



CLEAN ENERGY

FINANCE AND INVESTMENT AUTHORITY

AGENDA

Budget and Operations Committee of the
Clean Energy Finance and Investment Authority
845 Brook Street
Rocky Hill, CT 06067

Wednesday, November 6, 2013
9:15 a.m. - 10:00 a.m.

Staff Invited: Mackey Dykes, Brian Farnen, Bryan Garcia, Bert Hunter and Mackey Dykes

1. Call to order
2. Public Comments – 5 minutes
3. Approve meeting minutes for July 15, 2013 meeting* - 5 minutes
4. Sick Leave Bank** - 35 minutes
5. Adjourn

*Denotes item requiring Committee action

** Denotes item requiring Committee action and recommendation to the Board for approval

Online Meeting Access

<https://www4.gotomeeting.com/join/262563167>

Call-In

Dial-in: (312) 878-3081
Access Code: 262-563-167

Next Regular Meeting: TBD

Clean Energy Finance and Investment Authority, 845 Brook Street, Rocky Hill, CT



CLEAN ENERGY

FINANCE AND INVESTMENT AUTHORITY

RESOLUTIONS

Budget and Operations Committee of the
Clean Energy Finance and Investment Authority
845 Brook Street
Rocky Hill, CT 06067

Wednesday, November 6, 2013
9:15 a.m. - 10:00 a.m.

Staff Invited: Mackey Dykes, Brian Farnen, Bryan Garcia, Bert Hunter and Mackey Dykes

1. Call to order
2. Public Comments – 5 minutes
3. Approve meeting minutes for July 15, 2013 meeting* - 5 minutes

Resolution #1

Motion to approve the minutes of the Budget and Operations Committee meeting for July 15, 2013. Second. Discussion. Vote.

4. Sick Leave Bank** - 35 minutes

Resolution #2

RESOLVED, that the Budget and Operation committee recommends that the Board of Directors approve the following CEFIA Handbook revisions marked in **bold**:

The CEFIA Sick Leave Bank is a pool of sick days that has been established by employees of CEFIA who have made a donation of their accumulated sick days. The Bank is available to members to draw up to ten (10) eight- hour sick days per year in the unfortunate event that they experience a qualified illness or injury.

Sick Leave Bank members will receive benefits in the form of paid sick leave if all of the following requirements are met:

- the member has a medical condition that prevents them from working that has been verified by a Medical Certificate OR a member's immediate family member has a medical condition that has been verified by a Medical Certificate and requires the Sick Leave Bank member's care;
- the member has been out on approved medical leave (paid or unpaid) as described above for at least two consecutive weeks;

- the member has exhausted all of their sick, ~~vacation~~, personal leave and compensatory time;
- **the member has exhausted all of their vacation time in excess of 30 days (or 240 hours)**
- the member has not been disciplined for an absence-related reason for the past 12 months; **provided however, a committee comprised of Senior Management and Human Resources may waive this requirement;**
- the member has completed a Sick Leave Bank Withdrawal Request Form and it has been approved by human resources

5. Adjourn

*Denotes item requiring Committee action

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Budget and Operations Committee of the Clean Energy Finance and Investment Authority

Agenda Item #1

Call to Order

November 6, 2013



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Budget and Operations Committee of the Clean Energy Finance and Investment Authority

Agenda Item #2

Public Comments

November 6, 2013



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Budget and Operations Committee of the Clean Energy Finance and Investment Authority

Agenda Item #3

Approve meeting minutes for July 15, 2013 meeting

November 6, 2013



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Budget and Operations Committee of the Clean Energy Finance and Investment Authority

Agenda Item #4

Sick Leave Bank

November 6, 2013

Sick Leave Bank

Background and Current Status



- ▶ Established in 2009 by CI and the CCEF
- ▶ CEFIA adopted the Sick Leave Bank on December 16, 2011
- ▶ Allows participating employees to withdraw up to 10 days in the event of a qualifying illness or injury

Sick Leave Bank Today

Number of CI and CEFIA Employees	93
Number of Sick Leave Bank Participants	28
Number of Hours Donated into Sick Leave Bank	400
Value of Hours Donated into Sick Leave Bank	\$24,417.73
Value of a Sick Leave Bank Hour	\$61.04
Total Hours Used from Sick Bank Participants	0

Sick Leave Bank

Proposed Change



- ▶ Currently, participants must exhaust all their sick, personal, compensatory, and vacation leave before accessing the sick bank
- ▶ Change would allow participants to keep up to 30 vacation days while still requiring them to exhaust all personal, compensatory, and sick leave plus vacation excess of 30 days
- ▶ Allows employees to retain time for follow-up medical appointments and to supplement disability pay

Sick Leave Bank

Proposed Change (cont'd)



- ▶ Currently, any participant that has been disciplined for absence-related reasons for the last 12 months cannot withdraw from the bank
- ▶ Change would allow a committee of Senior Management to waive this requirement for a withdrawal request

