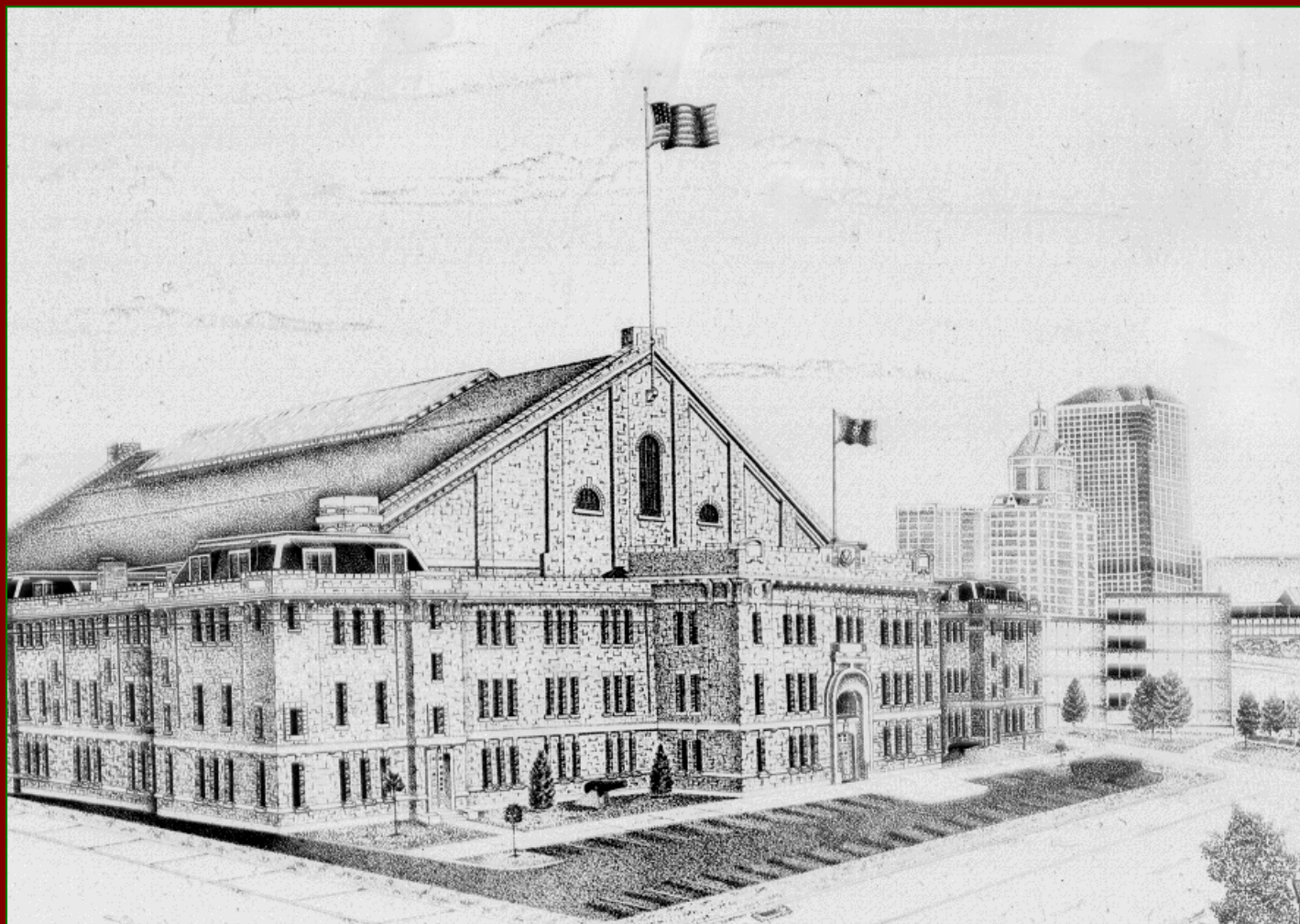




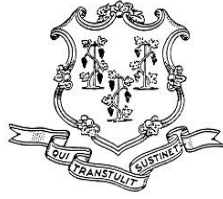
# State of Connecticut Military Department Employee Handbook



June, 2015

*An Affirmative Action/Equal Employment Opportunity Employer*

**STATE OF CONNECTICUT  
MILITARY DEPARTMENT  
EMPLOYEE HANDBOOK**



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**STATE OF CONNECTICUT  
MILITARY DEPARTMENT**

**EMPLOYEE  
HANDBOOK**

Anthony Lewis  
Human Resources Manager  
June 2015

## **I. INTRODUCTION**

Welcome to the Military Department! As a new employee, we're sure that you have many questions regarding our agency, our policies, and the terms and conditions of your employment. Hopefully, this handbook will provide answers to most of these questions.

This handbook is designed to serve as a general reference manual during your employment with the Military Department. You are encouraged to refer to it any time you have questions regarding your employment.

The handbook is not intended to be a definitive source of information regarding the terms and conditions of your employment. Neither is it intended to extend any benefits not provided in the State Personnel Rules and Regulations. Where there is a conflict your collective bargaining agreement or personnel regulations prevail.

The Merit System, as will be explained in more detail later in this handbook, governs how you are appointed and promoted within State service. It is defined by an extensive set of related State statutes (collectively known as the "State Personnel Act"), regulations, and policies.

As will also be explained in greater depth later in this handbook, those terms and conditions of employment which are not regulated by the State Merit System are governed by the collective bargaining process (for non-exempt employees). Although each of the union contracts varies somewhat regarding the terms and conditions of employment for covered employees, there are substantial similarities.

Employees are urged, however, to consult their union contract for definitive information regarding the terms and conditions of their employment. The union contracts are periodically renegotiated resulting in changes to some of the items, which are covered in this handbook. The union contract is the most detailed up-to-date source of information on most of the items covered in this handbook. Wherever the contract conflicts with information presented in this handbook, the contract takes precedence.

The terms and conditions of employment for exempt (managerial and confidential) employees are governed by a combination of State Statutes, Regulations, and Management Personnel Policies. Managerial employees are urged to refer to the State Managers' Handbook for definitive information regarding their terms and conditions of employment.

If you have any questions, please contact Anthony Lewis, Human Resources Manager of the Human Resources Office at 860-548-3248 or via email [anthony.lewis@ct.gov](mailto:anthony.lewis@ct.gov).

## **II. AGENCY MISSION AND ORGANIZATIONAL STATEMENT**

“THE MILITARY DEPARTMENT’S MISSION IS TO PROTECT LIFE AND PROPERTY AND PRESERVE PEACE, ORDER AND PUBLIC SAFETY. THE PRINCIPLE COMPONENTS OF THE MILITARY DEPARTMENT ARE THE NATIONAL GUARD AND THE STATE MILITIA. IT AUGMENTS STATE AND LOCAL CIVIL AUTHORITIES IN CASE OF EMERGENCIES BEYOND THEIR CAPABILITIES AND PROVIDES ASSISTANCE TO LOCAL AREAS THROUGH COMMUNITY SERVICE PROGRAMS. THE NATIONAL GUARD ALSO PERFORMS ITS FEDERAL MISSION AS THE PRIMARY AUGMENTEE TO THE ACTIVE FEDERAL MILITARY FORCES.”

### **STATUTORY RESPONSIBILITY**

AUTHORITY AND RESPONSIBILITY FOR THE MILITARY DEPARTMENT IS CONTAINED IN TITLE 27 OF THE GENERAL STATUTES. THE DEPARTMENT’S PRINCIPLE PUBLIC RESPONSIBILITY IS TO SERVE AS THE PROTECTOR OF CITIZENS AND THEIR PROPERTY IN TIME OF WAR, INVASION, REBELLION, RIOT OR DISASTER. IT SERVES AS THE MAIN SOURCE FOR THE GOVERNOR IN ENSURING PUBLIC SAFETY IN A VARIETY OF EMERGENCIES. THE BASIS FOR THE MILITARY DEPARTMENT RESTS ON THE FOUNDATION OF THE CITIZEN-SOLDIER SERVING HIS OR HER COMMUNITY.

### **III. MILITARY DEPARTMENT POLICIES and PROCEDURES**



**ADJUTANT GENERAL'S OFFICE  
STATE OF CONNECTICUT  
MILITARY DEPARTMENT  
360 BROAD STREET, HARTFORD, CONNECTICUT 06105-3706**

DANNEL P. MALLOY  
GOVERNOR  
COMMANDER-IN-CHIEF

THADDEUS J. MARTIN  
MAJOR GENERAL  
THE ADJUTANT GENERAL

To: ALL EMPLOYEES  
From: Thaddeus J. Martin, The Adjutant General  
Date: April 15, 2015  
RE: **AFFIRMATIVE ACTION PLAN SUMMARY OF OBJECTIVES**

Each year the Plan contains relevant affirmative action initiatives for the biennial reporting period from January 1<sup>st</sup> to December 31<sup>th</sup>. The Plan is utilized as a tool to assist in the effort and realization of Equal Employment Opportunity ("EEO") and Affirmative Action ("AA") for all individuals, regardless of the following: age, ancestry/alienage, color, civil union status, disability including physical, learning, past or present mental or intellectual, gender/sex, genetic information, gender identity or expression, national origin, prior arrest/criminal record (unless it is for state licensing or employment), race, religious creed, harassment (including pregnancy and/or sexual harassment), sexual orientation, transgender status or workplace hazards to reproductive systems unless the provisions of §46a-60(b), §46a-80(b) or §46a-81(b) of the Connecticut General Statutes are controlling or there is a bona-fide occupational qualification excluding persons in one of the above protected groups.

Included in the Plan are an analysis of the State of CT Military Department's (CMD) work force by race and gender/sex within each occupational category and a comparison of the work force to the availability of these individuals in the relevant labor market area. Where a disparity exists, numerical goals and timetables have been established to assist in achieving parity. CMD will review its employment processes on an ongoing basis to assure that all processes and procedures are administered in accordance with equal employment opportunity and affirmative action guidelines.

All CMD employees will be encouraged to review the Plan and submit comments about the Plan to Anthony Lewis, Human Resources Manager/EEO Designee by phone (860)548-3248, or email [anthony.lewis@ct.gov](mailto:anthony.lewis@ct.gov) by December 31 biennially. Copies of the Affirmative Action Plan will be available for review at the Department's Human Resources Office and on the CMD Website. All relevant EEO Policy Statements that are contained in the Plan will be forwarded and publically posted for review and acknowledgement by all CMD employees and



posted on the CMD's EEO/AA Intranet website. All policy statements are also included in the Military Department Employee Handbook.

CMD will make every good faith effort to achieve the objectives, goals and timetables as set forth in the Affirmative Action Plan and will hold all employees accountable for their responsibilities in helping achieve its objectives.

### **Affirmative Action Plan** **Summary of Objectives**

- 1) Continue to make the Affirmative Action Plan available for review by all employees, employee unions and other interested parties.
- 2) Implementation of Short Term Hiring Goals as outlined in the Affirmative Action Plan.
- 3) Maintain and update lists of minority and women's organizations to increase the availability of a diverse applicant pool.
- 4) Continue the use of open competitive examinations where appropriate, to increase the available minority applicants.
- 5) Continued use of the follow-up process for protected group applicants on Certification Lists who fail to respond to the initial interview letter.
- 6) Invite a diverse pool of candidates in for interviews from Certification Lists to ensure that protected group members are available for selection.
- 7) The Human Resources Manager will continue to review all non-competitive and competitive positions, as they become vacant to determine if they are properly classified. This could improve the promotional and entry-level opportunities available to protected group members if the proper job specification is utilized to match the requirements of the position.
- 8) Implement Program Goals.

## **AFFIRMATIVE ACTION POLICY STATEMENT**

The State of Connecticut Military Department (“CMD”) will ensure that no person is discriminated against or denied the benefits of any activity, program or employment process receiving public funds, in whole or in part on the basis of the factors mentioned below.

### **What is Equal Employment Opportunity?**

"Equal Employment Opportunity" means employment of individuals without consideration of:

Age	Gender Identity or Expression
Ancestry/Alienage Harassment)	Harassment (including Pregnancy and Sexual
Color	Marital Status
Civil Union Status	National Origin
Criminal Record (in state employment and/or licensing)	Previously Opposed Discrimination (Retaliation)
Disability (includes Physical Disability, Learning Disability and/or Intellectual Disability)	Past or Present History of Mental Disability
Gender/Sex	Race
Genetic Information	Religious Creed
	Sexual Orientation
	Transgender Status
	Workplace Hazards to Reproductive Systems

Unless the provisions of §46a-60(b), §46a-80(b) and §46a-81(b) of the Connecticut General Statutes are controlling or if there is a bona fide occupational qualification excluding persons in one of the above protected groups.

Connecticut law prohibits discrimination which affects the employment terms and conditions including, but not limited to:

Recruitment	Benefits
Hiring	Leave/Laying Off
Testing	Training Opportunities
Promotion	Performance Evaluations
Assignments	Demotion
Transfer	Discharge
Salary	Terms & Working Conditions
Referring	Advertising
Classifying	Compensating

It is the policy of CMD to implement the principles of Equal Employment Opportunity (“EEO”) and Affirmative Action (“AA”) by providing employment and advancement opportunities solely on the basis of job-related skills, ability and potential.

### **Prohibited Activity**

Cyber-harassment, is defined as repeated, unsolicited, threatening behavior by a person or group using mobile and/or Internet technology including audio/video or other recording devices with the intent to bother, terrify, intimidate, humiliate, threaten, harass or stalk

someone else because of their protected class basis. The harassment can take place in any electronic environment where communication with others is possible, such as on social networking sites, on message boards, in chat rooms or through [email](#). Just posting a general opinion on a discussion board or in a forum is not considered harassment.

### **Purpose and Need**

Equal Employment Opportunity is the purpose and goal of Affirmative Action under the provisions of §46a-68-75 through §46a-68-114 of the Affirmative Action Regulations of Connecticut State Agencies. The basis of this policy statement for equal employment opportunity is not only because it is the law, but also because it is an essential part of the philosophy of CMD. Employees are invited to review and comment on the Affirmative Action Plan anytime during the Reporting Period.

### **What is Affirmative Action?**

“Affirmative Action” means positive action, undertaken with conviction and effort, to overcome the present effects of past practices, policies or barriers to equal employment opportunity and to achieve the full and fair participation of women, Blacks and Hispanics and any other protected group found to be underutilized in the work force or affected by policies or practices having an adverse impact. It is to achieve the full and fair participation of any protected group found to be underutilized in the work force or affected by policies or practices having an adverse impact. The *purpose* of affirmative action is to secure the full and fair utilization of protected groups in the work force, and the need for such action is measured by any lack of such utilization. CMD recognizes the need to remedy the hiring difficulties experienced by the physically disabled and by many older persons. To this end, program goals for past discrimination, if any, have been established and are described in the Program Goals §46a-68-88 of the Affirmative Action Plan.

The current list of all federal and state constitutional provisions, laws, regulations, guidelines and executive orders that prohibit or outlaw discrimination as provided by the State of Connecticut Commission on Human Rights and Opportunities (“CCHRO”) is included in the plan. Those documents identify women, minorities, disabled persons, older persons and all other protected groups.

### **Steps of the Employment Process with Affirmative Action**

The role of affirmative action in the advertising/recruiting step is to create the largest pool of qualified applicants by expending sufficient resources and exercising creativity to reach likely sources of applicants from protected groups. The role of affirmative action in the testing step is to work with state personnel to insure that all testing procedures are free of adverse impact. Affirmative action and equal employment opportunity *are at all times immediate and necessary agency objectives*. CMD pledges to affirmatively provide services and programs in a fair and impartial manner. It is the goal of CMD to ultimately achieve full utilization of minorities, women, older persons, and the physically disabled and other protected classes within CMD’s work force. EEO Complaints made against the CMD Adjutant General and/or the CMD EEO Designee, will be automatically referred to the State of Connecticut Commission on Human Rights and Opportunities (“CCHRO”) and if appropriate, investigation by the Department of Administrative Services (“DAS”) under §46a-68(b).

I, THADDEUS J. MARTIN, direct all personnel to adhere to this Affirmative Action Policy Statement and to familiarize themselves with the CMD's Affirmative Action Plan. In order to satisfy these lawful obligations, CMD has an Equal Employment Opportunity Designee.

If you have any questions and/or concerns about any employment matters or to obtain more information about this Affirmative Action Policy Statement and/or any other EEO related matters, such as the EEO Discrimination Complaint Procedures; please forward all inquiries by regular mail, electronic mail, fax, and/or telephone contact to:

Anthony Lewis, Human Resources Manager/EEO Designee  
State of Connecticut State of Connecticut Military Department  
360 Broad Street Hartford Amory  
Hartford, Connecticut 06105-3706  
Telephone: (860) 548-3248  
Fax: (860) 548-3218  
Email:anthony.lewis@ct.gov

As the Major General and the Adjutant General and Appointing Authority of the State of Connecticut Military Department, I am committed to achieving the goals within the timetables set forth in the State of Connecticut Military Department Affirmative Action Plan.

THADDEUS J. MARTIN  
MAJOR GENERAL  
THE ADJUTANT GENERAL

## **AMERICANS WITH DISABILITIES ACT POLICY STATEMENT**

The State of Connecticut Military Department (“CMD”) is committed to providing and promoting equal opportunities in all of its activities and services. This commitment includes following the mandates of the Americans with Disabilities Act of 1990 (“ADA”) including the Amendments Act of 2008, a federal law that makes it unlawful to discriminate against a qualified person with a disability in all aspects of the employment process and in the provision of services and benefits. The CMD is also committed to its obligations, as an employer, under the Rehabilitation Act of 1973, as amended and applicable State Disability and Discrimination Constitutional provisions and statutes.

CMD strictly prohibits discrimination on the basis of disability in: admission to, access to, and/or operation of its public programs, services, or activities; and/or its hiring or employment practices.

An individual with a disability is any person who: has an actual physical or mental impairment which substantially limits one or more of that person’s major life activities; and/or has a record of such an impairment; and/or is regarded as having such an impairment; and/or falls within one or more of the disabling conditions protected by the state constitution and statutes.

Further, the CMD will not exclude persons with a disability from participation in any employment program or activity. Accordingly, the CMD will provide access to all of its programs, services and facilities to persons with disabilities in accordance with Title II of the Americans with Disabilities Act.

### **REASONABLE ACCOMMODATIONS (“RA”)**

CMD will provide a reasonable accommodation (“RA”) on the known physical or mental limitations of an otherwise qualified individual with a disability, unless the accommodation would impose an undue hardship to the agency. The CMD will make every rational effort to determine and provide the appropriate reasonable accommodation to a qualified individual upon request. CMD, in its discretion, may require the individual to provide additional information about his or her known disability and/or limitation(s) and the need for a reasonable accommodation. The ADA Policy Statement does not require the CMD to take any action that would fundamentally alter the nature of its programs or services, or impose an undue financial or administrative hardship.

