



City of Lake Geneva, 626 Geneva St, Lake Geneva, WI 53147- 262.248.3673- [www.cityoflakegeneva.gov](http://www.cityoflakegeneva.gov)

**PERSONNEL COMMITTEE AGENDA  
MONDAY, OCTOBER 6, 2025 - 5:00 PM  
LAKE GENEVA CITY HALL; COUNCIL CHAMBERS (MAIN LEVEL)**

**Members:**

Chairperson - Joel Hoiland; Members - JaNelle Powers, Mary Jo Fesenmaier, Brian Smith and Cindy Yager.

1. Call to Order
2. Roll Call
3. Comments from the public limited to 5 minutes, limited to items on this agenda
4. Approval of the minutes from September 2, 2025
5. City Administrator's Report
  - a. New staff and function recommendations — Harbormaster Job Description
  - b. 2026 Staffing Budget Recommendations
6. Discussion/Recommendation regarding proposed changes to Municipal Code Sec. 2-49 (3) Personnel Committee
7. Discussion regarding Municipal Operating Excellence & Efficiency
8. Review of Municipal Government Policy Manual: Chapter 5 - Records & Documents
9. Adjournment

*This is a meeting of the Personnel Committee. No official Council action will be taken; however, a quorum of the Council may be present. Requests from persons with disabilities, who need assistance to participate in this meeting or hearing, should be made to the City Clerk's office in advance so the appropriate accommodations can be made.*

**CITY OF LAKE GENEVA PERSONNEL COMMITTEE MINUTES  
TUESDAY, SEPTEMBER 2, 2025 - 5:00 PM  
LAKE GENEVA CITY HALL; COUNCIL CHAMBERS (MAIN LEVEL)**

**Members:** Chairperson - Joel Hoiland; Members - JaNelle Powers, Mary Jo Fesenmaier, Brian Smith and Cindy Yager.

**Call to Order**

by Chairperson Hoiland at 5:00 pm.

**Roll Call**

Present: Joel Hoiland, Mary Jo Fesenmaier, Brian Smith and Cynthia Yager. Absent: JaNelle Powers. Others present: City Administrator Dave De Angelis, City Clerk Lacey L. Reynolds, Finance Director Laura Pisarcik and other interested persons.

**Comments from the public limited to 5 minutes, limited to items on this agenda**

**Approval of the minutes from August 4, 2025**

Motion by Smith to approve, second by Fesenmaier. Voice vote, approved, motion carried.

**City Administrator's Report**

**Staffing & Service Delivery Assessment – Current strengths and gaps**

Administrator De Angelis reviewed the Assistant Administrator, Harbormaster and Short Term Rental and Code Enforcement Job Descriptions. Discussion took place and Administrator De Angelis will update accordingly.

**Discussion/Recommendation regarding City of Lake Geneva Organizational Chart**

The committee members reviewed the organizational chart and asked questions about the updates. Discussion took place regarding the Parks Director overseeing the Hillmoor Consultant. The committee will continue this discussion at a future meeting.

**Discussion/Possible Recommendation regarding 2026 Staffing Budget Recommendations**

**New staff and function recommendations**

Motion by Smith to approve the Assistant Administrator job description including ADA, second by Hoiland. Voice vote, approved, motion carried. Motion by Smith to approve the Harbormaster job description, second by Hoiland. Discussion took place. Motion by Fesenmaier to continue this item to the October meeting, second by Yager. Voice vote, approved, motion carried. Motion by Yager to approve the Short Term Rental and Code Enforcement job description with the additions of weekend availability or work; if holding workshops the cost is included in the license fee and ability to write tickets, second by Fesenmaier. Voice vote, approved, motion carried.

**Discussion/Review Municipal Government Policy Manual: Chapter 4 – Equipment**

The committee reviewed and discussed each section in Chapter 4.

**Adjournment**

Motion by Smith to adjourn, second by Yager. Voice vote, approved, motion carried. Adjourned at 6:28 pm.

Lacey L. Reynolds  
City Clerk

# Harbormaster

**Department:** Parks Department

**FLSA Status:** Exempt

**Reports to:** Parks Director

**Salary Grade:** G

## General Definition of Work

The Harbormaster is responsible for the operation and management of the City of Lake Geneva's lakefront facilities, including the boat launch, piers, buoys, Riviera Beach, and related amenities. This position supervises seasonal staff, enforces waterfront ordinances, administers watercraft leases, and provides customer service to residents and visitors. The Harbormaster also assists the Parks & Recreation Director with departmental functions, long-range planning, and special projects.

This is a full-time, year-round position. Responsibilities shift seasonally, with active waterfront operations in the spring and summer, and administrative, environmental, and support duties in the fall and winter.

