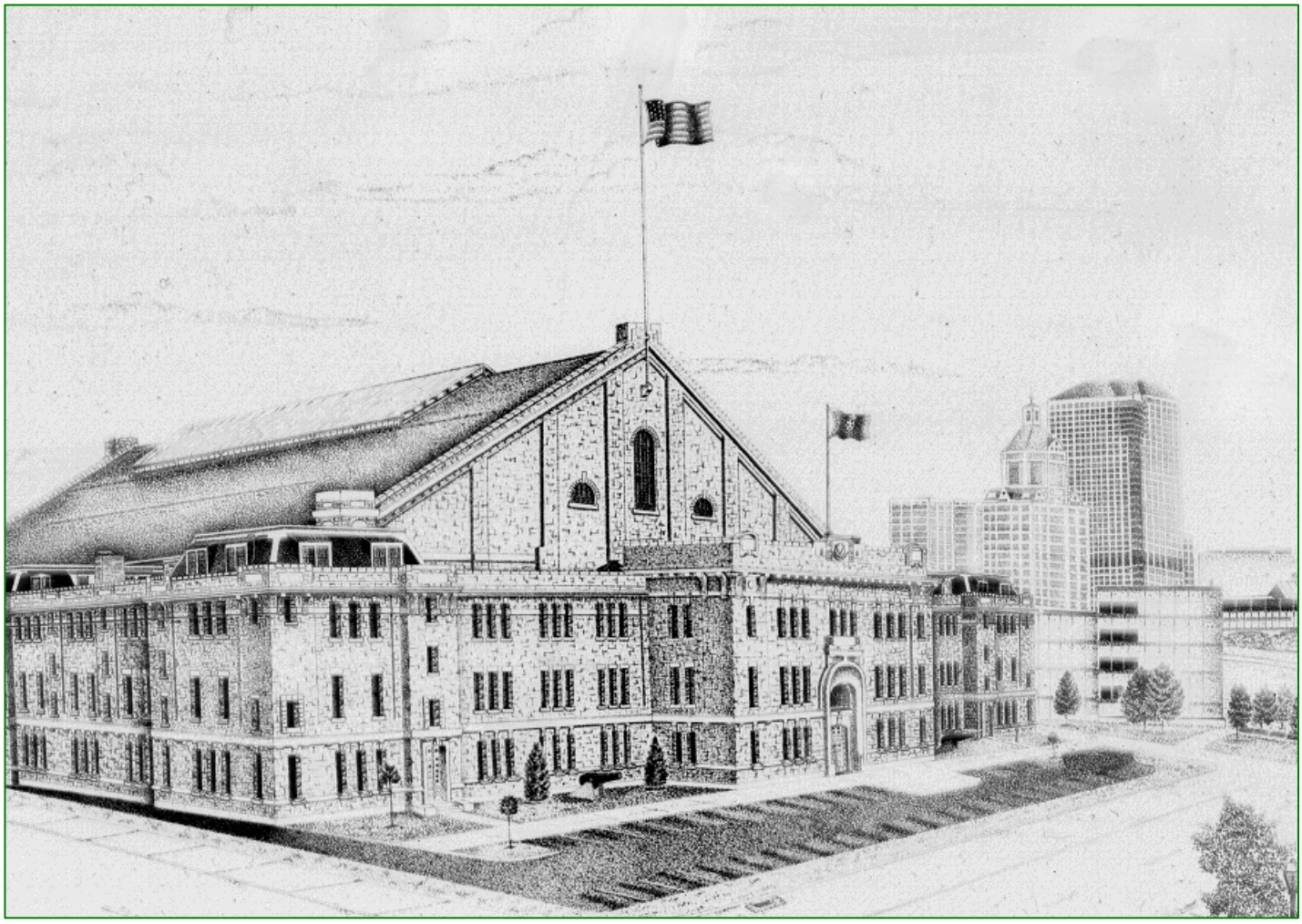
The Military Department's Employee Handbook



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THE MILITARY DEPARTMENT'S
EMPLOYEE HANDBOOK

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THE MILITARY DEPARTMENT'S EMPLOYEE HANDBOOK

Anthony Lewis
Personnel Manager
February 2007

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. Were it not for these similarities, it would be impossible to meaningfully develop one handbook for all employees.

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.

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 COMMUNITY.

III. POLICIES

THE MILITARY DEPARTMENT AMERICANS WITH DISABILITIES ACT POLICY

The Military Department is committed to providing and promoting equal opportunities in all of its programs and services. This commitment includes adhering to the mandates of the Americans with Disabilities Act (ADA) of 1990, which 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 ADA utilizes a three-pronged definition of disability. An individual with a disability is; any person that (1) has a physical or mental impairment that substantially limits one or more major life activities, (2) has a record of such impairment, or, (3) is perceived or regarded as having such impairment.

The Military Department is also committed to providing reasonable accommodations to qualified persons with disabilities. This will ensure the full and fair participation of all employees and the public in all Department programs and activities.

The Americans with Disabilities Act enables society to benefit from the skills and talents of individuals with disabilities, similar to those provided by Title VII of the Civil Rights Act of 1964, as amended, which prohibits discrimination of the basis of race, color, sex, national origin, and religion and Section 504 of the Rehabilitation Act of 1973 which is the foundation for the Americans with Disabilities Act.

As with each civil rights legislation, every employee is expected to comply with the provisions of the Americans with Disabilities Act. All employees are expected to support the Department's efforts and programs which are designed to promote and achieve the principles of the Americans with Disabilities Act.

