasing and comfortable atmosphere, we will provide necessary tools, equipment, training and support to promote a healthy work environment that encourages customer support and personal development.

PROGRAM NARRATIVE

Link to City Goals:

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

Objectives:

Provide training resources to maintain, enhance and develop skills for efficient job performance and personal development of staff

Provide workspace, parking and supplies to create a comfortable working environment that meets safety and environmental needs

Provide resources including telephone and voicemail to enhance communication opportunities for staff

Provide for opportunities to network with industry professionals through memberships and subscriptions to trade publications

Major changes in Revenue, Expenditures, or Programs:

The increase in the number of audit records requiring security attention in 2020 is the result of improved monitoring software identifying more potential security flaws in our network.

The decline in the number of people attending training and the number of hours of training projected for 2020 are the result of cancellations of classes due to the COVID-19 pandemic.

PERFORMANCE INDICATORS

| | Actual 2018 | Actual 2019 | Target 2020 | Projected 2020 | Target 2021 |
|---|-------------|-------------|-------------|----------------|-------------|
| Strategic Outcomes | | | | | |
| Reduce hardware to become "green" department | | | | | |
| % of virtual vs physical servers | 99% | 99% | 99% | 99% | 99% |
| Safeguarding data | | | | | |
| # of audit records requiring security attention | 5 | 5 | 0 | 15 | 0 |
| Work Process Outputs | | | | | |
| IT Expense per FTE employee; (national average approx. \$11,770) | \$ 4,183 | \$ 3,394 | \$ 3,913 | \$ 3,848 | \$ 3,500 |
| IT staff training (hours) | 300 | 600 | 880 | 400 | 720 |
| Telephone numbers supported | 770 | 770 | 770 | 770 | 770 |
| # personnel attending training | 4 | 6 | 10 | 5 | 9 |
| # of hours of training | 350 | 600 | 880 | 400 | 400 |

CITY OF APPLETON 2021 BUDGET INFORMATION TECHNOLOGY

Administration

Business Unit 13010

PROGRAM BUDGET SUMMARY

| Description | Actual | | Budget | | |
|-----------------------------------|------------|------------|--------------|--------------|------------|
| | 2018 | 2019 | Adopted 2020 | Amended 2020 | 2021 |
| Revenues | | | | | |
| 508200 Insurance Proceeds | \$ - | \$ - | \$ - | \$ - | \$ - |
| Total Revenue | \$ - | \$ - | \$ - | \$ - | \$ - |
| Expenses | | | | | |
| 610100 Regular Salaries | \$ 117,776 | \$ 110,111 | \$ 109,678 | \$ 109,678 | \$ 113,549 |
| 610500 Overtime Wages | 30 | - | - | - | - |
| 615000 Fringes | 37,876 | 33,139 | 36,052 | 36,052 | 36,825 |
| 620100 Training/Conferences | 26,012 | 21,442 | 33,000 | 33,000 | 28,000 |
| 620600 Parking Permits | 4,095 | 3,629 | 3,780 | 3,780 | 3,780 |
| 630100 Office Supplies | 1,030 | 1,152 | 1,000 | 1,000 | 1,000 |
| 630300 Memberships & Licenses | 50 | - | 50 | 50 | - |
| 630500 Awards & Recognition | 250 | 200 | 200 | 200 | 200 |
| 632001 City Copy Charges | 2,965 | 1,401 | 1,500 | 1,500 | 1,500 |
| 632700 Miscellaneous Equipment | 1,578 | 518 | 1,000 | 1,000 | 1,000 |
| 641300 Utilities | 4,522 | 3,369 | 5,000 | 5,000 | 5,000 |
| 659900 Other Contracts/Obligation | 10,199 | 8,700 | 11,000 | 11,000 | 11,000 |
| Total Expense | \$ 206,383 | \$ 183,661 | \$ 202,260 | \$ 202,260 | \$ 201,854 |

DETAILED SUMMARY OF 2021 PROPOSED EXPENDITURES > \$15,000

Training

| | |
|------------------------------------|------------------|
| Average two week training per year | |
| per staff member | \$ 28,000 |
| | <u>\$ 28,000</u> |

CITY OF APPLETON 2021 BUDGET INFORMATION TECHNOLOGY

Mainframe

Business Unit 13020

PROGRAM MISSION

To ensure that all mainframe users can collect, process and manage needed information and communicate more effectively, we will assist with the analysis, development, testing and implementation of new and upgraded automated systems, as well as maintain the availability and reliability of the mainframe computer.

PROGRAM NARRATIVE

Link to City Goals:

Implements Key Strategies # 1: "Responsibly deliver excellent services", # 2: "Encourage active community participation and involvement", # 4: "Continuously assess trends affecting the community and proactively respond", and # 6: "Create opportunities and learn from successes and failures".

Objectives:

Communicate on a regular basis with department liaisons to ascertain information needs

Complete ongoing prioritization of all new and existing mainframe system development tasks

Coordinate, prioritize and complete department projects in line with available resources, and ensure all departments are regularly kept informed of progress

Enhance knowledge of newly implemented technology including hardware, software and specialized systems through effective training programs

Maintain availability of reliable computer hardware and software through a cost effective upgrade schedule

Continue work on replacement of the iSeries with the enterprise resource planning (ERP) package

Major changes in Revenue, Expenditures, or Programs:

A reduction of \$5,500 in iSeries maintenance since we began using a third party maintenance provider and are maintaining the hardware only.

In 2020, we upgraded the trouble tracking system and during the migration of the data had the choice to bring the old data over or not. We chose to only bring over active tasks which resulted in the 2019 project figures below being unavailable.

PERFORMANCE INDICATORS

| | <u>Actual 2018</u> | <u>Actual 2019</u> | <u>Target 2020</u> | <u>Projected 2020</u> | <u>Target 2021</u> |
|--|--------------------|--------------------|--------------------|-----------------------|--------------------|
| Client Benefits/Impacts | | | | | |
| Rapid response to information needs | | | | | |
| # of requests over 6 months old | 11 | N/A | 10 | 2 | 1 |
| # of project requests outstanding | 11 | N/A | 10 | 7 | 1 |
| Strategic Outcomes | | | | | |
| Sustain personnel resource allocation | | | | | |
| % of staff time allocated to new application development (estimate) | 65% | 25% | 50% | 10% | 0% |
| (Goal is for the % to decline as we move closer to a replacement technology) | | | | | |
| Work Process Outputs | | | | | |
| # of new requests received | 81 | N/A | 75 | 75 | 100 |
| # of user accounts supported | 520 | 520 | 520 | 520 | 520 |

CITY OF APPLETON 2021 BUDGET INFORMATION TECHNOLOGY

Mainframe

Business Unit 13020

PROGRAM BUDGET SUMMARY

| Description | Actual | | Budget | | |
|--------------------------------|-------------------|-------------------|-------------------|-------------------|-------------------|
| | 2018 | 2019 | Adopted 2020 | Amended 2020 | 2021 |
| Expenses | | | | | |
| 610100 Regular Salaries | \$ 253,823 | \$ 241,101 | \$ 188,396 | \$ 188,396 | \$ 194,532 |
| 610400 Call Time Wages | 1,062 | 905 | 1,879 | 1,879 | 1,941 |
| 615000 Fringes | 87,663 | 79,163 | 65,786 | 65,786 | 67,163 |
| 632700 Miscellaneous Equipment | - | - | 1,000 | 1,000 | - |
| 641800 Equip Repairs & Maint | 11,183 | 6,932 | 12,500 | 12,500 | 7,000 |
| 642400 Software Support | 30,205 | 12,381 | 11,000 | 11,000 | 11,000 |
| Total Expense | <u>\$ 383,936</u> | <u>\$ 340,482</u> | <u>\$ 280,561</u> | <u>\$ 280,561</u> | <u>\$ 281,636</u> |

DETAILED SUMMARY OF 2021 PROPOSED EXPENDITURES > \$15,000

None

CITY OF APPLETON 2021 BUDGET INFORMATION TECHNOLOGY

Network

Business Unit 13030

PROGRAM MISSION

To ensure that users of City network data and communication systems can continue to perform automated functions in an effective manner, we will maintain the availability and reliability of such systems and correct any operational problems, as well as provide appropriate upgrades and development of new systems as needed.

PROGRAM NARRATIVE

Link to City Goals:

Implements Key Strategies # 1: "Responsibly deliver excellent services", # 2: "Encourage active community participation and involvement", # 4: "Continuously assess trends affecting the community and proactively respond", and # 6: "Create opportunities and learn from successes and failures".

Objectives:

Minimize downtime of computer systems, applications, phone, voice mail and copier services through timely and skilled maintenance and problem solving

Maintain availability of reliable hardware and software through a cost effective maintenance and upgrade schedule

Enhance effective information availability through the internal intranet as well as the external internet site

Continue work toward full utilization of the fiber optic network which will vastly increase the efficiency of network administration as well as the speed at which employees can access information

Major changes in Revenue, Expenditures, or Programs:

The increase in software support expense is the result of continued expansion of our use of electronic tools and the ever-increasing complexity of maintaining network security.

In 2020, we upgraded the trouble tracking system and during the migration of the data had the choice to bring the old data over or not. We chose to only bring over active tasks which resulted in the 2019 project figures below being unavailable.

For 2021, software and other costs related to monitoring and protecting the City's network from external threats such as viruses, malware, ransomware, spyware, etc. have been reclassified into a separate account in order to highlight the costs associated with this critical activity. Added to this account for 2021 is an additional \$25,000 to have a network penetration and security test performed to identify any security risks and provide resultant mitigation strategies.

PERFORMANCE INDICATORS

| | <u>Actual 2018</u> | <u>Actual 2019</u> | <u>Target 2020</u> | <u>Projected 2020</u> | <u>Target 2021</u> |
|---|--------------------|--------------------|--------------------|-----------------------|--------------------|
| Client Benefits/Impacts | | | | | |
| Quick problem resolution | | | | | |
| # of project requests outstanding | 5 | N/A | 5 | 5 | 5 |
| Strategic Outcomes | | | | | |
| Minimized disruption to City operations because of hardware/software issues | | | | | |
| Ratio of IT Staff to Users; (national average 1:50) | 1:59 | 1:59 | 1:59 | 1:66 | 1:70 |
| Work Process Outputs | | | | | |
| New systems implemented | | | | | |
| # of network accounts supported | 620 | 635 | 635 | 635 | 635 |
| # of computers maintained | 520 | 525 | 520 | 525 | 525 |
| # PC's replaced/upgraded | 100 | 70 | 120 | 70 | 100 |
| Help Desk problems resolved | | | | | |
| # of calls / email handled by help desk | 15,000 | N/A | 15,000 | 15,000 | 15,000 |

CITY OF APPLETON 2021 BUDGET INFORMATION TECHNOLOGY

Network

Business Unit 13030

PROGRAM BUDGET SUMMARY

| Description | Actual | | Budget | | |
|----------------------------------|--------------|--------------|--------------|--------------|--------------|
| | 2018 | 2019 | Adopted 2020 | Amended 2020 | 2021 |
| Expenses | | | | | |
| 610100 Regular Salaries | \$ 338,284 | \$ 384,470 | \$ 388,689 | \$ 388,689 | \$ 402,392 |
| 610400 Call Time Wages | 3,428 | 3,562 | 3,877 | 3,877 | 4,014 |
| 610500 Overtime Wages | 1,818 | 1,507 | 2,187 | 2,187 | 2,185 |
| 615000 Fringes | 132,042 | 144,069 | 158,825 | 158,825 | 162,146 |
| 620100 Training/Conferences | - | 150 | - | - | - |
| 630100 Office Supplies | 25,204 | 12,172 | 20,000 | 20,000 | 20,000 |
| 632700 Miscellaneous Equipment | 148,754 | 111,986 | 146,000 | 146,000 | 146,000 |
| 640400 Consulting Services | 37,190 | 42,263 | 86,600 | 86,600 | 70,250 |
| 641307 Telephone | 1,744 | 1,907 | 1,750 | 1,750 | 1,750 |
| 641800 Equip Repairs & Maint | 57,756 | 27,182 | 44,800 | 58,194 | 43,594 |
| 641900 Communication Eq. Repairs | 31,745 | 37,989 | 30,000 | 30,000 | 30,000 |
| 642400 Software Support | 434,190 | 633,076 | 626,300 | 626,300 | 659,120 |
| 642600 Network Security Support | - | - | - | - | 140,650 |
| Total Expense | \$ 1,212,155 | \$ 1,400,333 | \$ 1,509,028 | \$ 1,522,422 | \$ 1,682,101 |

