
 <p>State of Connecticut Department of Correction</p> <p><b>ADMINISTRATIVE DIRECTIVE</b></p>	Directive Number <b>2.11</b>	Effective Date <b>12/23/2025</b>	Page 1 of 6
	Supersedes <b>Employee Dependability, dated 01/03/2000</b>		
Approved By:   <b>Commissioner Angel Quiros</b>	Title  <b>Employee Dependability</b>		

1. Policy. Each employee of the Department of Correction shall be responsible for maintaining good attendance and monitoring their accrued leave balances. Sick, vacation, accrued holiday time and personal leave requests must be made in accordance with Department policy and with current collective bargaining agreements. Each employee is expected to report to work on time, adhere to the time periods established by the Department for breaks and meals, and remain at the assigned workstation throughout the scheduled work period or until properly relieved.
2. Authority and Reference.
  - a. Connecticut General Statutes, Sections 5-247, 5-248 5-251 and 18-81.
  - b. Regulations of Connecticut State Agencies, Sections 5-238-1, 5-238-2, 5-247-3, 5-247-4, 5-247-11 and 5-247-12.
3. Definitions. For the purposes stated herein, the following definitions apply:
  - a. Absence. Failure to report for work or to remain at work as scheduled, regardless of reason.
  - b. Exhaustion. The expenditure or overuse of any paid time off or variation thereof.
  - c. Family Sick Leave. An unscheduled absence that may be used in the event of a critical illness or severe injury to an employee's spouse, parent, sibling, child or any relative who is domiciled in the employee's household.
  - d. Holiday Time. Compensatory time off in accordance with the appropriate bargaining unit contract.
  - e. Occasion of Absence. One (1) or more—unscheduled, continuous day(s) of absence charged to sick leave (including authorized leave without pay or unauthorized leave used in lieu of sick leave) This also includes use of other accrued time or authorized leave without pay, which has been substituted for sick leave when the employee has exhausted sick leave accruals.
  - f. Late Notification. Any failure to communicate the inability to report to work within the time frame established by this directive.
  - g. Tandem Absence. An unscheduled absence of two days or less, immediately before or after a regularly scheduled day off (e.g., a weekend, holiday or vacation).
  - h. Tardiness. Any failure to report to work on time according to the established work schedule or lateness for duty at any point during the shift.
  - i. Unauthorized Leave. An unapproved absence.
  - j. Work All regularly scheduled and overtime duty.
4. Notification and Record Keeping. When a facility based, continuous operations employee, or any other employee designated by the Unit Administrator, is unable to report to work as scheduled, the employee must notify the immediate supervisor or designee one hour prior to the start of the work shift. All other employees should follow their unit policy and procedure.
  - a. The employee must indicate the reason(s) for the absence.
    - i. Failure to follow the above procedure may subject the employee to disciplinary action.

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- b. Absence due to illness or injury, for five (5) or more consecutive working days, shall be documented by an acceptable Medical Certificate in accordance with the applicable collective bargaining agreement, stating the reason for the absence. A medical certificate must be submitted upon return to duty.
- c. Any prescheduled medical or dental appointment in excess of one half of the workday shall require documentation of the length of the appointment.

5. Record Keeping. Each Unit Administrator or designee shall designate an employee within the unit to maintain an individual employee record for all employees assigned to that unit. The designated employee shall forward any attendance violations to the appropriate shift commander, or supervisor for issuance. Such records shall contain the reason(s) for each violation and the time of notification. Medical Certificates and other medical information concerning an employee shall be forwarded to Human Resources and stored in the employee's confidential medical file.

6. Absences.

a. Unscheduled Absences.

- i. An unscheduled absence of one (1) or more continuous days shall be recorded as one (1) occasion.
- ii. Unscheduled absences charged to authorized family sick, funeral leave or personal leave shall not be considered an occasion of absence.
- iii. Vacation, Personal, and Accrued Holiday leave authorized up to the limit determined by the shift relief factor shall not be considered as an occasion.

b. Tandem Absence. An unscheduled absence of two (2) days or less immediately before and/or after a scheduled day off will normally count as one (1) tandem occasion. An extended unscheduled absence of more than two (2) days for the same reason immediately preceding or following a regularly scheduled day off shall not normally be deemed a tandem occasion.

c. Prior Notification of Absence. Pre-scheduled, approved use of vacation, personal leave, accrued holiday leave, scheduled sick leave such as HEP appointments or funeral leave shall not be counted as an absence or tandem absence.

