

# EMPLOYEE



# HANDBOOK

CONNECTICUT DEPARTMENT OF CORRECTION

JAMES E. DZURENDA

COMMISSIONER

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# MESSAGE FROM THE COMMISSIONER



I welcome you, with PRIDE, to the Connecticut Department of Correction. You have joined the ranks of an agency that is committed to accomplishing its mission of protecting the public with the utmost Professionalism, Respect, Integrity, Dignity and Excellence, as well as assisting in successful offender reentry which reduces victimization in the community. Your diligence and standards of value will provide a safe and secure environment for you, your fellow staff, offenders and the community.

This handbook is a resource which will provide you with basic information regarding your employment with us. In it you will find a summary of general employee requirements and benefits, as well as an overview of many of our departmental policies. While it is not all-inclusive, it will be a valuable source of information for you. I urge you to read it carefully. Should a question or issue arise, that is not covered by this handbook; contact your supervisor or the human resources unit. The agency will advise you of any future changes in policy.

Let me offer my sincere congratulations on your decision to become a vital part of the very best correctional agency in the country.

A handwritten signature in black ink, reading "James E. Dzurenda". The signature is written in a cursive, flowing style.

James E. Dzurenda

Commissioner

# **MISSION STATEMENT**

*The Department of Correction shall protect the public, protect staff, and provide safe, secure, and humane supervision of offenders with opportunities that support restitution, rehabilitation and successful community reintegration.*

## **INTRODUCTION**

This manual serves two purposes: as a textbook for your orientation and as a general reference during your employment with the Department. It is not intended to be a definitive source of information on all of the terms and conditions of employment. Policies set forth herein may be changed at the discretion of the agency.

Your employment will be regulated either by the collective bargaining process, the State Personnel Act, state regulations and departmental policy.

Collective bargaining governs nonexempt employees. If you are nonexempt, consult your contract for information on the terms and conditions of your employment; it is your most detailed and up-to-date source of information. If the information in your union contract conflicts with the information presented in this handbook please be aware your contract language supersedes this handbook.

State regulations and the State Personnel Act (Sec. 5-193 through 5-269 in the Connecticut General Statutes) govern exempt, managerial and confidential employees. If you are exempt, refer to the *State Managers Handbook* for detailed information on the terms and condition of your employment.

## **GENERAL HIGHLIGHTS**

### **EQUAL EMPLOYMENT OPPORTUNITIES**

The Department opposes any type of discrimination, and has developed a set of anti-discriminatory policies: see Appendices A, B and D. Please direct your questions about equal employment issues to the Director of Equal Employment Opportunity Assurance at Central Office, 24 Wolcott Hill Rd., Wethersfield, CT 06109.

### **CAREER COUNSELING**

The human resources unit is available for career counseling. You must obtain prior approval from your supervisor to attend a career counseling session during working hours. You may arrange for a session on your own time. The sessions are confidential.

### **CODE OF ETHICS**

The Department's standards of ethical conduct are outlined in Appendices H, I, J and K (see back of handbook). The guide to the code of ethics for public officials and state employees may be view on the Office of Governmental Accountability website at: [http://www.ct.gov/ethics/lib/ethics/guides/2012/public\\_officials\\_and\\_state\\_employees\\_guide\\_december\\_2012\\_rev.pdf](http://www.ct.gov/ethics/lib/ethics/guides/2012/public_officials_and_state_employees_guide_december_2012_rev.pdf)

### **COLLECTIVE BARGAINING**

Your assignment to a collective bargaining unit (union) is based on your job classification. As a union member, you will have union dues deducted from your biweekly paycheck. You may elect to not join a union. However, the agency will deduct a fee equal to union dues from your paycheck to support the collective-bargaining process. Your bargaining unit's agreement will govern your salary, benefits, hours of work, and other terms and conditions of employment. Exempt employees are excluded from the collective bargaining process, and are not required to pay union dues.

### **EMPLOYEE ASSISTANCE PROGRAM (EAP)**

EAP offers help if you experience personal problems (that may affect your job performance) such as alcohol or drug abuse, or psychological, financial, family or marital problems. Participation is voluntary and confidential. You may request assistance on your own or may be referred by your supervisor. Schedule an appointment outside work hours, if possible; you must use accrued leave time for an appointment held during working hours. Direct your questions to the Public Safety Employee Assistance Program; telephone 1-888-EAP-1060. You may also access EAP online at [www.publicsafetyeap.com](http://www.publicsafetyeap.com).

## **IN-SERVICE TRAINING**

The state of Connecticut sponsors training courses for state employees. Every correctional facility has a training officer responsible for distributing training materials, information and applications. Direct your questions about training to your training officer or human resources unit. The Maloney Center for Training and Staff Development in Cheshire also offers a variety of pre- and in-service training courses. You must seek your supervisor's approval to apply.

## **ON-THE-JOB ACCIDENT OR ILLNESS**

The Department promotes safety in the workplace. Also, the state has implemented the Managed Care Program for Workers' Compensation, administered by Gallagher Bassett. You must report every accident or illness to your supervisor, who then will call a 24-hour hotline (1-800-828-2717) to report the accident or illness and initiate a claim. If your supervisor is unavailable, you may call the number or have someone call for you. Your supervisor also must complete the Report of Occupational Injury or Disease to an Employee (form PER WC-207) and submit it to your human resources unit—whether or not you seek treatment or lose time from work. To become eligible for workers' compensation benefits, you must seek treatment from a network physician or medical facility. You may obtain a copy of the *Directory of Network Providers* from your supervisor.

## **TUITION REIMBURSEMENT**

The Department offers you a tuition reimbursement program. If you are a nonexempt employee, reimbursement is outlined in your collective bargaining agreement. Reimbursement generally is subject to the availability of union funds, with disbursements made on a first-come, first-serve basis. Tuition reimbursement is outlined for exempt employees in state policies and procedures. Submit your application at least two weeks before the start of a course. Call the human resources unit for details and application forms.

## **WORKING TEST PERIOD**

As a new employee, your working test period generally extends six months. The length of this probation, however, may depend on your union contract. For example, correction officer trainees are required to successfully complete a 10-week orientation training program and a 6-month initial working test period. When promoted to a higher class you are again required to complete a working test period.

# **COLLECTIVE BARGAINING**

## **BARGAINING UNIT REPRESENTATION**

Labor unions and state management periodically negotiate collective bargaining agreements (union contracts). The contracts govern such areas as salary, benefits, hours of work and the terms and conditions of employment. With the advent of collective bargaining, most state job classifications have been assigned to particular bargaining units (unions), and state employees have voted that unions represent them in the negotiation process. If you are a nonexempt employee, you have been assigned to a bargaining unit based on your particular job classification and will be represented by that specific union. If you are an exempt employee, you have been excluded from the collective bargaining process. The terms and conditions of your employment will be governed by state statutes and regulations.

## **UNION CONTRACTS**

These contracts, established through the formal negotiation process, outline some of the terms and conditions of your employment. Familiarize yourself with your contract. Benefits and provisions vary between bargaining units. Contract language has been crafted to avoid disputes and eliminate misunderstandings. Contract provisions, however, may be open to interpretation and subject to the grievance and arbitration process. Direct your questions about your contract to your supervisor or human resources unit.

## **GRIEVANCE PROCEDURE**

Your problems or complaints should be resolved quickly and fairly. Discuss the issue with your supervisor, who may help you find a solution. If your supervisor or another employee in the chain of command cannot resolve your problem or complaint, or if you feel that you have been treated unjustly, contact your union steward or human resources unit. If an issue cannot be resolved informally, you may follow the grievance procedure outlined in your contract. This procedure helps resolve disputes about the interpretation and application of a contract. You should make every effort to resolve the issue before filing a grievance. Though specific procedures may vary, your union contract establishes time limits for initiating grievances and obtaining responses.

The first steps in the grievance process are informal to encourage quick resolution. If an issue still cannot be resolved, more formal meetings will be conducted until the grievance reaches the highest level of the process. Most grievance procedures permit arbitration when an issue cannot be resolved at the highest level. An arbitrator, an impartial party chosen by the union and management, will hear the sides of an issue and render a binding decision. A union normally requests arbitration, but you as an employee also may request it. Arbitration is permitted, however, only as a step in the grievance procedure.

You or a group of employees may present a grievance to management for resolution without your union's participation. However, the resolution must be consistent with your union contract, and your union must be given the opportunity to attend all meetings. If you are an exempt employee, you may appeal an action in accordance with Sec. 5-202 of the Connecticut General Statutes.

## **APPOINTMENT AND PROMOTION**

The appointment and promotion of state employees will be based on the merit principles of the State Personnel Act. As with other federal, state and municipal merit systems, this system was established to minimize the influence of electoral politics in the employment and retention of state employees. The system strives to place the best qualified people in state service and to ensure that they are fairly treated during the appointment and promotion process. The merit system is not subject to collective bargaining.

### **JOB CLASSIFICATION**

As an employer of thousands of people, the state must systematically describe and group jobs to ensure consistent and fair treatment when assigning, compensating and promoting its employees. Consequently, it has established a classification plan for all jobs in the executive branch of state government, in which individual positions are grouped into job classes, with each class composed of positions with similar duties, responsibilities and required qualifications. Your job classification is the foundation for all phases of the employment process.

**CLASSIFIED/COMPETITIVE:** a State examination is required for appointment to jobs in this title. Candidates must meet the minimum qualifications of the position and pass the exam in order to be appointed. Examples of Classified/Competitive job classes: *Secretary 1, Accountant and Social Worker, State Police Trooper Trainee, and Correction Officer*

**CLASSIFIED/NON-COMPETITIVE:** a State examination is not required for appointment to jobs in this title; however, the minimum qualifications required must be met at time of application. Examples of Non-Competitive job classes: *Clerk and Maintainer*

**CLASSIFIED/NON-EXAMINED:** a State examination is not required for appointment to jobs in this title; however, specific licensure and/or educational credentials are required at time of application. Examples of Non-Examined job classes: *Nurse Consultant, Physician 1 and Clinical Social Worker*

**UNCLASSIFIED:** In general, appointments made to unclassified positions in the Executive Branch are at the discretion of the Governor or Agency Head. All positions within the Judicial and Legislative departments are unclassified. Many positions within the University of Connecticut, the University of Connecticut Health Center and the Connecticut State University System are also unclassified. Jobs in the unclassified service do not require an examination; however, the minimum qualifications required must be met at time of application.

### **EXAMINATION CATEGORIES**

In order to meet merit system objectives, the state has developed competitive examinations to fill most of its positions. Examinations are not used to fill unclassified positions or in those job classes designated as noncompetitive. State examinations fall into three categories:

**OPEN-COMPETITIVE:** If you meet the minimum experience and training qualifications for a position, you may participate. Open-competitive examinations are administered periodically on an as-needed basis, usually, when a state agency is recruiting for a vacant position.

**STATEWIDE PROMOTIONAL:** You may participate in a statewide promotional exam if you meet the minimum experience and training qualifications for a position, have permanent status, and have successfully completed an initial working test period in a state agency.

**AGENCY PROMOTIONAL:** If you are a state employee who meets the minimum experience and training qualifications and have permanent status in the agency announcing the exam, you may participate.

### **EXAMINATION TYPES**

Most jobs in Connecticut State Service require an examination to measure your qualifications. Depending on the type of job, the examination may be written multiple choice or essay, experience and training, oral, practical, or some combination of these or other types of tests.



**Written Examinations:** These consist of multiple choice and/or essay questions which cover the knowledge, skills and abilities required for the job. Most exams are held during the week at various sites throughout the state. The exact date of the examination is indicated on the examination announcement. You will be notified by mail of your scheduled test time and location approximately two weeks prior to the test date. All candidates are expected to attend the examination on the day they are scheduled.

**Experience and Training Examinations:** These examinations require applicants to provide information about their work experience and educational training as it relates to the job they are seeking. In most cases, the examination announcement contains the instructions for applicants to follow when completing the examination. In these cases, the examination information must be submitted along with the completed application form. In other cases, applicants are sent a questionnaire to complete about their background and qualifications. The questionnaire is mailed to those applicants who are determined to meet the minimum experience and training requirements for admittance into the examination. Applicants are generally given two weeks to complete the questionnaire and return it by mail. In a small number of cases, the examination involves a review of only the information provided on the application form.

**Oral Examinations:** These consist of structured sets of job related questions or practical work problems administered to you by a panel of job experts. In addition to the application of technical knowledge, oral examinations are usually designed to test an applicant's interpersonal skills, problem solving ability, oral communication skills, and if appropriate supervisory or management skills. Oral examinations are not job interviews. These examinations are usually administered during the work week. You will be notified by mail of your scheduled test date, time and location approximately two weeks prior to the test date. All candidates are expected to attend the examination on the day they are scheduled.

**Practical Examinations:** These are tests requiring applicants to produce actual work products. The most common of these is the typing test which is administered on computers. These examinations may be administered during the work week or on Saturdays. You will be notified by mail of your scheduled test date, time and location approximately two weeks prior to the test date. All candidates are expected to attend the examination on the day they are scheduled.

The Department urges you to check your bulletin board regularly for examination announcements and job-related information. You also may obtain them from your human resources unit. The state also operates a computerized bulletin board of vacancies and exams. Tests lead to appointments and promotions. A position that opens while a certification list remains in effect may be filled from that list. Agencies rigidly observe the closing date of an examination. You are responsible for obtaining all examination information.

To apply for employment or an examination, you must complete the Application for Examination or Employment the CT-HR-12 ([http://das.ct.gov/HR/Forms/CT-HR-12\\_Application.pdf](http://das.ct.gov/HR/Forms/CT-HR-12_Application.pdf)). Document all your experience and training qualifications, and submit the completed application to the Department of Administrative Services for regular state examinations.

Sec. 5-227a (P.A. 92-168) permits promotion by reclassification, which is promotion without examination to the next higher class within a job series-provided that the higher-level position has been established and that the employee both meets the criteria for the position and has demonstrated satisfactory performance at the lower level.

### TESTING ACCOMMODATIONS

Qualified individuals with a disability that require special testing accommodations under provisions of the Americans with Disabilities Act (ADA) should contact the Personnel Assessment Services Section of DAS/Statewide Human Resources Management at (860) 713-7463 (voice and TDD) immediately upon submitting an application for an examination. When calling, please be prepared to provide the exam title and number, your social security number and a description of your specific needs.

### REASONS FOR REJECTION FROM STATE EXAMINATIONS

You may be rejected from state examinations for the following reasons: either (1) your application was received after the closing date, (2) you did not meet the minimum requirements, (3) your years of experience did not match the requirements, (4) specific information was missing from your application, (5) you failed to meet the special requirements for the position, or (6) your years of experience did not match the special requirements. **Please note:** Follow the posting instructions, an application sent to the Department rather than DAS would be rejected.

### EXAMINATION APPEALS

If rejected from a state examination for any of the above reasons— except a late application—you may appeal. All application rejection appeals with all supplementary information to be reviewed, including working out of class letters, must be received by DAS within 10 calendar days of the date you received your original rejection notice. Application appeals must be addressed to: DAS, Statewide Human Resources Management Examination Rejection Appeals 165 Capitol Avenue, Room 404 Hartford, CT, 06106 Fax: 860-622-2863 E-mail: [ExamAppeals@CT.gov](mailto:ExamAppeals@CT.gov)

## APPOINTMENT TYPES

**PROVISIONAL:** The state may appoint you to a provisional position when it must be filled immediately and no active certification list exists or when an insufficient number of candidates are listed. Your appointment may extend for as long as six months, or until an examination for the position has been conducted and a certification list promulgated. You may receive only one provisional appointment in a fiscal year. Your job performance as a provisional must be satisfactory. To receive permanent appointment, you must participate in the first announced examination for the position. If the examination process is not completed for a position within six months, an additional temporary or emergency appointment may be authorized.