THE MILTITARY DEPARTMENT AFFIRMATIVE ACTION POLICY

It is the policy and practice of the Military Department to ensure that no person will be discriminated against or be denied the benefits of any activity, program or employment process receiving public funds, in whole or in part, in the areas of recruiting, advertising, hiring, upgrading, promoting, transferring, demoting, layoffs, terminations, rehiring, rates of pay, benefits, discipline and service ratings. The Department pledges to affirmatively provide services and programs in a fair and impartial manner.

The Military Department is an Affirmative Action/Equal Opportunity Employer and is strongly committed to all policies which will afford equal opportunity employment to all qualified persons without regard to race, color, religion, age, marital status, sexual

preference, national origin, creed, ancestry, learning disabled, physical disability or blindness, criminal record, past or present history of mental disorder, political belief, mental retardation or sex. While equal employment opportunity is the purpose and need of affirmative action, the Affirmative Action Plan represents 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 full and fair participation of protected groups. The Department views affirmative action and equal employment opportunities as immediate and necessary Department objectives.

The difference between affirmative action and equal opportunity employment is that while equal opportunity employment means employment of individuals without consideration of race, color, religion, creed, age, sex, marital status, sexual preference, national origin, ancestry, learning disability, mental retardation, physical disability or prior conviction of a crime, unless the provisions of Section 46a-60(b), 46a-80(b) or 46a-81 of the Connecticut General Statutes are controlling or there is a bona fide occupational qualification excluding persons in one of the above protected groups, affirmative action is the 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 workforce and affected by policies or practices having an adverse impact.

The Military Department in addition to the above mentioned protected group members recognizes the hiring difficulties experienced by persons with physical disabilities, developmental disabilities, and by many older persons, and sets goals for affirmative action to overcome the present effects of past discrimination, if any, to achieve the full and fair utilization of such persons in the workforce.

THE MILITARY DEPARTMENT ANTI-HARASSMENT POLICY

Purpose

The Military Department is committed to providing a work environment in which all people are treated with respect and dignity. The Department strictly prohibits sexual harassment and harassment based on all protected classes including race, religion, age, sex, marital status, national origin, ancestry, disability and sexual orientation. All employees are expected to help with this effort.

While some of this policy focuses specifically on sexual harassment, it in fact establishes a zero tolerance policy for harassment based on any and all of the protected classes listed above. The principals and complaint procedures outlined in this policy apply to both sexual harassment and other forms of illegal harassment against agency employees.

Prohibited Conduct
The Department will not tolerate harassment by anyone, including any supervisor, co-worker, vendor, client or customer, whether in the workplace, at assignments outside the workplace, at Department sponsored social functions, or elsewhere.

What is "Sexual Harassment"?
Sexual harassment is a form of sex discrimination, which is prohibited under both Connecticut and federal law. The term "sexual harassment" means any unwelcome sexual advance, request for sexual favors, or other verbal or physical conduct of a sexual nature where:

- submission to such conduct is made either explicitly or implicitly a term or condition of a person's employment;

- submission to or rejection of such conduct by an individual is used as the basis for an employment decision affecting the person; or

- such conduct is so severe or pervasive that it unreasonably interferes with a person's work performance or creates an intimidating, hostile or offensive working environment.

The offender or the victim of harassment may be either a man or a woman. Also, harassment can involve people of the same or the opposite sex.

Examples of Harassment, Although not a complete list, the following are examples of conduct that may be harassment:

- Unwanted sexual advances and explicit sexual proposals;
- Demands for sexual favors in exchange for favorable treatment or continued employment;
- Suggestive comments, sexually oriented kidding, teasing or practical jokes;
- Jokes about ethnicity, religious beliefs or practices, accents, or gender-specific traits;
- Foul or obscene body language or gestures;
- Display of printed or visual material that is foul, obscene or offensive;
- Sending or viewing jokes, pictures, or other information by e-mail or the internet where the information is sexually-explicit, or where it ridicules a person's ethnicity, religion, sexual-orientation or other unchangeable characteristics;
- Physical contact, such as touching, patting, pinching or brushing against another's body.

Reporting Harassment
1. Victims of Harassment. If you believe that you are being harassed, you should clearly and promptly tell the offender that you want him or her to stop the behavior. If for any reason you do not wish to confront the offender directly or if

confrontation does not successfully end the harassment, you should immediately report the harassment to any one of the following people:

- Your supervisor or manager;
- The Affirmative Action Officer Designee (Anthony Lewis 860-548-3248)
- The Adjutant General (Thaddeus J. Martin 860-524-4953).

2. Employees Who Witness Harassment. Any employee who witnesses harassment or becomes aware that another employee has been subjected to prohibited harassment is also urged to immediately report the conduct to one of the three people listed above.

3. Supervisors and Managers. Any supervisor or manager who receives a complaint about harassment or who believes that someone is engaging in conduct that may be prohibited harassment must immediately report it to Anthony Lewis or Thaddeus J. Martin. Ignoring such conduct is not acceptable and may subject the supervisor or manager to disciplinary action.

No Retaliation

The Department strictly forbids retaliation against employees who report harassment or who participate in internal or external investigations of harassment. The Department will not engage in any such retaliation nor will it permit employees to do so. All employees are strongly urged to report all instances of retaliation to one of the individuals listed above.

Investigating Complaints

The Department's policy is to take all complaints and reports of harassment seriously. All complaints and reports will be promptly investigated. Employees are expected to participate in investigations when asked.

Corrective Action

If an investigation confirms that harassment has occurred, the Department will promptly take corrective action. Discipline up to and including discharge from state service may be imposed.

False or Malicious Reports

Disciplinary action also may be imposed if the Department determines that a false or malicious complaint was made under this policy.

THE MILITARY DEPARTMENT BACK BELT POLICY

The purpose of this policy is to insure the health and safety of all of the 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.

