

State of Iowa Department of Corrections

Policy and Procedures

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Applicability: Institutions, CBC, Central Office, IPI

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Chapter 1: ADMINISTRATION & MANAGEMENT

Sub Chapter: PERSONNEL

Related DOC Policies: N/A

Administrative Code Reference: 11-53, 11-63, 11-64

Subject: ATTENDANCE, TIMEKEEPING AND LEAVE

PREA Standards: N/A

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Authority:

1. PURPOSE

To describe practices and procedures that shall apply in all Iowa Department of Corrections (IDOC) employees regarding attendance, timekeeping and leave.

2. POLICY

It is the policy of the IDOC that employees shall report to work as scheduled and that time away from scheduled hours is approved and documented.

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3. DEFINITIONS - Most definitions can be found on the DAS website under Human Resources Information for Employees or in the State of Iowa Employee Handbook.

4. PROCEDURES

A. Scheduled Hours of Work

1. Employees shall report to work as scheduled. All schedule changes must be pre-approved by the employee's supervisor.
2. Employees shall contact their supervisor or shift supervisor/designee (if their supervisor is unavailable) if they are unable to report at their scheduled start time.
3. Employees who clock in may clock-in up to six minutes prior to the beginning of their shift. Employees who clock-in up to six minutes after the start of their shift shall be paid from the start of their original hours of work, but shall be subject to the tardiness violation schedule (all tardiness time from the six minutes after the start of the shift up to one hour of time shall also be considered tardy and the employee may not use any leave to be compensated for this time).
4. Employees may clock-out up to six minutes after the end of their regular shift and it shall be considered that they have clocked-out at their regular shift ending time and be compensated accordingly. Employees that clock out after the six-minute window must have supervisory approval.

B. Tardiness

1. Employees who fail to report to work on time up to 60 minutes after their scheduled start time shall be tardy and shall not be allowed to use

available leave time. Tardy instances within twelve-month periods shall be subject to the following violation schedule:

- a. 3rd Tardy within 12 months – Written Reprimand.
 - b. 4th Tardy – 1-day paper suspension.
 - c. 5th Tardy – 3-day paper suspension.
 - d. 6th Tardy – 5-day paper suspension.
 - e. 7th Tardy – Termination.
2. The supervisor shall consider the requests to have an incident of tardiness excused (found valid) with verification/documentation provided within 48 hours of the incident. The supervisor shall bring these instances to the local executive/leadership team for review in order to ensure consistency.
 3. A consecutive twelve-month period without a tardy shall suspend movement to the next violation level in the schedule; After twenty-four months, move back one level; After thirty-six months with no further occurrences the employee will return to reprimand level should there be another tardy instance.
 4. Employees who report to work more than 60 minutes after their scheduled start time shall be considered on unauthorized leave without pay and shall be subject to discipline. Employees shall not be allowed to use available leave time.

C. Leave Without Pay

1. Employees must have the applicable leave hours equal to or greater than an absence. Employees that do not have sufficient leave hours for an absence must request approval for leave without pay from the Warden/District Director/Designee or Central Office supervisor. Leave without pay that is denied shall be considered unauthorized.
2. Instances of unauthorized leave without pay shall be subject to the following violation schedule:

- a. 1st unauthorized leave – Written Reprimand.
 - b. 2nd unauthorized leave within one year – 1-day paper suspension.
 - c. 3rd unauthorized leave – 3-day paper suspension.
 - d. 4th unauthorized leave – 5-day paper suspension.
 - e. 5th unauthorized leave – Termination.
3. Each event shall be considered as one instance of unauthorized leave for the disciplinary track. For example, if an employee calls in sick for three days and does not have sufficient leave hours they shall be subject to one instance of unauthorized leave. Once the employee returns to work for any length of time, a new unauthorized leave shall be initiated if the employee is absent from work. For example, if an employee is sick for one day without proper leave balances to cover the time, then returns to work for four hours, then goes home sick for the final four hours, this would be considered two unauthorized leaves.

D. Timekeeping

1. Employees must request supervisory approval for time away from scheduled work hours in Workday and have the appropriate leave balance to utilize for the absence. Vacation, compensatory or banked holiday cannot be substituted for sick leave, unless the absence is certified under the Family Medical Leave Act (FMLA). Absences without supervisory approval or sufficient leave may be considered an instance of unauthorized leave and subject to the unauthorized leave without pay violation schedule in C.2.
2. All overtime eligible institution employees (prison staff only) and other designated employees shall utilize the KRONOS timekeeping system to clock (punch) in at the start of scheduled work hours and clock (punch) out at the end of scheduled work hours.
3. Employees who are required to punch in and fail to do so shall notify their supervisor for missed punches when they report for their next scheduled shift.
4. All employees will accurately submit their time via Workday.

5. Each institution and residential facility shall develop a procedure for staff to trade shifts and days off. The procedure shall require written approval by both employees and the institution/residential facility designee.
6. Leave for volunteer emergency service shall be in accordance with **Iowa Code 55.2**. Employees must notify their supervisor in accordance with D.1.