**TEMPORARY:** The state may appoint you to a temporary position to meet short-term agency needs, which may extend for as long as six months and be renewed within a fiscal year. You must meet the minimum experience and training qualifications for the job classification.

**PERMANENT:** The state may appoint you to a permanent competitive position from a certification list or to a permanent noncompetitive position without requiring an examination. You must successfully complete the applicable working test period to gain permanent status.

## WORKING TEST PERIOD

The working test period, or probationary period, for a state employee is an extension of the state examination process. You must serve this period to gain permanent status following initial appointment or promotion. Your initial test period generally extends six months, depending on the applicable contract or state regulation. Your promotional test period generally extends from four to six months, again depending on the applicable contract or regulation. Exceptions may occur in the length of the test period for trainee positions.

During an initial test period, you are considered probationary, and must work closely with supervisors and fellow employees to learn your duties. This period also gives your supervisor the opportunity to evaluate your response to training and job requirements. If you demonstrate acceptable performance during your initial test period, you will be given a satisfactory service rating and gain permanent status as a state employee.

Under a union contract, your working test period may be extended. If you do not meet acceptable performance standards during this period, you will be dismissed from state service. You may not appeal the dismissal through the grievance procedure, but you may request an administrative review. If you fail to meet acceptable performance standards during a promotional working test period, you will revert back to your previous classification.

## SERVICE RATINGS

You will receive a service rating during your initial working or promotional test period at least three months prior to your annual increase. Depending on your union contract, however, you may receive a service rating at any time, particularly when your job performance has changed significantly.

Service ratings record your progress and performance as your training and job experience increases. The state rewards satisfactory performance with annual salary increases until you reach the maximum salary for your assigned group. A rating other than "excellent", "satisfactory" or "good" may prevent you from receiving an annual increase. An "unsatisfactory" rating during your working test period signifies failure. After you have attained permanent status as a state employee, two successive "unsatisfactory" ratings in two years may result in your dismissal.

If you are a manager, the state bases your evaluation on the goals and objectives you established at the beginning of the fiscal year, under the Performance Assessment and Recognition System (PARS).

## PROMOTIONS

The Department may promote you to fill a vacant position, or when your position has been reclassified to a higher level responsibility. For promotion to a competitive position, you must successfully complete a competitive examination and your past job performance must be suitable. For a promotion to a noncompetitive position, you must meet the minimum experience and training qualifications and possess the required knowledge, skills and abilities. Some union contracts also make seniority a promotional factor.

## TRANSFERS

You may voluntarily transfer within the Department or to another state agency. The Department may involuntarily transfer you only under certain circumstances, generally defined in your union contract or state personnel regulations. Transfers occur when the Department seeks to better use its resources, to avoid layoffs, to meet emergency or seasonal conditions, or to accommodate you.

If you are a member of the correctional bargaining unit (NP-4), you will be selected for non disciplinary, involuntary transfer from one facility to another on an inverse seniority basis. Voluntary transfers from one facility to another are based on seniority. In order to be considered for transfer, you must place your name on the transfer list at your facility in accordance with departmental procedures. The Department updates transfer lists quarterly, but your name will remain on the list for one year. You must have worked six months as a permanent employee—for a correction officer: normally, 15 months from date of hire—to have your name placed on a transfer list. You may not voluntarily transfer under the NP-4 contract if you have been granted, rejected, or constructively rejected a transfer request within the previous six months. Other contracts have similar provisions, but timeframes vary. Transfer procedures also vary between bargaining units. Consult your contract for specific details.

You may remove your name from a transfer list prior to being notified. Within 24 hours of receiving a transfer offer you must notify your facility about your intention to accept or reject it. Failure to comply with this instruction will be considered a constructive rejection. If you accept a transfer offer, you cannot withdraw it without agency approval.

Under the NP-4 contract, when a new facility opens, up to 50 percent of its bargaining unit positions must be filled by seniority transfer, if a sufficient number of employees apply. However, no more than 15 percent of the total positions at one facility will be transferred to another one that is opening. The Department will announce the opening of a new facility at least 90 days in advance. If you are an exempt employee, your transfer will be subject to the provisions as outlined in the relevant state regulations and the State Personnel Act.

### **JOB POSTINGS**

The Department circulates and posts employment announcements. The postings include job location, minimum experience and training requirements, salary, and the closing date for applications, typically two weeks from the date of the posting. A competitive job vacancy typically is filled from a certification list or lateral transfer.

## **PERSONNEL RECORDS**

### **PERSONNEL FILE**

The Department maintains an official file on your employment with the agency. It contains service ratings, personnel processing forms, payroll data, and appointment, promotion, commendation and disciplinary letters. The Department also maintains a confidential medical file that contains your medical documents, including doctors' notes and official medical certificates.

You may review your medical and personnel files. Contact your human resources unit to schedule an appointment. You also may sign a waiver to allow another person, such as a union official, to review your files. The Department, under state freedom-of-information (FOI) laws, must comply with written requests for employment information about its employees. If you request copies of information in your employment file, you will be charged the applicable FOI rate. If the Department receives a request to review your file and considers it a possible invasion of your privacy, you will be notified.

### **CHANGE OF PERSONAL DATA**

When you change your name, address, number of dependents, telephone number or marital status, you must promptly notify your human resources specialist, so that agency records and your personnel file may be updated and complete a CO-931 <http://www.osc.ct.gov/agencies/forms/word/CO-931rev12-11.rtf>. You also must complete another Employee's Withholding Allowance Certificate (form W-4) and Employee Withholding or Exemption Certificate (form CT-W4) when you change your name or your address, or revise the number of exemptions you claim for tax purposes. You also should supply your human resources unit with the name and telephone number of an emergency contact person.

### **WORKING HOURS**

The current established regular work week for full-time employees in the correctional bargaining unit (NP-4) is 36-1/4 hours per week. Schedules vary, but each employee is required to work an assigned schedule that has specific starting and quitting times.

The current work week for supervisors, Captains, Counselor Supervisors, Lieutenants and Training Officers (NP-8) is 40 hours per week.

The work week of exempt employees and full-time employees in the administrative clerical (NP-3), administrative and residual (NP-5), and social and human services (P-2) bargaining units is 40 hours.

Full-time employees in the maintenance and service (NP-2), paraprofessional health care (NP-6), professional health care (P-1), educational professions (P-3B), and engineering, scientific and technical (P-4) bargaining units currently work 35 hours per week.

Although work schedules vary with employee groups, the standard work week is Monday-Friday with weekends and holidays off and with specific starting and ending times. Work schedules for part-time employees are specific to their established positions, regardless of bargaining unit. Employees will be notified of any changes in their established work hours, in accordance with their collective bargaining agreement. Facility-based employees who are required to be available during their meal periods will have those periods counted as work time. Bargaining unit employees, except for those in NP-4, receive one 15-minute break during each half shift.

### **ALTERNATIVE WORK SCHEDULES (AWS) AND GOVERNOR'S LEAVE**

The State shall continue to implement and operate for employees in all agencies AWS, which may vary from agency to agency, subunit to subunit, but the preference shall be for maximum employee free choice where feasible. If you are an executive or non-union manager, you are eligible to take voluntary furlough days or a reduction in your weekly schedule, without pay. You must receive authorization prior to taking voluntary furlough days. Please reference your union contract or contact your human resources unit for further information.

### **OVERTIME AND COMPENSATORY TIME**

Overtime occurs when you work at your position in excess of your regularly established schedule. Overtime assignments must be approved in advance-except in extreme emergencies. The federal Fair Labor Standards Act (FLSA), state statutes and regulations and your union contract govern your eligibility for overtime and rate of compensation. Compensatory time is a form of accrued leave time that may be used later; it does not constitute a basis for additional compensation.

The FLSA may be in conflict with your union contract regarding compensation for overtime. You generally must be paid under the method that provides you the greatest benefit. Not all employees are covered under the FLSA; professional employees generally are exempt. Please direct any questions about your FLSA status to your human resources specialist. The FLSA is quite complicated in its application, but hours worked in excess of 40 in one week are generally compensated at the rate of time-and-one-half. Vacation and sick leave may not be used to exceed 40 hours in a week. Your time-and-one-half rate is derived from your total compensation, including your basic hourly wage rate and other forms of compensation, such as shift and weekend differentials and longevity.

### **SHIFT ASSIGNMENTS**

The Department engages in multi-shift operations. Depending on the starting and ending times of your shift and union contract, you may be eligible for shift differential payments. These usually take the form of additional pay for the hours worked on your assigned shift. Generally, any shift that begins before 6 a.m. or after 2 p.m. is subject to shift differential payments, but some employees assigned to such a shift may not be eligible for these payments. Consult your union contract for specific information regarding eligibility for shift and weekend differentials, and the applicable rate.

### **ATTENDANCE**

You are responsible to maintain a good attendance record. Frequent absenteeism reduces the level of your service to the agency, increases operational costs, and places an added burden on your coworkers.

Use your accrued leave in accordance with agency policies (see Appendix G: Administrative Directive 2.11, Employee Dependability). Request leave as far in advance as possible. Refer to your union contract for additional guidelines. Agency operating needs, the reasonableness of your request, and the specific language contained in your union contract govern the approval or denial of your leave request. Avoid unscheduled leave whenever possible.

## **PAID LEAVE TIME**

### **HOLIDAYS**

The state grants 12 paid holidays per year to permanent, full-time employees: New Year's Day, Martin Luther King's birthday, Lincoln's birthday, Washington's birthday, Good Friday, Memorial Day, Independence Day, Labor Day, Columbus Day, Veterans' Day, Thanksgiving and Christmas.

If a holiday falls on a Saturday or Sunday, the state generally designates the Friday preceding or the Monday following as the day on which it will be observed. You will be paid for a holiday if you are on the payroll immediately before or after the day on which the holiday is celebrated. For example, you normally will not receive holiday pay if you are on a leave of absence without pay before and after a scheduled holiday. Consult your union contract for additional information about compensation for work performed on a state holiday.

## SICK LEAVE

As a permanent employee, you accrue sick leave from your date of employment for each fully completed calendar month of service, except as otherwise provided by State Statutes. You may use sick leave when incapacitated or as special leave. You may accrue a sick leave balance as a form of insurance in the event of a long-term illness. You may not use sick leave to extend your vacation or personal leave.

**ACCRUAL:** Full-time employees accrue paid sick leave at the rate of 1-1/4 days per completed calendar month of service, or 15 working days per year. If you are absent without pay for more than five working days in any one month, you may not accrue sick leave in that month. If you are a part-time employee, you accrue paid sick leave on a prorated basis, on the amount of your scheduled hours as a percentage of a full-time schedule.

**BALANCES:** Your payroll unit records your sick leave balance (time accrued but unused) in hours or days. When you retire, the state will compensate you for as much as 25 percent of your accrued sick leave to a maximum equivalent to 60 days.

**CALL-IN PROCEDURE:** If you are a facility-based employee and unexpectedly absent, you must notify your supervisor or designee one hour prior to the start of your work shift. If you work elsewhere, you must contact your supervisor or designee within one hour of your scheduled reporting time. If your absence is continuous or lengthy, you must notify your supervisor on a daily basis or as required. You may be placed on unauthorized leave without pay if you fail to notify your supervisor or designee of your absence.

**MEDICAL DOCUMENTATION:** A physician must complete a medical certificate for you if you are absent for five or more working days as the result of an injury or illness, or as otherwise outlined in your union contract or state personnel regulations. Professional health care staff must submit a signed statement outlining the reason for the absence. If you fail to supply the required medical documentation, you may be placed on unauthorized leave, which may serve as grounds for dismissal.

**SPECIAL LEAVE:** You may use sick leave for situations other than your own injury or illness (a medical certificate or written statement supporting your request may be required):

- Medical, dental or optical examination or treatment when arrangements cannot be made outside working hours.
- Death in your immediate family (as many as three days per family member in a calendar year).
- Critical illness or severe injury to a member of your immediate family that creates an emergency (as many as three days in a calendar year, or five days as outlined by some contracts) or State Statute.
- Funeral for a person other than a member of your immediate family (as many as three days in a calendar year).
- Birth, adoption or the taking custody of a child (as many as three days in a calendar year). Managers and Supervisors are allowed as many as five days in a calendar year.

**EXTENDED ILLNESS OR RECUPERATION:** If you exhaust your accrued sick leave during a prolonged illness or injury, you may use other accrued time. When this other time is exhausted, you may request a leave of absence without pay. In certain circumstances, the Department may grant you advance sick leave if you have at least five years of full-time state service. Consult your union contract or State Statute for information on these options and other programs, such as the sick leave bank and donation of leave time. Submit your request in writing and include supporting documentation.

**ILLNESS OR INJURY WHILE ON VACATION:** If you become ill or injured while on vacation, you may request that the recovery time be charged to your sick leave balance rather than as vacation leave. A medical certificate to support your request must be submitted.

## VACATION LEAVE

**USAGE:** If you are a full-time employee, you may begin taking paid vacation leave after completing six months of continuous service, unless otherwise stated in your union contract. If you are a part-time employee, you may begin taking paid vacation after completing the hourly equivalent of six months. Approval of your vacation request will be determined by your length of service and your supervisor's approval, based on operational needs. In most cases, the Department develops vacation schedules in advance to satisfy operational needs and to allow you to make plans.

**ACCRUAL:** You accrue vacation leave at the end of each full calendar month of service. Absence without pay for more than five working days in a month results in loss of vacation accrual for that month.

If you are a full-time employee you accrue vacation leave at the following rate for each completed calendar month of service (prorated, if part-time):

- 0-5 years of service: 1 day per month (12 days per year).
- Over 5 and under 20 years: 1-1/4 days per month (15 days per year).
- 20 years and over: 1-2/3 days per month (20 days per year).

As a manager, you will accrue vacation leave at the rate of 1-1/4 days per completed month of service, or 15 days per year. After you have completed 10 years of service, on Jan. 1 of each subsequent year you will receive vacation leave in addition to the normal accrual at the following rate:

- 11 years of service: 1 additional day.
- 12 years of service: 2 additional days.
- 13 years of service: 3 additional days.
- 14 years of service: 4 additional days.
- 15 years of service: 5 additional days.

**BALANCES:** Your payroll unit will record your vacation leave balance (time accrued but unused) in hours or days. Without agency permission, you cannot carry more than 10 days of accrued vacation leave from one year to the next if you are a nonexempt employee, to a maximum of 60 days if hired after June 30, 1977. If hired before July 1, 1977, or a manager, you may accumulate as many as 120 days of vacation leave. Exempt employees hired after June 30, 1977, may accumulate as many as 60 days. When separated from state service, if a permanent employee, you will receive payment for your vacation leave balance.

### **PERSONAL LEAVE**

If you are a permanent, full-time employee, you are entitled to three days or the hourly equivalent of paid personal leave in each calendar year to conduct private affairs, including observing religious holidays. This leave will not be deducted from vacation or sick leave balances. As a part-time employee, you may be entitled to prorated personal leave in accordance with your union contract; your union may require you to work five consecutive days to qualify. Notify your supervisor in advance before scheduling personal leave. You may not carry over unused personal leave from one year to the next. If permanent, you are credited with personal leave on Jan. 1. If probationary, you are credited with personal leave after attaining permanent status. If provisional, you will not receive personal leave until achieving permanent status.