THE MILITARY DEPARTMENT COMPENSATORY TIME POLICY

Union Employee

This document serves as the official policy for use of compensatory time for all Military Employees. Bargaining Unit employees who 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 1st and June 30th shall be utilized by December 31st of that year. Time earned between July 1st and December 31st must be used by June 30th 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.

STATE OF CONNECTICUT 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 Procedures

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. 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. State-issued 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 not served by a state-owned station, or
(3) prevented from doing so by 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. 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 Department of Information 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
- 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).

THE MILITARY DEPARTMENT 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 employees. That commitment is jeopardized when any Military Department employee uses illegal drugs or alcohol on the job, comes to work under their influence, or possesses, distributes or sells drugs in the workplace. Therefore, the Department prohibits on-the-job use of illegal drugs or alcohol, coming to work under the influence, and possessing or distributing drugs on Department premises. Violations of this policy will result in disciplinary action up to and including dismissal.

Employees are encouraged to seek assistance from the Employee Assistance Program or community resource on a voluntary basis for substance abuse related problems. Management is encouraged to refer employees with suspected drug problems to the Personnel Office for assistance. However, employees 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, employees 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.

STATE OF CONNECTICUT EITHICAL COMPLIANCE POLICY

In accordance with Executive Order No. 1, following the completion of an Ethics Audit, the Special Counsel for Ethics Compliance was ordered to provide to the Governor an Ethics Compliance Plan. The plan recommends measures that each agency of the Executive Branch must adopt in order to foster compliance with state ethics laws. Consequently, the Governor has initiated the following actions:

1. Pursuant to section 1-83(a)(2), each state agency, department, board and commission shall develop an ethics statement as it relates to its mission; a copy of such ethics statement must be sent to the Department of Administrative Services and the Ethics Commission. It should be updated contemporaneously with any relevant agency policy changes. In all cases it must be subject to review and revision on an annual basis. There shall be a link on the agency's website so the public, agency personnel and those seeking to do business with or doing business with the agency, may readily review the agency's ethics policies. This is especially important since many of these policies may be even more stringent than those permitted by the State Code of Ethics.

2. Before accepting employment with the State, individuals must be made aware of the Code so that they will understand their general ethical duties as a state employee or public official. Therefore, during the interview process, each person must be given a summary of the State Code of Ethics and agency's ethics statement by the hiring agency. Furthermore, Governor Rell's Executive Order No. 1 requires that each new employee sign a statement acknowledging receipt of such summary and agree to comply with the requirements of the state ethics laws. Attached is a letter from Governor Rell which should be provided to each potential employee, the latest version of the State Ethics Commission's Guide to the Code of Ethics, and a sample acknowledgement form.

3. Before any state person leaves state service, an exit interview should be conducted by the agency's Ethics Liaison Officer (see below) to once again remind the individual of potential issues relating to future employment opportunities. A written summary of the post-state employment rules should be provided at that time. This summary is included in the Ethics Commission's Guide to the Code.

4. Appointment of Ethics Liaison Officer. Appoint an individual in your agency to serve as an Ethics Liaison Officer. This officer shall be a member of management and be responsible for the duties as outlined below.

   The Ethics Liaison Officer shall be responsible for coordinating appropriate training programs, monitoring agency policies relevant to ethics compliance, and serve as a resource for ethics guidance and advice. The Ethics Liaison Officer will be the liaison to the State Ethics Commission to screen and refer issues to the Commission. Since the Ethics Liaison Officer cannot or should not provide legal advice regarding ethics issues, he or she will refer an individual to the State Ethics Commission when necessary or seek legal advice from the Commission on such individual's behalf. The Ethics Liaison Officer should also serve as the liaison to its constituency groups (e.g. contractors) to ensure that they are made aware of relevant restrictions under the Code when they interact with agency personnel. The Officer must also be responsible for disseminating information to keep employees apprised of the latest Commission rulings, enforcement actions, and statutory changes. I will assist the Ethics Liaison Officer in fulfilling his or her assigned duties. The Ethics Liaison Officer is not to be considered an enforcement officer but rather an informational resource and counselor. I suggest that the Officer have direct access to the agency head on these matters. Furthermore, if you are one of the larger agencies with multiple locations, you may want to consider a designee in each of the locations.

   Suggested qualifications: the individual cannot have been the subject of a prior complaint or controversy before the Ethics Commission or otherwise be found to have been guilty of a misdemeanor or felony crime. Every attempt should be made to select an Ethics Liaison Officer that has good communication skills, who colleagues respect and trust and who is easily approachable and accessible.

Dear Potential State of Connecticut Employee:

Thank you for considering employment with the State of Connecticut. As an employee for the State, you will be bound by the State Code of Ethics for Public Officials and State Employees. We would like to give you an introduction to this Code as you consider employment with the State. A copy of the Guide to the Code of Ethics for Public Officials and State Employees is attached.

Before you accept any employment with the State of Connecticut, you must be aware of the Code and should consider any possible conflict of interests. The principle provisions of the Code are as follows:

- **GIFTS.** In general, state employees are prohibited from accepting gifts from anyone doing business with, seeking to do business with, or directly regulated by the state employee's agency or department or from persons known to be a registered lobbyist or lobbyist's representative.
- **FINANCIAL BENEFIT.** A state employee is prohibited from using his/her office for the financial benefit of the individual, certain family members, or that of an associated business.
- **OUTSIDE EMPLOYMENT.** A state employee may not accept outside employment which will impair his/her independence of judgment as to official state duties or which would induce the disclosure of confidential information. Generally, outside employment is barred if the private employer can benefit from the state employee's official actions.
- **FINANCIAL DISCLOSURE.** Certain state employees are required to file a financial disclosure statement with the State Ethics Commission. This statement will be considered public information.
- **POST-STATE EMPLOYMENT.** There may be post-employment restrictions, known as "revolving door" prohibitions. For example, there are restrictions on accepting employment with a party to certain contracts if you were involved in the negotiation or award of the contract; for one year after leaving state service, you may not represent anyone for compensation before your former agency; certain designated individuals in the State's regulatory agencies may not, for one year after leaving state service, accept employment with any business subject to regulation by their former agency.

