
**New York State
Department of Correctional Services
Security Staffing**

CHART SERGEANT

SWAP

System Manual

Management Information Services

August 2001

**NEW YORK STATE
DEPARTMENT OF CORRECTIONAL SERVICES
SECURITY STAFFING - SWAPS**

TABLE OF CONTENTS

SUMMARY OF TRANSACTION CODES	Page 1
710 MODIFY/CANCEL SWAP	
ADD 3RD PARTY SWAP	Page 3 - 7
CHANGE 3RD PARTY PAYBACK DATE	Page 8 - 10
REMOVE 3RD PARTY SWAP	Page 11 - 13
INFORMATIONAL MESSAGES	Page 14
715 UNFULFILLED SWAP	
CONFIRM UNFULFILLED SWAP	Page 16 - 18
CANCEL UNFULFILLED SWAP ENTRY	Page 19 - 21
INFORMATIONAL MESSAGES	Page 22

SUMMARY OF TRANSACTION CODES

710 MODIFY/CANCEL SWAP
715 UNFULFILLED SWAP

710

**MODIFY/CANCEL
SWAP**

710 MODIFY / CANCEL SWAP
ADD 3RD PARTY SWAP

*** SECURITY STAFFING SYSTEM ***

MENU

410 TRAINING FAC

ENTER DESIRED TRANSACTION CODE: 710

ENTER TRANSACTION REQUIRED FIELDS

TOUR:
GRID PAGE:
GRID PAGE SECTION:
DAILY DATE: / / TO / /
PLANNING PERIOD DATE: / / TO / /
POST OR RESOURCE NUMBER:

DEPRESS ENTER KEY TO CONTINUE TRANSACTION

<u>Step</u>	<u>Action</u>	<u>Allowable Value</u>
1.	Enter 710 transaction code from SECURITY STAFFING SYSTEM MENU screen	710
2.	Press the ENTER key	
	MODIFY/CANCEL MUTUAL SWAP screen returns	

**710 MODIFY / CANCEL SWAP
ADD 3RD PARTY SWAP**

410 TRAINING FAC	SECURITY STAFFING SYSTEM MODIFY / CANCEL MUTUAL SWAP	TEST

SWAP DATE: 08 / 03 / 01	SWAP OFF	3RD PARTY PAYBACK DATE: / /
POST/RES #: 0006	SWAP ON	3RD PARTY
POST NAME:		
TOUR:		
SHIFT:		
SQUAD:		
NAME:		

PAYBACK DATE: / /		
NEW PAYBACK DATE: / /		

ENTER=CONTINUE PF1=MENU	PF3=CANCEL ENTIRE SWAP PF4=CANCEL THIS SWAP ONLY	PF5=VIEW PAYBACK SWAP PF6=VIEW ENTIRE SWAP

- | <u>Step</u> | <u>Action</u> | <u>Allowable Value</u> |
|-------------|---|------------------------|
| 3. | Enter the swap date in the SWAP DATE field | |
| 4. | Enter the swap off post # or resource # in the SWAP OFF POST/RES# field | |
| 5. | Press the ENTER key | |

**710 MODIFY / CANCEL SWAP
ADD 3RD PARTY SWAP**

410 TRAINING FAC	SECURITY STAFFING SYSTEM MODIFY / CANCEL MUTUAL SWAP	TEST

SWAP DATE: 08 / 03 / 01		3RD PARTY PAYBACK DATE: / /
	SWAP OFF	SWAP ON
POST/RES #: 0006		0004
POST NAME: D/S PATROL #1		ADMINISTRATION LOB
TOUR: 1		2
SHIFT: 2230		0630
SQUAD: 02		05
NAME: BAKER, B		LUNDY, L

PAYBACK DATE: 08 / 10 / 01		
NEW PAYBACK DATE: / /		

ENTER=CONTINUE	PF3=CANCEL ENTIRE SWAP	PF5=VIEW PAYBACK SWAP
PF1=MENU	PF4=CANCEL THIS SWAP ONLY	PF6=VIEW ENTIRE SWAP

<u>Step</u>	<u>Action</u>	<u>Allowable Value</u>
-------------	---------------	------------------------

- The **MODIFY/CANCEL MUTUAL SWAP** screen will be displayed with the post name, tour, shift, squad and officer's name for each post number for the swap date entered.