### **JURY DUTY**

You will not lose your regular salary or benefits when summoned for jury duty. You must immediately notify your supervisor and supply the jury notice, which the supervisor will forward along with the reason for your absence to your payroll unit on a regular attendance report. The court will supply you with verification of your attendance; you must submit it through your supervisor to your payroll unit. You must return to work whenever not actively serving on jury duty. With the exception of travel allowances, you must return the money received for jury duty to your payroll unit.

### **MILITARY LEAVE**

If you are a member of the National Guard or a reserve component of a branch of the U.S. armed forces and have achieved permanent employee status, you may apply for leave to attend required field training. You must submit a copy of your military orders to your human resources unit to verify the leave. The state permits you as many as three weeks in a calendar year for field training. Paid leave for military call-ups other than annual training is limited to unscheduled emergencies and subject to the provisions of your union contract. Notify your supervisor as soon as you become aware of your military leave schedule.

## **LEAVE OF ABSENCE WITHOUT PAY (LAW)**

You may be granted a leave of absence without pay (LAW) without endangering your status as a state employee, depending on the terms of your union contract. Your benefits, however, may be affected. You do not accrue vacation or sick leave in any month in which you have been on a LAW for more than five working days. Service credit toward retirement, seniority and longevity also may be suspended during a LAW. The state continues to cover the cost of your medical benefits during a LAW resulting from a pregnancy, injury or illness, but you will be billed through your payroll unit for the portion of the monthly cost of coverage for your dependent(s). If on a Personal Leave greater than 30 days, you will be entitled to Consolidated Omnibus Budget Reconciliation Act (COBRA) benefits.

Submit your LAW request in advance and in writing to your supervisor with documentation. Your supervisor may grant a LAW for as many as five consecutive days. Longer LAWS must be authorized by your human resources unit before the leave-except in extraordinary situations, such as emergency medical leave. You may be granted a LAW for a variety of purposes on a position-held or not-held basis. Your LAW must be consistent with the requirements and criteria in your union contract, or in state regulations if an exempt employee. If your position is held, you may resume employment on the expiration of the LAW if you have been cleared to return to normal duty by a physician. If your position is not held, your return to active service depends on the availability of a suitable position. The Department will consider the reason for your request, your work record, and the agency's operating needs when deciding whether to grant you a LAW and to hold your position.

## **MATERNITY LEAVE**

If pregnant, you may use accrued sick leave at any time before, during or after your delivery. When a physician certifies you to be “unable to perform the requirements of the job,” you must submit a State Medical Certificate to substantiate your disability. When your disability period has ended or when you have exhausted your sick leave balance, you may ask to use accrued vacation and personal leave. When all of your paid leave has been used, you may request a LAW, with your position held. It will be held for as long as mandated by contract, or by statute if exempt.

## **MEDICAL LEAVE**

Under most union contracts, if you have at least five years of full-time service, you may request advance sick leave when you have exhausted accrued sick leave. Consult your contract for specific information. When accrued and advance sick leave has been exhausted, you may ask to use accrued vacation and personal leave. When all accrued leave has been exhausted, you may request a medical LAW and supply a Medical Certificate. You also must present the Medical Certificate to verify your ability to resume your duties when you return to work. Under state family and medical leave regulations, your position will held for as long as 24 weeks.

## **FAMILY LEAVE**

You may request family leave on the birth or adoption of a child, or the serious illness of a child, spouse or parent. It may extend as long as 24 weeks.

## **EDUCATIONAL LEAVE**

The Department may grant a leave of absence with full pay, partial paid or no pay to enable you to increase job proficiency. Your human resources unit will review the request and forward it to the director of human resources for final approval. Your work record, prior schooling, educational field, career path, workload, and benefit to the agency serve as key factors. If this leave is granted with full or partial pay, you must sign a contract indicating that you will continue to work for the agency on completion of the leave for a period of time equivalent to its length.

# **SALARY**

## **PAYMENT**

Your job classification determines your salary grade. A job classification is assigned to a salary group on the basis of required experience and training, technical importance, difficulty and level of responsibility. The state divides salary groups other than managerial into a number of steps. As a new state employee, you generally will start at the salary range minimum for your classification.

## **PAY DAY**

The state issues salary payments by check on alternate Fridays; the checks may be distributed on a Thursday, but must not be cashed until after 3p.m. on that day. You will receive payment for the work you performed during the period that ended two weeks prior to the date of the check. The delay allows for payroll processing. If you are a new employee, you should receive your first paycheck four weeks after your first workday. If you separate from state service, you will receive your last salary payment two weeks following the end of the last pay period worked.

You will have access to a statement of earnings through the on-line service, learn how by using this link: [http://docweb/images/stories/PDF/Intro\\_to\\_Core\\_CT.pdf](http://docweb/images/stories/PDF/Intro_to_Core_CT.pdf). All of your deductions are itemized and earnings recorded. You may request advance vacation pay. Direct your questions to your payroll unit, preferably in writing.

## **ANNUAL INCREMENTS**

These increments are based on the terms of your union contract. You may be raised on your anniversary date to the next higher step in a salary group if you are not a manager. If you are a member of the NP-4 bargaining unit, after nine months of service you will receive your annual increment on the following Jan. 1 or July 1. If you are a member of another bargaining unit, after six months of service you will receive your annual increment on Jan. 1. Consult your contract for details.

If you are an appointed official or a manager, the governor may award you increases. The amount of your increase is based on your goal attainment and performance under the Performance Assessment and Recognition System (PARS).

## COLLECTIVE BARGAINING AND COST-OF-LIVING INCREASES

Your general wage increases will result from the collective bargaining process if you are a union member. An increase generally will be calculated as an across-the-board percentage within a negotiated salary structure, and payable in July. If you are an appointed official or a manager, the governor may award you a cost-of-living increase, usually a percentage of your annual salary, also usually payable in July.

On promotion you are guaranteed a salary increase equal to at least one full increment in the group, unless you have reached its maximum. If you are promoted to a managerial position or within a managerial class, you are guaranteed an increase of at least 5 percent or at least the minimum of the new salary range, whichever is greater.

## DEDUCTIONS

### FEDERAL INCOME TAX, CONNECTICUT INCOME TAX AND SOCIAL SECURITY TAXES

Federal income and social security tax will be deducted from your paycheck in accordance with federal law in accordance with your filing preference.

### HEALTH INSURANCE

*For the most current State Health Insurance information, please go to: <http://www.osc.state.ct.us/empret/indxhlth.htm>*

You may elect to purchase health insurance from one of the following carriers: Anthem State BlueCare or United Healthcare/ Oxford. The state also offers dental plans through United Healthcare/ Oxford and CIGNA. You may extend health coverage to cover your immediate family: spouse and unmarried children. The cost will be determined by the program and carrier. The state generally pays 70 percent of the cost for extended coverage; you generally pay the remainder, which is directly deducted from your paycheck. Your dependent children may be covered, with exceptions, until the age of 26. Dependent dental coverage ends at age 19, regardless of student status. Please refer to your health care provide for specific details.

Your coverage becomes effective on the first day of the month following hire. For example, if you were hired on Nov. 9, your coverage would begin on December 1. You must remain with your chosen carrier until the state announces the next open enrollment period. This period, the one time in a year in which you may switch health insurance carriers, usually occurs in May with a July 1 effective date. Additions, deletions or other changes regarding dependents covered under your health insurance plan must be processed by your human resources unit. A change in status (i.e. marriage, birth of a child, etc.) **must** be added within 30 days of the qualifying event, with supporting documentation. Contact your human resources unit for forms. Be aware if a divorce, or any event that would no longer qualify a dependent as such, you will need to immediately remove that individual from your active employee/retiree status and may be provided COBRA for the individual(s) at that time.

### GROUP LIFE INSURANCE

<http://www.osc.ct.gov/empret/grouplife/index.html>

You may purchase term life insurance at group rates; the state will pay a share of it. You may authorize a payroll deduction for this insurance after six months of employment. If you waive this coverage and later decide to enroll, you must supply medical evidence of insurability. Contact your human resources unit for forms. The amount of coverage is based on your salary, and is automatically adjusted on April 1 and Oct. 1 as your salary increases. Beneficiary changes must be processed by your human resources unit.

### SUPPLEMENTAL GROUP LIFE INSURANCE

As a member of the engineering, scientific and technical bargaining unit (P-4), as well as managerial employees, you may be eligible for supplemental group life insurance. You must have a minimum yearly gross salary of \$45,000. You may enroll on April 1 and Oct. 1. The cost varies, depending on the policy; the minimum is \$5,000, the maximum, \$50,000. Contact your human resources unit for forms and information.

### AUTOMOBILE AND HOME INSURANCE

You may apply for group rates on automobile and home insurance. Follow the link for companies and contact information <http://www.osc.ct.gov/empret/supplemental/SuppBen120211.pdf>. The insurer will determine your premium. You may utilize payroll deduction for this benefit.

### DISABILITY INSURANCE

You may apply for disability insurance and income protection plans, follow the link for companies and contact information <http://www.osc.ct.gov/empret/supplemental/SuppBen120211.pdf>. The insurer will determine your premium. You may utilize payroll deduction for this benefit



## DIRECT DEPOSIT

Through direct deposit, you may have your entire paycheck deposited in a checking or savings account in a financial institution that is a member of the automated clearing house. Your funds will be electronically transmitted and should be available to you after 9 a.m. on the date of your check. You must complete an authorization form to adjust or cancel this form of deposit. Contact your payroll unit for the forms or information.

## DEFINED CONTRIBUTION PLANS

You may be eligible for the state's defined contribution plan, including a 457 plan, 403(b) plan and an Alternate Retirement Program if you are a permanent employee and work more than 20 hours a week. Obtain details by following the link: <https://ctdcp.prepare4myfuture.com/emadmin/landingpage.action>.

## STATE EMPLOYEE CAMPAIGN

Through the State Employee Campaign you may contribute by payroll deduction to your choice of charitable service organizations.

## UNION DUES OR AGENCY FEES

As a member of a collective bargaining unit, you will have union dues deducted from your check. Your union determines the amount by using a set rate or sliding-scale formula based on the amount of your salary. Agency service fees will be deducted from your paycheck if your job classification is attached to a bargaining unit, but you have chosen not to join it. The fee, usually is consistent with the amount of union dues, subsidizes the contract negotiation process, which benefits all employees.

## STATE EMPLOYEES CREDIT UNION

Active and retired state employees may join the State Employees Credit Union, with offices at the following locations: [www.csecreditunion.com/cse/Contact.asp](http://www.csecreditunion.com/cse/Contact.asp)

### AUTOMATED HOME TELLER

(860) 249-0197 or 1-800-458-1319

### HARTFORD

CSE Credit Union  
84 Wadsworth Street  
Hartford, CT 06106

Member Services, Savings (860) 522-5388  
Loans, Collections, Administrative Offices (860) 522-7147  
Hearing Impaired Services (860) 524-8328  
Collections (860) 522-3206  
Fax (860) 525-4077

Lobby Hours - Monday through Friday - 9:00 a.m. - 4:00 p.m.  
Drive-Thru Hours - Monday through Friday - 9:00 a.m. - 4:00 p.m.  
State Payday Thursday - 9:00 a.m. - 5:00 p.m.

**Lost or Stolen:** VISA Cards 1-800-453-4270,  
ATM Cards Business Hours (860) 522-5388  
After Business Hours 1-800-754-4128

### NEW HAVEN

CSE Credit Union  
1666 Litchfield Turnpike  
Woodbridge, CT 06525

**(203) 397-2949**

Fax **(203) 389-0772**

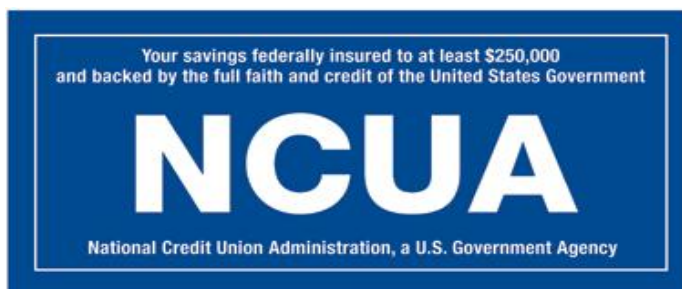
Branch Hours - Monday - Friday  
9:30 a.m. - 4:00 p.m.

### NORWICH

CSE Credit Union / Uncas-on-Thames  
401 West Thames Street  
Norwich, CT 06360

**Phone: (860) 889-7378 Fax (860) 886-4548**

Branch Hours - Monday - Friday  
9:30 a.m. - 4:00 p.m.



### MIDDLETOWN

CSE Credit Union  
Silver & Holmes St.  
P.O. Box 2485  
Middletown, CT 06457

**(860) 347-0479**

Fax **(860) 346-8950**

Branch Hours - Monday - Friday  
9:30 a.m. - 4:00 p.m.

### NEWINGTON

CSE Credit Union  
O'Neil Plaza  
2434 Berlin Turnpike  
Newington, CT 06111

**(860) 667-7668**

Fax **(860) 667-7282**

Branch Hours - Monday - Friday  
9:30 a.m. - 4:00 p.m.

### STORRS

CSE Credit Union  
1244 Storrs Rd.  
Storrs, CT 06268

**(860) 429-9306**

Fax **(860) 429-1605**

Branch Hours- Monday- Friday  
9:30 a.m. - 4:00 p.m.

### SOUTHURY

CSE Credit Union  
Southbury Training School  
P.O. Box 644  
Southbury, CT 06488

**(203) 267-7610**

Fax **(203) 267-7612**

Branch Hours- Monday- Friday  
9:30 a.m. - 4:00 p.m.

## DEPENDENT CARE ASSISTANCE PROGRAM (DCAP)

<http://www.osc.ct.gov/empret/dcapprog/index.html>

DCAP offers you the opportunity to deposit a portion of your check into an account for dependent care expenses. Your pre-tax deposit is exempt from federal and state income taxes. The enrollment period usually is scheduled in November and the deductions are taken in January. Contact your payroll unit for details.

# SEPARATION

## RETIREMENT TIERS

*For the most current information, please go to: <http://www.osc.state.ct.us/empret/>*

The state and collective bargaining units have negotiated the state pension agreement. The state retirement system currently includes four plans:

**TIER I.** You usually are a member of this contributory retirement plan if you were hired on or before July 1, 1984. Contact your payroll unit, human resources unit, or the reference booklet *Tier I Summary Plan Description*: <http://www.osc.state.ct.us/empret/tier1summ/tier1summ.pdf> for details.

**TIER II.** If you were hired June 2, 1984 - June 30, 1997, you automatically become a member of this noncontributory plan. Please note; after January 12, 1990 Hazardous Duty members became contributory. Contact your payroll unit, human resources unit or the booklet *Connecticut State Employees Retirement System, Tier II*: <http://www.osc.state.ct.us/empret/tier2summ/tier2summ.pdf> for details.

**TIER IIA.** If you were hired July 1, 1997- June 30, 2011, you are automatically a member of this contributory plan. Contact your payroll unit, human resources unit or the booklet *Connecticut State Employees Retirement System, Tier IIA*: <http://www.osc.state.ct.us/empret/tier2asumm/tier2asumm.pdf> for details.

**TIER III.** If you were first hired into state service on or after July 1, 2011 you are automatically a member of this contributory plan. Please note; Hazardous Duty members became eligible for a benefit after 25 years of hazardous duty service. Contact your payroll unit, human resources unit or the booklet *Connecticut State Employees Retirement System, Tier III*: <http://www.osc.ct.gov/empret/tier3spd/index.html> for details.