Please be advised that this is only a general overview. If you have specific questions about the State Code of Ethics, you should ask for the contact information for the agency's Ethics Liaison Officer or call the State Ethics Commission directly at (860) 566-4472.

Again, thank you for your consideration and best wishes in your job search.

Sincerely,

Governor M. Jodi Rell

A GUIDE TO THE CODE OF ETHICS FOR PUBLIC OFFICIALS AND STATE EMPLOYEES 2004

NOTE: This Guide summarizes only the main points of the Code. For the full text, with all conditions and exceptions, consult Connecticut General Statutes, Chapter 10, Part I. For interpretations of the Code contact the Ethics Commission.

WHO MUST COMPLY: All state officials and employees (except judges). NOTE: all officials and employees of the State's Quasi-Public Agencies are included in the Code's definitions of "public official" or "state employee", and are subject to the Code. The provisions on the last page apply to former public officials and state employees.

WHAT STANDARDS DOES THE CODE SET: The ethical rules are contained in Connecticut General Statutes §§1-84 through 1-86. Basically, these sections are intended to prevent one from using public position or authority for personal financial benefit. The principal provisions of §1-84 prohibit:

-acceptance of outside employment which will impair independence of judgment as to official duties or require or induce disclosure of confidential information gained in state service. (Generally outside employment is barred if the private employer can benefit from the state servant's official actions. For example, the individual in his or her state capacity has regulatory or contractual authority over the private entity. A state servant is not prohibited, however, from using his or her expertise for private gain, as long as no provision of the Code is violated in the process);

-use of public position or confidential information gained in state service for the financial benefit of the individual, his or her family (spouse, child, child's spouse, parent, brother or sister), or an "associated business" (defined to include any entity through which business for profit or not for profit is conducted in which the state servant, or an immediate family member, is a director, officer or owner) (NOTE: There is an exception to this definition, however, for unpaid service as an officer or director of a non-profit entity.);

-representation of another for compensation, or being a member of a business which represents a client for compensation, before: Banking Department; Connecticut Citing Council; Department of Environmental Protection; Claims Commissioner; office within Consumer Protection Department which carries out duties of the former Department of Liquor Control; Connecticut Real Estate Commission; Department of Public Utility Control; Department of Motor Vehicles; Insurance Department; State Insurance Purchasing Board; Gaming Policy Board; Division of Special Revenue; and Office of Health Care Access. (Excepted from this prohibition are members of boards, commissions, and quasi-public agencies who receive no compensation other than per diem, expenses, or both, and teaching or research professional employees of public institutions of higher education provided their actions are not otherwise in violation of the Code of Ethics.);

-solicitation or acceptance of anything of value based on an understanding that one's official action will be influenced thereby. (Prohibition applies to candidates and to anyone offering or giving the thing of value);

-entering into contracts with the State valued at $100 or more, unless the contract has been awarded through an open and public process. (Ban extends to immediate family and associated businesses but excepts executive branch and quasi-public agency officials

who receive no compensation except per diem, expenses, or both, unless official has control over subject matter of contract. Contracts of employment as a state employee and contracts made by court appointment are exempt from the provision.) Additionally, no executive head of an agency; no executive head of a quasi-public agency; and no member of such individual's immediate family or a business with which he is associated may enter into any contract with that agency or quasi-public agency;

-acceptance of any gift or gifts from one known to be a registered lobbyist or lobbyist's representative. (Limitation also applies to candidates, immediate family and staff members. "Gift" does not include food and drink totaling less than fifty dollars per person in a calendar year, if consumed on occasions at which the lobbyist, or a representative of the lobbyist, furnishing the food and drink is in attendance. In a restaurant setting, for the exception to apply, the lobbyist must be seated at the same table as the public official during the portion of the drinks or meal for which the lobbyist pays. Among the other items excluded from the term are presents given by individuals incident to "major life events", ceremonial awards costing less than one hundred dollars, benefits costing less than ten dollars per person per occasion up to fifty dollars total in a calendar year, and gifts to the state.);

-acceptance of any gift or gifts from any person doing business with, seeking to do business with or directly regulated by the state servant's agency or department. (NOTE: the same exceptions to the lobbyist gift provision listed above also apply to this gift limitation.)

-acceptance of any fee or honorarium given in return for a speech or appearance made or article written in one's official capacity. (Acceptance of the individual's necessary expenses is permissible, however.);

-interference with or solicitation of lobbying contracts for any person.

Section 1-85 (substantial conflict) and §1-86 (potential conflict) are distinct but related provisions to consider when a possible conflict is identified:

(1) If faced with taking official action which you can expect will directly affect your financial interests, or that of your spouse, dependent child, or an associated business, distinct from others in your occupation or group (e.g., taking official action on the awarding of a contract to a private business you own) you have a substantial conflict of interest under §1-85 and may not act under any circumstances.

(2) However, if your financial interest is shared by the other members of your profession, occupation, or group (e.g., a public official/teacher acting on a matter that will result in a uniform financial benefit to all teachers) you proceed under the rules of §1-86. Specifically: (A) if one is a member of a regulatory agency, one must either be excused or prepare, under penalty of false statement, a written statement (to be placed in the minutes of the individual's agency, copy to the Ethics Commission) describing the potential conflict and stating why, despite the situation, one can act fairly, objectively and in the public interest; or (B) if not a member of a regulatory agency, the individual must prepare a written statement, under penalty of false statement, which describes the potential conflict. The individual must deliver the statement to his or her superior, who will assign the matter to another who is not subordinate to the individual with the conflict. (If one has no immediate superior, deliver the statement to the Ethics Commission for guidance on how to proceed.)

