

## REQUEST FOR TIME OFF/SHIFT TRADE

- AUTHORITY:** Administrative Directive  
Department Policy  
Memorandum of Understanding
- RESCINDS:** Procedure Manual Item 3-1-211, dated 11/28/16
- FORMS:** Request for Time Off/Shift Trade Form (F057-6219)  
Vacation/Leave-of-Absence Request (F057-9010)  
Long-Term Shift Trade Agreement (Attachment)
- PURPOSE:** To establish a uniform procedure for approving requests for time off and shift trades in all facilities.

### I. GENERAL INFORMATION

#### A. Minimum Daily Allowance

The number of staff authorized time off on a daily or weekly basis has been established by mutual agreements between the Probation Services Unit and the County. The facility Director approving additional requests for time off beyond the established number is contingent upon available staff coverage, the effect of the employee's absence on the efficient operation of the facility, and budget constraints (i.e. overtime).

#### B. Requests for Time Off/Shift Trade Form (F057-6219)

Employees submit all requests (except spontaneous sick time usage and prime time vacation) on the Request for Time Off/Shift Trade Form (F057-6219).

#### C. Prime Time Vacation/Annual Leave

1. Prime time vacation/annual leave preference, based on seniority, is considered in January each year for one vacation period during the next 12 months (March – February of the following year). **Seniority is defined as follows:**
  - a. **Time-in-grade (start date in current classification. Time-in-grade for Sr. JCOs will be their DJCO II promotion date. Sr. JCOs and DJCO IIs who were laid off will retain their initial time-in-grade date if reinstated within the two-year period.)**
  - b. **Start date with Orange County Probation Department**
  - c. **Start date (date of hire) with Orange County (into a regular or limited term position)**
  - d. **Start date of the Academy (at least month and year)**

**e. County Employee ID Number (lower numbers have higher seniority).**

2. Employees may submit for consideration up to three Vacation/Leave-of-Absence Request forms (F057-9070.08) indicating the order of preference. Each vacation request is for a consecutive block of time and cannot exceed 120 hours unless approved by Executive Management.
3. Every effort will be made to accommodate one vacation/annual leave period desired by each employee. If all three requests have been denied, a fourth and final request will be allowed after prime time requests are posted. The fourth request will be processed in seniority order and granted or denied based on upon availability.
4. Requests are for a consecutive block of time. Requests should indicate dates of the entire time period requested regardless of current days off since days off might change.

**D. Other Requests for Vacation/Annual Leave, Compensatory and Medical/Dental Appointments**

1. Once prime time vacation/annual leave requests have been approved, all other requests will be considered in the order they are received.
2. Preferably, all requests for time off should be submitted thirty (30) days in advance to allow adequate time for processing, scheduling, and position change. However, consideration may be given to all requests for time off submitted not less than five (5) days in advance and not more than six (6) months in advance of the end date of the time off request. Any request for time off for a routine pre-scheduled medical/dental appointment which will occur during a scheduled shift and which is received with less than five (5) days advance notice may be considered but cannot be guaranteed.
3. Requests should indicate dates of the entire time period requested regardless of current days off since days off might change.
4. Requests for time off on prescheduled STC training days should be avoided, if possible.
5. Except as otherwise required by law, requests for time off must be for a minimum of one shift. Requests for partial shifts off will generally not be approved; however, nothing in this provision limits management's ability to grant exceptions at their sole discretion without right of appeal.

**E. Employee Certification**

It is the employee's responsibility to verify that the time off requested does not exceed the actual or anticipated annual leave, PIP, and/or compensatory balance (Available leave balances are located on the employee's VTI timecard).

**F. Emergency Situation**

In the event of an emergency, which threatens or disrupts the essential services of the Department, the Director or designee may cancel previously granted time off requests. Every effort will be made to honor approved time off prior to cancellation.

G. Shift Trades

1. One-time only shift trade requests must be submitted at least **one** day in advance.

Long-term shift trades start at the beginning of a pay period and must be submitted at least seven days prior to the effective date.

2. Both parties must be able to fulfill the trade.
3. Under normal circumstances, shift trades will not be granted if:
  - a. It results in overtime.
  - b. It interferes with the facility or Department operation (e.g., the employee is prescheduled to participate in training, meetings or case conferences).
  - c. It adversely impacts the employee's primary responsibilities (i.e., unit duties and casework). Results in more than two shifts per week outside the employee's assigned unit. (Minimum of three shifts per week in the employee's assigned unit)
  - d. It results in compressing a work period into more than six shifts in a week.
  - e. It contributes to staff fatigue (i.e., results in more than two consecutive doubles)
  - f. The employees are assigned to two separate facilities (except for DJCO Is requesting a one-time only trade).
  - g. The shifts are the same day and time.
  - h. The trade would leave less than eight hours between shifts worked.
  - i. The trade will result in trading out of a previously approved trade.
  - j. The trade involves more than two employees.
  - k. The trade involves a vacant shift.

H. Modification/Cancellation Requests.

1. Once prime time vacation/annual leave is approved, it must be taken in its entirety unless a cancellation or modification is requested and approved at least fifteen (15) calendar days in advance. The remaining prime time vacation must be consecutive days off.

2. Once approved, cancellation of other than prime time requests for time off requires at least ten (10) days advance notice. If the time off request exceeds five (5) days, any cancellation must result in the balance of vacation days being a single consecutive block of time.
3. Requests to cancel a shift trade must be signed by both employees, submitted and approved at least five (5) days in advance. All cancellation requests submitted less than five (5) days in advance will require Director or designee approval.

I. Special Circumstances Request

1. "Special circumstances" are any unanticipated events that are beyond the employee's control which prevent compliance with the previously stated criteria. (This definition is separate from personal emergency.)
2. In all cases, the request is to be routed via a supervisor to the facility Director or designee for approval.