Sick Leave Bank Comparison



	State of Connecticut	CI/CEFIA (with proposed change)	CHFA	CRRA	CT Lottery
Have a sick leave bank?	Yes	Yes	No*	No	Yes – participates in state bank
Eligibility	Managers and above	All employees	All employees		Managers and above
Must Exhaust					
<ul style="list-style-type: none"> Sick Leave Personal Leave Comp Time Vacation Time 	<ul style="list-style-type: none"> Yes Yes Yes Excess of 60 days 	<ul style="list-style-type: none"> Yes Yes Yes Excess of 30 days 	<ul style="list-style-type: none"> Yes Yes Yes Yes 		<ul style="list-style-type: none"> Yes Yes Yes Excess of 60 days
Pay rate of bank	Half day	Full day	Full day		Half day
Withdrawal Limit	200 half days	10 days			200 half days

*CHFA allows donation of vacation and personal time to employees with qualifying illness. Chart indicates this policy

Sick Leave Bank Cost

- ▶ Maximum withdrawal that could occur under current policy and participation is 384 hours
- ▶ Change would raise maximum withdrawal to the total number of hours in the bank (400)
- ▶ Increase of 16 hours yields a maximum cost of \$976.64



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Budget and Operations Committee of the Clean Energy Finance and Investment Authority

Agenda Item #5

Adjourn

November 6, 2013



CLEAN ENERGY
FINANCE AND INVESTMENT AUTHORITY

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865 Brook Street
Rocky Hill, CT (860) 563-0015

Subject to changes and deletions

**BUDGET AND OPERATIONS COMMITTEE OF THE
CLEAN ENERGY FINANCE AND INVESTMENT AUTHORITY
Draft Minutes – Special Meeting
Monday, July 15, 2013**

A special meeting of the Budget and Operations Committee (“Budget Committee”) of the Board of Directors of the **Clean Energy Finance and Investment Authority (“CEFIA”)** was held on July 15, 2013, at the office of the Clean Energy Finance and Investment Authority, 845 Brook Street, Rocky Hill, CT 06067.

1. **Call to Order:** The meeting was called to order at 2:21 p.m. Budget Committee members participating: Mun Choi (by phone), Daniel Esty (by phone), and Norma Glover.

Staff Attending: George Bellas, Mackey Dykes, Brian Farnen, Bryan Garcia, Suzanne Kaswan, and Shelly Mondo.

2. **Public Comments:** There were no public comments.

3. **Approval of Meeting Minutes:**

The Budget Committee members were asked to consider the minutes from the June 11, 2013 meeting. Ms. Glover asked that the minutes be changed on page 1 to reflect that she asked the question about the changes in revenues.

Upon a motion made by Mr. Choi, seconded by Ms. Glover, the Budget Committee members voted unanimously in favor of adopting the minutes from the June 11, 2013 meeting as revised.

4. **Human Resources Budget:**

Mr. Dykes mentioned that at the last Board meeting there was a discussion about the salary adjustments proposed by staff, and the Board asked staff to provide the Budget Committee with more information and comparisons with the state and other quasi-public agencies about the cost of living adjustments, merit increases and promotion increases before making a decision.

Mr. Garcia spoke about the importance of the human resources at CEFIA and noted that the total compensation increase being recommended by management is below the increases approved for other state agencies and quasi-public organizations. Mr. Garcia discussed the significant increase in staff activity and projected increase in order to achieve the ambitious goals outlined in the two-year Comprehensive Plan.

A concern was expressed by Ms. Glover with the lack of written material provided in advance of the meeting relative to the increases and noted that she probably would not vote on the issue because she was not able to review the material in advance of the meeting. Mr. Esty raised concerns and cautioned against approving pay raises because of the scrutiny and potential political backlash. Staff was asked to provide a summary sheet no later than Wednesday, July 17, showing the proposals and comparisons for the Board to consider on Friday, July 19.

Ms. Kaswan discussed the comparison of salary adjustments (cost of living, merit increase, and promotion pool, where applicable) with the State Bargaining Unit, State Managers, Connecticut Innovations ("CI"), Connecticut Housing Finance Authority and the State Lottery. In response to a question, Ms. Kaswan indicated that the State Bargaining Unit salary adjustments are a result of a long-term contract negotiation. The adjustments for managers were negotiated more recently with OPM. She explained the different categories of adjustments for each of the organizations used for comparison purposes. Ms. Kaswan noted that CI and CEFIA do not participate in longevity payments. She reviewed the salary adjustments made in 2008 and 2010 for the former Connecticut Clean Energy Fund employees, noting that the cost of living increase provided in 2010 offset an increase to the retiree health fund.