## Qualification Requirements

*To perform this job successfully, an individual must be able to perform each essential function satisfactorily. The requirements listed below are representative of the knowledge, skill, and/or ability required. Reasonable accommodation may be made to enable individuals with disabilities to perform the essential functions.*

## Essential Duties and Responsibilities

### General Duties

- Manage daily operations of the boat launch, Riviera Beach, piers, buoys, and waterfront facilities.
- Supervise, train, schedule, and evaluate seasonal lakefront staff.
- Ensure compliance with waterfront ordinances, leases, and permits.
- Work with Police and Community Service Officers to issue citations and address violations.
- Monitor waterfront facilities for safety, cleanliness, and maintenance needs.
- Respond to resident and visitor inquiries in a timely and professional manner.
- Process boat, buoy, and kayak leases; maintain accurate waiting lists and application files.
- Collect, reconcile, and deliver waterfront-related fees to the Finance Department.
- Prepare monthly reports for the Piers, Harbors, and Lakefront Committee.
- Conduct annual comparisons of lease and rental rates with surrounding communities and recommend adjustments.
- Monitor waterfront conditions and identify environmental concerns such as erosion, invasive species, and water quality issues.

### Strategic and Long-Range Planning

- Coordinate with environmental groups, DNR, and other agencies on lakefront sustainability and protection efforts.
- Provide public information and education on environmental topics such as clean boating practices and water safety.
- Provide administrative and program support for citywide recreation and parks initiatives.

- Assist with planning, permitting, and coordination of special events.
- Contribute to long- and short-range planning, including environmental and recreation-related projects.
- Assist with grant applications related to waterfront, environmental, and parks initiative.

#### **Supervision**

- Hire, train and supervise lakefront staff including Riveria employees, boat launch and beach staff.

#### **Budget**

- Responsible for budgeting for lakefront operations and assisting in capital planning for lakefront projects and other projects as assigned.

#### **Knowledge, Skills, and Abilities**

- Knowledge of waterfront operations and municipal lease administration.
- Understanding of environmental stewardship practices, including invasive species prevention and water quality monitoring.
- Ability to enforce ordinances and collaborate with law enforcement.
- Strong organizational and supervisory skills with experience managing seasonal staff.
- Ability to provide excellent customer service and resolve conflicts effectively.
- Proficiency in Microsoft Office; ability to learn additional software as needed.

#### **Education and Experience**

- Bachelor's degree in Recreation Management, Environmental Science, Public Administration, or a related field preferred.
- Experience in waterfront, recreation, or facility management preferred.
- At least two years of supervisory experience.
- Experience with environmental stewardship and municipal operations strongly preferred.

#### **Physical Demands**

The work of the Harbormaster is performed both in an office setting and in the field at lakefront facilities, in all weather conditions. While performing the duties of this job, the employee is frequently required to sit or stand for extended periods of time.

- Must be able to lift and move up to 50 pounds.
- Must have hand-eye coordination to operate equipment, tools, and office devices.
- Must be able to communicate effectively in person, on the telephone, and electronically.
- Must be able to work in waterfront environments that include exposure to water, weather, noise, and hazardous conditions requiring appropriate safety precautions.

The physical demands described are representative of those that must be met by an employee to successfully perform the essential function of this job. Reasonable accommodation may be made to enable individuals with disabilities to perform the essential function.

The City of Lake Geneva is an Equal Opportunity Employer.

## Personnel Committee Ordinance Revisions

Revised June 3, 2025 – Current language ~~striketrough~~ and underline

Section 2-49 (3) Personnel Committee.

- a. The Committee shall be responsible for overseeing the negotiations of all employment contracts, agreements, or hire letters between the City of Lake Geneva and its Department Heads, excepting only those employees who are specifically governed by another City committee board or commission. The Committee shall delegate the negotiations of all exempt and nonexempt employment contracts, agreements, or hire letters to the City Administrator.

~~The Committee shall be responsible for negotiating all employment contracts or agreements between the City of Lake Geneva and its employees, excepting only those employees who are specifically governed by another City committee or commission.~~

- b. The Committee shall make formal recommendations to the City Council to approve or reject proposed contracts or employment agreements. The City Council retains final authority to approve or reject such agreements by majority vote.

~~The Committee shall make a recommendation to the City Council to accept or reject employee contract or agreement offers. The City Council shall have the sole power to accept or reject employee contracts or agreements by a majority vote.~~

- c. The Committee shall establish a review process and timeline for a semiannual and/or annual performance evaluation of the City Administrator. The City Administrator shall conduct semiannual and/or annual performance evaluations of City Department Heads, excluding those governed by another City committee, board, commission, or an elected official. Evaluations shall focus on leadership effectiveness, adherence to City goals, policy implementation, and fiscal management.