7. Analysis of Absenteeism. The attendance record of all permanent employees shall be reviewed during each employee-rating period. More frequent reviews may occur as needed. Employees in promotional working test periods shall have monthly reviews.

a. In reviewing absenteeism, the supervisor shall consider the following criteria: (1) number of occasions; (2) pattern of absences (tandem absences); (3) employee's prior record; and (4) any extenuating circumstances.

- i. When a permanent employee has three (3) occasions of absence during a three (3) month period, the record shall be reviewed with the employee to determine contributing problems and possible corrective remedies. This session shall be documented with a written memo to the employee.
- ii. When an employee has five (5) occasions of absence within a six (6) month period, the record shall be reviewed with the employee to determine contributing problems and possible corrective measures. This shall be documented with a written memo to the employee.
- iii. When an employee has nine (9) occasions of absence within a 12-month period, the record shall be reviewed with the employee. The employee shall be issued a warning that continued absenteeism may result in an unsatisfactory performance appraisal. An unsatisfactory performance appraisal may also be given for attendance if the employee has one (1) or more occasions of unscheduled absence before the end of the appraisal period following the receipt of the warning letter.

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1. An employee with unsatisfactory patterns of attendance should be considered for appropriateness as a referral to the EAU (Employee Assistance Unit) and/or EAP (Employee Assistance Program)
  - iv. Failure to maintain a satisfactory attendance record beyond the first unsatisfactory service rating shall result in another meeting to review the employees' status in the area of dependability and/or attendance
  - v. After an evaluation consistent with the criteria above, the employee shall receive a written warning that failure to improve may result in the issuance of a second unsatisfactory performance appraisal and termination from State service. Following the first unsatisfactory performance appraisal, the employee's attendance shall again be reviewed in accordance with the criteria listed above for the next rating period. Upon the eighth occasion, the warning letter may be issued and at the point when the employee has nine (9) or more occasions of absence, a second unsatisfactory performance appraisal may be issued, even if the full evaluation period is not yet over. Two (2) consecutive unsatisfactory performance appraisals, if filed within two years of each other, may be considered cause for dismissal
  - vi. When reviewing an employee's attendance immediately following an unsatisfactory performance appraisal, the following steps shall be followed:
    1. Three (3) occasions of absence during a three (3) month period, the record shall be reviewed with the employee to determine contributing problems and possible corrective remedies. This session shall be documented with a written memo to the employee.
    2. Five (5) occasions of absence within a six (6) month period, the record shall be reviewed with the employee to determine contributing problems and possible corrective measures. This session shall be documented with a written memo to the employee.
    3. Upon the eighth (8) occasion, the warning letter may be issued and at that point when the employee has nine (9) or more occasions of absence, a second unsatisfactory performance appraisal may be issued, even if the full evaluation period is not yet over.
  - vii. Two (2) consecutive unsatisfactory performance appraisals, if filed within two years of each other, may be considered cause for dismissal.
  - b. The above procedure does not preclude separate disciplinary action for unauthorized leave or fraudulent use of sick leave.
8. **Tardiness.** Tardiness shall be monitored and reviewed in the context of an employee's overall dependability, which includes all occasions of absence. The guidelines for tardiness shall be as follows:
- a. **Occasional Tardiness.** Occasional instances of tardiness in time periods less than 15 minutes shall not be charged to Vacation, Personal Leave or deducted from the employee's pay. Occasional instances of tardiness in time periods which equal or exceed 15 minutes shall be deducted from an employee's pay.
  - b. **Excused Tardiness.** Instances of tardiness due to inclement weather, delays in mass transit or other extenuating circumstances shall not be counted when an investigation supports the reason for the tardiness. It shall be the responsibility of the immediate supervisor with the approval of the Unit Administrator or designee to determine if weather and/or road conditions warrant late arrivals on days, which are not State-declared late openings.
  - c. **Supervisor Responsibility.** The supervisor shall obtain and document the reason for all occurrences of tardiness and counsel employees as necessary.
  - d. **Unexcused Tardiness.** An employee who communicates, prior to the beginning of the scheduled shift, the inability to report to work for the beginning of that shift.

