

 Corrections and Community Supervision DIRECTIVE	TITLE Record of Attendance		NO. 2205
			DATE 06/19/2015
SUPERSEDES DIR# 2205 Dtd. 01/12/2012	DISTRIBUTION A	PAGES PAGE 1 OF 5	DATE LAST REVISED
REFERENCES (Include but are not limited to) Rules & Regs. Dept. of Civil Service Civil Service Attendance Rules	APPROVING AUTHORITY 		

I. **PURPOSE:** This directive describes the Department's policy concerning the requirement that all employees maintain an adequate and accurate record of attendance.

II. **POLICY:** Inasmuch as attendance records provide the basis on which employees are compensated, it is the policy of this Department that all employees must maintain an adequate and accurate record of attendance, in accordance with the Attendance Rules established by the Department of Civil Service.

No supervisor has the authority to grant exception to the criteria specified below without the prior written approval of the Director of Personnel.

III. **AUTHORITY**

- Section 20.2 and 27.2 of the Rules and Regulations of the Department of Civil Service
- Article 26 and Article 12.17 of the Agreement between the State of New York and the Public Employees Federation
- Part 62 of Title 7 of Official Compilation of Codes, Rules and Regulations of the State of New York

IV. **APPLICABILITY:** This policy applies to all employees of the Department of Corrections and Community Supervision (DOCCS) and the Board of Parole.

V. **RECORD OF ATTENDANCE**

- A. An adequate and accurate record of attendance must be maintained by each employee. Such record of attendance will be maintained on the employee's time card.
- B. All employees, except those ineligible for overtime, must maintain a detailed record of daily attendance. All of the following information must appear on the employee's time card/timesheet:
 - a. Actual times of arrival for duty at the beginning of the workday and following lunch;
 - b. Actual times of departure for lunch and at the end of the workday;
 - c. Leave credits charged for each absence; and
 - d. Absences not charged to leave credits, with appropriate explanation, e.g., R.D.O., jury duty.

Employees on a facility payroll in the Administrative, Operational, Institutional, Security Services and Security Supervisors negotiating units are required to maintain a detailed record of daily attendance using a time clock, unless specifically exempted by the Director of Personnel. All Sergeants, Lieutenants, and Security Services employees who are on detached assignment to a unit in Central Office have been specifically exempted from recording attendance with a time clock.

Central Office employees who are eligible for overtime are required to maintain a detailed record of daily attendance by entering the information by hand on Form #1029, "NYS DOCCS Monthly Attendance Record – Overtime Eligible Employees," on a daily basis, unless specifically assigned by the Director of Personnel to use the computerized Leave and Accruals Tracking System (LATS).

Field Operations employees and Central Office employees assigned to LATS who are eligible for overtime are required to maintain a detailed record of daily attendance by entering the information, on a daily basis, on LATS.

Employees on a facility payroll in the M/C and PS&T Bargaining Units who are eligible for overtime are required to maintain a detailed record of daily attendance by entering the information by hand on Form #1029f, "NYS DOCCS Bi-Weekly Attendance Record," on a daily basis. Sergeants, Lieutenants, and Security Services employees who are on detached assignment from a correctional facility to a unit in Central Office must maintain their time records in this manner by using Form #1029f, "NYS DOCCS Bi-Weekly Attendance Record."

Employees ineligible for overtime are exempted from keeping a detailed record of hours worked. However, they must record absences by indicating on Form #1030, "NYS DOCCS Attendance Record," the appropriate number of hours and the type of leave accrual charged, for each day on which an absence occurred unless specifically assigned to use LATS system by the Director of Personnel.

Employees ineligible for overtime who are assigned to use the LATS system must record absences by indicating on their timesheet the appropriate number of hours and the type of leave accrual charged, for each day on which an absence occurred. In addition, they must indicate on their timesheet if they are present or absent under each day of the payroll period.

PEF employees who are ineligible for overtime are required to keep time records showing actual hours worked by using Form #1029, "NYS DOCCS Monthly Attendance Record – Overtime Eligible Employees," in Central Office or Form #1029f, "NYS DOCCS Bi-Weekly Attendance Record," in facilities.

Employees occupying Federally-funded items must complete the section titled "Division/Unit," with the Federally-funded grant to which the employee is assigned.

C. Time Cards/Timesheets

- a. Employees are responsible for submitting accurate, legible, and complete time cards/timesheets. Supervisors are responsible for ensuring that the cards are accurate and complete. Time cards and timesheets that do not meet the above criteria will be returned to Supervisors for appropriate action.