DETAILED SUMMARY OF 2021 PROPOSED EXPENDITURES > \$15,000

Office Supplies

| | |
|--------------------------------------|------------------|
| Network supplies - toner, ink, tapes | \$ 20,000 |
| | <u>\$ 20,000</u> |

Miscellaneous Equipment

| | |
|------------------------------------|-------------------|
| Upgrade PC's and laptops | \$ 83,000 |
| Upgrade MDC's | 30,000 |
| Misc. network hardware | 13,000 |
| Application and network management | 20,000 |
| | <u>\$ 146,000</u> |

Consulting

| | |
|--------------------------------------|------------------|
| Network firewall security monitoring | \$ 53,250 |
| Other network support | 17,000 |
| | <u>\$ 70,250</u> |

Equip. Repairs & Maint.

| | |
|-------------------------------------|------------------|
| NovaTime(Parks/Transit) | \$ 1,300 |
| Wireless Licensing | 10,000 |
| Porter Lee (Police Evidence System) | 1,700 |
| Core switch support | 13,300 |
| Facilicad/Identicard/SitelImprove | 17,294 |
| | <u>\$ 43,594</u> |

Communication Equip. Repair

| | |
|---------------------------------------|------------------|
| Pro-rata share of fiber network costs | \$ 30,000 |
| | <u>\$ 30,000</u> |

Software Support

| | |
|-------------------------|-------------------|
| Microsoft agreement | \$ 159,000 |
| Mitel VoIP support | 44,000 |
| GIS - DLT solutions | 24,000 |
| Doc management support | 15,000 |
| Veeam / Azure | 25,000 |
| NEOGOV | 16,820 |
| Track-IT support | 4,000 |
| Miscellaneous software | 20,000 |
| Shopkey (MSB/Transit) | 1,700 |
| SignCAD/SignCAM (MSB) | 1,600 |
| RecTrac support (Parks) | 6,000 |
| Forensic software (PD) | 1,600 |
| ID networks (PD) | 4,200 |
| Adobe Creative Suite | 15,000 |
| Vision Internet | 10,000 |
| Cycom document mgmt. | 1,200 |
| Win-Wam (Health W&M) | 1,800 |
| ArcGIS ELS (CD - GIS) | 57,000 |
| CAD (AFD APD) | 70,000 |
| CAMA Support (Assessor) | 20,000 |
| Fire RMS | 41,200 |
| Munis support | 120,000 |
| | <u>\$ 659,120</u> |

Network Security Support

| | |
|------------------------------|-------------------|
| Anti-Virus subscription | \$ 45,700 |
| Spam filtering | 8,000 |
| Firewall security monitoring | 16,350 |
| Firewall support | 14,600 |
| NetMotion | 6,000 |
| Security software | 25,000 |
| Network penetration testing | 25,000 |
| | <u>\$ 140,650</u> |

CITY OF APPLETON 2021 BUDGET INFORMATION TECHNOLOGY

| | 2018 ACTUAL | 2019 ACTUAL | 2020 YTD ACTUAL | 2020 ORIG BUD | 2020 REVISED BUD | 2021 BUDGET |
|-----------------------------------|----------------|----------------|--------------------|------------------|---------------------|----------------|
| Charges for Services | | | | | | |
| 508200 Insurance Proceeds | - | - | - | - | - | - |
| TOTAL PROGRAM REVENUES | - | - | - | - | - | - |
| Salaries | | | | | | |
| 610100 Regular Salaries | 626,419 | 647,141 | 341,184 | 686,763 | 686,763 | 710,473 |
| 610400 Call Time Wages | 4,490 | 4,466 | 2,164 | 5,756 | 5,756 | 5,955 |
| 610500 Overtime Wages | 1,848 | 1,507 | 1,848 | 2,187 | 2,187 | 2,185 |
| 611400 Sick Pay | 2,764 | 6,081 | 594 | - | - | - |
| 611500 Vacation Pay | 80,700 | 82,462 | 19,417 | - | - | - |
| 615000 Fringes | 257,581 | 256,371 | 131,832 | 260,663 | 260,663 | 266,134 |
| TOTAL PERSONNEL | 973,802 | 998,028 | 497,039 | 955,369 | 955,369 | 984,747 |
| Training~Travel | | | | | | |
| 620100 Training/Conferences | 26,012 | 21,592 | 14,944 | 33,000 | 33,000 | 28,000 |
| 620600 Parking Permits | 4,095 | 3,629 | 3,780 | 3,780 | 3,780 | 3,780 |
| TOTAL TRAINING / TRAVEL | 30,107 | 25,221 | 18,724 | 36,780 | 36,780 | 31,780 |
| Supplies | | | | | | |
| 630100 Office Supplies | 26,234 | 13,324 | 3,375 | 21,000 | 21,000 | 21,000 |
| 630300 Memberships & Licenses | 50 | - | 50 | 50 | 50 | - |
| 630500 Awards & Recognition | 250 | 200 | - | 200 | 200 | 200 |
| 632001 City Copy Charges | 2,965 | 1,401 | 119 | 1,500 | 1,500 | 1,500 |
| 632700 Miscellaneous Equipment | 150,333 | 112,504 | 123,695 | 148,000 | 148,000 | 147,000 |
| TOTAL SUPPLIES | 179,832 | 127,429 | 127,239 | 170,750 | 170,750 | 169,700 |
| Purchased Services | | | | | | |
| 640400 Consulting Services | 37,190 | 42,263 | 42,959 | 86,600 | 86,600 | 70,250 |
| 641307 Telephone | 3,439 | 2,865 | 1,616 | 1,750 | 1,750 | 1,750 |
| 641308 Cellular Phones | 2,827 | 669 | 392 | 5,000 | 5,000 | 5,000 |
| 641309 Cable Services | - | 1,742 | 759 | - | - | - |
| 641800 Equip Repairs & Maint | 68,938 | 34,115 | 43,040 | 57,300 | 70,694 | 50,594 |
| 641900 Communication Eq. Repairs | 31,745 | 37,988 | - | 30,000 | 30,000 | 30,000 |
| 642400 Software Support | 464,395 | 645,456 | 448,359 | 637,300 | 637,300 | 670,120 |
| 642600 Network Security Support | - | - | - | - | - | 140,650 |
| 659900 Other Contracts/Obligation | 10,199 | 8,700 | - | 11,000 | 11,000 | 11,000 |
| TOTAL PURCHASED SVCS | 618,733 | 773,798 | 537,125 | 828,950 | 842,344 | 979,364 |
| TOTAL EXPENSE | 1,802,474 | 1,924,476 | 1,180,127 | 1,991,849 | 2,005,243 | 2,165,591 |

**CITY OF APPLETON 2021 BUDGET
CAPITAL PROJECTS FUNDS**

NOTES

CITY OF APPLETON 2021 BUDGET

CAPITAL PROJECTS FUNDS

Information Technology

Business Unit 4220

PROGRAM MISSION

This program accounts for funding sources and expenditures for various data processing, communications, and technology related needs.

PROGRAM NARRATIVE

Link to Strategy:

Implements Key Strategy # 6: "Responsibly deliver excellent services".

Objectives:

Further descriptions of projects to be funded from this fund can be found in the Capital Projects section of the budget, as follows:

| <u>Project</u> | <u>Amount</u> | <u>Page</u> |
|----------------------------------|-------------------|-------------------|
| ERP system (iSeries replacement) | \$ 325,000 | Projects, Pg. 623 |
| Firewall replacement | 100,000 | Projects, Pg. 624 |
| Upgrade MDCs, APD squad cars | 150,000 | Projects, Pg. 624 |
| | <u>\$ 575,000</u> | |

Major changes in Revenue, Expenditures, or Programs:

No major changes

PERFORMANCE INDICATORS

Actual 2018 Actual 2019 Target 2020 Projected 2020 Target 2021

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

DEPARTMENT BUDGET SUMMARY

| Programs | | Actual | | Budget | | | % Change * |
|-------------------------------|-------|------------|------------|--------------|--------------|------------|---------------|
| Unit | Title | 2018 | 2019 | Adopted 2020 | Amended 2020 | 2021 | |
| Program Revenues | | \$ 767 | \$ 1,096 | \$ - | \$ - | \$ - | N/A |
| Program Expenses | | \$ 739,984 | \$ 433,029 | \$ 680,000 | \$ 758,010 | \$ 575,000 | -15.44% |
| Expenses Comprised Of: | | | | | | | |
| Personnel | | - | 8,663 | 9,700 | 9,700 | - | -100.00% |
| Purchased Services | | - | - | - | - | - | N/A |
| Capital Expenditures | | 739,984 | 309,150 | 670,300 | 748,310 | 575,000 | -14.22% |
| Transfers Out | | - | 115,216 | - | - | - | N/A |

CITY OF APPLETON 2021 BUDGET CAPITAL PROJECTS FUNDS

Information Technology

Business Unit 4220

PROGRAM BUDGET SUMMARY

| Description | Actual | | Budget | | |
|-----------------------------------|-------------------|-------------------|-------------------|-------------------|-------------------|
| | 2018 | 2019 | Adopted 2020 | Amended 2020 | 2021 |
| Revenues | | | | | |
| 471000 Interest on Investments | \$ 767 | \$ 1,096 | \$ - | \$ - | \$ - |
| 591000 Proceeds of Long-term Debt | 500,000 | 354,000 | 680,000 | 680,000 | 575,000 |
| Total Revenue | <u>\$ 500,767</u> | <u>\$ 355,096</u> | <u>\$ 680,000</u> | <u>\$ 680,000</u> | <u>\$ 575,000</u> |
| Expenses | | | | | |
| 610500 Overtime Wages | \$ - | \$ 8,663 | \$ 9,700 | \$ 9,700 | \$ - |
| 640400 Consulting | - | - | - | - | - |
| 680401 Machinery & Equipment | 739,984 | 295,520 | 420,300 | 429,525 | 250,000 |
| 681500 Software Acquisition | - | 13,630 | 250,000 | 318,785 | 325,000 |
| 791400 Transfer Out - Cap Project | - | 115,216 | - | - | - |
| Total Expense | <u>\$ 739,984</u> | <u>\$ 433,029</u> | <u>\$ 680,000</u> | <u>\$ 758,010</u> | <u>\$ 575,000</u> |

DETAILED SUMMARY OF 2021 PROPOSED EXPENDITURES > \$15,000

Equipment

| | |
|------------------------------|-------------------|
| Firewall replacement | \$ 100,000 |
| Upgrade MDCs, APD squad cars | 150,000 |
| | <u>\$ 250,000</u> |

Software Acquisition

| | |
|------------|-------------------|
| ERP system | \$ 325,000 |
| | <u>\$ 325,000</u> |

CITY OF APPLETON 2021 BUDGET
INFORMATION TECHNOLOGY
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE (DEFICIT)

| | 2018 Actual | 2019 Actual | 2020 Budget | 2020 Projected | 2021 Budget |
|---------------------------------------|-------------------|------------------|------------------|-------------------|----------------|
| Revenues | | | | | |
| Interest Income | \$ 767 | \$ 1,096 | \$ - | \$ 1,000 | \$ - |
| Other | - | - | - | - | - |
| Total Revenues | <u>767</u> | <u>1,096</u> | <u>-</u> | <u>1,000</u> | <u>-</u> |
| Expenses | | | | | |
| Program Costs | <u>739,984</u> | <u>317,813</u> | <u>680,000</u> | <u>498,899</u> | <u>575,000</u> |
| Total Expenses | <u>739,984</u> | <u>317,813</u> | <u>680,000</u> | <u>498,899</u> | <u>575,000</u> |
| Revenues over (under) Expenses | (739,217) | (316,717) | (680,000) | (497,899) | (575,000) |
| Other Financing Sources (Uses) | | | | | |
| Proceeds of G.O. Debt | 500,000 | 354,000 | 680,000 | 420,000 | 575,000 |
| Operating Transfers In | - | - | - | - | - |
| Operating Transfers Out | - | (115,216) | - | - | - |
| Total Other Financing Sources (Uses) | <u>500,000</u> | <u>238,784</u> | <u>680,000</u> | <u>420,000</u> | <u>575,000</u> |
| Net Change in Equity | (239,217) | (77,933) | - | (77,899) | - |
| Fund Balance - Beginning | <u>395,049</u> | <u>155,832</u> | <u>77,899</u> | <u>77,899</u> | <u>-</u> |
| Fund Balance - Ending | <u>\$ 155,832</u> | <u>\$ 77,899</u> | <u>\$ 77,899</u> | <u>\$ -</u> | <u>\$ -</u> |

CITY OF APPLETON 2021 BUDGET

HUMAN RESOURCES

Human Resources Director: Sandra A. Matz

Deputy Director of Human Resources: Jay M. Ratchman

CITY OF APPLETON 2021 BUDGET

HUMAN RESOURCES

MISSION STATEMENT

The Human Resource Department will attract, develop, and retain a high-performing, diverse workforce and foster an environment where employees can use their talents to thrive.