~~The Committee shall be responsible for periodic evaluations, semiannual and/or annual, of all City department heads except those governed by another City commission, committee, or official.~~

- d. The Committee shall act in an oversight capacity for disciplinary actions involving Department Heads and exempt employees, and for matters escalated beyond internal departmental resolution such as grievances, prohibitive practice complaints, or termination recommendations. The City Administrator and Department Heads retain operational authority

to address day-to-day personnel issues within the bounds of City policy and the Employee Handbook including all disciplinary actions including terminations.

~~The Committee shall be responsible for all disciplinary matters involving grievances, prohibitive practice complaints, work rule violations, contract violations, and other matters including discharge or separation for employment.~~

- e. The Committee shall review and recommend job descriptions for all exempt City positions (excluding Police, ~~and Fire, Library, and Utility employees~~), for approval by the City Council. The City Administrator and Department Heads shall establish new or modified job descriptions for all non-exempt positions based on operational needs. Job descriptions shall be utilized when advertising for and evaluating potential new and current employees. All job descriptions shall be available for review by the Committee or City Council when requested.

~~The Committee shall be responsible for creating and recommending to the City Council job descriptions for all City employees (except police and fire), and such job descriptions shall be utilized when advertising for and evaluating potential new and current employees.~~

- f. The Committee will interview and recommend exempt Department Head employee candidates and all positions that are appointed by the City Council as set forth in Section 2-3 of the Municipal Code of the City of Lake Geneva.

~~The Committee will interview all prospective exempt employees and all appointed officials of the City that are appointed by the City Council as set forth in Section 2-3 of the Municipal Code of the City of Lake Geneva. City department heads are those individuals responsible for the oversight of particular functions and employees of the City. City department heads shall be given the authority to hire and terminate employees within their department, provided that any hiring is done without violating budgetary constraints placed on their departments and any terminating is done within the guidelines established by the City of Lake Geneva Employee Handbook.~~

- g. Upon recommendation of the Committee and approved approval by the City Council, the City Administrator and Department Heads shall implement and adhere to personnel policies, compensation structures, job descriptions, and procedures approved by the City Council. City Department Hheads are those individuals responsible for the management of particular functions and employees of the City. Department Heads shall be given the authority to hire and terminate employees within their department, provided that any hiring is done without

violating budgetary constraints placed on their departments and any terminating is done within the guidelines established by the City of Lake Geneva.

- h. The City Administrator shall provide periodic reports to the Personnel Committee on hiring, promotions, evaluations, disciplinary actions, and staffing levels, to ensure alignment with policy and budgetary expectations.

## **Municipal Operating Excellence & Efficiency**

### **Strategic Objective Proposal**

*Delivering city services effectively and efficiently while preparing for AI-enabled transformation*

#### **Strategic Goal**

Deliver high-quality municipal services in the most effective, efficient, and accountable way possible, while preparing the workforce and systems for technological change, including artificial intelligence (AI).

#### **Core Initiatives**

##### **1. Modern Municipal Operating System**

- Integrate finance, HR, permitting, inspections, and customer service into a single platform.
- Ensure new systems are AI-ready for enhancements such as automated workflows, predictive analytics, and resident-facing digital tools.

##### **2. Staffing & Service Alignment**

- Review staffing and service delivery models to align with strategic priorities.
- Identify positions most at risk of AI disruption and create re-skilling and cross-training opportunities.

##### **3. Technology for Transparency**

- Develop public dashboards to share performance metrics.
- Communicate clearly how AI is being used in city operations, with emphasis on accountability and ethics.

##### **4. Do More with Less + AI Readiness**

- Use AI tools to streamline repetitive tasks (data entry, scheduling, permit processing).
- Leverage predictive analytics for resource allocation, maintenance, and emergency response.
- Build AI adaptation into ongoing training and workforce planning.

#### **Objectives**

- Ensure tax dollars are used wisely through efficiency and automation.
- Improve service quality and responsiveness.
- Build public trust through transparency and ethical AI use.
- Prepare the city for long-term growth, sustainability, and workforce adaptation to AI.

#### **Budget Alignment**

- Technology Investment: \$250k–\$400k (phased).
- Training & Support: \$25k–\$40k annually (expanded to cover AI adaptation).
- Offsetting Savings: Reduced waste, improved efficiency, and optimized resource allocation.

#### **Staffing Needs**

- Temporary project management support (with AI project expertise).
- Department liaisons to coordinate implementation and adaptation.
- Ongoing IT/data support focused on AI capabilities.

**Timeline**

- Year 1: Approve funding, select AI-ready system, launch pilot AI projects.
- Year 2: Achieve integration, cross-train staff (including AI adaptation), deploy dashboards.
- Year 3: Refine, expand AI-enabled services, institutionalize continuous improvement.