(3) Under §1-86, if the financial effect on you, a family member, or an associated business is insignificant(i.e. less than $100 in a calendar year), or no different than

that of a substantial segment of the general public (e.g., a regulatory official approving an increase in residential electric rates), you may act without having to follow §1-86 procedures.

FINANCIAL DISCLOSURE: Certain public servants in significant positions in the Legislative and Executive Branches of State government and the State's Quasi-Public Agencies must file annually with the Ethics Commission by May 1 statements of financial interests held during the previous year.

Additionally, each state servant must disclose to the Commission, within thirty days, any "necessary expense" payments which the individual receives in his or her capacity as a public official or state employee if lodging and/or out-of-state travel is included, unless such expenses are paid for by the Federal Government or another State Government.

Also, whenever a gift to the state incidentally benefits a public official or state employee in the amount of fifty dollars or more and is donated by an individual or entity regulated by, doing business with, or seeking to do business with the recipient agency, the individual's superior, shall certify in writing to the Ethics Commission, prior to the acceptance of the benefit, that the gift, in fact, facilitates state action or functions and is sanctioned by the recipient agency, notwithstanding any potential conflict of interests. An example of such a gift to the state is when a regulated entity pays the cost for a state regulatory employee to take a course relevant to his or her area of expertise.

ENFORCEMENT PROCEDURES, PENALTIES: Enforcement of the Code is initiated by a complaint, filed by the Commission or any member of the public. (In most instances, a Commission complaint is preceded by a confidential staff evaluation.) A two-stage process follows: (1) confidential investigation and probable cause hearing; (2) if probable cause is found, a public hearing to determine if the Code has been violated. (At any stage of the process the Commission and Respondent may negotiate a settlement.) After a finding or admission of a violation, the Commission can order the Respondent to comply with the Code in the future, file any required report or statement, and pay a civil penalty.

Alternatively, for failure to file a report, statement, or other information required by the Code the Commission can, after a single hearing, impose a civil penalty of up to $10 per day, the aggregate penalty for any one violation not to exceed $2,000.

If the Commission concludes a violation was intentional, it can refer the matter to the Chief State's Attorney for action. An intentional violation of the Code is a misdemeanor punishable by a fine of up to $2,000, a jail term of up to one year, or both.

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.

The Commission is authorized to protect and keep confidential the identity of any individual who provides information regarding a possible violation of the Code.

IF YOU HAVE A QUESTION ABOUT THE CODE: Anyone subject to the Code may request the Commission's advice (advisory opinion) as to how the Code applies to a situation. The Commission staff also provides informal advisory letters when the question posed is unambiguous or has been previously addressed by a Commission opinion. Finally, staff is available to discuss application of the Code to your particular issue on a confidential basis.

If you have any questions about this Guide or desire more information about the Ethics laws, please contact the Commission staff or visit the Commission's website (www.ethics.state.ct.us).

State Ethics Commission
20 Trinity Street, Suite 205
Hartford, CT 06106-1660
Phone: (860) 566-4472 Fax: (860) 566-3806
Hours: Weekdays 8:30 - 4:30

ETHICS CODE PROVISIONS APPLICABLE TO THOSE LEAVING STATE OR QUASI-PUBLIC AGENCY SERVICE

1. NO FORMER PUBLIC OFFICIAL OR STATE EMPLOYEE MAY DISCLOSE OR USE CONFIDENTIAL INFORMATION, GAINED IN STATE SERVICE, FOR THE FINANCIAL BENEFIT OF ANY PERSON.

This is a lifetime prohibition. "Confidential information" is any information not generally available to the public. The information may be in any form (written, photographic, recorded, computerized, etc.) including orally transmitted information, e.g., conversations, negotiations, etc.

2. NO FORMER EXECUTIVE BRANCH OR QUASI-PUBLIC AGENCY OFFICIAL OR STATE EMPLOYEE MAY REPRESENT ANYONE (OTHER THAN THE STATE) CONCERNING ANY PARTICULAR MATTER (1) IN WHICH HE OR SHE PARTICIPATED PERSONALLY AND SUBSTANTIALLY WHILE IN STATE SERVICE AND (2) IN WHICH THE STATE HAS A SUBSTANTIAL INTEREST.

This is a lifetime prohibition. It applies regardless of where the representation occurs and whether or not compensation is involved. The term "particular matter" must almost always be determined on a case by case basis. Although the concept is essentially a narrow one, a specific "particular matter" (e.g., an administrative enforcement proceeding) cannot be further divided into separate phases (prehearing investigation, hearing, decision, etc.) To hold otherwise would frustrate a principal purpose of this provision: prevention of side switching in the midst of on-going state proceedings.

3. NO FORMER EXECUTIVE BRANCH OR QUASI-PUBLIC AGENCY OFFICIAL OR STATE EMPLOYEE SHALL, FOR ONE YEAR AFTER LEAVING STATE SERVICE, REPRESENT ANYONE (OTHER THAN THE STATE) FOR COMPENSATION BEFORE THE AGENCY IN WHICH HE OR SHE WAS EMPLOYED AT THE TIME OF LEAVING STATE SERVICE, CONCERNING ANY MATTER IN WHICH THE STATE HAS A SUBSTANTIAL INTEREST.

"Represent" (under both nos. 2. and 3.) includes any action which reveals the identity of the individual, e.g., a personal appearance, phone call, signature on a document, identification on a firm's letterhead, etc.

