



U.S. Department of
Transportation

Office of the Secretary
of Transportation

ORDER

DOT 2730.10

11/7/95

Subject: TIME AND ATTENDANCE REPORTING FOR THE
INTEGRATED PERSONNEL AND PAYROLL SYSTEM

1. PURPOSE. This Order establishes policy, standards, and responsibilities for time and attendance (T&A) reporting for civilian employees under the Department of Transportation (DOT) Integrated Personnel and Payroll System (IPPS).
2. CANCELLATIONS.
 - a. DOT 2730.9, Time and Attendance Clerk Training, dated 6-21-94.
 - b. DOT 3550.2A, Management of Overtime, dated 7-29-87.
3. SCOPE. This Order and the supporting IPPS Time and Attendance Handbook apply to all DOT employees who are responsible for IPPS T&A reporting in the Office of the Secretary (OST), the Bureau of Transportation Statistics, and all operating administrations. The IPPS T&A function replaces the Consolidated Uniform Payroll System T&A function. Employees who are paid regardless of their presence or absence and who do not accrue leave under 5 U.S.C. 6301, et seq., such as certain political appointees, are exempt from the T&A requirements described below.
4. EFFECTIVE DATE. IPPS is being implemented at DOT offices in phases. This Order and other IPPS T&A guidance will apply to an office when that office is brought onto IPPS.
5. REFERENCES.
 - a. General Accounting Office Policy and Procedures Manual for Guidance of Federal Agencies, Title 6, "Pay, Leave, and Allowances", of May 1989, which prescribes the principles and standards related to pay, leave and allowances.
 - b. IPPS Time and Attendance Report Handbook, of May 1995, which provides the supporting, procedural requirements for T&A reporting.
 - c. Title 5, United States Code (Chapter 55) and Title 5, Code of Federal Regulations (Part 530) which establishes the requirements for pay administration in the Federal government.

DISTRIBUTION: All Supervisors of Civilian Employees
(except SLSDC)

OPI: Office of
Financial
Management

- d. Title 5, United States Code (Chapter 63) and Title 5, Code of Federal Regulations (Part 630) which establishes the requirements for the administration of leave in the Federal government.

6. POLICY.

- a. T&A reporting will be accomplished for each employee in sufficient detail to comply with all statutory and regulatory requirements.
- b. Timekeepers and supervisors/approving officials must jointly exercise care and accuracy when recording and approving T&A information. Improper preparation or approval of T&A reports could result in disciplinary action.
- c. Supervisors/approving officials must approve a T&A report (electronic or manual) for every employee each pay period for payment by IPPS. If unavoidable circumstances prevent the approval and submission of an approved T&A report to IPPS, the employee will be paid his/her normal pay and allowance, without charge to leave, for the one pay period without the approved T&A report. An amended T&A report (for the pay period the employee was paid without an approved T&A report) must be submitted to IPPS before the employee will be paid again and before a T&A report for the next pay period can be processed.

7. STANDARDS.

- a. T&A information, including amended T&A information, will be reported and approved on the designated IPPS electronic "Time and Attendance Report" or DOT Form 2740.2, Time and Attendance Report (revised February 1995) for manual IPPS users.
- b. Auxiliary official records which by law or regulation are required to be used to record attendance and leave may be used as the basis for recording time and attendance data in IPPS.
- c. Procedures contained in the IPPS Time and Attendance Report Handbook are the authority for reporting and approving T&A information under IPPS.

8. RESPONSIBILITIES.

- a. Supervisors/Approving Officials. Supervisors/approving officials are responsible for:

- (1) Designating primary and alternate timekeepers who are responsible individuals and who have knowledge of the work and absence status of employees whose T&A information they will record.
- (2) Ensuring that all primary and alternate timekeepers are properly trained in the preparation and maintenance of IPPS T&A reports by using the IPPS computer based instruction training course and that timekeepers attend periodic on-site T&A training conducted by the appropriate office, i.e., payroll processing center, on an as needed basis.
- (3) Approving and submitting T&A reports for all subordinates every pay period in accordance with existing regulations with particular attention being given to the following:
 - (a) Ensuring that supporting documents to T&A reports, e.g., leave and premium pay approvals, certificates of courts or jury duty attendance, military orders and certificates of attendance are obtained and approved.
 - (b) Ensuring that leave used by employees is documented and approved. SF-71, Application for Leave, is the recommended form to be used.
 - (c) Ensuring that overtime is authorized on DOT F 3500.1, Overtime and/or Holiday Work or comparable form, before it is performed. In cases of operational emergencies or other compelling reasons precluding prior written authorization, overtime may be orally authorized provided it is subsequently confirmed in writing. This should be on the next working day, but no later than prior to submission of the T&A report authorizing payment.
 - (d) Furnishing timekeepers with all forms and reports that affect the recording of attendance, pay status, and absences, e.g., DOT F 3500.1, Overtime and/or Holiday Work, SF-71, Application for Leave, etc.
 - (e) Ensuring that certifications and information for fees received for court and military leave are forwarded to the appropriate office, e.g., payroll processing center, as soon as received.
- (4) Ensuring that T&A reports for employees under their jurisdiction are prepared accurately and submitted under the requirements of this Order and the IPPS Time and Attendance Report Handbook.

- (5) Ensuring the segregation of assigned duties, to the maximum extent possible, relative to preparing T&A reports and approving the correctness of such reports.
 - (6) Maintaining supervision of employees under alternative work schedules during all hours of extended workdays, as set forth in section 8.a.(2) below, to assure proper approval of employees' T&A reports.
 - (7) Ensuring that any duplicate or incorrect salary payments or erroneous T&A data for their employees are resolved promptly with the appropriate office, i.e., payroll processing center.
 - (8) Ensuring that employees under their jurisdiction are aware of the provisions of this Order and specifically that they may not maintain or approve their own T&A reports except as set forth in sections 9.a. and 10.a. below.
 - (9) Accounting for the work time and absence of employees for whom they are responsible. A supervisor/approving official's approval/signature on a T&A report attests that the information on the report is accurate and is in accordance with applicable laws, regulations, and legal decisions. Supervisors/approving officials and timekeepers should be diligent in reporting and approving T&A information in order to prevent any unauthorized, fraudulent, or other irregular act.
- b. Timekeepers. Primary or alternate timekeepers are responsible for:
- (1) Recording T&A information on an exception basis for employees in their designated areas, with a breakdown of leave hours taken on each day, in accordance with this Order and the IPPS Time and Attendance Handbook. T&A data will be recorded only for employees who have changes to their normal tours of duty. The required standard T&A data from the previous pay period can be system generated. Examples of changes to employees normal tours of duty that will be recorded under exception reporting are:
 - (a) absences during the pay period showing the type of leave to be charged;
 - (b) changes in conditions authorizing premium pay hours (overtime, night, holiday, Sunday work, and standby duty hours); and
 - (c) any prior pay period adjustments.

11/7/95

- (2) Knowing each individual shown on the T&A report and having positive knowledge as to whether the individual is present or absent before making the report. Such information may be gained from visual observations of attendance, knowledge that an employee is in a travel status, or other documentation identifying attendance or leave. If unable to document an individual's absence or presence, refer to the individual's supervisor for status.
 - (3) Obtaining written authorization from supervisors/approving officials for premium pay and all leave for employees whose T&A reports they maintain.
 - (4) Maintaining, for audit purposes, all supporting documents for T&A reports. The supporting documents are to be kept for a period of one year after which they will be destroyed in accordance with Privacy Act requirements so that none of the information is unlawfully disclosed. Specific documents to be maintained are:
 - (a) SF-71, Application for Leave, or comparable approved form;
 - (b) DOT F 3500-1, Overtime and/or Holiday Work or comparable form;
 - (c) Copies of certificates of jury or court service, military orders, or certificates of attendance for military leave; and
 - (d) DOT 2740.2, Time and Attendance Report, for manual IPPS users (electronic Time and Attendance Reports are automatically stored by IPPS for one year).
 - (5) Approving T&A reports only when specifically authorized (see sections 10.a.(2) and 10.a.(3) below).
 - (6) Ensuring that: all employees' T&A information and documents are properly secured from unlawful access and disclosure in accordance with the Privacy Act; T&A reports and records are not left unattended on desks; T&A data are not discussed with any person who is not entitled to know the information; access to T&A reports and records is restricted (lock them up, if possible).
 - (7) Ensuring that T&A reports are transmitted electronically or submitted to the appropriate office, e.g. payroll processing center (for manual users) in sufficient time to meet payroll due dates and times.
- c. Employees. Employees are responsible for:
- (1) Submitting an SF-71, Request for Leave, or comparable approved form, (manual or electronic) to the supervisor/approving official prior to taking leave or immediately upon return to work for leave that was unexpectedly taken.