**Success Measures**

- **Service Delivery:** 30% faster permit processing; quicker response times.
- **Resident Satisfaction:** 25% increase in survey scores, including confidence in AI use.
- **Operational Efficiency:** 10–15% cost savings from process streamlining.
- **Transparency:** Real-time dashboards, with AI-enabled reporting.
- **Workforce Readiness:** 75% of staff trained in AI literacy by Year 3.

**Appendix A: AI Adaptation Matrix**

Department	AI Opportunities	Risks (Adaptation Gap)	Training Needs	Priority
Finance	Automated invoices, predictive budgeting	Over-reliance on AI; errors without oversight	AI literacy, analytics	High
HR	Resume screening, workforce analytics	Bias risks; staff distrust	Ethical AI use, change management	High
Building & Zoning	Digital intake, predictive scheduling	Resistance; liability risk	Workflow adaptation, AI limits	High
Customer Service	Chatbots, case routing	Reduced human touch	Hybrid service training	Medium
Public Works	Predictive maintenance, route optimization	Data unfamiliarity; job fears	IoT/AI basics, data interpretation	Medium
Police & Fire	Deployment analytics, video analysis	Ethics, privacy, bias	AI ethics, responsible data use	High
Building & Zoning	Land-use forecasting	Misinterpretation; public distrust	Scenario modeling, communication	Medium
Parks & Lakefront	AI scheduling, facility usage	Limited familiarity	Intro AI for scheduling	Low–Med
Library	Personalized resource recs	Skill gap; resident expectations	Basic AI tools, literacy support	Low–Med

**Appendix B: AI Adaptation Matrix (Another View)**

Department	AI Opportunities	Risks (Adaptation Gap)	Training Needs	Priority Level
<b>Finance</b>	Automated invoice processing, fraud detection, predictive budgeting	Risk of errors if staff lack oversight skills; over-reliance on AI outputs	AI literacy, data validation, use of predictive analytics	High
<b>Human Resources</b>	Resume screening, employee engagement analysis, training recommendation systems	Bias in AI decision-making; staff distrust of automation	Ethical AI use, change management, interpreting AI recommendations	High
<b>Permitting &amp; Inspections</b>	Digital permit intake, AI-supported plan review, predictive inspection scheduling	Resistance from staff used to manual review; potential liability if AI misjudges	Workflow adaptation, understanding AI limits, customer communication	High
<b>Customer Service</b>	Chatbots for FAQs, sentiment analysis, faster case routing	Risk of reduced human touch; resident frustration if AI is inaccurate	Training on hybrid service models (AI + human escalation)	Medium
<b>Public Works</b>	Predictive maintenance, route optimization, sensor data analysis	Staff unfamiliar with data tools; possible job displacement fears	Data interpretation, IoT and AI basics, collaborative human-AI operations	Medium
<b>Police &amp; Fire</b>	Predictive analytics for deployment, AI-assisted reporting, video analysis	Ethical and legal concerns; over-reliance on predictive policing; privacy issues	AI ethics, responsible data use, scenario-based training	High
<b>Planning &amp; Development</b>	Land-use forecasting, AI-based modeling for growth scenarios	Misinterpretation of complex AI models; potential public distrust	Training on AI scenario tools, transparent communication skills	Medium
<b>Parks &amp; Recreation</b>	AI-driven scheduling, predictive usage data for facilities	Limited staff familiarity; lower direct impact but still efficiency gains	Intro to AI for scheduling/resource planning	Low–Medium
<b>Library &amp; Community Services</b>	Personalized resource recommendations, AI-assisted digital literacy programs	Staff skill gap; public expectation of human assistance	Basic AI tools, supporting community AI literacy	Low–Medium

## **Appendix C: AI Training Roadmap**

### **Year 1: Foundation & Awareness**

- All staff: AI literacy workshops, change management training.
- Leaders: AI oversight, accountability, case studies.
- High-priority depts.: Launch “AI Champions.”

### **Year 2: Skill Development & Pilot Integration**

- All staff: Training on AI-enabled municipal systems.
- Leaders: Interpreting AI outputs, risk management.
- Dept-specific pilots: Finance (predictive analytics), HR (ethical AI in hiring), Permitting (AI plan review), Police/Fire (responsible predictive analytics).

### **Year 3: Continuous Improvement & Expansion**

- All staff: Annual AI literacy refreshers, recognition for AI leaders.
- Leaders: Advanced AI adoption strategy training.
- Depts.: Expand successful pilots citywide, advanced role-specific training, ongoing evaluation.

### **Training Success Metrics**

- **Year 1:** 100% staff complete literacy training; 90% report increased confidence.
- **Year 2:** 3+ AI pilots launched; 60% of high-priority staff proficient.
- **Year 3:** 75% of staff citywide demonstrate AI competency; measurable efficiency and satisfaction gains achieved.