Mr. Garcia reiterated the need to reward employees for performance who continually dedicate their time and produce outstanding work. The Budget Committee members discussed the financial problems in the State. A discussion ensued on not wanting to create detrimental staff morale because other state employees and quasi-public agencies are being compensated and recognized.

Mr. Dykes explained the proposed cost of living adjustment, noting that only those employees that "meet expectations" or better in their performance review would be eligible to receive a cost of living adjustment. A comment was made that the automatic cost of living increase takes away the flexibility to reward those employees that are contributing to the mission of the organization.

The Budget Committee members discussed employee performance and there was a general preference for rewarding employees who perform on an exceptional basis rather than having an automatic cost of living increase. Mr. Garcia mentioned that Ms. Smith expressed a preference for the CHFA approach of rewarding performance versus an across the board increase. Ms. Glover noted that CEFIA does not have to be compared to state agencies and can act more independently.

The Budget Committee members discussed an appropriate percentage as a salary adjustment base pool. A suggestion was made to use a 4.5 percent merit pool, but staff was asked how this compares with CI. Mr. Choi indicated a preference for salary adjustments being consistent with CI. The Budget Committee noted that no employee should receive more than a 4.5 percent increase. Another suggestion was made by Ms. Glover and Mr. Esty to recommend a 2.0 cost of living increase for only those employees that meet expectations, a 2.0 merit pool and a 1.0 promotion pool. In

response to a question, Ms. Kaswan explained that if an employee performs below expectations, he/she is put on a performance improvement plan. When he/she comes off the performance improvement plan, such employee would be eligible for the cost of living increase. After noting the potential criticism for a 4.5 percent merit pool increase, Mr. Dykes noted that an increase of 4.5 percent is below the state bargaining unit adjustments.

The Budget Committee was unable to reach consensus on this issue and asked that staff present the two options discussed by the Budget Committee and staff's recommendations to the Board at meeting scheduled for July 19 with no specific recommendation from the Budget Committee.

Mr. Bellas discussed the need to make an adjustment to the fiscal 2014 budget to reflect the increase in employee benefits. He explained that when the fiscal year 2014 budget was approved it was anticipated that the increase in employee benefits would be approximately 66.2 percent while the actual increase announced by the State Comptroller is 74.38 percent. Some concern was expressed with having to fund gaps made by the past administration by underfunding pensions and health care costs.

5. Marketing Budget:

Mr. Dykes briefly reviewed the marketing budget for fiscal year 2013 to launch new products and investments. He indicated that there are unspent marketing funds, and staff recommends carrying those funds to the 2014 fiscal year budget to continue to launch new programs and investments to meet the aggressive goals established in the Comprehensive Plan.

The Budget Committee members asked staff to provide a summary page showing the full scope of the marketing budget for fiscal year 2013, the amount that was spent, the amount unspent and the marketing ramp up required for fiscal year 2014.

Upon a motion made by Ms. Glover, seconded by Mr. Esty the Budget Committee members voted in favor of adopting the following resolution recommending approval of adding unspent funds in the fiscal year 2013 budget to the fiscal year 2014 marketing budget (Mr. Choi was not present for the vote):

WHEREAS, Article V of the Clean Energy Finance and Investment Authority (CEFIA) Operating Procedures requires the CEFIA Board of Directors (the "Board") to adopt an Annual Operating Budget for each forthcoming fiscal year;

WHEREAS, Article V, section 5.3.2 of the CEFIA by-laws requires the Budget and Operations Committee (the "Committee") to review and recommend to the Board any increases to the operating budget in excess of seventy-five thousand;

NOW, therefore be it:

RESOLVED, that the Committee hereby recommends to the Board for approval that the unspent or unallocated fiscal year 2013 marketing be added to the fiscal year 2014 marketing budget.

6. **Adjournment**: Upon a motion made by Ms. Glover, seconded by Mr. Esty, the Budget Committee members voted in favor of adjourning the July 15, 2013 meeting at 3:39 p.m.

Respectfully submitted,

Daniel Esty, Chairperson of Budget
Committee



Memo

To: Budget and Operations Committee

From: Bryan Garcia, President and CEO, Mackey Dykes, Chief of Staff, and Suzanne Kaswan, Vice President, Human Resources at Connecticut Innovations

Date: October 30, 2013

Re: Sick Leave Bank Policy Revision

Background

Connecticut Innovations established a Sick Leave Bank in 2009 – see Appendix I. Employees donated sick time to this bank in order to allow employees with a documented qualified illness or injury to withdraw time from the Sick Leave Bank in order to be paid until our short term disability insurance becomes effective on the 31st day after the qualifying illness or injury. CEFIA adopted the Sick Leave Bank on December 16, 2011 as part of the Employee Handbook which was approved by the CEFIA Board of Directors. The Sick Leave Bank is now jointly administered for the benefit of employees at both CI and CEFIA. CEFIA is proposing an adjustment to the Sick Leave Bank Policy to not require that vacation days be used up first before accessing the Sick Leave Bank by participating staff.