## RETIREMENT TYPES

Whether in Tier I, II, IIA or Tier III you have the option to apply for four types of retirement: normal, early, hazardous duty or disability. All pensions are based on your age at retirement, the length of your creditable state service, and the average of your three highest years of earnings. In Tier III, if you supervise and instruct inmates, you will contribute 5 percent of earnings. If you supervise and instruct inmates, you may qualify for hazardous duty (HD) retirement; you currently may retire after completing 25 years of HD, regardless of age. The state retirement plan is subject to collective bargaining and may be subject to changes based on negotiations. For information, write to the Office of the State Comptroller, Retirement Division, 55 Elm St., Hartford, CT 06106. Phone 860-702-3490 at least six months before your retirement date to schedule a meeting with a counselor.

## PENSION PAYMENT OPTIONS

*For the most current information, please go to: <http://www.osc.state.ct.us/empret/tier1summ/benefits.htm#BENEFIT>*

The state offers four methods under which your state pension may be paid:

**STRAIGHT LIFE ANNUITY:** This option, which gives you the largest possible monthly benefit, is payable only in your lifetime.

**FIFTY PERCENT SPOUSE:** Here, you receive a reduced amount. However, if you die, your spouse will continue to receive 50 percent of the reduced amount for their lifetime. This option also ensures the continuation of health insurance benefits for your spouse (provided you were married for at least one year prior to the date of death) if you were eligible for health at the time of retirement.

**CONTINGENT ANNUITANT:** Under this option, you receive a reduced amount, but if you die, a selected beneficiary will receive a monetary amount for their lifetime. (Health insurance may continue, dependent on eligibility of the retiree and annuitant at the time of death).

**10- OR 20-YEAR PERIOD CERTAIN:** Here, you receive a reduced but guaranteed amount for a 10- or 20-year period, whichever you choose. You may choose one or more annuitants. (Health insurance may continue, dependent on eligibility of the retiree and annuitant at the time of death, but only for the period the monetary benefit continues).

## RETIREE INSURANCE BENEFITS

When you retire, your health insurance benefits change after a 30-day grace period. Your spouse may also be covered if your spouse is covered by your health plan at the time of retirement and dependant on your choice of a retirement option. If you are 65, Medicare becomes your primary medical plan, with the state plan supplementary.

If you retire with at least 25 years of service, the state will pay for 50 percent of the amount of the life insurance (at least \$7,500) you carried when employed. If you retired with less than 25 years of service, the state will pay a prorated amount. The Retirement Division will contact you. Disability retirement and pre-retirement death benefits are a part of your pension agreement. Pensions also are subject to cost-of-living increases as outlined in the agreement. Write to the Retirement Division, or telephone 860-702-3490 for more information.

The collective bargaining agreement between the state and the State Employees Bargaining Agent Coalition (SEBAC II) in 1991 placed restrictions on health insurance eligibility for retirees who on June 30, 1992, did not have 10 years of state service and were not vested members of the state retirement system. If you were not vested on June 30, 1992, you generally are ineligible for state-sponsored health insurance unless you were covered by such insurance immediately prior to retirement or, in the case of a vested rights retirement, at termination of employment. The SEBAC agreement of 2011 has also made changes to retiree health insurance refer to the following link for information: <http://www.osc.ct.gov/empret/healthin/2011hcplan/SEBACAgree2011.pdf>

## FORMS OF RETIREMENT

**RETIREMENT DIRECTLY FROM ACTIVE STATE SERVICE:** If you were covered by health insurance and employed immediately prior to retirement in a position for which health insurance coverage was not available, and were not vested as of June 30, 1992, you are not eligible for state-sponsored coverage as a retiree. If you were employed in a position in which health insurance was not available, became employed immediately prior to retirement in a position eligible for such coverage, you will be eligible for state-sponsored coverage as a retiree. In order to implement the new eligibility requirement, the state has revised the Choice of Health Services after Retirement (form CO-744) to include information concerning your health coverage on retirement. If you fail to complete this form, you will delay your enrollment under the retirement group. Contact your payroll unit or human resources unit for the form and information.

**VESTED RIGHTS RETIREMENT:** If you terminate employment with the state with future rights to vested retirement benefits (where such vested rights were not earned as of June 30, 1992), you are eligible for state-sponsored health insurance as a retiree. If you terminate employment with the state in deferred vested status, however, your entitlement to health insurance coverage as a retiree depends on statutory and collective bargaining provisions in effect at the time of your retirement. Submit the Active Health Insurance Status of Vested Rights Applicants (form CO-744-V) with each vested rights application. Records establishing your health insurance coverage is often discarded by your former agency.

Under both forms of retirement, if you as a retiree are eligible for state-sponsored health insurance, you may enroll qualified dependents- even if they were not enrolled while you were an active employee. Write to the Office of the State Comptroller, Health Insurance Office, 55 Elm St., Hartford, CT 06106, for forms or information, or telephone 860-702-3533.

## RESIGNATION

The personnel regulation on resignation reads: "An employee in the classified service who wishes to voluntarily separate from state service in good standing shall give the appointing authority at least two working weeks written notice of resignation, except that the appointing authority may require as much as four weeks notice if the employee occupies a professional or supervisory position."

If you resign, your written notice of resignation must include your last day of work and be submitted to your supervisor at least two weeks before you leave. You will receive a lump-sum payment for unused vacation time if you are a permanent employee and have resigned in good standing. You may arrange to continue your health insurance benefits at a group rate for a specific period of time. Contact your payroll unit or human resources unit for details on the length of coverage and payment. If you are a member of the Tier I retirement plan, Tier II Hazardous Duty, Tier IIA or Tier III member with less than 5 years actual state service, you may request a refund of your contributions within five years of separation.

If you submit your resignation less than two weeks before leaving, your separation may be regarded as not in good standing and it may affect your reemployment rights. An unauthorized absence of five or more working days also may be considered as a resignation not in good standing. You will be notified when your resignation is considered as not in good standing, and within 10 days of separation you may file an appeal with the director of personnel and labor relations.

## **LAYOFF**

The state defines a layoff as an involuntary, non-disciplinary separation from state service resulting from a lack of work, a program cutback, or other economic necessity. Consult your union contract for details. If you are an exempt employee, consult Sec. 5-241 of the Connecticut General Statutes.

## **RE-ELIGIBILITY AND RE-EMPLOYMENT RIGHTS**

Sec. 5-248(e) of the Connecticut General Statutes reads: “When an employee has resigned in good standing with the consent of the appointed authority under whose jurisdiction he was employed and has withdrawn his resignation within one year, the commissioner of administrative services shall refer the name of such employee to the appointing authority for possible reinstatement to positions in classes in which he has attained permanent status.”

When you have been laid off or demoted, you also have re-employment rights—priority over other applicants for a position— as authorized by your union contract or by state regulations. If you are a state retiree, you have re-eligibility rights for those classes in which you attained permanent status. As a state retiree, you also are eligible for the Rehired Retirees Program, and may work up to a maximum of 120 days (hours equivalent to job title) per calendar year without affecting your pension.

If you are unable to return from a leave of absence, you also may have re-eligibility rights, subject to the provisions of your individual union contract or state regulations.

# **TRAINING AND DEVELOPMENT**

## **IN-SERVICE TRAINING**

If you are a nonexempt employee, you may with supervisory approval apply to participate in statewide in-service training courses offered by the Department of Correction. Participation should be based on the relevance of a course to your position, on upward mobility, or on your unit’s operational needs. These courses generally are held during regular work hours in the spring and fall. Your supervisor may limit the number of courses you take. Contact your training officer or human resources unit for information.

## **MANAGEMENT DEVELOPMENT COURSES**

The agency may offer courses that focus on supervisory development, agency needs, strategic planning, customer service skills and total-quality-management techniques. Contact your training officer or human resources unit for information.

## **TUITION REIMBURSEMENT**

You may seek reimbursement from the state for the tuition you pay for courses taken during nonworking hours at colleges, universities, technical schools and other accredited educational institutions. You do not need supervisory approval. If you are a nonexempt employee, detailed eligibility and funding provisions are outlined in your union contract. Managers are eligible for tuition reimbursement from the State Management Advisory Council. If you are a confidential employee, you may apply for reimbursement in accordance with the union contract that would have included your job classification had your class not been excluded. Your application must be submitted at least two weeks before the start of a class to the tuition reimbursement coordinator in the human resources unit. For a fall semester class, by Feb. 1 you must document that you paid for and passed the course; for a spring semester class, by June 1. Contact the tuition reimbursement coordinator for assistance and forms. If a non exempt employee, you may be reimbursed through your union for a non accredited course. This may be accomplished by converting the course hours to credits. For example, 6-14 hours is equal to one credit for tuition reimbursement; 15-29 hours for two credits; and 30-44 for three credits.

## **CONFERENCES, WORKSHOPS AND SEMINARS**

Your union contract may pay for costs associated with conferences, workshops or seminars, such as registration fees, travel expenses and meals. You must receive supervisory approval before processing a payment request. Consult your union contract for details.

## **MALONEY CENTER FOR TRAINING AND STAFF DEVELOPMENT**

The Department’s Training Center in Cheshire offers comprehensive pre-service training programs for new employees and a wide variety of in-service training courses for bargaining unit members and managers. Course schedules are updated on a regular basis. For information, write to the Maloney Center for Training and Staff Development, 275 Jarvis St., Cheshire, CT 06410, or telephone 203-271-5100.

# **MISCELLANEOUS**

## **TRAVEL**

*For the most current information/ Administrative Directive, please go to: <http://www.ct.gov/doc/LIB/doc/PDF/AD/ad0309.pdf>*

Your position may require travel to conduct state business. If you have such a responsibility and a valid driver's license, you may obtain a state-owned vehicle from the central car pool. If a state vehicle is unavailable, you may use your own vehicle; if you do, you may request mileage reimbursement. To receive compensation, you must verify that you have the required automobile insurance. Contact the fiscal services unit for information.

## **RIDESHARE**

The Department promotes the statewide RideShare Program, an opportunity to reduce your transportation expenses to work. Consider using a ride-sharing mode (carpool, vanpool or bus) as an alternative to driving alone. Ride-sharing saves you money, saves energy and preserves the environment. For information, go to <http://www.easystreet.org/> or telephone 860-972-3279.

## **EMPLOYEE WORK RULES**

Most employees work in a correctional institution or center. Each work place has written rules and regulations (post orders) that govern day-to-day operations.

By the nature of their jobs, correctional employees are expected to adhere to specific standards of behavior. You are responsible to know them. Violation of any of them may subject an employee to serious discipline, including dismissal. The work rules:

- You may not procure to be delivered, possess to deliver, or deliver contraband to an inmate.
- You may not receive contraband from an inmate.
- If you inspect mail, you must meticulously follow prescribed regulations. You may not bring into or take from a facility inmate mail or messages, or allow it to be brought into or taken from a facility other than through official channels.
- Files, hacksaw blades, metal cutting tools, cutting torches, drugs, narcotics, poisons, hair tonic, acids, shellac and other liquids with alcoholic content must be stored in secured areas. All preparations and material containing poisonous substances must be dispensed only by authorized staff, entrusted to inmates only in quantities sufficient for the immediate purpose, and used under staff supervision.
- You may not leave your post for any reason without authorization. When you are relieved by another employee, you must deliver all the information required for the proper performance of duty, a summary of special orders, conduct a security check of your area for contraband and fire hazards, and complete such reports, if required. No employee shall be authorized to leave facility grounds, for any reason, without authorization from a supervisor.
- You may not in the presence of inmates talk about other employees or the operations of the facility, or permit such discussions by inmates. You must avoid undue familiarity with inmates. You must refrain from becoming personally involved with the private or family matters of inmates. You may not do personal favors for inmates. You must maintain a quiet, firm demeanor with inmates. You may not talk about any matter pertaining to the crimes or personal histories of inmates—except where such a discussion is pursuant to duty. You may not permit inmates to frequent or linger in areas reserved for employees. You may not divulge the name of an informant to an inmate.
- You may be immediately dismissed if you sleep at your post; flagrantly, wantonly or willfully neglect your duties; or are incapacitated from the effects of medication without having reported your physical condition to your supervisor when reporting for duty.
- Inmates must be treated humanely. You may not engage in abusive treatment or inflict corporal punishment. You may not use physical force with an inmate except in self-defense, or to prevent escape, serious injury to another person, damage to property, quell a disturbance, or as authorized by facility rules. You are authorized only to use the amount of force necessary to bring a situation under control.
- You must maintain security, good order and discipline within the facility and assist in the rehabilitation of inmates.
- You may not bring alcohol or drugs into the facility or possess or consume them on institutional grounds. You may not report to duty under the influence of alcohol or drugs. You may not, without authorization, bring a narcotic or controlled drug onto institutional grounds.
- You may not use indecent, abusive, humiliating, ridiculing or profane language in the presence of inmates, or with other employees while on duty.
- You may not solicit, collect, affix or post a sign or notice on institutional grounds without authorization, nor allow this to be done.
- You may not wear your uniform inappropriately in a public place or post any images electronically while in uniform.
- You must uniformly enforce departmental and facility rules. You may not show preferential treatment to inmates. Without authorization, you may not use or borrow institutional property or materials; use inmate labor; allow work to be performed in the facility for an employee or other person; or allow property or material to be delivered to an employee or other person.
- You must inform your warden or unit head when a personal friend or family member is committed to the facility, on Parole,

supervised probation or under the jurisdiction of the Board of Pardons and Paroles.

- You may not promise to give an inmate a gift or loan, give an inmate a gift or loan, receive from an inmate a gift or loan, buy an item from inmate, sell an item to an inmate, or barter for any item with an inmate. You may buy—not for resale—hobby items crafted by inmates at standardized prices. You may not deposit to an inmate account without authorization. You may not engage in a business venture with an inmate.
- No one may take photographs on institutional grounds without authorization.
- You must follow the guidelines for the proper use of state computers. Improper or inappropriate use of state computers is prohibited and may result in disciplinary action.
- You may be dismissed immediately if it is found that you have engaged in theft or misuse of state property.
- You must be to work as scheduled. If you are unable to report to work, you must notify your supervisor. You must report if your supervisor does not grant time off; failure to report may result in disciplinary action.
- You must follow state regulations when using a state vehicle.
- You may not possess unauthorized firearms or weapons on institutional grounds.
- If criminal charges are placed against you, you must notify your warden or unit head within 48 hours of arrest.
- You must know Administrative Directive 2.17: Employee Conduct, and the memorandum on the subject.

As a correctional employee, you should be aware that your person or vehicle may be subject to search at any time while on duty or on state property.

These rules, as well as departmental directives, unit directives and post orders, represent the basic requirements for you to perform your job effectively. They, however, do not address every situation.

## **CLOSING**

We believe that the Department's work force is its greatest resource.

We encourage our employees to strive toward their greatest potential, and support them by enforcing departmental rules and regulations, and by offering a wide range of benefits and programs, such as career counseling, recognition awards, and tuition reimbursement.

Discuss your concerns about the material contained in this handbook with your supervisor or with a member of the human resources unit.

# **APPENDIX A: AFFIRMATIVE ACTION POLICY**

*For the most current information/ Administrative Directive, please go to: <http://www.ct.gov/doc/LIB/doc/PDF/AD/ad0201.pdf>*

The Department of Correction will implement the principles of equal employment opportunity and affirmative action by providing employment and advancement opportunities solely on the basis of job-related skills, ability and potential.