- b. It should be strongly noted that, by signing timecards and approving timesheets in LATS for employees under their supervision, Supervisors are attesting to the contents of that record. As such, Supervisors, in addition to the employee, will be held accountable for any known misrepresentations and further disciplinary action will be taken against those that are found to be in violation of attendance and leave.
 - c. Since time cards are vouchers for time worked and are used by the Department to authorize bi-weekly paychecks, it is essential that the Timekeeper receive them no later than the Monday after the close of each payday. It is the Timekeeper's responsibility to reconcile the time cards to the time records before closing out each payroll.
 - d. A written notice will be sent to employees whose time cards/timesheets are delinquent. If overdue time cards/timesheets are not received within the following two weeks, the employee may receive informal counseling, formal counseling, or stronger administrative sanctions.
- D. An employee off on a swap must state on their time card the last name of the employee who is working for them; if working a swap, the employee is to state the last name of the employee who they are working for. Employees are to punch in and out on their own time card when working a swap.
- E. When an employee is on one facility payroll, but actually works at another facility, the facility where the employee works will be responsible for maintaining the employee's time card and sending the completed original to the payroll facility.
- Employment at more than one facility must be included and combined for attendance and leave purposes. Time records are to be maintained and monitored by the facility where the employee works the majority of the time. When the percentage of work at each facility is equal, the facility where the employee was first employed should maintain time records.
- F. On those occasions where a time clock entry has not been made, the Supervisor should be advised as soon as this deviation is found. The Supervisor must determine why the entry was not made and will direct the employee to manually enter the appropriate time, and will then initial the entry unless the Supervisor determines such an entry would be fraudulent. If the Supervisor determines such an entry would be fraudulent, a report will be written immediately to the Deputy Superintendent for Administration (DSA) or Deputy Superintendent for Security (DSS), with a copy to the Superintendent. The Superintendent will then forward all documentation to the Office of Special Investigations for investigation or to the Bureau of Labor Relations for possible disciplinary action.

Uniformed employees working an outside hospital assignment will enter their own in/out times by hand and have the entries initialed by the Supervisor at the work site, unless the time clock is installed at that location. If there is no Supervisor assigned to the work site, supervisory staff at the facility will monitor attendance through a sign-in log at the hospital; review of staffing charts and call-in slips; and periodic on-site visits. They will also maintain a daily record of attendance for such staff to be reconciled against the time records maintained by the employee and submitted at the end of the pay period.

A supervisor's initials on a time card certify that the entry made is legitimate. Frequent requests by an employee for a Supervisor to initial time card deviations should be a cause for concern on the part of the Supervisor, and may warrant a review of the record and discussion with the employee.

Supervisors, Watch Commanders, and Attendance Control Officers will take corrective action with employees who disregard time card procedures.

- G. Employees required to punch a time clock must leave their time card in the assigned time card rack. The card may be removed from the rack at a Supervisor's direction or to review/tabulate leave accruals prior to submitting the card to the Supervisor for approval. Removal without being directed by the Supervisor may result in appropriate disciplinary action being taken.

All other employees must keep their time cards at their work station.

Supervisors have the authority to review an employee's time card at any time.

- H. Falsifying an employee's record of attendance in any way is grounds for disciplinary action. This includes, but is not limited to, such actions as punching another employee's time card/timesheet, entering false information on a time card, and forging Supervisor's signature or initials.
- I. Supervisors are responsible for daily review of time cards, comparing them with the charts to ensure their accuracy and completeness. It becomes increasingly difficult to accurately recount details about a particular date/time that was not punched correctly or to decipher unclear notations if daily reviews are not conducted or are delayed.

Supervisors of employees who punch a time clock should initial time cards on the line detailing the time entries to demonstrate that the review was completed.

- J. For facility, field operations, LATS users, and New York City Central Administration (NYCCA) employees, excluding Superintendents, the time card/timesheet period is two weeks. For Central Office employees not assigned to LATS and Facility Superintendents, the time card period is four weeks.

Upon completion of each time card period, the employee will attest that all entries are correct by signing the time card and then submitting it to his or her Supervisor or by submitting the timesheet via LATS to his or her Supervisor. Failure to submit a properly completed time card/timesheet at the end of the time card period/timesheet will result in progressive discipline steps being followed.

The Supervisor will ensure that each time card/timesheet is accurate and has been signed/submitted by the employee, and will then sign/approve it and submit it to the Timekeeper for posting to the computerized timekeeping system or process it in LATS.

Each facility will establish procedures for the cross checking of information on time off slips and security staffing grids against the time cards by either the Timekeeping Office, the Chart Office staff, or a combination of both.

Employees on NYCCA payroll will complete and sign their time cards at the conclusion of the pay period. The employee will forward their time card to their Supervisor, who must review the time card and correct any discrepancies, notifying the employee of changes made to the time card. If the employee is at a different location, a copy must also be sent to the NYCCA Timekeeper. The Supervisor will sign the time card and forward the time card, along with any time off slips and any 1202's to the NYCCA Timekeeper at Queensboro Correctional Facility.

- K. Employees who work at a location which is remote from their Supervisor will be designated an alternate Supervisor who works at the remote location, the employee's home facility (Superintendent or DSA), or Community Supervision Regional Office. These employees are required:
- To submit an itinerary for the following week to their Supervisor, with a copy to the alternate Supervisor. This itinerary must be submitted via Outlook by COB each Thursday.
 - To submit requests for time off, via Outlook, to their Supervisor with a copy to the alternate Supervisor. The e-mail must include the begin time and end time of the absence, the accrual that the employee will charge, and a brief reason for the request, if appropriate (dentist appointment, jury duty, etc.). The request will be approved or denied by the Supervisor and a return e-mail will be sent to the employee, with a copy to the alternate Supervisor who will file a paper copy of the e-mail for review with LATS or paper timesheets.
 - Paper timesheets must be submitted to the employee's home facility Superintendent or DSA who will compare the timesheet to time off requests. For LATS users, the alternate Supervisor will compare the timesheet to time off requests and approve the timesheet as appropriate.
- L. These procedures will be constantly checked by Supervisors to avoid any collusion detrimental to the Agency.