### **How to request a reasonable accommodation:**

In connection with current employment at CMD or the interview process: Qualified employees or applicants with disabilities may request a reasonable accommodation in order to perform the essential functions of their jobs and/or to gain access to the hiring process. Such requests should be initially referred to the CMD’s Office of Human Resources. If you are unable to submit the initial request to the CMD Office of Human Resources, alternate submission sites are the employee’s manager and/or supervisor. A representative from the alternate site will forward the request(s) to the CMD’s Office of Human Resources for appropriate review and handling.

In connection with open competitive examinations: Qualified individuals with a disability who require special testing accommodations 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 associated with the State of Connecticut Military Department (“CMD”). When calling, the individual should be prepared to provide the exam title and number and a description of his or her specific needs.

In connection with other programs, services or activities at CMD: Qualified individuals with a disability who require an auxiliary aid or service for effective communication or a modification of policies or procedures to participate in a program, service, or activity of CMD should contact, the assigned designee, for assistance in coordinating the request for accommodation. The individual should be prepared to provide a description of his or her specific needs and medical release to evaluate your circumstances properly.

### **COMPLAINTS**

EEO Complaints that derive from a Request for a Reasonable Accommodation that is denied and/or the inaccessibility of a CMD program, service, or activity to persons with disabilities are to be filed with the State of Connecticut Commission on Human Rights and Opportunities. EEO Complaints made against the CMD Adjutant General and/or the CMD EEO Designee, will be automatically referred to the State of Connecticut Commission of Human Rights and Opportunities (“CCHRO”) and if appropriate, investigation by the Department of Administrative Services (“DAS”) under §46a-68(b). Advisement on this and other avenues of redress are available to all employees and/or applicants by request through the CMD’s Office of Human Resources.

If you have any questions, concerns, complaints, or requests for additional information regarding the ADA Policy Statement, please forward all inquiries by either regular mail, fax, electronic mail and/or telephone contact to the designated ADA Compliance Coordinator:

Anthony Lewis, Human Resources Manager/ADA Compliance Coordinator  
State of Connecticut State of Connecticut Military Department  
360 Broad Street Hartford Amory  
Hartford, Connecticut 06105-3706  
Telephone: (860) 548-3248  
Fax: (860) 548-3218  
Email:anthony.lewis@ct.gov

Individuals needing any other services from the CMD are invited to make their needs or requests known to the ADA Compliance Coordinator.

THADDEUS J. MARTIN  
MAJOR GENERAL  
THE ADJUTANT GENERAL

## **ANTI-RETALIATION POLICY STATEMENT**

### **Policy Statement**

The State of Connecticut State of Connecticut Military Department (“CMD”) is committed to providing a work environment in which all people are treated with respect and dignity. CMD will not tolerate harassment or retaliation by anyone, including any supervisor, co-worker, vendor, visitor, client, or customer. CMD shall investigate each complaint of retaliation and each reported violation of this policy statement and take appropriate disciplinary action, up to and including termination of employment, implement remedial measures and/or provide resolution.

### **What is prohibited?**

Listed below are examples of *prohibited activity*. However, this list should not be considered to be all inclusive as there may be other sources of protection from retaliation.

- Discriminating against, disciplining or discharging any employee because such employee; 1) is a candidate for office of representative, or senator in the general assembly; 2) holds such office; 3) is a member-elect to such office; or 4) loses time from work in order to perform duties as such representative, senator or member-elect. *Connecticut General Statutes Section 2-3a.*
- Taking or threatening to take any personnel action against any state employee in retaliation for such employee’s disclosure of information to; (A) an employee of the Auditors of Public Accounts, or the Attorney General under the provisions of the whistleblower statutes; (B) an employee of the state agency where the state employee/officer is employed; (C) an employee of a state agency pursuant to a mandated report statute; or (D) in the case of a large state contractor, an employee of the contracting state agency concerning information involving the large state contract. *Connecticut General Statutes Section 4-61dd (b) (1).*
- Taking, or threatening to take any personal action against any state employee or group of state employees in retaliation for the filing of an appeal with the Employees’ Review Board or a grievance. *Connecticut General Statutes Section 5-202.*
- Discharging, disciplining or otherwise penalizing any employee because the employee 1) informs another employee that such other employee is working in, or exposed to a hazardous condition, or 2) refuses in good faith to expose him/herself to a hazardous condition in the workplace provided, (A) the condition causing the employee’s apprehension of death, disease or serious physical harm is of such a nature that a reasonable person, having the knowledge, education, training and experience necessary for the performance of the employee’s job, under the circumstances confronting the employee, would conclude there is a hazardous condition, (B) there is insufficient time, due to the urgency of the situation, to eliminate or abate the hazardous condition through resort to regular statutory enforcement procedures, (C) the employee notifies the employer of the hazardous condition and asks the employer to correct, or abate the hazardous condition and (D) the employer is unable, or refuses to correct, or abate such condition. No employee shall be discharged, disciplined, or otherwise penalized

while a hazardous condition continues to exist, or in the process of being corrected, or abated. A hazardous condition for purposes of this statute means a condition which, (A) causes or creates a substantial risk of death, disease, or serious physical harm, whether imminent or as result of long-term exposure, **and which is beyond the ordinary expected risks inherent in a job** (i.e. beyond the ordinary risks expected for law enforcement officers) after all feasible safety and health precautions have been taken, and (B) results from the employer's violation of applicable safety and health standards established under any federal, state and local laws and regulations, any collective bargaining agreements and any industry codes. **Connecticut General Statutes Section 31-40t.**

- Discharging, disciplining or otherwise penalizing any employee because the employee, or a person acting on behalf of the employee, reports, verbally, or in writing, a violation, or a suspected violation of any state or federal law, or regulation, or any municipal ordinance, or regulation to a public body, or because an employee is requested by a public body to participate in an investigation, hearing or inquiry held by that public body, or a court action. No municipal employer shall discharge, discipline or other penalize any employee because the employee, or a person acting on behalf of the employee, reports, verbally, or in writing, to a public body concerning the unethical practices, mismanagement, or abuse of authority by such employer. **Connecticut General Statutes Section 31-51m.**
- Subjecting an employee to discipline or discharge on account of the exercise by such employee of the rights guarantees by the First Amendment to the U.S. Constitution, or Sections 3, 4, or 14 of Article First of the State Constitution, provided such activity does not substantially, or materially interfere with the employee's bona fide job performance or the working relationship between the employee and the employer. **Connecticut General Statutes Section 31-51q.**
- Discharging, disciplining, penalizing or in any manner discriminating against any employee because the employee filed a claim, or instituted or caused to be instituted any investigation or proceeding pertaining to state contracts under Part III of Chapter 557 or wages under Chapter 558, or has testified, or is about to testify in any such proceeding or because such employee on behalf of himself or others has exercised any rights afforded by those provisions. **Connecticut General Statutes Section 31-69b.**
- Discharging, disciplining, penalizing or in any manner discriminating against any employee because the employee has filed a unemployment compensation claim, or instituted, or caused to be instituted any proceeding under the unemployment compensation provisions, or has testified, or is about to testify in any such proceeding, or because such employee on behalf of him/herself, or others has exercised any rights afforded by those provisions. **Connecticut General Statutes Section 31-226a.**
- Discharging, disciplining, penalizing, or otherwise discriminating against an employee who has, 1) filed an Occupational Safety and Health Act (OSHA) complaint or caused any proceeding under, or related to the OSHA to be instituted; 2) testified, or is about to testify in any such proceeding, or 3) exercised



- on his, or her behalf, or on behalf of others any right under OSHA. *Connecticut General Statutes Section 31-379.*
- Discharging or in any manner discriminating or retaliating against any employee who in good faith makes a complaint to the Victim Advocate or cooperates with the Office of the Victim Advocate in an investigation. *Connecticut General Statutes Section 46a-13e (b).*
  - Discharging or in any manner discriminating, or retaliating against any employee who in good faith makes a complaint to the Child Advocate or cooperates with the Office of the Child Advocate in an investigation. *Connecticut General Statutes Section 46a-13n (b).*
  - Disciplining, suspending, or discharging an employee because of any wage execution against the employee unless the employer is served with more than seven wage executions against the employee in a calendar year. *Connecticut General Statutes Section 52-361a.*
  - Depriving an employee of employment, penalizing, or threatening, or otherwise coercing an employee because the employee 1) obeys a legal subpoena to appear before any court of this state as a witness in any criminal proceeding, 2) attends a court proceeding, or participates in a police investigation related to a criminal case in which the employee is a crime victim; 3) a restraining order is issued on the employee's behalf pursuant to section 46b-15; or 4) a protective order has been issued on the employee's behalf by a court of this state or another state and such out of state court order is registered in Connecticut. *Connecticut General Statutes Section 54-85b.*
  - Depriving an employee of employment, or threatening, or coercing such employee because the employee, as a parent, spouse, child, or sibling of a victim of homicide, or as a person designated by the victim pursuant to section 1-56r, attends court proceedings with respect to the criminal case of the person, or persons charged with committing the crime that resulted in the death of the victim. *Connecticut General Statutes Section 54-85d.*
  - Anti-retaliation protections are also provided under the Connecticut Fair Employment Practices Act (**Connecticut General Statutes Section 46a-51 et seq.**) and federal law (**Title VII of the Civil Rights Act of 1964, the Age Discrimination in Employment Act, the American with Disabilities Act of 1990 including the Amendments Act of 2008**) which prohibit retaliation against an employee because he/she has either opposed an unlawful employment practice, or made a charge, testified, assisted or participated in an investigation, or proceeding under these laws; and the First Amendment to the United States Constitution which prohibits retaliation against an employee because the employee engaged in speech or activity protected by the First Amendment.

### **Prohibited Activity**

Cyber-harassment, is defined as repeated, unsolicited, threatening behavior by a person or group using mobile and/or Internet technology including audio/video or other recording devices with the intent to bother, terrify, intimidate, humiliate, threaten, harass or stalk someone else because of their protected class basis. The harassment can take place in

any electronic environment where communication with others is possible, such as on social networking sites, on message boards, in chat rooms or through email. Just posting a general opinion on a discussion board or in a forum is not considered harassment.

The following are examples of retaliatory conduct that violates this policy statement *when such conduct is taken because the employee has engaged in any of the activities protected under state or federal law*:

- Refusing or threatening to refuse to provide back-up support to an employee in the performance of his/her work duties, including emergencies;
- Tampering with, vandalizing or interfering with an employee's equipment, vehicle, or personal belongings;
- Selectively disciplining an employee, or selectively threatening to impose discipline against an employee;
- Holding an employee to a higher standard of performance than other co-workers;
- Denying the employee training opportunities, favorable transfers, or promotions;
- Refusing to investigate when the employee reports violations of rules, regulations, or orders, or refusing to take corrective action when such violations are found to have occurred; and
- Taking adverse action against an employee who has participated in, or supported the investigation of a complaint of a violation of this policy.

### **Manager or Supervisor Responsibility**

Each CMD manager and/or supervisor has the responsibility to maintain a workplace free of any form of retaliation, and to monitor working conditions in order to detect any violation(s) of this policy statement.

Any CMD manager and/or supervisor who witnesses conduct that violates this policy statement or receives a report of conduct that is alleged to violate this policy statement shall immediately report such conduct to the CMD's Equal Employment Opportunity Designee or the Human Resources Office as soon as feasible. Failure of a CMD manager or supervisor to take action upon witnessing, or receiving a report of retaliation constitutes a violation of the policy statement that could result in disciplinary action up to and including termination.

### **Employee Responsibility**

Any CMD employee who witnesses retaliation or who becomes aware that an employee has been subjected to retaliation should report this to a supervisor, manager, CMD's Human Resources Office and/or the CMD's EEO Designee as soon as feasible and must do so immediately if the conduct jeopardizes the safety, or security of the operation or of personnel.

### **Filing A Complaint**

The CMD strongly encourages anyone who believes that s/he is a victim of retaliation to report such retaliation as soon as it occurs.

The CMD's Human Resources Office may investigate and remedy retaliation that comes to its attention whether, or not an employee has filed a complaint. A jurisdictional assessment will be made by the EEO Designee regarding the complaint.

The following procedures apply to complaints:

A complaint of retaliation shall be made within thirty (30) days of the conduct complained of. The CMD's EEO Designee shall accept and investigate such complaints with a showing of good cause for delay if they allege ongoing or continuous misconduct that has continued by the same alleged Opposing Party(s) within the thirty (30) day period.

If a complaint is received by any CMD personnel, such personnel shall transmit such complaint to the CMD Human Resources Office. Retaliation complaints may also be filed with other agencies which have jurisdiction to investigate and remedy such complaints.

### **Complaint Investigation and Disposition**

The CMD's Human Resources Office shall conduct and complete a fair, objective, comprehensive, and to the extent possible, confidential investigation into each and every complaint of retaliation to the extent provided by law. Upon completion of the investigation, the report shall be forwarded to the CMD Major General, the Adjutant General (or his or her assigned designee) for a determination on appropriate action, where necessary.

Any employee who is found, after investigation, to have violated this policy statement shall be subject to consequences appropriate to the violation up and to including termination.

EEO Complaints made against the CMD Adjutant General and/or the EEO Designee, will be automatically referred to the State of Connecticut Commission on Human Rights and Opportunities ("CCHRO") and if appropriate, investigation by the Department of Administrative Services ("DAS"), under §46a-68(b).

The CMD Major General, the Adjutant General (or his/her assigned designee) may order appropriate measures to remedy conditions that violate this policy. Such remedial measures may include steps necessary to protect the complainant, other employees, and supportive witnesses from retaliation during and after the investigation, including but not limited to: counseling the alleged harasser to refrain from conduct that may be, or perceived to be retaliatory; transferring the alleged harasser; or offering the complainant, where available, an administrative transfer to another facility or location.

If you have any questions, concerns, complaints, or requests for additional information regarding the CMD Anti-Retaliation Policy Statement, please forward all matters by either regular mail, electronic mail, fax and/or telephone contact to the CMD's EEO Designee (or his/her assigned designee):

Anthony Lewis, Human Resources Manager/EEO Designee  
State of Connecticut State of Connecticut Military Department  
360 Broad Street Hartford Amory  
Hartford, Connecticut 06105-3706  
Telephone: (860) 548-3248  
Fax: (860) 548-3218  
Email:anthony.lewis@ct.gov

At any time after the filing of a complaint, the CMD EEO Designee may coordinate with any necessary personnel to address any matters that require immediate action.

THADDEUS J. MARTIN  
MAJOR GENERAL  
THE ADJUTANT GENERAL

## ATTENDANCE POLICY AND PROCEDURE

All employees are expected to limit the use of Sick Leave to legitimate reasons as prescribed by their Collective Bargaining Agreements, State Statute and Regulations; to report to work on time; to report absences as prescribed by the Agency Policy and Procedure; and to perform their duties as regularly scheduled.

**Absenteeism** shall be defined as “a failure to report or to remain at work as scheduled regardless of the reason.”

**Unauthorized Absence** shall be defined as "an employee's failure to report an absence according to the **Absence Policy and Procedure**, or to be absent from work without proper authorization.

Outlined below is the procedure to be followed when reporting **an absence from work**:

- a. All Military Department employees will notify their immediate supervisor, or, in the supervisor's absence, other appropriate supervisory personnel, unless an emergency situation dictates otherwise of their absence from work. **The call to report an absence should be made prior to the beginning of your (employee's) scheduled reporting time to work, but no later than thirty (30) minutes after the (employee's) scheduled start time. Messages shall not be phoned in by third parties such as friends, relatives, etc., or be left with secretarial staff, receptionists, or co-workers.**
- b. All employees are expected to provide appropriate documentation in support of specific absences covered by sick leave in accordance with State Regulations and their specific Collective Bargaining Unit Agreements.
- c. Failure to comply with this Absence Policy and Procedure may have a negative impact on your Service Ratings and may lead to the imposition of progressive discipline.

## BACK BELT POLICY

The purpose of this policy is to insure the health and safety of all Maintenance and Services employees while performing their daily job duties. The wearing of back belts has been demonstrated to reduce the frequency and severity of back injuries caused by improper lifting and moving techniques. Therefore, it is the Policy of the Military Department that all Maintenance and Services employees wear Back Belts at all times while at work. Each employee will be instructed by their supervisor as to the proper wearing and use of their back belt.

## COMPENSATORY TIME POLICY

### Union Employee

This document serves as the official policy for use of compensatory time for all Military Employees. Bargaining Unit employees whose salary levels exceed those listed in the appropriate collective bargaining unit agreement as listed below are eligible for compensatory time. All other employees will be paid overtime in accordance with the appropriate union contract.

NP-2	Maintenance	Above Salary Grade 25 Step 10
NP-3	Clerical	Above Salary Grade 20 Step 10
NP-5	Protective Services	Above Salary Grade 16 Step 11
P-4	Eng., Scientific & Tech.	Above Salary Grade 24 Step 13
P-5	Admin. & Residual	Above Salary Grade 24 Step 8

Compensatory time for all union employees will be recorded on an hour interval basis. In the event a bargaining unit employee is promoted to a management position, any prior accrued compensatory time must be taken within the guidelines for compensatory time usage by managerial personnel.

### Managers

Agency heads or their designees may grant compensatory time to managers under the following conditions:

1. The manager is involved in a project that requires extra hours of work over the period of one week or longer. Under this situation, compensatory time will accrue on an hour for hour basis with a minimum of three (3) hours recorded during a bi-weekly period.
2. The manager is required to work extra time on a day due to an isolated requirement. Compensatory time will accrue when an additional 3 hours of extra work has been completed.

### **Compensatory Time Usage**

#### Managers

Compensatory time earned during the twelve months of the calendar year must be used by the end of the succeeding calendar year and cannot be carried forward.

#### Union Employees

Compensatory time earned between January 1<sup>st</sup> and June 30<sup>th</sup> shall be utilized by December 31<sup>st</sup> of that year. Time earned between July 1<sup>st</sup> and December 31<sup>st</sup> must be used by June 30<sup>th</sup> of the following year.

#### **Note:**

- A. Union employees must be authorized to work the compensatory time by their supervisor, for managers by the agency head or his designee.
- B. The compensatory time must be recorded on the employee's time sheet with a written explanation in the remarks section.
- C. In no event will compensatory time be used for additional compensation.

## **CREDIT CARD USE POLICY**

### **Scope of this Policy**

This statewide policy relates to the use of any and all gasoline cards, telephone calling cards, purchasing cards (“P-Cards”), and other credit cards issued by the State, its agencies, departments or commissions, to state agencies or employees (hereinafter referred to collectively as “State Cards”).

State Cards are to be used in conjunction with current state contracts, and with specific agency purchasing policies. Agency policies and procedures with regard to the use of State Cards may be stricter than the guidelines outlined below; however, to the extent that any agency policy or procedure conflicts with this policy, the stricter policy shall govern.