These principles, mandated by federal and state legislation, represent the fundamental philosophy and goals of the Department. At no time will employment and advancement opportunities be based on factors such as race, color, religious creed, age, sex, gender identity or expression, marital status, national origin, ancestry, sexual orientation, present or past history of mental disability, intellectual disability, learning disability, physical disability (including blindness), genetic information or criminal record, unless the provisions of Sec. 46a-60 (b) or Sec. 46a-80 (b) of the Connecticut General Statutes apply or a bona fide occupational qualification exists that excludes a protected group.

Discriminatory practices historically have been built into the operation of organizations, and reinforce existing discrimination; unless addressed, the effects of past discriminatory practices will remain. Federal and state equal employment legislation has mandated the opening of hiring doors in private- and public-sector organizations to candidates regardless of race or sex, but affirmative action statutes have been necessary to direct the equitable use of protected class members. Affirmative action responds to past discrimination and its consequences with vigorous initiatives that bring appropriate members of a protected class into the workforce.

This affirmative action policy will apply to all the components of the Department's employer-employee relationship, including recruiting, hiring, training, upgrading, promotions, benefits, compensation, discipline, layoffs and terminations. The Department expects every contractor, supplier, union or agency with which it does business to support this policy by complying with all state and federal equal opportunity laws, regulations, guidelines and executive orders prohibiting discrimination. For information, write to the Affirmative Action Unit, 24 Wolcott Hill Rd., Wethersfield, CT 06109, telephone: 860-692-7633 or 860-692-6815.

## **AFFIRMATIVE ACTION GRIEVANCE PROCEDURE**

As an applicant or employee, you or your representative may file an affirmative action grievance or complaint of alleged discrimination based on race, color, religion, age, sex, gender identity or expression, marital status, national origin, ancestry, sexual orientation, present or past history of mental disability, intellectual disability, learning disability, physical disability, criminal record, genetic information, or any other legally protected status under state or federal law. The grievance procedure, distributed to all employees and posted on bulletin boards at all facilities and units, is consistent with the requirements of affirmative action regulations for state agencies and the Americans with Disabilities Act. The Department expects you to fully cooperate with all complaint investigations and any actions taken by the Department as a result of an investigation.

**INFORMAL PROCESS:** The Department's affirmative action unit will attempt to resolve your grievance informally within 75 days. If, after an investigation, the Equal Employment Opportunity Director (or designee) concludes that your grievance is not valid or that no discriminatory act occurred, your grievance will be dismissed. If you are unsatisfied or adversely affected by a dismissal, you may appeal it to the Commissioner of the Department. If the Equal Employment Opportunity Director (or designee) concludes that a violation may have occurred, reconciliation will be attempted, with the terms of resolution set forth in a written agreement. If the Department or an employee fails to comply with any obligation or requirement in a resolution agreement, the decision may be enforced by a directive from the Commissioner of the Department of Correction. This process does not stop you from exercising your rights outlined in state and federal statutes.

**FORMAL PROCESS:** You or your representative may file a complaint with the Connecticut Commission on Human Rights and Opportunities (CHRO) or the Federal Equal Employment Opportunities Commission (EEOC). Complaints filed with the CHRO must be filed within 180 days of the alleged act of discrimination at one of the CHRO's regional offices [www.ct.gov/chro/](http://www.ct.gov/chro/). Complaints filed with the EEOC must be filed within 300 days of the alleged act of discriminatory act in the EEOC's Boston Regional Office <http://www.eeoc.gov/>. In most cases, CHRO will file dual complaints with the State and with the Federal EEOC. When a complaint is filed with the CHRO and/or EEOC, the CHRO and/or the EEOC will issue a written notice of the complaint to the Department of Correction.

## **PROTECTION FROM ADVERSE ACTION**

You may not be restrained, intimidated, threatened, coerced or discriminated against by administrative or supervisory staff or associates because you have filed a complaint or testified, assisted or participated in an investigation, proceeding or hearing. If this occurs, notify the Director of Equal Opportunity Assurance (or designee).

## **APPENDIX B: POLICY ON THE AMERICANS WITH DISABILITIES ACT**

*For the most current information, please go to: <http://www.ada.gov/>*

The Department of Correction is committed to supplying and promoting equal opportunities in its programs and services. This commitment includes adhering to the Americans with Disabilities Act (ADA) of 1990, which makes it unlawful to discriminate against a qualified person with a disability in the employment process or the provision of services and benefits. The act, which enables society to benefit from the skills and talents of those with disabilities, is similar to Title VII of the Civil Rights Act of 1964, which prohibits discrimination on the basis of race, color, sex, national origin or religion, and Sec. 504 of the Rehabilitation Act of 1973.

The Department also is committed to supplying reasonable accommodations to qualified persons with disabilities to ensure the full and fair participation of all employees and the public in its programs and activities. You are expected to support agency efforts and programs designed to promote and achieve the principles of the ADA.

## **APPENDIX C: POLICY FOR A DRUG-FREE WORKPLACE**

*For the most current information/ Administrative Directive, please go to: <http://www.ct.gov/doc/LIB/doc/PDF/AD/ad0221.pdf>*

The state is committed to winning the battle against substance abuse. Substance abuse jeopardizes family structures, exacerbates crime, threatens worker productivity and drains government funds. Substance abuse constitutes an especially pernicious threat for youths destroying hopes, dreams and lives. Drugs adversely affect worker safety, health and efficiency. In conjunction with the state's existing three-pronged strategy of education, treatment and enforcement to combat substance abuse, and in accordance with new federal legislation, the state has adopted a drug-free workplace policy.

The federal government on March 18, 1989, enacted the Drug-Free Workplace Act, requiring a state agency receiving federal funding to certify that it will maintain a drug-free workplace. The act also requires an agency to notify its employees that the unlawful manufacture, distribution, possession or use of controlled substances is prohibited in the workplace, and that actions will be taken if the policy is broken. Controlled substances are defined by federal law as drugs termed illegal or as medications available by prescription, but not ordered by a physician, that have a potential for abuse or are potentially physically or psychologically addictive.

You may not unlawfully manufacture, distribute, dispense, possess or use a controlled substance while in the workplace or otherwise on the job, or operate under the influence of a controlled substance not prescribed by a physician. If you violate this policy, you may be disciplined and dismissed.

If you are convicted of violating a state or federal drug statute and the violation occurred in the workplace, you must inform the Department's director of human resources within five days, a conviction is a finding of guilt—including a plea of *nob contendere*—or the imposition of a sentence by a judge or jury in a federal or state court. If your salary is funded by a federal grant or contract and you are convicted of a state or federal drug statute for an offense in the workplace, the human resources unit will notify the federal agency within 10 days of receiving notice of your conviction.

If you have a substance abuse problem, you are encouraged to seek assistance through the Employee Assistance Program or a rehabilitation program prior to disciplinary action. If you choose not to seek treatment, the state will take disciplinary action consistent with your collective bargaining agreement or state laws and regulations.

The Department will notify all employees of this policy. Obtain a copy of the policy from your human resources unit.



# **APPENDIX D: ADMINISTRATIVE DIRECTIVE 2.2:** **SEXUAL HARASSMENT**

*For the most current information/ Administrative Directive, please go to: <http://www.ct.gov/doc/LIB/doc/PDF/AD/ad0202.pdf>*

## **POLICY**

The Department of Correction will provide its employees with a workplace free of sexual harassment, retaliation and related misconduct. The Department shall investigate and provide appropriate discipline, remedial measures and resolution for each complaint and each reported violation of this policy.

### **SEXUAL HARASSMENT**

An unwelcome sexual advances, requests for sexual favors or other verbal or physical conduct of a sexual nature constitute sexual harassment when (1) submission to such conduct is made explicitly or implicitly a term or condition of employment, (2) submission to or rejection of such conduct is used as the basis for employment decisions, (3) such conduct has the purpose or effect of substantially interfering with work performance or creating an intimidating, hostile or offensive working environment, or (4) such conduct substantially and adversely affects the working conditions of an employee or person providing services as a vendor, volunteer or contractor or the privileges of any non-inmate at a Department facility.

### **PROHIBITED CONDUCT**

Sexual harassment includes but is not limited to: (1) sexual flirtation, touching, advance or proposition; (2) verbal conduct of a sexual nature; (3) graphic or suggestive comments about dress, body, sexual attributes, sexual activities, gender identity, or sexual orientation; (4) use of sexually degrading, descriptive words; (5) display in the workplace of sexually suggestive objects or pictures, including nude photographs; (6) comment or the circulation of a rumor that embarrasses, ridicules or demeans because of gender, gender identity or sexual orientation; or (7) explicit or implicit threat or insinuation that refusal to submit to sexual advances will adversely affect employment, evaluation, wages, advancement, assigned duties or other conditions of employment.

### **EMPLOYEE RESPONSIBILITY**

You may not engage in behavior that constitutes sexual harassment. If you are subjected to sexual harassment, immediately report the incident to your supervisor, manager or Unit Administrator, or to the Affirmative Action Unit.

### **MANAGEMENT RESPONSIBILITY**

Each supervisor, manager and Unit Administrator must ensure the workplace is free of sexual harassment, monitor working conditions so that sexual harassment may be promptly detected, provide for the resolution of all complaints, and report every sexual harassment complaint to the Affirmative Action Unit.

### **COMPLAINT INVESTIGATION**

The Affirmative Action Unit will conduct an investigation of a written sexual harassment claim, and issue a finding after its completion.

### **CONFIDENTIALITY**

The identity of the complainant and the facts and circumstances of a complaint and pending investigation shall, to the extent possible, be kept confidential and shared only on a need to know basis.

### **FILE MANAGEMENT**

The complaint file, including all the information and documents pertinent to the complaint shall be maintained in the Affirmative Action Unit and to the extent possible, shall be kept confidential.

### **DISCIPLINARY ACTION**

If, after an investigation, you are found to have engaged in sexual harassment or to have been negligent in pursuing appropriate action, you may be subject to disciplinary action.

## REMEDIAL ACTION

Any negative consequences resulting from a proven complaint of sexual harassment will be appropriately corrected.

## EXCEPTIONS

Any exception to the procedures outlined in this directive requires the prior written approval of the Commissioner of the Department of Correction.

# **APPENDIX E: ADMINISTRATIVE DIRECTIVE**

## **8.11: HIV INFECTION**

*For the most current information/ Administrative Directive, please go to: <http://www.ct.gov/doc/LIB/doc/PDF/AD/ad0811.pdf>*

### POLICY

The Department of Correction (DOC) shall provide humane and medically appropriate diagnosis and treatment to persons with a human immunodeficiency virus (HIV) infection or acquired immune deficiency syndrome (AIDS). The Department shall offer education and training programs to staff and inmates concerning the prevention of HIV infection and the management of inmates with HIV or AIDS.

### DEFINITIONS

**ACQUIRED IMMUNE DEFICIENCY SYNDROME (AIDS):** A collection of symptoms and infections resulting from the specific damage to the immune system caused by the human immunodeficiency virus (HIV). The late stage of the condition leaves individuals prone to opportunistic infections and tumors. AIDS is the final stage of HIV infection, however a person can be infected with HIV without developing AIDS.

**BLOODBORNE PATHOGENS:** Microorganisms present in human blood and certain other potentially infectious body fluids which can cause disease in humans.

**CHEMOPROPHYLAXIS:** The administration of a medication for the purpose of preventing disease or infection consisting of a regimen of medications used to reduce the risk of HIV infection after a significant blood-borne pathogen exposure incident.

**HEALTH SERVICES STAFF:** An individual employed by DOC, or the Department's contracted health services provider, on a part time, contractual, or full time basis who has responsibilities for providing health services to inmates remanded to the custody of the Commissioner of Correction. Any student intern or volunteer under the supervision and direction of health services staff shall also be considered health services staff.

**HUMAN IMMUNODEFICIENCY VIRUS (HIV):** The specific retrovirus that causes acquired immune deficiency syndrome (AIDS). HIV attacks the immune system, destroying certain cells that the body needs to fight disease.

**POTENTIALLY INFECTIOUS BODY FLUIDS:** Body fluids including blood, semen, vaginal secretions, breast milk or other body fluids contaminated with visible blood.

**SIGNIFICANT BLOODBORNE PATHOGEN EXPOSURE:** A percutaneous (through the skin) injury from a needle stick or other sharp object contaminated with blood or other potentially infectious body fluids; contact of mucous membrane or non-intact skin (e.g., when the exposed skin is chapped, abraded or afflicted with dermatitis); or contact with intact skin when the duration of contact is prolonged (e.g., several minutes or more) or involves an extensive area, with blood, tissue, or other potentially infectious body fluids.

**SOURCE INDIVIDUAL:** The individual or individuals who may have been the source of the blood or other potentially infectious body fluid that was involved in the occupational exposure incident.

**STAFF:** Any employee of the Department of Correction or the Department's contracted health services provider.

**UNIVERSAL PRECAUTIONS:** A set of precautions designed to prevent the transmission of human immunodeficiency virus (HIV), hepatitis B virus (HBV), and other blood-borne pathogens when providing first aid or health care. Under universal precautions, blood and certain body fluids of all people are considered potentially infectious for HIV, HBV and other blood-borne pathogens.

## STAFF PROCEDURES

**PREVENTION:** Take appropriate blood and body fluid precautions when at risk of exposure to HIV infection. Assume that any person may be a carrier of the HIV or other similarly transmitted organism. Each unit will ensure that a sufficient supply of disposable plastic gloves and mouth barriers for CPR are available for you to carry. Wear gloves whenever handling blood and body fluids, soiled laundry or waste material, and when conducting searches.

**EQUIPMENT REQUIREMENTS:** Transportation vehicles and administrative and disciplinary segregation units will be equipped with universal blood and body fluids kits including the following: two pairs of plastic gloves, two surgical gowns, two surgical masks, two pairs of eye goggles, one non feedback resuscitator, three large plastic bags, one roll of paper towels, and six individual packs of moist towelettes. Additional universal blood and body fluids kits will be maintained at readily accessible locations within a facility.

**TRAINING AND EDUCATION:** The Department will establish an AIDS education and training pre-service curriculum for you as a new employee. If you do not receive this training during pre-service orientation, your unit head will ensure that you receive an AIDS education program within 60 days of employment. AIDS updates will be enclosed with your paycheck on the first pay period of the fiscal year. Videotapes and other educational materials also will be made available. Pre-service training will include information to help you minimize exposure and manage risk incidents by promoting your understanding of the HIV infection and reducing your fear of those who are HIV positive. In-service training will be scheduled when new information becomes available. The completion of required training will be entered in your training record.

**EMPLOYABILITY:** You will not be tested for HIV to determine suitability for employment, and your HIV status will not be considered as exclusionary criteria for employment. Also, if you are able to perform the required duties, your status will not be restricted based on HIV positivity or related conditions. The Department may modify your duties based on medical recommendations or managerial prerogatives.

**OCCUPATIONAL EXPOSURE:** If you believe that a risk of HIV transmission exists, or that routine procedures, including blood and body fluid precautions, inadequately address a risk, notify your unit head in writing. Whenever you are exposed to infectious body fluids, report the incident. If you want to know the HIV status and related information of a person involved in an incident, notify your unit head in writing.

## INMATE PROCEDURES

**EDUCATION:** When admitted to a facility, an inmate will be offered a brochure listing AIDS services, and given the opportunity to view an educational AIDS video tape, participate in a discussion, ask questions and receive information. An inmate may request individual training and counseling sessions. An HIV discharge packet, including AIDS-related information and available community resources, will be offered to an inmate reentering the community, participating in a furlough or family visiting program, or needing family support.

**COUNSELING AND TESTING:** Testing administered under this directive will be accompanied by pretest and post-test counseling conducted by qualified and approved employees.