DISCUSSION OF SIGNIFICANT 2020 EVENTS

The Human Resources staff continued to support, and provide service to City departments, staff, and the public through innovative programs and enhancements. Some examples of accomplishments in 2020 are:

General Administration:

- Continued development of the Financial Wellness Team including branding, review of deferred compensation plan/investment fund lineup performance, creating and offering a new financial wellness newsletter for employees and online educational programs, and educating employees for retirement readiness
- Continued health services at the employee Connecting Care Clinic
- Continued transition and implementation to Tyler Munis HR and Payroll systems
- Updated a variety of HR & safety policies (16 different policies)
- Continued work by the Healthsmart Team including sponsoring a Micro Fit Fair in January, 2020, hosted two in-person lunch 'n learn sessions at City Hall, offered two webinar lunch 'n learn sessions while employees worked remotely during the COVID-19 pandemic, hosted four weekly City Cooking Nights for all employees during the month of May to promote healthy eating while staying safer-at-home due to COVID-19, promoted free online resources to encourage employees to stay active during the COVID-19 safer-at-home order, offered fitness tracking challenges through myInertia, created the Scorecard 2020 rewards program. Planning has also begun to offer biometric health screenings and a fitness challenge between the City of Appleton and the City of Green Bay.
- Started research regarding HSA administrators

Employee & Labor Relations:

- Finalized the Fire 2020-2022 union contract
- Started preparation for a successor labor agreement with Valley Transit (collecting comparable data)
- Worked extensively on employment issues related to COVID-19. This includes transition to working remotely, compliance with the Families First Coronavirus Response Act, development and implementation of the Families First Compliance policy, drafted letters of understanding and policy with our three bargaining units, modified the police work schedule, researched and responded to the CARES Act, and developed a return to work guide
- Assisted with COVID-19 leaves of absence, FMLA leaves of absence, worker's compensation, wage compression issues, career development, and a variety of employment related issues
- Managed the unemployment compensation program (monitoring claims, responding to the State of Wisconsin, contesting claims when appropriate)
- Modified Wastewater work schedule

Talent Acquisition and Retention:

- Completed recruitment processes for internal promotions, lateral transfers, and recruitment from the outside
- Coordinated and assisted the Police and Fire Commissions with the selection of police officers and firefighters
- Re-focused effort to increase our reach on Facebook and other social media
- Successfully used Microsoft Teams, Zoom, and Audio bridge tools to keep our recruitment process moving forward during the COVID-19 pandemic
- Worked with Recreation, Facilities and Grounds Department to increase the use of e-references for seasonal recruitment

Talent Management and Development:

- Provided online training for all seasonal employees
- Expanded the use of online onboarding for new and seasonal employees (including new hire paperwork)
- Implemented e-learning courses using the CVMIC Kwik Course tool
- Completed compliance training classes for general employees and supervisors
- Completed new employee and supervisor orientation sessions
- Began using an online offboarding tool for exiting employees
- Provided recognition for administrative professionals
- Facilitated staff development for individuals and teams
- Continued work with the Culture Team to implement action steps to enhance our workplace culture
- Implemented the THRIVE Leadership Development Academy and THRIVE 2.0 program for City leaders and aspiring leaders
- Facilitated the on-boarding of the new Mayor

CITY OF APPLETON 2021 BUDGET

HUMAN RESOURCES

MAJOR 2021 OBJECTIVES

To provide departmental support meeting the City's organizational needs in the areas of:

Human Resource Compliance and Administration:

- Continue review of the medical plan assuring compliance with the Health Care Act, industry trends, and cost effectiveness
- Administer the annual personal health risk assessments for all employees/spouses/retirees
- Administer various wellness programs to educate employees and promote health and wellness
- Maintain the City's compensation plan for non-union, part-time and seasonal employees
- Promote the Connecting Care Clinic and service
- Promote programs to increase employee financial wellness and retirement readiness
- Negotiate labor agreement (Valley Transit) and provide assistance to departments on labor issues
- Continue to work toward assisting employees with retirement readiness

Talent Acquisition and Retention:

- Fill vacant employee positions throughout the year
- Continue to use non-traditional means to interview candidates during COVID-19 pandemic (e.g. virtual interviews)
- Continue to evaluate the use of testing and employment related assessments to best meet our needs
- Review background procedure and evaluate alternatives
- Increase racial equity in selection process

Talent Management and Development:

- Continue to implement City-wide talent management strategy, including updates and implementation of succession plans, individual development plans and City-wide leadership development programs
- Continue to create and facilitate required general employee and supervisory training sessions
- Continue development and implementation of e-learning programs
- Conduct new employee orientation sessions
- Facilitate new supervisor orientation sessions
- Conduct seasonal employee training programs
- Coordinate team and individual development opportunities for City employees
- Manage and expand use of online onboarding and offboarding system
- Coordinate and facilitate organizational culture initiatives
- Expand use of EQi or another leadership development tool

DEPARTMENT BUDGET SUMMARY

| Programs | | Actual | | Budget | | | % |
|------------------------------------|--------------------|-------------------|-------------------|-------------------|-------------------|-------------------|--------------|
| Unit | Title | 2018 | 2019 | Adopted 2020 | Amended 2020 | 2021 | Change * |
| Program Revenues | | \$ 244 | \$ 16 | \$ - | \$ - | \$ - | N/A |
| Program Expenses | | | | | | | |
| 14010 | HR Compliance | 333,806 | 303,469 | 401,406 | 401,406 | 414,489 | 3.26% |
| 14020 | Talent Acquisition | 218,347 | 234,946 | 187,500 | 187,500 | 192,583 | 2.71% |
| 14040 | Talent Management | 140,326 | 138,527 | 177,166 | 177,166 | 163,478 | -7.73% |
| TOTAL | | \$ 692,479 | \$ 676,942 | \$ 766,072 | \$ 766,072 | \$ 770,550 | 0.58% |
| Expenses Comprised Of: | | | | | | | |
| Personnel | | 598,900 | 579,006 | 649,098 | 649,098 | 666,461 | 2.67% |
| Training & Travel | | 36,483 | 26,689 | 25,900 | 25,900 | 26,310 | 1.58% |
| Supplies & Materials | | 11,475 | 12,086 | 11,574 | 11,574 | 10,279 | -11.19% |
| Purchased Services | | 45,621 | 59,161 | 79,500 | 79,500 | 67,500 | -15.09% |
| Full Time Equivalent Staff: | | | | | | | |
| Personnel allocated to programs | | 6.15 | 6.15 | 6.15 | 6.15 | 6.15 | |

CITY OF APPLETON 2021 BUDGET

HUMAN RESOURCES

Human Resources Compliance and Administration

Business Unit 14010

PROGRAM MISSION

For the benefit of managers and employees, so that the City may attract and retain talented and dedicated staff who will be fairly and equitably compensated and supervised, we will develop and administer policies and procedures, maintain compensation schedules reflective of the market, conduct labor contract negotiations, resolve grievances, and assist with employee-related issues.

PROGRAM NARRATIVE

Link to City Goals:

Implements Key Strategies #1: "Responsibly deliver excellent services", #3: "Recognize and grow everyone's talents", and #5: "Promote an environment that is respectful and inclusive."

Objectives:

- Develop, implement, maintain and distribute policies and procedures applicable to City employees
- Review policies and procedures
- Serve as a resource for other agencies seeking employment and statistical data
- Administer various policies and programs to comply with state and federal legislation
- Administer fringe benefit programs and voluntary fringe benefit programs
- Counsel employees on benefit related issues and conduct organizational benefit reviews
- Coordinate and administer the employee compensation and classification system
- Administer the performance and goal evaluation system
- Educate employees on health insurance costs and issues
- Maintain employment records
- Negotiate labor union contracts, address employee issues and handle grievances as they occur
- Investigate complaints and follow through to resolution
- Provide intervention and conflict resolution services
- Assist and advise employees on employment related issues
- Provide contract interpretation and training
- Coordinate and participate in grievance and interest arbitrations

Major Changes in Revenue, Expenditures or Programs:

No major changes.

PERFORMANCE INDICATORS

| | <u>Actual 2018</u> | <u>Actual 2019</u> | <u>Target 2020</u> | <u>Projected 2020</u> | <u>Target 2021</u> |
|--|--------------------|--------------------|--------------------|-----------------------|--------------------|
| Client Benefits/Impacts | | | | | |
| Staff Retention | | | | | |
| Regular employees on staff < 1 year | 47 | 59 | 50 | 40 | 50 |
| Regular employees on staff 1-5 years | 165 | 170 | 160 | 185 | 190 |
| Regular employees on staff 6-10 years | 88 | 75 | 100 | 88 | 100 |
| Regular employees on staff 10+ years | 328 | 317 | 320 | 327 | 300 |
| Long-term management of Benefit Programs | | | | | |
| % of increase to medical costs | -20.7% | 2.8% | 2% | 0.7% | 2.0% |
| Strategic Outcomes | | | | | |
| Consistent and understandable employment policies and procedures | | | | | |
| Average leave hours used per employee | | | | | |
| Sick | 10.8 | 12.4 | 8.0 | 5.0 | 6.0 |
| FMLA | 8.1 | 8.7 | 9.0 | 8.0 | 8.0 |
| Work Process Outputs | | | | | |
| Policy Implementation - # of policies: | | | | | |
| Developed | 2 | 0 | 0 | 1 | 0 |
| Updated | 11 | 16 | 10 | 16 | 15 |
| Fringe Benefits | | | | | |
| # of contracts under negotiation | 1 | 2 | 0 | 1 | 0 |
| # of new fringe benefits | 2 | 1 | 0 | 0 | 0 |
| # of modified fringe benefits | 3 | 4 | 1 | 1 | 1 |

CITY OF APPLETON 2021 BUDGET

HUMAN RESOURCES

Human Resources Compliance and Administration

Business Unit 14010

PROGRAM BUDGET SUMMARY

| Description | Actual | | Budget | | |
|------------------------------------|-------------------|-------------------|-------------------|-------------------|-------------------|
| | 2018 | 2019 | Adopted 2020 | Amended 2020 | 2021 |
| Revenues | | | | | |
| 480100 General Charges for Service | \$ 244 | \$ 16 | \$ - | \$ - | \$ - |
| Total Revenue | <u>\$ 244</u> | <u>\$ 16</u> | <u>\$ -</u> | <u>\$ -</u> | <u>\$ -</u> |
| Expenses | | | | | |
| 610100 Regular Salaries | \$ 239,267 | \$ 217,389 | \$ 281,177 | \$ 281,177 | \$ 297,033 |
| 610500 Overtime Wages | 761 | 2,259 | - | - | - |
| 615000 Fringes | 79,836 | 68,542 | 102,899 | 102,899 | 102,911 |
| 620100 Training/Conferences | - | 135 | - | - | 110 |
| 620600 Parking Permits | 2,085 | 1,634 | 1,900 | 1,900 | 2,200 |
| 630100 Office Supplies | 1,034 | 1,062 | 1,000 | 1,000 | 1,000 |
| 630200 Subscriptions | 1,327 | 1,195 | 1,195 | 1,195 | - |
| 630300 Memberships & Licenses | 615 | 420 | 420 | 420 | 420 |
| 630500 Awards & Recognition | 40 | - | 92 | 92 | 92 |
| 630700 Food & Provisions | 237 | 432 | 123 | 123 | 123 |
| 631500 Books & Library Materials | 21 | - | - | - | - |
| 632001 City Copy Charges | 5,051 | 5,136 | 4,300 | 4,300 | 4,300 |
| 632002 Outside Printing | 176 | 361 | 200 | 200 | 200 |
| 632700 Miscellaneous Equipment | - | 213 | 500 | 500 | 500 |
| 640400 Consulting Services | 2,965 | 4,215 | 7,000 | 7,000 | 5,000 |
| 641307 Telephone | 348 | 476 | 500 | 500 | 500 |
| 659900 Other Contracts/Obligation | 43 | - | 100 | 100 | 100 |
| Total Expense | <u>\$ 333,806</u> | <u>\$ 303,469</u> | <u>\$ 401,406</u> | <u>\$ 401,406</u> | <u>\$ 414,489</u> |

DETAILED SUMMARY OF 2021 PROPOSED EXPENDITURES > \$15,000

None

CITY OF APPLETON 2021 BUDGET

HUMAN RESOURCES

Talent Acquisition and Retention

Business Unit 14020

PROGRAM MISSION

For the benefit of the program managers, so that the City will have a qualified, diverse staff, we will research, recruit and recommend appropriate candidates.