If the swap is not on file for the **SWAP DATE** and the **SWAP OFF POST/RES#**, the screen will return with the message "SWAP IS NOT ON FILE FOR THIS DATE AND THIS POST NUMBER".

**710 MODIFY / CANCEL SWAP
ADD 3RD PARTY SWAP**

418 TRAINING FAC	SECURITY STAFFING SYSTEM MODIFY / CANCEL MUTUAL SWAP	TEST

SWAP DATE: 08 / 03 / 01		3RD PARTY PAYBACK DATE: 08 / 06 / 01
	SWAP OFF	SWAP ON
POST/RES #: 0006	0004	0026
POST NAME: 0/S PATROL #1	ADMINISTRATION LOB	
TOUR: 1	2	
SHIFT: 2230	0630	
SQUAD: 02	05	
NAME: BAKER,B	LUNDY,L	

PAYBACK DATE: 08 / 10 / 01		
NEW PAYBACK DATE: / /		

ENTER=CONTINUE PF1=MENU	PF3=CANCEL ENTIRE SWAP PF4=CANCEL THIS SWAP ONLY	PF5=VIEW PAYBACK SWAP PF6=VIEW ENTIRE SWAP

- | <u>Step</u> | <u>Action</u> | <u>Allowable Value</u> |
|-------------|---|-------------------------------|
| 7. | Move the cursor to the 3RD PARTY PAYBACK DATE field and enter the 3RD PARTY PAYBACK DATE and 3RD PARTY POST/RES#. | Not > 365 days from swap date |
| 8. | Press the ENTER key. | |

**710 MODIFY / CANCEL SWAP
ADD 3RD PARTY SWAP**

418 TRAINING FAC	SECURITY STAFFING SYSTEM MODIFY / CANCEL MUTUAL SWAP	TEST

SWAP DATE: 08 / 03 / 01		3RD PARTY PAYBACK DATE: 08 / 05 / 01
	SWAP OFF	SWAP ON
POST/RES #: 0006	0004	0026
POST NAME: O/S PATROL #1	ADMINISTRATION LOB	I/S ROUNDS #1
TOUR: 1	2	1
SHIFT: 2230	0630	2230
SQUAD: 02	05	01
NAME: BAKER,B	LUNDY,L	ADAMS,A

PAYBACK DATE: 08 / 10 / 01		
NEW PAYBACK DATE: / /		

ENTER=CONTINUE PF1=MENU	PF3=CANCEL ENTIRE SWAP PF4=CANCEL THIS SWAP ONLY	PF5=VIEW PAYBACK SWAP PF6=VIEW ENTIRE SWAP

- | <u>Step</u> | <u>Action</u> | <u>Allowable Value</u> |
|-------------|--|------------------------|
| 9. | The screen will return for verification of the post name, tour, shift, squad and officer's name for the 3rd party post number. | |
| 10. | Press the ENTER key to record the 3rd party data. | |
| 11. | If the transaction was successful, the MENU screen will return with the message "SUCCESSFUL UPDATE OF 3RD PARTY DATA". | |

710 MODIFY / CANCEL SWAP
CHANGE 3RD PARTY PAYBACK DATE

*** SECURITY STAFFING SYSTEM ***

MENU

410 TRAINING FAC

ENTER DESIRED TRANSACTION CODE: 710

ENTER TRANSACTION REQUIRED FIELDS

TOUR:
GRID PAGE:
GRID PAGE SECTION: / /
DAILY DATE: / /
PLANNING PERIOD DATE: / / TO / /
POST OR RESOURCE NUMBER:

DEPRESS ENTER KEY TO CONTINUE TRANSACTION

<u>Step</u>	<u>Action</u>	<u>Allowable Value</u>
1.	Enter 710 transaction code from SECURITY STAFFING SYSTEM MENU screen	710
2.	Press the ENTER key	
	MODIFY/CANCEL MUTUAL SWAP screen returns	