## **Chapter 5 - Records and Documents**

## Records Maintenance and Release

### 500.1 PURPOSE AND SCOPE

This policy provides guidance on the maintenance and release of city records. Protected information is separately covered in the Protected Information Policy.

### 500.2 POLICY

The City is committed to providing public access to records in a manner that is consistent with state public records laws.

### 500.3 CITY CLERK

The City Administrator shall designate a City Clerk. The responsibilities of the City Clerk include but are not limited to:

- (a) Managing the records management system for the City, including the retention, archiving, release, and destruction of city public records.
- (b) Maintaining and updating the city records retention schedule, including:
  1. Identifying the minimum length of time records must be kept.
  2. Identifying the city department responsible for the original record.
- (c) Establishing rules regarding the inspection and copying of public records as reasonably necessary for the protection of such records.
- (d) Identifying records or portions of records that are confidential under state or federal law and not open for inspection or copying.
- (e) Establishing rules regarding the processing of subpoenas for the production of records.
- (f) Ensuring the availability of a current schedule of fees for public records as allowed by law.
- (g) Preparing and making available to the public the records request process, to include the cost of inspecting or obtaining copies.

### 500.4 PROCESSING REQUESTS FOR PUBLIC RECORDS

Any employee who receives a request for any record shall route the request to the City Clerk or the authorized designee.

#### 500.4.1 REQUESTS FOR RECORDS

The processing of requests for any record is subject to the following:

- (a) All requests should be made in writing or on a form supplied by the City.
- (b) Clarification may be sought if the request is unreasonably broad or unclear.
- (c) Inspection of records should be during regular business hours unless otherwise authorized by the City Clerk.

# City of Lake Geneva

## Government Manual

### Government Manual

#### *Records Maintenance and Release*

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- (d) Records should be made available in a format readily accessible to the requester. Records may also be made available in a specific format requested and a fee charged for reasonable costs of any required processing.
- (e) Records should be provided or a denial provided to a requester within a reasonable period of time.
  - 1. If a delay in providing records is anticipated, the requester should be provided a written response with the reason for the delay and the anticipated date the records will be provided.
- (f) Fees should be charged as allowed by law and established by the City.
- (g) The City is not required to create records that do not exist.
- (h) When a record contains material with release restrictions and material that is not subject to release restrictions, the restricted material shall be redacted and the unrestricted material released.
  - 1. A copy of the redacted release should be maintained in the city file for proof of what was actually released and as a place to document the reasons for the redactions. If the record is audio or video, a copy of the redacted audio/video release should be maintained in the city-approved media storage system and a notation should be made in the file to document the release and the reasons for the redacted portions.

#### **500.4.2 DENIALS**

The denial of a request for records should be documented and include:

- (a) A description of the records requested.
- (b) The specific reasons for the denial.
- (c) The name, title, and signature of the City Clerk.
- (d) The procedure to appeal the denial.

#### **500.5 RELEASE RESTRICTIONS**

Examples of release restrictions include:

- (a) Any personal identifying information, including an individual's photograph; Social Security and driver identification numbers; name, address, and telephone number; and medical or disability information that is contained in any city record, except as authorized by the City, and only when such use or disclosure is permitted or required by law to carry out a legitimate government purpose.
- (b) Certain personnel information, including but not limited to an employee's residential address and telephone number, Social Security number, marital status, medical history, confidential recommendations for employment, and performance evaluation history.
- (c) Records pertaining to internal investigations and disciplinary matters, including but not limited to complaints and other records relating to allegations of discrimination,

# City of Lake Geneva

## Government Manual

### Government Manual

#### *Records Maintenance and Release*

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harassment, or retaliation, until the investigation is complete or is made part of the official record of any hearing or court proceeding.

- (d) Certain 9-1-1 records.
- (e) Audio and video recordings obtained through use of body-worn cameras by law enforcement officers, except as provided by statute.
- (f) Certain concealed firearm license/permit information of an applicant.
- (g) Records concerning security plans, procedures, assessments, measures, or systems, and other records relating to the security of persons, structures, facilities, infrastructure, or information technology systems that could reasonably be expected to be detrimental to the public's safety or welfare.
- (h) Records pertaining to strategy or negotiations related to labor relations, employment contracts, or collective bargaining and related arbitration proceedings.
- (i) Drafts, notes, recommendations, or intra-governmental memorandums pertaining to the development of resolutions, regulations, statements of policy, management directives, ordinances, or amendments prepared by or for the City.
- (j) Records where disclosure would be detrimental to the best interests of the public.
- (k) Records pertaining to pending or potential litigation that are not records of any court.
- (l) Any other information that may be appropriately denied by federal or state law.