PROGRAM NARRATIVE

Link to City Goals:

Implements Key Strategies #1: "Responsibly deliver excellent services", #3: "Recognize and grow everyone's talents" and #5: "Promote an environment that is respectful and inclusive."

Objectives:

- Review and make recommendations on the filling of vacancies, reorganizations and other staffing changes.
- Review and update job descriptions, post or advertise vacant positions
- Receive and screen applications
- Administer selection process including: corresponding with applicants, maintaining recruitment data, testing, interviewing, performing background and reference checks, coordinating travel arrangements, medical, psychological and physical agility testing and documenting employment offers
- Maintain statistical data on applicant files
- Process all recruitment for seasonal employees
- Outline and document all hiring processes and continue to explore online job posting opportunities
- Evaluate the use of testing and employment related assessments and background procedures
- Use NEO.gov system for all volunteer processes to streamline and ensure all background checks are completed
- Increase racial equity in the selection process

Major Changes in Revenue, Expenditures or Programs:

The increase in # of candidates tested (below) is a result of performing the police officer written test earlier in the selection process and an increased number of police recruitment processes.

PERFORMANCE INDICATORS

| | <u>Actual 2018</u> | <u>Actual 2019</u> | <u>Target 2020</u> | <u>Projected 2020</u> | <u>Target 2021</u> |
|---|--------------------|--------------------|--------------------|-----------------------|--------------------|
| Client Benefits/Impacts | | | | | |
| Timely, effective assistance to departments in filling vacancies | | | | | |
| % of Program Managers who reported being satisfied or very satisfied | New Measure | N/A | 100% | 100% | 100% |
| Strategic Outcomes | | | | | |
| City operates more efficiently | | | | | |
| # of open positions throughout year (includes transfers & promotions) | 70 | 93 | 100 | 85 | 100 |
| # staff turnover | 70 | 73 | 80 | 50 | 75 |
| Work Process Outputs | | | | | |
| Candidate recruitment | | | | | |
| # of positions posted internally | 14 | 17 | 18 | 15 | 15 |
| # of positions advertised externally | 56 | 58 | 70 | 60 | 60 |
| # of interviews | 440 | 338 | 425 | 425 | 400 |
| # of candidates tested | 317 | 1,016 | 275 | 500 | 700 |

CITY OF APPLETON 2021 BUDGET

HUMAN RESOURCES

Talent Acquisition and Retention

Business Unit 14020

PROGRAM BUDGET SUMMARY

| Description | Actual | | Budget | | |
|-------------------------------|-------------------|-------------------|-------------------|-------------------|-------------------|
| | 2018 | 2019 | Adopted 2020 | Amended 2020 | 2021 |
| Expenses | | | | | |
| 610100 Regular Salaries | \$ 120,943 | \$ 133,243 | \$ 91,917 | \$ 91,917 | \$ 96,898 |
| 610500 Overtime Wages | 559 | 997 | - | - | - |
| 615000 Fringes | 50,999 | 56,271 | 48,228 | 48,228 | 48,430 |
| 620100 Training/Conferences | - | 6 | - | - | - |
| 620500 Employee Recruitment | 19,000 | 17,156 | 15,000 | 15,000 | 15,000 |
| 630300 Memberships & Licenses | 264 | 355 | 55 | 55 | 55 |
| 630700 Food & Provisions | 465 | 639 | 1,100 | 1,100 | 1,000 |
| 640400 Consulting Services | 20,297 | 22,083 | 25,000 | 25,000 | 25,000 |
| 641200 Advertising | 5,704 | 4,016 | 6,000 | 6,000 | 6,000 |
| 641307 Telephone | 116 | 180 | 200 | 200 | 200 |
| Total Expense | <u>\$ 218,347</u> | <u>\$ 234,946</u> | <u>\$ 187,500</u> | <u>\$ 187,500</u> | <u>\$ 192,583</u> |

DETAILED SUMMARY OF 2021 PROPOSED EXPENDITURES > \$15,000

Consulting Services

| | |
|-------------------------------|------------------|
| Pre-employment physicals | \$ 15,000 |
| Pre-employment psychologicals | 10,000 |
| | <u>\$ 25,000</u> |

CITY OF APPLETON 2021 BUDGET

HUMAN RESOURCES

Talent Management and Development

Business Unit 14040

PROGRAM MISSION

For the benefit of City staff and the community, we will provide training to meet strategic goals and educational opportunities for staff to enhance employees' skills, to fulfill legally mandated training requirements, and to increase employee engagement and development.

PROGRAM NARRATIVE

Link to City Goals:

Implements Key Strategies #1: "Responsibly deliver excellent services", #3: "Recognize and grow everyone's talents", #5: "Promote an environment that is respectful and inclusive", and #6: "Create opportunities and learn from successes and failures".

Objectives:

- Coordinate and conduct required general employee training classes for all employees
- Coordinate and facilitate supervisory training
- Maintain City-wide training/tracking database
- Create and manage e-learning courses
- Facilitate staff and team development sessions
- Deliver organizational development training
- Conduct new employee orientation program
- Conduct new supervisor orientation training
- Coordinate and conduct seasonal training
- Facilitate City-wide talent management strategy, including workforce analysis and succession plans
- Coordinate and facilitate leadership programs, including individual development plans and mentoring program
- Continue to implement online NEO.gov performance evaluation system
- Continue to expand use of online on-boarding and off-boarding systems
- Coordinate and facilitate organizational culture discussions and action plans
- Manage and expand use of leadership development tools (i.e. EQi)
- Coordinate and implement 360 assessment tool for the Leadership Team

Major Changes in Revenue, Expenditures or Programs:

The reduction in Consulting Services reflects the removal of \$10,000 for Fire strategic planning costs added by Council in the 2020 budget that is no longer needed.

PERFORMANCE INDICATORS

| | Actual 2018 | Actual 2019 | Target 2020 | Projected 2020 | Target 2021 |
|---------------------------------------|-------------|-------------|-------------|----------------|-------------|
| Client Benefits/Impacts | | | | | |
| Timely, resourceful training provided | | | | | |
| % employees reported very satisfied | 74% | 70% | 70% | 70% | 70% |
| % employees reported satisfied | 26% | 30% | 30% | 30% | 30% |
| % employees reported not satisfied | 0% | 0% | 0% | 0% | 0% |
| Strategic Outcomes | | | | | |
| % of employees trained | | | | | |
| on required topics | 98% | 97% | 99% | 0% | 99% |
| Work Process Outputs | | | | | |
| Training programs conducted | | | | | |
| Number of training topics covered | | | | | |
| at required classes | 31 | 41 | 27 | 27 | 30 |
| Avg. number participants per session | 25 | 24 | 28 | n/a | 25 |

CITY OF APPLETON 2021 BUDGET

HUMAN RESOURCES

Talent Management and Development

Business Unit 14040

PROGRAM BUDGET SUMMARY

| Description | Actual | | Budget | | |
|-----------------------------------|-------------------|-------------------|-------------------|-------------------|-------------------|
| | 2018 | 2019 | Adopted 2020 | Amended 2020 | 2021 |
| Expenses | | | | | |
| 610100 Regular Salaries | \$ 77,110 | \$ 74,792 | \$ 86,378 | \$ 86,378 | \$ 90,756 |
| 610500 Overtime Wages | 185 | 71 | - | - | - |
| 615000 Fringes | 29,239 | 25,442 | 38,499 | 38,499 | 30,433 |
| 620100 Training/Conferences | 15,398 | 7,759 | 9,000 | 9,000 | 9,000 |
| 630300 Memberships & Licenses | - | - | 289 | 289 | 289 |
| 630700 Food & Provisions | 2,245 | 2,273 | 2,300 | 2,300 | 2,300 |
| 640400 Consulting Services | 15,569 | 27,715 | 40,000 | 40,000 | 30,000 |
| 659900 Other Contracts/Obligation | 580 | 475 | 700 | 700 | 700 |
| Total Expense | <u>\$ 140,326</u> | <u>\$ 138,527</u> | <u>\$ 177,166</u> | <u>\$ 177,166</u> | <u>\$ 163,478</u> |

DETAILED SUMMARY OF 2021 PROPOSED EXPENDITURES > \$15,000

Consulting Services

| | |
|------------------------------------|------------------|
| Supervisor Development Training | \$ 2,000 |
| Culture/Engagement | 1,000 |
| THRIVE Leadership | 12,000 |
| THRIVE 2.0 | 7,000 |
| General Employee Training | 2,000 |
| Administrative Professionals Event | 1,500 |
| 360 Assessments for Directors | 4,500 |
| | <u>\$ 30,000</u> |

| | | |
|--|---|------------------------|
| CITY OF APPLETON PERSONNEL POLICY | TITLE: BLOODBORNE PATHOGEN EXPOSURE CONTROL PLAN | |
| ISSUE DATE: May 2020 | LAST UPDATE: | SECTION: Safety |
| POLICY SOURCE: Human Resources Department | AUDIENCE: All City Employees | TOTAL PAGES: |
| Reviewed by Legal Services Date: | Committee Approval Date: | Council Approval Date: |

I. PURPOSE

The purpose of this exposure control plan is to eliminate and/or minimize our employees' exposure to blood, certain other bodily fluids or other potentially infectious materials.

II. POLICY

It is the policy of the City of Appleton to follow the Federal (OSHA) and State (WI DSPS – Department of Safety and Professional Services) Bloodborne Pathogens Standards found in both 29 CFR 1910.1030 and WI DSPS 332.15 / 332.50. Violations of this city policy will be subject to disciplinary action, up to and including discharge.

III. APPLICATION

This Exposure Control Plan (ECP) applies to all City of Appleton employees who are engaged in workplace activities that may involve exposures to blood or other bodily fluids.

IV. DEFINITIONS

- A. Bloodborne Pathogens (BBP) – pathogenic microorganisms that are present in human blood and cause disease in humans. Examples include but are not limited to hepatitis B virus (HBV) and human immunodeficiency virus (HIV).
- B. Engineering Controls – control measures (i.e. sharps disposal containers, self-sheathing needles) that isolate or remove the bloodborne pathogens hazard from the workplace.
- C. Exposure Incident – a specific eye, mouth, other mucous membrane, non-intact skin or parenteral/percutaneous contact (piercing mucous membranes or the skin barrier through such events as needlesticks, human bites, cuts and abrasions) with blood or other potentially infectious materials that results from the performance of an employee's work duties.
- D. Occupational Exposure – a reasonably anticipated skin, eye, mucous membrane, or parenteral contact (e.g., needlestick, etc.) with blood or other potentially infectious materials that may result from the performance of an employee's work duties.
- E. OPIM (Other Potentially Infectious Materials) – any unfixed tissue or organ (other than intact skin) from a human (living or dead), and human immunodeficiency virus (HIV)-containing cell or tissue cultures, organ cultures, and HIV-or hepatitis B virus (HBV-containing culture

medium or other solutions; and blood, or organs, or other tissues from experimental animals infected with HIV or HBV.

- F. Personal Protective Equipment – specialized clothing or equipment worn by an employee for protection against a hazard. General work clothes (i.e. uniforms, pants, shirts or blouses) not intended to function as protection against a hazard are not considered to be personal protective equipment.
- G. Regulated Waste – liquid or semi-liquid blood or other potentially infectious materials; contaminated items that would release blood or other potentially infectious materials in a liquid or semi-liquid state if compressed; items which are caked with dried blood or other potentially infectious materials and are capable of releasing these materials during handling, contaminated sharps and pathological and microbiological wastes containing blood or other potentially infectious materials.
- H. Universal Precautions – an approach to infection control. According to the concept of Universal Precautions, all human blood and certain human body fluids are treated as if known to be infectious for HIV, HBV and other bloodborne pathogens.
- I. Workplace or Administrative Controls – controls that reduce the likelihood of exposure by altering the way a task is performed (i.e. prohibiting recapping of needles by a two-handed technique).

V. PROCEDURES

SECTION I

- A. Program Administration: The Human Resources Department is responsible for the implementation of this exposure control plan (ECP) which includes the following:
 - Maintaining, reviewing and updating the ECP at least annually as required, and whenever necessary to include new or modified tasks and procedures and to reflect new or revised employee positions with an occupational exposure to blood borne pathogens,
 - Providing the hepatitis B vaccine under specific circumstances as defined by an exposure determination and/or medical follow-up for exposure incidents,
 - Ensuring that all medical actions required by the Bloodborne Pathogens standard are performed and that appropriate OSHA records are maintained, and
 - Providing or coordinating initial and annual training, documenting this training and making this written ECP available to employees as required.