**710 MODIFY / CANCEL SWAP
CHANGE 3RD PARTY PAYBACK DATE**

410 TRAINING FAC	SECURITY STAFFING SYSTEM MODIFY / CANCEL MUTUAL SWAP	TEST

SWAP DATE: 08 / 03 / 01	SWAP OFF	3RD PARTY PAYBACK DATE: / /
POST/RES #: 0006	SWAP ON	3RD PARTY
POST NAME:		
TOUR:		
SHIFT:		
SQUAD:		
NAME:		

PAYBACK DATE: / /		
NEW PAYBACK DATE: / /		

ENTER=CONTINUE PF1=MENU	PF3=CANCEL ENTIRE SWAP PF4=CANCEL THIS SWAP ONLY	PF5=VIEW PAYBACK SWAP PF6=VIEW ENTIRE SWAP

- | <u>Step</u> | <u>Action</u> | <u>Allowable Value</u> |
|-------------|---|------------------------|
| 3. | Enter the swap date in the SWAP DATE field | |
| 4. | Enter the swap off post # or resource # in the SWAP OFF POST/RES# field | |
| 5. | Press the ENTER key | |

**710 MODIFY / CANCEL SWAP
CHANGE 3RD PARTY PAYBACK DATE**

410 TRAINING FAC	SECURITY STAFFING SYSTEM MODIFY / CANCEL MUTUAL SWAP	TEST

SWAP DATE: 08 / 03 / 01		3RD PARTY PAYBACK DATE: 08 / 05 / 01
	SWAP OFF	SWAP ON
POST/RES #: 0006	0004	0026
POST NAME: O/S PATROL #1	ADMINISTRATION LOB	I/S ROUNDS #1
TOUR: 1	2	1
SHIFT: 2230	0630	2230
SQUAD: 02	05	01
NAME: BAKER, B	LUNDY, L	ADAMS, A

PAYBACK DATE: 08 / 10 / 01		NEW 3RD PARTY PAYBACK DATE: 08 / 15 / 01
NEW PAYBACK DATE: / /		

ENTER=CONTINUE PF1=MENU	PF3=CANCEL ENTIRE SWAP PF4=CANCEL THIS SWAP ONLY	PF5=VIEW PAYBACK SWAP PF6=VIEW ENTIRE SWAP

- | <u>Step</u> | <u>Action</u> | <u>Allowable Value</u> |
|-------------|--|-------------------------------|
| 6. | The MODIFY/CANCEL MUTUAL SWAP screen will be displayed with the post name, tour, shift, squad and officer's name for each post number, including 3rd party, for the swap date entered.

If the swap is not on file for the SWAP DATE and the SWAP OFF POST/RES# , the screen will return with the message "SWAP IS NOT ON FILE FOR THIS DATE AND THIS POST NUMBER". | |
| 7. | Move the cursor to the NEW 3RD PARTY PAYBACK DATE field and enter the NEW 3RD PARTY PAYBACK DATE . | Not > 365 days from swap date |
| 8. | Press the ENTER key to record the new 3rd party payback date. | |
| 9. | If the transaction was successful, the MENU screen will return with the message "SUCCESSFUL ENTRY OF NEW 3RD PARTY PAYBACK DATE". | |

710 MODIFY / CANCEL SWAP
REMOVE 3RD PARTY SWAP

```
*** SECURITY STAFFING SYSTEM ***  
MENU  
410 TRAINING FAC  
  
ENTER DESIRED TRANSACTION CODE: 710  
ENTER TRANSACTION REQUIRED FIELDS  
  
TOUR:  
GRID PAGE:  
GRID PAGE SECTION:  
DAILY DATE: / /  
PLANNING PERIOD DATE: / / TO / /  
POST OR RESOURCE NUMBER:  
  
DEPRESS ENTER KEY TO CONTINUE TRANSACTION
```