### **Acceptable Uses, Limits and Procedure**

State Cards shall be used solely for official state business. Therefore, State Cards shall not be used for personal or private business purchases.

State Cards shall be issued only to individuals who have appropriate purchasing authority. Authorized use of State Cards shall be limited to the person whose name appears on the face of the State Card, or who is specifically authorized by the agency head to use the Card. State Cards shall not be loaned to other individuals.

Each agency and state employee receiving a State Card shall be bound by the limits, policies, and procedures outlined in The State of Connecticut Purchasing Card Program Cardholder Work Rules and the Agency Purchasing Card Coordinator Manual, as they may be amended or revised from time to time. Any and all exceptions to these rules and limits must be approved and documented by the Office of the State Comptroller and the Department of Administrative Services.

Intentional misuse or fraudulent abuse of any State Card may result in disciplinary action, up to and including dismissal, referral to the State of Connecticut Ethics Commission, and/or criminal sanctions. In addition, the authorized holder of the State Card shall promptly reimburse the state for any unacceptable purchases.

1. **P-Cards** - distributed to the agencies under a program co-sponsored by the Department of Administrative Services and the Office of the State Comptroller may be used for approved state purchases as prescribed by individual agencies.

2. **Gasoline Credit Cards** - issued to state employees may only be used to refuel assigned state vehicles pursuant to the policy below. In no event shall state-issued gasoline credit cards be used to refuel personal vehicles.

State vehicles shall be fueled at state-owned stations throughout Connecticut, except when an employee on agency business is unable to obtain fuel at a state-owned station because he or she is:

- (1) working after-hours;
- (2) in an area of the state that is not served by a state-owned station; or
- (3) prevented from doing so because of an emergency or other unforeseeable circumstance.

Under such circumstances, the employee shall be permitted to use a state-issued gasoline credit card to obtain fuel. Under no circumstances shall a state-issued gasoline credit card be used to purchase food, beverages, cigarettes or other personal items.

**3. Telephone Calling Cards** - shall be used for official State of Connecticut business only. Each agency and state employee receiving a state telephone calling card shall be bound by the limits, policies, and procedures outlined in telecommunication policies issued by the Bureau of Enterprise Systems & Technology.

**Liability for Payment**

Agencies are liable for all authorized charges made by its employees using State Cards. The agency's accounting unit/business unit is responsible for processing all State Card payments according to the terms of the state contract with the bank issuing the State Card.

In addition to disciplinary action, and possible ethical and criminal sanctions for misuse, individual State Card holders are responsible for repayment of improper charges, and have personal liability for misuse.

The State of Connecticut does not accept liability for the following:

- unauthorized use of State Cards;
- account numbers that are fraudulently used; or
- purchases made with stolen or lost cards that are beyond the maximum limit of \$50 and the maximum length of liability of 24 hours after discovery and reporting of card loss or theft.

**Auditing and Documentation**

All agencies, departments and commissions distributing State Cards shall provide a copy of this policy to each state employee receiving a State Card, and require the employee to acknowledge receipt of the policy by signing.

Agencies and individual State Card holders are responsible for maintaining adequate documentation supporting all State Card purchases. Agencies shall retain such documentation in accordance with the State Librarian's Record Retention Policies. Documentation shall support the business purpose of all transactions made with State Cards, and shall include the following items:

- Copy of this policy, signed by each State Card holder in the agency,
- Copies of order forms, when available,
- Packing slips (for goods received),
- Original cashier receipts or vendor invoices, and
  - User logs, when available.

Agencies shall be responsible for periodically auditing their records to ensure that State Cards are used only by authorized users for official state business.



### **Security**

Agencies shall be responsible for safeguarding State Cards at all times. In that regard, agencies shall ensure that State Cards are kept in accessible but secure locations, and that account numbers on State Cards are not posted or left in conspicuous places. Agencies shall also be responsible for immediately and properly reporting lost or stolen State Cards.

All State Cards shall be returned to the issuing agency, department or commission immediately upon request or upon termination of employment (including retirement).

### **DRUG-FREE WORKPLACE POLICY**

The Military Department is committed to providing a safe work environment and to fostering the well-being and health of its employee(s). That commitment is jeopardized when any Military Department employee uses illegal drugs or alcohol on the job, and comes to work under the influence, or possesses, distributes or sells drugs or alcohol in the workplace. Therefore, the Department prohibits on-the-job use of illegal drugs or alcohol, coming to work under the influence of illegal drugs or alcohol, and possessing or distributing alcohol or drugs on the Department's premises. Violations of this policy will result in disciplinary action up to, and including dismissal.

Employee(s) is/are encouraged to seek assistance from the Employee Assistance Program or a community resource on a voluntary basis for substance abuse related problems. Management is encouraged to refer the employee(s) with suspected drug problems to the Human Resources Office for assistance. However, the employee(s) will still be expected to correct behavioral and performance problems, which caused the referral. In handling suspected substance abuse problems, it is the responsibility of Military Department managers and supervisors to document problems with on the job performance or behavior. In addition, the employee(s) must be informed that professional assistance for a personal problem is available through referrals by our Employee Assistance Coordinator.

The goal of this policy is to balance our respect for individuals with the need to maintain a safe, productive and drug free environment. The intent of this policy is to offer a helping hand to those who need it, while sending a clear message that the illegal use of drugs and alcohol is incompatible with employment at the Military Department.

### **ETHICS COMPLIANCE POLICY**

All state officials and employees (except judges) are covered by Part I of the Code of Ethics for Public Officials (henceforth, Part I, or the Code). It is important to remember that certain provisions of the Code also apply to public officials and state employees after they leave state service. As you read through this guide, be aware that these laws were enacted to prevent individuals from using their public position or authority for personal or financial benefit. Lobbyists are covered by Part II of the Code of Ethics.

Each state agency also has its own ethics policy, which may be more restrictive than what follows, particularly in connection with which benefits a lobbyist, or a person regulated by, doing or seeking to do business with a state agency may provide to public officials and state employees. Be sure to obtain a copy of your state agency's policy.

## **GIFTS**

For a public official or state employee, there are rules in place regarding the acceptance of gifts from both restricted and non-restricted donors. In general, you may not accept gifts from restricted donors.

A gift is defined as anything of value that you (or in certain circumstances a member of your family) directly and personally receive *unless* you provide consideration of equal or greater value (e.g., pay for the item). Conn. Gen. Stat. § 1-79 (e).

### **Restricted Donors**

Restricted donors include:

- Registered lobbyists (a list is available on the OSE's website) or a lobbyist's representative;
- Individuals or entities doing business with your state department or agency;
- Individuals or entities seeking to do business with your state department or agency;
- Individuals or entities engaged in activities regulated by your state department or agency; or
- Contractors pre-qualified by the Connecticut Department of Administrative Services (Conn. Gen. Stat. § 4a-100).

### **Gift Exceptions**

There are, however, certain exceptions to this definition of gift. Not all exceptions are covered below; see Conn. Gen. Stat. § 1-79 (e) (1) - (18) for the complete list.

- *Token Items* - Restricted donors such as registered lobbyists may provide you with any item of value that is not more than \$10 (such as a pen, mug, or inexpensive baseball cap), provided that the annual aggregate of such items from a single source is \$50 or less.  
Conn. Gen. Stat. § 1-79 (e) (16).
- *Food and Beverage* - Restricted donors may also provide you with less than \$50 worth of food and beverage in a calendar year provided that the restricted donor or his/her representative is in attendance when you consume the food and/or beverage.  
Conn. Gen. Stat. § 1-79 (e) (9).
- *Training* - Vendors may provide you with training for a product purchased by a state or quasi-public agency provided such training is offered to all customers of that vendor. Conn. Gen. Stat. § 1-79 (e) (17).
- *Gifts to the State* - Restricted donors may provide what are typically referred to as "gifts to the state." These gifts are goods and services provided to a state agency or quasi-public agency for use on state or quasi-public agency property or that support an event, and which facilitate state or quasi-public action or functions. Conn. Gen. Stat. § 1-79 (e) (5).

- *Other Exceptions* - There are a total of 18 separate gift exceptions in the Code. Also exempt from the definition of gift are items such as informational materials germane to state action, ceremonial plaques or awards costing less than \$100, or promotional items, rebates or discounts also available to the general public. See Conn. Gen. Stat. § 1-79 (e) (1) - (18).

### **Major Life Event**

There is a \$1,000 limit on a gift a registered lobbyist gives to you or a member of your family for a major life event. Please note: Registered lobbyists are the only restricted donors who may make use of the "major life event" gift exception.

### **Major Life Event Exceptions**

- Birth or adoption of a child
- Wedding
- Funeral
- Ceremony commemorating induction into religious adulthood
- Retirement from state service

This list of major life events is exhaustive. Regs. Conn. State Agencies § 1-92-53.

### **Non-Restricted Donors**

Two other categories of donors are:

Non-restricted donors giving you something because of who you are in state service.

If a gift-giver does not fall within the definition of a restricted donor, but is nonetheless giving you something because of your public position, you should be aware that a dollar limit exists.

From this type of donor, you may only accept up to \$100 annually from a single source, in addition to any of the items listed in the 18 gift exceptions noted above and set forth in Conn. Gen. Stat. § 1-79 (e) (1) - (18).

Non-restricted donors giving you something that has nothing to do with your state service.

There is no limit as to what you may accept from a non-restricted donor, such as your neighbor of 20 years, or a best friend from kindergarten, who is giving you a gift that has nothing to do with your public position.

This holds true as long as the donor remains non-restricted. Should this individual become a registered lobbyist, for example, the gift provisions regarding restricted donors would apply, regardless of any longstanding personal relationship.

### **Gift Provisions**

*Example: You are in the process of reviewing a bid for work at your agency. The contractor submitting the bid provides you with a gift certificate for \$45 to a popular West Hartford eatery for you to use on your own. You have not*

*previously received anything of value from this individual. Even though the certificate is under the permissible \$50 food and beverage limit, this gift is not allowed because the contractor or his/her representative will not be in attendance while the food and beverage is being consumed.*

### **Gifts Between State Employees**

Advisory Opinion No. 2006-6 interpreted Conn. Gen. Stat. § 1-84 (p). - regarding gifts between supervisors and subordinates in state service. This three-part provision limits gift-giving between certain individuals.

Specifically:

- The provision imposes a monetary limit of \$99.99 for gifts between a public official or state employee and his or her supervisor. This limit is a per-gift not a per-year - amount.
- Individuals subject to this limit may still make use of the major-life-event exception. In other words, supervisors and subordinates are not limited to \$99.99 when giving gifts to each other for major life events. The applicable limit for major life events is \$1,000.
- The provision applies not only to direct supervisors and subordinates, but to any individual up or down the chain of command.

In Advisory Opinion 2007-5 The Board concluded that supervisors and/or subordinates *may not pool* their money to give a collective or group gift valued in excess of the \$99.99 limit. Thus, except in the case of a major life event (which holds a \$1,000 limit), it would be a violation for Supervisor A to accept a gift valued at \$150 from Subordinates X and Y (and for them to give such a gift), even though the individual contributions of X and Y are less than the \$99.99 limit established in Conn. Gen. Stat. § 1-84 (p).

### **Reporting Requirements**

Should you receive anything of value from an entity doing business with, seeking to do business with, or directly regulated by your department or agency, that entity must, within 10 days, give you and the head of your department or agency a written report stating:

- Name of the donor;
- Description of item(s) given;
- Value of such item(s); and
- Total cumulative value of all items to date given to you by that donor during the calendar year.

This helps both you and the regulated donor keep track of the gift exceptions noted above, so that permissible limits are not exceeded. Conn. Gen. Stat. § 1-84 (o).

### **NECESSARY EXPENSES**

Necessary expenses may be received by public officials or state employees *only* if the official or employee, in his/her official capacity, is actively participating in an event (giving a speech or presentation, running a workshop, etc.). Conn. Gen. Stat. §. 1-84 (k).

Necessary expenses can include:

- Travel (coach);
- Lodging (standard cost of room for the night before, of, and immediately following the event);
- Meals; and
- Related conference expenses.

Entertainment costs (tickets to sporting events, golf outings, night clubs, etc.) are *not* necessary expenses.

Necessary expense payments *do not* include payment of expenses for family members or other guests.

Within 30 days of receiving payment or reimbursement of necessary expenses for *lodging or out-of-state travel*, state employees must file an ETH-NE form with the Office of State Ethics (OSE). Conn. Gen. Stat. § 1-96e.

### **Fees and Honoraria**

Public officials and state employees may *not* accept fees and/or honoraria for an article, appearance, speech or participation at an event in their official capacity.

Fees or honoraria for such activities, if offered based solely on expertise and without any regard to official position, may be acceptable. Contact the OSE before receiving or accepting any such payment.

### **CONFLICTS OF INTEREST**

Substantial Conflict of Interest

WHAT IS A "SUBSTANTIAL" CONFLICT OF INTEREST?

A "substantial" conflict of interest exists if a public official or state employee has reason to believe or expect that he or she, his or her spouse, a dependent child, or a business with which he or she is associated will derive a direct monetary gain or suffer a direct monetary loss by virtue of his or her official activity. It does not exist if any benefit or detriment accrues to any such person as a member of a profession, occupation or group to no greater extent than any other member of such profession, occupation or group. Conn. Gen. Stat § 1-85.

"Business with which ...associated" is defined to include any entity through which business for profit or not for profit is conducted in which the public official or state employee, or a member of his or her immediate family, is a director, officer, or holder of significant ownership interest. Note: Unpaid service as an officer or director of a non-profit entity is exempted from the definition of "Business with which ...associated."

## **Potential Conflict of Interest**

### WHAT IS A "POTENTIAL" CONFLICT OF INTEREST?

A "potential" conflict of interest exists if a public official or state employee, in the discharge of his or her official state duties, would be required to take an action that would affect his or her financial interest, or the financial interest of his or her spouse, parent, brother, sister, child, spouse of the child, or a business with which the official or employee is associated. Unlike a "substantial" conflict of interest, there is no requirement that the financial impact be direct or that it affect the individual differently from other members of his or her profession, occupation, or group. However, there still must be a reasonable expectation on the part of the state employee or public official that there will be some financial impact based on his or her actions. A "potential" conflict of interest does not exist if the financial interest is "de minimus" (under \$100) or if the interest is not distinct from that of a substantial segment of the general public (e.g., all taxpayers). Conn. Gen. Stat. §1-86.

## **ETHICS AT WORK**

### Post-State Employment (Revolving Door)

If you are a *former* state employee seeking post-state employment, you should be aware of the Code's revolving-door provisions:

#### Lifetime Bans

You may never disclose any confidential information you learned during the course of your state service for anyone's financial gain.

Conn. Gen. Stat. § 1-84a.

You may never represent anyone other than the state regarding a particular matter in which you were personally or substantially involved while in state service and in which the state has a substantial interest. This prevents side-switching in the midst of on-going state proceedings.

Conn. Gen. Stat. § 1-84b (a).

#### One-Year Bans

- You may not represent your new employer for compensation before your former agency for a period of one year after leaving state service. Conn. Gen. Stat. § 1-84b (b). (See Advisory Opinion No. 2003-3, which provides a limited exception to this provision if you are providing purely technical expertise to help implement a previously-awarded contract. This exception applies to extremely limited circumstances; contact the OSE for guidance.)
- You are prohibited from being hired for a period of one year after you leave state service by a party to a state contract valued at \$50,000 or more if you were substantially involved in, or supervised, the negotiation or award of that contract and it was signed within your last year of state service. Conn. Gen. Stat. § 1-84b (c).

- Employees who held certain specifically-designated positions (with significant decision-making or supervisory responsibility) at certain state regulatory agencies are prohibited from seeking or accepting employment with any business subject to regulation by the individual's agency within one year of leaving the agency. Note that there is an exception for *ex-officio* board or commission members. Conn. Gen. Stat. § 1-84b (c).

### Outside Employment for Public Officials and State Employees

If you are a *current* state employee seeking outside employment, especially from an employer that is regulated by or does business with your agency, you should be aware of the following rules regarding the employment of current state employees.

- You may not accept outside employment that impairs your independence of judgment regarding your state duties, or that encourages you to disclose confidential information learned in your job. Conn. Gen. Stat. § 1-84 (b).
- You may not use your position for your own financial gain, or the gain of your family (spouse, child, child's spouse, parent, brother or sister) or an associated business, however inadvertent that use may be. Conn. Gen. Stat. § 1-84 (c).
- You may not accept employment with an entity that represents others before the following 13 agencies: Department of Banking, the Claims Commissioner, the Office of Health Care Access division within the Department of Public Health, the Insurance Department, the Department of Consumer Protection, the Department of Motor Vehicles, the State Insurance and Risk Management Board, the Department of Energy and Environmental Protection, the Public Utilities Regulatory Authority, the Connecticut Siting Council, the Gaming Policy Board within the Department of Consumer Protection or the Connecticut Real Estate Commission. Conn. Gen. Stat. §1-84 (d).
- You may not utilize state time, materials or personnel in completing tasks for outside employment.

### Other Outside Employment Considerations

Present or former Gaming Policy Board or Division of Special Revenue public officials or employees should be aware of specific provisions relating to their involvement with businesses engaged in Indian gaming activities. See Conn. Gen. Stat. § 1-84b (d) and (e).

In Advisory Opinion 2008-5 - the Citizen's Ethics Advisory Board concluded that it is impermissible, under the Code of Ethics, for a state employee-supervisor to employ a state employee-subordinate in the supervisor's outside business. Likewise, it is impermissible under the Code for a subordinate to employ a supervisor in the subordinate's outside business. Both situations would involve an impermissible impairment of independence of judgment. The Board noted that this prohibition extends to all supervisors and subordinates up and down the chain of command.

## **STATEMENTS OF FINANCIAL INTERESTS**

Statements of Financial Interests ("SFIs") serve as a tool to maximize public confidence in governmental decision making. The policy underlying this requirement has been in effect since the enactment of the Ethics Codes in 1977. An SFI provides a checklist or reminder to the official/employee to be mindful of potential conflicts of interest, and it provides a baseline of information which can be compared to subsequent years for the purpose of determining potential misuse of office for financial gain.

Legislators, as well as certain other public officials and senior state employees, must file SFIs with the OSE by May 1 each year. These statements describe businesses with which you are associated; the category or type (not amount) of all sources of income over \$1,000; securities in excess of \$5,000; real estate holdings; and leases or contracts with the state. A *confidential* portion of the statement requires disclosure of sources of any debts over \$10,000. (The confidentiality of this portion may be waived.) These examples are not exhaustive; refer to Conn. Gen. Stat. §1-831ll for a complete list.

### **Governor Malloy's Standard**

Governor Malloy has established a standard which requires "filing of Annual Statements of Financial Interests by all persons in the Executive Branch and Quasi- Public Agencies who exercise (i) significant policy-making, regulatory or contractual authority; (ii) significant decision-making and/or supervisory responsibility for the review and/or award of State contracts; or (iii) significant decision-making and/or supervisory responsibility over staff that monitor State contracts."

