



STATE OF NEW YORK  
DEPARTMENT OF CORRECTIONAL SERVICES  
THE HARRIMAN STATE CAMPUS  
1220 WASHINGTON AVENUE  
ALBANY, N.Y. 12226-2050

GLENN S. GOORD  
COMMISSIONER

August 14, 2002

Mr. William P. Challice  
Audit Director  
Office of the State Comptroller  
Division of Management Audit &  
State Financial Services  
123 William Street, 21st Floor  
New York, New York 10038

Re: **Audit Report 2001-S-23**

Dear Mr. Challice:

In response to your correspondence and in accordance with Section 170 of the Executive Law, attached is a copy of the 90 day reply to the audit of Lincoln Correctional Facility - Selected Payroll Practices, Report 01-S-23.

We are complying with the provision of the Budget Policy and Reporting Manual, Item B-140, by simultaneously forwarding two copies of this response to the Division of the Budget.

God Bless America,



Glenn S. Goord  
Commissioner

Attachment

cc: Governor George E. Pataki  
Senator Joseph L. Bruno  
Senator Martin Connor  
Senator Ronald B. Stafford  
Senator Michael Nozzolio  
Assemblyman Sheldon Silver  
Assemblyman Paul Tokasz  
Assemblyman Herman D. Farrell, Jr.  
Andrea Zaretzki, Executive Director  
Division of the Budget (2)



GLENN S. GOORD  
COMMISSIONER

STATE OF NEW YORK  
**DEPARTMENT OF CORRECTIONAL SERVICES**  
LINCOLN CORRECTIONAL FACILITY  
31 West 110th STREET  
New York, New York 10026-4398  
212-860-9400

JOSEPH V. WILLIAMS  
SUPERINTENDENT

August 13, 2002

Mr. William P. Challice  
Audit Director  
NYS Office of the State Comptroller  
110 State Street  
Albany, New York 2236-0001

Re: Lincoln Correctional Facility  
Selected Payroll Practices  
Report 2001-S-23

Dear Mr. Challice:

We are in receipt of the Final Report of the above referenced audit. The following is our response and follow-up action since the original audit:

1. **Recommendation:** Remind Supervisors to verify that all required signatures are on employee time cards before they are submitted to timekeeper.

**Response:** Supervisors have been reminded to check for signatures before submitting cards to the timekeeper. The timekeeper reports that since this reminder, the number of cards returned for signatures has decreased 85-90%.

2. **Recommendation:** Remind supervisors to review time cards daily to verify that attendance data are complete and accurate, and to initial the time cards to document their review.

**Response:** In accordance with Directive 2202, supervisors were reminded to review all time cards for accuracy and completeness on a daily basis. Any modifications to the employee's routine schedule are to be initialed. On average, less than 5% are now returned for supervisor's initials. For example, formerly returning 20-30 cards, this past pay period only 6.

3. **Recommendation:** Verify that employees are submitting time cards at the end of each pay period, as required; and discipline employees who do not comply with this requirement.

**Response:** A formal monitoring system is in place so that the number of delinquent time cards have decreased dramatically. In addition to the counseling option, holding of paychecks of employees whose timecards are more than two weeks late is an option per DOCS newly revised **Attendance Control Program Directive #2202 (11/01/01)**, Section D, 4.

4. **Recommendation:** Remind supervisors to initial entries of overtime before submitting time cards to the timekeeper.

**Response:** Agree.

5. **Recommendation:** Monitor sick leave charges in a timely manner so that counseling and discipline may be provided when appropriate.

**Response:** The timeliness of the disciplinary process for time and attendance infractions is immensely improved since the audit.

6. **Recommendation:** Enforce the requirement that employees charging military leave submit verification of participation in military duty (LES).

**Response:** The use and documentation of Military Leave is being closely monitored. We have had 7 instances of military leave in the past 6 months, the latest ending 5/19/02. We are awaiting LES's for the last two. Reminders have been sent (see "Missing Documentation" memo attached).