Each applicable department will be responsible for the following:

- Providing and maintaining all necessary personal protective equipment (PPE), engineering controls (e.g., sharps containers), labels, etc. as required by the bloodborne pathogen standard, and
- Ensuring that adequate supplies and PPE is available in the appropriate sizes.

Employees who are determined to have an occupational exposure to blood or other potentially infectious materials (OPIM) must comply with the procedures and work practices outlined in this ECP. Employees are also responsible for immediately reporting all exposure incidents to their supervisor.

SECTION II

- A. Exposure Determination: The following is a list of job classifications in which all (Class I) or some (Class II) employees at the City of Appleton have an occupational exposure to bloodborne pathogens. Class III - All other City employees not listed under Class I and II fall under this category. These employees (Class III) do not have an occupational exposure to bloodborne pathogens but will receive general bloodborne pathogens training during New Employee Orientation. Below is a list of tasks/procedures in which occupational exposure may occur for Class I and Class II employees through the course of performing their essential work functions:

| BBP Classification | Employee Job Title | Tasks / Procedures |
|---------------------------|---|--|
| Class I | Sworn Police Officers and Community Service Officers | Officers using defense and arrest tactics |
| Class I | Firefighters | Extricating injured individuals, blind search in fire and acting as first responders |
| Class I | Registered Nurses | Finger Stick |
| Class I | Lifeguards | First Aid / Rescue |
| Class II | Public Works: (Parking Maintenance Supervisor, Technician, and Custodian) | Clean-up in ramps |
| Class II | Library: Group Supervisor and Maintenance Workers | Cleans library and public restrooms |
| Class II | Valley Transit: Utility Person | Cleans bathrooms and buses |
| Class II | Valley Transit: Operations Supervisor, Maintenance Supervisor and Assistant General Manager | Responds to accident scenes |
| Class II | Valley Transit: Mechanic | Acts as Utility Person in the evening |
| Class II | Health Department: Clerical Staff and Sanitarian | Assists at immunization clinics |
| Class II | Parks and Recreation: Recreation Staff | Provides first aid |
| Class II | Parks and Recreation Park Caretaker | Cleans up spills at various park facilities and cleans public bathrooms |
| Class II | Wastewater: Lab Personnel, Liquids Operators, Utility Workers, Solids Operator and Maintenance Specialists | |
| Class II | Municipal Garage: Sewer Crew and Construction/Maintenance Personnel | |
| Class II | Facilities Management: Facilities Manager, Carpenter/Painter, Facilities Control Technician, HVAC Technician/Pipefitter, Master Electrician, Plumber, and Facilities Specialist | |

SECTION III

- A. Methods of Implementation and Control:
1. Universal Precautions: All employees will utilize universal precautions (treating all human blood and OPIM as if known to be infectious for bloodborne pathogens).

2. Exposure Control Plan: Employees who have an occupational exposure to bloodborne pathogens will receive training on this ECP initially and annually. All employees can review this plan at any time during their work shifts through either the city's on-line policy manual or by contacting the Human Resources Department.
3. Engineering controls and work practice controls will be used to prevent or minimize exposure to bloodborne pathogens. Where occupational exposure remains after institution of these controls, personal protective equipment will be used. Each applicable department is responsible for inspecting and maintaining these control measures. Examples of these controls include, but are not limited to, the following:
 - a. Sharps containers
 - b. Biohazard bags and labels
 - c. Forceps or other devices to pick up sharps and broken glass
 - d. Bio-safety kits at pools
 - e. Safe needle devices
 - f. Body fluid spill kits (located in each City facility)
 - g. Safe resuscitation devices
 - h. Retractable lancets and syringes
 - i. Liquid treatment systems (isolizer crystals)
 - j. Hand washing facilities are available for employees that have an exposure to blood or OPIM. Employees working in the field will be issued protective equipment along with hand sanitizer.
 - k. In work areas where there is a reasonable likelihood of exposure to blood or OPIM, employees must not eat, drink, apply cosmetics or lip balm, smoke or handle contact lenses. Food and beverages are not to be kept in refrigerators, freezers, on shelves, in cabinets or on counter tops and bench tops where blood or OPIM is present.
4. Body Fluid Clean-up and Decontamination Procedures – The following employees are responsible for ensuring that equipment, which has been contaminated with blood or OPIM, shall be cleaned and decontaminated as necessary:
 - a. Water – Water Operations Supervisor
 - b. Fire – Training / Safety Officer, Company Officers
 - c. Police – CSO Operations Coordinator (or Designee) or Contracted Cleaning Service
 - d. Health – Public Health Nurses
 - e. PRFM Pools – On-Duty Managers
 - f. DPW – Safety Coordinator
 - g. Wastewater – Wastewater Operations Supervisor

The following are suggested steps to take to protect employees while cleaning areas or equipment contaminated with blood or OPIM:

1. Secure the area and evaluate the clean-up situation. The goal of securing the area is to prevent further contamination of the area.
2. Locate and open the body fluid spill kit.
3. Put on the appropriate PPE and determine the equipment and supplies that will be used to clean-up.

4. Broken glass and other sharp items which may be contaminated shall not be picked up directly with the hands. It shall be cleaned up using mechanical means, such as with forceps, pliers, etc.
5. Wipe the soiled area(s) with paper towel and absorbent materials from the body fluid spill kit and place these soiled materials into a biohazard bag.
6. The key is to decontaminate all exposed surfaces, tools and equipment. Leave the disinfectant in place for at least 10 minutes. All bins, pails, cans and similar receptacles intended for reuse which have a reasonable likelihood of becoming contaminated with blood or OPIM will be cleaned and decontaminated immediately or as soon as feasible.
7. Carefully remove gloves.
8. Dispose of all materials that could not be disinfected into a biohazard bag, seal the bag and properly dispose of it. See Section IV on regulated medical waste for more information.
9. Employee should wash their hands and all other potentially exposed skin areas.

Departments will be responsible for the clean-up and decontamination of areas as listed below (see Exhibit II for the general body fluid clean-up and decontamination procedures):

- Incidents in parking ramps, park settings and City-owned buildings will be the responsibility of the department of jurisdiction. For example:
 - Parking ramps, streets and communal sidewalks are the responsibility of DPW,
 - Parks are the responsibility of the Parks, Recreation and Facilities Management Department (PRFM) and
 - City buildings and associated property (e.g., related sidewalks) are the responsibility of the Parks, Recreation and Facilities Management Department (PRFM), etc.
 - Incidents involving public safety response will be handled as follows:
 - Incidents that occur within an owner occupied or rental properties will be the responsibility of the victim, guardian, or owner of the property. Questions from property owners should be referred to the Health Department. Owners may want to contact a property restoration company for proper clean-up and decontamination.
 - Incidents on public property that cannot be cleaned up/decontaminated with a single body fluid clean-up kit and an incident that the Fire Department would not normally respond to; the Police Department can request assistance from either a contractor or from DPW. During the hours of 7:00 AM to 3:00 PM, contact the DPW Operations Division at 832-5580. During off-hours, call dispatch; reference DPW emergency call list, Operations Division.
 - Incidents involving hazardous materials (e.g., car accident with spilled automotive fluids) where the Fire Department is responding to will be the responsibility of the Fire Department.
5. Personal Protective Equipment (PPE) is provided to City employees at no cost to them. PPE will be chosen based on the anticipated exposure to blood or OPIM. The types of PPE provided by the City includes but is not limited to the following: disposable gloves, re-usable (utility) gloves, eye and face protection (goggle/glasses) and clothing (e.g.,

TYVEK coveralls). The following is a list of City facilities and the person responsible for ensuring the appropriate PPE is available:

| City Facility | PPE Used By / For | Person Responsible for Availability of PPE |
|----------------------|------------------------------------|---|
| Pools | Lifeguards | Recreation Program Supervisor |
| Fire | Firefighters | Battalion Chief / Training Officer |
| City Hall - Health | Nurses | Nurses and Environmental Supervisor |
| Police | Officers | Operations Coordinator |
| City Hall - Other | First Aid / Bodily Fluid Spill Kit | HR Generalist |
| Municipal Garage | First Aid / Bodily Fluid Spill Kit | DPW Safety Coordinator |
| Parks and Recreation | First Aid / Bodily Fluid Spill Kit | Operations Supervisor and Recreation Program Supervisor |
| Library | First Aid / Bodily Fluid Spill Kit | Business Manager |
| Water | First Aid / Bodily Fluid Spill Kit | Water Operations Supervisor |
| Wastewater | First Aid / Bodily Fluid Spill Kit | Wastewater Operations Supervisor |
| Valley Transit | First Aid / Bodily Fluid Spill Kit | Maintenance Supervisor |

All employees using PPE must observe the following precautions:

- Wash hands immediately or as soon as feasible after removing gloves or other PPE.
- Remove PPE after it becomes contaminated and before leaving the work area in such a way as to avoid contact with its outer surface area.
- PPE will be cleaned, laundered, replaced or disposed of by the City at no cost to the employee(s). When reusable PPE is removed, it shall be placed in an appropriately designated area or container for storage, washing and decontamination.
- Wear appropriate gloves when it is reasonably anticipated that there may be hand contact with blood or OPIM and when handling or touching contaminated items or surfaces. Do not use gloves if torn, punctured or if their ability to function as a barrier is compromised. Never wash or decontaminate disposable gloves for reuse. Utility gloves may be decontaminated for re-use provided the integrity of the glove is not compromised.
- Wear appropriate face and eye protection when splashes, sprays, splatters or droplets of blood or OPIM pose a hazard to the eyes, nose or mouth.
- Protective clothing such as, but not limited to, gowns, coveralls, aprons or other body wear shall be worn in, but not limited to, the following situations:
 - Pools – lifeguards when administering first aid, and
 - Police – when investigating a scene where there is a large amount of body fluid present.

SECTION IV - REGULATED WASTE DISPOSAL (See Exhibit II for additional information)

A. Disposable Sharps (considered a regulated waste):

1. Contaminated sharps shall be discarded immediately or as soon as feasible in containers that are closable, puncture resistant, leak-proof on the sides and bottom and labeled or color-coded.

2. During use, containers for contaminated sharps shall be easily accessible to personnel and located as close as possible to the immediate area where sharps are used or can be reasonably anticipated to be found (Health Department and various City restrooms).
3. The containers shall be maintained upright throughout use and replaced routinely and not be allowed to overfill. Maintenance staff and/or a contracted cleaning service will monitor the need to empty the containers in public restrooms.
4. When moving containers of contaminated sharps from the area of use, the containers shall be closed immediately prior to removal or replacement to prevent spillage or protrusion of contents during handling, storage, transport or shipping.
5. The container shall be placed in a secondary container if leakage of the primary container is possible. The secondary container shall be closable, constructed to contain all contents and prevent leakage during handling, storage and transport or shipping. The secondary container shall be labeled or color-coded to identify its contents.
6. Reusable containers shall not be opened, emptied or cleaned manually or in any other manner that would expose employees to the risk of injury.

B. Other Regulated Waste:

1. Other regulated waste shall be placed in containers that are closable, constructed to contain all contents and prevent leakage of fluids during handling, storage, transportation or shipping.
2. The waste container must be labeled or color-coded and closed prior to removal to prevent spillage or protrusion of contents during handling, storage, transport or shipping.
3. Disposal of all regulated waste shall be in accordance with applicable United States, state and local regulations (the DNR is the controlling agency in Wisconsin). The City of Appleton contracts with the following company for its disposal of all generated regulated waste (including sharps):

LRI
Medical Waste Disposal
P.O. Box 12027
Green Bay, WI 54307
Telephone: 920-490-1954
Fax: 920-592-1161

C. Laundry Procedures

1. Laundry contaminated with blood or other potentially infectious materials must be handled as little as possible with minimal agitation. Such laundry will be placed in appropriately marked biohazard labeled bags or containers. The proper PPE must be worn when handling and/or sorting contaminated laundry. Whenever contaminated laundry is wet and presents a reasonable likelihood of soak-through or leakage from the bag or container, the laundry shall be placed and transported in bags or containers that prevent soak-through and/or leakage of fluids to the exterior.

2. The City of Appleton contracts with Gunderson Cleaners, 200 West Wisconsin Avenue (this location only) to handle any contaminated laundry.
3. The Fire Department may utilize laundry facilities on site to clean any contaminated laundry.