<u>Step</u>	<u>Action</u>	<u>Allowable Value</u>
1.	Enter 710 transaction code from SECURITY STAFFING SYSTEM MENU screen	710
2.	Press the ENTER key MODIFY/CANCEL MUTUAL SWAP screen returns	

**710 MODIFY / CANCEL SWAP
REMOVE 3RD PARTY SWAP**

410 TRAINING FAC.	SECURITY STAFFING SYSTEM MODIFY / CANCEL MUTUAL SWAP	TEST

SWAP DATE: 08 / 03 / 01	SWAP OFF	3RD PARTY PAYBACK DATE: / /
POST/RES #: 0006	SWAP ON	3RD PARTY
POST NAME:		
TOUR:		
SHIFT:		
SQUAD:		
NAME:		

PAYBACK DATE: / /		
NEW PAYBACK DATE: / /		

ENTER=CONTINUE PF1=MENU	PF3=CANCEL ENTIRE SWAP PF4=CANCEL THIS SWAP ONLY	PF5=VIEW PAYBACK SWAP PF6=VIEW ENTIRE SWAP

- | <u>Step</u> | <u>Action</u> | <u>Allowable Value</u> |
|-------------|---|------------------------|
| 3. | Enter the swap date in the SWAP DATE field | |
| 4. | Enter the swap off post # or resource # in the SWAP OFF POST/RES# field | |
| 5. | Press the ENTER key | |

**710 MODIFY / CANCEL SWAP
REMOVE 3RD PARTY SWAP**

410 TRAINING FAC	SECURITY STAFFING SYSTEM MODIFY / CANCEL MUTUAL SWAP	TEST

SWAP DATE: 08 / 03 / 01		3RD PARTY PAYBACK DATE: / /
	SWAP OFF	SWAP ON
POST/RES #: 0006	0004	3RD PARTY
POST NAME: O/S PATROL #1	ADMINISTRATION LOB	I/S ROUNDS #1
TOUR: 1	2	1
SHIFT: 2230	0630	2230
SQUAD: 02	05	01
NAME: BAKER, B	LUNDY, L	ADAMS, A

PAYBACK DATE: 08 / 10 / 01		NEW 3RD PARTY PAYBACK DATE: / /
NEW PAYBACK DATE: / /		/ /

ENTER=CONTINUE PF1=MENU	PF3=CANCEL ENTIRE SWAP PF4=CANCEL THIS SWAP ONLY	PF5=VIEW PAYBACK SWAP PF6=VIEW ENTIRE SWAP

<u>Step</u>	<u>Action</u>	<u>Allowable Value</u>
-------------	---------------	------------------------

- The **MODIFY/CANCEL MUTUAL SWAP** screen will be displayed with the post name, tour, shift, squad and officer's name for each post number, including 3rd party, for the swap date entered.

If the swap is not on file for the **SWAP DATE** and the **SWAP OFF POST/RES#**, the screen will return with the message "SWAP IS NOT ON FILE FOR THIS DATE AND THIS POST NUMBER".

- Move the cursor to the **3RD PARTY PAYBACK DATE** field and replace the **3RD PARTY PAYBACK DATE** and **3RD PARTY POST/RES#** with spaces.
- Press the **ENTER** key to remove the 3rd party data.
- If the transaction was successful, the **MENU** screen will return with the message "SUCCESSFUL REMOVAL OF 3RD PARTY DATA".

**710 MODIFY / CANCEL SWAP
INFORMATIONAL MESSAGES**

- 3rd party payback date must be repaid within 365 days of swap date
- Swap is not on file for this date and this post number
- Payback swap is not on file
- Post ##### is not on the chart for this date
- Post ##### is on the chart for this date - however, it is vacant
- Post ##### is scheduled to work same tour as post ##### on MM/DD/YY
- Swap already on file for post ##### for this date
- 3rd party payback date cannot be changed here

715

**UNFULFILLED
SWAP**

**715 UNFULFILLED SWAP
CONFIRM UNFULFILLED SWAP**

*** SECURITY STAFFING SYSTEM ***

MENU

418 TRAINING FAC

ENTER DESIRED TRANSACTION CODE: 715

ENTER TRANSACTION REQUIRED FIELDS

TOUR:
GRID PAGE:
GRID PAGE SECTION:
DAILY DATE: / /
PLANNING PERIOD DATE: / / TO / /
POST OR RESOURCE NUMBER:

DEPRESS ENTER KEY TO CONTINUE TRANSACTION

<u>Step</u>	<u>Action</u>	<u>Allowable Value</u>
1.	Enter 715 transaction code from SECURITY STAFFING SYSTEM MENU screen	715
2.	Press the ENTER key	
	UNFULFILLED SWAP screen returns	

**715 UNFULFILLED SWAP
CONFIRM UNFULFILLED SWAP**

410 TRAINING FAC	SECURITY STAFFING SYSTEM UNFULFILLED SWAP	TEST
SWAP DATE: 08 / 07 / 01		
	SWAP OFF	SWAP ON
POST/RES #: 0027		
POST NAME:		
TOUR:		
SHIFT:		
SQUAD:		
NAME:		
PF1=MENU PF2=CONFIRM UNFULFILLED SWAP PF3=CANCEL UNFULFILLED SWAP ENTRY		

- | <u>Step</u> | <u>Action</u> | <u>Allowable Value</u> |
|-------------|---|------------------------|
| 3. | Enter the swap date in the SWAP DATE field | |
| 4. | Enter the swap off post #.or resource # in the SWAP OFF POST/RES# field | |
| 5. | Press the ENTER key | |

**715 UNFULFILLED SWAP
CONFIRM UNFULFILLED SWAP**

418 TRAINING FAC	SECURITY STAFFING SYSTEM UNFULFILLED SWAP	TEST
SWAP DATE: 08 / 07 / 01		
	SWAP OFF	SWAP ON
POST/RES #:	0027	0031
POST NAME:	I/S ROUNDS #2	I/S ROUNDS #2
TOUR:	1	3
SHIFT:	2300	1500
SQUAD:	05	04
NAME:	EVANS, E	RILEY, R
PF1=MENU PF2=CONFIRM UNFULFILLED SWAP PF3=CANCEL UNFULFILLED SWAP ENTRY		

<u>Step</u>	<u>Action</u>	<u>Allowable Value</u>
-------------	---------------	------------------------

6. The UNFULFILLED SWAP screen will be displayed with the post name, tour, shift, squad and officer's name for each post number for the swap date entered.

If the swap is not on file for the SWAP DATE and the SWAP OFF POST/RES#, the screen will return with the message "SWAP IS NOT ON FILE FOR THIS DATE AND THIS POST NUMBER".

7. Press the PF2 key to confirm that the swap was unfulfilled.

8. If the transaction was successful, the MENU screen will return with the message "CONFIRM UNFULFILLED SWAP WAS SUCCESSFUL".

715 UNFULFILLED SWAP
CANCEL UNFULFILLED SWAP ENTRY

```
*** SECURITY STAFFING SYSTEM ***  
MENU  
410 TRAINING FAC  
  
ENTER DESIRED TRANSACTION CODE: 715  
ENTER TRANSACTION REQUIRED FIELDS  
      TOUR:  
      GRID PAGE:  
      GRID PAGE SECTION:  
      DAILY DATE: / / TO / /  
      PLANNING PERIOD DATE: / / TO / /  
      POST OR RESOURCE NUMBER:  
  
DEPRESS ENTER KEY TO CONTINUE TRANSACTION
```

<u>Step</u>	<u>Action</u>	<u>Allowable Value</u>
1.	Enter 715 transaction code from SECURITY STAFFING SYSTEM MENU screen	715
2.	Press the ENTER key	
	UNFULFILLED SWAP screen returns	

**715 UNFULFILLED SWAP
CANCEL UNFULFILLED SWAP ENTRY**

410 TRAINING FAC	SECURITY STAFFING SYSTEM UNFULFILLED SWAP	TEST
SWAP DATE: 08 / 07 / 01		
	SWAP OFF	SWAP ON
POST/RES #: 0027		
POST NAME:		
TOUR:		
SHIFT:		
SQUAD:		
NAME:		
PF1=MENU PF2=CONFIRM UNFULFILLED SWAP PF3=CANCEL UNFULFILLED SWAP ENTRY		