7. **Recommendation:** Enforce the requirement that medical documentation be submitted and pursue those documents that are not, and that written notice of the terms and conditions for workers' compensation leave be retained in the employee's case folder.

**Response:** Personnel staff have reviewed the guidelines for Workers' Compensation and will ensure that the rules of due process are adhered to.

8. **Recommendation:** Continue to pursue the medical documentation from the employee who did not submit it for the month of December 2000; if not received, adjust their leave accruals, as appropriate.

**Response:** Satisfactory medical documentation has been received and is on file for the month of December 2000 for the employee in question.

9. **Recommendation:** Re-instruct appropriate staff in Workers' Compensation Board procedures.

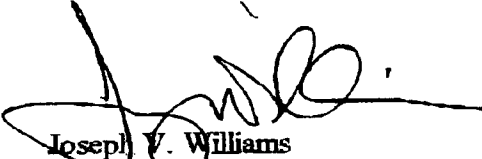
**Response:** Personnel Office staff have been remediated in the proper procedures for Workers' Compensation.

10. **Recommendation:** Work with the Department's Central Office, to enhance their central computerized payroll system to count the number of military leave days and workers' compensation leave days taken.

**Response:** The Automated Timekeeping System tracks military leave days, as opposed to the payroll system, and one enhancement recommended was a warning when the maximum number of days is reached; similar to the warning exhibited for Family Medical Leave. However, until modifications can be made to the Automated Timekeeping System, the timekeeper has been instructed to verify the number of military leave days used before posting any new military leave days. As for workers' compensation leave, the KHRS system records the inclusive dates of eligibility at the inception of the claim and our timekeeper is utilizing the "Comments" section of the Automated Timekeeping System to track the accumulated Workers' Comp time used for each date of accident. The Personnel supervisor has also been advised to track the number of days of Workers' Compensation leave used on the KHRS transactions.

Thank you for your suggestions and recommendations.

Sincerely,



Joseph V. Williams  
Superintendent

SB

cc: Sharon Behnke, Acting DSA  
Lt. Munafa



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JOSEPH V. WILLIAMS  
SUPERINTENDENT

MEMORANDUM

TO: \_\_\_\_\_

FROM: Sharon Behnke, Acting Deputy Supt for Administrative Services

SUBJECT: **DELINQUENT TIME CARD**

DATE: \_\_\_\_\_

The Timekeeper reports that the following time card for an employee under your supervision for period ending \_\_\_\_\_ has not been turned in, or has not been returned with corrections:

\_\_\_\_\_ Previously Delinquent  
1 [ ] 2 [ ] 3 [ ] times

All time cards are to be turned in to the Timekeeper by close of business the Monday following payday. If the employee is out on vacation or extended absence, you should turn it in ***without*** their signature as long as ***you*** have signed it and initialed each day.

Employees and/or supervisors responsible for delinquent time cards more than two weeks following the close of the period will be subject to counseling after 3 (three) warnings.

cc: Timekeeper



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JOSEPH V. WILLIAMS  
SUPERINTENDENT

**MEMORANDUM**

TO: \_\_\_\_\_

FROM: Sharon Behnke, Acting Deputy Supt. for Administrative Services

SUBJECT: Missing Documentation

DATE: \_\_\_\_\_

According to timekeeping, you were authorized

Military Leave on \_\_\_\_\_

Conference Attendance on \_\_\_\_\_

Training on \_\_\_\_\_

State Business on \_\_\_\_\_

Union Leave on \_\_\_\_\_

for which documentation of your attendance is required for our records.

**Please submit documentation by \_\_\_\_\_. If we do not receive the proper documentation you will be charged leave credits to cover your absence. If you do not have adequate accruals to cover the absence, you will be given LWOP.**

If you have any questions, please see me.

cc: Timekeeper  
T & A Lt.