## **ETHICS COMPLIANCE**

### **Ethics Compliance Officers and Ethics Liaisons**

Ethics compliance officers must be appointed within each state agency and quasi- public agency that deals with or plans large state contracts. The main responsibilities of a compliance officer include developing an agency ethics policy as well as training agency employees on the Code, paying attention to any changes in the law as well as provisions specific to state contracting. Conn. Gen. Stat. §1-101rr.

Ethics liaisons must be appointed within each state agency and quasi-public agency. These officers serve as a link between the agency and the Office of State Ethics. Liaisons are responsible for developing agency ethics policies as well as coordinating employee training with the OSE. Conn. Gen. Stat. §1-101rr (b). The Ethics Liaison Officer for the Connecticut Military Department is: Russell Bonaccorso, Jr. Telephone: (860) 524-4968 Email: [russell.bonaccorso@ct.gov](mailto:russell.bonaccorso@ct.gov)

The OSE supports the responsibilities of the above officers by providing in-person training, educational videos or training materials upon request. The OSE also sends a monthly electronic newsletter to each officer that highlights new developments in the law, summarizes new advisory opinions, includes handouts on complex areas of the law and provides answers to frequently-asked questions. All such communications are indexed on the OSE's website, in the "[Ethics Liaison/Compliance Officer Corner](#)."



## Mandatory Reporters

The Code contains mandatory reporting requirements for the following individuals who have "reasonable cause to believe that a person has violated" the Code of Ethics for Public Officials:

- Commissioners and Deputy Commissioners;
- State Agency Heads and Deputy Heads;
- Quasi-public Agency Heads and Deputy Heads; and
- Persons in charge of state agency procurement and contracting.

These designees are required to report a belief that a person has violated the Code of Ethics to the Office of State Ethics. (Note: Ethics compliance officers and liaisons are *not* mandatory reporters.)

## **ETHICS ENFORCEMENT**

### Procedures and Penalties

Enforcement of the Code is initiated by a complaint, filed by the Ethics Enforcement Officer or any member of the public. In most cases, a complaint by the Ethics Enforcement Officer is preceded by a confidential staff evaluation.

A two-stage process follows:

1. Confidential investigation and confidential probable cause hearing; and
2. if probable cause is found, a public hearing to determine if a violation has occurred.

At any stage of this process, the Office of State Ethics and the Respondent may negotiate a settlement.

After a finding or admission of a violation, the Citizen's Ethics Advisory Board ("Board") can order the Respondent to comply with the Code in the future, file any required report or statement, and/or pay a civil penalty.

For failure to file a report, statement, or other information required by the Code, the Board can, after a single hearing, impose a civil penalty of up to \$10 per day, for which the aggregate penalty for any one violation may not exceed \$10,000.

The Office of State Ethics may refer matters to the Chief State's Attorney for criminal prosecution. An intentional violation of the Code is a misdemeanor for the first violation, unless the individual has derived a financial benefit of at least \$1,000. In that case, the violation is a class D felony.

The Attorney General may sue for up to three times the economic gain received through knowingly committing or knowingly profiting from a violation of the Code.

Public officials are encouraged to review the "*Citizen's Guide to Filing a Complaint*," available on the OSE's Web site, for a detailed overview of the complaint process and associated confidentiality provisions.

## **FLEX-TIME POLICY**

The following is a Flex-Time Policy covering all Managerial, Confidential and Administrative and Residual Labor Unit employees of the Military Department. This policy is consistent with the provisions in the Managerial Handbook and the A&R Bargaining Unit Agreement.

**This Flex-Time Policy for Managerial and A&R bargaining unit employees is as follows:**

1. All employees may work during the hours of 6:00 AM. through 7:00 PM daily.
2. All employees must take a lunch break of at least thirty (30) minutes daily between the hours of 11:00 AM. to 2:00 PM
3. All employees are responsible for working 40 hours per week beginning on Friday and ending on Thursday. Any discrepancy in time will be charged to vacation time.
4. No employee shall work more than ten (10) hours in a day.
5. All time sheets must show exact hours worked.

This policy will allow employees flexibility in accomplishing their required job duties. Time worked outside the 6:00 AM through 7:00 PM hours or in excess of 40 hours per week will continue to be treated as overtime or compensatory time under existing practices.

## **FAMILY MEDICAL LEAVE ACT POLICY**

Effective July 1, 1988 Public Act 87-291 established the Family and Medical Leave Program that is incorporated under Section 5-248a of the Connecticut General Statutes. The program provides that each permanent employee, as defined by Connecticut General Statutes, Section 5-196 (s), shall be entitled to 24 weeks of unpaid leave within a two year period upon: the birth or adoption of a child; the serious illness of a child, spouse, or parent; or the serious illness of the employee - this leave is without pay; however, the State continues to pay the employee's health insurance through the duration of the leave.

The 24 weeks of leave may or may not be continuous, but must not exceed an aggregate total of 24 weeks in any two-year period.

This leave is in addition to any paid vacation, sick leave, or paid disability provided under the employees' collective bargaining agreement and CGS 46a-60 subsection 7(a). During the course of the leave seniority, retirement, fringe benefits and other service credits do not accrue. Upon return to work, the employee retains all service credits which the employee had at the commencement of the leave; also, the employee is entitled to the same position that was held at the commencement of the leave, or an equivalent position with equivalent pay. Granting of family or medical leave pursuant to CGS 5-248a is governed by the regulations issued by the Department of Administrative Services and the applicable collective bargaining agreement.

## **FREEDOM OF INFORMATION POLICY**

This document serves as the official Freedom of Information policy for the Military Department. In regarding to the Freedom of Information laws, it is important to accommodate the public and refer them to the appropriate Military Department staff. Therefore, when a member of the public chooses to exercise their rights under the Freedom of Information Act, please immediately telephone **(860) 548-3203 or (860) 548-3248**.

Beware that members of the public may come to an agency in person to examine public documents. In such case, it is important to be courteous and make immediate contact with the names above to determine if the individual may have access to the requested information. Thank you for your cooperation in this matter.

## **HIV/AIDS POLICY**

### **Purpose:**

The purpose of this policy is to provide guidance to employees of the Military Department in dealing with situations involving employees who have, or are perceived to be at risk of acquiring, any of the following:

- Human Immune Deficiency Virus (HIV) Infection or a related condition.
- Acquired Immune Deficiency Syndrome (AIDS)

The term “HIV/AIDS,” as used in the policy, should be understood as encompassing all of the above.

### **Non-Discrimination:**

The Military Department recognizes its obligation to provide a safe and healthy work environment and to assure fair, non-discriminatory treatment of all employees. Therefore, it is the policy of the agency and the Americans with Disabilities Act (ADA) including the Amendments Act of 2008, that individuals with HIV/AIDS are treated with the same compassion and consideration given to any other employee with a health problem or an ADA recognized disease. No person will be treated differently in the workplace as a result of having or being perceived as having HIV/AIDS.

Present or prospective employees will not be tested for the presence of the HIV antibodies in the blood for the purpose of assessing their ability to be employed or continue to be employed at the Military Department.

### **Information and Education:**

Efforts will be made to offer to all Military Department employees’ information about HIV/AIDS which is comprehensive, factual, understandable, direct, age and group appropriate, culturally sensitive and linguistically appropriate. Other HIV/AIDS education will be provided to Military Department employees as appropriate. This information and education can assist employees in lowering their personal risk of becoming infected with HIV. It is also designed to reduce prejudice and discrimination against persons with or perceived to have HIV/AIDS.

It is important to remember that, according to the U.S. Centers for Disease Control, there is no risk of an individual becoming infected with HIV in a workplace such as the Military Department's. Thus, Military Department employees are expected to work with co-workers and any other individuals who have HIV/AIDS. Managers and supervisors should be sensitive to employee concerns about the transmission of HIV in the workplace and assist in informing and educating employees who still have unwarranted fears of exposure to the virus in the workplace. Employees will not be allowed to refuse to work with anyone with HIV/AIDS.

A Military Department employee with HIV/AIDS can continue to work as long as he or she can perform the essential functions of their job. Managers and supervisors will make reasonable accommodations per the HIV/AIDS protocol. This protocol adheres to strict confidentiality practices.

### **INMATE SUPERVISION POLICY**

In accordance with the Connecticut General Statutes section 18-90a, towns municipalities, state agencies etc. may be provided inmate work crews by the Department of Correction whenever possible, to perform work of a public nature. In return for these services, each agency is required to comply with the rules of inmate supervision established by the Department of Correction. The Military Department expects these rules to be adhered to by all of its employees. Failure to abide by the rules established by the Department of Correction can lead to disciplinary action up to and including dismissal.

Each employee who is responsible for the supervision of inmates must attend the training given by the correctional facility at which the inmates are housed. The employee must also sign and adhere to the established rules of supervision provided by that correctional facility.

There will be no inmate supervision differential pay where appropriate under the existing collective bargaining agreement until a signed copy of these rules are received by the Military Department, Human Resources Office. Failure to adhere to this policy can lead to disciplinary action up to and including dismissal.



## State of Connecticut

### *Internet Use of State Systems Policy*

#### **Purpose**

The purpose of this document is to provide common standards for the use of State of Connecticut Executive Branch electronic communications, including but not limited to electronic mail systems (E-mail), the Internet, computers, laptops and related technologies and equipment (herein referred to as "State systems").

The intent of this policy is to provide information concerning the appropriate and inappropriate use of State systems. Examples are included in order to assist readers with the intent of specific sections of this policy. However, the examples contained within this policy do not exhaust all possible uses or misuses.

Please refer to the Addendum containing Frequently Asked Questions for additional information.

#### **Definitions <sup>1</sup>**

**E-mail or electronic mail** refers to the electronic transfer of information typically in the form of electronic messages, memoranda, and attached documents from a sending party to one or more receiving parties via an intermediate telecommunications system. E-mail is the means of sending messages between computers using a computer network. E-mail services, as defined by this policy, refer to the use of state-provided electronic mail systems.

**Internet** refers to a "worldwide system of computer networks - a network of networks in which users at any one computer can, if they have permission, get information from any other computer (and sometimes talk directly to users at other computers). The world-wide web is the most widely used part of the Internet, (often abbreviated "WWW" or called "the Web").

**Intranet** refers to an internal network or website within an organization. The main purpose of an intranet is to share company information and computing resources among employees.

**CTNET** refers to the equipment and services which provide State of Connecticut agencies, affiliates, and authorized users with electronic access to, including but not limited to, the internet and e-mail

<sup>1</sup> Some definitions provided via the <http://whatis.techtarget.com> website

### **Scope of Policy**

This policy covers all State of Connecticut Executive Branch agencies and employees whether permanent or non-permanent, full, or part-time, and all consultants or contracted individuals retained by an Executive Branch agency using State of Connecticut systems (herein referred to as “users”).

This policy does not apply to the Judicial or Legislative Branches of government. However, these branches may consider adopting any or all parts of this policy for use within their own branches.

### **Authority**

In accordance with C.G.S. §4d-2 (c) (1), the Chief Information Officer of BEST is responsible for developing and implementing policies pertaining to information and telecommunication systems for state agencies.

### **Agency Responsibility**

Executive Branch agencies are responsible for providing all users with a copy of this policy, obtaining a signed acknowledgment of receipt from each user, and keeping a copy of the signed acknowledgement on file.

Agencies may establish additional restrictions regarding the use of State systems within their local environments. Should conflict exist between this policy and an agency policy, the more restrictive policy would take precedence.

Distribution of software within or between State agencies may be subject to more restrictive agency computer use policies. When in doubt, users are urged to inquire about all applicable restrictions.

The Human Resources Manager (or person serving in this capacity) within each State agency is responsible for addressing individual employee questions concerning this policy and the appropriate use of State systems. The Office of Labor Relations and the Chief Information Officer of BEST will serve as consultants to agencies in this regard.

### **Ownership of Messages, Data and Documents**

State systems and all information contained therein are State property. Information created, sent, received, accessed or stored using these systems is the property of the State.

### **No Presumption of Privacy**

All activities involving the use of State systems are not personal or private; therefore, users should have no expectation of privacy in the use of these resources. Information stored, created, sent or received via State systems is potentially accessible under the Freedom of Information Act. Pursuant to Public Act 98-142 and the State of

Connecticut's "Electronic Monitoring Notice" the State reserves the right to monitor and/or log all activities without notice. This includes but is not limited to correspondence via e-mail and facsimile. See "Additional Resources" below.

### **User Responsibilities**

As a user, it is important to identify yourself clearly and accurately in all electronic communications. Concealing or misrepresenting your name or affiliation is a serious abuse. Using identifiers of other individuals as your own constitutes fraud. This includes but is not limited to using a computer Logon ID other than the individual User ID authorized. Individuals may not provide their passwords or logon ids to others.

Users should also be mindful that the network is a shared resource and be aware of the impact of their activities on other users. For example, a user with a need to frequently move large files across CTNET should consider scheduling this to occur during off hours so as not to degrade network performance.

### **Usage of State Systems**

State systems are provided at State expense and are to be used solely to conduct State of Connecticut business. This means system usage is in conformance with federal and state laws, agency policies and procedures, and collective bargaining agreements.

System usage must be in accordance with each user's job duties and responsibilities as they relate to the user's position with the State of Connecticut at the time of usage. Users who are dually employed must keep in mind the responsibilities of each specific position while engaged in activities involving State systems. Activities must reflect the position duties the employee is performing at the time of State system usage.

### **Examples of Acceptable Use of State Systems**

Examples of acceptable use of State systems include job-related activities involving any of the State systems and in accordance with the above criteria. The following items are examples of acceptable activities:

*E-mail:* sending and receiving correspondence for job related purposes; communicating with local governments, vendors, other state agencies and/or employees, etc., on work-related issues; collaborating with other organizations, states, and the federal government about initiatives and projects of interest to Connecticut.

**Note: E-mail messages are considered public records and are, therefore, legally discoverable and subject to record retention policies.** See "Additional Resources" below.

*Internet:* researching state and federal legislation and regulations as they pertain to the user's State position; obtaining information useful to users in their official capacity;

### **Misuse of State Systems**

State systems are provided at State expense and are to be used solely to conduct State of Connecticut business. Unacceptable system usage is generally defined as any activity NOT in conformance with the purpose, goals, and mission of the agency. Additionally,

activities that are NOT in accordance with each user's job duties and responsibilities as they relate to the user's position within State service are also unacceptable. Any usage in which acceptable use is questionable must be avoided. When in doubt, seek policy clarification from your agency Human Resources Manager (or person serving in this capacity) prior to pursuing the activity.

*Examples of Unacceptable Use of State Systems*

1. Any and all personal activities involving any of the State systems. The following items are examples of prohibited activities; however, users are reminded prohibited activities are not limited to these examples:

*Email:* creating or forwarding jokes, chain messages, or any other non-work related messages; checking and/or responding to personal e-mail via another (second party) e-mail system such as Yahoo! or Hotmail; sending or forwarding messages referring to political causes or activities; messages concerning participation in sports pools, baby pools or other sorts of gambling activities; religious activities; stock quotes; distribution groups or "listservs" for non-work related purposes; solicitations or advertisements for non-work related purposes.

*Internet:* pirating software; stealing passwords; hacking other machines on the Internet; participating in the viewing or exchange of pornography or obscene materials; engaging in other illegal or inappropriate activities using the Internet; personal job searches; shopping on-line for non-work related items; checking/viewing stocks or conducting any personal financial planning activities.

2. Use of a personal Internet account using state systems is strictly prohibited.
3. Any usage of **CTNET** for illegal or inappropriate purposes is prohibited. Illegal activities are violations of local, state, and/or federal laws and regulations (please see *Connecticut General Statutes*, §53a-251). Inappropriate uses are violations of the appropriate use of State systems, as defined in this document.
4. Failure to identify the author(s) of information accessed and obtained through CTFNET (i.e., that which is subject to copyright laws, trademarks, etc.)
5. Connecting personally owned hardware or installing and/or using non-State licensed software. State policy on downloading software is included in Connecticut Software Management Policy. See "Additional Resources" below.
6. Any unauthorized access to any computer system, application or service.
7. Any activities for private, commercial purposes, such as business transactions between individuals and/or commercial organizations.
8. Any usage that interferes with or disrupts network users, services, or computers. Disruptions include, but are not limited to, distribution of unsolicited advertising, and deliberate propagation of computer viruses.



9. Any activities where users engage in acts that are deliberately wasteful of computing resources or which unfairly monopolize resources to the exclusion of others.
10. These acts include, but are not limited to, broadcasting unsolicited mailings or other messages, creating unnecessary output or printing, or creating unnecessary network traffic.

### **ADDITIONAL RESOURCES**

Public Act No. 98-142, An Act Requiring Notice to Employees of Electronic Monitoring by Employers, and the State of Connecticut's "Electronic Monitoring Notice" - [http://www.das.state.ct.us/HR/Regs/State\\_Electronic\\_Monitoring\\_Notice\\_11.00.pdf](http://www.das.state.ct.us/HR/Regs/State_Electronic_Monitoring_Notice_11.00.pdf)

"Electronic and Voice Mail Management and Retention Guide for State and Municipal Government Agencies" – <http://www.cslib.org/email.htm>

Connecticut Software Management Policy by the State of Connecticut Office of the State Comptroller, the Office of Policy and Management and the Department of Administrative Services <http://www.osc.state.ct.us/manuals/PropertyCntl/chapter07.htm>

### **ADDENDUM - FAQs Regarding the Acceptable Use of State Systems Policy**

**11/15/06**

#### **Acceptable Use Form**

1. Q: We are sending the policy and acknowledgement form to our employees electronically via email. But not all of our employees (or users) have an email address. How should we handle these employees?

A: If you have users who do not have an email address, you will need to ensure they receive a copy of the policy and you should obtain a signed hard copy acknowledgement of receipt form from the users.

2. Q: Some of our employees are refusing to sign the Acknowledgement of Receipt form. How do we handle this?

A: In the event that an employee refuses to sign, retrieve the form from the employee. Write "refused to sign" on the form and record on the form that the policy was issued to the employee and sign and date the form.

#### **Agency Activity**

3. Q: Is it okay to use (State) e-mail to send information regarding an employee's baby shower or wedding shower, birthday party, etc.?

A: Yes.

4. Q: Is it okay to send information via e-mail concerning Agency functions, such as Agency picnics and parties, fund-raising events for Agency-sponsored events, etc.?

A: Yes.

### **Announcements**

5. Q: Is it okay to use (State) e-mail to send information regarding the death of an employee, the death of an employee's relative, birth of an employee's child, etc.?

A: Yes.

6. Q: Is it okay to use (State) e-mail to send information regarding the retirement party for an employee?

A: Yes.