NOTE: A Commission policy has been established to allow former state servants to enter into consulting and other employment contracts with their former agencies within the one year period. Specifically, such conduct is permitted, as long as the re-employment is at no greater pay level than the individual was receiving at the time of separation from state service plus necessary expenses. In essence, by prohibiting the

negotiation of the compensation rate, this policy prevents improper use of influence and contacts for financial advantage. At the same time, employment options of former state servants are not limited unnecessarily and the State is not denied these individuals' expertise. Those with questions concerning this policy should contact a Commission attorney.

4. NO FORMER PUBLIC OFFICIAL OR STATE EMPLOYEE WHO PARTICIPATED SUBSTANTIALLY IN, OR SUPERVISED, THE NEGOTIATION OR AWARD OF A STATE CONTRACT VALUED AT $50,000 OR MORE MAY ACCEPT EMPLOYMENT WITH A PARTY TO THE CONTRACT (OTHER THAN THE STATE) FOR ONE YEAR AFTER RESIGNATION FROM STATE SERVICE IF THE RESIGNATION OCCURS WITHIN ONE YEAR AFTER THE CONTRACT WAS SIGNED.

Substantial participation is not limited to the chief negotiator or the individual who signs the contract. Rather, the concept of substantial participation (under both nos. 2. and 4.) applies whenever the individual exercises discretionary authority at any level of the process. "Employment" includes work as an independent contractor or consultant.

5. PERSONS WHO SERVE IN ONE OF APPROXIMATELY 75 SENIOR POSITIONS IN THE STATE'S REGULATORY AGENCIES ARE PROHIBITED, FOR ONE YEAR AFTER LEAVING STATE SERVICE, FROM ACCEPTING EMPLOYMENT WITH ANY BUSINESS SUBJECT TO REGULATION BY THEIR FORMER AGENCY.

(NOTE: positions to which this restriction applies are listed in Regulations of Conn. State Agencies §1-92-40a.)

Revised: October, 2003 (poguide)

THE MILITARY DEPARMENT 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 a.m. through 7:00 p.m. daily.
2. All employees must take a lunch break of at least thirty (30) minutes daily between the hours of 11:00 a.m. to 2:00 p.m.
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 a.m. through 7:00 p.m. hours or in excess of 40 hours per week will continue to be treated as overtime or compensatory time under existing practices.

THE MILITARY DEPARTMENT 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.

THE MILITARY DEPARTMENT 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 contact the following individuals.

Timothy Tomcho, Judge Advocate General – 860.548.3203
Anthony Lewis, Personnel Manager – 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 immediately contact with the names above to determine if the individual may have access to the requested information.

If you have questions, please feel free to contact either one of the above people. Thank you for your cooperation in this matter.

THE MILTARY DEPARTMENT 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) that individuals with HIV / AIDS be 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 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 job duties satisfactorily. Managers and supervisors will make reasonable accommodations per the HIV / AIDS protocol. This protocol adheres to strict confidentiality practices.

THE MILITARY DEPARTMENT INMATE SUPERVISION POLICY

In accordance with the Connecticut General Statues section 18-90a, towns municipalities, state agencies etc. may be provided inmate work crews by the Department of Correction when ever 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, Personnel Office. Failure to adhere to this policy can lead to disciplinary action up to and including dismissal.

State of Connnecticut

Acceptable 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 [1]

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

[1] 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 DOIT 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 Director of Human Resources (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 DOIT 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 Director of Human Resources (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 CTNET (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. 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

"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.

Extenuating Circumstances

29. Q: May employees use their State e-mail to communicate with their immediate family member who has been deployed oversees for participation in Operation Enduring Freedom and Operation Iraqi Freedom?

A: Yes, so long as employees inform their immediate supervisor (or designee) of their intent to use State e-mail for this purpose and provided they do so on their breaks or during their lunch period. **Note:** Immediate family member includes husband, wife, domestic partner, father, mother, sister, brother, child and any relative who is domiciled in the employee's household.

THE MILITARY DEPARTMENT 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.

THE MILITARY DEPARTMENT OVERTIME POLICY

This document serves as the Military Department's official policy for the use and approval of overtime.

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.

THE MILITARY DEPARTMENT 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.

   (C.G.S. 31-128d)

   b. The Military Department does not have to allow employees to remove their medical records or personnel files from the Personnel 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.

THE MILITARY DEPARTMENT 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 <u>all</u> 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 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. 5-266a

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. 9-333l(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. 9-333l(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 <u>after</u> 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.

THE MILITARY DEPARTMENT 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 employees 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.

THE MILITARY DEPARTMENT SAFETY POLICY

It is the policy of the State 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.

THE CONNECTICUT NATIONAL GUARD SMOKING POLICY

The policy on controlling smoking was approved by the Secretary of the Army and Chief of Staff on 6 June 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 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.

1. **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 1 May 1990.

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

MILITARY DEPARTMENT SURVEILLANCE POLICY

Pursuant to Public Act 98-142 of the Connecticut General Statues, 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.

THE MILITARY DEPARTMENT WORKERS COMPENSATION PROCEDURE

To Report an Injury

1. Notify your Supervisor of injury and have them complete an **Accident Report Form** (WC-207). On a recurrent claim **no new WC-207** 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

1.866.828.2717 Recurrence hotline and the supervisor should provide as much detail of the recurrence as possible.

3. The supervisor should fax the completed WC-207 to the Human Resource Office attention 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 GAB Robbins directly at 800 Connecticut Boulevard, East Hartford, CT 06108.

For information concerning participating physicians, please call 1.800.527.6106.

If You Lose Time From Work (complete the following 5 forms)

1. The employee completes the **Filing Status and Exemption Form (WC-1a)** and forwards the form to the Human Resource 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 Resource 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 Resource 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 the copy should be forwarded to the Human Resource Office.