#### **500.6 SUBPOENAS AND DISCOVERY REQUESTS**

Any employee who receives a subpoena duces tecum or discovery request for records should promptly contact a supervisor and the City Clerk for review and processing. While a subpoena duces tecum may ultimately be subject to compliance, it is not an order from the court that will automatically require the release of the requested information.

Generally, discovery requests and subpoenas should be referred to the City Administrator or the authorized designee.

All questions regarding compliance with any subpoena duces tecum or discovery request should be promptly referred to the City Administrator or legal counsel so that a timely response can be prepared.

#### **500.7 RELEASED RECORDS TO BE MARKED**

Each page of any written record released pursuant to this policy should be stamped in a colored ink or otherwise marked to indicate the city name and to whom the record was released.

Each audio/video recording released should include the city name and to whom the record was released.

#### **500.8 SECURITY BREACHES**

Employees who become aware that any city records system may have been breached should notify the City Clerk as soon as practicable.

# City of Lake Geneva

## Government Manual

### Government Manual

#### *Records Maintenance and Release*

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The City Clerk shall ensure any required notice of the breach is given.

If the breach reasonably appears to have been made to protected information covered in the Protected Information Policy, the City Clerk should promptly notify the appropriate employee designated to oversee the security of protected information (see the Protected Information Policy).

#### **500.9 EXPUNGEMENT**

The City Clerk shall review all court orders and other filings that pertain to the expungement or sealing of records for appropriate action. Once a record is expunged or sealed, employees shall respond to any inquiry as though the record did not exist.

#### **500.10 TRAINING**

Employees authorized to manage, release, or facilitate public access to city records should receive training that includes identification of material appropriate for release or public access and the city systems and procedures guiding such release and access.

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## Protected Information

### 501.1 PURPOSE AND SCOPE

The purpose of this policy is to provide guidelines for the access, transmission, release, and security of protected information by employees of the City. This policy addresses the protected information that is used in the day-to-day operation of the City and not the public records information covered in the Records Maintenance and Release Policy.

#### 501.1.1 DEFINITIONS

Definitions related to this policy include:

**Protected information** - Any information or data that is collected, stored, or accessed by employees of the City and is subject to any access or release restrictions imposed by law, regulation, order, or use agreement. This includes all information contained in federal, state, or local databases that is not accessible to the public.

### 501.2 POLICY

Employees of the City will adhere to all applicable laws, orders, regulations, use agreements, and training related to the access, use, dissemination, and release of protected information.

### 501.3 RESPONSIBILITIES

The City Administrator should designate an employee of the City to coordinate the use of protected information, including:

- (a) Overseeing employee compliance with this policy and with requirements applicable to protected information.
- (b) Developing, disseminating, and maintaining procedures necessary to comply with any requirements for the access, use, dissemination, release, and security of protected information.
- (c) Developing procedures to ensure training and certification requirements are met.
- (d) Resolving specific questions that arise regarding authorized recipients of protected information.
- (e) Implementing security practices and procedures to comply with requirements applicable to protected information.

### 501.4 ACCESS TO PROTECTED INFORMATION

Protected information shall not be accessed in violation of any law, order, regulation, use agreement, city policy, or training. Only those employees who have completed applicable training and met any applicable requirements, such as a background check, may access protected information, and only when the employee has a legitimate work-related reason for such access.

Unauthorized access, including access for other than a legitimate work-related purpose, is prohibited.

# City of Lake Geneva

## Government Manual

### Government Manual

#### *Protected Information*

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#### **501.5 RELEASE OR DISSEMINATION OF PROTECTED INFORMATION**

Protected information may be released only to authorized recipients who have both a lawful right to know and need to know.

An employee who is asked to release protected information that should not be released should refer the requesting person to a supervisor or to the City Clerk for information regarding a formal request.

#### **501.6 SECURITY OF PROTECTED INFORMATION**

The City Administrator should designate an employee of the City to oversee the security of protected information, including:

- (a) Developing and maintaining security practices, procedures, and training.
- (b) Maintaining compliance with any federal, state, and local requirements pertaining to the security of protected information.
- (c) Establishing procedures to provide for the preparation, prevention, detection, analysis, and containment of security incidents, including cyberattacks.
- (d) Tracking, documenting, and reporting all breach of security incidents to the City Administrator and appropriate authorities.

##### **501.6.1 EMPLOYEE RESPONSIBILITIES**

Employees accessing or receiving protected information shall ensure the information is not accessed or received by persons who are not authorized to access or receive it. This includes not leaving protected information, such as documents or computer databases, accessible to others when it is reasonably foreseeable that unauthorized access may occur (e.g., on an unattended table or desk, in or on an unattended vehicle, in an unlocked desk drawer or file cabinet, on an unattended computer terminal).