### **Benefits**

7. Q: Is it okay to obtain information concerning State of CT benefits?

A: Yes and no. Yes, provided you are on a State agency website (i.e., Office of the State Comptroller or Department of Administrative Services). It is unacceptable to use the Internet to view your portfolio via a vendor's website.

8. Q: Is it okay to visit a health insurance company's website to view the list of participating physicians?

A: Yes.

### **Cancellations**

9. Q: Is it OK for employees to receive e-alerts from their child's school, including information concerning meetings, early closings, etc.?

A: Yes.

10. Q: Can an employee check cancellations, late openings and early releases on websites of local news and radio stations?

A: Yes.

### **Job Searches**

11. Q: Is it okay to conduct job searches via the Internet using a State computer?

A: Yes and no. It is okay to visit the Department of Administrative Services' (DAS) website (and other State agency websites) for State employment opportunities. It is NOT okay to go to other (non-State of CT) websites to search for jobs with an employer other than the State of CT.

### **News**

12. Q: Is it okay for an employee to use their State computer to read a newspaper online, even if it is during their break period?

A: No. An employee (or any user) may not use State systems for any non-work related purpose whether on break or not.

### **Personal CDs (Music/Pictures)**

13. Q: Can users play personally-owned CDs on their State computer?

A: Provided the CD is commercially-produced, requires no additional installation of equipment or software, and does not disturb coworkers, an employee may use the CD player to play music. HOWEVER, CDs that are NOT commercially-produced are unacceptable. Similarly, CDs containing personal digital photographs are also unacceptable as non-commercial CDs may contain a virus, resulting in a negative impact on system performance.

14. Q: Is it okay for employees to access newspapers online via State systems if their job requires it?

A: Yes.

### **Professional Organizations**

15. Q: Is it okay to distribute events sponsored by professional organizations?

A: Yes and no. If the event includes a meeting, then it is okay. If the event is purely social in nature (i.e., trip to New York City), then it is unacceptable.

16. Q: Is it okay to forward messages from professional organizations that include job announcements?

A: No.

17. Q. Is it okay to communicate with a national, regional or state-wide professional organization that I am a member of through my job duties and responsibilities as they relate to my position with the State?

A. Yes.

### **Purchasing**

18. Q: May I use eBay to purchase items for my State job?

A: No.

### **Solicitation**

19. Q: Is it okay to solicit participation in and/or donations for a charity event using (State) e-mail?

A: Yes, provided the charity is one that is listed in the *State Employees' Campaign for Charitable Giving* booklet. Mercy Housing and Shelter and other State-approved, non-profit organizations may also be included for this purpose.

### **Telephones**

20. Q. Can an employee use the state telephone to receive/make calls relating to doctor appointments, union matters and/or check on status of children, etc.?

A. Yes. However, time spent on personal calls should be kept to a minimum.

21. Q. May an employee (or other user) use voicemail to communicate personal information to a specific caller via their voicemail box greeting?

A. No. Employee greetings via State voicemail should be strictly professional.

22. Q. May a caller leave a personal message in an employee's voicemail box? For example, if a doctor's office is calling to confirm an appointment?

A. Yes. However these types of situations should be limited to only those requiring prompt attention.

### **Transportation**

23. Q: Is it okay for employees to use State systems to go to the CT Transit website to view bus schedules?

A. Yes.

24. Q: Is it okay for employees to use State systems to go to the Nuride website to view commuter information?

A. Yes.

### **Tuition**

25. Q: Is it okay use State systems to access a college/university's website to obtain the "proof of payment" documentation required by the Office of the State Comptroller in order to process an employee's Tuition Reimbursement request?

A: Yes.

### **Union**

26. Q: Is it okay for employees to visit their union's website using a State computer?

A: Yes.

27. Q: Is it okay for users to distribute Union information via (State) e-mail?

A: No.

28. Q: Is it okay for employees to use (State) e-mail to contact their Union Steward to arrange for representation?

A: Yes.

## **MILITARY LEAVE POLICY**

This document serves as the official policy for paid Military Leave Time. Any employee who is a member of the armed forces of the state, or any reserve component of the armed forces for the United States, shall be entitled to military leave with pay, provided the leave is required field training or is a result of an unscheduled emergency call-up (natural disaster or civil disorder).

### **Required Field Training:**

Employees are entitled to military leave with pay for up to three (3) calendar weeks for "Required Field Training" has been interpreted to include periods of Annual Training and other Active Duty Training which are required for retention in the armed forces of the state or military reserves.

Annual Training - the employee must supply proper written advance notice; a copy of the official military orders should be provided to personnel as soon as possible.

### **Unscheduled Emergency Call-Up:**

Employee for unscheduled emergency call-up are also eligible for military leave with pay for up to thirty (30) calendar days in a year. An example of such emergency call-up would be an individual called to active duty for a natural disaster or civil disorder. Due to the unscheduled nature of unscheduled call-ups, it may not be possible to provide official written orders in advance of the leave, in such cases the employee should identify the appropriate military official who can verify the call-up and provide the official written orders as soon as possible.

## **OVERTIME POLICY**

1. All overtime is to be recorded on the State of Connecticut Military Department Employee Time Sheet Form.
2. Supporting comments and reason for overtime must be written in the remarks section of the time sheet form.
3. The employee must be authorized to work the overtime by their supervisor.
4. The supervisor must sign, certify and approve the overtime on the employee time sheet form.

## **PERSONNEL FILE POLICY**

"Personnel Files" includes papers, documents, and reports pertaining to a particular employee which are used or have been used by an employer to determine such employee's eligibility for employment, promotion, additional compensation, transfer, termination, disciplinary or other adverse personnel action including employee evaluations or reports related to such employee's character, credit and work habits. (C.G.S. 31-128a (3)).

1. **Employee Access to Personnel Files** (C.G.S. 31-128b)
  - a. Anyone currently or formerly employed, including individuals in managerial positions must be permitted to inspect their personnel file

within a reasonable time after making a written request to the employer. The inspection must be during regular business hours at a location at or reasonably near the employee's place of employment.

- b. The Military Department does not have to allow employees to remove their medical records or personnel files from the Human Resources Office where it's made available for inspection.
- c. The Military Department may require that inspection of any personnel files or medical records take place in the presence of a designated official.

**2. Removal or Correction of Information (C.G.S. 31-128e)**

- a. If an employee disagrees with any of the information contained in a file or record, removal or correction may be agreed upon by the employer and the employee.
- b. If the Military Department and the employee cannot agree on the removal or the correction of the documents, the employee may submit a written statement explaining the employee's position. This statement will be maintained as part of the employee's personnel file or medical records and will accompany any transmittal or disclosure from the files or records to a third party.

**3. Disclosure to Third Parties (C.G.S. 31-128f)**

Individually identifiable information contained in the personnel file or medical records of employees cannot be disclosed by the Military Department to anyone not employed by or affiliated with the Military Department without the written authorization of the employee.

**POLITICAL ACTIVITY POLICY**

In order to preserve the public trust and comply with the State Elections Enforcement Code, it is essential that the Governor's appointees maintain and other state employees maintain the highest standards of ethical conduct – including compliance with the state's Elections Enforcement Code. In keeping with the Governor's firm adherence to a strict ethical standard, please be advised that the following policy has been adopted, in light of the Governor's election campaign. Please note that the policy set forth below applies to all political campaigns, whether state-wide, legislative, or municipal. It reflects not only state law, but also the conduct necessary to set a leading example for all state employees.

If you have any questions about the following policy, please contact the Elections Enforcement Commission at (860) 566-1776. All campaign-related questions should be referred to the campaign. It is better to ask a question before getting yourself into a potentially unlawful situation.

**I. Political Activity**

- A. State employees shall not engage in any political activity during regular working hours unless during lunch or while on approved leave. This includes making phone calls, attending meetings, etc. Sec. 5-266a (b).

- B. State employees shall not use their political authority or influence to interfere with the results of the election or to directly or indirectly coerce or attempt to coerce others to contribute to a political campaign. Sec. 5-266a (a.)
- C. State employees shall not use state funds for political activity. This includes the use of the office, desk, phone, office supplies, copy machine, and computer (including e-mail). Sec. 5-266 (a).
- D. No official or employee of the state or a political subdivision of the state shall authorize the use of public funds for a television, radio, movie theater, billboard, bus poster, newspaper or magazine promotional campaign or advertisement, which features the name, face or voice of a candidate for public office, or promotes the nomination or election of a candidate for public office, **during the five month period preceding the election** being held for the office, for the office which the candidate described in this subdivision is seeking. Sec. 9-3331 (d) (2).
- E. No incumbent shall, **during the three months preceding an election** use public funds to mail or print flyers or other promotional materials intended to bring about his election or reelection. Flyers or promotional materials include: agency annual reports, newsletters, websites, state maps, program brochures, official statements, proclamations and training videos. Sec. 9-3331 (d) (1).

If such materials are in circulation prior to three months before an election, agencies can continue to disseminate them in the normal course of business. If such materials are in production but not yet in circulation, agencies cannot distribute any of the materials until after the general election. In addition, no new authorizations for the expenditure of public funds for flyers or promotional materials should be made until after the general election.

- F. Promotional Items: Any promotional items featuring the Governor's name (such as pins and pens) can be distributed by agency staff at conferences as long as their distribution is not intended to bring about the Governor's election or reelection.
- G. Annual reports, newsletters, and state maps, featuring the Governor's name or picture are permissible according to the State Elections Code, so long as they do not include any language that mentions the Governor's candidacy, political affiliation or that compliments the Governor's record in particular areas.
- H. State employees shall not wear political name badges or other paraphernalia while on duty.

- I. State employees shall not display political paraphernalia in their offices with respect to current or upcoming political campaigns.
  - J. State employees in receipt of correspondence regarding campaign-related matters should refer all individuals to the appropriate campaign.
  - K. State employees are strictly prohibited from soliciting campaign contributions even if done on free time, from any individual, organization, public official or state employee with whom they have done business with in their official capacity.
- II. **Political Contributions**
- A. State employees shall not solicit political contributions from other employees or anyone with whom their department regularly conducts business, nor shall they encourage others to attend fundraising events. Sec. 5-266a (a).
  - B. Department heads or deputy department heads shall not solicit a contribution on behalf of, or for the benefit of, any candidate for state, district or municipal office or any political party. This prohibition includes, but is not limited to, sponsoring fundraisers and appearing as an invited guest on a fundraising invitation in an effort to entice others to attend. Sec. 9-333x (11).
  - C. Absolutely no political contributions should be accepted at the Governor's Office, the Governor's Residence, or any other state office. If a contribution is mistakenly received, you may refer it to the appropriate campaign.

### **SAFETY SHOE POLICY**

To insure the health and safety of those Military Department employees engaged in maintenance, security and construction related activities and to comply with OSHA standard 1910.136 (foot protection). The Department requires that all Maintenance and Services, Protective Services and Engineering Scientific employees in construction management to wear safety shoes while on the job. This policy applies only to those employees who receive an annual stipend from their labor contract for the purchase of safety shoes (protective footwear).

Safety shoes must comply with the ANSI Z41-1991 code (American National Standard for Personal Protection – Protective Footwear).

OSHA standard 1910.136 states

“Part A: Each affected employee shall wear protective footwear when working in areas where there is a danger of foot injuries due to falling or rolling objects, or objects piercing the sole, and where such employee's feet are exposed to electrical hazards”.



“Part B: Criteria for protective footwear: 1. Protective footwear purchased after July 5, 1994 shall comply with ANSI Z1-12991 which is incorporated by reference....”

Non-compliance of this policy may result in the imposition of progressive discipline.

### **SAFETY POLICY**

It is the policy of the Military Department to undertake a comprehensive safety program to minimize the risk of injury to any employee working at Military Department facilities throughout the state. Additionally, the Military Department will assure that the public, when utilizing Military Department facilities for rental events, emergency shelters, or official military functions, will have the safest facilities possible. The Military Department will take positive actions to minimize the risk of injuries and illness to state and federal employees, and to reduce the amount of lost time from the work place.

All supervisory personnel are directed, especially the managerial staff, to adhere to this policy. The Federal National Guard Safety Officer and Occupational Health Nurse are directed to work closely with the State Military Department managerial staff to develop a comprehensive program for both federal and state employees.

The Construction and Facilities Management Officer has been assigned as the agency contact for all safety matters as they pertain to Military Department State Employees.

All employees share in the responsibility to protect worker safety. A commitment to safety must continue to be an integral part of each employees daily work operations.

**SEXUAL HARASSMENT PREVENTION POLICY**  
**AND**  
**REPORT PROCEDURE**

Sexual Harassment is a form of misconduct that undermines the integrity of the employment relationship. It is the policy of the State of Connecticut Military Department (“CMD”) to provide its employees with a workplace that is free of sexual harassment. Regardless of whether the conduct results from maliciousness, thoughtlessness, or poor judgment, sexual harassment in the workplace is unacceptable and will not be tolerated.

Sexual Harassment is illegal and violates Title VII of the Civil Rights Act of 1964, 42 US Code §2000e et. seq., as amended, as well as Connecticut General Statutes §46a-60(8). CMD prohibits sexual harassment, in any form, by or against its employees and/or to visitors, vendors, or clients at our administrative offices. Any employee who violates this policy statement will be subjected to discipline, up to and including, termination of employment. Any employee who potentially violates this policy statement will be counseled and any employee who was subjected to harassment will be apprised of her or his rights.

Any employee who believes that she or he is a victim of any form of illegal discrimination, including harassment based on pregnancy and/or sexual harassment, or any employee who witnesses or has knowledge of such impermissible conduct is urged to report it in accordance with the CMD EEO/AA Policy Statement. An EEO investigation will be conducted promptly. CMD will also take appropriate action to protect employees who are retaliated against for reporting illegal employment discrimination, in accordance with the CMD’s Anti-Retaliation Policy Statement.

**DEFINITIONS OF SEXUAL HARASSMENT**

Sexual Harassment is defined as any unwelcome sexual advances, requests for sexual favors, and other verbal and/or physical conduct of a sexual nature when:

- Submission to such conduct is made either explicitly or implicitly as a term or condition of an individual’s employment; or
- Submission to and/or rejection of such conduct by an individual is used as a basis for employment decisions affecting an individual’s employment, evaluation, wages, advancement, assigned duties, shifts or career development; or
- Such conduct has the purpose or effect of substantially interfering with an individual's work performance or creating an intimidating, hostile or offensive working environment; or
- Such conduct is so severe or pervasive that it has the purpose or effect of unreasonably interfering with an individual’s work performance or creating an intimidating, hostile or offensive working environment.

**Prohibited Conduct**

Cyber-sexual harassment is defined as repeated, unsolicited, threatening behavior by a person or group using mobile and/or Internet technology including audio/video or other recording devices with the intent to bother, terrify, intimidate, humiliate, threaten, harass

or stalk someone else. The harassment can take place in any electronic environment where communication with others is possible, such as on social networking sites, on message boards, in chat rooms or through email. Just posting a general opinion on a discussion board or in a forum is not considered harassment.

The following types of conduct that may constitute sexual harassment, which include:

- Repeated sexual advances, propositions and/or inappropriate and/or offensive comments;
- Engaging in sexual flirtation and/or physical touching;
- Inappropriately exposing one's physical anatomy;
- Discussing sexual activities;
- Making a comment and/or spreading a rumor which embarrasses, ridicules or demeans a person because of the individual's gender and/or sexual orientation;
- Making graphic and/or suggestive comments about an individual's body or physical appearance;
- Displaying sexually suggestive objects, pictures, cartoons or drawings;
- Threatening or insinuating, either explicitly or implicitly, that an employee's refusal to submit to sexual advances shall adversely affect the employee's continued employment, performance evaluation, wages, advancement, assigned duties, and/or any other privilege or condition of employment;
- Using unseemly gestures, crude and offensive language, sexually explicit jokes, sexually explicit photographs or drawings, and/or sexually degrading words to describe an individual; and
- Retaliation against an employee for reporting sexual harassment and/or participating in an EEO/AA Investigation regarding sexual harassment, in accordance with the CMD's Anti-Retaliation Policy Statement.

When interacting with others in the workplace, it is important to be sensitive to the way in which words and actions may be perceived by others. If words or actions could reasonably be perceived as offensive and unwelcome, they could constitute unlawful harassment.

#### MANAGEMENT RESPONSIBILITIES

The CMD EEO Designee, and its managers and supervisors shall make every reasonable effort to ensure that every work site is free of sexual harassment and to ensure mutual dignity and respect.

These efforts shall include, but are not limited to:

- Implementing preventive measures, include compliance with online and/or classroom training and informational posting rules with the State of Connecticut
- Commission on Human Rights and Opportunities ("CCHRO") set forth in §46a-54-200 through §46a-54-207 of the Regulations of Connecticut State Agencies.
- Monitoring working conditions to detect sexually harassing conduct.

- Conducting a prompt and thorough EEO Investigation of each Complaint or report received, and communicating the results of the EEO Investigation to the Complainant who was allegedly subjected to the harassment.
- Carrying out expeditious remedial measures reasonably calculated to prevent and correct any sexually harassing conduct which has occurred.

Further, all managers and/or supervisory staff share the responsibility in the implementation of this Policy Statement. Any CMD supervisor and/or manager found to be in violation of any part of this policy statement will be subject to disciplinary action, up to and including, termination from employment.

#### EMPLOYEE RESPONSIBILITIES

Each CMD employee shall refrain from engaging in any activity or conduct that may constitute sexual harassment.

Any employee who witnesses sexually harassing conduct, or who becomes aware that another employee has been subjected to sexual harassment, is urged to immediately report the harassment to the EEO Designee. This is third party sexual harassment, which is a violation of this policy.

No employee shall retaliate against another employee for complaining about or reporting sexually harassing conduct, or for participating in any internal or external EEO Investigation of such conduct, in accordance with the CMD's Anti-Retaliation Policy Statement.

Any employee who believes s/he has experienced sexual harassment, or has witnessed sexual harassment by any employee, prospective employee, visitor, vendor, client, or any other person in connection with his/her employment or participation with CMD, should bring the matter to the immediate attention of:

Anthony Lewis, Human Resources Manager/EEO Designee  
State of Connecticut State of Connecticut Military Department  
360 Broad Street Hartford Amory  
Hartford, Connecticut 06105-3706  
Telephone: (860) 548-3248  
Fax: (860) 548-3218  
Email:anthony.lewis@ct.gov

If the Complainant(s) prefers, s/he may report the matter directly to his or her supervisor. If the complainant(s) feels uncomfortable reporting the harassment to his or her supervisor, s/he should immediately report the matter to any other member of management. EEO Complaints made against the CMD Adjutant General and/or the EEO Designee, will be automatically referred to the State of Connecticut Commission on Human Rights and Opportunities ("CCHRO") and if appropriate, investigation by the Department of Administrative Services ("DAS"), under §46a-68(b). The CMD will not tolerate violations of this policy statement and strongly encourages victims of sexual harassment to report such harassment as soon as it occurs.