D. Labeling

Another method to prevent potential exposure to bloodborne pathogens is through communication which includes labels and signs. All regulated medical wastes must be labeled in accordance with applicable regulations for biohazard wastes. If the material is not considered regulated medical waste, it can be disposed of in an unlabeled bag and discarded in the normal trash. Any container that may store potentially infectious materials must be adequately labeled. Labels required by this section should include the following legend:



BIOHAZARD

SECTION V – HEPATITIS B VACCINATION

- A. The Human Resources Department will provide or coordinate training to applicable employees on the hepatitis B vaccination, addressing safety, benefits, efficacy, methods of administration and availability. The hepatitis B vaccination series is available at no cost after initial employee training and within 10 days of initial assignment to all employees identified in the exposure determination section of this plan. Vaccination is encouraged unless:

- Documentation exists that the employee has previously received the series;
- Antibody testing has revealed that the employee is immune;
- The vaccine is contraindicated for medical reasons.

Participation in a pre-screening program will not be a prerequisite for receiving the Hepatitis B vaccination.

- B. Employees who accept/decline the Hepatitis B vaccination that's offered must sign the Hepatitis B Vaccine Acceptance/Declination Form (see Exhibit III). Employees who decline this vaccination initially may request it later, at no cost, if they have an occupational exposure to bloodborne pathogens. A copy of this completed consent form will be retained by the Human Resources Department.

SECTION VI – POST EXPOSURE EVALUATION AND FOLLOW UP

- A. An exposure incident is a specific eye, mouth, other mucous membrane, non-intact skin, contact with blood or OPIM. Should an exposure incident occur, an affected employee must

immediately report it to their supervisor. The employee and supervisor will in turn complete the “Bloodborne Pathogen Exposure Packet” (see Exhibit V) which includes implementing initial first aid measures (cleaning the wound site, flushing eyes or other mucous membranes, showering, etc.) and making available an immediate confidential medical evaluation (within 48 hours of the exposure incident). All exposure incidents must be documented using the reporting forms contained in the City’s Accident Reporting and Investigation Policy.

B. The initial confidential medical evaluation/follow-up will include the following:

1. Description of the employee’s job duties relevant to the exposure incident, document the route of exposure, review of relevant employee medical records including vaccination status, and the circumstances under which the exposure incident occurred.
2. Identify and document the source individual (unless the employer can establish that identification is infeasible or prohibited by state or local law).
3. Obtain consent and make arrangements to have the source individual tested as soon as possible to determine HIV, HCV and HBV infectivity; document the source individual’s test results were conveyed to the employee’s health care provider. If consent is not obtained from the source individual, the health care professional shall inform the exposed employee. NOTE: If the source is known to be infectious for HIV, HCV or HBV, testing need not be repeated to determine the known infectivity.
4. Results of the source individual’s testing shall be made available to the exposed employee. The employee shall also be informed about applicable disclosure laws and regulations concerning the identity and infectious status of the source individual (e.g., laws protecting confidentiality).
5. If necessary and after obtaining consent, the medical provider will collect the exposed employee’s blood as soon as feasible after the exposure incident, and will test this blood for HBV, HCV, and HIV serological status. If the employee does not give consent for HIV serological testing during collection of blood for baseline, the medical provider should preserve the baseline blood sample for at least 90 days; if the exposed employee elects to have the baseline sample tested during this waiting period, the medical provider will perform testing on this blood sample as soon as feasible.
6. The Human Resources Department will provide the affected employee with a copy of the evaluating health care professional written opinion within 15 days after completion of the evaluation. The written opinion will be limited to whether the hepatitis B vaccination is needed for an employee and if further evaluation or treatment is needed. All other findings or diagnosis must remain confidential and will not be included in this report.

SECTION VII - EMPLOYEE TRAINING & RECORD-KEEPING

A. Employee Training

All employees who have an occupational exposure to bloodborne pathogens will receive initial and annual training conducted by or coordinated by the Human Resources Department. All employees who have occupational exposure to bloodborne pathogens will receive training on

the epidemiology, symptoms, and modes of transmission of bloodborne pathogen diseases. In addition, the training program must cover, at a minimum, the following elements:

- How to access a copy and provide an explanation of the contents of the OSHA bloodborne pathogen standard.
- An explanation of the ECP and how to obtain a copy.
- An explanation of methods to recognize tasks and other activities that may involve exposure to blood and OPIM, including what constitutes an exposure incident.
- An explanation of the use and limitations of engineering controls, work practices and PPE.
- An explanation of the types, uses, locations, removal, handling, decontamination, and disposal of PPE.
- An explanation of the basis for PPE selection.
- Information on the hepatitis B vaccine, including information on its efficacy, safety, method of administration, the benefits of being vaccinated, and the vaccine will be offered free of charge.
- Information on the appropriate actions to take and person to contact in an emergency involving blood or OPIM.
- An explanation of the procedure to follow if an exposure incident occurs, including the method of reporting the incident and the medical follow-up that the employer is required to provide for the employee following an exposure incident.
- An explanation of the signs and labels used by the City.
- An opportunity for interactive questions and answers with the person conducting the training session.

B. Record-Keeping

1. Training records are completed for each employee upon conclusion of training. These documents will be kept for at least three years in the Human Resources Department. Employee training records are provided upon request to the employee or the employee's authorized representative within 15 working days. Such requests should be addressed to Human Resources. Training records will include the following information:

- a. The date(s) of the training sessions.
- b. The contents or a summary of the training sessions.
- c. The names and qualifications of persons conducting the training.
- d. The names and job titles of all persons attending the training sessions.

Note: A copy of the City's Blood Borne Pathogen Policy and an overview of the City's Blood Borne Pathogen Policy (Exhibit I) are distributed during new employee orientation.

2. Medical records (such as completed hepatitis B vaccination intent/declination forms) are maintained for each employee with occupational exposure in accordance with 29 CFR 1910.1020, "Access to Employee Exposure and Medical Records." The Human Resources Department is responsible for the retention of these required medical records. These confidential records are kept in the Human Resources Department for at least the duration of employment plus 30 years. Employee medical records are provided upon request of the employee or to anyone having written consent of the employee within 15 working days. Such request should be sent to Human Resources.

3. OSHA / WI DSPS Record-Keeping

Exposure incidents are evaluated to determine if it meets OSHA's / WI DSPS's required record-keeping requirements (e.g., OSHA 300 log). This evaluation and any recording activities are done by Human Resources.

4. Sharps Injury Report

A needlestick/sharps injury report shall be maintained by Human Resources (see Exhibit IV) according to the Needlestick Safety and Prevention Act. The report(s) shall be retained for a minimum of five years from the date of exposure.

Page 4

- ◆ Blood
- ◆ Semen
- ◆ Vaginal secretions
- ◆ Cerebrospinal fluid
- ◆ Synovial fluid
- ◆ Pleural fluid
- ◆ Peritoneal fluid
- ◆ Pericardial fluid
- ◆ Amniotic fluid

Body fluids that do NOT pose a risk of bloodborne pathogen transmission unless visibly contaminated with blood include:

- ◆ Urine
- ◆ Saliva
- ◆ Nonpurulent sputum
- ◆ Stool
- ◆ Emesis
- ◆ Nasal Discharge
- ◆ Tears
- ◆ Sweat

Under Wisconsin Statutes s. 252.15(1)(em), "significantly exposed" means sustained a contact which carries a potential for a transmission of HIV, by one or more of the following:

1. Transmission into a body orifice or onto mucous membrane of blood; semen; vaginal secretions; cerebrospinal, synovial, pleural, peritoneal, pericardial or amniotic fluid; or other body fluid that is visibly contaminated with blood.
2. Exchange during the accidental or intentional infliction of a penetrating wound, including a needle puncture, of blood; semen; vaginal secretions; cerebrospinal, synovial, pleural, peritoneal, pericardial or amniotic fluid; or other body fluid that is visibly contaminated with blood.
3. Exchange, into an eye, an open wound, an oozing lesion, or where a significant breakdown in the epidermal barrier has occurred, of blood; semen; vaginal secretions; cerebrospinal, synovial, pleural, peritoneal, pericardial or amniotic fluid; or other body fluid that is visibly contaminated with blood.

Factors to Consider in assessing the need for follow-up:

Type of exposure

- Percutaneous injury
- Mucous membrane exposure
- Nonintact skin exposure
- Bites resulting in blood exposure to either person involved

Type and amount of fluid/tissue

- Blood
- Fluids containing blood
- Potentially infectious fluid or tissue
- Direct contact with concentrated virus

Resources

You may also wish to seek further counseling at the AIDS Resource Center of Wisconsin, 103 E Washington, Appleton, 733-2068.

If you have questions or concerns, please contact the City of Appleton Human Resources Department at 832-6458.

General questions can be directed at ThedaCare on Call (24-hour Service)

(920) 830-6877
(800) 236-2236



City of Appleton
Human Resources Department
100 N. Appleton Street
Appleton, WI 54911-4799
(920) 832-6458
Fax: (920) 832-5845
Email: humanresources@appleton.org
Website: <http://www.appleton.org>
Equal Opportunity Employer

City of Appleton

Bloodborne Pathogens

Employee Information

After a possible occupational exposure to blood or other potentially infectious material, you are likely to be upset, concerned and confused.

These feelings are natural and it is important that you are well informed about what treatment options are available. This summary provides you with important information pertaining to options that are available to you following an occupational exposure.

You are encouraged to carefully review this information with the supervisor investigating the exposure, as well as with any medical personnel who may be providing treatment. Refer to the City of Appleton Bloodborne Pathogen Exposure policy for more information.

Treat Exposure Site

- ◆ Use soap and water to wash areas exposed to potentially infectious fluids as soon as possible after exposure
- ◆ Flush exposed mucous membranes with water
- ◆ Flush exposed eyes with water or saline solution
- ◆ Do NOT apply caustic agents, or inject antiseptics or disinfectants into the wound

Notify a Supervisor

Immediately contact a supervisor. The supervisor will assist you with completing a City of Appleton Accident Investigation report, an exposure report, and obtaining medical care. The supervisor may be asked to assist the occupational health services in contacting the source

individual and obtaining consent to have a blood sample drawn for testing. If the source case is hospitalized, the occupational health services will assist in the source contact. The City will cover the cost of testing if necessary. If the source individual refuses testing, contact the Assistant City Attorney to obtain a judicial order to obtain a sample if possible.

Medical Follow up

All exposures to blood or other potentially infectious materials require medical follow-up. Follow-up with the occupational health provider should take place as soon as possible. Follow-up care should be sought at the ER/Hospital where source individual is treated.

Suggested Health Care Providers

Thedacare at Work, M-F 8:00 a.m.-4:30 p.m.,
2809 N Park Drive Lane, Appleton, (920) 380-4999

Appleton Medical Center Emergency Room (after hours), 1818 North Meade Street, (920) 738-6300, 24 hours a day

Affinity Occupational Health, M-F 7:30 a.m.-4:30 p.m.,
1186 Appleton Road, Menasha, (920) 727-8700

St. Elizabeth Emergency Room (after hours),
1506 South Oneida, (920) 738-2000, 24 hours a day

Within 10 days of the possible occupational exposure you will receive a phone call from Thedacare at Work or Affinity Occupational Health Systems to schedule an appointment to discuss your test results. Don't be alarmed, medical care providers are not allowed to provide you with the test results over the telephone. The test results of the source individual can only be released to the exposed individual. However, please keep in mind that these test results must be kept confidential as determined by State law.

Did You Receive a Hepatitis B Vaccination? If you received the Hepatitis B vaccination series and a follow-up Hepatitis Titer test indicated a sufficient level of Titer, you will have greatly reduced the probability of contracting Hepatitis B from the exposure. Even though you may have had the Hepatitis series, you should speak to medical personnel about the benefits of receiving a Hepatitis booster following an exposure. If you did not receive the Hepatitis B vaccination series, then you will need to speak to the examining physician about the benefits and risks associated with receiving a shot known as HBIG (Hepatitis B Immune Globulin). This vaccine is made from blood products and is designed to provide you with immediate protection to Hepatitis and a variety of other communicable diseases. It will not provide you with any permanent immunity or immunity to the HIV virus. It will then be recommended that you begin the Hepatitis B series vaccination.

It is important that you understand that the most important response following any exposure is to immediately clean the exposure sites. The physician will evaluate the probability that an exposure actually occurred, as well as discuss the risk factors of the source person. The physician will discuss treatment options and follow-up procedures and what precautions you may need to consider before the results of the tests are available.

General Information

The exposure should be evaluated for potential to transmit HBV (*hepatitis B virus*), HCV (*hepatitis C virus*), or HIV (*human immunodeficiency virus*) based on the type of body substance involved, the route, and severity of exposure.