#### **501.7 TRAINING**

All employees authorized to access or release protected information shall complete a training program that complies with any protected information system requirements and identifies authorized access and use of protected information, as well as its proper handling and dissemination.

## Personnel Records

### 502.1 PURPOSE AND SCOPE

This policy governs maintenance and access to personnel records. Personnel records include any file maintained under an individual employee's name.

### 502.2 POLICY

It is the policy of the City to maintain personnel records and preserve the confidentiality of personnel records pursuant to the Constitution and the laws of this state.

### 502.3 PERSONNEL FILE

A personnel file shall be maintained as a record of a person's employment/appointment with this city. The personnel file should contain, at a minimum:

- (a) Personal data, including photographs, marital status, names of family members, educational and employment history, or similar information.
- (b) Election of employee benefits.
- (c) Personnel action reports reflecting assignments, promotions, and other changes in employment/appointment status.
- (d) Original performance evaluations.
- (e) Discipline records, including copies of sustained personnel complaints.
- (f) Adverse comments such as supervisor notes or memos may be retained in the city file after the employee has had the opportunity to read and initial the comment.
  1. Once an employee has had an opportunity to read and initial any adverse comment, the employee shall be given the opportunity to respond in writing to the adverse comment.
  2. Any employee response shall be attached to and retained with the original adverse comment.
  3. If an employee refuses to initial or sign an adverse comment, at least one supervisor should note the date and time of such refusal on the original comment. Such a refusal, however, shall not be deemed insubordination, nor shall it prohibit the entry of the adverse comment into the employee's file.
- (g) Commendations and awards.
- (h) Any other information, the disclosure of which would constitute an unwarranted invasion of personal privacy.

### 502.4 DEPARTMENT, DIVISION, OR AGENCY FILE

Department files may be separately maintained internally by an employee's supervisor for the purpose of completing timely performance evaluations. The file may contain supervisor comments, notes, notices to correct, and other materials that are intended to serve as a foundation for the completion of timely performance evaluations.

# City of Lake Geneva

## Government Manual

### Government Manual

#### *Personnel Records*

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##### **502.5 TRAINING FILE**

An individual training file should be maintained for each employee whose position requires specialized training or certification. Training files should contain records of all training; original or photocopies of available certificates, transcripts, diplomas, and other documentation; and education and firearms qualifications, as applicable. Training records may also be created and stored remotely, either manually or automatically.

- (a) The involved employee is responsible for providing an immediate supervisor with evidence of completed training/education in a timely manner.
- (b) Supervisors should ensure that copies of such training records are placed in the employee's training file.

##### **502.6 MEDICAL FILE**

A medical file shall be maintained separately from all other personnel records and shall contain all documents relating to the employee's medical condition and history, including but not limited to

- (a) Materials relating to a medical leave of absence, including leave under the Family and Medical Leave Act (FMLA).
- (b) Documents relating to workers' compensation claims or the receipt of short- or long-term disability benefits.
- (c) Fitness-for-duty examinations, psychological and physical examinations, follow-up inquiries, and related documents.
- (d) Medical release forms, doctor's slips, and attendance records that reveal an employee's medical condition.
- (e) Any other documents or materials that reveal the employee's medical history or medical condition, including past, present, or future anticipated mental, psychological, or physical limitations.

##### **502.7 SECURITY**

Personnel records should be maintained in a secured location and locked either in a cabinet or access-controlled room. Personnel records maintained in an electronic format should have adequate password protection.

Personnel records are subject to disclosure only as provided in this policy, the Records Maintenance and Release Policy, or according to applicable discovery procedures.

Nothing in this policy is intended to preclude review of personnel records by the City Administrator or representatives of the City in connection with official business.

###### **502.7.1 REQUESTS FOR DISCLOSURE**

Any employee receiving a request for a personnel record shall promptly notify the City Clerk or other person charged with the maintenance of such records.

Upon receipt of any such request, the responsible person shall notify the affected employee as soon as practicable that such a request has been made.

# City of Lake Geneva

## Government Manual

### Government Manual

#### *Personnel Records*

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The responsible person shall further ensure that an appropriate response to the request is made in a timely manner, consistent with applicable law. In many cases, this may require assistance of available legal counsel.

All requests for disclosure that result in access to an employee's personnel records shall be logged in the corresponding file.

#### **502.8 EMPLOYEES' ACCESS TO THEIR PERSONNEL RECORDS**

Employees may request access to their own personnel records during the normal business hours of those responsible for maintaining such files. Employees seeking the removal of any item from their personnel records should file a written request to the City Administrator. The City should remove any such item if appropriate, or within 30 days provide the employee with a written explanation of why the contested item will not be removed. If the contested item is not removed from the file, the employee's request and the written response from the City should be retained with the contested item in the employee's corresponding personnel record.