Comparison of Sick Leave Bank Policies

At the time CI created the Sick Leave Bank in 2009, it was based on the Sick Leave Bank designed for classified managers in State Service – see the attached document entitled “An Important Fact Sheet for State of Connecticut Managers Regarding the Managerial Sick Leave Bank Background and Participation”. However, due to the fact that CI (and CCEF) only had about 50 employees at that time, we made it more restrictive. The State Manager’s Sick Leave Bank has over 1,600 managers who are eligible to enroll. Eligible managers can withdraw pay for ½ days to a maximum of 200 days. As CCEF and CI only had about 50 staff at that time and we wanted them to be able to withdraw a maximum of 10 calendar days per year, we made our requirements more stringent so that the bank would not be depleted too quickly in the unfortunate event that it was needed – see Table 1 for Sick Leave Bank Policy Comparison with CEFIA proposed revision.

Table 1. Comparison of Sick Leave Bank Policy between the State of Connecticut, CI, and Proposed CEFIA Revision

	State of Connecticut	Current CI/CEFIA Policy	CEFIA Proposed Revision
Enrollment Period	After eligible, they have 90 calendar days to accept or decline participation	Open one-time annual enrollment by September 20, 2013	Open one-time annual enrollment by September 20, 2013
Position Level Eligibility	Managers and above	All employees	All employees
Years of Service Eligibility	Two or more years of state service	After first 6-month review	After first 6-month review
Usage After Exhaust: <ul style="list-style-type: none"> • Sick Leave • Personal Leave • Comp Time • Vacation Time 	<ul style="list-style-type: none"> • Yes • Yes • Yes • No – only if accrued in excess of 60 days 	<ul style="list-style-type: none"> • Yes • Yes • Yes • Yes* 	<ul style="list-style-type: none"> • Yes • Yes • Yes • No – only if accrued in excess of 30 days
Initial Donation into Bank Required	One day of sick leave	One day of sick leave	One day of sick leave
Pay Rate of a Sick Leave Day	One-half day for each sick day	One day of sick leave	One day of sick leave
Number of Days Employee Can Use	Up to 200 of the one-half day for each sick day	Up to 10 days per calendar year	Up to 10 days per calendar year

*CI will propose a similar policy revision to the Sick Leave Bank Policy requiring that employees exhaust all of their sick, personal leave and compensatory time and all but 30 days (240 hours) of their vacation time.

CEFIA is proposing to adjust the usage requirements to not require that vacation time be used if an employee has less than 30 days accrued.

Sick Leave Bank Value and Cost Analysis

In 2009, out of the 50 employees eligible at CI and CCEF, 19 opted to participate in the Sick Leave Bank and there was a total of 192 hours donated to the Bank. Our bank was primarily designed to allow staff to donate in order to help staff be paid during the waiting period for our short term disability policy to become effective (31 calendar days after a qualified illness or injury). Since 2009, none of the 192 hours donated were used.

Now that the Sick Leave Bank is being operated jointly for the benefit of CI and CEFIA employees, there are 93 employees eligible to participate. We recently conducted an open enrollment and total participation rose to 28 employees and donations increased to 400 hours in the Sick Leave Bank – see Table 2 for Value of the Sick Leave Bank. Therefore, we believe that the organizations can be less conservative in our guidelines for withdrawal. A copy of Management Personnel Policy 97-1, which gives full background on the State’s Managerial Sick Leave Bank, is attached to this memorandum for your review.

Table 2. Value of the Sick Leave Bank

	CI and CEFIA Sick Leave Bank Today
Number of CI and CEFIA Employees	93
Number of Sick Leave Bank Participants	28
Number of Hours Donated into Sick Leave Bank	400
Value of Hours Donated into Sick Leave Bank ¹	\$24,417.73
Value of a Sick Leave Bank Hour	\$61.04
Total Hours Used from Sick Bank Participants	0

The average hourly rate of all CI and CEFIA employees is \$48.10 versus the hourly rate of Sick Leave Bank participants of \$61.04.

- 10 of the participating Sick Leave Bank participants make less than the \$48.10 average hourly rate of all CI and CEFIA employees;
- 6 of the participating Sick Leave Bank participants make less than the hourly rate of the Sick Leave Bank participants, but more than the average hourly rate of all CI and CEFIA employees; and
- 12 of the participating Sick Leave Bank participants make more than the average hourly rate of the Sick Leave Bank participants.

This means that about one-third of the Sick Leave Bank participating employees are lower level staff (i.e. below director level), while the remaining are director-level and above.

Given the current number of hours in the bank, current leave accruals of participants, and the existing rules, the maximum drawdown that could occur to the bank is 384 hours. As a result of the proposed change, the maximum drawdown possible would increase to the total number of hours in the bank, 400 hours. This increase of 16 hours yields a maximum cost of \$976.64.