- Pretest counseling will consist of an explanation of the HIV infection and AIDS; risk assessment for HIV exposure; prevention, including behavior changes necessary to reduce risk of transmission; the purpose, results and accuracy of testing; the significance of results; the benefits of testing; confidentiality provisions; and discrimination protections.
- Post-test counseling will be offered to an inmate who tests negative, and consist of prevention procedures, including behavior changes necessary to reduce a significant risk of transmission; the accuracy and significance of results; and the need for any follow-up testing and services.
- Negative-result post-test counseling will be offered within one week of initial post-test counseling to an inmate who tests positive, including coping with the emotional consequences of results; prevention of transmission of infection to others; accuracy and significance of the test results; medical treatments and health maintenance; need for further follow-up services including health care, mental health services and social and support services; and need to notify and assist partners who may be at risk.

**INFORMED CONSENT:** This consent is necessary for an HIV test to be conducted—except in certain conditions outlined later. Presented information will include an explanation of the test; its implications for medical treatment; that it is voluntary and not a precondition to medical care; that refusal may affect the health care provider's ability to diagnose and treat an illness; and that its results will remain confidential. Consent involves signing a form, when possible.

**TESTING WITHOUT INFORMED CONSENT:** Testing may be ordered:

- By a facility medical director when an inmate is unable to grant or withhold consent, when no other person authorized to consent to health care for an inmate is available, and when test results are needed to provide appropriate urgent care.
- By a facility medical director if testing is necessary to determine the need for treatment or medical care for a HIV related illness—if no reasonable alternative exists.

- By the facility head and medical director if the behavior of an inmate poses a significant risk of transmission to another inmate or has resulted in a significant exposure—and no reasonable alternative exists.
- When an employee has had a significant exposure, provided that (1) the employee documents it while on duty; completes an incident report within 48 hours of it identifying the parties to the exposure, witness(es), time, place and nature of the event; submits to a base-line HIV test within 72 hours; and tests negative; (2) a facility physician seeks voluntary consent from an inmate and the inmate refuses to consent, except when the inmate has died; (3) the exposure evaluation group determines that all criteria have been met and an inmate (or legal guardian) refuses to grant informed consent; and (4) the employee may take immediate action that otherwise could not be taken if the test results were not known.
- By court order if a clear and imminent danger to the public health or the health of a person exists, and that person has demonstrated a compelling need for the HIV-related test result that cannot be accommodated otherwise.

Testing will occur only when the deputy commissioner of health services (or designee) has approved it, and a reasonable effort has been made to secure informed consent. When testing occurs, counseling and testing provisions will be observed. Testing without informed consent will not be allowed for general screening.

**INTAKE PROGRAMS:** If an inmate is considered a high risk for HIV infection, health services staff will recommend voluntary testing at the initial physical examination and pre- and post-test counseling. A facility medical director may approve an inmate's request for testing.

**RESULTS NOTIFICATION:** The Department will notify an inmate of test results within five working days of receiving the results. The Department also will attempt to supply test results to an inmate who has been released from custody.

**MEDICAL TREATMENT:**

- Access to care. The Department will supply appropriate outpatient or infirmary care to an infected inmate.
- Hospitalization. A chronic care ward will serve as housing for an inmate with a disease or illness requiring continuous medical observation and care. An inmate requiring inpatient infirmary care will be placed in a medical unit, and will be returned to the general population or other appropriate housing when medical care is no longer necessary.
- Treatment. An inmate's receipt of azidothymidine (AZT) or other available treatment will not serve as the sole criteria for placement in a chronic care ward.
- Community placement. If an inmate is determined by the director of health services to be in the final stages of AIDS, a unit head may place the inmate to an approved community setting on furlough or parole. The Department also may supply suitable medical arrangements to an inmate discharged or released to the community.

**CLASSIFICATION:**

- Housing. An inmate will not be segregated from the general population solely for being HIV-positive. An inmate may be segregated to satisfy medical or security requirements. The Department will not designate a housing unit or ward specifically for HIV-positive inmates.
- Job assignment. An inmate will not be excluded from a job assignment solely for being HIV-positive.
- Programs. With few exceptions, an HIV-positive inmate is eligible for all programs.

**DISCLOSURE**

An Inmate's HIV status will remain confidential and will be disclosed only (1) to the inmate or the inmate's legal guardian, (2) to someone who secures the release of confidential HIV information from the inmate, (3) to health services staff responsible for the care or treatment of the inmate, (4) to a unit head or an employee who supplies services for the inmate or when a significant risk of transmission to another inmate exists, (5) to an employee when the employee has been significantly exposed to HIV infection, (6) to a sexual partner when the inmate has participated in the Extended Family Visiting Program, or (7) by court order when a clear and imminent danger exists to the public health or to the health of a person.

**PROCEDURES:** The agency will maintain the confidentiality of an inmate's HIV status by developing protocols, requiring the permission of an inmate for disclosure (except as noted), penalizing unauthorized disclosure by staff, and raining staff on confidentiality and disclosure issues, requirements and processes.

**RECORDS MAINTENANCE:** The Department has established a system to identify and monitor the HIV status of inmates and to insure confidentiality. HIV status will not be marked on an inmate's file, medical record, housing card or any list maintained for general circulation.

**ADMINISTRATIVE RESPONSIBILITY:** The director of the Health Services Unit will promulgate operational procedures regarding HIV infection.

**COMMUNITY INVOLVEMENT:** The agency may seek educational, counseling and emotional-support resources in the community to assist an inmate or an employee and an employee's family with HIV-related concerns, and may attempt to help

a HIV infected inmate obtain adequate housing, medical care and basic needs.

**RESEARCH:** The agency may conduct HIV or AIDS-related surveys, and release information in aggregate form or without identifiers. Information about an inmate will not be released without specific written consent.

**EXCEPTIONS:** These provisions are procedural goals that do not create legitimate expectations or legally enforceable rights, interests or claims. Exceptions to the provisions of this directive require the written approval of the commissioner of the Department.

## **APPENDIX F: ADMINISTRATIVE DIRECTIVE 2.19:** **EMPLOYEE HEALTH**

*For the most current information/ Administrative Directive, please go to: <http://www.ct.gov/doc/LIB/doc/PDF/AD/ad0219.pdf>*

### **POLICY**

The Department of Correction shall strive to enhance the protection of the public, staff and inmate population from potential or existing public health risk(s) by offering and/or mandating participation in health screening or testing in order to prevent and/or eliminate possible health threats.

### **DEFINITIONS**

**HEPATITIS B:** A disease caused by a virus that attacks the liver. The virus can cause lifelong infection and serious liver disease. Hepatitis B is a blood-borne pathogen and is transmitted when infected blood or body fluids enter the body of a person who is not infected.

**METHICILLIN-RESISTANT STAPHYLOCOCCUS AUREUS (MRSA):** A type of bacteria that is resistant to certain antibiotics such as all penicillin, including methicillin. MRSA usually manifests itself as a skin infection such as boils, and can occur in otherwise healthy people.

**PURIFIED PROTEIN DERIVATIVE:** The substance used in a tuberculin skin test (TST) to screen a person for the presence of tubercular bacilli antibodies.

**STANDARD PRECAUTIONS:** Precautionary measures based on the principle that all blood, body fluids, secretions, excretions (except sweat), non-intact skin and mucous membranes may contain transmissible infectious agents.

**TUBERCULOSIS (TB):** A disease caused by a bacterium called Mycobacterium Tuberculosis which is transmitted from an infectious source to susceptible persons primarily through airborne means (i.e., coughing).

**TUBERCULOSIS SCREENING:** The process of identifying infected persons at risk of disease who would benefit from preventive therapy, and to identify persons with clinical/active disease in need of treatment.

**UCHC.** University of Connecticut Health Center

### **ADMINISTRATION OF HEALTH TESTING**

The director of the Health Services Unit will develop guidelines for conducting employee physical examinations, testing and screening. If the unit head determines that a health risk exists or has the potential to exist, the commissioner may mandate that any or all staff participates in appropriate testing, screening, intervention or prevention efforts that lead to controlling or eliminating the risk.

### **EMPLOYEE PARTICIPATION**

The Department will supply written, visual or verbal information to an employee to promote voluntary participation in a departmental health testing or screening program. If an employee fails to comply with a mandatory testing program, the respective union will be notified that the employee poses a potential threat to the health and safety of the work environment. Refusal to participate in a mandated testing or screening will be considered failure to follow an order and subject the employee to discipline in accordance with Administrative Directive 2.6, Employee Discipline. Continued refusal to submit to testing or screening may lead to more severe discipline, including dismissal.

### **TB TESTING AND SCREENING**

TB testing and screening will be required for continued employment with the Department. Mandatory TB testing and screening for employees will be conducted annually or as designated by the commissioner. An employee may be exempt from the annual or mandated TB test if the employee submits the following:

- Documentation of (1) a previous positive skin test using the PPD TB skin test method, with an indication of millimeters of induration, and (2) a negative chest x-ray.

- Documentation of (1) current (within six months) PPD skin test conducted outside the Department or completed within the Department, and (2) a negative chest x-ray.
- Documentation from a physician to indicate current medication therapy for active or latent TB.

An employee who refuses to voluntarily submit to a TB skin test (PPD) shall be counseled by a licensed agency health care provider. If an employee continues to refuse skin testing, the employee shall be referred to the employee's physician. The employee shall have 72 hours to supply documentation that the TB test has been performed or to agree to be tested by the agency. The employee may work during this 72-hour period. Failure to comply with TB screening requirements shall subject the employee to the provisions herein.

# APPENDIX G: ADMINISTRATIVE DIRECTIVE

## 2.11: EMPLOYEE DEPENDABILITY

*For the most current information/ Administrative Directive, please go to: <http://www.ct.gov/doc/LIB/doc/PDF/AD/ad0211.pdf>*

### POLICY

You are responsible for maintaining good attendance. You are expected to report to work on time, adhere to established break and meal periods, and remain at your assigned work site throughout the scheduled work period or until relieved. You must submit sick, vacation and other personal leave requests in accordance with departmental policy and current collective bargaining agreements.

### DEFINITIONS

**FAMILY SICK LEAVE:** An unscheduled absence that may be used in the event of a critical illness or severe injury to an employee's spouse, parent, sibling, child or any relative who is domiciled in the employee's household.

**OCCASION OF ABSENCE:** One or more unscheduled, continuous days of absence charged to sick leave (including authorized leave without pay or unauthorized leave used in lieu of sick leave), accrued holiday time, authorized leave without pay, unauthorized leave and vacation. This also includes use of other accrued time or authorized leave without pay, which has been substituted for sick leave when the employee has exhausted sick leave accruals. Unscheduled absences charged to authorized family sick, funeral leave or personal leave shall not be considered to be an occasion of absence. Vacation leave authorized up to the limit determined by the shift relief factor shall not be considered as an occasion even when granted immediately before the beginning of the shift. The criteria for late or tardy call-in shall apply.

**OCCASIONAL TARDINESS:** Two (2) or less occasions of tardiness within any six (6) month period.

**TANDEM ABSENCE:** An unscheduled absence of two (2) days or less immediately before or after a regularly scheduled day off (e.g. a weekend, holiday or vacation).

**TARDINESS:** Any failure to report to work on time according to the established work schedule or lateness for duty at any point during the shift.

**UNAUTHORIZED LEAVE:** An unapproved absence.

**WORK:** All regularly scheduled and overtime duty.

### NOTIFICATION AND RECORD KEEPING

If you are a facility-based employee and unable to report to work as scheduled, you must notify your Supervisor or designee one hour prior to the start of the work shift, and indicate the reason for your absence and its anticipated duration. If not facility-based, you must contact your supervisor or designee within one hour of your scheduled reporting time. If an absence will exceed the reported duration, you must notify your supervisor or designee prior to the extended absence. Absence as the result of illness for five or more consecutive working days must be documented by a medical certificate, which you must submit within five calendar days after returning to work. A facility will maintain a confidential record of your reason(s) for each absence and the notification time medical certificates, and other medical information.

### ABSENCES

**PRIOR NOTIFICATION OF ABSENCE:** Pre-scheduled, approved use of sick leave, such as a doctor's visit or funeral leave, will not be counted as an occasion of absence or tandem absence.

**OCCASIONAL ABSENCES:** An unscheduled absence of one day will be recorded as one occasion. If the reason for an absence changes during its duration, the time charged for each reason will be deemed to be a separate occasion.

**TANDEM ABSENCES:** An unscheduled absence immediately before or after a scheduled day off normally will count as one tandem occasion. An extended, unscheduled absence of more than two days for the same reason immediately preceding or following a regularly scheduled day off normally will not be deemed a tandem occasion.

### **ANALYSIS OF ABSENTEEISM**

The attendance record of all permanent employees will be reviewed during each routine personnel evaluation. More frequent reviews may occur as needed. Employees in promotional working test periods will be reviewed monthly. When reviewing absenteeism, a supervisor will consider the (1) number of occasions, (2) pattern of absences, (3) employee's past record, and (4) extenuating circumstances.

When a permanent employee registers three occasions of absence within a 3-month period, the record will be reviewed with the employee to determine contributing problems and possible corrective measures. When an employee registers five occasions of absence within a 6-month period, the record again will be reviewed, and a written memo to the employee will document the counseling session. When an employee registers nine occasions of absence in a 12-month period, the record again will be reviewed with the employee, and appropriate progressive discipline will be initiated; the employee also may receive an unsatisfactory service rating. An employee registering these attendance patterns may be referred to the Employee Assistance Program.

Failure to maintain a satisfactory attendance record beyond the first unsatisfactory service rating will result in another meeting to review the employee's dependability status. After evaluation, the employee will receive a written warning that failure to improve may result in the issuance of a second unsatisfactory service rating and dismissal from state service. Two successive unsatisfactory service ratings may be considered cause for dismissal. This procedure does not preclude separate disciplinary action for unauthorized leave or the fraudulent use of sick leave.

### **TARDINESS**

Tardiness will be monitored and reviewed in the context of an employee's overall dependability, including all occasions of absence. The guidelines for tardiness follow:

**OCCASIONAL TARDINESS:** Occasional instances of tardiness of time periods of less than 15 minutes will not be charged to vacation or personal leave, or deducted from an employee's pay. Occasional instances of tardiness of periods equal to or exceeding 15 minutes will be deducted from an employee's pay.

**EXCUSED TARDINESS:** Tardiness resulting from inclement weather, delays in mass transit, or other extenuating circumstances will not be counted. A supervisor, with approval of the unit administrator or designee, will determine whether weather or road conditions warrant late arrivals on days that are not state-declared late openings.

**SUPERVISOR RESPONSIBILITY:** A supervisor will obtain and document the reason for all occurrences of tardiness and counsel the employee as necessary.

#### **UNEXCUSED TARDINESS:**

- Initial instance. On the first occurrence of unexcused tardiness, the supervisor will remind the employee of the Department's policy governing attendance and the employee's responsibility to report to work on time. Additional evaluations of tardiness will be conducted every six months.

- Step 1. On the second occurrence of unexcused tardiness within a 6-month period, the employee will receive formal counseling, in which a memo from the supervisor to the employee will indicate that further instances of tardiness may result in disciplinary action.

- Step 2. On the third occurrence of unexcused tardiness within a 6-month period, the employee may receive a written reprimand for habitual or repeated tardiness. It serves as notice that the employee's attendance problems require immediate attention and improvement, and that failure to do so will result in progressive disciplinary action.

- Step 3. On the fourth occurrence of unexcused tardiness within a 6-month period, the employee may receive a 1-day suspension for just cause in accordance with this directive.