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- i. First Occurrence. At the first occurrence of unexcused tardiness, the supervisor shall speak with the employee and remind the employee of the Department's policy governing attendance and the employee's responsibility to report to work on time. Additional evaluations of tardiness shall be accomplished every twelve (12) months.
- ii. Second Occurrence. At the second occurrence of unexcused tardiness within a twelve (12) month period, the employee shall be cautioned that further instances of tardiness could result in disciplinary action. This shall be documented in a written memo from the supervisor to the employee.
- iii. Third Occurrence. At the third occurrence of unexcused tardiness within a twelve (12) month period, the employee may be issued a written reprimand for habitual or repeated tardiness. The reprimand serves as notice to the employee(s) that the employee's attendance problems require immediate attention and improvement and that failure to do so will result in progressive disciplinary action.
- iv. Fourth Occurrence. At the fourth occurrence of tardiness, if within twelve (12) months of the previous occurrence, the employee may receive a one (1) day suspension.
- v. Fifth Occurrence. At the fifth occurrence of tardiness, if within twelve (12) months of the previous occurrence, the employee may receive a five (5) day suspension.
  1. The employee shall be advised that any further instances of tardiness, if occurring within twelve (12) months of the fifth occurrence, may result in dismissal from State service.

9. Late notification of Absenteeism.

- a. An employee who communicates an inability to report to work after the time required in Section 4 of this Directive or after the start of the beginning of the shift. Late notification of absenteeism after the shift begins shall be considered unauthorized leave from the start of the shift to the time of contact.
  - i. First Occurrence. An employee who communicates an inability to report to work after the time required in section 4 of this directive shall be reminded, they are to notify the facility one (1) hour prior to the start of the shift, of an inability to report to work. The employee shall be cautioned regarding future occurrences.
  - ii. Second Occurrence. The employee may be given a written reprimand if the second occurrence is within twelve (12) months of the previous occurrence.
  - iii. Third Occurrence. The employee may receive a one (1) day suspension if the third occurrence is within twelve (12) months of the previous occurrence.
  - iv. Fourth Occurrence. The employee may receive a five (5) day suspension if the fourth occurrence is within twelve (12) months of the previous occurrence. The employee shall be advised that any further instances of late notification of absenteeism, if occurring within twelve (12) months, may result in dismissal from State Service.
  - v. Fifth Occurrence. The employee may be dismissed from State Service if the fifth occurrence is within twelve (12) months of the last occurrence.

10. Unauthorized Leave.

- a. Unauthorized leave shall be considered when an employee fails to communicate the inability to report for duty or fails to provide a reason for being unable to report for duty. An employee may not be paid for the duration of the unauthorized leave.

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- i. First Occurrence. An employee, who on the first occurrence of unauthorized leave, shall not be paid upon failure to report to work. The employee shall be cautioned regarding future occurrences.
- ii. Second occurrence. The employee may be given a written reprimand if the second occurrence is within twelve (12) months of the previous occurrence.
- iii. Third Occurrence. The employee may receive a one (1) day suspension if the third occurrence is within twelve (12) months of the previous occurrence.
- iv. Fourth Occurrence. The employee may receive a five (5) day suspension if the fourth occurrence is within twelve (12) months of the previous occurrence. The employee shall be advised that any further instances of unauthorized leave, if occurring within twelve (12) months, may result in dismissal from State Service.
- v. Fifth Occurrence. The employee may be dismissed from State Service if the fifth occurrence is within twelve (12) months of the last occurrence.