Rationale for Sick Leave Bank Adjustment

Our benefits package has allowed us to recruit several incredibly high caliber candidates. The Sick Leave Bank is an important part of our recruitment and retention strategy because:

- CEFIA employees presently earn ten sick days per year – five less than employees at most State Agencies (due to the paid short and long-term disability insurance that employees receive);
- CEFIA has a growing talented workforce with many recent hires and employees who have not had the opportunity to build up a substantial sick leave balance;
- In addition, due to the new requirements of the Health Enhancement Plan established in 2011, employees who participate in this plan are required to take sick time to attend mandatory preventative wellness visits for themselves and enrolled family members. This also affects the ability to build up a balance of sick leave days for staff to take in the event of a medical emergency; and

¹ Based on actual data for the hourly wage of participating employees

- Unlike other businesses and organizations that value employee recruitment and retention, CEFIA has no paid maternity or paternity leave policy.

Recommendation

Currently, the Sick Leave Bank policy requires that employees exhaust all other time (vacation, personal leave and compensatory time) prior to accessing the sick leave bank. However, once short term disability insurance coverage begins (31 days after a qualified illness or injury), an employee is only paid about 70% of their pay. They can supplement this using their leave accruals (vacation, personal leave), but they can't supplement this with sick accruals. In addition, if an employee had to take all their vacation accruals prior to accessing the Sick Leave Bank, it would leave them with no accrued time. This makes it difficult in the event of a serious illness or injury to deal with follow up appointments or family issues relating to the birth of a child.

CEFIA staff recommend modifying the Sick Leave Bank Policy by removing the requirement that employees exhaust all of their vacation accruals. Employees would be required to exhaust their vacation accruals in excess of thirty (30) days. Employees would still be required to exhaust their personal leave, compensatory time and sick leave accruals before accessing the Sick Leave Bank. This is consistent with the state's managerial Sick Leave Bank policy. However, it is more stringent than that policy as we are requiring employees to exhaust all vacation time in excess of 30 days and the State's policy requires the exhaustion of vacation time in excess of 60 days. Removing the requirement to exhaust vacation accruals will allow employees to supplement their pay with vacation leave when short term disability kicks in. It also will not exhaust all their vacation leave balance. In addition, the State's Managerial Sick Leave policy requires that the manager has not been disciplined for sick leave abuse during the two (2) year period preceding application for this benefit; provided however, the committee may waive this requirement. We recommend modifying our current policy to allow a team composed of Sr. Management within CI/CEFIA and human resources to waive this requirement depending upon the circumstances of the employee.

Resolution

RESOLVED, that the Budget and Operation committee recommends that the Board of Directors approve the following CEFIA Handbook revisions marked in **bold**:

The CEFIA Sick Leave Bank is a pool of sick days that has been established by employees of CEFIA who have made a donation of their accumulated sick days. The Bank is available to members to draw up to ten (10) eight- hour sick days per year in the unfortunate event that they experience a qualified illness or injury.

Sick Leave Bank members will receive benefits in the form of paid sick leave if all of the following requirements are met:

- the member has a medical condition that prevents them from working that has been verified by a Medical Certificate OR a member's immediate family member has a medical condition that has been verified by a Medical Certificate and requires the Sick Leave Bank member's care;

- the member has been out on approved medical leave (paid or unpaid) as described above for at least two consecutive weeks;
- the member has exhausted all of their sick, ~~vacation~~, personal leave and compensatory time;
- **the member has exhausted all of their vacation time in excess of 30 days (or 240 hours)**
- the member has not been disciplined for an absence-related reason for the past 12 months; **provided however, a committee comprised of Senior Management and Human Resources may waive this requirement:**
- the member has completed a Sick Leave Bank Withdrawal Request Form and it has been approved by human resources

Submitted by: Bryan Garcia, President and CEO, Mackey Dykes, Chief of Staff, and Suzanne Kaswan, Vice President of Human Resources at Connecticut Innovations

APPENDIX I

Connecticut Innovations Sick Leave Bank Policy

What is the Sick Leave Bank?

The **Sick Leave Bank** is a pool of sick days that has been established by employees of Connecticut Innovations who have made a donation of their accumulated sick days. The Bank is available to members to draw up to ten (10) eight- hour (or for part-time employees, the number of hours that employee normally works in a day) sick days per year in the unfortunate event that they experience a qualified illness or injury. **(Maximum number of days available per calendar year for withdrawal related to H1N1 pandemic – 5 days).**

Enrollment

Employees may become members of the Sick Leave Bank by donating at least 8 hours of sick leave to the pool. Enrollment for membership in the Sick Leave Bank may occur under any of the following circumstances:

- At the inception of the bank on March 9, 2009 or within thirty (30) days thereafter
- New employees who have completed their introductory period (six months of service) may donate to the bank within 30 days of being eligible
- Employees (that have completed their introductory period) who have not previously chosen to participate may enroll during an open enrollment period.
- During an open enrollment period deemed necessary by management