- (2) Reporting leave taken while in a travel status to the supervisor/approving official or timekeeper, as well as indicating leave taken on the travel voucher.
- (3) Furnishing a medical certificate for sick leave in excess of 3 consecutive workdays unless covered by a negotiated labor agreement with an article that provides for other time periods. A document signed by a physician should be submitted. If a physician or practitioner was not consulted, a signed statement from the employee giving the facts about the absence and reasons for not having a physician MAY be accepted as supporting evidence by the supervisor.
- (4) Furnishing the timekeeper evidence of leave for court service and a record of any fees received, for transmittal to the appropriate office, e.g., the payroll processing center. These documents should show the days of court service, the rate of compensation, and the total compensation received.
- (5) Furnishing the timekeeper a copy of military orders calling him/her to duty as evidence for the initial authorization of military leave and furnishing the timekeeper, upon return from military leave, official evidence of performance of military duty.
- (6) Transmitting to the appropriate office, e.g., payroll processing center, military pay information and making provisions for payment of such military pay by payroll deductions, when necessary.
- (7) Reporting promptly to timekeepers, payroll liaisons, or supervisors/approving officials errors detected on DOT Form 2740.1, Statement of Earnings and Leave.
- (8) Reporting any duplicate or incorrect salary payments received to supervisors /approving officials, payroll liaisons, or timekeepers.

9. T&A REPORT MAINTENANCE.

- a. Employees may not maintain their own T&A reports except in the following situations:
 - (1) the employee is the timekeeper and it is impractical for another individual to perform this function;

- (2) the employee works flexible hours outside the hours of the timekeeper and the supervisor;
 - (3) the employee works alone at a remote site; or
 - (4) the employee is based at but is frequently away from the location of the supervisor/approving official and timekeeper during working hours.
- b. In situations described under items (2), (3), and (4) above, the supervisors/approving officials must assure that the employees are working when scheduled by using such techniques as:
- (1) arranging with other timekeepers or supervisors/approving officials to provide observation of the employee, where feasible;
 - (2) making occasional telephone calls to the employee during times the employee is scheduled to be on duty;
 - (3) making occasional unannounced visits to the site when the employee is scheduled to be on duty;
 - (4) determining reasonableness of work output for time spent at work.
- c. Instructions concerning how T&A data are to be entered in IPPS (via electronic medium or DOT Form 2740.2, Time and Attendance Report, revised February 1995) are provided in the IPPS Time and Attendance Report Handbook.


10. T&A REPORT APPROVAL.

- a. Employees may not approve their own T&A reports except in certain circumstances, as defined below. Each employee's T&A report will be approved by his/her immediate supervisor/approving official with the following exceptions:
- (1) Officials Having Primary Authority. The following officials are authorized to certify their own T&A reports:
 - (a) Assistant Secretaries, Administrators, Departmental Officers or other Headquarters officials reporting directly to the Secretary of Transportation;
 - (b) Officials to whom such authority has been delegated in writing on an annual basis by an Assistant Secretary, Administrator, Departmental

Officer or other Headquarters official reporting directly to the Secretary of Transportation.

- (2) Geographical Separation of Supervisors/Approving Officials. Employees whose immediate supervisor/approving official is located in another geographical location are authorized to certify their own T&A reports.
 - (3) Unavailable Supervisors/Approving Officials - Small Regional/Facility Offices. In the event that all supervisors/approving officials in a small regional/facility office are unavailable for approving T&A reports at the time of submission to the payroll processing center, the timekeeper may approve them. The timekeeper should note in the REMARKS block of each T&A report, "Supervisory personnel unavailable." The supervisor/approving official must subsequently review the documents for accuracy.
- b. Documentation for Self Approved T&A Reports. When authority exists to approve one's own T&A report this must be documented with the IPPS staff in accordance with IPPS procedures so a flag can be set in the system to allow the individual to approve his/her own T&A report.
11. IMPLEMENTATION. Where appropriate, Secretarial Offices and operating administrations shall develop additional guidance required to implement this Order and provide a copy of that guidance to the OST Office of Financial Management (B-30) within six months of the date of this Order.

FOR THE SECRETARY OF TRANSPORTATION:


Louise Frankel Stoll
Assistant Secretary
for Budget and Programs