- | <u>Step</u> | <u>Action</u> | <u>Allowable Value</u> |
|-------------|---|------------------------|
| 3. | Enter the swap date in the SWAP DATE field | |
| 4. | Enter the swap off post # or resource # in the SWAP OFF POST/RES# field | |
| 5. | Press the ENTER key | |

**715 UNFULFILLED SWAP
CANCEL UNFULFILLED SWAP ENTRY**


410 TRAINING FAC	SECURITY STAFFING SYSTEM UNFULFILLED SWAP	TEST
SWAP DATE: 08 / 07 / 01		
*** UNFULFILLED ***	SWAP OFF	SWAP ON
POST/RES #:	0827	0831
POST NAME:	I/S ROUNDS #2	I/S ROUNDS #2
TOUR:	1	3
SHIFT:	2300	1500
SQUAD:	05	04
NAME:	EVANS, E	RILEY, R
PF1=MENU PF2=CONFIRM UNFULFILLED SWAP PF3=CANCEL UNFULFILLED SWAP ENTRY		

- | <u>Step</u> | <u>Action</u> | <u>Allowable Value</u> |
|-------------|--|------------------------|
| 6. | The UNFULFILLED SWAP screen will be displayed with the post name, tour, shift, squad and officer's name for each post number for the swap date entered.
"*** UNFULFILLED ***" will appear in the data area.

If the swap is not on file for the SWAP DATE and the SWAP OFF POST/RES#, the screen will return with the message "SWAP IS NOT ON FILE FOR THIS DATE AND THIS POST NUMBER". | |
| 7. | Press the PF3 key to cancel the unfulfilled swap. | |
| 8. | If the transaction was successful, the MENU screen will return with the message "CANCEL UNFULFILLED SWAP WAS SUCCESSFUL". | |

**715 UNFULFILLED SWAP
INFORMATIONAL MESSAGES**

- Unfulfilled flag has already been set - please try again
- Unfulfilled flag is not set - please try again
- Swap is not on file for this date and this post number
- Date entered cannot be a future date - please try again

 <p>STATE OF NEW YORK DEPARTMENT OF CORRECTIONAL SERVICES</p> <p>DIRECTIVE</p>	TITLE		No. 2223
	Intershift/RDO Swaps		
SUPERSEDES Dir. #2223 dtd. 05/07/01	DISTRIBUTION A	PAGE 1 OF 3 PAGES	DATE 08/05/2004 LAST UPDATED 11
REFERENCES (includes but are not limited to):	APPROVING AUTHORITY <i>Charles M. Deane</i>		

2
2
2
3

A. **Objective.** To provide a standard policy for the recording, monitoring and controlling of swapping by uniformed employees. The corresponding procedures will provide consistency among the facilities, and promote the positive use of the swapping privilege for the benefit of both the Department and its employees. This policy is intended to be both simple and effective.

B. **Definition.** A swap is a voluntary exchange (trade) of specific shifts (tours of duty) by two employees in the same title that (a) is initiated solely for the benefit of the affected employees, and (b) under normal circumstances, will not affect the compensable hours worked by each employee. For accounting purposes, a swap is defined as a total exchange with two parts: the initial swap and the payback.

C. **Time Periods**

1. All swaps must be repaid within one year (365 days) of the initial swap date.
2. All swaps must be requested by the completion of Form #1032 (Attached), signed by both employees, and submitted to the Time & Attendance Lieutenant (or designee appointed by the Superintendent) at least 48 hours in advance of the affected shift. Only one (1) swap may be requested on each form. All completed swap forms must list specific dates, shifts, and posts. Open-ended swaps (defined as swaps with no specific payback date) are not allowed. Swap forms submitted without the 48-hour advance notification must be for a compelling reason, and approved by the Watch Commander.
3. A scheduled swap can be canceled by either employee up to 24 hours before the initial swap shift. Swaps must be canceled by submitting a new Form #1032 to the Watch Commander.