## INVESTIGATION OF SEXUAL HARASSMENT COMPLAINTS

The Equal Employment Opportunity Designee will investigate all reported incidents of sexual harassment for the purpose of determining whether the incident took place, whether it constituted sexual harassment, and to determine what remedial actions, if any, are needed.

To the extent provided by law, all EEO Investigations will be conducted in as confidential a manner as possible;

1. The EEO Complaint can be submitted as a written summary that will ultimately be copied into the Official EEO Complaint of Discrimination Form and signed by the Complainant(s);
2. Both the Complainant(s) and the Opposing Party(ies) will be interviewed as part of the EEO Investigation and both will be reminded of the CMD Anti-Retaliation Policy Statement, Sexual Harassment Prevention Policy and Report Procedure, and the Affirmative Action Policy Statement;
3. The Complainant(s) will be asked to provide corroborating evidence for review and identify witnesses;
4. The Equal Employment Opportunity Designee will report and advise the outcome of the EEO Investigation and make concluded recommendations to the CMD Adjutant General.
5. The findings will be reviewed by the CMD Adjutant General or his/her designee, who may concur with the recommended final action(s), if any;
6. The Complainant(s) shall be notified of the final action, taken on his or her EEO Complaint;

All EEO Investigations will be investigated within a ninety (90) day period, unless extenuating circumstances delays the process.

THADDEUS J. MARTIN  
MAJOR GENERAL  
THE ADJUTANT GENERAL

## SMOKING POLICY

The policy on controlling smoking was approved by the Secretary of the Army and Chief of Staff on June 6, 1986, and remains in effect. This policy has been determined to be in the best interest of the Connecticut National Guard and is to be implemented in all facilities and buildings under the control of the Connecticut National Guard where National Guard personnel work, train or reside.

Since the program is designed to increase fitness and well-being among military personnel and civilian employees, it will establish the policy guidelines for the control of smoking. It applies equally to the Army and Air National Guard.

1. **Purpose:** To implement Department of Defense (DOD) Directive 1010.10.

2. **General:**

- a. Smoking tobacco harms readiness by impairing physical fitness and by increasing illness, absenteeism, premature death, and health care costs. This policy enhances readiness by establishing the standard of a smoke-free environment, which supports abstinence and discourages the use of tobacco.
- b. Connecticut National Guard officials will affirmatively act to implement this policy.
- c. Full cooperation of all commanders, supervisors, soldiers, airmen, and civilian employees are expected to ensure that people are protected from the effects of secondhand smoke, and personnel who desire to smoke are not unnecessarily inconvenienced.

3. **Applicability and Scope:**

- a. The provisions of this policy apply to all organizational elements that occupy space in/on conveyances, offices, buildings or facilities over which the Connecticut National Guard has custody and control.
- b. This policy does not cancel or supersede other instructions which control smoking because of the risk of fire, explosive, or other safety considerations.

**Subordinate Facilities:** Commanders/Officers-In-Charge will be responsible to establish the policy within their respective facilities with regard to the control of smoking. The guidelines outlined herein will apply to Connecticut National Guard Facilities, Army and Air Officers in charge are charged with the responsibilities of providing the specific in house policy to include the locations of designated smoking areas to this Headquarters Attn: SPMO no later than May 1, 1990.

4. **Reference:** Section 31-408 General Statutes, State of Connecticut

## **SURVEILLANCE POLICY**

Pursuant to Public Act 98-142 of the Connecticut General Statutes, please be advised that the Military Department engages in electronic monitoring within the Hartford Armory to ensure safety to the public and to the Military Department staff. The types of monitoring systems utilized by this Department include camera surveillance systems to track corridor traffic, telephone usage tracking and security card access.

This positive action undertaken with conviction by the Department is to ensure a safe, productive work environment for all Military Department staff and to the public.

## **VOLUNTARY SCHEDULE REDUCTION POLICY**

In accordance with Public Act 94-199, this document serves as the official voluntary schedule reduction policy for all Military Employees. Permanent full-time state employees who have passed their working test period may, with the approval of their appointing authority, take **unpaid** leave consisting of prescheduled time off, without loss of seniority benefits, longevity, retirement credit, sick leave, vacation or earned overtime accumulation.

### **Enrollment**

There are two (2), six (6) month enrollment periods under this program between January to June and July to December of each calendar year. Applications will only be accepted during the months of June and December for schedules effective during July 1 and January 1 enrollment periods. Applications may be submitted at other times circumstances warrant. Request will be approved based on operational needs. Approved request will remain effective during the enrollment period unless terminated at the request of the employee or management due to a change in personal or operational circumstances.

### **Restrictions**

1. Any employee who is disciplined for abuse of attendance or tardiness will be ineligible from participating in the program for one (1) full year.
2. Employees cannot reduce their schedules on a holiday work week.

### **Application Instructions**

Employees who wish to participate in this program should submit a completed application to their immediate supervisor for initial review and approval. All requests must be approved by the Human Resources Manager. Every effort will be made to approve requested schedules. Individuals with snow removal responsibilities at the Military Department facilities will still be required to respond to these operational requirements. Voluntary leave reduction requests cannot interfere with this job requirement.

### **Application Procedures**

1. The Voluntary Schedule Reduction form must be obtained from the Human Resources Office.

2. Employee must complete the form and give it to their supervisor for approval.
3. The request will be forwarded to the Human Resources Manager for approval.
4. The Human Resources Manager will review and notify the employee's supervisor regarding approval.
5. The employee's supervisor will notify the employee regarding approval.

Employees must revert to their standard work schedules during pay weeks that include holidays. As with other unpaid leave activities, an employee must work either the day before or the day after a holiday to be eligible for the paid holiday. Schedule reductions are contingent upon staffing and workload needs. Reduced schedules may be modified, interrupted, or cancelled during periods of increased staffing needs. This policy does not cover extended leaves of absences, which should be requested under other policies such as FMLA, Educational, etc.

### **WORKERS' COMPENSATION PROCEDURE**

Safety is an essential component of every job and is the responsibility of each employee. The Military Department makes every effort to provide a safe work environment and actively promotes safety in the workplace. In the event that an injury occurs on the job, the employee must report the incident immediately to the supervisor regardless of severity and should take necessary precautions (i.e. medical attention). Upon completion of a Report of Accident Form, the supervisor will forward this report to the Human Resources Office for processing. This will ensure that an employee is covered by the workers' compensation program as appropriate. For all work-related accidents, the Military Department provides timely processing of all accident reports, claims and medical bills.

#### **To Report an Injury**

1. Notify your Supervisor of your injury and have them complete a **DAS First Report of Injury Form (WC-207) and Supervisor's Accident Investigation Report Form (WC-207-1)**. On a recurrent claim **no new WC-207 or 207-1** is required.
2. The employee's supervisor should immediately report the new claim to the 1-800-828-2717 injury hotline. Recurrent claims should be reported to the Recurrence Hotline: 1-860-256-3400, then press 7 and the supervisor should provide as much detail of the recurrence as possible.
3. The supervisor should fax the completed WC-207 and 207-1 to the Human Resources Office, to the attention of Anthony Lewis, 860-548-3248. The completed form remains in the employee's Medical File.

If medical treatment is rendered the medical provider can bill Gallagher Bassett Services, Inc. directly at 800 Connecticut Boulevard, East Hartford, CT 06108.

For information concerning participating physicians, please call 1-866-348-3887.



**If You Lose Time From Work the Following Forms need to be completed and can be obtained from the Human Resources Office:**

1. The employee completes the **Filing Status and Exemption Form (WC-1a)** and forwards the form to the Human Resources Office. The original form is placed in the Employee's Medical File and a copy goes to the Workers' Compensation Administrator.
2. The employee completes the **Third Party Liability Form (WC-211)** and forwards the form to the Human Resources Office. The original form is placed in the employee's Medical File and a copy goes to the Workers' Compensation Administrator.
3. The employee completes the **Request for Use of Accrued Leave Form (CO-715)** and forwards the form to the Human Resources Office.
4. **The Workers Status Report Form and the WC-208 Form should be completed each time that you see a doctor.** The original completed form should be forwarded to the Workers' Compensation Administrator and a copy should be forwarded to the Human Resources Office.
5. Notify the Human Resources Office when you are cleared to return to work by your attending physician and submit the Return to Duty Form to the Human Resources Office.

**VIOLENCE IN THE WORKPLACE PREVENTION POLICY**

The State of Connecticut adopts a statewide zero tolerance policy for workplace violence.

- No employee shall bring into any state worksite any weapon or dangerous instrument as defined herein.
- No employee shall use, attempt to use, or threaten to use any such weapon or dangerous instrument at a state worksite.
- No employee shall cause or threaten to cause death or physical injury to any individual at a state worksite.

Weapon means any firearm, including a BB gun, whether loaded or unloaded, any knife (excluding a small pen or pocket knife), including a switchblade or other knife having an automatic spring release device, a stiletto, any police baton or nightstick or any martial arts weapon or electronic defense weapon.

Dangerous instrument means any instrument, article, or substance that, under the circumstances, is capable of causing death or serious physical injury.

Any weapon or dangerous instrument at the worksite will be confiscated and there is no reasonable expectation of privacy with respect to such items in the workplace.

Violation of the above reasonable work rules shall subject the employee to disciplinary action up to and including dismissal from state service.

Note\* some positions require as a condition of employment that the employee is issued a firearm.

Any employee who fears for their personal safety or for the safety of others should contact the facility's Officer in Charge/Deputy Officer in Charge. For situations that require immediate attention **call the Police at 911.**

Contact your supervisor or Anthony Lewis, Human Resources Manager of the Human Resources Office at 1-860-548-3248 for emergency and non-emergency situations.

## **IV. COLLECTIVE BARGAINING**

### **BARGAINING UNIT REPRESENTATION**

Collective Bargaining agreements (i.e. union contracts) are negotiated periodically between the labor unions and state management. The collective bargaining agreements govern such things as salary, benefits, hours of work, and terms and conditions of employment. With the advent of Collective Bargaining, all state job classifications are assigned to particular bargaining units or “Unions”. Individual unions were voted for by state employees to represent them in the negotiation process. Therefore, state employees are assigned to a bargaining unit based upon their particular job classification and are exclusively represented by that bargaining unit.

### **UNION CONTRACTS**

Individual union contracts are, essentially, the terms and conditions of employment, as agreed upon during a formal negotiation process. Employees should familiarize themselves with their particular contract as benefits and provisions vary from contract to contract. Contract language is chosen carefully to prevent disputes and eliminate misunderstandings. However, contract language is imperfect. Contracts are often subject to interpretation. Any questions pertaining to contract articles or provisions may be directed to your supervisor or the Human Resources Office. When further explanation is required, a union steward should be contacted.

### **GRIEVANCE PROCEDURE**

It is important that any problems or complaints you may have get resolved quickly and fairly. The first course of action should be to discuss the situation with your supervisor, who is often in a good position to help you find a solution. If your supervisor is unable to provide the answer and/or you feel that you have been treated unjustly, you may utilize the Grievance Procedure outlined in your union contract.

The Grievance Procedure aids in the resolution of disputes over the interpretation and application of the individual contract agreements between both the union and management. However, every effort should be made by the involved parties to resolve such matters before a formal grievance is filed. Each contract’s specific procedure may vary, but generally all consist of a series of steps or stages, with time limits for initiating each step and obtaining responses. The lower steps of this grievance process are more informal in order to encourage quick resolution of the grievance. If the grievance cannot be resolved, more formal meetings are held until it reaches the highest level of authority within the agency. Most grievance procedures provide for arbitration if the grievance cannot be resolved at the highest level of authority within the agency. Arbitration may be requested only by the union or in some instances, by the individual employee. It is permissible only if negotiated as a step in the grievance procedure and can only be utilized for grievances processed through the negotiated process. An Arbiter is an impartial third party chosen by the union and management to hear both sides of the dispute and make a binding decision.

Grievances may be presented to management for resolution by individual employees or groups of employees without the union’s participation. Any such grievance resolution

must be consistent with the applicable contract and the union must be given the opportunity to be present at all meetings.

Note: Managerial and certain confidential job classifications are exempt from the collective bargaining process have their grievance procedure outlines in Section 5-202 of the CT General Statutes.

## **V. APPOINTMENTS AND PROMOTIONS**

For the most part, the appointment and promotion of classified State employees is governed by the Connecticut State Merit System. The Connecticut's system was established as part of an effort to minimize, if not eliminate, the influence of electoral politics upon the employment and retention of State employees. The objective of the system is to place the best available qualified people in State service, and to provide fair treatment of all employees in the appointment and promotion process.

A few aspects of the appointment and promotion process are governed by collective bargaining. For example, some union contracts have provisions regarding the transfer and promotion of employees to non-competitive job classes (i.e. those which do not require examination). The Merit System itself, however, is not subject to the collective bargaining process.

### **JOB CLASSIFICATION**

With thousands of jobs and employees, it is necessary for the State as an employer to have a systematic way to describe and group jobs to insure consistent and fair treatment of its employees in matters of job assignments, compensation and promotion.

In order to accomplish the above goals, a job classification plan has been established for all jobs within the executive branch of State Service. Under this plan, individual positions are grouped into job classes. Each class is comprised of positions with similar duties, responsibilities, and required qualifications.

The employee's job classification is the foundation for many other phases of the employment process which affect him/her and will, therefore, be touched upon in other portions of this handbook.

### **EXAMINATIONS**

In order to meet the Merit System's objectives as stated above, a competitive examination system has been developed through which the majority of jobs in State service are filled. This examination system is not used in filling unclassified jobs and jobs which are in classes designated as non-competitive.

There are three basic categories of State examinations – continuous recruitment, ranked, and Merit Promotion.

Continuous Recruitment – A limited number of job classes have been designated continuous recruitment, generally by virtue of the fact that they are entry level classes for which appointments are continually being made. Applicants may apply for continuous recruitment examinations at any time; there are no closing dates (i.e. deadlines) for applications. The applicant must only pass such an examination to be eligible for appointment or promotion. Anyone who meets the minimum experience and training requirements of the job class may apply for a continuous recruitment examination.

Ranked – Ranked examinations are administered periodically by the Department of Administrative Services on an as-needed basis. The examinations are announced with a specific closing date for applications. Applicants passing such an examination are ranked according to their scores.

Ranked examinations are administered on one of the following three bases:

1. Open-Competitive – open to all applicants who meet the minimum qualifications for the classification.
2. State-wide promotional – open only to State employees who meet the minimum qualifications for the classification and have permanent status in any State agency.
2. Departmental Promotional – open only to qualified employees who meet the minimum qualifications and have permanent status in the particular agency where the opening exists.

Merit Promotional System (MPS) – this is a system under which the individual agencies are authorized to conduct their own promotional examinations for certain designated classifications. MPS examinations are only open to employees who meet the minimum qualifications and have permanent status within the agency where the opening exists. MPS examinations are announced within the agency with a specific closing date for applications. Unlike the other types of examinations, MPS examinations are generally given for a specific position.

When examinations are to be given, the Department of Administrative Services publishes announcements describing the duties and responsibilities of the job class, the qualifications you must have to be eligible, and the closing date (if applicable) for filing the application. Examinations may take the form of a review of the applicant's experience and training, written test, structured oral interview, practical examination, and/or other testing mode as deemed appropriate by the Department of Administrative

Services. Applicants are generally asked to specify at the examination which geographic locations within the State they wish to be considered for employment in.

The employment list resulting from an examination remains in effect for a specified period of time (generally six months or one year), but may be extended when deemed appropriate by the Department of Administrative Services. If an employment list exists at the point an opening arises within the particular job class, the agency with the opening is provided what is known as a certification list. If an employment list is not in effect when an opening occurs, the agency will request that an examination is given.

Since promotions as well as original appointments are subject to examination, employees are urged to watch their bulletin board for announcements and information. Keep in mind that any positions which become open while an employment list remains in effect, may be filled from that list.

Job Announcements are posted on the Military Department's Web-site and designated bulletin boards at the Hartford Armory, Bradley Air National Guard and Camp Niantic. Copies of these job announcements and application may be obtained through our Human Resources Office and the Department of Administrative Services web-site [www.das.ct.gov](http://www.das.ct.gov). The closing dates for examinations are rigidly enforced and the employee is responsible for keeping up to date on all examination information.

### **TYPES OF APPOINTMENTS**

**Provisional** – Such appointments are made when there are no active employment lists available and the job(s) need to be filled immediately. Provisional appointments are made for up to six months or until the promulgation of a certification list for the classification. Provisional appointees must take and pass the first examination announced for the position(s) to receive permanent appointment in the position. If the examination process is not completed within the six-month period, additional temporary or emergency appointments may be authorized.

**Temporary** – Such appointments are made to meet short-term needs. Employees so appointed must meet the minimum qualifications for the job class.

**Emergency** – Such appointments are also made to meet short-term needs. Emergency appointments are made for up to two months.

**Permanent** – Permanent appointments are made from certification lists or to non-competitive positions, which do not require formal examinations. Employees must successfully complete a working test period as specified by the appropriate union contract before gaining permanent status in the class.

### **WORKING TEST PERIOD**

A Working Test Period is a trial working (i.e. probationary) period, which is an extension of the selection process. Working Test Periods must be served on initial appointment and also upon promotion. The initial Working Test Period for a new employee is governed by the applicable union contract or State Personnel Statutes or Regulations, but generally is six months in duration. The Working Test Period for promotions, varies considerably from one union contract to another, but generally are four to six months in duration.

Exceptions also occur in the length of the Working Test Period for trainee positions; if you have any specific questions please contact the Human Resources Office.

During the Working Test Period of a new employee, he/she is considered a probationary employee and will work closely with supervisors and fellow employees to learn the duties of the job. This Working Test Period provides the supervisor with an opportunity to evaluate the employee's response to training and job requirements. If at the end of the Working Test Period the employee has demonstrated overall acceptable job performance to the supervisor, the employee will be given a Satisfactory Service Rating and receive permanent status as a State employee in the position.

Under individual union contracts, the Working Test Period may be extended. Any employee who does not meet acceptable performance standards during his/her Working

Test Period will be terminated. Any employee who does not meet acceptable performance standards during his/her promotion Working Test Period will be returned to his/her previous position classification. Probationary employees who are terminated during their Working Test Period cannot appeal the termination through the Grievance Procedure.

### **SERVICE RATINGS**

Employees receive a service rating during their initial Working Test Period, during any subsequent Working Test Period following a promotion, and at least three months prior to their annual increase. Depending upon the particular union contract, an employee may also receive a service rating any time his/her job performance falls below acceptable standards.

The purpose of service ratings is to record the employee's progress and performance as his/her training and experience increase. Satisfactory performance is rewarded with an annual salary increment until the employee receives the maximum salary for his/her job classification. A "less than good" rating may prevent him/her from receiving an annual increment. An Unsatisfactory Service Rating during a Working Test Period generally signifies failure of the Working Test Period. After an employee has attained permanent status as a State employee, two successive Unsatisfactory Service Ratings within a period of two years may be cause for dismissal from State Service.