E. Sick Leave

1. Employees shall make direct contact with their supervisor or shift supervisor/designee if immediate supervisor is unavailable when they know they are not going to be able to report for duty due to illness or family care leave (see 6. below). It is the employee's responsibility to make contact at least one hour prior to their scheduled start time. If the contact is made less than one hour prior to the scheduled start time, it will be addressed as a tardy. Employees must identify an absence as FMLA if applicable.
2. Non-scheduled sick leave shall be requested and approved as soon as is practical.
3. Employees must notify the appropriate supervisor each day of the absence according to 1. above unless the employee is hospitalized or the length of convalescence is known.
4. Employees must submit FMLA absences in Workday.
5. Employees will be required to provide medical verification of unscheduled regular sick leave (not FMLA or Family Care Leave) if there are eight or more occurrences within a 12-month period or if there is a pattern of unscheduled regular sick leave in conjunction with days off or scheduled leave, same days, or denied leave. Medical verification must be presented to the supervisor when reporting for the next scheduled day. Leave will be unauthorized without pay if verification is not provided upon return to work and subject to C.2.
6. Family Care Leave - Employees may use up to 40 hours of accrued sick leave per fiscal year for the death or temporary care of, or necessary

attention to, members of the immediate family. Immediate family (**IAC 11-63.3(11)**) means the employee's spouse, children, grandchildren, foster children, stepchildren, legal wards, parents, grandparents, foster parents, stepparents, brothers, foster brothers, stepbrothers, sons-in-law, brothers-in-law, sisters, foster sisters, stepsisters, daughters-in-law, sisters-in-law, aunts, uncles, nieces, nephews, first cousins, corresponding relatives of the employee's spouse and other persons who are members of the employee's household. Employees must request the leave as "family care" in Workday.

F. Vacation

1. Vacation may be requested in block format for security staff and other departments if approved by the Warden or District Director.
2. Blocks are defined as full shifts off and for a minimum of five consecutive days.
3. Cancellation of block vacation must be done no later than 14 days out.
4. Vacation requests will be granted by length of service at 60 days out. If block vacation is utilized, the blocks are granted first.
5. Vacation requests inside of 60 days will be granted on a first come, first served basis.

G. Overtime

1. Volunteer Overtime - Overtime for nursing and security staff will be offered to staff currently on shift. A supervisor will notify staff when overtime is needed and volunteers will be accepted on a first come first serve basis. If there are no volunteers or if additional coverage is needed, one communication will be sent to all off duty employees that have provided their personal contact information. Overtime will be granted on a first come first serve basis. There will be no guaranteed number of hours.
2. Mandated/Forced Overtime - Overtime for nursing and security staff will be on a rotational basis by inverse length of service. The minimum length of a mandate is determined by each institution/district based on

operational need. Volunteer overtime will serve as a mandate and move the employee in the rotation cycle.

3. Overtime-Exempt Staff

- a. Employees who are not eligible for overtime shall not be given compensatory leave for hours worked in excess of their normal workweek. Workweeks for full-time employees who are exempt from overtime are not limited to 40 hours.
- b. Granting "unofficial compensatory leave, administrative leave, etc." is not authorized by the DAS/HRE or the Department of Corrections. Although compensatory leave is not allowed, supervisors of overtime-exempt staff may allow those employees to flex their work hours if their workload permits.
- c. Payroll records shall not be maintained on the hours worked in excess of the exempt employee's normal workweek unless required by state or federal statutes.

4. Overtime for Other Institutional/CBC Staff

- a. The Warden/District Director is responsible for review and approval of all staff overtime, excepting Iowa Prison Industries staff. The Warden/District Director may delegate this authority although the responsibility remains with the Warden/District Director.
- b. Overtime reports including scheduled, routine, and emergency overtime, which includes weekends and holidays, shall be submitted to the Warden/District Director/Designee for review.
- c. These standards apply to all scheduled and routine overtime.
- d. Emergency overtime may be approved by the senior staff member on duty with review by the Warden/District Director.

5. Compensatory Time and Holiday

- a. Per DAS-HRE Administrative Rule 11-53.11(5), regular compensatory time is limited to 80 hours before it is paid off.
- b. Holidays that are banked under DAS-HRE Administrative Rule 11-63.8(1) and 11-63.8(5) will be paid out if not used within 12 months.
- c. There is no requirement to pay out compensatory balances at the end of the fiscal year.

H. Continuing Education

- 1. Employees in the following job classifications that are required to have licensure or certification to perform their assigned job duties may be granted paid leave during scheduled work hours to meet continuing education requirements:
 - a. Physician, Physician Assistant, Nurse Practitioner, and Dentist – 40 hours per fiscal year
 - b. Registered Nurse and Licensed Practical Nurse – 20 hours per fiscal year
 - c. Dental Hygienist and Dental Assistant – 16 hours per fiscal year
 - d. Licensed Psychologist – 20 hours per fiscal year
 - e. Licensed Social Worker – 14 hours per fiscal year
 - f. Pharmacist – 15 hours per fiscal year
 - g. Pharmacy Technicians – 10 hours per fiscal year
 - h. Electrician – 6 hours per fiscal year
 - i. Plumbing/HVAC - 8 hours per fiscal year
 - j. Attorney – 15 hours per fiscal year
 - k. Physical Therapist - 20 hours per fiscal year

2. Continuing education leave must be pre-approved by the supervisor and is at the employee's expense if it is not an employer-sponsored event or in conjunction with approved training.

I. Interview Leave

Employees shall be granted paid work time for up to four hours, two times per calendar year to attend interviews during the employee's scheduled work hours for jobs within the IDOC as long as it does not result in accrued overtime for said employee. Use of a state vehicle is not allowed and no travel expenses will be paid. Use of a virtual platform for interviewing current staff is encouraged throughout the DOC. DAS HRE Administrative Rule 11-63.17(8A)