J. Scheduling Time Off for Birthdays

All facility sworn staff will be allowed to take their birthday off provided:

1. The birthday occurs on a regularly scheduled workday.
2. The employee has sufficient comp/annual leave/PIP time to cover their absence.
3. The employee submits a request for time off at least thirty (30) days in advance of their actual birthday.

II. RESPONSIBILITY/AUTHORITY

The Director or designee has the responsibility and authority for making final decisions affecting the allocation of time off and work schedule modifications.

III. PROCEDURE

A. Request for Time Off and Request for Modification/ Cancellation

1. Employee completes the Request for Time Off/Shift Trade Form (F057-6219), submits it to his/her immediate supervisor for review and signature, time-stamps request and places it in the scheduling box.
2. If the immediate supervisor is not available (thus preventing compliance with the established criteria), submit the request to an available supervisor for signature.
3. If an employee is reassigned to a new facility after a time off request has been approved, the employee shall notify the new supervisor and facility scheduler immediately.

4. The prior facility scheduler will forward all time-off requests for the employee to the new facility scheduler.

B. Request for Shift Trade - One time basis

The employee completes the Request for Time Off/Shift Trade Form (F057-6219), submits it to his/her immediate supervisor for review and signature, time-stamps request and places it in the scheduling box.

1. Intra/Inter Unit Shift Trade
  - a. Both employees sign their names on the space provided.
  - b. The employee initiating the shift trade is to include a written explanation for the request in the comments section.
2. If the immediate supervisor is not available (thus preventing compliance with the established criteria), submit the request to an available supervisor for signature.

C. Request for Long-term Shift Trade

1. The employee completes a Long-Term Shift Trade Agreement and submits it to his/her immediate supervisor for review and signature.

The signed agreement lists the conditions in which the temporary trade will exist or may be cancelled.
2. Only one (1) inter-unit long-term shift trade per employee will be approved at a time.
3. The end date must be within six (6) months. If an extension of the trade is necessary, a new form must be completed for review.
4. Both employees and assigned supervisors sign their names on the space provided.
5. The employee initiating the shift trade is to include a written explanation in the "Reason for the Request" section.
6. An inter-unit shift trade is to include the signatures of all affected assigned unit supervisors.
7. Both shifts will revert back to the original pattern if:
  - a. Either party wishes to cancel the trade.
  - b. Either party vacates their present shift.
  - c. An administrative decision is made to terminate the trade to meet the needs of the facility.

D. Supervisor Responsibilities

1. Reviews that the employee's request for time off to ensure it does not exceed actual or anticipated balance for the designated category.
2. Reviews the request for shift trade or time off to ensure there is no conflict with scheduled STC training, violation of scheduling rules and that all required signatures are provided.
3. Discusses modification, cancellation, or special circumstance with the facility Director or designee for approval.

E. Director/Designee

The facility Director or designee approves/disapproves, and comments, and then forwards the request to the scheduler.

F. Scheduler Responsibilities

1. Records the information in the scheduling book/In-Time.
2. Processes promptly all requests in accordance with the previously stated criteria.
3. Time off requests are approved if the request falls within the minimum number of comp slots. If the request falls beyond the minimum number of comp slots, it is denied and the comp slot number is indicated on the request.
4. Reviews the request for shift trade or time off to ensure there is no conflict with scheduled STC training or violation of scheduling rules
5. The scheduler retains the original copy for record keeping purposes and routes one copy each to the employee and his/her immediate supervisor.
6. In cases when previously approved Requests for Time Off are cancelled by an employee, all denied requests for time off for the same date will be reconsidered for approval in the order they were submitted.

**REFERENCES:**

|         |      |   |
|---------|------|---|
| Policy: | C-1  | Maintaining Employment Status                             |
|         | C-2  | Vacations/Annual Leaves                                   |
|         | C-4  | Work Schedules, Overtime, Comp Time and Sick/Annual Leave |
|         | C-22 | School Schedules-Employee                                 |

D. Martinez

**APPROVED BY:**

## LONG TERM SHIFT TRADE AGREEMENT

Employee \_\_\_\_\_ will work \_\_\_\_\_  
Day Shift

Employee \_\_\_\_\_ will work \_\_\_\_\_  
Day Shift

|  |
|--|
| <b>Explain Reason for Trade:</b><br><br>_____<br><br>_____ |
|--|

We understand that the above shift trade is temporary, with a maximum duration of six months.

**\*\*MUST OBTAIN START DATE FROM SCHEDULING OFFICE**

This trade will begin on Friday \_\_\_\_\_ and end on Thursday \_\_\_\_\_  
(beginning of PP) (end of PP)

We understand that this trade may be terminated at any time if:

1. Either party involved wishes to terminate the trade
2. Either party vacates their present shift
3. It is determined administratively that the trade be terminated to meet the needs of the facility.

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| <b>PMI 3-1-211 Compliance checklist including but not limited to:</b>  |
| Only <u>one</u> Inter-unit Long-Term Shift Trade per employee will be approved at a time.<br>Trade will <u>not</u> adversely impact employees' primary unit responsibilities.<br>Trade <u>cannot</u> leave less than eight hours between shifts worked.<br>Both staff must be able to fulfill the trade. |
| Employee Initials <input type="checkbox"/> Employee Initials <input type="checkbox"/> SJCO Initials <input type="checkbox"/> SJCO Initials <input type="checkbox"/>  |

\_\_\_\_\_  
Employee Signature DATE Employee Signature DATE

\_\_\_\_\_  
Assigned SJCO Signature DATE Assigned SJCO Signature DATE

\_\_\_\_\_  
Scheduling Signature DATE Approved  Denied