### **PROMOTIONS**

Promotions may be made to fill existing vacancies or as the result of the reclassification of the employee's position. Reclassification of a position most often occurs as the result of an employee being assigned additional duties such that his/her current job classification is no longer appropriate.

Whether a position is competitive or non-competitive, employees must meet the experience and training requirements outlined in the appropriate job specification to qualify for a promotion. For competitive positions, promotions are based on past job performance and examination score. Promotions to non-competitive positions are based on the employee's meeting minimum qualifications, past job performance, and the degree to which he/she possesses the knowledge, skills and abilities required by the position.

### **TRANSFERS**

There are two types of voluntary transfers within State service. There are transfers within an agency, and transfers to another agency. Under certain circumstances (which are generally defined in the union contract) involuntary transfers may be made by the agency. Transfers may be made for a variety of reasons including better utilization of services, avoidance of layoffs, the need for additional help of new employees, or an employee's desire to transfer.

Since procedures for transfer vary considerably, employees should consult their individual bargaining unit agreements for specific details. Transfers of managerial and exempt employees are subject to the regulations of the State Personnel Act.



## **JOB POSTINGS**

Notice of most job openings within the Military Department are posted on the website, designated bulletin boards at the Hartford Armory, Bradley Air National Guard, Camp Niantic and the Department of Administrative Services webpage. Such a posting will include a variety of information regarding the position such as the location, minimum requirements, and closing date for applications (typically two weeks from the date of the posting).

Openings involving a competitive job class will typically be filled from an employment list resulting from an examination. However, such openings are often posted to allow employees who are already at the particular classification level to apply for lateral transfer. Openings, which are to be filled through the Merit Promotion System (MPS), are generally not posted in as much as MPS examinations are given for particular positions (as opposed to the entire job classification) and the examination announcement, therefore, serves the same purpose as a posting.

## **VI. PERSONNEL RECORDS**

### **PERSONNEL FILE (SEE PERSONNEL FILE POLICY)**

An official personnel file is kept for each employee. This file contains information pertinent to each individual's employment with the agency. The original appointment letter, Service Ratings, promotion letters, commendation letters, in-service training certificates, personnel action processing forms, payroll information, and general personal data are examples of materials which are found in a typical file. Medical documents including doctor's notes and official medical certificates are kept in separate confidential medical files. Employees have the same access to their medical file as to their main personnel file as described below. Disciplinary letters and records of such actions are also recorded; however, the appropriateness and length of their inclusion are governed by the individual bargaining unit contracts and/or State Personnel Rules and Regulations.

Every employee has access to his/her personnel file. An employee wishing to view his/her file should contact the Human Resources Office to arrange for an appointment by calling 860-548-3248. Employees may also sign a waiver allowing others (such as Union Officials) access to view their file. State Freedom of Information laws requires the agency's compliance to written requests for information. In the event such a request is made and it appears that such request is, or could constitute an invasion of the Employment Privacy Act, the Human Resources Office will notify the employee of the request.

### **CHANGE OF PERSONAL DATA**

Any changes in personal data such as the employee's name, address, marital status, beneficiaries, number of dependents, person to contact in an emergency or telephone number must be brought to the attention of the Human Resources Office as soon as possible. The appropriate forms will then be sent to the employee for signature. The employee then promptly returns them to the Human Resources Office for processing.

## **VII. HOURS OF WORK**

### **WORK WEEK**

The negotiated work week for Military Department employees provides a five-day, 35 hour work week, Monday through Friday; a five-day, 37.5 hour work week, Monday through Friday; a five-day, 40 hour work week, Monday through Friday, and a 24/48 hour rotating weekly schedule.

There are, however, other nonstandard work schedules which have been established within the Department. In particular, "Flex-time" has been implemented for Administrative & Residual Collective Bargaining Unit employees, manager, and confidential employees.

Contact the Human Resources Office for additional information.

### **OVERTIME AND COMPENSATORY TIME**

Overtime is defined as work in any one position, which is in excess of an employee's regular established work schedule. Certain employees are not eligible for overtime payments and instead are credited with "compensatory" time (a form of accrued leave time, which may be utilized later but does not constitute a basis for additional compensation. See Compensatory Time Policy).

### **SHIFT ASSIGNMENTS**

The majority of employees within the Military Department are assigned to the first or day shift. However, a few operations within the Department require that some employees work during the evening or at night. Depending on the starting and ending times of these shifts, and the particular union contract involved, such employees may be eligible for "shift differential" payments.

Shift differential payments usually take the form of additional hourly payments for all hours worked on the assigned shift. As a general rule, any shift which begins before 6:00 AM or after 2:00 PM is subject to shift differential payments. Not all employees are eligible for shift differential payments, even if they are assigned to such a shift. The appropriate union contract should be consulted for specific information regarding eligibility for shift differential and the appropriate shift differential pay rate.

### **ATTENDANCE POLICY**

Each and every employee must be responsible for maintaining a good attendance record. Frequent absenteeism reduces the level of service provided by the agency, increases operational costs, and places an added burden upon your co-workers.

Leave accruals should be utilized in accordance with agency policies and procedures. Leave usage should be requested as far in advance as possible (refer to bargaining unit contracts for additional guidelines). Approval or denial of such usage is subject to agency operating needs, reasonableness, and specific contract language contained within individual bargaining unit contracts. Unscheduled leave usage is to be avoided whenever possible.

Sick leave is to be used on those occasions when an employee is truly incapacitated for duty. It is not an extension of vacation or personal leave. It is to the employee's advantage to accrue a substantial balance of sick leave as a form of income insurance in the event of a long-term illness. Every employee's effort to appropriately use sick leave, to request vacation and personal leave in a timely manner, and to avoid unscheduled absences, is an important contribution to the achievement of agency goals.

## **VIII. PAID LEAVE TIME**

### **HOLIDAYS**

At present, permanent full-time employees are granted twelve paid holidays. They are:

New Year's Day	Independence Day
Martin Luther King's Birthday	Labor Day
Lincoln's Birthday	Columbus Day
Washington's Birthday	Veteran's Day
Good Friday	Thanksgiving Day
Memorial Day	Christmas Day

If a holiday falls on a weekend day, another day (generally the Friday preceding or Monday following) will be designated as the day of celebration. The schedule of Holidays is distributed yearly to all employees.

Employees receive paid holidays provided they are on the payroll on either the scheduled day immediately before or after the date the holiday is celebrated. An employee would not receive holiday pay if he/she is on leave of absence without pay on both the scheduled day before and after the holiday. He/she would be paid for the number of hours he/she was scheduled to work on that day up to a maximum of eight hours.

Part-time employees are only entitled to be paid for a holiday if they would normally be scheduled to work on the day that the holiday is celebrated.

### **SICK LEAVE** (SEE FAMILY AND MEDICAL LEAVE)

Except as otherwise provided by statute, all permanent employees in State service accrue (i.e. earn) sick leave for each completed calendar month of service from the date of initial employment. Sick leave may be utilized when an employee is incapacitated for duty or for the categories of special leave listed below. Employees are eligible to use sick leave as soon as it is accrued.

**Accruals** – Full-time employees accrue paid sick leave at the rate of one and one-quarter (1-1/4) working days per completed calendar month of service totaling fifteen (15) working days per year. Absence without pay for more than five (5) working days in any one-month results in a loss of accrual for that month. Part-time employees accrue paid sick leave on a pro rata basis (the percentage of their scheduled hours to full-time).

**Balances** – The sick leave balance (sick time accrued but not used) is recorded by the payroll unit in hours. Upon retirement, one-quarter (1/4) of the remaining sick leave balance up to a maximum of sixty (60) days shall be paid in a lump sum to the retiring employee. Accumulating a substantial balance of sick leave also serves as a form of insurance in the event of a long-term illness.

**Call-in Procedure** – When an employee is absent unexpectedly due to illness, the employee must contact the supervisor within one-half hour of the start of the work shift.

The employee must personally contact the supervisor unless he/she is physically unable to do so. If the absence is continuous or lengthy, the employee must notify the supervisor on a daily basis or as required by the supervisor.

**Medical Certificate** – This form must be completed by the employee’s attending physician for any absence due to illness of five (5) days or more.

**Special Leave** – Employees may use their sick leave for situations other than their own illness. Sick leave used in this manner is referred to as “special leave.” A medical certificate or written statement supporting a request for special leave may be required. In addition to personal illness, sick leave may be used as follows:

1. Medical, dental or eye examination or treatment for which arrangements cannot be made outside normal working hours.
2. In the event of death in the immediate family: Up to five (5) working days may be utilized for this purpose depending on the union contract.
3. In the event of critical illness or severe injury to a member of the immediate family creating an emergency: Up to five (5) days per calendar year may be utilized for this purpose depending on their union contract.
4. For traveling to, attending, and returning from funerals of persons other than immediate family: Up to five (3) days per calendar year may be utilized for this purpose.
5. Up to three (3) days provided to a spouse in connection with the birth, adoption, or taking custody of a child.

**Extended Illness** – In the event that an employee exhausts his/her accrued sick leave during a prolonged illness, he/she may then opt to use his/her other accrued time. Once this time is exhausted, the employee may request a leave of absence without pay (see Family Medical Leave). Under certain circumstances, an advance of sick leave may be granted to an employee who has at least five years of full-time State service and has exhausted his/her sick leave. The appropriate union contract should be consulted for further information on these options as well as other programs designed to address extended illnesses (e.g. sick leave bank, donation of leave time).

**Illness on Vacation** – If an employee becomes ill while on vacation, he/she may request to have the illness charged to sick leave rather than vacation leave, provided that he/she submits a medical certificate to support the request.

### **VACATION LEAVE**

**Usage** – Full-time employees may begin taking paid vacation after six (6) months of continuous service. Unless stated otherwise in the appropriate union contract, part-time employees may begin taking paid vacation after they have completed 914 hours of work (the part-time equivalent of six months). Part-time employees should consult their union contract for the correct information. Vacation period selection is governed by length of State service and is subject to the approval of the employee’s supervisor based on

operating needs. In most cases, vacation schedules are planned in advance so that the work of the department may run smoothly during the vacation season.

**Accrual** – Vacation leave is accrued at the end of each full calendar month of service. Absence without pay for more than five (5) working days in any one month results in loss of accrual. Full-time bargaining unit employees (i.e., employees covered by a union contract) hired on or after July 1, 1977, accrue vacation leave at the rate shown below for each completed calendar month of service (pro-rated for part-time employees).

0 to 5 years of service:	1 day per month 12 days per year
5 to 20 years of service:	1 ¼ per month 15 days per year
Over 20 years of service:	1 2/3 per month 20 days per year

Managerial employees accrue vacation leave at the rate of one and one-quarter (1 ¼) working days per completed month of service totaling fifteen (15) days per year. Additional vacation leave beyond fifteen (15) days shall be awarded each January 1 for the coming year as follows:

11 years of service	1 day
12 years of service	2 days
13 years of service	3 days
14 years of service	4 days
15 years of service	5 days
over 15 years	5 days

**Balances** – The vacation leave balance (vacation time accrued but not used) is recorded by the Payroll Office in hours. Bargaining Unit employees may not carry over, without agency permission, more than ten (10) days of vacation leave accrued during a particular year to the next year. Bargaining Unit employees hired on or before June 30, 1977, and all managerial employees, may accumulate up to one hundred and twenty (120) days of vacation time. Bargaining unit employees hired on or after July 1, 1977, may accumulate up to sixty (60) days. Upon separation or retirement from State service, permanent employees are paid their remaining vacation balance in a lump sum.

### **PERSONAL LEAVE**

Permanent, full-time employees are entitled to three (3) Personal Leave Days with pay in each calendar year to conduct private affairs including observance of religious holidays. Part-time employees should consult the appropriate union contract regarding eligibility for personal leave days. Personal Leave is not deducted from vacation or sick leave credits. It is maintained by Payroll as a separate balance and is recorded in hours. Personal Leave days not taken in a calendar year are not accumulated. Employees must consult with their supervisor in advance of Personal Leave days.

Permanent employees are credited with their Personal Leave days on January 1 of each year. Probationary employees are credited with Personal Leave days after successful

completion of their Working Test Period. Provisional employees do not receive Personal Leave time until permanent appointment.

**JURY DUTY/SERVICE**

A State employee, when called upon for Jury Duty, receives time off to serve during the period of Jury Service with no loss of his/her regular salary and no interruption of benefits. Payment for Jury Service, except for travel allowances, must be returned to the State (through the Payroll Office). If an employee is summoned for Jury Duty, he/she must notify his/her supervisor immediately and provide him/her with a copy of the Notice to Report. The supervisor will forward the Notice together with a record of the reason for the absence to the Payroll Office on the regular attendance reports. The employee is expected to return to work during the period of Jury Service anytime he/she is not actively serving.

**MILITARY LEAVE (SEE MILITARY POLICY)**

Military Leave with pay for required military training is available to any employee who is a member of the armed forces of the state, or any reserve component of the armed forces for the United States. Required Military Leave must be verified through the submission of a copy of the appropriate military orders to the Human Resources Office. A maximum of three weeks per calendar year is allowed for annual field training. Paid leave for union members for military call-ups, other than annual training, is limited to unscheduled emergencies and is subject to the provisions of the appropriate union contract. Employees should notify their supervisor as soon as they become aware of their Military Leave schedule.



## **IX. LEAVES OF ABSENCES**

### **PREGNANCY/MATERNITY LEAVE**

A pregnant woman may utilize accrued sick leave during any period of time (before, during, or after the delivery) in which her physician certifies her to be “unable to perform the essential functions of her position”. A medical certificate must be submitted to substantiate this period of disability. Once the disability period has ended or the employee has exhausted her sick leave accruals, she may request to use accrued vacation and personal leave time. When all paid leave has been used, the employee may request a leave of absence with her position held. The position will be held up to six months (6) following the delivery of the child.

### **MEDICAL LEAVE**

An employee who is incapacitated for duty due to illness will first utilize accrued sick leave. Under most union contracts, employees with at least five years of full-time service may request an advance of sick leave once they have exhausted their accrued sick leave (consult the appropriate union contract for specific information). Once accrued and advanced sick leave (if appropriate) have been exhausted, then the employee may request to use accrued vacation and personal leave time. Once all accrued leave time has been exhausted, the employee may request from the Human Resources Office a medical leave of absence without pay (LAW). The request for a medical LAW must be accompanied by a medical certificate (form P-33a). The employee must also present a medical certificate when returning to work to the Human Resources Office verifying that he/she is able to resume his/her job duties. Under State Family and Medical Leave Regulations, an employee’s position will be held for twenty-four weeks during a medical leave.

### **FAMILY AND MEDICAL LEAVE**

Under State Family and Medical Leave Regulations, employees may request from the Human Resources Office a family leave upon the birth or adoption of a child by an employee, or upon the serious illness of a child, spouse, or parent of an employee. The employee’s position would be held for up to twenty-four weeks during a family leave. Family leave is granted in addition to any of the other paid or unpaid leave benefits discussed above (e.g. employees are granted up to three days of paid sick leave per year to attend to a seriously ill family member, three days of paid sick leave are granted to the spouse following the birth or adoption of a child, etc.). In the case of Pregnancy/Maternity Leave, family leave provides an extension of twenty-four weeks above and beyond the six-month period discussed above.

### **EDUCATIONAL LEAVE**

A leave of absence with full pay, part pay, or no pay may be granted to enable an employee to increase proficiency on the job. Each educational leave request is reviewed on its own merits by the Human Resources Office and then is forwarded to Labor Relations for final approval. Key factors considered are the employee’s work record, prior schooling, educational field, career path, workload, and ultimate benefits to the agency. If the educational leave is with full or part pay, the employee must sign a contract that he/she will continue to work for the agency upon completion of the leave for a period commensurate with the length of the leave.

## X. SALARY

### PAYMENT OF SALARY

Each employee's job classification determines his/her salary grade. Job classifications are assigned to a salary group in relation to other job classifications on the basis of many job factors such as the amount and type of experience and training required, the technical importance, difficulty, and responsibility of the work, and other qualifications necessary to perform the work. Salary groups, other than Managerial, are divided into a number of steps. Generally, new employees start at the minimum step of a salary group. Managerial employees are placed in salary groups with minimum and maximum ranges. Generally new managerial employees would start at the minimum salary range for their salary group.

### PAYDAY

Payment of salary is made by check issued by the State of Connecticut Comptroller's Office effective every other Friday. Payment received on any given payday is for work performed during the pay period, which ended two weeks prior to the date of the paycheck. This two-week delay allows adequate time for processing the payroll. Therefore, as a new employee, you should receive your first paycheck within four weeks of your first day of work. In the event that you separate from State service, you will receive your last salary payment two weeks following the end of the last pay period during which you worked.

The statement of earnings, or "check stub" that you will receive attached to each paycheck is an important source of payroll information. All payroll deductions are itemized on this form. You should retain this as a record of your earnings. Early release of paychecks or advances on vacation may be requested according to existing practices. Questions concerning your paycheck may be directed, preferably in writing, to the Payroll Office.

Checks are distributed on the Thursday of pay week or can be downloaded from CORE. However, employees **under no circumstances** are to cash their check until after 3:00 PM that day.

### ANNUAL INCREMENTS

If you have been permanently appointed to a non-managerial position, you will receive a raise of one step for each year of "good" or better performance of your job duties up to the maximum step for your class. The amount of this raise is determined by the salary group of your job classification and the salary amounts negotiated through the Collective Bargaining process. Some Collective Bargaining agreements have also negotiated percentages of annual salary increases, the form of lump sum payments, for employees who have reached the last step in their salary group. Individual Collective Bargaining agreements should be consulted for more information.

Annual increments, or AI dates, were previously assigned according to an employee's date-of-hire, depending upon the date they were assigned, either a January 1<sup>st</sup> or July 1<sup>st</sup> annual increment. With the advent of Collective Bargaining non-managerial employees

hired after July 1, 1977 all have the January 1<sup>st</sup> annual increment date. Managers are assigned July 1<sup>st</sup> annual increment dates. The amount of the increase for managers is based upon goal attainment/performance level under the Managerial Incentive Plan.

All annual salary increases are effective at the beginning of the payroll period, which includes the annual increase date.

### **COLLECTIVE BARGAINING/COST OF LIVING INCREASES**

Collective Bargaining increases, or “CBI’s,” are negotiated wage increases for non-managerial employees. These increases are tied directly to the settlement of the individual union contracts. The increases are normally or usually calculated as across the board percentage increases of annual salaries within the negotiated salary structure. Cost of living increases are awarded to managerial employees based upon direction of the Governor.