Employees may be restricted from accessing files containing certain information (e.g., ongoing investigations to the extent that it could jeopardize or compromise the investigation).

#### **502.9 RETENTION AND PURGING**

Personnel records shall be maintained in accordance with the established records retention schedule:

- (a) During the preparation of each employee's performance evaluation, all personnel complaints and disciplinary actions should be reviewed to determine the relevancy, if any, to progressive discipline, training, and career development. Each supervisor responsible for completing the employee's performance evaluation should determine whether any prior sustained disciplinary file should be retained beyond the required period for reasons other than pending litigation or other ongoing legal proceedings.
- (b) If a supervisor determines that records of prior discipline should be retained beyond the required period, approval for such retention should be obtained from the City Administrator.
- (c) If, in the opinion of the City Administrator, a personnel complaint or disciplinary action maintained beyond the required retention period is no longer relevant, all records of such matter may be destroyed in accordance with the established records retention schedule.

## Chapter 5 – Records and Documents

This is a summary of Chapter 5 – Records and Documents from the *City of Lake Geneva Municipal Government Policy Manual*, with key elements and policy recommendations focused on modern governance practices, transparency, accountability, and administrative efficiency. This summary aligns with the Personnel Committee’s goals of enhancing policy clarity, public trust, legal compliance, and administrative professionalism.

### Chapter 5 – Records and Documents

#### 500 – Records Maintenance and Release

##### Key Elements:

- Designates official record custodians per department.
- Requires compliance with state-mandated retention schedules.
- Allows public access to records per Wisconsin Open Records Law.
- Prohibits destruction of records without legal authority.

##### Recommendations:

- Implement a centralized digital records management system.
- Publish a clear and accessible public records request policy online.
- Provide annual training for staff on retention and release protocols.

#### 501 – Protected Information

##### Key Elements:

- Identifies types of confidential or legally protected information.
- Limits access to personally identifiable and sensitive data.
- References federal and state laws governing confidentiality (e.g., HIPAA, FERPA).

##### Recommendations:

- Enforce tiered access permissions within digital systems.
- Regularly audit handling of protected information.
- Apply data minimization strategies and maintain secure storage practices.

#### 502 – Personnel Records

##### Key Elements:

- Defines what constitutes a personnel file.
- Grants employees the right to review their own records.
- Differentiates between public and confidential information within files.

##### Recommendations:

- Digitize all personnel records with audit trails.
- Establish standardized procedures for access and updates.
- Ensure supervisors and HR staff receive confidentiality training.

#### Overall Recommendations for Chapter 5

1. **Modernize** records infrastructure with secure digital platforms.
2. **Standardize** policies across departments for consistency.
3. **Educate** all personnel on compliance, privacy, and transparency expectations.

4. **Enhance accessibility** for both internal staff and the public while protecting sensitive information.
5. **Establish a citywide records coordinator** to ensure cross-departmental consistency and compliance.
6. **Review and align policies with Wisconsin Public Records Law and best practices** from the Wisconsin Department of Administration and League of Wisconsin Municipalities.

## Chapter 5 – Records and Documents

Section	Key Elements	Recommendations	Rationale
<b>500 – Records Maintenance and Release</b>	<ul style="list-style-type: none"> <li>- Custodians designated for official records</li> <li>- Retention schedules per state law</li> <li>- Records must be accessible and reproducible</li> <li>- Public access governed by Wisconsin Open Records Law</li> </ul>	<ul style="list-style-type: none"> <li>- Develop centralized digital records management system</li> <li>- Publish a public-facing records request guide</li> <li>- Train staff on compliance and retention best practices</li> </ul>	Improves access and consistency; promotes transparency and compliance with legal mandates
<b>501 – Protected Information</b>	<ul style="list-style-type: none"> <li>- Defines confidential and exempt data categories</li> <li>- Outlines limits on release of personally identifiable information</li> <li>- References applicable statutes (HIPAA, FERPA, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>- Implement tiered access controls for sensitive data</li> <li>- Use data minimization principles</li> <li>- Annually review and update confidentiality policies</li> </ul>	Enhances data privacy protections; reduces liability risk and ensures compliance with state/federal laws
<b>502 – Personnel Records</b>	<ul style="list-style-type: none"> <li>- Outlines contents of employee files</li> <li>- Grants employees’ access to own records</li> <li>- Clarifies separation of public and confidential portions</li> </ul>	<ul style="list-style-type: none"> <li>- Digitize personnel records with audit trails</li> <li>- Clearly define what is releasable under Open Records</li> <li>- Educate supervisors on handling HR documents</li> </ul>	Boosts administrative efficiency, ensures fair access, and reinforces accountability