Significant exposures to any of the following may pose a risk for bloodborne pathogen transmission and require further evaluation:

Body Fluid Clean-up, Decontamination and Handling Procedures – City of Appleton

The Parks, Recreation and Facilities Management Department is responsible for coordination of proper clean-up and disposal of bodily fluid spills within the following City facilities: City Hall (and related sidewalks), Parks and Recreation, Police Department, Fire Stations, Valley Transit Center, Water Distribution, Water Filtration, Wastewater Plant, Municipal Service Building, Parks, Trails and Pavilions. City Parking ramps, streets and communal sidewalks are the responsibility of DPW.

Incidents involving public safety response will be handled as follows: a) Incidents that occur within an owner occupied or rental properties will typically be the responsibility of the victim, guardian, or owner of the property. Questions from property owners should be referred to the City Health Department. Owners may want to contact a contractor for proper clean-up and decontamination, b) Incidents on public property that cannot be cleaned up/decontaminated with a single body fluid clean-up kit and an incident that the Fire Department would not normally respond to; the Police Department can request assistance from either a contractor or DPW Operations Division when spills are larger than 2 feet by 2 feet, c) Incidents involving the police station (e.g., suspect apprehension), outside of private residences such as on driveways, sidewalks and other hard surfaces will be the responsibility of the Police Department, and d) Incidents involving hazardous materials (e.g., car accidents with spilled automotive fluids) which the Fire Department is responding to will be the responsibility of the Fire Department.

In limited situations, the City of Appleton has contracted with the following companies to clean up bodily fluid/blood spills (employees should check with their supervisor on which situations a contractor may be used):

- Parks, Recreation and Facilities Management: Clean Power (Contact: Jodi Soufal at 920-470-4044)
- DPW Parking Division (Contact: Jodi Soufal at 920-470-4044)
- Valley Transit (Transit Center and Valley Transit Offices): (Contact: Jodi Soufal at 920-470-4044)
- Library: (Contact: Jodi Soufal at 920-470-4044)
- Police: (Contact either Servpro of Appleton 24/7 at 920-832-1110 or CJ Synder at 414-507-7528)

General Blood / Bodily Fluid Clean-up Procedures for City Personnel:

The following procedures apply to the following types of materials: body parts/matter and blood or bodily fluid (except urine, stool or vomit) saturated materials that are drippable, pourable or squeezable. Feminine hygiene products (pads) may be disposed of in a Ziploc bag and thrown in the regular trash or flushed (tampons).

1. All city locations have small bodily fluid spill kits available for use. More complete/larger bodily fluid spill clean-up kits are available at the Wastewater Plant (located in the first aid room in S building) and the Police Department (located in the lower level supply room).
2. Secure the area (block off the area using barricade tape, floor signs, cones, marked buckets, etc.) and evaluate the clean-up situation. If applicable, prior to securing the area, notify the officer in charge (for public safety response incidents) that you are there to clean up the biohazard spill. The goal of securing the area is to prevent further contamination of the area.
3. Put on the appropriate personal protective equipment (e.g., latex free or nitrile gloves, rubber gloves, face shield, eye protection, rubber boots, protective outer wear, etc.).

4. Broken glass or other sharp items which may be contaminated shall not be picked up directly with the hands. Collect these items up using mechanical means, such as with forceps, pliers, etc. Contaminated sharp items shall be placed in an appropriate puncture resistant container (with biohazard symbol on it).
5. Spray the affected area with a germicidal spray solution or a 2% bleach/water mixture to disinfect the area. Allow specified “kill time” for solution to work (at least 10 minutes) before adding crystal coagulant (liquid treatment crystals will be used to solidify the blood/bodily fluid spill). In situations where the spill has dried, a disinfecting solution (germicidal spray solution or bleach/water mixture) will be applied on the spill prior to the use of the liquid treatment crystals. Do not use bleach solution on carpet areas.
6. Once the bodily fluid/blood spill has been absorbed by the liquid treatment crystals, pick up the material using a small scoop, plastic dustpan, shovel, etc. Place this material into a red biohazard bag and seal. Note: Liquids fully contained (not drippable, squeezable or pourable) with the use of the liquid treatment crystals and do not contain body parts or contaminated sharps can be discarded along with the normal garbage (place in garbage bags). If body parts are present, place these materials in red biohazards bags and seal.
7. Spray the affected area(s) once again with germicidal spray solution or bleach/water mixture. Keep this disinfectant solution on the affected area for another 10 minutes. Wipe up excess disinfectant solution using disposable cloths. Place the cloths in red biohazard bags. Each bag containing biohazard waste must be tied and placed within another biohazard bag. Place the double-bagged waste into a red biohazard bucket.
8. Disposable equipment should be placed in red biohazard bags. Use larger bags for large pieces of equipment. Any re-usable equipment used in the clean-up procedure (brooms, shovels, pails, plastic dustpans, forceps, pliers, brushes, etc.) needs to be disinfected and allowed to air dry. If it is felt that equipment is too contaminated to re-use, dispose of in large red biohazard bags.
9. Remove gloves and any other personal protective equipment into the red biohazard bucket and seal completely. Employees should follow the proper procedures for the removal of personal protective equipment so as not to contaminate themselves or other surfaces. Employees should thoroughly wash hands and all other potentially exposed skin areas with soap and water or use hand sanitizer if a sink or wash station is not readily available.
10. Biohazard Waste Disposal: Either notify the appropriate supervisor that the spill has been contained and pick-up is necessary or transport the waste directly. When transporting the waste, the portion of the vehicle where the infectious waste is contained shall be completely enclosed to prevent littering, spillage or leakage. This enclosed portion should be leak resistant, if necessary, considering the type of waste and its moisture content. The supervisor will handle the waste according to the regulated waste disposal policy information. If the material is determined not to be a putrescible waste (solid waste which contains organic matter capable of being decomposed by microorganisms and of such a

character and proportions as to be capable of support a vector population or attracting or providing food for birds), then it may be brought to the City Hall disposal site (6th floor Health Department archives area). If the material is determined to be putrescible waste, it should be taken and put into the refrigerated area at Fire Station #1. Notify the Health Department about the bodily fluid clean-up event as soon as possible.

- a. For Parks, Recreation and Facilities Management: If the blood/bodily fluid spill occurs during weekend hours of operation, follow the necessary steps to contain the cleaned materials: place the biohazard containers (with waste materials) in a locked cabinet. Notify the necessary individuals Monday morning to arrange for its disposal.
- b. For Library: Notify the Business Manager that a clean-up has been contained. Place the biohazard bucket in a locked custodial supply closet until it can be delivered to the drop off location at either the City Hall (6th floor Health Department archives area) or if needed, Fire Station #1 (refrigerator).
- c. For Valley Transit: Notify supervisor of the incident and the need to dispose of the biohazard bags. A supervisor will transport the biohazard bags to the drop off location at either City Hall (6th floor Health Department archives area) or if needed, Fire Station #1 (refrigerator).

- 11. Restock clean-up kits, waste removal carts, etc. of any materials that were used during blood/bodily fluid clean-up, if necessary.

**Hepatitis B Vaccination Intent / Declination Form
(For Class 1 and Class 2 Employees Only)**

Employee Name: _____

Job Position: _____ **Department:** _____

Bloodborne Pathogen Classification (Circle One): (Class 1 or Class 2)

Each City of Appleton employee is assigned to a classification based on the employee's risk to blood or other potentially infectious materials while performing work duties. Those in Classes 1 and 2 (including your position) have a higher likelihood of exposure and may opt to receive a preventative vaccination at the City's expense. Please refer to the CDC's (Center for Disease and Control) Hepatitis B Vaccination Fact Sheet for more information regarding this vaccine.

Please review the choices below. Indicate the option that is appropriate for you by marking the corresponding box (CHOOSE ONE), then sign below.

- ☐ I have already received a completed series of three doses of the Hepatitis B Vaccine. You can check your prior immunization records here: <https://www.dhfswir.org/PR/clientSearch.do?language=en>.
- ☐ I intend to receive the Hepatitis B Vaccine. I understand there is no charge to me for this service. I further understand that my failure to follow through with arrangements for this vaccine constitutes a waiver as indicated in the section option below.
- ☐ I decline any doses of the Hepatitis B Vaccine at this time. I understand that due to my occupational exposure to blood or other potentially infectious materials, I may be at risk of acquiring Hepatitis B infection. I have been given the opportunity to be vaccinated with the Hepatitis B Vaccine, at no charge to me. I understand that by declining this vaccine, I continue to be at risk of acquiring Hepatitis B, a serious disease. If in the future, I continue to have an occupational exposure to blood or other potentially infectious materials and I want to be vaccinated with the Hepatitis B Vaccine, I can receive the vaccination series at no charge to me. I further understand that if I feel I need more information regarding the Hepatitis B vaccine, I can receive this information from the City's Health Department.

Employee Signature

Date

Hepatitis B Vaccine:

What You Need to Know

Many Vaccine Information Statements are available in Spanish and other languages. See www.immunize.org/vis

Hojas de información sobre vacunas están disponibles en español y en muchos otros idiomas. Visite www.immunize.org/vis

1 Why get vaccinated?

Hepatitis B vaccine can prevent **hepatitis B**. Hepatitis B is a liver disease that can cause mild illness lasting a few weeks, or it can lead to a serious, lifelong illness.

- **Acute hepatitis B infection** is a short-term illness that can lead to fever, fatigue, loss of appetite, nausea, vomiting, jaundice (yellow skin or eyes, dark urine, clay-colored bowel movements), and pain in the muscles, joints, and stomach.
- **Chronic hepatitis B infection** is a long-term illness that occurs when the hepatitis B virus remains in a person's body. Most people who go on to develop chronic hepatitis B do not have symptoms, but it is still very serious and can lead to liver damage (cirrhosis), liver cancer, and death. Chronically-infected people can spread hepatitis B virus to others, even if they do not feel or look sick themselves.

Hepatitis B is spread when blood, semen, or other body fluid infected with the hepatitis B virus enters the body of a person who is not infected. People can become infected through:

- Birth (if a mother has hepatitis B, her baby can become infected)
- Sharing items such as razors or toothbrushes with an infected person
- Contact with the blood or open sores of an infected person
- Sex with an infected partner
- Sharing needles, syringes, or other drug-injection equipment
- Exposure to blood from needlesticks or other sharp instruments

Most people who are vaccinated with hepatitis B vaccine are immune for life.

2 Hepatitis B vaccine

Hepatitis B vaccine is usually given as 2, 3, or 4 shots.

Infants should get their first dose of hepatitis B vaccine at birth and will usually complete the series at 6 months of age (sometimes it will take longer than 6 months to complete the series).

Children and adolescents younger than 19 years of age who have not yet gotten the vaccine should also be vaccinated.

Hepatitis B vaccine is also recommended for certain **unvaccinated adults**:

- People whose sex partners have hepatitis B
- Sexually active persons who are not in a long-term monogamous relationship
- Persons seeking evaluation or treatment for a sexually transmitted disease
- Men who have sexual contact with other men
- People who share needles, syringes, or other drug-injection equipment
- People who have household contact with someone infected with the hepatitis B virus
- Health care and public safety workers at risk for exposure to blood or body fluids
- Residents and staff of facilities for developmentally disabled persons
- Persons in correctional facilities
- Victims of sexual assault or abuse
- Travelers to regions with increased rates of hepatitis B
- People with chronic liver disease, kidney disease, HIV infection, infection with hepatitis C, or diabetes
- Anyone who wants to be protected from hepatitis B

Hepatitis B vaccine may be given at the same time as other vaccines.



U.S. Department of
Health and Human Services
Centers for Disease
Control and Prevention

3 Talk with your health care provider

Tell your vaccine provider if the person getting the vaccine:

- Has had an **allergic reaction after a previous dose of hepatitis B vaccine**, or has any **severe, life-threatening allergies**.

In some cases, your health care provider may decide to postpone hepatitis B vaccination to a future visit.

People with minor illnesses, such as a cold, may be vaccinated. People who are moderately or severely ill should usually wait until they recover before getting hepatitis B vaccine.

Your health care provider can give you more information.

4 Risks of a vaccine reaction

- Soreness where the shot is given or fever can happen after hepatitis B vaccine.

People sometimes faint after medical procedures, including vaccination. Tell your provider if you feel dizzy or have vision changes or ringing in the ears.

As with any medicine, there is a very remote chance of a vaccine causing a severe allergic reaction, other serious injury, or death.

5 What if there is a serious problem?

An allergic reaction could occur after the vaccinated person leaves the clinic. If you see signs of a severe allergic reaction (hives, swelling of the face and throat, difficulty breathing, a fast heartbeat, dizziness, or weakness), call **9-1-1** and get the person to the nearest hospital.

For other signs that concern you, call your health care provider.