- Step 4. On the fifth occurrence of unexcused tardiness within a 6-month period, the employee may receive a 5-day suspension, and will be advised that any further instances of tardiness may result in dismissal.

## PERFORMANCE IMPROVEMENT

If tardy again, an employee who previously has been disciplined for tardiness and continues, without further incident within six months, will be disciplined at the same step as previously disciplined.

For each consecutive 6-month period that the employee is not tardy, the level of discipline shall decrease one step. The duration of time that an employee is on workers' compensation or leave of absence will not be included in the previously cited 6-month period.

These guidelines do not limit the Department's right to take disciplinary action against an employee who may not fit into the guideline periods but does demonstrate a continuing pattern of tardiness over a longer period of time.

## COMMUNICATING INABILITY TO REPORT FOR DUTY

An employee who communicates an inability to report after the shift begins will not be paid for the time between the beginning of the shift and the time of the contact with the facility or supervisor, as specified by unit directives. Such calls also will be handled as tardy.

Managers will charge employees who fail to call without reasonable cause with an unauthorized leave of absence. An employee who on the first instance does not communicate an inability to report and who does *not* report will not be paid and will be cautioned regarding future occurrences. The next subsequent occurrence, if within 12 months, may result in the employee not being paid and suspension on a day-for-day basis. The next instance, if within 12 months of the last occurrence, may result in a 5-day suspension. The next instance, if within 12 months of the last occurrence, may result in dismissal.

## EXHAUSTION OF SICK LEAVE ACCRUAL

After exhausting sick leave accrual, to obtain coverage for lost time during an illness an employee may use vacation or personal leave accrual by supplying supporting documentation in the form of an acceptable medical certificate. An employee may request sick leave without pay for period(s) of illness after exhausting sick leave accrual, which with proper justification may be granted. When an employee calls in sick with no sick leave accrual and fails to follow procedures for requesting a leave of absence without pay, the absence will be recorded as unauthorized leave without pay; each instance will result in the application of the progressive discipline steps outlined herein.

## WORKING TEST PERIOD

An employee with a combination of three absences or instances of tardiness in the first six months of employment may be dismissed. An employee who fails to report for duty and to notify the employee's supervisor in the first six months will be dismissed.

## EXCEPTIONS

Any exception to this administrative directive will require the written approval of the Commissioner of Correction.

# APPENDIX H: ADMINISTRATIVE DIRECTIVE 2.17: EMPLOYEE CONDUCT

*For the most current information/ Administrative Directive, please go to: <http://www.ct.gov/doc/LIB/doc/PDF/AD/ad0217.pdf>*

## POLICY

Each employee of the Department of Correction (DOC) shall engage in appropriate and ethical conduct while carrying out official duties and while engaged in off duty activities which directly reflect on the Department.

## DEFINITIONS / ACRONYMS

**CD.** Compact Disc.

**DOC.** Department of Correction.

**DVD.** Digital Video Disc.

**Electronic Devices.** Any personal electronic wireless communication device to include but not limited to a cell phone, pager, blackberry, or personal digital assistant (PDA).

**Immediate Family Member.** A spouse, parent or step parent, child or stepchild, grandparent or step grandparent, sibling or stepsibling, grandchild or step grandchild, or cohabitant.



**Inmate.** An individual under the supervision of the Department of Correction, or having any continuing sentence under the Department's supervision including but not limited to parole or community supervision.

**MP3.** An audio format for consumer audio storage and playback of music on digital audio players.

**PDA.** Personal Digital Assistant.

## STANDARDS OF CONDUCT

As an employee of the Department of Correction you must:

- Comply with all federal and state statutes and regulations, administrative and unit directives, department and unit policies and procedures, post orders and lawful orders/instructions.
- Enforce all rules, regulations and policies of the Department as appropriate.
- Ensure that a safe, secure and sanitary work environment is maintained.
- Remain alert, aware of, and responsive to the surroundings at all times.
- Remain on assigned post until properly relieved and/or remain at worksite as required. No employee shall be authorized to leave facility grounds without authorization from a supervisor.
- Comply with official notices and roll call and other instructions.
- Meet all employee responsibilities for dependability.
- Report any arrest or receipt of any criminal summons received from a law enforcement agency or court, to an appropriate supervisor prior to returning to work or within 48 hours (whichever occurs first). This requirement shall not apply to summons received for minor traffic violations. An employee shall submit supporting documentation of arrest, or receipt of summons. Employees who have been arrested must inform their supervisor of the disposition of their charges within 48 hours of a disposition being reached (to include, but not limited to, convictions, dismissal of charges, nolle, accelerated rehabilitation, probation, suspended sentences, continued without finding, payment of fines, and special terms and conditions of the court). The employee must also submit supporting documentation of the disposition within 48 hours after disposition. Any employee on extended leave shall report any arrest or receipt of summons, and subsequent disposition, to the Unit Administrator within 48 hours.
- Report the receipt of any civil summons that impacts employment (e.g., named as a defendant in an employee or inmate lawsuit, restraining order, capias, contempt of court, etc.) associated with the employee's duties to an appropriate supervisor on or by the next scheduled work day, but no later than 48 hours after receipt of the summons.
- Provide the Office of the Attorney General with relevant documents, subpoenas or other materials related to legal action with which they are involved in accordance with Administrative Directive 1.12, Employee Legal Counsel/Representation. Staff shall cooperate in all inquiries, depositions, interrogatories, or other legal processes that will assist the Legal Affairs Office and/or the Office of the Attorney General.
- Inform the appropriate supervisor and the human resources unit, in writing, of any change of address and/or telephone number within 48 hours.
- Report to an appropriate supervisor any condition or use of medication the employee is taking, that may affect job performance or judgment.
- Report any medication brought into the worksite and maintain any personal property and medication in a secure manner.
- Act in a professional manner showing respect to other employees and the public.
- Respect and protect the rights of inmates.
- Maintain good stewardship of all state property and equipment.
- Maintain appropriate demeanor at all times.
- Be courteous and accommodating in all dealings with the public, to include telephone etiquette.
- Report, in writing, to a supervisor when a friend or relative is or becomes incarcerated in any Connecticut DOC facility within 48 hours of discovery.
- Cooperate fully and truthfully in any inquiry or investigation conducted by the Department of Correction and/or any law enforcement, regulatory or state agency.
- Appropriately file information as required by the State Ethics Commission in accordance with Administrative Directive 1.13, Code of Ethics.
- Promptly report to a supervisor any threat, harassment, physical or verbal abuse, assault, or act of intimidation. Incidents of discrimination or sexual harassment shall be reported in accordance with Administrative Directives 2.1, Equal Employment Opportunity and Affirmative Action and 2.2, Sexual Harassment.
- An employee must receive written authorization from his/her Unit Administrator and the Unit Administrator housing the incarcerated family member in order to visit, phone or correspond with such family member.

The following behavior shall be strictly prohibited:

- Any act that jeopardizes the security of the unit, health, safety, or welfare of the public, employees or inmates.
- Excessive or unnecessary use of force.
- Unauthorized possession of non-department issued firearms or other weapon while on duty or state property.
- Conveyance or possession of unauthorized items within, into or out of a facility, or other correctional unit.
- Neglect of duty or failure to supervise.
- Sleeping or inattentiveness while on duty.
- Possessing unauthorized items while on duty (e.g., reading materials, personal electronic devices, etc.).
- Abuse of sick time, accrued leave or workers' compensation.
- Reporting to work in an impaired condition as a result of the use of alcohol, an illegal drug, or any medication. Employees shall not consume alcohol while on duty or in uniform.
- Entering a correctional unit when off duty unless previously authorized.
- Engaging in abusive, obscene, threatening, intimidating language or behavior.
- Engaging in unprofessional or illegal behavior, both on and off duty that could reflect negatively on the Department of Correction or conflict with the Department's mission, to include association or membership with security risk groups, criminal enterprises, hate groups, or groups of high interest to law enforcement. It shall be the employee's responsibility to seek written clarification from the Unit Administrator regarding such association or membership.
- Engaging in any activity, which would conflict with the proper discharge of or impair the independence of judgment in the performance of duty.
- Engaging in bartering, gambling or games of chance with inmates.
- Engaging in retaliation or reprisal (to include coercion or threatening behavior) against an inmate for participating in activities that are protected by law or directive. Such protected activities include, but are not limited to:
  - a) filing an appeal, grievance or property claim in accordance with Administrative Directive 9.6, Inmate Administrative Remedies;
  - b) accessing courts; and,
  - c) engaging in privileged correspondence in accordance with Administrative Directive 10.7, Inmate Communications.
- Engaging in undue familiarity with inmates which includes, but shall not be limited to, the following:
  - a) any sexual contact between an employee and an inmate and/or person under the Department's supervision, or continuing sentence under the Department's supervision including but not limited to parole or community supervision;
  - b) sexualizing a situation without physical touching such as partaking in activities involving suggestive or pornographic photographs, suggestive or explicit letters or behavior which provides sexual gratification;
  - c) personal involvement in an inmate's private or family matters outside assigned professional duties;
  - d) performing personal favors for inmates outside assigned professional duties;
  - e) discussing with an inmate any matter pertaining to the inmate's crime(s) or the crime(s) of other inmates (except as required pursuant to official business);
  - f) discussing with an inmate personal and/or business matters of employees;
  - g) discussing security operations of a facility with an inmate;
  - h) inconsistently enforcing facility rules to favor an inmate or group of inmates over other inmates or groups of inmates;
  - i) having personal work done by an inmate;
  - j) visiting, corresponding with or accepting telephone calls, personal notes or letters from an inmate who is under the custody of the Department (except for an immediate family member AND only when authorized in writing by the employee's Unit Administrator and the Unit Administrator of the facility where the immediate family member is incarcerated);
  - k) housing an inmate who is under the custody of the Department (to include an inmate on community supervision), at the employee's home (except for an immediate family member AND when authorized in writing by the employee's Unit Administrator and the Director of Parole and Community Services);
  - l) entering into a personal or business agreement with an inmate, including, but not limited, to acting as a bail bondsman for an inmate or providing the resources for the inmate to bond out without prior notification to the Unit Administrator; and,
  - m) Transporting an inmate to an unauthorized location.
- Engaging in behavior which is sexually, emotionally, or physically abusive or harassing toward the public, employees or inmates.
- Unauthorized appropriation or use of any property belonging to the public, state or an inmate for personal, political or union purposes (i.e., computers, electronic mail, Department letterhead, etc.).
- Release of any confidential information or unauthorized or inaccurate release of information, records, or documents.
- Falsification, unauthorized alteration, or destruction of documents, log books, and other records, including job applications.

- Use of official position, uniform, identification or badge to gain any personal advantage or an advantage for another in any improper or unauthorized manner.
- Engaging in conduct that constitutes, or gives rise to, the appearance of a conflict of interest.
- Unauthorized acceptance of any item or service for oneself or family members, including but not limited to, a gift, loan, political contribution, reward or promise of future employment as outlined in Administrative Directive 1.13, Code of Ethics.
- Engage in any political activities that conflict with state and federal laws to include the Hatch Act.
- Failure to follow a lawful order.
- Engaging in insubordination.
- Failure to cooperate with a Department investigation.
- Lying or giving false testimony during the course of a Department investigation.
- Intentionally withholding information necessary for the completion of an investigation.
- Failure to properly conduct tours and/or inmate counts.
- Engaging in behavior to include lying or spreading false rumors that purposely defame the character of an employee, the public or the Department.
- Engaging in any behavior or activity prohibited by Administrative Directives 2.1, Equal Employment Opportunity and Affirmative Action and 2.2, Sexual Harassment.
- Engaging in retaliation, coercion, intimidation, harassment, threats or discrimination against any employee.
- Conveying or possessing the following in a correctional facility unless authorized in writing by the Unit Administrator or higher authority:
  - a) any personal electronic wireless communication device (to include, but not limited to, a cell phone, pager, blackberry device, personal digital assistant (PDA));
  - b) any audio recording or playback device (to include, but not limited to, a radio, tape/CD player, iPod or MP3 player);
 or,
  - c) any photographic/video recording or playback device (to include, but not limited to, a television, DVD player, iPod, MP3 player, or electronic/video game).

### **SUPERVISION OF FAMILY MEMBERS**

An employee shall not be employed in any position that places the employee above or under the chain of command or possible supervision of any immediate family member as defined in AD 2.17, nor shall the employee be placed above or under the chain of command or possible supervision of any immediate family member of the employee's spouse or cohabitant. Such relationships must be reported by the family member of higher rank, in writing, to the Unit Administrator. A relationship between family members who are not immediate family as defined in AD 2.17, may preclude placement of an employee in a chain of command. Such relationships shall be evaluated by the appropriate Division Head on a case by case basis.

### **STAFF RELATIONSHIPS**

- A. Supervisor/Employee Relationships. Any supervisor or manager who becomes romantically or intimately involved with a Department employee in the chain of command must report such relationship so that the Department can take appropriate actions to ensure assignments do not result in a conflict of interest or possible supervision. The supervisor or manager involved in the relationship must report such relationship, in writing, to the Unit Administrator. Failure to do so shall result in discipline.
- B. Employee/Employee Relationships. Employees who become romantically or intimately involved with one another shall be required to maintain a professional demeanor while on duty or on state property. It shall be the employees' responsibility to ensure said relationship does not affect their ability to carry out the duties and responsibilities of their respective positions.
- C. Outside Business Relationships. An employee who owns or runs an outside business shall be prohibited from employing any supervisor or subordinate in his/her chain-of-command. Conversely, an employee shall be prohibited from working for any supervisor or subordinate in his/her chain-of-command who owns or runs an outside business.

### **REPORTING CODE VIOLATIONS**

Each employee shall report to a supervisor or appropriate personnel any policy violation or breach of professional conduct involving the public, employees or inmates under the jurisdiction of the Department of Correction.

### **EXCEPTIONS**

Any exception to the provisions of this directive requires the prior written approval of the Commissioner of Correction.

# **APPENDIX I: MEMORANDUM ON STAFF-INMATE RELATIONSHIPS**

*For the most current information/ Administrative Directive, please go to: <http://www.ct.gov/doc/LIB/doc/PDF/AD/ad0217.pdf>*

This memorandum is being issued to confirm and clarify, the Department's policy regarding relationships between staff and inmates or individuals under the Department's supervision. The Department encourages respect for the dignity and constitutional rights of persons committed to its custody or supervision. The Department also expects that all relationships between staff and inmates or offenders will remain respectful and professional, and will not compromise the integrity of the individuals or the Department. Therefore, the Department will not permit or tolerate personal or social relationships between its staff while they are employed and those incarcerated or under departmental supervision.

When professionalism is not maintained, the security of our facilities is jeopardized, and individual judgment inevitably is impaired. Thus, the Department will scrutinize and investigate relationships that appear inappropriate.

The following will be deemed inappropriate:

- Any sexual contact between staff and inmates or people under the Department's supervision.
- Becoming personally involved in an inmate's private or family matters outside regular professional duties.
- Doing special favors for inmates outside regular professional duties.
- Discussing with an inmate any matter pertaining to the inmate's crimes or the crimes of other inmates, except as required pursuant to official business.
- Discussing with an inmate the personal or business matters of other staff.
- Discussing the security operations of a facility with an inmate that could result in a breach of security.
- Enforcing facility rules inconsistently to favor an inmate or group of inmates.
- Having work done by an inmate(s) without authorization.

The Department recognizes that a relationship may exist before an individual is committed to the Department's custody or supervision. In such a case, the employee must immediately report the relationship to the warden or unit head. These relationships include staff and inmates not located in the same facility, and offenders living in the community.