Benefits

- Members may request to draw from the bank by submitting a Sick Leave Bank Withdrawal Request Form to human resources. Subject to the program terms, employees may draw up to ten (10) sick days per fiscal year in the unfortunate event that they experience a qualified illness or injury. **(Maximum number of days available per calendar year for withdrawal related to H1N1 pandemic – 5 days).**

Eligibility

Sick Leave Bank members will receive benefits in the form of paid sick leave if all of the following requirements are met:

- the member has a medical condition that prevents them from working that has been verified by a Medical Certificate OR a member's immediate family member has a medical condition that has been verified by a Medical Certificate and requires the Sick Leave Bank member's care. **WAIVED when usage related to H1N1 pandemic**
- the member has been out on approved medical leave (paid or unpaid) as described above for at least ten consecutive days. **WAIVED when usage related to H1N1 pandemic**
- the member has exhausted all of their sick, vacation, personal leave and compensatory time. **Vacation requirement WAIVED when usage related to H1N1 pandemic**

- the member has not been disciplined for an absence-related reason for the past 12 months
- the member has completed a Sick Leave Bank Withdrawal Request Form and it has been approved by human resources.
- **Maximum number of days available per calendar year for withdrawal related to H1N1 pandemic – 5 days**

For purposes of the Sick Leave Bank, immediate family is defined as an employee's spouse, parent, brother, sister, child, grandparent, grandchild, in-law, legal guardian or permanent resident of the employee's household (as defined in the CI Handbook).

Guidelines for Use

- Paid sick leave from the Bank shall be approved in units of eight (8) hour sick days for not more than ten (10) consecutive business days (five day maximum for usage related to H1N1 pandemic). In the case of a part-time employee (who works less than 8 hours per day), paid sick leave shall be in a unit equal to the number of hours the part-time employee works each day for not more than ten (10) consecutive business days. The maximum number of sick leave days any member may draw from the Sick Leave Bank in any fiscal year is ten (10).
- Elective surgery is not considered a qualified illness or injury. Members may not draw paid sick leave days from the Sick Leave Bank for elective surgery.
- If a member receives paid hours from the Sick Leave Bank and is later reimbursed for the same hours by an insurance company, workers compensation, Long-Term Disability benefits or any other source, the member must repay the Bank for the paid sick leave days for which they were reimbursed.
- If necessary to replenish the bank, CI management may, at any time, establish an open enrollment period during which employees will have an opportunity to donate their accumulated sick leave.
- Employees that choose to participate in the Sick Leave Bank must donate at least eight hours of sick leave to the pool, but can donate as many hours over and above the minimum requirement as they choose.
- Donations of sick leave to the Bank are nonrefundable and nontransferable, unless the Bank is dissolved by CI management.

CEFIA Sick Leave Bank Handbook Language

Sick Leave Bank

The CEFIA Sick Leave Bank is a pool of sick days that has been established by employees of CEFIA who have made a donation of their accumulated sick days. The Bank is available to members to draw up to ten (10) eight- hour sick days per year in the unfortunate event that they experience a qualified illness or injury.

Sick Leave Bank members will receive benefits in the form of paid sick leave if all of the following requirements are met:

- the member has a medical condition that prevents them from working that has been verified by a Medical Certificate OR a member's immediate family member has a medical condition that has been verified by a Medical Certificate and requires the Sick Leave Bank member's care.
- the member has been out on approved medical leave (paid or unpaid) as described above for at least two consecutive weeks.
- the member has exhausted all of their sick, vacation, personal leave and compensatory time
- the member has not been disciplined for an absence-related reason for the past 12 months
- the member has completed a Sick Leave Bank Withdrawal Request Form and it has been approved by human resources

All requests for utilization of the sick leave bank must be in accordance with the Sick Leave Bank Policy. Please contact Human Resources for a complete copy of the sick leave bank policy.

An Important Fact Sheet for State of Connecticut Managers Regarding the Managerial Sick Leave Bank Background and Participation



Pursuant to Management Personnel Policy 97-1, State of Connecticut managers (in accordance with Connecticut General Statutes, Sections 5-196 (cc) or 5-270 (g)) are eligible to participate in the Managerial Sick Leave Bank (MSLB). The MSLB consists of an accumulated number of sick leave hours that have been donated to the bank by participating managers. Any participating manager may apply for benefits under the MSLB in the event they suffer an illness or injury that exhausts their sick leave, personal leave, compensatory time, as well as any vacation they have accrued in excess of 60 days when workers' compensation benefits do not apply or have been exhausted.