Adverse reactions should be reported to the Vaccine Adverse Event Reporting System (VAERS). Your health care provider will usually file this report, or you can do it yourself. Visit the VAERS website at www.vaers.hhs.gov or call **1-800-822-7967**. *VAERS is only for reporting reactions, and VAERS staff do not give medical advice.*

6 The National Vaccine Injury Compensation Program

The National Vaccine Injury Compensation Program (VICP) is a federal program that was created to compensate people who may have been injured by certain vaccines. Visit the VICP website at www.hrsa.gov/vaccinecompensation or call **1-800-338-2382** to learn about the program and about filing a claim. There is a time limit to file a claim for compensation.

7 How can I learn more?

- Ask your healthcare provider.
- Call your local or state health department.
- Contact the Centers for Disease Control and Prevention (CDC):
 - Call **1-800-232-4636 (1-800-CDC-INFO)** or
 - Visit CDC's www.cdc.gov/vaccines

Vaccine Information Statement (Interim)
Hepatitis B Vaccine



Office use only

8/15/2019 | 42 U.S.C. § 300aa-26

Sharps/Needlestick Injury Report

As part of our Exposure Control Plan, exposures involving contaminated sharps will be documented using this report. This will be included in the City's evaluation and selection of safer sharps and will be maintained for five years. Injuries will be documented and treated according to our post evaluation and follow-up policy.

| | | |
|---|---|-------------------------------|
| Employee exposed (name, department and job position): | | Corresponding OSHA 300 Log #: |
| Date and time of needlestick or contact with Sharp: | Location of incident: | |
| Affected body part(s): | Procedure being performed at time of exposure: | |
| <p>Describe how the incident occurred:</p> <p><input type="checkbox"/> Agitated Patient / Hostile Patient</p> <p><input type="checkbox"/> Emptying or handling sharps container</p> <p><input type="checkbox"/> During disposal of sharp/needle</p> <p><input type="checkbox"/> Re-sheathing of sharp/needle</p> <p><input type="checkbox"/> Other: _____</p> | | |
| Sharps information if known (Type, Brand Model, etc.): | Was the Sharp contaminated with another person's blood? | |
| Was appropriate training provided on the use of the Sharp (if known): | | |
| What do you think could have been done to prevent this injury? | | |
| Form completed by: | | Date completed: |

| | | |
|---|---|---|
| CITY OF APPLETON PERSONNEL POLICIES | TITLE: PERFORMANCE MANAGEMENT | |
| ISSUE DATE: August 21, 2014 | LAST UPDATE: August 2020 | SECTION: Human Resources |
| POLICY SOURCE: Human Resources Department | AUDIENCE: Non-Represented Employees | TOTAL PAGES: 4 |
| Reviewed by Legal Services Date: July 18, 2014 March 31, 2017 | Committee Approval Date: August 11, 2014 October 6, 2014 May 8, 2017 | Council Approval Date: August 20, 2014 October 15, 2014 May 17, 2017 |

I. PURPOSE

Performance management evaluations shall be considered in decisions affecting placement, salary adjustment, overtime assignments, promotions, transfers, demotions, corrective action or dismissal, order of lay-off, re-employment and training.

II. POLICY

It is the policy of the City of Appleton to administer a Performance Management Program which will: help assess an employee's work performance and effectiveness; allow the employee and supervisor to set objective goals and review them; review competencies assigned to the position; suggest constructive action for improvement; suggest constructive action for development and training; and provide positive feedback in areas of excellence.

III. DISCUSSION

The Human Resources Director shall be responsible for the overall administration of the employee Performance Management Program and is responsible for ensuring that procedures are handled according to the provisions of this policy.

IV. DEFINITIONS

A. Exceptional Performance:

Consistently and substantially exceeds requirements of the position and performs at optimal levels of effectiveness. Exhibits exceptional quality while meeting challenging demands.

B. Consistent Performance:

Performance meets and sometimes exceeds job requirements. Demonstrates successful performance on most major assignments and objectives and consistently exceeds position requirements in some areas.

C. Inconsistent Performance:

Inconsistently meets or fails to meet requirements and standards. Performance is not at expected levels. Includes employees who may be new to their job and learning new skills, and/or an employee who needs to improve and develop in their job.

- D. **Goals:** Meaningful, measurable duties that reflect what the employee is expected to accomplish over a period of time.
- E. **Competencies:** Measurable or observable knowledge, skills, abilities and behaviors critical to success in a job. Competencies are included on each employee's job description and all evaluations provide for a detailed description for each of the competencies an employee will be evaluated on.
- F. **Development Plan:** A set of goals given to an employee as a result of the employee's performance. The development plan should give specific details of the areas on which the employee should focus either to enhance positive performance or improve deficient performance.
- G. **Performance Evaluation (PE):** The performance evaluation is an on-line evaluation used to evaluate the employee's performance for goals/competencies assigned to each employee.

Employees who do not meet the requirements for a particular level of performance may still be eligible for a performance adjustment based on unique circumstances. The Department Director must make a recommendation along with justification to Human Resources along with the employees completed evaluation for that year as outlined in the Salary Administration Policy.

V. **PROCEDURE FOR REGULAR FULL-TIME AND REGULAR PART-TIME EMPLOYEES**

Each supervisor and employee shall follow the timelines and procedures outlined below:

- A. **Initial Appointment to a Position:** Each employee shall be formally evaluated at month three (month six for ~~CSOs~~ **Community Service Officers**) following appointment to a position. In the Trial Period Evaluation, employees will be evaluated by their supervisor on basic expectations for the position, along with the five competencies for their position.

~~**Completion of Trial Period:** When the Trial Period Evaluation is completed, the employee will be assigned an annual review form. The employee should work with their supervisor to add goals to his/her evaluation form based on his/her job description.~~

- B. **Goal/Competency Entry in Evaluations:** All non-represented employees/supervisors are required to enter 2 3-5 goals into the annual performance evaluation template that is assigned to their position **by the established deadline (typically mid-February).** **If goals are not entered by the deadline, the employee will not be eligible for a performance increase for that year. If extenuating circumstances exist that will delay the employee's goals being entered (e.g., employee is on approved medical leave), the employee's supervisor should discuss this with their HR Generalist prior to the deadline.** The five competencies for the position will be pre-loaded into the employee's evaluation form. Supervisors should provide a weight to each of the goals ~~and competencies~~ they are assigning to the employee. ~~Both the goals and competency section weights must equal 100%.~~ (Overall rating will be 50% Goals and 50% Competencies.) The goals/weights shall be reviewed and approved by the employee's supervisor, and, if required, by the Department Director. ~~The employee's supervisor shall determine the number of goals, no more than five, based on the position.~~

- C. **Ongoing Review:** ~~Supervisors are encouraged to utilize the online PE system and meet~~

~~with employees to document performance, address matters needing attention, and give feedback on goals and competencies throughout the year.~~ Supervisors and employees are encouraged to use the online system throughout the year to document both positive and constructive feedback, including adding notes and attachments (e.g., commendations from customers). Supervisors should meet with their employees to discuss performance throughout the year.

- D. **Year-end Review:** Employees and supervisors shall meet prior to the evaluation due date to review performance for that year. Employees will have the ability to input comments into their evaluation. If an employee feels their performance is at the exceptional level, they are required to provide comments/justification in their evaluation. After the employee completes commenting in the evaluation, the employee must forward the evaluation to their supervisor for rating and comments. The supervisor shall indicate the rating for each goal and competency and will be required to make comments if they are rating the employee exceptional or inconsistent. A consistent rating means the employee is consistently doing their job and does not require comments. An employee who is rated inconsistent by their supervisor, will be required to have a development plan, unless the inconsistent rating is because the employee is new and just learning their job. Employee's with a development plan will not be eligible to receive a pay increase until criteria of the plan is met and sustained for a minimum of 90 days and is approved by their supervisor. After the supervisor completes rating and making comments on the evaluation, the supervisor must forward the evaluation to the supervisor's supervisor, etc. The Department Director shall approve all evaluations for their department. All employees are required to electronically sign the year-end evaluation through the on-line PE system. ~~If they refuse to sign the document, it will be considered incomplete and they will not be eligible for a pay increase for that year.~~
- E. **Review by Human Resources:** Human Resources will review to ensure consistency of all ~~Pperformance Management E~~evaluations and recommendations from the supervisors before making the salary adjustments. The forms will be reviewed for accuracy, completeness, and justification based on the City's Salary Administration Policy. Human Resources will work with Department Directors to follow-up with the appropriate supervisors to obtain further supporting documentation if needed.
- F. **Electronic Input:** All responses and ratings shall be put into the NEOgov.com electronic ~~Pperformance M~~management system and will become part of the employee's permanent record.
- ~~**Employee Responses:** Employees will be required to provide comments for goals or competency they feel their performance has been exceptional. (repeated from above)~~
- G. **Supervisor Changes:** Supervisors shall be responsible for evaluating any employees assigned to them at the beginning of the year. If an employee transfers to another department, the new supervisor shall be responsible for ~~working with the previous supervisor to gain feedback to evaluating~~ the employee.
- H. **Supervisors Leaving City Employment:** Supervisors who leave City employment shall be responsible for completing evaluations prior to their leaving for all employees under their supervision.
- I. **Development Plans/Training:** Development plans can be used to enhance already

positive performance or to address areas of deficiencies.

a. **To Enhance Positive Performance**

If there is an area in which the employee ~~can improve, or his/her~~ ^{supervisors would like to improve on more}, the employee and supervisor can identify goals and opportunities by which to develop these skills. Examples of opportunities that may be pursued include on the job training, offsite training, and assigning higher levels of responsibility and or special projects that allow the employee to gain new skills and increase overall knowledge and abilities.

b. **To Address Performance Deficiencies**

Supervisors must create Development Plan goals for each area rated inconsistent and whenever there is significant concern about negative changes in an employee's performance. Development plans must include follow-up until such time the employee's performance improves to the satisfaction of the supervisor and must be placed in the NEOgov.com electronic ~~P~~performance ~~M~~management system and will become part of the employee's permanent record.

RECRUITMENT STATUS REPORT

UPDATES THRU 10/08/2020

| STAFF PERSON | POSITION | DEPT. | DATE OF VACANCY | # OF OPENINGS | STATUS |
|----------------|--|---------|-----------------|---------------|---|
| KIM | Bus Driver | VT | Multiple | 3 | Application Deadline 10/25/20. Panel Interviews: 10/21/20. Background/References pending on 2 candidates. |
| | Part-Time Bus Driver | VT | N/A | N/A | Application Deadline 10/25/20. Panel Interviews: 10/21/20. |
| | Communication Technician | VT | 6/24/20 | 1 | Department re-evaluating. |
| | Utility Worker Part-Time | VT | 8/31/20 | 1 | Department evaluating next step. |
| | Operator I - Sanitation | DPW | 7/13/20 | 1 | Applications under review. |
| | Operator II – Street (Street Maintenance Repair) | DPW | 9/22/20 | 1 | Internal Application Deadline: 10/11/20. |
| | Operator I | DPW | Multiple | N/A | Internal Application Deadline: 10/18/20. |
| | Operator I | DPW | Multiple | 3 | Application Deadline: 11/1/20. |
| ALLISON | Community Service Officer (CSO) | Police | N/A | NA | Background pending on 1 candidate. Medical pending on 2 candidates. |
| | Police Officer | Police | N/A | 1 +Elig. | PFC Interviews: 10/19/20 & 10/20/20. |
| | LTE – Library Assistant-Community Partnerships (Sub) | Library | N/A | 1 | References pending on top candidate. |
| | Library Page Clerk – Materials Management (Sub) | Library | 9/10/20 | 1 | Application Deadline: 10/11/20. |
| | Firefighter | Fire | N/A | Elig. | Application Deadline: 10/25/20. |

TOTAL POSITIONS OPEN = 13 TOTAL ELIGIBILITY LISTS = 1

POSITIONS ON HOLD

| STAFF PERSON | POSITION | DEPT | Date(s) of Opening(s) | # of Openings | Person Vacating Position/Status |
|----------------|--------------------------------------|---------|-----------------------|---------------|--|
| ALLISON | Systems Analyst | IT | 9/6/19 | 1 | Using part-time temporary staffing to fill current need. |
| | Library Assistant – Children’s (Sub) | Library | N/A | 1 | RTF approved – Delay hiring. |
| KIM | Parking Operator I | DPW | 5/30/20 | 1 | Received RTF – December hire. |
| | Parking Enforcement | DPW | 9/10/20 | 1 | Received RTF – Delay hiring. |

TOTAL POSITIONS ON HOLD = 4

Note: Part time non-benefited positions do not (per Recruitment Policy) require authorization outside the department. The Mayor has asked departments to scrutinize.