D. **Swap Paybacks**

1. The only acceptable means of payback for a swap is physically working a full shift except for the circumstances specified in D-5. below. Under no circumstances can a swap be paid back in any other form by the employee.
2. Paybacks must be on a one for one basis. Extra shifts cannot be worked as payback for highly desirable days off such as Christmas. This is prohibited by federal law.
3. Once the initial swap has been worked, the payback date cannot be changed or cancelled without signed approval by facility management at, or above, the rank of Watch Commander.
4. No third party swaps are allowed except in cases of a documented emergency and with signed approval at or above the rank of Deputy Superintendent or equivalent.
5. Any swap not repaid will result in a charge to appropriate leave credits, if available, in this order: Personal Leave first, and if unavailable, Annual Leave. If neither Personal or Annual Leave is available, the owing employee will be docked a day's pay, and the employee owed the swap will receive compensation. This transaction will only occur under the following circumstances:
 - a. When a swapping employee transfers out from the facility where the swap occurred;
 - b. When the swapping employee resigns or is terminated;
 - c. When the swapping employee is on extended sick leave beyond the twelve-month period; or
 - d. When the swap is not repaid within the twelve-month time period.

E. Eligibility and Restrictions

1. An employee working a swap must meet all qualifications for the post worked.
2. Swaps can only be made by employees in the same title.
3. Probationary correction officers cannot swap until they have been assigned to a facility for a minimum of 30 days. In addition, a probationary Correction Officer without a permanent bid post may only swap for a day for which the officer has a scheduled shift or squad assignment.
4. Swaps must be for full shifts only. No partial shift swaps will be allowed.
5. No overlapping swaps are allowed.
6. No time off will be granted for any employee working a swap except in cases of a documented emergency and with signed approval at or above the rank of Deputy Superintendent or equivalent.
7. Employees cannot work more than 2 consecutive shifts in a row.
8. No employee can work a swap on a known scheduled training shift.
9. All owed swaps must be repaid before an employee is promoted, appointed to a new title or reassigns to another facility. Otherwise, there will be a charge to appropriate leave credits or a pay dock as outlined in D-5.

F. Employee Responsibilities

1. Swaps are strictly voluntary between 2 employees, and employees are under no obligation to agree to a swap request.
2. An employee working a swap waives any consideration of such hours for overtime compensation, or in the case of a holiday shift, any additional holiday compensation.
3. All employees working swaps are responsible for fulfilling their commitment and reporting on time.
4. The employee originally scheduled for a shift remains responsible for coverage of the shift in the event that the employee working the swap does not report. If no one reports for the shift, the originally scheduled employee will be considered AWOL, and will not be paid for the shift.
5. An employee scheduled to work a swap, who for whatever reason, cannot report, must contact the originally scheduled employee immediately. If he/she cannot contact the employee, the Watch Commander must be notified prior to the start of the shift. An employee who fails to do so and/or fails to report, may be penalized in line with the Department's disciplinary process and/or lose swapping privileges for a specified period of time.

G. Recording and Monitoring Swaps

1. Employees working a swap must complete their time cards in the normal manner. After making final entry for the shift, the employee shall write in "Swap On" and the name of the employee he/she is working for next to the last entry.
2. Employees who did not work a scheduled shift because of a swap, must make an entry on the corresponding date of their time card by writing "Swap Off" and the name of the employee who worked.
3. The Time & Attendance Lieutenant* is responsible for reviewing and approving all swap request forms, and transferring applicable information to the corresponding Daily Swap Sheets.
4. Copies of the Daily Swap Sheets are to be provided to the Watch Commander, Timekeeper, and the office of the Deputy Superintendent for Security Services (or designee) at least 24 hours before the start of the date of the sheet.
5. The timekeeper will post from the Daily Swap Sheets, and reconcile these Sheets to the employee time cards at the end of each pay period. Any discrepancies will be reported to the Time & Attendance Lieutenant.*

6. The Time & Attendance Lieutenant* will check all discrepancies against the Duty Charts and Daily Swap Sheets, and follow up with employees/Timekeeper as appropriate.
7. The swap request form will consist of a 5-part NCR form. One copy will go to each of the parties to the swap, one copy to the Time & Attendance Lieutenant*, and two copies will be placed in a file chronologically separated by each day of the year: one copy filed for the day the swap will be worked, and the second copy for the payback date.