Managers must have completed two or more years in state service to be eligible to participate in the MSLB. This includes employees with two or more years of state service who are promoted to a managerial class. After managers become eligible to join the MSLB, they have 90 calendar days to accept or decline participation. The original acceptance or declination form is available in your agency human resources office and is returned completed to your agency human resources office, which in turn forwards it to

the MSLB Committee at the Department of Administrative Services (DAS). A copy of the form is filed in the manager's personnel records. The MSLB Committee responds directly to your agency's human resources office with approval or denial.

If the MSLB Committee approves your application, you will be enrolled and an initial donation of the hourly equivalent of one day of sick leave will be deducted from your accumulated sick leave. If you decline, that decision cannot be changed at a later date.

Enrollment applications and any correspondence should be directed, by the agency human resources administrator only, to: Kristine Skoczylas, DAS Human Resources, 5th Floor, 165 Capitol Ave., Hartford, CT 06106. Agency human resources administrators can direct questions to the MSLB Committee members:

Peggy Zabawar (860-713-5246) MAC representative to the Committee or
Dr. Pamela Libby (860-713-5204) DAS representative to the Committee.

The Managerial Sick Leave Bank is a Limited Benefit

The Managerial Sick Leave Bank affords the eligible manager with a number of benefits although it has clear limitations. Know these limitations because if an emergency situation arises where you need to draw from the bank, you may have done well to have purchased salary replacement or other types of insurance and accrued a certain amount of personal savings beforehand to better care for yourself and your family.



Here is why:

- 1) You will need to be off the payroll for 15 days after exhaustion of sick, personal and compensatory time along with any annual vacation accrued beyond 60 days (that is, we don't require you to expend all of your vacation time which can be an important asset while you are on MSLB) because the 16th day after exhausting this time is when payments from the MSLB will begin. Therefore, at minimum, you should either have three weeks of salary saved in advance of this type of emergency OR salary replacement insurance that covers illness or injury-related loss of pay in order to weather this time for which you will not be receiving your regular salary;
- 2) The MSLB affords you pay at a rate of one-half day for each day of illness or injury and for no longer than 200 of these ½ days per fiscal year which will keep money coming in to your home but reduced by half;
- 3) You will not be accruing sick or vacation leave during this time and you must continue paying insurance and other premiums;
- 4) You will not be eligible for holiday or other paid leave benefits during this time;
- 5) You must not have been disciplined for sick leave abuse for the previous two years to qualify;
- 6) You must have an applicable medical certificate.

However, the MSLB is not about pay alone; even though you are not working and you cannot work and you have exhausted all but vacation leave, your position is retained for you for not less than 42 calendar days. If you remain on MSLB beyond this time, you are entitled to an equivalent position with equivalent pay if you return to work within 24 weeks of when you started using the MSLB pursuant to C.G.S. § 5-248a.

The MSLB is all about giving you some level of salary and job protection when you have exhausted almost all of the other benefits that the state affords you. It is possible to combine your MSLB and any available vacation leave you have left to elevate your salary beyond the one half day's pay. You may also elect to use any or all accrued vacation time before starting to use the MSLB, but vacation time cannot substitute for the 15-day pay gap.

If you are using the MSLB and begin to recover from your illness or injury, you may begin to return to work part-time up to an amount authorized by a medical certificate. When part time work begins, the maximum MSLB benefit will be two hours per day combined with six or fewer hours (as authorized) of paid work time. The two hours of MSLB that is combined with the part time work counts one-half against each day of the 200 days maximum of MSLB that can be used per fiscal year.

Because the MSLB is not a full salary replacement benefit, it cannot be overemphasized how important it is to preserve your own sick leave as it is accrued and to only use it when you are truly ill. Your accrued sick leave pays at 100% when you are out ill or injured and you accrue regular leave benefits when it is being used. The MSLB is meant for those circumstances "when all else fails" because you cannot work and you have nothing left protecting you and your job with the state that affords you any kind of pay. **Therefore, every manager should know the limitations of the Managers' Sick Leave Bank and plan accordingly!**

And as always, consult with your agency's human resources office when you have questions about the use of this benefit or any other state benefits.



Official Memoranda

HUMAN RESOURCES

TO: Agency Personnel Administrators
FROM: Alan J. Mazzola, Deputy Commissioner
RE: Management Personnel Policy 97-1, Sick Leave Bank
DATE: February 18, 1997

Below is a copy of Management Personnel Policy 97-1 relating to the new Sick Leave Bank for managers. The purpose of this Bank is to provide sick leave benefits to managers who have exhausted vacation time (in excess of 60 days) sick leave, personal leave and compensatory time have been exhausted due to serious illness/injury.

This fund will be established through contributions of hours from both the State and managers (who choose to participate). Enrollment information will be distributed shortly. Those electing to enroll will be required to contribute the hourly equivalent of one day toward the Bank. Any manager requesting the use of this benefit will make an application to the Management Committee. The Committee will approve/disapprove this benefit based on the enclosed criteria. The benefit period shall not exceed more than 200 ½ days in any one fiscal year.