5. Return to duty when cleared by your attending Physician.

MILITARY DEPARTMENT 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 request must be approved by the Personnel 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 Resource Office.
2. Employee must complete the form and give it to their supervisor for approval.
3. The request will be forwarded to the Personnel Manager for approval.
4. The Personnel 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.

STATE OF CONNECTICUT VIOLENCE IN THE WORKPLACE PREVENTION POLICY

The State of Connecticut adopts a statewide zero tolerance policy for workplace violence. Therefore, except as may be required as a condition of employment:

- 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 in a state worksite.
- No employee shall cause or threaten to cause death or physical injury to any individual in 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 discharge.

Any employee who fears for their personal safety or for the safety of others should contact the facility's OIC/DOIC. For situations that require immediate attention or **call police at 911.**

Contact your supervisor or the Human Resources Office, Anthony Lewis at 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 the terms and conditions of employment. With the advent of Collective Bargaining, all state job classifications were assigned to particular bargaining units or "Unions". Individual unions were voted for by state employees to represent them in the negotiation process. Therefore, employees are

assigned to a bargaining unit based upon their particular job classification and are exclusively represented by a specific union based upon their bargaining unit.

Managerial and certain confidential job classifications are exempt from the collective bargaining process. Terms of employment for exempt employees are based upon State Statues and State Personnel Rules and Regulations.

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 Personnel 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 appropriate union contract. Employees exempted from the collective bargaining process have their grievance procedure outlines in Section 5-202 of the General Statutes.

Grievance procedures are available to employees, the union and management to aid in the resolution of disputes over the interpretation and application of the individual contract agreements. However, every effort should be made by the involved parties to resolve such matters before a formal grievance is necessary. Each contract's specific procedure may vary, but generally all consist of a series of steps or stages, with time limits for initiating the steps 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 conducted up until it reaches the highest level of authority in the agency. Most grievance procedures provide for arbitration if the grievance can not 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); 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 story 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.

V. APPOINTMENTS AND PROMOTIONS

For the most part, the appointment and promotion of the classified State employees is governed by the Connecticut State Merit System. As is true of any merit system, be it at the federal, state, or municipal level, 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 State Personnel Division 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 State Personnel Division 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 applications. 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 State Personnel Division. 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 State Personnel Division. 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 to be 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.

Announcements are posted on designated bulletin boards at the Hartford Armory, Bradley Air National Guard and Camp Rell. Copies of these announcements and application may be obtained through our Personnel Office and the Department of Administrative Services web-site (www.das.state.ct.us). 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. 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 PERIODS

Working test periods are 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, vary 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; specific questions should be directed to the Personnel 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 performance to the supervisor, he/she will be given a satisfactory service rating and will gain permanent status as a State employee.

Under individual union contracts, the working test period may be extended. Any employee who does not meet acceptable performance standards during his/her initial working test period will be terminated. Any employee who does not meet acceptable performance standards during his/her promotional working test period will be reverted back to his/her previous classification. Probationary employees who are terminated during their initial 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 increase until the employee receives the maximum salary for his/her salary group. A "less than good" rating may prevent him/her from receiving an annual increase. An unsatisfactory service rating during a working test period generally signifies failure of the working test. 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.

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 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 designated bulletin boards at the Hartford Armory, Bradley Air National Guard and Camp Rowland. 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, are generally not posted in as much as MPS examinations are given for particular positions (as opposed to the entire job class) 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. Service ratings, the original appointment letter, 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 doctors' 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 Personnel Office to arrange for an appointment. 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 Personnel 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 Personnel Office. The appropriate forms will then be sent to the employee for signature. The employee then returns them to the Personnel 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 and a five-day, 40 hours work week, Monday through Friday.

There are, however, other nonstandard work schedules, which have been established within the Department. In particular, "Flextime" has been implemented for A&R collective bargaining unit employees, managers and confidential employees.

OVERTIME AND COMPENSATORY TIME

Overtime is defined as work in any one position, which is in excess of an employee's regular established schedule. Overtime must be approved in advance by the appropriate supervisor. 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 employee's 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 a.m. or after 2:00 p.m. 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

Each and every employee must be responsible for maintaining a good attendance record. Frequent absenteeism reduces the level of service provided by this agency, increases operational costs, and places an added burden upon 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 (i.e. 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 wold 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

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 no 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 on-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 more than five (5) days.

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 working hours.

2. In the event of death in the immediate family: Up to three (3) working days may be utilized for this purpose.

3. In the event of critical illness or severe injury to a member of the immediate family creating an emergency. Up to three (3) days per calendar year may be utilized for this purpose.

4. For ongoing to, attending, and returning from funerals of persons other than immediate family. Up to three days per calendar year may be utilized for this purpose, and

5. Up to three 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 Medical Leave on page 23). 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 TIME

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 planed 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 unit 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 the working test period. Provisional employees do not receive personal leave time until permanent appointment.

JURY DUTY

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 Unit). 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 Unit 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 members 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 Personnel 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 LEAVE

A pregnant woman may utilize accrued sick leave during any period of time (either before, during, or after the delivery) in which her physician certifies her to be "unable to perform the requirements of her job". 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 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 as discussed in the section on Paid 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 Personnel Office a medical leave of absence without pay (LAW). The request for a medical LAW must be accompanied by a medical certificate (form P-33). The employee must also present a medical certificate when returning to work to verify that he/she is able to resume his/her duties. Under State Family and Medical Leave Regulations, an employee's position will be held for twenty-four weeks during a medical leave.

FAMILY LEAVE

Under State Family and Medical Leave Regulations, employees may request from the Personnel 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 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 Personnel 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 kind 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 Comptrollers 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 work day. 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 these 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 Unit.

Checks are distributed on the Thursday of pay week. However employees **under no circumstances** are to cash their check until after 3:00 p.m. 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 specifics.