### **SHIFT DIFFERENTIAL**

Shift differentials are payable to employees who are regularly assigned to “night shifts” (generally defined as beginning before 6:00 AM or after 2:00 PM.) or other alternative shifts as defined in the individual bargaining unit contracts. Payment of differentials is tied to the shift itself and not an individual’s work schedule. The amount of additional pay is negotiated. Consult your union contract for additional information.

### **PROMOTIONS**

Upon promotion, employees are guaranteed a salary increase equal to at least one full increment in the salary grade of the class to which they are promoted, unless the maximum for that salary group has been reached. Employees retain their original annual increment date unless promoted to a managerial position from a bargaining unit position. Employees promoted into or within the Managerial classes are guaranteed a salary increase of at least 5% up to the maximum of the salary range for the job classification to which they are promoted.

### **LONGEVITY PAY**

Longevity payments are for union members hired prior to July 1, 2011, and begin with the completion of the full time equivalent of ten years of continuous State Service, and increases are received following the completion of 15, 20 and 25 years of service. The amount payable is determined by the collective bargaining process. Longevity schedules appear in the individual bargaining unit contracts. Qualifying years of service must be obtained by April 1<sup>st</sup> and October 1<sup>st</sup> of each year. Payment of the lump sum amounts is made twice yearly in April and October. Managers and non-represented employees are not eligible for longevity pay. Union employees hired after July 1, 2011 are not eligible for longevity payments.

## **XI. DEDUCTIONS**

### **FEDERAL INCOME TAX AND SOCIAL SECURITY**

Federal Income Tax and Social Security will be deducted from paychecks in accordance with federal law.

### **HEALTH INSURANCE**

The State of Connecticut offers a wide variety of health insurance plans to its employees. Because of the abundance of decisions and choices which can and must be made it is important that each employee make an informed decision when choosing their health plan.

This agency provides each employee upon hire with a packet of information regarding the health plans for which they are eligible. This information should be read carefully and applied to each individual's/family's health needs. Close attention should be given to procedures and services both offered and not offered by a particular health insurer. If a health plan does not cover services you or your family are likely to need, they may not be the right insurer for you. Other factors to consider include cost, do your doctors participate in the plan you are choosing, does this insurer cover pre-existing conditions, and are the insurers facilities located conveniently? Do not hesitate to ask questions regarding these health plans. If the Human Resources Officer or Payroll Officer cannot answer your questions they may advise you to contact the insurers directly.

Individual health insurance coverage for an employee is offered by the State. Immediate family members (spouse, children) can be covered by your membership; check the chart provided in your informational packet to determine the amount charged, if any, for such coverage. Dependent children are covered until they reach the age of 26 for medical and prescription coverage only. Dental coverage ends at age 19 regardless of student status.

Your health insurance coverage becomes effective on the first day of the month following your hire date. For example, if you were hired on October 4, 2013, your coverage would begin on November 1, 2013. New employees should make arrangements to continue their present insurance coverage to accommodate this process.

One month is designated during each year as an "open enrollment period" during which employees may switch health insurance carriers. The announced month is the only open-enrollment period in any given year. Employees must remain with their originally chosen insurer until the open-enrollment period. Once one of the insurance plans is chosen, the employee must remain under that plan until the next open enrollment period. Notification of the dates of yearly open-enrollment periods will be given to employees via flyers with their paychecks or by e-mail.

Any additions or subtractions of dependents covered under your health insurance plan must be processed through the Payroll Office. Contact the Payroll Office for the appropriate forms. It is important to note that new dependents (such as a birth of a child) must be added within thirty (30) days.

### **GROUP LIFE INSURANCE**

Life insurance is available to employees at group rates, a share of the cost is provided by the State. This is term life insurance. Term life insurance is valid upon your death, only while premiums are being paid. No dividends are realized. Employees may choose to either authorize deductions after six months of employment or waive coverage entirely. If the employee waives coverage and later decides to enroll, medical evidence of insurability is required. Contact the Payroll Office for the appropriate forms.

The amount of insurance coverage available to an individual employee is based upon their annual salary and is adjusted automatically each October 1<sup>st</sup> as the annual salary increases. Beneficiary changes should be updated as necessary with the Payroll Office.

### **AUTOMOBILE AND HOME OWNERS INSURANCE**

Automobile and Home Owners Insurance are available at the employee's expense. For a current listing of vendors visit [www.osc.ct.gov/benefits/docs/employeehandbook.pdf](http://www.osc.ct.gov/benefits/docs/employeehandbook.pdf).

### **CREDIT UNION**

Membership to the Connecticut State Employees Credit Union, Inc. is open to all active and retired State employees and their families. The Credit Union offers payroll deduction and direct deposit savings plans and many other financial services. For more information contact one of the following branch offices:

84 Wadsworth Street  
Hartford, CT 06106  
860-522-5388

1244 Storrs Road  
Storrs, CT 06268  
860-429-9306

1666 Litchfield Turnpike  
Woodbridge, CT 06525  
203-397-2949

401 West Thames Street  
Norwich, CT 06360  
860-889-7378

Southbury Training School  
P. O. Box 644  
Southbury, CT 06488  
203-267-7610

Connecticut Valley Hospital  
Corner of Holmes & Silver Street  
P.O. Box 2485  
Middletown, CT 06457  
860-347-0479

O'Neil Plaza  
2434 Berlin Turnpike  
Newington, CT 06111  
860-667-7668

### **CT STATE EMPLOYEES' CAMPAIGN (CSEC)**

CSEC fundraising drives are conducted annually. You may authorize payroll deductions for the amount of your pledge(s). Information is distributed to employees annually during the annual drive period and can be found at [www.csec.ct.gov](http://www.csec.ct.gov).

### **DEFERRED COMPENSATION 457 PLAN**

Permanent employees working more than 20 hours per week are eligible for participation in the State of Connecticut Deferred Compensation Plan. Funds will be deducted via

payroll deduction into various tax saving accounts. Specific information regarding the plans available may be obtained by contacting the State of Connecticut's Deferred Compensation Program, ING Financial Advisors at [www.ctdcp.com](http://www.ctdcp.com) or calling 1-800-784-6386-option 4.

### **DIRECT DEPOSIT OF PAYCHECK**

Through direct deposit, employees can have the net amount of their paycheck deposited in full to a checking or savings account in the financial institution of their choice (provided that institution is a member of the automated clearinghouse). Funds are transmitted electronically and are available to the employee on the day the check is dated. Employees should contact the Payroll Office for information and authorization forms.

### **DISABILITY (SHORT TERM / LONG TERM) INSURANCE**

Disability Insurance plans are available at the employee's expense. For a current listing of vendors visit [www.osc.ct.gov/benefits/docs/employeehandbook.pdf](http://www.osc.ct.gov/benefits/docs/employeehandbook.pdf).

### **UNION DUES OR AGENCY FEES**

All employees who are included in Collective Bargaining units have union dues deducted from each paycheck. The dollar amount of these dues is determined by the individual unions. Amounts may be based upon one of several different formulas such as the establishment of a set rate for all bargaining unit members or charging dues based upon a sliding scale in direct proportion to a member's annual salary. Agency Service fees are deducted from the salaries of employees whose job classifications are attached to a bargaining unit but who have chosen not to join the applicable union. The fee is usually consistent with the amount of union dues the employee would have paid if he/she had joined the union. Agency service fees are remitted to the various unions. These fees are used to subsidize the contract negotiation process from which all employees, regardless of union membership, benefit.

## **XII. OTHER BENEFITS**

### **EMPLOYEE ASSISTANCE PROGRAM**

The Employee Assistance Program (EAP) is a voluntary confidential program administered by the University Of Connecticut Health Center free of charge for you or your immediate family member. If you have a personal problem that affects your work, health or other aspects of your life that can have a negative effect on your job performance, you can make a confidential appointment by calling 24 hours a day 860-679-2877 or toll free 800-852-4392. Employees may request assistance on their own or may be referred by a supervisor.

These problems could be marital/family disagreements, stress or emotional problems, drug/alcohol abuse or dependency, financial or legal difficulties, health management, physical abuse, or bereavement. This program is confidential and information is never released without your written permission. Whenever possible, employees should arrange appointments with treatment resources outside their scheduled work hours. Any appointments during work hours require the use of accrued leave time. Experience shows that most problems can be successfully resolved through appropriate treatment programs. Employees are encouraged to seek assistance as needed.

### **XIII. TRAINING AND DEVELOPMENT**

#### **CONFERENCES AND SEMINARS**

All employees may apply to participate in statewide in-service training courses with supervisor approval. These courses take place during the workday. They are designed to increase the employee's skills on the job and/or enhance general information for the employee's personal life. Registration takes place semi-annually, usually in late summer, for fall, and late winter for spring courses. Classes are announced department-wide through e-mail. Among the items upon which approvals will be based are the course's relevance to the employee's job, career advancement and unit operating needs.

#### **TUITION REIMBURSEMENT**

Employees may apply for tuition reimbursement for courses taken during non-working hours without supervisory approval at colleges, universities, technical schools and other recognized educational institutions. Tuition reimbursement provides employees financial assistance to enhance career growth through advanced education.

Each bargaining unit has specific funding for tuition reimbursement. Detailed eligibility criteria and funding coverage is provided in each collective bargaining unit's contract. Managers are eligible for tuition reimbursement from the State Management Development Fund and agency funds when available. Confidential employees who are not in management positions may apply for tuition reimbursement under the terms of the bargaining unit to which their job title belongs. All applications must be submitted to the Human Resources Office two (2) weeks prior to the start of a course. For further information contact the Human Resources Office.



## **XIV. SEPARATIONS**

### **RETIREMENT**

Retirement benefits are a complicated and important topic. All of the details of the States' pension plan could not possibly be covered fully in this type of communication. This is to be considered as an overview or introduction to the States' retirement pension plan.

Retirement requires careful planning. Employees should make an effort to understand the retirement plan in which they are a member. The State retirement pension agreement is a negotiated agreement between the State and the Collective Bargaining units. An adequate understanding of retirement benefits can only enrich each employee's retirement years.

Eligibility for a vested retirement pension occurs when an employee has completed (5) five years of creditable State service for Tiers I, II IIa and 10 years vesting service for Tier III. Actual collection of such a pension and its amount are subject to factors described below. Currently, there are four membership plans contained within the Connecticut State Employees Retirement System. These plans are identified by tier numbers, Tier I, II, IIa and III. The following is a brief description of each plan:

#### **Tier I**

Tier I is a contributory retirement plan. For the most part only employees hired before July 1, 1984 are members of this plan. Employees enrolled in this plan contribute toward their retirement pension directly, via payroll deductions of 2% or 5% of their annual salary. Normal retirement under this plan is permitted when the employee reaches age 55 and has at least 25 years of service credit, or at age 65 with 10 years of service credit. Tier I is divided into (3) three plans, Plan A, Plan B and Plan C. Plan A and Plan C members contribute 5% of their annual salary towards their retirement. Plan A members have chosen not to participate in the social security system and will never be eligible for social security benefits. Plan C members contribute social security deductions. They will be eligible for their full pension as well social security benefits. Plan B members contribute 2% of their salary up to the social security maximum and 5% of any salary in excess of this maximum. Plan B members will receive a reduced pension upon the start of social security payments. More details regarding this retirement plan can be found at [www.osc.ct.gov/stemploy.htm](http://www.osc.ct.gov/stemploy.htm)

#### **Tier II**

Tier II is a non-contributory retirement plan. Employees hired on or after July 1, 1984 but before July 1, 1997 are automatically members of this plan. Since no contributions are made into this system, individuals leaving prior to retirement age are not eligible for any refund of contributions. Normal retirement is age 60 with at least 25 years of vesting service or age 62 with 10 years of vesting service. More details regarding this retirement plan can be found at [www.osc.ct.gov/stemploy.htm](http://www.osc.ct.gov/stemploy.htm)

### Tier IIa.

Tier IIa is a contributory retirement plan for employees hired on or after July 1, 1997. This plan is the same retirement plan as Tier II. However, in the Tier IIa Plan, non-hazardous duty employees contribute 2% and hazardous duty employees contribute 5% of his/her yearly gross salary. Normal retirement is age 60 with at least 25 years of vesting service or age 62 with 10 years of vesting service. More details regarding this retirement plan can be found at [www.osc.ct.gov/stemploy.htm](http://www.osc.ct.gov/stemploy.htm)

### Tier III

Tier III is a contributory defined benefit plan for employees hired on or after July 1, 2011. As a Tier III member, non-hazardous duty employees contribute 2% and hazardous duty employees contribute 5% of his/her yearly gross salary. Normal retirement is age 63 with at least 25 years of vesting service or age 65 with 10 years of vesting service. More details regarding this retirement plan can be found at [www.osc.ct.gov/stemploy.htm](http://www.osc.ct.gov/stemploy.htm)

Whether you are in Tier 1, Tier II, Tier IIa or Tier III, there are several “types” of retirement you may apply for. The most common are Normal Retirement and Early Retirement. Other types include Hazardous Duty and Disability Retirement. All retirement pensions are based upon three factors; the employee’s age at retirement, the employee’s creditable state service, and the average of the employee’s three highest years of earnings. These factors are used in various formulas and calculations according to the type of retirement and the Tier in which the employee is a member. In addition, under either retirement Tier an employee has four options regarding the payout of his/her pension. These options are:

Straight Life Annuity – Pension is payable for the retirees lifetime only. This will provide the employee with the largest possible monthly benefit.

50% Husband and Wife – Monthly pension amount is reduced based on the age of husband and wife. This reduced benefit will allow continued pension benefits (50% of the reduced amount) to the employee’s surviving spouse, and insure continuation of spouse’s health insurance benefits.

Contingent Annuitant – Monthly pension amount is reduced based upon age of the retiree and beneficiary in order to provide a continued benefit (either 50% or 100% of reduced pension amount) for a chosen beneficiary upon the employee’s death.

10 to 20-Year Period Certain – Reduced monthly pension will be guaranteed for either 10 years or 20 years, whichever employee chooses. After a certain period expires pension benefits would end.

Each “type” of retirement and its corresponding details, options and formulas are described in the Connecticut State Employees Retirement System Tier I, II, IIa and III booklets. Neither these descriptions, nor the mentioned retirement booklets, are to be considered as more than informational tools. The actual retirement pension agreement will prevail if any conflict of wording exists. Each employee is encouraged to contact the

Retirement Division directly, approximately six (6) months prior to their anticipated retirement to arrange for a meeting with a retirement counselor.

Upon retirement, health insurance will continue for you. For the cost of coverage see the retiree healthcare options planner. Your spouse, if he/she is covered on your health plan at the time of your retirement and if you have chosen the spouse option pension payment form will also be covered. Your health insurance benefits will change upon retirement (after a 30-day grace period). Retirees have special health insurance plans, which can be discussed with the individual insurers. Also, retirees age 65 and over must have Medicare as their primary medical coverage, with their state plan as a supplement.

Life insurance is paid up for employees with 25 years or more of service (Tier 1, II and IIa only) at 50% of the amount for which you were insured when employed (not less than \$7,500). Employees with less than 25 years of service will receive a pro-rated amount. The Retirement Division will contact retirees regarding the purchase of the difference in their life insurance benefit amount. Pensions are also subject to cost of living increases as outlined in the pension agreement. Details regarding retiree's benefits can be obtained from the Retirement Division or the Human Resources Office.

At times, circumstances may dictate that you or your beneficiaries explore various retirement options for yourself or, in the event of your death, your survivors. Disability Retirement and pre-retirement death benefits are a part of your pension agreement. There are specialized units at the Retirement Division to accommodate questions in these areas. You may also consult your retirement booklet or the Human Resources Office for information.

### **RESIGNATION**

The personnel regulation on resignations provides: "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 his resignation, except that the appointing authority may require as much as four weeks' notice if the employee occupies a professional or supervisor position."

If you should resign, your written notice of resignation must state your last day of work and be submitted to your supervisor two weeks or more in advance of your leaving. Permanent employees who resign in good standing receive a lump-sum payment for any unused vacation leave. Separating employees may make arrangement to continue health insurance benefits at group rates for a specific period of time determined by their reason for separation. Please contact the Human Resources Manager or Payroll Officer regarding length of coverage and payment details. Tier I retirement members may request a refund of retirement contributions within 5 years of separation.

A notice of resignation submitted less than two weeks in advance may be regarded as a separation not in good standing and may affect reemployment rights. An unauthorized absence of five or more working days may also be considered a resignation not in good standing. If a resignation is considered not in good standing, the employee will be notified and may file an appeal with the Human Resources Office and Labor Relations within (10) ten days of separation.

### **WITHDRAWAL OF RESIGNATION**

A former permanent employee who has resigned in good standing may, within one year of the effective date of resignation, request withdrawal of resignation. Request must be made in writing and submitted to Department of Administrative Services, Human Resources or to the Military Department Human Resources Office.

### **LAYOFF**

A layoff is defined as the involuntary, nondisciplinary separation of an employee from state service because of lack of work or other economic necessity.

Order of layoff is contingent upon a variety of factors. Individual bargaining unit contracts should be consulted for variables and details that will be utilized in the event a layoff becomes unavoidable. The Human Resources Office will work closely with an employee who is subject to layoff to ensure all appropriate options and benefits are provided. Employees not covered by collective bargaining should consult Section 5-241 of the CT General Statutes.

### **RE-ELIGIBILITY/RE-EMPLOYMENT RIGHTS**

Section 5-248 (e) of the General State Statutes provides “When an employee has resigned in good standing with the consent of the appointing 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.”

In those situations where layoffs have occurred and in certain other situations (i.e. demotions), employees have reemployment rights as authorized by collective bargaining agreements and the appropriate CT General Statutes. Re-employment rights provide employees with priority over certain other applicants in competing for positions within certain classes depending on the terms of the appropriate collective bargaining agreement and/or state statute(s).

Re-eligibility rights are also available to state retirees for classes in which they had attained permanent status. Retirees are also eligible for the rehired retirees program for a maximum of 120 days per calendar year without such earnings affecting their pension amount. Employees who are unable to return from a leave of absence may have re-eligibility rights subject to the provisions of their individual bargaining unit contract.

## **XV. MISCELLANEOUS**

### **CT RIDES**

The Military Department promotes the statewide ride share program. This provides an opportunity for employees to reduce the expense of transportation to work. Employees may consider using a ride-sharing mode (carpool, vanpool, bus) as an alternative to driving alone. This provides personal financial savings, energy savings and air quality benefits. Any interested employee may visit the Department of Transportation website at [www.ct.gov/dot](http://www.ct.gov/dot) → Travel Resources → Public Transportation.

### **HOLIDAY PARTY/PICNIC**

All Employees are eligible to receive one-half day off with pay to attend one (1) holiday party and one (1) annual picnic. Said holiday party and picnic must be sponsored by the applicable union or the Military Department. Employees who attend the holiday party or picnic will be given the one-half day off. Employees who choose not to attend will not be eligible to take that time off. Union employees are authorized time off to attend either a union sponsored holiday party / picnic, or an agency sponsored holiday party/picnic.