Please make your managers aware of this policy.

If any personnel office has any questions, feel free to contact Peter Rozantes at 860.566.5570. All other employees are advised to contact their own personnel office.



Alan J. Mazzola, Deputy Commissioner

Department of Administrative Services

Encl.

97-06

MANAGEMENT PERSONNEL POLICY 97-1

Sick Leave Bank

Section One. Definition. There shall be an Emergency Sick Leave Bank to be used by full-time permanent managers. For purposes of this Management Personnel Policy, "manager" means an employee designated as a manager in accordance with Connecticut General Statutes, Sections 5-196 (cc) or 5-270 (g).

Section Two. Eligibility. A manager shall be eligible to use sick leave benefits from the bank when:

- (a)** The manager has been employed by the State for two (2) or more years.
- (b)** The manager has exhausted all sick leave, personal leave, and compensatory time.
- (c)** The manager has exhausted vacation leave in excess of sixty (60) days.
- (d)** The illness or injury is not covered by Workers' Compensation or

such compensation benefit has been exhausted.

(e) An acceptable medical certificate supporting the continued absence is on file.

(f) The manager has not been disciplined for sick leave abuse during the two (2) year period preceding application for the benefit; provided, however, the committee may waive this requirement.

(g) The manager has made a determination in writing on a form provided by the employer to participate in this sick leave bank plan and to allow the State to deduct such time as is specified in this Management Personnel Policy to administer the bank. This determination shall be made at the time of the establishment of this bank. For employees not designated as managers as of the effective date of this item, determination to participate in this sick leave bank plan shall be made after the employee has met the provisions of Section Two (a) above..

Section Three. Benefit Amount. Benefits under this Article shall be paid at the rate of one-half (1/2) day for each day of illness or injury. Payments shall begin on the sixteenth (16th) day after the exhaustion of leave or Workers' Compensation benefit, as provided in Section Two. No manager shall be eligible to draw from the bank more than once per fiscal year, nor more than two hundred (200) one-half (1/2) days per fiscal year of illness or injury, nor if the fund is depleted. Managers receiving benefits under this policy shall not accrue vacation or sick leave during the period of benefits or be eligible for holiday or other paid leave benefits during such period.

Section Four. Retention of Position. The Employer shall hold the position of any manager who has been placed on sick leave bank for a period of not less than forty-two (42) calendar days. If a manager remains on the sick leave bank for more than forty-two (42) calendar days, he/she, pursuant to the provisions of Connecticut General Statutes, Section 5-248a, shall be entitled to an equivalent position with equivalent pay in state service if he/she returns to work within twenty-four (24) weeks of his/her initial placement on the sick leave bank. This provision shall not preclude agencies from holding the position for longer periods up to and including the actual length of the leave.

Section Five. The Fund. The fund is established through contributions of hours from both the State and participating managers. Effective on the first day of the payroll period following approval of this management personnel policy, each participating full-time manager employed for two (2) or more years shall contribute the hourly equivalent of one day toward the sick leave bank. Said contribution shall be deducted from their individual sick leave balance on such date. Effective that same date, the Employer shall contribute 1,000 hours to the fund.

Any participating manager who becomes eligible to utilize the sick leave bank through completion of two (2) years of employment shall contribute the hourly equivalent of one day toward the sick leave bank at that time..

If at any time the fund should fall below 5,000 hours, the Committee referenced in Section Six shall recommend a modification in this Management Personnel Policy. Any adjustments that are made will be made through an amendment to this Management Personnel Policy.

Section Six. Administration of the Program. An eligible manager requesting use of emergency sick leave may make application on the prescribed form to a Management Committee established to administer the program. Said Committee shall be comprised of two (2) members; one (1) from the Employer and one (1) from the Management Advisory Council. Any determinations made by this Committee must be unanimous. The Committee shall have full authority to grant benefits and administer the program in accordance with the provisions of this policy. When a manager returns to work, or when sick leave bank benefits have been exhausted, the appointing agency will notify the Committee, in writing, with the total number of hours used by said manager. Time off without loss of pay or benefits shall be granted to Committee members to attend meetings as necessary to administer this program.

The actions or non-actions of the Committee shall in no way be subject to collateral attack or subject to any appeal process. The Committee shall not be considered a State agency, nor shall it be considered a board or other subdivision of the Employer. All actions shall be taken at the discretion of the Committee, and no request shall be construed as a contested case.

This Management Personnel Policy supersedes Connecticut General Statutes, Section 5-247 and Regulations 5-247-5 and 5-247-6.

This Management Personnel Policy is approved in accordance with Connecticut General Statutes, Section 5-200 (p).

This item is effective upon approval.

Approved by: Date:

Alan J. Mazzola, Deputy Commissioner of Administrative Services

Michael W. Kozlowski, Secretary, Office of Policy and Management

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