When an inmate personally known to an employee is transferred to the employee's facility, or is released to the community and the Department still supervises the offender, the employee must immediately contact the warden or unit head, and must avoid contact with the person unless specifically authorized in writing by the warden or unit head.

## **APPENDIX J: POLICY ON ETHICAL CONDUCT**

Ethical conduct is important in your relationship with the public, agencies and contractors. You represent the state in business dealings and hold a position of trust with grave responsibilities that require the highest ethical standards. Standards that may be acceptable in the private business world or other governmental jurisdictions are not necessarily acceptable as an employee of the Department. The following provisions apply to you as an employee:

- You may not individually or as a member of a group, directly or indirectly accept or solicit a gift or gratuity from a person or organization that has had, currently has, or may have a relationship with the agency. "Gift or gratuity" refers to any object or payment not offered to the public at large, such as a meal or a bottle of liquor. Social gifts distributed among coworkers, supervisors or subordinates for birthdays, holidays or special occasions are permitted—if under \$50. Avoid a situation that could lead to being found in a conflict of interest or that may give that appearance. When in doubt, consult the human resources unit.
- The acceptance of an object may not fall within the provisions of the code of ethics when the value of the gift or gratuity offered to the public at large is of little or no consequence, such as a pencil, ball point pen and similar giveaway.
- Vendors may assist you in visiting their sites, in or out of state, for educational purposes or technical training, but the trips must have been specified as part of a procurement or contract documentation. You must receive prior travel authorization from the Department even when there is no cost to the state. Other official visits to vendor sites must be at the state's expense, unless approved by your unit administrator and the human resources unit.
- You may not use or distribute state information or use state equipment or materials for other than state business. Direct your questions regarding freedom-of-information regulations to the Public Information Unit; telephone 860-692-7780.
- You may not allow personal business or other obligations to take precedence over any responsibility of this agency. You are not prohibited from holding a professional license or using it outside of state employment, unless specified otherwise by agency policy. Avoid a conflict or interest or the appearance of it. Seek clarification from your supervisor or the human resources unit. Supervisors may use discretion when enforcing these provisions.

- You may not accept employment with a consultant, contractor, appraiser or other individual or organization under contract or agreement with the Department. You also may not have a direct or indirect financial interest in a business, firm or enterprise doing business with the Department that could influence or conflict with your duties. The “financial interest” reference in this provision is not intended to apply if you own less than 1 percent of the stock of a publicly-owned corporation (to a maximum of \$5,000).
- If you are a relative of the commissioner or a deputy commissioner of the agency, you are ineligible for appointment, employment or promotion to a position over which that commissioner exercises jurisdiction. Though a relative is not prohibited from seeking or accepting employment with the agency, you as an employee may not use your position or influence to help that relative gain employment, and are not permitted to directly or functionally supervise that relative. The term “relative” means father, mother, son, daughter, brother, sister, uncle, aunt, first cousin, nephew, niece, wife, husband, grandparent, father-in-law, mother-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, half brother or half sister. If you sign a document that financially benefits a relative, such as a personnel form or performance appraisal, you may violate the Code of Ethics.
- You may not indirectly or directly use your official authority to coerce command or require another state employee to improperly obtain an appointment to a position in state service or to act in violation of state personnel rules or regulations regarding appointments and promotions.
- If you seek or hold a public office, as outlined in Sec. 5-266a of the Connecticut General Statutes, you must notify your supervisor in writing, and indicate the term of your office. Copies of this notification must be sent to your unit administrator and the human resources unit.
- You will neither engage in partisan political activities while on state time nor use state materials or equipment for the purpose of influencing a political election.
- If your principal employment is financed in whole or part by loans or grants from the federal government or a federal agency you may be covered by the provisions of a federal law on political activities—the Hatch Act—and may be subject to the act while on vacation leave, sick leave, leave without pay or personal leave.

As a state employee funded by the federal government or a federal agency and subject to the provisions of the Hatch Act, you may:

- Express opinions on political subjects and candidates.
- Take an active part in political management or campaigns.
- Run for an office in a political party.

As a state employee funded by the federal government or a federal agency and subject to the provisions of the Hatch Act, you may not:

- Use your official authority or influence to interfere with or affect a nomination for office or the result of an election.
- Directly or indirectly coerce, attempt to coerce, command or advise a state or local official or employee to pay, lend or contribute anything of value to a political party, committee, organization, agency or person for political purposes.
- Run for public elective office in a partisan election.

Only candidacy for office is prohibited, not the holding of an office. If you hold elective office when appointed to a covered state position, you may continue to serve but may not be a candidate for re-election in a partisan election. Likewise, you may accept an appointment to fill a vacancy in an elective office while concurrently serving in a covered position.

You must notify your supervisor of this situation in writing, and it must include your term of office. Copies of the notification will be sent to your unit administrator and the human resources unit. The Department will supply a copy of this policy to all vendors and contractors doing business with the agency.

## **APPENDIX K: CODE OF ETHICS FOR PUBLIC OFFICIALS AND STATE EMPLOYEES**

*For the most current information, please go to: <http://www.ct.gov/ethics>*

A summary of the main points of the code (Sec. 1-79 through Sec. 1-90 of Connecticut General Statutes) follows. For information about the code, write to the Ethics Commission, 97 Elm St., Hartford, CT 06106, or telephone 860-566-4472.

### **WHO MUST COMPLY**

State officials and employees, as well as those in quasi-public agencies—except judges—must comply with the code. Candidates for state office and former public officials and state employees must comply with some of its provisions.

## STANDARDS SET BY THE CODE

The standards contained in Sec. 1-84 through Sec. 1-86 of the Connecticut General Statutes prevent you from using your public position or authority, or confidential information gained in state service for personal or financial benefit.

The principal provisions of Sec. 1-84 prohibit you as a public official or state employee from:

- Accepting outside employment that will impair your independence of judgment or require or induce you to disclose confidential information gained in state service [Sec. 1-84(B)].
- Using your public position or the confidential information you gained in state service for financial benefit, for family benefit or to benefit an associated business [Sec. 1-84(c)].
- Representing another for compensation or being a member of a sole proprietorship, partnership, association or professional corporation representing a client for compensation before the Banking Department, Claims Commissioner, Commission on Hospitals and Health Care, Connecticut Real Estate Commission, Connecticut Siting Council, Department of Environmental Protection, Department of Liquor Control, Department of Motor Vehicles, Department of Public Utility Control, Division of Special Revenue, Gaming Policy Board or State Insurance Purchasing Board. Commissioners or board members who receive no compensation other than per diem or expenses, and teaching or research employees of public institutions of higher education are exempted if their actions are not otherwise in violation of the code [Sec. 1-84(D)].
- Accepting a gift with an aggregate value of \$50 or more during a calendar year from: a registered lobbyist or the representative of a lobbyist, or a person doing business with the agency, (2) seeking to do business with it, directly regulated by it, or having a financial interest affected by your performance. This limitation also applies to your immediate family and your staff.
- Entering into contracts of \$100 or more with the state unless a contract has been awarded through an open and public process. The ban extends to your immediate family and associated businesses, but exempts public officials who receive no compensation except per diem or expenses, unless they have control over the subject matter of a contract [Sec. 1-84(I)].
- Soliciting or accepting anything of value based on an understanding that your official actions will be influenced. The prohibition also applies to candidates and to anyone offering or giving a thing of value [Sec. 1-84(F)].
- Accepting a fee or honorarium for a giving a speech, writing an article, or appearing at an event in your official capacity. Accepting necessary expenses is permissible.

Sec. 1-85 and Sec. 1-86 outline a conflict of interest, a situation where your financial interest or that of your family or an associated business will be affected by an official action you are required to take.

Sec. 1-85: *SUBSTANTIAL CONFLICT*: As a public or elected official, or state employee, you may not take an official action that will result in direct monetary gain for you, your spouse or dependent child or an associated business unless the benefit is no greater than that for any other member of an affected profession, occupation or group. You may be required to file a statement regarding the conflict.

SEC. 1-86. When the expected benefit to you, your family or associated business will be no greater than that of any other member of the affected profession, occupation, or group:

- You may act without restriction—if an elected official.
- You must be excused on request or prepare a written statement describing the potential conflict and why you can act fairly, objectively and in the public interest—if a public official appointed to a regulatory agency. The statement will be placed in your record; a copy will be sent to the Ethics Commission.
- When a potential or substantial conflict exists, you must prepare a written statement describing the conflict and deliver it to your supervisor—if an official or employee. If you have no immediate superior, deliver the statement to the Ethics Commission.

## FINANCIAL DISCLOSURE

Under Sec. 1-83, if you occupy a senior position in the legislative or executive branch of state government or with one of the state's quasi-public agencies, you must annually, by May 1, file a financial interests statement with the Ethics Commission disclosing the financial interests you held during the previous year. You do not need to report payments or benefits that total less than \$100. If you do not file the statement, your acceptance of a fee or honorarium offered as a result of your official position is a violation of the use of office provision in Sec. 1-84(c).

## ENFORCEMENT PROCEDURES AND PENALTIES

A member of the public or an Ethics Commission attorney may file a complaint if they believe that you have violated the code. A confidential staff evaluation generally will precede a complaint. A two-stage process follows: an investigation and a probable cause hearing, and a public hearing to determine if the code has been violated. At any stage of the process you and the commission may negotiate a settlement.

After a finding of violation or your admission, the commission may order you to comply with the code, file a report or statement, or pay a civil penalty of as much as \$2,000 per violation. If you fail to file the required report or statement, the commission may impose a civil penalty of as much as \$10 per day. The total penalty for a single violation may not exceed \$2,000.

If the commission concludes that your violation was intentional, it may refer the matter to the Office of the Chief State’s Attorney for action. An intentional violation of the code is a misdemeanor, punishable by a fine as large as \$2,000 and a jail term of as long as one year, or both.

The Office of the Attorney General may sue you for as much as three times the economic gain you received by knowingly committing or profiting from a violation of the code.

#### **PROVISIONS APPLICABLE TO THOSE WHO HAVE LEFT STATE SERVICE OR A QUASI-PUBLIC AGENCY**

- You may not disclose or use confidential information gained in public service for the financial benefit of anyone.
- You may not represent anyone (other than the state) concerning a matter in which you substantially participated while in state service and in which the state has a substantial interest.
- For one year after leaving state service, you may not represent anyone (other than the state) for compensation before the agency in which you were employed at the time you left.
- If you substantially participated in a state contract or supervised the negotiation of one valued at \$50,000 or more, you may not accept employment with a party to that contract (other than the state) within one year of its signing.
- If you served in a decision-making or supervisory position with the Commission on Hospitals and Health Care, Connecticut Siting Council, Department of Banking, Department of Liquor Control, Department of Public Utility Control, Gaming Policy Board, Insurance Department, Office of Consumer Council or Special Revenue Division, you may not seek or accept employment with any business subject to regulation by the agency you left. If you serve in an ex-official role with any of these agencies— required by statute to represent a regulated industry or permitted to have an affiliation with a regulated industry—you are exempted from this provision.

## **APPENDIX L: IMPROPER USE OF A FIREARM**

The inappropriate display or wrongful use of a firearm—on or off duty—is unacceptable behavior for an employee of the Department. It is a serious matter, with great potential for injury or death.

Such an act—in anger, to intimidate, in a joking manner, or during horseplay, for example—will be considered an act of misconduct, which may result in dismissal from state service. This is further meant to include inappropriate use of both personal and state owned firearms.

## **APPENDIX M: IMPROPER USE OF A POSITION OR OFFICIAL ITEMS**

Administrative Directive 2.17 (5.B.19) states that employees shall not use their positions, uniforms, identification cards or badges in any improper or unauthorized manner for their personal advantage or the advantage of another. Such improper or unauthorized behavior can have a major impact because the Department is a public safety agency, and association with this agency conveys the appearance of police authority.

Thus, it is imperative that neither your position nor any of your official items be used for an unauthorized purpose in the community. Examples of such usage include exhibiting your badge or identification card to avoid adverse police action, using your badge or uniform to gain information or a benefit, or wearing your uniform when endorsing or opposing a political candidate.

## **APPENDIX N: ADMINISTRATIVE DIRECTIVE 2.25: MRSA PREVENTION AND MANAGEMENT PROTOCOLS FOR EMPLOYEES**

*For the most current information/ Administrative Directive, please go to: <http://www.ct.gov/doc/LIB/doc/PDF/AD/ad0225.pdf>*

### **POLICY**

The Department of Correction (DOC) shall strive to protect the health of employees through training and the implementation of procedures designed to minimize possible health risks associated with MRSA.

## DEFINITIONS

**METHICILLIN-RESISTANT *STAPHYLOCOCCUS AUREUS* (MRSA):** A type of bacteria that is resistant to certain antibiotics such as all penicillins, including methicillin. MRSA usually manifests itself as a skin infection such as boils, and can occur in otherwise healthy people.

**STANDARD/UNIVERSAL PRECAUTIONS:** Precautionary measures based on the principle that all blood, body fluids, secretions, excretions (except sweat), non-intact skin and mucous membranes may contain transmissible infectious agents.

## EMPLOYEE TRAINING, AWARENESS AND REFERENCE

**EMPLOYEE TRAINING:** All employees shall receive instruction on infectious diseases during pre- and in-service training in accordance with Administrative Directive 2.7, Training and Staff Development. The Director of Training and Staff Development in collaboration with the Director of Health and Addiction Services shall develop and update as necessary a lesson plan regarding infectious diseases.

**EMPLOYEE AWARENESS:** The Unit Administrator or designee shall ensure that signage stressing the importance of hand washing is posted in prominent locations throughout the facility/unit.

## METHICILLIN-RESISTANT *STAPHYLOCOCCUS AUREUS* PREVENTION MEASURES

**KNOW THE FACTS.** Each Unit Administrator shall post in prominent areas of each facility/unit Attachment A, MRSA Fact Sheet for review by employees.

**ADHERE TO STANDARD/ UNIVERSAL PRECAUTION PROTOCOLS.** Standard/Universal precautions shall apply to ALL individuals regardless of suspected or confirmed infection status. Observance of precautionary measures shall not be limited to individuals but may include equipment or items that may have become contaminated by an infectious substance.

### IMPLEMENT PERSONAL PRECAUTIONARY MEASURES:

- Wash hands thoroughly and frequently with soap and running water for a minimum of 20 seconds
- Use hand sanitizer when soap and water are not available for hand washing
- Do *NOT* touch mucous membranes of the mouth, nose and eyes
- Avoid contact with other individual's wounds and/ or bandages
- Avoid sharing personal items
- Wear protective gloves whenever possible during contact with inmates with non-intact skin

**PREVENT THE SPREAD OF CONTAGION.** If an employee has a MRSA infection, the employee can prevent the spread to others by covering the wound, washing hands thoroughly and not sharing personal items.

**BE AWARE OF THE ENVIRONMENT.** If an employee observes an inmate with, or an inmate reports any of the following: open draining wound(s), abscess(es), visible sore(s) or wound(s), boils, insect/ spider bites, other skin infections and or clothing/ linen heavily soiled drainage; the employee shall promptly advise the Shift Commander or designee and the Health Services Unit of the situation. The Health Services Unit shall assess the inmate and implement the appropriate treatment and/or control measures.

## REPORTING EXPOSURE TO INFECTIOUS AGENTS

An employee who believes that he or she has come into direct contact with an infectious agent shall promptly decontaminate (i.e., wash, rinse, flush, remove contaminated clothing (if needed) and/or shower (if requested)) and immediately notify the Shift Commander or designee of the potential exposure.