*or designee appointed by the Superintendent

H. **Penalties.** Violations of statewide swapping rules may be dealt with through counseling or, if necessary, disciplinary action in accordance with Article 8 of the negotiated labor contract. Penalties may include suspension or permanent loss of swapping privileges where appropriate.

I. **Management Authority**

1. Facility Superintendents must take appropriate steps to ensure that procedures and practices in place at their respective facilities fully comply with the provisions of this policy, and that sufficient safeguards exist to adequately record, reconcile, and monitor swaps. This policy and related procedures may not be a subject for local labor/ management negotiations. The forms and record keeping practices specifically identified within this policy must be used and followed without modification. Facilities, however, may supplement this policy for the purpose of clarification or control by promulgating more detailed procedures as deemed necessary to ensure full compliance.
2. Each Superintendent will on January 1 and July 1 submit a detailed report (eform SWAPREPORT) to the Deputy Commissioner for Correctional Facilities listing the number of swaps worked during the period; the number of individuals owing 60 or more swaps and the actual time owed; what action is being taken relative to each individual and any problems encountered.
3. The Department has full authority to audit all documents and records associated with swapping to ensure full compliance with this policy.

[Click here for Form #1032, "Request for Exchange of Regular Work Duty - Intershift/RDO Swap"](#)

REQUEST FOR EXCHANGE OF REGULAR WORK DUTY - INTERSHIFT/RDO SWAP

PURSUANT TO SECTION 134, CIVIL SERVICE LAW, RULES FOR OVERTIME COMPENSATION, SECTION 135.5, SUBDIV. E.

PRINT FILL IN ALL BLANKS	FACILITY:		DATE OF REQUEST:	
	NAME OF EMPLOYEE REQUESTING SWAP		POST #	ITEM #
NAME OF EMPLOYEE WHO WILL WORK THE SWAP		POST #	ITEM #	RDO SQUAD
SWAP DATE		SHIFT		<input type="checkbox"/> CANCEL THIS PREVIOUSLY APPROVED SWAP* <input type="checkbox"/> MODIFY THIS PREVIOUSLY APPROVED SWAP** NEW PAYBACK DATE IS _____
SWAP PAYBACK DATE		SHIFT		

A SWAP *MUST* BE REPAID WITHIN 365 DAYS OF THE DATE THE INITIAL SWAP IS WORKED.

COMPENSATION: For purposes of computing overtime, all hours worked pursuant to this agreement shall be considered as hours worked by the employee who was originally scheduled to work such hours.

The employee performing the hours worked in exchange waives consideration of such hours for overtime compensation of, in the case of a holiday shift, any additional holiday compensation.

The exchange of hours is voluntary and no employer obligation is incurred.

***CANCELLATION:** YOU ARE ALLOWED TO CANCEL A SWAP ONLY WHEN NEITHER PORTION OF THE SWAP HAS BEEN WORKED. Cancellations must be signed by a Watch Commander or higher administrator.

****MODIFICATION:** Once the initial swap has been worked, a new payback date must be submitted if the original payback date cannot be worked. A payback date cannot be changed without signed approval. Accruals or pay must be exchanged if the swap is not completed as agreed.

SIGNATURES: A swap request, cancellation or modification must be signed by both employees.

Your signatures indicate the information submitted on this form is correct and you are aware of and in full agreement with the Department's swapping policy as set forth in Directive #2223, "Intershift/RDO Swaps."

SIGNED		DATE	PHONE #
SIGNED		DATE	PHONE #
APPROVED <input type="checkbox"/>	DISAPPROVED <input type="checkbox"/>	REASON	
(Name & Title)			DATE

DIST: Original - Time & Attendance Lieutenant : Copy to each employee : 2 copies to the Timekeeper