11. Exhaustion of Sick Leave Accrual. All employees are responsible for monitoring their own sick leave balances, to include but not limited to sick leave utilized for family illness, bereavement, pre-scheduled medical appointments, or leave approved under the Family Medical Leave Act.
- a. In the event that an employee is unable to report for duty due to illness, but has exhausted all sick leave accruals, the employee may be authorized to utilize a conversion of other accruals (vacation, personal leave or accrued holiday time) or be granted authorized leave without pay, if the employee so requests in writing to the Unit Administrator, and provides an acceptable medical certificate supporting the absence within 48 hours of the employee's return to work.
  - b. When an employee calls in sick or uses any form of sick leave without having sufficient sick accruals and fails to follow the procedure for requesting use of other accruals or authorized leave without pay, the absence shall be recorded as unauthorized leave without pay.
  - c. In addition, the employee shall be subject to disciplinary action as follows:
    - i. First Occurrence. The employee shall be charged with exhaustion of sick and cautioned regarding proper procedure.
    - ii. Second Occurrence. The employee may be given a written reprimand if the second occurrence is within twelve (12) months of the prior occurrence.
    - iii. Third Occurrence. The employee may receive a one (1) day suspension if the third occurrence is within twelve (12) months of the previous occurrence.
    - iv. Fourth Occurrence. The employee may receive a five (5) day suspension if the fourth occurrence is within twelve (12) months of the previous occurrence. The employee shall be advised that any further instances of exhaustion of sick leave, if occurring within twelve (12) months, may result in dismissal from State Service.
    - v. Fifth Occurrence. The employee may be dismissed from State Service if the fifth occurrence is within twelve (12) months of the last occurrence.

12. Exhaustion of Vacation, Holiday and Personal Leave. All employees are responsible for monitoring their accrued and personal leave balances.
- a. If an employee is unable to report for duty and utilizes an accrual(s) other than sick (vacation, personal leave, or accrued holiday time), but has exhausted the accrual(s), the employee may be authorized to utilize a conversion of a different accrual, sick accrual or be granted authorized leave without pay, if the employee so requests in writing to the Unit Administrator, within 48 hours of the employee's return to work.

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- b. When an employee exhausts an other-leave accrual(s) and fails to follow the procedure for requesting use of other accruals, sick leave, or authorized leave without pay, the absence shall be recorded as unauthorized leave without pay.
- c. In addition, the employee shall be subject to disciplinary action as follows:
  - i. First Occurrence. The employee shall be charged with exhaustion other leave and cautioned regarding future occurrences.
  - ii. Second Occurrence. The employee may be given a written reprimand if the second occurrence is within twelve (12) months of the prior occurrence.
  - iii. Third Occurrence. The employee may receive a one (1) day suspension if the third occurrence is within twelve (12) months of the previous occurrence.
  - iv. Fourth Occurrence. The employee may receive a five (5) day suspension if the fourth occurrence is within twelve (12) months of the previous occurrence. The employee shall be advised that any further instances of exhaustion of leave, if occurring within twelve (12) months, may result in dismissal from State Service.
  - v. Fifth Occurrence. The employee may be dismissed from State Service if the fifth occurrence is within twelve (12) months of the last occurrence.

13. Performance Improvement.

- a. An employee who has previously been disciplined for an attendance violation in accordance with this directive and continues without further incident for twelve (12) months, from the last violation, shall be disciplined at the initial step of the respective process for which the violation occurred.
- b. The duration of time, an employee is on Workers' Compensation or leave of absence shall not be included in the twelve (12) month period referred to in this Directive.
- c. These guidelines do not limit the Department's right to take disciplinary action against an employee who may not fit into the guideline periods but do demonstrate a continuing pattern of absenteeism and/or tardiness over a longer period of time.

14. Initial Working Test Period. An employee may be dropped for any combination of three (3) absences or instances of tardiness in the first six (6) months of employment, regardless of the length of the working test period. Any employee who fails to report for duty and fails to notify the employee's appropriate supervisor in the first six (6) months may be subject to drop during their working test period.

15. Forms and Attachments.

- a. CN 21101A, Employee Attendance Log (AI - January)
- b. CN 21101B, Employee Attendance Log (AI - July)

16. Exceptions. Any exceptions to this Administrative Directive require prior written approval from the Commissioner.