Annual increments, or AI dates were previously assigned according to an employees date-of-hire, depending upon the date they were assigned, either a January 1st or July 1st annual increment. With the advent of Collective Bargaining non-managerial employees hired after July 1, 1977 all have the January 1st annual increment date. Managers are assigned July 1st 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 employee 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 a.m. or after 2:00 p.m.) 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 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 or the Personnel Act for Managerial employees. Longevity schedules appear in the individual bargaining unit contracts. Qualifying years of service must be obtained by April 1st and October 1st of each year. Payment of the lump sum amounts is made twice yearly in April and October.

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 <u>not</u> 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 your Personnel or Payroll Officer cannot answer your questions they may advise you to contact the insurers directly.

Individual health insurance coverage for an employee is paid for by the State. Immediate family members (spouse, unmarried 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 19 (full-time student to age 23. Dental coverage ends at age 19 regardless of student status.

Your health insurance coverage becomes effective on the first day of the month following the first full month of premiums paid to the insurer. For example, if you were hired on February 9, 2007 your application for insurance would be submitted at the end of February. Premiums would be paid for the full month of March. Your coverage would begin on April 1, 2007.
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. If one of the Health Maintenance organizations was 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 enclosed with their paychecks.

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 babies must be added within one month of birth.

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 your Payroll Clerk 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 1st as the annual salary increases. Beneficiary changes should be updated as necessary with the Payroll Unit.

AUTOMOBILE AND HOME OWNERS INSURANCE

Employees may apply for Automobile and/or HomeOwners Insurance through Metropolitan Home/Automobile, Inc or Liberty Mutual. Premiums are determined by the insurer. Auto insurance is payable via payroll deduction, home owners insurance via direct payments to the insurer.

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
522-5388

12 North Eagleville Road
Storrs, Ct 06268
429-9306

560 Whalley Avenue
New Haven, CT
397-2949

Norwich
Uncas on Thames
889-7378

Southbury
Southbury Training School
203-267-7610

Corner of Holmes & Silver Street
PO Box 2485
Middletown, CT 06457
347-0479

DISABILITY INSURANCE

Disability Insurance and Income Protection plans are available at the employee's expense through the Colonial Life Insurance Company. For information and details contact Colonial Life at (860) 645-8833.

DIRECT DEPOSIT

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.

DEFERRED COMPENSATION

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 45 Glastonbury Blvd., Glastonbury, CT 06033 or calling 1.800.784.6386.

SAVINGS BONDS

United States Savings Bonds are available to all employees. The amount of the payroll deduction taken from your salary determines the size of the savings bonds you will accumulate. Details and sign-up forms are available by contacting the Payroll Office.

The State administers a yearly Savings Bond drive to increase participation in this program.

UNITED WAY/COMBINED HEALTH APPEAL

United Way/Combined Health Appeal 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.

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. Accounts 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

EMPLOYEES' ASSISTANCE PROGRAM

The Employees' Assistance Program (EAP) is a voluntary confidential program designed to provide treatment resources to assist employees whose personal problems (i.e. alcohol, drugs, family, money) seriously interfere, or have the potential to seriously interfere, with job performance. Employees may request assistance on their own or may be referred by a supervisor.

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.

WORKERS' COMPENSATION

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 Personnel 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.

XIII. TRAINING AND DEVELOPMENT

CONFERENCE 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 annually, usually in late summer, for fall and spring courses. Classes are announced department-wide through payroll check distribution. 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 Personnel Office two (2) weeks prior to the start of a course. For further information contact the Personnel 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. Actual collection of such a pension and its amount are subject to factors described below. Currently, there are two membership plans contained within the Connecticut State Employees Retirement System. These plans are identified by tier numbers, Tier I and Tier II. The following is a brief description of each plan:

<u>Tier I</u>

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, or at age 65 with 10 years of service. Early retirement, at a reduced pension amount is allowable at age 55 with a minimum of 5 years of service. Early retirement pensions are subject to a percentage reduction according to a formula based upon the difference in years between a normal retirement and the actual early retirement. 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. Individuals leaving state service before retirement age may choose to obtain a refund of contributions plus interest. Some employees may wish to "purchase" periods of service for prior state service and leaves of absence among others. Please consult the Payroll or Personnel Officer to determine whether a purchase request is applicable or allowable. More details regarding this retirement plan can be found in the Connecticut State Employees Retirement

System, Tier I booklet published by the Retirement Division.

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. Normal retirement under this Tier is at age 65 (effective 07/01/92, age 62) with a minimum of 5 years of creditable state service. Since no contributions are made into this system, individuals leaving prior to retirement age are not eligible for any refund of contributions. Early retirement is available to employees at least age 55 with 5 years creditable state service. Early retirement pensions are subject to a percentage reduction according to a formula based upon the difference in years between a normal retirement and the actual early retirement. More details regarding this retirement plan can be found in the Connecticut State Employees Retirement System, Tier II booklet published by the Retirement Division.

Tier IIa.

Tier IIa is a contributory retirement plan for employees hired on or after July1, 1997. This plan is the same retirement plan as Tier II. However, in the Tier IIa Plan, non-hazardous duty employees contributes 2% and hazardous duty employees contribute 5% of his/her yearly gross salary.

Whether you are in Tier 1, Tier II or Tier IIa 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 and Tier II 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 with 100% of the premiums' cost paid for by the State. Your spouse, if he/she is covered on your health plan at the time of your retirement and if you have chosen a 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 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 Personnel 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 Personnel 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 Personnel 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 Director of Personnel 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 Personnel 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 Personnel 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 general statutes.

REELIGIBILITY/REEMPLOYMENT 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 general state statutes. Reemployment 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 effecting 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

RIDE SHARE

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 contact the Department of Transportation at 1-800-842-2150.

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.